

**AN ANALYSIS OF THE FACTORS THAT  
INFLUENCE SUCCESSFUL MANAGEMENT OF THE  
CONSTITUENCY DEVELOPMENT FUND (CDF).  
THE CASE OF GATANGA CONSTITUENCY, KENYA**

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**A RESEARCH PROJECT REPORT SUBMITTED IN PARTIAL  
FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE OF  
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## DECLARATION

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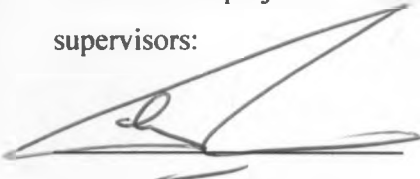
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## **DEDICATION**

This research report is dedicated to the parents who invest in their children's education.

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However, any shortcomings are, of course, my own.

## ABSTRACT

Kenya's Constituency Development Fund (CDF) Act has been hailed as one of the most critical legislations and indeed one of the few landmark achievements of the ninth parliament and indeed of the NARC Government. Increasingly, however, concerns about the utilization of funds under this program are emerging. Most of them revolve around issues of allocative efficiency, rampant abuse and mismanagement in CDF operations, which has given rise to an increasing number of complaints from the public.

However, while majority of CDF Committees countrywide are embroiled in acrimony and even legal battles, a few enjoy appreciation from their constituents and have even been recognized by various stakeholders for best management practices. These Committees have had excellent performances in the management of the funds towards the achievement of the intended purpose and as such have been able to attain real economic and resources decentralization. The question therefore is why some Constituencies are doing well in managing CDF.

The specific objective of the study was to assess the extent to which achievement of CDF objectives has been a success factor in the management of CDF in Gatanga Constituency, one of those that have been rated among the successful ones in the management of CDF. The study, which took place between June, 15 and July 31, 2009 adopted a cross sectional survey to meet its objectives. The population of interest was the various stakeholders in the CDF activities and the data collected was analyzed using descriptive and correlation types of data analysis.

The study noted that Constituents generally felt that if CDF was well managed, it would change the face of the country in terms of providing social infrastructure. The study also revealed that though majority of the constituents were generally satisfied with CDF management since it was established in the year 2004. However, management needs improvement in terms of both the projects and resources. Planning, organizing, compositions of CDF committees also require major improvement to bring about more successful completion of specific project goals and objectives. The CDF's National Management Committee (NMC) and Ministry of Finance should also ensure committee compliance to laid out procedures for project selection. It is hoped that the findings of this study will inform national policy dialogues and reforms in the CDF management.

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## **LIST OF ACRONYMS AND ABBREVIATIONS**

CACF	-	Constituency AIDS Control Fund
CDC	-	Constituency Development Committee
CDF	-	Constituency Development Fund
DA	-	District Accountant
DDC	-	District Development Committee
DFRD	-	District Focus for Rural Development
DPC	-	District Projects Committee
ERSWEC	-	Economic Recovery Strategy for Wealth and Employment Creation
GoK	-	Government of Kenya
IEA	-	Institute of Economic Affairs
KACC	-	Kenya Anti-Corruption Commission
KHRC	-	Kenya Human Rights Commission
LATF	-	Local Authorities Transfer Fund
MP	-	Member of Parliament
NARC	-	National Rainbow Coalition
NMC	-	National Management Committee
PC	-	Project Committee
SPSS	-	Statistical Package for Social Sciences
NGO	-	Non-Governmental Organization

# CHAPTER ONE

## INTRODUCTION

### 1.1 Background of the Study

In the 1950s and 1960s, Africa and other developing regions borrowed heavily from the philosophy of central state planning. In this regard, economic development policies were formulated, financed and implemented through centralized planning. The result was centralized administrations with powerful provincial and district commissioners being the local division of the Office of the President (Chikulo, 1999). These agencies operated principally without much input from local communities. Unfortunately, this command system has not worked well and has often led to highly centralised managerial regimes, bureaucracy, command and control in a number of countries. This has in turn resulted in serious inefficiencies and ineffectiveness in the delivery of public services as well as development inequalities.

Recognizing that the benefits of efficient and effective delivery of public services as well as development equalities may not reach all people, particularly the most disadvantaged members of the population, governments have identified centralized planning as a serious development bottleneck and devised strategies for gradual decentralization of resources and decision-making power to the grass root level (Rondenellis and Nellis, 1986).

In Kenya, the Government, as indicated in the Poverty Reduction Strategy Paper, 2000-2003 (GoK, 2000) and the 9<sup>th</sup> National Development Plan 2000-2006 (GoK, 2006) identified decentralization and a stronger local government sector as an important mechanism for improving public sector management, governance and poverty alleviation. In addition, the Government has over the last two decades undertaken several initiatives aimed at reducing the unnecessary layers of governance and to make service provision to the populace more effective through the disbursement of financial resources directly at the local governance units or to the people. This has resulted in the transfer of responsibility over the management of public funds to grass root levels through such strategies like the Local Authority Transfer Fund (LATF), Poverty Eradication Fund, the Roads Maintenance Fuel Levy Fund (RMLF), Constituency HIV/AIDS Fund, Free Primary Education Fund, Schools Bursaries Fund, and Constituency Development Fund (CDF).

Notably, one of these funds, the CDF, which came into effect in 2003 following the enactment of the CDF Act, (GoK, 2003) and revised in 2007 (GoK, 2007) has become very popular yet controversial. The Act has been hailed as one of the most critical legislations and indeed one of the few landmark achievements of the ninth parliament as well as the National Rainbow Coalition (NARC) Government. It has also been described as one of the best practices in improving the living environment, (UN- Habitat, 2006).

In principle, the Act provides that an amount equivalent to a minimum of 2.5% of all Government revenue, every financial year be allocated to constituency-based development projects in the country's parliamentary jurisdictions-the constituencies (GoK, 2003). As per Section 19 of the CDF Act, 75% of the money is disbursed equally across all the 210 constituencies while the remaining 25% is disbursed on the basis of the poverty index using a formula, which ensures that poorer constituencies get more money.

This strategy was adopted to complement other Government development efforts at the grassroots, (CDF Implementation Guide, 2003). Its very existence is arguably, an indication that Kenya as a country is slowly accepting, or is on the path of the principle of devolution of power. The purpose of CDF is to:

- a) Promote development and in particular strengthen pro-poor service delivery in the fight against poverty at the constituency level.
- b) Fund development projects with immediate social and economic impact in order to uplift the lives of people at the grass root level through the implementation of community based projects which have long term effects of improving the people's economic well being.
- c) Promote democratic governance at the local level.
- d) Creating a basis for sustainable participatory community development. The Act seeks to encourage such community initiatives by ensuring that such projects are eligible for support under the Act, and in particular, to ensure a sense of ownership for such community-based projects.
- e) Control imbalances in regional development brought about by partisan politics.
- f) Reduce the heavy demands of fund-raising for projects, which ought to be financed through the consolidated fund.

The implementation and operationalization of the fund is guided by the CDF Act, 2003 (GoK, 2003) and the CDF (Amendment) Act 2007, passed in October 2007 (GoK, 2007) as well as the CDF (Regulations) 2004 (NCDFMC, 2004), the Exchequer and Audit (Public Procurement) Regulations, 2001, (GoK, 2001), the Government Financial Regulations and Procedures as well as circulars released by Treasury from time to time in order to streamline the operations of the fund. It should be noted that CDF is operating in a very dynamic environment and necessary changes are done through circulars from the Ministry of Finance to all stakeholders and by amendments to the Act where appropriate.

The CDF Act envisaged that members of the public and community groups would be involved in all stages of the management of the fund. The public have a responsibility and right to ensure that CDF money is spent well by participating in the CDF meetings in the locations, monitoring CDF projects, having information on the allocations made to the fund and reporting cases of abuse.

Unlike other development funds that filter from the central government through larger and more layers of administrative organs and bureaucracies, funds under the CDF program go directly to local levels and thus provide people at the grassroots the opportunity to make expenditure decisions that maximize their welfare consistent with the theoretical predictions of decentralization theory. According to Muia (2005), the progress towards devolution of power and resources are very positive developments the world over as they lead to a peoples' greater participation in the wider development agenda.

However, there are two schools of thought over CDF. One holds that it is unconstitutional, illegal and should be scrapped. On the basis of this, one cannot interrogate the fund beyond its illegality. On the other extreme is the thinking, mainly by legislators themselves that every constituency should be allocated funds under this strategy to meet local development needs where the MPs are given the responsibility of constituting the Committees at the Constituency level at the commencement of every parliament. The limitation of this thinking is that all public funds must be subject to stringent accountability practices and controls, which opponents of this thinking feel is not happening with CDF. Pending holistic, effective constitutional reforms to clarify governance along either parliamentary or presidential system, CDF is here to stay in its present form.

If well utilized, the potential benefits of the CDF are enormous. For example, over the last few years that CDF has been operational, the country has experienced significant contributions towards fulfilling the dream of providing social infrastructure (IEA, 2006; NCHR, 2006). A large percentage of the sectors that have been funded are mainly, education, health, water and building of physical infrastructures. Other programmes that have been funded at a lower scale include agriculture, security, social services and wildlife. Thus, schools have come up, health centres and dispensaries have been constructed as well as maternity facilities, rural access roads, recreation facilities, community marketing systems for farm produce and sanitation in urban slums *inter alia* (GoK, 2008)

Unfortunately, all the regulations and procedures in place to ensure efficiency in the management and implementation of the fund have not automatically ensured high quality services, equity in access or adequate efficiency. Dissatisfactions in the utilization of the CDF are emerging. Most of the causes of dissatisfaction revolve around transparency and accountability (IEA, 2006; NCHR, 2006).

There has been a lot of controversy about the management practices and the implementation of CDF with regard to project identification, procurement procedures, accountability, transparency, allocation of funds, targeting and priority setting, type and size of projects, monitoring and overall effectiveness. Elements of accountability such as transparency, access to information, representation and public participation, gender, monitoring and evaluation mechanisms are not well guaranteed under the existing system. The mechanisms of the management of CDF are not strong enough to ensure accountability (IEA, 2006; KHRC, 2006) and these are seen as having prevented CDF from reaching its full potential.

Conflicts of interests' have also been raised in the structure of the management of CDF with regard to the role of the Members of Parliament (MPs) and the formation of Constituency Development Committees (CDCs). A number of inherent concerns and defects within the CDF Act and regulations have also been raised with regard to the constitutionality and legality of the Act.



Other major concerns have been the rampant abuse and mismanagement in CDF operations that have given rise to an increasing number of complaints from the public. Despite the rising number of complaints against MPs and the CDC's across the country, only three cases have been officially prosecuted over the past six years (GoK, 2008). The CDF National Management Board is charged with receiving complaints and disputes and taking appropriate action, (GoK, 2007). The CDF Amendment Act of 2007 stipulates that all cases shall be handled by the Board in the first instance, and where necessary the Minister for Planning shall appoint an arbitration panel. However, by the end of 2008 no single arbitration committee had ever been constituted to sit and arbitrate complaints, (GoK, 2008).

As at the end of the year 2008, the CDF National Management Board (NMB) had identified and forwarded to the Kenya Anti-corruption Commission (KACC) nearly forty cases, which qualified for further investigation, and prosecution against CDF crime related suspects. Out of these cases, only two were filed with the law courts for prosecution. One case was dismissed while the other is still being investigated though at a very slow pace. Most of the cases concerned the illegal use of funds by CDCs officials and the progress on these cases had been unacceptably slow.

However, while majority of CDF Committees countrywide are embroiled in acrimony and even legal battles, a few enjoy appreciation from their constituents and have even been recognized by various stakeholders for best management practices. These Committees have had excellent performances in the management of the funds towards the achievement of the intended purpose and as such have been able to attain real economic and resources decentralization.

## **1.2 Statement of the Problem**

Gatanga constituency in Thika District located in the southern part of Central Province is one of the constituencies in the country that has been rated among the successful ones in managing CDF (Mars Group, 2007). Unlike some constituencies where CDF remains a thorny issue, embroiled in allegations ranging from poorly constituted CDCs, improper allocations, skewed tendering and procurements procedures, gross abuse and mismanagement, it is a different story in Gatanga.

CDF in Gatanga has been in operation since 2004 when the very first allocation for the financial year 2003/2004 was made. As at December 2008, the constituency had received a total of Kshs.156,036,588 out of a total of Kshs. 33,254,479,942 allocated across the country's 210 constituencies as shown in table 1 below. (GoK, 2008)

Financial Year	2003/2004	2004/2005	2005/2006	2006/2007	2007/2008	Total
Amount (Ksha.)	6,000,000	25, 483,286	32,957,684	45, 656, 809	45, 938, 809	156, 036, 588

**Table 1.1: CDF Allocation for Gatanga Constituency since 2004 (CDF Official Website)**

In Gatanga constituency, funding has so far been allocated to the following sectors.

- a) Education - building, equipments
- b) Health - buildings, equipments
- c) Water - borehole, water pans, dams
- d) Livestock and Agriculture - seed banks, afforestation, collection centres, cattle dips
- e) Infrastructure - access roads, bridges, rural electrification
- f) Security - police posts, administration police posts.

(CDF and Gatanga Constituency Official Websites, 2008)

When an NGO known as Mars Group conducted a survey in the year 2007 on the performance of MPs in central province, it rated the Gatanga constituency legislator as the best performer. During the exercise, the organization scrutinized the use of CDF resources, and the relationship of the MPs with the local leaders and departmental heads. The organization observed that the Constituency had recorded tremendous growth and development during the legislator's tenure with infrastructure having been improved and water supply extended.

These observations were being made while nearly 70 percent of all the constituencies attest to gross mismanagement and misappropriation of these funds, (Okungu, 2007). In a review of all the constituencies by the National Taxpayers Association (NTA) for 2006/07 financial year, some Kshs. 170 million had so far been "badly used" in 23 constituencies reviewed, while Kshs. 137 million could not be accounted for. This has been happening

despite the fact that regulations, procedures as well as circulars released by both the National Management Committee and Treasury from time to time in order to streamline and guide the operations and implementation of the fund are in place. This raises the following questions: Why are some constituencies doing well in managing CDF? What are the factors that have influenced the successful management of CDF in some constituencies such as Gatanga?

### **1.3 Purpose of the Study**

The purpose of this study was to establish why some constituencies are successful in the management of CDF despite the rising number of complaints against most of the constituencies across the country.

## **14. Objectives of the Study**

The specific objectives of this study were to:

- a) Establish whether achievement of CDF objectives had been a success factor in the management of CDF in Gatanga.
- b) Evaluate the extent to which the provision of pro-poor services has influenced the successful management of CDF in Gatanga.
- c) Establish whether funding of projects with immediate social and economic impact have been a success factor in the management of CDF in Gatanga.
- d) Determine whether there is a relationship between people's participation at the grass root level in the identification, planning, monitoring and successful management of CDF.
- e) Establish the extent to which the application of the principles of project management has been a determinant in achieving successful management of CDF in Gatanga.

### **1.5 Research Questions**

The study was guided by the following research questions:

- a) To what extent has CDF in Gatanga been able to achieve the objectives for which it was established?
- b) Has the provision of pro-poor services led to the successful management of CDF in Gatanga?

- c) Has the funding of projects with immediate social and economic impact been the cause of success in the CDF management in Gatanga?
- d) Has participation in the identification, planning, monitoring and evaluation of CDF projects by people at the grass root level led to successful management of CDF in Gatanga?
- e) Has the application of principles of project management led to successful management of CDF CDF in Gatanga?

## **1.6 Significance of the Study**

First and foremost, since CDF is a matter of great public interest, the proposed study provided knowledge that could be used by the general public to answer their various concerns over the fund. The knowledge could also assist in effectively filling the information gaps in improving the management of CDF countrywide.

The study critically examined how Gatanga deals with strategic issues in project management, which provided insights and lessons in CDF management that could be used in other constituencies. The study also critically assessed the extent to which CDF in Gatanga has been able to achieve the purpose for which it was established through feedback from the people who are at the receiving end of CDF services, the public, CDF Committee members and other stakeholders. Though they might not be experts on the technologies and delivery systems, citizens nevertheless can shed useful light on the efficiency and effectiveness of services. The findings could be used by scholars and researchers who wish to further research into CDF based on its findings as a source of reference.

The study also attempted to provide feedback and information that could be used by the Government to redesign CDF and other devolved funds and make requisite corrections so as to improve not just their inputs but also their outcomes. Equally, the study could be of significant importance to players and government agencies involved in formulating future policies both at strategic and operational levels with regard operations, suitability and the potential of CDF.

## 1.7 Scope of the Study

Due to time and financial constraints, geographically, the study was limited to Gatanga Constituency in the newly created Gatanga District located the southern part of Central Province. It has an area of 2,024 sq. km with six administrative divisions. The constituency had a population of 103,048 according to 1999 Census (GoK, 2001). The constituency is predominantly rural and Kikuyu is the dominant tribe.

## 1.8 Limitations of the Study

The results are reflective of one constituency, Gatanga. Generalization of findings is however limited to projects funded similarly and in similar circumstances and regions. This is because different regions have different characteristics ranging from geographic, climatic to resource endowments and the people's socio-economic characteristics also differ. The results cannot therefore be generalized to reflect the state of affairs in all other regions and other sources of funding for development projects.

## 1.9 Definition of Terms

**Beneficiary:** A person entitled to receive funds or other properties under a trust will insurance policy or government assistance.

