

UNIVERSITY OF NAIROBI

FACULTY OF ARTS

DEPARTMENT OF SOCIOLOGY AND SOCIAL WORK

**PEOPLE'S PARTICIPATION IN COUNTY BUDGETING PROCESS: A CASE
OF NAIROBI COUNTY**

By

Willis Phabian Akala Opondo

Registration Number: C50/83047/2015

**A RESEARCH PROJECT PAPER SUBMITTED IN PARTIAL FULFILMENT OF
THE REQUIREMENTS FOR THE AWARD OF THE DEGREE OF MASTER OF
ARTS IN SOCIOLOGY (RURAL SOCIOLOGY AND COMMUNITY
DEVELOPMENT)**

DECEMBER 2017

DECLARATION

This is my original work and has not been presented for a degree in any other University.

Candidate:

Signed:

Date

Willis Phabian Akala opondo

Registration Number: C50/83047/2015

Supervisor:

This research project paper has been submitted for examination with my approval as the University supervisor

Signed:

Date

Professor Chitere Preston O.

Professor, College of Humanities and Social Sciences

DEDICATION

This work is dedicated to my late parents and sister; Alloys Opondo, Emily Auma and Mary Goretty Opondo. They were all strong, hardworking and role model to those of us who had the privilege of knowing them. May their souls rest in eternal peace.

ACKNOWLEDGEMENTS

The development and fruitful completion of this research project would not have been possible without the contribution of many people. To start with, I acknowledge the entire teaching staff at the University of Nairobi, Department of Sociology and Social Work, for imparting knowledge and skills gained during my course work that has made me successful. I will forever be grateful to them.

Secondly, I wish to express gratitude to my supervisor, Professor Preston Chitere for his dedication in providing guidance and support throughout the entire work of this research project. I wish to thank the University of Nairobi for granting me a chance and opportunity to be part of its student fraternity. I am grateful to my friend, Gideon Too for his contribution to this research project despite the competing tasks at his work place.

I appreciate my brother, Dr Kevin Opondo for his career advice. Special thanks to my sister Adhiambo Opondo for her encouragement and social support. Above all, I am eternally thankful for my heavenly father for His grace has always been sufficient during the entire life of this research project.

Glory be to God.

TABLE OF CONTENTS

DECLARATION	ii
DEDICATION	iii
LIST OF FIGURES	x
LIST OF TABLES	xi
ACRONYMS AND ABBREVIATIONS	xiii
ABSTRACT	xiv
CHAPTER ONE	1
INTRODUCTION	1
1.1 Background of study	1
1.2 Statement of the problem	6
1.2.1 Research Questions	7
1.3 Research Objectives	7
1.3.1 Main objective	7
1.3.2 Specific objectives	7
1.4 Justification of the study.....	8
1.5 Scope and limitations of the study	8
1.6 Definition of key concepts	9
1.6.1 Community	9
1.6.2 Community Participation	9
1.6.3 Public Participation	10
1.6.4 Participation	10
1.6.5 County Government	10
1.6.6 County Public Official	10
1.6.7 Ward.....	10
1.7 Ethical considerations	11
CHAPTER TWO	12
LITERATURE REVIEW AND THEORETICAL FRAMEWORK	12
2.1 Introduction.....	12
2.2 The Concept of People’s Participation	12
2.2.1 Arnstein’s ladder of citizen participation.....	15

2.2.2 A ladder of citizen empowerment	15
2.3 People Participation and the Budget process	16
2.4 Techniques of Citizen Participation.....	18
2.5 Criteria for an Effective Citizen Participation Program	20
2.6 Empirical Literature	20
2.7 Theoretical Framework.....	23
2.7.1 Participatory Theoretical Perspective	23
2.7.2 Rational Choice Theoretical Perspective	24
2.7.3 Public Value Theoretical perspective.....	24
2.8 Conceptual Framework.....	25
CHAPTER THREE	27
RESEARCH METHODOLOGY	27
3.1 Introduction	27
3.2 Study Site	27
3.3 Research Design.....	30
3.4 Target Population.....	30
3.5 Sampling Procedure	31
3.5.1 Residents	31
3.5.2 Key Informants	32
3.6 Data and Data Collection Procedures	33
3.6.1 Instruments Used in Data Collection.....	33
3.6.2 Questionnaire Construction.....	34
3.6.3 Interview	34
3.7 Pilot testing	35
3.7.1 Validity of instruments	35
3.7.2 Reliability of Instrument	35
3.8 Data collection process	36
3.9 Data Analysis techniques.....	36
3.9.1 Chi-Square Test	37

CHAPTER FOUR.....	38
DATA ANALYSIS, PRESENTATION, INTERPRETATION AND RESULTS	38
4.1 Introduction.....	38
4.2 Personal Characteristics	38
4.2.1 Distribution by Gender.	38
4.2.2 Distribution of the respondents by Age	39
4.2.3 Distribution of the respondents by the level of Education.....	40
4.2.4 Distribution of the respondents by Occupation	40
4.2.5 Distribution of the respondents by reasons for settling in their current ward.....	41
4.2.6 Distribution of the respondents by Previous Residence	43
4.2.7 Distribution of the respondents by home/land ownership in rural areas	43
4.3 Participation in County Planning and Budgeting.....	44
4.3.1 Participation in forums.....	44
4.3.2 Issues Discussed in the Participation Forums	45
4.3.3 Membership of the Sub-County/Ward forum and committee	46
4.4 Awareness of legal framework, governance and development projects.....	47
4.4.1 Level of Awareness of County Governance	47
4.4.2 The Start of County Governments	48
4.4.3 Governor/MCA Awareness	49
4.4.4 Awareness of the respondents' Ward	50
4.4.5 Awareness of Legislation on People Participation	51
4.4.6 Awareness of legal requirements for people's participation.....	52
4.4.7 Awareness of Problems in the Estate.....	53
4.4.8 Awareness of household problems	53
4.4.9 Awareness of County Government Projects	54
4.4.10 Awareness of Public Forums	55
4.4.11 Source of information on participation forums.....	57
4.4.12 Awareness of the Role of Sub County Committees/forums	58
4.4.13 Awareness of the members that constitute the Sub County committee/forum	59
4.4.14 Awareness of the role of MCAs during planning and budgeting	60

4.5 Relationships between respondents’ characteristics and their awareness on County Legal Frameworks, Governance and Development projects	60
4.5.1: Gender.....	60
4.5.2 Age Distribution on Awareness of County Legal Frameworks, Governance and Development projects	61
4.5.3 Distribution by Occupation on Awareness of County Legal Frameworks, Governance and Legal Frameworks	62
4.5.4 Distribution by the Education Level on Awareness of County Legal Frameworks, Governance and Legal Frameworks	64
4.6 Relationship between the respondents’ characteristics and their participation in public forums and committees	65
4.6.1 Distribution by Age on Participation in County Planning and Budgeting.....	65
4.6.2 Distribution by Gender on Participation in Public Forums and Committees	66
4.6.3 Distribution by Education Level on Participation in Public Forums and Committees	67
4.6.4 Distribution by Occupation on Participation in Public Forums and Committees....	68
4.6.5 Distribution by Years of Residence on Participation in Public Forums and Committees	69
4.7 Conclusion	70
CHAPTER FIVE	72
SUMMARY, CONCLUSION AND RECOMMENDATIONS	72
5.1 Summary	72
5.1.1 Participation in County Planning and Budgeting	73
5.1.2 Awareness of County Governments’ Legal Framework, Governance and Development Projects	73
5.1.3 Relationships between respondents’ characteristics and their awareness of county legal framework, governance and development projects.....	74
5.1.4 Relationships between the respondents’ characteristics and their participation in public forums and committees	74
5.2 Conclusion	74
5.3 Recommendations.....	75

REFERENCES..... 76
APPENDICES81
Appendix 1: Informed Consent and Questionnaire for Community Members.....81
Appendix 2: Informed Consent and Questionnaire for Key Informants.....88

LIST OF FIGURES

Figure 2.1: Arnstein’s ladder of citizen participation (Arnstein, 1969)	15
Figure 2.2: A ladder of citizen empowerment (Burns et al, 1994)	16
Figure 2.3. Public Participation Continuum	19
Figure 2.4: Conceptual Framework	26
Figure 3.1: Nairobi County, marked in Black.....	28
Figure 3.2: The map of Nairobi County.....	28
Figure 4.1: Distribution of the respondents by Gender.....	38
Figure 4.2: Distribution of the respondents by Age.....	39
Figure 4.3: Respondents reasons for settling in their wards	42
Figure 4.4: Participation in forums	44
Figure 4.5: Start of the County Governments	49
Figure 4.6: Awareness of the respondents’ Ward.....	51
Figure 4.7: Awareness of legal requirements for people’s participation	52

LIST OF TABLES

Table 3.1: Sample distribution.....	32
Table 4.1. Distribution of the respondents by the level of Education.....	40
Table 4.2: Distribution of the respondents by Occupation	41
Table 4.3: Reasons provided by the respondents for residing in their wards.	42
Table 4.4: Previous Residence.....	43
Table 4.5: Home/Land Ownership Distribution	44
Table 4.6: Reasons provided by some respondents for not attending the forums.	45
Table 4.7: Issues Discussed in the Participation Forums.....	45
Table 4.8: Membership of the Sub-County/Ward Committee and Forum	46
Table 4.9: Years taken as committee member	46
Table 4.10: Governor/MCA Awareness	49
Table 4.11: Awareness of Legislation on People Participation	51
Table 4.12: Awareness of Problems in the Estate.....	53
Table 4.13: Problems given by respondents as their household problems	54
Table 4.14: Awareness of County Government Projects.....	55
Table 4.15: Participation Awareness	55
Table 4.16: Awareness of public forums for Sub County planning and budgeting.....	56
Table 4.17: Frequency of Participation Forums	56
Table 4.18: Source of information on Participation Forums	57
Table 4.19: Forum Meeting Dates	58
Table 4.20: Awareness of the Role of Sub County Committees	58
Table 4.21: Awareness of the members that constitute the Sub County committee.....	59
Table 4.22: Awareness of the role of MCAs during planning and budgeting	60

Table 4.23: Gender Distribution on Awareness of County Legal Frameworks, Governance and Legal Frameworks	61
Table 4.24: Age Distribution on Awareness of County Legal Frameworks, Governance and Development projects	62
Table 4.25: Distribution by Occupation on Awareness of County Legal Frameworks, Governance and Legal Frameworks	63
Table 4.26: Distribution by Education Level on Awareness of County Legal Frameworks, Governance and Legal Frameworks	64
Table 4.27: Distribution by Age on Participation in Public Forums and Committees	65
Table 4.28: Distribution by Gender on Participation in Public Forums and Committees	66
Table 4.29: Distribution by Education Level on Participation in Public Forums and Committees.....	68
Table 4.30: Distribution by Occupation on Participation in Public Forums and Committees.....	69
Table 4.31: Distribution by Years of Residence on Participation in Public Forums and Committees.....	70

ACRONYMS AND ABBREVIATIONS

CBO	Community Based Organisation
CGA	County Government Act, 2012
CIDP	County Integrated Development Plan
DFRD	District Focus for Rural Development
DGID	Department for International Development
KI	Key Informants
MCA	Member of County Assembly
NGO	Non-Governmental Organisation
PFM	Public Finance and Management Act, 2012
SPSS	Statistical Package for Social Science

ABSTRACT

The study was aimed at investigating the People's Participation in County Budgeting process in Kenyan Counties. With a special focus on Nairobi County. The research was guided by one main objective: to establish the effectiveness of the current legal framework for community participation in Kenyan county governments. The specific objectives were; to examine residents participation in county budget forums and their committees, to assess residents' awareness of county government's legal framework, governance and development projects, to establish the influence of residents' characteristics on their awareness of counties' legal framework, governance and development projects and to establish the influence of residents' characteristics on participation in county budget forums and committees.

Mixed methods research design was used in this study. The target population were residents of Nairobi County as well as ward administrators and senior County officials responsible for planning and budget execution both in the County Government.

A sample of 113 participants distributed across the Langata and Westlands Sub Counties were identified through purposive sampling. All the scheduled 113 participants were successfully interviewed without any dropout. The analysis of the collected data was done both qualitatively and quantitatively.

Few respondents were aware of forums called by Nairobi County in the last 3 years with even fewer of the respondents aware of the forums participating in them. Of those who had attended the forum; most of the participants had at least a primary education, were self-employed and had stayed in their respective sub counties for more than 6 years. Majority of the respondents heard about the forums through friends/relatives. Majority of the participants were aware of legislation on public participation in planning and budgeting of County projects. Less than half of the respondents who knew about the legislation could not tell how people participated in the planning and budgeting of projects.

Chi square tests revealed that there were no association between age, gender and occupation and the awareness of county legal frameworks, governance and projects.

There was however an association between the level of education and the awareness of county legal frameworks, governance and projects.

Chi square tests revealed that there were no association between age, gender, occupation, level of education and years of residence and the participation in public forums and committees

Among the researcher's recommendation in view of the findings is that; the County Government should come up and conduct aggressive civic education campaigns about public participation in budgeting and planning processes. This would enable the people get informed on their civic rights and duties and ensure that their priorities are addressed by the County Government.

CHAPTER ONE

INTRODUCTION

1.1 Background of study

Kenyan Government initially suggested decentralization in the Sessional Paper No. 10 of 1965 on "African Socialism and its Application to Planning in Kenya". As per Chitere and Ileri (2008). The thought was to fortify the battle averse to neediness, infection and absence of education. According to Kibua and Mwabu, 2008; Chitere and Ileri (2008) The Sessional paper marks one of the key starting endeavours to decentralize improvement plan and assets to the areas and neighborhood government specialists the nation over. In 1983, the Government presented the District Focus for Rural Development (DFRD) system as its official decentralization approach (Alila and Omosa, 1996; Chitere and Ileri, 2008)

According to the United Nations Centre for Regional Development- Africa office book titled "Social Development Issues in Africa" (2001: 88), participation in the development process became government policy in the 1980s. This followed disappointments that characterized the centralized rural development policies of the 1970s and 80s that failed to solve most development problems within the rural sector. To enlarge the rural development planning base and to facilitate local involvement, decentralization measures were introduced. In Kenya, this effort culminated in the District Focus for Rural Development (DFRD) strategy introduced in 1983. The central objective behind this strategy was to encourage local initiative in problem identification, resource mobilization and project design and implementation (Government of Kenya 1983). Under the DFRD structure, areas turned into the arranging units for decentralized administration conveyance. Be that as it may, performance of the system was obliged by different variables including constrained association of groups in venture cycle administration (Chitere and Ileri, 2008).

One of the landmark provisions of the Constitution as set out in article 6:1—3 is the devolved system of governance which created system of governance that was two tier (national and county) where both are assigned clear mandates as detailed in the fourth

programme of the constitution. Forty seven county governments were then made. The two levels of government are unmistakable yet related and chip away at a shared ground on the premise of conference and participation. The county incomes and the conveyance of open administration in the decayed units are under the Executive and the Legislative arms of governments.

(Chitere, 2004), says that devolution refers to moving decision making and resources away from the centre to the periphery. It is the sharing of responsibilities both for decision making as well as for decentralization and use of resources between the central and sub-national governments. (Oloo, 2006) notes that Devolution in Kenya, is seen as a way to institutionalize citizen participation in development planning, opportunities for political participation and to enhance communities' sense of ownership.

The destinations of devolved government according to article 174 of the constitution is : advance power and democratic exercise accountability advance vote based and responsible exercise of energy, encourage national solidarity by perceiving assorted variety, give the forces to self-administration to the general population and upgrade the support of the general population in the state force activity and choices settlement influencing them and to assist their improvement, advance social and financial advancement and the arrangement of proximate, effortlessly available administrations all through Kenya; secure and advance the interests and privileges of minorities and minimized groups, guarantee impartial sharing of national and nearby assets all through Kenya, encourage the decentralization of state organs, their capacities and administrations, from the capital of Kenya lastly to improve checks, adjusts and the detachment of forces.

Public participation is a dynamic procedure by which recipients or gatherings impact the bearing and project development with the purpose of upgrading their prosperity as far as pay, self-awareness and confidence. Members of community should claim the process of decision making and outline exercises that will in this manner empower them accomplish the desired objective.

