



**Evaluation of participatory governance for
enhancing quality of local governments:
A case of six selected local governments in
Central Uganda**

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DEDICATION

I dedicate the final output of this research project to the almighty God,

And,

To Uganda Management Institute

Who accorded me the opportunity to study this prestigious doctoral degree.

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God and My Country.

DECLARATION

I, **Michael Peters Galukande Kiganda** declare herewith that the thesis entitled: *EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING QUALITY OF LOCAL GOVERNMENTS: A CASE OF SIX SELECTED LOCAL GOVERNMENTS IN CENTRAL UGANDA* which I herewith submit to the North-West University as completion of the requirements set for the Doctor of Philosophy (Public Management and Governance) Degree, is my own work and has not already been submitted to any other university.

I understand and accept that the copies that are submitted for examination are the property of the University.

Signature of candidate:

A handwritten signature in black ink, appearing to read "Michael Peters Galukande Kiganda", is written over a horizontal line.

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Signed at Kampala this 3rd day of March 2019

ABSTRACT

Public participation in government programmes has gained prominence, the world over as it enhances democratisation good governance and quality of governments. Involving the public in government activities is associated with improved efficiency, accountability, inclusiveness and quality public service provisioning. Different countries design varying types and forms of participatory governance structures with varying impacts on public management. Uganda is among the countries that for long embraced elaborate and universal participatory governance frameworks at both central and local government's programmes.

The primary objective of the study was to evaluate the participatory governance framework, so far as 1997 and its contribution to quality of local governments in Uganda. The empirical objectives were to evaluate participatory planning, budgeting and capacity of local councillors in managing local government policies.

The study was based on a cross-sectional designed carried out in six selected districts in Central Uganda using both qualitative and quantitative approaches. Ninety questionnaires were administered to political leaders, technical officers, members of CSOs, and public to evaluate their opinions on the current forms of participatory governance. In addition, the study relied on oral interviews, literature review and field observations.

Findings of the study revealed that indeed participatory governance framework had to some reasonable extent improved quality of local governments. Findings also revealed that voice and accountability, control of corruption and enhancing government effectiveness are vital factors for quality local governments. The study findings further revealed that participatory planning, budgeting and capacity of local councillors are important contributing factors to quality in local governments. A hybrid Local Government Participatory Governance Model was developed.

The study recommended that central government develop local government-feasibility-assessment-guidelines to inform formation of new districts. There should also be regular policy trainings to local councillors to empower them and to enhance capacity of accountability institutions and departments in local governments.

Keywords: Local Governments, Participatory Governance, Quality of Local Governments, Uganda

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LIST OF ABBREVIATIONS AND ACRONYMS

| | |
|---------|--|
| AGFI | Adjusted Goodness of Fit Index |
| AIDS | Acquired Immune deficiency Syndrome |
| AMOS | Analysis of Moments of Structures |
| ANOVA | Analysis of Variance |
| ATLAS | Software mainly (but not always) for qualitative analysis of large bodies of textual, graphical, audio and video data. |
| AVE | Average Variance Extracted |
| BaSEREC | Basic Sciences Ethics Research Committee |
| CA | Constituent Assembly |
| CAF | Common Assessment Framework |
| CAO | Chief Administrative Officer |
| CDO | Community Development Officer |
| CFA | Confirmatory Factor Analysis |
| CFI | Comparative Fit Index |
| CR | Construct Reliability |
| CSOs | Civil Society Organisations |
| DANIDA | Danish International Development Agency |
| DDEG | District Discretionary Equalisation Grant |
| DLB | District Land Board |
| DNGOF | District Non-Government Organisations Forum |
| DSC | District Service Commission |
| EFA | Exploratory Factor Analysis |
| EFQM | European Foundation for Quality Management Excellence Model |
| FA | Factor Analysis |
| GOF | Goodness of Fit |
| GUREC | Gulu University Research Ethics Committee |
| HIV | Human Immune virus |
| HLGs | Higher Local Government |

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| IPFs | Indicative Planning Figures |
| LC | Local Council |
| LG | Local Government |
| LGA | Local Government Act |
| LLGs | Lower Local Government |
| LPGM | Local Participatory Governance Model |
| MC | Management Committee |
| MDAs | Ministries, Departments and Agencies |
| MDF | Municipal Development Forum |
| MGLSD | Ministry of Gender, Labour and Social Development |
| ML | Maximum Likelihood |
| MoLG | Ministry of Local Government |
| NAADS | National Agricultural Advisory Services |
| NDP | National development Plan |
| NFI | Normed Fit Index |
| NGO | Non-Government-Organisation |
| NRA | National Resistance Army |
| NRC | National Resistance Council |
| NRM | National Resistance Movement |
| NWU | North West University |
| OPM | Office of the Prime Minister |
| PDF | Portable Document Format |
| PGT | PERSONAL Graduated Tax |
| PWDs | Persons With Disabilities |
| RMSEA | Root Mean Square Error Approximation |
| SEM | Structural Equation Modelling |
| SPSS | Statistical Package for Social Scientists |
| TPC | Technical Planning Committee |
| TQM | Total Quality Management |
| UMI | Uganda Management Institute |

| | |
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| UN | United Nations |
| UNCST | Uganda National Council of Science and Technology |
| UNDP | United Nations Development Programme |

CHAPTER ONE

OVERVIEW AND BACKGROUND TO THE STUDY

1.1 Introduction

Participatory governance has become a critical area of current development debate in which new concepts of citizenship and new approaches to democracy are emerging globally (Speer, 2012:6; Council, 2007: 13; Fischer, 2006: 337-340; Ackerman, 2004:29-30). The logic for advocating participatory governance is premised on the conviction that governing should be about finding out what the citizens want and finding ways of effectively delivering those services (Peters, 2001:7; Schneider, 1999: 16). In recent days, participatory governance has become part and parcel of political organisation both nationally and internationally and has been embraced by the World Bank, UN Habitat , the European Union (EU), and the US Agency for International Development (Fischer, 2012: 363-365).

The principal of citizen participation is universally acceptable in the spheres of public administration, although the forms and extent of this participation are often questioned. Traditionally, public participation was more formal and was based on standardized rules, legislations, regulations and protocols (Bridgam & Davis, 2000: 23-26). Nowadays, there has been changing perceptions about participatory governance that it exists in different forms of engagement in different democracies (Ackerman, 2004: 12-13).

Therefore, the paradigm shift from governments to governance involves mechanisms of public engagement in structures and arrangements that facilitate effective relations between public, private, and civil society in decision-making. This phenomenon of interconnectedness of the above sectors forms the basis of contemporary democratic societies and sustainable development (Aulich, 2009: 157-158).

This thesis set out to develop a model of effective participatory governance in Uganda that could be benchmarked to enhance the quality of local governments in achieving Agenda 2040.

1.2 Background to the Study

This section explores the background to the study explored in historical, theoretical, conceptual and contextual parameters.

1.2.1 The Historical Background

Participatory governance emerged in the 1990s because of a proliferation of existing participatory arrangements especially in Latin America. It has expanded globally in both developed and developing countries and it taken as a new approach to social and economic development (Hordijk, 2005: 7). It is currently manifested in form of citizen-based activities taking place alongside civil society organisations (Limited, 2013: 23).

The 2005 World Summit stipulated that good governance at both national and international arenas was an essential requirement for sustained economic growth and development, because it significantly contributed to the eradication of poverty, hunger and diseases. This was further reiterated by the Economic and Social Council of the United Nations that called for the reinforcement of the quest to strengthen public participation in government activities. This was aimed to safeguard private sector engagements to realise globally agreed goals, including the Millennium Development Goals. The 5th session of the Committee of Experts on Public Administration encouraged member countries to nurture public participation in public policy development, public accountability and service delivery (Limited, 2013: 26). From that time, several member states embarked on a series of policy reforms that promoted citizen participation in public affairs.

Participatory governance was advocated in response to democratic deficits and draws its aspirations from progressive projects of political parties in India, Spain, the United Kingdom, Brazil, and Mexico. Several international civil society organisations, notably Action Aid, Oxfam, and the International Budget Project practiced, advocated and disseminated information that promoted participatory practices (Fischer, 2012: 363-365)

While in the past, governments relied on decisions that were primarily based on technical knowledge nowadays, new governance structures, demands and conditions are compelling governments through their several agencies to expand public sector consultations through participatory approaches. The new government paradigm is about process, politics and partnerships practices at local levels and developing partnerships with civil society organisations. Participatory governance promotes transparency, accountability and responsiveness by governments of the social and economic needs of the people in order to improve quality in service delivery (Lgsp, 2008: 52).

Arnstein (1969: 216-224) distinguished different forms of participation and warned against use of participation as an instrument of legitimising previously established ends. In all the cases, participation aims at consensus building as a basis of quality of public actions (Turnhout, Van Bommel, & Aarts, 2010: 2-15).

1.2.2 Theoretical Background

While governance refers to systems of decision-making, it does not include the politics that goes on in within these spaces. Therefore, participatory governance originates in the theory of participative democracy that advocates public engagement through series of deliberative processes. Participatory governance focuses on deliberative empowerment of the common citizens to engage in deliberative democracy and deliberative experimentation in public policy as well as political actionsism by public civil society organisations, foundations and the general public (Fischer, 2012: 2-6). Participatory governance, therefore includes not only voting and watching over government activities, but also the direct deliberative engagements with the government institutions of the public pressing issues of the time (Tapscott, 2007:16).

Participatory governance seeks to examine the traditional conceptions of public governance that hinder the realisation of genuine participatory democracy and advocates participation based on a series of elaborate and diverse opinions, principles, approaches and institutions. Therefore, it aims at, among other things, equitable distribution of political power, fair distribution of national resources, decentralisation of decision-making, transparency in the exchange of knowledge and public information, creation of collaborative partnerships with non-state actors, inter organisational and institutional dialogues, as well as increased public accountability. These can only work in a system that provides for citizen engagement in a collaborative and discursive manner with state and non-state actors (Lgsp, 2008: 43).

Participatory governance goes beyond the traditional practices of facilitating the access to public information regarding government activities and programmes; it includes emphasising of citizens' rights to be consulted on public issues affecting them and ensuring that the voices of the citizens are heard through fair and equitable representative political systems (Aulich, 2009: 5-17).

1.2.3 Conceptual Background

Kohler-Koch (2008: 14-16) clearly explains the concept of participatory governance as a logical end to the growth of governance. The principles of *governance* entail processes, systems

and institutions that facilitate public decision-making. *Public governance* encompasses the processes and institutions that facilitate public decision-making. Public governance has three categories: political, civic, and development governance. Whereas *civic and political governance* are concerned with issues related to human rights and the rule of law, *development governance* is concerned with planning, accountability, budgeting, and monitoring of socio-economic policies and development programmes. Thus, *Participatory governance* is just one of the many forms of development governance whose aim is to promote citizen engagement.

Although public participation has clear benefits manifested in both inherent and instrumental justifications, unintentional consequences of participation have sometimes been identified (Kohler-Koch, 2008: 14-16). For example, participation may be neither efficient nor equitable; just like markets and governments may fail, communities may also fail. Limitations to participation are possible, that may require safeguards to enable the delivery of expected results. Constraints to community participation are broadly of two types: first is the failure of communal action and secondly, community deficiencies. First, by involving many individuals in pursuit of common goals, the challenges of free riders and other adverse consequences that could hinder collective action emerge. As a result, community participation, on an ugly seen, may end up hindering rather than promoting efficient solutions to service delivery. Secondly, it is also possible that community imperfections may arise that may lead to elite capture within the participation structures, which in turn, lead to in inequality in service delivery.

Public participation in governance involves the devolution of some powers and resources from central governments to lower democratic structures focusing on the lowest consumers in what Stoker (2004) called new localism. This is a new governance arrangement that focuses on direct public involvement in decision-making (Aulich, 2009: 119-120).

1.2.4 Contextual Background

History of participatory governance in Uganda can be traced back to the National Resistance Movement (NRM) civil war of the 1980s. Citizens were mobilised into *Resistance Committees* to maintain local security in areas that had been captured by the National Resistance Army (NRA) soldiers (Mbabazi, 2016: 25). When the NRA captured state power, *Resistance Committees* were re named *Resistance Councils* and were institutionalised into the local governance structures. When the *Constitution of the Republic of Uganda* was enacted in 1995 and later on operationalized into the *Local Government Act* of 1997 and the former *Resistance Councils* were renamed '*Local Councils*'. These councils allocated six devolved government

functions to be exercised in local areas. These were, the Planning, the Political/executive function, the Administrative function, the Budgeting and the Judicial Legislative (Government of Uganda, 1995). Local governments are composed of directly elected local councils with the district as a unit and other lower local governments and administrative units. Elected local councils were granted supreme political, executive and legislative powers over their areas of jurisdiction. In rural districts, there are district councils and several other sub-county councils. In urban areas, there are cities (which are equivalent to districts) that exercise their functions through city councils, city divisions (equivalent to a municipality) municipal councils, municipal divisions, and town councils, which are equivalent to rural sub counties (Government of Uganda, 1997). Local councils are institutions of participatory governance that are highly representational. They are composed of elected chairpersons, councillors representing electoral areas, two youth councillors (one of them female) two councillors with disability and one of them should be female, two elderly persons (one of them a female) one third of the whole council should be women. Chairpersons of women, youths, and disability councils, as well as elected leaders of higher electoral constituencies in a particular local government are *ex officio* members of that local government council (Government of Uganda, 1997).

Local councils are mandated to provide basic public services to their local communities and to bring service delivery closer to the people (Ministry of Finance Planning and Economic Development, 2013). The *Second Schedule* of the LGA gives the functions of central government and local governments and specific functions for districts and lower local governments in both rural and urban areas. Generally, most of the operational government functions, besides those of maintaining macro stability, are vested in local governments. Nsibambi (1988:9) observes that the objective of involving many stakeholders at all levels of local governments and administrative units was to improve quality of service delivery at the grassroots level.

Consequently, according to Devas (2003: 6) Uganda is among the most decentralised countries in the world with over 60,000 local governments that are based on the aforementioned inclusive participatory governance structure. The local government system emphasises citizen participation at all levels. For example, besides directly electing local representatives, councillors, ordinary citizens indirectly participate in local governments when they are appointed members of local statutory bodies such as *District Service Commissions* (DSCs) *District Land Boards* (DLBs) *District Public Accounts Committees* (DPACs) members of

Management Committees (MCs) for service delivery units (Nsibambi, 1988:16). Ordinary citizens also participate in local budgeting, planning, community work and local council courts. The civil society, especially *Community Based Organisations* (CBOs) also participate in local governance. For example, they work hand in hand with local governments to provide public goods such as education, health, water, environment and social justice. The media also participates by monitoring and evaluating implementation of local government programmes (Bora, 2006:16).

In spite of the interest and rhetoric that participatory governance in Uganda has generated, as well as the increasing creation of new local governments, the quality of the local governments in Uganda has remained pathetic. Many scholars such as Muyomba- Tamale (2010: 20-23), Devas (2003:5) Francis (2003:326-327) Nsibambi (1988:9) and policy analysts question the viability of creating more local governments. In both form and structure, local governments are said to lack the basic infrastructure to function, while the delivery of public goods at local levels has remained evidently poor (Mbabazi, 2016:19). Similar observations on the deteriorating quality of the devolved functions in local governments and service delivery generally have been noted by donors, media and the public (Asimo, 2014; Gina, 2011; Muyomba- Tamale, 2010:20).

1.3 Problem Statement

The objective of participatory governance in Uganda was to enable ordinary people access their local needs and engage in local policy formulation, budgeting and monitoring (Macharia, 2014: 32). Indeed, it is no longer in dispute that past governments' exclusion of the weak and powerless from governance was a cause of poverty in Uganda as this denied them their rights and created unequal power relationships (Pan-Suk-Kim, 2016:17). Therefore, participatory governance was not only necessary to improve public resource management and controlling corruption, but also for addressing poverty through making public servants and political leaders accountable to their own local communities (Michels, 2012:7). The foundation of the quality of local governments as Cornwall (2012:7-8) reports was the participation of citizens as stakeholders, advocates, collaborators and evaluators in all processes of public decision-making and policy implementation. By incorporating citizens' voices into complex decision-making processes, participatory governance was expected to enable new non state actors into incremental and devolved decision-making processes whereby citizens would facilitated to

deliberate and make choices on the allocation of public resources and on the use of state authority especially in local areas (Wampler & MacNult, 2012: 6-9).

Participatory governance and quality of local governments are complementary (QGI, 2010:5-9). Whereas the local government system in Uganda had provided adequate opportunities for citizen participation, the effects of such participation to the quality of local governments are still unclear. Cases of corruption, abuse and misuse of public resources in local governments were rampant (Golooba-Mutebi, 2005:8). The quality of local government designated functions, such as participatory planning and budgeting as well as involvement of locally elected councillors in local policy development, are still evidently very poor. Hence, for meaningful participatory governance to happen, policy makers and practitioners are expected to have a clear understanding about the intention for engaging citizens and design participation in a manner that envisions a clear path leading from participation to the satisfaction of that intention (Fung, 2015; Tumushabe, 2010). This implies that participation should be designed so that its outcomes are meaningful to the citizens who are participating in it (Fischer, 2006:17).

Government of Uganda provided for a comprehensive participatory local governance structure but with little impact on the quality of local governments. Participatory governance was statutorily embedded into the local council system by both the Constitution of the Republic of Uganda and the Local Government Act (LGA) (Nsibambi, 1988). There was a growing need to evaluate the required levels and nature of public participation, which would empower citizens with the required capacity to effectively engage and influence decision-making in local governments, hence improve the quality of local governments. Quality of local governments in this study means the capacity of local government to contribute to the effective formulation and implementation of sound local policies that result in quality public services through participatory planning, budgeting, and contracting local bureaucrats. Effective participation required citizens to understand where and how to participate. The necessary capacity for both local governments as institutions and citizens needed to be clearly defined and aligned with the respective levels of participation (Bora, 2006).

Several studies have been carried out on decentralisation and local governments in Uganda (Galukande-Kiganda, 2016: 304-312; Kasozi-Mulindwa et al., 2013: 99-110; Dickovick, 2011: 16; Golooba-Mutebi, 2005: 9; Ahmad et al., 2005: 9; Mugabi, 2004: 1-7; Crook, 2003: 6-9; Devas, 2003: 4; Francis, 2003:7 ; Ahmad, Devarajan, Khemani, & Shah, 2005: 16-20; Bingham, Leary, Blomgren Bingham, Nabatchi, & O'Leary, 2013: 3-9; Dickovick, 2011:8;

Golooba-Mutebi, 2005: 4-5; G. K. Michael, 2016: 304-012; Mugabi, 2004: 32)). Most of these studies have concentrated on the effectiveness of the local government system and participatory approach to local governance in Uganda. In addition, Nayonjo (2013: 98-99) revealed significant improvements in the establishment of decentralised universal primary education, but did not address issues of quality of local institutions as well as the contribution of different actors in enhancing decentralised governance. Other studies on participatory governance (Kugonza and Mukobi, 2015: 127-131; Kukamba, 2010: 172-174) considered participation and rural development in Uganda with regard to access to information, the ability to use the information, and awareness of citizens' rights.

Despite all the aforementioned studies, none has been carried out to assess how participatory governance has enhanced the quality of local governments in Uganda. This study aimed to bridge this gap and design an appropriate model for the assessment of participatory governance with regard to quality enhancement of local governments in Uganda.

The central research problem upon which this study was premised is: despite the universal, all-inclusive and systemic public participatory governance framework exercised and statutes provided for in Uganda, the quality of local governments remained evidently pathetic and poor. Continued reliance on the current participatory governance framework is likely to precipitate an even more ugly decline in the quality and quantity of local government services delivery. The problem of this study is further based on the capacity of elected councillors (the key participants in the local government system) to effectively manage the decentralised local public policies.

It was important to carry out this study in light of the ever-increasing public resources that continue to be channelled through local government structures without thorough evaluation of their impact on local government service delivery.

1.4 Objectives of the Study

The study was guided by the following objectives:

1.4.1 The Primary Objective

The primary objective of the study was to assess the nature and form of participatory governance for enhancing the quality of local governments in Uganda.

1.4.2 Theoretical Objectives

The central theoretical objective of the study was:

To evaluate participatory governance, so far since 1997, for the enhancement of quality of local governments in Uganda.

The specific central theoretical objectives were:

1.4.2.1 To investigate how the existing forms of participatory governance affect the quality of local governments in Uganda.

1.4.2.2 To establish indicators of quality of local governments in Uganda.

1.4.3 Empirical Objectives

In relation to the primary objective of the study, the following empirical objectives were formulated:

1.4.3.1 To assess how participatory planning enhanced quality of development plans in local governments in Uganda.

1.4.3.2 To assess the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda.

1.4.3.3 To assess the capacity of local councillors to effectively manage public policies in local governments in Uganda.

1.4.3.4 To develop an effective participation model for local governments in Uganda.

1.5. Hypotheses

The primary hypothesis of the study was:

H₀: Participatory governance enhanced quality of local governments in Uganda.

H₁: Participatory governance **HAS NOT** enhanced quality of local governments in Uganda.

The other Hypotheses were:

1.5.1 H₀: Participatory planning has enhanced quality of development plans.

H₁: Participatory planning **HAS NOT** enhanced quality of development plans.

1.5.2 H₀: Participatory budgeting has delivered effective local government priorities.

H₁: Participatory budgeting **HAS NOT** delivered effective local government priorities.

1.5.3 H₀: Local councillors have effectively managed local government policies.

H₁: Local councillors **HAVE NOT** effectively manage local government policies.

1.6 Research questions

The study was guided by the primary research question:

How has participatory governance enhanced the quality of local governments in Uganda?

The specific research questions were:

1.6.1 Who are effective participants in local governments in Uganda?

1.6.2 What are the current quality-indicators of local governments in Uganda?

1.6.3 How has the nature of participatory planning enhanced quality of development plans in local governments in Uganda?

1.6.4 Why has participatory budgeting not delivered effective local priorities in local governments in Uganda?

1.6.6 Do local councillors effectively manage public policies in local governments in Uganda?

1.6.7 What is the effective participation model for local governments in Uganda?

1.7 Scope of the study

The scope of this study was categorised into three: Geographical Scope, Time Scope, and Content Scope.

1.7.1 Geographical scope

This study was carried out in six selected districts in Central Uganda. Overall, there are twenty-five districts in the central region of Uganda as illustrated in **Appendix 7**. The selected districts included Mukono, Butambala, Masaka, Mpigi, Kayunga and Wakiso. The districts were selected because they were some of the districts in which decentralisation in Uganda was piloted.

1.7.2 Time scope

The study focused on decentralisation activities carried out in 2017, which marked 25 years since the introduction of decentralisation in Uganda. It is on record that the decentralisation

policy was rolled out in 1992. After twenty-five years of its implementation, the researcher and other stakeholders, practitioners, and scholars realised that the system had become mature, hence the need for its evaluation.

1.7.3 Content scope

This research project was limited to specific elements of the variables studied. For the independent variable, participatory governance, the study concentrated only three forms of local participation, namely participation through local associations and Community Based Organisations (CBOs) participation through social movements and central government programmes and participation through elected local council and associated statutory bodies. For the dependent variable, the study examined the quality of local governments in areas of participatory planning and budgeting, capacity of elected councillors and bureaucrats, and quality of local public policy management. All these were assessed in as far as they resulted in an improvement in the quality, quantity, accessibility, and coverage of decentralised services.

1.8. The significance of the study

Findings from this study shall be useful to the studies of good governance to which participatory governance has become a very important element. Globally, many countries are continuously embracing participatory governance by creating of sub-national governments and decentralising government functions to lower levels (Michels & de Graaf, 2010: 286-289). This global trend towards decentralised participatory governance justifies the need for more effective forms of public participation. Consequently, policy makers will apply recommendations from this study to enhance public participation for better governance. The most workable forms of participatory governance, which are modelled from this study will also guide policy makers. For the case of Uganda, the local governance program workers envisage the study to answer critical policy concerning creation of more local governments as well as participation

The study was further anticipated to help to uncover critical forms and prospects of measuring quality of local governments and identifying the critical actors in local governance. Thus, a new model of participatory governance in local governments shall be useful in enhancing and streamlining stakeholder activities in local governments in Uganda.

1. 9 Study limitations

The study was likely to be marred by several limitations that were outside the researcher's control and means, which could have affected the general findings of the study. They included:

The fact that the sample size of six (6) districts out of 122 districts in Uganda as of July 2017 was relied upon may not have been statistically significant for coming up with national conclusions. The six districts only constituted 5% of the total districts in Uganda. Besides, they were all from the central region although they were among the first districts where the decentralisation policy was pioneered in Uganda. Besides, this study was carried out in only the central region of Uganda, thereby making it even narrower for national deductions. Districts in the central region may have provide characteristics, which may have contextually differed, from other districts in the country.

Secondly, there was absence of reliable data on what measures and indicators of quality of local governments. This was because there were no national guidelines and frameworks upon which quality of local governments in Uganda could be measured. In this case, the researcher relied on the *UNDP Guidelines on Indicators of Governance* as well as perceptions of the respondents that may have been biased and/or uninformed.

Furthermore, as far as it could be established, there has been no study that had ever been carried out in Uganda to evaluate the quality of local governments, generally as institutions. Although some studies had been carried out to evaluate the performance of local councils, elected councillors and technical staff (Golooba-Mutebi, 2005: 8; Ahmad et al., 2005: 16; Mugabi, 2004: 7; Crook, 2003:3; Devas, 2003:6) this study may have been disadvantaged by not being benchmarked against prior studies in Uganda.

In another way, the researcher relied on primary data collected from the field, which could not be independently verified. There was likely to be some degrees of uncontrolled bias in form of selective memory by the respondents, telescoping of responses, relying on personal attributes due to political party and other affiliations and exaggerations. All these may have affected the truthfulness of the findings, but a smaller degree.

Finally yet importantly, the study faced limitations of longitudinal effects of limited study time for carrying out this research. Since the study was carried out for a limited period of time and (cross-sectional) it was not be able to measure the trends in the quality of decentralised local government's overtime.

1.10 Ethical considerations

The study was conducted in agreement with the conventional ethical values of beneficence, integrity, research merit, justice, and respect for human beings. To start with, the researcher ensured that throughout the course of investigation, there was no physical or psychological harm to respondents. Respondents were informed of the intention and possible impact of the research and if any respondents or research assistants proved vulnerable, they were eliminated. The researcher further ensured that respondents' anonymity and confidentiality were not under threat by participating in this study.

Secondly, participation in research was voluntary and by informed consent. Even under observations on public installations and activities, prior permission was sought from responsible offices. Voluntary participation was clearly spelt out in the introduction letters.

In order to obtain participants' informed consent, the researcher in the introductory letter informed the participants the purpose of the research, the expected time to be spent on the study, data analysis and dissemination procedures, the advantages, benefits and disadvantages of participating in this research. Participants were also informed that they were free to exit the study at any time. Informed consent was emphasised before, during and after interviews, group discussions, and questionnaire administration.

The study also maintained confidentiality at all stages throughout the investigation and did not aim at deceiving or giving wrong information to participants to get their involvement in the study. The researcher ensured anonymity of information if requested. Information collected from institutions was kept confidential by use of codes and the researcher did not expose that information to third parties in the process of data analysis. Lastly, anonymity was also enhanced by use of sequential quantitative data collection and analysis techniques and by proper sampling.

Non-alcoholic refreshments such as mineral water and soda were provided to some respondents during the interviews in the field. Research translators were recruited in local governments where the study was conducted and were remunerated using official government rates. They were assessed for fluency in both English and local languages. The researcher did not employ children, students or any other vulnerable persons.

When administering interviews, the discussions were stored on electronic recording devices and later transferred to a computer for purposes security of information. When necessary, some

sections of the research instruments were translated into local languages for the benefit of the respondents. During the research process, the researcher shared personal experiences and gave advice in areas he had expertise.

The study avoided all forms of plagiarism and before submission, *Turn-it-in*, an anti-plagiarism software was administered on the research proposal and report; a minimum percentage of 15% was targeted as acceptable. In addition, the researcher did not use privileges and information that he came across in the course of investigation against the respondents or the institutions associated with the study or for personal or other benefits.

As part of the ethical consideration, and in an effort to protect individual property rights, the study used the Harvard referencing system and *Mendely* referencing software throughout report writing. For ethical committees' requirements/ clearance, the researcher received ethical clearance approval from the NWU Basic and Social Sciences Research Ethics Committee (BaSSREC).

In addition, the study also obtained ethical clearance from Gulu University Research Ethics Committee- GUREC and the National Council of Science and Technology (NCST) in Uganda. For the researcher's personal ethical standards, an online ethical certificate course conducted by Macquarie University, Sydney Australia was undertaken and passed. Lastly, a gatekeeper introductory letter was secured from the Permanent Secretary, Ministry of Local Government to conduct research in the selected local governments. Copies of all the above clearances are attached in **Appendix 8**.

Finally, the research findings were made available to not only all the participants but also all those who needed information especially for academic and policy purposes. A copy of the final thesis will be deposited in the National Documentation Centre at Uganda Management Institute. Several other publications arising out of this study are freely available online and are not subjected intellectual property rights of the researcher.

1.11 Definition of key terms

The following are definitions of key terms that this study employed:

Community engagement: this is the process that ensures inclusive public participation in order to support mutual respect of values, policies and engagements for authentic partnership of community members connected by a geographic vicinity, special interest, or other interests

so as to address issues that affect their well-being as a community. Community engagement is in itself a dimension of public participation.

Councillors: A political title that applies to elected members of a district, city, county, municipality, sub-county, parish or ward and village or cell local council across the rural and urban local governments.

Evaluation: Evaluation is a study method involving the assessment, testing and measuring of the goals of programme by making value judgments over levels of performance or achievements. The objectives of evaluations are to make improvements aimed at achieving pre-determined goals.

Governance: Governance is a complex process of determining how particular societies or groups within them, organize themselves to take collective decisions. Governance of a particular society, therefore determines who has power, how decisions are made, how stakeholders make their voice heard and generally society accounts for its deeds. *Governance* thus encompasses the processes and institutions that contribute to public decision-making. In summary, governance involves the study of the various traditions and institutions by which government authority in a country is exercised.

Local councils: The assembly of elected local leaders that exercises political, legislative and quasi judicial authority within a given geographically demarcated area of jurisdiction. The local council may be an administrative unit or a local government and exercises legislative, executive, administrative, judicial, planning and budgeting powers that are exercised in accordance with the Constitution of the Republic of Uganda and the Local Government Act. They are composed of elected members directly representing designed electoral areas, special representatives of the youth, women and people with disabilities (PWD); whereof a third of the members are women.

Local government: A system of local governance in Uganda that is based on the district as a lead unit under which there are several other lower local governments and administrative units. In Uganda, local governments enjoy several devolved government functions of executive powers (political) legislative, planning, financial, judicial and personnel or administrative. The local government at the district is called the district council; at the sub county called the sub-

county council; at the municipality, it is known as the municipal council; at the municipal division, a division council; at the city level, a city council; and at the city division, it is called the division council. Administrative units at the county, parish/ward and village/cell levels also have councils but they are not local governments.

Participatory budgeting: a democratic process that gives communities through their associations and elected councillors the opportunity to prioritize issues in a community through the budget process, deciding what programs need more funding and identify local sources of revenue.

Participatory governance: This involves processes and institutions which relate to public sector decision-making mainly pertaining to budgeting, planning, monitoring and accountability of the socio-economic and political development policies and programmes. Being one of the institutional based strategies of development governance, participatory governance is premised on citizen engagement to achieve governance outcomes.

Participatory planning: A planning paradigm that involves the entire community in the planning process in both rural and urban areas to achieve community development.

Public participation: the process by which public organisations, usually governments consult interested parties and individuals, civil society organizations, as well as other non-government entities before coming up with public decisions. It involves a two-way communication between the public entity and the private stakeholders to come up with a collaborative problem solving mechanism that aims at achieving better and improved equitable and acceptable public decisions.

Quality: the degree to which an organisation or an institution fulfils a set of inherent characteristics and requirements that are the foundation of its establishment such that the products or services supplied thereafter comply with the stated or implied requirements.

Quality of local government: involves the assessment of the functionality of institutions that exercise local government functions. It is based on the quest for the achievement of key devolved local government functions, namely planning, budgeting, legislative, financial,

administrative, executive and judicial by local government institutions. In this study, three functions of quality of local governments were assessed: planning, budgeting and legislative.

1.12 Chapter arrangement

This thesis comprises the following chapters:

Chapter One: Overview and Background to the study. The chapter includes the overview and the background to the study, the statement of the problem, primary, theoretical and conceptual study objectives. It also entails research questions, research hypothesis, study scope, study significance, limitations, definition of key terms and conclusion.

Chapter Two: Literature Review. The chapter consists of an overview to participatory governance and quality of local governments, theoretical review, empirical review, and conceptualisation of the study, literature reviewed according to objectives, a summary of literature review, and a conclusion.

Chapter Three: Local Government System in Uganda. The chapter consists of an overview of the local government system in the Republic of Uganda, pre-colonial local administration in the Republic of Uganda, colonial local administration in Uganda, post-independence local administration in Uganda, the post 1997 local council system, decentralisation policy, legal and institutional framework in Uganda, and conclusion.

Chapter Four: Research Design and Methodology. The chapter entails an overview of research methodology, the research design, the study population, the sample size and its selection procedure, the data collection methods, the data collection instruments, measurements of validity and reliability of instruments, conformability and transferability of qualitative instruments, presentation and analyses of data, ethical considerations, and conclusion.

Chapter Five: Presentation of Results. The chapter consists of a summary of research findings, summary of research findings by objectives, discussion of findings, and the conclusion.

Chapter Six: Effective Participation Model for Local Governments in Uganda. The chapter presents and discuss the recommended model of participatory governance in Uganda. It highlights the need for an effective public participation model, illustrates the model, and shows limitations and assumptions of the model.

Chapter Seven: Findings, Conclusions and Policy Recommendations. This chapter provides the summary of the findings, the conclusions derived from the findings, policy recommendations from the study, areas of possible further research, and general conclusions.

1.13 Summary

Studies have shown that participatory governance is more effective in countries that experience higher levels of socio-economic development, democracy is relatively advanced with social movements fighting for inequality. It is therefore the participatory environment, as well as the form and nature of citizen involvement, rather than participatory governance that may enhance quality of governments. This is because citizen participation may not be a panacea to the challenges attributed to centralised modes of governance (Kohler-Koch, 2008).

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

Public engagements through dialogues, citizen deliberations and engagements are increasingly becoming landmarks on the global public participation landscapes as public managers increase efforts to design and develop more collegial and collaborative citizen involvement processes that are competing with the traditional top-down approaches in public management (Abelson, 2006: 34; Dipholo, n.d. : 6; Muronda, 2017: 16-35). The origins of the global trends in public participation include evidences of declining citizen deference to public officials especially from the central governments; it calls for greater legitimacy and public accountability, as well as the desire to bring government closer to the people (Abelson, 2006: 34). Other reasons are political and based on the increasing advocacy of good governance and participative democracy (Waheduzzaman, Gramberg, & Ferrer, 2017: 6). The chapter includes theoretical and conceptual frameworks underpinning this study; an overview of participatory governance; an evaluation of participatory governance; forms of public participation; assessing quality of local governments; indicators of quality of local governments; participatory planning and budgeting; and an assessment of capacity of local governments.

2.2 Theoretical Framework

A theory can be defined as a set of interrelated constructs, and propositions that present systematic views of phenomena by clearly specifying the relations among variables that form the purpose of explaining and also predict phenomena. On the other hand, a framework is defined as “a set of interrelated ideas that an individuals logically use while forming decisions and judgements” (MacMillan English dictionary, 2002:561). Therefore, a theoretical framework is used in research as a provision for the rationale of conducting research (Adom, Hussein, & Joe, 2018: 38).

Although there may not be a universal definition of the term theoretical framework, studies by Grant and Osanloo (2014: 12-17) defined theoretical framework as a ‘blueprint’ that guides a research. Usually, it is a framework based on existing theories in a field of research related to and reflecting the hypotheses. Sometimes this blue print is ‘borrowed’ by the researcher to build his/her own research. The theoretical framework serves as the foundation upon which a research is constructed. It also guides the researchers so that they do not deviate from the

confines of the accepted theories to contribute to scholarly and academic literature (Adom et al., 2018: 76). Sinclair (2007: 39) and Fulton and Krainovich-Miller (2010: 1-9) opine that the theoretical framework is like a travel plan for research. Therefore, proper selection of the theoretical framework implies that the study is not based on personal instincts of the researcher, but rather on firmly rooted and credible theories (Akintoye, 2015: 2-12). At the end of the study, the research findings accrued must corroborate, extend, or modify the existing theory that was employed (Schmidt, 2006: 1-20; Lester, 2005: 457-465).

2.2.1 Central theoretical statement

The central theoretical statement of this study was:

Participatory governance, so far since 1997, has not enhanced quality of local governments in Uganda.

The specific central theoretical statements were:

5.1 There are no effective participants in local governments in Uganda.

5.2 There are no quality indicators in local governments in Uganda.

5.3 Participatory planning does not enhance quality of development plans in local governments in Uganda

5.4 Participatory budgeting does not result in effective selection of local priorities in local governments in Uganda.

5.5 Local councillors have limited capacity in managing public policies in local governments in Uganda.

2.2.2 Theoretical framework for this study

The theoretical background to this study was Sherry Arnstein's (1969: 216-224) *Ladder of Citizen Participation*. There are several theories of participatory governance but all built around this classical theory. This theory is premised on the assumption that citizen participation in public engagements is a categorical term for citizen's power (Stout, 2004:32). The theory puts it that there are different forms and contents of participation in public affairs, which do not bring about similar results. The theory identifies broad categories of participation starting from ***non-participation, tokenism and real citizen power.***

Accordingly, participation exists in form of a ladder with the lowest rungs resulting in ***non-participation.*** The middle rungs represent ***tokenism*** while the upper rungs represent ***real citizen power.***

Sometimes participation in public affairs is an empty ritual with no real powers to effect both processes and outcomes. The classical poster of French students in 1968 (Figure 2.1) that has since widely been circulated in participation literature, highlighted that participation without power redistribution leads to powerlessness and empty frustrations.

Figure 2.1 Classical French student's poster

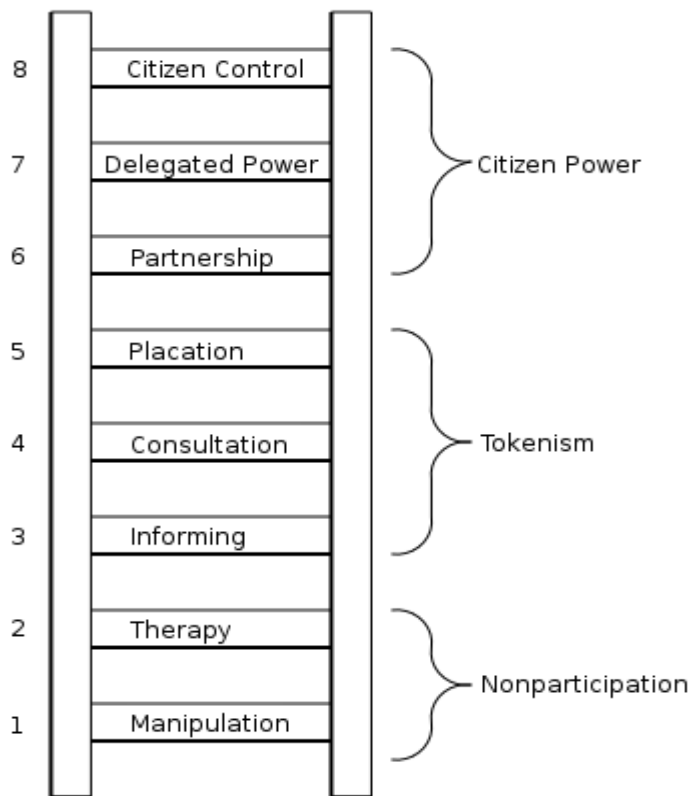


Source: Sherry Arnerstain, 1969:217

"I participate, you participate, he participates, we participate, you participate... they profit."

This type of participation only benefits those in power to erroneously claim that all public interests were considered yet only their sides benefited. This is the basis of the theory of **Ladder of Citizen Participation** is illustrated below in Figure 2.2.

Figure 2.2: Eight rungs on the ladder of citizen participation



Source: Sherry Arnstein, 1969:217

The Manipulation and Therapy elements, which lie at the bottom rungs of the ladder, constitute "non-participation". Their objective is to enable people in power to "educate" or "cure" participants but not to enable them participate in planning of public policies. The third rung that was named Informing, while the fourth rung was named Consultation and the fifth rung named Placation, together represent "tokenism" where participants' voices start to hear and be heard in public affairs although they have to powers to ensure that those in power will adhere to their views. Real citizen power lies in the seventh rung (Delegated Power) and eight rung (Citizen Control) when the under privileged gain majority seats in decision-making and full managerial power.

Several other theories, approaches and models of citizen participation were since developed, which explain the dynamism of the relationships that exist between the governed and those who govern them. For example, Thomas et. al (1995: 1-20) developed a model of citizen participation with an administrative structure that is parallel to that of Arnstein's ladder. In Thomas' model, at the extreme the public administrator sometimes can make decisions without

involving the public while at the other end the public administrator may make decisions only after fully consulting the public. In between the two extreme ends, there may be different levels and scenarios of citizen participation but above all, the public administrator controls the choice of how to involve the public in decision-making (Callahan, 2007: 12).

The model of Box (1998: 2-18) looks at citizens being along a political continuum with free riders on one of the side while activists are at the other side. According to this model, free riders are comfortable and entrust public administrators to act in their interests while watchdogs only act when public issues impact on them directly (Callahan, 2007:7). Timmey (1998) as cited in Gershman, (2013: 23) on the other hand, developed three other models of citizen participation in that existed in forms of active participation, passive participation and transitional participation. In active participation, citizens are in control and own the policy process. In passive participation, the government is in total control and citizen participation is merely a formality, while transitional model, citizen participation is considered a shared responsibility between the citizens themselves and the government (Gershman, 2013:18)

Vigoda (2002: 10-22) suggests that there is a continuous struggle between the public administrator and the government. The government considers citizens as subjects and can even coerce them into doing what it wants. There is total citizens' control over government and can coerce it to do what they want. In between the two ends, there are several varying degrees of participation, responsiveness and collaboration between citizens and government (Callahan, 2007:6)

The value-centred model puts emphasis on the worth of governments to their citizens. In this model, citizens are looked at as the owners of the government and are duty bound to improve government services by making decisions and holding government accountable (Callahan, 2007: 6-7). In this model, both the citizens and the governments are actively engaged in creating value for the citizens. In so doing, citizens are shareholders in public trust of community resources. Hence, there develops a partnership, with a co-investment, with a common interest, with common cooperation and sharing among citizens and the governments (United Nations, 2013: 232)

The study also analysed other participation theories including Muller's *Theory of Aggressive Political Action* (2015) as cited by Wrangham, 2017: 2-6). This theory attempted to not only formulate, but also to analyse the general multi-variate philosophies concerning what actually provokes the people to take part in aggressive political action. The theory attempts to answer

the philosophical dilemma of what it takes to organise people to participate in aggressive political action. In this study, Muller's theory was important in answering questions of what motivates the public to participate in local governance even if there are seems not to be immediate benefits arising out this participation.

In the analysis and review of all the above participation theories, the proposed study was premised on Arnstein's *Ladder of Citizen Participation theory*. The theory was chosen because it gives a generalised theoretical framework of citizen participation and most of the other theories mentioned above, are only a critique and additions to this theory. Besides, the different ladders of participation as suggested by this theory are evident in Uganda's participatory governance system.

2.3 Conceptual framework

Casanave and Li (2015:107) defined frame as "a more or less abstract ideas which encircle the study the in the same way the frame encircles the photo or picture and this frame provides the space in which the photo or picture is situated. The conceptual framework, thus helps explains or justifies the study being carried out. The conceptual framework enables readers to understand what the study is all about and also helps and supports researchers to interpret the findings and to connect the variables and findings to other similar works and to other larger and generalised ideas that are concrete to the particulars of the study". On the other hand, Becker (1998: 108-145) defined a *concept* as "a set of abstract ideas that are based on phenomena, but which in reality constitute our data that is used for empirical generalization." Deleuze and Guattari (1991: 15-19) suggested, for every concept, there are components that make it and that the concept is defined by them. They further opined that these very components that make up the concept, or that define the consistencies in the concept; within their endo-consistencies; are themselves distinct, though heterogeneous and, yet, not easily separable. Therefore, a concept is itself a multiplicity, although it's possible that not every multiplicity is conceptual, yet there is no any concept with relies on only one component. In all, a concept is defined by its components which themselves originate from other concepts, with a known history, hence it cannot be created from nothing. Concepts are points of condensation, coincidence or accumulation of their own components (Jabareen, 2009: 16).

Solomon (n.d.:6) defined the conceptual framework as "the methodology that is used to establish a given body of knowledge in a discipline by way of codifying the available literature, and by using the literature to develop a new model of reality that often may culminate in policy

recommendations". Fawcett (1997) as cited in Solomon and Solomon (2018 :6) and Crawford and Shang (2015: 2279-2292) gives four cardinal purposes of conceptual frameworks: to guide practice; a basis for research; a guide to pedagogy; and a guide to administrative situations. Considering all the above, Jabareen (2009: 12) defined a conceptual framework as actually a network, or a kind of "a plane," made up of interlinked concepts which together provide the comprehensive understanding of the phenomena. In this way, the individual concepts that are comprised in a conceptual framework are inter-related to and support one another. Guba and Lincoln (1994: 23) suggest that conceptual frameworks possess epistemological, methodological and ontological assumptions of the study.

Studies by Nye and Berardo (1966) as cited in Bartolic et al (2016: 57-66) put forward several advantages associated with developing of conceptual frameworks in research. First, conceptual frameworks provide adequate definitions of research concepts and thereby enable the adequate measurement of the constructs. Secondly, conceptual frameworks facilitate the researcher in positioning an array of ideas as they unfold in the study. Thirdly, conceptual frameworks enable researcher to understand the essential concepts used in research. Fourth, they allow effective communication between academics, which can make implicit assumptions. Lastly, they allow the researcher to clarify assumptions, frames of reference, as well as implied variables.

2.3.1 The study conceptual framework

This study's conceptual framework is ably illustrated in **Figure 2.3**. This conceptual framework shows how the local government system in Uganda empowers local communities to elect their leaders and consequently participate in local planning, budgeting and employment of local bureaucrats who together manage local public policy. Consequently, citizens participate in five major ways: first, by electing their local leaders; second, by participating in local councils and statutory bodies; third, through social movements and government initiated programmes; fourth, through their own associations; and lastly, in a mixture combination of all the above forms. In so doing, the quantity and quality of local government services is anticipated to increase, resulting into improved service delivery that eventually and positively influence the quality of local governments.

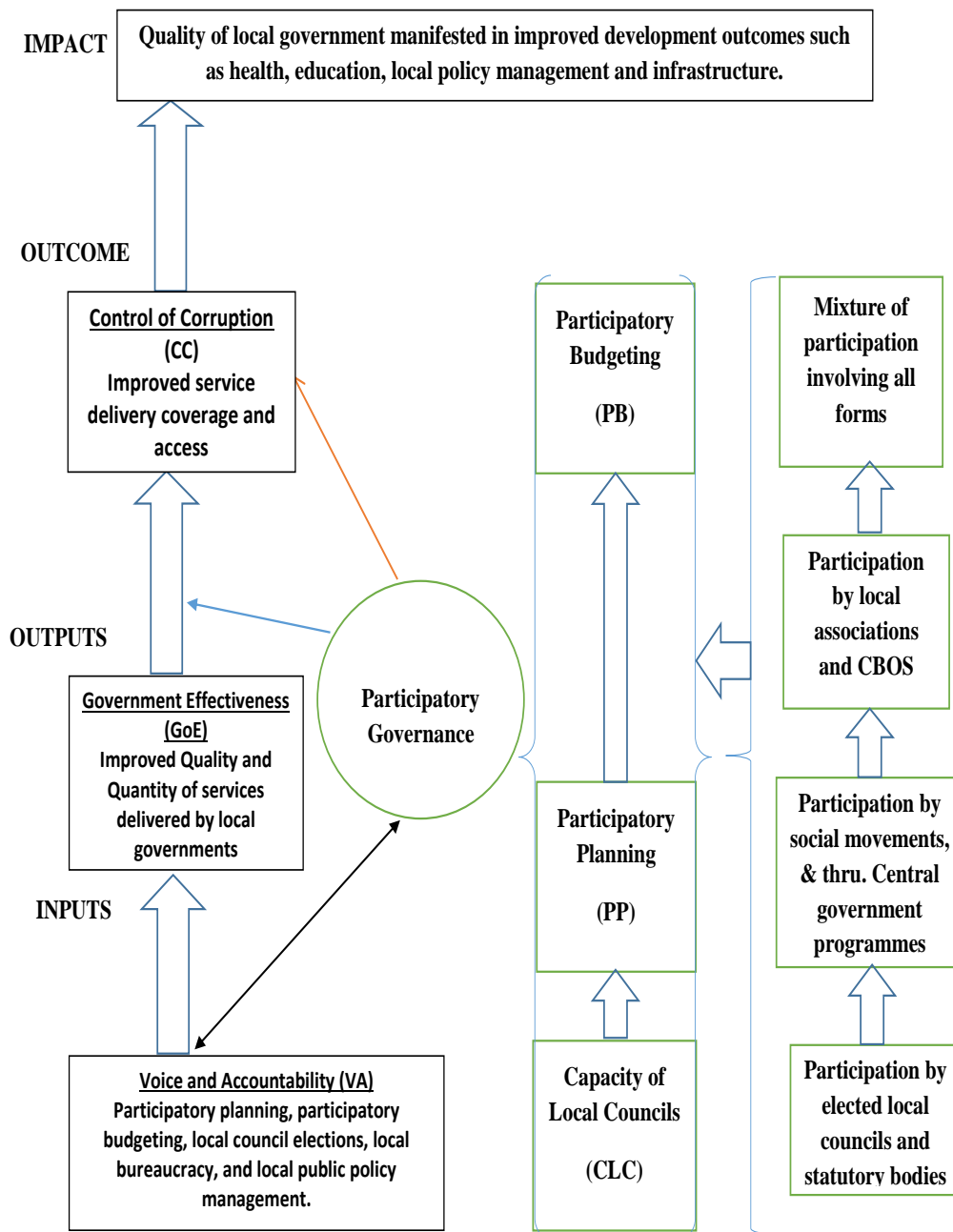
Therefore, the relationship in participatory governance and quality of government is unquestionable. Many studies that have been carried out to evaluate the conceptual relationship between these two variables have shown a positive correlation between people's participation and public services delivery (Gisselquist, 2012: 21; Johnson, 2013: 8-9; Options & Good,

n.d.:8.; Tapscott, 2007:3; United Nations, 2008:234; Wampler & McNulty, 2011 :7-13). Citing Abers (2000) Biaocchi (2005) Wampler (2007) and Heller (2000) Wampler and McNulty (2011: 7-13) identified six principal variables that elucidate how participatory institutions function. These variables are: First, the availability of political interests of government officials; Secondly, the configurations of civil society organisations; Third, the institutional rules themselves; Fourth, the resources available; Five, the local political party system; and, Six, the interactions and relations between executive and legislative arms of government”.

Accordingly, participatory governance in Uganda is one of the most inclusive; it was defined by Assumpta Tibamwenda, a technical and decentralisation practitioner in the Ministry of Local Government, as “a universal participation model” that brings together every member of the society together in local governance issues. The local councils involve elected representatives of every section of the society including representatives of the youth, women, workers, people with disabilities (PWD) the elderly, the army and working together in a governance framework with civil society organisations.

The conceptual framework of this study is illustrated in **Figure 2.3**. The independent variable is Quality of Local Governments while the Dependent variable is Participatory Governance. Quality of Local governments depends on three main elements: Control of Corruption (CC) leading to improved service delivery, coverage and access; Government Effectiveness (GoE) manifested in improved quality and quantity of services delivered by local governments; and Voice and Accountability (VA) originating from participatory planning, budgeting, local council elections, local bureaucracies and local public policy management. On the other hand, Participatory Governance depends on the elements of participatory planning, participatory budgeting, and capacity of local councils.

Figure 2.3 Conceptual framework for analysing public participation in Uganda



Source: Researcher, 2018

2.4 Related literature review

Besides the theoretical background, the research also relied on literature on participatory governance and quality of government institutions covered by different scholars including works of Michel and Graaf (2010: 48) and Yang and Pandey (2011:12) and Durman (2006: 1-16). Literature was reviewed based on the study objectives. In addition, other documents were reviewed such as the *National Assessment Reports* of the sample districts and the *Citizen Score*

Card Reports of the sampled districts for the period 2014-2016. Review literature relating to past studies and other official government reports carried out on participatory governance and on decentralisation in Uganda.

2.4.1 Overview of the concept of public participation

Segatori, (2012) as cited in Marcaletti, (2015:2) defined governance as development processes, that involve the determination and implementation of public policy; by concentrating the processes on building partnerships between public, private, or third-sector bodies; such that all these parties are involved in the overall process by contributing resources; shouldering responsibility; enjoying defined powers; and sharing both benefits and outcomes of the public policies.

