THE INTEGRATED SUPPORT PROGRAMME TO THE DEVOLUTION PROCESS IN KENYA

Mid Term Evaluation (MTE)
Final Report
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List of Acronyms and Abbreviations

AfDB	Africa Development Bank
AIDS	Acquired Immune Deficiency Syndrome
AWP	Annual Work Plan
AWPB	Annual Work Plan Budget
CAECS	Country Assessment of Essential Commodities and Services
CAF	County Assembly Forum
CCSBS	County Citizen Satisfaction Baseline Survey
CECM	County Executive Council Member
CIC	Commission on the Implementation of the Constitution
CIDP	County Integrated Development Plan
COB	Controller of Budget
CoG	Council of Governors
CPD	Country Programme Document
CRA	Commission of Revenue Allocation
DaO	Delivering as One
DDWG	Devolution Donor Working Group
DFID	Department for International Development
DP	Development Partner
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DSWG	Devolution Sector Working
EALGF	East Africa Local Government Forum
EU	European Union
FGDs	Focus Group Discussions
FY	Financial Year
GDP	Gross Domestic Product
GIS	Geographic Information System
GoK	Government of Kenya
GRB	Gender Responsive Budgeting
HDI	Human Development Index
HIV	Human Immunodeficiency Virus
HoDs	Heads of Departments
HRBA	Human Rights Based Approach
IBEC	Intergovernmental Budget and Economic Council
ICT	Information and Communication Technology
IEC	Information Education Communication
IGRTC	Intergovernmental Relations Technical Committee
IPs	Implementing Partners

ISPDP	Integrated Support Program to the Devolution Process
KIPPRA	Kenya Institute for Public Policy Research and Analysis
KLRC	Kenya Law Reforms Commission
KRA	Kenya Revenue Authority
KSG	Kenya School of Governance
M&E	Monitoring and Evaluation
MCA	Member of County Assembly
MoDP	Ministry of Devolution and Planning
MoLHUD	Ministry of Land, Housing and Urban Development
MSE	Micro and Small Enterprises
MTE	Mid Term Evaluation
MTEF	Medium Term Expenditure Framework
MTP II	Medium Term Plan II
NASCOP	National AIDS & STI Control Programme
NCBF	National Capacity Building Framework
NCIC	National Cohesion Integrated Commission
NDOC	National Disaster Operations Centre
NEX	National Execution
NIM	National Implementing Modality
PAS	Performance Appraisal System
PC	Performance Contract
PFM	Public Finance Management
PFMR	Public Finance Management Report
PMS	Performance Management System
PPRA	Public Procurement Regulatory Authority
PPRA	Public Procurement Regulatory Authority
ProDoc	Project Document
PSC	Project Steering Committee
SACCO	Savings and Credit Co-operative
SDGs	Sustainable Development Goals
SDU	Service Delivery Unit
SIDA	Swedish International Development Cooperation Agency
SIR	Social Intelligence Report
TA	Transition Authority
ToT	Training of Trainers
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNICEF	United Nation International Children's Emergency Fund
UNV	United Nations Volunteer

USAID	United States Agency for International Development
USD	United States Dollar
WASH	Water, Sanitation, and Hygiene

EXECUTIVE SUMMARY

a) Background

The *Constitution of Kenya 2010* introduced the devolved government system with responsibilities assigned to the county governments in Schedule Four. The 47 county governments are constitutionally guaranteed a minimum of 15 percent of national budget. However, since 2013 the allocation has systematically gone up to above the 15%.County governments have substantial powers to enact policies, laws, and regulations to support their functions. Structures, systems and skills for the management of these functions and resources needed to be put in place within the shortest time.

Constitutional commissions, independent offices, various institutions, and legislation were put in place to manage the process. Among these were: The Transition Authority (TA), Council of Governors (CoG), Commission on Revenue Allocation (CRA), Controller of Budget (CoB), Ministry of Devolution and Planning (MoDP), Inter-governmental Budget and Economic Council (IBEC), and the Commission on the Implementation of the Constitution (CIC) among others. The legislation put in place to support devolution included; County Governments Act, No. 17 of 2012, County Governments Public Finance Management Transition Act, No 8 of 2013, Intergovernmental Relations Act, No. 2 of 2012, National Government Co-ordination Act, No. 1 of 2013, Public Finance Management Act, No. 18 of 2012, Transition to Devolved Government Act, No. 7 of 2013, Urban Areas and Cities Act, No. 13 of 2011, Public Service (Values and Principles) Act (No.1A of 2015) and the Basic Education Act, No 14 of 2013, among others.

b) The Intervention

To build the requisite capacity of the counties and other institutions related to the devolution process, and to help them effectively apply the relevant legislations, the UNDP, working closely with the MoDP and other partners developed the Integrated Support Programme to the Devolution Process (ISPDP) in Kenya. The design was geared to enhancing effectiveness and efficiency of the devolution process and giving the grassroots stakeholders a voice in the delivery of services by the devolved governments. This initiative derives from the *UN Delivering as One Strategy on Devolution* and aims at achieving the United Nations Development Assistance Framework (UNDAF) **Project Outcome: 1.3-Devolution and Accountability,** and which outcome is spelt out at length in section 1.3 below. The programme approach is through the National Execution (NEX) modality or the National Implementation Modality (NIM) which refers to the implementing partner and responsible partners from the national and county governments executing the project.

c) Purpose and Objectives of the Evaluation

The purpose of this MTR is to: Provide an overall assessment of the progress and achievements made against planned results, as well as assess and document challenges and lessons learnt since the commencement of the project;

d) Evaluation Approach and Methods

The MTR focused on project period from July 2014 to 30 June 2016 and covered the 6 national partners and 21 county governments[1] that were directly supported by the project. The review utilised data and information from both primary and secondary sources. Primary data was collected directly from key stakeholders through interviews, questionnaires, checklists, focus group discussions, and direct observation. Secondary data was obtained through the review of related literature.

In conducting the evaluation, purposive and random sampling approaches was adopted in the selection of 9 out of the 21 supported counties. The sampling approach considered core factors including spatial distribution of the interventions, the timeframe over which specific counties have been involved in programme activities, poverty levels, whether the counties were rural or urban, county revenue base and the UN's joint programme modality approach in the support to development interventions. The nine selected counties were Bungoma, Kericho, Kilifi, Kisumu, Kitui, Laikipia, Nyeri, Taita- Taveta, and Turkana.

e) Summary of Key Findings, Conclusions, and Recommendations

The programme is in concordance with national priorities such as MTP II and CIDPs as well as with others national and county policies and legislations therefore auguring well for national ownership and sustainability.

The ISPDP initially targeted 13 counties with a budget of USD 35 million. However, so far the spatial coverage has increased to 21 counties due to the increased demand of programme services. The total expenditure as at midterm was USD 19.7 million (56.2%). Additionally the programme interventions have been implemented through existing government institutions with national reach such as CoG, KLRC, KSG and MoDP. Through these structures, the programme was therefore able to indirectly impact in all the 47 counties.

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[1]Bungoma, Busia, Elgeyo Marakwet, Embu, Homa Bay, Kajiado, Kericho, Kilifi, Kirinyaga, Kisumu, Kitui, Kwale, Laikipia, Marsabit, Nakuru, Narok, Nyeri, Samburu, Taita Taveta, Turkana, and Vihiga,

On impacts, even though it may be early to assess the actual impacts of the programme, so far, there has been a notable change in the mind-set of some of the primary and secondary beneficiaries in the counties. In Kwale county for instance, an M&E officer corroborated that training from KSG on M&E had enabled him to conduct M&E effectively and efficiently.

The programme strategy of using existing government institutions as IPs and the involvement of county governments has helped in encouraging ownership of interventions and in the consolidation of resources required to implement programme activities. This approach not only ensures sustainability but also promotes ownership and partnership among the county staff. Counties such as Turkana and Laikipia were able to increase budget allocations for HIV/AIDs awareness and women empowerment respectively owing to the training and sensitisation received under the programme.

As detailed in Chapter Six, the programme is by and large effective, efficient, properly managed and monitored, and adheres to social and environmental standards. It has had real impact in the realms of performance management, resource management, M&E, and Disaster Risk Reduction. For a sterling example of the empowerment of IPs in their roles and responsibilities one must look no further than the support that the ISPDP has offered to IBEC for example (see sub-section 6.8.1). The attainment of most outputs is on track with citizen participation then understandably only partially on track.

Performance of ISPDP

Output	Performance
Output 1: Policies, laws and institutional reforms for effective implementation of the CoK at national and county levels are adopted	On Track
Output 2: Strengthened institutional and human capacities at national and county levels evident in supporting national and local development.	On Track
Output 3: Evidence planning, budgeting for improved service delivery at County level in tandem with reduced security threats and improved response to risk and disaster in selected counties.	On Track
Output 4: Citizen Participation mechanisms and processes strengthened to ensure effective and equitable service delivery and people-centred devolved system of government.	Partially on Track
Output 5: Pilot testing of full local development cycle including participatory planning, budgeting (including gender budgeting), local level implementation capacities performance and change management, monitoring and learning.	On Track
Output 6: Improved Programme Management Support to the devolution programme	On Track

In spite of the above successes, it is however noted that the theory of change and intervention logic appear to be too "state centric" to the extent that there is no cognisance that the essence of devolution is expression of the sovereignty of the people. A programme premised on "devolution and accountability" should not have citizen participation and empowerment looming very large within the priorities. These should be the first output and pillar respectively. Citizen participation and empowerment must be mainstreamed within state structures and are too crucial to be left to non- state actors. There may be need to re-order or re-conceive the relative significance and priority of outputs and pillars.

The theory of change and intervention logic assumes incorrectly that "devolution is a completely new venture". Kenya has had a history with this and a cognisance of that can reveal factors on which devolution can be sustainably rooted. The intervention logic and theory of change may need to find a place for the matter of fiscal devolution, particularly the lack of it, i.e. that counties have no powers over income taxation and borrowing yet sovereignty of the people is to be exercised at the devolved level (see Chapter Eight, Recommendation 3).

It is also noted that the programme took up a very broad mandate, thematically and geographically, that have strained resources and limited impacts. Going forward, it is recommended that a reorganisation of the programme action areas be considered to enable focus on themes and counties where maximum results may be achieved. Wider programme reach can still be achieved through enhanced opportunities for lesson learning and interactions through national forums facilitated or supported by the programme.

Additional recommendations from the MTE are provided in Chapter 8 of this report.

CHAPTER ONE

INTRODUCTION

1.1 Purpose of the Evaluation

It had been envisaged that an MTR would be undertaken midway through the ISPDP' s implementation period. In this regard, the GoK and UNDP commissioned an MTR of the project that ran from October to December 2016. The purpose of the review was to:

- Provide an overall assessment of progress and achievements made against planned results, as well as assess and document challenges and lessons learnt since commencement of the project;
- The MRT findings. Recommendations, and lessons learned would be utilised to guide future direction of the remaining phase of the project including recommendations for corrective and mitigation measures that may be necessary for enhanced project delivery;
- The information generated from this MTR would also contribute to organisational learning as well as the global knowledge base on development effectiveness;
- It was also expected that the MTR would review the Theory of Change (ToC) of the project and make recommendations or propose refinement of the ToC.

1.2 Primary Audience of the Evaluation

The primary audience or users of the evaluation are the development partners, implementing partners and programme beneficiaries. The report is expected to assist in policy and decision making, planning, accountability, monitoring and evaluation.

1.3 The Integrated Support Programme to the Devolution Process

The "Integrated Support Programme to the Devolution Process in Kenya" (ISPDP), is designed to support the implementation of devolved government to achieve improved governance and socio-economic development in Kenya.

This intervention is derived from the UN *Delivering as One UN Strategy on Devolution* and further guided by the Government's MTP II process. This Joint UN Programme will

contribute to UNDAF Outcome 1.3 and CPD Outcome 2 on devolution and accountability namely: By 2017, Kenya enjoys a participatory devolution process that is well understood by stakeholders, adequately coordinated and equitably resourced for the delivery of accessible and quality services; devolved institutions are legally, financially and technically empowered, well managed, effective, accountable; and resource management is transparent, equitable, effective and efficient at all levels.

The **key result areas** of the programme include:

a) Strengthened policy and legal framework for devolved governance;
b) Strengthened and aligned capacities at national and county levels;
c) Enhanced service delivery mechanisms and resilience for disaster risk management, peace building and conflict prevention;
d) Strengthened citizen engagement in devolved governance; and
e) Integrated service delivery demonstrated in select counties.

The project is organised around **five pillars** with the following **outputs:**

a. policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted;
b. strengthened institutional and human capacities at national and county level evident in supporting national and local development;
c. improved service delivery mechanisms and response to opportunities and threats of insecurity and disaster;
d. strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources;
e. an integrated service delivery framework pilot implemented.

Implementing Partner is the Ministry for Devolution and Planning. The **Responsible Partners: are the** (COG); TA)[2]; CRA, Intergovernmental Budget and Economic Council IBEC, National Treasury, the KSG and Select County Governments[3]. Other partners are UNDP, other UN Agencies such as UN Women, and Development Partners, principally governments of United Kingdom through DFID, the United States through USAID, Sweden through SIDA and the Royal Government of the Kingdom of Norway through the Norwegian Embassy in Kenya. The Civic Education element also seeks to support the efforts of civil society.

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[2] That is until it was wound up.
[3] See footnote 1 above!

1.4 Structure and Contents of the Report

Chapter Two provides a description of the ISPDP in terms of: its beneficiaries and the key issues at hand; expected results, strategies, and assumptions; linkage with national and other priorities; the phase at which the intervention was at evaluation and significant changes in the programme so far; the key partners and their roles; the scale of the intervention; total resources available to the intervention; the social, political, economic, and social settings; and the intervention logic and other implementation constraints.

Chapter Three spells out the evaluation scope, objectives, criteria, and questions. The evaluation methodology and approach are discussed in Chapter Four with description of the sampling procedures, and data collection. That leads logically into Chapter Five where data analysis is discussed. Findings and conclusions are dealt with in Chapter Six organised around the criteria of: strategy, effectiveness, efficiency, relevance, sustainability and national ownership, management and monitoring, social and economic standards, partnership and coordination for effective programming, and impacts. Recommendations and lessons learned are discussed in Chapters Seven and Eight respectively.

CHAPTER TWO

DESCRIPTION OF THE INTERVENTION

2.1 The ISPDP, its Beneficiaries, and the Issues at Hand

The beneficiaries of the ISPDP are the Implementing Partner and Responsible Partners as identified and described in sections 1.3 above and 2.5 below. The key issue at hand was of the lacunae created by the advent of devolved government in regard to policy and legislative frameworks as well as in capacities. As stated in the Project Document 2014-2018:

"Significant capacity challenges exist at county levels given that establishing County Governments is a completely new venture to all, and therefore the learning curve is very steep. There are the immediate challenges of initiating systems, and the rapid training and adjustment of both the County Assembly and Executive bodies. Whilst individual and organizational capacities and experience in managing government in general exist, the critical challenge is to make "DEVOLVED COUNTIES WORK" in line with the principles and provisions of the Constitution".

2.2 Expected Results and Strategies

2.2.1 Expected Results

Table 2.1 ISPDP Expected Results

Pillar	Key Result	Output
UNDAF/CPD OUTCOME: By 2017, Kenya enjoys a participatory devolution process that is well understood by stakeholders, adequately coordinated and equitably resourced for the delivery of accessible and quality services; devolved institutions are legally, financially and technically empowered, well managed, effective, accountable; and resource management is transparent, equitable, effective and efficient at all levels.		
1. Policy and Legal Framework	Strengthened policy and legal framework for devolved governance	Policies , laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted
2. Capacity Building for individuals and institutions supporting devolution 3. Strengthening Service	Strengthened and aligned capacities at national and county levels	Strengthened institutional and human capacities at national and county level evident in supporting national and local

Delivery Mechanisms and Peaceful Co-existence at County and Sub-County Levels		development
	Enhanced service delivery mechanisms and resilience for disaster risk management, peace building and conflict prevention	Improved service delivery mechanisms and response to opportunities and threats of insecurity and disaster
4. Citizen Empowerment in Local Development Planning and Financing 5. Piloting County Demonstration Projects	Strengthened citizen engagement in devolved governance	Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources
	Integrated service delivery demonstrated in select counties	An integrated service delivery framework pilot implemented

2.2.1 Strategies

a. UNDP's Approach

The formulation of ISPDP came at a time when the UN system in Kenya had adopted the *Delivering as One (DaO)* as the primary Modus Operandi for delivery of its work (see also sub-section 6.8.3). The Government of Kenya requested the UNDG that Kenya becomes a Self-Starter DaO country. The UNDAF 2014-2018, developed in adherence to this reality, provides the policy and reference framework for delivery of joint programmes and advocacy works under one UN Leadership, One Programme and One Budgetary and Operational Framework. UNDP, as the Manager of the Resident Coordinator's System, therefore provides the required support for successful transition to the DaO framework.

The UN developed a **Joint One UN Strategy on Devolution** to support Kenya in devolution. The strategy, endorsed by the United Nations Country Team (UNCT), aimed to maximize the UN's developmental impact on the devolution process. All UN support and interventions are to be guided by this common strategy and follow the principles outlined therein. The "Delivering as One" strategy is to be informed by three factors: the desire to enhance the development impact of UN support to devolution; improve coordination between the UN, the Government and other partners; improving visibility and reporting of results. The strategy will inform the next United Nations Development Assistance Framework (UNDAF) and create a model for replication on devolved governance and service delivery.

The UN provides technical and other material assistance to the National and County Governments, and mobilizes expertise in seeking to provide demand driven support to the various aspects of devolution. The programme is closely linked to the UNDP global strategic plan (2013-2017), whose vision is focused on seeking to help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion. The programme is linked to outcome three of the strategic plan namely: *Countries have strengthened institutions to progressively deliver universal access to basic services.*

The integrated devolution programme is being implemented over a period of four years from 2014 to 2018. The first phase corresponded to a one year transition period, implemented in 2014, as the UN prepared a joint programme to support devolution. It included the key areas where UNDP has a comparative advantage and is taking a lead as specified in the UN Joint Strategy on 8 UNDP Global Strategic Plan- 2013-2017. The "One UN" programme framework will allow for the creation of a common platform based on an agreed set of principles, targeting common themes and geographical areas. The programme seeks to highlight the key principles[4] as enumerated in the One UN Strategy on Devolution.

UNDP's support will employ a combined strategy of supporting both upstream policy making processes and improvement of downstream service delivery. The engagement will be both at national and county levels and involves institutional strengthening of key institutions to deliver on their mandate, including technical support to key policy processes and sector coordination. At the County and sub-county levels the focus is on seeking to provide technical and institutional support for service delivery provision to people and support engagement of communities in accordance with the principle of public participation that is supported by the Constitution. The inclusion and participation of CSOs, informal dwellers, communities and vulnerable groups is deemed crucial for the

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[4] Support programs to be aligned to county development plans as stipulated in law and in particular to assist in addressing the reduction of disparities among counties; Support the budget processes and report any off-budget financing to relevant government entities at both levels of government; Support and promote the use of government accounting and reporting systems and procedures, and build capacities to adapt to new systems and packages; and Support County Governments in developing project agreements and project implementation modules. Further, the UN partner agencies engagement will be guided by the following engagement principles as stipulated in the UN Devolution strategy: Human rights based approaches, gender equality and environmental sustainability; Promotion of transparency and accountability with regard to effective public financial management and fiduciary responsibility; Capacity development for leadership, public administration, negotiation and integrity; and Public participation and social inclusion, including protection of vulnerable groups, vulnerable migrants and communities affected by migration.

success of the devolution process, as they are one of the ultimate beneficiaries of the policies.

Support to overall capacity building under the National Capacity Building Framework targets all the counties, but UNDP also provides targeted support on building systems and processes for service delivery to a maximum of Twenty one (21) counties during the four year programme period. The National Government together with the 47 Counties agreed on counties to be selected for more focused intervention by the UN partners. Implementation includes measures for peace building and conflict prevention including developing community resilience to disasters and management of the environment.

UNDP uses volunteerism, the UNVs, as a key asset to support devolution interventions at the county level. UNVs have been drawn upon, as discussed *Section 6.2.2 Result Area 2*, to strengthen structures, processes and systems of the devolution model. This support has been extended at the county levels focusing on both direct service delivery as well as for long term capacity development of the county governments and their constituencies. The volunteerism as model has been used to support county specific interventions and especially capacity development in various areas of governance.

b. **Target group**

The support to the devolution process should be ultimately targeted to the people of Kenya. The target groups are described in sections 1.3 above and 2.5 below.

c. **Coordination Mechanisms**

UNDP together with the other UN agencies acknowledged within the UN Strategy on Devolution that for devolution to be successful there is need for a coordinated response to the government's requests for support. However, the UN also cognized that there are inherent challenges of adopting a common strategy and approach to support government, given that there are other stakeholders who are also involved in similar initiatives at all levels of government. Coordination challenges have arisen among the development partners with regard to overlapping activities and on the selection of counties to support.

Within the framework of the Devolution Sector Working Group (DSWG), the stakeholders agreed to share information on various interventions. There has been initiative to map out donor activities with a bid to develop a common database that can serve as reference point for all support to devolution and minimize duplication. Similarly there have been initiatives by bi-lateral donors directly or through other mechanisms.

2.3 Linkage with National and Other Priorities

ISPDP is in tandem with national priorities such as the Second Medium Term Plan (2013-2017) of Vision 2030 entitled *'Transforming Kenya: Pathway to devolution, socio-economic development, equity and national unity'*, which states the commitment of the government to the full implementation of the Constitution. Thus it can indeed be said that "making devolution work" is a priority within the MTP II (2013-2017). So too is ISPDP in sync with efforts to give priority to capacity development and alignment at both National and County levels as reflected in the National Capacity Building Framework. It is significant that ISPDP This highlights the following key principles as enumerated in the One UN Strategy on Devolution, particularly that support programmes be aligned to county development plans (CIDPs) as stipulated in law and in particular to assist in addressing the reduction of disparities among counties.

The ISPDP is closely linked to the UNDP global strategic plan (2013-2017), whose vision is focused on making countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion. The programme is linked to outcome three of the strategic plan namely: *Countries have strengthened institutions to progressively deliver universal access to basic services.* ISPDP was meant to transit into the period of the new UNDP Country Programme Document (CPD) and the UNDAF from July 2014. The ISPDP is meant to contribute to UNDAF Outcome 1.3 and CPD Outcome 2 on devolution and accountability.

2.4 Phase of the Intervention and Significant Changes so Far

The MTR took place in the 3rd year of the implementation of ISPDP. The significant change in the programme so far was the addition of 8 other counties to the programme in 2015. In 2014 the programme included 13 county governments of Vihiga, Bungoma, Homa Bay, Laikipia, Samburu, Nyeri, Kitui, Taita Taveta, Kwale, Kilifi, Kisumu, Turkana and Marsabit. The 8 counties added were Busia, Elgeyo – Marakwet, Embu, Kajiado, Kericho, Kirinyaga, Nakuru, and Narok.

2.5 Social, Political, and Institutional Settings

Kenya's devolution is a complex and ambitious initiative requiring strong political will and commitment. Devolution seeks to maximize citizen participation and engagement in governance; and foster greater national unity by recognizing diversity. County governments are meant to units of economic, political and administrative devolution with

equitable distribution of resources and open governance space at the local levels. The two levels of governance structure; 1 national government and the 47 county governments are distinct and yet interdependent, and therefore significant effort has to be invested in realignment and where necessary creating new institutions and systems. A challenge that the new supporting institutions face is the limited capacity and exposure to devolution and its many intricacies. Creating awareness on devolution and its architecture among the public is also critical.

Economic growth should benefit from continuing political stability, increasing urbanization, effective disaster risk management and policies, which foster sustainable human development. Kenya's urban centres already account for more than 65 percent of gross national income and as Kenya is increasingly becoming urban, cities and towns will increasingly play their role of drivers of national economic and social development. The institutional set up and revenue generating mechanisms for devolution can have strong effects on economic growth and service delivery. Once stabilized, devolution might spur significant local economic development as 47 County Governments refocus public sector investments in their respective areas. The success of devolution centres on the ability of counties to undertake the functions as outlined in the Fourth Schedule of the Constitution. This requires that County Governments have the necessary resources to be able to perform. The Constitution provides that revenue raised nationally shall be shared equitably among the National and County Governments (Art.202). Further it provides that County Governments may be given additional allocations from the National Government's share of revenue either conditionally or unconditionally. It therefore brings to the fore that, transfer of resources without the institutional capacity does not yield sustainable outcomes thus; developing institutional capacity at both levels of government is a long-term intervention that is required.

