

**ASSESSMENT OF PUBLIC PARTICIPATION IN THE BUDGET PROCESS IN
KISUMU COUNTY, KENYA**

1. BY

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DECLARATION

DECLARATION BY THE CANDIDATE

I declare that, this thesis is my original work and has not been presented for a degree in any other University

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DEDICATION

To my great and dear parents who instilled in me the value of education

To my dear wife and children whom my inspiration and pride endures

ABSTRACT

Globally, governments, researchers, and policy practitioners have advanced public participation as an important tool for democratic governance. In Africa, countries such as Kenya have recently embraced public participation at the center of decision-making, which is anchored in the Constitution of Kenya (CoK) 2010. In Kisumu County, studies conducted before enacting policies supporting public participation in 2015 show low and tokenistic public participation during the budgeting processes. Since then, the existence and usage of these policies have not come out clearly to illustrate their contribution to meaningful participation. This study aimed at assessing the knowledge, level, and barriers of public participation in the budget-making process in Kisumu County. Specifically, this study investigated the public's level of knowledge regarding public participation, examined the level of public participation in the budget process, and assessed barriers to public participation during the budget process. The study was guided by the deliberative democratic theory developed in the 1980s by John Rawls, Joseph Bessette, and Jurgen Habermas. The theory holds that a legitimate democratic decision must be preceded by candid and structured deliberations that are inclusive, legitimate, and follows a fair process. The study adopted a descriptive study design, combining both qualitative and quantitative approaches. The study population was 147,895 drawn from the five wards under study and the targeted county government officers in Kisumu County. The sample size of 396 respondents was derived from this base population using the Yamane formula. Purposive sampling was used to select Key Informants from the county governments, members of CBEF, and NGOs. A total of six Key Informants were interviewed. Stratified random sampling and purposive sampling were used to select the Wards, while systematic random sampling was used to pick the household respondents. Questionnaires, observation checklists, and interview guides were used as tools of data collection. Primary data was edited first then coded to translate question responses into specific categories. Data from surveys were transcribed, analyzed using descriptive statistics, and presented in frequencies, tables, charts, and graphs. Qualitative data were analyzed using content analysis techniques by isolating recurring themes, corroborating with quotations, and reporting based on the objectives. The study findings revealed low level of knowledge on budget and public participation policies amongst the public at 122(30.81%), while the level of knowledge on the same policies was moderate amongst county officers. Findings showed that public participation in Kisumu County is low at 112 (28.3%) and falls short of effective and meaningful participation. The study further showed that even though both the public and the county government face challenges during the budget process, the public is affected the most. Based on the study findings, it is recommended that: investing in and developing robust and effective public participation and civic education framework and programs is critical in raising civic awareness and empowered population; robust and contextualized policy and public participation structures should be established and operationalized according to the needs and situation of the public, county officers should be equipped with both knowledge on budget policies as well as soft skills for sustained participation. The findings in this study make a valuable contribution in improving the understanding and implementation of public participation and strengthening existing policies for more effective participatory budgeting in Kisumu County, Kenya.

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ABBREVIATIONS AND ACRONYMS

CBEF	County Budget and Economic Forum
CBOs	Community-Based Organizations
CDAs	Community Development Associations
CDC	Community Development Committees
CDF	Constituency Development Fund
CEC	County Executive Committee
CIDP	County Integrated Development Plan
CoK	Constitution of Kenya
CORDAID	Catholic Organization for Relief and Development Aid
CRC	Citizens Report Card
CSO	Civil Society Organization
CVI	Content Validity Index
GIFT	Global Initiative for Fiscal Transparency
GoK	Government of Kenya
IAPP	International Association of Public Participation
IBP	International Budget Partnership
ICPAK	Institute of Certified Public Accountants of Kenya
IDP	Integrated Development Plans
IEA	Institute of Economic Affairs
KHCR	Kenya Human Rights Commission
KNBS	Kenya National Bureau of Statistics
LASDAP	Local Authority Service Delivery Action Plan

MCA	Member of the County Assembly
MP	Member of Parliament
NACOSTI	National Commission for Science Technology and Innovation
NCCCK	National Council of Churches of Kenya
NCBF	National Capacity Building Framework
NGOs	Non-Governmental Organizations
OECD	Organization for Economic Cooperation and Development
PB	Participatory Budgeting
PFM	Public Finance Management
RSA	Republic of South Africa
SID	Society for International Development
TI	Transparency International
TISA	The Institute for Social Accountability
TUKI	Timi ya Uhasishaji Ngazi ya Kijiji
UK	United Kingdom
UNECA	United Commission Economic Commission for Africa

DEFINITION OF TERMS

Participatory Budgeting Broadly defined as a systematic process of engaging communities in planning and allocating public resources

Public Participation Public participation in governance involves direct involvement of a people or indirect involvement through representatives of concerned stakeholders in decision making relating to policies, plans or programs that concerns their interest through a structured and deliberative processes.

Empowerment the process of increasing capacity of poor and marginalised people to have more control and participate equitably in decision and make choices in matters that affect their lives.

Stakeholders Stakeholders are persons, groups or institutions that have influence or are affected by policy decisions

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CHAPTER ONE

INTRODUCTION

1.1 Background to the Study

The notion that a legal government decision must "reflect" the interests and decisions of the people through debates has a long history and can be found in a variety of forms around the world. Participatory Budgeting (PB), which is employed in Porte Alegre, Brazil, is a popular application of the deliberative process in which the public is empowered to decide how public resources are allocated and used. As a result, participatory budgeting is considered a type of deliberative theory (Ercan 2014). The concept of deliberative theory has been based on inclusive and equitable methods that orient claims to the common good rather than voting or aggregation of preferences since its early theoretical origins (Habermas, 1996; Chambers, 2003). (Junius, 2019; Kuyper 2018). Public engagement in governance entails direct or indirect involvement in decision-making relating to policies, plans, or programs in which they are interested by representatives of concerned stakeholders. Stakeholders are individuals, organizations, or institutions who have a say in or are impacted by policy decisions (Freeman 2010). The terms "citizen participation" and "citizen participation" have been used interchangeably. Rather than just aggregating individual interests through voting and other procedures, the process entails deliberation between parties involved in decision-making through dialogue exchange and mutual learning. Cooper (2005) elaborates on the notion, describing it as a "process of involvement in governance where individuals participate in collective deliberation and collective action within an array of interests, institutions, and networks generating civic identity integrating people in the governance process." The importance of public engagement in the governing process is rooted in

democracy. It fosters inclusion and transparency in the governance process. It also ensures that the government responds to citizens' needs and strengthens the legitimacy of government choices and institutions. Furthermore, on an individual level, public involvement is a display of patriotism and trust in government institutions.

Many scholars believe that public discourse must have certain irreducible aspects to maintain its effectiveness and equity among the public (Berger, M. & De Cleen, B. 2018; chambers, 2003). Most importantly, public participation must be collaborative and informed, and it must include not only empowered citizens but also unorganized interests, profit-making and non-profit-making organizations, planners, and public administrators in a common framework that promotes inclusion, delegated authority, dialogue, and effective feedback mechanisms, as well as a focus on anticipating and defining future actions. The International Association of Public Participation shares these sentiments (IAPP). They claim that effective public involvement outcomes are informed by public opinions and interests in their definition of public participation (International Association of Public Participation (IAPP), 2014; Innes & Booher, 2004; Sewell & Susan, 1979).

In their budget-related legislation, countries including Brazil, Croatia, and the United Kingdom (UK) have included measures for citizen participation and engagement (International Budget Partnership, 2011). In Brazil, there has been a steady increase in the amount of public participation. GIFT (2015) and Wampler (2012) found a constant growth in the number of citizens participating in public participation, stronger participatory institutions, and empowered citizens in their studies (GIFT, 2015; Wampler, 2012). Wampler, on the other hand, writes in his

study paper that there is a need to analyze the public's degree of awareness about the budget process and how they interact with public participation activities (Wampler, 2012). Despite the passage of legislation encouraging public involvement and the establishment of numerous institutions in Croatia, studies have indicated that participation is as low as 7%, with 80 percent of the population lacking access to budget information. Global Initiatives and Fiscal Transparency (GIFT) attributed the low degree of engagement to a lack of political will, inadequate governmental capability, and public antipathy toward centralized decision-making in one of their 2015 research. These studies were done in locations with economic and governmental laws that differ from Kenyan law, specifically Kisumu County; this has created a regional gap that this study aims to bridge. World Bank (2009) notes a few accomplishments while evaluating PB: resource redistribution to the least fortunate and disadvantaged, increasing accountability and transparency and clientelism is being reduced.

More democratic and civic space must be established to increase demand for effective government. According to studies by Ebdon and Aimee F (2013) and Schaeffe and Yilmaz (2008), countries that implemented participatory budgeting faced challenges such as a lack of civic awareness and capacity among the public, as well as the exclusion of vulnerable communities, all of which harmed the quality and effectiveness of public participation (Frank & Ebdon, 2013; Schaeffe & Yilmaz, 2008). In his study of public involvement through participatory budgeting in China, He (2019) verifies similar issues. Given the changes in the context of globalization and significant growth in telecommunications since these studies were conducted, a current study that reflects public participation in the budgeting process in the current contexts is required. Participatory budgeting is gaining traction in Africa's central and

subnational governments, as well as other organizations, according to research. However, many countries continue to suffer from low transparency and accountability, according to UNHABITAT (2008), due to a closed-door budget process, weak accounting and reporting systems, inefficient audits, and the exclusion of civil society from discourse (UNHABITAT, 2008). Despite the difficulties, African governments have attempted to address them through programs that promote participatory governance. As a result, it is necessary to examine the impact of such policies on public engagement at the subnational level.

According to the International Budget Partnership (IBP), 2011, Sub-Saharan Africa, Rwanda, and South Africa are among the nations with comprehensive policies and legislation encouraging public engagement in the budget process. The Rwandan constitution, for example, is an example of a supreme text that advocates for decentralization (Rwandan Constitution, 2000). Furthermore, the Rwandan national decentralization policy mandates the government to use the imihingo system to facilitate public involvement and build civic capacity in both the government and the people (Rwandan Ministry of Local Government, 2012). The Rwanda Citizens Report Card (CRC) (2014) demonstrates that the level of public participation varies among districts, with most districts showing above 50% public attendance. This is due to strong decentralization mechanisms and local government officials' promotion of information availability (CRC, 2014). Despite the large amount of direct participation, a report by Christian Aid (2002) shows issues such as a lack of civic education and competence among local government employees and the general public. Furthermore, while a study by International Alert (2012) shows a significant turnout of women during these participatory processes, it also highlights women's inactive participation in these activities. This implies that effective public involvement should be

understood not just in terms of numbers, but as an informed process in which both the governed and the government discuss in equal decision-making power. This necessitates the completion of this study to determine whether interventions have been implemented to ensure the implementation of participatory budgeting, and if so, whether the interventions have been successful in comparison to the other African states indicated above.

Decentralization is also rooted in South Africa's constitution as an effective method for meaningful and inclusive governance. Municipalities and national governments are required by law to offer civic education on fiscal issues and to enable public engagement through ward committees (Republic of South Africa (RSA)) (1998). Despite the existence of strong legislation and policies guiding public participation, Masiya et al. (2019) found that a decline in public participation at the local level is attributed to tensions between the public and local government officers, as well as limited civic knowledge among the public. A similar study examining the degree of public engagement in devolved entities in Kenya is crucial due to the contextual differences between Kenya and South Africa. Furthermore, in order to achieve a greater level of accuracy, this study will use both qualitative and quantitative data to confirm the findings.

In Kenya, public engagement is a principle that is emphasized in the Kenyan Constitution (CoK, 2010). The CoK (2010) recommended many regulations to achieve the operationalization of public participation, including overarching guidelines to guide county governments in encouraging public participation. Second, these laws were intended to help counties build public participation laws and policies that are suited to their specific circumstances. The Public Finance Management (PFM) Act of 2012, the County Government Act of 2012, and the Urban Areas and

Cities Act of 2011 are only a few of the legislation that mandate public participation in decision-making. Section 201 of the Constitution of Kenya (CoK) 2010 asks for transparency and accountability, including public engagement in financial concerns, while Section 87 lays out the principles that must be followed for successful participation (Government of Kenya (GoK) 2010). Section 137 of the PFM Act requires counties to form County Budget and Economic Forums (CBEF). Its primary goal is to provide a platform and tools for public participation in county budget and financial management issues (GoK, 2012). Understanding the extent and challenges of public involvement in Kenya requires the implementation and evaluation of these policies at the national and county levels. These policies forced the creation of this study to determine the success rate of policy implementation at the county level.

In a 2015 World Bank review of county governments' progress in institutionalizing public participation in Kenya, it was discovered that counties continue to face multiple challenges, including a lack of a framework for public participation, dedicated staff, and funding to facilitate public participation (World Bank, 2015). These difficulties have been proven by a number of researches. Muchuna (2015) found that 55 percent of the public has a poor awareness of their right to engage in the budget process in Isiolo County in 2015, and just 24 percent of them had ever participated in the budget process by attending budget forums. Lack of legislation and sufficient framework to enable public engagement, lack of access to budget information, lack of a functional CBEF, and significant political intervention were all cited as reasons for the low level of awareness and participation (Muchuna, 2015). Given the demographic variations between Marsabit and Kisumu counties, a similar study is needed to capture Kisumu County's

demographic setting. Furthermore, because it has been five years since the last study, it is critical to undertake a new study that reflects the current situation.

Kisumu County launched CBEF in 2014 (IBP, 2015) to promote talks between the public and the county administration during the annual budget processes in order to strengthen public engagement. In 2014, the County passed the Access to Information Act, and in 2015, the Kisumu County Public Participation Act (IBP, 2015). The Public Engagement Act of 2015 establishes a framework for public participation from the county level to the village level, including the Public Participation Office. The Act also mandates that the office establish feedback channels, mobilize resources, and strengthen the capacity of the county government and the public for effective and efficient public engagement (County Government of Kisumu, 2015). Only 36% of the people interviewed were aware of the budget policy documents, according to a study performed by TI (2014) in 17 counties, including Kisumu County, with 46% indicating participation at various budget process meetings. While this study did not look into the reasons for the low level of awareness, a 2015 study in Kisumu County by the Institute of Economic Affairs (IEA) identified the lack of a policy on public participation, the exclusion of dissenting voices during mobilization of public participation, the County Government's failure to conduct civic education to the public, and tokenistic facilitation of public participation as some of the challenges.

Since 2015, a growing body of literature indicates that the county has enacted a number of laws, including the Kisumu County Public Participation Act, 2015, and the Kisumu County Access to Information Act, 2015, which outline mechanisms and structures for conducting effective public participation and access to public information. The importance, factors, and impediments to

meaningful engagement have all been noted in the research. Meaningful involvement is determined by structured dialogues, knowledgeable and empowered citizens, and progressive policies. Similarly, despite the fact that numerous participatory methodologies have been deployed across continents, issues such as a lack of participatory policies, a capacity gap, and poor civic awareness have persisted to stymie meaningful engagement. As a result, the goal of this study is to determine the amount of public engagement in Kisumu County, as well as its knowledge and obstacles.

1.2 Statement of the Problem

Before the promulgation of the 2010 constitution, Kenya embraced a centralized government system characterized by a de facto political executive and local coordinate authorities. The enactment of the new constitution saw the country move from a centralized system of governance to a devolved government with various functions decentralized to the counties. The objective of decentralization of the government was to fulfil the shortfalls of centralized government. Some of the widely felt shortfalls included administrative red tape and inefficiencies, poor public resource utilization, and marginalization of the local communities in the developmental agenda. The 2010 constitution brought the framework of devolving most of these functions, particularly enhancing public engagement through the restructuring system of government. This implies that the planning phase of the central government's decision-making process and implementation of development programs shifted from the central government to the county government. Besides, the constitution led to the development of institutional frameworks for public participation.

While the Kenyan citizens have widely embraced devolution, it has also come with a new set of challenges. Improper frameworks and platforms have impeded the decentralization process for the design and implementation of systems and structures. Many counties have reported under financing and human capacity to conduct effective public participation. While the constitution has provisions for strengthening public participation, it is essential to note that the lack of proper designing, implementation, and evaluation of public participation guidelines will continually mar the effectiveness and efficiency of devolution. Most of the county governments in the country have enacted public participation activities. Nevertheless, it is still challenging for counties to fully engage the citizens in the decision-making process and address social accountability, development agendas, resource mobilization, and utilization. Since the formation of devolved governments, only a handful have achieved public participation that is expected to lead to transparency, accountability, strengthening democracy, and improved equity and fairness. Assessments conducted by IBP between the year 2017 and 2019 across the 47 counties revealed that Kisumu County, among seven others, had not published any of the six budget documents in these three years while it was the only county that had enacted both public participation and access to information laws as well as a policy with the creation of the office and structures for public participation. Since then, the existence and usage of these policies have not come out clearly to illustrate their contribution to meaningful participation in Kisumu County, making it necessary to conduct the study.

1.3 General Objective:

The study's general objective was to investigate knowledge, level of participation, and barriers to public participation in the budget process in Kisumu County, Kenya.

1.3.1 Specific Objectives

The Specific objectives of the study were to:

1. To investigate the public's level of knowledge regarding public participation in the budgeting process in Kisumu County.
2. To examine the level of public participation in the budgeting process in Kisumu County.
3. To assess the barriers to public participation during the budgeting process in Kisumu County.

1.4 Research Questions

The following research questions guided the study:

1. What is the level of knowledge of public knowledge regarding public participation in the budgeting process in Kisumu County?
2. What is the level of public participation in the budgeting processes in Kisumu County?
3. What are the barriers to public participation during the planning and budgeting process in Kisumu County?

1.5 Significance of the Study

From a theoretical point of view, few academic publications or material are focusing on public participation with a specific application in budgeting processes within devolved Governments globally. Therefore, the study findings will contribute to the body of knowledge regarding public

participation in budgeting processes in Kisumu County and globally. Public participation in Kisumu County, Kenya, is still in the process of establishment and development in terms of systems, structures, models, capacity, and best practice, and should benefit from a study independently assessing the level of participation, knowledge of policies and barriers in implementing public participation strategies. This could also be generalized to the country where socio-economic settings permit.

At an empirical level, this study employed triangle analysis which generated findings on what knowledge do the public had on public participation policies in Kisumu County, their level of participation, and the dynamics related to budget process with a focus on both legal and political systems structured around content, culture and structure, an area which has received little focus. This gap was addressed through this study. This study has adopted the type of analysis that provides a comprehensive understanding of public participation, the level of knowledge the public has on policies guiding public participation, and the underlying issues that stem from both the legal, structural, and cultural perspectives.

Lastly, the motivation for exploring this subject matter is mainly to strengthen the already existing policy frameworks such as Kisumu County Public Participation Act, 2015. This policy should guide public participation in the planning and budget process; hence, the results and recommendations from this research would strengthen the already existing policy framework in Kisumu County and Kenya and be beneficial to the government and advocates of inclusive and participatory governance.

1.6 Scope of the Study

The current study examined the knowledge, level, and challenges of public participation in Kisumu County and focused on three sampled Sub-Counties and four wards. The study interviewed the public, county government officers, particularly in the budget, planning, and education departments, members of the CBEF, and other relevant stakeholders in the study area, such as NGOs/CBOs. Kisumu County was considered because of its proactiveness in enacting legislations such as participation Public Participation Act, 2015, which outlines the structure that guides the county's public participation. The study considered the period from 2015 when the County Public Participation Act, 2015, was enforced to 2019.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter provides a detailed review of the existing literature on public participation in the budget process. The study assessed the knowledge of public participation policies amongst the public, the level of participation, and barriers to meaningful participation. Similarly, this chapter comprises the concept and meaning of public participation, the theoretical framework, and its relevance to the study.

2.2 Concept and meaning of Public Participation in the budget-making process

Politics, democracy, and leadership continue to be preoccupied with the concept of participation. According to Freeman (2010), public participation entails stakeholders' direct or indirect involvement in decision-making processes relating to plans, policies, or programs that they care about. Individuals, groups, or institutions influenced or affected by the policy decision are considered stakeholders in this case. The terms "citizen involvement" and "citizen participation" are sometimes used interchangeably. Rather than a simple aggregation of individual interests through universal suffrage, the process incorporates the party's participation in decision-making conversations, dialogue exchange, and mutual understanding. Cooper (2005) defines civic engagement as "people deliberating together and participating in collective interest within the interest, institutions, and networks to establish civic identity and include people in the governing process." Because it is based on democratic and constitutional values, the phenomena have gained widespread approval in the country. In this study, public participation refers to citizens'

involvement. Local governments in a developed government have distinct and legally recognized geographic borders over which they can exercise jurisdiction, which are referred to as sound governments. Most political decentralization is based on this form of decentralization. Scholars, on the other hand, argue that decentralization and community engagement are unrelated (Maluka,2011). Decentralization and devolution, in the opinion of the researcher, do not guarantee citizen engagement. Citizens generally participated in the implementation of various projects prior to the enactment of the 2010 constitutions, owing to a lack of statutory guidelines on public awareness, information access, stakeholder engagement, and conflict resolution strategies that could aid in public participation. Apathy from the public intake active role in the management of CDF and LASDAP processes have been some of the primary obstacles in public participation in the past with respect to the Constituency Development Funds (CDF) and LASDAP. Limited public engagement was a major difficulty for these programs due to a lack of information, defined timelines for participation, inclusion in incorporating underrepresented minority groups, and a uniform method to public participation (Lineth, 2013). As a result of these developments, the current study aims to assess the impact of public engagement in the county government's budgeting process, with a focus on Kisumu County in Kenya.

