

**LEVEL OF GRASSROOTS PARTICIPATION IN SUSTAINABILITY OF  
PROJECTS INITIATED BY COMMUNITY BASED ORGANIZATIONS IN  
MADIANY DIVISION, KENYA.**

**BY**

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PLANNING AND MANAGEMENT OF THE UNIVERSITY OF NAIROBI**

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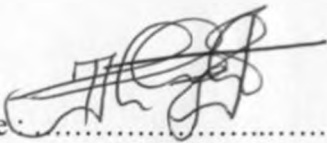


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## DECLARATION


This research project is my own work and it has not been submitted for any degree or examination in any other University.

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## **DEDICATION**

This study is dedicated to all those development workers who strive to permanently make better the lives of the poor populace in Kenya.

## ACKNOWLEDGEMENT

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## ABSTRACT

The rise of grassroots participation is premised on perceived benefits that participation brings to community programs in terms of added efficiency, sustainability, and the collective community power. It is critical for social service professionals to gain the knowledge and skills to mobilize community members to join together and move from personal social concerns to collective concerns via organized grassroots actions. However, the type of people who are likely to become involved in grassroots mobilization efforts, and the motives for such participation, vary based on the level at which they are involved in the community projects. The structures within CBOs that encourage this participation and the extent of participation in CBO project components have not been clear. The influence of grassroots participation on sustainability of the projects had also not been clear.

The purpose of this study was to further an understanding in the current practice in which community members participate in projects initiated by the CBOs and examine how this contributes to the sustainability of these projects in Madiany Division. The objectives of the study were to determine the extent at which characteristics of CBOs promote grassroots participation in projects initiated by CBOs; examine the extent of grassroots participation in selected stages of projects initiated by CBOs and assess the levels of grassroots Participation in sustainability of these projects.

This was a descriptive survey where both quantitative and qualitative methods were used to collect data. For quantitative data, simple random sampling technique was used to obtain the CBOs to participate in the study while purposive sampling was applied to get the respondents for the qualitative data. The major data collection instrument was the project assessment tool which assessed the level of participation in the selected stages of project management cycle.

The study found out that grassroots participation in CBO projects is stimulated by some characteristics of CBO and involve them differently at different stages of project management. The levels of grassroots involvement were also found to be different, depending on the perception of the community and the nature of projects being implemented. This study found out that grassroots participation encourages the community to learn and make informed decision on the implementation of the projects. This also enhances ownership and hence empowerment of the community. The researcher therefore concludes that grassroots participation contributes to the sustainability of the projects initiated by the CBOs. The researcher recommends that CBOs' internal structures be strengthened, more collaborative efforts between the stakeholders and the CBOs implementing community projects and also close monitoring and regulation of CBO work be done to capture their contribution to development.

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## LIST OF ABBREVIATIONS AND ACRONYMS

<b>ACTS</b>	-	African Centre for Technology Studies
<b>AIDS</b>	-	Acquired Immune Deficiency Syndrome
<b>ASCAs</b>	-	Accumulating Savings and Credit Associations
<b>BESO</b>	-	Basic Education Strategic Objective programme
<b>CBOs</b>	-	Community Based Organizations
<b>CBP</b>	-	Community Based Planning
<b>GP</b>	-	Grassroots participation
<b>DSDO</b>	-	District Social Development Officer
<b>EZ/EC</b>	-	Empowerment Zones and Enterprise Communities
<b>FGDs</b>	-	Focused Group Discussions
<b>HBC</b>	-	Home Based Care
<b>HIV</b>	-	Human Immunodeficiency Virus
<b>KI</b>	-	Key informant
<b>KIIs</b>	-	Key Informant Interviews
<b>MGCSD</b>	-	Ministry of Gender, Children Affairs and Social Development
<b>NGOs</b>	-	Non-Governmental Organizations
<b>ROSCAS</b>	-	Rotating Savings or Credit Associations
<b>SPSS</b>	-	Statistical Package for Social Sciences
<b>UNDP</b>	-	United Nations Development Programme

## **CHAPTER ONE**

### **1.0 INTRODUCTION**

#### **1.1 Introduction**

This chapter describes the background to the study, the statement of the problem, the research questions, the objectives, the purpose of the study, the research objectives, the research questions, significance of the study, limitations of the study, and delimitations of the study, basic assumptions and definition of significant terms.

#### **1.2 Background of the Study**

The concept of grassroots participation has a long history in transformative development discourse. Its allure can be traced to the failure of top-down, economic growth oriented development models of the 1950s and 1960s adopted by newly emerging nation states (Murthy, *et al.* 2005). Within the field of development, grassroots participation (GP) is advocated as a means of promoting local ownership of projects, by challenging communities to define their own problems, create their own solutions, and initiate change through their own involvement (Beneye, *et al.*, 2006). There are so many success stories worldwide to prove the value of grassroots participation. However, the level of grassroots participation varies depending on the project implementation mechanism adopted by the project.

Extent and effectiveness of grassroots participation of realization of project goals depend on other factors such as prevailing socio-economic situation, local institutional support arrangement, level of project support staff intervention and existing development situation (Dhahanayake, 2004; and Qingwen Xu 2007). This does not, however, imply that all the community members participate in the community projects. Diverse activities

and practices can be labelled as grassroots participation, but each is likely to require a different degree of involvement and provoke a distinct outcome. According to one source "participation is an experience felt differently by different people in different circumstances, even in similar situations...because the benefits that flow from participation may not be the same for all" (Govinda and Diwan, 2003).

Social capital in the form of groups is used in communities worldwide, especially in rural areas, as safety nets to cope with risks and for mutual assistance. Groups provide a means of collective action for community members, providing resources such as credit, labour, and information (Davis and Negash, 2005). These groups exist in the form of Community Based Organizations (CBOs). Grassroots participation in projects initiated by CBOs is a key and common phenomenon as the CBOs' projects are perceived to address issues that directly affect the community as their aim is to improve the wellbeing of the community members, devoid of socio-economic ills. It is a presupposition that the CBO operatives are familiar with issues that exist within the community.

The rise of grassroots participation is premised on perceived benefits that participation brings to community programs in terms of added efficiency, sustainability, and the collective community power, (Qingwen Xu, 2007). Hoddinott, *et al*, (2001) suggest that because communities possess informational advantages unavailable to outsiders, grassroots participation offers the prospect of lowering the cost of antipoverty interventions. This study set out to look into the contribution of the level of grassroots participation in the sustainability of projects initiated by the community based organizations in Madiany Division.

### **1.3 Statement of the Problem**

Community-based grassroots interventions by CBOs have often been described as reputationally strong and are able to respond to issues and increase service delivery at the community level (World Bank, 2005). Projects implemented by CBOs in the community are aimed at mitigating on social, cultural and economic factors affecting the communities' livelihoods. With the high trends at which groups are formed at the community level, there is an implied presupposition that the community is increasingly getting involved in their own socio-economic development leading to increased service delivery in the community. The extent to which the grassroots participate in the projects is not clear.

So far there have not been comprehensible enabling structures within the CBOs that promote grassroots participation. CBO projects that are being funded by the development agencies either fail to realize its purpose or seem to cease to exist once their funding periods end. The contributions that grassroots participation makes in sustaining the projects initiated by the CBOs is not clear. Different scholars have conducted varied studies on the effectiveness of grassroots participation in programmes and projects (Suthasupa, 2000; Morrissey, 2000; Burger, 20007; Marfo, 2007 and Qingwen Xu, 2007). However, these have been in different regions, but in Madiany Division, none has been conducted. Based on these uncertainties and gaps, this study set out to determine the extent to which community members participate in projects initiated by the CBOs, how they are encouraged to participate by the CBOs and how this leads to the sustainability of the projects in Madiany Division, Rarieda District.

## **1.4 Purpose of the Study**

The purpose of this study was to further an understanding in the current practice in which community members participate in projects initiated by the CBOs and examine how this contributes to the sustainability of these projects in Madiany Division.

## **1.5 Research Objectives**

This study was guided by the following specific objectives:

1. To determine the extent at which characteristics of CBOs promote grassroots participation in projects initiated by CBOs;
2. To examine the extent of grassroots participation in selected stages of projects initiated by CBOs;
3. To assess the levels of grassroots Participation in sustainability of these projects

## **1.6 Research Questions**

The study sought to answer the following questions;

1. What is the extent of promotion of grassroots participation in CBO projects by characteristics of the CBOs?
2. To what extent is grassroots participation in selected stages of projects initiated by CBOs?
3. In what ways do levels of grassroots Participation contribute to the sustainability of the projects initiated by CBOs?

## 1.7 Significance of the Study

Grassroots participation in CBOs' projects creates an enabling environment and realization of development objectives. It also improves understanding between the development partners and the beneficiaries of the initiatives, leading to ownership of the development initiatives. CBOs are initiated to articulate the development needs of their members and the community within which they are founded. They are established with the aim of intervening on the issues affecting community development and enhancing the community's empowerment. The CBOs' positive attributes can be enhanced through a greater understanding of their inclusion processes of the community members in their development activities. Conducting this study brought out this understanding and the researcher hopes that the findings will contribute to emerging debates on the role of civil society and social capital in community development and to improving the effectiveness of strategies aimed at strengthening participation. It is hoped that this will enhance service delivery mechanisms and greater decision making at the community level

This study determined the extent to which communities participate in and how this enhances sustainability of projects initiated by CBOs. The researcher hopes that the data obtained through this study will help the government of Kenya in policy making for enhancing community development. The scholars would use the study findings for writing academic documents and also for further research in the areas cited. The NGOs (both local and international) and CBO fraternity will use the study findings in organizational development system strengthening, planning in designing and implementing effective and sustainable community based development programmes. The researcher also hopes to present the study findings in workshops to contribute to knowledge and also influence policies and enhance effective management of CBOs.

## **1.8 Limitation of the Study**

The limitation of this study is that the number of CBOs selected for the study was a small sample and cannot be generalized to represent the whole country. Further research is recommended on the area. It was also limited to the conclusion that what the participants say was deemed to be the true situation in the whole division. The study was also limited in some focused group discussion (FGD) sessions, where there were conflicting contributions by the participants, especially CBO members, on issues that were under discussion. Key informant (KI) interviewees also generated some disparities in information in the same locality. These were, however, ironed out through other key informant interviews and FGDs. The cost of conducting the study was limited to the division only and could not be enough to support the study in the whole district to give a bigger picture.

## **1.9 Delimitation of the Study**

This study was conducted in all the locations of Madiany Division, Rarieda District. It was however restricted to those CBOs that exist in the division, are serving the community actively and have been involved in implementing community projects in the area for more than three years to be able to assess sustainability aspects of the projects that they have implemented in the area for the period of existence. The locations where the study was conducted included East, West, Central and South Uyoma locations.

## **1.10 Basic Assumptions of the study -**

This study was designed on premises that Grassroots participation has a positive influence on the Projects being implemented by the CBOs: can be stimulated: that all the



CBOs have a common interest in the community and that when projects are sustained then there are positive results in improving the targeted people's current situation.

### 1.11 Definition of Significant Terms as used in the Study

**Community** – this means a group of people who share a position of social and economic disadvantage or social disadvantage by virtue of living in the same geographical area. In this study they are meant to be those who are not members of the CBOs.

**Community Based Organizations (CBOs)** - refer to voluntary and autonomous local level organizations that are endogenous to a community, implementing community-wide projects, with established rules, regulations and procedures of operation

**Grassroots Participation** - is involvement of community members, other than CBO members, in decision making at every stage of project management cycle in CBO initiated projects.

**Project** – This is an undertaking that is initiated by CBOs to bring positive changes in social, economic and environmental structures; and has specified period of implementation and budget.

**Stalled projects** – these are projects that are initiated by CBOs, funded but either do not complete their stipulated period of implementation or fails to be continue after the funding period

**Sustainability** – is continuity of CBO projects, with community taking control of their implementation activities.

**Sustained / On-going Projects** – Is projects that last more than one year without external support.

## **1.12 Organization of the Study**

This study report is organized in five chapters. The first chapter covers the introduction to the study, the problem statement, research questions, objectives, scope and limitations of the study. The second chapter looks at the literature review which highlights what CBOs are, what grassroots participation in their projects is, forms and levels of grassroots participation, how CBOs promote grassroots participation and how this leads to sustainability of these projects. Chapter three deals with the research methodology, which includes the study design, study population, sampling techniques, data collection instruments and techniques of data analysis. Chapter four brings about the findings of the study, based on the objectives of the study. Chapter five covers the conclusions, recommendations as per the study findings and recommendations for further research.

## **CHAPTER TWO**

### **2.0 LITERATURE REVIEW**

#### **2.1 Introduction**

This chapter reviews the literature related to grassroots participation in projects initiated by Community Based Organizations and how this leads to sustainability of the projects in their locality. The review is done according to the study variables, explores knowledge gaps, illustrate a conceptual framework for this study and give a summary of literature reviewed.

#### **2.2 Community Based Organizations (CBOs)**

The concept community-based organizations (CBOs) is used in this discussion to refer to voluntary and autonomous local level organizations that are endogenous to a community, with established rules, regulations and procedures of operation (Chitere, 1994, in Wanyama, 2002). According to the Ministry of Gender, Children and Social Development (MGCSD) on formation, registration and operations, a CBO ought to have common goals and concerns, be registered by the MGCSD, have objectives that guide their activities and be run by elected officials. An effective CBO should allow full participation of all members, monitor and evaluate its work, hold frequent meetings to enhance cohesion, be transparent and accountable for their actions, ensure gender balance, engage in group- building activities such as social events and collaborate with other development agencies (Format Kenya, 2003). They are usually formed for mutual attainment of goals specific to the members or, at times, the entire community. This study was however based on considering those CBOs that are formed to intervene on matters

that affect the entire community. According to Wanyama (2002), CBOs have their origins in socioeconomic scarcity, insecurity and risk that adversely affect local people's livelihoods. He goes ahead to group their formation into three initiatives; First are local people's own initiatives, but occasionally as a result of the demonstration effect from outside the membership or community. Second, some external actors respond to situations of scarcity, insecurity and risk in local communities by initiating the formation of CBOs i.e. formed by the NGOs or development agencies in order to enable service delivery to the community. Third, political actors, including the local elite, capitalize on development problems in local communities to initiate the formation of CBOs, not only to be used to channel development assistance to the communities, but also for use as mechanisms for exercising political control. Regardless of their formation, this study looked at the CBOs operations, which are supposed to be at the community level. This is based on the wider decision making aspects by the community in these CBOs.

CBOs, for the most part, evolved in a much unstructured way in an environment where it was felt that the state had fallen down on its responsibilities. Individuals felt they had a responsibility to each other to develop their own system of a safety net; as such, these organizations were largely responsive to needs rather than pro-active and were driven by a spirit of volunteerism (Grant, 2000). These descriptions give directions; reasons which underlie their formation; and the mode of operations, mostly volunteers, of the CBOs.

Wanyama (2005) gives a detailed description of the range of types of CBOs in Kenya, which describes as from community-wide associations to small groups of a few individuals within a locality. He further classifies them into women's groups, welfare associations, savings and credit associations, communal self-help groups and youth

groups. Whereas women's groups are self-help associations formed exclusively by women within a locality for purposes of improving their living conditions, welfare associations bring together people along kinship ties like lineage, clan or ethnic group for purposes of satisfying their social, cultural and at times economic interests. Communal self-help groups, on the other hand, are spontaneously formed by interested people within a locality out of the common desire and concern to realize a common goal for the good of the entire community. The goal could be to put up a school, health facility, a water point, a bridge, a church, and other community needs, which is accomplished through members' voluntary contribution of resources. Then savings and credit associations are essentially informal financial institutions for mobilizing savings for lending to, as well as satisfying other financial needs of, the members. These institutions take the form of either rotating savings or credit associations (ROSCAS) or accumulating savings and credit associations (ASCAs). Finally, there are the youth groups. These are essentially self-help associations formed exclusively by the youth in order to either start or improve their income-generating activities (ibid).

From these brief definitions and descriptions, it is apparent that CBOs generally emerge in response to the scarcity of social, cultural and economic resources and/or services within a community. Thus members of local communities organize themselves into these organizations to take collective action to satisfy the glaring necessities in their livelihoods. In addition, such members also satisfy social welfare needs through the interaction that results from the entire process (Wanyama, 2002).