The priority for fiscal decentralization is the identification, assigning and costing of functions to be decentralized from National to County governments as well as to provide a framework for intergovernmental fiscal relations. In addition there is need to develop systems and procedures for sub-county operations particularly as it pertains to urban jurisdictions which have an important and significant service delivery mandate. Accountability and strong fiscal management are imperatives for prudent and effective use of limited resources.

Devolution politics could be the new frontier of conflicts and violence if not well managed. At the county level, negative ethnicity is one of the greatest challenges that counties could face in the devolved governance systems. The devolved government

system has created opportunities and also challenges to address the socio-economic disparities across and within counties caused by historical marginalization, unequal distribution of national wealth and resources, poor planning and coordination and utilization of resources. Some of the challenges and obstacles that need to be addressed are poor access to or inadequate information; high unemployment especially among youth; weak capacities to participate in development processes; lack of integrated strategy for inclusive and sustainable urban development; uncoordinated institutional frameworks to support devolution; lack of appropriate policies, evidence-based planning and budgeting; all-pervasive corruption and lack of a policy framework for management and extraction of natural resources, especially in the extractive industry sector.

2.6 Key Partners and Their Roles

Table 2.2 Key Partners and Their Roles

Institution	Role
Ministry of Devolution and Planning	To provide leadership and coordination in planning, public service delivery and devolution for a globally competitive nation
Council of Governors	To provide a mechanism for Consultation amongst County Governments, share information on performance of the counties in execution of their functions, facilitate capacity building for Governors and consider reports from other intergovernmental forums on national and county interests
Transition Authority	To facilitate and coordinate the transition to devolved system of government in Kenya as per the Transition to Devolved Government Act, 2012 and the provisions under section 15 of the sixth schedule to the constitution
Intergovernmental Budget and Economic Council	To provide a forum for consultation and cooperation between National Government and County Governments
Commission on Revenue Allocation	To make recommendations on the equitable allocation of the revenue generated nationally between the national and the county governments so as to ensure an equitable and prosperous Kenyan society
Intergovernmental Technical Committee	Be responsible for the day to day administration of the Summit and of the Council of Governors
Commission on the Implementation of the Constitution	To ensure that policies, laws, structures, systems and administrative procedures developed and applied at all levels are consistent and in accord with the letter and the spirit of the Constitution
Line ministries	The inter-ministerial and inter-sectoral aspect is crucial to ensure an adequate delegation of powers and resources, responding to Kenyans' needs
County	Most direct targets and beneficiaries

Governments	
UNDP, and other UN Agencies	within the framework of the Joint UN Strategy on Devolution will provide support to select County Governments as per the established criteria. The UNDP *Amkeni wa Kenya* programme will support community level participation and civil society organizations working with youth, women and other marginalised groups to effectively engage on devolution. UNDP will also engage with the private sector as key players in local economic development through the creation of jobs and economic empowerment of the youth

2.7 Total Resources

The programme was to be implemented over a period of five years, 2014-2018 with a budget of 35 million USD. This amount was to be disbursed annually by the various development partners in accordance to the respective agreements with UNDP. The donors came on board at different times between 2014 and 2015. So far a total of USD 19.67 million has been mobilized which translates to 56.2% of the envisaged total programme resources in the ProDoc.

2.8 Intervention Logic and Other Implementation Constraints

In regard to the intervention logic two things are noted. First devolution in Kenya emanates from Article 1 of the constitution that ascribes sovereignty to the people stipulates the delegation of that sovereignty to be exercised by the organs of national and county governments. So devolution is above all else an expression of sovereignty. The intervention has as targets and beneficiaries almost exclusively organs of national and county government with a big emphasis on building the capacity of those organs. There is nothing necessarily wrong with that and indeed it is a noble objective. Indeed public participation and civic engagement are also aspects of the project, but this appears by and large aspirational and perhaps even peripheral. It could be argued that at the onset of devolution the provision of capacity was a most pressing issue, or even that development partners prioritized capacity building of state organs in the ISPDP, or even that the policy and legal instruments to facilitate public participation and civic engagement in counties have only just been created.

On the UNDP side the matters and in the docket of the *Amkeni Wakenya* civic project, whereas development partners of ISPDP preferred to deal with public participation in devolution through non-state actor channels. The danger is that public participation and civic engagement are not being "mainstreamed", and a perception could develop that

these are "non-state matters". The intervention logic must be wary of the "developmentalist" approaches of the 1970s to the late 1980s where emphasis was on "economic", "technological", and "infrastructural development" with political and civic development given very little attention if not ignored altogether. Public participation and civic engagement in devolution has a big paucity.

Secondly, the intervention logic seems to assume that devolution involved a creation ex-nihilo, building from nothing, a complete re-invention of the wheel. This mind-set can be gleaned from the Project Document when it is stated that: Significant capacity challenges exist at county levels given that establishing County Governments is *a completely new venture* to all, and therefore the learning curve is very steep.

Emphasis added here is on the words "a completely new venture". Much as this is novel it must not be forgotten that the independence constitution of Kenya had endowed the county with a federal system that was perhaps much more devolved than currently. The defunct local authorities that the county governments succeeded had some structures, including personnel, on the basis of which to build.

CHAPTER THREE

EVALUATION SCOPE AND OBJECTIVES

3.1   Evaluation Scope

The MTR is a joint GoK and UNDP review that was conducted in close collaboration with implementing partners, both at national and county level, and development partners. The MTR was guided by the newly released UNDP Programming and Policies Procedures and specifically assessed the project against the seven (7) UNDP Project Quality Criteria in addition to partnership and coordination for effective programming, and impacts. These criteria are closely related to the UNEG evaluation criteria. The UNDP Project Quality Criteria used were:

   i)   Strategic
   ii)   Effectiveness
   iii)   Efficiency
   iv)   Relevance
   v)   Sustainability and National Ownership
   vi)   Management and Monitoring
   vii)   Social and Environmental Standards
   viii)   Partnership and Coordination for Effective Programming
   ix)   Impact

The MTR covered the project period July 2014 to June 2016. It also covered the 6 national partners (i.e. the CRA, MoDP, CoG, KSG, IBEC and TA) and 21 county governments (13 of which came on board earlier and 8 more that came on board in 2016) that are directly supported by the project.

3.2   Evaluation Objectives

The specific objectives of the MTR were:

a)   **Project Design**

   • Review of the problem addressed by the project and the underlying assumptions;

- Review of the relevance of the project strategy and assessing whether it provides the most effective route towards expected/intended results;
- Assessment of the relevance of the programme to the country context including the national and sub-national development priorities;
- Review of the decision-making processes of those who would have been affected by the by project decisions, those who could affect outcomes, and those who could contribute information and other resources;
- Assessment of the efficiency in the utilization of programme funds while balancing with social dimensions including gender equity;
- Review of the extent to which relevant gender issues were raised in the project design;
- Assessment of the effectiveness of and advantage of the use of the joint programme modality in Marsabit and Turkana in realizing project goals;
- Documentation of lessons learnt, challenges and future opportunities, and provide recommendations for improvements or adjustments in strategy, design and/or implementation arrangements;

b)   Results Framework

- Assessment of the achievements and progress made against planned results over the past two and a half years of implementation;
- Assessment of how the emerging issues not reflected in the project document impacted on outcomes and making recommendations and suggestions for future programming;
- Review of effectiveness towards achieving programme results against related indicators;
- Assessment of effectiveness towards attainment of results;
- Assessment of whether the project's outputs and components are clear, practical, and feasible within its time frame
- Monitoring of gender aspects of the project;

CHAPTER FOUR

EVALUATION APPROACH AND METHODOLOGY

4.1   Sample and Sampling Frame

In programme evaluations, sampling is concerned with the selection of a subset of individuals from within a population to estimate characteristics of the whole population within the constraints of time, human and financial resources. This study utilized purposive sampling and random sampling approaches. .

The **purposive sampling approach** was applied to select 9 out of a sample frame of the 21 Counties in which the programme is being implemented. It took into consideration the location[5], the year of intervention[6], categorisation (i.e. rural or urban)[7], poverty levels[8], revenue base (i.e. weak or strong)[9], Human Development Index (HDI) and approach in project implementation[10]. The counties selected for the evaluation include: Bungoma, Kericho, Kilifi, Kisumu, Kitui, Laikipia, Nyeri, Taita-Taveta and Turkana. In addition **random sampling approach** was used on citizens in the sampled counties in order to gauge their perception on the implementation of devolution thus far. At least 5 citizens were randomly picked rand interviewed for each of the 9 counties.

4.2 Data Sources, Collection Procedures, and Instruments

This study utilised data and information from both primary and secondary sources. Primary data was collected directly from key stakeholders through interviews, questionnaires, checklists, focus group discussions and direct observation techniques. Secondary data was obtained various literature sources through desk review. The following data collection methods and instruments were used;

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[5]has a bearing on socio-cultural and political issues

[6]Programme implementation first started in 2014 with Kilifi, Kisumu and Turkana before extending to 10 additional counties in 2015. The last batch of 8 counties were identified and incorporated into the programme in 2016.

[7]Urban (over 50% of county population living in urban area)

[8]Cat 1; 1-20% living below poverty line; Cat. 2 - 21-40% living below poverty line and Cat 3 – Over 40% of population living below poverty line; Source: Commission on Revenue Allocation (2011), Kenya County Fact Sheets.

[9]W – Weak revenue position - county generates less than 50% of revenue requirements and; S- strong revenue position with county generating over 50% of required revenue

[10]Programme adopted a "joint performance modality" in its implementation in the two counties of Turkana and Marsabit

Table 4.1 Data Collection Procedures and Instruments

Method	How it was undertaken
Desk Review	The evaluators sourced for documents in possession of the various key stakeholders. The documents were analysed for secondary data and information. Some of the documents reviewed include: Evaluation Terms of Reference, UNDAF, UN CIPD, Programme Annual Reports, UNDP Evaluation Policy, UNEG Evaluation Criteria, UNDP PME Handbook, UNDAF MTE Report, Programme Quarterly Reports and Programme AWPBs among others.
Key Informant Interview (KII)	Structured questions were administered to stakeholders to address the study objectives. The questions aimed at obtaining both qualitative and quantitative data depending on the role of the stakeholder. KII were held with stakeholders both at the national and county,.
Focus Group Discussion (FGD)	FGDs were used to direct our discussion meetings with beneficiaries citizens of the sampled counties to obtain their perspectives on the impact of the programme on the quality of governance and public service delivery.
Survey	A qquestionnaire with open ended questions was administered to the randomly sampled citizens in the counties visited. The qquestionnaire was meant to gauge citizen's understanding of devolution, separation of roles between governments and the appreciation of the benefits of devolved governance.
Marking of Checklists	Checklists were used to gauge the quality and impact of trainings supported by the programme on the trained officers, their performance in the respective departments and degree of improvement in the services they offer.
Observation	The evaluators also collected data by the direct observation of the interventions of the programme in the sampled counties.

4.3   Performance Standards

Performance Standards in evaluations define the nature of internal quality control actions and describe the criteria against which the performance of services can be evaluated. In conducting this study, the evaluators observed the following Performance Standards;

4.3.1   Stakeholder Management

Stakeholder management involves the necessary methods of identifying people, groups or organizations that could impact or be impacted by the programme, analysing stakeholder roles and expectations and their impact on the programme, and developing appropriate

strategies for effectively engaging stakeholders. The consultant's stakeholder management plan involved identification, analysis, and engagement as shown in Figure 2.2

Figure 4.2:   Stakeholder Management Approach

The consultant identified the stakeholders relevant to the programme and classified them in-accordance with the individual roles they play in the implementation of devolution and their expectations. Communication mechanisms and tools were formulated and applied in stakeholder consultations.

4.3.2 Ethical Considerations

The UNEG Norms and Standards for evaluation provide guidance on the conduct to be upheld in evaluation of any programme in the United Nations System. Norm 6 and Standard 3.2 detail the ethics that must be observed during evaluations[11]. This study was conducted with the highest standards of integrity and respect. Prior informed consent was obtained from the institutions and individuals who provided information. Interactions with individuals were done observing mutual respect and taking into consideration the needs of gender, disability and age. There was no conflict of interest among the evaluation team.

4.4 Major Limitations of the Methodology

1. **Sampling:** Due to time and resource limitations, the MTR adopted sampling approaches in arriving at the specific counties from which generalised conclusions and recommendations have been made. When done correctly, a sample can provide results that are very close to the population characteristics. However, a sample, no matter how well its selection, cannot provide the exact representation of all the population characteristics. The evaluators understand that every county is unique and that a true representation can only come from a census survey of each county.

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[11] United Nations Evaluation Group (2016). Norms and Standards for Evaluation

2. **Availability of respondents:** Key informants across the programme region were generally helpful to the survey. However, there were instances where, due to transfers or restructuring, some of the key government officers were unavailable. Moreover, officers were out of town on trainings and seminars therefore making it difficult for the evaluators to get information from them for triangulation purposes. Additionally some the key stakeholders were unavailable for interviews.

3. **Citizens' expectations:** Some citizens had over expectations of the whole devolved government system and therefore were not very optimistic with their current county governments.

4. **Respondents:** In some counties the focal person for UNDP was the only person with information regarding the programme and therefore other officers were not receptive and were not willing to share information.

CHAPTER FIVE

DATA ANALYSIS

Data entry, cleaning, and analysis were a continuous process during and after data collection. Field notes and transcripts of interviews and qualitative information were analyzed and validated while conducting data collection. The following tools and techniques were adopted:

Table 5.1   Summary of Techniques used to Analyse Data

Technique	Description
Statistical Analysis	• Statistical tools and techniques were applied to analyze both quantitative data. Quantitative data was analyzed using SPSS and Microsoft Excel
Experts' panel/ Internal peer review	• This method involved leveraging on the knowledge of independent experts who on the basis of collected information and data assessed various aspects of the programme. The evaluators engaged peers who play a role in devolution and democratic governance to validate the findings of the data analysis phase
Benchmarking	• The findings of the study have been reported in view of lessons learnt from similar programmes locally and globally
Case study analysis	• During the evaluation, cases that demonstrated unique approaches to implementing the programme as well as success stories in the implementation were documented
Cost-effectiveness analysis	• This involved comparing the net results of the programme with its total cost, expressed by the value of financial resources involved in the achievement of results

CHAPTER SIX

FINDINGS AND CONCLUSIONS

6.1 Strategic Programme Focus

Section 2.3 above describes how the ISPDP aligns with the national, county and other priorities. However during the inception of devolved governance system, the major development partners within the DSWG that are EU, USAID, UNDP, AHADI and World Bank collaboratively through request from the government of Kenya responded by focussing on specific counties while ensuring all counties were covered. Efforts were made to avoid duplication of efforts and overlaps. UNDP considered the following characteristics to select the 13 counties it was to support:

- Ability of the counties to co-fund the implementation of the programme;
- Human based approaches such as Human Security, Community Security, Peace and Social Cohesion;
- Counties that lagged behind in terms of economic and social development;
- HIV/ AIDs prevalence levels that were 15 percent and above;
- Counties where UN had existing offices and infrastructure. This would ease implementation of the programme as they would not have to start setting up afresh;
- Counties whose city population was over 100,000 persons;
- UN Joint modality programme availability;

In response to the fact that resource mobilization was continuous and thus resources were flowing to the programme progressively, UNDP in 2014 opted to pilot with three counties, i.e. Kilifi, Kisumu, and Turkana. Thereafter in 2015 UNDP rolled out the programme to the remaining 10 counties which included; Kwale, Taita Taveta, Marsabit, Kitui, Nyeri, Samburu, Laikipia, Vihiga, Bungoma and Homa Bay.

Perhaps a sign that the project is pro-actively taking advantage of new opportunities, adapting its theory of change to respond to changes in the development context, including national priorities is in the addition of target counties to ISPDP in 2016. The programme initially targeted to support 13 counties. However in 2016, UNDP through a highly consultative process with development partners and MoDP, increased the number of its target counties by8 in order to accommodate counties that were not receiving any

direct support from the development partners. Additionally, beyond coverage to the 8 additional counties, the programming scope also expanded based on funding that was received from DFID to cover areas that were in the project document but had not been adequately addressed previously. This included areas such as DRR/CC and gender.

As stated in sub-section 2.2.2 above that the ISPDP is closely linked to the UNDP global strategic plan (2013-2017), whose vision is focused on seeking to help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion.

Box 6.1

Finding 1: The programme is aligned with UNDAF, UNDP CPD, Vision 2030 and MTP II.

Conclusion 1: The programme has contributed to higher level change in line with national priorities as evidenced above through adapting the theory of change to national circumstances and emerging opportunities, and alignment to national priorities like MTP II, as well as to UNDAP, CPD, and UNDP Strategic Plan.

Finding 2: the ISPDP focuses almost exclusively on state actors and organs as already pointed out in section 2.8 above ISPDP has as its almost exclusive targets and beneficiaries the national and county state organs with most emphasis on the improvement of policy and legislative frameworks and capacities of those institutions. Moreover participatory planning and budgeting processes have been achieved in the programme as illustrated in Table 6.4 through public participation however there has been minimal civic engagement of the public members. Consequently the latter themes are more substantively addressed through largely non-state actor orientations by Amkeni Wakenya, and other initiatives by development partners.

Conclusion 2: As already stated in section 2.8 sovereignty of the people, the most significant factor in devolution, and its concomitant elements of public participation and civic engagement are thus rather peripheral. The ISPDP is perhaps too "state centric".

Finding 3: ISPDP by and large "assumes that devolution is a completely new venture", as again already stated in section 2.8.

Conclusion 3: The assumption in III above is likely to lead to the overlooking of circumstances and resources in the recent past and history of Kenya on which the current devolution can be anchored, and is not conducive to sustainability.

6.2 Programme Effectiveness

Effectiveness measures the extent to which the programme interventions attained the stated objectives. Effectiveness therefore measures the extent to which outputs delivered actually contributed to the realization of stated objectives.

6.2.1 Extent of Contribution to Improving Quality of Governance and Socio-Economic Development

Socio-economic development in the devolved government systems are mainly informed by the surveys and assessments undertaken. The programme has prompted the county governments to undertake various assessments that will inform annual departmental work plans. It was observed that four out of the nine counties have conducted surveys in the areas of customer satisfaction and baseline surveys that inform the development of socio-economic activities under various departments.

These assessments vary from county to county as they are largely informed by the counties development documents. Some of the assessments are in areas of;

1   Agriculture such as Crop production, Cattle rearing, milk production,
2   Industries such as small and medium enterprises,
3   Health sector child malnutrition, HIV/ AIDs among others
4   Water and sanitation
5   Infrastructure

The ISPDP has led to the segregation of data varies according to the different needs of various departments in the counties.6 counties had disaggregated data, while 3,Turkana, Kisumu and Kericho counties did not. Bungoma County has carried out a third quarter survey of its CIDP performance. The data from this survey was disaggregated under the key focus areas of the county. They include financial and stewardship, good governance, institution transformation, operation and service delivery. Laikipia County was working closely with the KNBS to undertake surveys and assessments on need basis as well as utilizing County annual statistical abstract that covered key areas of interest to the County.

Furthermore, the programme gives special focus and attention to the building of county capacities for effective devolved governance and overall socio-economic development. For this to be achieved, different approaches have been used including ToTs, provision of equipment, establishing performance systems, and UNV technical support.

Box 6.2

Finding 4: Counties have been supported in undertaking surveys and assessments, whose findings have informed the counties' departments' socio-economic development activities.

Conclusion 4: ISPDP has contributed to improving quality of governance and socio-economic development to the extent of Counties have been supported in undertaking surveys and assessments, whose findings have informed the counties' departments' socio-economic development activities

6.2.2 Extent to which the Programme Results are Being Achieved

a) Result Area 1: Strengthened policy and legal framework for devolved governance

Table 6.1 Progress Towards Achievement of Targets for RA 1:

Output	Indicators Baseline and Target	Planned	Value Achieved	List of Policies
Output 1: Policies, laws and institutional reforms for effective implementation of the CoK at national and county levels are adopted	Indicator 1.1: number of policies and laws adopted at the National level to support effective implementation of Devolution. Baseline: 10 (2013) Target: 15 (2018)	15	14 (93%)	a. Devolution Policy; b. 2nd Generation Revenue Sharing Formula; c. East Africa Local Government Forum (EALGF) Strategic Plan Implementation Framework; d. 51 County Model Laws Book; e. Draft National Disaster Risk Management (DRM) Bill; f. A Public Procurement and Asset Disposal Act Regulation to guide the implementation of the Public Procurement and Asset Disposal (PPAD) Act 2015; g. One budget ceiling guidelines issued by National Treasury to county assemblies on adherence to the budget ceilings set by the County Fiscal Strategy Paper; h. 1 Sectoral Policy and Legislative Analysis undertaken; i. Finalization of inventory of assets and liabilities for the defunct Local Authorities j. Costing of five government functions Publication k. Budget ceiling guideline issued by National Treasury to county assemblies. l. County Performance Management Framework

Output	Indicators Baseline and Target	Planned	Value Achieved	List of Policies
				m. Civic Education curriculum and public participation guidelines n. Counties have developed policies and laws that govern their activities.
	Indicator 1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution; Baseline: 0 (2013) Target: 80% of counties (2018)	80%	100%[12]	Staff from 9 out of 9 counties (100%) have been trained on formulation of laws to promote devolution. 7 counties, Bungoma, Kilifi, Kisumu, Kitui, Laikipia, Nyeri, and Turkana trained county assembly members on the same, while 2, TaitaTaveta and Kericho had not.

Laws and policies that have been developed in the counties aim at supporting devolution, maintaining law and order and overall economic growth and development at the counties. Below are selected highlights of the work so far undertaken under the policy and legal framework result area through ISPDP support:

Council of Governors – Through ISPDP support the CoG has developed model laws trained all the County legal officers in legislative drafting, and identified a pool of experienced drafters to mentor the County legal officers. The CoG had so far developed 10 of the 60 targeted model laws, attributing the slow progress to limited funding. The model laws cover the following areas: public participation, health, early childhood development and education, property rating, sand harvesting and outdoor advertisement among others. The CoG has as a result also been able to thus establish a forum for the County legal officers and was working with the KLRC to realize a harmonized approach to model legislation. . The County executive hitherto relied mainly on technical support of external consultants to draft most of the laws and policies.

CoG has organized three devolution conference meetings since the inception of devolution process. There was also an Inaugural Legislative Summit that was held in 2016

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[12] UNDP, *Integrated UNDP Support to Programme to the Devolution Process in Kenya, 2016 Quarterly Report, 1 July – 30 September 2016*, October 2016; and *Integrated UNDP Support to Programme to the Devolution Process in Kenya, 2016 Quarterly Report, 1 April – 30 June 2016*, July 2016

with its theme being centred on "*Celebrating and Entrenching Devolution Through Legislation".* Through these initiatives the CoG encourages exchange of ideas, lessons learning and exchange of best practices among the counties.

Kisumu County– has fourteen ministries and each ministry has developed a comprehensive draft policy. The Director of Policy at the County liaises with heads of departments to come up with policies in line with the unique departmental needs. All the draft policies have been tabled before the county assembly awaiting validation. The Director of Policy noted that the County has not allocated specific funds for policy formulation in the budget, which is affecting formulation of policies.

Kitui County– has developed the 'County ICT strategy 2015 – 2020, and has been able to train their officers on e-government i.e. application of ICT to county service delivery.

Turkana County– It has financed all its legislative drafting from its own resources. The ISPDP had supported in building the capacity of officers of the Turkana County Assembly in policy and legislative drafting. ISPDP also supported the development of the CIDP, County resource map and County strategic plan and most recently civic education and public participation activities.

Capacity to Formulate Laws that Promote Devolution

The Programme has extended support through CoG and also directly to the counties towards building their capacity in drafting of bills and policies by training the County legal officers, Chief Officers and CEC members. These trainings improved the County's technical capacity to develop county bills and policies to govern their activities. Following the various trainings, some results are being reported where counties have formulated bills that have been gazetted. Policies and bills developed so far across Counties cover the following areas: Performance Management; Civic Education; Planning M&E; Food Security; Agriculture Development; Fund; Agriculture Farm Input; Livestock Breeding; Bursaries; Public Participation; County Development Authority; County Attorney's; County Agricultural Training Institute; Veterinary Services; County Child Care Centres; County Infrastructure Development; Village Polytechnic; Early Child Development; and County Transport. One-off training sessions are not adequate to enable county officers to formulate their own laws, but it enables the trained staff to give input to policy formulation, when being done by consultants and other experts and it is also a good starting point that will eventually sharpen their skills in this area through progressive training, exposure and working with experts.