2.3 Knowledge of public participation and budget Policies amongst the public

Civic awareness is essential for political involvement. According to the literature, information on budget papers and policies should be accompanied by knowledge and competence among government officials and the general public in order for them to comprehend and defend their priorities during participation (Cartliz, 2013). UNECA agrees, stating that in order for local governments and civil society organizations to engage in meaningful and inclusive ways, their

ability must be developed. Public involvement, according to the Society for International Development (SID), is a civic right and obligation that is critical in reshaping imbalanced power relations, restoring community power, and fostering transparency, accountability, and equity (SID, 2015). In support of this viewpoint, the Organization for Economic Cooperation and Development (OECD) (2007) claims that successfully engaging the public in budgeting would not address complex budget and fiscal policy challenges. However, encouraging good government practices and adopting politically viable yet prudent budget processes is a crucial aspect of an overall approach. Engaged citizens are better educated about fiscal issues, hold more deliberate and sophisticated public policy opinions, and have fewer cynical attitudes toward government, according to this viewpoint.

Pandeya (2015) conducted research in Nepal to analyze the role of citizen engagement in developing local planning and accountability systems. Exploratory interviews with purposively selected experts and government managers on participatory projects in Nepal were employed in the study. Citizens who participated in local government decision-making processes lacked sufficient awareness about public participation and related policies, according to the study. The majority of these people were impoverished, rural and isolated dwellers, and women. Indeed, the study emphasized the importance of civic awareness in achieving excellence. However, the study's findings may be skewed because they are based solely on the data of public administrators and experts. This study gathered information from the general public and management, resulting in more accurate results due to the use of corroboration and a bigger sample size. Furthermore, because the geographical contexts of Nepal and Kenya are so unlike,

generalization is problematic. Because of the rapid changes in the global environment, the study also included data from 2015, which may be outdated.

Kenya's 2010 Constitution ushered in significant reforms in public finance management, which sadly received little or no attention prior to the vote and the Constitution's subsequent adoption (SID, 2008). The World Bank has highlighted critical advances at both the national and county levels to strengthen public financial management since the CoK was enacted in 2010. The National Competence Building Framework (NCBF) was launched at the national level by the Ministry of Devolution and Planning to develop counties' capacity in public finance management for effective participation (World Bank, 2015). The Fourth Schedule of Kenya's Constitution, 2010, also requires counties to improve community capacity through civic education on policies and the budget process, among other governance concerns. Only six counties had built civic education frameworks, according to a research done by the Commission for the Implementation of the Constitution (CIC) (2014). However, the study was unable to establish if the frameworks had been implemented and the level of knowledge about budgeting processes in the six counties (CIC, 2014). This study fills a knowledge gap on how to implement the participatory budget process by soliciting comments from the public, who are the most important stakeholders in the budget process.

The County Integrated Development Plan (CIDP) and the Kenya Public Finance Management Act, 2012 are mentioned in the Devolution Policy, 2016 as important policy frameworks in the county budget process (GoK, 2016). The PFM Act also highlights other key policy documents that are part of the budget process, such as the County Fiscal Strategy Paper and the County

Budget Outlook Paper. For effective engagement in the budget process, both the public and county officers should have a basic understanding of the content of these documents. The goal of Songole's (2019) study was to look into the difficulties that people have when participating in the budget-making process. The study, on the other hand, relied on secondary data such as legislation and case studies that were already available. This study collected data from stakeholders, resulting in the opinions of the budget's direct consumers.

A rapid survey commissioned by Diakonia, Sweden, to determine how three counties (Laikipia, Kitui, and Kwale) had institutionalized public participation, with a focus on assessing public knowledge of the CIDP, revealed that 69 percent of those polled had no knowledge of the CIDP or even the budget processes. As a result, involvement in county budget processes was limited. Muchuna (2015) found that 55 percent of the population in Isiolo County had a poor awareness of budgeting processes and regulations, while 39 percent had a fair understanding. Despite the fact that the studies analyzed revealed a low level of civic education among the general population, these findings may not apply to Kisumu County due to differences in legislative frameworks and efforts made by individual counties to sensitize their citizens across Kenya's counties. The studies were also carried out much earlier, necessitating the necessity for a new study since many actions have been made to further improve knowledge in the budget process. In addition, Aseda (2019) did a similar study on budget-making process awareness. When respondents were asked if they knew how budgets are made, 28% strongly disagreed. Since then, the government has engaged in numerous actions aimed at raising awareness, necessitating a research to look into the accomplishments thus far and what remains to be done. Furthermore, performing the research in a different county would allow for stronger generalization and corroboration.

Kisumu County enacted legislation such as the Access to Information Act of 2015 and the Public Participation Act of 2015 to encourage formal and effective participatory governance (County Government of Kisumu, 2015). According to Omollo (2010), access to information is not only important as a right, but it is also necessary for the fulfillment of quality and effective public engagement. According to the findings of a 2014 TI study on the level of public awareness of budget policies in Kisumu County, only 36% of respondents were aware of the budget policy documents, with only 9% having the document in their possession at the time of public budget participation. However, the reasons for the low degree of knowledge were not highlighted in this study, which is crucial for the current research. Since the study, many committees have been formed and activities to sensitize the Kisumu population have been launched. As a result, our investigation was necessary to fill up the gaps left by time and treatments. The data for the studies was also collected from 2010 to 2015. Based on current data, this investigation will provide insight.

2.4 Level of Public Participation in Budget Process

One of the major social movements of the late 1960s and early 1970s was the push for more public participation in planning and policymaking. Proponents of public involvement have applauded the increased chances for the public to comment on plans and policies and to identify concerns that need to be addressed; nonetheless, they are suspicious of the extent to which public input influences choices (Sewell and Susan, 1979). Many key requirements for determining the extent of successful public engagement have been established by advocates of public participation and Non-State Actors. According to the United Nations (UN), participation is "successful" when it results in increased influence for ordinary people, particularly the

impoverished and socially marginalized (UN, 2007). To support this point of view, Moynihan (2003) divides effective participation into three stages: pseudo-participation denotes a token effort to foster public involvement; partial participation denotes citizens being consulted but with limited impact; and full participation denotes citizens having an authentic dialogue with government and their views being considered (Moynihan, 2003). However, he questions if these stages can be implemented without the involvement of administrators during public participation platforms. The purpose of this study was to examine and determine the level of participation in the budget process using Kisumu County as a case study. This will contribute to the corpus of knowledge about the three stages of involvement by utilizing an African country as a case study. The investigations were conducted from 2003 to 2007, therefore the conclusions may be out of date in today's political climate.

The amount of participation has been examined from a variety of perspectives. In the example of Arnstein (1969), she considers "power" and "decision making" to be critical factors in determining the level of effective involvement. She categorizes citizens' control as the lowest level of engagement and manipulation as the highest (Arnstein, 1967). Critics of the Ladder of Participation, such as Collins and Ison (2006), argue that it portrays participation as primarily a power struggle between people to advance to the 'top' and dominate power, which may not be the case for everyone who participates. A linear notion of involvement, according to Bishop and Davis (2002), indicates that the policy problem remains constant, with just the actors' approaches altering from level to level. Their argument, on the other hand, contradicts the uniqueness of many policy issues, which, they argue, necessitate diverse levels and types of participation. As a result, this study will use five typologies as a measure of participation, drawing largely on

Arnstein's model and considering both political and structural power dynamics at play during public engagement. This comprises public information access, empowerment, feedback systems, direct engagement and inclusion, and participation frameworks and methods.

Various critics have modified Arnstein's paradigm, as Mcallum (2006) illustrates; Wilcox's ladder cuts Arnstein's typology from eight to five levels, reflecting various levels of participation: supporting, deciding together, acting together, consulting, and providing information (Arnstein 1967; Bishop and Davis, 2002; Mcallum, 2006; Wilcox, 1994). The aspect of power in decision-making is introduced by Wilcox's categorization of the level of participation. Despite numerous researchers' modifications, refinements, and redistributions of Arnstein's model, they remain trapped within Arnstein's hierarchical method. The failure of Arnstein's model to realize dynamics in participation in various environments, as well as its failure to consider the process as well as the outcome, or the importance of methods and feedback systems, necessitates the development of a more robust model to guide the understanding of the level of participation in the budget process. Furthermore, the models described do not demonstrate why they should be chosen above other current participation typologies. In addition, the models were built using data from the industrialized world. In comparison to the developed world, the developing world has unique difficulties and experiences. As a result, studies undertaken in the latter cannot be applied to the former, making this study essential. Because various initiatives and legislations have been implemented after the research were done, the results may not be in line with current circumstances.

According to Barbera, Borgonovi, and Steccolini (2016), participatory budgeting is a critical tool for ensuring that inhabitants in a region are involved in resource allocation. The study discovered

that participatory budgeting is critical to the budgeting success of public organizations. However, because the research was conducted in Milan, Italy, it cannot be simply applied to an African setting. The goal of this study was to close those information gaps. According to a report by the Green Action Non-Governmental Organization (NGO), public involvement in Croatia focuses more on "expert opinion" than "popular opinion." This viewpoint is attributed by Dini, Svidro, and Bzducha (2016) to the lack of a well-developed participatory framework in Croatia. They use the example of Pula, a city with a population of 57,460 people, yet only about 250 people attend public hearings on the municipal budget, largely via e-mail. Dzini et al. (2016) discovered that there is no agreed-upon organized framework for involvement. While this gives the government with an opportunity to experiment with various participatory approaches, it also allows the government to rubber-stamp participatory processes (Dzini, Svidro & Bzducha, 2016; Green Action, 2005). The research was carried out in Europe, which has a variety of laws and geographical factors. Because African contexts are considerably different from European settings, this study will assist cover geographical information gaps.

Several studies from around the world (Vanda Carreira & Reis Machado, Joo & Vasconcelos, Lia. (2016); Weber 2000; Russell and Vidler 2000) have looked at how various factors – such as education levels, social-economic empowerment, gender dynamics, and government policies and systems – influence participation levels. Vanda Carreira & Reis Machado, Joo & Vasconcelos, Lia. (2016) found that education levels influence how the public perceives and participates in public policies in an empirical study entitled Citizens' Education Level and Public Participation in Environmental and Spatial Planning Public Policies: Case Study in Lisbon, Portugal and Surrounding Counties. They went on to say that the higher one's educational attainment, the

more effective one's contribution to policy change would be. Wacera (2016) and Siala (2015) performed research in Nyandarua County and Nairobi, respectively, and discovered that persons with at least a secondary level of education participate effectively, but those without a secondary level of education shy away from public participation (Wacera 2016; Siala 2015).

Many academics, including Weber, Russell, and Vidler, have linked economic empowerment to participation levels. According to Webere (2000), citizens' participation forums are typically crowded with members of the highest socioeconomic groups, whereas Russell and Vidler (2000) claim that economically disempowered people have less time to spend in public participation meetings because they are preoccupied with finding resources and livelihoods for their families (Webere 2000; Russell and Vidler 2000, as quoted by Siala, 2015). The findings of a study conducted in Bangladesh by Mohamed (2010), which revealed that those with low economic status are less likely to be invited to participate than those with greater economic standing, confirm the views of these scholars. Men had greater involvement chances than women, according to the report (Mohamed, 2010). On the other hand, a study by Siala (2015) found that people's economic condition has a minor impact on their engagement, and that men and women have equal opportunity to participate in budget processes. Songole (2019) discovered that the public was not completely involved in the budgeting process in Kenya. The study, on the other hand, did not collect data from the participants and instead relied on secondary data. This research will entail gathering information from relevant stakeholders who can identify their level of involvement in the process. Furthermore, in the study "Participatory Communication in the Budget-making Process in Kajiado County" by Aseda (2019), the author proposed that another

study be undertaken in a different county to make the findings more generalizable throughout Kenya. This study aims to close a knowledge gap in this area.

According to Matovu (2007), strict traditional approaches to planning are being abandoned in many African countries, and legislation are being enacted to allow effective public participation in local governance (Matovu, 2007). People have a right to participate and be consulted in different aspects of local governance, including resource mobilization, allocation, and expenditure, in Nigeria, Mozambique, South Africa, Tanzania, and Uganda, according to the legislation (Matovu, 2007; IBP, 2011). Despite these rules, a budget transparency survey done in Nigeria in 2015 found that 20 of the 26 states studied never held public participation during the final ratification of the budget draft. In Rwanda, the local government personnel perform public involvement on an as-needed basis, skipping various steps of the budget process (Civil Resource Development and Documentation Centre, 2015; Rwanda Governance Board 2014). Based on the findings of these research, it is crucial to comprehend Kisumu County's degree of involvement through the lens of the existing legal framework, which is specific to Kisumu County. Because the techniques to public engagement in the nations described above varied and produce various outcomes, it is critical to conduct the study in Kenya to verify the findings. This study has also produced fresh discoveries in comparison to the previous studies, whose created knowledge may no longer be relevant in light of global transformations and changes.

Strengthening public engagement is emphasized in Kenya's Constitution (2010), County Government Act (2012), and Public Finance Management Act (2012). The vision of an open, inclusive, and responsive government, a dynamic civil society, and an involved citizenry is a fundamental component in Kenya's constitution (2010) (World Bank, 2015; Society for

International Development (SID), 2015). However, according to a World Bank study published in 2015, many county governments are having difficulty implementing public involvement due to a lack of legislation and sufficient infrastructure (World Bank, 2015). According to SID (2015), just 5 out of 47 counties have implemented public participation legislation, and despite this progress, effective and meaningful participation has yet to be realized.

In 2013, GROOTS and the National Council of Churches of Kenya (NCCK) performed a public participation survey in Kitui, Laikipia, and Kwale Counties, which found that only 14.6 percent of the population had ever participated in the county budget process. According to the study, the three County governments only consulted the public on already prepared budget documents for information purposes and did not incorporate the public's input in developing the budget materials (GROOTS & NCCK, 2013). To promote the implementation of effective public involvement, Kisumu County has decentralized institutions from the county level down to the ward level. The County also created the Public Participation Act of 2015, which establishes a framework and procedures for citizen participation (IEA, 2015: County government of Kisumu, 2015). Despite the structures and legislations, studies like IEA (2015), ICPAK (2014), and TI (2015) show that participation remains low due to a lack of political will to effectively use the available structures for participation and operationalize the Act for inclusive and effective participation during the budget process (IEA, 2015; TI, 2015; ICPAK, 2014). According to the IEA (2015), the County has devolved administrative structures up to the Ward level, with the majority of them operating as information hubs, feedback channels, and public engagement venues (IEA, 2015). Despite the study's limited focus on Kisumu County, Atieno's (2017)

findings on the construction of feedback mechanisms across Kenya's 47 counties demonstrated that the development of feedback mechanisms is still in its early phases.

Governments, international agencies, non-governmental organizations, and corporate institutions around the world are still battling to define public participation levels and effective tactics for executing already adopted public participation laws, according to the examined literature. Furthermore, the linked research tended to focus on the challenges of public involvement faced by the general population, with little attention paid to policy implementers. This research will provide benchmarks and criteria for determining the extent and effectiveness of public participation in the budget process in Kisumu County, Kenya.

2.5 Barriers to Public Participation in the budget process

Theoretical and structural limitations to public participation exist. Mohiyan (2003) observes that administrators have significant power in designing the participation forum in terms of how much influence they have, what information they share, and who they invite. He goes on to say that government officials' attitudes are a good predictor of effective engagement. Existing literature does not provide a clear description of public involvement or how it should be implemented (Roberts, 2003). Day and Pateman (2012) support this claim, claiming that, being a controversial term, it is unsurprising that it has definitional issues. Citizen participation can refer to a variety of actions taken by various individuals (Day, 1997; Pateman, 1970). In four cities in North Carolina, Justin Berner and Ricardo (2011) investigated what defines effective involvement in local governments. The qualitative study, which primarily surveyed elected city council members, budget staff, and active citizens, revealed issues such as the public being presented

with a technical and complicated budget document, a lack of timely access to budget documents, and limited influence over budget outcomes. However, because this study focused on rich countries, a similar study focusing on poor countries is necessary. For the purposes of corroboration, this study will use both qualitative and quantitative data, resulting in more accurate findings.

Marzuki (2015) finds that traditional public participation procedures such as public hearings have made no increase in the quality of participation due to a lack of representation in his comparative analysis concentrating on four countries: Denmark, the Philippines, Canada, and the United Kingdom. The paper goes on to say that in these industrialized countries, public engagement is hampered by administrative procedures and poor public perceptions toward budget participation. Denhardz et al. (2009), on the other hand, observe in their study that developing nations have unique and daunting hurdles in fostering citizen involvement and democratic governance processes; this underscores the need to analyze impediments to public participation in Kenya's budget process.

Siphuma (2009) believes that the budget process at the local level in South Africa still confronts major obstacles in its implementation in his study of the role of public engagement in the Integrated Development Plans (IDP) process in Thulamela Municipality in South Africa. He blames municipal officials' lack of understanding of budget policies as a reason for their inability to control and support IDP growth. Theron et al. (2007), cited by Siphuma, confirm similar findings and claim that local governments lack the capacity to administer and lead participatory development programs like IDP. Frisby and Bowman (1996) hold similar views, arguing that a lack of participant awareness is a common barrier to meaningful engagement. Participants are

less likely to contribute useful information when this happens. Siphuma's study was skewed toward participation barriers faced by municipal officers, which may not be the same as those faced by the general population, who are the primary stakeholders in the budget process.

County governments have faced enormous obstacles in affecting public engagement since their inception in 2013 (World Bank, 2015). Long-distance participation locations, unstructured ways of involvement, a lack of laws and legislation to enhance public participation, and inadequate notice for participation, among other difficulties, are highlighted in the report. While agreeing with the World Bank's results, Cheeseman, Burbidge, and Atwell (2015) point out that Kenya's county governments confront a variety of issues when it comes to civic engagement and political participation. They have to do with fairness, logistics, and managing expectations (Cheeseman et al., 2015). Mugambi and Theuri (2014) conducted a study to assess the obstacles faced by the Kilifi county administration in budget planning. The findings of the study revealed that the counties have budget preparation procedures in place, and that the personnel had appropriate and essential budget preparation abilities. Despite the fact that a wide range of stakeholders from across the county were consulted, the public's concerns were not fully addressed in the budget, as was expected. Because the level and effort put into establishing public involvement structures and methods varies by county in Kenya, a similar study is needed to confirm the described hurdles in Kisumu County.

In their study on public engagement in Kisumu County, the Institute of Economic Affairs notes difficulties such as a lack of adequate feedback systems and low civic knowledge (IEA, 2015). In 2015, CORDAID and Concern Worldwide conducted an unpublished study that found a lack of

knowledge about budget policies, apathy leading to minimal and ineffective engagement with the County government, patronage and clientelism, and patronage and clientelism rendering members of the public as mere spectators during the budget process. Although these studies focused on Kisumu County, their research regions were biased toward urban Sub-counties, therefore their conclusions may not reflect the challenges experienced by rural sub-counties. The research conducted above clearly demonstrates that public engagement in the budget process at county governments has received insufficient attention, especially when focusing on global public finance management strategies. There is scant indication in Kenya that the approved policies are being implemented effectively to improve public engagement. Furthermore, the studied literature does not show if both public and local government workers understand the policies in order to promote public engagement in the Counties. As a result, the current study aimed to fill these gaps, with the hope that the findings will inform and enhance the county budgeting process, resulting in more successful and inclusive budgeting for both the county administration and the inhabitants of Kenya's numerous counties.

2.6 Theoretical Framework

This study was guided by Deliberative Democratic Theory developed in the 1980s by Political philosophers John Rawls, Joseph Bessette, and Jurgen Habermas which hold that citizenry –all citizenry- must be consulted in the making of laws or decision which affects their lives. The theory further content that, only with great and equal participation will other principles of democracy fulfilled. Chambers (2003) explains that, Deliberative Democratic Theory critically investigates the substance, quality and rationality of the deliberations and reasons brought to defend the policy and laws. He further argues that this theory looks at the social, economic and

political conditions necessary for healthy deliberations and at the same time the attitudes, behaviors and beliefs required of participants. This is the same view held by (Derek et al, 2012) who argues that for a democratic decision to be legitimate, it must be preceded by authentic deliberation, open to all members of the public who are fully sovereign, acting and championing their self-interest.

One of the theory's proponents, Habermas (1996), claims that the theory emphasizes coordination between 'systems and citizens. This entails the strategic application of the best means to a determined end and orients activity toward success and efficiency, resulting in understanding, exchanging experiences, and establishing shared meaning via the acknowledgment and acceptance of validity claims (Habermas, 1996). The principle of the rule of law and citizens' rights is important to successful involvement, according to this idea. Critics of the theory, such as Marion Young (2000) and Lynn Sanders (1997), argue that the rule of thumb in legitimate democratic theory, which states that debates must be calm, rational, moderate, and guided by mutual respect, is culturally biased in favor of those with more resources, elites, and power, which the theory ignores.

Despite this shortcoming, the theory is relevant to this study because it states that effective deliberation should be informed and should focus on the inclusion of all those (potentially) affected by a decision in the decision-making process, acknowledging that each of them has an equal ability to influence the final decision. This theory goes on to say that political decisions should be made through a collective argumentation procedure, in which contributions consist of exchanging reasons for or against specific proposals, with the goal of rationally persuading

others, rather than strategic participation aimed at imposing and coarsening on others personal political interests or desires. It is supposed to guide them to rational consensus, at least in theory (Marti, 2006).

