



**THE KENYA COMMUNITY
BASELINE SURVEY TO
INFORM OXFAM'S
NORAD II GRANT**



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Nairobi, March 2020

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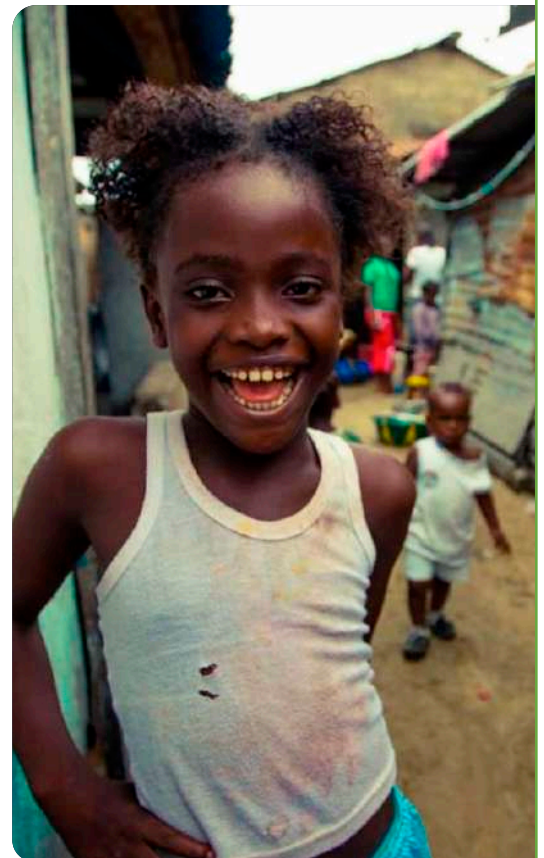
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Abbreviations

CBOs	Community Based Organizations
CHASP	Capacities for Health and Social Policy
CSOs	Civil Society Organizations
CGs	County Governments
DoL	Diocese of Lodwar
EATGN	East Africa Tax and Governance Network
FGD	Focus Group Discussion
GPS	Global Positioning System
KII	Key Informant Interview
KNBS	Kenya National Bureau of Statistics
MCA	Member of County Assembly
NCCK	National Council of Churches of Kenya
NGOs	Non-Governmental Organizations
NORAD	Norwegian Agency for Development Cooperation
PPS	Probability Proportional to Size
RAs	Research Assistants
UNESCO	United Nations Educational, Scientific and Cultural Organization
YAK	Youth Alive Kenya

Executive Summary

Why NORAD II?

Increased public participation, expanded civil society space, stronger community capacities, and the consciousness for good governance and human rights, are core pre-requisites for sustained improvement in livelihoods for poor and marginalized individuals and groups.

These are pillars for effective utilization of public resources. Oxfam works with various partners to facilitate engagement between government institutions, civil-society, private sector and citizens – in a way that promotes active citizenship.

In 2018, Oxfam secured a multi-year, multi-country grant from the Norwegian Agency for Development Cooperation (NORAD) to implement a Fiscal Justice project between the period of November 2018 to April 2021. The grant is focused on building coalitions of active citizens to engage government for more fiscally just policies and practices.

The project supported by this grant aims to enable Civil Society Organizations (CSOs), non-traditional stakeholders like religious groups, communities and others affected by the Extractive Industry, to influence governments towards changing policies and practices to better benefit citizens. The project operates in Turkana and Nairobi Counties.

The project specifically aims to;

- Support CSOs to engage with decision makers (i.e. governments, extractive companies and International Finance Institutions) on public financial management and petroleum revenue governance at national and subnational levels.
- Increase awareness of the public on critical extractive industries and public finance management issues including cost audits, revenue management and budget tracking, and mobilize them to put pressure on companies and governments towards developing and implementing just and equitable policies.
- Empower communities impacted by extractive industry activities to actively engage and meaningfully participate in decision making processes related to natural resource management.
- Develop evidence in support of advocacy asks by communities and CSOs on petroleum revenue and public finance management.

Scope & Methodology of Baseline Study

The baseline survey focused on establishing community perceptions of voice, representation, negotiation, access to information, influence and empowerment in relation to revenue management within county governments and (for the case of Turkana), in the involvement of communities in decision making within the extractives industry.

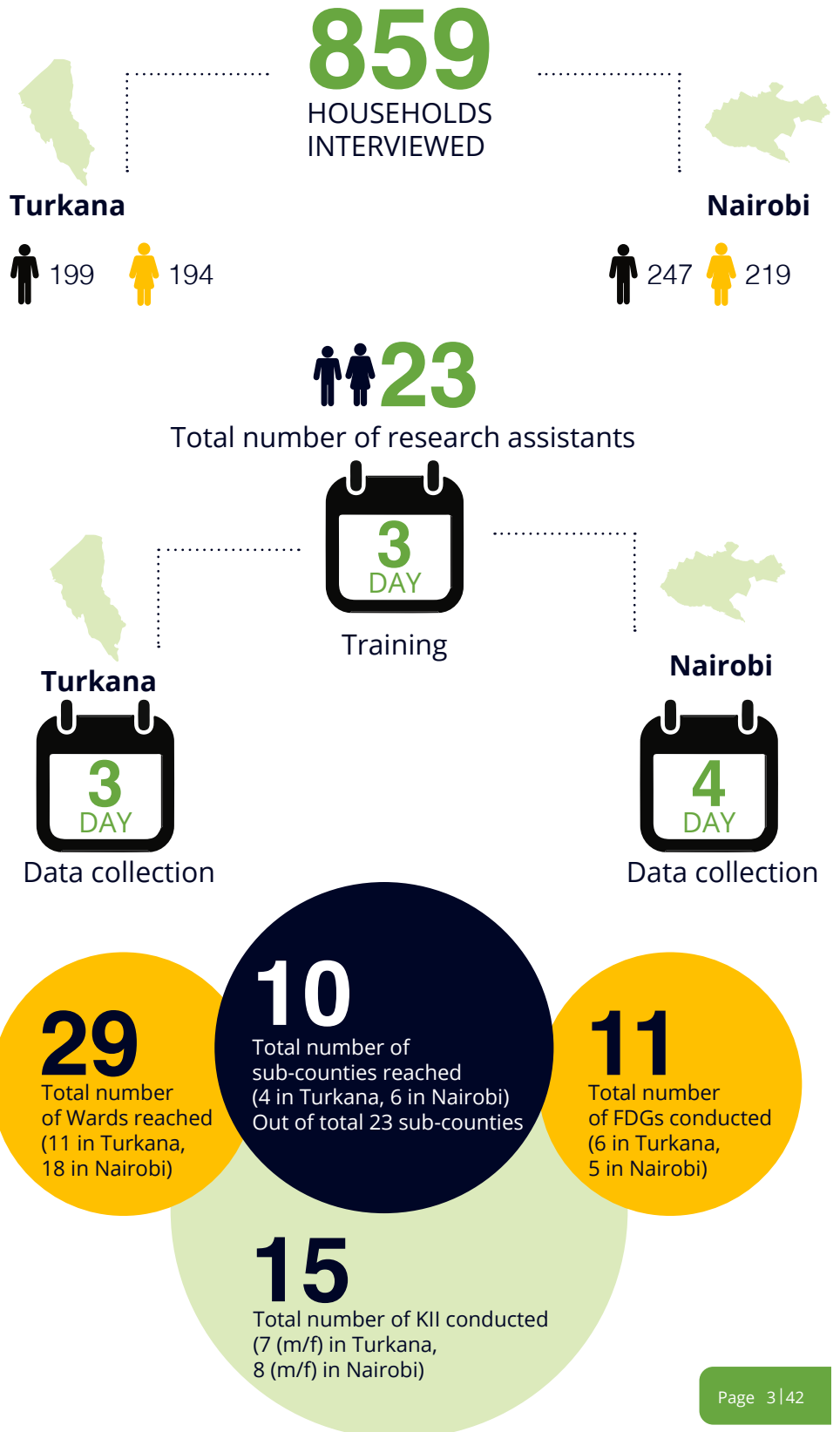
A non-experimental approach was used to measure the dimensions of Social Accountability within communities in Nairobi and Turkana counties. Probability sampling was used for the household quantitative survey to ensure that all populations living in target areas had an equal opportunity to be selected as respondents, using a three-stage stratified sampling approach (Sub-county, Ward, Household). The methodology was designed to collect data from household heads or their spouses, based on the demographic, socio-economic characteristics of the households and determine baseline statistics against the social accountability dimensions. The quantitative/survey data was collected using a structured household questionnaire that is programmed into mobile data collection application. For the qualitative data, a purposive sampling method was used to select study respondents, based on demographic attributes (gender, age) or role in community (leader, stakeholder).

The study used document reviews, Key Informant Interviews (KIIs), Focused Group Discussions (FGDs), a customized Household survey – guided by the Social Accountability tool which looks at the following six key parameters of social accountability;

- **Access to information:** The freedom or ability to identify, obtain and make use of data or information effectively
- **Voice:** The opportunity to express your ideas and needs; give your opinion (agreement or disagreement) or to claim your rights.
- **Influence:** The extent to which communities can influence decision making on issues, especially those affecting them
- **Negotiation:** The ability for citizens to sit at the table with the government and other duty bearers at local or national level to claim for services. They also must be able to claim enforcement of the rules and regulations to create an enabling environment and to claim their rights. They ability to effectively participate or be represented in platforms and dialogue structures.
- **Representation:** The opportunity for citizens to have someone, ideally elected or appointed by the community, speaking on their behalf and actively promoting their views.
- **Empowerment:** The capacity for citizens to self-mobilization and organization with the purpose of being stronger in relations with government and the service providers.

A total of 859 households were interviewed with 393 (Male=199, Female=194) in Turkana, and 466 (M=247, F=219) in Nairobi. A total of 23 research assistants (RAs) were involved in data collection for three days in Turkana and four days in Nairobi – following a three-day training within which pre-testing was also done. The household level survey covered ten sub-counties (4 in Turkana, 6 in Nairobi), and 29 Wards (11 in Turkana, 18 in Nairobi). In addition, 11 Focused Group Discussions were conducted (6 in Turkana, 5 in Nairobi) as well as 15 Key Informant Interviews (7 in Turkana, 8 in Nairobi).

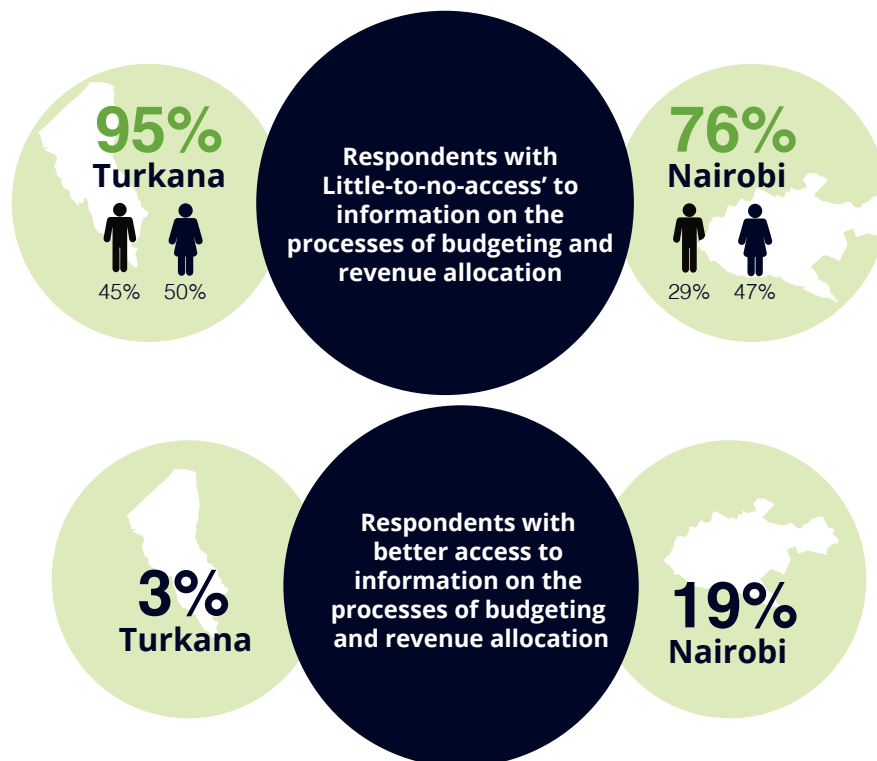
The Venn diagram below is a summary of key methodological attributes as factors of baseline findings and as narrated in the preceding paragraph;



Summary of Findings and Recommendations

The findings below have been summarized based on the Social Accountability Dimensions.

i. Access to Information:



The study takes note of the low levels of access to information. It is however not a surprise as access to information is often tied to literacy, as the common modalities of transmitting information is often through reading, or comprehension of audio transmission, both of which require a level of literacy and numeracy. FGD discussions pointed to both Government and Private sector entities treating all information as classified and most enquires being directed to offices that are not easily accessible including the County Revenue offices, of Tullow Offices in Lodwar. Some of the examples of information that has not been made accessible include; the modalities for the allocation of revenue from oil, which according to FGD participants in Turkana has potential to cause conflict between the residents, Government, and the Private Sector investors. There were no indications of any efforts by Government or other stakeholders to address the existing information gap.

The study therefore established that the levels of access to information in both Turkana and Nairobi are low - which then creates the need to consider variety of interventions that will promote the realization of the right to access of information in these counties. A suitable intervention would be that which integrates community level engagements with policy level influencing. However, a community led (rapid) assessment on the drivers and barriers of access to information is highly recommended ahead of any intervention.

With regards to sources of information, a quarter (25%) of the respondents in Nairobi considered social media as main source of information compared to only 1% in Turkana, while CSOs are a key channel for passing information in Turkana at 29%, compared to Nairobi, where only 4% of the respondents rely on CSOs for their information needs.

ii. Voice:



44%

of the respondents in Turkana and Nairobi felt they did not have a voice at all

31%

Average of the respondents felt they had very little voice to express their opinions across the parameters of health, education, water & sanitation and security

75%

Average of respondents across the study area felt they had little to no voice on critical issues affecting their community, which reinforces the need for an intervention that would make opportunities for community participation more accessible.

Notably, there weren't any noticeable differences in responses across any of the services or geographies, with the possible inference being the indication that there aren't any sector specific interventions that elevate community voices.

iii. Influence:



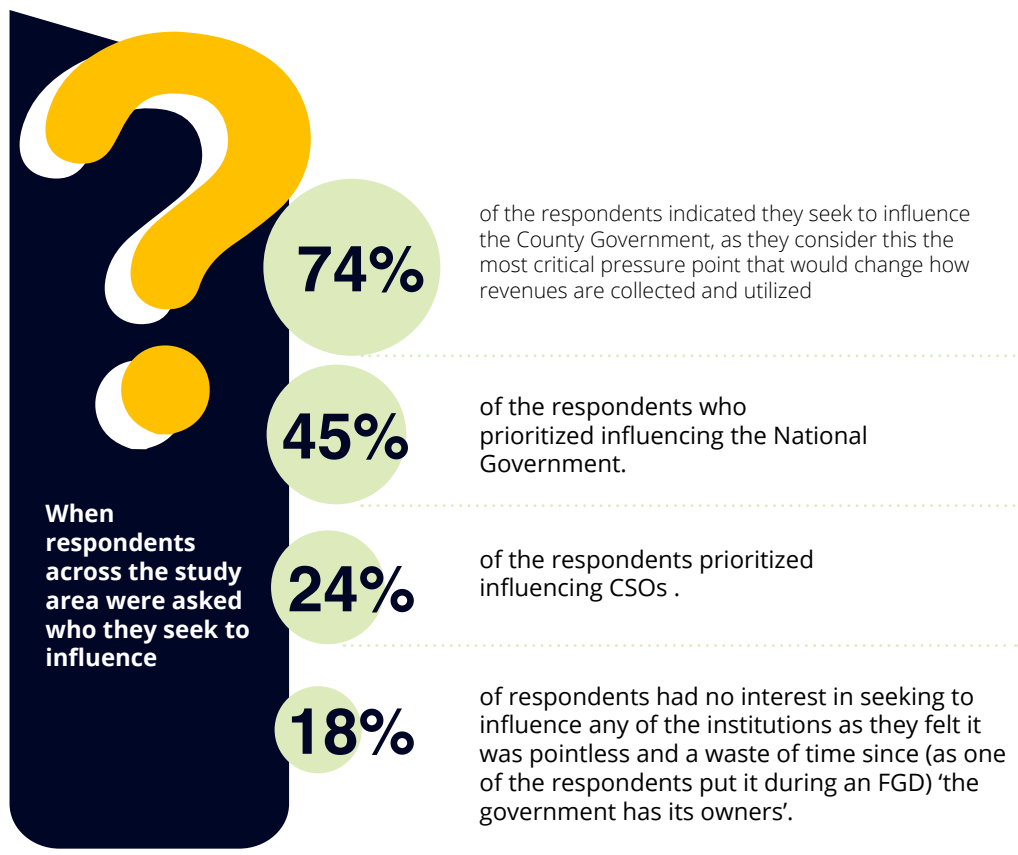
95%

of the respondents from Turkana felt they had 'limited-to-no-influence' on the decision making on oil revenue at the county level. This was consistent with the discussions during the FGDs, in which the residents of Turkana expressed their concern that they have absolutely no say or influence of decisions made by Tullow oil



85%

of the respondents felt they had no influence over the use of other local revenue from County and national Government. Community influencing should therefore be an area of intense programming during project implementation. There wasn't any notable difference in the responses from men and women.



It is of little surprise that respondents ranked the County Government the highest on their priority list of institutions to influence due to the legitimate expectations that the residents have on the devolved units. It is the level of government that they mostly understand and interact with. As to whether they have the capacity to engage the county government, this should certainly be assessed, capacity gaps identified and addressed over the life of this project.

Conclusively, community influence is a critical driver for the enjoyment of various basic services, management of community assets, budget planning processes and public accountability mechanisms – of which initiatives could have remarkable implications on the intersection between participative democracy (community driven) and representative democracy (leadership driven). Whilst there is a strong argument for investing in community capacities to engage, participate and influence, it needs to be noted that there should be an equal level of investment dedicated to government institutions and the private sector towards improving openness and willingness to engage with the communities – including the need for public agencies to be receptive to their influence.

iv. Negotiation:

Despite various frameworks that require governments, CSOs and private sector to consult communities on development projects - especially those that might require acquisition of land for public use or which might have an effect on the environment or socio-economic practices. The baseline established that in Turkana, up to 63% of the respondents felt that negotiation is not possible at all.

