AN ANALYSIS OF COMMUNITY PARTICIPATION IN THE CDF PROJECT CYCLE: A CASE STUDY OF DAGORETTI SOUTH CONSTITUENCY

BY
Eugene Ndwiga

This dissertation is submitted in partial fulfillment of the requirements for the award of a Master of Development Studies from St. Paul's University.

May 2017

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Supervisor: Prof. Charity Irungu

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DECLARATION

This Dissertation is a product of my own work and is not the result of anything done in collaboration. It has not been previously presented to any other institution. I agree that this dissertation may be available for reference and photocopying, at the discretion of the University.

SIGNATURE OF STUDENT _____ DATE _____

Word Count: _____

I confirm that the work reported in this thesis was carried out by the student under my supervision.

NAME OF SUPERVISOR: PROF. CHARITY IRUNGU

SIGNATURE OF SUPERVISOR _____

DATE _____

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ACKNOWLEDGEMENT

I acknowledge by supervisor, Prof. Charity Irungu, for her continued support and encouragement in the whole process, even when I almost gave up. I cannot forget the contribution of my lecturers and fellow students at the Department of Development Studies in helping me to clearly focus on my research area. I also appreciate support from my family and friends, without forgetting the contribution of Dagorettti South Ward Development Committee members.

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DEDICATION

This thesis is dedicated to my mother, my wife and our children for their love and support.

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Abstract

Constituency Development Fund was created by the CDF Act 2003 and made operational in January 2004. The Act was amended in 2007 and its allocation increased from 2.5% to 7.5% to support community-based development initiatives geared towards combating poverty at the grassroots. In 2013, CDF Act 2007 was replaced with the CDF Act 2013 in line with the Constitution of Kenya 2010. The CDF Act (2013) provides that a minimum of 2.5% annual government ordinary revenue shall be devoted to the constituencies for purposes of infrastructural development, wealth creation, and in the fight against poverty at the constituency level. However, reports about mismanagement of CDF projects ranging from lack of accountability, corruption and misappropriation of funds, funding ghost and low impact projects, abandoned projects and theft continue to be reported. These negative reports should not arise if the community is involved in the implementation of these projects. The general objective of this study was to analyze community participation in the CDF project cycle using Dagoretti South constituency, Nairobi County as a case study. The study sought to answer three research questions. What are the provisions of the CDF Act that promote community participation? What is the performance of Ward Development Committees and the Constituency Development Fund Committee in CDF project cycle? What is the level of community participation in CDF project cycle? Data for the study was generated using Focus Group Discussions targeting WDC members. The data was analyzed using content analysis. In examining the provisions that promote community participation, the findings showed that the Act had adequate provisions that anchored community participation in the CDF projects. However, the Act did not provide a community participation framework to enable the provisions to be effected. This lacuna of the Act significantly affected the process of effecting community participation in the CDF project cycle. In analyzing the performance of Ward Development Committees and Constituency Development Fund Committee in the CDF project cycle, it was found that the two organs did not work in harmony. The Act did not clearly provide the role of the Ward Development Committee, yet it did provide the same for the Constituency Development Committee. This was compounded by the Act's failure to provide a community participation framework that would, among other things specify how these organs would relate in facilitating community participation in the CDF project cycle. This inherent flaw of the Act significantly affected the performance of the two organs. In relation to the assessment of the level of community participation in the CDF project cycle, it was found that community involvement was lacking. This was attributed to the lacuna of the Act as it has been pointed out and the lack of initiative of the area MP and the CDF Office. The study recommended redrafting the CDF Act with input from stakeholders so as to enhance its community participation provisions with a clear community participation framework.

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LIST OF ABBREVIATIONS AND ACRONYMS

ADC Agricultural Development Corporation

AFC Agricultural Finance Corporation

AMREF Africa Medical and Research Foundation

ASALs Arid and Semi-Arid Lands

CDF Constituency Development Fund

CDFB Constituency Development Fund Board

CDFC Constituency Development Fund Committee

CORPs Community Owned Resource Persons

DDC District Development Committee

DC District Commissioner

DFRD District Focus for Rural Development

DGF District Grant Fund

DO District Commissioner

ERS-WEC Economic Recovery Strategy for Wealth and Employment Creation

FBOs Faith-Based Organizations

FGD Focus Group Discussion

GoK Government of Kenya

HIV/AIDS Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome

IADP Integrated Agricultural Development Program

IDP Internally Displaced Persons

IMF's International Monetary Fund

KARI Kenya Agricultural Research Institute

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LATF Local Authorities Trust Fund

LRA Lord's Resistance Army

MCA Member of County Assembly

MP Member of Parliament

NACCSC National Anti-Corruption Campaign Steering Committee

NGOs Non-Governmental Organizations

NRC Norwegian Refuge Council

NTA National Tax-payers Association

PAR Participatory Action Research

PHC Primary Health Care

PMC Project Management Committee

PRA Participatory Rural Appraisal

PRSP Poverty Reduction Strategy Paper

RRA Rapid Rural Appraisal

SRDP Special Rural Development Program

TISA The Institute for Social Accountability

UNDP United Nations Development Programme

WHO World Health Organization

WDC Ward Development Committee

WDEF Women Development Enterprise Fund

YEDF Youth Enterprise Development Fund

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CHAPTER ONE

INTRODUCTION

Background information

Since attaining political independence in 1963, Kenya has been grappling with the persistent problem of unbalanced regional development and inequalities where 10% of the richest households control about 36% of national wealth and the poorest 10% less than 2% (Friedrich-Ebert-Stiftung, 2012). This is characterized by regional development disparities coupled with poverty and relative inequalities across the country, a situation that is historically associated with pre-independence colonial policies (Chitere and Mutiso, 1991, Society for International Development, 2004 and Friedrich-Ebert-Stiftung, 2012).

At independence, Kenya embarked on creating and establishing development institutions aimed at stimulating and spearheading development activities across all major economic sectors with a view to addressing the problem of regional development disparities (Chitere and Mutiso, 1991, The Nairobi Social Audit Report, 2010). The agricultural sector, which was, and continues to be the mainstay of the economy, established such institutions as the Agricultural Development Corporation (ADC), Agricultural Finance Corporation (AFC), Kenya Agricultural Research Institute (KARI), Kenya Seed Company, among others (Chitere and Mutiso, 1991).

While these efforts were meant to catalyze development initiatives and activities in the regions with the participation of the local communities, their performance was dismal in achieving their goal. According to Chitere and Mutiso (1991), the management of these

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institutions remained centralized, with very little input from their beneficiaries and corruption was rampant and mismanagement was the order of the day. However, there was overwhelming conviction in government that the participation of the local communities was central to addressing development disparities that continued to exist across regions. In 1982, there was a paradigm shift in development planning with the adoption of District Focus for Rural Development (DFRD) strategy. According to Barkan and Chege (1989), the strategy made districts the centers for planning, implementation and management of rural development with the people being directly involved in the identification, design, implementation and management of their local projects and programs. This approach, however, failed as a vehicle for rural development and community empowerment. World Bank (2002) observed that DFRD was a mere dispersal of central government control without tangible transfer of powers to make decisions at the local level.

While DFRD was failing due to lack of structural and legal support from central government, new needs at the local level were emerging that required attention and financial support. Towards this end, the government established a variety of devolved funds which were channeled to the grassroots to address specific development needs of the local communities (Gituto, 2007). It was envisaged that the management of these funds, would of necessity, incorporate the participation of the local community, as the major stakeholder. According to Gituto (2007), these funds included; Local Authorities Trust Fund (LATF), Women Development Enterprise Fund (WDEF), Youth Enterprise Development Fund (YEDF), HIV/AIDS fund, and Constituency Development Fund (CDF). These funds, among other initiatives, are essentially meant to stimulate and catalyze the pace of development at the

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local level by addressing different development needs of the local people. This is by extension expected to actively involve the community and promote equitable distribution of resources while addressing development gaps in the regions.

1.2 The Constituency Development Fund

CDF was created by the CDF Act 2003 and made operational through the Kenya Gazette Supplement No. 107 (Act No. 11) of 9th January, 2004. The Act was further amended in 2007 and its allocation from government ordinary revenue increased from the initial 2.5% to 7.5% (CDF Act 2007). The fund was essentially meant to support community-based development initiatives geared towards combating poverty at the grassroots (CDF Act 2003, 2007).

In 2013, the CDF Act 2003 and its amendment of 2007 was repealed and replaced with the CDF Act 2013 in line with the Constitution of Kenya 2010. According to Constituency Development Fund Board (2015), the creation of the new CDF Act 2013 was necessitated by the fact that all legislation was required to conform to the constitutional principles, namely; transparency and accountability, separation of powers and participation of the people, as well as fitting in the devolved government.

The CDF Act of 2013 provides that a minimum of 2.5% annual government ordinary revenue shall be devoted to the constituencies for purposes of infrastructural development, wealth creation, and in the fight against poverty at the constituency level. The Act states that projects to be supported and financed shall be community based in order to ensure that prospective benefits are available to a widespread cross-section of the community of a

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particular area. The Act further prohibits financing or supporting political bodies or political activities or for supporting religious bodies or religious activities.

With well facilitated community participation, these provisions are expected to catalyze and increase poverty reduction initiatives at the grassroots in all constituencies. Communities would identify priority projects with high impact to ensure widespread benefits are available to the majority. There would be social, political, human, physical and physical development. This would further result in controlling regional development imbalances and disparities brought about by pre-independence colonial policies and partisan politics (KIPPRA, 2008, Khisa and Oesterdiekhoff, 2012).

1.2.1 The potential of CDF

CDF is a devolved development fund that has a great potential in tackling regional development imbalances and promoting overall national development because all the constituencies benefit from the allocation. According to the Constitution of Kenya (2010), there are 290 constituencies. As a grassroots development fund, the Act states that projects to be supported and financed shall be community-based in order to ensure that prospective benefits are available to a widespread cross-section of the community of a particular area (CDF, 2013). This affords the community and other stakeholders the opportunity to participate in the implementation of CDF projects. Moreover, the Act promotes equity in distribution. The CDF Act (2013) stipulates that only 5% of 2.5% allocation is retained by the CDF board for administrative purposes while another 5% is retained for emergencies in the constituencies. 75% of the balance is divided equally between the 290 constituencies while the remaining 25% is allocated to constituencies based on their poverty ranking. The

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formula ensures that poorer constituencies receive more money based on factors such as the total population living below the poverty line and the total population of the constituency.

It is, however, worth noting as illustrated in Table 1, that the allocations of CDF from the national revenue collections is not uniform and depends on the fiscal performance of the specific year.

Table 1: 1 CDF allocations 2003 – 2015

Fiscal Year Allocation	Annual Allocations in Billion Kshs
2003/4	1.26
2004/5	5.6
2005/6	7.2
2006/7	10.1
2007/8	10.1
2008/9	10.1
2009/10	12.329
2010/11	14.283
2011/12	16.989
2012/13	1.055
2013/14	21.973
2014/15	31.564

Source: National Government – Constituency Development Fund (2016)

1.3 Problem statement

The CDF Act (2013) states that projects to be supported and financed shall be community based in order to ensure that prospective benefits are available to a widespread cross-section of the

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community of a particular area. The Act further provides a clear methodology of project identification. Part 1, Section 24 (1-3), outlines the process of community participation in the formation of Constituency Development Fund Committees (CDFC) and Ward Development Committees (WDC). Section 24 (6-7), outlines the participatory process for deliberating development matters in the ward and the constituency and prioritization of development projects to be submitted to the CDFC.

However, reports about mismanagement of CDF projects country wide ranging from lack of accountability, corruption and misappropriation of funds, funding ghost and low impact projects, abandoned projects and theft continue to be reported (NACCSC, 2008, TISA, 2008 and 2011, NTA, 2013). This is in bad light since the preceding and the current CDF Act (2013) have clear provisions for community participation in the implementation of CDF projects. It is expected that such negative reports should be minimal in development projects where the community has been actively involved in all stages of the project cycle (Chitere, 1994). No study has been done to analyze community participation in the CDF project cycle in Dagoretti South Constituency. The general objective of this research was to analyze community participation in the implementation of CDF projects using Dagoretti South Constituency, in Nairobi County, as a case study.

Research objective

The general objective of this research was to analyze community participation in the CDF project cycle in Dagoretti South constituency, Nairobi County.

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1.4.1 Specific objectives

a) To examine the CDF Act provisions for community participation and gender mainstreaming in CDF projects.

b) To analyze the performance of Ward Development Committees and Constituency Development Fund Committee in the CDF project cycle.

c) To assess the level of community participation in the CDF project cycle.

1.5 Research questions

a) What are the provisions of the CDF Act that promote community participation and gender mainstreaming in CDF projects?

b) What is the performance of WDC and CDFC in the CDF project cycle?

c) What is the level of community participation in the CDF project cycle?

1.6 Justification of the study

CDF was established for the purposes of infrastructural development, wealth creation and in the fight against poverty at the constituency level (CDF Act, 2013). It supports and finances community-based development initiatives geared towards combating development inequalities and poverty at the grassroots, and as a result contribute to reducing regional development imbalances brought about by pre-independence colonial policies and partisan politics (KIPPRA, 2008; Khisa and Oesterdiekhoff, 2012). By design, CDF is a participatory development fund that provides for facilitated public and community participation for all projects seeking financial support and those already under support (CDF Act, 2013. According to Chitere (1994), participation of communities in development activities is critical if these development projects are to be successful.

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This study therefore, aimed to analyze community participation in the CDF project cycle at the grassroots.

Delimitation of the study

CDF is a nationwide government fund that was initiated to support and facilitate community-based development projects in all the constituencies in the country. While there are many research aspects regarding this fund due to its critical importance in combating poverty at the community level, this study focused on analyzing community participation in the implementation of CDF projects. The study targeted and concentrated on active members of ward development committees, who are involved in the implementation of CDF projects in their respective wards in the constituency. Due to time and financial limitations, this study was only carried out in one constituency, Dagoretti South Constituency in Nairobi County.

1.8 Significance of the study

Reports about mismanagement of CDF projects ranging from lack of accountability, corruption and misappropriation of funds, funding ghost and low impact projects, abandoned projects and theft continue to be reported (TISA, 2008 and 2011; NACCSC, 2008; NTA, 2013). This is against the Act's architecture that provides for community participation in projects' implementation because the fund supports community-based development initiatives geared towards combating poverty at the grassroots, (CDF Act 2003). This study analyzed community participation in the CDF project cycle as provided for by the CDF Act so as to identify inherent gaps that obstructed involvement of the community. The study further aimed to come up with recommendations that would enhance the Act's community

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participation provisions with a clear community participation framework so as to improve community participation processes in ongoing and subsequent CDF projects.