The theory was important to the study because it covered all of the objectives. The theory asserts that in order to be deemed authentic, all citizens must participate in decision-making. This supports the study's overall goal, which is to increase public participation in budgeting. The theory also calls for decision-making cooperation between systems and citizens. This necessitates the first goal since, in order to coordinate, the public must be fully informed about the budgeting decision-making procedures. According to the notion, all citizens of a government must be involved in decisions that impact them. The second objective, which looked at the level of public participation in the budgeting process, reflected this. According to the view, public participation is crucial in government decision-making. As a result, the study needs to look into the roadblocks to public engagement in budgeting.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This section discusses the methodology applied to fulfil the research objectives. It outlines the study area, study design, study population, sampling procedure, and sample size. It also confers the data collection methods, validity, and reliability of data collection instruments, data analysis, presentation, and ethical considerations during the study.

3.2 Research Design

This study utilized descriptive design employing mixed methods (combining both qualitative and quantitative) approaches. The design was the most appropriate for this study since it described facts and characteristics concerning the public and the interactions and environment under which public participation occurred. It also helped the researcher to observe activities, trends, and actions during public participation events.

The use of mixed methods was further informed by the study's objectives, which produced different sets of data. The first and second specific objectives on the public's level of knowledge regarding the public participation process and the level of public participation respectively produced numerical data collected through individual household surveys. This nature of data resulted in descriptive statistics in the analysis. The study further employed a qualitative description of data collected through KIIs to supplement the quantitative analysis. One of the assumptions of this approach noted by Creswell (2014) is that both qualitative and quantitative

data provide different types of information—often detailed views of participants qualitatively and scores on instruments quantitatively—and together, they yield results that should be the same. This view is further supported by Sami (2016), who concludes that this approach through the use of both words and numbers provides greater scope to investigate educational issues to benefit educational establishments and society.

Additionally, the study involved the collection of primary data. This was done through questionnaires and observation with the help of five research assistants targeting individual respondents, while KIIs were conducted to County Government and Civil Society organizations. The research also observed two public participation forums in Kolwa East and Railway's wards.

3.3 Study Area

Kisumu County, which is one of the 47 Counties in Kenya, lies within longitudes 33° 20'E and 35° 20'E and latitudes 0° 20'South and 0° 50'South. According to the 2019 Population and Housing Census, the county's population was estimated at 1,155,574 persons with 560,942 males and 594,609 females (KNBS, 2019). The County has a diverse background comprising of both urban and rural setups. The rural setup is predominantly inhabited by the Luo Community, while the urban population comprises a homogeneous population. The county consists of seven sub-counties: Kisumu East, Kisumu West, Kisumu Central, Seme, Nyando, Muhoroni, and Nyakach, with a total of 35 wards.

The county lies in a warped-down part of large lowland surrounding the Winam Gulf, Kisumu City's tip. East of Kisumu City is the Kano Plains occasionally broken by low ridges and rivers.

The County is further endowed with the second largest freshwater lake in the world- Lake Victoria. These natural resources provide a big potential for various economic development such as farming, fishing, and trade. Specifically, due to different ecological conditions in various sub-counties, communities in various sub-counties have predominantly engaged in different economic activities. Data from a study by SID (2013) exploring Kenya's inequality shows different economic activities within the three Sub-Counties in Kisumu County. For instance, Seme, Kisumu West, Nyakach, and Muhoroni Sub-counties are predominantly small-scale farmers. Most farmers engage in livestock and food crops with Cash crops such as Sugar Cane mainly grown in Muhoroni. In Kisumu East and Central, most of the population engages informal employment due to their proximity to the urban center (SID, 2013; Kisumu County CIPD, 2018).

Notably, Kisumu County is one of the counties with the largest number of NGOs and CBOs in Kenya. Currently, the number is estimated to be 198 NGOs and CBOs. These agencies have been instrumental in empowering citizens and strengthening county systems towards effective public participation (Kisumu County CIDP, 2013). Despite the enactment of public participation and access to information laws and structures such as County Budget and Economic Forum (CBEF), assessments conducted by IBP between 2017-2019 across the 47 counties revealed that Kisumu County, among seven others, had not published any of the six budget documents in these three years while it was the only county that had enacted both public participation and access to information laws as well as a policy which created the office and structures for public participation. This continuous poor implementation of the public participation process in Kisumu County made it necessary to conduct the study.

The study focused on five Wards within the three Sub-Counties. The five Wards are geographically categorized as urban -Railways Ward, Nyalenda B, Kolwa Central, and Kolwa East and rural -East Seme (Kisumu County CIDP, 2018). This classification contributed to understanding how knowledge, level, and challenges of public participation reflected differently in urban, peri-urban, and rural Sub-Counties.

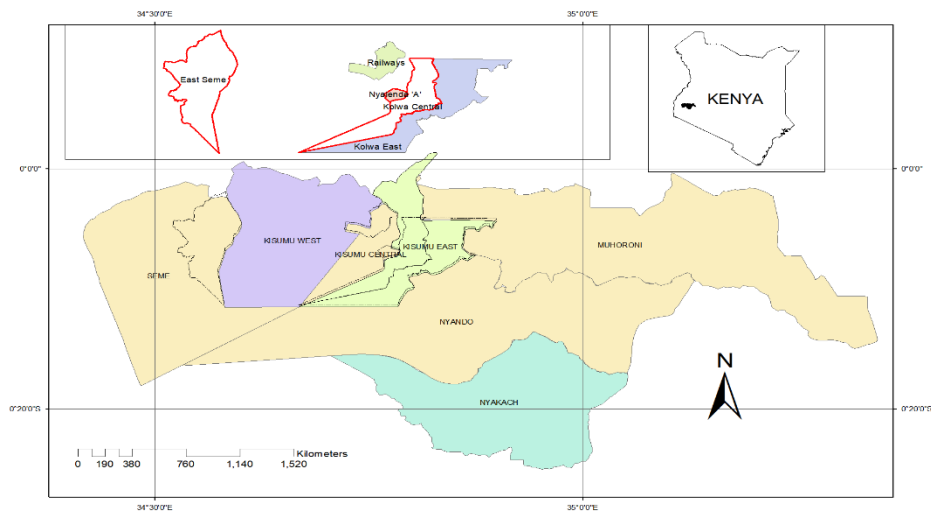


Figure 1: Map of Kisumu County

3.4 Study Population

Banerjee and Chaudhury (2010) define study population as a defined population from which the sample has been properly selected. Based on this definition, this study targeted the adult population of 18 years and above across the sampled five wards since they could make informed and independent decisions related to governance. Kisumu County has a population of 1,155,574 persons according to the KNBS (2019) estimated census, while the selected five wards have a total of 147,895. Additionally, KNBS projects the total household population for Kisumu County to be 300,745 (KNBS, 2019). In addition to the study population, the study targeted 2 Directors

of Budget, 1 Director of Planning, 1 Member of County Budget and Economic Forum (CBEF), and two representatives of Civil Societies.

3.5 Sampling Procedure and Sample Size

Sampling is a process of selecting a subset of individuals from within a population to estimate the characteristics of a whole population (Singh & Masuku, 2014). In arriving at sample size, Roscoe (1975) proposed the rule of thumb of 30%. Before sampling, the study clustered the Sub-counties into urban and rural as per table 3.1 below. On clustering, six sub-counties were categorized under rural while one sub-county was under urban (CIDP, 2013). Clustering of the sub-counties into urban and rural was necessitated by the socio-economic differences between rural and urban sub-counties. For instance, sub-counties in urban are advantaged in terms of social amenities, educational levels, the economic capacity of households, access to information, and their proximity to participation platforms, among others, compared to rural sub-counties. Hence this study compared the level of participation, knowledge, and participation barriers as reflected in urban, peri-urban, and rural sub-counties and Wards in Kisumu County.

The 30% rule of thumb was calculated as below:

$$30/100 \times 6 \text{ (sub-counties)} = 1.8 \text{ sub-counties. (2 rural sub-counties)}$$

From the calculation above, the sub-counties under rural were randomly sampled while the sub-county under urban was purposefully sampled. This resulted in 3 sub-counties out of the seven sub-counties: Kisumu Central, Kisumu East, and Seme Sub-Counties. While Seme Sub County was randomly sampled as a rural Sub County, analysis conducted by IBP between 2013-2016 revealed the sub-county has received the lowest development budget for the last three years (IBP, 2016). Kisumu Central and Kisumu East Sub counties were both purposefully selected for

the study as they were the only urban and peri-urban Sub counties, respectively. The Wards in three Sub-Counties were further randomized as per table 3.1 below.

Table 3.1: Ward Distribution Frame

Sub-Counties	Cluster	Number of Wards	Number Sampled	Specific Sampled Wards
Kisumu Central	Urban	6	2	Nyalenda B, Railways Wards
Seme	Rural	4	1	East Seme
Kisumu East	Rural	5	2	Kolwa Central, Kolwa East
TOTAL		15	5	5

The sample size for the study population was calculated using the Yamane formula (1967), which provides a 95% confidence level, and $e = 0.5$ is assumed. The Yamane (1967) sample determination formula was picked due to its suitability with a finite population. Additionally, this formula provides a simplified formula to calculate sample sizes for population proportions and gives room for estimating variations relating to the critical variable, which is the proportion of adults in Kisumu County who participate in budget processes. KNBS (2019) projects the total household for Kisumu County to be 300,745. At the same time, the total household population across the sampled five wards came to 42,854. The household approach was used as it was considered the most appropriate method to identify the individual respondents.

The sample size was calculated as shown below

$$n = N$$

$$[1 + N (e)^2]$$

Where n = the sample size

N= the size of the population

e = the error of 5 percentage points

$$n = 42,854$$

$$\{12,854(0.05)^2\}$$

$$n = 395.50 \approx 396 \text{ households}$$

$$42,854(0.0025) = 108.135 = 396.30092$$

The study used the households to identify the respondents, while a systematic random sampling technique was used to pick the 396 respondents within the sampled households. In each household, one adult- the head of the house was interviewed across the five wards. In the absence of an adult or head of household, a significant other was interviewed. The sample for each ward is as shown in Table 3.2. Due to the lack of reliable and authentic individual data at the ward level, household as a sampling unit was deemed suitable for this study as it provided a standard and convenient way for reaching individual respondents.

Table 3.2 shows the working for the sample size, the exact ward population for persons aged 18 years and above was obtained from (KNBS, 2019). Population projections published by KNBS (2019) were used to determine household populations within the wards under study. The summation of the number of households in the five wards was used as Nth in the Yamane (1967)

sample determination formula. Given the sample size of 396, the proportions of households to be sampled were worked out, as shown in column 4. To establish the sampling interval, the researcher divided the number of households per ward by the ward sample size, as shown below.

Table 3.2: Sample Size Distribution Frame

Ward	Ward Population	Household Population	Working	Sample	Sample Interval
Nyalenda B	34,905	8,443	$\frac{8,443}{42,854} \times 396$	78	108
Railways	32,421	5,793	$\frac{5,793}{42,854} \times 396$	54	55
East Seme	19,605	4,309	$\frac{4,309}{42,854} \times 396$	40	107
Kolwa Central	58,098	19,140	$\frac{19,140}{42,854} \times 396$	176	108
Kolwa East	28,616	5,169	$\frac{5,169}{42,854} \times 396$	48	107
TOTAL	147,895	42,854		396	

Source: Kenya National Bureau of Statistics 2019

Systematic Random Sampling was used to identify the respondents who participated in the study in the 5 Wards. This sampling technique involves selecting the samples at regular intervals from the sample frame (Sanders et al., 2007). According to Sanders (2007), systematic random sampling is suitable for geographically dispatched cases and works well with large and small cases, hence its suitability for this study.

The sampling interval was calculated by dividing the total number of households by the sample size for the particular ward. According to (Singh & Masuku 2014), this sampling method involves selecting the first unit of the sample at random, and subsequent units are selected

systematically. Therefore, the study identified the central location of each ward, partitioned the area into four quadrants, spun a pen, and picked the first quadrant. A pen was spun again upon getting to the first quadrant, and the first household was picked. The study turned right and skipped (n) household and got to the second household. This process was repeatedly done until the entire sample target for the sub-county was met.

Purposive sampling was used to select key informants for interviews. Oso and Onen (2008) define purposive sampling as a sampling technique where the researcher consciously decides who to include in the sample. This technique was suitable for this study as it saved time and led the researcher to interview resourceful persons who provided rich and relevant information to the study (Saunders et al., 2007). The sample was used to collect focused and specific information. The study purposively sampled County Directors of budget and planning, CSO representatives, and Members of CBEF. The county government officers chosen for the survey were those who have had a direct mandate on public participation in the budgeting process.

3.6 Data Collection Methods

Mohajan (2017) defines data as raw facts without any processing, organizing, or analysis within little meaning, and few benefits to the managers and decision-makers, while Cooper and Schindler (2011) and Mugenda and Mugenda (2012) define data collection methods as the tools and procedures used in the measurement of variables in research (Cooper and Schindler 2011; Mugenda and Mugenda 2012 as cited by Opiyo 2017). The main objective of this study was to investigate knowledge, the level, and barriers of public participation in the budget process in Kisumu County, Kenya. The study relied on field key informant interviews, focus group

discussions, household surveys, document analysis, and observations related to public participation. These five methods were all employed in the study to enhance corroboration and triangulation of findings, therefore, ensuring reliability.

3.6.1 Key Informant Interviews (KII)

This entailed conducting in-depth interviews with key informants who had crucial information on the study objectives. KIIs were conducted on purposively sampled individuals who included; Directors of Budget and Deputy Director, Director Planning, Executive Director of KEFEADO, and a member of CBEF. These informants were purposively selected due to the extensive knowledge they possess about the budgetary process of Kisumu County. Additionally, KEFEADO was the only available KIIs amongst those targeted within the NGOs during interviews. The specific objectives informed the designing of the KIIs questions of the study. The questions were open-ended and captured a myriad of issues around the dynamics of public participation, the understanding of public participation processes and policies amongst county officers, the effectiveness of the already existing structures, among others. During these interviews, note-taking techniques were used and complemented by audio-visuals, which took approximately an hour per key informant. The instrument the researcher administered to obtain this information was unstructured interview schedules. This instrument was used it allowed for interactions between the researcher and the subject, allowing for acquiring in-depth information. The tool also allows for conducive time for response.

3.6.2 Focus Group Discussions

Focus Group Discussion (FGDs) is mostly used as a qualitative approach to understanding issues under research. It involves obtaining data from a purposely selected group of individuals rather than a statistically representative sample of a broader population (Ochieng, Wilson, Derrick, and Mukherjee 2018). Guided by the view of these scholars, this study administered three sets of focus group discussions to homogenous participants in 3 Wards (Kolwa East and Railways and Seme Wards). A total of 10 FGDs were conducted. The FGDs, which took approximately 45 minutes each, were conducted to the three wards' men, youths, and women. The FGD group participants were between 8-9 participants selected across community members by community resource persons. The community resource persons were key in this process as they were able to assist in selecting participants homogeneously to avoid bias and thus ensure that the data collected was a good representation of the wards. The FGD sessions were moderated by the researcher, assisted by one research assistant. A single FGD was conducted on People leaving with Disabilities. The tool the researcher used to obtain this data was a focus group discussion guide. This tool enabled the researcher to restrict himself to the topics and themes being researched and guide the research in the interactions with the respondents.

3.6.3 Household Survey

The study employed household surveys to collect data from households in line with the objectives of the study. Household surveys have the advantage of enabling the researcher to collect different kinds of information, and it also allows for quick collection of data. However, it may have drawbacks, such as respondents wanting to give pleasant responses. This was controlled by conducting self-administration of the questionnaires. The instrument that was used

to collect this data was a questionnaire. The questionnaire (Annexed) was administered to 396 respondents. The questionnaire was used to collect both quantitative and qualitative data. It captured information such as the biographical information of the respondents participating in the study, their frequency of participating in the county budget processes, their knowledge on policies guiding the planning and budgeting process, and barriers that hinder their participation in decision making in Kisumu County.

3.6.4 Document Analysis

Kothari (2004) defines desk review as a process of analyzing the contents of documentary materials such as books, magazines, newspapers, and the contents of all other verbal materials, which can be either spoken or printed. Guided by the study's specific objectives, the researcher reviewed reports and other published documents on public participation in general and for Kisumu County in Particular. Some of these reports were public participation reports, Community priorities presented during the budgeting processes, and public participation advertisements from the County government of Kisumu. Document analysis guide (annexed) was the instrument used to collect this data. The tool enabled the researcher to concentrate on collecting the information relevant to the study.

3.6.5 Observation

Observation is a purposeful, systematic, and selective way of watching and listening to an interaction or phenomenon as it takes place (Ranjit, 2011). It allows the use of all the senses to perceive and extract information from the scene. In this study, structured, direct, and Non-participant observation was used to collect data on the practice of participation in Kisumu

County. The instrument that guided this method was an observation checklist. The researcher observed a single budget participation forum in Kolwa East and Railway's wards. Observation captured the structure, processes of public participation, general mood and attitude of the public and county officers, and difficulties experienced during public participation processes. The researcher observed a single budget participation forum in Kibos Kari Hall in Kolwa East on 25th September between 10-12 noon. Another budget participation observation was done at Obunga community Hall in Railway's wards on 26th between 2-4 pm. The whole observation process in each public participation event took approximately 2 hours.

3.7 Validity and Reliability

The purpose of validity and reliability in research is to increase transparency and decrease opportunities to insert researcher bias (Singh, 2014 as cited by Mohajan 2017). Mahajan further argues that a key indicator of the quality of a measure is the proper measurement of reliability and validity of the research. This section discusses validity and reliability were exercised in this study.

3.7.1 Validity of the Research Instruments

Kothari (2004) notes that validity is the extent to which a test measures what we wish to measure. In this study, questionnaires were scrutinized during their construction to ensure their validity. Further, the researcher consulted experts from the field of public finance management and policy and experts from Governance and Devolution. They included senior lecturer of political science and governance from the Department of political science at Maseno University, independent research on devolution and civic engagement, and the research supervisors who

examined the instruments and assessed their relevance to the study's objectives. These experts and supervisors examined the instruments and assessed the relevance of the questions to the study's objectives, and after that, the face validity was enhanced. The experts were requested to rate the relevant items/questions in relation to the research objectives, the number of relevant questions was then divided by the total number of items. Validity was tested as follows:

Content Validity Index (CVI) = Relevant Items/Total Number of Items.

Fisher (2004) indicates that for a research instrument to be valid, the CVI should be more than or equal to 0.7. The CVI for the study was calculated, and adjustments were done appropriately. The overall recommendations by the experts on the tools were further considered.

3.7.2 Reliability of Research Instruments

A measuring instrument is reliable if it provides consistent results (Kothari, 2004). The reliability of research instruments was determined by the test-retest method for the internal consistency of the instruments. A pilot study was conducted in two wards: Siaya township and Ukwala in Siaya County. These wards were selected for pilot studies due to their related characteristics with the sampled wards in Kisumu County. The participants were selected by the community resource persons in Siaya township and Ukwala.

According to Wolfe (2013), pilot studies may be used to gain experience on assessment of implementation issues related to design and methods such as recruitment strategies, sample availability, adequacy of measures, feasibility and acceptability of procedures, data collection, a test of concept, and analysis plans. Further, Connelly (2008), as cited by Opiyo (2017), stated

that a pilot study for any social science research should be 10% of the sample project for the parent study (Connelly, 2008 as cited by Opiyo, 2017). This study, therefore, used 10% (or 40 participants) of the sampled population in this pilot study. The pilot study helped the researcher eliminate ambiguity and inconsistency discovered after the instruments were piloted and corrected to improve their reliability.

After administering the semi-structured interview, a correlation coefficient was calculated using an appropriate formula to establish the relationship between the two sets of scores. Spearman's Brown Prophecy formula was calculated, and r was established to be 0.743. This meant that the research tools were reliable and were therefore used for data collection, and the tools would yield similar results if applied again using the same methodology.

3.8 Data Collection Procedure

The first phase involved the collection of primary data. This was done through questionnaires and observation with the help of five research assistants. Household surveys were conducted to 396 respondents, while participant observations were conducted in Kolwa East, Railways, and Nyalenda B wards. These wards were selected due to the coincidence of planned public participation events with the field data collection. The Researcher and Research Assistants introduced themselves to the respondents, presented the introductory letter from Maseno University, and requested the verbal consent of the interviewee.

The second phase of data collection involved conducting semi-structured interviews on respondents at the County Government and Civil Society organizations. The Researcher made a

formal introduction and a brief background of the research objectives and intention. The researcher then interviewed County Officers and representatives of Civil Society organizations working in Kisumu County. Note-taking and audio recordings were used during the data collection process.

3.9 Data Analysis and Presentation

Data analysis is a process that involves data entry, coding, and computation of certain measures along with searching for patterns of relationship that exist among data groups (Cooper & Schindler 2014; Kothari 2004). Data analysis and presentation also involves examining and scrutinizing raw data through testing variables and assumptions and communicating them publicly through forms such as charts, tables, graphs, among others.

