

**SOCIO-ECONOMIC DETERMINANTS OF PUBLIC PARTICIPATION: A CASE  
STUDY OF THE BUDGETARY PROCESS IN NANDI COUNTY (2014-2017).**

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## DECLARATION

This project is my own work and has not been submitted before to any other degree at any other institution.

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This project has been submitted for examination with my approval as the university Supervisor.

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## ABSTRACT

This study examines the socio-economic determinants of public participation in the budgetary process in Nandi County, namely education, income, gender and Age. The study was guided by *civic voluntarism theory*, adopted cross-sectional research design and used modified multi-stage and snow-ball sampling techniques to obtain a sample of 55 respondents. Data analysis was done and presented using graphical displays and Gamma measure of association. The study finds a significant positive association between education and public participation, showing that the more educated one is, the higher the likelihood of participating in the budget process. The results also show strong positive association between income and participation, suggesting that the higher the income, the more likely that one will participate in the budget process. The study further finds strong association between gender and participation showing that men are more likely than women to participate in the budgetary process. However, the study finds that public participation in the budgetary process does not significantly vary with age so that younger residents are just as likely as the older residents to participate in the budgetary process. In a nutshell, the effect of socio-economic factors on public participation varies with the factor in question. To remedy the scenario where the less education shy away from public participation, the study recommends that the county should adopt communication channels like radio that can widely reach the less educated. The county too can adopt mobile announcement mechanisms where vehicles mounted with speakers can go round announcing the meeting venues. To attract those who have less income the count should look at the timings of the budgetary meetings and even consider doing past working hours to enable those hustling attend the forums. Peer educators can also be trained and used as conveyers of information on the importance of attending budgetary meetings to appeal to with less income.

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# CHAPTER ONE

## INTRODUCTION

### 1.1 Background of the Study

Public participation in policy making has been hailed by many scholars as the pillar of democracy. Scholars like Aulich (2009), Kanyinga (2014) and Bastidas (2004) are of the view that democratic governments need to make it cardinal principal to have the public take part in decisions that affect their daily lives either directly or indirectly. Its roots can be traced to ancient Greece and Colonial New England and the idea was informed by having citizens involved in the governance process as a way of enhancing democratic space in management of public affairs. Others argue that the only way to involve the general public in matters of governance and policy making is through engagement of the same public in policy making (Dunleavy, 1991). In the United States in 1960s and 1970s, there was a huge demand from the public to be involved in policy making by their governments. These demands were not only made to the national government but to all layers of government at all levels. The same demand was made at the level of the federal government, local government level as well as the state level of government (Dunleavy, 1991).

The art of consulting and engaging the general public in the policy making process serves to improve the quality of the decision that are made. This is because the policies will then emanate from the people's views at the grassroots and all the decisions are made to reflect what the general public actually want giving credence to the central tenet of any democracy where the people rule themselves. The idea of involving public in policy making was religiously observed in the United States since 1950s by all levels of government. This means that avenues in which the public could be brought on board were designed and implemented. The major reason as to why governments saw the need of widening public participation is because they wanted to promote transparency, efficiency as well as accountability.

The merit of the process rests on the assumption that public participation is a good practice in governance and makes all the government's policies to adhere to the needs of the citizens and the policies and aspirations of the majority of those being governed (World Bank, 2004). The urge of incorporating the general public in the government's decision-making process is not



only practiced and accepted in the United States alone but is catching up as the world citizens become more informed and demand that governments open up in the use of the resources based on their taxes (Steffek, 2009; Lukensmeyer, 2009; Day, 1997).

King (1998) observed that by involving the public in government's decision-making process, the government will be boosting the general trust that the public is having in its systems hence reducing the numerous revolts that governments are facing from the populace across the entire global spectrum. According to the Asian Development Bank, consultations in the budget making process ensures that there is efficient management of public resources through the acts of raising the awareness of the public on how their resources are spend hence strengthening the public oversight role. The report based on a study undertaken by the bank in Asian countries indicates that public participation ensures that there is efficiency, as well as responsiveness in the administration and governance systems. Since most governments were decentralizing their programs, numerous avenues of public engagement at the grassroots were created and hence influencing the budgetary making process as a tool of monitoring as well as improving on the performance of the government through efficient delivery of services to the general public (King, 1998; International Budget Partnership, 2012).

Kenyans, in enacting the 2010 constitution, elevated public participation as a pillar of governance. Public participation was made the central theme of governance in Kenya. Based on this and the protracted struggles for democratic reforms that had taken place over the years, the idea of the Kenyan government embracing public participation and democracy, is contained in the article 10 of the Kenya's 2010 constitution as part of the national values and the benchmarks of proper governance. This binds the entire organs of the state as well as the public officers in the government of Kenya to ensure that the voice of the people is captured in affairs affecting their lives (Kanyinga, 2014; Centre of Economic and Social Rights, 2014).

The constitution recognizes that the idea of involving the general public in the governance matters is a fundamental privilege that the citizens of Kenya are entitled to. Chapter eleven of the 2010 constitution that deals with the subject of devolution spells out the reasons as to why the general public should be involved in matters of governance. The same practice of incorporating the general public in developing policies has also been replicated in the county

governments where the powers, privileges and as well as the immunities act of the county assemblies, directs that county governments must create avenues that incorporates the public in the legislation role played by County Assembly Members and the budget-making process and all other house committees. The constitution made it mandatory on all legislative organs to ensure citizens participate in policy formulations as owners of resources that administer such policies. Such policy formulation includes the budget, public proclamation by the State of its projected and actual revenue and expenditures (Government of Kenya, 2010).

## **1.2 Statement of the Problem**

Kenya's governance structure was drastically altered after 2010 when the country enacted a new constitution. Previously, management of county affairs under the command of county councils were riddled with secrecy, restrictive measures and lack of access to information to the masses. Though there were a number of initiatives like the Local Authority Service Delivery Action Plan, a participatory development approach, used by local authorities in Kenya while budgeting for the Local Authority Transfer Funds, not much was known to the public nor were there measures to enlighten the masses on the operations of the units.

The new constitution empowered Kenyans to own the policies that govern their affairs. The idea was anchored on the premise that when the masses participate in policy formulation they would automatically be satisfied with the outcome during implementation (Oyugi & Kibua, 2006). Under the new dispensation, the counties and the national government were bestowed with powers of making their own budgets. The Public Finance Management Act of 2012 requires all counties to undertake public participation in their budget formulation process. Based on Nandi county Integrated development plan of 2015-2016, many public engagement meetings were held but documentations on the same have demonstrate worrying turnouts.

A petition drawn by Nandi County Civil Society Network in collaboration with the Nandi county Chamber of Commerce and Industry chapter presented to Senate in August 2015 indicted the county government of Nandi for ignoring public participation in its budgetary process. The petition cited lack of clear framework on how public participation is conducted in the county as outlined in the county's integrated development plan. This was against the Kenyan law prohibiting the appropriation of public funds without the authority of the public

and thus the county government cannot spend money without some having the locals give their input (Society for International Development, 2016). The failure of the Nandi county government to respond to a number of issues raised in the petition triggered demonstrations against the county government. The petition presented to the senate suggests that while other people participate in giving their views during the budgetary process some don't.

### **1.3 Research Questions**

Taking cognizance of the above, this study therefore, is answering the following broad research question: Do socio-economic factors influence public participation in the budgetary process in Nandi County? Though there are many socio-economic factors this study only focuses on education, income, gender and age to answer the following specific questions:

- i. How does *Education* influence *public participation* in the budgetary process in Nandi County?
- ii. How does *Income* influence *public participation* in the budgetary process in Nandi County?
- iii. How does *Gender* influence *public participation* in budgetary process in Nandi County?
- iv. How does *Age* influence *public participation* in budgetary process in Nandi County?

### **1.3 Study Objective**

#### ***1.3.1 Main Objectives***

To establish how socio-economic factors influence public participation in the budgetary process in Nandi County.

#### ***1.3.2 Specific Objectives***

- i. To determine how *Education* influences *public participating* in budgetary process in Nandi County.
- ii. To determine how *Income* influences *public participation* in the budgetary process in Nandi County.
- iii. To establish how *Gender* influences *public participation* in the budgetary process in Nandi County.

- iv. To establish how *Age* influences *public participation* in budgetary process in Nandi County.

## **1.4 Justification of the Study**

### ***1.4.1 Theoretical Justification***

This study aims to add substantial knowledge on the concept of citizen participation in governance and budgetary process and how the citizens perceive the whole idea of public participation. Researchers and academicians may use this research to dig deep and find out if lack of public participation in policy making is what later informed the decision by voters in Nandi County to send home all elected officials in the 2017 general election and bring in a crop of young leaders in top county leaders below the age of 35 years. Scholars may also seek to find out how the public engage in budgetary process and how their input defines the policy to limit conflicts and demonstration arising from budget policies. The study demonstrates the importance of taking care of competing interests in budgetary process by ensuring that any mechanisms to be used in public participation appeals to almost all sections of society.

### ***1.4.2. Policy Justifications***

The study is expected to provide information to the county government of Nandi on how best it should conduct public participation by understating why some group participate more and others do not participate. The county government can use the study to design a more effective tool for public participation to reach the population more. The legislature can also draw information from the study in trying to understand if the whole concept of public participation as envisaged in the constitution is functioning or if there is needs to adopt a different approach to excite Kenyans take part in the budgetary process. This study may also be helpful during the monitoring and evaluation of budgetary programs not only to Nandi County but the nation as a whole by providing information during the audit of budgetary process. This may inform how future public participation programs can be implemented and if the medium used to inform the public to participate in budgetary process is effective.

### **1.5 Scope and Delimitation of the Study**

In terms of the geographical scope, the study was undertaken in the county of Nandi within the Rift Valley Region of the Republic Kenya. The study further narrowed the scope of the socio-economic determinants of public participation to four key variables: education, income, gender and Age. Though there are a number of socio-economic determinants that mainly can influence public participation in budgetary process, this study only centered on education, income, gender and age basing on Verba et al (1995) Civic Voluntarism theory and the extended conceptual framework derived from it. Although gender and age are not captured by the model, they are linked to resources as the county is mainly a patriarchal society with men controlling resources and means of production, leaving women as subordinates. Age equally is linked to resources as majority youth rely on their parents for land which is the main factor for production. In terms of scope of time, the study focused only on three financial years from 2014 to 2017. This is because in 2013 the election that gave birth to counties was held in March and public participation had not been entrenched in the devolved units. The counties had not come up with public participation regulations. Details are in table 1.2 and chapter 2.

### **1.6 Limitation of the Study**

Nandi County is characterized by hills and mountains covering an area of 2, 884.2 square kilometre. The county has poorly developed infrastructure with less than 200 kilometres of tarmac roads as per the County Integrated Development Plan (2018-2022.). Nearly 95% of the roads are earth roads and given that the county experiences rains throughout the year mobility a very big challenge and some area transport from the main town of Kapsabet ends before one o'clock. This made the cost of doing the research costly given that the six wards where the research was done are mainly remote making the cost of travelling quite high. The county is predominantly agricultural and the study was undertaken during in the month of July when most people were engaged in their farms and not willing to take part in the study. Most women in the county are quite reserved and shy and were not willing to take part in the research even after being notified that their identity will remain anonymous. A number of respondents were also seeking monetary gains to take part in the research. To circumvent these challenges and cut down the cost the study for instance in Tinderet was done on pay day when mostly tea farmers appeared in tea factories to collect their pay. In Mosop cattle

auctions came in handy and women meetings in Aldai were also of help. Motorcycle transport thought risky due to sliding was also of great help during the study

## **1.7 Definition of Concepts**

**Budgetary Process:** Defined by the Institute of Economic of Affairs, (2012) as identification of priorities needs of funds at the department level. For purposes of this study it means taking part or giving views in budgetary meetings either through writing memorandum or physically appearing in town hall and even public discussion through the media and kicks off from the time the county government announces public participation on the budget policy to holding budgetary meeting,.

**Public Participation:** According to Oestrum (2009) is direct or indirect involvement through representatives of concerned stakeholders in decision-making on policies, plans or programs in which they have an interest. In this study, it is used in the context of the means attending the budgetary meetings, presenting memorandums, expressing views on the budget using social media or short text messages and discussing budgetary issues or listening to budget forums through the media. The focus in this regard is on the budget cycles 2014 -2017.

**Socio-Economic Determinants:** generally refer to the Social and economic factors that influence public participation in the budget making process which comprise of income, educational and age, gender and poverty levels (Akhtar, 2012). In this study, it is used to refer only to gender, income, education and age.

## **1.8 Literature Review**

### ***1.8.1 Overview***

This section reviews studies done by various scholars on socio-economic determinants of public participation and is organized into four subsections. It starts with looking at education and public participation followed by income and public participation, then gender and participation and ends with age and public participation.

### ***1.8.2 Education and Public Participation***

Almond and Verba (1965) conducted a survey on political attitude describing American political culture in the twilight of the Eisenhower Era as *allegiant* and *participant*. Their findings found out that the level of education an individual has plays a key role in shaping the behaviour that the said individual will have. This means that the political behaviour of an individual with education will be different from that individual who has no education at all. Societies with high civic culture according to the two scholars had more citizens taking active role in political participation and this was mainly contributed by education. They were not interested in how citizens participate in democracy and neither did they study the influence of education on public participation which this study seeks to establish. The two scholars believed largely in education shaping the thinking of society and that this would woo most educated people to take part in public participation. They were not interested in the level of education attainment for those participating. This study has therefore categorized the level of education attainment in seeking to understand the category that wills most participation in budgetary process. They were also analysing education in shaping democracy as a whole but not a specific policy issues like budgeting which this study is looking at.