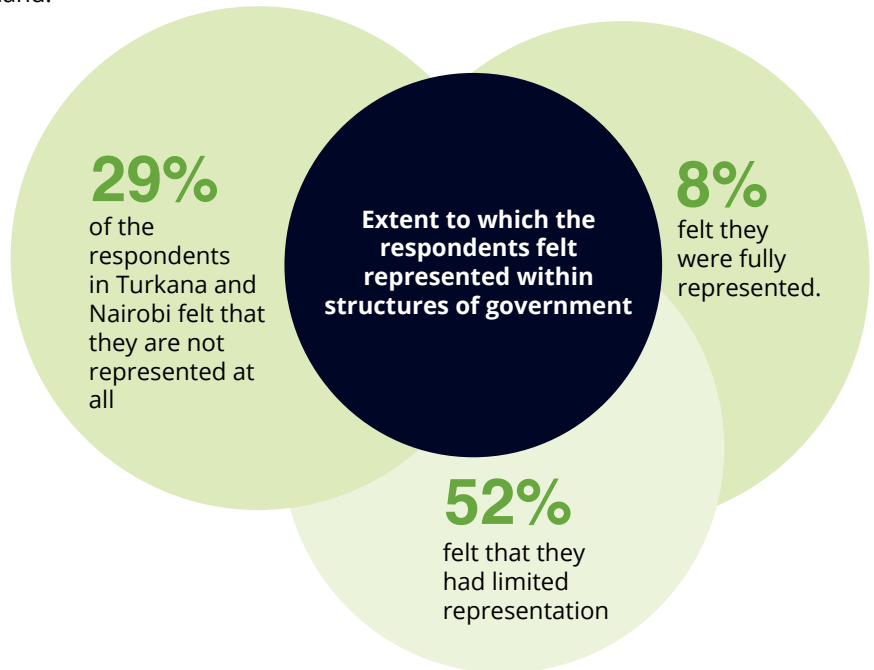


which outrightly means the communities do not have the opportunity to negotiate with actors either due to capacity or limited opportunities for engagement. The target communities should therefore be supported to develop skills in negotiations and social contracting, and the project equally needs to identify and address any policy barriers to community negotiation.

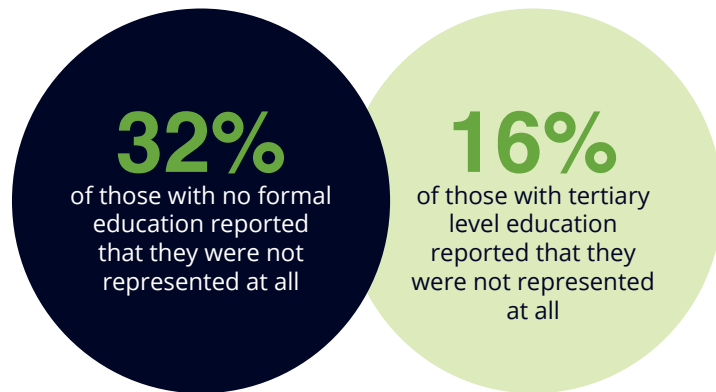
There were no major gender differences noted in the responses for this dimension.

v. Representation:

Civic representation is at the core of democracy. Underrepresentation can mean that certain priorities or segments of population are marginalized. At the same time, those that have higher representation can be favored and would feel more motivated to participate in processes that perpetuate social accountability. This notion assumes that everyone is equally aware and educated on the issues at hand.



The study observed notable disparities in perception between those with no formal education and those who have tertiary level education.



While 32% of those with no formal education reported that they were not represented at all, only 16% of those with tertiary level education reported the same – which raises the need for conversations around whether those with formal education effectively represent those with lower education levels, and even the more around the critical question of whether those without higher levels of education have the same opportunities for representation as those with lower levels of education. The project should therefore purpose to understand the structure and substance of community representation, and develop modalities to ensure all segments of population are adequately represented and actively participate in social accountability processes.

Regarding the dimensions of gender, based on the household responses this baseline study did not find any disparities in 'the feeling of being represented' in matters of public revenues and finance. Any inferences that can be drawn on the gender differences based on the data from this baseline would thus be statistically insignificant.

vi. Empowerment:

25%

of respondents did not have knowledge of their rights (including the right to participation)

56%

of respondents knew their rights but felt they were unable to claim them due to limited access to information, weak and uncoordinated voices, and weak negotiation skills.

3%

of respondents actively participate in campaigns and other government initiatives.

From the responses, there is an evident correlation between the respondents' level of education and their ability to know their rights, including the right to information.



31%

of those without formal education reported not having knowledge of their rights

4%

of those with tertiary level education reported not having knowledge of their rights

There is therefore the need to strengthen efforts towards community organizing at both formal and informal levels in a way that will eventually promote constructive engagement and advocacy on matters of revenue generation and public financing.

On the overall, respondents with higher levels of access to information, influence and empowerment tended to have the following characteristics:

- predominantly based in Nairobi, and when based in Turkana, they were based in the urban setups and Wards that are close to the urban centres including Lodwar, Lokitaung, and Lokichar
- Literate with post-Secondary education levels being a major factor in influencing the three parameters mentioned above.
- Younger, between the ages of 20 to 40 years.
- Active members of formal/Informal groups in the communities, or actively involved with NGO activities.

Critical Considerations

Arising from the study, the following aspects were flagged as key to the success of the project, and therefore the program teams need to factor each aspect into the existing processes for planning and implementation;

i. Engendering Women's participation in Social Accountability:

Women in communities play a significant role in natural resource management, and efforts to ensure their active and effective participation in decision making, management and sharing in the benefits of public resources should be deliberate and encouraged. Given the gender dynamics discussed in relation to access to information and overall participation of women in social accountability, there is a good argument for the project to adopt gender sensitive approaches within its interventions.

The inclusion of Gender analysis as part of planning, the inclusion of gender sensitive indicators, and the integration of gender dimensions within routine monitoring tools, will significantly contribute to better integrated programming in which gender and socio-cultural perspectives are anticipated and factored into planning & design.

ii. Attribution Vs Contribution:

It is expected that there are numerous partners at the national and county levels with similar interventions with unspecified degrees of variation and possible impact. Nonetheless, this baseline has authoritatively (re)established the need for and relevance of the NORAD II project in strengthening mechanisms for social accountability. Despite this assertion, it will be challenging to distinguish the outcomes of the project from other efforts and contribution independent of the project. In order to address this potential (futuristic) evaluation challenge, it is important for Oxfam to consider supporting the implementing partners to ensure monitoring data is gathered with absolute fidelity and that such data is routinely analyzed and utilized to meticulously track changes and inform project management.

Oxfam should develop tools to monitor its interventions and the specific activities that it will be implementing in this project. Once these are clearly defined, and their input-output-outcome logic defined, measuring attribution will be possible, though with a margin of allowable error, which all development interventions have to contend with. In principle, change ought to be measured relative to the situation at the beginning of project, and this baseline study, provides the status against the completed Social Accountability Tracking Tool. This will enable the project to describe the baseline and along with that the tacit ability to quantify the resultant change.

iii. The Structure, Conduct, and Practice of Social Accountability:

This baseline study has broadly generated an understanding of the enablers, barriers and differentials in community driven social accountability. As already mentioned, there is need for a rapid assessment on the drivers and barriers of access to information by communities which is highly recommended ahead of any intervention. Amongst other subtle recommendations that can be made, it is clear there's an outstanding need to deepen programmatic interventions that improve access to information and bolster capacities for community influencing and representation in order to lift the communities to a level where they can protect their interests. Part of this would be to engage and support policy making institutions in developing (or monitoring the implementation of) policies and legislation that create better access for information sharing, and which create platforms for meaningful engagement of communities.

In all the approaches, Nairobi and Turkana have obvious demographic and socio-economic diversities and the project should therefore adopt diverse approaches for the counties. Whilst there is a strong argument for investing in community capacities to engage, participate and influence, it needs to be noted that there should be an equal level of investment dedicated to government institutions and the private sector towards improving openness and willingness to engage with the communities.

iv. Sustainability:

Sustaining the gains of this project would require that the communities own the desire to step up and claim their responsibility in the management of the affairs of their communities. To help achieve this, and with the understanding of gaps in structures and capacities, development partners like Oxfam need to intensify their influencing agenda to get the county to dedicate more resources (financial and human) towards strengthening the role of communities in governance.

At the same time, the development partners must purpose to strengthen the community systems and facilitate community organizing in a way that is deliberate and coordinated – with clear time-based milestones. A clear and actionable roadmap for strengthening community capacities for social accountability will need to be developed.

v. Strategic Alliances:

There needs to be a deliberate action by Oxfam and Implementing Partners to reach out to various interest groups within the counties with the intention to have various sectors and segments of the county to understand, appreciate and contribute to the constitutional provision of civic engagement. In these engagements, opportunities and avenues for the different sectors to adopt community driven approaches should be made clear, and the role of communities in social accountability should be embraced.

Some of the actors within the county that could contribute immensely to the quality and effectiveness of social accountability processes include; the business community, education community, other civil society, cooperatives, women and youth organizations, farmers' associations, religious communities and professional groups including Law Society of Kenya (local chapters). It needs to be understood that meaningful public involvement helps to create a good relationship between the people and the government and subsequently leads to a more transparent government.

vi. The Project Theory of Change:

Based on the findings of this study, it would be useful for the project design team to interrogate these findings in the perspective of the theory of change and identify aspects of the design that may be adjusted, realigned, or included. The findings of this baseline also create an opportunity to reconsider activities that might be of less prominence to the intended outcome of project.

The transfer of knowledge and other forms of capacity, inclusivity, community organizing, and community role in resource management are just a few ideas that could easily be strengthened or incorporated into project design as a means of ensuring the intended project objectives are met.



1 INTRODUCTION AND CONTEXT

1.1. The Policy Framework

This Section gives a critical review of policy provisions that exist in Kenya in relation to citizen role and participation as a precipitate for good governance.

Key amongst these legal instruments is :

Access to Information Act : which took effect in September 2016 and creates the opportunity for the citizens to track actions within government and involve in processes of accountability – including exposing corruption and incidences of mismanagement or abuse of public resources.

Article 35 of the Constitution : stipulates that it is a right for all citizens to be able to receive any information that makes it possible for them to enjoy or protect their rights. The constitution is the foundation of all the rights in Kenya. Specifically, the article indicates that every citizen has the right of access to information held by the state; and information held by another person and required for the exercise or protection of any right or fundamental freedom.

Constitution of Kenya : upholds principles of public participation and transparency

under Article 10 on National Values and Principles of Governance.

Article 27 asserts equality and the inclusion of everyone before the law as well as the right to equal opportunities before the law. Finally, Article 119 talks about the right of citizens to present any issue before parliament. This could be a petition on a law requiring enactment, amendment or repeal, or an accountability issue that needs to be addressed.

From the foregoing, it is apparent that the constitution offers the foundations necessary to support the involvement of citizens in policy development.

The Media, Civil Society Organizations, Politicians, Donors and International Organizations have a supporting role in enabling citizens to organize themselves to execute their obligation in providing oversight on the distribution and utilization of government budgets.

Public Participation Guidelines : the Constitution assigns the responsibility to ensure, facilitate and build capacity of public participation in the governance of the county, through Article 14 (Schedule 4 Part 2).

In addition, Section 46(2)(g) of the County Government Act states that the County

Executive Committee should bear in mind the need for an all participatory decision-making. The implementation of the provisions of community participation statutes, has faced some challenges and some of the policy issues and legal inconsistencies emerged during the KII interviews - like the fact that the community land act provides that community land be held in trust, but does not define who a 'community' in this sense could be, nor which individual (or group of individuals) are mandated to represent such community in the process of acquisition.

Legislation at the County Levels : there are ambiguities on the modalities on the revenue collection between the County and National Government, and how the decisions on local projects to be supported by revenue from Oil can be reached.

A quick review of legislation relating to revenue collection as well as oil and extractives (as well as an interview with a member of the finance committee of the Turkana county Government) points to an ongoing process that has not been finalized, but which is aimed at setting provisions and modalities for citizen participation.

1.2. Drivers and Differentials of Tax Justice and Revenue Allocation

There are established information imbalances between the public, government institutions, and the private sector. These imbalances create a scenario where public participation forums and opportunities are not made public, or when they are, the process is not facilitated in ways that are inclusive to genuinely seek the opinion of the citizens. Related to the limited opportunities for meaningful participation is the challenge of citizen voices not being taken on board. Critical input from citizens ends up being dropped along the budget making or review processes. This in essence means the role of community participation is not appreciated nor prioritized in the planning and execution of public interest projects.

Beyond seeking for the input of citizens in prioritizing projects and related budgets, is the even bigger challenge of lack of downward accountability back to the citizens. In the absence of downward accountability mechanisms, citizens never get to know the implementation status of their prioritized projects, and the end result is a sense of apathy where citizens give up interest in following up on public planning and expenditure. This further entrenches the culture of impunity on part of duty bearers. Whilst public policy decisions remain the primary responsibility of the state, the participation of citizens in the policy-making improves the relevance and effectiveness of such policies. In Kenya, civic participation is based on the principles of;

- **Legitimacy:** through effective and meaningful citizen participation, the budget exercises and extractive industry decisions become more legitimate and acceptable as competing and conflicting interests are identified and resolved. Citizen participation also has the potential to increase public trust in authorities, improves citizen political efficacy, enhances democratic ideals and improves the quality of policy decisions.



- **Accountability and transparency in decision-making:** citizen participation in the budget process can enhance accountability by exerting pressure upon the government to be transparent in its revenue raising and expending activities. This is because, under the watchful eye of a vigilant citizenry and a robust civil society, the government would be hard pressed to be open throughout the entire budgeting process.

When relevant information is available, it becomes easier to monitor whether resources are being used effectively and efficiently. From a previous baseline study undertaken by Oxfam (in 2018), on the women's participation on revenue raising, allocation and expenditure, public participation was cited as a challenge to the extent that projects that are given a go-ahead by the government are not those which the community prioritized during public participation meetings. 90% of women interviewed in the study indicated they were aware of public participation forums for budgeting.

However, only 46% had actually attended the budget forums organized while 54% were aware of the forums but did not attend. 78% of the women who had attended the forums stated they only participated in forums organized at the county level for county budgets. Only 2% of women interviewed stated that they had participated at national level forums. 19% participated in forums organized by Civil Society.

- **Inclusivity:** too often, marginalized voices are excluded from the budget process. By institutionalizing participation in the process, these groups have an opportunity to present their concerns and lobby for their interests to be incorporated into the budget.

- **Fairness:** meaningful citizen participation helps in promoting equity in the allocation of resources. Citizen participation in the budget process Citizen Participation has some benefits. It improves the public trust in the state; it better aligns policy to the citizens' needs and offers innovative solutions that would not have arisen from traditional decision-making.

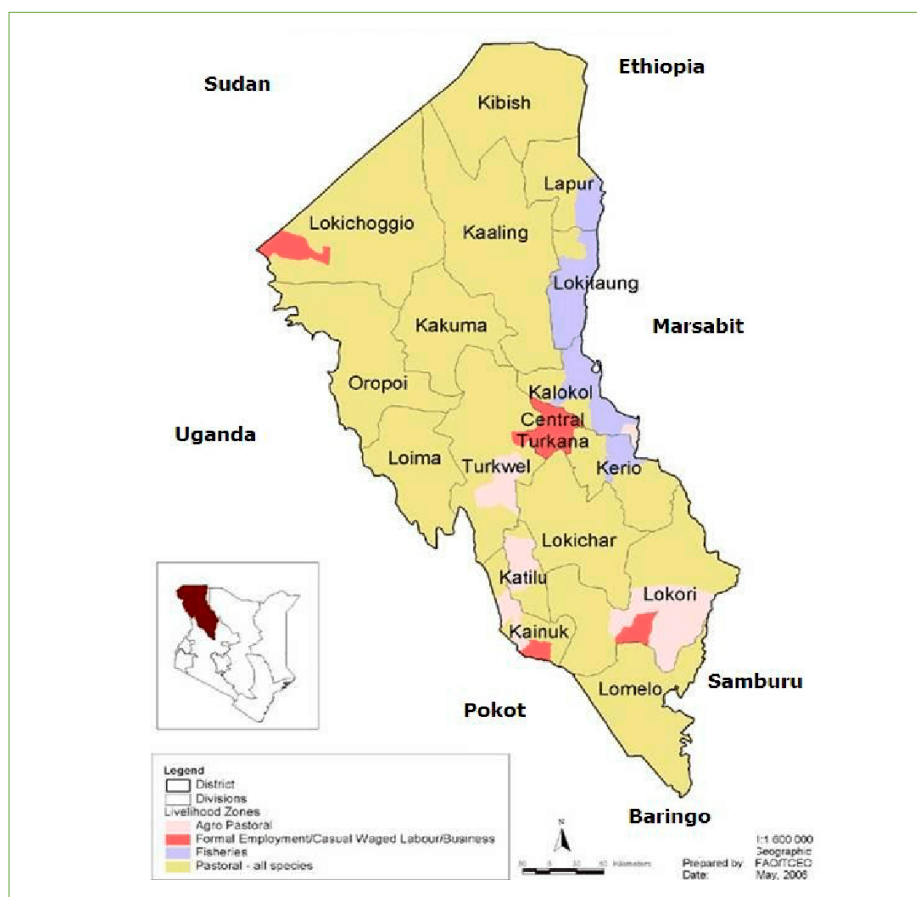
These principles are strikingly relevant to the project and could, in the most part, anchor the project's conceptual theory. Put together, the principles are pillars that would enable communities and citizens to actively negotiate and advance their voice by exercising tools for public participation such as Petitioning, Lobbying, Advocacy Communique, Oral and written submissions, Memorandum, and litigation. Employing these tools of public participation enhances the citizen's capacity to negotiate effectively and demand effective service delivery from the duty bearers and the government.

1.3. Demographics & Socio-economic Dimensions

The study was undertaken in Turkana and Nairobi Counties. The selection of the two distinct regions presents a sound platform for comparison between a rural, deeply cultural County with significantly poor populations and a multi-ethnic urban environment with relatively good information communication channels, better access to key public services, a more educated populations and much higher availability of capital. While Revenue generation and Tax are equally important for the residents of Turkana, For purposes of this study, the focus is in the social accountability process promoted by the project would focus on participation on the distribution and utilization of Oil revenue, while in Nairobi the focus would be on tax and tax justice. Nairobi presents a unique county in Kenya, since this is the seat of Government where policy and strategic decisions affecting the entire country are made. All ministries are headquartered in Nairobi, including Kenya Revenue Authority that is responsible for taxation, and treasury that is responsible for planning and budgeting. Further, Nairobi houses the Ministry of petroleum and mining that is responsible for providing policy direction on the oil mining sub sector. The major challenge confronting Turkana pastoralists in the context of extraction of oil and gas in the county is the loss of land and low participation in the developments within their communities.