By virtue of CBOs' formation and operations, they are expected to have a vision, mission, objectives and activities that they need to carry out in order to achieve the objectives and eventually actualize the vision within a particular time frame. To carry out

these effectively, CBOs plan, strategize and organize their work. Grassroots participation is likely to be employed at any of these moments. The participation can either be at design, planning, implementation, monitoring and evaluation of the groups' activities. In this respect, the CBOs involve the community in charting their own way of development, which they initiate and manage on their own, i.e. community driven development.

### **2.3 Grassroots participation**

Hardcastle, et al. (2004), quote Moore and Davis (1997) quoting a participant on participation; "Tell me, I forget; Show me, I remember; Involve me, I understand." Grassroots participation is the process by which communities influence the decisions and resources that directly affect them. The introduction of interventions into communities should take into account all actors, their roles, competence and experience, as well as their environment. Communities should participate at the inception and planning of new interventions whenever possible, although grassroots participation can be introduced at any stage of an ongoing intervention. Continuous monitoring and evaluation of community activities are critical, since adjustments and improvements to interventions can only be made by identifying strengths and weaknesses in their implementation (Mbullu, 2004).

Participatory planning, participatory monitoring and evaluation, and participatory analysis are the development methods being promoted in the 21<sup>st</sup> century. There are good reasons for this emphasis on participation. Participation by project stakeholders, including beneficiaries, increases the odds that the project will meet local needs, will be culturally acceptable, will be able to mobilize adequate resources, and will be long-lived.

In this section, three issues for consideration that the researcher considers to be essential in the assessment of grassroots participation in sustainability of projects of projects initiated by CBOs. These issues of consideration include: 1) the form and level of Grassroots participation; 2) the CBOs and Grassroots participation, looking at the extent at which their characteristics promote grassroots participation; and 3) the grassroots participation and sustainability. These three categories are used as a basis for analyzing various cases of grassroots participation as promoted by CBOs in Madiany Division.

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### 2.3.1 Forms and levels of Participation

Diverse activities and practices can be labelled as “grassroots participation,” but each is likely to require a different degree of involvement and provoke a distinct outcome (Beyene, *et al*, 2006). As one source states, “participation is an experience felt differently by different people in different circumstances, even in similar situations...because the benefits that flow from participation may not be the same for all” (Govinda and Diwan, 2003). The various forms and levels of participation are discussed in the sections that follow.

According to Beyene, *et al*, (2006), the contributions that communities offer can be categorized under:

**Time/interest** – An individual’s dedication to a project might range from participating largely as an observer (e.g., as an audience member or source of moral support) to contributing skills and leading grassroots participation efforts. These can include attending community meetings and even voting for the committee members at the lower level while at the higher level, the person can serve as a committee member.

**Labour** – An individual may choose to donate physical labour for CBO project implementation, be a particular committee member and even offer skills to give services to the community members.

**Physical resources** – This is generally associated with community members providing resources for CBO projects e.g. materials for the construction or beautification of school and health facilities. These could be raw materials for construction e.g., hay and tree limbs, construction tools, equipment, and machinery.

**Money** – Monetary donations are generally most demanded by development initiatives and are considered by many to be a less active form of contribution because relatively little time is involved. Depending on the level of poverty in the community, however, this form of participation is not necessarily the easiest.

In comparing the various forms of participation, it is difficult to assign any one form priority over another, though it is evident that each form of participation can represent a varying degree of quality and impact. For example, high levels of participation in the form of time and interest have the potential to cultivate a proactive leadership in the community; low levels of participation might simply imply community members' attendance at CBO projects events, a much more passive form of participation. Clearly, the impact of the community leaders will vary greatly from that of the passive event attendees. Therefore, it is recognized here that an increasing amount of grassroots participation, in terms of quality and quantity, could lead to higher returns to grassroots participation in CBO projects.

Shaeffer (1994) clarifies different degrees or levels of participation, and provides what he calls "ladder of participation", seven possible definitions of the term, including Involvement through the mere use of a service (such as enrolling children in school or



using a primary health care facility); Involvement through the contribution (or extraction) of money, materials, and labour; Involvement through 'attendance' (e.g. at parents' meetings at school), implying passive acceptance of decisions made by others; Participation through consultation on a particular issue; Participation in the delivery of a service, often as a partner with other actors; Participation as implementers of delegated powers; and Participation "in real decision making at every stage," including identification of problems, the study of feasibility, planning, implementation, and evaluation.

In the first three stages of participation, community members are largely disconnected from decision-making. However, at higher levels, community members assume leadership roles and influence the choices made by institutional leaders (CBO leaders in the context of this study). As they increase the quantity and quality of their participation in the projects, communities transition from a relatively passive to a more proactive state. Shaeffer goes further to provide some specific activities that involve a high degree of participation in a wider development context, including: collecting and analyzing information; defining priorities and setting goals; assessing available resources; deciding on and planning programs; designing strategies to implement these programs and dividing responsibilities among participants; managing programs; monitoring progress of the programs; and Evaluating results and impacts.

Active Grassroots participation in the process of problem definition/ need assessment can facilitate proper problem diagnosis and a clear definition of the problem in a number of ways. Generally, the process would facilitate the gathering of firsthand and appropriate data about local conditions, expression of felt need and realistic assessment of the community's needs and problems, and adequate exploration and comprehensive

assessment of various issues which may have some relevance to the problem under consideration (Abatena, 1995; Narayan, 1995).

Community-Based Planning (CBP) is important as it attempts to make planning and resource allocation systems more responsive to local people's needs – improving the quality of services, while deepening democracy through promoting community action and involvement in planning and managing local development. It thus aims to improve both governmental and other services as well as to empower communities. However, different CBP processes have different objectives. Some focus more on community mobilization, others on improving participation in local government planning or emphasizing participatory forms of information gathering to inform national or sectoral policies, (Goldman and Abbot, 2004). This argument is further concluded that the way in which participatory approaches are used, facilitated, sequenced, analyzed, and linkages are created between different stakeholders seems important in determining the outcomes of the grassroots participation.

Wilcox (1994), states that many attempts at grassroots participation fail because organizations promoting participation are unclear about the level of participation on offer. Limited consultation, with few real options which is presented as an opportunity for active participation is likely to produce disillusionment.

The initiator is in a strong position to decide how much or how little control to allow to others – for example, just information, or a major say in what is to happen. This decision is equivalent to taking a stand on the ladder – or adopting a stance about the level of participation. The local place-base nature of sustainability issues implies that the active involvement and contribution of the local is a crucial element of efforts to resolve or address such issues. A well-structured widely consulted participation plan provides

opportunities for the affected stakeholders to participate actively and meaningfully not only during project preparation but more importantly, also during its subsequent implementation, monitoring and evaluation. Active and sustained participation improves the quality of projects outcomes. However, in the long run, it also empowers the local communities by promoting self-expression and confidence, and harnessing the potential for social relationships to lead to individual and collective initiatives to improve their current situations (World Bank, 2006).

By looking at how the community participates in the CBO projects, the study elicits the forms and levels of grassroots participation that are employed by the CBOs to enhance grassroots participation in Madiany division in Rarieda district. These forms and levels of participation were considered through the project cycle stages. These include grassroots participation at problem definition or needs assessment, project planning, implementation and monitoring of the project, evaluating of the project and learning from the project and evolving.

The World Bank's policy document on project design speaks of the importance of understanding beneficiary attitudes, customs and skills and motivation in order to design appropriate project services and institutions. The guidelines for Project Appraisal also reflect the significance of Grassroots participation to the early stages of project development. The sociological factors mentioned as important for understanding the community are: the socio-cultural and demographic characteristics of local beneficiaries; the social organization of productive activities of the population in the project area; the cultural acceptability of the project and its compatibility with the behaviour and perceived needs of the intended beneficiaries; and the social strategy for project implementation and operation needed to elicit and sustain beneficiaries' participation,

(Paul, 1987). In practical terms, ensuring that a project/program is socially sustainable involves deliberate processes during project preparation and subsequent implementation, for 'inclusion' of all, regardless of gender and ethnicity, who may have a stake or interest in, or who can influence the resolution of, a development problem or issue. It may not be possible to satisfy the desires of everyone, but at least all possible stakeholders should be recognized and their viewpoints acknowledged. It also means respecting and acknowledging the diverse cultures, local knowledge, and practices of various social groups, and harnessing the diversity and indigenous knowledge to design socially appropriate and relevant interventions.

### **2.3.2 CBOs and Grassroots participation**

Community Based Organizations (CBOs) have been involved in promoting participation for sometime in Kenya. In the synthesis of the role of CBOs in transformation of governance in Africa, looking at CBOs in Western Kenya by Wanyama (2002), it is apparent that the CBOs have been involved in promoting participation of community members in matters that pertain to their own development. The CBOs have had a role in determining or influencing the political participation of their respective community. As earlier been stated, this gives the political dimension that the CBOs take in their formation and operation. He however concludes that the pre-occupation of the CBOs' discussions at their meetings is limited to such matters as individual contributions to the development projects of the organizations; mobilization of external resources for the projects of the organizations; sharing of dividends generated from profit-making ventures; defaulting on members' contributions to the projects of the organizations; attendance of meetings; and how they can improve on their performance at the

community. A cursory look at these items of discussion reveals that CBOs are more concerned with the mobilization and distribution of development resources than civic debates.

The socio-economic dimension within which CBOs operate puts them at a position of being able to involve the community members in their projects in order to realize socio-economic development; change in this respect. Change involves institutionalizing participation and for individuals, change is best introduced when they are fully involved in design, implementation and accountability. Participation and democratization allow citizens and consumers to demand better performance and accountability from organizations that are supposed to serve them. According to Muriuki and Munyua (2006), Community ownership suits best where there exists: high level of community institutional organization, strong leadership for the initiative itself, political support at the local level and demand emerges directly from community development needs. This implies the earlier stated roles of the CBOs, as institutions, and the effectiveness of grassroots participation.

In its action research on sustainable livelihood approach, to effect the livelihoods approach, Khanya highlighted the need to develop governance issues at community level where poor people are active and involved in managing their own development and the presence of a responsive, active, and accessible network of local service providers, including CBOs, (Goldman, et al, 2004). When embedded in the existing social organization of a group, commonality of the interest provides the basis for trust, loyalty, rules and reciprocity. Viable community groups are often key to the success of community based development. Careful examination of communities is necessary to successfully carry out activities promoting grassroots participation. Narayan (1995)

summarizes elements that contribute to forming well-functioning groups as: the group addresses a felt need and a common interest; the benefits to the group of working together outweigh the costs; the group is embedded in the existing social organization; the group has the capacity, leadership, knowledge and skills to manage the tasks; and the group owns and enforces its rules and regulations.

When people can clearly see the existence of a problem they are obviously more likely to mobilize to change the situation than if they are blind to it. They are more likely to develop interest in working with support agencies to address the felt needs. For community action to take place, the perceived benefits must be greater than the perceived costs, otherwise there is no incentive to organize, attend the meetings, and make cash and in kind contributions. If individuals in groups do not see benefits outweighing costs, they will not participate. Community action spreads quickly when the groups are embedded in the local social organizations. Participation of group members in decision making regarding rules and regulations, and having the authority and control to change the rules to fit their needs, is critical in group functioning. If members do not know the group rules, it is generally a sign of their lack of involvement in the rule formation or their acceptance. It is necessary to assess community contexts, and the agencies responsible for promoting grassroots participation efforts, in order to create specific plans or components of the projects.

Communities, as well, need to have a good understanding of why they need to collaborate with CBOs, what benefits can be yielded. However, understanding and willingness are not enough. It is important to assess capabilities to carry out plans to promote grassroots participation, including institutional capability, technical capability, financial capability, and political capability (Santos, 1999 as cited in Uemura, 1999).

CBOs also need to have certain knowledge, skills and attitudes to realize successful grassroots participation in their projects. These include: an understanding of the rationale for greater participation of its potential advantages, and of its constraints and risks; attitudes which encourage an open, transparent, collegial environment in the CBOs and open channels of communication between the CBOs and the community; knowledge of local conditions which influence demand and achievement; simple research and planning skills; project management skills (abilities to help define the goals, policies, programmes, and expectations of the CBOs and the responsibilities and functions of each partner; to encourage shared, more participatory decision making with both CBO members and community organizations; to plan, organize, conduct, and report on meetings; and to manage and account for government and community resources provided to the project); the ability to gain the trust of community, NGOs, and other partners in the community, to communicate, collaborate, and build a consensus with them, and to animate them and encourage their involvement in the project; and the ability to mobilize resources from the various interest groups and power centres in the community (Shaeffer, 1994).

Campens (1997), as cited in Uemura, (1999), summarizes main factors for effective participation as; An open and democratic environment; A decentralized policy with greater emphasis on local initiatives; Reform in public administration; Democratization of professional experts and officials; Formation of self-managing organizations of the poor and excluded; Training for community activism and leadership; and Creation of collective decision-making structures at various levels that extend from the micro to the meso and macro levels and link participatory activities with policy frameworks. In assessing the characteristics of the CBOs that promote grassroots

participation in this study, the focus was on the open, transparent and democratic environment of the CBO, creation of collective decision making levels of the CBO and the community, leadership within the CBO, commonality of interest, ownership and enforcement of rules and regulation and the CBOs' knowledge on local conditions.

### **2.3.3 Level of Grassroots participation and Sustainability**

The goal of any kind of activity that attempts to involve community and/or the poor in development is to improve the service delivery so that more people are able to access services to improve their well being. There are various reasons to support the idea that grassroots participation contributes to achieving this goal. Extensive literature research has resulted in identifying the following rationales that explain the importance of grassroots participation in development.

Impacts of Participation involve making a decision whether instrumental and/or development goals are emphasized, reflecting differences of theoretical or ideological perspectives. In the instrumental perspective, it is viewed as a means to an end; while in the developmental perspective, it is viewed as both an end in itself and also as a means to self development. On the instrumental perspective, the focus is on the difference participation makes to the outcomes of the project. On the other hand, developmental perspective values participation for its contribution to democratic processes and to a knowledgeable citizenry i.e. it has developmental value if it results in new values, attitudes, skills and knowledge in the participants themselves (Morrissey, 2000).

Grassroots participation is an approach that aims to empower communities and local governments with resources and the authority to use these flexibly. thus taking control of their development. Empowerment means the expansion of assets and



capabilities of poor people to participate in, negotiate with and hold accountable institutions that affect their lives. It means giving people access to voice and information, greater social inclusion and participation, greater accountability, and organizational strength. It aims to harness social capital through empowerment, and increase social capital through scaling up. (Binswanger and Swaminathan, 2003). Sustainability of community based development initiatives depends on proper selection criteria and procedures which help to create a sense of ownership in the communities.

UNDP's experience shows that capacity development is most sustainable when programmes are responsive to the needs of people and stakeholders; participatory where all men and women affected should have a voice in decision making throughout the process; transparent; equitable; accountable where decision makers in government, the private sector and civil society are accountable to the public as well as to institutional stakeholders; consensus - oriented; and effective and efficient where individuals, processes and institutions produce results that meet those needs, while making the best use of resources. (UNDP, 1997b).

According to Kumar, et al (2005), projects can involve communities in different ways: by sharing information, consulting, collaborating, or empowering them. The process of involving communities in project activities is also expected to contribute in most cases to community capacity enhancement. While grassroots participation projects have the potential to be more sustainable than top-down projects, they also appear to suffer from neglect by line ministries once they are completed. Several studies suggest that unless communities can lobby for continuing support for marginal inputs and training, their ability to sustain such projects may be limited (Mansuri and Rao, 2004).

Different actors at different levels of society impact the implementation and level of Grassroots participation; as such, the sustainability of CBO projects is prone to influence at each of these levels. At the design level, compulsory obligations by the CBOs can help to inspire Grassroots participation by holding all the lower-level implementers accountable (Govinda and Diwan, 2003). Thus the Community can require CBO leaders to establish community systems and other vehicles driving Grassroots participation. However, for obligations to be effective, they must be accepted and implemented at the community level.

