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## THE INTEGRATED SUPPORT PROGRAM TO THE DEVOLUTION PROCESS IN KENYA



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### MID TERM EVALUATION

16 December 2016

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## List of Acronyms and Abbreviations

AfDB	Africa Development Bank
AIDS	Acquired Immune Deficiency Syndrome
AWPB	Annual Work Plan Budget
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	County 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
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
MSE	Micro and Small Enterprises



MTE	Mid Term Evaluation
MTP II	Medium Term Plan II
NASCOP	National AIDS & STI Control Programme
NCBT	National Capacity Building Framework
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
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
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



## Executive Summary

### Background

The Constitution of Kenya 2010 introduced the devolved government system with several responsibilities delegated to the county governments in line with Schedule Four of the constitution. 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 guaranteed minimum of 15%. In the financial year 2015/2016 for instance, the county governments were allocated KShs. 287 billion that included shareable revenue of 259.7 billion and an additional conditional allocation of 27 billion to be used to fund various projects within counties. County governments also enjoy substantial powers to enact laws, regulations and policies on a variety of areas. Structures, systems and skills for the management of these functions and resources needed to be put in place within the shortest time.

Several institutions, including constitutional commissions and independent offices, and legislation were put in place to manage the process. Among the institutions put in place were: The Transition Authority (TA), Council of Governors (CoG), Commission of 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 manage the process included:

- a. County Governments Act, No. 17 of 2012
- b. County Governments Public Finance Management Transition Act, No 8 of 2013
- c. Intergovernmental Relations Act, No. 2 of 2012
- d. National Government Co-ordination Act, No. 1 of 2013
- e. Public Finance Management Act, No. 18 of 2012
- f. Transition to Devolved Government Act, No. 7 of 2013
- g. Urban Areas and Cities Act, No. 13 of 2011
- h. Public Service (Values and Principles) Act (No.1A of 2015)
- i. Basic Education Act, No 14 of 2013
- j. Constituencies Development Fund Act, No. 30 of 2013

In order 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 initiated the Integrated Support Programme to the Devolution Process (ISPDP). The design of the programme was geared towards enhancing effectiveness and efficiency within the devolution process and giving the grassroots stakeholders a voice in the delivery of services by the devolved units of government. 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**, i.e. “By 2017 Kenya has 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 & technically empowered, well managed, effective and accountable; resource management is transparent, equitable, effective & efficient at all levels”.

In order to assess the progress of the programme, UNDP commissioned *Log Associates* to undertake a mid-term evaluation (MTE) of the Programme. The scope of the evaluation was to examine whether the achievements made under the programme are in line with the five pillars that informed its design. These pillars are;

- Pillar One; Policy and legal framework
- Pillar Two; Capacity Building for individuals and institutions supporting devolution
- Pillar Three; Strengthening service delivery mechanisms and peaceful co-existence at county and sub-county level
- Pillar Four; Citizen Empowerment in local development planning and financing
- Pillar Five; Piloting county demonstration projects

The MTE focused on project period July 2014 to June 2016 and covered the 6 national partners and 21 county governments<sup>1</sup> 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 nine out of the twenty one 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.

## Key Findings

The findings and conclusions of the MTE are discussed in Section 3.0 and are guided by the five ISDP thematic areas that were under assessment, i.e. relevance, efficiency, effectiveness, impacts, and sustainability, as well as programme management. The programme design was informed by inadequacies in national and county governments' capacities to implement the new devolved government system. UNDP is partnering with the national government under the National Implementation Modality (NIM) framework which requires a close collaboration between all the partners at national and county levels. The project's management includes Project Board (Project Steering Committee), Project Technical Committee and Project Support Team.

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<sup>1</sup> 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,



**Relevance** of the programme was assessed first and foremost by the key objects of devolution, especially as stated in the Constitution of Kenya 2010. Among the key objects of devolution are promotion of democratic and accountable exercise of power, fostering of national unity by cognisance of diversity, and enhancement of self- governance and participation of the people. Other critical parameters are county specific priorities particularly as identified in the CIDPs. The programme design was informed by both national and county governments' development frameworks, policies and laws so as to ensure that the services delivered by county governments under the new devolved system of governance are the same or better than services that were rendered by the national government under the previous governance system.

**Effectiveness** was evaluated in terms of the following result areas of the ISPDP: Result Area 1: Strengthened Policy and Legal Framework for Devolved Governance; Result Area 2: Strengthened and Aligned Capacities at National and County Levels; Result Area 3: Enhanced Service Delivery Mechanisms and Resilience for Disaster Risk Management, Peace Building and Conflict Prevention; Result Area 4: Strengthened Citizen Engagement in Devolved Governance; Result Area 5: Integrated Service Delivery Demonstrated in Select Counties

UNDP used a three-fold approach to implement the programme. This was conducted through; Training of trainers, purchase of equipment and use of UNVs at both national and county levels.

Over the review period, fifty one (51) model laws were launched by the MoDP. These model laws guided most of the counties when drafting their own legislations. Currently there are more than 500 laws and policies that have been enacted in various counties. Some of these legislations and policies were informed by the model laws developed by MoDP. However, a majority of them were drafted after the County Legal Officers; Chief Officers and County Executive members were trained under ISPDP on drafting of laws and policies. It has however, been noted that the one-off training was not adequate to enable the officers to properly draft or review drafted laws. Some counties were still hiring consultants to assist them undertake this exercise.

Legislative drafting was just one of the areas of training. The other areas were; monitoring and evaluation, leadership, performance management, record management, women leadership, financial oversight and risk management and mitigation.

An analysis conducted on two randomly selected areas that officers were trained on established that 69 percent of officers strongly agreed that the objectives of the training were clearly defined while 13 percent of the beneficiaries indicated that the training time was insufficient. A total of 3,705 persons were trained on above subjects.

Counties enhanced public participation especially in conducting needs assessments, developing policies and laws as well as during review of county budgets. However, civic education had not been conducted as often as the county officers seemed sceptical about the citizens reactions once they are sensitised on what to expect from county governments.



With respect to disaster risk management, more than 50 percent of the counties were found to have budgeted for DRM. The programme also supported NDMA to come up with systems for Early Warning through which 24 counties were trained on early warning for disaster management. Kisumu County for instance has drafted the County Disaster and Emergency Management Act, 2015, to coordinate all disaster management activities in the county. Similar initiatives were noted in Turkana County.

About 67 percent of the counties developed investment menus through which members of the public can access financial assistance. These loans were given at rates ranging from 3 – 5 percent. Moreover counties encourage affirmative action with regard to budgeting and procurement as they ensured that GRB mechanisms are adopted and at least 30 percent of the tenders are awarded to women, youth and marginalized persons. This was achieved through trainings that were rolled out to 47 counties by UN Women together with CoG, CoB and KSG.

It was noted that in most of the counties budgetary allocations for HIV/AIDS awareness programmes were done under the health department. Moreover other institutions such as NASCOP had been undertaking HIV/AIDS awareness campaigns in some counties such as Nyeri. In general however, there was an increase in finances allocated HIV/AIDS awareness. For instance, Turkana County increased their allocation for HIV/AIDS awareness from KShs. 5.7 million to KShs. 11 million over the review period.

On performance management, approximately 67 percent of the counties had PMS that were operational. Counties also had Indicator Handbooks for the same. However, the challenge was in the development of data collection tools that would enable the M&E officers collect the required information.

The programme purchased ICT equipment such as laptops and printers for counties such as Kilifi, Taita Taveta, and Kitui. These equipment were being used in the M&E departments in the various counties to assist with reporting. UNDP in agreement with CoG also availed UNVs with various technical skills to several counties for a short duration of 6 months to assist the county officers to implement the programme effectively. A total of 37 UNVs were deployed to various counties where they worked in various units including Planning, M&E and HRM.

**Efficiency** was analysed in terms of overall budget projections against resources mobilised up to June 2016, and also in terms of delivery and budget execution. It was noted that the programme as at 30 June 2016, had received 52 percent of the funding from DPs out of which 48 percent of it was utilized in programme activities. In 2014 programme received 72.8 percent of the amount budgeted for as compared to 2016 whereby the programme received 94.7 percent. Out of these disbursements, 26.6 percent was utilized in 2014 and 62.86 percent of the resources allocated in 2015 were absorbed.

## Programme Performance

Programme performance was assessed by analysing the achievements made under each output. The MTE has done this by grading the performance in terms of whether the outputs are on track, partially on track or off track. Table 1 summarizes performance of ISPDP.



Table 1 Performance of ISDPDP

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.	Partially 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.	Partially on Track
Output 6: Improved Programme Management Support to the devolution programme	On Track

### Impacts:

Even though the programme has been implemented for only two and a half years, some significant impacts have been registered in various counties. It was observed that training on PMS has enabled county governments to understand their roles and therefore able to set performance targets that are reflected in the workplan and consequently carried over to the county budgets. Additionally record keeping in county departments has been enforced thus promoting accountability and reliability from county officers. Officers are also able track various projects being undertaken and the achievements made and compare it to the financial resources allocated. This assists the counties in decision making process and also flags out areas that may need additional time or resources. Performance contracting also assists officers to track their performance.

There is improved resource management at the counties as the counties are able to collect more revenue from activities being undertaken. Turkana County for instance, was in the process of developing an automated revenue collection system that was expected to be running within a few months. This will ensure accountability and mitigate against pilferage of county revenues. Nyeri County also improved its revenue collection significantly from KShs. 680,700,000.67 in 2014/15 to KShs. 709,554,435.00 in 2015/16 financial years

**Sustainability:** As the ISDPDP will be winding up in 2018, it is important for national and county governments to be able to sustain the activities initiated under the programme. In order to ensure programme continuity and sustainability, it is crucial for the implementing partners to adopt an enabling



exit strategy. Most County governments have put in place mechanisms to ensure sustainability in the delivery of services to its citizens. These include; setting aside funds for implementing devolution without the support of UNDP; adopting the ToT approach in capacity building and training; developing DRM Frameworks that highlight how to improve resilience of communities to disasters and allocating funds for the same; putting in place PMS systems; drafting and adopting county policy and legislative frameworks;

### Challenges and Recommendations

The lessons learnt, challenges, as well as recommendations have been highlighted in Sections 4.0 and 5.0. Notable challenges are in the areas of capacity building, policy and legislative drafting, attitudinal issues, M&E, information sharing, duplication of efforts, and reluctance to budget for governance issues.

The recommendations in Section 5.0 have stipulated ways and mechanisms through which the noted challenges could be mitigated and redressed.



## 1.0 Introduction

### 1.1 Description of the Intervention

UNDP, in collaboration with Kenya National and County Governments, is implementing the ISDP (2014-2018) project, an initiative derived from the *UN Delivering as One Strategy on Devolution*.

The project is organized around five pillars with the following outputs:

- i) Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted
- ii) Strengthened institutional and human capacities at national and county level evident in supporting national and local development
- iii) Improved service delivery mechanisms and response to opportunities and threats of insecurity and disaster
- iv) Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources
- v) An integrated service delivery framework pilot implemented

The project is partnering with UN Women for the delivery of gender sensitive and inclusive programming, including gender responsive budgeting. UN Volunteers are providing support in counties in areas such as public financial management, statistics, and M&E. UNDP is collaborating in the counties with other UN Agencies in counties for synergy, complementarity, and greater delivery in CIDPs, and in areas of planning and budget formulation with a focus on health, women, and youth.

### 1.2 Programme Coverage and Implementation Time

In order to avoid duplication of efforts, development partners allotted the counties to assist in achieving devolution to themselves based on their own criteria. Consequently, the ISDP programme initially was to be implemented in 13 counties over a period of five years 2014 – 2018. However an additional 8 counties were brought on board making a total of 21 counties.

### 1.3 Evaluation Purpose, Scope and Objectives

#### 1.3.1 Purpose of the Evaluation

The review provides an overall assessment of progress and achievements made against planned results. It also assesses and documents challenges and lessons learnt since the commencement of the project. The MTE findings, recommendations and lessons learnt will guide future direction of the remaining phase of the project including recommendations for corrective and /or mitigation measures necessary for enhanced project delivery.

