## KENYA DEVOLUTION

**WORKING PAPER 2** 

FEBRUARY 2015

# Basic Requirements for Public Participation in Kenya's Legal Framework

**OBJECTIVE:** Kenyan policymakers have put strong emphasis on transparency, participation and accountability in the new Constitution and legal framework. This paper highlights key provisions in Kenya's legal framework to stimulate discussion on how the provisions can be converted to functioning participatory systems.

Inderstandably, given the pace and scale of Kenya's transition to devolved government, there are ongoing questions about roles and responsibilities of different parts of government and the role of citizens under devolution. Global experience shows that it takes time for systems to be put in place and for legal requirements to be operationalized.

This working paper seeks to distil key provisions in the legislative framework related to transparency, accountability and participation in county government, in particular the planning and budgeting cycle, and present them in a format that is useful for county planners, executive and assembly members. It can be used as a guide for how Counties can interface with citizens based on Kenya's legislative framework.

#### KENYA'S CONSTITUTION AND LEGAL FRAMEWORK PROVIDE STRONG FOUNDATION FOR PUBLIC PARTICIPATION



Disclosure of information: Clear fiscal reporting and citizen access to timely accurate information on budgets, government programs and results; ATI legislation (CoK Arts: 35, 201, 232; CGA 2012 Arts: 94, 95, 96; PFMA 207)



Responsiveness and answerbility: Accountability in financial matters, Independent Commissions to oversee implementation of constitutional provisions, handle citizen complaints (CoK Arts: 174, 201; CGA 89)



Public consultation and decision making: Public shall be engaged in budget and policy formulation, planning and social service delivery priority setting (CoK Arts: 174, 201, 232; CGA 47, 91, 99-100; PFMA 125, 128, 131, 137 UAC 2011, 21 and 22)

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#### Useful resources in this working paper include:

- Minimum requirements for transparency, accountability, and participation at the county level based on Kenya's legal framework (Box 1).
- A public participation checklist which can help County Governments assess whether they are on track in operationalizing legal provisions related to citizen participation in planning, public financial management and monitoring (Box 2).
- County budget documents and timeline for tabling in the county assembly and for release to the public (Box 3).
- Minimum requirements for Transparency, Accountability and Participation in the budget cycle (Box 4).

Commitment to citizen participation in the planning, delivery of services, budgeting and monitoring is well articulated across the legislation. The Constitution refers to these principles in Articles 10 and 174 and reference is made specifically to participation in: public finance (Art. 201), the process of policy-making (Art. 232) and, the governance and management of urban areas and cities (Art. 184). The County Governments Act (Sections 3 and 6); the Public Finance Management Act (Section 10); the Transition to Devolved Government Act (Section 14); and the Urban Areas and Cities Act (Section 3) are all guided by principles of transparency, accountability and participation.

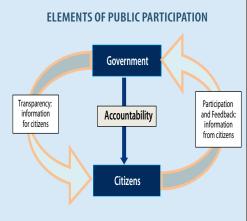


Ministry of Devolution and Planning



#### Key elements of public participation (social accountability)

Social accountability refers to processes which enable citizens to hold state institutions accountable and make them responsive to their needs. *Transparency* of public finances and performance is ensured through rules, mechanisms, and capacities for sharing information on government programs, budgets, expenditures, and results with citizens. *Participation* mechanisms enable citizens to participate in setting budget priorities and monitor expenditures, and assess service delivery performance; they also include feedback systems, which provide citizens with the opportunity to provide comments and grievances. *Accountability* mechanisms include both direct and indirect



relationships, where service providers are sanctioned if they fail to meet an established standard.

## Kenya's emphasis on public participation is in line with emerging global experience on what is needed to make decentralization work

Global experience indicates that effective decentralization often depends on balancing increased discretion of local governments with increased accountability—both upwards and downwards. Global and Kenya's own experiences suggest that there are significant risks associated with devolved service delivery, if proper accountability mechanisms are not quickly put in place. Building downward accountability requires tailoring county systems to be responsive to citizens' needs and adapted to the local context, such as the size of the county, level of urbanization, capacity of the county government, number of marginalized groups and others. Experience shows that such a process of adaptation is enhanced through a participatory process in consultation with the county government, along with civil society, as opposed to a top down approach.<sup>1</sup>

#### Kenya's progressive legal framework

Transparency, participation and accountability are at the heart of the Constitution of Kenya (CoK) and subsequent legislation. The Constitution places extensive requirements for public participation upon national and devolved governments as enshrined in Article 1 of the CoK. The devolution laws in turn provide multiple provisions that county governments are required to implement including timely access to information, public involvement in planning, budgeting, in the establishment of performance standards and involvement in county decision making. The challenge ahead is to translate legislative provisions into operational guidelines, working systems and capacities.

