



IGRTC
INTERGOVERNMENTAL
RELATIONS TECHNICAL
COMMITTEE

Consultation, Cooperation & Coordination in Devolution

A framework for
MONITORING AND EVALUATION
of
Performance of National and County Governments
and Intergovernmental relations in Kenya

A FRAMEWORK FOR
MONITORING AND EVALUATION
OF
PERFORMANCE OF NATIONAL AND COUNTY
GOVERNMENTS AND
INTERGOVERNMENTAL RELATIONS IN KENYA

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FOREWORD

The Constitution of Kenya 2010 (CoK) establishes a two-level system of government; national and county governments. Articles 6 (2) and 189 of the Constitution provide for a cooperative form of devolved government requiring consultation and cooperation as opposed to a competitive approach to intergovernmental relations. This necessitates the development of structures to facilitate and promote intergovernmental relations between and within the levels of governmental for harmonious co-existence. The need for developing a monitoring and evaluation framework is driven by desire to put in place a robust instrument that adequately documents the application of principles, workings, relationships, outputs and impact of the intergovernmental relations organs in the devolved system of government in Kenya. Thus the key complementary institutions created by legislation, namely the Summit, COG and IGRTC require tools to assess the performance of intergovernmental relations.

This Monitoring and Evaluation (M&E) Framework is critical to the successful implementation of intergovernmental relations for effective and efficient service delivery by National and County governments. The framework provides a methodical process towards regular and systematic gathering, capturing, analysis and dissemination of information on progress of intergovernmental relations. In pursuit of these goals, the Intergovernmental Relations Monitoring and Evaluation Framework has taken into account and leveraged on existing monitoring and evaluation processes and systems including NIMES, CIMES, and other sectoral and institutional systems. Unique aspects not monitored by the existing framework will be captured through targeted surveys.

We appeal to those who will interact with this document to feel free to give us feedback so that we can keep updating the M&E framework.



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CHAIRMAN

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ACRONYMS AND ABBREVIATIONS

ADR	Alternative Dispute Resolution
APR	Annual Progress Reports under NIMES
OAG	Office of the Auditor General
CAF	County Assemblies Forum
CARPS	Capacity Assessment and Rationalization of Public Services
CC&IO	Constitutional Commissions and Independent Offices
CGA	County Government Act, 2012,
CIDP	County Integrated Development Plan
CIF	County Intergovernmental Forum
CIMES	County Integrated Monitoring and Evaluation System
COB	Controller of Budget
CoG	Council of County Governors
CoK	Constitution of Kenya, 2010
CRA	Commission of Revenue Allocation
DDC	District Development Committee
IBEC	Intergovernmental Budget and Economic Council
IGR	Intergovernmental Relations
IGRA	Intergovernmental Relations Act, 2012
IGRMEF	Intergovernmental Relations Monitoring and Evaluation Framework
IGRTC	Intergovernmental Relations Technical Committee
M&E	Monitoring and Evaluation
MDA	Ministries, Departments and Agencies
MODA	Ministry of Devolution and ASAL
MED	Monitoring and Evaluation Department
MOU	Memorandum of Understanding
MOV	Means of Verification
MTP	Medium-Term Plan
NGCDFA	National Government Constituencies Development Fund Act, 2015

NGCA	National Government Co-ordination Act, 2013
NIMES	National Integrated Monitoring and Evaluation System
OVI	Objectively Verifiable Indicators
PFMA	Public Finance Management Act, 2012
PPOA	Public Procurement Oversight Authority
Summit	National and county Governmental coordinating Summit
TDGA	Transition to Devolved Government Act, 2012
UACA	Urban Areas and Cities Act, 2011

DEFINITION OF COMMON MONITORING AND EVALUATION TERMS

Activities: The things/actions that must be done to achieve the results. Activities are the main elements of component projects through which the outputs are achieved.

Assumptions and Risks: are external conditions that are outside the direct control of the project management, but which must be met for results to be realized. Mechanisms have to be put in place to deal with them or to monitor their overall effect. Assumptions are stated in terms of the desired situation.

Effectiveness: The extent to which the project's targets are achieved.

Efficiency: A measure of how resources/inputs (funds, expertise, time, etc.) are converted to outputs.

Evaluation: An assessment of how well the expected objectives are met or the extent to which changes in outcomes can be attributed to interventions. It is systematic and objective assessment that aims at determining the relevance, efficiency, effectiveness, impact and sustainability.

Goal (Impact): The ultimate long-term change to which the project/program interventions should contribute by means achieved. Both positive and negative effects of project or program. Goal is a bottom line condition of well-being of individuals, families, or communities.