1.9 Organization of the thesis

This chapter has laid the foundation of the study. It has expounded the background of the study and the problem statement as well as outlining the study objectives, study questions, justification, delimitation and significance of the study. Chapter two defines important concepts used and reviews relevant literature as well as theoretical and conceptual frameworks applicable to this study. Chapter three outlines research methodology, including research design and data collection instruments as well as validity and reliability of research instruments and ethical considerations. Chapter four contains data analysis and discussions emanating from the analysis. Chapter four outlines summary of findings, conclusion and recommendations derived from data analysis and discussions.

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CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This section concentrates on the review of community participation theories and practices and other relevant literature relating to this study. The literature sources included; books, the CDF Acts, journals, seminar papers, official reports from government and non-governmental organizations and the internet. This section also presents both theoretical and conceptual frameworks of the study.

2.2 Definition of important concepts

This study has used three important concepts to enable it adequately examine the practice and application of community participation in different regions and settings globally. These concepts are community participation, community-based development and participatory development.

2.2.1 Community participation

Community participation is a major element and a critical subject matter of the discipline of Community Development. It is also a major assumption and principle in the theory of Community Development (Chitere, 1994, Swanepoel and De Beer, 2006). Community participation, as a concept has meant different things to different people. While it is theoretically a major determinant in the success of any development initiative that targets the community at the local level, divergent conceptualization has always hampered its full potential in this respect. This has negatively impacted on performance, community ownership and sustainability of community-based development initiatives.

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Baetz (1984) in Chitere (1994:3) saw (community) participation as referring to:

> *How individual members of a community are not only guaranteed a fair and equitable share of the benefits of development, but also how they can be assured the opportunity of contributing to their fullest capacity and in ways most meaningful to them....in creation of the community's goods and services; and that is, in creating the common wealth…in the process of freely participating in development…and taking an active part in the decisions governing the development, greater avenues for full self-realization are opened and a sense of independence and spirit of a community are created.*

According to Oakley and Marsden (1984) in Mulwa (2005), community participation is conceived as the organized efforts to increase control over resources and regulative institutions in given social situations, on the part of groups and movements of those hitherto excluded from such control.

In their conception, Zakus and Lysack (1998) saw community participation as a process by which members of the community, either individually or collectively and with varying levels of commitment, develop the capacity to assume greater responsibility for assessing their community needs and problems, plan and then act to implement their solutions, create and maintain organizations in support of these efforts, and evaluate the effects and bring about the necessary adjustments in goals and programs in an on-going basis.

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WHO (2002) defined community participation as a process by which people are enabled to become actively and genuinely involved in defining the issues of concern to them, in making decisions about factors that affect their lives, in formulating and implementing policies, in planning, developing and delivering services and in taking action to achieve change.

All these definitions imply that community participation is a progressive process of community empowerment that aims at community self-actualization. In particular, this study has adopted the definition by WHO, as it resonates with the envisaged community participation in the implementation of CDF projects.

2.2.2 Community-based development

The concept of community-based development relates to all types of development that emanate from a genuine and exhaustive community participation process. The development process is based in the community and emphasizes full participation by all community members. According to Dhamotharan (2009:17) community-based development can simply be defined as;

> *.... a form of development that takes place within the community and emphasizes maximum participation of community members in its design and implementation, is ongoing, meets real needs, and is basically self-reliant.*

The focus of community-based development is on community members themselves where they are encouraged to play the leading role in all the aspects of the development process. Dhamotharan (2009:21) observed that:

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> *Community-based development is concerned with the involvement of local stakeholders in decision-making. If people in communities are to take initiative, be creative, learn, and assume responsibility for their own development, they must be actively encouraged to participate. This requires building into policies and projects features which enable people's participation.*

It is imperative in community-based development that development agencies and the community freely engage together to develop an effective working relationship. This relationship must be a mutual development partnership which lays clear structures of engagement in the entire development process. To achieve community-based development, Heck (2003:23) observed, "…the community needs to have a structure, and persons trained in appropriate methods of implementation." This includes building the capacity of the community members to facilitate their effective participation in the entire development process.

The CDF Act (2013) stated that projects to be supported and financed shall be community-based in order to ensure that prospective benefits are available to a widespread cross-section of the community of a particular area. This means that for the CDF projects to create the desired impact, they must adopt the community-based development approach.

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2.2.3 Participatory development

Participatory development is a concept closely related to community-based development. Participatory development aims at engaging local populations in development processes and projects. Swanepoel and De Beer (2006:58) saw it as an attempt;

> *...to give the community a part in initiatives designed for their benefit in the hope that development projects will be more sustainable and successful if the local populations are engaged in the development process.*

Participatory development, as a concept, is also operationally closely linked to community participation when it is observed as a process through which all members of a community or organization are involved in and have influence on decisions related to development activities that affect them. A participatory development approach therefore implies that development projects will address those community or group needs on which members have chosen to focus, and that all phases of the development process will be characterized by active involvement of community or organization members (Swanepoel and De Beer, 2006).

As such, participatory development adequately captures the framework within which CDF projects are identified and implemented. As the CDF Act (2013) provided, all projects to be financed shall be community-based. This allows the participation of the people in the entire CDF project cycle.

As a participatory fund, the operationalization of the CDF Act (2013) required a clear understanding of the concepts of community participation, community-based development

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and participatory development to be able to assess community participation in the CDF project cycle. This would allow identifying gaps and recommending appropriate measures to make community participation more effective in the entire CDF project cycle.

2.2.4 Levels of community participation

Community participation in development is seen to oscillate from passive participation to active participation in a continuum (Mulwa, 2005). Passive participation, which progressively ranges from level one to five, is the lowest where very little is required of the community. Active participation, which progressively ranges from level six to ten, on the other hand, is the highest where the community is required to be in full control of the development process.

In a study of community participation by J. F Foundation (1994), five levels were identified. Level one is information, which entails merely telling people what is planned and level two is consultation, which pertains to offering some options, listening to feedback, but not allowing new ideas. Level three is deciding together, which involves encouraging additional options and ideas, and providing opportunities for joint decision making. Level four is acting together, which involves not only different interests deciding together on what is best, but also form a partnership to carry it out. Level five is supporting independent community interests, which entails offering local groups and organizations funds, advice or other support to develop their own agenda within agreed guidelines.

In its analysis of community participation, the Asia Pacific Disability Rehabilitation Journal (2007) identified five levels of community participation in a continuum. In level one, the

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community receives benefits from external sources but contributes nothing whereas in level two the community contributes some personnel, financial or material, but it is not involved in decision making. In level three the community participates in lower level management decision making and in level four, participation goes beyond lower level decision making to monitoring and policy making. In level five, the program is entirely run by the community, except for some external financial and technical assistance.

These levels of community participation illustrate that participation is progressive and developmental in nature, in a continuum from passive to active. This means that for active participation to be achieved there must be a conscious and sustained effort with that specific objective in mind. This implies that participation must be ingrained in the intervention designs that the community is expected to be involved in. The role of the community depends on the level of participation. As the community becomes consistently and actively involved in the entire project cycle, it becomes more empowered and graduates to the highest level in which it is fully in charge of the development interventions at the local level.

2.2.5 Rationale for community participation in development

Participation of communities in development projects and programs has been recognized as an essential prerequisite for their successful implementation and sustainability. This is because development initiatives that aim to improve the livelihoods of the local people must integrate community participation within the context of participatory development. The failure to involve the community usually results in the development initiatives failing to take root and the community distancing from them, terming them alien.

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The need for community participation in development is underlined by a number of reasons (Chitere, 1994). Firstly, people often tend to resist innovations or measures that are imposed on them. Secondly, participation of the local people is needed because it permits the mobilization of the local resources and their use in development. Thirdly, local participation permits the growth and development of the local capacity, which envelops out of the establishment of a partnership between development agencies and the community. Fourthly, local participation helps to reduce the growing sense of lack of community which comes out with the weakening of social relationships. The fifth reason is that community participation tends to reduce alienation which prevents members from identifying with their communities.

An assessment of community participation in health and development projects and programs identified six benefits (WHO, 2002). The first benefit is that community participation can help development planners target resources more effectively and efficiently. The second is that involving people in planning and delivering services allows them to become more responsive to the need and therefore increases uptake. The third notes that community participation methods can help develop skills and competencies and capacities within communities. The fourth benefit notes that involving communities in decision making leads to better decisions being made, which makes them more appropriate and sustainable because they are owned by the people themselves.

The fifth benefit is that community participation is a way of extending democratic process, of opening up governance and redressing inequality in power. The sixth benefit is that

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community participation offers new opportunities for creative thinking and innovative planning and development.

While highlighting the importance of community participation in its projects and programs, Norwegian Refuge Council (2002) enumerated five benefits. Firstly, it builds community members' dignity and self-esteem and secondly it helps to ensure that interventions are appropriate and effective. Thirdly, it raises standards and conditions of living in the community and fourthly, it develops the community members' life skills. The fifth benefit is that community participation puts people in control of their own lives by decreasing dependency and increasing self-reliance.

According to WHO (2002), community participation is an essential strategy in contributing to the achievement of the seven integral development objectives. The first objective is to increase democracy and the second is to combat exclusion. The third is to empower the community while the fourth is to mobilize resources and energy. The fifth objective is to develop holistic and integrated approaches, the sixth is to achieve better decisions and more effective services and the seventh and the last objective is to ensure ownership and sustainability of development projects and programs.

Community participation therefore represents a paradigm shift in planning and management of community-based development projects and programs. Community members must be given the opportunity to be active participants in the development process. This way, all community-based development initiatives will reflect the community's developmental aspirations, goals and objectives. As a result, development will be more endearing,

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meaningful, sustainable and impactful on community members as individuals and community as a whole. As such, CDF projects must integrate community participation as the central pillar that defines community-based development.

2.2.6 Biblical perspective on community participation

In Genesis (11:1-9), the Bible narrates a classical example of community participation. The building and construction of the Tower of Babel illustrates a case where the community came together with a common purpose of constructing a tower through which they could reach God. They felt that God was too far from them yet they needed a regular communion with Him. The Tower of Babel project was collectively identified, planned, implemented, and managed with great success. This prompted God to intervene and scuttle the project all together by confusing the community. God noted, in this documentation, the power of community participation.

2.2.7 Global perspective on community participation

Community participation is a major and a critical strategy in all community-based development processes. This means that whenever and wherever community-based development initiatives and programs are taking place, it is a critical ingredient in the entire process. There is therefore no genuine and authentic community-based development without the critical contribution of community participation (Mulwa, 2005).

Globally, various studies have underscored the centrality of community participation in the planning and management of community-based development projects. Community-based

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development has been shown to be more sustainable, and with more lasting impact if the communities are given an opportunity to actively participate in all stages of the project cycle. In Europe, a UNDP (2000) evaluation report on Community Participation and Development Projects in Bulgaria highlighted several success points of community participation. It noted that the community gained valuable experience in project formulation and management, and acquired greater self-confidence. The community members further proved that they were able to cope successfully with new tasks and to meet higher requirements. The members strengthened their image in the community as active agents of change who were able to address the topical needs of the people, raised the public confidence in them and claimed partnership on an equal footing with the local authorities. They further changed their views on the sources of resources to finance development projects and programs and the ways of financing them. This opened new horizons on their capacity and potential to determine and chart their development agenda.

In North America, a study in the United States of America, Reid (2000) described how high degree of community participation had been achieved by the Kentucky Highlands EZ community's Vision 2000 project. It was observed how the attendance and group membership had been increasing steadily since the inception of the project. The study enumerated the factors that favored the success of this project. It noted that from the first planning meeting, every community agency and organization in the county was invited; the use of brainstorming in their planning meetings where every opinion from every member counted; in every meeting, each person was asked to introduce themselves and their organization; the vision and mission statement was always read to remind the participants of

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why they are there; they shared motivational and puzzling stories together; and they served food and spent time as they ate together. The study further established that each person realized the importance of the group, all felt responsible for it and they had a feeling of community.

In South America, Aiyar (2001) described how a complex natural resource management project in Brazil moved from failure to success when it switched from a top-down to a collaborative approach. After four years of operation, few project goals had been met, stakeholder mechanisms had ceased working, and only half the funds had been spent. The NGOs and Social Movement Forum, which were jointly monitoring the project, launched an international campaign to stop disbursements and reshape the project. The World Bank Inspection Panel investigated the matter, talked to all stakeholders, and came up with a new project framework that recommended carrying out a mid-term review of the project, creating a community-driven project fund, and establishing an open dialogue for development.

The findings highlighted the problems and as a result the project supervision was decentralized. The principal stakeholders were given full responsibility for restructuring the project, which resulted in the number of government executing agencies cut back and all bureaucratic procedures streamlined. The community-driven project fund was co-managed by the government and a coalition of local organizations, and coordinated by the NGO and Social Movement Forum. Proposals for community-based projects were thoroughly screened before they were funded by the Social Movement Forum. The open dialogue for development managed to overcome the long-standing animosity between the government and civil society,

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and led to collaboration instead. Building on this, a participatory long-tem plan for 1998-2020, called *Umidas*, was prepared.

Emphasizing on the importance of community participation in development, (Aiyar, 2001) observed that a participatory process gives communities the opportunity to analyze and discuss their local situation in a systematic manner. The process raises awareness about local problems and their causes, and about the availability of internal and external resources. Through the participation process, communities become responsible for the implementation of their action plans and take the lead in the development process. As a result they strengthen indigenous institutions and local organizations.

These observations only serve to solidify the fact that it is only communities that know best their local conditions and issues, and are best placed to decide what their development priorities are. While external actors often attempt to decide what local priorities should be, they are always not very successful because they lack the necessary knowledge and information about specific local realities and constraints. Putting participation at the core of community-based development enables communities to regain the power to set the agenda for their own development.

2.2.8 African perspective on community participation

Community participation is of great importance in Africa where resources are often limited while population tends to increase at a faster rate (Chitere, 1994). Therefore, the need to involve the community in identifying the priority development areas with the greatest impact is critical. McCracken (2001) noted that the core aims of participatory development planning

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are twofold; one, to give people a say in the development decisions that may affect them, and two, to ensure that development interventions are appropriate to the needs and preferences of the population that they are intended to benefit. As such, community participation in development is of great importance in Africa where government and development organizations are grappling with meager resources and a myriad of community needs.

2.2.8.1 Community participation in South Africa

In South Africa, following the democratic transition in 1994, the new government launched public works programs that shared four objectives (Adato, M. et al, (2005). These objectives were; to create jobs to respond to extremely high levels of poverty and unemployment, to build and rehabilitate infrastructure and natural environment in poor and underserved areas, to provide job training that would enable workers to find post-project employment, and to build the capacity of communities to control their own development processes through community participation in public works projects.