Sustainability can only be strengthened when communities develop a sense of ownership of the project activities and of the participation process. It is in initiating this feeling of ownership that project initiators (CBOs) can truly promote change. At the CBO level, sustainability was determined by the extent to which CBO leaders systematically integrate elements of Grassroots participation into their projects' activities. For example, if CBO members do not accept the value of a highly functioning and active community systems (provincial administration, opinion leaders etc.), their participation in a mandatory community system will be ineffective, even if it is sustainable by mandate.

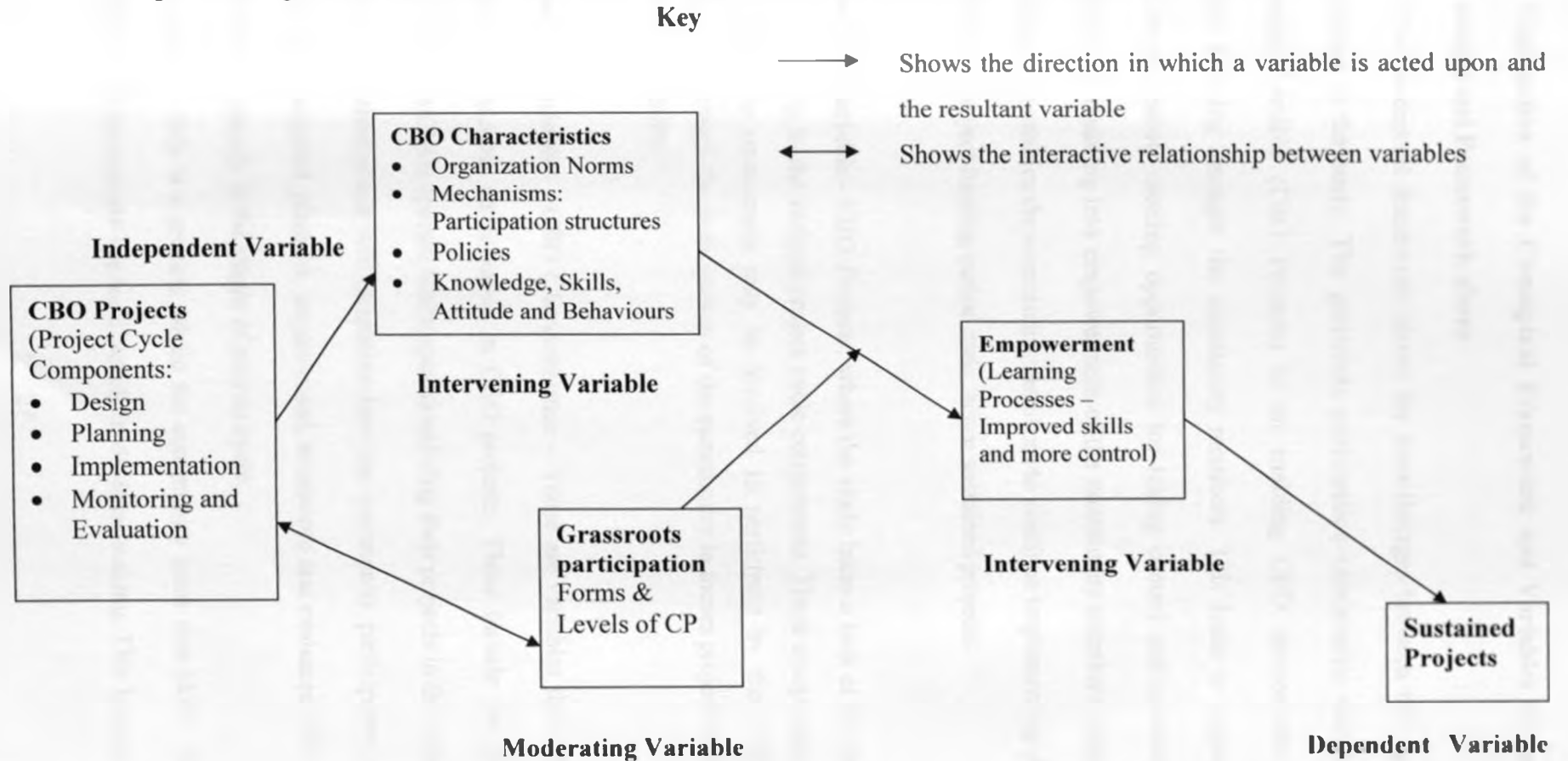
Sustainability is not only determined by the continuity of the practices that create an empowered and mobilized community, but also the viability of the community's long-term strategy for managing and changing their lives and the community projects.

Grassroots participation is a continuum which is a lengthy and dynamic process and helps communities to take greater responsibility for their development. Communities must attempt to move away from the unsustainable position of being mere recipients of services, resources and development interventions towards being active partners, or owners, of the interventions. Achieving long-term self-reliance is not a single action, but

an ongoing process that develops through several stages, all requiring time and resources. The active participation of project beneficiaries is needed from the beginning. (Lulu, 2002).

**Figure 2. 1: Perceived Conceptual Framework**

The figure below gives a framework of the interrelationship between the variables that have been used in this study.



## 2.4 Explanation of the Conceptual Framework and Variables as used in the conceptual Framework above

The conceptual framework shows the inter-linkages between the variables for consideration in the study. The grassroots participation (moderating variable) on the independent variable (CBO Projects) in an enabling CBO environment enhances grassroots learning amongst the community members. This leads to improved skills within the grassroots creating opportunities for taking control and ownership of the project process resulting into empowerment of the community members. Empowerment at the grassroots enables the community members to continue implementing the projects even when the project funding period ends, hence sustained projects.

**Independent Variable - CBO Projects;** where the study takes a look at the participation of the community in the various project cycle components. These components represent stages where the community may be involved to participate by the CBOs in their projects. It is through the participation of the community in these projects that may lead to their sustainability.

**Intervening Variables - CBO Characteristics** – These are variables that influence the outcome of grassroots participation in CBO projects. These include the environment within which the CBOs operate while operationalizing their projects in the community. It is these characteristics that will determine how the community participates in the CBO projects when designed, planned, implemented, monitored and evaluated; and whether to involve the community in the stages of project cycle.

**Empowerment** – this is a process where the community learn new skills, access more information and incorporate the local people in decision making. This leads to improved

ownership and control of the project activities by the community. The process would lead to higher decision making by the community members in the projects initiated by the CBOs. It is through empowerment that the projects would be sustained, when the community members take control and own the decision making processes in the projects.

**Moderating Variable - *Grassroots participation*** – This is the variable that enhances the sustainability of the Projects initiated by the CBOs. The forms and levels of grassroots participation in projects initiated by the CBOs determine how the community own and take control of the project cycle processes. The process is presumed to lead to community empowerment, hence sustaining the projects since they will continue to conduct the activities of the project even when the projects' external support ceases.

**Dependent Variable - *Sustained Projects*** – These are the variables that are influenced by the independent variables. In this study, the independent variables are acted upon by grassroots participation leading to empowerment of the community to continue participating in the projects initiated by the CBOs, hence their sustainability.

## 2.4 Summary of Literature Reviewed and Knowledge Gaps

<b>Researcher(s)</b>	<b>Focus</b>	<b>Findings</b>	<b>Comments and Gaps</b>
Burger (2007)	Ronnelle Efficiency of development projects' enhancement by Community participation	Establishes significant relationship between participation and efficiency of development project's enhancement..	Much as there is significance that grassroots participation yields benefits to projects, he recommends that a study be conducted to capture the quality dimensions of grassroots participation.
Mansouri and Rao (2004)	A critical review of Community-Based and Driven Development	Established evidence that projects that rely on grassroots participation create effective community infrastructure	Say that there is no single study that establishes a causal relationship between any outcome and participatory elements of a community-based development projects
Dahanayake (2004)	K. Optimum level of Grassroots Participation in Rural development	Grassroots Participation is a phenomenon to offer solution to	Achieving effective participation is complicated and suggests a further look at the effectiveness of level of grassroots participation on development projects

Researcher(s)	Focus	Findings
Marfo (2007)	Emmanuel	Institutionalizing citizen Participation and community representation in resource management
Beyene (2006)	Y. <i>et al</i>	Stimulating Grassroots Participation in Schools development agencies
Qingwen Xu (2007)	Identifying	optimizing rural development, considering the level of involvement Institutions should promote cultures that respect civil and community rights to participate in decisions affecting them. Grassroots participation can, in should be and is stimulated by development agencies to optimize its effectiveness To mobilize the



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## Comments and Gaps

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Suggest a further look at ways of patterning grassroots motivation, expectation and desired state of good resource governance

The research team members concluded that it was not a question of whether community participation needed to be stimulated, but more investigations need to be conducted on how community participation could be enhanced to ensure concrete and measurable outcomes and symbols of progress in order to foster a sense of true accomplishment among the community.

He comments that although information gathered from one

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<b>Researcher(s)</b>	<b>Focus</b>	<b>Findings</b>	<b>Comments and Gaps</b>
	<p>mobilization factors for Community participation</p>	<p>community and promote community participation, community organizers, social workers, and community leaders should focus on people whose interests are deeply embedded in the community.</p>	<p>community and data drawn from one survey can hardly represent the complexity and spectrum of community participation, his study provides some intriguing observations that deserve scholars' and practitioners' attention and further research efforts on enhancing community participation.</p>

## **CHAPTER THREE**

### **3.0 RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter discusses the research design, target population, sampling design, data collection methods and procedures and data analysis techniques.

#### **3.2 Research Design**

This was a descriptive survey targeting community members at the community level, members and leaders of the CBOs, church leaders, women and youth leaders, the provincial administrators and District Social Development office (DSDO) representative. The descriptive survey was suitable for this study because the study is to be conducted within a short period of time. The design was also able to answer the research questions appropriately. The means of obtaining the information for the study and the nature of the problem to be studied calls for a study of the relationship between the variables over a period of time, but due to availability of the researcher, the descriptive survey design appropriately suits this study (Saunders, Lewis and Thornhill, 2007). This study employed both qualitative and quantitative techniques to data collection.

The quantitative technique targeted the CBO officials. The target here was one of the CBO leaders who included: the chairman, Secretary, the organizing secretary or the treasurer. On the other hand, the qualitative technique targeted the community level, Government level as well as the CBO level. At the community level, the community members (including church leaders, youth and women leaders) were interviewed. At the

government level, selected provincial administrators and the DSDO were interviewed. The CBO level entailed purposively identifying 2 projects (1 stalled and 1 sustained) and these were assessed using CBO capacity and project assessment tools (as in appendix I, II and III). CBOs that did not have the two were compensated by others that had more than two. The qualitative technique involved the use of Focussed Group Discussions (FGDs) and Key Informant Interviews (KIIs) and all the respondents for the qualitative data collection were purposively sampled.

### **3.3 Target Population**

The study was conducted in Madiany Division which is the southern most of the two divisions of Rarieda District. The division has four administrative locations, which are further subdivided into thirteen (13) sub-locations. It is identified for this study on the basis of its having a comparatively more number of CBOs, than Rarieda division, carrying out different projects. Madiany division also has CBOs that qualified for inclusion in the study. The varied projects are mostly on health, education, agriculture, livelihood security, water and sanitation. A number of studies have been conducted and papers written about Kenya's CBOs, both in urban communities and rural villages, but very little attention had been paid to the contribution of grassroots participation in sustaining CBO projects, especially in Western Kenya that has seen the rise in the number of CBOs in the last two decades (Wanyama, 2005).

The target population for the CBOs in the division was 63. The criteria included those CBOs that had accessed external financial support, the CBOs that are indigenous in the division and had projects that have been there for more than three years and the

projects implemented target the larger community members and not only to the CBO members.

To qualify for this study, the respondents had to be CBO leaders; Community members within the areas of coverage by the respective CBOs; Provincial Administrators in the areas where the CBOs operate; Opinion leaders in the areas where the CBOs operate – Church leaders and community leaders (youth and women leaders); and DSDO representative in the division.

### **3.4 Sample Selection and Sample Size**

A sample frame of all CBOs was developed and random sample of CBOs were selected using probability proportion to size per location in the division for the quantitative approach. Purposive sampling technique was used to select community leaders and government representatives for Key Informant Interviews (KIIs) and community as well as CBO members for Focus Group Discussions (FGDs).

A simple random sampling technique was used identify the CBOs for the study. The sample size for the study was 60 CBOs (as contained in Table 3.1). These were distributed proportionately based on the number of qualifying CBOs that each location had. During the study, 49 CBOs were assessed since the others that were chosen for the study did not qualify in other aspects of the study e.g. some had project that had stalled more than 10 years while others were less than three years old. 49 CBOs interviewed out of the expected 60 CBOs is 81.2%, which according to the researcher, is adequate enough to give an informed opinion on the study area.

Using random numbers, the samples of CBOs were selected by location, giving each CBO equal opportunity to participate in the study, after which projects were chosen. The

assumption here was that a CBO would be able to have a set of projects each to participate in the study. This was used to collect quantitative data. The researcher constructed a sampling frame required to be accurate for the study.

### Procedure for finding the Sample size

For Simple Random Sampling,

$$n = \frac{Z^2 pq}{d^2}$$

Where  $n$  – is the desired sample size for the target population is less than 10000.

$Z$  – The standard normal deviate at the required confidence level (95% for the study)

$d$  – The level of statistical significance set (10 % in this case)

$p$  – The proportion in the target population estimated to have characteristics being measured

$q = 1-p$

Therefore

$$n = \frac{1.96^2 \times 0.5 \times 0.5}{(0.5)^2}$$

$$= 384 \text{ Samples}$$

The estimated sample size is obtained using the following formula:

$$n_s = \frac{n}{1 + n/N}$$

Where

- $n_s$  - the estimated sample size for the study
- $n$  - The desired sample size
- $N$  - The estimate of the population size

(Source: Mugenda and Mugenda, 2003)

In this case

$$N = 63$$

$$n = 384$$

$$n_s = \frac{384}{1 + 384 / 63}$$

$$= 54.12$$

$$= 60 \text{ (approximately, to take care of non-response).}$$

Hence the sample size of the CBOs to be included for the study would be 60.

**Table 3.1: List of targeted CBOs in each Location**

<b>Location</b>	<b>Targeted CBOs for the study</b>	<b>No. Selected for the Study</b>
West Uyoma	12	11
East Uyoma	25	24
Central Uyoma	18	17
South Uyoma	8	8
<b>Total</b>	<b>63</b>	<b>60</b>

The proportionate distribution of the sample of CBOs per location was as follows: West Uyoma – 11; East Uyoma – 24; Central Uyoma – 17 and South Uyoma – 8.

#### **3.4.1 Selection Criteria for Projects**

From the list of CBOs, projects were purposively chosen based on their qualification to participate in the study. These included both failed and successful projects. For CBOs that were having projects whose funding period ended more than 10 years ago, the projects did not qualify while for those that were having more than one project qualifying, the most recently implemented one was given more priority. The period limit for successful projects was those whose funding period ended more than 12 months ago. For qualitative approach, the following table shows the sample that was included in the study. Only the CBOs sampled for the quantitative approach were included in this approach.

**Table 3.2: List of Respondents for FGDs and KIIs**

<b>Location</b>	<b>Number of FGDs</b>	<b>Number of KIIs</b>
West Uyoma	2 with community members	<ul style="list-style-type: none"> <li>• 1 Provincial Administrator</li> <li>• 1 Youth Leader</li> </ul>
East Uyoma	1 with CBO Members	<ul style="list-style-type: none"> <li>• 1 Provincial Administrator</li> <li>• 1 church Leader</li> <li>• 1 Youth leader</li> </ul>
Central Uyoma	1 with CBO Members	<ul style="list-style-type: none"> <li>• 1 Provincial Administrator</li> <li>• 1 Women leader</li> </ul>
South Uyoma	1 with Community members	<ul style="list-style-type: none"> <li>• 1 Provincial Administrator</li> <li>• 1 Church leader</li> <li>• 1 Women leader</li> </ul>
DSDO Representative		1
<b>Total</b>	<b>5</b>	<b>11</b>

### 3.5 Data Collection Methods

Data for this study was obtained from both primary and secondary sources, field observations, oral interviews and intensive literature search. The primary data was collected through the use of sets of questionnaires. The sets were designed on the basis of the study objectives and differences in participants' roles in the study. Since it was impossible to achieve a full coverage of all the organizations due to time constraint, only selected participants were interviewed using random sampling method. The research component used both quantitative and qualitative tools to gather data. The advantage of this approach is that while quantitative methods tells us how many, how much, or to what extent a particular situation occurs, the qualitative methods explains why the situation



occurs (ibid). Qualitative methods also explained human behaviour and ideas; shedding light on community and CBO members' perceptions regarding community involvement and even research issues. The research instruments that were used in this study included;

### **3.5.1 Semi - Structured questionnaires for CBOs**

This was used for the quantitative data with the CBO leaders. This involved administering structured questions based on a predetermined and standardized set of questions. The questionnaires involved administration of two assessment tools; Project Assessment tool and CBO Assessment tool. The project assessment tool was used to assess how the community participates in CBO projects i.e. the levels and forms of grassroots participation and project sustainability issues while the CBO assessment tool was used to assess the CBO characteristics that promote grassroots participation in projects that they initiate. The semi structured questionnaire had questions that were both closed and open ended. The open ended questions required both direct information and opinions.