## What are minimum legal requirements for accountability at the county level?

This paper provides an overview of core provisions in Kenya's legal framework for transparency, accountability and participation at the county level (Box 1). These include

"County Governments should conduct their business openly and publicly and facilitate citizen involvement in their business and committees."

- Constitution Art. 196

"Members of the County Assemblies should maintain close contact with the electorate and consult with them on issues under discussion in the County Assemblies."

- CGA Section 9:1

"County Governments should create structures, mechanisms and guidelines for citizen participation... ensure participation is open to all without discrimination and have safeguards against domination of the consultations by one group (whether politicians, elites or CSOs)."

- CGA Section 115

public participation in policy making, throughout the planning and budget cycle. This means that citizens must be given adequate time and information to participate effectively. Box 3 provides the recommended timeline for release of budget documents to the public and for tabling in the county assembly.

<sup>&</sup>lt;sup>1</sup> World Bank, Devolution without Disruption, pg. 162.

#### BOX 1: MINIMUM REQUIREMENTS FOR PARTICIPATION AT THE COUNTY LEVEL BASED ON KENYA'S LEGAL FRAMEWORK

Overall legal, regulatory, institutional framework	Reference in Legislation
<ol> <li>County Governments (CGs) should create structures, mechanisms and guidelines for citizen participation. The structures and guidelines sho participation is open to all without discrimination and have safeguards domination of the consultations by one group (whether politicians, elite CSOs).</li> </ol>	uld ensure against es or
<ol><li>Each county assembly shall develop laws and regulations giving effer requirement for effective citizen participation in development planning performance management within the county and such laws and guida adhere to minimum national requirements.</li></ol>	ng and
<ol> <li>CGs and its agencies shall designate an office or officer for purpose ensuring access to information and shall enact legislation to ensure information for which reasonable fees may be imposed.</li> </ol>	
4. CGs should promote access to information for minorities, marginalis and communities.	ed groups CoK, CGA, PFM Act (Specifically Article 35 and 254:3)
<ol> <li>CGs should establish mechanisms to facilitate public communication access to information with the widest public outreach using media, vinclude: television stations, information communication technology of websites, community radio stations, public meetings; and traditional</li> </ol>	which may entres,
6. CGs should develop city-level interactive websites on which planning information will be posted and feedback received.	Urban Areas and Cities Act 2011.
7. CGs should create legislation to provide the institutional framework f facilitating civic education and establish a civic education unit.	or CGA Section 100-101.
8. County Governors are responsible for promoting and facilitating citiz participation in the development of policies and plans, delivering ser for submitting an annual report to the county assembly on citizen pain the affairs of the county government.	vices, and
9. CGs should establish County Budget and Economic Forums (CBEF) a "means for consultation" by the county government on plans and bu	
10. CGs should develop complaints (grievance redressal mechanisms) we followed up and have the confidence of citizens. These should be bacommon standards, with clear regulations and operational mechanisms.	esed on PFM Section 48 and 139.
11. County Government Authorities, agencies and agents have a duty to petitions and challenges from citizens. Public authorities should p accountability; ensure that expenditure of public funds is subject to oversight; and promote informed debate on issues of public interest	romote FOI Clause 27. effective
12. The County Governor should publicly deliver an annual State of the Gaddress.	County CGA Section 30K.
Participatory Budgeting	
13. County Governors are responsible for ensuring citizen participation planning and delivery of services.	in the CoK Art. 232 and CGA Section 115.
14. Citizens should be engaged in preparation of integrated development Citizens should be represented in the boards of cities and municipals including representatives of professional associations, private sector registered associations of informal sector, neighbourhood associations of urban areas and cities.	ities (Section 22 and Second r, Schedule Clauses 1 and 2).
15. County planning should serve as a basis for engagement between c governments, citizens, other stakeholders and interest groups.	county CGA Section 102.
16. The County Planning Unit (CPU) will be responsible for ensuring mea citizen engagement in planning processes through a 5 year County I Development Plan (CIDP); a 10 year County Sectoral Plan; a 10 year Spatial Plan; and a Cities and Urban Areas Plan.	ntegrated

PFMA Section 125.
PFMA Section 128.
PFMA Section 117.
Urban Areas and Cities Act Section 21, draft Urban Policy pg. 18, PFMA Section 175.
PFMA Section 131.
or CGA Section 47 and 59, PFM Section 48 and 139.
PFMA Section 48, 123(3), 139 and 166(4c).
The Urban Areas and Cities Act, Section 48.