A study of seven public works programs implemented in Western Cape Province to evaluate their achievements titled: *Power, Politics, and Performance: Community Participation in South African Public Works Programs*, was carried out with the main objective of examining the benefits and challenges of pursuing community participation, together with the effects of participation on meeting the other objectives of the programs (Adato, et al 2005). The study found that community participation had a significant positive effect on the project budget share spent on labor, the log number of days of work created, and the log number of training days undertaken. It increased women's share of employment and was associated with a

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reduction in the ratio of the project wage to local unskilled wages. It also reduced the cost of creating employment and of transferring income to the poor.

On the benefits of community participation, Adato (2005) observed that the study indicated different ways in which different forms of participation added value to projects by enabling beneficiary communities to influence the choices of priority assets and project design features. This resulted in increased safety and convenience and also increased the number of jobs created in the short and long term. The study also demonstrated the importance of regular communication with communities to build a sense of local ownership, increasing cooperation and the maintenance of assets. The study further highlighted how community participation introduces politics, conflict, and lengthier decision making processes, as well as how lack of it could result in even more conflict and delays further down the line.

The study further found a wide gap between ideas for community-based projects embodied in national government programs, and the beliefs and practices of professional public and private providers at provincial and local levels. Although consensus on the importance of community participation had been voiced, there was also profound ambivalence about it, as well as widely different ideas about what it meant and where it was appropriate. During the implementation of public works programs, community-based committees were involved in some way in almost all the projects, but their roles were often limited to community and worker liaison functions. Community committee members often did not have sufficient skills and were not trained.

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Private-sector and local government project managers excluded them from participating in management tasks. The committees were viewed as lacking specialization, competency, identification with the programs' capacity building and empowerment objectives which were set at the national level, as well as the ability to distinguish the roles of different stakeholders. The findings in this study underscore the need for community participation to be integrated in the design of all projects and programs so that the role of the community and other stakeholders is clearly spelt out and that this role runs throughout the project cycle. This would deter the views and perceptions of the community elites and development practitioners that community members have insignificant role in development. This way, the community would not be deprived of opportunities to participate in their own development projects and programs.

Any attempt by any group to hijack community participation from community members for which the same development intervention is meant to serve and benefit is illegal and a basic human rights violation. The fundamental role of community participation in development is captured by the Norwegian Refuge Council (2008) thus:

> *It is vital to remember that participation is a basic human right and that it promotes many other rights. It is enshrined in article 27(1) of the Universal Declaration of Human Rights that "everyone has the right to freely participate in the cultural life of the community, to enjoy the arts and share in scientific advancement and its benefits.*

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2.2.8.2 Community participation in Uganda

In Uganda, a report by Norwegian Refuge Council (NRC) entitled: *Participation in Northern Uganda - Voice from the Field (2008),* described how community participation improved the general conditions and management of the Internally Displaced Persons (IDP) camps in Lira district of Northern Uganda. The Lord's Resistance Army (LRA) had displaced thousands of people in 2003. IDP camps were set up as people poured in from insecure villages. There was no contingency plan of how the continued war and the resultant displacement would be handled. People on the ground had little knowledge about camp design and management. Over 24,000 IDPs from about 4,200 households moved into the camp. With time, the camp started experiencing persistent outbreaks of fire that burned out big sections of the camp each time. Sanitation was poor and the camp was crowded with no space for toilets and drainage.

When the Camp Management Agency arrived in 2006, they identified lack of community participation in the administration and management of the camp as a priority issue. They trained staff who worked with the local council on issues relating to camp design and maintenance. Sensitization workshops targeting the community and agency workers were carried out and a fire management committee was set up. The committee members were supplied with whistles and were tasked to alert other community members in the event of fire outbreak. Sanitation facilities were upgraded using labor from the camp. The camp community elected leaders to lead 6 camp blocks. The camp leaders worked with community to identify community priorities, drew up work plans and jointly participated in the implementation. They collectively redesigned the camp, relocated some of the shelters and created fire breaks and drainage to improve sanitation.

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The work plans involved especially vulnerable members of the community who were encouraged to freely and actively participate in the community development process.

The results of these initiatives were reduction in fire risks in the camp, improvement of sanitation, and community empowerment. This is a clear indication that community participation plays a critical role in community-based development and has an immense potential in the betterment of all aspects and dimensions of human development.

The NRC (2008) stated that community participation is part of any social group and fundamental to developing and strengthening a well-functioning community. NRC (2008) also observed that the dynamics of a particular participatory structure are determined by the culture of the group, and their beliefs, norms, values and power relationships. This observation puts into perspective the underlying assumption that community participation is itself community specific and unique, and its success largely depends on how well community development workers are familiar with a particular community (Chitere, 1994).

2.2.9 Historical perspectives on community participation in independent Kenya

According to Sessional Paper no. 10 (1965), Kenya's development planning was underpinned in the ultimate objectives of all societies. These objectives sought to achieve the following: political equality; social justice; human dignity; freedom from want, disease, and exploitation; equal opportunities; and high economic growth equitably distributed. These objectives created a general framework for community participation in all aspects of the new nation's development.

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However, in pursuit of this new development path, Kenya embarked on a centralized development planning with the implementation of the five-year development plans. These plans spelt out the development goals, strategies and programs that were to be implemented within the plan period (Ikiara, 1984). Development planning was conceived as a technical activity that was carried out by technocrats with no input from the local people at the community level.

Accordingly, centralized development planning, referred to as top-down development approach departed from the initial objectives outlined in the Sessional Paper no. 10, of 1965. This approach continued until in the 1980s, when new revelations started emerging that questioned its efficacy to address development needs of the local communities without their participation (Ikiara, 1984, Nyong'o, 2008). According to Chambers (1983), the top-down approach represented a clear disconnection between the development planning process and the prevailing realities at the community level. The planning work was done by expatriate technical teams assisted by senior government planning officers who very often lacked in-depth information about the social and cultural features of the communities they were planning for (Ikiara, 1984).

Chitere and Mutiso (1991) observed that, in some cases, even when some projects such as the District Grant Fund (DGF), Special Rural Development Program (SRDP), and the Integrated Agricultural Development Program (IADP) required the input of the local communities, this was not possible. This was because most of the power and authority in their management were vested in the senior officers at the headquarters, living the community with little or no

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control over their development activities. This gap in development planning could be explained by the departure from the provisions of the Sessional Paper no. 10, (1965). The paper had explicitly provided for integration of community participation in national development planning and management.

Commenting on the failure of top-down development, Ikiara (1984: 6-7) summed it up by the following observation:

> *It was eventually realized that if the development planning was to achieve its stated goal of raising the standard of living in the rural areas, rural populations and other resources from these areas, the rural people had to be mobilized and encouraged to participate in all the stages of the development process. This was the main rationale for decentralizing the planning process to the district level. It was argued that such a move would bring planning closer to the people so that their social, cultural, political and economic aspirations are effectively translated into development programs.*

This realization ushered in a new paradigm shift in development planning and management. There was a compelling case for departure from centralized to decentralized development planning, popularly referred to as bottom-up development approach. The government was fully convinced that community-based development planning and management would have a greater impact on the local communities, besides being more sustainable at the local level. This culminated in the devolved form of development planning and management that was popularly known as District Focus for Rural Development (DFRD). According to Chitere and Mutiso (1991), the DFRD strategy was conceptualized and institutionalized as follows:

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> *The district team under the leadership of the District Commissioner (DC) and with the guidance of the District Development Committee (DDC) should be established as a major force and vehicle for the management and implementation of rural development. The district should be the focal point for the management of rural development by the government.*

Nyong'o (2008) further observed that the strategy emphasized that local people needed to be involved in the decision making, planning and implementation of projects in their areas to enable development to be a self-sustaining process. The strategy led to the establishment of structures up to the lowest administrative units through which development projects and programs were to be implemented.

This strategy was touted as the panacea for addressing regional development disparities which had consistently persisted despite government's efforts to correct them through the previous development plans. At the same time, participatory methodologies were gaining prominence among the civil society and were advocating for their adoption in development planning. Such methodologies included Rural Rapid Appraisal (RRA), Participatory Rural Appraisal, and Participatory Action Research (PAR) (Mulwa, 2005). Consequently, development planners began to seek communities and other development stakeholders' input. This was illustrated by the documented wide consultations with various stakeholders in the formulation of the Economic Recovery Strategy for Wealth and Employment Creation (ERS-WEC) 2003-2007 (IMF, 2005) and the Kenya Vision 2030 (GoK, 2007).

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The ERS - WEC was a special five-year development strategy that took over from the routine five-year national development plans within the framework of IMF's Poverty Reduction Strategy Paper (PRSP). The ERS was succeeded by Kenya Vision 2030 in 2008, which provides for five-year mid-term period for planning and review. This is the current development blueprint for Kenya. While there is popular participation among various development stakeholders, it is important to note that the development planning process is still centralized, with little control by the local communities.

2.2.10 Practice of community participation in Kenya

In Kenya, community participation is a major theme in the development agenda. This is further buttressed within the framework of the devolved government in the new constitution. The Constitution of Kenya (2010) Article 174, which outlines the objects of the devolution of government, clause (c) states: "to give powers of self-governance to the people and enhance the participation of the people in the exercise of powers of the State and in making decisions affecting them."

However, the practice of community participation as envisaged in the new constitution has never been easy and has always remained a big challenge in various development discourses and forums. While its benefits are widely recognized world over, its empowerment and transformational nature causes power disequilibrium, which creates a constant discomfort to those in the ranks of power. Top-down development planning orientation, where technocrats play a decisive role in development is another factor to blame. This is further compounded by the development elites' perception that communities should have a passive role in development. They view communities as lacking the requisite knowledge, skills and

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competencies to contribute to development planning and management (Adato, et al, 2005). As a result, Kenya has continued to share the blame in the numerous community-based development projects and programs that have collapsed due to lack of community participation.

2.2.10.1 The Africa Medical and Research Foundation experience

Africa Medical and Research Foundation (AMREF), is a leading medical and research NGO in Africa and a strong advocate for community participation in all its projects and programs. The organization believes community participation is a guiding principle in improving the effectiveness and efficiency of its programs. In a report entitled: *Mobilizing a drought-prone community to improve nutrition: The African Medical and Research Foundation's work in Kibwezi, Kenya (1996),* it narrated the experiences and challenges it faced when implementing an integrated Primary Health Care and Applied Nutrition (PHC/AN) Program. The program team ensured that the community was fully involved in the entire program cycle. Some of the challenges the program faced included the culture of hand outs which was hindering genuine participation. To curb this, the community was asked to define sustainability and how it can sustain community-based development. Data collection and the time involved was another challenge that necessitated development of a simple tool that was less time consuming.

The accomplishments of the integrated PHC/AN Program in Kibwezi were evident. These included; improved growth monitoring and development, positive changes in infant feeding practices, food production techniques and practices which improved food security and enhanced community empowerment.

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Vital lessons were learned during the implementation of the program. It was established that community participation should be incorporated in the project design at the project development stage and promoted right from the initiation of a development program. If it was introduced and promoted later, it was likely to meet resistance from the community and the project staff. It was also established that building the capacity of various stakeholders is necessary to make community participation in the development program genuine, authentic, and sustainable.

In promoting community participation, there is a need to address both the felt and the real needs of the community. An effective entry point to the community would be through a participatory community needs assessment, where needs are ranked and the priority ones that require urgent attention are identified. This would be different from community to community. It is also important that needs that result in a bigger social impact with less resources are initially addressed.

2.2.11 Constituency Development Fund and community participation

CDF is one of the devolved or sub-sovereign funds that are meant to supplement financing of local development initiatives and to stimulate economic development within specific sectors of the economy (Gituto, 2007). This is within the framework of the current constitution, which emphasizes and provides for devolved government. Devolution is a key public governance framework that offers the local communities the opportunity to actively participate in all aspects of development planning and management in their localities. As

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such, devolution therefore gives the community at the local level the real power to plan and manage their own development and to share the joy of success and sorrow in case of failure.

According to Gikonyo (2008), the rationale to establish CDF and other devolved funds, was based on the belief that local people (community) at the grass root level have a better understanding of their specific needs and problems. Their establishment would therefore increase community participation in local decision making, enhance government transparency, speed up government responsiveness to their plight and improve quality of service delivery. In particular, the current CDF Act 2013, clause 22 (1) expressly states that; ‘‘Projects under this Act shall be community based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area’’. Since the fund was introduced in 2003, it has made a great impact, with numerous development projects coming up throughout the country. Gikonyo (2008) however noted that there were concerns that the CDF monies were not being managed in a transparent manner. Many projects were not useful to local communities and the communities were not sufficiently involved in the management of CDF budget.

It is imperative to note that the problems facing CDF can be collectively sorted out by the community within a community participation framework that specifies the role of the community in each stage of the CDF project cycle. It would also define powers and authority of the community in relation to making decisions that appertain to the CDF projects. In addition, the framework would outline controls and relevant actions to be taken as well as outlining the nature of community capacity building in each stage of the project cycle. This

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way, progressive community empowerment resulting from development of critical capacities will be achieved that is necessary for project sustainability and self-reliance.

2.2.11.1 Provisions for community participation in the CDF Act

The Act outlines several provisions that anchor community participation in the CDF project cycle. In Part IV – types of projects, section 22 (1) the states; ‘’Projects under this Act shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area’’. In Part 1, section 2 defines ‘community’ as, ‘residents of a particular geographical area or region defined as a constituency, location, sub-location, or village and having common interests’. Section 24(1-3), outlines the process of community participation in the formation of Constituency Development Fund Committee (CDFC) and Ward Development Committees (WDC). Section 24(6-7), outlines the participatory process for deliberating development matters in the ward and the constituency and prioritization of development projects to be submitted to CDFC. Part VI, section 31(1) provides for the formation of the Project Management Committees, while Section 35(1) further provides for eligible projects for support.

2.3 Theoretical framework

The concept of community participation can be explained by several theories. However, this research is guided by two theories. These are the social action theory and community mobilization theory.