Putnam (2000) claims that education is an important variable in the success of any public engagement initiative, this according to the author is so because education will shape the type of engagement that the public makes with their leaders. This behaviour will be reflected in the way an individual votes, and associates with others. This behaviour is also reflected in his other private engagements such as hosting his visitors, donating blood, contributions he makes to any public committee and in his religious activities. This behaviour is attributed to all genders, races and generational divide. Putnam advocates for more public participation in the government decision making process at all levels, however he warns that this can only be made possible when the same public is well informed and more educated as well as objective articulate and demanding from their government. Though Putman seem to hold education in high esteem, he was not categorical of the level of one's education and this study seeks to find out how the level of education influences public participation in the budgetary process. This study segregated education in terms of attainment is trying to find out why mainly those with university education participate more in budgetary process than those with secondary education. Putman study was also mainly on voting patens but this study seeks to understand

if the same can be replicated in the budgetary issue. His study was also based only on the most educated in society whereas this study sought to find out if even those with no formal education participate in budgetary issues.

Ahmad (2005) contends that a good level of education empowers an individual to know how a government works as well as how to deal with various government structures for better service delivery. The author did a study in a number of states in the sub Saharan region, his major objective was to establish whether there was any relationship between good education and the levels of public participation in a country. He found out that the level of education that an individual has, the more such a citizen will put to task his government especially at a local level and an example of where such citizens can give objective opinions is in the budgetary making process. Ahmed (2005) posits that education has been a major constrain for communities to track service delivery as government turned to decentralization as the pillar of governance. Ahmed however left it open by not stating what level of education he referred to that constrained the public from participating in governance. The study by Ahmed was also mainly based in West Africa countries which have no well-established education framework like Kenya. The study was also general and only looked at those who had stepped in a school set up whether primary or secondary classifying such individuals as education. This study however breaks down education attainments classifying them in categories to understand which category takes part mostly in budgetary process.

Pasek et al (2008) did a research in South Africa and the Dominican Republic with a view of finding out the extent to which the general public was involved in governance matters as well as budget making processes concluded that the fact that the general public was involved and informed on matters of making the budgets and its processes, the fact that the general public was allowed to give their views in as far as the budget making process is concerned, the summation of all these empowered the general public to take full charge of their country and be involved in the matters of making the budget. Pasek concluded that urban areas which had high rate of formal education in South Africa recorded a considered number of citizens taking part in local governance policy formulation. The research however, was not interested in segmenting education attainments of those polled in the study. The study was also based on



urban areas where people are fairly educated but this study is based mainly in rural Nandi County. Putman was also not concerned on which gender participate more on governance.

Williams (1997) notes that the quality of education exposed to a person determines the chances in life such an individual can exploit. Williams' view is that literacy is key in providing avenues for one to expand friends and social relations that help to facilitates access to positions of influence and power in the society. Education to him affords one a platform of opportunities that will drive such individual to take part in community commitment. Those with quality education according to him are faster adopters of innovation and are able to participate in development and adjust to new trends that make society better. His argument was that when citizens attain education then an enabling environment is created for many to participate in development as new ideas compete to inform policy. Williams was not keen on the level of education attainment in society. Neither did he seek to determine the level of education attainment that has direct bearing to public participation in budgetary process. The element of what constitutes quality education also did not come out clearly in his study. The study did not also focus on public participation but was mainly on building social networks for opportunities. This study however is specifically seeking to find out is socio-economic factors influence participation.

### ***1.8.2 Income and Public Participation***

According to Van Speier (2009), involving the citizens in the budgetary making process empowers the same public to have a voice in their government. This will give the public more impetus to follow up the implementation process of the same budget as well as the oversight role. This will go a long way of ensuring that the citizen's socio-economic status is well enhanced. He therefore suggested that governments both at the national level and at the local level should devise ways and means in which they could involve the citizen's more in the budgetary making process and other governmental activities. This will keep country governments alive to the public expectation of enhanced service delivery. Van Speier saw enhanced efficiency as providing a means of how the local populace would reap the benefits of participating in the policy process. Van Speier however in his study did not show how the level of income is likely to enable one takes part in public participation. The scholar was too not much interested in the earnings of individuals but this study sums up the earning of the

respondents to find out how they influence participation in the budgetary process. The scholar also never stated what constitutes income whether from a continuous monthly salary on other sources which this study does.

Abel (2000) is of the view that although many scholars promote public participation as means of incorporating community values into decision making those who take part in such forums are mainly the haves in society. According to him such processes might be dominated by small elite whose aim is to secure their interest and not that of the majority in society. Abel sees the majority of a society as bystanders who make no meaningful participation in the budget process but are used to endorse the desires of a few elite. He took only components of resource as motivating the elite to participate in governance and this study will be seeking to link how resources can pull citizens to participate in budgetary process. The scholar was never bothered on income but only those with resources whether educated on not which is departure in this study which is looking at resources in terms of monthly revenue.

Brady (2003) views political and civic process as forms of participation, like economic activities transacted in a market place. To Brady, the models of economic participation may provide understandings into the relationships between income, income inequality, and political and civic participation. Brady (2003) further concluded that a change in income affect people's participation. Brady however never gave the link of how income would change the participation equation and this study is to find out that missing link and the kind of income that would encourage citizens participate in budgetary process. He was also not interested in what constitutes income and this study has tried looking at the broad spectrum from farm earnings to formal income in undertaking its analysis.

According to Verba (1995), those citizens who possess wealth in any society and those who are well educated usually take an active role in public matters. This is so because of the big shots that they call or the high stakes that the control in matters governance. The same group also is aware of the dynamics in the political and governance matters. The author goes ahead to argue that the said group of individuals are aware at all times who to deal with and whom to ignore for the furtherance of their affairs and how to make their voices heard. Verba argued that education enabled citizens skills and resources required to take an active role in

politics. This he points out posits education does not only accorded citizens enhanced levels of participation in governance matters but also enable them necessary skills to take an active role in communicating their concerns to political office holders. But Verba and his team did not state why political participation has failed to increase with rising levels of education. Moreover, they did not highlight who the rich were and were concerned with state capture by economically endowed individuals who want favourable policies to further accumulation of wealth. This study is specific on budgetary participation which Verba was not.

Downs (1957) viewed individuals as making rational participatory decisions by comparing the costs of participation against the potential benefits of participation. His opinion was that individuals calculate if the benefit that will accrue in participation in policy formulation is more than the cost they will incur in such a process. Downs viewed humans as driven by economics arguing that if one assumes that the benefits of participating is more than not participating then such a person will take part in the public budgeting. Downs saw individuals calculating the benefits of taking part in the budgeting process and looking at all available options. If the options do not much the individual's preference, then such an individual would not bother taking part in the budgeting process. Downs saw partisan view driven by profit as convoluting human mind leading to an individual weighing the impact of his participation in public budgeting process. After a survey in Georgia, United States, he concluded that most frequent participants in budgeting process were extremists whose inputs were detrimental rather than helpful to the budget process. He however did not quantify the cost in monetary value that would compel one to measure benefits of participating. This study seeks to determine whether the level of income influences participation in the budgetary process. The scholar also never categorised his income and was not specify on the benchmark he used to qualify the extremists who were participating more in the United Sates. This study however is not about the extremist in society but this study is on society as general.

Goodin and Dryzek (1980) assert that the moneyed in society are more likely to participate in political and administrative processes. The two scholars saw social class as strongly influencing individuals to take part in budgetary process. They viewed the ruling elite as exploiting legislative, party, and administrative hierarchies to maximize their political impact regardless of participation. For the two, governance system is essentially the preserve of the

elite and the disadvantaged and women relegated to the periphery. The two viewed the ruling elite as mainly interested in interacting with citizens whose only activity in the participatory process are to provide their views on allocation of funds which is an annual ritual. Their focus was not pegged on the amount of wealth and this study therefore is seeking to understand who in society would most likely participate in the budgetary process.

### ***1.8.3 Gender and Public Participation***

Akerkar (2001) notes that the debate on whether to include all genders in public affairs has been a subject of discussions in both the political and social circles for decades now. This view was greatly influenced by the writings of theorists like Rousseau, Plato, Aristotle, John Locke as well as Thomas Hobbes who argued that women were not advised to take an active role in political and public affairs, instead their roles were limited to home makers as mothers and wives. According to Akerkar the subject of Gender is an emotive issue since the early 1970s. He notes that those in management noticed a lot of marginalization of women in all spheres. This according to him, led to advocacy for women in development agenda. The aim of the initiative was to analyse how men and women relate in the social spheres. Akerkar suggested that decentralizing government activities and putting in place affirmative action will improve the quality of public participation in the decision-making process. The scholar was general on women and did explain why women mainly shy away from participation in policy processes. Akerkar never looked at the empowerment aspects of women that have been put in place by respective governments like education, and funds in arriving at his conclusion. The scholar focused more on women marginalization rather than why women themselves were not coming out to influence policy which is being addressed by this study.

Bari (2005) was of the view that minimal support of women in politics and public decision-making is dominant world over. The scholar argues that through history, men have towered and controlled strategic decision-making positions. Even after giving women the rights to vote empowering them through education and employment, the scholars say women everywhere remain marginalized and under-represented in tables of decision making even on areas that directly affect their lives. For the scholar enhanced women participation in governance structures is central to addressing the inequalities in society. The scholar claims that the female gender makes up to half of the population of human beings in the entire

world, and hence it is right and just to give them a chance to participate in all matters that are in the public domain. He argues that the female gender will offer on female type of values in the political arena which is good for the growth and the development of democracy. He argues that for a long period of time there has been a historical favouritism of men as opposed to women in matters democracy and governance systems were designed mainly to favour men. The scholar was so broad on women issues never delving much on why they don't participate in open public forums which this study is seeking to find out. The scholar too was seeking to have women empowered to participate in policy and never gave reasons on why they do not participate in policy issues. The study by Bari never sought to understand whether education or income had any bearing in women participating in policy issues but was more of historical aspect of women marginalization. This study looks at women holistically in relations to male colleagues not withstanding their education or income.

Mukhopadhyay (2005) while studying political participation in South Africa penned that the issue of governance refers to those processes which determines how political power is exercised and how the general public is involved in governance matters such as the process of decision making, factoring the interests of every groups of persons as well as those in authority being accountable to their people. This therefore meant that the processes of governance must not only be just to everybody but must also be seen to be fair and all inclusive. The scholars hold the view that democratic decentralization means a lot to the female gender because historically they have been kept far away from the decision-making processes both at the local level and at the national levels of government. The scholars view was that in contrast with the thinking that it's easier to involve women at the local levels of governance so that it may act as a stepping stone for them to be absorbed in the national levels of governance, they contended that the way local politics and governance is designed, it is difficult for women to get involved and to meaningfully contribute to local governance.

However, the authors suggested that the relevant players should consider offering better terms to women to get involved in politics and matters of governance both at the national level and at the local levels of governance. This will go a long way in ensuring that they have a bigger say in how the governance processes are carried on. The scholars never came out clear as to why women shy away from public participation even after having been granted

rights by on law and this study is seeking to establish the same. This study was not clear on how policy can be designed to lock out women and this study finds out if the drafting of a policy can equally disenfranchise women from public participating. Mukhopadhyay called for enticing women to woo them participate in policy which is a departure in this study which bases participation on the 2010 constitution of Kenya which is basically a civic duty.

#### ***1.8.4 Age and Public Participation***

Dahl (2006) suggests that equality and public involvement are the fundamental principles of democratic ideals. This means that when it comes to matters dealing with governance, there is no single citizen who can claim to know more about governance than others. However, the decisions taken must be collectively agreed upon by all the citizens, under moral persuasions, Robert Dahl argues that all citizens must be given equal rights in decision making and that there should be no individual person who can claim monopoly than others to govern. For Dahl all members of adult population have equal chance to participate in governance. Dahl was not specific on the age limit of those who fall in the category of having the power to decide on governance. The scholar did not focus on the difference between women and men in participation seeking society as a whole but this study is finding out with all the given chance socio-economic determinants of participation. This study segments age categories to find out which bracket mostly wants its voice to be heard and what motivates them to take part in the matters of governance unlike Dahl that just classified society as a whole.

Han (2009) while studying the American voting pattern concluded that not all who have the right to participate do so. Han found out that during the actual voting exercise, very few Americans unlike other countries actually turn out to vote. He also argues that the numbers of those who take part in political rallies, demonstrations, street protests is low as compared to the population that goes to vote. The finding of his study suggested that the expansion of freedoms and other political rights is what motivates American citizens take their political direction. His arguments are that a series of psychological orientations to politics motivates some individuals to participate in matters governance. For him majority of those who participate are in the age brackets of groups who feel the policies on offer resonate with much of their aspiration. Hans was not categorical on the age bracket that actively participated in policy formulation. His study had a blanket generalization that the young or the old will

actively participate on policy they feel would affect them and this study is seeking to find which age bracket would mostly participate in the budgetary process. The study was mainly about voting but not policy issues like budgeting which this study is focused on. The study by Han was also restricted to the US which has advanced democracy and freedoms, unlike this study which focuses on budgetary policy in Kenya.