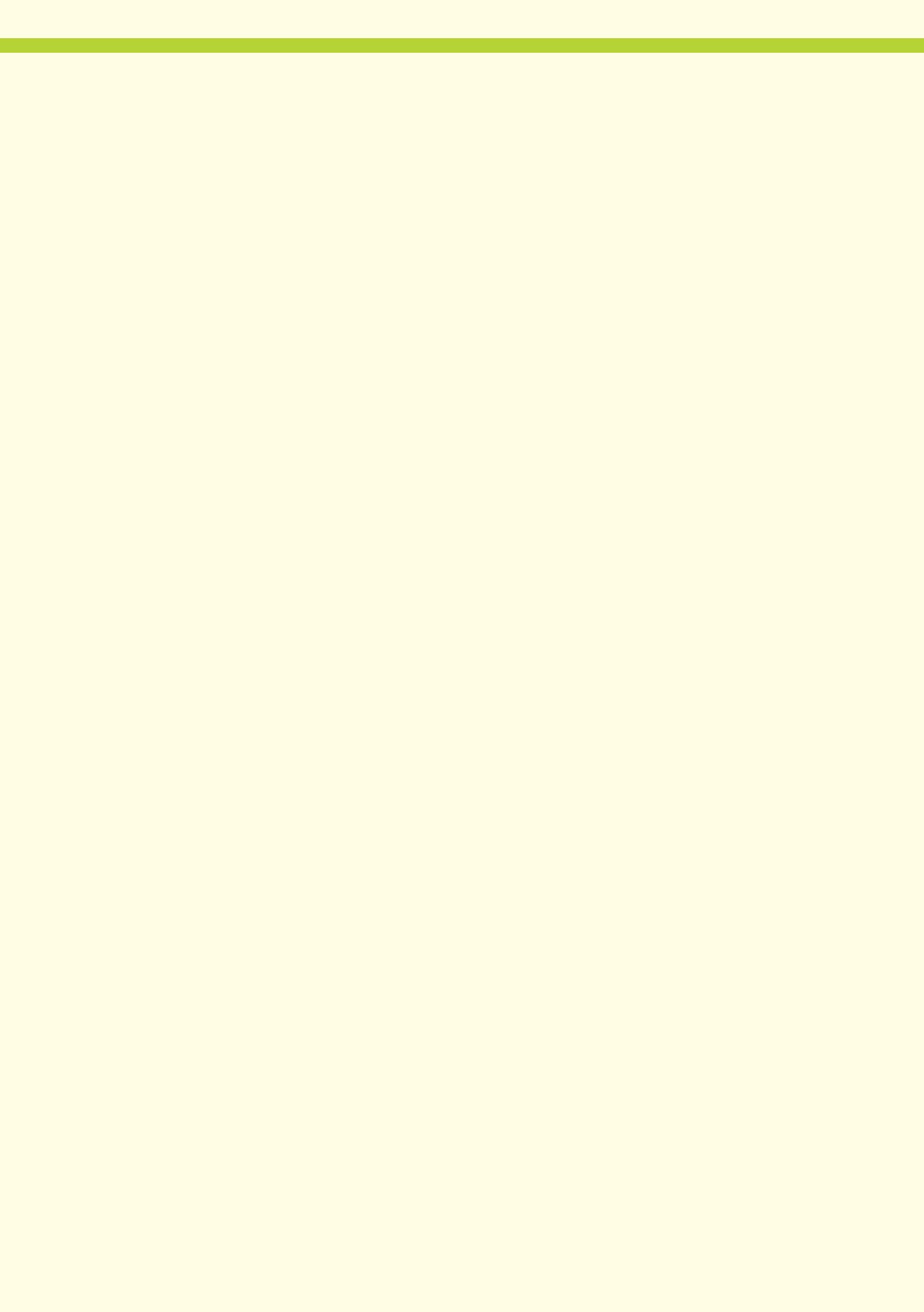
Means of Verification (MOV): The specific source(s) from which the status of each indicator can be ascertained. Sources of data necessary to verify status of indicators at different levels.

Monitoring: A continuous collection and analysis of data on specified indicators to provide information on the extent of progress, or lack thereof, in the achievement of results. It is a continuous internal management activity whose purpose is to ensure that the program achieves its pre-defined objectives within prescribed time frame and budget.

Objectively Verifiable Indicators (OVIs): The quantitative, qualitative, and time-bound measures that constitute evidence of the extent to which the aims have been met at the four levels (Activity, Output, Outcome and Goal) of the hierarchy. OVIs indicate how to recognize success at each level of aim.

Outcomes (Objectives): Intermediate results. Changes resultant from the realization of the outputs. Specific changes from project which should bring sustainable benefits for the target group and which should be met by a combination of produced deliverables.

Outputs: Products of undertaken activities or the deliverables through which the objectives are achieved. Like outcomes, outputs are immediate results.



Chapter 1

1.0 INTRODUCTION

1.1 Background

The Constitution of Kenya (CoK), 2010 establishes a two-level system of government; national and county governments. Articles 6(2) and 189 of the CoK provide for a cooperative form of devolved government, requiring consultation and cooperation as opposed to a competitive approach to intergovernmental relations. This necessitates the development of structures to facilitate and promote intergovernmental relations between and within the levels of government for harmonious co-existence. There are a number of legislations that have been enacted to facilitate effective relations between national and devolved government units in Kenya. These include the Intergovernmental Relations Act (IGRA) 2012, National Government Co-ordination Act (NGCA) 2013, The County Government Act (CGA) 2012, Transition to Devolved Government Act (TDGA) 2012, Public Finance Management Act (PFMA) 2012, National Government Constituencies Development Fund Act (NGCDFA) 2015 and Urban Areas and Cities Act (UACA) 2011. These laws constitute attempts to facilitate various aspects of intergovernmental relations in the country.

Section 8 of Intergovernmental Relations Act 2012 establishes the Summit to provide a forum for:

- (a) Consultation and co-operation between the national and county governments.
- (b) Promotion of national values and principles of governance.
- (c) Promotion of national cohesion and unity, and consideration and promotion of matters of national interest.
- (e) Consideration of reports from other intergovernmental forums and other bodies on matters affecting national interest.
- (f) Evaluating the performance of national or county governments and recommending appropriate action.
- (g) Receiving progress reports and providing advice as appropriate.
- (h) Monitoring the implementation of national and county development plans and recommending appropriate action.
- (i) Considering issues relating to intergovernmental relations referred to the Summit by a member of the public and recommending measures to be undertaken by the respective county government.
- (j) Coordinating and harmonizing the development of county and national government policies.

- (k) Facilitating and coordinating the transfer of functions, power or competencies from and to either level of government.
- (l) Performing any other function that may be conferred on it by this Act or any other legislation or that it may consider necessary or appropriate.

Further, the Intergovernmental Relations Act 2012 establishes the Summit, the CoG and the IGRTC. It requires the IGRTC to submit quarterly reports to the Summit. The IGRTC is, in turn, required to submit an annual report to the National Assembly, the Senate and the county assemblies within three months of the end of every financial year. Each of these institutions is required by law to consider the report and make recommendations, if any, to the Summit. Within three months of every financial year, the CoG is also required to submit a report to the Summit, the Senate and the National Assembly. As the Secretariat of the Summit, and the CoG, the IGRTC is required to compile these reports in good time for approval by the Summit and the CoG prior to their submission to the relevant entities.