In this study, primary data was collected through questionnaires and observation. The data collection instruments were checked for completeness, omissions, then later edited and cleaned. This process involved making call-backs for the semi-structured interview guides not filled in correctly, identifying and correcting errors before the data was coded, and then fed into the statistical Package for Social Sciences (SPSS) version 21. Quantitative data were analyzed using descriptive statistics and presented in frequencies, percentages, and contingency tables. This process was guided by the qualitative data analysis matrix, as indicated in table 3.3 below.

Table 3.3: Quantitative Data Analysis Matrix

Objectives	Independent Variable	Dependent Variable	Themes	Sub-themes	Codes
To investigate level of knowledge the public and county officers in Kisumu County have regarding public finance management policy.	Knowledge of the public and county officers	Budget Process	Information sharing Strategies for Dissemination of information	Government sharing information with citizens Information reaching people Strategies to ensure effective information dissemination People understanding policies and rights	GSI IRP SEID PUPR
To examine the level of public participation in the budget process in Kisumu County	Public participation	Budget Process	Public Participation Differing public interests Public Information	Physical Participation in public forums during budget process Active participation in planning and budgeting Mainstreaming varied presented interests of the public in the final budget Effective structures for feedback mechanism Access to timely budget information	PPPF APPBM MIP ESFM ATBI
To assess the barriers of public participation during the budgeting process in Kisumu County.	Barriers of public participation	Budget Process	Policies and laws on Public Participation Knowledge from the Public Constraints Addressing challenges	Polices and laws guiding public participation Understanding of public participation Knowledge of effective and quality public participation Constraints to effective county planning and budgeting Addressing challenges Financing of public participation	PLPP UPP KEQPP CEPB AC FPP

Qualitative data from the open-ended questions were coded, analyzed through content analysis; organizing based on the emerging themes and presented using narration and verbatim quotations.

This was guided by the qualitative data analysis matrix as indicated in the table 3.4 below.

Table 3.4: Qualitative Data Analysis Matrix

Objectives	Independent Variable	Dependent Variable	Statistical Test
To investigate level of knowledge the public has regarding public finance management and public participation policies in Kisumu County.	Knowledge of the public on public participation and finance management policies	Budget Process	Frequencies, Percentages and Contingency Tables
To examine the level of public participation in the budget process in Kisumu County	Public participation	Budget Process	Frequencies, Percentages and Contingency Tables
To assess the barriers of public participation during the budgeting process in Kisumu County.	Barriers of public participation	Budget Process	Frequencies, Percentages and Contingency Tables

3.10 Ethical Considerations

Since the study directly involved the public, a robust ethical framework was developed and followed. Ethical approval was sought from Maseno University Ethical Review Committee (MUERC) and a research permit from National Commission for Science Technology and Innovation (NACOSTI). The study also developed a consent form both in English and Dholuo. Verbal and signed consent was sorted from each participant. Before commencement of the interview process, participants were adequately briefed about the study, its implications, and the possible benefits that it would bring to the citizen and all other stakeholders. They were informed of their choice of participation: voluntariness, comfort, and convenience. In addition, the searcher ensured that PLWDs were treated with dignity and that their interviews were held in

safe, comfortable, and accessible venues. Assistive devices such as sign language interpreters and documents printed in large fonts were provided for the deaf and visually impaired, respectively. Research assistants were also trained and made aware of the ethical concerns for this category of persons. Confidentiality and privacy were strictly observed. Furthermore, the names of the participants did not appear anywhere in the study report. A specific external drive was used for data storage. Data was further stored in folders protected by passwords accessible by the researcher or any authorized person, and it will be stored for a maximum of 1 year before being permanently deleted from the storage device. The researcher also ensured that all sources of information were properly quoted to avoid plagiarism.

3.11 Research Limitations

This study was conducted with the following limitations that the researcher attempted to overcome to ensure reliable and valid data. There is a possibility that some respondents may exaggerate some information during the survey using questionnaires. However, the researcher also collected data from key informant interviews to corroborate the results from the questionnaire for accurate findings.

Secondly, some respondents feared giving information for fear of victimization. The researcher assured the respondents of the data collected would be confidential and used for academic purposes only. The respondents were convinced and gave out information. It was not easy for the researcher to meet with some respondents like principals due to the nature of their work. Secondary data usually has some limitations, which may include missing data, incomplete data, or poor-quality data, which may impair the study's accuracy. This was overcome by using primary data too to corroborate the findings.

CHAPTER FOUR

PUBLIC KNOWLEDGE LEVEL OF PUBLIC PARTICIPATION IN BUDGETING PROCESS IN KISUMU COUNTY

4.1 Introduction

This chapter presents the analysis of the data collected on the level of knowledge the public has regarding public participation in the budget process in Kisumu County. The views of the public were sought on their knowledge of the constitutional, legislative, and fiscal policy frameworks for public participation in Kisumu County. The results were analyzed and presented in Tables 4.3 to 4.7 below.

4.2 Description of the Respondents

4.2.1 Response Rate

The researcher worked out the questionnaire response rate for the study and is as presented in Table 4.1

Table 4.1: Response Rate

Sample size	Respondents interviewed	Percent
396	396	100%

The study recorded a response rate of 100% which was very good for analysis; all the questionnaires were used for analysis. According to Mugenda and Mugenda (2003), a response rate of 70% and above is very good for analysis and reporting. With the view of this author, the 100% rate was highly sufficient for the study to proceed with the analysis.

4.2.2 Age of the Respondents

Slightly more than two thirds (64.9%) of the respondents were 35 years and below forming the majority while 35.1% formed the rest of the age group comprising 35 years and above as presented in the table 4.2 below.

Table 4.2: Age of Respondent

Age Range	Frequency	Percentage
18-35 yrs	257	65%
36-60 yrs	97	25%
60+ yrs	42	11%
Total	396	100%

The study findings tend to resonate with the normal distribution curve's rule of thumb, which annotates that as you transition the age brackets, the frequency goes up then comes down. However, the presentation of age distribution in this study is slightly skewed to the left; a representation of a young population (18-35 years). The study findings coincide with the findings of the 2019 census which found out that majority of the study populations are youth aged between 20 and 34 years. Moreover, the study findings also concur with the findings of the KDHS (2014) survey which found that most of the Kenyan population are youth and middle age population. In the wake of devolution, major cities such as Kisumu city were converted to be the county headquarters. As such, most of the youthful population has migrated into the county headquarters as county staff, further accounting for the high youthful population within most of county headquarters such as Kisumu. In their various positions, the youthful population has been tasked with most of the county government roles owing to their much-needed energy, expertise

and agility to address most of the socio-economic challenges facing most of the county governments.

4.2.3 Gender of Respondent

The females were the majority at 206 (52%) as the males formed the minority at 190 (48%). This was a very fair distribution of gender; nearly equal proportions as presented in the figure 1 below. In Kenyan social context, the households are normally headed by males and the head of the household was the unit of data collection. This confirms the Kenya Demographic and Health Survey (2014) findings that male formed 72.7% of household headship in urban set up (p.50). From the data presented in the figure 1 below, a fair distribution of gender was realized due to various unique conditions such as gender roles which made females present in certain households during the study, hence most females in this study.

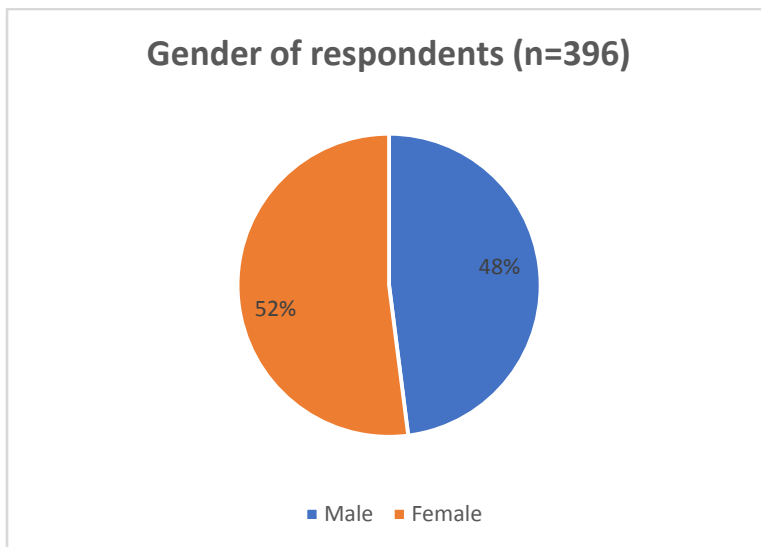


Figure 2: Gender of respondents

4.3 Public Information of laws and budgeting processes for public participation

This section presents descriptive analysis based on the findings obtained from this study. The study used percentages, graphs, and tables to present the study findings used in examining the level of public information of laws and budgeting processes for public participation. The results in this section have been corroborated with literature reviewed in chapter two.

Table 4.3: Public information of laws and budgeting processes (National and County) for public participation in the budget process in Kisumu County

		Sub-county			Total
		KISUMU CENTRAL	KISUMU EAST	SEME	
Awareness of laws on rights an entitlement to participate and influence development agendas	Yes	43(22.05%)	44(30.55%)	35(61.40%)	122(30.81%)
	No	144(73.85%)	94(65.29%)	20(35.09%)	258(65.15%)
	No response	8(4.10%)	6(4.16%)	2(3.51%)	16(4.04%)
Total		195(100.0)	144(100%)	57(100.0)	396(100.0%)

According to table 4.3 above, 30.81% (122) of the respondents were aware of county and national policies enabling meaningful budget participation. These respondents prominently mentioned the constitution of Kenya 2010 and were not aware of any other law that gives them entitlement to participate and influence the county budget process. The popularity of the constitution among these respondents can be attributed to the intense civic engagement conducted during and after the promulgation of the Constitution of Kenya 2010 at the grassroots.

Conversely, 65.15% (258) of the respondents were unaware of legislations and budgeting processes (national and county) that give them rights and entitlement to participate and influence the budget process. Generally, low awareness of civic rights was attributed to lack of civic education amongst the public. Based on the responses, the assumption is that whereas a third of the population in Kisumu County are aware of laws on rights and entitlement to participate and influence development agendas, two-thirds of the population are unaware of the same. The interpretation is that the level of awareness in Kisumu County on matters laws and entitlement to participate and influence development agendas is considerably low.

The results concur with studies by Hakijamii (2017) and Muchuma (2015) conducted in Nairobi and Isiolo Counties respectively which found out that knowledge of legislations and budgeting processes supporting budget participation was relatively low in the two counties. In as much as Isiolo, Nairobi, and Kisumu counties prevail on different socio-economic profiles, the resonance of the study findings in Kisumu, Nairobi and in Isiolo paints a general picture of low level of awareness of laws and policies on participation from one county to the other. After all, the three counties are in one country and the assumption is that they share several features; hence, a study in any of the three counties could be used to inform studies in other counties.

This finding also mirrors the finding from one of the literatures extensively reviewed from the works of Constitution Implementation Commission (2014) which equally attributed low civic awareness to lack of effective framework for engaging the public through civic education. The study further sort to understand the degree of awareness based on the geographical characterization between rural and urban sub-counties as presented in the Table 4.3 above. From the findings, there was disproportionate level of awareness amongst the three sub-Counties.

Seme sub-county (characteristically rural) had the highest proportion of citizens who were aware of laws that grants rights to participate in the budget process while Kisumu Central (characteristically urban) had the least at one fifth.

The research asked additional qualitative questions in this study area whose responses helped enhance understanding of disproportionate level of awareness between rural and urban sub-counties as well as the dynamics in the urban environment. First, respondents were asked on their experience on civic awareness activities. Some of the responses in Railways Ward (one of the wards in Kisumu Central Sub-County) included lack of civic education in the informal settlement; lack of structured and effective access to public information platforms as well as disillusionment and unwillingness to access available information on civic rights and responsibilities.

A female discussant from Railways Ward in Kisumu Central Sub-County said that,

We are not aware of these laws because there's little government focus on informal settlements. The government officers only come to us when they need some information from us, and we never see them again.

A female discussant in Railways Ward

In the case of high awareness of participatory laws in Seme sub-County, analysis of the research data pointed at two major factors, namely, increased civic education activities by civil society organizations such as Plan International, KEFEADO, and Transform and Empowerment (TEAM) in the rural areas and the use of media, particularly radio as a platform for civic education amongst the rural population. The findings presented above points at a critical and unique evidence which shows that the rural population is increasingly becoming more aware of the laws and policies that give them rights to participate in decision making processes. This is a

departure from the past study findings, which have reported low civic awareness in the rural population as compared to the urban counter parts (Malanilo 2014;Kimmage Development Study Center 2007) and lastly that the use of media as a platform for general information sharing and civic awareness has generally increased amongst the rural population. The increased use of radio as an information and awareness tool was due to its availability and frequent use amongst the rural households as compared to overreliance on Television in urban areas. These radios have also been used by NGOs as platforms for conducting civic education. This unique evidence reinforces the argument amongst the deliberative theorists that, legitimate decisions should be all-inclusive and supported by informed deliberations (Chambers, 2003). These findings further question the effectiveness of the county laws such as public participation Act enacted in 2015 to facilitate civic engagement and empower the public to understand their rights for meaningful participation

Table 4.4: Cross tabulation between Gender of the respondents and awareness of laws (National and county) that give the rights an entitlement to participate and influence development agendas

		Are you aware of laws (national and county)that give the rights an entitlement to participate and influence development agendas			Total
		Yes	No	No response	
Gender of the respondent	Male	74(38.95%)	111(58.42%)	5(2.63%)	190(100.0%)
	Female	48(23.30%)	147(71.36%)	11(5.34%)	206(100.0%)
Total		122(30.81%)	258(65.15%)	16(4.04%)	396(100.0%)

The relationship between gender of the respondent and awareness of laws (national and county) that give the rights an entitlement to participate and influence development agendas was statistically significant at 5% significance, $X^2=12.188$, $df=2$, $p=0.002$. The implication is that awareness of laws that give the rights and entitlement to participate and influence development agendas in Kisumu County is influenced by the gender considering the fact that majority of those who responded yes were males with the minority of those who indicated no are females.

The study further sought to ascertain the level of awareness of laws and policies between male and female and the youths in Kisumu County as presented in Table 4.4 above. Findings from Table 4.4 shows that 147 (71.36%) of women were not aware of the laws and policies giving them the right and entitlement for participation as compared to male at 111 (58.42%). The interpretation is that males are more informed than females in Kisumu County when it comes to knowledge or awareness of laws that give them entitlement to participate and influence development agenda. Such findings are consistent with the Chi-square test confirming a statistically significant relationship between gender and awareness or knowledge on the laws giving them entitlement to participate and influence development agendas.

In a bid to further offer more valid conclusions, the study performed oral interviews on the same. Based on the information from oral interviews, there was generally low and disproportionate awareness of legislations and budgeting processes on budget participation between male and female. Low awareness of legislations and budgeting processes was mainly attributed to lack of civic education amongst the public. The opinions of the female respondents in the interview provided additional unique evidence which revealed that gender roles and societal discrimination which edges them from accessing and understanding budget policies contributed to the low

awareness amongst women.

During FGD session, a woman discussant from Kolwa East Ward said, “*the women in this village have a lot of work in their homes. By the time we finish all the domestic chores, there’s no time to attend these participation things*”. Further, data from the FGDs demonstrated that limited access to budget documents and disempowerment and when necessary or needed implementation of public participation contributed to low level of awareness amongst women. These findings cement the ideals of deliberative theorist towards meaningful and legitimate participation in many ways. For them, meaningful participation is dependent on whether those who deliberate truly enter as equals and whether they are and have capacity to express their interests in equal terms (Lupia and Norton, 2017).

The findings above further expose the level of frustrations and powerlessness amongst women and other marginalized population to actively voice their concerns during public participation in Kisumu County. Additionally, these findings could imply that public participation Act maybe not be in operational or is not effective in ensuring marginalized communities are empowered and included in participatory budgeting in Kisumu County. These findings conform with findings from a study by Hakijamii (2015) which observed that more male respondents (52%) possessed knowledge on the laws, policies and processes at the county compared to female respondents (38%). Further the study by Hakijamii showed that, lack of awareness of these laws, policies and processes was also higher among female respondents at 56% compared to their male counterparts who stood at 40% and conclusions reached by Walker (2012) that illiteracy, powerlessness, and participation requirements imposed on the marginalized groups tend to impact negatively towards their meaningful participation in governance(Haki Jamii, 2015;

Walker, 2012). They further support argument held by deliberative theorists that structural inequalities in society can be impediment to the marginalized group’s ability to meaningfully deliberate and influence decision making processes (Mendelberg, 2002).

Studies (Hakijamii, 2015) have documented low awareness of budget policies amongst women with limited justification. This study while departing from this practice further investigated the reasons for low awareness of budget policies amongst women. These findings clearly show that systemic challenges and heavy domestic and economic responsibilities borne by women directly affects their meaningful participation in many folds; first, these responsibilities limit the time and opportunities women can use to access and acquaint themselves with the budget information, secondly, they deny women opportunities to meaningfully participate in decision making processes as well as continue to entrench male dominance over women.

Table 4.5: Cross tabulation between age and awareness of laws and policies which support citizens’ participation in the county planning and budgeting process.

Age Category	Awareness of laws and policies which support citizens’ participation in the county planning and budgeting process			Total
	Yes	No	No response	
18-35 years	67 (27.80%)	163 (67.63%)	11 (4.56%)	241 (60.85%)
36-60 years	35 (30.97%)	76 (67.26%)	2 (1.77%)	113 (28.54%)
61+ years	20 (47.62%)	19 (45.24%)	3 (7.14%)	42 (10.61%)
Total	122 (30.81%)	258 (65.15%)	16 (4.04%)	396 (100.00%)

The research further sought to assess the level of awareness of laws and policies amongst different age demographics as indicated in the table 4.5 above. The study revealed that the youths were the least aware at 67.63% (163) followed by the middle age at 67.62% (76) then the elderly at 45.24% (19). The conclusion from the responses is that awareness or knowledge of laws and policies supporting participation of citizen in the county's planning and budgeting process in Kisumu County is linked to age where the elderly have more knowledge than the young.

Like in the case of gender and awareness of laws and policy areas, the researcher asked additional qualitative questions through FGDs which helped to shed more light on the understanding of low level of awareness of fiscal laws and policies amongst the youth. In all the three youth FGD sessions, exclusion, and lack of prioritization of youth concerns were commonly mentioned as major contributions to lack of access to information and awareness of participation policies. Further, it was observed that the county website lacks updated budget information which makes access to information difficult even to the youth who may have access to internet and smart phones and that the Short Message System (SMS) systems established by the county as a platform for disseminating information is not active and does not reach majority of the public.

We are not involved in public participation and not even civic education has been done to the youth. So we have no information on budget process and related policies, making it difficult for us to participate. (A youth discussant during FGD in Kolwa)

Another youth discussant said that “*I have not received any SMS from the county government. It does not work ever since it was established.*” These findings are consistent with those of the World Bank (2015) which established limited online information on the counties’ websites. Other responses were that the youth particularly those from the rural areas and informal settlements lack economic power to sustain the internet connections as far as majority had digital phones. A male youth discussant reiterated that,

I have the phone that can connect to the internet, but I cannot sustain internet connections for a longer time to even download large documents such as copies of the budget due to lack of resources.

The findings of this study bring to the fore the juxtaposition of how low awareness amongst the youth stands oddly with the close relationship they have with their leaders. Quite often, youth have been used by the political class to advance and champion various political agenda within Kisumu County and even globally. This close relationship is expected to have led to increased level of civic knowledge amongst the youth. From the study findings, this seems not to be the case since the study reveals that youth were the least aware of budget policies at 163 (67.6%). This evidence shows the oppressive, power asymmetries and deliberate actions to perpetuate power imbalance between the leaders and the youth, consequently leading to a manipulative and tokenistic participation which is against the ideals of deliberative democracy (Lupia and Norton, 2017; Thomson, 2008).

The findings in this study area are inconsistent with the findings of Siala (2015), which generalized that youth participate more effectively in the budget processes. The findings in this study area instead infer that even in their collective participation, youth face unique and individual challenges ranging from socio-economic to systemic which hinders them from

actively accessing public information and awareness. It is also critical to note that minimal use of technological avenues by the county government contributed to low access to information and awareness of fiscal plans. Looking at the official websites and twitter accounts of the county, the study noted inactive usage of technological platforms as interactive avenues where the youth can access various policy instruments and be promptly updated on the budget process.

On the contrary, the research established that there was adequate awareness and knowledge of both the county level and national level laws on public participation among the county government officers. The legislations and budgeting processes identified by the key informant respondents other than the Constitution of Kenya included the Public Finance Management Act, 2012, Kisumu County Public Participation Act of 2015 and the Kisumu County Access to Information Act, 2015. The respondents, however, acknowledged that, though the Kisumu County Public Participation Act, 2015 had been passed by the County Assembly, it was yet to be operationalized. The understanding of laws and policies guiding public participation by the county officers affirmed the views obtained during literature review of the works of Berner, Justin and Ricardo (2011) that county officers themselves need the training and knowledge necessary to effectively survey and engage citizens, collect data and translate findings into meaningful statements to support informed deliberation.

One of the Key Informants stated that

County government officers are knowledgeable of the public participation policies, since we don't have enough staff; we get assistance from other department who may not be aware of budget policies.

Information relating to the knowledge of county specific budget policies and legislations was rated poorly because more than two thirds 286 (72.2%) of the respondents (public) were unaware of the county plans and policies which support budget process in Kisumu County while nearly one quarter 91 (23%) of the respondents were aware of the plans and policies as shown in table 4.6 below.