2.3.1 Social action theory

This theory states that people can improve their society through organized collective effort (Kotler, 1972, in Chitere, 1994). Kotler in Chitere (1994) defined social action as an

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undertaking of collective action to mitigate or resolve a social problem. This theory supports the goal and purpose of community development, of which community participation is a key principle and a critical element of authentic community development (Mulwa, 2008). It is important to note that communities have numerous needs and problems that require to be addressed to improve their livelihoods because they aspire for better standards of living. This is seen in various community efforts to address some of these needs (Chitere, 1994 and Mulwa, 2005). However, these initiatives are thwarted by various obstacles. Oakley (1984) identified four obstacles to community participation. The first is structural, which includes the nature of local politics, the policies that guide development activities, the form of government, international politics and international trade. The second is administrative, which is closely related to political obstacles. The third is social, which relates to the community's culture and its mentality of dependence and silence, and the fourth is project design, which is the failure of the project design to incorporate a participation framework.

Owing to these participation obstacles, the application of this theory to facilitate community participation must recognize the prevailing operational environment. Efforts must be made to address the various obstacles that are likely to work against an authentic process of community participation. This, however, is not easy since it might require a long and slow process of social, political and legal transformation. A continuous engagement with the community and other stakeholders is critical in identifying a common ground on which to accentuate an authentic community participation process.

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2.3.1.1 The induced social action model

Social action models are used to aid in visualizing the community participation process. There are several social action models derived from social action theory that can be used to enhance the process of community participation. These include induced social action model and spontaneous social action model (Chitere, 1994). These models help to conceptualize the process of community participation in a more logical and conclusive manner. The induced social action model, which is widely used by outside agents to effect change in communities, best illustrates the stages through which the community undergoes in a comprehensive community participation process. Chitere (1994) outlines eight stages in the induced social action model. The first stage is exploratory, which entails assessing and familiarization with the local situation. The second is organization, which is formation of the initial action group, while the third stage is discussion, which entails community-wide discussions on priority needs. The fourth stage is group decision-making, which is deciding on the community action plan. The fifth stage is planning for social action, which entails working out details of the community action plan, while the sixth is action stage, which is implementing the action plan. The seventh stage is evaluation, which entails taking stock of the action plan, while the eighth stage is subsequent action, which relates to replication and scale-up.

This model fits in the process of community participation. However, its application depends on the level of development awareness of the respective community. Communities with high levels of social awareness may merge some stages while those with little awareness would undergo the whole process. The ultimate purpose of this process is community empowerment. It is important that clear goals and objectives are set right from the beginning

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so that the role of the community is well defined in each stage so as to achieve high levels of community ownership and sustainability of the development initiative.

2.3.2 Community mobilization theory

This theory states that community mobilization builds confidence, and that when communities start believing in themselves, they become inspired to act (Howard-Grabman and Snetro, 2003). This theory has been used widely in different development contexts by many international development organizations around the world, including Save the Children (Gosling and Edwards, 2003).

The ultimate outcome of genuine community participation is the confidence and empowerment that results in the process. Through community mobilization, the community continues to better understand its strengths and collectively charts its development path so as to improve its standard of living. This is in agreement with the goal and purpose of community participation. As is the case with community participation, community mobilization is a slow process which in some instances may require considerable time to achieve its intended outcome.

Community mobilization develops and strengthens underlying capacities of communities to identify and solve their development problems. Howard-Grabman and Snetro, (2003) listed five capacity-building dividends. The first dividend is when communities have generated and contributed additional resources while the second is when communities have learned how to apply political pressure to improve services. The third dividend is when empowering approaches have strengthened community members' ability to address the underlying causes

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of development problems. The fourth dividend is when community mobilization has helped to facilitate changes in social strategies, structures and norms to increase access to information and services for those who need them most. The fifth dividend is when community mobilization has increased community members' awareness of their right to decent treatment and has strengthened their ability to claim this right.

A critical analysis of the benefits and advantages of community mobilization and community participation reveals that they are closely related. This therefore means the two processes are not at cross-purposes, but rather synergetic in nature and share the same purpose. It is also critical to note that community mobilization is appropriate in the same situations or circumstances as community participation. According to Howard-Grabman and Snetro (2003), these situations are; firstly, when there is commitment and ample time to work with communities, and secondly, when systemic changes are needed at the community level. Thirdly, when sustained community support is needed; fourthly, when the settings are diverse and local solutions are required and fifthly, when community resources are needed.

2.3.2.1 Community action model

Community action models are used to guide community mobilization process. There are numerous community action models derived from community action theory that are used to facilitate the process of community mobilization as a form of achieving social change. These models are also used to enhance and improve the process of community participation. The Community Action Model, also referred to as Community Action Plan is defined is a process of public and private dialogue through which people define who they are, what they want, and how they can get it (Howard-Grabman and Snetro, 2003).

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This model is premised on five underlying principles, which also hold true for community participation. The first principle states that sustainability of social change is more likely if those affected most own the process. The second principle states that communities should be agents of their own change, while the third states that emphasis should shift to support for dialogue, debate and negotiation on issues that resonate with members of the community. The fourth principle states that communication for social change should be empowering and horizontal, with a bias to local content and ownership. The fifth and last underlying principle states that emphasis on outcomes should focus on social norms, policies, culture, and the supporting environment.

This model outlines seven phases. The first phase is preparing to mobilize. This entails laying the ground, assessing and familiarizing with the situation. The second phase is organizing the community for action. This refers to orienting the community and assembling the core group. The third phase is exploring the development issue and priorities. This entails gathering information, analyzing and deciding on priorities. The fourth phase is planning together. This refers to working out the details of the implementation plan. The fifth phase is acting together. This refers to implementing the action plan. The sixth stage is evaluating together. This entails taking stock of the action plan. The seventh and last phase is preparing to scale up. This refers to scaling up and replication.

This model, while outlining the major phases in community mobilization, relates closely with the induced social action model, both of which are community participation processes. The model seeks and requires the participation of the community at each and every phase. The process is incremental in nature such that the succeeding phase requires higher degree of

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participation than the preceding one as the process continues. The community interactions and capacity development that goes on progressively from one phase to the other enhances community empowerment and development ownership. This is in concurrence with community participation processes that ultimately result in the same outcomes.

These two theories underpin the basis for community participation and broadly outline the process of community participation in development projects and programs. While the practice and application of community participation may slightly differ from community to community depending on their level of development awareness, the theories hold true. With the aid of these theories and models derived from them, gaps in the community participation process can be identified and corrective measures taken to enhance community empowerment.

2.4 Conceptual framework

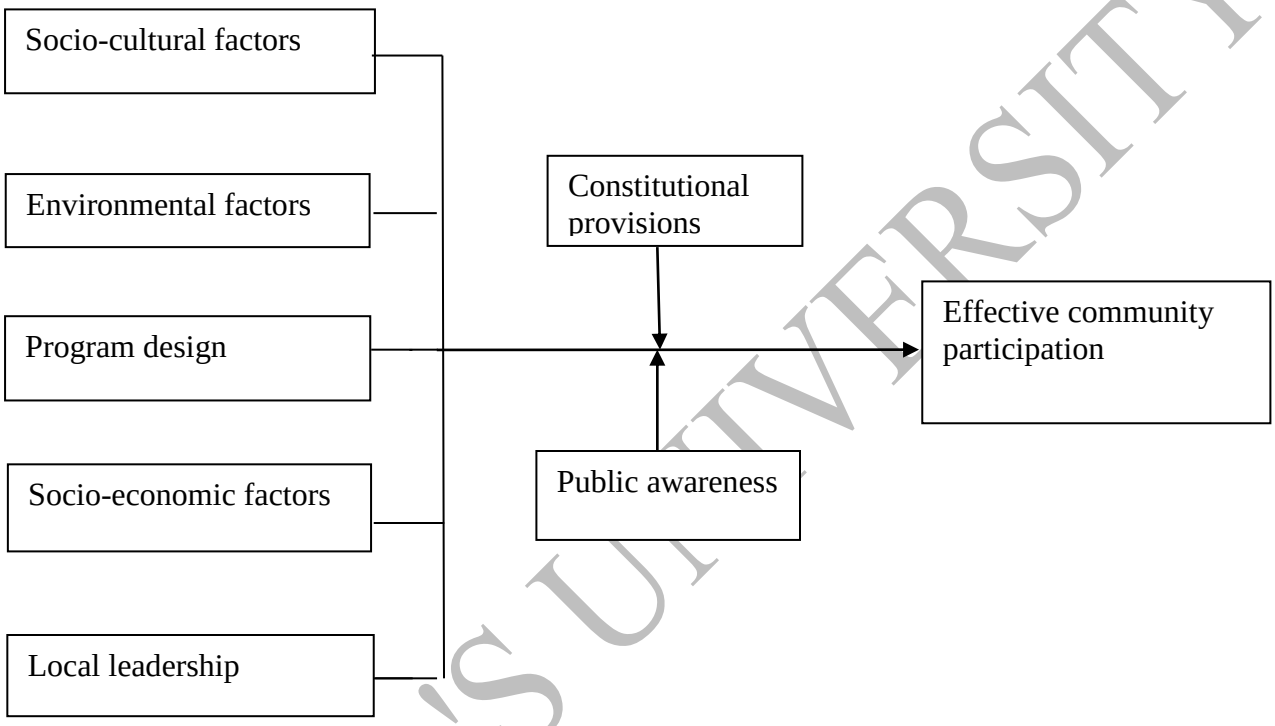
The conceptual framework of this study is derived from the CDF Act (2013), review of community participation theories, models and related literature. The factors that influence community participation identified include: socio-cultural factors, political factors, program design, socio-economic and leadership.

These factors form the independent variables of this study while extraneous variables are constitutional provisions and public awareness from formal and informal media. Effective community participation is achieved when conscious effort is made to make independent variables favorable to support community participation processes. This is further enhanced

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by the peoples' consciousness of the prevailing public awareness and constitutional provisions on their participation in development.

Figure 2.1: Conceptual framework



Source: Adapted from CDF Act and literature review

2.5 Conclusion

This chapter has presented extensive analysis of literature review on community participation in development projects and programs. It was noted that effective community participation in development is critical but also appreciated its challenges. It was positively observed that development projects and programs that embrace community participation have a greater impact on the community and more sustainable. It was thus observed that there was need for a conscious effort by development planners to integrate community participation provisions in development projects' and programs' designs.

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CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter describes the research design, the research area and data collection methods and tools.

3.2 Research design

The study adopted a case study research design with elements of evaluative study design. The case study design enabled the researcher to study in depth the practice and application of community participation in the CDF project cycle. This allowed an evaluation of community participation in the entire project cycle, including identification of gaps that hindered it and how this could be improved in future. According to Kombo and Trump (2006:72), a case study seeks to describe a unit in detail, in context and holistically. The case study method was particularly appropriate for this research because it allows in-depth discussions on specific issues of importance being studied.

The study used both primary and secondary data. The primary data was collected using focus group discussion checklists while secondary data was obtained from the CDF Act 2002, CDF Act 2007, CDF Act 2013, relevant books, journals and the internet.

3.3 Research area

The research area was Dagoretti South constituency in Nairobi County. The constituency was curved off from the old Dagoretti Constituency in 2012 and is one of the 17 constituencies in

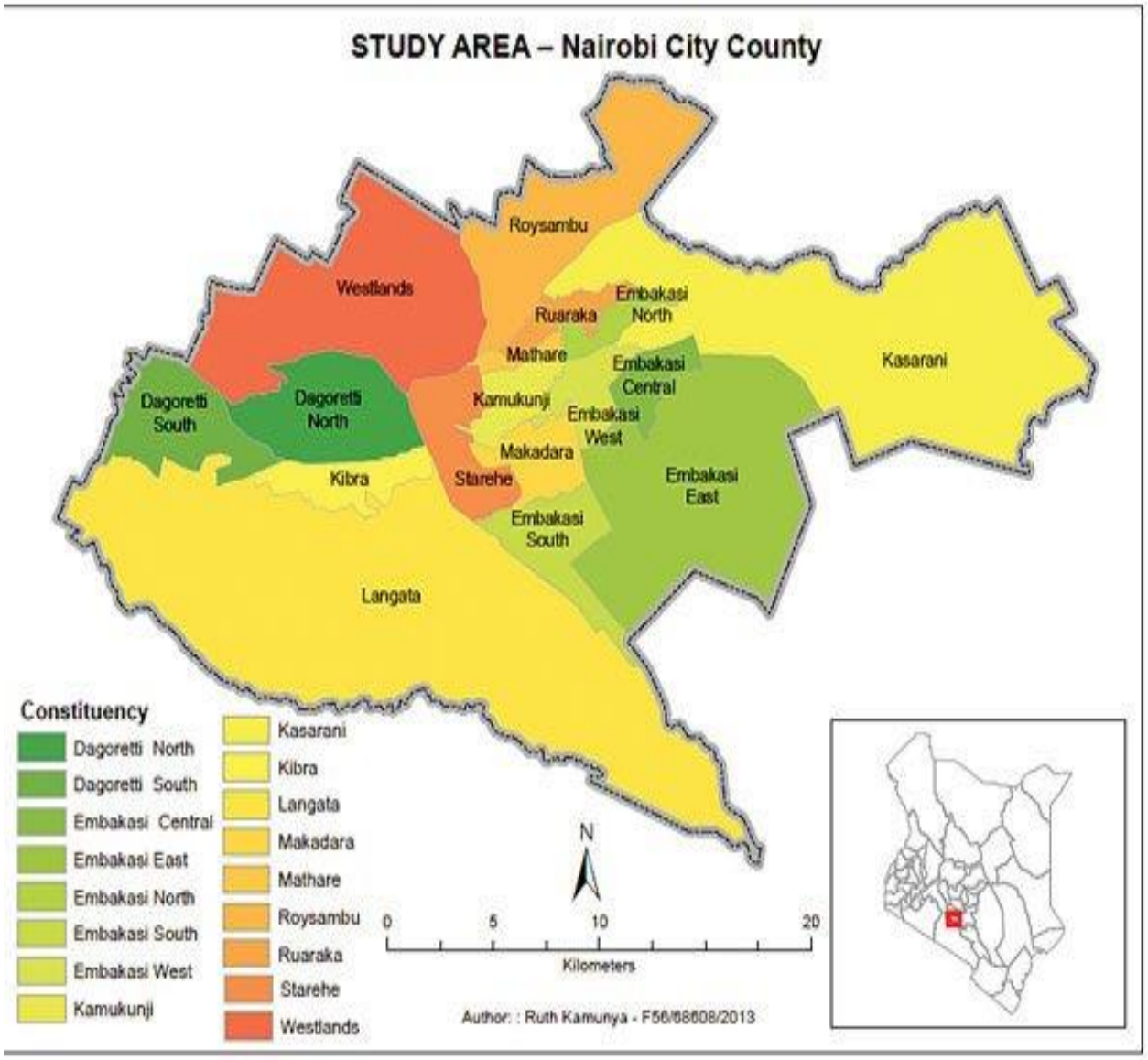
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Nairobi County. The county covers an area of 694.85 Km^2, of which the constituency covers 25.30 Km^2 with a population of 178,691 people and situated in the southern part of the county (Infotrack East Africa, 2013). The constituency's population comprises of both urban and rural settings with majority of the population engaging in small scale agricultural activities, jua kali, and real estate business.