> **Box 6.3**
>
> - *Results Reported by Counties:* Bungoma County has successfully enacted seven pieces of legislation.
> - In Turkana County, the training improved their management of consultants hired to draft the bills and policies thus fast tracking the process as well as conducting civic education and ensuring public participation.
> - In Laikipia County, various policies such as the Laikipia County Development Authority Act, have created investment opportunities in the county. The investment menus highlight the incentives and possible returns to interested investors.
> - Taita Taveta became the first county to adopt the civic education and public participation policy and developing the public participation bill.

> **Box 6.4**
>
> **Finding 5:** *Provision of capacities in and creation of policy and legal frameworks in the counties has made remarkable progress.*
>
> **Conclusion 5:** *Policy and legal frameworks and capacities have been remarkably strengthened*

b) **Result Area 2: Strengthened and aligned capacities at national and county levels**

Human capacities at both national and county levels have been strengthened through the programme. This has been undertaken mainly through the numerous trainings conducted by the implementing partners, provision of equipment and technical assistance. Through this approach the programme aimed to capacity build various officers to ensure that they implement devolution effectively. Moreover, this approach was in line with the NIM which advocates for empowering of officers through capacity building.

Table 6.2 Progress Towards Achievement of Targets for RA 2:

Output	Indicators Baseline and Target	Planned	Value Achieved	Capacity Building
Output 2: Strengthened institutional and human capacities at national and county levels evident in supporting national and	Indicator 2.1: Percentage of Supported Counties whose plans and budgets are approved by COB; Base Line - 40%;	80%	100%[13]	By end of 2nd quarter 2016 100% of budgets are being approved by the CoB. The same finding was also established during data collection of MTE, where all the 9 counties reported that their budgets had been approved by CoB. However, for Nyeri the approval was not done within the stipulated timelines.

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[13] *Ibid.*

Output	Indicators Baseline and Target	Planned	Value Achieved	Capacity Building
local development.	Target 80%			
	Indicator 2.2: No of Counties with performance management systems in place. Baseline 0 (2013). Target: At least 10	10	6 (60%)	6 out of 9 counties (Bungoma, Kisumu, Kilifi, Taita Taveta, Turkana and Nyeri) have integrated performance management systems that are operational.
	Indicator 2.3: No of counties that develop business models that are inclusive and sustainable. Baseline: 0 (2013); Target: At least 10 by 2018	10	6 (60%)	Through ISPDP support 6out of 9 counties through the trainings received on financial oversight as well as PMS, county staff have been able to develop business models that are key areas in the implementation of some of their flagship projects
	Indicator 2.4: MSE coordination mechanism in place Baseline: None (2013); Target: At least 10 by 2018	10	2 (20%)	Through project support 2 out of 9 counties (22%) Kisumu and Bungoma, have developed mechanisms to coordinate MSE.. This can be attributed to the training received from the project

Selected highlights of work so far done under this pillar:

i) Training of Trainers (TOT)

One of the main approaches that UNDP used in implementing the programme was through capacity building of County Executives, County Assembly members, Chief Officers, Directors, and Head of Departments (HoDs) among others who are supposed to cascade the information to other officers. Trainings were conducted in 8 key areas which included;

1) Legislative drafting

2) Monitoring and Evaluation
3) Leadership
4) Performance Management System
5) Record Management
6) Women Leadership
7) Financial Oversight
8) Risk management and mitigation

A randomly picked sample of the trainees was interviewed and an assessment of their perception on training received was carried and revealed highlighted in Figures3.1 and 3.2.

Monitoring and Evaluation training: Overall average shows that 46% of the trainees strongly agreed and 52% agreed that the M&E training was effective, met expectations, sufficient, work-related and relevant, had clear objectives and well organized and easy to follow content. Only 13% of the sampled beneficiaries disputing that the training time was not sufficient.. Officers in the M&E departments in Turkana and Nyeri Counties for example have been able to generate periodic reports that inform them on the progress of various projects being undertaken. Consequently this information has been utilized to generate annual work plans and budgets for the subsequent financial year.
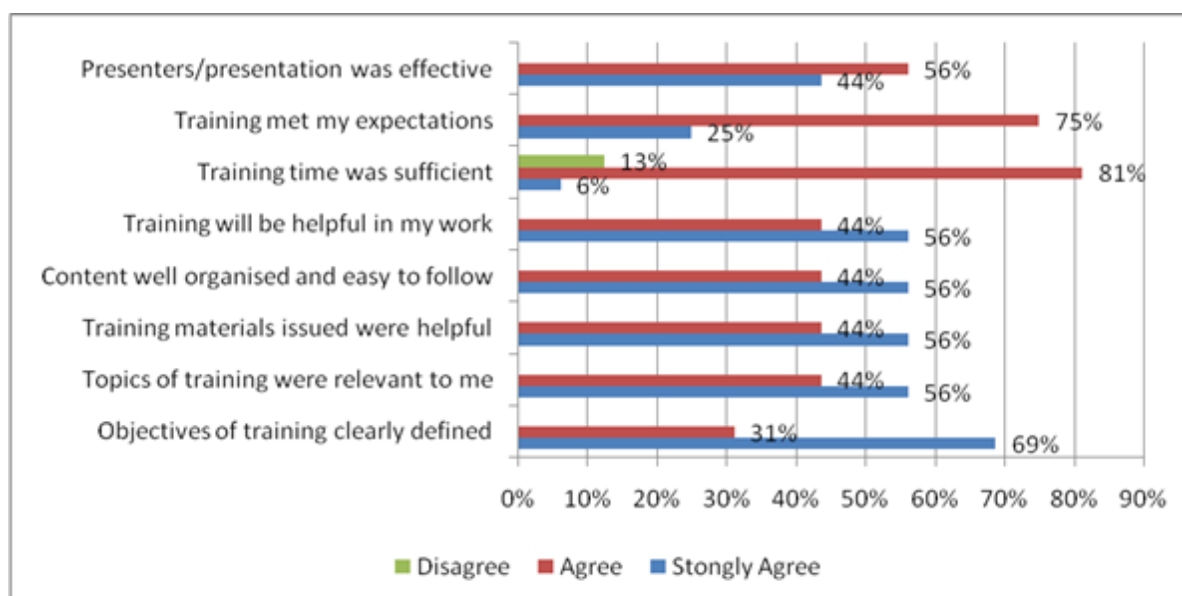
Figure 6.1: Training on Monitoring and Evaluation

Change management Training: Overall average shows that 51% of the trainees strongly agreed and 43% agreed that the change management training was effective, met expectations, sufficient, work-related and relevant, had clear objectives and well organized and easy to follow content. Only an average of 7% of the trainees disagreed

that the training was effective and met expectations, sufficient, work-related, good content and training materials were helpful in their work as they used them for reference.
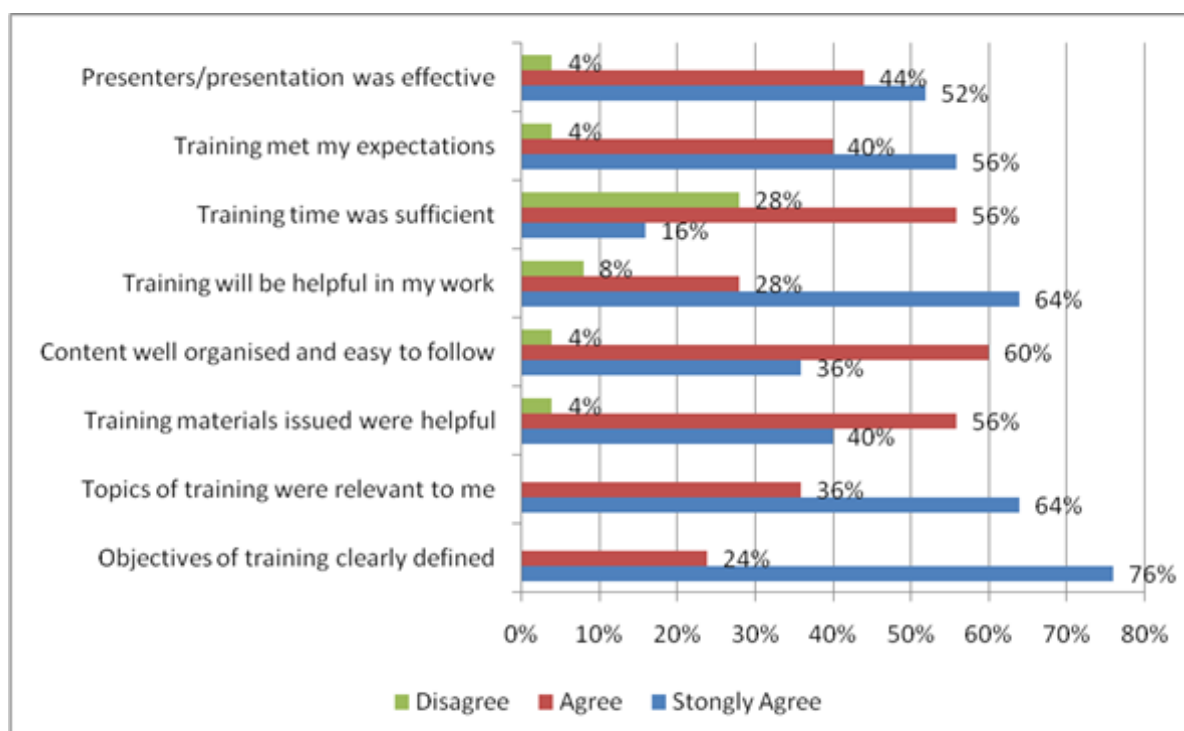
Figure 6.2: Results of Evaluation of Training on Change Management

With the majority of the trainees either agreeing or strongly agreeing on most of the tested variables about the training, it can be concluded that the training modality adopted was successful and effective. This approach was appropriate for the implementation of the devolution programme as it ensured the officers were trained by various partners who were experienced in the areas they trained for example Kenya Law Reforms Commission (KLRC) trained officers on legislative drafting and policy formulation an area which they have more comparative advantage. Kenya School of Government (KSG) trained on Financial Management, which included budgeting, and Monitoring and Evaluation. The use of this approach also ensures consistency as the officers trained are able to cascade the knowledge to other officers at both national and county governments.

Additionally, the implementing partners are able to conduct follow up trainings to the members at the national and county levels. The ISPDP 2015 Annual Report indicates that by end of 2015, a total of 3,705 persons (2,814 males and 891 females) had been trained in various aspects that will improve service delivery at both national and county levels while implementing devolution. The number increased significantly in 2016 where by

end of 3rd Quarter, a total of 6,823 (4, 719 males and 2,104 females) national and county governments officers have been reached by at least one capacity building intervention[14].
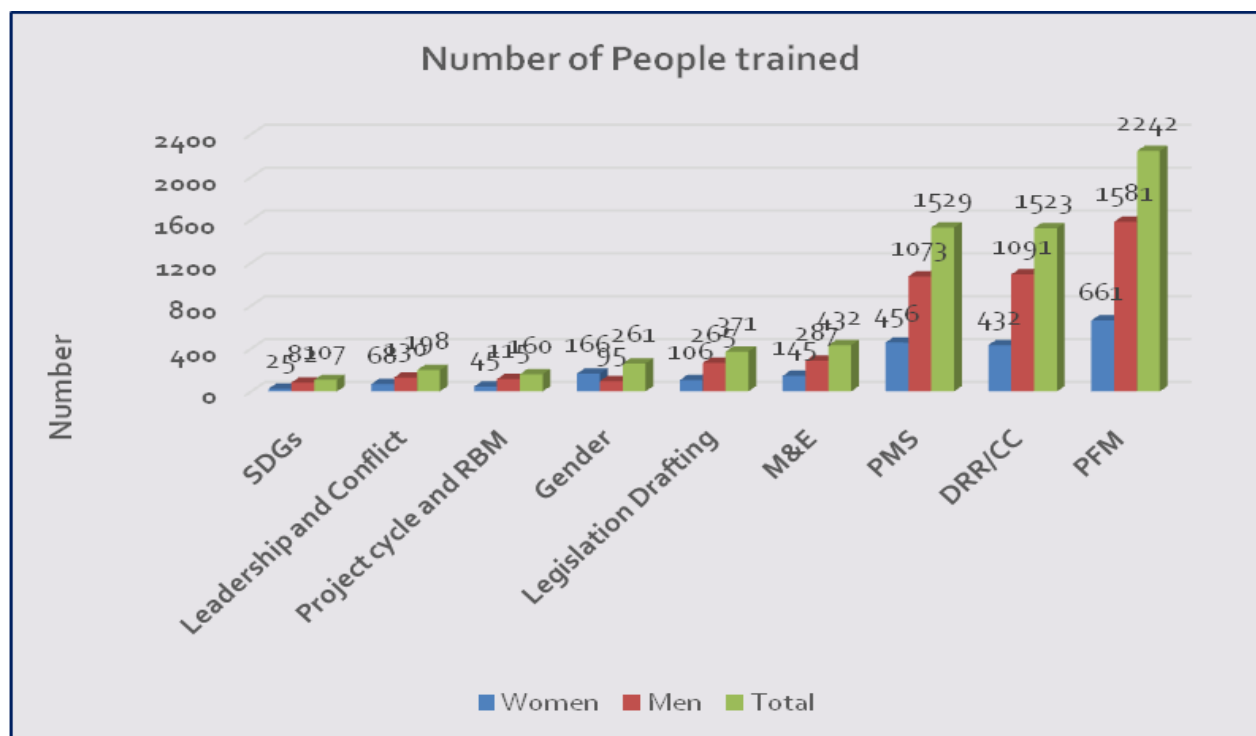
Number of People trained

Figure 6.3: Number of Persons Trained by 2016

Impact of Training to the county staff

The MTE may not be able to comprehensively document the impacts of the programme training activities by the IPs. However in the interim, it was observed that the training interventions have yielded mixed outcomes. For instance as presented section 6.6.3, an M&E officer in Ganze Sub county Kilifi County, corroborated that he conducts monthly M&E meetings with sub county heads of departments to analyse data collected during monitoring and recommend way forward when necessary. He also cascades the knowledge on M&E to the ward level by undertaking various M&E activities such as

- Assessing the status of projects whether complete or not
- Following-up on contractors whose projects are incomplete
- Soliciting for public opinion and comments on quality and relevance of projects

On the other hand the Monitoring and Evaluation Unit in Nyeri County with the assistance of the UNV were found to be in the process of developing an Indicator

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[14] UNDP in *Making Devolution Work*
http://www.ke.undp.org/content/kenya/en/home/library/democratic_governance/making-devolution-work

Handbook and Data Collection tools to enable them collect data during M&E. The unit had developed AWP which enables them to plan for visits in project areas and report on the progress accordingly.

In the contrary M&E units in Laikipia and Turkana counties indicated that they were not been able to cascade the knowledge obtained to other staff members. They cited several reasons for this among them; Understaffing, vastness of county and lack of financial resources.

ii) Purchase of Equipment

UNDP assisted various county governments to acquire equipment that will assist in implementing their programmes including activities under ISPDP. Some of the beneficiaries include;

<u>Beneficiary</u>	<u>Equipment</u>
MoDP	purchase of furniture, laptops and printers
Nyeri, TaitaTaveta, Kilifi, Kitui counties	purchase of laptops, desktops and printers

In purchasing these equipment, UNDP has facilitated officers implementing programmes to be more effective and efficient. In some counties, officers used to print official work in cyber cafes, which was a compromise to confidentiality, in other counties like Kisumu County, the laptops enabled the implementation of the PMS, and in Nyeri County the laptops and printer are used by the M&E officers to write and print county and donor reports respectively on time.

iii) Use of UNVs Expertise at National and County Levels

UNDP in collaboration with CoG has used National UN Volunteers (UNVs) technical support to counties in M&E, statistics, public finance management, governance, human resource and geographical information systems. A total of 37 UNVs were availed to counties for a short duration of 6 months, which was later extended by a further 6 months, to assist the counties in addressing their most immediate capacity gaps. The cost of UNVs is significantly lower than consultants hence, UNDP choose the approach in recognition of the weak capacity of newly formed counties to deliver services to their citizens and in light of the limited resources,

An example of one of the successful UNVs is the one placed in Taita -Taveta County. He was able to prepare the first edition of the county's Statistical Abstract which gives a

snapshot data on social, economic and demographic aspects. The abstract provides assorted data in key indicators that can be used during planning, development, monitoring and evaluation as well as policy formulation. Additionally the UNV conducted an assessment on County Citizen's Satisfaction Baseline Survey (CCSBS) and developed a report that identifies and quantifies the gaps between the county's citizens' ideal expectations regarding service delivery of various public services and the actual scenario.

While UNV field monitoring visits revealed that most of the UNVs were highly utilized by counties and assisted in establishing systems and some of them were made heads on units such as M&E, a few counties however, did not fully utilize this skill.

Box 6.5

In view of this it is recommended that in future if UNDP mobilises resources for UNVs' support, their deployment be needs-based, with specific targets to be achieved. This would improve the design of UNV programming support to counties.

iv) Performance Management System

Following different approaches and models by counties in developing their PMS, some of which seemed to yield better results than others, the CoG in collaboration with stakeholders sought to develop a harmonized approach to PMS, which has culminated to the development of a County Performance Management Framework (CPMF). CoG has also trained all the 47 county governments on the CPFM, thus enabling them to customize their PMS to the framework. PMS has enabled counties to improve their county performance management processes.

Training on change and performance management enabled officers to understand development of their individual and departmental work plans thus improving levels of competence and efficiency. The training also helped to identify gaps in human resource, with laws and policies, monitoring and evaluation being most conspicuous. The training has also enabled the county executives to adopt the performance contracting and cascade it in all the departments. The counties have established units for performance contracting under various departments such as service delivery, ICT among others.

Box 6.6

One sub-county administrator had this to say:-
''I' m able to document performance management and therefore able to show reports on how I have carried out various activities within the sub-county. I have signed PC with all my staff including those at ward level. I hold weekly meetings with my staff to review performance.''

Nyeri County- has a robust Integrated Performance Management System that was developed by a private consultant. However, the county is in the process of improving the security of the system as it was hacked a few months ago. Nonetheless this comprehensive system enables the county undertake performance contracting for its staff as well as assist them to plan on time while conducting M&E.

Bungoma County- has a robust Performance Management System in place. The County has established a Service Delivery Unit (SDU) chaired by the Deputy Governor to oversee the implementation of the performance management system. The SDU is facilitated to oversee the following: Strengthen and ensure alignment of each sector to the CIPD and address any administrative, financial and operational obstacle or impediments to improve project and program implementation; Monitor, evaluate and review existing organizational structures, delegated powers and functions, management systems, processes, procedures, etc. with a view of improving service delivery; Monitor, evaluate (M&E) and report on the implementation of performance contracts on a quarterly and annual basis; Increase harmony, synergy, effectiveness among the county ministries, agencies and all public servants while ensuring responsiveness in service delivery through public participation. The county has also signed performance contracts at every level of management and PCs have been cascaded down to all the employees at the county and sub-county.

Turkana County–Owing to the training received from the programme, Turkana County is in the process of developing a performance management system called "Achieve". It is an integrated system which serves various functions such as performance contracting. It has been rolled out to senior staff members at the county level and they are able to log in and key in various aspects of projects being undertaken. Turkana County was in the process of initiating an integrated performance management and monitoring system.

Box 6.7

Finding 6: There has been effective use at national and county levels of ToTs, purchase of equipment, use of UNV, and development of PMSs
Conclusion 6.1 The effective use at national and county levels of ToTs, purchase of equipment, use of UNV, and development of PMSs has strengthened and aligned capacities.

c) **Result Area 3: Enhanced service delivery mechanisms and resilience for disaster risk management, peace building and conflict prevention**

Table 6.3 Progress Towards Achievement of Targets for RA 3:

Output	Indicators Baseline and Target	Planned	Value Achieved	Service delivery Mechanisms and DRR
Output 3: Evidence planning, budgeting for improved service delivery at County level in tandem with reduced security threats and improved response to risk and disaster in selected counties.	Indicator 3.1: The existence of disaggregated data to inform socio economic development. Baseline: National and county policies, plans, and strategies informed by analytical studies and quality disaggregated data; disaggregated data to monitor MDGs, human development issues available; national and county development priorities; inadequate capacities at county level including on financial absorption; Target: At least 50% development policies and plans are informed by quality disaggregated data; system in place by 2016 to monitor MTP II implementation progress.	50%	100%[15]	a. By end of 3rd Quarter 2016, 47 counties have some disaggregated data to inform socio-economic development; b. Seven county governments (Taita Taveta, Makueni, Murang'a, Kiambu, Nyeri, Bomet and TharakaNithi) created a statistical database for evidence based decision making. c. The UNV for Makueni County, assisted the County in the preparation of a County Statistical Abstract to inform policy and data archiving.
	Indicator 3.2: number of Surveys, MDGs and HD reports, assessments, analytical works, policies, and advocacy papers conducted/prepared to inform development planning and management at national and county levels. Baseline: 0 (2013); Target: 4 (2018)	4	100%[16]	a. Turkana county undertook baseline survey and revised its CIDP. b. The programme has assisted counties to develop County Spatial Plans. c. 5 counties have been assisted to develop Risk Maps that identify the risky areas d. 3 counties developed contingency plans to

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[15] *Ibid.* See also Table 3.6 above!

[16] *Ibid*: Studies so far done among others: costing of government functions by TA and CRA; Status of Devolution by KIPPRA through TA; Status of Public Service by KSG; Citizen Satisfaction Survey by Taita Taveta; Devolution Policy by MoDP; HR policy by Taita - Taveta, Homa Bay. See also Table 3.6 above!

Output	Indicators Baseline and Target	Planned	Value Achieved	Service delivery Mechanisms and DRR
				assist in times of disasters. e. All the counties conduct needs assessments that inform planning and policy formulation at departmental level; f. GRB analytical assessment in health sector was conducted in selected counties to inform budget and CIDP processes and to provide model county example of analytical process; g. Assessment of constraints on CCA/DRR CSP and GIS labs was conducted in the 47 counties
	Indicator 3.3: number of counties with strategies for peace building community security and cohesion integrated development plans and budgets, sector strategies and programmes mainstreaming. Baseline 0 (2013), Target 10 (2018).	10	1 (10%)	a. Turkana county has a fully-fledged disaster risk management unit with budgetary allocations for peace building, community security and cohesion. b. 6 Counties (Kisumu, Homa Bay, Samburu, TaitaTaveta, Turkana and Kilifi) were trained on collaborative leadership and peace building
	Indicator 3.4: Number of counties with DRR mainstreaming guidelines.		25	a. 47 counties supported to institutionalise CCA/DRR strategies in planning and budgeting through development of CSPs; b. Kisumu County has drafted the County Disaster and Emergency Management Act 2015 to coordinate all disaster management activities in the county; c. NDMA was supported to come up with systems for Early Warning whereby 24

Output	Indicators Baseline and Target	Planned	Value Achieved	Service delivery Mechanisms and DRR
				counties have been trained on early warning for disaster management.

Selected Highlights of work so far done under this pillar:

a. 18 county governments (Kericho, Nakuru, Kajiado, Makueni, Mombasa, Narok, Nyamira, Uasin Gishu, Trans Nzoia, Kilifi, Meru, Busia, Bomet, Vihiga, Embu, Murang'a, Kirinyaga and Isiolo) improved their planning and budgeting cycle through timely development of the ADP, which ultimately timely delivery of services to citizens as funds are availed in time due to timely budget approvals.

b. 13 counties (Nakuru, Trans Nzoia, Kajiado, Embu, Mombasa, Narok, Nyamira, Uasin Gishu, Trans Nzoia,Busia, Kirinyaga, Isiolo and Siaya) prepared their County Budget Review and Outlook Paper (CBROP) in a timely manner as per the PFM Act, enabling timely budget approval and availing of funds, which would ultimately enable the county to deliver services in time.

c. 3 counties (Mombasa, Mandera, Baringo) reviewed their CIDPs to inform planning and budgeting, thus ensuring resources for county priorities are made available.

d. 9 counties (Kericho, Murang'a, Tharaka Nithi, Kisii, Trans Nzoia, Embu, Bomet, Isiolo and Siaya) prepared county M&E progress reports to inform policy and enabling corrective action where necessary in county development projects.

e. 109 (12 females and 97 males) CEC members, MCAs and directors in 5 counties (Baringo, Kilifi, Tana River, Turkana and Kwale) were trained to enhance their knowledge and capacity in DRR/CCA.

f. Trained 36 (27 males and 9 females) county officials from 3 counties (Kilifi, Baringo and Turkana) on Inter-Agency Rapid Assessments (KIRA) for disaster events.