In the external environment in which the accomplishments of IGRTC are expected, the substantive progress in the initial transition to devolved government and the future state of intergovernmental relations need to be monitored as a technical remit. The ultimate aim is to realize a successful devolved government with positive and harmonious intergovernmental relations. The IGRTC is expected to monitor the implementation of devolved government, collate data on its substantive aspects over time, conduct studies where necessary, and report on overall pace and content of devolution.

The need for developing this IGRM&E framework is driven by lack of a robust framework that adequately addresses the principles, workings, relationships, outputs and impacts of the devolved system of government in Kenya. The structures created by legislation, namely, the CoG, the Summit and IGRTC as well as policies that facilitate effective functioning of the devolved system of government have complementary functions and work together with other agencies. Despite the interventions made to strengthen M&E of public development programs, the following challenges are experienced¹;

- (a) Weak M&E culture.
- (b) Weak M&E reporting structures and multiple and uncoordinated monitoring and evaluation
- (c) systems within and among institutions.
- (d) Weak institutional, managerial and technical capacities.
- (e) Untimely, rarely analyzed or disseminated data and low utilization of data/information.
- (f) Weak legal framework.

This IGRM&E framework is therefore developed to guide and inform monitoring and evaluation of performance of national and county governments and intergovernmental relations between and within levels of government, and to address some of the above M&E challenges as they relate to intergovernmental relations.

¹ Draft M&E Policy, March 2012

1.2 History of Monitoring and Evaluation in Kenya

Good governance inclusive of economic development and accountability is key to progress in any country. In recognition of this principle, the Government of Kenya has since 1963 developed programs and systems designed to identify what works and what doesn't in policy design and implementation to help build "evidence-based policy." The information that M&E programs and systems generate is critical for raising awareness and promoting a debate about the efficiency of public programs and policies. It can empower citizens to hold their government accountable as long as there are mechanisms for the government to use the feedback to inform decisions in budgeting, planning, or efficiency of programs.

Kenya has undertaken development planning in the public sector since 1963. The planning function in this sector has experienced relative level of success in spite of persistent complaints of non-implementation of highly ambitious plans. Kenya government's foremost strategy for economic development, Sessional Paper No. 10 of 1965 on 'African Socialism and its application to planning in Kenya', emphasized decentralized planning and extended planning functions to provinces, districts and municipalities. The aim was to ensure that the impact of development programs was felt at the grassroots. However, execution of development plans has remained elusive over the years partly because of weak or non-existent M&E systems. In comparison, projects supported by development partners in Kenya have benefitted immensely from effective M&E systems in their design and formal M&E units specifically established for this purpose.

A number of initiatives were taken by the government to ensure optimal effect of its development programmes throughout the country and to the grassroots in society. Kenya has had eight (8) national development plans since independence. Usually the development plans cover a 5-year period with policies aimed at spurring development. These plans are supported by some strategies and M&E programs.

In 1983, the government embarked on an ambitious deconcentrating initiative—the District Focus for Rural Development. The stated purpose of the district focus was to change from top-down, sector-based to integrated, participatory, bottom-up development planning. The centerpiece of the system was delegation of development planning and coordination to the District Development Committee (DDC), a consultative forum that brought together the civil servants at the district level, elected representatives and community leaders. The DDC was responsible for producing and coordinating implementation of the District Development Plan. A planning unit, headed by an economist (district development officer) was the technical arm of the DDC which handled the monitoring and evaluation function and reported to the provincial development officer who in turn reported to the director of planning at the national level.

Until 2000, M&E was not a strong feature in national programs and projects. Information collection, analysis and reporting of results were done in an ad hoc manner and decision making was seldom based on verifiable evidence due to lack of a comprehensive M&E system. In 2001, the Poverty Reduction Strategy Paper was launched as a medium-term instrument for government to quickly determine whether its policies were positively impacting the development process. M&E was concentrated at the national level, with little emphasis on tracking program interventions. In 2003, the government embarked on implementation of Economic Recovery Strategy for Wealth and Employment Creation

(ERSWEC) 2003-2007. The investment program for ERSWEC recognized the value of M&E in promoting accountability and enhancing good governance.

The government established a monitoring and evaluation unit, in 2004, to coordinate implementation of the National Integrated Monitoring and Evaluation System (NIMES). The unit was mandated to coordinate monitoring and evaluation of the Economic Recovery Strategy across all sectors. Additionally, it was to gather, store and disseminate M&E information, lead in design and implementation of government wide M&E action plan and spur adoption of M&E across government, set standards for M&E, support M&E needs assessment, and build capacity of public sector institutions to institutionalize M&E.

In 2008, the government launched a long-term development blue print commonly known as the Kenya Vision 2030. This vision aims to transform the country into a modern, globally competitive middle-income country offering a high quality of life to all citizens by the year 2030. Kenya Vision 2030 was to be implemented through five-year Medium-Term Plans (MTP). MTPs are used to track implementation of Kenya Vision 2030 through production of Annual Progress Reports (ARP) under NIMES. Meanwhile, in 2010 Kenya adopted the new Constitution 2010, which among others introduced the devolved system of government. The constitution spells out key principles that govern the relationship between the national and county governments and assigns specific mandates and functions to both levels of government and the institutions and structures therein. This new dispensation has created new systems, requirements and challenges for M&E in Kenya.

The status of M&E in Kenya and globally suggests a positive trend as far as monitoring and evaluation is concerned. Universities and other tertiary institutions continue to produce a number of graduates who find employment in the field of monitoring and evaluation both in the public sector and private sector. There now exist a community of practice of experts involved in monitoring and evaluation, and there are many programs and projects to be evaluated.

1.3 Monitoring and Evaluation Framework

Monitoring and Evaluation (M&E) is the process of continuously and closely checking and keeping track of a program, project, policy or activity for a specific period of time or at specified intervals to assess its progress and performance. Its goal is to improve current and future management of outputs, outcomes and impact. This M&E framework is developed to guide all activities by actors in Intergovernmental Relations (IGR), and to facilitate their effective participation in IGR M&E. It also presents institutional arrangements, key actors, their roles and responsibilities in M&E, and relevant tools and documents.