The constituency was purposively sampled because of its rich ethnic diversity and a mix of rural and urban types of residence. The study was therefore highly likely to elicit findings that would be applicable to both rural and urban constituencies and thus inform the impediments of community participation in the CDF project cycle in both rural and urban contexts in Kenya. The findings of this study would be used to improve community participation in the implementation of CDF projects. The findings would also be used to develop a community participation framework to guide the process of community participation in the CDF project cycle and thus improve accountability, transparency and sustainability of CDF projects in the country.

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Figure 3.1 Map of Nairobi County showing its 17 parliamentary constituencies



Source: http://www.mediamaxnetwork.co.ke/news/305712/jubilee-nasa-life-death-combat-city/
accessed on 30/05/2017.

3.4 Target population

The target population of the study was Ward Development Committee (WDC) members in the constituency. The Ward Development Committee (WDC) is the body tasked by the CDF Act (2013) to constitute the Constituency Development Fund Committee (CDFC) and to

facilitate identification of community-based projects for funding by CDF. There were five ward development committees in the constituency. Each WDC is made up of five members. In total there were 25 WDC members in the constituency. The researcher also interviewed two Key Informants to triangulate information gathered from FGDs. These were Waithaka MCA and the Sub-County Administrator for the constituency.

3.5 Sampling technique

The study used non-probability sampling design. The purposive sampling method was used to select the study participants. Purposive sampling allows for selection of respondents who are believed to be knowledgeable and reliable for the study. In total there are five WDCs in the constituency. Two wards, Ruthimitu/Uthiru and Mutuini, had significant rural characteristics while the other three; namely, Ngando, Ruruta and Waithaka had more pronounced urban attributes. For the two wards with significant rural characteristics, Mutuini WDC was selected purposively because it had two of its members in the Constituency Development Fund Committee (CDFC). CDFC is a constituency level organ that oversees and coordinates all CDF activities in the constituency. In addition, Ruthimitu/Uthiru WDC had initially participated in the pre-test exercise. For the three wards with more pronounced urban attributes, Riruta and Ngando were purposively selected because majority of the WDC members were non Kikuyus, the predominant ethnic tribe in the constituency. With rich mix of ethnic representation, the two WDCs were expected to generate rich information about impediments of genuine community participation in the CDF project cycle and inherent gaps therein.

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3.6 Sample size

The constituency had five WDCs, each comprising five members, hence a total of 25 members. The target population for this study was therefore 25 WDC members. Three wards; Ngando, Mutuini and Riruta were purposively selected. Each of the wards selected had five WDC members. This made the sample size to be 15 respondents.

This was a well balanced and purposively selected sample representative of the whole constituency which was adequate for descriptive studies.

3.7 Data collection tools and procedures

The study employed two data collection methods. These were focus group discussion and key informant interview. The aim was to comprehensively cover the study objectives and adequately answer the study questions.

3.7.1 Focus group discussion

As a data collection method, a focus group is a special type of group in terms of purpose, size, composition and procedures. It is comprised of individuals who share certain characteristics which are relevant for the study and the discussion is carefully planned so as to obtain information on participants' beliefs, opinions and perceptions on defined themes. According to Kombo and Tromp (2006), topics to be discussed are decided beforehand, the predetermined checklist contains open-ended questions and the focus relies on discussion among participants about the topics presented. The researcher deemed this tool as the most effective to gather relevant data about community participation in the CDF project cycle among the WDC members.

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Three focus group discussions were conducted. The respondents were drawn from the three wards that were purposefully selected. The participants were members of WDC from Mutuini, Ngando and Riruta wards. All FGD sessions were guided by an FGD checklist moderated by the researcher while a research assistant took notes.

The first FGD was held on 04/09/2015 at Ngando Chief's camp. The group consisted of 5 WDC members, one ward bursary committee member and the Chief, Ngando Location. In total there were seven participants that included five men and two women. The Mutuini ward FGD was held on 23/09/2015 at Mutuini Disability Rehabilitation Centre. The total number of participants was six and included four men and two women. One of the participants was a Project Management Committee (PMC) member overseeing the on-going rehabilitation of roads in the ward. The third was Riruta Ward FGD and was held on 26/09/2015 at Dagoretti Empowerment Center. The total participants were six and included three men and three women. One of the participants was a representative of people with disability in the ward.

3.7.2 Key informant interview

This method was employed to enrich information gathered from focus group discussions. According to LoBiondo-Wood and Haber (1990), interviews allow for richer and more complex data to be collected. This tool is administered to a person(s) thought to have in-depth knowledge about the topics presented and allows probing to gather more information.

Two key informant interviews were conducted. One of the respondents was the Sub-County Administrator who was selected purposively as the head of devolved government in the

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constituency. The other respondent was a Member of County Assembly (MCA) who was randomly selected to represent other MCAs in the Sub-County.

The first key informant interview was conducted on 16/11/2015 and the respondent was the MCA for Waithaka Ward. The interview was conducted in his Ward office at Waithaka D.Os Camp. The second key informant interview was conducted on 16/11/2015 and the respondent was Sub-County Administrator, Dagoretti South. The interview was conducted in her office at Waithaka D.Os Camp. The two interviews were done on the same day because the respondents had given the same date to the researcher.

3.8 Validity and reliability of the research instruments

The ability of research study to be useful depends on its reliability and validity. The research results must, not only be relevant to the study, but also correct (Mugenda and Mugenda, 2003). This informed the need to pre-test the data collection tools .0before the actual data collection exercise.

3.8.1 Validity

Measures to ensure validity of this study was carefully observed. The data collection instruments were pre-tested before the actual study was carried out to ensure they were correct and specific to the information that was being sought. The research assistant was trained so that he clearly understood the data collection instrument and the objectives of the study. This was intended to minimize misinterpretation of the tool and to increase the accuracy of the study.

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3.8.2 Reliability

The concept of reliability in research refers to the consistency of obtaining the same results over time by use of the same study instruments. Mugenda and Mugenda (2003:95) saw reliability as a measure of the degree to which a research instrument yields consistent results or data after repeated trials. Kombo and Tromp (2006:97) observed that reliability is a measure of how consistent the results from a test are. According to Fisher and Foreit (2002:45), reliability refers to the consistency, stability, dependability of the data.

To ensure reliability, a pre-test of the research tool was done before the actual data collection. In addition, the instrument was reviewed and adjustments made to make the checklist simple and short.

3.9 Data analysis and presentation

The data collected from the field was organized and categorized in major themes as per the data collection tools through coding. The organization and categorization of the data by coding was aimed to systematically establish patterns, trends and relationships from the information collected. This process enabled the data to be broken down into specific patterns and trends, simplifying it for analysis. This was followed by evaluating and summarizing the responses in each theme and category to come up with findings and conclusions through content analysis.

3.10 Ethical considerations

The researcher ensured that ethical considerations related to this study were observed. The purpose of data collection was clearly explained to the respondents before the exercise began

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to obtain their consent. The privacy and confidentiality of information collected was strictly upheld for the purposes of this study. Anonymity of respondents was observed and only allowed after their consent. The venues where focus group discussions and key informant interviews were carried out were chosen mutually by the respondents. This arrangement ensured incidents of physical or psychological harm were minimized or eliminated altogether.

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CHAPTER FOUR

DATA FINDINGS AND DISCUSSIONS

4.1 Introduction

This chapter presents data analysis, findings and discussions. The general objective of this study was to analyse community participation in the CDF project cycle. Projects where community is involved in the entire project cycle have been shown to be more successful and sustainable.

The data collected for this study was qualitative and was collected by use of Focus Group Discussion as the main tool where three FGD sessions were held. The FGD participants comprised of twelve males and seven females. The qualitative data was analyzed using content analysis where coding was done to group discussion items and put into categories that brought together similar ideas, concepts and themes.

4.2 Composition and demographic characteristics of WDC participants

In total 19 WDC members participated in three FGD sessions in three wards. They comprised of seven Female and twelve Male. Each ward elects five WDC members as provided by the Act, considering gender, youth and special groups in the ward. The WDC members in turn elect seven members among themselves to form the CDFC, which is the constituency level body in charge of all CDF projects. The Act provides that CDFC shall comprise of three men and three women, one of which shall be youth from each category at the time of nomination and one nominee to represent the disabled. Active NGOs and other

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development actors in the constituency are also required to nominate one representative to the CDFC.

All of the WDC members participating in the FGDs had reached Form IV level of education. Seven were youth engaged in community-based activities in their localities with no gainful employment. Two of them were attending tertiary colleges through CDF bursaries. The rest were men and women who were engaged in small private businesses although they also participated in community-based activities for a considerable part of their time in their localities and in the constituency in general.

4.3 Examining provisions for community participation and gender mainstreaming in the CDF Act.

The CDF Act (2013) has clear provisions that entrench community participation in the CDF project cycle. The researcher set out to find out if the focus groups and key informants understood these provisions and if they could enumerate just a few.

4.3.1. Understanding of community participation and gender mainstreaming provisions in the Act.

All focus group participants demonstrated varying understanding of the CDF Act. Most of the participants knew of the existence of the CDF Act but were not able to enumerate any provision that promotes community participation in the implementation of CDF projects. All participants agreed there was a gender specific provision because the elections of the WDCs had to conform to it. However, few participants reported to have seen and read the Act, though none of them had read it in full. The few who had seen and read it, though not the whole document and enumerated few provisions, were WDC members who had been

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appointed to the CDFC at the constituency level. However, they all shared the view that efforts should be made from the CDF office at the constituency to sensitize them on the CDF Act. One participant wondered, “How are we supposed to oversee implementation of an Act that we do not understand clearly?” They were also in agreement that projects funded by the Act must be those projects which have a greater positive impact on the community. Their collective view was well captured by the Act as it provides that all projects funded under it shall be community based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area.

4.3.2 Facilitating accessibility of the CDF Act to WDC members

All focus group participants knew there was a CDF Act but admitted neither of them had read the whole document. Few of them, admitted neither to have read it nor seen it though they had knowledge that it existed. Those who had seen and read the Act, though not the whole document were members of the CDFC, who had been nominated from the WDCs. They said they had seen the CDF Act copy at the CDF office. There were no copies given to WDC or CDFC members even though they were directly responsible for CDF activities in the constituency. While they noted that the CDF Act was slightly bulky, the CDF board did not have summarized or short versions for use by the WDC and CDFC members. One member said, “We need a summarized copy of the Act which all of us can refer to.” This contributed in part to the failure by the WDC members to have adequate knowledge on the community participation provisions of the Act.

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4.3.3 Efforts to enlighten WDC members on the CDF Act

All FGD participants reported there were no efforts made by the CDF office to enlighten WDC and CDFC members on the provisions of the CDF Act. This explains the limited knowledge of the CDF Act provisions among the WDC and CDFC members. This could be attributed to lack of freely available CDF Act copies or summarized versions for easy reference. In addition, the participants reported that there were no sensitization sessions or meetings that were organized for the sole purpose of enlightening WDC and CDFC members on the CDF Act. 'I think they do not want to us to know the contents of the Act', one member said.

It is important to note that the capacity of WDC and CDFC members was greatly compromised by the failure of the CDF office to make conscious effort to sensitize them on the contents of the CDF Act. This could have been mitigated by organizing sensitization meetings for WDC and CDFC members spearheaded by the CDF office and the area MP. This, however, was not done yet it was critical for the members to understand the Act so as to enable them play their role effectively. This state of affairs limited their level of understanding of key provisions that entrenched community participation in the CDF project cycle. This further limited their influence in deliberating and making decisions regarding CDF projects. This gave the area MP control over CDF affairs since the Fund Account Manager, as a public officer, is a neutral party. A case in point was the appointment of the CDFC Chairperson by the MP, who was not a member of the WDC, which was a clear contravention of the CDF Act.

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4.3.4 Understanding of community participation as provided for in the CDF Act

Most of the FGD participants did not demonstrate a clear understanding of the key provisions of the Act that anchored community participation in the CDF project cycle. However, it was noted that there was overwhelming appreciation among the participants that CDF projects must involve the local community and that the projects must benefit a wider cross section of the community. This was from their informed view that the funds were set aside to address the development needs of the constituency. This notwithstanding, the processes of community participation in the CDF project cycle was not clearly understood partly because the majority had not read CDF Act and also due to the fact that no awareness meetings were conducted either by the area MP or by the CDF office for the same.

It was further noted the application of the provisions of the Act that promote community participation on the ground was hampered by the fact that CDF office did not make any effort to sensitize WDC members on the Act. In particular, the WDC members who did not get appointed to the CDFC were completely left out on all matters relating to CDF in the constituency because those who joined the CDFC assumed full responsibility of the CDF activities at the constituency level. One WDC member wondered in frustration, "If we are not engaged in CDF projects in our wards, why were we elected in the first place?"

As communities' duly elected representatives in the wards, WDC members were key players in all development matters relating to CDF in the constituency. However, no reference was made to WDC by the CDFC, leaving it only to exist in records. The CDFC, on the other hand, assumed all the responsibilities of the WDC in the constituency, in the process making

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the WDC irrelevant. The only aspect of development they were involved in was the bursary component that required community-based vetting to identify genuine needy cases. This was done through committees that also comprised of the Ward Administrator, Chief of the Location and other local leaders. It was established that the bursary component, which had stringent processes, was the most transparent development activity of all development projects of CDF. This is because there was full participation of the community represented by a wide cross-section of leaders in the wards.

As the discussions established, the majority of the WDC members exhibited poor understanding of the provisions of the Act that buttressed community participation in the CDF project cycle. This meant there was no structured initiative of sensitizing WDC members on the CDF Act by the CDF office and the area MP. The office also failed to avail the CDF Act or its summarized version to them. This, it was noted, greatly hampered their critical role of ensuring that CDF projects conformed to the provisions of community participation as laid out the CDF act.

It is critical for any game's success that the players know the rules of the game. This was not made to apply to the WDC members, which incapacitated them in performing their role since they did not keep abreast with the CDF Act. This partly explained their limited role in influencing decisions relating to the CDF projects.

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4.3.5 Effectiveness of provisions promoting community participation

The CDF Act provisions that promote community participation can only be effective if they are adequate, clearly understood by the community, or at least by their representatives at the CDF office. While the provisions appear adequate, there are gaps that require the CDF office and the area MP to initiate conscious and structured engagement with the WDC and CDFC members so as to institutionalize community participation in the CDF project cycle. Some of the gaps include; failure by the Act to provide clear roles for the WDC members, failure by the Act to provide for a formal relationship between the WDC and CDFC members and failure by the Act to provide for formal induction of the WDC and CDFC members by the CDF constituency office upon their election and nomination respectively.