The current takeover of Turkana land for oil production activities forms one of the key factors contributing to insecurity of pastoral tenure rights in the county. From the onset of the exploration and subsequent extraction of oil and gas in Turkana, pastoralist communities have lost ownership, access and control of the basis of their pastoral livelihood and economic production. Additionally, they haven't been included in decision-making processes regarding further development of the area. Despite the proposed compensation and the projected revenue share, the local community remain exposed to the negative impacts of the extractive industry. In a drought-prone and marginalized region such as Turkana, the pastoralists face severe pressures from the appropriation of resources by large industries such as Tullow Oil.

This study also focused on the tax and tax justice dimensions in Nairobi, due to the fact that Nairobi receives the largest share of devolved funds, at 16 Billion. Nairobi also collects the highest revenues at 15 Billion.



1.3.1. Turkana

Geography: Turkana is the second largest county, by land area, and also the northwestern most county in Kenya.. Its capital and largest town is Lodwar.

Population: The population of Turkana County is made up principally of the Turkana people, a Nilotic community who have traditionally made their living from pastoralism, with a focus on nomadic cattle herding. According to the 2019 census, Turkana County has a population of 926,976. This population is composed of 478,087 male, 448, 868 female.

Transport and communications Infrastructure: Turkana is a vast county with six constituencies. The roads are largely all-weather roads that are greatly affected and become impassable during rainy seasons. Though the national government and the county government of Turkana is opening and improving road networks, the county is still largely disconnected. Having observed this, in the remote areas of Turkana, there is poor internet connectivity Ranging from 42% in the urban areas to less than 5% in the rural areas. Telecommunication is a challenge in most areas. These challenges disconnect people of Turkana to the rest of the country and by extension, to the rest of the world.

The overall impact of this is that, the people of Turkana do not get information easily compared to Nairobi where the study was done.

Education: Turkana County is one of the counties with the highest illiteracy levels standing at 82% according to the Kenya National Bureau of Statistics (Population Census, 2020). Significantly, this blights economic growth and the general productivity of the population

Conflict from shared resources: Turkana county is classified as arid so significant populations within the county predominantly depend on rearing cattle, goats, sheep and camels. Conflict in Turkana is largely driven by the impacts of land management, incidences of drought, increasing competition for limited grazing lands and diminishing water resources . Competition for the depleting grazing and water resources in northern Turkana has heightened the likelihood of conflict and insecurity. The conflict over water points in Kainuk, Kapelibok, Lorogon and Kaptir in Turkana East and Turkana North (Lakeside) could be linked to the spread of the aridity and movement of the nomadic populations into farmlands and fishing Communities.

Since the advent of Oil exploration in Turkana, there have been sporadic but consistent cases of conflict between the company and local communities. These have often been contained, though the underlying issues as highlighted elsewhere in this report are not fully resolved

Oil, Gas & Other Mineral Resources: The County is endowed with mineral resources some of which remain unexplored, while there is some small-scale extraction of minerals like gold, clay, limestone, gypsum and garnets. There is equally sporadic quarrying and sand harvesting in various parts of the county. Oil was discovered in the Lokichar basin of Turkana in 2012.

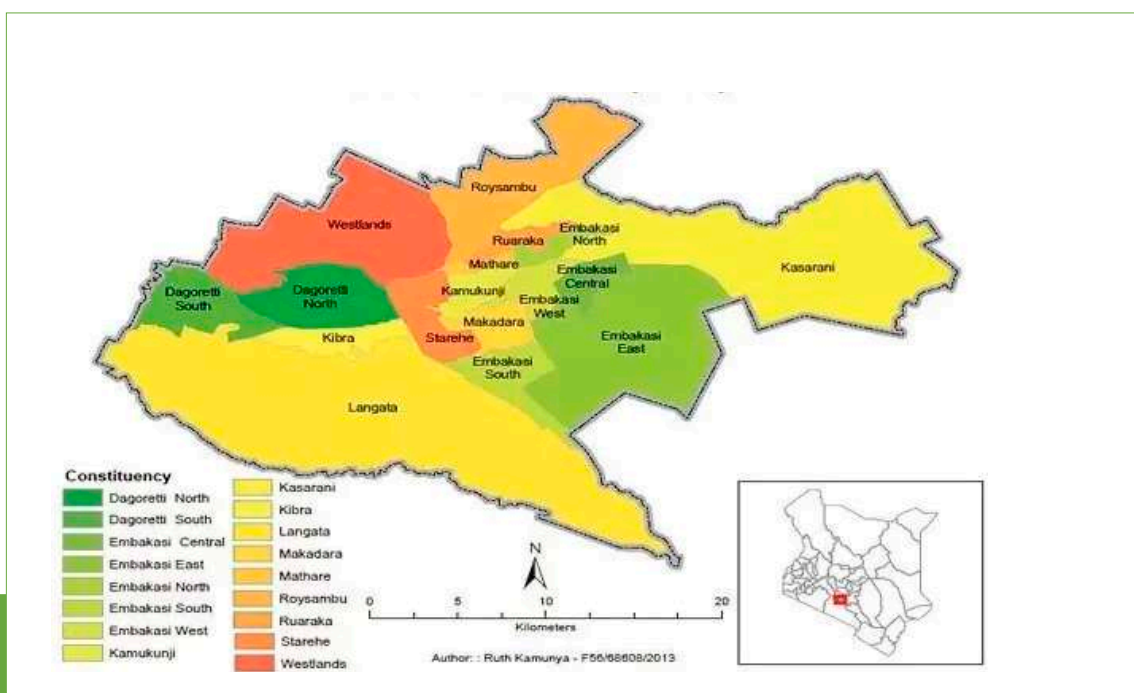
The county government has committed to finalize the County Petroleum Engagement bill and policy, develop an extractive sector strategy, establish county local content committee and policy, and establish county revenue sharing committee and fund – all of which provide an invaluable opportunity for the NORAD II project to engage (through communities) and ensure instruments or actions of social accountability are anchored within the various county government frameworks.

The overall aim of this engagement is to ensure local communities are afforded their rightful share of the oil reserve proceeds through a fund, contribute to the enactment of appropriate laws and policies that guard community rights in the discovery and exploitation of natural resources, and create accountability platforms of engagement with government and other stakeholders to promote transparency and open information sharing on contracts, revenues, and land acquisitions.



There are several existing mechanisms for citizen engagements and representation in Turkana which could be exploited by the project. These include;

- *The use of regular Chiefs Barazas (Public Meetings), Assistant County Commissioners and County Commissioners meetings that are often used to pass important information to and from the national Government. While the National Government has a clear and elaborate representation structure across the entire County, chiefs remain a powerful channel for communication. The use of chiefs has a major disadvantage that since they are Appointive and not elective positions, they tend to be one sided and do not serve the purpose of two-way communication channels.*
- *Through elected representatives, including Members of parliament and local members of the county assembly of Turkana. On the overall, representation through members of National Assembly who are based in Nairobi is less effective leaving the Members of county of Assembly, who are locally based as being more effective as channels for civic engagement.*
- *Through Local Community Based Organizations and Civil Society Organizations working in the area. Of these, the Diocese of Lodwar is notable, and has been able to establish presence across the county over the years, and remains the single most important Non-Governmental organization that provides a wide range of services from Emergency relief to development interventions. Other players include Oxfam World Vision, Care, VSF, etc.*
- *To a lesser extent, local community/Clan elders are a powerful informal institution that provides guidance on cultural matters affecting the community. They remain a useful channel that has not been effectively used in the past as a channel for increasing civic accountability, But one that can be mobilized to serve this important purpose due to the respect that they have earned from local communities.*
- *Informal groups, including merry go rounds that provide localized financial support services to contributing members. These are often used as an important source of information and communication at the grassroots.*



1.3.2. Nairobi

Geography: Nairobi is the main commercial and cultural center for East Africa

Population: According to the 2019 census, the population of Nairobi is 4,556,000. The city of Nairobi is growing consistently and currently sprawls over a surface area of 696 kilometers squared (269 square miles). This area size - in combination with the total number of residents - brings us the current population density which is now approximately 4,850 residents per square kilometer. (12,600 people living per square mile).

Education: According to the Kenya Adult literacy survey that was conducted in 2019 by UNESCO, an average of 38.5 per cent of the Kenyan adult population is illiterate while Nairobi had the highest level of literacy, at 87 per cent. This makes Nairobi the county with the most educated population in Kenya.

Poverty, Livelihoods and livelihood systems: Nairobi County is a significantly diverse county where there is sharp variance. The high levels of education depict that most residents of Nairobi and either in formal or in informal employment. Further, study by World Bank shows that out of 10 only three (3) live below a dollar a day within Nairobi County.

In slums like Korokocho, Kibra, Babadogo, Kayole etc have a population that largely depends on small businesses, Jua kali (informal artisanry) and informal employment. These populations, however poor they might seem to be, most can afford at least two meals a day. Nairobi also being a home of many industries and factories, a large part of the workforce is engaged in such businesses formally or informally.

Nairobi just like Turkana County has several mechanisms for representation and citizen engagement including:

- *Through elected representatives, including Members of parliament and local members of the county assembly of Turana.*
- *Through Local Community Based Organizations and Civil Society Organizations working in the area. More specifically, these are more robust in the Informal settlements where many youth groups have been registered and provide critical avenues for civic engagement.*
- *Informal groups, including merry go rounds that provide localized financial support services to contributing members. These are often used as an important source of information and communication at the grassroots. These specifically remain a critical avenue for women engagement in development discourses.*

The findings and discussions in this report must therefore be understood within the contexts described above.



2. METHODOLOGY AND APPROACH

2.1. Purpose of Baseline

Oxfam commissioned a baseline study to better understand community perceptions of voice and influence on the management of public resources and decision making in the extractives industry – using a social accountability tool designed to accelerate/strengthen community participation in processes of budgeting and accountability.

This baseline survey focused on establishing benchmarks for the various indicators guided by the Social Accountability tool, and to deepen the understanding of the project's policy and legislative environment.

Specifically, the baseline was meant to ;

- Gather and organize evidence on community participation and which would be useful in formulating community driven advocacy interventions on the utilization of revenue from oil, and in public finance management
- Provide a completed social accountability tracking tool (Excel workbook) and submit a baseline report, which will serve as a reference point or benchmark to track the progress and assess the extent to which communities have been able to increase their voice and influence with decision makers (government and corporations) on issues of fiscal justice.

2.2. Sites and Scope

A non-experimental/descriptive baseline design was used to measure the dimensions of Social Accountability within communities in Nairobi and Turkana counties. Probability sampling was used for the household quantitative survey to ensure that all populations living in target areas get an equal opportunity to be selected as respondents, using a three-stage stratified sampling approach (Sub-county, Ward, Household).

The methodology was designed to collect data from household heads or their spouses, based on the demographic, socio-economic characteristics of the households and determine baseline statistics against the social accountability dimensions.

Key audiences of the baseline report and the completed Social Accountability Tracking Tool include; relevant OXFAM staff, other development partners with similar programs, implementing partners, county level stakeholders like Tullow Oil, and the relevant government departments.

While OXFAM and the implementing partners will be given the entire report, a summary of the key findings (popular version) will be shared with local communities, county and national government stakeholders, and other development partners.

The maps below show the exact locations of the settlements covered by the study. The geographical impression has been generated by GIS codes of the respondent households as picked up by data collection devices. One will notice a few outlier households, which is explained by the fact that there were select instances of delays in uploading of location data - due to unreliability of internet connectivity, and the arguable accuracy of mobile phone devices in mapping geolocations.

As is evident, these incidences were nominal and had little bearing on the quality of data gathered from the households, nor that of the overall data collection process.



2.3. Data Collection Procedures

2.3.1. Recruitment and Training of Research Assistants

A team of 23 enumerators from the target counties (10 in Nairobi and 10 in Turkana County) were recruited to support with the collection of primary data. Recruiting locally enabled the study to overcome possible challenges with language and logistics, and also ensured that the process was sensitive to nuances of culture which have the possibility to create barriers of language, risks of insecurity, or even community hostility. The recruitment process considered gender and geographical balance to give fair opportunities to the different contexts.

In order to guarantee that good quality of data was gathered, a two-day training was conducted for the RAs in Turkana and Nairobi. The training covered; Interview Skills, basics in social research, an in-depth orientation on the survey questionnaire, development of field movement plan, team roles, communication paths, Role playing, quality control measures, use of mobile data collection technology, and a pre-test on the third day of training (as proof of concept).

2.3.2. Pre-Testing of Tools

Before commencement of data collection in each of the sites, the enumerators spent one day pre-testing the Household Survey tool – which had been transcribed into a data collection software and administered using tablets and mobile phones. The pre-test was useful in checking for; Language

comprehension, Instrument flow/Skip logic, Cultural sensitivity/ wordings that respondents may be uncomfortable with, any existing ambiguities and establishing the average duration of interview (for affirming the number of feasible completes per day) etc.

After completion of the pre-test, minor adjustments were made to the skip logic and to the structure of some of the questions, but no significant changes were made to the Household questionnaire. In addition to the changes made based on feedback from the RAs, a dummy analysis of the pre-test data was checked for skewness, consistency, and completeness - without any adverse results.

2.3.3. Sample Size and Sample Distribution

The baseline was designed as a cross-sectional population wide perception and demographic study. Based on the diversity between the counties, the survey treated Nairobi and Turkana counties as independent clusters and drew independently representative samples from each of the counties.

Following Cochran's sample size formula for large populations, and considering a desired confidence level of 95%, with at least +/- 5% precision, we used a cluster sample size of 385 with a 6% insurance factor. This brought the target sample size per cluster to 408. The study reached a total 859 Households (53% Men, 47% Women) with 393 HH interviews in Turkana and 466 in Nairobi.

Turkana County: Purposive Sampling approach was used to select the target sub-counties, from a total no of 6 sub-counties in Turkana County Turkana East and Turkana South were selected because they are the regions where the active exploration and development of oil is ongoing. Turkana Central was selected because it hosts the County Capital, Lodwar. Lodwar is demographically unique for its diversity, higher levels of education, and better access to basic services.

Turkana North, unlike Turkana Central, has poor and inadequate infrastructural facilities and has relatively low literacy levels and fewer information communication channels. In each sub-county, random sampling was used to select the wards as well as the sub-locations in each ward – guided by details on (in) security and accessibility. Probability proportional to Size (PPS) was then used to distribute the sample to each sub-county. Equal sample size distribution was used to distribute the samples to the selected wards and households. The households were the primary sampling unit.

Nairobi County: Just like in Turkana, purposive sampling was used in Nairobi County when selecting the sub-counties. Social economic status of the sub-county inhabitants was used to select the sub-county. The sub-counties are grouped into three categories: Slum, middle level market and up market. Six sub-counties

of a total of 17 sub-counties in Nairobi were chosen based on these categories. The six sub-counties reached included; Langata, Westlands, Embakasi central, Royambu, Kibra and Starehe. A complete list of sampled Administrative Wards is attached as Annex 3.

2.3.4. Household Survey

The final sampling stages involved the selection of households from the wards and selection of respondents from the households. Random walk and a skip pattern was used to determine the households. In each selected ward, the team leader listed prominent landmarks from the nearest to the furthest away from the designated meeting point within the wards. They then randomly selected a starting point for the random walk. In each selected household, only one eligible respondent was selected for interview. Within the Households, the Research Assistants purposively selected the head of the household.

In absence of the household head, the RAs interviewed the spouse or child (+18) who was able to answer the questions from the enumerators. Household interviews were a major method of collecting quantitative data as they provided the primary means of collecting quantitative information on the key indicators at the population level. In order to elicit sufficient responses, the survey questions were carefully crafted drawing from; the social accountability tool, the program outcomes and outputs, and their causal linkages. A total of 859 households participated in the survey.

2.3.5. Detailed Documents and Literature Review

In appreciation of the large relevant body of evidence that already exists, the study identified key documents for review. These documents were identified based on their usefulness in helping the study to understand; the demographic trends, behavioral tendencies of the intended target population, the operational environment/systemic gaps and opportunities in civic driven processes, the project's strategic pathway/theory of change, and the institutional arrangements for implementation.

These documents included (but were not limited to); program proposals, monitoring frameworks, strategy documents, and sector review reports. The documents were reviewed in relation to the core outcome areas of the Social Accountability tracking tool to ensure consistency and appropriateness of project indicators and their measurements.

In addition, the desk review extended to include a wide range of technical and policy documents as it was critical that the intervention be appropriately contextualized to establish relevance, intended scope and focus, scale, and any inter agency relations and interests.

2.3.6. Key Informant Interviews

The study identified key individuals considered to have a strategic role in accelerating social accountability. The Key Informant Interviews targeted at various levels of influence (Micro, Meso and Macro). A non-structured (open-ended) questionnaire was used to guide questions in the Key Informant Interviews. Transcripts of qualitative data collected were analyzed using Nvivo. The following Key informants were interviewed:

• Macro/Policy level perspectives:

National Tax Payers Association (NTA) (On behalf of 18-member organizations), East Africa Tax and Governance Network (EATGN), Youth Alive Kenya (YAK!), National Council of Churches of Kenya (NCCK), Oxfam Extractives Strategist, Oxfam Tax Justice Strategist, National Government representatives in the Ministry of Petroleum and Mining

• Meso/Project Level Perspectives:

Community Liaison Manager at Tullow Director Finance of County Government of Turkana, Project Manager Diocese of Lodwar (DOL)

• Micro/Front-line/Community Level Perspectives:

Representative Member of County Assembly (MCA) from target areas, including a member of the County Assembly Oil Revenues Committee, Area Chiefs, Welpad Committee members, member of Turkana Grievances Committee.

The consideration to diversify key informants was so that the study could generate unbiased assessments of perspectives on the linkages between the project interventions to be undertaken on the one hand, and developments in policy and legislations that provide opportunities or potency for civic engagement.

A total of 15 (6 Females, 9 Males) Key Informant interviews were conducted with various Key Informants including clan leaders, local administrators, government representatives and representatives of civil society groups.

A Key Informant Question Guide was used as a tool for the interviews - a copy of which is included as Annex 5, along with a complete list of KII respondents as Annex 6.

2.3.7. Focused Group Discussions

Focus Group Discussions were conducted in the various urban and rural environments with groups of men, women and youth. The discussions were guided by the core elements of social accountability and drafted into a question guide – see the FGD Question Guide attached as Annex 7.