As per Bhatnagar and Williams (1992: 177) participation is a procedure by which individuals, particularly impacted individuals, impact choices that influence them... "Participation implies effect on development choices, not just inclusion in usage or (in sharing) advantages of an advancement action, despite the fact that those sorts of associations are vital and are regularly energized by open doors for impact".

The Kenyan Constitution makes national investment a focal piece of Kenya's administration framework. Investment of the general population is really perceived in Article 10 of the Constitution of Kenya (2010) as one of our national esteems and standards of administration. Additionally as per article 174(c) devolution purpose is to: "upgrade individual support in the forces of the State activities and in settling on choices influencing them." It is required that systems for investment by occupants be incorporated into the national enactment identifying with urban zones and governance of cities and administration according to article 184 (1) (c).

The Public Finance Management (PFM) Act 2012 requires roads for open support in the region spending process be made by the counties. Each County needs to make a County Budget and Economic Forum to encourage conference on area designs and spending plans.

The budget is the principle instrument the government uses to choose how to collect and burn through cash in a given year. Under the Kenyan constitution, subjects have a privilege to request that legislature burn through cash on specific things, to know whether the administration is truly spending that cash and to be given data about how the cash is being shared.

The procedure of planning is a basic piece of the advancement procedure. It is the principal basic phase of the spending procedure (PFM: Article 35 and 126). Article 126 gives that each region ought to set up an advancement design as per Article 220(2) of the Constitution of Kenya for endorsement by the County Assembly.

The County Governments Act, 2012 (CGA), 104 commits an area to build up an incorporated arrangement, assign arranging units at all district regulatory levels and advance open investment and engagement by non-state performing artists in the arranging procedure. The county designs comprise of among others, the County Integrated Development Plan (CIDP) which is a 5 year arrange for that advises the province's yearly spending plan. The CIDP mirrors the key midterm needs of the area governments. The CIDP contains particular objectives and destinations, execution design, arrangements for checking and assessment and clear revealing instruments. It contains data on ventures, advancement activities, maps, measurements, and framework for resource mobilization

According to the Ministry of Devolution and Planning, community participation helps to; strengthen democracy and governance, improve transparency and accountability, upgrades confidence of the public and support of the basic leadership forms, enhances process quality and results in better choices, ease social clashes by dealing with the interests of various partners and building accord and finally enhances process legitimacy.

To highlight the importance of community participation in the Kenyan constitution, Justice George Odunga on 17th April 2014 nullified the gazetted Kiambu County Finance Act which sought to introduce a wide range of taxes as it passed without public participation. “Justice George Odunga in his decision said there was no evident sign that participation of the public was engaged with the passing of the Kiambu Finance Bill 2013 and got over the county Government's claim that it had publicized and held a meeting as a major aspect of consultation” (Daily Nation 17/04/2014).

The Nairobi county government is one of the counties that has successfully passed a legislation in relation to public participation (the Nairobi City County Public Participation Act, 2015. No 11 of 2015). This has given the county government a big step in its efforts to encourage public participation.

For the past 3 years, Nairobi County and other counties in general have struggled to meet strict constitutional deadlines hence usually give short notice notifications which in most

cases appear as small adverts on the back page of a selected national newspapers. Their main intention is not to let the public get wind on what is happening.

On most occasions, the County government invite the public for participation in the budgeting process with minimum success and usually local residents' turnout in these public forums is always very poor.

I was privileged to attend and be part of the public during the Langata sub county sectorial hearings on the Nairobi County budget on 23rd of March 2017 at Charter hall in the central business district. It was not pleasing to note that there were fewer than 100 people who attended the forum. I also noted that most of the participants except for the select few who represented civil society organizations did not understand what was happening. The county officials distributed the budget to members of the public to read and provide a quick feedback before the event came to an end.

The Nairobi County Executive Committee member for Finance and Economic Planning in his speech on April 6th 2017 while reading the county budget recognized the importance of community participation and saluted the residents who participated in 2017's public forums. He wanted to make public involvement a continuous process to be undertaken by the ward administrators in respective sub counties. This assertion proved that community participation is a big challenge for the county administration and that they were looking at other workable frameworks and options.

Even though the desire is encouraging, the gaps in its implementation that makes very few locals and residents to participate in key decisions and processes such as County budgeting process calls for investigation.

This study therefore will focus on the current guidelines and frameworks used by the county administration to promote community participation in the budgeting processes in Nairobi County.

1.2 Statement of the problem

Public participation is made Kenya's governance system focal point by the constitution. Participation of the people is recognized in Article 10 of the Constitution of Kenya as part of our principle of governance and national values. Further Article 174(c) provides that devolution aim is to: "enhance the participation of people in the exercise of the powers of the State and in making decisions affecting them." Mechanisms for participation by residents need to be included in the national legislation relating to urban areas and cities governance and management as per article 184 (1) (c).

According to Ministry of Devolution and Planning, all stakeholders should be involved in the development of county integrated plans and the county budgets. It is against this backdrop that in 2016 the Ministry came up with the guidelines on effective community participation.

The CIDP and Budgets should involve exchanges of ideas among county administration, individuals, NGOs and other non-state actors. It is generally agreed that both the county governments and the citizens have responsibilities to ensure effective participation works. An annual budget provides the mandate for public funds spending; therefore, community members' involvement in the budgetary process is a necessity. This is done so as to ensure control and accountability at various operations levels (Shende & Bennett, 2004) The Counties are mandated to facilitate community participation with their respective residents. While the desire is present, there is a gap between the legal provisions on paper and the actual practice on the ground. The study examined the effectiveness of the current Nairobi County legal framework for community participation in the budget process, the extent of community awareness, perception of residents towards county projects, level of participation and their knowledge of the Nairobi County Budgeting process.

1.2.1 Research Questions

- a) To what extent is the current legal framework for budgeting used by the county as a guide for people's participation effective?
- b) How does Nairobi County effectively encourage people's participation in the budgeting process?
- c) To what extent is the level of awareness of county governance influence people's participation in the budgeting process?
- d) What are the residents' characteristics influencing awareness of County legal framework, governance and development projects?
- e) What are the residents' characteristics influencing participation in County budget forums and committees?

1.3 Research Objectives

The study will focus on both the main and specific objectives.

1.3.1 Main objective

To establish the effectiveness of the current legal framework for community participation.

1.3.2 Specific objectives

- i. To examine residents participation in county budget forums and their committees
- ii. To assess residents' awareness of county government's legal framework, governance and development projects.
- iii. To establish the influence of residents' characteristics on their awareness of counties' legal framework, governance and development projects.
- iv. To establish the influence of residents' characteristics on participation in county budget forums and committees.

1.4 Justification of the study

Public participation has been made the focal point of Kenya's governance system by the constitution. Participation of the people is recognized in Article 10 of the Constitution of Kenya as part of our governance principle and national values. Further Article 174(c) provides that devolution aim is to: "enhance the participation of people in the exercise of the powers of the State and in making decisions affecting them." The mechanisms for participation by residents need to be included in the national legislation relating to urban areas and cities governance and management as per article 184 (1) (c).

Public policy experts accept the necessity of citizens' participation as in order to make government delivery of services more effective, efficient and sustainable. Through devolution, people have the opportunity to determine the direction of their development needs and implement them. They also agree that easy access to right information, possession of knowledge on rights and responsibilities and channels which they can exercise them, makes the local population politically mature to impose standards and demand for accountability and performance from local leaders.

This work is equally important to devolution promotion policy makers. It makes a strong argument that high levels of citizens' awareness and citizens' participation in the local levels can have a significant bearing on the overall performance of devolution government. This profound argument challenges the dominant focus on fiscal and physical allocation, power sharing, electoral reforms and constitutionalism. In so doing, the study offers a dimension which, when complemented with other mainstream devolution strategies can lead to robust success in devolved governance system.

1.5 Scope and limitations of the study

Kenya is currently implementing the devolved system of government in line with the Constitution of Kenya. 47 county governments have since been operational with citizens enjoying the fruits of devolved governance. This study sought to assess in broad perspective peoples participation in county planning and budgeting processes. The study specifically sought to: to examine residents participation in county budget forums and their committees, to assess residents' awareness of county government's legal

framework, governance and development projects, to establish the influence of residents' characteristics on their awareness of counties' legal framework, governance and development projects and to establish the influence of residents' characteristics on participation in county budget forums and committees.

Other than these chosen areas/ scope of study, it was worth noting that there are other prerequisite factors especially within the broad social accountability which dictate the success of devolution system thus the findings of this study are likely to reveal other unanticipated information capable of enriching and influencing positively the process of devolution government.

The study focused on the people's participation in county budgeting processes. Participation in this context referred to how the public influenced the programme/project direction and execution with the view to enhancing their well-being.

The study was carried out in two Sub Counties namely Langata and Westlands and all the respective 10 wards including Karen, Mugumu ini, Nairobi West, Nyayo highrise, South C, Kangemi, Karura, Kitisuru, Mountain View and Parklands . The target population were residents of Nairobi County as well as ward administrators and senior County officials responsible for planning and budget execution both in the County Government.

1.6 Definition of key concepts

1.6.1 Community

Community refers to any gathering of individuals who have something in like manner, yet in its sociological sense, it concentrates on a littler gathering than a general public. It is a gathering of individuals living inside a particular geographic territory where their requirements are met through reliant connections.

1.6.2 Community Participation

Community participation is a dynamic procedure in which the customer, or the individuals who will profit, impact the heading and execution of development of

project. It is aimed at enhancing the welfare of the general population regarding pay, self-improvement, freedom and different esteems.

1.6.3 Public Participation

A process where the public impacts the bearing and execution of a program/venture with the view to captivating their prosperity as far as salary, self-improvement, independence, or different esteems which they value.

1.6.4 Participation

This is a method for getting data about local conditions, needs, wants and states of mind. This data might be critical to accomplish educated and implementable choices in the arranging procedure (Bryson 1993:3). Fox and Meyer (1995:93) defines participation as a meaningful input from the members of the community and their goals and the means and processes of achieving them.

1.6.5 County Government

Units of devolved governance. As outlined in article 185 of the Constitutions, they are in charge of county legislation. As per article 183, they perform executive functions. The functions are also presented in the 4th Schedule in the Constitution of Kenya.

1.6.6 County Public Official

Any person appointed by the county government and holding or acting in any county public office whether paid, unpaid or on contractual or permanent terms.

1.6.7 Ward

An electoral unit within a constituency/sub county.

1.7 Ethical considerations

To inform all the respondents about the purpose of this study a cover letter was included. The letter was used to enlighten the respondents about their contribution in fulfilling the researcher's findings. The letter also identified the institution, and the research title and the details of the researcher.

Informed consent form was given to the respondents that described voluntary nature of participation, withdrawal and refusal to answer questions, anticipated benefits of participation, confidentiality and duration of study.

CHAPTER TWO

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1 INTRODUCTION

Review of literature is provided in this section which is relevant to the study of community and people's participation in the county budgeting process with reference to Nairobi County. It provides information with regard to what people's participation entails. It presents a review of literature dealing with the theoretical arguments relating to people's participation within the context of the budgeting process. It also examines the role of the Ward Committees during the budgeting process, and the policy framework legislation upon which both budgeting and public participation are based.

2.2 The Concept of People's Participation

“Needy individuals are infrequently met. When they are met, they regularly don't talk. When they do talk, they are frequently careful and respectful, and what they say is regularly either not tuned in, or ignored, or translated in a terrible light,” (Chambers 1983: 104)

Individuals' participation activities have turned into a basic for ventures development, which are financed by the World Bank and the distinctive worldwide guide associations (Momen and Begum 2005). By far most of the change associations assume that poverty fight can't be won in absence of extraordinary neighborhood administration in creating countries (DFID 2007; Shah 2006; World Bank 2002).

Individuals' participation is firmly connected to the ideas of practical advancement and majority rule administration. The idea of good administration conveys in it the quintessence of vote based system through the component of systematized native support (Coulibaly, 2004). By and by, native cooperation is for the most part communicated through data, mindfulness raising, meeting, addressing and exchange.

In the case of decreasing extraordinary destitution, accomplishing dietary independence, disposing of gender imbalance, engaging ladies or enhancing wellbeing, it is hard to

visualize enduring arrangements if the nationals straightforwardly influenced don't really partake all the while. Participation of citizens is in this way a squeezing necessity, empowering provinces to decide for and independent from anyone else approaches to beat their greatest difficulties.

Davis (1996:2 referred to in Buchy, Ross et al (2000)) added to this discourse referring to that the intrigue and utilization of the idea has become because of a blend of conditions: expanded access to data; a nosier media; estrangement from conventional structures; challenge developments; and another modernity among intrigue and entryway gatherings. In the writing, the ordinarily referred to explanations behind cooperation's prevalence are; fizzled advancement ventures, abused assets and disappointed groups (Buchy, Ross et al. 2000; Chambers 1997; Rahman 1993).

In Kenya, much the same as in numerous nations, participatory development started with and was for quite a while bound to group project development (Wakwabubi and Shiverenje, 2003). To broaden the base of rural development planning and to facilitate local involvement, decentralization measures were introduced. In Kenya, this led to the District Focus for Rural Development (DFRD) strategy introduced in 1983. The central objective behind this strategy was to encourage local initiative in problem identification, resource mobilization and project design and implementation.

A point of interest in the advancement of participatory improvement and law in Kenya was the institution of the Physical Planning Act in 1996. The statute provides for group investment in the planning and usage of physical and advancement designs. Be that as it may, its real deficit was the absence of the basic component of group sharpening on their parts (Okello 2008). The constitution has quickened the scan for fitting systems to build the support of the general population in all circles of Government, especially the province government circle.

As Theron and Ceasar (2008:100-123) demonstrate that other than the way that public participation, as an idea, contrasts from specialist to professional and is, accordingly, seen diversely by various participatory partners, the way in which open investment is

enrolled additionally changes. This has provoked advancement scientists like Arnstien (1969) and Pretty (1995) to think of seven typologies that show the diverse originations with respect to open support: They incorporate;

Passive participation. Individuals take an interest by being advised what will happen or has just happened. "Participation" is to a one-sided top-down declaration by the specialist.

Participation in information giving. Individuals "take an interest" by noting questions postured in polls or phone interviews or comparative "open support" methodologies. Support by meeting. Individuals "partake by being counselled by experts. The experts characterize the two issues and arrangements and may alter these in the light of people in general's reactions

Participation by consultation. Individuals "take an interest" in a gathering setting foreordained goals identified with the program/venture which may include the advancement or advancement of remotely started social associations.

Participation for material incentives. People "participate" by providing resources, such as labour, in return for food and cash.

Functional participation. People "participate" in a group context predetermined objectives related to the programme/project which may involve the development or promotion of externally initiated social organisations.

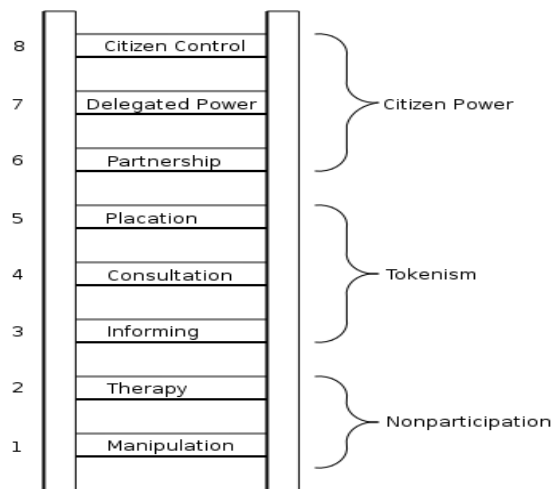
Interactive participation. Individuals partake in joint examination and the advancement of plans and limit building. Interest is viewed as a right, not only a way to accomplish venture objectives.

Self-mobilization. Individuals partake by stepping up, free of outside foundations to change frameworks. This base up approach enables the general population to create contact with outer organizations for assets and the specialized counsel they require, however they themselves hold control over how resources are utilized.