This Intergovernmental Relations M&E Framework (IGRMEF) will assist the National and County Government Coordinating Summit, Council of Governors (CoG) and Intergovernmental Relations Technical Committee (IGRTC) to monitor and assess the performance of national and county governments and intergovernmental relations as provided by the Constitution of Kenya (CoK), 2010. The M&E framework is considered to be evolving and subject to revision as influenced by the experiences of users. Revising the framework therefore forms an integral part of the recurring M&E tasks.

This M&E framework gives a background and history of M&E development in Kenya. It provides the policy and legal framework for intergovernmental relations in Kenya and reviews existing M&E frameworks and systems. The purpose of the IGR M&E framework and institutional arrangement for the implementation of the framework is clearly outlined. The results framework is also presented in this document outlining indicators on IGR and performance of national and county governments at impact, outcome and output levels. This M&E framework summarizes procedures and instruments for data collection and management including the documentation and dissemination plan. The measures for implementation of the IGR M&E framework, including the establishment of internal M&E unit, the required capacities, and procedures for reviewing and updating of the M&E framework is carefully highlighted.

Chapter 2

2.0 POLICY AND LEGAL FRAMEWORK

2.1 Background

The Constitution of Kenya 2010, County Government Act, 2012 (CGA), the Intergovernmental Relations Act, 2012 (IGRA), the Urban Areas and Cities Act, 2011 (UACA) and the Public Finance Management Act, 2012 (PFMA), establish structures for consultation and cooperation between national and county governments and amongst county governments. The purpose of these laws are to²:

- (a) Facilitate the realization of the objects of devolution as provided in Articles 174 and 175
- (b) Facilitate cooperation and consultation between national and county governments and amongst county governments as stipulated in Articles 6 and 189
- (c) Provide forum for coordinating government policies, legislation and functions;
- (d) Provide forum for sharing and disclosing necessary data and information;
- (e) Provide mechanism for transfer of power, functions and competencies to either level of government;
- (f) Promote accountability between the two levels of government or amongst county governments.

Other laws, statutes and structures to facilitate intergovernmental relations include:

- (a) Agreements to guide relationships between county governments and national government (CoK Art. 204, 212, 213; IGRA, 2012 s. 23 and PFMA, 2012)
- (b) County Intergovernmental forum (CGA 54 (2))
- (c) Joint Committees (CoK Art. 189, and UACA s.6(5))
- (d) County Policing Authority (National Police Service Act (2012) s.41)
- (e) Citizen forums (CGA 91)
- (f) Inter-county projects (CGA 20)
- (g) Joint committees (CGA 14(5))

The principle of Monitoring and Evaluation is entrenched in the Constitution of Kenya 2010. Apart from the structures and functions established under the Intergovernmental Relations Act 2012, there are other laws, policies, administrative processes and practices that require or have actually facilitated the formation of IGR structures.

The overall mandate of IGRTC, of facilitating consultation, cooperation, and coordination, require its direct and/or indirect engagement in order to ensure that there are smooth relations and that the overall objectives are achieved. At the very least, the IGRTC should

2 CIC, 2014-Assessment of the Implementation of the System of Devolved Government: From Steps to Strides

be involved in assessing the pace, manner, and general direction in which these IGR processes are being implemented with a view of ascertaining whether the constitutional principle of consultation and cooperation is being effectively implemented.

A key structure which the Intergovernmental Relations Act 2012 establishes is the IGRTC whose functions are enumerated in Section 12 of the Act. In essence, the functions of the IGRTC are mainly related to facilitation of effective cooperative government and intergovernmental relations and those related to the management of transition to devolved government.

The IGRTC is established to oversee effective and smooth intergovernmental relations that can enhance the pursuit of the set constitutional objectives that are common to all institutions. Section 12 of the Act provides that the IGRTC shall:

- (a) Be responsible for the day to day administration of the Summit and of the CoG and in particular (i) facilitate the activities of the Summit and of the CoG; and (ii) implement the decisions of the Summit and of the CoG;
- (b) Take over the residual functions of the transition entity established under the law relating to transition to devolved government after dissolution of such entity;
- (c) Convene a meeting of the forty-seven county secretaries within thirty days preceding every meeting of the Summit; and
- (d) Perform any other function as may be conferred on it by the Summit, the CoG, this Act or any other legislation.

Section 14 requires the IGRTC to submit quarterly reports and accountability to the Summit and the CoG.

Other specific laws that establish the IGR structures include: The Public Finance Management Act 2012 establishes the Intergovernmental Budget and Economic Council (IBEC). IBEC has the general mandate of ensuring effective fiscal relations between the two levels of government. The membership of the IBEC is drawn from both levels of government and independent institutions that have a role in fiscal and financial affairs. The role of the IBEC is generally stated in the Act as “to provide a forum for consultation and cooperation between the national government and county governments.” The specific roles are:

- (a) Review contents of fiscal and budgeting documents
- (b) Development and review of borrowing frameworks and guarantees for borrowing
- (c) Consensus on cash flow projections and disbursements to the two levels of government
- (d) Consider laws and policies with financial implications for counties
- (e) Proposed regulations under the Act
- (f) Development of recommendations on vertical and horizontal equitable shares

The roles bestowed to the IBEC are critical to smooth fiscal relations between the two levels of government. The IGRTC is neither given a direct role in the performance of any of the functions above nor is it represented in the composition of the IBEC. However, the overall mandate of IBEC (fiscal relations) and vis-à-vis the mandate of the IGRTC leads to a conclusion that the latter has an interest in the effectiveness and outcomes of the activities of the former. Accordingly, the role that IGRTC may play in this regard may be of a secondary nature and geared towards ensuring smooth fiscal relations as required by the Constitution of Kenya, 2010.

