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**THE ROLE OF CIVIL SOCIETY ORGANIZATIONS (CSOs) IN PROMOTING
EFFECTIVE COMMUNITY ENGAGEMENT WITH GOVERNANCE ISSUES IN
KENYA: A CASE OF THREE SELECTED CSOs**



A THESIS SUBMITTED BY

JANE WAMAITHA MUNENE (201515169)

University of Fort Hare
Together in Excellence

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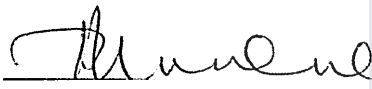
SUPERVISOR: PROFESSOR D.R. THAKHATHI

APRIL 2017

DECLARATION

I, Jane Wamaitha Munene, hereby declare that this study is my original work and has not been submitted to any other institution of higher learning or organization prior to submission to the University of Fort Hare. Further, I declare that due consideration has been done to acknowledge sources according to the University of Fort Hare Postgraduate guide and the departmental guidelines for writing an academic document of this nature.

Name of researcher: Jane Wamaitha Munene

Signed: 

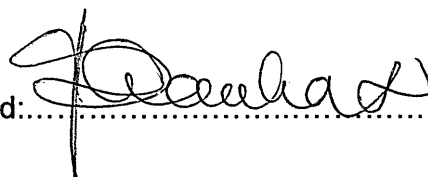


Date: 18th April 2017

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This thesis has been submitted with my approval

Name of supervisor: Professor D.R Thakhathi

Signed: 

Date: 2017/4/21

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DEDICATION

This piece of work is dedicated to my husband Henderson, my children Sylvia, Cynthia and Douglas. Thanks for your understanding and encouragement all the way.



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TABLE OF CONTENTS

DECLARATION	1
CHAPTER 1.....	1
1.0 INTRODUCTION AND BACKGROUND	1
1.1. BACKGROUND INFORMATION ABOUT SOME OF THE IMPLEMENTERS OF GOVERNANCE PROGRAMS IN KENYA	6
1.1.1 ACTION AID INTERNATIONAL KENYA (AAIK)	6
1.1.2 BUSIA COMMUNITY DEVELOPMENT ORGANIZATION, A GRASSROOTS PARTNER OF ACTION AID INTERNATIONAL KENYA.....	10
1.1.3. LEGAL RESOURCES FOUNDATION:	15
1.2.4 THE NATIONAL TAXPAYERS ASSOCIATION OF KENYA (TNTA).....	16
1.3. PROBLEM STATEMENT	19
1.4 OBJECTIVES OF THE STUDY	20
1.5 RESEARCH QUESTIONS.....	21
1.6 SIGNIFICANCE OF THE STUDY	21
CHAPTER 2.....	23
LITERATURE REVIEW	23
2.1. INTRODUCTION.....	23
2.2 CIVIL SOCIETY ORGANIZATIONS (CSOS)	23
2.2 GOOD GOVERNANCE AND PRINCIPLES OF GOOD GOVERNANCE	24
2.2.1 Participation	27
2.2.2 Rule of law	27
2.2. 3. Transparency.....	28
2.2.4. Responsiveness	28
2.2.5. Consensus building	28
2.2.6. Equity and inclusiveness	28
2.2.7. Effectiveness and efficiency	28
2.2.8. Accountability.....	29
2.3 GOVERNANCE STRUCTURES.....	29
2.4 HISTORICAL PERSPECTIVE OF CSOS IN KENYA	29
2.5 PERSPECTIVE OF CSOS AND GOVERNANCE IN OTHER COUNTRIES.....	31
2.5.1 CSOs in India.....	31
2.5.1.1 Madhya Pradesh District planning committees:	32

2.5.1.2 Kerala district's village council	33
2.5.1.3 Rajasthan district's Peasant and Laborers Struggle Association	33
2.5.1.4. Delhi's Resident Welfare Associations	33
2.5.1.5. PRS Legislative Research.....	33
2.5.1.6 Four NGOs in Bangalore.....	34
2.5.1.7. The Centre for Budget and policy Studies in Karnataka	34
2.5.1.8 Centre for Youth and Social Development, Orissa State	34
2.5.1.9 Hyderabad, Lok Satta.....	34
2.5.1.10. Mumbai, Cehat.....	35
2.5.1.11. Pune, Prayas.....	35
2.5.1.12 Kerala, Thenal	35
2.5.1.13 Sanket Development Group.....	35
2.5.1.14. Wada Na Todo Campaign.....	35
2.5.2 CSOs in Latin American	36
2.5.3. CSOS IN EASTERN EUROPE.....	41
2.5.3.1 The Question of European Union Reforms and CSOs.....	47
2.5.3.2 The question of refugee crisis and CSOs.....	49
2.5.4. CSOs in Afghanistan	52
2.5.5 CSOs in Ghana.....	55
SPECIFIC CASE STUDIES OF CITIZEN ENGAGEMENT IN GOVERNANCE FROM AUSTRALIA.89	
2.6 TYPES AND CHARACTERISTICS OF CSOS.....	104
2.6.1 Age	106
2.6.2. Not-for profit.....	106
2.6.3. Affiliation	106
2.6.4. Structure	107
2.6.5. Incorporation.....	107
2.6.6. Membership	107
2.7 CSOS CAPACITY TO ASSIST COMMUNITIES TO PARTICIPATE IN GOVERNANCE ISSUES	109
2.8 MECHANISMS USED BY CSOS FOR COMMUNITY ENGAGEMENT IN GOVERNANCE	118
2.8.1 Results and outcomes of the mechanisms being used by CSOs in governance issues	120

2.9 THEORETICAL FRAMEWORK	122
2.9.1 Governance theory	122
2.9.2 Participatory action theory	127
2.10 SUMMARY OF GAPS IN THE LITERATURE.....	134
CHAPTER 3.....	135
RESEARCH METHODOLOGY	135
3.1 INTRODUCTION.....	135
3.2 RESEARCH DESIGN	135
3.3 UNITS OF OBSERVATION AND ANALYSIS.....	136
3.4 SITE SAMPLING AND DESCRIPTION.....	136
3.4.1 Site description	140
3.4.1.1. <i>Busia County</i>	140
3.4.1.2 <i>Nyeri County</i>	143
3.4.1.3 <i>Nairobi County in which Korogocho slum is situated:</i>	145
3.5. DATA COLLECTION METHODS:.....	150
3.5.1 Secondary data:.....	150
3.5.2 Primary data	150
3.5.2.1 <i>In-depth interviews or Key Informant Interviews (KII)</i>	151
3.5.2.2. <i>Case studies:</i>	151
3.6 DATA COLLECTION TOOLS	151
3.6.1 Survey questionnaire	152
3.6.2 Focus Group discussion Guide	152
3.6.3 In-depth interviews Guide.....	152
3.7 DATA ANALYSIS AND RESULTS.....	152
3.8 ETHICAL ISSUES	153
3.9 DELIMITATION OF THE STUDY	153
CHAPTER 4.....	154
STUDY FINDINGS.....	154
4.1 INTRODUCTION.....	154
4.2 SUMMARY BACKGROUND PROFILE OF THE RESPONDENTS.....	155
4.2.1 Age	155
4.2.2 Gender / Sex.....	156
4.2.3 Marital Status.....	157

4.2.4 Education of the respondents	158
4.2.5. Positions of Respondents in the governance structures	160
4.2.6: Role of the respondents in the governance structures	161
4.2.7 Year the governance structure was started	164
4.2.8 Persons who started the governance structures	165
4.2.9. Purpose behind formation of governance structures.....	167
4.2.10. How long the governance structure has operated.....	170
4.2.11 Whether purpose of the governance structure has changed or still the same	172
4.2.12. Whether governance structures have members	174
4.2.13 Categories of members of the structures	175
4.2.14 Number of members in governance structures	177
4.2.15 Whether numbers of members in governance structures has increased or reduced over time.....	180
4.2.16. Whether the governance structures have received support.....	182
4.2.17. Nature of support received by governance structures.....	184
4.2.18. Usefulness of support extended to governance structures	186
4.2.19. Obstacles that the governance structures face	188
4.2.20 How the obstacles have been addressed.....	190
4.2.21 Activities of the governance structure known to respondents	192
4.2.22 Whether Respondent or relative participates in activities of Governance Structures	195
4.2.23 How often respondents participate in activities of governance structures	196
4.2.24 Other governance activities/processes preferred by local people.....	198
4.2.25 Strength of preferred organizations / structures	200
4.2.26 Structures that respondents prefer to participate in	202
4.2.27 The levels at which governance structures have more benefits (individual, family, community, don't know).....	205
4.2.28. Impact of the governance structures on improvement of health services	206
4.2.29 Impact of governance structures on improvement of water services	208
4.2.30 Impact of governance structures on children's access to education.....	210
4.2.31 Impact on keeping people informed on available opportunities in the devolved system	212
4.2.32 Impact on better utilization of public funds	213
4.2.34 CSOs activities that have succeeded in getting communities to participate in governance issues.....	217
4.2.35. Benefits arising from community participation in governance structures	219
4.2.36 Whether communities are now participating more in governance of projects that concern their welfare.....	222
4.2.37. Whether respondent would recommend governance structures to other parts of Kenya	222

4.2.38 CSOs activities that have meant most to respondent	224
4.2.39 Suggestion to CSOs for improvement.....	226
4.3. Qualitative responses on the role of CSOs in promoting community participation in governance.....	228
4.3.1 Qualitative responses on motivation behind formation of governance structures.....	232
4.3.2 Qualitative responses on usefulness of governance structures.....	233
4.3.3 Qualitative responses on challenges experienced by the governance structures	234
4.3.4. Qualitative responses on key governance issues being experienced in the community	237
4.3.5. Qualitative responses on usefulness of the governance structures in helping to address problems in the community	239
4.3.6 Qualitative responses on how have the governance structures have helped address poverty issues.....	240
4.3.7 Qualitative responses on the impact of governance structures in respect to representing community interests and service delivery.....	242
4.3.8 Qualitative responses on whether governance structures have enabled community to have access to improved health services	242
4.3.9 Qualitative responses on whether governance structures have enabled children to access education.....	243
4.3.10 Qualitative responses on governance structures impact on people's participation	244
4.3.11 Qualitative responses on whether community members now contribute and participate more in development projects due to these structures.	244
4.3.12 Qualitative responses on whether people now trust each other more due to the governance structures.....	245
4.4. PRESENTATION OF CASE STUDIES	246
4.4.1 Case study one:.....	246
4.4.2 Case study two	246
4.4.3. Case study three.....	247
4.4.4. Analysis of case studies one to three.....	247
4.5 SUMMARY OF FINDINGS	248
CHAPTER 5.....	253
DISCUSSION OF FINDINGS.....	253
5.1 INTRODUCTION.....	253
5.2 HOW CSOS CAN ENCOURAGE COMMUNITIES TO PARTICIPATE IN GOVERNANCE ISSUES EFFECTIVELY:.....	253
5.3 CSOS CAPACITY TO ASSIST COMMUNITIES TO PARTICIPATE IN GOVERNANCE	255
5.3 MECHANISMS USED BY CSOS TO ASSIST COMMUNITIES TO PARTICIPATE IN GOVERNANCE PROCESSES EFFECTIVELY.....	258
5.4. RESULTS AND OUTCOMES OF CSOS MECHANISMS IN RESPECT TO GOVERNANCE ISSUES.....	260

5.5. CONTRIBUTIONS OF THE STUDY.....	263
CHAPTER 6.....	269
SUMMARY AND CONCLUSIONS	269
6.1 INTRODUCTION.....	269
6.2 CONCLUSION	271
6.3 RECOMMENDATIONS.....	271
6.3.1 In terms of policy:.....	271
6.3.2. In respect to CSOs:	272
6.3.3. In respect to churches, mosques, community elders forums, clans	273
6.3.4. Women and governance	273
6.3.5. Politicians and local leaders	274
6.3.6. Young people.....	274
6.3.7. Reporting system for harassment incidences	274
6.3.8. Exposure and training.....	274
6.3.9. Donors	275
6.4 SUGGESTIONS FOR FURTHER RESEARCH.....	275
ANNEX 1:.....	277
THE ROLE OF CIVIL SOCIETY ORGANIZATIONS (CSOS) IN PROMOTING EFFECTIVE COMMUNITY ENGAGEMENT WITH GOVERNANCE ISSUES IN KENYA:.....	277
ANNEX 2.....	284
GUIDE FOR IN-DEPTH INTERVIEWS WITH OPINION LEADERS.....	284
ANNEX 3.....	286
GUIDE FOR FOCUS GROUP DISCUSSIONS	286
ANNEX 4: MAP OF KENYA.....	288
ANNEX 5: MAP OF KENYA SHOWING THE NEW 47 COUNTIES AS PER NEW CONSTITUTION 2010.....	288
ANNEX 9.....	293
LIST OF REFERENCES.....	293

LIST OF TABLES

TABLE 1:	ACTIVITIES FOR 2014 BY BUSIA COMMUNITY DEVELOPMENT ORGANIZATION A PARTNER OF AAIK	17
TABLE 2:	ARNSTEIN'S FORMS OF PARTICIPATION	154
TABLE 3:	AGE	162
TABLE 4:	GENDER/SEX.....	163
TABLE 5:	MARITAL STATUS.....	164
TABLE 6:	RESPONDENTS POSITION IN THE GOVERNANCE STRUCTURE OR GROUP	167
TABLE 7:	POSITION OF RESPONDENTS IN THE GOVERNANCE STRUCTURES BY COUNTY	168
TABLE 8:	ROLE OF RESPONDENTS IN THE GOVERNANCE STRUCTURE	169
TABLE 9:	ROLE OF THE RESPONDENTS IN THE GOVERNANCE STRUCTURES BY COUNTY	170
TABLE 10:	WHEN THE STRUCTURES /GROUP WERE STARTED.....	171
TABLE 11:	PERSONS / INSTITUTION THAT STARTED THE GOVERNANCE STRUCTURE/GROUP.....	173
TABLE 12:	ORIGINAL PURPOSE BEHIND THE FORMATION OF THE GOVERNANCE STRUCTURE/GROUP	175
TABLE 13:	PERIOD IN WHICH THE GOVERNANCE STRUCTURE/GROUP HAS OPERATED TO MEET ITS PURPOSE	178
TABLE 14:	WHETHER THE PURPOSE OF GOVERNANCE STRUCTURE HAS CHANGED OR IS IT STILL THE SAME	180
TABLE 15:	WHETHER PURPOSE OF GOVERNANCE STRUCTURE HAS CHANGED OR STILL THE SAME BY COUNTY	181
TABLE 16:	WHETHER STRUCTURE HAS MEMBERS	181
TABLE 17:	CATEGORIES OF THE MEMBERS OF THE STRUCTURE	183
TABLE 18:	NUMBERS OF MEMBERS IN THE GOVERNANCE STRUCTURE	185
TABLE 19:	WHETHER THE NUMBER OF MEMBERS HAS INCREASED OR REDUCED OVER TIME.	188

TABLE 19:	WHETHER THE STRUCTURE HAS RECEIVED ANY SUPPORT/GROUP?	198
TABLE 20:	NATURE OF SUPPORT RECEIVED IF ANY	192
TABLE 21:	USEFULNESS OF THE SUPPORT(IF ANY) TO THE STRUCTURE / GROUP	194
TABLE 22:	OBSTACLES FACED BY GOVERNANCE STRUCTURES FACES.	196
TABLE 23:	OBSTACLES THAT GOVERNANCE STRUCTURES FACE BY COUNTY	197
TABLE 24:	HOW OBSTACLES FACING GOVERNANCE STRUCTURES HAVE BEEN RESOLVED, BY COUNTY	198
TABLE 25:	ACTIVITIES OF GOVERNANCE STRUCTURES KNOWN TO RESPONDENTS	199
TABLE 26:	ACTIVITIES OF THE GOVERNANCE STRUCTURES KNOWN TO RESPONDENTS BY COUNTY	201
TABLE 27:	WHETHER RESPONDENT OR RELATIVE HAS BEEN A PARTICIPANT IN THESE ACTIVITIES	202
TABLE 28:	WHETHER RESPONDENT OR RELATIVE PARTICIPATE IN ACTIVITIES OF GOVERNANCE STRUCTURES BY COUNTY.....	203
TABLE 29:	HOW OFTEN RESPONDENTS / RELATIVE PARTICIPATE IN THE ACTIVITIES	204
TABLE 30:	HOW OFTEN RESPONDENTS PARTICIPATE IN ACTIVITIES OF GOVERNANCE STRUCTURES BY COUNTY	205
TABLE 31:	WHAT ARE OTHER GOVERNANCE ACTIVITIES/PROCESS IN THIS COMMUNITY THAT PEOPLE PREFER.....	206
TABLE 32:	OTHER EXISTING FORUMS PREFERRED BY LOCAL PEOPLE BY COUNTY.....	207
TABLE 33:	IN A SCALE OF 1-5 , RESPONDENTS OPINION OF THE STRENGTH OF THESE OTHER GOVERNANCE ACTIVITIES	208
TABLE 34:	THE STRENGTH OF PREFERRED ORGANIZATIONS / STRUCTURES BY COUNTY	209
TABLE 35:	RESPONDENTS PREFERENCES ON PARTICIPATION IN GOVERNANCE STRUCTURES.....	210

TABLE 36:	THE STRUCTURES THAT RESPONDENTS PREFER TO PARTICIPATE IN BY COUNTY	211
TABLE 37:	LEVEL AT WHICH CSOS SUPPORTED GOVERNANCE STRUCTURES HAVE HAD MORE BENEFITS	212
TABLE 38:	THE LEVELS AT WHICH GOVERNANCE STRUCTURES HAVE MORE BENEFITS (INDIVIDUAL, FAMILY, COMMUNITY, DON'T KNOW), BY COUNTY.....	213
TABLE 39:	WHETHER PEOPLE ACCESS TO HEALTH SERVICES HAS IMPROVED DUE TO THESE STRUCTURES.....	214
TABLE 40:	IMPACT OF THE GOVERNANCE STRUCTURES ON IMPROVEMENT OF HEALTH SERVICES BY COUNTY	215
TABLE 41:	WHETHER PEOPLE ACCESS TO WATER SERVICES HAS IMPROVED DUE TO THESE STRUCTURES.....	216
TABLE 42:	IMPACT OF GOVERNANCE STRUCTURES ON IMPROVEMENT OF WATER SERVICES BY COUNTY	217
TABLE 43:	WHETHER CHILDREN ACCESS TO EDUCATION HAS IMPROVED DUE TO THESE STRUCTURES.....	218
TABLE 44:	IMPACT OF GOVERNANCE STRUCTURES ON CHILDREN'S ACCESS TO EDUCATION BY COUNTY	219
TABLE 45:	WHETHER PEOPLE ARE NOW MORE INFORMED OF AVAILABLE OPPORTUNITIES IN THE DEVOLVED SYSTEMS DUE TO THESE CSOS STRUCTURES	219
TABLE 46:	WHETHER PEOPLE ARE NOW MORE INFORMED, BY COUNTY	220
TABLE 47:	WHETHER PUBLIC FUNDS ARE NOW WELL UTILIZED DUE TO THESE CSO GOVERNANCE STRUCTURES.	221
TABLE 48:	IMPACT ON BETTER UTILIZATION OF PUBLIC FUNDS BY COUNTY.....	221
TABLE 49:	CSOS GOVERNANCE ACTIVITIES WITNESSED BY RESPONDENTS	222
TABLE 50:	RESPONDENTS' WITNESS OF HOW CSOS HAVE ENGAGED COMMUNITIES IN GOVERNANCE ISSUES BY COUNTY	223
TABLE 51:	CSOS ACTIVITIES THAT HAVE SUCCEEDED IN GETTING COMMUNITIES TO PARTICIPATE IN GOVERNANCE ISSUES BY COUNTY.....	225

TABLE 51:	SOME OF THE BENEFITS OF COMMUNITY PARTICIPATION IN THESE GOVERNANCE ACTIVITIES	226
TABLE 53:	BENEFITS ARISING FROM COMMUNITY PARTICIPATION IN GOVERNANCE STRUCTURES BY COUNTY	228
TABLE 54:	WHETHER COMMUNITIES ARE NOW PARTICIPATING MORE IN GOVERNANCE OF PROJECTS THAT CONCERN THEIR WELFARE BY COUNTY	229
TABLE 55:	WHETHER RESPONDENTS WOULD RECOMMEND SUCH CSO GOVERNANCE ACTIVITIES TO OTHER PARTS OF KENYA WHERE THEY ARE NOT IMPLEMENTED	230
TABLE 56:	WHETHER RESPONDENT WOULD RECOMMEND GOVERNANCE STRUCTURES TO OTHER PARTS OF KENYA, BY COUNTY	230
TABLE 57:	GOVERNANCE ACTIVITIES BY CSO THAT HAS MEANT MOST TO RESPONDENTS	231
TABLE 58:	CSOS ACTIVITIES THAT HAVE MEANT THE MOST TO RESPONDENT BY COUNTY	233
TABLE 59:	WHAT IMPROVEMENTS WOULD YOU SUGGEST TO THESE CSOS ACTIVITIES	234
TABLE 60:	SUGGESTION TO CSOS FOR IMPROVEMENT BY COUNTY	235
TABLE 61:	DISTRIBUTION OF FGDS IN THE STUDY COUNTIES OF BUSIA, NAIROBI AND NYERI	237
TABLE 62:	THE DISTRIBUTION OF THE NUMBER OF IN-DEPTH INTERVIEWS (KEY INFORMANT INTERVIEWS).....	238

LIST OF FIGURES

Figure 1:	Age of respondents by county.....	163
Figure 2:	Gender / sex of the respondents by county.....	164
Figure 3:	Marital status of the respondents by county.....	165
Figure 4:	Educational levels of the respondents by county.	166
Figure 5:	Year when the governance structure was started by county.....	172
Figure 6:	Those behind formation of governance structures	174
Figure 7:	Purpose for governance structures by county	177
Figure 8:	Period the governance structure has operated by county	179
Figure 9:	Membership of governance structures by county.....	182
Figure10:	Categories of members by county.....	184
Figure 11:	Number of members by county	187
Figure 12:	Whether numbers of members has increased or decreased, by county	189
Figure 13:	Support received, by county.....	191
Figure 14:	Nature of support received by county.....	193
Figure 15:	Usefulness of support to governance structures by county.....	195

ACRONYMS

AAIK	–	Action Aid International Kenya
ACSEN	-	Afghanistan Civil Society Elections Network
ACSFo	-	Afghanistan Civil Society Forum
ACBAR	-	Agency Coordinating Body for Afghanistan Relief
AGAS	-	Australian Government About the Summit
AGPC	-	Australian Government Productivity Commission
AGRAGA	-	Advisory Group on Reform of Australian Government Administration
AG	-	Australian Government
AGT	-	Australian Government Taskforce
AGIMO	-	Australian Government Information Management Office
ANAO	-	Australian National Audit Office
APS	-	Australian Public Service
APSC	-	Australian Public Service Commission
AWN	-	Afghanistan Women Network
CDD	-	Ghana Centre for Democratic Development
CEDAR	-	Community Economic Development Action Research
CEPA	-	Centre for Economic Policy Analysis
CGD	–	Centre for Governance and Development
CMCs	–	Community Monitoring Committees
CSA	-	Civil Society Actors
CSHRN	-	Civil Society & Human Rights Network
CS-JWG	-	Civil Society Joint Working Group
CSOs	-	Civil Society Organizations

DFD	-	Department of Finance Deregulation
DANIDA	-	Danish Aid
DPMC	-	Department of the Prime Minister and Cabinet
EIPP	-	European Institute for Public Participation
EPA	-	Engaging People Actively (Victoria)
EU	-	European Union
FaHCSIA	-	Families Housing Community Services and Indigenous Affairs
FOIA	-	Freedom of Information Act
GII	-	Ghana Integrity Initiative
IAPPA	-	International Association for Public Participation Australia
IDEG	-	Institute for Democratic Governance
IEA	-	Institute for Economic Affairs
ICT	-	Information Communication Technology
IOG	-	Institute on Governance
KGGP	-	Kenya Good Governance Program
LRF	-	Legal Resources Foundation
NEIP	-	Neighborhood Environment Improvement Plan
NGOs	-	Non Governmental organizations
OECD	-	Organization for Economic Cooperation & Development
PEF	-	Private Enterprise Foundation
PTF	-	Partnership for Transparency Fund
SID	-	Society for International Development
TMAF	-	Tokyo Mutual Accountability Framework
TNTA	-	The National Taxpayers Association
TI	-	Transparency International

- TWN - Third World Network
- VGDSE - Victoria Government's Department of Sustainability & Environment



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ABSTRACT

Civil society organizations (CSOs) often find themselves in the windmills of development debates and are perceived to provide alternative pathways in respect to governance according to Bang and Esmark (2013). Fresh new research is needed in the wake of Kenya's continuous governance related challenges despite efforts by CSOs and other stakeholders to address the same as argued by SID (2012). Governance has become a serious challenge in Kenya and continues to persist despite efforts to address it. Therefore, this study is focused on the CSOs role in the promotion of community participation in governance in Kenya. Specific objectives dwell on assessing how CSOs could encourage communities to participate, mechanism used and CSOs capacities. The study methodology involved a survey, focus group discussions, and in-depth face to face interviews. A variety of tools were used that included a survey questionnaire, Focus Group Discussion guide and In-depth Interview guide. Among the key findings are that CSOs have encouraged community participation through provision of training and creation of awareness on governance and on available local funds that communities could access. However CSOs were found not to go beyond these activities. They were found not to be bold enough to confront poor governance and have shied away from more direct activities known to work in other parts of the world such as meeting with leaders, writing letters to leaders or even holding demonstrations Bhargava (2015). Among the key conclusions is that CSOs have failed to address poor governance and it continues unabated in the three Kenyan Counties studied. The situation has not been helped by the poor capacities of CSOs indicated in the study due to lack of funds, inadequate staff, equipment, offices and other challenges. Among the recommendations are that, stakeholders' including the government and donors need to understand CSOs better and provide them with required support. CSOs need to be provided with training and exposure to programs in other countries that have successfully addressed governance issues.

CHAPTER 1

1.0 INTRODUCTION AND BACKGROUND

The role of civil society organizations (CSOs) in governance has received attention during the current development related debates. CSOs are often looked upon regularly to help put together programs in social welfare delivery as noted by Lundberg and Sedelius (2014). Lundberg and Sedelius (2014) argue that in the European Union CSOs are increasingly sought and have been included in European public policy so they participate in decision making process. They note that European States have faced challenges that include fiscal competition, growing ethnic diversity, an aging population and decreasing trust in public officials and so they have turned to CSOs to bring new effective approaches to service delivery. As Cubitt (2014) notes, CSOs are also among the multiple actors involved in governance as there is no one centre when it comes to governance in the contemporary world. Cubitt (2014) argues that this is more so in Africa where countries are weak and rely on external partners and organizations for technical support and resources. This involvement of CSOs in governance falls within the expanded conceptualization of governance as noted by Kjeaar (2011) in her review of Rod Rhodes concept of governance without government.

In developed countries the history of CSOs extend back to the work of eighteenth and nineteenth century thinkers who included Tocqueville in his work highlighted in his key classical book *Democracy in America (1835 – 1840)*. He observed that in democratizing societies associations might serve as functional equivalent of the state. In Europe CSO have their roots in the late eighteenth century and early nineteenth century efforts to develop a distinction between CSOs and the state (Keane, 1998). Keane (1998) argues that until then CSOs were perceived as peaceful political order. Civil society played crucial role in Sweden in the 1930s and 40s in its democratic system of governance (Lars, 2007).

The history of CSOs in Kenya dates back to colonial times. CSOs activities at the time were mainly focused on welfare as coming together of people was not really entertained by colonialists. Common types of organizations were mainly religious

and philanthropic. In the 1940s numerous groups were formed that were largely women groups Kameri-Mbote (2002). These groups evolved to present day Maendeleo Ya Wanawake Organization notes Kameri-Mbote (2002).

In Kenya since the early 1990s CSOs have focused their efforts on facilitating communities to participate in governances as noted by Action Aid (2011). This is an important shift from welfare approaches to working with communities to strengthen their capacity to participate in governance of programs and activities that affect their lives. Action Aid (2011) previous welfare approaches were more to do with doing things for the community and giving them handouts. If it was a community school, for example, it would be given learning materials and their pupils handed school uniforms. Action Aid implemented water projects for communities, gave seeds to farmers during planting season and graded roads and built bridges for the communities. But there was an observation that these initiatives did not get people out of poverty and hence there was an urgent need to organize people into governance institutions that they would use to engage the government and demand for services. Communities then have been organized into such structures as social audit teams, budget tracking committees and the alternative leadership forums that are being implemented by CSOs that include Action Aid International Kenya and others at local levels. These are new institutional arrangements inserted by CSOs in rural communities. They are primarily efforts by CSOs to change how citizens participate in governance of their communities including engagement with government. However the role of these institutional arrangements has not been comprehensively analyzed and understood, a gap that this study seeks to begin to partly fill.

Action Aid International in Kenya (AAIK) offers a specific example of a governance intervention of CSOs in Kenya. Under the Social Accountability Project, AAIK, having witnessed increasing local budgets due to the few economic reforms enacted by National Rainbow Coalition (NARC) government in 2003, mobilized citizens in nine constituencies across Kenya to ensure minimal wastage of these budgets and increased citizen voices in the priorities of the budgets. This has been done through community mobilization, partnering and training so as to increase community oversight on local budgets using social audit methods. Governance structures

namely the socio audit teams, budget tracking committee, alternative leadership forums and self help groups involved in governance activities have been established by AAIK in the constituencies.

These efforts are aimed at mobilizing communities to ensure they are part of the decision making processes that affect their lives at local level. Specifically, the governance structures are mobilized to get involved in the generation, allocation and utilization of public funds.

Emphasis has been on the participation of citizens and enhancing the ability of the poor and the excluded people to ask questions, claim rights, make decisions and hold institutions to account. This is expected to lead to a situation where people shape the state and the state in turn creates conditions necessary for rights and freedoms AAIK (2011).

Specific actions within the Social Accountability Program have focused on strengthening the capacity of women and the poor and excluded people to organize themselves to claim rights, participate in decision making processes and influence public policy. Actions have also included promoting monitoring of the state's delivery of social and economic rights by budget tracking and other means, for example, public hearings and citizens' tribunals.

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Other CSOs have also made similar shifts while others implement a mixture of welfare and governance initiatives. Donor support also shifted their support to more governance programs, for example, the Danish Aid to Kenya (DANIDA) through the Kenya Good Governance Program (KGGP). The KGGP is one of the governance programs implemented in rural Kenya by CSOs with Danish support. From the early 1990s, Denmark has provided support to the promotion of human rights, democracy and good governance in Kenya through indigenous civil society organizations (CSOs). This has been in line with DANIDA's Strategy for Development Cooperation, which identifies human rights, democracy and good governance as priority areas of direct support. The support increased in tandem with the increase in numbers and activities of CSOs in the sector, as well as with the intensity of the struggle for comprehensive democratic reforms.

The KGGP - 'support to CSOs' –has three priority themes: enhancing the capacity and efforts of CSOs to effectively participate in the delivery of, monitoring of, and advocacy for increased access to justice, human rights and governance reforms; creating and sustaining people's awareness on human rights and good governance; strengthening the watchdog role of CSOs in relation to monitoring the government's progress in meeting its targets for good governance.

Activities under the first theme paid particular attention to capacity building and skills enhancement in research, advocacy, and lobbying – as well as competency in monitoring and evaluation. Also, there was a focus on developing the leadership skills of the senior management staff within the participating CSOs.

Activities related to the second theme supported the CSOs in promoting access to justice and public awareness on rights and governance issues. In particular, building on the achievements of the previous program, emphasis has been put on paralegal training and deployment. Also, anti-corruption public awareness initiatives are supported and mainstreamed in other activities. The program encourages the establishment or the consolidation of 'rights and governance' networks at the local

level – with a view to ensuring that CSOs’ monitoring responsibilities have an effect at this level.

The third strand of the program strengthens the capacity of CSOs to monitor the government’s progress in implementing governance and poverty alleviation policies espoused in the Economic Recovery Strategy. Key governance institutions to be monitored are identified and a specific monitoring and evaluation system established for this purpose. The five CSOs that implement the program are: The Kenya Human Rights Commission (KHRC), Federation of Kenya Women Lawyers (FIDA-Kenya), Legal Resources Foundation (LRF), Centre for Law and Research International (CLARION) and Kituo Cha Sheria (Centre for Laws).

Legal Resources Foundation Kenya Trust (LRF) implements governance programs in Nairobi urban area of Kasarani including rural areas in Kenya. Support to LRF has included capacity building and skills enhancement in research, advocacy, and lobbying – as well as competency in monitoring and evaluation. Also support in promoting access to justice and public awareness on rights and governance issues. It has included anti-corruption public awareness initiatives that are supported and mainstreamed in other activities. The program encourages the establishment or the consolidation of ‘rights and governance’ networks at the local level – with a view to ensuring that CSOs’ monitoring responsibilities have an effect at this level.

Another CSO implementing governance programs in Kenya is the National Taxpayers Association (NTA) that is implementing the Citizen Demand and Accountability Program. The organization runs governance programs in Nyeri in Central Kenya among other areas in Kenya. The National Taxpayers Association is a coalition of private and public organizations and is a registered limited company. The National Taxpayers Association has formed Community Monitoring Committees (CMCs) at the grassroots that it has trained and build their capacity to hold government to account. The program is designed to empower poor people to participate in program meant to improve their welfare. Through the program citizens are enabled to make failures of government and other service providers public. The program seeks to increase citizen’s ownership, empowering them to demand for change. The program mainly focuses on encouraging citizen participation in demanding government to be responsive and accountable to its citizens.

These are a few of the examples of increasing interest in programs on governance in Africa and specifically in Kenya by Civil Society Organizations (CSOs). They are primarily efforts by CSOs to change how citizens participate in governance of their communities including engagement with government. However the role of these institutional arrangements has not been comprehensively analyzed and understood a gap that this study seeks to begin to partly fill.

1.1. BACKGROUND INFORMATION ABOUT SOME OF THE IMPLEMENTERS OF GOVERNANCE PROGRAMS IN KENYA

1.1.1 ACTION AID INTERNATIONAL KENYA (AAIK)

ActionAid International Kenya (AAIK) is an international agency whose goal is to create and sustain a global movement of people who work with the goal of realizing a world where human rights are respected. The organization also seeks to defeat poverty for all. One of its key strategies is facilitating and empowering communities to hold public institutions to account to its citizens in meeting their promise to deliver basic services.

AAIK is a non-partisan, non-religious development organization that has been working in Kenya since 1972 and has been fighting poverty and all forms of injustices since then. It is one of the leading CSOs in Kenya that seeks to fight poverty. The organization has a presence in 21 counties in Kenya and works directly with over one million people living in poverty and exclusion. The agency has a preference to work with and advance the cause of Women's Rights and seeks to ensure that the poorest women who are also marginalized are at the focal point of their programming. AAIK has a commitment to work with Women, Children and Youth living in poverty and are marginalized and seeks to empower them to be able to claim and realize their constitutional rights. AAIK has three programmatic thrusts as it seeks to meet the needs of these categories of poor people through a Human Rights Based Approach (HRBA). These are: empowerment, solidarity and campaigning.

In the 21 counties that the agency works, it is driven by a search for partnerships which form a crucial foundation for all its work. The organization has two levels of governance in its structure made up of a General Assembly (comprising of 52 members) and a National Board (constituted of 15 members). The day to day operations of the agency are steered by the Executive Director with the support of the Senior Management team or the UAMUZI.

AAIK gives a special focus to women and youth seeking to enhance their capacity to hold public institutions to account for delivery of basic services. The organization put efforts to ensure that public institutions improve access to quality basic services for people living in poverty and marginalization. They also work towards realization of a National and County Governments that able to adopt progressive tax policies and reforms to increase corporate revenue generation. The agency also seeks to realize a situation or a society where participation of youth living in poverty and marginalization in delivery of basic services through accountability-led processes do happen.

In these programs AAIK is involved in specific actions and key among these are as follows:

- (a) They enable integrated community based planning so to contribute to the influencing of county plans for gender-sensitive basic service delivery
- (b) They also enable formation and strengthening of Citizen's County Forums
- (c) They seek to support women and youth capacity so as to participate effectively in leadership and governance at the county level
- (d) Also they provide facilitation for capacity strengthening of 16 counties in policy formulation and legislation and pro-poor budgeting
- (e) Others are support to enhance social accountability processes and mechanisms for monitoring basic service delivery
- (f) They also create awareness and acknowledge, re-allocate and minimize women's unpaid care work at local, county and national level

- (g) They have contributed to enhancement of National Gender Equality Commission for them to be able to establish and develop the standards for women participation in planning and delivery of basic services
- (h) The agency has also sought to enhance the capacity of School Management Committees (SMCs) and Community Projects Committees on their roles and mandates creating awareness to them on the expected standards of service delivery.
- (i) They also carry out assessment for effective corporate revenue generation followed by production of policy documents that they use to push key leaders to address areas that need improvement and addressing.
- (j) They also work to a realization of a Youth-led public education on progressive corporate taxation
- (k) They also build the community to realize capacity to have community-led actions. Towards this objective they have had mass mobilization of 50,000 people to fight for a realization of fair corporate taxation policies and practices at county and national level. These efforts have contributed to a situation where the communities have been effectively linked with national and international level efforts through the tax justice campaign
- (l) The agency has worked towards political education for 300 youth to enhance their voice in the decision making processes on basic services
- (m) They also facilitate activists for them to lobby for basic service delivery in favor of people living in poverty and marginalization with a focus on at least 40,000 youths
- (n) The agency has also sought to enhance the capacity of 120 youth in leadership and social accountability mechanisms.
- (o) The other key intervention is working towards establishment of a linking mechanism for activists efforts at county, national and international level
- (p) Key efforts have gone to a process to integrate and enhance the Global Platform for it to steer work with the youth as outlined above.

In its 2015 annual report, promoting community participation in governance comes out strongly as a key thrust of its programming. The agency specifically states that its work is centered on deepening impact on communities living in poverty and exclusion especially women and girls. Its work focuses on building their capacities to be able to participate in key decision making processes and hold the State and its institutions and other duty bearers to account for the realization of their rights as provided for in the Constitution of Kenya 2010. This work is guided by the following three strategic objectives:

- (a) To empower 90,000 women and girls living in poverty and exclusion to confront violence that keeps them from political participation and instead gain increasingly a higher level of political participation at all levels
- (b) To seek to promote access and control over land and other productive resources for poor people for improved livelihood security
- (c) To strengthen capacity of women and youth that are caught up in poverty situation to hold public institutions to account for delivery of basic services

In its work AAIK seeks to ensure that resilience and conflict sensitivity is part of all its programs including policy work and this is expected to minimize disaster risks and reduce the impact of stress and shocks on the people living in poverty and exclusion. The organization also empowers communities to hold state and its institutions accountable for fulfillment of their basic rights. Also it seeks to ensure that there is accountability to women and youth living in poverty and exclusion as a crucial aspect of its work as it seeks to facilitate enhancement or empowerment of these categories of people in the communities. The agency seeks to connect the youth and women and their institutions in solidarity to be able to confront unequal power and assert their rights to information and quality public services. This is being realized through 'basic needs as basic rights campaigns', community-led monitoring, evaluation and learning, community-concept social audit, Community-Led Participatory Change Plans (CLPCPs), development of community scorecards and citizens' reports.

To enhance these efforts AAIK works with partners across the country including Busia Community Development Organization in Busia. The agency also works directly with communities in specific counties and has established County Citizen's Forums in 8 counties thus Kilifi, Mombasa, Kakamega, Taita Taveta, Baringo, Makueni, West Pokot and Homabay. These counties are expected to be able to demand for quality gender responsive public services (GRPS). The agency has also been enhancing people-owned structures to demand accountability and transparency and to participate in governance. Through support to the County Citizen's Forum, communities have been enabled to demand accountability in the delivery of public services as basic rights from their political leaders through their participation in the public budgeting processes.

Other results as claimed by AAIK include communities living in poverty and exclusion have demanded adoption of county drought contingency plans and increased resource allocation to basic services and key sectors in agriculture and education. For example in Baringo there was increased budgetary allocation to these sectors in 2014/15 and 2015/16.

Strong anti-corruption structures have been established at local level and these have been instrumental, for example, in monitoring schools in informal settlements to ensure no levies are being charged to pupils and no unconstitutional levies are charged to small scale traders.

1.1.2 BUSIA COMMUNITY DEVELOPMENT ORGANIZATION, A GRASSROOTS PARTNER OF ACTION AID INTERNATIONAL KENYA

Busia Community Development Organization (BUCODEV) provides a specific example of a partner of AAIK at the grassroots involved in these governance programs. BUCODEV is a grassroots community based organizations mainly composed of women and youth including a few male youth. BUCODEV was registered as local NGO in the year 2000 under NGO Coordination Act 1990. Since

its inception, the organization has worked in partnership with different development actors interested in people-centered development and particularly in empowering the community to have access and control over their basic human needs, rights and entitlements for sustainable livelihoods in western Kenya. Among the partners has been AAIK that has provided the NGO with training and funds.

Busia is a Bantu word meaning to bring people together so, BUCODEV's primary objective is to bring communities together for development purposes by addressing the root causes of the identified problems and concerns. This action is in line with BUCODEV's vision, mandate and core values to work with vulnerable groups; women, youth, elderly, people with disability and other marginalized groups and other duty bearers to achieve a measurable improvement on the ability of the poor and marginalized women, youth and people living with disability (PwD) to realize and demand their rights.

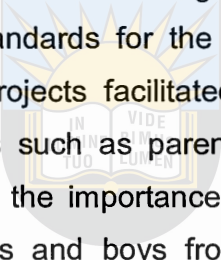
In Busia just as in other parts of Africa and the world, women and people with disabilities are denied the right to own, inherit, manage, and dispose of property because of discriminatory laws and practices. In western Kenya women's property rights traditionally have been attained through marriage. When the marriage ended, through death or divorce, women's rights to the marital land, home, and other property would also end. Women are made more vulnerable to HIV&AIDS through their socially constructed roles.

Women are known to produce two-thirds of the world's food. In general, women provide 50–60 per cent of the labour input, increasing to 80 per cent in paddy and rice production. In Busia, due to a rise in the number of female-headed households as substantial numbers of males migrate to cities, more women are becoming functional heads of both households and farming activities.

Women's right to land is a critical factor in social status, economic well-being and empowerment in Busia. Land is a basic source of livelihood providing employment, the key agricultural input, and a major determinant of a farmer's access to other productive resources and services. Land is also a social asset, crucial for cultural identity, political power and participation in local decision-making process. Women's

access to other natural resources, such as water, firewood and forest products is also crucial for food security and income, particularly as land becomes increasingly scarce and access becomes a growing problem.

In Busia county, CSOs including FBOs lack the capacity to organize and mobilize women and youth for a stronger voice to demand accountability for improved governance. The CBOs in particular are scattered all over the county with inadequate institutional capacity, limiting their credibility and visibility in the county to influence policy and governance issues at county, sub-county and ward levels. In this project BUCODEV targeted formation and strengthening of the institutional capacity of a selected network of CSOS including FBOs through training, coaching and mentoring to improve set standards for the implementation, monitoring and evaluation of interventions and projects facilitated by decentralised funds. Their target has been key stakeholders such as parents in order to effectively create awareness and sensitize them on the importance of education and strengthening school governance to enable girls and boys from marginalized communities to access basic education.

The logo of the University of Fort Hare, featuring a shield with a sunburst at the top and the motto 'IN VIDE TUO LUMEN' inside. Below the shield, the text 'University of Fort Hare' and 'Together in Excellence' is displayed.
University of Fort Hare
Together in Excellence

By participating in the county, sub-county and Ward Citizens' Forums, the local citizens were expected to hold their leaders directly accountable for poor quality services at agricultural service provision, health Centers and schools at both sub-county and county levels. The County Citizen Engagement forum seeks to provide an engagement platform that safeguard against elite capture of committees. This is achieved through developing statutory and regulatory tools which aid citizen engagement and accountability at sub-county and ward levels.

The effect of poor citizen participation is felt in poor quality of service delivery in Busia in key sectors in development such as health and education as elaborated below.

The BUCODEV program sought to enhance the capacities of women, girls and youths to be effective and influential leaders by building their leadership skills, and voices at all levels of decision making. This was expected to help address the oppressive policies, discriminatory practices and cultural biases that are disproportionately of disadvantage to women, including perpetual exclusion of

women from key development processes including leadership and decision making. Other barriers addressed include election violence, male dominated political party leadership, unequal access to and control of resources, inadequate information to support citizens in challenging the governance discourse and utilizing political spaces.

BUCODEV is aware that lack of peoples' participation in governance and institutions of governance even in decentralized resources including the CDF, WDF, Uwezo Fund, Roads Fund and Busia County Agricultural development Fund among others leads to a situation where the funds are not utilized for the benefit of its beneficiaries, but at times to award political cronies. Limited capacity among communities inhibits effective participation and representation in local spaces (for example, in school management, health committees and water committees) due to limited information. There is lack of policy guidelines and minimum standards for engagement of the public including lack of information on the processes, knowledge and skills to influence allocation of resources to communities' priorities.

BUCODEV's position as an advocate for women and youth rights is that every citizen has the right to have access to quality health, education and other essential services. The citizens also have a duty to hold the duty bearers accountable for failure to provide quality services. Every citizen of Kenya also has the right to participate in development programs in the community including participation in politics so that when elected, they can directly participate in the decision making processes.

Devolution is seen as a way of enhancing local democratic practices through promotion of national values, facilitating and coordinating citizen participation in the development of plans and policies. Other roles include promotion of socio-economic development, coordination of developmental activities and ensuring effective service delivery. BUCODEV is taking advantage of devolution ethos to ensure effective participation of citizens in Busia in governance of programs and projects that concern them.

The following table offers an example of details of these activities on governance by Busia Community Development Organization (BUCODEV).

TABLE 1: ACTIVITIES FOR 2014 BY BUSIA COMMUNITY DEVELOPMENT ORGANIZATION A PARTNER OF AAIK

A		
1.0	Title of project	Public Expenditure Tracking (PETS)
2.0	Key issues/challenges underpinning the problem to be addressed	<ul style="list-style-type: none"> ▪ Awareness of the budget tracking process ▪ Gender responsiveness and other marginalized groups i.e. Orphans, PwD, Elderly, youth & PLH ▪ Effective Service delivery ▪ Tracking of budgets ▪ Lack of M&E unit to track and enhance efficiency, effectiveness and relevance and significance of planned interventions. ▪ Budget implementation issues: <ul style="list-style-type: none"> ❖ Challenges in documentation and performance reporting; ❖ Lack of Budget implementation committees-to be advising chief officers on the performance of Budget implementation and oversee production of performance reports to be submitted to county treasury on monthly basis. ❖ Lack of familiarity and understanding of existing laws; eg. the County Government t Act, ❖ Ineligible expenditures on areas outside approved projects
3.0	Strategies to Address the challenges	<ul style="list-style-type: none"> ▪ Conduct awareness creation on budget tracking process through social media, FGDs, Talks, Meetings, workshops, social marketing, sports and dialogue cycle ▪ Develop, pre-test, analyze the use of scorecards, social audit tools, gender-disaggregated public Expenditure Analysis tool ▪ Understand relevant legislations and policies related to Budget making process ▪ Identify and understand the critical timelines of Budget making cycle ▪ Interrogate the County Integrated Development Plans (CIDPs), County Strategy Fiscal paper, County Spatial plan
4.0	Purpose of the project	<ul style="list-style-type: none"> ▪ Effective Service delivery for Sustained socio-economic and political development.
5.0	Approach to be used	<ul style="list-style-type: none"> ▪ Research ▪ Forums ▪ Campaigns ▪ Seminars and workshops ▪ Social media ▪ Demos
6.0	Target/beneficiaries	Women, youth, PwD, Men, elderly and PLH
7.0	Main activities	<ul style="list-style-type: none"> • Mobilization • Conduct public awareness and education Campaigns • Establish Ward Citizen Forum, County Engagement Platform • Form strong CSO platforms with thematic coalitions to influence policy makers • Capacity building • Conduct Community Profiling • Monitoring and Evaluation
8.0	Expected results	<ul style="list-style-type: none"> ▪ Increased awareness on Budgeting tracking and budget making process ▪ Improved delivery of basic services ▪ Reduced incidences of corruption ▪ Increased Participation of marginalized groups in budget tracking and budget making processes

1.1.3. LEGAL RESOURCES FOUNDATION:

Legal Resources Foundation (LRF) provides another example of a CSO implementing governance programs in Kenya. It is a national civil society organization in Kenya that was founded in 1993. Its headquarters are located in Kenya and has field offices situated across the country. It has a board of seven trustees, three women and four men. The Executive Director is in charge of day to day operations of the organization.

LRF works in three regions in Kenya with work in selected counties. The regions are Northern Kenya Region (West Pokot – coordinating office, Kisumu, Kericho, Turkana, Samburu). The other is Upper Eastern Region (Isiolo – coordinating office, Meru, Nyeri, Laikipia, and Garissa). The other region is Southern Region (Nairobi – coordinating office, Nakuru, Machakos, Kitui, Kiambu, Kajiado, Mombasa, Kwale and neighboring counties). Currently LRF operates in 31 constituencies in 24 counties. In these areas LRF works with community-based para-legals to enhance good governance, peace building and accountability.

In all its programs LRF seeks to push for realization of progressive values enshrined in the Kenyan constitution 2010. They seek to fight for human dignity and rights by building capacity of citizens, for them to reap maximum benefits that are accorded in the constitution of Kenya 2010. Justice and equity being values that should be accorded to the whole community, LRF fights for these values by conducting research and taking action among communities that suffer injustice.

A key strategic direction for LRF is governance programming. Specific objectives in this programming area are:

- (a) To strengthen people's participation in governance and decision making processes on issues affecting them. Among the activities they are involved in towards realization of this objective include the following:
 - (i) conducting research on status of people's participation
 - (ii) capacity building of communities on strategies for participation in governance.

(iii) Development of county level people's participation policy.

(b) Implement an advocacy agenda that is focused on Penal Reforms, Judicial Reforms, Security Sector Reforms, Transitional Justice Reforms and Advocacy through Peoples' Participation. These programs are implemented through three thematic areas thus:

(i) Administration of Justice

(ii) Governance and Development

(iii) Research and Advocacy

These thematic areas are implemented throughout the three regions already discussed.

In the governance and development theme, LRF has sought to influence policy at national and county levels. The main thrust in this program is to build community capacity to be able to engage with government and pursue their welfare. LRF also seeks to ensure that policies are in place in areas of citizen participation, civil, political, social, economic and cultural justice. Two projects deliver this thematic area thus: people's participation and social, economic and cultural rights

.In respect to people's participation, the goal is to promote and enhance people's participation in decision making, planning and implementation of their own development and conflict resolution mechanisms. Specific objective of this theme is to strengthen people's participation governance processes and decision making on issues affecting them. These are expected to be achieved through conducting of surveys that are done through desk research and interviews of respondents. Other key activity is community capacity building on people's participation through sensitization and training. LRF also seeks to facilitate actual drafting of policies on people's participation through collaborative partnerships and networking.

1.2.4 THE NATIONAL TAXPAYERS ASSOCIATION OF KENYA (TNTA)

The National Taxpayers Association of Kenya (TNTA) is also another example of CSOs implementing governance programs in Kenya. The history of the TNTA of Kenya goes back to the year 2006 when a group of CSO leaders and leaders from

the private and public sector including government representatives founded the organization. This happened as a result of a report by Centre for Governance and Development (CGD) in its Economic Governance Program (EGP). CGD analysis of the Controller and Auditor General's Reports from 1993 – 2003 and more recent findings revealed a serious trend in waste and mismanagement of public resources through state-owned enterprises in Kenya.

The CGD report showed huge losses of public funds estimated at Ksh.256 billion over a 10 year period. The losses were indicative of poor service delivery to the public by service providers and this meant that the citizens had lost funds that would have helped meet their welfare. It was also indicative of poor implementation of public projects, culture of abuse and impunity among other poor governance practices.

This grave situation led to the founding of TNTA as a response to a growing interest among citizens to realize increased government accountability regarding the collection and use of taxes. The process to found the organization started with consultation forums so to gain inputs from various stakeholders. These forums were run from October 2005 to April 2006. They were held in Nairobi, Mombasa, Nyeri, Kisumu, Eldoret, Machakos, Busia and Garissa. These meetings involved more than 350 stakeholders representing more than 200 organizations from across Kenya. Representatives included Government of Kenya, NGOs, FBOs, CBOs, development partners, private and informal sector association, Trade Unions, among others.

In April 2006 these multiplicity of stakeholders decided to establish the TNTA to improve collection and utilization of taxes. The citizens and CSOs were in a situation of frustration due to abuse of taxpayers' funds especially in socio-economic development focused funds such as the Constituency Development Fund (CDF), Uwezo fund, Kazi kwa vijana fund, Local Authority Transfer fund (LATF) and others.

The founding of TNTA was informed by the need to realize a citizen-responsive government as a pre-requisite for good governance. The argument was that citizens pay taxes and therefore have a right to have a voice on how their money was used ensuring effective service delivery. It was deemed that citizens had a right to demand for better services as they have a stake in national revenue.

TNTA first project was development of Citizen Report Cards (CRC) as social accountability tools to enable citizens' engagement in respect to management of devolved funds and government service delivery. The cards were expected enable citizens to demand their rights from an evidence based platform.

In its work TNTA was informed and encouraged by success stories in respect to such interventions in other parts of the world especially in India. In India in particular the CRC has been successful in enabling communities to hold their local service providers to account for delivery of quality services. The CRC tool was developed by Public Affairs Centre (PAC) in Bangalore city in Southern India. With these tools citizens in India monitored the government service delivery over a 10 year period assessing quality of service. The tool was successful in pushing the government service providers to improve delivery of local services.

These successful cases from India were instrumental in making TNTA adopt the CRC tool to work towards empowerment of communities to demand for quality services from their services providers. Since inception TNTA has evolved as a force to reckon with and has eight regional office with a secretariat in Nairobi with field operations across Kenya. TNTA claims to have established effective channels for citizens' demands for accountability enhancing government service delivery and building the interactions between national and county government and citizens of Kenya.

Key programmatic areas for TNTA have been:

- (i) Building citizen demand and strengthening government service delivery
- (ii) Communication and knowledge
- (iii) Tax justice, research and development

In these efforts TNTA focuses on promoting good governance through citizen empowerment, enhancing public service delivery and partnership building. Overall purpose for TNTA has been to promote accountable, effective and efficient collection and utilization of public resources.

TNTA claims to have an edge when it comes to innovative program approaches, skills in citizen mobilization to demand for accountability and citizen oversight and for this reason the organization was established to push for good governance in Kenya.

There has been specific achievements as claimed by TNTA including citizen empowerment through organizing them into community monitoring committees and other such forums so as to demand accountability from the government. TNTA has also acted as an interface between citizens and public services providers. The organization has also been involved in research and information dissemination. Other achievements are that the organization has realized progressive reach across several parts of Kenya.

1.3. PROBLEM STATEMENT



Despite continuous efforts for decades by CSOs and other stakeholders to address governance issues, challenges related to governance continue to be at the center of recent debates in Kenya. Poor governance especially corruption and impunity still thrive unabated as argued by Society for International Development (SID) (2012). The latest Kenyan constitution 2010 raised hope through its components of strengthening systems of checks and balances to ensure good governance especially transparency as noted by Martin (2012). However, Lasner (2012) notes that its implementation has been slow including aspects on anti-corruption. Despite the positive changes spelt in the new constitution, Lasner (2012) argues that there is widespread perception that corruption permeates all sectors of public life in Kenya.