Wolfinger and Rosenstone (1980) analysed the young Americans of above 18-year olds when they were granted franchise in 1972, concluding that there has been a persistent age gap in voter turnout for the young mainly in the United States. According to their analysis in 1972, 50% of 18 to 24-year-olds voted compared to 70% of those age 25 and older; in 2012, this gap remained the young bracket at 41% and for the 25 years old and above it was at 65%. The low turnout rates among the young Americans they concluded could have been attributed to the lower levels of resources among young people that impeded their participation. They also cited impediments like familiarities with ins and outs of casting a ballot for the newly eligible voters, lack of information on registration centres and missing registration deadlines. The study was however premised on voting alone, the two scholars never analysed if the same trend could be replicated in other areas like budgetary. Their focus was to understand why the youth even after being granted franchise were not enthusiastic to have the voices count but this study is not only premised on the youth but the society in general.

Coleman (1961) analysed American society and undertook a study on how an individual exerted his impact on individuals or his peers more or less of the same age undergoing almost similar crisis. He concluded that if the individual is highly educated or employed he will have more or less standard expectations of how he will behave towards a political system. Coleman viewed socialization as having broad impact on the young. He concluded that parents and teachers begin to decree in early adolescence and peer groups influencing their political attitudes and behaviour. The scholar noted that as a person grows older political preferences and influence of such an individual is necessitated by circumstances and prevailing conditions which affects how he views his or her political jurisdiction. Coleman however restricted his study to the old in society who included teachers as holding an integral part of moulding an individual to fit a certain political system. His focus was not much on the number of years one would be categorized as an adolescent and the age of those mostly

affected by peer influence in taking part in any political socialization. The focus of his study was mainly political preferences and policy issues. He saw participation in terms of political choices but this study is focusing on budgeting which is a policy issue of development.

Marsh (1977) studied the young people voting trends in the United Kingdom summing up that the youth are sceptical on the way the British political system is ordered. In his study he found out that the past harsh events of the difficult economic times of the 1970s had a bearing and direct impact on how the youth generation viewed the governance system in the United Kingdom. Marsh in comparing the Americans, Germans and Italians summed up that Britons had a withering support for governance establishment. To him the young in Britain lacked basic trust in the operations of the British democracy. Marsh's view was that young Britons saw politics as remote and unresponsive system manned by a clique who has nothing to offer them. He argued that in comparison with the older the young are less likely to take part in election and more disinterested in politics and are aloof to any party-political identification. The study was however generalized and did not look at specific age bracket in its conclusion. Marsh never looked at issues like education, age factor and income as having some bearing in political participation which study is anchored on. His study was also peculiar to Britain a Monarch controlled democracy where the Queen is revered unlike this study which is mainly focusing on participation a right guaranteed to Kenyans by the constitution.

Miles (2000) views that modern day youth have been banished to periphery due to their state of vulnerability which is about complex and characterised by hostilities. He views the current young generation as struggling to survive unlike their peers of yester years. The scholar analysed early post-war Britain the start of the welfare state and the economic boom that led to the transformation of young people's lives. He saw fundamental shifts in economy which weakened the family and community relationships and the rapid development of technology in the 1990s changing the lives of the young in turn affecting their political socialization.

The radical structures according to Miles created paradigm shift in the young people who view their lives as surrounded by a number of risks making their primary concern the immediate future and political participation out of the equation. For him the current generation has little appetite for electoral politics and governance with politics becoming the



preserve of the elite. Miles was also not interested in society as a whole seeking to study the youth and why they were apprehensive about politics in the United Kingdom. His study was also focused on electoral politics while this study is on budgeting. Miles' study was also done during a tough economic period in Britain when many Britons were feeling frustrated and struggling economically making it hard to draw generation with other jurisdictions.

## **1.9 Theoretical Framework: The Civic Voluntarism Theory**

### ***1.9.1 Key Features of the Civic Voluntarism Theory***

This study is driven by Civic Voluntarism Theory as expounded by Verba *et al* (1995). The theory is anchored on a socio-economic model of political involvement. Resources are elevated to be at the heart of political participation and makes resources key to political participation. The theory defines resources broadly to include even income, education, time, and information. Verba *et al.* (1995) conceptualized resources beyond the economic realm of society and went further placing time as resources for him it is not only economic and education resources that drive individuals to participate in a political process but he argues that some people are too busy some hustling for daily survival and to meet their bill that they have little time to participate. It holds that educated, rich and informed individuals have a high possibility of taking part in political process.

The theory claims that inspiration and ability to take part in politics have some genesis in areas outside the realm of politics. During childhood people acquire this behaviour in family and school. When they grow up , occupations, organizations that have no political bearing, and religion provide avenues for moulding politically relevant resources' and these organizations also supply psychological fulfilment in politics. The theory makes citizens' sense of efficacy central to political participation. It is of the view that the more individuals think their views and aspirations are likely to influence policy outcomes in governance, the more likely they will take part in a political action. The theory stresses political mobilization (Verba *et al* (1995).

Beyond the three key components the theory says even when individuals are endowed with resources and have at their disposal free time have plenty of resources have a strong sense of value they will not take part in political engagement if they are ignorant of the worth of their

contribution or if no one tried to whip their co-operation. It sees society as driven by other factors and says being encouraged to take part by peers is central for people to participate and views campaigns as creating euphoria to whip the society to participate in a political process.

The theory emphasis on the significance of having the populace take part in the political system and says identifying with a political party or policy and political involvement should spur civic participation (Verba *et al* (1995). The theory then views taking part in politics as inspired by three participatory factors: socio-economic resources, engagement, and mobilization. It places education, political skills and income as socio-economic resources that facilitate political participation. Engagement refers to one's interest in politics, so that those who have political affiliations will most likely make their contribution in the policy formulation and they too must also have political knowledge and conviction in the ability to influence politics. Mobilization creates the zeal and inspiring effects that emanate from contact with others in gatherings of social networks, such as one's belief in voluntary organisations or workplace peers for taking part in political processes (Verba *et al* (1995).

### ***1.9.2 Application of Civic Voluntarism Theory to the Study***

This theory looks at the importance of social-economic factors driving political participation in society. It emphasizes on three important socio-economic factors, looking at not only economic and education factors as resources but also time which is key in participation. The civic voluntarism theory attempts to explain participation from an inverted angle of why people do not participate, and suggests three answers: because they can't; they don't want to; and because nobody asked them to (Verba *et al* (1995).

Civic voluntarism theory argues those endowed higher socio-economic privileges which include higher education, higher income and higher ranking are more likely to take an active role in a political process which is bedrock of this study. Verba demonstrated how status and class stratification shape individual resources and constrain individuals' choices about political engagement. Verba *et al.*(1995) distinguishes such resources as time, money and civil skills as influencing political participation of an individual in society. The argument of the theory is that those who have the command of such resources will more likely to participate in a political process which is being addressed by this study.

The theory argues that time is limited, and free time is not correlated with occupational level, race, or gender and it is not differently available to those who have the privilege of education. It places emphasis on availability of free time for an individual to participate in a political process after concluding their daily obligations to paid employment, study, domestic work, leisure activities among others. This study looks at how the factor time shapes participation. The timings of the meeting to venues and dates are tied to time factor. A meeting held on a rainy season definitely locks out a section of society from taking part. Those hustling would most likely participate less in a political process and women too taking care of their children and family needs require ample time if they are to take part in a political process. The civic voluntarism theory sees income as dependent on education and arguing that women will have less income even if other variables are the same. It then would translate that women would participate less, and this is part of the issues being addressed by this study.

Though the theory never considered gender and age, this study sees the two as equally important variables in a political process. This is because gender predisposes one to resources in community and given that this study was undertaken in Nandi County that is highly patriarchal it would mean that women are more resource disenfranchised from participating in a political process ties gender to resources. Gender is also related to occupation so that majority of women would be attending to the society's needs at certain times like preparing food for their children and hence they would probably be locked out of income which is central to the theory. Age is equally important and can be related to education and income. Political processes like voting and holding political office are determined by age making it a critical resource component and that why the theory is suitable in analysing age and political participation. Marsh (1977) studied the young people voting trends in the United Kingdom summing up that the youth are sceptical on the way the British political system is ordered. In his study he found out that the past harsh events of the difficult economic times of the 1970s had a bearing and direct impact on how the youth generation viewed the governance system in the United Kingdom. To him the young in Britain lacked basic trust in the operations of the British democracy. Marsh's view was that young Britons saw politics as remote and unresponsive system manned by a clique endowed with resources who has nothing to offer them and this is why age has some linkage to resource which is central to civic voluntarism theory

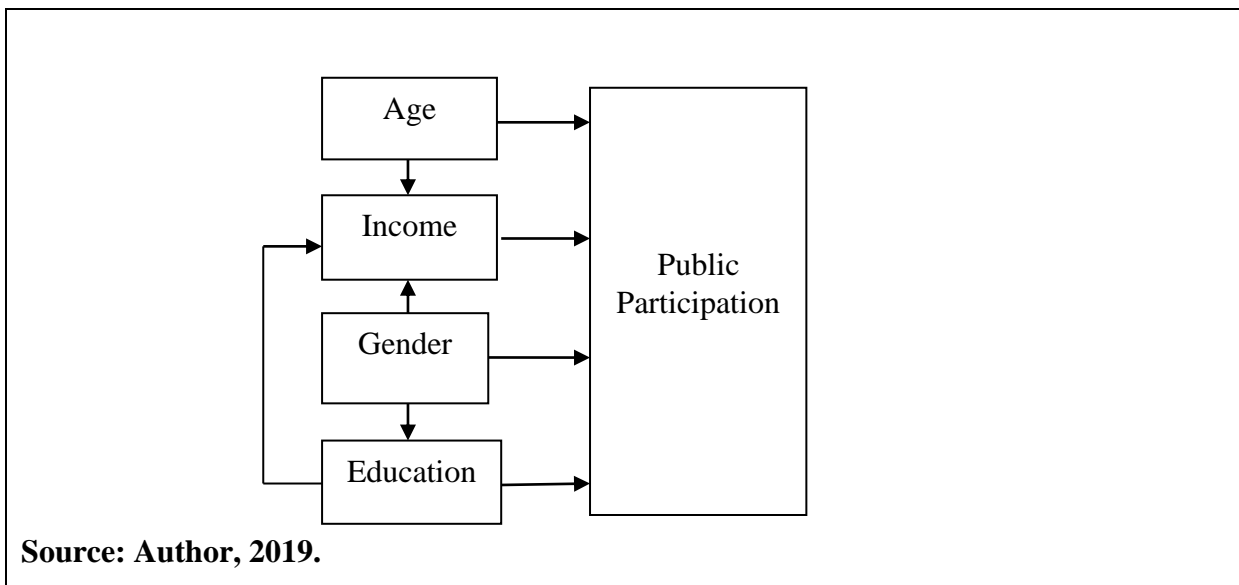
### 1.9.3 Limitations of Civic Voluntarism Theory

Putnam (2000) challenged the proposition that more resources lead to higher participation and that the theory failed to explain why participation has been declining despite the general rise of living standards. Rubenson (2000) took issues with the theory for failing to consider the broader political institutions that may shape citizen participation terming education system as a political process that can inculcate civic skills. This limitation however does not affect this study which focuses on socio-economic factors that influence public participation in budgeting, namely education, income, gender and age which are in the realm of the theory.

### 1.9.4 Conceptual Framework

Given that the *Civic Voluntarism* as a theoretical framework does not explain age and gender, the conceptual framework below shows how all the socio-economic determinants interact with public participation in the budgetary process.

**Figure 1.1 Study Conceptual Framework**



## 1.10 Hypotheses

### 1.10.1 Main Hypothesis

Socio-economic factors influence public participation in the budgetary process.

### ***1.10.2 Specific Hypotheses***

- (i.) The higher the educational level, the higher the likelihood of participating in the budgetary process.
- (ii.) The higher the income, the higher the likelihood of participating in budgetary process.
- (iii.) Men are more likely to participate in budgetary process than women
- (iv.) The older one is, the higher the likelihood of participating in budgetary process

### ***1.10.3 Operationalization of Dependant and Independent Variables***

The *Dependant* and *Independent Variables* were operationalized as shown in table 1.1.

**Table 1.1: Operationalization of the Dependent and Independent Variables**

<b>Variable Type</b>	<b>General Variable</b>	<b>Specific Variable</b>	<b>Variable Indicator</b>
Dependant Variable	Public Participation	Public Participation	<ul style="list-style-type: none"><li>• Whether one participated or did not participate in the budgetary process.</li></ul>
Independent Variable	Socio-economic factors	Income	<ul style="list-style-type: none"><li>• Gross monthly income</li></ul>
		Education	<ul style="list-style-type: none"><li>• Number of years of formal education</li></ul>
		Gender	<ul style="list-style-type: none"><li>• Self-identification by respondents in terms of being male or Female</li></ul>
		Age	<ul style="list-style-type: none"><li>• Number of years lived since birth</li></ul>

**Source: Author, 2019**

## **1.11 Research Methodology**

This section describes the techniques used to conduct the study. The chapter outlines the research design, how data is collected and analysed the sampling techniques and sample size.