The County Governments Act 2012 establishes the County Intergovernmental Forums (CIFs) that are to be chaired by governors and composed of national and county government heads of department that are based at the county. These forums are supposed to ensure smooth IGR (specifically development and service delivery) between the two levels of government at the county level. While the IGRTC is not mentioned with regard to this structure, the nature of the role that CIFs are required to play and the outcomes of their activities are of core relevance to the work of the IGRTC. Accordingly, while the IGRTC may not have an executing role with regard to the establishment and performance of functions, assessment of their effectiveness is relevant to the IGRTC in order to ascertain the nature and effectiveness of IGR at the county level.

Sector laws establish a number of sectoral coordination structures with varying roles and functions. In the education sector, for instance, the Basic Education Act (2013) establishes county education boards with representation from both levels of government to oversee and coordinate education matters at the county.³ A number of sector laws are yet to be finalized by parliament and some of the draft laws propose to establish sector IGR structures. However, IGR structures need not be explicitly established by statute. The Constitution of Kenya, 2010 and enabling statutes on IGR provide general mandate to the two levels of government to establish any further joint structures as may be necessary to facilitate smooth intergovernmental relations. As a result, across all sectors of service delivery and public service, there are coordination committees that have been established between the national and county governments and within the county governments (under the auspices of the CoG). These include the sectoral coordination committees that are usually composed of the cabinet secretary in charge of a sector at the national level and the county executive committee members responsible for the sector from the 47 county governments. Other joint structures have been formed to coordinate various issues between the two levels of government and between all the 47 counties or groups of counties.

While the IGR Act initially provided for exclusively executive IGR structures, these structures have expanded to include the legislative arm. Soon after the March 2013 general election, the county assemblies came together and formed an umbrella body – the County Assemblies Forum (CAF). The CAF is evolving as the forum for engaging the collective legislative arm of the 47 county governments. The Senate initiated an amendment to the County Government Act that sought to formalize the body as a statutory IGR body. CAF has since formed further structures to facilitate legislative IGR.

All the discussed laws, structure and their provisions are of core relevance to the IGRTC that has an overall mandate of facilitating effective intergovernmental interaction. It thus appears that a major step is to take stock of all the structures and processes of

1. 3 Section 55

intergovernmental relations (defined and undefined) in order to have a clear picture of when, how, and where intergovernmental interaction is being carried out.

The IGRTC is also tasked with overseeing the remaining aspects of the transition to county governance (after the lapse of the 3-year transition period). The Transition Authority (TA), which was in charge of transition, was disbanded in March 2016 after the transition period came to an end. As part of the effort to operationalize consultative and cooperative governance, the Intergovernmental Relations Act 2012 establishes a number of intergovernmental relations structures and institutions to provide a framework for cooperation and consultations among the two levels of government. The IGR M&E framework will track the implementation of the functions and results in intergovernmental relations.

2.2 Existing M&E Frameworks and Systems

Constitutional principles and objectives require accountability, transparency and public participation in governance processes (Article 10). Monitoring and evaluation of national and county governments provides a basis for ensuring that these constitutional principles are met. Accordingly, a number of laws and policies require and provide for planning, and monitoring and evaluation of implementation. The main M&E frameworks developed by the Monitoring and Evaluation Department (MED) in the Ministry of Devolution and Planning (MDP) are the National Integrated Monitoring and Evaluation System (NIMES) that monitors and evaluates the performance of the national government, and the County Integrated Monitoring and Evaluation System (CIMES) that monitors and evaluates the performance of county governments. There are also ministerial plans and sectoral monitoring and evaluation systems that have been developed to assist in assessment of sectoral performance.

2.3 PURPOSE OF M&E FRAMEWORK AND INSTITUTIONAL ARRANGEMENTS

2.3.1 Purpose of the IGR M&E Framework

This IGRM&E framework is critical to the successful implementation of intergovernmental relations and effective and efficient service delivery by national and county governments. The framework is intended to provide an effective and efficient methodical process towards regular and systematic gathering, capturing, analysis and dissemination of information on progress of intergovernmental relations and overall implementation of system of devolved government. The specific aims of the M&E framework are to: -

- (a) Determine progress of IGR programs/ plans and policies
- (b) Avail data necessary for dispute resolution between governments and within governments
- (c) Enhance consultation, cooperation and coordination between the two levels of government and amongst county governments
- (d) Enhance accountability and transparency among and between governments
- (e) Enhance efficiency and avoid duplication of roles, functions and reduce wastages
- (f) Evaluate performance of the national government and county governments
- (g) Facilitate appropriate feedback for improved performance

In fulfilling these aims, the IGRM&E framework will take into account and leverage on existing monitoring and evaluation processes and systems including NIMES, CIMES and other sectoral and institutional M&E systems. Unique aspects not monitored by the existing framework will be captured through targeted surveys (see Survey Instrument in Appendix 1).