The concept of governance may probably have originated from the Greek *kybernan* implying to direct, steer or pilot. The concept was later literally translated into Latin as *gubernare*. The English concepts of government and latter governance can thus be traced from these traditional ideas. For quite a long time, governance as a concept played limited role in the field of social sciences until the year 1979 when Oliver Williamson published his famous book: *Transaction Costs Economics: Governance of Contractual Relations*, that governance became one of the most cited concept in literature. Rhodes (1996:652) as cited in Levi-faur, (2018: 2-20) urged that governance signified changes in the traditional meaning of government, by introducing new processes to governing, by changing the conditions of ordered rule, and by introducing new methods by which society would be governed.

Just like government, governance has several meanings. Some scholars consider governance as structures, comprising both formal and informal institutions of managing government business. Other scholars on the other hand, regard governance as set of processes that signify the public policy making dynamics and the steering functions involved therein. Yet some scholars regard governance as mechanisms that signify institutional procedures involving government's decision making. Lastly, some scholars conceive governance as strategies that demonstrate efforts by different actors to govern and manipulate the design of institutions in order to shape collective choices and preferences (Levi-faur, 2018: 7-20).

The adjective participatory connotes governance by reinforcing the elements of contribution of different actors in form of stakeholders or civil society bodies in defining public policies. These

collective civil society actors bring specific interests in the policy process and to which they exert power and influence in the public policy process (Levi-faur, 2018: 7-20).

The theoretical underpinning of participatory governance is the conception that representative democracy alone is not able, on its very own, capable of improving the quality of government. In the same way, representative democracy alone may fail to educate and empower citizens, and create efficient utilisation of public resources (Osmani, (2007: 1-47); Fourie (2001: 216-222); Fung and Wright (2001: 6-37) and (2003: 1-190); Pateman, (1970:42-53). Therefore, participatory governance may not be an alternative to representative democracy, but rather an innovative complementary effort to re-invent government by improving the quality of democratic governed, citizen welfare and the state performance (Wampler & McNulty, 2011:56). Participatory governance has actively engaged civil society activists and political reformers in parallel arrangements to redesign how the government and citizens engage each other in the policy process.

There is therefore, an increasing acceptability in both academic and political circles that this form of participatory co-governance has generated some degrees of desired outcomes in public management, especially in low developed countries that experience weak states, high poverty levels, nascent civil societies, and infant democratic institutions (Wood and Murray, (2007: 1-22); Wampler (2007: 1-40)).

The origin of participatory governance is associated with innovations in democratisation's "third wave" that saw incorporation of citizens' voices in complex public policy processes (Wampler & McNulty, 2011:56). With participatory governance, new actors in the public policy process have come on scene where of the public participates in public decision-making processes by deliberating and voting on the most efficient and effective allocation of communal resources and on the exercise of state authority. In China, for example, participatory governance started in form of democratic consultative meetings and public participation in rulemaking in the cities of Taizhou and Guangzhou. These were taking place at the same time when there were reforms in the administrative decision making in Shenzhen province (Nalysis, 2018: 49-71)

Universally, there may not be a generally acceptable definition of participatory governance. However, Wampler and McNulty (2011:6) defined participatory governance to consist “of a series of state-sanctioned institutional based processes which permit citizens to exercise their voices and vote, in turn this results in the effective implementation of public policies that produce positive changes in citizens’ welfare”.

Johnson, (2013:4) defined participatory governance as the state-sanctioned direct engagement of the public in policy decision-making. In a similar way, Options and Good (n.d.) also defined participatory governance as “the regular and often guaranteed presence when making public and binding decisions of the representatives of those citizens that will be affected by the policy adopted.” Similarly, Fung and Wright (2003: 23-25) defined participatory governance as government-engineered initiatives that provide for ordinary citizens decisions-making authority basing on local forums.

Thaxter and Graham (1999), as cited in (Beebe, 2017:1) described participatory governance as a series of organisational designs that transfer levels of decision making from top to bottom levels of the institution by allowing top level management to take advantage, nature, explore and draw upon the knowledge and expertise found at lower levels of the organisation. Birnbaum (1988: 4) as further cited in (Beebe, 2017:5) defined participatory governance as sets of structures and processes in which institutional participants share influence, interact with one another and communicate with the outside environment.

The United nations Committee of Experts on Public Administration (CEPA) at its 6th session of April 2007, defined participatory governance as an example of the several public institutional based strategies which contribute to shared visions in planning, monitoring and evaluation, accountability and budgeting of development related public policies and programmes. The institutional based polices directly link common citizens to public policy making without bypassing the elected representatives because public participation is a right to all citizens.

Work and Friedman, (2006: 11-34); described participatory governance ‘a regulatory framework in which the task of running public affairs is not solely entrusted to government and the public administration, but involves co-operation between state institutions and civil society groups’. They further proposed that the same term may also be known as *cooperative*

governance that involves interlocking government and civil society groups into public-private network engagements in public policy management. What is common is that governments engage organised citizen groups in public policy implementation.

The actors of participatory governance were categorised by the World Bank into five: the central government with its cross cutting agencies responsible for finance, human resources management and frontline regulatory services; formal oversight institutions like the judiciary, police, inspectorate of government, parliament, and other autonomous oversight institutions; and local governments with their localised accountability and other control arrangements. Others include the civil society and private sector including the media, and recipients of public services; and political actors who set policy goals and directions to follow.

Therefore, public participation has been given mainstream position and considerable attention in the development sector, especially in third world countries (Donin & Leon, (2011: 1-19); Hickey & Mohan, (2004: 3-24); Williams, (2004: 557-578); Burton, (2004: 193-198). Governments and donors are emphasising public participation theory as an engine of development, democracy and good governance. Khan (2003: 295) opined that “governments’ emphasis on the importance of efficient, effective and participatory governance for sustainable development, and of supporting the livelihood strategies of the poor” is the new trend in public management. Johnson (2013:6) posited that the wide spread of participatory governance has been more stimulated by a wide range of positive outcomes associated to these reforms. These include the improvement in public accountability, stronger norms of citizenship and civic-minded public, an effective civil society community, increased voter turnout in elections and more legitimatisation of government. There is no doubt that the importance of public participation is globally acknowledged although the "perceptions and expectations as to the purpose, scope, nature, and implementation of public participation has seen marked differences which has inevitably affecting its overall impact on public policy management and other development programmes" (Greenberg & Mathoho, 2010:4-6).

The expansion of participatory governance has been associated with the quest for decentralised government systems which jointly make up the "third wave of democratisation" that have dominated the developing world (Tsubogo, 2014). The experiences over time have manifested that representative democracy was not working properly as anticipated because vices of representative democracy such as corruption, clientelism, and elite rule continued to dominate

politics. Consequently, academicians, politicians, social activists and development partners started advocating participatory governance as a remedy for the shortcomings of representative democracy. Nickson (2011:12) made the following comment on participatory governance in South America:

The newly-established democratic governments of the region regarded citizen participation as a means of containing social tensions and strengthening the long-term prospects of democracy through dialogue and consensus-building at the municipal level. Citizen participation was also seen as a way of improving performance in service delivery by introducing greater transparency into municipal resource allocation as to better reflect the broad interests of the population.

Work and Friedman, (2006:8), identified several reasons why governments engage citizen groups in governance even when the former are bestowed with popular mandates. First, many of governments' goals may never be achieved without the active support of organised citizen groups. It is thus assumed that by engaging representatives of organised citizens groups in joint policy making and implementation, governments come up with binding agreements between the public and private sectors which act as vehicles of common interest cooperation and avenues of social capital. The same approach also ensures that there is minimum resistance from these citizen groups while at the same time, it is an inducement for cooperation from these organised groups. In this way, the voice of the organised citizens groups is guaranteed in public policy to ensure smooth government.

The other reason for advocating participatory governance is premised in the fact that it is a vehicle for broadening and deepening democracy by expanding the magnitude of citizens' engagement in government. Democracy as a political system ensures popular citizens sovereignty and equal say in public affairs. Participatory governance therefore widens the scope of citizen participation in governance (Work & Friedman, 2006: 6-34).

The other reason for participatory governance is that it is in itself a pre-condition for sustainable development because it assumes citizen willingness to support development alternatives in which citizen voices were engaged and in so doing act as a binding agreement between the two parties. The United Nations Committee of Experts on Public Administration (CEPA), (2007:2),

upheld that engaging citizens in national development programmes directly contributes to the fulfilment of global agendas, including the Sustainable Development Goals (SDGs).

Citizen engagement is similarly an important aspect of public governance that is manifested in accountable public administration exercised by the approaches of consultations, information sharing, involvement, collaboration and citizen empowerment in policy formulation, design, planning, budgeting, delivery and auditing (CEPA, 2007:1-2)

The act of participation itself generates useful public administration functions of integrative (building mutual trust); deliberative (mainstreaming collective ideas by building consensus); and educative (sharing of useful information) (CEPA., 2007: 1-7). Indeed civic participation stimulates development and can even have spill over effects that produce greater political and civic engagements even beyond the area of participation itself.

Although historically provision of basic services such as health, education, environment and forestry management, and others has been provided by the government, recent studies and experiences as documented by ... demonstrated that public participation is in the provision of these services. By relying entirely on government bureaucrats to provide basic services, it has proved unsatisfactory especially in the developing world. While at the same time relying entirely on market forces to provide basic services has become inefficient, ineffective and unequitable. Relying on public participation has generated positive, efficient and equitable results in the provision of basic services(United Nations, 2007: 4).

UNDP Indonesia, (2012:4), also urged that There exists a mutually reinforcing correlation between the capacity of civil societies and those of governments, business sector and indigenous communities such that the stronger the capacities of civil societies, the stronger the overall government effectiveness.

Like any other public administration approach, participatory governance has its limitations. The example of the National Economic Development and Labour Council (NEDLAC) experience in South Africa was convincing when it became very difficult to identify a single organisation that could truly claim to represent diverse and unorganised social communities. Research later concluded that choosing representatives for such communities was dubious and

at worse, the so-called representatives did not have a constituency among the groups that they claimed to speak for. instead, the opposite was revealed, that community groups were excluded from the concrete bargaining done by NEDLAC on their behalf (Work & Friedman, 2006: 6-34).

There are other unintended consequences associated with participatory governance. These include the possibilities of participation capture by the elite; the possibilities of dominance of particular interest groups; and even the possibility of exclusion of some marginalised groups. There are also possibilities of political patronage and systems abuse that may further result in free riding(CEPA, 2007:14).

Although there are several limitations to participatory governance, these do not necessarily make sound case against the practice, but rather create ground for establishing safeguards to re-affirm participation so as to deliver anticipated results(United Nations, 2007: 6)

Starting from Arnstein's theory, several works have come up pointing to different levels of participation from the passive, the consultative, the instrumentalist participation at the lower end to empowerment, the collective action and the transformation at the higher end (Greenberg & Mathoho, 2010:9-20). This study is concerned with the nature and form of participatory governance in Uganda and how it affects the quality of local governments.

Greenberg and Mathoho (2010: 9) posit that,

In reality it is very difficult to measure the precise contribution that participation makes to an intervention, because participation is one amongst many variables and cannot be quantified. It is not really possible to compare cases where there was participation of different types to see which type of participation is more effective.

This study went ahead to explore this missing gap; in fact, it attempted to evaluate the form and nature of participatory governance in as far as it contributes to the quality of local government. However, this study does not develop a participation blue print that can be applied everywhere at all times. It rather evaluates the local form, context, nature and dynamics of Uganda's participatory governance model.

While the rubric of participatory governance falls under many forms differing from one country to another, there is a common aspect of participatory governance within which citizens and civil society organisations actively engage government policy makers in exercising government functions and distributing public resources (Gisselquist, 2012: 34).

Advocates of participatory governance see it as a means to improve series of complex democratization processes. The advantages of participatory governance were ably presented by Dr. Kealeboga J. Maphunye in the Western Cape Provincial Conference on public participation held on 21-22 July 2005 as cited by (Norris 2011:212-217); in four broad arguments: First, it legitimizes government decisions and actions, thus decreasing “democratic deficit”; Second, it enhances quality of public decisions and people’s compliance to public policies/ bye-laws; Three, it reminds policy-makers to create space for public views while making their decisions; and Four, it enhances people -centred democracy. Therefore, participatory governance is valued for both intrinsic and instrumental reasons. Intrinsically, the act of participation is valuable in itself, before we even think about the benefits it may help to achieve (Sen 1999: 1-5). The United Nations (2008: 234) stress that the freedom to public participate is itself a constituent of development with universal acceptability that is stipulated in Article 25 of the International Covenant on Civil and Political Rights,

Every citizen shall have the right and opportunity ... to take part in the conduct of public affairs, directly or through freely chosen representatives...

Therefore, public participation is associated with empowerment, social capital, public accountability, efficiency and social equity.

Participatory governance does not go without challenges. Tapscott (2007:9) opined that public participation is not synonymous with development because some people do not want to participate and there is a participation fatigue. In many developing countries, not only is participation associated with several costs to government, it is also aimed at appeasing funders and a fruitless attempt to create political space and devotion for the marginalised members of society such as the unemployed, landless, women, and youth (Gisselquist, 2012:7). Participation governance demands several spaces and practices and a lot of learning processes that mainly take place in both institutional and non-institutional settings that require broadening the culture of participation (Tapscott, 2007:10). In addition, in evaluating participatory governance, researchers should note that local context matters; therefore, it is important to

study critically the local dynamics before introducing participatory governance structures. In nutshell, the United Nations (2008: 47-50) cautioned policy analysis to avoid a 'tyranny of participation' while the World Bank declared that it may ignite 'a crisis of governance' (World Bank 1989: 60-61)

2.5 Evaluation of participatory governance

Marc and March (2010 :12) defined evaluation as a systematic process for obtaining information that is directed at making value based judgements about certain established criteria. The purpose of evaluation thus, may not always be to judge whether the programme worked or failed, but rather to use pre-determined criteria to measure the degree of compliance to the set goals. Evaluation therefore, involves planning at the initial stage to determine the approaches to be used.

The origin of evaluation studies can be traced to two trends in America in the early 1960s. First, there was a development of political programmes as part of the "Great American Society". President Lyndon Johnson's administration argued that new social policy programmes should reduce the social inequalities that were clearly visible in the American societies. Secondly, there was the introduction of a new form of federal budgeting called the Planning, Programming, and Budgeting System (PPBS) that was primarily aiming at evaluating how federal programmes achieved their objectives. Consequently, there were several federal, state and local programmes objectively designed to alleviate poverty, sex and ethnic discrimination most of which had a compulsory component of programme evaluation. To that end, Gasper, (2006: 655-670) was justified to define evaluation research as a form of applied research that is oriented to finding solutions for some specific social problems.

It is evidently clear that evaluation studies combine potential conflicting forces of traditional research methods, politics and bureaucratic management techniques. The politics of evaluations may not only end with politicians and bureaucrats, but also social scientists who often analyse the measures, criteria, and charges used as contaminated, wrong, based on faulty theories, and often question the transferability of programme success from one area to another.

There is therefore, a distinction between the term evaluation of participation and the term participation in evaluation. Evaluation of participation includes the evaluation of development processes and outcomes in relations to participation with detail to specific projects. Traditional quantitative methods are used to "measure" quantifiable aspects of participation, such as the

total of project beneficiaries, the regularity of project meetings, number of recipients attending meetings, beneficiary assistances in terms of labour, money or supplies, or distribution of welfares (Oecd, 1997:23). On the other hand, in cases of participatory evaluation, a multiplicity of stakeholders actively take part in shaping the evaluation objectives by choosing procedures and methods of collecting data, analysis and interpretation as well as making recommendations and taking policy decisions.

Maurice and Yoosuf (2013: 6-20) provide avenues for evaluation of participatory governance. In an evaluation study commissioned by the European Union, which was carried out in Sri Lanka, participatory governance was evaluated in terms of five key terms of significance: Relevance (whether problems and needs were valid) Effectiveness (achievement of purpose) Efficiency (the sound management of value for money) Sustainability (the likely persistence of achieved results) and Impact or visibility. Their ideas are well echoed by Geissel (2009:20) who opined that any democratic system has to fulfil some criteria that include effectiveness and legitimacy. Putnam (1993) as cited by Blasio and Nuzzo (2004:2-10) posited that participatory governance should also be valuable if it builds up social capital needed for healthy functioning of public administration, politics and the economy. The other criterion put forward in policy debates on evaluating participatory governance is the sustainable development of a civic culture in form of public management skills, especially tolerance among the citizen. Compliance with norms that are usually pre-established as well as assessing the co-responsibility of local actors in certain public actions may be other criteria of participatory evaluations (March, n.d.: 8).

Evaluation of participatory governance faces many challenges. For example, Crawford and Kearton (2001:16) highlighted the challenge of attribution. It is very difficult to evaluate the 'with and without' situations of participatory governance or even establishing a counterfactual. Besides, there are intangible lines of causality and measuring specific outputs of a participatory initiative whereof some outcomes may be cancelled if they are not reinforced by other processes (European Commission 1997 b: 15). This was pessimistically stated by DANIDA (2000: 38), “classifying a wider impact of definite inputs is in most circumstances nearly impossible... [With] no decisively substantiated evidence of greater impacts, only those that may be assumed”

2.6 Forms of public participation

There may not be a universal definition of public participation. Usually associated with citizen participation, public participation encompasses a series of actions through which people (citizens) and associations/groups involving citizens as well as other stakeholders and organisations involve themselves in the affairs of government or community. Public participation therefore can be explained as any process that directly engages members of the public in decision-making and that considers that the public makes inputs in making that decision. Notwithstanding, there are minimum standards for public participation, which include timely notification of parties, creating reasonable time for participation and due account of participation outcomes (Fleischer *et al.*, no date). Public participation should include many stakeholders including civil society organisations, local experts, and minority groups.

Public participation is conceptualised on the belief that those affected by government decisions have the right to also be involved in all the process involving this decision-making. Therefore, when citizens anticipate, there is an inherent promise that their contribution shall be taken care of in the outcome of a public decision. In so doing, there is sustainability of public decision-making by taking care of interests of all stakeholders by way of taking inputs from the participants. In a related way, public participation provides participants with useful information to enable them make meaningful contributions to the way they are governed, thus improving the quality of the citizenry. Therefore, the positive outcomes of public participation is greatly affected by the quality of the participation processes when public decision-makers provide sufficient information by way of additional facts, values, and perspectives solicited through public inputs in the final decision process.

Several conditions must be met for successful and effective public participation to flourish. To start with, there have to be clear goals and purpose of the role of the public in the total participation outcomes. Secondly, there should be clear structures and processes with well-defined rules and procedures of both public involvement and decision-making. The public inputs should be clearly considered by decision makers and be committed to the activities that will make it possible for the public to participate. There should also be inclusive participation, by reaching out to all stakeholders regardless of affiliations. Sufficient resources should be provided to fund the participation process in order to incorporate total public input including hard-to-reach and vulnerable populations. Conducting training and effectively communicating the participation objectives should cultivate participative capacity among participating publics.

In the same way, there should be a climate of integrity and high degrees of credibility of government officials and other decision makers by avoiding corruption and disengaging public inputs. Overall, the participants should believe in the public input as a basis of better decisions and better governance. Lastly, there should be capacity to engage government by designing effective participation processes with sufficient knowledge and communication skills based on transparency, accountability and legitimacy.

Several levels of public participation are possible but with varying outcomes. There is a continuum on the levels of participation ranging from informal levels where there are no opportunities to influence public outcomes to levels of total influence of public empowerment. The lowest level of participation is called the *Inform Level* where the public have no opportunity to influence the outcomes but are just informed of what has already been decided. The second level in the continuum is the *Consult Level* that gives basic minimum opportunity for the public to input the decisions by being merely asked about their opinions, which may be considered in final decision-making. The *Involve Level* includes some of the inputs from the public although the agency remains the decision maker. The *Collaborate Level* involves direct engagement of the public in decision-making by generating consensus-based solutions. The last level is the *Empowerment Level* where the agencies provide the public with chances to make their own decisions, usually by voting. Most public participations are conducted at levels of consult, involve, and collaborate and really do public agencies delegate their decision-making power to the public because voting usually fails to create adequate levels of public knowledge needed in complex and challenging circumstances.

In Uganda, as in many other countries, public participation is directly enshrined in the Constitution, particularly Articles II and X state:

Democratic principles

(i) The State shall be based on democratic principles which empower and encourage the active participation of all citizens at all levels in their own governance.

Role of the people in development

The State shall take all necessary steps to involve the people in the formulation and implementation of development plans and programmes which affect them.

(Constitution of Republic of Uganda, 1995:276).

Therefore, the sovereign power of the people is exercised at both local and national government levels. Leaders are duty bound to be accessible and to be able to represent people's views, create

forums and avenues for people to participate in matters that affect them, provide civic education, effectively communicate with the people by offering timely information especially on critical and emerging issues, and provide resources to facilitate public participation.

The forms of public participation range from one country to another. However, in Uganda and especially at the local levels, public participation involves a series of activities that include voting local representatives and being voted for; attending rallies and other public gatherings; advocating or opposing issues that concern the communities; participating in council standing committee meetings; and attending planning and budgeting meetings; demonstrating by opposing government policies and programmes. Others include participating in civic discussions organised by the government *Barazas*, radio and TV programmes; attending discussions organised by community based organisations (*Community Assemblies*); participating by way of social media (What Sapp, Facebook, Tweeter); lobbying Members of Parliament to vote in certain ways; and signing petitions to government to influence policy. Yet others are volunteering in community activities (*“Bulungi-bwansi*); campaigning for political candidates; communicating with elected representatives; participating in political party activities; and attending to faith based development initiatives; to mention but a few.

Citizens enjoy several benefits when they participate in government activities. For example, it is assumed that participation results in improved service delivery, credibility of public offices, provide a platform for diversity, and enable citizens to respond to their needs and concerns. Therefore, participation is necessary as a means of promoting democratic and accountable political power, and enabling local citizens to enjoy self-governance by recognising their rights to self-management thereby fostering national unity by recognising diversity.

2.7 Assessing quality of local governments

Evaluating the quality of government is a difficult task to undertake. Authoritative studies carried out by DANIDA (2000: 10) suggest that measuring the quality of government is “confronted with a set of trials that are more noticeable than in the assessment of the other types of development assistance.” Quite often traditional and conventional methods of evaluation have been used based on out-of-date, scientific investigations and relying mainly on quantifiable methods (Crawford & Kearton, 2001: 20-22). USAID/CIDA, for example, has relied on the Logical Framework Approach (LFA) that includes the Results-Based Approaches even though the approaches have been strongly criticised by DANIDA as inappropriate. Such

views were upheld by UNDP (1998: 78-90) European Commission (1995: 126-178) and JICA (1995: 21-24) who articulated the need for the “development of new standards and approaches of evaluation”, commenting that sometimes the objectives are qualitative and challenging to quantify". Therefore, a combination of both qualitative and quantitative approaches as well as conventional and hybrid approaches is the way forward for measuring the quality of local governments.

To this end, impact evaluation of political programmes is arguably one of the most difficult elements of assigning quality of local governments. The most evident difficulty comes from 'attribution', namely how to gauge what would have happened without the participatory interventions. Attribution may also be difficult in identifying the intangible lines of causality, distinguishing the outputs of some forms of participation from others, and the possibilities of cancelling out possible outcomes from some forms of participation if they are not complemented by other policies and processes (Crawford & Kearton, 2001: 20-22). The other challenge commonly referred to in the literature is the 'missing middle', the cavity between the micro-level results and macro-level impact. (Marques, 2013: 8-35) highlights the challenges associated with the effect of the overall political context and the impacts it lies on the macro level such that governance issues may be badly affected by other factors beyond their control. Such factors may include the lack of political will to carry out political programmes and the challenges of judgments about impacts in the opposite direction that is usually manifested in exaggerated claims.

Therefore, assessing quality of local governments that is associated with public provisioning of quality of life issues has since the early 1990s been one of the factors pushing for public sector reforms globally (Bovaird & Loffler, n.d: 7). besides the environmental factor, which first made a global impact since the Rio Summit in 1992, interest has also grown globally in the quality of health, the quality of life of children, particularly the elimination of child poverty and the quality of life of the elderly and other marginalised members of the society (Bovaird & Loffler, n.d: 7).

Whereas there are may not be common methods of evaluating quality of local governments, there are several possible approaches to evaluate quality of local governments. For example, OECD (1997: 1-26) as cited in Crawford and Kearton (2001), proposes some criteria to evaluate quality of government. These criteria include effectiveness of public policies;

consultative (participatory) evaluations; and the impact evaluations of public programmes all measured against the context of different political systems.

March (2010: 6) defined assessing quality of local governments as "a systematic process for obtaining information directed at making value judgements about certain established criteria". The aim of the assessment is usually to use pre-established strategies to assess the degree of compliance with known criteria (Osman, Bachok, Bakri & Harun, 2014: 251-259). The other criteria to consider while evaluating quality of local governments are the legitimacy, effectiveness, co-responsibility, and the overall construction of citizenry by teaching, training, and involving citizens in management of public affairs (Maurice & Yoosuf, n.d.: 8). The evaluation criteria should therefore involve aspects of simplicity, specificity and consensus of the parties involved. March (n.d: 6) further proposes that the emerging evaluation questions may be either qualitative or quantitative so long as they are simple, observable, accessible, valid and credible.

However, there are distinct variations in the performance of African countries and the level of governance quality. The *Worldwide Governance Indicators* illustration substantial advances in some dimensions of governance in some East African countries such as Rwanda on government effectiveness; Republic of Tanzania on the control of corruption; and the republic of Kenya on voice and accountability; yet nothing is mentioned about Uganda, a country that operates a universal participatory governance model (World Bank, 2007). What is definite is that local government performance improves where civil service quality is higher (Hoffman (n.d.:4). This implies that quality of local government improves when competent people run local governments.

2.8 Indicators of quality of local governments

Quality of government, good governance and state capacity are new paradigms in public management in the developing world. The emphasis by many development organisations, including the International Monetary Fund and the World Bank and has been on ensuring good governance (IMF, 2005: 28). However, as many countries continued to score highly on good governance indicators, premised on democratisation, hopes of "enhanced social and economic conditions, has for the most part, not been realised" (Rothstein, 2012:8). In fact, Diamond (2007: 48) urged that the spirit of elections in developing countries has been "inundated in corruption, favouritism, patronage, and abuse of power" resulting in "bad governance" and

retardation of development. The philosophy of quality of government was built on evidences on the ground that show that democratisation in both developing and developed worlds, (through 'free and fair' elections) is a necessary but not adequate condition for improved economic and social conditions of the people.

Quality of government therefore has replaced the *Good Governance* agenda and the earlier *New Public Management (NPM)* consensus, which argued that economic growth, may be achieved by huge deregulation, privatisation, contraction of public spending, improving private property rights and establishing democratic institutions. It is also argued that developing countries lacked both formal and informal institutions to give fertile ground for both NPM and Good Governance agendas. Similar challenges had been encountered in former communist countries that lacked institutions that could manage fraud and anti-competitive behaviours.

Therefore, the philosophy behind *Quality of Local Government* is traced in such global trends of dysfunctional local government institutions and the attempts to evaluate why some local governments perform better than others (Young & Kaczmarek, 2001: 16). The other reasons for the rise of the concept of *quality of government* are traced in the establishment the Corruption Perception Index by the international Non-Government Organisation, Transparency International in 1996. Well along on, the World Bank's Governance Indicators showed that corruption free government institutions have positive impacts on improved human well-being. Similarly, there has been a linkage between the quality of government institutions that advocate for controlling corruption and emphasising rule of law and emphasis the implementation of public policies to achieve economic growth and reduce economic inequality.

Other attempts to define quality of governance indicators were done by the UNDP (n.d) who defined governance indicators as “a measures that show the amount of association between the actual state of governance at one point (as a reference point) and its desired state at another point (target)”. In order to rely on indicators, there should be at least two things to compare one that is currently happening and another that should be happening. Thus, governance assessments are usually premised on certain norms about what is good and what is bad.

Notwithstanding all the fallacies associated with evaluations of quality of government, the World Bank (2007:28-29) through a collection of various studies and numerical aggregation of reactions on indicators of quality of governance in both developing and developed countries

came up with the following conclusion. "Government effectiveness measures the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to those policies". The World Bank (2007: 28) further identified six core indicators that have since been used by researchers to measure the quality of governments. These are (1) the voice and accountability; (2) the political stability and lack of violence; (3) the government effectiveness; (4) the regulatory quality; (5) the rule of law; and (6) control of corruption.

Although there may not be universal indicators of quality of local governments, scholars and practitioners in the surveyed literature zero on three criteria that are basic in assessing quality of government. These are: the impartiality in the exercise of public authority; the quality of democracy and democratic institutions, and the exercise of, and intensity of the rule of law (Rothstein, 2012: 9). This study thus concentrated on three criteria as indicators to measure the quality of local governments in Uganda. These dimensions formed the core of indicators of quality of local governments, these are:

1. The facilitation of voice and public accountability (VA);
2. Enhancing government effectiveness (GE); and
3. The deliberate control of corruption (CC)

The GSDRC (2001:21) further proposes several dimensions and determinants of governance at the local levels.

(1) The local political system broadly includes dimensions to do with the conduct of elections, the freedoms of information and expression, rule of law, human rights, and the effectiveness of civil society.

(2) The local government's institutional related issues with dimensions of public financial management, control of corruption, public administration delivery including the management of public procurement.

(3) The social and cross-cutting issues with dimensions to do with the local policy management process, the local budget process including local revenue management, local government service delivery, the gender question, sustainable environmental management and management of HIV/AIDS and related health factors.

(4) The local market governance dimensions that include issues to do with trade and business environments.

The Australian Governance and Social Development Resource Centre (2001: 25-29) further proposes four approaches to local governance assessments: (1) Assessments by citizens as principle stakeholders; (2) Assessments by local government institutions; (3) Assessments by central government as overseers; and (4) Assessments by civil society as watchdogs of local government activities.

This indicates that assessments are important tools for systemising information and data on the quality of local governance. In this way, assessments offer basis for Evidence Based Policy making and allow researchers in local government and civil society organisations to make informed opinion about reforms. In assessing local governments, information is collected on specific issues pertaining to local areas such quality of local policies, decentralised functions, accountability or even public participation is thus not a subset of national assessments; however, some tools of local governance assessment can also be used in national assessments. This involves assessing daily and particular needs of the people as opposed to national assessments that deal with real global issues.

UNDP in its *Users' Guide to Measuring Local Governance* (n.d.) highlights major reasons of assessing local governance. These include the need to identify gaps in policy implementation; identify specific capacity needs; formulate effective localised change plans; engage civil society and the private sectors in local governance; and account for the achievements of elected leaderships. The objectives of local government's assessments may be categorised as diagnostic, monitoring, evaluation and dialogue with communities to make informed decisions about shared goals (UNDP; n.d).

Indicators can generate both qualitative and quantitative data and can thus be classified in different ways. There are several classifications of indicators that assess quality of local governments. The categories include:

- *Input Indicators* that measure resources (financial, human, and materials) that are needed to yield outputs and the institutional environments in which local governments operate.

Process indicators which are procedures and actions taken to achieve results in local governments. These include the quality and functionality of administrative systems, local policy making capacity and procedures, planning and policy implementation

mechanisms. Here, there is a challenge of measuring the quality of engagement between the private sector and civil society compared to measuring government engagement. Issues to do with the quality of participation, accountability mechanisms, equity and even transparency become difficult to achieve.

- *Output indicators* that show the noticeable results out of known inputs and methods. They may be provisioned goods and services (such as schools, hospitals, water, road networks) or other public investments completed and the results realized. *Perception indicators* are opinion-based indicators that assess public perceptions over performance of their local governments on various issues such as control of corruption, public accountability, responsiveness and local service delivery.
- *Outcome and Impact Indicators* measure benefits (impacts) derived from long term processes or achievements of national development goals. These, in a way, measure the needs that have been satisfied.
- *Scorecards* give "Yes" and "No" answers that give different dimensions of measured components. Scorecards may not distinguish types of improvements and sometimes may not be able to assess temporal variations.
- *Scales* are rating devices that provide a range of responses from excellent to poor. Scales represent perceptions and views of individuals, which makes them highly subjective. One of the most widely used scales is the Likert Scale.
- *The governance Index*, such as the one used in Indonesia, measures aggregated and weighted governance dimensions that are compared among municipalities. It is created by combining individual ratings on numerous different scales/ dimensions into one number. This approach encourages municipalities to compete against one another although it has limitations of failure to address specific issues particular to specific municipalities.

However, any approach used to assess quality of local governments normally focuses on four broad areas: local governance, local democracy, decentralisation processes; and local government (Yilmaz, Beris & Serrano-berthet, 2008:16). In this regard, most assessments use the approach of cross-fertilization by mixing different approaches to provide stronger factual basis and foundation for planning and evidence-based policy making.

There are normative and value-oriented principles upon which local government assessments are premised. The UNDP *Users' Guide to Measuring Local Governance* (n.d.) endorses a

combination of principles to guide local governance assessment frameworks since there is no one integrated framework for "good" local governance. These include Representation democracy based on equality and equity; Public participation emphasising openness, fairness, transparency, accountability and responsiveness; Effectiveness of government policies; Security; Rule of law; and Civic engagement.

2.9 Participatory planning and budgeting

Participatory budgeting is a practice that enhances participation and improves local accountability in fiscal decentralisation. The whole process of involving citizens beyond the electoral process through the systematic budget preparatory meetings, participatory budgeting helps to boost local democratic values by nurturing civic engagements, and stimulating the development of local social capital. Although participatory budgeting is concerned with ensuring a better fit between the allocations of local financial resources to meet citizens' local needs, the participatory methods used can again help in addressing deficiencies manifested in local governance performance assessments (UNDP, n.d).

The history of participatory budgeting can be traced to Porto Allegre city in Brazil at the beginning of 1989 (Arritzer, 2002, pp. 12-13). Soon thereafter, and as part of the public sector reforms, participatory budgeting became part of sub-national budgeting in many countries throughout the world (UH-HABITAT, 2008, pp. 345-7). Originally, having been developed as an urban/ municipal budgeting approach, participatory budgeting has since been adopted by many countries in subnational budgeting for both rural and urban areas. Thus, the form of participatory budgeting continues to vary from country to country. In Uganda, participatory budgeting can be associated with the introduction of decentralisation policy in 1997 and is implemented through the local council system (Government of Uganda, 2010, p. 112). Since then, it has become a popular function of local governments where local communities directly participate in the budgeting process right from the parishes, sub counties, counties and districts by attending budgeting meetings and indirectly through their elected councillors. The objectives of participatory budgeting in Uganda were to enhance responsiveness at local levels by cutting down the bureaucratic red tape and build a governance practice of selecting local priorities for public spending.

The Local Government Act Cap 243 devolved six government functions to local governments' thereby promoting localism (Government of Uganda, 2010, p. 113). The act empowers

individuals and communities by involving them in designing and delivering public services through participatory budgeting.

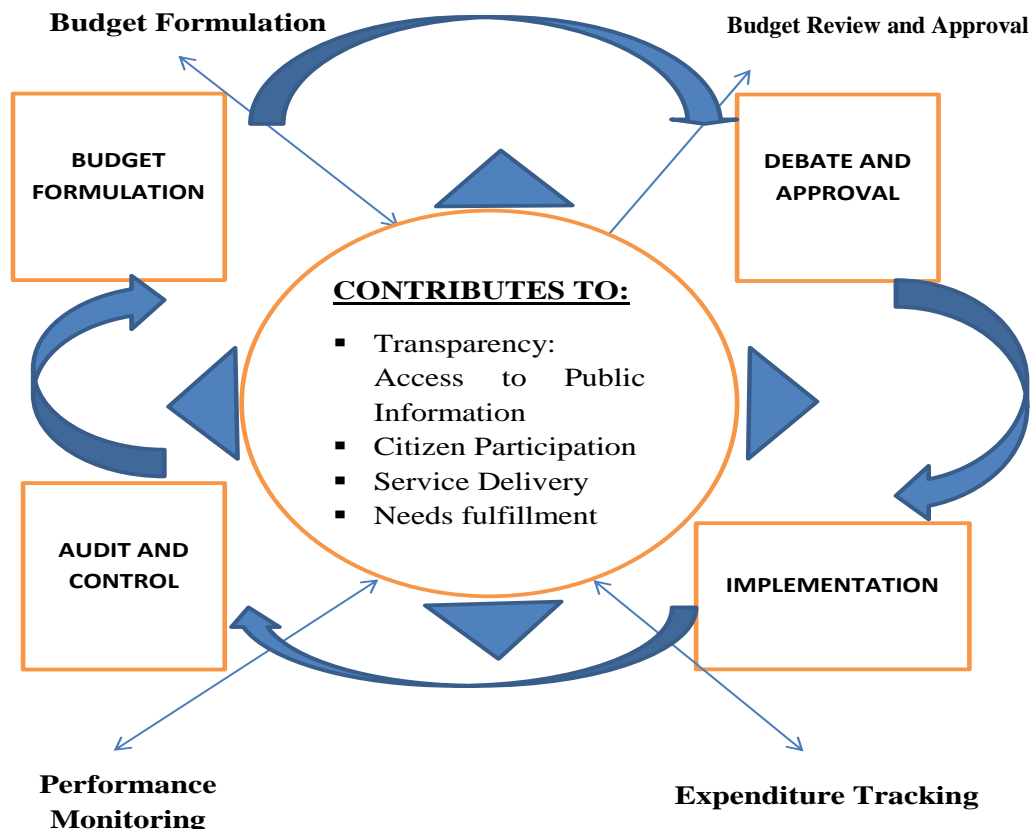
Participatory budgeting is premised on the theoretical assumption that citizens' demands determine public policy and that public officials are evaluated by comparing citizens proposals and what public officials actually implement (Enriqueta Arogones, 2008, p. 18). In Uganda, three phases of citizen involvement take place in the process of participatory budgeting. First, citizens get involved by choosing to attend (or not to attend) budget planning meetings and budget conferences whenever they expect that their participation in these activities will have (or will not have) an impact on the overall budget outcomes. Alongside their participation in the aforementioned activities, citizens directly elect local councillors to represent them on local councils that develop, pass, and implement the local budgets. However, the elected councillor can freely choose policies to be implemented without directly resorting to the electorate but based on personal preferences. Therefore, this means that the elected councillor has personal discretion to choose policy interventions, even when they are not in agreement with the choices of the electorate. Lastly, although budgeting is annual, local council elections take place only every other five years and any reflection of local councillors is based on their perceived performance in the last five years. Re-election is a vote of approval by the citizens to councillors who implemented the wishes of the people, as benchmarked on what the citizens proposed, and what the councillors eventually implemented. More than 80% of local councillors in Uganda fail this test and they are never re-elected.

There is therefore a cost benefit analysis undertaken by members of the society to participate in local budgeting. Citizen participation is reflective of the anticipated impacts of their participation in the overall budget implementation, gauged against the real costs of attending budget activities (Orsbone M.J., 2000, pp. 47-49). Participating in budgeting places public officials in an endless fix to always respond to the local concerns and to localize policy if they have to be re-elected in the next elections. Citizens get involved in identifying local priorities, participate in the allocation of resources, monitor public spending as well as policy responses all of which promotes responsiveness and localism (Guthries M.D., 2003, pp. 213-16)

The study therefore, was premised on the conviction that when stakeholders participate in the budgeting processes, the participating communities are enabled to get involved in determining local needs by identifying local resources to solve local problems (Kasozi-Mulindwa, 2013, p. 89). Secondly, stakeholder participation enhances responsiveness of governments to people's

concerns by involving them in prioritizing local needs in relation to local resources (Argarwala, 1984, p. 32). In conclusion, participatory budgeting is believed to enhance service delivery and promotes accountability, efficiency and effectiveness in local governments. Participatory budgeting has been conceptualized as in Figure 2.4.

Figure 2.4: Participatory budgeting conceptual framework



Adapted from Thindwa (2004: 14)

2.10 Assessment of capacity of local governments

Capacity development of local governments was defined as "a procedure through which persons, organizations and society generally attain, strengthen and uphold the capabilities to set and achieve their own development programmes (Government of Rwanda, 2015: 45).

The guiding principles of capacity building in local governments are that it should be demand driven, aim at improving quality, coordinated and harmonised and focusing on broader scope of capacity beyond traditional training (Scheepers, 2015:19). Local governments usually face four major tasks: (1) delivery of local public goods, (2) enabling economic development, (3)

enabling social development, (4) regulation and enforcement of local policies. To execute these functions, a number of challenges are being faced including inadequate budgets, institutional capacity and weak staff capacity. However, the most difficult challenge faced by local governments is capacity (both institutional and human resources) to perform their responsibilities (Boex, 2015: 1-28).

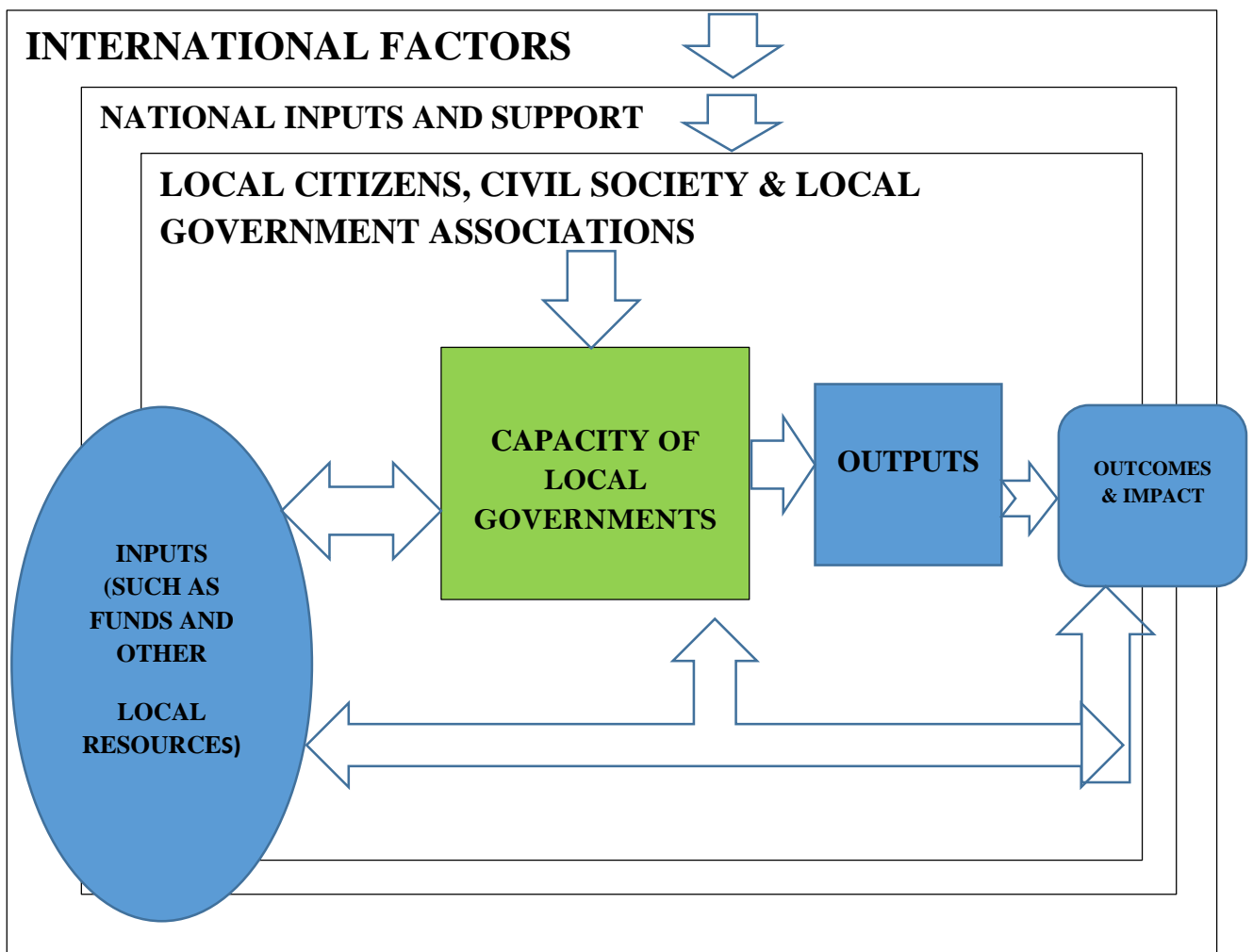
Institutional capacity of local governments is a task that is difficult to measure and is often associated with trainings of staff of local governments. Although it is undoubtable that many local government staff lack necessary skills to effectively execute decentralised functions, the broader implications of institutional capacity of local governments goes beyond staff capacity development. The focus is therefore on capacity development, which encompasses the processes of improving the ability of institutions to achieve their missions, objectives, visions and goals (Boex, 2015: 1-28).

Conceptually, local governments institutional strengthening requires districts to have a minimum level of institutional capacity to drive them to a path of self-motivation geared towards survival and prosperity. This means that external assistance only thrives when the internal interests and motivations of local government's institutions support it. According to Boex (2015: 1-28), for local government capacity to function effectively, it should be built on the internal and external relationships among its stakeholders. It should first be able to secure inputs required to achieve its objectives and later on be able to organise them to achieve intended outputs. In assessing capacity of local governments, it is important to look at both the internal institutional strengths as well as the external effectiveness of local, national and international stakeholders who contribute to the capacity of local governments.

The conceptual framework for capacity of local government institutions is illustrated in **Figure 2.5** In this analysis, the capacity of local government institutions is dependent on international factors such as global agendas and protocols which are adopted by national governments. In a similar way, local citizens and civil society organisations should have support for and aim at improving capacity of their local governments by building effective local social capital. At the same time, there are critical inputs in form of resources that are necessary for local governments to build capacity. These may include effective policies and legislations, budget support, values as transparency, accountability and participatory governance as well as a sustainable local economy. On their part, local governments should have capacity to transform inputs into

outputs, outcomes and impacts which convincingly measure the capacity of local government institutions.

Figure 2.5: Conceptual framework for capacity of local governments



Source: Developed by the researcher, 2018

Several approaches can be adopted to build capacity of local governments. One of the most effective approaches is to empower local government associations to educate their member local governments to understand the global developments that shape performance of local governments. Local government associations also lobby for the interests of local governments, offer a platform for exchange of ideas and provide technical services to local governments. This approach involves a lot of experience sharing among different local governments. However, in many cases, even the local government associations lack capacity to add value to their member local governments making capacity building of local governments even more complicated.

Barber and Morgan (2008:32) highlighted five capabilities that are critical for local governments to enhance performance.

1. Capability to adapt and self-renewal involves the capacity for strategizing, self-renewal, adaptation, managing change and repositioning.
2. Capability to act and commit involves leadership, empowerment developing a positive attitude, motivating leaders and staff, building confidence, building local identity and will-power.
3. Capability to deliver on development objectives entails capacity to develop systems to make it possible to achieve set goals and objectives.
4. Capability to relate to external stakeholders involves the capacity to manage relationships, accountability, networking, credibility, autonomy, and resource mobilization.
5. Capability to achieve coherence comprises the capacity to manage internal diversity, control fragmentation, balance stability with innovation, and manages complexity.

2.11 Summary of literature review

This chapter looked at some aspects of relevant literature that supported this study. To start with, the study was premised on Arnstein's Ladder of Citizen Participation Theory, which demonstrates how different forms of participation result into a series of differing levels of citizen engagement. A conceptual framework of the linkage between participatory governance and quality of local governments was illustrated showing an interworked relationship between these two variables. Literature was reviewed on assessing capacity of local governments; indicators of quality of local governments; participatory planning and budgeting; and finally a conceptual framework for capacity of local government institutions was developed and illustrated. The conceptual framework further shows how internal capacity of local institutions cannot squarely be blamed for the poor performance of local governments in much the same, as improved provisioning of decentralised services should not be attributed solely to effective leadership (Barber, 2013:13). All the above contributed to the theoretical foundation of the study.

CHAPTER THREE

LOCAL GOVERNMENT SYSTEMS IN UGANDA

3.0 Introduction

The administrative and political structures of local governments offer the framework within which local public policy is managed. Most of the everyday activities of the general public are affected by the services rendered by local governments (Zealand, 2006:16). Globally, there is no political system deemed complete and democratic without a system of local government. This chapter includes an overview on the meaning, nature, and scope of local governments. It addresses pre-colonial local government systems in Uganda; local governance under the colonial era; post-independence local government in Uganda; and local governance under President Idi Amin. It also discusses local governance under president Obote II regime; local governance under President Okello Lutwa; and decentralised local governance under the National Resistance Movement (NRM) regime.

3.1 Meaning, nature and scope of local governments: an overview

Local governments are important structures of promoting well-being of local people (Halfani, 1992: 2; Shah, 2006:6; Zealand, 2006: 12). Many everyday activities of the common people depend on services provided by local governments. Therefore, the importance of local governments cannot be underestimated considering the range of services they deliver to the common people and the various functions which local governments perform (Gomme, 1987: 5).

Local governments are premised on the principles of division of labour between local authorities and the central government; local authorities shoulder government functions that would be difficult to perform in local areas.

Local governments are difficult to define because of the multi-functions they serve (Box, 1988: 12). However, they can be described as governments comprising of universally elected councils with political, executive and administrative duties and responsibilities of matters concerning people of a certain locality together with those responsibilities that parliament deems necessary to be administered by local authorities. Similarly, they can be described as authorities with powers to make ordinances and bye-laws within a restricted geographical area inside a state.

Local government is a public sector management model characterised by democratic governance (Avenhaus & Kyriakopoulos, 2010: 12). The paradigm shift from local administration to local governance has developed because of the "extension of state duties and functions, and in order to fuse citizens' rights to participate in the management of their matters" (Avenhaus & Kyriakopoulos, 2010:12). In local governance, citizens conduct their local affairs by themselves within an administratively and geographically demarcated local authority, thus creating local governments that separate responsibilities and powers with the central government. Local governments are characterised by autonomy, by having elected leaders within a geographically demarcated region who are in better position to handle local affairs. Local government systems are based on participation and involvement of local citizens through elected local councils. Local councils give a chance to educate the local community on modern public policy management methods and good governance.

Based on the principle that local problems are better solved by people within that locality than the central governments, the terminology local government factually means the management of local concerns by local people (Bolaito & Ibrahim, 2012: 562-568; Leftwich, 1994: 1-28). This running of local affairs is usually entrusted to indigenous political councils which are regularly voted by the people in that particular locality. The central government usually prescribes the limits in which local governments operate although local governments are granted powers, responsibilities and some degree of discretion in exercising their functions.

Some of the most important powers of local governments include raising revenues through taxation and spending the same to finance local services. Therefore, local governments are public organisations with powers to manage a range of public policies in a small administrative territory. Humes and Martin (1961: 24) posit that "Local Governments enjoy mainly the following attributes: a clearly defined area, a population, capacity to sue and be sued in their names, contractual obligations, perpetual continuity, authority and power to undertake and conduct public activities and the duty and responsibility to collect local revenue and determine a budget."

The above analyses of local government definitions point to two important aspects: (1) there exists a relationship between central government and local government; and (2) there is a relationship with local communities. The guiding principles for these aspects are that local governments should be smaller and closer to the people in order to be efficient. When a local

government is big, it loses its representation objectives; indeed, a local government should be based on local needs and priorities.

In summary, local governments are a legal entity with powers to raise public revenues; they involve community participation; have some degree of autonomy from the central government, and are public organisations. There are six dimensions of local governments as organised social entities; integrated in the political system of a particular country; body corporate; economically significant with administrative powers directly on their civil servants; existing in a defined geographical and demographical area; and a unique environment that results into their birth, growth and development.

The statutory provisions of local governments in Uganda are provided for under Articles 176 and 180 of the Constitution of the Republic of Uganda as well as Section 3 of the Local Government Act.

Article 176. Local government system

(1) The system of local government in Uganda shall be based on the district as a unit under which there shall be such lower local governments and administrative units as Parliament may by law provide. The same is provided for under Section 3 of the Local Government Act.

Article 180. Local government councils

(1) A local government shall be based on a council which shall be the highest political authority within its area of jurisdiction and which shall have legislative and executive powers to be exercised in accordance with this Constitution.

3.2 Pre-colonial local government systems in Uganda

The history of local governance in Uganda can be discussed right from the pre-colonial times. Although the forms and structures of local governances differed greatly in form and content, it is evident that there existed some forms of local administration in both state and stateless societies. Before Uganda was formally independent and even before it was declared a British Protectorate, there existed both state and stateless societies from which Uganda as a nation was forged (Galukande-Kiganda, 2012:456). There were traditional forms of sharing power and division of responsibilities among the kings or paramount chiefs and the common subjects in distant regional boundaries. For example, in the kingdom of Buganda there were counties

(*saza*) headed by county chiefs; sub-counties (*Gombolola*) headed by Gombolola chiefs, parishes (*Muluka*) headed by Muluka chiefs, and villages headed by village chiefs (Galukande-Kiganda, 2012). These four tiers of local administration exercised some forms of decentralised responsibilities. Other forms of local administration existed among the kingdom states of Toro, Bunyoro, and Ankole. Even in the stateless societies, there existed paramount chiefs who delegated some of the cultural, religious political and administrative functions to tribal clan leaders.