#### 1.3.2 Evaluation Scope

The MTE 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 MTE was guided by the newly



released UNDP Programming and Policies Procedures and specifically assessed 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) Strategy
- ii) Relevance
- iii) Social and environmental standards (SES),
- iv) Management and monitoring
- v) Efficiency
- vi) Effectiveness
- vii) Sustainability and national ownership

The evaluation has examined how project management and partnerships have facilitated project delivery. The MTE covers the project period July 2014 to June 2016 and covers 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 are directly supported by the project.



## 2.0 Evaluation Approach and Methodology

### 2.1 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 from various literature sources through desk review. The following data collection methods and instruments were utilised;

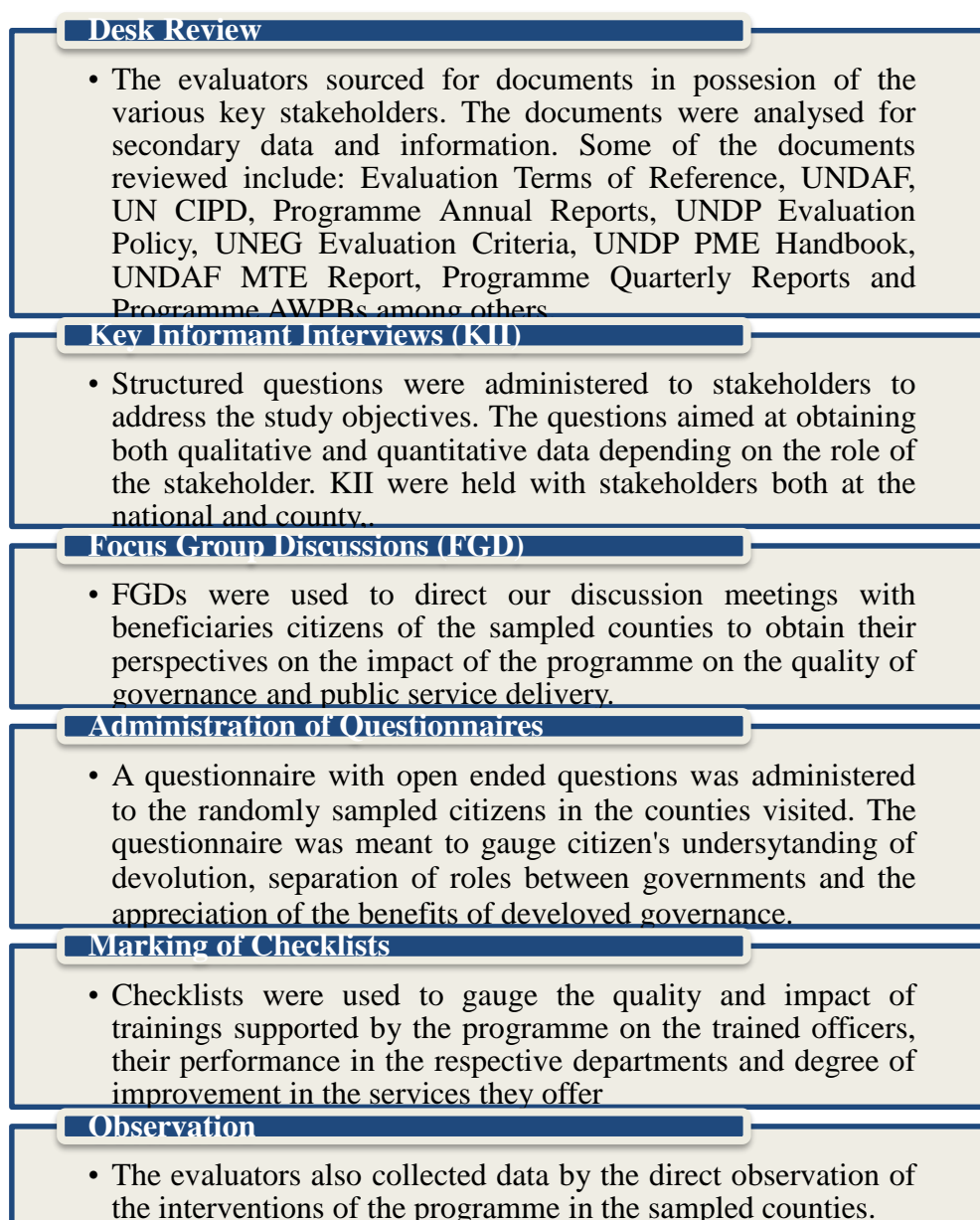


Figure 2.1: Data Collection procedures and instruments



## 2.2 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. Purposive sampling was applied to select 9 out of a sample frame of the 21 Counties in which the programme is being implemented.

The **purposive sampling approach** was adopted that took into consideration the location<sup>2</sup>, the year of intervention<sup>3</sup>, categorisation (i.e. rural or urban)<sup>4</sup>, poverty levels<sup>5</sup>, revenue base (i.e. weak or strong)<sup>6</sup>, Human Development Index (HDI) and approach in project implementation<sup>7</sup>. The counties selected for the evaluation include: Bungoma, Kericho, Kilifi, Kisumu, Kitui, Laikipia, Nyeri, Taita-Taveta and Turkana. In addition the 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 and interviewed for each of the 9 counties.

## 2.3 Methods of Data Analysis and Information Assessment

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 2.1 Summary of Techniques used to Analyse Data**

Technique	Description
Statistical Analysis	<ul style="list-style-type: none"> <li>Statistical tools and techniques were applied to analyze both quantitative data. Quantitative data was analyzed using SPSS and Microsoft Excel</li> </ul>
Experts' panel/ Internal peer review	<ul style="list-style-type: none"> <li>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</li> </ul>
Benchmarking	<ul style="list-style-type: none"> <li>The findings of the study have been reported in view of lessons learnt from similar programmes locally and globally</li> </ul>

<sup>2</sup>has a bearing on socio-cultural and political issues

<sup>3</sup>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.

<sup>4</sup>Urban (over 50% of county population living in urban area)

<sup>5</sup>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.

<sup>6</sup>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

<sup>7</sup>Programme adopted a “joint performance modality” in its implementation in the two counties of Turkana and Marsabit



Case study analysis	<ul style="list-style-type: none"> <li>During the evaluation, cases that demonstrated unique approaches to implementing the programme as well as success stories in the implementation were documented</li> </ul>
Cost-effectiveness analysis	<ul style="list-style-type: none"> <li>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</li> </ul>

## 2.4 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;

## 2.5 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 2.2: 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.

## 2.6 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<sup>8</sup>. This study was conducted with the highest standards of integrity and respect. Prior informed consent was obtained from the institutions and individuals who

<sup>8</sup> United Nations Evaluation Group (2016). Norms and Standards for Evaluation



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.

## 2.7 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. Frankline Mukwanja

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.



## 2.8 Major Limitations of the Methodology

1. **Sampling:** Due to time and resource limitations, the MTE 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.
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.
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.



## 3.0 Findings and Conclusions

### 3.1 Relevance of Programme Concept and Design

Under the 4<sup>th</sup> Schedule of the Constitution of Kenya, 2010, County Governments have a very clear mandate to deliver services to their citizens. These services are in the areas of agriculture, health, control of pollution, cultural activities, county transport, animal control and welfare, trade development and regulations, county planning and development, pre-primary education, county public works, fire fighting and disaster management, and control of drugs and pornography. However since the devolved system is novel, it is important that national and county institutional structures receive necessary support to optimize delivery of stated service mandates. However from field assessments, it has been noted that in some counties sub-county structures are yet to be developed and capacitated, so as to allow for effective reach.

Consequently, in order to ensure that both national and county governments understand and adhere to their mandates, the UN organizations decided to use their respective strengths and experiences to mitigate the following challenges;

- a) **Insufficient human and institutional capacity:** public servants and other stakeholders may lack sufficient human and institutional capacity to implement devolved governance system. Consequently, UN organizations embarked on capacity building of key stakeholders in areas such as planning, budgeting, and policy formulation as well as development of human rights indicators and identification of gender gaps that require to be addressed.
- b) **Urban planning and management challenges:** There are lack of clear guidelines for the growing market towns and intermediary cities due to dissolution of local government and with the re-centralization of some urban areas under county governments. It is imperative that clear guidelines are adopted to ensure that these areas are managed effectively. The need to capacitate staff members and institutions on the critical link between urban planning, management, and economic development is critical for economic and social development.
- c) **Managing resources:** Increase in the number of officers has led to an increase in the wage bill for the 47 counties. This will impose a significant strain on the county development budget. It is therefore vital for the County Executive and Assembly members to be capacity built on economic planning and budgeting as well as gender responsive budgeting (GRB) in order to efficiently manage the county revenue generating mechanisms. This will also enable them to preserve local resources and ensure equitable distribution within counties. This is particularly crucial for urban centres which account for 70% of GDP but have capacity deficiency in dealing with resource management.
- d) **Public procurement:** There is great need for capacity development in several key areas that have exhibited great challenges to the national and county governments. These areas include capacity development, service delivery, civic engagement, empowerment, peace building and disaster risk reduction. These areas are heavily reliant on systematic, structured, and well executed public procurement. Ensuring that appropriate public procurement is adopted at county



level is important on three levels a) transparent and efficient use of funds across sectors, i.e. health, education b) equal participation of women, youth and vulnerable groups, including vulnerable migrants as well as c) capacity building of personnel and institutions.

### 3.2 Programme Results and Main Activities

The five main pillars of the UNDP ISPDP represent the main elements of the four (4) key result areas of the strategy 'UN Delivering as One Strategy on Devolution' in which UNDP is playing a lead role. The Integrated programme spins across the economic, political, and social pillars identified in the Second Medium Term Plan (2013-17) of Kenya Vision 2030. The programme gives special focus and attention to the building of county capacities to deliver on devolution. The Programme aims to contribute to UNDAF outcome 1.3 and CPD outcome 2 on devolution and accountability. The UNDAF MTE rates outcome 1.3 to be 'on track'; the MTE however raises an issue with the 'SMARTness' of some indicators. The devolution project document (i.e. ProDoc) analyses the context of UNDP's interventions in the devolution process in Kenya, describes the strategies to be adopted and provides a logical framework for monitoring and evaluation of results. Some indicators in the logical framework however require amendment such as:

1.2 Proportion of supported counties that have capacity to formulate laws that promote devolution;	The assumption that at 2013 no County had the capacity to formulate laws is in order since the position of county attorney was only created in 2014-2015. This is the case given the centrality of the position of county attorney in the drafting of county legislation even though some of the counties employed staff qualified in drafting of policies and laws. Therefore, attributing the improved capacities of 80 per cent of supported counties (i.e. 17 counties) by 2018 to the programme is not correct.
2.1 Percentage of supported counties whose plans and budgets are approved by the COB;	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. Essentially, all county budgets must be approved by CoB if the counties are to function.
3.1 The existence of disaggregated data to inform socio-economic development	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 is not 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 doesn't provide an indication of the sectors that are facing a dire shortage of disaggregated data.

### 3.3 Programme Institution

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 these activities will continue without the UNDP support. Implementation of the Programme activities at the county level was effected in adherence to the County Integrated Development Plans. This improved ownership of the Programme achievements and hence ensuring sustainability.

### 3.4 Clarity, coherence and Realism of the Programme Design

#### 3.4.1 The programme Design and Approaches

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. The next UNDAF will utilise the experiences and lessons learnt from the Joint **One UN Strategy on Devolution**; the strategy will also create a model for replication on devolved governance and service delivery.

The programme approach is through the National Execution (NEX) modality or the National Implementation Modality (NIM) which refers to implementing partner and responsible partners from the national and county governments executing the project. This has been effected through;

##### 1) 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 sample of the trainees was interviewed and an analysis conducted on two randomly selected areas that they were trained on. Figure 3.1 shows that 69% of officers strongly agree that the objectives of the training on M&E were clearly defined with only 13 percent of the sampled beneficiaries disputing that the training time was not sufficient.