### ***1.11.1 Research Design***

The study employs cross-sectional research design. Cross-sectional research design seeks to determine the frequency or level of a particular attribute in a defined population at a particular point in time which in this study is three financial year circle of Nandi County of 2014-2017. The research design is suitable since the study collects data from a selected population to examine the relationship between public participation which is the dependant variable with the independent variables which include: education, income gender and age

### **1.11.2 Data Collection**

The study largely relied on primary data from first-hand information collected purely for this study. The data was largely collected through a survey method using a standardized questionnaire. 55 respondents successful filled and returned the questionnaires.

#### **1.11.2.1 Sampling and Sample size**

Modified multi-stage sampling and snow-ball sampling were used to identify 60 respondents for this study. Multi-stage sampling is a method of sampling at various stages. The population in the technique is regarded to be composed of a number of primary units with each unit further broken into secondary units as the sampling moves to arrive at specific population for the study. Random sampling was used to identify three constituencies in Nandi namely Tinderet, Mosop and Aldai which are also sub-counties.

#### **1.11.2.2 Sample Size**

To arrive at 60 respondents two wards were randomly selected from each of the three constituencies and 10 respondents selected from each ward. Five who had participated and five who had not participated. The county has a population of 885,711 according to the 2019 national population census with majority being native Nandi. The study was limited to adults above 18 years both male and female who are registered as voters in the county and who have the ability to influence the policies of the country through voting. Table 1.2 shows the number of respondents selected from the six wards of the three constituencies:

**Table 1.2: Population Sample**

<b>Constituency</b>	<b>Ward</b>	<b>Participation in Budgetary Process</b>	
		<b>Participated</b>	<b>Did not Participate</b>
Aldai	Kemelio-Maraba	5	5
	Kobujoi	5	5
Mosop	Kabiyet	5	5
	Ndalat	5	5
Tinderet	Ollessos	5	5
	Kapchorua	5	5
Total		30	30
Grand Total		60	

**Source: Author, 2019**

### ***1.11.3 Data Analysis***

Data is analysed largely quantitatively using a combination of graphics display and Gamma measure of association. The purpose of the graphical display is to give a visual impression of the nature of the relationship among variables. Gamma is used for a more precise relationship between variables in numerical terms. Gamma also helps establish if the visual impression are statistically significant. Gamma helps to determine how effectively an information is about an individual's ranking on one variable to predict that individuals ranking on the other.

The value of +1 for gamma indicates the presence of a perfect correlation between two variables while the value of -1 indicates the presence of a perfect negative correlation. Gamma is suitable for it was based on ordinal and nominal variables and also provides an indication of the strength of the relationship between variables. Gamma is a symmetrical measure of association. 0.0 in gamma is indication of nonexistence of association in the two variables under study and not much can be achieved by applying the independent variable to predict the dependent variable. A gamma of 1.0 show that the association between variables is positive and the independent variable can be used to predict the dependent variable.

To ensure reliability and validity, the dependent variable, Public Participation was measured at both ordinal and nominal levels. In both cases the results were the same when correlated with the independent variables – Education, Income, Age and Gender. This study therefore presented findings based on nominal measurements only. The results are reliable since they are consistent regardless of whether the dependent variable, Public Participation, is measured at the ordinal or nominal levels. They are also corroborated by the visual graphs.

## **CHAPTER TWO**

### **HISTORICAL AND CONTEXTUAL BACKGROUND OF THE STUDY**

#### **2.1 Introduction**

This chapter provides the historical and contextual background of the study. It examines not only the the historical context of budgeting in Kenya and how it has evolved over time from independence to the post-2010 constitution period, but also focus on public participation in the budgetary process and offers a preview of socio-economic and political profile of Nandi County where the study is based. It is hoped that the chapter will help to locate the study in its rights context. It is organized into four sections, beginning with the developments in the country's budgeting process from the performance-based budgeting to incremental budgeting currently operational in the country and highlights the budgeting circle in the country from inception to real delivery. The Section also looks at the legal and policy reforms in budgeting that have been undertaken in Kenya including the Public Finance Management Act that was aimed at opening up the budgeting process for purposes of accountability and transparency, and the Integrated Finance Management System whose aim was to consolidate budget management in the country, seal corruption loopholes and stop wastage of public resources.

Part two looks at the question of public participation in budgeting process and captures why the public have been placed at centre of the budgeting process building from a number of conventions that place the people as collective owners of decision and why they must to be involved in administering their finances. The third part looks at the Socio-economic and political Profile of Nandi County, capturing the county's geographical location, its population and economic activities which mainly revolves around agriculture and social activities like athletics which has become the hallmark of the county. The chapter ends with a conclusion.

#### **2.2 The Budgeting Process in Kenya**

##### ***2.2.1 Budgeting in Kenya before 2010***

Adongo (2013) argue that since Kenya gained her independence in 1963, various reforms have been introduced in as far as the process of budget making and budgetary allocations are concerned. The major idea behind the reforms has been to reap maximum benefits from the public sector as a result of injecting a lot of capital into the various sectors of the economy. In the nascent days of Kenya budgeting was a secretive exercise with the government



providing little or no information on the ownership and how funds were being channelled. The government then had the powers to authorize withdrawal of funds from the consolidated fund and appropriate such monies without consultations or even authority from parliament.

This meant that there was limited predictability of funds and flexibility in implementation in the earlier periods of Kenya since the budget was merely incremental centrally managed by the national government and was more a tool of rewarding cronies and punishing political opponents. From the mid 2000 as the democratic space was opening in Kenya there was a built up consensus that budgetary making process was the hallmark of the entire government institutions and there were efforts made in making it as more inclusive as possible.

The early periods of the budgeting in Kenya was based performance budgeting but this was dropped due huge administrative capacity that was required. The country then adopted the program budgeting but the model too was abandoned for being inflexible and required complex skills that were required to manage. Then came zero based budgeting where new budgets were processed each year but was not successful due to low administrative capacity as on-going programs were not being guaranteed of future funding. Kenya then adopted incremental budgeting which is seen to be stabilizing budgeting roles and expectations, consumes less time as it adds to the already existing budget and facilities remedial action.

### ***2.2.2 Budgeting Process and the 2010 Constitution***

The 2010 constitution brought into birth key changes in the management of public finance. Chapter 12 of the new Constitution sets in motion legal instruments that should guide any budgeting process in Kenya. Among these included openness, accountability and public participation. Counties as new semi-autonomous units of governance are also given powers to make their own budgets. The constitution mandates all the county governments to table their budgetary proposals before the county assemblies for interrogation, implementation, approval as well as formulation. It is a requirement by law that once the budgetary proposals in all counties have been tabled before the county assemblies, their authenticity will only be accepted after undergoing all the stages of formulation, implementation as well as public interrogation. At the centre of the budgeting is public participation which enables locals own the budget and have a say on how their resources are used directly or through members of

county assemblies. The process also enables members of the public follow how their leaders are utilizing their funds through various programs being implemented for their benefit.

The process of preparing a new budget usually begins two months after the adoption of the current budget. Since the financial year begins on 1<sup>st</sup> July of every year, the process of making a new budget usually begins by the end of August. It's at this time that the minister now cabinet secretary in charge of finance asks all state corporations, government ministries, county government's independent commissions as well as state departments to start preparing their budgetary estimates. This should be done in compliance to the guidelines and directives issued by the national treasury based on the Public Finance Management Act of 2015. Between the months of September and February, both the national government through the National Treasury and the county government through their finance dockets begin the process of engaging all the relevant bodies and the public on what should be given priority in the budgetary making process. It is required by the Act that both the national government strategic plans and those of county governments should rhyme with each other.

Once the above has been done, the national budget review outlook paper is prepared and presented before the national assembly for interrogation and to be debated upon. The same paper that touches on financial matters in the respective county governments is also prepared and presented before the respective county assemblies for debates and interrogation. This should happen between the months of October and January of the current financial year. Within a similar period, the Commission for Revenue Allocation submits its report on the division of revenue between the national government and the 47 county governments to be aligned with what has already been agreed upon by the National Treasury. The National Assembly can go ahead and approve or not approve the tabled financial bill.

By the end of February in every financial year, the state departments and the National Treasury usually submits a number of policy documents before the August House namely: Medium Term Debt Management Strategy Paper, National Policy Budget Statement, The Division of Revenue Bill, and the County Allocation of Revenue bill. Once the National Assembly and the Senate gives approvals, the Cabinet Secretary for the National Treasury presents a new paper on how to manage national debt. The paper is taken to the Commission

for Revenue Allocation as well as to the Intergovernmental Budget and Economic Council that will then publish the report for the public consumption (Adongo, 2013).

At the end of the month of April, the Cabinet Secretary for National Treasury will present the final budgetary proposals to the national assembly and the senate, it's at this time that the other arms of government such as the Judiciary and the Legislature through the Parliamentary Service Commission also give their own proposals. At this time also, the county governments too in this period through their respective finance dockets present their budgets papers to their respective county assemblies. In the year 2006 the Kenyan government attempted to straighten the management of public finance by launching an ambitious program known as the Public Financial Management Program. This particular program was geared towards making reforms, and enhancing the capacity of the government ministries as well as state corporations in the implementation of the various macroeconomic policies in Kenya. The major idea behind this ambitious program was to ensure that public finance was open to the public for purposes of transparency, accountability as well as act as a responsive measure to the country's priorities and in address the economic realities of the times.

Essentially this was a radical reason after it had been discovered that the many weaknesses of the public financial management in public institutions had for years affected the growth of Kenya's economy, in fact it was the main reason as to why it was difficult for development to take root in Kenya. The secretive nature of the budgeting meant that the cost of doing business in Kenya was excessively high, discouraged a lot of investments from being injected in the country's economy. This made it difficult to address the issue of endemic poverty in Kenya as well as raising the quality of life that that was being preached by the government.

### ***2.2.3 The legal and Policy Framework for Budgeting in Kenya***

#### **2.2.3.1 The Public Finance Management Act, 2012**

Article 125 of the Public Finance Management Act of 2012 spells out the procedures of budgeting in the counties. It outlines stages to be followed in budgeting inline for all programs for development in that county based on available funds. All long term projects as well as the short term will be factored in the budget and priority projects given prominence during the budgeting process. The county governments are also required to make estimates of

their revenue collections for the purposes of planning. The act spells out what is to be done in the formulation and the implementation and assessment of the budgetary estimates in the county governments. The county assembly like parliament is bestowed with the prerogative to either approve or reject or amend the estimates.

### **2.2.3.2 The Integrated Finance Management System**

The is a statistical package that was created with a sole purpose of improving the collection of data process, management of public finance, recording of all public expenditures as well as tracking every shilling that has been spend. The invention of tis software was a as a result of increasing wastages of public resources as well as the demand of transparency from the international donors as well as the people of Kenya. The system was envisioned to improve service delivery, fighting pilferage of public funds and give value to the people of Kenya for their taxes. The system was first adopted in 2003 with limited components and was later reorganized in 2011 making it fully integrated enabling the government to monitor and track the movement of public funds.

### **2.2.4 The County Budgeting Process**

The county budgeting process is divided into four stages with each covering three months. The 1<sup>st</sup> phase kicks off on the 1<sup>st</sup> of July to 30 September. Every County Treasury in this period is required to issue a circular to every county on the guidelines for budget process and procedures to follow. It must involve the public in the budget process through participation and such circular must be made available to the public. During the period, the County Planning Department should table the Annual Development Plan in the County Assembly, which must be made public within seven days. From September 1 to February 15, the County Treasury is required to conduct sector hearings to allow the public and other stakeholders give their views which will inform the preparation for the County Fiscal Strategy Paper.

The second phase kicks off between October to December where the County Treasury is required to table the County Budget Review and Outlook Paper before the County Assembly for discussion. Counties are also required during this period to publish the first quarter budget implementation reports which must be made public through County websites. The third phase occurs from January to March 30<sup>th</sup>. When County governments publish and publicize their 2nd quarter budget implementation reports. The county treasury is also required during this

period to publicize the Fiscal Strategy Paper after tabling it before the County Assembly. The 4<sup>th</sup> quarter is between 30<sup>th</sup> April to June 30<sup>th</sup> when counties publish their third-quarter budget implementation reports for the period of 1<sup>st</sup> January to 30<sup>th</sup> March. The County Treasury also submit the county budget estimates to the County Assembly. From May 1 to June 30 the Budget Committee for the County government will begin to conduct public hearings on the budget proposals or estimates. It is within this period that also counties are required to consider the county government budget estimates either as presented or with amendments.

## **2.3 Public Participation in the Budgeting Process**

### ***2.3.1 Overview***

Public participation is predicated on the realization that governance is about the people and that citizen's involvement in managing their affairs can no longer be wished away. The key aim of allowing public to participate in policy making is to create transparency and accountability for sustainable development. Established public participation is a key ingredient for good governance in democratic systems and any open government. Public engagement is realized when the populace take part and are consulted when policies affecting them are formulated, when they are allowed to question such policies and when they elect people of their choice to represent them (Coulibaly, 2004).