Public Awareness of county plans and Policies for budget process

This section presents descriptive analysis based on the findings obtained from this study. The study used percentages, graphs, and tables to present the study findings used in examining the level of public awareness of county plans, laws, and budgeting processes for public participation. The results in this section have been corroborated with literature reviewed in chapter two.

Table 4.6: Public awareness of county plans and policies which support county planning and budget process

		Sub-County Name			Total
		Kisumu Central	Kisumu East	Seme	
Awareness of county plans and documents on budget process	Yes	36(18.46%)	31(21.53%)	24(42.10%)	91(22.98%)
	No	152(77.95%)	105(72.92%)	29(50.88%)	286(72.22%)
	No response	7(3.59%)	8(5.55%)	4(7.02%)	19(4.80%)
Total		195 (100.0%)	144(100.0%)	57 (100.0%)	396 (100.0%)

According to the responses, majority of those who were aware of the plans and policies (42.10%) were from Seme Sub-county. The findings also showed that only 18.56% of those who were aware of the county plans and documents on budgeting process are from Kisumu Central. In addition, only 21.53% of the total individuals aware of county plans and documents on the budgeting process were from Kisumu East Sub-County. The findings imply that in Kisumu County, majority of those adequately informed or are aware of county plans and documents on the budget process are from Seme Sub-county with Kisumu East Sub-county having the lowest level of awareness among the three Sub-counties. The findings in this study area are a clear indication of the disproportionate level of awareness of laws and policies across the three sub-counties.

In a bid to augment the quantitative results, the research asked additional qualitative questions in this study area whose responses helped in understanding the disparity and complexity in level of understanding between different sub-counties. First, the common response amongst the participants on the high level of awareness of laws and policies in Seme Sub-County were like the justification provided on the findings in Table 4.3 above. Participants in the FGD sessions attributed high level of knowledge to the efforts of civil society organizations such as Plan International and TEAM who have implemented civic education in this sub-county. A common attribution to the high level of knowledge during the FGD in East Seme Ward was that NGOs such as Plan and TEAM have educated the public on the constitution and devolution. This has enlightened the public on their rights to participate in county governance.

Notably, reasons for low level of awareness of county plans and policies in Kisumu Central were varied across the respondents. They included exclusion, disempowerment, and lack of access to information amongst the population. One of the FGD discussant stated that, *“Here, we live in slums (Obunga slum). County officers do not visit us to educate us on public participation. We just see them constructing roads”* In all the sub-counties this study established that, low awareness was attributed to poor access to information particularly budget documents and minimal civic empowerment. This affirms the deliberative theory that anchors this study (Thompson, 2008). Meaningful policy deliberations happen when the public are knowledgeable and have access to critical information on the policy agenda under discussion. Equally, OECD (2014) asserts that all budget reports should be published fully, promptly and routinely, and in a way that is accessible to all citizens. Based on the findings above, investing in civic awareness improves the knowledge and capacity of the public to constructively deliberate with their leaders.

The findings in the study area contradicts findings from the research conducted by IEA (2015) in Kisumu which generally found out that the county government has been conducting public baraza’s on civic education. However, the findings in this study area established that there’s disproportionate access to information even in counties based in urban areas. Specifically, these findings revealed that there is low access to information amongst population residing in informal and low-income settlements. These findings concur with those held in a study by Hakijamii (2007) which found out that there was low access to information amongst population residing in low-income settlements.

The results were closely related to what was observed in table 4.7 below, which revealed that more than half (50%) were not aware of specific planning and budget documents. County Fiscal Strategy Paper (CFSP) was the least known policy document amongst the public. This corresponds to the observation where it was noted that attendance of the public during validation of CFSP was extremely low compared to the Annual Development Plan (ADP). In addition, these documents are presented to the public in a technical language hence they are unable to make meaning out of their content.

Table 4.7: Awareness on specific county planning and budget documents/policies

	Frequency	Percent
County integrated Development Plan (CIDP)	55	13.9
Annual Development Plan(ADP)	58	14.6
County Budget Review an Outlook paper(CBROP)	28	7.1
County Fiscal Strategy Paper (CFSP)	3	8
Budget Estimates	51	12.9
None	201	50.8
Total	396	100.0

From the findings above, 50.8% (201) of the respondents were not aware of any county planning and budget documents. In terms of awareness, 13.9% (55) of the respondents admitted to being aware of the Annual Development Plan(ADP), 14.6% (58) confirmed to being aware of the County Integrated Development, 7.1% (28) admitted to being aware of the County Budget Review and Outlook paper, 0.8% (3) were aware of the County Fiscal Strategy Paper, and only

12.9% (51) were aware of the budget estimates within the county. Based on the findings, it can be established that the least known to the respondents was the County Fiscal Strategy Paper. As noted in the literature reviewed, these findings clearly point out how access to information is central to realization of individual right to be informed and to participate in affairs of government.

The information provided by the key informants and the data presented in tables 4.3 to 4.7 above, prompts a conclusion from this chapter that there is low level of knowledge on budgeting processes amongst the public in Kisumu County. This can be attributed to lack of civic education to the public to create awareness on the already existing county policies promoting public participation. In addition, these findings could further lead to a conclusion that the public participation Act enacted in 2015 has not been effective in enhancing meaningful participation and that the County Government lacks effective systems and structures to facilitate easy access to public information such as public participation and budget policies. This conclusion cements the argument among deliberative theorists that absence of timely and relevant information and inclusion of all forms of views is likely to lead to ineffective participation and illegitimate outcomes.

CHAPTER FIVE

LEVEL OF PUBLIC PARTICIPATION IN THE BUDGETING PROCESS

IN KISUMU COUNTY

5.0 Introduction

The second objective of the study was to establish the level of public participation in the budget process. To attain this, the respondents were asked to provide responses to several questions relating to a set of precepts used to determine the level of participation. Informed by the criteria used by Arnstein's ladder, this study adopted five typologies: timely access to budget information, empowerment, direct participation, the degree of inclusion, feedback mechanisms and framework and mechanisms for participation as a determinant of the level of participation. This chapter presents the results and discussions of the data collected and analyzed in tables, graphs, and figures below.

5.1 Direct participation and Inclusion

Views of the public were sought regarding their direct participation and inclusion of the marginalized groups (youth, women, persons living with disabilities) during public participation. The results were analyzed and presented in Tables 5.1, 5.2, 5.3 and 5.4, 5.5 and figures 2 and 3 below.

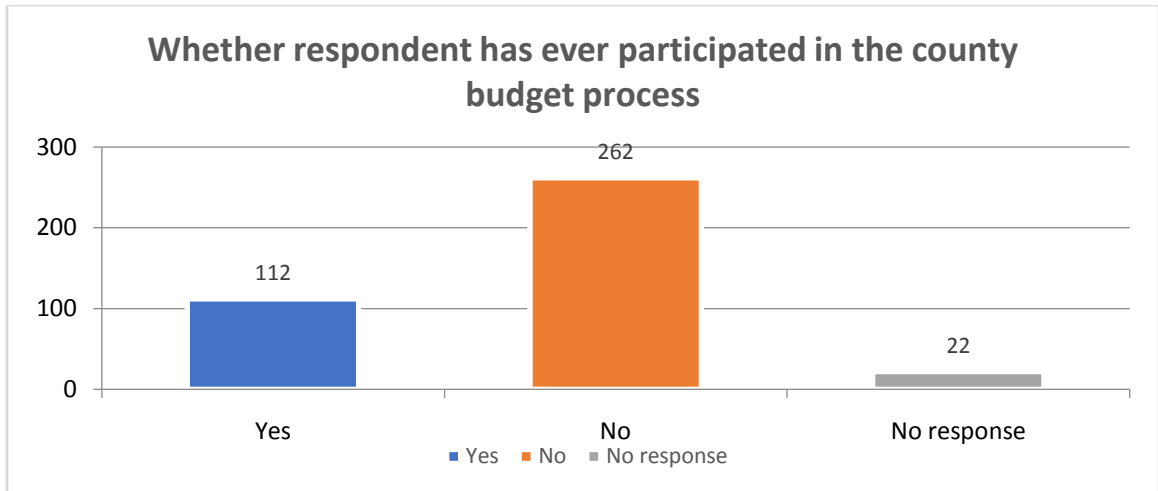


Figure 3: Participation of respondent in the county budget process

From the findings on the figure 2 above, 66.2% (262) indicated that they have never participated in the county budget process with only 28.3% (112) of the participants admitted having taken part in the county’s budget process. The study also indicated that 5.6% of the respondents did not respond, which could imply that they have very little information, if any, on the county budget process. Assumption and conclusion from the finding are low direct participation during budget participation in Kisumu County.

The researcher further observed and asked follow-up questions to examine how those who attended public participation engaged with the county officers. More than half 64(57.1%) participated by presenting their views verbally while 29(25.9%) asked questions. Findings from observation checklist however observed that majority of these questions were not relevant to the budget documents under discussion but majorly focused on the past projects as well as functions of national government. Further, responses of these questions were at the behest of the county officers while most went unattended to. Based on the results obtained in this study area, inviting the public to attend public participation forums is a notable step towards meaningful

participation, however, if the power to decide on who attends and how to facilitate the public meetings is still at the full behest of the power holders, then the whole process is a business of ticking the box.

Further, these study findings tend to question the operationalization and the effectiveness of the public participation Act, 2015 towards facilitating meaningful participation. The Act created an office of public participation which among other key functions is to ensure that public participation activities are inclusive of the broad spectrum of the public and not limited to the traditional sector stakeholders. With 262 (66.2%) of the public not participating in public participation processes already justifies that the functions and effectiveness of this law seems to be more in theory than practice. With Public Participation Act in its fifth year in existence, the result of this study rather implies that there's minimal political will and capacity from the county government to ensure and facilitate meaningful participation.

These findings however are consistent with those of Malanilo (2014) who established that majority of the public had never participated in the budget process at the Ward levels in Tanzania. The results offer a similar observation to the view by Einstein (1969) that citizens may indeed speak, hear and as well as be heard, however, as per the conditions from the findings above, they lack power to meaningfully deliberate. In the words of deliberative theorists, effective deliberations can be achieved in an environment or conditions which provide equal authority and chance of participation for all (Thompson 2008). In sum, effective engagement during public participation should be looked beyond the numbers to include how the people present during public participation engage with the government officials in an environment that

provides equal opportunity and balanced power relations between the government and the public.

Table 5.1: Cross Tabulation between age and direct participation

Age Category	Participation of respondent in the county budget process			Total
	Yes	No	No Response	
18-35 years	50 (20.75%)	172 (71.40%)	19 (7.88%)	241 (60.86%)
36-60 years	50 (44.25%)	62 (54.87%)	1 (0.88%)	113 (28.53%)
61+ years	12 (28.57%)	28 (66.67%)	2 (4.76%)	42 (10.61%)
Total	112 (28.28%)	262 (66.16%)	22 (5.56%)	396 (100.00%)

The study further sought to investigate the level of participation amongst youth in budget process as cross-tabulated and presented in table 5.1 above. From the findings above, 71.40% (172) of the youths have not participated in the budgeting processes followed by the elderly at 66.67% (28) while the majority of the middle-aged category (36-60 years) have directly participated as compared to the rest of the age categories. The study findings show a general picture of low direct participation at 112 (28.28%), it however presents a worrying finding of low participation amongst the vulnerable and marginalized population, particularly the youth and the elderly. Follow-up questions were asked to both youth and the elderly on their lack of participation during the focus group discussions. The main response to this question amongst the youth was that they have never received invitation to participate in county budget processes. While the elderly also mentioned the challenge of not receiving invitation to participate in the county budget processes, they also identified distance as another major challenge. These findings

together with those presented in table 4.5, 5.7 and 5.8 confirm how critical information is to meaningful participation.

We just hear that people are participating way long after the event has ended, but we have never received invitation to participation in the budget process. Last month, I heard that people went to Bwanda, but I don't know how they were invited.

A male youth Focus Group Discussant

A Female elderly focus group discussant said that *"We not only fail to receive the invitation, but even hear that these forums are taking places Kilometers away and we cannot walk long distance."*

The findings contradict those from a study conducted by Siala (2015) in Nairobi County, which found out that youth are directly participating in budget processes. However, this study did not provide reasons for increased youth participation.

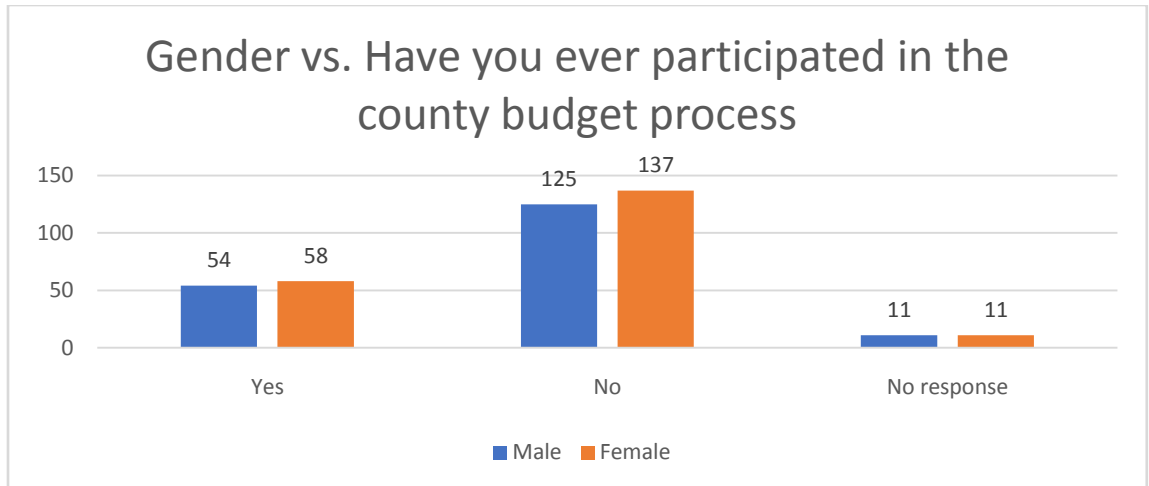


Figure 4: Gender of the respondent vs level of participation in the county budget processw

The study sought to ascertain the level of participation along the gender lens. From the cross tabulations in **Table 5.1**, the study found out that the relationship between gender and level of participation of the respondents was not statistically significant at 5% significance level, $X^2=0.046$, $df=2$, $p=0.977$. This could be attributed to lack of clear guidelines on how the county government addresses gender inclusion during public participation forums. Moreover, while Kisumu County Public Participation Act, 2015 provides for clear and deliberate actions for inclusion of vulnerable groups under section 22(3) (a—d), findings from the Director of planning revealed that this act has not been operationalized to allow these sections to take effect. However, one of the Key Informants from a Local NGO operating in Kisumu reiterated that, *“these laws are vague in terms of the number and representation of the vulnerable population in the budget process”*. The findings of this study concur with those from a study by International Alert in Rwanda which found out that attendance of women in participatory events were more than men, however, men actively participated than women (International Alert, 2012).

To further examine the dynamics and difference in direct participation between sub-counties/Wards in rural and urban setups, the researcher cross tabulated direct participation across the three sub-counties as presented in table 5.2 below.

Table 5.2: Cross-tabulation between participation in the county budget process and the Sub-County Name

Cross Tabulation between direct participation across the three Sub-Counties					
		KISUMU CENTRAL	KISUMU EAST	SEME	Total
Have you ever participated in the county budget process	Yes	63 (32.31%)	45 (31.25%)	4 (7.01%)	112 (28.28%)
	No	125 (64.10%)	93 (64.58%)	44 (77.19%)	262 (66.16%)
	No Response	7 (3.59%)	6 (4.16%)	9 (15.79%)	22 (5.56%)
Total	Count	195	144	57	396
	% Within Sub-county Name	100.0%	100.0%	100.0%	100.00%

According to the findings, 32.31%, 31.32%, and 7.01% of the respondents who admitted to having taken part in the county budget process are from Kisumu Central, Kisumu East, and Seme Sub-counties respectively. The implication is that majority of those who have participated in the budget process within Kisumu County are from Kisumu Central followed closely by respondents from Kisumu East. Seme Sub-County was the least represented. These findings from Seme Sub-Counties were further corroborated by an FGD respondents who said that,

Participation in the rural places like Seme is organized at Holo or sometimes at Kombewa which is very far from our homes. So we have to choose and juggle some of the responsibilities we have and attending those forums.

“A Female Youth Focus Group Discussant”, Seme Sub-County

Further analysis of these study findings infers that there is higher direct participation in urban than in rural areas. Similar findings were reported by Pandeya (2015) who established minimal direct participation during budget process in Nepal.

To further examine the reasons for non-participation, further questions were asked to those who never participated to provide their views as presented in table 5.3 below:

Table 5.3: Reason for non-participation in the budget process

Reasons for Non-participation	Frequency	Percent
Gave no reason	52	18.3
I don't feel like participating	41	14.4
I don't have the time	39	13.7
I was not aware I should participate	76	26.8
I was not informed	76	26.8
Total	284	100.0

For those who had not participated in the county budget process, majority at 152(53.6%) did not participate due to lack of information, 52(18.3%) gave no reason for not participating, 41(14.4%) did not feel like participating, while the minority at 39(13.7%) lacked the time to participate in the budgeting process.

Further critical analysis of the study findings according to sub-counties revealed that majority of those who were neither aware that they should participate were from Seme Sub-County at 26.8%. To a reasonable extent, this comparative analysis further justifies reasons for low direct participation in Seme despite high awareness of knowledge of budget processes. In addition, distance was considered a contributing factor to low direct participation, particularly in Seme Sub-County as per the data presented in Table 6.2. These findings were supported by views from the participants in FGD sessions. For example, a Woman FGD discussant from East Seme Ward said that, “Public participation is always in Holo center which is many Kilometers away from where I live. Sometimes, I get the information late and I cannot manage to catch up due to distance.”

Comparison of the study findings in Table 4.6 and 4.3 provide several noteworthy evidence in the field of public participation. First, the findings show that understanding of rights and possession of civic knowledge may not result into direct and meaningful participation by the public as evident in the case of Seme Sub-County. Secondly, while the public may be empowered through civic education as the case of Seme Sub-County, effective and meaningful participation may still further be hampered by geographic, systemic, and socio-economic factors such as distance to participatory venues, lack of access to public information and poor or selective mobilization strategies. This is clearly demonstrated by 66.7% respondents from Seme who said they were not able to participate because they were not informed of the event as well as only 25% of respondents were able to access timely budget information. Lastly, people based in urban will participate more than those in the rural irrespective of their civic knowledge due to other factors such as their proximity to ‘power’ and county governance structures, easier access to information and shorter distances to participation forums.

This critical observation offers a stronger credence to the views obtained during the literature review on the works of World Bank (2007) that even in countries where participants’ education and their civic knowledge is higher, there is wide variation in the quality and nature of participation due to socio-economic and demographic factors. Further, the literature concurred that due to centralization of public participation at the counties, distance has been one of the major impediments to direct participation (World Bank, 2015).

Theorists of deliberative democracy looks at how participatory processes moderate interests through individual rights and popular sovereignty. It studies and evaluates how inclusive are forums, venues and public spaces as well as outcomes of deliberations (Chambers, 2003). In

addition, Kenya’s constitution 2010 and other related laws lays strong emphasis on inclusion of the marginalized communities in decision making process as a mechanism of achieving meaningful participation and legitimizing participatory outcomes. The research further established the views of the participants to examine to what extent they find the public participation forums inclusive as presented in table 5.4 below.

Table 5.4: Participation meetings/forums are always representative

	Frequency	Percent
Strongly Disagree	100	25.3
Disagree	154	38.9
Neither Agree nor Disagree	41	10.4
Agree	94	23.7
Strongly Agree	7	1.8
Total	396	100.0

From the findings above, it was popular among 254(64.2%) of the respondents that participation meetings/forums were never representative, 101(25.5%) stated that participation meetings/forums were always representative while the least number of respondents at 41(10.4%) were unclear whether the participation meetings/forums were always representative or not. These findings mirror a conclusion of a study by Comitato International per lo Sviluppo dei Popoli (CISP) (2017) in Mombasa County which concluded that public participation is low and ineffective due to poor mobilization strategies and inadequate and delayed budget information from the county officers. Conversely, they negate the view of Habermas (1989) who posits that participation processes must include all affected by a decision in disregard of the social status of

the participants. This implies that effective participation demands not only inclusion of each individual but also that they should have an equal say in the outcome of a policy decision.

Other scholars and budget experts have also voiced concerns about the need for the public and marginalized groups to be active agents and should be included in the budget process. OECD (2014) notes that debate on budgetary choices should be inclusive, participative, and realistic (OECD, 2014) while UNDP, 2009 cautions that there is a need to be aware of the strong possibility of elite capture during budget process, within the government but also within civil society and other groups purporting to represent the ‘voice’ and interests of the marginalized (UNDP, 2009).

According to Fox and Miller (1996) as quoted by Moynihan (2003), participation should be authentic and have a genuine impact on public decisions (Moynihan, 2003). Under direct participation, each member of the public has equal chance for contribution and their decisions should form part of the outcome of the budget process. However, Moynihan (2007) cautions that, fostering inclusive and effective participation in developing countries is particularly difficult because governments are not inclined to share decision- making power with the public. Table 5.5 below shows findings on the perception of the public on whether their proposals have been adopted by the county government (Moynihan, 2007).

