United Nations Development Program (UNDP)

Strengthening Devolved Governance in Kenya Project (2019-2022)

Mid-Term Evaluation

Report

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Acronyms

ADP	Annual Development Plan
AHADI	Agile and Harmonized Assistance for Devolved Institutions
AWPs	Annual Work Plans
CBEF	County Budget and Economic Forum
CC	Climate Change
CDP	Country Development Programme
CECM	County Executive Council Member
CIDPs	County Integrated Development Plans
CIDP	County Integrated Development Plan
CIMES	County Integrated Monitoring and Evaluation System
NIMES	National Integrated Monitoring and Evaluation System
CO	Chief Officer
COG	Council of Governors
COMEC	County Monitoring and Evaluation Committee
COVID-19	Corona Virus Disease 2019
CRA	Commission of Revenue Allocation
DAC	Development Assistance Committee
DANIDA	Danish Development Aid
DaO	Delivering as One
DDWG	Donor Devolution Working Group
DFID	Department of Foreign Development
DRR	Disaster Risk Response
DPs	Development Partners
DRR	Disaster Risk Responses
EU	European Union
FAO	Food and Agriculture Organization
FCDC	Frontier County Development Council
FGD	Focus Group Discussion
GIS	Geographic Information Systems
HRBA	Human Rights Based Approach
IBEC	Intergovernmental Budget and Economic Committees
ICT	Information Communication Technology
IFC	International Finance Cooperation
ILO	International Labour Organization
IP	Implementing Partner
IOM	International Organization on Migration
JIP	Joint Integrated Program
KAIP	Kenya Accountable and Inclusive Political Processes
KDSP	Kenya Devolution Support Program
KISDEP	Kalobeyei Integrated Socio-Economic Development Programme
KLRC	Kenya Law reform Commission
KSG	Kenya School of Government
KRAs	Key Result Area
LoA	Letter of Award
UNDAF	United Nations Development Assistance Framework

UNDP	United Nations Development Program
UNEG	United Nations Evaluation Group
UNHCR	United Nations High Commission for Refugees
UNICEF	United Nations Children's Fund
USD	US Dollar
MCA	Member of County Assembly
MED	Monitoring and Evaluation Department
M&E	Monitoring and Evaluation
MoDA	Ministry of Devolution and Arid Lands
MTP	Medium Term Plan
MPTF	Multi-Partner Trust Fund
MTR	Mid-Term Review
NCBF	National Capacity Building Framework
OAG	Office of Auditor General
ODK	Open Data Kit
OECD	Organization of Economic corporation and Development
OSR	Own Source Revenue
PIU	Project Implementation unit
PMS	Performance Monitoring System
RCO	Resident Coordinators Office
SCI	Save the Children International
SDG	Sustainable Development Goals
SES	Socio-Environmental Standards
SRA	Strategic Results Area
TVET	Technical and Vocational Education and Training Authority
ToR	Terms of Reference
ToT	Trainer of Trainers
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNICEF	United Nations Children's Fund
UNFPA	United Nations Population Fund
WFP	World Food Program
WVI	World Vision International

Acknowledgements

1.1 Introduction

The United Nations Development Agency (UNDP) and Residents Coordinator's Office (RCO) commissioned a Mid-Term Review (MTR) for the Strengthened Devolved Governance Project. The purpose of the MTR was to assess the progress and achievements against planned results, document challenges and lessons learnt and make recommendations to enhance the second phase of the project. The MTR also focuses on significant developments that have taken place in the programming environment such as the Sustainable Development Goals (SDGs) and the transformational focus of Leave No One Behind. It also makes recommendations for making the project nimbler and responsive to these developments. The review also assesses the extent to which Disaster Risk Reduction (DRR) and Climate Change (CC) issues are being addressed alongside the project outputs and makes recommendations on the same.

Strengthening Devolved Governance Project

Despite devolution having taken root and sub-national systems established, there exists key challenges in governance at county level, including optimization of own source revenue, enhancing service delivery in devolved sectors (agriculture, health, water, and urban planning), weak technical capacity, poorly implemented or non-existent mechanisms for public consultation, and a lack of gender-disaggregated data on which to base policy making. Notable causal factors of poverty in Frontier County Development Council (FCDC) counties include; weak governance where human resource development is directly compromised by poor county government performance, weak planning, data collection and management, budgeting and M&E, public financial management and women and youth marginalization and isolation from participating in county planning and budgeting process.

To support devolution and address some of the aforementioned issues, the UNDP and RCO through the support from the Royal Embassy of Norway and the Government of Kenya, launched the 'Strengthening Devolved Governance Project in Kenya' 2018-2022. Focusing on the Frontier Counties that have traditionally faced marginalization, the project was developed through a highly consultative process with the national government, county governments and development partners (DPs) to support key institutions that work together and ensure success of devolution including county governments to deliver quality public services to the people in an accountable and transparent manner.

Purpose of MTR

The UNDP planned this Mid-Term Review of the Strengthening Devolved Governance in Kenya Project (2019-2022) to assess the progress and achievements made against the intended results, document lessons learnt and make recommendations for the remaining period. The MTR also assessed the interventions under the RCO with its area-based development program -UN Delivering-as-One office in Lodwar, Turkana County.

Evaluation Criteria

The evaluation was guided by the revised UNDP evaluation policy and UNDP programming and policies procedures, assessing specifically the seven UNDP Project Quality Criteria which are closely related to the UNEG evaluation criteria. These are *i. Strategic, ii. Relevant, iii. Social and Environmental Standards, iv. Management and Monitoring, v. Efficient, vi. Effective and Sustainable and National Ownership*.

Structure of the Report

The report has an executive summary which is a snapshot of the major findings and recommendations, an introduction and background section describing the purpose, evaluation objectives, implementers, program resources, key findings, lessons and recommendations. It also has a methodology section showing the approach and methods on data collection and analysis. A section of evaluation findings is aligned along the evaluation criteria of strategic, relevance, effectiveness, efficiency, sustainability, national ownership, management and monitoring, social and environment standards and impacts. Detailed annexes are also included.

Approach, Methods and Data Analysis

The evaluation employed an inclusive, participatory approach and followed the United Nations Development Group's (UNDG) Guidelines for Evaluations as well as the Organization of Economic Cooperation and Development/ Development Assistance Committee (OECD/DAC) evaluation criteria. It also adhered to the United Nations Evaluation Group's Ethical Guidelines for Evaluation principles. Some of the methods used include:

Inception Meetings: Two inception meetings were held, one with the Evaluation Manager and the Project Manager and the other with the Evaluation Committee made up of representatives from RCO, UNDP, and implementing partners. The aim was to introduce the team, clarify roles and responsibilities, have a general overview of the assignment and gain consensus on various issues related to the evaluation.

Desktop Review: Key documents including the 2018-2022 United Nations Development Assistance Framework Kenya (UNDAF); Strengthening Governance Project Lodwar Document, UNDP Country Programme Document 2018-2022, the GoK Medium Term Plan (MTP) III, Turkana Program Document, Resident Coordinator (RC) Annual Reports, project results framework, IP progress reports, among others (see annex 4) were used.

Key Informant Interview: Key informant interviews both face to face and virtual were held depending on the respondent accessibility. The team of consultants visited Turkana and Isiolo counties for face to face interviews. For Nairobi and the other six counties[1] virtual interviews were held. The target respondents were key UNDP and RCO staff, GoK national implementing partners, County government counterparts/institutions and the Embassy of Norway in Kenya.

Focus Group Discussions: Virtual Focus Group Discussions (FGDs) were held for Tana River, Garissa and Lamu County staff, COG climate change and DRR staff as well as a face to face FGD with youth beneficiaries from the Isiolo Youth Center.

A stakeholder validation session was conducted with UNDP and Government implementing partners to get feedback and thereafter a final report produced.

FINDINGS

The main findings as per the various criteria are outlined in the sections below.

[1] Mandera, Wajir, Garissa, Lamu, Tana River and Marsabit,

Strategic

The project design is aligned to the United Nations Development Assistance Framework (UNDAF) whose development was guided by the SDGs, Medium Term Plan III, and the Big 4 Agenda in Kenya. Moreover, it is aligned to UN Kenya's Joint Development Framework under UNDAF Outcome 1.2 and UNDP Country Programme Document (CPD) outcome which states that by 2022 people in Kenya should access high quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced, accessible and accountable, and is implemented within the National Capacity Building Framework (NCBF) with interventions tailored to target county needs. The area-based development program-UN Delivering-as-One in Turkana mirrors the UNDAF Theory of Change at the local level and is aligned to the Turkana CIDP. The project is designed to support devolution, building on successive gains from previous UNDP devolution projects progressing from the national to the local level and targeted at marginalized counties to ensure no one is left behind.

Relevance

The project which reflects the UN's *Leave No One Behind* philosophy targets FCDC counties that have continued to perform poorly year to year on key indicators of poverty, health, governance and economic performance. Key obstacles to development in these counties include low participatory governance, county level peace and security issues, challenges, sustainable environment and natural resource management and resilience to shocks and climate change. The project is aligned to UNDAF 2018-2022 (aligned to SDGS, MPT III, Vision 2030 and the Big 4 Agenda), and UNDP's CPD 2018-2022. Specific implementing partners such as COG were actively involved in the UNDAF design on which the project is based, and it meets COG mission of supporting county governments as per their strategic plan. The project addresses the most needy and marginalized counties, aiming to improve governance and consequent service delivery to the citizens.

The project continues to adopt a problem driven approach in its programming. This is demonstrated by the assessments conducted prior to engaging the counties to gain an understanding of each county's needs prior to providing support such as the audit assessments (September – October 2019). The project also builds on lessons learnt and need identified in previous UNDP projects and lessons from other devolution projects (USAID/AHADI and the Kenya Devolution Support Program (KADP). This ensures that the support provided is relevant, timely and demand driven. While this was done at the onset of the project, there is a clear demonstration of the continuous need to understand emerging needs as demonstrated by the recent diagnostic assessment carried out by the Monitoring and Evaluation Department (MED) of the National Treasury to assess the implementation of CIMES in the counties. The project should build on these opportunities to develop a more programmatic approach to program management in order to increase the likelihood of achievement of results.

The DAO initiative is also agile and has demonstrated responsiveness to emerging needs such as floods and the locusts' invasion by coordinating effective UN agencies response in Turkana and neighboring counties. The project has also responded to COVID-19, which has devasted the county since early 2020. In recognition of the prolonged COVID-19 situation, the project has realigned its activities to operate within the current context.

Social and Environmental Standards

The project design is premised on 'Leave No One Behind' approach contained in the 2030 Agenda for Sustainable Development which is basically a human rights approach to programming in the design and implementation of programs. The project addresses service delivery for the most vulnerable and shifts development to transform deeply rooted systems — economic and political systems, governance structures and business models — that are often based on unequal distributions of wealth and of decision-making power. The Climate Change (CC) and Disaster Risk Reduction (DRR) component addresses the social and environmental impacts and risks (including those related to human rights, gender and environment). For instance, spatial planning guidelines developed, cater for the needs of the aged and disabled as well as incorporate gender considerations. Staff training on Geographic Information Systems (GIS) has enabled the project to develop hazard maps and inform action when disaster occurs. Lobbying county officials has increased budgets for climate related disaster risk mitigation and resilience measures.

Management and Monitoring

The project is well structured in terms of management. An initial project appraisal committee meeting was held on the 23 November 2018 and thereafter annual review meetings are held with the technical team and the Royal Embassy of Norway to review the progress made so far. A Project Steering Committee for the devolved project could be considered in the second phase to strengthen coordination among all stakeholders.

The Results Framework identifies impact and outcome indicators that require reporting for FCDC counties. However, there is need to revise the output level indicators to facilitate easier tracking of progress, facilitate easier measurement and ensure easier measurement. There is also need to develop a robust Theory of Change and review the project risks and assumptions. Additionally, Baseline data is lacking for some indicators and needs to be reconstructed for ease of results tracking. Financial constraints on staffing meant some key functions such as M&E a vacant for prolonged periods. The project could consider using Short Term Technical Assistance (STTA) to resolve any similar challenges in future so as not affect program delivery. Key elements such as gender and youth were not explicit in the project design, hence not funded, yet they form part of *Leave No One Behind* approach.

Efficiency

The project has leveraged on gains from other devolution support programs by AHADI (USAID), World Bank and the European Union (E.U). It has also utilized a cluster approach to capacity development during the training workshops.

The project envisioned to mobilise $10m but by the MTR was conducted only 31% of the resources had been mobilized which means that the project is behind schedule in resource mobilization. However, some resources were recently mobilized to address the COVID-19 pandemic. To enhance efficiency in terms of financial management, UNDP conducted risk assessments of the national implementing partners to assess their capacity to procure and some partners are now engaged in the process. They do procurement and forward the documentation to UNDP for direct payment as per the letters of agreement. This increases efficiency in procurement while managing the fiduciary risks to UNDP.

The project has endeavored to enhance value for money to achieve more results with the resources available by encouraging cost sharing with counties. Some of the measures include using venues central to the counties to reduce travel costs, using government systems and technical staff from implementing partners and counties rather than consultants, enhancing synergies between UN agencies and using local champions. This also helps to address sustainability and build national ownership.

The project also uses Results Based Management (RBM) to track program and this contributes to efficiency. The project has a results framework and been receiving activity reports from implementing partners which informs donor progress reports. However, lack of baseline data for some indicators hampers proper reporting that demonstrates progress made.

Effectiveness

Despite a few challenges related to overstretched government staff, the National Implementation Modality (NIM) has been effective. Under the NIM approach, UNDP provides support through programmes and projects that are intended to strengthen national capacities and expand the options and opportunities available to partners and beneficiaries in programme countries. As implementing partners, government institutions are responsible for the technical and administrative implementation of a development cooperation project pursuant to UNDP Regulations and Rules [2]. The government implementing partners of the *Strengthened Devolved Governance Project* appreciate the support provided by UNDP as it has filled gaps in counties including development of policies, guidelines and templates [3], setting up structures and strengthening the capacity of County staff on various capacity areas building on the National Capacity Building Framework. The project has achieved some envisioned results in terms of reaching and strengthening the previously marginalized counties (FCDC) providing capacity building and technical support on performance management, M&E and data management, public finance management and citizen participation. This support has strengthened systems and processes, contributed to change in practice as well as improved reporting. Others results include development of performance contracts, reduction in audit queries and increase in own source revenue. The institutionalization of structures to support various functions is at varying stages across the 8 counties. In term of Monitoring and Evaluation structures, 5 (Garissa, Lamu, Isiolo, Mandera and Turkana) out of the 8 counties are at various stages in the formation and operationalization of the various recommended M&E structures as outlined in the CIMES guidelines. Public participation has been strengthened by establishing and strengthening County Budget and Economic forum (CBEF) although more needs to be done.

The participatory and diagnostic approach in the capacity development process has helped focus support on critical gaps, enhancing effectiveness in the project. Innovative approaches such as use of 'champions' has enhanced achievement of more results through more reach and ensured sustainability of the new initiatives. This needs to be adopted in other processes such as eCIMES.

The Area Based Approach in Turkana County bringing together different UN agencies, the county government and non-governmental organizations in '*Delivering as One'* has been effective and has a great potential to transform the County by helping reduce duplication and wastage of resources as well as maximize on UN's comparative advantage. However, the project is still working on streamlining the DaO

[2] UNDP 2011. National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures

[3] These include M&E policies (and acts), enactment of FCDC bills, development of guidelines such as CIMES guidelines, spatial mapping report guidelines, public participation guidelines, CIDP guidelines, ADP guidelines, and templates such as annual report template.

structures in the County to incorporate NGOs officially in the thematic working groups – social, leadership, economic among others and bringing in the private sector for resource mobilization.

The project, following up from previous programming convened UN agencies, national and county government to develop the Multi Partner Trust Fund (MTPF), to better manage and mobilize development resources and obtain tangible results in terms of sustainable development. However, the MTPF is yet to be operationalized. The Turkana County Government sees the initiative as a key success factor and is keen to support its establishment and operationalization.

Results are evident as UN agencies work in a coordinated manner within the County. There are results in development of policy frameworks, and tangible advancements in health, water and sanitation, education, agriculture and food security through irrigation and diversification, all targeted to achievement of Sustainable Development Goals (SDGs). Results in Disaster Risk Management, flood mitigation and COVID-19 have also been witnessed as a result of the UN coordination efforts. However, there is need to lay a clear strategy of sharing or viewing results of the development efforts on a real time basis (for instance a dashboard). This can improve transparency, accountability and contribute to timely reporting and utilization of information for decision making.

Sustainability and National Ownership

The project works through Government which is the most sustainable approach to public reform. The project has contributed to institutional reform through: - individual capacity building; institutional and systems strengthening; and setting up of governance structures. The project continues to strengthen the capacity of targeted County staff which is key in supporting devolution. Staff in key departments such as Internal Audit, Finance, Accounts and Budgeting, Procurement and Administration, Pending Bills and Debt Management and Human Resource Management have been trained. of the use of champions as Trainer of Trainers (TOTs) and skills and technology transfer in areas such as GIS and spatial planning will lead to sustainability and national ownership

County structures such as Audit committees, Inter-Departmental M&E committees, County Budget and Economic Forum (CBEF) and Performance Management Secretariat have been formed and operationalized in some counties. Some of these results can be attributed to the project alone for instance CBEF formation through support to CRA. Other results are partly attributed to the project since other projects such as KDSP have also supported. These structures add to sustainability, quality and efficiency in county processes. However, it is necessary to lobby counties to allocate resources for these committees to be more sustainable and effective.

LESSONS LEARNT

- Incremental programming that builds on gains from previous devolution programs is an effective and efficient way of achieving faster and sustainable change in the community.
- Having a forum for county coordination and delivering as one especially where multiple partners are continuously engaging government saves variable time for government and is an effective way of catalyzing development by reducing duplication and reaching more beneficiaries with the same resources.

- Counties where there is top leadership buy-in, and interest is high are far ahead in the project activities. Thus, interest by the top county leadership is a key factor for successful implementation and getting results from project activities.

- Political buy-in, interest and support from county leadership continues to be a key underlying factor of success.
- Strengthening the capacity of the county assemblies and getting their buy-in enhances the success of various development programs and efforts need to be made to factor engagement with County Assemblies in future projects.
- Staff turnover hampers implementation and/or contributes to the momentum of achieving results. UNDP should therefore invest in continuous capacity building and a rapid induction process for the leadership to sustain the achievement of results. In instances where there has been limited buy-in from the leadership, change in personnel presents opportunities for successful implementation
- Targeting the right participants in capacity building is important for uptake and implementation of decisions in counties.
- Use of champions in capacity build is a cost-effective method of reaching more people and achieving more results.
- Constant communication and engagement between UNDP and the Implementing Partners is paramount for effective and efficient program delivery

RECOMMENDATIONS

Strategic

- Plan for strategic engagement workshops with FCDC County Leadership to get political buy-in for project activities and influence policy and budgeting for sustainability of activities after project ends. This can go hand in hand or jointly with strategic engagement with County Assemblies Forum from FCDC counties to create awareness on project activities and lobby for their support in the specific policy areas that the project is focusing on.
- Undertake regular context analysis to inform project implementation. In future consider building in political economy analysis to inform future programming.
- Since devolution is a long-term development agenda, the project should steer away from the utilization of an activity-based approach to a more Programme focused approach in programming. In addition to this, the project should have periodic joint planning and reflection meetings with all National Implementing Partners to enhance a common understanding of the project results, provide a platform for joint planning, identification of opportunities and build on synergies. This can also help reduce operational costs and contribute to cost efficiency.

Monitoring, evaluation and Learning

- Strengthen M&E and results-based reporting for the remaining project period by developing a robust monitoring and evaluation framework that includes a clearly articulated Theory of Change and revised risks and assumptions of the project

- Revise the results framework, specifically the output indicators to ensure they are more measurable (milestone based) and incorporate all components of work supported especially for results that take long to be realized into milestones for ease and accuracy of tracking and reporting.
- Undertake a quick reconstruction of baseline data to enable tracking of progress.
- Strengthen learning across all levels – internally and external (peer to peer learning). Although IPS and UNDP have quarterly meetings to monitor the progress of the activities, it is necessary to strengthen learning and coordination in the technical forum by ensuring all IPs attend rather than having different IPs separately to keep appraised on the progress and share lessons and good practices.
- The technical committee should also be strengthened with MODA taking a more active role in facilitating the IP meetings and taking part in reporting.
- Consider having KSG play a more enhanced role in knowledge management as a key government capacity building agency.
- Facilitate IPs to develop detailed frameworks or workplan on which UN agencies and other partners offering support to IPs activities at national and county level can coordinate and base their support to reduce duplication and enhance effectiveness. An example is UNDP, UNFPA and UNICEF in their support to MED on NIMES/CIMES in counties.
- UN should consider developing indicators that track co-ordination and collaboration to assess progress.
- Regular communication and county level workplan - There is need for regular communication and a comprehensive workplan outlining SGP's support to counties. This will enhance county collaboration, improve communication and enable counties align the support to their Annual Development Plans

Partnerships and Sustainability

- Need to strengthen the strategic partnerships with the National Implementing Partners through regular all partner quarterly meetings with MODA taking lead
- Future projects should building-in a capacity building component for the national implementing partners to strengthen their capacity to deliver

Efficiency

- Create structured regular engagement and communication between the UNDP and the NIP's to address administrative bottlenecks and challenges e.g. for instance regular engagements by UNDP Finance team to discuss issues of requests and disbursements will enhance response rates and result in improved efficiency in project delivery.

Capacity Building

- At the Sectoral level consider a national dialogue on capacity building anchored on the NCBF bringing together all players supporting devolution to enhance coherence and collaboration
- Broaden the scope for capacity building by strengthening the capacity of various committees - Audit committees, CBEF's and M&E committees to enhance systems strengthening and transparency and accountability at different levels in the county.

Performance management

- Cascade performance contracts to the lower levels
- Link departmental targets to the performance indicators in the CIDPs and Annual Development Plans. This will provide a strong link between capacity building, systems strengthening and service delivery and provide a platform to gather evidence on change in service delivery to citizens
- Setting realistic performance targets and goals that are aligned to the county annual budgets and development plans.
- Lobby for Political buy-in to for more appreciation and full cycle implementation, including budgeting for it

M&E function in counties

- Implement the findings of the M&E diagnostic report in counties
- Strengthen partner reporting with a focus on results-based reporting
- Support implementation of CIMES
- Support implementation of existing policy and legal framework to institutionalize M&E practice through eCIMES
- Support in development of data collection tools for tracking indicators and report on service delivery
- Link and facilitate networking between counties and KNBS for baseline data collection

County Level Planning and Public Finance Management

- Support Counties in the development of County Spatial Plans – deepen strategic engagement with UN-Habitat and other partners like FAO in establishment of GIS labs in target counties
- Continue strengthening climate resilience in planning – utilization and updating of hazard maps
- Continue strengthening the capacity of County Staff in the audit function
- Support the setting up and strengthening of audit committees in counties
- Support counties to develop a risk management framework
- Support in forecasting and realistic revenue projections based on county resource base
- Strengthen revenue collection processes and revenue administration processes
- Continue capacity building staff especially for decentralized offices at sub-county level
- More CBEF strengthening

Documentation of best practices

- The project is registering some commendable results which need deeper analysis and documentation as the project progresses. The evaluation recommends a deep dive of the following: -
    - M&E work in Tana River County
    - Audit work in Mandera County
    - PMS work in Lamu County and
    - Data automation in Isiolo County (already using Kobo collect and ODK).