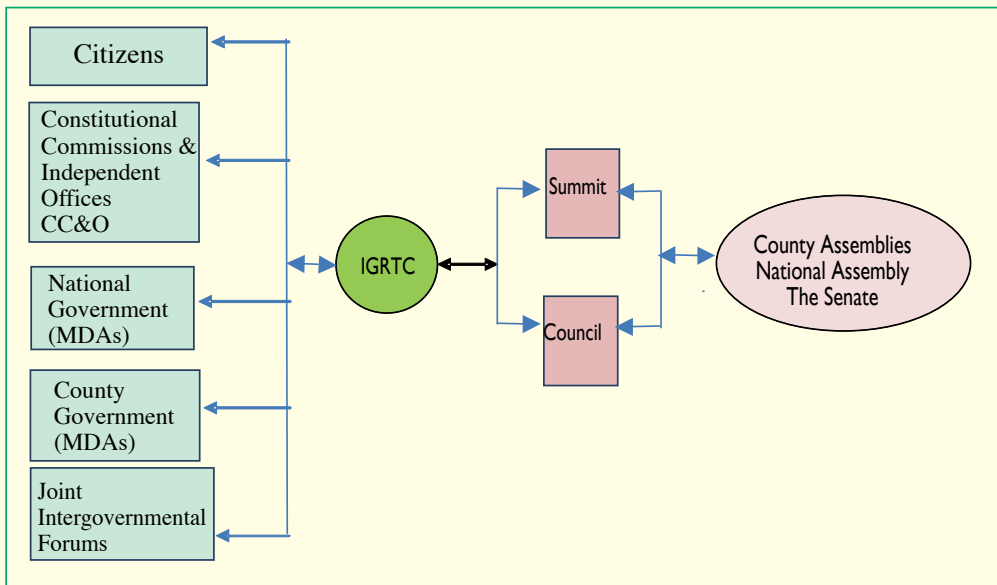
2.3.2 Institutional Arrangements

Key stakeholders in service delivery include the citizens, national government structures, county government structures and non-governmental organizations. To effectively monitor and evaluate IGR and performance of national government and county governments, IGRTC will collaborate with Ministries, Departments and Agencies (MDAs) charged with delivery of specific functions. Relevant information from reports and documents generated by these institutions will be useful in this framework. Table 1 presents the key stakeholders and their roles and responsibilities in M&E of IGR and performance of national and county government. Figure 1 summarizes the institutional arrangements for reporting and feedback by the IGRTC

Table 1: Key Stakeholders and their Roles in IGR M&E

Key Stakeholder		Roles
1	The Summit	Annual report to the National Assembly, the Senate and county assemblies, assess performance of county and national governments, act on resolutions and recommendations from framework
2	CoG	Oversight and policy, dispute and dispute resolutions, collecting data and reporting on implementation of CIDPs to the Summit (quarterly reporting on county performance)
3	IGRTC	Coordination, dispute resolution, monitoring and evaluation of IGR, evaluation of performance of national and county governments, quarterly reports to the Summit and Council, surveys-data collection, analysis and reporting
4.	National government (Ministries, Departments and Agencies)	Support IGR M&E through: resourcing/ funding, information sharing, legislation and policy formulation and overall compliance, auditing/ accounting for the expenditure, capacity building in form of trainings, tracking effectiveness and efficiency of service delivery through prudent use of resources, implementation of recommendations of the Summit
5.	County governments (departments and entities)	Support IGR M&E through: resourcing/ funding, information management and sharing, provision of services, legislation and policy formulation at county level, building capacities, compliance, service delivery at lowest unit, implement recommendations of the Summit and the CoG
6.	Development Partners (e.g. UNICEF, corporates, World Bank, UNDP, civil societies - NGOs, CBOs, FBOs)	Capacity building, technical and financial assistance, dispute resolution, provision of information
7.	Other intergovernmental relations structures (IBEC, CIF, sectoral forums, CAF, joint committees,	Report on implementation of resolutions and results, achievements, challenges, lessons learnt
8.	Senate, National Assembly, county assemblies	Legislation and oversight, consideration of reports by the CoG and the Summit, feed-backing on reports
9.	Citizens	To provide feedback
10.	Constitutional Commissions and Independent Offices (CC&IOs)-	Provision of data on intergovernmental relations, implementation of resolutions

Figure 1: Institutional arrangements for reporting and feedback by the IGRTC



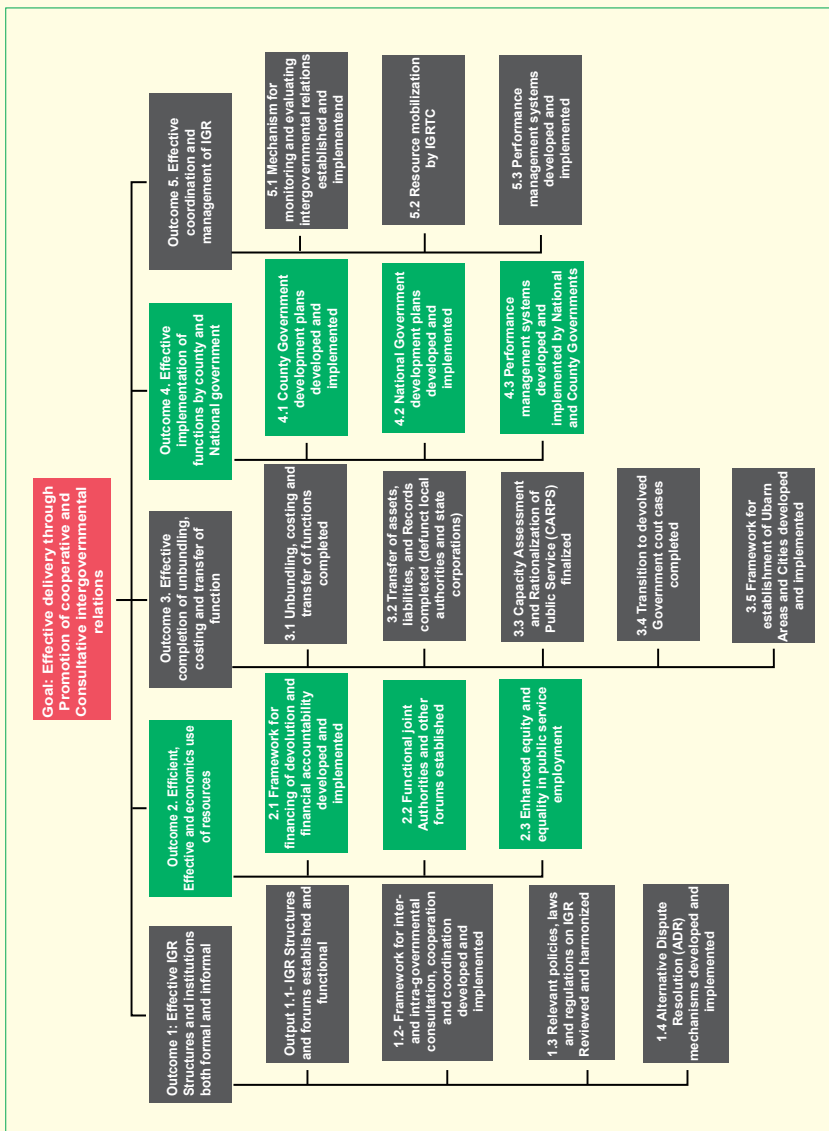
Chapter 3

3.0 RESULT FRAMEWORK

3.1 Background

Data on performance of national and county governments and intergovernmental relations will be based on indicators at three main result levels: (i) Goal (impacts) (ii) Objective (outcome), and (iii) output. Figure 1 presents the log-frame, with the indicators provided in the following sections