A total of 11 Focus Group Discussions were conducted in the 2 sites (6 in Turkana and 5 in Nairobi). A total of 198 respondents (102 males, 96 Women) The table below show the distribution of Focus Group Discussions by county and respondent cohort;

Category	Informal settlements	Formal Settlement
NAIROBI		
Women	Mukuru (Embakasi Soth)	Nairobi West
Youth	Kibra (Kibra)	Kasarani
CSO Representatives and Adult men	South C (Langata)	South C
TURKANA		
Women	Lodwar (turkana Central)	Nakukulas
Youth	Lokichar (Turkana South)	Lokori
Adult Men	Katilu (Turkana East)	Lokore

The Focus Group Discussions were conducted in the respective local languages (Ngaturkana for Turkana County, and a mix of English and Swahili for Nairobi County) and were led by the consultants working with research supervisors who were recruited from the local communities. This enabled the interviewers to capture any nuanced inferences and reduce the burden of transcription.

Given the constraints of time, technical resources and generative nature of small group dynamics, the study set up Focus Group Discussions of 9 persons in each category, and standard FGD practice procedures were used during the discussions. As evident in the table above, the distribution of the Focus Group Discussions was based on geographical considerations, age-groups and gender.

2.3.8. Quality Control, Data Management and Ethical Considerations

To enhance the accuracy and validity of primary data, the study had the following key safeguards;

- The recruitment and training of a team of supervisors and research assistants on basic interview skills, respondent identification procedures, use of the mobile data collection software/devices, and using the same opportunity to pre-test the study tools. Two days were devoted to this process, and a third day was used for testing the use of the tools and the simulation of actual field scenarios.

- Ensuring that the process of data collection was subjected to a series of back checks for correctness and consistency with the remote assistance of notifications from the data collection platform

- Ensuring that completed responses are immediately uploaded to cloud servers to guard against any losses of data.

- Obtaining approvals from local administration and sensitizing communities ahead of the household survey to minimize incidences of non-response

- Providing respondents with the opportunity to accept or decline to be interviewed and further assure of confidentiality of responses.

- All RAs had a post-secondary education and proved to have participated in similar Data collection exercises. We used an established set of RAs who have worked with CHASP in other assignments. In the event that a new RAs was brought on board, appropriate reference was sought from previous engagements.

- The RAs were assigned specific geographical zones for which they were responsible for data collection. These areas were under a zonal supervisor who worked closely monitoring the data collection process throughout the exercise. The Supervisors and the consultants were available to address any challenges and to trouble shoot any issues that arose from the use of the data collection tablets. Further, the Statistician was available throughout the data collection exercise to provide the required technical backstopping as and when this became necessary.

- The digital data collection gadgets had GPS locations tagged to the entire data collection process. This monitored the movement of Research Assistants and located the specific locations from where data was collected. This made it possible for random tracing of the households for Quality control purposes. Further, the software was set to have the capability to identify and flag any outlier responses.



2.4. Gender Considerations

Throughout the study, consultants, Supervisors and participating Research Assistants were committed to ensuring that basic minimums with regards to gender were always observed. Some of these considerations included:

- Gender balanced selection of supervisors and enumerators. This ensured that no gender-based biases were introduced by virtue of gender imbalances.
- With support from the gender expert, CHASP ensured that all questions, both at KII, FGD and respondents levels had been analyzed for gender sensitivity.
- Preparation and analysis of gender segregated data in relevant parameters as was applicable. The analysis had a high threshold of gender focused indicators and any trends of gender related data were unpacked for clearer understanding.
- The baseline team organized men and women only focus group discussions. This is in appreciation of the context, particularly in Turkana where the community is highly patriarchal. This provided open space and opportunity for the women to provide unbiased input into the process. The women only Focus Group Discussions was facilitated by a female member of the consulting team.

2.5. Limitations of Study

Future Attribution of Change/Impact:

The design of this baseline study did not consider the need to gather information from a control group, which then means that Oxfam needs to be conscious that the best chance to establish attribution of impact of the project would possibly be through a longitudinal study. The reality within the project's environment is that there are other players with competing or complementing interventions and whose contribution to changes to the target communities over time may or may not be significant.

A longitudinal Study will require the establishment of a case management module that identifies and tracks specific attributes of study respondents/communities over the entire period of the program.

In the absence of succinct parameters for attribution, any future evaluations should therefore focus on demonstrating the extent to which the project may contribute to the strengthening of mechanisms for social accountability – without attempting to comprehend the nature of change that would have occurred without the intervention, due to external/contextual factors beyond the influence of the project (like changes in political leadership), as such factors would be challenging to eliminate.

Outcome vs Output Level Base Values:

The design of this baseline study gave prominence to outcome indicators due to the need to focus on changes in community perceptions and proactiveness, and the improvements in government accountability. It is therefore inferred that outcome level baseline values have been given prominence over output level baseline values – in accordance with Social Accountability Tracking Tool.

Therefore, the study has provided baseline values for outcome level Indicators, and insights into output related values, but detailed descriptive narratives have only been presented for the respective Outcome Areas. That said, for indicators for which numeric values have been challenging to obtain, the study has considered the use of qualitative/descriptive measurements.

3. KEY FINDINGS

In addition to the respondent demographics, the findings have been organized along the six (6) key dimensions of social accountability as described below;

3.1. Respondent Demographic Characteristics

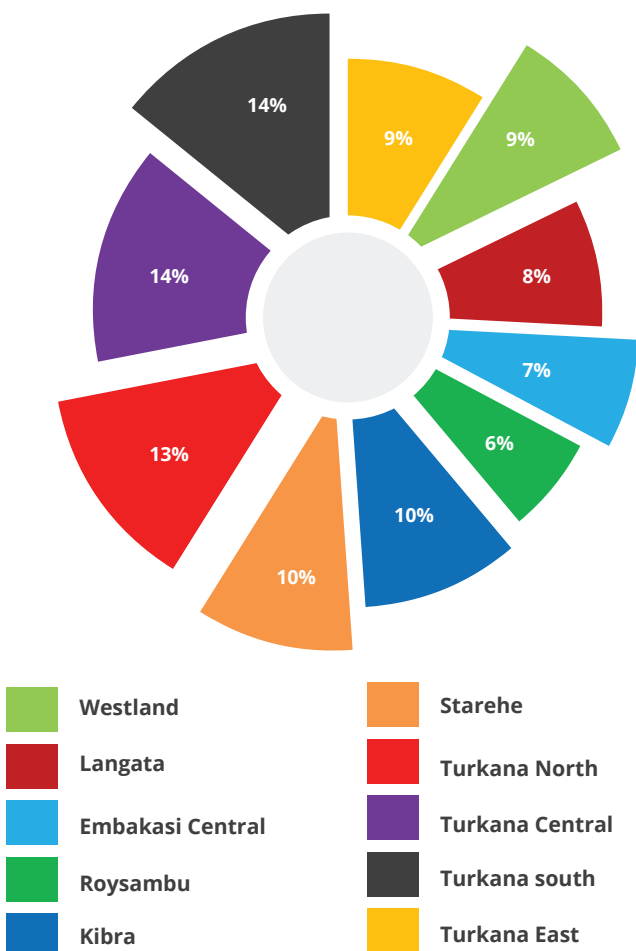
a) Distribution of Respondents:

The respondents were drawn from wards sampled across the sub-counties of Turkana and Nairobi Counties. A total of 859 (53 % Males, 47% Female) respondents were reached with 393 in Turkana and 466 in Nairobi.

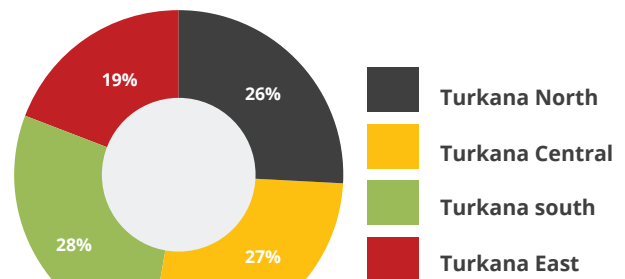
With regards to the sub-counties, the survey purposively sampled 4 and 6 Sub-Counties in Turkana and Nairobi respectively based on the logic described in section 2.3.3. above. Below is a breakdown of respondent distribution by sub-county.



Distribution of Respondents by Sub-County



Turkana County



Nairobi County

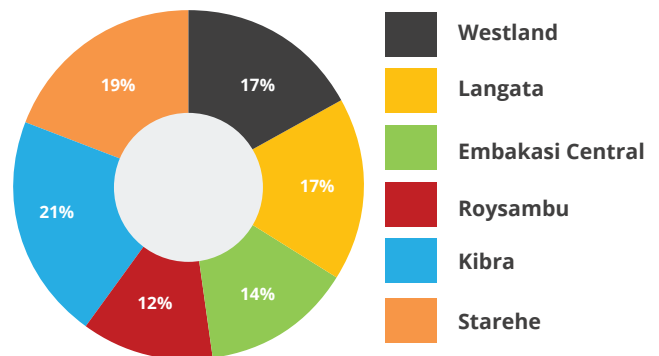


Figure 14: Distribution of respondents by sub-county

The number of respondents within each sub-county was allocated based on proportions of population drawing from the KNBS population statistics 2019. There were no instances that required post-sampling corrections/ weighting or adjusting the sample size for specific population groups – besides the clear guidelines issued to the research assistants on the deliberate need to reach a balanced number of male and female respondents.

b) Respondents by Gender:

Gender has strong implications on the citizens access to information, and their voice on important matters at the community and national level. Gender also influences the opportunities to education, which in turn influences the relative ease with which citizens can or cannot engage in public budgetary and planning processes. The out turn by gender is depicted in the table below (n=859).

Nairobi	Male	53.0%
	Female	47.0%
Turkana	Male	50.6%
	Female	49.4%

Notably, while the ratio in Turkana is nearly 50:50 between the male and female gender, in Nairobi, the Male to Female ratio is 53:47 - mostly attributed to the patriarchal inclinations, where fewer women become heads of households based on the established practice of male guardianship. Further, there were cases where females preferred that men provide the responses, even when we targeted the females for the interviews.

As will be discussed in subsequent sections, there were comparative differences in the dimensions of gender between the two counties, but certainly no significant differences in patterns within sub-counties of each county.

c) Respondents by Age:

The bulk of the respondents interviewed were between the ages of 26 and 40 years making up a total of 56.6. % in Turkana and 68% in Nairobi. This points to the fact that Nairobi has a predominantly younger population than Turkana, as the same can be observed in the population of those above 50 years for which Turkana recorded a total of 10% while Nairobi had 3%.

Those under twenty accounted for about 2% of the respondents in both counties. Age has implications on the literacy levels, civic awareness, access to information and therefore capacity to engage in conversations around public financing and planning. The table below shows the breakdown of respondents aggregated by age cohorts.

Respondent Age	Turkana			Nairobi		
	Count	Percentage		Count	Percentage	
Below 20	8	2.0%		8	2.0%	
21-25	49	11.9%		46	11.3%	
26-30	85	20.6%		76	18.5%	
31-35	82	20.1%		124	30.3%	
36-40	65	15.9%		77	18.9%	
41-45	52	12.8%		45	11.0%	
46-50	28	6.7%		20	5.0%	
51 and above	41	10.0%		13	3.1%	

d) Respondents by Marital Status:

Most respondents (71% in Turkana and 65% in Nairobi) were married and living with their spouses, 13% from Turkana were widowed compared to only 3% of those in Nairobi – the higher number of widowed respondents in Turkana could be due to frequent incidences of violent conflict. Notably, the population of single (never married) respondents were

much higher in Nairobi at 24% compared to Turkana's 7%.

These patterns are usual for the context and present no unique attribute that might be of consideration for the project. The chart below visualizes the distribution of respondents across the different categories of Marital Status

Respondent Marital Status

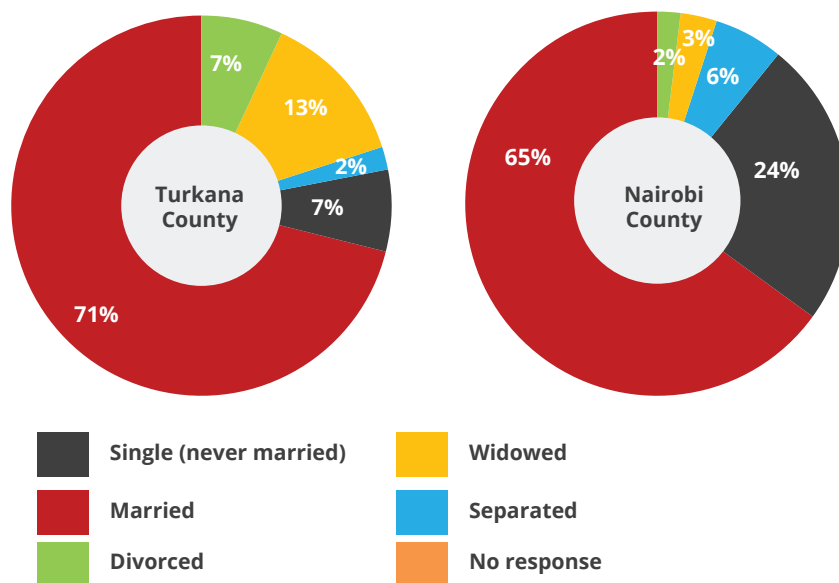


Figure 17: Distribution of respondents across the different categories of Marital Status

e) Levels of Education:

The level of education is a critical factor in the uptake of essential services, and participation in processes of governance. There is indeed a large body of evidence that points to the fact that more educated populations report better utilization of basic services, have a better understanding of their rights and responsibilities, have better capacity to sustain decent livelihoods, and contribute more meaningfully to development processes.

It is notable that Turkana has 64% of the respondents having no formal education, compared to Nairobi, with 32%. On the other hand, 42% of respondents from Nairobi had tertiary education against Turkana's 6%. This certainly has a direct effect on the investment required on community education - for Turkana more than Nairobi. Table below is a summary of the respondent levels of education across the counties and by education level.

		Turkana		Nairobi	
Education level completed?	No education	64.0%	No education	2.5%	
	Primary	20.4%	Primary	12.7%	
	Secondary	9.5%	Secondary	42.5%	
	Tertiary	6.1%	Tertiary	42.3%	

Figure 18: respondent levels of education

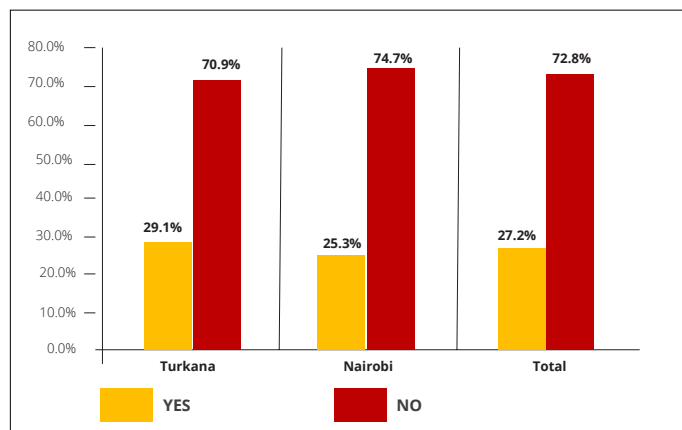
f) Livelihoods Characteristics:

From the table below, pastoralism accounts for the highest form of livelihood within Turkana, at 40 %, followed by small scale businesses at 32%. For Nairobi, small trade accounts for 38.7% followed by informal employment at 26%.

Main source of income	Turkana	Nairobi
Small scale business	32.4%	38.7%
Medium-large scale business	1.9%	9.3%
Pastoralism	40.4%	0.0%
Formal employment	2.5%	22.2%
Informal employment/casual labor	8.0%	25.8%
Fishing	4.9%	0.0%
Farming	5.9%	0.0%
None	4.2%	1.1%
Unemployed	0.0%	3.0%
Total	100.0%	100.0%

g) Membership in social groups:

This demography sought to know the levels of membership to community groups such as women and youth groups, Local Community based organizations (CBOs), Professional Associations, Local Neighborhood associations, Business associations, as well as local NGOs. It will be appreciated that these remain a key source of information and empowerment for local communities. More often, memberships to these groups present opportunity for empowerment and information exchange.



The graph above indicates that 29% of the respondents were members of various community groups in Turkana, against 25% of the respondents in Nairobi –

3.2. RESULT AREA 1 | Access to Information

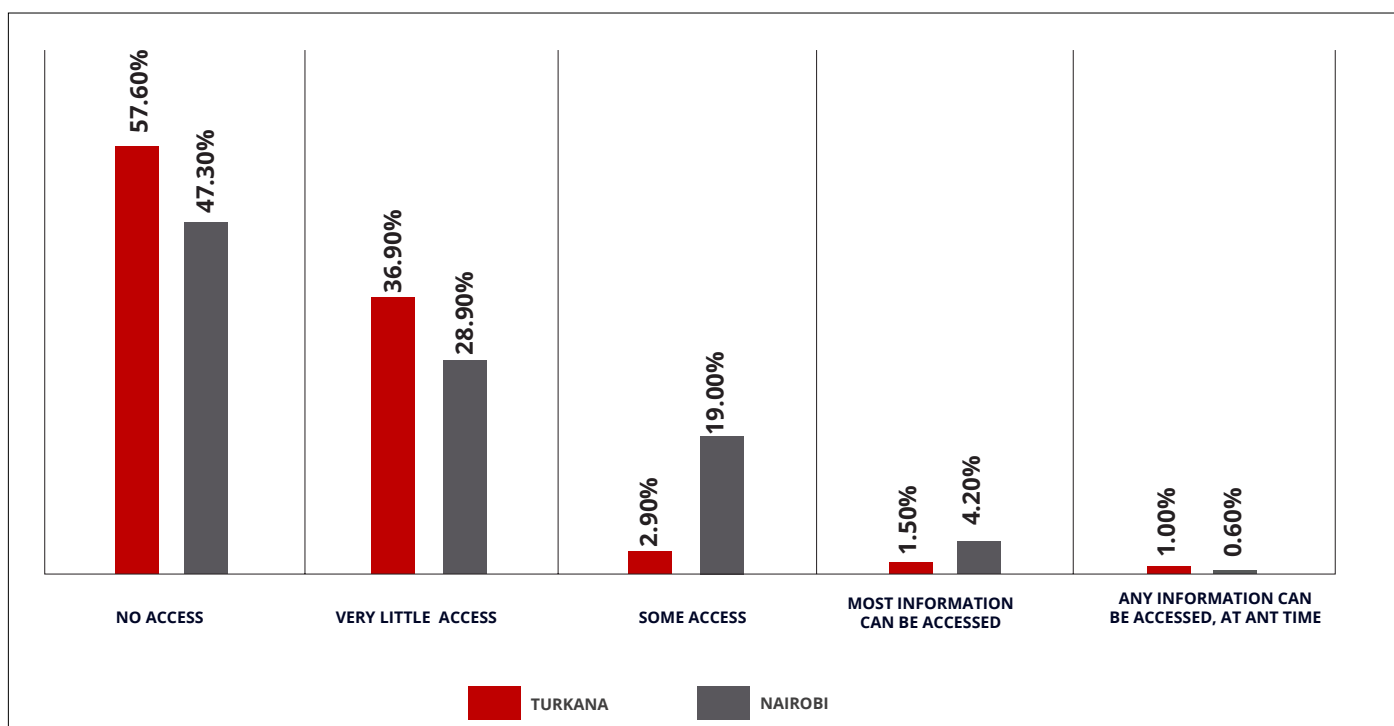
In the context of this study, Access to Information is understood to mean the freedom or ability to identify, obtain and make use of data or information towards strengthening Social Accountability. Access to information is a critical component of accountability, as information held by various state and non-state actors need to be made available to the public to facilitate processes of social accountability. As matter of fact state organs are obligated to facilitate availability of information to the public. Access to timely and accurate information provides individuals with the knowledge required to participate effectively in the democratic processes in any democratic society . Access to information fosters openness and transparency in decision-making.