Turkana Delivering as One

- The UNRCO, Treasury and the Governor of Turkana need to convene a roundtable to discuss progress and jumpstart operationalization of the MTPF
- Develop an online M&E system and results dashboard for the integrated development program to enable UN agencies, county officials and stakeholders enter data, view results and locations of interventions. This will enhance accountability in service delivery.
- UN DaO office in Turkana needs communications & M&E capacity in order to support the county
- UN agencies without a presence in Turkana but with programs in Turkana should consider placing staff in the DaO office to enhance their programming and integrated programming with the rest
- More joint fundraising efforts by UN agencies and designing projects focusing on wholistic needs of citizens to accelerate results

Other recommendations

- FCDC once established by law can be a focal point to reach the arid counties in terms of joint FCDC county funding programs and other initiatives aimed at enhancing development in the region.
- The project needs to undertake more activities aimed at influencing policy and budgeting during the second phase if the project results are to be sustained. There is also need to continuously build the capacity of IPs so that they are able to strengthen capacities at county level.
- Enhance the donor and UNDP's visibility in project activities. Also have more involvement of UNDP as a convener of stakeholders on national matters advocating for welfare of FCDC counties, such as revenue sharing, climate change among others.
- More attention on gender and youth, providing a more substantive role of women in the project especially participating in enhancing accountability in use of public resources for service delivery

1.0 INTRODUCTION AND BACKGROUND

1.1 Introduction

The United Nations Development Agency (UNDP) and RCO commissioned a Mid-Term Review (MTR) of the Strengthened Devolved Governance Project with the purpose of assessing the progress and achievements against planned results, document challenges and lessons learnt and make recommendations to enhance the second phase of the project. The MTR also focuses on significant developments that have taken place in the programming environment such as the Sustainable Development Goals (SDGs) and the transformational focus of *'Leave No One Behind'* and make recommendations for making the project nimbler and more responsive to these developments. The review also assesses the extent to which Disaster Risk Reduction (DRR) and Climate Change (CC) issues are being addressed alongside the project outputs and makes recommendations on the same.

1.2 Overview of Kenya's Devolved Governance

Since the system of devolved government was established in Kenya in 2013, it has progressively transformed citizen engagement in governance and public affairs in Kenya. Devolution has not only made the 47 county governments the locus of self-governance, economic development and service delivery, but it has also reshaped resource allocation and utilization to meet the needs and priorities of local communities and to ensure equitable sharing of national resources throughout Kenya[4]. Thus, if well implemented, devolution presents a good opportunity for enhanced service delivery for citizens at the local level.

However, despite devolution having taken root and sub-national systems established; literature reviewed alludes to key challenges in governance at county level. According to World Bank (2019), emerging challenges of devolution include optimization of own source revenue, rationalization of the public sector wage bill, allocation of development budgets, and enhancing service delivery in devolved sectors (including agriculture, health, water, and urban planning). Similarly, Natasha (2020) asserts that devolved governments have faced significant challenges, including incoherent national policymaking and leadership, weak technical capacity at county level, poorly implemented or non-existent mechanisms for public consultation, and a lack of gender-disaggregated data on which to base policymaking. The MTP III concept note identified several challenges for the 2018-2023 period as clarification of roles and functions between national and county governments; low county revenues; irregular county funds disbursements and misuse of public funds. Notable causal factors of poverty in target counties include weak governance where human resource development is directly compromised by poor county government performance, weak planning, data collection and management, budgeting and M&E, public financial management and women and youth marginalization and isolation from participating in county planning and budgeting process.

1.3 Description of the Strengthening Devolved Governance Project

To support devolution and address some of the aforementioned issues, the UNDP in partnership with the Resident Coordinators Office, the Government of Norway and the Government of Kenya launched the Strengthening Devolved Governance Project in Kenya 2018-2022. The project was developed through a highly consultative process with the National Government, County Governments and development

[4] Final UNDP Devolution Project Report 2019 Annual Report p 4

partners (DPs). The resources needed to implement the project were estimated at USD 10 million, of which UNDP had mobilized 3,102,539 (31%), of which USD 1,979,900 was from Norway and USD 1,122,639 from DFID by time of the mid-term evaluation. The Government of United Kingdom through the Department of International Development (DFID) supported part of the project between April and December 2019.

The project aims to support key institutions that work together to ensure success of devolution including county governments to deliver quality public services to the people in an accountable and transparent manner. The current project was preceded by the Integrated Support Programme to the Devolution process in Kenya Project (2014-2019), supported by DFID, USAID, Governments of Sweden, and targeting 27 counties,[5] with implementing partners being the Ministry of Devolution and ASALs, Council of Governors (COG), Office of the Auditor General, Commission on Revenue Allocation (CRA) and Kenya School of Government (KSG).

The current project is supported by the Embassy of Norway in Kenya, whose assistance is focused on the eight counties under or part of ten Frontier County Development Council (FCDC), supporting the integrated and coordinated area-based approaches under current United Nations Development Assistance Framework (UNDAF), UNDP program document and aligned to County Integrated Development Plans (CIDP) to reduce fragmentation and silo approaches. The DFID also supported a Disaster Risk Reduction and Climate change component and governance activities in 2019.

The project outputs are aligned to UNDAF Outcome 1.2. The 2018-2022 UNDAF is anchored on the country's blueprint for development, the Vision 2030 and national priorities as outlined in the Medium-Term Plan III, “Big Four Agenda” and the Sustainable Development Goals (SDGs). This UNDAF has three Strategic Priority Areas: Transformational Governance, Human Capital Development and Sustainable and Inclusive Growth. The project is also aligned to UNDP Country Programme Document (CDP) outcome which states that by 2022 people in Kenya can access high quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced, accessible and accountable the program is implemented within the National Capacity Building Framework (NCBF) with interventions tailored to target county specifics. The results target FCDC Counties and the linkages are presented in the Table 1 below.

Table 1: Table of Project Results linkages

UNDAF Results	CPD results (UNDAF outcome 2)	Project outcome and outputs
SRA 1: Transformational Governance encompassing respect for the rule of law, improved security, and effective implementation of devolution	By 2022 people in Kenya can access high quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced, accessible and accountable	Outcome: A democratic political system that is issue-based, people centered, results oriented and accountable to the public. Outputs 1. Performance management, M&E, data management systems established and functioning in FCDC counties

[5] The 27 counties included Kwale, Kilifi, Taita Taveta, Marsabit, Kitui, Nyeri, Turkana, Samburu, Laikipia, Vihiga, Bungoma, Kisumu and Homa Bay. Elgeyo Marakwet, Nakuru, Narok, Kajiado, Kericho, Embu, Busia, Kirinyaga, Lamu, Garissa, Isiolo, Wajir, Mandera and, Tana River

		2. Strengthened county-level planning & public financial management (PFM) systems 3. Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources 4. Strengthened coordination and oversight mechanism of multi-UN Agency initiatives established and operational for FCDC counties.

Table 2: Project Budget and Expenditures by August 2022

Source	Income	Expenditures
UNDP Trac	197,207	197,207
DFID	1,122,639	1,090,267
Norway	1,979,900	1,595,074
Total	**3,299,745**	**2,822,548**

The Table 3 below shows the budget expenditure by output.

Table 3: Budget expenditure by Output

Source	Expenditure (USD)	% of Total
Output1.1: Performance management, M&E, data management systems established and functioning in FCDC counties	1,284,537	49.27
Output 1.2: Strengthened county-level planning & Public Financial Management (PFM) systems	184,416	7.07
Output 1.3: Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources.	58,115	2.23
Output 1.4: Strengthened coordination and oversight mechanism of multi UN agency initiatives established and operational for FCDC counties	481,899	18.48
Output 1.5: Improved Programme Management Support to the devolution Programme	598,087	22.94
Total	**2,607,053**	**100%**

From the two tables, the program has spent 87% of the budgeted funds by August 2020 which is commendable. The output with the highest allocation was 1.1 on performance management, M&E and data management systems followed by output 1.4 on Turkana program. Citizen participation had the lowest allocation at 2.23%, probably explaining lag of key interventions such as CBEF strengthening. It would be necessary to enhance the budget line in order to fast track public participation legislation and strengthen CBEFs in FCDC counties.

1.4 Purpose of the MTR

The UNDP planned this MTR of the Strengthening Devolved Governance in Kenya Project (2019-2022) to assess the progress and achievements made against the intended results, document lessons learnt and make recommendations for the remaining period. The MTR also assessed the interventions under the Resident Coordinator's Office (RCO) with its area based Programme office in Lodwar, Turkana County.

The evaluation was a joint GoK, UNDP and RCO review and was conducted in close collaboration with implementing partners, national, county and development partners and the evaluators made every effort to engage them throughout the evaluation effort in a structured manner as guided by the UNDP team.

The evaluation reviewed significant developments in the programming environment including Sustainable Development Goals and the transformational focus of Leave No One Behind Development is carried out in a rapidly changing environment. As such, the evaluation took into consideration how the Programme has adjusted its programming since March 2020 to on-going COVID-19 health pandemic. The evaluation has reviewed mainstreaming of Disaster Risk Reduction and Climate Change (DRR/CC) carried out with funding from DFID. Other mainstreaming issues assessed include gender and youth issues and especially whether these are effectively monitored.

In terms of Project Management, the evaluation has reviewed the funding implementation, how funds are being utilized, value for money, coordination mechanisms at local level and whether project implementation is resulting to improved service delivery.

1.5. Evaluation scope and Objectives

The project period covered is February 2019-April 2020. The interviews focused on five national partners including the Commission of Revenue Allocation (CRA), Council of Governors (COG), Monitoring and Evaluation Department (MED), Office of the Auditor General (OAG), Ministry of Devolution and Arid Lands and Kenya School of Government (KSG). At the County level, assessment was done on practices in performance management, finance management, public participation and its structures and Delivering as One. The review also assessed project supported activities including KSG youth project in Isiolo County. Respondents from eight county governments including Turkana, Isiolo, Lamu, Garissa, Wajir, Tana river, Mandera and Marsabit were interviewed. In Turkana County, UN agencies serving under the Delivering as One approach were also interviewed. Strategic views were also sought from the Heads of Governance and Environment at UNDP, Devolution Advisor UNDP, DaO Coordinator in Lodwar and from the Embassy of Norway. A list of respondents is attached as Annex 3.

Specifically, the MTR investigated whether:

1. National and county governments have strengthened capacities for formulation and implementation of policy, legal and institutional frameworks and mechanisms for coordinated, inclusive and effective service delivery at devolved level;
2. Performance management, M&E, data management systems established and functioning in the counties;
3. Strengthened county-level planning and public financial management (PFM) systems;
4. Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources; and

5. Strengthened coordination and oversight mechanism of multi-UN Agency initiatives established and operational for frontier counties development council (FCDC) counties.

The MTR report identifies challenges, lessons learnt and recommendations for the next phase of project implementation.

1.6. Evaluation criteria

The evaluation was guided by the revised UNDP evaluation policy and UNDP programming and Policies Procedures, assessing specifically the seven UNDP Project Quality Criteria which are closely related to the UNEG evaluation criteria. These are i. Strategic, ii. Relevant, iii. Social and Environmental Standards, iv. Management and monitoring, v. efficient, vi. effective and sustainable and national ownership.

1.7 Approach, methods and data analysis

The evaluation employed an inclusive, participatory approach; and followed the United Nations Development Group's (UNDG) Guidelines for Evaluations as well as the OECD/DAC evaluation criteria. It also adhered to the United Nations Evaluation Group's Ethical Guidelines for Evaluation principles. Some of the methods used include:

Inception meetings: Two inception meetings were held, one with the Evaluation manager and the project manager and the other with the evaluation committee made up of representatives from RCO, UNDP, and implementing partners. The aim was to introduce the team, clarify roles and responsibilities, have a general overview of the assignment and gain consensus on various issues related to the evaluation.

Desktop Review: Key documents including the 2018-2022 Kenya UNDAF; Strengthening Governance Project Programme Document, UNDP Country Programme Document 2018-2022, the GoK Medium Term Plan (MTP) III, Turkana Program Document, Resident Coordinator (RC) Annual Reports, project results framework, IP progress reports, among others (see annex 4).

Key Informant Interview: Key informant interviews both face to face and virtual were held depending on respondent accessibility. The consultants visited Turkana and Isiolo counties for face to face interviews. For Nairobi and the other six counties has virtual interviews were held. The target respondents were key UNDP and RCO staff, GoK national implementing partners and county government counterparts/institutions and the Embassy of Norway.

Focus Group Discussions: Virtual focus group discussions (FGDs) were held for Tana River, Garissa and Lamu county staff, COG climate change and DRR staff and a face to face FGD with youth beneficiaries from Isiolo youth center.

1.8 Limitations of the study

The COVID-19 pandemic has rendered face to face meetings difficult. Hence, unlike most evaluations, most interviews for the SGP MTR were conducted virtually. The evaluation team faced connectivity challenges in some of the target areas. In some cases, telephone calls were made at the convenience of the respondents. There was also a challenge in availability and commitment on the part of County staff, but UNDP and the implementing partners supported the evaluators in securing appointments with them.

2.0 EVALUATION FINDINGS

2.1 Strategic

The project design was aligned to the United Nations Development Assistance Framework (UNDAF) whose development was guided by the SDGs, Medium Term Plan III, and Big 4 Agenda in Kenya. It is also aligned to UN Kenya's joint development framework under UNDAF Outcome 1.2 and UNDP Country Programme Document (CDP) outcome which states that by 2022 people in Kenya can access high quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced, accessible and accountable, and is implemented within the National Capacity Building Framework (NCBF) with interventions tailored to target county specifics. The Joint Integrated Program in Turkana County mirrors UNDAF Theory of Change at the local level and is aligned to the County CIDP. The program also aligns with Norway's priorities for Kenya which are basically Governance and Human Rights with the project responding to Governance issues at the devolved level with a focus on Turkana and scaling up in FCDC counties[6].

The project was designed to respond to new opportunities along the path of devolution, progressively building upon gains and lessons from previous UNDP Devolution programming that started in 2013 with capacity building of Government partners, then progressed towards enhancing support to counties by the capacitated government partners. The program then focused on implementation in the most marginalized counties, the FCDC counties, with an aim of fast-tracking achievement Sustainable Goals (SDGs) through enhanced governance occasioned by proper public finance management, planning and performance management, results measurement and public participation that is expected to improve service delivery to the public.

UNDP's catalytic support towards SDG achievements includes hiring an SDG Programme officer at COG. Further, with support from COG, County governments have appointed SDGs Champions who have been trained to steer SDGs process, scaling up SDG integration in county planning with good results. SDGs have been mainstreamed in performance contracting, County Integrated Development Plans for 2018 -2022 and subsequent Annual Development Plans. Counties are undertaking voluntary local reviews to determine SDP progress.

In Turkana County, UN agencies and development partners are implementing Area Based development Programming and are working in a coordinated manner for more effectiveness. The UN through the RCO's Delivering-as-One framework is using its convening power to provide coordination for the UN agencies and NGOs to create synergies and avoid resource wastage through duplication of activities and resources. Efforts to establish the Multi Partner Trust Fund (MTPF) to allow for multi stakeholder engagement on county development and investment priorities had been initiated by the National Treasury, County government and the UN although the MTPF is yet to be operational and has not started convening stakeholders and investors.

2.2 Relevance

The Norway Project Document 2019 notes that although devolution is well established and counties are functioning, human development in certain marginalized counties remain low, with key indicators of poverty, health, governance and economic performance performing poorly each year thus affecting their

[6] Interview with Embassy of Norway officials 14 October 2020.

rate of achievement of SDGs. Key obstacles to development include low participatory governance, county level peace and security, sustainable environment and natural resource management and resilience to shocks and climate change. These development challenges were well documented in pre MTP III that informed UNDAF 2018-2022 (aligned to SDGS, MPT III, Vision 2030 and the Big 4 Agenda) and UNDP's CPD 2018-2022 (p3).

UNDP's support to the Government of Kenya and subsequently the SGP is anchored on supporting the Government address the development challenges documented in Kenya's Planning Frameworks (MTPIII, Vision 2030 and the Big 4 Agenda). The SGP is designed to address the capacity gaps in County Governments to enable them deliver on the promise of devolution. This project builds on the success and achievements attained in the previous Integrated UNDP Support Programme to the Devolution Process in Kenya (2014-2018), lessons learnt from the from the recently concluded devolution projects implemented by USAID/AHADI and the World Bank's Kenya Accountable Devolution Program and Kenya Devolution Support Program. UNDP also sits in the Devolution Donor Working Groups and is well versed on the needs that require to be addressed in the country, thus ensuring relevance of its programmes.

At the design phase, UNDP also engaged key government institutions to incorporate the priority needs in county governance. Conversations with the Council of Governors indicated that they were consulted and continue to be engaged in the process to ensure that the support provided is relevant and respond to the needs of the County Governments. Moreover, interventions seek to improve county governance. UNDP has put in place a mechanism of ensuring that the program remains relevant and responsive to the needs of the country. The project is managed through technical meetings chaired by MoDA that are designed to take place quarterly to assess progress. With the donor the project has annual donor review meeting to review progress.

Feedback from the interviews held with the National Implementing Partners (NIP) indicate that although there is a signed AWP, there are a few challenges in ensuring timely procurements and cost disbursement that can be addressed through the adoption of a programmatic approach. Two of the five implementing partners reported issues of delays and payment reimbursements due to documentation. Whereas UNDP has held trainings constantly on HACT direct cash transfer modalities and other UNDP processes, some IPs have picked very well but others have not. The main issues have been inadequate internalization of the signed LoAs by some IPs and inadequate communication between the UNDP finance staff and IPs to discuss UNDP regulations. For instance, there is need for a meeting between IP and UNDP for thorough understanding before an LoA is signed. There is also need for timely requests and more commitment by IPs in getting documentation right in the second phase to prevent future incidences of delays. The project should also consider having the assessed low risk partners procure directly to reduce workload on the part of UNDPs staff.

The project is designed to address capacity areas which address existing weak governance systems, recognized as a notable cause of poverty and poor service delivery in the target areas. In addition to this, the project's capacity building approach targeted at strengthening the policy and regulatory frameworks as well as strengthening the systems and process of county governments in specific technical areas is anchored on the National Capacity Building Framework which outlines outputs to be addressed to strengthen the capacity of county governments to deliver services to citizens. The four outputs of the SGP are anchored on this framework.

The project does not have strong women participation as evidenced by the number of women engaged in activities[7]. This is not by design but is due to the low number of women in county management positions that are normally the target of capacity building. Although the project targets county top management where there are few women, there is need for innovations to bring in more women not just as workshop participants but as key leaders in the devolution strengthening process. Some partners have attempted gender mainstreaming for instance COG ensures women representation in workshops and training program. A gender roundtable supported by UNDP has provided recommendations for engendering the program in the next phase.

Youth have been deliberately targeted by the program through UNDP support as evident in KSG program in Isiolo County working on youth empowerment. The Isiolo Youth center started with 52 youth as an AGPO training center but has now been taken over by SDG providing life skills, entrepreneurship, business funding. The youth project was expanded by UNDP due to growing need from the ground. The county government is cost sharing and has promised to take over operations after one year. Integration of persons with disability in program activities was noticed from the event participation data.

The project is responding to contextual changes, in Kenya, especially along the trajectory of devolution that is now focusing on the county level systems and staff capacities. The project through partners has responded to humanitarian emergencies such as floods, droughts, locust invasion and the COVID-19 pandemic. UN agencies in Turkana County have also played a key role in responding to humanitarian emergencies as a result of flooding and FAO has taken lead in locust control. On the COVID-19 pandemic, a proposal was submitted to the Embassy of Norway in Kenya to authorize some of the COVID-19 interventions to use project funds as well as provide extra funds for COVID-19 interventions. The DaO office in Turkana County, was also mandated by the county government through its strong coordination role to coordinate COVID -19 response efforts by the UN and the NGOs in the county as well as track COVID 19 supplies and distribution.

The project has provided support to counties to implement the PFM Act 2017 signed by the president. The interventions responded to the issues of accountability and integrity in counties raised by the Kenya Government and which have continued to adversely affect service delivery.

The project is aligned to the strategic plans of the IPs. For instance, the COG has a mandate to provide a platform for knowledge sharing between counties through the *Maarifa platform* and work on issues of performance in counties. The Project Document of the Joint Program has provision for peer to peer learning and how to address knowledge transfer. However, this needs to be strengthened in the remaining period and included in the design of the next program with more role for KSG as a key institution in government capacity building programmes.

All in all, the project remains relevant as issues that informed the design including country policy framework, poor coordination of both national and county government, poor governance and performance as linked to citizen needs, poor public finance management, low own source revenue, low public participation, weak regional economic blocks which are utilizing regional competitive advantages

[7] A review of randomly sampled workshop attendance data indicates that most had less than 30% women participation for instance Marsabit COG PMS training 4-8 November 2019 had 13% women representation, Tana River COG PMS training had 21% women representation, OAG training workshop Malindi has 20% women participation and Isiolo CRA workshop 19.7% women participation.

to benefit their residents economically and poor mainstreaming of SDGs in counties are only partially addressed.

2.3. Effectiveness

Output 1. Policy, legal and institutional frameworks

National and county governments have strengthened capacities for formulation and implementation of policy, legal and institutional frameworks and mechanisms for coordinated, inclusive and effective service delivery at devolved level

During the reporting period, UNDP facilitated a platform where the national government institutions and supported county governments came together to deliberate and agree on various policies and processes to advance devolution. Creating an enabling policy environment is paramount and is viewed as a key driver to enhancing service delivery. Therefore, this output sought to link the National and County Governments in formulation and implementation of policy, legal and institutional frameworks, and mechanisms for coordinated inclusive and effective service delivery at the devolved level.

These efforts yielded the following results:

Economic blueprints developed by regional economic blocs: Beyond the national and county level policy direction support, the project has been instrumental in mapping out opportunities for trade and investment in the regions. Specifically, the project supported the development of the Frontier Counties Development Council (FCDC) Bill to institutionalise and structure the bloc, grounding its formation and functioning within a national policy. To this end, four[8] out of the ten member FCDC county assemblies have passed this bill.

County and National Governments Collaborate and Cooperate Better: Increasingly, the UNDP partnered with National Government level agencies and Intergovernmental Relations institutions like MODA, CRA, OAG and MED to support counties to develop sector-specific policies and tools. Further, the above-mentioned agencies supported the adoption and domestication of national level policies and guidelines as guiding frameworks in execution of the county officials' mandates.

