



# **FINAL END TERM EVALUATION REPORT**

**Kenya APRM Donor Supported Programme**

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**Prepared By**

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**Submitted to**

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# ABBREVIATIONS AND ACRONYMS

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APR	African Peer Review
APRM	African Peer Review Mechanism
AWP	Annual Work Plan
CBO	Community Based Organisation
CDF	Constituency Development Fund
CEO	Chief Executive Officer
CRR	Country Review Report
CSO	Civil Society Organization
DP	Development Partner
FGD	Focus Group Discussion
GOK	Government of Kenya
HR	Human Resource
ICB	Institutional Capacity Building
ICT	Information Communication Technology
IEC&A	Information Education Communication and Awareness
MDA	Ministry, Department and Agency
MTP	Medium Term Plan
NEPAD	New Partnership for African Development
NEX	National Execution
NGC	National Governing Council
NKPCA	NEPAD Kenya Planning and Coordinating Agency
NPoA	National Plan of Action
PSO	Private Sector Organization
PWDs	People Living with disabilities
Q	Quarter
SIDA	Swedish International Development Agency
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNV	United Nations Volunteer

## EXECUTIVE SUMMARY

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The aim of this exercise was to undertake an end term evaluation of the Kenya APRM Donor Supported Programme for the period January 2010 to March 2012. The APRM donor supported programme implemented by the NEPAD Kenya Secretariat with support from development partners and the Government of Kenya (GoK). The overall objective of the evaluation was to review the extent to which the programme objectives and outputs had been realized, identify strengths and weaknesses in implementation and provide recommendations to inform the future success of similar projects. More specifically, the evaluation was expected to focus on reviewing based on the following criterion: (i) effectiveness; (ii) relevance; (iii) sustainability; (iv) Project design and performance assessment/efficiency; and (v) Impact. In line with the terms of reference as well as based on the direction provided by the NEPAD Kenya Secretariat, the evaluation employed desk review as well as restricted secondary data research.

The programme christened “The Sustaining the Dialogue programme” was initially developed in response to the second Country African Peer Review Mechanism (APRM) report. The second phase of “The Sustaining the Dialogue Programme” was implemented over a three year period 2007 – 2010. The second phase of the programme was reviewed in December 2009 and the programme found to have been significantly effective and efficient as it had significant catalytic impact on citizen participation in the planning and policy making process. It was further noted that: in spite the successes the programme was found not to have fully realized its objectives as capacity gaps persisted mainly due to: resource constraints; citizen awareness levels remained relatively low; and an inadequate inter-linkage to the national reform agenda.

The period of the programme which is the focus of this review was for the period between January 2010 – March 2012 during which there has been a global financial crisis, promulgation of a new Constitution and the second country APRM review. During this period, the implementation of the programme has been guided by the foundational work of the Second phase of the Domestication of the NEPAD/APRM Process Kenya project documents (2007-2010), the APRM strategic plan 2010-2013 as well as the related work plans for the years 2010, 2011 and 2012.

The overall objective of the programme was: *“Sustaining the Dialogue Programme-Improved governance through providing Kenyans with a structured platform from which to monitor, evaluate and influence public policy and programmes”*. During this phase from 2010-2012, the specific objectives were to:

- (i) Strengthen capacity of NEPAD/APRM Secretariat to implement its mandate
- (ii) Mobilize resources for implementation of APRM mandate
- (iii) Facilitate implementation of the APRM programmes for political stability, improved governance, high economic growth, sustainable development and accelerated sub-regional & continental economic integration
- (iv) Monitor and evaluate governance, rate of economic growth and sustainable development and level of sub-regional & continental economic integration

With regard to progress realized, the overall objective of the sustaining dialogue programme was achieved to a limited extent. As noted in the 2<sup>nd</sup> Country Review mission as well as country self-assessments, the governance environment in Kenya had improved considerably, particularly due to the strides realized in the implementation of the Constitution of Kenya 2010. Although this progress in improved governance cannot be wholly attributed to the sustaining dialogue programme, it is clear that the partial implementation of the APRM programmes by a (moderately) strengthened Secretariat contributed to the progressive realization of this goal and in particular the development and implementation of a structured platform for citizen engagement. It is noteworthy however, that this progress is also attributable to the implementation of the National Plan of Action (NPoA) during this period and that this aspect will be explored at a greater depth in the NPoA evaluation report.

That notwithstanding, a review of the actual versus targeted outputs and related activities achieved reveals notable implementation gaps with a significant number of outputs targeted not having been realized due to non-implementation or partial implementation of targeted activities. The table below provides an overview of the results achieved.

#### Overview of the results realized (January 2010 to March 2012)

OBJECTIVE	PROGRESS SYNOPSIS
i. Strengthening NEPAD Secretariat	<ul style="list-style-type: none"> <li>Two of the targeted eight staff retained over evaluation period (25%)</li> <li>3 staff of the targeted nine staff members lost in the evaluation period (-38%)</li> <li>1 of the nine targeted staff recruited and retained for two quarters only (-22%)</li> </ul>
ii. Resource Mobilization	<ul style="list-style-type: none"> <li>Basket fund secured for year 2011(UNDP, SIDA)</li> <li>No indication of funds secured from new donors</li> </ul>
iii. APRM Programme Implementation	<ul style="list-style-type: none"> <li>1 out of 3 activities achieved in enhancing awareness (33%)</li> <li>1 out of 3 activities achieved in institutionalizing citizen participation (33%)</li> <li>2<sup>nd</sup> Country Review Mission completed (100%)</li> <li>Finalization of 2nd Country Review Report ongoing (1<sup>st</sup> and 2<sup>nd</sup> draft reports received by Secretariat 50%)</li> </ul>
iv. Monitoring and Evaluation	<ul style="list-style-type: none"> <li>3 of 3 Annual work plans prepared (2010<sup>1</sup>, 2011, 2012) (100%<sup>2</sup>)</li> <li>2 of 2 annual reports (2011 and 2012) (100%)</li> </ul>

<sup>1</sup> AWP for 2010 covers only July-December.

<sup>2</sup> AWP for 2012 has been completed and is awaiting approvals



OBJECTIVE	PROGRESS SYNOPSIS
Cont.....Monitoring and Evaluation	<ul style="list-style-type: none"> <li>• All quarterly reports and face forms prepared and submitted to UNDP (100%)</li> <li>• No evidence of Project Executive Group (PEG) Meeting since this was not established from the start. However, regular Executive Committee meetings with the Secretariat were held. Regular meetings between the Executive Committee, UNDP and the Secretariat would have enhanced effective programme implementation (50%)</li> </ul>

### **Challenges**

The development partner funded APRM programme has attained significant achievements with regard to enhancement of good governance, citizen participation and awareness. This however has not been without challenges. The key challenges identified by the evaluation include:-

- (i) Implementation has been hampered by inadequate and inconsistent resources, both financial and human.
- (ii) There has been a lack of government commitment to action.
- (iii) There has been a lack of ownership of the process on the part of the government
- (iv) Information that has been painstakingly gathered and reported has not been fed into national budget and planning of processes.
- (v) Policy response to challenges identified by APRM have been weak or totally lacking : youth, land, employment-the government must address the issues in a coherent manner
- (vi) Competing interests in government has tended to impede the implementation of the APRM mandate.
- (vii) Commitment to APRM has fizzled out at continental level among the leaders of other African countries
- (viii) The level of awareness of NEPAD/APRM and the activities among the public is generally low.

### **Best Practices and lessons learned**

A conducive and enabling environment for the implementation of APRM mandate - The openness of the APRM process in Kenya has been a great facilitating factor. In many other countries, the democratic space that is enjoyed in Kenya has not been realized yet. The openness and candid nature of the review process must be protected and sustained. Participatory approach from the initial stages augments achievement of APRM objectives. The APRM process in Kenya has been rigorous and embraced a broad-based approach.

Enhanced stakeholder participation in policy debate and proficient reporting and documentation do not necessarily translate into implementation. As much energy needs to be devoted to engaging and persuading government to have greater ownership of programmes for

effectiveness. If not, invaluable information and vast resources are thus left to go to waste when government commitment to implementation is weak.

As such it can be deemed that to some extent the targeted outputs were achieved and the programme activities reviewed deemed to be adequate for the realization of the objectives.

**Based on the evaluation findings the consultant concludes that:**

***(i) With regard to the Strengthening of the Secretariat/Resourcing issues:***

- a. Inadequate staffing as well as institutional capacity building of the implementing agency persistently impedes the effective and efficient implementation of APRM programme objectives.
- b. APRM programme has continued to face both human and funding constraints over the years significantly hampering the timely and complete realization of its planned activities.
- c. There is lack of a structured development partner approach and waning donor support is evident dissuading the effectiveness, efficiency and sustainability of the programme efforts and gains.
- d. The GoK need to not only increase resource allocation but also show more political will and commitment to the APRM process.

***(ii) In the Implementation of APRM Programme:***

- a. The partnerships with non-state actors are weak and not well structured deterring the ownership, effectiveness, impact and sustainability of the programme activities.
- b. A long-term and cost-effective IEC strategy for the APRM programme should be developed and implemented to enhance effectiveness as well as boost the programmes impact.
- c. The APRM process needs to be resolutely integrated at the level of policy formulation and actual implementation.
- d. There is need for leveraging gains made through the promulgation of the Kenya Constitution 2010 to improve the programme implementation approach, particularly with regards to the required engagement/partnerships. This will not only boost effectiveness but also efficiency, impact and sustainability.

***(iii) Effective Monitoring and Evaluation and Programme Management lacked:***

- a. A financial tracking system for effective, efficient and continuous capturing of financial record keeping.
- b. The full implementation of the M&E strategy as was envisioned hence hindering the comprehensive tracking the progress made on the APRM objectives and the programme's impact.

- c. A joint technical/oversight committee deprived the programme of the necessary review of implementation and performance.

**The following is a summary of key recommendations towards strengthening APRM programme in Kenya**

**a. Strengthening Capacity of NEPAD Kenya/APRM**

1. Re-examination of the strategy with a view of including new positions and considering inclusion of more permanent staff within the programme operations. This may include the creation of new positions for M & E experts, Communication specialists and a program officer.
2. That the key unfilled positions should be filled and efforts made to ensure acceptably adequate staff for the effective implementation of the programme objectives. This would mean securing stable funding for the recruitment of staff and including more into permanent status.
3. Regular refresher training for the staff implementing the APRM programme to enhance the delivery of the expected outputs and outcomes.
4. That the use of UN Volunteers for essential positions of research officers be reconsidered to ensure that an effective mechanism that would mitigate staff attrition is put in place.
5. That Government should explore an institutional arrangement that would raise the profile of the NEPAD Kenya Secretariat thus bringing to the fore APRM issues.

**b. Enhancing Resource Mobilization**

1. That the GoK increases its resource allocation, commitment and takes the leading role to restore the development partner funding enthusiasm as well as ensure sustainability of the programme.
2. There should be renewed efforts to encourage donors to make contributions to the APRM programme. This would include the development of structured engagement of development partners.
3. Consistent and timely cash transfers to NEPAD to enhance effective and efficient implementation of programme activities.
4. Devising and implementation a financial tracking system for enhanced management.

**c. Enhancing awareness of APRM in Kenya:**

The following would be useful in strengthening the realization of citizens' level of awareness in the target areas of governance;

1. The APRM needs to strengthen partnerships with more non state actors both at the national and the grassroots levels. It was noted that the operations especially at the grassroots levels needs to be strengthened to include the minorities, youths, disabled and be gender sensitive.
2. There is need to develop an effective pro-grassroots outreach mechanism with the commensurate adoption of appropriate IEC strategy. There is need to invest heavily in locally based platforms including radio slots and Community Based Organizations (CBO). This would be a useful departure from the current over emphasis on newspaper pullouts, and television Slots that tend to reach the elite rather than the hard to reach citizens.
3. Review and implement a comprehensive and long term IEC&A strategy, including establishment of sustainable stakeholder engagement mechanisms.
4. Enhance engagement and implementation focus at the devolved level
5. Explore the possibility of using social media for ICE&A activities to enhance efficiency of awareness creation.
6. An outreach programme encompassing the development, publication and dissemination of materials, appearances/debates on talk shows and radio programmes should be developed to increase Kenyan citizens' awareness of APRM, its role in reconciliation and its longer term goal for governance in Kenya

#### **d. Development of institutionalized platforms**

The secretariat may need to consider the following in order to strengthen the realization of this key component of the APRM programme:

1. The APRM programme needs to take advantage of the opportunities availed by the enactment of the Kenya Constitution 2010. This would include enlisting more of the active CSOs and working with other government agencies and commissions entrusted with the oversight role in the implementation of the new constitution.
2. The APRM implementation team will need to redraw a new strategy for engaging with other government departments and commissions. There may be need to consider an effective working partnerships with the Constitution Implementation Commission (CIC), Independent Electoral and Boundaries Commission (IEBC), the Commission for National Cohesion, Ministry of Justice and Constitutional Affairs among others.
3. It will be necessary to bring on board more CSOs and other interest groups such as the minorities, people living with disabilities (PWDs), the marginalized and other vulnerable groups. This will ensure that the programme reaches out to the neediest groups.

4. It is imperative that strategies to reach out to the younger generation both in-school and out of school be developed. This would entail embracing new ICT platforms such as Face book and twitter and the use of school based activities such as drama and clubs.
5. Decentralized local capacities for stakeholder participation in APRM issues should be strengthened for continued dialogue modeled on for instance the bunge la mwananchi concept.