Table 4.1 Key provisions promoting community participation in the CDF Act

Part IV	Part VI
Section 22(1, 8-11)	Section 31(1-3)
Section 23(3-4)	Section 33
Section 24(1-2b-e,3a-c, 6-7)	Section 35(1-2)

While these provisions were not comprehensive so as to cover every aspect of community participation in the CDF project cycle, the researcher appreciated that they were adequate. A structured awareness forum for WDC members could have helped to equip them with knowledge and expectations of the relevant provisions. This would have enabled them to play their rightful role in all matters related to CDF projects from a legal point of view. However, the discussions established that the relevance of WDCs ended after they were elected. A critical analysis of section 24, sub-section (1-2b-e) and sub-section (3a-c) revealed

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a glaring contradiction. Section 24, sub-section (1) provides for the formation of CDFC. CDFC is formed by WDCs as provided by the Act in sub-section (2b-e) where three men nominated by the WDCs and one of whom shall be a youth at the date of appointment, three women nominated by the WDCs and one of whom shall be a youth at the date of appointment, one person with disability nominated by the WDCs and one person nominated among the active Non-Governmental Organizations in the constituency.

The procedure for constituting WDC is outlined in section 24, sub-section 3(a-b). The area MP within forty-five days of being sworn in shall convene open public meetings of registered voters in each of the elective wards in the constituency. Each ward shall then elect five persons whose names shall be forwarded to the officer of the Board in the constituency.

At this point, it is clear that WDCs are formed after its members have been elected through duly convened public meetings convened by the area MP. This means that WDCs are legal structures at the ward level mandated to coordinate and supervise CDF development activities. It is also critical to note that members of CDFC are nominated by WDC members from within WDCs as provided for in section 24, sub-section (2b-e)

It is therefore implied that during the formation of CDFC, which is a representative constituency level CDF structure, all WDC members in the constituency would converge and nominate the CDFC members. The Act however does not indicate who should facilitate the forum for nomination of CDFC members but the area MP in conjunction with the CDF office is directly responsible.

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While it makes legal sense to have a constituency wide WDC meeting for the purpose of nominating members of the CDFC, this is not provided for in the Act. All the same, the Act provides that the area MP, upon receiving the names of elected WDC members, in consultation with the officer of the board and the Sub-County Administrator shall appoint eight persons as members of the CDFC.

It is worth noting that provisions in section 24, sub-section 2(b-e) attempted to vest the power to form CDFC directly in the members of WDC in the constituency. A CDFC formed directly by WDC would directly be responsible and accountable to the WDCs in the wards. A provision where WDC members would periodically receive CDF progress reports, updates and directly receive feedback on CDF projects would make CDFC members more committed and accountable. However, provisions in section 24, sub-section 3(c) completely waters down any gains that could have been made in regard to representation and accountability. With the framework of appointment provided ambiguous, the area MP is allowed to pick his or her cronies or manipulate the appointees since the opportunity to serve in the CDFC will be seen as a personal favour.

This is what has killed WDCs yet it is a critical structure of the CDF at the grassroots. The CDFC members have detached themselves from WDCs since they are serving in the CDFC at the favour of the area local MP. As such, they have lost focus of representation and values of accountability and transparency. As the epicentre of CDF activities, the CDFC has paralyzed the practicability of community participation in the CDF project cycle by ensuring that it solely prescribes the role of the community as opposed to facilitating the process.

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4.3.6 Applicability of the community participation provisions in the CDF project cycle

All FGD participants were in agreement that they were willing to apply provisions of the Act that promote community participation in the CDF project cycle. They all felt that since CDF was a devolved fund to support community-based projects, it was paramount that communities participate in the implementation of all CDF projects. However, WDC members felt sidelined from influencing and making decisions relating to CDF projects, since this role had been assumed by their colleagues who got nominated to the CDFC. This was further compounded by the fact that all WDC members, apart from their colleagues who joined the CDFC, had limited understanding of the key provisions of the Act. The disconnection of WDC from CDFC only made the situation worse since CDFC conducted their affairs without consulting their colleagues in the WDC who operated in the grassroots. This had created differences between the two organs with the CDFC displaying vested interests in proposed projects as dictated by the area MP who is an ex-officio member of CDFC and also the de-facto appointing authority of the CDFC. As such, the CDFC structure has ceased to represent the legitimate development interests of the constituents. A case in point was the appointment of the CDFC chairperson by the area MP, who it was established was not even a WDC member. This was a single incident that explains under whose terms the CDFC serves.

4.3.7 Mitigation for failure to apply the provisions

All FGD participants were willing to apply community participation provisions of the Act in the CDF project cycle since they were in charge of CDF projects on the ground. However, a lacuna in the Act gave CDFC members more power and influence in the management of

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CDF projects in the constituency, yet they were mere appointees of the area MP while WDC members were duly elected by the public in their respective wards.

It was clear from the FGD participants that community participation was critical so as to ensure accountability, transparency, empowerment, ownership, sustainability and other benefits associated with it. However, the paralysis of the WDCs and the emasculation of the CDFC meant at best community participation in the CDF project cycle was not a requirement. The CDF Act ensured by design that all CDF projects must remain under the control of the area MP. As such, there was not much redress from this state of affairs. The Act does not provide for remedy in situations where the community participation provisions were not adhered to because the Act itself was ambiguous. This coupled with low knowledge levels of the Act on the part of WDC and CDFC members only played well into the political machinations of the area local MP. On the contrary, community participation is a best practice that should be embraced by all development actors if genuine and sustainable development is to be achieved.

4.4 Performance of WDC and CDF in the CDF project cycle

The WDC and CDFC are the legal bodies that the CDF Act has created with the mandate of facilitating, supervising, managing and coordinating CDF projects in the constituency. WDC is a ward level body while the CDFC is the constituency level body. The participation of the community in the CDF project cycle depends on the relationship of these two bodies. As such, their role and collaboration at each specific phase is critical and determines how the community is involved in the entire project cycle.

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4.4.1 Involvement of the community in the CDF project cycle

Community participation in CDF projects is facilitated by the WDC and CDFC. However, the participants said that only few of them were involved in some phases of the project and in this case passively. The role of WDC and CDFC in community participation in the CDF projects is critical because their relationship determines the level of community participation in the CDF project cycle. "The WDC and CDFC members do not work together and therefore, we cannot facilitate effective community participation in the project cycle," one WDC member commented. With CDFC working unilaterally without consulting WDCs in the grassroots, it was noted that throughout the project cycle, the community was not involved, and even when it was, the involvement was minimal and passive.

In community-based projects such as the CDF projects, the community is required to participate in the implementation of the entire project cycle. This way, the projects would benefit from the inputs generated by the community to make them to better respond to their needs. This scenario is a result of the Act's failure to provide for the relationship between the WDC and the CDFC intended to facilitate community participation in the entire CDF project cycle. Such a formal provision would guide community participation process so as to ensure that project implementation conformed to the general aim of the CDF Act. A formal and simple community participation structure in the Act would be of great importance in streamlining the community participation in the entire CDF project cycle. In the absence of a formal community participation framework, it was left to the CDFC under the CDF Account Fund Manager to informally manage the community participation process.

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4.4.2 Means of community involvement in the CDF Act

The CDF Act provides for community involvement in CDF projects. Section 22(1) particularly states that projects under the Act shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area. The various means of community involvement as provided by the Act include section 24(3a-d) that relates to community-based election of WADs, section 24(1-2) that relates to the formation of CDFC, and section 24(6-7) that relates to community-based project identification and prioritization. The others are section 35(1) that relates to funding projects already initiated by the community, section 31(1) that relates to the implementation of all projects by the PMCs, and section 31(3) that relates to project monitoring by the CDFC and other designated entities such as WDCs and PMCs, among others. From the Act provisions, and in relation to the CDF project cycle, the community's means of involvement are in the elections of WDCs, nomination of CDFC, appointment of PMCs, project identification, project implementation, project monitoring and evaluation and project hand over, among others.

Among all these provisions, the participants were in agreement that the only provision of the Act that the community fully participated in was in the elections of the WDCs. The community only minimally and passively participated in all other CDF Act provisions because of the lack of working relationship between the WDC and the CDFC. The CDFC, the body that was constituted by few members nominated from the WDCs unilaterally ran the affairs of all CDF projects without a formal relationship with the WDCs on the ground. This made the involvement of the community in the CDF project cycle difficult because there was

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no structure to facilitate their participation. As established earlier, CDFC did not have a legal relationship with the WDC, which operated at the ward level. Being the body in charge of all CDF activities in the constituency, CDFC discharged its mandate without reference and consultation with the WDC. As such, the only WDC members who were privy to the goings on in the CDFC were those who had been nominated to it. However, their allegiance was inclined more to the area MP than to the community even though it was the community interests they were representing. This greatly compromised community participation in the entire CDF project cycle.

4.4.3. Performance of WDC and the community in the CDF project cycle

The CDF Act provides for the creation of WDC and the procedure for its formation as the grassroots body for the purposes of CDF activities. However, the Act does not explicitly provide for its functions. As an elected body under the Act, it is assumed to be in charge CDF activities in the ward, and therefore responsible for community participation in the CDF projects at the ward level.

As it was noted earlier, the only activity that the community fully participated was in the election of the WDCs. It is worth noting that election for WDC is a preparatory activity to pave way for community participation in the CDF project cycle at the ward level. Only few members of the WDCs said there was passive and minimal involvement of the community in the CDF project cycle. This means WDC performance in the project cycle was also minimal. The few that said there was minimal performance, it worth noting, refers to the WDC members who were nominated to the CDFC and therefore this does not mean that there was active involvement of the WDC in the CDF project cycle. According to the Act, election of

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the WDC is a preparatory stage before project identification phase. The elections of WDCs are clearly provided for by the Act and remain the only provision that clearly outlines the process of community participation in the formation of WDCs. In the CDF project cycle, this is the only provision that was fully complied with.

After the elections and constitution of WDC, it was expected that it would be the body that would be coordinating and supervising CDF activities in the wards. The body would also guide community participation process in the project cycle. However, this role was only implied because no reference is found in the Act about WDCs in relation to coordinating and supervising CDF projects in the wards. It is assumed that they were legally elected to spearhead the CDF agenda at the ward level as people's representatives. However, this function was taken over by CDFC in complete disregard of the spirit of the CDF Act. As such, the WDC remained without any role in the implementation of CDF projects throughout the project cycle. This not only compromised community participation in the CDF project cycle, but also made no sense on why the Act created WDCs in the first place.

4.4.4 The performance of CDFC and the community in the CDF project cycle

The CDFC is the executive body that manages and coordinates all CDF projects as provided for by the Act. It is pivotal in spearheading the CDF agenda in the constituency. The Act provides for creation of CDFC and spells out its mandate in regard to CDF projects. For harmonious coordination of CDF projects from the constituency to the ward and vice versa, WDCs and the CDFC must work together. However, the Act does not provide for the role of WDC, which is a legally elected body at the ward, yet it provides for the role of CDFC, which is a body constituted by members nominated from WDCs. It is worth noting the

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CDFC, has used this lacuna in the Act to circumvent WDC so as to run the affairs of CDF in the constituency without involving the community at the ward level.

All participants agreed that CDFC members variously participated in the entire CDF project cycle. However, it was noted that it did not involve WDC and by extension the community. By their nature, CDF projects are community-based and therefore require that the majority of the people are involved throughout the project cycle. This means that WDC and the CDFC are expected to work together to facilitate community participation process. As one participant commented, "The WDC and CDFC members do not work together." Since this does not happen, CDFC has in effect consolidated a lot of power in the execution of CDF projects. In the process, CDFC has violated the letter and spirit of the Act in relation to all provisions that required community involvement in the CDF project cycle. In the absence of a structured community participation framework, it is not possible to ascertain conclusively the extent to which issues relating to projects' value for money, ownership and sustainability as well as accountability and transparency are complied with in project cycle.

4.5 The level of community participation in the CDF project cycle

One of the key provisions of the CDF Act for promoting community participation in the CDF projects is the formation of WDCs. WDCs are grass root structures that are intended to coordinate and supervise CDF projects at the wards.

4.5.1 Community involvement in the formation WDC

All FGD participants were aware of the meetings convened by the area MP for the purpose of electing the WDC members and all attended these meetings in their respective wards. The

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notices and agenda for these public meetings were conveyed to Chiefs' offices, the MCAs and church leaders by the area MP. In some wards, the MP presided over the meetings while in others the Chiefs and the MCAs of the respective wards assisted by officials from the CDF office. The purpose for these meetings, it was made clear, was to elect members of the WDCs so as to legally constitute the WDCs for all wards in the constituency as provided for by the CDF Act.

During these meetings, the community was allowed to freely elect members of the WDCs. Five members from every ward were elected with a clear criterion for gender, youth, disability, minority and religion, among others. Those who were elected had their names forwarded to the CDF Fund Account Manager, who represents the CDF Board in the constituency. Since these were public meetings, the community was fully involved in the process of forming WDCs. This is a critical first step in institutionalization of community participation in the CDF project cycle.

4.5.2 The role of WDC

The role of WDC is not explicitly provided for in the Act. However, the Act provides for its formation as the first tier in the implementation and coordination of the CDF projects. The Act further provides for the formation of CDFC as the constituency level body in charge of management and coordination of all CDF projects. CDFC is formed by members nominated from the WDC.

All FGD participants indicated that they knew their role as the first contact in their respective wards in all matters relating to CDF projects. One WDC member explained, "We are in charge of CDF activities at the ward level because we were elected by the people for that

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purpose." This is because they were elected by the community within the restrictive confines of the provisions of the CDF Act, and therefore their mandate was restricted to CDF activities in the constituency. While their role is not clearly provided for in the Act, the same Act provides clear mandate for their colleagues who are nominated to the CDFC in the constituency. The CDFC is the body charged with the responsibility of managing and coordinating all CDF projects in the constituency. In the spirit of the Act, it is thus implied that WDC members are responsible for supervising and monitoring CDF activities in their respective wards. They are, by extension expected to represent the CDFC at the ward level and thereby be in charge of CDF activities in their respective wards. However, the Act by design has not clearly provided the mandate for WDC, thus rendering them emasculated with a clear intent to make them ineffective. As such they are not facilitated to discharge their responsibilities.