Major policies advanced to support more capable and accountable County Governments: During the life of the project, the UNDP funding supported development of major policies and strategies to advance devolution in the counties. To this end, the project has strengthened counties, providing capacity building and technical support that has seen development of guidelines and policies such as CIMES, public participation, CIDP and ADP guideline; public participation, regional economic blocs, climate change/DRR and M&E policies. Additionally, Model laws earlier developed by MODA (52) and COG (10) in collaboration with KLRC and IDLO with the support from UNDP continue to be in place.

[8] Currently, Mandera, Marsabit, Samburu, and Garissa had passed the Bill. Turkana, Tana River, Wajir and Isiolo are at the second stage of reading while West Pokot is also expected to pass it soon.

Though some counties like Turkana County have taken the initiative to develop the M&E Bill, they cite lags at the national level to enact M&E Legal Frameworks as a major hindrance to fully operationalizing the Bill.

The policy and legal frameworks efforts at the county level include;

Table 4: Policies and legal frameworks developed

Relevant UNDP Program	Policies	Guidelines	Tools	Structures
Strengthening Governance Project (2018 – 2022)	County specific M&E policies DRR/CC policies Regional economic blocs policies	GIS Guidelines CIMES Guidelines Public Participation Guideline CIDP Guidelines Performance Management Guidelines Spatial plans Guidelines	County indicator handbooks Performance contracts Performance Appraisals	CBEFs Sectoral committees Technical Committees Steering Committees

Output 2: Performance management, M&E, data management systems

Performance management, M&E, data management systems established and functioning in the counties

This output focuses on assisting counties to establish Performance Management Systems (PMS) and strengthen M&E and data management systems including policies and legislation. It also aims to enhance peer learning in the counties. The Strengthening Governance Project's work in performance management and monitoring and evaluation continues to demonstrate its long terms support to devolution in these capacity areas. This is well recognized and appreciated by the County Governments interviewed as well as by the Council of Governors and the Monitoring and Evaluation Department which is the National Implementing Partners in this area.

Performance management

Section 47 of the County Government Act 2012 requires the County Executive Committee (CEC) to design a performance management plan based on the CIDP and ADP to evaluate performance of the county public service and the implementation of the county policies. It also outlines the need for citizen participation in the evaluation of performance of the county government and sharing of performance progress with the public (COG 2017). The main objective of the performance management framework is to promote accountability in service delivery by ensuring tasks are performed effectively, efficiently and economically. It also provides a mechanism for citizens to engage and evaluate performance of the county government. Performance Management and Performance Contracting of staff enables accountability of results achieved from use of public resources.

The SGP has focused its work on strengthening the Performance Management Systems (PMS) of targeted counties through performance contracting support. This work is supported by the Council of Governors in partnership with the Public Service Performance Management Unit in the Office of the President.

During the period under review, UNDP conducted trainings on PMS and development of performance contracts for County Executive Members (CECMs), Chief Officers, Directors and their Deputies and Senior Officers from Turkana, Lamu, Mandera, Marsabit and Tana River Counties. Capacity building included an overview of the County Performance Management Framework, detailed training on the performance appraisal tools and systems development of service delivery charters performance evaluation and vetting. The results of the capacity building and mentoring are outlined below: -

Progress Towards Achievement of Results

Increased level of knowledge and skills in performance management – SGP has so far trained a total of 341 county staff on performance management and contributed to an increased level of knowledge on performance management. However, additional training is needed to deepen this understanding and ensure more buy-in from the leadership and county staff if in order to translate to improved service delivery.

Enhanced practice in performance management: UNDP's support was mainly on training on the performance management process and development of Performance contracts (PCs) in select counties. The COG has endorsed County PC guidelines which the President signed in 2017 and this has synchronized planning in all counties. The project continues to support counties to implement the county Performance management framework that was approved in 2019. Under the SGP, UNDP has been supporting targeted counties to strengthen their performance management systems specifically on the performance contracts. Efforts were made to sensitize the top leadership on performance contracting with CEC's from Turkana, Tana River, Mandera and Lamu counties being sensitized on performance management system, performance contracting, vetting and negotiations. In county support was also organized for Turkana, Mandera, Marsabit, Lamu and Tana River Counties for County Executive Committee Members, County Chief Officers, Directors and Senior Departmental Officers. These capacity building sessions have resulted in improved level of knowledge and understanding on performance contracting and the performance management function and resulting in improved practice as outlined below.

Improved Performance management systems, processes and practice: Over time and as a result of the capacity building and count level mentoring support in the target counties, notable changes have been recorded as various counties put in place systems and processes to strengthen the PFM functions. In Lamu County for instance, the county strengthened and institutionalized the PFM function through the creation of a performance management secretariat comprised of the County Performance Contracting Committee, A County PC Secretariat, a County Departmental PC committee headed by a PC Coordinator. In Mandera, this has resulted in changes in practice as the county officials realigned their PCs with the County Integrated Development Plan (CIDP) priorities, County Annual Development Plan and the budget estimates. In Tana River County, the e CECs, County Chief Officers and Directors also completed and negotiated their PC targets and finalized their PC for signing. The CECs, CCOs and Directors negotiated their PC targets and finalized their PC for signing. As a sequel to this training Information gathered in interviews with targeted County Staff from Lamu, Mandera, Marsabit and Turkana counties, point to the most notable progress in Performance Management as being compliance to the Performance Contracting Guidelines; increase in capacity on the Performance Management process and capacity to utilize the P.C guidelines for operationalization of PCs. In Marsabit County, during the MTR, it was noted that the M&E unit has been involved in the PC review on an annual basis and the PC process has been institutionalized over the last 3 years although this was only done at the CEC level in the last financial year i.e. 2018/19. This therefore points to the gains made from previous support whose results are still being accrued during the current SGP.

One notable result in Tana River County is linkage of eCIMES to the service delivery points to the M&E and reporting systems, rewards, and incentives. To strengthen the PMS function, a position of Assistant Director Performance Contract has been advertised to provide leadership in the County. In Tana River County, the progress and achievements recorded so far are linked with support of the County leadership which is pertinent in driving these initiatives. Buy-in from top leadership continues to emerge as a crucial factor of success in any County initiative. The FCDC counties have adopted PMS systems, with some such as Turkana having already signed performance contracts for the last three years and generated a County Annual Performance report. In Turkana the sanctions and rewards schemes have been put in place and recommendation letters and training opportunities are provided to those who do well. If performance does not meet requirement promotion is delayed. The success in Turkana PMS is attributed to support from top management – the Governor. Tana River, Marsabit and Lamu have advanced and performance contacts have been developed with county departments for 2019/2020.

Despite the above-mentioned milestones in strengthening performance management, the counties are still struggling in instituting an integrated PMS system that helps with the end to end function of aligning resources, systems and people to the strategic objectives and priorities of the county government. Some of the counties also have challenges with getting full commitment from the leadership on performance contracting. To achieve this, it is recommended for the counties to invest in creation of an enabling environment to support P.C targets accomplishment through the public service within the county by garnering political will for this process.

However, PMS support remains at the peripheral of county government priorities. This is evidenced by minimal Government contribution in terms of budgetary allocation to this function. Further, the attitude towards this practice by some county officials is that of a punitive tool as opposed to a service delivery measure tool. This lack of buy-in both from the public service and the political leadership has been a major deterrent to progression of this function.

Challenges: Findings from interviews conducted with target county staff from Lamu, Tana River, Isiolo, and Marsabit Counties indicated that most counties are at the initial stages in adopting the performance management system. In most cases the performance management process ends at signing of the Performance Contracts at the leadership level. The performance targets are not cascaded to the lower cadre staff and the requisite systemized processes of tracking results through data collection and reporting for meaningful management of performance is lacking. Another challenge is lack of budget for PC process, inadequate capacities among staff to undertake performance contracting. As senior county official in Tana River put it this way, '*The training was one off, yet performance contracting is a complicated process'. The single training workshop was not enough to take them through the PC cycle including reporting and evaluation.* As indicated by a PMS official in Turkana, the cumbersome process and paperwork involved when there is no automation becomes another drawback in adopting PMS. Most counties have not had the opportunity to implement the full cycle of performance management. However, they are optimistic that this will be possible for the FY 2020/21.

Monitoring and Evaluation and Data Management Systems

Progress Towards Achievement of Results

M&E Policies, plans and guidelines developed: UNDP has been strategic in supporting the FCDC counties in developing the policies, legal frameworks and instruments necessary to track government policy outcomes against government plans and budgets. By February 2020, all the eight targeted counties[9] had M&E policies. However, only Turkana County Policy had been approved by the County Assembly. This they have done in collaboration with key Government institutions, specifically the State Department of Planning - Monitoring and Evaluation Department (MED) in supporting Garissa, Wajir, Mandera, Lamu, Turkana, Isiolo, Marsabit and Tana River in development of their M&E policies and County Indicator Handbooks. Most of these policies are complete and under implementation although they are yet to be approved by the County Assembly. However, having a policy ensures a structured way of implementation and budgeting. Some counties such as Turkana have gone ahead to develop an M&E Bill which is still work in progress. A key input of MED in the previous program was supporting counties in developing Chapter 6 on M&E Framework for the second generation CIDP.

Improved level of knowledge and skills in monitoring and evaluation - MED has enhanced the capacity of FCDC county staff on M&E and conducted a diagnostic assessment of CIMES implementation in FCDC counties. After the 2019 M&E week, MED conducted a 5- day training for FCDC counties on M&E tools, facilitating a peer review and learning from each other. The diagnostic assessment Currently, capacity building is going on to address gaps identified in the diagnostic assessment if well implemented will contribute highly to strengthening the FCDC counties on M&E and developing their Annual Development Plans.

Better results tracking: Some Counties for example, Tana River and Mandera have made significant gains in M&E in adopting the E-CIMES as a means to track county projects implementation and indicators. Furthermore, they have linked the performance contract targets to the indicators on the E-CIMES. Tana River is the second County in Kenya, to implement the automated M&E system and have further decentralized the M&E systems to Sub-county and ward levels. In subsequent periods, it will be important to track how this decentralization is helping improve service delivery within the county. The evaluation recommends that the counties of Mandera, Tana River and Isiolo are assisted to finalize and fine tune implementation of all components of NIMES/CIMES then other counties can learn from them through exchange visits.

In Marsabit, the County noted continuous tracking of the implementation of development projects and programmes as a result of support in SDG's mainstreaming. There has also been a notable improvement in reporting on Sustainable Development Goals (SDG). Marsabit county is one of the 5 targeted counties involved in the SDG National Voluntary Reporting (NRV). The county has been able to demonstrate the benefits of linking planning to budgets and subsequently reporting. The county officer interviewed intimated that *"as a result of the support, we are able to develop more informative reports which link CIDP targets to the Annual Development Plans and budgets".* The Marsabit County SDG Voluntary report of June 2019 further indicates that "the county has cascaded the SDGs Agenda at the county, sub-county and Ward levels". The report further indicates that the County has provided the planning and budget documents on the county website where budget implementation can be tracked by stakeholders. These

[9] Garissa, Isiolo, Lamu, Mandera, Marsabit, Tana River, Turkana, and Wajir counties

results build on the gains of the previous governance program where the county mainstreamed SDG indicators in the first and second generation CIDP and thereafter has aligned the Annual Development Plans and sector plans with SDGs.

Improved M&E practice: This result emanates from concerted effort between various development agencies including UNDP working in the devolution sphere. The capacity building efforts yielded immediate results in the targeted counties (Garissa, Wajir, Mandera, Lamu, Turkana, Isiolo, Marsabit and Tana River). These results include a deeper appreciation of M&E among county staff on the important role of M&E in planning and budgeting as a result of the capacity building when developing the CIDP Indicator handbooks for the different counties; Development of M&E policies and Frameworks has helped county efforts in streamlining the important role of M&E in planning, budgeting and reporting and is anticipated to support improved data collection through the allocation of resources to support data collection, management and analysis and subsequently the development of reports to guide policy and decision making. Reporting especially annual reporting has been streamlined and improved across all counties through the support of MED who developed a reporting template which counties have adopted to generate better quality reports. The most significant changes were noted in Tana River, Turkana and Mandera counties.

In Tana River County, in addition to having the policy and regulatory framework in place, the M&E structures are commendable with the unit headed by an Assistant Director for M&E and one M&E officer while 8 economists are attached in each sector to ensure that the M&E function is institutionalized. The economists play a key role in planning, budgeting and M&E. The County M&E structures have been established and there are 15 Ward Committees, 3 sub-county committees with COMEC at the apex as outlined in the CIMES guidelines. Resources have also been set apart for the M&E function. The county has also made significant gains in M&E in adopting the E-CIMES as a means to track county projects implementation and indicators in addition to linking the performance contract targets to the indicators on the E-CIMES. This is the second County in Kenya, to implement the automated M&E system and have decentralized the M&E systems to Sub-county and ward level. In Mandera County, although the M&E function is still very nascent, the County has recorded some commendable results. The County has a draft M&E Policy, M&E Bill and a draft Indicator Handbook. At County level, the M&E function is carried out by the M&E Unit and the Efficiency Monitoring Unit. At the beginning, there were a lot of tensions between the two teams due to conflicting mandates, but this was resolved after a meeting with the governor and the team now works well together. The M&E team is domiciled in the Department of Economic Planning headed by Director with 3 M&E officers and a statistician while the M&E function in departments is headed by chief officers. They have also established 7 sub-committees, but all these structures require a lot of capacity building to make them fully functional. The County is also committed to setting aside 1% of the development budget for M&E with each of the two departments responsible for M&E having a budget to ensure they carry out their mandate effectively.

Turkana County has already developed an M&E Act to strengthen M&E, moving ahead of the national level M&E status where the national M&E policy is still at the PS committee stage for discussions.

Higher resources allocated for M&E: The investments in the development of M&E policies as well as sensitizations of leadership and staff on the important role of M&E in the planning, budgeting, implementation and reporting is bearing fruit. Officers from Tana River, Turkana, Wajir and Garissa Counties interviewed during the Mid Term Review indicated that their county governments had allocated budgets for the M&E function. This was attributed to increased appreciation of the M&E function as a result of sensitization on the importance of M&E and the developed M&E policies.

Institutionalization of M&E: Formation of key M&E structures requisite for institutionalization of M&E practice is gradually taking place in the counties. These include the establishment of an M&E unit, County Monitoring and Evaluation Committee and the sector M&E committees developed after UNDP/MED training in counties. In Isiolo County, these have enhanced efficiency in data collection since the members of the committee own the processes and the deliverables. During data collection visits that take place quarterly the whole committee is involved. As one respondent puts it, '*Earlier we used to write to sectors to get data but now we use the M&E committee as part of the monitoring t*eam. For instance, we use a committee member from water department to get water sector data which has made things easier and more effective'. The inclusion of sector experts also enables the M&E team benefit from the expert opinion from the sectors hence improving the quality of reports developed. Isiolo County is now keen to develop an ICT based system and UNDP is committed to developing one that can be adopted by all 47 counties for uniformity purposes

Though there is no demonstrable evidence of change in service delivery that can be attributed to this output, key results were identified from the abovementioned counties: Linkages between the CIDP and County Indicator Handbook; M&E policy guidance has helped improve data collection, recording and utilization; formation of key M&E structures requisite for institutionalization of M&E practice, these include M&E unit, COMEC; County Indicator handbook has enabled decentralization of reporting structures; some counties have secured budgets for the M&E function for example, Tana River, Wajir and Garissa Counties. Efforts should be made to track progress to link service delivery to M&E and performance management efforts in the remaining period of time.

Some challenges include low uptake of the County Monitoring and Evaluation System, an important tool to help counties track progress towards the implementation of policies, programs and projects as outlined in the CIDP. One reason is that the county leadership focus is mainly on the development of statutory documents such as the CIDP, ADP and County Annual Progress Reports amongst others. There is also lack of appreciation of the role that M&E plays in the process hence hampering the uptake and operationalization of the M&E function in counties. Automation of M&E systems also remains a main challenge, driven by lack of human and financial resources to manage the process. This is attributed to the lack of prioritization of this function leading to none or small budgetary allocation to the M&E department. While these challenges can be resolved through developing or implementing existing policy and legal frameworks to institutionalize M&E, there is slow-paced uptake of this practice in the target counties. However, ultimately the lack of political good for M&E due to the wrong perception of it being a 'policing function' remains the major deterrent to strong institutionalization of good M&E practice. In an effort to address the specific problems in each of the counties, MED has recently concluded a Diagnostic Assessment of CIMES in the 8 targeted FCDC counties. This report will inform the support to be provided in the remaining period and is anticipated will also help address the strengthening of data management systems in counties.

Assessment against Indicators: The indicator for output 1.1 is "Number of FCDC counties with operational performance management systems". This is measured by the number of counties that have established a PMS and are using it for tracking departmental targets. Findings from the evaluation indicate that counties are at different levels in the establishment of the PMS system and none of the counties has put in place a fully operational Performance Management System. The activities carried out so far have include training on performance contracting and development and signing of PCs. e.g. Lamu has developed PCs and has started putting in place the institutional structures to support performance management e.g. creation of a performance management secretariat comprised of the County Performance Contracting Committee, A County PC Secretariat and a County Departmental PC committee. In Mandera county on the other hand, the county has been able to realign their PCs with the County Integrated Development Plan (CIDP) priorities, County Annual Development Plan and the budget estimates. Hence gradual progress is being made towards achievement of this result and progress can be recorded once the counties complete the full cycle. This measure will be best assessed in the coming year once the counties have managed to go through the whole PMS cycle. Breaking this down into milestones may also be useful so as to demonstrate the progress made over time such as development of the PCs for different levels, establishment of PC committees etc. The recommendation from the Mid-Term Review is to develop milestones that will also measure results (in %) from the investments made in M&E since the focus is more on PMS. This is illustrated in the Table below.

Table 5: Measuring PMS using milestones

Milestone	Indicator Progress level
County has initiated process of developing PMS	20%
County has signed performance contracts up to director level and are tracking targets up do departmental level	40%
County has cascaded staff appraisals at all levels	60%
County has done full circle in signing PCs	80%
County is showing improved service delivery as a result of PCs	100%

Challenges: Monitoring and Evaluation for development results in the counties faces a myriad of challenges. The M&E challenges in the County stem from the national level where the draft national M&E policy (2012) which articulates the Government's commitment to manage for development results is still in draft form and has never been passed. While some counties have made progress and even developed M&E policies and Acts, having a national level policy and legal framework will form the impetus for a speedy move of counties lagging behind to make progress. The lack of appreciation of M&E function by both the County Executive and Assembly is another major challenge in most counties. As a result, resource allocation for the M&E function continues to be a challenge even in instances where counties have passed M&E policies that clearly state the percentage to be allocated for the function hence undermining the effectiveness and operationalization of the M&E units. Other reasons noted by county officials interviewed include inadequate M&E personnel, inadequate capacity and competing priorities Another major gap is the lack of baseline data that can assist in tracking results as well as developing county statistical abstracts to enable counties gauge the progress and impacts of their work. As a result, many counties use old (outdated) data to inform decision making despite the numerous changes that have taken place in the Kenyan landscape since devolution e.g. Isiolo County uses the last statistical abstract which was developed in 2014.

Apart from inadequate baseline data, data collection and analysis is a challenge that was noted by all counties interviewed and would require additional support in the remaining project implementation period. In terms of operationalization of the M&E role in counties, there are overlaps in the functions of the M&E unit and Governor's Service Delivery Unit/Efficiency Monitoring Units (EMUs) in some counties. The Council of Governors and MED have been working on providing guidance on the same. Some counties like Mandera has been able to clarify roles and responsibilities and the two units are working together. IPs are of the view that passing of the national M&E policy will provide the impetus for counties to resolve such challenges.

Output 3. Strengthened county level planning and public financial management (PFM) systems

Strengthened County-level planning and public financial management (PFM) systems

Public Financial Management Support: According to the Public Finance Management Act (2012) article 102 on county government responsibilities in public finance, each county government shall ensure adherence to i) the principles of public finance as set out in Chapter 12 of the constitution and ii) fiscal responsibilities principles provided in section 107. Thus, effective Public Finance Management (PFM) is a cornerstone of good governance. Hence strong PFM systems are essential for the delivery of county and national development plans and contribution to improved service delivery. One of the fiduciary risks that was identified during the design of the SGP was a weakness in the transparency and accountability in the utilization of resources. To address this, the project's focus is on supporting counties to strengthen their PFM systems including internal audit, finance, accounts and budget, procurement, and administration, pending bills and debt management. It also aims to support the FCDC counties to improve generation of own source revenue. UNDP provided targeted, demand-driven technical assistance aimed at the county executive's capacity building interventions to improve public financial management and enhance compliance, accountability and reporting. During the period under review, the SGP has focused its efforts in supporting the audit function as well as Own Source Revenue. This support has been provided to counties though the Commission on Revenue Allocation (CRA) and the Office of the Auditor General (OAG) in close collaboration with COG.

Progress Towards Achievement of Results

Public Financial Management Support

According to the Public Finance Management Act (2012) article 102 on county government responsibilities in public finance, each county government shall ensure adherence to i) the principles of public finance as set out in Chapter 12 of the constitution and ii) fiscal responsibilities principles provided in section 107. Thus, effective Public Finance Management (PFM) is a cornerstone of good governance. Hence strong PFM systems are essential for the delivery of county and national development plans and contribution to improved service delivery. One of the fiduciary risks that was identified during the design of the SGP was a weakness in the transparency and accountability in the utilization of resources. To address this, the project's focus is on supporting counties to

Strengthened PFM function in Mandera County

In Mandera County, the audit function has improved immensely with the following notable changes: -

- queries have reduced from 22 to 12 in the last financial year as per the draft OAG report.
- Improved human resource capacity with 3 auditors attached to various county departments.
- A functional and operational audit committee
- Monthly treasury management committee meetings comprising of the accounts, budget, audit and revenue CECs.
- The county is currently implementing a standard audit program guided by the audit manual from the National Treasury. This is reviewed periodically.
- Internal audit conducted every quarter.
- Procurement Function
- Mandera County was ranked No 2 I the country in terms of adhering to public procurement procedures by Public Procurement Authority (PPA)

Source: MTR Interviews with County Staff strengthen their PFM systems including internal audit, finance, accounts and budget, procurement, and administration, pending bills and debt management. It also aims to support the FCDC counties to improve generation of own source revenue. UNDP provided targeted, demand-driven technical assistance aimed at the county executive's capacity building interventions to improve public financial management and enhance compliance, accountability and reporting. During the period under review, the SGP builds on previous projects efforts in strengthening the PFM systems in the counties. This support has been provided to counties though the Commission on Revenue Allocation (CRA) and the Office of the Auditor General (OAG) in close collaboration with COG.