2.2.1 Arnstein's ladder of citizen participation

The work by Arnstein (1969) on community participation has been the basis which many community development workers and scholars have viewed public participation. The specific significance of Arnstein's work comes from the express acknowledgment that there are distinctive levels of interest, from control or treatment of nationals, through to conference, and to what we may now see as certifiable cooperation, i.e. the levels of partnership and control of citizen.

Figure 2.1: Arnstein's ladder of citizen participation (Arnstein, 1969)



Source: Arnstein, 1969

The utilization of a ladder suggests that more control is constantly superior to anything less control. Be that as it may, expanded control may not generally be wanted by the group and expanded control without the essential help may bring about disappointment.

2.2.2 A ladder of citizen empowerment

This is a kind of improvement of Arnstein's ladder of participation. There has been a new paradigm towards understanding participation as far as the strengthening of people and groups. This has originated from the developing conspicuousness of the possibility of the native as shopper, where decision among options is viewed as a methods for access to control. Under this model, individuals are required to be in

charge of themselves and should, along these lines, be dynamic in broad daylight benefit basic leadership. In this specific circumstance, Burns et al (1994) adjusted Arnstein's stepping stool of cooperation and proposed a step of resident power (figure 2.2)

This is more intricate than Arnstein's step as there is more subjective breakdown of a portion of the distinctive levels. A case is given between how a refinement has been drawn amongst negative and veritable discussion, and amongst depended and autonomous national control. The marvels of 'city build-up', progressively perceived amid the 1990s is fused at the base rung of the step. This basically regards group support as an advertising exercise, in which the coveted final product is 'sold' to the group.

Figure 2.2: A ladder of citizen empowerment (Burns et al, 1994)

CITIZEN CONTROL	
12. Independent control	
11. Entrusted control	
CITIZEN	
10. Delegated control	
9. Partnership	
8. Limited decentralized decision-making	
7. Effective advisory boards	
6. Genuine consultation	
5. High quality information	
CITIZEN	NON-
4. Customer care	
3. Poor information	
2. Cynical consultation	
1. Civic hype	

Source: Burns, 1994

2.3 People Participation and the Budget process

“Regularly for poor people, gaps are focal. The resources and advancements which are principle line worries of set up controls, experts and divisions are normally

connected to and taken up by business interests and by the individuals who are in an ideal situation. Needs are set by regular particular investigation and affected by political powers which generally support the strong,” (John M Riley 2003: 184-185).

It is vital that citizens especially those who pay the government taxes for good service delivery should be involved in public participation because the law requires them to. This not only makes them consumers of government services but also the financiers. In administrative decision making, citizen participation is about an inclusive setting of goals, determining policies and strategies and monitoring of government services. The activities that are entailed in public support identify with the procedures and components used to touch base at these and incorporate, yet not restricted to, open sittings and hearings, subjects' counselling boards and boards, neighbourhood or occupant gatherings and open overviews. The most practicable and useful regions of subject inclusion incorporate monetary advancement, ecological security, training, general wellbeing, open security and policing amongst others (Yang and Callahan, 2005).

According to Klugman (1994), supporters of a devolved system of governance both from the economic and political fields attribute increased transfer of power from the central government towards the lower sub-national tiers of government. Further, devolution has been known to enhance transparency and accountability thus increasing the motivation behind the predisposition towards a devolved system of governance in numerous developing countries which involve engaging those groups and individuals who are supposed to benefit from such public services.

As outlined in Schedule Four of the Kenyan Constitution The transfer of service delivery and financial resources and to local governments in essential departments like agriculture, water, health, and agriculture, among other sectors, allows the county governments an opportunity to enhance public services delivery at the county level. This is made possible by devolution which improves the effectiveness of asset portion as it is normal and additionally expected that nearby pioneers in the counties, including the two

government officials and the administrators, have better comprehension of neighbourhood difficulties, needs and inclinations, and can accordingly better recognize the requirements of local communities and give open merchandise and ventures in a more financially ways.

Public participation is a methodology that can be used to prevent corruption and incompetent leadership that has plagued modern societies particularly in the global south. The reason is that participatory development and public participation is the key pillar of democracy. As championed by supporters of democracy, meaningful citizen participations ties government projects to the people (Kelly and Riverbank, 2003).

2.4 Techniques of Citizen Participation

There are an assortment of strategies accessible to organizers to request open contribution to the arranging procedure. These range from essential open gatherings to more complex procedures, for example, the Delphi and Nominal Group methods. Cogan states "with couple of exemptions, an effective open association program joins a few strategies" (Cogan, et al. 1986 p. 292). These procedures can be graphically exhibited as a continuum that reaches from aloof inclusion to dynamic association. Cogan gives the accompanying depiction of each of the types of open contribution takes after (Cogan, et al. 1986 p. 292-294).

Publicity — Publicity methods are intended to induce and encourage public help, identifying with subjects as aloof customers.

Public Education — Public education programs exhibit moderately total and adjusted data with the goal that nationals may make their own determinations.

Public Input — Public information systems request thoughts and sentiments from nationals. They are best when joined with criticism instruments which educate members of the degree to which their information has impacted extreme choices.

Public Interaction — Public interaction systems encourage the trading of data and thoughts among nationals, organizers, and chiefs. At the point when these strategies are

adequately used, every member has the chance to express his or her perspectives, react to the thoughts of others, and work toward agreement.

Public Partnership — Public partnerships offer residents a formalized part in molding a definitive choices.

Not all systems fit solely into one class. For instance, an open meeting may give chances to training and connection.

A key point Cogan makes is that the quantity of subjects who can be included is contrarily identified with the level of dynamic association. For instance, advertising endeavors can achieve a bigger number of subjects, while open organization limits support to a couple (Cogan, et al. 1986, p. 293).

One of the expressed objectives of the Delta Showcase Project is to create organizations will people and gatherings. While this is unmistakably an achievable objective, the past talk shows that the quantity of organizations created amid the venture will likely be little.

Figure 2.3. Public Participation Continuum

PUBLICITY	PUBLIC EDUCATION	PUBLIC INPUT	PUBLIC INTERACTION	PUBLIC PARTNERSHIP
Building public support	Disseminating information	Collecting information	Two-way communication	Securing advice and consent
<----- PASSIVE ACTIVE----->				

Source: Cogan, 1986

2.5 Criteria for an Effective Citizen Participation Program

Understanding that an assortment of native participation systems exist, organizers must create open interest programs that meet the particular objectives, targets, and conditions of every individual undertaking. Cogan states that: A fruitful citizen cooperation program must be: necessary to the arranging procedure and concentrated on its extraordinary needs; intended to work inside accessible assets of time, staff, and cash; and receptive to the resident members (Cogan, et al. 1986 p. 298).

Diverse undertakings will request distinctive ways to deal with open inclusion. In any case, Cogan noticed that best subject cooperation ventures contain some normal variables. These incorporate; meeting of legitimate prerequisites, obviously demonstrated objectives and targets, Commanding political help, Receiving of sufficient financing, staff, and time, Identifying concerned or influenced publics lastly Defined clear parts and duties regarding the members.

A program that fuses these components will for the most part be viable in meeting the desires of both the organizer and the members.

2.6 Empirical Literature

Kihonge and Kaseya (2014) study findings provides evidence that civic education plays a major role on the effectiveness of public participation in the County Governments. When locals are enlightened on their rights of participations, they tend to participate more and demand for their rights. They proposes a number of strategies to enhance public participation. These include offering incentives, early notification of public participation forums, use of variety of methods, allocating more funds for civic education and formulation of policy to guide public participation among others.

A study by Mutwiri (2015) establishes that the level of community awareness determines the level public participation in county integrated development planning process. He says that behavioural factors like the quality of policies guiding citizen's participation process through aspects such as public attitude toward local government, allocation of resources,

level of coordination and engagement and the perceived community's value in the participation process determines the level public participation in the county development planning process. He notes that economic factors like the perceived economic benefits to from the county development project, estimated time for revenue generation, level of individual income, and awareness on the other economic generating opportunities determines the level public participation. He concludes by recommending initiation of strong measures that could promote public awareness and the county governments need to improve their public relation strategies.

Harwin (2012) study in Machakos County on county development projects recommends that the decision making process should be open, the residents should be involved in various implementation steps, there should be regular meetings with the public to deliberate on the issues affecting the county projects to foster transparency and confidence building, furthermore there was need to trim the overwhelming influential powers the politicians had in development projects.

According to a research by Finkel (2000), community training programs give unequivocal direction to standard subjects about popularity based foundations, qualities, and methodology. The discoveries of the examination found that municipal training programs do add to the improvement of a vote based political culture among members. These projects have been found to altogether increment. In Kenya, people who went to city instruction workshops will probably report expanded familiarity with the substance of the constitution and of different recommendations being talked about to change the constitution, when contrasted with individuals who did not go to workshops.

Masango (2002) favours capacity building to improve the public's understanding of governance processes and to ensure that they participate effectively in governance processes. According to Cuthill and Fien (2005), capacity building for communities involves "working with communities". This, to them, involves "support, and enhances the existing ability, energy and knowledge of citizens." Arnstein (1969) argues that the ability of citizens to influence decisions depends on the "nature of specialized help they have in articulating their needs; and the degree to which the group has been sorted out to

press those needs”. Cuthill and Fien (2005) place the responsibility for capacitating citizens with local government. Their argument is that the position of local government in relation to citizens makes them the right institution to capacitate citizens to ensure that they participate meaningfully in local government processes (Cuthill and Fien 2005).

Masango (2002) stresses the importance of public awareness of matters related to local government in promoting public participation in policy- making. Glover (2003) emphasized that information sharing in the policy process is a requirement to ensure “effective and inclusive public participation”. She stressed that this is merely one movement amongst other important ones. She reiterates the importance of the nature and ways in which information is provided. She also suggests the use of “appropriate and accessible” methods of providing information. This involves information on the contributions made by the public in the policy process. Below is a brief discussion of the types of participation, using Arnstein’s (1969) ladder of participation. This will be used to analyse the nature of participation and quality of participation in the present study.

According to Kugonza and Mukobi (2011) public participation is affected by Access to data which empowers residents verbalize their voice, successfully screen, consider government responsible and go into educated exchange about choices which influence their lives. As indicated by them data engages all nationals including powerless and avoided individuals to assert their more extensive rights and qualifications. They discovered that educated nationals can go to bat for their rights to consider open authorities responsible for their activities and choices. As indicated by the discoveries, lion's share of the respondents couldn't help contradicting the view that all the data on government ventures is accessible and available to the group individuals. The examination built up that data was not given opportune. Dissemination of information was not effectively and timely done by both the general public and the government. They concluded that between information accessibility and participation in lower local government projects there is a positive relationship.

Kakonge (1996) pointed out that public participation is affected by lack of communication between the government and the people. He said that projects are

formulated without the dissemination of by the government of information among local people.

2.7 Theoretical Framework

The interplay between theory and research. Participation theoretical perspectives represent a move from the top-down strategies that dominated early development initiatives to more locally sensitive methodologies. The value of participatory development grew out from the evidence that the poor have suffered in most circumstances as a result of poor development plans. Through this perspective, everyone needs to be involved in development plans, implementation and intended benefits.

This study adopted Arnstein's community participation, rational choice and public value theoretical perspectives.

2.7.1 Participatory Theoretical Perspective

The study was based on Arnstein's (1969) work on community participation. Arnstein proposed a ladder of participation. He states that participation in community activities is impacted by various elements like the focal point of energy, Issues of process and limit, aggregate initiative and demeanour that the members have towards the task. Arnstein states that specifically, there has been a move towards understanding cooperation as far as the strengthening of people and groups. This has originated from the developing noticeable quality of the possibility of the resident as customer, where decision among choices is viewed as a methods for access to control. Under this model, individuals are relied upon to be in charge of themselves and should, along these lines, be dynamic in decision making.

This theory was used in this study to explain the role and effective ways of engaging the public in participation in governance issues in local or national Governments to ensure effective, efficient and sustained delivery of public goods and services.

2.7.2 Rational Choice Theoretical Perspective

Rational decision hypothesis has assumed an essential part in the investigation of political cooperation. The rational decision display is outlined compactly in the accompanying terms: "An objective man is one who acts as follows: he can simply settle on a choice when gone up against with a scope of options; he positions every one of the choices confronting him arranged by his inclinations such that each is either wanted to, apathetic regarding, or sub-par compared to each other; his inclination positioning is transitive; he generally browses among the conceivable choices that which positions most noteworthy in his inclination requesting; and he generally settles on a similar choice each time he is stood up to with similar options (Downs, 1957).

This theory was applicable to this study in that, it explored the various ways on how the citizens and the public could improve their decision making skills to effectively and efficiently figure out proper decisions, plans and actions that can be taken during the public participation forums.

2.7.3 Public Value Theoretical perspective

The essential assumption of open esteem hypothesis is to give administrations as indicated by general society intrigue (Bozeman 2002). Public intrigue is characterized as what individuals would 'pick on the off chance that they saw plainly, thought soundly, and acted unbiasedly and generously' (Bozeman 2002; Lippman 1955). Therefore this hypothesis involves wanted results of open projects and investment of expected recipients for the administrations when conveyed by the administration bodies. Bozeman contended that 'Public value hypothesis has a tendency to work at the most abnormal amounts, for example, philosophical treatises about the general population intrigue, or at the operational level, concentrating on particular wanted program results' (2002). This hypothesis initiates open establishments to perceive open estimation of assets, merchandise, and benefits and to think the course of action under what 'is people in general best served' (Bozeman 2002).

A couple of years back, public interest was seen as excessively dubious, too esteem stacked, excessively driven and excessively clashing with the arrangements of gathering convenience; today the greater part of the general population projects and approaches, even in the creating nations, are levelled as 'for people in general intrigue' (Staples and Dalrymple 2008; Stoker 2006). This inclination of grasping natives and their interests powers the legislatures to hone sound administration, which is straightforward and responsible. This is essential particularly when a program is supported by the advancement organizations.

Moore's (1995) 'Hypothesis of Public Value' expresses that people in general part can be alive by making open an incentive through the effective execution of open administration strategies to build the general population esteem created by open division associations. Public value communicates a more proactive and political part for open segment supervisors as opposed to just remaining with customary receptive and process arranged attitudes in conveying administrations (Moore 1995).

The public value theory in this way verbalizes and endeavours to clarify the goals of this examination that, open authorities and agents ought to incorporate individuals in settling on choices for benefit conveyance. The theory intends to accomplish appropriate execution of good governance by local governments with individuals as the focal component in decision making.

2.8 Conceptual Framework

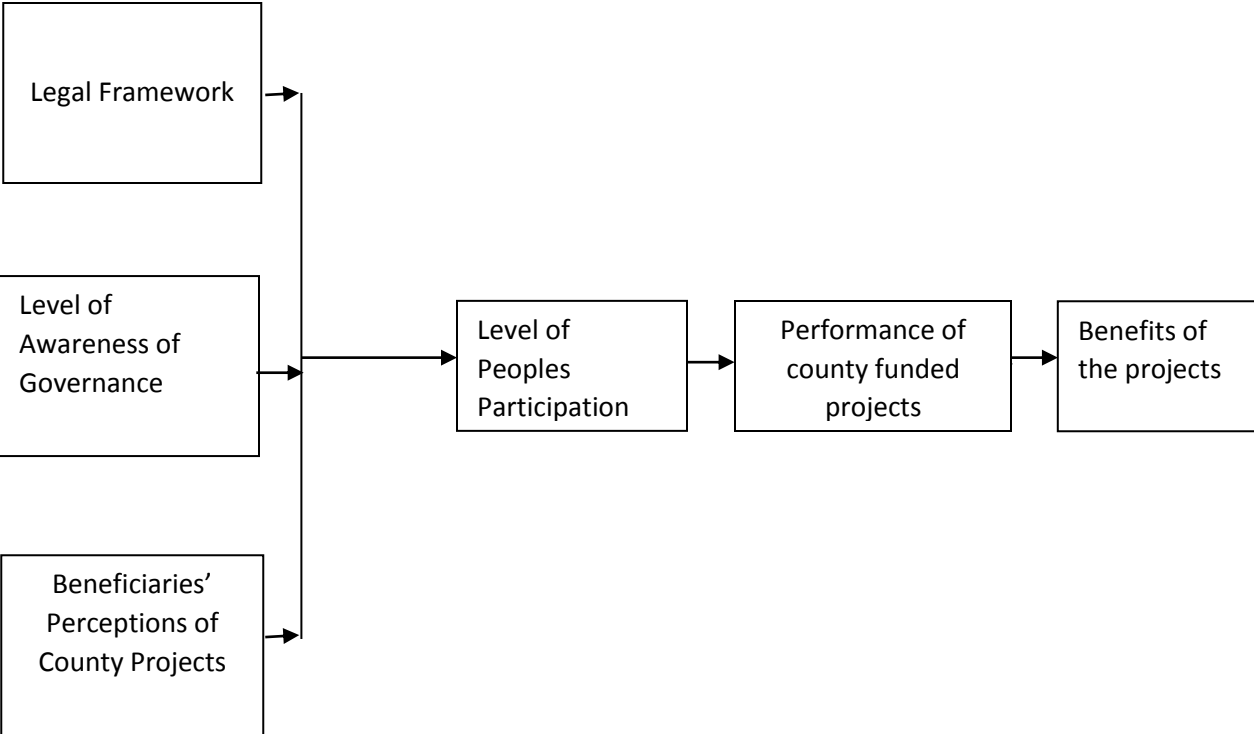
A conceptual framework is a set of coherent ideas or concepts organized in a manner that makes them easy to communicate to others.