However, Transparency International (TI) has noted slight improvement in terms of Corruption Perception Index and the World Bank's Governance Indicators, but Kenya still scores poorly as noted by Martin (2012). In 2011 the country was ranked 154 out of 182 countries assessed by T.I. World Bank has also noted other governance improvements including 'government effectiveness' from a score of 28,3 in 2002 to 36,2 in 2011, and in relation to voice and accountability from 25,5 in 2002 to 40,4 in 2011. Kenya citizens further confirm widespread experience of bribery with a bribery demand at 29.5% according to East Africa Bribery Index 2012 as noted by Martin (2012).

This study was set within efforts by CSOs to address these governance challenges and the resultant failure of such efforts to improve governance and hence improve people's wellbeing.

While many aspects of grassroots programs have received attention by scholars and researchers in Kenya, one that therefore deserves greater attention is governance. Yet CSOs efforts in governance are neither fully recognized nor addressed in current theory and practice. Available literature on this work by CSOs is principally concentrated on developed countries, a few on developing countries of Latin America and South East Asia, while available studies in Kenya fail to give the CSOs-led governance programs adequate attention despite their increase. Available studies in Kenya overlook these programs and particularly their role in strengthening governance among communities in the country. While there has been significant studies on CSOs in Kenya with a focus particularly on women groups (which are also in the category of CSOs), the studies fail to provide a comprehensive analysis of the performance of such groups in terms of governance, a gap that this study hopes to partly fill.

While there is evidence on positive outcome of these efforts by CSOs in developed countries as noted by scholars such as Wampler and McNulty (2011), literature cites lack of comprehensive studies on positive outcome of these efforts. In Kenya as well, there are minimal systematic studies on the activities of CSOs as argued by Kanyinga and Mitulla (2007) and Brass (2010).

1.4 OBJECTIVES OF THE STUDY

The objectives of the study are as outlined below:

- (i) To assess how CSOs can encourage communities to participate in governance processes effectively.
- (ii) To analyze the capacity of CSOs in assisting communities to implement good governance principles and values.
- (ii) To identify community engagement mechanisms which can promote effective governance and inter-action

1.5 RESEARCH QUESTIONS

The research questions of the study are as follows:

- (1) How can CSOs encourage communities to participate in governance processes effectively?
- (2) What is the capacity of CSOs in assisting communities to implement good governance principles and values?
- (3) What are community engagement mechanisms which can promote effective governance and inter-action?

1.6 SIGNIFICANCE OF THE STUDY

This study deepens and contribute knowledge in respect to CSOs-led governance programs. Learning gained from this study informs how governance approaches being implemented could be supported and improved and informs policy as well. The new Kenyan constitution proposes a raft of changes among them an ambitious shift in governance, from centralized system to devolved system of governance. After 2013 general elections Kenya started to implement the new constitution and a major step has been devolution of the traditional centralized government. 47 counties have been created and they are busy also creating systems to enable community participation as this is also a major requirement of the new constitution. CSOs have had the tools of community participation since early 1990s and therefore have a lot of lessons that can inform county governments' efforts at community involvement in the governance process within the new constitutional dispensation.

Governance is a serious challenge in Kenya where poverty levels are high and growth rates have plummeted. There is therefore an urgent need for effective governance programs at community level. Learning gained from this study helps inform how governance approaches being implemented could be synchronized and harmonized for better efficiency and effectiveness.

Governance issues are today at the heart of aid programs in Kenya. The focus on good governance gained more prominence at the Millennium Declaration by 191 states in 2000 that led to the crafting of the Millennium Development Goals (MDGs).The first goal is eradicate extreme hunger and poverty. The second is to

achieve universal primary education. The third is to promote gender equality and empower women. The fourth goal is to reduce child mortality. The fifth goal is to improve maternal health. The sixth goal is to combat HIV and AIDS, malaria and other diseases. The seventh goal is to ensure environmental sustainability and the eighth goal is to develop a global partnership for development (UNDP, 2010). The states present at the Millennium Declaration recognized that good governance has to be prioritized in each country if poverty eradication efforts are to succeed.

Also the NEPAD policy on sustainable development at the First African Union Conference of Planning Ministers held in Tripoli in April 2003 and the African Union in Maputo in July 2003 reiterates that poverty can only be effectively tackled through promotion of good governance among other key principles. This study highlights efforts that CSOs are putting forward in achieving good governance in rural Kenya. Its outcomes are a useful tool to inform the Kenya government as it strives to give good governance more attention in line with the Millennium Declaration and other instruments that it has committed itself to.

Currently, not much is known about CSOs including initiatives that they focus on from the available literature (Kanyinga and Mitulla, 2007). While there are many studies in Kenya on CSOs many have focused on women groups and self-help groups which are also categories of CSOs. However, most of these studies have overlooked the question of governance. Governance initiatives in as far as CSOs are concerned are yet to be analyzed in a comprehensive way. This study results to a construction of a general framework for understanding of CSOs and the governance programs that they implement particularly in rural areas.

The study also provides relevant information to inform policy practice on CSOs role in respect to promotion of public participation in rural governance. The results of this study are particularly important to the government of Kenya and other development agencies as a tool for planning especially in respect to devolution interventions at local levels. The study provides an opportunity to understand CSOs interventions in governance better and see how they could be supported to play this role more effectively now and in the future. It also specifically presents views of the respondents on what they think are the desired changes in these interventions by CSOs at local levels.

CHAPTER 2

LITERATURE REVIEW

2.1. INTRODUCTION

In this section, the researcher discusses the key concepts including the theoretical framework that guided the study. Attention has also been given to key concepts of the study including the concept of Civil Society Organizations and concept of good governance.

2.2 CIVIL SOCIETY ORGANIZATIONS (CSOS)

CSOs are organizations in the society that work outside the state and are made up of several individuals coming together. However, there is no agreed meaning of the concept. Edward (2005) argues that CSOs are the “associational life of society” that develops values such as tolerance and cooperation among people. Secondly, he conceptualizes CSOs as “the good society” based on social contracts negotiated between government, business and citizens. Thirdly, Edward (2005) conceptualizes CSOs as the “public sphere” that cares about the common good. This has to do with shared interests, willingness to accommodate others with opposite views and work together to pursue common goals. The “public sphere” brings in the consensus across competing views – politics, ideology, race, gender and culture in an associational collaboration and inclusion.

Another Scholar Heyden (1996) states that CSOs refers to a vast web of private and public associations which are guaranteed the right to organize, mobilize, and if they desire, to influence political decisions free of the state’s control.

Edward (2005) argues that the organizations are about the cooperative spirit of the society where people come together for common goals. Edward (2005) also states that CSOs are made up of the public sector of the society that cares about the welfare of the people. Nzomo (2003) however argues that CSOs have to do with family and blood associations or groups but this does not include political groups. She also includes the informal associations in rural areas in the category of CSOs. Edward’s (2005) conceptualization of CSOs as the “public sphere” helps shape the

focus of this study whose concern is those CSOs whose interest is the “public sphere” and the “common good” of all.

Arriving at an agreed concept of CSOs in Kenya is problematic as there are a multitude of these organizations with very different characteristics and approaches especially since the 1990s. In Kenya, CSOs include Non Governmental Organizations (NGOs), Faith Based Organizations (FBOs), self help groups, professional associations, cooperatives, social clubs, the media and community based organizations (CBOs).

Different scholars give different meaning to CSOs and there is no one agreed definition. According to Edward (2005) CSOs means the “associational life of society” that develops values such as tolerance and cooperation among people. He also argues that it could mean “the good society” based on social contracts negotiated between government, business and citizens. Also he states that it could mean the “public sphere” that cares about the common good. Edward (2005) perceives the three meanings of CSOs building on each other for a more compelling definition of the term. “Good of society” builds on “associational life” as all people coordinate across different sets of institutions.

2.2 GOOD GOVERNANCE AND PRINCIPLES OF GOOD GOVERNANCE

According to Hyden (1996), governance has to do with the task of running a government or any other organization. He gives an explanation using three variables namely: citizens firstly influence by participating in the governance process and put forward their opinions, then follows the aggregation of these opinions for developing public policy; then the means for holding the rulers accountable to the citizens for their decisions and actions. Secondly, Hyden (1996) argues that governance is all about responsive and responsible leadership and thirdly he continues to note that it has to do with social reciprocity which refers to the extent citizens or groups treat and tolerates each other. This would be in line with classifications that have been referred to as ‘good’ governance and ‘bad’ governance, for example, as argued by the World Bank (1989).

These three variables can be used to classify the relationship between rulers and the ruled in two broad categories of 'democratic' and 'authoritarian' in respect to the nature of governance that emerges in that relationship, (Wanyama, 2002). A regime that upholds this ethos would be 'democratic' while the one that does not would be termed to be 'authoritarian'. However, other scholars such as Rhodes (1996) argue that governance extend beyond political sovereignty and applies the concept to the domain of all social organizations.

According to the World Bank (1989) governance is a process through which decisions are made and implemented and that government is one of the entities involved in governance and that others include landlords, farmers associations, cooperatives, NGOs, research institutions, religious leaders, finance institutions, political parties, military and others.

The World Bank (1989) also highlights principles of good governance that include participation of all involved, has consensus, is accountable, transparent, responsive, effective, equitable, is inclusive and observes the rule of law. Grinde (2004) has also noted that good governance has been viewed as an ideal situation not easy to realize.

Shiple and Kovacs (2008) argue that research support that good governance principles and practices are crucial for efficient performance of agencies. Shiple and Kovacs (2008) also outlined a set of governance principles including voice, that include existence of tolerance, respect of rights, absence of gender discrimination, compliance with set international standards, conventions and guidance, effective performance that includes cost effectiveness, efficiency, accountability and absence of corruption, access to information, fairness and respect to rule of law.

Some writers find it useful to view governance in terms of structure; others perceive it as a process, while still others look at the outputs or outcomes of the process. Hyden's (1992) focus is a structural form of governance. He argues that governance has to do with how governments functions. However, Peters (2002) definitions of governance gives focus on process. Peters conceptualizes governance in terms of "the rules, processes and behavior that affect the way in which powers are exercised, particularly as regards to openness, participation, accountability,

effectiveness and coherence”. This is also in line with the definition proposed by the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) which said that governance means “the process of decision-making and the process by which decisions are implemented (or not implemented) UNESCAP (2011). This process-related definition helps this study in conceptualizing governance as a similar concept to participation. Peters (2002) acknowledges importance of participation, that is, participation by both men and women in decision making as a key cornerstone of good governance. Participation could be either direct or through legitimate intermediate institutions or representatives. The concept of participation is becoming less concerned with participation in projects and programs and more focus is going to participation in decision making on issues that affect people’s lives. Participation is increasingly being seen as the right of people to become involved in decision making on issues that affect their lives.

Further expanded conceptualization of governance beyond functioning of government is that by UNDP (2002) and other donor organizations such as the World Bank, Institute on Governance of Canada, and the Asia Development Bank. These have further expanded the concept to mean the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences. In respect to the World Bank (1992) this expanded concept of governance has been due to a search for economic and political liberalization for countries in the developing world.

In UNDP (2002) terms, good governance is a situation where its three principle arms; economic, administrative and political are accountable, transparent and participatory. UNDP argues that good governance is also premised on building capabilities and opening opportunities for and by people, as opposed to a basic needs charity or welfare model of development. The argument is that governance relies on certain prerequisites being in place such as open access to information, participation of those likely to be affected by outcomes of public decisions, and ability of the legal system to ensure rights are respected and adhered to.

UNESCAP views governance as a process of decision making, that is, how decisions are actually made UNESCAP (2012). The argument is that the process has to give attention to both informal and formal actors in the process of decision

making. UNESCAP points out that while government could be involved other actors could be at play depending on which government one has in mind. Other actors particularly in rural areas could be influential landlords, associations made of peasant farmers, cooperatives, NGOs, research institutions, religious leaders, finance institutions, political parties, the military and others. Other actors may take part at national levels including the media, lobbyists, international donors, multinationals and such others who may either participate in decision making process or have a major influence on the process.

Often, according to UNESCAP (2012), while formal government structures may be involved, informal structures may also be involved in the decision making process. Informal ones could be “kitchen cabinets” and other informal advisors. In urban areas cartels and criminals may have a hand in influencing process of decision making. UNESCAP (2012) argues that such informal arrangements often arises from corrupt process or contributes to corrupt practices.

UNESCAP (2012) outlines eight principles of good governance as follows:

2.2.1 Participation

Both men and women have to participate in decisions making process and this is a key principle of good governance. Participation could either be direct or through representation, however, participation by representation may not always ensure articulation of the views of those being represented UNESCAP (2012). It is also important to ensure that those participating in decision making are fully informed and organized. People participating in decision making also have to have the freedom to state their views and also be well organized as they pursue their agenda.

2.2.2 Rule of law

Legal frameworks are a pre-requisite for good governance. Laws need to be in place and be enforced in an impartial manner. The protection of human rights is also important as an independent judiciary and police force that are beyond being corrupted.

2.2. 3. Transparency

This means that when decisions are made, they are made in a way that those involved observe the rule of law and the regulations put in place to regulate such processes. Also, those to be affected by decisions need to be put in the know and kept fully informed. Further, such information on decision making process needs to be easy to understand to all parties concerned.

2.2.4. Responsiveness

This means that good governance needs to ensure that institutions and processes always make efforts to meet the needs and expectations of all stakeholders promptly without unnecessary delays.

2.2.5. Consensus building

Since there are many actors and therefore possibility for differing views, crucial good governance principle is that the parties involved need to exhibit spirit of consensus building so as to come to a decision that meet the best interest of all. A clear understanding of the context is therefore important in this regard.

2.2.6. Equity and inclusiveness

As decisions are made all stakeholders need to feel included and part of the decision making process, and not the other way round whereby some feel excluded from the process. All stakeholders, including the vulnerable, need to feel part of decision making.

2.2.7. Effectiveness and efficiency

The process of decision making need to have outcomes that satisfy the needs of society while making best use of resources. This includes sustainable use of natural resources and protection of the environment

2.2.8. Accountability

It is important for all stakeholders involved in decision making including the government, civil society, private sector and others, to be accountable to the public. Accountability need to be directed especially to those that will be affected by decisions being made. Also accountability goes hand in hand with transparency and the rule of law.

2.3 GOVERNANCE STRUCTURES

According to Rhodes (1997) these are structures arising out of process of self-organizing, inter-organizational networks. It is characterized by interdependence, resource exchange, rules governing the interactions with significant autonomy from the state". UNDP (2002) views these structures as those implemented to facilitate good governance. They include committees, self help groups, social audit teams, budget tracking committees, alternative leadership forums, and other organizations formed or supported to implement governance activities. They are as a result of ideas and knowledge on how governance should be handled at community level, or how communities could be involved.

2.4 HISTORICAL PERSPECTIVE OF CSOS IN KENYA

Kameri-Mbote (2002) argues that In the 1930s and 40s, there were four major types of CSOs. There were charitable organizations which were Christian initiatives among them the Young Men Christian Association and the Young Women Christian Association that were operational by 1930. There were also ethnic based organizations that were welfare in nature. These were involved in self help activities mainly in urban areas. There was another category of CSOs that was more secular in nature that emerged after the second world war. Among these were the War Veterans' Association and the Kenya Farmers Association (KFA). Originally KFA was a white settlers association but after independence African farmers were involved. Other categories of CSOs that existed in the 1930s and 1940s in Kenya were the occupational and professional bodies Kameri-Mbote (2002).

After independence in 1963 there was the challenge of building the young nation of Kenya and to address poverty that affected most people. Growth of CSOs happened by 150% from 1970s to 1980 as they sought to fill the gap where the government and market forces had failed in meeting people's needs. These CSOs were not well tolerated at this time by the State as they were seen as a threat to national security. This hampered their operations due to suspicions that existed between them and the State Kameri-Mbote (2002).

The sharp economic decline that happened from the 1980s forced the World Bank and IMF to prescribe market forces to address the problem. However these did not work in tackling the problem of economic decline during this period. This situation set the stage for further CSOs growth as these organizations were viewed by many as the solution to problems affecting people's lives Kameri-Mbote, (2002). A key problem facing the people was unequal distribution of resources which persist up to present time. CSOs were expected to address the marginalization of communities by tapping the wealth and re-distributing to people on equal basis. Some CSOs took on political activism role to push for social-political change. CSOs involved in this work often engaged in policy-advocacy activities to keep the government accountable to its people.

Many more CSOs were formed and became more active in the 1990s following the liberalization of the political and development space whereby CSOs were now more tolerated Sall (2009). According to Sall (2009), CSOs have been at the initiation phase of many social and political movements which have led to change in Africa, Kenya included. He provides a number of examples in Africa where CSOs have been triumphant in the past. These include the students' movement in Senegal in 1966 and particularly in 1968 that forced the Government to open up space for dialogue. Secondly, the trade union movement in Mali, supported by the students' movement which led to a military coup that toppled the regime which had been in place for 22 years. The pressure from the trade unions led eventually to multi-party elections which brought Alpha Oumar Konaré to power.

Here in Kenya, repressive regimes were precipitated by introduction of a single party electoral system and the transfer of supervision of elections to Provincial

Administration that was controlled by Kenyatta and Moi regimes during which electoral malpractices flourished Wanyande, etal (2007). The electoral system produced illegitimate representatives who were not able to articulate the needs and interests of the electorate. Policies were formulated to meet the interests of the representatives and not those of the electorate. Pilferage of public resources through corruption, land grabbing and high salaries was the norm among the elected leaders. The transition from Kenyatta era to Moi era did not witness much change in governance. This triggered CSOs to push for change in early 1990s through demand for re-introduction of multi-party democracy.

Among the serious governance issues that have faced the country is the violence that took place after the elections of 2007 where 300,000 people were displaced and 1000 were killed. Also scandals have continued to be part of the multi-party era including the Anglo-Leasing scandal, the Grand Regency scandal, and the maize and oil saga. Many of these scandals remain unresolved to-date.

In summary there has been continuous struggle by CSOs to address governance challenges in Kenya. However as the literature in this section reveals, there has been transition without any serious changes in the governance and administration of the country since independence in politics and in development. CSOs have intervened by promoting public participation in local governance, although such contributions have not been comprehensively interrogated, a gap that this study is out to partly fill.

2.5 PERSPECTIVE OF CSOS AND GOVERNANCE IN OTHER COUNTRIES

2.5.1 CSOs in India

Vyasulu (2007) discusses the important contributions of CSOs in India. He indicates that for many years CSOs have been active in India and corruption is one of the key issues they have focused on. Corruption is perceived by many in India as a key stumbling block to the country's economic growth. CSOs have made major contributions to address the situation of corruption in the country among other challenges. One action that CSOs have taken is recourse to the courts and often they have won cases.

According to Vyasulu (2007), due to these actions by CSOs, it is now mandatory for anyone seeking elective positions to declare their assets and disclose such information to confirm if there were any criminal charges against them. This is part of CSOs contributions to the electoral reforms.

Another aspect that CSOs have pushed for in India is timely access to information as a prerequisite to accountability in governance and which is expected to enhance transparency Vyasulu (2007). CSOs have also demanded to be included in contributing their views towards policy formulation and in the implementation of programs particularly those programs meant for the poor. These CSOs demands led to the enactment of the Right to Information Act 2004. CSOs have been involved in monitoring its implementation. Such actions by CSOs have led to raising awareness and increasing consciousness among citizens about their roles in democracy. Citizens have come to learn that their roles do not just end with elections after voting but have to be continuous whereby citizens and their organizations demand that their voices be heard and their demands be met.

As a result of these actions by CSOs people's participation in governance has taken root and has been enshrined in the 73rd and 74th constitutional amendments whose requirements include "local self governments" meant to enhance such participation in a democratic framework. Vyasulu (2007) provides specific examples of CSOs contributions in governance as follows:

2.5.1.1 Madhya Pradesh District planning committees:

This region provides a good example of what CSOs have done in India in respect to governance. As a result of citizen participation in governance along with other factors, there has been a marked improvement in literacy by over 20% in 10 years. Such work by CSOs in India has brought about situations where citizens no longer perceive governments as "know it all" to a new situation where citizens constantly demand that government listen to them and act according to these demands.

With such actions by CSOs, this has contributed to changes, for instance, while government plans were previously made without citizen participation, there now exists a process that has citizen participate and determine what goes into such

government plans. District planning committees are now enshrined in the constitution.

2.5.1.2 Kerala district's village council

Kerala district provides another example of CSOs contribution to governance issues in India. The local village council has documented local resources and has made plans for what is needed in 5 years time

2.5.1.3 Rajasthan district's Peasant and Laborers Struggle Association

In Rajasthan, the Peasants and Laborers Struggle Association brought together citizens who have demanded access to the muster rolls on the basis of which wages were paid to laborers. The state at first refused to grant their request and this led to protests and then to establishment of a movement for the right to information. Rajasthan and Karnataka districts were the first to enact the Right to Information law (RTI), but further pressure by CSOs led to a nationwide RTI law. CSO are involved in monitoring the implementation of the law.

2.5.1.4. Delhi's Resident Welfare Associations

In Delhi the state consulted Resident Welfare Associations seeking to understand citizens' priorities. However, the associations got together and protested against arbitrary increase in power rates. Citizens demanded that power bills be within the requirements of the regulator who had permitted rate increases only when savings in transmission losses were shown. These associations have become a force to reckon with in the governance of city issues.

In Delhi also a people's movement by the name *Parivartan* used the Delhi Right to Information law and pushed to ensure that poor citizens received their rights and entitlements for Public Distribution System. They have trained the citizens to ask specific questions that have led to the public supplies system to work and function effectively. The work of *Parivartan* received resistance but citizens supported the CSO and this has made it a force to reckon with in Delhi.

2.5.1.5. PRS Legislative Research

This is an independent body that provides parliamentarians with simple to understand briefs on major issues coming before parliament. These simple briefs have made PRS credible.

2.5.1.6 Four NGOs in Bangalore

Four NGOs in Bangalore launched the PROOF campaign whereby citizens demanded quarterly financial statements from the government. As a result of these demands the government always provided information, it was debated upon, and this process is still on-going. The four NGOs have worked together towards achievement of common goals.

2.5.1.7. The Centre for Budget and policy Studies in Karnataka

The Centre for Budget and Policy Studies (CBPS) has been focusing on Municipal Budgets of small towns in Karnataka. They place results of their analysis of budgets on website so it is accessible to all. This is often followed with workshops and debates where CBPS meets with elected representatives to enable them gain a clearer understanding of the results. The CBPS has also come up with a film called "The Story of Municipalities" which they use to stimulate debate in many forums.

2.5.1.8 Centre for Youth and Social Development, Orissa State

In Orissa State, dialogues were initiated by the Centre for Youth and Social Development (CYSD), with the speaker of the State Assembly. The CYSD organized workshops to create awareness among members of the State Assembly on how they could make inputs to the State Budget. The CYSD has also put together a series of publications called "Budget watch" which have been debated by the members of the public.

Also in Orissa State, in the poorest district of Koraput where majority are poor tribals, the Centre for Analytical Tribal Studies (CATS) has been documenting the situation of the poor tribals and sending the information to the local administration for them to get clearer picture of the situation but to also be effective in meeting the needs of the poor tribals.

2.5.1.9 Hyderabad, Lok Satta

Lok Satta in Hyderabad started as a movement against corruption. However it has since transitioned to a movement for clean elections. It is today involved in demanding electoral reforms.

2.5.1.10. Mumbai, Cehat

Cehat is an organization that works on health issues in Mumbai. It monitors state's investment in health and documents emerging information. The data has been a useful reference for all working in health sector.

2.5.1.11. Pune, Prayas

Prayas is an agency that works on areas of energy policy. It takes part in debates on the energy needs of the poor people and the existing inequalities as the poor try to access energy.

2.5.1.12 Kerala, Thenal

Thenal is an agency in Kerala whose focus is on environmental issues and food security. Through its field studies, it makes important contribution to policy debates and has been successful in policy advocacy that has contributed to policy changes on many occasions. One of these policy changes is the banning of the use of endosulfan in north Kerala agriculture.

2.5.1.13 Sanket Development Group

Sanket Development Group (SDG) is a key organization that started with a focus on a Human Development Report for Madhya Pradesh in the 1990s for the state government. In places that were found with low Human Development Index (HDI), the organization used the information to persuade government to allocate more funds to such districts. It is also involved in budget analysis at district levels and has even assisted in preparing budget estimates for Videsha district and shared these with government and NGOs.

2.5.1.14. Wada Na Todo Campaign

In 2005, more than 100 CSOs together launched the Wada Na Todo Campaign which means Don't Break Your Promises Campaign. The campaign sought to

monitor promises made by the new in-coming government that assumed office after elections. The campaign was major as it had a nationwide reach.

These examples in India serve to demonstrate that CSOs have not only been active in India but also quite successful in their efforts on citizen participation in governance. Most of the CSOs do not work on their own but have learnt the value of networking in order to make meaningful impact. As a group of CSOs they have shown the potential to have even bigger impact.

2.5.2 CSOs in Latin American

CSOs in Latin America have been successful at achieving policy changes in respect to governance issues. CSOs have been pushing for accountability by carrying out independent analysis of the implementation and outcomes of public policies and programs. To access the information for these actions, CSOs have used the Right to Information (RTI) Act that is guaranteed by Freedom of Information Act (FOIAs), Constitutions or Court decisions. Through these actions, CSOs have brought to light mismanagement and inefficiencies in public policies, and pushed for changes to ensure that policies benefit the poorest sections of the society. CSOs have successfully used the right to information as a tool to improve accountability and social justice in Latin America.

There has been, in the last two decades, legal reforms that include court rulings and enacting FOIAs in many parts of the world. This has provided a conducive environment for citizens' right to request and access public information. CSOs in Latin America have taken advantage of this right and have used it as a powerful tool for monitoring and analyzing the social impact of public policies and pushing for accountability.

CSOs in Latin American have put to use the Right to Information Act and are implementing social audits that entails carrying out an independent assessment of government policies and programs. The audits often aim to realize several goals and among them are the following:

- (a) To realize an improved level of transparency of government performance including the use of public resources

(b) Also to strengthen overall accountability

(c) Others are to ensure that public policies and programs are advancing social justice and reducing inequalities

Such social audits in Latin America have often been implemented through five crucial interventions thus:

- (i) CSOs take part in identifying poverty related challenges in such sectors as education, safe water or access to health and establish the extent to which current public policies are addressing them.
- (ii) CSOs also define the strategy to be used to undertake the assessment of public policies including type of data and information that will be used to do so. They also establish the partners that they can work with and who can at the same time benefit from the assessment.
- (iii) CSOs also gather the public information that is necessary to carry out the assessment. They request for information from the public on government performance in respect to specific policies.
- (iv) CSOs also analyze the information so gathered to determine how the public policies have been implemented and to establish their outcomes. Findings are documented in a report that also has recommendations for where government needs to work better to address the social problem.
- (v) CSOs use outcomes from their analysis to agitate for changes or improvements of public policies.

The following are specific case studies on these actions by CSOs in Latin America:

(a) CSOs monitor Mexico's Farm Subsidies Policy

The Mexican federal government gave about \$US 4.7 million to enhance the agricultural sector through farm subsidies in 2010. The government often made claims that most of these subsidies benefited small-scale farm producers (under 10 hectares), but there has not been comprehensive studies to substantiate the claims and establish who actually received the subsidies. A CSO by the name Fundar used the Right to Information Act and together with the National Association of Peasant Marketing Enterprises (NAPME) and the University of California Santa Cruz, with

technical support from the Environmental Working Group, came up with an electronic platform called Farm Subsidies to make tracking the subsidies much easier. The electronic system was designed and put together by bringing together the six subsidy programs' recipient lists into one database. Some lists were got from the government websites, while others had to be specifically requested using the right to information that the Mexican FOIA, enacted in 2002, guarantees.

The findings from this process show the extent to which government has reliable information while at the same time analyzing the information. Findings revealed that the Mexican Government had put in resources mostly in large-scale agro-industry instead of small-scale farmers. Due to this, the farm subsidies had raised social inequalities, rather than promoting poverty alleviation through rural investment in productivity. Findings also revealed that subsidies had been given to drug-related criminals, government officials and to pieces of urban land. This information was brought to the attention of the government and they were pushed to act on it and change the anomalies so that the deserving citizens could benefit from the project. As a result of the analysis of the Farm Subsidies Policy by CSOs, the policies got media coverage with journalists questioning the effectiveness of the Farm Subsidies Policy. Due to the publicity on the failure of these policies, some government officials were removed from duty and reforms were introduced to ensure that subsidies were only given to small scale producers. Other results were that the Supreme Audit Institution mandated with budget oversight, forced the government officials who benefitted from the subsidies to return them. This case of the Farm Subsidy platform that was made possible through CSOs request for use of public information, has been a powerful tool for enriching the public debate on the distribution of agricultural subsidies and for improving accountability.

(b) Tracking oil Revenue Distribution in Ecuador

Distribution of oil revenues in Ecuador especially for public institutions has not been transparent since 1970s. National Planning and Accountability Criteria is often not followed.

In 2007 a CSO by the name Grupo FARO in Ecuador, began to track the distribution of oil revenue to public institutions from 2003 to 2007. By doing this, they sought to understand how funds were distributed and which agencies benefitted from oil revenue income.

Grupo FARO took advantage of the Freedom of Information Act (FOIA) that was enacted in 2004 and requested information from public agencies that had received oil income. They also got information from public institutions in charge of distribution and transferring the funds that included the Central Bank and Ministry of Finance. Despite existence of FOIA, Grupo FARO found the process of requesting information difficult. Central Bank was not keen to provide information and argued that 'bank secrecy' limited them from giving out information and so they denied Grupo FARO the information they had requested.

Grupo FARO was able to collect information that showed how resources were pre-allocated to certain institutions including the military, social security system, private universities and others. The distribution was found to have mainly targeted privileged groups, hence, the government failed to achieve equity.

The result of Grupo FARO work were important as they contributed to public debate and provided useful evidence needed in design of new laws related to the oil sector in general. As at the end of that year, a new law was enacted which eliminated earmarked expenditures for distributing extractive industries' income, one of Grupo FARO's recommendations. Grupo FARO has continued to push for increased transparency and accountability in respect to oil revenue in Ecuador. Grupo FARO was involved in drafting a bill in respect to extractive industries' information that the government should make public. Also after its assessment and findings Grupo FARO has held workshops with communities explaining to them how oil income is spent in Ecuador.

(c) Monitoring sustainable Human Development: The Costa Rican State of the Nation Report

The social problems that plagued Costa Rica 17 years ago is that the country lacked data to help the country monitor indicators such as poverty, education, inequality , pollution and others. In 1994 four public universities came together and formed the National Council of Rectors (Conare), as an academic and research program namely 'State of the Nation'. The program was meant to systematize data in four areas thus: economic, social, political and environmental. It was expected to release the findings and the analysis in its annual 'State of the Nation' Report.

As of 2012, seventeen reports had been released. Due to their academic rigor, they were seen to be credible and have been accorded social legitimacy and widespread dissemination. They have included annual training of 3000 people and have provided about 250 new stories and 5 million hits on its website.

To access information to enable production of the findings, researchers participating in the report requested the government for information. Though Costa Rica does not have FOIA, a resolution from the court and other legislation that guarantees right to information was used by the researchers. Findings indicated that the data has been useful in revealing the country's progress and setbacks on issues such as poverty, education, pollution and inequality. For example, the findings revealed increasing ecological damage and conflicts that the country was encountering and the need to improve legal frameworks to address the challenges.

The results of these findings have helped improve policy making in several areas. For example, the methodology used to measure poverty has been enhanced. The report has become an important reference for other stakeholders such as decision makers, journalists, academics, CSOs and citizens. The credibility of the report has been confirmed by the fact that the President of the country or other high ranking official always attends the release of the report. Ombudsman office has provided continuous support to the initiative.

(d) Independent assessments in Latin America

Governments in Latin America have become more open to public scrutiny and more receptive to CSOs. This has been confirmed by the fact that governments in the

region have implemented policy changes and even removed public officials as a result of the findings of independent assessments done by CSOs.

The adoption of FOIA by more than half of Latin American countries, including Court decisions in Argentina, Chile, Colombia, Costa Rica, Paraguay and Uruguay, have facilitated citizens' rights to access public information. This has been crucial for being able to carry out independent assessments. In countries without FOIA, court decisions have been important, for example in Costa Rica and Paraguay. The court decisions provided legal basis for citizens to request and access public information.

CSOs involved in analysis of public policies and programs in the region have acquired capacities to identify and analyze social problems not being addressed. They request public information using the FOIA and access information on government performance. They analyze the information, make recommendations to government and push for policy changes and increased accountability and social justice. CSOs have also been able to interact with appropriate partners including the marginalized groups. Other institutions including the media, ombudsman offices and the Supreme Audit Institutions use the information to hold the government to account. CSOs have also been able to build networks and linkages for dialogue with government authorities which have resulted often in specific policy changes.

2.5.3. CSOs in Eastern Europe

The *CSO Sustainability Index for Central and Eastern Europe and Eurasia* has been an effective tool that shows that CSO sectors in the twenty-four countries in Eastern Europe are highly diverse. CSO sector in a number of countries is experiencing a situation of democratic challenges and is generally weakened, while they are also increasingly focusing on regional challenges such as the refugee crisis and promoting EU-related reforms.

CSOs in Estonia and Poland in particular, as well as most other Baltic and Visegrad countries, have had an advantage in term of a supportive legal environment, infrastructure, and public image, and have significant organizational capacities, and are strong advocates and service providers. While financial viability continues to be

one of the weakest dimensions of sustainability even in these countries, CSOs in Estonia and Poland have been able to get at more diverse sources of funding, and the government grants and contracts have also been available including those from individual and corporate philanthropy.

Over two decades ago, when the Berlin Wall fell followed by the Soviet Union downfall, there was a lot of expectations that democracy would spread across Central and Eastern Europe and Eurasia. These expectations have come to pass in much of the region. Eleven countries are now members of the European Union, whereby member countries are expected to have stable institutions that allow and facilitate democracy, the rule of law, and human rights. Another four countries are candidates for future EU membership. Also in this regard, though, democracy—of which the development of an independent civil society is crucial and important—is dying out in countries ranging from Hungary (a member of the EU since 2004) and Macedonia (an EU candidate country) to Russia and Azerbaijan (where democratic traditions have not grown and developed in a big way). While the situation improved slightly in 2015, Belarus has also generally kept off the introduction of democratic institutions. The most serious situation in 2015 was in Russia and Azerbaijan. While both countries have been viewed largely as Consolidated Authoritarian Regimes by Freedom House's *Nations in Transit* since 2009, when categorization were introduced, things took a downward spiral for the worse in 2015, as the blockage of civic space deteriorated in both countries. As a result, CSO sustainability deteriorated significantly. The enactment of prohibitive laws limiting CSOs' access to donor funding was a crucial part of both governments' actions for blocking the reach of CSOs.

In Russia, prohibitive laws were enacted in 2015 that were targeted largely to independent CSOs. These laws not only affected the legal environment, but also had serious negative impact on organizational capacity, financial viability, advocacy, infrastructure, and public image of CSOs. Several foreign agencies—including donors such as the National Endowment for Democracy (NED), the Open Society Foundation, the MacArthur Foundation, and the Mott Foundation—were pushed out of the country by this situation while others chose to voluntarily shut down their operations in Russia after the enactment in mid-2015 of the Law on Undesirable

Organizations, which went against and banned the activities of “undesirable” organizations in the country, thus blocking donor funding to the sector. At the same time, the list of CSOs considered foreign agents—organizations that intend to receive foreign funding and conduct “political activities,” a broadly defined term—expanded, and these organizations were identified and targeted for censure.

Due to this situation, fourteen organizations (14) were de-registered and dissolved in 2015, while others were blocked from accepting donor assistance in form of funds and had to reduce their programs drastically. Other CSOs also made arrangements for closure or suspension of their activities. The Law on Foreign Agents and the related negative campaign by state-controlled media and government institutions escalated and contributed to increased stigmatization of CSOs, especially those with foreign funding. Finally, since the Ministry of Justice perceived any interaction with the government as political activity, CSOs have avoided and kept away from communicating with government agencies a great deal, and this has resulted into a situation whereby their abilities to defend their rights and promote their interests are weakened.

A growing situation where there has been increased crackdown on CSOs in Azerbaijan got worse in 2015, resulting to a situation of a reduction in every facet of CSO sustainability. In the course of the year, the government drew a number of new rules and frameworks that limited access to funding and increase monitoring of CSOs. Due to this situation, donor funding became difficult to find for most CSOs. With reduced funding and other forms of support locally, a number of CSOs folded or cut down operations a great deal. The continuing intimidation of CSO leaders has also encouraged self-censorship by even the most outspoken activists, and this has resulted in a reduction both in terms of quality and quantity of advocacy efforts in 2015.

Civic space in Hungary has reduced a great deal since 2010, when Viktor Orban was elected prime minister for the second time. This downward trend continued in 2015. The downward trend of CSOs was noted in four dimensions of sustainability—legal environment, advocacy, infrastructure, and public image. Ongoing administrative intimidation and persecutory statements by the government have created an

atmosphere of hostility and threatened the sector. As the government has become increasingly closed to outside opinions, CSOs have found that traditional advocacy efforts have produced very little outcomes and many CSOs have given up trying to.

On the other hand of this situation are Belarus and Azerbaijan, where CSOs operate in highly restrictive legal environments with minimal space for independent advocacy, resulting in poor public perception of the sector. CSOs in these countries have minimal access to funding—both foreign and local—and weak organizational capacities. Further, the increasingly declining enabling environment for civil society in Russia is putting Russian CSOs in jeopardy that is more in line with these countries. The extent of the size of the civic sectors in the twenty-four countries covered in this Index, vary as much as the sectors' sustainability. While there are over 200,000 registered CSOs in Russia, there are just 2,665 registered organizations operating in Belarus.

2015 was a difficult year throughout Central and Eastern Europe and Eurasia, in respect to politics and even economically. Political difficulties were particularly evident throughout South Eastern Europe. CSOs reacted to, and were affected by, these happenings in different ways as discussed in the following examples.

- (a) In Macedonia, a network of many opposition parties boycotted parliament for much of 2015 to protest alleged fraud in the April 2014 presidential and parliamentary elections. The political situation got worse when the opposition presented evidence of mass illegal tampering with elections. To resolve the political situation, the leaders of the four largest political parties negotiated the Przino Agreement, signed in June and amended in July, and the opposition agreed to resume at parliament in September. CSOs and citizens came together and held several rallies in reaction to these dramatic events.
- (b) In Montenegro, the largest opposition alliance also failed to accept it participation in parliament over claims of electoral misappropriation and the poor state of democracy in the country. Opposition staged protests that resulted in violent confrontation between protesters and the police, resulting in injuries and property damage. CSOs were active in monitoring the October

protests and highlighted them live via social networks. After the confrontation between protesters and police, CSOs put together documentation on cases of excessive use of force and provided free legal aid to citizens injured during police clashes.

- (c) Political disagreements between the government in power and opposition parties in Kosovo were also increasingly evident. This resulted, in the course of the year, in the detention of several opposition members of parliament for throwing tear gas during parliamentary sessions to protest a government deal with Serbia that gives Kosovo's Serb-majority municipalities and increased powers. Public protests in Kosovo also amounted to violent clashes between protesters and police. These and other political happenings reduced the space for civic activism, leaving minimal room for CSOs to agitate their issues with the government during the year.
- (d) In Bosnia, transfer of power never happened on time after the general elections in October 2014. This was followed by the dissolution of the ruling political coalition at the Federation level in June, reducing government ministers by four. Due to this, most of the year CSOs failed to have anyone to pay attention to their concerns, and this affected negatively their advocacy role. Also, budgets from which CSOs are funded were delayed.
- (e) In Romania, huge protests in early November pushed for better anti-corruption measures and political reform, resulting in the government tendering their resignations, one year before the end of their terms. Through consultations with civil society representatives, a technocratic government was formed, which was expected to remain in power until parliamentary elections scheduled for late 2016 would be done. The administration includes several influential officials and advisors with credible professional backgrounds in the CSO sector. The new government also put together a ministry for public consultation and civic dialogue.

(f) In Moldova, tension between traditionally “pro-European” parties has led to a succession of dis-functional and difficult governments since parliamentary elections in November 2014. Former Prime Minister Vlad Filat was arrested in October 2015 following several of anti-corruption protests led by civil society. The Liberal Democrat-led government fell after a no-confidence vote on October 29, 2015. After about three months of highly tension-laden negotiations, a new government was formed, although doubts were expressed about its legitimacy, resulting in more protests. CSOs faced challenges and difficulties engaging in the decision-making process in 2015 due to this unstable political situation. For instance, the mandate of the National Participation Council (NPC)—the key institution that government relied upon to consult with civil society in its decision making—expired at the end of 2014 and this was the situation during 2015.

Several economies in the region were facing difficulties in 2015. Many oil producing countries were challenged by a worldwide drop in oil prices. The situation was especially worse in Russia. Beyond the prevailing drop in oil prices, the country encountered economic sanctions brought about by the European Commission and the US following Russia’s occupation of Crimea. Due to this situation, GDP fell by 3.7 percent, while inflation rose by about 12.9 percent and the value of the ruble fell a great deal. Exports and real wages in Belarus reduced in 2015, mainly a result of the economic problems in Russia, a key trading partner. In Azerbaijan, the reduction in oil prices resulted to a two-fold devaluation of the national currency, and also weakened the banking sector. In Hungary, many investment and brokerage firms wound up in quick succession, affecting many ministries and other government institutions, with a few managing to rescue funds only right before the collapse of the firms.

According to Eurostat, Bulgaria remains the poorest member state of the EU, with its GDP per capita at just 47 percent of the EU average. Countries including Albania and Georgia highlighted continuous issues with unemployment and the existing condition of the informal economy. Several happenings are evident from the country reports in this year’s *CSO Sustainability Index*. Firstly, it is evident that the imminent

movement to democracy that has been developing in the region for nearly a quarter century—of which the emergence of civil society is an important part—is not avoidable. The rise and development of real democratic institutions and civic space has been inhibited in many countries, such as Azerbaijan, Belarus, and Russia, and has been reducing in others, such as Hungary and Macedonia, over the past several years.

2.5.3.1 The Question of European Union Reforms and CSOs

On the other hand, many countries have a continuous progressive development towards membership or association with the European Union, which requires the development of democratic practices and good governance. In most of these countries, civil society continues to play a role in advocating for and monitoring the implementation of such reforms. Finally, the rising wave of migrants and refugees entering the continent, largely from Syria and Iraq, impacted several aspects of CSO sustainability, including service provision, organizational capacity, advocacy, and public image, both along the main transit routes and beyond.

Partnerships that cut across sectors have also been blocked by the government's attitude towards civil society, affecting stakeholders and making them afraid to work together with CSOs, especially on any issues that might cause strain with government. Lastly, CSOs find it increasingly challenging to communicate their agendas through the media. In 2014, both public media and private government-friendly media reflected advocacy or defender organizations as “political” or “foreign agents” seeking to sabotage the democratically elected government. While this situation was not as prevalent in 2015, CSOs that opposed the government's agenda were still ridiculed.

The situation for CSOs in Macedonia has also been challenging for many years, a situation that continued in 2015. As the country was faced by a political challenge, CSO sustainability declined, with negative happenings noted in several aspects, including public image and legal environment. Public ridicule, malice, and negative campaigns against key CSOs and activists by pro-government media escalated during the year, leaving little room for CSOs to perform their work. The legal environment also got worse due to several legal changes that created inhibitions that

were a challenge affecting CSOs' daily operations. In a single day in August, for example, parliament introduced changes to sixty-four laws without public participation, many of which impacted the work of CSOs and escalated penalties for those that break them.

Governments in some countries have more and more moved towards limiting civic space and CSOs' capability to work on policy reforms. The *CSO Sustainability Index* also reveals many examples of CSOs taking part in advocating for reforms that facilitate democratic values and principles of good governance that are crucial for EU accession. In Ukraine, for example, civil society have an important and crucial role in shaping the government agenda in 2015, agitating to realize a situation where parliament and government do implement reforms in the eighteen areas outlined in the Road Map of Reforms developed by the Reanimation Package of Reforms (RPR) initiative, a network of civic activists, experts, and journalists whose mandate is to ensure implementation of reforms in Ukraine. In the course of the year, the RPR was involved in the development of 119 laws, sixty of which were adopted by parliament. These activities help promote the Ukraine-EU Association Agreement, which was ratified by all EU countries in 2015.

Moldova entered into an agreement namely the EU Association Agreement in June 2014. Moldova's progress towards integration was inhibited throughout 2015 by political difficulties, differences in public views concerning whether Moldova should join politically and economically with the EU or Russia, and unclear areas economically. Due to these difficulties, civil society has made progress towards pushing for advancement of the country's relationship with the EU. In October 2015, CSOs from Moldova and the EU formed the Civil Society Platform to follow up on implementation of the EU Association Agreement. While the platform was being formed, a task force monitored the EU formation progress. Again in 2015, twenty-eight CSOs across the country organized a huge educational campaign about the EU integration process called Europa Pentru Tine (Europe For You), that was given financial support by USAID and implemented by FHI 360.

The EU Progress Report on Serbia for 2015 acknowledged the "increased engagement of civil society with the accession process." Serbian CSOs got involved

with several and diverse advocacy and monitoring activities to influence the Serbia-EU negotiation process concerning Chapter 23 on “Justice, freedom and security” of the EU Acquis. Due to these activities, about 60 percent of CSOs’ recommendations, along with some related to humanitarian law, were adopted. CSOs also continue to get involved in Albania’s bid to join the EU, for instance, by participating in meetings of the National Council for European Integration. In Bosnia, some CSOs put effort in escalating their capacities to monitor the EU integration process and got involved in dialogue on the Reform Agenda with the EU. Further, a new national strategy under development is expected to recognize CSOs as crucial stakeholders in influencing and implementing EU policies.

In Georgia, CSOs realized several projects and campaigns about Georgia’s future in the EU. CSOs in EU member countries are involved in realization of EU agendas.

Latvian CSOs were involved in realization of the agenda for Latvia’s presidency of the EU in the first half of 2015. Agendas given attention included Latvia’s neighborhood policy, security issues, and cooperation between the EU and neighboring countries. In the Czech Republic, CSOs are expected to be members of the monitoring committees for EU programs, and ministries to work together with CSOs in coming up, executing, and follow up of such programs.

2.5.3.2 The question of refugee crisis and CSOs

The movement of migrants and refugees, mainly from Syria and Iraq, was a huge agenda throughout Europe in 2015. While many migrants and refugees were crossing over to destinations in western and northern Europe, the immigrant route went through several countries in the Balkans and Central Europe, including Serbia, Macedonia, Croatia, Hungary, and Slovakia. According to the Asylum Office in the Ministry of Interior in Serbia, 577,995 refugees from the Middle East were registered in the country in 2015, with many numbers expected in 2016. Both Croatia and Macedonia highlighted the movement of about 400,000 refugees in the second half of the year. With refugees flowing into the country, Hungary developed fences along the borders of Serbia and Croatia in the course of summer and autumn. The movement of refugees impacted on countries outside of the main movement routes

as well. Many refugees reached Baltic countries such as Estonia and Latvia by the end of the year and there was tense public debate on the issue. Meanwhile, Syrian refugees also got into Armenia: according to UNHCR office in Armenia, as of December 2015, about 16,000 Syrian-Armenian refugees had arrived in the country. The flow of refugees impacted on several aspects and facets of CSO sustainability, including service provision, organizational capacity, advocacy, and public image. CSOs played a crucial role in making available services to refugees. In Serbia, for example, the government failed to respond and get involved in relief efforts quick enough up to the second half of the year. This situation left CSOs as the only agencies providing services by the beginning of the year.

In Macedonia, CSOs availed themselves at border crossings every day and provided food, healthcare, basic supplies, and other goods and services to refugees. In Croatia, welcome.cms.hr was initiated to facilitate collection of information from the ground and publish useful information for refugees, including information on transportation timing. CSOs in Armenia got involved in meeting the needs of the huge numbers of Syrian-Armenian refugees by providing a variety of services, that included vocational and language training, funds to help start businesses, and social, psychological, economic, and educational provisions. In countries where only a few numbers of refugees are deemed to have settled, CSOs have started to draw new services for them. For example, in Latvia, CSOs have already initiated the coordination of services for refugees in the fields of child care, legal support, education, employment, language, and social and health care, and have formed resource mapping software, allowing any individual or organization to provide profiles on kinds of services they have for refugees.

In the course of the year 2015, CSOs got involved in public advocacy activities in respect to the huge numbers of refugees, often fighting away against anti-refugee policies and malice. In Hungary, for example, the government strongly resisted EU plans to enact a compulsory quota to share refugees among the member states. The government openly staged resistance against the EU plan within Hungary, escalating fear and racial feelings. In reaction, CSOs staged several demonstrations to push that the government responds to the migrants humanely and not criminalize them.

CSOs in Slovakia also engaged in open public debates in respect to the question of the refugee crisis in the course of the year 2015. Two-thirds of citizens stated their resistance towards accepting the refugees and this forced the government to come to a stand that Slovakia would only accept Syrian refugees who are Christians. CSOs protested and insisted that this was an abuse of human rights. CSOs in Slovakia also demanded that the prime minister and the government sign the European agenda on migration and open legal channels for the movement and arrival of refugees.

In Estonia, CSOs engaged with the question of refugees, provided services and wrote an open letter to the prime minister articulating their displeasure with the discussions on policies that concern refugees. Also, as a reaction to hate speech targeted at refugees, a movement called Sõbralik Eesti (Friendly Estonia), with support from entrepreneurs, staged an open air concert whereby popular musicians performed and talks by celebrities were made and international cuisine was available.

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In Croatia, the Welcome initiative brought together individuals and CSOs to push Croatian and European institutions to amend their inhibitive migration policies. CSOs in Slovenia came up with an organized dialogue with the Ministry of Interior about the refugee crisis.

In the Czech Republic and Latvia, CSOs pushed and highlighted for comprehensive plans to address the inflow of refugees. In the Czech Republic, CSO networks and groups came up with a Migration Manifest, which developed solutions to the key challenges of accepting and integrating refugees. In Latvia, CSOs got involved in public awareness activities and gave out a document with twenty-two agendas to be considered by policymakers in the field. Several country documents, including those for the Czech Republic, Serbia, and Slovenia, noted that CSOs had come up with a solid network with their constituencies and amplified their use of volunteers in order to support their efforts to assist the refugees. Also, as a result of shortage of funds, some Serbian CSOs sought resources to help meet needs of the many refugees, despite the fact that some of these activities are not their core business to address.

The level of involvement of CSOs in respect to the refugee crisis was different around the region. In Hungary, where CSOs that opposed the government's agenda were often fought, the prime minister attacked informal refugee support groups accusing them of "undermining the interest of the nation state." In Slovakia, the public viewed CSOs as attempting to mitigate polarizing situation about the migration situation as an uninformed stand towards the implications of accepting refugees. The response in Slovenia was more receptive: CSOs' engagement with the refugee problem had the outcome of supportive media coverage, although there was some negative reaction from the public. In Latvia, the media often highlighted CSOs in respect to the refugee crisis and mostly not in bad light. In Serbia, CSOs' activities were hugely ignored: the media avoided to cover them in respect to relief services they were giving to refugees, while the government's support to refugees received high attention.



2.5.4. CSOs in Afghanistan

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Advocacy, which is the strong point for CSO sustainability in Afghanistan, improved a great deal in 2014, as National Unity Government leaders at all levels searched for support from CSOs. The new administration involved civil society leaders and activists, mainly through the Civil Society Joint Working Group (CS-JWG). The CS-JWG includes over 200 CSO networks and CSOs and performs crucial duties in nationwide cooperation, coordination, policy development, service delivery, and joint advocacy efforts. The government also formed a Special Representative of the President in the Reforms and Good Governance office, which has involved civil society in order to bring about its involvement in reforms and plans to promote good governance.

In addition, the president's office brought about a draft a process to enhance working with civil society. During the London Conference on Afghanistan in December 2014, the National Unity Government gave ambitious commitments to avail Afghan civil society with comprehensive and useful engagement in crucial political processes, enhancing governance and the rule of law, and the establishment and follow up of the Tokyo Mutual Accountability Framework (TMAF) and the London Conference

communiqué. The London Conference communiqué acknowledged the crucial role of Afghan civil society in fighting for human rights, good governance, and sustainable development through vibrant dialogue. The CS-JWG engaged in progressive advocacy activities before and in the course of the London Conference on Afghanistan, including facilitating the working together of influential officials from the government and international community in the Ayenda Conference just before the London Conference. In the Ayenda Conference, Afghan CSO representatives made public civil society position papers, articulating difficulties and opportunities for change and making it known that CSOs were available to the country's development and democratization processes.

In 2014, Afghanistan CSOs engaged in the presidential election as well as advocacy for a number of laws and policies, along with laws on access to information, youth policy, family law, and electoral laws. CSOs performed a major role in creating awareness and highlighting among citizens about the importance of being active in the 2014 election by taking part in actual voting and ensuring their communities take part in voting as well. Local CSOs and media provided important stories of people voting—including that of a young man who lost his fingers as they were cut by Taliban in the last elections—which had affected public participation in the elections. The nation had not previously been aware of the high level of involvement and selflessness that civil society demonstrated around the presidential election in 2014 to ensure all participated in voting and everything worked well.

The Afghanistan Civil Society Elections Network (ACSEN), comprising of more than 150 organizations with representatives in all thirty-four provinces, was a crucial voice for electoral reform. It put together more than twenty national conferences, campaigns, and press conferences with electoral organizations to push for transparency, peaceful electoral campaigns, and an enhanced electoral process. Due to these efforts of ACSEN, the recruitment process of staff at polling stations, observation procedures, transparency, and reporting processes all got stronger. ACSEN also initiated a progressive nationwide campaign to get on board female election officials to work at polling stations across the country, and this was said to have been the main motivator for a huge female voter turnout.

Many CSOs came up with networks and groups and implemented advocacy campaigns to create awareness and involve both men and women in human rights, women's rights, and youth development activities. The Volunteer Civil Society Advocacy Group in Kabul initiated a progressive campaign to minimize the use of plastic bags and disposable dishware. Seven hundred citizens in Kabul agreed with the petition, and the media supported the group to gain the attention of officials to push them to take decisive steps to address the issue. Media and CSO groups engaged in the 2014 elections were crucial in highlighting corruption, fraud, and violence. For example, media houses brought to light audio and video recordings from CSOs and civil society activists across the country to highlight fraud at elections, including the engagement of the director of the Independent Elections Commission.

In the course of the year 2014, CSO advocacy campaigns were able to influence government policies and programs. CSOs distributed information and worked to push for their needs to the government. For instance, as a result of CSO efforts, important positive changes were made to Article 26 of the Criminal Procedure Code. As originally passed, Article 26 restricted judicial authorities from questioning the relatives of a criminal defendant, and this contributed to intimidating victims of domestic violence and forced or child marriage and their family members who have witnessed abuse and therefore were silenced and could not take any action. The Presidential Decree that changed this article provides—but does not require—relatives of the accused person to testify against them. Through efforts by civil society, the National Unity Government approved the Access to Information Law, which was signed into law in December 2014. Also, due to work by civil society-led advocacy efforts, the upper house of parliament and the president's office refused a draft law that would have allowed members of parliament to enjoy privileges.