These types of polities, which existed before the arrival of Europeans colonialists in Africa, were either centralized (state) or decentralized (stateless) political entities presided over by kings, chiefs, or military commanders (Kisangani, no date). The role of local administration in these regions was to facilitate the extraction of resources from different chiefdoms to the king's court. As already pointed out, there existed both state ruled societies especially in the inter-lacustrine region and the stateless societies mainly in the north. In the nomadic societies of Karamoja, local administration was built around the family system (Mamdani, 1976:7) while in the agricultural stateless societies in northern Uganda, local administration was premised on the clan (Bitaliwo, 2014:34). Some minimum level of social organisation and community administration was upheld through several cultural rites characterised by gift giving (Mamdani, 1976:7). This system of local administration depended on generational lineages which enjoyed administrative powers that they exercised through councils of elders. On the other hand, chiefs and clan heads, were selected by community elders (Burke, 1964: 67; Mamdani, 1976: 7). Therefore, noticeable differences in local administration existed between the northern and the southern parts of Uganda; the southern parts were more advanced and with fairly well time-honoured centralised local authorities than the northern societies which were organised at the level of families and clans. (Moncrieffe, 2004:7).

The kingdoms of Bunyoro and Buganda were prominent in societies that were governed by some formal state structures, although similar formal state structures existed in other kingdom societies of Ankole, and Toro also located in the interlacustrine region; all inheriting local administrative structures of the Chwezi dynasty.

In the kingdom of Bunyoro Kitara, local administrative was enhanced by social and religious cohesion as well as military dominance. The Chwezi dynasty that had practically created a caste system in this region, gradually crumbled to the Luo invasion (Bitaliwo, 2014: 39-41).

The Luo form of local administration was characterised by both cohesion and integration of religious, cultural and language backgrounds among themselves and the native agricultural communities. However, Bunyoro Kitara's central authority was extended to satellite states who sought its protection (Karugire, 1980:36). Local chiefs were appointed and granted extensive local administrative powers over their territories that led to institutionalised disobedience to the central authority and local infighting.

However, there were noticeable distinctions across kingdoms within the interlaccustrine region (Moncrieffe, 2004:16). For example, the kingdom of Ankole was class-based with the Bahima ruling class controlling local administration using violence and economic ownership of cattle. The royal kraal of minority Bahima pastoralists administered the majority Bairu (cultivators) and local administration radiated to territorial administration of chiefs and revenue collectors (**Bakungu**) (Steinhart, 1999:342-6).

Bitaliwo (2014: 42-43) explained the evolution of Buganda's local government system to having been premised on three factors: "(1) the existence of a settled agronomic society, whose leadership advanced policies that tried to mediate the disputes that categorised such societies. (ii) the initial leadership was territorially scattered in terms of hierarchy with orderly clan heads (**Bataka**) who enjoyed dual religious and political functions within their clans. (iii) The clan heads were later subject to the hegemonic institution of the Kingship (**Kabaka**)". For about 550 years the kingship had to initiate policies that consolidated Kabaka's role, and controlled and at times accommodated the challenging power interests of the numerous **Bataka chiefs** and the society at large. In so doing, the Kabaka exercised supreme power over Buganda kingdom through numerous institutions and administrative apparatuses.

The Buganda society was patriarchal and the reigning Kabaka identified with his mother's clan but remaining the overall head of all clan heads (**Sabataka**). There were local chiefs (**Bataka**) with geographical, political and religious powers who translated into a hierarchically ordered but appointed chiefs (**Bakungu**); these were appointed based on loyalty and merit to effect local governance. The tenure of the Bakungu was determined by the Kabaka and sometimes included non-Buganda although members of the loyal family were excluded from local administration appointments (Kaggwa, 1953:20; Moncrieffe, 2004: 1-35). There was a head of the Bakungu (**Katikilo**) who was a chief minister who also administered the kingdom's day-to-day governance.

In the eastern parts of current day Uganda, there were various tribes in varying sizes of chiefdoms. There was a hierarchical nature and functionality of these chiefdoms through which local administration was exercised. This hierarchy was in such a way that the chief was the head and assisted by either a council of elders or clan heads depending on the polity (Wakabi, 2008: 16-21).

In Bukedi, Bugisu and Teso, the chiefdoms constituted small polities, which hardly existed beyond a village. The same societal arrangement existed among the Samia-Bagwe where the **Nalundiho**, the traditional chief, exercised local administration functions in a geographical area almost equivalent to that of a village head (Wakabi, 2008: 16-21).

Among the Iteso and the Karamajong, local administration functions involved political and military activities that were organised around the “*age set-system*” where political and administrative decisions were made by a council of elders, chosen in age cohorts (Wakabi, 2008).

In the northern parts of Uganda, the people were also organized in small chiefdoms. For example, among the Alur and the Jonam, the political head, the **Rwoth** also known as **Ubino** or **Rwot** among the Acholi, was the centre of local administration. Among the Langi, the political head as **Won-nyaci** and exercised similar local administration functions.

Needless to mention that the political as well as cultural leaders in eastern and northern Uganda did not enjoy absolute powers and authority over their subordinates like the kings of the southern kingdoms. These were leaders among equal social groups whose political decisions were subject to enquiry by the elders’ council.

Local administration among the Kakwa, the Lugbara and the Madi were based on lineage. The political head, the **Opi**, enjoyed religious powers and administered local matters with the assistance of a local council thus organizing the society in some form of order that constituted local administration (Wakabi, 2008: 16-21).

3.3 Local government under colonial rule

There are contradictions on the underlying motives of British local government policy in Uganda. Olok-Onyango (2007:1-58) believes that colonial legislations on local government

demonstrated only promoted administrative efficiency and the prevention of political challenges to the colonial government. On the other hand, Wakabi (2008:16-21) argues that the British colonial administrators concerns in the existence of local government was defended on the basis that it was a crucial aspect of the process of democratization and intensification of mass participation in the decision-making process. As it happened elsewhere in Africa, the British colonialists sought the cooperation of traditional chiefs to administer the colonies more effectively (Low 1965; 12). Gakwandi (1992:123) points out that before the declaration of a British protectorate over Uganda; there were more than thirty ethnic groups with divergent political systems. However, pre-colonial institutions continued to control local administration in the post-colonial Uganda (Gennaioli, 2005:1-27).

Moncrieffe (2004, p.6) urged that British policy of local administration was in Uganda was both direct and indirect-rule and produced " radicalized state and civic societies in a tribalised rural population through decentralized dictatorship. The Baganda chiefs were contributory to 'mediating British rule's centralized form of administration that was exercised by direct-rule that excluded native establishments and practices and commanded conformity with British colonial directives."

In the period 1884 to 1962 when Uganda was under British colonial rule, colonial administrators ruled Uganda through an organised decentralised structure that was operationalized through several colonial bye-laws and ordinances (Ministry of Local Government, 2014). The Buganda Agreement of 1900 signed by Sir Harry Johnston and similar agreements with the kingdoms of Tooro, Ankole and Bunyoro became milestones in colonial local administration in Uganda. These agreements unified the loose kingdoms, chiefdoms, and territories into a unified country, Uganda, into a local administration system based on tribal districts (Karugire, 1980: 23). Several ordinances were gradually enacted to effect local administration in the Ugandan protectorate. For example, the Native Authorities Ordinance of 1919 gave district commissioners administrative powers over appointed chiefs based at county, sub-county, parish and village levels (Galukande-Kiganda, 2012:304-314).

Similarly, the 1949 Local Government Ordinance proved to be the most effective colonial ordinance that ushered a decentralised system of local administration to the Ugandan protectorate (Galukande-Kiganda, 2012:304-314). This ordinance recognised the already customary four kingdoms of Buganda, Ankole, Bunyoro, and Toro and the eleven districts that

covered the rest of the Uganda Protectorate. This ordinance also formed elected district councils that were authorized to oversee district administration in their respective areas (Galukande-Kiganda, 2012: 304-314). The district commissioner as well as the local chiefs remained in charge of the colonial government (Ojambo, 2012:569-587). The elections to district councils conducted in 1950s conferred responsibility of district administration on the elected councils. The Protectorate government admired the Buganda system type of local administration and used it to spread their influence and administer all parts of Uganda on the basis of indirect rule. Baganda chiefs who were mainly tax collectors and law enforcement cadres were appointed by the British colonial administrators and assigned local administration duties in other parts of the country as “British scouts” (Makara, 2018: 22-32). The Baganda chiefs replaced the local clan heads in the pre-colonial hierarchy who were now directly under the colonial administration. Karugire (1980:35) explained, “The 1949 Ordinance was the legal instrument by which tribally-oriented local governments were established in Uganda”.

The system of indirect rule was described by Apkan as cited by Gakwandi (1992: 22-24),

By indirect rule, I mean a system of administration which lives in existence the administrative machinery which had been created by the natives themselves; which recognizes the existence of Emirs, chiefs and native councils, native courts of justice ... as real living forces, and not as curious and interesting pageantry; by which European influence is brought to bear on the native indirectly through his chiefs, and not directly, through European officers – political policy etc., by which the European keeps himself a good deal in the background and leaves the mass of native individuals to understand that the orders which come to them emanate from their own chief than from the all-pervading white man.

The District Administration Ordinance of 1955 created local councils at district and county levels and offered them several local government functions that included collecting and spending locally collected revenues and taxes.

The Local Administration (Amendment) Ordinance of 1959 sanctioned the Governor to appoint District Chairpersons and other members of district appointed boards (Ministry of Local Governmnet, 2014).

3.4 Post independence local governments in Uganda

Post-independence local governments enjoyed federal and semi-federal status with decentralized powers while the districts upheld the unitary affiliation with the central government (Galukande-Kiganda, 2012: 304-314). For example, the four kingdom states (Buganda, Bunyoro, Tooro, and Ankole) had powers to raise revenue through taxes, draw and implement budgets and provide a range of public services. However, areas that were governed under district councils continued to provide public services as they had done before independence, entirely relying on the central government for funding in a the concentrated system. As in the colonial administration, the central government supervised district councils in spheres of democracy, governance and accountability (Karugire, 1980:34). In all, the colonial indirect rule mechanisms remained in place and were enjoyed by the independence government.

The 1962 created the first efforts in the direction of decentralised governance in post-colonial Uganda (Galukande-Kiganda, 2012: 304-314). Kothari (2003:12) opined that the British colonial strategy to maintain the integrity of local administration in Uganda at independence involved an intricate federal constitution. Under this constitutional arrangement, the Kabaka of Buganda, which was the largest ethnic tribe in the country, served as the president, while Apollo Milton Obote, a Nilotic, as prime minister. Under this semi-federal constitution, there were attempts to devolving powers of the central government to lower levels particularly in the functions of tax administration, rural water and roads maintenance, land management, , agricultural extension services, and basic primary education(Galukande-Kiganda, 2012).

This 1962 independence constitution also gave federal status to the kingdom of Buganda and semi federal status to Ankole, Bunyoro, and Toro kingdoms as well as the territory of Busoga. The other parts of the country were administered via locally elected district councils. These areas included the districts Bugishu, West Nile, Sebei, Bukedi, Madi, Acholi, Kigezi, and Lango (Ojambo, 2012: 569-587). The overall local administration structure at independence comprised of ten districts, one special district of Karamoja and the four kingdoms (Turyahikayo-Rugyema, 1974: 16; (Kaggwa, 1953: 2-34))

3.5 Local governance after the 1966 crisis

The 1962 constitution was repealed and replaced by the Republic Constitution of 1967 that

re-centralised nearly all the local government functions formally granted by the 1962 independence constitution. Particularly, the Local Government Ordinance of 1962 was repealed and the 1964 Urban Authorities Act as well as the 1967 Local Administration Act were later passed into law. These new legislations acts re-centralised all the functions granted to local governments and the powers of local governments were vested in an appointed minister responsible for local administration, who was directly under the control of the head of state (Nsibambi, 1988).

Under the 1967 constitution the kingdoms of Uganda, Bunyoro, Tooro, and Ankole kingdoms were sub-divided into districts and all districts in the former kingdoms had the same relationship with the central government with levelled powers as other districts in the country (Republic of Uganda, 1967). Accordingly, the 1967 Local Administration Act was passed and rendered district councils agents of the central government. The term "local government" was replaced by "local administration" to emphasise the recentralisation objectives of the 1967 constitution and the consequent usurped powers of local authorities (Smith, 1993: 1-57; Makara, 2018-22-32). Key local government functions, including passing of budgets and designing of development plans had to be approved by the central government minister responsible for local administration (Birungi et. Al, 2000: 26-49).

3.6 Local governance under president Idi Amin

From 1971 to 1979, the country was under the reign of president Iddi Amin. In his tenure in office, President Amin dissolved parliament and the constitution, and suspended the rule of law; and instead administered the country by military decrees. Although districts councils and urban councils were dissolved, in 1974, the total number of districts were increased to 38 and grouped into ten provinces that were headed by royal military generals honoured as governors (Ojambo, 2012: 569-587). In this period of time, there was total breakdown of all government institutions including not to mention all local government structures, the economy, and even security (Galukande-Kiganda, 2012: 304-314). In 1970s, an attempt was made to name districts following certain criteria that based on social, economic and political grounds. Each district was divided into counties, sub-counties, parishes and villages as was the case during the colonial period (Karugire, 2010: 7-56).

The period following the overthrow of Iddi Amin's military government was characterised by pintsized efforts to re-instate local governance. When the 1981 general elections were, there was no provision for holding local council elections were. However, the 1976 Local

Administration Act which had been repealed by President Iddi Amin was re-instated and district commissioners were re-appointed and posted to all districts by president Milton Obote. The restored district commissioners were appointed basis on their loyalty to the ruling Uganda People's Congress political party. Local government staff were recruited by the central government public service commission and deconcentrated to any district. Posting instructions and transfers were conducted by the Ministry of Public Service.

During this period, there were limited efforts to re-establishing district administration councils and to hold local elections. This state of affairs culminated in a popular requests to re-establish democratic local governance and to re-instate peace and security in many parts in the country. Most regions especially in central Uganda were under the Luwero civil war thatin resulted the National Resistance Movement - NRM capture state power in 1986.

3.7 Local governance under president Milton Obote II regime

When President Milton Obote regained power through the 1980 elections, he reorganized the local government structure according to the 1967 Constitution and operationalized them under the 1967 Local Government Administration Act. The short-lived period of Obote II (1981-1985) was characterised by rebellion by the National Resistance Army that escalated into a civil war. This period, the local government system reverted to the situation that existed between 1967 and 1971; the 1967 constitution was re-established that highly centralized local administration. Notable among this period, was the extensive central government patronage in local administration functions. Local administration chiefs were appointed by the central government from cadres of the ruling Uganda Peoples' Congress (UPC) political party and chiefs who subscribed to other political parties were dismissed (Mutibwa, 1992: 1-57).

3.8 Local governance under president Okello Lutwa

The Okello Lutwa coup led military government that replaced the UPC government in 1985 was too short-lived to institute any administrative changes in local governance. The 1967 Constitution and the Local administrative Act remained in place. There was insecurity in many parts of the country with emanate state capture by the National Resistance Army with whom President Okello Lutwa was preoccupied in fighting.

3.9 Decentralised local governance under the NRM

The local government system that was introduced by the NRM government in 1992 has always been regarded as exceptional in African countries in relation to the scale and scope of

devolution of government functions to the local councils. Francis and James (2003: 325) commended Uganda's local government reform agenda as "one of the most far-reaching local government reform programs in the developing world". Mitchinson (2003: 241) posited that it as "one of the most radical devolution initiatives of any country at this time". (OECD (1997: 61) commended the decentralisation system to having "produced a fundamental change in the institutional arrangements through which authority has been managed and services delivered".

At the time the NRA state captured power, democratization and good governance were by this time very critical public administration requirements (Steiner, 2006: 76). Even before seizing state power, the NRA civil war military tactics of had established grass-root community based mobilisation strategies that were popularly known as '*Resistance Committees*'. In every locality the NRA fighters seized territory, local populations were mobilised to form these nine member resistance committees. The objectives of these committees included to safeguard and maintenance of local security and the provision of alternative to local governance structures, which were at the time lacking because of political neglected by President Milton Obote's government . Besides local governance the resistance committees would also handle local dispute resolutions, manage environment, mobilise resources, and maintain local security.

Gradually, elected members of the local resistance committees were converted into mobilisers, spies, and political cadres of NRM (Galukande-Kiganda, 2012: 304-314). The civil war *Resistance Committees* were finally changed into '*Resistance Councils*' and entrenched into the local government system. By 1987, the Resistance Councils and Committees Statute was passed and it paved way to the conduct of the first ever non-political party elections based on the resistance councils structures. The elections included those of Village /Cell Resistance Council 1; Parish / Ward Resistance Council 2, Sub-county/ Town Council/ Municipal Division Resistance Council 3, Municipalities/ County Resistance Council 4, Districts/ Cities Resistance Council 5 and the National Assembly- National Resistance Council –NRC.

A committee of experts was appointed headed by Professor .Mahmoud Mamdani was appointed to study and recommend an appropriate local government system for Uganda. After thour research, the committee recommended the decentralisation system based on the resistance committees/ councils' structure as appropriate local government system.

In Uganda, the decentralisation local government system was launched in 1992 and in the following year (1993), the Local Government (Resistance Councils) Statute was passed by the NRC. At around the same time, the Constituent Assembly (CA) recommended decentralisation

as the system of local government and the 1995 Constitution adopted devolution as the type of decentralisation. Decentralisation was operationalized in 1997 in the *Local Government Act – LGA*. Under the LGA., *Resistance Councils* were change name to ‘*Local Councils*’ and were granted six devolved local **government functions**, namely planning, executive/ political, budgeting, legislative, administrative, and judicial functions. (Government of Uganda, 1995).

In turn, the local government system is organised around the district as the basic unit of local government and under which are several lower local governments and administrative units (Government of Uganda, 2010). In this arrangement, the district(for rural areas) that is equivalent to the city (in urban areas), is a higher local government (HLG); while Municipal and Towns councils are lower urban local governments (LLGs) in the districts where they are located. Sub county councils are rural lower local governmnets as well.

There are also Local Council 1(LC1), Local Council 2 (LC2) and Local Council 4 (LC4) (in rural and urban areas). These are administrative units of their respective local governments and do not exercise devolved government functions. In rural areas, they are the village councils (LC1), parish councils (LC2), and county councils (LC4). While in the urban settings, the village councils are known as cell councils (LC1), the parish councils known as ward councils (LC2), and there are also town board which are transitional administrative areas before being confirmed as town councils.

In terms of numbers, as by 1 July 2016, there are 134 districts, 249 counties, 1,403 sub counties, 7,431 parishes, and 57,842 villages that overall total to 67,060 local governments and administrative units (Ministry of Local Government, 2016). More local governments are in the offing.

Table 3.1: The local council structure

| Local Council Level | Rural | Urban |
|----------------------------|--------------|---------------------|
| LC 5 | District | City |
| LC 4 | County | Municipality |
| LC 3 | Sub county | Municipal Divisions |
| | | Town Council |
| LC 2 | Parish | Ward |
| LC 1 | Village | Cell |

Source: Researcher ,2018

Directly elected local councils with the district as a unit and other lower local governments and administrative units govern local governments. The elected local councils have supreme political, executive and legislative powers over their areas of jurisdiction (Government of Uganda, 1997). Local councils are highly representative and are composed of elected chairpersons; councillors representing electoral areas; two youth councillors, one of them female, two councillors with disability, one of them female; two elderly persons, one of them a female; and one third of the whole council should be women. The chairpersons of local women, youths, and disability councils, as well as elected leaders of higher electoral constituencies in a particular local government are *ex officio* members of council (Government of Uganda, 2000).

The district council is the supreme political organ in the district presided over by an elected chairperson who is the political head of the district with executive powers to appoint and disapprove secretaries. Every district has a district council as its legislative arm of the local council with powers to make ordinances and byelaws. District councils are required to conduct their business through the council standing committees of Production and Marketing; Health and Environment; Education and community development; Finance; and Works and Transport.

Civil servants in a district local government are headed by the Chief Administrative officer (CAO) who is the accounting officer and is responsible for the implementation of lawful council decisions and overseeing the performance of local government officials in the district. The central government appoints the CAO. The rest of the district staff are employees of the district recruited by the district service commission on guidelines issued by the central government public service commission.

Local councils are mandated to provide the basic public services to the local communities and to bring service delivery closer to the local people (Ministry of Finance Planning and Economic Development, 2013). The *Second Schedule* of the LGA gives the functions of the central government and local governments and specific functions for districts and lower local governments in both rural and urban areas. In all, most of the operational government functions other than those of maintaining macro stability are vested in local governments. The objective of involving many stakeholders at all levels of local governments and administrative units was to improve quality of service delivery at the grassroot level.

3.10 Summary

From the above, it is evident that Uganda's local governance systems and structures have undergone several reforms from the pre colonial era, under colonialism, and post colonial era. What is clear is that the local government system under the NRM government brought the most far reaching reforms in local governance than the previous local governance systems. On basis of this reality, this study concentrated on evaluating the NRM local participatory governance in as far as it has improved quality of local governments.

CHAPTER FOUR

RESEARCH DESIGN AND METHODOLOGY

4.1 Overview research design and methodology

The chapter aims at explaining the methods that were used in the study aims and objectives. In this study, the primary objective of the study was essentially to evaluate the nature and form of participatory governance for enhancing the quality of local governments in Uganda. Based on the available literature, a conceptual model and hypotheses concerning the nature and form of participatory governance for enhancing the quality of local governments in Uganda were developed. To examine the key determinants of the nature and form of participatory governance for enhancing the quality of local governments in Uganda, users were asked to respond to a number of survey questions measuring the different constructs included in the proposed theoretical model.

Chapter Four summarises the methods used to collect and analyse data. The specifics of the methods applied in the study are explained in details. The Chapter includes the philosophical perspective; Research Design; Sampling Strategy; Data Collection Procedure; Development of the Survey Questionnaire; Data Analysis Techniques and Procedures; Ethical Considerations and Conclusion.

4.2 Study philosophical perspectives

Guba and Lincoln, (1994: 106-110) consider research paradigms as frameworks within which the researcher works. They are considered as basic beliefs that guide the researcher consciously, or unconsciously and as such should oblige to the conventional rules and standards (Kuhn, 1996:10). They provides boundaries from where the researcher is expected to conduct the as a guide to the researchers. Easterby-Smith et al. (1991:4), consider research designs as the complete configuration of pieces of research.

Bryman, (2001:18) asserts that in academic research, several factors, influence selection of the research methodology These include the type and nature of research questions, the phenomenon under investigation, the degree of objectivity required in the research contexts against behavioural events, and even the researcher's own philosophical stance (Hussey & Hussey, 1997: 5).

Accordingly, Guba and Lincoln (1994: 106-110), urge that the foundations academic research may involve the paradigms of epistemology, and ontology, epistemology and methodologies. Bryman, (2001:43) states that Ontology is the study of what naturally exists in the world whereas epistemology investigates how knowledge in the external world is acquired through research. Burrell and Morgan (1979: 76) further urge that epistemology is the study of knowledge theories while ontology concentrates on pursued realities (Scott, 2000: 18). Accordingly, Burrell and Morgan (1979: 24) state that the researcher can connect the nature of information being either hard, real or capable of being conveyed in some physical forms, by either being softer, spiritual , subjective, and even transcendental, being based on the experience and insights of personal nature. Epistemological assumes that in instances to determine extreme positions on questions whether knowledge is something, that is capable of being acquired or just something, that has to be experienced personally on the other.

The researcher attempted to be very objective in this study, by being distanced from the research participants who were the subjects under investigation in in this way, the researcher was able to capture time and context free generalisations.

Research methodology usually has two dominant paradigms, namely interpretivist and positivist (Mingers, 2001:2). The interpretivist paradigm is usually qualitative in nature while the positivist paradigm is usually quantitative. In any case, both philosophical paradigms are associated with positive and negative impacts depending on the study context although they drive at the same concerns (Bryman, 2001:7). This study tends to have detailed discussion about the two paradigms give the rationale to relying on the mixed approach as adopted in this study.

4.2.1 Positivist methodological paradigm

The positivist research paradigm applies methods grounded in natural sciences to study research situations. The paradigm views reality as being objective and capable of being measured and uncovered (Gall et al., 2007:17). The paradigm was named positivism, in association with the works of the French philosopher Auguste Comte and has taken central stage in academic research since those days. (Cohen et al., 2007:123). The methodological paradigm of positivism relies on the application of scientific methods to produce numeric and alpha-numeric data by relying on statistical approaches and tools for data analysis and interpretation. Because the variables are quantifiable, statistical data is used as proxies in study populations and in effect it is able to control external influences.

Ayer (1959) as cited in Johnson and Onwuegbuzie (2004: 14), urges that even when social observations are conducted under this the positivist paradigm, they should be done in a manner similar to how physical phenomena is handled in physical science. In this way, the observer must keep detached from the subjects by keeping distance from study participants under investigation. The objective of detaching researcher from the subjects is to ensure that social science research is as objective as possible enabling the investigator to establish the validity and the reliability of the study problem and methodologies used. By using deductive reasoning, the investigator is able to postulate and test the validity of the hypothesis being tested.

4.2.2 The interpretivist research paradigm

Interpretivist as a research paradigm emerged in the early 1960 as a research intervention to the challenges and constraints of relying on the positivist research methodology in social science. The philosophical argument in favour of interpretivist is that the world should not be viewed as an objective reality but as a subjective interpretation of human behaviours and experiences (Bryman, 2001: 8). According to Schwandt, (2000) as cited in Johnson and Onwuegbuzie (2004:10), the qualitative purists, also known as Constructivists or Interpretivist, argue in the support of the superiority of constructivism, relativism idealism, hermeneutics, humanism, as well as, postmodernism. The assumption is that there are several constructed realities; to which, time- and context-free conclusions may neither be necessary nor acceptable in social research. In any case, it may not be possible to distinguish fully causes and effects for which definite generalisations and attributions are based. Guba (1990:5) further remarks that the knower and known may not easily be separated, and that a better approach to establish the reality is more subjective rather than objective. As such, writing qualitative research involves a lot of descriptions, giving as much information as possible in contrast to the detached and formal style of quantitative purists.

The same ideas are shared by Davison, (1998: 9) who contends that only subjective interpretations and interventions of reality can enable researchers to comprehend the actual reality. Therefore, interpretivist assertion that reality may not necessarily be objectively established but rather, it is constructed socially and subjectively. Under the interpretivist paradigm, there is there are more chances of comprehending the views of people regarding or concerning their activities by studying the social settings where they reside.

By its very nature, Kaplan and Maxwell, (1994: 123) therefore urges, the interpretivist advocates the use of qualitative data in development of knowledge. In this way, qualitative

methods in social research enables researchers to study social and cultural phenomena as they unfold themselves in particular contexts and times. This means that qualitative research is built on induction and the data collected and scrutinised, are built on theories of evidence that are extrapolated from that data.

4.2.3 Research approach adopted in this study

The study was carried out to evaluate the nature and form of participatory governance for enhancing the quality of local governments in Uganda. The investigator based on various theories and models as are popularly applied in the area of participatory governance, a theorized model of the nature and form of participatory governance for enhancing the quality of local governments in Uganda was developed. The study adopted both the quantitative and the qualitative methodologies. The positivist paradigm was used to test empirically and validate hypotheses in the study in as far as they were consistent with the study area. This was in agreement with Hussey and Hussey (1997: 4) who suggested the positivist process critiques literature to identify appropriate theories and construct hypotheses from them. The qualitative methodology was sequenced in to supplement and sequencing on the quantitative methodology.

4.3 Research design

While increased participation by the intended beneficiaries is a commendable objective of participatory governance, evaluating the impacts of participatory governance can be methodologically complex. Therefore, the traditional approach is not to use a one-size fits all approach to measure the impact of community participation (Kohler-Koch, 2008: 3-12). This study was based on an evaluation design using both qualitative and quantitative (mixed) methods of investigation. The use of a mixed methods approaches was based on the belief that together qualitative as well as quantitative data sequentially collected, analysed and interpreted was useful in augmenting data validity and reliability and its eventual interpretation (Zohrabi, 2013: 2-9). In this case, indicators of quality of local governments were reflected in the multi-local government functions such that both objective and subjective performance indicators were evaluated.

Research designs enable a researchers draw research boundaries by explaining study settings, the forms of inquiries that need to be conducted, the units of examination and the limitations of the study. Research designs are therefore research blue prints that guide research projects to be able to generate answers to research hypotheses and questions. The most common

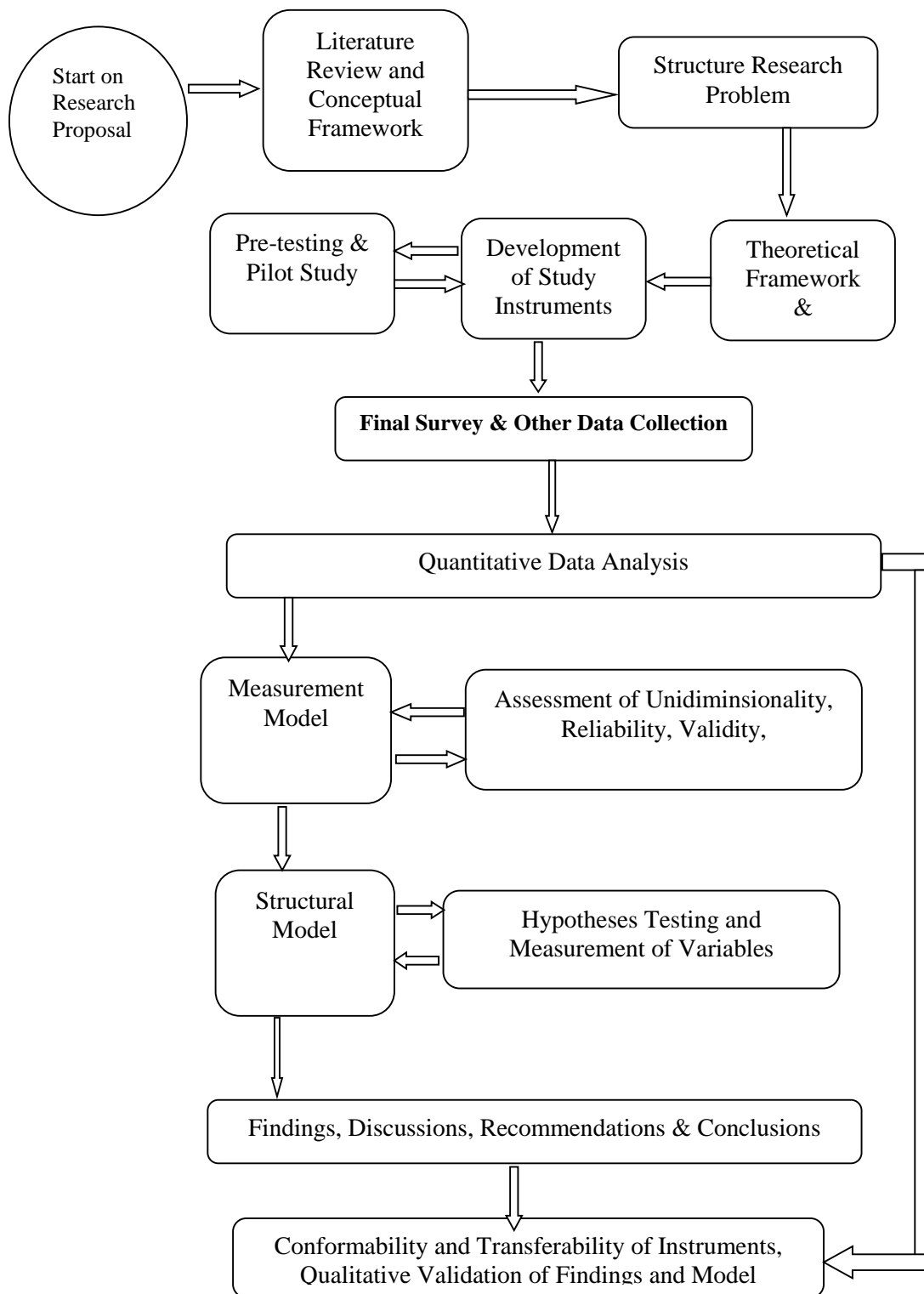
research designs according to Cooper and Schindler, (2001: 65-70) are descriptive, explanatory and exploratory.

In agreement with Churchill, (1995), the study employed the exploratory research in obtaining background information concerning the research problem, develop hypotheses, critique theories, and review related literature. Consequently, the researcher identified hypotheses and constructs based on reviewed literature and related documents. In this way, the investigator was able to establish the research problem and study objectives that focused on testing of an integrated model, which evaluates the nature and form of participatory governance for enhancing the quality of local governments in Uganda.

Sequentially, the study adopted the descriptive research design to establish unique characteristics of respondents as well as to determine frequencies, means, percentages, and standard deviation of the variable. Zikmund, (2000: 27) urges that descriptive research alone may not substantially explain the relationship among the variables necessitating some form of explanatory research to be used to further explain relationships and associations among variables.

The detailed flow of the research design is illustrated in Figure 4.1. The study started by reviewing existing literature and structuring the research question. The research proposal was developed, piloted and pretested. From that stage, data collection instruments/ tools were developed and assessed for unidimensionality, reliability and validity. Hypotheses were tested and a structural model was developed. Findings, discussions, recommendations and conclusions were developed and finally, validated by qualitative interviews, observations and group discussions.

Figure 4.1: Research design



Source: Researcher, 2018

In this study, the researcher started by collecting quantitative data based on a questionnaire based survey approach. This aimed to obtain data concerning the nature and form of

participatory governance for enhancing the quality of local governments in Uganda in the study area. In this direction, cross-sectional investigation that employed a questionnaire survey approach was carried out for to collect the quantitative data. This methodology was used in agreement with Creswell, (1994) as it offered more precise means of appraising the sampled data and enabled the researcher to draw deductions about generalising the results from the sample population. Moreover, Sekaran (2000: 12) urges that the survey method is quicker, efficient, and can easily be administered to a large samples.

Besides, the research was conducted based on the two-step approach in the Structural Equation Modelling (SEM) and analysis. The first step involved the measurement of the model to establish the unidimensionality, validity, and reliability of latent variable using Confirmatory Factor Analysis (CFA). The second step involved dealing with the structural model procedures to examine hypothesised relationships among the latent variable in the proposed model.

In order to qualitatively validate the findings, the study relied on interviews, literature review, and observations. Because both qualitative and quantitative methods have limitations, the biases inherent in any single method were neutralized by the biases of the other method. Results from the quantitative questionnaires were useful in informing the qualitative interviews, observations and documentary review. The study applied the strategy of sequential procedures as recommended by (Creswell, n.d.:9-20). In order to expand the findings of one method with another method, findings from quantitatively testing hypotheses were followed by a qualitative exploration with a few people in interviews, observations and guided documentary reviews.

In some cases, the researcher visited some research sites and observed the forms of participations while at the same time conducting broad interviews with respondents about participatory governance and quality of local governments without relying on the interview guide. Quantitative approach was used by the researcher primarily to test positivist claims and develop knowledge using specific variables and hypotheses constructed in structured questionnaires to generate statistical data. Similarly, the researcher used qualitative approach to generate knowledge claims primarily based on constructivist claims (such as personal experiences) or participatory perspectives (such as politics or social problems) or both.

As Yin (2011:216) stated, the choice of qualitative research enabled the researcher conduct in-depth investigations about a broad forms of inquiries in everyday terms. Moreover, qualitative research represented the views and perspectives of the real people out there, covered the contexts within which they lived; contributed insights into existing and emerging concepts, as

well as relied on multiple sources of evidence instead of depending on a single source of information. Although a formal qualitative research method may not exist (Yin, 2012:64), this study relied on several practices:

1. Relying on flexible research designs that gave several choices especially in selecting the samples but concerned with generalisations.
2. Collection of field data that captured the contextual conditions as well as respondents' perspectives by way of examining raw data.
3. Analysed non-numerical data using both computer based software's and manual colour coding.
4. Qualitatively interpreting the findings that involved challenging conventional generalisations and common practices and beliefs

In order to evaluate quality of governments, the study used both hard measures and perception based indicators. Hard measures were used to quantitatively evaluate quality of local governments in terms of performance to key outputs of decentralised functions. These included evidence of development plans and budgets as well as public participation in local government activities such as voter turn-up. Perception indicators were qualitatively used to evaluate quality of local governments in terms of citizens' perceptions, impressions, and views about the performance of their local governments in relation to the key outcomes of government programmes such as corruption, nepotism, value for money or the quality of the public good.

4.4 Empirical study

The empirical portion of this study comprised in-depth investigation of participatory governance in the following organisations: Ministry of Local Government (MoLG); six local Governments (both High Local Governments – (HLGS) and Lower Local Government (LLGs)); Ministry of Gender, Labour and Social Development (MGLSD); Office of the Prime Minister (OPM); six district Non- Governments Organisation Forum (DNGOF); and the public.

4.4.1 Target population

The study targeted six selected districts in Central Uganda together with their respective sub-county governments, political and technical staff, district NGO forums and the public.

4.4.2 Sampling frame

The sample frame of this study consisted of the 25 districts in the central region of Uganda as of July 2017. The list of these districts is provided as **Appendix 5**.

4.4.3 Sample method

The study used both probability and non-probability sampling techniques. For probability sampling, the simple random sampling and stratified sampling techniques were used. Strata, in form of sub-counties was created out of sample districts from where random samples were selected. In the case of non-probability sampling, judgemental and convenience sampling techniques were used. Key local leaders and technical staff were purposively sampled while respondents from CSOs and civic leaders were conveniently sampled. Using both sampling methods was important in this study because, whereas probability-sampling methods ensured a high degree of representativeness and generalisation. Although it was time consuming and relatively expensive, it could not be avoided. Consequently, in some cases, non-probability sampling methods were used to save time and for convenience especially when the investigation did not need to be generalised.

4.4.4 Sample size

The sample size was 25% of the twenty-five (25) districts of Central Uganda totalling to six districts. The districts were randomly selected using *The Table of Random Numbers* (see **Appendix 11**). Statistical analysis allowed researchers to put a limit to uncertainty and not to prove anything (Altma, 1991: 12). This study, generally being a social science research, the level of significance of 5% was generally acceptable. Besides, (Amini, 2005:3) observes that investigations of similar nature in public administration and management have relied on the 5% sample size and level of significance. In this study, fifteen participants were target in every local government. The total number of respondents interviewed were nine (9) while 90 questionnaires were administered. *Table 4.1* below shows the selection of district in the region appear and *Table 4.2* shows sample selection and instruments to be used.

Table 4.1: Sampled districts

| District | Anonymous Code |
|-----------------|-----------------------|
| Mukono | District 1 |
| Butambala | District 2 |
| Masaka | District 3 |
| Mpigi | District 4 |
| Kayunga | District 5 |
| Wakiso | District 6 |

Source: Researcher, 2018

Table 4.2: Sample size and sampling techniques

| Sample Category | Target | Sample Size | Sampling Techniques | Sampling Tools |
|--------------------|------------------------------------|--|---|-----------------|
| MoLG Staff | Decentralisation Directorate | 3 Respondents who are senior officers in the Department of Local Council Development | Purposive | Interview Guide |
| LG officials | 6 Districts | 60 Respondents , 15 for every district | Cluster and Simple Random*(07 political leaders and 08 technical staff) | Questionnaire |
| National NGO Forum | District Coordinators of NGO Forum | 6 Respondents, 1 for every district | Purposive | Interview guide |
| General Public | 6 Districts | 30 Respondents, 5 per district | Convenience | Questionnaire |
| Total Sample | | 99 | | |

Source: Researcher, 2018

4.5 Data collection instruments and methods

Several forms of data were collected for this study and were grouped into four major categories:

- *Statistical-based data* included budgetary expenditure tracking and budgetary information; annual audit reports and public accounts reports in sampled districts pertaining to local government expenditures on planned and budgeted activities (ACODE, 2010:15-20).
- *Fact-based data* included policy and legal documents (including legally defined local government assessment competences, institutional framework and local government performance standards); local government set-up and management systems (including consultative mechanisms, stakeholders and decision-making mechanisms).
- *Perception-based data* entailed individuals, households, non-government organisations and civil society actors. This data also included records from national conducted surveys on local governments; balanced scorecards reports conducted by civil society organisations as well as newspaper published reports.
- *Mixed data* comprised of information from interviews, focus groups and consultations; quality and performance evaluation captured during interactions with key stakeholders

in local governments, non-government organisations and technical officials from Ministry of Local Government.

4.5.1 Data collection methods

Both qualitative and quantitative data collection methods were used. For both these methods, separate instruments were developed for the different types of respondents, namely questionnaire, interview guide, observation guide/ form and literature review guide. In developing these instruments, there was a research motivation/ introduction letter and consent forms with overview sections and separate questions corresponding to the separate objectives of the study. The questionnaire and observation tools were generally used to collect quantitative data while the interview guide and literature review guide were used for qualitative investigations. Briefly, the methods and respective tools are discussed below.

4.5.2 Questionnaire

Blaxter et al. (2006, :170) as cited in Zohrabi, (2013: 20-32) argues that different types of questionnaires can be developed but mainly ask seven "basic question types: quantity/information, category, list/multiple options, scale, ranking, and complex grid/table, and open ended." However, close-ended questionnaires are more efficient in easing analysis (Seliger & Shohamy, 1989:3). Consequently, in this study, questionnaires were structured with close-ended questions and separated in different sub-sections. Close-ended questions were developed based on the Likert scale of five categories. The questionnaires begun with a section on social economic status of the responded. This section helped in generalising the study findings to the social economic environment surrounding the study. The questionnaires were both researcher administered and self-administered. Overall, the questionnaires were developed on content of the study objectives and were randomly piloted in non-participating districts. In all, the study relied on 90 questionnaires and a sample questionnaire is attached as **Appendix 1.**

4.5.3 Interviews

The interview method was used to collect qualitative data and enabled the researcher to get first-hand information straight from some informed informants. The researcher intended to have exceptional information on what was going on in the minds of selected respondents and how they perceived and interpreted the study variables. Person-to-person interviews were

conducted for purposes of assessing attitudes, to allow probing by the researcher, generate in-depth information and validate quantitative findings.

Interviews were conducted formally, relying on an interview guides. The interview guides were unstructured with open-ended questions and enabled the researcher to generate unexplored and unknown responses as well as enabled respondents answer in detail and qualify and clarify responses. In all, nine interviews with key political and technical informants as well as expert respondents from Ministries, Departments and Agencies (MDAs) were conducted. Recording of responses from interviews was done by taking notes and by use of electronic recording devices in form of tape recorders. The sample Interview guide is attached as **Appendix 2**.

4.5.4 Observation

Observation enabled the researcher to combine data collected from questionnaires and interviews and get first-hand information. Therefore, observations used as a form of triangulation in order to validate the results (Zohrabi, 2013:16). Since observations were conducted in natural field settings, the researcher was able to observe circumstantial factors especially relating to quality. The form of observation was non-participation method. In this method, the researcher watched and recorded field activities without involvement. In this way, the researcher remained distant from the subjects of research and enhanced the objectivity of the study. Observations were narrowly focused on selected elements of investigations and were single cross sectional observations (only carried out at the time the researcher was engaged in the field conducting interviews and administering questionnaires). Observer bias was minimised by the researcher trying as much as possible to be non-judgemental and in exercising self-control of biases.

The researcher observed the physical presence of development plans, budgets, and local government infrastructures in the study districts to evaluate the outcomes associated with the participatory governance system. Observations were in form of watching, hearing, smelling, and touching (Kakooza, 1996: 8). The researcher relied on an observation form based on the research objectives and what is observed during the field. The observation form included a structured section with a rating scale constructed on the Likert Scale of five (5) categories. The sample observation guide is attached as **Appendix 3**.

4.5.5 Literature review

Rowland, Hub and Services (n.d.; :5-15) defined literature review as a methodology based on a narrative account of information that is already currently available, accessible and published, which may be written from a number of sources. The aim of carrying out the literature review was to find out what is already known about participatory governance and quality of local governments. This was done by summarising current knowledge and refining the research problem by critically reviewing current knowledge. Literature was reviewed from several sources related to decentralisation and participatory governance. The sources included journals of public administration and management, monitoring and evaluation, research methodology, and quality management. The sample Literature Review Guide is attached as **Appendix 4**

4.6 Reliability and validity of instruments

Measurements aim at assigning numerical values to data sets in order to quantify them. All measurements, especially measurements of behaviours, opinions, and constructs are subject to fluctuations (errors) that can affect the measurement's reliability and validity (Michael, n.d.-b). Some of the most important and common quality indicators of research instruments are the validity and reliability of the measures (Kimberlin & Winterstein, 2008: 18). Therefore, reliability and validity are essential concepts in research for improving the accuracy of the assessment and appraisal of a research work (Kirk & Miller, 2011: 12). In order to be objective, research instruments aimed at being both valid and reliable.

4.6.1 Reliability of quantitative instruments

Sekaran, (2000: 56) defined reliability as the consistency, stability or reproducibility of measurement results. Reliability is an important measurement determinant of the quality of study instruments since it assists in identifying inconsistencies in the data collection instruments and these inconsistencies effect the final measurement of results. According to Bryman and Cramer (2005: 23), the study of internal reliability is useful when the study involves numerous measurements of items for each variable.

Some variables consisted of several items. For example, there were five items used to measure the participation in local councils and statutory bodies, and seven items for measuring participation in local associations. In the same way, the reliability of the measurement items was assessed by investigating consistency of the respondents' answers to the question items in the measure.

Internal consistency of every measure was calculated using Cronbach's Alpha Reliability Coefficient. In this way, and in agreement with Sekaran, (2000: 54-56) reliability coefficients that were established to be less than 0.6 were considered poor; the coefficients that were established at 0.7 were taken as acceptable; and the coefficients that were greater than 0.8 were considered good. Similar views were held by Bryman and Cramer (2005: 23-24) who asserted that Cronbach's Alpha Reliability Coefficients equivalent to 0.7 or greater manifest acceptable reliability. In this study therefore, the lowest cut off value of 0.7 for Cronbach's Alpha Reliability Coefficients was taken as acceptable to determine the reliability of each measure in so as to establish the overall reliability of the each of the latent variables used in the study.

4.6.2 Validity of quantitative instruments

Sekaran, (2000:54-56) defines validity as the accuracy of measures. Zikmund (2003: 1-15) defined validity as "the ability of a scale to measure what it intended to be measured". Therefore, validity determines the extent to which a variable/construct is related to its corresponding measurement indicators and also the extent to which the questionnaire items actually reflect the construct they were designed to measure. Neumann (2003: 1-30), urges that the better the fitness between the theoretical latent constructs and measured items, the greater the establishment of validity. Consequently, construct's validity may be examined by assessing convergent validity, Nomological validity, and discriminant validity.

4.6.2.1 Convergent validity of instruments

Convergent validity was defined by Hair et al, (2006: 1-9) as the extent to which observed variables of a particular construct/variable share high portions of the variances in common. According to (Hair et al., (2006: 1-9) this variance can be established by considering the Factor Loadings of Construct, Construct Reliability (CR) and Average Variance Extracted (AVE) all used to assess the convergent validity of each of the constructs. The ideal standardized loading estimates ought be of a value of 0.7 or greater. Similarly, AVE estimations should be bigger than the value of 0.5, and values of the Reliability Estimates ought be above 0.7 so as to show acceptable Convergent Validity. Consequently, the minimum cut-off criteria for loadings in this study was >0.7 , AVE >0.5 , and reliability >0.7 for assessing Convergent Validity.

4.6.2.2 Nomological validity of the instruments

Bagozzi, (1980: 1-20) defined Nomological Validity as the extent to which a construct/variable acts, as it would within a similar structure of related constructs. In research, Nomological Validity is confirmed by establishing whether or not the identified correlations among the constructs in the measurement model make sense. Nomological Validity may be assisted by proving that CFA latent constructs relate with other latent constructs in the model in manner that maintains the theoretical framework. For the eight-construct model examined in this study, all constructs were demarcated as positive and significant. Consequently, Hair et. al. (2006: 1-9) asserts that to demonstrate the Nomological Validity the latent constructs had to be directly related as suggested in the theoretical model. These construct correlations were hence used to measure the Nomological Validity of the model.

4.6.2.3 Discriminant validity

Hair et al., (2006: 1-9) defined discriminant validity as the extent to which a latent constructs are truly distinct from other latent constructs. Hair et al. (2006: 1-20) further proposes a method of assessing discriminant validity by use of the average variance extracted for every construct and comparing it with the matching squared Inter- Construct Correlations (SIC) and the AVE. Estimates significantly higher than the SIC estimates indicate provision for the Discriminant Validity of the construct. The study adopted this method in assessing the discriminant validity of each of the constructs.

4.7 Quality management of qualitative instruments

Being a mixed study, and after ascertaining the validity and reliability of quantitative instruments, the study also looked at the conformability and transferability of both qualitative instruments and findings.

4.7.1. Conformability of qualitative instruments

The study used triangulation to establish the conformability (validity) of qualitative investigation. The advantage of triangulation was to build greater confidence in the conformability of data and to generate a deeper understanding of the issues at hand (Creswell, 2014:5). In the same way, Guion (2002:1-3) suggests five approaches of triangulation of qualitative data. There can be triangulation of data, investigators, theory, methodology and environment.

In order to ascertain the truthfulness and certainty of both research tools and findings, different forms of triangulations as suggested by Guion (2002:1-3) were used simultaneously. The study used data triangulation by first of all categorising respondents and applying different data collection methods (interviews, observations, and literature review) on each category in order to gain insight into what respondent's perceived such as quality of local governments. Responses from different data sources suggested that information from different points of views, with different data collection methods, if it pointed to a particular issue then it was more likely to be true.

Secondly, there was investigator triangulation that involved using several research assistants each using similar qualitative methods (interview, observations). Results from each research assistant were compared and when they arrived at similar findings and conclusions, then the conformability was established. Similarly, there was methodological triangulation but using several qualitative and quantitative methods (questionnaires, interview, observations, and literature review) and if findings from each of these methods were the same, then conformability was established. Some form of theoretical triangulation was also used by interviewing different experts from different organisations about the relationship between participation and quality of local governments. Lastly, by carrying out the study in six selected districts, the study in effect carried out environmental triangulation when the study was carried out in different locations (districts) and when the findings remained similar in different locations, then conformability was established.

4.7.2. Transferability of qualitative instruments

For transferability (the equivalence of reliability in qualitative research), Silverman (2005: 2-9) defines it as “the degree of consistency with which instances are assigned to the same category by different observers or different occasions”. In qualitative studies, this depends on the researcher's depiction of what was going on” (Silverman, 2005: 2-9). Later, Silverman (2006: 1-5) suggests that reliability can be ensured by a principle he calls ‘Low Inference Descriptors’. In regard to qualitative data from face-to face interviews, the researcher carried out careful transcription of tapes, inter-rater reliability questions on checks on coding of responses to open-ended questions, and also presenting extracts of data in the research report. This ensured that there was transparency and replication of data. Transparency was also enhanced by careful documentation and clarification of the data collection procedures, and by

making references to available database. Data from interview transcripts was organized orderly to allow possible retrieval at later stages (Yin, 1994:1-28).

4.8 Data analyses

Marshall and Crossman (1999) cited in Kirk and Miller (2011:1-18) describe data analysis as the process of bringing order, structure and meaning to the mass of collected data. The process of data analysis includes application of logic in the interpretation and making meaning of data. This study relied on a mixed methodology and as such, data was analysed both quantitatively and qualitatively. The details of analyses are discussed below.

4.9 Statistical data analysis

The objective of the statistical techniques of data analysis are to help in establishing the plausibility of the theoretical models and estimate the degrees to which the various explanatory factors may be influencing the dependent variable. This study primarily aimed at assessing the nature and form of participatory governance for enhancing the quality of local governments in Uganda.

In order to achieve the quantitative objectives, the study used two separate but linked statistical software packages. First, the Statistical Package for Social Sciences (SPSS) was used to analyse preliminary data. Secondly, the Analysis Moment of Structures Software (AMOS) for Structural Equation Modelling (SEM) was employed to test the proposed and hypothesised model.

4.9.1 Preliminary data analysis step

SPSS version 25.0 was used to examine data that was acquired from the survey questionnaire. Zikmund (2003:1-15) recommends the SPPSS software package as acceptably used by researchers in social sciences, information systems and commercial studies, and research. SPPSS was used to screen data by coding, treatment of missing data (ANOVA) identification of outliers (Mahalanobis Distance (D^2) test and establish data normality (using Kurtosis and Skewness Statistics). Furthermore, Hair et al., (2006:1-9) recommends that before applying SEM, SPSS ought to be used to conduct Exploratory Factor Analysis (EFA) for the Stage One of data analysis so as to condense information from several variables in the proposed research model into other minor number of factors, commonly branded as Factor Dimension Reduction. This study mainly used data in form of nominal and ordinal scales, that generated several data in form of percentages, means and standard deviations.