Figure 4 below shows the conceptual model which consists of dependent and independent variables. The independent variables are legal frameworks, level of awareness of governance and beneficiaries' perception of County projects that determine the level of people's participation, performance of County funded projects and the Benefits of the projects to the people.

Figure 2.4: Conceptual Framework

Independent Variables

Dependent Variable



CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

In this chapter, we describe the research methodology used in the study. The geographical area where the study was conducted, the study design, the population and sample are all included. The instrument used to collect the data, including methods of data collection are discussed.

3.2 Study Site

The study was conducted in Nairobi County. The Nairobi City County is the creation of the Constitution of Kenya 2010 and successor of the defunct City Council of Nairobi. It is the Kenyan Capital, administrative and financial headquarters. Nairobi County is composed of 17 sub counties namely; Westlands, Dagoretti North, Dagoretti South, Langata, Kibra, Roysambu, Kasarani, Ruaraka, Embakasi South, Embakasi North, Embakasi Central, Embakasi East, Embakasi West, Makadara, Kamukunji, Starehe and Mathare. The county has 85 wards represented by 85 elected representatives who make up the Nairobi County Assembly.



Figure 3.1: Nairobi County, marked in Black.



Figure 3.2: The map of Nairobi County

The county has a population of 3.2 million occupying an area of 694.9 square kilometers. The population in the county is growing at a rapid speed mainly because of the rural urban migration, the entry of refugees from neighboring war torn countries, expatriates coming to work in the country, economic activities, and perceived better social services.

According to the Republic of Kenya Constitution (2010) in the fourth Schedule, County Governments are charged with the responsibility of:

Agriculture, County health services, control of air pollution, noise pollution and outdoor advertising, cultural activities, public entertainment and public amenities; County transport, animal control and welfare, trade development and regulation, county planning and development, preprimary education, county public works and control of drugs among others.

The poor state of service delivery is evident in the uncollected garbage, poorly maintained road networks, poor drainage, ill equipped hospitals and schools; housing, security and water problems. This has majorly been blamed on poor governance and the rapid urbanization processes.

Prior studies have shown that effective public participation in planning development and service delivery programs significantly improves a decentralized regions' delivery of services. The study will focus on the effectiveness of the frameworks that the county government has put in place to ensure public participation in its development planning activities.

The site was selected because the county has passed as legislation the Nairobi County Public Participation Act, No 11 of 2015, yet meaningful public participation has not been realized. The number of residents attending public forums and meetings as envisioned by the constitution is very low. In addition, poor delivery of services is a big challenge. Furthermore, the researcher is a resident of the county thus the economic cost of the study will be reduced. The focus will be in two of the sub counties in Nairobi County, namely Langata and Westlands. The two sub counties were selected purposively. This is mainly because the sub counties have experienced different health, education, road and water development projects initiated by the Nairobi County Government within the last 3 years.

3.3 Research Design

Research design is the plan and structure of investigation with the intention being to obtain answers to research questions. The plan is the overall scheme or program of the research. It includes an outline of what the researcher did from writing hypothesis and their operational implications to the final analysis of data.

This study was conducted using descriptive survey design. Descriptive survey research sought to obtain information that describes the existing phenomena by asking individuals, county officials about their knowledge, perceptions, attitudes, behaviour or values (Mugenda & Mugenda, 2003). Descriptive survey suited this study because the population in question was a little bit large and it was difficult to observe the characteristics of every individual. It also helped in collecting data on the people's participation in the planning and budgeting on county projects.

This design helped in assessing the level of effectiveness of the legal frameworks in people's participation in the budget process in Nairobi County and answering other research questions.

3.4 Target Population

Population refers to the entire group of people, events, or things of interest that the researcher wishes to investigate (Sekaran and Buogie 2010:262). According to Fox and Meyer (1995:99) population is all the people within a given geographic area, or all the members of a given social class.

Nairobi County has 17 sub-counties and 85 wards. The target population in this study were residents of Nairobi County as well as ward administrators and senior County officials responsible for planning and budget execution both in the County Government.

3.5 Sampling Procedure

Sampling is the process of selecting a sub-set of cases in order to draw conclusions about the entire set, while a sample is a small part of a large population obtained from the accessible population.

Sampling in qualitative research is not linked to obtaining a sample on the basis of whose characteristics generalizations to the general population can be made. The key considerations aiding the sampling in qualitative research is to get respondents who can provide relevant information and details to help answer the research questions.

Based on the aims of the research, the diverse characteristics in the respondents and the logical considerations, this study was carried out in two Sub Counties namely Langata and Westlands and all the respective 10 wards including Karen, Mugumu ini, Nairobi West, Nyayo highrise, South C, Kangemi, Karura, Kitisuru, Mountain View and Parklands . One other Sub County, Kasarani, was used for piloting.

3.5.1 Residents

Nairobi County has 17 sub-counties and 85 wards. From this population, the researcher purposefully selected 2 sub counties namely: Westlands and Langata. This was mainly because the sub counties had experienced different health, education, road and water development projects initiated by the Nairobi County Government within the last 3 years. Westlands and Langata sub counties have 10 Wards between them. The wards include: Karen, Mugumu ini, Nairobi West, Nyayo highrise and South C in Langata Sub-County and Kangemi, Karura, Kitisuru, Mountain View and Parklands in Westlands Sub County.

Purposive sampling a type of non-probability sampling relies on the judgement of the researcher when it comes to selecting the study participants. The goal is to focus on particular characteristics of a population that are of interest, which will best enable the researcher to answer the research questions.

Through maximum variation sampling which is a type of purposive sampling, the researcher identified a total of 113 participants drawn from all the Wards in the 2 Sub-Counties. The researcher felt that this number was a good representative and sufficient to make generalisations on the topic under study. Those identified showed great interest to participate in the study.

3.5.2 Key Informants

Ward administrators and Members of County Assembly are public participation practitioners in Nairobi County. Both deal directly with issues of community concerns.

A total of four (4) key informants were purposively selected and interviewed. The interviews were audio-taped and permission for this was obtained. These recordings were transcribed verbatim and the texts were analysed.

The distribution of the sample is as shown in the table 3.1 below;

Table 3.1: Sample distribution

Langata Sub County			Westlands Sub County		
	No of Participants	No of KIs		No of Participants	No of KIs
Karen	8		Kangemi	9	1
Mugumu ini	11		Karura	13	
Nairobi west	11	1	Kitisuru	16	
Nyayo highrise	12		Mountain view	19	1
South C	11	1	Parklands	3	
Total	53	2	Total	60	2
Total Population: 117					

3.6 Data and Data Collection Procedures

The researcher conducted semi-structured interviews. This type of interview offers a flexible way of collecting the data, and is very helpful in giving clarity to concepts and problems (Welman et al 2007:166). The fundamental aspect of this method is that the respondents are individuals who are members of the community and are directly or indirectly involved in the public participation processes. The questionnaire was used because it is easy to administer and it can be used to collect data simultaneously from a large group of respondents.

3.6.1 Instruments Used in Data Collection

For this study, questionnaires and face-to-face interviews were chosen as instruments for data collection. Interviewing had some advantages of flexibility in terms of adapting, adopting and altering the questions as the researcher proceeded with interviews.

As Sekaran and Bougie (2010:186) say, questionnaires have the advantage of obtaining data efficiently in terms of researcher's time, energy, and costs

According to Matthews and Ross (2010:181) there are four types of instruments which can be used to collect data from research participants and respondents. They include: Structured interviews, structured questionnaires, questionnaires and telephone surveys.

The research instrument used in this study consisted of questionnaires and face-to-face interviews. The main reason for using these instruments was that the participants were based in an area where the researcher could easily access them.

This study also utilised the qualitative interview as described by Rubin and Rubin (1995:31). Their model of qualitative interviewing emphasises the relativism of culture, the active participation of the interviewer, and the importance of giving the interviewee a voice. It was anticipated that individual perception would be used. It focused on people participation in planning and budgeting.

3.6.2 Questionnaire Construction

Questionnaires can be used in various ways. A questionnaire is used as the basis for an interview, therefore there is some kind of interaction between the respondent or participant and the interviewer. This can be face to face, over the phone or via email. If the questionnaire is used as an interview, then the interviewer must read the questions and responses in the same way for all the respondents and not offer additional help, prompt or comments to the respondent because this may affect the way the respondent hears and replies to the questions. Effectively the interaction between the interviewer and the respondent is limited to the questions and answers (Matthews and Ross 2010:203). For the purpose of this study questionnaires were used to highlight the effectiveness of the current guidelines used by the county for people's participation in the planning and budgeting in the county projects as a mechanism for empowering the community and improvement of service delivery.

3.6.3 Interview

White (2000:29) defines an interview as a popular form of data collection and, when properly conducted, can provide a rich source of material. For the purpose of conducting this study within the chosen Sub-Counties, interviews were conducted with local community members, Ward/Sub County Committees and Members of County Assembly, Ward administrators in Nairobi County. Interviews were used as an instrument to gather data. It was believed that the information that was received was to be of great importance to the development of this research as some of the respondents /participants had information about participation in planning and budgeting.

According to Kitchin and Tate (2000:213) key informant interviews are the most commonly used in qualitative technique. They allow the researcher to produce data which is varied and rich in an informal setting. It allow for a more thorough examination of the experiences, feelings and opinions that closed-ended interviews could never hope to capture. For the purpose of this study, a semi-structured open-ended interview was deemed the most appropriate type of interview to be utilised especially on the key informants.

3.7 Pilot testing

Pilot testing of instruments was done in facilities outside the sample locations before the actual data collection to test for clarity of the instruments. The instrument was pretested to 10 residents of Kasarani Sub County. The pilot testing enabled the researcher to identify possible faults in the instruments and to rephrase some questions. Interviewer effect was also checked and the researcher went through the questions to ensure uniformity in the mode and how to administer the questionnaires to respondents to help in testing for reliability and validity of instruments.

3.7.1 Validity of instruments

The researcher needs to make sure that the data-collecting instrument is valid. According to Birley and Moreland (1998:41) validity has to do with the research technique. It should be valid, sound, cogent, well-grounded, and justifiable or logically correct. Validity ensures that data sets, which have been collected, or items which have been used, are relevant to the study. For the research to be reliable, it must be demonstrated that if it were to be carried out on a similar group.

To test for validity of instruments contents, face validity was used. The questionnaire was given to 2 sets of experts. The questionnaires were given to an expert in questionnaire development and to the Kibra Sub County administrator to assess for both content and face validity. The results from the pre-test were compared and all necessary corrections made before the main stage of data collection.

3.7.2 Reliability of Instrument

White (2000:25) indicates that reliability is about consistency in research and whether another researcher could use your design and obtain similar findings. There are chances are that they may be different, this is because the judgment of individual researchers may come into effect. The reliability of a measure indicates the extent to which it is without bias and, hence, ensures consistent measurement across time and across the various items in instruments.

From the data collected from pilot testing, test-retest method was used to test for reliability.

From the resulting results, the instrument was found to give consistent results. Meaning that if used to an equal random sample it will yield consistent results.

3.8 Data collection process

According to Welman and Kruger (2001:253), the research procedures, used to investigate the stated problem, should be scientifically well-founded and be able to describe the following aspects:

- a) The population from which the participants will be obtained;
- b) The manner in which , groups are going to be formed ; and
- c) The way in which the data are going to be collected and the specifications of any apparatus.

In this study the participants were obtained from the sub counties of Langata and Westlands in Nairobi County. The participants comprised of residents, ward administrators and some county officials.

The study employed purposive sampling to collect data. The data was collected through the use of the interviews and a questionnaire. The researcher used face-to-face interviews, and a self-administered questionnaire as a method of collecting data. The questionnaires were used to measure the participants' level of awareness, public participation in county planning and budgeting, opinions and perceptions regarding county funded projects and the perceived benefits of those projects. The researcher chose the use of self-administered questionnaires due to their reliability, affordability, and they are relatively quick and have the scientific merit.

The researcher then embarked on collecting data in the sampled sub counties. Four Key Informants were audio taped during the data collection process.

3.9 Data Analysis techniques

Audio recorded files from the qualitative data were transcribed into MS Word 2007. The transcripts were extensively explored and coding was done accordingly. Results from the

two coders were cross checked and codes that seemed to be different were further explored together and more explanation was sought. The codes from the transcripts were majorly used in improving wording of the study questionnaires. Quantitative data was entered into excel and exported to SPSS. Data was analysed guided by conceptual framework. Descriptive analysis was presented with percentages, tables and graphs.

3.9.1 Chi-Square Test

The Chi-Square Test of Independence is commonly used to test statistical independence or association between two or more categorical variables. It only compares categorical variables. In addition, the tests of independence only assesses associations between categorical variables and cannot provide any inferences about causation. The test utilizes a cross-tabulation/crosstab table to analyse data.

Test statistic is a Chi-Square random variable denoted as X^2 and is computed as:

$$X^2 = \frac{\text{the sum of (observed frequency - expected frequency)}^2}{\text{Expected frequency}}$$

$$\text{Degree of freedom (df)} = (r-1) * (c-1)$$

Where r is the number of levels in the row (one categorical variable) and c is the number of levels in the column (the other categorical variable) of a crosstab.

Expected frequency counts are computed separately for each level of the row and column.

$$E_{r,c} = (n_r * n_c) / n$$

P-value is the probability of observing a sample statistic as extreme as the test statistic.

The calculated X^2 value is then compared to the critical value from X^2 distribution table with degree of freedom $df = (r-1)(c-1)$ and chosen confidence level.

CHAPTER FOUR

DATA ANALYSIS, PRESENTATION, INTERPRETATION AND RESULTS

4.1 Introduction

This chapter deals with the analysis of data collected from the field, presentation and its interpretation. Analysis of data was done using SPSS software; presentation is done using graphs and tables while interpretations are generated from analysis of the data presented.

The data analysis in this study was clustered on five thematic based on the conceptual framework of the study.

Further, the chapter highlights the summary of the statistics obtained from the study. It contains the following themes; personal characteristics, level of awareness, participation in county planning and budgeting, respondent's perception of county projects and lastly the perceived/actual benefits of the county projects.