#### **e. Monitoring and Evaluation of the APRM Programmes:**

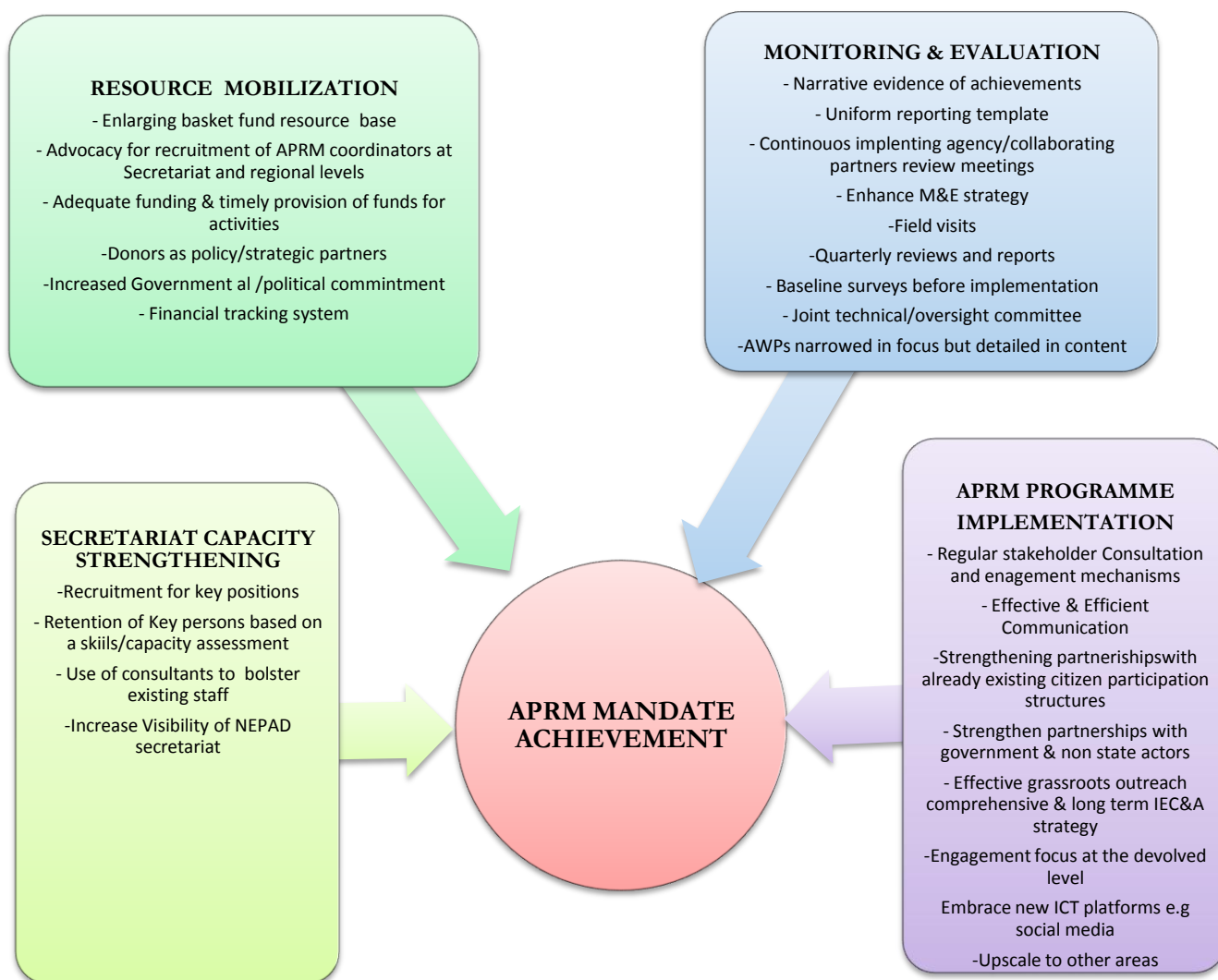
The following propositions could help to improve the realization of the set M&E targets.

1. The capacity for M&E should be enhanced by including an M&E expert, documentalist/librarian and a programme officer within the programme.
2. The secretariat may need to reconsider shifting the responsibilities of M&E from the PEG to an M&E expert. This would leave the PEG with the overall supervisory role and enable them to set M&E targets for the specialists. As it is, there is no proper supervision of the key M&E body.
3. Field visits should be enhanced as a strategy for M&E. This component was weak in the entire period of the review period.
4. Quarterly reviews should be emphasized with a view of enhancing production of quarterly work plans and quarterly reports. These reports should be distinct technical and financial reports. Similar emphasis should be placed for annual reviews and production of the requisite reports.
5. The internal M&E strategy should be strengthened to enhance the extent of tracking the progress made in key indicators of change. This was rather weak in the entire period of evaluation. It is imperative that a robust M&E framework is developed and implemented with clear M& E mechanisms including list of exact documents to be received from activities, meetings etc.
6. Establishment of joint technical/oversight committee comprising UNDP and NEPAD secretariat to provide oversight on general policy and technical direction on issues of implementation.

#### **Synthesis of Recommendations**

Presented in the figure below is an illustrative synthesis of recommended strategies for APRM mandate achievement. The amalgamation is based on of the analysis of the evaluation results of the APRM Development Partner Supported Programme during the evaluation period i.e. January 2010 to March 2012. The recommendations are organized along the lines of the APRM objectives.

### Synthesis of recommended Strategies for APRM mandate achievement



# CHAPTER ONE: INTRODUCTION

---

## 1.1 BACKGROUND

The NEPAD Kenya Secretariat with support from its development partners contracted a consultant to undertake an end term evaluation of the Kenya APRM Development Partner Supported Programme.

The overall objective of the evaluation was to review the extent to which the programme objectives and outputs had been realized, identify strengths and weaknesses in the implementation of the programme and provide recommendations to inform the future success of similar projects. More specifically, the evaluation was expected to focus on reviewing the following criterion: (i) effectiveness; (ii) relevance; (iii) sustainability; (iv) project design & performance assessment/efficiency; and (v) impact. The terms of reference also stipulated the required methodology to be adopted i.e. the requirement to undertake a desk review of relevant programme documents; collect primary data and produce both a draft and later a final report to be shared at various stages with the identified stakeholders (See Annex 1 for the Terms of Reference).

In the ensuing discussions with the Secretariat, it was clarified that the scope of the evaluation was the period January 2010 to March 2012. Additionally the Consultant was informed that during this period the implementation of the programme had been guided by the foundational work of the Second phase of the Domestication of the NEPAD/APRM Process Kenya project documents (2007-2010) as well as the related work plans for the years 2010, 2011 and 2012 (Q1). Based on these documents, the scope of the evaluation was centered on the following objectives, including the related outputs:

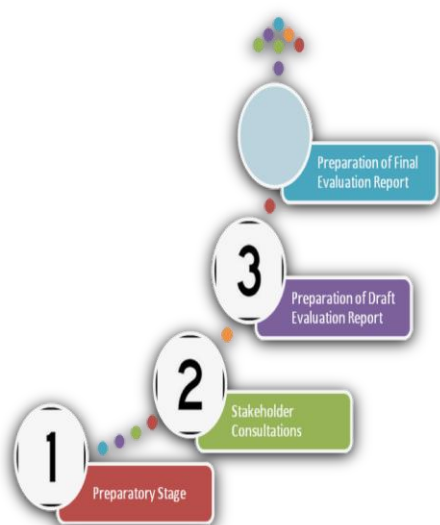
The overall objective of the programme during this phase of implementation was: ***“Improved governance through providing Kenyans with a structured platform from which to monitor, evaluate and influence public policy and programmes”***. To realize this, the four specific objectives articulated in the programme documents centered on:

1. Strengthening the NEPAD Kenya Secretariat;
2. Resource Mobilization;
3. APRM programme implementation and
4. Monitoring and evaluation.

## 1.2 EVALUATION PROCESS

In line with the terms of reference, the consultant adopted the following four stage approach:

**Preparatory stage:** The consultant engaged with representatives of the contracting party/client to fine tune and agreed on the evaluation assignments. Subsequently, a preliminary desk review of relevant documentation provided was undertaken. The documents reviewed included the annual work plans, progress reports, the APRM and NEPAD strategic plans, APRM Country Review Reports and previous programme evaluation reports. Additionally, the consultant developed and validated with the Secretariat an evaluation tool for use during stakeholder consultations (See Annex 2).



**Figure 1: Evaluation design**

Stakeholder consultations were programmed as follows: (i) Focus Group Discussions (FGDs) with key staff involved in management and implementation of the programme; key staff of other government Ministries, Departments and Agencies (MDAs), Development and other key stakeholders including the private sector, media, civil society, and citizens; (ii) Meeting(s) with parliamentary caucus and other key stakeholders (See Annex 3). Although, the stakeholder consultations did not proceed as envisioned due to time constraints, in order to obtain the requisite information, the consultants relied on the relevant documents from the target stakeholders. Additional primary data based on perspectives of the implementing agency, the funding development partners as well as a Civil Society Organization engaged in democratic governance were also used. Through the information gathered from these sources, the consultant has been able to gather invaluable insights into the programme despite not having the advantage of meeting all the targeted respondents as was initially envisioned.

**Preparation of draft report:** The draft report was submitted to NEPAD Kenya for the Secretariat's review. Subsequently, the draft was revised based on comments and clarifications from NEPAD Kenya.

**Preparation of Final Evaluation report:** The final report was prepared following the format provided by the client. This was done after NEPAD Kenya certified that all the comments and that the provisions of the TOR were fully incorporated and/ or met. Whereas the report is a product of constant consultation between NEPAD Kenya and the consultant, the views and perspectives herein remain those of the consultant.



### 1.3 STRUCTURE OF THE REPORT

The report is structured into five chapters with chapter one having detailed the purpose and approach of the evaluation. The rest of the sections are structured as follows:

- **Chapter 2:** provides a synopsis of the APRM development partner supported programme, cataloguing the key developments during the review period as a background to the actual evaluation. It also gives an overview of the programme's financial administration and management.
- **Chapter 3:** presents the evaluation of the progress realized against the overall programme objective and the four specific programme objectives
- **Chapter 4:** enumerates the conclusions of the evaluation as well as the best practices and lessons learned for sustained dialogue and the realization of citizens engagement with respect to the ongoing democratic reforms and as well as the broader political and institutional context in Kenya.
- **Chapter 5:** details the recommendations of the evaluation for enhanced achievement of APRM programme objectives.

## CHAPTER TWO: PROGRAMME OVERVIEW

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### 2.1 BACKGROUND

The New Partnership for Africa's Development (NEPAD) is both a vision and a policy framework for Africa in the twenty-first century. The framework enunciates the vision of 'African Renewal', of indigenously driven sustainable and equitable socio-economic development to guide continent wide transformation. As such, the focus is on Africans harnessing their collective energies to transform the continent into a region where economic progress, development, consolidation of democracy, good governance and peace, security and stability reign. A flagship initiative of NEPAD is the **Africa Peer Review Mechanism (APRM)**.

The APRM is an instrument voluntarily acceded to by member states of the African Union (AU) as a self-monitoring mechanism for good governance. The African Peer Review (APR) process entails periodic reviews of the policies and practices of participating states to ascertain progress being made towards achieving mutually agreed goals as well as compliance with agreed political, economic and corporate governance values, codes and standards, as outlined in the African Union Declaration on Democracy, Political, Economic and Corporate Governance.

Kenya was one of the pioneer countries to accede to the APRM at its inception in 2003. Kenya was peer reviewed by the APR Forum, held in Banjul, The Gambia, in June 2006, thus becoming the third country to complete the process. The 1st APRM Kenya Country Report of 2006 noted emerging best practices/strengths as well as challenges in the areas of : (i) Democracy & political governance; (ii) Economic Governance and Management; (iii) Corporate governance; (iv) Socio-economic development, and; (v) overarching issues.

Subsequently, Kenya has remained a pioneer in the peer review process, acceding to second APRM review exercise in July 2011. The 2nd APRM Review of Kenya was informed by the discussions at the 10th APR Summit of the Heads of State and Government. Kenya's address to the Forum at the time was against a background of restoration of peace and stability following the aftermath of the 2007-08 post-election violence. To date, 32 AU member states have voluntarily joined the APRM of which 14 countries have completed the 1st review process.

### 2.2 PROGRAMME DESIGN: PHASES

#### 2.2.1 Phase II of the Programme 2007 – 2009

Following the Peer Review of 2005, Kenya developed the "Sustaining the Dialogue" programme designed for a three year period (2007-2010). The programme specifically looked at ensuring that the dialogue that was created with citizens throughout the APR was sustained and that Kenyans had a structured platform from which to monitor, evaluate and influence public policy and programmes on a regular and continuous basis. The "Sustaining the Dialogue Programme" sought to sustain the gains made and respond to the challenges observed during the APRM self-

assessment, namely: (i) Challenges in participatory development; (ii) Challenges in representative democracy; and (iii) Challenges in making service providers more accountable to citizens.

The first phase of the programme was reviewed in December 2009, during which the programme was found to have been *significantly and reasonably effective and efficient as it had significant catalytic impact on citizen participation in the planning and policy making process...* It was further noted that: *in spite the successes, the programme was found not to have fully realized its objectives as capacity gaps persisted mainly due to resource constraints, citizen awareness levels remained relatively low and inadequate inter-linkage to the national reform agenda existed.*<sup>3</sup>

## 2.2.2 **CURRENT EVALUATION PERIOD: January 2010 – March 2012**

During this period, the implementation of the programme was guided by the foundational work of the Second phase of the Domestication of the NEPAD/APRM Process Kenya project documents (2007-2010) as well as the related work plans for the years 2010, 2011 and 2012 (Q1). Summarized in Figure 2 are the programme objectives:

### **OVERALL OBJECTIVE:**

*Sustaining the Dialogue Programme-Improved governance through providing Kenyans with a structured platform from which to monitor, evaluate and influence public policy and programmes”*

### **STRATEGIC OBJECTIVES**

1	2	3	4
<p>Strengthened NEPAD Capacity:</p> <ul style="list-style-type: none"> <li>Recruitment of Officers and Specialists</li> <li>Retention of officers</li> </ul>	<p>Resource Mobilisation:</p> <ul style="list-style-type: none"> <li>Mobilization of programme implementation funds from development partners</li> </ul>	<p>Facilitation of implementation of APRM Programmes:</p> <ul style="list-style-type: none"> <li>Enhance awareness and understanding of non-state actors</li> <li>An institutionalized platform for citizens to participate in planning processes as well as monitor, evaluate and influence public policy and programmes created linking non-state actors and government bodies at county level into national planning and implementation processes</li> <li>Finalization of the 2nd Country review and NPoA</li> </ul>	<p>Monitoring and Evaluation of targeted results:</p> <ul style="list-style-type: none"> <li>Monitor and evaluate the level of political stability &amp; governance, rate of economic growth and sustainable development and level of sub-regional &amp; continental economic integration</li> </ul>

**Figure 2:** Programme Results Architecture

<sup>3</sup>December 2009 Evaluation Report on the Sustaining Dialogue Programme

## **2.3 PROGRAMME DESIGN: FINANCIAL MANAGEMENT**

### **2.3.1 Programme Financial Administration and Management**

Funding to the Secretariat adopted three forms namely: basket funding, direct funding and “mixed” funding. UNDP was responsible for ensuring that the allocated resources for each Annual Work Plan are utilized prudently in funding the envisaged activities. The NEPAD Kenya Secretariat has overall oversight on policy, planning and key management decisions on the project. It is therefore accountable for the planning, management, reporting and accounting as well as monitoring and evaluation of all the activities of the project document.

#### ***2.3.1.1 Disbursement of Basket Funds/Cash Transfers and Direct Payments***

In managing the programme funds, expenditure for the implementation of activities has been in accordance with the amount of financial assistance stipulated in the AWP and has been made through direct cash transfers, reimbursement, and direct payment from UNDP to vendors.

For UNDP to accept requests from NEPAD for reimbursement of expenditures or for direct cash transfer, receipt of a request in the Funding Authorization and Certificate of Expenditure (FACE) signed by the authorized NEPAD official has been mandatory. This was to provide attestation to the need for the funds and that the request was reasonable in relation to the AWP, and the accuracy of the information included within that request.