### **3.5.2 Key Informant Interview (KII) guide**

The researcher collected qualitative data through interviewing key informants in the community level. These included the provincial administrators, DSDO representative, church leaders and community leaders (women and youth leaders). The guide had questions based on the thematic areas that the study seeks to establish. The forms and levels of grassroots participation, existing community and supporting structures for grassroots participation in development projects and the perceptions of the community in participating in CBO projects.

### **3.5.3 Focused Group Discussion (FGD) Guide**

The researcher collected qualitative data through conducting focused group discussions in the community level. These included the CBO members and community members (male and female youth and adults). The guide had questions based on the thematic areas that the study seeks to establish. This included information on the level and forms of grassroots participation in their projects, their characteristics and sustainability issues of the projects.

## **3.6 The Validity and the Reliability of the Instruments**

The validity and reliability of the instruments were ensured as follows the sub-sections;

### **3.6.1 The Validity of the Instrument**

To ensure validity, the researcher will asked experts to comment on the validity of the questions. The Researcher recruited and trained six research assistants on the instruments to be used for data collection. Before the instruments were used for the actual data collection, they were pilot tested. This tested the validity of the instruments and improved the questions and the formats used. This process enabled the researcher ensure that the questions asked were valid and the likely of reliability of the data that were collected. It also enabled the research assistants get acquainted with the questions and how the answers were recorded.

### **3.6.2 Reliability of the Instruments**

To ensure reliability of the instruments, the researcher considered the consistency with which the questions generated responses. This was established at the pilot testing level, where the flow of questions were analysed.

### 3.7 Data Collection Procedures

The data collection for this study started with the researcher seeking permit to conduct the research from the National Council of Science and Technology. A letter introducing the researcher from the University of Nairobi was also obtained from the campus administrator. These documents were presented by the researcher to the Rarieda District Social Services Department Officer to seek clearance and also assist and support during data collection. The researcher conducted a two-day training workshop for five research assistants to understand the study objectives, master the research tools, go through the ethics training and plan approaches to the data collection. The research assistants were recruited from the division where the study was conducted and they were from different locations within the division. After training, pre-tests were conducted on CBOs in a different division from the one chosen for the actual study and each research assistant got to interview three CBOs. After the first interviews the questionnaires were studied together and difficulties, challenges ironed out before the next set of interviews.

The quantitative data was collected by research assistants who were recruited and trained by the researcher on the study objectives and the data collection instruments while for the qualitative data, the researcher conducted the KIIs himself and was assisted by one research assistant who was a note taker during the FGD sessions . The research assistants were distributed and assigned to each of the four locations that the data collection was being carried out. The data collection for this study involved both primary and secondary sources. The primary sources included administration of 147 (49 for each assessment tool used for CBOs and the two types of projects) semi - structured questionnaires to the CBO leaders, conducting 5 FGDs and 11 KIIs with provincial

administrators, church leaders, CBOs leaders and members and community leaders (youth and women leaders) as distributed in Table 3.2.

The secondary source entailed in-depth perusal of relevant documentations. This included CBO records analysis, project documents and desk reviews of other related information about the CBOs. This provided vital information in ensuring that grassroots participation in CBO Projects is enhanced in order to sustain more community projects.

### **3.8 Data Analysis Techniques**

Statistical Package for Social Sciences (SPSS) software was used to analyze the quantitative data where tables and charts with frequencies and percentages are generated and critical analysis and description of the outcome made accordingly. The qualitative data was used to enhance more understanding in the description of the quantitative figures guided by the aims and objectives of the study. Quotes were also presented during analysis and this aimed to highlight common views expressed under key themes.

## CHAPTER FOUR

### 4.0 DATA ANALYSIS, INTERPRETATION AND PRESENTATION

#### 4.1 Introduction

This chapter highlights the data analysed from the study, interpretation and the presentation of the findings of the study discussed under three thematic areas in line with the study objectives.

#### 4.2 Demographic Characteristics of the Respondents

This section describes the general information on the CBOs that preceded the collection of key information from the CBOs. This included the distribution of the CBOs within the division and their leadership and gender issues of the respondents.

**Table 4.1: Distribution of respondents in the four locations assessed**

Location	Frequency of Respondents	Percentage of Respondents
East Uyoma	17	34.7%
West Uyoma	12	24.5%
Central Uyoma	11	22.4%
South Uyoma	9	18.4%
<b>Total</b>	<b>49</b>	<b>100%</b>

Table 4.1 shows the distribution of respondents in each of the four locations in the division. The table indicates that there were some slight variations on the percentage of respondents per location. These variations correspond to the proportion of active and qualifying CBOs found within each of the four Locations assessed during the study.

The gender distribution of the respondents was almost balanced. The ratio of male to female respondents in the study was 59:41. This mix of responses from the two gender groups enabled the researcher tap divergent views on grassroots participation in projects initiated by CBOs in the study area. The average membership in the groups is 33 with a range of 7 – 420 people. Separately, respondents for this study were classified based on the position held in the various CBOs assessed (Table 4.2). The table shows that most of the interviewees were chairmen and secretaries of the CBOs assessed. Generally, these CBO leaders were instrumental in providing useful information needed for this study.

**Table 4.2: Respondents distribution based on position held in the respective CBOs**

<b>Title of Respondent in the CBO</b>	<b>Frequency (n)</b>	<b>Percentage of Representation (%)</b>
Chairman	19	38.8
Secretary	15	30.6
Treasurer	6	12.2
CBO Coordinator	5	10.2
Vice Chairman	3	6.1
Project Manager	1	2
<b>Total</b>	<b>49</b>	<b>100</b>

### 4.3 The extent at which CBO Characteristics promote Grassroots participation in Projects initiated by CBOs

The first objective in this study sought to determine the extent at which the characteristics of CBOs promote grassroots participation in projects initiated by CBOs in Madiany division of Rarieda district. This objective sought to answer the research question which stated: How do characteristics of CBOs promote grassroots participation in projects that they initiate? The findings of this study, with reference to this objective, are based on the four sections of the questionnaire on which the CBOs were assessed. These included the CBO profile, leadership and governance, activities and the financial aspects of the CBOs.

#### 4.3.1 Community Based Organizations' Profile

The legitimacy of these CBOs (often authenticated by a certificate issued by the Ministry of Gender, Children Affairs and Social Development in Kenya) was sought.

**Figure 4.1: Responses on Whether the CBO is Registered or not**

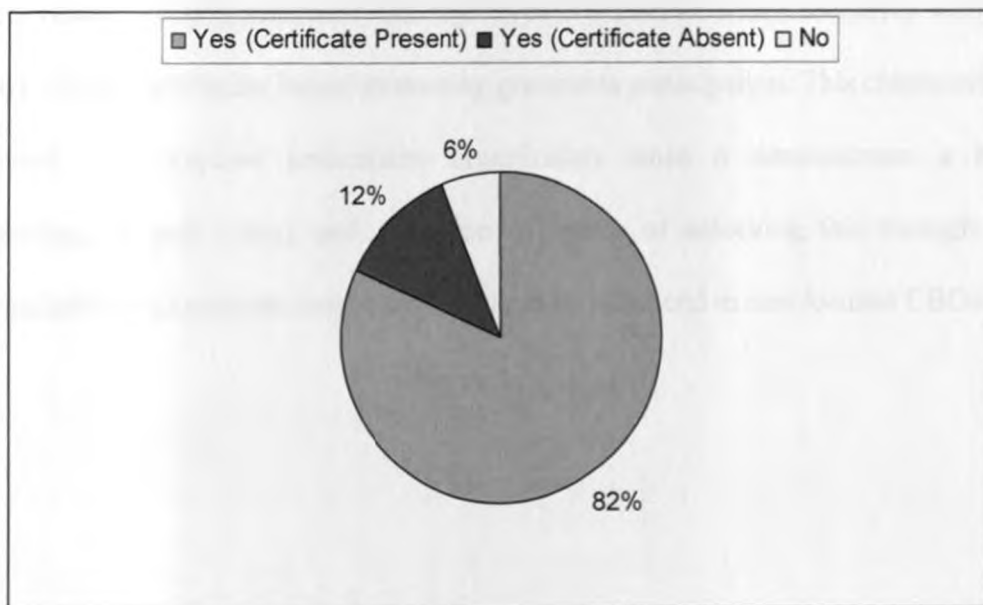


Figure 4.1 shows that 40 (81.6%) of the CBOs assessed were registered and had a certificate. however, some 6(12.2%) of the CBOs that claimed to have been registered had no certificate as at the time of the interview, while another 3(6.2%) were unregistered. Therefore perhaps about 9(18.7%) of the CBOs assessed have been operating illegally in Madiany division; an obviously a precursor to grassroots non involvement in their activities. Unregistered CBOs would not report their activities and therefore may not promote grassroots participation in their projects.

Other findings show that majority of the CBOs assessed, 40(81.6%), had a written mission and vision. All the groups targeted for this study, in one way or the other, had an activity that not only targets their members, but also targets the general community in which they are found. This could be verified from their visions, mission statements and objectives that they seek to achieve in conducting their activities. A clear vision and mission statement is widely known as essential characteristics of a focused community organization. These make up the pillars of a focused CBO. A focused CBO will always define its vision, mission statement and objectives in a manner which identifies with the felt needs of the community, hence promoting grassroots participation. This characteristic is essential in a focused community organization since it demonstrates a high understanding of goal setting and definition of means of achieving this through the CBOs' initiatives. Grassroots participation will not be enhanced in non focused CBOs.



**Table 4.3: The person(s) who formulated objectives for the CBO**

<b>Formulator of Objectives</b>	<b>Frequency (n)</b>	<b>Percentage of Respondents (%)</b>
Group Members	39	79.6
CBO Board	4	8.1
CBO Official	2	4.1
Coordinator	2	4.1
Community Members	2	4.1
<b>Total</b>	<b>49</b>	<b>100</b>

Table 4.3 shows the persons who formulated the objectives of the CBO assessed. The finding in this study is the high participation of CBO members in the formulation processes of objectives. This suggests a positive virtue that enhances ownership of the set aims and it is also a demonstration of commonness in purpose for achievement of CBOs' objectives. Moreover, about 89.8% of the respondents' asserted that membership to respective CBOs in Madiany division is open to all community members. The non-restriction in membership by most of the CBOs assessed seems to enhance the recruitment of more members' thus encouraging a wider grassroots participation in the CBOs' initiatives.

#### **4.3.2 CBOs Leadership and Governance**

The leadership and governance of a CBO is guided by its constitution, which stipulates fundamental principles' by which the organization is to be governed. The presence of a written constitution in CBOs and the involvement of group members in its

development are critical as it ensures an orderly management of the CBO activities. Entirely all the respondents in this study confirmed that they have written constitutions. This study also revealed that in the process of making the groups' constitution (usually an important group activity); members are always involved in the proposal and approval of the various rules to govern management of their organization.

**Figure 4.2: Level of Satisfaction of Respondents with the use of the Constitution**

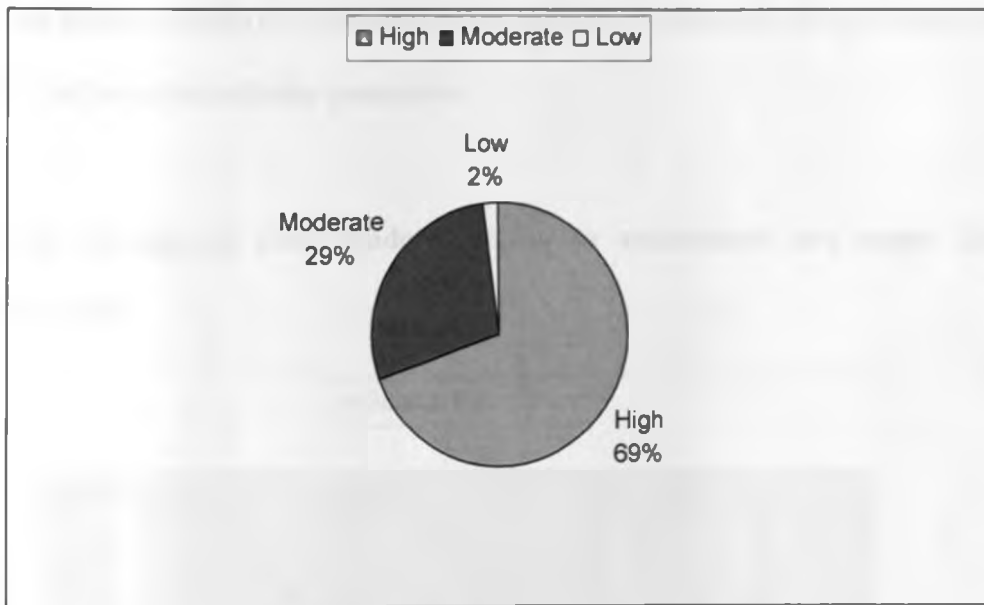


Figure 4.2 shows the level of satisfaction of the respondents with the use of their constitution in decision making. The respondents' satisfaction with following the CBOs constitution in decision making process varies. The findings reveal that about one third of the respondents 14(28.6%) were only moderately satisfied, while another 1(2 %) showed low level of satisfaction with the use of groups' constitution by members in decision making. This implies that in some instances the leadership of named CBOs do ignore the

agreed upon written principles' in decision making process. This is detrimental to the development of the organization and can bring about conflicts in conducting group affairs. However, about two thirds of the respondents 34(69.4%) were highly satisfied with the use of constitution in decision making. This is a positive characteristic that promotes participation of community members in CBO initiated projects.

Democratic election of CBO officials is also a key component in ensuring that the constitution's stipulations are applied by the developers. The constitution also stipulates the role and responsibilities of the leaders which should be satisfactory to the fraternity of the CBOs, including the officials themselves.

**Figure 4.3: Ratings of CBO leaders' ability to understand and apply their constitution roles**

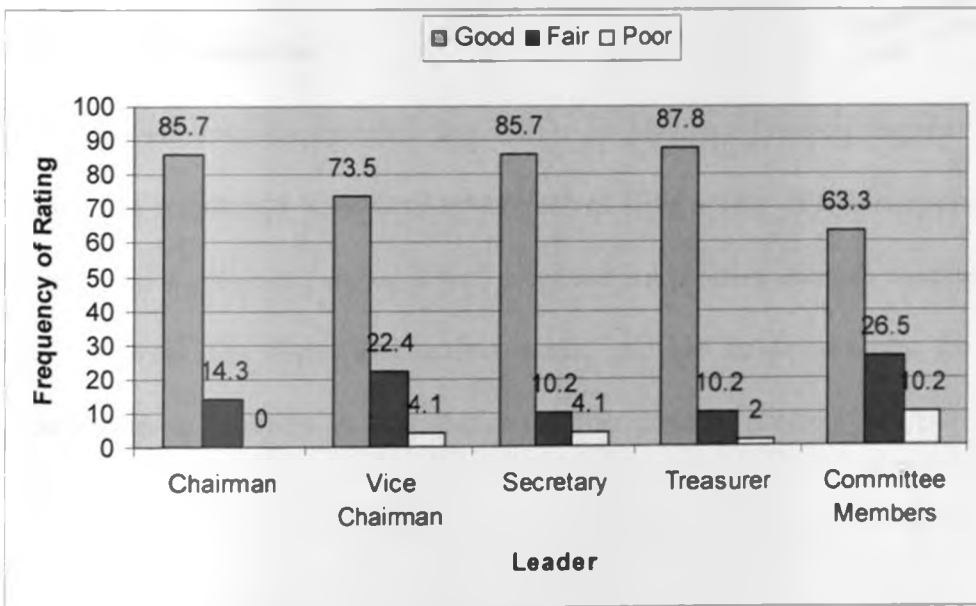


Figure 4.3 shows the ratings of the CBO leaders' ability to understand and apply their constitutional roles. In this study, respondents were asked to rate the understanding

of their CBO officials of their roles as stipulated in the constitution in the management of the CBOs. In relation to this, the findings reveal that more than three quarters of the respondents rated the officials' understanding of their role as good. However, as indicated in the figure, a significant proportion of the respondents felt that the committee members and vice chairpersons only fairly understand their roles as stated in the CBOs' constitution. The failure by leaders to understanding their roles as stated in the groups' constitution is a negative characteristic of CBO leadership given the implication this has in decision making processes.