During this time, many issues weakened CSO advocacy during the year. The approach where donors gave support to CSOs constrained relationships between CSOs and other stakeholders especially the government. This contributed to a situation where CSOs advocacy efforts were undermined. Also another constraint to advocacy arose from poor security, for example, CSOs were threatened in some insecure areas and districts with minimum government presence, especially those

CSOs involved in human rights, women's rights, public participation, and other topics. CSOs attempted at coordination with the international community on advocacy issues. Lobbying in Afghanistan has been a challenge due to the fact that it was seen as a threat to the traditional top-down decision-making processes in the country. But in 2014, CSOs were able to lobby the National Unity Government leaders, the parliament, and international agencies to establish the Electoral Reform Commission and recommended changes to the electoral laws that would need to be put in place before the parliamentary election. Civil society actors have demanded for a vibrant legal and institutional framework to address the retrogressive tax requirements targeted at CSOs and ensure sustainable activities and growth of the sector.

This resulted into the president making commitments to bring vibrant changes in the tax departments so as to remove corruption in the system. Civil Society Actors (CSA)—a coalition of individuals, associations, and networks including ACBAR, ACSFo, Civil Society and Human Rights Network (CSHRN), and Afghanistan Women Network (AWN)—worked together with traditional leaders and civil society groups, individual activists, and media representatives to enhance civil society in 2014. CSA attempted to support CSOs' advocacy efforts by putting together meetings with CSOs and the donor community to bring harmony to civil society capacity building programs in the country. But soon after the formation of the CS-JWG, CSA members decamped and joined the CS-JWG to pursue further impact through an expanded and a strengthened civil society forum. In some rural communities, advocacy that gave attention to the legal environment for CSOs was curtailed due to other advocacy agendas, state intimidation, or CSOs' weaknesses and poor capacity to influence the law.

2.5.5 CSOs in Ghana

Ghana has had political openness for two decades and has experienced five successful national elections. This has contributed to a huge increase in the number of CSOs that are involved in governance process in Ghana and they have assumed an important position particularly in the policy making process Govanni (2012). This has led to a situation where CSOs have found themselves with more room to participate in governance issues and express their opinions. The Ghana government

has also realized the importance of strengthening CSOs to participate in governance issues.

A crucial role that CSOs have participated in is that of keeping the public informed on a variety of society issues through research, seminars and advocacy. These CSOs include Institute of Economic Affairs (IEA), Third World Network (TWN), Ghana Centre for Democratic Development (CDD), Institute of Democratic Governance (IDEG), Centre for Economic Policy Analysis (CEPA), Ghana Integrity Initiative (GII), Legal Resource Centre (LRC), Private Enterprise Foundation (PEF) and others.

Also when oil and gas were discovered in Ghana in 2007, this found CSOs weak in terms of the experience and knowledge necessary to work in this area. As a result they created the Ghana Civil Society Platform on Oil and Gas. The forum is made up of 120 CSOs including faith based organizations, community groups, professional organizations, trade unions, gender based groups and others. The forum seeks to ensure that there is transparency and accountability in the oil and gas sector in Ghana. The forum has sought to build CSOs capacity in their contributions on oil and gas matters including legislation, revenue collection and environmental protection.

For instance, in 2011 the forum contributed to coming up with a 'Readiness Report Card' which helped in the evaluation of government performance in respect to matters to do with oil and gas. Emerging issues in the sector were brought to the attention of all stakeholders including areas that needed to improve. Among the issues that were highlighted that needed improvement included the following:

- (i) Transparency
- (ii) Regulation of the sector
- (iii) Licensing
- (iv) Public participation
- (v) Budget openness
- (vi) Social and environmental issues

The 'Readiness Report Card' highlighted the roles of different stakeholders including the government of Ghana, Parliament, Ghana donor partners, oil and gas companies and CSOs themselves.

CSOs are also active in the Public Interest and Accountability Committee that monitors and reports on oil and gas revenue. The committee shapes debates on matters of oil and gas. The committee has also come up with proposals that were presented to the Parliamentary Committee on Energy and the CSOs influenced drafting of the energy bill and the petroleum revenue management act. CSOs are also active in monitoring implementation of the act.

Due to CSOs role in oil and gas, the sector has become more of a blessing to many in Ghanaian society rather than a curse.

2.5.6 The Australian Experience and Case studies: Best Practice

In Australia the local authorities have put community participation at the centre of public administration including policy making. Communities or the general public is perceived to be agents of development and not mere targets of development. Their views and participation are valued. The aim for this kind of approach is to help those in authority to be able to design projects and programs that respond to individual needs and are relevant to their situations in life. Concepts such as 'co-creation' and 'co-production' have surfaced that describe the collaborative relation that has been cultivated between government agencies, non-governmental organizations, communities and even individuals in the public domain. This approach has informed Australian government's efforts in its efforts to reform public service as outlined in the government report '*Ahead of the Game-2010*'.

Reforms in this direction have been an on-going process since 1976 when the Cooms Royal Commission that led to changes in government approach to the way it run public administration. In this approach, the communities are seen as consumers and efforts are made to cut red tape, more concern is given to outputs and there also more semblance to entrepreneurial ethos and spirit and practices in dealings with communities. This ensure that efforts that aim to realize continuous quality of

services are maintained at all times. Over the years this approach has been re-designed resulting in a situation where communities are perceived as citizens who are important and whose right in the participation directly or indirectly in decisions that touch their lives is actively promoted and facilitated.

This kind of approach holds that communities are at the centre of public administration and are treated with high esteem, a practice perceived as an important principle of a democratic state whereby power is practiced through the citizens. However, genuine promotion of citizen engagement in the design and implementation of projects and programs calls for huge changes in the culture and operations of government agencies. Government officials have to go through a whole new orientation and have to acquire new skills as facilitators, as negotiators and collaborators in this new approach to public administration. Citizens also have to be given an orientation towards willingness to participate freely and also have to be provided with new and additional capacities required for them to effectively participate, negotiate and deliberate on issues comprehensively in the new public administration arrangement. This may not be easy in situations where citizens do not work well with government or where certain communities feel left out and marginalized.

Effective community participation calls for political support so that genuine devolution of power to the frontline public servants, to communities and other stakeholders that they engage in public administration process, can actually happen. Public servants requires to be oriented to be able to collaborate and not merely consult, to reach out and not merely respond to queries and requests from the community.

The embracing of a citizen-centered approach in service delivery and overall public administration spells of a commitment to community participation in governance. The commitment is seen in efforts by activists and political theorists to promote participatory democracy or 'deliberative' democracy. Also local government initiatives attests to this approach that ensures citizen involvement in decisions that affect them. For instance, citizens have been involved in budget formulation, land management and health care. Moran (2010) argues that citizen involvement in governance is "not only the right thing to do but will provide a rich new source of ideas to government".

Shergold (2009) has strongly supported the formation of the *Australia Forum* and argues that the forum is crucial in ensuring entrenchment of dialogue with the communities. The idea behind the formation of the Australia Forum is that the country's best future will be shaped through dialogue with all stakeholders. That it is important to have spaces for public discourse that would help energize and promote a participatory democracy that would have citizens' representatives and citizens themselves.

Involvement of communities is seen as the right thing to do as it is seen to get to the centre of governance and decision making. It promotes a strong view of communities that does not perceive them merely as objects that are out of touch with government but important people who are holders of rights, entitlements and protection. Rather the concept upholds a common agency and ownership for the realization of commonly-owned goals and leads to a shared conceptualization of a society that all people want to live in.

Also the argument is that there are real benefits that are assured when communities are involved in governance. One of the benefits is that governments benefit from expert knowledge beyond their immediate realm of information, expertise and advice. While the government gains public opinions it also sets itself in a better position to challenge such opinion, inform and shape what people require or need. The government is also able to test proposals in the public domain, gauge public reactions in respect to certain issues in advance before they are implemented.

The government of Australia hastened its progress towards promotion of citizen participation following observations by different schools of thoughts including arguments by the Organization for Economic Cooperation and Development (OECD) (2001) and the European Institute for Public Participation (EIPP). OECD argued that while good achievement has been realized in providing citizens with information, there was still large gaps that remained between OECD countries when it comes to consultation. In respect to active participation, 'efforts to engage citizens in policymaking are rare, undertaken on a pilot basis only and confined to a very few OECD countries' OECD (2001). They noted that governments' involvement of h citizens has 'expanded ... as new techniques have been developed' however, the situation in several countries remains 'a patchwork of initiatives, experiments and

established routines' OECD (2001). Also, the OECD's evaluation of engagement practices dwelt on the consultation practices and reaching out of citizens by governments, and much less so on the capacities of the citizens to get involved and participate and the obvious challenges of connecting with marginalized categories of people.

OECD noted in 2001 that many governments in OECD supported countries and elsewhere have genuinely sought to strengthen mainstream citizen participation in policy development and the design and delivery of services OECD (2009). They found that while there are some regulatory and policy requirements for participation at the national and even the European Union (EU) level, these however were found to be merely experimental EIPP (2009). They observed that such efforts at citizen engagement are often informed —and their success is dependent on conditions mainly resting on the kinds of civic traditions that exist in the context in the respective country. It therefore follows that, governments in countries with strong traditions of devolved governance and an active civil society often have found themselves successful in citizens engagement in respect to policy and service delivery programs design.

The European Institute for Public Participation (EIPP) as it shapes its community participation policies. The Institute argues there are three requirements for public participation as follows:

- (a) a straightforward constitutional guideline for public participation. Only through a clear understanding between politicians and those in authority on one hand and citizens on the other would confidence and trust develop leading to public participation to thrive.
- (b) a more organized approach to public participation help facilitators of participation process to choose the best method to use.
- (c) continuous evaluation of the approaches for public participation would enhance learning about the practice and help in continuous improvement of the approaches.

According to EIPP challenges also abound in public participation as follows:

- (a) It is costly including time, money, political especially if the process is not handled well.
- (b) It can be complex especially in determining which participatory approaches are suited for which situation
- (c) Challenges arise from the question of representativeness where a small group is assumed to represent many and may not represent those with a bigger stake in the issues at hand.

Australian government is wary of these challenges and has a system for monitoring participatory policies to ensure challenges are spotted and minimized or eradicated on time.

The government has also been informed by practices of other leaders in the world who demonstrated that the country's leadership, too, has an important role to play in promotion of community participation in governance. For example, in the USA, former President Obama on taking office in 2009 issued a statement to all government agencies to ensure that the public faith is enhanced by ensuring there is a system of openness, citizen participation and working together with all citizens Obama (2009)

David Cameron in UK in 2010 said that he "extended an invitation to everyone in this country to join the government of Britain" Cameron (2010). Cameron (2010) called for a whole new approach to governing that put community involvement at the centre of his administration arguing that the involvement of communities to decision making gives public officials greater freedom Cameron (2010)

Historical background to Australian Public Service (APS) Reforms

The Royal Commission of Australian government administration led by HC Coombs came up with a report that sought to promote a whole new way to governance whereby communities would be given greater say in decision making processes in matters that affect their lives Coombs (1976). The report led to a complete change of culture and the running and Australian public service (APS) contributing to a whole range of changes that were evident by 1980s and went on to the 1990s Halligan (1994). The new approach to public service delivery promoted, among other things,

use of private sector management practices to public service Hughes (2001). It sought for “economy, efficiency and effectiveness” Moran (2010). The whole argument is informed by the fact that public service was more flexible, efficient and responsive if private service management practices were introduced and used in public agencies.

Several components were involved in this direction including introduction of performance management, performance assessment for individuals, devolution of services to individualized agencies and outsourcing some of the services to non-governmental organizations. Also there was more focus on outputs, cutting down on bureaucracy, treating communities as customers or consumers invoking entrepreneurship spirit.

Top-down approaches were further modified in 1990s and this led to more citizen engagement, community consultations and overall stakeholder participation. Citizens were perceived to have greater right to participate in decisions in programs and projects that affect their lives. The view was that for this to happen, citizens have to be facilitated. Power was seen to reside in the citizens.

These perceptions have become urgent in the wake of powers such as those in the corporate world that have assumed growing power over the state and citizens. This is as was demonstrated by the global financial crisis of 2008-9 that brought to question on who has the upper hand over citizens' lives and what would be the place of citizens in influencing policies and how citizens and governments could work together to safeguard policies and results that they would want to see.

Reforms in the public service in Australia have taken several steps that seek to realize the following:

- (a) a better working economy
- (b) more use of information and technologies that facilitate communication.
- (c) more accountability and transparency
- (d) stronger corporate governance for agencies and statutory authorities
- (e) more accountability in employment

Each successive Australian government sought to ensure they realized transparency as they interacted with citizens and to improve more accessibility to citizens through the following reforms:

- (a) In 2002 single entry point for government information service was established
- (b) A summit was held in 2008 to get citizens' views and assist the government to identify priority and contribute to policies.
- (c) Community cabinet meetings were introduced in 2008
- (d) In September 2009 an advisory group was formed to help in the reform of Australian Government administration and come up with reforms in the government's public service.
- (e) In 2009 the use of conclusive certificates to exempt certain material from release under freedom of information law, was abolished.
- (f) In March 2010, government accepted House of Representatives Standing Committee on Legal and Constitutional Affairs suggestions for protection on whistleblowers.
- (g) Government accepted recommendations on open government that led to release of public sector information, technology use in citizen involvement in policy making, service provision and online engagement by public servants.
- (h) Government made a declaration in 2010 namely, *2010 Declaration* of open government that was based on the approach of citizen involvement, based on efficient use of government held information and energized by creative use of technology. The declaration stated that:

"Citizens collaboration in policy and service delivery design will enhance the process of government and improve the outcomes being sought. Collaboration with citizens is to be enabled and encouraged." Tanner (2010).
- (i) In 2010 Australian Information Commissioner was appointed to oversee Freedom of Information and Privacy matters APSC (2004). Reforms were done on Freedom of Information fees charged. The Commissioner promulgated 'Principles on Open Public Sector Information' in May 2011.

From 2010, Australian Public Service Commission (APSC), the Australian National Audit Office (ANAO), and the Department of the Prime Minister and Cabinet (DPMC) have all continued to monitor and evaluate public service implementation and continued to come up with new programs aimed at achieving change that is in line with citizen-centered approaches of working with the public.

The APSC has played a crucial role in the public service reform discourse by documenting analyses, best practice guides and the *State of the Service* reports. These reports and guides have made important contributions in citizen engagement efforts. The 2004 APSC came up with a report *Connecting Government: Whole of Government Responses to Australia's Priority Challenge*. In the report they declared that the 'dialogue between government and its citizens as stakeholders is a fundamentally important part of our democratic system. The APS has a crucial role in this dialogue APSC (2004).

In 2008, Government formed an Advisory Group on Reform of Australian Government Administration to come up with a framework for reform APSC (2004). The Group, led by the Secretary of the Department of Prime Minister and Cabinet (Terry Moran AO), prepared a document that raised the issue of the 'increasing complexity of public policy issues' and pointed out 'concerns about the ability of the APS to provide innovative and creative policy advice to government' in a situation where citizens were increasingly expecting transparency, accountability and consultation APSC (2004).

The government in its discussion paper of 2009 *Reform of Australian Government Administration: Building the world's best public service*, made a strong declaration concerning the need for the APS to engage with citizens and the challenges involved. The following is the statement made by the government:

"We consider a final essential ingredient for high performance as a public service is the paramount principle of focusing on citizens in the formulation of policy advice. This can mean making sure that citizens' or clients' experiences of engaging with the program, service or regulation resulting from the policy intervention is at the forefront of the policy maker's mind. This will involve, where possible, actively engaging citizens

and stakeholders in the policy formulation process so that their perspectives and ideas are taken into account. In many cases, it will involve weighing up benefits for one group of citizens against costs imposed on another group” AGRAGA (2009).

In its documented report of 2010, the advisory group’s report *Ahead of the Game*, declared, under the sub-heading ‘Creating more open government’, that the APS will:

- (a) Provide guidance and support citizens to work with government in policy and service design
- (b) Establish and implement newer methodologies in respect to collaboration and consultation with citizens on policy and service delivery issues.
- (c) Ensure that public sector data is available to the general citizenry in a manner that goes with privacy requirements.
- (d) Conduct a citizen survey and get citizens’ views on their expectations with government programs, services and regulation so to have relevant information for government programs.

The Secretary of the DPMC established a secretaries board. It was made up of all departmental secretaries and is the crucial forum for the deliberation of matters affecting the APS. The Board is formally responsible for:

- (i) Making decisions in respect to public sector management and reform related matters
- (ii) Also identifying and coming up with strategic priorities for the APS, and
- (iii) Putting together the annual work program for Board Subcommittees APSC (2011).

The then Prime Minister, Kevin Rudd, pushed for reform in four crucial areas as follows,

'The first is to forge a stronger relationship with citizens through better delivery of services, and through greater involvement of citizens in their government' Rudd (2010). Moran, as the person charged with implementing the reforms, has reiterated that *'we need not only to consult citizens, but invite them to collaborate in the design of services and of policy. Citizen engagement in service and policy design is not only the right thing to do but will provide a rich new source of ideas to government'* Moran (2010).

Also, the 2010 APSC report *Empowering Change: Fostering innovation in the Australian Public Service* fought for 'openness in the development and implementation of government policy'. It highlighted that this *'will require a paradigm shift in the approach of many agencies where much development of new ideas is done in a climate of secrecy'* APSC (2010). It also emphasized 'external input' and 'partnering' important to realize fresh perspectives and risk prevention purposes; that *'new technologies are creating opportunities for government to improve the services it offers to citizens'*; and that *'collaboration with the public, industry, academia and other governments will be needed to identify the best solutions'* APSC (2010).

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It is apparent that the promotion of the requirement for serious, continuous involvement and participatory relationship between governments and citizens has been a persistent theme in statements and commentary about public service reform in the course of the decade to 2010. Especially since the documentation of the APS framework, all have been made to understand that all declarations and speeches of senior public service figures that the citizen is at the centre of policymaking and the design and delivery of public services. The implications of that requirement for the culture and practices of the APS are huge.

To the Australians community engagement entails a lot and matters to all in the government and all stakeholders. They are informed by literature on public participation in governance, civil society and politics whereby the word 'engagement' is highlighted throughout. The engagement discourse in the governance and policy context is that that has to do with a more continuous relationship among the various parties. It has to do with sharing of information, the offering of accounts, the giving and receiving of reasons, and the articulation of values. Engagement is seen as a

continuous process or a combination of several activities. It is an interaction built more on trust and connections among the various stakeholders FaHCSIA (2011).

In line with the arguments of Stewart (2011) community engagement is more a process of reaching out, forming relationships in more deliberate strategies for working with those outside government in the policy process. This means policies are made in a more participatory environment and all crucial stakeholders are involved in making policy decisions and ways of implementing them. It comprises, in particular, the processes that avoid the top down engagements, through which those in government including public servants and the political and bureaucratic executives interact with those who are not in direct power relations with them Stewart (2011).

However, this does not overlook or ignore the questions about relative power between the various parties involved including the citizen and state. What this means is that collaboration of this nature brings about a situation whereby results come about as a result of joint determination of outcomes and are given legitimacy by all involved.

The best practice of collaboration among the various stakeholders in matters of engaging with each other has the following important components according to Australian experience:

(a) All stakeholders have to be able to access information:

Readily available information and the ease of accessibility of relevant information from diverse sources is an important condition for effective citizens' participation. More recently freedom of information regulations has helped create that condition, and the emergence of the technology era has encouraged the flourishing of the information society. The technology era has enabled digitization of non-electronic records is part of governments' ongoing efforts to facilitate public access to information.

More importantly, OECD council approved the *Recommendation for enhanced access and more effective use of public sector information* in April 2008 OECD (2001). It acknowledged principles of openness, transparency, quality and integrity, use of new technologies, redress and fair pricing mechanisms, and international

access and use. Australia was a key party in the development of and is a signatory to the agreements.

Currently it is the norm and near to unbelievable that an Australian government agency would be found operating with no website that helps it, as a minimum, to provide public access to corporate and general agency information EIPP (2009).

(b) Effective engagement has somehow be wary of just engaging in consultation

More often than not, consultation has been perceived as a way of engagement that aims to bring on board the interests of the community and general public, corporate and the civil society, primarily all stakeholders to a process of decision making. The consultation process largely could remain in the hands of politicians and public servants and deny most stakeholders a chance to air their views EIPP (2009). Australian administration tries to avoid just relying on consultations. The more known mechanism that use focus groups and surveys are familiar ways of gathering citizens' views about particular projects are used in consultations. And where policies might have a certain effect t on certain categories of people, governments go to a whole range of length to reach out and consult with the affected groups of people and those who defend their interests. Quite often in a consultation situation, it remains generally the case that governments define the agenda for consultation, set the questions and remain on top of the process and control it OECD (2001).

(c) Public participation

The principles of participation that have been embraced by the Australian government conveys a situation where the citizens have a strong sense of being active agents, beyond being mere and passive partakers and followers of what government says. The literature on participation reveals the acceptable reality of it being "a good thing" Field (2003). It has in its nature from which it draws highest accolades for reaching out to all to ensure participation which is information-rich, unhurried, rationally-grounded but attentive to values, providing genuine opportunities for learning and for individuals' re-thinking of their positions. It is about

what the various stakeholders prefer in a joint understanding and respect for each others' views and ideas.

The Australian administration has recognized and acknowledged participation as the ultimate order of public engagement that it uses in policy making and service delivery. It has a lot to do with public participation and mutual reciprocal relationships, dialogue and deliberation are expected to take place in such interactions. It is not just opportunity for simply exchanging information but rather all stakeholders involved allow the possibility of their opinions being changed. They are all flexible and give room to others ideas. In such mutually agreed environments, stakeholders involved can come to a shared understanding of issues and solutions and can thus make substantially better decisions EIPP (2009).

The International Association for Public Participation specifies seven core values for participatory engagement practices that cover both the normative and instrumental dimensions of participation EIPP (2009). All these three components of engagement discussed here, thus; information, consultation, participation, they all contribute to a better and democratic way of decision making. They all have to be part of the whole equation. And none operates on its own. Information provision alone is not adequate, as decision-makers are unable to make any decision. Consultation is gets useful as citizens find themselves able to reach out to decision-makers and are able to feed into parts of the decision-making process, but they have no ability to ensure that their needs, problems and aspirations are taken into account when the decisions are finally made. However when there is public participation, as has been embraced by the Australian Administration that is deliberative as it reaches out to all concerned, this ensures that positive democratic effects in policy making and service delivery EIPP (2009).

Discourse on community participation and engagement must acknowledge the community as crucial in ensuring those in leadership account for their actions. Community participation is an important addition to representative processes and provide solutions to national political elites or technocrats. It can address problems arising from powerful lobbies. It has helped as seen in Australia in minimizing citizen's sense of hopelessness and powerlessness in the face of these larger forces such as the state and the corporate world EIPP (2009).

Community participation matters for the Australian government as articulated in the APSC's 2010 report *Empowering change: Fostering innovation in the Australian Public Service*. The report captures much of the importance for governments of public engagement when it states:

"Citizens and businesses are especially important external sources of ideas. Not only are they outside the public sector, but they also directly feel the impact of new policies and services. Governments cannot effectively address needs and concerns that they do not fully understand" APSC (2010).

More often than not, this kind of statement reveals the kind of thinking that is current in the corporate world among businesses seeking to gain a competitive edge. In the corporate world the consumer is determining direction through innovation which is changing the way many organizations come up with new products, services and knowledge. Service-based organizations specifically can benefit from taking advantage of the participation of their audiences, customers and citizens. Today's consumers are more informed and have much greater input into the development and marketing of the products and services they consume Sharp and Salomon (2008).

This is the argument of the Australian National Audit Office's Better Practice Guide, *Innovation in the Public Sector*. It views and supports the importance of citizen engagement as a way for public servants to reduce and minimize risks when coming up with solutions for difficult issues. A quote from their guide states as follows:

"The best results are likely to flow from a process of strategic and frequent engagement. Such engagement goes beyond what might be thought of as more traditional forms of consultation to establishing a positive, proactive relationship.... Apart from enriching the development process, at the very minimum proactive engagement with clients and external stakeholders will confirm assumptions, identify unexpected issues and help build understanding and support for change." ANAO (2009).

The most commonly cited reason in the literature for promoting and supporting engaging citizens is to ensure that countries that do so maximize and benefit from the flow of useful knowledge that is available to government decision-makers. The respectable British public policy adviser and consultant to the Australian Government, Geoff Mulgan, emphasized this important point, and also highlights that any government that underestimates its citizens does so at its peril. He argues:

"Governments are bound up with the broader shift to a society and economy organized around the systematic creation and use of knowledge. A majority of economic growth derives from new knowledge and its application; so does most health gain, and most military might. ...

Today's citizens are far more educated, more knowledgeable, and more confident than their predecessors. As they use scientific knowledge and evidence of all kinds in their own lives-in everything from dietary choices to business decisions-they expect the same of their governments, are less willing to accept that governments have privileged insights, or that government is a mysterious dark art. Instead, in fields as varied as health care or climate change, they may have access to at least as much reliable information as government and are unlikely to respect governments which ignore what is known". Mulgan (2003).

Many state, territory and local jurisdictions in Australia have clearly clarified their willingness and support to citizen participation. They have done so through specific, public declarations to that demonstrates how this is done. A number of them have added onto this with advisory brochures for citizens and with 'how to engage' manuals for public servants VGDSE (2005). Such documentations have helped in articulation of the reasons and justifications for the government's active pursuit of citizen engagement, and have clarified the benefits to participants. In summary, they state that engagement with citizens:

- (a) It leads to a situation where it improves the quality of policy being developed, making it more practical and relevant, and helping to ensure that services are delivered in a more effective and efficient way

- (b) It provides a platform for the government to check the health of its relationship with citizens directly especially to check its reputation and status
- (c) It also helps to reveal ways in which government, citizens and organizations could work more closely on issues of concern to the community
- (d) It is a mechanism through which government is able to receive early notice of emerging issues, putting government in a better position to deal with them in a proactive way, instead of reacting as anger and conflict arise
- (e) It is an effective mechanism and provides opportunities for a variety of voices to be heard on issues that matter to people
- (f) It facilitates citizens to come up with priorities for themselves and share in decision-making, thereby acquiring a level of more ownership of solutions and more responsibility for their actualization
- (g) It also helps in cultivating a sense of mutuality, belonging and a sense of empowerment, all of which strengthens resilience.

A more specific example of Australian government's commitment to citizen engagement happened in June 2011 in the Australian Capital Territory. In her first ministerial statement to the ACT Assembly, the newly-elected Chief Minister, Katy Gallagher, spelt out her commitment to ensuring there is 'Open Government', which she articulated as 'a way of working that... rests on three principles; transparency in process and information; participation by citizens in the governing process and public collaboration in finding solutions to problems' Gallagher (2011).

The overall openness principles that she articulated were as follows:

- (a) Development of an "Open Government Website", which she said would be used to release government background reports and reviews
- (b) Also the public would be enabled to access to materials disseminated through Freedom of Information and to submissions made during public consultation, and

- (c) Ensure weekly reports on crucial matters discussed and decisions taken by the Cabinet Gallagher (2011).

The Chief Minister expressed the fact that she 'will make public access to information the default position of her government' Gallagher (2011). She also made it upon herself to ensure that a Virtual Community Cabinets are convened, where 'all Ministers will answer questions and respond to issues on Twitter' Gallagher (2011). However, such initiatives are bold and with time they can prove effective in enabling substantive and meaningful dialogue between citizens and MPs, or getting citizens into virtual modes of collaboration with government agencies.

There is a lot that can be gleaned as lessons from Australian Administration efforts in public participation in governance. Statements of commitment to involve citizens can be found throughout all levels of government in Australia. However, there is a great deal of variation in the extent to which what is said is in line with the reality of what happens Gallagher (2011). According to the public policy literature, local, state and territory governments seems to appear to have fared well when compared with the national government in promoting community participation in governance in both the development and implementation of policy, and in service delivery, but the extent to which genuine engagement occurs is determined very much on circumstances Gallagher (2011). Specifically, the identification of particular communities of interest, or of spaces, appear to be a key factor in whether engagement initiatives really succeed or not. Governments are well-advised to consider these out when planning their engagement strategies Hashagen (2011). More important, case-studies of what is actually happening show that the skills and perseverance of on-the-ground public officials have been vital to achieving successful engagement outcomes Stewart (2009).

Through citizen engagement the Australian government has been able to bring into focus the issue of problems that are difficult to resolve and brought them for public discussions and debate on how to resolve them. These are at times referred to as the wicked problem. These are problems that are highly resistant to resolution. Examples include the degradation of the river systems and such problems as those of Indigenous disadvantage and marginalization. At the global level, wicked problems such as climate change have earned the descriptor 'diabolical' APSC

(2010). The APSC describes the resolution of wicked problems as 'an evolving art' and bring into focus the need to continue to focus on better involvement of all stakeholders and citizens in understanding the relevant issues and in involving them in coming up and drawing possible solutions' APSC (2010). A huge amount of literature that address such wicked problems put emphasis on collaborative strategies and adequate time frames—but as the APSC notes, these may incur 'significant' implementation costs and will demand skills of collaboration that may not be readily available APSC (2010).

Even as it pursues collaboration, the Australian administration is aware that in some instances collaboration can end poorly – dialogue can turn into conflict, hardened positions and stalemate APSC (2010). Attention has been given to some hard facts that collaboration between policymakers and the public demands that both public servants and citizens possess high-level relevant skills and personal attributes. Also that sound consultative and participatory methodologies are vital. The Canadian Institute on Governance (IOG) is frequently given as a source of advice on these matters IOG (2010).

University of Fort Hare
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Also the challenges that may arise for public servants in facilitating for citizens in experiencing and taking part in useful engagement are similar to those encountered in deliberative or participatory democracy settings in a general way. Supporters of deliberative democracy do not require to bring down the mechanisms of representative democracy as they currently exist, but rather the meaningful additions of those mechanisms to better involve citizens. They often look for more practical influence upon parliaments and the like through citizens' engagement in structured deliberative processes. They however are not looking out for unrealistic expectations about citizens' commitment to democratic political activity Dzur (2008).

An important aspect is how well Australian citizens are themselves are prepared and capacitated to engage in collaborative policy development and service design. However, what is important is the extent to which Australian public servants are prepared and skilled in the aspects of citizen and stakeholder engagement. Sometimes citizens may be well or poorly placed to engage depending on many factors including the urgency of their own concerns, the relevance of the matter being addressed, the nature of their previous experiences in engagements with

government and their behaviors and attitudes when it comes to their engagement with government.

The nature of collaboration often envisaged between public servants and citizens typically requires that citizens have some characteristics and attributes. If reasonable and effective collaboration between citizens and the state has to happen, citizen participants should be well-informed participants. They need to have an independent state of mind but at the same time demonstrating the self control that facilitates the contributions of others. They need to have the courage to articulate and defend their views and even change them where it is reasonable to do so. They also need to have the civility to listen to and consider contrary views and also the critical thinking ability to weigh evidence and assess claims. They should possess the capacity to overlook immediate personal needs for the interest of longer term benefits or the interest of the general public.

Other characteristics are determined by the citizens' socialization and education. They are more likely to participate effectively if they have been exposed to opportunities to enjoy, for example, exposure in their families and schools to the discussion of preferences and ideas; the development of good communication skills and literacy; and a basic understanding of Australia's system of government. An induction into the civic dimensions of life through sporting and cultural clubs, voluntary associations would also help.

However, the Australian administration is alive to the fact that many Australians' situations are not facilitative of the development of these capabilities and capacities. Social exclusion and other wants are very likely to discourage many citizens from engagement, especially where inequalities of power and status prevail. This only makes it worse the challenges arising from public engagement so often lamented by those public servants, and others, who support and initiate it. However, there is a growing body of literature around effective engagement strategies, especially for engaging with excluded groups and individuals. Although greater strides have been made when it comes to development of community engagement there is evidence that shows that equality groups remain under-represented. Most often than not, barriers can relate to social, cultural and financial issues, to the overall approach to engagement, to procedures and to practical arrangements (including specific

aspects of this such as the tools used, and the attitudes of those involved) LGID (UK) (2010).

The agenda for the Australian Government's social inclusion and its corresponding APS Social Inclusion Policy Design and Delivery toolkit are premised upon the fact that marginalized groups experience hard, often many and diverse forms of disadvantage, and different levels of disconnection from social networks, employment and services' Darcy et al (2009). Also, those who are trapped in a situation of cycle of disadvantage will need support over a considerable long period of time if they are to have any hope of getting out of the trap ASIB (2011).

When it comes to more progressive policies and service delivery responses to social marginalization, there has been more rigorous analyses of the nature of disadvantage, and more tailored, personalized and need -based responses. However, the reality is that in situations of disadvantage and marginalization, citizens are more often that not, unlikely to have the capabilities and capacities that include knowledge, skills, dispositions necessary for them to be able to come into dialogue and sustained discussions with public servants and other professionals. Due to this kind of scenario, there has been the emergence in organizations such as the Centrelink, for instance, initiatives that borrow more from a model of empowerment of participants to identify their own needs and visions for these needs, come up with goals and aspirations and participate in formulating strategies to improve their situations Darcy et al (2009). This happens when personal capabilities of citizens are considered an integral dimension of the engagement process and are addressed effectively.

There has been encouraging evidence that such initiatives are working and have important outcomes, building the personal and civic capacities of the citizens involved, and thereby enhancing the quality of the engagement and collaboration achieved. For example, the formal assessment of the above-mentioned Centrelink program revealed and reported as follows:

"At the very least the personalized attention participants received increased their sense of wellbeing, and in most cases self-esteem. For most participants, just the feeling of being listened to for the first time was

a positive experience. ... Other participants confirmed that the tailoring of services to meet their needs produced more tangible outcomes. ... These reports make clear that increasing the time spent supporting individual, marginalized customers has a positive effect, especially as experienced by participants themselves. The process of holistic interviewing, identification of needs and referrals was greatly appreciated by participants, who overwhelmingly wanted to improve their own circumstances” Darcy et al (2009).

It is rather obvious that nurturing the personal capabilities of marginalized and disengaged citizens is a important aspect of enhancing both the prospects for, and success of, later efforts at collaborative policymaking and service delivery.

Involving socially excluded and other marginalized people in order to design, with them, effective solutions and services *requires* considerable cross-agency collaborations, something which, as a rule, is sometime hard to achieve. Strong connections with external service providers are also required. Also improved coordination is of itself rarely enough; additional resources are needed Darcy et al (2009). Even focusing on certain groups is not without its dilemmas, given its potential to direct resources to one marginalized group over another and can be discriminatory Darcy et al (2009).

Although these challenges abound, there are grounds for optimism in the successes of agencies like Centrelink. At the same time, it is important to give attention to capacity of citizens for genuine engagement in policymaking and the design and delivery of services and such capacities should not be underestimated.

For those governments and advocates with a genuine commitment to citizen engagement, the terms community engagement have become familiar. They express a clear commitment to collaboration in policy and services design, with public servants, citizens and relevant stakeholder groups working as partners across the spectrum of activity, from diagnosis and analysis of issues through to more defined and careful and strategic considerations in pursuit of jointly drawn outcomes.

The Australian public policy academic Jenny Stewart has detailed challenges of public servants' engagements with citizens, and also the challenges for governments

who choose a genuinely consultative path Stewart (2009). For Stewart, the 'dilemmas of engagement' arise out of issues of 'power and control, risk and challenge' Stewart (2009). Being well-equipped to recognize and deal with these is essential. As has been evident in Australia, he notes that:

"The rewards of engagement are enhanced legitimacy and better information. The risks lie in capture, backlash and confused accountabilities. Managing these risks means having a good strategic perspective—that is, an overview of the costs and benefits of different courses of action and an understanding of the realpolitik (knowing the stakes for politicians, agencies and communities). The principal challenge for public servants in charting a forward course is to balance formal and informal ways of communicating with stakeholders. The protocols of accountability and control prescribe formal conversations: where what is said, and to whom, are on the public record. On the other hand, public business would grind to a halt without the informal conversations that establish context and hopefully clarify intentions. Effective engagement seems to require the experience, judgment and confidence to know which modality is appropriate and when to make the switch" Stewart (2009).

This is not just determined by how personally informed or professionally competent a public servant might be. The case studies detailed by Stewart only reveal that Australian public managers are not often in a situation in which they are able to determine their community participation approaches. The visions and powers of their agency shape purpose and practice.' Stewart (2009).

These issues have been considered in the context of the *Australia 2020 Summit*, convened by then Prime Minister Kevin Rudd in Canberra in April 2008. The Summit was given high profile as a clear commitment by government to achieve public participation in strategic policy development. It had the aim to highlight the Government's commitment and interest in harnessing and gleaning ideas from the community that are capable of contributing to concrete policy actions. Government showed its acknowledgement that irrespective of its political persuasion, does not have a monopoly on policy wisdom. To thrive and prosper in the future there was

acknowledgement the need to draw on the range of talents, ideas and energy from across the Australian community AGAS (2011).

It is instructive to note that the event and its outputs aroused both enthusiasm and cynicism. The final report on the Summit, which emerged a year after the event, drew mixed responses from the members of the public Griffiths and Weber (2011). All the same, Australian citizens responded favorably to well-designed opportunities for greater participation in policy or services development. For instance, a 2010 report on the not-for-profit (NFP) sector by the Productivity Commission highlighted that over 5 million Australians volunteered, and a survey revealed that 80 per cent reported that '*knowing that my contribution would make a difference*' was the most crucial aspect in their decision to volunteer AGPC (2010). Overall, the voluntary sector seems to exhibit a capacity for social innovation, implying that ordinary citizens are have potential to be a source of rich ideas for more effective and efficient service delivery AGPC (2010).

Moran has been straightforward forthright in revealing and articulating clearly the magnitude of what is involved in order to realize the goal of a genuinely citizen-engaged Australia Public Service (APS). He states:

The times have changed. The needs and expectations of the Australian people have changed. And the public service must change with them. ... It must deliver better services for citizens and better policy advice to government. And it must renew its commitment to putting people first. ... As our reforms propose change not simply to structures and procedures but to practices, attitudes and minds, they will take time to be embedded
Moran (2010).

Moran does not have the intentions of calling on past achievements or the ongoing dedication of the APS into question, but rather he notes that '*long and distinguished record of service to successive governments*' Moran (2010). However, he has a strong opinion that that the kinds of changes he believes necessary have far-reaching implications for how public servants go about their work: '*Public servants have to be better equipped and be given more authority to adapt to the needs of the communities they serve*' Moran (2011).

The cultural transformation expected by Moran and others have considerable implications for the way public servants are trained, organized, motivated and rewarded. There is lacks evidence that the necessary shifts are occurring. The changes will call for committed support and encouragement of portfolio ministers so that the somewhat elevated risks associated with innovation, devolution and collaboration do not jeopardize public servants who are traditionally conscious of political and career damage should an experiment fail. The practical and behavioral changes expected for a citizen-centric public service are substantial as Moran argues here:

Increasingly, we will need to reward the capacity to work collaboratively both internally and with external partners no less than we reward the on-upmanship which often passes for high-quality policy advice.

This means we will need to promote staff who achieve value through working with others as well as being able to stand out from the crowd because of their conceptual dexterity. We need to reward those who go the extra mile in assisting people to find their way through the incredible opaque maze that is often the public face of government agencies.

These are characteristics which are not evident in the large, complex organizations that dominate the public sector. They therefore require a conscious, sustained effort on the part of the leaders and managers to change the cultures of our agencies to make them the core behaviors which are valued and rewarded Blacher and Adams (2003).

A number of themes have emerged in the literature that further highlight the challenges being faced by public servants in Australia, including, the consultative nature of the policy process, and the influence of policy discussions and outcome Fischer (2003). Also, these processes are influenced by cultural values and other views about what the role of government should be in relation to certain issues. Due to this situation, at both the organizational and individual level, a more careful and self-aware approach to the formulation of policy outcomes is important. Fischer (2003) makes the following observations about the situation in Australia in respect to community engagement in policy development and public services:

... the reliance on policy narrative is evident in even the most casual examination of policy discussions, whether in everyday or official form. Citizens, politicians—and yes, even policy analysts ... tell causal stories to convey the nature, character and origins of policy problems. Indeed ... policy controversies often turn on the underlying storyline rather than the apparent facts typically presented by the policy analyst. It is not that the facts do not play a role; rather it is that they are embedded—explicitly or implicitly—in narrative accounts. What frequently seems to be a conflict over details ... is in actuality a disagreement about the basic story Fischer (2003).

Stewart agrees: 'If we see policy solely in terms of rational inquiry and report, we miss the felt sense of engagement, the stories that are told to illuminate or justify positions' Stewart (2009).

The fact that public participation by citizens unlike participation by more known agencies and corporate groups in policymaking is currently far from what people are used to, it therefore means that whole responsibility for initiating, facilitating and sustaining citizen engagement falls heavily on public servants. The magnitude of that responsibility is huge including clarifying expectations and actualization of what is expected by all stakeholders. Reich articulates this in respect to the role of the citizen-oriented public servant as follows:

"To provide the public with alternative visions of what is desirable and possible, to stimulate discussion about them, to provoke re-examination of premises and values, and thus to broaden the range of potential responses and deepen society's understanding of itself" Reich (1990).

Moran among other senior public servants including APS Commissioner Stephen Sedgwick are aware of the intellectual, structural and operational challenges for the APS that a vision such as Reich's calls for. In speeches and articles Moran often details the effects of the APS framework of reforms as 'transformative' Moran (2011). Specifically, he has detailed the important role of the senior APS leadership—the importance of strategic thinking, the need for courage and determination, and the imperative of recruiting and training the kinds of quality public servants who can work with citizens, placing them at the centre of their thinking Moran (2010).

Due to this, the APS has established the *Strategic Centre for Leadership, Learning and Development* whose mandate is on 'leadership, learning & development and talent management strategy, system design and thought leadership for the Australian Public Service' APSC (2011) One of its main role is to 'develop an interim learning & development strategy, based on priority leadership and management skills identified in the *Blueprint for Reform of Australian Public Administration* and other key APS materials' APSC (2011). This kind of strategy has no option but to directly address the important training and leadership needs that a much more citizen-oriented public service needs.

The ethical aspects of the public service is also clarified. As one writer has put it: 'nothing is more dangerous to the well-being of the body of politic than a public official who is technically competent or strategically astute but ethically illiterate or unfit' Preston (1994). The APS Values are currently being reviewed, and the review's discussion papers have drawn attention to the citizen engagement dimension of the APS frameworks of reforms APSC (2011). The current APS Statement of values focuses on relevant professional qualities for effective consultation, but does not specify the characteristics needed for the nature of community involvement that is being called for here.

The APSC has in recent times called for contributions on a proposed, simplified set of values to give effect to a recommendation of the Advisory Group to help in the formulation once again of the APS values to come up with a few set of core values that are of great value, memorable and effective in driving change APSC (2011). Included in the five most important values being proposed is 'Respect', which includes 'respect for individuals and for their diversity, and being open to ideas, especially in relation to policy-making and working collaboratively with the community' APSC (2011).

No doubt the prevailing era of innovations in information and communication technologies is contributing to increased engagement with citizens ANAO (2009). New communication platforms such as offering new social media tools like blogs and wikis, has further enhanced expectations among all relevant stakeholders. Australia's Senator Kate Lundy, an internationally prominent advocate of e-government Lundy (2010), conveys a view held by many: 'Web2.0 is the

democratization of innovation and decision-making, and will make us all co-designers of civil society in the 21st century' Lundy (2010). The extent to which Australia can progress in the wake of these developments contributes to considerable debate among both theorists and e-government practitioners in equal measure e practice journal (2008).

During the period in June 2008, the Australian Government Information Management Office (AGIMO) came up with its strategy document *Consulting with Government Online*, and by December 2008 a trial series of online consultations was launched Tanner (2008). These among other things comprised 'a public consultation blog hosted by the Department of Broadband, Communications and the Digital Economy; the National Human Rights Online Consultation forum established by the Attorney-General's Department; and an online forum on early childhood education conducted by the Department of Education, Employment and Workplace Relations' Macnamar (2010). The outcomes of a study of these trials have been expounded further in more detail below.

As it looked forward to the trials, the APSC gave out prior protocols for online engagement that dwelt on the application of the APS Values and the APS Code of Conduct in online communication APSC (2008) It as a result disseminated a formal guidance entitled 'Protocols for online media participation' APSC (2009). The guidance is predicated on the acknowledgement that:

"Web 2.0 provides public servants with unprecedented opportunities to open up government decision making and implementation to contributions from the community. In a professional and respectful manner, APS employees should engage in robust policy conversations"
APSC (2009).

Afterwards in June 2009, the Australian Government made a declaration in respect to the development of its Government 2.0 Taskforce to look into the use of Web 2.0 tools and technologies to provide further more developed alternatives for participation between government and citizens. It was given the responsibility to 'build a culture of online innovation within government—to ensure that government is receptive to the possibilities created by new collaborative technologies and uses

them to advance its ambition to continually improve the way it operates' AGT (2009).

The taskforce report Engage: Getting on with Government 2.0, which was documented in December 2009, articulated themes already discussed in this case review here on effective public engagement. Among these are responsiveness, the need for a major shift in public service culture, harnessing information and expertise, and encouraging innovation AGT (2009).

For the sake of this write up on Australia experience, in his final blog post the chair of the Taskforce, Dr Nicholas Gruen, connected the recognition Taskforce received from a prominent firm of IT analysts to the fact that *'we foregrounded the role of public servants in Government 2.0 ... That just underscores the fact that, along with open data ... the way public servants engage online with the Australian community are the building blocks of Government 2.0* Gruen (2011). Gruen all the same remains aware to the potential and the uncertainty that goes with the pursuit by the public service of online engagement with citizens as he states here below:

"Government 2.0 is ultimately about what individual agencies, and yes, individual public servants do to make it happen. Before them lies a vast field of promise, but one that is still new. It won't always be easy to work out ways of being more open, more candid, more participatory at the same time as being just as professional and apolitical as public servants have always been expected to be." Gruen (2011).

There is a general agreement, however, that online engagement opportunities for citizens, to be truly successful, needs to be build within a broader context of government openness and transparency that includes vibrant legislative regimes for freedom of information, public service codes of conduct, public ownership and re-use of information gathered and generated by government, and society-wide access to high quality broadband networks. Australia seems to be making progress on all these areas and in some respects is already strategically positioned.

The Gruen Taskforce report was accepted by the Australian Government's including the thirteen recommendations in the report including:

- (a) a formal declaration of open government
- (b) the APSC to include in its annual *State of the Service* report details of agencies' progress in implementing Government 2.0
- (c) encouraging public servants to engage online, and
- (d) making public sector information open, accessible and re-usable DFD (2010).

An important comparative analytical study of the Australian Government's trial online consultations was published in 2010 by Professor Jim Macnamara, University of Technology, Sydney Macnamara (2010). Its findings added onto the the themes that have already been discussed in respect to citizen engagement generally.

- (a) It is always important to ensure there is senior policy maker involvement which is essential to ensure that online public consultation initiatives are not merely small and one-off, providing little more than not enough experiences for citizens. Approaches such as these would not work since in the open collaborative environment of Web 2.0, they are likely to be uncovered and result in citizen abandonment of consultation sites' Macnamara (2010).
- (b) It is crucial to be aware that controversial matters '*can overtake and hijack online public consultation, resulting in much online discussion being "off topic" and the consultation not achieving its objectives*' Macnamara (2010). All the same, '*within particular communities of practice and communities of interest consultation can proceed relatively smoothly and productively*' Macnamara (2010).
- (c) One has to be wary of the fact that while public servants '*express willingness to interact dynamically with citizens online*' they are '*concerned at not being authorised to comment publicly*', leading to '*delays incommensurate with the nature of online consultation*' Macnamara (2010).
- (d) Also one has to be alert to the fact that online programs for citizen engagement '*need to offer easily navigable and user-friendly environments*' that ensure '*easy-to-follow layout, features for users with disabilities ... and considerations of multiple languages*' Macnamara (2010). When such

government programs begin to look and feel rather formal and official, it will *'struggle to build a connection with readers'* Macnamara (2010).

- (e) It is important to put in mind that planning, managing and responding to online consultations requires adequate, dedicated resources, especially in respect to processing and analyzing large volumes of information. *'If governments implement public consultation with genuine commitment ... listening can involve many thousands of Web posts and possibly emails and other communications [so] dedicated staff are required to acknowledge, categorize, process and respond to public comments, complaints and suggestions'* Macnamara (2010). Macnamara (2010).

Macnamara (2010) also brings to focus a crucial issue in respect to the need for government being the host to a consultation site as opposed to ensuring its presence in existing online discussion sites. He makes the following observations:

"In the broader concept of online citizen engagement proposed, there is a strong argument that government should go to the people rather than making people come to it.

Opening up government consultation beyond formal government sites, and even opening up some government information and data to third party applications, is strongly endorsed by the UK Power of Information Task Force. This has both a pragmatic and social equity rationale. ...

A second reason for government departments and agencies to participate in public forums hosted by third parties is that discursive practices within government sites inevitably remain bound by a significant imbalance in power relationships which can limit participation levels and the effectiveness of government-hosted and managed online consultation sites." Macnamara (2010).

Macnamara's (2010) observations and suggestions about the organizational, resourcing and cultural requirements for successful online citizen engagement go in line with views expressed in the 2003 OECD report *Promise and Problems of E-Democracy: Challenges of online citizen engagement* OECD (2003). The OECD

report also raises the issue and questions of capacity-building that this paper has give attention to.

It also observed that challenges to greater online citizen engagement in policy-making are cultural, organizational and constitutional not necessarily technological. Addressing these and minimizing their effects will require greater efforts to raise awareness and capacity both within governments and among communities OECD (2003).

In May 2010 the Australian Government accepted the recommendations of *Ahead of the Game* allocation of \$38.7 million over three years to enable the Australian Public Service Commission to provide required support for the implementation of the reforms. The reforms comprised a citizens survey and more citizen-focused practices. Just before 2010 federal election the Gillard Government announced that, if it were returned to office, the APSC would still undertake its expanded role as planned but would not be allocated the full amount of the funding specified in the Budget.

A focus on the APSC's Budget Statement for the 2011-12 Budget states that the APSC's expenses '*reduce in 2011-12 due to a decreasing level of funding for the APS reform Blueprint*' APSC (2011) despite the fact that there is an '*increase in resourcing is for the operations of the Strategic Centre for Leadership, Learning and Development*' APSC (2011). The Statement brings to the attention of the fact that appropriation revenue '*will decrease by \$4.3 million*' from the previous financial year, and that '*this reflects reduction in the funding for the APS reform budget measure*' APSC (2011).

However the existing gap between the ideals of the APS engaging with citizens in a comprehensive way, and what is currently coming up in terms of political commitment and allocated resources, does not give evidence for hope that reform will be rapid. In its brochure announcing 'What to expect in 2011', the Government lists only two activities under the heading 'Meeting the needs of citizens' as follows:

- (a) To further look into and test scope to simplify online access to Australian Government services including a 'tell us once' capability in relation to requirements to submit personal information

- (b) To further work to give attention to the scope to expand the use of Standard Business Reporting to reduce the costs to business of reporting to Government APS (2011).

In February 2011, Steven Sedgwick the Public Service Commissioner in his speech made the following remarks:

“The Government remains committed to the Blueprint reforms, even though the Budget situation requires the Commission to implement them as far as possible within a more heavily constrained budget. Resourcing is a major challenge and will slow down—and possibly curtail—some of the implementation, but not the thrust of the government’s APS reform agenda or the reshaping of the strategic direction of the Commission.”
Sedgwick (2011).

More often than not, public servants adjust their goals and allocate resources in line with government direction, but what this implies is that the extent to which APS will in the end integrate citizen engagement into its policymaking and service design mechanism will depend significantly on ministers’ interest for the approach. This is because citizen engagement has to do more with not only the authoritative allocations implied by hierarchy, but the more fluid relationships implied by networks. While engagement can establish and grow in its own pathways, and along its own lines, it is also an area in which the values of public servants are of crucial importance in determining the extent to which it occurs and the extent to which policy is altered as a result Stewart (2009). What this implies is that the whole process of public engagement is very much dependent on extent to which public servants will engage with citizens, and are willing to collaborate in community participation policy guideline and as far as the extent to which ministers articulates, department heads provide direction, and budgets facilitates.

As far as the Australian Public Service is concerned, it is considered one of the crucial institutions in the country. For it to remain effective, efficient and useful it has to regularly assess and monitor its own performance in line with the opinions of the citizens it engages with. The framework for reforms, *Ahead of the Game*, is clear about this requirement. Citizens’ surveys are being designed. A Secretaries Board

has been put in place to pursue reform and set pace for strategic priorities. The APS Values and Code of Conduct are being reviewed. "Citizens first" has been acknowledged Moran (2010). But effective participation by citizens in policymaking and the design and delivery of services cannot be achieved by pronouncements alone.

Public servants, in more open and transparent way, have a role in shaping the discourse of citizen engagement and influencing the attitudes of their ministers. The APS framework has already developed some definite ground for these kinds of deliberations, and it is realistic to consider that its advocates remain influential upon decision-makers. Meanwhile, the concept of community participation continues to grow and develop.

Specific Case studies of citizen engagement in governance from Australia



(a) New Zealand Department of Labor: community economic development case study

In an effort to bring into line public input into policy making and decision making processes, in 2000, Sankar (2005) the New Zealand (NZ) Department of Labour initiated a three-year collaborative project in community economic development involving departmental policymakers, researchers, community development workers, and three identified communities all cutting across different section of the public including the rural, metropolitan and urban. The aim was that the knowledge and understanding of community economic development processes built over time through such active engagement with communities and community groups would contribute at many levels including:

- (a) bringing change to the environment of policy makers' understanding and concept of the "real" world
- (b) Contribute by enhancing the quality of the Department's policy advice by making sure that that policy advice reflects the reality of what is happening on the ground

- (c) It also sought to meet the huge demand that was emanating from communities, charity organizations, and groups of Maori for community engagement in the policy and decision making process
- (d) More important the aim was to bring in an element of enhancing community knowledge, understanding and awareness of various policy initiatives and the policy-making process Sankar (2005).

Here below provides a summary of details arising from the report on the Community Economic Development Action Research project (CEDAR) Sankar (2005).

- (a) The report reveals that the CEDAR team realized the need to build strong personal relationships with the three communities and their members on the one hand, and government policy agencies and their staff on the other. The team took time and detailed approach building relationships in three clear areas that comprised planning, acting, observing and reflecting.
- (b) The process begun with discussions with key members of the community, using a 'snowball' technique to widen the list of and categories of people engaged, building personal relationships with them while establishing a holistic picture of each community. The team developed a continuous mechanism for feedback through individual discussions, field reports and community meetings. They put together reports and delivered and communicated initial discussions, observations and understandings to each community and invited them to give their views, giving feedback to and deliberate the issues raised. In the course of a period of six months all participants came to a point of gaining a shared clarity of the project and its purposes.
- € Once the team developed mutual rapport, the community and the CEDAR team explored, mutually identified matters and gave them attention and particularly the issues that were inhibiting economic development. The discussions were held over many weeks, with the discussion and data gathered at each step brought into the later discussions. They moves at the pace of the community and did not push them and worked within the times that they were available so as to arrive at common issues which came out naturally on their own without the team pushing for them

- (d) The intention was to have the whole process becoming one in a way that policy agencies are able to access information from communities so as to use it to influence the thinking of policy makers. It resulted into capacity building for both groups . For one, policy makers came to a realization and understanding of real community issues and problems while communities on the other hand learned about the policy-making process. The CEDAR team, arising from the credibility they had acquired for representing the communities' perceptions and opinions, started meetings with the policy team at the Ministry of Social Development and this led to suitable advice being relayed to the Minister and later brought to the attention of the Cabinet.
- (e) The team continued to make connections between policy and reality on the ground by making presentations to groups of senior officials and also facilitating dialogue with relevant government agencies and ministers, and one-to-one discussions with key stakeholders in the process. The mechanism used by the CEDAR team realized successful engagement and grounded policy outcomes, along with crucial growth in the policy-development capabilities of both citizens and public servants, and facilitated new skills, new understanding and strengthened more elaborate thinking.