**Community:** A group of people living together and have religious, cultural, ethnic or other characteristics in common.

**Constituency:** The whole body of voters who elect one representative to the legislature as there voice of concern.

**Decentralization:** To reorganize concentrated groups or activities into smaller dispersed population

**Grassroots:** The ordinary people as distinct from the active leadership of a country, party or organization.

**Implementation:** The process of moving an idea from concept to reality. It is the stage where all the planned activities are put into action.

**Stakeholder:** People who will be affected by the project or can influence it but who are not directly involved with doing the project work. Examples are managers affected by the project, process owners, people who work with the process

under study, internal departments that support the process, customers, suppliers, and financial department.

## CHAPTER TWO

### LITERATURE REVIEW

#### 2.1 Introduction

The literature that follows covers the following issues which are at the heart of this study; the definition and the process of management; what a project is, definitions of project management; the role of project management in achieving project success; project management success and project success; project success and components of project success; success criteria and success factors; and project failures.

Other issues looked into includes, the question of decentralization; past decentralization efforts in Kenya; aspects that may impact on the efficiency in the implementation of CDF, challenges in the management and utilization of CDF. In conclusion, participatory bottom up approach vis-à-vis top-down western approach in development has been reviewed as CDF strategy was adopted to among others create a basis for sustainable participatory community development and in particular, to ensure a sense of ownership for such community based projects.

The literature was reviewed from books, journals, academic and government papers, newspapers and the internet.

#### 2.2 Management

There is no accepted definition of 'management' as an activity, although the classic definition is still held to be that of Henri Fayol. This general statement about management in many ways still remains valid after eighty years. "To manage is to forecast and plan, to organize, to command, to coordinate and control." Fayol H. (1916). "Management is a social process. The process consists of planning, control, coordination and motivation." EFL Brech (1957)

Management is the coordination of all resources through the process of planning, organizing, directing and controlling in order to attain a given stated objective (Fayol H. 1916; & Koontz and O'Donnel, 1976). Management is the act, manner or practice of managing, handling, supervision, or controlling. It is the use of people and other resources to accomplish efficiently and effectively an organizations goals and objectives.

Management applies to any kind of organization and applies to managers at all organizational levels (Peters, 1992).

According to Koontz and O'Donnel (1984), managing is an operational process initially best dissected by analyzing the managerial functions. The five essential managerial functions are: planning, organizing, staffing, directing and leading, and controlling.

The five areas of management constitute the essence of proactive performance of our chaotic world: (i) an obsession with responsiveness to customers, (ii) constant innovation in all areas of the firm, (iii) partnership – the wholesale participation of and gain sharing with all people connected with the organization, (iv) leadership that loves change (instead of fighting it) and instills and shares an inspiring vision, and (v) control by means of simple support systems aimed at measuring the “right stuff” for today’s environment”. Peters (1988).

It has been recognized that the above definitions of management are extremely broad. Basically, what they are saying is that “Management” is a process which enables organizations to set and achieve their objectives by planning, organizing and controlling their resources, including gaining the commitment of their employees (motivation).

Steward (1994) in reviewing efforts to define management shows how difficult it is to produce sufficiently focused and yet comprehensive answer. She points out that in fact, there is not just one but three categories of management position: the first level entails a direct responsibility for other people, the second entails a responsibility for other managers, and the third entails responsibility for multiple functions, the ‘general manager’.

Steward considers that managerial jobs, in particular, are affected by the extent of, and the relationships between, the following:

- i) The core of the job (i.e. the personal responsibilities of the job holder which cannot be delegated) which she terms the “demands” of the job.
- ii) The ‘constraints’ of the job (e.g. limited resources).
- iii) The “choices” available to the job holder by way of different work from another person (e.g. different amounts of time spent on operational as opposed to strategic matters.)



In her research Steward found that managerial jobs could vary considerably in the size and impact of each of these factors. The research for a comprehensive definition of 'management' that is not over-generalized still proceeds. Management is a collection of activities involving planning, organizing, motivating and controlling.

According to Lewis (2004), regardless of how intelligent or "smart" an idea and team is, experience will always count. Experienced managers have seen enough pitfalls not to fall in them again and will already have experience in some difficult situations. They can anticipate problems/issues ahead of time and will also know which strategies have worked in the past for them or other companies they have dealt with. Bringing some element of validation to strategy can really help make critical decisions and an experienced management will be able to make calculated decisions faster (Steward, 1994).

### **2.2.1 The Process of Management**

The systems approach to organizations is based on the three major elements of inputs, throughputs/conversion, and outputs. The process of management is concerned with all three of these elements, and especially with the conversion processes of organizations. As Drucker (1955) first put it over forty years ago, management is concerned with the 'systematic organization of economic resources' and its task is to make these resources productive.

Management is not an activity that exists on its right. Rather, it is a description of a variety of activities carried out by those members of organizations whose role is that of a 'manager', i.e. someone who either has formal responsibility or the work of one or more persons in the organization, or who is accountable for specialist advisory duties in support of key management activities. These activities have generally been grouped in terms of planning, organizing, motivating and controlling activities. These groupings describe activities, which indicate broadly what managers do in practice, primarily in terms of their inputs. They apply to supervisory and junior management positions as well as to middle and senior management roles.

It is essential for the job of management to be judged on output rather than by input, and by achievements rather than activities, Reddin (1970). Nevertheless, we tend to confuse efficiency with effectiveness. Efficiency is the ratio of output to input. However, whilst

100% efficiency can be obtained by high output in relation to high input, the same result can be achieved where both output and input are low (Reddin 1970). Effectiveness, as Reddin defines it, is the extent to which a manager achieves the output requirements of his position. This assumes that the outputs have been identified and made measurable. Examples of differences between 'efficient' managers and 'effective' managers, according to Reddin, are that 'efficient' managers seek to solve problems and reduce costs, whereas 'effective' managers seek to produce creative alternatives and increase profits.

### **2.3 What is a Project?**

A project is a one-time, multitask job with a definite starting and definite ending point, a clearly defined scope of work, a budget, and usually a temporary team, (Lewis, 2004)

A project is a finite endeavor (having specific start and completion dates) undertaken to create a unique product or service which brings about beneficial change or added value. This finite characteristic of projects stands in sharp contrast to processes, or operations, which are permanent or semi-permanent functional work to repetitively produce the same product or service. In practice, the management of these two systems is often found to be quite different, and as such requires the development of distinct technical skills and the adoption of separate management philosophy.

Peters (1992) argued that much of the work done in organizations can be thought of as projects. This means that, even though everyone is not called a project manager, the people managing projects are de facto project managers anyway. And, although they may not need the formality of critical path schedules and earned value analysis, they do need some skills in project planning and control.

Joseph M. Juran said that a project is a problem scheduled for solution. This definition makes one realize that a project is conducted to solve a problem for the organization. However, the word problem almost always conveys something negative. But developing a new product or software program is a problem – a positive problem. So the word problem is being used here in a very broad sense. Thus, projects deal with both kinds of problems – positive and negative ones.

## 2.4 Project Management

Since the 1950s, there have been many attempts to define project management. According to Kerzner (1989), project management has been traditionally described as managing or controlling company resources on a given activity, within time, within cost and within performance. These three factors are the major constraints for the project management and usually there exist tradeoffs among them.

Soderlund (2005) in his article gives credit to Gaddis (1959) as amongst the first author to attempt to define project management through the definition of a project. Gaddis (1959) defines a project as 'an organization unit dedicated to the attainment of a goal-generally the successful completion of a developmental product on time, within budget, and in conformance with pre-determined performance specifications.'

Atkinson (1999) highlights two views by various authors in defining project management. The first view link what he terms as 'The Iron Triangle' of Cost, Time and Quality and the other view define project management based only on its process.

The British Standard for project management BS6079 (1996) defines project management as "The planning, monitoring and control of all aspects of a project and the motivation of all those involved in it to achieve the project objectives on time and to the specified cost quality and performance". The UK Association of Project Management (APM) also provides a similar definition for project management as "The planning, organization, monitoring and control of all aspects safely and within agreed time, cost and performance criteria." It goes on to add that the single point responsibility to ensure there requirements is met fall on the shoulder of the project manager. Atkinson (1999) notes that while there may be differences in their suggestions on the definitions of project management, these authors are similar in the inclusion for the achievement of accomplishment of the project objectives of Cost, Time and Quality in their definitions.

The second view as highlighted by Atkinson (1999) does not include the objectives of Cost, Time and Quality. According to Reiss (1993) a simple description is not possible but suggests project management as a combination of management and planning and the management of change to accomplish a project. Lock (1984) notes that project management

had evolved in order to plan, co-ordinate and control the complex and diverse activities of modern industrial and commercial projects, while Burke (1993) considers project management to be a specialized management technique, to plan and control under a strong single point of responsibility. Turner (1996) further suggests that project management could be described as the art and science of converting vision into reality.

Definition of Project Management is further suggested by other authors. Lewis (1994) defines Project management as the discipline of planning, organizing and managing resources to bring about the successful completion of specific project goals and objectives. It is the facilitation of the planning, scheduling, and controlling of all activities that must be done to meet project objectives, Lewis (2004). It ensures that the project achieves its intended objectives through planning, organizing, staffing, directing and controlling.

Project Management is a staged activity that consists of four distinct phases namely concept, development, implementation and termination (Taylor, 1998). Each contributes to the success of the project as a whole. The move from design and construction, projects to research and development and service projects has broadened the definition of successful project management over time, and added to our understanding of what success is.

The primary challenge of project management is to achieve all of the project goals and objectives while honoring the project constraints. Typical constraints are scope, time and budget. The secondary and more ambitious challenge is to optimize the allocation and integration of inputs necessary to meet pre-defined objectives. A project is a carefully defined set of activities that use resources (money, people, materials, energy, space, provisions, communication, motivation, etc.) to achieve the project goals and objectives. Project management skills enable projects to be complete on time, on budget and on target, one to get proven strategies for clarifying project objectives, help the manager to avoid serious errors of omission, eliminates costly mistakes, addresses the necessary people skills for acquiring the cooperation and support. The skills also enables one obtain necessary resources to get work done.

Project management deals with tools, people and systems. The tools are work breakdown structures, Program Evaluation and Review Technique (PERT) scheduling, earned value

analysis, risk analysis, and scheduling software (to name a few). And tools are the primary focus of most organizations that want to implement project management. (Lewis, 2004)

However, the tools are a necessary but not sufficient condition for success in managing projects. The process or techniques are far more important, because without employing the correct processes for managing, the tools will only help you document ones failure with great precision (Lewis, 2004) Organizations are people, and people engage in processes to get results. If the people do not function well, neither will the processes, and if the processes don't work, task outcomes will suffer. Project managers should learn that process will always affect task performance.

The question one might ask is, does one approach work for all projects? The answer is “yes and no.” the “yes” part comes from the fact that project management is a disciplined way of thinking about how a job will be done. That disciplined way of thinking is shown by my flowchart, and it can be applied to any kind of project. The overall approach is the same. What differs is the tools used. For example, there are projects that are too small that to do a critical path schedule would be a waste of time. On the other hand, there are projects that could not possibly succeed without a good schedule. What one needs to do is to pick and choose what tools to use (Lewis, 2004)

Walker (1984) defines construction project management as the planning, control and ordination of a project from conception to completion (including commissioning) on behalf of a client. Munns and Bjeirmi (1996) postulate project management as the process of controlling the achievement of the project objective. It utilizes the existing organizational structures and manages the project by applying relevant tools and techniques, without adversely disturbing the routine operation of the company.

A guide to the Project management Body of Knowledge (PMBOK, 2000) concludes that the definition of project management as “the application of knowledge, skills, tools and techniques to project activities to meet project requirements”. It also describes project management as an organizational approach to the management of the ongoing operation.

## 2.5 The Role of Project Management in Achieving Project Success

Munns and Bjeirmi (1996) observe that over the last 30 years, project management has been recognised as an efficient tool to handle projects. The role of project management is to define the requirements of the work, establish extent of the work, allocate the resources required, plan and execute the work, establish extent of the work, allocate the resources required, plan and execute the work, monitor progress and adjust deviations. It is concerned with identification of the client's objectives in terms of utility, function, quality, time and cost and the establishment of the relationships between resources. Walker (1984) concludes that project management is essential to the outcome of the project because it is the "integration, monitoring and control of contributors to the project and their output, and the evaluation and selection of alternatives in pursuit of the client's satisfaction".

PMI (2000) states that project management is accomplished through the use of the processes such as: initiating, planning, executing, controlling and closing. It goes on to describe the project team manages the work of projects, and the work typically involves competing demands for scope, time, cost, risk and quality, stakeholder with differing needs and expectations and identified requirements.

According to Soderlund (2005) project management is seen to be the tool or method or technique to solve complex organizational problems. In a study by Cook (2004), he concludes that the rate of success across three areas namely performance, presence indices and financial returns increases with the use of project management practices. The result of the survey he concluded in his study leads him to believe that the adoption of project management practices has a positive impact on project success.

The successful project manager should have the following skills and competencies: flexibility and adaptability, preference for significant initiative and leadership, aggressiveness, confidence, persuasiveness, verbal fluency, ambition, activity, forcefulness, effectiveness as a communicator and integrator, able to balance technical solutions with time, cost, and human factors, well organized disciplined and disciplined, a generalist rather than a specialist, able to balance in the use of time (Archibald, 1976).

Almost everyone is familiar with projects perceived as successful by those involved in their implementation, while the very same projects have been poorly received by customers

(Pinto & Slevin 1988). There are other projects that consumed excessive resources and were considered internal failures, but were later hailed as successful by their customers and become a source of revenue for the company for many years (De Wit, 1986). The combination of a changing organizational environment and changing project success (Ammeter & Dukerich, 2002; Smith, 1999 Sutcliffe, 1999) as well as being critical to other project elements, such as the success of the project team, including team members' motivation and creativity (Rickards, Chen and Moger 2001). This strong link with success ensures that project manager competencies are of particular interest.

## **2.6 Project Management Success and Project Success**

De Wit (1988) notes that there is a difference between project success and project management success and therefore a distinction should be made between the two. This is important because successful project management techniques will contribute to the achievement of projects success but project management will not stop a project from failing to succeed.

According to Munns and Bjeirmi (1996), Project management team will be focussed on the narrow task of usefully taking the project through conception, planning, production and handover at which point they will terminate their involvement and progress to the next project whereas the client is interested in stages conception, planning, production, handover, utilization and closedown. Munns et al (1996) postulates that the scope of the project management success is until stage production stage while the scope of project success is until closedown stage.

Baccarini (1999) points out that project management literature often confusingly intertwine two separate dimensions of project success - project success and project management success. Product success deals with the effects of the project's final product namely project goals, project purpose and satisfaction of stakeholders' needs. Project management focuses upon the successful accomplishment of cost, time and quality objectives.

Pinto & Slevin (1988) after sampling over 650 project managers, the researchers concluded that "project success" is something much more complex than simply meeting cost, schedule, and performance specifications. In fact, client satisfaction with the final result has a great deal to do with the perceived success or failure of projects. Further, Baker, Murphy

and Fisher (1983, 1988) conclude: "In the long run, what really matters is whether the parties associated with, and affected by, a project are satisfied. Good schedule and cost performance means very little in the face of a poor performing end product." In the words of Baker et al (1983): "instead of using time, cost and performance as measures for project success, perceived performance should be a measure."

De Wit (1988) distinguishes between project success, measured against the overall objectives of the project and project management success measured against the widespread and traditional measures of performance against cost, time and quality.

Cleland (1986) suggested that "project success is meaningful only if considered from two vintage points: the degree to which the project's technical performance objective was attained on time and within budget; the contribution that the project made to the strategic mission of the enterprise."

Freeman and Beale (1992) provided an interesting example of the different points of view of people: "An architect may consider success in terms of aesthetic appearance, an engineer in terms of technical competence, an accountant in terms of dollars spent under budget, a human resources in terms of employee satisfaction, and chief executive officers rate their success in the stock market." Freeman and Beale (1992) reviewed the project management literature, identified seven main criteria for measuring the success of projects; five of them are more frequently used than others: Technical performance efficiency of execution, managerial and organizational implications (mainly customer satisfaction), personal growth and manufacturability and business performance.

Project success may be assessed by different interest groups – stockholders, managers, employees, and so on. Criteria for measuring project success must therefore reflect different views (Stuckenbruck, 1986).

Baccarini (1999) identified two distinct components of project success: Project management success, which focuses upon the project process and, in particular, the successful accomplishment of cost, time and quality objectives. It also considers the manner in which the project management process was conducted. Product success on the other hand deals with the effects of the project's final product.



## 2.7 Project Success

Numerous authors have researched the subject on project success but the concept of project success remains ambiguously defined. According to Shenhar, Andrew, Levy, Ofer & Dov, (1997) project success is project success is probably the most frequently discussed topic in the field of project management, yet is the least agreed upon even though it was for more than two decades, researchers have laboured to identify managerial variables criteria to success. Others have expressed a similar view. Liu and Walker (1998) notes that the project success is a topic that is frequently discussed and yet rarely agreed upon and Wateridge (1998) states that very few people in the past have thought seriously about project success. According to Liu (2004) it is a concept, which can mean so much to so many different people because of varying perceptions.

Baccarini (1999) concludes that literatures on project management provide no consistent interpretation of the term "project success". He summarized literatures from McCoy (1986). McCoy (1986) observes that a standardized definition of project success does not exist nor an accepted methodology of measuring it and Wells (1998) and also observes that there is lack of attention given to defining success except in quite general terms.