Table 5.5: Community proposals have been adopted by the county government

	Frequency	Percent
Strongly Disagree	84	21.2
Disagree	140	35.4
Neither Agree nor Disagree	50	12.6
Agree	97	24.5
Strongly Agree	25	6.3
Total	396	100.0

More than half of the respondents at 224(56.6%) stated that the community proposals had not been adopted by the county government, 122(30.8%) stated that the proposals had been adopted as the minority at 50(12.6%) uncertain whether they had been adopted or not. However, the views from the key informants from the county government had contrary opinion and confirmed that the public have responded to public participation through reading budget documents, asking pertinent questions, making suggestions for additions, objecting, and even approving proposals.

Director of Budget highlighted a case where the public objected to a county proposition.

There was a time in FY 15/16 when the department of green energy proposed to purchase a bus using ethanol from Bondo to Kisumu town for an experiment. When this proposal was taken to the public, they objected and suggested that the money be transferred to purchase solar lamps which were their immediate need and the county accepted.

Director of Budget, Kisumu County.

In contrast, respondents from civil society organizations perceive lack of commitment from the county government to facilitate effective public participation as asserted by one of the Key Informant that, *“The County doesn’t take the role of citizens in the budget process seriously. Hence they don’t see the value of participation.”* This was further supported by the observation findings during the public participation forum where majority of the participants expressed their concern of lack of incorporation of their wish list in the budgeting process. In one of the extensively reviewed literature, Arnstein (1969), cautions that, when power holders restrict the input of citizen’s ideas, participation remains solely a window-dressing ritual. Further, deliberative theorists also stress that meaningful participation should be legitimate. Implying that the outcomes of such deliberations should reflect the voices and interests of those who participated (Chambers 2003).

Section 22 (3) of Kisumu County Public Participation Act, 2015 compels the county government to establish mechanisms of inclusion of the marginalized groups such as persons with disabilities, the elderly, women, children, and youth during public participation (GoK, 2015). While Article 56 (a) of the CoK, 2010 compels county governments to put in place affirmative action programmes designed to ensure minorities and marginalized groups participate and are represented in governance and other spheres of life (GoK, 2010). Under direct participation, the public has equal say on the outcome of the budget process. However, these findings casts doubt on the effectiveness of the existing public participation Act, 2015 on facilitating the inclusion of the voices and interests of marginalized in decision making process.

Critical examination of the findings above, it can be concluded that there is low direct and active participation in Kisumu County. The results further reveal that inclusion of the marginalized groups during the budget process is equally minimal. Conclusively, the study attributes low direct participation and lack of inclusiveness to factors such as lack of awareness of the right to participate by the public, exclusion of the marginalized, general apathy and skewed and ineffective mobilization strategies employed by county government as they invite the public for public participation. This conclusion is in line with those of World Bank (2007) which listed apathy, lack of awareness of participatory budgeting and perception of partisanship as some of the major contributor to minimal direct participation.

5.2 Access to budget information

Respondents were asked a set of questions on access to information related to public participation in budget and budgeting processes within the county government. Table 5.6 and Fig 4 below show the responses on the degree and avenues used by the county government to share information.

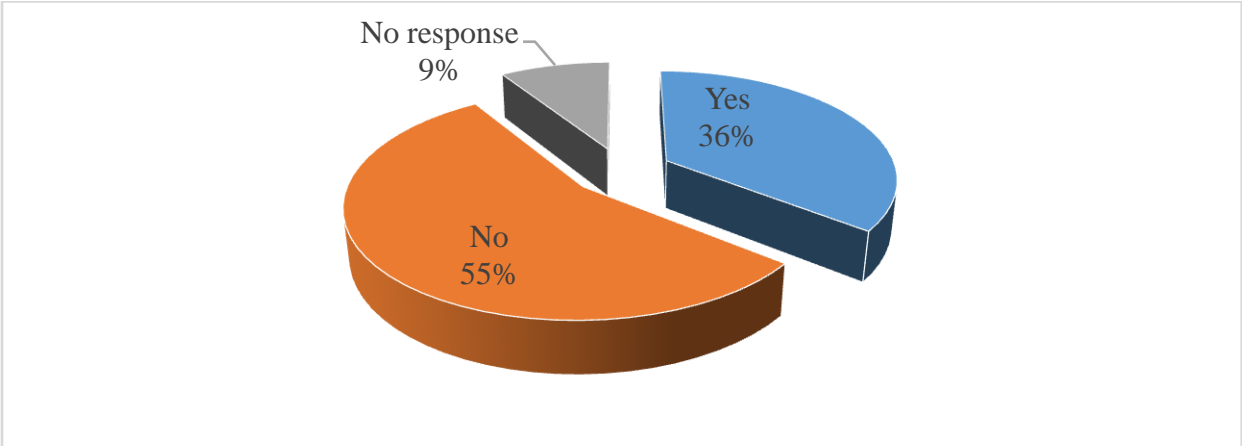


Figure5:Level of access to budget information amongst the public

Table 5.6: Respondents access to budget information at the sub-counties

		Sub-County			Total
		KISUMU CENTRAL	KISUMU EAST	SEME	
Access to budget information from the county government	Yes	76(38.97%)	61(42.36%)	4(7.01%)	141(35.61%)
	No	106(54.36%)	73(50.69%)	40(70.18%)	219(55.30%)
	No response	13(6.67%)	10(6.94%)	13(22.81%)	36(9.09%)
Total		195(100.0%)	144(100.0%)	57(100.0%)	396(100.0%)

From the responses in Table 5.6, the study noted that of the participants who have had access to budget information from the county government, 42,36% are from Kisumu East Sub-County, 38.97% are from Kisumu Central Sub-County, and only 7.01% are from Seme Sub-County. Such findings confirm disproportionate access to budget information with the sub-county furthest from the county headquarters exhibiting the lowest level. It is also important to note that 55.3% of the total respondents in Kisumu County do not have access to budget information with only 35.61% admitted to having access to budget information. The interpretation is that Kisumu County has substantially low-level access to budget information from the county government. Moreover, the findings also mean that access to information differed geographically amongst sub-counties/wards in urban and those in the rural. Seme sub-county, which is situated in rural setting, had the largest number of respondents who were not able to access budget information as compared to Kisumu Central sub-county which is situated in urban and Kisumu East which is considered peri urban.

These findings are inconsistent with those in table 4.6 which found out that awareness level is higher in Seme as compared to other sub-counties. Ideally, one would reason that the level of awareness should be directly proportional to the level of access to information. The findings of this study tend to depart this reasoning from many fronts. First, low access to information in Seme was because of lack of access to information structures such as notice boards within ward offices which are frequently used by the public as compared to the ones in urban areas. From observation, the ward administrative office in East Seme Ward was a case in point. Additionally, the sub-counties in the rural are geographically situated far from the county headquarters which is the major source of information. While these were some of the reasons for low access to information in Seme, the high level of awareness was as a result of increased civic education conducted by NGOs as previously explained in chapter 4. This study has therefore found out that while civic education increases the level of awareness, conversely, effective structures and channels is a critical determinant to how the public access public information.

These findings concur with the conclusions from World Bank (2015) that most counties are yet to develop effective and functioning structures for timely access to information hence some county officers take advantage of this situation to hoard information from the public. Additionally, the findings also corroborate the literature reviewed by World Bank (2015b) which observed that while some counties have taken steps toward putting in place communication frameworks to facilitate access to timely information, there is limited implementation of access to information provisions across the 47 counties.

Table 5.7: Cross Tabulation of Access to information and direct participation

Cross Tabulation of Access to information and direct participation						
Sub-county Name			Have you ever participated in the county budget process			Total
			Yes	No	No response	
KISUMU CENTRAL	Do you have access to budget information from the county government	Yes	59.2%	39.5%	1.3%	100.0%
		No	16.0%	78.3%	5.7%	100.0%
		No response	7.7%	92.3%		100.0%
	Total	32.3%	64.1%	3.6%	100.0%	
KISUMU EAST	Do you have access to budget information from the county government	Yes	62.3%	37.7%		100.0%
		No	9.6%	86.3%	4.1%	100.0%
		No response		70.0%	30.0%	100.0%
	Total	31.3%	64.6%	4.2%	100.0%	
SEME	Do you have access to budget information from the county government	Yes	25.0%	75.0%		100.0%
		No	7.5%	87.5%	5.0%	100.0%
		No response		46.2%	53.8%	100.0%
	Total	7.0%	77.2%	15.8%	100.0%	
Total	Do you have access to budget information from the county government	Yes	59.6%	39.7%	0.7%	100.0%
		No	12.3%	82.6%	5.0%	100.0%
		No response	2.8%	69.4%	27.8%	100.0%
	Total	28.3%	66.2%	5.6%	100.0%	

The findings from table 5.7 above established that access to information is a critical component towards meaningful participation. According to the findings, of the participants who have access to budget information from the county government and have admitted to having participated in

the county budget process, 62.3% are from Kisumu East, 59.2% are from Kisumu Central, and only 25.0% are from Seme Sub-County. Study findings further show that of the participants who have had access to budget information but admitted not to have taken part in the budget process, 75.0% are from Seme, 37.7% from Kisumu East, and 39.5% are from Kisumu Central. Looking at the total, the study noted that for participants having access to budget information and have participated in budgeting process, 32.3% are from Kisumu Central, 31.3% are from Kisumu East, and 28.3% are from Seme Sub-county. For those who have had access to budget information but have not participated in the budgeting process, 77.2% are from Seme, 64.6% are from Kisumu East, and 64.1% are from Kisumu Central. In general, while 59.6% of the participants in Kisumu County who have had access to budget information have also participated in budgeting process, 39.7% have had access but did not participate in the budgeting process. The findings contained in cross-tabulation and critical analysis lead to a justification that timely access to budget information plays a crucial role towards increased participation. These findings corroborate with those by Malanilo (2014) who established that access to information increased participation of citizens in the budgeting processes in Tanzania. This evidence also cements the views by CIC (2014) and deliberative theorists (Chambers, 2003) who also opine that public communication and access to information is an essential component of public participation.

To a reasonable extent, the results from this study finding contradicts studies by Malanilo (2014) and Masiya et al (2019) that access to public information increases public participation. Departing from this view, further analysis into the study findings have shown that access to information to a reasonable extend may not lead to increased participation. This is evident in the case of Seme sub-county which has shown that despite having access to information, minimal

participation from the public was still witnessed at 25%. This could be attributed to various factors such as distance to participation events and poor mobilization strategies evidently discussed in chapter six.

In understanding the depth of disproportionate access to information amongst different age categories as presented in table 5.8 below, the researcher conducted cross tabulation and further conducted independent analysis on those who accessed information within these age categories. The findings were presented as per table 5.8 below.

Table 5.8: Cross tabulation of Access to information and age

Age Category	Cross tabulation of access to budget information from the county government and Age		
	Yes	No	No Response
18-35 years	80 (33.2%)	140 (58.1%)	21 (8.7%)
36-60 years	50 (44.2%)	52 (46.0%)	11 (9.7%)
61+ years	11 (26.2%)	27 (64.3%)	4 (9.5%)
Total	141 (35.6%)	219 (55.3%)	36 (9.1%)

Based on the responses, only 35.6% of the participants admitted to having access to the budget information with the remaining 55.3% indicating that they have no access to such information.

The interpretation is that more than half of the residents in Kisumu County have no access to budget information with only approximately a third having such access. In addition, the study established that of the participants that have access to budget information from the county government, 44.2% are between ages 36 and 60 years, 33.2% between 18 and 35 years, and 26.2% above 60 years. The implication is that majority of respondents in Kisumu County who have access to the budget information from the county government are adults followed closely by the youth with the elderly being the least represented in the access of the budget information. In addition, the responses indicate that majority of respondents who do not have access to budget data are the elderly at 64.3% followed by the youth at 58.1% and the adults at 46.0%.

While this study finding paints a general picture of low access to budget information across the entire population, it however presents a unique finding of low access to information amongst the vulnerable and marginalized population, particularly the youth and the elderly. From the findings above, the middle-aged category (36-60 years) have easy access to budget information as compared to the rest of the age categories. According to the findings, the elderly are the least when it comes to accessing budget information followed by the youth and lastly teenagers (18-35 years). Additionally, it was further established from the observational check list that the budget information was available just at the time when public participation was starting. Hence the public did not have adequate time to read and understand the content of the document. This led to majority of the participants not able to adequately contribute to the budget process resulting to ineffective participation during the budget process. Similar findings were observed by HakiJamii which found out that 78% of the respondents did not have access to timely budget information in Nairobi County (Haki Jamii, 2017).

These findings further strengthen World Bank (2015) argument that without proper and effective framework for accessing information, policy initiatives such as budgeting and planning cannot be effectively fulfilled. Deliberative theorists observe that access to relevant and timely information amongst the public enhances the quality, rationality, and substance of participation (Chambers, 2003). Based on the findings above, it can be argued that limited access to budget information amongst the elderly and youths have direct effect on their meaningful participation in the budget process. This is further evident by the fact that majority of the public who accessed budget information eventually participated in the budget processes.

To further determine the specific budget documents accessible to the public, respondents were asked whether they had accessed a set of budget policies as listed in table 5.9 below. Few respondents had accessed all the budget documents with CFSP and approved budget being the least accessed budget document at 2 (1%) and 12(8%) respectively. A female discussant from Kolwa East Ward confirmed that, *“I happened to have seen one accidentally when I went for some checkup in Chiga health center from a friend.”*

Table 5.9: Budget information documents accessible to citizens

	Frequency	Percent
County Integrated Development Plan(CIPD)	39	27.7%
Annual Development Plan(ADP)	38	27%
County Budget Review and Outlook paper(CBROP)	19	13.5%
County Fiscal strategy paper	2	1.4%
Budget Estimate	31	22%
The Approved Budget	12	8.5%
Total	141	100.0%

The study established that the most accessible budget information from the county government was the County Integrated Development Plan (CIDP) 39(27.7%) and the Annual Development Plan (ADP) 38(27%) as mentioned by more than one quarter of the respondents. The County Fiscal strategy paper and the approved budget was the least accessible. This means that, lack of awareness of certain budget documents and policies results to them not being accessed by the public hence compromising the quality and effectiveness of public participation. These study findings are in line with the TI (2014) who assessed the awareness and appreciation of devolved governance structure in Kenya and established that County Fiscal Strategy Paper was among the least accessible budget document. However, same findings contradict the constitution of Kenya and the 2012 Public Finance Management Act (GoK, 2012) that requires counties to publish budget information during all the stages of formulation, approval, implementation, and audit of the budget cycle so as to ensure effective public participation.

From the Focused Group Discussion, one of the discussants confessed of having no idea of other budget policies other than the budget as expressed by a youth discussant from Kolwa East sub-county;

We know of no other document apart from the budget. ...No one has accessed any of the FY approved budget. Although it is rumored that some of the public have access to the proposed 2015/2016 budget, we still don't know who they are hence it's hard to conclude its presence. (A youth discussant from Kolwa East sub-County).

The responses show disproportionate access to information amongst different groups particularly marginalized groups such as youth, the elderly, PLWDs and women which negates the fundamental principle of protection and promotion of the interest and rights of minorities, marginalized groups and communities and their access to relevant information as prescribed in Kisumu County Public Participation Act, 2015, The Public Finance Management Act, 2012 and County Government Act, 2012 (GoK, 2012).

Asked about why they did not have access to the budget information documents, the respondents cited lack of information on the existence of such budget documents, non-attendance of public forums, non-proximity to county offices and corruption among the county leaders hence concealing information from the public.

NGOs and Civil Society groups have been getting information through CSOs technical working group, hence its easier for elite to get information that the common man. However, county has not done much to improve access to budget information, added the Key Informant from Local NGO working in Kisumu County.

In addition, it was also noted from Observation of various public participation events that there was no representation of people with disabilities during the public participation in budget making process. This lack of representation of the vulnerable population exacerbates their limited awareness and access to budget information and meaningful participation.

Timely access to clear and adequate budget information enhances effective and quality public participation. OECD (2014), emphasizes that, “accessibility” also requires that detailed budget information can be understood by citizens. While (IDS, 2010) stresses that simply placing more budget information in the public domain will not have an impact unless citizens can understand it and have the legal and institutional channels to use it. Therefore, meaningful, and effective participation can be realized when the county governments establish structures and avenues that facilitates access to timely, relevant and comprehensible budget information.

5.3 Empowerment

The study sought to investigate the degree of empowerment of the public to participate in the budget process. Respondents were asked a set of questions ranging from civic education, understanding of the budget process, time frame of participation and to actual participation. Table 5.10 and 5.11 shows the responses of the respondents on the level of empowerment.

Table 5.10: Respondents’ understanding of the county government planning and budgeting process

	Frequency	Percent
Strongly Disagree	66	16.7
Disagree	186	47.0
Neither Agree nor Disagree	44	11.1
Agree	89	22.5
Strongly Agree	11	2.8
Total	396	100.0

Evidence presented in table 5.10 above shows that more than half 252(63.7%) of the respondents did not understand the county government planning and budgeting process while only 100(25.3%) understood the planning and budget process. This implies that majority of the public could not meaningfully participate in the county budget making processes due to lack of understanding of the process. Effective and informed public participation requires knowledge and awareness of participatory process. Hence participation is complex when the people are not knowledgeable (Fishkin, 2018). These findings are inconsistent with those by Masiya et al (2019) who found that majority of the respondents were not knowledgeable of the public participation processes in municipal service delivery in South Africa.

Further questions were asked to the respondents on their ability to read and understand policies guiding budget process as presented in the table 5.11 below.

Table 5.11: Respondents ability to read and understood policies guiding budget process

	Frequency	Percent
Public Finance Management Act, 2012	49	12.4
County Integrated Development Plan(CIDP)	43	10.9
Annual Development Plan(ADP)	31	7.8
County Budget Review and Outlook paper	28	7.1
County Fiscal strategy paper	7	1.8
Not read and understood policies guiding budget process	238	60.1
Total	396	100.0

Findings from table 5.11 shows that more than half of the respondents at 238 (60.1%) had not read and understood policies guiding the budget process. These findings could infer lack of civic education and awareness amongst the public on crucial budget process and policy documents. The findings from the FGDs further confirms this and links weak empowerment to lack of civic education on the citizens' rights and budget process to the public. A Youth discussant in the male and female FGD in Railways Ward said that "*We do not know the county budgeting and planning process, but we just hear that the budget was already passed.*"

The findings from this study area concurs with those from a study conducted by Sikika (2012) in Tanzania which observed that even amongst the respondents who confirmed their awareness of the fiscal documents had limited understanding of their contents. This was largely attributed to the technicality of language used during this process and lack of civic education. The findings of this study contributed to the literature reviewed in several ways. First, in the views of Bramwell and Sharman (1999) cited by Marzuki (2015) justify the fact that effective public participation is difficult to achieve if the residents are not equally represented within or as part of the whole group of stakeholders. To them, equal representation refers to the stakeholders' capacity to understand and comprehend the proposed development specifically and knowledge in planning generally. Arnstein (1969) equally argued that informing citizens of their rights, responsibilities and options can be the most important first step towards legitimate citizens' participation (Arnstein, 1969). The views of these scholars underscore one of the tenets of deliberative theory that empowering the public is one step towards achieving healthy deliberations (Chambers 2003).

In relation to empowerment, the study established that there's low capacity amongst the public to read and understand complex budget policies and processes. Further, the study established that the public lacks basic understanding of key budget documents which enables them to meaningfully participate leading to a conclusion that there is minimal capacity from the public to participate in the budgeting processes effectively and actively. On the other hand, the capacity of the county officers is relatively low to organize and facilitate effective deliberation with the public on matters of the budget. It behooves the county government as the organizers of public participation to empower her citizenry and consider the capacity of the citizens as they design civic education programmes that maximize their full participation.

5.4 Feedback Mechanisms

Views of the public were sought on the mechanisms of feedback processes during public participation in the budget process. The results were analyzed and presented in Table 5.12 below.

Table 5.12: County government has given feedback for the adopted and rejected projects proposals.

	Frequency	Percent
Strongly Disagree	92	23.2
Disagree	156	39.4
Neither Agree nor Disagree	43	10.9
Agree	92	23.2
Strongly Agree	13	3.3
Total	396	100.0

Evidence from the study findings, shows that more than half of the respondents at 248(62.6%), stated that the county government does not give feedback for the adopted and rejected projects proposals, 105(26.5%) stated that the county government gives feedback for the project proposals not budgeted for with reasons while the minority at 43(10.9%) were undecided whether the county government does give feedback for the projects proposals not budgeted for with reasons or not. A youth respondent in the male and female FGD in Kolwa Central Ward said that “*Feedback is a challenge as only those close to the leaders get information and keep it to themselves.*” These views contradict the key functions mentioned in the Kisumu Public Participation Act inter alia, Section 8 (2)(m) and 22(2)(e) directs the county government to establish effective feedback mechanisms and provide timely feedback information to the public.

These views however support the findings of the study by IBP (2014) which revealed that in cases where feedback was a requirement during the meeting, people with views opposed to the Governor were not allowed to express themselves (IBP, 2014). These findings were supported by views from civil society organizations who felt that county government has not done much to initiate effective feedback mechanism.

On paper, the County has laws such as Public Participation Act which should support development of feedback mechanisms, but this law has not been operationalized hence not proper feedback mechanisms developed. (A Key Informant from a Local NGO operating in Kisumu County).