According to the United Nations General Assembly Resolution Report of (2010), it was argued that human beings all over the world were protected against the infringement of their rights, besides these, the various international treaties and agreements which have been signed by their respective states allows them to have a say in how matters of governance in their respective countries are being conducted. Among the treaties signed which this report cites includes, the 1981 African Charter on Human and People's Rights, the 1950 European Convention for the Protection of Human Rights and Fundamental Freedoms, the 1948 Bill of Human Rights as well as the 1966 International Covenant on Civil and Political Rights just to mention but a few. Through taking part, the public give their desires to those in the administration and persuade them to do as par their will. Public contribution allows the people share information about themselves who they are, what they want, and their demand from those who govern them. In all these citizens participate by either voting, taking part in

political campaigns, writing memorandums and taking part in public meetings and even in protests to voice their displeasures (Verba 1999).

Russell (1952) view transparency, fairness and equitable resource distribution as prerequisites of any functioning democracy which can only be realized through public taking part to decide on matters affecting them. Russell cherished the concept of democratic government as having been shaped to a large extent by ideas and institutions of medieval Europe, notably the concept of divine, natural law and customary law as a restraint to the Hobbesian thinking. The French and American revolutions gave birth to the concepts of natural rights and political equality. These concepts became the pillars and have had a significant influence on modern-day democracy in the world historical period,

Enhanced public engagement is viewed as a cure to tackling threats of development in most countries and is anchored on the premise that when the public take part in planning and implementing solutions to challenges facing them, the end goal is project acceptability and sustainability. The Aarhus Convention of 1998, also known as the United Nations Economic Commission for Europe Convention which became operational in 2001 mainly centred on indigenous communities making decisions on matters affecting their environment. It sought to incorporate public participation and access to information in all environmental decision making at local levels. Countries and organizations under the convention have made public participation mandatory for acquiring funding from World Bank. These organizations present active involvement of the affected communities as the main catalyst to attaining success in fighting poverty in developing countries (World Bank, 2002; Begum & Momen, 2005).

Kenya, in attempt to create public participation in 1983, adopted the District Focus for Rural Development program to have locals participate in deciding which projects best suited them. The move was borne out of the need to decentralize development programs to grassroots to enable quick local uptake. Though the program was established in a participatory process planning, implementation was still at the hands of the central government (Chitere & Ileri, 2004). It was modelled in a way that the public were to be educated to be able to spot and come up with answers to the problems affecting them. The program however had no legal philosophy and was not anchored on any law as it served only as a policy pronouncement and

the co-ordinating committees operated administratively without regard to the public preferences and desires (Social and Public Accountability Network, 2010).

The Physical Planning Act in 1996 was an upgraded version of the Rural Focus for Rural Development as it sought to create meaning on participatory and legal framework in Kenya. It was entrenched in the laws of Kenya to have the public be part of planning and execution of physical and development plans in their areas. However, it ignored capacity building of the public in the formulation process. The program was also mainly concerned with big towns locking out the rural populace in the participatory process (Okello, 2008).

### ***2.3.2. Elements of Public Participation***

Public participation has several benefits to the populace. It enlightens citizens on projects and programs being undertaken in their jurisdictions for their benefits. This is critical for purposes of transparency and accountability in the management of public resources. Allowing the public to participate in formulating policies affecting them gives them a chance to influence decisions that have a direct bearing on their lives and hence creates economic equity.

#### **2.3.2.1 Public Participation and Human Rights**

Public participation in the Kenyan context can be viewed as an expansion of the Bill of Rights. Making the public to take part in policy issues has created a new paradigm on how the local populace interact with those that govern them. Tangible change and gains will be realized by encouraging public participation, strengthening the existing institutions as well as ensuring that there is proper accountability (Task Force Report, 2011). Kenyans today are enlightened and are seeking to end policies that are not delivering the right results that will ensure fairness, are transparent as well as makes those in charge accountable to them. The constitution is clear that the people are sovereign, and all powers are vested on them making participation a critical and crucial tool in the administration and governance structure.

#### **2.3.2.2 Public Participation in Budgeting**

To effectively take part in governance, the public must continuously remain informed. This will not only adhere to human rights issues, but it will go a long way in ensuring that there is accountability and transparency in all that is done. Those governing are required to conform

to the dictates of article 201(a) of the 2010 constitution which stresses on the need for all public officers to put emphasis on openness, transparency as well as being accountable to every citizen. This has always been the aspirations of many Kenyans since independence. The question of public participation can properly be sorted out in various ways which includes, constant engagement with the public to get their views on each and every issue, involving the public in budget making processes, making the processes of procurement to be open and transparent, ensuring that oversight bodies are free to access all the necessary documents on time, getting the views of the public before implementing any budgets as well as giving feedback to the general public once the exercise of implanting government policies has been completed (GOK, 2010).

### **2.3.2.3 Public Participation and Accountability**

Kenya has been battling a long history of corruption especially in management of public resources. Kenyan Citizens saw the enactments of the new constitution as providing an avenue for better governance and fighting corruption that had threatened the socio-economic fabric of the nation. The constitution lays emphasis on prudent management of public resources as part of building a prosperous nation. The administrators vested with powers to manage public resources are required to be people of high integrity who have the wellbeing of the nation at heart (Task Force Report on Devolved Government, 2011).

### **2.3.2.4 Public Participation and Decision making**

Having citizens take part in decision making is a cardinal principal for any working democracy. The public who take part in decision making on matters affecting their lives feel part of that administration breeding sustainability of projects being implemented for their benefits. The constitution created provisions for public interaction in both the national and devolved units. The national government through parliament is required to facilitate public participation when making policies. County governments through the Public Finance Management Act 2012 are required to have the public take part in the budgetary process and give views on their priority area. The counties assemblies are mandated to organize such meetings where the public will make their presentations.



### **2.3.2.5 Public Participation and Budgeting**

proper public involvement in budgeting must take in all stakeholders (Herian et al., 2012), Even though the issue of all stakeholders being given a chance to make their input has cost implications and may not be well representative of the citizens, it is still encouraged because it's the only way to involve the general public in governance. This is why in public activities such as budget making, participation of all stakeholders is highly supported by both the law and numerous researches. Scholars argue that by the act of the government promoting public participation, it's a sure way or earning legitimacy for programs that are being implemented for the benefit of the public. The move helps reduce the amount of opposition which the government will be facing while implementing the public projects. Besides these, it will be a sure way of ensuring that matters of justice and fairness has been done to all.

Participation requires all stakeholders to take an active role in the community democratic process and ensure that development initiatives yield the desired outcomes. In participation, the more extensive masses of the populace are included in the planning development of their needs and goals. A model case is that if the poor are involved in the planning stages of any development initiatives within the devolved units then more proactive and productive strategies to address the worries of the underestimated natives can be distinguished.

All citizens ought to have the capacity to take part effectively in the local agenda and make an input in what affects their lives directly or indirectly. This will make the rural poor have the opportunity to take keen interest in handling resolutions that are locally fitting and serve the requirements of their surroundings. Rural social fairness essentially implies individuals have a say in the choices that influence their lives and access to assets that are theirs. This therefore requires the inclusion of the local populace in matters touching on their lives to enhance democratization. In Brazil, the level of citizen engagement has increased greatly. Porto Alegre for example has been billed as the most successful example on how public participation can be achieved in the grassroots. The number of citizens taking active role in society increased from less than 1,000 per year in 1990 to 16,000 in 1998. Participation is not restricted to leaders or the elites, the marginalised groups are expected to take a very active role in the process. Group representatives, and especially from the marginalized regions, choose the allotment of assets through public participation (Fund, 2001).

A 2014 survey by the Ministry of Devolution & Planning in Kenya indicates that 95% of the counties involved the public in consultations on their budgets. The survey showed that 87.5% of the counties involved the public in the integrated development planning, while only 52.4% involved the public in the preparation of fiscal strategy papers. Participation was largely ad hoc and done predominantly at the county and sub county levels, rather than cascaded to the village level. This has meant that participants have to travel long distances and demanded to be reimbursed their transport to be able to attend. This approach has locked out many people who should and could have been involved in giving meaningful inputs in the budgeting.

#### **2.4 Socio-Economic and political Profile of Nandi County**

According to Nandi County Integrated Development Plan (2013-2017) the County is located in the Rift Valley region, bordering Uasin Gichu County to the North, Baringo to the East, Kericho to the South-East, Kisumu to the South, Vihiga to the South-west and Kakamega to the West. The 2009 Kenya national Housing and Census Report indicate that Nandi covers an area of 2,884.2 kilometres square with Kapsabet town as its headquarters. It is made up of six constituencies namely: Mosop, Aldai, Tinderet, Emgwen, Chesumei and Nandi Hills. The county has five administrative Sub-Counties with 11 Divisions, 99 locations and 299 sub locations. It has a population of 885,771 based on the 2019 Kenya Population and Housing Census (Nandi County Integrated Development Plan- 2013-2017). According to the 2019 census, the age distribution is 0-14 years 45%, 15-64 years 51.4%, and over 65 years 3.6%, and the population is almost 50% male and 50% female. The county is predominantly made up of the Nandi tribe and is also habited by Luhyas, Luos and Kisii. The main economic activity in the county is agriculture with dairy and maize farming dominating the northern part while tea, coffee and sugarcane farming dominate the southern part.

The county is considered as the world's athletics hub and is home to celebrated athletes that include current world marathon record holder, Eliud Kipchoge, Kipchoge Keino, Henry Rono and Pamela Jelimo. The county is also home to two universities, Baraton University of East Africa and Koitaleel Samoei University. Majority of the population in the county practice subsistence agriculture with the major economic activities being maize farming and others include tea, coffee, sugarcane, pyrethrum and dairy farming. Though a patriarchal society Nandi county has produced a number of vibrant women in Kenyan politics that include the

late Chelagat Mutai and Dr. Sally Kosgei who served as first Kenya woman Head of Public Service. In 2017 the county defied voting traditions, electing six young women to the county assembly out of the 30 elected members, with the youngest being 24 years. Locals attributed the turn of event on political maturity and that gender stereotypes was slowly fading out. Based on the County Integrated Development Plan 2018-2023, Nandi has a total of 832 primary schools translating to a school in every three kilometres. The secondary school enrolment rate according to the report is above 60% and there are 19 colleges offering tertiary education including two universities. The county too according to the report has a human development index of 0,582 which is comparatively better than the national index of 0.561 placing the economy of the county at above average and hence reasonable standard of living.

## **2.5 Conclusion**

Though there are numerous legal and policy instruments to guide how the public is involved in running county governments, matters to do with budgetary allocations, implementation and evaluation and related processes are still being done in darkness with little involvement of the public. Budget making is mostly considered to be for elites. The technical language used in those sessions makes it hard for ordinary citizens to grasp what is being transacted. The issue of ignorance on budget making is not only limited to citizens, but even members of the county and national assemblies do not understand the budgeting technical language. They are reduced to voting machines in county assemblies and the national assembly and the senate. This by design or omission then makes the executive arms of government to bulldoze the budget process. Members of the county assemblies lack capacity to oversight the executive on budgeting, enabling the executive to sneak in some projects in pursuit of political gains.

## **CHAPTER THREE**

### **DATA PRESENTATION, ANALYSIS AND DISCUSSION**

#### **3.1 Introduction**

This chapter presents discussion of the research findings, discussions and interpretations on socio-economic determinants of public participation in the budget process in Nandi County. It tests the broad hypothesis that socio-economic factors influence public participation in the budget process as well as the four specific hypotheses on the influence of education, income, gender and age on public participation in the budgetary process in Nandi County. The first part deals with the study response rates. The second part provides an outline of the levels of public participation which is the dependent variable. The third part outlines the independent variables and in so doing presents the socio-economic aspects of the respondents. The fourth section tests the relationship between the dependent variable (public participation) and each of the specific independent variables in turns (education, income, gender and age). The chapter ends up with a conclusion on the major findings of the chapter.

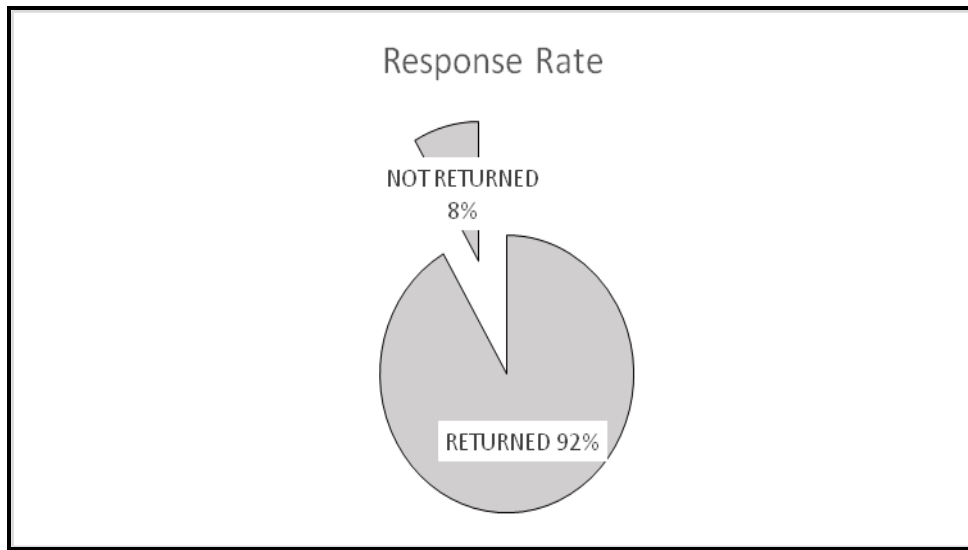
#### **3.2 Response Rate**

This section presents the general response rate, response rate by gender, education and income and age. A total of 60 questionnaires were distributed to help in the study in the three counties of Nandi which included, Mosop, Aldai and Tinderet. It focused mainly on six wards in the three constituencies. Out of this, 55 respondents filled and returned the questionnaires representing 92% response rate. The response rate is satisfactory to conduct the analysis and make conclusions. A response rate of 70% and over is excellent for analysis according to Baruch and Holtom (2008).