Apparently determining whether a project is a success or a failure is far more complex. There can be ambiguity in determining and measuring the success or failure of a project. Delays in completion of projects are common but yet these projects could still be considered successful.

On the other hand, a project that is perceived as a success by a project manager and team members might be perceived as a failure by the client. According to Liu and Walker (1998) the concept of a project success can mean so much to so many different people because of varying perceptions and leads to disagreements about whether a project is successful or not. Shenhar et al (2002) agree hat there is no conclusive evidence or common agreement that has been achieved so far to determine whether the project is a success or failure. Due to the ambiguity, Murphy and Fisher (1988) suggest the term "perceived success of a project". Stuckenbruck (as cited in Atkinson 1999) points out that project success depends on who ask the question and who decide on the criteria of project success and according to De Witt (1988) a project can be a success for one party and a failure for another.

Pinto and Slevin (1988) offer two main reasons for ambiguity: First, it is still not clear how to measure project success because the parties who are involved in projects perceive project success or failure differently and they value the outcome differently. Second is that lists success or failures factors vary in various studies in the literature. Many of these factors do not, in practice, directly affect project success or failure.

Munns and Bjeirmi (1996) further postulate that this ambiguity will continue to exist if distinction is not established between project success and project management success. Project success tend to be long-term nature oriented towards the expected total life span of the completed projects while in contrast, project management success is oriented towards planning and control in the context of the short-term life of the project development and delivery.

## **2.8 Components of Project Success**

Historically, studies on project success started in the mid 1900's and its attributes are being equated to Cost, Time and Quality. For over 50 year, project success has become inextricably linked with the iron Triangle of Cost, Time and Quality (Atkinson, 1999, De Wit, 1988). According to Henrie and Sousa-Poza (2005), for those 50 years, projects have continued to fail in their efforts to achieve the Iron Triangle.

Belassi and Tukel (1996) observe that since the 1950's it was assumed that the development of better scheduling techniques would result in better management and thus successful completion of projects. Morris (2001) concurs that the traditional view for project success is to deliver projects on time in budget and to scope. These authors agreed that most of the early studies assumed that if project completion time exceeded its due date, or expenses overran budget or outcomes did not satisfy a predetermined performance criteria the project was assumed to be a failure.

In the 1960's and 1970's the outlook regarding the components of project success began to expand beyond the time, cost and quality attributes. Liu (2005) subsequently observes that studies by Rockard (1979) and other writers began to focus on management methodology on organization and how they can be applied and reproduced to ensure success in subsequent projects.

Avots (1969) conducts a theoretical study and notes that project management techniques, which has been the predominant operational technique in the aerospace industry, is able to contribute to project success. He reflects that companies that have these project management techniques successfully may have a competitive advantage over others. De Wit (1988) claims project management techniques and control determine project success.

Then in the 1980s until 1990s, further studies begun to research deeper in defining project success, where it was concluded that apart from the iron triangle of time, cost and quality, and project management techniques, other dimensions affect the success or failure of a project. Several authors began to link project success to stakeholders. Cherns and Bryany (1984) point out that, researchers inclined to oversimplify the client's role. Pinto et al (1988) advocate project success not only evolves from technically correct project but also effectively interfacing with clients and stakeholders. According to De Wit (1988) apart from client and contractor, other stakeholders may affect the outcome of the project.

Other researchers echo the same sentiment. De Wit (1988) concludes that it also includes the objectives of all stakeholders of the project. Belout (1998) notes that the attributes of project success are in achieving the project objectives measured through the level of satisfaction expressed by the stakeholders. Lim and Mohammed (1999) agree that project success criteria differ according to different perspectives of the stakeholders. The PMI Guide (2000) states that to ensure project success, stakeholders should be identified and their needs and expectations are determined, influenced and managed. Van Aken (1996) agrees and defines project success as "the satisfaction of all stakeholders". Globerson and Swikael (2002) states that project success also include ensuring that the stakeholders are happy. Van Akens agrees and defines project success as "the satisfaction to all stakeholdes."

Subsequently by late 1900's and the turn of the century, researchers began to differentiate between variables affecting project success. Although De Wit (1988) seems to be amongst the earliest to propagate this concept, it was Turner (1994) and Wateridge (1995) who expresses in detail these two different components of project success. Wateridge (1995) concludes that for projects to be implemented successfully, the two components of project success must be clearly defined, agreed and progressively reviewed by all parties. These

two components are the project success criteria relating to users and sponsors and the project success factors that are required to deliver those criteria.

However, according to Lim and Mohamed (1999) some project management literature confusingly uses the term success criteria and success factors as though these variables are one and the same or synonymous. In stressing the difference between success criteria and success factors, Lim et al (1999) define success criteria as the set of principles or standards by which judgement is made and success factors as the set of circumstances, facts or influences which contribute to the result.

Cooke-Davies (2002) emphasize the importance of distinguishing between the two components of project success namely the success criteria which is the benchmark to measure or judge success or failure and success factors which are the management inputs and systems that would lead to project success.

Westerveld (2003) is simpler in his identification of the two components of project success terming them as the "What" and the "How". He postulates that for a project to be successful it has to identify and focus on: firstly, the result areas that is the success criteria which he terms it as the "What" and secondly, the organizational areas that is the success factors which he terms it as the "How".

## **2.9 Success Criteria and Success Factors**

Success criteria relate to users and sponsors (Wateridge, 1995) and are the set of principles or standards by which judgment is made as to whether the project is successful or not (Lim and Mohammed, 1999) and thus it became the benchmark to measure success or failure (Cooke-Davies, 2002). In brief, success criteria are the result area of what are to be achieved thus termed the "What", (Westerveld, 2003).

Success factors are those elements that are required to deliver the success criteria; Wateridge (1995) and they are the set of circumstances, facts or influences which contribute to the result or the achievement of the success criteria (Lim and Mohammed, 1999). According to Lim et al (1999), these success factors are the influential forces, which either facilitate or impede project success; however the success factors do not form the basis of judgement. Cooke-Davies (2002) refers success factors as the management inputs

and systems that would lead to project success. Westerveld (2003) refers success factors as the organizational areas, which he terms as the “How”.

## **2.10 Project Failure**

Projects continue to fail at alarming rate. Indeed, statistics say they fail more often than they succeed. Different organizations measure success and failure differently and even within organizations, differing situations may have different measures and metrics. In fact, each project may be unique in this regard.

Every year, the Standish Group ([www.standishgroup.com](http://www.standishgroup.com)) does a survey of software development projects in the United States of America (USA). How many succeeded, failed, or were changed dramatically? Results from a survey they did in 1994 were that 83 percent of all projects suffer serious problems, with 33 percent being bad enough to be cancelled while 50 percent had to be revised. That means that of the \$250 billion spent on software development, about \$80 billion is wasted.

In the USA, for example, only 9% of all projects come in on time and budget, 31% of projects are never completed, 53% of all projects will cost 189% of original estimate and most are a mere shadow of original specifications, (USA Government Study, 2001).

In Information Technology (IT) projects for example, only 16.2% of all projects are fully successful completed on time and on budget. And when these projects are completed, many are no more than a mere shadow of their original specification requirements. Failed IT projects cost USA companies an estimated \$145 Billion per year causing serious business problems, Standish Group (2001).

In project management, a project is considered “failure” when it fails to deliver against the objectives on time and within budget, is unreliable and unmaintainable. When projects fail when they; do not meet stated goals and specified requirements, do not deliver value for money expected and stakeholders’ expectations, there is poor implementation and management, fail to meet quality standards, do not satisfy the users, there is general client

dissatisfaction, there is a sense of failure among team members and when do not deliver the product they were designed to produce. Some do not produce any product at all.

Project Management Components that can fail includes planning, implementation, requirements, goals, techniques, organization, technology, client/user/stakeholder, team, scope, people management, methodology, organization and control, quality, value and resources. So what are the key factors for success? Organizations and individuals have studied a number of projects that have both succeeded and failed and some common factors emerge. A key finding is that there is no one overriding factor that causes project failure. A number of factors are involved in any particular project failure, some of which interact with each other (Lewis, 2004).

Common reasons for project failure include poor/insufficient plans and planning processes, long or unrealistic time scales, insufficient finances, ineffective/poor communication in progress tracking and reporting, poor or no requirements, ever-changing requirements, lack of user and stakeholder involvement, lack of stakeholder buy-in, scope creep, insufficient control, poor project specifications, inappropriate staff whose skills do not match to task requirements, insufficient involvement by senior management, failure to manage user expectations, failure to manage the change required, hidden agendas, unmanaged expectations, lack of risk assessment and responses.

Others are failure to set and manage expectations, poor leadership at any and all levels, failure to adequately identify, document and track requirements, poor effort estimation, cultural and ethical misalignment, misalignment between the project team and the business or other organization it serves and inadequate or misused methods.

In the many research studies have been conducted to determine the reasons for project management failure, in most situations, the superior Project Managers (PMs) is the single most important influence impacting successful project goal achievement, (Toney, 2002). He has a great deal of responsibility and accountability. Indeed the same is true for failure of their projects; therefore most studies revolve around the issue around PMs skills. The implication is that failure is controllable and avoidable. The PM therefore needs to have the

authority to do her or his job properly. He/she needs to be capable of understanding the key measures of success and failure, and driving the project to meet success and avoid failure.

Project Management has also been identified as a key to any major corporation's ability to reliably deliver its commitments, (IBM, 2002) and as more organizations recognize the link between reliably delivering commitments and project management skills, the requirements for PMs will become much stiffer as will the authority they are given and the expectations and performance, (Withers, 2003).

Project failure does not have to be negative; it can be positive experience if the procedures involved in the failure are analyzed and corrected. By understanding the causes of failure, one can avoid pitfalls when they appear "unexpectedly". If one does something always right, there is no opportunity for learning. Failure gives opportunity for learning from previous mistakes; therefore improving the decision making process. "When one does something right, only confirms what is already known: how to do it. A mistake is an indicator of a gap in one's knowledge. Learning takes place when a mistake is identified, its procedures are identified and it is corrected" (Ackoff, 1994). By analyzing when went wrong and correcting it, in future times, one can do better.

## **2.11 Decentralization**

Decentralization is the change in the organization of the state, which involves the transfer of power or functions from the central to the sub-national levels or from one sub-national level organization to another (Chikulo, 1999).

Decentralization is the transfer or delegation of legal or political authority to plan, make decisions and manage public functions from central government and its agencies to subordinate units of government, semi-autonomous public corporations, area wide or regional development authorities, functional authorities, local government or non-governmental organizations (Rondinelli and Nellis, 1986).

Political, administrative, fiscal and market decentralization are the types of decentralization. Nevertheless, (Sharma, 2006) observes that there is clearly overlap in defining these terms and precise definitions are not as important as the need for a

comprehensive approach. These types of decentralization can also appear in different forms and combinations across countries, within countries and even within sectors. They also have different characteristics, policy implications and conditions for success.

Under appropriate conditions, all of these forms of decentralization can play important roles in broadening participation in political, economic and social activities in developing countries. Where it works effectively, decentralization helps alleviate the bottlenecks in decision making that are often caused by central government planning and control of important economic and social activities. Decentralization can help cut complex bureaucratic procedures and it can increase government officials' sensitivity to local conditions and needs. Moreover, decentralization can help national government ministries reach larger numbers of local areas with services; allow greater political representation for diverse political, ethnic, religious, and cultural groups in decision-making; and relieve top managers in central ministries of "routine" tasks to concentrate on policy.

According to the World Bank (2002), decentralization is not a panacea, and it does have potential disadvantages. Decentralization may not always be efficient, especially for standardized, routine, network-based services. It can result in the loss of economies of scale and control over scarce financial resources by the central government. Weak administrative or technical capacity at local levels may result in services being delivered less efficiently and effectively in some areas of the country. Administrative responsibilities may be transferred to local levels without adequate financial resources and make equitable distribution or provision of services more difficult. Decentralization can sometimes make coordination of national policies more complex and may allow functions to be captured by local elites. Also, distrust between public and private sectors may undermine cooperation at the local level.

Projects and program planners must be able to assess the strengths and weaknesses of public and private sector organizations in performing different types of functions. Before developing elaborate plans for decentralization, they must assess the lowest organization level of government at which functions can be carried out efficiently and effectively and for functions, which do not see "decentralization" as their primary motive must carefully



analyse the types of decentralization already present in a country in order to tailor policy plans to existing structures (World Bank, 2002).

Centralization and decentralization are not “either-or” conditions. In most countries, an appropriate balance of centralization and decentralization is essential to the effective and efficient functioning of government. Not all functions can or should be financed and managed in a decentralized fashion. Even when national governments decentralize responsibilities, they often retain important policy and supervisory roles. They must create or maintain the “enabling conditions” that allow local units of administration or non-government organizations to take on more responsibilities. Central Ministries often have crucial roles in promoting and sustaining decentralization by developing appropriate and effective national policies and regulations for decentralization and strengthening local institutional capacity to assume responsibility for new functions. The success of decentralization frequently depends heavily on training for both national and local officials in decentralized administration. Technical assistance is often required for local governments, private enterprises and local non-governmental groups in the planning, financial, and management of decentralized functions (Rondinelli & Nellis, 1986).

The primary argument for decentralization is that it enhances the process and speed of development through the ‘provision of social and economic services.’ although this meaning of development has been found to be weak because it creates a government-dependent society. Development must therefore mean enhancing the capacity of the society to cope with challenges and meet its needs. The contribution of the CDF program must therefore be assessed against the background of the latter meaning of development.

Participation and decentralization have a symbiotic relationship. On the one hand, successful decentralization requires some degree of local participation. Sub national governments’ proximity to their constituents will only enable them to respond better to local needs and efficiently match public spending to private needs if some sort of information flow between citizens and the local governments exist. On the other hand, the process of decentralization can itself enhance the opportunities for participation by placing more power and resources at a closer, more familiar, more easily influenced level of government. In environments with poor traditions of citizen participation, decentralization

can be an important first step in creating regular, predictable opportunities for citizen-state interaction (Litvack, Ahmad & Bird, 1998). Because decentralization is such a new concept in many countries, it becomes a learning process and hence, structures may be tried and discarded if unworkable.

According to (Litvack, Ahmad and Bird, 1998), while there is no guarantee that greater decentralization will result in greater democracy and more economic development, there are great hopes that the process of decentralized planning and management will be more inclusive and participatory, and that it will take into account the needs of the poor, disadvantaged and marginalized groups. Decentralization has the potential to induce broader institutional changes, which benefit and empower the poor. The key emerging issues for decentralizing countries center on civic participation, participatory budgeting, local information, local accountability and local monitoring.

The importance of decentralization can be to transfer decision-making power and management of affairs to a subordinate entity. Often it entails transfer of power from a national to a sub-national entity. This improves the responsiveness of governments to public concerns (Chikulo, 1999), better coordination, relevance and suitability of projects. Decentralization also increases equity, efficiency and macro economic stability.

However, instability in the political framework can have considerable effects in decentralization. Governments with different political philosophies can destabilize the decentralization process by passing contradictory laws. The fact that some of the contradictions are never reconciled only further confuses the underlying basis for decentralization.

In addition, decentralization can also fail to improve service delivery. It can also promote the risk of national destabilization and, therefore have undesired effects (Litvack, Ahmad and Bird, 1998).

Both decentralization and centralization coexist in different political systems. There seems to be a consensus since the 1980s that too much centralization or absolute local autonomy are both harmful and that it is necessary to put in place a better system of collaboration between the national, regional and local centres of decision making (World Bank, 2002).

## 2.12 Past Decentralization Efforts in Kenya

Kenya like most African and Third World countries has since independence formulated a series of decentralization programs, although their implementation has in all cases fallen far short of expectations and these efforts have yielded little tangible benefits in the sphere of good governance, democratic participation and development at the local level. These programs were in a shift from the formulation, financing and implementation of economic development policy through the central planning which had been characterized by centralized managerial authority, bureaucracy, command and control which had not worked well and resulted in serious development inequalities.

According to Mapesa & Kibua (2006) in (Kibua and Mwabu, 2008), the idea of decentralization in Kenya can be traced back to the period immediately after independence in 1963 when *Majimboism* was introduced. Thereafter, Sessional Paper No. 10 of 1965 on African Socialism and its application to Planning in Kenya stipulated that planning was to be extended to the provinces, districts and municipalities so as to ensure that there was progress in each administrative unit. Subsequently, the 1966-70 National Development Plan recommended that various committees be established to ensure coordination and people's participation in development.

According to the Ndegwa Report of 1971 (GoK, 1971), for the government to realize its concerns of accelerating development in rural areas, the process of planning, making and implementation had to be extended to the district level and even into divisions, where government comes into contact with local realities. Further, the Report of the Working Party on Government Expenditures of 1982 (GoK, 1982) recommended that the district should be the focal point for the management and implementation of rural development by the central government. Authorities to Incur Expenditure (AIE) previously held by provincial heads of departments were directed to district treasuries. It was from these strategies that the government issued a policy document the District Focus for Rural Development (DFRD), which required District Development Committees (DDC) to be responsible for coordination or rural development.

Focus for Rural Development Strategy was put in place. This policy made the district the local level-planning unit with district level Government officials and leaders as the members of the implementing team. Since then, the government of Kenya has accepted this development approach as a strategy for delivery of services to the people and in resource development and mobilization.