As is noted from the above, analysis, service delivery mechanisms are being enhanced through training and improved budgetary process including compliance with PFM Act. Furthermore, DRR/CC activities in counties have improved preparedness for disaster risks and enhanced the county capacity in spatial planning. Turkana County is the only one that has developed peace building management framework, hence the programme need to step up this programming component.

Box 6.8

Finding 7: Enhanced service delivery mechanisms and disaster risk reduction management is being achieved but peace building and conflict prevention measures are lagging behind.

Conclusion 7: Service delivery mechanisms and disaster risk reduction management have been enhanced but peace building and conflict prevention measures still need to be scaled up.

d) **Result Area 4: Strengthened citizen engagement in devolved governance**

Devolution in Kenya is in its fourth year of implementation and structures to enhance service delivery to various counties have been put in place. The evaluation established that most of the citizens understand what devolution means and are aware of the roles to be played by their counties, however, some indicated that they have not participated in deciding which development projects are implemented in the counties. This is because the counties lack enough funds to reach all its citizens and most of them hold only one public *baraza* per Ward (also see the discussions in sections 2.8 and 6.1 above that look at the matter of public participation from the perspective of project design and intervention logic!). According to these citizens, devolution has brought more development opportunities nearer. They acknowledged that through devolution, road and water infrastructure has been improved, health facilities have been equipped and health services made readily available to citizens. Security in the counties has been enhanced as streets in the local towns have been lit up. The 30% provision for women and youth in the Public Procurement Act has been applauded.

Box 6.9

Finding 8: Most of the citizens understand what devolution means and are aware of the roles to be played by their counties, but effective public participation is still hampered by inadequate resources.

Conclusion 8: More resources should be put into public participation

Table 6.4 Progress towards achievement of targets for RA 4:

Output	Indicators Baseline and Target	Planned	Value Achieved	Civic engagement and public participation

| Output 4: Citizen Participation mechanisms and processes strengthened to ensure effective and equitable service delivery and people-centred devolved system of government. | Indicator 4.1: % of citizens satisfied with public service delivery by National and County Governments (disaggregated by County, Sex, age, social group. Baseline 63.5% in 2009; Target 75% in 2018. | 75% | 77%[17] | County officers use forums such as public participation on budgeting to conduct civic education. Laikipia governor has visited all 15 wards in the county and conducts civic education together with county executive members

Majority of citizens in the urban areas had high expectations on services to be delivered by the county governments. On the contrary majority of the citizens in the rural areas appreciated devolution as it brought about development projects such as roads, creation of employment opportunities through funding by county governments channelled to SACCOs and other SMEs. This was seen for example in Nyeri where the county funded a milk processing SACCO for farmers;

Ipsos Synovate study in September 2016 indicated that 77 percent of Kenyans support devolution which is a marginal decline from 78 percent in April 2015

Many counties do not budget for governance activities including conducting civic education and public participation. This is perhaps because many county officials do not want members of the public to be more aware of devolution and its benefit. |
| | Indicator 4.2: % of high burdened counties supported whose plans and budgets reflect HIV and AIDs.

Baseline 3 (2013), Target 50% of high burdened counties | 50% of high burdened counties[1819] | 3 out of 3 (100%) | Provision of funds for HIV and AIDs is not done as a single activity but it is given under county ministry of health. Through support from ISPDP in training on budgeting and financial oversight, Turkana County has been able to increase their allocation for HIV awareness from KShs. 5.7M to KShs. 11M. |

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[17] Cited in UNDP, *Integrated UNDP Support to Programme to the Devolution Process in Kenya, 2016 Quarterly Report, 1 July – 30 September 2016*, October 2016.

[18]Homa Bay, Siaya, Kisumu, Migori, Kisii, Turkana, Mombasa, Nairobi, Busia, Nyamira, Taita-Taveta (All have HIV prevalence rate of more than 6% - Kenya's average prevalence rate)

[19] http://www.kenyaforum.net/2013/07/29/counties-most-hit-by-hivaids-in-kenya/

	have HIV and AIDs plans and budgets.		

Box 6.10

A case for public participation in Laikipia County:

Laikipia County stands out as successful case in public participation. Through ISPDP, the Governor and his executive committee have held forums in all the 15 wards of the County to collect the people's views in the 2014-2015 and 2015- 2016 budgets. The governor moderates the sessions with the CECs as discussants. The sessions begin with the governor giving a progress report for the County in general and ward specifically. This is followed by questions from members of the public and clarifications by the CECs. The issues raised by members of the public are then considered for the budget within the CIDP context and priorities. This, as observed, has improved project and financial management in the County.

Public participation is encouraged during budgeting process in order to ensure that members of the public are adequately informed of the activities that are to be undertaken in the county. Varying strategies have been deployed to give members of the public an opportunity to propose priority development projects that reflect their communal needs. All the Counties assessed had public participation Act in place that provided the mechanism for engagement.

In terms of budgetary allocation, Kisumu County has set aside a budget for recurrent expenditure (30% of the total revenue) to facilitate public participation. In Bungoma County, public participation is facilitated through a community development fund whereby each Ward is awarded KSh. 30 million in every financial year. For Turkana County, low levels of literacy, low capacity among a majority of MCAs, its expansiveness and poor infrastructure have greatly impacted against the County's efforts to promote public participation.

e) Result Area 5: Integrated service delivery demonstrated in select counties

6.2.3 Gender Mainstreaming Under UN Women

The programme in partnership with UN Women ensured that there is gender mainstreaming in the national and county governments. UN Women started by conducting a scoping analysis of Gender Responsive Budgeting (GRB) entry points in Kenya. This was done through appraising what had been done in Kenya in the past, and integrating experiences from other African Countries and the World. UN Women

undertook a South-South learning approach with key institutions like Treasury, CoB, Parliament, CoG, KSG and civil society. UN Women influenced the midterm review of the PFM strategy as well as work plans to include elements of GRB themes and targets. Thereafter they started rolling out capacity building of all counties on GRB- and the trainings have covered all the 47 counties through clusters (together with CoG, CoB). They also engaged KSG to influence their two key modules that target senior leadership to include GRB- so that all managers get some element of training on GRB.

Currently UN Women is in the process of designing a long term comprehensive GRB programme within the PFMR strategy. The programme will be able to have a multi-partner approach with partners such as UNICEF, World Bank, AfDB. The programmme will have an approximate budget of USD 30M-70m over 5-7 years period to cover the whole MTP III period.

Box 6.11

Nyeri County has in the FY 2015/2016 allocated KSh. 100M for women, KSh. 50M to youth and KSh. 30M to marginalized persons. These funds are allocated to the persons or groups of persons with business ideas and lack funding. The assistance is given in form of loan at 3 percent interest rate. Turkana and Laikipia Counties were applying social intelligence reports that cover water, health, education, nutrition and child protection issues to further promote gender responsive budgeting.

Table 6.5 Progress Towards Achievement of Targets for RA 5:

Output	Indicators Baseline and Target	Planned	Value Achieved	Integrated services in counties
Output 5: Pilot testing of full local development cycle including participatory planning, budgeting (including gender budgeting), local level implementation capacities performance and change management, monitoring and learning.	Indicator 5.1: County governments capacitated to deliver equitable, high quality public services. Baseline: 0 in 2013; Target: At least 10 by 2018.	10	13 (100%)	a. Performance Management Systems at county levels have ensured that there is accountability in service delivery to the citizens and amongst the county staff as well. 7 out of the 9 counties sampled had operational PMS. Turkana county for example was in the process of rolling out the system to its officers. b. Nyeri allocates 100M for women, 50 M for youth and 30 M for marginalized persons and PwDs c. Counties also use Social Intelligence Reports (SIRs) to inform budgeting. SIRs focus on five main areas which are; Child protection, Education, Water and Sanitation, Health, Nutrition. Under this five domains priority is given to women and children during budgeting; d. Marsabit County reviewed its CIDP that provided linkages between the Constitution

				of Kenya 2010, Kenya Vision 2030, Medium-Term Plans (MTPs),CCA/DRR, SDGs and gender mainstreaming.

Box 6.12

o   UN Women under the gender mainstreaming and gender responsive budgeting has achieved the following:
o   ▢   All counties' planning and budget officers, M&E officer, CoB officers have been trained on GRB.
o   ▢   Turkana County senior officials were taken through gender mainstreaming training.
o   ▢   Turkana County was provided with TA on gender (gender advisor) stationed in County.
o   ▢   CoG was provided with gender TA (two advisor- gender advisor, and gender/legal advisor)
o   ▢   Two modules at KSG were engendered
o   ▢   County gender audit, through CoG is ongoing and a draft report has been released.
o   ▢   PER (evidence) in WASH and Health in 10 counties is on course, a draft report has been released.
o   ▢   Gender indicators incorporated within Kenyan SDG indicators.

Box 6.13

Finding 9: *Effective training and technical assistance on gender responsive budgeting and mainstreaming at the counties have been provided.*

Conclusion 9: *Mainstreaming of gender responsive budgeting at the counties has been accepted and is being practised.*

f)   Result Area 6: Programme Management Enhanced

UNDP governance team provides programme management support by ensuring that there is effective and competent coordination of the programmatic and operational aspects. In 2014, the UNDP Programme Analyst managed the Programme as recruitment processes for the programme were initiated. In UNDP established the Project Support Team as envisaged in the Project Document. Through this core team, UNDP sustained productive programme partnership with all the implementing partners. The partners' focal points worked closely with the Programme Manager, Programme Analyst, Monitoring and Evaluation Officer, and Programme Officer in facilitating implementation of activities. The administrative aspects of procurement and finance were considered by partners as helpful and responsive, and these being the core functions in the implementation of activities, it has made the process effective and smooth. Furthermore, by having one or two focal persons at UNDP dealing with IPs, especially counties, resolving of issues is more efficient. The input of all members of the Project Support Team is critical at each juncture of the implementation cycle.

Table 6.6 Progress Towards Achievement of Targets for RA 6:

Output	Indicators Baseline and Target	Planned	Value Achieved	Programme support
Output 6: Improved Output 6: Improved Programme Management Support to the devolution programme	Indicator 6.1: No of Staff engaged. Baseline 1 (2013). Target 7 (2018).	7	6 (85.7%)	a. 6 members of staff recruited: Technical Advisor, Programme Manager, Programme officer, M&E officer, procurement officer and Programme Associate. b. Finance Officer is yet to be recruited. c. The project steering committee meeting that approved the 2016 AWP, also approved the position for an additional programme officer for county support due to the increased workload of the additional 8 counties. This position is yet to be filled.
	Indicator 6.2: Unqualified Audit reports. Baseline None.	At-least One	One per programme year (100%)	Unqualified 2014 and 2015 audit reports for the Project.
	Indicator 6.3: Positive evaluation reports. Baseline None; Target -positive 2018.	Positive 2018	Positive (100%)	a. UNDAF MTE was conducted and indicated that governance and accountability outcome is on track. b. Midterm evaluation ongoing

Box 6.14

Finding 10: *There is effective and competent coordination of the programmatic and operational aspects*

Conclusion 10: *Programme management has been enhanced because of effective and competent coordination of the programmatic and operational aspects*

6.3 Efficiency of the Programme

Programme efficiency sought to establish extent of resource mobilization and also assessed the extent to which inputs contributed cost-effectively to realization of outputs. The programme was to be implemented over a period of four years, 2014-2018 with a budget of 35 million USD. The amount pledged was to be disbursed annually by the

various development partners in accordance to the respective agreements with UNDP. The donors came on board at different times between 2014 and 2015. So far a total of USD 19.67 million has been mobilized which translates to 56.2% of the envisaged total programme resources in the ProDoc.

Table 6.7 Resource Availability from Donors

Donor	Budget (USD)
DFID	817,242
	10,000,000
Norway	1,388,422
USAID	3,500,000
Sweden	3,168,972
UNDP	97,490
	200,000
UNICEF	50,0000
Total	19,672,126 (56.2%)

The MTR noted that there is no resource mobilization strategy for the programme. While effort has been made by both UNDP and the main national implementation partners, MoDP and CoG to mobilize resources, this has not been done in a systematic way and in the case of the government partners, it is mainly done whenever there is a meeting called to discuss other programmatic issues and resource mobilization is mentioned as an additional agenda. UNDP has continued to engage development partners bilaterally to mobilize for additional resources, but in 2016 no additional resources were secured, although UNDP by end of September 2014 had added an additional USD 200,000 to the programme.

The additional financial resources from UNDP are impacting on the programme activities supported especially the governance component, whose demand for county support has increased tremendously especially with the additional 8 counties brought on board in 2016. A case in point is the AWP for 2016, where the total budget under UNDP was USD 8,804,464 but the available resources was USD 6,770,383. As at 30 June 2016 the total amount of deficit was USD 2,889,982 which was yet to be financed by any of the DPs. This has also hindered the continuing of UNV support to counties despite the high demand for the expertise. The DRR/CC and gender components were fully funded by DFID under designated funds in the programme.

> **Box 6.15**
>
> **_Finding 11:_** _Other than not having a resource mobilisation strategy, the programme has been able to raise 56.2% of the resources required._
>
> **_Conclusion 11:_** _The resource situation could not only hamper efficiency but long term sustainability as well._
>
> **_Recommendation:_** The programme should develop a vibrant resource and mobilization strategy.

6.3.1 Resources Utilization

Out of USD 19.67 million so far mobilized, US$ 11,770,057.78 had been disbursement by donors out of which US$ 11,356,549.83 had been expended as at 30 September 2016, translating to a cumulative delivery rate of 76%.

The programme used direct payment method where IPs undertake activities and UNDP pays the service providers directly. Some of the services paid for include training under KSG and other training providers, system development, consultants in various fields, training/workshop venues and materials, resource persons, communication materials, surveys and other studies.

In 2015, each county was allocated 250,000 USD to undertake several activities under the programme. This amount reduced in 2016 to 200,000[20] USD per county, which was informed by several factors including, amount expected to be disbursed by donors as per various agreements, some of the donor agreements such as Norway were coming to an end by mid-June 2016, and the additional support that needed to be given to the 8 new counties.

The Programme partnered with several institutions at both the national and county levels for effective and sustainable project execution. At the national level, these institutions included MoDP, CoG, KSG, CRA, IBEC and the National Treasury. At the county level, the Programme was implemented through county governments[21]. The programme has mainstreamed gender through several avenues including support by TA to the counties as well as undertaking it directly. Moreover, gender mainstreaming into public financial management, has also been undertaken through a partnership with UN Women.

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[20] [20] It is important to point out that out of this 59% was funded translating to about USD 118,000. No additional resources were secured in 2016 to cover the unfunded budget

[21] Bungoma, Busia, Elgeyo Marakwet, Embu, Homa Bay, Kajiado, Kericho, Kilifi, Kirinyaga, Kisumu, Kitui, Kwale, Laikipia, Marsabit, Nakuru, Narok, Nyeri, Samburu, Taita Taveta, Turkana, and Vihiga

Box 6.16

Finding 12: The national partners have helped in executing the project activities within their mandates thus saving time and resources. Training of the county officers has been successfully carried out by KSG, KLRC, CoG and UN-Women. Implementation of the county activities through existing government structures has enhanced ownership of the achievements of the Programme and thus ensuring sustainability.

Conclusion 12: This approach of implementing the programme through partnering with several institutions at both the national and county levels for effective and sustainable project execution has accelerated achievements of its results, towards the achievement of the overall programme goal of Kenyans enjoying a participatory devolution process that is well understood by stakeholders, adequately coordinated and equitably resourced for a delivery of accessible and quality services and well managed at all levels by 2017.

Programme Expenditure:

The programme has so far utilized approximately *76 percent* of the financial resources as at 30 June 2016, which translates to USD 9,689,220.88out of USD 12,674,493.08disbursed by the various DPs as shown in Table 6.8

Table 6.8 Financial Resources Utilization as at 30 June 2016

DP	Disbursed	Expenses	delivery rate
UNICEF	50,000.00	48,287.40	96.57%
UNDP	430,534	382,045.33	88.74%
Norway	2,593,931.00	2,311,941	89.13%
DFID	3,297,727.64	2,016,301.90	61.14%
SIDA	2,802,300.44	2,685,424.61	95.83%
USAID	3,500,000.00	2,245,221	64.15%
Total	**12,674,493.08**	**9,689,220.88**	**76.45%**

From Figure 6.4 DFID and USAID have disbursed majority of the finances used to implement the programme. Moreover average rate of absorption of the finances is approximately 85 percent. It is however noted that majority of the donors disbursed their funds in 2015 and this can be attributed to the successful implementation in the pilot counties.
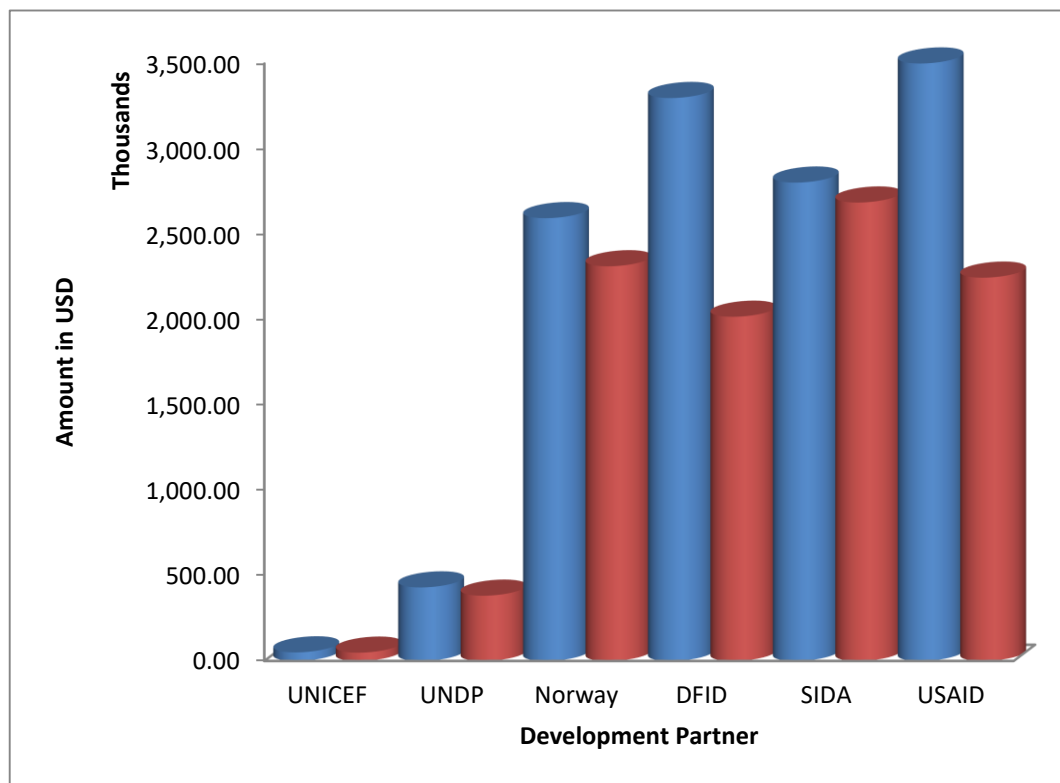
Figure 6.4   Financial Resources Allocated and Utilized by the Programme as at 30 June 2016

Financial resources for the programme were channelled through the IPs and as at 30 June 2016 a total of USD 9,689,220.98 had been utilized. This is illustrated in Table 6.9

Table 6.9   Expenditure by the Implementing Partners as at 30 June 2016

Implementing Partner	2014	2015	30-Jun-16	Total as at MTE
MoDP	417,865.75	494,953.05	430,505.00	1,343,323.80
CoG	174,735.17	520,482.96	803,111.07	1,498,329.20
TA	307,700.31	494,953.05	109,918.00	912,571.36
CRA	86,906.15	260,576.64	11,289.00	358,771.79
IBEC	95,310.09	163,322.67	88,807.56	347,440.32
KSG	267,700.13	933,361.48	242,433.62	1,443,495.23
Support to CIDPs	140,620.18	1,668,339.32	846,908.73	2,655,868.23
Project Management	152,390.22	295,895.84	319,122.69	767,408.75
UN Women			188,629.54	188,629.54

NDMA				173,381.79	173,381.79
Total	1,643,228.00	4,831,885.00		3,040,725.21	9,515,838.21
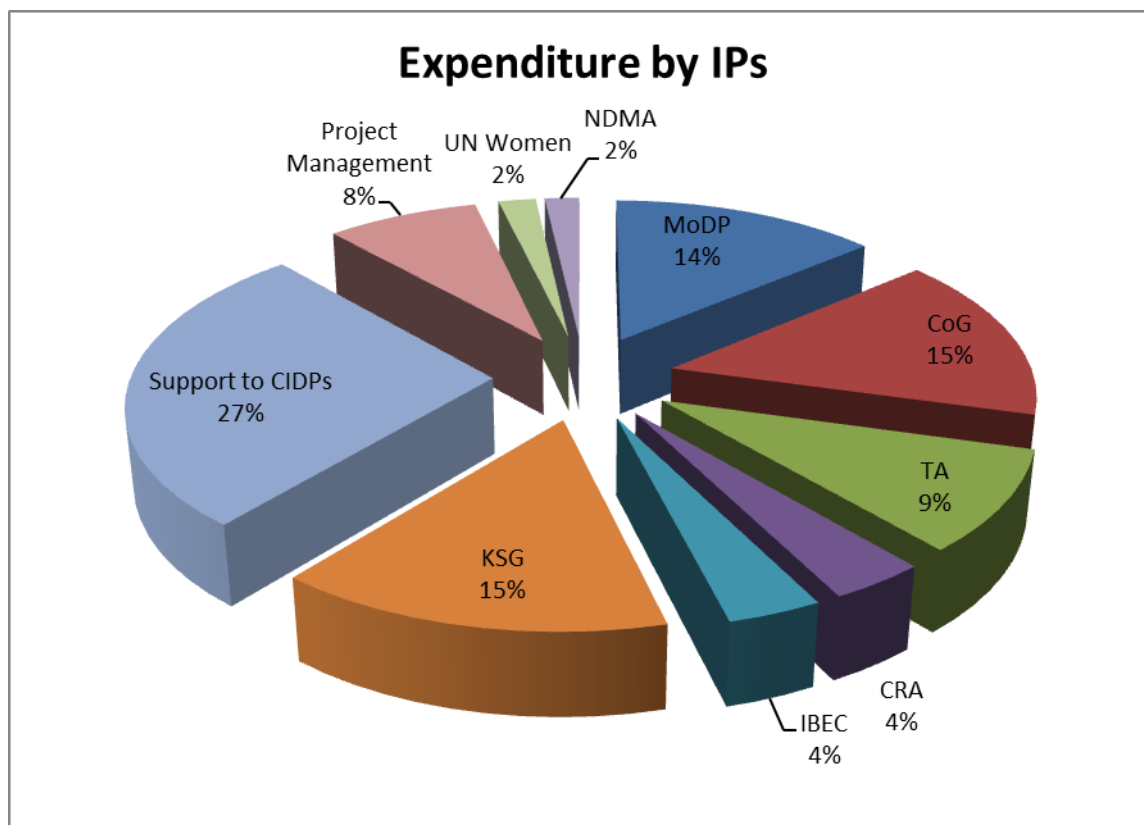
Figure 6.5 Expenditure by various IPs as at June 2016

From Figure 6.5 it is evident that the highest level of expenditure was towards support to revision on CIDPs for the county. This was important as it enabled the counties to undertake various assessments that informed the activities to be undertaken. KSG and CoG have both used up 15 percent of the financial resources to conduct their activities.

The programme however budgeted to undertake the various activities under the five pillars identified. A summary of the expenditure is given in Table 6.10

Table 6.10   Total Planned and Actual Expenditure for the Programme

Year	Annual Work plan Budget	Resource Received	Deficit	Proportion of Budget Funded%	Actual Expenditure	Delivery rate %
2014	10,368,000.00	7,549,385.00	2,818,615.00	72.81	**1,643,228.00**	21.77

| 2015 | 9,919,005.00 | 7,656,156.00 | 2,262,849.00 | 77.19 | **4,831,885.00** | 63.11 |
| 2016(as at June) | 5,607,155.00 | 5,311,505.00 | 295,650.00 | 94.73 | **3,040,725.21** | 57.25 |

From Table 6.10 we can see that in 2014 the programme only utilized 21.77% of the planned expenditure. This could be attributed to the teething problems of the programme as well as the fact that the programme was being implemented in only three counties.