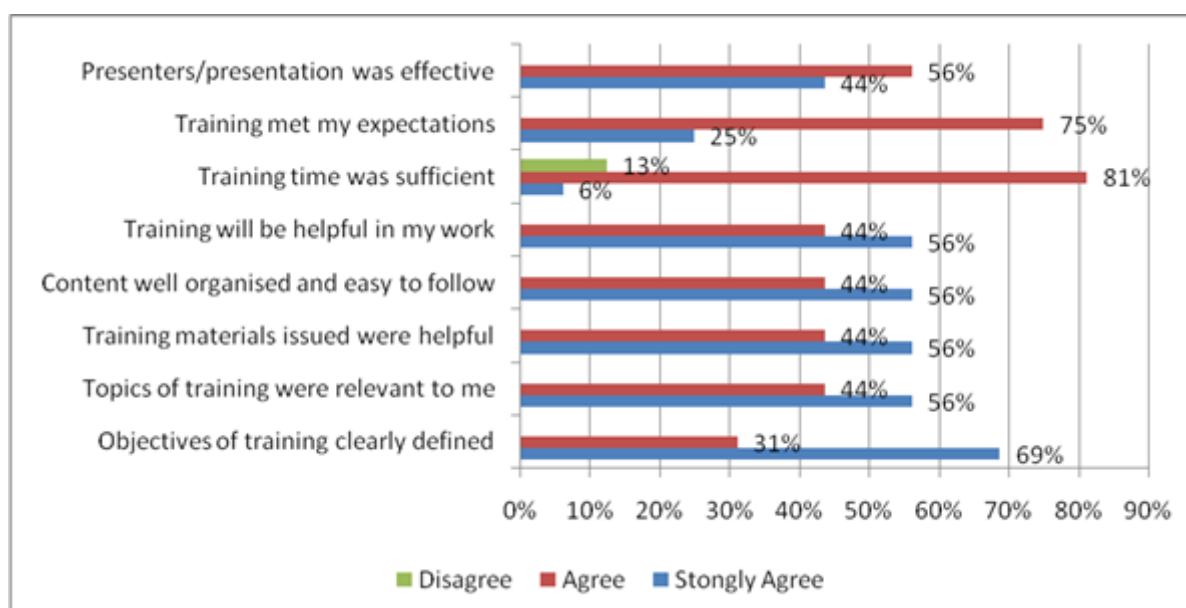


Figure 3.1: Results of evaluation of training on Monitoring &amp; Evaluation

Training was also conducted on change management and 52 percent of the trainees strongly agreeing that the presentation was effective. However 28 percent of them claimed that the training time was not sufficient.

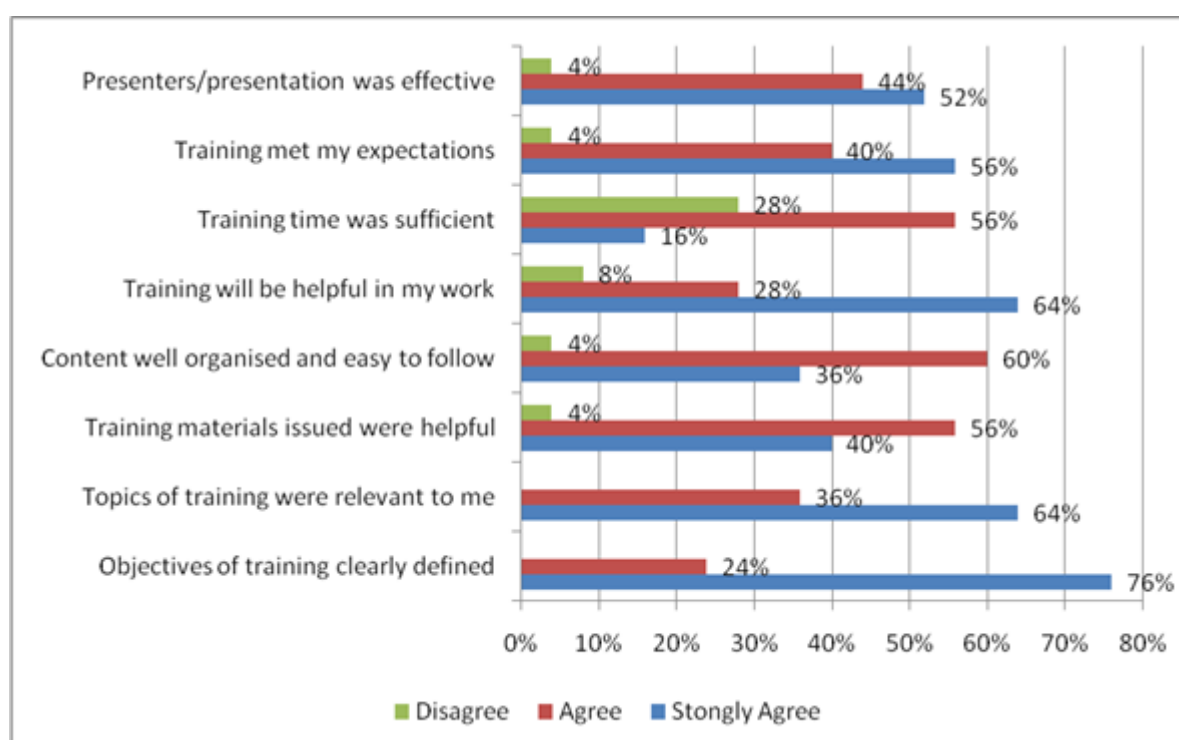


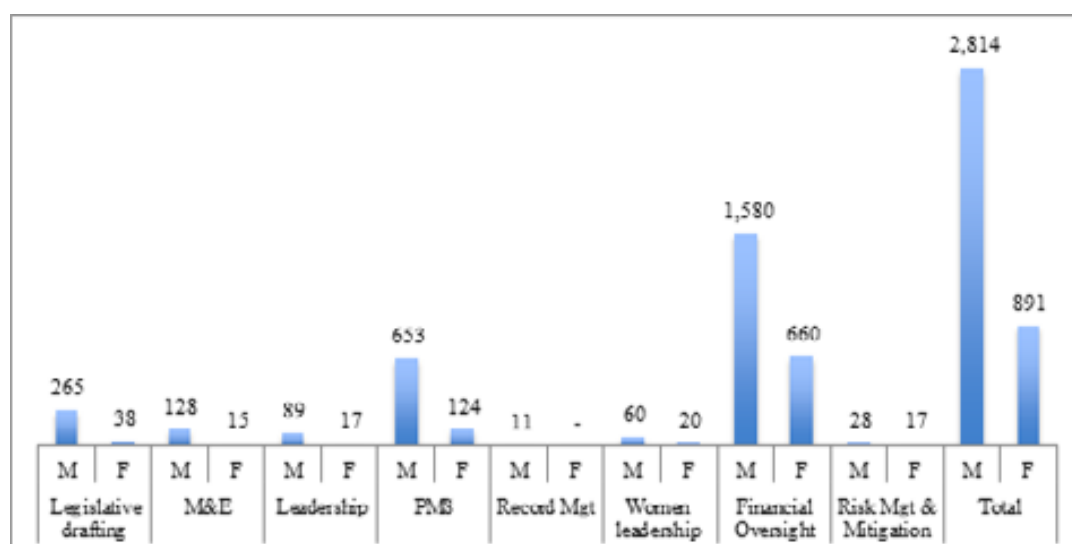
Figure 3.2: Results of evaluation of training on Change Management

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 and



area which they have more comparative advantage than UNDP. 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. From Figure 3.3 we can see that under the programme a total of 3,705 persons were trained in various aspects that will improve service delivery at both national and county levels while implementing devolution. Out of this 2,814 were male while 891 were female.



Source Devolution Annual Report 2015

Figure 3.3: Number of persons trained by 2015

## Challenge

- i) 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.

## 2) Purchase of Equipment

UNDP also assisted various county governments to acquire equipment that will assist in implementing the programme. Some of the beneficiaries include;



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

In purchasing these equipment, UNDP has enabled officers implementing the programme to implement the programme practically for example the laptops and printer purchased in Nyeri County are used by the M&E officers to write and print reports respectively on time.

### 3) Use of UNVs at National and County Levels

UNDP and the CoG agreed to avail UNVs with various technical skills to all the counties for a short duration of 6 months to assist the county officers to implement the programme effectively. The UNVs are paid salaries and other benefits and are more cost effective than using consultants. A total of 37 UNVs were deployed to various counties and in most of these counties, they have been working in various units such as M&E, HRM, and ICT.

However it seems like a good number of the counties had no use for the UNVs since UNDP has reports of counties where the UNVs were not allocated working places and desks, and many UNVs have not reported anything as part of their achievements.

In view of this one would recommend that in future if UNDP were to mobilise resources for UNVs they are perhaps best employed on a needs basis with specific targets. This would be one way of improving the design of UNV support to counties.

Some counties however placed great value on the work of the UNVs and supported them<sup>9</sup>. Among the sampled counties, Kericho, Kitui, Nyeri, and Taita Taveta are such examples. In Kericho a UNV joined the Finance & economic Planning Department as an M&E Officer. The formation and operationalisation of a county M&E Committee seems to have been a result of appreciation of his efforts in sensitization. He actively participated in the development of an M&E Plan for the Health Department, and spearheaded the development of Quarterly Progress Reports, Annual Progress Reports, and Annual Development Plan. He has also developed M&E tools.

In Kitui there are 2 UNVs one is deployed in supporting the development and implementation of GIS that maps county resources, minerals, road networks, tourist attraction sites, forests, rivers, and ongoing infrastructure projects. Among his achievements is the carrying out of a GIS ignite exercise with all County Ministerial departments to initiate the knowledge and use of GIS. He assisted in setting up the Kitui County Documentation Centre at the Ministry of ICT and provided technical backstopping on all GIS matters. The other UNV is deployed in HRM and she has assisted in the development of organograms for the various departments.

The UNV in Nyeri County was assigned M&E duties. He completed a list of all ongoing projects implemented since 2013/2014 financial year and submitted a detailed report on the status of these

<sup>9</sup> See UNDP (2016) *Counties Advancing Devolution Through United Nations Volunteers Expertise*.



projects. He developed a scorecard for the M&E Unit, supported the development of an M&E Policy Framework, and the formation and subsequent training of M&E Committees. In Taita Taveta a UNV conducted a County Citizen's Satisfaction Baseline Survey (CCSBS) and which was officially launched in October 2016, a first of its kind in the East and Central Africa region.

### 3.4.2 Targeting and Coverage

During the inception of devolved governance system the major development partners that are EU, USAID, UNDP, AHADI and World Bank convened a meeting in order to discuss ways in which they could assist the counties to implement devolution. This was a means to ensure that there was reduced duplication of efforts from the development partners. Consequently UNDP was given the mandate to assist 13 counties integrate devolved government systems. UNDP took into consideration the following characteristics while selecting the counties;

- 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;

However due to scarcity of financial resource for implementing the programme, UNDP decided to pilot with three counties, i.e. Kilifi, Kisumu, and Turkana in 2014. 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. However the target for UNDP was revised as some counties were not supported by any agencies and an additional 8 counties were added to their targets.

It is important to point out that the programme has so far mobilized on 52% of the envisaged total programme resources of USD 35 million in the ProDoc. This has impacted on programme delivery especially with the addition of 8 new counties.



### 3.4.3 Risks and Assumptions

#### a) Risks

**Table 3.1; Summary of risks and mitigation factors of the programme**

2: 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.
3: 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.
4: 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.
5: 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.
6: 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.
8: 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; <ul style="list-style-type: none"> <li>• Misappropriation of county resources during election campaigns</li> <li>• Staff turnover after elections. Officers such as MCAs and CEC members are not permanent</li> </ul>	<p><b>Training:</b> 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.</p> <p><b>Timing:</b> 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 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</p>



<ul style="list-style-type: none"> <li>offices of the county</li> <li>Misuse of equipment given to the county governments under the programme for personal and political interests</li> </ul>	<p>monitoring and evaluation activities; and planning for project implementation after the elections.</p> <p><b>Programming:</b> 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.</p>
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## b) Assumptions

Some of the assumptions made while developing the programme were;

- Programme Resources will be mobilized and available to the programme as required
- Programme implementation will be on course and targets will be achieved
- Information sharing will be effective and will be enabled
- Commitment of the national and county governments to the implementation of the programme
- Institutional capacity to implement the programme

### 3.4.4 Resources and Duration

The programme was to be implemented over a period of five years with a budget of 35 Million USD. This amount was to be disbursed annually by the various development partners. Annual budget as at June 2016 is summarized in as follows;

<b>2014</b>	7,549,385
<b>2015</b>	7,656,156
<b>2016</b>	5,311,505

In 2014 each county was given 250,000 USD to undertake several activities under the programme. Some of the activities such as trainings were conducted by other IPs rather than the counties and therefore the resources were not disbursed to the counties. This amount reduced in 2015 to 200,000 USD per county. This was due to the additional counties that were incorporated into the programme.