Several lessons were learned in the process including the following:

- (i) It is always important to provide clarity and ensure there is a shared understanding of the type of participation sought from all parties, especially where genuine community participation in ideas development and drawing of strategies is sought.
- (ii) Also it is crucial to keep in mind that skill development and capacity building is an important component of participation and should be considered in ensuring there are adequate resources to facilitate the participation processes.
- (iii) It became apparent that, once communities were engaged they became more familiar with policy processes and they pursued connections and

networks beyond their communities and began examining critically their own community practices.

(iv) The process is time consuming and hence the time taken to develop policy with communities might jeopardize being available for an opportunity since a political or policy agenda could have been in the process too. It is always important to be aware of the wider policy environment for opportunities.

(vi) Also it is important to note that policy matters often extend cut across a variety of different institutional parameters CEDAR (2005).

The CEDAR program was in a big way demanding huge lots of resources and this was a source of project management challenges that were unforeseen. While challenges cannot be avoided altogether especially for any government interested in community engagement effort due to two reasons. One, the terms of engagement are not easily determined initially at the start of the process, and once the process gets started it progresses into areas and scope that are not easy to anticipate. Secondly the crucial principles of engagement such as mutual trust, reciprocity and commitment to the process implies that mean that one cannot get out of the process immaturely CEDAR (2005).

(b) Centrelink: building citizen-focused, collaborative services case study

Centrelink was formed in 1997 as a comprehensive services provision agency by the Australian Government. It was intended to make available the various human services and social support payments. It quickly gained a reputation for being at international levels for its unique approach to service delivery. While Centrelink's statutory charter and institutional culture has historically been dominated by universalism and rule-based compliance, Centrelink is now seeking ways to be customer-centered, more collaborative and engaging with the members of the community Darcy and Gwyther (2010).

Over time, Centrelink has been able to embrace the complex needs of its clients by adopting the approach of community engagement giving emphasis on supporting the

customer along a direction of participation Winkerworth (2005). Providing opportunities for participation allows crucial new spaces for Centrelink and also best shows the capacity of large government agencies to disseminate resources and build community capabilities Winkerworth (2005). At the centre of this new approach is the development of connections and networks with other groups and individuals in the community so that Centrelink can be in a position to gain clarity on who they actually are and what they provide Winkworth (2005). Winkworth (2005) has made the following remarks in his assessment of Centrelink:

“Relationships developed as a result of this ‘better understanding’ lead to shared initiatives to improve the accessibility of service delivery ... and then to collaborative efforts to address service gaps. ...

What is unfolding are initiatives which move beyond the existing service system, to create, together with other groups, new opportunities for participation.

Partnerships at the so-called ‘creative level’ involve more broad ranging strategies to address emerging community issues... The most successful partnerships engage people all over the community”. Winkerworth (2005).

The pursuit of community engaging approaches has challenged Centrelink to institute huge cultural and institutional changes so as to be in sink and be able to support its partnership capability. It has also sought to address the more complex operational dynamics emanating from genuine collaboration with citizens and non-government agencies Winkerworth (2005).

Centrelink has been able to establish a reliable and convincing performance record of its processes and activities in realizing its four crucial purposes of communicating, coordinating, collaborating and creating opportunities for citizen engagement. Connections between agency staff and communities, and personal relationships are important in this process Winkerworth (2005).

As a service provision organization with the most expansive and most clear contact of any federal agency with marginalized citizens, Centrelink looked out for a way to seek the Australian Government’s social inclusion agenda through its local service delivery operations. The kind of Centrelink’s mainly transactional role and its

accountability to other government departments for implementing their policies had there before been limited both in terms of motivations and spaces for innovation.

Arising such diverse methods for accountability for the use of funds, a minimal level of experimental, direct-seeking approach was seen as most appropriate. The Place Based Services Program was developed in 2008 to establish the extent to which citizen engagement mechanism within local approaches could improve social involvement outputs for participants, and also to find out Centrelink's capabilities to use utilize such collaborative and locally based approaches to enhance the abilities of its service delivery mechanism Darcy and Gwyther (2010).

Centrelink came up with six teams that were tasked with the responsibility to work in seven geographic locations. They were all given freedom to develop more broad and customer-centered service delivery approaches and to build community capabilities through community participation mechanisms Darcy et al (2009). The seven programs that were started by the seven teams each had a small budget and focused on the problems of the local people in geographically oriented areas of unique disadvantage across metropolitan, provincial and rural areas. They included those that have been unemployed for a long time, youth in need of care, persons with mental challenges, refugees, and those that were homeless. For example, some of those involved were not current Centrelink clients, and were not even receiving any local support services, despite the fact that they were in a situation of high level of need.

There was also in place a governance structure that was made up of a national office planning team and was monitored by a steering committee. It came up with a planning and evaluation framework and supported the programs and these were being supported by a local Centrelink Area Manager. Local community resource persons and groups and key informants and teams provided necessary support in monitoring the programs and helping to improve their practices as the work developed, as well as measuring and assessing the success of the innovations.

These programs turned out to be very successful. The University of Western Sydney evaluation came to a conclusion that all the programs showed that there are real benefits and effectiveness arising from holistic approaches and a more inclusive and

participatory community approaches and that there is real value addition in involving communities. The efforts put in these programs was considered to be worth it due to the huge direct benefits for participants and the benefits of the operational and strategic community engagement in local areas. Participants were hugely supportive of the programs and the resultant outcomes Darcy et al (2009).

All the staff that were involved in the programs acquired crucial and valuable skills, insight and knowledge and this should need to be acknowledged and shared as lesson learnt so as to inform work practices in other organizations. Also there were important policy dimensions that arose from these programs that were in respect to not only to the income support and mutual expectations system, but also the Commonwealth's interest in employment, community engagement and integrated social policies. These bring to attention the role of Centrelink in its capacity to contribute to policy development through highlighting realities on the ground and in having the capacity to play a bigger role in acting as the representative of Government social policy at the local and regional level Darcy et al (2009).

Also there is the most important outcome of this program embedded in the existing and potential organizational knowledge that is being gained and established by the Place Based Service staff themselves. The practice knowledge being gained comprises a broad range of issues that are in line with Centrelink values as an organization, and overall to the collected social policy agencies of government in their efforts to develop common policy and service delivery.

Generally the variety of organizational needs of Centrelink, the Place Based Services program provides an example for a 'policy intelligence network' which could be of crucial importance to the design and review of common policy by all of the social policy agencies of government. Program staff have been exposed daily to circumstances where policies of different organizations and different levels of government levels and have come to understand instances where the outcomes lead to the disadvantage or marginalization of the clients.

However the situation as it is shows that this is a more local and low levels implementation of service integration and therefore many of the issues identified can only be effectively handled at the level of policy integration. To ensure the best of the

outcomes at the two levels, they must be brought together and the information so gathered and experience of the all service providers involved must be made available in the policy development platform. Centrelink and the social policy agencies of government need to come up with an appropriate mechanism for feedback in respect to the results of variety of policies that are inter-related in respect to the most disadvantaged customers relating with their own frontline staff. An additional of the principles embraced in the Place Bases Services program to other places, and in some instances, across the Centrelink network, would be crucial in such a situation Darcy et al (2009).

The new changes to the Australian government's human services framework seem to be in line with the spirit of citizens' participation, inter-agency collaboration and services and policy integration that have been implemented by the Place Based Initiatives Bowen (2009).

Indigenous engagement: at the heart of 'Closing the Gap' case study

University of Fort Hare

This case demonstrates an attempt at effective engagement with Indigenous people in Australia in coming up with policies and services and this has been a continuous challenge for governments at all levels, especially how to get them participate. A COAG reform process has provided renewed efforts to improving remote service delivery and human services policy under the national *Closing the Gap* strategy. The strategy seeks to commit all Australian governments to seek and realize an improved future for Aboriginal and Torres Strait Islander people in respect to health, housing, education and employment issues. It seeks to enable Indigenous children realize a good start in life and provide Indigenous people with the same choices and opportunities as other Australians living in nearly similar conditions AG (2011).

Since July 2009 within the framework of the National Indigenous Reform Agreement all governments agreed to get committed to the following service delivery guidelines for Indigenous Australians:

Priority principle: Programs and services need to a lead to Closing the Gap by realizing the targets endorsed by COAG while meeting the needs of the local people as much as possible.

Indigenous engagement principle: Participation of the Indigenous men, women and children and communities should be at the centre when it comes to the design and delivery of programs and services.

Sustainability principle: It is important to ensure that programs and services are led and resourced over a considerable period of time to meet the COAG targets.

Access principle: Accessibility of programs and services is crucial both physically and culturally to Indigenous people and this need to give attention to the diversity of urban, regional and remote needs.

Integration principle: There should be collaboration between and within government at all levels and their agencies to effectively coordinate programs and services.

Accountability principle: Also ensure that programs and services are regularly done in a transparent way and that performance monitoring, review and evaluation is done FaHCSIA (2011).

The Australian Government has come up with a framework referred to as the *Engaging Today, Building Tomorrow: A framework for engaging with Aboriginal and Torres Strait Islander Australians*. It was produced by the government under its 'Closing the Gap' program and is designed to strengthen how APS agencies engage with Aboriginal and Torres Strait Islander Australians on the policies, programs and services that affect their lives FaHCSIA (2011). It has articulated several examples of the detailed application of the Indigenous engagement principle.

(a) The Stolen Generations Working Partnership

This was designed to commemorate National Sorry Day (26 May 2010) that was launched by the Australian Government as a mechanism for promoting participation of the Stolen Generation members. This is expected to lead to development of a comprehensive national policy response to support members of the Stolen generation and to enable them to realize a level of healing from their grief and trauma FaHCSIA (2011). The importance of the process was evident in the feedback from Indigenous participants. It showed that that the process had followed the crucial requirements of quality engagement and collaboration that

include early engagement, continuous feedback and dialogue, respectful negotiation, mutual responsibility, and co-creation of documents.

The participants have made the following observations in respect to the experiences in the process: "The big difference was that the idea of the Working Partnership was brought to us before it went ahead and our involvement discussed. We were able to add our thoughts and recommendations to an early draft and we met and talked it through some more. It came back to us for further comment, and we got to see the input from all parties before it was finalized. So we had a chance to create it together from the beginning. The consultations inspired us to think of what could be possible if we continue to work together in cooperative partnership with government instead of providing feedback and then losing sight of the process in the policy formation and implementation stages and finding the end result looks nothing like the original feedback provided" FaHCSIA (2011)

(b) Mornington Island Local Implementation Plan

This location, the Mornington Island, has become a priority site under the National Partnership Agreement on Remote Service Delivery, and has been declared '*an acknowledged best practice example of well managed, meaningful engagement with Aboriginal and Torres Strait Islander stakeholders*' FaHCSIA (2011).

According to the implementation report, the process was an original one which came about as the community incrementally participated in deliberations about the Local Implementation Plan FaHCSIA (2011). Available ideas, initial deliberations and government priorities were articulated in a document called 'Community Talk'. Efforts were made to ensure an early focus on talking '*to the right people in the right way*', and deliberations were held over several months following accepted cultural practices, and all issues raised were written down in a timely manner These formed the basis of further discussion in men's and women's 'Yarning Circles' FaHCSIA (2011).

The whole lot of government agencies involved gathered together to converse about '*the best ways they could assist with addressing the community-identified*

needs'. The outcomes were then 'taken back to the community, to identify community contributions and success measures so that the plan could be finalized' FaHCSIA (2011).

(c)First Peoples' Water Engagement Council

This program came about after an extensive consultation over a two year period whereby Indigenous participation and leadership took place and led to formation of the first peoples' "Water Engagement Council" that currently provides useful and relevant contributions into national water planning and management matters FaHCSIA (2011).

Also to ensure that an alliance of stakeholders and common consensus was developed around a model for the new Council, principles of self-governance were strictly observed *'so that each of the stakeholder groups could decide collectively on how and when to move through the necessary phases in establishing the new Council'* FaHCSIA (2011).

There was an initial steering group, that had been identified by key Indigenous figures in water issues, who had planned a crucial and key National Indigenous Freshwater Forum. The forum *came up with* proposals and named the Council, and also designed both a membership recruitment process and draft terms of reference.

The involvement of Aboriginal and Torres Strait Islander communities throughout this process, and the adoption of a governance model which allowed stakeholders to determine their own next steps, were vital to achieving such positive outcomes FaHCSIA (2011).

Collaborative approaches to complex environmental problems in Victoria

The Victorian Government came up a legal mechanism to facilitate *'community-based processes of decision-making and action'* in 2001. The mechanism was expected to help in coming up with ways of handling local environmental issues that arose out of cumulative impact of multiple sources of pollution Gunnigham et al (2007). This mechanism which provides for the establishment of a Neighbourhood Environment Improvement Plan (NEIP) developed a formal process to ensure that

Environment Protection Authority (EPA) legitimacy went to the locally developed responses to environmental issues. It sought to abandon top down mechanism in favor for community participation and community-based decision-making Gunnigham et al (2007).

Within the legislation, a NEIP can be developed by individuals, households, social organizations, businesses, 'green' groups, professional associations and financial institutions. Each of the NEIP is expected to be sponsored by one of a list of appointed protection agencies that have the mandate for official duties or responsibilities under the Act. Also spelt out are the steps to be followed and observed by the community-based initiator(s) and which their partners must observe as well to ensure the vibrancy, and overall community approval of their proposal. The funder is expected to act on behalf of the group to bring the proposal to VEPA for endorsement, and finally approval is gained as a plan with legal status that is published in the Government Gazette.

An assessment of the three pilot NEIP projects that was published in 2007 came to the conclusion that *'it is clear ... NEIP is flexible and potentially capable of engaging with a diverse range of complex environmental challenges'* and *'well-suited to policy solutions'* Gunnigham et al (2007). Despite the positive outcomes, several challenges were revealed from the pilot programs including that:

- (a) The project participants were found to be not broadly representative of the wider community
- (b) The action plans that were expected to have complied with the NEIP legal framework, took between two and three years to develop, which was a barrier to people's participation; and
- (c) The aspect of mobilizing for resources and funding for implementing planned initiatives in a timely and efficient way was the 'most problematic' issue Holley (2010).

Later on, an evaluation of NEIP, published in 2010, reviewed some of these issues Holley (2010). It indicated that that citizens' participation, for instance, was dependent to a great deal upon the numbers of community members involved, the

personal interest and stake of individuals in the issue being addressed, and the perceived urgency of the matter. Others were the demands made on the time and skills of participants and these were also found to be something of a barrier. Also migrants' participation was inhibited by limited English-language skills. However, the evaluator concluded that *'all programs included representation from a wide variety of affected individuals ... organizations ... and interests in numbers that appear significantly more "participatory" than traditional centralized regulation (which primarily relied on bureaucratic experts)'* Holley (2010).

Crucial implications of the study paid attention on the capacities of potential participants, and the capabilities of the public service agencies as enablers of participation. In respect to participants, time, effort and resources must be given attention so as to reduce participatory barriers and providing the *'necessary foundational capacities'* for people to avail themselves for deliberations. In respect to public agencies, there was limited direction from senior managers or vague procedural guidance about engaging with citizens and communities and this *'saw officials fail to scrupulously foster participation'* Holley (2010).

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The EPA published its *Engagement Improvement Strategy in 2007* which spelt out its aims as follows:

- (a) It recognized community engagement as core business
- (b) It developed a shared culture and common approach to engagement
- (c) It clarified the behaviors that were expected so as to demonstrate in all aspects of the work
- (d) It identified and gave priority of expected requirements for ensuring EPA has the capabilities and systems required to effectively engagement
- (e) Also it sought to ensure that the organizational members learn from each others' community engagement experiences.

- (f) Others were to ensure an integrated approach to engagement that provides space for the best use and utilization of organizational resources EPA (2010).

A strategic educational initiative in Tamworth, New South Wales

The New South Wales (NSW) Education Department in 2007 won a national award for 'vibrant public participation process' in its strategic planning for education services in the Tamworth region IAPPA (2010). The planning process was prompted by demographic and regional economic changes, local skills shortages and enrolment imbalances and resource imbalances in most educational facilities.

To facilitate planning for community participation, a governance structure was developed that had wide community representation, including teachers, students and parents and a host of other stakeholders. An independent facilitator was identified and given the responsibility to manage the entire process, which was established to lead to a situation of inclusiveness and deliberation. The process was a complex one and involved:

- (i) Sessions that were more interactive comprising samples of students from kindergarten to Year 12
- (ii) Discussions were held with parents and teachers through focus groups at all schools
- (iii) Also held were community workshops combining 'station rounds' and 'world cafe' techniques
- (iv) Others that were done were deliberative forums using a 'citizens jury' approach
- (v) There were also specific Indigenous consultations involving meetings, youth groups and workshops
- (vi) Briefings were also held with interest groups
- (vii) A newsletter was initiated and written regularly to continuously update information, and
- (viii) Meetings with Departmental officials were held regularly.

The various components of the process were communicated widely, including through local newspapers, radio and television, and the representativeness of the range of participants was expanded through additional random selection processes. Also independent assessments and evaluations of the participatory forums looked into the effectiveness of communication, participants' understanding of issues and purposes, the adequacy of timeframes, and enabled critical reflection on the engagement process as a whole IAPPA (2010).

Arising out of the whole process, 58 recommendations were made to the Department. While there was various support for some goals and strategies, in respect to others there remained a diversity of views. It was found that the participatory process was exhaustive and well-facilitated, and left little doubt that the citizens of the Tamworth region had been given an opportunity to have a say on the educational future of the area. The practical impact and results of the process of participation in such an intensive process will emerge as the Tamworth 2020 vision reveals itself with time.

Disability services in WA and Queensland: Local Area Coordination

In Western Australia, Local Area Coordination (LAC) came up in 1988 *'partly as a response to concerns about quality, costs and outcomes of traditional services' as well as a response to 'a range of new ideas about how individuals, families and communities can make a difference'* Boyle (2010).

The LAC framework articulates several crucial democratic and autonomy-strengthening principles that comprised the following:

- (i) That the people with disabilities have equal rights and responsibilities as all citizens to participate in and contribute to the life of the community
- (ii) Also that the people with disabilities and their families are in the best position to determine their needs, their goals, and to plan for the future
- (iii) Further that the people with disabilities and their families have natural (legitimate) authority and are best placed to be their most powerful and enduring leaders, decision-makers and advocates

- (iv) That the lives of people with disabilities and their families are strengthened when they can determine their preferred supports and services and control the required resources to the extent that they desire DSC (2011).

LAC is mainly an exercise in enabling people with disabilities to participate in the design and delivery of the services and supports they need while also providing them with capacities to contribute and share their own knowledge, skills and assets through their local LAC-inspired networks. Local Area Coordinators are expected to build and maintain effective working relationships with individuals, families and communities. They are expected to provide accurate and timely information and to also support with coming up of clear goals and clarifying people's strengths and needs. They are also expected to support practical solutions and enable, promote self-advocacy and contribute towards independent advocacy when required. Also, to build inclusive communities through partnerships and participation.

In summary there are differing efforts in countries cited across the globe to promote community participation in governance. Challenges abound but these are seen as lessons to learn from and move on with the efforts. Distinctive and proactive government efforts have been noted especially in Australia, a testimony that leadership is crucial in ensuring effective community participation in governance. It ensures that all stakeholders are involved and not just CSOs for greater success.

2.6 TYPES AND CHARACTERISTICS OF CSOS

Types of CSOs have been classified largely based on their functions such as recreation, religion and others Warren (1963). However, there is overlap as most organizations are multi-functional. For a church club it could be religious and recreational. Hence it would be wise to classify organizations according to their core functions. Some organizations may also have unstated function, for example, a club may have the function of developing contacts for its individual members than in providing services to the local community. Functions, however, may vary greatly, even with organizations listed under same classification Warren (1963).

A national survey by Wuthnow (1994) of adults in USA found that 40% of them belonged to some type of group, which fell in the category of CSOs. He also notes that 'such smaller groups have enormous advantage in adapting to a more fluid social environment'. He continues to add that 'they require no resources other than time that their members devote to them each week, so they can start with relative ease and disband just as quickly'.

In Kenya, the original CSOs were basically social welfare group that prioritized care and welfare Kameri-Mbote (2002). These early groups preoccupied themselves with care and welfare and left community development to the government. Other typologies of CSOs have been based on their form of registration, membership, size and activities that they engage in.

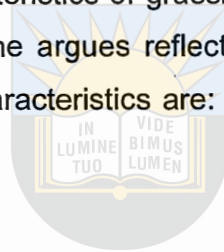
One study that attempts to provide this information on typology of CSOs is that by Lewa (2002) which focused on women groups (a type of CSOs) in Mombasa, Kenya. She found that most of the groups had been formed and registered by the Department of Social Services in the Ministry of Gender and Sports. Groups are also expected to formulate a constitution that included group objectives, rules and regulations for them to get registered by the authorities. The groups are also expected to open bank accounts and have elected leaders. In these groups membership ranged from 10 to 15 in number.

Another study on CSOs by Kanyinga and Mitulla (2007) revealed that these organizations comprised a 'very diverse grouping ranging from small welfare and community-based or localized traditional welfare associations, to large and secular social-economic organizations'. The study pointed out that these included NGOs, CBOs, Self-help groups, women groups, youth groups, unions, cooperatives, foundations and trusts. The study provide information on the growth of the sector between 1997 to 2005 stating that there were 350,000 Non Profit Organizations (NPOs) or CSOs in Kenya at the time including those registered under different laws.

However, in Kenya, no comprehensive study on the characteristics and types of CSOs including those involved in governance issues has been done, a gap that this study seeks to partly fill.

A unique characteristic of the American community is the huge number and variety of clubs, organizations, societies, leagues, and similar associations that people come together and through which they pursue their interests Warren (1963). These organizations are usually characterized by a definite membership, a formal structure including assigned positions for leaders, officers and other workers in the organization, have regular meetings and a name. Most often, they are affiliated with larger more inclusive groups. A study in the USA of national associations, a category of CSOs, were found to have the characteristic of being autonomous which contribute to greater membership and leadership participation Young et al, (1996).

Smith (2002) has looked at characteristics of grassroots organizations or CSOs. He uses the term 'complexity' which he argues reflects how a CSO is organized and uses its resources. Among the characteristics are: age, are not-for-profit, affiliation, structure and aid dimensions.



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2.6.1 Age

In terms of age, this has been found to be one characteristic that contributes to complexity in CSOs Trojan et al, (1990). In a study by Milofsky (1987), he found that CSOs develop bureaucracy with time in response to fundraising needs, attempting to present themselves to external funding agencies as responsible and well run and therefore deserving support. He found that receipt of external funds puts pressure on CSOs to increase its complexity in various ways.

2.6.2. Not-for profit

Fowler (1997) provides a description of NGOs which are a category of CSOs. He argues that such organizations differ from government and businesses in that they cannot distribute any surplus they generate as a profit to owners or staff and are not required nor prevented from existing law, but result from people's self chosen voluntary initiative to pursue a shared interest or concern.

2.6.3. Affiliation

Another characteristic of CSOs is affiliation. CSOs that seek to be affiliated to others are often in search of power to influence higher levels of authority. Among the authors that have put emphasis on affiliation is Si Kahn (1982). This was in his description of neighborhood organizations, a category of CSOs. He argued that most neighborhood organizations start small but eventually seek the power to be able to influence higher level authorities.

2.6.4. Structure

Structure is an important characteristic of CSOs. According to Handy (1990) it enables an organization to work well through division of work, providing a level of accountability stipulating who is accountable to whom and for what. It provides a general shape of the organization either as an alliance of independent organization or one big organization. Child (1984) provides a list of things that can go wrong if an organization is not well structured including: motivation and morale may be depressed because decisions appear to be inconsistent in the absence of standardized rules. Decision making processes may be delayed and lacking in quality because necessary information is not transmitted on time to the appropriate people, while decision makers are overloaded due to insufficient delegation. The structure of a CSO is important in the way it runs its affairs, according to Si Kahn (1982). That since the power of people's organizations comes from their members, it is crucial to break the organizations into working units or blocks. This would help such organizations to maintain their members.

2.6.5. Incorporation

Incorporation is an important feature of CSOs as argued by Si Khan (1982) on the basis that, when such organizations incorporate, the whole organization is regarded as a legal entity. It provides the members and the board a level of protection against attacks especially when people are not sure of the decisions they are making and their implications. In the USA, incorporation helps an organization take advantage of such things as tax exemption.

2.6.6. Membership

According to Smith (2002), membership is an important characteristic of CSOs. Some people have even multiple memberships. Sheer membership without other activities shows individual support for a CSO both financial and attitudinal, while active membership indicates greater support for an organization and time contribution.

Fowler (1997) provides a description of characteristics of NGOs which are a category of CSOs. He argues that such organizations differ from government and businesses in that;

- (i) They cannot distribute any surplus they generate as a profit to owners or staff
- (ii) They are not required nor prevented from existing by law, but result from people's self chosen voluntary initiative to pursue a shared interest or concern
- (iii) They are formed by private initiative, are independent in that they are not part of government nor controlled by a public body.
- (iv) They are within the terms of whatever legislation they choose to register themselves, and they also govern themselves.
- (v) Registration means the founders want to have social recognition; this calls for some degree of formalization and acceptance of the principle of social accountability.

Smith (2002) provides distinctive factors around grassroots organizations which also fall in the category of CSOs. Some of these are:

Formational characteristics

A number of features of such organizations are determined by the founders, for example, decisions about the structure and process which have to be decided upon before the organization begins to function. According to Etzioni (1961), founders might have personal attitudes or values that lead to selection of certain sectoral or sub-sectoral forms.

Internal guidance system

Such groups have the characteristic of guiding their members regarding acceptable thoughts, motives, feelings and actions or behavior.

Internal structure

The structure is specified in legal documents such as constitutions or by-laws, while other aspects are spelt in the norms of the groups.

Internal processes

There are certain common operations unique to these organizations, for example, timing of most activities, mainly evenings on weekdays or weekends, so that those working elsewhere can be in a position to attend, and have regular meetings whereby monthly is common.

Leadership

Leadership in CSOs tends to be very different from that in government or business sectors. It comprises of elected leaders, board members, and committees operating as volunteers.

In Kenya, one study that attempts to provide this information on characteristics of CSOs is that by Lewa (2002) which focused on women groups in Mombasa, Kenya. She found that most of the groups had been formed and registered by the Department of Social Services in the Ministry of Gender and Sports. Groups are also expected to formulate a constitution that included group objectives, rules and regulations for them to get registered by the authorities. The groups are also expected to open bank accounts and have elected leaders. In these groups membership ranged from 10 to 15 in number.

2.7 CSOS CAPACITY TO ASSIST COMMUNITIES TO PARTICIPATE IN GOVERNANCE ISSUES

According to Smith (2002) a key element of capacity of CSOs is that which emanates from their sheer membership in terms of the support they accord to the organization. This implies that if membership is in agreement and supports their

organization wholeheartedly then this is a form of capacity for that organization. Also according to Si Kahn (1982) the membership of an organization has the element of power or the power of the people. The power gives them a “voice” that enables them to articulate issues that are of concern to them.

Structure or the way an organization organizes itself to fulfill its functions is also an important element of its capacity, Child (1984). Child (1984) points out that an organization can suffer dysfunction if it is not well structured. He argues that motivation and morale of staff and volunteers may be negatively affected due to the fact decisions are inconsistent in the absence of standardized rules. Decision making processes could also be affected through delays due to lack of adequate information to the people concerned with making decisions. Si Kahn (1982) also argues that a poorly structured organization can contribute to members dropping out as they feel uninvolved and uninformed of what goes on in the organization. He says that having small sections of an organization makes all to air their views well and also this enables all to be kept informed due to smooth flow of information.

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An in-depth study of capacities of CSOs in the Pacific by UNDP (2009), that focused on six countries of the Cook Islands, Federated States of Micronesia (FSM), Fiji, Solomon Islands, Tonga and Tuvalu, findings show that CSOs in that region have not achieved much and lack of funding is their major handicap. Lack of funding has undermined their ability to acquire office spaces and other vital office equipment or even be able to hire skilled labor. There is also the issue of members migrating and dropping out altogether and disengaging themselves with CSOs. This has happened with youth based CSOs especially those that are rooted in church. Modernity has made young people to disengage with church CSOs as they have found themselves disagreeing with some of the values being espoused by the church based CSOs. This has happened especially in the Cook Island in the Pacific region.

Specific findings for Cook Islands show that CSOs in that country did not have defined strategies that were guiding their work. Rather they were using informal processes to decide on activities to implement. They had organizational culture that was similar to that in the local communities that sought to maintain personal ties and members assisting each other. They had formal systems in place to meet their needs. They were satisfied with their outputs but wanted to do more but could not

due to lack of adequate resources. They had inadequate infrastructure in terms of office spaces and equipment and inadequate funding was found to contribute to this situation. They were found with inadequate stable staff and majority of them were working as volunteers. They lacked resources for ICT systems to support their work.

CSOs relationship with the government in Cook Islands was found to be good since some of the staff in these CSOs were also government workers. CSOs were also receiving government support in terms of resources and training. Formal local businesses and private companies also provided support to CSOs. Nevertheless despite the challenges CSOs in the Cook Islands have continued to operate which is a testament to their commitment to their visions and goals.

In the Federated States of Micronesia (FSM), CSOs especially the large ones were found to have strategies that were guiding their operations. While small CSOs also have strategies, these were not guiding staff and were not linked to planning processes. Majority did not have stable staff but were relying on committed volunteers. The CSOs lacked capacity in terms of systems to support their work and there was often confusion how to operate. Only a few were found with systems.

In respect to their outputs, large CSOs were found to have capacity to deliver but small ones were unable to do so. Large CSOs had the infrastructure in terms of clear staff roles, offices and office equipment. Small CSOs did not have offices and most operated from their homes.

In Asia especially in Bangladesh, Indonesia and Pakistan, CSOs have been found with weak capacities due to their dependence on international donors and therefore are unable to sustain action, AGDI (2008). Those especially in Bangladesh have been found to lack rules on how they relate and be accountable to the State and their beneficiaries. Their dependence on international funding at times undermines priorities of CSOs beneficiaries. CSOs are often caught in a dilemma between local priorities and their accountability to international funders, AGDI (2008).

Further observations by Bhargava (2015) reveal that donors often channel most of their funds for good governance and anti-corruption to their field branches and give only small amounts of funds to CSOs-led good governance programs. This affects and weakens impacts of such CSOs programs Bhargava (2015). He argues that

such programs have potential to improve governance if they are facilitated with adequate funds and other infrastructure requirements necessary for their work including offices and equipment and skilled workforce.

Wanyande et al (2007) also discusses some assumptions about CSOs. One of them is the tendency to perceive them as homogeneous, but in practical terms, many of them present different characteristics, interests and even the way they operate.

Wanyande et al (2007) goes on to argue another assumption that CSOs and the state cannot agree. That CSOs must always oppose the state. He goes on to argue that in reality especially in Kenya, a number of CSOs have worked with the state such as Youth for KANU92 (YK92) which defended Moi government and campaigned for him in 1992 and Moi was able to retain power. Again Wanyande et al (2007) points out that when Kibaki came into power in 2002, a number of CSOs leaders that there before used to oppose the state jumped ship and joined the government. This was a government move to get CSOs into government and it robbed CSOs of its leadership. CSOs have been struggling with building a leadership after many joined government and for other reasons.

CSOs assumed that since they had supported the Kibaki government to come into power they must work with it. They forgot that government and CSOs have different roles and that CSOs key role is to monitor and keep government in check.

CSOs in Kenya have also been perceived to have an ethnic dimension and take ethnic stand on national issues. Wanyande et al (2007) provides an example of the Catholic Bishops from Central Kenya mainly the Kikuyus who, along with local politicians, supported adoption of the Waki Draft constitution, while their counterparts from Nyanza who are predominantly Luo and from other parts of Kenya fought for its rejection. CSOs are therefore perceived to mirror ethnic dynamics in Kenyan society and this is a weakness Wanyande et al (2007).

There is also an assumption that CSOs work better than the state and that they cater for the interests of the citizens better and keep the state in check World bank (1989-1994). But CSOs could be experiencing more challenges that hinder them. This study seeks to explore these challenges in detail and bring them to the focus of all stakeholders.

CSOs in Kenya are also said to have weak links with academia and do not benefit from theoretical frameworks as they analyze and seek to understand problems and seek solutions to those problems Wanyande et al (2007).

Smith (2002) has looked at factors around CSOs capacity that influence their work. He uses the term 'complexity' which he argues reflects how a CSO is organized and uses its resources. This line of thought traces back to Weber (1947) who observed increasing bureaucratization more with formal or work organizations, not CSOs.

Age has been found to be one factor that contributes to complexity in CSOs Trojan et al (1990). Also studying a sample of 59 grassroots organizations, a category of CSOs, in one small suburb of Boston in the USA, Smith (1992) found a significant relationship between age and formalization. In another study by Milofsky (1987), he found that CSOs develop bureaucracy with time in response to fundraising needs, attempting to present themselves to external funding agencies as responsible and well run and therefore deserving support. In a study of community organizations, Milofsky (1987) pointed to this type of process. He found that receipt of external funds puts pressure on CSOs to increase its complexity in various ways.

Weber (1947) argued that bureaucratization arose from rationalization with owners adopting this strategy to maximize efficiency, effectiveness and profits. With CSOs, complexity arises from competition for members, money, other resources, and when leaders perceive the probable increased efficiency from such complexity DiMaggio and Powell (1983).

DiMaggio and Powell (1983) suggest some additional factors that could be at work in CSOs as follows:

- (a) *Coercive Isomorphism*: This refers to common legal environments that require similar annual budget cycles, annual reports, audited financial reporting and accounting, standard operating procedures, and even the development of bureaucracies to satisfy potential outside funders.
- (b) *Mimetic processes*: This is a process whereby CSOs undergoing a period of uncertainty imitate other older established organizations. Usually these are new organizations that will tend to model themselves after old established

ones that they see as successful. Those CSOs in their early growth stages are likely to imitate other old ones as they tend to turn to them for ideas.

- (c) *Growth in size of membership, revenues and activities*: Burt (1990) argues that while not all grassroots organizations or CSOs will grow in time, but those that grow significantly in their memberships usually turn to increasing complexity of various types to be able to control their roles. With more people and resources, grassroots organizations or CSOs may tend to experience increased complexity. Studies on CSO have therefore suggested that it is the increase in size and not the passage of time that leads to increased complexity and therefore it becomes difficult for one or few individuals to provide all the leadership and management required and could lead to multiple vice presidents and multiple committees.
- (d) *Shift in democracy*: As a CSO grows there is tendency to shift from direct democracy to representative democracy in form of elected officers and board members. This thinking among some leaders and members tend to eventually lead to professionalization or paid staff including a Chief Executive.
- (e) *Size*: Size is also related to CSOs life cycles, and tends to increase with age. However, in terms of official membership and budget size, there is some evidence that increase CSO age is associated with greater size, Trojan et al, (1990). Wertheim (1976) studied 35 food cooperatives and found that mean membership increased from 64 to 105 over three years. The amount of change in size is often small in absolute terms because CSOs by nature tend to be small.
- (f) *Territorial scope*: Another characteristic is that while CSOs are local, with time they sometime tend to increase their ambitions regarding territorial scope Smith (2002). This often happens when a CSO goes in search of more resources (for example, people and money) or more influence, whereby they might include as members people from wider areas, maintaining their initial bases in given communities.
- (g) *External relations*: In their study of Norwegian CSOs, Selle and Oymyr (1992) found that more of such linkages and relationships with outside groups led to

a greater chance of survival. The more such resources a grassroots organization or CSO has, the more likely it is to survive and get older rather than die, other things being equal. Mulford and Mulford (1980) in their study found that groups with larger membership sizes tended to have more external relations and more internal activities (for example, meetings and attendance).

(h) *Goal succession*: Scott (1991) studied women associations and found clear evidence of goal succession with increasing CSO age. Wertheim's (1976) study of consumer cooperatives found decreasing goal emphasis on member participation because of increasing complexity with age. Finke and Stark (1994) give many examples of American churches, that were more often CSOs, that later changed their goals.

(d) *De-radicalization*: This happens due to a number of factors such as increasing complexity, pressure from external funding agencies that they turn to Milofsky, (1987), the desire to relate well with government Sharp, (1981), and at times, general exhaustion with being 'out of step' and hence stigmatized by mainstream society. Holmes and Grieco (1991) found that radical community organizations increasingly disguised their founding values and goals so as to get external funding from external sources or from local and national governments. This led to turn-over of staff committed to initial goals and values.

Other factors have to do with the way these organizations have mobilized resources for their work over the years. Successful CSOs are said to be continuously engaged in identifying resources not only for tangible programs, but also to put pressure on local government to secure infrastructure and services for their members Mitlin and Satterthwaite (1992). Fowler (1997) argues that financial resources in particular has certain characteristics that influence the way CSOs work, among these is the quality of aid, or the degree to which aid resources match the demands of best practices. Others are as follows;

(a) **Conditions and expectations of the giver, especially respect for CSO autonomy**

Funds are often 'tied' to requirements which ranges from loose and open-ended to tight and stringent. These conditions are often spelt out in funding proposals and funding agreements and have positive impact when they are right as they contribute to effectiveness. However, if they are wrong, the opposite occur causing unwanted organizational effects on CSOs autonomy, identity and capacity.

(b) Method of allocation

Project-based funding is problematic as it can seriously reduce the quality of development. Recognition of this drawback has resulted into other ways of allocating finances to a CSO such as program funding agreements between CSOs and their funders which increases flexibility and a CSO's control over decisions. However it has its limitation for example, the program agreement has the potential to import donor dominated priorities such as gender, urban development and the environment.

(c) Administrative burden

When money is given to CSOs, it causes paperwork. Donor specific administration costs are seldom met in full because donors are generally averse to financing organizational overheads. Few official aid personnel have any exposure to CSOs culture and practices, and therefore, it is a burden for a CSO to satisfy administrative requirements and coping with inexperienced donor staff.

(d) Predictability and reliability of funding

CSOs must be able to operate on a firm assumption that predicted incomes will be raised and guaranteeing income years ahead is never easy. Long term reliability of resources for CSOs is difficult and depends largely on CSO capacity to continually satisfy donor needs through high performance and information.

(e) Continuity and necessary duration

Continuity is the ability of the funder to ensure the support a CSO requires as long as it demonstrates its merits. Project-based funding which last between

one to four years does not allow for project performance to be evaluated towards the end while a new project is being negotiated. This practice leaves stakeholders and staff in a state of insecurity from the word go, which can lead to ambivalence in their commitment.

(f) Timeliness in disbursement

A common lament of CSOs, especially in the South, is the poor-time keeping of their funders as seen in delayed disbursements of funds which cause enormous headaches for recipients. Donors reduce the quality of their resources when they fail to deliver payments as agreed.

Matanga (2000) brings out another aspect in respect to mobilization of resources by CSOs. He points out resources mobilization as one variable that dictate the involvement of civil society particularly in confrontation with the state. These include: the amount of resources an organization can command in financial and material terms. Those with more resources are able to mount and sustain a confrontation with the state. The assumption here is that such an organization has an autonomous source of funding independent from state control. This is because such autonomy from state funding provides such an NGO the opportunity to escape the patron-client relationship network and therefore the possibilities of being compromised.

Here in Kenya, there lacks a comprehensive study on such organizational capacity issues that influence work of CSOs a gap that this study seeks to partly fill. One of the studies that attempt to provide this information is that by Lewa (2002) which focused on women groups in Mombasa. She found that most of the groups had been formed and registered by the Department of Social Services in the Ministry of Gender and Sports. Groups are also expected to formulate a constitution that included group objectives, rules and regulations for them to get registered by authorities. The groups are also expected to open bank accounts and have elected leaders.

Another study here in Kenya is that by Chitere and Ombati (2004) which focused on Neighborhood Associations, a category of CSOs. The study found that most of the associations were formed between 1990s and 2000. The study also found that most of the associations have constitutions that specify their membership criteria,

objectives and activities while their size vary from less than 10 members to several thousand members.

2.8 MECHANISMS USED BY CSOS FOR COMMUNITY ENGAGEMENT IN GOVERNANCE

The assumption embraced by CSOs is that without community participation in governance issues, there can never be poverty eradication, and this is what informs their efforts in mobilizing and organizing communities to participate in the governance of projects and programs concerning their welfare, (Ghaush-Pasha, 2004, 30). CSOs are often perceived to have the role of increasing the voices of poor people, organize and coordinate coalitions for poor people for them to be able to use the strength they have in numbers to address their common problems (Ghaush-Pasha, 2004, 31). Citizen participation is believed to improve quality of services delivery and makes the authorities more accountable to the citizens, while citizens are able to influence and have some control in governance (Gaventa and Valderama, 1994, 4).

Bhargava (2012) notes of a case study of Ayauskan, a CSO that had received funds from PTF and use the funds to help citizens in the Khariar block of the Nuapada district in Odisha State in India to fight corruption in health service delivery. The project begun with a survey of 64 villages and revealed poor governance in terms of rampant corruption. The CSO used the findings of the survey to raise awareness among community concerning the poor state of governance. The CSO also strengthened community based organizations through trainings and meetings, also training of women change agents, youth clubs, Panchayati Ray Institutions, government officials and service providers. The CSO experienced challenges among them resistance from service providers who asked communities not to cooperate. However, communities persisted, wrote letters and held discussions with authorities and politicians and this led to authorities agreeing to involve the people in improving health services. The results of these CSO efforts were that the authorities were forced to take community questions seriously and recognize power of communities. There was reduction of corruption by 80% as those who attended hospitals were

found no longer paying bribes. Every household is now able to save \$55 per year due to efforts by Ayauskam CSO.

Bhargava (2015) argues that there are six ways to engage citizens and CSOs in governance programs. One of them is access to information and that balance and objective information is crucial. This enables citizens to understand the problem, explore alternatives and solutions. He argues that disclosure policies must be in place including information on such project related aspects as budgets, economic and social data, procurement and contract awards, assets of officers and so on.

The other way to engage citizens is through consultations Bhargava (2015). Donors, government, CSOs and other stakeholders seek citizen views in design and implementation of policies and programs through consultation. Bhargava (2015) argues that a two-way consultation process is ideal since it enables those consulted to know how their views were considered and used, or why their views were rejected. All need to be consulted including the marginalized groups.

The other way to engage citizens in governance programs is through collaborative decision making as argued by Bhargava (2015). This involves all stakeholders working together. All including citizens, government, CSOs and others come together to make decisions on a certain project, for example, delivering on a health or water project. This collaborative engagement contributes to improved sustainability and increased access and utilization of services.

There is also the citizen and beneficiary feedback mechanism. Bhargava (2015) argues that this is similar to customer satisfaction survey, but that in the development sector, these comprises citizen report cards, short message service for citizen feedback, Focus Group Discussions (FGDs) and others all aimed at getting citizen feedback on a specific project or program. Expected results include quality of service delivery, inclusiveness, access, reduction in bribes and others Bhargava (2015).

The sixth way to engage citizens is citizen-led monitoring. Unlike the feedback mechanism discussed above, this is rather independent monitoring of projects by the citizens. This includes public expenditure tracking, participatory audits, and others. Such citizen engagement leads to reduced corruption and openness in government.

2.8.1 Results and outcomes of the mechanisms being used by CSOs in governance issues

The assumption by CSOs promoting this strategy is that as governance structures are formed and strengthened at local level, such structures will enable communities to make demands on government in terms of services, rights, access to resources, alter behavior of state agents, desired priorities and public policies. People can freely take initiatives and there is greater space for choice, negotiation and pursuit of interests Fowler, (1997). Communities mobilized into such structures are also expected to increase access and functioning of services while also enhancing earning by doing including learning from community members World Bank, (2002). As Alinsky (1974) argues, people are able to come up with their own programs. That the structures generate power which people control and apply for the attainment of their programs. While people have their own differences, but out of the social interplay among people, a common program emerges which is their program. They use power to be able to fulfill the program. Such could be program to demand for their rights from the government.

A 2005 study by the World Bank of CSOs in Mongolia found that, activities for enhancing good governance include advocacy, participatory public expenditure monitoring, information distribution campaigns and community score cards World Bank, (2002). In Honduras, for example, the United Nation Industrial Development Organization (UNIDO) piloted the concept of networks among community structures in the form of small businesses that have similar characteristics and growth constraints by bringing them together World Bank, (2002). They were encouraged to pull their resources together to purchase raw materials in bulk, applying for loans together, sharing equipment and finally diversifying production and seeking new markets.

Recent critical studies of CSOs effectiveness in governance issues as argued by McGee and Gaventa (2010) and Bhargava (2011) reveal that CSOs effort in citizen empowerment and citizen engagement in governance issues do work to lower corruption and improve service delivery and service provider responsiveness. However, as highlighted by Gaventa and McGee (2010) and Bhargava (2011) these studies also found that such empowerment of citizens by CSOs doesn't work

everywhere as certain conditions have to be present, including public access to information, reasonable amount of media freedom, adequate space for CSOs to operate, CSOs capacity, national acceptance by service providers to be accountable to citizens and receptivity to citizen participation.

A study by the World Bank in Albania revealed that governance structures in the form of 408 water users' associations have grouped into 21 federations covering 200,000 families World Bank (2002). The associations are self-financing and manage all irrigation schemes, have improved water delivery to most people and increased cost recovery World Bank (2002). In terms of influence of such structures, for example, enrollment rates in education have improved through reforms that are based on management partnerships with parents, community groups, and village education committees World Bank (2002).

In a 2005 report on the study of the Southern African Regional Network on Equity in health (EQUINET) in cooperation with Centre for Health and Social Science Research (CHESSORE) Zambia, and Training and Research Support Centre (TARSC) in Zimbabwe, the influence of governance structures in improving quality of service delivery is demonstrated. The report reveals that, areas with governance structures such as the Health Centre Committee had better primary health care statistics and better community health indicators (health knowledge, health practices, knowledge and use of health services) than in those without such structures. The structures were taking part in many health activities and being more relied upon by health workers. However, the governance structures in health were found weak in management issues at the health centers, in meeting the needs of vulnerable groups, as well as in clinical care issues.

In Kenya, a program of one CSO, the Shelter Forum, implemented between 2003 and 2008, focused on promoting public participation in local governance Shelter Forum Report (2008). The program emphasized on increasing community awareness on opportunities available in decentralized funds processes. Also enhance CBOs and communities to lobby and influence the management of the funds. Others were to increase capacity of communities and local networks and groups to participate in decentralized funds processes. Implementation of the

program involved several awareness and training forums targeting communities on various devolved funds.

2.9 THEORETICAL FRAMEWORK

Consideration has been made of governance theory and participatory theory so as to help in the integration of its perspectives in the study so as to have a better understanding of issues at hand.

2.9.1 Governance theory

Governance theory begun by being concerned with actions of political authorities as a deliberate attempt to shape socio-economic structures and processes. It is concerned with formal institutions of the state and their monopoly of legitimate coercive power Hyden (1992). More recently the term "governance" has been used in two other ways. Firstly, "governance" is now often used to indicate a new mode of governing that is distinct from the hierarchical control model of government to a more cooperative model where state and non-state actors interact in mixed public/ private networks Rhodes (1997). Governance as an alternative to hierarchical control has been studied on the level of national (and sub-national) and of European policy-making, and in international relations as illustrated by the works of Kooiman (1993), Rhodes (1997), Bulmer (1994) and Rosenau and Czempiel (1992).

The International Social Science Journal of March 1998 gave prominence to "governance" in the sense of non-hierarchical modes of coordination. The concept has also been traced to World Bank (1989). There has also been attempts at collective problem-solving outside of existing hierarchical frameworks, such as can be observed on the European and other international levels and these efforts have contributed significantly to this shift in the meaning of the term governance.

However, Eberlein and Kerwer (2004) brought to the fore the concept of meta-governance. They came about with this concept due to the question of how the different modes of governance could be reconciled. Meta-governance has been defined as "governance of governance".

Arguments by Hyden (1992) confine governance theories to how governments run their affairs. However Rhodes (1997) confines it to higher levels of consensus among multiple actors, even in situations beyond government. In this governance perspective, hierarchies and markets are seen not to work and network with high level of consensus among actors provide alternative for collective action (Milward and Proram, 2000, 243). The argument is that governance is not just about how governments function but has to do with taking over the business of government, an ability to get things done and this does not need to rely on government's authority to do whatever needs to be done (Stoker, 1998, 23). In a paper by Bang and Esmark (2013) the authors note that a new way to ensure good governance is available that gives emphasis on empowerment, individual freedom, creativity and self-governance as well as participation, transparency and accountability.

Governance theory came up after World War II when governments sought to steer their nations' social and economic development. The first paradigm of the theory evolved in three successive phases: In the late 1960s it began with a theory of planning. However, in the 1970s, policy development became the object of attention and analysis and this directed efforts to other factors influencing policy development, in particular the rule of law. The third paradigm of the theory evolved in the second half of the 1970s when policy implementation became a new research focus arising from policy failure.

The term "governance" has long been equated with "governing". This has been deemed to refer to the process aspect of government, thus complementing the institutional perspective of government studies.

The other meaning of the term governance refers to the different modes of coordinating individual actions and social order. This use of the term grew out of Oliver Williamson's analysis of market and hierarchy as alternative forms of economic organization Williamson (1979). Williamson's typology was quickly extended to include other forms of social order such as clans, associations, and networks. These forms of coordination were not only different from hierarchy, but also different from the pure market form, that led to the generalization of the term "governance" to cover all forms of social coordination - not only in the economy, but also in other sectors.

Governance theory has also been used to refer to the formal institutions of the state and their monopoly of legitimate coercive power. Government is characterized by its ability to make decisions and its capacity to enforce them.

Theoretical work on governance reflects the interest of social science community in a shifting pattern in styles of governing. Therefore there has been redirection in its use. Rather governance has been used to signify a change in meaning of government, referring to a new process of governing Rhodes (1997). Hence the term governance is used in a variety of ways and has variety of meanings (Rhodes, 1997; Stocker, 1997). However, the baseline agreement is that governance refers to development of governance styles in which boundaries between and within public and private sectors have become weaker or non-existent. Governance in this new paradigm has its focus on governing mechanisms which do not rest on recourse to the authority and sanctions of government.

The term governance has therefore been defined in different ways. Kettle defines government as the structure and function of public institutions, and governance as the way government gets its different roles implemented. Rhodes (1997) distinguishes six uses of the term governance, thus:

- (i) Governance as the minimal state: the use of markets and quasi markets to deliver “public services”
- (ii) Governance as corporate governance: this is mainly about transparency, integrity and accountability, by means of control
- (iii) Governance as the new public management, the introduction of private sector management methods and incentive structures such as markets competition to the public sector.
- (iv) Governance as good governance: a harmonization of the new public management with liberal democracy
- (v) Governance as a consequence of interaction of social-political forms of governing, the interdependence among social – political – administrative actors.

- (vi) Governance as self-organizing networks whereby networks develop own policies and shape their destiny.

Stocker (1997) identifies similar definitions that he argues are complementary. Kooiman (1993) defines governance as the emerging pattern arising from governing. Most of these definitions are united by the fact that governance is more than what governments do to accomplish their tasks. The term governance refers to relations between public sector actors and societal actors when addressing public issues.

Rhodes (1997) list of six approaches to governance however also includes other types of relations beyond network relations. The others are hierarchical relations and market-style relations. However, in 2002 conclusions by Eberlein and Kerwer brought to the fore the concept of meta-governance. They came about with this concept due to the question of how the different modes of governance could be reconciled. Meta-governance has been defined as "governance of governance". It is concerned with re-balancing network relations, hierarchy relations and market relations. The following figure 1 shows these different modes of governance relations.

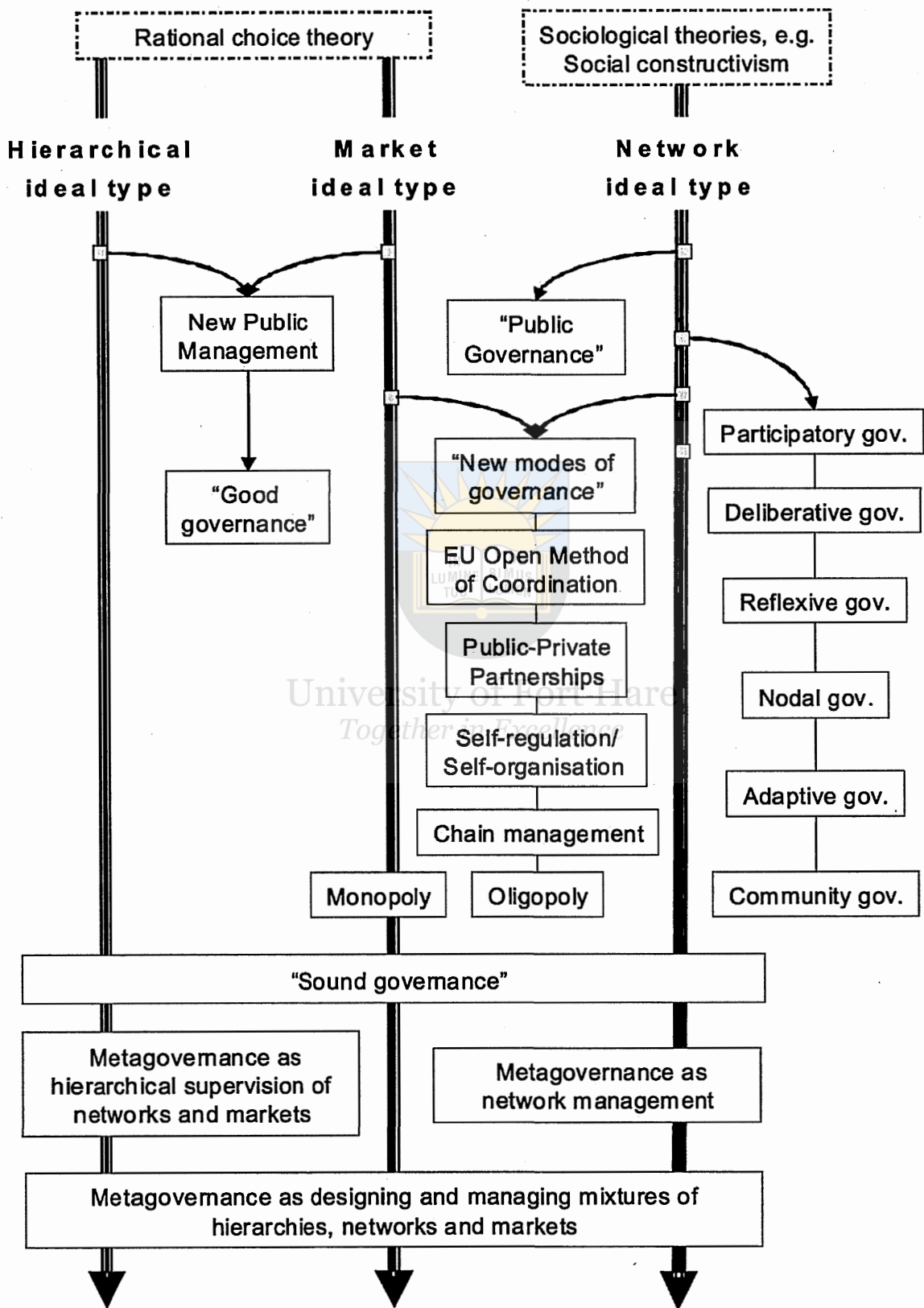
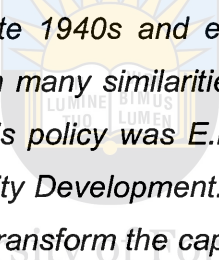


Figure 1: The different modes of governance

2.9.2 Participatory action theory

Participatory action theory has been conceptualized as a process that seeks to empower the people to take active control in their lives whereby the outside agency acts as a catalyst Oakley and Marsden (1984). Brager and Specht (1973) defined participation as a 'means by which people who are not elected or appointed officials of agencies and of government, influence decisions about programs and policies which affect their lives.