6.3.2 Results Through Joint Programme Modality in Marsabit and Turkana

The support to the Turkana County Government, given through the UNDP Joint Programme, has made some milestone achievements. First, the organisation and delivery of the inaugural Turkana County Investment Conference and Trade Fair which attracted potential investors and showcased investment and trade opportunities in Turkana County. The UNDP supported publicity and branding of the Investment Conference thereby marketing the county to potential investors.

Turkana has been able to map all their resource areas which clearly depict the resource potential for investment in Turkana County. There source map will be used to establish sustainable exploitation mechanisms of the resources and attract investors.

UNDP has enabled the county to finalize an investment plan that has paved way for the investment policy and laws.

Additionally, improved service delivery mechanism through the performance system for Turkana County is at an advanced stage of being finalised. The system is being developed by a private consultant and it will be an integrated system that has performance contracting, Result based management system, monitoring and evaluation system as well as strategic planning system. UNDP is supporting the PMS in the county through the ISPDP.

The county has been able to receive strengthened strategic leadership through development of strategic plans. The Strategic Plan for the Office of the Governor was finalised and highlights the key strategic direction that office will adopt in steering the county towards enhancing its service delivery. UNDP has assisted the county to undertake a comprehensive assessment that informed the revision of the county's CIDP. A revised CIDP is now in use in the county and inform decision making in the county.

Box 6.17

Conclusion 13: The Joint Modality Programme implemented in Marsabit and Turkana Counties has yielded exemplary results as evidenced in Turkana County that was sampled.

Finding 13: Turkana county has been able to achieve several milestones in a shorter time span thus enabling them to be more effective and efficient during service delivery.

6.3.3 Value for Money

At its conceptualization, the ISPDP aimed at reaching 13 counties at a budget of USD 35million. By midterm the programme had reached 21 counties and spent USD 19.7 million (56.2%). However through existing government structures such as CoG, KSG, KLRC and MoDP it is safe to conclude that the programme has effectively impacted on all the 47 counties.

Borrowing from DFID's definition of Value for Money (VfM), ISPDP has been able to ensure that the resources received have been utilized satisfactorily. The use of local implementing partners with vast experience in their areas of specialization not only ensured that the inputs are of high quality but also affordable.

Moreover the programme is deemed to be "on track" with majority of the planned activities having been undertaken on time. Quantitatively speaking the programme as achieved its targets as evinced by some of the success stories highlighted in Section 6 but the quality of some of output is wanting.

Interventions such as capacity building have greatly assisted the counties in developing laws, policies and frameworks that have ensured improved service delivery. Training on Financial management has enabled county staff members to prepare AWP and budget for the anticipated activities. An example of such improvement has been evidenced in Turkana County which has been able to increase allocation for HIV/AIDs awareness. However qualitatively speaking, the programme did not incorporate an evaluation mechanism for assessing the quality of policies and frameworks and the impact of training on the consumers of government services.

Box 6.18

The programme seems to have over achieved the targets set as at the time of its inception. Having received 56.2 percent of the financial resources required to efficiently implement

it and with a delivery rate of 76 percent and an average of 100 percent target realization, it is safe to state that there is good VfM. However it is important to note that either the programme was overpriced (at ceteris paribus) or the targets set were understated.

6.4 Programme Management and Monitoring

6.4.1 Monitoring of Programme Results

The Project Document had formulated the 6 result areas to be achieved by the programme and the specific outputs for each pillar. Furthermore, each output had key performance indicators with baselines and targets for tracking results. An update of the indicators has already been provided under effectiveness in Section 3.2 above. The programme indicators and targets were found to be relevant, realistic and measurable except for indicators 2.1 and 3.1.

Indicators 2.1: Percentage of Supported Counties whose plans and budgets are approved by Commissioner of Budget (CoB). *Baseline 40% and target 80%.*

The MTR pointed out that the target is not specific enough to elaborate whether it is percentage of counties whose plans and budgets are approved after first submission or after submitting several times to the CoB. This is because, essentially, all county budgets must be approved by CoB if the counties are to function.

A definition for this indicator, e.g. stating that measure of percentage of supported counties whose plans and budgets are approved in a timely manner by the CoB", would address this ambiguity.

Indicator 3.1: The existence of disaggregated data to inform socio economic development.

Baseline: National and county policies, plans, and strategies informed by analytical studies and quality disaggregated data; disaggregated data to monitor MDGs, human development issues available; national and county development priorities; inadequate capacities at county level including on financial absorption.

Target: At least 50% development policies and plans are informed by quality disaggregated data; system in place by 2016 to monitor MTP II implementation progress.

The MTR has noted that the targeted areas of intervention are too broad to be effectively monitored/evaluated. Too many factors can inform changes in socio-economic development of a country. The threshold number of development policies and plans informed by the availability of disaggregated data should be specified. There is a risk of

the programme relying on development policies and plans that intervene on a narrow number of sectors in the economy. Furthermore, the baseline value should provide an indication of the sectors that are facing a dire shortage of disaggregated data.

The programme can retain this indicator as an outcome indicator to which it is only contributing to or to revise the indicator to be specific to the socio-economic areas the project is addressing, but which nevertheless may still raise the issue of attribution versus contribution since there are many actors in this development space.

Monitoring and Evaluation Capacity of Implementing Partners

Programme monitoring and evaluation is undertaken through liaison of IPs focal persons whose roles and responsibilities are discussed in detail in section 3.4.3.1 below. This is the avenue through which all activities are channelled through to the relevant persons on the ground. It ensures effective delivery of the activities as they are being undertaken by various members of the county. Upon completion of assessments the UNDP focal person submits M&E reports to UNDP. This ensures effective delivery of the activities as they are being undertaken by various members of the county.

Despite M&E capacity gaps at IP level, there are nascent M&E management structures that monitor the program. Turkana County had an M&E unit comprising of 4 staff members who were trained under the programme. The training has enabled them to undertake their activities effectively. The M&E Unit in Nyeri County benefited from laptops and printers allocated to the County by UNDP. The unit receives reports from the various departments and undertakes M&E according to their work plan. Laikipia and Nyeri counties are in the process of finalizing their M&E Indicator Frameworks which will ease management of projects in the counties. Counties that have M&E frameworks conduct monitoring at departmental level on monthly basis and reports submitted to the M&E units at county level. Thereafter the M&E unit undertakes M&E on quarterly basis and submits reports to the county executive who use the information to inform and advice on progress of the various projects.

It was observed that all the counties sampled except Kericho and Kilifi had M&E units which were adequately staffed and with sufficient equipment. Some of this equipment was delivered to the county governments through the programme and thereafter sent to the M&E units of the county.

Monitoring and Evaluation at UNDP

The ISPDP Project document spells out the M&E of the project. This should involve tracking processes (efficiency), as well as, performance on the basis of specific expected

results, using predefined indicators. Monitoring of activities is deemed as primarily the responsibility of the responsible partners and the programme management at UNDP. Based on the National M&E Framework, it was envisaged that an M&E framework would be developed and support provided to the partners, and which it indeed it does as is evident from the findings above.

Monitoring entails the following:
- Annual work-plans;
- Quarterly progress reports ;
- Joint field missions and joint reviews;
- At least one mid-term (this particular MTR) and an end-term evaluation be undertaken by an external consultant:

For County specific support, it was envisaged there would be need to develop results frameworks that can track progress made by various counties on the interventions being supported by UNDP. Technical support has indeed been provided by an M&E officer who facilitates in consultation with MoDP, the development of an M&E framework and tools for data gathering and results reporting. The officer also provides technical support to the responsible partners on M&E and organises training and coaching sessions. Monitoring and reporting are a joint responsibility between the responsible partners and UNDP.

Within the annual cycle
- On a quarterly basis, assessment records progress towards completion of key results and their, contribution to programme outcomes;
- the risks are regularly updated by reviewing the external environment that may affect the programme's progress;
- The Programme Management Team compiles and prepares joint quarterly progress and financial reports;
- Monitoring plan is prepared and updated to track key management actions/events;
- Joint review meetings are held between the key stakeholders in order to review progress of the programme in order to make fundamental decisions on whether to proceed or terminate activities .

Annual M&E Reporting

Annual Review Report- An annual review report is prepared by the Project and shared with the Project Steering Committee. As minimum requirement, the Annual Review

Report should consist of updated information for components of the programme as well as a summary of results achieved against annual targets at the output level.

Annual Programme Review

Based on the above report, an annual programme review is conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this MTR will be a final assessment. This review is driven by the Project Steering Committee and may involve other stakeholders as required. It focuses on the extent of progress towards outputs, and that the outputs remain aligned to appropriate outcomes.

Evaluation

An independent evaluation would be conducted as agreed upon by the Project Steering Committee to assess the realised results against the planned results, assess key project implementation issues, fiduciary responsibility, and draw lessons learnt and make recommendations for future programme support. There would be a midterm evaluation (which is this MTR) and end term evaluation for the project.

Box 6.19

Finding 14: *The MTR is being undertaken by Log Associates and the programme can be summarized as being "On Track". Only one pillar of the Programme was "Partially On Track" due to financial constraints that came about with the increase in the number of beneficiaries of the programme.*

Finding 15: *Despite gaps there are nascent M&E capacities among the IPS.UNDP has an effective M&E framework that also provides capacity building and technical assistance to the IPS.*

Conclusion 14: *the M&E capacities of the counties have markedly improved and alongside the capacity of UNDP provided effective M&E for the project.*

6.4.2 Programme Risks and Assumptions

At the design stage, programme risks and assumptions were well thought and highlighted with clear mitigation measures. Furthermore, risks are updated in every quarterly report of the programme.

a) **Risks**

Table 6.11; Summary of Risks and Mitigation Factors of the Programme

1: Disagreement on the amount of revenue to be allocated to counties.	The release of budgetary allocation to the counties, particularly lateness in disbursements, continues to pose challenges in the implantation of devolved governance. The IBEC was supported to hold collaboration meetings that developed and adopted guidelines to enhance resource allocation to the counties.
2: Inadequate funding for the project.	The project budget of USD 35 million envisaged in the ProDoc is yet to be realised though UNDP continues to work with national and county governments and development partners to enhance resource mobilization. There are too many actors in the devolution space, thus competing from resources from DPs such as DFID that is funding UNDP, the World Bank, and AHADI.
3: Weak transparency and accountability for use of resources.	UNDP has played its role of fiduciary responsibility for resources entrusted to it, by undertaking programme spot-checks, programme visits and audits. The project received unqualified audit in 2016.
4: Coordination and programming duplication by UN Agencies, Development Partners, and GoK entities.	There exists duplication in programming between UN agencies, development partners and GoK. One such incident is duplication in the development of model laws for county government. The MoDP together with KLRC and CoG were to develop these model laws that were to be used to guide county officers in formulation of their own laws. However MoDP and CoG has developed model laws separately.. The UN Devolution Working Group, the Devolution Donor Working Group and Devolution Sector Working Group continue to harmonize any duplication witnessed through synergizing and collaboration in implementation of similar activities.
5: Fiduciary management.	Need for adoption of austerity measures in resources expedition at county level. The Office of Controller of Budget has in the past raised concerns about the need for improved accountability, prudence and fiscal discipline in terms of austerity measures at county level. The counties have been requested to: control both domestic and foreign travel; control of the use of government vehicles especially after office hours; enhance revenue collection through automation; control cost of advertising by providing web links to full adverts; and reduce use of consultants.
6: Elections: The project is currently considering a number of factors related to the 2017 elections that may pose a risk to programming. Some of these risks include; • Misappropriation of county resources during election	**Training**: the project will strive to identify and target government officers who will remain in their positions after the general election for any training supported under the project. This will enhance smooth transition and sustainability. **Timing**: experience has shown that in approximately three months before any general election, implementing partners will be distracted to the events towards the election and little time

campaigns • Staff turnover after elections. Officers such as MCAs and CEC members are not permanent offices of the county • Misuse of equipment given to the county governments under the programme for personal and political interests	maybe left for project implementation. In case that happens in 2017, the project would use this period to focus on: gathering/sharing lessons learned; conduct monitoring and evaluation activities; and planning for project implementation after the elections. **Programming**: the project will ensure that project activities and equipment are not used, or perceived to be used, for personal political gains and interests in particular civic education and public participation activities.

b) Assumptions

Some of the assumptions made while developing the programme were;

a. Programme resources will be mobilized and available to the programme as required. This assumption has not quite happened as to date resources mobilized are at 52%.

b. Programme implementation will be on course and targets will be achieved.

c. Information sharing will be effective and will be enabled.

d. Commitment of the national and county governments to the implementation of the programme.

e. Institutional capacity to implement the programme.

Box 6.20

Finding 16: *The risks and assumptions remain largely correct except for the assumption that adequate resources for the programme would be more forthcoming.*

Conclusion 15: *that only 55% of resources required have been raised probably compels one to think that the matter of paucity of needed resources is a risk.*

6.4.3 Roles and Responsibilities of Programme Partners

a) Programme Management

UNDP plays a lead role in project management. As the lead, UNDP provides the Secretariat for the running and coordination of the activities and overall management of the programme. The team provides support to IPs especially the counties due to the constrained capacity at the county levels and lessons learnt from recent programmes. They also ensure high standards of and accountability and reporting in compliance with UNDP and other donors' requirements.

At the IP level there is a focal person who oversees and coordinates the UNDP supported activities. This is the liaison person for the project and is responsible for implementation and reporting. To enhance their capacity, UNDP conducts training for the focal persons at least once annually in key programme areas including: procurement, M&E, project finance policies and procedures (HACT), programme management and reporting.

At county level, the focal person liaises closely with the county secretary, CECM Finance or administration and devolution. These are also the three signatories for the programme and after delivery of services, the three county officers sign requests for payment for services rendered before it is submitted to UNDP for payment.

b)   Project Steering Committee (PSC)

The project oversight rests with project steering committee (PSC) which is co-chaired by UNDP and MoDP and meets quarterly. They are responsible for making management decisions on a consensus basis. They also approve annual work plans, review progress and results and may adjust activities in response to emerging needs in a changing and dynamic implementation environment. Additionally, they provide overall policy direction and make approval on project implementation. PSC comprises of:

a. Executive: Ministry of Devolution and Planning who are the programme owners

b. Senior supplier: UNDP, UNICEF, SIDA, Norway, UN Women who are the programme financiers

c. Senior beneficiary: MoDP, CoG, CRA, and select sector ministries and agencies who represent the interests of the individuals who will ultimately benefit from the programme. CoG represents the counties.

c)   Project Technical Committee

The Technical Committee comprises of sub-committees organised according to the 5 pillars and meets on a monthly basis. The main responsibility of the Technical Committee is to ensure that implementation is undertaken as per approved plans and that project monitoring and reporting is undertaken. The technical committee provides quality assurance on the results.

d)   Devolution Steering Committee and Devolution Donor Working Group

The programme has a Devolution Steering Committee that is headed by the Cabinet Secretary of the MoDP. There is a DDWG that meets quarterly and is comprised of representatives from the supporting agencies/development partners. From these meetings,

the DDWG gathers information from monitoring missions conducted and consequently uses this data to inform the risks identified while programme is being implemented. The DDWG thereafter develop and recommend mitigation measures to resolve the risks identified in the risk register.

As at the time of the evaluation, the DDWG has had several meetings held. Out of which some of the key issues raised include;

a) **Inadequate funding for the project.** The project budget of USD 35 million envisaged in the ProDoc is yet to be realised though UNDP continues to work with national and county governments and development partners to enhance resource mobilization.

b) **Coordination and programming duplication by UN Agencies, Development Partners, and GoK entities.** There exists duplication in programming between UN agencies, development partners and GoK. The UN Devolution Working Group, the Devolution Donor Working Group and Devolution Sector Working Group continue to harmonize any duplication witnessed through synergizing and collaboration in implementation of similar activities.

c) **Fiduciary control and management support requires greater attention in counties.** Systems to prevent malfeasance are critical as is training on ethics and integrity. County internal audit/oversight and external audit/oversight bodies including County Assemblies can be strengthened. Value for money approaches could be utilized.

Box 6.21

In summary the programme structure has functioned well with each of the committees having adequately defined responsibilities. it is however necessary that the DDWG, PSC, PTC, DSC, continue to harmanize their activities to reduce redundancy and duplication of efforts.

Recommendation: The programme also requires some beneficiaries' representation at the policy level to provide feedback on hehalf of the beneficiaries.

e) **Realization of Outcomes Relative to Programme Timeframe and Resources**

Given the findings of the Evaluation especially under the sections on Programme Effectiveness and Efficiency (6.3 and 6.4 respectively), the MTE can categorize achievement of each programme outcome (output) as being largely on track, or the programme is within target plans. The MTE has used the following rating for achievements of outcomes:

- On track, the programme is on course in achievement of targets.
- Partially on track the programme is lagging behind its targets.
- Off track where the programme is completely off its set targets and achievements.

Table 6.12 Summary of Outcomes of ISPDP in Kenya.

Output	Performance
Output 1: Policies, laws and institutional reforms for effective implementation of the CoK at national and county levels are adopted	On Track
Output 2: Strengthened institutional and human capacities at national and county levels evident in supporting national and local development.	On Track
Output 3: Evidence based planning and budgeting for improved service delivery at County level in tandem with reduced security threats and improved response to risk and disaster in selected counties.	On Track
Output 4: Citizen Participation mechanisms and processes strengthened to ensure effective and equitable service delivery and people-centred devolved system of government.	Partially on Track
Output 5: Pilot testing of full local development cycle including participatory planning, budgeting (including gender responsive budgeting), local level implementation capacities performance and change management, monitoring and learning.	On Track
Output 6: Improved Programme Management Support to the devolution programme	On Track

Overall the programme is on track and has been able to achieve the set targets despite the few challenges and lessons being learnt. The time frame for the project (2014-2018) is also sufficient for project implementation since it is only half way and tremendous achievements have been made.

However, in regard to availability of resources, the MTE has already noted in section 3.4.1, above that the resources so far mobilized are insufficient (55% of targeted programme resources) and more resources need to be mobilized in order for the programme results to be realized. The situation has been aggravated by the additional 8 counties that were brought on board in 2016

6.5   Social and Environmental Standards

Social and environmental sustainability are cornerstones of human development. UNDP social and environmental standards (SES) require that all UNDP programmes and projects enhance positive social and environmental opportunities and benefits as well as ensure that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. The key issues observed under the UNDP SES include; Human Rights, Gender Equality and Women Empowerment, Environmental Sustainability, Climate Change Mitigation and Adaptation, Disaster Risk Reduction (DRR)

At its inception the ISPDP incorporated some of these issues including, Human Rights, Gender Equality and Women Empowerment and Disaster Risk Reduction. Issues of Environmental sustainability (ES) and climate change adaptation were not adequately captured. However various counties in their CIDPs have captured these issues (CCA and ES) under the National Environmental and Climate Change Adaptation Frameworks.

Box 6.22

Disaster Risk Reduction component was implemented through three main stages; a) General DRR Capacity building, b) Hazard Mapping, and c) Capacity building on utilization of hazard maps. So far the programme has been able to train County Executive members, MCAs as well as technical staff from various departments in the counties on DRR. Additionally, the programme has been able to coordinate DRR structures at county level with an aim of aligning them to the ideal DRR frameworks.

UNDP has been able to map out risk areas in 3 counties; Baringo, Kilifi and Kwale as well as assist Turkana, Kwale, Kilifi and Baringo counties to develop DRR policies. UNDP has also worked national government and developed a strategic DRR framework. Baringo county was facilitated to revise their CIDP to include climate change adaptation measures through drafting of a contingency plan for drought. However no activities have been undertaken under capacity building on utilization of hazard maps.

6.5.1   Gender Equality and Women Empowerment

UNDP strives to promote gender equality and the empowerment of women as part of its human rights-based approach to development programming. The Programmes and Projects are gender-responsive in design and implementation

Box 6.23

It was observed that gender equality is highly promoted in the programme as discussed in Section 6.2.3 of this report. Women have also been empowered as county development plans are advised from SIR which gives women and children preference. This was evidenced in Nyeri County

where FY2015/2016 they allocated 100M KShs towards women and Laikipia County giving loans to women at low interest rates.

Box 6.24

It was noted that the programme was yet to undertake any activities in line with Environmental sustainability. Therefore UNDP should undertake ToT on the importance of environmental protection, conservation, maintenance and rehabilitation of natural habitats. Thereafter they should follow up on the trainees to ensure that the cascade the knowledge to the citizens.

6.5.2   Climate Change Mitigation and Adaptation

Climate change is a fundamental threat to sustainable human development. It may aggravate extreme weather events, increasing the risk of high impact disasters. The programme is sensitive to climate change risks and does not contribute to increased vulnerability to climate change.

The programme so far has assisted CoG and the Ministry of Land, Housing and Urban Development to develop a spatial planning framework. This framework will guide counties in mainstreaming climate change adaptation as well as disaster risk reduction. This framework has been validated by the various key stakeholders and currently is awaiting validation from the MoLHUD before being approved and adopted. However there is need for capacity building of national and county officers on the various aspects of the developed spatial planning framework.

Additionally, the programme has rolled out an assessment for GIS analysis in 24 counties. The programme also supported the mid term review of climate change adaptation under MTP II. The findings from this review will inform drafting on MTP III. The CCA unit under the programme is also in the process of domesticating the Paris agreement of 28 December 2016. Under the area of climate change adaptation the agreement states that;

"Governments agreed to
- strengthen societies' ability to **deal with the impacts** of climate change;
- provide continued and enhanced international **support** for adaptation **to developing countries**."

Box 6.25

There is need for a climate change risk assessment to be done as part of the social and environmental assessment process. This will ensure that proposed activities or any other that

sprout from the programme are screened and assessed for climate change-related risks and impacts. If significant potential risks are identified, further scoping and assessment of vulnerability, potential impacts, and avoidance and mitigation measures, including consideration of alternatives to reduce potential risks, will be required.

There is need for rigorous capacity building to ensure that county officers are able to develop spatial plans that are county specific in order to mitigate against any climatic changes.

6.5.3   Preparedness for Social and Environmental Disasters

At the national level, Kenya has made some progress in mainstreaming Disaster Risk Reduction (DRR). The county governments with ISPDP support have also tried to match this progress and establish disaster management units.

Kericho County- has established a disaster management unit under the department of public service. The unit has two fire engines but no fire station.

Bungoma County - There is more progress as a disaster management unit has been established under the Department of Special Programmes. The County has developed a Disaster Risk Reduction policy which stipulates for an emergency fund (2 percent of the total budget),

Turkana County- has a fully-fledged Disaster Risk Reduction Unit with budgetary allocations for the various activities that it undertakes which include but is not limited to managing disasters that occur due to climate changes such as drought and social conflicts. The establishment of this unit has enabled the county to create awareness to county members and improve on their resilience towards disasters. In case of any incidences the county government is able to respond efficiently as it does not have to rely on the national government for support. Taita - Taveta has set aside funds for disaster risk management as well.

Kisumu County- has drafted the County Disaster and Emergency Management Act 2015 to coordinate all disaster management activities in the county. The Act also provides for establishment of disaster management fund which gets a percentage of its budget.

Box 6.26

Finding 17: There has been effective provision of capacity in DRR in the counties and nascent systems are operational is some of the counties.
Conclusion 16: The capacities and nascent systems in place have huge potential for scaling up

DRR.

6.5.4   Addressing Gender and Youth Issues

In regard to GRB, Bungoma County established a ministry of gender which is funded under the main budget, a women and youth empowerment fund and a bursary fund where each Ward is awarded Ksh. 4 million in every financial year. Moreover, Turkana County was working to incorporate the social intelligence reports data in its CIDP to enable it capture gender aspects in its budget plans. An advisor seconded from the UN-Women was also working with the County's Directorate of Economic Planning to mainstream gender issues in Turkana County budgeting process.

Kisumu County has faced challenges in developing gender related budgets because the attendance of women in the public meetings is low. This is attributed to low level of education and cultural beliefs. Notwithstanding, the country has managed to create a women fund from their budget.

Kericho, Kilifi and Laikipia counties have not adopted gender related budgeting in their plans but in the month of October 2016, their officers were trained on gender responsive budgets. They hope to implement the skills in the next budgets.

A standout example of how the programme has involved the youth in the implementation – are the national UNVs, most of whom are youth. Taita -Taveta County used the youth to conduct the Citizen Satisfaction Survey. Another human rights based approach is ensuring gender balance in training, and employment of UNVs.

Box 6.27

Finding 18: Immense progress has been made in the realm of gender equality and equity and some effort has also been made to try put the youth in the picture.
Conclusion 17: A lot more could be done to mainstream the intergenerational equality and equity issue, particularly given the fact that Kenya has a major unemployment among the youth problem.