During this study all the respondents revealed that group members are always involved in decision making processes. They asserted that this is done in a number of ways including approval of agenda discussed by members and also encouraging members to freely contribute their views in open forums with group officials.

### **4.3.3 Group Activities**

This assessment revealed that CBOs in Madiany division engage in multiple activities in an attempt to achieve set objectives. This ability of CBOs to diversify their activities for a common purpose if well practiced is a positive attribute to enhancement of their survival. The diversified activities also provide an opportunity for grassroots participation in activities of their choice (another positive attribute of CBO in Madiany division).

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**Table 4.4: Activities carried out by the CBOs assessed in Madiany Division**

Activity	Frequency (n)	Percentage (%)
Agriculture	23	47.7
HIV&AIDS	11	21.8
Health and Nutrition	5	9.2
Education / Vocational Training	3	6.4
Savings and Loans	5	9.7
Others	2	5.2
<b>Total</b>	<b>49</b>	<b>100</b>

As shown in Table 4.4, most interventions by the CBOs assessed in Madiany were in agriculture 23(47.7%), followed by HIV&AIDS 11(21.8%). Agricultural activities by CBOs are increasingly becoming significant livelihood sources for the important role that they play in provision of food security to households within this community. Generally, as indicated in Table 4.4, CBOs in Madiany appear to engage in activities aimed at enhancing community well-being (a characteristics enhancing grassroots participation).

The study in Madiany revealed that community members are always involved in CBOs activities. The findings, as presented in Table 4.5, show that 45 (91.8%) respondents asserted that community members are involved in various ways in CBO activities. These include their involvement in the recruitment process of beneficiaries 37 (75.5%), which is a characteristic that promote participation in projects initiated by the CBO. Further analysis of the findings reveals that more than one third of the respondents

19 (38.8%) felt that community members are never involved on a regular basis in deciding on the type of project to be implemented by the CBO (as shown in Table 4.5). The irregular involvement of community members in decision making on types of projects to be implemented by CBOs is perhaps a precursor for eventual non participation of communities in some projects since the community will have developed an attitude on the CBOs' activities.

**Table 4.5: Community involvement in CBO activities**

		Response	Frequency (n)	Percentage (%)
<b>Community is involved in CBO activities</b>		Yes	45	91.8
		No	4	8.2
<b>Frequency of involvement</b>		Regularly	30	61.2
		Irregularly	19	38.8
<b>Community is involved in the process of beneficiaries</b>		Yes	37	75.5
		No	12	24.5

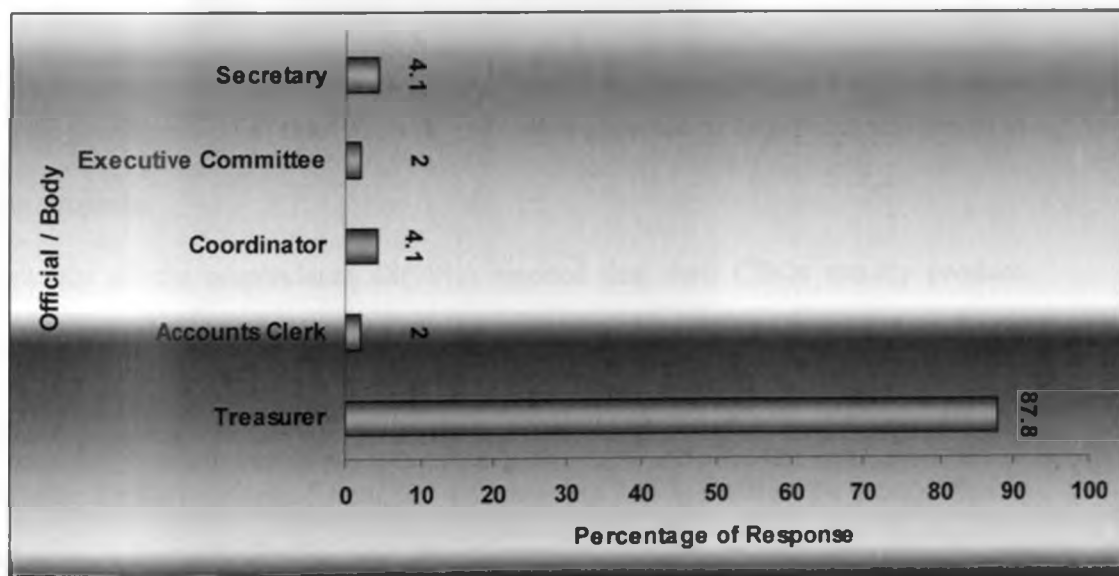
The reasons for grassroots participation in the activities of the CBOs were varied based on the activity that is being implemented by the CBO and also the location of coverage of the CBO. In East Uyoma, the community mostly mobilizes on issues of water, followed by agriculture, education, health issues and access roads, in that order respectively, in West Uyoma, the community mobilizes on fisheries issues, education, agriculture, access roads, health issues and water while in Central Uyoma, relief food, water and flood control, agriculture and political rallies, following that order. Some

activities are also perceived to be the responsibility of the government and the community members are not willing to prioritize the activities that are supposed, according to them, to be the responsibility of the government. Some of these activities are construction of access roads and employment of teachers in schools. This also determines the kind of activities that the community would participate if they were to be involved by the CBOs. The suggestion here is that the community mobilizes more on project activities that address their immediate needs to support their livelihood.

#### 4.2.4 Finances

Efficiency in financial management is an essential factor for a growing community based organization. Effective financial management not only entails keeping of financial records but also the transparency in allocation and monitoring of the use.

**Figure 4.4: Person responsible for keeping financial records**



In Figure 4.4 above, the findings revealed that more than three quarters of the respondents 41(84%) asserted that financial records of their CBOs are kept by their treasurer. The other persons responsible for keeping the financial records as revealed in this study are; the secretary 3(6%), executive committee 2(4%), co-coordinator 2(4%) and accounts clerk 1(2%). Keeping of financial records by the treasurer is a key gesture that the responsibilities of the leaders as stipulated in the constitution. It also shows the level of confidence that the group has in a particular leader. Further findings revealed that finances are not solely entrusted to management by the named persons; but are also subject to monitoring by given persons. Perhaps the subjecting of financial records to external audits is one characteristic of some of the CBOs in Madiany that has restored confidence to community members to participate in initiated projects.

The study also revealed that 10 (20.4%) of the CBOs assessed do not have a bank account (always one of the safe ways of keeping financial resources). Such CBOs heavily operate on trust of their finances to the treasurer. This can lead to mishandling of financial resources and results in conflicts within the group. The conflicts may eventually lead to total disintegration of the CBOs or to non participation of community members in preceding projects.

Virtually all the respondents 48(98%) asserted that their CBOs usually produce financial reports and that the reports are often availed for scrutiny by group members. Participation of group members in scrutiny of financial records ensures transparency and accountability on the way scarce financial resources are handled within the group. This in particular is an avenue for correction or financial loss prevention thus a good mechanism to conflicts evasion. The findings further reveal that some of the CBOs keep financial



records for accountability, these records were; receipts/invoices and payment forms. Other relevant financial records kept by the CBOs assessed include the ledger/ cash book and petty cash book. Keeping of financial records by the CBOs demonstrates a deliberate attempt to keep track of financial flows from within and without the organization, which is a characteristic desirable for participation of community members in initiated projects.

#### **4.4 Grassroots participation in CBO Projects**

The second objective that the study sought was to examine the extent of grassroots participation in selected stages of projects initiated by the CBOs. This was to answer the second research question which stated: To what extent is grassroots participation in selected stages of projects initiated by the CBOs. The assessment of grassroots participation in Madiany division entailed looking into how the community participated in the project management cycle components. This involved looking at the various contributions they made during the project management. The project management cycle components considered in this study are project design, project implementation and project monitoring and evaluation. Based on the purpose of the study, the grassroots participation was looked at in both sustained and stalled projects. According to this study, Sustained projects are those projects that continue to be implemented, more than one year after funding periods have elapsed while stalled projects are those that either do not complete their stipulated period of implementation or fail to continue after the funding period.

Table 4.6 shows areas of intervention that the assessed projects were based. Note that in table 4.6, the sustained projects concentrate in agriculture, widow and orphan

support and HIV&AIDS activities. On the other hand, half of the activities of stalled projects assessed were in the general area of rural development.

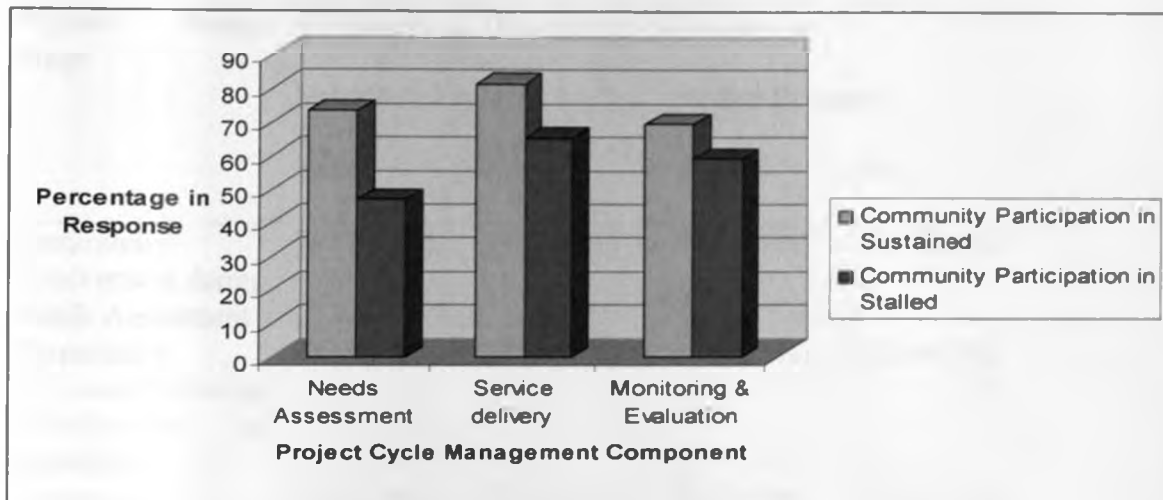
**Table 4.6: Areas of intervention of sustained and stalled projects assessed**

Project Type (Area)	Percentage and Frequency Implemented by:			
	Sustained Projects		Stalled Projects	
	%	N	%	n
Agriculture	30.5%	15	11.1	5
Education	6.5%	3	5.6	3
HIV & AIDS	21.7%	11	11.1	5
Rural development	6.5%	3	50	25
Health	8.7%	4	11.1	5
Widows & Orphans support	17.4%	9	11.1	6
Environment	8.7%	4	0	0
<b>Total</b>	<b>100</b>	<b>49</b>	<b>100</b>	<b>49</b>

In this study, notable results came out on the grassroots participation in the project initiated by CBOs in the division. Figure 4.6 below, shows the levels of grassroots participation in selected stages of the two types of projects under consideration in this study. In the project management cycle components, participation looks greater during implementation of both the stalled and sustained projects by the CBOs. On the contrary CBOs seem not to share with the community their successes or failures emanating from the implementation of the projects they initiate. Participation is also minimal during

needs assessment to design projects. Generally, there are slight variations of grassroots participation between the two projects (as shown in Figure 4.5)

**Figure 4.5: Grassroots participation in a Sustained and Stalled Project**



#### 4.4.1 Project design

Needs assessment is an essential stage in project formulation and a critical aspect in designing of developmental intervention. During this assessment, nearly three-quarters of respondents 36(73.5%) asserted that community members were involved in needs assessment prior to the commencement of the sustained projects while the participation is almost balanced for stalled projects as shown in Table 4.7. However, there was an increase in the number of projects that engaged community members in needs assessment prior to commencement of sustained projects compared to the level of engagement in stalled projects. The results further indicate that relatively CBOs do not involve the community in the stalled projects compared to the sustained ones. The involvement of

community members in needs assessment, identification and prioritization of community problems is a stimulus to ownership of the proposed interventions.

**Table 4.7: Grassroots participation during project Design by Status**

No	Project Stage	Frequency, n, (Percentage) Response in:			
		Sustained Projects		Stalled Projects	
		Yes	No	Yes	No
1	Community involvement during Needs Assessment	36 (73.5%)	13 (26.5%)	23 (46.9%)	26 (53.1%)
2	Community involvement during Prioritization of problems	32 (65.3%)	17 (34.7%)	27 (55.5%)	22 (44.5%)
3	Community involvement during Deciding on beneficiaries	34 (69.4%)	15 (30.6%)	19 (38.9%)	30 (61.1%)
4	Community involvement during Devising criteria for follow-up	25 (51%)	24 (49%)	27 (55.5%)	22 (44.5%)
5	Community involvement during Identification of performance indicators	23 (46.9%)	26 (53.1%)	30 (61.1%)	19 (38.9%)

Table 4.7 further indicates that 34(69.4%) of the respondents asserted that the selection of beneficiaries in the sustained projects do involve community members. This was relatively lower in the stalled projects 27(55.5%); about half the number of projects assessed.

This study revealed that to some extent community members participate in identification of performance indicators and in formulation of a criterion for monitoring and evaluation of the assessed projects. Participation in identification of evaluation criteria and indicators was found to be more in the stalled projects than in activities of sustained projects assessed as shown in Table 4.7. It indicates that 23 (46.9%) and 25 (51.2%) of the sustained projects engaged community members in identification of performance indicators and in devising follow up criteria of projects activities respectively. The inclusion of community members in identification of performance indicators is an aspect critical in designing of a sustainable project since the foci of the stakeholders are taken into consideration. Other results show that the community contributes in helping the CBOs mobilize resources, provide their skills in the design of the CBO projects and also participate in donating materials for the construction of structures, which could be for new schools and health facilities.

#### **4.4.2 Implementation**

Project implementation in this study considered two issues with regard to grassroots participation. These issues were grassroots participation in service delivery and in addressing issues that arose during implementation.

There were differences identified between the levels of grassroots participation in the service delivery of activities of the sustained projects as compared to that of the activities of the stalled projects.