Broadly, early views on participation and empowerment include those of Paulo Freire (1972). However, according to UNESCAP (2009), a form of participation can be traced to colonial times, thus:



"In eastern Nigeria in the late 1940s and early 1950s, the British colonial officials pursued a policy with many similarities to participatory development. The chief propagandist of this policy was E.R Chadwick, the Senior District Officer in charge of Community Development. He wrote frequently about how self help development could transform the capacity of Nigerians as individuals and as communities so as to identify their own needs and strengthen their abilities to improve their own conditions".

Modern view of participation comprises many of the colonial themes, for example, self-help, the community as well as the individual, transformation and capacity building and a form of empowerment UNESCAP (2009). Not much was added by community development approach that originated from India after 1950 and spread to other developing countries in the 1960s. It had its underlying modernization ideology with its combination of adult education, institution building, social welfare and development projects. It was only in the 1970s that the themes of modern participatory approaches were added, that is, increasing the awareness of the poor and the oppressed of the asymmetric power relations and of their own situation, creating or reinforcing networks of solidarity, gradually building up their confidence in their own knowledge and abilities and a sense of entitlement Freire (1972).

As Lane (2002) observes, participation is a broad concept. That there are different levels of participation. There is participation at the implementation stage where it is equated with cooperation within pre-determined activities and beneficiaries expected

to contribute resources. But she also argues that participation in decision making, in implementation and evaluation is important. Also the issue of who should participate whereby the ideal situation is where all concerned are involved and participate in the process.

She also observes that it is important to determine how participation is to be achieved and distinguish between voluntary and coercive participation but this may not be easy at times in instances where material incentives have been given to ensure cooperation.

Paul (1987) identifies four levels and methods of participation; information sharing, consultation, decision-making and initiating action. The last one indicates high level of participation. Each has a different relationship between the implementing agency and the beneficiaries. In information sharing participation refers to a process where the agency informs intended beneficiaries about the project. Information flows and controls are in a downward direction. In a consultative process, participants are more equal with the agency using local knowledge, however, control is still from the top down.

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Often, poor people are generally excluded from participation in formal state institutions that make decisions and administer resources that affect their lives. This requires rules, laws and resources to strengthen the demand side of governance that include organizing people and strengthening governance structures Alinsky (1974).

The underlying assumption for those promoting community participation is that “communities have a sense of place, are homogeneous, can distribute benefits and burdens equitably, easily build and sustain social capital, have natural organizational forms that relate to government and the market, are accountable and can plan, manage, deliver and coordinate better than governments or markets” O’Toole (2005).

Skidmore et al (2005) studied determining factors that influence community participation in governance in demographically similar wards in Cardiff and Manchester in Britain. The two areas are among the poorest in Britain according to E.U indices of deprivation. Both have high levels of economic and social deprivation and have been the target of initiatives aiming to tackle the resulting challenges. The

researchers spoke to people involved in community projects in a range of different ways, drawing out the key themes affecting governance in each area.

One of the findings was that community participation tended to be dominated by a small group of insiders who were disproportionately involved in a large number of governance activities. The social capital created by opening governance to community involvement tends to be concentrated in the hands of this small group. There is no guarantee that the wider community feels the benefit of this social capital because formal governance structures are often not embedded in every day community life. Also that a number of forces create 'barriers to entry' for those not involved in governance, and increase the likelihood that those already involved will become more so. This suggests that, the way governance arrangements work, rather than bad practice by particular institutions, make this problem worse. Also potential participants are often put off by the experience, or the perception of feeling excluded by the way that the community participation arrangement works.

Skidmore et al (2005) also found specific core determining factors that motivate community members to participate in governance structures. These are inequity, exclusivity and dependency.

Inequity

The networks surrounding participation structures in Cardiff and Manchester in United Kingdom all have a few 'nodes', (for example people or institutions) with a very large number of connections to other nodes, and a much larger number of nodes with only a few connections. For example, in Cardiff, one respondent sat on the committee of the tenants' and residents' association, the Community First Partnership and the Patient Reference Panel. Another activist in Manchester was a governor of two schools and sat on the board of Wythenshawe Forum. The researchers observed that the 'rich get richer' as participation confers benefits which do not necessarily 'trickle down' to non-participants.

Exclusivity

In this case, 'who you know matters' not 'what you know'. In Manchester, a close relationship between one of its organizers and the Council Regeneration Team made one community project aware of an opportunity to access some learning and skills from council funds which it would not otherwise have known about at the right time.

Self-exclusion also happened where some people opted out of activities that served, in theory, their interests. They decided that governance was not for them, that it does not fit with their ideas about how to contribute to community life. Others found that their interests would be furthered by deliberately excluding themselves from community participation arrangements. Also people opted out due to resistance; they responded to the absence of opportunities for meaningful participation by developing alternative forms of collective action that did not rely on conventional channels.

Dependency

There is dependency on a few people who are willing to take the burden and who find it hard to reach out to those who do not attend meetings to ask their views and opinions. There is institutional dependency by over-use of key people. Institutions play a part by fostering dependency on a small community elite. This is a 'quick fix' approach of recruiting existing community participants other than investing time in recruiting new people.

In Zambia Macwan'gi et al (2004) study sought to find out factors that motivate effective community participation in governance structures in respect to health issues in a community. Among the findings were that health governance structures were established but the community is not aware of their existence and roles. Also there is willingness by the community to participate in health issues but they lack knowledge limiting their participation. The structures were also found not to be effective in carrying out their functions mainly due to a weak link between the community and the governance structures. Gender issues are also not adequately addressed in these structures in terms of composition, membership to the structures and participation.

Arnstein (1979) presented forms of participation in varying extremes. Table 1 below indicates the forms of participation and how diverse they can be in a given development project according to Arnstein.



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TABLE 2: ARNSTEIN'S FORMS OF PARTICIPATION

Form of participation	Characteristics of each form
Self-mobilization	Project is initiated by local people who develop contacts with change agents, such as external institutions, for technical support. However, they retain control over use of resources.
Interactive participation	Project is initiated by change agents working with local people. Participation is seen as citizen's rights not just a means to achieving project goals. People participate in joint analysis and develop action plans. As such they have influence over how resources will be used.
Functional participation	Participation is seen by change agents as a means to achieve project goals. People participate by forming groups to meet pre-determined objectives but after major decisions have been made by change agents.
Participation for material incentives	People participate only in response to material incentives (e.g. contribute labor to a project in return for cash).
Participation by consultation	People participate by being consulted or by answering questions. The local people's views are sought through a consultation process whose aim is to elicit their needs and priorities. The local people have no decision making powers.
Passive participation	People are merely told what is going to happen and their views are not sought.
Manipulative participation	Pretence of participation, for example, with people's representatives on official boards and committees, but who have no powers.

Source: Adapted from Arnstein, S.R., 'Eight rungs on the ladder of citizen participation', Journal of the American Institute of Planners, 1979.

Argument by Chambers (1993) is that participatory action is about how communities are empowered to be able to take part in activities that improve their lives. Chambers (1993) argues that participation as an empowering process implies loss of central control whereby the powerful are threatened with loss of power and perceives a dominant 'upper' and a weaker 'lower' or North and South. Chambers (1993) notes that participation that empowers requires formation of strong linkages with others who may include peers, colleagues, neighbors and fellow citizens. However critics argue that the success of participatory approaches in development is dependent on engaging with development as a process and not mere series of technical interventions (Hickey and Mohan, 2004, 13). Bebbington et al (2007) also argues that the success of CBOs in securing poor people from poverty is not simply dependent on ensuring greater voice for the poor, but rather greater positive changes have to happen in power relations between the state and citizens. Challenges abound in respect to participatory theory as noted by Thomas (2013), that while donors are embracing participatory approaches, administrative structures and staff skills of both the donor and recipient organizations remain top-down, a situation that is not conducive to participatory development.

Chambers (2013) has also identified challenging trends in respect to participatory theory thus: the fast changes that are happening in respect to conditions of the poor and marginalized people brought about by, for example, changes in technology particularly the mobile phone, the social changes and changes in gender relations. He argues that this makes it difficult for development practitioners to keep up with the fast changes around the poor people and ensure their maximum participation in the development process.

Chambers (2013) also notes another challenge arising from the increasing isolation of development practitioners from poor people especially government officers, Aid Agencies and NGOs. Many are located in the cities unable to connect with the poor at the grassroots. He also notes that there is intense tension between paradigm of things (design, planning and predictability) on one hand, and the paradigm of people (participation, processes, emergence and unpredictability) which hamper effective participation.

I argue here that, given these concerns and criticisms in respect to participatory theory, there is need to bring up dialogue on the theory as such dialogue would be critical in developing and harnessing its potential. Despite these concerns and criticism in respect to the theory, this study has borrowed its aspects that help inform the issues under investigations. As argued by Thomas (2013) participatory theory has important principles that include the values of involving the people at the grassroots in their own development, how to encourage community participation, the need for flexibility among donors, governments and other stakeholders as opposed to more rigid and top-down approaches as well as active involvement of recipients of development programs and activities.

2.10 SUMMARY OF GAPS IN THE LITERATURE

Review of literature has revealed that acceleration of community participation in governance ensures more accountability, equitable distribution of resources particularly in developing countries where poverty levels are high. In developed countries there is evidence that community participation in governance can work, as highlighted by Wamphler and McNulty (2011). Among the findings is that citizens that had embraced participation in governance were found making decisions concerning allocation of resources and implementation of activities. These activities were found to be done in a more transparent manner. However literature cites a lack of comprehensive studies on these outcomes in developed countries. In Kenya studies on such activities by CSOs are unavailable or minimal as noted by Kanyinga and Mitulla (2007), a gap that this research wishes to begin to fill. Again, in a developing country like Kenya, such activities by CSOs that entail inserting governance institutions among communities are foreign. Question arises on how these institutions blend in within local communities where there are already traditional institutions and whether they are readily embraced. The researcher of this study has an interest to establish the extent to which these institutions fit in the context of a developing country like Kenya and the extent to which communities embrace them and participate in set activities and get their lives improved in the process.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

This section discusses the research methodology including the unit of analysis, the sampling techniques, methods and tools of data collection and data analysis.

3.2 RESEARCH DESIGN

Since the study sought to deepen our understanding of the role of CSOs in promoting community participation in governance in Kenya, it has therefore adopted a case study research design. As argued by Yin (2009) case study design has the ability to help in the study of a real life situation.

Quantitative and qualitative approaches have also been used. Qualitative approaches allowed the researcher to familiarize with issues and problems and hence help in gaining insight and understanding of the problem in depth, (Bogden & Taylor (1975); Filstead (1970). However, the study used qualitative approaches due to the fact that minimal information is known about the role of CSOs in promoting community participation in governance in Kenya. Quantitative approaches were used mainly to collect information pertaining to goals of governance structures, membership, members education, support provided by those promoting these structures (for example, support from AAIK and DANIDA), group own resources, leadership capability including leaders education and how decisions are made. Qualitative approaches help in collection of such information as affirmative actions taken by these governance structures and self help groups such as meetings with leaders, writing letters and memorandums to authorities, filing court cases and budget tracking and also helped in delving more into challenges and experiences of CSOs as they grapple with governance issues.

Details on the study sites including unit of analysis, the sampling techniques, methods and tools of data collection including their strengths and their shortcomings are highlighted in this section.

3.3 UNITS OF OBSERVATION AND ANALYSIS

According to arguments by Bhattacharjee (2012), units of observation and analysis refer to those aspects of the study including persons, groups, or objects. Also according to Mugenda and Mugenda (2003), units of analysis refers to “those units that are initially described for the purpose of aggregating their characteristics in order to describe some larger group or abstract phenomenon”. They are “the individual units about which or whom descriptive or explanatory statement are to be made”.

The units of analysis in this study included the alternative leadership forums, social audit teams and budget monitoring committees that have been formed and implemented by CSOs to assist communities participate in governance processes at community level. Others were Access to Justice Kamukunjis (ASKs), Paralegal Forums, and Elders Lobby Committees and Community Monitoring Committees.

3.4 SITE SAMPLING AND DESCRIPTION

According to Orodho and Kombo (2002) sampling entails bringing together aspects of the study that need to be understood and these include people, places and things. The study sites that were purposefully sampled for this study are Busia County in Kenya, Korogocho slums in Kasarani sub-county in Nairobi County and Nyeri County in Central Kenya. The three sites provide different backgrounds in terms of topography, social-cultural, politics, economics and so on. Case studies of CSOs in these regions were the focus, with attention being given to governance structures that they were implementing in local communities. These CSOs include Action Aid in Busia, Legal Resources Foundation in Korogocho, Kasarani, Nairobi and the National Taxi-payers Association in Nyeri, Central Kenya.

In Busia, Western Kenya, ActionAid International Kenya (AAIK) is implementing the social accountability project whose major aim is to ensure minimal wastage of public budgets and increase citizen voices in the running of public projects. The project entails community mobilization and training to increase community oversight on local budgets using social audit methods. Social networks that comprise social audit teams, budget tracking committees and alternative leadership forums and self help groups have been established to ensure communities are part of decision making

processes that affect their lives. The social networks are established to get involved in generation, allocation and utilization of public funds. They are intended to enhance the ability of the poor and excluded people to ask questions, make decisions and hold institutions to account.

In Korogocho slums in Kasarani sub county, Nairobi County, the Legal Resource Foundation Trust (LRF) has established a rights and governance network through which it reaches local communities raising their awareness on anti- corruption activities and increased participation of local people in local governance.

In Nyeri, Central Kenya, The National Taxpayers Association (TNTA) has been implementing the Citizen Demand and Accountability Program whereby community monitoring committees (CMCs) have been formed and implemented. The committees have been trained to hold government to account. Through these committees, communities are trained to participate in programs meant to improve their welfare. They have been trained to make public government failures and those of other service providers public.

When it comes to sampling procedures in each of these project areas, the researcher took account of the total population in each area. According to 2009 Kenya census, Busia County has a population of 700,000 with seven sub counties. According to 2009 Kenya census Nyeri county has a population of 661, 156 with 7 sub counties. Also according to 2009 Kenya census, Kasarani has a population of 200,000 with 7 sub counties.

To obtain a sampling frame the steps described below were followed in each of the study sites:

In Busia, the researcher purposefully selected 4 sub-counties from existing 7 sub-counties. These were selected on the basis of their suitability regarding high prevalence of governance structures in these areas.

The researcher then made prior contacts with local government personnel who had firstly to be notified that a researcher was coming to collect data in their county. This is the requirement for all researchers in Kenya. I gave them my research permit and a letter of authorization from National Commission for Science Technology and Innovation (NACOSTI). This process was repeated at each county.

The researcher then made contacts with CSOs staff and volunteers and then made visits to village government Chiefs, CSOs leaders and staff as well as to Community volunteers in the sampled sub-counties who helped identify governance structures. Since the researcher was a stranger to these study sites, these categories of people were very instrumental in contacting and mobilizing governance structure members for the research as well as identifying key informants and this contributed a great deal to a successful field work at each site. This was repeated at all study sites. In Korogocho which is a highly insecure slum, the community volunteers provided security to the researcher to be able to walk around the slum safely. Also at each site, the volunteers helped identify data collectors who assisted in collecting quantitative data through a questionnaire. At each site the researcher met these data collectors and trained them. A pre-test of the questionnaires was done on the morning of the first day at each site and any difficulties were discussed and sorted out. This research owes its success a lot to the commitment of these grassroots personnel in mobilizing the communities. Of course monetary allowance was given to all the persons involved in mobilizing the research and to all data collectors at each study site. The researcher had found out earlier concerning expected monetary allowances, made a budget and made necessary arrangements so as not to hamper the pace of the research.

After mobilization a list of governance structures and their members was made. These include the Social Audit Teams, Budget Tracking Committees, Alternative Leadership Forums implemented by CSOs. Members of these governance structures who wished to participate in the study were requested to volunteer themselves and the researcher compiled a list. The list served as a sampling frame. Through simple random sampling, the researcher sampled study participants and the aim was to sample 200 participants in Busia study site as was the case at each of the other sites.

In Korogocho slums, Kasarani, Nairobi County, the entry process was the same as in Busia with initial contacts being made with County Government officials, CSOs staff and leaders and local volunteers at study site. The researcher purposefully selected 4 villages out of the 10 villages in the slum. These were Gitathuru, Ngomongo, Nyayo and Kariobangi. They were selected on the basis of their suitability regarding

high prevalence of governance structures in these areas. However, key informants were also drawn from other villages that they represent in the project.

CSOs staff and volunteers, village Chiefs, CSOs leaders as well as community volunteers helped in identification and mobilization of governance structures in the four sampled villages, a list of these structures was made. These included the Access to Justice Kamukunjis (ASKs), Paralegal Forums, and Elders Lobby Committees implemented by CSOs in Korogocho. Members of these governance structures who wished to participate in the study were asked to volunteer themselves and the researcher compiled a list. The list served as a sampling frame. Through simple random sampling, the researcher sampled study participants and the aim was to sample 200 participants at Korogocho slums study site.

In Nyeri, again a similar entry into the area as had happened at the others sites, was also done here. The researcher purposefully selected three (3) sub-counties thus Nyeri Central, Karatina in Mathira East sub county and Othaya sub county. This was done guided by the suitability of the locations regarding high prevalence of governance structures in these areas.

The researcher made prior contacts with government authorities and then made visits to local government Chiefs, CSOs leaders and Community volunteers in the three sampled sub – counties to help identify governance structures. A list of governance structures and their members was made. These included the Community Monitoring Committees formed and implemented by CSOs in Nyeri. Members of these governance structures who wished to participate in the study were asked to volunteer themselves and the researcher compiled a list. The list served as a sampling frame. Through simple random sampling, the researcher sampled study participants and the aim was to sample 200 participants at Nyeri study site.

The researcher sampled the sites guided by where there was more concentration of governance structures supported by the respective CSOs operating there. And at each site, government persons who included chiefs, CSOs leaders and staff and community volunteers were requested to help identify governance institutions and a list of these was made. Members of these institutions who expressed their wish to participate in the study were requested to volunteer themselves and the researcher

compiled a list which served as a sampling frame whereby 200 persons were sampled for this study at each site, a total of 600 persons from all sites.

3.4.1 Site description

3.4.1.1. Busia County

Busia County lies in the Western part of Kenya at the border with Uganda. It borders other counties thus; Bungoma to the North, Kakamega to the East and Siaya to the South West. Part of Lake Victoria is in the County on the South East. Busia is located about 480 Kms from Nairobi and is accessible by road, rail and through Kisumu airport located about 100kms away from Busia.

The size of Busia County is 1,69.5 km squared. Part of the County lies in Lake Victoria Basin. Altitude rises from 1,130 m above sea level at the shore of Lake Victoria to 1,500 meters in the Samia and Teso Hills. The central part of the county is flat especially Butula and Nambale sub counties. Busia has seven sub counties. These are Funyula, Budalangi, Butula, Matayos, Nambale, Teso North and Teso South.

Most of the county has sandy loam soils but dark clay soils are also found to the North and Central parts of the county. Rains are mainly bi-modal, that is, two rainfall seasons per year. The major season occur in March to May and December. However, some areas receive significant rainfall in August and September. The period June to July is generally dry unlike other parts of Western Kenya which receive a major rainfall peak during the period. The months of January and February are also generally dry though occasional wet conditions may occur especially in the month of January. Annual rainfall is between 760 mm to 2000 mm. Temperatures range between 26 degrees C to 30 degrees C.

According to 2012 population estimates, Busia has a population of 816,452 comprising 425,622 females and 390,830 males. By 2017 it is estimated that Busia will have a population of 953,337 persons comprising 456,356 males and 496,981 females.

Parts of Busia county and particularly Budalang'i sub county has been identified with floods for decades. Hundreds of people die while others get displaced due to floods. However, the flooding does not occur due to heavy rainfall in the area. Annual rainfall analysis indicates that the amount of rainfall in the area alone may not be enough to cause such floods. Massive water in-flows emanating from the bursting of River Nzoia banks happens to be the main causes of the flood. The area lies where River Nzoia enters Lake Victoria.

The River Nzoia originates from two high ground areas of Mt Elgon and the Cherangany Hills and drains into Lake Victoria. These areas are known to have high rainfall amounts almost throughout the year. They receive average annual rainfall amounts of over 1250 mm while Budalangi receives an average of about 1100 mm. The Nzoia river gathers strength as it flows downstream to an extent of bursting its banks as it reaches Budalang'i areas. It all depends on the intensity of rainfall in the upstream regions of Mt Elgon and Cherangany hills and the surrounding areas.

One of the suggestions to solve this problem has been construction of strong and high dykes capable of resisting the strong water currents of the two rivers. The other suggestion has been construction of dams to harvest water for constructive use, such as hydroelectric power generation.

Apart from floods, Busia suffers from drought too. The combination of the two hazards poses serious negative impacts on health, water and sanitation, education and overall food security. Crop loss is one of the biggest concerns of farmers, especially rice farmers in Bunyala sub county.

17% of the population in Busia is below age 5. High population is prevalent in urban areas of Busia town, Port Victoria, Bumala, Nambale, Malaba and Funyula. However there is low population in the hilly areas of Funyula and Budalangi sub-county and in the wetlands especially the southern parts of Budalangi. Land potential is mainly agricultural and influences population distribution. The other influence on population distribution is accessibility by road.

Poverty levels are high at 64% against the national indicator at 45.9%. Life expectancy is 47 years compared to national average of 56 years. Infant mortality is

at 65/1000 against national average of 74/1000. Literacy level is at 75.3% of the population of age above 15 years against the national figure of 79%.

Road network comprises 583.1 kms, of these 58 kms bitumen, 377 gravel and earth roads are 147 kms. The county has 11 kms of railway network and one railway station at Malaba. The county has one airstrip located at Busia town but it is not in use because of its poor state. The county has two ports at Lake Victoria: Sio Port and Port Victoria. These are used as fish landing ports.

Average land holding size is 2.34 hectares. Small holders own less than 0.4 hectares while large scale holders own 6 hectares. Large scale land holders are to be found in Teso North and Teso South while small holders are in Matayos sub-counties. This implies uneven land holding. However, there are no incidences of landlessness as most people are settled on their ancestral family land which cannot be sold unless legal measures are taken and approved by entire family.

Crops, livestock, fish production make up the main economic activities for the majority of the people in the county. This is done on subsistence basis for local consumption while some is sold at local markets for income needs. Main crops are maize, cassava, finger millet, beans, sorghum, rice, sweet potatoes, cowpeas, groundnuts, bananas, green grams, sesame, soya beans, cotton, tobacco, sugar cane, oil palm and pepper. Horticulture crops are also grown including pineapples, tomatoes, kales, cabbages, water melons, traditional vegetables, pawpaw, amaranth, onions, mangoes and others. Ministry of Agriculture, Livestock and Fisheries Development has promoted fish farming through the Economic Stimulus Program (ESP). The county fisheries department operates several fish ponds and hatcheries. Fish farming is therefore prevalent with 1500 fish ponds spread across the seven sub counties. Tilapia and mud fish species are commonly farmed. Fishing from Lake Victoria is the main fishing activity in Budalangi and Funyula.

Unemployment is at 70% since the industrial sector is undeveloped while production system is not efficient. 70% of labor is engaged on family farms. The remaining 30% is involved in fishing, trading, employment in the informal sector, while 1% is employed in the blue collar jobs.

Although Busia has permanent rivers, quality of water is poor due to soil erosion and pollution. In respect to sanitation, 70% have access to latrines while 30% use bushes for ablution. Busia town is the only area with a sewage system. The county is yet to acquire quality sanitation services.

3.4.1.2 Nyeri County

Nyeri County is situated in the central region of Kenya. It covers an area of 3,337.2 km squared. It borders Laikipia county to the North, Kirinyaga county to the east, Murang'a county to the south and Nyandarua county to the West and Meru County to the north-east. The county is known for high agricultural potential and tea, coffee, dairy milk and cut flowers are produced in most parts of the county. The county is located only two hour drive from Nairobi city, about 130 kms away, and this proximity to the city affords the county opportunity for markets for its farm and other products.

Key physical features in the county are Mt Kenya (5,199 m above sea level) to the east and the Aberdare ranges (3,999m above sea level) to the west. These mountains form the two major forest ecosystems in the county. The western part of the county is flat but to the south the topography has steep ridges and valleys and hills that include Karima, Nyeri and Tumutum hills. The county has five permanent rivers thus; Sagana, Ragati, Chania, Gura, and Nairobi.

The county experiences equatorial pattern of rainfall as it is located within the highland zone. Long rains occur between March and May while short rains occur between October and December. Annual rainfall ranges from 1200 mm to 1600 mm during long rains and 500 mm to 1500 mm during short rains.

Population growth in the county is 0.48% against national average of 3.0%. The county has a population of 707,003 comprising 346,311 males and 360,692 females according to 2013 estimates projected from 2009 population census. Those aged 10-14 represents 11.4% of the population while age 75-79 represent only 1% of the population. Over 60% of the population is below 30 years of age. Population distribution in the county is influenced by towns and agricultural potential of an area. Hence majority of the population is concentrated in the high potential areas of Mathira, Othaya, Nyeri town and parts of Mukurwe-ini.

The population living below 1 USD a day is 28.8% against national average of 45.9%. Enrolment rate at primary school education is 99% against national average of 92.9%. The under 5 mortality rate is 34/1000 against 74/1000 at national level. Mortality rate is 318,100,000 against national figure of 495/1000.

In respect to road network the county has 3,092.73 kms of road out of which 450 kms is bitumen, 1390 kms is gravel and 1252.14 kms are earth roads. Earth roads get impassable during the rains. County has three airstrips that facilitate movement and help promote tourism in the region. There are three railway stations but these are not in use.

The larger part of land in the county is used for food crop while the rest is used for cash crop including coffee, tea, dairy farming and cut flowers. Mean land holding size is 1 hectare owned by majority of small holder farmers and 4 hectares for large scale farmers. This is due to high population although most farms are used intensively. Large scale farms are found in Kieni sub-county.

Landlessness is estimated to affect 8% of the population in the county. This is due to Internally Displaced Persons (IDPs) situation that came about due to post election violence of 2007 / 2008.

Crops grown are maize, beans, irish potatoes and vegetables whereas major cash crops are coffee, tea, horticulture and cut flowers. Tea is mainly grown in the upper areas around Mt Kenya and Aberdare ranges while coffee is grown in the lower areas. Cut flowers are grown in Kieni where land size is large.

Livestock farming include dairy cattle, poultry, pigs, goats, donkeys and sheep. Also bee-keeping, rabbits, guinea pigs and quails are increasingly being farmed. Fish farming is also being practiced mainly in dams and river line. 2400 households are involved in the sector with 2622 fish ponds spread across the sub counties. Main fish species is tilapia, catfish and trout. Main products from the county are tea, coffee, fruits, vegetables, beef and mutton.

Farmers are also involved in income generating activities (IGAs). These mainly comprises tree planting for firewood and timber production. Since the ban in 1999 of forest exploitation, most farmers have come up with own woodlots on their farms to meet their wood needs and for small scale commercial activities.

The county has unique tourist attractions including the Mt Kenya – Aberdare tourist circuit, Mt Kenya National Park and others.

3.4.1.3 Nairobi County in which Korogocho slum is situated:

Nairobi County borders Kiambu County to the North and West, Kajiado County to the South, and Machakos County to the East. Nairobi County has a total area of 696.1 Km squared. The general terrain in Nairobi is mostly flat but also has steep valleys towards its boundaries. Karura forest makes up steep sided valleys to the North of the county. To the South is the Karen-Langata area that has plains that host Nairobi National Park to the East and Ngong Forest to the South.

There are three permanent rivers in Nairobi comprising Nairobi River, Ngong River and Kabuthi River which all choke with pollution. The county authorities are putting efforts to clean the rivers.

The climatic conditions in Nairobi are cool due to the high altitude in which the county finds itself. Temperatures range between 10 degrees and 29 degrees. Rainfall pattern is bi-modal with long rains between March and May and short rains from between October and December with mean annual rainfall at 786.5 mm.

Nine sub-counties make up Nairobi County and they include Starehe, Kamukunji, Kasarani, Makadara, Embakasi, Njiru, Dagoretti, Langata and Westland.

In 2012 Nairobi's population was projected at 3,517,325. It is expected to increase to 3,942,054 in 2015 and 4,253,330 in 2017. The population has a heavy pyramid at the base with those under 15 years making up to 30.3 % of the population in 2012. The population of age 50 years and above declines with age as people at this age tend to retire and go back to the rural areas after retirement.

The road network in Nairobi County is inadequate and often there is heavy congestion on most roads. Landlessness is also an issue in the county with the poor living in the informal settlements and slums. This situation is said to be exacerbated by land grabbing and influx of populations from rural areas of Kenya.

Crops are grown in the county and most of it is grown in the peri-urban areas on small-scale basis. Crops grown are mainly maize, beans, sweet potatoes, irish potatoes, kales, cassava, onions and tomatoes. Sack and green house gardening

are also practiced due to limited space for farming. Livestock farming is also practiced mainly dairy cattle, beef cattle, sheep, goats, poultry, donkeys, bees, rabbits and pigs. There is a total population of 25,536 dairy cattle, 29,010 beef cattle, 35,980 sheep, 52,412 goats, 127, 083, 983 commercial chicken, 181,721 indigenous chicken, 12,824 donkeys, 18,430 rabbits and 29,976 pigs. Livestock products include milk, beef, mutton, pork, hides / skins, eggs, honey and wax. There are also fish ponds covering an area of 180,000 square kms. Main fish farmed is tilapia, cat fish and common carp. About 152 tons of fish is harvested annually fetching Ksh. 24.3 million.

One challenge in Nairobi County is environmental degradation from the high population, increased number of vehicles, unplanned and uncontrolled settlements, poor solid waste management, uncontrolled development, untreated industrial discharge and inefficient energy use. While there are policies in place to address the situation, these are never enforced.

Nairobi County is a major tourist centre since it is close to many tourist attractions. It attracts many tourists and businessmen due to its city and commercial status. This is also due to its location close to Jomo Kenyatta International Airport which is a main entry to Kenya. Main tourist attractions are Nairobi National Park, Nairobi Museum, Nairobi Gallery, and the Karen Blixen Museum. Nairobi County has spectacular hotels. It has the largest skating ice rink in East Africa at Panari Hotel's sky centre that covers 15,000 square meters and can host 200 people.

Nairobi has major industries located in it that make up 80% of industries in Kenya. There are 2061 industries, 422 in manufacturing and these offer opportunities for employment. Most of these are located in industrial area, Kariobangi and Baba Dogo. Most wage and formally employed people are in Nairobi making a total of 453,000 persons. Most are employed in manufacturing, trade, restaurants and hotels. Other places for employment are construction and transport. Others are in finance and real estate. A large number of the population is also in self employment in the informal sector a total of 1,548,100 persons. Informal sector comprises small scale activities that are un-regulated, with simple technologies and each employ just a few people.

Unemployment in Nairobi is at 14.70%. For female it is at 18% and male at 11%. Unemployment affects the poor most. The “working poor” make up a large number of poor people in Nairobi County in low productivity industries and informal sector.

Nairobi has no own water tower and relies on that pumped from outside its boundaries. Among the water sources is Tana Basin located 50 Kms away and Sasumua Dam in Nyahururu 250 Kms away. Others are Kikuyu springs in neighboring Kiambu County, Ruiru dam also in Kiambu and Thika and Ngethu water works all in Kiambu county. While Nairobi river is permanent, its water is polluted and not fit for human consumption.

(a) Kasarani Sub-County in Nairobi County

Kasarani is one of the sub-counties in Nairobi County in which Korogocho slums are located. Kasarani lies to the north and north-eastern areas of Nairobi. Kasarani sub-county has common boundaries with Kasarani constituency of Nairobi. The entire constituency is located within Nairobi City Council area. The constituency has an area of 86 km². It was known as Nairobi Northeast Constituency at the 1963 and 1969 elections and as Mathare Constituency from 1974 elections to 1994 by-elections. Since 1997 elections it has been known as Kasarani Constituency. The area has the following: Kasarani divisions with a population of 52, 386, Korogocho with a population of 61, 294, Roysambu with a population of 38, 441, Githurai with a population of 66, 979, Kahawa with a population of 44, 660, Kariobangi with a population of 99, 825, Ruaraka with a population of 110,686 according to 1999 Government of Kenya Population census.

The sub-county boasts of a few well-to-do estates such as Garden Estate, Thome Estate and Kahawa Sukari Estate which mainly occupy quarter acre to one acre of land each which are individually owned by the well to-do working persons or wealthy business women and men in Nairobi. These homes are connected to services offered by Nairobi City Council such as water and electricity and good roads. Children attend private schools in the area that charge Ksh. 3000 to Ksh. 6000 per month, while some children also attend school in other parts of the city.

The constituency also has sub-urban areas in the periphery such as Marurui Estate, Zimmerman Estate, Membly, Kahawa West, Kiamumbi, Mwiki, Kasarani, Clay works, and Githurai which mainly dot several apartment blocks for monthly rental ranging from 10,000 to 20,000 per month. Most of the people are either self employed in businesses or are employed in the city.

Most of these peri-urban areas are served by city council with water, electricity and roads. Others have private suppliers of services such as water which is sold from individually owned boreholes.

(c) Korogocho slums:

Kasarani sub-county is also home to numerous slums where majority of the population in the constituency live. According to an Inventory of Slums in Nairobi (2010) by Pamoja Trust, a CSO, there are several slums in Kasarani sub-county that include Korogocho slums. The others are Mathare 4 A, Jathaini slum, Ruaraka Akamba dancers squatter village /slum, Beth Village, Dumpsite Village/Slum, Gathecha / Chewa Village/Slum, Ngunyumu Village/ slum, JuaKali Marurui Slum and Gituamba Slum. Others are Sharp corner slum, Kwale Village /slum, Majengo Githurai /Slum, Kamae slum, Zimmerman B slum, Muthokinjo slum, Jangwani /Gomongo slum and Soweto Kahawa slum. The slums often occupy spaces of 1.5 km squared.

Korogocho, the study site, bears a Kikuyu name whose meaning is “crowded shoulder to shoulder” and is also referred to as “Koch”. This is one of the largest slums in Nairobi and was founded in the 1970s by immigrants who came to the city from rural areas. About 300,000 people live in the slums mostly the elderly and youth. The slum lies to the East of Nairobi and occupies an area of 1.5 square kilometers. It has ten villages that include Kisumu Ndogo, Gitathuru, Grogan A, Grogan B, Nyayo, High Ridge, Korogocho A, Korogocho B, Ngunyumu, and Ngomongo.

The residents occupy shacks that measure 10 by 10 square feet. The shacks are built of mud, timber and iron sheet. Majority of structure-owners reside with their families in the settlements. Tenants pay rent of between Ksh. 800-1500 per month, depending on the room’s quality.

In Korogocho slums there are numerous piped water supply points mainly owned by the plots' landlords, who sell 20-litre containers for Ksh. 2. There are several private and communal toilets but these facilities are inadequate given the high population density. Electricity supply is limited to street security lights provided by the Nairobi County Council. Poor hygiene is prevalent with cholera, typhoid and dysentery occurring often. HIV prevalence is high at 14%. Other common ailments are malaria, tuberculosis and HIV-related opportunistic infections.

Waste disposal system in Korogocho as in the other slums remains poor, with solid wastes littering the settlements. Economic activities mainly comprise trading in household consumables while residents are also employed as casual and semi-skilled labors in the informal sector.

In Korogocho slum crime is part of life especially among the young people. Majority of young people in the slum get initiated into crime at an early age, often at teenage due to poverty and idleness. They also lack positive role models and criminals are their only role models. Youth begin engagement with petty crime with simple weapons and graduate into larger crime acts with more sophisticated weapon.

Unlike other slums, ethnicity is not a point of conflict in Korogocho especially among the youth. However, elders and other community leaders are known to promote it as occurred in 2007/2008 post election violence in Kenya. Crime is often a challenge in Korogocho and hinders peace with neighbors rising against each other.

People in Korogocho slums face many challenges including poverty, hunger, and insecurity. Unemployment is high with about 32% of the population receiving no income. The slums, since it occupies government land, lacks vital infrastructure. There is only one public school, one public health facility and there is no social hall, no big hotels, restaurants or bars. There is serious shortage of water. Common social activity is the drinking of "muratina" a traditional brew substituted for beer. Illegal firearms find their way to the slum. There is serious problem of unemployment, prostitution, drug addiction, alcoholism, crimes such as rape and domestic violence.

In the slum, homes are piled on each other with narrow paths in between them that also act as drainage and sewer lines. Roads are completely impassable during the rains and extremely dusty during the dry periods.

Most of the people feel trapped in this place as they feel they have no alternative places to go and just put up with the hardships.

3.5. DATA COLLECTION METHODS:

A combination of data collection methods were used that included a survey, focus group discussions, and in-depth face to face interviews so as to help collect data from different sources for greater understanding.

3.5.1 Secondary data:

Collection of secondary data from various sources was one of the methods. Documents on governance structures were sought for review including their constitutions, letters from government, letters they have written to government and others, their plans and any other relevant documents. Others were conferences and workshops reports, debates, political speeches, CSOs activist speeches, internet sources and contents of mass media.

3.5.2 Primary data

The study collected both qualitative and quantitative data. A combination of methods thus; a survey, Focus Group Discussions (FGDs), in-depth interviews and case studies were used. These data collection methods were deemed relevant for the study as they provided an opportunity for comparison of data derived from various methods and therefore enhanced validity. Also each method was deemed to have its own limitations which would be cross-checked by another method. For example, Focus Group Discussions has a disadvantage due to the way they limit information sharing, especially, what people may consider as sensitive information. Such limitations were over-come by having in depth-interviews to follow on certain issues raised at focus group discussions. Other than overcoming the limitations of each method, the combination of methods would also provide a comprehensive picture of factors of study.

Orodho and Kombo (2002) state that Focus Group Discussions (FGDs) are a 'special kind of group in terms of purpose, size, composition and procedure'. It is often composed of 6 to 8 individuals who share certain characteristics relevant to the objectives of the study. In this study, these are persons who have had an experience with governance structures in the area of study. They were identified during the survey and during in-depth interviews with information rich cases. Each discussion group comprised 6 to 8 participants. The researcher facilitated the discussions with the help of an assistant. A Focus Group Discussion guide was developed to help in guiding discussions.

3.5.2.1 In-depth interviews or Key Informant Interviews (KII)

In-depth interviews were also done. According to Mugenda and Mugenda (2003), interview methods are oral administration of a questionnaire or an interview schedule. Respondents were those deemed to have crucial information for the interview. They were drawn from the various categories of governance structures, thus; a representative each from social audit teams, budget tracking committees, alternative leadership forums, peace forums, elders lobby committee, Para legals, and the Access to justice Kamukunjis (ASKs). The respondents were engaged in a dialogue that enabled them to explore the themes of the study from their own points of views. An interview guide with a series of topics was used to guide discussions.

3.5.2.2. Case studies:

Case studies are tools that seek to understand units of study in detail Kombo and Tromp (2006). It consists of experiences and activities of a community or project. It brings about a deeper understanding of issues and problems. In this study, specific case studies were identified through Focus Group Discussions, in-depth interviews and during the survey. Case studies enabled collection of in-depth, precise, systematic and comprehensive description of issues around governance structures, their performance and other related societal dynamics. Fictitious names were used to protect the privacy of respondents.

3.6 DATA COLLECTION TOOLS

In this section, the researcher presents a variety of tools that were used and the rationale behind their selection. They helped collect data from multiple sources so as

to achieve a better understanding of issues being studied. The specific tools were as follows:

3.6.1 Survey questionnaire

A survey questionnaire was developed and it contained both closed and open-ended questions. The questionnaire was administered to persons who were identified from the study sites.

3. 6.2 Focus Group discussion Guide

The persons who were not included in the survey were brought together for Focus Group Discussions. Orodho and Kombo (2002) argues that Focus Group Discussions (FGDs) are a special type of group due to the fact that they are identified by a researcher to achieve a set purpose. In this study, participants were those persons who have had an experience with governance institutions in the area of study. They were identified during the survey and during in-depth interviews of Key Informants. Each discussion group had 6 to 8 participants. The researcher facilitated the discussions with the help of an assistant. A Focus Group Discussion guide was developed to guide discussions.

3.6.3 In-depth interviews Guide

In-depth interviews were carried out with a focus on those persons at the site of study who had crucial information concerning the issues being studied. Rapport was developed with the persons so that they cooperated and gave the information required. An interview guide with a series of topics was used to guide discussions.

3.7 DATA ANALYSIS AND RESULTS

Both qualitative and quantitative data were analyzed promptly once collected. Qualitative data was reduced, organized and interpreted on the basis of themes of this study. Qualitative techniques of data analysis that include trends analysis were used so as to have a systematic process of data interpretation and overall presentation.

Quantitative data gathered was analyzed using the Statistical Package for Social Science (SPSS) software. This data was organized using such summary statistics as percentages, tables and graphs. Results from the analysis of both quantitative and qualitative data was triangulated with the data gained from review of CSOs documents before documentation.

3.8 ETHICAL ISSUES

The researcher applied for ethical clearance from the University of Fort Hare ethical research committee. During the study respondents were explained about the research in advance and their consent to participate was sought from them. Seeking respondents' consent was seen to be important so that they would not feel they were being coerced to participate in the research Burns and Grove (1993, p.52) and that they had a right to withdraw from the study at any time. They were assured of confidentiality in respect to the information they provided in the course of the study and efforts were made not to use respondents' names and where names were required, pseudonyms were used.


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3.9 DELIMITATION OF THE STUDY

This study is limited to specific case studies in Kenya due to time and financial constraints. The study firstly examined CSOs could encourage communities to participate in governance processes effectively. It also looked into the capacity of CSOs in assisting communities to implement good governance principles and values. The other is the community engagement mechanisms used by CSOs to promote effective governance and inter-action. Also the results or outcomes of these mechanisms as well as challenges experienced by the CSOs.

CHAPTER 4

STUDY FINDINGS

4.1 INTRODUCTION

This chapter dwells on study findings that emanate from data collected during the survey of 600 persons who comprised the study sample. The survey was undertaken in three study sites thus Busia, Nairobi and Nyeri Counties in Kenya. See appendix 1, map 1.

It is important to note that the locale of the study sites was unique as it was different. In Nairobi, the site was Korogocho slums that hosts some of the poorest people in Kenya, while the other two study sites were in rural Kenyan communities of Busia in Western Kenya and Nyeri in Central Kenya respectively. A mix number of both men and women were interviewed. The interviews were aimed at examining CSOs role in promoting community participation in governance. Details on sample selection and the justification in choice of study sites have been highlighted in chapter three.

A key rationale for the choice of these sites is that they are among areas in Kenya where a large concentration of interventions on governance have been implemented. Also the other rationale is that these areas were often in the public domain as having experienced significant levels of poor governance and so the researcher was interested in finding out how CSOs have been able to address this scenario. The issues that were studied included an understanding of how CSOs can encourage communities to participate in governance processes effectively. Also the capacity of CSOs in assisting communities to implement good governance principles and values. The other is the community engagement mechanisms which can promote effective governance and inter-action and the results or outcomes of these activities.

To delve into these aspects of the study, both qualitative and quantitative data has been presented at the same time. Qualitative data was collected through the use of Focus Groups Discussions (FGDs) and in-depth interviews. This approach helped in complementing the information that was gathered through quantitative data as quantitative data is often not without its limitations. Qualitative data has been organized around themes drawn from study objectives while specific quotes have also been included to reflect community perspectives on the issues being studied.

4.2 SUMMARY BACKGROUND PROFILE OF THE RESPONDENTS

Socio-demographic characteristics of the respondents has been highlighted here revealing a description of the persons interviewed beginning with age of the respondents.

4.2.1 Age

In respect to age, this was categorized as follows: those below age 21, those between 21-30, 31-40, 41-50, 51-60, and above 60 years of age. Findings indicate that over 80% of respondents fell under the 21-50 age category, with majority (37.3%) belonging to 31-40 years age category as presented in table 3 below

TABLE 3: AGE

	Frequency	Percent	Valid Percent	Cumulative Percent
Under 20	36	6.0	6.0	6.0
21-30	224	37.3	37.3	43.3
31-40	177	29.5	29.5	72.8
41-50	101	16.8	16.8	89.7
51-60	53	8.8	8.8	98.5
60+	9	1.5	1.5	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

A closer examination of these findings by county reveal that most of age categories were from Busia County. Figure 1 below reveals these findings:

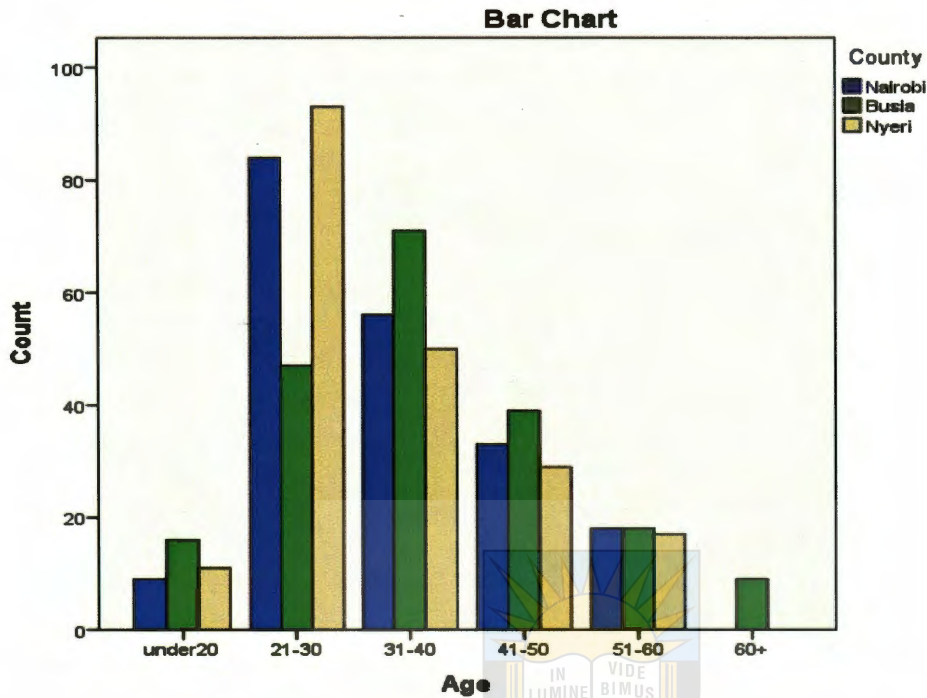


Figure 1: Age of respondents by county.

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4.2.2 Gender / Sex

In respect to gender / sex, majority (55.3%) of respondents were male as compared to 44.7% female as presented in table 4 below:

TABLE 4: GENDER / SEX

	Frequency	Percent	Valid Percent	Cumulative Percent
Female	268	44.7	44.7	44.7
Male	332	55.3	55.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis by county reveal that 59% of respondents in Nairobi were male and 40% were females, in Busia 54% were males and 45% females, and in Nyeri 52% were males and 48% females. Figure 2 below presents these findings on gender / sex of the respondents.



Figure 2: Gender / sex of the respondents by county

4.2.3 Marital Status

In respect to marital status, majority of the respondents were either married (59.7%) or single (30.2%). Those who were separated, divorced or widowed were a paltry 10.1% as presented in the following table 5:

TABLE 5: MARITAL STATUS

	Frequency	Percent	Valid Percent	Cumulative Percent
Married	358	59.7	59.7	59.7
Single	181	30.2	30.2	89.8
Separated	29	4.8	4.8	94.7
Divorced	8	1.3	1.3	96.0
Widowed	24	4.0	4.0	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the marital status by county reveal that married persons in Nairobi County were 119%, Busia at 59% while Nyeri were at 58%. Data indicate that most married persons were from Nairobi. A good number were also single with Nairobi having most single persons at 48%. A few of the responds were married before but were single for other reasons. Nairobi had persons who were single due to separation at 15%, Busia at 7.5% while in Nyeri those who were single due to separation were 2.5%. Only Nyeri had respondents who were single due to divorce at 1.5% indicating that divorce is minimal in the Korogocho slums of Nairobi and in the rural Nyeri and Busia. Those who are widowed were 18% in Nairobi, 18% in Busia and 0.5% in Nyeri. This data is presented in the following figure 3.

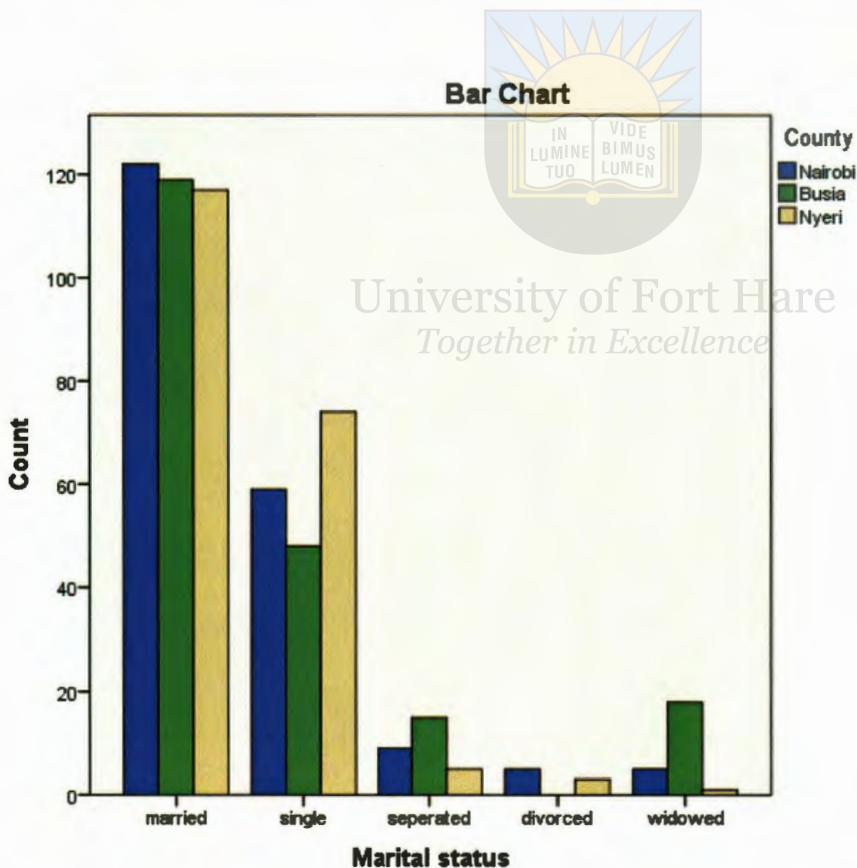


Figure 3: Marital status of the respondents by county

4.2.4 Education of the respondents

In respect to education, respondents' responses were sought in terms of highest level of education attained, and this was categorized into Primary, Secondary,

College, and None. Findings reveal that majority (40.3%) of the respondents had college education followed by secondary education (33.5%). Those with primary education were 16.7%.

A closer look at the findings by county show that 18% of the respondents from Nairobi did not have any formal education, while 6% and 7.5% also did not have any formal education in Busia and Nyeri respectively. Majority of the respondents had acquired secondary level education at 36% in Nairobi, 42% in Busia and 44% in Nyeri Counties respectively. Nyeri County had the highest number of respondents with college level education at 59%. Data shows that despite the high level of illiteracy in Nairobi’s Korogocho slums, a good number had secondary education at 36%. The significant numbers of illiterate persons in Nairobi’s Korogocho slums is a serious situation that hampers realization of development goals. The following figure 4 presents these findings on educational levels of the respondents.

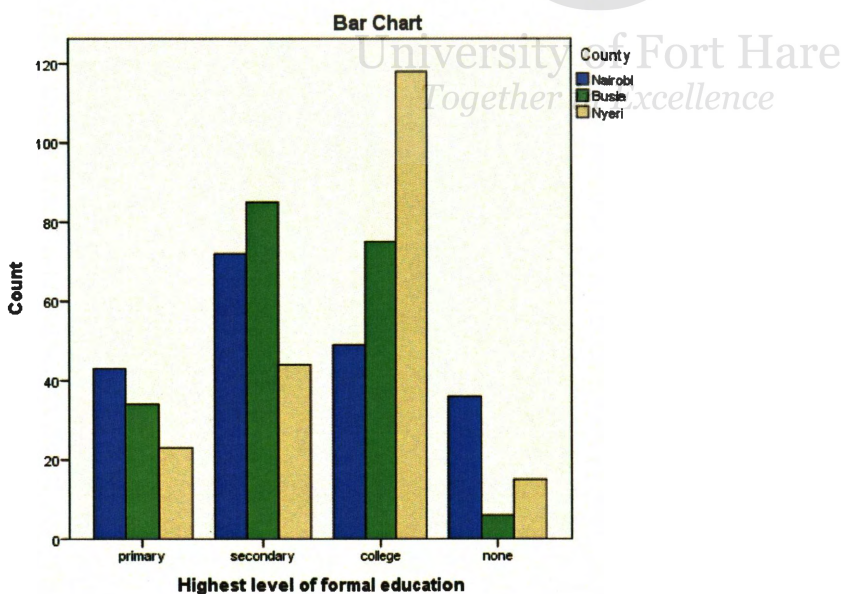


Figure 4: Educational levels of the respondents by county.

4.2.5. Positions of Respondents in the governance structures

The study sought to find out positions of respondents in the governance structures. These positions were categorized as either member, chairman, secretary, security guard or no response. The findings reveal that over 80% of respondents were either members (52.8%) or officials (28.5%). Only 1.2% of the respondents were employees of the governance structures. These findings are presented in the following table 6.