Progress Towards Achievement of Results

Strengthened audit function in targeted FCDC Counties: UNDP provided targeted, demand-driven technical assistance to 7 counties (Turkana, Marsabit, Mandera, Isiolo, Wajir, Tana River, Garissa) to strengthen their public financial management systems including internal audit, finance, accounts and budget, procurement and administration, pending bills and debt management. The Office of Auditor General began its engagement with the counties by conducting capacity building sessions to strengthen the understanding of county staff on the public audit process and audit opinions so as to subsequently address the systemic issues in the counties. The first workshop held in September 2019 was attended by participants from 8 counites[10] while the second one in October 2019 was attended by 47 participants (39M, 8F) from 5 of the targeted counties[11]. This led to an Increased level of knowledge and skills of county staff in audit in targeted FCDC counties. The technical training workshops also equipped the participants with skills to identify the systemic issues affecting their counties as exhibited in the Audit Reports for the financial period 2015/2016 and their preparedness for the Audit of 2018/2019 financial year. This also helped to determine the level of preparedness of the Counties for financial and compliance audits. Each county had an opportunity to outline the challenges they face as a county. These became the basis for in-depth county level support provided by OAG to each of the counties.

Improved systems and processes: This support has resulted in notable improvements in the audit function. Key results noted in the targeted counties include improved level of knowledge on the audit function as a result of capacity building on the audit function in counties resulting in efforts to start strengthening systems and processes. Other results include - files are better organized compared to the situation prior to capacity building efforts; staff are more responsive in providing documentation on time for audit purposes; improved financial reporting as per IPSAS standards; some counties have audit units with specific heads of internal audit for financial reporting e.g. Lamu; timely development of financial statements and preparation of separate financial statements for different funds or projects and activated internal audit processes and voucher approval processes. Capacity building on procurement procedures has also enhanced accountability in the process. Mandera County was ranked by Public Procurement Authority as number 2 in the country on compliance – adhering to public procurement procedures. Mandera county on the other hand has made the most notable changes. This is included in Box 1 above. Officers interviewed attributed the success to the political and management support received from the Governor and the top leadership (CECs and Chief Officers). The governance framework is also in place and operationalized putting in place checks and balances in the audit process. The practice of conducting

[10] Garissa, Lamu, Tana River, Wajir, Mandera, Turkana and Marsabit
[11] Isiolo, Garissa, Lamu, Tana River, Wajir, Mandera

regular departmental audits helps to check the audit issues way before they are flagged by the external auditors. The staff appreciate that this is still work in progress. One of the officers interviewed had this to say - *"even though the 2017/18 is qualified, the no. of audit queries reduced from more than 22 to 16".*

In Wajir County, officers interviewed during the MTR indicated that the internal audit issues in their county were governance related and not procedural. Since the departmental evaluation and trainings by OAG there is notable improvement in terms of compliance in development of financial statements, compliance to submission deadlines; improved reporting; no spending of OSR at source and development of different reports for specific departments. In an effort to improve reporting, the county created a reporting unit under accounting services.

Audit Committees institutionalized: At least 5 of the 8 targeted counties have weak internal audit structures no audit committee as outlined by the PFM Act. Some of counties have strengthened their institutional structures resulting in notable improvements. For instance, in Lamu and Mandera counties, board audit committees have been formed and they discuss audit reports on a quarterly basis. In addition to this, Lamu has a Budget Implementation committee (BIC) that includes all directorates in Finance and planning, Procurement, Audit, Accounting, M&E. The BIC holds meetings every month to prepare cash flows, workplans and avail resources where required. This is a requirement of PFM and was not happening before the training. The regular meetings are helping not only in institutionalizing the process but also enhancing the practice. In Lamu and Mandera, the audit committees met (Mandera audit committee has held 2 meetings and Lamu has held 7 meetings since formation in April 2019) and deliberated on all audit issues that were identified during the OAG training and deliberated on how to get a clean audit. Some counties such as Mandera have enhanced independence of the audit function. Before the project's intervention, Mandera County's Audit and Finance operated as one unit. However, after the training, this was separated and a fully-fledged audit department formed and provided with its own independent office, budgetary allocation and 13 qualified staff. Ten audit staff were allocated to the ministries as internal auditors while two were retained at the treasury making audit work efficient. Before the training, vouchers would be paid without the internal auditor checking and signing but this is no longer the case. Hence a notable improvement in systems and processes in auditing. In Wajir county on the other hand, it was noted that internally a reporting unit/accounting unit has been created and the Audit committee is awaiting appointment.

While most of the targeted counties have established an audit office, the independence of the Audit Function from Finance is still a challenge. Some of the other challenges noted include lack of political goodwill which hampers the effective working of the audit team due to lack of management action upon delivery of reports for instance Isiolo. This is an area that requires additional support during the remaining period of the project. While notable progress has been made in some counties, the impact of the audit support will be determined after assessment of the 2019/20 audit reports from counties supported[12]. The project should keep track of these and follow up to see if the queries will reduce and the number of counties which will have audits which will have moved from disclaimer to adverse, adverse to qualified, unqualified. The audit function changes in Table 6 were instituted in counties through OAG efforts during the project period.

[12] By the time of the evaluation the county audit reports had not been released officially.

Table 6: Status of Audit Functions in FCDC counties

Name of county	Audit Dept in Place	Resources Audit Dept (staffing and budget)	Audit committee established	Audit committee operationalized
Mandera	Yes	Yes	Yes, and fully operationalized	Fully operationalized
Wajir	Yes	Yes	No	Not operationalized
Garissa	Yes	Yes	Yes	Not operationalized
Turkana	Yes	Yes	Yes	Fully operationalized
Lamu	Yes	Yes	No	Not operationalized
Tana River	Yes	Yes	Yes	Partially operationalized
Marsabit	Yes	Yes	Yes	Not operationalized
Isiolo	Yes	Yes	Yes	Partially operationalized
Total	8	8	6	2 Fully operationalized, 2 partially, 4 not operational

Own Source Revenue (OSR)

Generating OSR is a high priority for counties which in turn is an integral pillar for fiscal decentralisation. Increasing OSR collection is thus critical for counties, especially given this year's (2020) constrained fiscal space at the national level and the prolonged stalemate on the County Allocation Revenue Bill at the Senate that rendered counties cash crunched for months.

At the national level and with UNDP funding, the project worked through CRA and KRA's School of Revenue Administration piloted capacity development initiatives in Turkana, Isiolo, Mandera and Wajir. Through this initiative, the counties have improved on their revenue management policies and practices, thereby increasing revenue on targeted revenue streams. Importantly, this support has assisted in enhancing county and taxpayer discussions about taxation and service delivery. CRA has a mandate to promote fiscal responsibility and assist counties on OSR.

Since the onset of devolution in 2013, Counties inherited inefficient revenue management processes from the defunct local authorities. This has led to revenue leakages associated with manual and semi-automated revenue collection methods, inadequate skills on revenue forecasting, flawed collection and administration processes and lack of revenue streams policies and legal frameworks. Respondents for instance in Isiolo and Turkana indicated that the County Governments have neither enacted nor operationalized certain legislation to support their own source revenue mobilization. A respondent in Isiolo noted that the county is mobilizing their own source revenue using outdated policies and guidelines developed by the former local authority whose fees and charges need review in light of the devolution context.

However, a majority of counties are exploring automation of revenue management systems (e.g. Mandera, Turkana) but this process is still marred by challenges ranging from staffing capacity issues, the high cost nature of the venture, low internet connectivity, unstable power supplies especially in rural counties and lack of end to end automation processes.

Progress Towards Achievement of Results

Increased human resourcing of the revenue function: In Turkana, CRA conducted a three-day training on assessing of revenue streams potential, adopting new streams, and streamlining existing revenue collection processes to seal leakages. As a result of this training, in terms of staffing the county has assigned staff to assigned staff to the functional 30 functional revenue streams to support in revenue administration. In addition, revenue collection has improved as a result of revising the performance-based approach in revenue collection to enable collectors provide the achieved collection against the target and the requirement for an explanation or justification of a shortfall. This is evidenced by this comment by a supervisor in Turkana County: '*We used conduct numerical appraisals, but we have now added a narrative section to explain why one has not achieved a target'* noted a senior county revenue staff.

Increased capacity on revenue management processes and internal systems: The internal controls have been strengthened since the staff now understand the importance of audit. The administration systems for revenue have been strengthened, resulting in reducing pilferage and helping increase revenue. As the revenue staff noted, they now understand revenue forecasting and moving average model that they are now utilizing to allocate revenue collectors realistic targets based on previous performance and as a result there is expansion of county revenue base and increased collection.

For instance, Turkana County has now embarked on collecting revenue in land and property tax. They are now issuing plot transfers, certificate of compliance and fees for allotment letters, with the intention to automate this revenue stream. The tangible results include increase in revenue collected from Kes 175 million in 2018/19 to Kes 181 million in 2019/20. In Isiolo County the revenue base has expanded their reach, for instance the Single Business Permit (SBT) license fee was only collected in Isiolo town but has since been extended to other towns. The revenue sources included sand collection, single business permits, livestock auctions and parking fees. The county had some enhanced collections and by January 2020 the collections had surpassed the target by 50%. However, in Isiolo County, the COVID-19 situation has reversed the gains as most revenue came from tourists visiting the game parks for instance out of 162 million in 2019, 130 million (80%) was from game parks.

More automation of revenue collection and less leakages: Turkana also embraced more ICT and some streams such as Single Business Permits are 100% automated. In Mandera, automation of revenue systems has greatly improved revenue after sealing loopholes across all revenue streams. As result, the revenue collection has improved from 70 million in FY 2018/19 to 110 million FY 2019/20.

Apart from challenges in developing legal basis for revenue, and automation issues, counties also lack support towards spatial planning in municipalities for better organization and systematic revenue collection. Counties also lack adequate capacity building in forecasting as time allocated during the training was inadequate for the complex model and also adequate capacity on land management revenue framework. Only a few of the revenue staff are trained (in Turkana only 40 out of 105 total revenue team in the county were trained) and training needs to be scaled up to all revenue staff. The public also lacks awareness on tax obligations.

The indicator for this output is "Number of FCDC counties providing budget information". This is measured by a count of the number of FCDC counties that have put in place a mechanism to share county budgets with citizens. A report by COG for 2019 on a Research done Indicators Participation, transparency and Accountability indicated six out of the eight target counties including Tana River, Lamu, Garissa, Mandera, Marsabit (but not on time) and Turkana released budget information. Wajir and Isiolo did not release budget information. An analysis of work done and assessment during the MTR indicates that budget transparency through public participation is a concept that all the counties interviewed are grappling with. Legally, counties are mandated to involve the public in all decision-making processes including the budget making process. However, in the FCDC counties we learnt that access to information remains a key hurdle to meaningful public participation.

During this reporting period, Lamu, Turkana, Tana River and Wajir Counties received support in strengthening the CBEF. The 2010 constitution set up ambitious public participation reforms to ensure the public is involved in how the country and counties are governed. This has made public participation a very popular yet very vague concept in application with questions on how to properly institutionalize this process. To enable/facilitate public participation, the PFM act requires that a few structures are formed at the county level to facilitate conversation between the government and the public on public finance related issues. One of these structures is the CBEFs, though they have been constituted in the above-mentioned counties, they are yet to be fully operationalized in their role to act as the interface between the government and the public in ensuring there is access to public information and appropriate feedback loops are established between these two stakeholders. From the MTR, only Turkana County was seen as strong with Lamu, Mandera, Garissa, Tana River and Marsabit as Medium. Isiolo and Wajir are still in the formation stages and are quite weak.

Mainstreaming Disaster Risk Reduction and Climate Change in county planning

Climate Change Results

The SGP's work on Strengthening county level planning focuses specifically on mainstreaming climate change resilience into programming. Section 104 of the County Governments Act (No 17 of 2012) requires that counties should have planning frameworks that integrate economic, physical, social, environmental and spatial planning and section 107 of the Act further requires counties to prepare a five-year County Integrated Development Plan (CIDP) with clear programmatic goals and objectives; implementation plan with clear outcomes; provisions for monitoring and evaluation; and clear reporting mechanisms, as basis for appropriation of public funds. Additionally, each county is required to prepare County Sectoral Plans, County Spatial Plans and cities and urban areas plans as basis for guiding, harmonizing, and facilitating development in counties. SGP contributes to this both under its planning and monitoring and evaluation streams of work.

Under planning, the SGP targeted at strengthening resilience to enable counties better respond to climate related disasters and crises and mainstreaming climate and disaster resilience into planning and resource allocation. The Program has been working closely with the Council of Governors who co-ordinate the county work while the national level institutions include the Ministry of Lands, National Land Commission, NEMA, Regional Centre for Mapping of Resources and Development and the Regional Centre for Mapping of Resources and Development. Internally the work on GIS has been carried out jointly with the UN-HABITAT.

Progress Towards Achievement of Results

SGP continues to build on the successes of the Integrated UNDP Support Programme to the Devolution process in Kenya. The diagram below outlines the achievements made which form the building blocks of the current program, results achieved so far and the anticipated outcomes of the project.

UNDP continues to **embed climate change resilience and natural resource management components in devolved governance**. Building on the previous program, the SGP has helped to do this through strengthening the planning function through it work on spatial planning, strengthening capacity in GIS to support counties develop their own spatial plans, as well as deepening the knowledge on the Environment and Natural resource governance in counties through the recently completed report titled "Environment and Resource Governance in Kenya".

Improved level of knowledge and skills in GIS, Spatial Planning and DRM: The Climate Change and Environment team continued to build on the capacity building efforts begun earlier with notable results. Since October 2018, trainings have been conducted targeting officials from 37 counties. To this end, SGP held an inaugural technical training on GIS targeting staff from 37 counties.

Strengthened Framework for County Spatial Planning: This has been achieved through capacity building of county planners, GIS experts and land surveyors on GIS which have increased their level of knowledge, skills and appreciation of the role of GIS in enhancing planning and budgeting; development of the exemplar format of County Spatial Plans (CSP) due to lack of guidelines on how to present and structure a county spatial plan and how to package a CSP for purposes of approval at the National Land Commission (NLC) and Ministry of Lands.

As more and more counties develop CSP's, the plans will provide a basis for investment in infrastructure development, services delivery and environmental protection and conservation within counties hence contribute to achievement of sustainable development at county level, and also contribute to attainment of the CPD outcome on coordinated, integrated, transparent, equitable resources and accountable services at the county level. The capacity development was enhanced through in-county support on spatial planning in 8 counties[13]. However only Wajir benefitted from the FCDC counties in this training. This notwithstanding, the county has recorded major successes with the set-up of a GIS lab and a commitment for resource allocation for the development of the County Spatial Plan.

[13] Bungoma, Wajir, Migori, Taita Taveta, Makueni, Muranga, Kitui and Siaya (UNDP January – December 2019, Annual Report)

Table 7: Climate Change and DM policies, Guidelines and Tools Developed under the SGP

Relevant UNDP Program	Policies	Guidelines	Tools	Contribution to national and county level planning frameworks
Strengthening Governance Project (2018 – 2022)	i. DRM **Policy** Review – Samburu County ii. DRM Policy Review – Samburu Isiolo County ii. DRM **Bill** Review – Samburu County v. DRM Bill Review – Samburu Isiolo County	i) Hard Maps Training Module – Isiolo County ii) Hard Maps Training Module – Samburu County iii) GIS guidelines	i) Hazard Maps – Isiolo County ii) Hazard Maps – Samburu County iii) Update of hazard maps for 6 counties below iv) Exemplar	i. Kenya multi-hazard climate risk mapping guidelines in partnership with World Bank ii. County State of the Environment Report
Integrated UNDP Support Programme to the Devolution Process in Kenya (2014-2018)	1. DRM **Policy and Bill** Review/Development for six counties: i. Kwale ii. Baringo iii. Marsabit iv. Mandela v. Tana River vi. Kilifi 2. Baringo County Agriculture and food security strategy 3. Baringo County Peace and Security Strategy 4. Turkana County Agriculture Policy	1. CIDP Indicator Handbook for Turkana County 2. CIDP Indicator Handbook for Baringo County	Development of Hazard Maps for six counties: i. Kwale ii. Baringo iii. Marsabit iv. Mandela v. Tana River vi. Kilifi	i. Guidelines for hazard Mapping ii. National DRM Policy iii. National DRM Bill iv. National Action Plan for Sendai Framework

In addition to the capacity building and development of tools for CSP development, **sensitization of County Assemblies on CSP is yielding results.** In Wajir County, to ensure that the budget for CSP was approved, the SGP invested in capacity building the County Assembly Committee in charge of County planning and sensitized then on the importance of CSP process. This was followed by capacity building of the County Executive on the same. As a result of this, Wajir County now has GIS equipment and hired a GIS staff to assist the county in data collection which will be used in developing the CSP. The county had allocated resources for the 2019/2020 financial year, but this was later diverted to address the Corona Pandemic.

The climate change component has **initiated a problem driven approach by working with the relevant County Assembly Committee** to sensitize them on the importance of CSPs to increase the likelihood of having CSP budgets approved.

Developed indicator guidelines for age, disability and inclusion in spatial planning: In line with UNDP's principle of Leave No One Behind, SGP through COG recruited an age, disability and inclusion expert to sensitize counties on how to mainstream age, disability and inclusion in the county spatial planning process. A gender expert was also engaged to sensitize counties on the need for gender mainstreaming in the development of County Spatial Plans. This will strengthen the planning function by ensuring the mainstreaming of the same and further entrenching the human rights-based approaches of the United Nations. Work is already ongoing on mainstreaming gender in the spatial planning process.

Resilient development planning enhanced: SGP has continued to support the policy development process at county level. UNDP worked with Isiolo and Samburu to develop their draft DRM policy and invested in engaging both the County Executive and County Assembly in the two counties. The policies and bills have been enacted and are awaiting validation and eventual sign-off by the Governors. It is anticipated that this will result in reduction in disasters through mainstreaming in planning and increased budget allocation to address emerging risks.

The program continues to be at the forefront of **strengthening Kenya's County government's capacities to integrate CC into planning through development of frameworks, guidelines (GIS guidelines, operationalizing County Environment Committees) and tools** as outlined in output 1 above.

SGP continues to generate knowledge on critical areas in climate change, environment, and natural resources. The recently completed Environment and Natural Resource Governance Report provides an expanded profiling of the environment and natural resources chapters of the state of environment report on governance and provides a good basis for informed environment and natural resources governance in Kenya.

Challenges: One of the greatest challenges that this component has faced under the current project is the limited financial resources despite the increased demand from counties. This was noted especially after the sensitization of counties on the importance of CSP's in long term planning. Getting approvals from County Assemblies on plans and budgets related to the planning stream of work continues to be a challenge. However, initial results from Migori (outside the scope of counties for review) and Wajir demonstrate the importance of sensitizing the county assemblies and getting their buy in as it leads to a higher likelihood of success.

Despite the funding challenges' **opportunities exist** to enhance the work and for sustainability of these initiatives. The initiatives started are embedded in the strategies, programs and plans of the various government agencies[14]. Opportunities also exist to partner with other agencies like FAO which has supported several counties to establish GIS labs in ASAL counties. Opportunities also exist to build on the findings of the Environment and Natural resource governance assessment in counties that was recently concluded. This will be very useful in contributing to the discourse on the management of resources that transcend regional boundaries and enhance benefit sharing, sustainable development and reduce resource conflicts. As more counties become disaster prone, numerous opportunities exist in linking risk management to county annual planning and budgeting processes so as to increase the likelihood of setting aside resources to address disasters and risks in county budgets.

[14] NEMA Strategic Plan (2016-2020) is to "Strengthen County capacity to perform environmental functions"; NLC

Efforts should also be made to address the existing gaps for hazard and climate risk mapping, DRR and Climate Legislation in the remaining ASAL Counties and well as offer more support for county spatial planning.

Output 4. Strengthened citizen participation mechanism

Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources

The output focused on Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources

County Budget and Economic Forums

Typically, citizen engagement activities either address local government capacity to engage with the citizenry (supply side) or build the capacity of citizens and organisations to effectively engage with the government (demand side). However, UNDP citizen engagement strategy was grounded on a paradigm shift: moving away from the supply/demand dichotomy to one of fostering partnerships in county governance to improve service delivery through establishment of public participation structures – the County Budget and Economic Forum. In 2012, Kenya passed a new public finance law requiring every county to create a County Budget and Economic Forum (CBEF). CBEFs were intended to facilitate public consultation on issues around the county budget and the broader county economy (Kamau 2015). The County Budget and Economic Forum (CBEF) provides a forum for structured citizen participation as they represent county and non-state actors.

As such, UNDP in partnership with Commission on Revenue Allocation (CRA) has been instrumental in driving formation and operationalization of the County Budget Economic Forum (CBEF) which is one of the structures legally mandated to drive and foster public participation that is comprised of state and non-state actors. CBEFs support counties in planning, public participation and budget making process.

Progress Towards Achievement of Results

Increased formation of CBEFs at the County level: In 2018, 69% of the counties had not established CBEFs and this meant lack of a structured avenue for citizen participation among state and non-state actors. However, according to COG, by the end of 2018, 32 counties had formed CBEFs, both FCDC and non-FCDC counties. Currently (2020), CBEFs have been formed in 43 out of the 47 counties. Assessment of the work of CBEFs is going on to assess whether they have enhanced public participation and prudent financial management.

Improved CBEF capacity: Specific CRA support was implemented in Lamu County where the CBEF was trained on their roles and responsibilities in the planning and budgeting processes. The focus was to help them to understand and establish effective engagement mechanisms with respect to their distinctive representative, legislative and oversight roles, and to avoid duplicative of public participation efforts. Turkana, Tana River and Wajir Counties also received CBEF support by way of trainings. Though there is evident progress in terms of the composition and understanding the mandate of CBEF, some counties such as Tana River and Wajir are still struggling with operationalizing this public participation structure.

CBEF County operations enhanced: In Turkana County, there is a 10 member CBEF which is equivalent to the number of CECs. The CBEF has sectoral committees aligned to departments, and joint awareness meetings are held where county assemblies, CEC and the CBEF educate citizens on county functions. The CBEF plays an advisory role to the governor and act like a shadow cabinet. The CBEF members are selected based on their technical skills or professional qualifications to add value in their advisory role. CBEFs are adding value to sector plans and budgets in Turkana, performing oversight of expenditures and streamlining public participation in counties

Strengthened CBEF internal structures and processes: In Turkana County, according to one CBEF member representing non-state actors, the training conducted by CRA in February 2020 contributed a lot to their improved ways of work. Since its formation in 2018, the Turkana CBEF did not have a Terms of Reference (TOR) and have since developed one including a work plan driven by CRA guidelines. Furthermore, CBEF is also active and ensures public participation takes place up to village level. The CBEF members also engage regularly, sometimes monthly with County Executive Committee members (CECMs) and Chief Officers (COs).