Though decentralization efforts have improved levels of public participation and, in some cases, government accountability, its success requires more than just the accomplishment of institutional decentralization since democratisation measures must be realized at the same time, historically, Kenya has also completely and consistently lost out at the design level in the endeavour to devolve power and allow the citizenry greater participation in the wider development agenda.

According to (Oloo, 2008) in (Kibua and Mwabu, 2008), several factors contributed to the failures of the above efforts. Some of these includes the overwhelming centralization of power in the hands of a few ruling elites. This in turn led to lack of political will at the centre to share power with sub-national levels of government. In addition, the legal regime under which decentralization efforts were being pursued was wanting. There is also the centre's continued control of the three key resources that are critical to the functioning of a decentralized system of government, namely: discretionary powers, financial resources and human resources hindered the institutionalisation of decentralization efforts. He observes that regardless of whether decentralization is political or administrative, the denial of control over these three resources always derails decentralization efforts.

The CDF is arguably the new approach in terms of attempts to decentralize funds and decision-making. In essence, the CDF is akin to the District Focus for Rural Development only this time the unit of focus is the constituency. What we see is that rather than addressing shortcomings of the existing decentralized frameworks or those that existed previously, Parliament went ahead and created a new strategy (CDF) with similar administrative shortcomings compounding the problem.

Considering that decentralization efforts are not new in Kenya, if we take into consideration why these attempts failed, then we can apply that knowledge of why they failed to ensure

the success CDF. If we repeat the same sins that made the earlier decentralization attempts fail, CDF will suffer the same consequences and not much in the way of operationalization of the system and its institutionalisation is likely to be realized regardless of how impressive the decentralization design instrument ultimately appears to be (Oyugi, 2005). So it does not matter what name is given, devolution will not succeed until oversight, accountability and redress are entrenched. Defects in the design must also be addressed and political will from the centre for their implementation must be there. These were also responsible for the failure of the earlier decentralization attempts.

### **2.13 Aspects that May impact on Efficiency in the Implementation of CDF**

It should be noted that constituencies are not created equal. They vary widely in various aspects that may impact on the efficiency in the implementation of CDF. Some of these aspects include size of the jurisdictions, population size, density and diversity, scope of economic activities, degree of urbanization, levels of education, poverty, etc. These dimensions are expected to impact on the project, choices and the extent to which local communities are involved in decision-making and in monitoring expenditures. There are systemic differences in the utilization of the CDF across constituencies depending on factors influencing citizen demand and characteristics of the constituencies (Kimenyi, 2005)

While the country faces a number of crosscutting problems that Kenyans consider as important, there are significant differences in the way communities rank their priorities. Efficiency in resource allocation then would suggest that the government budget should be tailored to meet diverse priorities in the different areas. To some degree, Kenya's national budget is informed by priorities arising from consultations. Nevertheless, the nature of central government budget allocation is not sited to dealing with very specific priority rankings by local communities but must necessarily be broader in focus. A national budget is not an efficient tool to match local prioritization because the transaction costs of implementing such an allocation scheme would be extremely high (Kimenyi and Meager, 2004).

Given the diversity of expected demands for particular public goods, project choices under CDF are expected to vary across constituencies as communities prioritize those projects

that have the highest marginal impact on their lives within budgetary constraints. Citizens are able to align their demands with resource allocation. Thus, there should be significant variations in project choices across political jurisdictions and a strong correlation between the selected projects in each constituency and the priorities expressed by various communities through consultations. Efficiency of CDF can therefore be measured based on how close the CDF projects reflect expressed priorities. Such a measure would help identify whether CDF is generally associated with social welfare enhancing outcomes as predicted by decentralization theory. (Kimenyi and Meager, 2004)

There are, however, wide variations in the constituency characteristics that may impact on the choice of the projects and mode of delivery and which may enhance or impede on the efficiency of utilization of CDF. Efficiency is primarily determined by the degree of involvement by local communities and also the capacity for the beneficiaries to hold politicians and those in charge of implementation accountable. Thus, constituency characteristics that impact on these factors can be expected to affect the utilization of funds. Constituency characteristics that hinder participation of the beneficiaries or weaken their capacity to monitor the utilization of funds can be expected to lead to more inefficient outcomes. We can therefore expect to find wider divergences in the projects selected compared to expressed priorities the weaker the participation of the communities in decision making. Factors that impact on CDF outcomes are; size of constituency/population density and dispersion, strategic choice of projects to internalize benefits, diversity of preferences/socio-economic characteristics, interest groups and political economy of CDF. Kimenyi (2005)

#### **2.14 Challenges in Management and Utilization of CDF**

(Makhoha, 1985) and (Chitere & Ileri, 2004) observed that there are major concerns that the recent institutional reforms aimed at devolving and decentralizing development and empowering the people at the local level might not yield the expected results due to certain weaknesses in the process. Some of these weaknesses include political and administrative influences, policy concerns, the top-down development mentality and poor people's participation. The latter can particularly be an avenue for corruption and the embezzlement of resources meant for local development. One reason for such development may be related to passivity of local population and failure to know what is required of them regarding the

use of resources. For example, (Mapesa & Kibua, 2006) found that majority of constituents in some selected constituencies in Kenya took CDF funds for their local politicians own development gesture extended to the people. With this kind of mentality, it is expected that when such funds are embezzled, the local people may not know, and if so may be unable to question or may not know the channels through which to complain. This is largely due to the apparent omission by the government and development partners to incorporate and actively involve grassroots communities in development activities.

There has also been much criticism over the management practices and implementation of the funds with regard to accountability, transparency, allocation of funds, targeting and priority setting, monitoring, necessary checks and audit arrangements in place, duplication of projects and overall effectiveness with numerous complains being made both in media and in public fora. There are also concerns about governance, representation and citizen participation. Conflicts of interests' have also been raised around the structure of the management of CDF in terms of composition and role of the MPs and CDCs. Needless to say, the enactment of the CDF Act has been met with mixed reactions from a cross section of people it was intended to serve – the Kenyans (Huugu, 2005). Nearly 70% of all constituencies attest to gross mismanagement, theft, fraud and sheer misuse and misappropriation of this public fund, (Okungu, 2007).

Constitutionality of CDF Act – A constitution by its very nature is an agreement on how people in a given place would like to be live together, promote and advance their interests, and protect those interests from all types of threats. The agreement is often based on a realization that people of diverse characteristics live together in particular territory (Munene, 1997). The Constitution, generally speaking, is meant to, among others, to achieve the following: create government, define levels of government, assign functions to the levels of government, ensure that institutions of governance at every level are held responsible for performance and allocate resources.

The Constitution is the supreme law of the land and any other law that is inimical to the postulates of the constitution is null and void to the extent of its inconsistency. The principal is recognized by the Constitution of Kenya in section 3 GoK, (2001) (1998) where it is provided that:

This Constitution is the Constitution of the Republic of Kenya and shall have the force of law throughout Kenya, and subject to section 47, if any other law is inconsistent with this Constitution, this Constitution shall prevail and the other law shall, to the extent of the inconsistency be void.

It then follows that any other law must be in accordance with the basic tenets upon which the constitution is founded in order to pass the test of constitutionality.

The CDF Act contradicts the traditional and noble principle of separation of powers, which has over the centuries emerged as bedrock of democracy and constitutionalism by giving MPs an executive role. The principle requires that the government be divided into different branches each with its clearly spelt out power and functions. It finds the main arms of the government as; The Executive, the Judiciary and the Legislature. It then requires that each arm is accorded specific functions, entrenched in the basic law of the land<sup>1</sup> and each to be limited to the exercise of its “proper function” and the balance was completed by allowing each arm a limited right to interference in the functions of the other in order to prevent the encroachment of any one of them upon the function of any other, Ongoya & Lumallas (2005)

The rationale behind separation of powers is that if two or three functions of Government above are exercised by only one organ of the Government, then such government would be arbitrary. Part 1 of the Kenya constitution adopts this principle by creating and defining the specific powers and functions of the Executive at Chapter II, the Parliament chapter III and the Judiciary at IV. As per the Kenya constitution GoK(2001) (1998), Part 1, Chapter III, the functions of the legislature are law making, formulation of policies, representation and oversight to the Executive and Judiciary. Through the implementation of the fund, the legislative arm of the government has clearly usurped executive powers and functions, which includes the use of government funds. It is the executive that is empowered through its civil servants, to implement laws and policies, while parliament’s role should be to make such laws; and oversee and monitor their implementation. This is the root cause of CDF crisis.

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<sup>1</sup> The constitution in our jurisdiction



According to Ongoya & Lumallas (2005), it is therefore against the constitutional principle of separation of powers where the legislator makes a law (the CDF Act 'herein), controls the fund through chairing the CDC or hand picking those who run the fund, takes part in the actual implementing (spending), then submit the annual estimates to themselves in parliament for approval, then question the governance systems of the fund at every constituency themselves through the select Committee of CDF, then audit and query the spending themselves through Public Accounts Committee. This is lack of democratic accountability. It is obvious that MPs who are both lawmakers and 'project managers' may seek to suppress any information that might make their hand picked Committee Members look bad. Some MPs abhor any form of criticism and blame divergent opinions on a possible plot of ousting them come the next general elections. The CDF Act is therefore inconsistent with the constitution to the extent that Members of Parliament participate in activities of CDF in executive capacities.

### **2.15 Participatory Bottom-Up Approach vis-à-vis Top-Down Western Approach**

CDF strategy was adopted to among others create a basis for sustainable participatory community development. The Act seeks to encourage community initiatives by ensuring that community identified projects are eligible for support under the Act, and in particular, to ensure a sense of ownership for such community-based projects.

The idea behind CDF is to encourage target beneficiaries to develop a sense of ownership and commitment for the initiated projects, to ensure their sustainability. Indeed, one of the central principles behind it is participation; the involvement of people in decision-making regarding their welfare, CDF Act, 2003 (GoK, 2003). For this reason, the local people should not be seen as passive development objects; rather, they should be treated as principle stakeholders to be actively engaged in decision-making regarding local development. However, there has generally been inadequate consultation between the community members and development agencies including the government on the way forward regarding local development. This has often left the local community with the impression that they were passive agents in local development. Such mentality is a recipe for dependency among the local people, which goes against the tenets of sustainable development and self-reliance.

Ongoya & Lumallas (2005) and Mapesa & Kibua (2006) observe that in utilization of the fund, government officials and politicians remain principal decision makers while local community play a largely peripheral role through their representatives who largely represent political interests. For this reason, the governance framework put in place for the utilization of the fund is not inclusive. Indeed, the CDF Act (GoK, 2003) has glaring loopholes especially regarding participatory governance in management of community projects. For example, although the idea of devolution of power is underlined by the Act, it at the same time vests too much power on politicians and government officials.

The participatory approach in the development is a paradigm shift from top-down western approach, where development agents and beneficiaries are at the same level in decision-making concerning development. It shifts more decision-making responsibility to the intended beneficiaries to plan and take an active part in the implementation of their development initiatives. In theory it is the shift from doing for the people to a situation where they do it for themselves. It is the opposite of the development paradigm where development agencies including the government are used to acting know it all and taking communities as passive objects of development (Chitere, 1994), (Bergdall, 1993) and (Chitambar, 2001). The top-down approach became problematic as communities developed dependency syndrome and were least prepared to initiate development without direction from development agencies and government officials.

The top-down western approach did not give local communities the opportunity to gain experience necessary for sustainability of development initiatives. Thus, whenever development agencies including government withdrew, it meant collapse of projects and thus rendering the investment a waste. The paradigm shift meant substantial change whereby top-down became bottom-up approach to development while uniform became diverse. According to (Chambers, 1997) and (Chitere, 1994), most important, participation meant empowering development beneficiaries in terms of resource and needs identification, planning on the use of resources and the actual implementation of development initiatives. This ensures that development and mobilization of local resources, necessary for development and sustainability of projects.

Participatory planning is emphasized in development on grounds that it is based on information provided by local people, enhances ownership and control and permits mobilization and use of local resources. Its success calls for use of tools such as strategic planning framework and logical framework analysis. Collection of baseline data is important as well as identification and involvement of local groups and their leaders in planning, implementation, monitoring and evaluation of projects.

Participatory theories have criticized the western approach on the grounds that it promoted a top-down, ethnocentric and paternalistic view of development. They argued that the diffusion model proposed a conception of development associated with a Western vision of progress. Development theories also criticized the western approaches for having been designed and executed in the capital cities by local elites with guidance and direction from foreign specialists. Local people were not involved in preparing and instrumenting development interventions. Interventions basically conceived of local residents as passive receivers of decisions made outside of their communities, and in many cases, instrumented ill-conceived plans to achieve development. According to (Mody, 1991), (Servaes, 1989) and (White, 1994), governments decided what was best for agricultural populations, for example, without giving them a sense of ownership in the systems that were introduced.

The top-down approach implicitly assumed that the knowledge of governments and agencies was correct, and that indigenous populations either did not know or had incorrect beliefs. Because programs came from outside villages, communities felt that innovations did not belong to them but to the government and thus expected the latter to fix things when they went wrong. The sense of disempowerment was also rooted in the fact that "targeted" populations did not have the choice to reject recommendations or introduce modifications to interventions.

One problem in participatory approach was that it was not clear that communities needed to be involved for certain results to be achieved. In some cases such as epidemics and other public health crises, quick and top-down solutions could achieve positive results. Participatory approach ignores that expediency may also positively contribute to development. Belaboring through grassroots decision-making process is slower than centralized decisions, and thus not advisable in cases that require prompt resolutions.

Participation might be a good long-term strategy but has shortcomings when applied to short-term and urgent issues.

Another problem is that participation in all stages does not have similar relevance. It was not clear what participation entailed. According to McKee (2003), if decisions were made outside of the community and the latter was assigned the role of implementing and evaluating results, some positions argued, participation was limited to instances that depended on decisions previously made. It was not true participation and, therefore, maintained power inequalities.

Other critics, particularly in Asia, thought that participatory models were premised on Western-styled ideas of democracy and participation that do not fit political cultures elsewhere. Individualism rather than community and conflict rather than consensus lie at the heart of participatory models developed in the West. Participation can also promote division, confusion, and disruption that do little to solve problems. It may privilege powerful and active members of the community at the expense of the community as a whole. Education and decision-making skills, rather than participation for its own sake, should be promoted.

To these criticisms, advocates of participatory models admitted that divisions and conflicts might result but, they argued, the answer should be teaching negotiation and mediation skills rather than opting for interventions that disempower people in the name of consensus-building. Although advocates of participatory theories viewed their critics as favoring government centralization and leaving power inequalities intact, they admitted that some original premises needed to be revised, (White, 1994).

Participatory approaches needed to:

- i. Be sensitive to the potential convenience of short-term and rapid solutions.
- ii. Recognize that recommendations for participation could also be seen as foreign and manipulative by local communities (just like the western approach).
- iii. Translate participatory ideas into actual programs.
- iv. Be aware that the communities may be uninterested in spending time in democratic processes of decision-making and, instead, might prefer to invest their time on other activities.

- v. Recognize that communities are not necessarily harmonious and that participation may actually deepen divisions. (Servaes, 1996,) admits that "participation does not always entail cooperation or consensus. It can often mean conflict and usually poses a threat to existent structures. Rigid and general strategies for participation are neither possible nor desirable.

To prevent some of these problems, it was suggested that it was preferable that projects be carried out in communities where agencies already had linkages (McKee, 2003). Previous knowledge of problems and characteristics of a given community was fundamental to identify activities and define projects. Existing linkages could also provide agents that were familiar with (or even were from) the community who could assist in creating organizations and networks to stimulate participation. No previously determined set of activities was advisable if the interests and dynamics of communities were not known. Workers would also provide important feedback information about the progress of projects through regular, face-to-face contact with participants. These practices function as a sort of transmission belt for making sure that community issues are addressed and that members have a voice in deciding future courses. The peril is to focus solely on professional technicians and leaders without consideration of involving the community at large.

Against criticisms that participatory communication leads to the existence of a myriad, disconnected projects carried out by the government, a multiple NGOs, coordination plans were deemed necessary. Providing a sense of orientation and organization was required to prevent that development efforts become too fragmented and thus weaker. Because NGOs are closer to communities than governments and funding agencies, they have the capacity to respond relatively quickly to demands and developments. But without a more encompassing vision, projects may only obtain, at best, localized results that fail to have a larger impact.