TABLE 6: RESPONDENTS POSITION IN THE GOVERNANCE STRUCTURE OR GROUP

	Frequency	Percent	Valid Percent	Cumulative Percent
Member	317	52.8	52.8	52.8
Chairman	101	16.8	16.8	69.7
Secretary	70	11.7	11.7	81.3
Guard/other	7	1.2	1.2	82.5
No response	105	17.5	17.5	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county reveal that majority of the respondents were members thus, Nairobi at 48%, Busia at 44% and Nyeri at 66%. Busia had the highest number of respondents who were Chairmen of their respective governance structures. Nairobi had the highest number of respondents who were not in any of these categories at 32%. Table 7 below presents these findings:

TABLE 7: POSITION OF RESPONDENTS IN THE GOVERNANCE STRUCTURES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Member	96	48.0	89	44.5	132	66.0
Chairman	17	8.5	66	33.0	18	9.0
Secretary	19	9.5	30	15.0	21	10.5
Security guard	4	2.0	3	1.5	0	0.0
No response	64	32.0	12	6.0	29	14.5
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.6: Role of the respondents in the governance structures

In respect to role of respondents in governance structures, the roles were categorized as participant, community developer, coordinator, data collector, keeping records, keeping law and order, manager, monitor, no response, organizing meetings and supervision. Findings reveal that a good number of participants dealt with organizing meetings (22%) or were active participants of governance structures (19.2%). Those whose role involved structure coordination, management and keeping of records were 9.3% of the respondents. These findings are presented in table 8 below:

TABLE 8: ROLE OF RESPONDENTS IN THE GOVERNANCE STRUCTURE

	Frequency	Percent	Valid Percent	Cumulative Percent
active participant	115	19.2	19.2	19.2
community development	14	2.3	2.3	21.5
Coordinator	24	4.0	4.0	25.5
data collection	1	.2	.2	25.7
keeping funds records	12	2.0	2.0	27.7
keeping law and order	15	2.5	2.5	30.2
Manager	20	3.3	3.3	33.5
Monitoring	4	.7	.7	34.2
no response	223	37.2	37.2	71.3
organizing meetings	132	22.0	22.0	93.3
supervision	40	6.7	6.7	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further findings by county show that a significant number of respondents are involved in the governance structures as participants thus; Nairobi at 18%, Busia at 18% and Nyeri at 15% with Nyeri. Busia has majority of the members involved in organizing meetings at 51%. A significant number of respondents had no response

at all to this question, that is, Nairobi at 57%, Busia at 12% and Nyeri at 42%. The following Table 9 presents this data;

TABLE 9: ROLE OF THE RESPONDENTS IN THE GOVERNANCE STRUCTURES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Participant	36	18.0	36	18.0	43	51.5
Community development	0	0.0	0	0.0	14	7.0
Coordinator	24	12.0	0	0.0	0	0.0
Data collection	1	0.5	0	0.0	1	0.2
Keeping records	0	0.0	0	0.0	12	6.0
Keeping law and order	0	0.0	15	7.5	0	0.0
Manager	20	10.0	0	0.0	0	0.0
Monitoring	4	2.0	0	0.0	0	0.0
No response	115	57.5	24	12.0	84	42
Organizing meetings	0	0.0	103	51.5	29	14.5
Supervision	0	0.0	22	11.0	18	9.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016

4.2.7 Year the governance structure was started

When it comes to the issue of when the governance structures were started, findings show that over 70% of the structures were started 2-10 years ago; with majority (53.3%) starting over a period of 2-5 years ago, as presented in the following table 10:

TABLE 10: WHEN THE STRUCTURES /GROUP WERE STARTED

	Frequency	Percent	Valid Percent	Cumulative Percent
1-2 yrs	60	10.0	10.4	10.4
2-5 yrs ago	308	51.3	53.3	63.7
5-10 yrs ago	133	22.2	23.0	86.7
10-20 yrs ago	63	10.5	10.9	97.6
20 yrs+	36	6.0	2.4	100.0
Total	600	100.0	100	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county show that, those that fall within 2–5 years time period in Nairobi were at 40%, Busia at 71% and Nyeri at 53%. A significant number have lasted longer in the 5-10 years time period especially in Nairobi at 28%, Busia 11% and Nyeri 23%. A few have lasted within 10-20 years time period; Nairobi 8%, Busia 9% and Nyeri 10%. There were still some that have lasted for over 20 years; Nairobi 3%, Busia 1.5% and Nyeri 2.4%. This is indicative that community involvement with governance issues has lasted a significant period of time, though more seem to have come about in the last 2-5 years perhaps a period when governance issues have increasingly captured the attention of more Kenyans or more CSOs. Figure 5 below illustrates these findings:

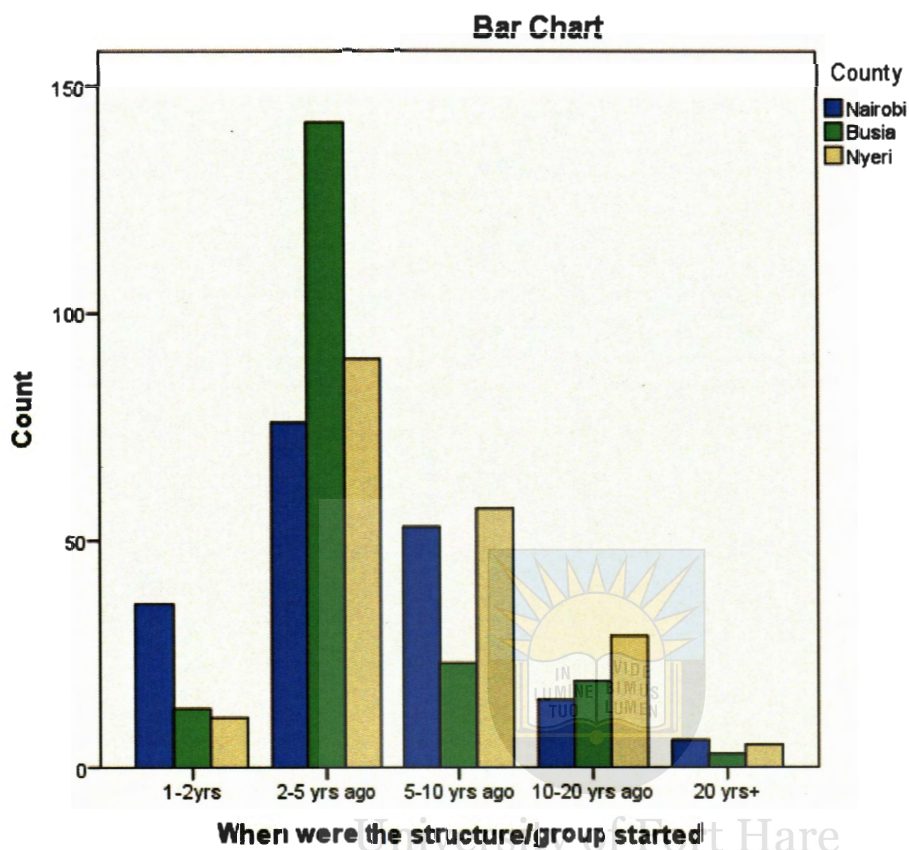


Figure 5: Year when the governance structure was started by county

4.2.8 Persons who started the governance structures

In respect to persons or institutions behind initiation of the governance structures, findings reveal that among those who started the governance structures, the NGOs were leading at 32.7% followed by local community at 27.5% and the local church at 6.8% and mosque at 0.8% as presented in the following table 11:

TABLE 11: PERSONS / INSTITUTION THAT STARTED THE GOVERNANCE STRUCTURE/GROUP.

	Frequency	Percent	Valid Percent	Cumulative Percent
local community	165	27.5	27.5	27.5
An member of the community	105	17.5	17.5	45.0
NGO	196	32.7	32.7	77.7
local church	41	6.8	6.8	84.5
local mosque	5	.8	.8	85.3
good leadership and publicity	44	7.3	7.3	92.7
other (not defined)	44	7.3	7.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further findings by county show that in Nairobi 36% of structures were started by local communities, while in Busia and Nyeri, 16% and 27% of governance structures were started by local communities respectively. A large number of these structures however, were started by NGOs especially in Busia at 48% and Nyeri 32% and a significant number of them in Nairobi at 14%. In Nairobi only 9% of local churches are involved in initiating governance structures while in Busia local churches are only involved at 4%. In Nyeri only 6% of local churches are involved in initiating governance structures. Only 0.5% of mosques in Nairobi are involved in initiating governance structures, while in Busia responses also show a 0.5% mosque involvement in initiating governance structures at 0.5% and 0.8% in Nyeri by mosques. Majority of Kenyans being Christians, this is not a good show for churches

since their initiatives could add the required weight in ensuring good governance principles and practices are enshrined in daily lives of the society along with other societal values often pushed by churches. Data also reveals that local leaders are involved in initiating governance structures at only 1.5% in Nairobi, Busia 7.5% and Nyeri 7.3% respectively. This is a serious situation since local leaders should be at the fore front in ensuring engagement with governance issues especially in protecting public resources and in ensuring proper use of scarce resources. These findings are indicative of the fact that CSOs that comprises NGOs and local communities have had a significant role in initiating governance structures. The following Figure 6 presents these findings:

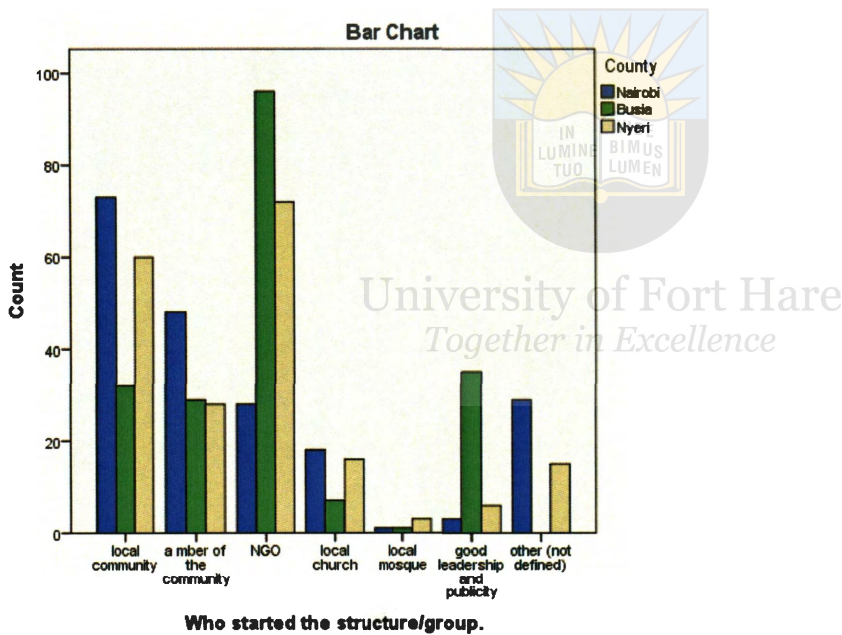


Figure 6: Those behind formation of governance structures

4.2.9. Purpose behind formation of governance structures

In respect to purpose behind formation of these governance structures, the purpose was categorized as follows: assist youth to reform, for purpose of good governance, purpose not known, to promote the welfare of the disabled, to promote women rights, to promote youth, to empower the community, to visit children homes. Findings reveal that empowerment of the community was the original purpose behind

formation of governance structures. This reason was mentioned by 46.5% of respondents. Other reasons included promoting good governance (10%) and to assist or promote the youth (6.6%). A good number of respondents (30.7%) did not know what the original purpose behind formation of their groups was. These findings are presented in the Table 12 below:

TABLE 12: ORIGINAL PURPOSE BEHIND THE FORMATION OF THE GOVERNANCE STRUCTURE/GROUP

	Frequency	Percent	Valid Percent	Cumulative Percent
assist youth to reform	20	3.3	3.3	3.3
good governance	60	10.0	10.0	13.3
not known	184	30.7	30.7	44.0
promote disabled	21	3.5	3.5	47.5
promote women rights	12	2.0	2.0	49.5
promoting youth	20	3.3	3.3	52.8
to empower the community	279	46.5	46.5	99.3
visiting children homes	.4	.7	.7	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Analysis of findings by county show that 10% of respondents in Nairobi said the purpose was to assist the youth to reform while in Busia and Nyeri this purpose to assist the youth to reform was not valid at 0% respectively. This was followed by the purpose for good governance which was at 0% in Nairobi, 23% in Busia and 6.5% in Nyeri. This indicates that the purpose for good governance was not embraced by the

communities in Nairobi while only 6.5% embraced this purpose in Nyeri although those who formed these structures had the intention of enhancing good governance practices at local levels. This is a serious situation for Nairobi and Nyeri because if these structures were meant for the purpose of enhancing governance and findings now indicate otherwise for Nyeri and Nairobi, then there would be gaps in ensuring good governance practices in these regions especially in use and better utilization of public resources in Nairobi and Nyeri. Again, a significant number of respondents did not know the purpose behind formation of the governance structures thus; Nairobi at 41%, Busia at 24% and Nyeri at 26%, and this again is a serious situation as participants and communities at large would not be expected to use these structures effectively to engage with governance issues including ensuring effective use and utilization of public resources. However, the findings on the purpose for empowering the community are significantly high at 48% in Nairobi, 52% in Busia and 39% in Nyeri. However, a significant number of respondents indicated they don't know the purpose of the governance structures and one wonders how most of these communities could be empowered if they are so un-informed. In respect to promotion of the disabled, only Nyeri has this as the purpose at 10% while Nairobi and Busia have it at 0% respectively. Following this are responses on promotion of women rights as the purpose of these governance structures. Findings for this indicate that only Nyeri has this as the purpose at 6% while Nairobi and Busia have it at 0% respectively. When it comes to promotion of youth, only Nyeri has it as the purpose of these governance structures at 10% while Nairobi and Busia has it at 0% respectively. Only Nyeri has the purpose for visiting children's home as the purpose of governance structures at 2% while Nairobi and Busia have it at 0%. Figure 7 below presents these findings.

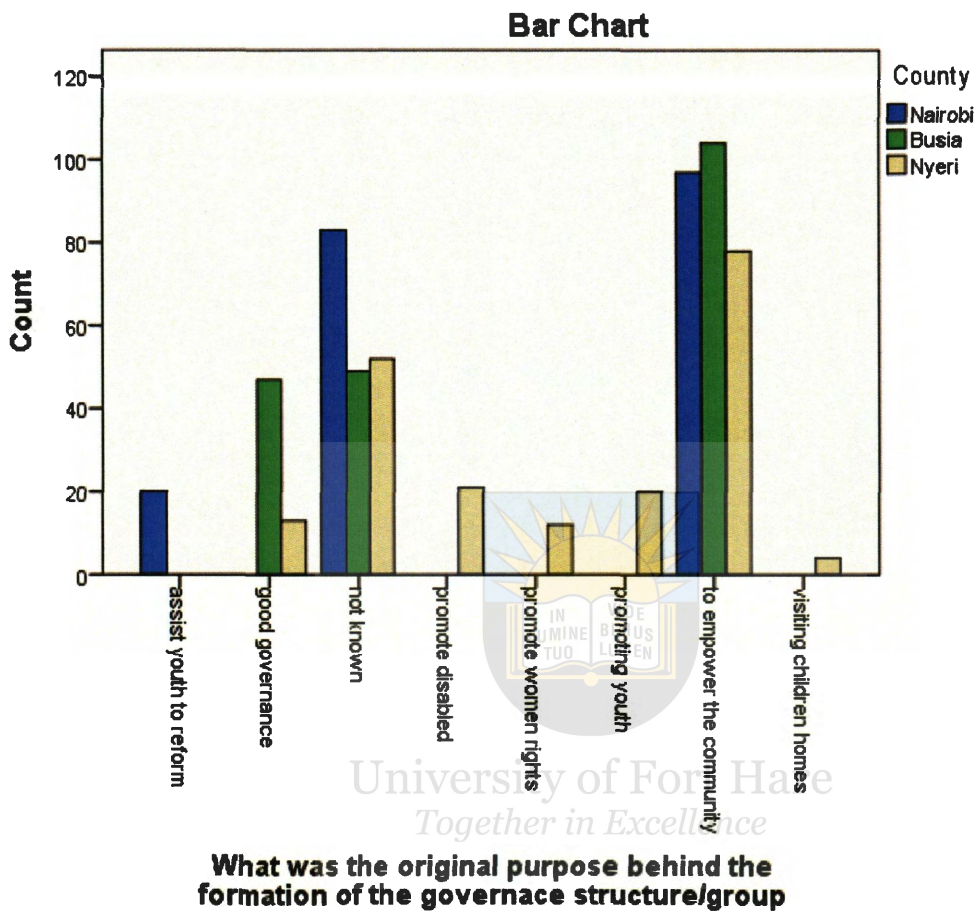


Figure 7: purpose for governance structures by county

4.2.10. How long the governance structure has operated

When respondents were asked to indicate how long the governance structure has operated as it pursues its purposes, findings reveal over 70% of respondents said the governance structures have only operated for a period of 2-5 years to be able to meet their purpose. However, a few respondents (14%) mentioned the structures only operated for less than 2 years whereas 2.2% said some structures operated for over 20 years. These findings are presented in Table 13 below:

TABLE 13: PERIOD IN WHICH THE GOVERNANCE STRUCTURE/GROUP HAS OPERATED TO MEET ITS PURPOSE

	Frequency	Percent	Valid Percent	Cumulative Percent
Don't know	19	3.2	3.2	3.2
1-2 yrs ago	84	14.0	14.0	17.2
2-5 yrs ago	305	50.8	50.8	68.0
5-10 yrs ago	135	22.5	22.5	90.5
10-20 yrs ago	44	7.3	7.3	97.8
20 yrs +	13	2.2	2.2	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Analysis of findings by county show that 5.0% of respondents in Nairobi, 3.0% in Busia and 3.2% in Nyeri did not know how long the governance structure has operated as it pursue its purpose. This is followed by the finding that 22.5% of respondents in Nairobi, 11.5% in Busia and 14% in Nyeri indicated 1-2 years. Other findings show that 43.5% of respondents in Nairobi, 60.5% in Busia and 50.8% in Nyeri indicated that the structure has operated for 2-5 years. Further findings reveal that 23% of respondents in Nairobi, 17.5% in Busia and 22.5% in Nyeri indicated the group has operated for 5-10 years. Other findings show that 4% of respondents in Nairobi, 5.5% in Busia and 7.3% in Nyeri indicated that the group has operated for 10-20 years. Also findings reveal that 4% of respondents in Nairobi, 2% in Busia and 2% in Nyeri indicated that the group has operated for over 20 years. These findings are presented in Figure 8 below:

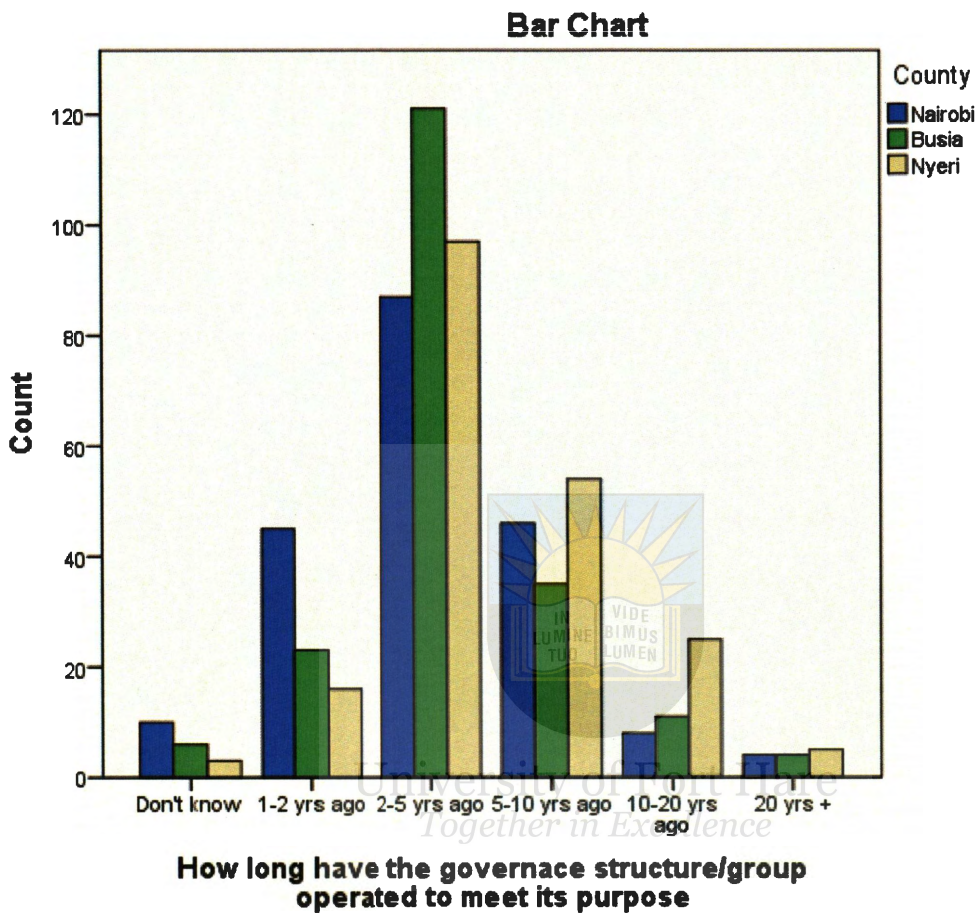


Figure 8: period the governance structure has operated by county

4.2.11 Whether purpose of the governance structure has changed or still the same

In respect to whether purpose of governance structure has changed or still the same, the change or no change was categorized as follows: don't know, changed, still the same. It is evident that the original purpose behind formation of the structure has changed as mentioned by 48.7% of respondents. However, a good number (44.5%) said the purpose has not changed. A few (6.8%) said they did not know if the purpose has changed or not. These findings are presented in the Table 14 below:

TABLE 14: WHETHER THE PURPOSE OF GOVERNANCE STRUCTURE HAS CHANGED OR IS IT STILL THE SAME

	Frequency	Percent	Valid Percent	Cumulative Percent
don't know	41	6.8	6.8	6.8
Changed	292	48.7	48.7	55.5
still the same	267	44.5	44.5	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county show that a significant number of respondents are not aware whether purpose has changed or not with Nairobi at 16%, Busia at 0.5% and Nyeri at 3.5%. This is followed with the finding that there has been change in the purpose of governance structures with Nairobi at 53%, Busia at 65% and 27% in Nyeri. Findings on whether the purpose is still the same shows that in Nairobi purpose is still the same at 30%, Busia at 34% and Nyeri at 69%. The changes in purpose are indicative of the fact that the governance structures could have diluted their purpose to address governance issues and therefore leaving challenges arising from poor governance to escalate including misuse of public resources particularly in Nairobi and Busia. The following Table 15 presents these findings.

TABLE 15: WHETHER PURPOSE OF GOVERNANCE STRUCTURE HAS CHANGED OR STILL THE SAME BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Has purpose changed or still the same						
Don't know	33	16.5	1	0.5	7	3.5
Changed	107	53.5	130	65.0	55	27.5
Still the same	60	30.0	69	34.5	138	69.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.12. Whether governance structures have members

In respect to whether governance structures being studied have members or not, responses were categorized as Yes or No. Findings show that majority of respondents said the structures have members as mentioned by about 99%. Only less one 1% said the structures did not have any members. These findings are presented in the Table 16 below:

TABLE 16: WHETHER STRUCTURE HAS MEMBERS

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	596	99.3	99.3	99.3
No	4	.7	.7	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county show that majority of the structures have members with Nairobi at 99%, Busia at 98% and Nyeri at 100%. This is encouraging as such membership has possibility to keep the “voice” of the structures strong and

being heard by those in leadership and those in authority. The following Figure 9 presents these findings on membership of the governance structures

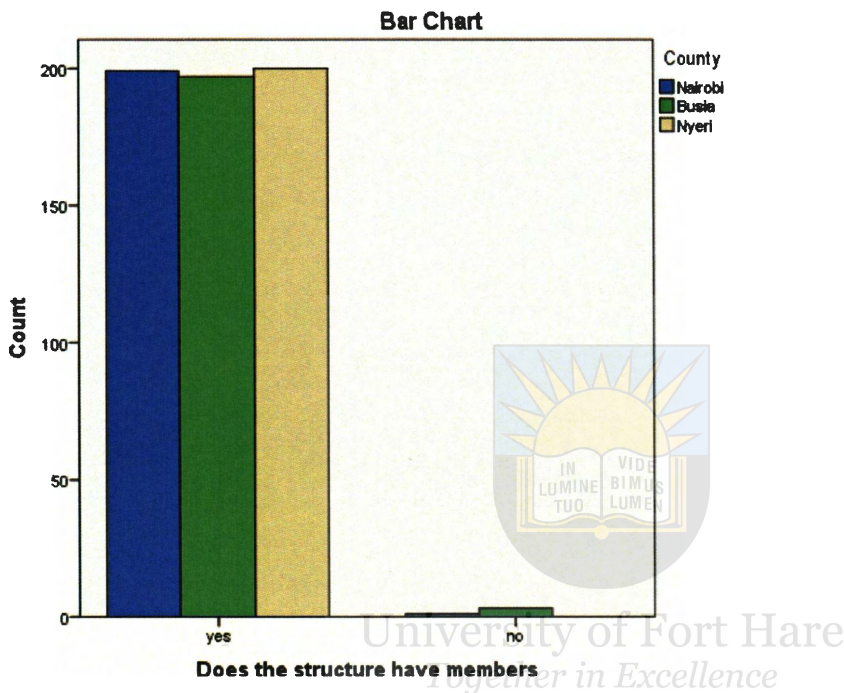


Figure 9: membership of governance structures by county

4.2.13 Categories of members of the structures

On categories of members of the structures, these were categorized as men, women, youth, a mixed membership of men and women and No answer. Majority of structure members were mixed as mentioned by 54.2% of respondents. Only 23.3% and 1.7% were made up of men and women respectively. These findings are presented in Table 17 below:

TABLE 17: CATEGORIES OF THE MEMBERS OF THE STRUCTURE

	Frequency	Percent	Valid Percent	Cumulative Percent
Men	64	10.7	10.7	10.7
women	76	12.7	12.7	23.3
Youth	131	21.8	21.8	45.2
mixed	325	54.2	54.2	99.3
not applicable	4	.7	.7	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of these findings by county show that 8% of respondents in Nairobi indicated that members were men, in Busia 15% of respondents indicated that members were men and in Nyeri 8% of respondents indicated that 8% of members were men. This is followed by findings that 10% of respondents indicating that members of these governance structures are women, while Busia and Nyeri indicate that 15% and 12% of the members in Busia and Nyeri are women respectively. The other finding indicates that 54% of respondents in Nairobi said that members in these structures were a mix membership of men and women, 47% of respondents in Busia said that members were a mix of men and women and Nyeri had 60% of the respondents indicating a mix category of men and women as members of these governance structures. This finding indicates that nearly an equal number of men and women participate in these governance structures. The following Figure 10 presents these findings on categories of members in these governance structures. This finding is important as it shows there is a chance for men and women to have their views heard in these structures.

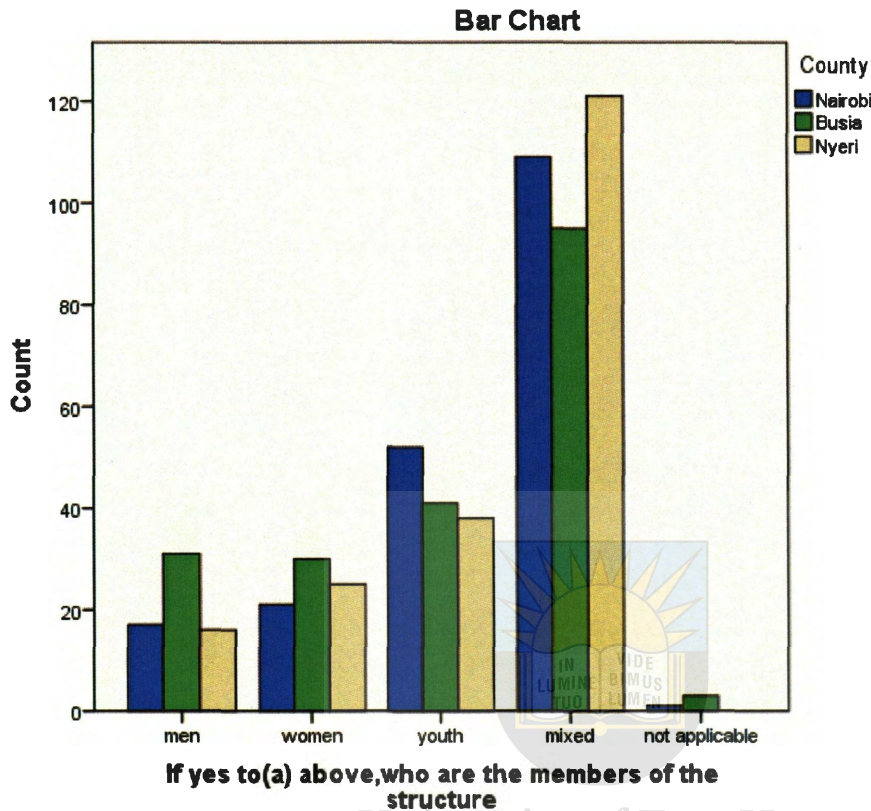


Figure10: Categories of members by county

4.2.14 Number of members in governance structures

When it comes to number of members in these governance structures, this was categorized as follows: Don't know, Below 30, Between 30-50, Between 50-100, Between 100-300, above 300 and No responses. Findings show that majority of members in the structures were either below 30 or 30-50 in number; this is as mentioned by 32.8% and 35.2% of the respondents respectively. However a good number had 50-100 members as mentioned by 18.7% of the respondents. These findings are presented in Table 18 below:

TABLE 18: NUMBERS OF MEMBERS IN THE GOVERNANCE STRUCTURE

	Frequency	Percent	Valid Percent	Cumulative Percent
don't know	11	1.8	1.8	1.8
below 30	197	32.8	32.8	34.7
30-50	211	35.2	35.2	69.8
50-100	112	18.7	18.7	88.5
100-300	32	5.3	5.3	93.8
above 300	33	5.5	5.5	99.3
not applicable	4	.7	.7	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

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Further analysis by county show that 4% of respondents in Nairobi don't know about number of members in governance structures, while 0% and 1% in Busia and Nyeri respectively also do not know about number of members in governance structures. This was followed by findings where 47% of respondents in Nairobi indicated that members in governance structures were below 30 in numbers, while 33% of respondents in Busia and 18% of respondents in Nyeri indicated a below 30 membership too. Further findings show that 34% of respondents in Nairobi indicate that membership in these governance structures are between 30 and 50 in number, while 31% of respondents in Busia and 40% of respondents in Nyeri also indicate that members are between 30 and 50 in numbers in these governance structures. Other findings are that 8% of respondents in Nairobi indicate that members in governance structures lies between 50 and 100, while 24% of respondents in Busia and 23% in Nyeri indicate the same range of between 50 and 100 in numbers of members in governance structures in those areas. This is followed by findings where 3% of respondents in Nairobi indicated that membership in governance structures lies between 100 and 300, 8% of respondents in Busia and 5% of respondents also

indicated this membership in numbers of 100 and 300. Further findings are that 2% of respondents in Nairobi indicate that membership in governance structures is above 300 in numbers, while in Busia and Nyeri 8% and 5% of respondents respectively indicated that membership is also similar at above 300. This is followed by findings that 0.5% of respondents in Nairobi did not have a response on this question, while 1.5% and 0% of respondents in Busia and Nyeri respectively had no response on this question on number of members in governance structures. These findings indicate that number of members in these governance structures majorly lies from below 30 to 50 in number of members. 24% of respondents in Busia and 23% in Nyeri indicated that number of their members lies between 50 and 100. However in Nyeri 12% respondents indicated that there exists some governance structures with a membership of above 300. Numbers in governance structures is important as they increase the “voice” of members as they engage with those in power. The fact that not many of these structures have large numbers of people is a serious situation as this weakens their position in using their power of numbers as they seek to engage and negotiate with those in authority. The following Figure 11 below presents these findings:

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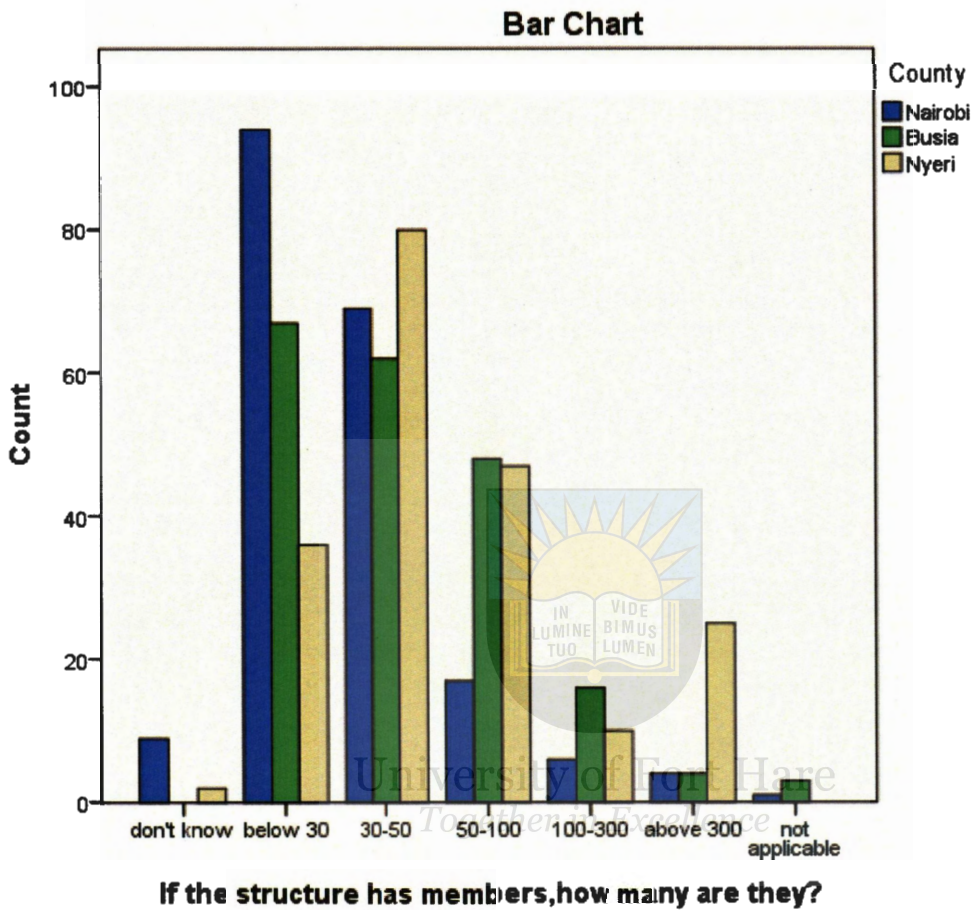


Figure 11: Number of members by county

4.2.15 Whether numbers of members in governance structures has increased or reduced over time

On whether numbers of members have increased or reduced over time, this was categorized as: increased, decreased, I don't know and No response. Findings reveal that 66% of the respondents said the number has increased; only 22.2% said the number has decreased. These findings are presented in the following Table 19 below:

TABLE 19: WHETHER THE NUMBER OF MEMBERS HAS INCREASED OR REDUCED OVER TIME.

	Frequency	Percent	Valid Percent	Cumulative Percent
Increased	396	66.0	66.0	66.0
Decreased	133	22.2	22.2	88.2
I don't know	68	11.3	11.3	99.5
not applicable	3	.5	.5	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county reveal that 52% of respondents in Nairobi indicate that membership in these governance structures has increased. 73% of respondents in Busia and 72% in Nyeri indicate that members have increased in these structures. This is a good indication showing that members and the community find these structures relevant and useful. Only 26% of respondents in Nairobi, 23% in Busia and 17% in Nyeri indicated that membership in these structures has decreased. This is followed by the finding that a significant number of respondents in Nairobi at 21% don't know whether members have increased or decreased in these structures, while 1.5% and 11% of members in Busia and Nyeri respectively also indicated that they did not know. Findings also show that 0% of the respondents in Nairobi and Nyeri indicated that they had no response while only 1.5% of respondents in Busia indicated that they had no response on this issue. Figure 12 presents these findings below:

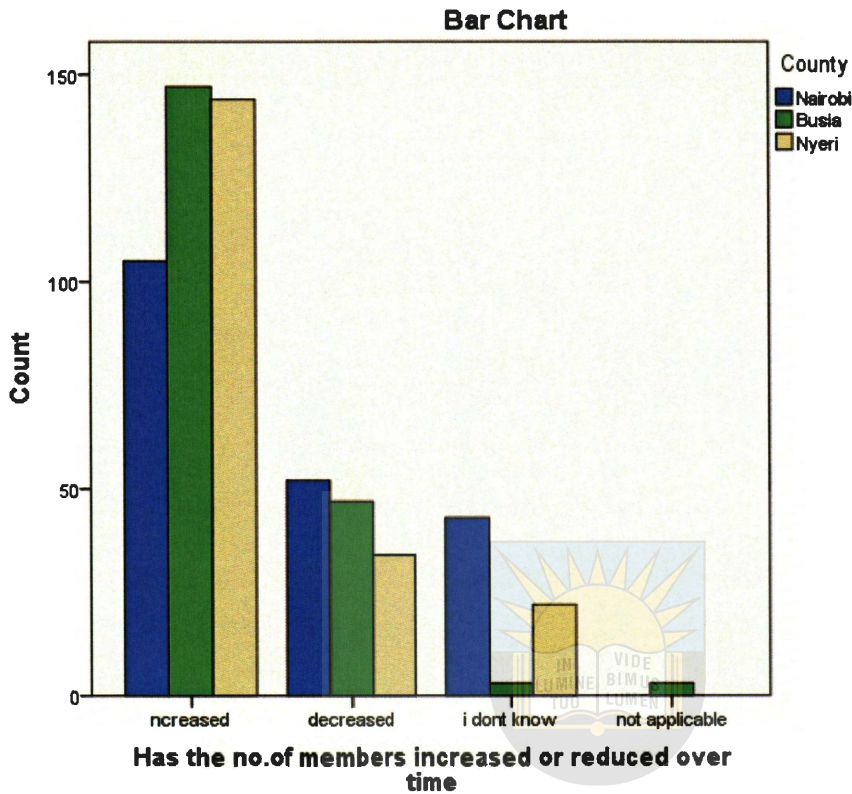


Figure 12: Whether numbers of members has increased or decreased, by county

4.2.16. Whether the governance structures have received support

On whether these governance structures have received support, this was categorized into: support received, support not received, and I don't know. Findings reveal that 65% of the respondents said the structures have received some support while 26.8% said there was no support received. These findings are presented in Table 19 below:

TABLE 19: WHETHER THE STRUCTURE HAS RECEIVED ANY SUPPORT/GROUP?

	Frequency	Percent	Valid Percent	Cumulative Percent
support received	389	64.8	64.8	64.8
support not received	161	26.8	26.8	91.7
I don't know	50	8.3	8.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of these findings by county reveal that the structures have received significant support with 52% of respondents in Nairobi, 67% in Busia and 75% in Nyeri indicating that the governance structures have received support. This finding is important since support to governance structures should enable them be effective in their mandate. This finding is followed by further findings that reveal 27% of respondents in Nairobi, 31 in Busia and 22% in Nyeri indicating that the governance structures have not received any support. Further finding reveal that 20% respondents in Nairobi indicated that they do not know whether governance structures have received support while only 2% of respondents in Busia and 3% in Nyeri indicated that they don't know whether governance structures have received support. Figure 13 below presents these findings.

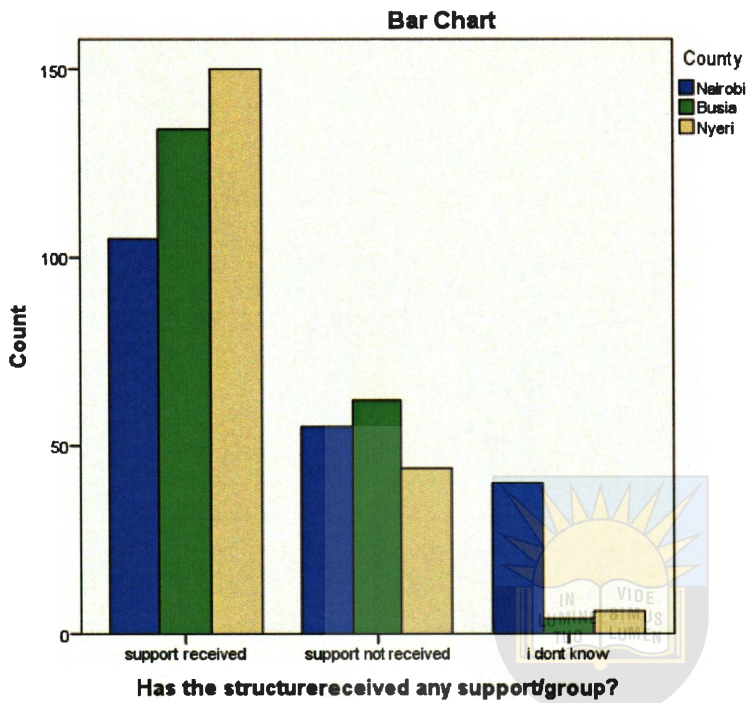


Figure 13: support received, by county

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4.2.17. Nature of support received by governance structures

In respect to nature of support, this was categorized as follows: funds, training, linked with resource providers, other. Findings show that funds and training were the main kind of support received as mentioned by 38.8% and 32.3% of the respondents respectively. About 22% of the respondents said the structures also received other kinds of support which were not defined. These findings are presented in the following Table 20 below:

TABLE 20: NATURE OF SUPPORT RECEIVED IF ANY;

	Frequency	Percent	Valid Percent	Cumulative Percent
Funds	233	38.8	38.8	38.8
Training	194	32.3	32.3	71.2
linkages to resource providers	39	6.5	6.5	77.7
Other	134	22.3	22.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county reveal that significant support in terms of funds has been extended to governance structures with 25% of respondents in Nairobi, 43% in Busia and 48% in Nyeri giving this response. This is followed by the finding that 37% of respondents in Nairobi, 31% in Busia and 28% in Nyeri indicated that training was provided to governance structures. Further findings also indicate that a significant number of respondents 11% in Nairobi, 4% in Busia and 3% in Nyeri have been linked with other resource providers. Findings also reveal that governance structures have received other forms of support with 25% of respondents in Nairobi, 21% in Busia and 20% in Nyeri giving this response. These findings are important as such support to governance structures would only facilitate them to be effective in their mandate. Figure 14 below presents these findings.

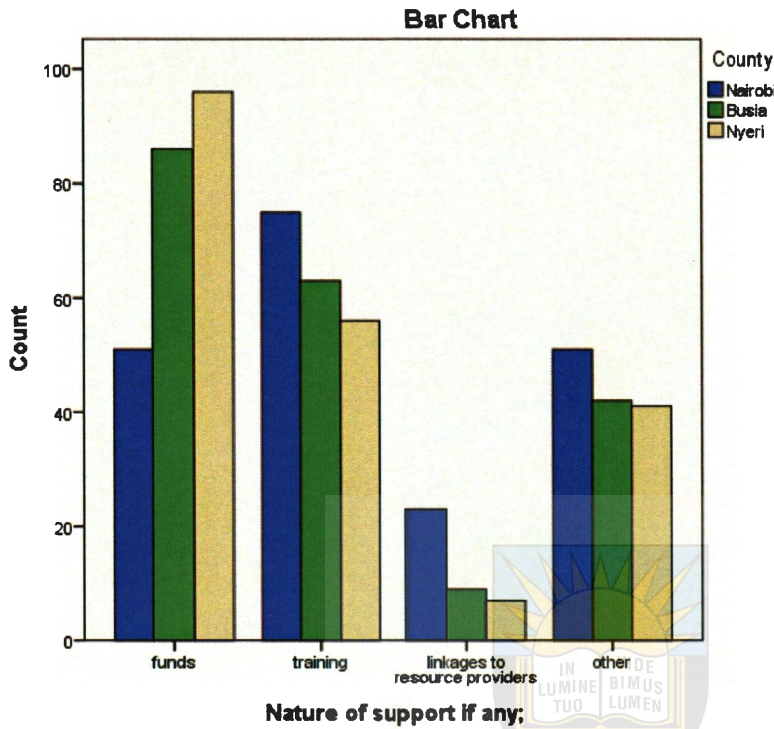


Figure 14: Nature of support received by county

4.2.18. Usefulness of support extended to governance structures

In respect to usefulness of support extended to governance structures; this was categorized as follows: strengthened leadership aspects, helped members network with authority, strengthened financial base of the structure, and other. Findings show that support extended to the governance structures has been useful mainly in strengthening leadership aspects and helping them network with others. This is as mentioned by 31.8% and 26.3% of the respondents. A good number of respondents (12.8%) said the support helped the structured to know how to work with government officials as well as strengthened their financial base. These findings are presented in Table 21 below:

TABLE 21: USEFULNESS OF THE SUPPORT(IF ANY) TO THE STRUCTURE/GROUP

	Frequency	Percent	Valid Percent	Cumulative Percent
strengthened the leadership aspects	191	31.8	31.8	31.8
helped the networking with others	158	26.3	26.3	58.2
helped us to know how to work with authorities	63	10.5	10.5	68.7
strengthened our financial base	74	12.3	12.3	81.0
Others	114	19.0	19.0	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county show that 31% of respondents in Nairobi, 28% in Busia and 36% in Nyeri indicated that support provided was useful in strengthening leadership aspects of the governance structures. This is followed by the finding that reveals that 18% of respondents in Nairobi, 35% in Busia and 26% indicated that the support helped the structures to network with authorities. Other findings reveal that 10% of respondents in Nairobi, 12% in Busia and 9% in Nyeri indicated that the support strengthened the financial base of the governance structures. Further findings showed that 18% of respondents in Nairobi, 8% in Busia and 10% in Nyeri indicated that the support accorded to governance structures was useful in other areas too apart from the one categorized here. Figure 15 below presents these findings.

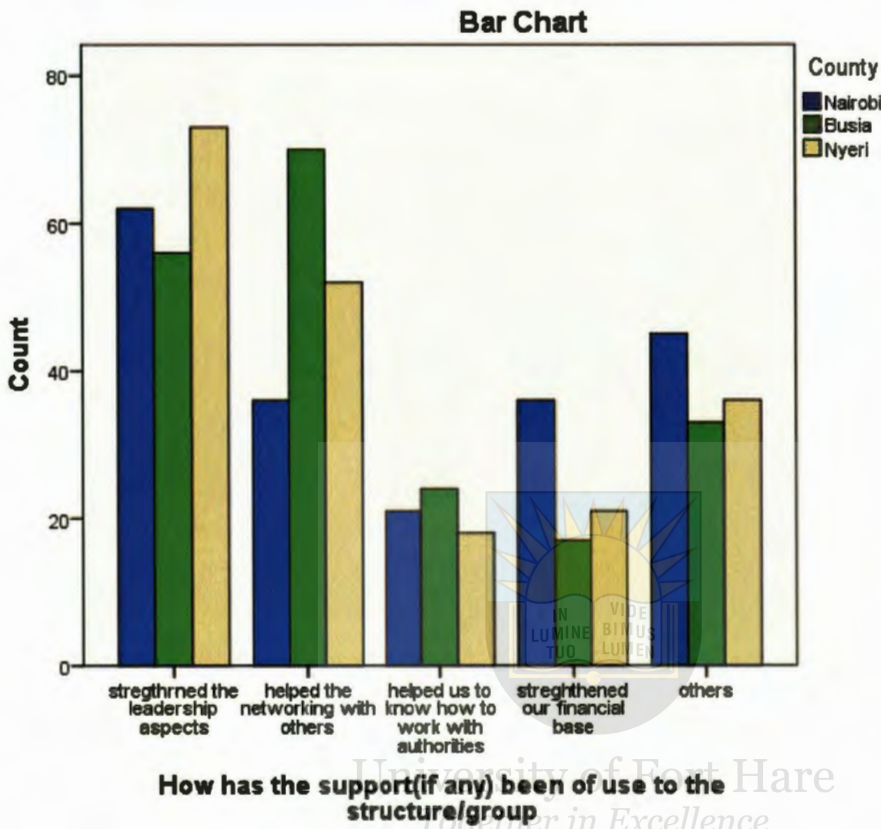


Figure 15: Usefulness of support to governance structures by county

4.2.19. Obstacles that the governance structures face

Respondents were further asked to state obstacles that the structures faces. The obstacles were categorized as: poor leadership, internal governance, financial instability, members dropping out, unfriendly political environment and poor participation by members. The main obstacles the governance structure face include inadequate finances (mentioned by 30.1% of respondents), poor participation by members (mentioned by 17.9% of respondents), unfriendly political environment (mentioned by 13.9% of respondents), internal governance (mentioned by 13.2% of respondents), poor leadership (mentioned by 21.1% of respondents), among others. These findings are presented in the Table 22 below:

TABLE 22: OBSTACLES FACED BY GOVERNANCE STRUCTURES FACES

	Frequency	Percent	Valid Percent	Cumulative Percent
poor leadership	118	2.0	12.1	12.1
internal governance	128	2.1	13.2	25.3
unstable financially	293	4.9	30.1	55.5
members dropout	12	2.0	12.3	67.8
unfriendly political environment	13	2.3	13.9	81.7
poor participation by members	17	2.9	17.9	99.6
Others	15	.1	.4	6
Total	600	100.0	100	100

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of these findings by county show that 9.7% of respondents in Nairobi, 25.8% in Busia and 24.2% in Nyeri indicated poor local leadership is an obstacle. This was followed by findings that show that 14% of respondents in Nairobi, 28% in Busia and 7% in Nyeri indicated that internal governance and leadership within the structure was the obstacle. Other findings reveal that 40% of respondents in Nairobi, 25% in Busia and 44% in Nyeri indicated financial instability as a real obstacle that governance structures face. Findings also show that 9% of respondents in Nairobi, 5% in Busia, and 10% in Nyeri have experienced the obstacle of members dropping out of the structure. Unfriendly political environment was also indicated as an obstacle by 8% of respondents in Nairobi, 7% in Busia and 9% in Nyeri. Further findings reveal that 17% of respondents in Nairobi, 7% in Busia and 5% in Nyeri indicated that poor participation by members in governance structure was an obstacle. These findings are presented in the following Table 23 below;

TABLE 23: OBSTACLES THAT GOVERNANCE STRUCTURES FACE BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Obstacles that the structure face						
Poor leadership	17	9.7	48	25.8	43	24.2
Internal governance	25	14.3	53	28.5	13	7.3
Financial instability	71	40.6	48	25.8	79	44.4
Members dropping out	17	9.7	10	5.4	18	10.1
Unfriendly political environment	14	8.0	13	7.0	16	9.0
Poor participation by members	31	17.7	14	7.5	9	5.1
Total	175	100	186	100.0	178	178

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.20 How the obstacles have been addressed

Respondents were also asked to indicate how the above obstacles have been addressed. Actions to address the obstacles were categorized as follows: provision of training, financial support, cooperation with authorities, cooperation with community, more support from politicians, and other. Findings reveal that 0% of respondents in Nairobi, 33% in Busia and 56% in Nyeri indicated training has been provided to governance structures to resolve the obstacles. This is followed by findings that show that 0% of respondents in Nairobi, 11% in Busia and 20% in Nyeri indicated that financial support was provided to mitigate the obstacles. Further findings reveal that 0% of respondents in Nairobi, 12% in Busia and 9% in Nyeri indicated that cooperation with authorities has provided a solution to the obstacles.

Other findings show that 0% of Nairobi respondents, 23% in Busia and 4% in Nyeri indicated that cooperation with the community resolved the obstacles. This is followed by the finding that 0% of Nairobi residents, 9% in Busia and 3% in Nyeri indicated that more support from politicians resolved the obstacles. It is a serious situation that no solution has been identified to resolve the obstacles in Nairobi and this is a serious threat to the functioning of governance structures in pursuing their mandate. The following Table 24 presents these findings:

TABLE 24: HOW OBSTACLES FACING GOVERNANCE STRUCTURES HAVE BEEN RESOLVED, BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
How above obstacles have been addressed						
Training	0	0.0	67	33.5	113	56.6
Financial support	0	0.0	22	11.0	40	20.0
Cooperation with authorities	0	0.0	24	12.0	19	9.5
Cooperation with community	0	0.0	46	23.0	9	4.5
More support from politicians	0	0.0	18	9.0	6	3.0
Others	0	0.0	23	11.5	13	6.5
Total	200	0.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016:

4.2.21 Activities of the governance structure known to respondents

Respondents were further asked about activities that governance structures engage with that are known to them. Findings reveal that the main activities of the structures were identifying projects that could be funded (mentioned by 23.4% of respondents), creating awareness (mentioned by 18.1% of the respondents), follow up on use of funds of funded projects (mentioned by 15.2% of respondents), participating in the implementation of funded projects (mentioned by 14.4% of the respondents), follow up on bad governance (mentioned by 8.2% of respondents), among others. These findings are presented in the following table 25.

TABLE 25: ACTIVITIES OF GOVERNANCE STRUCTURES KNOWN TO RESPONDENTS

	Frequency	Percent	Valid Percent	Cumulative Percent
creating awareness on available funds in the county	344	5.7	23.4	23.4
identification of projects that could be funded	266	4.4	18.1	41.5
follow up on use of funds in funded project	224	3.7	15.2	56.8
participating in the implementation of funded project	212	3.5	14.4	71.2
follow up on bad governance cases in village	121	2.0	8.2	79.4
holding meetings with authorities	92	1.5	6.3	85.7
writing letters to authorities	75	1.3	5.1	90.8
holding demonstrations	88	1.5	6.0	96.8
promoting women participation in project	47	.8	3.2	100.0
Total	600	100	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county show that 28% of respondents in Nairobi, 54% in Busia and 49% in Nyeri indicated that creating awareness on available funds in the county has been a significant activity of the governance structures known to them. This is followed by the finding that reveal that 29% of respondents in Nairobi, 7% in Busia and 30% in Nyeri indicated that identification of projects that can be funded has been an activity of governance structures known to them. Other findings reveal that only 8% of respondents in Nairobi, 24% in Busia and 4% in Nyeri indicate that they have witnessed governance structures engage with follow up on use of funds in the funded projects. This is a serious situation when such an important activity as follow up on use of funds is not given centre stage by these governance structures especially in Nairobi and Nyeri since such funds are prone to abuse and misappropriation when left to only local leaders and politicians. Another finding reveals that 25% of respondents in Nairobi, 10% in Busia and 6% in Nyeri indicated that they have witnessed governance structures taking part in follow up on bad governance cases. Further findings reveal that only 4.9% of respondents in Nairobi, 1.7% in Busia and 6.2 in Nyeri indicated that they know of governance structures that hold meetings with authorities. This activity though important is not at the centre stage of these governance structures, an important activity for these structures to engage the authority and report on poor governance practices in respect to implementation of public projects and programs. This is followed by the findings that show that only 3.8% of respondents in Nairobi, 0.6% in Busia and 0.5% in Nyeri indicated that they know of governance structures that have written petitions to authorities. Again this is a serious omission as petitions would provide members of governance structures an opportunity to bring to the attention of authorities instances of abuse and misuse of public resources and other related vices. Other findings reveal that 0% of respondents in Nairobi, 0% in Busia and 1.0% in Nyeri have held demonstrations over poor governance issues in the county including abuse and misuse of public resources. This is a serious situation as demonstrations raise attention and escalate an issue that need attention from those in authority. Further findings show that 0% of respondents in Nairobi, 1.7% in Busia and 1.6% in Nyeri indicated that they know of governance structures promoting women participation in projects. Again such an important activity is not at the centre stage of these governance structures leaving the “voices” of women unheard in the planning,

implementation, monitoring and evaluation of development projects in the counties. The following Table 26 presents these findings.

TABLE 26: ACTIVITIES OF THE GOVERNANCE STRUCTURES KNOWN TO RESPONDENTS BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Activities of the governance structure known to respondent						
Creating awareness on available funds in the county	53	28.1	97	54.2	95	49.2
Identification of projects that can be funded	54	29.2	13	7.3	59	30.6
Follow up on use of funds in the funded projects	15	8.1	44	24.6	8	4.1
Follow up on bad governance cases	47	25.4	18	10.1	13	6.7
Holding meetings with authorities	9	4.9	3	1.7	12	6.2
Writing petitions to authorities	7	3.8	1	0.6	1	0.5
Holding demonstrations	0	0	0	0	2	1.0
Promoting women participation in projects	0	0	32	1.7	3	1.6
	185	100.0	179	100.0	193	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.22 Whether Respondent or relative participates in activities of Governance Structures

Respondents were asked whether they or their relatives have participated in above cited activities implemented by governance structures. Majority of the respondents (58.7) said that they or their relatives have been participants of the activities carried out by the governance structures. This as opposed to 41.3% who said they or their relatives did not participate in the structure activities. These findings are presented in the following table 27:

TABLE 27: WHETHER RESPONDENT OR RELATIVE HAS BEEN A PARTICIPANT IN THESE ACTIVITIES

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	352	58.7	58.7	58.7
No	248	41.3	41.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county reveal that 0% of respondents or relatives in Nairobi, 83% in Busia and 93% in Nyeri have participated in these activities by governance structures. This is followed by the finding that 100% of respondents in Nairobi, 17% in Busia and 7% in Nyeri indicated that they or their relatives have never participated in the above activities implemented by governance structures meant to ensure good governance practices especially in the use and utilization of public funds. The following Table 28 presents these findings.