Enhanced county oversight: In Turkana County, the CBEF is involved in the entire budget process, play an oversight role as they hold quarterly forums with CECs where finance statements are tabled and burn rates and over-expenditures explained. The Governor is very supportive and attends quarterly meetings and maintains a neutral position in the discussions so that feedback can be useful to the executive. The CBEF also assesses changes in lives of the people, the ultimate reason for the oversight role.

Increased public satisfaction in public participation processes: As a result of CBEF presence and work, the public feel more represented in the budget making process. For instance, in Lamu County, they discuss financial reports at the end of the financial year. This way, they ensure resources are utilized for the intended programmes while demonstrating value for money. On the other hand, in Tana River County, the CBEF is engaged in planning, public participation and budget making process. According to one county staff, ‘the CBEF makes the public feel more represented’.

Of the eight CBEFs in FCDC counties, four of them i.e. Lamu, Mandera, Garissa, Turkana and Tana River have been provided with technical assistance in development of operational frameworks – Terms of Reference and codes of conduct. Turkana CBEF is quite ahead, with strong non-state representation while Marsabit, Isiolo and Wajir are still in the formation stages. Public participation has been enhanced in counties as a result of capacity building by CRA. In Lamu for example, public participation in the budget process was very weak. After training, they brought in non- state actors in CBEF. Before the training, they had never had a formal meeting, they did not know their roles, were lax but currently they are active.

> *In terms of outcomes from CBEF, Mandera provides a good example. As a result of CBEF interventions, the county has done well in budget absorption for development funds, now standing at 45%, way higher than the 30% threshold provided for under the fiscal responsibility principles.*

Key enabling factors related to the success of Turkana CBEF include political will especially support from the Governor and capacity building of CECs so that they can realize the importance of CBEF and do not see them as competitors Some hinderance factors for CBEF include i) lack of public participation policy in some counties that affect implementation of structured and well-resourced public participation. This also implies lack of a budget for CBEF facilitation, a factor that makes then unable to fully support the county ii) Some CBEF members stay out of the county and may have other commitments, thus not present in meetings with CECs as witnessed in Turkana, iii) Lack of a secretariat office and training on public finance for CBEF members is also a challenge for instance Mandera. To enhance CBEF work, it is important to synchronize their workplans with county budget cycle and ensure participation in development of ADPs.

Public Participation Policies

The process of facilitating public participation legislation in counties started in previous programming and counties are continuously progressing with enacting public participation bills. Currently, 3 out of 8 FCDC counties have enacted legislation to provide the institutional framework for facilitating public participation and civic education. These include Lamu, Isiolo and Turkana[15].

Recommendations: i) CBEFs should be brought together in a forum with MCAs especially committee on budget to know the role each team plays and so that MCAs can support the work of CBEFs more. ii) CBEFs need constant monitoring by CRA after training to monitor their effectiveness. iii) CBEFs need mentoring on how to perform their roles in the wake of COVID-19 which limits interaction. iv) Selection of CBEF members also needs to consider expertise and abilities to add more value to the sector planning.

Output 5. Strengthened coordination and oversight mechanism of multi-UN agency initiatives

Strengthened coordination and oversight mechanism of multi-UN Agency initiatives established and operational for frontier counties development council (FCDC) counties

Output 5 focuses on strengthened coordination and oversight mechanism of multi-UN agency initiatives established and operational in FCDC counties

Overview of Turkana Area Based Program

Building on past UNDP programming, the current program is strengthening Area Based Programming in Turkana County using the Delivering as One (DaO) approach. Before the DaO approach, there was general lack of a coordinated among approach UN agencies, county government and many partners implementing programs in Turkana. This resulted in a lot of duplication and funds seepage due to inadequate monitoring and accountability processes. The fragmented nature of interventions made it hard to see results of the huge amount of resources that had been put in the county by different stakeholders. A coordination framework was therefore necessary to guide the interventions and show results. The approach is premised on the key principles of one leadership, one program, one budgetary framework, one office, programming interfacing development and humanitarian assistance, mobilization of other partnerships, coordination and strategic engagements. The Lodwar DaO office was therefore set up for that purpose. Currently, the office is up and running with four staff paid by RCO who are led by a Dao coordinator. There is goodwill and support from UN agencies who have provided new furniture and County government that pays for the office space.

As a result of previous and the current project, the UN through RCO has implemented the Dao Principles in the Turkana Area Based Program as follows:

[15] COG 2019 report on indicators of Participation, Transparency and Accountability

One leadership: The DaO program in Turkana is led by a coordinator whose main role is to convene and coordinate the different agencies, county government and partners to work together in delivering results. The DaO leadership structure is organized at four tiers namely i) sector working groups ii) thematic working groups, iii) Technical working groups, and iv) Steering committee

The Sector Working Group is chaired by a County Executive Committee (CEC) member and a UN Agency with dominance in that sector for instance Education CEC paired with UNICEF for education sector. The sector working group meets quarterly. The thematic Area Working Group is chaired by CEC with more dominance in the thematic area and counterpart in the UN agency as shown in the following table.

SRA membership

Table 8: Strategic Results Area Membership under DaO

SRA	UN intervening Agency	Collaborating County department	Co-leadership
Transformative governance	UNICEF, UNDP, UN WOMEN, UNHCR, UNFPA, UNRCO, ILO	OOG, County attorney, PSADM, CA Finance, Mercy Corp, SCI, GIZ	OOG/UNDP
Human Capital development	UNICEF, WHO, UNFPA, UN WOMEN, WFP, FAO, ILO, IOM, UNHCR, IFC	Health, Education, Trade and gender, Tourism and Culture, PSADM, Agric, Water, Lands, SCI, IRC, Mercy Corp, WVI, GIZ	HEALTH /UNICEF
Sustainable Economic growth	FAO, WFP, UN HABITAT, UNHCR, UNDP, IOM, IFC	Agric, Water, Trade, Tourism, Lands Finance, Infrastructure, NGOs like WVI, Concern worldwide, KRCS, SCI, GIZ	FAO/Agriculture

The thematic working group also meets quarterly.

The Technical Working Group is the third tier chaired by the UN DaO Coordinator in Turkana County and the County Secretary. This brings together the heads of the three Strategic Results Areas Working Groups (UN and Government co-chairs SRA 1 to 3). The TWG meets biannually. This group is not whole constituted and needs to incorporate other key stakeholders including donors and philanthropists to enrich discussions on resource mobilization.

The Steering Committee: The steering committee is co-led by UN Resident Coordinator and the Governor and makes all key decisions. Membership is made up of heads of agencies, ministry of devolution CS, National treasury CS, Donor representative

Currently, the thematic working groups and technical working groups are quite active and have held meetings. The sector working group, that includes all the UN, NGOs, county department and other partners working in a particular sector need to meet more regularly for proper planning which is key to enhance duplication and stop duplication of resources.

One Program: The One program principle is slowly being adopted by UN agencies in Turkana whereby three or more agencies some together to fund raise and undertake a certain initiative. Adoption of this principle is most clearly demonstrated in the Kalobeyei Integrated Social economic Development Program (KISDEP) run from Kakuma office. The KISDEP is a multi-year, multi-agency plan that is part and parcel of the 5-year County Integrated Development Plan for Turkana County 2018- 2022.

The KISDEP provides a framework and tool to manage the presence of some 180,000 refugees (40% of the population of Turkana West) in a manner that is of benefit to all – both the refugees and their hosts. The programme and activities proposed aim to boost the County's efforts to achieve its own human development objectives, as well as those of Kenya as a nation, and the global SDGs. In the program, the World Food Program, Food and Agriculture Organization, United Nations High Commission of Refugees, UN Habitat and others have joined in the tripartite agreement with the County government and with funding from European Union Trust Fund. The program which integrates refugees and local host community in socio-economic development is aligned to the county government CIDP, focusing on areas of Health, Agriculture & Livestock, Water, Private Sector & Entrepreneurship among other development goals.

The one program principle can also be seen in other program implementation arrangements. In Lodwar, Turkana County, World Food Program (WFP) together with Food and Agriculture Organization (FAO), United Nations Children Fund (UNICEF) and United Nations High Commission for Refugees (UNHCR) developed a tripartite agreement with the County to deliver certain aspects of the Turkana CIDP especially on Health, Agriculture and Education. NGOs such as Save the Children, World Vision and private sector actors Techno Serve, and Hive Kenya are also part of the programming. As a WFP official in Lodwar puts it, *'Private sector and NGOs have been important partners in our program for instance Techno serve has provided training for us while partnership with World Vision has helped us in secondary food distribution, beneficiary targeting, registration and community mobilization, reaching 30,000 beneficiaries'*. The interventions are carried out through government staff. Although the programs are progressing well, a county government official decries the lack of joint workplans which in some way has hindered implementation,*' we do not have the detailed budgets and work plans of our UN counterparts. How am I expected to provide my officers to support when I do not know their schedules and plans'?*

One Office: The DaO initiative has an office in Lodwar. The co-ownership of DaO by UN and County government is exhibited by the fact that the county government pays for the DaO office while the UN has equipped the office and runs the operations. The Delivering as One Unit in Lodwar has the role of convening and facilitating the UN agencies and the county government. The CIDP is used as the planning tool and coordination meetings are held monthly for information sharing. NGOs including Mercy Corps, World Vision, international Rescue Committee and Concern Worldwide are also participating in the meetings as key development or humanitarian stakeholders and as members of the sector working groups. The deliberations generate strategic policy recommendations for UNDAF Strategic Result Areas and Steering Committee.

The office sometimes hosts meetings requiring strong internet connectivity but generally meetings are held in government offices or hotels since the conference room at DaO office is small. The DaO office does not physically host the county government staff, something one senior county official feels needs to be done for more ownership and effectiveness of DaO. He says *'we need to have some county staff attached to and stationed at the Dao office, not paid by the UN but the county'* [16]

Joint Budgetary Framework: The current Project Document for The Turkana Joint Integrated Program (JIP) is aligned with the CIDP with county specific priorities developed and signed by both UN and Government and outlines a budget and contributions by the county and different UN stakeholders in one budgetary framework. It follows the theory of change of the UNDAF, unlike previously when it was a mini-UNDAF. A consultative meeting between the UN and Turkana County Government helped to enhance inputs and recommendations for the JIP. The JIP program document will be approved for implementation once it is ratified by the steering committee.

However, different stakeholders have different perceptions regarding implementation of the joint budgetary framework. Currently, the budgets remain with the different agencies and annual contributions are not shared. Agency funds need to be reflected in the Annual Development Plans and Budgets so that it is clear to government what each agency is committing.[17]

Programming interfacing development and humanitarian assistance: The DaO initiative in Turkana County has shown efforts to interface development and humanitarian assistance. As one senior county officials puts it 'our goal is sustainable development not just relief'. Multi-Agency efforts led by agencies such as WFP for instance indicate a blend in programming, with a shift to more development from humanitarian. Thus, though WFP was previously known as an agency for providing relief food, (with many adults including county officials having been beneficiaries of the same), WFP has facilitated food security programs[2] including irrigation programs, fisheries, bee keeping, poultry, supporting access to inputs and buyers, reducing post-harvest losses and value addition for instance milling and packaging, with support from trained public health officers for quality assurance. Farmers have been trained on agronomic practices and have been given tools to produce their own food. Some of the food is bought by the county and distributed to schools, providing ready market for the farmers and thus ensuring sustainability. Under Resilience livelihood program, 73,000 beneficiaries are getting 75% food rations. WFP is using the sustainable food approach, providing food to 65 out of 112 sites supported. The policy is not to provide food for people in the irrigation schemes who are being supported to produce their own food. However, county officials and politicians are hindering implementation of this policy by providing relief food to non-deserving cases in the irrigation settlements, an issue that needs to be taken up in Dao co-ordination meetings.

Mobilization of other partnerships, coordination and strategic engagements: The RCO's main responsibility is not service delivery in the county but to facilitate development through two key strategies:

[16] Virtual interview with a senior county official Friday Sep 11 2020).
[17] Interview with a senior planning officer, Turkana 8th September 2020

The first strategy is enhancing coordination and strategic engagements where partners share plans, undertake joint programs, undertake joint monitoring, limit funds seepage, funds misappropriation and avoid duplication in interventions. This is informed by the UN comparative advantage as a neutral convener. In this case, the program is contributing to enhanced service delivery to the public by minimizing wastage of resources. For more accountability and transparency by all however, the results need be shared in a DaO dashboard showing who is putting in what, where and with what results.

The partnership is between 11 UN organizations that meet regularly (quarterly). These are Turkana/Kakuma based agencies including UNHCR, UNICEF, IOM, UNDP, FAO, WFP, RCO, UN Habitat. They are joined from Nairobi by UN Women, UNFPA and UNEP. The evaluation notes that regular coordination meetings are taking place in the Lodwar office and partners are sharing plans, proposals and programs.

Apart from bringing together 11 UN agencies operating under DaO partnerships, the UN has attempted to mobilize partnerships, coordinate and have strategic engagements with others especially NGOs and development partners. This is a first step in reducing fragmentation. "*In the last sector meeting, several NGOs implementing programmes in various sectors attended, although they are not yet incorporated in the working group structures. These included International Rescue Committee, Kenya Red Cross, Save the Children, Terre des Hommes, World Vision, Mercy Corps, Concern Worldwide, Danish demining Group, development partners such as Japanese International Development Agency, DFID representative and local NGOs such as TOPADO"*[18].

Key results from the coordination

UN agencies WFP and UNICEF has harmonized working modalities with government for instance they have aligned the financial year with government to July – June rather than the previous January – December. They have also agreed on Joint reporting and will be uploading reports to the county website.

Through the DaO initiative, the UN is arresting the issue of duplication and resource wastage. As a respondent asserts *'previously, an organization would sink a borehole where another organization had tried and failed' Now they are meeting and learning from each other*[19].

In the meetings, each partner updates the others on what they are doing and discuss how they can complement each other. In recent biweekly meetings, they discussed how they can work together, developed and implemented response strategies to emergencies - locust invasion, floods and COVID-19.

As part of delivering and being global leads in various technical areas in development, UN agencies have continued to provide technical support to county (and national) government in various areas. In Turkana, technical support to county government has included:

UN has provided technical support on planning to county through UNICEF which has been in the forefront as a global lead in education, water, sanitation and health, nutrition, and child protection. UNICEF has thus been instrumental in supporting Turkana county during CIDP and sectoral processes in planning in the aforementioned areas. UNICEF has taken lead, bringing in other partners and county technical staff in development of sectoral plans such as the four-year County Nutritional Action Plan. Agencies such as FAO also provide technical support in Agri-nutrition, sharing new technologies for household level

[18] Interview with DaO Coordinator Lodwar, 8 September 2020
[19] Interview with WFP official Lodwar, 8 September 2020.

production, marketing, reducing post-harvest losses etc. Working with UNHCR, WFP and County government, FAO which with Ministry of Agriculture takes lead in SRA 3, has also influenced policies at the Department of Lands as regards Land Governance to promote access to land for food production, land tenure for both refugees and host community, reaching more than 10,000 people. Again, with UN Habitat, UNHCR and county government, department of livestock, FAO has provided protein reach for more than 2000 households by providing chicken for poultry farming refugees and host community.

Based on the plans developed, the UN identifies gaps that the county cannot provide and comes in to support. The agencies have also enhanced South to South cooperation with sharing of innovative forms of knowledge exchange, technology transfer, emergency response and recovery of livelihoods as learnt from within the country or other developing countries. Other technical support includes risk responsiveness and preparation for instance FAO together with county government and other NGOs played a big role in controlling locust invasion. By end of August the invasion had been suppressed

Other technical support has included training of PICs 65 on food systems, governance, leadership, managing projects and strengthening NDMA on drought assessments

Strategies for technical support have included training and exchange visits to other counties where initiatives have been successful.

A key gap in the partnerships and coordination is absence of the private sector and philanthropists who are already supporting aspects of programming for instance Equity Bank Foundation in Education, Master Card, Kenya Commercial Banka and LUDIN that supports TIVET.

The second strategy was establishing an MPTF where all donors are required to put resources in one basket. According to a senior county official in Turkana, MTPF was mooted better manage development resources and obtain tangible results in terms of sustainable development. Peached at the national Treasury and operated from a New York account, MTPF is meant to increase accountability, reduce duplication in programming and poor design with the resultant waste of resources. The basket fund is designed to be run by a nine-member steering committee was to be set up with UN, National Government, County Government and Donors. Donors will put money in the basket fund, while UN agencies and NGOs are to come up with funding applications for high impact, low cost programs which would be sent to the steering committee for approval and funding by the MTPF based in New York. The program has developed operating manuals and fund framework and was officially launched in a high-level meeting by UN, treasury and County Government of Turkana. However, despite the lot of work done on preparation and launching of the MTPF, there has been delays in operationalizing and implementing the MTPF that is of concern to interested stakeholders, calling for some urgent action to operationalize it.

Lessons for improvement of DaO

The policy of ensuring all UN programs operate under UNDAF has helped to make DaO work better, strengthening the office of the RCO. However, more advocacy is for agencies not fully in Dao to buy in.

UN Comparative advantages: The UN has convening power that is not fully utilized. This is emboldened by the fact the UN agencies are sector co-leads in various sectors, enhances their role in in bringing government and partners together for capacity, skills and knowledge transfer and sharing and also for upstream engagement. UN being impartial or non-affiliated provides neutral playground and enhances its effectiveness in coordination, guiding development and policy advocacy.

In relation to the above, UN convening power can facilitate more speedy socio-economic transformation as seen in the case of Kalobeyei. However, regular evidence gathering, and communication is needed for the transformation to be clear to all.

Some UN agencies have a concern that working and reporting as a group may jeopardize their own visibility and fund raising from their donors who want to see what each is doing. This, together with difficulties in designing complex programmes/problem definitions can derail DaO from a higher level. This concern calls for forums for donors through their working groups together with UN lead agencies in Nairobi to adapt DaO in totality and discuss ways of enhancing individual agency visibility while delivering as one. Joint programming and reporting can be done and visibility to donors still be maintained since each will use of each agency's comparative advantage.

Related to the point above is the issue of convergence and integrated programming. UN agencies need to have integrated programming within, across UN and across government. '*The current programming tends to split the women, the household, the child…providing different services such as hygiene, reproductive health, water, separately'* [20] . UN needs to influence adoption of integrated programming by stakeholders focused on the whole person.[21] Joint planning will solve development challenges where projects are left incomplete, providing no services to the intended beneficiary for instances ECD centers with no water or feeding Programme or dispensaries with no water or Solar power.

UN can focus on facilitating DaO meetings since conference packages are quite expensive, probably more reason why UN should play a bigger role in convening and coordinating rather than service delivery. UN can also be researching on and sharing positive tangible results in resource utilization, joint planning, joint facilitation and implementation that gives more impacts in the community so that there is evidence of DaO working. Generation of evidence for decision making from research on UN catalyzed small scale projects can be used as a springboard for scale up of successful projects by the county government and other development partners

Key Impacts for DaO in Turkana

Legislative frameworks have been developed at County level. A key milestone is the Community Health services Act that has been critical in addressing service delivery at community level. Community service volunteers are now on the payroll and thus motivated to address health, sanitation and nutrition issues in the community. Other legislative pieces in development include Water Act, Social protection Act, ECD policy, Health Services Management Act, Agriculture Policy and Disaster preparedness and Response.

Joint programming has taken off. For instance, in Kalobeyei with tripartite agreements between UN agencies, county and donor to deliver a high impact Programme to benefit over 180,000 the most

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[20] Virtual interview with UNICEF staff, 9 September 2020).

[21] In integrated programming, one may ask a question for instance what does a young child need in a certain area and what gaps are there in existing interventions that are minimizing utility? Thus interventions will ensure they are supporting policy for development programming - clean and adequate water in health facilities, adequate latrines, adequate and well trained health staff, adequate drugs, extension services, in ECD centers clean drinking water, adequate sanitation facilities for both boys and girls, feeding programme, trained teachers, supportive supervision, collaborative parents, play and leaning ,materials and a safe and stimulating environment. Different agencies and actors then work where they have a comparative advantage and intervene within a single project.

disadvantaged communities (refugees and host Turkana community)[22]. Joint programing is also taking place in whole of Turkana county targeting education, agriculture, health and water and sanitation[23]. Thus, the project directly contributes to Sustainable Development Goals.

Partners and the County have also in the last one year come together to address mitigation of various COVID-19 interventions, customizing WHO strategies at community level, mitigating against floods and the locust invasion.

2.4. Efficiency

To leverage on the gains from other devolution support programs, UNDP in their in-county support has built on the capacity development initiatives by AHADI, World Bank, European Union (E.U) etc. This was particularly important in ensuring value for money for the donors supporting these initiatives.

UNDP has also leveraged opportunities of economies of scale and cross-county learning and lessons sharing through support to the regional blocs. They have also utilized cluster approach to capacity development during the training workshops. Examples of counties learning from each other include spatial planning where Lamu learnt from Makueni County, Public Finance Management and audit processes facilitated for FCDC counties by a Kisumu internal auditor and facilitator and sharing of M&E experiences during FCDC workshop in Kisumu.

Working on a workplan with MODA and the IPs on targeted support to counties, UNDP leveraged on the gains from other programs to gain traction which was efficient as opposed to starting on new interventions.

The project envisioned to mobilise $10m but at MTR they have only mobilised 31% which means the project is behind schedule in resource mobilization, although some expected resources recently mobilized for COVID-19 activities may remedy the situation. To enhance efficiency in terms of financial management, the UNDP has done risk assessment of the Implementing partners so that they can procure. They do procurement and forward the documentation to UNDP for direct payment as per the letters of agreement. This reduces the fiduciary risks of the programme. Furthermore, UNDP conducts spot checks and annual audits for the programme. Further, UNDP participates is most of the IPs activities. During the design of the project, the project developed a risk matrix, which is updated with every project report. All this contribute to value for money and risks management and mitigation. Whereas UNDP has held trainings constantly on HACT direct cash transfer modalities and other UNDP processes, some IPs have not picked these very well resulting in some back and forth and subsequent delays in approvals and disbursements.

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[22] Development results include some 13 organizations provided 50 beehives and accessories, and honey market by Hide Kenya, 10 fishing boats procured (6 locally made by local artisans), fishing gear and nets made by local women and WFP buys. Women farm traders linked to microfinance (VSLAs) and some e.g. Etch Women group has saved Ksh 500,000, capacity build for local groups on project management, and they are accessing other funds such as USAID.

[23] The EUTF program 2019-2023 led by UNHCR is a Ksh 50 billion initiative in Kalobeyei, Turkana West. https://www.kenyanews.go.ke/governor-nanok-unhcr-launch-50-billion-integration-program/

A Devolution Donor working Group meets monthly to discuss project implementation and issues in the devolution sphere to help reduce duplication of activities. However, the workload of IPs who experience staff shortages has in some cases affected implementation timelines. For instance, MED barely had time for implementation during the 2019 census period. The TWGs are ad hoc committees and meet on a need's basis. The M&E role was performed by the project officer and program manager as there has not been a designated M&E specialist, largely due to staff budget thresholds in the project. Although the team has been tracking and reporting on results, some details which are important to report such as progressive changes towards an indicator achievement (milestones) where an indicator takes time to be achieved, or the changes are incremental for instance progress on PMS. There have also been gaps on following up and reporting on project outcomes. External communications of the project with beneficiaries is also weak.