To request reimbursement of expenditures from UNDP, NEPAD submitted FACE forms covering the activities of the same quarter as the one covered by the reimbursement request in the format provided by UNDP. Approval for the request for reimbursement is granted provided that (a) the request is reasonable, (b) the request is within budgetary limits and authority, and (c) the certification is signed and dated by an authorized NEPAD official.

NEPAD has also, to a great extent, utilized the direct cash transfer of funds from UNDP in accordance with the AWP. Each transfer has been based on the financial requirements of the ensuing calendar quarter. The amounts of the transfer take into consideration, inter alia, unspent balances from the previous period and progress under the work plan. All requests for direct cash transfers are submitted on a FACE form that includes activities of the quarter immediately preceding the one covered by the advance request. The requests for direct cash transfers are prepared according to the FACE.

Approval for the request for direct cash transfers have been granted provided that (a) activities in the previous quarter have been implemented as planned, (b) the request is within budgetary limits and authority, and (c) the certification is signed and dated by an authorized NEPAD Official. Cash transfers are not released until the UNDP authorized official agrees that delivery has satisfactorily taken place, as evidenced by the receipt of the certified FACE for that quarter. The implementing partner is required to submit to UNDP its request for a direct cash transfer at least two weeks before the funds are needed

Where NEPAD as the implementing partner has been unable to use the reimbursement or the direct cash transfer modality for any exigent reason, it has in writing requested UNDP to proceed with direct payment to third party vendor(s) delivering goods or services for any part of or entire activity of the AWP on behalf of NEPAD. UNDP then approves and makes the direct payment upon receipt of original invoices of the relevant third party vendor with a statement by the implementing partner certifying that activities have been performed in a satisfactory manner.

In all cases, it is noted that expenditures were incurred in accordance with the AWP.

#### ***2.2.4.2 Banking Arrangements***

Where funds are transferred to the implementing partner, UNDP encourages the implementing partner to maintain a separate bank account with a reputable bank of its choosing. UNDP recognizes, however, that due to government regulations or in the interest of administrative efficiency, this has not always been possible. In the case of NEPAD, a single account was maintained for both Government and donor funds.

For both reimbursement and direct cash transfer, UNDP transferred funds to the same account as detailed from start of the project work plan.

#### ***2.2.4.3 Accounting and Financial Reports***

In line with the terms and conditions of the basket fund managed by UNDP for implementing the project, NEPAD maintains a complete set of financial files that clearly identify all funds received and expended as part of the AWP(s).

In the implementation period under evaluation, it was noted that NEPAD did maintained an adequate system of internal controls to enable complete reliance on the integrity and transparency of the financial reports issued. Sufficient original documentation supporting expenditures by NEPAD have made audit verifications possible. This documentation includes purchase orders, suppliers' invoices, contracts, leases, payment vouchers, airline tickets, fuel coupons, payroll records, petty cash receipts and other miscellaneous supporting items.

All financial reporting to UNDP was being made in the currency in which the cash was transferred. The implementing partner was not required to translate transactions into US dollars or any other currency.

#### ***2.2.4.5 Maintenance of non-expendable Property Reports (Asset Register)***

NEPAD maintains an annual non-expendable property report (asset register) for the purpose of recording the acquisition and disposition of all equipment purchased directly by NEPAD or by UNDP on its behalf as part of the AWP(s). The asset Register indicates (a) the date of acquisition, (b) equipment number and description, (c) the serial number, (d) the cost, and (e)

the location. Non-expendable property is defined as any item which costs USD 1, 000 FOB or more and which has a service lifetime of at least three years. In addition, items regarded as 'attractive items' are also included on Form C. Attractive items are items which are considered valuable to individuals for private use and which could easily be removed from an office, such as laptop computers, scanners, laser printers, CD burners, CD players, DVDs, VHS, digital cameras, film/video cameras, televisions, cellular phones, satellite phones.

Within 30 days after the end of the calendar year, NEPAD submits to the UNDP an Annual Non-expendable Property Report (Asset Register), an Annual Status of Funds Report and an Annual Disbursement Report, which serve as a statement by the implementing partner of the actual expenditures incurred during the year, and of the outstanding advance owed to UNDP, if any, as of the end of the calendar year. Any difference between the expenditure reported on the last FACE for the year and the certified Annual Status of Funds Report and Annual Disbursement Report is adjusted in the following year.

#### ***2.2.4.6. Programme Assurance and Other Controls***

To enhance quick redress of issues that may have adversely affected the financial implementation of the programme, UNDP includes the conduction of assurance activities to enhance strengthening of internal controls at NEPAD. These may include:-

- Periodic On-site reviews of the implementing partner's financial records for cash payments, including Spot Checks and Special Audits
- Programmatic assurance of the implementation of supported activities
- Scheduled audits of implementing partner's internal controls for the management of procurement and payments
- Other audits

***Spot checks*** are periodic on-site reviews of the implementing partner's financial records for cash payments to establish the soundness of the financial controls and the accuracy of the financial records for payments. On-site reviews may be undertaken by UNDP staff or external consultants, following established standards and procedures. A Special Audit may be conducted to review a possible or confirmed significant weakness in the implementing partner's internal controls relating to payments, and should be done as soon as practical after the weakness is identified. Unless warranted by specific circumstances, these audits follow the scope and procedures established for the Scheduled Audits.

***Programmatic assurance*** is maintained following standards and guidance established by UNDP and includes receipt of Standard Progress Reports (SPRs) from the implementing partner, data collection, monitoring of AWP(s), field monitoring visits, annual review, and evaluations.

***Scheduled Audits:*** The implementing partner who receives (or is planned to receive) more than US\$500,000 in cash transfers collectively from UNDP is subject to a scheduled audit once or more during the programme period. The scheduled audits assess the internal control systems

used by the implementing partner to receive, record, and disburse payments and the fairness of a sample of the expenditures recorded in the FACE forms issued during the period under review.

***Other Audits:*** In all cases, UNDP retains the right to call for an audit, since it is accountable for all funds it receives from donors. Such audits are managed by the UNDP country office in close collaboration with the implementing partner.

***Scope and Frequency of Assurance Activities:*** The Audit coverage and frequency is based on the quality of the implementing partner's financial management practices and the total value of the cash transfers provided by UNDP and other UN Agencies. The frequency is determined based on the initial financial capacity assessment, any on-site reviews of the implementing partner's financial records, programmatic assurance activities, and any other requirements.

## **2.4 CURRENT PROGRAMME CONTEXT**

This subsection identifies and discusses some of the key underlying social, economic and political factors that affected the implementation of the APRM programme January 2010 to March 2012. During this period, Kenya has gone through the aftershocks of global financial crisis, promulgation of the Kenya constitution 2010 and the 2<sup>nd</sup> Country APRM review.

### **2.4.1 The Global Financial Crisis**

During this implementation period, Kenya like many other nations experienced the after effects of the Global financial crisis that begun in 2007 and peaked in 2009/2010. Globally, the financial crisis resulted in the collapse of large financial institutions, bailout of major corporations by their respective national governments, and stock markets and housing down turns. In Kenya, the crisis translated to reductions in foreign remittances (including investments), stagnation of tourism as well as export related industries. Further, the economy was not as robust as had been anticipated – a challenge further compounded by the challenges posed by the aftermath of the 2007-8 post-election violence, prolonged drought, fluctuating exchange and interest rates as well as an increase in oil and food prices. To remedy the prevailing situation, the Government embarked on various measures including the adoption of austerity measures to contain Government spending and the implementation of the Economic Stimulus Programme tailored around labor-intensive construction projects. As documented in the subsequent chapter, it is perceived that this crisis may have partly contributed to the challenges faced by NEPAD with regards to resource mobilization from external partners as well as efforts to strengthen the Secretariat from Exchequer provisions.

### **2.4.2 Constitution of Kenya 2010**

In August 2010, Kenya promulgated a new Constitution that effectively repealed the one adopted at independence. The New Constitution of Kenya, 2010 provides a platform and springboard to improve the quality of life of Kenyans in line with the aspirations and goals of the NEPAD Kenya initiatives. It affords the country an opportunity to create new structures, and formulate fresh mechanisms designed to meet the needs and expectations of Kenyans in the 21st century. Some of the Constitutional provisions that had and continue to have direct impact on the implementation of the Sustaining Dialogue programme are: (i) The Bill of Rights (particularly promotion of equitable access to public services); (ii) Provisions on leadership and integrity; (iii) Provisions for reshaping Government including devolution to the county levels; (iv) Provisions on public financial management; (v) The provisions on Land and Environment; and (vi) Provisions on Representation of the people among others. These provisions relate directly to the findings of the 1<sup>st</sup> APRM Country review mission that was the basis of the sustaining dialogue programme as well as achievements noted in the 2<sup>nd</sup> Country APRM Report. As presented in the subsequent chapters, whereas it is recognized that to some extent there was



visible efforts to align the APRM activities with the Constitutional provisions in this phase of the implementation, more needs to be done to buttress the implementation of the Constitution of Kenya as a tool for the realization of the APRM ideals.

#### **2.4.3 Second APRM Country Review**

The 2<sup>nd</sup> APRM Country Review of Kenya was conducted during this phase of the programme. It commenced with a mission between 16th – 31st July 2011 with H.E. Prof. Amos Sawyer, former President of Liberia and member of APR Panel of Eminent Persons leading a team of distinguished African Personalities. The focal areas for the special review were restricted to: (i) Political governance pillar; (ii) Socio-economic development pillar; and (iii) overarching issues. The Review Team and the Panel of Eminent Persons finalized the draft Review Report which was received by the NEPAD Kenya Secretariat on behalf of the Government in November, 2011. In line with the operating procedures of the APRM Country Reviews, the NEPAD Kenya Secretariat steered a participatory processes of reviewing the report and subsequently developing the required documentation/plan of action. The second country review findings and recommendations, as well as related development of the National Plan of Action, as presented in the subsequent chapters, are evaluated to have informed not only the shape phase but also implementation of the ‘Sustaining the Dialogue programme’, during the January to March 2012 period.

## CHAPTER THREE: PROGRAMME EVALUATION

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### 3.1 EVALUATION FOCUS

#### 3.1.1 Results Architecture

As highlighted in the previous chapter, the overall objective of the programme during this phase of implementation was: ***“Improved governance through providing Kenyans with a structured platform from which to monitor, evaluate and influence public policy and programmes”***. To realize this, the four specific objectives articulated in the programme documents centered on: (i) Strengthen Capacity of NEPAD/ APRM Secretariat to implement its mandate; (ii) Resource mobilization; for implementation of APRM mandate; (iii) Facilitate the implementation of the APRM programmes for political stability, improved governance, high economic growth, sustainable development and accelerated sub-regional & continental economic integration and (iv) Monitor and evaluate the level of political stability & governance, rate of economic growth & sustainable development and level of sub-regional & continental economic integration.

It is against this overall and the specific objectives that this chapter presents the evaluation findings.

#### 3.1.2 Evaluation Criteria

In line with the Terms of Reference of the assignment, the review of the progress realized during the evaluation period, January 2010 – March 2012, focuses on determining the extent to which the programme objectives and outputs have been realized; identifies strengths and weaknesses in implementation with a view of identifying lessons learnt for the success of similar programmes in the future. More specifically the evaluation interrogated the progress realised based on the following framework:

***Programme Relevance:*** This entailed examination of whether the objectives of the programme were in line with defined needs and priorities as described in the “Sustaining the Dialogue” programme. In this regard issues explored included whether another programme strategy should have been preferred to better reflect stated needs and priorities. Additionally whether contextual issues were appropriately identified and addressed during implementation of the programme.

***Programme Effectiveness:*** This entailed determining the extent to which the programme was implemented as envisaged in the programme documents within the context of the overall objective, the specific objectives as well as per the terms of planned activities and management. Additionally, it entailed examining whether the programme specific objectives were adequate for the realization of the overall objective as well as whether the activities outlined were adequate for the realization of the set specific objectives. In this regard, to the extent possible, the evaluation sought to determine whether the programme was successful or not and what were the causal

factors. Further queries included whether there were any significant developments during the lifespan of the programme and their impact on the programme.

***Programme Design & Performance Assessment/Efficiency:*** this aspect of the evaluation focused on the extent to which the programme had included the targeted APRM issues, within the ambit of the Secretariat's mandate, from its inception and how this translated into practice. Additionally, questions asked sought to determine whether the programme, including its finances, human resources, monitoring, and oversight and support were managed efficiently. Finally the evaluation in this respect was designed to interrogate the role played by the implementing agency. Additionally also evaluated was the extent to which the recommendations and lesson learnt from the 2009 evaluation of the previous phase of the programme had informed the current phase of implementation.

***Programme Impact:*** the primary focus in this regard was determining to what extent was the realization of the programme objective(s) had an effect on the specific problem the programme aimed to address as well as what effect it had on the targeted beneficiaries. Further this facet of the evaluation examined to what extent the programme had caused and/or is likely to cause changes and effects, positive and negative, foreseen and unforeseen, in Kenya. To the extent possible, this aspect of the evaluation also tries to ascertain whether the programme is likely to have a catalytic effect and whether the needs of programme beneficiaries have been met.

***Programme Sustainability:*** with regards to programme sustainability, when evaluating the programme, the Consultant sought to examine to what extent the established processes and systems that were likely to support the continued implementation of the programme. In this respect some of the issues explored included whether stakeholders were willing and able to further ideals of the programme as well as whether the Secretariat could sustain the gains realized beyond the programme implementation period.

## **3.2 OVERARCHING ISSUES**

### **3.2.1 Realization of the Overall Objective**

As noted in the 2nd Country Review report, the governance environment in Kenya had improved to some extent, particularly due to the strides realized in the implementation of the Constitution of Kenya 2010. Since the promulgation of the Constitution of Kenya, 2010 the country has got a new lease of life in broad aspects of governance, which has been accompanied by transparency and accountability in the various spheres of public affairs. Although this progress in improved governance cannot be wholly attributed to the sustaining dialogue programme it is clear, from the evaluation of the programme presented in the subsequent sections that the implementation of the APRM programmes by the Secretariat contributed, to some extent, to the progressive realization of this goal of an improved Governance environment.

Indeed as noted in the 2<sup>nd</sup> Country review, commendable progress has been realized in the implementation of the reform agenda to improve Kenya's governance environment.

Further, as documented in the ensuing sections of this report, a platform for citizen engagement was put in place through the media and county engagements. These initiatives provided the required information and forum for citizens to engage in dialogue centered on APRM issues as well as for them to bring to the fore concerns that could be used to inform policy and decision making as well as implementation of Government of Kenya programmes and projects. That notwithstanding, it remains unclear as to whether this engagement is sustainable. This is because, as discussed in the later part of this evaluation document, no formal or enduring structures were evident.

The engagement, though useful, seems to be an ad hoc occurrence driven by the requirement for a country self-assessment as precursor to the undertaking of an APRM country review – in this case the 2<sup>nd</sup> Country review for Kenya.