TABLE 28: WHETHER RESPONDENT OR RELATIVE PARTICIPATE IN ACTIVITIES OF GOVERNANCE STRUCTURES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Have you or your relative been participating in the above activities						
Yes	0	0.0	166	83.0	186	93.0
No	200	100.0	34	17.0	14	7.0
Total	200	100.0	200	200.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.23 How often respondents participate in activities of governance structures

Respondents were asked how often they participate in activities of the governance structures in their midst, findings reveal that participation was either done once a week or once a month as mentioned by 36.5% and 49.2% of respondents respectively as presented in the following table 29.

TABLE 29: HOW OFTEN RESPONDENTS / RELATIVE PARTICIPATE IN THE ACTIVITIES

	Frequency	Percent	Valid Percent	Cumulative Percent
once a week	219	36.5	36.5	36.5
once a month	295	49.2	49.2	85.7
once in three months	45	7.5	7.5	93.2
Others	41	6.8	6.8	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county reveal that, 69% of respondents in Nairobi, 20% in Busia and 19% in Nyeri indicated that they participate once a week. Those in Nairobi indicated that though they themselves do not participate, their relatives do. This is followed by the finding that reveal that 26.5% of respondents in Nairobi, 61% in Busia and 60% in Nyeri indicated that they participate once a month. Other findings indicate that 0% of respondents in Nairobi, 12% in Busia and 10% in Nyeri indicated that they participate once in 3 months. Further findings show that 4% of respondents in Nairobi, 6% in Busia and 10% in Nyeri indicated as others and not falling in the categories provided. These could be spontaneous participants. The following Table 30 presents these findings:

TABLE 30: HOW OFTEN RESPONDENTS PARTICIPATE IN ACTIVITIES OF GOVERNANCE STRUCTURES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
How often you or your relative participate in the above activities						
Once a week	139	69.5	41	20.5	39	19.5
Once a month	53	26.5	122	61.0	120	60.0
Once in 3 months	0	0.0	24	12.0	21	10.5
Others	8	4.0	13	6.5	20	10.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.24 Other governance activities/processes preferred by local people

Respondents were asked about other governance activities / processes existing that local people prefer to participate in over those implemented by CSOs. Findings show that other governance activities/processes in the community included the following: community elders' forums (mentioned by 41.7% of respondents), church based forums (mentioned by 24.8%) and clan based forums (19.7%). Others included mosque based forums and local politicians forums as mentioned by 3.5% and 5% of respondents respectively. The following table presents these findings:

TABLE 31: WHAT ARE OTHER GOVERNANCE ACTIVITIES/PROCESS IN THIS COMMUNITY THAT PEOPLE PREFER

	Frequency	Percent	Valid Percent	Cumulative Percent
community elders' forums	250	41.7	41.7	41.7
clan based forums	118	19.7	19.7	61.3
church based leaders forums	149	24.8	24.8	86.2
mosque based forums	21	3.5	3.5	89.7
local politicians forums	30	5.0	5.0	94.7
Others	32	5.3	5.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Analysis of these findings by county reveal that 23% of respondents in Nairobi, 52% in Busia and 41% in Nyeri indicated that community elder forums are other local governance structures preferred by local people. This is followed by the finding that shows that 36% of respondents in Nairobi, 17% in Busia and 19% in Nyeri indicated that local people prefer clan based forums. Another finding reveals that 27% of respondents in Nairobi, 12% in Busia and 24.8% in Nyeri indicated that church based forums are preferred by local people. Further findings reveal that 7.5% of respondents in Nairobi, 1.5% in Busia and 3.5% in Nyeri prefer Mosque based forums. Another finding shows that 0% of respondents in Nairobi, 9.5% in Busia and 5.0% in Nyeri indicated local politicians' forums. This is followed by the findings that reveal that 6% of respondents in Nairobi, 6.5% in Busia and 5.3 % in Nyeri prefer other forums. The following Table 32 presents these findings.

TABLE 32: OTHER EXISTING FORUMS PREFERRED BY LOCAL PEOPLE BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Other governance activities/process people prefer						
Community elder forums	46	23.0	105	52.5	99	41.7
Clan based forums	72	36.0	35	17.5	11	19.7
Church based forums	55	27.5	25	12.5	69	24.8
Mosque based forums	15	7.5	3	1.5	3	3.5
Local politicians forums	0	0.0	19	9.5	11	5.0
Others	12	6.0	13	6.5	7	5.3
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.25 Strength of preferred organizations / structures

Respondents were asked to indicate the strength of these other preferred forums on a scale of 1 (weakest) to 5 (strongest). Majority of respondents felt these other structures were strong enough as mentioned by over close to 80% of the respondents. Only about 20% of the respondents felt these other structures were weak. These findings are presented in the following table 33:

TABLE 33: IN A SCALE OF 1-5 , RESPONDENTS OPINION OF THE STRENGTH OF THESE OTHER GOVERNANCE ACTIVITIES

	Frequency	Percent	Valid Percent	Cumulative Percent
weakest	101	16.8	17.4	17.4
weaker	18	3.0	3.1	20.4
strong	201	33.5	34.5	55.0
stronger	160	26.7	27.5	82.5
strongest	101	16.8	17.4	99.8
	24	.2	.2	100.0
Total	600	100	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county reveal that 47% of respondents in Nairobi, 1.5% in Busia and 4.5% in Nyeri indicated that the forums are weakest at scale 1. This is followed by the findings that show that 8.5% of respondents in Nairobi, 1.0% in Busia and 0% in Nyeri indicated a scale of 2. Further findings reveal that 25.9% of respondents in Nairobi, 42.8% in Busia and 34.7% in Nyeri indicated a scale of 3. Other findings show that 1.1% of respondents in Nairobi, 30.4% in Busia and 49.7% in Nyeri indicated a scale of 4. This is followed by the finding that reveals that 16.9% of respondents in Nairobi, 24% in Busia and 11% in Nyeri indicated the strongest scale at 5. That means majority of the respondents were of the opinion that the alternative forums are relatively strong at between the scale of 3 to 5 apart from Nairobi where majority of the respondents indicated that the alternative forums are weakest at scale 1. The following Table 34 presents these findings:

TABLE 34: THE STRENGTH OF PREFERRED ORGANIZATIONS / STRUCTURES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
In a scale of 1-5, what is the strength of the preferred organizations / structures						
Scale 1 (weakest)	89	47.1	3	1.5	9	4.5
Scale 2	16	8.5	2	1.0	0	0.0
Scale 3	49	25.9	83	42.8	69	34.7
Scale 4	2	1.1	59	30.4	99	49.7
Scale 5 (strongest)	33	16.9	47	24.2	22	11.1
Total	189	100.0	194	100.0	199	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.26 Structures that respondents prefer to participate in

Respondents were further asked which of these structures they would prefer to participate in. Findings show that 44.7% of respondents prefer CSOs governance activities. Others mentioned they prefer community elders' forums at 19% as well as clan based forums at 9.5%. 13.7% of the respondents mentioned church based forum while 7.8% mentioned mosque based forums. Only 2% mentioned local politicians' forums. The table 35 below presents these findings:

TABLE 35: RESPONDENTS PREFERENCES ON PARTICIPATION IN GOVERNANCE STRUCTURES

	Frequency	Percent	Valid Percent	Cumulative Percent
CSOs governance activities	268	44.7	44.7	44.7
community elders forums	114	19.0	19.0	63.7
clan based forums	57	9.5	9.5	73.2
church based leaders forums	82	13.7	13.7	86.8
mosque based forums	47	7.8	7.8	94.7
local politicians forums	12	2.0	2.0	96.7
Others	20	3.3	3.3	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further findings by county show that 8% of respondents in Nairobi, 60.5% in Busia and 65.5% in Nyeri indicated they would prefer to participate in governance structures and activities implemented by CSOs. This is followed by the finding that 14% of respondents in Nairobi, 26% in Busia and 16% in Nyeri would prefer to participate in community elders forums. Further findings reveal that 23% of respondents in Nairobi, 3% in Busia and 2% in Nyeri would prefer to participate in clan based forums. Other findings show that 24% of respondents in Nairobi, 4.5% in Busia and 12.5% in Nyeri would prefer to participate in church based forums. Another finding is that 23% of respondents in Nairobi, 0.5% in Busia and 0% in Nyeri would prefer to participate in Mosque based forums. This is followed by the finding that reveal that 0% of respondents in Nairobi, 2.5 in Busia and 3.5% in Nyeri would prefer local politicians. Also findings reveal that 7% of respondents in Nairobi, 3% in Busia and 0% in Nyeri would prefer other forums other than those categorized here. The following Table 36 presents these findings:

TABLE 36: THE STRUCTURES THAT RESPONDENTS PREFER TO PARTICIPATE IN BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Which ones do you prefer to participate in						
CSO governance structures and activities	16	8.0	121	60.5	131	65.5
Community elders' forum	29	14.5	52	26.0	33	16.5
Clan based forums	47	23.5	6	3.0	4	2.0
Church based forums	48	24.0	9	4.5	25	12.5
Mosque based forums	46	23.0	1	0.5	0	0.0
Local politicians forums	0	0.0	5	2.5	7	3.5
Others	14	7.0	6	3.0	0	0.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.27 The levels at which governance structures have more benefits (individual, family, community, don't know)

Respondents were asked to indicate the levels at which governance structures implemented by CSOs have more benefits. Levels were categorized as follows: individual, family, community as a whole, and don't know. Findings show that as mentioned by 43.8% of respondents, there are more benefits of CSO supported governance structures at community level than at the individual level (31%) and family level (16.2%). These findings are presented in the table 37 below:

TABLE 37: LEVEL AT WHICH CSOS SUPPORTED GOVERNANCE STRUCTURES HAVE HAD MORE BENEFITS

	Frequency	Percent	Valid Percent	Cumulative Percent
individual levels	186	31.0	31.0	31.0
families	97	16.2	16.2	47.2
community as a whole	263	43.8	43.8	91.0
don't know	54	9.0	9.0	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Analysis of the findings by county show that 63% of respondents in Nairobi, 2% in Busia and 18% in Nyeri indicated that the structures are of more benefit at individual level. Other findings show that 17.5% of respondents in Nairobi, 15% in Busia and 15% in Nyeri indicated family level. While further findings show that 2.5% of respondents in Nairobi, 68% in Busia and 61% in Nyeri indicated that the benefit has been to the community as a whole. Further findings show that 17% of respondents in Nairobi, 4.5% in Busia and 5.5% in Nyeri indicated that they did not know. These findings are presented in Table 38 below:

TABLE 38: THE LEVELS AT WHICH GOVERNANCE STRUCTURES HAVE MORE BENEFITS (INDIVIDUAL, FAMILY, COMMUNITY, DON'T KNOW), BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
The levels at which governance structures have more benefits what level						
Individual level	126	63.0	24	12.0	36	18.0
Family level	35	17.5	31	15.5	31	15.5
Community as a whole	5	2.5	136	68.0	122	61.0
Don't know	34	17.0	9	4.5	11	5.5
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016

4.2.28. Impact of the governance structures on improvement of health services

Respondents were asked to indicate whether the governance structures implemented by CSOs have contributed to an improvement in health services. Findings show that access to health services has improved due to these structures; this is according to 55.8% of the respondents. Only 16.2% of respondents felt there was no improvement in access to health services while 28% did not have a specific answer. These findings are presented in the following table 39;

TABLE 39: WHETHER PEOPLE ACCESS TO HEALTH SERVICES HAS IMPROVED DUE TO THESE STRUCTURES

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	335	55.8	55.8	55.8
No	97	16.2	16.2	72.0
Others	168	28.0	28.0	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county show that 9.5% of respondents in Nairobi, 9.5% in Busia and 55% in Nyeri indicated that the structures have contributed to improved health services in their counties. This is followed by the finding that 17.5% of respondents in Nairobi, 17.5% in Busia and 16% in Nyeri indicated that they have not contributed to improved health services. However, 73% of respondents in Nairobi, 73% in Busia and 28% in Nyeri indicated that the structures have contributed improvement in other areas. These findings are presented in the following Table 40.

TABLE 40: IMPACT OF THE GOVERNANCE STRUCTURES ON IMPROVEMENT OF HEALTH SERVICES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Do people have improved health services due to these structures						
Yes	19	9.5	19	9.5	162	55.8
No	35	17.5	35	17.5	38	16.2
Others	146	73.0	146	73.0	0.0	28.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.29 Impact of governance structures on improvement of water services

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Respondents were asked whether the governance structures have contributed to improvement on water services. Findings show that access to water services has improved due to these structures; this is according to 77.5% of the respondents. Only 18.3% of respondents felt there was no improvement in access to water services while 4.2% did not have a specific answer. These findings are presented in the following table 41;

TABLE 41: WHETHER PEOPLE ACCESS TO WATER SERVICES HAS IMPROVED DUE TO THESE STRUCTURES

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	465	77.5	77.5	77.5
No	110	18.3	18.3	95.8
others	25	4.2	4.2	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further findings by county reveal that 80% of respondents in Nairobi, 79% in Busia and 73% in Nyeri indicated that the structures have had an impact on improvement of water services. This is followed by the finding that reveal that 17.5% of respondents in Nairobi, 12% in Busia and 25% in Nyeri indicated that the structures have not had an impact on improvement on water services. Other findings show that 2.5% of respondents in Nairobi, 9% in Busia and 1% in Nyeri indicated that the structures have had an impact on other areas. These findings are presented in the following Table 42.

TABLE 42: IMPACT OF GOVERNANCE STRUCTURES ON IMPROVEMENT OF WATER SERVICES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Do people have improved water services due to these structures						
Yes	160	80.0	158	79.0	147	73.5
No	35	17.5	24	12.0	51	25.5
Others	5	2.5	18	9.0	2	1.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.30 Impact of governance structures on children's access to education

Respondents were asked to indicate the impact of governance structures on children's access to education. Findings show that access to education has improved due to these structures; this is according to 79.5% of the respondents. Only 15.7% of respondents felt there was no improvement in access to education while 4.8% did not have a specific answer. These findings are presented in the following table 43:

TABLE 43: WHETHER CHILDREN ACCESS TO EDUCATION HAS IMPROVED DUE TO THESE STRUCTURES

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	477	79.5	79.5	79.5
No	94	15.7	15.7	95.2
others	29	4.8	4.8	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Analysis of the findings by county reveal that 73% of respondents in Nairobi, 78% in Busia and 86% in Nyeri indicated that these structures have had a positive impact on children ability to access education. This followed by findings that show that 19% of respondents in Nairobi, 14.5% in Busia and 13.5% in Nyeri indicated that these structures have not helped children to access education. Other findings reveal that 7.5% of respondents in Nairobi, 7% in Busia and 0% in Nyeri indicated that the governance structures have had positive impact on other aspects of people's lives. The following Table 44 presents these findings:

TABLE 44: IMPACT OF GOVERNANCE STRUCTURES ON CHILDREN'S ACCESS TO EDUCATION BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Are children able to access education due to these structures						
Yes	147	73.5	157	78.5	173	86.5
No	38	19.0	29	14.5	27	13.5
Others	15	7.5	14	7.0	0	0.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.31 Impact on keeping people informed on available opportunities in the devolved system

On whether the governance structures have helped keep people informed on available opportunities in the devolved system, findings show that 78% of the respondents said people are more informed of available opportunities in devolved governance systems due to these structures. But 21.8% of the respondents felt otherwise. These findings are presented in the following table 45:

TABLE 45: WHETHER PEOPLE ARE NOW MORE INFORMED OF AVAILABLE OPPORTUNITIES IN THE DEVOLVED SYSTEMS DUE TO THESE CSOS STRUCTURES

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	469	78.2	78.2	78.2
No	131	21.8	21.8	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county further reveal that 152% of respondents in Nairobi, 75.5% in Busia and 83% in Nyeri indicated that the governance structures have helped keep people informed on available opportunities in the devolved system. This is followed by findings that reveal that 48% of respondents in Nairobi, 24.5% in Busia and 17% in Nyeri indicated the contrary. These findings are presented in the following Table 46.

TABLE 46: WHETHER PEOPLE ARE NOW MORE INFORMED, BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Are people more informed of available opportunities in the devolved systems due to these structures						
Yes	152	152	151	75.5	166	83.0
No	48	48	49	24.5	34	17.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.32 Impact on better utilization of public funds

Further, in respect to having an impact on better utilization of public funds, findings show that 58% of respondents said public funds are utilized well due to these CSO governance structures whereas 42.2% thought otherwise. These findings are presented in the following table 47:

TABLE 47: WHETHER PUBLIC FUNDS ARE NOW WELL UTILIZED DUE TO THESE CSO GOVERNANCE STRUCTURES.

	Frequency	Percent	Valid Percent	Cumulative Percent
yes	346	57.7	57.7	57.7
No	253	42.2	42.2	99.8
others	1	.2	.2	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county show that 54.5% of respondents in Nairobi, 58.5% in Busia and 60% in Nyeri indicated that the structures have had some positive impact on better utilization of public funds at local levels. This is followed by findings that reveal that 45.5% of respondents in Nairobi, 41% in Busia and 40% in Nyeri indicated a contrary response. The following Table 48 presents these findings.

TABLE 48: IMPACT ON BETTER UTILIZATION OF PUBLIC FUNDS BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Are public funds utilized well due to these structures						
Yes	109	54.5	117	58.5	120	60.0
No	91	45.5	82	41.0	80	40.0
Others	0	0.0	1	0.5	0	0.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.1.33

4.2.33. Respondents' witness of how CSOs have engaged communities in governance issues

Respondents were also asked to indicate CSOs activities they have witness geared towards engaging communities in governance issues. Findings show that main ways that CSOs have used that are geared towards engagement of community in governance are as follows: training on governance (mentioned by 39% of the respondents), awareness on bad governance (mentioned by 28% of the respondents), community meeting with leaders (mentioned by 13.7% of the respondents) and gender awareness (mentioned by 13.8% of the respondents), among other ways. These findings are presented in the following table 49:

TABLE 49: CSOS GOVERNANCE ACTIVITIES WITNESSED BY RESPONDENTS

	Frequency	Percent	Valid Percent	Cumulative Percent
training in governance	506	8.4	39.0	39.0
awareness on bad governance cases in village	363	6.1	28.0	67.1
community meeting with leaders	177	3.0	13.7	80.7
getting communities to write and sign letters to leaders	46	.8	3.5	84.3
Demonstrations	25	.4	1.9	86.2
gender awareness,	179	3.0	13.8	100.0
Total	600	100	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county reveal that 47.1 % of respondents in Nairobi, 69.9% in Busia and 81.7% in Nyeri indicated that provision of training on governance issues is one activity they have witnessed being used by CSOs to engage communities in governance issues. This is followed by the finding that reveal that 52.9% of respondents in Nairobi, 14% in Busia and 11.5% in Nyeri indicated that they have witnessed CSOs engaging communities through creating awareness on bad governance. Other findings show that 0% of respondents in Nairobi, 9.7% in Busia and 3.1% in Nyeri indicated that they have witnessed CSOs engage local communities through facilitating community meetings with leaders. Other findings reveal that 0% of respondents in Nairobi, 1.1% in Busia and 2.1% in Nyeri indicated that they have witnessed CSOs engaging communities in demonstrations against bad governance. This is followed by findings that show that 0% of respondents in Nairobi, 5.4% in Busia and 1.6% in Nyeri have witnessed CSOs engage communities through provision of gender awareness as a poor governance issue. These findings are presented in the following Table 50:

TABLE 50: RESPONDENTS' WITNESS OF HOW CSOS HAVE ENGAGED COMMUNITIES IN GOVERNANCE ISSUES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
How CSOs have engaged community in governance						
Training in governance	88	47.1	130	69.9	156	81.7
Creating awareness on bad governance	99	52.9	26	14.0	22	11.5
Community meeting with leaders	0	0.0	18	9.7	6	3.1
Holding demonstrations	0	0.0	2	1.1	4	2.1
Gender awareness,	0	0.0	10	5.4	3	1.6
Total	187	100.0	186	100.0	191	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.34 CSOs activities that have succeeded in getting communities to participate in governance issues

Respondents were also required to indicate which CSOs activities have been successful in getting communities to participate in governance issues in their locality. Findings by county reveal that 63.3% respondents in Nairobi, 70.5% in Busia and 67.1% in Nyeri indicated that provision of training on governance issues enabled communities to participate in governance issues. This is followed by the finding that 22.5% of respondents in Nairobi, 18.9% in Busia and 20.6% in Nyeri indicated that creating awareness on bad governance enabled communities to participate in governance issues. Other findings show 11.2% of respondents in Nairobi, 5.8% in Busia and 8.4% in Nyeri indicated that holding community meetings with leaders has helped communities to participate in governance issues. Further findings reveal that only 2.4% of respondents in Nairobi, 0% in Busia and 1.1% in Nyeri indicated that getting communities to write and sign letters to leaders has helped communities to participate in governance issues. Also findings show that 0% of respondents in Nairobi, 3.2% in Busia and 1.7% in Nyeri indicated that holding demonstrations has helped communities to participate in governance issues. Other findings reveal that 0.6% of respondents in Nairobi, 1.6% in Busia and 1.1% in Nyeri indicated that raising gender awareness has enabled communities to participate in governance issues. These findings are presented in the following Table 51:

TABLE 51: CSOS ACTIVITIES THAT HAVE SUCCEEDED IN GETTING COMMUNITIES TO PARTICIPATE IN GOVERNANCE ISSUES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
How CSOs have been successful in getting community to participate in governance						
Training in governance	107	63.3	134	70.5	24	67.1
Creating awareness on bad governance	38	22.5	36	18.9	74	20.6
Community meeting with leaders	19	11.2	11	5.8	30	8.4
Getting communities to write and sign letters to leaders	4	2.4	0	0.0	4	1.1
Holding demonstrations	0	0.0	6	3.2	6	1.7
Gender awareness,	1	0.6	3	1.6	4	1.1
Total	169	100.0	190	100.0	359	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.35. Benefits arising from community participation in governance structures

When respondents were asked to indicate benefits arising from community participation in governance structures, findings show that the authorities now take the community more seriously and listen to them (13.8%), there is improved working relationship between the community and authorities (12.5%), people now access public information more than before (12.9%) and communities now contribute and participate more in development projects (12.3%), among others. These findings are presented in the table 51 below:

TABLE 52: SOME OF THE BENEFITS OF COMMUNITY PARTICIPATION IN THESE GOVERNANCE ACTIVITIES

	Frequency	Percent	Valid Percent	Cumulative Percent
authorities take communities more seriously and listen to them	220	3.7	13.8	13.8
reduction of corruption as less bribes being asked	146	2.4	9.2	22.9
communities now saving more as less bribes are asked	57	1.0	3.6	26.5
there is closer working relationship between community and authorities	200	3.3	12.5	39.1
public projects being completed on time	78	1.3	4.9	43.9
public funds being utilized well	96	1.6	6.0	50.0
both men & women are now listened to equally	156	2.6	9.8	59.7
people now access information well on public projects	205	3.4	12.9	72.6
communities now hold leaders to account for action	123	2.1	7.7	80.3
communities participate and contribute more to development projects	196	3.3	12.3	92.6
community members trust and support each more	118	2.0	7.4	100.0
Total	100	100	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Findings by county show that 82% of respondents in Nairobi, 46.6% in Busia and 33.1% in Nyeri indicated that communities have benefitted by having those in authority taking them seriously and listen to them. This is followed by the findings that 31% of respondents in Nairobi, 17.6% in Busia and 15.5% in Nyeri indicated that there is reduction in corruption in corruption as less bribes are being asked in public places. Other findings reveal that 12% of respondents in Nairobi, 6.8 in Busia and 10.5% in Nyeri indicated that there is now closer working relationship between communities and those in authority. This is followed by the finding that 31% of respondents in Nairobi, 17.6% in Busia and 8.8% in Nyeri indicated that people now access information well on public projects. Further findings reveal that only 5% of respondents in Nairobi, 2.8% in Busia and 9.4% in Nyeri indicated the benefit that communities now participate and contribute more to development projects. Also findings show that 15% of respondents in Nairobi, 26.2% in Busia and 22.7% in Nyeri indicated that communities have had other benefits arising from their participation in governance issues. These findings are presented in Table 52 below:

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TABLE 53: BENEFITS ARISING FROM COMMUNITY PARTICIPATION IN GOVERNANCE STRUCTURES BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Benefits of community participation in these structures						
Authorities take communities more seriously and listen to them	68	82	82	46.6	60	33.1
Reduction of corruption as Less bribes being asked	38	31	31	17.6	28	15.5
There is closer working relationship between community and authorities	23	12	121	6.8	19	10.5
People now access information well on public projects	10	31	31	17.6	10	8.8
Communities participate and contribute more to development projects	9	5	5	2.8	17	9.4
Others	27	15	15	26.2	41	22.7
Total	175	100.0	176	100.0	181	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.36 Whether communities are now participating more in governance of projects that concern their welfare.

On whether communities are now participating more in governance of projects concerning their welfare, findings by county reveal that 61% of respondents in Nairobi, 79% in Busia and 93% in Nyeri indicated that communities are now participating more in governance of projects that concern their welfare. However, other findings show that 39% of respondents in Nairobi, 21% in Busia and 7% in Nyeri indicated that communities are not participating more in governance of projects that concern their welfare. These findings are presented in Table 53 below:

TABLE 54: WHETHER COMMUNITIES ARE NOW PARTICIPATING MORE IN GOVERNANCE OF PROJECTS THAT CONCERN THEIR WELFARE BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Are communities participating more in governance of projects that concern their welfare						
Yes	122	61.0	158	79.0	186	93.0
No	78	39.0	42	21.0	14	7.0
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.37. Whether respondent would recommend governance structures to other parts of Kenya

When respondents were asked whether they would recommend governance structures implemented by CSOs to other parts of the country, findings show that an overwhelming 90% of respondents said they would respond such CSO activities to other parts of Kenya where they are not implemented. In comparison only about 10% of the respondents who felt otherwise. These findings are presented in the table 54 below:

TABLE 55: WHETHER RESPONDENTS WOULD RECOMMEND SUCH CSO GOVERNANCE ACTIVITIES TO OTHER PARTS OF KENYA WHERE THEY ARE NOT IMPLEMENTED

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	533	88.8	88.8	88.8
No	67	11.2	11.2	100.0
Total	600	100.0	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further findings by county reveal that, 81.5% of respondents in Nairobi, 86.5% in Busia and 98.5% in Nyeri indicated that they would recommend them. This is followed by the finding that show that 15.5% of respondents in Nairobi, 13.5% in Busia and 1.5% in Nyeri indicated that they would not recommend the structures to other parts of Kenya. These findings are presented in the following Table 55 below:

TABLE 56: WHETHER RESPONDENT WOULD RECOMMEND GOVERNANCE STRUCTURES TO OTHER PARTS OF KENYA, BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Would you recommend such CSO governance activities to other parts of Kenya						
Yes	163	81.5	173	86.5	197	98.5
No	37	15.5	27	13.5	3	1.5
Total	200	100.0	200	100.0	200	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.38 CSOs activities that have meant most to respondent

Respondents were also asked to indicate which activities implemented by CSOs have meant most to them. Findings show that the governance activities that have meant most to the respondents include the following: training (31.7%), awareness on bad governance (22.1%), getting community to work with authorities (10.8%), gender awareness (10.4%) and creating awareness on available funds in the county (21.1%), among others. These findings are presented in the following table 56;

TABLE 57: GOVERNANCE ACTIVITIES BY CSO THAT HAS MEANT MOST TO RESPONDENTS

	Frequency	Percent	Valid Percent	Cumulative Percent
Training	294	4.9	31.7	31.7
awareness on bad governance cases	205	3.4	22.1	53.9
get community to meet with authorities	100	1.7	10.8	64.7
getting communities to write letters to leaders	71	1.2	7.7	72.4
getting communities to know how to use demonstrations	48	.8	5.2	77.5
gender awareness	96	1.6	10.4	87.9
creating awareness on available funds in the county	112	1.9	12.1	100.0
Total	600	100	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of the findings by county reveal that 49.1% respondents in Nairobi, 50.3% in Busia and 63.9% in Nyeri indicated that training has meant most to them. This is followed by the finding that 21.7% of respondents in Nairobi, 17.2% in Busia and 19.1% in Nyeri indicated that creating awareness on bad governance has meant most to them. Other findings reveal that 9.3% of respondents in Nairobi, 3.1% in Busia and 6.7% in Nyeri indicated that getting community to meet with authorities has meant most to them. Also findings show that 3.1% of respondents in Nairobi, 17.2% in Busia and 0% in Nyeri indicated that getting communities to write letters to authorities has meant most to them. Further findings reveal that 3.7% of respondents in Nairobi, 1.2% in Busia, 2.1% in Nyeri indicated that engaging communities in demonstrations has meant the most to them. Other findings show that 3.7% of respondents in Nairobi, 4.9% in Busia and 6.2 in Nyeri indicated that gender awareness has meant the most to them. This is followed by the finding that 9.3% of respondents in Nairobi, 6.1% in Busia and 2.1% in Nyeri indicated that creating awareness on the available funds in the county has meant the most to them. These findings are presented in the following Table 57.

TABLE 58: CSOS ACTIVITIES THAT HAVE MEANT THE MOST TO RESPONDENT BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Activity by CSO which has meant most to respondent						
Training	179	49.1	82	50.3	124	63.9
Creating awareness on bad governance	35	21.7	28	17.2	37	19.1
Get community to meet with authorities	15	9.3	5	3.1	13	6.7
getting communities to write letters to leaders	5	3.1	28	17.2	0	0
Demonstrations	6	3.7	2	1.2	4	2.1
Gender awareness	6	3.7	8	4.9	12	6.2
Creating awareness on available funds in the county	15	9.3	10	6.1	4	2.1
Total	161	100.0	194	100.0	194	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.2.39 Suggestion to CSOs for improvement

Respondents were also asked to provide suggestions to CSOs for improvement of their activities. Findings show that the main improvements that the respondents suggests to these CSO activities include: more training as mentioned by 23.7% of respondents, frequency of trainings as mentioned by 19.2% of respondents and follow up visits by trainers to be enhanced as mentioned by 17.5%. Other improvements include handouts on what was taught (mentioned by 10.3% of

respondents) and better trainers (mentioned by 7.9% of respondents), among other improvements. These findings are presented in the following table 58:

TABLE 59: WHAT IMPROVEMENTS WOULD YOU SUGGEST TO THESE CSOS ACTIVITIES

	Frequency	Percent	Valid Percent	Cumulative Percent
more training	263	4.4	23.7	23.7
frequency of trainings	213	3.6	19.2	43.0
better trainers	88	1.5	7.9	50.9
handouts on what was taught	114	1.9	10.3	61.2
follow up visits to groups by the trainers to be enhanced	194	3.2	17.5	78.7
financial supports to be given to groups	236	3.9	21.3	100.0
Total	600	100	100.0	

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

Further analysis of these findings by county reveal that 27% of respondents in Nairobi, 52% in Busia and 71.9% in Nyeri indicated more training should be provided. This is followed by the finding that 24.1% of respondents in Nairobi, 13.3% in Busia and 18% in Nyeri indicated that frequency of trainings need to be looked into. Other findings reveal that 7.3% of respondents in Nairobi, 14.9% in Busia and 2.4% in Nyeri indicated that better trainers are needed. Further findings show that 4.4% of respondents in Nairobi, 1.5% in Busia and 3.0% in Nyeri indicated that handouts on what is taught need to be always given. Also findings reveal that 15% of respondents in Nairobi, 17.2% in Busia and 0% in Nyeri indicated that follow up visits are needed. Further findings show that 21.9% of respondents in Nairobi, 0.7% in Busia and 4.8% in Nyeri indicated that financial support need to be given to groups. These findings are presented in the following Table 59.

TABLE 60: SUGGESTION TO CSOS FOR IMPROVEMENT BY COUNTY

Variable/County	Nairobi		Busia		Nyeri	
	F	%	F	%	F	%
Improvements suggested to these CSOs						
More training	37	27.0	70	52.2	120	71.9
Frequency of trainings	33	24.1	18	13.4	30	18.0
Better trainers	10	7.3	20	14.9	4	2.4
Handouts on what was taught	6	4.4	2	1.5	5	3.0
Follow up visits to groups by the trainers to be enhanced	21	15.3	23	17.2	0	0.0
Financial supports to be given to groups	30	21.9	1	0.7	8	4.8
Total	137	100.0	134	100.0	167	100.0

KEY: F = Frequency, % = Percentage. Source: Research Findings, 2016.

4.3. Qualitative responses on the role of CSOs in promoting community participation in governance.

The findings from qualitative data on the role of CSOs in promoting community participation in governance show that CSOs are believed to have the skills and knowledge that can be used to aid communities in engaging with governance issues in the locality. They are seen to have the capacity to organize people, train them and provide the required support for them to participate effectively. This section is presented under the following sub-titles; functionality of the governance structures being implemented by CSOs to help communities engage with governance issues,

including how these structures came about. The other aspect discussed here is the usefulness of the structures and in particular whether they are enabling community to hold leaders accountable including enabling men and women to be listened to equally. Also discussed are challenges experienced in the structures. Qualitative data was collected through Focus Group Discussions (FGDs) and Key Informant (In-depth) Interviews (KIIs) methods as discussed in chapter three. It is important to note that while KIIs and FGDs were conducted in Busia and Nyeri respectively, those in Nairobi were conducted at Korogocho Community Justice Centre and they came from different areas of the slum as representatives of those areas. The areas in the slums represented were: Baba Dogo, Gitathuru, Gomongo, Dandora, Nyayo and Kariobangi. All these areas in the slum fall within the area of coverage by Legal Resources Foundation. Legal Resources Foundation partnered in this project with Korogocho Community Justice Centre and Kituo Cha Sheria, institutions that are operating in the same areas.

The Tables 60 and 61 below shows distribution of FGDs and KII by County respectively.

TABLE 61: DISTRIBUTION OF FGDS IN THE STUDY COUNTIES OF BUSIA, NAIROBI AND NYERI

Category description	Busia		Nairobi		Nyeri	
	Bumala	Matayos	Gomongo	Gitathuru	Nyeri Town	Karatina Town
Mixed group (men, women, youth, etc.)	1	1	1	1	1	1
Women only	-	-	-	-	-	-
A social structure (just name the type of people interviewed)	CSOs activists under Jukwa La Mzalendo in Samia Sub-County	CSOs activists bringing together various CSOs, Maendeleo Ya Wanawake, youth groups and other special interest groups in Matayos sub-county	Leaders and representatives of NGOs/CSOs operating in Korogocho	Community opinion leaders who included youth 'Cohesion Champions'), women, elders and religious leaders in Korogocho	Representatives of 5 CSOs partnering with NTA in Nyeri Central Sub-county	Community opinion leaders (e.g. religious leaders, retired government officers, women leaders) facilitated by the local CSOs in Karatina Sub-County

TABLE 62: THE DISTRIBUTION OF THE NUMBER OF IN-DEPTH INTERVIEWS (KEY INFORMANT INTERVIEWS)

Participants	Busia				Nairobi				Nyeri			Total
	Bumala Sub-County	Matayo sub-County	Samia Sub-County		Korogocho*	-	-		Nyeri Central	Karatina	Othaya	
Female	1	-	-		-				1	1	1	4
Male	1	2	2		6				1	1	1	14
CSO leader	1	-	1		1				1			4
Staff of CSO	1	2	1		5				1	2	2	14
Government officials	-	-	-		-	-	-	-				
Total	2	2	2		6				2	2	2	18

**Nairobi, Korogocho; interviews were done at Korogocho justice centre but KIIs came from areas they represent, thus: Baba Dogo, Gitathuru, Gomongo, Dandora, Nyayo and Kariobangi.*

4.3.1 Qualitative responses on motivation behind formation of governance structures

Findings from qualitative responses reveal that in respect to motivation behind formation of governance structures across the 3 counties of Nairobi, Busia and Nyeri, the aim was to address bad governance which had continuously led to misuse of public resources. FGDs discussants and key informants in Busia especially emphasized this and said that Busia had been identified as being among five counties in Kenya with bad governance which led to the formation of these governance structures. In the 3 counties it was disclosed that there was human rights violation by the duty bearers, high level of corruption and lack of public participation in governance processes.

The other issue that emerged concerned failure by the community for not holding their leaders accountable. This is an issue that came up frequently during discussions and which was said to have led to formation of governance structures. Much of this was said to arise from community intimidation by the leaders.

A key informant at Korogocho, Nairobi said leaders used to keep off from the area so that they are not asked questions. Another key informant in this area made the following remarks:

“They used to come to us only when seeking votes”. Susana, 37 years old

Other common reasons given that led to the formation of governance structures emphasized in the FGDs and by key informants across the three counties were a notable increase in ghost projects or projects that were not completed or were not being fully utilized. There was also the need to educate people on their rights and how to demand those rights from duty bearers. Another reason was the need to address problem of poor leadership and to provide forums for debating budgets and bills. In Nyeri it was stated that the structures were formed so as to push for the agenda of poor people.

4.3.2 Qualitative responses on usefulness of governance structures

Further findings across the three counties reveal that the governance structures have been very instrumental in changing the perception of those in leadership. Those in leadership are more accountable to the public than before as a one key informant in Busia said:

“They fear we civil society activists will take them to court. They used to treat us as enemies but they have realized we are here to help them work better.”

Julius, 29 years old

The structures have also created forums where leaders are able to engage on one-on-one with members of the public. This was emphasized by an FGD participant in Busia who made the following remark:

“We summon the governor to explain why there is misallocation of resources in the ward.”

Rachel, 42 years old

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In Nairobi it was revealed that these structures have led to reforming former criminals who now engage in garbage collection and selling water in Korogocho. Also in Nairobi a key informant said he sits in the Court Users Association, which is a local governance structure, which has made the community to access justice more easily than before. In Nyeri a key informant said that although the community is able to hold leaders to account, it is still a challenge as leaders do not listen.

An FGD participant said although the structures have not contributed a lot in enabling the communities to hold leadership accountable to them, they have helped highlight misuse and misallocation of public resources. Across the three counties, respondents said the structures have mobilized people to participate in governance processes and the perception of leadership towards the people has changed.

The structures in the 3 counties were also reported to involve both gender and give chances to both men and women to express themselves in public forums. An FGD participant in Busia made the following remark:

“When we started women were shy to participate in public forums because they thought such a role is meant for men but the structures have changed this view. Women came in great numbers in meetings and even ask more questions touching on their lives than men. Both gender are given preference although there is still some individuals who feel women should not be given equal opportunities with men”, (Francis, 37 years old).

4.3.3 Qualitative responses on challenges experienced by the governance structures

Analysis of qualitative findings on the challenges faced by the governance structures in the 3 counties reveal one of these to be lack of funds to implement activities and pay staff. In most of these structures members of staff work on voluntary basis with no pay. The other common challenge is the way the local leadership treats the officials of the structures. They view them as threat and treat them with suspicion, a sentiment echoed by most respondents as in the quote below.

“Government officials regard us as anti-system,” Hellen, 45 years old

Another common challenge faced by these structures is that politicians and the county governments have not embraced public participation. In Nyeri, a key informant had this to say:

“Oftentimes, hecklers are sent to public forums so that members of the public don’t ask questions. When we try to steer the discussion in the right direction, the hooligans heckle us up and leaders hurriedly close discussions”.

A key information in Nyeri also spoke of how poorly the county government and county assembly involved members of the community. Speaking on this he said:

“They hurriedly involve the community ... they bring a big volume of the budget or bills and expect the community to read, understand and debate within an hour. When people try to raise questions on this trend, the governor usually ensures he has people in such meetings who heckle and even cause chaos to intimidate any persons who raise questions.” Mwotia, 42 years old.

In Busia for example, a participant in an FGD group said:

“The MCA walks with hired hooligans who fight back when he is asked why he is not implementing projects in his area.” Naliaka, 28 years old

It was also reported by Focus Group Discussion members in Busia and Nyeri that the local administration doesn't encourage the members of the public to attend public forums so that they are not educated on their rights.

Another common challenge in the three counties was that the community demand for payment when they are invited to attend forums organized by these structures. A key informant had this to say:

“The community often fails to attend meetings unless we pay them allowances... NGOs have spoilt the community... nothing happens here without money”, Stanley, 30 years old, Korogocho, Nairobi

In Busia and Nyeri the finding was the same as the following key informant said:

“Community members firstly establish whether they will get paid before they attend a meeting. If there happen to be another meeting where they are likely to be paid more money, they leave your meeting to go and attend that one”, Hellen, 34 years old, Nyeri.

The local administration was also reported to demand for allowances when they are invited to attend meetings organized by these structures. In Busia an FGD participant narrated how the local Chief asked for his allowances yet the forums was meant to educate him. In Busia a key informant described peoples' behavior in demanding for allowances when they are invited to meetings as a “dependency syndrome” that is killing public participation.

Another governance challenge is that people in the 3 counties demand for payment whenever they are invited by CSOs to be educated on different aspects of development issues including governance issues. A respondent in Nairobi, Korogocho made the following remark in respect to this issue:

“They think NGOs have a lot of money to dish out, but fail to understand that some of us work on voluntary basis.”

Respondents across the three counties said that peoples' demand for payment before they commit themselves to participate in meetings is a big challenge and that it has killed the spirit of public participation. People are also easily compromised by the local leadership who were reported to support peoples' poor participation in meetings and other forums. Here is a quote that shows the views of a respondent in Busia in respect to this issue:

"People are ready to accept whatever they are given arguing that it is better than nothing for them to keep away from meetings." Were, 46 years old

Another common problem that came out especially in Busia and Nyeri was short notice which the county government gives to people to attend public forums such as debates on budgets and bills. A key informant made the following comment:

"They even hold meetings in inconvenient venues so that the public finds it difficult to attend", Ann, 27 years old, Nyeri.

It was also observed across the 3 counties by key informants and FGD participants that members of the public often argue they are too busy to attend to public meetings. One of the key informants in Korogocho had this to say:

"When we invite members of the public to meetings, they say they have no time but when you promise them cash they come in great numbers,"

Juliana, 33 years old, Korogocho.

Another common challenge expressed was lack of office space for most of these structures with some operating from their homes. FGD respondents at one of the governance structures in Busia said they hire sitting space and chairs when they need to hold a public forum. A volunteer worker at one of the governance structures had this to say:

"People think we belong to Catholic Church and that is why we are housed in this small place... we are only temporarily housed... we lack computer to type our work. I seek assistance from our neighboring office for typing services".

Ruth, 26 years old, Korogocho.

In Nyeri polarized political environment was another challenge. A key informant had this to say:

“The Governor is of the view that CSOs were pushing for his impeachment and he is unfriendly and unsupportive of them and their work”,

Wamugunda, 38, Nyeri.

In Nyeri it also emerged that people living with disability faced discrimination when it came to access to resources and felt they were not accorded equal opportunities like other people.

4.3.4. Qualitative responses on key governance issues being experienced in the community

Qualitative data also reveal key poor governance issues cutting across the three counties. These were said to include high level of corruption and misuse and misallocation of public resources. In Busia it emerged that county government only comes with projects that are never implemented. An FGD participant expressed his dismay of increasing number of “white elephant” projects some of them which cost millions of tax payers money. We quote him here:

“County government has not implemented the projects listed in the Ward Development Project Booklet for 2014-2015 yet we are in another financial year.”

John, 45 years old

A different respondent in Busia talked of how a “boda boda” (motorcycle) shed was reported to cost Ksh.2 million while its value was found to be Ksh 78,000. In Busia and Nyeri respondents spoke of “my man syndrome” which is making a real obstacle for communities to hold leaders accountable. This was explained to mean that in many public participation meetings, the majority of attendees are the Governor’s hand-picked men who are only there to interrupt the meetings whenever there is a sober discussion or questioning by the community.

A number of leaders were also reported to be poorly educated as expressed by a respondent from Busia as the following quote reveals:

“Here in Busia a Member of County Assembly (MCA) in Samia Sub-County was charged with buying a degree certificate. I don’t recognize him and we’ve vowed to kick him out come next elections”, Rachel, 35 years old.

The same MCA in Busia is said to have stolen crop fertilizer meant for farmers in his ward which he gave to his cronies.

Also revealed in these qualitative findings there is a general lack of clear understanding of the roles of county authorities. In Nyeri for instance there is lack of clarity on who oversees who as one respondent observed. We quote her here

“There is total confusion in the two arms of government, the Executive (Governor and his Government) and the County Assembly. Who does what is not clear. This is meant to keep citizens confused so that they are kept from accessing information on what goes on.” Mercy, 36 years old

Another governance issue is that politicians were said to project themselves as bosses and citizens are servants. This observation came from the three counties but captured better by a respondent in Busia who made the following remarks:

“Politicians think they are small gods and nobody can touch them. They do whatever they do with impunity; they feel they now own the world.”

Respondents across the three counties revealed another governance issue in respect to the fact that people are not given adequate notice to prepare or attend public forums held by County Governments. Their attempt to attend meetings is also thwarted through inaccessible venues for meeting. A respondent in Busia observed the following:

“County officials visit our areas in the evenings and pass message that there would be a meeting the following day at 8.00am at a certain venue. When we make an attempt to attend, we find that the venue has been change to a big hotel located in a distant place. This makes it hard for us to attend such meetings”

A respondent from Nyeri observed the following:

“Sometimes when members of the public attend county public forums, they are presented with voluminous documents which they are expected to read, understand and participate in one day’s meetings. Sometimes even the copies are not enough so that people are kept in darkness on what is being debated. Also on several instances, people have gone to attend public forums only to be turned away with excuse that their names are not on the list of those meant to attend. At the meetings, those who attend are encouraged to ask irrelevant questions that would put the meeting in jeopardy”.

Sarah, 50 years old.

A respondent from Nyeri had this to say:

Budget making and debates on bills at the County is rushed without adequate public participation. This then means that when people are not involved in planning they wait for the government to do what is called “charity model” where people are taken as needing ‘just a help’ instead of the “rights model” where everybody has rights.

Kimani, 47 years old

4.3.5. Qualitative responses on usefulness of the governance structures in helping to address problems in the community

Respondents across the three counties reported that the governance structures to some extent have been instrumental in highlighting misdeeds and failures of the county and national governments. Such misdeeds and failures include bad governance practices that lead to corruption or misuse and misallocation of public resources, human rights violation and poor leadership, among others. The governance structures were also reported to have educated members of the community on their rights and how they can demand those rights. They were said to have created a forum for exchange of ideas and have helped change the perception of those in leadership. The structures have mobilized people to participate in development and to some extent ‘hold their leaders accountable. A respondent in Nyeri observed that although the County government does seem not to listen to the

community, their attitude towards the community is changing for the better. This would not have happened without these structures.

At Korogocho, Nairobi, inviting magistrates to give training to the community is no longer an issue as observed by a respondent working for legal advisory centre. CSOs in the area also are represented at the Court Users Committee where they represent the interests of the community.

In Busia CSOs representatives attend the Busia Budget and Economic Forum, a key integrity forum which has representatives from the government and all key non-state actors in the county.

4.3.6 Qualitative responses on how have the governance structures have helped address poverty issues

When asked how the governance structures have helped address poverty issues in the counties, respondents in the three counties revealed that the structures have not helped a great deal in eradicating poverty as such but they have contributed in highlighting failures of those in authority. They have been instrumental in advocating for community rights at different levels and have also created community awareness on their rights and how to demand them from duty bearers.

In Busia for instance, these structures were reported to have highlighted a number of issues that were not right. One of them was the issue of a mortuary that was planned to be built in an inappropriate place at a health dispensary. Another issue highlighted at the same County was the issue of early childhood development (ECD) classrooms that were poorly constructed and the cost of each was exaggerated at Ksh 700,000. The other was the issue of a health centre that was poorly constructed. Also the issue of construction of chief's and administration police (AP) camps whose money was allocated but no construction took place. Also the issue of a ginnery whose money was allocated but no construction took place. Through creating community awareness the structures in Busia have been able to educate the community on the importance of their participation in development and the community is now able to question the leadership unlike before. A respondent in Busia had this to say:

“The governance structures have created a platform for people to raise issues and concerns in the community and have managed to put those in authority to account for their actions. They now know they are being watched”, Omotto, 52 years old

A respondent in Nyeri observed that in the absence of these structures, there would be no contact between the community and the government. Just as in Busia, in Nyeri people were also said to know their rights and can demand them from duty bearers. By creating community awareness, these structures were said to have succeeded in making the county leadership accountable. The following remark was made by a respondent in Nyeri:

“These days, those in authority are in fear that action might be taken against them if they err. They are careful these days with what they do.” Wambani, 52 years old

Just as in Busia and Nyeri, the structures in Korogocho, Nairobi were said to have succeeded advocating for people’s rights at different levels of governance which has brought attitudinal change. In addition, as one respondent in Nairobi observed with the following remark:

“The governance structures have assisted people to get government services such as NHIF and educational bursary funds which took a long time before to access.” People can now access government funds such as Uwezo and Youth Funds and are able to pull their resources together and start income generating activities. They have taught people how to catch fish instead of being given fish”. Omondi, 38 years old

Respondents in Nyeri and Nairobi revealed that governance structures have enabled members of the community to start income generating activities. In Korogocho for instance, a group of young men who were criminals were helped to regroup into “Cohesion Champions” and now engage in garbage collection and water distribution at a fee.

4.3.7 Qualitative responses on the impact of governance structures in respect to representing community interests and service delivery.

The key outcome in these qualitative findings in respect to the impact of governance structures representation of community interests and service delivery is that the governance structures have created community awareness on their rights and have educated them how to demand these rights. The following quotation by a respondent in Nyeri reveals these findings:

“Before people organized into governance structures, they used to fear to go for government services. They thought people such as the police, chiefs and judges were enemies. This has changed”. Mary, 28 years old

People have also known the importance of community participation in monitoring public projects. A respondent in Busia had this to say:

“There before, people thought that public projects being initiated in the Ward belonged to the government and citizen’s had no rights to question them. Today this has changed; they keep an eye and question when there is a misuse or when the quality of the project(s) goes down.” Kellen, 27 years old

A respondent in Nairobi, Korogocho revealed that the structures have enabled people to access important information on their rights. Koch FM is a local radio station started by the local youth to educate Korogocho community on their rights and provides advice on where to get assistance when there is a violation of the same rights.

4.3.8 Qualitative responses on whether governance structures have enabled community to have access to improved health services

Respondents in the three counties revealed that governance structures have networked with other CSOs in ensuring access to health services and have complimented those of the government which sometimes lack drugs. For instance, in Nyeri, the Nyeri Health Advocacy Team (NCHAT) brings together people working in the health sector with a purpose of ensuring that people in Nyeri County access

better health services. Qualitative findings also reveal that the structures have empowered young women and youth who now are confident to speak up and have also started income generating activities. This observation was made by a number of respondents in Nyeri and Nairobi.

In Nairobi, Korogocho governance structures have facilitated the work of CSOs such as Liverpool Voluntary Testing and Counseling (LVTC) and Community Health Volunteers, among several others, to be able to provide health services for the community. In Nyeri The Nyeri Health Advocacy Team (NCHAT) is working closely with Kenya Aids NGO Consortium (KANCO) and Kenya Network of Women with AIDS (KENWA) in ensuring access to health related services for community in Nyeri County. Some of CSOs such BUCODEV in Busia and Korogocho's (Nairobi) Community Justice Centre have worked with governance structures, advocating up to the highest level, (both county and national) to ensure health services are accessible to the community. In Korogocho for instance, Korogocho Community Justice Centre in collaboration with other structures have advocated for the removal of Korogocho / Dandora dumpsite which is a health hazard to the community.

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4.3.9 Qualitative responses on whether governance structures have enabled children to access education

Respondents in the three counties revealed that many of these governance structures have contributed to children accessing education much more than when these structures were not in existence. According to the respondents, the structures have either funded education or have provide advocacy support. TDH in Korogocho funds education and makes sure that children who drop out of school resume school. In Busia, BUCODEV works with governance structures and provides advocacy at the county level through Busia Budget and Economic Forum. Through advocacy, a number of primary schools and ECD classrooms have been built. A newly established structure in Nyeri called Youth Empowerment Forum located in a rural town is involved in the implementation of National education Master Plan with the aim of ensuring more children access education. In Korogocho, Korogocho Community Justice Centre links up with NGOs working in education sector to make sure they provide education materials to the deserving in the area.

4.3.10 Qualitative responses on governance structures impact on people's participation

A key element I was interested in finding out during field work is whether the structures are inclusive (involve most people) or exclusive (involve only a few people). Respondents from the three counties visited revealed that the structures are made up of both genders and include as much as possible people from all backgrounds including PWDs. This inclusivity can better be summed up using the words of respondent from Korogocho, Nairobi who had the following to say:

“The structures are more inclusive; those left are the ignorant that don't know about development. Some people have a don't care attitude so they are left out”. Okello, 29 years old

In Busia a respondent observed that as much as the structures are inclusive, there are some people who feel certain categories such as women should not be involved due to cultural factors. In Nairobi, a respondent said their governance structure acts like the one-stop shop for all issues affecting the community because it is where all groups converge to deliberate on issues before they take a common stand.

4.3.11 Qualitative responses on whether community members now contribute and participate more in development projects due to these structures.

Respondents across the three counties revealed that these governance structures have made people to contribute and participate more in development in their own areas. In Nairobi and Busia in particular, respondents were of the opinion that people have realized that idleness is the cause of poverty, so they try as much as possible to do their own small thing to be independent. In the 3 counties, there was unanimous consensus that the structures have provided awareness to the local communities that they can always come together and do things for themselves instead of staying idle or waiting for government assistance. In Nyeri and Nairobi, respondents said the members of the community have been linked with relevant networks which have opened their eyes to what on different options they can pursue for their welfare. A respondent in Busia made the following observation:

“Before community members never used to attend meetings but now they do”. Awiti, 36 years old.

However, in Nairobi one respondent had a contrary option. He observed:

“Only a few participate in development because people are ignorant.”

4.3.12 Qualitative responses on whether people now trust each other more due to the governance structures

Respondents in the three counties revealed that some level of trust has developed among community members due to these structures. As respondent in Busia observed:

“There is more trust among members of the community as they do things in a communal way that puts the duty bearers to account. They can talk with confidence. Today the community through this platform can summon the Governor to come and answer queries on questionable project(s).” Waceke, 34 years old

However, a respondent from Nairobi had a contrary opinion and said:

“The structures don’t provide moral and religious teachings”. Waturi, 45 years old.

Another respondent in Nairobi observed the following:

“The structures have enabled community members and members of various platforms see the need for working together.” Karuri, 25 years old

In Nyeri a respondent observed that civic education and other trainings provided by the CSOs have made community members to develop trust and confidence in themselves and their neighbors.

4.4. Presentation of case studies

4.4.1 Case study one:

One of the County Assemblies in one of the study sites was reported to have advertised for 57 job positions that needed to be filled. However, they ended up recruiting for 174 positions. A CSO sent a petition to the senate to complain about the same. However, the county government reduced numbers by hiring one group of applicants on permanent basis mainly those who had connections at the county. The remaining group of applicants was seconded to departments on contract basis. These staff who were hired on contract basis were working for the county before and were on permanent basis. Their terms of employment were changed from permanent to contract without any reference to them.

Persons without papers were also hired as in a case of a driver who holds a bigger job than a staff who has a Masters degree. The CSO took the matter to court and the recruitment process at the county was stopped. The CSOs finds itself unable to follow this case conclusively due to lack of resources to hire a lawyer to assist in fighting for this case. Although article 35 in the constitution provides for right to information, the CSOs has not been able to access information that would be helpful in this case, for example, list of those shortlisted, number of persons interviewed, how decisions were made on those to be seconded on contract, list of job groups and how staff are graded, and so on. When they ask for such information, they are told the information belong to the county government.