4.9.2 Analysis of percentages, means and standard deviations

The study was in agreement with Sekaran, (2000:50-56) who recommended use of SPSS to analyse descriptive statistics such in form of frequencies, mean values, percentages, and standard deviations. The analyses were hence conducted for every variable independently and were summarised in the demographic profile of the respondents in order to generate introductory information on the social economic characteristics of respondents.

Percentages measured the frequency distribution by display of data specifying the percentage of observations or occurrences that existed for each item data set. It was particularly useful in expressing the relative frequency of survey responses on particular item data sets.

Mean measured the average value of an item data set. Sometimes known as the **average** or **arithmetic mean**, represented the sum of all the data entries divided by the number of entries. The mean was analysed in comparison to both the percentages and SD.

Standard Deviation(SD) measured how close individual data values moved/varied away from the mean value by measuring the variability and consistency of the item data to enable the researcher analyse how much the data sets varied around the mean. In this study, SD was represented by a positive number beginning from zero (0) assuming a unit of measurement on the normal distribution. One standard deviation to the right from the mean, contained about 34% of the values within the distribution and the greater the values of the SD, the further the data tended to be dispersed/spread out from the mean. On the other hand, smaller SD implied closeness of the item data to the mean values.

4.9.3 Managing missing data

Bryman and Cramer, (2005: 25-32) says that missing data may be a big problem in all types of survey research encompassing large number of samples. Hair et al. (2006: 1-9) further noted that missing data may cause two analysis problems: First, it may minimise the ability of statistical tests to indicate a connection that exists in the data set; secondly, missing data may create biased parameter estimates. Other possible effects of missing data may depend on the frequency of incidence, the reasons for the missing value and the pattern of missing observations. Hair et al. (2006: 1-9) further arguments that if the pattern in the missing data is systematic, and cannot be ignored or that it is not missing at random, then, any method used to handle this data may even possibly generate biased results. In case the missing data is

scattered in such a random fashion that no distinct pattern can be established, then any corrective action to treat this problem may be expected to yield acceptable results.

There are no universal guidelines, to handle challenges of determining what comprises “large amount of missing data”; Kline (1998:1-6) further suggested that the challenge of missing values ought to constitute at least less than 10% of the overall data collection. Cohen and Cohen (1983:1-18), also suggested even lesser percentages of between 5% to 10% of missing data on a variable is large enough.

In light of the above, the study adopted the steps as suggested by Byrne (2001: 18-35) in dealing with incomplete and missing data. The steps were:

- (1) Investigate overall amount of missing data
- (2) Study of the pattern of missing data,
- (3) Establish suitable procedures to deal with missing data.

4.9.4 Outliers

Hair et al. (2006: 1-9) defined outliers as cases with tallies that are uniquely different from rest of the observations in a dataset. Outliers are sometimes called **Anomalous Data**. These are data points that lie **outside** the general trend and although sometimes imply situations that may lead to new discovery, they may also on a negative note result of mistakes or random fluctuations. Dillon et al., (1987: 126-135) cautioned that such awkward outliers may have devastating effects on the statistical analysis and may create negative variances.. In social research, there are two main types of outliers: Kline, (2005: 1-6) explained that there are both **Univariate Outliers** and **Multivariate Outliers**. Univariate Outliers have cases that have extreme values on one variable whereas a Multivariate Outlier are cases with unusual combination of values on two or more variables . Again, although, there may not be absolute judgements of the extreme values, Kline, (2005:1-6) proposes that the commonly accepted rule is to assume that the scores that are greater than three standard deviation points from the mean value may be deliberated as outliers. Kline, (2005: 1-6) further suggests that the univariate outlier may be spotted easily by Diagnosing Frequency Distributions of Z-Scores .

This study, did not consider univariate outliers because items were built on a Likert Scale with 5 categories ranging from 1 (Strongly Disagree) to 5 (Strongly Agree). Notwithstanding the said criterion, whenever respondents answered **Strongly Disagree** or **Strongly Agree**,

these response options sometimes pointed to possibilities of outliers, because these were the extreme points on the Likert Scale. Consequently, extreme data was never "thrown out" without justification and explanation, because the researcher avoided discarding the significant parts of the inquiries. However, with clear justifications of omitting inconsistent data, then they were excluded from the analysis to avoid skewing the average value from the mean.

Byrne, (2001: 2-49) advises other approaches to identifying the presence of multivariate outliers in data involves checking data by the Mahalanobis Distance (D^2) Test. This approach measures the distance in standard deviation units between every observation compared with the mean of all the other observations. Large D^2 identify extreme value on one of more items. In the same way, Hair et al., (2006: 1-6) recommends very conservative statistical significance tests such as $p < 0.001$ to be used alongside the D^2 measure.

In the study, the researcher measured Mahalanobis Distance using SPSS version 25.0 and then compared the critical χ^2 value with the Degrees of Freedom (df) equal to number of independent variables and the probability of $p < 0.001$.

4.9.5 Normality

Hair et al., (2006: 1-6) defined normality as the "shape of the data distribution or an individual metric variable and its correspondence to the normal distribution, that is the benchmark for statistical methods". Any violation of normality in research might affect the estimation process and the overall interpretation of results especially while using SEM analysis. Normality can increase the chi-square and even cause underestimation of Fit Indices and Standard Errors of parameter values. One of the approaches to diagnose normality is by visually checking or by graphically analysing graphs such as histograms and normal probability plot that are used to compare observed data values with the distribution approximating the normal distribution. Hair et al., (2006: 1-6) suggests that in case observed data spreading largely follows the diagonal lines, then the distribution may be considered as normal.

In addition to the shape of scattering, normality may also be scrutinised by two multivariate indexes: that is, the skewness and the kurtosis. In this way, skewness represents the regularity of distribution while the kurtosis portrays the measure of the weight of the tails in distributions. This is known as **peakedness** or **flatness** of the distribution as compared with the normal distribution. Considering normal distributions, the scores of skewness and kurtosis are usually zero. Further explanations by Hair et al. (2006: 1-6) further point out that for the Skewness

scores that lie outside the -1 to +1 range exhibit substantially skewed distributions. In the same way, Kline (2005: 1-6) further suggests that values of the skew index that are greater than three (3.0) are considered as extremely skewed and hence the score of the kurtosis index from about 8.0 to over 20.0 describe extreme kurtosis.

For this study, the investigator was able to set the maximum suitable limit of observation values up to ± 1 for the Skewness and values of up to ± 3 for the kurtosis. After this exercise, the researcher used factor analyses followed by Structural Equation Modelling for inferential statistical analyses.

4.9.6 Final statistical data analysis

Statistical data was analysed using the SPSS, Version 25.0 for Windows, a popular statistical software package that was recommended by McKay and Warren, (2017) that allows many different types of analyses and *Analysis of Moment Structures* (AMOS) of the same version. Notwithstanding the statistical packages, data was first organised, categorised in themes and patterns, coded, and cleaned before eventual analysis, interpretation and report writing. The following statistical methods on the empirical data sets used were:

- i. Reliability and validity analysis was analysed by *Exploratory Factor Analysis*.
- ii. Descriptive analysis was generated in form of Percentages, Mean, and Standard Deviation
- iii. For conducting significance tests, the *Chi Square Tests of Independence and Goodness of Fit* and *Confirmatory Factor Analysis* were used. The chi-square test of independence enabled the researcher to evaluate the relationship that existed between categorical variables by comparing the observed against the expected distribution in case there did not exist a relationship between the categorical variables. In a contrasting way, the chi-square goodness of fit test was used to determine whether the distribution of cases in a single category followed a known hypothetical distribution. Lastly, confirmatory factor analysis-CFA was used to verify the factor structure of a set of observed variable and the test the hypotheses that relationships among observed variables and their underlying constructs exist (Arkkelin, 2014: 1-195).

4.9.7 Factor analysis

Hair et al., (2006:1-6) explains factor analysis (FA) methods as approaches applied by researchers to address the problems of studying the structure of the correlations among huge

number of measurement items/variables. Factor Analysis enable definition of a large set of common underlying dimensions, that are known as factors. Factor analysis takes large sets of variables and summarises them using smaller sets of variables/factors. Field, (2006: 1-8) urges that the aim of FA is to enable the understanding of the structure of sets of variables, to enable the construction of questionnaires that can measure the underlying variables, and at the same time reduce the data sets to more manageable levels.

In conducting factor analysis, the researcher first identifies the latent magnitudes of the structure of the data and then proceeds to determine the degree to which the test items/variable are expounded by each factor. This step is followed by identifying the primary uses of FA, then summarising and reducing the data (Hair et al., (1995:1-11). It is important to note that this process may be conducted by either Exploratory Factor Analysis or by Confirmatory Factor Analysis techniques can achieve this purpose. The only distinctive features in the two approaches is that where as the exploratory factor analysis method is used for “take what the data give you”, while the confirmatory factor analysis method encompasses the processes of merging variables together on a factor or set of factors for testing hypotheses.

The study, as Hair et al., (2006: 1-6) recommended, the investigator first conducted exploratory factor analysis to survey the dimensions of each construct/factor and was sequenced by the confirmatory factor analysis that was executed for testing and confirming relationships between the observed variables under each theorized construct.

4.9.8 Exploratory factor analysis

Hair et al., (2006:1-6) defined exploratory factor analysis (EFA) as “ a multivariate statistical technique that analyses data of relatively large sets of variables and produces smaller sets of factors, which are linear combinations of the original variables, so that the sets of factors capture as much information as possible from the data sets”. EFA has been used in research to select items from large data pools and group them in more manageable forms that can be examined for the associations among variables without priori hypotheses.

Miller et al., (2002: 79-95) explains two important steps in the EFA: First, the extraction and secondly, the rotation. The goal of the extraction process is to decide the factors underlying the number of variables. In social science research, there are a variety of extraction methods although the principle component analysis is usually used. The reason for the regard of the

principal component analysis lies in the fact that it is more reliably assesses the variables devoid of any errors.

Tabachnick and Fidell (2001: 1-8) explained the second step in conducting EFA as being the Rotation. This is applied in research to present the array of loadings in a pattern that is easier to interpret. Cramer, (2005: 23-26) identified two approaches to conduct rotation: the orthogonal and the oblique rotation. The orthogonal rotations method assumes that extracted factors are independent and uncorrelated while in oblique rotations, the assumption is that the extracted factors are correlated.

The study, engaged the principal components analysis (PCA) and the orthogonal model with varimax rotation to execute factor analysis using SPSS- Version 25.0. Tabachnick and Fidell, (2001:65) advance the reasons behind the frequent use of the Orthogonal Rotation was that the results generated from it tend to have higher generalizability and reliability power as compared to the figures from oblique rotation. Secondly, the interpretation of orthogonal rotation factors seemed less complicated since factors are uncorrelated with each other. On completion of the EFA, recognized dimensions were checked by use of confirmatory factor analysis using SEM.

4.9.9 Hypotheses testing

There are several definitions of hypotheses. For example, Bailey (1978:86) defined hypotheses as propositions in testable form that predict particular relationships between two or more variables.

Eric Rogers (1966:7) cited in (Prasad, Rao & Rehani, 2001:7) defined hypotheses as “single tentative guesses, good hunches – assumed for use in devising theory or planning experiments intended to be given a direct experimental test when possible”. Kerlinger (1956:6) defined hypotheses as "conjectural statements of relation between two or more variables", while Creswell (1994:1-11) defined hypotheses as formal statements that present the expected relationship between independent and dependent variables. Sarantakos (1993:32) defined hypothesis as a tentative explanation of the research problem, a possible outcome of the research, or an educated guess about the research outcome.

For this study, the definition of Clark and Hockey (1981) cited in Lammers & Babbie (2005:1-8) takes precedence; they defined hypotheses as statements or explanations that are suggested by knowledge or observation but has not yet been proved or disproved.

Although it is not mandatory for every valid research to be conducted using a hypothesis, it is always good to develop hypotheses in order to narrow down research focus and direction and specificity to research work.

Outcomes (n.d.) highlighted four major functions of hypotheses in academic research.

- 1) Enhance the purpose and objectivity of research;
- 2) Provide research focus and specify the scope of the research problem;
- 3) Enable prioritization of data collection; and
- 4) Enable formulation of theory to conclusively prove what is right or wrong.

This study employed the inductive method to hypothesis development. The build-up of evidences collected in this study was data collected in the field and was analysed in parts and then arrived at conclusions about the collected data. The Inductive method to hypothesis development came up with evidence not present in research questions but inquisitive in nature and did not reach a definitive conclusion on some research questions.

The following steps were undertaken to the development of the hypothesis:

1. Observation and collection of data.
2. Analysis of data.
3. Critical thinking about the data.
4. Deriving conclusions
5. Explanation of the conclusions

Several steps are usually undertaken while testing research hypotheses (Prasad et al., 2001:1-9). This study relied on the Seven-Steps-Approach to test the hypotheses outlined below.

- Step 1 stated the Null Hypothesis
- Step 2 stated the Alternative Hypothesis
- Step 3 stated the Confidence Level
- Step 4 collected Data
- Step 5 calculated a Test Statistic ($F_{\text{calculated}}$)
- Step 6 constructed Acceptance and Rejection Areas/Criterion
- Step 7 drew a conclusion about the Null Hypothesis

4.9.10 Structure equation modelling

Hair et al., (2006:1-6) defined Structural Equation Modelling (SEM) as the gathering of statistical models that seek to elucidate and explain the relations among multiple latent variables/constructs. SEM, enables researchers to study interrelated relations among multiple dependent and independent constructs at the same time/simultaneously. Byrne, (2001:2-49) urges that SEM analytical procedures have been used in many studies and have become essential methods for analysis research. Tabachnick and Fidell, (2001:) further urges that SEM has multivariate statistical approaches that allow researchers to experiment both the measurement and structural components of a model by conducting tests among the relationships of multiple independent and dependent constructs simultaneously.

Thus, the use of SEM in this study was suitable because the study involved multiple independent-dependent relationships that were hypothesised in the proposed research model. The study used SEM software package called Analysis of Moment Structures (AMOS) Version 25, was used in this study to explore statistical relationships among the test items for each factor and among the various factors/items of independent variables. These items included. participation in social movements, and government programmes, participation in local councils and statutory bodies and others) and the dependent variable. Hair et al., (2006:1-6) further urged that selecting the SEM for data analysis in research is based on the fact that SEM offers systematic mechanisms to validate relationships among constructs and indicators and as well as to test for the relationships among constructs in single model. Similarly, Byrne, (2001:2-49) also suggested that SEM I offers powerful and rigorous statistical techniques to deal with complex models. Hair et al., (2006:) further urges that it is easier to validate the associations among constructs and indicators by applying confirmatory factor analysis (CFA) also called measurement model, and the relations between constructs are tested using the structural model .

4.9.11 Measurement model

Byrne, (2001:2-49) advocates for the use of in SEM whenever there is contextual knowledge of the underlying variables/constructs and the measurement items. Recommendations are to use CFA after EFA to verify and conform the derived scales. Hair et al., (2006:1-6) proposes two approaches to be used in CFA so as to gauge the measurement model. First by establishing the Goodness of Fit (GOF) criteria indices, and secondly by assessing the validity and reliability of the measurement model . In this study, the researcher used the measurement model

in assessing the unidimensionality, reliability and validity of the measures as explained hereunder.

4.9.12 Goodness of fit indices

Hair et al., (1998: 1-11) commented that there are three types of fit measure indices used in SEM. These are the absolute fit indices, parsimonious fit indices and the incremental fit indices. In the first case, absolute fit indices are usually used in assessing the ability of the overall model fit. The indices may take account of the Likelihood Ratio Statistic, the Chi-square (χ^2) together with the Root Mean Square Error of Approximation (RMSEA) as well as the Goodness of Fit Index (GFI).

Hair et al., (1998:1-11) further suggested that the Parsimonious Fit Indices can be used in investigating whether the estimated model is simpler or ought be improved by specifying fewer Estimated Parameter Paths. Therefore, the Parsimonious Fit Index may include the Adjusted Goodness-of-Fit Index (AGFI).

Hair et al., (2006:1-6) further explained that the Incremental Fit Indexes (IFI) are used when comparing the proposed model to some baseline model. Incremental Fit Indices consist of the Normed Fit Index (NFI) and the Comparative Fit Index (CFI).

4.9.13 Model estimates

Besides the Goodness of Fit criterion, there are other standardized estimates normally used in evaluating the measurement model. These include the Standardized Regression Weight also known as *Factor Loadings* and the *Critical Ratio (CR)* estimates criteria. The study used the Cut-Off Point criteria as conventionally recommended by Holmes-Smith (2002: 14) and other researchers. Accordingly, factor loadings value were greater than 0.7; although as according to Churchill, (1979:226-228) values greater than 0.5 were also accepted. As Byrne, (2001:2-49) also recommended, Critical Ratio values were above 1.96.

Kline, (2005:1-6) described measurement model to explain interrelationships between the Observed (Indicator) variables and the Un-observed (Latent) variables. The measurement model specifies and attempts to confirm which Indicator Variables (Measurement Items) relate to its matching underlying Latent Variable (Construct). In the study, therefore, and as Tabachnick and Fidell, (2001:16) recommended, CFA (the measurement model) was executed to identify and confirm the particular patterns by which the measurement items were loaded

onto specific constructs. In the same way, the measurement model was further evaluated by using the Maximum Likelihood (ML) estimation technique in built in the AMOS software.

According to Hair et. al., (1998:8), this was done for several reasons. First, the technique was suitable for moderate samples when the model fails to meet the criterion of having at least five measurement items in every construct in any case, some constructs used less than five items. Secondly, the ML estimation method was un-biased as matched to other estimation approaches under moderate violations of normality considering the circumstances of the medium sized sample, the normal data, and that the number of categories in the Likert Scale were larger than four (4). Lastly, the ML method as the most widely used estimator in SEM analysis, it minimises the difference between covariance and observed matrices in so doing improving the parameter estimates. Accordingly, in this study, the measurement model was carried out using the Maximum Likelihood Estimation Approach.

4.9.14 Structural model evaluation and hypothesis testing

This study applied the two-step approach in SEM analysis. In the first step, measurement model evaluation was arrived at by scrutinizing the unidimensionality, validity and reliability of latent constructs using CFA. Thereafter, the structural model was tested as the next Step 2 in the examination of the hypothesised relations between the Latent Constructs in the proposed model. The hypothesised model (the structural model) depicted the relations among the latent constructs by aiming to specify which constructs directly or indirectly influenced the values of the other constructs in the model.

4.10 Qualitative data analysis

Qualitative data collected from interviews, observations and literature review was analysed as explained below.

For qualitative investigations, the study relied on the sequence of events as suggested by Miles and Huberman (1994:9). They describe as “a fairly classic set of analytic moves” that involve giving codes to data collected from interviews, observations, and literature reviews; generating memos; identifying similarity in phases, patterns, themes, and also relationships, sequences plus differences in sub groups; eliminating identified patterns; generating some forms of generalisations; and linking these generalisations to theories and constructs. In this way, qualitative data analysis was also based on thematic analysis, theoretical propositions, and grounded theory.

4.10.1 Analysis of interview data

The interview guide that was designed based on the research objectives for each category of respondents was interviewed separately using separate interview guides. The interview guides were qualitatively analysed to generate in-depth assessment of the study constructs. In analysing interviews, the grounded theory was used to tease out indicators of quality of local governments (Kota et al., n.d.).

After conducting interviews, the researcher used *ATLAS. Ti*, a computer based software package in dealing with interview data analysis. This qualitative data analysis software supported generation of texts, graphics, and allowed use of PDF without losing their formatting that helped the researcher to streamline qualitative analysis and come up with meaningful results (Suhr, 2006:1-9)

4.10.2 Analysis of data from observations

Observations were concurrently recorded to generate new information and to assess visible achievements from participatory governance. In order to record observed data, field notes were taken during observation sessions on an observation form that was used to store observation data. Primary data was observed data using two approaches. To start with, a structured and detailed observation form that was developed with all the appropriate elements that the researcher wished to observe. The observation form acted as a checklist where the researcher could easily tick the appropriate boxes according to observed information. Secondly, the researcher conducted unstructured observations on unique events that came across during the field and recorded them as field notes. These field notes were coded and analysed in themes and categories already generated

4.10.3 Analysis of data from reviewed literature

In analysing data from reviewed literature, the researcher first developed a mind-map from which a literature review plan that put the purpose of study in the middle of analysis was developed. Secondly, according to (Rowland et al., n.d.:3-8), major themes were identified from which sub-themes were generated. Key points / theories that needed to be addressed in each sub theme were identified and later questions and current solution approaches were identified. Lastly, the links within the sub-themes were identified.

Analysis of literature involved assessing how each source related to other research within the field by grouping the different sources thematically, by topic or methodology. As (Rowland,

Hub and Services, no date) posited, analysis involved closely examining the different elements of the structure of research and interpreting them in the lenses of public administration. Lastly, the researcher critically evaluated research criteria by clearly explaining the interactions and relating to other research carried out. Literature was thus analysed by identifying gaps and presenting the same in themes.

4.11 Summary

The chapter aimed at discussing the methodological approaches that were used in the study. Two research paradigms namely, the positivist and interpretivist were both adopted because both of them had both positive and negative effects and were discussed in detail so as to justify the adoption of the mixed methods approach.

The positivist approach was consistent with the evaluation approach to the study while the interpretivist approach was useful in exploration analysis of the nature and form of participatory governance. By relying on the qualitative interviews, the study dealt directly with the respondents thoughts, feelings and opinions as well as attitudes and beliefs. On the other hand, the questionnaire survey approach offered more accurate means to evaluate information corrected from the sample and enabled the investigator to draw conclusions by generalising findings from the population.

CHAPTER FIVE

PRESENTATION OF RESULTS

5.1 Introduction

This chapter presents the results from the study that are presented in several sub sections. These include: the response rate and non-response bias; the demographic characteristics of respondents; missing values; descriptive statistics; results of exploratory factor analysis; findings from confirmatory factor analysis; and results of hypotheses tested. The study mainly used the statistical tools and software of SPSS; AMOS 25 and ATLAS-Ti.

The criteria for analysing Percentages, Means and Standard Deviation as explained in 4.7.3. The Standard Deviation was represented by a positive number beginning from zero (0) and One standard deviation to the right from the mean, contained about 34% of the values within the distribution and the greater the values of the Standard Deviation (SD), the further the data tended to be dispersed/spread out from the mean. On the other hand, smaller Standard Deviations implied closeness of the data to the mean values. The low/close SD value represents SD value that is low/close to the mean value implying a positive relationship with the particular item being assessed. Moderate/Modest SD value implies a positive but moderate relationship with the item being assessed, while High/Scattered/Dispersed SD implies a high deviation away from the item being assessed. In this study therefore, a SD of (0-0.5) was considered low/close, (0.6-0.99) considered moderate/Modest while (1.0 + above) was considered high/scattered/dispersed.

5.2 Response rate and non-response bias

The study looked at both the response rates and none biasness of the respondents to the questionnaire. The details are given below:

5.2.1 Response rate

Seventy five (75) questionnaires out of the ninety questionnaires that were administered were returned which constituted a response rate of 81.3% of the original sample. The returned questionnaires were adequately responded to and this enabled proper data analysis.

5.2.2 Non-response bias

The investigator was unable to obtain the demographic information non-respondents so as to make a comparison with the direct bias test. Consequently, the investigator assumed that

respondents who did not complete the questionnaire just delayed to return the questionnaire. In this way, questionnaires from both early respondents and late respondents were relied upon in analysis the non-response bias.

The four demographic characteristics of Gender, Education, Age, and Community were compared by the Analysis of Variance (ANOVA) statistical software to approximate the response bias in every characteristic basing on the mean value of 75 respondents are shown in Table 5.1.

Table 5.1 Response bias analysis of demographic data (N=75)

| Respondents Characteristics | ANOVA (N=75) | |
|-----------------------------|--------------|-----------|
| | F | Sig Value |
| Age | .426 | .763 |
| Gender | .425 | .736 |
| Education | .446 | .721 |
| Community | .571 | .636 |

Source: Researcher, 2018

Results in Table 5.1 showed that there existed no statistically significant differences between those that responded and those who did not respond. This implied that there was no difference between the respondents and the non-respondents. In light of the above, the non-response bias did not pose a serious limitation to the study but served to confirm the true purpose of the survey, that aimed at achieving satisfactory and unbiased sample of the population.

5.3 The demographic characteristics of the respondents

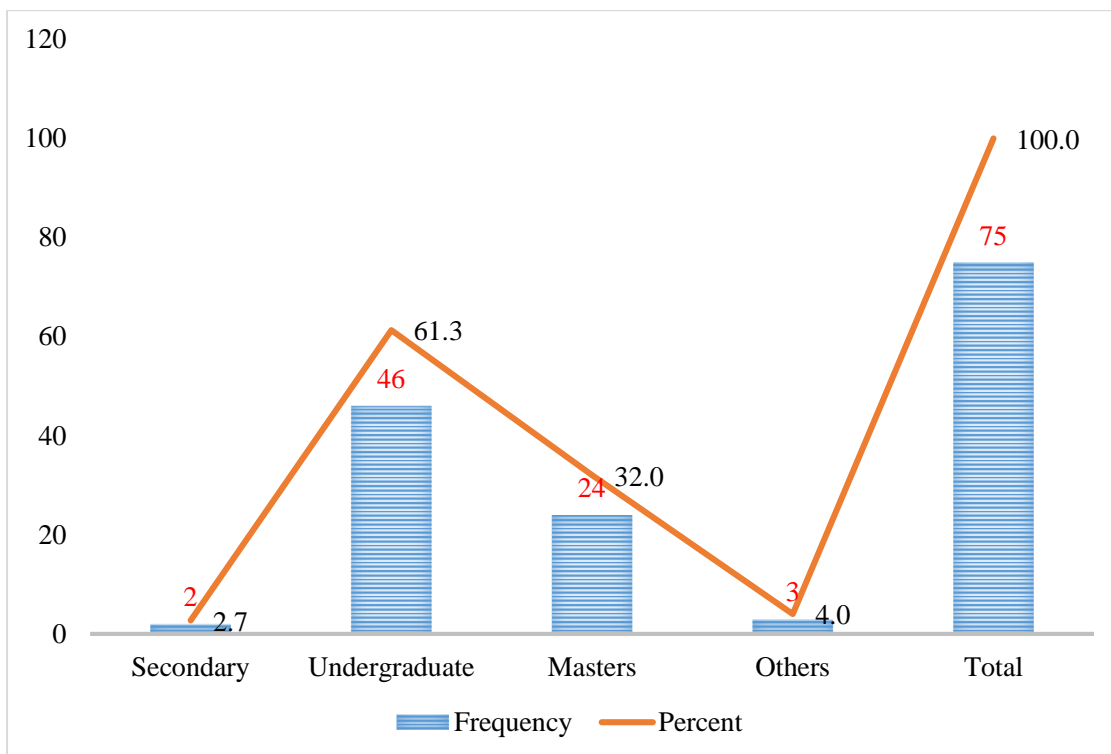
According to Kasekende (2014: 42-48), presentation and interpretation of the demographic profile of the study sample is very important because it enables the researcher to obtain the overall mental and physical picture of the sample. This is critical in attaining an appreciation of respondents' perceptions while linking the conceptions under study. In line with the same argument; Boyle, Dunne, Purdie, Cook and Najman (2002: 345) argue that, profiling research respondents is achieved by establishing their demographic characteristics, which may include; age, gender, education among other characteristics. Similarly, Kirtiraj (2012:213-2139) profess

that, in social science research, personal characteristics of respondents have a significant role to play in expressing and giving the responses about the problem. In custodian of this matter, the demographic characteristics (Gender, Age, Education and Community) for the 75 respondents were examined, presented and used in the report to draw systematic conclusions.

5.3.1 Education level of respondents

Figure 5.1 presents descriptive statistics of respondents' academic qualifications. Respondents' academic qualifications were categorized as Secondary, Undergraduate, Masters and Others.

Figure 5.1 Respondents by education level (N=75)



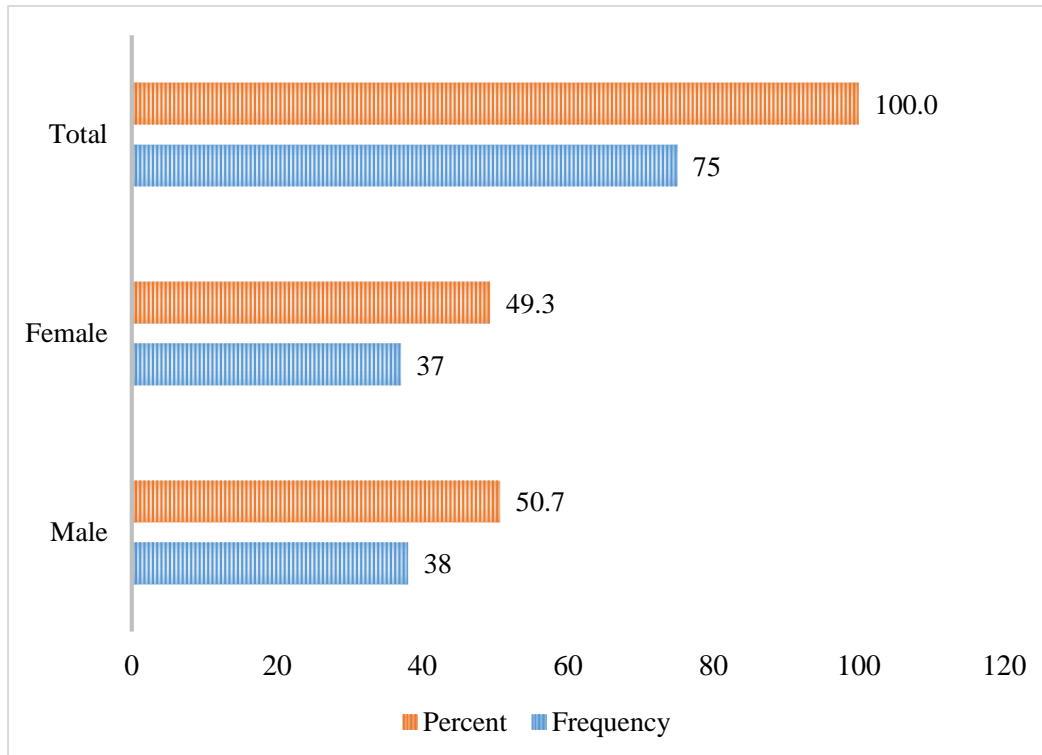
Source: Researcher, 2018

Figure 5.1 shows that out of the 75 respondents, who returned the questionnaires, the majority, constituting 61.3%, were Bachelor's Degree holders while twenty-four (24) respondents representing 32.0% had Masters' Degrees. Participants with Secondary level education were two (2) constituting 2.7% and under the others category were only three (3) respondents who constituted 4.0%. Cumulatively, the majority of the respondents were degree holders. This means that most respondents were educationally qualified and were in a position to give well-balanced views about the study.

5.3.2 Description of respondents by gender

Figure 5.2 below presents statistics on the gender of the respondents.

Figure 5.2 Gender of the sampled population (N=75)



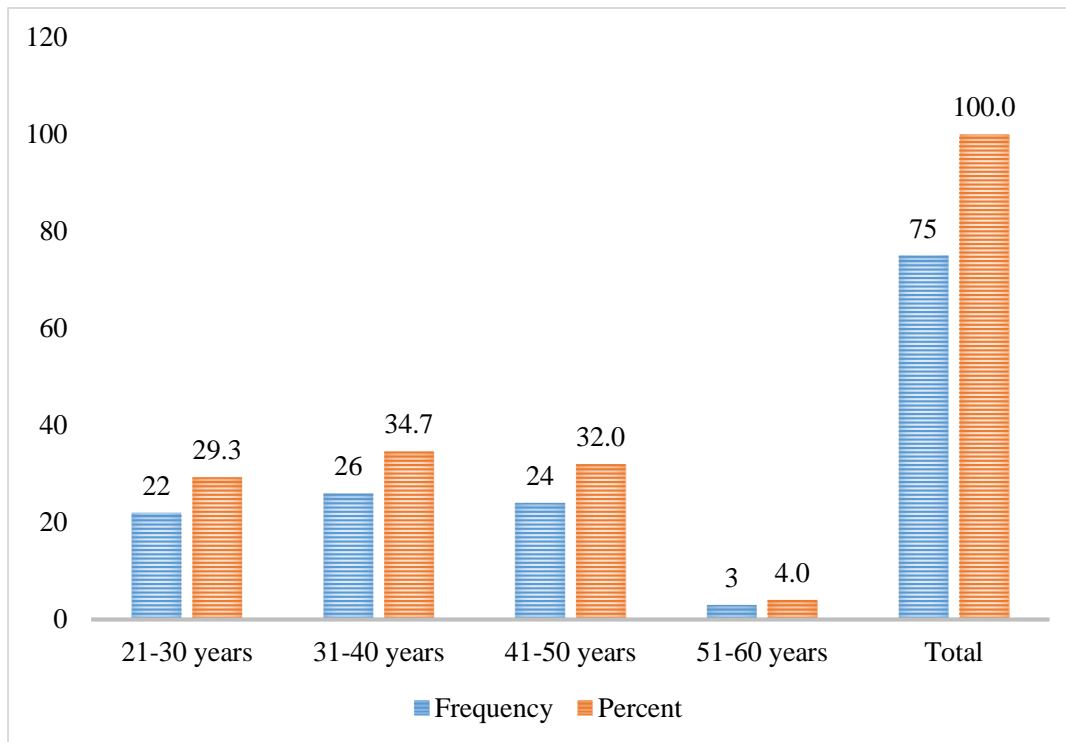
Source: Researcher, 2018

The production from the Figure 5.2 revealed that thirty-eight (38) respondents were males 38 representing 50.7 % while female respondents were thirty-seven (37) constituting 49.3%. This reveals that the thoughts of the sampled population both were from gender of the population under study. Overall, the gender of the sampled population seemed balanced and reflected the national demographic characteristics of the Ugandan population.

5.3.3 Age group of the sampled population

The age groups of sampled respondents are presented in Figure 5.3 below.

Figure 5.3 Age group of the sampled population (N=75)



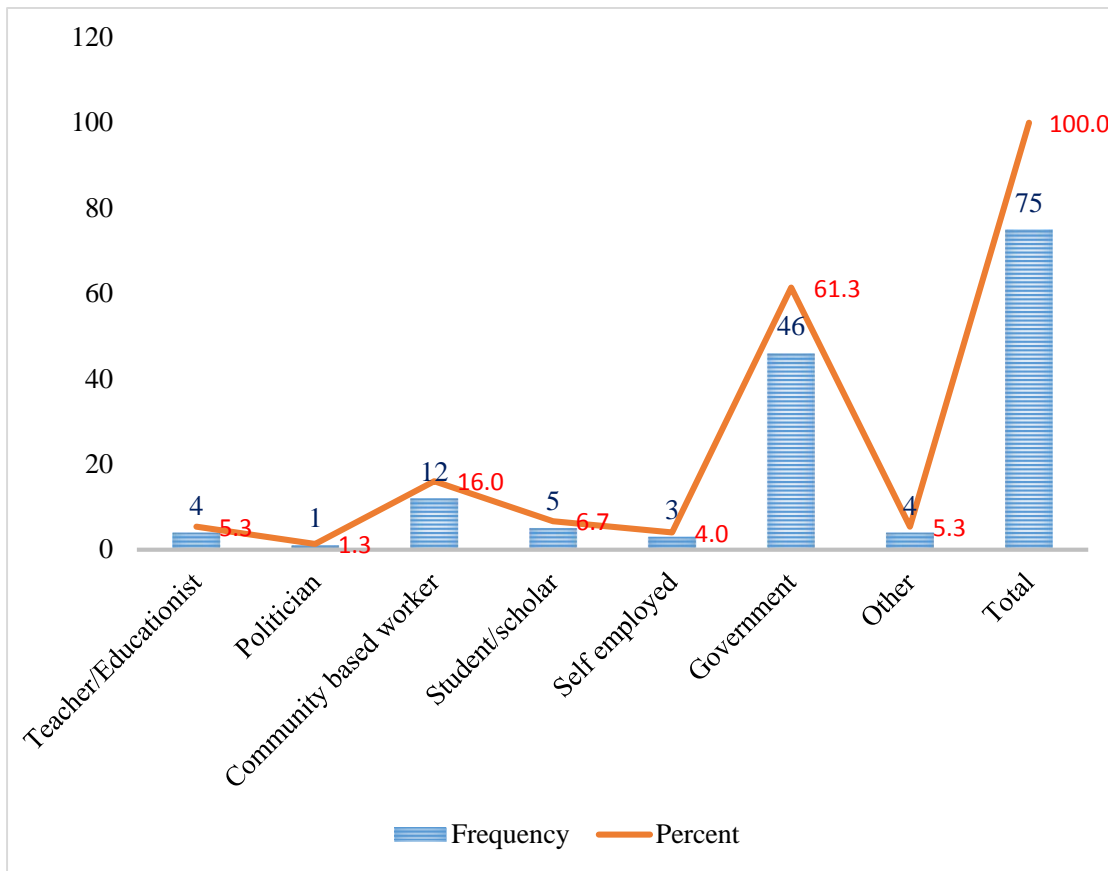
Source: Researcher, 2018

The statistics from Figure 5.3 above suggest that the majority of respondents were aged between 31-40 years, constituting 34.7%. Those between 41-50 years constituted 32.0%, while respondents between 21-30 years constituted 29.3% and those aged between 51-60 years constituted 4.0%. The results reveal that the majority of the respondents fall within an informed age bracket and therefore are likely not to make well-informed decisions in relation to the study.

5.3.4 Community levels

Statistics on community levels of the sample size are presented in Figure 5.4.

Figure 5.4 Community level of the sample population (N=75)



Source: Researcher, 2018

Results from Figure 5.4 above, indicate that majority of the respondents were government employees who constituted 61.3%. Respondents from community-based organisations made 16.0%. Scholars and students constituted 6.7% while Educationists/Teachers and other non-specific categories each made 5.3%. The category of Self-employed respondents constituted 4.0%; and finally politicians were 1.3%. The results suggest that the sampled population was inclusive of all key stakeholders of the sampled communities as illustrated in Table 5.2.

Figure 5.2 Summary of demographic characteristics of survey respondents (N=75)

| Variable | Category | Frequency | % |
|-----------|------------------------|-----------|------|
| Gender | Male | 38 | 50.7 |
| | Female | 37 | 49.3 |
| Age | 21-30 | 22 | 29.3 |
| | 31-40 | 26 | 34.7 |
| | 41-50 | 24 | 32.0 |
| | 51-60 | 3 | 4.0 |
| Education | Secondary | 2 | 2.7 |
| | Undergraduate | 46 | 61.3 |
| | Masters | 24 | 32.0 |
| | Others | 3 | 4.0 |
| Community | Teacher/Educationist | 4 | 5.3 |
| | Politician | 1 | 1.3 |
| | Community based worker | 12 | 16 |
| | Student/scholar | 5 | 6.7 |
| | Self employed | 3 | 4 |
| | Government | 46 | 61.3 |
| | Other | 4 | 5.3 |

Source: Researcher, 2018

5.4 Results on assessment of participatory governance for quality of local governments

In this sub section, the empirical findings for each of the objectives are presented, analysed and interpreted with an overall goal of evaluating participatory governance for enhancing quality of local governments in six selected local governments in central Uganda. The items were scaled using the five-point Likert scale where: code 1= Strongly Disagree, 2=Disagree, 3 = Neutral, 4=Agree and 5= Strongly Agree and are discussed based on the questions which are statistically tabulated and presented in the tables with frequencies, Percentages, Mean and Standard Deviation according to the responses collected.

5.4.1 Primary Objective: To evaluate the nature and form of participatory governance for quality of local governments

The summary of the statistical findings on the primary objective are presented in Table 5.3

Table 5.3 Regression weights of the nature and form of participatory governance for quality of local governments (N=75)

| | | | Estimate | S.E. | C.R. | P | Label |
|------------------|------|---------|----------|-------|-------|------|-------|
| B ₁₁ | <--- | Common1 | 1.000 | | | | |
| B ₁₂ | <--- | Common1 | 1.936 | .777 | 2.493 | .013 | |
| B ₁₃ | <--- | Common1 | 2.016 | .769 | 2.621 | .009 | |
| B ₁₄ | <--- | Common1 | 2.579 | .964 | 2.674 | .007 | |
| B ₁₅ | <--- | Common1 | 1.747 | .659 | 2.651 | .008 | |
| B ₁₆ | <--- | Common1 | 2.346 | .894 | 2.625 | .009 | |
| B ₁₇ | <--- | Common1 | 2.883 | 1.054 | 2.736 | .006 | |
| B ₁₈ | <--- | Common1 | 2.761 | 1.036 | 2.666 | .008 | |
| B ₁₉ | <--- | Common1 | 1.855 | .813 | 2.283 | .022 | |
| B ₁₁₀ | <--- | Common1 | 1.814 | .694 | 2.613 | .009 | |
| | <--- | Common1 | 2.439 | .954 | 2.555 | .011 | |
| B ₁₁₂ | <--- | Common1 | 1.605 | .649 | 2.474 | .013 | |
| B ₁₁₃ | <--- | Common1 | 1.512 | .647 | 2.337 | .019 | |
| B ₁₁₄ | <--- | Common1 | 1.976 | .755 | 2.618 | .009 | |
| B ₁₁₅ | <--- | Common1 | 2.377 | .994 | 2.390 | .017 | |
| B ₁₁₆ | <--- | Common1 | 1.932 | .718 | 2.690 | .007 | |

Source: Researcher, 2018

In addition to the information available in the path diagram, the output also displays standard errors, critical ratios (estimate/standard error) and p-values for the regression weights. P-values and regression weights work together to tell which relationships are statistically significant and the nature of such relationships (Gelman, 2013). By describing the mathematical relationship between the independent and the dependent variables, p-values indicate whether these relationships are statistically significant; the conventional reference point is one in twenty or 0.05 (Thisted, 1998). Lower p-values (< 0.05) indicate that the null hypothesis can be rejected. In other words, a variable with a low p-value is likely to imply that changes in the independent variable are closely related to changes in the dependent variable. Conversely, a larger p-value (> 0.05) suggests that changes in the independent variable are not associated with changes in the dependent variable (Thisted, 1998).

For this study, no p-value is listed for the B₁₁ variable (*Stakeholder participation has led to improved service delivery in LGs*) because it was constrained to 1.000. It was consequently discarded from the instrument.

All items in the instrument have p-values smaller than the conventional 0.05 significance level. This means that their regression weights associated with Common1 indicator are significantly different from zero. In other words, they measure the same latent variable (Nature and form of participatory governance for quality of local governments). Therefore, they were consequently retained in the questionnaire.

To establish the strongest items measuring the variable, I further considered the items with the smallest p-values and the highest Estimates of regression weights as most significantly contributing to the variable. For this variable, the items considered were B₁₇, B₁₄, and B₁₆. From the questionnaire, these items were identified as:

B₁₇: Stakeholders perform as expected.

B₁₄: Local councils effectively monitor activities in their local governments.

B₁₆: Marginalised communities (Women, youths, PWDs and Children) participate in LG activities.

Additionally, results revealed the following:

1. That several factors are responsible for the nature and form of participatory governance for quality of local governments.
2. That the most critical elements of participatory governance responsible for the quality of local governments could be identified by considering items with highest value Estimates (preferably above 2.000). From Table 5.3, these items are:
 - a. Stakeholders do what they are expected to do. (Questionnaire item B₁₇, with p-value of 0.006 and Estimate of 2.883)
 - b. Local councils effectively monitor activities in their local governments. (Questionnaire item B₁₄, with p-value of 0.007 and Estimate of 2.579)
 - c. Marginalized communities such as women, youth, PWDs, Children participate in local government activities. (Questionnaire item B₁₆, with p-value of 0.007 and Estimate of 1.932)

5.4.2 Theoretical Objective: To identify indicators of quality of local governments

In the build up to the findings on the theoretical objective, it was noted in section 2.7 of chapter 2, that there are several criteria that have often been used to assess indicators of quality of local governments. This study went on to give examples of such indicators developed by the World Bank (2007) and Rothstein (2012). Considering the contextual scope of the study, and in particular reference to Uganda, the researcher put emphasis on three broad criteria that were adopted in this study as criteria of identifying indicators of quality of local governments. The three criteria were: (i) Voice and Accountability (ii) Government effectiveness and (iii) Control of corruption. Several items of these criteria were identified in section C of the questionnaire and the summary of the regression weights is presented in Table 5.4.

Table 5.4 Regression weights of indicators of quality of local governments

| | | | Estimate | S.E. | C.R. | P | Label |
|-------------------|------|---------|----------|------|--------|------|-------|
| B ₂ 19 | <--- | Common2 | 1.144 | .313 | 3.660 | *** | |
| B ₂ 18 | <--- | Common2 | 1.568 | .381 | 4.112 | *** | |
| B ₂ 17 | <--- | Common2 | .803 | .319 | 2.518 | .012 | |
| B ₂ 16 | <--- | Common2 | 1.449 | .361 | 4.010 | *** | |
| B ₂ 15 | <--- | Common2 | 1.643 | .404 | 4.063 | *** | |
| B ₂ 14 | <--- | Common2 | .906 | .312 | 2.899 | .004 | |
| B ₂ 13 | <--- | Common2 | 1.388 | .351 | 3.953 | *** | |
| B ₂ 12 | <--- | Common2 | .712 | .290 | 2.456 | .014 | |
| B ₂ 11 | <--- | Common2 | .607 | .242 | 2.508 | .012 | |
| B ₂ 10 | <--- | Common2 | 1.043 | .294 | 3.545 | *** | |
| B ₂ 9 | <--- | Common2 | 1.008 | .306 | 3.299 | *** | |
| B ₂ 8 | <--- | Common2 | 1.107 | .335 | 3.309 | *** | |
| B ₂ 7 | <--- | Common2 | 1.560 | .425 | 3.675 | *** | |
| B ₂ 6 | <--- | Common2 | 1.174 | .335 | 3.509 | *** | |
| B ₂ 5 | <--- | Common2 | .261 | .239 | 1.092 | .275 | |
| B ₂ 4 | <--- | Common2 | -.455 | .243 | -1.873 | .061 | |
| B ₂ 3 | <--- | Common2 | -.469 | .270 | -1.734 | .083 | |
| B ₂ 2 | <--- | Common2 | .595 | .254 | 2.337 | .019 | |
| B ₂ 1 | <--- | Common2 | 1.000 | | | | |
| B ₂ 20 | <--- | Common2 | 1.227 | .341 | 3.598 | *** | |

Source: Researcher, 2018

The text output above displays standard errors, critical ratios (estimate/standard error) and p-values for the regression weights. No p-value was listed for the B₂1 variable (*Elections have been free and fair*) because it was constrained to 1.000.

Variables B₂6, B₂7, B₂8, B₂9, B₂10, B₂11, B₂13, B₂14, B₂15, B₂16, B₂18, B₂19 and B₂20 have p-values smaller than the conventional 0.05 significance level. This means that their regression weights associated with Quality of Local Government indicator are significantly different from zero. In other words, they are measuring the same latent variable (Quality of Local Government). They were consequently retained in the instrument/ questionnaire.

Items identified with *** as p-values mean that their p-values are less than 0.001 and hence are strongly measuring the variable under study. To establish the strongest items measuring the variable, I further considered the Estimates (regression weights) and items with the highest regression weights were taken as most significantly contributing to the variable. For this variable, the items considered were **B₂15**, **B₂18** and **B₂7** which were further identified from the questionnaire as:

B₂15: Departments in local governments functioning well

B₂18: There is transparency in operation of local governments

B₂7: There is an effective system of stopping fraud.

Variables B₂2, B₂3, B₂4, B₂5, B₂12 and B₂17; illustrated below, have p-values greater than 0.05, significance which means that their regression weights associated with Quality of Local Government indicator are not significantly different from zero. In other words, they are not significantly associated with the common factor. These items were therefore discarded from the questionnaire.

Items with p-values marked *** show a strong association as indicators of quality of local governments. These items with p-values marked *** were further categorised under the three assessment criteria for indicators of quality of local governments to identify the most influential items under each criteria by selecting those items with Estimates above 1.000. The findings revealed the following:

- a) For the criterion of **Voice and Accountability**, the most influential items were:
- Transparency in operations of local governments (item B₂18 with estimates of 1.568);
 - Local governments accountable to local people (item B₂19 with estimates of 1.144); and

- Trust and social cooperation between civil servants and political leadership (item B₂₈ with estimates of 1.107)
- b) For the criterion of **Government Effectiveness**, the most influential items were:
- Departments in local governments well-functioning (item B₂₁₅ with estimates of 1.643);
 - Effective system of stopping fraud (item B₂₇ with estimates of 1.560); and,
 - Public resources are used optimally (item B₂₁₆ with estimates of 1.449)
- c) For the criterion of Control of Corruption, the most influential items were:
- Respect for private property rights (item B₂₆ with estimates of 1.643); and,
 - Patronage in appointment of public officials (item B₂₄ with estimates of 0.595).

5.4.3 Empirical Objective One: To assess how participatory planning enhanced quality of development plans in local governments in Uganda

The variables on the level of response were obtained from the independent variable of the research thesis. Using nine (9) quantitative questions, respondents were able to rate themselves on how participatory planning enhanced quality of development plans in local governments in Uganda, Responses were based on Likert's scale ranging from 1= Strongly Disagree, 2=Disagree, 3 = Neutral, 4=Agree and 5= Strongly Agree. Table 5.5 shows pertinent frequency tables, means and standard deviations.

Table 5.5 Descriptive statistics on respondents self-rating on how participatory planning enhances quality of development plans in local governments in Uganda

| Items | SD | D | N | A | SA | \bar{X} | SDe |
|--|-------------|---------------|---------------|---------------|---------------|-----------|------|
| Stakeholder participation has led to improved service delivery in LGs. | | 2 (2.6%) | 3 (4%) | 44 (58.7%) | 26 (34.7%) | 4.25 | 0.66 |
| Stakeholders are in control of the LG functions. | | 12 (16%) | 8 (10.7%) | 42 (56%) | 13 (17.3) | 3.75 | 0.93 |
| There are clear guidelines and procedures for participating in local governments | | 6 (8%) | 1 (1.3%) | 33 (44%) | 35 (46.7%) | 4.29 | 0.85 |
| LG councils effectively monitor activities in their LGs. | | 15 (20%) | 13 (17.3%) | 32 (42.7%) | 15 (20%) | 3.63 | 1.02 |
| There are clearly defined roles of different stakeholders | | 3 (4%) | 2 (2.7%) | 40 (53.3%) | 30 (40%) | 4.29 | 0.71 |
| There are clear outcomes of stakeholder involvement in LGs | 1 (1.3%) | 12 (16%) | 14 (18.7%) | 36 (48%) | 12 (16%) | 3.61 | 0.99 |
| All stakeholders perform expected t | 4 (5.3%) | 28 (37.3%) | 18 (24%) | 20 (26.7%) | 5 (6.7%) | 2.92 | 1.06 |
| Stakeholder actions are consistent with local government policies | 1 (1.3%) | 30 (40%) | 10 (13.3%) | 26 (34.7%) | 8 (10.7%) | 3.13 | 1.11 |

| | | | | | | | |
|--|-------------|---------------|---------------|---------------|---------------|------|------|
| Ministry of Local Government effectively monitors Local Councillors' activities. | 5 (6.7%) | 18 (24%) | 12 (16%) | 36 (48%) | 4 (5.3%) | 3.21 | 1.08 |
| Local people participate in Local Government activities | | 8 (10.7%) | 7 (9.3%) | 52 (69.3%) | 8 (10.7%) | 3.8 | 0.77 |
| Councillors effectively represent their constituencies | 1 (1.3%) | 25 (33.3%) | 8 (10.7%) | 32 (42.7%) | 9 (12%) | 3.31 | 1.10 |
| Civil Society Organisations are involved in local government programmes | 1 (1.3%) | 3 (4%) | 10 (13.3%) | 46 (61.4%) | 15 (20%) | 3.95 | 0.79 |
| Religious leaders participate in LG activities. | | 12 (16%) | 13 (17.3%) | 45 (60%) | 5 (6.7%) | 3.57 | 0.84 |
| Cultural leaders participate in LG activities | 1 (1.3%) | 15 (20%) | 25 (33.4%) | 33 (44%) | 1 (1.3%) | 3.24 | 0.84 |
| I am satisfied with the way civil servants conduct LG activities | 7 (9.3%) | 22 (29.4%) | 6 (8%) | 30 (40%) | 10 (13.3%) | 3.19 | 1.26 |
| Marginalised communities such as women, youth, PWDs, Children participate in Local Government activities | | 4 (5.3%) | 10 (13.3%) | 45 (60%) | 16 (21.4) | 3.97 | 0.75 |

SA=strongly agree, A=Agree, N=Neutral, D=Disagree, SD= Strongly Disagree, SDe= Standard deviation, \bar{X} = Mean

Source: Researcher; (2018)

Table 5.5 above illustrates the appropriate frequency tables, means and standard deviations about respondents' self-rating on how participatory planning enhances quality of development plans in local governments in Uganda. Each of the scales measured in Table 5.3 above is analysed and discussed hereunder.