6.6   Impacts

The MTE sought to assess, to the extent possible, the impact of the project on devolution by establishing whether there is any major change in the indicators that can reasonably be attributed to or associated with the project as well as impact of programme in enhancing service delivery by the counties.

Even though the programme is only half way its life cycle, some impact has been achieved. Some of the areas where impact has been evidenced in the programme includes but is not limited to:

6.6.1 Performance Management System

The training on change and performance management and establishment of PMS, under the UNDP support has had a great impact on how county staffs carry out their day to day activities. Kisumu and Bungoma counties have been able to cascade performance contracts from the Ministry of Devolution and Planning to the lowest levels of staff. Appendix 6.9 shows performance targets for the staff under the Department of Agriculture in Kisumu County. Kitui County has developed the "County ICT Strategy 2015–2020" and rolled it out by training its staff in application of ICT to performance management and in enhancing service delivery. Supervisors in Bungoma County during monitoring visits by UNDP staff reiterated that officers are taking their work seriously as they have targets to deliver in their PCs under the county PMS.

6.6.2 Resource Management

Counties can now identify priority activities and budget for them accordingly. Additionally, they are able to collect more revenue due to appropriate measures put in place such as automation of revenue collection. This can also be attributed to proper urban planning and appropriate procurement procedures being followed, to which training under the programme contributed.

Box 6.28

Nyeri County for example has been able to manage its resources better and collected more revenue in the last two financial years.

FY2014/15   collected KShs. 680,700,000.67
FY2015/16   collected KShs. 709,554,435.00

Even though their target was to collect KShs. 1 billion, they were still able to collect an additional 4 percent increase in the revenue collected from county. Additionally the county is outsourcing for Private Public Partnerships (PPP) to assist them undertake major projects. They are currently negotiating with an Italian Investor who will undertake a solar power project in the county. The county will give out land for the project and the investor will bring solar equipment. Thereafter the energy generated from this power plant will be injected into the national grid and revenue collected from this will be shared in the agreed percentages. The investor will hand over the project to the county government once they have recouped their investment money.

6.6.3   Monitoring and Evaluation

Monitoring and evaluation of projects being undertaken in the county has improved due to the training received by various officers in the county. Even though M&E units may lack sufficient capacity to undertake monitoring of their work plans, the M&E is conducted on a needs basis and informs various departments on areas that may need improvement and collected data/information assist in decision making.

Box 6.29

Case Study 1: Mr. Kennedy Mwangome, Sub-County Administrator, Ganze Sub-County, Kilifi
The officer was trained on M&E by the KSG, prior to which he had no training in M&E. Following the training, he holds monthly meetings with all Sub-County heads of departments to analyse monitoring data for projects and recommend corrective actions as necessary. A periodic evaluation of the impacts of the projects on the communities is also conducted by his office

M&E in the Sub-County has been cascaded to the Ward level, where M&E activities are headed by ward administrators. M&E activities include:
- o   Assessing the status of projects whether complete or not
- o   Following-up on contractors whose projects are incomplete
- o   Soliciting for public opinion and comments on quality and relevance of projects

M&E Report is submitted to the County Secretary through the Chief Officer in-charge of devolution. However, challenges faced include: financial and transport challenges, the county does not allocate funds to M&E. He advocates for efficient utilisation of funds to retain some for M&E and the need for county level officers to involve sub-county staff in their M&E activities

Recommendations: County performance contracts should be amended to include M&E activities; benchmarking tours can help in learning and entrancing a culture of M&E; inter-county peer review and competitions can improve public service delivery

6.7   Sustainability and National Ownership

As the programme will be coming to an end in 2018 it is important for national and county governments to be able to sustain the activities initiated under the programme.

6.7.1   National Implementation Modality of the Programme

At the national level, the Programme partnered with MoDP which is mandated to coordinate devolution activities and, as provided in the Fourth Schedule of the Constitution, support county governments to have the required capacities in undertaking their mandate. This partnership has been significant in achieving sustainability for the Programme as most of these activities are likely to continue beyond the life of the

programme. Moreover, the supported activities under the programme at the county level was effected in the context of their respective County Integrated Development Plans. This improved ownership of the Programme achievements and hence ensuring sustainability.

Box 6.30

Conclusion 19: *Partnership with the MoDP and other national IPs and support for the implementation of CIDPs augurs well for the long term sustainability of the programme.*

6.7.2   Capacity Building

The trainings conducted by the various partners, included many of the county officers and permanent staff whose tenure does not depend on political regime. This include HoDs, COs for various departments among others. The ToT approach also probes the officers trained to cascade the information to other officers at the county, sub-county and ward level.

6.7.3   Disaster Risk Reduction

Counties have developed Disaster Risk Management Framework which highlights how to improve resilience of community members to disasters. These counties have also allocated funds for undertaking DRM activities. All these activities have contributed to community resilience are sustainable beyond the life of the programme.

6.7.4   Polices, Laws and Frameworks

Laws and policies that have been developed in the counties aim at supporting devolution, maintaining law and order and overall economic growth and development at the counties. Furthermore, the 51 model laws create a sustainable point of reference for counties in their endeavour to develop county bills. Moreover, the devolution policy is a roadmap to guide and direct implementation of devolution, well beyond the project life.

Conclusion of Sustainability: While sustainability is cited in the implementation of activities described in this Section, there is need to develop an appropriate exit strategy for the programme. UNDP should work with other development partners in developing the strategy which should incorporate capacity building, enhancing county performance management and M&E systems. The strategy should also allow for success models of such systems to be shared between and within the counties. Additionally, they should

encourage inter-county relations that will initiate benchmarking and county visits for county-to-county learning. The strategy should also guide counties to budget for governance activities by reducing the allocations given gradually.

6.8 Partnership and Coordination for Effective programming

6.8.1 Role of Government , UN, and DPs in Project Design, Implementation, and M&E

The ISPDP in Kenya has developed partnerships among key stakeholders throughout the project cycle. During the design phase, UNDP held consultations with the national and county government counterparts including the MoDP, the National Treasury, the defunct TA, the CoG and some county governments. Further, UNDP presented the project document and received input from the UN DWG members and development partners.

The project implementation has involved participation of the implementing partners through work planning processes, while development partners have been engaged through the quarterly Project Steering Committee (PSC) meetings. The UN agencies and other development partners have been continuously engaged through the bi-monthly UN DWG meetings and the DSWG and the DDWG. These platforms have provided opportunities for sharing and feedback on project implementation, hence reporting on project progress.

Participation of stakeholders in monitoring activities was not as robust in the period 2014 and 2015 and limited joint monitoring activities were undertaken in 2016.

6.8.2 Empowerment of IPs in Their Roles and Responsibilities

A standout example of empowerment of IPs by ISPDP is IBEC, a new institution established in 2013 from the *Public Finance Management Act 2012*. Nascent years can be tough for any institution, more so when they are a by product of legislation that is principally geared to other things. Obviously there was not only a lack of clarity as to the exact role of IBEC, actually an organ whose existence very few Kenyans would know about, but so too was there barely any support from government. It is perhaps not be easy for bureaucrats to pick out an organ established by the PFM, and "buried" in the pages of the Act to include in the national budget. IBEC is different from other devolution related bodies that are either direct constitutional creations (such as the CIC, CoB, and CRA) or those directly created by statutory legislation (such as the TA). Yet IBEC is a crucial coordinating organ between the national and county governments in regard to budgetary issues, with a delicate moderating, mediation, and balancing role. Credit is due here to the

ISPDP for the facilitation of such processes and inculcation of the valuable perception of neutrality that IBEC enjoys. ISPDP also facilitates IBEC policy briefs and reports, as well as legislative and policy oriented processes. The programme also provided support staff to IBEC[22], a very vital need for any novel institution.

6.8.3   UN Agencies to Working Together

As already stated in more detail in sub-section 2.2.2 the UN is using the Delivering as One (DaO) approach to increase the impact of the UN system's interventions through more coherent programmes, reduced transaction costs for governments, and lower overhead costs for the UN system. The UNDAF 2014 – 2018 provides the policy and reference framework for delivery of joint programmes and advocacy works. The Integrated Programme has applied DaO's principles to leverage on the strengths and comparative advantages of the different members of the UN family. The **Joint One UN Strategy on Devolution** is informed by the desire to enhance the development impact of UN support to devolution; improve coordination between the UN, the Government and other partners and improve visibility and reporting of results.

Table 6.13 Roles in the One UN Delivering as One Strategy on Devolution

KRA	Lead Agency	Co- Leads	Other Actors
KRA 1: strengthened policy and legal framework for devolved governance	UNDP	UN- Habitat	UN Women, UNAIDS, UNFPA, ISDR, UNIC/UNCG, IOM, FAO, WHO, UNICEF
KRA 2: Knowledge, skills and tools for devolved governance developed at national and county levels	UNDP	UNOPS, FAO	WFP, UNICEF, UNEP, UNFPA, UNESCO, ISDR, UNIDO, UNIC/UNCG, IOM, ILO, WHO, UN Women
KRA 3: Evidence-based planning, budgeting and monitoring of services at county level enhanced	UNFPA	FAO	WFP, UNDP, UNAIDS, WHO, UNIC/UNCG, IOM, UNV, ILO, WHO, UN Women, UNICEF

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[22] It was the view of IBEC staff as expressed in an interview on the 17th of January 2017 that without the ISPDP IBEC would really strain. But admirably they also felt that if a parting of ways were to take place it would not necessarily be the end of the world. In thinking of the long term sustainability of IBEC they felt that the national Treasury has to come in and that they cannot entirely depend on UNDP.

KRA 4: Strengthened civic education, community participation and engagement on devolution	UNDP	UN Women	UN Habitat, UNICEF, IOM, UNV, FAO, UNIC/UNCG
KRA 5: Enhanced resilience and capacities for disaster risk management, peace building and conflict prevention	UNDP	FAO< WFP	UN Women, UNIC/UNCG, IOM, ILO, OCHA, UNICEF, UNESCO
KRA 6: Sustainable urban governance and development mechanisms, industrial development planning established and strengthened	UN- Habitat	UNEP, UNIDO	ISDR, UNIC/UNCG, IOM, UNOPS, UNICEF
KRA 7: Gender equality, women empowerment and human rights strengthened	UN Women	UNFPA, OHCHR	WFP, UNICEF, UNDP, UN Habitat, FAO, UN Women, UNIC/UNCG, IOM, ILO, UNESCO
KRA 8: Halting and reversing the spread of HIV and AIDS and mitigating its impacts at County Level	UNAIDS	UNFPA, WHO	FP, UN Women, UNODC, WHO, UNIC/UNCG, IOM, UNESCO, ILO, UNICEF, UNDP

CHAPTER SEVEN

LESSONS LEARNT, CHALLENGES AND FUTURE OPPORTUNITIES

7.1   Lessons Learnt

7.1.1   Civic Education

For any functioning democracy, citizens are key players in governance affairs. Active participation by citizens can only occur when they are adequately knowledgeable on values and principles of democratic governance. This study revealed a low level of understanding on devolution by citizens. There is also confusion on the separate roles and responsibilities of the two levels of government. Civil society plays an important role in civic education and independent oversight of the county government. The UNDP programme *Amkeni Wakenya* could partner with CSOs in this regard to accelerate the achievement of results under devolution. Equally important, public participation needs to be mainstreamed so that it is not perceived to be largely a non-state actor thing, or something at the periphery of the state. The *leit motif* of devolution is the expression of the people' s sovereignty, and which has been delegated to state organs at national and devolved levels. Doing something on behalf of other people, here the citizens and public at large, and largely without their participation is very unlikely to make it sustainable in the long run even if in the short to medium term marvellous results are attained.

7.1.2   Staffing

County governments generally have paucity of staff with skills and capacities in critical professions and vocations. County departments need support in critical areas such as in data and information management . As a mitigation measure to alleviate gaps in HR, The employment of short-term technical assistants complemented by qualified UNVs and internal ToTs will help counties develop human and technical capacities within a short time other than increasing their expenditure to attract qualified professionals. However engagement of technical staff for short term purposes by the implementing partners should be undertaken in conjunction with county governments so as to ensure continuity and sustainability even when there is no more financial support from UNDP.

7.1.3   Flow of Communication

The programme assumed that there would be ease in flow of information amongst the various agencies involved. However it was noted that there is a huge gap in the flow of information especially amongst the IPs. Ministry of Devolution and Planning also reiterated that they have to request for information from some of the IPs as they do not submit to them any reports after training. Moreover the programme assumed there would be cohesion between the national and county governments to ease flow of information. However politics between the two has posed a challenge to the successful implementation of the programme and ease in flow of information.

7.1.4   Staff Attitude and Mindset

The programme aims at improving the services delivered by both national and county governments through training of staff on various aspects. However some of the staff members are rigid and are not willing to adopt to the new systems in place. For example some county officers who have been taken through exhaustive training by UNDP on how to fill M&E forms still find it hard to do the same practically. They submit reports in formats that they are used to instead of adapting to new systems.

7.1.5   Customization of Support Under the Programme

Each county possesses unique strengths and challenges in the present context of devolved government. In spite of receiving the equitable share of revenue from the national government, each county government must also raise local revenue to sustain its operations and deliver on mandate. For instance, programme support to Taita - Taveta county where enforcement officers were trained has enabled the county improve its revenue collection. Kitui County, being rich with mineral resources has benefited from the GIS UNV posted under the programme. The county is now mapping the mineral resources for better decision making in-relation to the resources.

7.2   Challenges

1   Under the programme, target institutions submitted names of staff eligible for training on various areas. It was noted that in some counties, staff who were seconded for training on subjects such as M&E were not the ones involved in day to day monitoring activities within the counties. Moreover, the programme did not have an effective follow-up mechanism to determine if training offered was having any impacts on service delivery.

2   Employee rate of turnover at the county offices is high and therefore for example if only one person was trained on M&E in a department and he leaves, it may be

difficult to cascade the information to other officers. Although the project was expected to train county executive committee members as well as county assembly members, this is a challenge because these are cadres whose tenure depends on the regime in power. Institutional capacity and memory may thus be lost necessitating the training of new officers when political regimes change.

3   It was noted that some counties had challenges in formulation of bills/laws and policies. The challenge stemmed from county executive and assembly members' inability to develop comprehensive policies due to lack of enough training on doing so. It should be noted though that this challenge has been considerably been mitigated by capacity building provided through the ISPDP. Some of the counties have had to hire consultants to assist them during the drafting and it is very expensive. But this is soon likely to be very much a thing of the past with the capacity provision availed through the ISPDP.

4   Many county government officers served both in the previous national government and county and urban councils system and are slow to appreciate and adapt to the new devolved system. This can however be easily mitigated through capacity provision in attitude change and in change management.

5   Mobilising CECs and MCAs to attend trains on DRR was a challenge thus UNDP had to reschedule training sessions several times. Some of the officers ended up sending representatives to attend the sessions.

6   Personnel being trained on DRR had limited knowledge about it thereby forcing the trainers to start from basics of DRR. This took up time for training on DRR and reduced levels of effectiveness and efficiency.

7   There are large gaps in the M&E systems at the County levels. The counties have inadequacies in financial and technical capacities to establish functional M&E systems. UN Volunteers were posted to counties to assist in establishing M&E systems, but most counties are now relying on these UN Volunteers to manage and operate their M&E systems. This raises a sustainability issue whereby the systems will end with the UN Volunteers' tenures.

8   Giant strides have been made, as already stated above, but there remain considerable challenges to resource management at the counties, and especially in revenue collection and absorption mechanisms. A lot of the resources disbursed to the counties is returned to the exchequer at the end of the financial year due to under utilization.

9   Duplication of efforts by the stakeholders during the implementation of devolution. It was noted that MoDP and CoG were both separately developing model laws to be used by the counties to draft county laws and policies. This can be mitigated through closer collaboration.

10   Many counties do not budget for governance activities including civic education and public participation. This is perhaps because many county officials do not want members of the public to be more aware of devolution and its benefits. Close collaboration with CSOs and programmes such as UNDP's *Amkeni Wakenya* could come in handy here.

11   Insufficient data to inform decision making at both national and county levels has proved to be a challenge as it hinders precision at both national and county levels. Some of the policies developed by counties are not practical due to lack of sufficient data to inform them.

7.3   Future opportunities

As is the case already in Kitui, Kwale, TaitaTaveta, and Turkana, counties can utilise the services of reputable CSOs to support civic education and public participation of matters of governance. This is because they have a wider reach and experience in working directly with communities.

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CHAPTER EIGHT

RECOMMENDATIONS

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Based on the above, the following recommendations are intended to improve the programme in its second phase.

Issue	Recommendation	Timeline	
		Immediate	Medium Term[23]
Recommendation 1: Theory of Change, Design, and Programme Management and Coordination	Going forward the programme should have fewer interventions/activities and greater project focus to deepen and improve project impact. The number of partners (21 counties, 12 national institutions, two UN Agencies, 4 donors) involved in the project creates a very large volume of transactions. This creates as a high demand on project staff. The large number of partners and activities creates an M&E and Communications challenge. Identifying and capturing results has proven difficult, the project has achieved far more than what has been reported and communicated. Report writing is not following a results based reporting format orientation. This lowers the impact of reports and fails to communication the project's results and adversely impacts resource mobilization efforts.		
	a) Narrow down to fewer interventions/activities. As transition/set-up phase of devolution is largely concluded, analysis of the areas of development partner support and value added needs to be examined and addressed when focusing future project activities; For instance		✔

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[23] Over the remaining programme life

	Indicator 2.2, 2.3, 3.1 and 3.2 can be undertaken as one whereby the programme can offer comprehensive resource identification and management training to the county members. From this counties should be able to map out their resource areas with assistance from the programme. Thereafter county officers may use knowledge from the other areas of training to develop business models that will ensure socio economic development without exploitation and over utilization of resources. Counties which have similar resources may be encouraged to create comparative advantage in order to encourage intra and inter county trade. "The programme could focus on 2-3 areas of intervention/outputs, i.e. (i) Output 1: Citizen participation mechanisms and processes strengthened to ensure effective and equitable service delivery and people - centered devolved system of government; (ii) Output 2: Policies, laws and institutional reforms for effective implementation of the CoK at national and county levels are adopted; (iii) Output 3: Evidence planning, budgeting for improved service delivery at county level in tandem with reduced security threats and improved response to risk and disaster in selected counties"		
	b) There is need for revision of some of the indicators in the programme design to ensure that they are realistic and achievable[24]	✓	

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[24] Some of the indicators that can be revised include;

Indicator 1.2; there is need for to ensure the qualitative aspect of the laws, policies and frameworks is assessed. Moreover integration of the output to national and county frameworks should be applied.

Indicator 2.1; the programme should better define this indicator to assess the quality of budgets and plans as well as outputs which were received within deadlines among others

Indicator 2.3; a benchmark should be set for ideal business models and MSE coordination mechanisms

Indicator 5.1; Programme to review the target to a realistic number such as at least 75 percent

	c) Examining the strategic direction and capacity to carry out this direction, of key partners such as MoDP, CoG, and KSG is key at this juncture. For example, an analysis of their client's demands/needs and the ability of these institutions to serve them (e.g. mandate, budget and HR analysis, etc) could be conducted to ensure that they can adequately support devolution going forward following this transition period		✓
	d) Conduct an analysis of the level of support staff required to effectively, efficiently, and fairly assign tasks to staff, including the need to ensure proper control and oversight of transactions is maintained;	✓	
	e) Use of other UN Agencies to deliver results needs to be increased (e.g. UN Women, UNICEF, WFP, UNHabitat) as these agencies have sectoral expertise that is in demand by counties;	✓	
	f) More cooperation is required in the implementation of activities between UNDP, AHADI (USAID), EU, and the World Bank. In order to do so senior management of these agencies need to agree and set an imperative for this.	✓	
	g) Success of initial cross UNDP unit collaboration (e.g. DRR and Climate Change) and also cross programme collaboration (e.g. Amkeni Wakenya) needs to be reinforced and further utilized going forward, including at activity/AWP design stage and through regular meetings. Senior management needs to encourage this and provide structures and operational streamlining to facilitate this in an effective and efficient manner	✓	
	h) In future if UNDP mobilises resources for UNVs' support, their deployment be needs-based, with specific targets to be achieved. This would improve the design of UNV programming support to counties		✓
	i) Need for inclusion of beneficiaries' representation in the programme structure to provide views and feedback on impact of the programme on the citizens	✓	

Recommendation 2: Assumption	The programme should not assume that "devolution is an entirely new venture" in Kenya so that the process of its implementation is like a creation ex- nihilo. The programme should look to Kenya's history, particularly the immediate post- independence federal area of regional governments, and to Kenya' s recent past to see what can be utilised from therein to anchor the current devolution process. Moving forward two important areas of focus are highlighted;		
	a) Dealing with negative ethnicity: An important aspect that led to the re-thinking of the devolved system of governance in post-independence Kenya was the fear of regrouping of the country into tribal lines. In recognition of this, the Constitution of Kenya 2010 created the National Cohesion and Integration Commission. There is need for the programme to nurture further integration with NCIC in order for them to facilitate processes and policies that encourage elimination of all forms of ethnic discrimination in order to enhance the capacity for Kenyans to accept each other in appreciating the significance of diversity.	✓	
Recommendation 3: Civic Education and Public Participation	Taking into account the impact of the 2017 elections, the programme could include activities to support citizen input into the public policy process will focus on two time periods: pre-election and post-election. Civic education and public participation: Citizen participation is a central pillar of the 2010 constitution and of devolution; that is, bringing government closer to the people. However, methods for effective public participation are lacking in counties and citizens often do not understand the roles of their officials. The program is working to increase the participation of communities, civil society and the private sector to promote more democratic and accountable practices in counties. This includes human rights promotion (e.g. via the SDGs) and identifying and targeting the most vulnerable and promoting gender equality (via UN Women).		
	a) The pre-election period will focus on: county legislation; disseminating guidelines on		

	public participation for county governments; disseminating the Taita Taveta county public participation model UNDP helped develop; facilitating discussions with counties on their public participation experiences; providing TA on best practices. The post-election period will focus on rolling out the model(s) on public participation.	✓	
Recommendation 4: Fiduciary Management	UNDP should work with its counties and national partners to introduce stronger public financial management elements into the county performance management system.		
	a) This will utilize TA and County-to-County peer learning to target: internal audit capacity; planning and budgeting; values and ethics; and accountability and oversight by county assemblies and national bodies.	✓	
	b) This will include utilizing the County Assemblies Forum (CAF) as focal point for engagement with CAs and MCAs (incl. legislative development on PFM control issues).		✓
	c) Also, revenue generation (incl. taxation) models will be developed and shared between counties to promote greater self-reliance and local accountability.		✓
	d) Initiatives to improve budgeting absorption: The programme focuses on improving approval of budgets and plans for the counties by the CoB	✓	
	e) Moreover county governments should be supported to set up vibrant PM and M&E systems that will enable them to plan and be accountable for activities undertaken, while ensuring that they correspond to activities under CIDP.		✓
Recommendation 5: Capacity Building	The review established that capacity building within the programme, even though well intended had certain gaps. For instance in certain cases, county staff seconded for the training sessions were not strategically selected for the kind of training offered.		
	a) Therefore in order to manage this, the programme should undertake a capacity building needs assessment that will enable them to identify persons eligible for the various training sessions and areas where they need training on. This will not only ensure that the relevant persons are trained but will also ensure that there is sustainability and continuity as these persons will be able to train other staff members at both sub-county		✓

	and ward levels.		
	b) Additionally the programme should develop follow up structures within the national and county governments to ensure that senior staff trained pass on the knowledge acquired to their junior	✓	
	c) Training Evaluation Forms" should be administered to programme beneficiaries by the IPs in order to gauge whether the sessions were effective or not. These will also create an avenue for them to identify other areas that they may need follow up trainings on. Moreover the programme should recommend the IPs to conduct Impact Assessments that will yield results of the trainings given and evaluate whether the k`nowledge has been cascaded to other staff in the county	✓	
	d) Assessment of the impact to the consumers should be conducted to evaluate impact of the programme on citizens and whether there is improvement in service delivery		✓
Recommendation 6: County Performance Management	UNDP has been requested by several counties and COG and thus: a. Should assist in implementing PMS; b. Provide support to entrench the system as the standard going forward.		✓
Recommendation 7: Monitoring & Evaluation	Monitoring and Evaluation of activities has proved to be a challenge mainly at the county level. It is therefore vital for the programme to; a) Assist these county governments to develop M&E policies and frameworks for the various activities being undertaken b) These policies will compel them to come up with M&E units that will be comprised of		

	selected members of the various county departments. c) Thereafter programme should enable these M&E units come up with M&E systems that are synchronized with CIMES and NIMES. d) From these systems the M&E units will develop indicator handbooks which are county specific as well as data collection tools to be used during M&E. e) The programme should also train members of these units at county level on budgeting for M&E of activities and ensure that this training is trickled down to sub county and ward levels. f) Assist in organising bench marking opportunities for M&E teams across counties for lesson learning.	✓	
Recommendation 8: Social and Environmental Assessment	a) There is need for a climate change risk assessment to be conducted during activity screening as part of the social and environmental assessment process.		✓
	b) There is need for capacity building to ensure that county officers are able to develop spatial plans that are county specific in order to mitigate against any climatic changes.	✓	

CHAPTER NINE

REPORT ANNEXES

- ToR for Evaluation
- Additional Methodology Related Documentation
- List of Individuals and Groups Interviewed and Sites Visited
- List of Supporting Documents Reviewed
- Programme Results Map/ Framework
- Summary Tables of Findings
- Code of Conduct Signed by Evaluators

9.1   ToR for Evaluation

Consultancy to Conduct a Mid-Term Review (MTR) of the Integrated Support Programme to the

Devolution Process in Kenya (2014—2018)

1) Background and Context

UNDP Kenya in partnership with a group of donors is currently supporting devolution, through the UNDP Integrated Support Programme to the Devolution Process in Kenya (2014-2018). The devolution project is being implemented in collaboration with the Government of Kenya (GoK). The project is premised on the belief that for Kenya to realize the objectives of devolution and become a truly prosperous nation by 2030, the key institutions including county governments have to be supported to deliver quality public services to the people in an accountable and transparent manner.