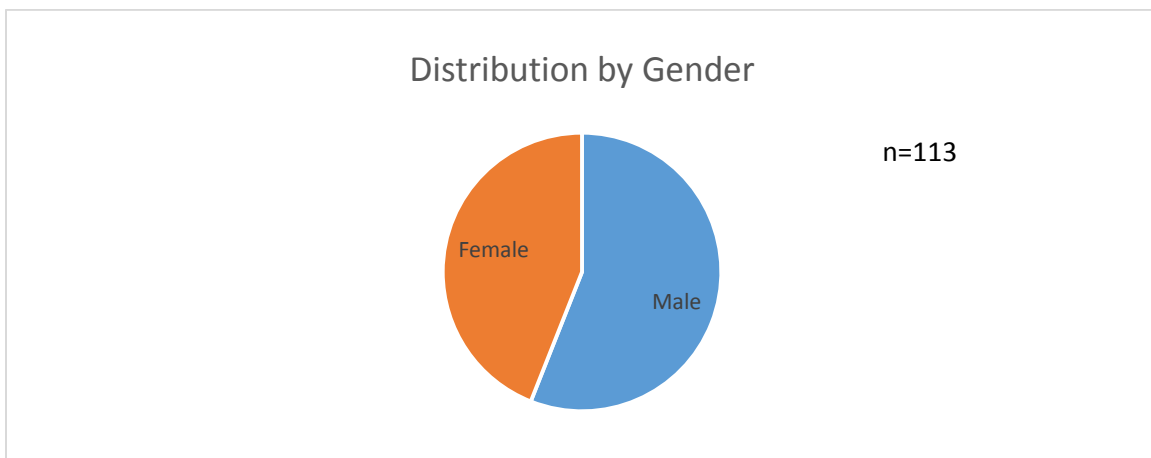
4.2 Personal Characteristics

4.2.1 Distribution by Gender.

The total number of participants in the study were 113. We had 44% of the respondents who were females and 56% who were male.

This is illustrated in figure 4.1 below.

Figure 4.1: Distribution of the respondents by Gender



4.2.2 Distribution of the respondents by Age

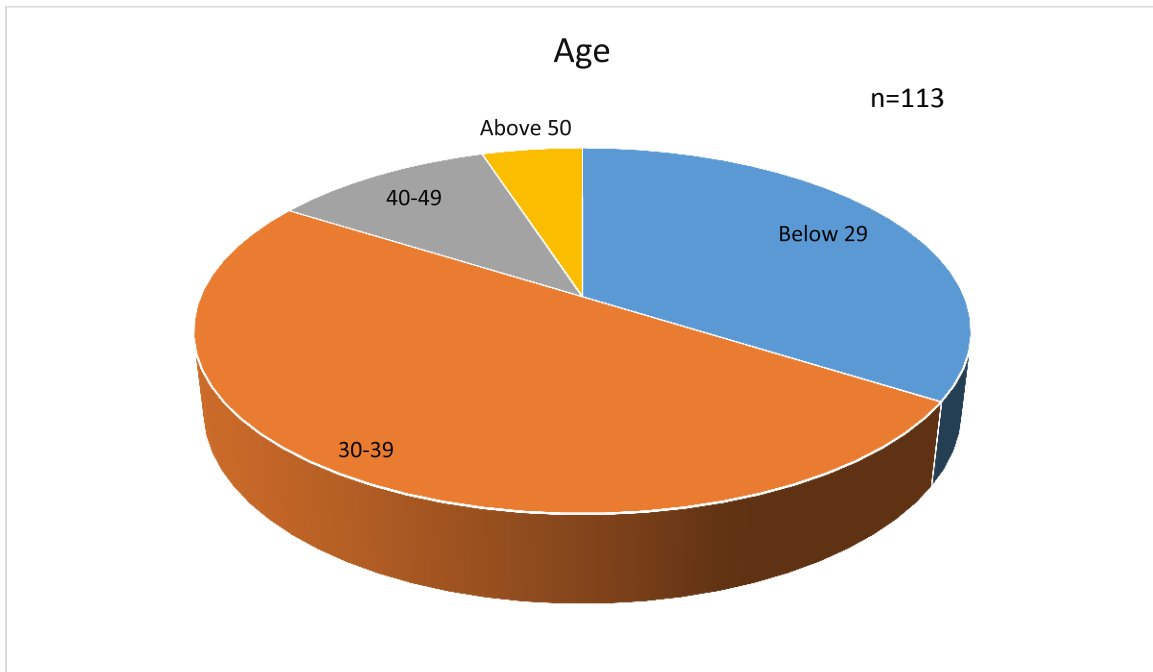
This was asked so that the researcher could find out the most active as well as the least active age group as far as participation in the public county planning and budgeting forums was concerned. And further to link the level of awareness to the different set of age groups.

“Most participants are normally above 30 years. Youths are very rare to be seen in this forums. Though we try the boda boda riders to normally have their representative here in Kangemi when we have the forums.” (KI-4)

This finding confirms KI-4 assertions that most participants in the public forums are usually those with ages above 30.

We found the age brackets of 50% of the participants to be 30-39, 34% were aged below 29, 11% were aged 40-49 and 5% were aged above 50 years. Figure 4.2 below shows the distribution of the ages.

Figure 4.2: Distribution of the respondents by Age



4.2.3 Distribution of the respondents by the level of Education

Most of the respondents had secondary education as the highest completed level at 44%, 27% had Certificate/Diploma, 14% had primary education, 13% had University Degrees and 2% had no formal education.

Since most of the respondents 84% had secondary education and above, it implied that the participants were well informed and could make rational and independent decisions in regards to the survey questions and the interests of the study.

Of interest to the researcher was how the level of education completed influenced the level of awareness as well as participation in the county planning and budgeting issues.

Table 4.1. Distribution of the respondents by the level of Education

Level of Education	Number	Percent
No formal Education	2	2
Primary education	16	14
Secondary education	49	44
Certificate/Diploma College	31	27
University/College	15	13
Total	113	100

4.2.4 Distribution of the respondents by Occupation

We asked the respondents their occupations, 86% of the respondents were business people who were self-employed, 14% were in formal employment and 2% were unemployed.

The researcher wanted to understand from the data gathered from this question whether a person's occupation had an impact on the level of awareness of county legal framework, governance and participation in county planning and budgeting.

Table 4.2: Distribution of the respondents by Occupation

Occupation	Number	Percent
Employed	14	12
Self Employed	97	86
Unemployed	2	2
TOTAL	113	100

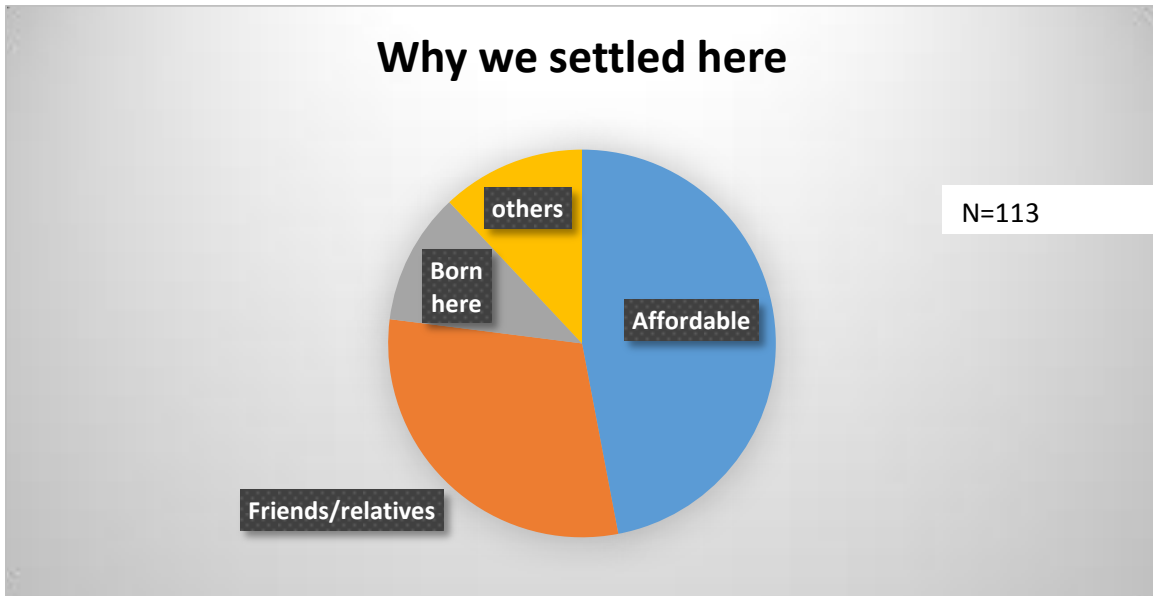
4.2.5 Distribution of the respondents by reasons for settling in their current ward

The researcher asked the respondents to give reasons on why they decided to settle in their current estates and wards. The reasons given by residents on why they settled in their current ward and estates were; 47% said it was affordable, 30% said it was because of friends/relatives, 11% said they were born here while 12% said they had other reasons for settling in their current location. This is illustrated in figure 4.3 below.

Majority of the county residents were of the opinion that affordability was the main factor that influenced where one could settle within the city.

The various responses received from the participants indicated that most of the participants were aware of their surrounding hence appropriate study subjects.

Figure 4.3: Respondents reasons for settling in their wards



For the 14 respondents who had said that they had other reasons on why they settled here, 57% of the respondents said it was business, 29% said it was because of work/job, 7% said it was because of cheap fare and another 7% said it was because it was safe. Table 4.3 below further illustrates the reasons.

Table 4.3: Reasons provided by the respondents for residing in their wards.

Reason	Number	Percent
Business	8	57
Job/Work	4	29
Fare	1	7
Safe	1	7
Total	14	100

4.2.6 Distribution of the respondents by Previous Residence

We asked the respondents their previous estates/residence before they decided to stay in their current places.

Majority of the respondents 46% had stayed in a different estate within the same sub county, 26% of the respondents lived in a different sub county, 24% migrated from their rural home and 4% had other regions not included above on where they stayed before settling in their current location.

This was in contradiction with KI-3 who had said that most residents in their wards were new tenants who had either relocated from a different constituency or from their rural areas.

“Most residents came from the neighbouring sub counties or from their rural home. This is why you find most people do not come to public forums because they are not yet acclimatised to local rules of governance”.(KI-3).

This was not found to be the case as there seemed to be other reasons other than previous residence that influenced how people participated in the public forums.

Table 4.4: Previous Residence

Where	Number	Percent
Rural home	27	24
Within this Sub County	52	46
A different Sub County in Nairobi	29	26
Other	5	4
Total	113	100

4.2.7 Distribution of the respondents by home/land ownership in rural areas

The researcher asked the respondents whether they owned a home or land in their rural areas. The researcher found out that 67% of the respondents had a land/home in their

rural areas while 33% of the respondents did not have one. This is illustrated in table 6 below.

Of key interest was whether home/land ownership could have some impact to active participation in planning and budgeting for county funded projects in the wards

Table 4.5: Home/Land Ownership Distribution

Home/Land Ownership	Number	Percent
Has land/home	76	67
Has no land/home	37	33
Total	113	100

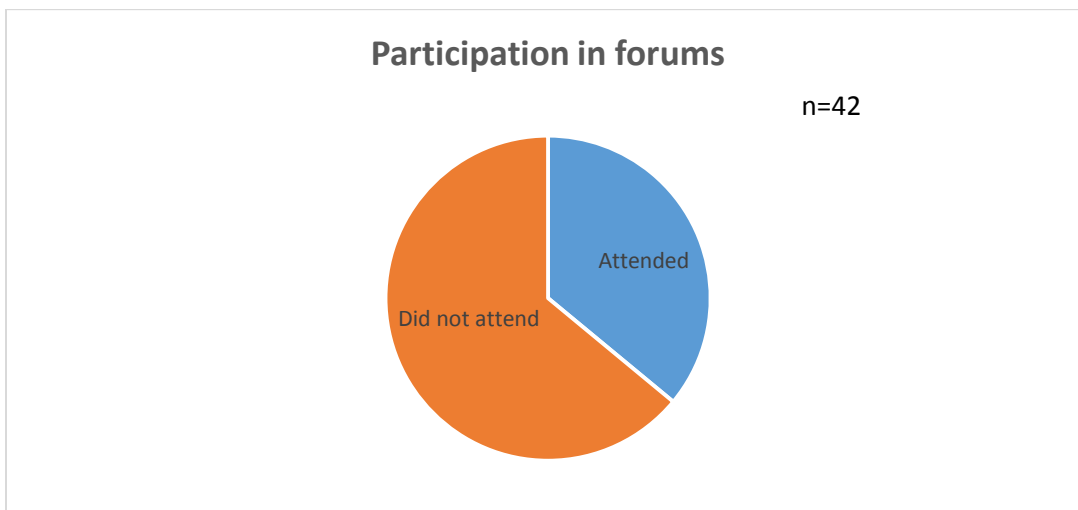
4.3 Participation in County Planning and Budgeting

The first objective of the study was to examine residents’ participation in county budget forums and their committees.

The indicators were: attendance of forums, the issues discussed in the forums and the membership to the forums and committees.

4.3.1 Participation in forums

Figure 4.4: Participation in forums



From the figure 4.4 above, we found out that of the 42 respondents who were aware of the public forums, 36% of the respondents attended the meeting while 64% did not attend the meeting.

This indicates that having knowledge on when or how public participation forums work does not translate into citizens participating in those forums. Few of the respondents actually engaged in public forums.

Table 4.6: Reasons provided by some respondents for not attending the forums.

Reasons	Number	Percent
Busy	17	63
Learnt about it later after it happened	8	29.6
Sick	2	7.4
TOTAL	27	100

Table 4.6 indicates the reasons given by the 64% of the 27 respondents on why they did not attend the forums.

4.3.2 Issues Discussed in the Participation Forums

We sought to investigate the kind of issues that those who attended the forum discussed.

Table 4.7: Issues Discussed in the Participation Forums

Issues Discussed	Number	Percent
Budget	10	66.7
Finance Bill	5	33.3
TOTAL	15	100

Table 4.7 above indicates responses of 36% of the respondents who had attended the participation forum. They gave out the above issues as those that were discussed in the participation forum and committees.

4.3.3 Membership of the Sub-County/Ward forum and committee

We asked the study participants whether they were members of the Sub-County/Ward committee.

From the participant responses, 5% of the respondents were members of the sub county committee. This is indicated in table 4.8 below.

Table 4.8: Membership of the Sub-County/Ward Committee and Forum

Respondents Membership	Number	Percent
Members	6	5
Not members	107	95
TOTAL	113	100

Of the 6 respondents who were members of the committee, the following were the number of years that they had taken as committee members.

Table 4.9: Years taken as committee member

No of Years	Number	Percent
2 years	2	33
3 years	3	50
4 years	1	17
TOTAL	6	100

From the table above, majority of committee members had been in that position for over 2 years.

“Residents decide who they want to put in that committee. We have different associations either the residents or those who do business in this shopping centre. Nominations are after 2 years of service, if the associations decide to bring the same people on board as it occasionally happens we can’t chase them away. So you’ll find members averagely having served 3 years. Sometimes some leave but those we just replace” (KI-4)

This affirms the KI-4 views that committee members are nominated twice in 5 years. With replacements made whenever one decides to leave the position.

4.4 Awareness of legal framework, governance and development projects.

The second objective of this study was to assess residents’ awareness of county government’s legal framework, governance and development projects.

The key indicators included the awareness of: the start of county governments, the name of the Governor as well as of the MCA, the resident ward, the legislation on people participation, the legal requirements for people participation, the problems experienced in the estate and household, the County Government projects, the public forums called by County Government in the last 3 years, the source of information on the public participation forums, when they attended the forums, the role of the Sub County/ward forums/committees, who constituted the ward committees and the roles played by the MCAs during planning and budgeting.

4.4.1 Level of Awareness of County Governance

The study sought to understand the respondents’ level of awareness in regards to the County Governments legislations on people participation, the challenges they face in their county and knowledge of projects their county government undertakes

The Constitution as set out in article 6:1—3 Informs on the devolved system of governance which is a two tier system of governance (national and county) where both are assigned clear mandates as detailed in the fourth schedule of the constitution. Forty seven county governments have since been created and began their roles after the 2013 general election. Both levels of government are distinct but interdependent and work on a mutual ground on the basis of consultation and cooperation.

The Public Finance Management (PFM) Act 2012 requires the counties to create avenues for public participation in the county budget process. Every County has to create a County Budget and Economic Forum to facilitate consultation on county plans and budgets.