5.4.3.1 Stakeholders' participation

As regards the item: "Stakeholder participation has led to improved service delivery in LGs", cumulatively seventy (70) respondents who constituted 93.3% of the sampled population in this study agreed with the statement as compared to only two (2) respondents constituting 2.6% who did not agree with the statement. Three (3) respondents constituting that is, 4% of the sampled population were neutral to the statement. This was confirmed by a mean value of =4.25 and a moderate/fair standard deviation value of =0.66, suggesting that the majority of respondents agreed that stakeholder participation has led to improved service delivery in LGs.

During the face-to-face dialogue, respondents from Districts coded 4, 5, and 6 DNGOFs confirmed the findings and informed that they regularly participated in Local Government planning meetings especially at parish levels. One respondent in observed that:

" Unlike other previous governments, we have been involved in much of the government programmes like, holding local council meetings, participating in local council courts, attending planning and budgeting meetings and also being a part of other programmes

especially distribution of agricultural inputs by NAADS. Local people also manage their own security by recruiting local defence personnel who have greatly increased security especially in the rural areas”.

5.4.3.2 Stakeholders in control

Regarding the item: “Stakeholders are in control of the LG functions” statistics revealed that cumulatively seventy (70) respondents that is, 73.3% of the sampled population agreed with the statement as compared to twelve (12) respondents constituting 16% who did not agree with the statement. Eight (8) respondents constituting 10.7% stayed neutral with regard to the statement. The high percentage rating was confirmed by a mean value of = 3.75 and a moderate standard deviation value of =0.93 suggesting that respondents believed that stakeholders have a modest control of the LG functions.

Responses from interviews presented mixed reactions. One respondent in district 1 reported that:

“Experience overtime has showed that local governments are incapacitated on budget cuts because IPFs (indicative planning figures) do not reflect releases which does not allow local governments to perform to expected levels and this makes stakeholders to lose control”.

Another technical officer while responding to the issue concerning stakeholders’ control of Local Governments revealed that:

“To a small extent stakeholders are in control but to a large extent they are not in control because local governments are obliged to adhere to the National Development Plan (NDP). For example, when implementing the District Discretionary Equalisation Grant (DDEG) local governments can only implement those activities that are already pre-determined by the central government and already embedded in the DDEG implementation guidelines”.

The Chairperson LC III of one of the town councils where this study was conducted regretted that since locally generated revenues by local councils are not enough, especially after suspending collection of Personal Graduated Tax (PGT) they couldn’t adequately meet expenses of running local government activities. This in turn hampers effective performance of stakeholders in local government programmes.

5.4.3.3 Clarity of guidelines and procedures

Another issue that was investigated regards as to: whether there are clear guidelines and procedures for participating in local governments. Findings from the research indicate that cumulatively sixty-eight (68) respondents constituting 90.7% agreed with the statement as compared to six (6) respondents constituting 8% who did not agree with the statement. One (1) respondent that is 1.3% preferred to stay neutral on this statement. The fair percentage rating was further confirmed by a mean value of =4.29 and a moderate standard deviation value of =0.85 thus further suggesting that respondents believed that there were some guidelines and procedures for participating in local governments.

Literature the Local Government Act showed elaborate guidelines and procedures of participation ranging from the composition of local councils (Section 10), Planning powers (Section 35), Legislative powers (Section 38), Functions of the administrative units (sections 45-51), elections of local councils (Sections 101-105), the Local Government Councils Regulations in the Third Schedule, among others.

Further interactions with officials from the Ministries of Local Government and of Gender, Labour and Social Development pointed to existence of a number of policies that facilitate inclusive participation in local government activities. Officers in these ministries mentioned some policies such as the National Gender Policy, the National NGO policy, the National Policy on Older Persons, the National Youth Policy, the National Policy on Disability, and the National equal Opportunities Policy.

When interviews were conducted, respondents expressed the following views in regard to the presence of clear policies and guidelines on participation in local governments:

“There are clear guidelines that set out the roles of different actors in local governments. For example, the Local Government Act provides description of roles and responsibilities of councillors, technical officers, and other actors. Besides, line ministries give implementation guidelines on programmes and activities originating from their ministries, which are being implemented in local governments. The challenge is that the central government has excessive influence in local government activities especially concerning finances. For example, the president of the Republic of Uganda has many times issued directives stopping collection of fees from taxi parks and this has paralysed programmes in urban councils”.

An Assistant Chief Administrative Officer (ACAO) in one of the study districts explained that by the time the decentralisation policy came into force in (1997) the central government used to remit 35% of the national budget to local governments. Currently, the Central Government remits only 13% of the national budget to all local governments, which has affected service delivery in the local governments. Besides, stakeholders are stressed by the small financial remittances from the central government to local governments, which has affected service delivery in local governments.

5.4.3.4 Local government councils' effectiveness to monitor local programmes

As to whether the, the respondents' indicated that a cumulative modest percentage of 62.7% of the respondents who observe that Local Government councils effectively monitor activities in their local governments. 20% of the respondents disagreed with the statement while 17.3% of the respondents did not show any side regarding the matter.. The mean value of =3.63 was accompanied by a high and dispersed standard deviation value of =1.02 pointing to respondents' perceptions that local councils were ineffective in monitoring local government activities.

In line with the outcomes of the quantitative method, a respondent in one of the interviews stated that:

‘Yes, I agree that there are structures that are functioning. The executive, council committees, internal audit, and statutory bodies like the District service Commission are all functioning. However, there is need to build capacity of councillors in order to increase on the effectiveness of these structures. There is also need to plan for continuous monitoring and not to monitor after the projects have been finalised, sometimes when it is too late to take corrective action. There is also need to address the challenge of limited funds released by the central government that in most times are disbursed late.

5.4.3.5 Clarity of roles of stakeholders

Exploring on the item “There are clearly defined roles of the different stakeholders”, the descriptive statistics revealed that, cumulatively 70 respondents constituting 93.3% agreed with the statement. Only three (3) respondents constituting 4% disagreed with the statement and 2 respondents representing 2.7% preferred being neutral on this statement. The high percentage rating of this item was confirmed by a mean value of =4.29 and a moderate standard deviation

value of =0.71 suggesting that respondents believed that there were some clearly defined roles of the different stakeholders.

Reviewing of the foreword of the National NGO Policy, Honourable Ali M. Kirunda Kivejinja, then Third Deputy Prime Minister and Minister of Internal Affairs highlighted the importance of clearly defining the roles of different stakeholders asserting that:

“The Policy recognizes the imperative of strengthening the partnership between Government and the NGO sector based on clear principles and practices. It seeks to articulate and address the key issues of mutual concern and sets out clear policy objectives and strategies as well as entry points for the critical players in development of a productive partnership with the NGO sector”

The guiding principles of this partnership is to recognise NGOs as:

“an integral part of the national development policy that aims at achieving maximum synergy from Public-Private Partnerships”. (National NGO Policy, 2010.)

5.4.3.6 Outcomes of stakeholder involvement in local governments

When the researcher examined the item “There are clear outcomes of stakeholder involvement in LGs”, it was revealed that cumulatively 48 respondents representing 64% agreed with the statement. Thirteen (13) respondents constituting 17.3% did not agree with the statement while fourteen (14) respondents constituting 18.7% decided to be neutral on this statement. The mean value of =3.61 was accompanied with a high standard deviation value of =0.99 pointing to possibilities of minimal clear outcomes of stakeholder involvement in local governments.

However, literature reviewed on outcomes of stakeholder involvement in local governments revealed a mixed reaction (Galukande, 2016.). Whereas some analysts regard the stakeholder involvement as a success story worth emulating by other developing countries (Ministry of Local Government, 2014) others have reservations when it comes to measuring its achievements (Golooba-Mutebi, 2005: 14-18).

Interactions in face-to-face interviews conducted highlighted that involvement of councillors is more helpful in road construction and rehabilitation are on programmes are being undertaken. In such programmes, technical officers get the backing of the elected councillors who effectively mobilise the communities.

The other area where involvement of councillors is effective is in the education sector. When councillors visit schools, they help resolve issues in school management. The same is evident when councillors participate in solid waste management, hygiene and public health programmes, as well as development planning and participatory budgeting.

5.4.3.7 Performance of stakeholders

Cross-examining the item “All stakeholders perform as expected”, the statistics revealed that cumulatively twenty-five 25 respondents constituting only 33.3% agreed with the statement as compared to thirty-two 32 respondents that constituted 42.7% who disagreed with the statement. Eighteen (18) respondents representing 24% preferred being neutral on this statement. The poor percentage rating was confirmed by a mean value of =2.92 and a high standard deviation value of =1.06 value suggesting that respondents believed that in possibilities that some stakeholders do not always perform what they are expected to do.

Findings during interviews conducted with local government staff indicated mixed reactions. A sub-county chief in one of the study district commented that:

It depends on the nature of activities. When activities involve revenue mobilisation, and collection, in local areas, councillors do not get involved fearing for loss of their popular votes. Nevertheless, councillors effectively participate in other programmes such as environments and sanitation, planning, monitoring and attending council meetings. However, any activity that is likely to cause public outcry like demolition of roadside kiosks, and regulation of any commercial activity, councillors do not support it.

5.4.3.8 Consistency of stakeholders’ actions with local government policies

Exploring on the item “Stakeholder actions are consistent with local government policies”, the descriptive statistics revealed that, cumulatively 34 respondents constituting 45.3% agreed with the statement. Thirty-one (31) respondents constituting 41.3% disagreed with the statement and only 10 representing 13.3% preferred being neutral on this statement. The fair percentage rating was confirmed by a mean value of =3.13 and high standard deviation value of =1.11 implying that respondents believed that stakeholders’ actions may sometimes be inconsistent with local government policies.

During interviews, the question of consistency of stakeholder actions with local government policies was posed to respondents and the responses were varying and mixed. A district planner

interviewed on whether stakeholder actions are consistent with local government actions, had this to say:

It depends; councillors always want to do things that personally benefit them even when they are inconsistent with local government policies. This is because councillors are more interested in gaining popularity in their constituencies. When it comes to council meetings, most councillors attend only to get allowances but not to serve their voters.

However, another sub-county chief in another district had a differing opinion. He explained that in his sub county local government, councillors are interested in working for the welfare of the common people. He gave an example of councillors who had allowed attending three consecutive council meetings when their allowances had not yet been collected.

An official from the Ministry of Lands, Housing and Urban Development shared the personal experience he had encountered while inspecting urban councils in the study area:

When there is a central government leader resident in a local government, it is this leader who incites local people against central and local government policies which sometimes causes libellion and decent of local council programmes and policies. The local people always believe in this central government official more that they trust the local leadership.

5.4.3.9 Ministry of local government effectively monitors local councillors' activities

When the study explored on the item “Ministry of local government effectively monitors local councillors’ activities”, the descriptive statistics revealed that, cumulatively, forty(40) respondents constituting 53.3% agreed with the statement. Twenty-three (23) respondents constituting 30.6% disagreed with the statement while twelve (12) respondents, representing 16% preferred being neutral on this statement. The fair percentage rating was confirmed by a mean value of = 3.21 and a relatively high standard deviation value of =1.08 thus pointing to possible suggestions by the respondents that there was ineffective monitoring of local councillors’ activities by the Ministry of Local Government.

During interviews, a similar qualitative question was poised to respondents and the responses from interviewees were in agreement that Ministry of Local Government had relaxed its monitoring role of local governments and that role was taken over by the Office of the Prime

Minister (OPM). The inspectorate role of MoLG had almost collapsed since 2012 when the last MoLG organised National Assessment Exercise was last conducted. OPM has since taken over the monitoring function of local governments and conducts activities such as Barazas in the respective local governments. Respondents also revealed that the local government performance motivation grants that used to be awarded to best performance local governments ceased to be effected, rendering the monitoring role of MoLG further ineffective.

5.4.3.10 Public participation in local government activities

When the study cross-examined the item “Local people participate in local government activities”, the descriptive statistics revealed that cumulatively sixty (60) respondents of the sampled population constituting 80% agreed with the statement as compared to eight (8) respondents constituting 10.7% who did not agree with the statement. Seven (7) respondents constituting 9.3% of the sampled population preferred being neutral on this statement. The relatively fair percentage rating was confirmed by a mean value of =3.8 and a modest standard deviation value of =0.77 probably signifying that respondents believed that local people fairly participate in local government activities.

Qualitatively, the item was investigated during interviews and the results showed that there is general low participation moral by local people because when they propose issues of concern, they are not implemented by local governments. However, local people continue to participate through by electing councillors who represent them in local government activities. Otherwise, the general public participate in local government programmes only when they expect allowances and refreshments.

An official from the Ministry of Lands, Housing and Urban Development had this to say:

The Ministry of Lands, Housing and Urban Development, through the National Urban Policy working Group, coordinates the donor driven the Municipal Development Forum(MDF) currently established in 19 municipalities. The MDF is a platform where stakeholder groups in participating municipalities interface with urban officials to address issues concerning urban management. This forum has improved stakeholder involvement in local government programmes although it is limited to only nineteen municipalities. The MDF is closely related to Barazas and ministry of lands recommends that it be institutionalised into the Local Government Act.

5.4.3.11 Councillors' effectiveness

Focusing on the item "Councillors effectively represent their constituencies" the descriptive statistics revealed that cumulatively forty-one (41) of the respondents representing 54.7% of the sampled population agreed with the statement. Twenty-six (26) respondents constituting 34.7% disagreed with the statement. Eight (8) respondents constituting 10.6% of the sampled population preferred being neutral on this statement. The fair percentage rating was confirmed by a mean value of = 3.31 and a high standard deviation value of =1.10, thus pointing to respondents' suggestions that councillors ineffectively represent their constituencies.

The same item was qualitatively investigated during face-to-face interviews and responses indicated that many respondents believed that councillors are generally driven by self-interests especially the quest for monetary benefits.

However, some respondents disagreed with the above views and urged that there are quite some councillors who articulate issues and effectively represent their constituencies. One town clerk interviewed commented that:

When the town council purchased land for use as a land waste re-fill site, some councillors did not mind about the details but that five of the councillors were concerned and insisted on verifying all the documentations and agreements pertaining to this purchase. This was an indication that councillors effectively represented their constituencies.

5.4.3.12 Involvement of civil society organisations in local government programmes

Focusing on the item "Civil Society Organisations are involved in local government programmes" statistics revealed that cumulatively sixty one (61) respondents representing 81.3% of the sampled population agreed with the statement as compared to only four (4) respondents constituting 5.3% who disagreed with the statement. Ten (10) respondents constituting 10.4% preferred being neutral on this statement. The fair percentage rating was confirmed by a mean value of = 3.95 and a moderate standard deviation value of =0.79, consequently pointing to suggestions that Civil Society Organisations are fairly involved in local government programmes.

The item was qualitatively investigated in the interviews and the responses indicated that CSOs come in local government programmes when they suspect corruption related issues. However, at local levels, CSOs are less active than at the regional and national levels. There are however,

some sectors where CSOs are much felt in local governments. These sectors include health, sanitation, water and youth. However, on the ground, the role of CSOs are not well felt because they experience leadership gaps.

5.4.3.13 Religious leaders' participation in local government activities

With respect to whether “Religious leaders are participating in LG activities”, cumulatively the larger percentage of 66.7% of the sampled population agreed to this statement. Twelve (12) respondents constituting 16% disagreed while thirteen (13) respondents representing 17.3% of the sampled population preferred being neutral on this statement. Generally, the mean value of = 3.57 and a moderate standard deviation value of =0.84 was calculated corresponding to respondents' perceptions that pointed to the possibilities that religious leaders do not fairly participate in local government activities.

During interviews, similar question probing religious leaders participation in local government activities were asked and responses indicated that the role of religious leaders is more felt in churches when they preach against corruption and in reconciling warring parties. However, the role of religious leaders in local government is limited and quite often, they are labelled as politicians and even when they pass over information, it is often rejected by the government.

5.4.3.14 Cultural leaders participate in local government activities

Exploring on the item “Cultural leaders participate in LG activities”, descriptive statistics revealed that, cumulatively thirty-four 34 respondents constituting 45.3% of the sampled population agreed with the statement. Sixteen (16) respondents constituting 21.3% of the sampled population disagreed with the statement while twenty-five (25) respondents constituting 33.4% of the sampled population preferred being neutral on this statement. This fair percentage rating was confirmed by a mean value of =3.24 and moderate standard deviation value of =0.84 pointing to suggestions that respondents believed that cultural leaders modestly participate in local government activities.

During interviews and discussions, the same item was probed and findings indicated that cultural leaders remain very influential stakeholders in local governments although they do not participate in local government activities because cultural leaders are constitutionally barred from participating in politics. In other arrears, some cultural leaders feel inferior to engage locally elected councillors.

5.4.3.15 Public satisfaction with local government activities

When the study explored on the item “I am satisfied with the way civil servants conduct local government activities”, descriptive statistics revealed that, cumulatively forty (40) respondents constituting 53.3% of the sampled population agreed with the statement. Twenty-nine (29) respondents constituting 38.7% of the sample population disagreed with the statement while six (6) respondents constituting 8% preferred being neutral on this statement. This fair percentage rating was confirmed by mean value of =3.19 and a high standard deviation value of =1.26 statistically pointing to revelations that stakeholders are fairly not satisfied with the way civil servants conduct local government activities.

5.4.3.16 Participation by marginalized communities

Finally, when the researcher focused on the item “Marginalized communities such as women, youths, PWDs, and children’s participation in local government activities” descriptive statistics revealed that cumulatively sixty one (61) respondents constituting 81.3% of the sampled population agreed with the statement as compared to only four (4) respondents constituting 5.3% who disagreed with the statement. Ten (10) respondents constituting 10.4% preferred being neutral on this statement. The high percentage rating was further confirmed by a mean value of =3.97 and a moderate standard deviation value of =0.75, subsequently suggesting that respondents believed that marginalized communities such as women, youth PWDs, children only fairly participate in local government activities.

The same item was investigated during interviews and findings revealed that women, youth, and persons with disability (PWD) do participate a lot in local government programmes especially through the women, youths and PWD councils that have structures at all levels of local governments and administrative units.

When further asked about the participation of the media in local government programmes, a chairperson of a district local council was quoted saying that:

The media has no space in the local government structures. It is up-to the media to identify the right sources of information to transmit to the public.

5.4.3.17 Average index for participatory planning

In this study, the Average Index for the sixteen items on participatory planning and quality of development plans was computed. This was done in order to have general over view of how the respondents rated themselves on “how participatory planning enhances quality of

development plans in local governments in Uganda. An average index was computed from the sixteen items and Table 5.6 reflects the relevant descriptive statistics.

Table 5.6 Summary of descriptive statistics on respondents' self-rating on evaluation of participatory planning and quality of development plans in local governments in Uganda N=75

| | | |
|----------------------------------|-------------|-------|
| Mean | | 3.88 |
| 95% Confidence Interval for Mean | Lower Bound | 0.623 |
| | Upper Bound | 4.97 |
| Median | | 4.00 |
| Standard Deviation | | .546 |
| Minimum | | 1 |
| Maximum | | 5 |
| Range | | 3 |
| Skewness | | 0.101 |

Source: Researcher; (2018)

Results from the Table 5.4 revealed respondents' ratings on the participatory planning in relation to quality of development plans. The opinions were ranging from 0.623 to 4.97 at the 95% confidence interval for the mean. Despite the average rating, results from the above Table 5.4 reflect some respondents scoring very poor at a Minimum 1.00 while others scored best at a Maximum of 5. This gave a wide difference as reflected by a high range of 3.00. However, the same results also revealed that, there was some similarity in respondents' opinions regarding the effects of participatory budgeting on quality of development plans reflected in the relatively small standard deviation value of =0.546 further pointing to suggestions that respondents' views concerning the participatory planning did not differ so much from one respondent to another. The difference in opinions as regards to the low and high levels of the participatory planning was at 3.00 and was supported by the aforementioned low/close standard deviation value of =0.546. Results from Table 5.4 further revealed that there was some degree of skewness at = 0.101, pointing to suggestions that the respondents' opinions were almost normally distributed.

The above statistical summary points to the conclusion that there is a mixed reaction on the impacts of participatory planning to the quality of development plans. While respondents in government community contended that participatory planning had positively impacted on the quality of development plans, other communities seemed to be ambivalent to the assertion.

Hypothesis Testing

A regression analysis was carried out to test the hypothesis of empirical **Objective 1** that was stated that:

H₀: Participatory planning enhances quality of development plans

H₁: Participatory planning does not enhance quality of development plans

Results from the regression analysis as presented in Table 5.7

Table 5.7 showing the regression weights from empirical Objective One

| | | | Estimate | S.E. | C.R. | P | Label |
|-------------------|------|---------|----------|------|-------|------|-------|
| B ₃ 12 | <--- | Common2 | .968 | .270 | 3.586 | *** | |
| B ₃ 11 | <--- | Common2 | 1.080 | .291 | 3.712 | *** | |
| B ₃ 10 | <--- | Common2 | .926 | .271 | 3.414 | *** | |
| B ₃ 9 | <--- | Common2 | 1.266 | .333 | 3.799 | *** | |
| B ₃ 8 | <--- | Common2 | 1.412 | .350 | 4.036 | *** | |
| B ₃ 7 | <--- | Common2 | 1.684 | .428 | 3.935 | *** | |
| B ₃ 6 | <--- | Common2 | .748 | .314 | 2.382 | .017 | |
| B ₃ 5 | <--- | Common2 | 1.078 | .314 | 3.427 | *** | |
| B ₃ 4 | <--- | Common2 | 1.108 | .355 | 3.121 | .002 | |
| B ₃ 3 | <--- | Common2 | .867 | .277 | 3.134 | .002 | |
| B ₃ 2 | <--- | Common2 | 1.236 | .319 | 3.871 | *** | |
| B ₃ 1 | <--- | Common2 | 1.000 | | | | |

Source: Researcher; 2018

The text output above displays standard errors, critical ratios (estimate/standard error) and p-values for the regression weights. No p-value is listed for item B₃1 (*Citizens participate in development planning*) because it was constrained to 1.000.

All the other items (B₃2, B₃3, B₃4, B₃5, B₃6, B₃7, B₃8, B₃9, B₃10, B₃11 and B₃12) have p-values smaller than the conventional 0.05 showing significant levels of association with the variables under regression. This means that their regression weights associated with participatory planning and quality of development plans indicator are significantly different from zero. In other words, they are measuring the same latent variable (**participatory planning**

and quality of development plans). Consequently, all the items under this variable were maintained on the instrument/questionnaire.

Items with *** as p-values mean that their p-values are less than 0.001 and hence are strongly measuring the variable under study. To establish the strongest among these items in measuring the variable, I further considered the Estimates (regression weights) and items with the highest regression weights were considered as most significantly contributing to the variable. For this variable, the most significant factors in participatory planning for quality of local governments were items **B37**, **B38** and **B39** consecutively and were identified from the questionnaire:

B37: Development plans steer local development

B38: Development plans considered while making budgets

B39: Development plans help in the development of local governments

Furthermore more squared multiple correlation was generated between participatory planning and Quality of Local Governments and an estimate of .132 for participatory planning means that participatory planning explains about 13.2% of the variance in Quality of Local Governments. This means that participatory planning does enhance the quality of development plans.

Additionally, a Chi Square test was run to test the hypothesis: The hypothesized model does not significantly vary from the population. A non-significant Chi Square means that the predicted model is consistent with observed data. A significant Chi Square means lack of satisfactory model in it. If the model Chi Square's p-value is less than or equal to 0.05 the researcher's model is rejected. The smaller the Chi Square the better the model fit. Given that $\chi^2 = 186$, $df = 54$, $p > 0.05$ ($= 0.458$) this implies the hypothesized model for Participatory planning and quality of development plans does not significantly vary from the population. This means that the model is representative of the population and accordingly accepted.

5.4.4 Empirical Objective Two: To assess the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda

In this study, elements of levels of responses were obtained from the independent variable of the study. Using eleven (11) quantitative questions, respondents were able to evaluate themselves on the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda. The evaluation was based on the Likert's scale with the

following scales: 1= Strongly Disagree, 2=Disagree, 3 = Neutral, 4=Agree and 5= Strongly Agree. Table 5.6 shows pertinent frequency table distributions, means and standard deviations. The SD values were later analysed and classified as low/close (0-0.5) moderate/modest (0.6-0.99) and high/scattered/dispersed (1+).

Table 5.8 Descriptive statistics on respondents self-rating on the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda (N=75)

| Items | SD | D | N | A | SA | \bar{X} | SDe |
|---|-------------|---------------|---------------|---------------|---------------|-----------|-------|
| Citizens participate in the budgeting process | 1 (1.3%) | 21 (28%) | 17 (22.7%) | 20 (26.7%) | 16 (21.3%) | 3.39 | 1.15 |
| Councillors understand how to develop the local budget | 1 (1.3%) | 25 (33.3%) | 23 (30.7%) | 22 (29.3%) | 4 (5.3%) | 3.04 | 0.951 |
| Local needs are included in the budget | 2 (2.7%) | 4 (5.3%) | 8 (10.8%) | 39 (52%) | 22 (29.3%) | 4 | 0.93 |
| Civil servants effectively implement the budget | 1 (1.3%) | 9 (12%) | 12 (16%) | 35 (46.7%) | 18 (24%) | 3.8 | 0.986 |
| CSOs effectively monitor the budget | 5 (6.7%) | 23 (30.7%) | 23 (30.7%) | 20 (26.7%) | 4 (5.3%) | 2.93 | 1.031 |
| Local revenues are effectively collected to finance the budget | 3 (4%) | 19 (25.3%) | 10 (13.3%) | 36 (48%) | 7 (9.3%) | 3.33 | 1.082 |
| The central government dictates on what the local budgets should finance. | | 9 (12%) | 5 (6.7%) | 31 (41.3%) | 30 (40%) | 4.09 | 0.975 |
| There is value for money because of participatory budgeting. | 2 (2.7%) | 11 (14.7%) | 10 (13.3%) | 40 (53.3%) | 12 (16%) | 3.65 | 1.007 |
| Generally, participatory budgeting has reduced corruption. | 7 (9.3%) | 12 (16%) | 19 (25.3%) | 31 (41.3%) | 6 (8%) | 3.23 | 1.11 |
| Quality of public services has increased due to participatory budgeting. | 2 (2.7%) | 9 (12%) | 13 (17.3%) | 45 (60%) | 6 (8%) | 3.59 | 0.902 |
| Generally, local budgets focus on solving local needs | 1 (1.3%) | 6 (8%) | 5 (6.7%) | 43 (57.3%) | 20 (26.7%) | 4 | 0.885 |

SA=strongly agree, A=Agree, N=Neutral, D=Disagree, SD= Strongly Disagree, SDe= Standard deviation, \bar{X} = Mean

Source: Researcher; 2018

As illustrated from Table 5.6 above, the appropriate frequency tables, means and standard deviations about the respondents, self-rating on the contribution of “the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda” is shown. Each of the items measured in Table 5.6 above is analysed and discussed as hereunder.

5.4.4.1 Citizens Participation in the budgeting process

Cross-examining the item about citizens participation in the budgeting process scale”, statistics revealed that cumulatively thirty-six (36) respondents constituting 48% of the sampled population agreed with the statement as compared to twenty-two (22) respondents constituting 29.3% who disagreed with the statement. Seventeen (17) respondents constituting 22.7% of the sampled population to stayed neutral to this statement. The poor percentage rating was confirmed by a mean value of =3.39 and a high standard deviation value of =1.15 value suggesting to respondents’ perceptions that there is an indication of low citizens’ participation in the budgeting process.

During interviews, a similar question was asked and the findings indicated mixed reactions. While some respondents agreed, others rejected claiming that citizens do not take part Respondents who agreed that citizens participate in the budget process cited examples of the bottom up process, involvement in the parish level planning meetings and participation in the budget conferences. However, even those who agreed were sceptical about the effectiveness of public participation in the budget process since t local people are hardly involved in the local government budgets.

5.4.4.2 Councillors understand how to develop the local budgets

When examining the item that concerns whether Councillors understand how to develop the local budget scale”, descriptive statistics revealed that, cumulatively twenty-six (26) respondents that is, 34.7% of the sampled population agreed with the statement that, Councillors understand how to develop the local budget scale. It was also observed that twenty-six (26) respondents constituting 34.3% of the sampled population were negative while twenty three (23) respondents constituting 30.7% of the sampled population stayed neutral; they never agreed nor disagreed with the statement. The poor percentage rating was confirmed by a mean value of =3.04 and modest standard deviation value of =0.951 pointing to suggestions that some councillors do not properly understand how to develop the local budget.

Qualitative probing of the same item during interviews revealed that majority of the interviewees were of the opinion that councillors do not effectively understand the budget process because they are illiterate. One accounting officer who requested to remain anonymous had this to say:

No, we just give them copies of the draft budget but councillors never get copies of the approved budgets. In any case, few councillors demand copies of the approved budgets.

5.4.4.3 Incorporation of local needs in local government budgets

When examining the issue as to whether local needs are included in the budget, descriptive statistics revealed that, cumulatively sixty-one (61) respondents constituting 81.3% of the sampled population agreed with the statement that, local needs are included in the budget. Only six (6) respondents constituting 4% of the sampled population disagreed with the statement hence, holding the view that local needs are not considered in the budget. Eight (8) respondents comprising 10.8% preferred to remain neutral to the statement. The good percentage rating was confirmed by a mean value of =4.00 and modest standard deviation value of =0.93 thus pointing to suggestions that some local needs are not adequately included in the local government budgets.

Similar findings were revealed during interviews when respondents gave examples of local needs that are commonly included in local government budgets. These include construction of access roads, repair of water sources, construction and repair of markets, installation of streetlights, provisioning of public infrastructure and scholastic materials in government aided primary schools, and renovation of health facilities.

5.4.4.4 Civil servants effectively implement local government budgets

With respect to whether civil servants effectively implement the budget, cumulatively the larger percentage of 81.3% of the sampled population agreed to the statement. Ten (10) respondents constituting 13.3% disagreed with this statement while twelve (12) respondents constituting 16% of the sampled population remained neutral on the statement. Generally, the mean value of = 3.8 and a modest standard deviation value of =0.986, corresponding to “Agreed”, revealed that respondents believed that some civil servants were ineffective in implementing the local government budgets.

During interviews, responses from key informants revealed that while civil servants claimed that they effectively implement local government budgets, they are however constrained by financial resource allocations, declining locally generated revenues, and unprecedented releases of local government grants from the Central Government. In any case, most of the civil servants interviewed reported that they implemented more than 80% of the local government budgets despite the aforementioned constraints.

On the other hand, politicians who were interviewed showed significant dissatisfaction in the way civil servants implement local government budgets. Many complained that the implementation of local government budgets left out the political leadership. One councillor in a Municipal Council said that: *“For the politicians its eyes on, hands off”*

5.4.4.5 CSOs’ effectiveness in monitoring local government budgets

With regard to the item “CSOs effectively monitor the budget”, descriptive statistics revealed that cumulatively twenty-four (24) respondents of the sampled population constituting 32% agreed that CSOs effectively monitor the budget compared to twenty-eight (28) respondents constituting 37.3% who did not agree with the statement.. Twenty-three (23) respondents constituting 30.7% of the sampled population chose a neutral position. The poor percentage rating was further confirmed by a value of =2.93 and a high standard deviation value of =1.031 signalling to possibilities that respondents believed that some CSOs ineffectively monitor the local government budget process.

During interviews, respondents were asked to comment about CSOs effectiveness to monitor Local Government budgets. Findings revealed that financial constraints make it difficult for CSOs to effectively monitor local government programmes. Therefore, CSOs only target few programmes for which monitoring funding could have been granted. It was also reported that CSOs face a challenge of capacity gaps. As a result, they cannot effectively monitor local government activities. Other respondents castigated local CSOs as being established to benefit from the local communities and not to serve the communities and in some cases they operate as brief case family enterprises.

A member of District NGO Forum (DNF) in one of the districts where the study was conducted disagreed with the claim that CSOs lack capacity to monitor local government budgets. He and claimed that the failure by CSOs to effectively monitor the local government budgets is attributed to the tendency by local governments to invite CSOs on the days of budget conference and not for budget approval meetings. This means that CSOs are not engaged in the budget implementation process.

5.4.4.6 Effectiveness of local revenues collection in financing local government budgets

Exploring the subtheme on whether local revenues are effectively collected to finance the budget, descriptive statistics revealed that, cumulatively forty-three (43) respondents constituting 57.3% of the sampled population agreed with the statement that, local revenues are

effectively collected to finance the budget. Twenty-two (22) respondents constituting 29.3% of the sampled population disagreed with the statement and 10 respondents comprising 13.3% remained neutral to the statement. The poor percentage rating was further confirmed by a mean value of =3.33 and high standard deviation value of =1.082 suggesting that respondents believed that local councils' revenues were ineffectively collected to finance the local government budgets.

During interviews, the same respondents were asked about the same item and the responses indicated that respondents disagreed with the assertion. The respondents cited politics, embezzlement of public money arising out of spending at source, relaxation to collect more revenues after realising the bear minimum budgeted revenues and connivance between politicians and tax payers as some of the factors that hinder effective local revenue collections in local governments. One of the respondents reported that in some sub-counties, politicians conspire with traders to open shops after 5:00 pm when tax collectors cannot arrest or apprehend them.

5.4.4.7 Central government dictation on local government budgets

Concerning the item that concerns whether the central government dictates on what the local budgets should finance, the descriptive statistics revealed that, cumulatively 61 respondents who make up 81.3% of the sampled population agreed that the central government dictates on what the local budgets should finance. Nine (9) respondents constituting 12% of the sample population disagreed with the statement and five (5) respondents constituting 6.7% remained neutral to the statement. The high percentage rating was confirmed by mean value of =4.09 and a modest standard deviation value of =0.975 statistically revealing that respondents believed that to some extent, the central government dictates on what the local budgets should finance.

The same item was interrogated during the face-to-face interviews and respondents reported that its true that the central government has a hand in local government budgeting especially in the allocation of the conditional grants. The Central Government also has a hand in the sector specific funding such as water, roads, functional adult literacy, education and health. Respondents also cited the Local Government Act that requires sub-counties to remit 35% of the locally generated revenues to the districts while municipal divisions remit 50% of their local revenues to municipal councils.

5.4.4.8 Value for money resulting from participatory budgeting

As to whether there is value for money because of participatory budgeting, responses indicated that 22.7% of the sampled respondents agreed with the statement. On the other hand, 17.4% of the sampled respondents disagreed with the statement while 13.3% of the sampled respondents preferred to remain neutral to the statement. The mean value of =3.65 was accompanied by a high and scattered standard deviation value of =1.007 revealing that respondents believed that there was minimal value for money in local government programmes as a result of participatory budgeting.

In line with the findings from the quantitative method, one respondent from the district technical planning committee (TPC) of one of the study districts commented that:

To some extent, there is value for money because of participatory budgeting. However, the introduction of the Practice Directive of Force-on-Account where by construction of feeder roads no longer goes through the contracts committee but is conducted using locally procured road construction equipment has resulted in shoddy works in the roads sector. Force-on-Account Practice Directive compromises value for money and puts the risks in the hands of the accounting officer unlike under the previous practice of procuring roads construction under the Contracts Committees.

5.4.4.9 Participatory budgeting reducing corruption

On the research item whether participatory budgeting has reduced corruption, the responses indicated that cumulatively 49.3% of the sampled respondents agree that participatory budgeting has reduced corruption. On the other hand, 25.3% of the respondents disagreed with the statement and 25.3% of the sampled respondents remained neutral to the statement. The mean value of =3.23 was accompanied by a high standard deviation value of =1.11 revealing that respondents believed that probably participatory budgeting had not reduced corruption.

In line with the revelations of the quantitative method, a respondent from one of the town councils argued that participatory budgeting puts more attention on what things should be done but does not involve many of the stakeholders on what has already been done. Therefore, participatory budgeting facilitates participatory planning but not monitoring and evaluation, making the process to have limited impact towards reducing corruption in local governments.

5.4.4.10 Participatory budgeting increasing quality of public services

About whether the quality of public services has increased due to participatory budgeting, the statistics revealed that cumulatively thirty-seven (37) respondents constituting 49.3% of the sampled population agreed with the statement that quality of public services has increased due to participatory budgeting. Nineteen (19) respondents constituting 25.3% disagreed with the statement, while nineteen (19) respondents that is, 25.3% of the total population preferred to remain neutral to the statement. The poor percentage rating was confirmed by a mean value of = 3.23 and a high standard deviation value of =1.11, suggesting that respondents believed that the quality of public services had slightly increased because of participatory budgeting.

During interviews, a similar question was posed to the respondents and it was revealed that the whole process of local budgeting depends on the vigilance of the local council. In situations when council is vigilant, the quality of public services improves. However, in many cases, councillors' work on self-interest.

5.4.4.11 Local budgets focusing on solving local needs

Concerning the issue of local budgets focusing on solving local needs, statistics revealed that cumulatively sixty three (63) respondents comprising 84% of the sampled population agreed that local budgets are made with a focus on solving local needs, while seven (7) respondents constituting 9.3% disagreed with the statement. Five (5) respondents constituting 6.7% neither agreed nor disagreed with the statement. The high percentage rating was confirmed by a mean value of = 4.00 and a moderate standard deviation value of =0.885, suggesting that respondents believed that sometimes local government budgets focus on solving local needs.

During interviews, the question was probed further to the respondents and responses indicated that the majority of the respondents agreed that local budgets to some extent focus on solving local needs. The respondents gave examples of local government budgets being used to implement that were identified in the planning meetings from where a few items are sometimes picked for inclusion in the budgets.

5.4.4.12 Average index for participatory budgeting and responsiveness to local needs

The Average Index for the eleven items probing participatory budgeting and responsiveness to local priorities was computed. This was done in order to have an overview on how the respondents rated themselves on the impact of participatory budgeting on responsiveness to

local priorities in local governments in Uganda. An average index was computed from the eleven items and Table 5.9 reveals the relevant descriptive statistics.

Table 5.9 Summary of descriptive statistics on respondents’ self-rating on the impact of participatory budgeting on responsiveness to local priorities (N=75)

| | | |
|----------------------------------|-------------|-------|
| Mean | | 3.93 |
| 95% Confidence Interval for Mean | Lower Bound | 0.622 |
| | Upper Bound | 4.81 |
| Median | | 4.00 |
| Standard Deviation | | .544 |
| Minimum | | 1 |
| Maximum | | 5 |
| Range | | 3 |
| Skewness | | 0.201 |

Source: Researcher; 2018

Table 5.9 shows respondents’ ratings on the participatory budgeting in relation to responsiveness to local priorities in local governments. The opinions ranged from 0.622 to 4.81 at the 95% Confidence Interval for Mean. Despite the average rating, results from the above Table 5.9 reflect that some respondents scored very poorly at a Minimum of 1.00 while others scored best at a Maximum of 5. This gave a wide difference as reflected by a high range of 4.00. Results also revealed that, there were similar views from respondents’ regarding the effects of participatory budgeting as was manifested in the low standard deviation value of =0.544 suggesting that respondents’ views concerning participatory budgeting did not differ so much from one respondent to another. The difference in opinions as regards low and high levels of participatory budgeting was at 4.00, which was supported by the aforementioned modest standard deviation value of 0.544. Results from Table 5.9 further indicate that there was some degree of skewness at = 0.201, suggesting that the respondents’ opinions were almost normally distributed.

Overall, the statistics given above indicate that participatory budgeting contributes positively to enhancing responsiveness to local priorities in local governments in Uganda.

5.5 Hypothesis testing

A regression analysis was carried out to test the hypothesis regarding Objective 2, which was stated as:

H₀: Participatory budgeting delivers effective local government priorities

H₁: Participatory budgeting does not deliver effective local government priorities

Findings from the regression analysis presented in Table 5.10, and the discussion of the findings follows thereafter.

Table 5.10 showing regression weights from empirical Objective Two

| | | | Estimate | S.E. | C.R. | P | Label |
|------|------|---------|----------|------|--------|------|-------|
| B411 | <--- | Common2 | .808 | .209 | 3.868 | *** | |
| B410 | <--- | Common2 | .933 | .222 | 4.196 | *** | |
| B49 | <--- | Common2 | 1.063 | .266 | 3.995 | *** | |
| B48 | <--- | Common2 | .652 | .218 | 2.987 | .003 | |
| B47 | <--- | Common2 | -.318 | .196 | -1.619 | .105 | |
| B46 | <--- | Common2 | .714 | .235 | 3.032 | .002 | |
| B45 | <--- | Common2 | .980 | .247 | 3.975 | *** | |
| B44 | <--- | Common2 | 1.049 | .246 | 4.266 | *** | |
| B43 | <--- | Common2 | .778 | .214 | 3.637 | *** | |
| B42 | <--- | Common2 | .822 | .221 | 3.725 | *** | |
| B41 | <--- | Common2 | 1.000 | | | | |

Source: Researcher; 2018

The text output above displays standard errors, critical ratios (estimate/standard error) and p-values for the regression weights. No p-value is listed for the Item B₄₁ (*Citizens participate in the budgeting process*) because it was constrained to 1.000 and was consequently discarded from the data set.

Items B₄₂, B₄₃, B₄₄, B₄₅, B₄₆, B₄₈, B₄₉, B₄₁₀ and, B₄₁₁ have p-values that are smaller than the conventional 0.05 significance level. This means that their regression weights associated with Common₂ indicator (participatory planning and quality of development plans indicator) are significantly different from zero. In other words, they are measuring the same latent variable

(Participatory budgeting and responsiveness to local priorities). These items were retained in the questionnaire.

Items marked with *** as p-values mean that their p-values are less than 0.001. hence, they strongly measure the variable under study. To establish the strongest among these items in measuring the variable, I further considered the Estimates (regression weights) and items with the highest regression weights selected as those that significantly contribute to the variable. These items were further identified from the questionnaire as **B49**, **B44** and **B45** and explained as:

- B49:** Participatory budgeting reduces corruption
- B44:** Civil servants effectively implement budget
- B45:** CSOs effectively monitor budget

Item B47 (*The central government dictates on what the local budgets should finance*) has p-values greater than 0.05 (=0.105) significance which means that its regression weight associated with participatory budgeting and responsiveness to local priorities indicator is not significantly different from zero. In other words, it is not significantly associated with the common factor. This item was therefore removed from the questionnaire.

Furthermore, more squared multiple correlation was generated between participatory planning and Quality of Local Governments and an estimate of .221 for participatory budgeting means that participatory budgeting explains about 22.1% of the variance in Quality of Local Governments. This implies that participatory budgeting delivers effective local government priorities.

Additionally, a Chi Square test was run to test the hypothesis: The hypothesized model does not significantly vary from the population. A non-significant Chi Square means that the predicted model is consistent with the observed data. A significant Chi Square means lack of satisfactory model in it. If the model Chi Square's p-value is less than or equal to 0.05, the researcher's model is rejected. The smaller the Chi Square the better the model fit. Given that $\chi^2 = 163$, $df=44$, $p>0.05$ (=0.532) this implies the hypnotized model for **Participatory budgeting and local government priorities** does not significantly vary from the population. This means that the model is representative of the population; therefore, it was accepted.

5.5.1 Empirical Objective Three: To assess the capacity of local councillors to effectively management public policies

The variables on the level of response were obtained from the independent variable of the research thesis. Ten (10) quantitative questions were given to respondents, which they based on to assess themselves on the capacity of local councillors in effective management of public policies in local governments in Uganda. The responses were based on Likert's scale given the ranges: 1= Strongly Disagree, 2=Disagree, 3 = Neutral, 4=Agree and 5= Strongly Agree. Table 5.9 shows pertinent frequency tables, means and standard deviations. The SD values were later analysed and classified as low/close (0-0.5) moderate/modest (0.6-0.99) and high/scattered/dispersed (1+).

Table 5.11 Descriptive statistics on respondents self-rating on the capacity of local Councillors in effective management of public policies (N=75)

| Items | SD | D | N | A | SA | \bar{X} | SDe |
|---|---------------|---------------|---------------|---------------|---------------|-----------|-------|
| Councillors possess enough skills to manage local policies | 15 (20%) | 44 (58.7%) | 13 (17.3%) | 2 (2.7%) | 1 (1.3%) | 2.07 | 0.777 |
| Councillors are committed to local governments | 4 (5.4%) | 21 (28%) | 14 (18.6%) | 36 (48%) | | 3.09 | 0.989 |
| Councillors design the right contents in local policies | 2 (2.7%) | 38 (50.7%) | 13 (17.3%) | 22 (29.3%) | | 2.73 | 0.92 |
| There are sufficient resources available to councillors to effect local policies | 11 (14.7%) | 46 (61.3%) | 9 (12%) | 7 (9.3%) | 2 (2.7%) | 2.24 | 0.913 |
| Councillors design policies that are relevant to the local contexts. | 2 (2.7%) | 21 (28%) | 14 (18.7%) | 35 (46.6%) | 3 (4%) | 3.21 | 0.99 |
| The general public and CSOs are involved in policy formulation | 2 (2.7%) | 17 (22.7%) | 13 (17.3%) | 39 (52%) | 4 (5.3%) | 3.35 | 0.979 |
| Councillors have sufficient experience in policy management | 11 (14.7%) | 39 (52%) | 18 (24%) | 6 (8%) | 1 (1.3%) | 2.29 | 0.866 |
| Councillors get the necessary support especially from technical officers to manage local policy | 2 (2.7%) | 16 (21.3%) | 5 (6.7%) | 41 (54.6%) | 11 (14.7%) | 3.57 | 1.068 |
| There is sufficient infrastructure to design and implement local policies | 5 (6.7%) | 35 (46.7%) | 7 (9.3%) | 23 (30.6%) | 5 (6.7%) | 2.84 | 1.139 |
| Policies take into account both short term and long term interventions | | 10 (13.3%) | 7 (9.3%) | 45 (60%) | 13 (17.4%) | 3.81 | 0.881 |

SA=Strongly Agree, A=Agree, N=Neutral, D=Disagree, SD= Strongly Disagree, SDe= Standard Deviation, \bar{X} = Mean

Source: Researcher; 2018

Table 5.11 above shows, the appropriate frequency tables, means and standard deviations about the respondents, and self-rating on “the impact of participatory budgeting on responsiveness to

local priorities in local governments in Uganda”. Each of the scales (items) measured in Table 5.11 above is analysed and discussed independently hereunder.

5.5.1.1 Councillors have skills to manage local policies

When examining the issue as to whether councillors have enough skills to manage local policies, descriptive statistics revealed that cumulatively fifty-nine (59) respondents constituting 78.7% of the sampled population hold the view that councillors do not have enough skills to manage local policies. Three (3) respondents constituting 4% who agreed with the statement to claim that councillors possess enough skills to manage local policies. On the other hand, thirteen (13) respondents constituting 17.3% preferred to stay neutral to this statement. The modest percentage rating was confirmed by a mean value of = 2.0 and a moderate standard deviation value of =0.777, consequently suggesting that respondents believed that some councillors do not possess the necessary skills to manage local policies.

The same question was asked during qualitative interviews. The responses indicate that only few councillors have the required skills to manage local government policies because the local council elections regulations do not attach minimum education requirements on offices of local councillors. Besides, the respondents reported that there has not been a nationwide induction programme of local government councillors after the 2016 general elections as has always been the case with previous general elections. This is partly responsible for low skills among local councils to manage local government policies.

5.5.1.2 Councillors’ commitment to local governments

The study further set out to examine whether councillors are committed to local governments. The statistics reveal that cumulatively thirty-six (36) respondents representing 48% of the sampled population agreed with the statement that, councillors are committed to local governments, as compared to twenty-five (25) respondents constituting 33.3% who disagreed with the statement. Fourteen (14) respondents constituting 18.7% remained neutral on this statement. The poor percentage rating was confirmed by a mean value of = 3.09 and a moderate standard deviation value of =0.989, suggesting that respondents believe that indeed a reasonable number of councillors do not commit to local governments business.

The same question was asked during qualitative interviews and the respondents expressed mixed reactions. Whereas some respondents reported that councillors are only committed to local government programmes when they expect financial rewards, other respondents gave

examples of local councils where councillors continue to conduct local government businesses even when funds are not yet secured. What is known is that the number of councillors who showed commitment to local government programmes when funds were not available were very few.

5.5.1.3 Councillors design the right contents in local policies

When examining the issue regarding whether councillors design the right contents in local policies, descriptive statistics revealed that, cumulatively forty (40) respondents constituting 53.3% of the sampled population disagreed with the statement, hence, claiming that that councillors do not design the right contents in local policies. Twenty-two (22) respondents constituting 29.3% of the sampled population agreed with the statement while thirteen (13) respondents constituting 17.3% neither agreed nor disagreed with the statement. The poor rating is confirmed by a poor mean value of =2.73 and a high standard deviation value of =0.92 suggesting that probably councillors do not design the right contents in local policies.

During qualitative interviews, the same question was posed to the respondents and it was established that the contents of local government policies are adequate because councillors are always guided by technical staff employed in the districts.

5.5.1.4 Availability of sufficient resources to councillors to effect local policies

As to whether there are sufficient resources available to councillors to effect local policies, the respondents' indicated that cumulatively, a large percentage of 76% of the sample disagreed with the statement. On the other hand, 12% agreed with the statement and another 12% of the sampled respondents preferred to remain neutral. The mean value of =2.24 was accompanied by a moderate standard deviation of value =0.913 pointing to revelations that respondents believed that there was insufficient resources available for local councils to effect local government policies.

During face-to-face interviews, the same question was posed on respondents. The opinions were that resources allocated to councillors to effect local policies are dictated by the statutory limits of 20% on the locally generated funds in the previous financial year. This money is usually very little and cannot effectively enable local councillors to monitor local government policies and programmes.

5.5.1.5 Councillor design locally relevant policies

Another item on which views were sought concerns whether councillors design policies that are relevant to the local contexts. Statistics revealed that cumulatively thirty eight (38) respondents constituting 50.7% of the sampled population agreed with the statement that, councillors design policies that are relevant to local contexts while twenty three (23) respondents constituting 30.7% disagreed with the statement. Fourteen (14) respondents constituting 18.7% remained neutral to the statement. The poor percentage rating was confirmed by a mean value of = 3.21 and a moderate standard deviation value of =0.99, suggesting that respondents believe that councillors probably fail to design policies that are relevant to the local contexts.

5.5.1.6 Public involvement in policy formulation

When cross-examining the issue of whether the general-public and CSOs are involved in policy formulation, descriptive statistics revealed that, cumulatively forty-three (43) respondents constituting 57.3% of the sampled population of the study agreed that the general public and CSOs are involved in policy formulation. Twenty-three (23) respondents constituting 30.7% of the sampled population disagreed with the statement while thirteen (13) respondents comprising 17.3% neither agreed nor disagreed with the statement. The poor percentage rating was confirmed by a mean value of =3.35 and a modest standard deviation value of =0.979 thus suggesting that respondents believe that the general public including CSOs may not be fully involved in policy formulation.

The above findings were correlated with oral interviews of key respondents, who suggested further that the general-public and CSOs do not always get actively involved in policy formulation. They rely on their elected councillors who often also fail to report to their constituencies in time and wait for periods near elections.

5.5.1.7 Experience of councillors in policy management

On examining the item on whether councillors have sufficient experience in policy management, descriptive statistics revealed that, cumulatively fifty (50) respondents constituting 66.7% of the sampled population of the study disagreed with the statement. Only seven (7) respondents constituting 9.3% of the sampled population agreed with the statement and eighteen (18) respondents representing 24% remained neutral to this statement. The poor percentage rating was confirmed by a mean value of =2.29 and a moderate standard deviation

value of =0.866 which signifies that respondents believed that some councillors do not have sufficient experience in policy management.

When conducting validating interviews, the same question was asked and respondents revealed that most of the councillors aim at satisfying their private interests and do not care about acquiring skills in managing local policies.

5.5.1.8 Councillors receive technical support to manage local policies

With regard to the issue of whether Councillors get the necessary support especially from technical officers to manage local policy, descriptive statistics revealed that cumulatively fifty two (52) respondents of the sampled population constituting 69.3% agreed with the statement that councillors receive technical support to manage local policies. Eighteen (18) respondents constituting 24% disagreed with the statement. Five (5) respondents constituting 6.7% of the sampled population remained neutral. The fair percentage rating was confirmed by a mean value of =3.57 and a high standard deviation value of =1.068 suggesting that respondents believed that sometimes councillors get technical support from civil servants in the management of local government policies.

5.5.1.9 Presence of infrastructure to design and implement local policies

On whether there is sufficient infrastructure to design and implement local policies, descriptive statistics revealed that cumulatively twenty-eight (28) respondents constituting 37.3% of the sampled population agreed with the statement that, there is sufficient infrastructure to design and implement local policies. On the other hand, forty (40) respondents constituting 53.3% who disagreed with the statement. Only seven (7) respondents constituting 9.3% of the sampled population preferred to remain neutral to the statement. The poor percentage rating was confirmed by a mean value of = 2.84 and a high standard deviation value of =1.139, suggesting that respondents believed that there were insufficient infrastructure (policy furniture) to design and implement local government policies.

While probing the same question of infrastructure to manage local policies, respondents expressed concern that although there is some infrastructure in place in some local governments, the majority still lack the basic infrastructure. The biggest challenge is lack of electricity in many rural local governments such that even if there existed computers and printers, they cannot be effectively utilised, which is a big hindrance to local policy management.