UNDP's initial support to devolution was in 2012 through the Transition Authority but was expanded at the end of 2013 to include; the Commission on for Revenue Allocation, the Council of Governors and three county governments (Kilifi, Kisumu, and Turkana). In 2014, UNDP Developed the Integrated Support Programme to the Devolution Process in Kenya (2014-2018), herein referred to as the Devolution Project. In addition to the main implementing partner, the Ministry of Devolution and Planning (MoDP), there are five other national and 21 county governments implementing the programme referred in the project document (ProDoc) as responsible partners. The programme was initially implemented by 13 select county governments, which has since been increased to 21 in the 2016 Annual Work Plan (AWP).

The devolution project is supported through a UNDP Managed Basket fund, estimated at costs of US$35 million over four years. The current basket fund donors include Sweden, Norway, DFID and USAID. The interventions on the project are through National Implementation (NIM) programming modalities of UNDP. The project document was developed through a highly consultative process with a wide range of stakeholders including national and county governments and development partners (DPs).

Devolution Project Results (2014-2018)

a)   Project Outcome

The project contributes to United Nations Development Assistance Framework (UNDAF) outcome1.3 and Country Project Document (CPD) outcome 1 on Devolution and Accountability which states that by 2017, Kenya enjoys a participatory devolution process that is well understood by stakeholders, adequately coordinated and equitably resourced for delivery of accessible and quality services.

The first 13 counties are Kwale, Kilifi, Taita -Taveta, Marsabit, Kitui, Nyeri, Turkana, Samburu, Laikipia, Vihiga, Bungoma, Kisumu and Homa Bay while the additional eight counties are Elgeyo Marakwet, Nakuru, Narok, Kajiado, Kericho, Embu, Busia and Kirinyaga.

b) Project Outputs

There are five key result areas organized around five outputs as follows:

1) Policies, laws and institutional reforms for effective implementation of the constitution at national and county levels are adopted;
2) Strengthened institutional and human capacities at national and county level evident in supporting national and local development;
3) Improved service delivery mechanisms and response to opportunities and threats of insecurity and disaster;
4) Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources; and
5) An integrated service delivery framework pilot implemented.

2) Purpose of the Mid-Term Review (MTR)

It is envisaged that a MTR for the project will be undertaken midway through the project's implementation period. In this regard, the GoK and UNDP are planning to conduct an MTR of the project to commence in August/September 2016. There view will provide an overall assessment of progress and achievements made against planned results, as well as assess and document challenges and lessons learnt since the commencement of the project. The MTR findings, recommendations and lessons learned will guide future direction of the remaining phase of the project including recommendations for corrective and/or mitigation measures necessary for enhanced project delivery. The information generated from this MTR will also contribute to the organizational learning as well as the global knowledge base on development effectiveness. Given the development context, and the complexity of the project design, it

is expected that the MTR will review the Theory of Change (ToC) of the project (if any) and make recommendations and/or propose the refinement of the project ToC.

There view will also focus on significant developments and changes that have taken place in the programming environment such as the Sustainable Development Goals (SDGs). In 2015, project included significant contribution to mainstreaming Disaster Risk Reduction and Climate Change (DRR/CC and Gender and is expected to respond to conflict sensitivity analysis. The MTR should assess the extent to which these cross-cutting issues are being addressed alongside the project outputs above and make recommendations on the same.

3) Scope of the MTR

The MTR is a joint GoK) and UNDP review that will be conducted in close collaboration with implementing partners both at national and county level, and development partners. The MTR will be guided by the newly released UNDP Programming and Policies Procedures and specifically will assess the project against the seven (7) UNDP Project Quality Criteria, which are closely related to the UNEG evaluation criteria. The UNDP Project Quality Criteria include: i) strategic ii) relevant iii) social and environmental standards(SES, iv) management and monitoring v) efficient vi) effective and   vii) sustainability and national ownership. It will also examine how project management and partnerships have facilitated project delivery. The MTR will cover the project period July 2014 to June 2016 and will cover the 6 national partners (CRA, MoDP, CoG, KSG, IBEC and TA and 21 county governments (13 of which came on board earlier and 8 more that came on board in 2016) that were directly supported by the project.

Specific Objectives of the MTR

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Assess relevance of the programme to the country context including the national and sub-national development priorities (Vision 2030,Medium Term Plan II(MTP) and County Integrated Development Plans (CIDPs), among others).

- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Assess efficiency in the utilization of programme funds including cost-effectiveness, value for money while balancing with social dimensions including gender equity;
- Review the extent to which relevant gender issues were raised in the project design.
- Assess effectiveness of and advantage of the use of the joint programme modality in Marsabit and Turkana in realizing project goals.
- Document lessons learnt, challenges and future opportunities, and provide recommendations for improvements or adjustments in strategy, design and/or implementation arrangements,

Results Framework:

- Assess achievements and progress made against planned results, intended and unintended, positive and negative as well as assess challenges and lessons learnt over the past two and a half years of implementation;
- Assess how the emerging issues not reflected in the project document such as SDGs among others impact on outcomes and make recommendations and suggestions for future programming;
- Review effectiveness of the programme results framework specifically the indicators, baselines and targets assessing how realistic/relevant and measurable they are and make recommendations for improvement or suggest specific amendments/revisions to the targets and indicators as necessary.

It is important to note that Transition Authority was dissolved in March 2016 after its constitutional term expired. Nevertheless, the Evaluation team should assess various reports that give the status of its activities under the programme through the MoDP.

- Assess effectiveness towards attainment of results and reflect on how UNDP and GoK have contributed to the results through the implementation of AWPs activities. Assess whether the project's outputs and components are clear, practical, and feasible within its timeframe.
- Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. improved governance, gender equality and women's empowerment, etc) that should be included in the project results framework and monitored on an annual basis.

- Ensure broader development and gender aspects of the project are being monitored effectively.

Develop and recommend SMART' development' indicators, including ex-disaggregated indicators and indicators that capture development benefits.

4) Mid Term Review Criteria and Review Questions

The following UNDP project quality criteria will be guiding the MTR: strategy, relevance, social and environmental sustainability, management and monitoring, efficiency, effectiveness, sustainability and national ownership. In addition, the MTR will explore extent to which five UN programming principles of Human Rights Based Approach to planning (HRBA), gender equality, environmental sustainability; capacity development and results-based management have been mainstreamed throughout the implementation period.

The guiding principle behind the MTE is UNDPs quality criteria which try to answer the following questions;

Strategic: The extent of contribution to higher level change in line with national priorities, as evidenced through sound RBM logic through the theory of change. Aligned with UNDAF, UNDP Strategic Plan and UNDP's potential to contribute

- To what extent is the project pro-actively taking advantage of new opportunities, adapting its theory of change to respond to changes in the development context, including changing national priorities?
- Is the project aligned with the thematic focus of the UNDP Strategic Plan? Effectiveness: the extent to which programme results are being achieved.
- To what extent has the project contributed to improving the quality of governance and socio-
- economic development in Kenya
- What is the degree of achievement of the planned immediate and intermediate results of the project?
- To what extent is the programme outcome being achieved to date? What is the likelihood of achievement by 2018?
- To what extent has the annual work-plans (2014, 2015 and 2016) contributed to effective implementation of the programme?
- To what extent have effective partnerships and strategic alliances (e.g national partners, development partners and other external support agencies) been promoted around the programme outcomes?

- What are the indirect results (externalities) of the project, if any?
- What are some of the emerging successful programming/business models or cases especially from county programming and how would they be scaled up during the remaining programme period?
- Are there any unintended programme results either positive or negative?
- To what extent is the programme theory of change being realized?

Efficiency -Is the implementation mechanism the most cost effective way of delivering this programme?

- Have adequate financial resources been mobilised for the project?
- Is there a discernible common or collaborative funds mobilisation strategy?
- To what extent have administrative procedures (UNDP and GoK) been harmonised?
- Are there any apparent cost-minimizing strategies that should be encouraged, that would not compromise the social dimension of gender, youth and PwDs?
- Are the implementation mechanisms- KRAs, technical working groups (DDWG, DSWG), PSC, PST, M&E system, resource mobilisation strategy and communications effective in managing the project?
- How are the two joint programmes in Turkana and Marsabit helping the programme achieve its results?
- How efficiently have resources/inputs (funds, expertise, time, etc.) been converted to results?
- To what extent and in what ways have the comparative advantages of the UN organizations been utilized in the national context (including universality, neutrality, voluntary and grant-nature of contributions, multilateralism, and the mandate of UNDP)?
- Have the UN agencies demonstrated Delivering as One (DaO) principle in this programme? If yes, how has this been done and does it respond to programme results?
- Are there any indications of leakages and how effective is use of resources?

Relevance-responsiveness of implementation mechanisms to the rights and capabilities of the rights- holders and duty-bearers of the programme (including national and county institutions, and related policy framework).

- To what extent were the interventions consistent with the needs of the IPs the project was designed to serve in line with the priorities set by, UNDAF, CPD, MTP II, CIDP and other national and sub- national policy frameworks?
- Does the programme design respond to the challenges of National Capacity Building Framework and does it promoteownership of the programme by the national partners? Do planned interventions adequately aligned to the objectives stated in the project document?
- To what extent has the project been able to respond to changes in the needs and priorities of the IPs? What was the quality of the response?
- Do the set of results address a) the rights of the targeted IPs; b) the relevant sectorial priorities identified at national and sub-national level; and c) the objectives of the Vision 2030, MTPll and CIDPs?
- Are the stated project objectives consistent with the requirements of UN programming principles, in particular, the requirements of most vulnerable populations?
- How relevant and appropriate is the project to the devolved levels of government, what changes need to be done?
- Are all the target groups appropriately covered by the stated project results?
- Is there a participatory approach in implementation at the IPs?

Sustainability and National Ownership- the extent to which these implementation mechanisms can be sustained over time

- Did the project incorporate adequate exit strategies and capacity development measures to ensure sustainability of results over time? Is there a better exit and sustainability strategy that can be proposed?
- Are conditions and mechanisms in place so that the benefits of the project interventions are sustained and owned by IPs at the national and sub-national levels after the programme has ended?
- Have strong partnerships been built with key stakeholders throughout the project cycle
- Are institutional capacity development and strengthening of national systems being built able to sustain results and build resilience?

Management and Monitoring- the quality of the formulation of results at different levels, i.e. the results chain:

- To what extent is the project designed as a results-oriented, coherent and focused framework?

- To what extent are the indicators and targets relevant, realistic and measurable? Are the indicators in line with the SDGs and what changes need to be done? Are the baselines up to date -do they need adjusting?
- Are expected outcomes realistic given the project timeframe and resources?
- To what extent and in what ways have risks and assumptions been addressed in the project design?
- Is the distribution of roles and responsibilities among the different partners well defined, facilitated in the achievement of results and have the arrangements been respected in the course of implementation?
- To what extent and in what ways are the concepts of cross-cutting issues reflected in programming?

Were specific goals and targets set? Was there effort to produce sex disaggregated data and indicators to assess progress in gender equity and equality? To what extent and how is special attention given to women empowerment? What needs to be done to further integrate these dimensions?

Social and Environmental Standards

- Does the project seek to further the realization of human rights using a human rights based approach?
- Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with project document and relevant action plans?
- Are unanticipated social and environmental issues or grievances that may arise during implementation assessed and adequately managed, with relevant management plans updated?

Partnership and Coordination for Effective programming- quality of programme management

- Was there active participation of the relevant government agencies, UN agencies and development partners, in project design, implementation and monitoring/evaluation?
- Do the IPs on the project have the appropriate authority and tools they need to effectively undertake their roles and responsibilities as envisioned by the programme?

- How has the project influenced the effectiveness of working together among UN Agencies in the country?
- Impact: To the extent possible, assess the impact of the project on devolution especially on the understanding of the citizenry and their participation on the devolution process i.e. determine whether there is any major change in the indicators that can reasonably be attributed to or associated with the project.
- Assess any impacts that the project may have contributed to.
- Determine the impact of the project on devolved institutions in regard to empowerment, management, effectiveness, accountable, transparent and efficiency in service delivery

9.2 Additional Methodology Related Documentation

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Guideline for CECM Finance

1. Have you allocated budgets for devolution activities in your County? What percentage? The entire budget is on devolution actives.

2. Which procedures do you use to prepare county plans and budgets? Have your plans and budgets for this financial year been approved by Control of Budget (COB)? (If no site reasons)

3. What mechanisms have you put in place to involve public participation in budgeting and County planning?

4. What measures have you put in place to incorporate Gender Responsive Budgets (GRB) guidelines in County planning and budgeting?

5. What mechanisms do you have in place to assist the county government with planning and budgeting activities within deadlines? For example, have the annual county finance bills been developed and tabled for debate within deadlines?

6. Have responsible officers been trained on planning and budgeting?

7. How will the governments conduct prudent planning and budgeting in-case of transfers/ turnover of trained officers?

8. What support has been received from UNDP and other implementing partners to improve budgeting processes in the County?

9. Have county development funding mechanisms been established?

10. Do you budget for HIV/AIDS awareness and management?

11. How much is the budgetary allocation to HIV/AIDS in your county?

12. What is the expenditure towards HIV/AIDS in the last two financial years?

13. How much resources have been set aside for HIV/AIDS in the current financial year?

14. What areas under this programme may require improvement in your view? What worked well?

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Guideline for CECM Planning

1. Do you have any M&E systems in place?
2. What is the size of the M&E unit in-terms of staffing?
3. Do you have a computerized MIS and is it synchronized to other National Systems like e-Promis?
4. Have there been adequate monitoring and evaluation of the work of planning and budgeting Committees? With what results?
5. How much financial resources were allocated to M&E in the previous financial year?
6. What was the actual expenditure in M&E in the last two financial years?
7. Has the department in-charge of planning been allocated enough resources to ensure that it achieves its mandate?
8. Pilot studies were conducted to test the full local development cycle. These studies included participatory planning, budgeting, local level implementation capacities, performance and change management, monitoring and learning.
    a. What did you learn from the pilot studies?
    b. Did the pilot studies equip you to deliver equitable and high quality public services?
9. Do you have any business models in the county? If yes, what types of business models have been developed in the various departments and have they been implemented? What challenges have been experienced in the implementation of the business models?
10. How often do you conduct surveys and assessments in the county? Is the data collected segregated?
11. Which sectors/ sub-sectors are experiencing a shortage of disaggregated data?

12. Has the programme's support contributed to the availability of disaggregated data in your county?

13. What measures have you put in place to ensure that the needs of women, children and vulnerable groups are addressed during the formulation of the next CIDP?

14. Have surveys, assessments, policies assisted in Evidenced planning, budgeting for improved service delivery?

15. What areas under this programme may require improvement in your view? What worked well?

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Focus Group Guideline for CECMs

A. **Policies and laws development**
1. Formulation and/or review
2. Support received from UNDP and their implementing partners (MoDP, CoG, KSG, COB, KLRC)
3. Consultations and coordination with relevant stakeholders
4. Challenges

B. **Strengthening of County capacities**
a. **Performance management systems**
1. What performance management systems do you have? (RBM, performance based planning and budgeting, strategic planning, performance contracting, M & E) Are they functional?
2. Kind of support received from UNDP and implementing partners in development and implementation of these systems
3. How has the County M&E system been strengthened with the implementation of the UNDP programme?
4. Consultations and coordination with key stakeholders
5. What challenges have been experienced in development and implementation of the performance management systems?

b. **Capacity building**

Number of people trained in the following areas:

- Policy and bills formulation and drafting
- M & E
- Leadership

- Performance management system
- Record management
- Women leadership

C. Status of devolution

1. Operationalization of devolved systems of government according to the Constitution of Kenya, 2012
2. Human resource management and deployment
3. Financial resources
4. Coordination with other stakeholders such as national government, other county governments and UN Agencies in implementing the devolution process
5. How has devolution helped Counties to develop community resilience to disasters and management of the environment?
6. How are social and environmental impacts and risks being managed and monitored in the implementation of County programmes/ projects?
7. Are you able to continue without the support of UNDP in implementation of devolution?

D. Citizen participation mechanisms

1. Has the county carried out any civic education and public participation?
2. What type of support has been received from UNDP, other UN agencies and National Government institutions to improve civic education and public participation?
3. How have women and the youth been incorporated in the procurement affirmative action? Especially in enhancing the 30 percent procurement quota?

E. What areas under this programme may require improvement in your view? What worked well?

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Guideline for Civil Society Organizations (CSOs)

1. What is your role in the devolution process in Kenya?
2. Have you conducted any civic education to the citizens of the county? In what areas have you educated them on?
3. What issues have been observed that could influence citizen satisfaction with public service delivery
4. From your view, how participatory is local development planning?, has this been scaled down to the Sub-counties
5. How is the coordination with the responsible partners, County Governments in implementation of devolution?
6. How has the County been implementing the national policy that requires 30% of public tenders reserved for women, youth and physically challenged persons?
7. Any suggestions on improvements to the current UNDP-supported programme.

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Guideline for Town-hall Meetings/FGDs

Introduction: The **United Nations Development Programme (UNDP)**, in collaboration with National and County Governments, is implementing the Integrated Programme to Support Devolution (2014-2018) project. **Log Associates Limited** has been contracted by UNDP to conduct a Mid-Term Review (MTR) to assess the progress and achievements made against planned results, as well as assess and document challenges and lessons learnt since the commencement of the project. We would like to get your perspective and recommendations that will help improve the implementation of the programme. We kindly request that you to respond to the issues/questions contained herein.

1. Devolution is a new concept in Kenya. The system of governance has now been operational for only four (4) years. Do you perceive that Kenyans understand what devolution is and how it works? what can be done to enhance the understanding of devolution?

2. Do you feel that the institutions that have been formed under the new constitution (i.e. TA, CRA, CIC, CoGe.t.c) understand their mandates? have their performance been up-to-standards?, are the impacts of the roles they play individually felt at the County level?

3. UNDP is supporting devolution by collaborating with other UN Agencies, the National Government, County Governments and other stakeholders. Do you think this approach will enhance the understanding and functioning of devolution?

4. What other avenues/ strategies of achieving the targeted results, if implemented, could lead to similar or better results?

5. Public participation is at the heart of the Kenya Constitution 2010. Major decisions planned for implementation at the national and County level need to

incorporate the views of the public. Do you think public participation has been entrenched in the culture of the systems of governance?

6. Responsibility with accountability is the hallmark of good governance. Do citizens feel adequately empowered to demand for quality services and to hold the Government (national and County) accountable?

7. From the experience of other governance programmes, what cost-minimization strategies and optimization methods can this programme's management adopt to accelerate the achievement of results and make them sustainable?

8. Do you think the programme is adequately mainstreaming gender, youth, disability and other cross-cutting issues?

9. How do you think devolution can take advantage of emerging opportunities to enhance good governance?, do you think volunteerism can enhance the technical capacities of County Governments to perform their constitutional functions?

10. How can we address the challenges and mitigate against the risks that devolution faces in contemporary times (For example: overlapping mandates of public institutions, corruption, artificial and natural disasters, mismanagement of public resources e.t.c.)

11. Anyone with additional suggestions on how current governance interventions can be focused/improved to improve service delivery in the devolved units?

Checklist for Output Results Focus

Output results focus	Baseline (2013)	Target (2018)	Achieved
Output 1: Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted			
1.1: Number of policies and laws adopted at the national level to support effective implementation of devolution	10	15	
1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution	0	80%	
Output 2: Strengthened institutional and human capacities at national and county levels			
2.1: Percentage of supported counties whose plans and budgets are approved by the COB	40%	80%	
2.2: Number of counties with performance management system in place	0	10	
2.3: Number of counties that develop business models that are inclusive and sustainable	0	10	
2.4: MSE coordination mechanism in place	None	Yes	
Output 3: Evidenced planning, budgeting for improved service delivery at county level in tandem with reduced security threats and improved response to risk and disaster in selected counties			
3.1: The existence of disaggregated data to inform socio-economic development	None	50%	
3.2: Number of surveys, MDGs and HD reports, assessments, analytical works, policies and advocacy papers conducted/prepared to inform development planning and management at national and county levels	0	4	
3.3: Number of national level institutions, counties and CSOs that have established functional coordination structure and mechanisms for disaster risk reduction and response	0	10	
Output 4: Citizen participation mechanisms and processes strengthened to ensure effective & equitable service delivery and people centred devolved system of government			
4.1: % of citizens satisfied with public service delivery by National and County Governments (disaggregated by County, sex, age and social group)	63.5%	75%	
4.2: % of high burdened counties supported whose plans and budgets reflect HIV/AIDS	3%	50%	
Output 5: Pilot testing of full local development cycle including participatory planning, budgeting,			

local level implementation capacities, performance and change management, monitoring and learning			
5.1: No. of county governments capacitated to deliver equitable, high quality public services	0	10	
Output 6: Improved programme management support to the devolution programme			
6.1: Number of staff engaged	1	7	
6.2: Unqualified audit reports	None	All	

Assessment on Performance of Outputs Using the Output Performance Analysis Tool

Output results focus	Baseline/Target	Achieved	Partially achieved	Not achieved
Output 1: Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted				
1.1: Number of policies and laws adopted at the national level to support effective implementation of devolution	**Baseline**: 10 (2013) **Target**: 15 (2018) **Status**:			
1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution	**Baseline**: 0 (2013) **Target**: 80% (2018) **Status**:			
Output 2: Strengthened institutional and human capacities at national and county levels				
2.1: Percentage of supported counties whose plans and budgets are approved by the COB	**Baseline**: 40% (2013) **Target**: 80% (2018) **Status**:			
2.2: Number of counties with performance management system in place	**Baseline**: 0 (2013) **Target**: 10 (2018) **Status**:			
2.3: Number of counties that develop business models that are inclusive and sustainable	**Baseline**: 0 (2013) **Target**: 10 (2018) **Status**:			
2.4: MSE coordination mechanism in place	**Baseline**: None (2013) **Target**: Yes (2018) **Status**:			
Output 3: Evidenced planning, budgeting for improved service delivery at county level in tandem with reduced security threats and improved response to risk and disaster in selected counties				
3.1: The existence of disaggregated data to inform socio-economic development	**Baseline**: None (2013) **Target**: 50% (2018) **Status**:			
3.2: Number of surveys, MDGs and HD reports, assessments, analytical works, policies and advocacy papers conducted/prepared to inform	**Baseline**: 0 (2013) **Target**: 4 (2018) **Status**:			

development planning and management at national and county levels				
3.3: Number of national level institutions, counties and CSOs that have established functional coordination structure and mechanisms for disaster risk reduction and response	**Baseline**: 0 (2013) **Target**: 10 (2018) **Status**:			

Output 4: Citizen participation mechanisms and processes strengthened to ensure effective & equitable service delivery and people centred devolved system of government				
4.1: % of citizens satisfied with public service delivery by National and County Governments (disaggregated by County, sex, age and social group)	**Baseline**: 63.5% (2013) **Target**: 75% (2018) **Status**:			
4.2: % of high burdened counties supported whose plans and budgets reflect HIV/AIDS	**Baseline**: 3% (2013) **Target**: 50% (2018) **Status**:			
Output 5: Pilot testing of full local development cycle including participatory planning, budgeting, local level implementation capacities, performance and change management, monitoring and learning				
5.1: No. of county governments capacitated to deliver equitable, high quality public services	**Baseline**: 0 (2013) **Target**: 10 (2018) **Status**:			
Output 6: Improved programme management support to the devolution programme				
6.1: Number of staff engaged	**Baseline**: 1 (2013) **Target**: 7 (2018) **Status**:			
6.2: Unqualified audit reports	**Baseline**: None (2013) **Target**: All (2018) **Status**:			

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Citizen's Questionnaire

Name	
Sex	
Date of Birth	
County	
Sub County	
Ward	
Village	
Mobile Number	

1   What is devolution?

2   Do you know the roles and responsibilities of the County government to its citizens? Where did you learn about them?

3   What are some of the challenges faced during implementation of county government system?

4   What are some of the projects that have been implemented by your County government?

5   How would you rate the performance of your County government? (Percentage)

6   In which areas do you think the county government needs to improve and how?

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Guideline for the Ministry of Devolution and Planning (MoDP)

1. In selection of county governments to be supported by the programme, what criteria was applied to select counties that have capacity to formulate laws that promote devolution

2. What social dimensions were taken into account during programme design?

3. How did the project design incorporate environmental and human-rights issues?

4. What criteria did you use to select other target counties during this programme design?

5. Which key stakeholders were consulted during the choice of target counties?

6. What baseline data was collected to inform design of this programme?

7. As a Ministry, are you able to support more counties to implement devolution without the support of such programmes?

8. How much financial resources have you allocated towards implementation of the programme in the 2014/2015 financial year? What are some of the achievements you made with this allocation? Were the funds enough to address all the activities planned for? How does this compare to the previous financial year?