Responding to critics who were impatient with obtaining "results," participatory approaches suggested that development requires a long-term perspective that is usually missing among governments and funding agencies interested in getting quick results and knowing whether efforts pay off. Participatory theorists turned the criticisms about "timing" and "impact" onto their critics, arguing that the so-called problems of

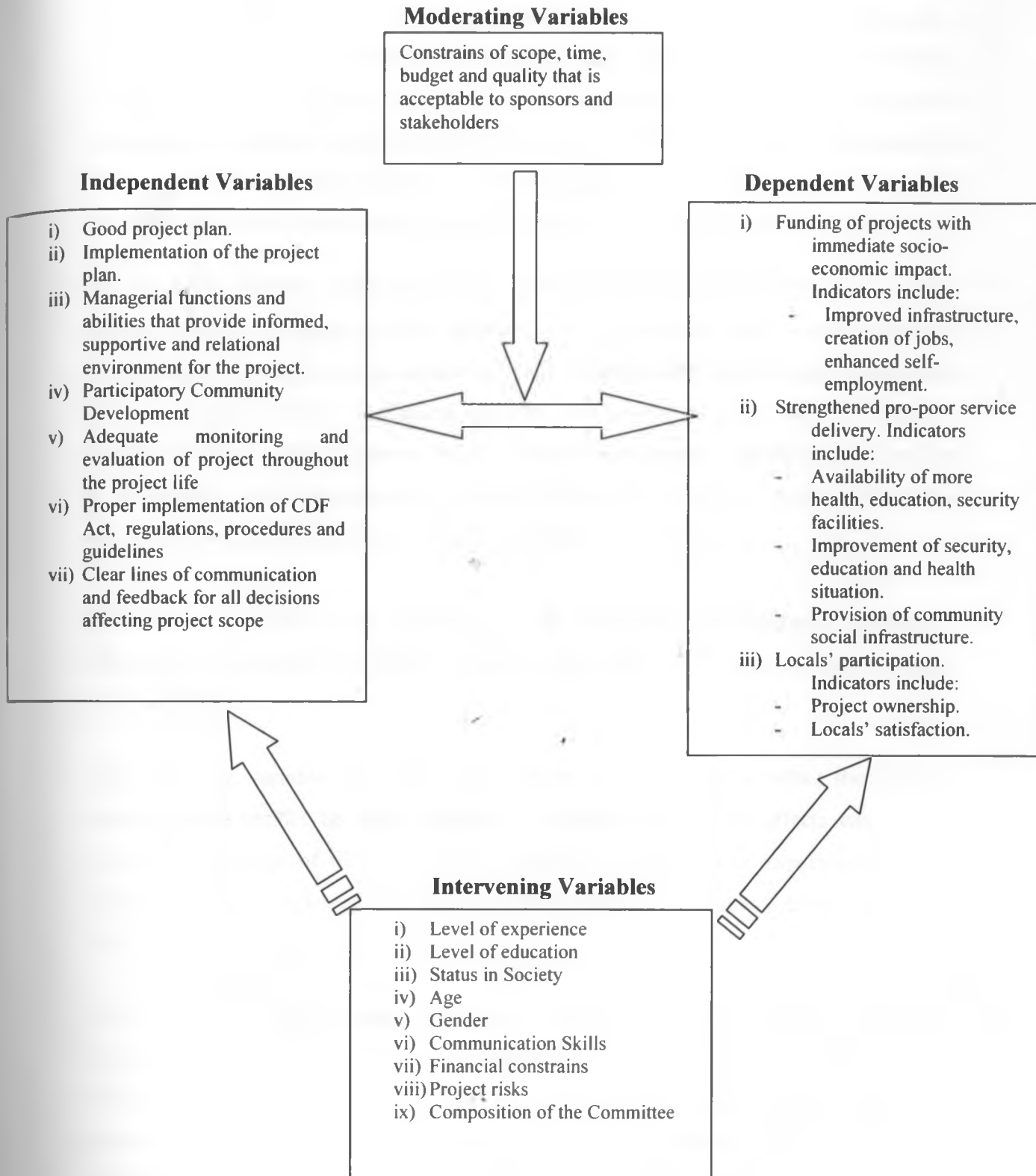
participatory approaches in “showing results” did not originate in the model but in how organizations approach development (Melkote, 1991).

Short-term projects that are prone to be terminated according to different considerations make it difficult to promote participation and examine the results of interventions in the long run. The interests of funders and politicians, who were urged to prove effectiveness of investments, ran against the timing of participatory development communication projects. For the latter to be possible, NGOs, funding agencies and other actors involved needed to be sensitive to the fact that grassroots projects cannot be expected to “produce results” in the manner of top-down interventions. Neither community development nor empowerment fit the timetables of traditional programs.

### **2.16 Conceptual Framework**

Conceptual frameworks are sometimes called “research” frameworks. A conceptual framework is a useful tool for identifying and illustrating a wide variety of factors and relationships that may affect the successful outcome of a program. These factors include program plans and operations; its operating environment in terms of target or non-target populations, government or institutional policies, infrastructure, and other characteristics of the socio-economic or political system; and intermediate changes or ultimate goals. Conceptual frameworks take a broad view of the project itself in order to clarify the relationship of its activities and its main goals to the context in which it operates. The design of the framework should show the interrelationships between all factors that are relevant to achieving the project’s goal and objectives.

**Fig 1.1: Conceptual Framework Model**



The conceptual framework in fig. 1.1 has identified, illustrated, and diagramed all of the salient relationships among all the key variables in the study. The variables include the independent variables, which can be hypothesized to be the causal influence. These are: a good project plan; implementation of the project plan; managerial functions and abilities that provide informed, supportive and relational environment for the project; participatory community development; adequate monitoring and evaluation of project throughout the project life; proper implementation of CDF regulations, procedures and guidelines; and clear lines of communication and feedback for all decisions affecting project scope.

The dependent variables or the criterion by which the results of the research will be judged includes; funding of projects with immediate socio-economic impact whose indicators include improved infrastructure, creation of jobs, enhanced self-employment; strengthened pro-poor service delivery. Indicators includes availability of more health, education, security facilities; improvement of security, education and health standards; and provision of community social infrastructure. Another dependent variable is locals' participation whose indicators include project ownership and locals' satisfaction.

The moderating variables, which are likely to have a significant contribution or contingent effects on the independent, dependent variable relationship includes the constrains of scope, time and budget.

The intervening variables or factors that theoretically are likely to affect the observed phenomena but cannot be seen, measured or manipulated and its effects can only be inferred from effects of the independent variables are the level of experience, level of education, status in society, age, gender, communication skills, financial constrains, project risks and the composition of the Committee.

The above conceptual framework clarifies the complete context that is likely to contribute to or affect the outcome of the study. It clarifies the study's assumptions about the causal relationships connecting significant variables of the study's context, clarifying aspects that planned intervention may affect as well as other factors beyond ones control. It also identifies the variables that factor into outcome of the study, and the explicit ways they interact with each other sets the stage for outlining the results one can reasonably expect from the study.



## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter reviews the procedures that were adopted in the inquiry. It discusses the research design, target population, sampling procedure and sample size, data collection instrument, validity and reliability of the research instrument as well as administration of research instrument. Data analysis techniques utilized are also outlined. Finally, the operationalization table, which indicates the variables, indicators, measurement scales, type and tools of analysis employed in the study is outlined.

#### **3.2 Research Design**

Research design is simply the framework or plan for a study used to guide in collecting and analyzing data. It ensures that the study will be relevant to the problem and that it will use economical procedures. There is never a single standard, correct method of carrying out research; rather, there are many research design frameworks, which can be classified into some basic types. One useful classification is in terms of the fundamental objective of the research: exploratory, descriptive or causal.

The study adopted a cross sectional survey to meet its objectives. The main purpose of the survey was to provide qualitative and numeric descriptions of some part of population in Gatanga constituency. The survey was aimed at collecting data from members of the population in order to determine their position with respect to variables of the study. The cross sectional survey meant that the study did not go on for a long time. The study took place between June, 15 and July 31, 2009.

Survey design was preferred because it was economical and had a rapid turnaround in data collection. It also had the advantage of assisting the researcher identify attributes of a large population from a section of it.

#### **3.3 Target Population**

The population of interest was the various stakeholders in the CDF in Gatanga Constituency (Appendix 2).

### 3.4 Sampling Procedure and Sample Size

Warwick and Lininger, (1975) argue that, “the main factor considered in determining the sample size is the need to keep it manageable enough.” This enables the researcher to derive from it detailed data at an affordable cost in terms of time, finances and human resource, Mugenda and Mugenda (1999). The two further suggest that for descriptive studies, 10% of the accessible population stratum is enough for a study sample.

The target population was stratified into eight categories of stakeholders (Appendix 2). The sampling was done in proportion to their numbers and was reflective of the seven wards in the constituency namely Gatanga, Kariara, Kigoro, Kihumbu-ini, Kiria-ini, Mugumoini and Samuru.

For categories with a population of below thirty persons, each person was targeted to fill out the questionnaire. Therefore, the CDF manager and other government officials involved in the management of CDF; all members of Constituency Development Committee; all the departmental heads in the sectors that have benefited from funding by CDF namely education, health, water, livestock and agriculture, roads and security; all political and administrative leaders were provided with questionnaires to fill out. However, the number of those who responded is as follows; CDF manager and other government officials involved in the management of CDF, one out of three returned the questionnaire. CDC members, five out of fifteen filled out the questionnaire; departmental heads, five out of seven returned the questionnaire; political leaders, four out of nine returned the questionnaire while for the administration leaders, four out of nine filled out the questionnaires.

For the project committee members, systematic sampling was utilized. Each project committee comprises of fifteen members. In this case, every 10th member of the project committees arranged alphabetically in a list was selected. Therefore, one hundred and twenty members were targeted to be interviewed. However, when questionnaires were issued to them, eighty members returned the questionnaires, which represents 67% of the target population in this category.

In the case of the religious leaders, a total of one hundred and fifty leaders were targeted. Simple random sampling was utilized. In this case, there was an equal chance for each

religious leader to be selected for the sample. The simple random sampling was done by putting all the names of the religious leaders in a basket and randomly selecting respondents from it. A sample size of 10% of the total population of all religious leaders of one hundred and fifty was utilized. Therefore, fifteen members were targeted as respondents. However, when questionnaires were circulated, fourteen returned the questionnaires.

For the general constituents, stratified sampling was utilized. The total population in the whole constituency was 104,625. A stratified sample was obtained by getting the population of the subgroups (wards) which according to 1999 Census (GoK, 1999) were as follows: Gatanga – 19,865 , Kihumbuini - 17690, Kariara - 18,006, Kigoro – 18,264, Ithanga – 9,600, Kakuzi – 9,920 and Mitumbiri – 10,492 and then randomly selecting respondents from each of the seven wards. A sample size of 0.1 % of the total population of each ward was utilized representing one hundred and five respondents.

Therefore, for all categories, the target population was two hundred and eighty three respondents. This population was proportional to each ward's population while other characteristics such as age and gender were also put into consideration. However, the total number of respondents interviewed was two hundred and four.

### **3.5 Data Collection Instrument**

A data collection instrument is the technique employed to gather data. The study employed both primary and secondary data collection. The primary data was collected using mainly a structured closed ended and open-ended questionnaire (Appendix 1) but also other methods namely interviews and observations were used to gather data. The primary data generated by the above methods, was both qualitative and quantitative in nature.

Questionnaires had the advantage of being cheap and easier to administer and resulted in data that was suitable for analysis as designed by the researcher. They were relatively cheap, no prior arrangements were needed, respondents were in a position to consider responses, anonymity of respondent was possible and there were no interviewer bias.

The questionnaire (Appendix I) contained both closed and open-ended items. Thus, structured questions were used in the instrument but open-ended questions were also used

where widely varied views on an issue were expected. The questionnaire was divided into four sections as follows: Section A consisted of statements seeking information on the respondents' background. This was necessary in describing respondents particularly in this study.

Section B comprised of questions seeking data over the management and utilization of the CDF while section C comprised of questions to assess the extent to which CDF in Gatanga had been able to achieve the objectives for which it was established. Section D on the other hand sought to establish the level of locals' participation in various aspects of CDF. Section E sought to establish the constituency's strategic plan.

The researcher also analyzed existing data supplied by various stakeholders, annual CDF reports and government statistics from the year 2003 when CDF was established.

### **3.6 Validity of the Research Instrument**

According to Mugenda et al (1999), validity refers to the accuracy and meaningfulness of inferences, which are based on the research results. It is the degree to which results obtained from the analysis of the data actually represent the phenomenon under study. Validity therefore, has to do with how accurately the data obtained in the study represents the variables of the study.

The research instrument was rated in terms of how effectively it sampled significant aspects of the purpose of the study. Thus a valid measure depended on collecting accurate data.

The content validity of the instrument was determined through the researcher discussing the items in the instrument with the supervisors, colleagues and other lecturers. The advice given by these people assisted to improve the validity of the research instrument on a small sample with similar characteristics and the necessary adjustments were made. The research instrument was also subjected to statistical tests of significance to determine its validity.

### **3.7 Reliability of the Research Instrument**

The reliability of a research instrument concerns the extent to which the instrument yields

the same results on repeated trials. To determine reliability of the research instrument, the researcher conducted a pilot study.

Ambiguous questions were then dropped and revisions made to unclear questions. 3% of the questions were dropped.

### **3.8 Administration of Research Instrument**

For the general constituents and project committee members, questionnaires were administered in person by the researcher. This ensured the sampled respondents were the ones who supplied the data. It also provided for clarifications, probing and prompting of appropriate responses in the questionnaires. For the other categories (Appendix 2), drop and pick method was used to administer the questionnaire.

During the actual field survey, the area covered was grouped according to routes with areas within the same route being covered as one group to ease the transportation and other logistics costs. An assurance to respondents was given that all personal responses would remain strictly confidential.

### **3.9 Data Analysis**

This is the computation of certain measures along with searching for patterns of the relationships that exist among data groups. It is the process of analyzing relationships or differences supporting or conflicting with the original or new hypothesis. This process can take many forms. However, the preliminary analytical steps of editing, coding and tabulation were used on this study. The purpose of the analysis was to obtain meaning from the collected data.

The data collected was analyzed using both qualitative and quantitative methods of data analysis. The data was coded appropriately then entered into the Statistical Package for Social Sciences (SPSS 8.0 for windows) for analysis. The selection of SPSS as the preferred software to analyze data was guided by several considerations: It was speedy and flexible in survey design and data collection; provided more accurate analysis resulting in dependable conclusions with statistical designed to fit the inherent characteristics of data; provided a comprehensive range of data access, manipulation, analysis and presentation tools by enabling user to analyze more data with greater accuracy and confidence; and

produced high quality statistical reports and presentations. The software also assisted in cross-tabulating various variables to see the correlation using chi square.

Data was presented in the form of descriptive statistics mainly tables, frequencies, percentages, measures of central tendency like the mean and mode were used. Factor analysis was then be used to identify the most prominent factors that explained the findings.

**Table 3.1 Operationalization Table**

<b>Variables</b>	<b>Indicators</b>	<b>Measurement Scales</b>	<b>Type of Analysis</b>	<b>Tools of Analysis</b>
Good project plan	Project plan	Nominal measurement scale	Descriptive	Descriptive
Implementation of project plan	Implementation report	Ordinal measurement scale	Correlation	Correlation
Managerial functions and abilities that provide informed, supportive and relational environment for the project	Ability to perform managerial functions	Ordinal measurement scale	Descriptive	Descriptive
Participatory Community Development	Locals' participation	Ordinal measurement scale	Correlation	Correlation
Adequate monitoring and evaluation of project throughout the project life	Periodic monitoring and evaluation reports	Nominal measurement scale	Correlation	Correlation
Proper implementation of CDF regulations, procedures and guidelines	Understanding of CDF regulations, procedures and guidelines  Implementation status regulations, procedures and guidelines	Ordinal measurement scale	Correlation	Correlation
Clear lines of communication and feedback for all decisions affecting project scope	Available communication lines	Ordinal measurement scale	Descriptive	Descriptive

## CHAPTER FOUR

### DATA PRESENTATION, ANALYSIS AND INTERPRETATION

#### 4.1 Introduction

The main focus of this chapter is the presentation, analysis and interpretation of the results of the research. Data obtained was analyzed using Statistical Package for Social Scientists (SPSS 8.0 for windows) to analyse factors that influenced successful management of CDF in Gatanga constituency. Descriptive statistics mainly tables, frequencies, percentages, measures of central tendency in particular mean and most were used to analyze responses to various items in the questionnaires and identify the most prominent factors that explained the findings.

#### 4.2 Response Rate

Out of the target population of two hundred and eight three respondents, a total of two hundred and four questionnaires were filled representing a 73.9%.

For all the categories, the total target population was two hundred and eighty three respondents. However, only two hundred and four respondents were interviewed representing 73.9% of the total target population.

##### 4.2.1 Response rate of the various Stakeholders

From the study, For the CDF manager and other Government Officials involved in the management of CDF, 33% filled out the questionnaire. On the other hand 43%, 67%, 71%, 67%, 93% and 86% of the respondents were CDC members, project committee members, departmental heads in sectors that have benefited from CDF, political and administrative leaders, religious leaders and the general constituents respectively.

**Table 4.1 Response Rate**

Category	Target population	Responding population	Response Percentage (%)
CDF manager and other government officials involved in management	3	1	33
CDC constituency development committee members	14	5	43
Project committee members	120	80	67
Departmental heads in sectors that have benefited from CDF	7	5	71
Political and Administrative leaders	18	9	50
Religious leaders	15	14	93
General Constituents	105	90	86
<b>Total</b>	<b>283</b>	<b>204</b>	

### 4.3 Demographics of the Respondents

To form the basis under which the research could better understand and analyse responses, it was important to establish respondents' background information. Demographics of the respondents formed part of respondents' general information.

#### 4.3.1 Age of the Respondents

From the data, 27.5% of the respondents were aged 36–40 years with 24.5% being 26–30 years. On the other hand, 17.6% and 17.6% were aged below 25 years and 46–55 years respectively. Only a mere 9.8% of the sample population was aged above 55 years. Over 55% of the respondents were 40 years and below, while 45% were above 40 years.