### 3.4.5 Partnership and Coordination for Effective Programming

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. 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 finance and management, has also been undertaken through a partnership with UN-Women. This approach has accelerated achievements of the Programme results. The national partners have helped in executing some of the project activities within their mandates thus saving time and resources. Training of the county



officers has been successfully carried out by KSG, 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.

### 3.4.6 Institutional set up and Management Aspects

#### Programme Management

**UNDP** plays a lead role in project management. As the lead, UNDP provides the Secretariat for the running of the activities. They ensure that there are high standards of accountability due to the constrained capacity at the county levels and lessons learnt from recent programmes.

#### Project Steering Committee (PSC)

The programme is managed by a programme steering committee (PSC) which is co-chaired by UNDP and MoDP. They are responsible for making management decisions on a consensus basis for the project. They also review project progress and results and may adjust activities according to needs in a changing implementation environment. Additionally they provide overall policy direction and make approval on project implementation. PSC comprises of:

- Executive Ministry of Devolution and Planning who are the programme owners
- Senior supplier UNDP, UNICEF, SIDA, Norway, UN Women who are the programme financiers
- Senior beneficiary MoDP, CoG, CRA, select sector ministries and agencies who represent the interests of the individuals who will ultimately benefit from the programme

#### Project Technical Committee

The technical committee comprises of sub-committees organised according to the 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 ensure that project monitoring and reporting is undertaken. The technical committee shall also provide quality assurance on the results.

The programme has a Devolution Steering Committee that is headed by the Permanent Secretary of the MoDP in Kenya. Moreover there is a DDWG that meets quarterly and is comprised of representatives from the supporting agencies/development partners. They meet annually to resolve any issues emanating from overlapping or duplication of efforts.

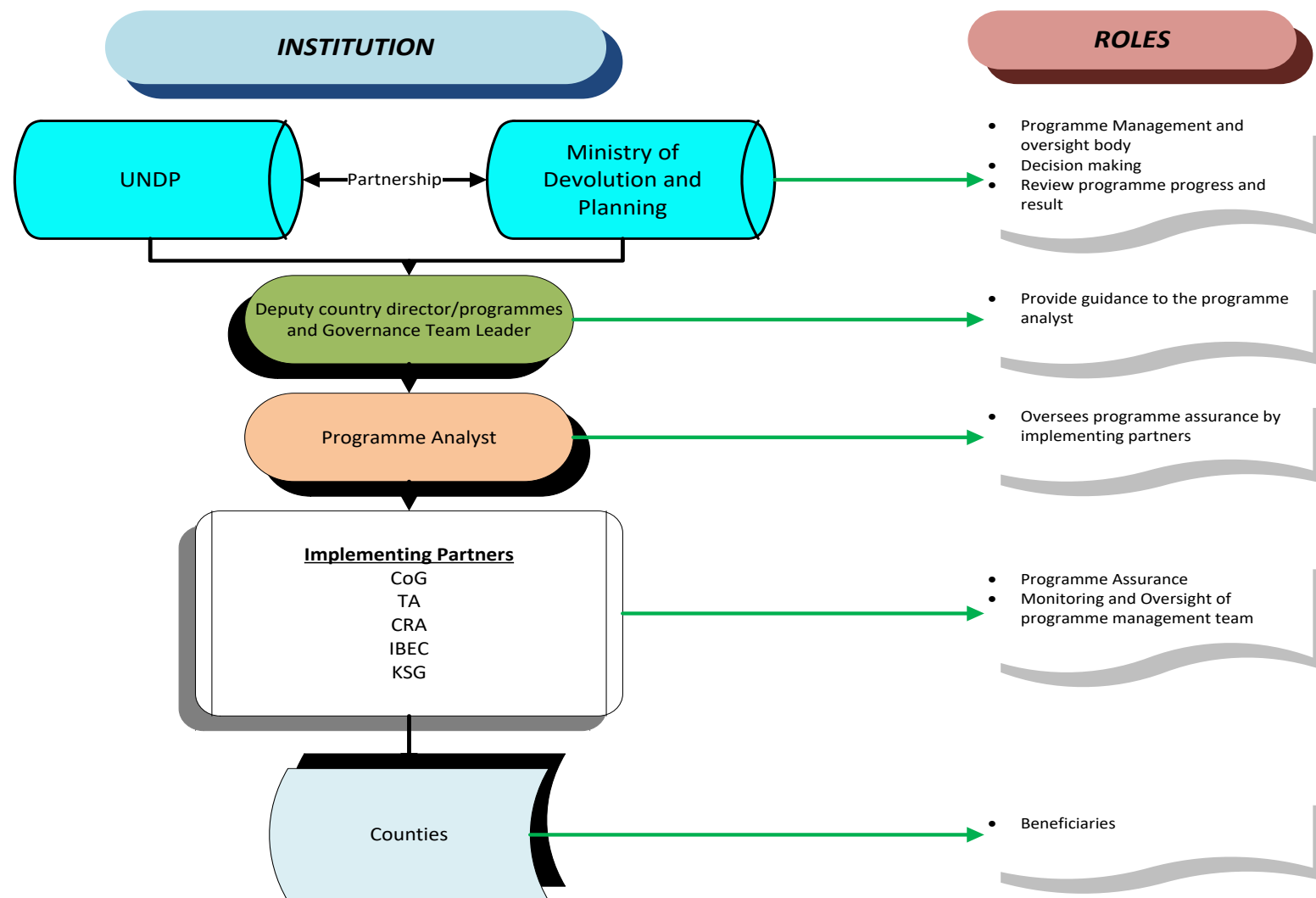
At the implementation level there is a focal person for each IP who meet up together with the county secretary, CECM Finance and UNDP focal person. This is the avenue through which all activities will be channelled through to the relevant persons on the ground. After delivery of service, the three county officers will sign for payment of services rendered by the IPs. Furthermore monitoring and evaluation is undertaken through liaison of IPs representatives, county signatories and county M&E Units. 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.



## Programme Steering Committee



Source: UNDP Annual Report 2014



Figure 3.4 Summary of Programme Implementation Structure



## Programme Management Support

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. UNDP core staff in procurement and Finance liaises with Implementing Partners in providing administrative support.

Implementing Partners have focal points that coordinate programme implementation and are supported by their administrative teams in procurement and finance. In 2015, UNDP intended to establish the Project Support Team as envisaged in the Project Document. UNDP sustained productive programme partnership with all the implementing partners. The partners' focal points worked closely with the Programme Analyst who was consistently found to be *"available and knowledgeable and quick"* in facilitating implementation of activities. The administrative aspects of procurement and finance were considered by partners as helpful and responsive.

## 3.5 Programme Performance in the Last Two and a Half Years

### 3.5.1 Overall Performance

The programme has managed to assist several counties to attain tremendous progress while implementing UNDAF's outcome 1.3 of devolution and accountability. UNDP together with other implementing partners have been able to conduct various trainings, equip departments as well as assist in management and monitoring of county activities. Table 3.2 gives a summary of the outputs for the programme over the last two and a half years.



Table 3.2; Summary of outputs of ISPDP in Kenya

Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
<b>Result Area 1: Strengthened policy and legal framework for devolved governance</b>					
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)	2 policies developed in 2014 including draft Devolution Policy and 2nd Generation Revenue Sharing Formula.	At national level 2 policies were developed; (1) finalisation of Devolution Policy, and (2) Generation Revenue Sharing Formula developed. Finalization of inventory of assets and liabilities for the defunct Local Authorities as well as costing of five government functions. Budget ceiling guideline issued by National Treasury to county assemblies.	MoDP - produced a draft Devolution Policy during the period under review through technical assistance and advice from UNDP. MoDP was supported to finalize and print the East Africa Local Government Forum (EALGF) Strategic Plan Implementation Framework. UN Women and the Public Procurement Regulatory Authority (PPRA) played a significant role in influencing the inclusion of the Public and Reservation scheme in law.	Counties have developed policies and laws that govern their activities. Most of these have been developed in the areas of; <ul style="list-style-type: none"> <li>• Performance Management</li> <li>• Civic Education</li> <li>• Planning M&amp;E</li> <li>• Food Security</li> <li>• Agriculture Development Fund</li> <li>• Agriculture Farm Input</li> <li>• Livestock Breeding</li> <li>• Bursaries</li> <li>• Public Participation</li> <li>• County Development Authority</li> <li>• County Attorney's</li> <li>• County Agricultural Training Institute</li> <li>• Veterinary Services</li> <li>• County Child Care Centres</li> <li>• County Infrastructure Development</li> <li>• Village Polytechnic</li> <li>• Early Child Development</li> <li>• County Transport</li> </ul>
	Indicator 1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution Baseline: 0 (2013)		Dissemination of county model laws to all 47 county governments by MoDP. CoG established county courts.		Staffs from 7 out of 9 counties (78 percent) have been trained on formulation of laws to promote devolution. (Bungoma, Kilifi, Kisumu, Kitui, Laikipia, Nyeri and



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
	Target: 80% of counties (2018)		5 Bills and 2 regulations were developed at county level. Staff from 6 out of 13 counties (46.2% in 2015): Kilifi, Nyeri, Kitui, Samburu, Turkana, and Taita Taveta) trained in legislative drafting.		Turkana,) However 2 out of 7 (29% ) of these counties have not trained county assembly members on the same One-off training sessions are not adequate to enable county officers to formulate their own laws. Some counties such as Laikipia had to outsource a consultant to assist them with this.
<b>Result Area 2: Strengthened and aligned capacities at national and county levels</b>					
Output 2: Strengthened institutional and human capacities at national and county levels evident in supporting national and local development.	Indicator 2.1: Percentage of Supported Counties whose plans and budgets are approved by COB;  Base Line - 40%; Target 80%	80% of County Budgets approved by Controller of Budgets (COB). CRA supported to review and comment on all 47 counties to align them with agreed ceilings and achieve balance between recurrent and development budgets. Over	46 County Budgets (97.9%) were approved by Controller of Budgets. CRA supported the review of all 47 county budgets to align them with agreed ceilings and achieve balance between recurrent and development budgets. CRA conducted training to MCAs from all 47 counties on the budget process and adherence to the budget ceilings.	MoDP was supported to undertake data collection for the on-going development of the IEC Strategy	8 out of 9 counties (88.9%) have their budgets approved by the CoB Procurement: As part of institutional capacity strengthening, UNDP supported 7 counties; Taita Taveta, Kitui, Vihiga, Kilifi, Nyeri, Kwale and Laikipia by procuring various ICT equipment which they had requested for, including laptops, printers and photocopiers
	Indicator 2.2: No of Counties with performance management systems in place.  Baseline 0 (2013). Target: At least 10	Performance Management System deployed in 2 Counties (Kisumu, Kilifi)	9 counties (Kisumu, Homa Bay, Kilifi, Bungoma, Turkana, Samburu, Kitui, Nyeri and Taita Taveta) were supported to develop performance contracting.		6 out of 9 counties have integrated performance management systems that are operational. However Turkana county system is still under development and but has been rolled out to senior staff at the county. Bungoma County however has a robust system under which they have developed



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
					a Service Delivery Unit (SDU) that ensures the activities being implemented are aligned to the CIDP, they monitor, evaluate and review existing organizational structures and conduct M&E and report on implementation of performance contracts
	Indicator 2.3: No of counties that develop business models that are inclusive and sustainable.  Baseline: 0 (2013); Target: At least 10 by 2018				6 counties (67%) have been able to develop business models that are key areas in the implementation of some of the flagship projects. Turkana county with the assistance of UNDP have mapped out resource areas and developed investment plans for the county Laikipia county which operates on investment menus, has developed Laikipia County Development Authority Act which provides for legal and institutional framework for coordination and promotion of county development.
	Indicator 2.4: MSE coordination mechanism in place  Baseline: None (2013); Target: At least 10 by 2018	Council of Governors supported to hold a Conference for Jua Kali Sector to disseminate MSE practices across 47 Counties.	2 counties (Turkana and Kwale).		Additional 2 out of 9 counties (22%) Kisumu and Bungoma, have been able to develop mechanisms to coordinate MSE.
<b>Result Area 3: Enhanced service delivery mechanisms and resilience for disaster risk management, peace building and conflict prevention</b>					