##### ***3.2.1 General Response Rate***

A total of 60 questionnaires were used to collect data for the research as demonstrated in the chart. 92% of the respondents completed the questionnaires and successfully returned them. 5% of the respondents, however, failed to return the questionnaires. Figure 3.1 shows the response rate of the questionnaires that were administered to the respondents.

**Figure 3.1: General Response Rate**

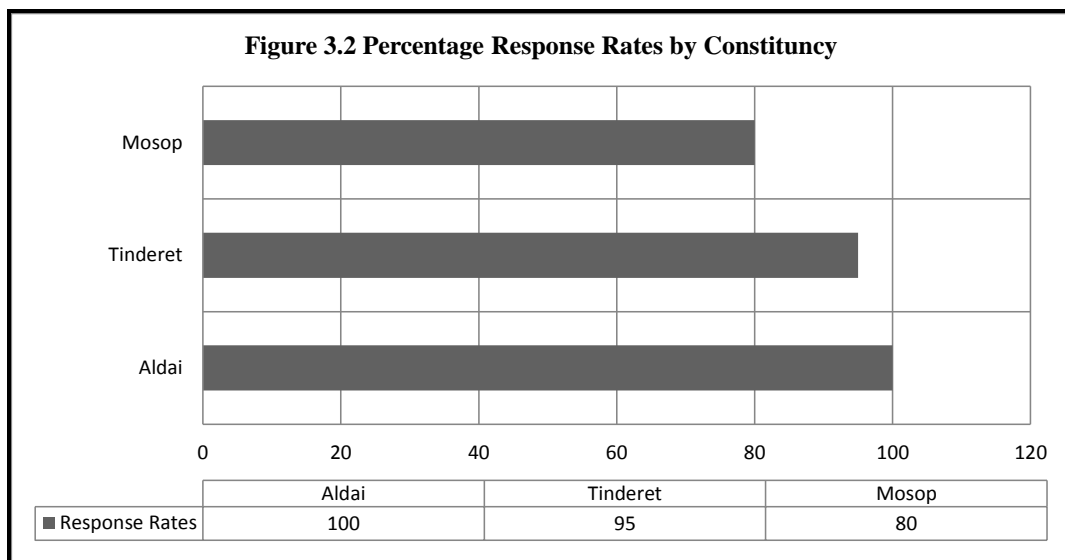


**Source: Author, 2019**

**3.2.2 Response Rate by Constituency**

The research was conducted in six wards from three constituencies selected in Nandi County and a total of 60 questionnaires were used to collect data. Figure 3.2 shows the response rate by constituency.

**Figure 3.2: Response rate by Constituency**



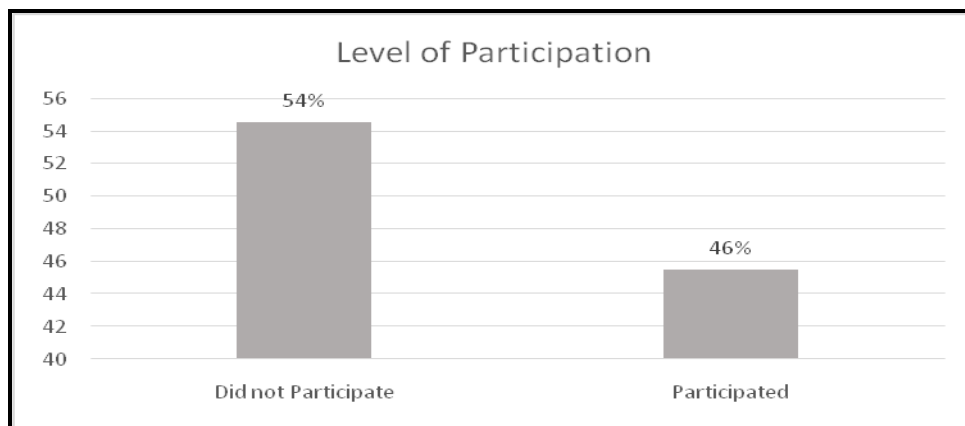
**Source: Author, 2019**

The results indicate that Aldai constituency has the highest response rate of 36.4%, Tinderet at 34.5%, Mosop at 29.1%. 8.3% of the questionnaires were not returned. Aldai constituency among the three has fairly developed infrastructure and mobility during the rainy season is not that bad this then informs why the response rate is quite high. Tinderet on the other hand is quite hilly, making mobility and communication challenging hence the low response rate. Mosop constituency is the largest among the three and sparsely population and has poor infrastructure making mobility near impossible during the raining season. Mosop is also the home of the current Nandi senator who has been whipping locals to boycott anything to do with the budgeting process of the county hence the low response rate. The respondents in the constituency were also jittery in filling the questionnaires even being informed that it was only meant for academic use and not for the county government.

### 3.3 The Dependent Variable: Public Participation

The study finds out the level of public participation among the respondents measured in two ways. *Public Participation* is measured as a binary categorical variable in terms of whether one participated in the budgetary process or did not. Figure 3.3 shows the levels of public participation among the selected respondents

**Figure 3.3 Levels of Public Participation**



**Source: Author, 2019**

Based on the results in Figure 3.3, 54% of the respondents note that they did not participate in the Nandi County budget process, while 46% of the respondents note that they participated in the budget process. However, the 9% difference between them is statistically insignificant ( $\chi^2$

= 1.28;  $\alpha = 0.258$ ). That is, within 95% confidence level, the number of respondents who participated and those who did not is not significantly different within the sample. In terms of participation by constituency, Aldai which had the highest participation rate is the home of the Nandi governor, Steven Sang. The governor has been lobbying his home constituency to legitimize his budget and support his political agenda. Participation in Mosop constituency was however the lowest and this can be attributed to the fact that the Nandi senator, Samson Cherargei who is a big critic of the governor and has been lobbying of boycotts of budgetary meetings seeking to deny the governor a chance to have his programs endorsed.

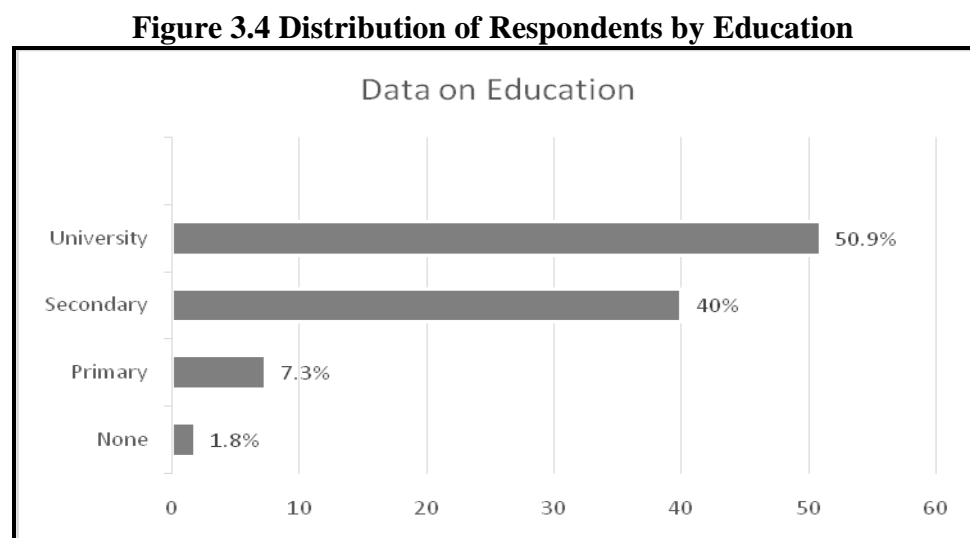
### 3.4 The independent Variables: Socio-Economic Factors

#### 3.4.1 Overview

Though there are many socio-economic variables, the research focuses on gender, education income, gender and age of 60 respondents in collecting data. The study administers set questions as attached in the appendix to collect data. Respondents are required to state their gender, level of education, income and age in the questionnaire.

#### 3.4.2 Distribution of Respondents by Education

The study seeks to find out the level of education attainments of the targeted respondents. All the 60 respondents are required to state the highest education level that they have managed as indicated in Figure 3.4 below:



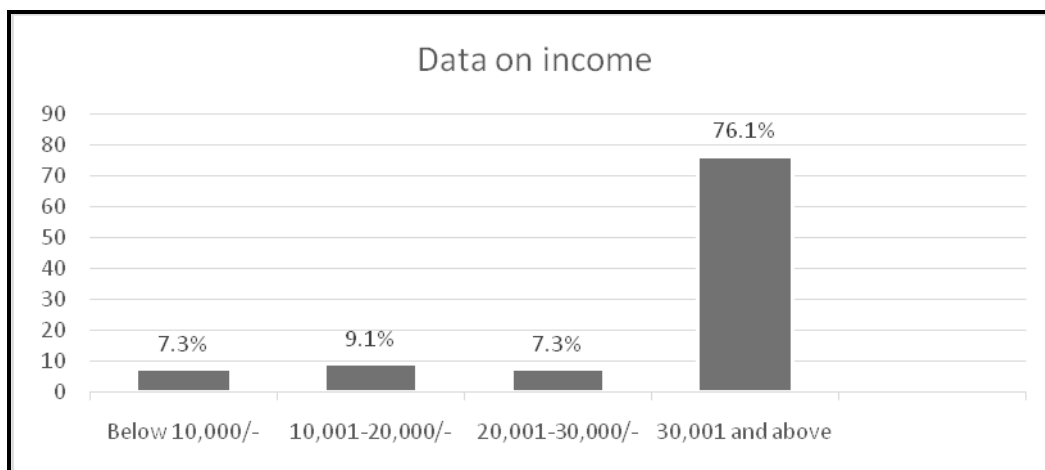
Source: Author, 2019

The results in Figure 3.4 indicate that the response rate is highest for respondents with university education at 50.9%, secondary education at 40%, primary education at 7.3% and no education at 1.8%. Education infrastructure in Nandi is quite developed and has allowed most people to acquire formal education. The county is also home to two universities, Baraton University and Koitalel Samoi University making higher education more accessible.

### 3.4.3 Distribution of Respondents by Income

All the respondents are required to indicate their monthly earning from the kind of income generating activities they are engaged in ranging from formal employment to any kind of business they are doing. The income is then summed up to arrive at the total possible monthly earning of the respondents as indicated in figure 3.5.

**Figure 3.5 Distribution of Respondents by Income**



**Source: Author, 2019**

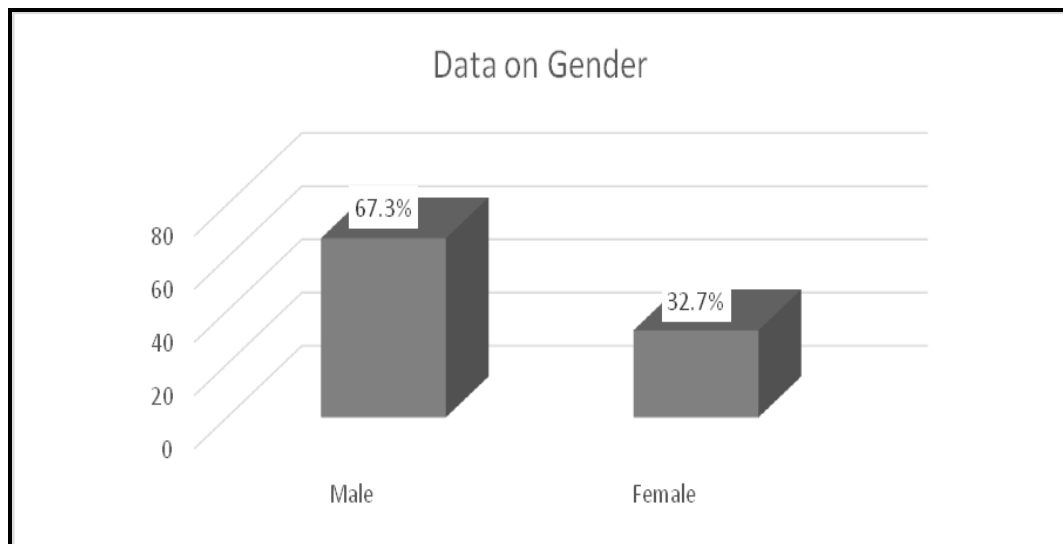
The results in Figure 3.5 indicate that the response rate is highest for respondents earning 30,001 and above at 76.1%, 10,001-20,000 at 9.1%, below 10,000 at 7.3% and 20,001-30,000 at 7.3%. Nandi is an agricultural county with more than 90 percent of the population engaging in one form of farming. In Mosop for instance, dairy farming is dominant while Tinderet is home to tea farming with quite a number of tea factories dotting the area while in Aldai maize farming is prevalent explaining why the income of majority is above 30,000/. Most locals in these three constituencies have some form of employment in the tea factories and dairy establishment that add to their income.