**Table 4.2 Respondents Age**

Age (years)	Frequency	Percentage (%)
below 25 years	36	17.6
26 - 30	50	24.5
36-40	56	27.5
46-55	36	17.6
Over 55 years	20	9.8
No response	6	2.9
<b>Total</b>	<b>204</b>	<b>100</b>

From the table shown above, distribution of ages was even amongst the respondents.

#### 4.3.2 Gender of the Respondents

Establishing the gender of the respondents was important in this study. This is guided by the reason that many psychologists argue that males and females perceive and interpret things differently even though they may be exposed to the same environment.



The researcher also wanted to establish if there were any cases of gender biasness in the responses regarding the management of the CDF in Gatanga constituency. According to the findings, majority 73% of the respondents were male while only 27% were female.

**Table 4.3 Gender of the Respondents**

Gender	Frequency	Percentage (%)
Male	149	73
Female	55	27
Total	204	100.0

This implies that more male respondents were conversant with the management of CDF projects than there were females. This could be because the number of women involved in CDF related activities was very small compared with men. It could also imply that males did not shy away from responding to questions relating to the study compared with females. This could be attributed to the fact that the political leadership is very much involved in the management and implementation of CDF yet there are very few women in political leadership compared with men.

#### 4.3.3 Marital Status of the Respondents

On the question of marital status, majority, 61.8% of the respondents turned out to be married while 31.4% were single and only 2.0% were widowed. 4.9% did not respond to the question.

**Table 4.4 Respondents Marital Status**

Marital Status	Frequency	Percentage (%)
Single	64	31.4
Married	126	61.8
Widowed	4	2.0
No response	10	4.9
Total	204	100.0

#### 4.3.4 Level of Education of the Respondents

Education is/has always been considered as a preparation for life with many people now arguing that education is life itself. The questionnaire therefore, sought to establish the highest level of education and training attained by the respondents. From the study, it emerged that most, 37.3% of the respondents had attained college level education with 29.4% having secondary education while 20.6% were university graduates.

**Table 4.5 Respondents Level of Education**

Level of Education	Frequency	Percentage (%)
Primary	18	8.8
Secondary	60	29.4
College	76	37.3
University	42	20.6
No response	8	3.9
Total	204	100

Only a mere 8.8% of the respondents had primary education as the highest level of education attained. This shows that the level of education for the population in Gatanga is above average.

#### 4.3.5 Period Associated/Worked with CDF in Gatanga

The researcher sought to establish the period that respondents had associated/worked with CDF in Gatanga. According to the findings, of total, 12.7% had associated/worked with CDF for 3-4 years with 6.9% having been associated/worked for a period of below 2 years, while 2.9% had been associated/worked with CDF in Gatanga for more than 5 years.

**Table 4.6 Period Associated/Worked with CDF**

Period	Frequency	Percentage (%)
Below 2 years	14	6.9
3 -4 years	26	12.7
Over 5 years	6	2.9
No response	158	77.5
Total	204	100

The short period of working/association with CDF could be attributed to the requirements of the CDF Act that Committees should be reconstituted after every 2 years as well as the normal transfers of departmental heads in the various government Ministries from time to time.

#### 4.4 Management, Implementation and Utilization of CDF

One of the major objectives of the study was to establish whether there was a relationship between people's participation at the grass root level in identification, planning, monitoring and successful management of CDF. To establish, level of locals' participation in CDF, the researcher first sought to establish whether the respondents were aware of project (s) or

activities funded through CDF. From the findings, 96% of the respondents were found to be aware of projects funded by CDF while a mere 2.9% were unaware.

**Table 4.7 Awareness of CDF Funded Projects and Activities**

Awareness of Funded Projects	Frequency	Percentage (%)
Yes	196	96
No	6	2.9
Total	204	100

#### 4.4.1 Satisfaction with Utilization of CDF

On the respondents' level of satisfaction with the manner in which the CDF kitty had been utilized in the constituency, findings indicated that majority of the respondents, 59.8% were fairly satisfied while 28.4% were fully satisfied.

On the other hand, 9.8% were dissatisfied while only 1% didn't know they were satisfied whether or not.

**Table 4.8 Satisfaction with Utilization of CDF**

Level of satisfaction	Frequency	Percentage (%)
Satisfied	5	28.4
Fairly Satisfied	122	59.8
Dissatisfied	20	9.8
Don't know	2	1.0
No response	2	1.0

#### 4.4.2 Satisfaction with Management of CDF

The findings of the study indicate that majority of the respondents, 58.8% were fairly satisfied with the management of CDF, 20.6% were satisfied while 12.7% were dissatisfied with the way CDF had been managed since 2004.

**Table 4.9 Satisfaction with CDF Management**

Level of satisfaction	Frequency	Percentage (%)
Satisfied	21	20.6
Fairly satisfied	60	58.8
Dissatisfied	13	12.7
Don't know	2	2.0
No response	6	5.9
Total	204	100.0

This implies that though the management of CDF is not considered 100% satisfactory from the findings of the study, CDF management in Gatanga is averagely satisfactory.

#### 4.4.3 Indicators of Properly Managed Funds

On some of the indicators to show that funds had been properly managed, majority of the respondents, 54.9% cited equitable distribution.

A total of 34.3% cited availability of records, 22.5% and 22.5% gave presence of proper records and utilization of all funds as indicators while 21.6% cited the cost of projects as an indicator to show that funds had been properly managed.

**Table 4.10 Indicators of Properly Managed Funds**

Indicators	Frequency	Percentage (%)
Proper records	46	22.5
Equitable distribution of projects/funds	112	54.9
Availability of records	70	34.3
Utilization of all funds	46	22.5
Cost of project	44	21.6

Table 4.10 shows that indicators of proper management vary depending on individuals but the majority of the respondents felt that equitable distribution of projects and funds was key.

#### 4.4.4 Success Factors in the Management of CDF

Asked to highlight some of the factors that influenced the successful management of CDF, most of the respondents, 36.3% cited local community participation as a major factor.

A total of 31.4% and 29.4% of the respondents were of the view that collective responsibility and government follow up respectively influenced successful management of CDF.

**Table 4.11 Success Factors in Management of CDF**

Success Factors	Frequency	Percentage (%)
Collective responsibility	64	31.4
Government follow up	60	29.4
Follow up by stake holders	58	28.4
Transparency in fund management	48	23.5
Adherence to CDF regulations and procedures	42	20.6
Local community participation	74	36.3
Committees dedication/commitment	54	26.5
Lack of politicization of projects	40	19.6
Selection of committees	20	9.8
Clear communication and feedback	42	20.6
Composition of committee	26	12.7

As indicated in table 4.9 there are a number of factors influencing successful management of CDF programmes and projects depending on the individual constituents perception of what successful management entails.

#### 4.4.5 Familiarity with CDF Act and Regulations

Effective management implementation and utilization must be based on effective policies and guidelines and their implementation. Hence, the study sought to establish whether the respondents were familiar with the CDF Act and regulations. From the findings, it emerged that majority, 73.5% of the respondents were not familiar with the provisions of CDF Act as well as regulations while only 19.6% were familiar.

**Table 4.12 Familiarity with Provisions of CDF Act and Regulations**

Familiarity with Provisions	Frequency	Percentage (%)
Yes	40	19.6
No	150	73.5
No response	14	6.9
Total	204	100

#### 4.4.6 Adherence to Provisions of CDF Act and Regulations

On whether CDF was managed in accordance with provisions of the CDF Act and regulations the study found that only 16.7% of the respondents were of the opinion that it was managed in accordance with provisions compared to 10.8% who were of the contrary opinion.

Nevertheless, most of the respondents, 19.6% were unaware whether or not funds management was as per the provisions of the Act and regulations in place. 52% did not respond to the question, as they had no idea what the Act and regulations in place stipulate. This implies that the knowledge among the population over the provisions of the Act as well as any other regulations and guidelines that guide the management of CDF was very low. Therefore, respondents could not tell whether funds were managed as per the provisions. The public needs to be sensitized on the subject to enable them monitor the management of funds.

**Table 4.13 Adherence to Provisions of CDF Act and Regulations**

<b>Adherence to provisions of CDF Act and Regulations</b>	<b>Frequency</b>	<b>Percentage (%)</b>
Yes	34	16.7
No	22	10.8
Don't know	40	19.6
No response	108	52.9
Total	204	100.0

#### **4.4.7 Political Interference in the Management of CDF**

The researcher found it important to establish whether there was any political interference in the manner in which CDF was managed. It emerged that 37.3% of the respondents were not aware of any political interference compared to 28.4% who were of the contrary opinion.

Of the respondents, 31.4% didn't know whether or not there was any political interference in management of CDF.

**Table 4.14 Political Interference in the Management of CDF**

<b>Awareness of Political Interference</b>	<b>Frequency</b>	<b>Percentage (%)</b>
Yes	58	28.4
No	76	37.3
Don't know	64	31.4
No comment	6	2.9
Total	204	100.0

#### 4.4.8 Identification of Projects

On how CDF funded projects were identified, the study findings indicated that majority of the respondents, 52% of the projects were identified by CDF committees while 29.4% stated that the identification was agreed upon by the community.

Of the respondents, 25.5% cited the area MP as the one who suggested projects to be funded while 7.8% felt that project were extracted from the district plans.

**Table 4.15 Identification of Projects**

Identification of Projects	Frequency	Percentage (%)
Agreed by community	60	29.4
Extracted project from district plans	16	7.8
CDF committee identified/proposed	106	52.0
MP suggests projects	52	25.5
Don't Know	14	6.9
Total	204	100.0

Identification of projects to be funded by CDF committees is in contradiction to the purpose of CDF, which was to among others, create a basis for sustainable participatory community development as well as ensuring people's participation at the grass root in the identification, planning and successful management of CDF. It is also in contradiction with the Act and regulations in place.

#### 4.4.9 Targeting and Prioritizing of Projects

On whether there were any specific criteria in place that CDF committees used for targeting and prioritizing projects, most of the respondents, 49% did not know of any criteria with 12.7% stating that there was no specific criterion, while 37.3% of the respondents said that there was a criterion in place for targeting and prioritizing projects by the committees.

**Table 4.16 Targeting and Prioritizing of Projects**

Targeting and prioritizing of Projects by CDF Committees (Criteria)	Frequency	Percentage (%)
Yes	76	37.3
No	26	12.7
Don't Know	100	49
Total	204	100.0

#### 4.4.10 Best Management Practices in CDF

The study sought to establish how best management practices were applied in the management of CDF in Gatanga. On whether committee members were involved in procurement of goods and services, 25.5% of the respondents were of the opinion that committees were involved against 11.8% who felt they were not involved. 60.8% didn't know whether or not members of the committee were involved.

On whether respondents were aware of any complaints, disputes or conflicts in the various committees of the CDF, most 44.1% said they were unaware of any cases with 11.8% stating that there were aware of cases of disputes, conflict and complaints in utilization of funds. 40.2% of the respondents didn't know if there were such cases.

**Table 4.17 Statements on the Best Management Practices in CDF**

	Yes		No		Don't Know	
	Frequency	Percentage	Frequency	Percentage	Frequency	Percentage
Are committee members involved in procurement of goods and service	52	25.5	24	11.8	124	60.8
Are committee members involved in monitoring and evaluation for CDF projects	92	45.1	14	6.9	92	45.1
Are you aware of any incidents/cases of complaints/disputes in management and utilization of funds against committee members?	24	11.8	90	44.1	82	40.2
Are you aware of any mechanism or places where disputes and complaints can be directed for solution?	42	20.6	148	72.5		

This is an indication that there lack of information among the population over many aspects of CDF management in term procurement of goods and services, monitoring and evaluation as well as mechanisms where disputes and complaints can be directed for solutions.

The study also sought to establish some of the committees where complains, conflicts and dispute cases were prevalent. From the findings, 28.4% of the respondents cited the constituency development committee, 6.9% indicated project committees, while a mere 2.0% said the location committees.



**Table 4.18 Complaints, Conflicts and Disputes in Committees**

Committees	Frequency	Percentage
Constituency Development Committee	58	28.4
Project Committee	14	6.9
Location Committee	4	2.0

Upon establishing that cases of conflicts, complaints and disputes were present in CDF committees, it was important to ascertain whether there were any mechanisms or places where complaints and disputes could be directed to for solutions. The findings indicated that 74% of the respondents felt there were no mechanisms or places where complaints and disputes could be directed for solutions against 26% who were of the contrary opinion.

**Table 4.19 Dispute Resolution Mechanisms**

Resolution Mechanisms	Frequency	Percentage
No comment	2	1
Yes	40	26
No	162	74
Total	204	100

#### 4.4.11 Monitoring and Evaluation of Projects

For any project to be successful frequent monitoring and evaluation throughout the project life is essential, it was therefore important for the study to establish the various methods used by the CDF committees to monitor and evaluate projects in Gatanga constituency.

According to the findings most of the respondents, 33.3% were of the opinion that monitoring and evaluation was through project committees, 26.5% said feedbacks during meetings were used by Committees, with 22.5% stating that monitoring and evaluation was done through the monitoring committees. 21.6% felt that monitoring and evaluation was through analysis of project accounts records while 4.9% of the respondents did not know how committees monitored and evaluated projects implementation.

**Table 4.20 Monitoring and Evaluation of Projects**

Monitoring and Evaluation	Frequency	Percentage (%)
Through project committees	68	33.3
Through project accounts records	44	21.6
Through monitoring committees	46	22.5
Through feedback during meetings	52	26.5
Don't know	10	4.9

As outlined in table 4.20 there are many ways through which implementation of CDF projects can be monitored and evaluated depending on the strategy that the CDF committee chooses to adopt. A combination of various strategies in monitoring and evaluation ensures successful completion of projects.

On some of the strengths and weakness of the CDF management, 60.8% of the respondents indicated that dedication to implement projects with social economic impact to the community was a major strength. 45.1% indicated that the committee was competent while 44.1% cited ability to manage time in the implementation of projects.

**Table 4.21 Strengths and Weaknesses of CDF Management**

Strengths	Frequency	Percentage (%)
Collective responsibility	50	24.5
Time management	90	44.1
Communication regarding projects	68	33.3
Ensuring equitable distribution	82	45.1
Dedication to projects with social economic impact	124	60.8
<b>Weaknesses</b>		
Committee not known by people	88	43.1
Not involving people in project prioritization	104	51.0
Committees are constituted politically	88	43.1
Initiating unsustainable projects	68	33.3
Unskilled committee membership	60	29.4

Majority of the respondents, 51% gave the failure of community involvement in project prioritization as a major weakness in CDF management. Other weaknesses were unfamiliarity of the committee members to the community according to 43.1% of the

respondents. Committees' being politically constituted was also seen as a weakness according to 43.1% of respondents while initiating unsustainable projects was also given as another weakness in management of CDF projects.

#### 4.5 Achievement of CDF Objectives

One of the objectives of this study was to evaluate the extent to which the provision of pro-poor services has influenced the success in the management of CDF in Gatanga. On whether CDF funded projects have promoted provision of pro-poor services majority of the respondents, 74.5 % were in agreement that initiated CDF projects had promoted pro-poor services against 14.7% who felt that they had not.

**Table 4.22 Promotion of Provision of Pro-Poor Services**

Promotion of Provision of Pro-Poor Services	Frequency	Percentage (%)
Yes	152	74.5
No	30	14.7
Don't know	22	10.8
Total	204	100

Some of the key pro-poor services that have been provided through CDF projects in Gatanga constituency. From the findings, majority of the respondents, 72.5% cited health services as major immediate pro-poor services that had been provided through CDF committee. Education services had also been provided for according to 69.6% of the respondents. On the other hand 51%, 50% and 29.4% cited water, security and administration services respectively as other pro-poor services provided through CDF.

**Table 4.23 Key Pro-Poor Services Provided**

Key Services Initiated	Frequency	Percentage (%)
Water projects	102	50.0
Administration services	60	29.4
Health services	148	72.5
Education services	142	69.6
Security services	104	51.0
Provision of bursaries	36	17.6
Rural electrification	14	6.9
Improving road networks	92	45.1

Another objective of the study was to establish whether funding of projects with immediate social and economic impact had been a success factor in the management of CDF in

Gatanga. Asked whether initiated projects had improved the social and economic welfare of Gatanga constituents, majority of the respondents, 86.3% were in agreement that it had improved their wellbeing against a mere 6.9% who felt it had not contributed positively to the welfare of the people of Gatanga.

**Table 4.24 Improvement of Peoples' Social Economic Welfare**

Improvement of Peoples Social Economic Welfare	Frequency	Percentage (%)
Yes	166	86.3
No	14	6.9
Don't know	6	3.0
No response	8	3.9
Total	204	100.0

This implies that CDF funded projects have played a key role in transforming the lives of the people of Gatanga positively. It also implies that funding of projects with immediate social and economic impacts has been a success factor in the management of CDF in Gatanga.

The research further sought to investigate how projects had improved the social and economic welfare of the Gatanga constituents. It emerged that majority of the respondents, 81.4% stated that there was more access to the basic services (health, water and education was an enhancement to their social and economic welfare, 78.4%, 58.8% and 43.1% cited improvement of roads, security and job creation as other factors that enhanced the social economic wellbeing as a result of CDF.

**Table 4.25 Social Economic Benefits of CDF Projects**

Key services initiated	Frequency	Percentage (%)
Starting small enterprises	38	18.6
Job creation	88	43.1
More access to health services water and education	166	81.4
Improvement of Security	120	58.8
Improvement of Roads	160	78.4

This shows that despite the challenges facing the implementation and management of CDF across the Country, some constituencies such as Gatanga were still doing well in managing CDF and have even impacted positively on the lives of the constituents of Gatanga.