### 3.2.2 Application of the 2009 Evaluation Recommendations and Lessons Learnt

The current evaluation sought to assess the extent to which the APRM programme sustained the best practices and incorporated the recommendations of this evaluation. Table 1 presents a summary of this assessment.

**Table 1:** Application of Recommendations and Lessons Learned from Previous Evaluation (2009)

2009 RECOMMENDATIONS	STATUS ASSESSMENT
Agenda 4 issues monitored	<ul style="list-style-type: none"> <li>◆ Captured as implementation of NPOA though not sufficiently incorporated in the APRM document.</li> </ul>
APRM link with Vision 2030	<ul style="list-style-type: none"> <li>◆ The programme adequately captured the three pillars</li> </ul>
Reconfigure institutional structure - decentralization of APRM; sustainable institutional and human capacity	<ul style="list-style-type: none"> <li>◆ Not fully realized - Weak structures for sustainable Institutional Capacity Building (ICB).</li> <li>◆ Decentralization of APRM is yet to be realized up to the grassroots level.</li> </ul>
Stable and predictable funding as well as strengthening ownership coherence and coordination	<ul style="list-style-type: none"> <li>◆ Basket funding and direct funding approach realized, but funding remained erratic and unpredictable.</li> <li>◆ No evidence of planned resource mobilization to strengthen ownership, coherence and co-ordination.</li> </ul>
Ensure strong political will and support	<ul style="list-style-type: none"> <li>◆ Data insufficient to qualify level and adequacy of political will and support</li> <li>◆ Amount of money received from government has</li> </ul>

2009 RECOMMENDATIONS	STATUS ASSESSMENT
	remained the same yet the needs of the APRM programme have increased.
Enable better communication, dissemination and networking (targeting, ICT leveraged)	<ul style="list-style-type: none"> <li>◆ Partial implementation of IEC activities.</li> <li>◆ Communication officer neither budgeted for nor recruited.</li> </ul>
Strengthen institutional capacity and development	<ul style="list-style-type: none"> <li>◆ Recommended additional APRM staff (M&amp;E and Communication specialists) not recruited.</li> <li>◆ Loss of three staff within the current evaluation period.</li> <li>◆ Capacity issue remained a problem and worsened.</li> </ul>
Develop participatory planning mechanisms – linkage at grassroots level (citizens and CSOs)	<ul style="list-style-type: none"> <li>◆ Weak structures for citizen participation in planning, implementation and evaluation at the grassroots level.</li> </ul>

### 3.3 EVALUATION OF THE SPECIFIC APRM PROGRAMME OBJECTIVES

The subsequent section presents an analysis on the progress in each of the four strategic objectives of the APRM programme. This discussion captures the achievements, short comings as well as the synthesis and way forward for each objective.

#### 3.3.1 Strengthening NEPAD/APRM Secretariat Capacity

The first programme objective was to: *Strengthen the Capacity of NEPAD/APRM Secretariat to implement its mandate*. This objective was to be achieved through recruitment and capability building of the Secretariat staff in order to enhance the Secretariat's technical capacity. This objective had also been identified during the first and second phase of the implementation of the Sustaining dialogue programme where it had been envisioned that development partner sponsored staff (a National coordinator, Programme Officers and United Nations Volunteers) would be recruited to complement the Government of Kenya sponsored staff in implementation of the programme. As noted in the previous programme review report (2009), the emerging challenges in ensuring the sustainability of the programme through staff retention and capacity building negatively impacted the full achievement of this programme objective.

The following table summarizes the actual NEPAD Secretariat staffing numbers by categories and funding support from 2010 to 2012.

**Table 2:** Summary of Staffing Numbers

YEAR	2010		2011		2012	
Category	GOK	UNDP	GOK	UNDP	GOK	UNDP
CEO	1	0	1	0	1	0
ECONOMISTS/FINANCE	1	1	4	0	4	0
HR OFFICER	0	0	1	0	1	0
ACCOUNTANTS	1	0	3	0	2	0
PROCUREMENT	0	1	0	1	0	1
ICT	0	1	0	1	0	1
SECRETARIES	1	0	2	0	2	0
DRIVERS	1	0	1	0	1	0
AUDITOR	0	0	1	0	1	0
<b>Total</b>	<b>5</b>	<b>3</b>	<b>13</b>	<b>2</b>	<b>12</b>	<b>2</b>

**Source:** NEPAD Secretariat

### **3.3.1.1 Recruitment of Officers**

As with all programmes, adequate staff is a cornerstone to the realisation of the targeted results. In this regard, the Secretariat had identified during this period its requirements to address the emerging gaps with regards to the staffing compliment. According to the work plans availed, the targeted initiatives were:

- (i) Recruitment of Finance Officer
- (ii) Retention of the Procurement Officer, Research Officer and ICT Specialist
- (iii) Recruitment of technical specialists for four focal areas: (a) APRM & Governance; (b) Gender & Social Development; (c) Development Cooperation & Aid Effectiveness as well as; (d) Research & Development analyst

### Achievements

With regard to the targeted development partner sponsored staff, the procurement officer and ICT specialist were retained during the entire reporting period, while one research assistant was retained during the 1<sup>st</sup> and 2<sup>nd</sup> quarters of year 2011. As shown in the table, the total number of staff by UNDP and GoK decreased during the first quarter of year 2012

To bolster existing staff capacity, the Secretariat engaged short term technical expertise to assist in the implementation of the NEPAD programmes when required. The Secretariat drew local and international expertise from the NEPAD continental secretariat, collaborating RECs and

other regional partners. The engagement approach entailed not only delivery of the required outputs but also working with the experts to facilitate skills transfer/capacity building to the NEPAD Kenya Secretariat staff.

### Shortcomings

The following officers, who should have been donor supported staff, were not recruited during the reporting period – One Finance Officer, 2 research officers and four technical specialists for four focal areas: (a) APRM & Governance; (b) Gender & Social Development; (c) Development Cooperation & Aid Effectiveness as well as; (d) Research & Development analyst. This indicates that the projected staff recruitment targets were not achieved, the consequence of which is inadequate capacity to fully accomplish programme undertakings. Indeed, interviews with development partners revealed that the NEPAD secretariat's capacity to effectively coordinate various agencies and institutions is constrained by a shortage of staff and there is need to increase this capacity considerably.

Additionally, although the programme documents intimate capacity building of staff, there is no evidence that a needs assessment was undertaken; neither did the implementation of a programme to bridge emerging capacity gap take place. From the evaluation conducted it however remains unclear whether the envisioned skills and knowledge transfer occurred as well as whether the short term technical expertise recruited was adequate. Additionally with regards to the Secretariat's capacity there appears to be gaps with regards to the extent to which the current institutional placement is adequate.

### Synthesis and Way forward

Given the progress realised in development partner sponsored recruitment/staff retention, shortcomings noted and enhanced staff capacity due to secondment of GoK staff, it is proposed that the Secretariat undertakes a needs assessment analysis in line with the new programme developed (Strategic Plan 2012 – 2016 and NPoA based on the 2<sup>nd</sup> Country review). Subsequently, based on the findings, it is proposed that a phased capacity building programme be developed and implemented. It is envisioned that this will most likely include: (i) Staff recruitment; (ii) Training of staff to enhance/build the required competencies and (iii) engaging technical assistance on an as is needed basis. The very first step would be to codify the competences required and subsequently undertake a competency profiling to assess skills, knowledge and attributes. It will be critical to review existing competencies against emerging critical skills in an attempt to phase out any obsolete skills and revamp relevant ones. Deliberate steps will be required to orientate existing and newly recruited staff to ensure that they continually acquire skills which support the delivery of their mandate. Continual leadership development will also be critical.

### **3.3.2 Resource Mobilization for Implementation of APRM**

The second programme objective was: *Resource Mobilization for implementation of APRM mandate*. As earlier noted, the proposed financial management for the programme was three pronged in approach. The first envisaged approach was the Basket Funding managed by UNDP under the national execution (NEX) modality. This component targeted partners who place funds in a common pool or basket, and do not earmark these funds to particular activities. The second approach involved direct funding for the partners who participate in the programme through provisions of specifically earmarked funds and may not participate in the basket for legal, strategic or management reasons. The other envisaged option was the Mixed Funding targeting partners who provide funds in a mix of basket and direct funds.

It should be noted that not much information could be derived from the review of documents on this objective. The related outputs, indicators, targets, planned activities and progress made for this objective were missing in the AWP and progress reports available. This is in spite of the fact that resource utilization cuts across all areas of the programme.

The available information shows that the main sources of funding during the evaluation period were mainly UNDP, SIDA and the Government of Kenya. During the period of evaluation, there was no new donor into the basket funding. The difficulty in resource mobilization was reflected in the frequent postponement of the planned activities including inability to recruit technical staff for some critical positions. Worse still, the inability to secure basket funding from UNDP in 2010 considerably crippled the activities planned for the year. This therefore means that during the period of review (2010/2011/2012[Q1]) APRM programme had serious drawbacks in resource mobilization especially in 2010.

#### *Achievements*

This objective was to be achieved through the basket funding approach with UNDP and SIDA as the only contributors. The GoK provided funds for recurrent and development expenditure. This represents an important direct funding component. The cumulative financial performance of the programme from 2010 until 30<sup>th</sup> March 2012 is depicted in table 3.

The human resource mobilization for the programme is covered under the preceding objective of this report on strengthening the capacity of the Secretariat.



**Table 3:** Cumulative financial performance Jan 2010 - 30<sup>th</sup> March 2012

Source of Funds	Cumulative Budget			Cumulative Expenditures			% of Expenditures/Budgets		
	2010	2011	Q1 2012	2010	2011	Q1 2012	2010	2011	Q 1 2012
UNDP Basket Fund	-	24,475,836.91	-	-	24,475,836.91	-	0-	100	0
GoK Recurrent & Development <sup>4</sup>	43,000,000	63,000,000	10,750,000	43,000,000	63,000,000	10,750,000	100	100	100
IDP-Grant World Bank	-	-	-	-	-	-	-	-	-
Total	43,000,000	87,475,836.91	10,750,000	43,000,000	87,475,836.91	10,750,000	-	-	-

**Source:** NEPAD Secretariat

During the period under review, for the two forms of funding sources namely the basket funding (donors) and direct funding (GoK), development partners gave Kshs. 24,475,836.91 for development expenditure while Government provided Kshs. 116,750,000 for both recurrent and development expenditure. UNDP was responsible for management of the basket funds i.e. ensuring that the allocated resources for each Annual Work Plan are utilized prudently in funding the envisaged activities. Through funding of programme activities, the civil society (CSO's, PSO's and citizens) have been involved in the programme and their engagement been fairly systematic.

### Shortcomings

One outstanding shortcoming was delays in cash transfers /disbursements to NEPAD secretariat. On various instances it is noted that cash transfers to the programme were often outside the quarter cycles and extensive time lapses between requests by the secretariat and actual disbursement from UNDP were often experienced. The secretariat identified the lack of consistency in cash transfers and prolonged delays as a major challenge in timely and effective implementation of programme activities. It was also noted that the amounts allocated vis-à-vis amount requested (especially from government) was inadequate.

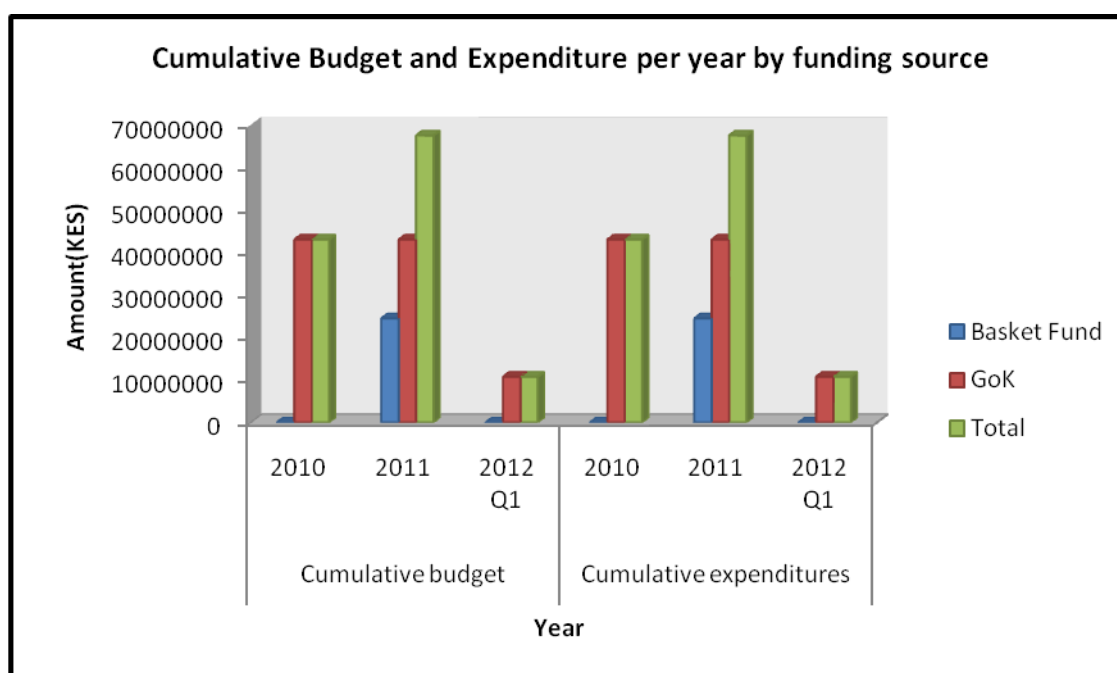
Other primary data on resource mobilization indicated an over reliance on development partner funding and a lack of commitment by the GoK with regards to resource allocation. The sentiments expressed were that direct funding by the GoK towards the APRM has been nominal and the support is skewed unfairly to the disadvantage of development partners. This is resulting in waning support for the APRM programme by development partners. It appears that the level

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<sup>4</sup>Under the GOK Recurrent vote, the secretariat received Kh 43,000,000 each for the three financial years for both NEPAD and APRM activities. However during the year of review 2011, the secretariat received additional approximately Kshs 20 Million to undertake the second country review.

of government support has not been inspiring for the development partner community and has thus dampened their willingness to continue with funding in future.

The Development Partners (DPs) expressed concerns over the lack of government commitment to the APRM. As a result, it was noted that funding organizations such as SIDA are reluctant to be involved beyond 2nd country review. For instance, it was observed that the budget allocation to APRM from government mainly covered operational cost and salaries (as is reflected on table 3). Another source of trepidation for the development partners was that the government was not taking up the leading role in the APRM process. The general feeling among the DPs is that there is a lack of ownership of the programme in government circles. However, the implementing agency observed that there was sufficient political will during the implementation of the programme. This was illustrated by the fact that; the 2nd Country review was launched by H. E the President and the Prime Minister, the Focal Point Minister's support and guidance was evident and all the technocrats (Government Technocrats, Permanent Secretaries and relevant MDAs) played visible roles during the review process. The cumulative budget amount and expenditures for the period covered by the evaluation depicted in figure 3 may be indicative of the declining donor funding support.