**Figure 4.6: Grassroots participation in Projects' Service Delivery**

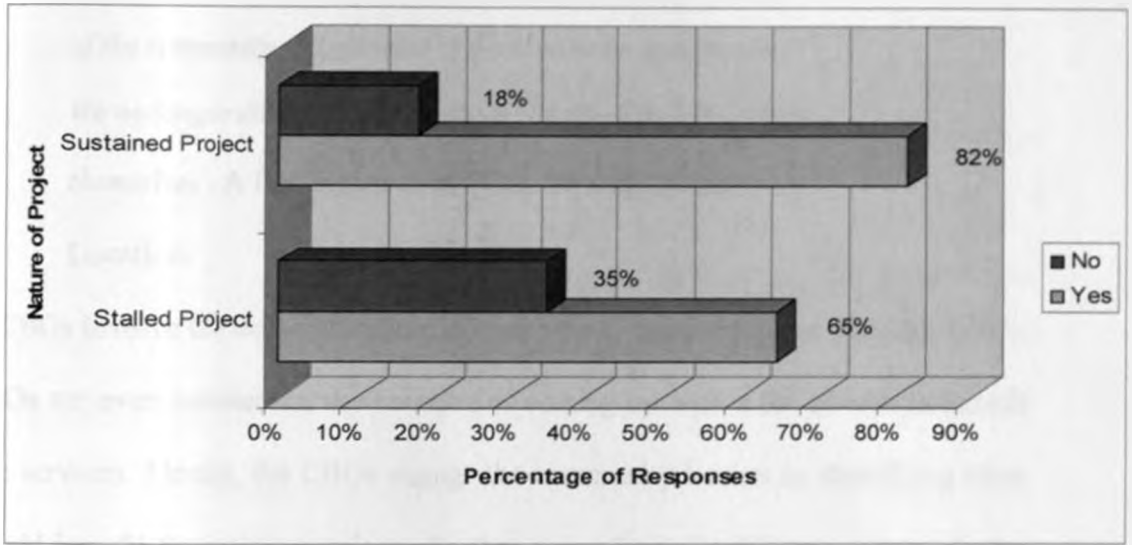


Figure 4.7 shows grassroots participation in service delivery of both the stalled and sustained projects. The findings show that there was grassroots participation in the service delivery activities of 32(65.3%) of the stalled projects assessed compared to 40(81.6%) of the sustained projects. This suggests that there is higher grassroots participation in sustained projects than in stalled projects. When community members are involved in service delivery, they feel part and parcel of the activities of the CBOs. The implementation services of the CBOs are also based on their varied activities that they implement. The services could be provision of OVCs with nutrition and education needs, distribution of materials in the community, HBC services, HIV&AIDS services, and distribution of seeds or seedling within the community. CBOs that promote grassroots participation in their projects find it easier having their services delivered by the community members themselves without the group members distributing to them. As one CBO member puts it during an FGD with members:

*Whenever there is anything to be distributed within the community, the group does not find it difficult since the members of the community will get wind of it and come for it themselves.*

*We no longer distribute tree seedlings; they pick them from here themselves - A Participant in an FGD, Central Uyoma*

Location.

CBOs involve the community in choosing who to receive support from the CBOs. The CBOs are even assisted on the criterion of coming up with a list of who to benefit from the services. Mostly, the CBOs engage the community leaders in identifying those who would benefit from their services. Another case of service delivery occurs when a CBO renders services to the community for a fee in order for the CBO to build on its financial base to assist the community. An example of such cases, which are rampant in Madiany division, is Kanyanam Widows Support Group in East Uyoma, but operates also in South Uyoma. This group gets money in return for use of their facilities (catering and chairs for hire). In this way a complementary association exists between the community and the group since its economic base increases by offering their services to community as the users of such services/facilities benefits from convenience and fair deal offered by the group. CBOs in Madiany division also employ locally available skills during their project implementation. For instance members of community with skills on HIV&AIDS awareness creation are often contracted in information dissemination to the community during their implementation sessions with the community. This study also learnt that some CBO members hire out unskilled labour to farmers within the community and at the same time supply honey to a section of community members through their apiculture

practice. There are also CBOs that develop a mutual relationship with the community, a factor that enhances their survival.

During this study, it was revealed that some issues arose in the implementation stages of both the sustained and stalled projects assessed. The implementation issues appeared prominent in the sustained projects than in the stalled projects assessed. Perhaps the low participation of community members in the activities of stalled projects lead to the perception that there were no implementations issues which arose in the stalled projects assessed. The findings also reveal that there were relatively high levels of satisfaction with consultations that took place in the implementation issues that arose in sustained projects than that in stalled projects. Satisfactory services offered by the CBOs and professional way of handling clients also promote grassroots participation in the projects of the groups. In this case, for example, matters to do with health require confidentiality and if client's confidentiality is not upheld, then this will discourage other community members who may be needy not to seek services from the marked 'unprofessional' CBOs.

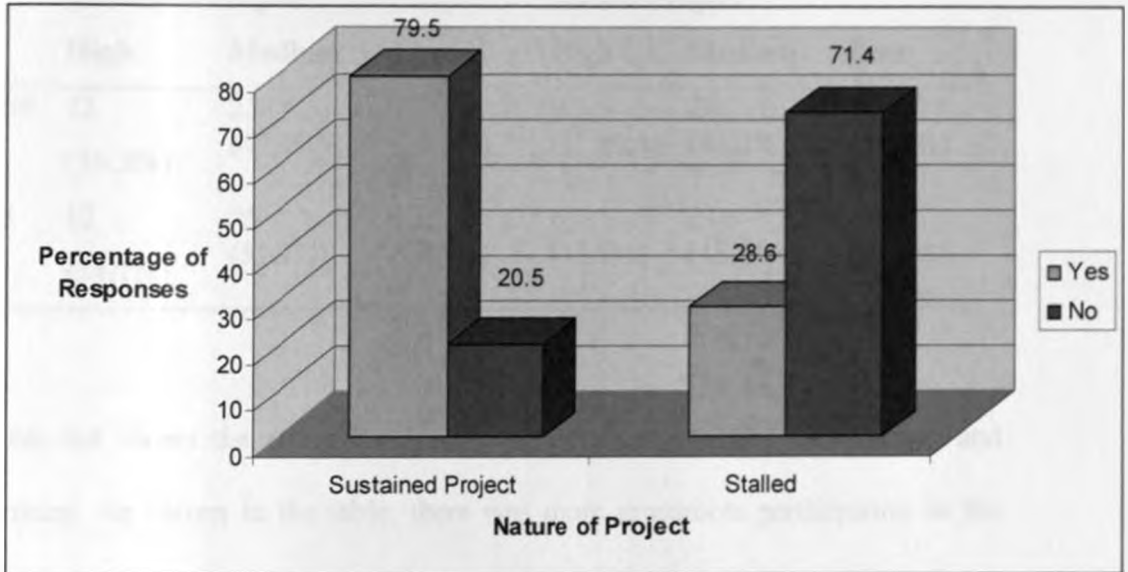
Whenever there is an implementation issue in set community projects, then consultation and concurrence amongst stakeholders is the right step towards addressing the issues. In this way, the stakeholders will be encouraged to participate, hence their empowerment, leading to sustainability of the project. In this case, ownership will also be enhanced by this consultation of the stakeholders.

In an attempt to ascertain the level of grassroots participation in project initiated by the CBO in Madiany, respondents were asked whether community members made any contribution towards the various projects. The findings reveal that generally community



members made higher contributions towards the activities of sustained projects (63.3%) than in the activities of stalled projects 28.6% assessed (Figure 4.7).

**Figure 4.7: Community contribution of Materials in CBO Projects**



#### 4.4.3 Monitoring and Evaluation

In monitoring and evaluation, the study looked at the participation of community in monitoring, CBOs' sharing with the community project failures and successes and the accountability of the CBOs with their projects. These issues make up monitoring and evaluation of projects to assess their effectiveness in achieving their purposes for which they are initiated.

Under monitoring, the CBO members were asked to rate the levels of grassroots participation in monitoring activities of the project. These included grassroots participation in supervision and follow-up of project activities.

**Table 4.8: Rating the levels of grassroots participation in Project Monitoring Activities**

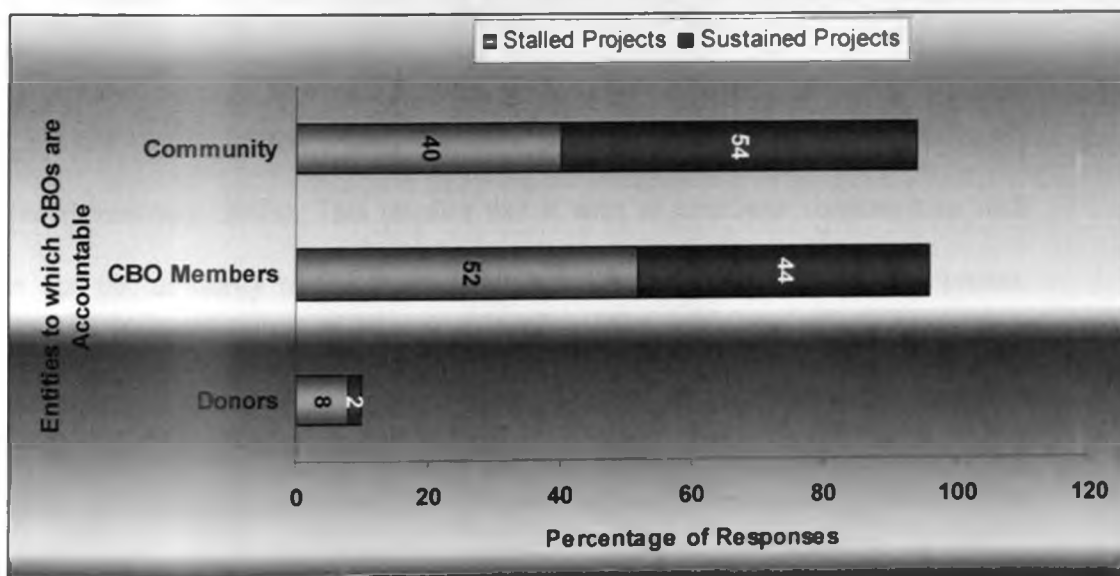
Monitoring Activity	Rating of the level of Grassroots Participation in:					
	Sustained Project			Stalled Project		
	High	Medium	Low	High	Medium	Low
Supervision	13 (26.3%)	23 (47.4%)	13 (26.3%)	9 (17.6%)	20 (41.2%)	20 (41.2%)
Follow-up	12 (24.1%)	25 (51.7%)	12 (24.1%)	6 (12.5%)	21 (43.8%)	22 (43.8%)

Table 4.8 shows the rating levels of grassroots participation in sustained and stalled projects. As shown in the table, there was more grassroots participation in the supervision and follow up activities of the sustained projects than in the stalled projects. This indicates an improvement in the management of community based initiated projects. However, there is no much difference in the participation in supervision of the activities of sustained projects and their participation in the activities of stalled projects assessed. Neither was there any pronounced association between participation of community members in the follow up activities of the sustained projects and the participation that was there in stalled projects.

Sharing of lessons learnt from activities of a developmental intervention cannot be over-looked. This is because lessons learnt from previous projects help in the identification of critical project areas for moderation or correction to evade similar shortcomings in preceding projects. The findings reveal that 34 (69.4%) of the sustained projects initiated by community based organizations shared their successes and failures

with community members. Sharing of success and failures is relatively lower 29(59.2%) in activities of the stalled projects as compared to the activities in the sustained projects stated above. Grassroots participation in the sharing of success and failures of projects initiated by CBOs provides a framework for organization strengthening. This is because it provides an arena for members and non members (who are community members) to have a base of identifying opportunities for improvement in project delivery. Through the study, the community is involved in stakeholders meetings where the works of the CBOs are shared. This implies that the community have interest and time to contribute in the work of the CBOs where they contribute in making the projects better.

**Figure 4.8: Accountability of CBO with their Projects**



The accountability of the projects initiated by community based organizations with the projects that they implement was sought in this assessment. The findings reveal that more respondents, 27(54.9%) said that they were accountable to the community

members with their projects contrary to that of stalled projects where 25 (52%) of respondents bestow their accountability to CBO members (as shown in Figure 4.9). There were also relatively fewer cases reported on accountability to the donor in most activities of the sustained projects than in the activities of stalled projects assessed.

#### **4.5 Grassroots Participation and Sustainability**

The third objective in this study was to assess how the levels of grassroots participation in projects initiated by CBOs contribute to sustainability of the said projects. Participation in projects involves making a decision whether instrumental and/or development goals are emphasized, reflecting differences of theoretical or ideological perspectives. On the instrumental perspective, the focus is on the difference participation makes to the outcomes of the project. On the other hand, developmental perspective values participation for its contribution to democratic processes and to a knowledgeable citizenry i.e. if it results in new values, attitudes, skills and knowledge in the participants themselves (Morrissey, 2000). This implies that it aims to empower communities with resources and the authority to use these flexibly, taking control of their development. Since sustainability of community based development initiatives depends on proper selection criteria and procedures which help to create a sense of ownership in the communities, its achievement in the CBO initiated project is dependent on the level of grassroots participation. The process of involving communities in project activities is also expected to contribute in most cases to community capacity enhancement.

In Madiany division, the study found out, sustainability of projects is dependent on a number of factors, which when addressed lead to sustenance of the projects. When respondents were asked on what contributed to the stalling or non-continuance of the

projects after funding stops, most prominent reasons were lack of commitment by the CBO members and leaders to the ideologies of the group, poor leadership within the group, non-application of the group constitution, poor accountability by both the officials and members and inadequate financial support to the CBO activities. Others that were mentioned included poverty, shared resources amongst CBOs, lack of focus by the CBOs and voluntarism with which community development comes. Presence, absence, practise and non-practice of these factors, it appears, in one way or the other contributes to the sustainability of projects in Madiany division.

Considering the variables and the responses in the study, the results show evidence of grassroots participation in CBO projects in Madiany division. Decision making in the way projects are designed give the community opportunities to contribute on addressing of their felt needs and prioritization of the problems. The CBOs, in this case, increase sustainability by providing means of involvement while ultimately allowing communities to select the method that best fits their needs. They seek to avoid telling communities how to act and instead provide support. The results of grassroots participation at this level favour sustained projects. This seems to imply that grassroots participation contributes to sustainability of projects.

Another finding was on how the process of needs assessment in the respective projects is promising the sustainability of various projects in Madiany division. According to a key informant interviewed in this study, grassroots participation is encouraged by CBOs in problem prioritization and definition of solutions to these problems. One such problem identified by the community was poor water supply to the populace. Through their respective CBOs, community members were mobilized to

participate in the rehabilitation activities of the water supply. The total project costs was estimated and shared between the community and donors. What followed was the sharing of proceeds from the water sales between the involved CBOs and the West Uyoma water supply board where community retained one quarter of ownership. What has since followed in this sort of arrangement is the community reliability in water supply and possession of the project by community members; something which initially lacked. This aspect of grassroots participation has enabled the community to own the decision making processes. Ownership in this context has ensured sustainability of the water supply to the community since it was a felt need of the community. CBOs in this case built a sense of ownership in projects in what the communities initially perceived to be the responsibility of the government.

The community members, the study found out, contribute to the development of the projects in a number of ways. Prominent forms were voting for decision making; attending meetings and making suggestions; contributing money, labour and materials towards the CBO projects and also making decisions on the design of the projects. This is a dedication towards improving the development of the area or wellbeing of the community members. All projects are expected to be developmental in nature i.e. result in new attitudes, skills and knowledge in the participants themselves. According to the Madiany Divisional Gender and Social Development Officer, through the CBOs, the community members get trained in various disciplines that aim to enhance their capacities to respond to their development gaps. The study found out that the CBOs also improves the knowledge of the community in provision of relevant information on various phenomena in the community.

Grassroots participation in CBO projects during implementation, monitoring and evaluation, according to the results from the field, appears to be relatively more dominant in sustained projects than the stalled projects. These results tend to suggest the role that grassroots contribution played in the sustainability of the projects. Sustainability in this case seems to emanate from the control that the community are taking in making decisions over the projects that are being implemented by the CBOs. This also encourages ownership of the project activities by the community.

Overall, it appears that there are more aspects of grassroots participation in the sustained project than in the stalled projects. This implies that grassroots participation contributes to the sustainability of CBO projects in Madiany division in Rarieda district.

## CHAPTER FIVE

### 5.0 SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

#### 5.1 Introduction

This chapter provides summary of findings, the conclusions of the discussions in this study and makes recommendations for enhancement of sustainability of projects initiated by the community based organization (CBOs).

#### 5.2 Summary of Findings

The summary of the findings are made based on the objectives and research questions which the study sought to answer.

In the first objective, the study sought to determine the extent at which the characteristics of CBOs promote grassroots participation in projects initiated by CBOs. The 49 CBOs assessed were all initiated and have offices in Madiany division and their membership is drawn from within the community that they target with their projects; implying that the CBOs are aware of the local conditions within which they operate. The findings of this study appear to suggest that grassroots participation in CBO projects is promoted by certain characteristics of CBOs, both internally and externally. This study found out that 40 (81.6%) of the CBOs assessed were legitimately registered and had certificates. Also 40 (81.6%) had written vision and mission statements. This makes the foci of the CBOs targets the community goal setting and identifies felt needs of the community. 39 (79.6%) of the CBOs assessed had their objectives formulated by the CBO members, giving a positive virtue that enhances ownership of the set aims and a



demonstration of commonness in purpose for the achievement of CBO objectives. Open membership of the CBOs to the community was found to be common amongst 44 (89.8%) CBOs assessed in Madiany division. All these findings demonstrate that the CBOs that promoted grassroots participation in their projects in Madiany division are open to both the public and the members themselves and also address issues that are priorities to the community. These promote grassroots participation in CBO projects.