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
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.	<p>Indicator 3.1: The existence of disaggregated data to inform socio economic development.</p> <p>Baseline: National and county policies, plans, and strategies not informed by analytical studies and quality disaggregated data; no disaggregated data to monitor MDGs, human development issues; national and county development priorities; inadequate capacities at county level including on financial absorption.</p> <p>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.</p>	<p>Lack of segregated data from counties to assist in budgeting and planning for improved service delivery. However, general information on population, size of the county, poverty index received from all 47 Counties to inform the 2nd Generation Revenue Sharing Formula.</p> <p>Consultations held with all 47 Counties on budget making aligned to development objectives.</p>	<p>Information received from all 47 counties to inform the 2nd Generation Revenue Sharing Formula.</p> <p>Consultations held with all 47 Counties on budget making aligned to development objectives.</p> <p>TA (with technical assistance from KIPPRA) conducted assessment of Devolution and hosted a second consultative retreat with senators to report on the status in the implementation of Devolution in Kenya.</p> <p>TA developed a Survey Report emanating from the costing of functions and held a stakeholder validation of the report.</p> <p>TA also publicised the Inventory of Assets and Liabilities Report. The report was disaggregated accordingly</p>		<p>56 percent of the counties disaggregate data according to the different departmental needs. Most of the data collected is on a needs basis for example Turkana, Nyeri and Laikipia counties collect information according to the need of the relevant department</p> <p>However 44 percent of the counties still need to segregate data in order to inform their socio economic development activities. For example due to lack of disaggregated data, Turkana county uses their SIRs to inform development activities</p>
	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	1 Sectoral Policy and Legislative Analysis undertaken.	1 Sectoral Policy and Legislative Analysis undertaken. Homa Bay County undertook a workload analysis for five of the county's ten departments.		<p>Turkana county undertook baseline survey with the assistance of UNDP and revised their CIDP.</p> <p>MoDP as well as UNDP conducted baseline survey that informed the programme ISPDP. The programme has assisted</p>



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
	and county levels.  Baseline: 0 (2013); Target: 4 (2018)				counties to develop County Spatial Plan. Moreover 5 counties have been assisted to develop Risk Maps that identify the risky areas and 3 counties have been able to develop contingency plans to assist in times of disasters. All the counties conduct needs assessments that inform planning and policy formulation at departmental level
	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).	3 Counties (Kisumu, Turkana and Kilifi) trained on collaborative leadership	5 Counties (Kisumu, Samburu, Taita Taveta, Turkana and Kilifi) trained on collaborative leadership, peace building and conflict resolution.		Turkana county has a fully-fledged disaster risk management unit with budgetary allocations for peace building, community security and cohesion.
	Indicator 3.4: Number of counties with DRR mainstreaming guidelines.		24 Counties mainstreamed DRR guidelines in planning. 929 officers drawn from 24 risk counties were trained in disaster preparedness and response. A series of rapid assessments conducted. The NDOC upgraded its emergency operation centre through provision of equipment and communication facilities. Vihiga County developed a	109 participants (97 male and 12 female) trained on policy formulation in the area of DRR/CC. Two trainings were carried out for the County Executives Committee Members, Members of the County Assembly and Technical Officers from the counties of Kwale, Kilifi, Tana River, Turkana and	Kisumu County has drafted the County Disaster and Emergency Management Act 2015 to coordinate all disaster management activities in the county  The programme has also supported NDMA to come up with systems for Early Warning whereby 24 counties have been trained on early warning for disaster management



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
			risk management tool and officials trained on risk management, analysis and mitigation.	<p>Baringo.</p> <p>Kilifi County established a working group that reviewed the county Disaster Risk Management Bill, the revised bill will be re-forwarded to the county assembly. The task force in Kilifi County is currently reviewing the county contingency plan. Similar follow-up action has begun in the other four counties.</p> <p>In Turkana County, UNDP provided technical assistance and facilitated the development of a DRR and climate change platform with a total of 35 members from the county government, civil society and development partners attending. From the meeting, the members proposed the activation of the Sub-County, Ward and Village Steering Committee groups which would be the link between the county DRR and climate change platform and the lower</p>	



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
				administrative level. Disaster response hub being set up in Turkana county	
<b>Result Area 4: Strengthened citizen engagement in devolved governance</b>					
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.	Survey conducted in 2013 by Transparency International revealed satisfaction percentage of 43%.	TA in partnership with MoDP developed a civic education framework, (including a Civic Education Curriculum and Training Manual), to be finalised in 2016. MoDP developed a draft Information Education Communication (IEC) Strategy, which will be finalised in 2016.	The project supported MoDP to develop and launch of a civic education curriculum and implementation plan for different target audiences to increase citizen understanding on devolution	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 However 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



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
					a milk processing SACCO for farmers (
	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 have HIV and AIDs plans and budgets.				Provision of funds for HIV and AIDs is not done as a single activity but it is given under county ministry of health. In Turkana County their allocation for HIV increased from KShs. 5.7M to KShs. 11M.
<b>Result Area 5: Integrated service delivery demonstrated in select counties</b>					
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.		2 counties (Turkana and Marsabit) prioritised for pilot testing. They were supported to hold international investment conferences. 39 county officials from Turkana trained on legislative drafting and policy formulation 13 counties were supported in various ways to strengthen Devolution (e.g. development and strengthening of M&E, PAS, CIDP, training of staff, MCAs and CECs, placement of UNVs etc	UN Women providing international technical assistance to develop and review Gender Responsive Budget (GRB) guidelines and implement technical workshops between the Council of Governors (CoG), County Assemblies Forum (CAF) and the national Parliament Budget Office and Treasury Gender advisors have been placed; (i) Turkana County to support the county government in engendering the planning and budgeting cycle, starting with the 2016/17 budget cycle,	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. The system was developed by a private consultant. example Nyeri allocates 100M for women 50 M for youth and 30 M for marginalized persons Counties also use Social Intelligence Reports to inform budgeting. SIRs focus on five main areas which are; 1 Child protection 2 Education 3 Water and Sanitation



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
				<p>support the roll out of the 30% preferential procurement roll out, strengthen women economic empowerment programming, strengthen women participation in peace and cohesion issues, and strengthen the link between the county and the CoG on gender issues.</p> <p>(ii) CoG, through the advisor, there is emerging strong linkage with the CoG and the CECs responsible for gender at counties, strengthened link between CoG and the Ministry of Public Service Gender Youth and Gender Affairs especially, and the ensuring the devolution policy spaces like the devolution conference start strongly mainstreaming gender in policy documents.</p> <p>Public Financial Management Reform Strategy (2013-2018) mid-term review report was analysed and</p>	<p>4 Health 5 Nutrition</p> <p>Under this five domains priority is given to women and children during budgeting</p>



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
				gender gaps were identified for the Strategy's revision 95.2% of the counties have their budgets approved by the CoB with Nyeri county receiving half of their recurrent budget	
<b>Programme Management</b>					
Output 6: Improved Programme Management Support to the devolution programme	Indicator 6.1: No of Staff engaged. Baseline 1 (2013). Target 7 (2018).		Technical Advisor for Devolution Project, Project M&E Officer	Recruitment and placement of the Programme Manager and Programme Associate was concluded Procurement: As part of institutional capacity strengthening, UNDP supported 7 counties; Taita Taveta, Kitui, Vihiga, Kilifi, Nyeri, Kwale and Laikipia by procuring various ICT equipment which they had requested for, including laptops, printers and photocopiers.	Recruitment and placement of the Programme Manager and Programme Associate was concluded The programme is yet to recruit a Finance Officer
	Indicator 6.2: Unqualified Audit reports. Baseline None.	Unqualified 2014 audit for the Project	Unqualified 2015 audit for the Project.		Unqualified 2014 and 2015 audit reports for the Project.
	Indicator 6.3: Positive evaluation reports. Baseline None; Target -positive 2018.	No evaluation conducted on the project in 2014	One (1) evaluation was conducted in Kilifi, detailing achievements for 10 departments. A report	Project Reports: Annual	UNDAF MTE was reviewed Midterm evaluation ongoing



Output	Indicators Baseline and Target	Output 2014	Output 2015	Output 2016 Qtr 1	Output MTE 2016
			developed and disseminated.		



### 3.6 Efficiency of the programme

The Programme used USD. 2,023,374.18 in conformity with the approved project budgets, for the approved purposes of the project, in compliance with the relevant UNDP regulations and rules, policies and procedures, supported by properly approved vouchers and other supporting documents<sup>10</sup>.

Table 3.3; Total Resources and Expenditure for 2014

Donor	Available Resources 2014 (USD)	Expenditure 2014	Balance
Norway	2,032,416	1,157,399	875,017
DFID	817,242	431,331	385,911
USAID	2,630,000	-	2,630,000
Sweden	1,589,193	-	1,589,193
UNICEF	50,000	21,512	28,488
UNDP	430,534	413,132	17,402
Total	<b>7,549,385</b>	<b>2,023,374</b>	<b>5,526,011</b>

As at 31st December 2015, the Programme had spent USD 4,955,446 equivalent to KES 506,397,026.74 in 2015,

Table 3.3; Total Resources and Expenditure for 2015

	Disbursement as at December 2015	Expenditure
UNDP		97,870
USAID	2,630,000	1,817,749
SIDA	2,767,744	1,750,299
DFID	1,848,547	429,511
Norway	1,227,107	833,242
UNICEF		26,775
Total	<b>7,656,156</b>	<b>4,955,446</b>

As at 30 June 2016, the programme had spent KShs. **1,779,175.35** as shown in the Table 3.5

Table 3.5 Total Resources and Expenditure for 2014

Donor	Available Resources (USD)	Expenditure 2016	June 2016	Cumulative Expenditures	Percentage of Expenditure
UNDP	100,000		27.58	27.58	0%
Norway	596,419		458,656.83	559,920.19	94%
DFID	2,428,291		853,060.48	941,958.92	39%
SIDA	1,044,544		438,720.39	876,262.43	84%
USAID	1,142,251		28,710.07	476,647.62	42%

<sup>10</sup> UNDP, (2014), Annual Report 2014, An Integrated UNDP Support Programme for the Devolution Process in Kenya, Annual Report, Project No: 00083473.



Grand Total	5,311,505	1,779,175.35	2,854,816.74	54%
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Comparison of total disbursement from donors is given in Figure 3.6. Majority of the donors disbursed their funds in 2015 and this can be attributed to the successful implementation in the pilot counties.

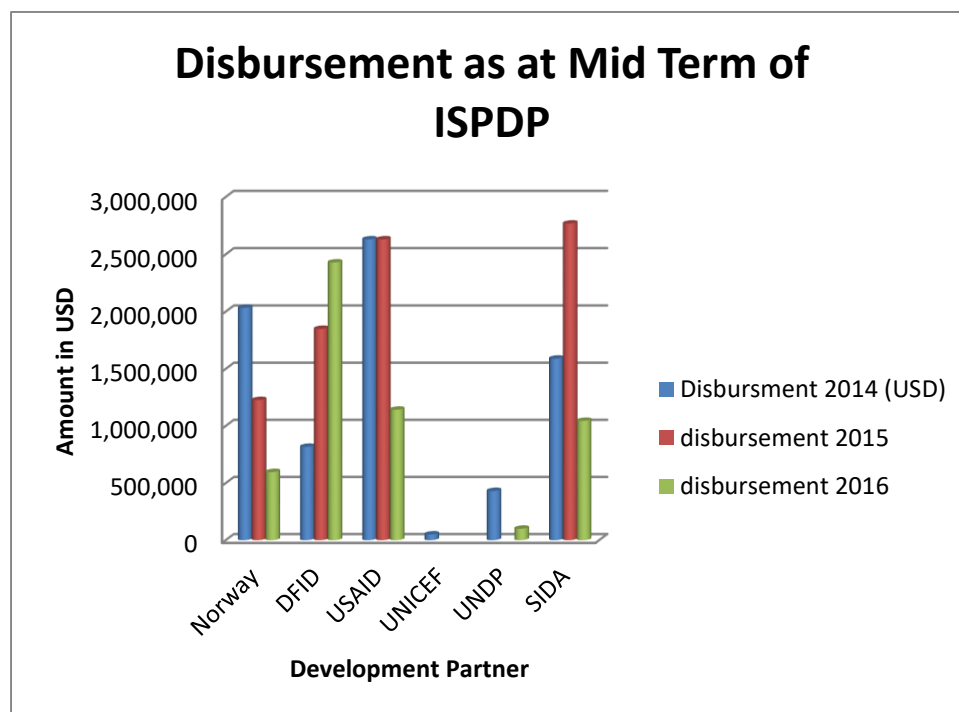


Figure 3.6; Disbursement of Funds for ISPDP in Kenya

Figure 3.7 illustrates the trend in which financial resources have been disbursed to ensure implementation of the programme. Most of the funds were distributed in 2015 and this can be pegged on the additional 13 counties that were brought on board. However disbursement from SIDA, UNDP and USAID as at 30 June 2016 seems to be at a slower rate than that of the preceding year.