**Figure 3:** Cumulative budget and expenditure per year by funding source

Additional shortcomings were the unavailability of funds from the basket fund for a whole one year in 2010 and the inability to attract more donors during the period of evaluation. It was however noted by the DPs that the current CEO of NEPAD has succeeded in soliciting for more funding and created a renewed interest in the programme.

It was difficult to determine the exact use of financial resources for particular activities from the financial reports produced by UNDP system. The system captures broad expenditure categories e.g. “procurement of technical assistance” which are very difficult to relate to specific objectives and initiatives of the programme. Besides, the Secretariat as the implementing agency did not to

have a financial tracking system that maintained records and controls for the purpose of ensuring the accuracy and reliability of the Annual Work Plan's financial information. It was also noted by the DPs that the APRM work plans are too broad.

### *Synthesis and Way forward*

Given the fact that resource utilization cuts across all aspects of the programme the trend observed in the foregoing discussion is likely to greatly weaken the programme resource base and work against the achievement of its overall objective. The lack of a documentation of identified specific objective targets, output, indicators and planned activities for achievement of this objective of the Sustaining the Dialogue programme, inhibits the comprehensive summary of analysis. However the consultant makes the observations that; (i) the three pronged funding approach is appropriate for complementarity of resource sources (ii) with regard to financial resources, in the period covered by the evaluation some implementation challenges of the APRM mandate were encountered due to inaccessibility and inadequacy of funds e.g. funds for publishing NEPAD/APRM newsletter-yet this is a major tool for dissemination of the APRM activities and achievements which can in turn attract potential development partners and (iii) in view of the decentralized/devolved governance system, it is envisioned that the implementation of the APRM mandate will increase in scope and complexity. As a result, more financial support will be required rendering the resource (financial or otherwise) component, a high priority constituent of the APRM programme.

Given the progress realised with regard to resource mobilization continuous efforts need to be effected to ensure an expanded resource base. Subsequently, based on the findings, it is proposed that a resource mobilization strategy be developed and implemented by the Secretariat in consultation with the government, partners and other stakeholders. From the findings it is envisaged that this will most likely include: (i) increased government resource allocation; (ii) outlining resource mobilization strategies, outputs, indicators, planned activities and progress made in the AWP's and progress reports (iii) broadening of the resource base by mobilizing more development partners to come on board and (iv) lobbying and advocating for the recruitment of APRM coordination officers/directors at the Secretariat and at regional levels in whole country.

Based on the foregoing, the government should demonstrate commitment, take ownership as well as provide the required leadership for the APRM process. An increment in the level of government support would be inspiring for the development partner community and thus rejuvenate their willingness to continue with funding in future. The sentiment of development partner organizations is that the government needs to demonstrate greater financial support towards the APRM so that development partners simply step in to complement government efforts. Additionally, a financial tracking system ought to be put in place at the Secretariat. Taking into consideration the current resource capacity, there might be a need to have narrower and more specific focus of the AWP's.

### **3.3.3. Facilitate implementation of APRM programmes**

The third programme objective was to: *Facilitate the implementation of the APRM programmes for political stability, improved governance, high economic growth, sustainable development and accelerated sub-regional & continental economic integration.* This objective was to be achieved through enhancing the awareness and understanding by non-state actors of development and reform programmes, as well as institutionalizing a platform for citizens to participate in planning processes. It was envisaged that citizen participation would also entail monitoring, evaluating and influencing public policy and programmes created, in effect therefore, linking non-state actors and government bodies at the sub-national level into national planning. As part of this objective, it was intended that the 2<sup>nd</sup> Country Review would be finalized and both the country response and National Programme of Action (NPoA) would be developed. A final output under this objective was to develop a concise and comprehensive three year NEPAD/APRM work plan for implementation of the APRM recommendations and the NPoA.

#### **3.3.3.1. Enhanced awareness and understanding of Non-state actors**

Increasing awareness and understanding of development and reform programmes by non-state actors empowers them to participate in the policy making, implementation, as well as monitoring and evaluation process. Critical to the achievement of this is enhancing the engagement with media and other non-state actors. According to the work plans availed, several activities were planned to achieve this endeavor including:-

- (i) Implementation of the IEC&A (Information, Communication, Education and Advocacy) strategy and executing the implementation plan for the APRM programme
- (ii) Conducting a media briefing on the 2nd Country Review
- (iii) Publishing of NEPAD/APRM Newsletter

#### **Achievements**

Activities to enhance awareness on the APRM Programme was carried out through the half year period from June – December 2011, during and after the 2nd APRM Country Review, where citizens participated actively and engaged the review team during Focus Group Discussions (FGDs) which were held in the Counties. The programme, with regard to design and the activities implemented, took into consideration, the significance of public involvement. However, from the documents availed, it was difficult to assess with accuracy, if the interests of all the diverse groups were represented in this exercise. Nonetheless, citizen participation has been one of the notable achievements of the programme, as confirmed by representatives from UNDP and SIDA during an interview, who asserted that the programme has expanded democratic space for the citizens, providing them an opportunity to air their views and contribute to policy issues.

Notably, a media briefing on the 2nd APRM Country Review was held during the 2nd quarter of 2011 as scheduled in the Annual Work Plan (AWP) and published on the NEPAD Kenya website and the Planning Bulletin.

### Shortcomings

The implementation of the APRM IEC Strategy, initially slated for the year 2010, did not materialize due to inadequate funds. The lack of funding further meant that the Secretariat was unable to access funds for publishing the NEPAD / APRM Newsletter. The publication of the NEPAD/APRM Newsletter was thus put on hold during the year 2011. The failure to accomplish these two important components had a negative impact on the efforts to improve awareness and understanding of the APRM by the public and other stakeholders. Yet, meaningful engagement from stakeholders, and especially the non-state actors, can only be achieved in an environment of high level awareness and understanding. This concern was underscored during interviews conducted with representatives from development partner agencies who noted that the level of awareness of NEPAD/APRM activities among the public is still low. They noted that whereas regional consultations with various stakeholders and actors were done well, the programme could have done better in creating awareness through the media. They also felt that there is need to enhance NEPAD's visibility because the level of awareness about NEPAD and the APRM among the ordinary citizen remains low.

Whereas citizens participated actively and engaged the review team during FGDs which were held in the Counties, this did not insure that their views were heeded by the policy development agents in government. In addition, whereas it was envisaged that citizen participation would entail monitoring and evaluating public policy, the strategies presented in the work plans fail to show how this would be achieved. The activities outlined, such as citizen's participation during FGDs held in the Counties, were insufficient to empower them to continually monitor and evaluate public policy.

### Synthesis and Way forward

Even though the activity to enhance awareness on the APRM Programme was carried out through the half year period from June – December 2011, there is need to follow this up with a systematically conducted survey to establish the level of awareness of the APRM programme. The possibility of carrying out an impact assessment on the benefits of enhanced awareness should be explored in the long term.

For sustainability and increased engagement with the public, there is need to consider the formation of stakeholder forums that meet regularly. Such consultation and engagement mechanisms however, need to be institutionalized for sustainability so that the stakeholder forums do not exist purely on the basis goodwill. In addition to this, there is need to develop an Information, Education and Communication strategy aimed at continuously creating awareness

and informing the public about APRM Programme as noted from interviews with representatives from donor agencies.

Additionally, there is need to ensure that there is value for money spent on communication. An evaluation of the relative effectiveness of each media platform should be undertaken and the results used to inform decisions on future expenditure for dissemination. Related to this is the need to package the dissemination into a form that ensures maximum reach at the grassroots as well as the target beneficiaries-the citizens. A key strategy to achieve this would be to translate content into the national language (Kiswahili) and the various ethnic dialects that are spoken in the country. In addition, it will be necessary to consider the production of the same documents in simpler and popular versions for the ordinary citizens.

As part of the awareness campaign, the APRM programme needs to take advantage of the social media. Social media such as twitter, face book and blogs have been shown to be effective in keeping messages fresh in people's minds as well as in ensuring information stays relevant in the current culture. Considering that people, and especially the youth, share information with their friends and family, having a good presence online will help to increase both NEPAD's and the APRM programme's visibility. Social media could be used for not only reaching and engaging the audience, but also to create a momentum and build a community with interest in the NEPAD and APRM cause. These tools could additionally be used to provide updates, and to build solid relationships and connections with people who develop an interest in the programme. What's more, as part of the monitoring and evaluation effort, the social media could be used to monitor the impact of APRM programme activities.

For citizen participation to be meaningful, it is necessary to ensure that their views are heeded by the policy development agents in government. When participation is restricted to the ventilation of opinions, such that there is no follow-through, there can be no assurance that their contributions will influence a change in the status quo. In addition, failure to follow through leads the citizens to perceive placation, which results in apathy and threatens sustainability of participation.

The failure of the APRM IEC&A Strategy to materialise in 2010, and to be completed in 2011 due to inadequate funding, coupled with the failure to conduct an APRM sensitization workshop with the media for the same reason, is suggestive of low mobilization of Exchequer as well as development partner funds and underscores the need for fund mobilization to be stepped up to guarantee timely accomplishment of the various planned activities.

It is also apparent that the unpredictable and insufficient development partner funding has weakened the programme's capacity to execute activities and achieve targets. Auspiciously, however, financial performance of the programme in 2012 signifies an improvement in funds mobilization, a positive development that needs to be sustained. From interviews conducted with UNDP and SIDA representatives, it was observed that there has been an outstanding improvement in networking with both state and non-state actors in the recent past.

This is deemed to result in a renewed interest in APRM by development partners and other non-state actors. As earlier indicated, the respondents noted that the current NEPAD Secretariat leadership has demonstrated impressive ability in engaging stakeholders and in fundraising for the APRM programme. However, they also noted that whilst this is laudable, there is need to put in place institutional structures that will guarantee that such gains are sustained even with change of leadership.

### **3.3.3.2. An Institutionalized Platform for Citizens' Participation**

Output two for this objective was: *An institutionalized platform for citizens to participate in planning processes as well as monitor, evaluate and influence public policy and programmes created linking non-state actors and government bodies at county level into national planning and implementation processes.* The major indicators for the assessment of this output (2) are as follows:

- (i) Enhanced engagement with non-state actors on APRM.
- (ii) Enhanced citizen participation in policy making and governance programme development

To accomplish these, several specific activities were planned under this output, and are defined in APRM matrix for the period January 2010 to March 2012, broadly as including; (i) Undertaking the 2nd country review and (ii) Identifying county platforms for dialogue (iii) Holding country dialogues in preparation for the 2nd country review and dissemination of the APRM report on key governance reform progress.

During this period, the programme targeted to undertake the 2nd country review, present the report before the APR forum and subsequently, publish and disseminate it. This would culminate with the Kenya review report being tabled and discussed at the APR summit of the 2012. According to the AWP the review process would entail conducting media activities, county forums, sectoral meetings in Nairobi and post review activities before finally publishing the report. All these activities were to be conducted by the NEPAD/APRM Secretariat with a budgeted amount of US\$636, 648.88 and funded jointly by GoK, UNDP and SIDA.

#### Achievements

The 2nd APRM country review, which took off in the month of July 2011, was successful, with the 1st phase of the review being completed and a draft received by the NEPAD secretariat on 21st November, 2011.

The sub-national level dialogue forums were held in preparation for the 2nd country review and the review successfully took off in the month of July 2011. Post Review activities commenced in the month of November 2011 after the draft 2nd APRM Country Review Report was received and this spilled over to the following year as the validation exercise went on in consultation with the GoK among other key stakeholders before the Peer Review of Kenya in June 2012.

Thus, the programme was able to achieve enhanced engagement with non-state actors on APRM. Secondly, citizen participation in policy making and governance programme

development was enhanced through county dialogue forums. According to the views of UNDP and SIDA representatives from interviews conducted, the greatest achievement of the programme was to be found within the area of stakeholder participation in debating policy issues. It was observed that the meetings that were held with Community Based Organizations (CBOs), Civil Society Organizations (CSOs), local authorities, and people at the grassroots proved to be highly stimulating and useful for gathering information. It was felt that through programme activities, the CSOs, Private Sector Organizations (PSOs) and citizens have been sufficiently involved in the programme and their engagement been fairly systematic.

It was also noted by development partner representatives during the interview conducted that the Kenya government must be given credit for allowing Kenyans to enjoy substantial democratic space. This has facilitated the free expression of ideas and views among the citizens, with the effect that stakeholder participation forums attract vivacious discussion.

### Shortcomings

The Second Country review according to the Development Partner Supported APRM matrix for January–March 2012 should have been completed within the 2nd to 3rd quarters (April–September) of year 2011, indicating a slight delay in process. Post review activities commenced in the fourth quarter period (October–December, 2011), which similarly, reflects a delay, as this should have been accomplished within the 2nd and 3rd quarters. In sum therefore, whereas these were successfully initiated, it became necessary to continue them in 2012 owing to the delays experienced.

In the year 2010, APRM 2nd Country Review related activities such as District & Provincial Forums, sectoral meetings in Nairobi and post-review activities were also not conducted. This was mainly due to the postponement of the APRM 2nd Country Review. During the 3rd and 4th quarter period of 2011, the programme targeted at identifying county platforms for dialogue through selection of areas for continued dialogue on the APRM process. This component was to be implemented by NEPAD/APRM and the Ministry of Planning at a budgeted cost of US\$49,536 to mainly meet administrative and accommodation costs and to be funded by the GoK. The relevant progress reports do not explicitly highlight the activities that were undertaken in identifying county platforms for dialogue, and this might explain the resultant postponement of the process in the 4th quarter of 2011.

### Synthesis and Way Forward

The identification of county platforms for dialogue could have been scheduled for Q1 and Q2 of 2011 to go hand in hand with the County dialogue forum. This would have been not only cost effective, but also allowed more time for completion of the activity and probably averted the failure to accomplish it.

Whereas the county forums provide a useful milieu for citizen participation, a more grassroots-oriented approach that works upwards by building from the village level could guarantee wider



and deeper permeation of citizen participation. Establishing such mechanism could be expensive at the onset, but would provide greater prospects for sustainability.

Whereas citizen participation in policy making and governance programme development might have been enhanced through county dialogue forums, there is no evidence to suggest that institutionalized platforms for citizens' participation were established. The county forums that were held could have provided an arena for citizens to ventilate their concerns, but these essentially remain ephemeral, as they were not deliberately structured, established parts of a social system, or as formal democratic devices to provide citizens with a formal role in decision-making. To institutionalize participation, it will be necessary to entrench community participation in local governance structures and functions. Establishment of a system of participatory democracy at the local level in the form of Ward Committees and constituency committees is one such strategy.