4.5.3 Relationship between WDC and CDFC

The formation of WDC is clearly provided for in section 24(3a-b). However, as a CDF structure, it begins and ends there. The Act does not further provide its mandate even though it provides for its formation. As such, its role as a CDF structure is implicit rather than explicit. This predicament is further compounded by the fact that WDC members who get appointed to the CDFC are completely detached from it. This state of affairs exists because the Act does not provide a legal relationship between the two bodies that it has created. As such, CDFC maintains no relationship whatsoever with WDC, even though it is the body from which they were initially appointed from. Therefore WDCs have remained moribund in relation to CDF projects, even though they are legally elected to coordinate and monitor the same. As a grassroots structure, the disconnection of WDC from CDFC negatively affects

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community participation in the CDF project cycle since it is the body responsible for facilitating the same at the ward level.

4.5.4. Support of WDC to perform its role

As a creation of the CDF Act as a grassroots body ostensibly to coordinate and supervise CDF projects at the ward level, WDC is expected to be facilitated by the CDF office to carry out its implicit mandate. This would enable them to facilitate community participation processes in the various CDF projects implemented in their respective wards.

The participants said that no support was availed to the WDCs to facilitate community participation processes in their wards neither from the CDF office nor from the area MP. “It is an elective post with neither mandate nor recognition,” one WDC member quipped. It was noted that WDCs are not functional as a result of political machinations to emasculate them so that they become irrelevant in the CDF structure. Stronger WDCs would facilitate more inclusive community participation leading to higher expectations of accountability and transparency for all CDF projects. This is further exacerbated by the CDF Act itself which outlines an elaborate framework for WDCs elections but fails to stipulate their functions. While it is implied that they are in charge of CDF activities in their respective wards, they are not facilitated by the CDF office to carry out their rightful mandate. It was clear therefore that they were emasculated with a clear intent to make them ineffective.

A further disadvantage of the WDCs was the relationship between them and the CDFC. It is worth noting that formation of WDCs is clearly provided for in section 24(3a-b). However, as a CDF structure, it begins and ends there. The WDC members who get appointed to the

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CDFC are completely detached from it. As such, they maintain no relationship whatsoever with WDC, even though it is the structure from which they were initially appointed from. This is a clear case of change of allegiance which is partly to blame on the Act's failure to provide a clear mandate for WDCs. Their allegiance shifted from the community to the area MP, who led the process through which they were appointed to the CDFC. This further only helped to disengage the community from the CDF projects and heavily impacted negatively on community participation in the CDF project cycle.

4.5.5 Involvement of WDC and the community in project identification

The process of identifying projects to be funded by CDF is cleared outlined in the CDF Act. The process is quite elaborate, ensuring full involvement of the people. Irrespective of CDF Act provisions, all participants said that they were not involved by the CDF office in project identification. "We only hear or see CDF projects being implemented and wonder how they were identified in the first place," one WDC member said. This is contrary to the Act that creates WDC as the first tier in the CDF project cycle. This is because the implied functions of the WDC were taken over by their colleagues who were nominated amongst themselves to constitute CDFC at the constituency level. As the ward representatives of the CDF office, they are an essential link between the wards and the main CDF office. However, this was not the case yet the Act says the CDF office shall convene open forum public meetings in every ward in the constituency to deliberate on development matters in the ward and in the constituency. As elected WDC members, it is naturally expected that they lead in organizing these meetings.

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The involvement of the community and other stakeholders at large was minimal because all development deliberations were conducted at the CDF office by the CDFC with no structured consultation with either the WDCs or the community and other stakeholders. However, bursary matters in all wards were well structured with ward bursary committees, which is an informal structure inferior to the WDC. This was the only avenue available where WDCs made their contribution in assisting ward bursary committees to identify and vet needy children for the award of CDF bursaries.

4.5.6 Prioritization of projects

All participants said they were completely locked out in the process of project identification at the ward level as provided for in the Act. All matters relating to projects were deliberated at the CDF office by the CDFC. "All WDC members did not know which projects were prioritised for implementation", one WDC member remarked. The CDFC discussed and identified the projects for each ward and further prioritized them without formal consultations with the WDCs. This is in contravention of Section 24(7), which states, "Each ward shall come up with a list of priority projects to be submitted to the CDFC." However, this provision was not adhered to and therefore there were no deliberations on development matters that took place and as such no lists of priority projects were submitted to the CDFC. This was a blatant violation the CDF Act.

In order to circumvent these provisions, it was established in the discussions that the CDFC in some cases took upon itself to solicit priority projects from the wards illegally through Chiefs, MCAs, community leaders and school administrations. These were later fashioned as

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the priority projects for respective wards. This procedure is not provided for in the Act and therefore it infringes the same Act.

4.5.7 Involvement of WDC in project budgeting, tendering and award

The participants said they were not involved in project budgeting, tendering and awards. It was established in the discussions that the budgeting process, tendering and award of the prioritized projects were a preserve of the CDFC. “We only hear such and such project had been budgeted for so much and has been awarded,” one WDC member said. The participants felt that inputs from the WDCs would have guided the CDFC as it carried out the formal budgeting process as a form of promoting transparency and accountability. However, this would have been a challenge because the WDCs did not know which the priority projects were in the first place. As such, the budgeting and tendering process lacked the input of the WDCs as the ward level representatives of the people. It is therefore not possible to tell if the principles of accountability and transparency were upheld in the process and if the public got value for their money.

This state of affairs was attributed to the formation of the CDFC which is spearheaded by the area MP as provided for by the Act. The MP remains an ex-officio member of the CDFC and as such continues to influence its decisions and functions. This explains in part the numerous complaints about funding projects that are not a priority, inflated project budgets, poor project implementation, lack of transparency and accountability among others.

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4.5.8 The role of CDFC in promoting community participation

The CDF Act explicitly vests the power to execute all CDF affairs in the CDFC. It is the body that represents community interests in all matters that relate to the CDF development agenda in the constituency. According to the CDF Act, after WDCs are constituted through elections, few members are nominated to form the CDFC at the constituency level.

All WDC members knew CDFC as an apex CDF body at the constituency level. However, only few had some understanding on its role in promoting community participation in the CDF projects. These WDC members were actually the members of the CDFC at the constituency level. According the Act, CDFC is the key executive body that drives the CDF agenda at the constituency level. Its membership is drawn from the WDCs at the ward level in consideration of the constituency's geographical diversity, communal, religious, social and cultural interests and also gender, youth and representation of persons with disability. The process of constituting it, is however, not community driven. Instead, it is entirely the role of the area MP to steer the process that culminates in the appointment of members to the CDFC from among the WDC members. This is a contradiction because the CDFC as an executive body is meant to be a link between the WDCs community and the CDF office for purposes of driving the constituency development agenda with the financial support that comes from CDF.

4.5.9 Relationship between CDFC, WDC and the community

Both CDFC and WDC are organs created by the Act. WDC is a ward level body elected by the community for purposes CDF projects. CDFC is a constituency level body which is constituted by members nominated from the WDCs and mandated to coordinate and manage all CDF projects in the constituency.

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A good working relationship between these two organs is critical in effectively driving the CDF agenda in the constituency. However, most of the WDC members felt that their relationship with CDFC members was not good. “Actually, I do not know what goes on at the CDF office yet I am a WDC member,” one WDC member said. Only few members of WDC felt that their relationship with CDFC members was fair. For smooth running of all CDF development activities, these two organs must mutually relate to one another. The poor relationship between these two organs also affected the relationship between them and the community at the grassroots. With WDC having poor relationship with CDFC yet it is the body directly in touch with the community at the grassroots, it was obvious that the relationship of CDFC with the community was constrained.

This scenario is not entirely a making of the two organs but the architecture of the Act is also partly to blame. While members of the CDFC were actually members of the WDC, the CDFC as a CDF organ was active with its functions well provided for in the Act. The same Act, on the contrary, did not specify any functions of the WDC, and as such, the WDC as an organ of CDF remained moribund immediately after it was constituted. With the WDC moribund with no clear roles and with the CDFC under the direct control of the area MP, the community effectively lost its link to the CDFC. This effectively meant that the CDFC worked for the political interests of the area MP as opposed to the development needs of the constituents.

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4.5.10 Accountability and transparency of the activities of CDFC

The activities of CDF are required by the Act to be transparent and to uphold accountability. Section 33 states that the officer of the Board in every constituency shall compile and maintain a record showing all receipts, disbursements and actual expenditures on a monthly basis in respect of every project and sub-project under the Act. It further states that the officer shall table such record at a meeting of the CDFC every month and submit a summary of the record for the year to the CDFC not later than thirty days after the end of every financial year.

All FGD participants were in agreement that there was no accountability and transparency in the activities of CDFC. “Who are they accountable to if we do not review the same records as WDC members”, one WDC member quipped. The CDFC did not have a direct relationship with the WDC and by extension with the community. As it was earlier established in the discussions, all WDC members nominated to the CDFC did not clearly understand their role. This is in part because they had not fully read the Act and also the CDF office did not organize structured sensitization sessions on the Act. As such they were incapacitated to discharge their duties as far as accountability and transparency was concerned.

This left the area MP, who is also an ex-officio member of the CDFC to run the show. As the appointing authority, CDFC members pledged their allegiance to the MP and not to the WDCs where they were initially appointed from. They were also under no obligation to meet the WDCs to update them on the progress CDF projects. There is no forum provided by the Act where they should meet the community to update them on the same. As such, the fact

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that the Fund Account Manager reports to them on monthly basis on the status of CDF projects, this has no import on the community because the Act does provide a mechanism to pass the same information for further scrutiny. This therefore creates a lacuna in the Act and jeopardizes transparency and accountability in the management of CDF resources. This in part, explains the plethora of accountability and transparency challenges that have been associated with CDF projects across the country.

4.5.11 Community engagement in the formation of PMCs

The Project Management Committee is the legal structure that is mandated to implement any project that is funded by the CDF. There are as many PMCs as there are CDF projects in the constituency. PMCs are grassroots project implementation structures intended to represent the community by ensuring CDF projects conform to the quality, cost and timelines stipulated by the CDFC.

All WDC members said that there was no involvement or engagement with the WDC and community in the formation of PMCs. "We only see them overseeing a CDF project and wonder how they were elected or nominated," one WDC member said. Section 2 of the CDF Act defines PMC as a, "committee or board of persons elected or nominated to implement a project or manage an institution, including a committee existing prior to the establishment of the fund and which is assuming the responsibility of implementing a project funded under the Act". It is understood that development projects are implemented in the localities where they have been identified and where the needs are. Specific localities for CDF projects are wards in the constituency where WDCs are already constituted for this purpose.

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From the definition in section 2, it is clear that wards under the guidance of the WDCs would play a crucial role in the implementation of CDF projects. However, the mandate to identify, plan, implement, monitor and hand over all projects is skewed and vested in the CDFC and not WDC members who are CDF elected local representatives. As such, the WDC and by extension, the community have no role at all in forming PMCs to be in charge of implementation of CDF projects in the wards. This disenfranchises the community from actively participating in the implementation of CDF projects.

On the contrary, CDFC as opposed to WDCs is the most active executive structure of CDF at the constituency level. It coordinates and manages all CDF related development projects in the entire constituency yet it is prudent that this should be left to the WDCs. It forms PMCs for each and every project to be in charge of the implementation of the specific projects. The formation of PMC does not follow any formal structure. It is left at the discretion of the CDFC to form and streamline the operations of the PMCs so as to deliver their mandate. This leaves out the critical views of the WDC and the community in the wards where these projects are located. This further compromises the capacity of the WDCs, including ward development stakeholders and the community to institute relevant checks and balances to ensure transparency and accountability in the implementation of projects in their respective wards.

4.5.12 Phases of CDF projects

All projects follow a generic project cycle. This ensures good project management practices are upheld and there are high levels of accountability and transparency at every phase.

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The majority of FGD participants were well versed with the CDF project cycle. CDF projects follow a cycle that begins with project identification phase, planning phase, implementation phase, monitoring and evaluation phase and project hand over phase.

Project identification phase entails all processes involved in identifying the project to be implemented. This is spelt out in the Act. Project planning phase involves designing the project to conform to the required specifications, timelines and budget allocation. This role is assumed by the CDFC while the WDC which is on the ground and in touch with the community is overlooked. Project implementation phase entails the actual execution of the project on the ground. This role is vested in the PMC which is appointed by the CDFC. WDC is overlooked in this critical function yet it is the elected CDF body on the ground. Project monitoring and evaluation involves all processes aimed at ensuring the project is implemented according to the specifications, timelines and budget allocated. This function is vested in CDFC and PMC in total disregard of the WDC which is a legal grassroots organ of CDF. The final phase is project hand over which entails all processes that aim at ensuring the completed project is handed over to the community or the beneficiaries.

4.5.13 Involvement of WDC and community in the CDF project cycle

As established in the discussions, most of the participants were well versed with the CDF project cycle which is critical for them because their participation in different phases of the CDF project is dependent on their knowledge on the project cycle. It also makes it easier for them to mobilize different segments of the community as determined by different phases of the project cycle.

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4.5.13.1 Project identification

As regards to involvement of WDC in project identification, only few members reported to have been passively involved since the process was under the control of the CDF Fund Account Manager and the area MP. The few that reported to have been involved were WDC members who had been appointed to the CDFC. It is worth noting that project identification is the most critical phase because the projects that are identified at this stage are the ones that are later funded. The Act provides for community involvement through open forum public meetings in the wards within the first year of a new parliament and at least once every two years thereafter to deliberate on development matters. The projects identified in each ward are to be prioritized and a list of priority projects submitted to the CDFC.

As all CDF development matters had been usurped by CDFC, and WDC relegated, no ward-level meetings did take place as provided for in the Act. Instead the CDFC illegally deliberated on priority projects in the constituency, thus purporting to carry out this function on the behalf of the community at the behest of the area MP. In few cases where they needed an input of the community on the priority projects, the mechanisms were not structured, which left out critical inputs from the key ward development institutions such as WDC, ward administrator, ward MCA and other key development stakeholders in the constituency.

4.5.13.2 Project planning

The planning stage essentially took place after the list of priority projects was submitted to the CDFC at the CDF office. The planning stage entailed preparing project proposals by ensuring the relevant documentation for each project as required by the Act before submitting them to the CDF board. Sections 15 and 16 provide the necessary documents

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required for every project before submission. While this is a crucial phase in the CDF project cycle, only few participants reported to have been passively involved in project planning. These few members, it is worth noting, were WDC members who had been appointed to the CDFC. This, by extension meant that the community was not involved because WDCs were meant to liaise with community at the wards on behalf of the CDFC. As such, the entire process of project planning including preparation of proposals and budgeting were a preserve of few CDFC members with the technical assistance of the Fund Account Manager. This process sidelined the WDC and the community and therefore did not benefit from inputs that would have come from the WDC and the community at large.