#### Proposed checklist for assessing level of Transparency, Accountability and Participation

The County Public Participation Checklist (Box 2) has been developed as a tool for use by County Governments (Executive and Assembly), civil society organizations, citizens, partners and others to track progress in relation to legislative requirements for participation, transparency and accountability.

A common assessment framework such as this tool can help identify challenges and barriers to promoting effective participation. It can provide government and citizens with a 'baseline needs assessment' to identify good practices and areas where additional attention is needed. This tool can assist county governments to implement an effective public participation and accountability framework in their planning and budget cycle. Furthermore, it can serve to bring together government and civic actors to work jointly to embed participation in county planning and budget processes that brings together supply- and demand-side interventions.

While the proposed checklist has 34 questions/indicators, all indicators are not of equal importance. Based on the Working Paper 5, One Year On: Review of County Initiatives in Public Participation in the Role out of Devolution, the checklist highlights 10 indicators that are proposed, for discussion, as priority indicators.

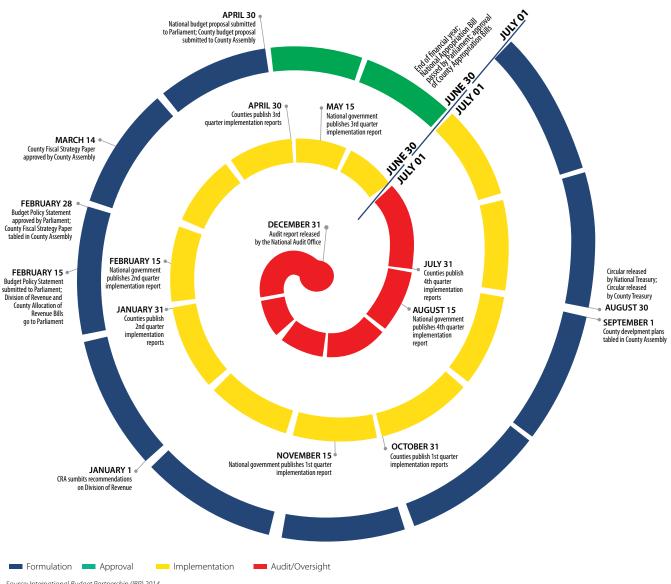
#### **BOX 2: COUNTY PUBLIC PARTICIPATION CHECKLIST**

Coun	ty Name:			
Asses	ssment undertaken by:			
		Yes	No	Requires Action
1.0	COMMUNICATIONS AND TRANSPARENCY AROUND CITIZEN ENGAGEMENT			
1.1	Have the County Government (CG) enacted legislation to provide the institutional framework for facilitating public participation and civic education?			
1.2	Are there mechanisms in the CG to facilitate public communications and information access e.g. media, TVs, ICT centers, websites, community radio, baraza, tradition media?			
1.3	Are there platforms to promote access to information for minorities, marginalized groups and communities?			
1.4	Has the CG established a civic education unit for purposes to ensure access to information by the public?			
1.5	Has the County Governor publicly delivered an annual State of the Country Address?			
1.6	Has the County Governor submitted an annual report to the county assembly on citizen participation?			
2.0	PARTICIPATORY PLANNING		,	
2.1	Has county assembly developed laws and regulations supporting effective citizen participation in development planning and performance management?			
2.2	Has the CG established 'County Planning Units (CPUs) or County Planning Committees?			
2.3	Has the CPU or county planning committee ensured effective citizen involvement in planning processes in (1) CIDP (2), Sectoral plan (3), spatial plan (4), urban areas plan?			
2.4	Are citizens represented in key forums, including the boards of cities and municipalities?			
3.0	PARTICIPATORY BUDGETING			
3.1	Has CG published and publicized various budget documents within specified time to enable citizens meaningful input and engagement? (all with executive summary and narrative)?			
3.2	Has the County Executive established the County Budget and Economic Forum (CBEF)?			
3.3	Does the County Executive facilitate public consultations at different stages of the budget cycle?			
3.4	Does the CA have a Budget and Appropriations Committee (CBAC)?			
3.5	Does CBAC release budget information?			
3.6	Does the CBAC convene public budget forums for analysis of the CE proposed budget			
4.0	PARTICIPATORY MONITORING			
4.1	Has the CG established the County Public Service Boards (CPSBs)?			
4.2	Has the CG developed the Performance Management Plan?			
4.3	Does the CPSB (1) report to the county assembly? (2) inform and educate county public officers? (3) advise the CG on the implementation and monitoring of the county performance management system which should involve citizens facilitated by the CEC?			
5.0	GOVERNMENT RESPONSIVENESS AND ACCOUNTABILITY TO CITIZENS			
5.1	Does CG establish feedback mechanisms for citizens to know their input was considered?			
5.2	Do the public forums set aside specific time for public questions and feedback?			
5.3	Does the CG have a service charter on access to information?			
5.4	Does it avail the information within the specified time?			
5.5	Has CG developed interactive websites on which planning information is posted and feedback received?			
5.6	Has the CG conducted an Annual Public Expenditure Tracking Survey (PETS) with engagement of the Controller of Budget?			
6.0	FINANCIAL TRANSPARENCY & REPORTING			
6.1	Has CG published and publicized various budget documents within specified time (Audited accounts, annual reports, quarterly reports)			
6.2	Did municipal boards make public their annual audited financial statements by publishing in two major public dailies, on boards website and on board's office where easily viewable by the public?			
6.3	Does the CG have a Public Accounts Committee and Public Investment Committee that regularly audit CG financial reports?			