5.5.1.10 Local policies take into account both short term and long-term interventions

Concerning the issue as to whether policies take into account both short term and long-term interventions descriptive statistics showed that cumulatively fifty eight (58) respondents constituting 77.3% of the sampled population agreed with the statement that, there is sufficient infrastructure to design and implement local policies whereas ten (10) respondents constituting 13.3% disagreed with the statement. Seven (7) respondents constituting 9.3% of the sampled respondents preferred to stay neutral. The fair percentage rating was confirmed by mean value of = 3.81 and a moderate standard deviation value of =0.881, consequently pointing to suggestions that respondents believed that sometimes local government policies take into account both short term and long-term interventions.

During interviews with key respondents, the same question was posed to one of the town clerks who expressed that:

Sometimes there is planning for short term and long term priorities. For example, there was a council bye-law passed on urban waste management whereby all councillors agreed and supported the bye-law for the good of the communities. Councillors supported the policy of generator responsibility of solid waste management in urban areas as a good example of councillors embracing long-term interests.

5.5.1.11 Average index for capacity of councillors to manage local government policies

Computation of the Average Index for ten items probing capacity of councillors to manage local government programmes was made. This was done in order to have a overview of how the respondents rated themselves regarding “the capacity of local councillors to effectively manage public policies in local governments in Uganda.” The computed average index was from the ten items and Table 5.12 reveals the relevant descriptive statistics.

Table 5.12 Summary of descriptive statistics on respondents’ self-rating on the capacity of local councillors to effectively manage of public policies (N=75)

| | | |
|----------------------------------|-------------|-------|
| Mean | | 3.03 |
| 95% Confidence Interval for Mean | Lower Bound | 0.422 |
| | Upper Bound | 3.81 |
| Median | | 3.00 |
| Standard Deviation | | .744 |
| Minimum | | 1 |
| Maximum | | 5 |
| Range | | 3 |
| Skewness | | 0.301 |

Source: Researcher; 2018

Table 5.12 shows respondents’ ratings on the capacity of local councillors to effectively manage local governments’ policies. The opinions ranged from 0.422 to 3.81 at 95% confidence interval for the mean. Despite the average rating, results in Table 5.12 indicate that some respondents, like in previous objectives, scored very poorly at a Minimum 1.00 while others scored highly at a Maximum of 5. This gave a widespread difference as reflected by a high range of 4.00. Findings also revealed that, there were similarities in respondents’ opinions regarding the capacity of local councillors to effectively manage local policies as reflected in moderate standard deviation value of =.744 suggesting that respondents’ views concerning the capacity of local councillors to effectively manage local governments’ policies do not differ so much from respondents in different communities. The difference in opinions as regards low and high levels of capacity of local councillors to effectively manage local government public policies was at 4.00 and was supported by the aforementioned standard deviation value of =0.744. Results indicated in table 5.8 further reveal that there was some degree of skewness at values of = 0.301, suggesting that the respondents’ opinions were not well distributed.

In summary, the findings from in regard to objective 3 of the study reveal mixed reactions from the respondents with regard to capacity of local councillors to effectively manage local government policies.

Hypothesis testing

A regression analysis was carried out in line with Objective Three of the study, and the following hypothesis was tested:

H₀: Local councillors have effectively managed local government policies.

H₁: Local councillors **HAVE NOT** effectively managed local government policies.

Findings from the regression analysis are presented in table 5.13 and discussion of the findings follows.

Table 5.13 showing the regression weights of Objective Three

| | | | Estimate | S.E. | C.R. | P | Label |
|-------------------|------|---------|----------|------|-------|------|-------|
| B ⁵ 10 | <--- | Common2 | .866 | .276 | 3.132 | .002 | |
| B ⁵ 9 | <--- | Common2 | 1.500 | .383 | 3.912 | *** | |
| B ⁵ 8 | <--- | Common2 | 1.183 | .343 | 3.443 | *** | |
| B ⁵ 7 | <--- | Common2 | 1.509 | .326 | 4.628 | *** | |
| B ⁵ 6 | <--- | Common2 | 1.250 | .327 | 3.828 | *** | |
| B ⁵ 5 | <--- | Common2 | .996 | .312 | 3.190 | .001 | |
| B ⁵ 4 | <--- | Common2 | .885 | .286 | 3.095 | .002 | |
| B ⁵ 3 | <--- | Common2 | 1.098 | .301 | 3.643 | *** | |
| B ⁵ 2 | <--- | Common2 | 1.054 | .315 | 3.340 | *** | |
| B ⁵ 1 | <--- | Common2 | 1.000 | | | | |

Source: Researcher; 2018

The text output above displays standard errors, critical ratios (estimate/standard error) and p-values for the regression weights. No p-value is listed for Item B₅1 (*Councillors have enough skills to manage local policies*) because it was constrained to 1.000.

All the other Items (B₅2, B₅3, B₅4, B₅5, B₅6, B₅7, B₅8, B₅9 and B₅10) have p-values smaller than the conventional 0.05 significance level. This means that their regression weights associated with the capacity of local councillors' indicator are significantly different from zero. In other words, they measure the same latent variable (**Capacity of local councillors**). The items in this particular variable were therefore maintained on the questionnaire.

For items marked with *** as p-values mean that their p-values are less than 0.001; hence they strongly measure the variable under study. To further establish the strongest items measuring this variable, I considered the Estimates (regression weights) and items with the highest regression weights were considered as the highest contributor to the variable. For this study, the items considered were B₅₇, B₅₉, B₅₆ and were identified from the questionnaire as:

B₅₇: Councillors have experience in policy formulation.

B₅₉: There is sufficient infrastructure to design and implement local policies.

B₅₆: General-public and CSOs are involved in policy formulation.

In addition, more squared multiple correlation was generated between Capacity of Local Councils and Quality of Local Governments and an estimate of .291 for Capacity of Local Councils means that Capacity of Local Councils explains about 29.1% of the variance in Quality of Local Governments. This means that Local councillors have effectively managed local government policies.

Furthermore, a Chi Square test was run to test the hypothesis: The hypothesized model does not significantly vary from the population. A non-significant Chi Square means that the predicted model is consistent with observed data. A significant Chi Square means lack of satisfactory model fit. If the model Chi Square's p-value is less than or equal to 0.05 the researcher's model is rejected. The smaller the Chi Square the better the model fit. Given that $\chi^2 = 91$, $df=35$, $p>0.05$ ($=0.385$) this implies the hypothesized model for capacity of local councillors and local government policies does not significantly vary from the population. This means that the model is representative of the population; therefore, it was accepted.

5.6 Summary of results

This chapter presented results from both quantitative and qualitative investigations. The results provide the background to the discussion of findings, conclusions and recommendations. Overall, results show mixed reactions on the impact of participatory planning and budgeting on quality of local development plans and local budget prioritisation. However, the results presented in this chapter provide evidence that local councillors lack capacity to effectively manage local policies.

CHAPTER SIX

PROPOSED MODEL OF PARTICIPATORY GOVERNANCE IN LOCAL GOVERNMENTS IN UGANDA

6.1 Introduction

There are several definitions of theory as applied in social research. For example, theory was defined as a model or a framework for observation and understanding that is used to shape what and how we see it (Kawulich, 2009: 29-245). Theories were also defined as assumptions and general propositions covering a given subject matter from which comprehensive and consistent sets of specific and testable principles could be deduced logically (Mahesh & Sara Neena, 2011: 213-135). In this case, theories may also be expressed as generalised statements asserting a connection between two or more situations. Theories illustrate a systematic interconnectedness of abstracts or ideas, condensing and organising knowledge in the real world. Therefore, theories organise research by aligning the ideas therein, becoming stronger as more supporting evidence gets collected upon which predictions can be made.

Theories can exist at Micro, Meso, and Macro levels. Micro level theories explain behaviour at individual or family scale; Meso level theories explain interactions of micro level organisations, while Macro level theories explain behaviours at the level of large groups of people such as races, gender or social classes. The model developed in this study was premised at the Meso level focusing on service delivery in local government institutions.

Kawulich (2009: 29-245), proposed seven core areas that form the basis of evaluating the quality of theories. To justify this model, the following evaluation criteria were relied upon:

- I. Logical and coherence
- II. Fitting within available data
- III. Providing testable claims
- IV. Testable theory-based predictions
- V. Working better than rival theories
- VI. Transferability of the theory
- VII. Applicability of the theory

Mahesh and Sara Neena (2011:6) further outlined the major contributions of theory in social research:

- (1) To begin with, theories delimit the studies and narrows the range of facts to be studied and creates a framework within which research is carried out;
- (2) Secondly, theories are the foundations of the conceptual models/ structures for formulation of the research problem;
- (3) Also, theory summarises what has been known about the research/ study by moving from older ideas to newer ideas;
- (4) Theories state the universal laws and the general uniformity beyond the immediate observations;
- (5) Theories predict further facts about the study problem; and
- (6) Theories fill the knowledge gap by bringing to light several questions arising out the study.

This chapter presents an overview to the role of models in social research; the use of measurements in social research; the use of models in social research; the particular model development process; key local government participants and governance quality areas; the module validation process and a summary.

6.2 Measurements in social sciences

Measurement is defined as the assignment of numerals to objects or events according to pre-determined rules. In statistics, the terminology measurement is used broadly and it is appropriately referred to as scales of measurement and refers to the way variables/numbers are defined and categorized. There are several scales of measurements and each scale has properties and attributes that determines the appropriateness for their use for statistical analyses.

There are two broad types of measurements: Numerals and Numbers. Numerals are labels that have no inherent meaning, for example telephone numbers, or motor vehicle number plates while numbers are numerals that have quantitative meaning and can be analysed, for example, sex, or height.

There are four levels of measurements. First, Nominal (Name) level measurements use symbols to classify observations into mutually exclusive and exhaustive categories and it is the most basic level of measurement. Ordinal measurements use symbols that are not only mutually exclusive and exhaustive but also have categories with some explicit relationships among themselves. Interval measurements classify observations into mutually exclusive and exhaustive categories that have some explicit relationship among them, and this relationship is

known and exact. Lastly, ratios resemble intervals but add on the characteristic of having a meaningful and arbitrary zero point (Michael, 2014:16-35).

There are several advantages attributed to measurements in social research. First, measurements help to interpret the data from variables. Secondly, the level of measurement helps researchers to correctly decide the suitable statistical analysis techniques to assign to the values (Lehman & O'Rourke, 2005:12-68).

Many social science scholars and practitioners have of recent attached great importance to measurements in social research. From the times of Peter Drucker, the great management thinkers who is popularly quoted to having said that "you can't manage what you can't measure", many Public Administrators hold similar views. For example, Edward Demings, a quality improvement expert, also attached great importance to measurements if quality is to be improved. In the field of public administration, Osborne and Gaebler (1992) in their paper; *Reinventing Government*, pointed out the importance of measurements in government service delivery.

6.3 Use of models in social sciences

Models are abstracts and simplified representations of reality generally formulated resulting from empirical research (Horrell, 1996:1-32). The purpose of models is to simplify, abstract, and generalise research findings, in order to be re-tested elsewhere. Usually based on a philosophy of human action, models assume behaviour as predictable and regular, presentable in generalised patterns which occur cross- culturally, and which enable the formulation of and generalisations of human behaviour.

6.3.1 Definition of models

Models identify basic concepts that describe what reality is like, and the conditions by which we can study it (Session, 2005:35). Ideas identified in models are called concepts. Pabjan (2004:1-8) argues that there can be both 'hard' and 'soft' models in social sciences. The 'hard' model types are mathematical formula while the 'soft' model are verbal or in graphic forms of systematic presentation of data or knowledge.

6.3.2 Role of models in social research

Models describe the overall framework used to look at reality, based on a philosophical stance. Pabjan (2004: 1-8) argue that models provide more realistic basis of understanding social

reality by involving important aspects of social economic environments as structure and culture.

6.4 Model development process

Models may be presented in several formats, sometimes presented as formula for linear predictor containing the regression coefficients and functions to transform the predictor variables. Models may also be presented in other formats such as score charts or monograms that relate scores to values of the predictors. However, when models are developed with regression analysis, their scores are directly derived from the regression coefficients, sometimes by multiplying by 10 and rounding off. The model building process involved five steps: model building; model adequacy; model assumptions; potential modelling problems and solutions; and model validation

6.4.1 Module building

The model was developed as a multi regression model. Regression analysis is a statistical process for estimating relationships among variables. It includes several techniques for modelling and analysing multiple variables, to establish the relationship between a dependent variable and one or many independent variables. Regression analysis helps to understand how the values of the dependent variable (Criterion Variable) changes as any one of the independent variables changes, while the other independent variables are held constant (Eregno et al., 2013:2-34).

The model developed under this study was built on findings and conclusions derived from multiple regression analyses carried out using AMOS Version where Confirmatory Factor Analysis (CFA) was carried out and several hypotheses tested. The development process of the **LPGM** is illustrated in Figure 6.1. The model was developed from statistics generated in Table 6.1 showing the Regression weights

Table 6.1 Regression weights

| | | | Estimate | S.E. | C.R. | P | Label |
|-----|------|-----|----------|------|--------|------|-------|
| VA | <--- | QLG | .917 | .046 | 19.811 | *** | |
| GoE | <--- | QLG | .898 | .053 | 17.597 | *** | |
| CC | <--- | QLG | .233 | .102 | 2.057 | .040 | |
| PG | <--- | VA | .376 | .134 | 2.245 | .025 | |
| PP | <--- | VA | .208 | .152 | 1.083 | .279 | |
| PB | <--- | VA | .363 | .173 | 1.998 | .046 | |
| CLC | <--- | VA | .367 | .152 | 2.121 | .034 | |
| PG | <--- | GoE | .200 | .129 | 1.194 | .233 | |
| PP | <--- | GoE | .181 | .147 | .945 | .344 | |
| PB | <--- | GoE | .135 | .167 | .743 | .457 | |
| CLC | <--- | GoE | .196 | .146 | 1.133 | .257 | |
| PG | <--- | CC | .099 | .085 | 1.021 | .307 | |
| PP | <--- | CC | -.060 | .097 | -.540 | .589 | |
| PB | <--- | CC | -.066 | .110 | -.627 | .531 | |
| CLC | <--- | CC | -.232 | .097 | -2.307 | .021 | |

Source: Researcher; 2018

Model development

The primary aim in using the multiple regression was to enable the researcher to predict scores on the dependent/criterion variable arising out of scores on multiple independent/ predictor variables. The researcher was also interested in determining the amount of variance in the dependent variable that is explained by the predictor variables and in identifying the most efficiently contributing predictors in the multiple regression model (Everarda & Wei, 2005: 39-90).

In this way, observed variables were drawn as boxes, while latent variables were drawn as circles or ellipses. The error term in the path diagram was drawn as latent because errors were just estimated, and were not measured directly. They were sometimes referred to as Error Variances or Residuals. For the model to be correctly specified, it had to include this residual or error Term/Variance/Residual (e) as an ellipse indicating the existence of other latent or

unmeasured variables (Cao et al., 2018: 1380-1385). It was in fact not expected that scores on the dependent variable were perfectly predicted from scores on the independent variables. The Error variance therefore accounted for that portion of the variances that were not explained by the independent variables.

The path diagram specification of the model highlighted that the predictor variables are correlated in the model. One variable was assumed to “cause” the other variables, then the relationship among these variables was shown as a directed or one-headed arrow, in the direction of cause to effect. These causal effects were presented by single-headed arrows in the path diagram. As to whether one variable “causes” another, it was an assumption that was made by the researcher and not determined by the data.

Several reasons were identified that necessitated the researcher to use this type of modelling. First of all, the assumptions underlying the statistical analyses were testable and clear and using this model enabled the researcher to fully understand the analyses. Secondly, the researcher was able to simultaneously carry out regression coefficients, means and variables across different subject groups. In the same way modelling provided a framework that unified different relationships among the variables.

The Local Participatory Governance Model (LPGM) is illustrated in Figure 6.1

Explanation of the model

The model shows that participatory governance (PG) has influence on voice and accountability (VA), but does not have influence on government effectiveness (GoE) and control of corruption (CC) and that the variance in voice and accountability (VA) explains up to 38.0% of the variance in participatory governance (PG).

The model further shows that participatory planning (PP) does not have influence on neither voice and accountability (VA), nor government effectiveness (GoE) nor the control of corruption (CC).

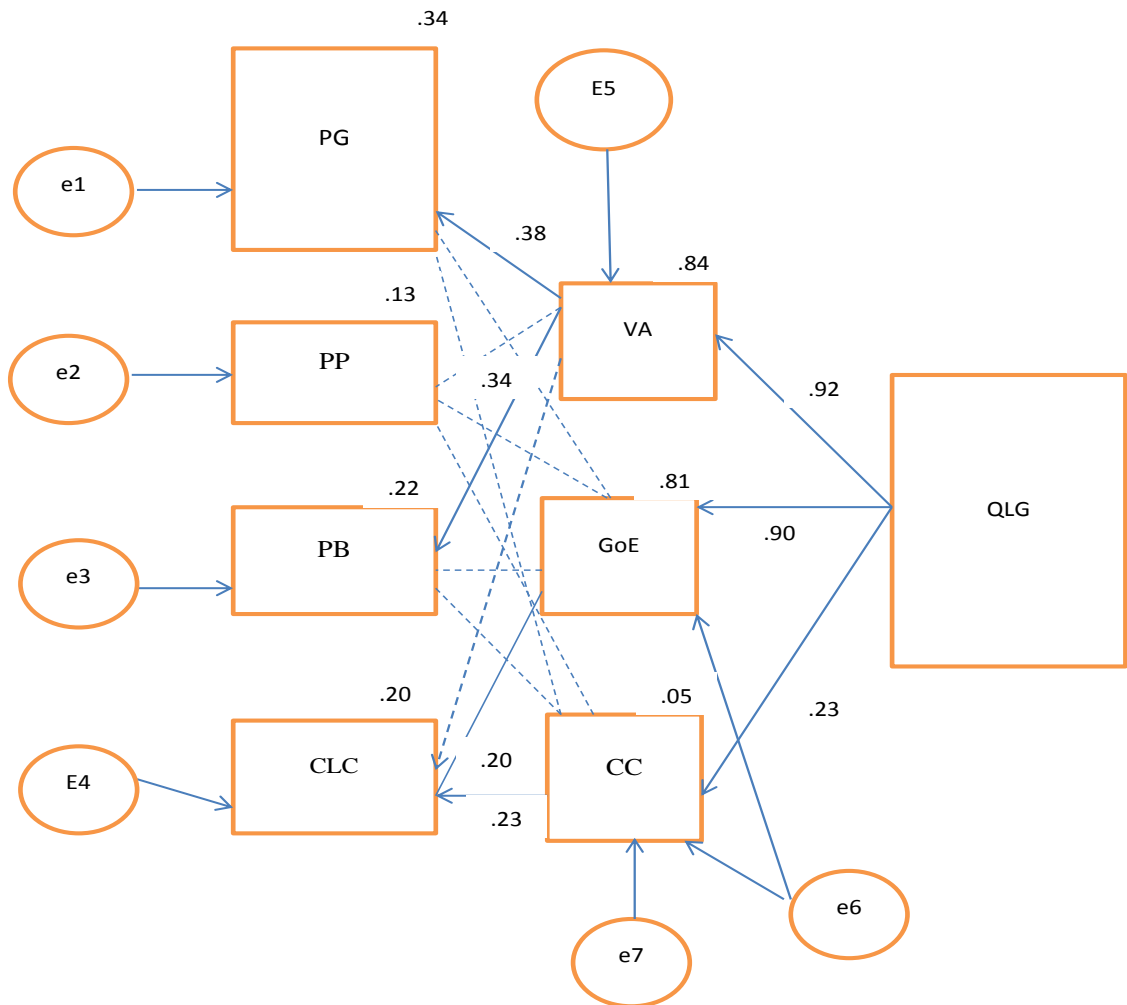
The model also shows that participatory budgeting (PB) has influence on voice and accountability (VA), but does not have influence on government effectiveness (GoE) and control of corruption (CC) and that the variance in voice and accountability (VA) explains up to 34.0% of the variance in participatory budgeting (PB).

Furthermore, the model shows that capacity of local councillors (CLC) has influence on government effectiveness (GoE) and control of corruption (CC), but does not have influence on voice and accountability (VA). The variance in government effectiveness (GoE) explains up to 20.0% of the variance in capacity of local councillors (CLC) and variance in control of corruption (CC) explains up to 23.0% of the variance in capacity of local councillors (CLC).

Finally, the model shows that quality of local governments (QLG) has influence on voice and accountability (VA), government effectiveness (GOE) and control of corruption (CC). The variance in quality of local governments (QLG) explains up to 92.0% in voice and accountability (VA), 90.0% of the variance in government effectiveness (GoE) and 23.0% of the variance in the control of corruption (CC).

The model was further drawn by highlighting the factors that did not prove statistical significance by plotting them as dotted lines as illustrated in Figure 6.2.

Figure 6.2 Model illustration showing variables of no statistical significance



Source: Researcher; 2018

6.4.2 Model adequacy

From the model above, it is apparent that VA, GoE and CC have a significant effect on Quality of Local Governments. VA and GoE with very small p values marked as *** demonstrate high standards of evidence and are superior to CC with a p value of 0.040 although it also demonstrates statistical significance effects on Quality of Local Government. The model shows that the standardized regression weight for VA is 0.917 ($p < 0.05 (= 0.001)$). A standardized regression weight of 0.917 means that every 1(unit) increase in VA will lead to an increase of up to 0.917 units of Quality of Local Governments while holding other variables in the model constant. By holding the other variables constant, it allowed the researcher to assess the effect of each variable in isolation from the others. Similarly, the standardized regression weight of

GoE of up to 0.898 ($p < 0.05 (= 0.001)$) means that for every 1 unit increase in GoE will lead to an increase of 0.898 units of Quality of Local Governments holding other variables in the model constant. Lastly, the standardized regression weight of CC (Control of Corruption) of 0.233 with ($p\text{-value } 0.04 < 0.05$) which means that for every 1 unit increase in CC will lead to an increase of up to 0.233 units of Quality of Local Governments holding other variables in the model constant.

The model also shows that PG, PB and CLC have a significant effect on VA given that their respective P-values are less than 0.05. To this effect, a standardized regression weight for PG of 0.376 means that every 1 (unit) increase in PG will lead to an increase of up to 0.376 units of VA. A standardized regression weight for PB of 0.363 means that every 1 (unit) increase in PB will lead to an increase of up to 0.363 units of VA; and a standardized regression weight for CLC of 0.367 means that every 1 unit increase in CLC will lead to an increase of up to 0.367 units of VA. However, since PP has a p-value of .279 that is greater than the conventional p-value of 0.05, it means that its regression weight associated with VA is not significantly different from zero, in other words, it is not significantly associated with VA and as such it was removed from the model.

Interestingly, the model shows that PG, PP, PB, and CLC have no significant effects on GoE since their p-values are all greater than the conventional 0.05 significance. This means that their regression weights associated with GoE are not significantly different from zero. In other words, they are not significantly associated with GoE and hence they were discarded from the model. Retaining variables that are not statistically significant can minimize the precision of the model.

For CC, the model reveals that the standardized regression weight for CLC of -0.232 with a p-value of 0.021 that is less than the conventional 0.05. A standardized regression weight of -0.232 means that every 1 (unit) increase in CLC will lead to an increase of -0.232 units of CC. This means that CC regression weights associated with CLC is significantly different from zero. In other words, it measures the same latent variable CC and therefore, it was retained in the model. However, items PG, PP and PB have no significant effects on CC since their p values are all greater than the conventional 0.05 significance. This means that their regression weights associated with CC are not significantly different from zero. In other words, they are not significantly associated with CC and therefore, they were removed from the model as earlier

stated. Retaining such variables can minimize the model's precision. Table 6.2 further shows the squared multiple correlations of CC, GoE, VA, CLC, PB, PP and PB.

Table 6.2: Squared multiple correlations of CC, GoE, VA, CLC, PB, PP and PB

| Items | Estimate |
|-------|----------|
| CC | .054 |
| GoE | .807 |
| VA | .841 |
| CLC | .291 |
| PB | .221 |
| PP | .132 |
| PG | .339 |

Source: Researcher; 2018

Table 6.2 above shows the squared multiple correlations for the Dependent Variables of QLG. An estimate of .054 for CC (Control of Corruption) means that CC explains up to 5.4% of the variance in Quality of Local Governments. The other 94.6% variations being associated with other factors. Similarly, an estimate of .841 for VA (Voice and Accountability) means that VA explains up to 84.1% of the variance in Quality of Local Governments. In addition, an estimate of .807 for GoE (Government Effectiveness) means that GoE explains up to 80.7% of the variance in Quality of Local Governments. While an estimate of .291 for CLC (Capacity of Local Councillors) means that CLC explains up to 29.1% of the variance in Quality of Local Governments. In the same way, an estimate of .221 for PB (Participatory Budgeting) means that PB explains up to 22.1% of the variance in Quality of Local Governments. Moreover, an estimate of .139 for PP (Participatory Planning) means that PP explains up to 13.9% of the variance in Quality of Local Governments. Lastly, an estimate of .339 for PG (Participatory Governance) means that overall, PG explains about 33.9% of the variance in Quality of Local Governments considering the Squared Multiple Correlations of CLC, PB and PP.

6.4.3 Model assumptions

The following are the assumptions of the model: Participatory governance accounts to 30% in the variances in the quality of local governments in Uganda.

1. That Participatory Governance (PG) as the Independent Variable (IV) is constituted of three broad elements of Participatory Planning (PP) Participatory Budgeting (PB) and

Capacity of Local Councilors (CLC). Each of these elements has items that were analyzed and weighted collectively. In general, Participatory Governance (PG) accounts for up to 34 of the variations in Quality of Local Governments (QLG), and the other percentages attributed to other factors other than Participatory Governance (PG). Participatory Planning (PP) as an element of Participatory Governance account for up to 13% in the variations in the quality of local governments; Participatory Budgeting (PB) accounts for up to 22% in the variations in the quality of local governments; while Capacity of Local Councilors (CLC) accounts for 20% of the variations in the quality of local governments in Uganda.

2. That Quality of Local Governments (QLG) as the Dependent variable (DV) is comprised of three broad elements of Voice and Accountability (VA) Government Effectiveness (GoE) and Control of Corruption (CC). Voice and Accountability (VA) accounts for up to 84% of Quality of Local Government; while Government Effectiveness (GoE) accounts for up to 81% of Quality of Local Governments; and Control of Corruption accounts for up to 5% of Quality of Local Governments. The other percentages are attributed to other factors.

6.4.4 Potential modelling problems and solutions

The model was premised on two major limitations. Firstly, only four variables (participatory governance, participatory planning, participatory budgeting, and capacity of local councillors) were relied upon in relation to quality of local governments. Although these variables formed the core of the contextual scope of the study, there are other variables that affect the quality of local governments, which this study did not investigate. The choice of these variables was based on a selection of six decentralised local government functions namely, planning, financial, executive, administrative, legislative and judicial functions. The study investigated only three of the six devolved functions.

The second major limitation of the model is that it was developed from a study carried out in six of the twenty-five districts in central Uganda. There is a possibility of transferring challenges to other districts, which were not covered by this study.

Notwithstanding the above limitations, the model illustrates that all the four variables investigated significantly affect the quality of local governments. Participatory governance and participatory planning each contributes up to 30% in the variance in quality of local governments. Capacity of local councillors contributes 32% in the variance in the quality of

local governments, while participatory budgeting contributes 44% in the variance in the quality of local governments.

To address the possible challenges and limitations of the model, the Delphi Technique was used to validate the model.

6.4.5 Model validation

Dumpty, Dodgson, and Carroll (2018: 2-9), define model validation as a process of establishing the degree or extent to which a model accurately represents the real world from the perspectives of the intended model users. Zimmerman (2000:6); explains model validation as a process of assessing whether the model development assumptions were reasonable with respect to the real system where the model was developed to apply. Model validation is different from model verification. The latter involves assessing whether the model implements the assumptions correctly. Zimmerman (2000, : 5) further defines model validation as:

"The task of demonstrating that the model is a reasonable representation of the actual system: that it reproduces system behaviour with enough fidelity to satisfy analysis objectives."

Measuring the advantages of a model is subjective. However, it is based on how accurately a particular module measures as extracted from the model which corresponds with the measures which would be obtained from the development sample (Zimmerman, 2000: 2-9). Whatever the case, a model is more abstract than the system it represents because it eliminates unnecessary detail and only focuses on the most important elements within a system. Although this elimination may result into some degrees of inaccuracy, it is necessary and desirable to make the solution being forwarded by the module tractable and efficient. To justify this, some assumptions are made in order to validate the merits of the model. There should therefore be model verification to ascertain whether the model accurately implements the assumptions and model validation to assess whether the assumptions created under model development are reasonable to the real situation. It should be noted that model validation does not imply model verification, nor does model verification imply model validation. However, in this study, model validation was blended with model verification when measuring data using the model developed.

Model validation can be either internal or external. Either way, it is necessary to rely on several approaches to assess the performance of models in samples of the same population. The internal

validation of models focuses on model performance in the model development sample. One of the techniques used in internal validation is known as cross-validation in which the model is drawn from a randomly selected development sample and tested on the rest of the sample repetitively until an average is established and used to assess the performance of the model (Vergouwe, Steyerberg, Eijkemans, & Habbema, 2002: 415-530). Internal model validation tests four most important aspects namely, assumptions; input parameter values and distributions; and output values and conclusions. However, internal validation concentrates on the output of the model by means of giving workable solutions to the study problem.

Performance of prediction models can also be determined externally in samples from different but related populations, such as drawing data from other districts in Uganda or from related studies in recent years. Module performance in such types of samples is known as external validity which literally implies the ‘transportability’ of the module to other populations.

Vergouwe, Steyerberg, Eijkemans, and Habbema (2002: 415-530) cautioned that when the development sample is small, for instance as in this study, the model tends to perform better in the model development sample areas than in other areas, even when these areas are in the same population. Zimmerman (2000:1-9) agrees with this view and further suggests that although what constitutes a good model is subjective, the validity of models judged basing on how a model accurately measures predicted by the model correspond with measures in the represented population. This calls for assessing the performance of the model even in the sample population. This is known as internal validation of models. However, Li (2010: 5), urges that models can also be validated in samples that are different from the populations, a process that is commonly known as external validity or simply the transportability of a model.

Model validation is usually comprised of three broad aspects that is, calibration, discrimination, and usefulness. Calibration focuses on the reliability of the model by comparing the model to observed realities in the field. This approach, as Vergouwe et al. (2002: 415-530) point out, usually faces challenges of mis-calibration when some model characteristics that were not included in the prediction model are compared with the development model in the field. The second aspect of model validation is to consider the discriminative ability of the model by identifying the dispersion in the distribution of the predicted probabilities towards or away from the average probability. Lastly the usefulness of the model to identify benefits and costs of applying the model to address problems in the field that the model was developed to solve. Zimmerman (2000: 1-9), suggests three other aspects of model validation to include the

assumptions, model input parameter values and distribution process, as well as model outputs and conclusions.

There are broadly three approaches to model validation although sometimes a combination of some of the aspects of these approaches may be used to validate models. Zimmerman (2000: 1-9); classifies these approaches as (i) theoretical or results analysis; (ii) real system measurements; and (iii) expert intuition.

Theoretical analysis uses an abstract representation of the system to generate a crude form of model validation such that when operational results in model testing coincide with the outputs from the model assumptions, then the model is assumed to behave correctly. In this approach, operational laws may be used to check the consistency of results as extracted from the simulation model in failure of which, further investigations in the model should be conducted.

In the real system measurement approach, the model is compared with the real system. However, sometimes this may not be possible either because it would be extremely expensive to conduct the trial or simply that the real system does not exist, anyway. Where it's possible to conduct real time measurements of the model, trace-driven simulations may be conducted to observe the model under exactly the same real system conditions.

Expert intuition is a one-step model validation exercise where the model is examined by an expert in the system rather than the modeller. In this exercise, the model may be instrumented to ensure that every possibility of performance is measured by the expert in the field.

To validate this model, the expert intuition approach was used by identifying four experts in the field of public administration and local governance in Uganda who were invited in the model validation workshop. The experts used the qualitative Delphi technique to validate the model.

6.4.6 LPGM model validation using the Delphi Technique

Hsu and Sandford (2005: 1-8), explain the Delphi technique is a widely used and accepted methodology of gathering data from respondents who are experts in their respective fields. The objective of using this methodology is to generate convergent opinions on specific real life issues. The Delphi technique collects data from a panel of selected experts. Grime and Wright (2016: 1-7), define the Delphi technique as a method of eliciting a defining group judgements,

the purpose of which is to facilitate group communication in order to come up with a consensus of expert opinions on complex problems and outcomes that seem to be uncertain. Originally, the Delphi technique was developed by Dalkey and Helmer (1963) at the Rand Corporation, and named it after the ancient Greek temple where the oracle could be found. It is now widely used as a method of consensus building in real world situations as premised on the theoretical assumption that two heads are better than one by trying to identify "what could/should be" as against "what is". The Delphi technique is normally used when the problem of investigation does not lend itself to precise analytical techniques, but can rather take advantage of subjective collective judgements (Grisham, 2009: 32-45).

The process of the Delphi technique may involve up to four steps. The first step is usually to administer an open-ended questionnaire to the experts soliciting for general opinions about a specific research problem. In the second step, experts are asked to review their opinions based on the general findings from the first round by ranking priorities amongst items considered. The third step is to request panellists to revise their judgements about the issues they decided on in the first and second rounds and make clarifications, if any, about their prior responses. The last step is to select among the remaining choices and make final judgement about their responses.

Selection of experts is the most important step in the Delphi study because it substantially relates to the quality of the results generated (May, T., & Sutton, 2011:128). However, the selection of experts should depend on the discipline under study as well as the specific expertise and experience required. Kaplan (1971) as cited in Hsu and Sandford (2005:1-8), urges that there is no clear definition of the Delphi subjects. However, the eligibility of experts should consider the background and experiences of the experts as well as the capacity to contribute useful input in the study as well as the capacity to constantly revise their opinions and judgements for the purposes of attaining consensus. In this case, just being knowledgeable concerning the discipline of study is necessary but not sufficient for selection of Delphi panellists. In regard to the above opinions, Oh (1974) as cited in Hsu and Sandford (2005:1-8) concludes that selecting Delphi subjects depend on the discretion and judgement of the principal investigator.

Concerning the number of experts to be invited for the study, Delbecq, Van de Ven and Gustafson (1975) as cited in Hsu and Sandford (2005:1-8), argue that the principal investigator should use the minimum sufficient number of subjects bearing in mind the number required to constitute a representative pool of judgements but also considering the nature of study.

The time required to conduct the Delphi study usually depends on the number of subjects. However, Delbecq et al. (1975:83-107) recommends a grace period of two weeks for the Delphi subjects to respond to the questions to that were asked.

Delphi data analysis can be both qualitative and quantitative with the former methods used to solicit subjects' opinions in the interactions. In case of statistical analyses, Delphi studies use measures of central tendencies (means, median, mode and standard deviations) to report information from the subjects.

Several scholars have cited challenges associated with use of the Delphi techniques. For example, they array fears of low response rates when some sections of the subjects discontinue their participation during the Delphi exercise. Other scholars have expressed reservation about the enormous time spent in the interactive and sequential processes of employing the Delphi technique. Other challenges cited are to do with the tendency of the subjects to mould opinions overtime especially after getting feedback from other experts. Lastly, there are challenges of generating general statements as against specific knowledge related responses.

For this study, the following experts were selected to constitute the panel of experts to validate the LPGM model. The lead panellist was Senior Lecturer, Dr. Michael Kiwanuka, an expert in public administration at Uganda Management Institute. The other members of the panel were Dr. Tom Balojja, former Vice Chairperson of Rakai District, one of the districts found in Central Uganda that was not part of the sample study. The other member of the panel was Mr Giles Kahika, former Chief Administrative Officer of Buyende district in Eastern Uganda. A brief curriculum Vitea of each of the Delphi panel members is attached as appendices to this thesis.

The Methodology and processes used to conduct the Delphi study involved the following steps:

Step 1: Identification, selection, and appointment of members of the Delphi panel was conducted immediately after completion of writing the thesis.

Step 2: A summary of the study highlighting the research problem, objectives, methodology, findings, conclusions and the LPGM model was circulated to the panel accompanied by a copy of the interview guide. The panellists were requested to respond to the interview guide individually.

Step 3: A one-day workshop was organised where panellists were asked to present their responses made to the interview guide. Later, there was brainstorming about the responses from the panellists until consensus was reached in all the responses. Panellists were allowed to re-poll their interview responses in order to come up with general consensus in regard to the responses.

Step 4: The researcher made a presentation of the LPGM model and requested the panellists to validate the assumptions and recommendations of the model. Thereafter, there was a discussion about the possibility of model transportation to other districts before the close of the workshop.

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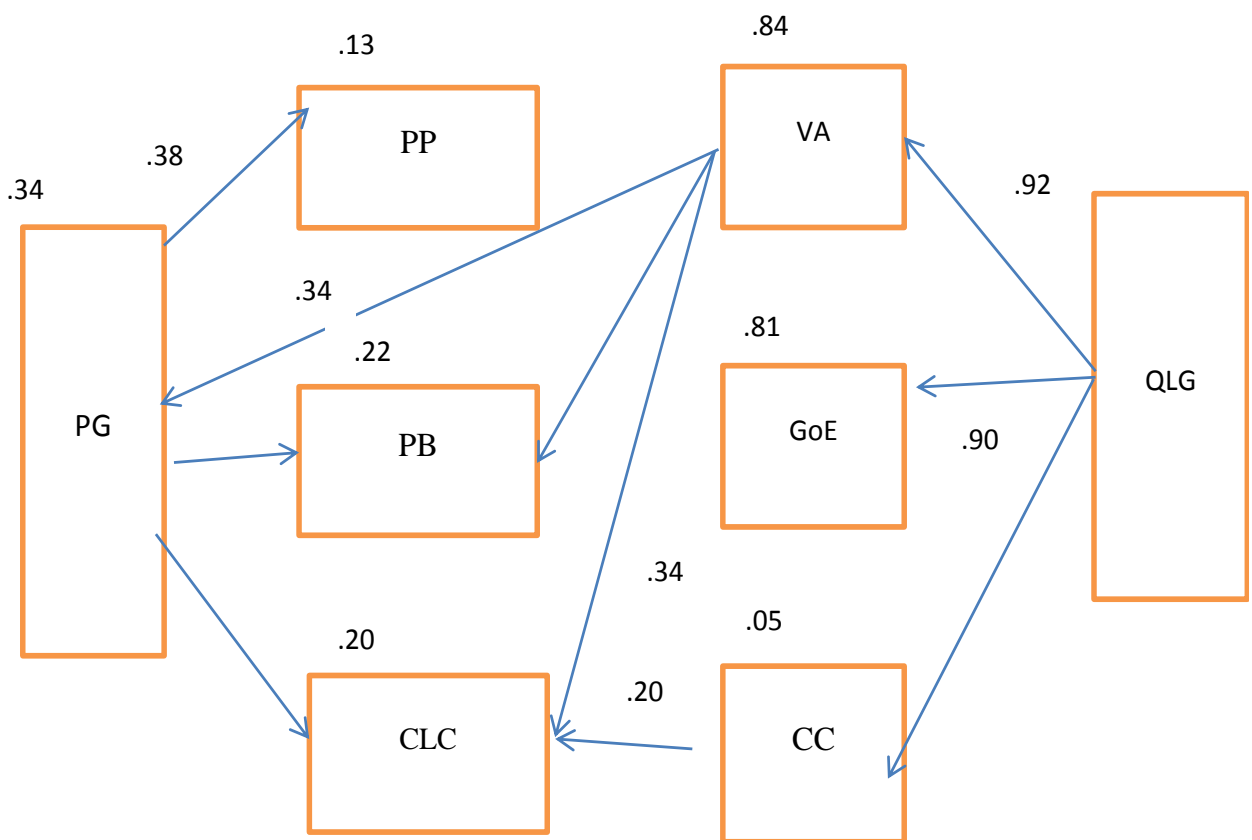
The intuition approach to the validation of the LPGM model revealed the following opinions by the panel of experts:

1. By and large, the model is good because it forms fertile grounds for further studies and a launching pad for a series of studies on quality of local governments in Uganda.
2. The experts also observed that because of some metrological limitations especially on over reliance on quantitative methods, the model may have limited application to districts outside the study area

3. Lastly, the model was developed largely on quantitative findings and needs more qualitative inputs to enable more interpretation and application
4. The conclusions from the model validation were that indeed the LPGM model was good explanation of the participatory governance framework in local governments in the central districts of Uganda.

Notwithstanding the above reservations, the LPGM model was validated as a standing contribution to enhancement of participatory governance in the country. The LPGM model was accordingly recommended as a possible policy recommendation to Ministry of Local Government. The simplified version of the Model for Local Participatory Governance in Uganda after recommendations from the validation panel as presented in Figure 6.3.

Figure 6.3 Simplified presentation of the model for local participatory governance in Uganda



Source: Researcher; 2018

6.5 Effective local government participants and governance quality indicators

The primary objective of the study was to evaluate the form and nature of participatory governance for enhancing quality of local governments in Uganda. To achieve this purpose, theoretical objectives were formulated to identify effective participants in the local government framework; at the same time identify quality indicators in local governments in Uganda. This subsection presents the evidence-based findings on the effective participants and quality indicators in local governments in Uganda.

6.5.1 Effective local government participants

The LPGM highlighted the importance of several categories of participants in the local participatory governance framework in Uganda. Table 6.3 illustrates the details from the regression weights of participants in the local governments' participatory framework.

Table 6.3 Regression weights of participants in the local governments

| | | | Estimate | S.E. | C.R. | P | Label |
|-----------------|------|---------|-----------------|-------------|-------------|----------|-----------------------------|
| B ₁₁ | <--- | Common1 | 2.439 | .954 | 2.555 | .011 | Councillors |
| B ₁₂ | <--- | Common1 | 1.605 | .649 | 2.474 | .013 | CSOs |
| B ₁₃ | <--- | Common1 | 1.512 | .647 | 2.337 | .019 | Religious Leaders |
| B ₁₄ | <--- | Common1 | 1.976 | .755 | 2.618 | .009 | Cultural Leaders |
| B ₁₅ | <--- | Common1 | 2.377 | .994 | 2.390 | .017 | Civil Servants |
| B ₁₆ | <--- | Common1 | 1.932 | .718 | 2.690 | .007 | Marginalised Communities |

Source: Researcher; 2018

Table 6.3 clearly illustrates that all the participants in the local government participatory framework (Councillors, CSOs, religious Leaders, Cultural Leaders, Civil servants, and Marginalised Communities) have weak statistical contribution to the local government participatory framework. This was confirmed by their high p-values that exceed the conventional 0.005 value. Nonetheless, as Gelman (2013: 8-38) states, high p-values do not necessarily imply that they have no meaningful contribution to the participatory framework since none of the participants has a p-value of 1.000, which would imply that they are absolutely

statistically equivalent to zero. However, what it means is that their regression weights associated with Common1 indicator are not significantly different from zero by only accounting for minimal association with Common1 (participatory governance).

As Thisted (1998: 1-6) states, large p-values like this one do not permit the researcher to eliminate the possible contributions of these participants in the local government framework, but rather to conclude that their effectiveness remains unproven. Whereas very small p-values imply very high standards of evidence, high p-values indicate weak standards of evidence. Conventionally, p-values exceeding 0.05 (meaning one in twenty); are not strong enough to provide sole evidence that the mentioned participants effectively contribute to the participatory governance framework. However, what is undisputable is the fact that since their p-values are greater than the conventional p-value of 0.005, they are not statistically significant factors to effectively contribute to the participatory governance model. In the same way, not being statistically significant contributors to the effective participatory governance model should not be interpreted as not having participatory governance importance. This is why some participants are still slightly categorised as more superior to others in this model.

In such a phenomena, it can be concluded that all the aforementioned local government participants have a weak relationship with Common1 (participatory governance). The weakest of the weak are the religious leaders with p-value of 0.019; followed by civil servants with p-value of 0.017; and CSOs with p-value of 0.013. The strongest of the weak are the marginalised communities with p-value of 0.007 followed by cultural leaders with p-value of 0.009 and councillors with p-value of 0.011.

6.5.2 Quality indicators in local governments

There is no universally agreed definition of quality as evaluated in public services. To this, Bovaird (1996) as cited in Bovaird and Loffler; (2005: 6-399.) highlighted four key quality concepts in public services namely, Conformance to specifications; Fitness of purpose; Meeting customer expectations; and passionate emotional involvement. Quality is thus multidimensional and can only be expressed in some predetermined dimensions. There are dangers of relying on a single quality index because it may involve trade-offs of some dimensions which may raise contextual evaluation challenges.

Therefore, there is need to establish quality measures that are operationalized by means of quality indicators that may be both qualitative and quantitative. Qualitative-quality-indicators

are subjective and are based on perceptions, reactions or expectations of respondents while quantitative-quality-indicators are objective and are arrived at through precise quantification of pre-set criteria.

There have been several efforts to develop quality indicators in provisioning of public services, generally and quality of local governments in particular. One set of such quality indicators was developed by Zeithaml et al. (1990) as cited in (Bovaird & Loffler, 2005: 1-399). Accordingly, the quality dimensions that influence customers' view about quality of public services include:

- Tangibles
- Reliability
- Responsiveness
- Competence
- Courtesy
- Credibility
- Security
- Access
- Communication
- Understanding the customer

The UK Audit Commission, 2004: 1-36) developed another set of key quality of life indicators for evaluations in local governments in the United Kingdom. These thirteen indicators are:

- 1 Combating unemployment
- 2 Encouraging economic regeneration
- 3 Tackling poverty and social exclusion
- 4 Developing people's skills
- 5 Improving people's health
- 6 Improving housing opportunities
- 7 Tackling community safety
- 8 Strengthening community involvement
- 9 Reducing pollution
- 10 Improving management of the environment
- 11 Improving the local environment
- 12 Improving transport
- 13 Protecting the diversity of nature.

Bovaird et al. (2003: 1-399) developed a health check on local governance processes. This checklist included:

- Strength of local government political institutions
- Strength of civil society institutions;
- Strength and capacity of sharing and collective community behaviors;
- Achievement of social and economic equity and equality;
- Respect for diversity and toleration of different opinions;
- Degrees of openness and transparency in public, voluntary, and private organizations;
- Public domain honesty and integrity;
- Community management to meet local needs not provided by the state.

The International Organisation of Standardization (ISO) formed as a federation of national quality standards agencies, prepares international standards for quality assurance in both the private and public sectors. ISO recommends quality assurance systems that can be used to improve the overall performance and provide a sound foundation for sustainable development. Quality management principles are described in the ISO 9000 which has continuously undergone modifications and revisions. The current ISO 9001 is based on the quality management principles of:

- Customer focus;
- Leadership;
- Engagement of people;
- Process approach;
- Improvement;
- Evidence- based -decision-making;
- Relationship management.

Citizen charters, originally introduced in the United Kingdom (UK) in 1991, aimed at introducing quality standards in the public sector. The original citizen charters that were based on the principles of: openness, transparency, accessibility, information and redress. The focus of citizen charters is to employ the market system in building quality public service delivery by meeting people's demands and by recognising citizens' rights. Many countries have since developed their own versions of citizens' charters with differing but customer satisfaction objectives especially in local governments. In Uganda, citizen charters exist as **Barazas**

coordinated by the Office of the Prime Minister (OPM) and have actively engaged civil servants in different local governments to ensure quality in the provisioning of decentralised services.

Lastly, there are also quality excellence models used for self-assessments in local governments. Originally developed for private sector organisations, quality excellence models have been successfully integrated in the public domain. The most common examples of these models are the European Foundation for Quality Management (EFQM) excellence Model and the Common Assessment Framework (CAF) model. The EFQM excellence Model as cited in the European Commission, (2004: 2-39) and has been used with several modifications in many countries and organisations, and is based on the following elements:

- Leadership;
- Policy and strategy making;
- People management;
- Partnerships and resources;
- Processes;
- People results;
- Customer results;
- ‘Impact on society’ results;
- Key organizational results;

The Common Assessment Framework (CAF) that was originally developed for assessing public administration has also become a self-assessment framework for many public service organisations worldwide. Since the CAF is less demanding and less systematic, it has been recommended for public institutions pioneering with Total Quality Management (TQM).

In developing the Local Participatory Governance Model (LPGM) this study borrowed some of the public service quality indicators from previous models and checklists aforementioned to ably develop the hybrid LPGM. This highly blended model mainly contextualised advantages from the various public service quality assurance frameworks into a blended model suitable for local governments in Uganda.

6.5.3 Quality indicators identified by the LPGM model

Quality indicators in the local governments’ participatory governance model are presented in Table .4. As isolated of regression weights of indicators of quality of local governments with

p-values less than 0.001 and marked as *** showing very strong relationship with Common2 (quality of local governments).

Table 6.4 Extracted regression weights of quality indicators in local governments

| | | | Estimate | S.E. | C.R. | P | Label |
|------|------|---------|----------|------|-------|-----|--|
| B219 | <--- | Common2 | 1.144 | .313 | 3.660 | *** | Accountability |
| B218 | <--- | Common2 | 1.568 | .381 | 4.112 | *** | Transparency |
| B216 | <--- | Common2 | 1.449 | .361 | 4.010 | *** | Efficiency |
| B215 | <--- | Common2 | 1.643 | .404 | 4.063 | *** | Functionality |
| B213 | <--- | Common2 | 1.388 | .351 | 3.953 | *** | Sanctions |
| B210 | <--- | Common2 | 1.043 | .294 | 3.545 | *** | Cooperation with cultural leaders |
| B29 | <--- | Common2 | 1.008 | .306 | 3.299 | *** | Cooperation between electorate and leaders |
| B28 | <--- | Common2 | 1.107 | .335 | 3.309 | *** | Cooperation between leaders and civil servants |
| B27 | <--- | Common2 | 1.560 | .425 | 3.675 | *** | Stop Fraud |
| B26 | <--- | Common2 | 1.174 | .335 | 3.509 | *** | Respect of Private property |
| B220 | <--- | Common2 | 1.227 | .341 | 3.598 | *** | Performance of civil servants |

Source: Researcher; 2018

LPGM Model shows that there are several quality indicators of the participatory governance framework in local governments in Uganda. The indicators are Accountability; Transparency; Efficiency; Functionality; Sanctions; Cooperation with cultural leaders; Cooperation between elected leaders and the electorate; Cooperation between elected leaders and civil servants; Stopping fraud; Respect of private property rights and the Performance of the civil servants.

The LPGM Model further identified the strongest quality indicators by considered isolated quality indicators with the highest estimates corroborating with the isolated p-values. In doing so, findings reveal that the strongest quality indicator in local governments is the well-functioning departments in the local governments with estimates of 1.643. The second strongest indicator is Transparency in the operations of local governments with estimates of 1.568. The third strongest quality indicator is the existence of strong systems of stopping fraud in local governments. While the fourth strongest quality indicator is that management should be able to carry out sanctions when Transparency is violated.

6.8 Summary

In summary, the LPGM Model identified a hybrid framework of participatory governance in local governments in Uganda. First, by identifying the critical variables for participatory governance. Secondly, the model was able to rank the most contributing elements in participatory governance before identifying the most effective participants in the local government framework. Lastly, the model established that although there are several quality indicators in local governments in Uganda, some quality indicators score more than others in terms of relevance, and these were identified.

CHAPTER SEVEN

FINDINGS, CONCLUSION AND POLICY RECOMMENDATIONS

7.1 Introduction

This chapter presents a summary of the findings, conclusions and policy recommendations. To assess the nature and form of participatory governance for enhancing the quality of local governments in Uganda. The primary hypothesis of the study was formulated as:

H0: Participatory governance enhanced quality of local governments in Uganda. Being a mixed study, the primary hypothesis was sequenced with the primary research question which was formulated as:

How has participatory governance enhanced the quality of local governments in Uganda?

Subsequent chapters assessed in several ways how participatory governance enhances quality of local governments.

CHAPTER ONE presented the background to the study, the research problem, the hypotheses, the research questions, the scope of the study, defined key terminologies used in the study and outlined the structure of the thesis.

CHAPTER TWO reviewed the existing literature concerning participatory governance, quality of local governments and several factors affecting these key variables of the study. For participatory governance, the chapter specifically reviewed literature on participatory planning, participatory budgeting and capacity of local councillors. For the variable of quality of local governments, the chapter reviewed literature pertaining to voice and accountability, control of corruption, and government effectiveness.

In CHAPTER THREE, local government systems in Uganda were examined by illustrating the pertinent characteristics and the historical local government structures from pre-colonialism; colonial times; post-independence era under President Milton Obote I; local government systems under President Iddi Amin; local government systems under President Tito Okello Lutwa; Local governments systems under President Obote II; and local government systems under the President Yoweri Museveni's Resistance Movement (NRM) government.