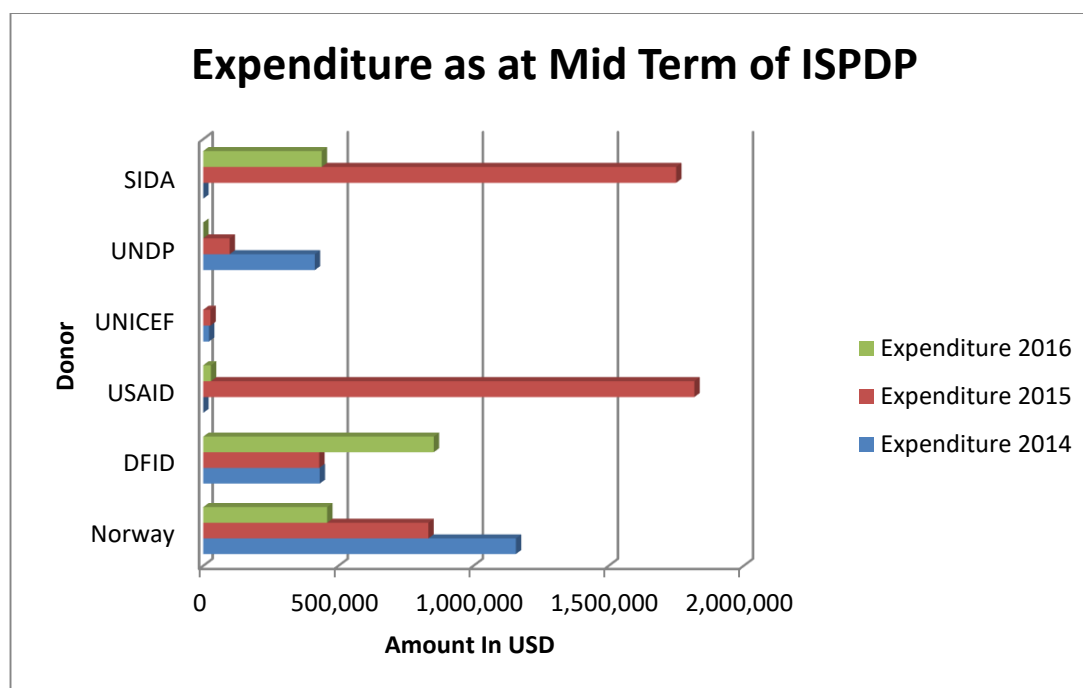


Figure 3.7: Expenditure for ISPDP in Kenya

Expenditure has increased from the inception of the programme and this can be attributed to increase in the number of counties that were targeted as well as increase in activities to be undertaken by the various partners.

The programme however budgeted to undertake the various activities under the five pillars identified. A summary of the expenditure is given in Table 3.6;

Table 3.6 Total Planned and Actual Expenditure for the Programme

Year	Planned Expenditure	Resource Received	Balance	Percentage Allocated %	Actual Expenditure	Percentage Used %
2014	10,368,000.00	7,549,385.00	2,818,615.00	72.81	2,009,931.00	26.62
2015	9,919,005.00	7,656,156.00	2,262,849.00	77.19	4,812,811.00	62.86
2016	5,607,155.00	5,311,505.00	295,650.00	94.73	2,994,552.91	56.38

From Table 3.6 we can see that in 2014 the programme only utilized 26.62 percent 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.

Figure 3.8 shows the amount of resources received for the programme as compared to the amount budgeted. In 2014 programme received 72.8 percent of the amount budget for as compared to 2016 whereby the programme received 94.7 percent.



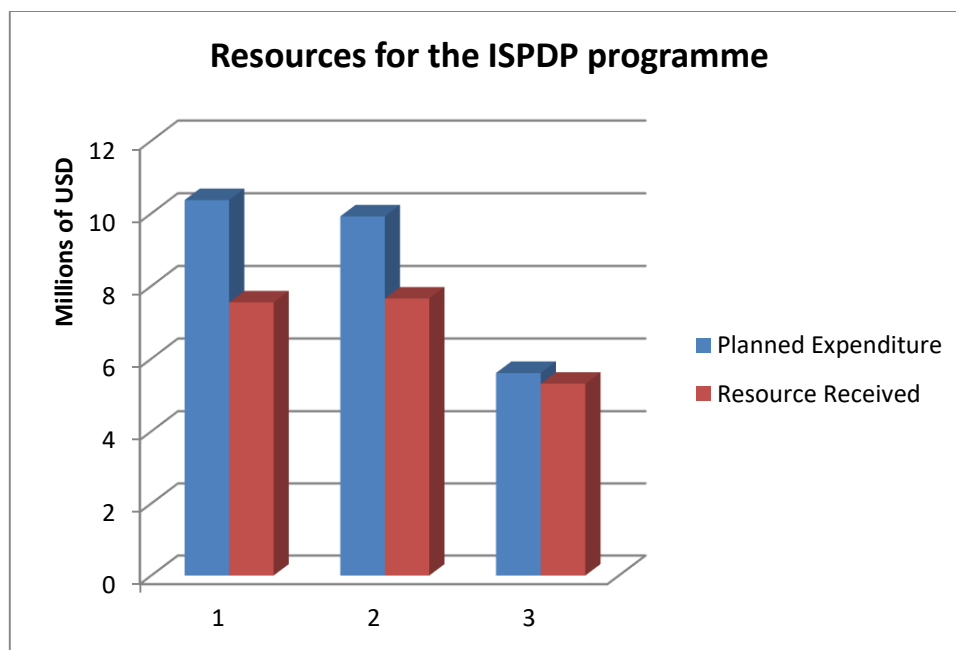


Figure 3.8 Comparison of Resources Planned for versus Received

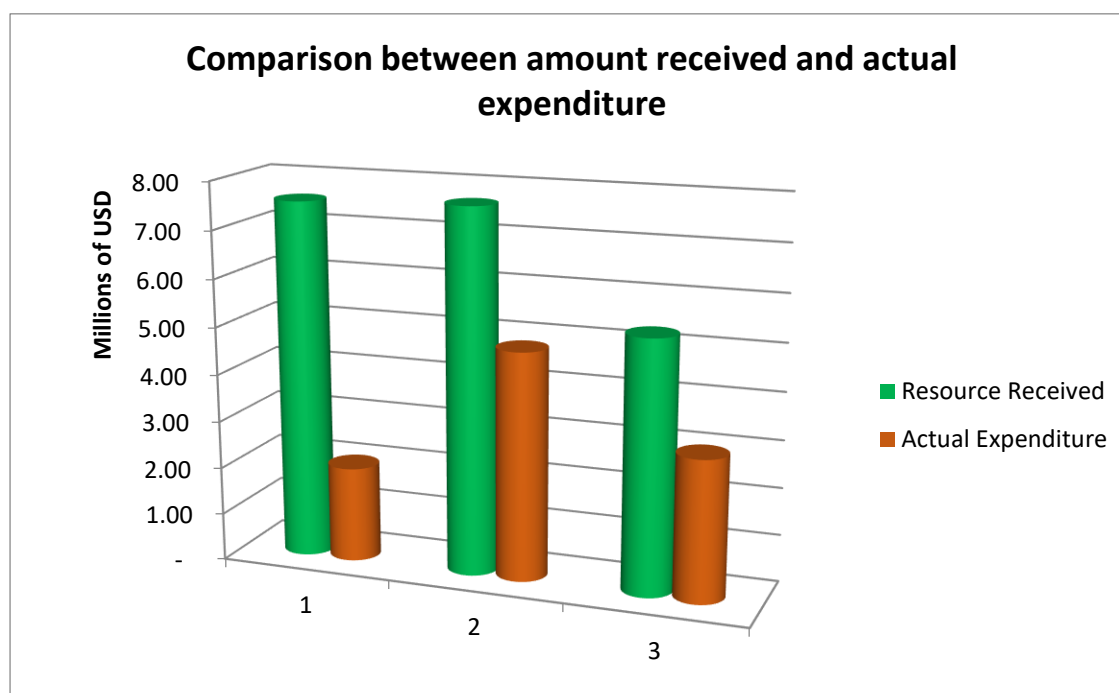


Figure 3.9 Comparison between the amounts received and actual expenditure

From Figure 3.9 it is evident that in 2014 the programme's actual expenditure was less than the resources allocated for it. Approximately 26.6 percent of the amount given was utilized. This could be attributed to the fact that the programme was only being implemented in three counties. However in 2015 the level of efficiency improved as 62.86 percent of the resources allocated were utilized. This means that the programme is running within its budget.



### 3.6.1 Programme Performance

The programme performance can be assessed from the achievements of the targets set out by the programme. Table 3.7 summarizes the achievements made under the programme and some of the challenges faced during its implementation.

**Table 3.7 Summary of programme achievement**

Output	Indicators Baseline and Target	Planned	Value Achieved	Challenges Faced
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%)	Lack of follow up trainings that will ensure that the officers are well conversant with drafting policies and laws.  Conflicts between county assembly and executive members that hinder the activities to be undertaken under each policy
	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%	78%	The programme has supported the training of officers from both county executive and assembly on formulation of policies and laws. However, support needed in the actual application of the knowledge from the trainings in formulating county and sector specific policies and laws.
Output 2: Strengthened institutional and human capacities at national and county levels evident in supporting national and local development.	Indicator 2.1: Percentage of Supported Counties whose plans and budgets are approved by COB;  Base Line - 40%; Target 80%	80%	88.9%	Counties are now in a situation where their county assemblies are implementing parallel projects/ programmes with the executive using the ward development fund
	Indicator 2.2: No of Counties with performance management systems in place.  Baseline 0 (2013). Target: At least 10	10	6 (60%)	The programme offered support towards development of county performance management systems. Most counties have developed public service charters; however,
	Indicator 2.3: No of counties that develop business models that are inclusive and sustainable.	10	6 (60%)	



Output	Indicators Baseline and Target	Planned	Value Achieved	Challenges Faced
	Baseline: 0 (2013); Target: At least 10 by 2018			
	Indicator 2.4: MSE coordination mechanism in place  Baseline: None (2013); Target: At least 10 by 2018	10	2 (20%)	The national MSE Act has not been finalized. MSEA has also been facing challenges in working with county governments to streamline MSE issues
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 not informed by analytical studies and quality disaggregated data; no disaggregated data to monitor MDGs, human development issues; 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%	56%	Secondary information was used to inform the programme. This information may be outdated and not disaggregated accordingly to advice in the next cause of action efficiently.
	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		Surveys are done on a needs basis by both the national and county governments. Furthermore information from secondary data is used for analytical works, policies and advocacy papers.