#### 4.5.1 Community Satisfaction with Projects Implemented

Other objectives of the study were; to assess the extent to which the achievement of CDF objectives had been a success factor in the management of CDF and also establish the extent to which application of the principles of project management had been a determinant in successful management of CDF in Gatanga. To achieve the above, respondents were asked to indicate their satisfaction levels regarding different aspects of the project management and implementation.

**Table 4.26 Levels of Satisfaction Regarding CDF Activities**

	CDF Activities	Level of satisfaction					
		Satisfied		Fairly satisfied		Dissatisfied	
		Freq	%	Freq	%	Freq	%
1.	How projects are identified	36	17.6	48	39.2	88	43.1
2.	Type of projects being funded	62	30.4	106	52.0	34	16.7
3.	Location of projects within the constituency	46	22.5	124	60.8	34	16.7
4.	Transparency in management of CDF funds	32	15.7	90	44.1	82	40.2
5.	Community participation in decision making	22	10.8	40	19.6	142	69.6
6.	Cost of projects	36	17.6	94	46.1	72	35.3
7.	Dispute/conflict resolution mechanisms in place	12	5.9	124	60.8	64	31.4
8.	Composition of CDF committees	14	6.9	54	26.5	138	66.7
9.	Performance of Constituency Development Committee (CDC)	34	16.7	122	59.8	46	22.5
10.	Performance of Project Committees (PC's)	34	16.7	124	60.8	44	21.6
11.	Performance of the Fund's Manager	30	14.7	122	59.8	46	22.5
12.	Relevance of projects to people's needs	60	29.4	118	57.8	26	12.7
13.	Quality of work done	94	46.1	86	42.2	24	11.8
14.	Quantity (number) of projects implemented	46	22.5	130	63.7	26	12.7
15.	Time taken to complete projects	52	25.5	112	54.9	38	18.6
16.	Targeting of beneficiaries i.e. meeting the needs of specific groups (women, children, youth etc.)	14	6.9	140	68.6	50	24.5
17.	Equity (Addressing the needs of the most needy e.g. remote areas, disabled etc)	28	13.7	90	44.1	86	42.2
18.	Accountability of CDF committees to community	14	6.9	84	41.2	104	51.0
19.	Overall impact of CDF projects on poverty i.e. improving livelihoods	28	13.7	126	66.7	40	19.6
20.	Communication regarding projects	20	9.8	66	32.4	104	55.9

According to the findings, majority of the respondents were fairly satisfied with the way most of the CDF projects were managed. They also felt that the projects had impacted positively onto their lives. As indicated in table 4.26, majority of the respondents, 76.5% were either satisfied or fairly satisfied with the performance of the CDC compared to 22.5% who were dissatisfied. Of the total respondents, 87.2% were satisfied with the way

the CDF projects were selected in relevance to the community needs compared to 12.7% who were dissatisfied.

Though constituents were generally satisfied with CDF activities majority of the respondents, 55.9% of the respondents were dissatisfied with communication regarding the projects in comparison to 42.2% who felt satisfied. More respondents, 51% were dissatisfied with the accountability of the CDF committees to the community against 48.1% who were satisfied.

#### 4.6 Community Participation

Among the objectives of the study was to determine whether there was a relationship between community participation at the grass root level in the identification, planning, monitoring and successful management of CDF.

As observed in table 4.21 lack of involvement of the community was given as a major weakness in Gatanga CDF management. Community involvement in CDF projects therefore had a significant impact to the successful implementation of the projects. It was therefore important for the study to establish the extent of community participation in the management of projects.

**Table 4.27 Participation in CDF Activities**

Taking decisions on:	Are people give opportunity or right to participate				Did committees take measure to involve people				Did people attempt to get involved			
	Yes		No		Yes		No		Yes		No	
	Freq	%	Freq	%	Freq	%	Freq	%	Freq	%	Freq	%
Identifying, selecting and prioritizing projects	50	24.5	152	74.5	48	23.5	156	76.5	140	68.6	60	29.4
Determining location of project	66	32.4	134	65.7	68	33.3	134	65.7	128	62.7	68	33.3
Follow up/monitoring projects	52	25.5	148	72.5	40	19.6	162	79.4	126	61.8	72	35.3
Management of project funds	48	23.5	144	75.5	50	24.5	152	74.5	132	64.7	66	32.4

On whether the committees took measures to involve community members in identification, selection and prioritization of projects, majority of the respondents, 76.5%

felt that the committees did not involve them against, 23.5% who felt that the community was involved.

On whether the respondents tried to get involved in the activities funded by CDF, from the findings it emerged that majority of the respondents, 68.6% tried to get involved in identifying, selecting and prioritizing projects against, 29.4% who never attempted to be involved. It was further established that 62.7% and 64.7% made an attempt to be involved in determining the location of projects and management of project funds respectively.

The statistics on table 4.27 shows that constituents were willing to participate in CDF projects related activities but they were not provided with the opportunity to do so by the CDF Committees.

On how the respondents felt regarding whether projects funded by CDF were community owned, majority of the respondents, 57.8% were positive that projects were community owned with 18.6% being in disagreement. 18.6% did not know whether or not projects were community owned.

**Table 4.28 Community Ownership**

Community Ownership	Frequency	Percentage (%)
Yes	118	57.8
No	38	18.6
Don't know	38	18.6
No response	10	10
Total	204	100.0

On whether the constituency development committee was representative majority of the respondents, 50% were of the opinion that the committee was not representative against, 18.6% who felt that it was representative.

**Table 4.29 Representativeness of CDF Committee**

Representativeness of CDF Committee	Frequency	Percentage (%)
No response	2	1.0
Yes	38	18.6
No	100	50.0
Don't know	64	31.4
Total	204	100

This implies that a lot more needs to be done to ensure that the CDF is representative to make gain the necessary confidence and the support it requires from the community.

The study also sought to establish whether the constituents were given the opportunity to participate in various CDF related decision-making activities.

### 5.0 Constituency Strategic Plan

Successful management calls for clearly defined plans and strategies. It was thus important to establish if Gatanga had in place a strategic plan for better identification and prioritization of projects required by the Community. Findings from the study indicates that, 13.7% of the respondents said there was a strategic development plan in place compared to 3.9% who indicated there was none.

On whether the projects initiated were contained in the strategic plan, 10.8% were in agreement that the projects were as per the strategic plan while 2.9% were in disagreement.

**Table 4.30 Constituency Plan**

Constituency Plan	Yes		No		Don't know	
	Freq	%	Freq	%	Freq	%
Whether the constituency had in place a strategic development plan	28	13.7	8	3.9	166	81.4
Whether CDF projects were contained in the strategic plan	22	10.8	6	2.9	66	32.4
Whether there were plans to develop a strategic plan for the constituency	20	9.8	6	2.9	176	86.3

Table 4.30 clearly shows that, 81.4% of respondents did not know whether the constituency had in place a strategic development plan. 86.3% of the respondents had no idea whether there were plans to develop a strategic plan. This clearly shows that very few constituents have access to information on the overall plans for the constituency.



## **CHAPTER FIVE**

### **SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Introduction**

The study was purposed to establish factors behind the good performance by some constituencies in managing CDF despite the rising number of complaints against most of the constituencies across the country. It was also purposed to establish factors that have influenced the successful management of CDF in some constituencies such as Gatanga.

#### **5.2 Summary**

From the findings of the study, it emerged that majority of the respondents were fairly satisfied with the way the kitty has been utilized and managed since 2004. Majority of the respondents also felt that CDF in Gatanga had achieved the main objectives and purpose of the CDF Act. Achievement of CDF objectives was therefore found to be a success criteria, by which judgement could be made as to whether the CDF is successful or not.

On the evaluation of the extent to which the provision of pro-poor services has influenced the success in the management of CDF in Gatanga, the study revealed that majority of respondents were of the opinion that projects initiated had promoted provision of pro-poor services.

Regarding whether funding of projects with immediate social economic impact have been a success factor in the management of CDF in Gatanga, majority of the respondents felt that CDF had funded projects with immediate social and economic impact and that it had improved the wellbeing of constituents. Greater access to the basic services including health, water and education were said to have boosted the constituent's social economic wellbeing of the community. Other factors cited were improved roads, improved security and job creation.

The study found that community participation and involvement was very low and there was no established mechanism in place at the grass root level to ensure that it improves. Communities are also faced with inadequate knowledge of project planning, management among the community and committee members.

The study found there was a relationship between people's participation at the grass root level in the identification, planning and monitoring; and successful management of CDF. The study showed that majority of projects funded were proposed by the CDF committee. This is according to 52% of the respondents, while 29.4% felt that projects were agreed upon by the community. According to 25.5% of the respondents, projects were suggested by the area MP.

The study also showed that according to majority of the respondents, the committee did not take measures to involve community members in identification, selection and prioritization of projects. It also emerged that there was willpower for participation in CDF projects related activities by the community but the CDF Committees did not provide them with the opportunity to do so.

The above is in contradiction to the provisions of the CDF Act, which provides for among others, that projects funded shall be identified by the community. The fund was meant to create a basis for sustainable participatory community development and ensuring people's participation at the grass root in the identification, planning and management of CDF.

Nevertheless, though the study found that majority of the constituents were satisfied with the way funds had been managed since 2004, planning, organizing and managing of resources should be improved to bring about more successful completion of specific project goals and objectives. Planning and selection of projects, composition of CDF management Committees too needs to be improved. Disputes and conflict resolution mechanisms in place should be publicised as most constituents were unaware of where they can direct their complaints/disputes in management and utilization of funds.

The study found that committees did not comply with the procedures for project selection. For example, CDC did not fund projects identified, agreed and prioritised by the community but rather projects funded were CDC identified/proposed, which is in contradiction to provisions CDF regulations.

The study also found that there were notable human and systems capacity limitations in accounting, disbursement, monitoring and evaluation of CDF projects. Knowledge of financial information among committees and community members was also scanty.

However, the respondents generally concluded that if CDF was well managed, it would change the face of the country. Therefore, besides amending the CDF Act, NMC and Treasury should enforce committees' compliance to laid out procedures for project selection through disciplinary measures. NMC should also continuously and aggressively engage in campaigns to publicize and educate the committees on the Act and regulations.

The human and systems capacity limitations among committee members in accounting, disbursement, monitoring and evaluation of projects should be addressed. Both committees and communities need to be educated on financial information to improve CDF management.

### **5.3 Discussion of Findings**

This section discusses the findings from the study in comparison to what other scholars say as noted under literature review. It assesses the extent to which the achievement of CDF objectives has been a success factor in the management of CDF in Gatanga. It also evaluates the extent to which the provision of pro-poor services has influenced successful management of CDF in Gatanga.

The section also establishes whether funding projects with immediate social and economic impact has been a success factor in the management of CDF in Gatanga. It also determines whether there is a relationship between people's participation at the grass root level in the identification, planning, monitoring and successful management of CDF in Gatanga. It further establishes the extent to which the application of the principles of project management has been a determinant in achieving successful management of CDF in Gatanga.

Establishing the effects of these factors could provide information that could be used by the general public to answer their various concerns over the fund. The knowledge could also be

used to assist in effectively filling the information gaps in improving the management of CDF countrywide.

To establish the above, the study first had to ascertain whether constituents were satisfied with the way CDF had been utilized as well as managed since 2004.

### **5.3.1 Satisfaction in the Utilization of CDF**

The study found that majority, 59.8% of the constituents were fairly satisfied with the way the kitty had been utilized since the year 2004, with 28.4% being fully satisfied. On the other hand, 9.8% were dissatisfied while only 2% did not know whether they were satisfied or not.

### **5.3.2 Satisfaction in the Management of CDF**

The study revealed that majority, 59.8% of the constituents were fairly satisfied with the way CDF had been managed since the year 2004, 28.4% were satisfied while 9.8% were dissatisfied. This implies that though the management of CDF is not considered 100% satisfactory, from the findings of the study, it is averagely satisfactory.

### **5.3.3 Satisfaction in Utilization and Management of CDF**

From the findings of the study, majority of the constituents were satisfied with funds utilization and management since it was introduced in 2004. Satisfaction amongst stakeholders is a key indicator of product success. Product success mainly deals with the effects of the project's final product namely project goals, project purpose and satisfaction of stakeholders' needs. This could be attributed to the efforts by CDC to promote provision of pro-poor services, and funding projects with immediate social and economic impact to the community.

### **5.3.4 Provision of Pro-Poor Services**

One of the purposes for establishing CDF was to promote development and in particular strengthen pro-poor service delivery in the fight against poverty at the constituency level.

From the study, majority of the respondents, 74.5 % were of the opinion that projects initiated had promoted provision of pro-poor services against 14.7% who felt that they had

not. 72.5% cited health services as key services provided through CDF. Others were, education services according to 69.6% of the respondents, while 51%, 50%, 45.1%, 29.4%, 17.6% and 6.9% cited provision of security, water, improved road network, administration, bursaries and rural electrification services respectively. Provision of pro-poor services is therefore a success factor in the management of CDF as it an influential force which has facilitated project management success in Gatanga Constituency.

### **5.3.5 Projects Funded**

One of the purposes of CDF is to fund development projects with immediate social and economic impact in order to uplift the lives of people at the grass root level through the implementation of community based projects which have long term effects in improving the people's economic well being.

From the study, a majority, 86.3% of the respondents were of the opinion that CDF had funded projects with immediate social and economic impact and that it had improved the wellbeing of the constituents against a mere 6.9% who were of the contrary opinion. A majority, 81.4% of the respondents pointed out that more access to the basic services such as health, water and education was a boost to their social economic status, while 78.4%, 58.8% and 43.1% cited improvement of roads, improved security and job creation respectively as other factors that had enhanced the social economic wellbeing of the community. Funding development projects with immediate social and economic impact is therefore a success factor as it is an influential force which has facilitated project management success in Gatanga constituency.

### **5.3.6 Identification, Planning and Monitoring of Projects**

One of the key objectives for establishing CDF was to promote democratic governance at the local level as well as create a basis for sustainable participatory community development. The CDF Act seeks to encourage community initiatives by ensuring that community projects are eligible for support under the Act, and in particular, ensuring a sense of ownership for such community-based projects. People's participation at the grass root level in the identification, planning, monitoring is therefore crucial for the success of CDF management.

On how CDF projects were identified, from the study majority, 52% of the respondents were of the opinion that projects were identified by the CDC with 29.4% stating that identification was by the community, while 25.5% and 7.8% said that projects are suggested by the area MP and extracted from district plans respectively.

On whether respondents felt that the CDC was representative, majority, 50% of the respondents were of the opinion that the committee was not representative against 18.6% who felt that it was.

From the findings of the study on whether the committee took measures to involve community members in identification, selection and prioritization of projects, majority 76.5% of the respondents said that the committee did not involve them against 23.5% who said it did involve them. On whether the respondents tried to get involved in projects funded, it emerged that majority 68.6% tried to get involved in identifying, selecting and prioritizing projects against 29.4% who never attempted to get involved. The study further established that 62.7% and 64.7% community members attempted to be involved in determining the location of projects and management of project funds respectively.

The findings of the study revealed that community members were willing to participate in CDF projects related activities but were not provided with the opportunity to do so the CDC.

On whether respondents felt that projects funded through CDF were community owned, majority 57.8% of the respondents felt they were. However, 18.6% were in disagreement on the same, while 18.6% didn't know whether or not projects were community owned.

The above is in contradiction to CDF Act and regulations which provides for among others, that the fund should create a basis for sustainable participatory community development and ensuring people's participation at the grass root in the identification, planning and management of CDF.

From the above findings, a lot more requires to be done to ensure that the CDC is representative to enable it enjoy confidence and support it requires from the community, the

community participation also creates a basis for sustainable participatory community development.

Community participation is therefore a standard by which judgement can be made as to whether CDF is successful or not and thus it is a benchmark to measure success or failure. It is therefore a success criterion.

### **5.3.7 Achievement of CDF Objectives and Successful Management**

The findings of the study indicate that achievement of CDF objectives is a success factor in management of CDF. It is therefore correct to say that though not 100% successful as derived by the study findings, CDF in Gatanga constituency has been able to achieve most of the key objectives of CDF Act.

### **5.3.8 Principles of Project Management in the Management of CDF**

The study found that application of the principles of project management was a determinant factor in achieving successful management of CDF in Gatanga and therefore a success factor.

The study found that according to the majority of the respondents, 54.9%, equitable distribution of funds is the major indicator of good management, 34.3% cited availability of records, 22.5% and 22.5% said availability of proper records and utilization of all funds were indicators of proper management, while 21.6% cited the cost of projects being reasonable. This clearly shows that indicators of proper management may be assessed differently by various interest groups.

On the factors that have influenced successful management of CDF, the study found out that most 36.3% cited local community participation, 31.4% and 29.4% were of the view that collective responsibility and government follow up respectively influenced successful management.

On whether there were any specific criteria in place used by CDF committees for targeting and prioritizing projects, most, 49% of the respondents did not know of any with 37.3% being of the opinion that there was a criteria used, while 12.7% said that there was no specific criteria, in targeting and prioritizing projects by the committees.

On whether committee members were involved in procurement of goods and services, 60.8% of the respondents didn't know whether or not the members were involved, with 25.2% observing that members were involved. 11.8% felt that committees were not involved.