Figure 2: Results Framework-Log-frame



3.2 Impact Indicators

Table 2 below presents the impacts indicators on performance of national and county governments and intergovernmental relations

Table 2: Impact indicators

Logic	Objectively Verifiable Indicators (OVIs)	Means of Verification (MoV)	Assumptions
Goal: Effective service delivery through promotion of cooperative and consultative intergovernmental relations	Number and percentage of change in disputes between county and national government by type	<ul style="list-style-type: none"> • Surveys (primary and secondary sources) • Auditor General Reports • Economic Surveys • Reports by Ministry of Education • Health and morbidity studies • Civil society surveys 	Political goodwill, adequate resources for the intergovernmental structures, stakeholder support
	Number and percentage of change in disputes between county governments by type		
	Percentage of change in cost of litigation		
	Percentage of change in citizen satisfaction with service delivery		

3.3 Outcome and Output Indicators on Implementation of Intergovernmental Relations

Table 3 presents the output indicators on implementation of intergovernmental relations

Table 3: Outcome and Output Indicators on Implementation of Intergovernmental Relations

Logic	OVis	MoV	Assumption
<p>1. Effective and efficient IGR structures and institutions both formal and informal</p> <p>Formal structures: the Summit, the CoG , the IGRTC , IBEC, County Security Forum, Sectoral Forums- County Economic Forum</p> <p>Informal structures: CAF, County economic blocs, Joint investments between national and county government and between county governments</p>	Percentage of change in funding to IGR structures	<p>✓ IGR agenda and reports</p> <p>✓ Survey report</p>	<p>Willingness of counties and national government to participate in and implement resolutions</p>
	Number of meetings held		
	Number of resolutions made		
	Percentage of the members of the forum satisfied with service delivery		
	Percentage of compliance with the agreements/ MOUs		
<p>1.1 IGR Structures and forums established and functional (the Summit, the CoG , Sectoral, county security, IBEC, county economic forum, CAF, county economic blocs)</p>	No. of structures established by type	✓ Minutes of meetings	<ul style="list-style-type: none"> • Ownership of structures by stakeholders • Adequate support (financial, policy)
	No. of meetings by structure/ forum	✓ Conference proceedings	
	No. of people participating in meetings	✓ Annual reports of county government and national government	
	No of conferences on IGR organized	✓ County government and national government survey reports	
	No. of Agreements/ MOUs signed between county governments and national government	✓ MoU/ Agreements signed	
	No. of Agreements/ MOUs signed between county governments		

Logic	OVis	MoV	Assumption
1.2 Framework for intergovernmental and intra governmental consultation, cooperation and coordination developed and implemented	No of policies, laws and regulations passed on IGR structures by type	<ul style="list-style-type: none"> ✓ County government and national government survey reports ✓ IGR Reports 	<ul style="list-style-type: none"> • Resources • Political goodwill and support
	No. of sector forums established		
	No. of sectoral forum meetings held		
1.3 Relevant policies, laws and regulations on IGR reviewed and harmonized	No. of existing policies reviewed and aligned to IGR by sector		
	No. of existing laws reviewed and aligned to IGR by sector		
	No. of regulations reviewed and aligned to IGR by sector		
	No of disputes related to IGR policies, laws and regulations resolved		
1.4 Alternative Dispute Resolution (ADR) mechanisms developed and implemented	ADR policies developed and implemented	<ul style="list-style-type: none"> ✓ County government and national government survey reports ✓ IGRTC ✓ CoG 	<ul style="list-style-type: none"> • Cooperation from stakeholders, adequate funding to mechanisms
	ADR laws developed and implemented		
	ADR regulations developed and implemented		
	No. of disputes reported to ADR		
	No. of Counties adopting the ADR		
	Percentage of IGR disputes resolved through ADR		
	Percentage of compliance with the agreements		

3.4 Indicators on Performance of National and County Governments

Article 10 of the Constitution provides for national values and principles of governance to be complied with by all State organs, State officers, and public officers. Indicators on compliance with values and principles are outlined in Table 4.

Table 4: Outcome and Output Indicators on National and County Government Performance

Logic	OVI	MoV	Assumption
2. Efficient, effective and economic use of resources	Percentage of unqualified audit reports	✓ OAG Reports	Political stability, adequate funding, efficient technology, timely reporting
	Percentage absorption of the budget	✓ CoB Reports	
	Percentage of achievement of performance contracting targets	✓ CRA	
	Timely disbursement of funding	✓ Council Surveys	
2.1 Framework for financing of devolution and financial accountability developed and implemented	Framework in place	✓ National Treasury	Availability of funding political goodwill
	Amount of funds disbursed as per allocation in budget	✓ NGOs	
	Development expenditures as % percentage of total aggregated expenditure	✓ Development Partners	
	Percentage of change in level of bills (both county and national government)	✓ CoB Reports	
	Compliance with approved debt reduction strategy ratio	✓ County government and national government financial reports	
	Compliance with approved debt ratio	✓ County government and national audit reports	
	Functional internal audit system	✓ Exchequer release reports	
	Functional M&E system in place	✓ Debt management reports	
	National revenue generation as a Percentage of the national budget	✓ EACC Reports	
	County government revenue generation as a Percentage of the county government budget		
	Value of national government capital investments and budget funded by national revenue		
	Amount of conditional grants disbursed to counties		