### 3.4.4 Distribution of Respondents by Gender

The study focuses on adults of above 18 years both male and female and the response rate is shown in the figure below. The respondents are required to indicate their gender in the questionnaires and the finding is illustrated in Figure 3.6

**Figure 3.6 Distribution of Respondents by Gender**

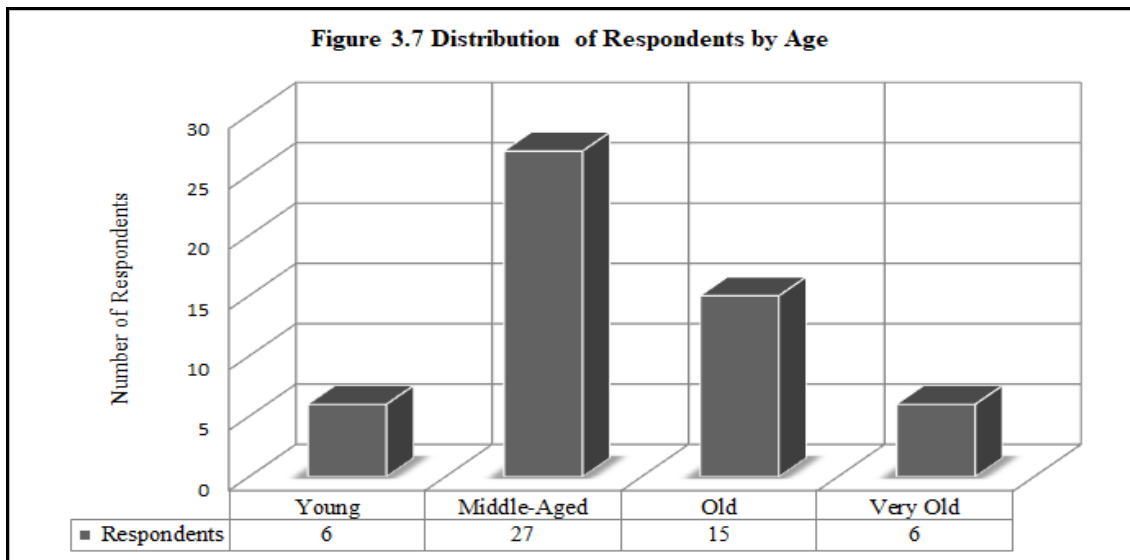


**Source: Author, 2019**

The above results indicate that male response rate is highest at 67.3% while female response rate is 32.7%. Nandi is mainly a patriarchal society and almost every decision is made by the male head of society and this could have informed why there is a high rate of male respondents. Women too in the community are quite reserved and would hardly want to be involved in giving any information in the presence of their male counterparts.

### 3.4.5 Distribution of Respondents by Age

The study focuses on adults of above 18 years and the respondents were required to indicate their age in the questionnaires and the finding is illustrated in Figure 3.7 below.



**Source: Author, 2019**

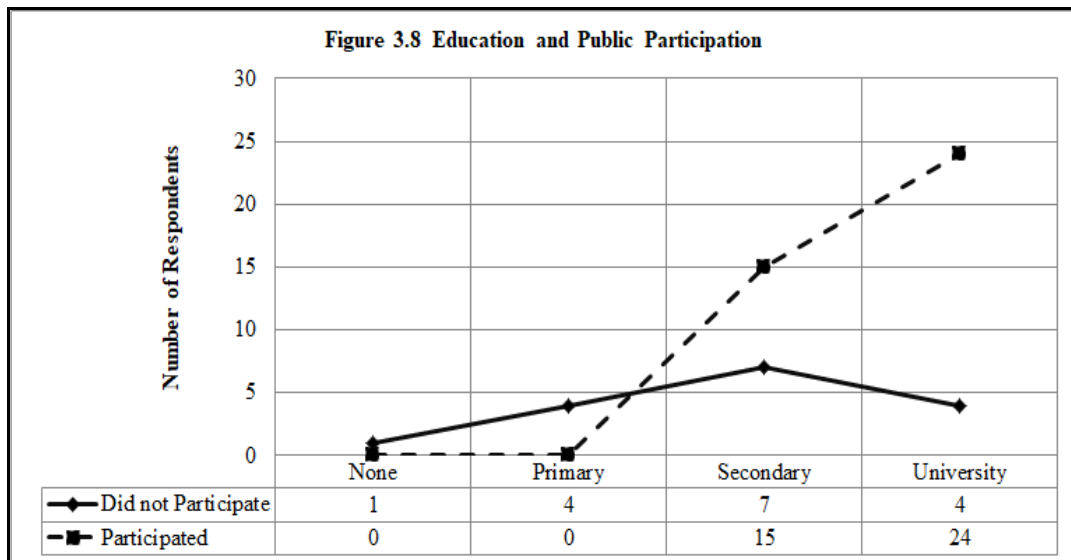
There were very few young and very old people in the sample as the majority were either middle aged or old. More specifically, 11.1% were very few young, another 11.1% were very old, 27.8% were old, while the remaining half of the sample consisted of middle aged people.

### **3.5 Testing the Relationship between Dependent and Independent Variables**

This section tests the bivariate relationships between public participation in the budgetary process and the socio-economic factors.

#### ***3.5.1 Education and Public Participation***

This section is testing the first specific research hypothesis which states that the higher the educational level, the higher the likelihood of participating in the budgetary process. I first plotted a graph of educational against public participation to give a visual impression of the relationship between them. Figure 3.8 shows a comparative line graph between education level and the levels of public participation in the budget process.



**Source: Author, 2019**

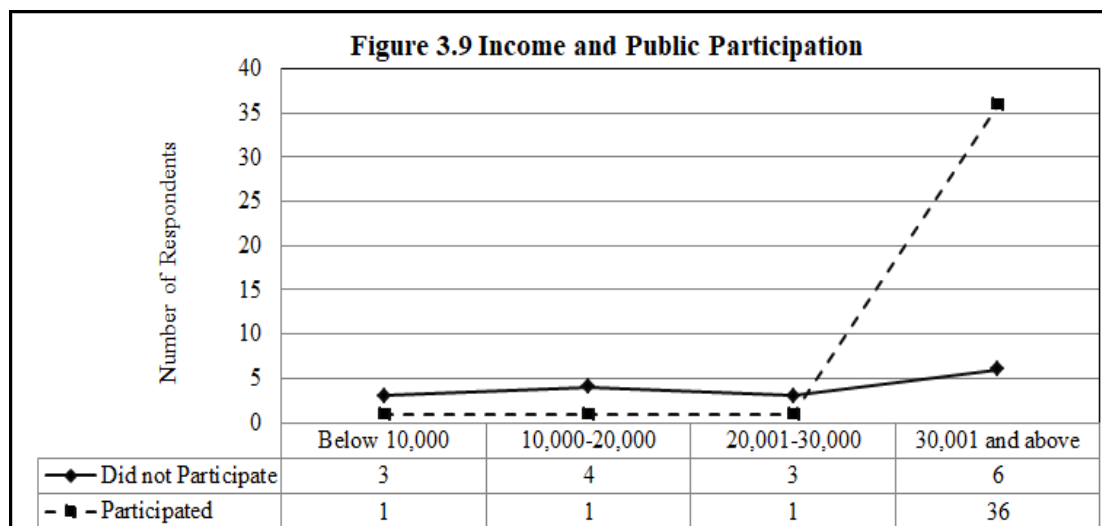
The graph shows that all the selected respondents with either no education at all or those with primary educational attainment had not participated in the budget process in Nandi County. On the other hand, a good number of respondents with secondary or university education had participated in the budgetary process. That is, 15 out of 22 or 68.2% of the respondents with secondary level of education participated in the budget process compared to 24 out of 28 or 85.7% of respondents with university education. This means that respondents with university education are more likely than those with secondary education to participate in the budgetary process. Taken together, the graph presented tends to show that the more educated one is, the more likely he has participated in the budget process. Since those with university education also tend to participate more in the budgetary process in Nandi County compared to those with no education and therefore the higher the education level, the higher the likelihood of participating in in the budgetary process.

For better understanding of the relationship between education level and the levels of public participation in the budget, I performed *Gamma Measure of Association*. *Gamma Measure of Association* reveals a Gamma of 0.59 ( $t = 5.32; \alpha < 0.001$ ), which mean that there is a strong and statistically significant positive association between education and public participation. As stated under methodology, the value of gamma ranges from -1 to +1. A gamma measure of 0,59 indicates that the relationship between education and public participation is strong so that public participation can be predicted using educational levels. The *Association* is said to

be strong since 0.59 is closer to 1 than 0. It is also positive rather than negative. The study findings are consistent with Putnam, (2000) who concluded that education is an important variable in the success of any public engagement initiative. In the case of participation as an ordered categorical variable, the findings indicated that as education increases, the level of participation in the budgetary process also increases.

### 3.5.2 Income and Public Participation

This section is testing the second specific research hypothesis which states that the higher the income, the higher the likelihood of participating in the budgetary process. I first plotted a graph of income against public participation to get a visual view of the relationship between income and public participation. Figure 3.9 shows a comparative line graph between *Income Level* and public participation in the budgetary process.



**Source: Author, 2019**

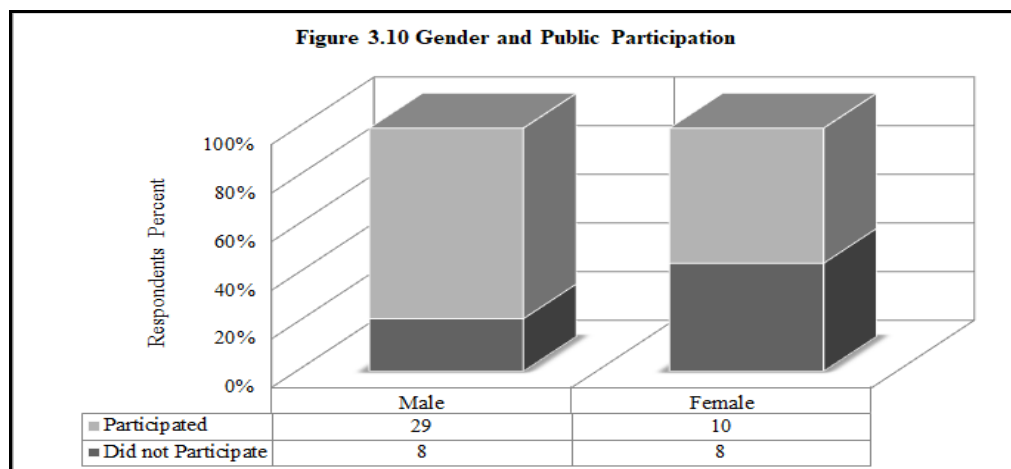
Figure 3.9 shows that only 13 out of 55 or 23.6% of the respondents had monthly gross income less than Kenya Shillings 30,001 while the majority of 42 out of 55 or 76.4% have incomes above 30,000. It is also evident that most of the few respondents whose monthly gross incomes are below Kenya Shillings 30,001 (76.9%) did not participate while only 23.1% participated in the budgetary process in Nandi County. However, among those whose monthly gross incomes exceed Kenya Shillings 30,000, 85.7% participated while only 14.3% did not participate. These results suggest that those with higher incomes are more likely to participate in the budgetary process than those with lower monthly gross incomes.

To get better understanding of the relationship between income level and public participation in the budgetary process, I performed an association test using the *Gamma Measure of Association*. The analysis gives a Gamma of 0.648 ( $t = 6.19; \alpha < 0.001$ ), which mean that once more there is a strong and statistically significant positive association between income and public participation. In fact, since both the gamma value and t-value for income are greater than those for education, it can be argued that income has a much stronger influence on public participation than education even though both are significant. Based on these findings, there is evidence supporting the hypothesis that the higher the income, the higher the likelihood of participating in the budgetary process is accepted.

This study finds a positive relationship between income levels and public participation in line with Verba's (1995) view that citizens who possess wealth in a society usually take active role in public matters. The positive correlation between income and participation in budget processes is expected since high income earners would want to make sure their resources are properly utilized. The high-income earners also happen to be high tax payers and therefore, they have the obligation to ensure that the taxes they pay are put in the right place.

### 3.5.3 Gender and Public Participation

This section tests the third specific study research hypothesis which states that men are more likely than women to participate in the budgetary process. I began by plotting a line graph of gender and public participation to get visual view of the relationship between gender and participation. Figure 3.10 is a comparative bar graph of Gender and public participation.