Findings of the study show that 45 (91.8%) respondents asserted that community members are involved in various ways in CBO activities. The findings further indicate that grassroots participation in CBO projects is determined by the type of activities that the CBOs are engaged. The study reveals that the CBOs' activities were on agriculture (47.7%), HIV&AIDS (21.8%), Group saving and loans (9.7), health and nutrition (9.2%) and others sharing the rest. This trend suggests that the CBOs engage more on project activities that address the communities' immediate needs to support their livelihood. The type of activities that the grassroots participate in determined by the felt needs of the community. Further analysis of the findings reveals that more than one third of the respondents (38.8%) felt that community members are never involved on a regular basis in deciding on the type of project to be implemented by the CBO, leading to non participation of community in some projects since the community will have developed an attitude on the CBOs' activities. Consistency in involving the community in decision making with regard to the type of projects to be undertaken increases grassroots participation in the activities of the CBOs.

The presence of groups' constitution in the CBO, involvement of members in making the constitution and members' involvement in approval of group decisions is also

a manifestation of democratic environments within the organization. Grassroots participation will thrive in a democratic environment since it promotes inclusion and consultation in decision making. The findings show that the level of satisfaction in the use of the constitution in making groups' decisions was high among 34 (69.4%) CBOs assessed in the study. Further findings indicate that CBOs conduct democratic elections of their leaders whose roles and responsibilities are guided by the constitution. The elections procedures are also guided by the constitution. Transparency in the CBOs is also expressed in the way the said CBOs keep financial documents and are open to scrutiny by the stakeholders. More than 80% of the respondents interviewed asserted that they keep financial records. This shows that the CBOs are transparent and accountable in their financial use and this builds trust of the grassroots to participate in the CBOs projects.

The second objective of this study sought to examine the extent of grassroots participation in selected stages of projects initiated by CBOs. The results of this study indicate that the sustained projects were mostly on agriculture, 15 (30.5%), HIV&AIDS, 11 (21.7%) and Widow and orphan support, 9 (17.4%) while half of the stalled projects were on rural development 25 (50). The level of grassroots participation is greatest during implementation of both the stalled and sustained projects by the CBOs. On the other hand, CBOs least share with the community their successes or failures emanating from the implementation of the projects they initiate. Participation is also minimal during needs assessment to design projects stalled projects 23 (46.9%) compared to the sustained ones 36 (73.5%). During this assessment, nearly three-quarters of respondents (73.5%) asserted that community members were involved in needs assessment prior to the

commencement of the sustained projects while the participation is almost balanced for stalled projects, 23(46.9%) and 26(53.1%) for Yes and No responses respectively. The results further indicate that relatively CBOs do not involve the community in the stalled projects compared to the sustained ones during prioritization of problems. The extent of grassroots participation during design also involved consultation on decision making on the beneficiaries of the project. The results here show that participation is higher, 34 (69.4%) in sustained projects than in stalled projects, 19 (38.9%). Other results show that the community contributes in helping the CBOs mobilize resources, provide their skills in the design of the CBO projects and also participate in donating materials for the construction of structures, which could be for new schools and health facilities.

During project implementation stage, there were differences identified between the levels of grassroots participation in the service delivery of activities of the sustained projects, 40 (81.6%) as compared to that of the activities of the stalled projects, 32 (65.3%). This suggests that there is higher grassroots participation in sustained projects than in stalled projects and this implies that the community is involved in decision making with regard to the delivery of project services. When community members are involved in service delivery, they feel part and parcel of the activities of the CBOs. The CBOs mostly engage the community leaders in identifying those who would benefit from their services. CBOs in Madiany division also employ locally available skills during their project implementation. It was also revealed that some issues arose in the implementation stages of both the sustained and stalled projects assessed. The implementation issues appeared prominent in the sustained projects, 43 (87.8%) than in the stalled projects, 6 (12.2%) assessed. The levels of satisfaction with consultations that took place in the

implementation issues that arose were higher in sustained projects than that in stalled projects. Whenever there is an implementation issue in set community projects, then consultation and concurrence amongst stakeholders is the right step towards addressing the issues. The findings reveal that generally community members made higher contributions towards the activities of sustained projects 31(63.3%) than in the activities of stalled projects 14(28.6%) assessed.

In monitoring and evaluation, the levels of grassroots participation in monitoring activities of the projects are relatively higher in sustained projects than the stalled ones. The findings also reveal that 34 (69.4%) of the sustained and 29 (59.2%) of the stalled projects initiated by CBOs shared their successes and failures with community members. Grassroots participation in the sharing of success and failures of projects initiated by CBOs provides a framework for organization strengthening since it provides an arena for members and non members (who are community members) to have a base of identifying opportunities for improvement in project delivery. This implies that the community have interest and time to contribute in the work of the CBOs where they contribute in making the projects better. The findings reveal that more respondents 27(54.9%) said that they were accountable to the community members with their projects contrary to that of stalled projects where about 25(52%) of respondents bestow their accountability to CBO members.

Sustainability of community based development initiatives depends on proper selection criteria and procedures which help to create a sense of ownership in the communities and its achievement in the CBO initiated project is dependent on the level of grassroots participation. The process of involving communities in project activities is also

expected to contribute in most cases to community capacity enhancement. All these contribute to the empowerment of the community to chart a way forward in the management of projects that touch on their lives. It is recognized here that an increasing amount of grassroots participation, in terms of quality and quantity could lead to higher empowerment of community members. An empowered community would seek to own and control the processes of development initiatives and this would lead to sustainability of CBO initiated projects.

In this study, the results show higher percentages of grassroots participation in sustained projects than stalled projects. Although this is evident all through in the project management cycles, the reasons given by the respondents on why varied projects stalled or what leads to stalling of projects were varied. Prominence was given to the internal operations of the CBOs, which includes proper leadership and governance in the CBOs, type of projects of the CBOs and inadequate financial support to the CBOs. Taking a further look at these factors herein, they influence in one way or the other, grassroots participation in CBO projects. From here, it can be inferred that grassroots participation contributes to the sustainability of projects initiated by CBOs in Madiaya division, Rarieda district.

## **5.2 Conclusions**

The study was designed to look into the extent at which characteristics of CBOs promote grassroots participation in projects initiated by CBOs, the extent of grassroots participation in these projects and the contribution that this makes to the sustainability of the projects. This study has elicited that grassroots participation in CBO projects is stimulated by a number of factors that are varied. Grassroots participation is shaped by a

number of factors in Madiany division, some of which are structural while others are related to the perception of the community on the community development conducted by the CBOs. In order to better understand what shapes grassroots participation in CBO projects, it is first necessary for the CBOs to understand, more generally, which individuals participate in which collective spaces and actions. This allows for the CBOs to be able to address the felt needs of the majority of the community members.

The extent of grassroots participation in CBO projects determine the level of control and ownership that the community has over the same projects. When communities participate in CBO projects, the benefits are enhanced since both the parties get to learn from one another. From the results, the community's participation in CBO projects was varied in the various project management cycles. Most notable was the relatively lower level of participation in the monitoring and evaluation of the projects and the higher percentage of participation during the project implementation. This implies that the community participates in CBO projects but at different levels of the projects being implemented.

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Through the results of this study, it is evident that grassroots participation enhances local learning through their involvement in the management of the CBO projects. This in turn leads to community empowerment since their attitudes, knowledge and skills are improved. Control and ownership of the said projects by the community will enable them to continue with implementation of the projects even after the project financing ends. This stimulates sustainability of the projects that are initiated by the CBOs. The results in this study show that most of the sustained projects had higher

elements of grassroots participation. This is a manifestation that grassroots participation contributes to the sustainability of the CBO projects in Madiany division in Kenya.

### **5.3 Recommendations**

Following the results of this study, the first recommendation is that internal systems of CBOs be strengthened. From the results of this study, it is evident that CBO characteristics play a role in ensuring that grassroots participation is enhanced. Enhancing grassroots participation in CBO projects stimulates empowerment of the community members. This in turn ensures that the projects get sustained and at the same time livelihoods at the grassroots will be enhanced. Strengthening CBO internal systems will also enable them to clearly define their focus and strategies on community development.

Secondly, Complementary Partnership amongst stakeholders in the community in grassroots development be enhanced. Stakeholders in community development should combine efforts to enhance synergy of working together. The efforts of CBOs would be enhanced if the government, community and other development agencies played a role in the CBOs' initiatives.

Lastly, Monitoring of CBO work need to be intensified as the operations of most CBOs are not accounted for. This is either because of constraints that they are facing in their activities or unclear policy measures on their operations. Policy structures and mechanisms need to be put in place to regulate and capture the work of the CBOs at the grassroots and also to promote self-help development.

Through the work in this research, other areas of research that would enhance community development would entail:

1. A study on how the perception of the CBO projects by the community affects the realization of the purposes of the projects. This study found out that grassroots participation depended on the perception of the community towards the projects initiated by the CBOs. A study conducted on this area would highly inform strategies of the CBOs in their initiatives.
2. A study on why rural development projects initiated by the CBOs mostly stall. This would highlight the issues underlying the failure of rural development projects initiated by CBOs and hence inform on decision making when designing the same projects at the community.
3. A similar study, but in different set-ups, including urban centres to establish the effectiveness of level of grassroots participation on development projects initiated by the CBOs in various environments.



## 5.4 Contribution to body of Knowledge

No.	Objective	Contribution to body of knowledge
1	To determine the extent at which characteristics of CBOs promote grassroots participation in projects initiated by CBOs	The findings in this objective bring out the understanding of the CBOs' characteristics that stimulate grassroots participation. This would inform the government and community development agencies to enhance ownership of the community initiatives by the CBOs.
2	To examine the extent of grassroots participation in selected stages of project management initiated by CBOs	The extent of grassroots participation in stages of project management provides the influence that grassroots participation has at each and every stage of project management. This brings to the fore the stages where much emphasis could be made in order to optimize impact of a project to it beneficiaries.
3	To assess the levels of grassroots participation in sustainability of projects initiated by CBOs	The findings in this study show that when there is high grassroots participation and involvement in CBO projects, the projects are sustained i.e. grassroots participation contributes to the sustainability of projects. This finding confirms the effectiveness of grassroots participation in community projects.

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**Appendix I**

Instructions for A-Form to be filled by the CBO Officer/Community Development Officer,  
Kisumu District

Name \_\_\_\_\_

CBO: \_\_\_\_\_

Location: Name \_\_\_\_\_, District \_\_\_\_\_, Town \_\_\_\_\_

Age \_\_\_\_\_

Mobile No. (if used by CBO) \_\_\_\_\_

Signature (if used) \_\_\_\_\_ Date \_\_\_\_\_

**TABLE 2: PHOTO CHECK**

1. Have you ever been a member of a CBO? (Yes/No) \_\_\_\_\_

2. If you are a member, how long have you been a member? (Specify year)  
Yes (specify year) \_\_\_\_\_ No (specify year) \_\_\_\_\_

3. How often do you attend CBO meetings? (Specify frequency) \_\_\_\_\_

4. \_\_\_\_\_  
\_\_\_\_\_

5. \_\_\_\_\_  
\_\_\_\_\_

6. If you are a member, why? \_\_\_\_\_  
\_\_\_\_\_

## APPENDICES

### Appendix I:

#### A Questionnaire Administered to the CBO Officials in Madiany Division, Rarieda District

##### CBO Bio data

Date \_\_\_\_\_

Name of CBO: \_\_\_\_\_

Membership: Male \_\_\_\_\_ Female: \_\_\_\_\_ Total: \_\_\_\_\_

Location \_\_\_\_\_

Geographic Area Covered by CBO: \_\_\_\_\_

Name of Respondent (optional) \_\_\_\_\_ Title: \_\_\_\_\_

---

#### SECTION I: CBO PROFILE

1. When was your organization established: (Year) \_\_\_\_\_

2. Are you registered? (*Confirm by asking to see the original certificate*)  
1=Yes (certificate present) 2=Yes (certificate absent) 3=No

3. a) Does this CBO have a written mission and vision? 1=Yes (state) 2=No

Vision:

\_\_\_\_\_

\_\_\_\_\_

Mission:

\_\_\_\_\_

\_\_\_\_\_

b) If No in 3 a) above, Why?

\_\_\_\_\_

\_\_\_\_\_

- 4. Are the CBO members aware of the Vision statement? 1=Yes 2=No
- 5. Are the CBO members aware of the Mission statement? 1=Yes 2=No
- 6. What are your objectives as a group? (Ask to see documentations for these)

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- 7. Who formulated the group objectives?

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- 8. Is membership open to all members of the community? 1= Yes 2=No  
If No, why

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**SECTION 2: LEADERSHIP AND GOVERNANCE**

- 9. a). Does your organization have a written constitution? (*Confirm if present*)  
1=Yes 2=No (**Go to 10**)

- b). If Yes in Q9a), were the members involved in developing the constitution?  
1=Yes 2=No (**Go to 9d**)

- c) If Yes in Q9 b), how were the members involved in developing the constitution?

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- d) If No in Q9 b), why were members not involved?

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- 10. Please rate your satisfaction in the use of the group's constitution in decision process, giving your reason for the rating

Level of Satisfaction	Tick	Reason
High		
Moderate		
Low		

- 1. Highly satisfied
- 2 = Moderately Satisfied



3 = Lowly satisfied

11. How do leaders get to hold their positions in this CBO?

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12. Are the roles of the leaders stated in the constitution? 1= Yes 2=No

b) If Yes, Please rate the leaders' understanding of their roles as stated in the group's constitution

	<b>Group Official</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>
	Chairman			
	Vice Chairman			
	Secretary			
	Treasurer			
	Committee members			

13. Are group members involved in decision making processes?

1=Yes 2=No (Go to 13c)

b) If Yes, In what ways are they involved?

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c) If No, why are they not involved?

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14. Is the leadership of the organization sensitive to members' concerns?

1=Yes 2=No (Go to 14 c)

b) If Yes, How does it happen in this CBO?

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c) If No, Why do you say so?

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**SECTION 3: GROUP'S ACTIVITIES**

15. What are your group's main activities? List 3 main ones

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16. How do you determine the activities to carry out in this group?

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17 a). Are community members involved in the activities if this group?

1=Yes      2=No (Go to 17 c)

b) If Yes, how are community members involved?

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c) If No, why?

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18. How often do you involve the community in deciding the type of projects to implement? 1= Regular 2=Irregular

19.a) Are community members involved in the recruitment process of the beneficiaries?

1=Yes      2=No (Go to 19c)

b) If Yes, in what way are they involved?

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c) If No, Why

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**SECTION 4: FINANCES**

20. a) Does your organization keep financial records that can be presented on demand?

1= Yes      2=No (Go to 20 c)

b) If Yes, Who is responsible for keeping your financial records? (Give title)

*(Check if Treasurer mentioned? 1=Yes 2=No)*

c) If No in 20 a) why

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22. Who else checks financial records in the organization?

1= Chairman

3=Vice Chairman

2=Secretary

4=Auditor

5=Treasurer

6= Any Other \_\_\_\_\_

23. a) Do you have a bank account? 1=Yes 2=No (Go to 23 c)

b) If Yes, Who are the signatories? (Give title)

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c) If No, where do you keep your finances?

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24. Does your group produce financial reports?

1=Yes (*Ask to see a copy*) 2=No

25. Are the reports available for scrutiny to the group members?

1= Yes 2=No

26. What financial records do you keep? (*Please verify, multiple response possible*)

1=Receipts/Invoices 2=Payment Forms 3=Ledger/Cashbook

4=Others \_\_\_\_\_

27.a) Does your organization prepare budgets? 1=Yes, 2=No

b) If Yes, who are involved in this process?