Output	Indicators Baseline and Target	Planned	Value Achieved	Challenges Faced
	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%)	The type of disasters faced by various counties varies in magnitude, intensity and effect to the society. it
	Indicator 3.4: Number of counties with DRR mainstreaming guidelines.		25	DRR funds within counties are contained within an emergency fund that has low funding. DRR activities are not guided by comprehensive and inclusive DRM policies and legislation. Furthermore, most counties have not formed disaster management units to coordinate DRR efforts
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%		Most county governments have conducted customer satisfaction surveys at the departmental level; surveys to assess the satisfaction of citizens with the overall performance of county governments have not been conducted
	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 have HIV and AIDs plans and budgets.	50% of high burdened counties <sup>1112</sup>	3 out of 3 (100%)	Counties have not set aside funds specifically for HIV/ AIDs issues. The issues have been covered in sectoral budgets; this hampers autonomous efforts towards addressing HIV/ AIDs issues
Output 5: Pilot testing of full local development cycle including participatory planning, budgeting (including gender budgeting), local level	Indicator 5.1: County governments capacitated to deliver equitable, high quality public services.  Baseline: 0 in 2013;	10	13 (100%)	Mind-set and attitude of county officers has retarded the adoption of the PMS at the county levels Lack of adequate training on the M&E staff to develop appropriate tools to collect data on the indicators identified under the Indicator Handbooks for the various counties

<sup>11</sup> Homabay, 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)

<sup>12</sup> <http://www.kenyaforum.net/2013/07/29/counties-most-hit-by-hiv-aids-in-kenya/>



Output	Indicators Baseline and Target	Planned	Value Achieved	Challenges Faced
implementation capacities performance and change management, monitoring and learning.	Target: At least 10 by 2018.			
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%)	The programme is yet to employ one more person that is the programme's finance officer
	Indicator 6.2: Unqualified Audit reports. Baseline None.	At-least One	One per programme year (100%)	
	Indicator 6.3: Positive evaluation reports. Baseline None; Target -positive 2018.	Positive 2018	Positive (100%)	



From Table 3.7, the MTE can categorize achievement of each programme outcome as being on track, partially on track and off track where;

- On track means the programme is within its target plans
- Partially on track the programme is lagging behind its targets
- Off track where the programme is completely off its set targets and achievements

Table 3.8 summarizes the 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 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.	Partially 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.	Partially 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.

### 3.7 Effectiveness of the Programme

The programme has several aspects under which effectiveness was measured. This includes the following areas;

#### 3.7.1 Decision-Making Processes Within the Counties

Decision making in a new devolved system can be a challenge especially if the roles and responsibilities of the various parties are not well interpreted. At the county level all decisions on development projects are informed by the CIDP, strategic plans, Social Intelligence Report, resource maps and investment plans. The ISPDP programme has assisted most of the target counties for example Turkana, Kisumu and Bungoma counties to develop some of these documents. Counties executive pick out the activities to be undertaken each year from their CIDP and budget on them. They submit these to the County Assembly members for approval after public participation. When this is done and approved the decisions are made and the county embarks on the projects. However it was noted that there are still misunderstandings



between the county executive and assembly with regards to decision making as they do not agree on the activities to be undertaken for the county.

Nyeri county is an example of county undergoing issues due to misunderstandings among the county officers. They are currently operating on a half budget for the recurrent expenditure due to the fact that their budget was not approved by the CoB as it was not signed by the governor. The county executive and the county assembly members did not agree on the budget of activities forcing the governor not to approve of the proposed budget for the county.

### 3.7.2 Efficiency in the Utilization of Programme Funds

For devolution to be realized in Kenya, structures, process and management systems put in place have to be effective and efficient. Devolution involves the transfer of power and resources from the central government to lower levels of government initially to the counties and to the sub counties and finally to the people. This requires cooperation, proper negotiation, technical and financial support, planning, organizing, directing and controlling the management activities of all devolved functions.

UNDP and other partners together with the various institutions in Kenya such as the Ministry of Devolution and Planning (MoDP), CoG, KSG, TA, CoB among others have worked with counties to ensure that by 2017, Kenya enjoys 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. Under the proposed indicators, the Programme has enabled the counties achieve the following:

#### *a) Drafting of Policies and Laws*

It was established that the CoG had 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 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 had also established a forum for the County legal officers and was working with the KLRC to realize a harmonized approach to model legislation. The CoG summit had initiated the process of having a County Printer in place to address delays occasioned by the workload and priorities of the Government Printer. At Counties level, most of the laws and policies still emanate from the County executive. The County executive relies mainly on technical support of consultants to draft most of the laws and policies.

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. In terms of budgetary allocation towards the development of laws and policies, it was established that the county does not have a specific budgetary allocation. The Director of Policy noted that the County has not developed sufficient policies due to lack of funds.

Kitui County has been able to develop the 'County ICT strategy 2015 – 2020. 30 and has been able to train their officers on e-government i.e. application of ICT to county service delivery. Moreover the county has produced ward, sub-county, and county level score cards to show-case achievement for each financial year.

Turkana County financed all their legislative drafting and civic education expenses. 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.

### **Capacity to Formulate Laws that Promote Devolution**

The support to CoG and Counties in building their capacity in drafting of bills and policies by training the County legal officers, Chief Officers and CEC members have enabled the Counties to formulate bills that have been gazetted. 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 Laikipia County Development Authority Act which has christened investment opportunities in the county. The investment menus highlight the incentives and possible returns to interested investors. These trainings improved the County's technical capacity to develop county bills and policies. 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
- County Transport

### **Strengthened Institutional and Human 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 trains conducted by the implementing partners. As discussed in section 3.3.1 under the approach of the programme, it is evident that the UNDP 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. In 2015 itself 3,705 persons were trained on various aspects of the programme out of which 2,814 were male while 891 were female.

### *b) Economic Planning and Budgeting*

All Counties except Nyeri stated their budgets and plans were approved by the COB within the stipulated timelines. The annual plans are adopted from their CIDPs. Strategies and policies are then developed from these plans in all the departments to indicate their budgets. The Social Intelligence Report SIR also plays a big role in informing various sectors that are to be budgeted for. The main areas under focus in the SIR include;

- 1 Child protection
- 2 Education
- 3 Water and Sanitation
- 4 Health
- 5 Nutrition

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.

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.

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.

### *c) Performance Management System in Place*

The UNDP training on change and performance management enabled officers to understand development of their work plans and those of other departments thus improving levels of competence and efficiency. The training also helped to identify gaps in human resource and especially those needed in the development of laws and policies, monitoring and evaluation and other technical expertise.

Owing to the training received from the programme, Turkana county is in the process of developing a performance management system called "Achieve". The system is being developed by a private consultant. 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.

Officers in various counties including Kisumu, Turkana, Kilifi, Nyeri and Kitui have been trained on Change and Performance management by MoDP. The training enabled the county executives to adopt the performance contract from the ministry 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.

In Kericho County through the performance contracting system cannot be directly attributed to UNDP, the latter contributed to its development as a UNV was placed in the county and UNDP supported 3 officials to attend a programme management workshop in Kisumu where the PMS of the latter was shared. Nyeri County on the other hand 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.

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."*

Turkana County was in the process of initiating an integrated performance management and monitoring system. The process had been slowed by lack of coordination between MoDP and CoG. MoDP had gone ahead to institute a system that CoG found inconsistent with their needs and challenges and so opted to roll out a separate initiative.

## County Business Models

The county business and investment models are pegged both on the counties comparative advantages as well as some of the flagship projects that have been identified in the various CIDPs.

Nyeri County for example has identified milk processing as one of their areas of comparative advantage. Therefore the county identified one factory and gave the members financial assistance to purchase machinery and equipment so as to process milk in large scale. This venture has incited milk farmers to sell their milk to this company. Increase in the supply of milk has also lead to increase in production of other milk products such cheese, yoghurt among others. Sale of these milk and milk products at large scale has increased revenue for the company and ensured that the Sacco members earn more dividends.



Moreover the county is in the process of conducting an assessment for putting up a leather factory that will enable them manufacture leather products. These activities are among some of the flagship projects identified in the county's CIDP.

Additionally Taita-Taveta County has developed various models under the support of UNDP: A '**biashara**' **business model** has been developed to incubate business ideas for the youth and women. The business centre is being run from the office of the governor and is supported by UNDP and a UNV. The County conducted a market survey that has informed the various areas under which investments can be done. Some of the activities undertaken include cattle auctions.

Kisumu County, under the department of cooperatives, has been able to develop and support business models. They have unified the boda boda operators and established a garage for them. They intend to expand the garage into a full motorbike assembly shop through the mentorship of Honda Kenya. Small businesses have been registered into Sacco's to enable more saving and information sharing.

Additionally, in 2014, Kericho County held a County Investment Conference which helped them identify Wards with potential to create their own business models. They identified Ainamoi Ward to explore Banana processing, Kabianga Ward to explore milk processing. They plan to come up with cottage industries and to have every Ward produce a unique product.

Laikipia County has also developed a business model for the poultry farmers. Under this model they provided incubators to the farmers and conducted training on the market requirements. The county officers also assist the farmers by overseeing the contract signing and implementation in order to protect the farmers from being exploited by business persons.

### Micro and Small Enterprises Coordination Mechanisms

From the training received from UNDP under the programme, some counties have been able to establish vibrant MSE coordination mechanisms. These mechanisms have been put in place in various departments for example in Kisumu County, the department of industrialization and enterprise planning carried out a mapping of all the SMEs at the County. During this mapping, specific needs of enterprises were identified. A draft SME policy has been developed awaiting approval from the county assembly to enable funding from the County Government. The department of Trade and Cooperatives in Kericho County has established the Kericho County Enterprises Fund which is meant to assist existing women, youth and persons with physical challenges' businesses at the county. They carry out training for these groups to add value to their businesses.

Bungoma County on the other hand, through the ministry of trade, established the Business Enterprise Fund which gives loan ranging from KSh 10,000- 1 million to organized business groups at the rate of 6%. Laikipia County had established the Laikipia County Development Authority through an Act of the County Assembly. The authority had developed investment menus in the counties selected priority sectors namely: wildlife, dairy farming, beef farming, sand harvesting, and agriculture. The menus outlined the incentives and possible returns for each sector.



#### *d) 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 workplans. From the national level MoDP and UNDP conducted baseline surveys that informed the need for the programme. The survey also informed on the areas in which the counties required capacity building on. Additionally, it was observed that only 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.

However assessments have been conducted on a needs basis by the various departments in the counties. 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

Segregation of data varies according to various departments in the county. However Turkana, Kisumu and Kericho Counties did not segregated data that would inform their activities. 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.

### **3.8 Management and monitoring**

There is a gap in the area of management and monitoring of the programme at the county level. It was observed that there were no proper 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 out of the 9 counties 7 of them 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. Turkana county for example has a total of 4 staff members in the M&E unit. Each staff monitors around 3 units per county.

### 3.9 Social and Environmental Standards

At the national level, Kenya has made some progress in mainstreaming Disaster Risk Reduction (DRR). The county governments 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. There is more progress in Bungoma County 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, on the other hand 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.

### 3.10 Gender Mainstreaming

The programme in partnership with UN Women has been able to ensure 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 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 training on GRB (institutionalisation)(

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 programme will have an approximate budget of USD 30M-70m over 5-7 years period to cover the whole MTP III period.

Nyeri County has in the FY<sub>2015/16</sub> allocated 100M KShs for women, 50M KShs. to youth and 30M KShs. 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.

### 3.9.1 Joint Programme Modality in Marsabit and Turkana

The support to the Turkana County Government, given through the UNDP Joint Programme, achieved the following:

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. Their 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 the Office of the Governor 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.



### 3.10 Citizen Participation

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. Quite a number have, however, 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. 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

### 3.11 Impacts

Even though the programme is only half way implemented, there are some impacts which have been achieved. Some of the areas where impacts have been evidenced in the programme include but are not limited to;

#### **Performance Management**

The training on change and performance management under the UNDP support has had a great impact on how the county staffs are carrying 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 staffs under the Department of Agriculture in Kisumu County. Kitui County has developed the 'County ICT strategy 2015 – 2020. 30 county officers have been trained on e-government i.e. application of ICT to county service delivery.

#### **Resource Management**

One of the most effective impacts of the programme is adequate resource management by county governments. They can now prepare their own activities and budget for them accordingly. Additionally, they are able to collect more revenue due to appropriate measures put in place. This can also be attributed to proper urban planning and appropriate procurement procedures being followed.



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

FY <sub>2014/15</sub>	collected KShs. 680,700,000.67
FY <sub>2015/16</sub>	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 powerplant 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.