CHAPTER FOUR: examined the methodology and entire research design used in the study. Particularly, the chapter described the study sample and its selection criteria, data collection methods and instruments, the measures to address validity and reliability concerns, guidelines to ensuring transportability and conformability of qualitative instruments as well as management of ethical issues in the research.

CHAPTER FIVE presented results from the study first by presenting the statistical results and sequencing the same with qualitative results. Several table and graphs were illustrated as well as extracts from the field were presented to verify findings from the study.

CHAPTER SIX presented the developed Local Government Participatory Governance Model (LPGM). In this chapter, a complete process of model development was presented followed by validation of the model by the Delphi technique. Limitations of the model were presented and a simplified version of the model was developed.

The final chapter which is CHAPTER SEVEN gives a summary of the study findings, conclusions and gives several policy recommendations to enhance quality of local governments as well as enhancing participatory governance in Uganda. The chapter presents a summary discussion of findings from the primary objective, the theoretical objective as well as the three empirical objectives. Conclusions for every objective were made and policy recommendations were suggested for every objective. Lastly, the chapter highlighted areas for possible future research.

7.2 Summary of findings

Findings from the study objectives, the methods used to collect data, the tools used, data analysis methods, and a discussion of the summary of findings are systematically presented below.

7.2.1 Primary Objective: To assess the nature and form of participatory governance for enhancing quality of local governments

The primary objective of the study was to assess the nature and form of participatory governance for enhancing quality of local governments in Uganda. Several studies were reviewed to give a theoretical background of the relationship between participatory governance

and quality of local governments in Uganda. A summary of the different forms of local government systems in Uganda was presented. In order to collect statistical data, Section A of the questionnaire concentrated on collecting data pertaining to this primary objective. Besides the questionnaire, interviews and qualitative observations were conducted to further investigate the primary objective.

Statistical findings revealed that both participatory governance and quality of local governments are affected by several factors as manifested by all items in the instrument having p-values smaller than the conventional .05 value. However, it was possible to find the strongest participatory factors contributing to quality of local governments by considering the items with the **smallest p-values and the highest Estimates** of regression weights as most significant contributory factors. These items were identified as Stakeholders performing to their expectations; Local councils effectively monitoring activities in their local governments; and marginalised communities (Women, youths, PWDs & Children) participation in local government activities. This was further statistically proved by a small Chi Square Test (χ^2) statistic of 178 (df=104) implying that indeed participatory governance enhances quality of local governments in Uganda.

7.2.2 Theoretical Objective: Participatory governance since 1997 has not enhanced quality of local governments in Uganda

The major theoretical objective of the study was that participatory governance since 1997 has not enhanced the quality of local governments in Uganda. The specific theoretical objectives were to investigate how the existing forms of participatory governance affect the quality of local governments in Uganda; and to establish indicators of quality of local governments in Uganda. The study was premised on Sherry Arnerstain theory of *Ladder of Citizens Participation*. Reviewed literature was in agreement with the theoretical framework of the study particularly pointing to convictions that different forms of citizen participation and engagements yield varying outcomes. Literature further suggested that were several possible criteria of assessing indicators of quality of local governments. Considering the contextual scope of the study, the researcher identified three broad criteria for identifying indicators of quality of local governments. These include (i) Voice and Accountability; (ii) Government effectiveness; and (iii) Control of corruption.

Sections B and C of the questionnaire were designed to investigate the forms of participatory governance in Uganda since 1997, and how they have enhanced quality of local governments in Uganda; as well as to identify indicators of quality of local governments.

Statistical findings revealed that there are several quality indicators for local governments in Uganda as manifested by the p-values smaller than the conventional 0.05 significance level. The study further established the strongest indicators measuring to quality of local governments by considering the respective Estimates (regression weights). Indicators with the highest regression weights were taken as the most significant contributors to quality in local governments. Findings further revealed that the three strongest quality indicators in local governments are that departments in local governments are well-functioning; that there is transparency in operation of local governments; and there is an effective system of stopping fraud.

The above was confirmed by a small Chi Square Test (χ^2) statistic of 366 (df=170) confirming that indeed there are several indicators of quality of local governments. The study further established the most contributing factors in the three quality criteria in local governments.

For the criterion of **Voice and Accountability**, the most influential items were that: there is transparency in operations of local governments; that local governments are accountable to local people; and that there is trust and social cooperation between civil servants and political leadership.

For the criterion of **Government Effectiveness**, the most influential factors were that: departments in local governments well-functioning; that there are effective systems of stopping fraud; and that public resources are used optimally (frugality in public expenditures).

With regard to the criterion of **Control of Corruption**, the most influential factors were that there is respect for private property rights; and that patronage in appointment to public offices is checked.

7.2.3 Empirical Objective One: To assess how participatory planning has enhanced quality of development plans in local governments in Uganda

Empirical Objective 1 of the study was to assess how participatory planning had enhanced quality of development plans in local governments in Uganda. A hypothesis to guide the investigation was developed as:

H₀: Participatory planning enhances quality of development plans.

*H₁: Participatory planning **HAS NOT** enhanced quality of development plans.*

Being a mixed study, the above hypothesis was sequenced with a specific qualitative research question:

How has the nature of participatory planning enhanced quality of development plans in local governments in Uganda?

Several factors pertaining to participatory planning were assessed and both statistical and qualitative findings are presented systematically hereunder.

Stakeholders' participation: Statistical findings revealed that indeed stakeholder participation had led to improved service delivery in local governments in Uganda. This was confirmed by a mean value of =4.25 and a moderate standard deviation value of =0.66. Qualitatively, respondents agreed that unlike previous local government systems, the current policy allowed for greater stakeholder involvement in local government programmes pointing out examples of involvement in local council meetings, local security management, and local council courts, in the NAADS distribution of agricultural inputs as well as in planning and budgeting meetings.

Stakeholder control: In assessing whether stakeholders were in control of local governments, findings revealed that there was substantial stakeholder control of local government activities. This was confirmed by a high percentage rating of 73.3% and by a mean value of = 3.75 as well as a moderate standard deviation value of =0.93. During interviews, responses however indicated mixed reactions. Some respondents were of the view that stakeholders' control of government functions was increasingly diminishing because of budget cuts experienced by local governments. They also pointed out the conditions set by central government on grants to local governments that tend to undermine the autonomy of local governments to manage their activities.

Clarity of guidelines and procedures: In evaluating whether there were clear guidelines and procedures for participation in local governments, statistical findings revealed that indeed there were some guidelines and procedures for participating in local governments. This was confirmed by a high percentage of over 90% and by a mean value of =4.29 and a moderate standard deviation value of =0.85. Besides, literature showed elaborate guidelines and

procedures of participation ranging from the composition of local councils as highlighted in Sections 10, 35, 38, 45-51, and 101-105 of the Local Government Act. Further interactions with officials from the Ministry of Local Government and Gender, Labour and Social Development further identified several policies facilitating inclusive participation in local government activities. Even during oral interviews, respondents acknowledged the existence of clear guidelines setting out the different roles of stakeholders in local governments.

Local governments' councils effectively monitor local government programmes: In evaluating whether local councils effectively monitor local government programmes, statistics revealed that there was ineffective monitoring of local programmes by local councils. This was confirmed by a mean value of =3.63 and dispersed standard deviation value of =1.02 pointing to respondents' perceptions that local councils were ineffective in monitoring local government activities. However, interview respondents had different opinions. They argued that there were functional structures for monitoring local government activities. However, these structures experienced capacity challenges ranging from limited skills and training by local councillors to limited funds released by the central government.

Clarity of roles of stakeholders: On the item of clarity of roles of stakeholders, statistical findings revealed that there were clear roles of stakeholders. This was confirmed by the high percentage rating of 93.3%, a mean value of =4.29 and a moderate standard deviation value of =0.71. Literature on the National NGO Policy further revealed government's commitment to strengthening partnerships between governments and the NGO sector based on clear principles and practices.

Outcomes of stakeholder involvement in local government activities: In evaluating whether there were, clear outcomes of stakeholder, involvement in local governments activities, statistics revealed mixed reactions. This was demonstrated by a 64% of the respondents who agreed that there are clear outcomes of stakeholder involvement in local government activities, represented by a mean value of =3.61 and a high standard deviation value of =0.99. The results point to possibilities of minimal clear outcomes of stakeholder involvement in LGs. Literature further revealed this mixed reactions with some analysts regarding stakeholder involvement as successful while others as lacking. Qualitative interview findings indicated some specific areas where councillor involvement were successful such as in roads construction, education programmes and solid waste management in urban areas. However, activities that are likely to

jeopardise their electoral popularity, findings revealed that councillors were reluctant to participate.

Performance of stakeholders: On evaluating the overall performance of stakeholders, statistical findings revealed poor ratings. This was confirmed by a 33.3% agreement and confirmed by a mean value of =2.92 and a high standard deviation value of =1.06 value suggesting that respondents believed that some stakeholders do not always perform as expected. The same findings were recorded during face-to-face interviews where it was found out that councillors are reluctant to participate in policies that cause public outcry for fear of losing their electoral popularity.

Consistence of stakeholder actions in local government activities: In evaluating the consistence of stakeholder actions in local government activities, statistics established low consistence levels as evidenced by the low percentage agreement of 41.3% that was confirmed by a mean value of =3.13 and high standard deviation value of =1.11. the results mean that respondents believed that stakeholders' actions are sometimes inconsistent with local government policies. The same factor was qualitatively evaluated during interviews and findings revealed that councillors participate more in local government activities where they hold private interests and less in local policies where there seem little or no direct personal benefits to councillors. central government political players resident in local areas who sought for local popularity sometimes ignited resistance to local government programmes.

Ministry of Local Government effectively monitors local government activities: In evaluating whether the Ministry of Local Government effectively monitors local governments' activities, statistical findings revealed that there was limited and declining effectiveness of the Ministry of Local Government in Monitoring local governments' activities. This was confirmed by a moderate 53.3% in agreement and a mean value of = 3.21 and a relatively high standard deviation value of =1.08. The declining effectiveness of the Ministry of Local Government was attributed to policy shift that saw the Office of the Prime Minister taking over some monitoring activities from the Ministry of Local Government; the collapse of the National Local Governments Assessment Exercises and the suspension of the local governments performance motivation grants.

Public participation in local government activities: In evaluating the participation of the public in local government activities, statistical findings revealed a positive and affirmative response. This was confirmed by a high percentage response of 80% and a mean value of =3.8

supported by a modest standard deviation value of =0.77. This revealed that the general public fairly participates in local government activities.

An official from the Ministry of Lands, Housing and Urban Development gave an example of the Municipal Development Forum (MDF) where stakeholders in municipalities continuously interface with urban officials to address issues of urban management.

Councillor's effectiveness: In evaluating councillors' effectiveness, statistics revealed mixed reactions with 54.7% in agreement with the statement. While 40% in disagreed with the statement. The fair percentage rating was confirmed by a mean value of = 3.31 and a high standard deviation value of =1.10, thus pointing to respondents' observation that councillors ineffectively represent their constituencies. During interviews, it was revealed that the ineffectiveness of councillors was because of their self-interests especially the quest for monetary benefits that negatively affects their performance.

Involvement of civil society organisations in local government activities: While evaluating the involvement of civil society activities in local governments' programmes, statistical findings indicated that there was substantial involvement of CSOs in local governments' programmes as evidenced by a high percentage of 81.3% and a fair mean value of = 3.95. This was further confirmed by a moderate standard deviation value of =0.79, consequently pointing to suggestions that Civil Society Organisations are fairly involved in local government programmes. Qualitative findings further revealed that CSOs tend to be interested in specific activities such as investigating corruption, health, sanitation, water, youths and women related activities.

Religious leaders' participation in local government activities: In evaluating the participation of religious leaders in local governments' activities, 66.7% of the sampled population agreed to this statement. This was further substantiated with the mean value of = 3.57 and a moderate standard deviation value of =0.84 all pointing to limited participation of religious leaders in local government activities. Similar observations were made during interviews where it was found out that religious leaders concentrate more in religious activities than in local government programmes.

Cultural leaders participate in local government activities: While evaluating the participation of cultural leaders in local government activities, statistical findings showed that 45.3% of the sampled population agreed with the statement. This fair percentage rating was

confirmed by a mean value of =3.24 and moderate standard deviation value of =0.84 indicating that cultural leaders modestly participate in local government activities. The statistical findings were confirmed during interviews where it was discovered that cultural leaders are influential stakeholders in local government programmes although they are constitutionally barred from active politics.

Public satisfaction with local governments' activities: As to whether the public is satisfied with local governments' activities, statistical findings revealed that only 53.3% of the sampled population agreed with the statement. The statistics were further confirmed by a mean value of =3.19 and a high standard deviation value of =1.26 statistically showing that stakeholders are not satisfied with the way civil servants conduct local government activities.

Participation by marginalised communities: While evaluating the overall public satisfaction with local government activities, statistics established an 81.3% overall agreement. This was further confirmed by a mean value of =3.97 and a moderate standard deviation value of =0.75; therefore confirming that marginalized communities such as women, youths, PWDs, and children only fairly participate in local government activities. The statistical findings were however contradicted by the qualitative investigations that revealed that women, youth, and persons with disabilities (PWD) do participate a lot in local government programmes especially through women, youths and PWD councils that have structures at all levels of local governments and administrative units.

Quantitatively, the statistical summary pointed to the conclusion that there were mixed reactions with regard to the impact of participatory planning on the quality of development plans. While respondents in government communities agreed that participatory planning had positively affected the quality of development plans, other communities seemed to be ambivalent to the assertion. To further, establish the influence of participatory planning to quality of local governments, a relatively small Chi Square Test (χ^2) statistic of 186 (df=54) was established implying that participatory planning enhances quality of development plans.

The study further established the key participatory planning factors that contribute to enhancing quality of development plans as development plans help to steer local development; development plans are considered while making local governments budgets, and that development plans help in the social economic development of local governments.

7.2.4 Empirical Objective Two: To assess the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda

Empirical Objective 2 of the study was to assess the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda. In line with the mixed research design adopted for this study, a statistical hypothesis was developed that:

H₀: Participatory budgeting delivers effective local priorities.

H₁: Participatory budgeting does not deliver on local priorities

Sequentially, a qualitative research question was also developed that enabled the researcher capture opinions from key stakeholders and informants:

Why has participatory budgeting not delivered effective local priorities in local governments in Uganda?

A series of factors pertaining to participatory budgeting and its responsiveness to local priorities in local governments were assessed and both statistical and qualitative findings are systematically presented below.

Citizens' participation in the budgeting process: In evaluating the participating of citizens in the budgeting process, statistics established that only 48% were in agreement which was further confirmed by a mean value of =3.39 and a high standard deviation value of =1.15. The results indicate low citizens' participation in the budgeting process. During the subsequent interviews, there were mixed reactions. While some agreed pointing out participation in parish level planning meetings and local government budget conferences, others rejected the existence of effective citizens' participation in the budgeting process.

Councillors understand how to develop local budgets: In evaluating the knowledge of councillors in budget formulation, only 34.7% were in agreement with the statement. The statistics were further confirmed by a mean value of =3.04 and modest standard deviation value of =0.951 further indicating that councillors do not properly understand how to develop local budgets. The statistical findings were further confirmed by qualitative interviewees where the opinions of the majority of the respondents were that councillors do not effectively understand the budget process because they are not formally educated.

Incorporation of local needs in local governments budgets. While evaluating the incorporation of local needs in local governments' budgets, statistics showed that 81.3% were

in agreement that local needs are incorporated in local government budgets. This was further confirmed by a mean value of =4.00 and modest standard deviation value of =0.93. Similar findings were confirmed during interviews. From the interview, more examples regarding construction of access roads, repair of water sources, construction and repair of markets, installation of streetlights, provisioning of public infrastructure and scholastic materials in government aided primary schools, and the renovations of health facilities were given.

Civil servants effectively manage local government budgets. In evaluating the effectiveness of civil servants in the management of local budgets, statistics revealed an 81.3% agreement that was further confirmed by a mean value of = 3.8 and a modest standard deviation value of =0.986, establishing that some civil servants were ineffective in implementing the local government budgets. Qualitative findings however, revealed mixed findings of some responses from especially civil servants arguing that they effectively implement local budgets only constrained by limited financial allocations, declining revenues, and unprecedented releases of grants from the Central Government. However, political leaders had differing opinions as they expressed dissatisfaction in the way civil servants implement local government budgets by deliberately leaving out the political leadership.

CSOs effectively monitor local government budgets: In evaluating the effectiveness of CSOs in monitoring local government budgets, statistical findings indicate that only 32% agreed with the statement. This low percentage was further confirmed by a value of =2.93 and a high standard deviation value of =1.031 strongly establishing that CSOs do not effectively monitor the local government budget process. During interviews, financial constraints, and deliberate exclusion of CSOs by civil servants were suggested as some of the constraints to CSOs in the monitoring of local budgets.

Local revenues effectively collected to finance local budgets: The study also evaluated the effectiveness of locally generated revenues in financing local budgets. Statistical findings revealed that an average of 57.3% agreed with the statement. The statistics were further confirmed by a mean value of =3.33 and high standard deviation value of =1.082 establishing that local councils' revenues were not effectively collected to finance local government budgets. From the qualitative findings some of the factors that hinder effective local revenue collections in local governments which were cited include: politics, embezzlement at source arising out of spending at source, relaxation to collect more revenues after realising the bear minimum budgeted revenues and connivance between the politicians and tax payers.

Central Government dictates on local governments' budgets: In evaluating how central government influences local budgeting, statistics revealed that 81.3% of the sampled population agreed that the central government dictates on local governments' budgets. The high percentage was confirmed by mean value of =4.09 and a modest standard deviation value of =0.975 statistically establishing that the Central Government dictates on what the local budgets should finance. Qualitative findings were in agreement with the statistical data and further identified areas where the central government dictates in local government budgeting as in the sector specific funding such as water, roads, functional adult literacy, education and health.

Value for money because of participatory budgeting: In evaluating whether there was value for money because of participatory budgeting, statistical findings revealed that only 22.7% of the sampled respondents agreed that there is value for money because of participatory budgeting. The statistics were further verified by a mean value of =3.65 and a high and scattered standard deviation value of =1.007 revealing that there was minimal value for money in local government programmes because of participatory budgeting. During qualitative interviews, civil servants observed that there was value for money because of participatory budgeting, which was only constrained by the introduction of the practice directive of *Force-on-Account*. This directive compromises value for money by putting the risks in the hands of the accounting officer unlike under the previous practice of procuring road constructions under the Contracts Committees.

Participatory budgeting has reduced corruption: In evaluating the extent to which participatory budgeting has reduced corruption in local governments, statistical findings revealed that only 49.3% of the sampled respondents agreed with the statement. This was confirmed by a mean value of =3.23 and a high standard deviation value of =1.11 revealing that participatory budgeting had not reduced corruption in local governments. Qualitative findings further indicated that although participatory budgeting facilitates participatory planning, it does not facilitate monitoring and evaluation of local government programmes hence, it has a limited impact on reducing corruption in local governments.

Participatory budgeting increases quality of public services: In evaluating whether participatory budgeting increases the quality of public services, statistical findings revealed that only 49.3% of the sampled population agreed with the statement. The poor percentage rating was confirmed by a mean value of = 3.23 and a high standard deviation value of =1.11, statistically establishing that quality of public services only slightly increased as a result of

participatory budgeting. Qualitatively, findings indicate that there is some degree of vigilance by particular local councils to demand for quality public services.

Local budgets focusing on solving local problems: In evaluating whether local budgets focus on solving local problems, statistical findings revealed that an overwhelming 84% of the sampled population agreed with the statement. . The high percentage rating was confirmed by a mean value of = 4.00 and a moderate standard deviation value of =0.885, which means that sometimes local government budgets focus on solving local needs. However, qualitative findings contradicted the statistical findings. From the statistical data, it was observed that to some extent local budgets focus on solving local needs. There were also avenues of participating in parish level planning meetings which were identified as fora for local participatory budgeting focusing on local problems.

In general, statistics given above rubberstamp the findings that participatory budgeting positively contributes to local priorities in local governments. To further confirm the findings, a relatively small Chi Square Test (χ^2) statistic of 163 (df=44) was established which further confirmed that the null hypothesis was suitable for the data and confirmed that Participatory budgeting delivered effective local government priorities of the variable analysed was.

7.2.5 Empirical Objective Three: To assess capacity of local councillors to effectively manage public policies in local governments in Uganda

Empirical Objective 3 was to assess capacity of local councillors in managing public policies in local governments in Uganda. To achieve this objective, the following hypothesis was developed and tested:

H0: Local councillors effectively manage public policies.

H1: Local councillors **have not** effectively managed public policies.

Sequentially, the following research question was developed and asked key respondents to give their views:

Do local councillors effectively manage public policies in local governments in Uganda?

Ten items under this objective were separately evaluated to assess the capacity of local councillors in managing local policies. Both statistical and qualitative findings were established as presented below:

Councillors have skills to manage local policies: In evaluating whether councillors have skills to manage local policies, statistics revealed that 78.7% of the sampled population disagreed with the statement as further confirmed by a mean value of = 2.0 and a moderate standard deviation value of =0.777. The statistics revealed that some councillors do not have requisite skills to manage local policies. Statistical findings were further confirmed by qualitative interviews by revealing that local council elections regulations do not attach minimum education requirements on offices of local councillors. It was further established that there was no nationwide induction programme of local government councillors after the 2016 general elections as has always been the case with previous general elections, thereby worsening the capacity gap in local councils.

Councillors' commitment to local councils: In evaluating the commitment of local councillors to local councils, statistics revealed that only a mere 48% of the sampled population agreed with the statement. This low percentage was further confirmed by a mean value of = 3.09 and a moderate standard deviation value of =0.989, confirming that a reasonable number of councillors are poorly committed to local governments' business. Qualitative findings reported that councillors are only committed to local government programmes when they expect financial rewards.

Councillors design the right contents in local policies: In evaluating whether councillors design the right contents in local policies, statistical findings revealed that 53.3% of the respondents did not agree with the statement. This was further confirmed by a poor mean value of =2.73 and high standard deviation value of =0.92 implying that sometimes councillors do not design the right contents in local policies. However, qualitative findings established that although councillors may not design the right contents, they are practically guided by technical staff employed in the districts to come up with right contents for local policies.

Availability of sufficient resources to councillors to effect local policies: In evaluating whether there were sufficient resources available to councillors to effect local policies, statistics revealed that 76% of the sample disagreed with the statement. This was further confirmed by a mean value of =2.24 and a moderate standard deviation of value =0.913 confirming that there was insufficient resources available for local councils to implement local government policies. During face-to-face interviews, it was discovered that one of the factors responsible for insufficient resources available to local councillors was the statutory limit of councillors' emoluments and allowances to 20% on the locally generated funds in the previous financial

year. The 20% limit is usually very small and cannot effectively enable local councillors to monitor local government policies and programmes.

Councillor design locally relevant policies: In evaluating whether councillors design locally relevant policies, statistical findings revealed that an average 50.7% of the sampled population agreed with the statement. This was further confirmed by a mean value of = 3.21 and a moderate standard deviation value of =0.99, consequently conclusions that councillors sometimes fail to design policies that are relevant to the local contexts.

Public involvement in policy formulation: While evaluating public involvement in policy formulation, statistical findings revealed that 57.3% of the sampled population of the study agreed with the statement. This average percentage rating was confirmed by a mean value of =3.35 and a modest standard deviation value of =0.979 confirming that the public including CSOs are not fully involved in policy formulation. Qualitative findings further confirmed that the public and CSOs do not always get actively involved in policy formulation but rely on their elected councillors for involvement in local policy formulation.

Experience of councillors in policy management: While evaluating the experience of councillors in policy management, statistical findings established that 66.7% of the sampled population of the study disagreed with the statement. This poor percentage rating was confirmed by a mean value of =2.29 and a moderate standard deviation value of =0.866 driving to conclusions that some councillors do not have sufficient experience in policy management. Qualitative findings further revealed that some councillors aim at satisfying their private interests and spend less time in acquiring skills in managing local policies.

Councillors receive technical support to manage local policies: In evaluating whether councillors receive technical support to manage local policies, statistics revealed that 66.7% of the sampled population of the study disagreed with the statement. This was confirmed by a mean value of =2.29 and a moderate standard deviation value of =0.866 establishing that some councillors do not have sufficient experience in policy management.

Presence of infrastructure to design and implement local policies: While evaluating the presence of infrastructure to design and implement local policies, statistical finds of 53.3% disagreed with the statement. The poor percentage rating was confirmed by a mean value of = 2.84 and a high standard deviation value of =1.139, consequently confirming that there were insufficient infrastructure (policy furniture) to design and implement local government

policies. Respondents further expressed concern that although there is some infrastructure in place in some local governments, the majority still lack the basic infrastructure. Absence of electricity was emphasised as the biggest challenge local policy management.

Local policies take into account both short term and long-term interventions: In evaluating whether local policies take into account short term and long term interventions, 77.3% of the statistical findings disagreed with the statement. This fair percentage rating was confirmed by mean value of = 3.81 and a moderate standard deviation value of =0.881, concluding that sometimes local government policies take into account both short term and long-term interventions. Long-term interventions are usually incorporated in the development planning process for short term and long-term priorities.

A summary of the statistical findings from the index of the ten items captured under object three revealed mixed reactions from the respondents of the capacity of local councillors in effectively managing local government policies. The summary findings were further validated by conducting a small Chi Square Test (χ^2) where of a statistic of 91 (df=35) was established. This confirmed the null hypothesis that local councillors have effectively managed local government policies.

The overall summary from this study show that the respondents gave varying views on the impact of participatory planning and budgeting to quality of local development plans and local budget prioritisation. At the same time, there substantial evidence from the findings that local councillors lack capacity to effectively manage local policies.

7.3 Theoretical discourses

This model was developed within the theoretical discourses of participatory governance, participatory planning, participatory budgeting, capacity of locally elected leaders, and the paradigm of quality of local governments. The thesis gives a detailed discussion on the origins, form, nature and typology of public participation as aligned to the quest for good governance in general and decentralised local governance in Uganda, in particular. This study thus focused more on participatory governance as far as the introduction of the Decentralisation Policy in Uganda in 1997, and assessed its impact on the quality of decentralised service delivery. The study was further based on the ideological inclination of the NRM government that decentralisation brings services closer to the people who should be empowered through democratic participation in local decision-making. The LPGM was further premised on the

global conviction that involving stakeholders in government programmes increases efficiency, effectiveness, responsiveness and public accountability.

Therefore, the importance of public participation in local governments in Uganda was highlighted. In this study, overall quality of government programmes was reflected in the effectiveness of local governments through which the majority of central government policies and programmes are being implemented. Although the study focused on only six local governments in central Uganda, by the time of this study (2017) there were over one hundred and twenty six (126) higher local governments (HLGs) each with several lower local governments (LLGs) totalling approximately to sixty eight thousand (68,000) local governments in a population of thirty eight (38) million people! All this elaborate public participation confirmed the importance government attaches to public participation.

Public participation that is manifested through public consultations and involvement is also a constitutional obligation in the Republic of Uganda and the development of the current participation governance structure was obligatory under Article 152 of the constitution of the Republic of Uganda and the enabling Local Government Act.

However, further exposition of participatory governance in Uganda reveals not-so-good outcomes associated with declining service delivery and quality of decentralised institutions that necessitated development of this model. The theoretical puzzle underlying the LPGM was whether all the participants in local governance in Uganda are necessary for improved quality in local service delivery. The LPGM attempts to fill this gap by developing an innovative local government participatory framework for sustainable quality of decentralised local government functions.

7.4 Overall conclusions from the Study

Conclusions from this study are presented in line with the objectives of the study. The overall conclusion from this study as far as the primary objective of the study is concerned, are that there is evidence of participatory governance since 1997, which has enhanced quality of local governments in Uganda. The lesson learnt in relation to the primary objective is that participatory governance, with all its conceptualised advantages, in some instances, if not clearly planned, structured and contextualised, may result in many un-intended internal

weaknesses at the very least and may not always help to improve the quality of local governments that are not doing so well.

The specific conclusions on Uganda's participatory governance since 1997 considering the specific participation elements that were evaluated are as follows:

Participatory planning

As far as participatory planning and enhancing quality of the development plans, based on statistical and qualitative findings, the study concluded that participatory planning enhances quality of development plans. The three most influential factors in the participatory planning framework are that development plans help to steer local development; they are considered while making local governments budgets, and are vital in the social economic development of local governments.

Participatory budgeting

When it comes to participatory budgeting and its effectiveness in the delivery of local governments' priorities, the study concluded that the participatory budgeting framework in local governments in Uganda effectively delivers local government priorities. Three most significant participatory budgeting advantages are that: Participatory budgeting reduces corruption; it enables locally employed civil servants to effectively implement budgets; and it enables local CSOs to effectively monitor local government budgets.

Capacity of local councillors

Considering the capacity of local councillors in managing local policies, the study concluded that councillors have not effectively managed local policies. Three incapability factors were identified namely: lack of experience in policy formulation; insufficient infrastructure to design and implement local policies; and limitations of the general-public and CSOs involvement in policy formulation.

7.5 Conclusions on quality of local governments

Conclusions from the dependent variable of quality of local governs indicate that null hypothesis was easily accepted. By accepting the Null hypothesis, it was concluded that indeed there are indicators of quality of local governments. The study also identified the most influential factors in each of the three criterion of quality of local governments.

Voice and accountability: The most influential factors were transparency in operations of local governments; accountability of local governments to local people; and building trust and social cooperation between civil servants and political leadership.

Government effectiveness: The most influential factors were that departments in local governments are well functioning; there is an effective system of stopping fraud; and that public resources are used optimally.

Control of corruption: The most influential factors were the respect for private property rights; and, checking patronage in appointments to public offices.

7.6 Policy recommendations

Centre for Ageing Research and Development, Ireland (2012); defined policy recommendations as written policy advice prepared for some particular policy makers, or to policy actors with authority to take or influence policy decisions. The actor may be a minister, a member of parliament, a committee of parliament, a local government or any other public agency. The purpose of policy recommendations is to inform policy actors faced with several policy options about the outcomes of research and innovations to address policy problems. Policy recommendations use research to give solutions to policy problems and to give useful information of the effectiveness of a public policy. This study has several recommendations aligned to the objectives of the study.

RECOMMENDATION 1: PARTICIPATORY GOVERNANCE

For the primary objective of assessing the impact of participatory governance on the quality of local governments in Uganda, the study proposes that the central government develops *Local Governance Feasibility Assessment Guidelines* to guide future creation of local governments. Since this study conceptualised capacity of local governments to be dependent on global, national and local parameters, the Central Government should develop self-assessment guidelines to inform further creation of local governments. Otherwise, government risks the consequences of *over-governance*, which is an unsustainable situation where governments expand beyond what they can effectively govern. There are lessons to draw from unfortunate historical facts that have consistently shown that in all stable democracies, increased state capacity came before representative democracy was established. For the other objectives, the study has the following policy recommendations.

RECOMMENDATION 2: CAPACITY OF LOCAL COUNCILLORS

To enhance the capacity of local councillors in public policy management, government should develop a policy management training programme for all local councils to enable councillors enhance policy management skills. Such a training programme should be regular in all local governments in the country. Besides, the Central Government should provide sufficient policy furniture to enable local governments effectively execute the devolved government functions. In addition, national guidelines on involvement of CSOs in local government programmes should be formulated to streamline the corroboration between CSOs and local governments in local government programmes.

RECOMMENDATION 3: QUALITY OF LOCAL GOVERNMENTS

In line with the theoretical objectives of the study, this research proposes the following policy recommendations to enhance quality of local governments. These recommendations are based on three quality criteria adopted in this study. First, to enhance voice and accountability, the study proposes that the Central Government strengthens the public accountability institutions in local governments by providing more funds to enable them effectively monitor local government programmes. Secondly, to enhance government effectiveness, the study recommends that departments in local governments should be facilitated to be fully functional in terms of staffing, infrastructure and reasonable and timely budget allocations.

7.7 Areas for Further Research

Since the study had limitations, the areas that were not investigated shall prompt future investigations. To start with, the study concentrated on only three developed functions to local governments that formed the pillars of this study. These were: planning, budgeting, and political functions of local governments. Other three devolved local government functions were not considered in this study. These are legislative, judicial, and administrative functions, which individually or collectively can constitute other areas for further research.

For the part of quality of local governments, further research should be carried out to develop national quality indicators for local governments in Uganda. Further studies should also look at the other quality components that have not been covered by this study.

7.8 Summary

This chapter looked at findings, conclusions and policy recommendations. Primarily, the study findings revealed that the nature and forms of participatory governance in Uganda since 1997

have not impacted substantially on the quality of local governments. Findings have also revealed varying views on the impact of participatory planning and budgeting on improving quality of development plans. The study findings also established that the capacity of local councillors to manage local public policies effectively was beyond the skills and competencies of individual elected councillors. The study therefore concluded that major reforms need to be carried out to streamline the current participatory governance framework to suit the existing public governance contexts. The study recommends that the government develops *Local Governance Capacity Assessment Guidelines* to inform future creation of local governments

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APPENDICES

APPENDIX 1: QUESTIONNAIRE

RESEARCH PROJECT

*EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING QUALITY
OF LOCAL GOVERNMENTS; A CASE OF SIX SELECTED LOCAL GOVERNMENTS
IN CENTRAL UGANDA*

To be administered to:

- 1. Local government officials (both political and technical)**
- 2. Members of the general public**

By

Galukande Kiganda Michael
PhD Student, North West University Vaal Campus

Dear Sir/ Madam,

Participation of different stakeholders is vital for the effective realisation of decentralisation benefits. The form and extent of people's involvement into the delivery of services is critical in the assessment of local governments. You have been selected to participate in this study being carried out by Michael Galukande Kiganda, a PhD Student at North West University Vaal Campus who is carrying of an evaluation research of participatory governance for quality of local governments in Uganda. This research therefore shall ask you a few questions related to the above area under investigation.

Your response to these questions is voluntary and you are free not to respond to any or some of the questions and you can withdraw at any time if you don't want to continue with the

questionnaire. Your responses shall be kept confidential and you need not reveal your names unless you specifically wish to be quoted.

Your participation in this study is important and it will help to advise the researcher and other stakeholders on how to enhance participation for improving quality of local governments. You are free to interact and ask questions and clarifications. Completing this questionnaire will take approximately 30 minutes.

Should you have any questions about this research project, please do not hesitate to call Mr Michael Galukande Kiganda on 0704926464.

Thank you for your cooperation.

A handwritten signature in black ink, appearing to read "Michael Galukande Kiganda", is written over a horizontal line.

Galukande Kiganda Michael
Researcher

SECTION A
BACKGROUND INFORMATION

Please tick the appropriate box where applicable

1. Gender

Male []

Female []

2. Age group

21-30 []

41-50 []

Above 60 years []

51-60 []

3. What is your highest education level?

Secondary school []

Masters []

Under Graduate []

PHD []

4. Under which of these communities do you belong?

(a) Ordinary Citizens / Resident []

(d) Student, Scholar []

(b) Teacher / Educationist []

(e) Self Employed []

(c) Local Artisan []

(f) Farmers []

(g) Trader []

(h) Unemployed []

(i) Politician []

(j) Government []

(k) Community Based Worker []

(l) Other (Specify) []

SECTION B

THE INFLUENCE OF PARTICIPATION ON QUALITY OF LOCAL GOVERNMENTS –LGs

(Primary objective: To evaluate the nature and form of participatory governance for quality of local governments)

Please tick the appropriate answer using the following scale:

SA (5) = Strongly Agree []

A (4) = Agree []

NS (3) = Not Sure []

D (2) = Disagree []

SD (1) = Strongly Disagree, []

| B ₁ 0 | | SA(5) | A(4) | NS(3) | D(2) | SD (1) |
|------------------|--|-------|------|-------|------|--------|
| B ₁ 1 | Stakeholder participation has led to improved service delivery in LGs. | | | | | |
| B ₁ 2 | Stakeholders are in control of the LG functions. | | | | | |
| B ₁ 3 | There are clear guidelines and procedures for participating in local governments | | | | | |
| B ₁ 4 | LG councils effectively monitor activities in their LGs. | | | | | |
| B ₁ 5 | There are clearly defined roles of the different stakeholders | | | | | |

| | | | | | | |
|------------------|---|--|--|--|--|--|
| B ₁₆ | There are clear outcomes of stakeholder involvement in LGs | | | | | |
| B ₁₇ | All stakeholders perform what they are obliged to do. | | | | | |
| B ₁₈ | Stakeholder actions are consistent with local government policies. | | | | | |
| B ₁₉ | Ministry of local government effectively monitors local councillors' activities. | | | | | |
| B ₁₁₀ | Local people participate in local government activities | | | | | |
| B ₁₁₁ | Councillors effectively represent their constituencies | | | | | |
| B ₁₁₂ | Civil society organisations are involved in local government programmes | | | | | |
| B ₁₁₃ | Religious leaders are participate in LG activities. (This question should be split into two, one for religious leaders and another for cultural leaders | | | | | |
| B ₁₁₄ | Cultural leaders participate in LG activities. | | | | | |
| B ₁₁₅ | I am satisfied with the way civil servants conduct LG activities | | | | | |
| B ₁₁₆ | Marginalised communities such as women, youth PWDs, Children participate in local government activities | | | | | |

SECTION C

INDICATORS OF QUALITY OF LOCAL GOVERNMENTS

(Theoretical Objective: To establish indicators of quality of local governments)

| B ₂₀ | | SA(5) | A(4) | NS(3) | D(2) | SD (1) |
|------------------|---|-------|------|-------|------|--------|
| B ₂₁ | Elections have been free and fair | | | | | |
| B ₂₂ | There is patronage in appointing of public officials | | | | | |
| B ₂₃ | There is favouritism in service delivery | | | | | |
| B ₂₄ | There is abuse of powers by public officials | | | | | |
| B ₂₅ | There is impartiality in implementation of local programmes. | | | | | |
| B ₂₆ | There is respect to private property rights | | | | | |
| B ₂₇ | There is an effective system of stopping fraud | | | | | |
| B ₂₈ | There is trust and social cooperation between civil servants and the political leadership | | | | | |
| B ₂₉ | There is trust and cooperation between elected leaders and the electorate | | | | | |
| B ₂₁₀ | Cultural leaders work together with the LGs | | | | | |
| B ₂₁₁ | Religious institutions work together with the LGs | | | | | |
| B ₂₁₂ | There is unbiased rule of law | | | | | |
| B ₂₁₃ | Management observes/ carries out sanctions when transparency is violated. | | | | | |
| B ₂₁₄ | LGs institutions are clean/ hygienic | | | | | |
| B ₂₁₅ | The departments in the LG are well functioning | | | | | |

| | | | | | | |
|-------------------|---|--|--|--|--|--|
| B ₂ 16 | Public resources are used optimally | | | | | |
| B ₂ 17 | LG have sufficient capacity to formulate and implement sound programs | | | | | |
| B ₂ 18 | There is transparency in the operations of the LG | | | | | |
| B ₂ 19 | LGs are accountable to the local people | | | | | |
| B ₂ 20 | Civil servants perform what they are expected to do. | | | | | |

SECTION D:

EVALUATION OF PARTICIPATION AND QUALITY OF DEVELOPMENT PLANS

(Empirical Objective 1: To evaluate how participatory planning enhances quality of development plans in local governments in Uganda)

| B ₃ 0 | | SA(5) | A(4) | NS(3) | D(2) | SD (1) |
|-------------------|--|-------|------|-------|------|--------|
| B ₃ 1 | Citizens participate in development planning | | | | | |
| B ₃ 2 | Technical officers participate in development plans | | | | | |
| B ₃ 3 | CSOs participate in development plans | | | | | |
| B ₃ 4 | Local problems are included in development plans | | | | | |
| B ₃ 5 | Councillors participate in developing development plans | | | | | |
| B ₃ 6 | Councillors understand the contents of the development plans | | | | | |
| B ₃ 7 | Development plans steer local development | | | | | |
| B ₃ 8 | Development plans are considered while making budgets | | | | | |
| B ₃ 9 | Development plans have helped the development of our local governments | | | | | |
| B ₃ 10 | Participation enhance the quality of development plans | | | | | |
| B ₃ 11 | Development planning helps in allocation of public services | | | | | |
| B ₃ 12 | Citizen participation helps to make development plans better | | | | | |

SECTION E
EVALUATION PARTICIPATORY BUDGETING ON RESPONSIVENESS TO
LOCAL PRIORITIES

(Empirical Objective 2: To evaluate the impact of participatory budgeting on responsiveness to local priorities in local governments in Uganda)

| B40 | | SA(5) | A(4) | NS(3) | D(2) | SD (1) |
|------|---|-------|------|-------|------|--------|
| B41 | Citizens participate in the budgeting process | | | | | |
| B42 | Councillors understand how to develop the local budget | | | | | |
| B43 | Local needs are included in the budget | | | | | |
| B44 | Civil servants effectively implement the budget | | | | | |
| B45 | CSOs effectively monitor the budget | | | | | |
| B46 | Local revenues are effectively collected to finance the budget | | | | | |
| B47 | The central government dictates on what the local budgets should finance. | | | | | |
| B48 | There is value for money as a result of participatory budgeting. | | | | | |
| B49 | Generally, participatory budgeting has reduced corruption. | | | | | |
| B410 | Quality of public services has increased due to participatory budgeting. | | | | | |
| B411 | Generally, local budgets focus on solving local needs | | | | | |

SECTION F
CAPACITY OF LOCAL COUNCILLORS IN EFFECTIVE MANAGEMENT
OF PUBLIC POLICIES

(Empirical Objective 3: To assess the capacity of local councillors in effective management of public policies)

| B50 | | SA(5) | A(4) | NS(3) | D(2) | SD (1) |
|-----|---|-------|------|-------|------|--------|
| B51 | Councillors have enough skills to manage local policies | | | | | |
| B52 | Councillors are committed to local governments | | | | | |
| B53 | Councillors design the right contents in local policies | | | | | |
| B54 | There is sufficient resources available to councillors to effect local policies | | | | | |
| B55 | Councillor design policies that are relevant to the local contexts. | | | | | |
| B56 | The general public and CSOs are involved in policy formulation | | | | | |
| B57 | Councillors have sufficient experience in policy management | | | | | |
| B58 | Councillors get the necessary support especially from technical officers to manage local policy | | | | | |

| | | | | | | |
|------|---|--|--|--|--|--|
| B59 | There is sufficient infrastructure to design and implement local policies | | | | | |
| B510 | Policies take into account both short term and long term interventions | | | | | |



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APPENDIX 2: INTERVIEW GUIDE

RESEARCH PROJECT

EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING QUALITY OF LOCAL GOVERNMENTS; A CASE OF SIX SELECTED LOCAL GOVERNMENTS IN CENTRAL UGANDA

To be administered to:

Ministry of local government officials (both political and technical)

Members of District NGO Forums

By

Galukande Kiganda Michael

PhD Student, North West University Vaal Campus

Dear Sir/ Madam,

Participation of different stakeholders is vital for the effective realisation of decentralisation benefits. The form and extent of people's involvement into the delivery of services is critical in the assessment of local governments. You have been selected to participate in this study being carried out by Michael Galukande Kiganda, a PhD Student at North West University Vaal Campus who is carrying out an evaluation research of participatory governance for quality of local governments in Uganda. This research therefore shall ask you a few questions related to the above area under investigation.

Your response to these questions is voluntary and you are free not to respond to any or some of the questions and you can withdraw at any time if you don't want to continue with the questionnaire. Your responses shall be kept confidential and you need not reveal your names unless you specifically wish to be quoted.

Your participation in this study is important and it will help to advise the researcher and other stakeholders on how to enhance participation for improving quality of local governments. You

are free to interact and ask questions and clarifications. This interview will take approximately 40 minutes.

Should you have any questions about this research project, please do not hesitate to call Mr Michael Galukande Kiganda on 0704926464.

Thank you for your cooperation

A handwritten signature in black ink, appearing to read "Michael Galukande Kiganda", is written over a horizontal line.

Galukande Kiganda Michael

Researcher

EVALUATION OF PARTICIPATION IN LOCAL GOVERNMENTS

Make an overall evaluation on the nature and form of participation of different stakeholders in local government. Probe on the following:

How else stakeholders should participate in their local governments.

Which stakeholders are in good position to participate and be involved in local governments?

Stakeholders that are disadvantaged and cannot participate

Comment on the current forms of participation/ involvement in local governments. (Direct and indirect participation) Probe on the following:

- Other actors to be involved in local governments.
- Evaluate the participants: - doing good job or contribution lacking?
- What factors should indicate quality of local governments? Probe on the following:
- Factors that indicate lack of quality of local governments.
- How to enhance quality of local governments.
- Comment on the way people get involved in local development planning. Probe on the following:
- How to enhance community involvement in development planning.
- Obstacles to local involvement in planning.
- What are the challenges to local development planning?
- Comment on participatory budgeting in local governments. Probe on the following:
- How participatory budgeting enhanced responsiveness to local needs.
- How participatory budgeting has enhanced accountability.
- How participatory budgeting has enhanced localism.
- Comment on the way elected councillors manage local policies. Probe on the following:
- How councillors initiate local policies for their local governments?
- How to improve on local policy management?
- What do councillors need to perform better?



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APPENDIX 3: OBSERVATION FORM

RESEARCH PROJECT

**EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING
QUALITY OF LOCAL GOVERNMENTS; A CASE OF SIX SELECTED LOCAL
GOVERNMENTS IN CENTRAL UGANDA**

To be administered/ observed by the researcher:

By

Galukande Kiganda Michael

PhD Student, North West University Vaal Campus

Dear Sir/ Madam,

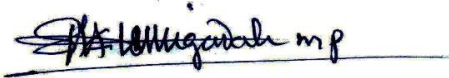
Participation of different stakeholders is vital for the effective realisation of decentralisation benefits. The form and extent of people's involvement into the delivery of services is critical in the assessment of local governments. You have been selected to participate in this study being carried out by Michael Galukande Kiganda, a PhD Student at North West University Vaal Campus who is carrying out an evaluation research of participatory governance for quality of local governments in Uganda. This research therefore wishes to assess the quality of development plans and budgets of local governments for responsiveness, accountability and localism.

Your acceptance to offer these documents and to respond to a few questions is voluntary and you are free not to respond to any or some of the questions and you can withdraw at any time if you don't want to continue with the exercise. Your responses shall be kept confidential and the study shall not reveal both your names and those of your local government unless you specifically wish to be quoted.

Your participation in this study is important and it will help to advise the researcher and other stakeholders on how to enhance participation for improving quality of local governments. You are free to interact and ask questions and clarifications. Assessing these documents will take approximately one hour.

Should you have any questions about this research project, please do not hesitate to call Mr Michael Galukande Kiganda on 0704926464.

Thank you for your cooperation

A handwritten signature in black ink, appearing to read 'Michael Galukande Kiganda m.p.', is written over a horizontal line.

Galukande Kiganda Michael

Researcher

RESEARCHER TO TICK THE APPROPRIATE OBSERVATION USING THE FOLLOWING SCALE:

SA (5) = Strongly Agree

A (4) = Agree

NS (3) = Not Sure

D (2) = Disagree

SD (1) = Strongly Disagree,

| B60 | | SA(5) | A(4) | NS(3) | D(2) | SD (1) |
|-------|---|-------|------|-------|------|--------|
| B61 | LG has an approved development plan. | | | | | |
| B62 | Stakeholders (such as citizens, CSOs, FBOs) were involved in formulation of the development plan. | | | | | |
| B63 | Development plan was drawn entirely by technical staff. | | | | | |
| B64 | Councillors are aware of what is within the development plans. | | | | | |
| B65 | Councillors can read and understand the development plan | | | | | |
| B66 | The general public is aware of the development plan | | | | | |
| B67 | The general public has access to the development plan | | | | | |
| B6 8 | Development plan is reviewed every other two and half years. | | | | | |
| B6 9 | Development plan is followed when making the budget. | | | | | |
| B6 10 | Development plan addresses local priorities | | | | | |
| B611 | Development plan uses local resources. | | | | | |
| B612 | Budgeting if participatory | | | | | |
| B6 13 | Citizens attend budget conferences, standing committees and council meetings during budget period | | | | | |
| B614 | Budgets respond to local priorities | | | | | |
| B614 | Citizens and CSOs participate in budget monitoring and evaluation | | | | | |
| B615 | There are budget performance reports | | | | | |
| B616 | Generally, budget promotes localism | | | | | |



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APPENDIX 4: LITERATURE REVIEW GUIDE

RESEARCH PROJECT

EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING QUALITY OF LOCAL GOVERNMENTS; A CASE OF SIX SELECTED LOCAL GOVERNMENTS IN CENTRAL UGANDA

Literature review shall be guided by the study objectives and dissertation lay out. Literature review shall be guided by the following themes:

- **Primary Objective: Participation governance and quality of local governments.**

Sub themes: Participation governance

Quality of local governments

- **Specific Objective 1: Nature and Forms of participation governance and their impacts on quality of local governments.**

Sub themes: Nature of participation governance

Forms of participation governance

- **Specific Objective 2: Indicators of Quality of Local governments**

Sub theme: Hard measures of quality of governments

Perception measures of quality of governments

- **Specific Objective 3: Participatory planning and quality of development plans**

Sub themes: Participatory planning

Quality of development plans

- **Specific Objective 4: Participatory budgeting and responsiveness to local needs**

Sub themes: Participatory budgeting

Responsiveness

- **Specific Objective 5: Capacity of councillors to manage local public policy**

Sub themes: Capacity of councillors

Management of local policy

- **The local government system in Uganda**

Sub themes: Pre-colonial local governance

Colonial local governance

Post-independence local governance

Local council system in the National Resistance Movement era.

- **Theoretical framework to participatory governance**

Sub themes: Sherry Aronstein's Ladder of Citizen Participation Theory

Muller's Theory of Aggressive Political Action

Freeman Butt's theory of Morality of Democratic Citizenship

**APPENDIX 5(A): INFORMED CONSENT FORM FOR QUESTIONNAIRE
RESPONDENTS**

Title of the study:

Evaluation of Participatory Governance for Enhancing Quality of Local Governments; a Case of Six Selected Local Governments in Central Uganda

Investigator(s): GALUKANDE KIGANDA MICHAEL

Institution(s) NORTH WEST UNIVERSITY, VAAL TRIANGLE CAMPUS

(To be administered to 90 respondents before questionnaires are given out)

Introduction

Participation of different stakeholders is vital for the effective realization of decentralization benefits. The form and extent of people's involvement into the delivery of services is critical in the assessment of local governments. You have been selected to participate in this study being carried out by Michael Galukande Kiganda, a PhD Student at North West University Vaal Campus who is carrying out an evaluation research of participatory governance for quality of local governments in six selected local governments in central Uganda. The research is sponsored by Uganda Management Institute- UMI. This research therefore shall ask you a few questions related to the above area under investigation. Answering the questionnaire shall take you about forty (40) minutes.

Your response to these questions is voluntary and you are free not to respond to any or some of the questions and you can withdraw at any time if you don't want to continue with the questionnaire. Your responses shall be kept confidential and you need not reveal your names unless you specifically wish to be quoted.

Your participation in this study is important and it will help to advise the researcher and other stakeholders on how to enhance participation for improving quality of local governments. You are free to interact and ask questions and clarifications. If you decide to participate in the study, you will be asked to sign a consent, which you will be given a copy to keep.

Purpose:

The study seeks to evaluate the nature and form of participatory governance for enhancing the quality of local governments in six local governments in central Uganda. The findings of this study will help to design an appropriate model for enhancing participatory governance for quality of local governments in Uganda and to inform policy makers on best practices of enhancing public participation in local governments.

Procedures

Your participation in this study will involve answering a questionnaire provided to you by the researcher on issues relating to public participation and to quality of local governments in Uganda.

Who will participate in the study?

You have been chosen to participate in this study because you are either an employee of one of the participating local governments, or you belong to a civil society organisation that regularly monitors activities of local governments. Answering the questionnaire will last for approximately thirty minutes.

Risks/discomforts:

There is no foreseeable risk of harm or discomfort that will arise from your participation in this study. The only risk or discomfort will be the inconvenience in terms of time spent answering the questionnaire. Ethical issues that would pose risks to this study have been highlighted and mitigated in the section on ethical considerations in the research proposal.

Benefits:

As participant in this study, you will benefit by participating in a study aimed at improving your participation in local governments. This study will inform policy makers on best practices to be adopted in public participation. Besides, the study shall form a basis of evidence policy making aimed at improving the quality of local governments in Uganda. Findings from this study shall be communicated to you in due course.

Confidentiality:

Your identity will not be revealed to any one (except when the respondent so wishes) as we shall only use codes to identify participants. Information obtained will only be accessible by the research team. Soft copies of the data will be protected by password and hard copy files will be kept under lock and key. Confidential information will only be accessed by the principal investigator.

Alternatives:

You do not have to answer this questionnaire, if you are not interested. You will not lose any benefit in case of no participation.

Cost:

There will not be any additional cost incurred as a result of participating in this study.