4.5.13.3 Project implementation

As regards to project implementation, the involvement of WDC was passive with only few members reporting to have been engaged. As noted in the composition of the CDFC, the few were attributed to the WDC participants who were members of the CDFC.

The implementation stage begins when the funds for the approved projects are released by the CDF board. This stage entails putting in place processes that ensure that the project is implemented as per specifications, timelines and budget. It also involves mobilizing the community in respective wards where the projects are being implemented. The formation of PMC in charge of implementing the project is another important component of implementation. This stage is critical because it delivers the final product or service and results in the creation of the desired outcome and the resultant long term impact.

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As established earlier, only few WDC members were passively involved and with no direct engagement with the community, community participation was normally compromised at this stage. The participants reported that apart from the annual bursary projects where community participation is well structured through ward bursary committees, all other projects did not involve the community either directly or through the legally elected WDCs. The formation of the PMCs, which are directly charged with the responsibility of managing CDF projects did not have community participation component, thus lacking the input of the community from which the projects were located. Instead, it was established that the CDFC formed the PMCs in an unstructured manner in complete disregard of the community input. While this was an illegal practice on the part of the CDFC, it is widely acknowledged that the community is more familiar with its members who have the requisite capacity to deliver if appointed in the PMC. As such, the contribution of the community at this critical stage was lost.

4.5.13.4 Project monitoring and evaluation

In relation to project monitoring and evaluation phase, only few WDC members were involved, albeit passively. The few WDC members passively involved are attributed to their membership in the CDFC. One WDC member who was not a CDFC member commented, "We have no role project monitoring and evaluation." As such, this critical project management function was solely conducted by the CDFC under the auspices of the Account Fund Manager without a formal monitoring and evaluation system.

Without the input of the WDC and the community at large, the quality of the projects depended on the CDFC and not the community, which in this case was the beneficiary. As

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such, issues of project quality, ownership and sustainability were not assured after project hand over. This also meant that issues relating to transparency and accountability were opaque, a scenario that could have been avoided were the community allowed to participate in the critical project phases of identification, planning, implementation and monitoring.

4.5.13.5 Project hand over

When project implementation and monitoring was concluded, the projects were handed over to the community or the specific project beneficiary. At this phase, WDC members said they were neither passively nor actively involved. Apart from projects which had established institutions to sustain their operations such as schools, medical facilities and social amenities such as public toilets, other projects ended up with no sustainability structures. An active participation of the WDC and the community would have resulted in putting in place relevant sustainability mechanisms for the completed projects. This would enable them render the services or products for which they were meant to. Without an elaborate sustainability plan, these projects would last for a short time. This state of affairs is attributed to the lacuna in the CDF Act that lacks a comprehensive community participation framework in the CDF project cycle. This is compounded by the CDFC's failure to work in collaboration with WDCs which are legal grassroots organs for linking the community and the CDF office at the constituency level.

4.6 Conclusion

This case study has established that community participation in the CDF project cycle was lacking, yet the CDF Act provides that projects to be funded under the Act shall be community-based and further outlines community participation provisions in the entire

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project cycle. In particular, the CDF Act provided for the creation WDCs at the ward level and CDFC at the constituency level as organs to facilitate community participation in the CDF project cycle with clear gender considerations in the process. The absence of community participation in the CDF project cycle was partly as a result of a lacuna in the architecture of the Act and lack of initiative and indifference on the part of the CDF office and the area MP to formalize the spirit and letter of the Act. Overall, even with the inherent flaws, the Act was found to have adequate provisions to anchor community participation in the implementation of CDF projects. However, it was found that these provisions were not applied to facilitate the community to participate in the implementation of CDF projects, a situation which was blamed on CDF Account Fund Manager and the area MP, who were directly in charge of CDF projects in the constituency.

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CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The general objective of this research was to analyze community participation in the CDF project cycle in Dagoretti South constituency, Nairobi County. This chapter presents the summary of findings, conclusion and recommendations of the study.

5.2 Summary of findings

5.2.1 CDF Act provisions for community participation and gender mainstreaming

The examination of the Act found that it had adequate provisions for community participation and gender mainstreaming in the implementation of CDF projects. The CDF Act 2013 provides that all CDF projects shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area. It has clear guidelines of inclusiveness in relation to geographical diversity of the constituency, communal, religious, social and cultural interests in the constituency and the requirements of gender, youth and representation of persons with disability. It also provides for mechanisms to facilitate community participation by creating structures such as the Ward Development Committee, Constituency Development Fund Committee and Project Management. It further provides for CDFC in consultation with the area MP and other stakeholders to convene open forum public meetings in every ward within the first year of a new parliament and every two years to deliberate on the development matters in the ward and the constituency. With these implementation organs and mechanisms, the Act was found to have adequate provisions to anchor gender mainstreaming and community participation in

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the implementation of CDF projects. However, it was found that after the organs were created, there were no formal mechanisms to engage them so that they can facilitate the community to participate in the implementation of CDF projects. The CDFC, which is the constituency level organ, worked unilaterally to coordinate and manage CDF projects with no reference or consultation with the WDC, which is the ward level organ in charge of CDF projects.

5.2.2 Level of performance of WDC and CDFC in the CDF project cycle

The CDF Act, while declaring that all projects to be funded shall be community-based, provides for formation of the organs to be solely responsible for facilitating community participation in the CDF project cycle. These organs are the Ward Development Committee, the Constituency Development Fund Committee and the Project Management Committee. With these organs in place, the Act envisaged active community participation in the entire CDF project cycle. However, the analysis found that these bodies were not active as far as facilitating community participation in the project cycle was concerned. CDFC, which is a constituency level body for purposes of CDF projects, was not collaborating with WDC, which is a ward level body formed for the same purpose. There was no formal working relationship framework for these two entities. All decisions regarding CDF projects were made and executed by the CDFC in total disregard of the WDC. The CDFC did not consider the role of community participation in the CDF project. PMC, on the other hand was the body charged with implementation of CDF projects at the wards. The formation of PMC is in essence a community activity because its mandate is to implement CDF projects at the grassroots. However, it was found that CDFC assumed the role of constituting PMCs without reference to WDC and the community. This means that CDFC controlled the entire CDF

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project cycle. It is worth noting that CDFC is a committee that meets to consider and ratify project decisions of the constituency CDF office. Without involving the community in the implementation of CDF projects at their respective wards, their performance in the CDF project cycle is also compromised.

5.2.3 Level of community participation in the CDF project cycle

The generic CDF project cycle comprises of five phases, namely; project identification, project planning, project implementation, project monitoring and evaluation and project hand over. The CDF Act provides that all CDF projects shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area. It also provides for mechanisms to facilitate community participation by creating structures such as the Ward Development Committee, the Constituency Development Fund Committee and the Project Management Committee. The Act therefore envisaged active community participation in the CDF project cycle directed by the organs it had created for the purpose. The assessment found the provisions for community participation were not applied and community participation was minimal and passive, only limited to the elections for WDCs. There was no community participation in the entire CDF project cycle since the elections of WDCs were preparatory activity to project identification phase. The WDC and CDFC, the organs provided for by the Act to spearhead community participation processes in the CDF project cycle did not work in harmony. The CDFC disregarded the relevance of WDC, which was a ward level organ created by the Act. As such, the CDFC assumed total coordination and management of CDF projects in complete violation of the existence of the WDC. CDFC did not consider the role of community

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participation in the CDF project cycle and therefore it did not involve the community in its activities.

5.3 Conclusion

The examination of the Act found that it had adequate provisions for community participation and gender mainstreaming in the implementation of CDF projects. However, the study established that community participation in the CDF project cycle was lacking, yet the CDF Act provides that projects to be funded under the Act shall be community-based and further outlines community participation provisions in the entire project cycle. Community participation was lacking in the project cycle due to the Act's architecture and lack of initiative from the CDF national and constituency office. It is imperative to appreciate that failure to involve the community in development projects decreases levels of accountability and transparency for those in charge of those projects. Conversely, development projects that have adopted formal community participation guides or frameworks in the project cycle have reported high levels of accountability and transparency which leads to project ownership and sustainability, among other benefits.

The performance analysis of the WDC and CDFC in the CDF project cycle found that the two organs did not work together to facilitate community participation in the implementation of CDF projects in spite of the CDF Act provisions. While this could be attributed to the lacuna of the Act, by deduction, the creation of the two organs by the Act was largely meant to promote community participation. A collective and conscious initiative by the area MP and the CDF office could have worked out mechanism through which these two organs worked together to facilitate community participation in the CDF project cycle. In the

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absence of a formal working relationship between these two organs and the resultant failure to facilitate community participation in the CDF projects, their performance in the CDF project cycle was significantly compromised.

An assessment of the level of community participation in the CDF project cycle found that the community was not involved. Nevertheless, the CDF Act provides that all CDF projects shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area. The Act further creates WDC and CDFC as organs mandated to facilitate community participation in the CDF project cycle. However, the Act failed to provide for a clear relationship between these two organs so as to enable them to effectively facilitate community participation processes at their respective levels. This significantly affected the actualization and harmonization of community participation in the entire CDF project cycle.

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5.4 Recommendations

5.4.1 Policy recommendations

The examination of the CDF Act found that it had adequate provisions that anchored community participation and gender mainstreaming in the implementation of CDF projects. However, it was found that these provisions were not formalised on the ground to facilitate effective community participation in the CDF project cycle. This was partly due to a lacuna in the Act and lack of initiative on the part of the CDF national and constituency office. To remove the inconsistencies in the CDF Act, it is recommended that the Act should be redrafted with input from stakeholders so as to enhance its community participation provisions with a clear community participation framework. In addition, the national and constituency CDF office should take lead in integrating community participation guides in the implementation of CDF projects. The CDF office in the constituency should further make concerted efforts in conjunction with other stakeholders to ensure the community is effectively facilitated to participate in the implementation of CDF projects.

The performance analysis of the WDC and CDFC in the CDF project cycle found that the two organs did not work together to facilitate community participation in the implementation of CDF projects in spite of the CDF Act provisions. While this could be attributed to the lacuna of the Act, by deduction, the creation of the two organs by the Act was largely meant to promote community participation. It is recommended that CDF office organizes routine CDF Act sensitization sessions for WDC and CDFC members and other key stakeholders to ensure they understand key provisions of the Act, including preparing and availing a short-simplified version for easy reference. These sessions would also create avenues for bonding

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as well as develop good working relationships among themselves so as to push the constituency development agenda as a team. The sensitization sessions should also include capacity building for WDCs and CDFC in critical areas such as project management and financial management so as to enable them to discharge their mandate more effectively and efficiently. This would require a collective and conscious initiative by the area MP and the CDF office to work out mechanisms through which these two organs can work effectively to facilitate community participation in the CDF project cycle.

5.4.2 Recommendations for further research

The assessment of the level of community participation in the CDF project cycle found that the community was not involved. However, the CDF Act provides that all CDF projects shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area. The Act further creates WDC and CDFC as organs mandated to facilitate community participation in the CDF project cycle. It is therefore the responsibility of the area MP and the CDF office to ensure that the two organs work together to facilitate effective community participation in the entire CDF project cycle. It is recommended that further research should be carried out to find out why MPs and CDF managers shun community participation in CDF projects yet there is evidence such a practice contributes to the empowerment of the community, among other benefits.

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APENDIX 1: FOCUS GROUP DISCUSSION CHECKLIST

Introduction

The purpose of this *Focus Group Discussion* is academic and an integral part of the Master of Development Studies research at St. Paul's University, Limuru – Kenya. It is aimed at generating information for appraising community participation in the implementation of CDF projects in Dagoretti South Constituency.

The information gathered in the discussion will be treated with utmost confidentiality and will only be used for the purpose of this study. You are kindly requested to feel free to participate and to give honest and true views during the discussion.

Background information

1. a) No Male…….. b) No Female…….. c) Total……..…….

2. Level of Education: Primary --------- Secondary----------Tertiary----------

3. Economic occupation: i) Business men/women……..ii) Employment……iii) Other

Focus group discussions' checklist

1. Enumerate provisions that entrench community participation in the new CDF Act 2013.

2. How do these provisions promote community participation in CDF projects?

3. Effectiveness of these provisions in promoting community participation in CDF projects.

4. Process of constituting Ward Development Committees

5. Role of Ward Development Committees

6. Identification of projects to be funded by CDF

7. Role of CDF committee in promoting community participation in CDF projects

8. Effectiveness of CDF committee in promoting community participation in CDF projects.

9. Community engagement in the formation of Project Management Committees.

10. Phases of CDF projects

11. What stages is the community more involved in the projects and in what ways?

12. Effectiveness of community participation in each of the stages of the project.

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APENDIX 2: COMPOSITION OF FOCUS GROUP DISCUSSIONS

1. Date 4/09/2015 – Ngando ward FGD

The group consisted of 5 Ward Development Committee members, one ward bursary committee member and the Chief, Ngando Location/Ward. In total they were 7: 5 men and 3 women.

2. Date 23/09/2015 – Mutuini ward FGD

The group consisted of 5 Ward Development Committee members and one ward bursary committee member. In total they were 6: 4 men and 2 women.

3. Date 26/10/2015 – Riruta ward FGD

The group consisted of 4 Ward Development Committee members and one ward bursary committee member one representative for people with disability. In total they were 6: 3 men and 3 women.

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APENDIX 3: KEY INFORMANT INTERVIEW CHECKLIST

The purpose of this *Key Informant Interview* is academic and an integral part of the Master of Development Studies research at St. Paul's University, Limuru – Kenya. It is aimed at generating information for appraising community participation in the implementation of CDF projects in Dagoretti South Constituency.

The information gathered in the discussion will be treated with utmost confidentiality and will only be used for the purpose of this study. You are kindly requested to feel free to participate and to give honest and true views during the interview.

Key Informant Interview Guide

1. Knowledge of provisions that entrench community participation in the new CDF Act 2013.
2. How do these provisions promote community participation in CDF projects?
3. Effectiveness of these provisions in promoting community participation in CDF projects.
4. Key structures or committees that promote community participation in the CDF project cycle.
5. Identification of projects to be funded by CDF
7. Effectiveness of CDF committee in promoting community participation in CDF projects.
8. Stages of CDF projects. Which stages is the community involved more and in what ways?

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APENDIX 4: KEY INFORMANT INTERVIEWS DATES

1. Date 16/11/2015 – MCA Waithaka ward

2. Date 16/11/2015 – Sub-county Administrator, Dagoretti South Sub-county.

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