DaO is in action with one office, one program e.g. Kalobeyei with several UN agencies and the County government, one leadership, two or more UN agencies collaborating in programs. Working as one has enhanced program results through synergies in various sectoral areas (FAO, WFP, UNICEF) and policy development without duplication of resources.

The project has endeavored to enhance value for money and achieve more results with the resources available through the following strategies i) encouraging county governments pay transport and per diems so that UNDP caters only for accommodation, conferencing and resource people. This has not been effective due to delays in counties in getting money from exchequer ii) partners are encouraged to hold workshops in their own counties iii) UNDP looks for centralized venues to minimize transport costs iv) Using of government systems and technical staff from implementing partners and counties rather than consultants where there is capacity for instance the use of Kisumu internal auditor to train other counties or the case of Tana River and Kilifi using Taita Taveta county resource person. v)The project has also enhanced synergies for instance during FAO and UNDP trainings on DRR activities. vi) use of local champions to scale up training and implementation of interventions such as PMS in their counties reducing costs of always using many national staff and consultants. These strategies have improved resource efficiency, helping to undertake more activities with less resources.

In terms of timeliness, COVID-19 restrictions of movement and direct meetings were a challenge due to government's lockdown directive. This impacted on the project as physical visits and events such as in Turkana and Isiolo had to be postponed awaiting the situation to stabilize. However, implementation has commenced with MED, OAG, COG, KSG and CRA having implemented several activities since the lifting of the lock down. The Embassy of Norway has also allowed a re-allocation of part of the project funds for COVID-19 response and also provided additional funds for the same. The COVID-19 activities have been rolled out and are running concurrently with the activities for the regular workplan.

Challenges of different allowances payment arrangements by different UN programmes[24], need to be looked into through UNRC. Also, UN agencies in Turkana need to work closely with the county departments within the DaO framework to schedule activities well ahead of time. In Turkana for instance, the county planning officer felt it is difficult to provide his staff at short notice to the program, as staff have ongoing duties that have to be reallocated in advance.

[24] Different programmes (including UN agencies) have different financial arrangements, with some paying allowances such as incidental costs to workshop participants. UNDP only caters for full accommodation costs.

Although other workshops have gone well with UNDP staff attendance, there was one noted case, the OAG workshop in Machakos was planned at short notice, resulting in many no-shows, especially for the targeted staff. A change of strategy to less conferencing and more in-county mentorship support is likely to enhance efficiency by reaching the most appropriate officers and having adequate time with them. Use of virtual means that have gained popularity during the COVID-19 period can also be helpful and cost—effective in reaching many counties which are far off.

2.5. Sustainability and National Ownership

Devolution is a new concept and the last seven years since its inception have been marred by implementation complexities. Hence, UNDP's support is very relevant in terms of offering the much-needed support in identifying and bridging implementation gaps that adversely affect service delivery.

Therefore, UNDP technical assistance to counties to ensure counties develop policy, plans and budgets that are strategic, implementable and reflect service delivery priorities identified by citizens and integrate cross cutting issues like climate change adaptation and reduce conflict is necessary and very relevant support. Staff in key departments such as Internal Audit, Finance, Accounts and Budgeting, Procurement and Administration, Pending Bills and Debt management and Human Resource Management have been trained and are already utilizing these skills. Building of these individual capacities is the first step to strengthening county government systems.

Further, UNDP worked with both arms of the county government. Nurturing a productive and cooperative working relationship between the executive and assembly throughout these processes to mitigate possible conflict and ultimately improve service delivery outcomes.

Working through the Government is also the most sustainable approach to public sector reforms. The individual capacity building; institutional and systems strengthening; setting up of governance structures; to ultimately lead to institutional reform. Strong partnerships have been built between national and county partners e.g. OAG and the county finance teams has helped improve the relationship between the staff at both levels of government with the result of developing mutual partnerships and better support.

Utilizing National Government capacities to support counties also ensures sustainability of efforts past UNDP support. Moreover, this ensures ownership of the capacity building initiatives by the national government and aligning these efforts to the National Capacity Building Framework (NCBF). However, the second phase of the project needs to advocate for counties to set budgets for capacity building activities for continuity when donors projects end. The program also established the use of "champions" across different fields who are both national and county staff for purposes of institutionalization of capacities built on the various output level activities. Adoption of the 'champion' approach in various capacity areas can be key in enhancing replication of results and initiatives especially after the closure of this project. This will also require adequate documentation and knowledge management, an initiative the project can work on with an institution such as the KSG. Further, alignment of UNDP activities with government workplans or frameworks has been instrumental in adopting a sustainable approach to capacity building, since various other stakeholders will be built on the existing workplans or frameworks.

Enhanced County partnerships with other institutions is also critical to ensure sustainability. For example, in Isiolo County, the Isiolo youth center linked with Kenya Film Board to offer youth opportunities in cultural entrepreneurship, internet and IT skills. KSG is training the youth on entrepreneurship skills and linking youths to internships and existing government procurement opportunities (AGPO). In addition, the

UNDP through KSG has developed a good handover strategy for the Isiolo youth innovation program, where UNDP/KSG will run it for one year and hand over to the county government, which is already planning a budget for it through the Department of Youth. In Turkana, coordinated partner agencies are strengthening community groups for instance women groups in Turkana to do business and sustain themselves economically.

Supporting exchanges between counties and the formation of regional blocks for joint investment is an economic sustainability measure for most of the counties, due to benefits of economies of scale, sharing of transboundary resources, and leveraging of projects and investments. This is also applicable to especially in the northern counties which have formed the FCDC REB. They are parts of Kenya who share a common past of marginalization and are also faced with experience similar challenges. The joint planning and investment that address cross cutting challenges in a number of counties has a far reaching and sustainable impact since the investment is substantial and able to realize impact at scale. Such exchanges can also be used as platforms for learning and knowledge sharing between counties which may not be achieved through capacity building initiatives.

2.6 Management and Monitoring

Management and Monitoring focused on an assessment of results, indicators, targets, alignment to SDG's and distribution of roles and responsibilities among different partners in regard to the achievement of results; how risks and assumptions have been addressed as well as cross cutting issues.

Overall, the results framework is coherent in terms of what the SGP aims to achieve. However, it is advisable to review the output level indicators by breaking them into milestones to facilitate easier tracking of progress, facilitate easier measurement and ensure easier measurement. While the output level indicators are more direct and realistic, it would be ideal to develop milestones that will help measure the gradual changes taking place in each of the capacity areas and demonstrate value for money. This will also make it easier to set realistic targets and enable the SGP critically assess what the underlying factors of success are under the different outputs. Some baseline data is lacking for some indicators for instance number of FCDC counties providing public budget information. This was to happen in quarter 2 of the program. However, a quick baseline data reconstruction can still be done to get data on the baseline parameters.

Some key elements such as gender and youth are not explicit in the results framework mainly because they were not part of the funding. However, they are key part of 'Leave No One Behind' and need to be considered. The project has made efforts to mainstream SDGs in five targeted counties but reporting against them is currently not being done since it is not part of the agreements, but it remains a key component of the project since it's a key area of focus for the UN.

In regard to reporting, the MTR noted that progress reporting is more activity than results focused which is also one of the concerns raised by the development partner supporting the project. This can be attributed to the activity-based approach to programing despite the fact that support to devolution is a long-term process. This has also greatly hampered by the lack of an M&E staff within the project, explained earlier as due to staff costs. It is anticipated that these issues will be resolved soon due to recent recruitment of an M&E specialist.

The review also proposes the development of a comprehensive and well- articulated Theory of Change (ToC) for the project to be accompanied with the revised M&E framework, but the indicators should not change substantially. The Outcome indicators will remain as they part of the larger UNDP programming but the output indicator on PMS can be broken into milestones (illustrated earlier in the report). The process will also create an opportunity to review the risks and assumptions of the project. Currently the Project Document has combined the risks and assumptions, which are still valid. In terms of the risks, the project conducts a thorough analysis of the project risks on an annual basis and an updated risk matrix is attached to the Annual Reports developed. This is commendable and may need to be reviewed more regularly moving forward (bi-annually) due to the rapidly changing governance and risk context. These include but are not limited to the release of the Building Bridges Initiative (BBI) which is proposing some constitutional changes, COVID-19 crisis as well as the recent locusts' invasion which have affected the country's development in various ways. The latter is especially crucial for ASAL counties since they prone to disasters and are resource constrained. Hence there is need to expand the risks to factor in these new changes in the operating environment. In terms of assumptions, these can be developed while developing the Theory of Change. While risks are very well reported on, on a regular basis, the assumptions once developed can be reviewed on an annual basis during the Annual Review Meeting by bringing together the donor, NIPs and other relevant stakeholders to assess if they are valid or not. Future programs/projects should also consider building in Political Economy Analysis to inform and strengthen programming.

It is also recommended to place more emphasis on learning and knowledge management. The project document had also recognized this and articulated the need to document best practices and models to be shared through County to county peer learning. Efforts should be made to streamline this especially since a lot of work has already been done. The role of KSG as a key agency for government capacity building can be the repository of various knowledge products developed.

Roles and responsibilities of the different National Implementing Partners (NIPs) are well articulated in their Letters of Agreement with each NIP having been identified and contracted based on their strategic importance, mandate and the critical role they play in strengthening each of the capacity areas that are addressed in the SGP. The engagement of the NIPs in implementing the project is also anticipated to build into sustainability since these are the institutions that are mandated with the responsibility of supporting County Government so as to strengthen devolution. As indicated earlier in the effectiveness section above, the SGP projects builds on the previous integrated UNDP Support Program to the Devolution Process in Kenya. This previous program had supported the strengthening of the national level institutions as a strategic approach to ensure that they had the capacity to strengthen the counites in the long run. This was also confirmed by one of the Development Partners who is supporting the SGP. While roles and responsibilities are clear, a review of some reports submitted by NIP to UNDP do not report against the results framework an area that needs to be addressed.

2.7 Social and environmental standards

The project design is premised on Leave No One Behind contained in the 2030 agenda for sustainable development which is basically a human rights approach in the design and implementation. A generalized shift towards development that leaves no one behind requires the transformation of deeply rooted systems — economic and political systems, governance structures and business models — that are often based on unequal distributions of wealth and of decision-making power. It is not enough to address inequality by focusing on those "left behind" at the bottom. It is also necessary to address the concentration of wealth, income and decision-making power at the top and break the link between economic and social exclusion and decision- making power.[25] In practice, Leave No One Behind is ensuring human rights as it means taking explicit action to end extreme poverty, curb inequalities, confront discrimination and fast-track progress for the furthest behind.[26] The Strengthening Devolved Governance program aims at enhanced service delivery at the county which guarantees provision of basic human rights for the most disadvantaged in most marginalized and climate affected areas of Kenya, the FCDC counties.

The Climate Change and Disaster Risk Reduction component addresses the social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with project. For instance, spatial planning guidelines developed cater for the needs of the aged and disabled in the spatial planning process[27]. Staff training in GIS has enabled them to develop hazard atlases and informed action when disaster occurs[28]. Lobbying county officials has increased budgets for climate related disaster risk mitigation and resilience measures as exemplified by Samburu and Isiolo counties.

The development of a state of environment report with NEMA and other related institutions that provides a situational analysis of environmental governance in Kenya including shared ecosystems and resources. This report provides background knowledge content for discourse especially on management and ownership of shared resources such as forest and water resources that have been heated topics in counties of late, and that can be a source of conflict between counties and the national government.

2.8 Impact

The project Theory of Change predicts that **IF** counties have strengthened performance management, M&E and data management systems established and functioning in the FCDC counties, and if county level planning and financial management systems are strengthened, and if citizen participation mechanisms and processes are strengthened to ensure effective and equitable service delivery, and transparent and accountable use of resources and if there is strengthened coordination of multi-UN agency initiatives in FCDC counties, **THEN** FCDC counties will access high quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced and accountable, leading to a democratic system that is issue based, people oriented and accountable to the public.

To assess impact at midterm when the project has been operational for just over a year is difficult but several results which demonstrate change towards some outcomes are evident including i) better service delivery as a result of performance contracting already happening in some counties such as Turkana and Lamu. Performance management system has enhanced accountability as performance contracts are

[25] United Nations Committee for Development Policy, 2018: https://sustainabledevelopment.un.org/ content/ documents/2754713_July_PM_2._Leaving_no_one_behind_Summary_from_UN_Committee_for_Development_Policy.pdf
[26] UNDP 2018, What does it mean to leave no one behind? A framework for implementation https://www.undp.org/ content/dam/undp/library/Sustainable%20Development/Brochure_LNOB_web.pdf
[27] Interview with Climate change/DRR team at COG 1 October 2020
[28] In West Pokot, the UNDP trained county technical staff used GIS skills to capture landslide information on a map and this was used by the senior county officials to inform relocation of affected people to safer grounds.

pegged on targets in the Annual Development Plans (ADPs) which are anchored in the CIDP. The Performance Management System which also ensures better procurement processes, vouching processes, more own source revenues therefore ensuring that funds are reaching or are being used for services to the public.

Another result is the improvement of inter-county relation. For instance, in Wajir County, the policy on public participation benefitted from good relations between the executive to the county assembly. If the two levels are not talking to each other, passing legislation is therefore difficult.

Unintended result – Isiolo youth innovation center by KSG started small with 52 youths but stakeholders and donors have shown interest to support example being Kenya Film Board and Huawei. It is now an SDG center with a lot of activities. Three groups of youths interviewed at the center are already benefiting from three different tenders awarded by county which they applied for using AGPO skills that they got from the training. The fact that the county is already contributing in hiring the buildings in which the center is based and is planning to take over the operation of the center from donors after one year is a clear sign of sustainability. The Isiolo youth innovation center presents a case of good county governance resulting in service delivery to the people.

2.9 Partnership and coordination

The project has attempted to work in partnerships for synergies and cost effectiveness. Through the RCO, the UN has brought together several UN agencies and non-governmental organizations and is coordinating their service delivery under the Delivering as One approach. Given that the project is being implemented under the National Implementation Modality, the UNDP is working in partnership with Government implementing partners to capacity build county governments. UN agencies such as UN Habitat are providing technical support to COG and counties under the project. Donors are coordinated under the Devolution Donor Working Group. The evaluation is of the view that more partnerships are required with other donor funded initiatives in counties for instance KDSP, USAID's Nawili, on county support and Amkeni Wakenya for the citizen participation realm and gender which has been weak in the first phase of the project.

As outlined in the Norway project document, the project provides a foundation and partnerships for longer-term support in the region that will be supported by UNDP and other UN Agencies which will increase support to the norther frontier counties. Some of the partnerships established under the SGP which can be built on include the new partnerships with the UN-Habitat in GIS training so as they strengthen the County Spatial Planning process; partnership with UNFPA in supporting M&E in some of the targeted counties.

2.10 Mainstreaming youth and gender issues

Youth Issues

The project has a youth component being implemented with the Kenya School of Government through a joint venture with UNDP and Isiolo County. Other development partners include the Kenya Film Classification Board for Film talent and Huawei for IT and internet services. The aim is to harness youth talents, train them in entrepreneurship, life skills, practical skills they can use to earn livelihoods and open access to existing opportunities within national and county government. According to a senior county youth official, *'One hundred youth were trained by the KSG last year (2019) and awarded certificates. The County has supported some by buying them equipment such as car wash machines and concrete mixers to start businesses*."

Other key results from this support include:

Establishment of the Isiolo Youth Center: UNDP through KSG is running the first year in terms of staffing (center coordinator, administrator, computer/IT technician, business management specialist) and provisions before handing over the operations of the Isiolo youth center to the county in the second year. The county is paying for the space/venue, upkeep, and security. The center plans to offer opportunities for different categories of youth by offering scholarships for needy cases in vocational training centers such as Uhuru Polytechnic to undertake courses such as masonry and plumbing. The youths have also request for an 'accelerator lab' to harness innovation to be established in the facility.

Formation of the Isiolo County Youth Network: The network comprises of 53 youth from all the 10 Wards in Isiolo County. The network members play the role of TOTs for the youth in their wards. This network performs advocacy roles for youth issues especially in public participation meetings and mentor youth to be more productive and avoid pathways such as radicalization. Recent efforts by the youth referring to themselves as "reformists" is to drive a campaign to foster rehabilitation efforts on alcohol and drugs.

Increased understanding on the Access to Government Procurement Opportunities (AGPO) concept: The Isiolo youth were trained on AGPO where the government preserves 30% of procurement opportunities for youth, women and the disabled. They now understand the AGPO concept and some have applied and started businesses because of this training. In a focus group discussion with youth beneficiaries at the center, the youths noted that they had registered businesses and applied for funding through AGPO where one group of 15 youths won a tender to supply garbage bins, another group of 10 youths a tender to supply beehives and another one of 30 youths started a business for publishing.

Creation of job opportunities for the youth: Isiolo County is also offering internships for university students in County offices and in the community projects through the Isiolo County center. In 2018, the County nominated 53 young people across the 10 sub-counties of Isiolo. They were nominated through county processes using a criterion of marginalization, gender and disability. The youth were taken through various trainings, with the first being July 2018. Since then they have gone through various trainings including entrepreneurship, pace building. leadership and governance, ICT, livelihoods, business startups etc. They have also gone through training on how to access AGPO, youth fund and Uwezo fund and the National Youth Council processes. The center

Case study – Isiolo Youth Innovation Center

Two years ago, Kamal, James and Harun were used to be desperate job hunters in Isiolo after finishing school. However, the Isiolo Youth innovation Center supported by UNDP, KSG and Isiolo County Government started courses for youth which they joined. They were trained on AGPO and life skills. After the training, they formed youth groups that registered businesses and applied for funding through AGPO. One group of 15 youths won a tender to supply garbage bins, another group of 10 youths a tender to supply beehives and another one of 30 youth started a business for publishing. The county has also supported the youth groups by buying then equipment such as car wash machines and concrete mixers to start businesses. Currently the beneficiary youths busy and enjoying the benefits of devolution. They would hardly think of engaging in crime or joining radicalized groups which are rampant in Isiolo.

has broadened its programming to reach at risk youth and during the time of the visit, 50 youth were being trained on anti-radicalization by the National Youth Council. Since the youth currently trains 50 youth per month, it is estimated that the center can train about 200 youth in a quarter.

Over 20 of the trained youth are running credible organizations i.e. they have legally registered companies. and AGPO certifications. Those with small businesses have scaled up. Counties have engaged the youth to put up walls through county govt tenders. The youth have formed Saccos and improved business skills. They have the ability to engage with government for business, something they could not manage before coming to the center.

Gender Issues

Gender mainstreaming in county governance processes remains a daunting issue. UNDP has conducted a roundtable to discuss how more women can be included in the programming and an action plan developed. The implementation of this action plan will streamline women participation in the program.

Key results from this support include:

Inclusion of women in county decision making processes: The project has addressed women issues at different levels. Women participants are invited to county staff capacity building forums although the numbers have been low. To address the problem, the COG has devised a gender strategy that requires women representation in trainings, both low and high cadre staff. In Isiolo County, Of the 53 initial beneficiaries of the Isiolo Youth center, 17 (32%) were girls indicating some gender considerations although there is need to enroll more girls for opportunities in the center. Furthermore, County management structures such as CBEF also ensure they have youth and women members so that issues affecting women and youth are catered for in planning, budget making process and in public participation

Women economic empowerment: In collaboration with the UN agencies activities in Turkana County have targeted women groups such as farmers and uplifted them through capacity building, organizing them to take lead in various commodity value chains and business enterprises. A good example is the Nawoi Women Group that has through the assistance of WFP saved Kes 500,000 as a group involved in milling flour and trading in food commodities.

2.11 Funding Implementation

The funding has been implemented through National Implementation Modality through Government where UNDP provides budgetary allocations to OAG, MED, COG, CRA and KSG. UNDP has signed Letters of agreements (LOAs) with these implementing partners to provide certain deliverables as shown in the following table.

Table 9: Implementing Partners and their Roles

Implementing partner	Key deliverables
MODA	Policy and legal frameworks that support FCDC and Regional Economic Blocks. Main coordinating body for government implementing partners
MED	Support planning, M&E and Data management systems for tracking of key delivery targets spelt out in CIDP

OAG	Support 5 counties support public Finance Management systems including Internal Audits, finance, accounts and budget, procurement and administration, pending bills and debt management
COG	Assist FCDC counties develop Performance management systems and technical support to COG to support; improve capacity of county attorneys to develop policies and bills, support national and county governments in legislation for REBs; Enhance accountability at county level by strengthening public participation; public financial management and performance management systems in six counties
CRA	Support counties improve on own source revenue, strengthen capacity of CBEF to engage in planning and budget making.
KSG	Development of knowledge management products and communication materials: Documentation of the story of the Isiolo Youth Innovation Centre for UNDP

The various implementing agencies have been networking, with COG, given their authority over counties providing bulk of the coordination and operational tasks such as organizing joint training for the implementing agencies. MODA is coordinating the National Implementing partners.

The DaO initiative in Turkana is managed by the DaO program coordinator who is a staff of RCO. RCO facilitates the operations and joint sessions. The UN agencies have provided the furniture in the DaO office whose rent is paid for by the county government.

A key challenge in funds implementation has been different interpretations of the LOAs by some implementing partners and UNDP. This can be resolved in future by having an inception meeting during the signing of LOA where UNDP and the IP go through the LOA and clarify all issues. Since LOAs have already been awarded and signed, meetings to clarify issues can be organized by the project management and finance staff of UNDP and IPs on the LOAs.

Another area of concern has been some delays in implementation of planned activities and reimbursements. Two of the five IPS (OAG and CRA) had issues of delays in procurement or payment reimbursements. The main causes of these is last minute requests by IPs, late forwarding of invoices to UNDP and inadequate documentation[29]. Whereas UNDP has held trainings constantly on HACT direct cash transfer modalities and other UNDP processes, some IPs have not picked these very well resulting in some back and forth and subsequent delays. Constant engagements between UNDP and IPs finance staff either virtual or face to face can help resolve the matters. In addition, UNDP may also consider revising the funding modality to allow for direct procurement by IPS to reduce workload for UNDP staff.

Although the bulk of the operational cost is met by UNDP, there is some sharing where IPs provide personnel for training while UNDP handles the accommodation and travel costs of training workshops. Sometimes the implementing partner provide transport for their staff. County contributions to activities

[29] At least 2 weeks are required for procurement of a venue using UNDP procedures. Late invoicing also makes payments to delay but once the payments are forwarded to UNDP on time and there is proper documentation then the payment is proceeded within a week

are delayed when resources from the national government are delayed when IBEC and Treasury disbursement schedule is not respected.