During some of the Key Informant Interviews, it became rather clear that there are adequate laws and legal safeguards to facilitate access to information in Kenya, like the Access to Information Act (2017) The constitution of Kenya (2010), etc, yet government offices and officials remain very guarded and are particularly sensitive on information that might relate to budgets. It does not help that the offices that deny citizens the enjoyment of the right to access information are supported by other laws like the Service Commissions Act, and the Official Secrets Act, amongst others – of which legal instruments were intended to safeguard national security, and public interest but which are often used as deny access to information to the public.

The study also established that there is no clarity of definition on the nature of information that can be sought from government specific government authorities – and those that could be classified as relating to national security nor how such classification happens. Such inadequate clarity on procedures for obtaining information remains an impediment to the realization of most of the provisions of the Access to Information Act (2016).

Graph below shows respondent perspectives on access to information on budgeting and revenue allocation;

Variable: To what extent do you have access to information regarding Budgeting process and revenue allocation from county and national governments? (n=859)



From the graph above, it can be observed 94% of respondents from Turkana had 'Little-to-No-Access' to information on the processes of budgeting and revenue allocation, compared to 76% of respondents in Nairobi. Of the 94% percent from Turkana 51% were female while in the proportion for Nairobi consisted of 47% female. Understandably, populations in Nairobi reported better access to information with 19% indicating they have considerable access to information against only 3% from Turkana.

From FGDs conducted in both counties, there was a general feeling that information that should essentially be public knowledge is often treated as classified and is never openly presented for public interrogation and consumption. Information is often provided on a need to know basis, to persons who are known or close to the relevant county government officials. This scenario creates the need to consider variety of interventions that will promote the realization of the right to access of information in these counties. A suitable intervention would be that which integrates support to direct community level engagements on matters of social accountability with policy level influencing that will see policies formulated to improve public and even private sector accountability to citizens.

However, a rapid assessment or a community level deep-dive on the drivers and barriers of access to information is highly recommended ahead of any intervention. Some of the examples of information that has not been made accessible include; the modalities for the revenue from oil, which according to FGD participants has potential for conflicts between the communities, government, and the private sector. At the same time, there are issues with the disclosure of the details of agreements signed between Tullow and the government. The secrecy behind these signed agreements strain the relationship between the communities, the county government, national government and Tullow oil.

Respondents expressed a desire to access the following range of information;

- Annual budgets and the status for respective development projects undertaken in their areas.
- Action Plans by NGOs and investment plans for Private Sector companies
- Feedback of the various feasibility studies conducted by private sector players, government and NGOs
- Schedule of public participation meetings
- And specific to Turkana, the respondents were particularly interested in receiving information on the following:
 - a) Compensation of land acquired by the company (process and status)
 - b) Delineated areas defined as grazing areas
 - c) Details of the projects funded under the CSR programs, their locations, and budgets,
 - d) Number of those employed by the companies and their geographic distribution within the administrative wards
 - e) Number of students provided with bursaries and their distribution of recipients across the oil producing areas in Turkana
 - f) The expected plough-back investment to communities from oil revenues.

The main barriers to information sharing relate to the fact that the respective institutions seek to avoid public scrutiny and with that, the avoidance of accountability for plans and resources. While

elaborate action plans are made every year, the respective offices and organizations particularly Government agencies do not execute the projects as planned. As emerged from the FGDs and KIIs, there is often deviation and misuse of public resources, and hence the hindrance of public scrutiny. Government officials often hide behind the official secrecy clauses in Law, yet most of the information sought by communities, would not even remotely lead to breach of any public security.

On the other hand, the main consideration in the private sector to not openly share information is around business dynamics, rivalry, and the need for them to safeguard their business strategies.

In addition to the data presented above, the possible correlation between other demographic dimensions, such as level of education and age, on access to information were equally interrogated – the graphs below visualize these dimensions;

a) Age:

Inadequate access to information remains a feature of all age cohorts even though there are noticeable differences between Turkana and Nairobi as would be expected and as further indicated in the graphs below;. In Turkana, 100% of the youth between 18-20 year reported having no access to information. This is because they are either in school, or if out of school, they are not often welcome to attend meetings and engagements that target adults. In the context of Turkana, persons in that age bracket are considered children. In Nairobi, 70% of the respondents in the 18-20 year brackets reported not having access to information.

For Nairobi, the key reason is that this age bracket is largely in school, and therefore do not have favorable opportunities for accessing information along the six parameters that this assignment sought to study.

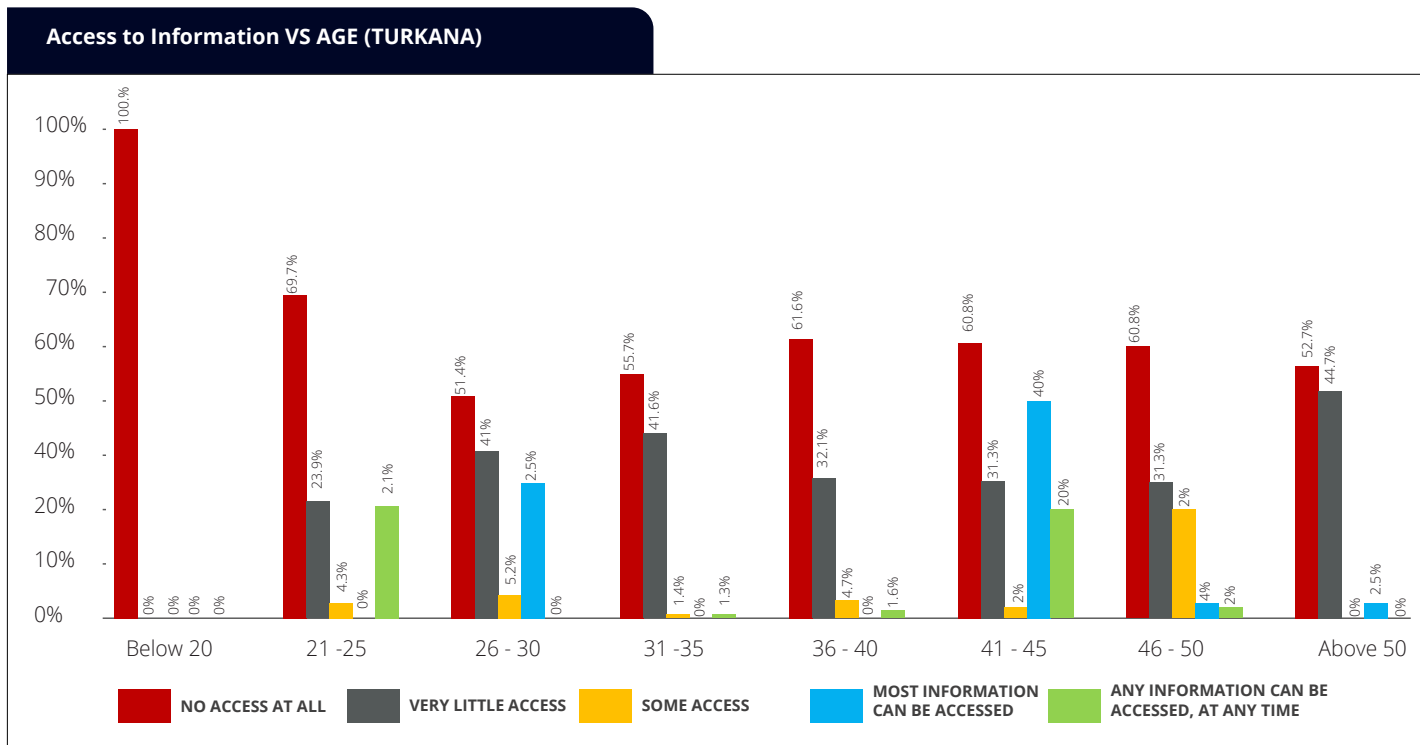


Figure 20: Access to Information VS AGE (TURKANA)

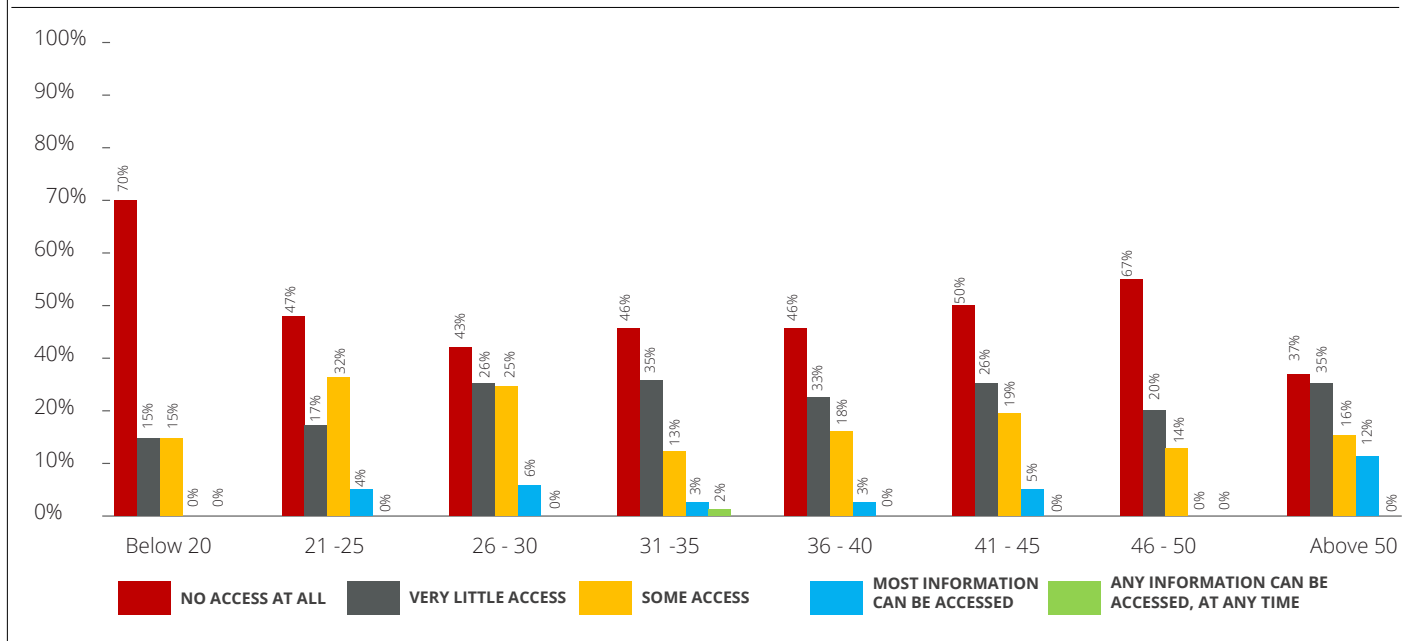
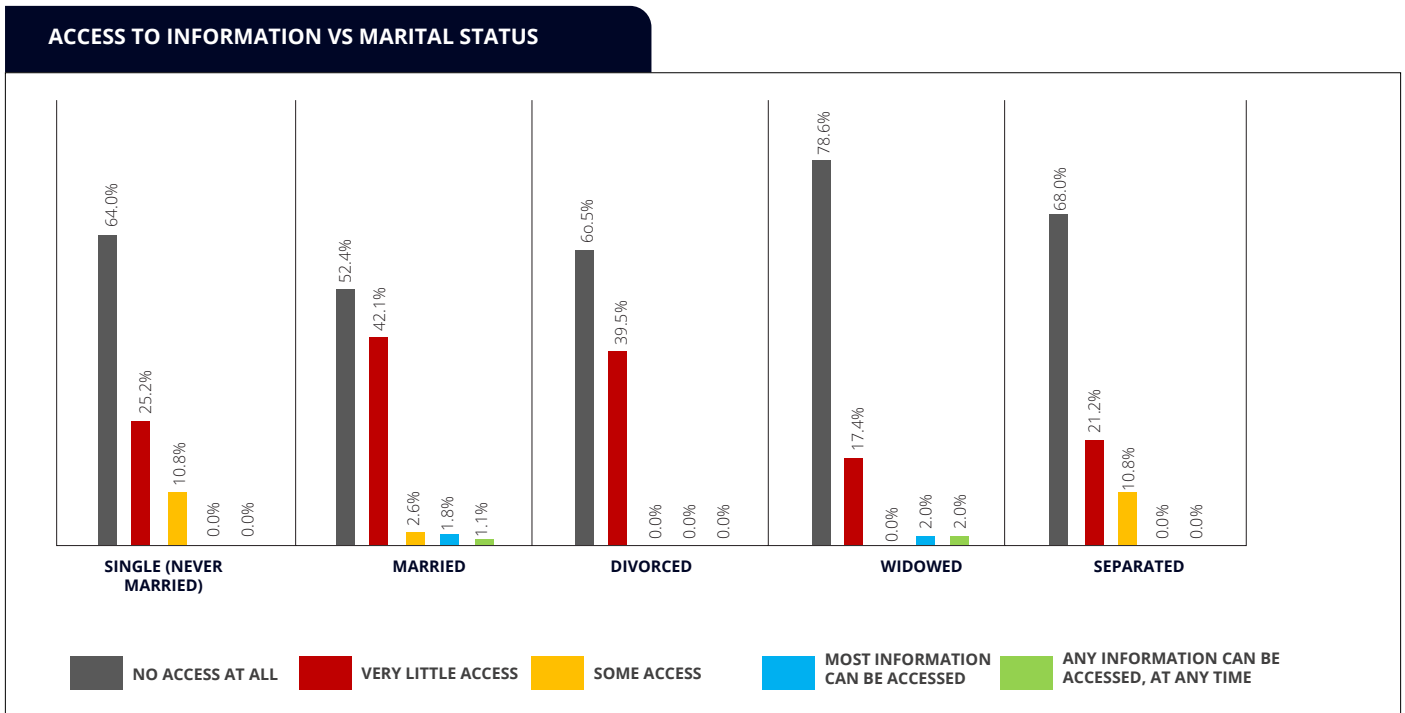


Figure 21: Access to Information VS AGE (NAIROBI)

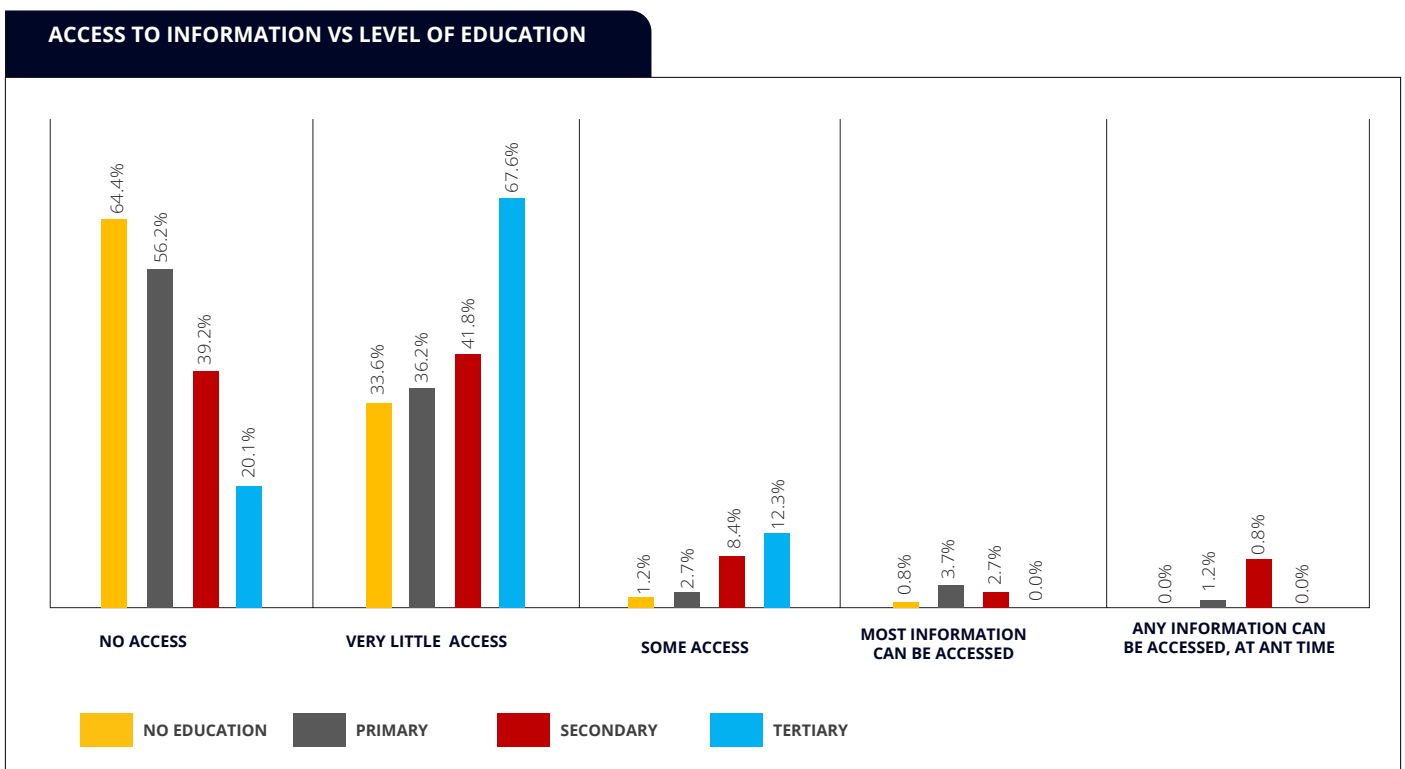
b) Marital Status:

With regards to marital status, data shows that respondents who are married reported better access to information which points to the fact that there is information that is often shared within the family - partners complement each other's information needs. Graph below



c) Education:

The disparity in access to information based on the Level of education stands out in Turkana, where 64% of those without formal education reported not having access to information, compared to 20% of those who have tertiary level education. Given the complexity and nature of information that has to be packaged and disseminated at community level, Oxfam should consider identifying persons with relatively good education to champion the process, and equally diversify approaches to communication to include use of locally contextualized IEC materials produced and distributed through local communication channels including local radio. Graph below shows the relationship between Access to information and the levels of education.



d) Sources of information:

Understanding the sources of information is an important consideration since strengthening social accountability will require that Oxfam and partners identify and utilize channels of communication across the project areas in Turkana and Nairobi. In this regard, the study has established that;

- The county governments (through its decentralized structures at the sub-counties and wards) have made efforts to provide information through local community meetings especially to those that relate to identification and prioritization of projects. Higher percentage of respondents rely on information from the county government, at 45% in Turkana and 40% in Nairobi.
- National government is a key channel for passing information in Turkana at 30% mainly yet not perceived as such by populations in Nairobi as only 6% considered the National government a source of information. Oxfam needs to strengthen the use of Chiefs as a key communication channel especially in Turkana.
- A quarter (25%) of the respondents in Nairobi considered social media as main source of information compared to only 1% in Turkana. Whilst Social media is a growing medium of communication with huge potential, there are debates on the quality of information available and whether populations are often able to distinguish what's fake and what's fact. Nonetheless it continues to be a good opportunity to provide feedback to leaders.
- CSOs are a key channel for passing information in Turkana at 29%, compared to Nairobi, where only 4% of the respondents rely on CSOs for their information needs.
- Radio as a channel of passing information has a lower dependability in Turkana at 1% in Turkana against 7% In Nairobi. Radio is thus no longer viewed as main sources of information on budgeting and revenue allocation. Private sector and family discussions also registered lower frequencies.