9. What has been your experience with the UN working as One approach in this programme?

10. What has been your experience in coordinating with other implementing partners in this programme?

11. How does the Ministry advocate for segregation of data at both National and County levels?

12. How does the Ministry use segregated data and is it readily available?

13. In which sectors/ sub-sectors does the Ministry experience shortages of disaggregated data?

14. Since the programme started in 2014, have conducted any M & E? (if so please provide any available data)

15. Have you conducted any surveys to determine citizen satisfaction with public service delivery at the County levels? (if so, please provide any available data)

16. What is the status of the Draft Devolution Policy

17. What challenges did you face during its formulation?

18. What are some of the challenges that you have faced during implementation of the UNDP program?

19. Since the initiation of the current programme a few years ago, what, in your thinking:

    a. Has worked well

    b. Has not worked well and requires improvement, and how?

    c. Should be re-focused or dropped under the programme

Any other suggestions?

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Guideline for the United Nations Development Programme (UNDP)

Programme Design and targeting:

1. In selection of county governments to be supported by the programme, what criteria was applied to select counties that have capacity to formulate laws that promote devolution

2. What criteria did you use to select other target counties?

3. Who was consulted during the choice of target counties?

4. What were the risks and assumptions during programme design?

5. Is the number of supported counties adequate?

6. Are the baseline values up-to-date, are the targets realistic given the project timelines and resources?

7. What social dimensions were taken into account during programme design?

8. How did the project design incorporate environmental and human-rights issues?

9. Was there active participation of the relevant government agencies, UN agencies and development partners, in project design, implementation and monitoring/evaluation?

10. Pilot studies were conducted to test the full local development cycle. These studies included participatory planning, budgeting, local level implementation capacities, performance and change management, monitoring and learning.

    a. Were baseline studies conducted to identify priority issues related to the quality public services in the targeted counties?

    b. Which stakeholders provided information during the baseline studies?

    c. What lessons have emanated from the pilot studies that the national government and Counties could adopt to improve service delivery?

11. The design of the programme calls for improved management support to the devolution programme.
    a. How many staff members have been engaged? Is this number adequate to support the programme?
    b. How many unqualified audit reports have been developed and submitted?
12. What is the budgetary allocation to these counties? Do you think more resources are required? Why?

Coordination

1. What has been the experience of the UN working as One approach in this programmet?
2. How is the coordination with key stakeholders implementing the ISPDP?
3. How many national institutions, counties and CSOs have established functional coordination structures, guidelines, Early Warning Systems and contingency plans for disaster risk reduction and response?

Sustainability

1. How does your M&E team measure the progress/ achievement of indicators?
2. What challenges have you experienced in implementation of this Programme?
3. What mechanisms have you put in place to sustain the Programme?

Lessons Learnt

1. Any lessons learnt over the last couple of years regarding the various aspects of the programme?

Financial information

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Guideline for the Council of Governors (CoG)

1. What role does the Council of Governors play in the devolved governance?
2. What is your level of participation in County level policy and law formulation
3. Which County level laws and policies have you participated in their development in the last two years? What were the challenges experienced in development of these laws and polices?
4. With the help of the UNDP Programme, have you been able develop model legislation to be disseminated and shared with counties?
5. How are you utilizing Gender Responsive Budgeting (GRB) knowledge, skills and tools to improve your oversight over County budgets?
6. Have you participated in the roundtable forums on leadership capacity building, gender mainstreaming and public financial management in the last two years?, What lessons have you learnt from these forums?, What have been the benefits?
7. Through the support of the UNDP Integrated Support Program to the Devolution Process in Kenya (ISPDP), have you been able to develop an adequate pool of expertise in to support County legislative drafting
8. Through the support of UN-Women, has CoG been able to design and deliver training programmes to support the mainstreaming of gender and other social issues in the context of devolved governance?
9. Have you developed any structure to support County Spatial Planning processes at the Counties in the last two years?
10. Any suggestions on how this programme can be improved to be more effective?

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Guideline for UN-Women

1. Did you participate in the pilot testing of the local development cycle that included participatory planning, budgeting, local level implementation capacities, performance and change management, monitoring and learning?
2. How many and in which Counties were pilot studies conducted?
3. Did the pilot studies equip the County Governments to deliver equitable and high quality public services particularly Gender Responsive Budgeting? (especially the pilot testing in the health sector)
4. What mechanisms did you put in place to ensure gender mainstreaming in DRR trainings in Kwale, Kilifi, Tana River, Baringo and Turkana Counties?
5. How has the 'Devolution Torch' Programme contributed to the success of devolution?
6. What lessons have you learnt from implementing the 'Devolution Torch' Programme
7. How is the coordination with the responsible partners, County Governments in implementation of devolution?
8. Coordination mechanism
9. Sustainability
10. Financial information
11. Lessons learnt and recommendations for improvement
12. Any document(s) for review

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Guideline for the National Drought Management Authority (NDMA)

1. What support has NDMA received under the current ISDPD Programme?

2. What significant security threats and disaster risks are being faced at both National and County levels?

3. How many of these threats/ disasters have occurred since 2013?

4. Do you conduct any training on disaster risk management at both national and County levels?

5. How many national institutions, counties and CSOs have established functional coordination structures, guidelines, EWS and contingency plans for disaster risk reduction and response?

6. How has devolution supported communities to cope with adverse climate change impacts?

7. How many national cohesion and integration initiatives have you started?

8. How many officers have been trained on DRR mainstreaming?

9. Have the developed DRR plans, EWS and contingency plans helped reduce the incidence of disasters/ security threats?

10. Have disaster management units been established?

11. Do the DMU have clearly defined roles and coordination structures?

12. Have adequate resources (human, financial) been allocated to DRR mainstreaming and disaster management units?

13. In your view, how can the current interventions be improved/enhanced?

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Guideline for the National Disaster Operations Centre (NDOC)

1. What support has the NDOC received from the current ISDPD programme?

2. What significant security threats and disaster risks have been experienced in the country in the last three years?

3. Have you conducted any civic education on disaster risk management?

4. What DRM policies, strategies and operating procedures have been developed to help manage disasters in the country?

5. How have the developed DRR plans, EWS and contingency plans helped reduce the incidence of disasters/ security threats?

6. How are you working towards the adoption of the policies, strategies and operating procedures at the County level

7. How has devolution supported communities to cope with adverse climate change impacts?

8. What procedures do you have in place when responding to a disaster occurrence?

9. What challenges do you face in your work?, what techniques have you applied to overcome the challenges?

10. In your view, how can the current interventions be improved/enhanced?

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Guideline for the National Disaster Management Unit (NDMU)

1. What support has the NDMU received from the current ISDPD programme?
2. What significant security threats and disaster risks pose a challenge to the country? Which of these are of concern to the target Counties?
3. How many of these threats/ disasters have occurred since 2014?
4. Have you established functional coordination structures, guidelines, EWS and contingency plans for disaster risk reduction and response?
5. How have the developed DRR plans, EWS and contingency plans helped reduce the incidence of disasters/ security threats?
6. How has devolution supported communities to cope with adverse climate change impacts?
7. How many national cohesion and integration initiatives have been started?
8. Have you supported the establishment of disaster management units at the Counties?, What is the capacity of these units to manage disasters? Do the DMU have clearly defined roles and coordination structures?
9. Have adequate resources (human, financial) been allocated to DRR mainstreaming and disaster management units?
10. How many officers have been trained on DRR mainstreaming?
11. In your view, how can the current interventions be improved/enhanced?

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Guideline for the Ministry of Interior and Coordination of Government (MoICG)

1. What support has the MoICG received from the current ISDPD programme

2. What significant security threats and disaster risks are you currently facing (or are the target counties facing)?

3. How many of these threats/ disasters have occurred since 2014?

4. How many national institutions, counties and CSOs have established functional coordination structures, guidelines, Early Warning Systems and contingency plans for disaster risk reduction and response?

5. How has devolution supported communities to cope with adverse climate change impacts?

6. How many officers have been trained on DRR mainstreaming?

7. Have the developed DRR plans, Early Warning Systems and contingency plans helped reduce the incidence of disasters/ security threats?

8. Have Disaster Management Units (DMU) been established?

9. Do the DMU have clearly defined roles and coordination structures?

10. Have adequate resources (human, financial) been allocated to DRR mainstreaming and disaster management units?

11. Any suggestions on how the current interventions can be made more effective?

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Guideline for the Controller of Budget (CoB)

1. What support has the office of CoB received from the current ISDPD programme

2. Have you conducted any civic education to government officers and the public on planning and budgeting for public funds in the last two years? How many? How often do you undertake this?

3. The UNDP Integrated Support Program to the Devolution targeted 21 Counties (Kwale, Kilifi, TaitaTaveta, Marsabit, Kitui, Nyeri, Turkana, Samburu, Laikipia, Vihiga, Bungoma, Kisumu, Homa Bay, Elgeyo, Marakwet, Nakuru, Narok, Kajiado, Kericho, Embu, Busia and Kirinyaga). Among these Counties, how many have their plans and budgets approved by the COB?

4. How are you utilizing Gender Response Budgets knowledge, skills and tools to improve your oversight over county budgets?

5. What are some of the challenges that you face while monitoring the use of public funds by both the national and county governments?

6. How do you ensure that there is equalization of funds between the national and county governments' activities?

7. What are some of the mitigation measures put in place to curb the challenges faced?

8. How many Counties budget for HIV/AIDS?

9. Any suggestions on how this programme can be improved to enhance the functioning of the CoB office?

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Guideline for Kenya National Bureau of Statistics (KNBS)

1. What support has the KNBS received from the current ISDPD programme
2. What is your role in relation to devolved governance in Kenya?
3. In your opinion, how available is data disaggregated in-terms of gender, age, sector, sub-sector available in the country?
4. Which sectors/ sub-sectors both at National and County levels are currently experiencing a shortage of disaggregated data?
5. What mechanisms have you put in-place to promote data disaggregation at both the National and County levels in the last two years?
6. Which and how many surveys and assessments have been conducted by KNBS at the National and county levels to support socio-economic development in the last two years?
7. What are some of the challenges you face with regards to data disaggregation especially since devolution?
8. Any suggestions on how this programme can be improved to enhance the functioning of the KNBS?

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Guideline for Ministry of Industrialization and Enterprise Planning (MoIEP)

1. What support has the MoIEP received from the current ISDPD programme

2. How does your institution contribute towards implementation of devolution?
3. What type of business models have been developed in the targeted counties in the last two years?
4. How many business models have been developed in the targeted counties in the last two years?
5. What criteria were applied in selecting the business models that have been developed?
6. What MSE coordination mechanisms have you developed in the targeted Counties? Number? Within the last two years.
7. Are they in operation?
8. What type of activities have been undertaken to strengthen the capacities of target counties in the last two years?
9. Any suggestions on how this programme can be improved to enhance the functioning of the MoIEP?

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Guideline for Kenya Law Reform Commission (KLRC)

1. What support has the KLRC received from the current ISDPD programme

2. How has devolution affected formulation of laws and policies in Kenya?
3. How many policies and laws have been formulated at both national and county level in the last two years?
4. What challenges have you experienced in formulation of these laws and policies?
5. What mitigation measures have you put-in-place to counter the challenges stated?
6. Any suggestions on how the programme can be improved?

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MINISTRY OF DEVOLUTION AND PLANNING

Guideline for the Officials of the Transitional Authority

1. What support did the TA receive from the current ISDPD programme

2. Which laws and policies have you supported their development at both the national and county governments?

3. What is the status of formulation/ implementation of the policies and laws?

4. What is the budgetary allocation towards the development of the laws and policies?

5. What challenges have you experienced in the development of these policies and laws?

6. What mitigation measures have you put-in-place to counter the challenges stated?

7. Any recommendations for programme improvement?

UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

Guideline for The Kenya School of Government (KSG)

We understand that your major role in the UNDP Integrated Support Program to the Devolution Process (ISPDP) in Kenya has been capacity building at both national and county levels:

What is the status of implementation of the five curricular that were launched to cover the following topics?

- Leadership and management
- Human resource management
- County planning
- Results based monitoring and evaluation
- Performance management

What were the expectations of the School from trainees in the above areas?

Area of training	Expectations from trainees
Leadership and management	
Human resource management	
County planning	
Results based monitoring and evaluation	
Performance management	

Through the support of UN-Women, has KSG been able to design and deliver training programmes to support gender mainstreaming in devolution?

Under the ISPDP, how many people have been trained in the last two years?

Area of training	Number of trainees
Policy and legislation.	
Policy formulation and legislation drafting	
Governance processes to support Devolution.	
Financial management of devolved units	

Performance management.	
Woman participation in Leadership	
National cohesion and peace- building	

1. Through the support of UN-Women, has KSG been able to design and deliver training programmes to support gender mainstreaming in devolution?
2. What is the status for development of curriculum for core government courses: HRM, Leadership, County Integrated Planning, M&E and Performance Management?
3. How many people have been trained in the following areas in the last two years?
4. Any suggestions on how this programme can be improved or enhanced?

UNITED NATIONS DEVELOPMENT PROGRAMME
&
MINISTRY OF DEVOLUTION AND PLANNING

USAID Evaluation Tool

Indicator Title		Baseline	FY 2016								FY 2017		FY 2018		Notes
			Q1		Q2		Q3		Q4		Target	Actual	Target	Actual	
			Target	Actual	Target	Actual	Target	Actual	Target	Actual					
Number of policies that have progressed along the policy index as result of USG assistance	Cumulative	2	1		2		1		0		2		2		
Number of target county governments that have an improvement on the county government capacity index	Cumulative	0	7		0		5				5		5		

Indicator Title		Baseline	FY 2016								FY 2017		FY 2018		Notes
			Q1		Q2		Q3		Q4		Target	Actual	Target	Actual	
			Target	Actual	Target	Actual	Target	Actual	Target	Actual					
Number of people trained, mentored, provided TA at the county level as a result of USG assistance	Number of male officials	Tbd	100		200		200		250		1 000		500		
	Number of female officials	Tbd	40		80		60		100		500		500		
Number of mechanisms created to facilitate coordination on an ongoing basis as a result of USG assistance	Cumulative	Tbd	1		3		2		1		3		2		
Number of inter-governmental forums supported by the USG to bring together national and county government	Cumulative	Tbd	1		3		2		1		3		2		
Number of new tools/templates/models provided by the target institutions to facilitate devolution at the local level as a result of USG assistance national and county	Cumulative	Tbd	1		3		2		1		3		2		

Indicator Title	Baseline	FY 2016								FY 2017		FY 2018		Notes
		Q1		Q2		Q3		Q4		Target	Actual	Target	Actual	
		Target	Actual	Target	Actual	Targ et	Actu al	Target	Actual					
government														

Integrated Support Program to the Devolution Process in Kenya

Date: _____

Title of training: _____

County: _____

Trainer: _____

Instructions: Please indicate your level of agreement with the statements listed below with regard to the above training in which you participated:

Criteria 5	Strongly Agree 4	Agree 3	Disagree 2	Strongly Disagree 1	Not Applicable 0
The objectives of the training were clearly defined					
The topics covered were relevant to me					
The materials distributed were helpful					
Content was well organized and easy to follow					
This training experience will be useful in my work					
The time allocated for the training was sufficient					
Training met my expectations					
The presenters and / or presentation was effective					

What did you like most about the training?

How do you hope to change your practice as a result of the training?

General Comments:

_____
_____
_____
_____

9.3 List of Individuals and Groups Interviewed and Sites Visited

ATTACHED

9.4 List of Supporting Documents Reviewed

1   Devolution Annual Progress Report 2014
2   Devolution Annual Progress Report 2015
3   Devolution Annual Progress Quarter I Report 2016
4   Devolution Annual Progress Quarter II Report 2016
5   Signed AWP 2014-2015
6   Final Revised AWP with codes 2015
7   Signed PRODOC 2014-2018
8   Handbook on planning, monitoring and evaluation for development results
9   UN Delivering as-One Strategy on Devolution
10   UNDP Evaluation Policy
11   UNDP Guidance on Outcome Level Evaluation 2011
12   United Nations Development Assistance Framework for Kenya 2014-2018

9.5 Evaluation Matrix

Criteria	Questions	Data Sources	Data Collection Methods
Output 1: Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted **Indicator 1.1: Number of policies and laws adopted at the national and county level to support effective implementation of devolution**			
Relevance	Which policies and laws have been developed?	UNDP programme documents, Government's national planning documents, County government planning documents, CEC members, MoDP, CRA, TA, KLRC, CoG,	•Literature Review •KIIs
	Are these policies in line with national and county strategies that promote devolution?	UNDP programme documents, Government's national planning documents, County government planning documents	•Literature Review
	Who was consulted during the formulation process of the policies and laws?	CEC members, MoDP, CoG	•KIIs
Effectiveness	How many policies and laws have been formulated at both national and county level?	UNDP programme documents, National and county government planning documents, County Governments	Literature Review KIIs
	What is the status of formulation/ implementation of the policies and laws?	CEC members, MoDP, CRA, TA, KLRC, CoG,	KIIs
Efficiency	What is the budgetary allocation towards the development of the laws and policies?	UNDP programme documents, National and county government planning documents, TA, CRA	Literature Review KIIs
	Are the policies and laws developed sufficient to ensure implementation of devolution at national and county levels?	CEC members, MoDP, CRA, TA, KLRC, CoG,	Literature review KIIs
Sustainability	What challenges have you faced in formulation	CEC members, MoDP, CRA, TA,	KIIs

Criteria	Questions	Data Sources	Data Collection Methods
	and implementation of the policies and laws? What mitigation measures have you put-in-place to counter the challenges stated?	KLRC, CoG,	

Indicator 1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution

Criteria	Questions	Data Sources	Data Collection Methods
Relevance	What criteria was applied to select counties to be supported to formulate laws that promote devolution	UNDP planning documents ,County planning documents ,MoDP	Literature review KIIs
Effectiveness	What type of activities were undertaken to strengthen the capacities of these counties?	UNDP planning documents, County planning documents, Ministry of industrialization and Enterprise Development	Literature review KIIs
	How many counties have formulated laws that promote devolution?	UNDP planning documents, County planning documents, CEC members	Literature review KIIs
	How many capacity building activities were undertaken?	UNDP planning documents, County planning documents	Literature review
Efficiency	How much financial resources were put into the activities?	UNDP planning documents	Literature review
Sustainability	How many counties have capacity to formulate laws that promote devolution?	UNDP planning documents, County planning documents, CEC members	Literature review KIIs
	What capacity challenges are anticipated?	County planning documents , CEC members	Literature review KIIs

9.6 Photo Gallery

Figure 6.1: FGD with Chief Officers

Figure 6.2: Focus Group Discussion with trained persons in Kilifi

Figure 6.3: Equipment used by the M&E unit in Kitui.

Figure 6.4: Complaints Centre for wananchi.

Figure 6.5: Printer purchased under UNDP programme

9.7 Background Information on Evaluators

Team Leader/ Lead Expert: Dr. Carey Francis Onyango

Dr. Onyango holds a PhD in Philosophy, Science and Technology Studies at the University of Vienna in Austria, a Masters of Arts Degree in Philosophy from the University of Nairobi and a Bachelor's Degree in Philosophy, History and Literature from the same university.

Dr. Onyango has over 20 years of experience consulting on governance. Recently, he trained the Members of County Assembly and Members of the County Public Service Board and County Chief Officers of Siaya County on their roles and functions, devolution, ethics and decorum in public office. In 2014 as a Team Leader, he developed the Model Policy and Legal Framework for public participation in the counties to empower the County Governments in monitoring and evaluation of their performance, improvement of service delivery and financing.

Evaluation Expert: Dr. Jenifer Kosgey Birech

Dr. Birech holds a PhD in Sociology from Moi University, a Master's Degree from University of Nairobi and a Bachelor's Degree from Kenyatta University. She brings on board wide knowledge, research and experience in evaluation of similar projects and in the local environment. She has experience spanning over 25 years. Dr. Birech's experience in governance include evaluation on Public Sector Reforms and citizen/government engagement and impact on public service for the World Vision and Evaluation on performance contracting in service delivery in Kenya.

She has also worked with the youth and community groups to influence development. Some of these community projects include Survey on Socio-Economic factors affecting community participation in fresh water resources governance in Marmanet River Basin, Kenya and evaluation on Collateral Strategies for Poverty Reduction in Kenya: Prospects and Challenges, for Economics and Sustainable Development.

Evaluation Expert: Mr. FranklineMukwanja

Mr. Mukwanja has a Master's Degree in Communication Studies and a Bachelor's Degree in Political Science and Communication both from the University of Nairobi. He is a highly driven, prolific, versatile and enthusiastic professional with vast experience spanning strategic, political and corporate communication, democratic governance, devolution, political and policy advocacy, civic education and capacity building and highly placed public sector engagements. He is also knowledgeable in project and grants management, monitoring, evaluation and reporting; networking and partnership development; media training and capacity building.

9.8 Sample of performance Target set by Kisumu County

KISUMO COUNTY

CGK/HRM/GN/38A

SECTION 2:   Departmental Objectives
List the Departmental priority objectives from which performance targets will be derived

1. AGRICULTURE PRODUCTIVITY OUTPUT IMPROVEMENT.
2. ENHANCEMENT OF AGRICULTURE CREDIT AND INPUT ACCESS.
3. PROMOTION OF SUSTAINABLE LAND USE.

SECTION 3(a): Performance Targets

Agreed Performance Targets (To be completed by the Appraisee as agreed with the Supervisor at the beginning of the Appraisal period)	Performance Indicators/Proof of Performance (To be completed by the Appraisee in consultation with the Supervisor at the beginning of the appraisal period)	To be completed by the Supervisor at the end of the appraisal period	
		Results achieved	Performance Appraisal (See rating scale)
1. Farm Visits/Farmers Reached 160	- List of farmers* 184 visited		101%
2 Demonstrations 16	- Attendance List - Invitation letter - Training materials	16	100%
3 Trainings 22	- Attendance List - Training notes - Invitation letter Training materials	34	100%
4. Participate in World Food Day Celebrations 1	Invitation letter - Attendance List - Programme for the day	1	100%
5 Participate in Field Days 1	- Attendance List	2	101
6 Participate in Farm Judging 1	- Names of farms Judged	1	100%
Total score on performance targets			600%
Mean score /Appraisal score (%)			100%
3 (b) Appraisal results for the previous year (%)			100%

Note: * Total No. of farmers reached

Rating Scale: The following rating should be used to indicate the level of performance by the Appraisee.

Achievement of Performance Targets		
All Performance Targets consistently exceeded	Excellent	101% -130%
All Performance Targets fully met	Very Good	100%.
Some Performance Targets fully met	Good	80% to 99%
Performance targets partially met	Fair	50% to 79%
Performance targets not met	Poor	0 to 49%.

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