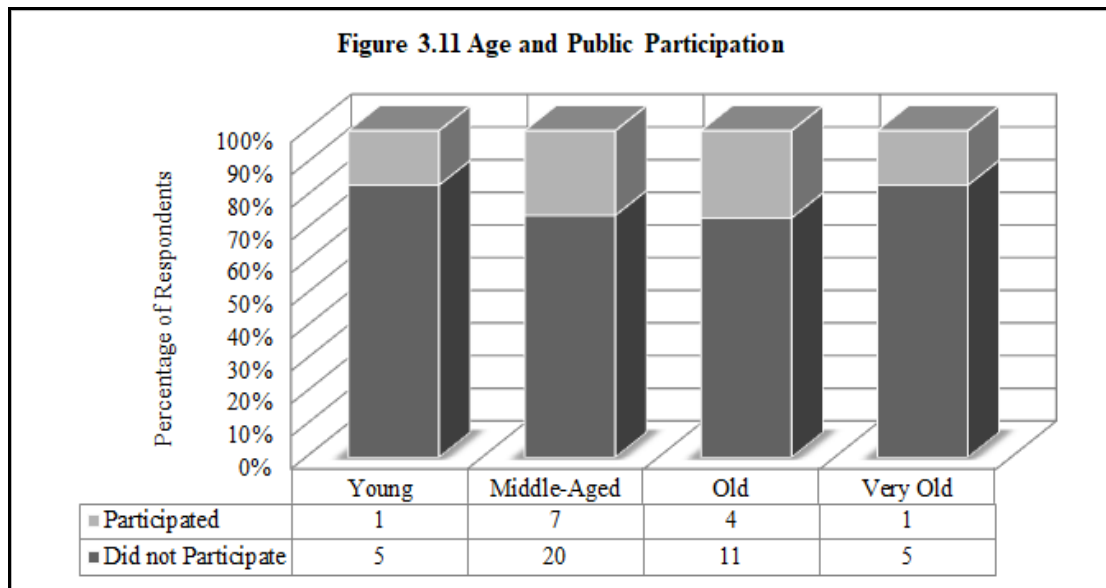
Source: Author, 2019

The results in Figure 3.10 indicate that men have a higher participation index in the budgetary process in Nandi County than women. Based on this finding, it would seem that men are more likely to participate in the budgetary process than women. Only 10 out of 18 or 55.6% of the female respondents had participated in the budgetary process as compared to 29 out of 37 or 78.4% of the male respondents. This difference between male and female respondents who participated in the budget process is 22.8% which is significant ( $\chi^2=10.75$ ;  $\alpha=0.001$ ).

The visual impression created in figure 3.10 does not make it clear the nature of relationship between gender and public participation but merely show that more men participate in the budgetary process than women. I therefore performed *Gamma Measure of Association* test to gain better understanding of the relationship between education level and the levels of public participation in the budgetary process. The test yielded Gamma of 0.487 ( $t = 4.06$ ;  $\alpha < 0.001$ ). This means that there is strong and statistically significant positive association between gender and public participation. By looking at the table at the bottom part of figure 3.9, it is clear that the diagonal that runs from the male who participated (29) to the female who did not participate (8) is stronger than the one running from the female who participated (10) to the male who did not participate (8). This is because the value of the first diagonal is 232 (29x8), while the value of the second one is 80 (10x8). This can be interpreted to mean that men are more likely to participate in the budgetary process than women. This can be attributed to more interest in public participation among men than women on budget issues. Since the value of gamma for gender which is 0.487 is smaller than that for education (0.59) and income (0.648), it can be concluded that of these socio-economic determinants of public participation, income is the strongest, followed by education and then lastly gender.

#### ***3.5.4 Age and Public Participation***

This section tests the fourth and final specific study research hypothesis which states that the older one is, the higher the likelihood of participating in the budgetary process. I first plotted a graph of *Age and public participation* to gain a graphical view of the relationship between Age and Participation. Figure 3.11 is a comparative bar graph of Age and participation.



**Source: Author, 2019**

The difference in the participation levels among respondents of different age categories is not quite clear from Figure 3.11. It is notable that 1 out of 5 or 20% of the young people; 7 out of 20 or 35% of the middle-aged; 4 out of 11 or 36.4% of the old and 1 out of 5 or 20% of the very old respondents had participated in the budgetary process. It is difficult to visualize whether these differences are significant. For instance, the difference in the participation levels between the old and the young as well as that between the old and the very old are both 16.4% and statistically significant ( $\chi^2 = 5.857$ ;  $\alpha = 0.016$ ). Yet, the participation levels among the young and the very old is the same, while there is no significant difference between the participation levels of the middle-aged and the old ( $\chi^2 = 0.0035$ ;  $\alpha = 0.953$ ).

I therefore explored the relationship between age and public participation in the budgetary process using *Gamma Measure of Association* test. Since some cells in the table at the bottom-end of figure 3.11 are as small as 1, I collapsed together the young and middle-aged to one category called young and also collapsed the old and very old together into one category called old. The results are tabulated in table 3.1 below:

Table 3.1 Age and Public Participation

Age	Participation in the budgetary process	
	Did not Participate	Participated
Young	25	8
Old	16	5

Source: Author, 2019

The test yields Gamma of - 0.012 ( $t = 0.09$ ;  $\alpha=0.93$ ). This means that there is no statistically significant association between age and public participation. The two diagonals running from the young respondents who did not participate to the old respondents who participated ( $25 \times 5 = 125$ ) is just of the same strength as that running from the young respondents who participated to the old respondents who did not participate ( $8 \times 16 = 128$ ). Therefore, younger respondents are just as likely as older respondents to participate in the budgetary process.

### 3.6 Conclusion: Putting the Findings Together

The results show that with the exception of age, the other socio-economic factors (education, *income* and *gender*) influence participation in the budgetary process as summarized below:

Table 3.2 Socio-Economic Determinant of Public Participation

Variable	Gamma Measure of Association		
	Coefficient	t -value	P-Value
Education	0.590***	5.32	$\alpha < 0.001$
Income	0.648***	6.19	$\alpha < 0.001$
Gender	0.487***	4.06	$\alpha < 0.001$
Age	- 0.012	0.09	$\alpha = 0.93$

Source: Author, 2019

Since the cut-off point for the t-value at 95% confidence level is 1.96, the cut-off values for *Education*, *Income*, and *Gender* are therefore said to be statistically significant within 95% confidence level. Similarly, the probability that the observed influence of *Education*, *Income*, and *Gender* are all less than 0.05, which means that the three factors significantly influence public participation in the budgetary process in Nandi County. These results show that the more educated one is, the higher the likelihood of participating in the budgetary process. Also, the higher, the income the likelihood of participating in the budgetary process. Besides,



men are more likely than women to participate in the budgetary process. However, not only is the gamma coefficient for *Age* (- 0.012) very low and close to zero but its t-value (0.09) is less than 1.96 while the p-value (0.93) is by far greater than 0.05. This means that *Age* has no significant influence on public participation in the budgetary process in Nandi County.

Both the gamma coefficients and the associated t-values for the socio-economic determinants of public participation show that *Income* is the single strongest socio-economic determinant of public participation in the budget process in Nandi County, followed by *Education* and then *Gender*. Taken together, these results show that the effect of socio-economic factors on public participation varies with the socio-economic factor in question. While factors like education, income and gender are significant, others like age are not significant. The findings support socio- economic model of political participation expounded by Verba *et al* (1995) in the *civic voluntarism theory*. It is resources like education and income which matters and since these resources are closely connected with gender, gender is also important. However, since these resources are not connected with age, at least in Nandi County, then age is not an important determinant of participation in the budget process in Nandi County.

## **CHAPTER FOUR**

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

#### **4.1 Summary of the Study and the Findings**

##### ***4.1.1 Summary of the Study***

This study explores the socio-economic determinants of public participation in the budgetary process in Nandi County. It focused on four key socio-economic variables namely, education, income, gender and Age. The study was based on Civic Voluntarism Theory as expounded by Verba *et al* (1995). The theory is based on a socio-economic model of political participation, and places resources at the heart of political participation. Given the significance of resources such as education and income in political participation, this study seeks to understand the influence of socio-economic resources like education and income on participation in the budget process in Nandi County. Because age and gender are usually assumed to be correlated with income and education, this study also tested the influence of age and gender on participation in the budget process. The study used cross-sectional design, a modified multi-stage and snow-ball sampling techniques to get a sample of 55 respondents spread across three of the six constituencies of Nandi Country, namely, Tinderet, Mosop and Aldai. Data analysis involved graphic displays and a series of Gamma measure of association tests.

##### ***4.1.2 Summary of the Findings***

As regards the first study objective, the results show that there is strong positive association between the education of the respondents and public participation in the budgetary process. This supports the first study hypothesis that the higher the educational level, the higher the likelihood of participating in the budgetary process. In terms of the second study objective, the results show an even stronger positive correlation between the income of the respondents and public participation in the budgetary process. This supports the second study hypothesis that the higher the income, the higher the likelihood of participating in the budgetary process. As for the third study objective, the results show that there is a strong association between the gender of the respondents and public participation in the budgetary process. This supports the third study hypothesis that men are more likely than women to participate in the budgetary process. The findings on the final objective however show that the relationship between age and public participation in the budgetary process is insignificant.

## **4.2 Conclusions**

In a nutshell, the study results, analysis and interpretation indicate that socio-economic factors largely influence public participation in the Nandi County budget process and is also likely to influence public participation in other Counties and even on issues other than budgeting. Based on the findings, the study concludes that education level has a significant influence on public participation in the Nandi County budget process. The implication is that an increase in education level of individuals increases their likelihood to participate in the budgetary process. Similarly, income has a significant influence on public participation. The implication is that an increase in the income levels of residents is likely to increase the likelihood that they will participate in the budgetary process. The results further show that men are more likely than women to participate in the budgetary process. However, it is evident that age does not matter as far as participation is concerned. Younger people are just as likely to participate as the older people in the budgetary process in Nandi County.

## **4.3 Recommendations**

To remedy the situation where less educated residents shy away from public participation, the study recommends that the Nandi County government should adopt clear communication channels on the Public participation. For instance, such media as radio that can widely reach the less educated should be used. The county can also adopt and use mobile announcement mechanisms where vehicles mounted with speakers go round announcing the meeting venues. In particular, the dates and venues of the meetings should be communicated early and clearly. Indeed, when the respondents were asked to give their views on what should be done to enhance public participation in the budgetary process in Nandi County, 35% of respondents noted that there should be clear communication on the public participation dates and venues. Also, County budget meeting venues should be in central and convenient places for everyone. To attract women and those who have low income, the Nandi County government should re-look at the timings of the budgetary meetings and consider doing it even past working hours or over the weekends to enable those who are hustling to attend the forums. Peer educators can also be trained and used as conveyers of information on the importance of attending budgetary meetings to appeal to women and those with low income.

The County government should also ensure that the views of the people are reflected in the final budget. This was expressed by 31% of respondents who feel that the views of the locals are never reflected in the budget. This will build people's trust in the County government and they will be more willing to participate even in the other public engagement activities. The County government should further ensure that people are enlightened about the importance of budgetary process and the reason they should participate. The budget statements should also be made simple for the ordinary citizens to comprehend. When the respondents were asked what should be done to enhance public participation in the budgetary process, 15% noted that there should be more civic education about the budgetary process, while another 12% were of the view that the budget statement should be made simple. Finally, this study focuses on how socio-economic factors influence public participation in the budgetary process in Nandi County. Similar studies should be conducted in other Counties for the purpose of comparison.

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## APPENDICES

### APPENDIX I: LETTER OF RESEARCH QUESTIONNAIRE

Graham John Kirwa  
University of Nairobi  
Nairobi

Dear Sir/Madam,

TO WHOM IT MAY CONCERN,  
RE: RESEARCH QUESTIONNAIRE

I am a student at the University of Nairobi and intend to conduct a research on Socio-Economic Determinates of Public Participation in the Budgetary Process in Nandi County. This is therefore to request your assistance in completing the questionnaire attached below. The nature of the research will be purely for academic purpose as part of fulfillment of my Mater Degree in Political Science and Public Administration. All information obtained will be treated with outmost confidentiality and will not be subject to any disclosure to a third party or for any other purpose other than academic. You are requested not to indicate your name or any sign that may disclose your identity. I will be grateful for any assistance accorded to me in responding to the questionnaire and your contribution will be so valuable.

Thanks in advance for your time.

Yours sincerely,

Graham John Kirwa

## APPENDIX II: QUESTIONNAIRE

### INFORMATION TO RESPONDENTS

Please read the information provided below and tick against the statement that you agree with or give your views in the provided spaces. Do not leave any contact or your names in the questioner. Privacy and confidentiality is of essence.

#### SECTION A: Personal Information

Q 1. State your gender?

1. Male [ ]

2. Female [ ]

Q 2. How old are you?

Q 3. What is your education attainment?

(1) None [ ]

(2) Primary [ ]

(3) Secondary [ ]

(4) University [ ]

Q 4. What is your occupation?

(1) Farmer [ ]

(2) Civil Servant [ ]

(3) Businessperson [ ]

(4) Not Employed [ ]

Q 5. What is your monthly income?

(1) Below 10,000/- [ ]

(2) 10,001-20,000/- [ ]

(3) 20,001-30,000/- [ ]

(4) 30,001 and above [ ]

**SECTION B: PUBLIC PARTICIPATION IN THE BUDGETARY PROCESS**

Please tick a box (√) in each number that you feel is appropriate to you. Your response is highly regarded.

		YES	NO
6	Have attended the budgetary meeting in Nandi county.		
7	Have attended and made any presentation in the budgetary meetings in Nandi county.		
8	Have attended and presented a memorandum in the budgetary meetings in Nandi county.		
9	Have not attended but listened to budgetary meetings in Nandi county through the media		
10	Have not attended but expressed views through social media on the budgetary process in Nandi county.		
11	Have not attended but have discussed the budgetary process in Nandi county with a friend.		
12	Have not attended but fully support the budgetary process in Nandi county.		
13	Have attended but my views were not captures in the budgetary process in Nandi county.		
14	Have attended but felt budgetary meeting were of no significance.		
16	Have attended but never gotten any feedback on the budgetary process in Nandi county.		
17	More men attended budgetary meetings than women		