In addition to the channels of communication/sources of information identified above and quantified in the survey, the other modes sources of information mentioned during Focus Group Discussions and Key Informant Interviews and which the project could utilize include;

- Barazas and community meetings organized by Chiefs and other political leaders including the MCA, Sub-County Administrators, as well as the Member of Parliament/ Senators. This has the advantage of being an open process and if well mobilized can reach large populations in a short time. This mode of communication was most preferred in Turkana.
- Use of theatre and art was widely mentioned in Nairobi and Turkana as a powerful channel that is able to simplify complex concepts to simple, practical easy to digest messages. This approach is able to deliver social accountability messages in simple and captivating ways that will keep the target audiences engaged.
- Use of the council of Elders came out as a strong channel, in Turkana, where this institution is respected. The challenge however is that there is limited access to information and low literacy levels that may reduce their ability to understand the complexities around governance and budgeting processes.

Other less prominent modes of communication mentioned variably in Turkana and Nairobi included; Use of Public Notices at strategic points, including the shopping centres, chiefs offices, health centers etc, use of Newspapers, with pullouts containing relevant information., use of Television, use of Public Address systems, that are mounted on Vehicles and move in the business and residential areas, Use of Social media, including twitter, and controlled WhatsApp groups, to minimize upload of incorrect information, online advocacy, through use of online media channels, and the use of bill boards and posters

Charts below visualize the scenarios described in the texts above;

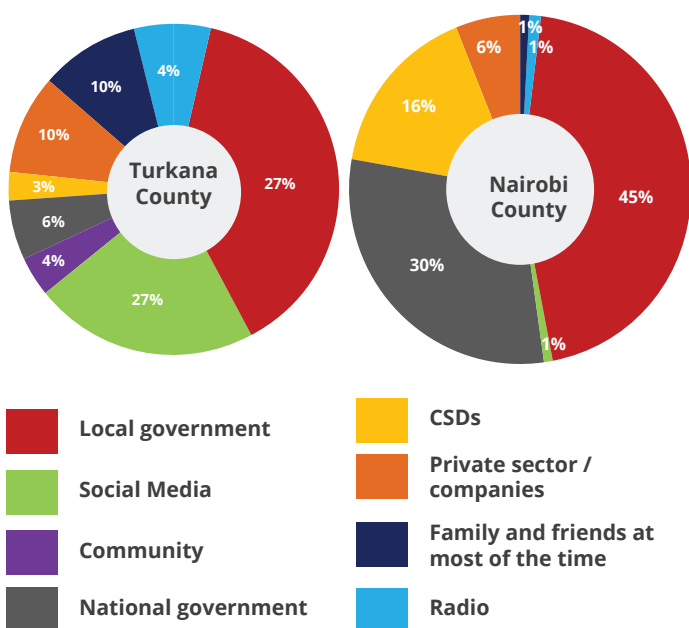


Figure 24: Visualization of the sources of information and access

3.3. RESULT AREA 2 | Voice

For purposes of this study Voice refers to the opportunity to express ideas and needs, give opinion (agreement or disagreement) or to claim one's rights.

A key area of interest in this study was to find out the extent to which the respondents felt they had a voice and opportunity to express themselves on important issues that affect them. The overall responses for the entire study population are summarized in the table below:

County	Parameter	No voice at all	Very little voice	Can express some ideas, needs and opinions	Can express most ideas, needs and opinions	Can fully express ideas and needs, and give opinions without
Turkana	Health	32.30%	33.70%	14.50%	4.60%	14.90%
	Education	32.90%	34.00%	13.10%	5.90%	14.20%
	Sanitation and water	33.30%	33.40%	12.60%	5.60%	14.90%
	Security	34.50%	33.30%	10.10%	6.30%	15.70%
Nairobi	Health	56.00%	26.70%	11.40%	2.50%	3.40%
	Education	53.20%	28.00%	12.70%	2.70%	3.40%
	Sanitation and water	53.70%	29.80%	10.70%	2.40%	3.40%
	Security	53.10%	30.40%	10.10%	3.00%	3.40%

From the table above Across both counties, an average of 44% felt that they did not have a voice at all, while an average of 31% of the respondents felt they had very little voice to express their opinions across the for parameters of Health, Education, Sanitation, and Security. This means an average of 75% respondents felt they had little to no voice on critical issues affecting their community.

It is however notable that a higher percentage of the population in Nairobi at 54% compared to Turkana at 33% Felt that they did not have a voice. A likely phenomenon for this is that the nature of social setting in the absence of long term social networks may have created fewer opportunities for community engagements than the setting in Turkana. In Nairobi, governance structures are way less clear than they are in Turkana. A case in point is that in Turkana, citizens are able to identify with their local Chief and MCA than in Nairobi. In this phenomenon, Turkana residents have better spaces for engagement than Nairobi

Respondents complained about public participation meetings not being held, and when they are held, only a select few community members are invited to attend. This certainly reinforces the need for an intervention that would make opportunities for community participation more accessible.

Notably, there weren't any noticeable differences in responses across any of the services which therefore means there weren't any sector specific interventions that elevate community voices.

On the question on which channels the respondents felt they were most comfortable expressing themselves to, 74 % of the respondents indicated that the county government remained their most preferred institution for expressing their voice. Social media remained the least preferred option at an average of 4 % (but certainly with sharp variances across the two counties) – as further summarized in the table below;

Q: With which of the following do you express your voice on matters that affect you and the community?

Avenues Through which people express their Voices	Turkana	Nairobi
Local government	91.9%	47.2%
National government	59.2%	12.5%
CSOs	31.4%	10.9%
Private sector/ companies	15.6%	6.6%
None	3.3%	32.7%
Social media	1.3%	7.5%
Community	0.0%	1.0%

Figure 26: Table showing avenue through which people express their voices

On matters of oil revenue and taxation, the responses both in Turkana and Nairobi were not significantly different, with 76% of respondents in Turkana feeling they had no voice on matters of oil revenue, while 80% of respondents in Nairobi felt they had no voice on County Government revenue (both collection and utilization).

	No voice	Very little voice	Can express some ideas, needs and opinions	Can express most ideas, needs and opinions	Can fully express ideas and needs, and give opinions without
Q: To what extent do you feel you have voice regarding Oil revenue / Tax management issues that affect your community? - in Turkana	75.90%	22.30%	1.30%	0.00%	0.50%
Q: To what extent do you feel you have voice regarding county Government revenue collection/National level Tax management issues that affect your community? - In Nairobi	80.40%	13.80%	3.90%	1.00%	0.90%

Figure 27: Responses on the level of voice respondents have in regards to Oil and Taxation in Turkana and Nairobi respectively

Data segregation Voice by Gender, Nairobi is depicted below

		Respondent gender					
		Male		Female		Total	
Q6: To what extent do you feel you have voice regarding the following critical issues affecting you, your family and/ or your community: Education	No voice at all	114	52.4%	104	54.1%	218	53.2%
	Very little voice	62	28.7%	53	27.3%	115	28.0%
	Can express some ideas, needs and opinions	29	13.4%	23	11.8%	52	12.7%
	Can express most ideas, needs and opinions	7	3.2%	4	2.2%	11	2.7%
	Can fully express ideas and needs, and give opinions without	5	2.3%	9	4.6%	14	3.4%
	Total	217	100.0%	193	100.0%	410	100.0%

Data desegregated voice by Gender, Turkana

		Respondent gender					
		Male		Female		Total	
Q6: To what extent do you feel you have voice regarding the following critical issues affecting you, your family and/ or your community: Education	No voice at all	67	32.1%	68	33.8%	135	32.9%
	Very little voice	71	34.0%	68	33.9%	139	34.0%
	Can express some ideas, needs and opinions	29	13.9%	25	12.2%	54	13.1%
	Can express most ideas, needs and opinions	9	4.5%	15	7.2%	24	5.9%
	Can fully express ideas and needs, and give opinions without	32	15.4%	26	12.9%	58	14.2%
	Total	209	100.0%	201	100.0%	410	100.0%

3.4. RESULT AREA 3 | Influence

Influence is understood to mean the extent to which communities can influence decision making on issues, especially those affecting them. The study set out to understand the respondent's perceptions on the extent to which they feel they have influence over key decisions and actions within their communities.

In a democracy like Kenya, government policies and initiatives are (in theory and modest practice) anchored on the concept of community/public influence - sometimes referred to as the 'concept of Big Society and Small State'. While there are provisions in law that protects community participation and subsequent influence, in practice, community involvement is often seen as just another legal requirement rather than for the substance of it – at least according to discussions during the Focus Group Discussions.

For Turkana, the study sought to understand the influence communities have on Oil and revenue, which is currently a topic of great public interest across the county. While in Nairobi the study sought to understand the nature of influence the communities have on county revenue/tax management. The responses are summarized in the graph below;

Q: To what extent do you feel you can influence decision making on Oil and Gas revenue at County level?

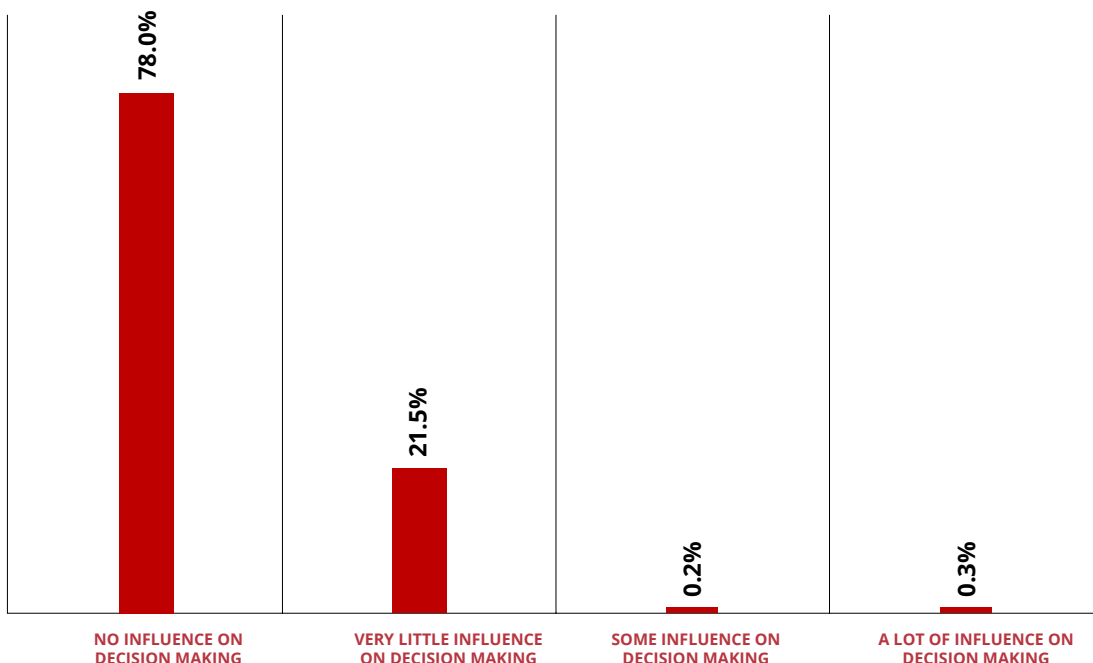


Figure 28: Graph showing the level to which people feel they can influence decision making on Oil and Gas revenue at County Level

Based on the data above, it is evident that 99% of the respondents in Turkana have limited to no influence on the decision making on oil revenue at the county level. Community Influencing should therefore be an area of intense programing during project implementation. There wasn't any notable difference in the responses from men and women.

The disaggregated levels of influence by level of education are summarized in the tables below both for Nairobi and Turkana:

Level of influence Vs Education - Nairobi

		Respondent education level?									
		No education		Primary		Secondary		Tertiary		Total	
Q24 : To what extent do community members feel that they can influence decision making on the following: National Government revenue collection At national level	No influence on decision making	10	100.0%	45	85.8%	144	82.4%	119	69.1%	318	77.6%
	Very little influence on decision making	0	0.0%	7	13.0%	29	16.5%	46	26.6%	82	19.9%
	Some influence on decision making	0	0.0%	1	1.2%	2	1.1%	7	4.3%	10	2.4%
	Total	10	100.0%	52	100.0%	174	100.0%	173	100.0%	409	100.0%

Level of influence Vs Education - Turkana

		Respondent education level?									
		No education		Primary		Secondary		Tertiary		Total	
Q24 : To what extent do community members feel that they can influence decision making on the following: National Government revenue collection At national level	No influence on decision making	238	90.7%	73	87.7%	36	91.6%	22	88.0%	369	90.0%
	Very little influence on decision making	24	9.3%	8	9.9%	3	8.4%	3	12.0%	39	9.5%
	Some influence on decision making	0	0.0%	2	2.4%	0	0.0%	0	0.0%	2	0.5%
	Total	262	100.0%	84	100.0%	39	100.0%	25	100.0%	410	100.0%

When respondents were asked who they seek to influence, the idea was to identify (and may be even prioritize) the institutions they considered important in making decisions that affect their lives. Graph below is a summary of the responses;

Q: Which of these institutions do you seek to influence?

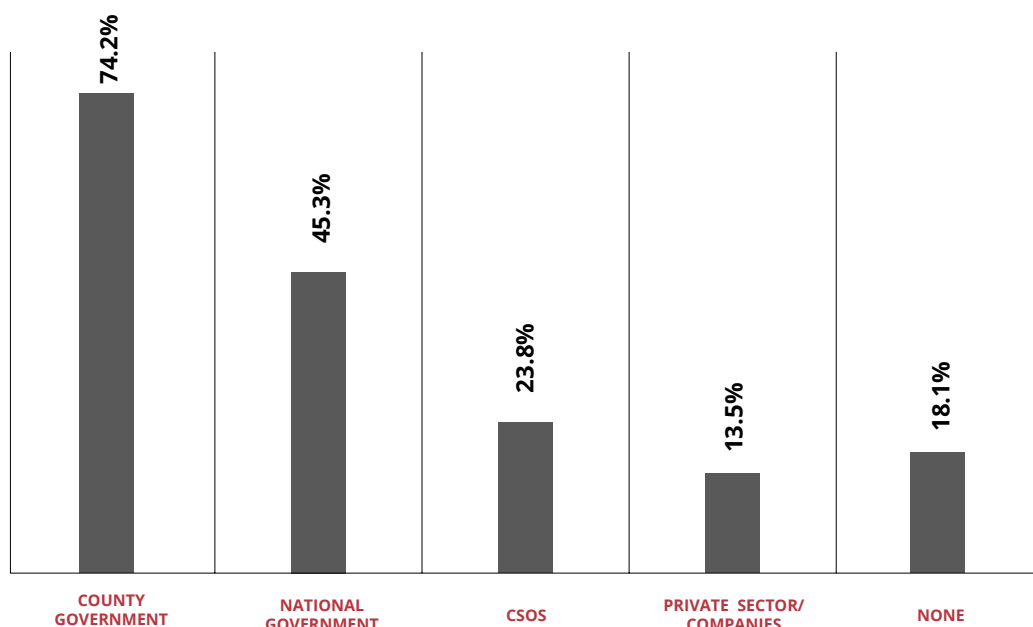


Figure 29: Graph showing key institutions the respondent are seeking to influence

From the visualization above, 74% of the respondents seek to influence the County Government, as they consider this the most critical pressure point that would change how revenues are collected and used. This was followed by the National Government at 45% of the respondents and CSOs were ranked at 24% of the respondents. However, some 18% of respondents had no interest in seeking to influence any of the institutions as they felt it was pointless and a waste of time since (as one of the respondents put it during an FGD) ‘the government has its owners’.

It is possible that respondents ranked the County Government the highest due to the legitimate expectations that the residents have on the devolved units, considering it is the form of government that they understand and interact with most. As to whether they have the capacity to engage the county government, this should certainly be assessed, and capacity gaps identified and addressed over the life of this project.

Conclusively, community influence is a critical driver for the enjoyment of various basic services, management of community assets, budget planning processes and public accountability mechanisms – of which initiatives could have remarkable implications on the intersection between participative democracy (community driven) and representative democracy (leadership driven).

Whilst there is a strong argument for investing in community capacities to engage, participate and influence, it needs to be noted that there should be an equal level of investment dedicated to government institutions and the private sector towards improving openness and willingness to engage with the communities – including the need for public agencies to be receptive to their influence.