#### BOX 3: COUNTY BUDGET DOCUMENTS AND TIMELINE FOR TABLING IN THE COUNTY ASSEMBLY AND FOR RELEASE TO THE PUBLIC

	Budget	X 3: COUNTY BUDGET DOCUMENTS AN Contents of the Document	Date Due in the	Deadline for	Rationale for public release	Publication Information /
	Document	(What MCAs should look out for before (approving) the document)	County Assembly	Action by the CA		Input by the Public
1.	Budget Circular	Timelines for various activities; Procedures for review and projection of revenues and expenditures; Key policy areas to be taken into consideration; Procedures for public consultation; and Format for budget documentation.	30 <sup>th</sup> August (County)	- Action: For the information of members especially in scheduling their annual calendar.	The document is critical for the public to know when, where and how to participate in the budget process.	To be publicized within 7 days of publication.
2.	County Integrated	Strategic priorities for the medium term;     Programmes to be delivered;	1st September	No date provided but should be	The plans will go through three main stages:	14 days before adoption in the County Executive and then tabling in the CA.
	Development Plans (CIDP)/ Annual Development Plans	Significant capital expenditure; and     Grants, transfers and subsidies to be made     on behalf of County Governments.		within 14 days  Action: To debate and approve with or without amendments.	a. Formulation by the County Planning Unit b. Approval by the County executive c. Tabling and approval in the CA.  In each of this stages there is need to share with the public the documents whether as draft especially in stage (a) and (b).	To be publicized within 7 days of tabling in the CA and within 7 days after approve in the CA.
3.	Budget Review and Outlook Paper (BROP)	Actual fiscal performance in the previous year; Updated economic and financial forecasts from the recent Budget Policy Statement; Identification of broad policy priorities to be implemented by the CG in the medium term; Provide indicative available resources (i.e. ceilings) to fund CG priorities—in consultation with CRA and the National Treasury; and Reasons for any deviations from the financial objectives in the County Fiscal Strategy Paper (C-FSP).	30 <sup>th</sup> September	- Action: For Information of Members.	The County Treasury will prepare the BROP and it is important that before they table it in the County Executive the Public be given an opportunity to comment.	14 days before tabling in the county executive committee (with 7 days allowe for input).  To be publicized 7 days after tabling in the CA.
4.	County Fiscal Strategy Paper (CFSP)	Broad strategic priorities and policy goals — medium term and long term.     Outlook on expenditures, revenues and borrowing for the medium term.	28 <sup>th</sup> February	15 <sup>th</sup> March  Action: To debate and approve.	There is need that before the County Executive approves the CFSP, the public be given an opportunity to input.  Thereafter when it is tabled in the county assembly it should be made public.  Finally what the CA approves (with or without amendments) should be made public too for greater certainty.	7 days before tabling in the County executive.  To be publicized 7 days after tabling in the CA.
5.	Debt Management Strategy	The total stock of debt as at the date of the statement; The sources of loans made to the county government; The principal risks associated with those loans; The assumptions underlying the debt management strategy; and An analysis of the sustainability of the amount of debt, both actual and potential.	28 <sup>th</sup> February	Action: For information of members in decision making on the liabilities of the county.	-	-
6.	Budget Estimates (Revenue and Expenditure) Appropriation Bill	Details of all planned development and recurrent expenditures of the government. Also the estimated revenues by source and explanation of strategies for deficit financing.	30 <sup>th</sup> April	30th June  Action: To debate and approve with or without amendments.  To pass the appropriations bill to authorise withdrawals from the County Revenue Fund.	The public need to see what is tabled in the CA.  This should also be complemented by clear dates (Not later than 30th May) as to when the public can give feedback to the departmental committees (on sector specific matters) or to the Budget and Appropriation Committee.	7 days after tabling in the national or CA with 14 days of public input.  To be publicized 7 days after tabling in National and CA.
7.	Budget and Appropriation Act	Same as above.	30 <sup>th</sup> June	-	Once all has been discussed and the final budget approved it should be made public via the appropriations act and detailed programme/itemized budget documents on the day it is approved but not later than 7 days.	To be publicized 7 days after approval in the National and CA.
8.	Supplementary Budget documents	Revised budget estimates.	On needs basis		All supplementary budgets should be availed before they are tabled in the respective houses for people to input where need be and thereafter when they are being considered in the house.	14 days before tabling in the National or CA. 7 Days after tabling in the National or CA.
9.	Finance Act / Finance Bill	Taxation and other revenue raising measures of the county government.	30th September (within 90 days)	- Action: To debate and approve with or without amendments.	There is need that the public have a opportunity to input into the Finance Bill before it is tabled in the National or CA; Further the public should also be allowed space by the Finance Committee to contribute before the house (s) approve it.	14 days before tabling in the National or CA.  To be publicized 7 days after approval in the National or CA.
10.	Expenditure Review Reports	An indepth analysis on specific sectors to establish the progress (or lack of it) by the county.	No Specific Date	- Action: For information of members.	-	-
11.	Audit Reports	An independent opinion on the use of public funds in the county (both the county executive and county assembly).	31st December	3 months  Action: To debate and decide on what actions should be taken.	-	-