Views from key informants on the contrary established that the County has put in place various structures such as SMS system, devolved Ward Units and website which are used as feedback mechanisms. In addition, County government officers have been facilitating feedback

mechanisms during the budget hearings. Director planning confirmed that, “The county established an SMS platform to collect feedback from the public. The county also uses public participation platforms to receive and provide feedback to the public”.

While director of budget further added that;

The county has devolved administrative structures to the ward level which are used as feedback mechanisms. Feedback is also received and acted upon during public participation forums and lastly the budget directorate also publishes quarterly reports which are submitted to the assembly for feedback on performance. Director of Budget, Kisumu County

The study supports the findings by GROOTS (2013) which found out that there are inefficient feedback mechanism processes in Counties of Kitui, Kwale and Laikipia (GROOTS, 2013). The study results further offer a strong support to the reviewed literature of the World Bank (2015) which stated that in most counties, effective feedback mechanisms have not been properly constituted. Kisumu County Public Participation Act, 2015 under section 8 (2) (m), requires the office of public participation to establish feedback process to the public including opportunities for the public to forward additional comments and complains to input to the decision taken during public participation (GoK, 2015). This is contrary to the practice during public participation as revealed by the study findings. The absence of effective feedback mechanisms implies that; the established policy has minimal impact on the nature of public participation in Kisumu County. Effective public participation is arrived at when citizens directly interact with their government and receive feedback on their interests from the onset of budget formation stage to implementation stage.

5.5 Framework and mechanisms for Public Participation

Views of the Key informants were sought on the existing framework and mechanisms for public participation in Kisumu County. From the key informant interviews, the study established that, the county government is operating on a framework established by Public Finance Management Act, 2012 and County Government Act, 2012 to facilitate public participation in the budget processes. Further, in 2015, the county enacted Public Participation Act, 2015; however, the study established that the act has not been operationalized since its enactment. Further findings established that, the county has devolved her structures to the ward level and uses ward administrators to mobilize and organize budget forums within the wards as confirmed by Director of Budget. *“Public participation is done at the Ward Level, apart from certain budget policy documents such as CFSP which is done at sub-county level due to its technicality.”* However, these forums are deemed not representative as per the earlier findings in table 5.4 due to poor and skewed mobilization strategies which tend to exclude majority from participating. In addition, from observation, the forums were viewed as avenues to affirm what is already decided within the government plans due to rushed deliberation processes which granted limited time for the public to make their contributions.

Other than the forums, the public have other participation avenues such as sector meetings with business communities, professionals, marginalized groups such as women, persons with disabilities and youth which are largely organized by County Budget and Economic Forum (CBEF). A member of CBEF said that,

CBEF has ensured that the constituencies we represent get information on the budget participation dates, inform the public on county budget priorities through sector meetings. We also ensure that the county has advertised and disseminated budget information to the public.(A key Informant representing CBEF).

The findings corroborate findings from a study by CISP (2017) which established the use of structures such as ward administrators as organizers of public participation. These findings further concur with the tenets of deliberative theory which posits that well-informed and productive deliberations can best be achieved within a systematic and structured process (Chambers, 2003). Further, County Government Act, 2012 reinforces the importance of public participation and directs county governments to facilitate the establishment of modalities and platforms for citizen participation by employing media such as town hall meetings and other information and technology-based technologies (GoK, 2012). Meaningful participation can be best realized within a guided and structured framework for participation.

In this chapter, the study concluded that there is low level of participation in Kisumu County and especially amongst the marginalized groups such as elderly, women and youth. The study attributes the low level of participation to a couple of determinants. First, the study established that there's minimal direct and active participation amongst the public and that while access to timely budget information is generally low across the county, rural areas have least access to information than urban areas. Further, access to information is minimal amongst the marginalized and vulnerable groups such as PLWDs, the youth and elderly as compared to the middle age population. Secondly, the study established that there is minimal empowerment from

the public to participate in the budgeting processes due effectively and actively to their inability to read and understand complex budget policy documents. On the other hand, while the county officers showed high level of knowledge on budget process and policies, their capacity to organize and facilitate effective deliberation with the public on matters of the budget was relatively low. There were notable efforts towards establishing effective feedback mechanisms through use of wards and sub-county offices and technology platforms such as SMS and websites, however the study found them not effective. For instance, evidence from the study showed that the SMS system was operations and website not up to date with the budget policy documents.

CHAPTER SIX

BARRIERS TO PUBLIC PARTICIPATION IN BUDGETING PROCESS IN KISUMU COUNTY

6.1 Introduction

This chapter presents the findings of the views of the public and county government officers on barriers to meaningful public participation. The researcher further analyzed, presented and discussed the findings in tables 6.1 and 6.2 below:

6.2 Barriers faced by the public during public participation in budget processes

The study established that the public face numerous challenges which disproportionately affected the public. Evidence presented in table 6.1 below, shows that lack of civic education was the main constraint to meaningful participation as indicated by 142 (35.9%) while 106(26.8%) stated poor mobilization strategies. Other key barriers mentioned were delayed information on the budget documents, lack of policy framework on public participation, lack of adequate information on budget participation days, long distance to participation venues, language barrier and slow implementation of the existing policies.

Table 6.1: Main constraints faced by the public during budget process in Kisumu County

	Frequency	Percent
Lack of civic education on the budget process	142	35.9
Delayed information on the budget documents	45	11.4
Poor mobilization strategies	106	26.8
Lack of adequate information on budget participation days	19	4.8
Long distance to participation venues	7	1.8
Language barriers	6	1.5
Lack of policy framework on public participation	25	6.3
Slow implementation of the existing policies	5	1.3
All the above	39	9.8
Others	2	.5
Total	396	100.0

In addition to the results obtained from the household surveys, the researcher further asked open ended questions whose responses provided further clarity to the results above. Respondents were asked some of the challenges which disproportionately affected them. Findings from the FGDs and KIIs reaffirmed that difficulty in getting budget information, discrimination along gender

lens, particularly on women and lack of awareness on the budget process amongst the public were the major challenges; One discussant in the female FGD stated that, *“Civic education is a major challenge as we know less about the county government and its activities.”* Another Elderly FGD discussant opined that, *“There is poor communication and lack of civic education as people cannot differentiate between national government projects and county government projects.”* This observation was equally noted by the Director of budget who said that; *“Majority are not aware of the roles of county government and most of the time propose national government functions which end up not budgeted for by the county.”* These findings negate the views by deliberative theorists who argue that civic empowerment hold the most promise in achieving meaningful participation (Cooper et al, 2006). Young and Pandey (2011) emphasized that the quality of public participation is determined by the citizenship education and civic awareness.

Minority groups such as women, youth, persons with disability and elderly were seen to have more challenges than the rest of the population. Women registered discrimination, political disempowerment and overburdening gender roles which deprive them time to access information and directly participate in budget processes. Female discussant from Kolwa East Ward said that *“the flow of information is a challenge. The system currently in place favors superior and politically correct clans and discriminates women.”* While a representative of persons living with disabilities said that *“People with disabilities cannot walk the long distance to listen to public hearings. We do not have that capacity.”* These views were further observed by one of the members of CBEF who said that,

Nepotism and clannism play a major role prioritizing development projects while Political interference from the gatekeepers and influential community members prevents the priorities of most community members. (A Key Informant representing CBEF).

Persons living with disabilities expressed their frustrations particularly on access to information as the budget documents produced are not disability friendly. One interviewee living with disability said that *“Access to information is a problem to visually impaired like us. We can see the documents and the county have failed to interpret them in braille for ease of reading.”*The director of budget equally noted that lack of deliberate consideration of disadvantaged groups during budget process has been one of the challenges promoting exclusion. Conversely, deliberative theorists emphasize on language and communication as central ingredients to meaningful participation. Hence, it’s important to note that participation takes place in communicative forums.

Establishment from the observations during public participation forums further confirmed that language barrier, bulky and technical budget document, limited time for participation, lack of representation of the disable and mistrust between the public and the county government are some of the major challenges faced by the public. These observational findings concur with views from deliberative theorists who observed that red tape or burdensome administrative rules and requirements have several negative effects on citizen participation (Young and Pandey, 2011). A thesis study by Mohammed (2010) on people’s participation on development projects in Bangladesh similarly noted that the public suffer from lack of friendly participation policies, elite capture, patronage, and political interference by local leaders during planning stages (Mohammed, 2010). Comparative case analysis conducted by Franklin, Aimee; Krane, Dale and

Ebdon, Carol (2013)equally pointed out skewed input by the public during budget process and lack of interest to participate by a section of the public (Franklin, Aimee; Krane, Dale; Ebdon, Carol, 2013). However, they further caution that the public should equally learn government lingo and rules.

The study further cross tabulated the general findings to assess the critical challenges in each sub-county as presented in Table 6.2.

Table 6.2: Main constraints faced by the public during budget process per Sub-County

	Sub-County Name			Total
	Kisumu Central	Kisumu East	Seme	
Lack of civic education on the budget process	54.2%	27.5%	18.3%	100.0%
Delayed information on the budget documents	53.3%	44.4%	2.2%	100.0%
Poor mobilization strategies	50.0%	39.6%	10.4%	100.0%
Lack of adequate information on budget participation days	52.6%	26.3%	21.1%	100.0%
Long distance to participation venues	14.3%	42.9%	42.9%	100.0%
Language barriers	33.3%	33.3%	33.3%	100.0%
Lack of policy framework on public participation	48.0%	40.0%	12.0%	100.0%
Slow implementation of the existing policies	60.0%	20.0%	20.0%	100.0%
All the above	28.2%	56.4%	15.4%	100.0%

From the table 6.2 above, the respondents in Kisumu Central considered all the challenges as critical, however, the main constraint was slow implementation of the existing public participation policies at (60%) with the least being distance to participation venues. These findings could imply that slow implementation of the existing policies or lack of strong systems and procedures is a fundamental challenge to other related challenges. Deliberative participative theory, however, maintains that deliberation should be facilitated in a structured process guided by rules and procedures (Chambers, 2003). As one of the interviewees stated, *“We are told the county has policies on public participation, but we are still facing the challenges, they are not involving us in budget process.”* These findings reflect the earlier findings presented on minimal and weak participation in Kisumu Central. In addition, the respondents from Nyalenda B and Railways Wards felt neglected and excluded by the county government. An interviewee from Railways Ward stated that, *“We have presented out issues all the time but they don’t implement anything here in Obunga.”* These findings imply that different demographics in wards in urban face different challenges barring them from effectively participating in the budget processes. Exclusion of the vulnerable communities such as the people residing in slum areas exposes them to numerous challenges as presented in the findings in the table above.

Distance was considered a major challenge in Kisumu East and Seme Sub-counties at 42.9% and 42.9% respectively, while delayed information, language barrier and lack of information on participation forums were other major challenges in Kisumu East and Seme respectively. From the findings, the study can draw a general implication of how sub-counties or wards located in urban and rural are disproportionately faced by different challenges. In instances where some challenges are shared like distance in the case of Seme and Kisumu East sub-counties, these challenges still impact on the public differently. Critical findings in this study area concur with

those of World Bank (2015) which mentioned lack of public participation guidelines, ad hoc facilitation of public participation leading to exclusion, limited knowledge and compressed process as some of the challenges faced by the public during public participation. Similarly, these challenges were mentioned by CIC (2012) report. Yang and Pandey (2011) further theorizes that if citizens do not know about the policy issues under discussion and cannot communicate well, consensus and quality solutions are likely to be achieved.

Based on the findings presented in this study area, it can be concluded that the public face a number of challenges, weak policy frameworks for public participation, lack of knowledge on budget process, distance, poor mobilization strategies and language barrier. Additionally, the public face different challenges based on the sub-counties/wards they reside. For instance, people residing in rural areas are faced with distance and lack of information on the public participation events, while people residing in urban informal settlements are faced by lack of civic education and language barrier.

6.2 Barriers faced by the county government during budget process

The County government of Kisumu has been facilitating public participation through the department of planning and budget. The two departments are understaffed and most of the times are supported by staff from other departments who lack capacity on planning, financial and public participation processes.

The director of Planning acknowledges that some of the county officers facilitating the public participation during the budget process lack adequate technical budget knowledge and skills. He said that *“Some of our officers are not Knowledgeable, since we don’t have enough staff and we*

get assistance from other department who may not be aware of budget policies.”

This was also evident from the observational checklist during the public participation forum where some departments were not represented hence questions raised by the public during public participation for those departments went unanswered. Provision of timely and relevant budget information and early preparation of public participation has been a challenge to the county government, resulting into rushed public participation sessions and lack of budget documents. This has been characterized by delayed announcement of public forums to the public, lack of adequate budget documents for the public to read and understand lack of technical officers to facilitate the budget process and respond to the queries from the citizenry. These findings challenge the views of proponents in favor of deliberative theory who contend that deliberation should be balanced and the member of CBEF observes that, County has poor organization on facilitating the budget process. Sometimes the venues are not identified in good time; sometimes there are few vehicles to transport county staff to participation venues, lack of enough budget documents for the public among others.

It was further observed that Kisumu County lacks clear and effective civic education framework. The study established that despite the enactment of the public participation Act, 2015, the county is yet to operationalize the policy hence the county has not been able to make improvements on ways to effectively facilitate public participation. This observation implies that absence of civic education has led to disempowered citizenry devoid of capacity to meaningfully participate in the budget process. In agreement with this observation, Director of planning said that, *“The County government has failed to build the capacity of the public to understand budget process*

which results into failure of prioritization of projects by the public.”Lack of framework has further led to exclusion of vulnerable groups such as women, persons with disability, the poor, children and youth from budget participation. Women and youth are least represented in the ward forums as evident in the findings already discussed. These findings concur with views of Cooper et al (2006) who confirm that culture and hierarchical leadership can be barriers to meaningful participation.

Findings above are in support of the literature reviewed of the World Bank’s paper on the progress of public participation in selected counties in Kenya, which found out that whereas counties seek to operationalize the provisions for public participation, they are faced with significant challenges. These cut across inadequate planning, budgeting and staffing; compressed time schedule; limited knowledge of participation by both government officials and the public; lack of guidelines; and, ad hoc structures that fail to provide for inclusive governance. Many counties acknowledge that they are fulfilling the minimum legal requirements for participation but could improve on the quality of their participation processes (World bank, 2015). Similarly, Moynihan (2007) notes that proponents of participation in poorer countries point to corruption, opaque resource allocation, the failure to deliver basic services, and a power structure that offers non-elites little opportunity to have their views heard (Moynihan, 2007).

The findings presented in this chapter lead to a conclusion that the public are faced by numerous challenges during their participation processes. This is clearly demonstrated by the challenges already listed above. Further, the study can conclude that these challenges affect sub-counties and ward differently depending on their geographical locations and structures therein. Lastly, while both the public and county officers are faced by various challenges, the public are faced

with my many challenges as compared to the county officers.

CHAPTER SEVEN

SUMMARY OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

7.1 Introduction

This study aimed to assess public participation in the budget process in Kisumu County. This involved investigating the public's level of knowledge regarding public participation in the budgeting process, examining the level of public participation in the budgeting process, and assessing the barriers to public participation during the budgeting process in Kisumu County. This chapter summarizes the major findings and conclusions and offers recommendations on achieving and operationalizing meaningful public participation while further research areas have been suggested.

7.2 Summary of Findings

The study's first goal was to determine the public's degree of understanding of public engagement in the budgeting process in Kisumu County. According to the data, the public's understanding of fiscal policy framework and processes on budget participation is extremely low, with only about 23% of the population aware of county and national policies on budget participation. The county officials, on the other hand, had a good understanding of similar rules. Furthermore, the study discovered that knowledge levels varied significantly depending on demographic parameters such as gender, age, and county location. Women, adolescents, and people with disabilities (PLWDs) were the groups with the least knowledge. Lack of civic education, exclusion of the marginalized community from participatory processes,

discriminatory gender roles, the county government's hoarding of information, and the technicality of the budget policies were all blamed.

This study looked at the state of public engagement in rural and urban areas in terms of geography. The study discovered that the degree of knowledge in rural areas was substantially higher than in urban areas. The survey found that a considerable number of the least knowledgeable respondents in metropolitan regions came from informal settlements. Greater civic awareness through civil societies and radio use were credited with the increased level of knowledge in rural areas. This study deviates from previous public involvement procedures in rural and urban areas, where rural areas are frequently cited as having poor civic awareness numbers. According to this study, civic knowledge is gradually expanding in rural areas. In contrast, due to a lack of understanding and participation in the urban environment, this study has highlighted the vulnerability of the informal urban population.

The study's second goal was to look into public participation in Kisumu County's budgeting process. Access to timely budget information, empowerment, active engagement and inclusion, effective feedback systems, and framework and participation processes were all used to assess involvement in the budget process. The study found a low level of public participation in the budget process in Kisumu County based on these typologies. According to the data, direct engagement in the budget process was minimal, with only 28.3 percent of respondents participating directly in the process. Furthermore, the forums were not representative, with vulnerable groups such as women, teenagers, and individuals with disabilities being largely excluded. The study also discovered that the level of direct engagement varied between the three Sub-Counties, with urban sub-counties having higher direct participation than rural sub-counties.

In comparison to the rural population, urban populations are favoured by their closeness to power, closer participation venues, and access to information, according to the study. Key informants from rural areas emphasized that they are never invited to participate in budget discussions, and that when they are, distance prohibits them from participating. The study also revealed that direct participation may not result in meaningful participation or outcomes, as the majority of respondents believed that their views were not adopted by the county government and that project budgeting was influenced by factors such as clannism, political inclination, and the power of powerful elites.

The findings of the survey also revealed that the general population in Kisumu County has limited access to essential budget information. In comparison to their peers, underprivileged groups such as women, the elderly, teenagers, and people with disabilities confront significant hurdles in accessing budget information. Furthermore, the county government's information-sharing institutions, including as websites, SMS systems, and ward offices, have failed to fulfil their objectives. The lack of current budget information on the county website and notice boards at ward offices was the primary cause. It's also worth noting that the study looked into the disparities in information access between rural and urban areas. The study discovered that access to budget information is spatially uneven. When compared to rural areas, urban communities have better access to information. As a result, even in urban areas, individuals in informal settlements have significant challenges in receiving budget information. Apathy among the urban population and inadequate mobilization techniques, which excluded the urban poor from involvement, were blamed for the interaction of increasing access to information and little participation in urban regions.

According to the findings of the study, the county government engages in minor civic education activities aimed at raising public understanding of existing budgeting processes and the budgeting process. The majority of respondents, 252 (63.7%), had no understanding of the county government's planning and budgeting process and had not studied the technical budget policy materials. The findings of this survey indicated that the county administration has implemented civic education the least and lacks a framework for doing so. The little civic education initiatives that were launched were done on the spur of the moment, largely for the convenience of the county government. According to the findings, civic empowerment is a critical component of achieving meaningful involvement. Citizens' ability to adequately and productively participate in policy decisions can be influenced by empowerment.

The survey revealed mixed answers from the public and county officers in various areas, particularly when it came to feedback methods. The county government had established few structures to support feedback mechanisms, such as the use of ward administrators' offices, county websites, and SMS system, according to study findings from county officers, but the public found them ineffective, with 62 percent of respondents stating that they never receive any feedback on approved or rejected proposals. Budget information is not updated on the county website or on sampled notice boards within the ward offices, according to observations. As a result, the effectiveness of these platforms' feedback mechanisms was reliant on their operation. Furthermore, the county government established the Public Participation Act, which provides a framework for public participation throughout the budget process and general public participation within county governance, alongside other national legislations. However, since its

enactment in 2015, the Act has remained unimplemented. The key informants' responses did not provide adequate justification for this effect.

The county had also established systems to enhance public participation, according to the research. These included establishing sub-county and ward offices, which have been crucial in organizing and hosting budget forums, using the media to publicize upcoming budget events, and forming the CBEF to help county departments with budgeting. However, the interviews revealed that the existing frameworks had not made it easier for marginalized and disorganized groups to participate in the budget process. The framework lacked outlets for feedback and accountability, and mobilization was biased and full of patronage. Participation was limited in time, financial information was delayed and sometimes not accessible to the public, and the framework lacked routes for feedback and responsibility. As a result, their ability to encourage meaningful engagement was limited.

The study's third goal was to determine the hurdles to public participation in the budgeting process in Kisumu County. According to the findings, both the public and the county government have faced several problems when it comes to engaging in and facilitating budgeting processes. Examples include Lack of civic education, poor mobilization strategies, distance. delayed information on budget documents and lack of policy framework for effective public participation. While the public encountered greater difficulties, the lack of ability and abilities to enable and participate in the budget process was a common issue. Language difficulties, bulky and complex budget documents, limited time for involvement, lack of representation of minority groups, distrust, and discontent with the expenditures of county government initiatives are all

mentioned as contributory factors in the study. According to the study's findings, claim, nepotism, gender inequality, and political contacts were all found to have a significant impact on how the public's views and interests influenced the final budget output. In addition to the above listed variables, culture has been found to worsen the exclusion and minimal participation of disadvantaged groups, notably women, throughout the budget process. Furthermore, the county administration had a challenge in organizing and facilitating an inclusive and relevant budget process due to a weak public involvement framework and a limited budget.