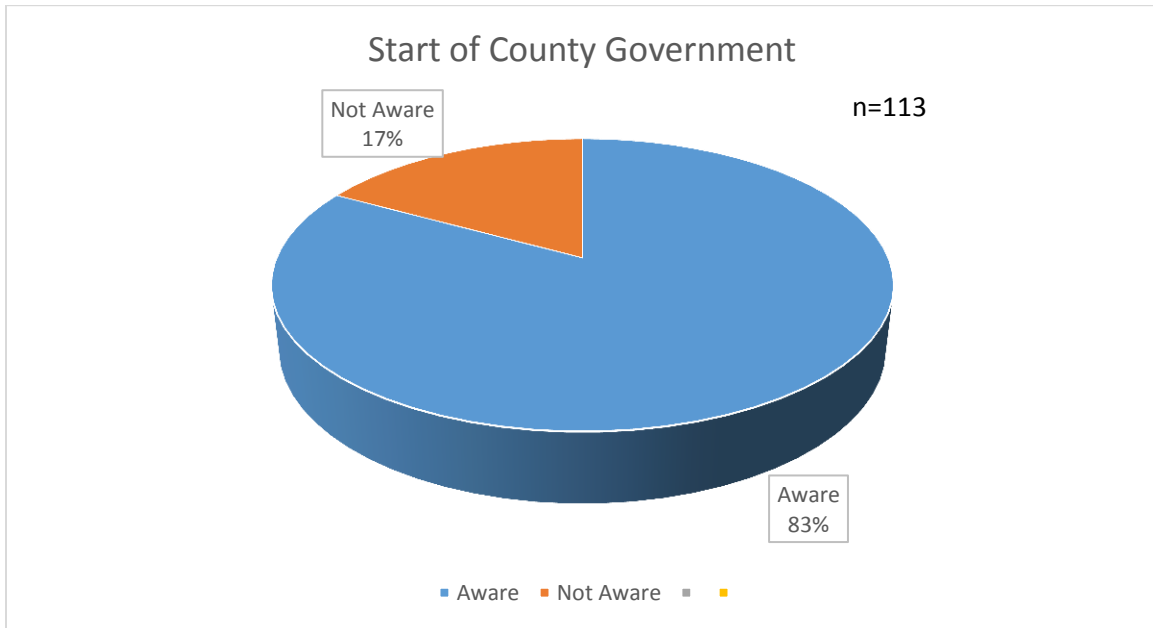
The planning process is an integral part of the development process. It is the first critical stage of the budget process (PFM: Article 35 and 126). Article 126 provides that every county should prepare a development plan in accordance with Article 220(2) of the Constitution of Kenya for approval by the County Assembly.

The County Governments Act, 2012 (CGA), 104 obligates a county to develop an integrated plan, designate planning units at all county administrative levels and promote public participation and engagement by non-state actors in the planning process. The county plans consist of amongst others, the County Integrated Development Plan (CIDP) which is a 5 year plan that informs the county's annual budget. The CIDP reflects the strategic midterm priorities of the county governments. The CIDP contains specific goals and objectives, implementation plan, provisions for monitoring and evaluation and clear reporting mechanisms. It contains information on investments, projects, development initiatives, maps, statistics, and a resource mobilization framework.

4.4.2 The Start of County Governments

We asked the respondents whether they knew when the County Governments were started.

Figure 4.5: Start of the County Governments



From the above chart, 83% answered correctly that they were started in 2013 while 17% did not find the correct answer.

Table 4.5 above shows that most of the participants knew when the County Governments started.

4.4.3 Governor/MCA Awareness

The respondents were also asked whether they knew the current names of the Governor as well as that of their MCA.

Table 4.10: Governor/MCA Awareness

Respondents Awareness	Aware (%)	Not aware (%)	Total	{N}
Governor	99	1	100	113
MCA	55	45	100	113

According to table 4.10, 99% of the respondents knew the name of their governor as Gideon Mbuvi (Mike Sonko) while 55% knew that of their Member of County Assembly as:

David Mberia- Karen ward, Jared Ondieki- Mugumu ini ward, Maurice Otieno-Nairobi West ward, Kennedy Oyugi-Nyayo highrise Ward, Osman Khalif-South C ward, Paul Shilaho-Kangemi ward, Joseph Kiragu-Karura ward, Alvin Palapala-Kitisuru ward and Maurice Ochieng-Mountain View ward.

The data confirms the view of KI-4 who said that “Most of the locals here knows who their governor is. I think it is because they think the governor should be the one solving all their problems here in the estate and because of how they normally campaign aggressively”.

Most of the Nairobi residents knew their governor as they felt that he was accountable and answerable to the shortcomings in their neighbourhood as compared to most who still did not understand the role of the MCAs. This might be one of the reasons why few respondents take part in public forums as noted in this study.

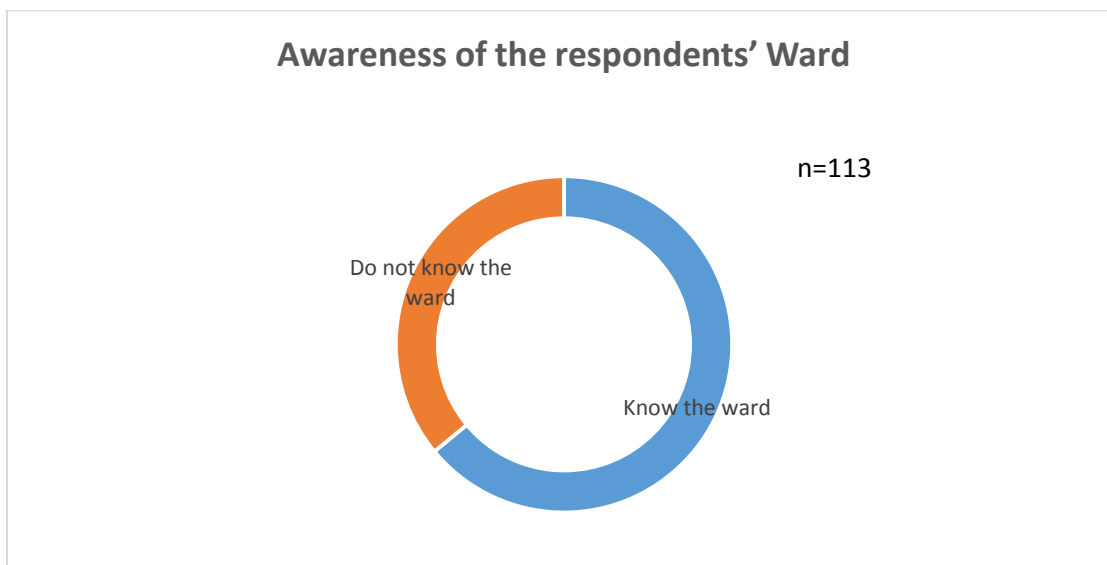
4.4.4 Awareness of the respondents’ Ward

We asked the respondents whether they knew the name of ward in which they resided in. We found out that 64% of the participants knew their ward while 36% did not know their respective ward.

The high number of participants who knew their ward indicates that the respondents were well versed with key details hence good study participants who could readily answer the research questions.

Figure 4.6 below illustrates the awareness.

Figure 4.6: Awareness of the respondents' Ward



4.4.5 Awareness of Legislation on People Participation

The Public Finance Management (PFM) Act 2012 requires the counties to create avenues for public participation in the county budget process.

Table 4.11: Awareness of Legislation on People Participation

Respondents Awareness	Number	Percent
Aware	73	65
Not Aware	40	35
TOTAL	113	100

From the table above 65% of the participants were aware of legislation on people participation in planning of the project while 35% were not aware.

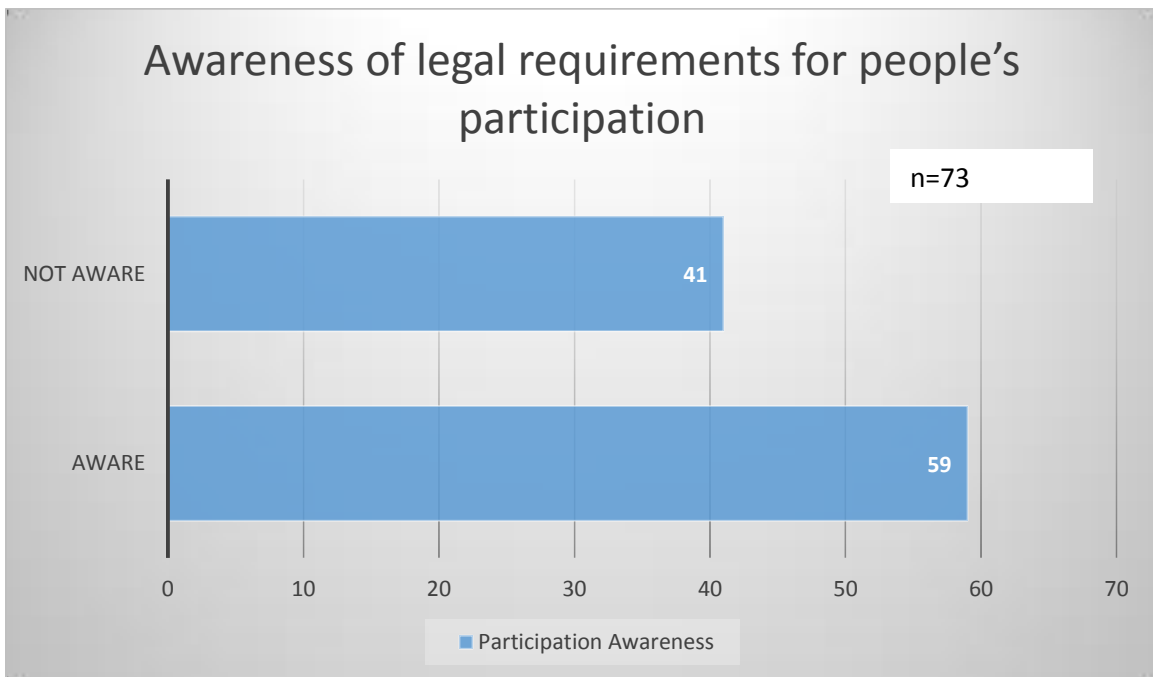
“Yes we are trying though more efforts are needed so that more people can be aware of their rights especially on the public forums participation. Though over 50% in this Nairobi West Ward I know are aware.”(KI-4)

This confirms the assertions by KI-4 that proper civic education and campaigns should be intensified to let Kenyans understand the Constitution better. This he believed would increase the number of people who will have known provisions on people participation in county planning and budgeting. This in turn would increase citizen participation when such forums are held.

4.4.6 Awareness of legal requirements for people’s participation

For the 73 respondents who were aware of the legislation, 41% of the respondents did not know how people participated while 59% were aware. This is illustrated in Figure 4.7 below.

Figure 4.7: Awareness of legal requirements for people’s participation



4.4.7 Awareness of Problems in the Estate.

All the respondents had noticed between 1 and 3 problems in their estate. The most pressing problem was lack of adequate water at 33% followed by Insecurity at 23.9%.

The least pressing problems was inadequate streetlights and harassment by city council askaris both at 0.5%. Table 4.12 below illustrates this.

Table 4.12: Awareness of Problems in the Estate

Problem	Frequency *	Percent
Poor Drainage	6	3.2
Garbage and Sanitation	15	8.1
Insecurity/police harassment	44	23.9
Water	61	33
Housing	12	6.5
Poor roads	34	18.4
Sewer	5	2.7
Poor condition of hospitals	6	3.2
Few/No streetlights	1	0.5
Harassment by City Council Askaris	1	0.5
TOTAL	185	100

* A number of respondents mentioned more than two problems,

4.4.8 Awareness of household problems

We asked the respondents to name some of the problems that they faced in their household. A big number 58% of the respondents claimed not have any problems in their households while 42% noted either one or two problems they encountered in their houses.

The 48 respondents who had indicated that they had problems in their households listed their problems as indicated in table 4.13 below.

Table 4.13: Problems given by respondents as their household problems

Problem	Frequency *	Percent
Water	37	40.2
Garbage	16	17.4
Food	6	6.5
Insecurity	17	18.5
Sanitation/Toilets	14	15.2
Leaking roof	2	2.2
TOTAL	92	100

*A number of the 48 respondents mentioned more than two problems.

We can note that water and insecurity at 40.2% and 18.5% respectively are a big challenge for the households just as they are problematic for the estates.

4.4.9 Awareness of County Government Projects

The researcher asked the respondents whether they knew any 3 projects that the County Government had initiated in the last 3 years in their neighbourhood. Majority 85% of the respondents had knowledge of a county project while 15% of respondents had no idea of any county project. The most common project identified by the respondents was streetlight/floodlight project at 35/.1%

Table 4.14: Awareness of County Government Projects

Project	Frequency*	Percent
Road Construction/Improvements	36	15.6
Developing market stalls	17	7.3
Motorcycle shades	14	6.1
Garbage collection	13	5.6
Hospital construction/Improvements	24	10.4
Streetlights/ Floodlights	81	35.1
Cleaning of markets	11	4.8
School construction/Improvements	16	6.9
Sanitation/toilets/bathrooms	8	3.5
Online County delivery platforms	6	2.6
Water provision	5	2.1
TOTAL	231	100

*Some respondents mentioned more than two projects.

4.4.10 Awareness of Public Forums

We asked the respondents whether they were aware of the public forums called by Nairobi County Government in the past 3 years.

Table 4.15: Participation Awareness

Respondents Awareness	Number	Percent
Aware	42	37
Not Aware	71	63
TOTAL	113	100

From table 4.15 above, majority 63% of the respondents said “no” while 37% of the respondents said “yes”

“Actually if you walk in this Langata sub county and ask residents, 70% of them know about the forums. They must have heard it, either in Facebook where we post a lot of information, or our ward administrators who post them in notice boards and newspapers.”
(KI-2)

In contradiction to KI-2 who was convinced that 70% of the residents in her sub county must have heard about one or two forums, the study laid bare the inadequacy of the methods used by the administrators to inform the public on impending public forums. More efforts should be put in place to aid proper campaigns on awareness and people participation in public forums.

Table 4.16: Awareness of public forums for Sub County planning and budgeting.

Respondents Awareness	Number	Percent
Aware	39	35
Not Aware	74	65
TOTAL	113	100

The respondents were asked whether they were aware of any forums called by Nairobi County to discuss issues pertaining to planning and budgeting issues.

From table 4.16 above, few respondents 35% of the respondents were aware while 65% were not aware.

Table 4.17: Frequency of Participation Forums

Frequency of participation	Number	Percent
Once	20	47
Twice	18	43
Thrice	4	10
TOTAL	42	100

We asked 42 respondents who were aware of the forums called by Nairobi County the number of times that they had heard about them. The responses are indicated in table 4.17 above.

4.4.11 Source of information on participation forums

The study sought to know where the respondents got the information on the County forums.

Of the 42 respondents who were aware of the public forums, their sources of information are captured in table 4.18 below.

It was realised that friends were the most popular source of information at 66%.

Table 4.18: Source of information on Participation Forums

Source	Number	Percent
Friends/relatives	28	66
Social media	4	10
Newspapers	2	5
Sub county notice boards	8	19
TOTAL	42	100

From the above table, we realise that most of the Nairobi county residents' source of information on public participation were friends.

“You see, those notice boards outside the office. That is where we put the notices on planned forums as well as newspapers. Actually almost 90% of those who attend the forums learn about them through our notice boards and newspapers.”(KI-3).

From the study, we found out that most of the participants knew about the forums through their friends or relatives. This therefore negates the view of the KI-3 in South C. This tells us that the current mechanism that the County administration uses is not very effective. It is either the methods being used are wrong or the laid out procedure is not properly implemented by the county officials.

Table 4.19: Forum Meeting Dates

Meeting Dates	Number	Percent
Remembered date/month	19	45
Do not remember date/month	23	55
TOTAL	42	100

We asked the 42 respondents who were aware of public forums whether they could remember the dates of when the last forum was held. As table 20 above illustrates 45% of the respondents remembered the date/month of the last forums while 55% of the respondents could not remember the date/month.

From the data, the researcher found that most respondents could not tell when the previous forums were last held.

4.4.12 Awareness of the Role of Sub County Committees/forums

We asked respondents whether the ward/sub county forums are responsible for planning and budgeting of county projects. The table 4.20 below indicates the responses.

Table 4.20: Awareness of the Role of Sub County Committees

Respondents Awareness	Number	Percent
Yes	66	58
No	47	42
TOTAL	113	100

The data indicates that most of the county residents agreed that one of the major role of the sub county committees was in the planning and budgeting of county projects.