3.5. RESULT AREA 4 | Negotiation

Negotiation is understood to mean the ability for citizens to consult and be consulted in all development processes within their communities. They also must be able to claim enforcement of social contracts and the rules and regulations that facilitate better delivery of services. It is the ability to meaningfully participate and present community interest in decision making processes by the government, CSOs, or the private sector.

For example, deciding whether to allow an investor to use community land and natural resources is one of the most important decisions a community can make. When negotiations are conducted fairly and inclusively, investments may result in the creation of jobs, provision of much-needed infrastructure such as schools, roads and clinics, and rental payments that have the potential to support the community’s long-term prosperity and wellbeing .

Unfortunately, consultations between communities and investors are typically characterized by significant information and power imbalances. Community members often don’t know what rights they have, what fair compensation would be, or distinguish what is a right from that which might be given in the form of aid. Public officers (mostly politicians) often utilize such inadequacy of knowledge to perpetuate agenda which in most isn’t in the interest of the community. Without the opportunity to negotiate, communities are often powerless to hold a government institution or private investor accountable, and demand remedies for any environmental and social damages.

Despite various frameworks that require governments, CSOs and private sector to consult communities on development projects especially those that might require acquisition of land for public use or which might have an effect on the environment or socio-economic livelihoods, the baseline established that in Turkana up to 63% of the respondents felt that negotiation is not possible at all. The combined response of ‘No Negotiation’ at 63% and ‘Very limited negotiation’ at 29 % is a total of 92% - which outrightly means that the communities do not have the opportunity to negotiate with actors either due to capacity or other factors that keep communities away from the negotiating table, such as limited access to information, and leaders that fail to play their representative roles in negotiating on behalf of the community. There were no major gender differences noted in the responses for this result area.

The target communities should therefore be supported to develop skills in negotiations and social contracting and at the same time the project needs to identify and address any policy barriers to community negotiation.

Chart below summarizes respondent feedback on their ability to negotiate;

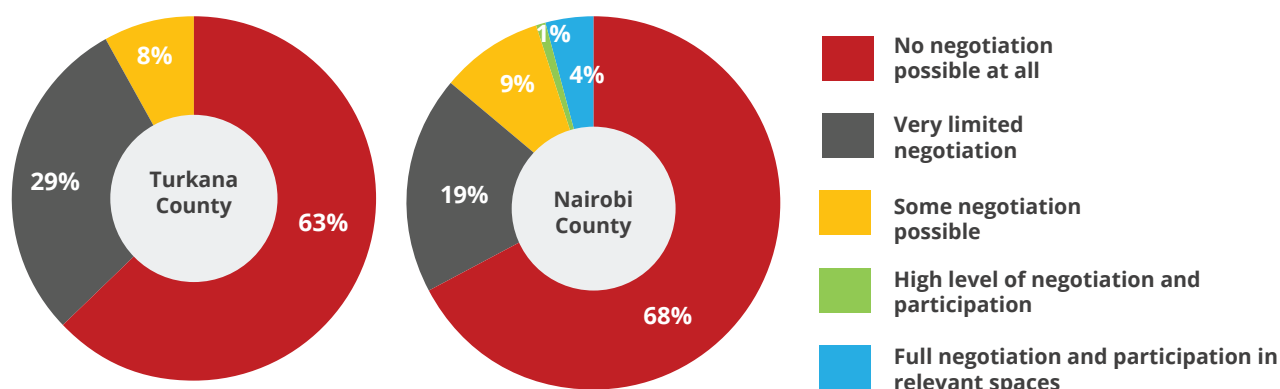


Figure 30: Summary respondent feedback on their ability to negotiate

The distribution of responses disaggregated by Gender for Nairobi and Turkana are shown below;

Gender vs Negotiation - Nairobi;		Respondent gender					
		Male		Female		Total	
Q33: To what extent do you feel you have the space to negotiate with the following institutions on issues related to public budgets and decisions over government revenues: National government?	No negotiation possible at all	161	74.3%	143	73.9%	304	74.1%
	Very limited negotiation	53	24.4%	38	19.6%	91	22.1%
	Some negotiation possible	3	1.3%	13	6.5%	15	3.7%
	Total	217	100.0%	193	100.0%	410	100.0%

Gender vs Negotiation - Turkana;		Respondent gender					
		Male		Female		Total	
Q33: To what extent do you feel you have the space to negotiate with the following institutions on issues related to public budgets and decisions over government?	No negotiation possible at all	171	81.8%	161	80.2%	332	81.0%
	Very limited negotiation	34	16.3%	36	17.7%	70	17.0%
	Some negotiation possible	4	2.0%	3	1.5%	7	1.8%
	High level of negotiation and participation	0	0.0%	1	0.5%	1	0.3%
	Total	209	100.0%	201	100.0%	410	100.0%

Responses disaggregated by level of education, Nairobi is depicted below

		Respondent education level?									
		No education		Primary		Secondary		Tertiary		Total	
Q36 : To what extent do you feel you have the space to negotiate with the following institutions on issues related to public budgets and decisions over government revenues: Other (please indicate)?	No negotiation possible at all	0	0.0%	4	8.1%	11	6.4%	28	15.9%	43	10.5%
	Very limited negotiation	0	0.0%	1	1.4%	5	3.0%	15	8.4%	21	5.0%
	Some negotiation possible	0	0.0%	0	0.0%	3	1.9%	9	5.3%	13	3.0%
	None	10	100.0%	47	90.6%	155	88.7%	122	70.4%	334	81.5%
	Total	10	100.0%	52	100.0%	174	100.0%	173	100.0%	410	100.0%

Responses disaggregated by Level of education, Turkana is depicted below

		Respondent education level?									
		No education		Primary		Secondary		Tertiary		Total	
Q33 : To what extent do you feel you have the space to negotiate with the following institutions on issues related to public budgets and decisions over government revenues: National government?	No negotiation possible at all	219	83.3%	62	74.2%	32	81.5%	20	79.1%	332	81.0%
	Very limited negotiation	40	15.1%	21	24.6%	5	13.2%	4	16.7%	70	17.0%
	Some negotiation possible	4	1.6%	1	1.2%	2	5.3%	0	0.0%	7	1.8%
	None	0	0.0%	0	0.0%	0	0.0%	1	4.1%	1	0.3%
	Total	262	100.0%	84	100.0%	39	100.0%	25	100.0%	410	100.0%

It is not ideal that key development decisions are made by a few leaders in government, or with connections in government, who purport to act on behalf of the many but who refuse to involve the many in their deliberations or do so superficially. Such apathy for inclusion often leads to active opposition and presents a major challenge to efforts of social accountability.

For example, In Turkana one of the issues that repeatedly emerged from the Focus Group Discussions was the inability of the community to negotiate for Compensation for land acquired by Tullow (an upstream oil company). Communities have concerns around the failure to receive appropriate compensation, and the lack of clear channels and guidelines on the rates and modalities for compensation.

At the same time, platforms have not been created for community voices to contribute to conversations around waste disposal which some community members associated with illnesses, miscarriages, and abnormal crop and animal production patterns - even though the study was unable to find any alternative environmental assessment reports that could confirm nor dissuade this perspective. There were also concerns of Unequal opportunities in the non-oil producing areas in Turkana South regarding the fewer opportunities for employment, which were not exactly made better by allegations of nepotism and favoritism in the access to employment and business opportunities. These scenarios fit within the broader scope of civic participation in the management of natural resources and could be addressed if grassroots level structures and platforms can be created to support dialogue with the private sector as well as organs of government.

3.6. RESULT AREA 5 | Representation

Representation is considered the opportunity for citizens to have someone, ideally elected or appointed by the community, speaking on their behalf and actively promoting their views. This parameter sought to understand the extent to which respondents felt they have credible mechanisms and persons to represent and champion their interests. But first, it needs to be understood that in democracies like Kenya, the right to representation is exercised through voting and elections, and that to achieve the objectives of representation, populations should be able to elect officials who truly represent them and the interests of their communities.

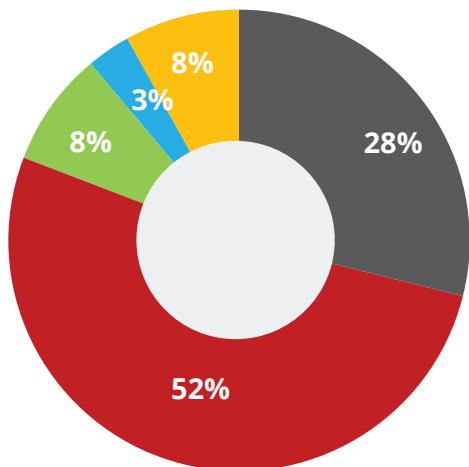
During the Focus Group Discussions, the investigators were able to observe three forms of civic engagement and participation which are voting, partisanship, and campaign participation, and considered the effect they would have in the quality of involvement in governance. Using bivariate qualitative analyses of representation and participation, the study revealed mixed reactions among the respondents.

There were respondents who felt that being represented does not exactly make them feel involved in decisions, yet there were those that felt they were sufficiently represented and therefore their interests and concerns are expressed by their local leaders. It is possible that these responses followed political party support (in the broad sense). Civic representation is at the core of democracy. Underrepresentation can mean that certain priorities or segments of population can be marginalized.

At the same time, issues those that have higher representation or voting turnout can be favored and would feel more motivated to participate in processes that perpetuate social accountability. This notion assumes that everyone is equally aware and educated on the issues at hand.

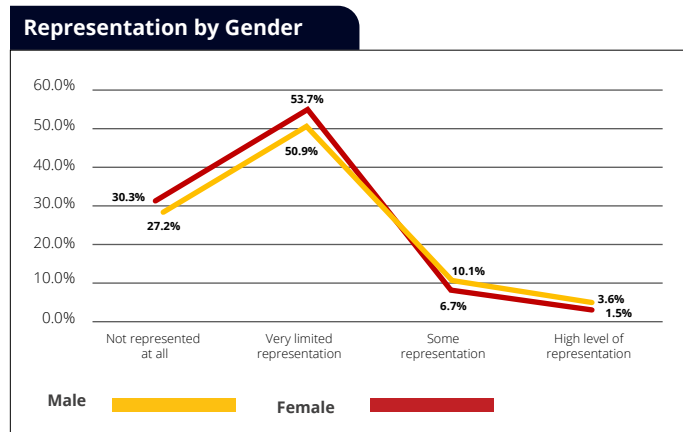
On the extent to which the respondents felt represented within structures of government, 29% of the respondents felt that they are not represented at all while the majority (52%) felt that they had limited representation, as further indicated by the graph below. Only 8% felt they were fully represented.

Q: To what extent do you feel you are represented in governance structures involved with or affecting public budgets and government revenues



The study observed disparities in perception between those with no formal education and those who have tertiary level education. In Turkana, while 32% of those with no formal education reported that they were not represented at all, only 16% of those with tertiary level education reported the same. In Nairobi, 69% of respondents with no education reported that they did not feel represented at all compared to 28% reported by those with tertiary education – which raises the need for conversations around whether those with formal education effectively represent those with lower education levels, and even the more so around the critical question of whether those without higher levels of education have the same opportunities for representation as those with lower levels of education.

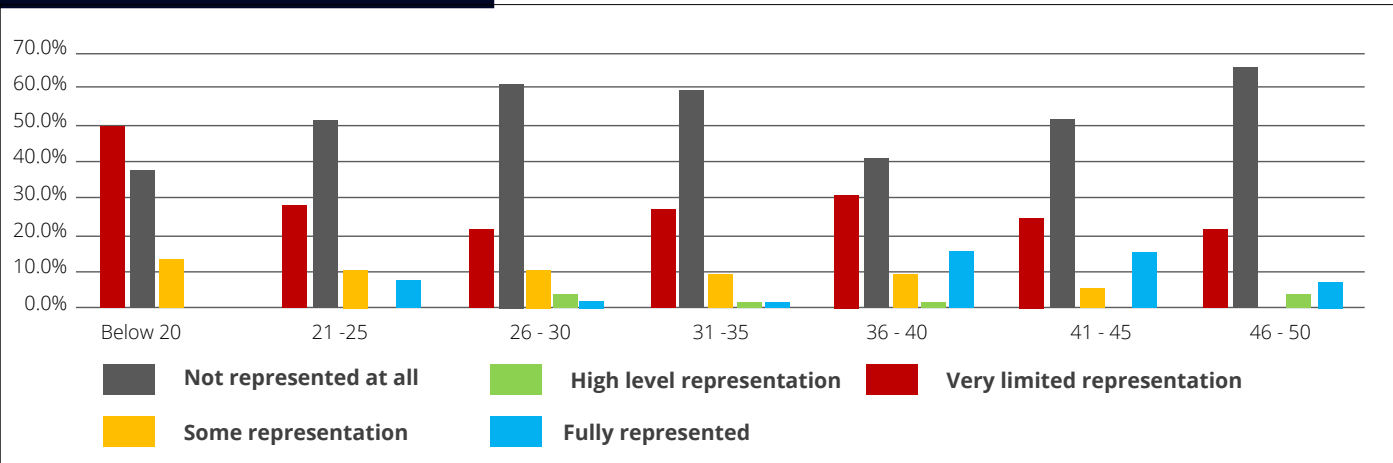
Regarding the dimensions of gender, this baseline study did not find any disparities in 'the feeling of being represented' in matters of public revenues and finance. Any inferences that can be drawn on the gender differences based on the data projected in the line graph below would be statistically insignificant.



The other dimension of representation that was necessary to assess was the variances based on Age. Age certainly influences the uptake of information and certainly on political activity. As indicated in the graph below, the responses clearly point to the fact the younger people (18-20years) predominantly felt that they are not being represented, compared to elderly (51 above) at 42%.

From this analysis, there is need for the project to recognize the need to have these two age brackets represented in appropriate leadership roles, not just on political representation, but even within local community structures.

Representation by Age

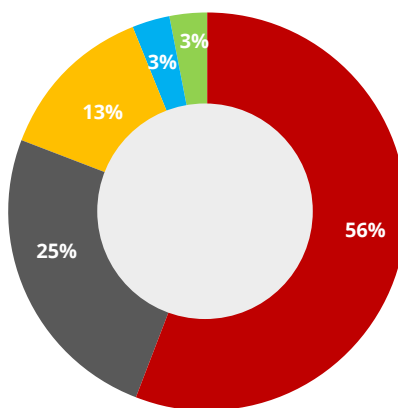


3.7. RESULT AREA 6 | Empowerment

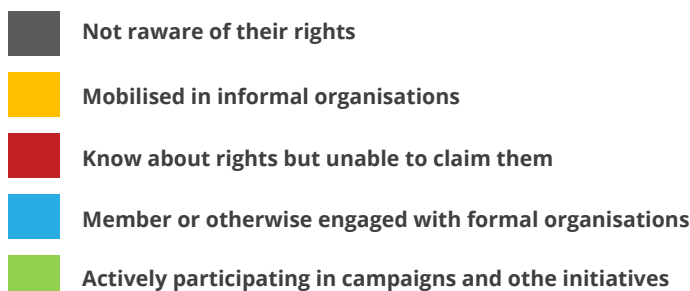
Empowerment in this sense would be the capacity for citizens to self-mobilize and organize with the purpose of being stronger in relations with government and the service providers – it is the level of community-organizing that would enable citizens to hold Government (and its related institutions) and even private sector to account on important matters that affect their lives, including revenues and public finance management. The ultimate objective of the NORAD Project is to strengthen community capacities to participate in processes of governance in general, and in revenue allocation and utilization in particular.

A total of 25% did not have knowledge of their rights (including the right to participation), and another 56% knew their rights but felt they were unable to claim them due lack of Ability to do so Only 3% actively participate in campaigns and other government initiatives. From the responses, there is an evident correlation between the respondents' level of education and their ability to know their rights, including the right to information. 31% of those without formal education reported not having knowledge of their rights, against 4% reported by those with tertiary level education reporting the same.

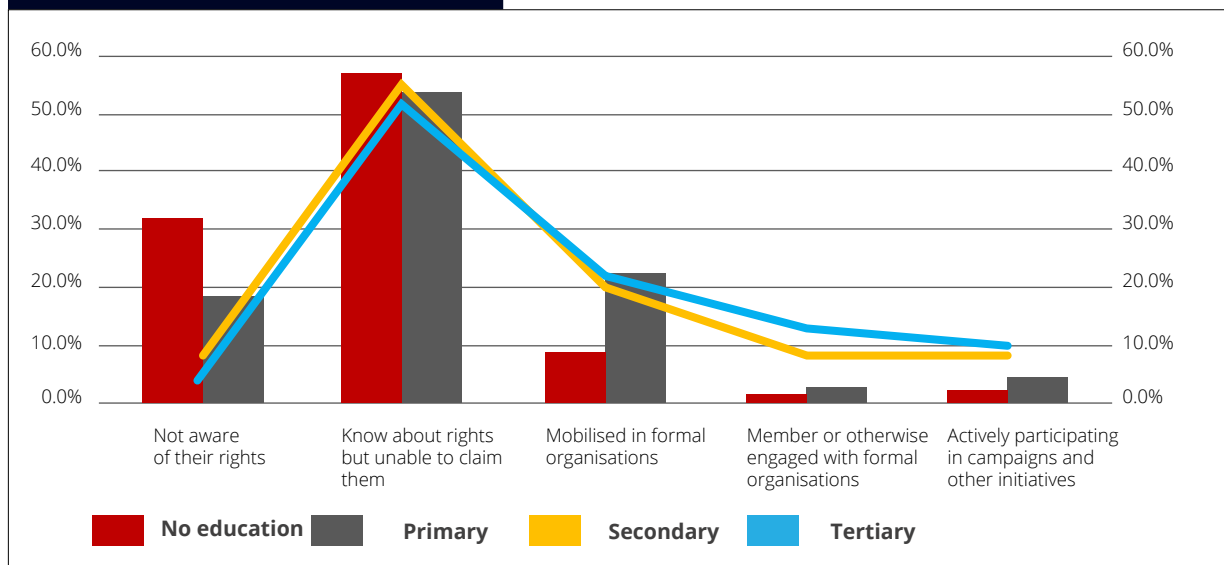
The Charts below, are summarize the findings on the extent to which respondents feel empowered to claim their rights



Q: To what extent do you feel you are empowered to claim your rights related to public budgets and government revenue decision making?