There is need for continuous stakeholder monitoring and evaluation to be institutionalized through the establishment of active and effective stakeholder reference groups. Such groups should have inbuilt mechanisms for capturing the concerns of diverse stakeholders. To further empower citizens to be able to contribute meaningfully in monitoring and evaluating public policy, it is imperative that a continuous awareness campaign on development and reform programmes, targeting members of the public at the grassroots level, be initiated to ensure meaningful and informed contribution to the process. A major development in Kenya through which citizen participation in development can be enhanced and achieved is the County and district governments. The new constitution of Kenya provides for devolved government through these structures, and gives powers of self-governance to the people as a way to enhance the participation of citizens in the exercise of the power of state. These structures of devolved government can be utilised as a vehicle to promote citizen participation in planning processes and in influencing public programmes. An opportunity exists here for the NEPAD programme to take advantage of the structures as an entry point through which citizens could be given an increased voice in the allocation and management of devolved funds, thus enhancing their participation in policy making and governance. In addition, appropriate fora such as town-hall meetings should be established in counties to enable the public to engage local leaders in critical local governance issues.

### **3.3.3.3. Finalization of the 2nd Country review & NPoA**

The major indicator for the assessment of this output was the timely submission of the country response. During the January 2010 to March 2012 period, the programme target was to table and discuss the Kenya review report at the APR summit of 2012 at the AU. To achieve the expected output, the following activities were planned for the period, but all of which were confined to Q1 of 2012.

- (i) Validation of the country review report with state actors and development of the country response and NPoA.
- (ii) Consultative fora with non-state actors to validate the CRR and provide input to the country response and the NPoA
- (iii) Hold a forum with permanent secretaries and senior government officials to validate the CRR and finalize the country response and NPoA
- (iv) Organize for a national stakeholders' conference for final validation of CRR, country response and NPoA
- (v) Government participation at the APR summit at the AU for peer review of Kenya in Addis Ababa.

According to the NEPAD /APRM Kenya Secretariat Work Plan for January-June 2012, the Validation of the country review report with state actors would involve the APRM National Governing Council (NGC), technical focal point ministries, departments, agencies and relevant commissions. This is a prudent strategy to ensure a broad based process that enhances ownership, and increases depth and validity of content. The planned validation of the CRR with non-state actors would adopt the same approach, bringing in private sector associations, FBOs, special interest groups, minorities and marginalised groups, youth, women, and opinion leaders.

#### **Achievements**

The Forum with Government Officials to validate the CRR was undertaken, an important step in the process, to ensure the GoK, the key actor in the whole APRM process, both endorses and participates in the CRR. Additionally, the NEPAD Secretariat successfully completed the process of developing a draft NPoA and Country Response Report on the Draft 2nd APRM Country Report for Kenya. Further, the Government participated at the APR Summit at the AU in Addis Ababa, paving way for Kenya to be Peer Reviewed at the next AU Summit in January 2013 in Addis Ababa, Ethiopia.

#### **Shortcomings**

During Q1 of 2012, county visits to disseminate the 2nd Review Report to the public for views and comments were not conducted. A national stakeholders' conference for final validation of the country response was not held. In addition, the NPoA has not been finalised and validated by stakeholders. This is a critical shortcoming that needs to be addressed urgently and decisively

as the NPoA forms an important basis for both the planning and implementation of APRM activities

During interviews conducted with representatives from development partner agencies, it was observed that many of the pertinent issues raised in the 1st country report were never fully addressed. For example, the Agenda 4 long-term issues that were highlighted were not sufficiently addressed by the government and continue to simmer dangerously below the surface. It was noted that the process needs to go beyond the publishing and dissemination of findings to the level of policy formulation and actual implementation.

Other extraneous factors have continued to constrain APRM activity. Development Partner representatives observed that the cracks that emerged in government soon into the post 2007 election parliament affected the implementation of the CRR as political struggles took center stage at the expense of other development issues such as the APRM programme. In addition, DPs expressed the concern that restructuring of government ministries after 2008 may have pushed the APRM issues into background, as there seemed to be a reduced level of commitment to them. Significantly, the level of commitment from government seems to have gone down.

#### *Synthesis and way forward*

Considering that citizen participation forms a central part of the APRM objectives, county visits to disseminate the 2nd Review Report to the public for views and comments should be accorded priority among the pending activities. Once scheduled, there is need for intense and effective awareness campaigns on this activity that will both ensure maximum reach at the grassroots level, and which also generate interest among citizens. The profile of the national stakeholders' conference for final validation of the country response that will subsequently follow county visits should be raised to ensure the full participation of government representation at the highest level as well as all key stakeholders. In particular, CSOs participating at the conference should be persuaded to adopt the issues raised as core agenda for their programmes. Lastly, the validation and finalization of NPoA needs to be addressed urgently and resolutely as the NPoA forms an important basis for both the planning and implementation of APRM activities.

In view of the fact that many of the pertinent issues raised in the 1st country report were never fully addressed, it is necessary for the APRM programme to instigate a platform that that can agitate for the accommodation of NPoA in policy

### **3.3.4 Monitoring and Evaluation**

The fourth programme objective was to: *Monitor and evaluate the level of political stability and governance, rate of economic growth and sustainable development and level of sub-regional & continental economic integration.* To ensure successful operationalization of the implementation framework an M&E system was developed. This system was used for tracking implementation of all NEPAD/APRM programmes. The M&E system envisaged three main approaches including quarterly reports, annual progress reports, and field visits. The overall responsibility of M&E was tasked to the Programme Executive Group (PEG). The PEG included the Chief Executive-NEPAD Kenya Secretariat, National APRM Coordinator, the UNDP Resident Representative and representation from donor agencies who contribute to the basket fund as need may be. It was planned that the PEG was to meet at least after every three months. The PEG was to monitor and evaluate the progress of the project and review the financial commitments. The quarterly and annual reports were to be both technical and financial.

The overall goal of monitoring and evaluation in the implementation of various activities is to provide quality performance information for decision making. The APRM M&E was based on a framework which consists of various components. The various components included in the progress reports were the expected outputs and indicators, planned activities, actual achievement and progress made, pending issues/reasons for adjustments as well as the financing. The AWP focused on Expected outputs, baseline, associated indicators, annual targets, planned activities, time frame and the planned budget. The indicators, baselines and targets were on; (i) Objectives in the Strategy Matrix and (ii) Activities in the Implementation Matrix of the APRM programme.

#### ***3.3.4.1. Monitoring Responsibilities***

The responsibilities for monitoring the various activities were based on the following guidelines: (i) It was the ultimate responsibility of top Management (PEG) to monitor the overall performance of NEPAD Kenya secretariat in the implementation of the programme; (ii) It was the responsibility of technical officers in-charge of projects and programmes to monitor the performance of their areas and (iii) The NEPAD Kenya secretariat constituted a Monitoring and Evaluation Committee (MEC) whose responsibilities were to (a) develop a reporting template and other Agency M&E instruments; (b) receive reports, analyze, summarize and consolidate them and forward them on a timely basis to CEO as per specific timelines; (c) develop mid-term, end term and ad hoc evaluations and (d) report on performance contract targets and also to respective development partners.

#### ***Achievements***

The strategies identified during the period were implemented within existing Secretariat structures at departmental, sectional and individual levels. In addition, regular departmental/sectional meetings were held to address emerging managerial and operational issues as well as policy matters. During the meetings review of performances, challenges met and

planned projections were discussed and harmonized. Another achievement was the development of AWP and progress reports. From the documents provided, there is evidence of periodic reporting of planned activities showing actual achievements and pending issues and reasons for adjustments.

### Shortcomings

There was no proper documentary evidence of internal M&E. The available M&E documents were not complete. For instance it was not possible to access all the nine quarterly reports and the complete two annual plans. This is an indication that the M&E system was weak. And as was noted in the 2009 evaluation report, this could partly be attributed to lack of a qualified M&E expert within the APRM structures. The situation was made worse by the inability to recruit technical staff in charge of research and finance for the year 2010 and beyond.

It was also noted that in the programme proposal there were to be both technical and financial reports. However, there was no evidence of separation of the two reports either for the quarterly reports or for the annual report. These anomalies may be as a result of weaker capacity and the lack of proper imparting of requisite skills to the APRM staff. Another shortcoming was the lack of a joint technical/oversight committee. While the Implementing Partner is responsible for ensuring that allocated resources for the Annual Work Plan are prudently utilized, the absence of a Joint Committee comprising UNDP and NEPAD secretariat team to provide oversight on general policy and technical direction on issues of implementation was noted. As is common practice with management of other basket funds, such joint committees meet on quarterly basis or when need arises to review performance of a projects and approve AWP. One or two of such Quarterly Technical Committee meetings are dedicated for Joint Review Missions of the programme implementation. There is no evidence that such meetings were undertaken.

### Synthesis and Way forward

The AWP and progress reports are valuable tools for measuring progress. However, the evaluation noted that there is a lack of consistency in the composition of the progress reports especially those of 2010 and 2011/2012. It is imperative that a common reporting template is adopted and maintained since this greatly enhances comparisons in progress even for future purposes. Furthermore, a consistent M&E framework will foster a stronger connection between the APRM process and; citizen in whose name it is being undertaken (through outreach by government, media and civil society); the political class (through policy planning processes, parliament and political parties) and to the wider African and international community (through the structures under which development assistance is channeled).

### ***3.3.4.2 Amenability of Objectives to M&E***

The M&E strategy is effective when the objectives must endear themselves to the M&E strategy. As a rule the objectives must be Specific, Measureable, Attainable, Reasonable and Time Bound (SMART). The evaluation sought to review the objectives against these principles.

**Specific:** This component seeks to answer the question “What exactly are we going to do and for whom. An objective thus needs to tell us what will change for whom in concrete terms. In some cases it adds more value to indicate how the change will be implemented e.g., through training. The objectives of the programme used some verbs that are hard to measure such as strengthen, enhanced and institutionalized. The use of the word to strengthen capacity is confusing since it is not clear whether the capacity strengthening will be by training or by recruitment. A close look at what was done shows that the programme only recruited more staff and not much was done on skills improvement. It is not clear how the strengthened capacity would be measured and not much was shown as the existing situation in the baseline.

Objective two sought to “enhance awareness” which is also a verb hard to measure. The benchmarks and targets for this objective were not put in place and it is not clear how enhanced awareness would be measured. In any case the baseline figures were not indicated. The use of the words “increase” with specific numbers or percentages would have been appropriate.

With regard to the third objective it is not clear what would be done with “an institutionalized framework”. Was it to put in place or just to have an ad hoc platform for specific and targeted policy issues?

Overall, it can be said that the objectives need to pay keen attention to the M&E process. This underscores the need to strengthen the NEPAD/APRM monitoring and evaluation capacity and skills.

**Measurable:** When setting objectives it is important to keep asking the question “is it quantifiable and can we measure it? This refers to the ability to count or otherwise quantify an activity or its results. It requires that the source of and the mechanisms for collecting measurement data are identified, and that collection of these data is feasible for the programme and partners. As a rule, a baseline measurement is required to document change (e.g., measure percentage increase or decrease). In circumstances where baseline is unknown or will be measured as a first activity step, then it should be indicated and source specified. In the current programme under review, there was no indication of baseline and how to measure the observed changes. It is therefore concluded that the entire design was weak in this regard. It is not clear how each of the objectives would be measured to show change.

**Attainable/Achievable:** The critical check of objective is to ask the question “can it be done in the proposed time frame with the resources and support available? Aligning objectives with the available resources and within the programme’s control and influence is important. This will help in setting up targets that are within the reach of the programme. An assessment of the

programme shows that it had a very wide scope with limited resources. The scope and area of operation was too big given the resources available. It would have been appropriate to have selected a few districts or counties instead of focusing on the whole country. It was not clear how many districts were targeted in the objectives yet the reports show that the programme only reached some districts. Starting from a few districts and thereafter, cascade to more districts and counties would have been better and appropriate approach especially for M&E.

**Relevant:** Every objective in a programme should seek to answer the question “will it have an effect on the desired goal or strategy? This therefore means that the objectives must relate to the overall goal of the programme or purpose of intervention. The assessment of the objectives of the program under review shows that there was a strong relationship with the overall goal. Nonetheless, strategies for implementation and evaluation were weak and not very clear.

**Time Bound:** In identifying the programme objectives it is crucial to set timelines within which the objectives will be met. A specific and reasonable time frame should be incorporated into the objective statement. As a general rule for setting the time frame, considerations must be made of the environment in which the change must be achieved, the scope of the change expected, and how it fits into the overall work plan. The programme under review was weaker in this regard. None of the objectives had time frame incorporated though the planned activities were scheduled within specific quarters. Moreover, no quantities were attached to any time frame. This is an omission that has serious negative implications for the M&E plan.

Box 1 contains a proposed improvement of sub-objective 3.

**Box 1: Proposed improvement of sub-objective 3**

Increase awareness and understanding of development and reform programs by non-state actors in 15 counties across Kenya, making them more empowered to participate in the planning process through advocacy and training by 30 percent in four years (Baseline to be determined by first six months).

### **3.4 OVERALL PROGRAMME EVALUATION**

The subsequent section presents a synopsis of the programme evaluation undertaken on the implementation of objectives of the APRM programme and related outputs with regard to effectiveness, relevance, project design and performance assessment/efficiency, impact and sustainability.

#### **3.4.1 Relevance**

The objectives of the programme were generally in line with defined needs and priorities as described in the “Sustaining the Dialogue” programme. The programme was initiated with the overall objective of creating good governance and realization of rights. It aimed at engaging both the duty bearers and the right holders in a productive dialogue that would enhance monitoring and evaluation of policy formulation and implementation. The programme was relevant to the Kenyan community given that issues touching on poor governance were identified as the possible underlying causes of the persistent inequality, conflict and the subsequent culmination into the violence witnessed in the post 2007 elections. It focused on the enhancement of awareness and understanding of development and reform programmes by non-state actors, and was underpinned by de-centralized and participatory development.

Indeed the programme base document clearly articulated these issues alongside other pertinent governance issues. Moreover, the enactment of the Kenya Constitution, 2010 heralded a new constitutional order that required a renewed effort in awareness creation on citizen engagement. From the interviews conducted with UNDP and SIDA representatives, it was noted that the APRM programme is particularly relevant in light of the promulgation of a new Constitution which provides a platform for strengthening of accountability, and enhanced participation of citizens through devolution. The respondents observed that the new Constitution empowers citizens, setting the ground for more citizen-centered governance. Programme development partner agencies observed that, generally, local forums that were conducted as part of the review process, revealed high level of awareness and articulation of issues such as unemployment, youth and women empowerment, Constituency Development Fund (CDF), cultural prejudices and poverty among others.

NEPAD Kenya secretariat is the outfit in the government structures charged largely with the responsibility of tracking the government performance in four key areas of NEPAD. In order to effectively discharge its duties through the APRM program, there is need to strengthen the capacity of its staff. Since the Secretariat required adequate personnel in terms of numbers, attitudes and competencies, the intention of recruiting and retaining eight additional staff was indeed a welcome idea.