The Sub-County and ward forums/committees should discuss and give views on issues of interests in Sub-County/Ward, implementation of County policies and plans and the administration and functioning of the Sub-County or ward.

This meant that most participants gave responses that helped the researcher understand better some of the details that he sought to understand in this study.

4.4.13 Awareness of the members that constitute the Sub County committee/forum

We asked the respondents who agreed that one of the sub county committee’s role was in the planning and budgeting of county projects.

Table 4.21: Awareness of the members that constitute the Sub County committee

Member	Frequency*	Percent
MCA	34	30.1
Residents	24	21.2
Ward Administrator/county official	27	23.9
Did not know	28	24.8
TOTAL	113	100

*A number of participants named more than one committee member correctly.

The table 4.21 above shows the responses that we received.

From the above responses, majority of the participants at 75.2% had an idea of who constituted the sub county committees.

According to the Nairobi County Public Participation Act, 2015, Part III article 11 and 12, Sub County administrator, MCA, Ward or Village Administrator may convene a Sub County/Ward people participation forums and the County Government should facilitate its organisation. The members of such forums can include representatives of villages, resident and estate associations, youth groups as well as community based organisations (CBOs) and Non-Governmental Organisations (NGOs).

4.4.14 Awareness of the role of MCAs during planning and budgeting

We asked respondents whether they knew the roles of the MCA during planning and budgeting of projects. Their responses are indicated in table 4.22 below.

Table 4.22: Awareness of the role of MCAs during planning and budgeting

Awareness	Number	Percent
Aware	54	48
Not Aware	59	52
TOTAL	113	100

Majority of the participants at 52% did not know the role of the MCA during planning and budgeting. This confirmed KI-4 who said that “Most of the residents in Kangemi and actually even the whole County do not know the role of MCAs not only during public participation but also in general. They don’t understand it”.

The county officials should take it upon themselves to educate the public through such forums the role of MCAs during planning and budgeting. The MCAs have the responsibility to convene sub county/ward participation forums and ensure that ward residents participate in such forums.

4.5 Relationships between respondents’ characteristics and their awareness on County Legal Frameworks, Governance and Development projects

The third objective of this study was to establish the influence of residents’ characteristics on their awareness of legal framework, governance and development projects.

The key indicators were on: gender, age, occupation and the education level.

4.5.1: Gender

The study used Chi square test to test if there existed any relationship between gender and awareness on County legal frameworks, governance and development projects.

The research conducted the test using collected data particularly on the level of awareness on county legal framework, the governance and development projects. After being scored on thirteen key indicators on the level of awareness, the participants were classified into having low, medium and high awareness level on county legal frameworks, governance and legal frameworks.

The following were the results of the test.

Table 4.23: Gender Distribution on Awareness of County Legal Frameworks, Governance and Legal Frameworks

Gender		Awareness			Total
		Low	Medium	High	
	Male	1	36	26	63
	Female	9	26	15	50
	TOTAL	10	62	41	113

$$X^2 = 9.596, \quad df = 2, \quad p < 0.05$$

Since the X^2 value of 9.596 was significant at 0.01, we conclude that there is enough evidence to suggest an association between gender and awareness of County legal frameworks, Governance and development projects.

Based on this, we can conclude that more men were involved in matters of governance as compared to women. This can be attributed to perceptions among some women that it is men who are mostly interested in governance issues affecting the community.

4.5.2 Age Distribution on Awareness of County Legal Frameworks, Governance and Development projects

The study used Chi-Square test to test if there existed any relationship between age and awareness on County legal frameworks, governance and development projects. The research conducted the test using collected data particularly on the level of awareness on county legal framework, the governance and development projects. After being

scored on thirteen key indicators on the level of awareness, the participants were classified into having low, medium and high awareness level on county legal frameworks, governance and legal frameworks.

The following were the results of the test.

Table 4.24: Age Distribution on Awareness of County Legal Frameworks, Governance and Development projects

		Awareness			Total
		Low	Medium	High	
Age	Below 29	5	22	11	38
	30-39	5	27	24	56
	40-49	0	6	6	12
	Above 50	0	7	0	7
	TOTAL	10	62	41	113

$$X^2 = 10.037, \quad df = 6, \quad p > 0.05$$

Since the X^2 value of 10.037 was not significant at 0.1 we conclude that there is not enough evidence to suggest an association between age and awareness of County legal frameworks, governance and development projects.

According to table 4.24 above, no people aged above 50 were aware highly aware of the legal frameworks, governance and development projects. At the same time few people below 29 were aware. The researcher felt that there should be some association between age and awareness based on information and views of some participants who took part in the study though it did not prove otherwise in this case. This can be attributed to the number of participants who participated in this study.

4.5.3 Distribution by Occupation on Awareness of County Legal Frameworks, Governance and Legal Frameworks

The study used Chi square test to test if there existed any relationship between occupation and awareness on County legal frameworks, governance and development

projects. The research conducted the test using collected data particularly on the level of awareness on county legal framework, the governance and development projects. After being scored on thirteen key indicators on the level of awareness, the participants were classified into having low, medium and high awareness level on county legal frameworks, governance and legal frameworks.

The following were the results of the test

Table 4.25: Distribution by Occupation on Awareness of County Legal Frameworks, Governance and Legal Frameworks

		Awareness			Total
		Low	Medium	High	
Occupation	Self Employed	9	55	33	97
	Employed	1	6	7	14
	Unemployed	0	1	1	2
	TOTAL	10	62	41	113

$$X^2 = 1.646, \quad df = 4, \quad p > 0.05$$

Since the X^2 value of 1.646 was not significant at 0.1, we conclude that there is not enough evidence to suggest an association between occupation and awareness of County legal frameworks, Governance and development projects.

Majority of those at high awareness were the self-employed, this was a confirmation as majority of the participants in the study were self-employed. The researcher felt that their might have been different results had the population of the participants been more balanced in terms of occupation.

4.5.4 Distribution by the Education Level on Awareness of County Legal Frameworks, Governance and Legal Frameworks

The study used Chi square test to test if there existed any relationship between education level and awareness on County legal frameworks, governance and development projects. The research conducted the test using collected data particularly on the level of awareness on county legal framework, the governance and development projects. After being scored on thirteen key indicators on the level of awareness, the participants were classified into having low, medium and high awareness level on county legal frameworks, governance and legal frameworks.

The following were the results of the test

Table 4.26: Distribution by Education Level on Awareness of County Legal Frameworks, Governance and Legal Frameworks

		Awareness			Total
		Low	Medium	High	
Education Level	No formal education	0	1	1	2
	Primary	5	10	1	16
	Secondary	3	32	14	49
	Certificate/Diploma	2	13	16	31
	Degree/College	0	6	9	15
		10	62	41	113

$$X^2 = 23.108, \quad df = 8, \quad P < 0.05$$

Since the X^2 value of 23.103 was significant at 0.01, we conclude that there is enough evidence to suggest an association between education level and awareness of County legal frameworks, Governance and development projects.

Based on the results, we can therefore state that those with higher education level will more likely to be aware of the legal frameworks, governance and development projects in the County.

4.6 Relationship between the respondents’ characteristics and their participation in public forums and committees

The fourth objective of this study was to establish the influence of residents’ characteristics on participation in County budget forums and committees.

The key indicators were on: age, gender, education level, occupation and the years of residence.

4.6.1 Distribution by Age on Participation in County Planning and Budgeting

The study used Chi square test to test if there existed any relationship between age and participation in county planning and budgeting. The research conducted the test using collected data particularly on the participation in county planning and budgeting. After being scored on three key indicators on the level of participation, the participants were classified into having low and high participation levels on county planning and budgeting.

The following were the results of the test

Table 4.27: Distribution by Age on Participation in Public Forums and Committees

		Participation		Total
		Low	High	
Age	Below 29yrs	35	3	38
	30-39	50	6	56
	40-49	11	1	12
	Above 50	7	0	7
	TOTAL	103	10	113

$$X^2 = 0.968, \quad df= 3, \quad p> 0.05$$

Since the X^2 value of 0.968 was not significant at 0.1, we conclude that there is not enough evidence to suggest an association between age and participation in public forums and Committees.

Based on the results, majority of the participants above 40 years and below 29 were not actively involved in participation in county planning and budgeting. The researcher felt that there should be some association between age and participation based on information and views of some of the participants who took part in the study though it did not prove otherwise in this case. This can be attributed to the number of participants who participated in this study.

4.6.2 Distribution by Gender on Participation in Public Forums and Committees

The study used Chi square test to test if there existed any relationship between gender and participation in county planning and budgeting. The research conducted the test using collected data particularly on the participation in county planning and budgeting. After being scored on three key indicators on the level of participation, the participants were classified into having low and high participation levels on county planning and budgeting.

The following were the results of the test

Table 4.28: Distribution by Gender on Participation in Public Forums and Committees

		Participation		Total
		Low	High	
Gender	Male	59	4	63
	Female	44	6	50
	TOTAL	103	10	113

$$X^2 = 1.104, \quad df= 1, \quad p> 0.05$$

Since the X^2 value of 1.104 was not significant at 0.1, we conclude that there is not enough evidence to suggest an association between gender and participation in public forums and Committees.

According to table 4.28 above, both gender participated in almost an equal measure. Some participants had observed that females were not usually actively involved in governance issues as some felt that their views could as well be given out by their spouses and those that are interested in governance matters.

Based on the results therefore, the researcher was of the opinion that measures taken by NGOs and CBOs to improve gender awareness and participation in governance issues especially in the counties is bearing fruits.

4.6.3 Distribution by Education Level on Participation in Public Forums and Committees

The study used Chi square test to test if there existed any relationship between education level and participation in county planning and budgeting. The research conducted the test using collected data particularly on the participation in county planning and budgeting. After being scored on three key indicators on the level of participation, the participants were classified into having low and high participation levels on county planning and budgeting.

The following were the results of the test

Table 4.29: Distribution by Education Level on Participation in Public Forums and Committees

		Participation		Total
		Low	High	
Education Level	No formal education	2	0	2
	Primary	15	1	16
	Secondary	45	4	49
	Certificate/Diploma	27	4	31
	Degree/college	14	1	15
	TOTAL	103	10	113

$$X^2 = 1.077, \quad df = 4, \quad p > 0.05$$

Since the X^2 value of 1.077 was not significant at 0.1, we conclude that there is not enough evidence to suggest an association between education level and participation in public forums and Committees.

According to table 4.29 above, we can state that education plays a critical role in participation in county planning and budgeting. We realised that all levels of education were represented in the high participation category. The researcher however felt that education level could have influence on participation in planning and budgeting when the sample size and target population is increased.

4.6.4 Distribution by Occupation on Participation in Public Forums and Committees

The study used Chi square test to test if there existed any relationship between occupation and participation in county planning and budgeting. The research conducted the test using collected data particularly on the participation in county planning and budgeting. After being scored on three key indicators on the level of participation, the participants were classified into having low and high participation levels on county planning and budgeting.

The following were the results of the test

Table 4.30: Distribution by Occupation on Participation in Public Forums and Committees

		Participation		Total
		Low	High	
Occupation	Employed	13	1	14
	Self Employed	88	9	97
	Un employed	2	0	2
	TOTAL	103	10	113

$$X^2 = 0.267, \quad df = 2, \quad p > 0.05$$

Since the X^2 value of 0.267 was not significant at 0.1, we conclude that there is not enough evidence to suggest an association between occupation and participation in public forums and Committees.

Majority of the high participants were the self-employed, this was a confirmation as majority of the participants in the study were self-employed. The researcher felt that their might have been different results had the population of the participants been more balanced in terms of occupation.

4.6.5 Distribution by Years of Residence on Participation in Public Forums and Committees

The study used Chi square test to test if there existed any relationship between years of residence and participation in county planning and budgeting. The research conducted the test using collected data particularly on the participation in county planning and budgeting. After being scored on three key indicators on the level of participation, the participants were classified into having low and high participation levels on county planning and budgeting.

The following were the results of the test

Table 4.31: Distribution by Years of Residence on Participation in Public Forums and Committees

		Participation		Total
		Low	High	
Years Residence of	Below 2 years	16	2	18
	3-5 years	29	2	31
	6 years and above	58	6	64
	TOTAL	103	10	113

$$X^2 = 0.357, \quad df= 2, \quad p>0.05$$

Since the X^2 value of 0.357 was not significant at 0.1, we conclude that there is not enough evidence to suggest an association between years of residence and participation in public forums and Committees.

In table 4.31 above, we note that participants who had stayed in their wards and estates for more than 6 years were highly likely to participate in county participation platforms. Though all residency periods were well represented in the high participation category, the researcher felt that those that had stayed in the estate and ward for many years were likely to participate in county planning and budgeting. This the researcher attributes to participants having high interest in what the County Government plans in their wards and estates to make their lives better.

4.7 Conclusion

This chapter focused on the presentation and interpretation of results relating to people's participation during the planning and budgeting process of the County Government. The literature review was used to support some arguments in the processes of data analysis and interpretation.

From the results we realise that 85% of the respondents were aware that the County Governments started in 2013, 64% of the respondents knew their wards. Most respondents at 65% were aware of legislation on people participation. On the awareness of the County Government public forums, 37% were aware of public forums being held in the County in the last three years and 36% of those who knew about the public forums attended the forum. Majority of the participants at 85% were aware of the County Projects.

Chi square tests revealed that there were no association between age, occupation and years of residence and the awareness of county legal frameworks, governance and projects.

There was however an association between the gender and level of education and the awareness of county legal frameworks, governance and projects.

Chi square tests also revealed that there were no association between age, gender, education level, occupation and years of residence and the participation in public forums and committees.

CHAPTER FIVE

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1 Summary

This chapter contains summary and discussion of the main findings which include the participation in county planning and budgeting, awareness of County Governments' legal framework, governance and development projects, relationships between respondents' characteristics and their awareness of county legal framework, governance and projects, respondents perception of county projects, relationships between respondents characteristics and their participation in public forums and committees, conclusion and recommendations for future studies.

The study was aimed at investigating the People's Participation in County Budgeting process in Kenyan Counties. Special focus was on Nairobi County. The research was guided by one main objective: to establish the effectiveness of the current legal framework for community participation in Kenyan county governments. The specific objectives were; to examine residents participation in county budget forums and their committees, to assess residents' awareness of county government's legal framework, governance and development projects, to establish the influence of residents' characteristics on their awareness of counties' legal framework, governance and development projects and to establish the influence of residents' characteristics on participation in county budget forums and committees.

Mixed methods research design was used in this study. This involved a cross sectional descriptive survey and in-depth interviews with key informants. The target population were residents of Nairobi County as well as ward administrators and senior County officials responsible for planning and budget execution both in the County Government. A sample of 113 participants distributed across the Langata and Westlands Sub Counties were identified through purposive sampling. Questionnaires and interviews of the key informants were used to collect data from the respondents. All the scheduled 113 participants were successfully interviewed without any dropout. The analysis of the collected data was done both qualitatively and quantitatively.

Most of the participants (64%) knew their wards. Majority of the participants (53%) came from Langata Sub County. Majority of the participants were males at 56%. The dominant age group were between the ages of 30-39 totalling 50% while the participants with a secondary education level 44% were the dominant education level.

5.1.1 Participation in County Planning and Budgeting

There were 37% of the respondents who were aware of a forum called by Nairobi County in the last 3 years with majority having heard about it once. Of the 37% participants who are aware of the county forums, 36% have attended such forums.

Of those who have attended the forum; 73% were males, 53% were those with secondary education, 73% were self-employed while 54% of those who attended were found to have stayed in their sub counties for more than 6 years.

It was noted that 66% of the respondents who represented the majority heard about the forums through friends/relatives.

5.1.2 Awareness of County Governments' Legal Framework, Governance and Development Projects

The study indicates that 83% of the participants knew when the County Governments started. 85% were aware of a county project being implemented or which had been implemented with streetlights/floodlights topping the charts at 35.1%.

Most of the participants representing 65%, were aware of legislation on public participation in planning and budgeting of County projects. On those who had the knowledge of the legislation on people participation; males were at 67%, those who are self-employed at 82%, the age group of 30-39 were majority in the age group category at 55% and finally those with secondary education were majority in the education level group with 38%.