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c)

ci) If No, Why

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## Appendix II:

### Project Assessment Tool – A: Sustained Project

Location: \_\_\_\_\_

Sub location: \_\_\_\_\_

Name of CBO: \_\_\_\_\_

Name of Respondent (Optional): \_\_\_\_\_ Gender: M / F

Position of Respondent: \_\_\_\_\_

Date of Interview: \_\_\_\_\_

#### SECTION I: ABOUT THE PROJECT

**Instruction to the Interviewer** – The funding period for the project to be assessed must have ended **more than one year** but **less than ten years**, but still continuing

1 In which area of development is your Project involved?

No	Area of Development	Tick (✓) as Appropriate
1.	Home Based Care	
2.	HIV&AIDS Prevention	
3.	Education	
4.	Widows and Orphan Support	
5.	Environment	
6.	Agriculture	
7.	Water and sanitation	
8.	Rural development	
9.	Other (please specify)	

2. For how long has the CBO been implementing this project? \_\_\_\_\_ Years

3. What are the objectives of this project?

i. \_\_\_\_\_

ii. \_\_\_\_\_

iii. \_\_\_\_\_

4. Who funded this project?

\_\_\_\_\_

\_\_\_\_\_

Start date: \_\_\_\_\_ Funding end Date: \_\_\_\_\_

**Section II. Project Design**

5. a) Did you involve the community during needs assessment for the design of this project? 1=Yes 2=No

b) If Yes in 5 a), In what ways were they involved?

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6. Was the community involved in prioritizing their problems in this project?

1=Yes 2=No (Go to 6c)

b) If Yes in 5a), in what ways

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c) If No, why

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7. a) Did the community participate in the definition of the objectives for this project? 1=Yes 2=No

b) If Yes in 6a), how did they participate

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7. a) Were meetings held between the CBO members and the community to determine how the project should be implemented? 1=Yes 2=No

b) If Yes in 7a, what was the community's contribution?

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8 a). Was the community involved in deciding on the beneficiaries of this project?  
1=Yes      2=No

b) If Yes in 8a), how were the community members involved?

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9.a) Did the community participate in identifying performance indicators and targets for this project?      1=Yes      2=No

b) If Yes, What role did they play?

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---

10. a) Did the community participate in devising the criteria for follow -up (Monitoring and Evaluation) in this project?      1=Yes      2=No

b) If Yes, in what ways

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### Section III. Implementation of the Project

1. a) Are community members involved in this project's service delivery?

1=Yes      2= No

b) If Yes, in what ways were/are community members involved in the projects service delivery?

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c) If No why they are no involved?

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12 a) Are there any implementation issues arising from this project? 1= Yes  
2=No

b) If yes, rate your satisfaction with consultations with community members on implementation issues arising from this project?

1=Highly satisfied 2=Moderately satisfied 3=Lowly satisfied

13. Was there any contribution made by community members during the implementation of this project? 1=Yes 2=No

If yes, what was the form of contribution made by community members in this project?

	Form of contribution	Much/ Nature
1	Cash	
2	Labour	
3	Material	
4	Other (specify.....)	

14. Who made the decision /decides on what is to be contributed?

1=Group members

2=All group officials

3= One of the group officials specify.....

4=Community non group members

5=Other specify.....

15. Is there a work plan for this project 1= Yes 2=No

If yes, were community members involved in designing this work plan?

1=Yes 2=No

**Section IV. Monitoring and Evaluation of the Project**

16. Using a continuum scale of: 1=High 2=Medium and 3=Low. Please indicate in the table below the levels of grassroots participation in the following project activities;

		Rating	Reason
1	Supervision		
2	Follow up		

17. Does your CBO share with the community the successes/failures of this project?  
1=Yes 2=No

If \_\_\_\_\_ Yes  
how \_\_\_\_\_

In \_\_\_\_\_ No  
why \_\_\_\_\_

18. Who do you feel accountable to with this project?

1=Donor (s)

4=GoK

2=CBO Members

5=Other (Specify) \_\_\_\_\_

3=Community



### Appendix III:

#### Project Assessment Tool – B: Stalled Project

Location: \_\_\_\_\_

Sub location: \_\_\_\_\_

Name of CBO: \_\_\_\_\_

Name of Respondent (Optional): \_\_\_\_\_ Gender: M / F

Position of Respondent: \_\_\_\_\_

Date of Interview: \_\_\_\_\_

#### SECTION I: ABOUT THE PROJECT

**Instruction to the Interviewer** – The project to be assessed must have been started for implementation or funded and implemented but failed to continue after the end of funding

1 In which area of development is your Project involved?

No	Area of Development	Tick (✓) as Appropriate
1.	Home Based Care	
2.	HIV&AIDS Prevention	
3.	Education	
4.	Widows and Orphan Support	
5.	Environment	
6.	Agriculture	
7.	Water and sanitation	
8.	Rural development	
9.	Other (please specify)	

2 For how long was the project implemented? \_\_\_\_\_ Years

3 What were the objectives of this project?

- i. \_\_\_\_\_
- ii. \_\_\_\_\_
- iii. \_\_\_\_\_

4 Who funded this project?

\_\_\_\_\_

Start date: \_\_\_\_\_ Date: \_\_\_\_\_

#### Section II. Project Design

5. a) Did you involve the community during needs assessment for the design of this project? 1=Yes 2=No

b) If Yes in 5 a), In what ways were they involved?

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6. Was the community involved in prioritizing their problems in this project?  
1=Yes 2=No (Go to 6c)

b) If Yes in 5a), in what ways

---

---

---

c) If No, why

---

---

7. a) Did the community participate in the definition of the objectives for this project?  
1=Yes 2=No

b) If Yes in 6a), how did they participate

---

---

---

7. a) Were meetings held between the CBO members and the community to determine how the project should be implemented? 1=Yes 2=No

b) If Yes in 7a, what was the community's contribution?

---

---

---

8 a). Was the community involved in deciding on the beneficiaries of this project?  
1=Yes      2=No

b) If Yes in 8a), how were the community members involved?

---

---

---

9.a) Did the community participate in identifying performance indicators and targets for this project?    1=Yes      2=No

b) If Yes, What role did they play?

---

---

---

10. a) Did the community participate in devising the criteria for follow -up (Monitoring and Evaluation) in this project?      1=Yes      2=No

b) If Yes, in what ways

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**Section III. Implementation of the Project**

2. a) Were community members involved in this project's service delivery?

1=Yes      2= No

b) If Yes, in what ways were community members involved in the project's service delivery?

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c) If No why they are no involved?

---

---

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12. a) Were there any implementation issues that arose from this project?

1= Yes      2=No

b) If yes, rate your satisfaction with consultations with community members on implementation issues that arose from this project?

1=Highly satisfied      2=Moderately satisfied      3=Lowly satisfied

13. Was there any contribution made by community members during the implementation of this project? 1=Yes 2=No

If yes, what was the form of contribution made by community members in this project?

	Form of contribution	Much/ Nature
1	Cash	
2	Labour	
3	Material	
4	Other (specify).....	

14. Who made the decision on what was to be contributed?

1=Group members

2=All group officials

3= One of the group officials specify.....

4=Community non group members

5=Other specify.....

15. Was there a work plan for this project 1= Yes      2=No

If yes, were community members involved in designing the work plan?

1=Yes      2=No

**Section IV. Monitoring and Evaluation of the Project**

16. Using a continuum scale of: 1=High 2=Medium and 3=Low. Please indicate in the table below the levels of grassroots participation in the following project activities;

		Rating	Reason
1	Supervision		
2	Follow up		

17. Did your CBO share with the community the successes/failures of the project?  
 1=Yes      2=No

If Yes how \_\_\_\_\_

In No why \_\_\_\_\_

18. Who do you feel accountable to with this project?

1=Donor (s)       4=GoK

2=CBO Members       5=Other (Specify) \_\_\_\_\_

3=Community

19. Why do you think this project stalled?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Appendix IV:

### FGD GUIDES

#### I CBO QUESTIONNAIRE (Members)

**Location:** \_\_\_\_\_

**Sub location:** \_\_\_\_\_

**Name of CBO:** \_\_\_\_\_

**Date:** \_\_\_\_\_

(After introducing the purpose of the study to the participants and reading the consent statement)

1. What are the objectives of this group
2. For how long has group been operating?
3. What are the main activities of this group?
4. What is the geographical area covered by your group?
5. How do community members perceive the activities of this CBO?

#### Levels and Forms of CP in CBO projects

6. How is your CBO encouraging grassroots participation in your initiated projects?  
Probe for forms of participation, community contributions etc
7. In what ways is your willingness to participate in this project affected by your experience with other community activities? Are there any competing interests?
8. How different from yours, are other CBOs encouraging grassroots participation within this area (what kinds of participation)?

#### Characteristics of CBOs

9. What structures do you have in places that promote grassroots participation in your projects? (Probe for rules and procedures of project initiation to completion)
  - a. Organizational norm
  - b. Mechanisms for collaboration
  - c. Policies, procedure and guidelines
  - d. Knowledge, Skills, behaviours and attitude

#### Sustainability Issues

10. What mechanisms have been established by your CBO to ensure project continuity after funding ends? Design for Exit Strategies
11. How do you determine the ways in which you engage communities in your project activities? (probe for

- a. Participatory mechanisms for community control and stakeholder involvement
- b. Flexibility in design arrangements

12. What are some of the lessons that your CBO has learnt from previous projects

13. How are the lessons learned from; previous years, other projects and other organizations being utilized in this project? In what other ways is this information being used peers?

14. How have this CBO built capacity & social capital at community level?

15. Are the projects being maintained and are they being adequately utilized by the beneficiaries?

16. Why do you think Projects initiated by CBOs in this area stall?

## **II FGD FOR COMMUNITY MEMEBERS**

1. What activities do CBOs in this area involved in?
2. How do you perceive grassroots participation in CBO projects in this area?
3. In what ways have CBOs initiated project interventions relevant to community priorities?
4. In what specific ways has the running of CBOs in your area been participatory/ involving community members ( probe for community representation)
5. Do you as members of the community have greater access to information? Are you aware of development activities? What are your reliable sources of information on development? Are these sources adequate?
6. What are the existing structures/forms of grassroots participation in this area?
7. Around which issues do communities mobilize? What is the reason for the high level of Grassroots participation in the issues?
8. To what extent are communities satisfied with the nature of the projects initiated by CBOs?
9. What are some of the ways CBOs within this area promote ownership of their projects by community members?
10. Do you feel that CBOs approach is likely to spread to other projects or areas? Why?
11. Why do you think projects initiated by CBOs in this area stall?

## **Appendix V:**

### **KII Guides**

#### **I QUESTIONS FOR PROVINCIAL ADMINISTRATORS AND DGSDO REPRESENTATIVE**

1. What activities do CBOs in this area involved in?
2. What do you consider to be the important issues in community development by brought about by CBO in this area?
3. What impediments do you see to grassroots participation?
4. What specific forms does grassroots participation take?
5. How does community participate in existing projects initiated by CBOs? How do you actively seek to learn if they exist and what they do?
6. How are "best practices/techniques" shared among similar projects by cbos in this area?
7. What efforts has the government made in recent years to increase grassroots participation in community development projects initiated by CBOs?
8. In what ways are existing community leadership structures involved in projects initiated by CBO in this area?
9. In what ways do you ensure accountability by the CBOs in the projects that they have initiated?
10. Why do you think the Projects initiated by CBOs in this area stall?

#### **II QUESTIONS FOR COMMUNITY LEADERS**

1. What activities do CBOs in this area involved in?
2. How do you perceive grassroots participation in CBO projects in this area?
3. Does the participatory process ensure the representation of the whole community? In what ways are the CBOs ensuring participation of the whole community in their projects?
4. How do communities perceive CBO initiated projects and their efforts?
5. (To what extent are communities satisfied with the nature of the projects initiated by CBOs)
6. What are the existing structures/forms of Grassroots participation in projects initiated by CBOS?
7. Around which issues do communities mobilize? What is the reason for the high level of Grassroots participation in the issues?



8. Do communities have greater access to information and are they aware of development activities by CBOS? ( probe for extent of access)
9. Is there sufficient ownership of the CBO Project interventions in the community? (reason for response)
10. Do local communities feel that their approach is likely to spread to other projects or areas?
11. Why do you think projects initiated by CBOs in this area stall?

**Appendix VI:**  
**CONSENT FORM**

Hallo, my name is \_\_\_\_\_ and my colleague's name is \_\_\_\_\_. We are conducting this study in Madiany Division to better understand the grassroots participation in Projects initiated by Community Based Organizations (CBOs) and to understand how this is sustaining the projects. We will ask questions about your work and the activities you have been involved in at the community development; your perceptions about your achievements and how you work. As part of the discussion, we will use tape recorders so that we may be able to capture all that you are saying. We however want to assure you that whatever information you give us will be kept strictly confidential and will not be shown to other persons with your name.

Your participation in this study is completely voluntary. If you want to be in the discussion, but do not want to answer any particular question, you do not have to. If the meaning of any of the questions is unclear, please ask us to explain it to you in different words.

There are no right and wrong answers and you are the expert about what is happening in the community here. A benefit of being in this study is that you will be helping better understand the current situation of CBOs and grassroots participation in their projects and be able to make recommendations to the researcher and other stakeholders.

At the end of the study, we will write a report on the findings and the researcher will make the findings available to all stakeholders.

If you have any questions after the survey, you can contact the researcher on (Tel: 0733-481 918).

Do you have any questions?

THIS IS TO CERTIFY THAT:

Prof./Dr./Mr./Mrs./Miss MOSES  
OUMA LUSIH

of (Address) UNIVERSITY OF NAIROBI  
PO BOX 30197 NAIROBI

has been permitted to conduct research in MADIANY DIVISION

RARIEDA Location,  
RARIEDA District,

NYANZA Province,

on the topic LEVELS OF GRASSROOTS

PARTICIPATION IN SUSTAINABILITY  
OF PROJECTS INITIATED BY COMMUNITY  
BASED ORGANIZATIONS IN MADIANY  
DIVISION, KENYA.

for a period ending 30TH AUGUST, 2009

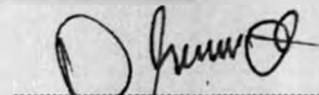
Research Permit No. NCST/5/002/R/741

Date of issue 05.08.2009

Fee received SHS 1000



  
Applicant's  
Signature

  
Secretary  
National Council for  
Science and Technology

### CONDITIONS

1. You must report to the District Commissioner and the District Education Officer of the area before embarking on your research. Failure to do that may lead to the cancellation of your permit.
2. Government Officers will not be interviewed without prior appointment.
3. No questionnaire will be used unless it has been approved.
4. Excavation, filming and collection of biological specimens are subject to further permission from the relevant Government Ministries.
5. You are required to submit at least two(2)/four(4) bound copies of your final report for Kenyans and non-Kenyans respectively.
6. The Government of Kenya reserves the right to modify the conditions of this permit including its cancellation without notice



REPUBLIC OF KENYA

RESEARCH CLEARANCE  
PERMIT

REPUBLIC OF KENYA



# NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

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254-020-310571, 2213123

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When replying please quote

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NAIROBI-KENYA

Website: [www.ncst.go.ke](http://www.ncst.go.ke)

Our Ref: **NCST/5/002/R/741/5**

Date:

**10<sup>th</sup> August 2009**

**Lusih Moses Ouma  
University Of Nairobi-Kisumu Campus  
P.O. Box 825  
KISUMU**

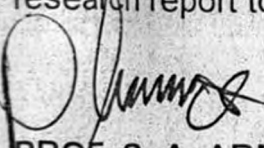
## RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on, *Levels Of Transports participation in sustainability Of Projects Initiated by Community Based Organizations in Madiany Division, Kenya*

I am pleased to inform you that you have been authorized to carry out research in Madiany Division in Rarieda District for a period ending 30<sup>th</sup> August 2009.

You are advised to report to the District Commissioner and the District Education Officer and the District Development Officer Rarieda District before embarking on your research project.

On completion of your research, you are expected to submit four copies of your research report to this office.

  
**PROF. S. A. ABDULRAZAK Ph.D, MBS  
SECRETARY**

Copy to:  
**The District Commissioner  
Rarieda District**

**The District Education Officers  
Rarieda District**

**The District Development Officer  
Rarieda District**