## 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 these assessments according to their work plans, some of the assessments are conducted on a needs basis and inform various departments on areas that may need improvement and assist in decision making.

### Case Study 1: Mr. Kennedy Mwangome, Sub-County Admin, Ganze Sub-County, Kilifi

The officer was trained on M&E by the KSG. He had no prior training in M&E before the KSG training. After the training, he holds a meeting with all Sub-County heads of department once per month to analyse monitoring data for county projects in the sub-county for the month and recommend corrective actions to the department's in-charge. 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; M&E activities at the Ward level are headed by Ward Administrators. M&E activities include:

- 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

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 doesn't allocate funds to M&E. He advocates for efficient utilisation of funds to retain some for M&E. County level officers do not 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



## Disaster Risk Reduction

Counties such as Turkana, Laikipia and Kitui which are prone to disasters such as drought are able to budget for disaster risk reduction without having to wait on the national government for assistance. This has improved community resilience towards managing disasters. Bungoma county which has purchased fire engines has improved response to disasters such as fire outbreaks in the county.

### 3.12 Sustainability and Exit UNDP Exit Strategy

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. In order to ensure programme continuity and sustainability, an appropriate exit strategy will have to be designed by the partners. Provision of capacity should feature high in that design. UNDP should work with more counties to develop comprehensive PMS and well as M&E systems that can be shared between and within the counties. Additionally they should encourage inter-county relations that will initiate benchmarking and county visits to for learning. This will reduce dependency of county governments to UNDP. They should also encourage the counties to budget for governance activities by reducing the allocations given gradually.

County governments have however put in place mechanisms to ensure sustainability in the delivery of services to its citizens. These include;

## Financial Resources

Counties have set aside funds for implementing devolution without the support of UNDP for example in Turkana County their budget allocation towards HIV awareness in FY2014/15 was KShs. 5.6M and from UNDP their contribution was 6.3M but in FY2015/16 the county allocated 11.7M KShs. Additionally counties are now able to maximize or create comparative advantages from their available resource thus creating business ventures that generate revenue for the county.

## Capacity Building

The trainings conducted by the various partners, included many of the county officers who attended are permanent staff whose tenure does not depend on political regime are trained. 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

## 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.



### **Performance Management**

Implementation of integrated PMS for all county staff ensures accountability and enables county officers to plan appropriately.

### **Polices, Laws and Frameworks**

Laws and policies that have been developed in the various departments of the counties aim at ensuring economic growth and development. They also ensure that community members from various docketts are protected from exploitation from other investors.



## 4.0 Lessons Learnt, Challenges and Future Opportunities

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### 4.1 Lessons Learnt

#### 4.1.1 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 societies play an important role in civic education and independent oversight of the county government. Programme support can be extended to reputable civil societies to accelerate the achievement of results under devolution.

#### 4.1.2 Staffing

Many county governments have bloated staffing but face a shortage of experienced and qualified professionals to accelerate the achievement of the results under devolution. county departments still need support in-certain critical areas such as in data and information management for socio-economic development. 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.

#### 4.1.3 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 nation 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.

#### 4.1.4 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.

#### 4.1.5 Customization of the Nature 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.

#### 4.1.6 Availability of Data

A baseline survey should have been conducted at the inception of the programme to identify gaps/ challenges/ unique needs at the county that UNDP could help address i.e. or a training needs assessment. Data from the survey would also assist to tailor trainings to address the unique needs of each county department. Lack of adequate data has led to the development of policies and laws by some counties which are not implementable.

#### 4.1.7 Involvement of Youth in Governance

The programme should involve the youth more as they possess unique ideas and innovativeness that can be tapped to spearhead changes at the county level and enhance service delivery.

### 4.2 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 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. Some of the counties have to hire consultants to assist them during the drafting and it is very expensive
- 3 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.
- 4 M&E systems are not adequate enough 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' tenure

- 5 Inadequate resource management at the counties and especially in revenue collection mechanisms.
- 6 There is a gap in information sharing mechanisms among the implementing partners at the national level leading to duplication of efforts.
- 7 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 county members to assist them draft county laws and policies.
- 8 Many counties do not budget for governance activities including conducting civic education and public participation. This is because they do not want members of the public to be aware of devolution and its benefits.
- 9 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.
- 10 Lack of appreciation to devolution by citizens. There is reluctance/ inertia to change of mind-set from national government to counties

### 4.3 Future opportunities

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.



## 5.0 Recommendations

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The programme has been beneficial to the identified counties. However in some areas the beneficiaries have identified areas that need to be improved on so as to ensure efficiency and effectiveness. These recommendations include but are not limited to;

### **Capacity Building**

The county officers should identify the relevant persons to undertake training. County executive and assembly members need to be trained on the roles and responsibilities of various parties in order to reduce conflicts especially during planning and budgeting. They also need additional training on policy formulation and drafting of bills to enable them come up with legislative documents that are comprehensive and relevant.

### **Resource Management**

There is need to improve resource management in the counties through strengthening revenue collection mechanisms at the county level. This could be done through development of automated systems that collect revenue and submit directly to county accounts. This will increase significantly the amounts collected at county level and encourage counties to be financially independent.

### **Management and Monitoring**

The programme at the county level lacks M&E support where M&E people are trained about the project and indicators being reported on. It is therefore important for the M&E personnel to be assisted to develop data collection tools to help them in reporting to UNDP on achievements

### **Additional Areas of Interest**

The programme IPs should collaborate in order to ensure effective and efficient implementation of devolved government system. Officers should aim at one common goal which is efficient service delivery to its citizens.

County governments should adhere to the constitution and laws that clearly draws the rights of each citizen to be informed.



## 6.0 Report Annexes

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- 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



## 6.1 ToR for Evaluation

### Consultancy to Conduct a Mid-Term Review (MTR) of the Integrated Support Program 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 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 a cost 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) outcome 1.3 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; devolved institutions

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 that are legally, manically and technically



empowered, well managed, effective, and accountable and resource management that is transparent, equitable, effective and efficient at all levels.

## **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-Tenn. 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. The review 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.

The review 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 assessed 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 AWP's activities. Assess whether the project's outputs and components clear, practical, and feasible within its time frame.
- 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 sex-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 UNDP's 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 promote ownership 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, MTP II 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





## 6.2 Additional Methodology related documentation



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### UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

#### Guideline for CECM Finance

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





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for CECM Planning

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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?





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Focus Group Guideline for CECMs

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#### 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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for Civil Society Organizations (CSOs)

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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.





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### 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, CoG e.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
<b>Output 1: Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted</b>			
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%	
<b>Output 2: Strengthened institutional and human capacities at national and county levels</b>			
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	
<b>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</b>			
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	
<b>Output 4: Citizen participation mechanisms and processes strengthened to ensure effective &amp; equitable service delivery and people centred devolved system of government</b>			
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%	
<b>Output 5: Pilot testing of full local development cycle including participatory planning, budgeting, local level implementation capacities, performance and change management, monitoring and learning</b>			
5.1: No. of county governments capacitated to deliver equitable, high quality public services	0	10	
<b>Output 6: Improved programme management support to the devolution programme</b>			
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
<b>Output 1: Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted</b>				
1.1: Number of policies and laws adopted at the national level to support effective implementation of devolution	<b>Baseline:</b> 10 (2013) <b>Target:</b> 15 (2018) <b>Status:</b>			
1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution	<b>Baseline:</b> 0 (2013) <b>Target:</b> 80% (2018) <b>Status:</b>			
<b>Output 2: Strengthened institutional and human capacities at national and county levels</b>				
2.1: Percentage of supported counties whose plans and budgets are approved by the COB	<b>Baseline:</b> 40% (2013) <b>Target:</b> 80% (2018) <b>Status:</b>			
2.2: Number of counties with performance management system in place	<b>Baseline:</b> 0 (2013) <b>Target:</b> 10 (2018) <b>Status:</b>			
2.3: Number of counties that develop business models that are inclusive and sustainable	<b>Baseline:</b> 0 (2013) <b>Target:</b> 10 (2018) <b>Status:</b>			
2.4: MSE coordination mechanism in place	<b>Baseline:</b> None (2013) <b>Target:</b> Yes (2018) <b>Status:</b>			
<b>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</b>				
3.1: The existence of disaggregated data to inform socio-economic development	<b>Baseline:</b> None (2013) <b>Target:</b> 50% (2018) <b>Status:</b>			
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	<b>Baseline:</b> 0 (2013) <b>Target:</b> 4 (2018) <b>Status:</b>			
3.3: Number of national level institutions, counties and CSOs that have established functional coordination structure and mechanisms for disaster risk reduction and response	<b>Baseline:</b> 0 (2013) <b>Target:</b> 10 (2018) <b>Status:</b>			



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





**UNITED NATIONS DEVELOPMENT PROGRAMME  
&  
MINISTRY OF DEVOLUTION AND PLANNING**

**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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### 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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the United Nations Development Programme (UNDP)

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#### 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 programme?
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**





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the Council of Governors (CoG)

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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 policies?
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?





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for UN-Women

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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





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the National Drought Management Authority (NDMA)

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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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the National Disaster Operations Centre (NDOC)

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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?





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the National Disaster Management Unit (NDMU)

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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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

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

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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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the Controller of Budget (CoB)

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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, Taita Taveta, 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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for Kenya National Bureau of Statistics (KNBS)

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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?





## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for Ministry of Industrialization and Enterprise Planning (MoIEP)

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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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for Kenya Law Reform Commission (KLRC)

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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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## UNITED NATIONS DEVELOPMENT PROGRAMME & MINISTRY OF DEVOLUTION AND PLANNING

### Guideline for the Officials of the Transitional Authority

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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 Intergrated Supoport 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?





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## 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		
Number of people trained, mentored, provided TA at	Number of male officials	tbd	100		200		200		250		1 000		500		



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					
the county level as a result of USG assistance	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 government	Cumulative	tbd	1		3		2		1		3		2		





## Integrated Support Program to the Devolution Process in Kenya

## Training Evaluation Form

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:

<b>Criteria</b> <b>5</b>	<b>Strongly</b> <b>Agree</b> <b>4</b>	<b>Agree</b> <b>3</b>	<b>Disagree</b> <b>2</b>	<b>Strongly</b> <b>Disagree</b> <b>1</b>	<b>Not</b> <b>Applicable</b> <b>0</b>
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:

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### 6.3 List of Individuals and groups interviewed and sites visited

ATTACHED



#### 6.4 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



## 6.5 Evaluation Matrix

Criteria	Questions	Data Sources	Data Collection Methods
<b>Output 1: Policies, laws and institutional reforms for effective implementation of the Constitution at national and county levels are adopted</b>			
<b>Indicator 1.1: Number of policies and laws adopted at the national and county level to support effective implementation of devolution</b>			
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,	<ul style="list-style-type: none"> <li>Literature Review</li> <li>KIIs</li> </ul>
	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	<ul style="list-style-type: none"> <li>Literature Review</li> </ul>
	Who was consulted during the formulation process of the policies and laws?	CEC members, MoDP, CoG	<ul style="list-style-type: none"> <li>KIIs</li> </ul>
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 and implementation of the policies and laws? What mitigation measures have you put-in-place to counter the challenges stated?	CEC members, MoDP, CRA, TA, KLRC, CoG,	KIIs
<b>Indicator 1.2: Proportion of supported counties that have capacity to formulate laws that promote devolution</b>			



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



## 6.6 Photo Gallery



Figure 6.1: FGD with Chief Officers



Figure 6.2: Focus Group Discussion with trained persons



Figure 6.3: Equipment used by the M&E unit



Figure 6.4: Complaints Centre for local mwananchi





Figure 6.5: Printer purchased under UNDP programme

## 6.7 Sample of performance Target set by Kisumu County

KISUMU 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 visited 184	101 1/2%
2.	Demonstrations	16	- Attendance list - Invitation letters - Training notes	100%
3.	Trainings	22	- Attendance list - Training notes - Invitation letters - Training materials	100%
4.	Participate in World Food Day Celebrations	1	- Invitation letter - Attendance list - Program for the day	100%
5.	Participate in Field Days	1	- Attendance list	100%
6.	Participate in Farm Judging	1	- Name of farms Judged	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%