#### THE BUDGET PROCESS IN KENYA: NATIONAL AND COUNTY LEVEL



Source: International Budget Partnership (IBP) 2014

#### BOX 4: MINIMUM REQUIREMENTS FOR TRANSPARENCY, ACCOUNTABILITY AND PARTICIPATION IN THE BUDGET CYCLE

Stage in the Budget Cycle	Requirement	Legal/Policy Provision	
Formulation	<ul> <li>Resource Envelope Details made public</li> <li>Availing of Budget Information (Proposals and their rationale)</li> <li>Public Participation calls at least 7 days to the meeting</li> <li>Adequate (at least 7 Days) to the public to avail feedback.</li> </ul>	Public Finance Management Act Section 125 & 128.	
Framework for public engagement with the County Assembly in the approval process     Public participation and feedback mechanism     Provision of documents (in an easy to understand format) before consultative meetings are held.		Public Finance Management Act Section 125, 129, and 130.	
Implementation	<ul> <li>Service Implementation and Monitoring Committees</li> <li>Feedback mechanism in quality of public goods and services</li> <li>Mechanism for petitioning.</li> </ul>	Public Finance Management Act Section 125.	
Audit	<ul> <li>Public input in the financial and value for money audits</li> <li>Recourse measures for the public where appropriate action is not taken.</li> </ul>	Public Finance Management Act Section 125.	
Crosscutting	Engagement of the public through the County Budget Economic Forum (CBEF).	Section 137.	

#### PUBLIC PARTICIPATION AT EVERY LEVEL—FROM RURAL WOMEN TO URBAN YOUTH



Women in Wajir County participate in focus group discussions



Members of the Yes Youth Can! Forum presenting their perspectives on devolved government

#### **Abbreviations and Acronyms**

CBAC	County Budget and Appropriation Committee	CPAC	County Public Accounts Committee
CBEF	County Budget and Economic Forum	CPSB	County Public Service Boards
CEC	County Executive Committee	CPU	County Planning Unit
CG	County Government/s	FOI	Freedom of Information
CGA	County Government Act	PETS	Public Expenditure Tracking Survey
CIDP	County Integrated Development Plan	PFMA	Public Financial Management Act
CoK	Constitution of Kenya		

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