3.0 Challenges, Lessons learnt and Recommendations

3.1 Challenges

Programmatic challenges

- Kenya's status as an upper middle economy has seen Trac funds that are released to UNDP from HQ reduced and this has affected funding for activities.
- The project lacks a robust M&E system and baseline data that can be used to track progress. This was further compounded by the lack of an M&E Expert to support the M&E function and results reporting
- The activity-based approach to programming has contributed to activity-based reporting hence limiting the ability of the program to report on results. Future projects should also embed political economy analysis and/or context and systems analysis to inform programming
- Changes in staff - of County Executives after elections or normal staff turnover hinders continuity of newly adopted initiatives. In some cases, IPs have to start all over again with the new county executive member. Different CECs also have different passions and attitudes for instance one may have passion for M&E and push for eCIMES while an incoming one lacks passions and relegates the M&E agenda. Changes in some of the committees e.g. audit and CBEF membership also affects continuity of operations.
- Lack of political buy-in from the county leadership for some Project components such as M&E. This slows implementation of project activities as well achievement of results
- Data collection is still weak in most of the counties, mainly due to low prioritization of M&E and inadequate budget.

Administrative challenges

- Limited financial resources to staff key positions such as M&E may have contributed to the project's ability in assessing and reporting on outcome or emerging results to the donor. Where budget is constrained, the project could in future consider using short term technical assistance (STTA) in specific areas.
- Although UNDP has trained IPs on financial and procurement procedures, some IPS still provide incomplete or untimely finance documentation, resulting in some delays in activity implementation and reimbursements. This calls for more mentoring on finance and procurement procedures for those specific IPs.
- Challenges associated with the COVID-19 pandemic resulted in a delay in implementation of project activities. Although a workplan considering COVID-19 was developed, not all activities can be implemented virtually. However, the work has resumed, and implementation fast tracked after the lockdown and activities are currently on track.

- Some of the National Implementing Partner institutions such as MED, OAG and CRA have very few staff. As a result, they are overstretched since they support multiple donor programs such as the Kenya Devolution Support Program (KDSP) and KADP as well as still carry out other tasks as per their mandates. There is therefore need to improve both the numbers and staff capacity to meet the increasing demands for capacity and institutional strengthening to deliver devolution.
- Some of the UN agencies such as UNDP, UNFPA and UNICEF have overlapping mandates and notable overlaps were noted where different agencies were offering similar support to the same counties. This duplication of support was compounded by limited co-ordination. National Implementing Partners should also develop a common framework that would form the basis of donor develop support. This will ensure efficient utilization of the limited resources.
- Lack of similar reimbursement framework for the UN agencies causes confusion and tension amongst government staff with workshop participants feeling that they are treated differently by different agencies. UNRCO could consider discussing with agencies to standardize these regulations.
- Delayed release of county funds by the national government hampers effective project delivery due to the further delay of release of county contributions for operations.

3.2 Lessons Learnt

- Political buy-in, interest and support from county leadership continues to be a key underlying factor of success.
- Strengthening the capacity of the county assemblies and getting their buy-in enhances the success of various development programs and efforts need to be made to factor engagement with County Assemblies in future projects.
- Staff turnover hampers implementation and/or contributes to the momentum of achieving results. UNDP should therefore invest in continuous capacity building and a rapid induction process for the leadership to sustain the achievement of results. In instances where there has been limited buy-in from the leadership, change in personnel presents opportunities for successful implementation
- Targeting the right participants in capacity building is important for uptake and implementation of decisions in counties.
- Use of champions in capacity build is a cost-effective method of reaching more people and achieving more results.
- Constant communication and engagement between UNDP and the Implementing Partners is paramount for effective and efficient program delivery
- Capacity building in government systems needs to ensure use of standard government guidelines and manuals to enhance harmony in operations and reporting by counties.
- Good intra-county relations between county executives and members of county assembly is important for quick passage of legislation

3.3 Recommendations

Project design: While the project focus is relevant, future projects need to build on political economy analysis to inform programming since devolution is implemented in a rapidly changing context. This will also sharpen the strategic focus of the project and ensure that the project is addressing the most relevant and pressing needs.

Program approach: Since devolution is a long-term development agenda, the project should steer away from utilization of an activity-based approach to a more Programme Focused Approach. In addition to this, the project should have periodic joint planning and reflection meetings with all National Implementing Partners to enhance a common understanding of the project results, provide a platform for joint planning, identification of opportunities and build on synergies. This can also help reduce operational costs and contribute to cost efficiency.

Monitoring and evaluation: The project needs to develop a robust monitoring and evaluation framework that includes a clearly articulated Theory of Change, revise the risks and assumptions of the project and carry out a revision of the results framework. The focus on the latter should be on revising the output indicators to ensure they are more measurable. This may include but not be limited to the incorporation of milestones which will enable easier tracking of progress and contribute to results reporting. Development of more measurable indicators will also help demonstrate value for money. Efforts should also be made to undertake a quick reconstruction of baseline data to track progress and ensure that the results framework is updated regularly.

Opportunities to strengthen learning should be encouraged at different levels of the program. At program level, the scope of the Annual Review meeting can be broadened to include the national implementing partners and representation from the counties to support validation of results and encourage peer to peer learning. Opportunities for county level learning should also be identified and encouraged.

As the project gets into the last phase of implementation, tracking and reporting on emerging outcome level results should be done regularly especially identification of benefits to citizens as a result of project activities. This can be a focus in any M&E visits by UNDP to the counties. This is especially important as the SGP assesses its contribution in devolution since the sector has multiple partners working in similar counties on the same capacity areas. This was evident in conversations with a large percentage of county staff who mentioned that support on the same capacity areas (PFM, Planning, M&E, PMS and Public Participation) was offered by the World Bank’s Kenya Devolution Support Program, Kenya Accountable Devolution Program (KADP) and the recently completed USAID/AHADI program on devolution.

Documentation of Best Practices: The project is registering some commendable results which need deeper analysis and documentation as the project progresses. The evaluation recommends a deep dive of the PMS and M&E work in Tana River County, Audit Work in Mandera County and data automation in Isiolo County (already using Kobo collect and ODK).

Co-ordination and collaboration: There is need for concerted efforts in all relevant UN agencies to ensure more co-ordination when supporting counties in different capacity areas to reduce duplication, enhance efficiency and maximize resource utilization. The UN should consider developing indicators that track co-ordination and collaboration to assess progress. At county level, efforts should also be made to provide regular updates on project

Develop a multi-faceted programming approach to reduce duplication: At UN level, UN agencies (UNDP, UNFPA and UNICEF) should hold joint planning meetings to discuss coordinated support to IPs in areas of similar support such as M&E. This will enhance effectiveness and cost efficiency so that resources can reach more beneficiaries and reduce duplication in capacity building. At national level, the National Implementing Partners should also develop comprehensive plans or use their strategic plans to rally partner support. For instance, MED should develop a national masterplan which can form the basis of coordinated support to the Department and subsequently to counties.

Capacity Building: Demand for capacity building and institutional strengthening continues to grow in all the targeted counties despite the high investments in capacity building by UNDP and other development partners supporting devolution. This calls for a national dialogue on capacity building and the development of a strategic approach to capacity development for all partners.

Streamlining administrative support: regular engagement and communication between the UNDP finance department and Implementing Partners on implementation modalities will help address challenges associated with slow response rates and subsequently efficient and efficiency and project delivery. IPs should also be more proactive in seeking support from UNDP in a timely manner to facilitate a speedy response and hence ensure efficient delivery.

Programmatic Recommendations

Capacity building of some of the recommended institutional structures e.g. CBEFs, Audit committees and M&E committees should be factored into the project activities for the remaining phase of the project. This will strengthen transparency and accountability and enhance public participation in county governance. On performance management, performance contracts should be cascaded to the lower levels and efforts made to link departmental targets to the performance indicators in the CIDPs and Annual Development Plans. This will provide a strong link between capacity building, systems strengthening and service delivery and provide a platform to gather evidence on change in service delivery to citizens.

Monitoring and Evaluation support needs should build on the recommendation made based on needs identified in the recently completed CIMES diagnostic assessment. Some of the needs identified are similar to those identified in the MTR and include support in finalization of M&E polices and frameworks, data collection and management, additional capacity building on M&E and reporting; sensitization of leadership on M&E to get buy-in and subsequent support in passing of legislation and resource allocation and strengthening the capacity of M&E structures amongst others.

Under Public Finance Management and M&E more efforts should be made to get leadership buy-in by sensitizing the leadership (Governor's, CEC's and Chief Officers) on the importance of the audit and M&E function, strengthening of audit and M&E committees in enhancing transparency and accountability and the benefits that would accrue to the county. This will also ensure management actions on recommendations made for audits. Additional areas of focus on PFM include support in County Own Source Revenue automation and developing specific OSR legislation for the counties for revenue stream rationalization.

Climate resilient development planning continues to be an area of interest for counties. There is an increased demand especially on support to County Spatial Planning, DRR and capacity development on the same.

Develop more robust and innovative ways to streamline women participation in the program beyond workshop attendance especially in budget and citizen participation. Under capacity building, IPs should ensure inclusion of women in training and other activities in the project while future projects should have a component for UN Women to integrate gender issues

Youth involvement: There is need for youth involvement in devolution issues either through CBEF under public participation activities or engagement with partners for tangible programs such as the Isiolo youth innovation center. There is need for more public communication on the youth innovation Centre to attract more partners and to sponsor similar innovations on other counties

Delivering as One

- UNDP needs to strengthen its influencing capacity and technical support to Turkana county to enhance prioritization and spending of funds so that all resources are utilized effectively for community benefit and not returned to Treasury.
- The DaO structure needs to be broadened to officially incorporate the vibrant CSO sector in the Thematic working groups and bring in the private sector for resource mobilization.
- For more effectiveness of DaO, there is need to consider some joint fundraising by UN agencies and designing projects focusing on wholistic needs of citizens to accelerate results
- There is need to use the stakeholder meetings in Turkana to create awareness on the key role of UN as a facilitator and convenor rather than a donor
- Convene stakeholders to support fast tracking of bills in the county such as Water Act, Social protection Act, ECD policy, Health Services Management Act, Agriculture Policy, Disaster preparedness and Response
- Strengthen coordination with county by attaching some county staff in the DaO office in Lodwar for more physical presentation of the DaO concept for stakeholders in Turkana
- The UNRCO, Treasury and the Governor of Turkana need to convene a roundtable to discuss progress and jumpstart operationalization of the MTPF
- Develop an online M&E system and results dashboard for the integrated development program to enable UN agencies, county officials and stakeholders enter data, view results and locations of interventions. This will enhance accountability in service delivery. To achieve this, consider a communication and M&E capacity within the UN DaO office in Turkana, to also support develop the governments capacity.
- UN agencies without a presence in Turkana but with programs in Turkana should consider placing staff in the DaO office to enhance their programming and integrated programming with the rest.

4.0 Appendices

Appendix 1. Terms of Reference

TERMS OF REFERENCE

1. Background and Context

UNDP Kenya in partnership with the Resident Coordinators Office (RCO) and the Government of Norway are currently supporting devolution, through the Strengthening Devolved Governance in Kenya project (2018-2022). The Government of the United Kingdom through the Department for International Development (DFID) also provided support to the project during the period April to December 2019. The project is being implemented in collaboration with the Government of Kenya (GoK) and 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. The interventions on the project are through National Implementation (NIM) programming modalities of UNDP. Strengthening Devolved Governance in Kenya project was preceded by the Integrated Support Programme to the Devolution Process in Kenya Project (2014-2018) which was being supported by DFID, USAID, Governments of Sweden and Norway and targeting 27 counties. The project's implementing partner was the Ministry of Devolution and ASAL (MoDA) with Kenya School of Government (KSG), Commission on Revenue Allocation (CRA), Council of Governors (COG), Intergovernmental Budget and Economic Committee (IBEC) being responsible parties.

The Strengthening Devolved Governance in Kenya devolution project is four-year project with an estimated cost of USD10 million. To date the UNDP has mobilized USD3,102,539 from Norway and DFID (1,979,900 and 1,122,639 respectively). 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 Outcomes and Outputs

a) Project Outcome

The project contributes to United Nations Development Assistance Framework (UNDAF) outcome 1.2 and Country Project Document (CPD) outcome, which states that, by 2022 people in Kenya can access high quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced, accessible and accountable.

b) Project Outputs

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

1. National and county governments have strengthened capacities for formulation and implementation of policy, legal and institutional frameworks and mechanisms for coordinated, inclusive and effective service delivery at devolved level;

2. Performance management, M&E, data management systems established and functioning in the counties;
3. Strengthened county-level planning and public financial management (PFM) systems;
4. Strengthened citizen participation mechanisms and processes to ensure effective and equitable service delivery, transparent and accountable use of resources; and
5. Strengthened coordination and oversight mechanism of multi-UN Agency initiatives established and operational for frontier counties development council (FCDC) counties.

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

It is envisaged that a MTR for the project will be undertaken midway through the project's implementation period. In this regard, the GoK and UNDP are planning to conduct an MTR of the project in 2020. The MTR will also coincide with the end of the current Agreement with Norway, which ends in August 2020. 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. The MTR will also 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 that have taken place in the programming environment such as the Sustainable Development Goals (SDGs) and the transformational focus of leaving no one behind and make recommendations for making the project more nimble and responsive to these developments. In 2019, the project supported the mainstreaming of Disaster Risk Reduction and Climate Change (DRR/CC) through a DFID funding. The MTR should assess the extent to which these DRR/CC issues are being addressed alongside the above project outputs and make recommendations on the same.

3. Scope of the MTR

The MTR is a joint GoK, UNDP and RCO 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 revised UNDP evaluation policy and the 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. These will be assessed through the lens of project impact, to establish the extent to which the intended results were achieved. It will also examine how project management and partnerships have facilitated project delivery. The MTR will cover the project period September 2018 to April 2020 and will cover the 4 national partners (CRA, COG, MED and OAG2) and 8 county governments3 i.e. Garissa, Isiolo, Lamu, Mandera, Tana River, Turkana and Wajir that are being directly supported by the project. The MTR will also conduct an evaluation of the interventions under the Resident Coordinator's Office (RCO) with its area-based programme office in Lodwar, Turkana County.

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 whether the lessons from other relevant projects properly incorporated into the project design
- Review the relevance of the project implementation strategy and assess whether it is the most effective towards expected/intended results.
- Review whether the perspectives key project stakeholders were considered 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, social inclusion and human rights;
- 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 integrated programme modality in Turkana in realizing project goals.
- To determine how the Turkana joint programme has supported the County Government and UN agencies to contribute more effectively and efficiently to realization of the Turkana CIDP
- Assess how strategic intent of the programme, has been taken forward by the Turkana County Government and the UN agencies in Kenya and outline the key enabling factors
- Assess contribution made by the programme towards realization of development priorities of the county.
- 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;
- Assess how the emerging issues such as SDGs etc. 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;
- Assess effectiveness towards attainment of results and reflect on how UNDP, RCO and GoK have contributed to the results through the implementation of AWPs activities;
- Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. improved governance, quality service delivery that is integrated and equitably resourced etc.); and
- Assess the extent to which broader development, gender and youth aspects of the project are being monitored effectively.

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.

Analysis of the Project Quality Criteria and UN Programming Principles

Strategic:

• Assess the extent to which programming priorities and results:

  o Contribute to the Sustainable Development Goals (SDGs),

  o Are consistent with the UNDP/RCO Strategic Plan and

  o Are aligned with the UNDAF and the country programme document.

• Assess 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?

Relevance:

Assess the/if:

- Relevance of the programming objectives and results to the country context including the national and sub-national development priorities (Vision 2030, Medium Term Plan III (MTP III) and County Integrated Development Plans (CIDPs), among others);
- Programming strategies consider interconnections between development challenges and results;
- A gender analysis is integrated to fully consider the different needs, roles and access to/control over resources of women, men and youth and if appropriate measures are taken to address these when relevant; and
- Programmes and projects regularly capture, and review knowledge and lessons learned to inform design, adapt and change plans and actions as appropriate, and plan for scaling up.
- To what extent has the project been able to respond to changes in the needs and priorities of the IPs?

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 2022?
- To what extent has the annual work-plans (2018 and 2019) 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 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?
- To what extent have administrative procedures (UNDP and GoK) been harmonized? 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, TWGs, SC), PSC, PST, M&E system, and communications effective in managing the project?
- 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)?
- Considering that this project is being implemented in partnership with the Resident Coordinator's Office (RCO),
- Have the UN agencies together with county governments demonstrated Delivering as One (DaO) principle in this programme?
- If yes, how has this been done, and does it respond to programme results?
- How has the coordination supported delivering of results to scale for government and the UN?
- Is having an area-based office cost effective? If yes in which ways?
- What are some of the results that were accelerated by having the area-based office?

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

- Did the project incorporate adequate exit strategies, technology (knowledge) transfer and capacity development measures to ensure sustainability of results over time?
- 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?
- Are institutional capacity development and strengthening of national systems being built able to sustain results?

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

- To what extent are the indicators and targets relevant, realistic and measurable?
- Are there baselines against which to access progress?
- Are there project indicators aligned to SDGs? If not, what changes need to be done?
- 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, especially gender been reflected in programming? 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?
- 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.

5. Methodology

The MTR will be conducted by two external individual consultants who will apply participatory and iterative learning techniques. The review should be completed within a timeframe of 45 days spread over a period of 3 months beginning June-August 2020. The MTR will be jointly commissioned and managed by the GoK and UNDP in partnership with RCO. The review will utilize both qualitative and quantitative methods to ensure that findings are derived from a collective contribution from the target counties and the national institutions. Other methods will include; open and semi-structured interviews with key stakeholders, a comprehensive review of documents (both from the government on national policies and strategies as well as from the UN agencies), a synthesis and analysis of data from regular programme monitoring as well as field visits. The consultants, when on board would be required to provide an inception report to include more details on the specific approaches cum methodology to achieve the purpose for which the review was commissioned.

Based on UNEG guidelines for evaluations, and in consultations with the Evaluation Technical Committee (referred in para 9), the consultants shall develop a suitable inclusive and participatory methodology for this review. The assignment will entail:

a) A review of relevant literature including project reports produced during the life cycle of the project, which will serve two key purposes, deeper understanding of the programme and source of secondary data;
b) Briefing and debriefing sessions with IPs, UNDP, RCO and donor representatives.
c) Data collection using different methods such as key informants, questionnaires, interviews, focus group discussions, town halls with IPs including counties, UNDP, representatives of various donor involved in the programme, citizens and other relevant respondents to enrich the programme review with quantitative information; qualitative data will sharpen and support the quantitative data. The consultants will use triangulation as a central method, drawing information from multiple sources.

6. MTR Deliverables

The deliverables for this review will include the following documents:

- The inception Report: The inception report should detail the evaluators' understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures. This will consist but not limited to the following sections: a). Stakeholder map b). Evaluation matrix including evaluation questions, codification, indicators, data collection methods, sources of information; c). overall evaluation design and methodology including sampling techniques to be applied; d). description of data gaps, including techniques and tools to be used (E.g. Focus Group Discussions, Key Informant Interviews, etc.); and detailed work plan of the assignment.
- Draft MTR which will be presented to stakeholders in half day workshop.
- Final MTR incorporating stakeholder inputs. Report format will include but not limited to: Executive summary, introduction, the development context, findings and conclusions, lessons learnt, and recommendations
- A Power Point presentation containing the main findings, conclusions and recommendations of the evaluation for dissemination and debriefing purposes.
- Electronic version of data collected, and data sets analyzed.

7. MTR Team Composition and Required Competencies

The Review Team will be local consultants (Kenyan nationals) consisting of one Team Leader and one Evaluation Expert (to be recruited to Support the team leader). Under the overall supervision of the Devolution Project Manager, the consultants will conduct a participatory MTR. The individuals must have solid experience in undertaking complex evaluations and impact assessments of large-scale donor-funded projects preferably in the field of democratic governance and devolution in Kenya or East Africa. They must be well versed with the devolution sector in Kenya with a working knowledge of UNDP/other UN Agencies. They must have the ability to design evaluation studies and apply them using a variety of quantitative and qualitative methods.

7.1 Roles and responsibilities of the Consultancy Team

The team will undertake the following roles and responsibilities:

- Organizing the work and preparing an evaluation plan for the team;
- Conducting briefing and debriefing; and facilitating productive working relationships with client/implementing partners and the Consulting team;
- Consulting with MTR Technical Committee and related partners to ensure the progress and the key evaluation questions are covered
- Assuring the draft and final reports are prepared in accordance with the Terms of Reference;
- Facilitating the meeting to present the main findings and recommendations of MTR and discussing the proposed action plan to implement recommendations including changes in contents and direction of the programme.

Qualification requirement of the Team Leader:

The Team Leader will have overall responsibility for the quality and timely submission of all deliverables including the final evaluation report to the Evaluation Technical Committee. Specifically, the lead consultant will perform the following tasks:

- Taking lead in contacting Evaluation Technical Committee regarding MTR-related issues and ensure that the process is as participatory as possible
- Organizing the team meetings, assigning specific roles and tasks of the team members and closely monitor their work
- Supervising data collection and analysis
- Consolidating draft and final MTR reports, and a proposed action plan with the support provided by team members
- Finalizing the final MTR report, which incorporated comments of the Evaluation Technical Committee and key stakeholders,
- Submitting the draft and final MTR report and a proposed action plan to Evaluation Technical Committee, on schedule
- Presenting MTR results and facilitating the meeting specific tasks of the team members

The Team Leader will have good credentials and qualifications in the following areas:

- Be a Kenyan citizen;
- Possess a minimum of a Master's degree in relevant fields- social sciences, development studies, international development among others. A PhD will be an added advantage.
- Have a minimum 15 years of increasingly responsible professional experience in project/programme evaluation, and of which seven years in governance, development and/or social sciences evaluation.

- In-depth knowledge of governance issues and challenges, as well as GoK policies, substantive knowledge of devolved governance programmatic areas in Kenya as well as experience conducting evaluation of governance projects;
- Solid understanding of evaluation methodologies, and/or a proven expertise of research in social science relevant for the evaluation;
- Have strong research and analytical skills, communication (oral and written), facilitation and management skills with specific experience in undertaking evaluations
- Demonstrated capacity for strategic thinking and policy advice are essential.
- Must be able to work in a multidisciplinary team and multicultural environment.
- Must be committed to respecting deadlines of delivery outputs within the agreed time-frame.
- Sound leadership and organizational skills- demonstrating experience of having managed and led an evaluation team
- Experience in the application and implementation of gender-sensitive programmes as well as HRBA
- Familiarity with UNDP and UN operations will be an advantage.
- Previous experience in working with devolved governance structures is an asset.