7.2 Conclusion

There are numerous conclusions that can be drawn from the findings. First, the study concludes that there is low awareness of fiscal and public participation rules and processes is due to a lack of civic knowledge and weak public involvement frameworks. On the other hand, county police had a moderate level of understanding of the same policies. A lack of public understanding on budget policies indicates a lack of capability on the part of the public, resulting in an inability to participate effectively in the budget-making process. While county officers' lack of capacity suggests that they will be unable to effectively facilitate, give technical expertise, and maintain constructive dialogues throughout public participation in the budget process.

The study also concludes that low level of public participation is mostly due to a lack of financial information and insufficient capacity among the general public and county officials. Second, a lack of meaningful feedback resulted in public apathy. Despite the low degree of public participation, research has shown that forcing the public to participate directly while ignoring alternative processes of participation does not result in meaningful participation. On the other hand, information and empowerment emerged as critical factors of meaningful engagement.

The study indicates that the public and the county government face obstacles during the budget process. The public, on the other hand, experienced severe obstacles, which were reflected in both demographic and socioeconomic data. Distance and access to information, for example, were key issues in rural locations, but apathy and policy operationalization were major concerns in urban areas. Exclusion, favoritism, and gender discrimination were all issues that women faced. Despite the limitations, it was highlighted that County officers had the capacity and a greater understanding of budget regulations and processes.

7.3 Recommendations for Policy and Practice

Based on the findings and conclusions above, the following recommendations were made to guide and inform current and future effective operationalization of public participation at the national and county level in Kenya.

1. Civil Societies and media (local radio stations) have proven to be extremely instrumental in community empowerment and awareness, especially in the rural areas. The county government of Kisumu should explore more partnerships and collaboration with them to address the public participation challenges in the rural areas.
2. The county government of Kisumu needs to develop a civic education curriculum to guide civic education programming. Contextualized and needs-based civic education programs are highly recommended.
3. Robust and contextualized policy and public participation structures should be established and operationalized according to the needs and situation of the public. This will enable organized, inclusive, and structured facilitation while creating balanced power relations between the right holders and duty bearers for constructive deliberations and public policy choices.

4. The use of media (Mainstream and social), ward offices, and public notice boards should be increasingly used as platforms for providing and accessing information and feedback mechanisms, particularly in the rural areas where government reach is limited.

Areas for further research

1. This study was anchored on deliberative theory. Since public participation is dynamic and has evolved, shaped by different theories, researchers must test how these other theoretical frameworks look at participation.
2. A similar study should be undertaken in the future, focusing on the same or other counties to validate findings of this research or provide further findings on the level of knowledge, participation, and challenges to public participation in Kenya.
3. Public participation is beyond the budget process. Therefore, future studies should consider assessing public participation in other spheres of governance such as service delivery, electoral processes, to mention just a few. Besides, the research could be carried out to determine whether and how economic empowerment affects public participation.
4. Finally, and perhaps most important, a comparative study examining the dynamics of public participation in urban and rural counties/Sub-counties will provide a better understanding of how dynamics of participation manifests in different geographical and in various socio-economic environments.

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APPENDICES

APPENDIX I: CONSENT FORM – ENGLISH

STUDY TITLE:ASSESSMENT OF PUBLIC PARTICIPATION IN THE BUDGET PROCESS IN KISUMU COUNTY, KENYA

Principle Investigator: Kongere Denis –Maseno University

Introduction

You are asked to participate in a survey that is assessing public participation in the budget process this county in order to get more information on the level of knowledge, level of participation and challenges facing public participation in the budget process in Kisumu County. The purpose of this consent form is to give you information that might help you to decide whether to participate in the study or not. You do not have to decide today whether or not you will participate in the research. You are allowed to ask questions related to the study and implications on your part. Before you decide, you may talk to anyone you feel comfortable with about the research. Your participation in this research is entirely voluntary. It is your choice whether to participate or not.

Purpose of Study

The purpose of this research project is to assess the public participation in the budget process in Kisumu County. The research will specifically assess the level of knowledge, level of participation and challenges of participation in the budget process in Kisumu County.

Procedure to be followed

If you agree to participate in this study you will be asked a number of the questions about your understanding of laws and policies guiding public participation, how you participate and challenges you are facing during participation by the research assistants. The questions will take about 40 minutes.

Benefit

This research will not benefit you or your child directly but is likely to provide useful information to communities residing in Kisumu County. The results from the research will provide findings on the level of knowledge, level of participation and challenges faced by citizens in Kisumu County during public participation in the budgeting processes and the research will offer recommendations to improve effectiveness and quality of public participation in Kisumu County.

Risks

There are no known risks associated with participating in this research project. However, you may be asked some related to government actions and operations which may be quite sensitive. The researcher will ensure confidentiality of all the information provided and any recommendations made will be used to improve public participation.

Confidentiality

The knowledge that we get from doing this research will be shared with you before it is made widely available to the public. Your name, personal information and other records about you will remain confidential and will not appear when we present this study or publish its results. The

information will be stored in protected folders with a password accessible only with by the principal investigator for a maximum of 1 year after which it will be permanently deleted from the storage folders

Participant Rights

Your participation in this research is completely voluntary. It is your right; to have enough time to decide whether or not to be in the research study and to make that decision without any pressure from the people who are conducting the research, to refuse to be in the study at all, and to stop participating at any time after you begin the study, to be told what the study is trying to find out, what will happen to you, and what you will be asked to do if you are in the study.

Storage of data

The data will be stored securely in a separate hard disk and the folders will be locked with the passwords accessible only by the principal investigator and will be discarded after publication of the data.

Who to contact

If you have any questions, you may ask us now or later. If you wish to ask questions later, please contact: Denis Kongere (Tel: 0733128289). You may also contact the Secretary MUERC, Maseno University Ethical Review Committee, P. O. Box Private Bag Maseno.

Statement of Volunteerism

I have read the forgoing information, or it has been read to me. I have had the opportunity to ask question about it and any questions that I have asked have been answered to my satisfaction. I

consent voluntarily to participate in this research and understand that I have the right to withdraw from the research at any time.

Participant:Signature: Date.....

Witness:Signature:Date.....

Investigator: Denis Kongere Signature.....Date.....

Thank You.

APPENDIX II: CONCENT FORM -DHOLUO

OBOKE MAR CHIWRUOK E NONRO – DHOLUO

THORO MAR WACH NONRO:NONO KAKA PACH JOPINY TIYO E LOSO KOD KETO E TIM BUDGET TO KOD KAKA OMENDA JOPINY TIYO E LOCH GWENGE MAA KISUMU COUNTY, KENYA

Jatim NONRO Maduong: Kongere Denis –Mbalariany maa Maseno.

Tielo Mokwongo:

Ikwayi eyo makende ichiwri enonro manono matut ewi Kaka kawo pach jopiny e chenro mar LOSO budget to KOD kaka OMENDA jopiny itiyo godo gi piny owacho ma kisumo. Maa bende dhii konyo eyudo ler matut kod ngeyo maa jopiny nigodo, kidienje mag chiwruok MAA jopiny nigodo egolo paro Sama iloso bajet e county maa kisumo. Obokeni mar chiwruok enonroni biro miyi ler makende ekonyi kawo chung kaa iyie kata tamori chiwo pachi enonroni. Ok ochuno ni nyaka iyie kawuono kaa ichiwori bedo achiel kuom homa dhii golo pachgi e nonroni. In thuolo penjo wach moro amora momakore gi nonroni to kod Kaka onyalo konyi in iwuon. Kapok ikawo chung Mari, in thuolo sumo paro homa ingeyo ewi nonroni. Bedo mari e nonroni en eyor chiwruok in iwuon, kendo oyieni tamruok kata donjo enonroni.

KUKUMARNONRO:

Kuku Kata mise mar nonroni en yango ting' MAA jopiny nigodo egolo pachgi, kidienje maa jopiny nyalo golo godo pache to kod pek mopogore opogore eloso bajet e piny owacho maa county maa kisumo.

CHENRO MAA IDHI LUWO:

Kaa iyie donjo e nonroni, ibiro penji penjo momakore gi long/ng'eyo main godo ewi chike kod okenge kod okenge monego oluu ekawo pach jopiny, to kod kaka in iwuon ibiro konyo enonro, kaachiel gi pek minyalo rodhnogodo ekindi gi jachok nonro. Penjo duto mibiro penji dhii kawo dakika 40 kende.

BER MAA NONRONI DHII KELO:

Kata obedo ni nonroni ok dhii miyi ber maa achiel kaa achiel kata ne nyathini, to maduong en ni odhii pedho weche man kod oteku eyawo wang' jopiny magin jodak maa county maa kisumo. Duoko mar nonroni dhii ng'eng'o elela char mar ng'eyo mar jopiny, kidienje mag golo paro kaachiel gi pek miyudo gi jopiny e county maa kisumo esama gigolo pachgi e wi loso bajet hik omenda kaa hik omenda. Duoko mag nonro ni bende dhii chiwo thuok mag paro maa liw eneno kaka inyalomedo dhandho kawo to kod rwako pach jopiny eyoo mongith kaka dwarore.

PEK KOD ACHIEDH NADE:

Nonro ni ok dhii bedo kod achiedh nade moro amora eyoo maa achiel kachiel ne jogo maa idhii penj penjo, mak mana inyalo penji moko kuom weche maa otenore gii tije piny owacho to kod moko kuom weche maling'ling' mage. Jatim nonro dhii temo duto e nenoni weche duto maa ichiwo kaka japiny okaw eyo mopondo maok olieki ne ng'ata ng'ata machielo, kendo nenoni paro duto otigodo ekelo lokruok ewi kaka irwako kendo ikawo pach jopiny.

MIYO LUOR MALING'LING':

Riekni duto kod weche maa wabiro yudo kokaloe nonroni wabiro leroni kapok wapedho ne jopiny. Kata kamano nonro gi ok wabi golo ne ng'ata ng'ata kendo ok dhii bedo bath duoko mar Lupot mar nonrogi kosegooo chaapa.

RATIRO MAR JACHIW NONRO:

Nonro moro amora maa igolo echenroni en kokalo eyor chiwruok, in gii ratiro duto kawo thuolo mari kaa iyie kata kaa itamori golo pachi maok ochuni gii ng'ata ng'ata maa choko nonro. Ewi Mano in kod ratiro tamori donjo enonroni kata inyalo weyo e kore kaa isechako, ewi Mano in kod ratiro mondo lerni dwaro maa nonroni dwaa chopo, gima gibiro timoreni to kod gima ibiro dwaro mondo itim sama nonro dhii mbele.

KANO ANDIKO MAG NONRO:

Andike duto mag nonro ibiro kan maber gii jataa nonro maduong' kendo ibiro kethgi kaa duoko duto osegol ne jopiny.

KAIN GI PENJO:

Kain gi penjo moro amora, inyalo penjo sani kata mana bang'e, yie itudri gi,

Denis Kongere (namba simbe mar ong'we yamo: 0733128289). Kata inyalo tudori gii jagoro mar MUERC-Maseno University Ethical Review Committee.

Sanduku Mar Posta

P.O BOX Private Bag, Maseno.

ANDIKE MAR CHIWRUOK:

Aseyudo thuolo mar somo andikoni duto kata osesomna godoo tee kendo kendo yudo kinde mar penjo penjo duto kendo yudo duoko maa amor godoo,aketo koka eyoo moyangore,bedo thuolo donjo e nonroni kaa ang'eyo ratiro mara maa weyo kata wuok e nonroni samoro amora maa ahero.

Jachiwre..... Seyi..... Tarik.....

Janeno..... SeyiTarik.....

Jatim NONRO: Denis Kongere Seyi.....Tarik

Erokamano.

Appendix III: FOCUS GROUP DISCUSSION GUIDE

FOCUS GROUP DISCUSSION GUIDE FOR COMMUNITY GROUPS (YOUTHS, WOMEN, ELDERLY, CBOS/NSAs, PERSONS WITH DISABILITIES)

Location Name	
Name of Ward	
Name of group	
Group members present (Females & Males)	
Facilitator/Moderator	
Note take/recorder	
Date	
Time discussion begins	
Time discussion ends	

Remind participants this is voluntary and they are free to leave at the start or any time during the discussion.

Discussion questions

1. How does the county government share information with citizens in this County with regard to Budgeting? Explain
2. What are your opinions about public awareness on budget information and policies?
3. What is your opinion on the use of SMS system and the county website as avenues of access to information and feedback mechanism?
4. What are the specific challenges faced in this ward in regards to access to budget information and awareness? (Probe if there are specific challenges faced by women, men and youths).
5. What can the county government do to ensure more people get this kind of information and awareness?
6. How many of you have ever participated in any public forums organized by the county in relation to budget process?
7. What hinders you from participating in these forums?
8. How has citizen participation influenced planning and budgeting process in the county?

9. How has the county government mainstreamed interests of the diverse groups in budget process?
10. What are the policies/laws guiding budget public participation in this county?
11. What do you understand by the county government planning and budgeting processes?
12. What is your understanding of effective and quality public participation?
13. What do you see as the main constraint to effective county planning and budgeting process?
14. How can the county government address these challenges?

End.... Thanks for participating

Appendix III: QUESTIONNAIRE

INDIVIDUAL IDENTIFICATION

This section is to be completed for each respondent visited.

01. County

KISUMU

02. Sub-county Name

03. Ward Name.

04. House Hold Number

05. Interviewer Number

06. Date of Interview.

Day:	Month:	Year:
------	--------	-------

07. Time Interview
Commenced.

08. Time Interview Ended.

09. Gender (M/F)

Male

Female

10. Age

18-35

36-59

60+

15. Phone Contact

(Optional)

16. Level of Education

Degree level

Diploma

KCSE Level

KCPE

No Education

Information and knowledge levels (Awareness, Capacity and Participation)

A. Awareness of public participation and related laws and policies

1) Have you heard about public participation of citizens in the running of county affairs?

Yes

No

No response

2) If yes in Q1 above, where did you hear about it?

Radio

From chief

Ward administrator

Ward rep....

Others (Specify)

3) Do you think you have a role as a citizen in the running of the county affairs?

Yes

No

No response

4) If yes, above, how do you know that?

.....

5) If No in Q4 above, why.....

6) Are you aware of laws (national and county) that give the rights and entitlement to participate and influence development agendas?

Yes

No

No response

(a) If Yes, mention some of them

a.

b.

c.

7) Are you aware of county plans and policies which support citizens' participation in the county planning and budgeting process.

Yes

No

No response

(a) If yes, please mention

a.

b.

c.

8) Tick any of the following county planning and budget documents/policies you are

aware of

Response

None-

Response

<input type="checkbox"/> County Integrated Development Plan (CIDP)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Annual Development Plan (ADP)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> County Budget Review and Outlook paper (CBROP)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> County Fiscal strategy paper	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Budget Estimate	<input type="checkbox"/>	<input type="checkbox"/>

9) Do you have access to budget information from the county government?

Yes

No

No response

9 (a) If yes to Q 9 above, which documents are these?

- County Integrated Development Plan (CIDP)
- Annual Development Plan (ADP)
- County Budget Review and Outlook paper (CBROP)
- County Fiscal strategy paper
- Budget Estimate
- The Approved Budget

(b) If No to Q 9 above,

why?.....

10) What was the time-frame you received such information?

- Two weeks to participation day
- A week to participation day
- A day to participation day
- At the time of participation
- If after budget participation (Probe for the specific document received)

.....

.....

11) Do you agree that you understand the county government planning and budgeting processes?

- Strongly Disagree
- Disagree

Neither Agree nor Disagree

Agree

Strongly Agree

12) When does the county government annual budget begin?

Jan

June

August

September

I don't know

Any other.....

13) Which County offices plan and coordinate budget processes?

Budget

Planning

Both Budget and Planning

Education

I don't know

Any other.....

14) Have you read and understood policies guiding budget process? (probe by asking the listed policies)

Public Finance Management Act, 2012

County Integrated Development Plan (CIDP)

Annual Development Plan (ADP)

County Budget Review and Outlook paper (CBROP)

County Fiscal strategy paper

B. Participation; level

15) Have you ever participated in the county budget process?

Yes

No

No response

15 (a) If Yes in Q 15, how many times?

One – three times

Three – six times

Many times

I don't know

11 (b) If No Q 11, why

.....
.....

16) How did you know about this County Government Activity?

Media (Newspaper/Radio Advert)

Civil Society Organization (NGO, FBO, Youth/Women Group etc)

Notice Board Announcement

A Friend

MCA

Posters

Other: _____

17) Do you agree that the community proposals have been adopted by the county government?

- Strongly Disagree
- Disagree
- Neither Agree nor Disagree
- Agree
- Strongly Agree

18) Has County government given feedback for the projects proposals not budgeted for with reasons?

- Strongly Disagree
- Disagree
- Neither Agree nor Disagree
- Agree
- Strongly Agree

19) Do you agree that participation meetings/forums are always representative?

- Strongly Disagree
- Disagree
- Neither agree nor Disagree
- Agree
- Strongly Agree

20) Are technical officers always present during budget process forums?

- Some Departments are represented
- All the departments are represented

No department is represented

I don't know

21) What is the distance you cover to the participation venue?

Less than a Kilometer

One – Three KMs

Three –Six KMs

Over Six KMs

I don't know

B. Barriers to Public Participation

22) What do you see as the main constraint faced by County government officers during budget process?

Lack of capacity on public participation and budget policies

Small budget on public participation

Poor mobilization strategies

Many competing political interests resulting into skewed allocation of resources

Inadequate staff in budget and planning departments

Language barrier

Lack of policy framework on public participation

Slow implementation of the existing policies

All the above

Other: _____

Explain.....

23) What do you see as the main constraint faced by the public during budget process?

- Lack of civic education on the budget process
- Delayed information on the budget documents
- Poor mobilization strategies
- Lack of adequate information on budget participation days
- Long distance to participation venues
- Language barrier
- Lack of policy framework on public participation
- Slow implementation of the existing policies
- All the above
- Other: _____

Explain.....

24) How do you think the County Government can better facilitate Public Participation in planning and budgeting processes?

- Conduct Civic education on importance of Public Participation
- Avail information on meeting agenda in advance
- Advertise the meetings widely
- Share relevant documents in advance
- Reduce the distance for participation
- Use the language which can be easily understood
- All the above
- Other: _____

END.....Thank You!!

Appendix IV: KEY INFORMANT INTERVIEW GUIDE

RESEARCH ON PUBLIC PARTICIPATION IN THE BUDGET PROCESS IN

KISUMU COUNTY

KEY INFORMANT INTERVIEW GUIDE FOR GOVERNMENT & GOVERNMENT AFFILIATED STAKEHOLDERS (CEC-Finance and Planning/Education and Social Services, Chief Officer Finance and Planning; Director of Planning; Director Budget; NSAs; CBEF)

Position/Role	
Interviewer/s	
Date of Interview	

INSTRUCTIONS

- **Introduce yourself and explain the purpose of the research exercise.**
- **Use the questions only as a guide and probe further where necessary.**
- **Seek as much information as possible.**
- **Explain the purpose of voice recorder, and only take note of cues that could remind you of key responses given.**
- **Be involved in the interview and take note of non-verbal communication.**

QUESTIONS

A. Knowledge of Public finance management and public participation policies

1. Please explain what in your view presents your understanding of public participation.
2. As a Ministry/Department/Agency/Institution/Office;
 - a) Do you facilitate public participation?
 - b) If yes in 1 above, how?
3. Are you familiar with any by-laws passed by the County Assembly? If so, which ones?
4. Do you know of any National/County government law that gives citizens the right to participate in county development processes? If yes explain
5. What initiatives has the county government taken to improve information dissemination?
6. Which mechanisms are in place to ensure public feedback during the budget process?
7. How would you describe the county planning and budget process cycle?
8. How would you gauge the capacity of County government officers in charge of budget process?

9. What initiatives has the county government taken to improve the capacity of county officers facilitating public participation in budget process?

10. What initiatives has the county government taken to improve the capacity of the public to understand policies guiding budget process?

B. Level of citizen participation

1. Have you ever participated in County Planning and budget process? If Yes, how?

2. How were the public mobilized to participate by the county? (probe for criteria and type of people mobilized)

3. What are some of the platforms used by County Government to facilitate public participation?

4. In your opinion, how well do you think these platforms have enabled citizens participate in the County budget process?

5. At what level was the activity conducted?

6. In what ways did the members of the public participate in this activity (ies)?

7. How does the county government perceive the role of citizens in planning and budget processes?

8. In what way does your County Government prepare citizens to participate in these activities?

9. What is the county's most employed mechanism to get citizens involved in the County budget process?

10. What timelines has the county set when organizing for public participation, hearings or input in the planning and budgeting process of the County? (Please Tick).

11. What informs when the public hearings are planned?

C. Barriers to Public Participation:

1. What major challenges does the County Government face in facilitating public participation?

2. What major challenges do the Citizens face in facilitating public participation?

D. Policy Recommendations

1. What are some of the recommendations you can provide to improve policy and practice during public participation in the budget process?

END

Appendix V: OBSERVATION CHECK LIST DURING BUDGET PARTICIPATION

FORUMS

Areas of Observation:

What to be observed	Notes/Comments
Availability of county officers from all departments	
Budget information available to the public and the time of its availability	
The Content and the volume of the budget documents under participation	
Attendance of various groups (Women, men, youths, PLWD)	
The language used to facilitate budget participation by county officers and the public	
How the public are participating in the budget process (Are they asking question, silent, or process is dominated by minority)	
Attendance of the budget process. Number of women, men, youths and children attending the budget sessions	
Punctuality of both county officers and the public and the time frame of the whole participation process	
Available Mechanisms for feedback	
Challenges during the process	