4.4.2 Case study two

At one of the study sites, an incident was reported whereby 30 children had become paralyzed as they had been attended to by a nurse who was not qualified. They were said to have been given wrong immunization drugs that were not recommended. Parents reported the case to government official but no action was taken. CSOs followed up and found that there was poor supervision of the health centers. They assisted parents to present the case to the governor's office. As they presented the case to the governor, the press got wind of the case and escalated it. The National government took over the matter and the children were transported to Nairobi for

further treatment. The Medical Officer of Health at the County was suspended but was recently re-instated. No one has been prosecuted for negligence. CSOs are unable to follow this case and sustain action. For example, they are unable to access information on how the health centers are run and supervised so that they can write a petition to the leaders to push for improvement. They need to do some research to determine extent of the problem but resources are prohibitive.

4.4.3. Case study three

At one of the study sites, communities had noticed that only one contractor was getting jobs from the county government. While many would apply for tenders, only one contractor was always awarded all the contracts. At one point he got seventy six contracts mostly construction of roads and provision of catering services to the governor and his team when touring the county on official duties. Communities were incensed as they felt they could do some of the jobs. Women groups who had catering services felt they could also offer their services and need to access the opportunity from the county government. A CSO supported communities and they organized a march to the governor's office. However, the governor and his team organized hired goons and militia who attacked the people. The press captured the incident and this led to the anti-corruption team visiting the county from Nairobi. Computers and documents were taken away but no one has been prosecuted so far.

4.4.4. Analysis of case studies one to three

The stories recounted in the three case studies indicated the situation on the ground and the challenges facing CSOs and the communities as they seek to ensure good governance practices. It is apparent that the forces perpetuating corruption are complex. Even with the right to information law having been enshrined in Kenya's constitution, CSOs find it difficult to access information that would help in follow up of cases and conclusive resolution of the cases. Qualitative data revealed that information especially that has to do with public projects and programs is said to belong to the government. Government officials do not readily release information. Also intimidation through hired goons and militia is rife and this ends up in frightening the people and the CSOs.

4.5 Summary of findings

Out of the 600 respondents, there was almost a 50 / 50 distribution of respondents by gender across the three counties. This reveals that both gender have equal access to these governance structures.

Findings indicate that NGOs that fall in the category of CSOs are the major institutions involved in the formation of these governance structures. Churches and mosques, although they have a large community following, have a lukewarm involvement when it comes to mobilizing communities around governance issues. The involvement of CSOs in governance was also found to have increased with time in a period of 2 to 20 years. In the last 5 to 10 years this involvement has been at its pick perhaps due to increased seriousness of governance challenges in the country.

The governance structures were also found to have members ranging between 30 to 50 and only a few have 300 members and above. Membership was also found to be nearly constant as problem of member drop out was minimal. This goes to underlie the faith the members have on these structures.

Other findings show that the purpose of formation of these structures especially in respect to governance issues has not been made clear to all. Governance issue as a purpose is not very prominent. This implies that the support that CSOs would get from stakeholders especially when it come to pursuing matters to do with governance can be elusive as people do not even understand what CSOs are up to.

When it comes to promoting women participation in projects, findings are indicative of little attention from CSOs meaning although membership in CSOs governance structures have almost equal numbers of men and women, they in turn do not promote women participation in local community projects.

Findings on how CSOs can encourage communities to participate in governance issues effectively reveal that CSOs have had significant contribution in this area. Of particular significance has been creating awareness on available funds in the counties, identification of projects that can be funded, training communities on governance issues and creating awareness on bad governance. Follow up on use of funds in the funded projects has been given lukewarm attention by CSOs across the counties except in Busia where some significant follow up on funds has taken place.

Findings indicate that CSOs have dwelt more on creating awareness aspect but when it comes to actual follow up on use of funds, meeting with authorities, writing petitions to those in authority and organizing communities into demonstrations, CSOs have been shy to do this or have given it lukewarm attention. What this implies is that communities are left on their own after awareness is created and identification of funds that can be funded. This implies that CSOs have failed to engage directly with governance issues perhaps avoiding open confrontation or consider it too dangerous to handle. Respondents in the three counties reported open intimidation from those in authorities through hired goons who are sent to meetings to cause mayhem and chaos whenever issues on governance are raised. Fear seems to have been cultivated in CSOs so that they are involved more in more “quieter” engagement with governance issues. It also implies that CSOs inadequate capacity also inhibits them to confront and sustain action against poor governance. They are also limited in inability to access crucial information from government officials that would help in follow up of poor governance cases. However, in a few places, especially in Busia those in authority were said to be cautious in their governance related practices as they have become increasingly aware that they are being watched by CSOs.

The study also sought to find out whether governance structures formed by CSOs had received support to facilitate them to fulfill their mandate. Findings indicate that they have received support especially in term of funding and training. The support was found to have been useful especially in terms of strengthening leadership aspects, enabling members to network with those in authority, and to some extent, went along way in strengthening the financial base of the structures. However financial support was found not to be adequate and CSOs suffer poor capacity in terms of adequate offices and office equipment and have to use borrowed office space including chairs. They suffer inadequate staff in numbers and skills and have to rely on volunteers. This was found to have affected CSOs capacity to sustain action.

The study also wanted to find out obstacles that CSOs were facing that would undermine their ability to fulfill their mandate as far as governance issues were concerned. These obstacles were poor leadership, internal governance, financial instability, members dropping out, unfriendly political environment and poor

participation by members. Findings reveal that financial instability is indicated as a key obstacle across the counties despite the support received by these structures from funders and other supporters. Internal governance and poor local leadership pose significant obstacles as well especially to governance structures. Findings also show that attempts have been made to address these obstacles in Busia and Nyeri but no attempt has been made to address them in Nairobi. Activities towards resolution of these obstacles have included provision of training, financial support, cooperation with authorities, cooperation with community, more support from politicians and others not mentioned. Training and cooperation with those in authority and the community emerged as the key activities to resolve the obstacles. It is telling that financial instability although it was cited as a key obstacle has not been addressed across the three counties.

The study also sought to find out extent of community participation in these governance structures. While respondents in Nairobi indicated they themselves do not participate, they have reported to have witnessed their relatives or other people known to them participate in these structures. Participation in these structures was more significant in Busia and Nyeri but not in Nairobi. The structures seem not have taken root in Nairobi but have done so in Busia and Nyeri. The frequency of participation is also significant especially in Busia and Nyeri at between once a week to once every month. This finding shows that CSOs have had significant success in Busia and Nyeri but not in Nairobi in bringing people together and providing a platform through which they are able to participate and even engage with those in authority on matters to do with their welfare. Perhaps this could imply that, Korogocho in Nairobi, being a slum community, governance issues are not at their centre stage priority but more of having tangible food put on the table on a daily basis. This also shows that CSOs have a challenge in selling governance as an issue in the slum community and perhaps more strategies specific to slums need to be devised rather than having strategies that cut across the country irrespective of the context. It could also mean that the concept was strange to the slum community and not easily understood and grasped.

It could also imply that the approaches also used by CSOs could have been the source of the challenge and ended up causing confusion to the people especially in Nairobi. In Nairobi, Legal Resources Foundation partnered with Kituo cha Sheria on

the ground, Action Aid partnered with Busia Community Development Organization in Busia while in Nyeri Centre for Governance and Development partnered with the Tax Payers Association on the ground. This implies that if a partner has so many other competing mandates, the community may get confused and get lost on the main agenda being pursued. Care need be taken by the different partners to constantly clarify the agenda with communities.

This study also was interested in finding out if there are other alternative forums that people prefer to participate in. The findings show that a significant number of people in the community were said to prefer community elder forums, clan based forums and church based forums. However Mosque based and local politicians' forums including other forum were given a lukewarm preference. These alternative forums especially community elder forums, clan based forums and church based forums have been instrumental especially in Nairobi where governance agenda was not given prominence by CSOs. The alternative forums have been used by the community to engage with governance and other issues. Also in the prevailing lack of adequate support to governance structures, the communities have had a fall-back situation to these alternative structures across the three counties. It is indicative that while people prefer to participate at church based forums, the church has not been pursuing governance agenda more keenly. This implies that the church can do more since people prefer its forums too.

The study wished to also find out the respondents preference in terms of which ones they participate in. Majority of the respondents in Busia and Nyeri said the prefer those implemented by CSOs while only a few would prefer CSOs ones in Korogocho, Nairobi. This could imply that the poor mobilization in Korogocho could have led to this kind of finding where people were left with little information on the agenda of the CSOs. However a significant number of respondents indicated they would prefer to participate in community elders' forums and the clan based forums. A few however cited church based forums, but Mosque based forums and local politicians were given a lukewarm consideration.

Another issue that the study sought to find out was the strength or lack of it of these alternative governance forums. Majority of the respondents were of the opinion that the alternative forums are relatively strong at between the scale of 3 to 5 apart from

Nairobi where majority of the respondents indicated that the alternative forums are weakest at scale 1. This implies that Nairobi's Korogocho community are on their own because even what they are relying on as the alternative forum to help address governance and other issues is weak.

The study also sought to find out the levels at which benefits arising from the governance structures implemented by CSOs have been realized. Levels were categorized as follows: individual, family, community as a whole, and don't know. Majority of the respondents were of the opinion that the benefits have been realized more at family and community levels especially in Busia and Nyeri. This implies that the structures have had benefits on a wider numbers of people at family and at a community level as a whole. The findings also reveal that the structures have improved community access to water and education services.

In conclusion, this study argues that while CSOs role in governance in Kenya is significant, poor governance persists in the country due to: inadequate capacity of CSOs arising from inadequate funding and other resources. Also failure of strategies being used by CSOs that put more emphasis on creation of awareness and training and fail to have equal or more emphasis on engagement with poor governance issues through such mechanisms as meeting with leaders, writing petition and public demonstrations. While some positive outcomes have been reported in terms of better utilization of funds, this is not much as CSOs have simply failed to directly engage with governance issues perhaps due to lack of seriousness or are playing safe considering it to be too dangerous. Poor governance persists in Kenya also because, where multiple CSOs partners are involved, failure to clarify the different agendas resulting in a confused community and the governance agenda is lost in the process as has happened in Nairobi. Also failure to give attention and understand the context including the different stakeholders including existing alternative forums that people prefer such as elders forums, churches and clans.

CHAPTER 5

DISCUSSION OF FINDINGS

5.1 Introduction

This study was guided by the following objectives: firstly, to assess how CSOs can encourage communities to participate in governance processes effectively. Secondly, to analyze the capacity of CSOs in assisting communities to implement good governance principles and values. Also to identify community engagement mechanisms which can promote effective governance and inter-action including results and outcomes of these mechanisms. The other was to come up with recommendations on how to improve community engagement in governance. In this chapter we discuss the major findings of the study including their policy implications. Also included are other emerging findings from qualitative findings and analysis. It is out of these that conclusions and recommendations have been drawn. The objectives of the study have been used to organize this discussion.

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5.2 How CSOs can encourage communities to participate in governance issues effectively:

The study sought to find out how CSOs can encourage communities to participate in governance issues effectively. Findings reveal ways that CSOs can encourage communities to participate in governance issues. CSOs were found to be implementing creation of awareness among communities on available funds that they can apply and access for their community projects. There are several funds available in Kenya including the Women Development Fund (WDF), Youth Development Fund (YDF), Constituency Development Fund (CDF), Constituency Bursary Fund (CBF), Constituency HIV/AIDS Fund (CHAF) and others. The challenge has been communities are generally unaware of availability of these funds and therefore do not apply to access them and have limited influence on how they are allocated and used. The involvement of CSOs in encouraging community participation in governance by providing information or creating awareness confirms a study in India where findings revealed CSOs had provided information to

communities engaged in a school program for them to be able to ensure good governance practices particularly accountability Bhargava (2015).

The other finding of this study in respect to how CSOs can encourage communities to participate in governance is that, in addition to creating awareness on available funds, CSOs have also gone ahead and provided communities with information on how to participate in the identification of projects that could be funded by these government funds. Provision of information to communities or creating awareness has mainly been done through holding community meetings and seminars. CSOs have also trained communities on governance issues as well as creating awareness on bad governance.

The study findings also indicate that CSOs encourage communities to follow up on funded projects to gauge utilization of funds, but this was found to have mainly happened in Busia county. However, the other counties of Nairobi and Nyeri were found to have given this role of follow up on use of funds in funded public projects a lukewarm attention.

Findings therefore indicate that CSOs have dwelt more on provision of information or creating awareness to the communities on available funds that they can apply for and identification of projects that could be funded. They have also provided training to communities on governance as well as creating awareness on bad governance, but when it comes to actual follow up on use of funds, and other activities including meeting with authorities, writing petitions to those in authority and organizing communities into demonstrations, CSOs have been shy to do this. What this implies is that communities are left on their own after awareness is created on available funds and identification of projects that can be funded including training on governance and awareness on bad governance. This implies that CSOs have failed to engage directly with governance issues perhaps avoiding open confrontation or consider it too dangerous to handle. Respondents in the three counties reported threats from those in authorities and fear seems to have been cultivated in CSOs. This has made CSOs to get involved more with what they consider less dangerous activities of creating awareness on available funds and identification of projects as they encourage communities to get engaged with governance issues.

5.3 CSOs capacity to assist communities to participate in governance

This study sought to find out the capacities of CSOs to assist communities to participate in governance. The findings on capacity of CSOs shows firstly that they have a membership. This finding is confirmed by study by Smith (2002) who found that membership is an important aspect for such peoples' organizations. He argued that membership shows individual support for an organization both financial and attitudinal, while active membership indicates greater support for an organization and time contribution. The findings also revealed that membership was also found to be constant as very few members drop out of the CSOs governance structures. This is indicative of stability. Majority of the CSOs were found to have 30 to 50 members while some had over 300 members. Such membership is crucial as it lends a CSO with the requisite "voice" to push for governance agenda. This has been confirmed by Si Kahn (1982) who argues that the power of people's organizations comes from their membership.

Study finding on education revealed that majority of the respondents had acquired secondary level education implying members have a relatively high capacity to grasp issues and act on them. This enhances the capacity of a CSOs overall as it pursues its agenda since it has members and leaders who quickly understand issues. Nyeri County had the highest number of respondents with college level education. Even in those areas where there was high level of illiteracy such as Nairobi's Korogocho slums, a good number of respondents there had secondary education. However, the high illiteracy levels revealed in Korogocho is a serious situation that threatens realization of development goals.

Another study finding that is indicative of weak capacities of these governance structures across the three counties is lack of funds to implement activities and pay staff. Though support has been provided by donors and other supporters this has not always been adequate and consistent to sustain activities. Qualitative findings specifically revealed that members of staff were found to work on voluntary basis

with no pay. The governance structures also work from home, use borrowed office spaces with no computers and other requisite stationeries to run an office, and even have to hire chairs whenever there is need for meetings, further hampering their capacities. These findings have been confirmed by a study by AGDI (2008) that show that CSOs are “so dependent on international funding and that this contributes to their systemic weaknesses undermining their ability to sustain action”. The findings also confirm observations by Bhargava (2015) who revealed that donors often channel most of their funds for good governance and anti-corruption from their headquarters to their field branches and give only small amounts of funds to CSO-led good governance programs. Bhargava (2015) argues that this affects and weakens impacts of such CSOs programs as CSOs are left with inadequate funds for their infrastructure needs including office spaces, equipment and adequate and skilled staff and often have to rely on volunteers who may not necessarily be qualified to do the work entrusted to them. These capacity gaps of CSOs contribute to CSOs inability to sustain action on governance issues including carrying out research on corruption incidences, preparing for petitions including holding meetings, travelling to headquarters to present petitions, and such other activities that would be necessary to stage actions against poor governance.

Findings from the study also reveal challenges that weaken capacities of these CSOs. Among them is the way the local government authorities and leadership treats the officials of the structures. Qualitative findings show local authorities and leadership perceive CSOs as threat and treat them with suspicion and even go to an extent of undermining their activities by posing hired goons to disrupt their meetings. In one instance, the local administration was even reported to be discouraging community members from attending CSOs meetings. In one county, the situation is seriously polarized as CSOs are viewed to be working for the impeachment of the governor. This has led to complete lack of support from his office for CSOs.

Local authorities have even demanded for allowances before they attend any CSOs meetings again revealing a lack of understanding of CSOs by local administration and simply a lack of harmonization of expectations between CSOs and local administration. In one particular instance, the meeting was meant to be a training forum for local administration yet they failed to attend as there were no allowances for them. Government officials were also said to organize meetings at short notices

and at inaccessible venues to frustrate CSOs and the general public who would attend and use such forums to follow up on government projects. Findings also show that communities also fail to attend forums unless they are paid an allowance while others simply indicated they had no time to attend CSOs meetings.

Findings further show weak CSOs capacity in relationship with others in respect to people living with disability who reported to have faced discrimination when it came to access to resources and felt CSOs have failed to accord them equal opportunities like the normal people. Weak capacity in relationship with others was also revealed in the findings that, although findings CSOs have an almost a 50 / 50 membership in terms of gender, they have in turn not gone out to promote equal gender participation in community projects.

These findings are indicative of CSOs weak capacities in the way they relate with others including government officials and beneficiaries of their activities. The findings are confirmed by a study by AGDI (2008) that reveal that CSOs lack clear rules on how they relate with others including beneficiaries. If such rules exist perhaps they can guide CSOs on how to relate with government officials in a way that suspicions are minimized and there is more cooperation and support for their work. They would also guide them in how to relate with all beneficiaries in a way that some will not feel left out.

Findings also show that poor internal governance within the structure was the obstacle that weakened capacities of CSOs. This was exhibited through poor participation of members while some were even reported to be dropping out. This is contradictory as CSOs are seeking to push those in local authorities to practice good governance while they themselves were not promoting the same internally. This finding is confirmed by a study of CSOs in DRC Congo whereby 63% of CSOs were found to have poor internal governance including poor accountability to beneficiaries (Gouzou, 2012)

5.3 Mechanisms used by CSOs to assist communities to participate in governance processes effectively.

This study sought to find out mechanism used by CSOs to assist communities to participate in governance effectively in the face of persistent poor governance practices in the country. Poor governance is a serious challenge in Kenya as confirmed through a number of studies that include SID (2012) and Martin (2012).

Findings on mechanism used by CSOs to assist communities to participate in governance effectively reveal the specific activities that they are involved in. Majority of the respondents indicated that creating awareness on available funds in the counties and identification of projects that can be funded are key activities of governance structures that they have witnessed. Findings also indicate that CSOs provide training to communities on governance issues as well as creating awareness on bad governance. However, findings show that CSOs activities do not go beyond creating awareness and provision of trainings and were found not to have done much as they have not been bold enough to engage, confront and uncover corruption and other poor governance practices in the counties. They have given lukewarm attention to such direct activities that would confront poor governance, that is, activities such as actual monitoring and follow up on use of public funds, holding meetings with authorities, writing petitions to authorities, engaging in demonstrations over poor governance issues in the county including abuse and misuse of public resources. Findings also reveal lack of CSOs capacity that inhibits them from sustained action on poor governance including lack of adequate resources. CSOs also are not able to access crucial information from government officials that would be useful in follow up of poor governance cases, despite the existence of article 35 in the Kenyan constitution that guarantees right to information.

Findings show that only 8% of CSOs in Nairobi and 4% in Nyeri were reported to be engaged in monitoring and follow up on use of public funds. However, Busia had a significant engagement with follow up on use of funds at 24%. Perhaps existence of a forum, The Busia Budget and Economic Forum, has provided an effective forum for people to engage more directly with governance issues, unlike the other counties where such a substantial forum was not reported. Also only 4.9% of CSOs in Nairobi, 1.7% in Busia and 6.2% in Nyeri were engaged with holding meetings with those in

authority to bring to their attention problems of poor governance. Further only 3.8% of CSOs in Nairobi, 0.6 in Busia and 0.5% in Nyeri were involved in writing petition letters to those in authority in respect to poor governance concerns. Also only 0% of CSOs in Nairobi, 0% in Busia and 1.0 in Nyeri were involved in public demonstrations to bring to the attention of local authorities cases of poor governance. These findings reveal a CSOs community that is shy to confront poor governance practices, is not bold enough or is simply afraid. Qualitative findings reveal that intimidations, harassments, heckling by hired goons at CSOs meetings meant to follow up and monitor use of public funds were often quoted by FGDs and KIs participants during the study across the three counties, implying that CSOs feel intimidated and threatened and unable to do their work of engaging directly with governance issues.

This finding is confirmed by findings of a study in DRC Congo on role of CSOs in governance where only 3% of CSOs were found to be uncovering poor governance practices including corruption in the local authorities, but rather concentrating only on uncovering corruption in their own organizations internally Gouzou, (2012). Gouzou (2012) goes on to argue that 87% of CSOs in DRC Congo did not have mechanisms to eradicate poor governance practices in public programs and that only 2% were found to have these mechanism. CSOs in Congo were found not to have interest in governance issues because they considered such issues too dangerous due to risks of kidnapping, murder and or poisoning and there is a general feeling of giving up among CSOs in Congo in respect to addressing governance issues (Gouzou, 2012).

However, Bhargava (2012) confirm that CSOs can go beyond creating awareness and engage with governance issues more directly and succeed at it. His case study of a CSO project in India begun with a survey in 64 villages. This was meant to bring to the attention of the community poor governance in terms of rampant corruption in the 64 villages. Findings from the survey were used to raise awareness among community concerning the poor state of governance. The CSO not only trained the communities, strengthened community based organizations but also trained women change agents, youth clubs, Panchayati Ray Institutions, government officials and service providers. The CSO faced obstacles from those in authority who asked communities not to cooperate. However, communities persisted, wrote letters and held discussions with authorities and politicians and this led to authorities agreeing to

involve the people in improving health services. This made those in authority to take communities seriously and listen to them. These activities led to a reduction of corruption by 80% as revealed by those who attended hospitals who were not being asked to pay bribes any longer.

5.4. Results and outcomes of CSOs mechanisms in respect to governance issues

The study sought to find results and outcomes from mechanisms being used by CSOs in delivering their objectives in addressing governance issues in the communities they find themselves.

A key finding is that, while CSOs have effectively mobilized communities to participate in governance structures, findings show that there are other traditional governance activities / processes existing that local people also prefer to participate in over those implemented by CSOs. Common among these are community elders forum, clan based forums and church based forums. Findings reveal that 23% of respondents in Nairobi, 52% in Busia and 41% in Nyeri reported that local people prefer community elder forums to handle governance issues in the community. Also 36% of respondents in Nairobi, 17% in Busia and 19% in Nyeri indicated that local people prefer clan based forums. Also 27% of respondents in Nairobi, 12% in Busia and 24.8% in Nyeri indicated that church based forums are preferred by local people. This implies that CSOs had insufficient effort to understand the local sociopolitical context before they intervened in governance activities. Otherwise, they would have utilized these alternative forums to compliment their efforts where they engaged communities with newly formed governance structures. Perhaps this would have minimized the threats and intimidations CSOs faced in the community. Also, an analysis of the context helps in designing interventions suitable for particular region or area. For example, what is suitable for slum community would not necessarily be suitable for the rural communities. This could explain why governance structures appear not to have been embraced in Korogocho where findings indicate a low participation in these structures while they have been embraced in Busia and Nyeri where respondents reveal higher participation in these structures. These findings are confirmed by Gouzou (2012) in his study of CSOs in Congo where majority of them

at 92% were found not to have studied the context or consulted with the community and in instances where they claimed to have consulted the community prior to programs implementation, such claims were not documented. It also confirms overviews by other scholars such as Wanyande et al (2007) who stated that CSOs have weak linkages with the academia and therefore do not benefit from theoretical frameworks as they analyze and seek to understand local contexts before they intervene. Academia could bring the rigor necessary to analyze and understand such different contexts.

In respect to getting communities to participate in governance issues, CSOs were found to have had positive results and outcomes in doing this. Findings reveal that provision of training and creating awareness on governance issues were the most popular in getting communities to participate. Also provision of information on available funds as well as enabling communities to identify projects to be funded were the other key activities by CSOs. 63.3% respondents in Nairobi, 70.5% in Busia and 67.1% in Nyeri indicated that training on governance issues enabled communities to participate in these activities. This is followed by the finding that 22.5% of respondents in Nairobi, 18.9% in Busia and 20.6% in Nyeri indicated that creating awareness on bad governance enabled communities to participate in these activities.

However CSOs did not put efforts at getting communities to participate in follow up on use and utilization of funds through such activities as writing letters to leaders or meeting with leaders or direct engagement and confrontation of poor governance practices. Qualitative findings reveal lack of capacity as one of the factors inhibiting CSOs ability to initiate and sustain efforts towards direct engagement and confrontation with the state machinery in respect to governance issues. Others are threats and intimidation of CSOs by hired goons and militia hired by County Authority to curtail CSOs efforts and this has kept CSOs afraid to engage directly with the state.

There is also lack of information that would be useful in staging petitions and other activities for direct engagement with the state. Despite existence of Article 35 of the constitution of Kenya that guarantees all access to information from government officials as concerns public projects and programs, this does not happen.

The findings of this study also reveal that such CSOs effort in citizen empowerment and citizen engagement in governance issues have benefits and they work to some extent to lower corruption and improve service delivery and service provider responsiveness. Findings have revealed that CSOs have been effective at bringing about specific benefits to the communities. The findings reveal that 82% of respondents in Nairobi, 46.6% in Busia and 33.1% in Nyeri indicated that communities are having those in authority taking them seriously and listen to them. Also 31% of respondents in Nairobi, 17.6% in Busia and 15.5% in Nyeri indicated that there is reduction in corruption as less bribes are being asked in public places.

Other findings reveal that 12% of respondents in Nairobi, 6.8 in Busia and 10.5% in Nyeri indicated that there is now closer working relationship between communities and those in authority. This is followed by the finding that 31% of respondents in Nairobi, 17.6% in Busia and 8.8% in Nyeri indicated that people now access information well on public projects. However, only 5% of respondents in Nairobi, 2.8% in Busia and 9.4% in Nyeri indicated the benefit that communities now participate and contribute more to development projects. These findings are confirmed through studies of CSOs results and outcomes in governance issues by McGee and Gaventa (2010) and Bhargava (2012).

Qualitative responses confirm these findings with respondents across the three counties reporting that the governance structures have been useful in revealing misdeeds and failures of the county and national governments. These include bad governance practices that lead to corruption or misuse and misallocation of public resources, human rights violation and poor leadership, among others. Members have also been educated on their rights and how to demand those rights. The structures were also said to have mobilized people to participate in development and to some extent 'hold their leaders accountable. In one instance, county government was said to be listening to the community more and that their attitude towards the community is changing for the better. Qualitative findings indicate that this was a scenario that would not have happened without these structures.

According to the findings other benefits that have been realized are in terms improved access to water and education and CSOs have had overwhelming positive

results in this respect. Findings reveal that 80% of respondents in Nairobi, 79% in Busia and 79% in Nyeri show that CSOs have had positive results on community access to water. Also 73% of respondents in Nairobi, 78 in Busia and 86% in Nyeri indicated that there has been improvement in children access to education. However, when it comes to health, only 9.5% in Nairobi and 9.5% in Busia reported improved access to health care. However a significant number of 55% in Nyeri reported improved access to health care. However qualitative findings reveal that while respondents were of the opinion that CSOs may not have had greater impact on poverty eradication as a whole, they have in particular helped communities to realize that they can engage with government. Communities were reported to have lived in fear of government and never visited government offices. But this fear has been reduced due to the work of CSOs. Findings also reveal that communities now easily access information on their rights and where to go for support in case such rights are violated.

These findings are confirmed by a study by the World Bank (2002) in Albania where governance structures in the form of 408 water users' associations came together, were self-financing and succeeded in managing irrigation schemes and contributed to improvement in terms of water delivery to most people (World Bank, 2002). The governance structures also had an impact on improvement on enrollment rates in education which have improved through reforms that are based on management partnerships with parents, community groups, and village education committees World Bank, (2002).

5.5. Contributions of the study

Contributions of this study are in the form of the findings already discussed. These are major contributions in the field of public administration and more specifically to governance and management.

One of the contributions is in terms of how different research methods have been used. This study adopted a case study method and approaches and dwelt on specific cases from Nairobi, Busia and Nyeri in Kenya. This study has demonstrated the usefulness of a case study approach in getting detailed understanding of a real life situation through bringing detailed findings. Among the scholars who support

case study approaches in research is Yin (2009). He argues that a case study approach has the ability to get to the details of the issues being studied bringing in more understanding and clarity around issues being investigated.

The other methodological contribution of this study is in the use of both qualitative and quantitative data collection methods. A questionnaire was used to collect quantitative data while Focus Group Discussions (FGDs) and Key Informant Interviews (in-depth) (KII) was used to collect qualitative information. These methods complemented each other well in that qualitative information in most instances has complemented what has been collected through questionnaires.

This study has demonstrated how one can use a combination of methods to get to the details and understand a problem in a particular region or locality and gain more clarity of the issues at hand. Combination of different methods has helped achieve validity and reliability of findings.

Some theoretical assumptions have also been brought to the fore in particular that CSOs can work better than the state World Bank (1989 – 1994). Such assumptions have been challenged by the findings that CSOs not only lack vital capacities to be effective but also strategies and mechanism used have been brought to serious question in this study. In highlighting the capacities and effectiveness of CSOs, the study provides a critical analysis of existing assumptions about CSOs so as to expose the challenges arising from generalized studies that fail to be comprehensive enough to capture details of what is being studied.

For example, in this study CSOs have been found unable to relate and consult effectively with the beneficiaries and even local authorities. In the process they have failed to question and understand the context in which they find themselves and have, for example, overlooked some traditional governance structures that people prefer to participate in. They have gone ahead and implemented new structures and in the process instances of hostility and undermining by some community members and even those in local authorities were quoted across the three counties. This implies that if these alternative governance structures were involved by CSOs perhaps the situation would have been different. Most likely there would have been more cooperation and support from local authorities. Perhaps the intimidation,

harassment and heckling by hired goons during CSOs meetings (often quoted during field work) would not have occurred.

Another contribution of this study is the huge amount of data that has been collected through qualitative and quantitative methods. This data has been organized into graphs and tables with frequencies and percentages. Qualitative data has been presented too including quotable quotes from those interviewed. This data is available for further analysis and references.

Theoretical lessons gained from the findings

This study has used two theoretical frameworks in the understanding of the roles of CSOs in governance. One is the theory of governance and the other is participatory theory. The use of these theoretical frameworks has helped in the understanding of issues being studied.

In respect to the governance theory as it relates to the role of CSOs in promoting community participation in governance findings by scholars such as Bang and Esmark (2013) reveal that a new way to ensure good governance is available that gives emphasis on empowerment, individual freedom, creativity and self-governance as well as participation, transparency and accountability. However, findings of this study reveal that this kind of empowerment as described by scholars is low as CSOs have failed to mobilize communities to engage more directly with governance issues through such activities as actually follow up on utilization of public funds including meeting with leaders, writing petitions to leaders and even holding demonstrations. Such engaging activities have been given lukewarm attention by CSOs instead they have focused more on creating awareness to communities on available funds and assisting communities to identify projects that could be funded.

The study findings have found this empowerment low also because CSOs have been found with weak capacities in terms of funding and other resources necessary to sustain action that would have led to effective empowerment of their beneficiaries. They are weak also in the way they have related with beneficiaries and those in authority and this has made them not to be well understood. Instead they have suffered harassment and intimidation that has sabotaged their work. In one instance, findings show that CSOs are suspected to be working towards the impeachment of

the governor who has vowed not to support CSOs at all. While qualitative findings indicate untruths in these accusations, it is indicative of the high tension and mistrust existing in the relationship between CSOs and those in authority.

In respect to participation theory, findings show that participatory action is about how communities are empowered to be able to take part in activities that improve their lives Chambers (1993). Findings from this study reveal that this kind of participation that empowers communities is low since CSOs have not done much in terms of empowering communities in this sense to be able to engage with governance issues more directly. Findings reveal that CSOs have focused more on creating awareness on available funds at counties and assisting communities to identify projects that could be funded by county authorities. They have left communities at that point and have not done much in assisting communities to engage more directly in follow up on use and utilization of funds except perhaps in Busia where they have had some success in follow up on utilization of funds. CSOs have not been bold enough to engage communities with more direct activities such as meeting with leaders and writing petitions to leaders and such other more direct engagements. Such activities as proven elsewhere in the world contribute in putting more weight to efforts and ensure that funds are put to good use and hence improve people's welfare Bhargava (2012). Instead corruption and other poor governance practices continue at the counties unabated.

Findings also reveal that communities have not been empowered adequately as CSOs have not been able to utilize the alternative governance systems that people also prefer to participate in to address governance issues in the community. Community preference of more familiar governance systems confirms Ostrom's theory on governance of common resources Ostrom (1991). She argued that communities have more preference and enjoy greater benefits when they have a say in the design of rules for governing and managing commonly owned resources and they realize better results than when outsiders do things for them.

CSOs seem to have used what scholars refer to as passive participation approaches. In passive participation approach, people are merely told what is going to happen and their views are not sought Arnstein (1979). According to Chambers (1993) participation that leads to empowerment has to have elements of strong

linkages with others including peers, colleagues, neighbors and fellow citizens. Findings in this study reveal CSOs suffering intimidation and this implies a lack of effective linkages in the areas where they are working. Such linkages would improve relationships and enhance a good working relationship.

Scholars also argue that the success of participatory approaches in development are dependent on engaging with development as a process and not mere series of technical interventions (Hickey and Mohan, 2004, 13). Findings in this study reveal that CSOs merely engaged with technical activities and failed to engage with processes of adequate involvement and consultation with beneficiaries and those in authority. In the process they failed to understand the context adequately and missed on existing resources in terms alternative governance structures.

Findings also reveal that success of CSOs in securing poor people from poverty is not simply dependent on ensuring greater voice for the poor, but rather greater positive changes have to happen in power relations between the state and citizens Bebbington et al (2007). Findings from this study reveal that this has not happened and relationship between the people and those in authority has not significantly improved. People are not empowered enough to relate with government more easily and put them to account. Qualitative findings show that hired goons and other intimidating actions by those in authority were often quoted during field work and these have gone a long way in keeping people afraid and silent.

Findings have also revealed challenging trends in respect to participatory theory particularly the fast changes in terms of conditions of the poor as a result of, for example, changes in technology especially the mobile phone Chambers (2013). This has made it difficult for those implementing interventions in development to keep up with the fast changes around the poor people and ensure their maximum participation in the development process. Qualitative findings in this study reveal that communities often reported lack of time for CSOs activities. This implies that CSOs could have experienced same challenges arising from technology as people get easily engaged in other commitments due to accessibility arising from the use of mobile phone.

Scholars such as Chambers (2013) have also noted the intense tension between paradigm of things (design, planning and predictability) on one hand, and the

paradigm of people (participation, processes, emergence and unpredictability) which hamper effective participation. Findings in this study show that CSOs failed to give attention to existing governance structures that people prefer to participate in. This implies that they could have suffered this tension between paradigm of people and paradigm of things and went leaning more towards paradigm of things and in the process failed to engage and consult people adequately.

Another contribution of the study is a confirmation of the theory of resistance, that any attempts to introduce a new way of working or relating in a social setting will always be met with passive resistance, and people will continue with what they know best as noted by Bernal and Solorzano (2001). Bernal and Solorzano (2001) studied students in a school who had passive resistance towards learning due to oppressive school administration whose leadership was not consultative and participatory enough. The students felt left out and uninvolved in the system. In this study, findings reveal that communities have alternative traditional governance structures particularly in the form of community elders' forums, clan based forums and church based forums which they are familiar with and prefer to participate in when it comes to governance issues. Although the findings show that communities have embraced governance structures being promoted by CSOs to some extent, they also participate in the alternative existing ones. Findings reveal that these alternative governance structures were reported to be strong at between 3 – 5 measurements of strength. Perhaps intervention strategies and approaches that acknowledge these governance structures will help in future to minimize the challenges that CSOs have faced as they work on governance issues. This implies that communities did not feel involved and consulted enough to want to fully participate in governance structures being promoted by CSOs.

CHAPTER 6

SUMMARY AND CONCLUSIONS

6.1 Introduction

In this chapter the summary, conclusions and recommendations of the study are discussed. It also contains the policy implications and suggested areas for future research.

In the study it was found that CSOs have challenges arising from their capacities and especially lack of adequate funds. This has meant that staff and volunteers have found it a challenge to have adequate administrative capacity including office spaces and required office equipment necessary to support their work. This has pushed them towards use of borrowed office space and equipment including computers. Other CSOs staff and volunteers work from their homes. This is indicative of the fact that lack of adequate finances has pushed CSOs to a situation where they are not able to sustain action on poor governance issues that they have set out as their mission to address.

Findings on the mechanisms that CSOs have used to engage with governance issues have revealed that CSOs have tended to lean more towards creating awareness on governance issues through training and assisting communities to apply for available government funds and also to identify projects that could be funded. Findings reveal that CSOs have rarely gone beyond these activities that have more to do with provision of training and creation of awareness. Instead, findings show that CSOs have shown a lukewarm attention towards approaches and strategies that would bring them to a point of a more direct engagement with poor governance. These include such known activities as actual follow up on utilization of funds in public projects including meeting with leaders to highlight governance problems in the projects and other more direct activities such as writing letters to leaders and holding demonstrations to bring to the attention of leaders poor governance problems in the funded projects. This is indicative of a CSO sector that is frightened and has chosen to just engage with what leaves their skins intact. In the course of this study, qualitative findings revealed instances of intimidation of people at meetings organized by CSOs through hired goons by those in authority. These

findings were mentioned across the counties in the course of the field work: This appears to have silenced CSOs who have been left with very little options but to play safe. But again, weak capacity of CSOs has gone on to weaken their capacity to fight poor governance as qualitative findings have revealed in this study. Even in instances where a petition would have been written, CSOs have lacked resources necessary for preparation towards such activities including writing of petitions including resources needed for holding meetings, carrying out some research, hiring an advocate, visiting government offices at headquarters more often in Nairobi and so on. They have also failed to access crucial information and have been denied such access. This is information that could help in follow up of poor governance cases. This is despite existence of the right to information law as enshrined in the constitution, article 35.

However, even in this situation, some subtle positive outcomes arising from the work of CSOs in terms of better utilization of funds especially in Busia were quoted in the course of field work for this study. Findings show that communities are now being taken seriously by those in authority. Other significant findings show that there is some reduction of corruption as less bribes are being asked in public offices. These subtle findings could be pushed to another level of success by a CSO sector that is bold enough to engage with governance issues more directly.

The findings also reveal that the role of the church, mosque, community elders forums, clans, politicians has been lukewarm towards engagement with and addressing poor governance issues occurring in their midst. CSOs did not help the situation since, according to the findings, they did not recognize and seek to work with these stakeholders. Instead CSOs went ahead and initiated other new governance forums and platforms in the villages to follow up and work on governance issues. However, findings show that although people participate in CSOs governance forums they also have preference for these other community and more familiar forums that include churches, community elders forums, clan based forums and others.

The study sought to find out the results and outcomes of these CSOs supported governance structures. Findings indicate that the structures have had positive results when it comes to children access to education and community access to water.

However, when it comes to access to health, the success here has not been very significant especially for Nairobi and Busia counties.

6.2 Conclusion

This study argues that poor governance persists not just due to CSOs weak capacity in addressing the problem, but also due to weakness of the strategies and approaches being used by the CSOs. The strategies have failed to enable CSOs understand the context in which they work in a way that they utilize existing forums that people also prefer to participate in. CSOs strategies have also failed to understand the complexity of the issues they are working on and have only focused on provision of trainings and creating awareness on available government funds and identification of community projects that could be funded with such funds as well as creating awareness on bad governance. They have failed to be bold enough to get into deeper strategies for assisting communities to be able to engage with poor governance issues including actual follow up and utilization of public funds, writing petitions to those in authority, meeting with leaders and such other more direct activities. And in this respect, CSOs have not done much and have failed to address decisively with the problem of poor governance in Kenya.

6.3 Recommendations

The findings of this study have policy implications as well as having an important contribution to scholars, researchers, and planners. This section presents recommendations that are relevant to different stakeholders.

6.3.1 In terms of policy:

Kenya is in the era of devolution in its governance system. Forty seven (47) counties have been formed and new system of governance has been put in place that seeks to devolve government functions to these counties. This has been the process going on since the new constitution was promulgated in 2010. A key requirement of this new devolved system of governance is that communities have to be more involved in governance. This study has revealed that CSOs have been at promotion of

community participation in governance for over twenty (20) years and there are lessons that the government can glean from them more so from the findings of this study. Among these lessons is that communities will always fall back to what is familiar to them, in this study, we found the existence of alternative governance systems that people prefer to participate in. These include community elders forum, clan based forums, churches, mosques and others. Even as the government comes up with a new governance system, it is recommended that it is important to recognize and incorporate these alternative forums so that community participation is enhanced even more strongly. Incorporation of these alternative forums would result into a more cost effective strategy as the communities are already familiar with these systems and so not much training and coercion will be needed for them to participate in them.

Another requirement of the new constitution is the need for the government to work with other actors at the grassroots including CSOs. It is important for the government to put in mind challenges that CSOs could be facing and seek to understand them and provide required support. Such challenges as lack of funds, lack of adequate numbers of staff, inadequate office spaces and facilities are resources that the government could consider providing to CSOs if at all the partnership with them will be effective.

6.3.2. In respect to CSOs:

If programs addressing poor governance or any other development issue have to be fully successful, it is important to study the context and understand it. This will enable CSOs to discover existing governance structures and the extent to which communities prefer to participate in them. It is recommended that even as new governance structures are introduced in the communities, acknowledging and incorporating these existing local structures such as the local church, community elders' forum and others that people prefer to participate in will only go further to strengthening CSOs interventions. They could even go a long way in minimizing the threats arising from threats and harassment from hired goons and other intimidating activities that rise against the work of CSOs.

It is also recommended that it is important to go further than community awareness and trainings on bad governance issues as well as providing information on available funds and assisting communities to identify projects that could be funded. This is because such activities have had little impact and have only worked to some extent, according to the findings of this study. Diverse activities known to have worked in other parts of the world could be considered including writing letters to leaders to bring their attention towards incidences of misuse and misallocation of resources. Others are meetings more directly with leaders to bring poor governance concerns to their attentions and engaging with them in coming up with strategies to stop these. Others are actual follow up on use of funds, among such more direct interventions. Governance is a serious problem and has reached alarming proportions in Kenya especially misuse of public funds and other corruption practices. This is indicative of the need for more radical interventions beyond just creating awareness on identification of projects for funding to more direct engagement with governance issues including follow up on use and utilization of funds.

6.3.3. In respect to churches, mosques, community elders forums, clans

It is important for these forums to come to terms with the fact that community members value them and prefer to participate in their forums, as the findings in this study have revealed. This is indicative of the fact that these alternative forums cannot continue sitting on the fence as far as governance issues including corruption and misuse of public funds is concerned. They need to wake up and come up with strategies to engage more seriously with poor governance issues in the communities around them. They have the blessings and goodwill from the community, if the findings of this study are anything to go by. This is an encouraging point for them to start from.

6.3.4. Women and governance

The study found that while there was an almost equal number of women participating in governance structures, the governance structures are not in turn able to facilitate women in the community to participate in projects and programs that address their welfare. It is important to encourage women participation in governance programs

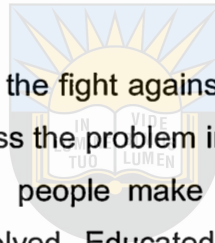
and involve them in reaching out to other women to come out and participate in projects and programs that are meant for their welfare.

6.3.5. Politicians and local leaders

Politicians and local leaders were found to have a very lukewarm attitude towards governance issues. Their forums were not even preferred by the communities in addressing governance issues. It is important to work with all leaders as when some are left out they may have the possibility of sabotaging on-going programs. Everyone needs to be involved in the fight against poor governance.

6.3.6. Young people

Young people need to be involved in the fight against poor governance and explore with them diverse strategies to address the problem including consideration for more technology based strategies. Young people make up the largest number in the population and need to be fully involved. Educated youth in particular can be an important resource for governance programs and they need to be utilized effectively.



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6.3.7. Reporting system for harassment incidences

Establish a reporting system to capture and address all harassment cases meted on all involved in addressing poor governance cases at the counties. Once report is made the culprits need to be arrested and prosecuted. The law needs to be put to good use to protect all involved. This will go a long way in minimizing such incidents.

6.3.8. Exposure and training

CSOs including the existing alternative governance structures such as churches and others need to be given exposure to program in other countries that have successfully addressed governance issues. Relevant training also needs to be provided. This will go a long way in boosting the confidence of CSOs and that of other stakeholders.

6.3.9. Donors

Donors need to have a comprehensive understanding of the challenges that CSOs experience in their work. Long term support to CSOs work would be ideal other than short term support. Long term support will ensure that CSOs acquire required capacities in terms of offices and equipment, necessary skills and knowledge through appropriate exposure and training. Long term support will also ensure that CSOs are able to establish alternative sources of funds including income generating activities to support their work.

6.4 Suggestions for further research

This study has found many research gaps that could be filled. It is suggested that further research could be done on the extent to which poor governance problems are prevalent, how they are manifested and perpetuated. This will inform designing of effective approaches, programs and strategies that could eliminate it once and for all. Research could also go along with implementation of governance programs to gauge the extent to which mechanisms being implemented are having an impact in changing the situation of poor governance. Such outcomes need to be carefully studied and documented for learning and sharing. CSOs need to be enabled to invest in regular monitoring and evaluation of their programs along with research to gauge impact, possible successes and lessons to be learnt.

There is need to support CSOs with context focused research that will inform their strategies, for example, studies on local traditional governance structures and how they could be used to help CSOs work.

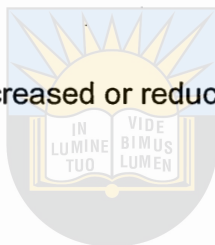
The other issue that has more to do with the design of this study is that this is a case study design that has focused on only three counties in Kenya, so the findings of this study may be challenged on the basis of them not being adequate for generalization. Therefore further larger study that covers more counties in Kenya is suggested to study these governance issues. This will provide a further understanding of the issues at hand.

This study has also found that there is an equal number of gender participation in governance programs by CSOs. Research in this area could shed light on the experiences and challenges of women in governance programs. More light could also be shed through research on the role of the youth in respect to governance issues in Kenya. What could young people do? What new innovative strategies and approaches could they bring in to complement efforts by CSOs and other stakeholders?



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- (14) Has the purpose changed or is it still the same?
 Has changed (Explain).....
 Still the same (Explain).....
- (15) Does the structure has members: (i)Yes.....(ii) .No.....
- (16) If Yes to (a) above, who are the members of the structure:
 (i) Men.....(ii) Women.....(iii)Youth.....(iv)Mixed.....
- (17) If the structure has members, how many are they? :
- Below 30
 30-50
 50-100
 100-300
 Above 300
- (18) Has the number of members increased or reduced over time?
 (a) Increased
 (b) Decreased
 © I don't know
- (19) Has the structure/ group received any support?
 (a) support received
 (b) support not received
 © I don't know
- (20) Nature of support if any
 (a) Funds
 (b) Training
 © Linkages to resource providers
 (d) other (specify)
- (21) How has the support (if any) been of use to the structure / group?
 (a)strengthened the leadership aspects
 (b) helped in networking with others
 © helped us to know how to work with authorities
 (d) strengthened our financial base
 (e) other (specify)
- (22) What obstacles does the structure face as it functions in the community?
 (a) poor leadership
 (b)internal governance



- © unstable financially
- (d) members drop out
- (e) unfriendly political environment
- (f) poor participation by members
- (g) other (specify)

(20) How could these obstacles be addressed

- (a) Training
- (b) Financial support
- © cooperation with authorities
- (d) cooperation in community
- (e) more support from politicians
- (f) Other specify



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(II) Capacity of CSOs in assisting communities to implement good governance principles and values?

(21) What are the activities of the governance structure you know or are involved in?

- (a) creating awareness on available funds in the county
- (b) identification of projects that could be funded
- (c) follow up on use of funds in funded projects
- (d) participating in the implementation of funded projects
- (e) follow up on bad governance cases in the village
- (f) Holding meetings with authorities
- (g) writing letters to authorities
- (h) holding demonstrations
- (i) promoting women participation in projects
- Others (name them)

Other

(22) Do you or your relative been a participant at these activities?

- (a) Yes.....(b).....

(23) How often were the activities done?

- (a) Once a week (b) Once a month (c) Once in three months (d) Other

- (24) What are other governance activities / processes in this community that people prefer?
- (a) Community elders forums
 - (b) clan based forums
 - © church based leaders forums
 - (d) mosque based forums
 - (e) local politicians' forums
 - (e) other (specify)
- (25) In a scale of 1 to 5 what in your opinion is the strength of these other governance activities? (1 2 3 4 5). 1 being weakest, 5 strongest.
- (26) Which one do you prefer to participate in? Please tick the ones preferred
- (a) CSOs governance activities
 - b) Community elders forums
 - (c) clan based forums
 - (d) church based leaders forums
 - (e) mosque based forums
 - (f) local politicians' forums
 - (g) other (specify)
- (27) At what level would you say these CSOs supported governance structures have had more benefits (tick one):
- (a) Individual level
 - (b) Families
 - (c) The community as a whole
- (28) Would you say people access to health services has improved due to the CSO s structures? (a) Yes..... (b) No..... other
- (29) Would you say people access to water services has improved due to these structures? (a) Yes..... (b) No.....other.
- (30) Would you say children access to education has improved due to these structures?
- (a) Yes.....(b).....other
- (31) Would you say that people are more informed of available opportunities in the devolved system due to these CSOs structures? (a) Yes..... (b) No.....other



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(32) Would you say that public funds are well utilized due to these governance CSOs structures? (a) Yes..... (b) No..... other

(III) What are community engagement mechanisms which can promote effective governance and inter-action?

(34) Tick activities by CSOs that you have witnessed geared towards engagement of communities in governance

- (a) Training in governance
- (b) awareness on bad governance cases in the village
- (c) community meetings with leaders
- (d) getting communities to write and sign letters to leaders
- (e) demonstrations
- (g) gender awareness
- Others (name them)



(35) Which activities would you say have been successful in getting communities to participate in governance?

- (a) Trainings
- (b) Awareness on bad governance cases
- (c) Community Meetings with leaders
- (d) getting communities to write letters to leaders
- (e) demonstrations
- (g) gender awareness
- Other (name them)

(36) Would you say communities are now participating more in governance of projects that concern their welfare?

- (a) Yes
- (b) No

(37) What are some of the benefits of community participation in these governance activities? Tick relevant benefits:

- (a) authorities take communities more seriously and listen to them
- (b) reduction of corruption as less bribes being asked
- (c) communities now saving more as less bribes being asked

- (d) there is closer working relationship between community and authorities
- (e) public projects being completed on time
- (f) public funds being utilized well
- (g) both men and women are now listened to equally
- (h) people now access information well on public projects
- (i) communities now hold leaders to account for their action
- (j) communities participate and contribute more to development projects
- (k) community members trust and support each other more

Other

(38) Would you recommend such CSO governance activities to other parts of Kenya where they are not being implemented?

- (a) Yes
- (b) No

(39) Which governance activity by CSO has meant most to you?

- (a) Trainings
- (b) Awareness on bad governance cases
- (c) Get community to meet with authorities
- (d) getting communities to write letters to leaders
- (e) Getting communities to know how to use demonstrations
- (g) gender awareness
- (h) creating awareness on available funds in the county

Other (name them)

40. What improvement would you suggest to these CSOs activities?

- (a) More Trainings
- (b) Frequency of trainings
- (c) Better trainers
- (d) Handouts to be given for us to read at home on what we were taught
- (e) Follow up visits to groups by the trainers to be enhanced
- (f) Financial support to be given to groups
- (g) Other (specify)

Annex 2.

GUIDE FOR IN-DEPTH INTERVIEWS WITH OPINION LEADERS

(I) Introduction: Date.....

My name is Jane Munene. I am a doctorate student at the University of Fort Hare carrying out a research on contributions of CSOs in transformation of rural governance in Kenya. This information is important in the enhancement of good governance in this country. Confidentiality is ensured in that your identity as a respondent will not be revealed to any one else. Your cooperation will be highly valued. Thank you for being available for this meeting.



1. Level of Education
2. Religion
3. Marital status
4. Occupation
5. Comment about governance structures / groups functioning in this village (e.g. budget tracking committees, alternative leadership forums, social accountability committees, self help groups, Para legal groups, elders lobby committees)
6. Which ones do you know?
7. How did these structures / groups come about?
8. When did they come about?
9. What activities are they involved in?
10. Comment about governance structures / groups enabling community members to hold leaders accountable or can make leaders explain their actions.
11. Comment about governance structures / groups enabling both men and women to be listened to equally in community forums.
12. What is your role in a governance structure / group?
13. What are the challenges experienced in these structures?

14. What are key governance issues in this community? (for example, people unable to participate in government decision making forums, people unable to access information from government on projects and other issues, people not able to choose leaders of their choice, men and women not being listened to equally, and such other governance related problems).
15. Comment on usefulness of governance structures in helping address problems listed in no.14
16. What are the key poverty issues affecting the local people (e.g. unemployment, landlessness, poor housing, poor access to water, bad roads, food shortages, poor access to health facilities, illiteracy etc)
17. Have the governance structures helped address poverty issues in the locality? Please explain.
18. Has the governance structure that you know made a difference in representing community interests and service delivery?
19. Has the governance structure enabled communities to improve their health status? Explain
20. Has the governance structures helped children to access education? Please explain
21. Would you say the structures are more inclusive (involve most people) or exclusive (only a few elite people are involved)? Please explain your answer.
22. Do community members contribute and participate more in development projects due to these structures?

Annex 3.

GUIDE FOR FOCUS GROUP DISCUSSIONS

(I) Introduction: Date.....

My name is Jane Munene. I am a doctorate student at the University of Fort Hare carrying out a research on contributions of CSOs in transforming rural governance in Kenya. This information is important in the enhancement of good governance in this country. Confidentiality is ensured in that your identity as a respondent will not be revealed to any one else. Your cooperation will be highly valued. Thank you for being available for this meeting.

1. Are there governance structures / groups functioning in this village (e.g. budget tracking committees, alternative leadership forums, social accountability committees, self-help groups involved in governance issues, Para legals groups, access to justice Kamukujis (ASK)
2. Which ones do you know?
3. How did these structures come about?
4. When did they come about?
5. What activities are they involved in?
6. What is your role in a governance structure?
7. What role does your relative/s play in a governance structure?
8. What are the challenges of participating in these structures?
9. What are key poverty issues in this community? (for example, low incomes, poor education, poor health, poor roads, people unable to participate in government decision making forums, people unable to access information from government on projects and other issues, people not able to choose leaders of their choice, men and women not listened to equally, and such other governance related problems).

10. Have the structures helped address poverty issues in the locality? Please explain.
11. Has the governance structure / group that you know made a difference in representing community interests and service delivery?
12. Would you say the structures are more inclusive (involve most people) or exclusive (only a few elite people are involved)? Please explain your answer.
13. Do you and others trust fellow community members more due to these structures?
14. Do you and others contribute and participate more in development projects due to these structures?



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Annex 4: Map of Kenya.



Annex 5: Map of Kenya showing the new 47 counties as per latest constitution 2010.



Annex 6: Map of Kenya showing actual location of Busia County (shaded in red color)



Annex 7: Map of Kenya showing actual location of Nairobi county (Shaded in red color)



Annex 8: Map of Kenya showing actual location of Nyeri County (shaded in red color)



Annex 9.

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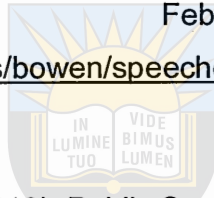
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