Evaluation Criteria

The following criteria will be used to select the Team Leader suitable for the assignment:

- Will be National Consultant (Kenyan National)

Criteria	**Weight**	**Max. Point**
	100%	100 points
Possess a Master's degree in relevant fields- social sciences, development studies, international development among others	10%	10
Have a minimum 15 years of increasingly responsible professional experience in project/programme evaluation, and of which seven years in governance, development and/or social sciences evaluation.	20%	20
In-depth knowledge of governance issues and challenges, as well as GoK policies, substantive knowledge of devolved governance programmatic areas in Kenya as well as experience conducting	20%	20

evaluation of governance projects.		
Solid understanding of evaluation methodologies, and/or a proven expertise of research in social science relevant for the evaluation.	20%	20
Have strong research and analytical skills, communication (oral and written), facilitation and management skills with specific experience in undertaking evaluations	20%	20
Sound leadership and organizational skills- demonstrating experience of have managed and lead an evaluation team	5%	5
Experience in the application and implementation of gender-sensitive programmes as well as human rights-based approaches and a thorough understanding of RBM for programme development	5%	5
Total (Maximum obtainable points)	100%	100

8. MTR Ethics

Evaluations in UNDP will be conducted in accordance with the principles outlined in the evaluation policy of UNDP and UNEG 'Ethical Guidelines for Evaluation'. Evaluations of UN activities need to be independent, impartial and rigorous. Each evaluation should clearly contribute to learning and accountability. Hence evaluators must have personal and professional integrity and be guided by propriety in the conduct of their business.

Evaluation Team /Evaluators must observe the following:

1. To avoid conflict of interest and undue pressure, evaluators need to be independent, implying that the Evaluators must not have been directly responsible for the policy/programming-setting, design, or overall management of the subject of evaluation, nor expect to be in the near future. Evaluators must have no

vested interest and have the full freedom to conduct impartially their evaluative work, without potential negative effects on their career development. They must be able to express their opinion in a free manner.

2. Should protect the anonymity and confidentiality of individual participants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals (not targeted at persons) and must balance an evaluation of management functions with this general principle.

3. Evaluations sometimes uncover evidence of wrongdoing. Such cases must be reported discreetly to the appropriate investigative body.

4. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that the evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

5. They are responsible for the clear, accurate and fair writing and/or oral presentation of study limitations, evidence-based findings, conclusions, recommendations and lessons learned.

For details on the ethics and independence in evaluation, please see

i. Evaluation policy of UNDP (http://web.undp.org/evaluation/policy.shtml)

ii. UNEG Ethical Guidelines and Norms for Evaluation in the UN System (http://www.unevaluation.org/document/detail/102http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=21)

9. Implementation Arrangements

The evaluators will be reporting directly to the Devolution Project Manager. An Evaluation Technical Committee will be created and co-chaired between MoDP and UNDP. The Evaluation Technical Committee role will be to provide an overall oversight of the joint review and endorsement of the key deliverables (inception report, key tools and methodology and, draft and final report). The Evaluation Technical Committee shall meet, at the beginning of the review and during the reporting stage for report presentation. Other consultation with the Evaluation Technical Committee will be done electronically as required. The Evaluation Technical Committee shall be composed of UNDP Kenya, MoDP, COG, CRA, OAG and will also consult with the project donors - Government of Norway and DFID.

10. Time Frame for the MTR Process

The process of the evaluation will be divided into four phases, each including several steps.

Phase 1: Preparation and Desk Phase:

Desk review – This phase will encompass preparatory work by the UNDP in collaboration with the Evaluation Team with inputs from the donors (identification, collection and mapping of relevant documentation and other data), the Evaluation Team will analyze all documents related to the project over the period of implementation.

Stakeholder mapping – A simple mapping of stakeholders relevant to the evaluation will be developed by the Evaluation Team in addition to the tentative list provided by the UNDP. The product of the mapping will include national institutions and county governments' stakeholders.

Development of an operational/logistical plan - The Evaluation Team in consultation with UNDP will develop evaluation operational/logistical plan and calendar, to address logistical issues related to the assessment and related field visits.

The main output of this phase is the MTR Inception Report – A report will be prepared by the Evaluation Team containing at the minimum, the proposed approach and evaluation design, which will include the stakeholders mapping, the evaluation questions and methodologies to be adopted, sources of information and plan for data collection, including selection of project/field sites for visits, and design for data analysis.

Phase 2: Data Collection Phase

Data collection – The Evaluation Team will embark on data collection missions including visits to the offices of UNDP, DPs, IPs and other relevant Government Agencies.

Clarify the understanding of the Devolution related development challenges in the project focus areas with key stakeholders including the government and their view on the part played by UNDP supported project in addressing the challenges that fall within the project mandate areas. The Evaluation Team will in the process gather additional information necessary to enrich the evaluation process and its outcome.

At the end of this phase, the Evaluation Team will provide a debriefing of the preliminary findings to UNDP and the technical committee, take initial comments and validate the preliminary findings. Phase 3: Drafting the Evaluation Report

A draft evaluation report will be prepared by the Evaluation Team within the designated timeline after the data collection exercise. The draft report will be submitted to the Team Leader, Democratic Governance Unit, UNDP Kenya.

Review and Quality Assurance – The draft report shall be shared with UNDP and the Evaluation Quality Assurance Team (UNDP's M&E group) who will subject it to a formal review process before presentation to stakeholders. The Evaluation Team will be directly responsible for addressing any comments or observations towards eventual finalization of the report.

Presentation of findings, Validation and submission of report- The Evaluation Team shall present the draft and final versions of the report to the technical committee and relevant stakeholders in designated meetings upon clearance by UNDP. The exact medium for the presentation will be determined in conjunction with the Evaluation Team. The final copy of the report will be submitted to UNDP Country Office Resident Representative.

Phase 4: Follow-up

Management Response – UNDP will prepare a management response to the evaluation recommendations in the final evaluation report in line with UNEG evaluation procedures to ensure that the findings and recommendations of the MTR contribute to improvement in the implementation of future projects of similar magnitude.

Dissemination - The final version of the evaluation report will be disseminated at appropriate fora. It will be widely distributed to all relevant stakeholders in the country and within the UN. It will also be submitted to the Governments of Norway and DFID.

The evaluation shall be conducted for a period of 45 days spread over a period of 3 months starting in June-August 2020. The table below shows a tentative timeframe and key milestones for the consultancy process

Phases Description of Activities Responsible persons Schedule

Phases	**Description of activities**	**Responsible persons**	**Schedule**
Phase I: Inception	• Draft Inception Report development and submission • Presentation of the Inception Report to UNDP, MoDP and other key stakeholders for inputs • Input to the Inception Report by the Evaluation Technical Committee (review of study plan, protocol, analytical framework etc.) • Final draft of Inception Report	• Firm Evaluation Technical Committee	7 days
Phase II: Data Collection & Analysis	• Implementation of the evaluation work plan for data collection in the respective focus areas plus gender equality and the start of assumptions/hypothesis testing using the evaluation matrix. • Utilization of a multiple method approach for data collection that includes, at minimum: document review, focus group discussions and individual interviews and project/field visits. The Evaluation Team will use triangulation as a central method, drawing information from multiple sources. • Data analysis	Individual Consultant	25 days

Phase III: Report Writing and Feedback	• The drafting and presentation of the draft evaluation report. • Final report incorporating inputs from key stakeholders	Individual Consultant	11 days
Phase IV: Dissemination	• Dissemination Workshop and workshop summary report • Management response to key recommendations of the final evaluation report	Individual Consultant, UNDP	2 days

11. Consultancy Fees

The Evaluators will be recruited and paid in accordance with UNDP terms and conditions of remuneration for firms. The payments will be pegged on the attainment of certain milestones as per the agreed Work Schedule within a working period of 45 days spread over 3 months.

UNDP will cover prior agreed costs related to the MTR services which the consultant will quote inclusive of travel and other related expenses. The Evaluators fees will be paid respectively in line with the following schedule and upon acceptance of key deliverables:

• Final Inception Report: 20%

• Draft MTR Report: 50%

• Final MTR Report: 30%.

12. Annexes

Existing Information Sources

The following minimum documents will be used to support the Evaluation Team in obtaining detailed background information: the UNDAF, CPD, Project Document.

I. Signed Project Document (2018-2022)

II. Draft List of Stakeholders

III. UNDAF (2018-2022) document

IV. CPD (2018-2022)

Financial Evaluation (30% of total evaluation; maximum 30 points).

13. Submission of the Financial Proposal

Applicants are instructed to submit their all-inclusive fee proposal in KSH using the financial proposal template provided (Offerors letter to UNDP)

The financial proposal should be all-inclusive and include a breakdown. The term ‘all-inclusive” implies that all costs (professional fees, travel related expenses, communications, utilities, consumables, insurance, etc.) that could possibly be incurred by the Contractor are already factored into the financial proposal.

Financial evaluation (maximum 30 points):

The following formula will be used to evaluate financial proposal:

$p = y (\mu/z)$, where

p = points for the financial proposal being evaluated y = maximum number of points for the financial proposal μ = price of the lowest priced proposal z = price of the proposal being evaluated

Duration of the Work: 45 working days within a period of 3 Months

Application process.

Interested and qualified candidates should submit their applications which should include the following:

1. Detailed Curriculum Vitae

2. Proposal for implementing the assignment – template provided

3. Offerors letter to UNDP – template provided

Note: The successful applicant will be required to complete a UNDP Personal History Form (P11) form prior to contracting.

Firms are not eligible for this consultancy assignment. Open to national individual consultants only.

Incomplete applications will be disqualified automatically.

All applications must be submitted through the UNDP eTendering portal.

• If already registered, please go to https://etendering.partneragencies.org and sign in using your username and password, and search for the event:

Business Unit: UNDP1

Event ID:

• If you do not remember your password, please use the “Forgotten password” link. Do not create a new profile.

• If you have never registered in the system before, please complete a one-time registration process first by visiting https://etendering.partneragencies.org and using the below generic credentials:

Username: event.guest

Password: why2change

Detailed user guide on how to register in the system and submit the proposal can be found at:

https://www.undp.org/content/undp/en/home/operations/procurement/business/procurement-notices/resources/

Email submission of applications will not be accepted. Queries about the position can be directed to

undp.kenya.procurement@undp.org

Appendix 2. Evaluation criteria and questions

Criteria	Key Questions	Data Sources	Data Collection Procedures
Strategic	Assess the extent to which programming priorities and results: o Contribute to the Sustainable Development Goals (SDGs), o Are consistent with the UNDP/RCO Strategic Plan and o Are aligned with the UNDAF and the country Programme document. Assess 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?	Document review including UNDP/RCO Strategic Plan, UNDAF 2018-2022, UNDP country Programme document	Secondary Data review Interviews with UNDP project lead, Development partners

Criteria	Key Questions	Data Sources	Data Collection Procedures
Relevance	Relevance of the programming objectives and results to the country context including the national and sub-national development priorities (Vision 2030, Medium Term Plan III (MTP III) and County Integrated Development Plans (CIDPs), among others); Programming strategies consider interconnections between development challenges and results; A gender analysis is integrated to fully consider the different needs, roles and access to/control over resources of women, men and youth and if appropriate measures are taken to address these when relevant; and Programmes and projects regularly capture, and review knowledge and lessons learned to inform design, adapt and change plans and actions as appropriate, and plan for scaling up. To what extent has the project been able to respond to changes in the needs and priorities of the IPs?	Document review including Vision 2030, Medium Term Plan III (MTP III) and County Integrated Development Plans (CIDPs), Resident Coordinator Annual Reports, Project progress reports	Review and analysis of information from Project documents Interviews with UNDP staff, Implementing Partners, Development partners

Criteria	Key Questions	Data Sources	Data Collection Procedures
Effectiveness	· To what extent has the project contributed to improving the quality of governance and socioeconomic 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 2022? · To what extent has the annual work-plans (2019 and 2020) 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 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?	Document review, including MTP III; annual workplans, project progress reports; Kenya SDG report; Resident Coordinator Annual Reports Interviews	Review and analysis of information from Project documents Interviews with national partners; development partners, county partners, other external support agencies, Development Partners; Turkana partnerships

Efficiency	· Have adequate financial resources been mobilized for the project? · To what extent have administrative procedures (UNDP and GoK) been harmonized? · 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, TWGs, SC), PSC, PST, M&E system, and communications effective in managing the project? · 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)? · Considering that this project is being implemented in partnership with the Resident Coordinator's Office (RCO), o Have the UN agencies together with county governments demonstrated Delivering as One (DaO) principle in this Programme? o If yes, how has this been done and does it respond to Programme results? o How has the coordination supported delivering of results to scale for government and the UN? o Is having an area-based office cost effective? If yes in which ways? o Programme What are some of the results that were accelerated by having the area-based office?	Project documents, Interviews	Review and analysis of information from Project documents Interviews with the following: - UNDP project lead staff, RCO, UN Agency Partners, KRAs, technical working groups (DDWG, DSWG, TWGs, SC), Turkana area-based office staff, PSC, PST, M&E system, and communications, GoK stakeholders; annual reviews

Criteria	Key Questions	Data Sources	Data Collection Procedures
Sustainability and national ownership	· Did the project incorporate adequate exit strategies, technology (knowledge) transfer and capacity development measures to ensure sustainability of results over time? · 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? · Are institutional capacity development and strengthening of national systems being built able to sustain results?	Project Documents Interviews	Review and analysis of information from Project documents Interviews and discussions with GoK national and county stakeholders, agencies, Development Partners; Gender WG; OHCHR.

Criteria	Key Questions	Data Sources	Data Collection Procedures
Management and Monitoring	· To what extent are the indicators and targets relevant, realistic and measurable? · Are there baselines against which to assess progress? · Are there project indicators aligned to SDGs, UNDAF and CPD? If not, what changes need to be done? · 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, especially gender been reflected in programming? 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?	Document review of project document, Results Framework, SDGs, workplans	Review and analysis of information from Project documents Interviews with UNDP project lead staff, RCO, project M&E specialist, IPs

Criteria	Key Questions	Data Sources	Data Collection Procedures
Social and environmental standards	· How does project incorporate human rights approach in the design and implementation? What human rights will be realized from implementation of the project? · 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?	Project Documents Interviews	Review and analysis of information from Project documents Interviews with Project staff, County Officials
Impact	· 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. · Assess the extent to which broader development agenda is being monitored/if effectively monitored?	Project documents Interviews	Review and analysis of information from Project documents Interviews and FGDs with UNCT, UNDP staff; GoK stakeholders, Development Partners; document review of UNDP reports
Other Issues			

Criteria	Key Questions	Data Sources	Data Collection Procedures
Results Framework	· Assess effectiveness towards attainment of results and reflect on how UNDP, RCO and GoK have contributed to the results through the implementation of AWPs activities; · 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; · Assess if gender and youth aspects are being monitored effectively; · Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. improved governance, quality service delivery that is integrated and equitably resourced etc.)	M&E System and Indicator data review Review of project proposal, funding documents; Program Document and M&E and progress reports	Assessment of indicator data Interviews of with M&E and UNDP and RCO staff and GOK counterparts.

Appendix 3. List of respondents

Institution	Name	Title
UN Agencies		
RCO	Jane Oteba	Development Coordination Officer
	Susan Aletia	Programme Coordinator RCO-Turkana
UNDP	Dan Juma	Team Leader (Governance)
“	Evelyn Koech	Team Leader (Environment)
“	Mary Njoroge	Program manager
“	Faith Ogolah	Program Officer
“	Peggy Mmata	Finance Associate
	Janety Nyambu	Finance Officer

Institution	Name	Title
	James Wagala	M&E Specialist
	Geoffrey Omedo	Quality Assurance Climate change
	Francis Matheka	Program Specialist Climate Change
	Raphael Mutitu	GIS Support Officer
UNFPA	Zipporah Gathiti	M&E Specialist
UNHabitat	Jerry Ougo	Program manager
	Development partners	
Embassy of Norway	Guvnor W Skanke	Head of Cooperation
Embassy of Norway	Dorcas Njengere	Program Officer
Embassy of Norway	Shamsa Birik	Program Officer, Kenya/Somalia
	National Government	
Ministry of Devolution and Planning	James Mwanzia	Director Policy and Research
Commission on Revenue Allocation (CRA)	Jane Maingi	Senior analyst
CRA	Meimuna Mohamed	Senior analyst
Kenya School of Government	Peter Quest	Youth coordinator
Monitoring and Evaluation Department	Dr. Bosco Okumu	Senior Economist
The Office of the Auditor General	George Nashon	Deputy Director Audit

Institution	Name	Title
	George Otieno	Auditor OAG Office
Council of Governors		
Council of Governors	Ms. Eunice Fedha	Programme Officer
	Ken Oluoch	Project Officer
	Nicodemus Mbwika	Planning Support Officer
	Eva Sawe	Senior Program Officer
	Evans Kipruto	Program Assistant
	Emma Nyabicha	Coordinator Urban links Africa Program
Turkana Program		
Turkana County	Ruth Amatalo	WFP Lodwar Office
	Francis Kidake	UNICEF
	Dr Daniel Irera	FaO
	Carol Ndungu	Office Admin
	Alfred Yejem	CBEF non-state actor
	Robert Loyelei	Deputy County Secretary
	Jeremia Apalia	Chief Officer Planning
	Gladys Arika	Chief Officer Public Service

Institution	Name	Title
	Hellen Nakaru	Deputy Director Revenue
	Dr John Ng'asike	Chair, Public Service Commission
County Government		
Isiolo	Halima	Head of Planning and Budget
	Sadam Ali	Internal Auditor
	Shukri	Economist/M&E
	Rashid Arale	Chief officer Youth
	Osman Halake Dadacha	Municipality Manager
	Gabriel Manyinsa	Economist
	Kamal Ibrahim	Isiolo Youth Center beneficiary
	James Eris	Isiolo Youth Center beneficiary
	Harun Hussein	Isiolo Youth Center beneficiary
	Lordman Lekalkuli	Coordinator NDMA
Garissa	Mohamed Adan Barre	Director Economic Planning
	Aden Farah	Finance Officer
	Zeinab Dumto	Director Internal Audit
	Dr Feisal Yusuf	Chief Officer Public Participation
Mandera	Abdinoor Aden	Acting Director Audit

Institution	Name	Title
	Wethow Hussein	Planning
	Abdullahi Hassan Maalim	Chief Officer Public participation
	Fartun Bulle	CO, Planning, M&E
	Ahmed Mursal	Ag. County Secretary
Samburu	Alex Leseketeti	Coordinator NDMA
Marsabit	Ibrahim Aden	Director, Performance Management
	Samuel Mukindia	Director economic planning/ SDGs Champion
Tana River	Maurice Osano	Director Performance Management
	Charles Njuguna	Assistant Director Audit
	Chimea	Economist
	Bonaya Nkado	Deputy director Audit
	Hussein Rago	Economist
	Lennox Mbwana (COG)	Director Economic Planning
	Arnold Odipo (UNDP)	Economist PMS
	Grace Muriuki	PMS
Lamu	Mzamao Salim	County Planning

Institution	Name	Title
	Andrew Waweru	Director, Planning & M&E
	Salim Ali	Internal Audit Director
	Paul Waluba	PMS
Wajir	Isaak Alas	Senior Accountant
	Ahmed Maalim Omar	Director Economic Planning
	Steve Muoka	Deputy Director Planning

Appendix 4. List of documents reviewed

1. Christine Kamau Nov 2015: Devolution in Kenya: The Establishment of County Budget and Economic Forums, https://www.internationalbudget.org/publications/devolution-in-kenya-establishment-of-cbefs/
2. Council of Governors 2019. Indicators for Participation, Transparency and Accountability (Excel file)
3. Council of Governors 2017. Performance Management framework for County Governments
4. COG and MED Training report 22 -28 September 2019. Capacity Building in M&E and Development of SDG indicator Handbook for Tana River County
5. COG Training Report 1 September to 31 August 2019. Strengthening Devolved Governance in the Northern Frontier Counties
6. Commission for Revenue Allocation. 4th Quarter 2019 Report
7. Economic Intelligence Unit, *Country Report: Kenya*, 20 September 2017: www.eiu.com
8. Government of Kenya Ministry of Devolution and Planning, Medium *Term Plan III* (2018-2022): *Transforming Lives: Advancing socio-economic development through the "Big Four'' 2017*:
9. Natasha W Kimani, May 11, 2020. Meeting the Promise of the 2010 Constitution: Devolution, Gender and Equality in Kenya, https://www.chathamhouse.org/publication/meeting-promise-2010-constitution-devolution-gender-and-equality-kenya
10. Republic of Kenya. 2019. Guidelines for the Development of County Integrated Monitoring and Evaluation System
11. The 2014-2018 Kenya United Nations Development Assistance Framework, Final Evaluation Report 19 December 2017
12. Turkana County and UN Integrated Area Based Program. Program Cycle report January 2016-June 2018

13. UNDP 2018. Integrated Support Project to the Devolution Process in Kenya and Strengthened Devolved Governance in the FCDC. 2019 Annual Report
14. United Nations Country Team Kenya, *Kenya UNDAF 2018-2022*
15. World Bank Nov 26, 2019. Kenya's Devolution, https://www.worldbank.org/en/country/kenya/brief/Kenya's-devolution
16. United Nations Committee for Development Policy, 2018: https://sustainabledevelopment.un.org/content/ documents/2754713_July_PM_2._Leaving_no_one_behind_Summary_from_UN_Committee_for_Development_Policy.pdf
17. UNDP 2018, What does it mean to leave no one behind? A framework for implementation https://www.undp.org/ content/dam/undp/library/Sustainable%20Development/Brochure_LNOB_web.pdf

Appendix 5: Photos

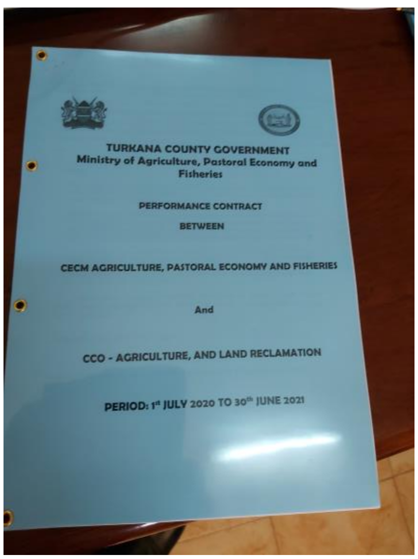

Figure 1: Performance contract for a CECM Turkana County

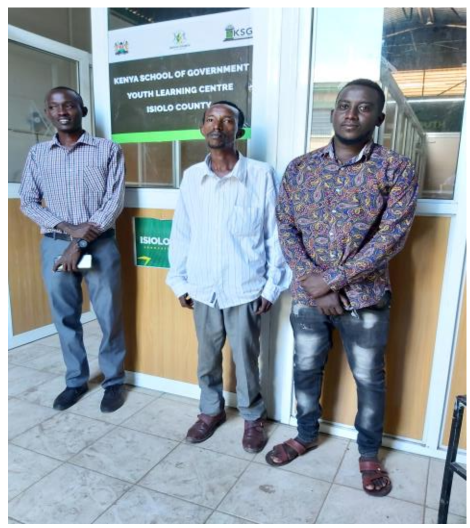

Figure 2: Beneficiaries of Isiolo Youth Innovation Center