Overall, the programme overall goal and objectives, were in line with the mandate of NEPAD Kenya Secretariat and to a greater degree the immediate needs of the citizenry. Besides, the specific objective targets, outputs, indicators and planned activities identified were key to the implementation of the Sustaining the Dialogue programme.



### **3.4.2. Effectiveness**

The major aim of every programme is to achieve its goals and objectives. As noted earlier, the programme was hinged on four main objectives. One of the objectives was to enhance the capacity of NEPAD Kenya Secretariat to effectively implement the APRM program. This objective was partially realized since not all the expected staff were recruited and retained. As of 2010, the programme had most of the key staff as anticipated in the base document. However, at the end of the same year (2010) the programme lost three of its key staff who were not replaced for the entire period under review. Also, out of the nine development partner supported officers targeted for recruitment and/or retention during the period January 2010 to March 2012, only two of the staff were retained throughout and one research assistant recruited for two quarters. This inadequate capacity significantly affected the effective attainment of other programme objectives.

Furthermore, some of the recruited staff were volunteers supported by UNDP. The use of volunteers, though cost effective in the short-term may add little value should the staff opt to seek better opportunities elsewhere. This perhaps explains the high level of staff attrition. And in any case there may be little addition to the capacity of the general NEPAD secretariat due to the fact that the additional staff were not absorbed into the mainstream staff of NEPAD. The availed records also show that attaining the objective on stable and reliable funding for the APRM program activities remained elusive in the period under review. The programme did not secure any development partner funding for the year 2010 leading to the postponement or scaling down of its activities.

The evaluation also showed that even the expected government funding was also not received with the government resorting to availing equal amounts of money every year despite the challenges experienced in the preceding years. The delays in and inconsistent accessibility of funds was a major challenge for the effective implementation of the planned programme activities.

The programme also targeted enhanced awareness of the people of Kenya and their ability to participate and influence policy formulation and implementation. This objective was to be realized through the creation of structured platforms for citizens' engagement. The review of reports showed that much investment was made in IEC materials that tend to reach the literate and highly endowed members of the society. There was evidence of huge expenditures on Televisions and Newspaper pullouts. The participatory engagement of the citizens at the grassroots remained weak and inconsistent.. More specifically, there were no strong indications that structured platforms were put in place at the province and district levels/county levels as anticipated in the base programme document and in the availed work plans. This inherently compromises the effectiveness of the programme. Although good efforts were made to use the existing structures of the Media and the civil society at the national levels, cascading such

initiatives to the grassroots level is not only urgent but necessary. In addition, there is also need to expand the number of stakeholders involved initiative so as to make it inclusive. It was not clear, at what point the programme would engage the youth and children who are not only key in “sustaining the dialogue” on good governance but are also the future leaders hence the need to instill in them the principles of good governance. The adoption of a more broad based participatory approach will enable the programme to contribute effectively to the process of national healing, reconciliation and reconstruction which is of essence in view of the forthcoming general elections and in retrospection of the post-election violence of 2007-08.

The reporting structure of the activities made it hard to determine the extent to which special interest groups, concerns of the marginalized and minorities, and gender considerations were incorporated in the programme. The silence on these critical indicators of inequality and key issues identified in the initial stages of the programme perhaps shows inability to reach these groups or just little or no attention to them. Given the diverse nature of Kenya and the hypersensitivity to such issues, the programme may need to put mechanisms in place that recognize these concerns right from the planning, through implementation and evaluation stages.

From an analysis of programme documents, the consultant is of the opinion that the planned programme activities were considerably adequate to realize the objectives. However, the capacity for implementation was found to be insufficient. APRM programme has continued to face both human and funding constraints over the years. Again, the government needs to take up greater responsibilities for supporting the project activities. These need to come at the center of government planning and budgeting processes, and to be integrated tightly within government programmes and ministry activities. Representatives from development partner agencies expressed a fairly positive evaluation of the consultative process, noting that it was rigorous, informative and was overseen by a team of independent persons. Therefore, the project design was largely appropriate, and allowed the gathering of a wealth of information.

### **3.4.3. Efficiency**

The programme set on an ambitious plan that focused on the entire country. It's grandiose and noble objectives were to be achieved with modest funding and a thin staff of slightly above eight. It was anticipated that the programme would utilize the services of other government staff and integrate their activities with those of other line government organs. For instance, in the year 2010 when the new constitution was enacted, there were no evidence of collaboration between the APRM and the then Interim Independent Electoral Commission. Such omissions made the programme to stand on its own leading to great stress and pressure on its limited resources. It is in the opinion of the consultant that if there could have been a well structured integration and more focus on citizens at the grassroots level, perhaps more would have been efficiently realized. Nonetheless, given the human and the financial resources available the programme made adequate progress. This programme's efficiency would have been enhanced with the engagement of all the required human resources and timely availability of adequate financial resources.

#### **3.4.4. Impact**

There is much progress made in the area of good governance in Kenya. The engagement of the non-state actors during period under evaluation has significantly improved. Similarly, the level of awareness among citizens on issues of governance has also improved remarkably. This is evidenced with the extent to which the citizens engage the different arms of government such as the executive, judiciary and the legislature both at the national and the local levels on issues affecting them through different channels/media. The most outstanding issues in this regard are the proliferation of court cases both by civil societies and private citizens. There are also apparent instances of citizens monitoring and evaluating the performance of the coalition government in entrenching the letter and spirit of the National accord and Kenya 2010 constitution.

It is however clear that not all the progress is directly attributable to the APRM programme, though the structure and level of engagement between state actors and non-state actors have significantly improved and largely follow the aspirations of the APRM. There was no evidence of captured and maintained verification of the impact attributed to the APRM programme activities *per se* as recognition of its endeavor to sustain the dialogue. Further data is therefore needed to conclusively comment of the impact of APRM programme especially on its target beneficiaries.

#### **3.4.5. Sustainability**

Securing sustainability of programme gains is key to every initiative. It was anticipated that the results of the programme initiatives would stay with the target beneficiaries in a sustainable way. The programme aimed at creating structured platforms within the already existing structures so as to enable the dialogue to continue. This explains why the body of civil societies and the media were a natural choice for engagement. Whereas the programme was able to work with structured organs at the national levels, there were no identifiable equivalents at the grassroots levels. There are therefore fears that the achievements are more likely to be sustained among the elite members of the society at the expense of the majority at the grassroots. Institutionalizing the structures at the grassroots levels still remained a challenge.

Several other factors were identified by the evaluation as inhibitors of sustainability of the programme efforts. The approach adopted for the realization of capacity strengthening was also considered as not adequately built in within the main staffing of the main NEPAD Kenya secretariat. For sustainability, there is need to recruit some of the key staff for the programme on a permanent basis or second some of the permanent staff from the already existing pool of government staff. There was also heavy dependence on donor funding for key components of the programme including recruitment and retention of some key staff. Further, it is apparent that whereas the programme has been fortunate to enjoy the goodwill of development partners, the

unavailability of sufficient funds to enable timely completion of planned activities, perhaps due to the local and global financial crisis related austerity measures, has continued to pose a challenge. That notwithstanding, the sentiment of development partner organizations is that the government needs to demonstrate greater financial support towards the APRM so that development partners simply step in to complement government efforts. The withdrawal of the basket funding from UNDP in the year 2010 almost crippled the operations of the programme with most of the activities being postponed to the subsequent quarters or the succeeding year. From the aforementioned, there is need to identify sustainable structures for securing stable funding.

For sustainable engagement with the public, there is need for the formation of stakeholder forums that meet regularly, and to ensure that citizen participation is cultivated as a continuous process. From the evaluation this is not the case. Moreover, delays experienced in implementation of IEC strategy negatively impacted the creation of an enabling and sustainable engagement platform. With regard to monitoring and evaluation, there were no inbuilt structures for internal evaluation of the APRM programme. This is deemed to hamper the sustainability of the programme's efforts and gains.

## CHAPTER 4: CONCLUSIONS

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The results of this evaluation showed that the APRM programme been to a reasonable extent successful in improving governance through providing Kenyans with a structured platform from through which to monitor, evaluate and influence public policy and programmes. This largely due to the fact that the “Sustaining the Dialogue Programme” strategies have responded to several challenges observed during the APRM self-assessment, namely: (i) Challenges in participatory development; (ii) Challenges in representative democracy; (iii) Challenges in making service providers more accountable to citizens. . Indeed, the programme is one of the vehicles for realization of country’s national development aspirations – The Kenya Vision 2030 and doing so within the context of the Constitution of Kenya 2010.

Based on the evaluation findings the consultant concludes that:

### ***(i) Strengthening of the Secretariat/Resourcing issues:***

- a. Inadequate staffing as well as institutional capacity building of the implementing agency persistently impedes the effective and efficient implementation of APRM programme objectives.
- b. APRM programme has continued to face both human and funding constraints over the years significantly hampering the timely and complete realization of its planned activities.
- c. There is lack of a structured development partner approach and waning donor support is evident dissuading the effectiveness, efficiency and sustainability of the programme efforts and gains.
- d. The GoK needs to not only increase resource allocation but also show more political will and commitment to the APRM process.

### ***(ii) Implementation of APRM Programme***

- a. The partnerships with non-state actors are weak and not well structured deterring the ownership, effectiveness, impact and sustainability of the programme activities.
- b. A long-term and cost-effective IEC strategy for the APRM programme should be developed and implemented to enhance effectiveness as well as boost the programmes impact.
- c. In a bid to improve the effectiveness, the APRM process needs to be resolutely integrated at the level of policy formulation and actual implementation.
- d. There is need for leveraging gains made through the promulgation of the Kenya Constitution 2010 to improve the programme implementation approach, particularly with regards to the required engagement/partnerships. This will not only boost

effectiveness but also efficiency, impact and sustainability.

**(iii) *Monitoring and Evaluation and Programme Management***

- a. Inconsistency in cash transfers and prolonged delays in disbursement of funds was a major challenge for timely and effective implementation of programme activities
- b. A financial tracking system for effective, effective and continuous capturing of financial record keeping is lacking.
- c. The full implementation of the M&E strategy as was envisioned is lacking hence hindering the comprehensive tracking the progress made on the APRM objectives and the programme's impact.
- d. Lack of a joint technical/oversight committee deprived the programme of the necessary review of implementation and performance.

## CHAPTER 5.RECOMMENDATIONS

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Based on the findings of this evaluation as well as the reviewed programme strategic plan and mobilization documents developed in 2012, the recommendations for achievement of objectives going forward are:-

### 5.1 Strengthening Capacity of NEPAD Kenya/APRM

The evaluation recommends that:

- (i) The Capacity strengthening strategy should be re-examined with a view of including new positions and considering inclusion of more permanent staff within the programme operations. This may include the creation of new positions for M & E experts, Communication specialists and a program officer.
- (ii) The key unfilled positions should be filled and efforts made to ensure acceptably adequate staff for the effective implementation of the programme objectives. This would mean securing stable funding for the recruitment of staff and including more into permanent status.
- (iii) There is need for regular refresher training for the staff implementing the APRM programme to enhance the delivery of the expected outputs and outcomes.
- (iv) The use of UN Volunteers for essential positions of research officers be reconsidered to ensure that an effective mechanism that would mitigate staff attrition is put in place.
- (v) Additionally that Government should explore an institutional arrangement that would raise the profile of the NEPAD Kenya Secretariat thus bringing to the fore APRM issues.

### 5.2 Resource Mobilization

To augment the mobilization of resources, the evaluation recommends the following:-

- (i) It is imperative that the GoK increases it's resource allocation, commitment and takes the leading role to restore the development partner funding enthusiasm as well as ensure sustainability of the programme.
- (ii) There should be renewed efforts to encourage donors to make contributions to the APRM programme. This would include the development of structured engagement of development partners.
- (iii) Consistent and timely cash transfers to NEPAD to enhance effective and efficient implementation of programme activities.
- (iv) Devising and implementation a financial tracking system for enhanced management.

## **5.3 Implementation of APRM programmes**

### **5.3.1 Recommendations for enhanced awareness**

It was the considered opinion of the consultant that the following would be useful in strengthening the realization of citizens' level of awareness in the target areas of governance.

- (i) The APRM needs to strengthen partnerships with more non state actors both at the national and the grassroots levels. It was noted that the operations especially at the grassroots levels needs to be strengthened to include the minorities, youths, disabled and be gender sensitive.
- (ii) There is need to develop an effective pro-grassroots outreach mechanism with the commensurate adoption of appropriate IEC strategy. There is need to invest heavily in locally based platforms including radio slots and Community Based Organizations (CBO). This would be a useful departure from the current over emphasis on newspaper pullouts, and television Slots that tend to reach the elite rather than the hard to reach citizens.
- (iii) Review and implement a comprehensive and long term IEC&A strategy, including establishment of sustainable stakeholder engagement mechanisms.
- (iv) Enhance engagement and implementation focus at the devolved level
- (v) Explore the possibility of using social media for ICE&A activities to enhance efficiency of awareness creation.
- (vi) An outreach programme encompassing the development, publication and dissemination of materials, appearances/debates on talk shows and radio programmes should be developed to increase Kenyan citizens' awareness of APRM, its role in reconciliation and its longer term goal for governance in Kenya

### **5.3.2 Recommendations for development of institutionalized platforms**

In order to strengthen the realization of this key component of the APRM programme, the secretariat may need to consider the following:

- (i) The APRM programme needs to take advantage of the opportunities availed by the enactment of the Kenya Constitution 2010. This would include enlisting more of the active CSOs and working with other government agencies and commissions entrusted with the oversight role in the implementation of the new constitution.
- (ii) The APRM implementation team will need to redraw a new strategy for engaging with other government departments and commissions. There may be need to consider an effective working partnerships with the Constitution Implementation Commission (CIC), Independent Electoral and Boundaries Commission (IEBC), the Commission for National Cohesion, Ministry of Justice and Constitutional Affairs among others.
- (iii) There is need to bring on board more CSOs and other interest groups such as the minorities, people living with disabilities (PWDs), the marginalized and other vulnerable groups. This will ensure that the programme reaches out to the neediest groups.



- (iv) There is also need to develop strategies to reach out to the younger generation both in-school and out of school. This would entail embracing new ICT platforms such as Face book and twitter and the use of school based activities such as drama and clubs.
- (v) Decentralized local capacities for stakeholder participation in APRM issues should be strengthened for continued dialogue modeled on for instance the bunge la mwananchi concept.

#### **5.4 Monitoring and Evaluation of The APRM Programmes**

Monitoring and Evaluation is the lifeblood of every programme. The following recommendations could help to improve the realization of the set M&E targets.