Project management is essential to the outcome of the project because it is the "intergration, monitoring and control of contributors to the project and their input, and the evaluation and selection of alternatives in pursuit of the client's satisfaction", Walker (1984)

## **5.4 Conclusions**

### **5.4.1 Introduction**

In conclusion, successful management of CDF is attainable. But before it can be achieved, it is important for stakeholders to understand what really constitutes "project success". From a project process perspective, the classical response would be a project complete "on time, within budget and meeting the requirements". However, from a product perspective, a successful project is clearly one where the customer ends up satisfied.

From the study, the Community was generally satisfied with projects implemented through CDF. The funds were mainly used for constructing social infrastructure with a large percentage of the sectors that were funded being mainly, education, health, water and building of physical infrastructures. CDF has also created job opportunities for community members. However, inadequate knowledge of project planning among communities and committee members was a major setback in the management of the funds.

The level of participation by the community members in the management and implementation of CDF projects was very low. The community is not also provided with the opportunity to identify and prioritize projects and as a result the feeling of project ownership was low. Nevertheless, constituents generally concluded that if CDF is well managed, it would change the face of the country.



#### 5.4.2 Observations

- i. Achievement of CDF objectives, provision of pro-poor services, funding with immediate social and economic impact were found to be success factors in the management of CDF and application of the principles of project management. Other success factors identified include local community participation, collective responsibility among committee members, strict enforcement of the provisions of CDF Act, monitoring by stakeholders, commitment by committee members and transparency in funds management.
- ii. Community Participation in Identification, Planning and Monitoring of Projects was found to be success criteria.
- iii. It was observed that there was inadequate knowledge of project planning among committee members and the community. There was also the general lack of training and capacity building constrained the project planning. Illiteracy among CDC members also limited their capacity to implement projects and ability to prepare work plan hence causing project delays.
- iv. The study found that a very small proportion of respondents were aware of the CDF regulations that guide the operation of the CDF and the various provisions contained in the Act. This includes Committee members who are supposed to manage the CDF at constituency and lower levels
- v. In general, awareness of the existence of the CDF and the existence of projects within the constituency was found to be quite high among both beneficiaries and the committees. To some degree, constituents still associate CDF money with the MP. This could have implications for democracy in terms of votes cast.
- vi. The study found that community participation and involvement in the management and implementation of CDF projects was very low. There is no established mechanism in place at the grass root level to ensure equity in access to CDF projects. However, communities are faced with constraints such as inadequate knowledge of project planning among the community and committee members.

These weaknesses notwithstanding, communities stated that they were generally satisfied with projects being implemented by the CDF because the funds were equitably distributed, there was availability of proper records on the fund and the cost of the projects implemented was reasonable. Communities are happy with CDF as it controls imbalances in regional development brought about by partisan politics. CDF has also created job opportunities for the community members. There are also opportunities arising as a result of enhanced and expanded existing infrastructure set up by the CDF.

- vii. According to the findings there was gender imbalance in participation in CDF activities. Majority of the respondents, 72.5% were males while only 26.5% were females. More females than male shied away from responding to the questionnaire while more males were conversant with CDF activities than females.
- viii. There was observable proliferation in the number of capital projects in the constituency, that is, 'social' infrastructure e.g. schools, clinics etc. Whereas this is in line with ERCSWER, sustainability of these projects is not uncertain since the budgetary allocations for their operation and maintenance of these projects is not growing in tandem.
- ix. From the study, the locational and district committees that are provided for in the CDF Act are largely either inactive or nonexistent. This was attributed to lack of compensation for the locational and district committees meant that it was not possible to attract the best people to oversee the projects.
- x. The study found that there was notable human and systems capacity limitations in the accounting, disbursement and the monitoring and evaluation. Knowledge of financial information among members was also scanty.
- xi. The study found that the CDF Act is against the constitutional principle of separation of powers where the legislator makes a law (the CDF Act 'herein'), controls the fund through chairing the CDC or hand picking those who run the fund, takes part in the actual implementing (spending), then submit the annual estimates to themselves in parliament for approval, then question the governance systems of

the fund at every constituency themselves through the select Committee of CDF, then audit and query the spending themselves through Public Accounts Committee.

Through the implementation of the fund, the legislative arm of the government has clearly usurped executive powers and functions, which includes the use of government funds. It is the executive that is empowered through its civil servants, to implement laws and policies, while parliament's role should be to make such laws; and oversee and monitor their implementation.

## **5.5 Recommendations**

### **5.5.1 Introduction**

Beneficiaries generally concluded that if CDF is well managed, it will change the face of the country. The findings indicated significant implications for assisting Kenyans out of poverty and inequality and also points out areas in need of improvement. In terms of the way forward, there is need to institutionalize the CDF monitoring and evaluation through information dissemination, developing and implementing reforms agendas.

5.5.2 Arising from the study, the following recommendations are provided.

- i. There is need for strict enforcement of the provisions of CDF Act on CDC formation to reduce problems in implementation of the CDF projects. The NMC and Treasury should also ensure committee compliance to laid out procedures for project selection through disciplinary measures. NMC should also engage in a campaign to publicize and educate the committees on CDF Act and regulations.
- ii. There is need to review the CDF Act as it is not inconsistent with the constitution to the extent that Members of Parliament participate in activities of CDF in executive capacities to ensure parliament's role remains to make laws; oversee and monitor their implementation while the executive role should remain, to implement laws and policies through its civil servants .
- iii. There should be adequate transportation at the constituency level for effective monitoring and evaluation of the projects.
- iv. There should be compensation for the locational and district committees to make them active and attract the best people to oversee the projects.

- v. The constituency should develop a constituency plan to guide development in the constituency to facilitate the process of project prioritization. The plan should be feasible, relevant and consistent with the national plans.
- vi. There is also need for the committee to develop annual action plans for CDF projects to ensure effective implementation. The implementation of these action plans needs to be monitored to ensure that disbursement of funds is not delayed.
- vii. There is need for more publicity regarding CDF at the local level.
- viii. The constitution of committees should be through a fair and competitive process that is not subject to influence by the MP. The process must also ensure a fair representation of male and female. The formation of the committees could be for example be supervised by an independent body.
- ix. NMC must establish dispute resolution subcommittees to arbitrate any conflicts between committees.
- x. In future, all CDF projects should at the design phase indicate what the future running costs of projects will be and include a proposal on how these will be funded. Projects whose sustainability would be under threat because of inadequate operational budget should be disallowed by NMC.

## **5.6 Suggestions for Further Study**

### **5.6.1 Introduction**

Since the introduction of CDF in 2003, the initiative has made a great impact, with numerous projects coming up throughout the country. However, there are concerns that the monies are not managed in a transparent manner; that many CDF projects are not useful to local communities; and that local communities are not involved in its management.

There is need for a lot of research aimed at informing the national policy dialogue and reforms in the CDF.

- 5.6.2 Arising from the findings of the study, other research directions that could be pursued with regards to CDF are:-

- i. Challenges in the management and utilization of CDF.
- ii. The reforms required in the CDF management.
- iii. Participatory approach in identification and management of CDF projects.

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## APPENDICES

### APPENDIX 1

#### Questionnaire

Please answer the following questions by giving the necessary details or ticking the appropriate answers in spaces provided.

#### Section A: Background Information

1. Name: .....
2. Location: ..... Sub-location .....
3. Your age falls under which category:
  - i) Below 25 years
  - ii) 26 – 35 years
  - iii) 36 – 45 years
  - iv) 46 – 55 years
  - v) Over 55 years
4. Sex: Male  Female
5. Marital status Single:  Married  Divorced  Widowed
6. Highest level of education and training attained:
  - Primary
  - Secondary
  - College
  - University
  - Others  Please specify .....
7. Category of Respondent: (**Mark the category in which you belong to**)
  - i) Constituency Development Committee
  - ii) Locational Committees
  - iii) Project Committees
  - iv) Departmental Head in a sector that has benefited from CDF
  - v) CDF Manager or Government Official involved in CDF management
  - vi) Political/Administrative Leaders
  - vii) Religious Leaders
  - viii) Individual Constituent
8. How long have you been associated with/worked for the CDF projects in Gatanga?  
(**For Committees, CDF Manager, Government Officials and Departmental Heads**)
  - Below 2 years
  - 3 – 4 years
  - Over 5 years
  - vii) Individual Constituents

#### Section B: Management, Implementation and Utilisation of CDF

1. Are you aware of any projects or activities in the community financed by CDF in Gatanga Constituency?  
Yes  No
2. Are you satisfied with the way CDF has been utilised since 2004?  
Satisfied  Fairly Satisfied  Dissatisfied  Don't Know
3. Are you satisfied with the way CDF has been managed since 2004?  
Satisfied  Fairly Satisfied  Dissatisfied  Don't Know

4. If your answer to Q. 3 is affirmative, what are the indicators in your area to show that funds have been properly managed? **(Mark all that apply)**
- i) Proper records [ ]
  - ii) Equitable distributions [ ]
  - iii) Availability of records [ ]
  - iv) Utilization of all funds [ ]
  - v) Cost of projects [ ]
  - vi) Any other [ ] Please specify.....
5. If your answer to Q. 3 is (satisfied), what do you think are the factors that have influenced the success in the management of the CDF in Gatanga Constituency? **(Mark all that apply)**
- i) Collective responsibility [ ]
  - ii) Government follow up [ ]
  - iii) Follow-up by stakeholders [ ]
  - iv) Transparency in fund management [ ]
  - v) Quality of fund management [ ]
  - vi) Adherence to CDF regulations and procedures [ ]
  - vii) Local community participation [ ]
  - viii) Committee's Commitment/Dedication [ ]
  - ix) Depoliticization of Projects [ ]
  - x) Selection of Committees [ ]
  - xi) Clear communication and feedback [ ]
  - xii) Composition of the Committee [ ]
  - xiii) Any other [ ] Please specify .....
6. Are you familiar with CDF Act/regulations and guidelines?
- Yes [ ] No [ ] No comment [ ]
7. If your answer in Q. 6 is yes, do you think CDF in your area is managed as per the Act and regulations? Yes [ ] No [ ] Don't know [ ]
- Please specify .....
8. Are you aware of any political interference in the management of CDF so far?
- Yes [ ] No [ ] Don't know [ ]
- Please specify .....
9. How are CDF projects identified? **(Mark all that apply)**
- i) Identified/agreed by the Community [ ]
  - ii) Extracted project from district plans [ ]
  - iii) CDF committee identified/proposed [ ]
  - iv) MP suggested project [ ]
  - v) Don't Know [ ]
  - vi) Any other [ ] .....
10. Do the committees (Locational and Constituency) have in place criteria for targeting and prioritizing projects?

Yes [ ]

No [ ]

Don't know [ ]

11. Are Constituency Development Committee members involved in procurement of goods and services for CDF projects?

Yes [ ]

No [ ]

Don't know [ ]

12. Are Constituency Development Committee members involved in monitoring and evaluation of CDF projects?

Yes [ ]

No [ ]

Don't Know [ ]

13. If your answer to question 12 is yes, how does the committee monitor and evaluate CDF projects implementation? (Mark all that apply)

i) Project committee [ ]

ii) Project accounts records [ ]

iii) Monitoring committee [ ]

iv) Feed back during meetings [ ]

v) Don't know [ ]

vii) Any other [ ] .....

14. Are you aware of any incidents/cases of complaints/disputes in management and utilization of funds against any of the committee members?

Yes [ ]

No [ ]

Don't Know [ ]

15. If your answer to Q. 14 is yes, which committee had disputes/complaints? (Mark all that apply)

i) Constituency Development Committee [ ]

ii) Project Committee [ ]

iii) Locational Committee [ ]

iv) Any other [ ]

16. Are you aware of mechanisms or places where complaints/disputes in management and utilization of CDF projects can be directed for solution?

Yes [ ]

No [ ]

17. What are some of strengths and weaknesses of the CDF management (Committees/Fund manager) in Gatanga Constituency?

Strengths: .....

Weaknesses: .....

18. In your opinion, what do you think should be done to improve the management and utilization of CDF in Gatanga Constituency?

.....

19. In your opinion, what do you think are the challenges facing the management and implementation of CDF in Gatanga Constituency?

.....



.....

**Section C: Assessing the extent to which CDF in Gatanga has been able to achieve the objectives for which it was established.**

1. Have projects funded through CDF promoted provision of pro-poor services?  
Yes [ ]                                      No [ ]                                      Don't know [ ]
  
2. If your answer to Q. 2 is yes, which are the key services that have been provided?
  - i)
  - ii)
  - iii)
  - iv)
  - v)
  
3. Has CDF projects improved the social and economic welfare of people in Gatanga?  
Yes [ ]                                      No [ ]                                      Don't know [ ]
  
4. If your answer to Q. 3 is yes, how have the projects improved social and economic welfare of people in Gatanga? (**Mark all that apply**).
  - i) The people can start small enterprises [ ]
  - ii) Have led to creation of jobs [ ]
  - iii) There is more access to services like health, education, water etc [ ]
  - v) Security has improved [ ]
  - vi) Roads have improved [ ]
  - vii) Any other [ ] Please specify.....
  
5. What is your level of satisfaction with CDF projects in the community?  
**Level of satisfaction: 1. Satisfied                      2. Fairly Satisfied                      3. Dissatisfied**

Indicators or (Performance Criteria)	Level of satisfaction		
1. How projects are identified	1. [ ]	2. [ ]	3. [ ]
2. Type of projects being funded	1. [ ]	2. [ ]	3. [ ]
3. Location of projects within the constituency	1. [ ]	2. [ ]	3. [ ]
4. Transparency in management of CDF funds	1. [ ]	2. [ ]	3. [ ]
5. Community participation in decision making (Voice)	1. [ ]	2. [ ]	3. [ ]
6. Cost of projects	1. [ ]	2. [ ]	3. [ ]
7. Dispute/conflict resolution mechanisms in place	1. [ ]	2. [ ]	3. [ ]
8. Composition of CDF committees	1. [ ]	2. [ ]	3. [ ]
9. Performance of the Constituency Development Committee (CDC)	1. [ ]	2. [ ]	3. [ ]
10. Performance of Project Committees (PCs)?	1. [ ]	2. [ ]	3. [ ]
11. Performance of the Fund's Manager	1. [ ]	2. [ ]	3. [ ]
12. Relevance of projects to people's needs	1. [ ]	2. [ ]	3. [ ]
13. Quality of work done	1. [ ]	2. [ ]	3. [ ]
14. Quantity (number) of projects implemented	1. [ ]	2. [ ]	3. [ ]
15. Time taken to complete projects.	1. [ ]	2. [ ]	3. [ ]
16. Targeting of beneficiaries i.e. meeting the needs of specific groups (women, children, youth etc.)	1. [ ]	2. [ ]	3. [ ]
17. Equity (Addressing the needs of the most needy e.g. remote areas, disabled etc.)	1. [ ]	2. [ ]	3. [ ]
18. Accountability of CDF committees/officials to the community	1. [ ]	2. [ ]	3. [ ]
19. Overall impact of CDF projects on poverty i.e. improving livelihoods	1. [ ]	2. [ ]	3. [ ]
20. Communication regarding projects	1. [ ]	2. [ ]	3. [ ]

#### Section D: Level of locals' participation in CDF projects

1. In your opinion, do you think that Constituency Development Committee is representative?

Yes [ ]

No [ ]

Don't know [ ]

2. Do CDF committees communicate to the public regarding projects

2. Opportunity/right to participate in CDF decision-making? Please give details in the table below:

Taking decisions on:	(1) Are People given the Opportunity or Right to participate in:	(2) Did the Committee take measures to involve people in:	(3) Did people attempt to get involved in:
a) Identifying, Selecting and prioritizing projects	Yes [ ] No [ ]	Yes [ ] No [ ]	Yes [ ] No [ ]
b) Determining the location of projects	Yes [ ] No [ ]	Yes [ ] No [ ]	Yes [ ] No [ ]
c) Follow up/monitoring of projects	Yes [ ] No [ ]	Yes [ ] No [ ]	Yes [ ] No [ ]
d) Management of project funds	Yes [ ] No [ ]	Yes [ ] No [ ]	Yes [ ] No [ ]

3. Do you feel that projects funded by the CDF are (Community Owned?)  
 Yes [ ] No [ ] Don't know [ ]

**Section E: Establishing the Constituency's Strategic Plan**

1. Is there a strategic development plan in place for the constituency?  
 Yes [ ] No [ ] Don't know [ ]

2. If your answer to Q. 1 is yes, are the CDF projects contained in the strategic plan?  
 Yes [ ] No [ ] Don't know [ ]

3. If your answer to Q. 2 is no, why not

.....  
 .....

4. If your answer to Q. 1 is no, why is there no strategic plan for the constituency?

.....  
 .....

5. Are there plans to develop a strategic plan for the constituency?

Yes [ ] No [ ] Don't know [ ]

6. If your answer to Q. 5 is no, why not .....

.....

**APPENDIX 2**  
**Target population**

	<b>Target Population</b>	<b>Total</b>
1.	CDF manager and other Government Officials involved in the management of CDF	3
2.	Constituency Development Committee Members (CDC)	15
3.	Project Committees Members	120
4.	Departmental Heads in the sectors that have benefited from funding namely education, health, water, livestock and agriculture, roads and security	7
5.	Political Leaders (Councilors - 9), Administrative Leaders (Chiefs - 9)	18
8.	Religious leaders	15
8.	General Constituents	105
	<b>Total</b>	<b>283</b>