Of the 65% respondents who knew about the legislation, 41% could not tell how people participate in the planning and budgeting of projects.

5.1.3 Relationships between respondents' characteristics and their awareness of county legal framework, governance and development projects

Chi square tests revealed that there were no association between age and occupation and the awareness of county legal frameworks, governance and projects.

There was however an association between the gender and level of education and the awareness of county legal frameworks, governance and projects.

5.1.4 Relationships between the respondents' characteristics and their participation in public forums and committees

Chi square tests revealed that there were no association between age, gender, occupation, level of education and years of residence and the participation in public forums and committees.

5.2 Conclusion

It was found out that few residents of Nairobi County participate in public forums called by the County Government. Mostly affected are youths below 29 years old and senior citizens above 50 years old. Only 37% of Nairobi residents were aware of public forums to discuss planning and budgeting issues. It is either the County Government has weak legislation or their official are not putting enough effort to ensure residents come out in large numbers to discuss planning and budgeting issues.

Not only being aware of legislation on public participation is enough, close to half of the respondents who had idea on the same did not know how citizens can participate. As 99% knew their governor, 45% did not know the name of their MCA. The disinterest in knowing MCAs is linked to poor public participation in the Sub-counties and Wards as residents do not care who participates or not and whether issues affecting their wards are addressed or not.

Almost all respondents at 99% had knowledge of one or more shortcomings of Nairobi County. This means that there are many challenges that are not yet addressed by the County Government.

5.3 Recommendations

The study has revealed that;

1. There is need for the County Governments to come up with aggressive civic education campaigns. This is because as noted, a big chunk of the respondents were ignorant of the fact that public participation is their constitutional right. The effort should not only be to make the public aware of the public forums but also to make the public knowledgeable on the importance of attending such forums.
2. There is need for administrators to play a big role in the sensitization and creation of awareness to the youth and older citizens who do not seem to take interest in participating in public planning and budgeting forums.
3. Facilitators should provide materials in a language that most residence understand.
4. The County Governments should use different platforms when timely informing the public on the date, time, venue and topic of discussion. This can be done through use of social media and key personalities in the community like local pastors, priests, chiefs and other influential persons in the community. This will ensure that the locals attend these fora and share their views so that the projects implemented meet their needs. This will reduce cases of residents getting aware of public participation forums after it had happened.
5. The County Governments should consider facilitating those who attend public participation forums by either refunding participants' fare or providing them with lunch during the forum sessions. This can increase attendance.
6. It is also important that prior to the public participation, the relevant documents are availed to the public so that they know what will be discussed during the forums.
7. The views and concerns raised by participants during public participation forums should be taken into account during project identification, implementation and evaluation. This will ensure that only the priority projects identified by the locals are implemented.

REFERENCES

- Alila, P.O. and Omosa, M. (1996). "Rural Development Policies in Kenya". In: Ng'ethe, N., & Owino, W., eds., 1996. *From Sessional Paper No. 10 to Structural Adjustment: Towards Indigenizing the Policy Debate*. Nairobi: Institute of Policy Analysis and Research
- Arnstein, S 1969, 'A ladder of citizen participation', AIP Journal, vol. 35, no. 4, July 1969, pp. 216–24.
- Bhatnagar, B., & Williams A. C. (Eds.) (1992). *Participatory Development and the World Bank*. World Bank Discussion Papers No. 183, Washington DC: World Bank.
- Birley, G. & Moreland, N. 1998. *A practical guide to academic research*. London: Kogan Page Ltd.
- Bozeman, B. (2002). 'Public-Value Failure: When Efficient Markets May Not Do', *Public Administration Review*, vol. 62, no. 2.
- Buchy M, Ross H, Proctor W (2000). *Enhancing the information base on participatory approaches in Australian natural resource management: Commissioned research under the Land & Water Australia's Social and Institutional Research Program.* Land & Water Australia, Canberra.
- Burns, D et al (1994) *The politics of decentralisation*, London: Macmillan
- Chambers R (1997) 'Whose reality counts? Putting the first last.' (Intermediate Technology Publications: London)
- Chitere, P., and Ileri, O. (2008). "District Focus for Rural Development as a Decentralized Planning Strategy: An Assessment of its implementation in Kenya". In: Kibua, T.N. and Mwabu, G. eds., 2008. *Decentralization and Devolution in Kenya: New Approaches*. Nairobi: University of Nairobi Press.

Cogan and Sharpe (1986) “The Theory of Citizen Involvement” in Planning Analysis:
The Theory of Citizen Participation, University of Oregon

Coulibaly, S. (2004). ‘*Citizen Participation, good governance and sustainable development: The conditions of the social sustainability of development actions*’. Available at <http://www.francophonie-durable.org/documents/colloque-ouagaa5- coulibaly>.

County Government Act, 2012. Government printer. Nairobi.

Cuthill, M & Fien, J 2005, ‘Capacity building: Facilitating citizen participation in local governance’, Australian Journal of Public Administration, vol. 64, no. 4, pp. 63–80.

Davis et al., supra note 14, at 120 *discussing the roots of stewardship theory in psychology and sociology* vision of Poverty Reduction through empowerment.

DFID (2007), ‘*Civil Society and Good Governance*’ Briefing: A DFID Practice Paper, Department of International Development. London.

Finkel S. et al. 2011: Civic education and democratic backsliding in the wake of Kenya’s Post Election violence.

Fox, W. & Meyer, I, H. 1995. *Public Management Dictionary*. Cape Town: Juta & Co Ltd.

Government of Kenya. 2012. *Public Finance Management Act 2012*. The Government Printer. Nairobi

Government of Kenya. (2010). *Constitution of Kenya 2010*. The Government Printers. Nairobi

Harwin Mwendwa Boniface 2012: Community participation in the management of LATF projects: a case study of the municipal council of Machakos, Kenya.

John M Riley (2002); Stakeholders in rural development. Sage publications 2002.

Kakonge J.O (1996): Problems with public participation in EIA Process: examples from sub-Saharan Africa

- Kelly, J., Rivenbark, M. & William, C. (2011) Budget Theory in Local Government: The Process-Outcome Conundrum, *Journal of Public Budgeting, Accounting & Financial Management*, 20(4): 457-481
- Kihonga and Kaseya 2016: Factors Affecting the Effectiveness of Public Participation in County Governance in Kenya: A Case of Nairobi County
- Kitchin, R. & Tate, N. 2000. *Conducting Research in Human Geography: Theory, Methodology and Practice*. London: Prentice Hall.
- Kothari, C. R. (1985): *Research Methodology: Methods and Techniques*. Willey Eastern Limited, New Delhi.
- Lippman, W. (1955). *'The Public Philosophy'*, Hamish Hamilton, London.
- Masango, R. 2002. *Public Participation: A Critical Ingredient of Good Governance*, *Politeia* 21(2): 52-65. Sabinet Online <http://search.sabinet.co.za> (Accessed 21 March 2010).
- Matthews, B. and Ross, L. 2010. *Research Methods: A practical guide for the social science*. England: Pearson Limited
- Midgley J, Hall A, Hardiman M, Narine D (Eds) (1986) 'Community participation, social development and the state.' (Methuen: London; New York).
- Momen N. & Begum M. (2005). *Good Governance in Bagladesh: Present and Future Challenges*. Institute of International Economics, New York.
- Moore, M.H. (1995). *'Creating Public Value: Strategic Management in Government'*, Harvard University Press, USA.
- Mulwa, Francis (2004): *Demystifying Participatory Community Development*, Paulines publication Africa.
- Mutwiri Gideon Kimathi: Factors influencing public participation in the county integrated development planning process. A case of county government of Meru

- Oloo A. 2006: Devolution and Democratic Governance: Institute of Policy Analysis and Research.
- Okello, M et al. 2008. Participatory Urban Planning Toolkit Based on the Kitale Experience: A guide to Community Based Action Planning for Effective Infrastructure and Services Delivery. Practical Action. Nairobi
- Oyugi, N. and Kibua, T. N. 2006. Planning and Budgeting at the Grassroots Level: The Case of Local Authority Service Delivery Action Plans. IPAR. Nairobi.
- Pretty J, Ward H (2001) Social capital and the environment. *World Development* 29, 209- 227.
- Robert Chambers 1983: Rural Development, Putting the last. Routledge publishers.
- Rubin, H.J. & Rubin, I.S. 1995. *Qualitative Interviewing: The art of hearing data*. London: Sage Ltd.
- Sekeran, U. & Bougie, R. 2010. Fifth Edition. *Research Methods for Business: A Skill Building Approach*. London: Wiley and Sons Ltd.
- Shah, W. (2006), '*Local Governance in Developing Countries, Public Sector Governance and Accountability*', The World Bank, Washington, DC.
- Shende, S. and Bennett, T. (2004). *Transparency and Accountability in Public Financial Administration*. New York: UN-DESA.
- United Nations Centre for Regional Development, (2008). Social Development Issues in Africa.
- Theron, F. & Ceasar, N. 2008. *Participation a Grass-roots Strategy for Development*. Pretoria: Van Schaik. Publishers.
- Wakwabubi, E. and Shiverenje, H. 2003. Guidelines on Participatory Development in Kenya: Critical Reflection on Training, Policy and Scaling Up. Nairobi.
- Welman, J.C. & Kruger, S.J. 2001. *Research Methodology for the Business and Administrative Sciences*, 2nd edition. Cape Town: Oxford University Press.

Welman, J.C., Kruger, S.K. & Mitchell, B. 2007. *Research Methodology*. Cape Town: Oxford University Press.

White, B. 2000. *Dissertation Skills for Business Management Students*. London: Continuum.

World Bank (2000). *The Community Driven Development Approach in the African Region: A vision of Poverty Reduction through empowerment*

**A SEAT AT THE TABLE? ...PEOPLE’S PARTICIPATION IN THE COUNTY
BUDGETING PROCESS: CASE STUDY OF NAIROBI COUNTY**

Hi,

My name is _____ I am a graduate student at the University of Nairobi. I am conducting research on people participation in the budgeting process in Nairobi county Kenya. This is partial fulfilment of a Master of Arts Degree in Rural Sociology and Community Development. I promise that all information will be treated with utmost confidentiality. Your support will be highly appreciated. Thank you in advance.

Within a city, improvement in service delivery of resources might be more important e.g. provision of water, electricity, reduced traffic congestion etc. Projects could be in form of building a new road, a school, a health facility and boreholes etc. or could be renovating/improving existing ones.

A QUESTIONNAIRE FOR COMMUNITY MEMBERS

SECTION A. PERSONAL CHARACTERISTICS

Name of the respondent:	
Gender:	Male ()
	Female ()
In which ward do you belong?	
In which estate do you reside?	
Why did you decide to settle here?	Affordable ()
	Friends/ Relatives ()
	Born Here ()
	Others ()
Where were you residing before you settled here?	Rural home ()
	Within this Sub County ()
	A different Sub County in Nairobi ()

	Other
What is your age in years?	Below 29
	30-39
	40-49
	Above 50
What is your highest completed education level?	No formal education
	Primary education
	Secondary education
	Certificate/Diploma College
	University/College
What is your marital status?	Single
	Married/cohabiting
	Divorced/separated
	Widowed
How many children and other dependents do you have?	
What is your occupation?	
Approximately, what is your monthly income?	
Do you yourself (as opposed to other family members) own any productive assets-those are things that help you make money yourself (for example sewing machine, matatu etc.)?	Yes () No ()
If yes, which ones?	
Do you own the house that you stay in?	Yes () No ()

		Roof	Wall	Floor
What is the roofing, wall and floor materials of your house?	Iron sheets			
	Mud/wood	()	()	()
	Bricks/stones	()	()	()
	Tiles	()	()	()
	Other	()	()	()
What is its number of rooms (minus kitchen and bathrooms)?				
For how long have you lived here?				
Do you own a land/home in the country side?	Yes () No ()			
SECTION B: LEVEL OF AWARENESS				
Which year were the county governments started?				
Who is the governor of your county?				
Who is the MCA of your county?				
What are the problems of your estate?	(i) (ii) (iii) (iv) (v) (vi)			
What are the problems facing your household?	(i) (ii) (iii) (iv) (v)			

	(vi)
Which projects has the county government started in your sub county in the last 3 years?	(i) (ii) (iii) (iv) (v) (vi)
Are you aware of the provision of the constitution on people's participation in the following:	
(a) Planning of the project?	Yes () No ()
(b) Budgeting for the projects?	Yes () No ()
If you are aware, how are people participating?	
If you are not aware, why?	
SECTION C: PARTICIPATION IN COUNTY PLANNING AND BUDGETING	
Are you aware about public forums called by the representatives of the Nairobi county government in the past 3 years?	Yes () No ()
If yes, how many public forums have you heard in the last 3 year?	
How did you know about the public forums?	

Are you aware about a forum called by the representative of the Nairobi County Government to discuss issues pertaining to planning and budgeting in your sub county/ward?	Yes () No ()
If Yes, can you remember the date/month by which the last meeting took place?	
Did you attend that meeting?	Yes () No ()
If No, Why?	
Can you briefly explain the critical issues which were discussed in that meeting?	
Are those sub county/ward committees/forums responsible for the planning and budgeting for county projects?	Yes () No ()
If yes, who are the members?	
Are you a member/leader of any of the committees/forums?	Yes () No ()
If you are a leader, for how many years?	
Which role is played by Members of County Assembly during planning and budgeting for projects?	

SECTION D: RESPONDENTS PERCEPTION OF COUNTY PROJECTS

For any three main projects implemented by the Nairobi County in the past 3 years; Indicate:

Type of Project	State of Progress	Satisfied with the expenditure of the project?
		Very Satisfied Satisfied Not Satisfied
		Satisfied

What problems have been associated with the projects?

- (i)
- (ii)
- (iii)
- (iv)
- (v)

SECTION E: PERCEIVED/ACTUAL BENEFITS OF THE PROJECTS

Have you and your household benefitted from the following projects initiated by the County Government?

a) Provision of bursaries to needy students

Yes () No ()

b) Provision of water and construction of a water pan in the ward

Yes () No ()

c) Construction/improvements of public school classes

Yes () No ()

d) Construction of perimeter walls in schools	Yes ()	No ()
e) Construction of milk processors in designated regions in the sub county	Yes ()	No ()
f) Provision small scale fish feed cottage industries with pelletizers	Yes ()	No ()
g) Construction of roads	Yes ()	No ()
h) Improved garbage collection	Yes ()	No ()
i) Online application of permits	Yes ()	No ()
j) Online/Mpesa payments of rates/permits/taxes	Yes ()	No ()

Comments (if any) -----

**A SEAT AT THE TABLE? ...PEOPLE’S PARTICIPATION IN THE COUNTY
BUDGETING PROCESS: CASE STUDY OF NAIROBI COUNTY**

INTERVIEW GUIDE FOR KEY INFORMANTS

Hello .

My name is _____ I am a graduate student at the University of Nairobi. I am conducting a research on people participation in the budgeting process in Nairobi county Kenya. This is in partial fulfilment of a Master of Arts Degree in Rural Sociology and Community Development. I promise that all information will be treated with utmost confidentiality. Your support will be highly appreciated. Thank you in advance.

Within a city, improvement in service delivery of resources might be more important e.g. provision of water, electricity, reduced traffic congestion etc. Projects could be in form of building a new road, a school, a health facility and boreholes etc. or could be renovating/improving old ones.

1. Name of the respondent

2. Gender

3. Position

4. What is your age?

5. What is your highest completed education level?

6. How is Planning and Budgeting process carried out by the County?

7. Which structures are in place to facilitate community participation in the county?

8. Are you aware of your role as a Sub county/Ward Committee member during the Planning and Budget implementation? YES () NO ()

If **YES**, please explain the role:

9. What skills have you acquired during the community participation phase of the planning and budgeting process?

10. Were you consulted during the Planning and Budgeting process? YES/NO

If **No**, state reason:

11. Are you aware of any challenges that are faced by the County government in the planning and budgeting process?

12. Are you aware of any challenges that are faced by the County government in regards to community participation in the planning and budgeting process?

13. Any other comments/suggestions you would like to make.