- (i) The capacity for M&E should be enhanced by including an M&E expert, documentalist/librarian and a programme officer within the programme.
- (ii) The secretariat may need to reconsider shifting the responsibilities of M&E from the PEG to an M&E expert. This would leave the PEG with the overall supervisory role and enable them to set M&E targets for the specialists. As it is, there is no proper supervision of the key M&E body.
- (iii) Field visits should be enhanced as a strategy for M&E. This component was weak in the entire period of the review period.
- (iv) Quarterly reviews should be emphasized with a view of enhancing production of quarterly work plans and quarterly reports. These reports should be distinct technical and financial reports. Similar emphasis should be placed for annual reviews and production of the requisite reports.
- (v) The internal M&E strategy should be strengthened to enhance the extent of tracking the progress made in key indicators of change. This was rather weak in the entire period of evaluation. It is imperative that a robust M&E framework is developed and implemented with clear M& E mechanisms including list of exact documents to be received from activities, meetings etc.
- (vi) Establishment of joint technical/oversight committee comprising UNDP and NEPAD secretariat to provide oversight on general policy and technical direction on issues of implementation.

## 5.5 SYNTHESIS OF STRATEGY RECOMMENDATIONS

Presented in Figure 1 is an illustrative synthesis of recommended strategies for APRM mandate achievement. The amalgamation is based on of the analysis of the evaluation results of the APRM Development Partner Supported Programme during the evaluation period i.e. January 2010 to March 2012.



Figure 4: Synthesis of recommended Strategies for APRM mandate achievement

# ANNEXES

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## **Annex 1: Documents Reviewed**

### **Annual Work Plans (AWPs)**

1. Annual Work Plan-support for the domestication of NEPAD/APRM process in Kenya. Phase 2: Sustaining the dialogue, 2008
2. Annual Work Plan - 1<sup>st</sup> July 2010 to December 2010
3. Annual Work Plan - January - December 2011
4. Annual Work Plan - January to March 2012

### **Quarterly work plans**

5. Quarterly WP- 1<sup>st</sup> October to 31<sup>st</sup> December 2011

### **Strategic plans**

6. African Peer Review Mechanism (APRM) strategic plan 2010 – 2013; NEPAD Kenya Secretariat
7. NEPAD Kenya Secretariat strategic Plan 2009 –2014
8. NEPAD Kenya Planning And Coordinating Agency: Strategic Plan, 2012 –2016

### **Progress reports**

9. 1<sup>st</sup> January to 31<sup>st</sup> December 2010
10. 1<sup>st</sup> January - 31<sup>st</sup> December 2011

### **Evaluation reports**

11. Final Evaluation Report on Domestication Of The Nepad/Aprm Process In Kenya The Sustaining The Dialogue Programme by Afeikhen Jerome and Mbeke Peter Oriare, December 2009
12. Kenya Evaluation Report on the National Programme of Action, June 2006 – December 2009

### **Other documents referred to:**

13. Kenya Vision 2030
14. Kenya 2010 constitution

## Annex 2: Terms Of Reference

Excerpts of the terms of reference:



### **TERMS OF REFERENCE**



#### **CONSULTANCY ON END TERM EVALUATION OF: (I) THE KENYA APRM DONOR SUPPORTED PROGRAMME AND (II) EVALUATION OF THE IMPLEMENTATION OF THE FIRST APRM NATIONAL PLAN OF ACTION**

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##### **1. BACKGROUND AND CONTEXT**

The African Peer Review Mechanism (APRM) is an instrument voluntarily acceded to by Member States of the African Union as an African self-monitoring mechanism. Its mandate is to ensure that the policies and practices of participating states conform to the agreed political, economic and corporate governance values, codes and standards contained in the Declaration on Democracy, Political, Economic and Corporate Governance approved by the AU summit in Durban, South Africa on July 8th 2002. It requires African states to subject themselves to self-assessment by their own citizens, followed by external review through a panel of distinguished African leaders, called the African Peer Review Panel of Eminent Persons. The four core thematic areas of the APRM are: (i) Democracy and Political Governance; (ii) Economic Governance and Management; (iii) Corporate Governance; and (iv) Socio Economic Development.

Kenya acceded to the African Peer Review Mechanism (APRM) in March 2003, in Abuja, Nigeria and was among the first four African states along with Ghana, Rwanda and Mauritius to volunteer to be peer reviewed. The APRM process was guided by an independent multi-stakeholder National Governing Council (NGC) comprising a majority of non-state actors (NSAs) but also representatives of key line Ministries. This was meant to ensure that the APRM process was independent, participatory and all inclusive. In the course of the self assessment exercise, Kenya engaged in a long and vigorous national consultative process, and the survey of ordinary Kenyans, using five methods: (i) Open forums in all the provinces, and with many interest groups, e.g. youth, women, farmers, businesses, pastoralists; (ii) A national survey of households conducted by the Kenya National Bureau of Statistics; (iii) Focus Group Discussions; (iv) Expert panel instrument; and (v) Desk Research instrument.

This process culminated in the development of a comprehensive Kenya Country Self Assessment Report and a National Programme of Action (NPoA). The APRM Self-Assessment Report was validated by a wide cross section of stakeholders drawn from every district in the country.

Subsequently, Kenya hosted a team of external reviewers led by a member of the APR panel of eminent persons, Dr. Graca Machel. The team traveled to all the provinces in the country and met with, and gathered views from, various stakeholder groups in Government, private sector and civil society. On the basis of these interactions, and borrowing heavily from the Country Self Assessment, the team developed the Country Review Report of the Republic of Kenya. This Report was tabled at the APR Heads of State Forum in Banjul, the Gambia on 30th June 2006 and Kenyan President H.E. Mwai Kibaki was subjected to review by his peers. Importantly, the APRM Country Review report identified a number of overarching issues, which relate to areas of deficiency or shortcomings in the Kenyan systems that are of a recurring or cross-cutting nature. The APRM Country Review Report called for these more general problems, seemingly interlinked, to be given a holistic, and perhaps more urgent approach because of the wider impact they have on the quality

of governance in the country. In the post-election crisis, these same issues brought civil conflict, which threatened to tear the country apart.

The overarching issues identified in the APRM Country Review Report 2006 are as follows: (i) Managing Diversity; (ii) Poverty and Wealth Distribution; (iii) Land; (iv) Corruption; (v) The Constitution; (vi) Gender Inequality; (vii) Youth Unemployment, and; (viii) Transformative Leadership

## **2. OVERALL OBJECTIVE OF THE EVALUATION**

The overall objective of this evaluation is to review the extent to which the projects objectives and outputs have been realized, identify strengths and weaknesses in implementation, and provide recommendations for future success of similar projects.

Participation of stakeholders in the evaluation should be maintained, reflecting opinions, expectations and vision about the contribution of the project towards the achievement of its objectives.

## **3. SPECIFIC OBJECTIVES**

More specifically, the evaluation will undertake a review of the following criterion:

### **a. Effectiveness**

- To what extent have the project's objectives been realized?
- To what extent was the project implemented as envisaged by the project document in terms of planned activities and management? If not, why?
- Were the project activities adequate to realize the objectives?
- What has the project achieved? Where it failed to meet the outputs identified in the project document, why was this?
- Have any significant developments taken place since the project started, if so, explain how they affected the project goal and activities and evaluate the impact on the project?
- Assess the level of public involvement in the project and comment as to whether public involvement has been appropriate to the goals of the project.
- How has the project engaged with civil society (CSO's, PSO's and citizens) and has their engagement been systematic. Will the engagement be sustainable?

### **b. Relevance**

- Assess the realization of the project's outputs and outcomes. The efficiency and effectiveness of these actions given the available funding will be considered
- Were the objectives of the project in line with defined needs and priorities as described in the "Sustaining the Dialogue" programme.
- Should another project strategy have been preferred rather than the one implemented to better reflect those needs and priorities? Why?
- Were risks appropriately identified by the projects? How appropriate are/were the strategies developed to deal with identified risks?

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**c. Sustainability**

- To what extent has the project established processes and systems that are likely to support the continued implementation of the project?
- Are the involved parties willing and able to continue the project activities on their own (where applicable)?
- Are the project outcomes likely to be sustainable? If not, why not? Which remedial actions would have been good to take?

**d. Project design and performance assessment/Efficiency**

- Was the project design appropriate? If not, why not?
- To what extent did the project include gender at its inception and how did this translate into practice?
- Was the project, including its finances, human resources, monitoring, and oversight and support managed efficiently?
- What was the role played by the implementing agency(ies) and, where applicable, the executing agency in leveraging resources, internal or external, and expanding partnerships with other actors to support and expand this project?
- Describe and assess efforts of UNDP in support of the implementing agency
- Assess the appropriateness of current formal and informal communication channels between national stakeholders, implementing and executing agencies, including recommendations for improvement
- Review the roles and responsibilities of the various agencies and institutions and the level of coordination between relevant players. In particular, the capacity and performance of the implementing agency.
- Assess the level to which the Logical Framework Approach (LFA) and performance indicators as developed at the inception phase have been used as project management tools; and review the implementation of the projects monitoring and evaluation plans.
- Assess the strength of the log-frame process as a whole. Make recommendations as to how to improve future performance for similar projects in terms of effectiveness and efficiency in achieving impact.

**e. Impact**

- To what extent has/have the realization of the project objective(s) had an impact on the specific problem the project aimed to address and on the targeted beneficiaries? Kindly highlight the impact the project had on females and males respectively.
- To what extent the project has caused and is likely to cause changes and effects, positive and negative, foreseen and unforeseen, on country?
- Is the project likely to have a catalytic effect? How? Why? Please provide examples
- Have the needs of project beneficiaries been met by the project? If not, why not?
- Assess the likelihood of continuation of project outcomes after completion of donor funding; and describe the key factors that will require attention in order to improve prospects for sustainability of project outcomes.
- Describe the main lessons that have emerged in terms of: efforts to secure sustainability; knowledge transfer; and the role of M&E in project implementation. In describing all lessons learned, an explicit distinction needs to be made between those lessons applicable only to this project, and lessons that may be of value more broadly.



#### 4. METHODOLOGY

It is envisioned that the consultant will develop a methodology premised on the following:

- Extract the main performance targets and indicators from the relevant documents, and measure progress against those targets and indicators, (both qualitative and quantitative)
- Analyse the pattern of growth of the programme around the agreements and AWP's,
- Assess the extent to which the work plans accurately interpreted and supported the main agreement documents.
- Include in the analysis all activities that were carried out by the programme and funded by either GoK or development partners directly.
- Review the M&E system of the program and make recommendations for an M&E Framework and M&E tools.
- Focus Group Discussions/meetings with key staff involved in management and implementation of the programme; key staff of other government MDA, Development and other key stakeholders including the private sector, media, civil society, and citizens.
- Conduct a media review including the determination of the actual outreach of the programme via media channels
- Propose recommendations for future targeted results for the programme
- Prepare a draft report and discuss it with stakeholders including the GoK and Development Partners
- Prepare a final report, and present the major highlights of the report to the NEPAD Kenya Secretariat

See Annex 1 below for the reporting format

#### 5. EXPECTED OUTPUTS

##### CONSULTANCY OUTPUT 1:

##### **1. An end term evaluation of the Kenya APRM donor supported programme**

Following the Peer Review of 2005, Kenya developed the "Sustaining the Dialogue" programme, which looks specifically at ensuring that the dialogue that was created with citizens throughout the APR is sustained and that Kenyans have a structured platform from which to monitor, evaluate and influence public policy and programmes on a regular and continuous basis. The overall Objective of the programme APRM "Sustaining the Dialogue Programme "Improved governance through providing Kenyans with a structured platform from which to monitor, evaluate and influence public policy and programmes". The "Sustaining the Dialogue Programme" seeks to respond to several challenges observed during the APRM self assessment, namely: (i) Challenges in participatory development; (ii) Challenges in representative democracy; (iii) Challenges in making service providers more accountable to citizens.

Details of this programme can be found in the NEPAD/APRM "Sustaining the Dialogue" programme document and the APRM strategic plan (2009-2012).

### Annex 3: Evaluation Tool (Output 1)



#### END TERM EVALUATION OF THE KENYA APMR DONOR SUPPORTED PROGRAMME AND THE IMPLEMENTATION OF THE FIRST APMR NATIONAL PLAN OF ACTION

##### Key Informant Interview Guide

Target: NEPAD Staff/UNDP/SIDA

Name:	Date:	Position
Organization / Affiliation	Time started:	Time ended:
Profession:	Female/Male:	Name of interviewer:



## **Guiding questions**

### **Section A: Background & General issues**

1. What have been your roles/ activities in
  - i. Kenya APRM development partner supported programme
  - ii. The implementation of the first APRM National Plan of Action

### **Section B: Facilitating factors**

2. What do you consider to be the key factors that?
  - a. Contributed towards the achievement of you objectives and expected results
  - b. Constrained the effective achievement of the objectives?

### **Section C: Project Efficiency and Financial Management**

3. 14. How much resources were planned for the implementation of the programme funded intervention and were all such resources made available to achieve projected outputs and outcomes?
4. How adequate were the resources planned for the funded interventions and were planned outcomes attained with the provided recourses and were they timely released?
5. Apart from UNDP/ SIDA resources, what other locally generated resources are used for implementing your interventions?
6. Was the project, including its finances, human resources, monitoring, and oversight and support managed efficiently?
7. What was the role played by the implementing agency (ies) and, where applicable, the executing agency in leveraging resources, internal or external, and expanding partnerships with other actors to support and expand this project?

### **Section D: Challenges on Financial Management**

8. What were the major challenges that you encountered in implementing the programs on financial management?
9. Were there any Challenges regarding accessibility of funds by the implementing agency
10. What would you consider to be some viable solutions to such challenges?

### **Section E: Recommendations**

11. Any other recommendations regarding financial management?

#### Annex 4: Stakeholder Consultation Programme

In line with the terms of reference, the Consultant proposed a consultation programme targeting the key stakeholders in order to obtain primary data on the implementation of: (i) The APRM Supported Development Partner Programme End Term Evaluation and (ii) The Evaluation of the Implementation of the NPoA

STAKEHOLDER	CONSULTATION APPROACH	DATE
NEPAD Secretariat Board	½ day Focus group discussion	8 <sup>th</sup> June 2012
NEPAD Secretariat Management and Staff	Face to face interviews	4 <sup>th</sup> – 8 <sup>th</sup> June 2012
Development Partners	Face to face interviews	11 <sup>th</sup> – 13 <sup>th</sup> June 2012
Central Government – Parliamentary Caucus, Parent Ministry & NPoA implementing Agencies	Face to face interviews	11 <sup>th</sup> – 14 <sup>th</sup> June 2012
Sub-national Government – Parent Ministry and NPoA implementing Agencies	Face to face interviews	11 <sup>th</sup> – 14 <sup>th</sup> June 2012
Citizens (as per agreed sample frame)	½ day Focus group discussion	13 <sup>th</sup> or 18 <sup>th</sup> June 2012
Civil Society Organizations and Faith Based Organizations	½ day Focus group discussion	13 <sup>th</sup> or 18 <sup>th</sup> June 2012