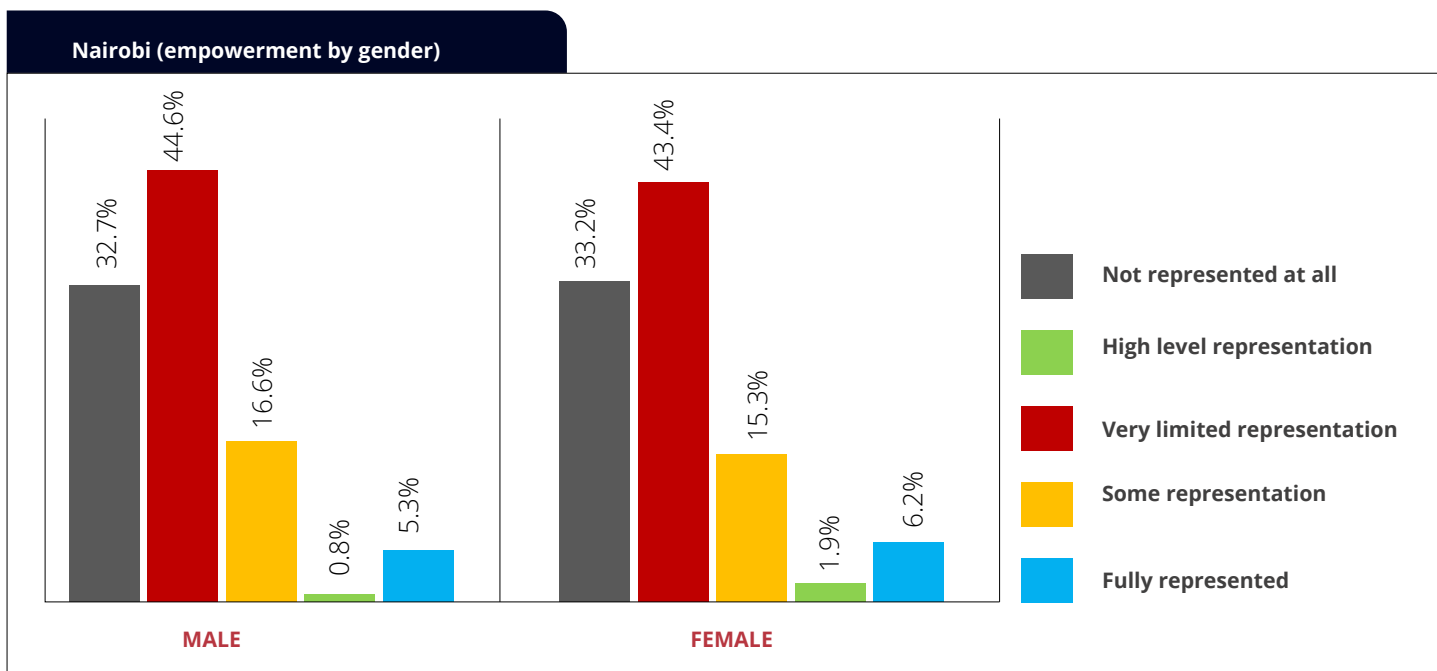
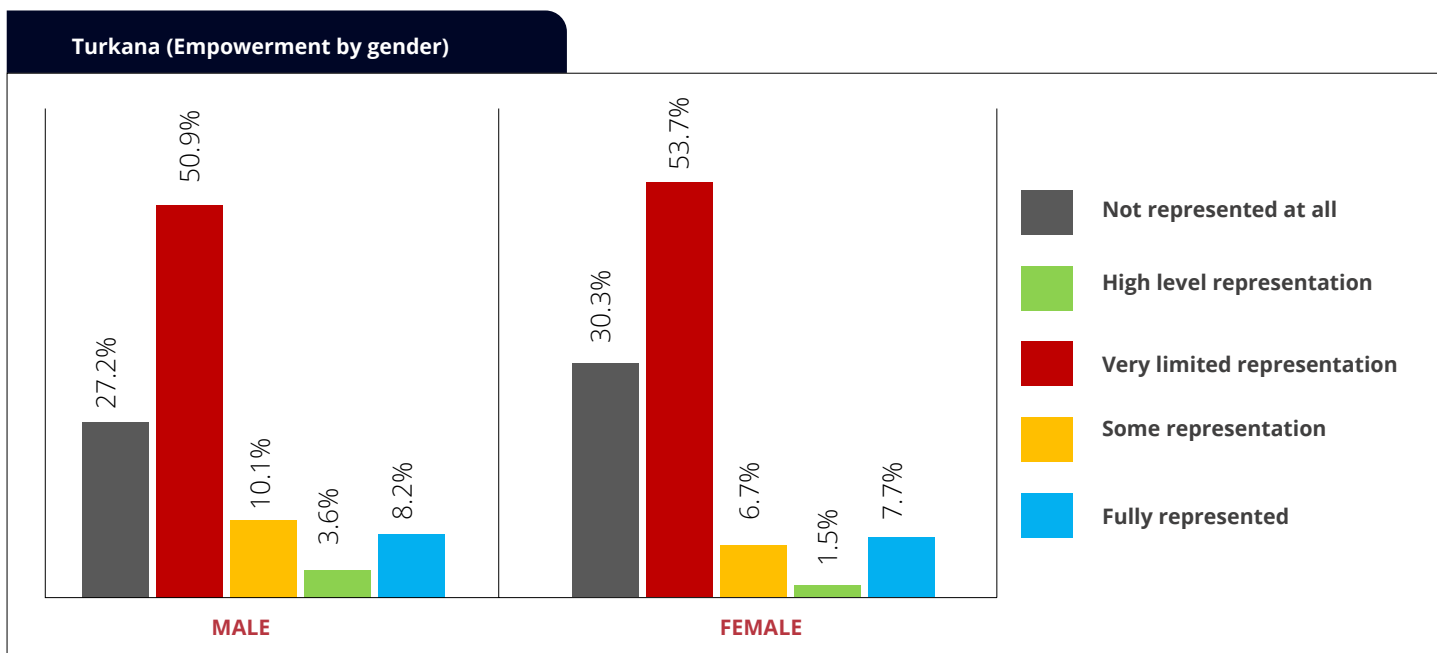


Empowerment Vs Level of Education



From the responses above, 22% of the respondents with tertiary education were members of informal organizations such as 'Chamas' (Informal revolving funds) while 12% were members of formal organizations such as CBOs and NGOs. On the contrary, only 8% of the respondents with no formal education had joined informal groups, while only 3% from this category had joined Formal community groups. This speaks to the need to strengthen efforts towards community organizing for both formal (through elections and use of registered groups such as CBOs, NGOs, School Management Committees etc), and informal set ups (such as merry go rounds, faith based committees, clan meetings and other social gatherings) in a way that will eventually promote constructive engagement and advocacy on matters of revenue generation and public financing. The community /Social groups are smaller communities that present an opportunity for more personalized discussions and peer support systems.

With regards to the differences in the ability to organize and self-mobilize across gender, study established that any such differences even though present, were statistically insignificant to construe gender biases – both for Nairobi and Turkana. This is further indicated by the graphs below;





4. SUMMARY OF RECOMMENDATIONS

Even though discussed along with the findings in the section above, below is a summary of some of the key recommendations generated directly from the findings;

i. Access to Information:

The study takes note of the low levels of access to information. It is however not a surprise as access to information is often tied to literacy, as the common modalities of transmitting information is often through reading, or comprehension of audio transmission, both of which require a level of literacy and numeracy. This means the program should consider variety of interventions that will promote the realization of the right to access of information in these counties. A suitable intervention would be that which integrates community level engagements with policy level influencing. However, a community led (rapid) assessment on the drivers and barriers of access to information is highly recommended ahead of any intervention.

ii. Voice:

44% of the respondents in Turkana and Nairobi felt they did not have a voice at all, while an average of 31% of the respondents felt they had very little voice to express their opinions across the parameters of health, education, water & sanitation and security. This means an average of 75% respondents across the study area felt they had little to no voice on critical issues affecting their community, which reinforces the need for an intervention that would make opportunities for community participation more accessible.

iii. Influence:

85% of the respondents felt they had no influence over the use of other local revenue from County and national Government. Community influencing should therefore be an area of intense programming during project implementation. Community influence is a critical driver for the enjoyment of various basic services, management of community assets, budget planning processes and public accountability mechanisms – of which initiatives could have remarkable implications on the intersection between participative democracy (community driven) and representative democracy (leadership driven). Whilst there is a strong argument for investing in community capacities to engage, participate and influence, it needs to be noted that there should be an equal level of investment dedicated to government institutions and the private sector towards improving openness and willingness to engage with the communities – including the need for public agencies to be receptive to their influence.

iv. Negotiation:

Despite various frameworks that require governments, CSOs and private sector to consult communities on development projects - especially those that might require acquisition of land for public use or which might have an effect on the environment or socio-economic practices.

The combined response of 'No Negotiation' at 63% and 'Very limited negotiation' at 29 % is a total of 92% - which outrightly means the communities do not have the opportunity to negotiate with actors either due to capacity or limited opportunities for engagement.

The target communities should therefore be supported to develop skills in negotiations

and social contracting, and the project equally needs to identify and address any policy barriers to community negotiation. Representation: The study observed notable disparities in perception between those with no formal education and those who have tertiary level education. While 32% of those with no formal education reported that they were not represented at all, only 16% of those with tertiary level education reported the same – which raises the need for conversations around whether those with formal education effectively represent those with lower education levels, and even the more around the critical question of whether those without higher levels of education have the same opportunities for representation as those with lower levels of education.

The project should therefore purpose to understand the structure, and substance of representation and develop modalities to ensure all segments of population are represented and actively participate in social accountability processes.

vii. Empowerment:

From the responses, there is an evident correlation between the respondents' level of education and their ability to know and exercise their rights, including the right to information. 31% of those without formal education reported not having knowledge of their rights, against 4% reported by those with tertiary level education reporting the same.

There is therefore the need to strengthen efforts towards community organizing at both formal and informal levels in a way that will eventually promote constructive engagement and advocacy on matters of revenue generation and public financing.



5. OTHER OBSERVATIONS, CONCLUSIONS AND RECOMMENDATIONS

This section has the consultants' overall opinion of the project on other issues that may not have been directly part of the data collected, but that would be useful in further strengthening the project and its implementation.

Engendering Social Accountability:

Women in communities play significant role in natural resource management, and efforts to ensure their active and effective participation in decision making, management and sharing in the benefits of public resources should be deliberate and encouraged. Given the gender dynamics discussed in relation to access to information and overall participation of women in social accountability, there is a good argument for the project to adopt gender sensitive approaches within its interventions.

The inclusion of Gender analysis as part of planning, the inclusion of gender sensitive indicators, and the integration of gender dimensions within routine monitoring tools, will significantly contribute to better integrated programming in which gender and socio-cultural perspectives are anticipated and factored into planning & design.

Attribution Vs Contribution:

It is expected that there are numerous partners at the national and county levels with similar interventions with unspecified degrees of variation and possible impact. Nonetheless, this baseline has authoritatively (re)established the need for and relevance of the NORAD II project in strengthening mechanisms for social accountability.

Despite this assertion, and the strength of the project's design and expected delivery, it will be challenging to distinguish the outcomes of the project from other efforts and contribution independent of the project. In order to address this potential (futuristic) evaluation challenge, it is important for Oxfam to consider supporting the implementing partners to ensure monitoring data is gathered with absolute fidelity and that such data is routinely analysed and utilised to meticulously track changes and inform project management.

Oxfam should develop tools to monitor its interventions and the specific activities that it will be implementing in this project. Once these are clearly defined, and their output, Outcome logic defined, measuring attribution will be possible, though with a margin of allowable error, which all development interventions have to contend with. In principle, change ought to be measured relative to the situation at the beginning of project, and this baseline study, provides the status against the completed Social Accountability Tracking Tool.

This will enable the project to describe the baseline and along with that the tacit ability to quantify the resultant change -

The Structure, Conduct, and Practice of Social Accountability:

This baseline study has broadly generated an understanding of the enablers, barriers and differentials in community driven social accountability. As already mentioned, there is need for a rapid assessment on the drivers and barriers of access to information by communities.

This is highly recommended ahead of any intervention. It also gathered information that provides insights on the causal relationship within the operational environment (Structure), the perspectives, attitudes, and actions of communities (Conduct), and the effectiveness of existing social accountability mechanisms (Practice). Amongst other subtle recommendations that can be made, there's and outstanding need to deepen programmatic interventions that improve access to information and bolster capacities for community influence and representation in order to lift the communities to a level where they can protect their interests.

Part of this would be to engage and support policy making institutions in developing (or monitoring the implementation of) policies and legislation that create better access for information sharing, and which create platforms for meaningful engagement of communities.



In all the approaches, Nairobi and Turkana have obvious demographic and socio-economic diversities and the project should therefore adopt diverse approaches for the counties. Whilst there is a strong argument for investing in community capacities to engage, participate and influence, it needs to be noted that there should be an equal level of investment dedicated to government institutions and the private sector towards improving openness and willingness to engage with the communities.

Sustainability:

Sustaining the gains of this project would require that the communities own the desire to step up and claim their responsibility in the management of the affairs of their communities. To help achieve this, and with the understanding of gaps in structures and capacities, development partners like Oxfam need to intensify their influencing agenda to get the county to dedicate more resources (financial and human) towards strengthening the role of communities in governance.

At the same time, the development partners must purpose to strengthen the community systems and facilitate community organizing in a way that is deliberate and coordinated – with clear time-based milestones. A clear and actionable roadmap for strengthening community capacities for social accountability will need to be developed.

Strategic Alliances:

There needs to be a deliberate action by Oxfam and Implementing Partners to reach out to various interest groups within the counties with the intention to have various sectors and segments of the county to understand, appreciate and contribute to the constitutional provision of civic engagement.

In these engagements, opportunities and avenues for the different sectors to adopt community driven approaches should be made clear, and the role of communities in social accountability should be embraced. Some of the actors within the county that could contribute immensely to the quality

and effectiveness of social accountability processes include; the business community, education community, other civil society, cooperatives, women and youth organizations, farmers' associations, religious communities and professional groups including Law Society of Kenya (local chapters). It needs to be understood that meaningful public involvement helps create a good relationship between the people and the government and therefore leads to a more transparent government.

The Project Theory of Change:

Based on the findings of this study, it would be useful for the project design team to interrogate these findings in the perspective of the theory of change and identify aspects of the design that may be adjusted, realigned, or included. The findings of this baseline also create an opportunity to reconsider activities that might of less prominence to the intended outcome of project.

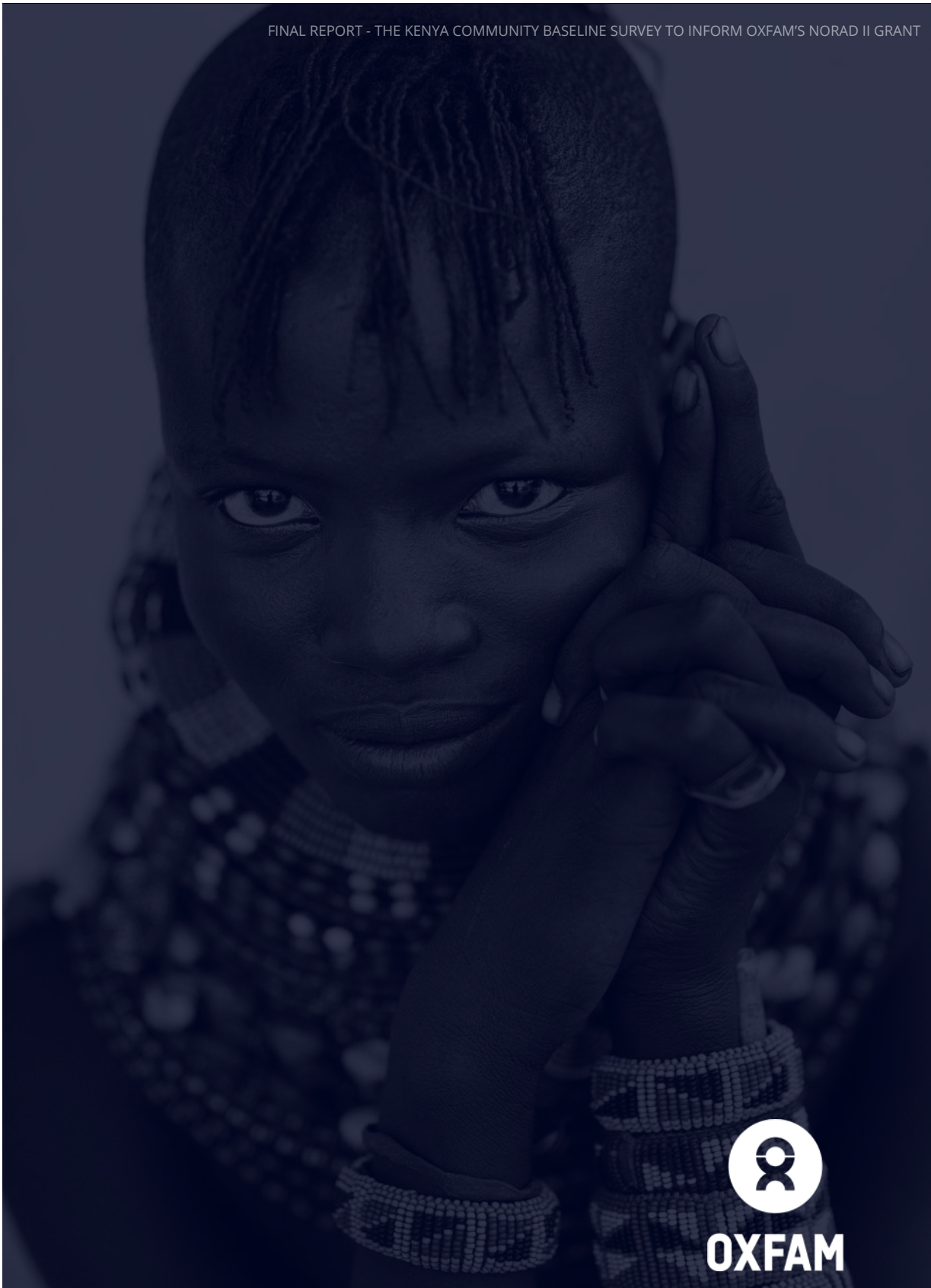
The transfer of knowledge and other forms of capacity, inclusivity, community organizing, and community role in resource management are just a few ideas that could easily be strengthened or incorporated into project design as a means of ensuring the intended project objectives are met.

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List of attachments

- i. Survey Tools – Household Survey, KII Question Guide and FGD Question Guide
- ii. Slide Presentations of findings and recommendations for Turkana and Nairobi
- iii. Raw data Sets
- iv. Photo credits Shutterstock



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