Questions:

If you have any questions related to the study, or your rights as a research participant, you can contact the principal investigator, Mr Galukande Kiganda Michael on telephone number 0774046206 or via email on kigandamichael2000@yahoo.com / mpgalukande@umi.ac.ug

Statement of voluntariness:

Participation in the research study is voluntary and you may join on your own free will. You have a right to withdraw from the study at any time without penalty. If you have any issues pertaining to your rights and participation in the study, please contact the Chairperson, Gulu University Research Ethics Committee, Dr. Gerald Obai, Tel: No., +256772305621; email: lekobai@yahoo.com/ lekobai@gmail.com; or the Uganda National Council for Science and Technology, on Plot 6 Kimera road, Ntinda, Kampala on Tel 0414705500. The study instruments as well as the research tools have been approved by the Gulu University Ethics Research Committee- GUREC to cover a sample size of 99 Respondents in six districts in central Uganda.

Statement of consent

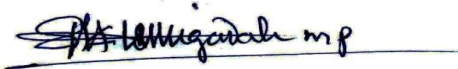
Mr Galukande Kiganda Michael has described to me what is going to be done, the risks, the benefits involved and my rights as a participant in this study. I understand that my decision to

participate in this study will not affect me in any way. In the use of this information, my identity will be concealed. I am aware that I may withdraw at any time. I understand that by signing this form, I do not waive any of my legal rights but merely indicate that I have been informed about the research study in which I am voluntarily agreeing to participate. A copy of this form will be provided to me.

Name

Signature of participant.....

Date

A handwritten signature in black ink, appearing to read "Michael Galukande Kiganda", written over a horizontal line.

Michael Galukande Kiganda

Researcher

Dated September, 2018

APPENDIX 5 (B): INFORMED CONSENT FORM FOR FIELD OBSERVATIONS

Title of the study:

Evaluation of Participatory Governance for Enhancing Quality of Local Governments; A Case of Six Selected Local Governments in Central Uganda

Investigator(s): GALUKANDE KIGANDA MICHAEL

Institution(s) NORTH WEST UNIVERSITY, VAAL TRIANGLE CAMPUS

(To be administered to Chief administrative Officer of the 6 study districts before observations are carried out)

Introduction

Participation of different stakeholders is vital for the effective realization of decentralization benefits. The form and extent of people's involvement into the delivery of services is critical in the assessment of local governments. You have been selected to participate in this study being carried out by Michael Galukande Kiganda, a PhD Student at North West University Vaal Campus who is carrying of an evaluation research of participatory governance for quality of local governments in six selected local governments in central Uganda. The research is sponsored by Uganda Management Institute- UMI. Some photographs may be taken to enable the researcher to effectively illustrate what went on in the field.

Observations in this study shall be kept confidential and may not reveal names unless you specifically wished to be quoted.

Your district's participation in this study is important and it will help to advise the researcher and other stakeholders on how to enhance participation for improving quality of local governments. You are free to interact and ask questions and clarifications. If you decide to participate in the study, you will be asked to sign a consent, which you will be given a copy to keep.

Purpose:

The study seeks to evaluate the nature and form of participatory governance for enhancing the quality of local governments in six local governments in central Uganda. The findings of this study will help to design an appropriate model for enhancing participatory governance for

quality of local governments in Uganda and to inform policy makers on best practices of enhancing public participation in local governments.

Procedures

As part of the methods of this study, observations of elements related to participatory governance and quality of local governments may be carried out by the researcher

Who will participate in the study?

Six selected districts in central Uganda shall be involved in this study from which observations may be sought concerning participatory governance and quality of local governments.

Risks/discomforts:

There is no foreseeable risk of harm or discomfort that will arise from making and recording observations in this study. The only risk or discomfort will be the inconvenience in terms of time spent during the observations. The ethical issues that would pose risks to this study have been highlighted and mitigated in the section on ethical considerations in the research proposal.

Benefits:

As participant in this study, your district shall benefit by participating in a study aimed at improving your participation in local governments. This study shall inform policy makers on best practices to be adopted in public participation. Besides, the study shall form a basis of evidence policy making aimed at improving the quality of local governments in Uganda. Findings from this study shall be communicated to your district in due course.

Confidentiality:

Your identity will not be revealed to any one (except when the respondent so wishes) as we shall only use codes to identify participants. Information obtained will only be accessible by the research team. Soft copies of the data will be protected by password and hard copy files will be kept under lock and key. Confidential information will only be accessed by the principal investigator.

Alternatives:

Your district may opt not to participate in this study if you are not interested. You will not lose any benefit in case of no participation.

Cost:

There will not be any additional cost incurred as a result of participating in this study.

Questions:

If you have any questions related to the study, or your rights as a research participant, you can contact the principal investigator, Mr. Galukande Kiganda Michael on telephone number 0774046206 or via email on kigandamichael2000@yahoo.com / mpgalukande@umi.ac.ug

Statement of voluntariness:

Participation in the research study is voluntary and you may join on your own free will. You have a right to withdraw from the study at any time without penalty. If you have any issues pertaining to your rights and participation in the study, please contact the Chairperson, Gulu University Research Ethics Committee, Dr. Gerald Obai, Tel: No., +256772305621; email: lekobai@yahoo.com/ lekobai@gmail.com; or the Uganda National Council for Science and Technology, on Plot 6 Kimera road, Ntinda, Kampala on Tel 0414705500. The study instruments as well as the research tools have been approved by the Gulu University Ethics Research Committee- GUREC to cover a sample size of 99 Respondents in six districts in central Uganda.

Statement of consent

Mr Galukande Kiganda Michael has described to me what is going to be done, the risks, the benefits involved and my rights as a participant in this study. I understand that my decision to participate in this study will not affect me in any way. In the use of this information, my identity will be concealed. I am aware that I may withdraw at any time. I understand that by signing this form, I do not waive any of my legal rights but merely indicate that I have been informed about the research study in which I am voluntarily agreeing to participate. A copy of this form will be provided to me.

Name

Signature of participant.....

Date

Michael Galukande Kiganda

Researcher/ Investigator

Dated

APPENDIX 5 (C): INFORMED CONSENT FORM FOR INTERVIEW GUIDE

Title of the study:

Evaluation of Participatory Governance for Enhancing Quality of Local Governments; A Case of Six Selected Local Governments in Central Uganda

Investigator(s): GALUKANDE KIGANDA MICHAEL

Institution(s) NORTH WEST UNIVERSITY, VAAL TRIANGLE CAMPUS

(To be administered 9 respondents before interviews, are carried out)

Introduction

Participation of different stakeholders is vital for the effective realization of decentralization benefits. The form and extent of people's involvement into the delivery of services is critical in the assessment of local governments. You have been selected to participate in this study being carried out by Michael Galukande Kiganda, a PhD Student at North West University Vaal Campus who is carrying of an evaluation research of participatory governance for quality of local governments in six selected local governments in central Uganda. The research is sponsored by Uganda Management Institute- UMI. This research therefore shall ask you a few questions related to the above area under investigation.

Your response to these questions is voluntary and you are free not to respond to any or some of the questions and you can withdraw at any time if you don't want to continue with the interview. Your responses shall be kept confidential and you need not reveal your names unless you specifically wish to be quoted.

Your participation in this study is important and it will help to advise the researcher and other stakeholders on how to enhance participation for improving quality of local governments. You are free to interact and ask questions and clarifications. If you decide to participate in the study, you will be asked to sign a consent, which you will be given a copy to keep.

Purpose:

The study seeks to evaluate the nature and form of participatory governance for enhancing the quality of local governments in six local governments in central Uganda. The findings of this study will help to design an appropriate model for enhancing participatory governance for

quality of local governments in Uganda and to inform policy makers on best practices of enhancing public participation in local governments.

Procedures

Your participation in this study will involve being interviewed by the researcher on issues relating to public participation and to quality of local governments in Uganda. Respondents in interviews are requested to allow the researcher to tape record

Who will participate in the study?

You have been chosen to participate in this study because you are either a government official working in local governments, or you are an expert in local governments. The interview will last for approximately forty (40) minutes.

Risks/discomforts:

There is no foreseeable risk of harm or discomfort that will arise from your participation in this study. The only risk or discomfort will be the inconvenience in terms of time spent during the interview. The ethical issues that would pose risks to this study have been highlighted and mitigated in the section on ethical considerations in the research proposal.

Benefits:

As participant in this study, you will benefit by participating in a study aimed at improving your participation in local governments. This study will inform policy makers on best practices to be adopted in public participation. Besides, the study shall form a basis of evidence policy making aimed at improving the quality of local governments in Uganda. Findings from this study shall be communicated to you in due course.

Confidentiality:

Your identity will not be revealed to any one (except when you so wish) as we shall only use codes to identify interviewees. Information obtained will only be accessible by the research team. Soft copies of the data will be protected by password and hard copy files will be kept under lock and key. Confidential information will only be accessed by the principal investigator.

Alternatives:

You do not have to be interviewed in this study if you are not interested. You will not lose any benefit in case of no participation.

Cost:

There will not be any additional cost incurred as a result of participating in this study. In the contrary, the researcher may provide a refreshment in form of water, or non-alcoholic soft drink during the interview period.

Questions:

If you have any questions related to the study, or your rights as a research participant, you can contact the principal investigator, Mr Galukande Kiganda Michael on telephone number 0774046206 or via email on kigandamichael2000@yahoo.com / mpgalukande@umi.ac.ug

Statement of voluntariness:

Participation in the research study is voluntary and you may join on your own free will. You have a right to withdraw from the study at any time without penalty. If you have any issues pertaining to your rights and participation in the study, please contact the Chairperson, Gulu University Research Ethics Committee, Dr. Gerald Obai, Tel: No., +256772305621; email: lekobai@yahoo.com/lekobai@gmail.com; or the Uganda National Council for Science and Technology, on Plot 6 Kimera road, Ntinda, Kampala on Tel 0414705500. The study instruments as well as the research tools have been approved by the Gulu University Ethics Research Committee- GUREC to cover a sample size of 99 Respondents in six districts in central Uganda.

Statement of consent

Mr Galukande Kiganda Michael has described to me what is going to be done, the risks, the benefits involved and my rights as a participant in this study. I understand that my decision to participate in this study will not affect me in any way. In the use of this information, my identity will be concealed. I am aware that I may withdraw at any time. I understand that by signing this form, I do not waive any of my legal rights but merely indicate that I have been informed about the research study in which I am voluntarily agreeing to participate. A copy of this form will be provided to me.

Name.....

Signature of participant..... Date

Michael Galukande Kiganda

Researcher/Investigator

Dated

APPENDIX 6: REGISTRATION OF TITLE

APPENDIX 7: C-CAD APPROVAL



PO Box 1174, Vanderbijlpark
South Africa 1900

Tel: 016 910-3111
Fax: 016 910-3116
Web: <http://www.nwu.ac.za>

Basic Sciences
Central Committee for Advance Degrees (C-CAD)
Tel: 0169103483
Email: lebo.serobane@nwu.ac.za

14 February 2018

Mr M Galukande-Kiganda (Review 50)

Student no: 28502329

Research title as approved by the C-CAD committee:

Evaluation of Participatory Governance for Enhancing Quality of Local Governments: A Case of Six Selected Local Governments in Central Uganda

Dear Mr Galukande-Kiganda

This letter serves to confirm that your PhD-Thesis research proposal has been approved by the Central Committee of Advanced Degrees in the School of Basic Sciences. Take note that it is normally required that two external reviewers participate in the process, but due to circumstances the comments of only one external reviewer has been accepted.

Committee members involved:

| Present (C-CAD reviewers) | Non-CAD external reviewers |
|---------------------------|----------------------------|
| Prof JWN Tempelhoff | Dr P Qeko Jere |
| Dr V Magezi | |
| Prof ES van Eeden | |

The ethics application is referred to the:

* Research Ethics Committee- BaSSREC: X .

* Research Ethics Committee-HHREC: .

You will find the details on the procedure that you will have to follow to submit to the Ethics Committee on the NWU-website. For the CAD-records, please inform Ms Lebo Serobane as responsible person to folder the ethical submission when your submission has been successfully completed and approved (Lebo.serobane@nwu.ac.za).

Yours sincerely



Prof Elize van Eeden
Chairperson: Committee of Advanced Degrees Basic Sciences

APPENDIX 8: ETHICS APPROVAL

GULU

P.O. Box 166 Gulu Uganda
Website: www.gu.ac
Email: guluuniversity.rec@gmail.com
lekobai@gmail.com



UNIVERSITY

Tel: +256-4714-32096
Fax: +256-4714-32913
Mob: +256772305621
+256776812147

RESEARCH ETHICS COMMITTEE

2nd March 2018

APPROVAL NOTICE

To: Michael Galukande-Kiganda
Principal Investigator
North West University, Vaal Triangle Campus
South Africa

Re: Application No. GUREC-020-18

Type of review:

Initial review

Amendment

Continuing review

Termination of study

SAEs

Other, Specify: _____

Title of proposal: **“Evaluation of Participatory Governance for Enhancing Quality of Local Governments; A Case of Six Selected Local Governments in Central Uganda.”**

I am pleased to inform you that at the 28th convened meeting on the 15th June 2017, the Gulu University Research Ethics Committee (GUREC) voted to approve the above referenced application.

Approval of the research is for the period of 2nd March 2018 to 1st March 2019

As Principal Investigator of the research, you are responsible for fulfilling the following requirements of approval:


1. All co-investigators must be kept informed of the status of the research



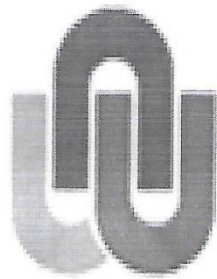
2. Changes, amendments, and addenda to the protocol or the consent form must be submitted to the **GUREC** for re-review and approval prior to the activation of the changes. The **GUREC** application number assigned to the research should be cited in any correspondence.
3. Any unanticipated problems involving risks to participants must be promptly reported to the **GUREC**. New information that becomes available which could change the risk: benefit ratio must be submitted promptly for the **GUREC** review.
4. Only approved and stamped consent forms are to be used in the enrollment of participants. All consent forms signed by participants and/or witnesses should be retained on file. The **GUREC** may conduct audits of all study records, and consent documentation may be part of such audits.
5. Regulations require review of an approved study not less than once per 12-month period. Therefore, a continuing review application must be submitted to the **GUREC** eight (8) weeks prior to the above expiration date of 1st March 2019 in order to continue the study beyond the approved period. Failure to submit a continuing review application in a timely manner may result in suspension or termination of the study, at which point new participants may not be enrolled and currently enrolled participants must be taken off the study.
6. You are required to register the research protocol with the Uganda National Council for Science and Technology (UNCST) for final clearance to undertake the study in Uganda.

The following documents have been approved in this application by the **GUREC**:

| | Document | Language | Version | Version Date |
|---|---------------------------|-----------------|----------------|--------------------------------|
| 1 | Protocol | English | 2.0 | 27 th February 2018 |
| 2 | Data Collection Tools | English | 2.0 | 27 th February 2018 |
| 3 | Informed consent Document | English | 2.0 | 27 th February 2018 |

Signed,

 Mr. Robert Kiduma
 For: Chairperson
 Gulu University Research Ethics Committee





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NOORDWES-UNIVERSITEIT

PhD in Public Management and Governance

in the

SCHOOL OF PUBLIC MANAGEMENT AND ADMINISTRATION

in the

FACULTY OF HUMANITIES

at the

NORTH-WEST UNIVERSITY (VAAL TRIANGLE CAMPUS)

COMPLIANCE REPORT GUREC

To

Dr. Gerald Obai,

Chairperson GUREC

Gulu University,

E mail lekobai@yahoo.com; lekobai@gmail.com,

Tel: +256772305621.

Student Name: Michael Galukande-Kiganda

Student Number: 28502329

Title

Evaluation of Participatory Governance for Enhancing Quality of Local Governments; A Case of Six Selected Local Governments in Central Uganda

Date of Compliance

: February 2018





Uganda National Council for Science and Technology

(Established by Act of Parliament of the Republic of Uganda)

Our Ref: SS 4593

7th June 2018

Mr. Michael Kiganda Galukande
Principal Investigator
Uganda Management Institute
Kampala

Dear Mr. Galukande,

Re: Research Approval: Evaluation of Participatory Governance for Quality of Local Governments in Uganda, A Case of Six Selected Districts in Central Uganda

I am pleased to inform you that on **10/05/2018**, the Uganda National Council for Science and Technology (UNCST) approved the above referenced research project. The Approval of the research project is for the period of **10/05/2018** to **10/05/2019**.

Your research registration number with the UNCST is **SS 4593**. Please, cite this number in all your future correspondences with UNCST in respect of the above research project.

As Principal Investigator of the research project, you are responsible for fulfilling the following requirements of approval:

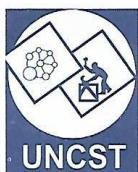
1. All co-investigators must be kept informed of the status of the research.
2. Changes, amendments, and addenda to the research protocol or the consent form (where applicable) must be submitted to the designated Research Ethics Committee (REC) or Lead Agency for re-review and approval **prior** to the activation of the changes. UNCST must be notified of the approved changes within five working days.
3. For clinical trials, all serious adverse events must be reported promptly to the designated local IRC for review with copies to the National Drug Authority.
4. Unanticipated problems involving risks to research subjects/participants or other must be reported promptly to the UNCST. New information that becomes available which could change the risk/benefit ratio must be submitted promptly for UNCST review.
5. Only approved study procedures are to be implemented. The UNCST may conduct impromptu audits of all study records.
6. An annual progress report and approval letter of continuation from the REC must be submitted electronically to UNCST. Failure to do so may result in termination of the research project.

LOCATION/CORRESPONDENCE

Plot 6 Kimera Road, Nitinda
P. O. Box 6884
KAMPALA, UGANDA

COMMUNICATION

TEL: (256) 414 705500
FAX: (256) 414-234579
EMAIL: info@uncst.go.ug
WEBSITE: <http://www.uncst.go.ug>



Uganda National Council for Science and Technology

(Established by Act of Parliament of the Republic of Uganda)

Below is a list of documents approved with this application:

| | Document Title | Language | Version | Version Date |
|----|-------------------------|----------|---------|---------------|
| 1. | Research proposal | English | N/A | December 2017 |
| 2. | Questionnaire | English | N/A | N/A |
| 3. | Interview guide | English | N/A | N/A |
| 4. | Literature review guide | English | N/A | N/A |
| 5. | Informed consent forms | English | N/A | N/A |

Yours sincerely,

Isaac Makhuwa

For: Executive Secretary

UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

Copied to: Chair, Gulu University, Research Ethics Committee.

LOCATION/CORRESPONDENCE

*Plot 6 Kimera Road, Ntinda
P. O. Box 6834
KAMPALA, UGANDA*

COMMUNICATION

TEL: (256) 414 705500
FAX: (256) 414-234579
EMAIL: info@uncst.go.ug
WEBSITE: <http://www.uncst.go.ug>



Certificate

May 19, 2017

This is to certify that Mr. Michael Galukande has successfully completed the Macquarie University Human Research Ethics Online Training Module for the Social Sciences and Humanities.

Macquarie University



NORTH-WEST UNIVERSITY[®]
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
VAAL TRIANGLE CAMPUS

PO Box 1174, Vanderbijlpark
South Africa, 1900

**Basic and Social Sciences Research Ethics
Committee**

Tel: +27(16) 910-3483

Web: <http://www.nwu.ac.za>

Email bassrec@nwu.ac.za

31 August 2018

Dear Mr Galukande-Kiganda

Application: NWU-HS-2017-0140

Project Title: Evaluation of participatory governance for enhancing quality of local governments: A
case of six selected local governments in central Uganda

Supervisor: Prof. L.B. Mzini

Validity: 31 August 2018 – 30 August 2021

PhD in Public Management & Governance

Risk Level: Low

Date of BaSSREC approval: 31 August 2018

Thank you for a revised application and additional material based on a decision by the BaSSREC
Chairperson where additional documentation was requested.

This letter serves as notification that the revised application submitted to BaSSREC was approved
and will be ratified via round robin in October 2018. There is an adequate risk/benefit ratio and the
protocol is acceptable.

A certificate will be issued for the duration of the applicant's period of research, with a maximum
period of 3 years, and communication will be kept for progress tracking purposes.

Congratulations and best of wishes with the completion of your project.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Jaco Hoffman', written over a horizontal dotted line.

Prof Jaco Hoffman
BaSSREC – Chairperson



Private Bag X6001, Potchefstroom, South Africa, 2520

Tel: (018) 299-4900
Faks: (018) 299-4910
Web: http://www.nwu.ac.za

Research Ethics Regulatory Committee

Tel: +27 18 299 4849
Email : Ethics@nwu.ac.za

ETHICAL CLEARANCE LETTER OF STUDY

Based on approval by the Basic and Social Sciences Research Ethics Committee (BaSSREC) on 31/08/2018, the North-West University Research Ethics Regulatory Committee (NWU-RERC) hereby approves your study as indicated below.

Project title: Evaluation of participatory governance for enhancing quality of local governments: A case of six selected local governments in central Uganda.
Project Leader/Supervisor: Prof. L.B. Mzini
Student: Galukande-Kiganda
Ethics number: NWU - HS - 2017 - 0140
Application Type:
Commencement date: 2018-08-31 Expiry date: 2019-08-30 Risk: Low

Special conditions of the approval (if applicable):

General conditions:
While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, the following general terms and conditions will apply:
- The project leader (principle investigator) must report in the prescribed format to the BaSSREC:
- annually (or as otherwise requested) on the progress of the study, and upon completion of the study; and
- without any delay in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project.
- Annually a number of projects may be randomly selected for an external audit.
- The approval applies strictly to the proposal as stipulated in the application form. Would any changes to the proposal be deemed necessary during the course of the study, the study leader must apply for approval of these changes at the BaSSREC. Would there be deviation from the study proposal without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited.
- The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date, a new application must be made to the NWU-RERC via BaSSREC and new approval received before or on the expiry date.
- In the interest of ethical responsibility, the NWU-RERC and BaSSREC reserves the right to:
- request access to any information or data at any time during the course or after completion of the study;
- to ask further questions, seek additional information, require further modification or monitor the conduct of your research or the informed consent process;
- withdraw or postpone approval if:
- any unethical principles or practices of the project are revealed or suspected;
- it becomes apparent that any relevant information was withheld from the BaSSREC or that information has been false or misrepresented,
- the required annual report (or otherwise stipulated) and reporting of adverse events was not done timely and accurately; and/or
- new institutional rules, national legislation or international conventions deem it necessary.
- BaSSREC can be contacted for further information or any report templates via Marinda.Malan@nwu.ac.za or 016 910 3515.

The BaSSREC would like to remain at your service as scientist and researcher, and wishes you well with your project. Please do not hesitate to contact the NWU-RERC or BaSSREC for any further enquiries or requests for assistance.

Yours sincerely

[Handwritten signature]

Prof Jaco Hoffman
Chair NWU Basic and Social Sciences Research Ethics Committee

APPENDIX 9: GATE KEEPER LETTER

TELEPHONES: GENERAL LINE 0144233513/4341224
MINISTER 0414341279
MINISTER OF STATE 0414342368
PERMANENT SECRETARY 0414256533
DIRECTOR LOCAL GOVT ADMIN 0414254501
DIRECTOR LOCAL GOVT INSP 0414256796
UNDER SECRETARY FINANCE & ADMIN 0414258120
COMMISSIONER LOCAL COUNCILS DEV 0414258100
COMMISSIONER URBAN ADMIN 0414343785
COMMISSIONER URBAN INSP 0414341313
COMMISSIONER DIST INSPECT 0414258101
COMMISSIONER DIST ADMIN 0414341224
COORDINATOR LGMSD 0414252741
PROJECT COORDINATOR DLSP 0414347133
NAT FACILITATOR-CAIP & MATIP 0414347338
ASSISTANT COMMISSIONER POLICY&PLANNG. .0414342854



MINISTRY OF LOCAL GOVERNMENT

P. O. BOX 7037

KAMPALA

UGANDA

FAX Nos: MINISTER 0414347339
PERMANENT SECRETARY 0414258127

E-mail: ps@mog.go.ug
Website: <http://www.mog.go.ug>

IN CASE OF ANY CORRESPONDENCE ON
THIS SUBJECT PLEASE QUOTE REF ADM/322/01

June 8, 2017

Mr. Galukande – Kiganda Micheal
North West University, Vaal Campus,
South Africa

REQUEST TO CONDUCT PhD RESEARCH IN LOCAL GOVERNMENTS

Reference is made to the letter dated 16th May, 2017 regarding the above subject matter.

This is to inform you that permission has been granted to you to conduct Research in Evaluation of Participatory Governance for Quality of Local Governments in Uganda in the District Local Governments of Mukono, Budaka, Abim, Gulu, Kabale and Mbarara for the period, September 2017 – January 2018.

By copy of this letter, the respective Chief Administrative Officers are requested to give you all the necessary support to conduct your research.

Grace Adong Choda
For: PERMANENT SECRETARY

CC. Professor Loraine Boitumelo (Tumi) Mzini, Supervisor (Study Leader)

North West University, South Africa

CC. Chief Administrative Officer, Mukono District

CC. Chief Administrative Officer, Budaka District

CC. Chief Administrative Officer, Abim District

APPENDIX 10: NOTICE OF SUBMISSION

7.1.11.7



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
VAAL TRIANGLE CAMPUS

KENNIS TER INDIENING / NOTICE OF SUBMISSION

Heg asseblief 'n afskrif van u ID-dokument aan.
Please attach a copy of your ID

Kwalifikasie:
Qualification: MA/MEd/MSc/PhD.....

Titel, volle name en van:

Title, first names and surname: Mr Michael Galukande Kiganda

Adres (korrespondensie):

Address (correspondence):

Uganda Management Institute

Plot 44-52 Jinja Road

P.O. Box 20131 Kampala, Uganda

E-posadres/E-mail address: kigandamichael2000@yahoo.com / mpgalukande@umi.ac.ug

Tel (k/u):

Tel (o/h): +256774046206.....

Universiteitsnr:

University no: 28502329-2016

Promotor/Studieleier:

Handtekening:

Promoter/Supervisor: Prof. Loraine Boitumelo (Tumi) Mzini:

A handwritten signature in black ink, appearing to read 'L. Mzini'.

Titel:

Title: EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING QUALITY OF LOCAL GOVERNMENTS; A CASE OF SIX SELECTED LOCAL GOVERNMENTS IN CENTRAL UGANDA

Beoogde indieningsdatum:

Intended submission date: 13th November 2018

Handtekening:

Signature:

A handwritten signature in black ink, appearing to read 'M. Galukande'.

Datum:

Date: 22nd August 2018

**Kennis moet drie maande voor indiening gegee word aan Akademiese Administrasie.
*Notice must be given to Academic Administration three months prior to submission.***

Kontak die M en PhD-kantoor vir u navorsingstitel soos dit op rekord vermeld word, asook vir die aantal kopieë wat vir eksaminering ingedien moet word.
Contact the M and PhD Office for the registered title as well as the number of copies to be submitted for examination.

Indien u nie indien, soos u kennis gegee het, moet u weer drie maande voor die volgende indieningsdatum kennis gee.
Should you fail to submit as you intended doing, you will have to give notice three months prior to the next submission date.

2013-08-20

APPENDIX 11

ABBREVIATED CURRICULA VITAE OF THE EXTERNAL VALIDATION PANEL

Short CV

Name : Dr. Michael Kiwanuka

Profession: Public Administration

Date of Birth: 17/03/1969

Years with Firm/Entity: 8

Nationality: Ugandan

Membership of Professional Societies:

Detailed Tasks Assigned:

Key Qualifications:

Twelve years formal experience working at middle and senior management levels in Administration and management positions of public service and an additional 9 years of training and consultancy experience in public administration, governance, and research. I have broad knowledge and extensive experience of Government operations, governance, policy development, analysis and evaluation in the public and business sectors. I also possess hands on experience in the areas of capacity building, training and institutional development, as well as evaluation of programmes and projects in International, National and Organizational arenas. I have conducted a number research studies and published in the field of governance, public sector management, and leadership in international referred journals. I have, therefore, gained familiarity with analytical tools and possess the ability to translate theoretical concepts into alternative social/public policies. I have also handled and participated on several World Bank and other multilateral consultancy works in Uganda, South Sudan, Burundi, Rwanda, Somalia and Thailand. These have provided me with a broad understanding of the operations of governments generally and the social sector in particular

Education:

Doctorate of Public Administration in Governance and Public Affairs Management; Khon Kaen University, Thailand; 2016

Makerere University Kampala, Uganda Masters Degree in Public administration and Management; Makerere University, Kampala-Uganda, 2005

Bachelor's Degree of Arts (Social Sciences); Makerere University, Kampala-Uganda, 1994

Employment Record:

2010-2008: Uganda Management Institute (UMI); Consultant in Public Administration

Brief description of duties/responsibilities.

- Developing training programmes, materials and facilitating programs:
- supervision of graduate students
- Management of academic programmes and coordinating modules

- Participating on UMI consultancy projects
- Conducting empirical research studies and publishing papers and articles in internationally referred journals to advance frontiers of public administration knowledge as well as advancing UMI's competitiveness
- Transform empirical knowledge into policy options for government
- Presenting papers in international conference to maintain UMI's international visibility

2006-2009 ARK Consult Ltd; Management Consultant

Brief description of duties/responsibilities.

- Project/programme Review and Evaluation.
- Policy analysis
- Strategic Planning
- Capacity building/Designing and conducting Training Programmes

2004-2006 Mukono District Council, Kawolo Hospital; Senior Hospital Administrator

Brief description of duties/responsibilities.

- Head of administration and general Hospital management
- Providing a conducive environment for enhancing health service delivery in the hospital
- Ensuring budget discipline, accountability and compliance to all Public Service and Local Government Financial and Accounting Regulations.
- Providing technical guidance to the Hospital Management Committee in developing the governance agenda for the hospital
- Perpetuating and cementing harmonious interpersonal relationships between administrative and clinical staff in hospital
- Networking and lobbying health development partners nationally and internationally for technical and financial assistance of the hospital

2002-2004 Senior Labour Officer: Ministry Of Labour, Gender and Social Development, Uganda

Brief description of duties/responsibilities.

- Protection of workers' rights
- Providing technical advice in implementation of laws relating to labour in the country.
- Training and creating awareness among workers and employers about their roles, rights and obligations in the world of work.
- Served as liaison officer coordinating government, NGOs, CSOs and other non-state actors in promoting the plight of workers .
- Serving as the districts desk officer for ILO/ GOU Population Family Welfare Project in the district 1999-2002.

1995-2002 Labour Officer (Industrial Relations); Ministry Of Labour, Gender and Social Development, Uganda

Brief description of duties/responsibilities.

- Recording, investigating and resolving employee's/employer's complaints including contract management
- Putting up and managing behavioural change programmes” aimed at workers’ personal development, attitude change, socio-economic development and consequently labour productivity.

Selected Consultancies

2018, Ministry of Health-Uganda; facilitator for supervisory Skills devp’t and strategic management for Directors and Governing Boards for Regional Referral Hospitals in Uganda

2018, Ministry of Education-Uganda; Trainer on Institutional Governance for all BTVET Tertiary & Non-Tertiary Institutions of Uganda

2018, Ministry of Local Gov’t and UNDP Integrated Sustainable New Community Project (ISNC); Team leader in developing 5 Policy Briefs:

- i. Financing mechanisms for Community Driven Development initiatives;
- ii. Reinvigorating grassroots service delivery structures;
- iii. Re-engineering the role of the Parish Chief as an agent of Local Development and Monitoring;
- iv. Resuscitating Self-Help, Cooperation and Diligence as critical pillars in the Service Delivery chain
- v. Positioning ISNC-SMU as a vehicle for Wealth Creation at the community level in Uganda.

2017-2018, Uganda Parliamentary Commission; Lead Facilitator for capacity building on Risk Management in the Operations of Parliament for Speakers, Commissioners and Top Management for Parliament of Uganda

2017 Ministry of Public Service Uganda; Lead trainer on Supervisory skills Training for promoted top level managers (Ass. Commissioners) in Gov’t departments

Languages:

English - excellent speaking, reading, and writing

Certification: I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describes me, my qualifications and my experience.



2nd Expert Analysts Short

BIO DATA

Name : Giles Kahiika

Date of Birth: 1st May 1956

Nationality: Ugandan

Sex: Male

Marital Status: Married

Address:

- ❖ Uganda Management Institute
P.O BOX 20131, Kampala
- ❖ Rwenzori African Development Foundation
P.O BOX 592, Kasese

Mobile: 0772468746/0757400524

E-mail: kahikagiles@yahoo.com | abookigiles2015@gmail.com | radf2004@yahoo.co.uk

SUMMARY

Membership in NGO and Development
Organizations:

Executive Director
**Rwenzori African Development
Foundation**

KEY QUALIFICATIONS

Giles Kahiika is very well qualified and highly experienced in vast areas of administration and management. He has a Master's Degree in Public Administration of Uganda Management Institute, a Postgraduate Diploma in Public Administration and Management, a Postgraduate Diploma in Project Planning and Management of Uganda Management Institute, a Postgraduate Diploma in Development Administration of the University of Birmingham (UK), and a BA(Hons) Degree in Political Science and Public Administration of Makerere University, Kampala Uganda. He has attended several other short courses in areas of humanities and social sciences which have strengthened his skills in Public Management and Administration.

SKILLS, COMPETENCES & ACADEMIC SPECIALIZATIONS

- ❖ Strategic Planning and Management
- ❖ Public Administration
- ❖ Decentralization and Local Governance
- ❖ Local Economic Development
- ❖ Public Policy Analysis,
- ❖ Management Theory and Organizational Behavior
- ❖ Public Service Management

NGO Management

- ❖ Public Sector Resource Mobilization
- ❖ Human Resource Development
- ❖ Management Skills Improvement
- ❖ Development Planning for Decentralized Governance

EDUCATION BACKGROUND

| | | |
|-------------|----|--|
| 2013 – 2015 | -- | Pursued and qualified with a Master’s Degree in Public Administration of Uganda Management Institute. |
| 2012 – 2013 | -- | Pursued and qualified with a Postgraduate Diploma in Public Administration and Management of Uganda Management Institute. |
| 2011 – 2012 | -- | Pursued and qualified with a Postgraduate Diploma in Project Planning Management of Uganda Management Institute. |
| 1987 – 1988 | -- | Pursued and qualified with a Postgraduate Diploma in Development Administration of the University of Birmingham in Britain. |
| 1978 – 1981 | -- | Pursued and qualified with a Degree of Bachelor of Arts ((BA) (Hons) in Political Science and Public Administration of Makerere University Kampala, Uganda. |

EMPLOYMENT RECORD

I was appointed as an **Administrative Officer Class II/Assistant Secretary** in the Uganda Public Service in 1981 immediately after qualifying with a B.A (Hons) Degree of Makerere University. I have worked in several Districts of Uganda as a Field Administrative Officer as indicated below:

- ❖ From July, 2016 to date working as Associate Consultant in Public Administration and Management at Uganda Management Institute, Kampala.
- ❖ From July 2014 – April 2016, I worked in Kyenjojo District as Chief Administrative Officer (CAO).
- ❖ From July 2012 – June 2014, I worked in Lyantonde District as Chief Administrative Officer (CAO).
- ❖ From July 2011 – April 2016, I worked in Luuka District as Chief Administrative Officer (CAO).
- ❖ From August 2003 – June 2011, I worked in Kasese District as Chief Administrative Officer (CAO).
- ❖ From May 2000 – May 2003, I worked in Pallisa District as Chief Administrative Officer (CAO)
- ❖ From August 1988 – April 2000, I worked in Mbale District as Assistant Chief Administrative Officer (ACAO).

- ❖ From March 1987 – July 1988, I worked in Soroti District as Assistant District Executive Secretary (ADES).
- ❖ From March 1983 – February 1987, I worked in Kasese District as Assistant District Commissioner (ADC).
- ❖ From August 1981 – February 1983, I worked in Masindi District as Assistant District Commissioner (ADC).

WORK EXPERIENCE

(1) As Chief Administrative Officer

As Chief Administrative Officer in a good number of District Local Governments in Uganda, my major duties were;

- ❖ District Accounting Officer.
- ❖ In charge of managing District Human Resources.
- ❖ Head of Planning – being the Chairperson of the District Technical Planning Committee – this required me to head the implementation of District Development Plans and District Budget Framework Papers and submitting them to the National Planning Authority.
- ❖ Coordinating all major Donor Projects and Programmes in the District.
- ❖ Setting up and heading M&E systems and processes for enhanced Local Governance.
- ❖ Coordinating all government, private sector and civil society activities and operations within the District.

- a. May 2006, Uganda Management Institute, Certificate in Enhanced Basic Principles of Decentralisation;
- b. June 2000, Uganda Management Institute Certificate in Management of Local Governments;
- c. November 1998, National Leadership Institute, Kyankwanzi Certificate in Basic Cadre Development of -.

Employment Record:

- **June 2015 - to date - Associate Consultant, General Management Department, Uganda Management Institute; Responsibilities:** Facilitating and marking courses in educational leadership, administration and management; Institutional leadership and management; Higher Education Management; and Research methods among others; Other duties are; supervising students pursuing Masters Degrees; modulating and examining PhD Theses and Master Dissertations; mentoring School Management Committees, Headteachers and Deputy Headteachers on best contextual practices in leadership, governance and management; entrepreneurship and resource mobilisation; community involvement; and monitoring and evaluation of schools, under the Global Partnership on Education (GPE) Project.
- **May 2015 - October 2017 - Lecturer/Consultant Uganda Martyrs University Nkozi, Masaka centre ; Responsibilities:** Facilitating courses in educational administration and management to students pursuing degrees of masters of education. Effectively, it involved developing lecture notes/modules, lecturing/facilitating, setting and marking examinations.
- **July 2006- to 2013 - District Education Officer - Lyantonde District Uganda; Job Purpose:** coordinating and providing technical and professional guidance in the management of education and sports policies, plans and programmes in the District. **Responsibilities;** implementing educational laws, policies and regulations; implementing approved education and development plans, strategies, and council decisions; providing technical advice on education and sports to the district leadership; coordinating school inspection; organizing and facilitating teachers' training and upgrading programmes; coordinating schools inspection and sports programmes; monitoring and supervising educational curricular, overseeing examinations and sports events; and maintaining updated teachers' personnel data bank in the District.
- **August 2003- June 2006 - Education Officer - Rakai District; Job Purpose:** supporting the implementation of educational policies, plans and Programmes in the district. **Responsibilities;** tendering guidance to Head teachers and School Management Committees on the implementation of educational policies, plans and programmes; monitoring educational institutions and producing status reports; developing education management systems and plans; and attending to Teachers' administrative issues.

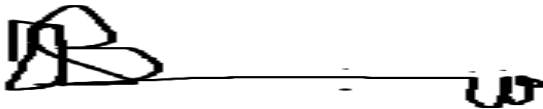
- **June 1998 – June 2000 - Secretary for Education, Sports and Community Services, Rakai; Purpose;** political head of the education sector in the district, **Responsibilities;** proposing educational policies and projects for consideration and approval by the District Council; monitoring the implementation of Council’s education programmes and services; and evaluating the performance of education department against the approved work plans and programmes;
- **February 1996 – April 1998 – Head-teacher Kyotera Town School (Academy) Responsibilities:** implementation of all approved plans, decisions and policies of the Board of governors; developing and implementing strategy for achievement of the School Vision and Mission; advising the Board on the best way to improve and develop the School; controlling discipline of both the students and staff of the School; networking with the community and the School; mobilizing for resources especially funds to ensure implementation of plans; and being the Secretary to the Board of Directors.
- **1995 –1996 - Teacher Kyotera Central Secondary School June 1995 – January 1996, teacher Kyotera Central Secondary School Responsibilities;** preparing schemes of work and lesson plans according to the established national curriculum on secondary education; teaching diligently; and carrying out any other duty as assigned to me by my superiors.

Languages:

- English: excellent speaking, reading, and writing
- Luganda: excellent speaking, reading, and writing
- Swahili: fair, reading and writing.

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describes me, my qualifications and my experience.



Signature of Staff Member or authorized official from the firm

12th October 2018

APPENDIX 13: TABLE OF RANDOM NUMBERS

APPENDIX 12: DISTRICTS OF UGANDA AS BY 1ST JULY 2017

| <u>CENTRAL REGION</u> | | Bugiri | District | <u>NORTHERN</u> | <u>REGION</u> | <u>WESTERN</u> | <u>REGION</u> |
|-----------------------|---------------|-------------|----------|-----------------|---------------|----------------|---------------|
| Buikwe | District | Bukedea | District | Abim | District | Buhweju | District |
| Bukomansimbi | District | Bukwo | District | Adjumani | District | Buliisa | District |
| Butambala | District | Bulambuli | District | Agago | District | Bundibugyo | District |
| Buvuma | District | Busia | District | Alebtong | District | Bunyangabu | District |
| Gomba | District | Butaleja | District | Amolatar | District | Bushenyi | District |
| Kalangala | District | Butebo | District | Amudat | District | Hoima | District |
| Kalungu | District | Buyende | District | Amuru | District | Ibanda | District |
| Kampala | City | Iganga | District | Apac | District | Isingiro | District |
| Kayunga | District | Jinja | District | Arua | District | Kabale | District |
| Kiboga | District | Kaberamaido | District | Dokolo | District | Kabarole | District |
| Kyankwanzi | District | Kaliro | District | Gulu | District | Kagadi | District |
| Kyotera | District | Kamuli | District | Kaabong | District | Kamwenge | District |
| Luwero | District | Kapchorwa | District | Kitgum | District | Kanungu | District |
| Lwengo | District | Katakwi | District | Koboko | District | Kasese | District |
| Lyantonde | District | Kibuku | District | Kole | District | Kibaale | District |
| Masaka | District | Kumi | District | Kotido | District | Kiruhura | District |
| Mityana | District | Kween | District | Lamwo | District | Kiryandongo | District |
| Mpigi | District | Luuka | District | Lira | District | Kisoro | District |
| Mubende | District | Manafwa | District | Maracha | District | Kyegegwa | District |
| Mukono | District | Mayuge | District | Moroto | District | Kyenjojo | District |
| Nakaseke | District | Mbale | District | Moyo | District | Masindi | District |
| Nakasongola | District | Namayingo | District | Nakapiripirit | District | Mbarara | District |
| Rakai | District | Namutumba | District | Napak | District | Mitooma | District |
| Sembabule | District | Nansindwa | District | Nebbi | District | Ntoroko | District |
| Wakiso | District | Ngora | District | Nwoya | District | Ntungamo | District |
| <u>EASTERN</u> | <u>REGION</u> | Pallisa | District | Otuke | District | Rubirizi | District |
| Amuria | District | Serere | District | Oyam | District | Rukiga | District |
| Budaka | District | Sironko | District | Pader | District | Rukungiri | District |

| Bududa | District | | | | Soroti Tororo | | | | District District | | | | Pakwach Yumbe Zombo | | | | District District District | | | | Sheema | | | | District | | | | | | | |
|--------|----------|---|---|---|---------------|---|---|---|-------------------|----|----|----|---------------------|----|----|----|----------------------------|----|----|----|--------|----|----|----|----------|----|----|----|----|----|----|----|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 | 31 | 32 |
| 1 | 8 | 0 | 9 | 4 | 2 | 5 | 2 | 5 | 8 | 2 | 4 | 7 | 1 | 3 | 4 | 7 | 7 | 4 | 3 | 3 | 3 | 6 | 2 | 0 | 1 | 8 | 9 | 7 | 2 | 1 | 3 | 4 |
| 2 | 3 | 5 | 6 | 3 | 2 | 1 | 9 | 6 | 8 | 2 | 1 | 1 | 9 | 0 | 4 | 5 | 2 | 6 | 1 | 8 | 2 | 7 | 5 | 1 | 2 | 6 | 2 | 7 | 1 | 0 | 9 | 5 |
| 3 | 1 | 3 | 3 | 0 | 6 | 3 | 3 | 1 | 3 | 7 | 5 | 3 | 9 | 6 | 9 | 3 | 8 | 7 | 3 | 8 | 6 | 6 | 1 | 5 | 1 | 5 | 3 | 8 | 8 | 5 | 4 | 3 |
| 4 | 3 | 5 | 6 | 5 | 0 | 0 | 1 | 6 | 2 | 2 | 4 | 3 | 6 | 4 | 3 | 2 | 4 | 7 | 9 | 6 | 6 | 0 | 9 | 5 | 5 | 2 | 8 | 3 | 1 | 6 | 2 | 0 |
| 5 | 7 | 8 | 5 | 0 | 5 | 9 | 2 | 5 | 5 | 5 | 8 | 8 | 7 | 3 | 1 | 1 | 2 | 1 | 9 | 2 | 4 | 5 | 4 | 5 | 3 | 5 | 3 | 0 | 5 | 5 | 8 | 9 |
| 6 | 4 | 4 | 9 | 0 | 5 | 4 | 1 | 7 | 9 | 7 | 2 | 7 | 6 | 1 | 5 | 3 | 5 | 9 | 0 | 1 | 4 | 8 | 7 | 8 | 9 | 9 | 8 | 0 | 9 | 8 | 7 | 7 |
| 7 | 6 | 6 | 4 | 5 | 9 | 1 | 0 | 4 | 9 | 3 | 1 | 8 | 8 | 8 | 1 | 9 | 7 | 5 | 3 | 7 | 2 | 7 | 8 | 5 | 9 | 3 | 7 | 3 | 2 | 4 | 4 | 5 |
| 8 | 3 | 6 | 2 | 6 | 5 | 9 | 9 | 5 | 1 | 2 | 1 | 5 | 9 | 7 | 5 | 3 | 9 | 2 | 2 | 3 | 5 | 6 | 5 | 8 | 2 | 9 | 4 | 4 | 2 | 8 | 9 | 9 |
| 9 | 4 | 8 | 6 | 5 | 4 | 8 | 2 | 0 | 7 | 5 | 5 | 4 | 0 | 6 | 1 | 2 | 9 | 6 | 8 | 3 | 4 | 2 | 5 | 1 | 9 | 1 | 3 | 8 | 1 | 7 | 0 | 9 |
| 10 | 6 | 4 | 9 | 8 | 7 | 5 | 1 | 9 | 0 | 4 | 7 | 4 | 7 | 8 | 1 | 8 | 6 | 8 | 3 | 2 | 9 | 6 | 8 | 3 | 9 | 8 | 7 | 2 | 4 | 0 | 9 | 0 |
| 11 | 6 | 7 | 2 | 2 | 9 | 8 | 6 | 9 | 9 | 3 | 6 | 1 | 7 | 8 | 7 | 5 | 4 | 8 | 8 | 3 | 1 | 3 | 1 | 5 | 9 | 6 | 7 | 9 | 8 | 8 | 3 | 4 |
| 12 | 9 | 7 | 4 | 8 | 5 | 9 | 3 | 2 | 5 | 1 | 1 | 5 | 2 | 7 | 2 | 1 | 0 | 0 | 3 | 3 | 9 | 3 | 0 | 3 | 9 | 7 | 1 | 3 | 4 | 0 | 1 | 2 |
| 13 | 5 | 6 | 4 | 1 | 1 | 4 | 1 | 7 | 1 | 4 | 1 | 9 | 7 | 4 | 3 | 4 | 8 | 1 | 6 | 5 | 7 | 3 | 6 | 8 | 1 | 2 | 1 | 8 | 5 | 0 | 3 | 9 |
| 14 | 7 | 4 | 4 | 4 | 9 | 2 | 0 | 0 | 8 | 8 | 4 | 0 | 5 | 8 | 8 | 2 | 4 | 3 | 8 | 8 | 3 | 9 | 0 | 4 | 9 | 1 | 9 | 9 | 9 | 3 | 3 | 6 |
| 15 | 8 | 2 | 7 | 9 | 3 | 0 | 1 | 9 | 4 | 6 | 7 | 2 | 3 | 7 | 4 | 3 | 3 | 9 | 7 | 9 | 4 | 6 | 8 | 9 | 9 | 0 | 2 | 1 | 6 | 9 | 9 | 0 |
| 16 | 0 | 1 | 6 | 1 | 7 | 6 | 1 | 7 | 1 | 0 | 2 | 4 | 2 | 3 | 8 | 7 | 2 | 8 | 9 | 1 | 6 | 6 | 7 | 7 | 1 | 5 | 8 | 5 | 2 | 4 | 8 | 2 |
| 17 | 7 | 3 | 8 | 8 | 9 | 7 | 5 | 9 | 7 | 5 | 5 | 5 | 6 | 6 | 2 | 4 | 9 | 9 | 7 | 7 | 2 | 0 | 0 | 8 | 5 | 5 | 9 | 6 | 9 | 7 | 4 | 0 |
| 18 | 7 | 8 | 3 | 0 | 4 | 7 | 1 | 4 | 3 | 6 | 9 | 5 | 2 | 9 | 1 | 9 | 1 | 8 | 0 | 4 | 4 | 0 | 4 | 4 | 1 | 0 | 3 | 4 | 2 | 5 | 9 | 7 |
| 19 | 9 | 8 | 8 | 7 | 4 | 2 | 1 | 6 | 6 | 5 | 2 | 6 | 4 | 5 | 3 | 5 | 8 | 4 | 3 | 0 | 5 | 2 | 7 | 0 | 9 | 6 | 0 | 5 | 0 | 7 | 6 | 8 |
| 20 | 1 | 2 | 6 | 1 | 2 | 5 | 1 | 6 | 8 | 5 | 6 | 9 | 2 | 3 | 1 | 0 | 3 | 9 | 3 | 9 | 8 | 7 | 0 | 3 | 9 | 8 | 4 | 1 | 0 | 3 | 5 | 3 |
| 21 | 3 | 9 | 4 | 7 | 4 | 9 | 3 | 7 | 7 | 6 | 3 | 4 | 2 | 5 | 4 | 3 | 6 | 2 | 3 | 9 | 7 | 4 | 5 | 5 | 2 | 0 | 5 | 5 | 7 | 7 | 9 | 5 |
| 22 | 4 | 5 | 5 | 0 | 8 | 1 | 0 | 3 | 1 | 2 | 5 | 0 | 2 | 3 | 0 | 4 | 1 | 1 | 3 | 8 | 9 | 7 | 8 | 8 | 9 | 1 | 4 | 4 | 4 | 5 | 2 | 6 |
| 23 | 1 | 3 | 4 | 4 | 9 | 6 | 9 | 7 | 2 | 3 | 8 | 3 | 6 | 9 | 7 | 6 | 6 | 2 | 5 | 1 | 4 | 2 | 0 | 1 | 2 | 0 | 3 | 8 | 6 | 5 | 5 | 2 |
| 24 | 8 | 9 | 7 | 6 | 5 | 8 | 2 | 3 | 8 | 4 | 8 | 7 | 0 | 4 | 6 | 0 | 3 | 1 | 0 | 6 | 9 | 1 | 6 | 8 | 2 | 7 | 1 | 7 | 7 | 6 | 0 | 1 |
| 25 | 7 | 7 | 1 | 0 | 9 | 9 | 4 | 3 | 6 | 9 | 7 | 8 | 8 | 2 | 7 | 3 | 9 | 7 | 1 | 4 | 9 | 7 | 0 | 0 | 1 | 5 | 6 | 6 | 2 | 8 | 8 | 9 |
| 26 | 6 | 9 | 5 | 9 | 6 | 0 | 0 | 8 | 8 | 4 | 4 | 2 | 2 | 2 | 8 | 2 | 1 | 5 | 2 | 4 | 2 | 5 | 1 | 7 | 5 | 8 | 1 | 8 | 0 | 0 | 8 | 1 |
| 27 | 7 | 9 | 4 | 1 | 2 | 3 | 1 | 2 | 2 | 4 | 3 | 1 | 6 | 7 | 0 | 2 | 9 | 9 | 8 | 4 | 3 | 4 | 6 | 9 | 3 | 0 | 8 | 5 | 4 | 7 | 6 | 2 |
| 28 | 2 | 2 | 8 | 4 | 0 | 8 | 9 | 6 | 9 | 1 | 0 | 7 | 5 | 5 | 4 | 2 | 7 | 3 | 1 | 9 | 3 | 7 | 8 | 2 | 1 | 0 | 6 | 8 | 9 | 5 | 7 | 4 |
| 29 | 9 | 5 | 9 | 4 | 7 | 4 | 1 | 6 | 9 | 3 | 6 | 5 | 6 | 0 | 4 | 5 | 1 | 1 | 8 | 3 | 5 | 9 | 1 | 6 | 9 | 5 | 9 | 9 | 1 | 1 | 4 | 3 |
| 30 | 4 | 6 | 1 | 3 | 8 | 5 | 4 | 9 | 6 | 3 | 6 | 9 | 3 | 2 | 0 | 8 | 5 | 1 | 0 | 9 | 9 | 6 | 8 | 0 | 1 | 1 | 6 | 8 | 6 | 1 | 3 | 3 |



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I, **Michael Galukande Kiganda** declare herewith that the thesis entitled: *EVALUATION OF PARTICIPATORY GOVERNANCE FOR ENHANCING QUALITY OF LOCAL GOVERNMENTS; A CASE OF SIX SELECTED LOCAL GOVERNMENTS IN CENTRAL UGANDA* which I herewith submit to the North-West University as completion of the requirements set for the Doctor of Philosophy (Public Management and Governance) Degree, is my own work and has not already been submitted to any other university.

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Sincerely,

ALLEN ASIMWE (PhD)