Logic	OVI	MoV	Assumption
2.3 Functional Joint Authorities and other forums established	Guidelines for Joint Authorities/ Economic Blocs developed	✓ Survey Report	Compliance by members
	No. of Joint Authorities/ Economic Blocs formed	✓ County government reports	
	No. of Joint programs implemented	✓ MODA	
	Amount of joint investments from the joint Authorities/ Economic forums	✓ National Treasury	
	No of MOUs between members of the economic forums	✓ Council Reports	
	Percentage of compliance with the terms of MOUs among county governments in the economic forums	✓ Technical Committee Summit reports to legislative bodies	
2.4 Enhanced equity and equality in public service employment	Percentage of staff in national government public service by ethnic group	✓ NCIC	Political goodwill
	Percentage of staff in county government public service by ethnic group	✓ GC	
	Percentage of staff with disabilities in national government public service	✓ Ministry of PSYG	
	Percentage of staff with disabilities in county government public service	✓ CPSB report on staff	
	Percentage of women and men employed in national government public service	✓ PSC reports	
	Percentage of women and men employed in county government public service	✓ Survey reports	
	Percentage of staff in county government public service from youth groups	✓ CAJ Reports	
	Percent of employees from outside the dominant community in the County	✓ EACC Reports	

3.5 Unbundling and Transfer of Functions Indicators

One of the mandates of the IGRTC is to facilitate the completion of the transition to devolved government for the optimal functioning of national and county governments. Table 5 below presents output indicators on implementation of activities relating to transition to devolved governments.

Table 5: Outcome and Output Indicators on Unbundling and Transfer of Functions

Logic	OVI	MoV	Assumptions
3. Effective and efficient completion of unbundling, costing and transfer of functions	Number of the functions transferred and taken up by the national and county governments	<ul style="list-style-type: none"> ✓ Survey reports ✓ National and county government reports 	<ul style="list-style-type: none"> - Political goodwill, adequate resources in place
	Regulations on transferred functions developed		
	Level of funding based on costing of functions		
	Number of function-based disputes		
3.1 Unbundling, costing and transfer of functions completed	Framework for transfer of functions developed under mutual agreement	<ul style="list-style-type: none"> ✓ Gazette Notice of transfer ✓ Report on costing and unbundling of functions ✓ MOUs/ Agreements on transfer of functions signed 	<ul style="list-style-type: none"> - Adequate resources - Cooperation from MDAs
	Number of functions transferred		
	Number of functions costed		
	Number of functions of state corporations' functions unbundled and transferred		
	Number of residual functions unbundled, costed and transferred under mutual agreement		
	Number of concurrent functions unbundled, costed and transferred under mutual agreements		

Logic	OVI	MoV	Assumption
3.2 Transfer of assets, liabilities, Records (defunct local authorities and state corporations) completed	Framework for transfer of assets and liabilities developed and implemented	✓ Gazette Notice on transfer of assets and liabilities, survey report	
	Percentage of assets of transferred to national and county governments		
	Percentage of liabilities transferred to national and county governments	✓ The IGRTC reports	
	Percentage of public records appraised and transferred		
3.3 Capacity Assessment and Rationalization of Public Service (CARPS) finalized	Capacity Assessment and Rationalization of Public Service (CARPS) finalized	✓ CARPS report	
3.4 Transition to devolved government court cases completed	No. of court cases related to devolved government determined	- The IGRTC Reports	
	Percentage of court determinations executed		
	ADR Determinations		
3.5 Framework for establishment of Urban Areas and Cities developed and implemented	Time taken to resolve the cases		
	Framework for establishment of Urban Areas and Cities in place	- Assessment and classification report	
	Number of Urban Areas and Cities established		
Management boards established			

3.6 Indicators on Implementation of Functions

The Constitution of Kenya, 2010 established the national and county governments, each with specific roles as outlined in the Fourth Schedule. The national government and county governments are required to consult and co-operate with each other. Where there is a dispute of laws, in a matter concerning counties, the county law overrides, and that national law sets the essential standards for the whole country¹. The indicators for tracking implementation of devolution are presented in Table 6.

¹ Article 191 (4) of CoK 2010

Table 6: Outcome and Output Indicators in Implementation of Functions

Logic	OVI	MoV	Assumption
4. Effective and efficient implementation of functions by county and national government	Level of public satisfaction with services	✓ Citizen satisfaction survey report	<ul style="list-style-type: none"> • Economic • Political goodwill
	Percentage of reduction in function related disputes between executive and legislature at national level	✓ National and county government reports	
	Percentage of reduction in function related disputes between executive and legislature at county level	✓ Court Judgments	
	Percentage of function-based disputes resolved at national level	✓ ADR reports	
	Percentage of function-based disputes resolved at county level	✓ MOUs/ Agreements under Art 188	
	Extent of decentralization of service by county governments	✓ Surveys	
		✓ CIMEs	
4.1 County government development plans developed and implemented	Number of national government departments that have assisted counties in preparation of CIDPs		
	Proportion of the activities in the CIDP funded and implemented		
	Number of activities implemented outside the CIDP		
	Percentage of CIDP financed by revenue generated by the county		
	Number of other plans ¹ developed and implemented		
	Number of counties with a shared services platform		

Logic	OVI	MoV	Assumption
4.2 National government development plans developed and implemented	Percentage of the activities of national development plan implemented	<ul style="list-style-type: none"> ✓ NIMES ✓ MDA reports ✓ National audit reports ✓ KNBS reports 	
	Number of national government MDAs that provided technical support to county public service (other than in CIDPs)		
	Number of activities implemented outside the national development plan		
	Percentage of national government activities aligned to CIDPs (by sector)		
4.3 Performance management systems developed and implemented by national and county governments	Performance management system in place		
	Service charter developed		
	Percentage of compliance with service charter		
	Citizen satisfaction index		
	PM Systems audit in place		
	Audit compliance index		

3.7 Indicators on Effectiveness of Coordination and Management of IGR

Table 7 presents indicators on effectiveness of coordination and management of IGR and for monitoring and evaluating national government and county government performance.

Table 7: Outcome and Output Indicators on Effectiveness of Coordination and Management of IGR

Logic	OVI	MoV	Assumptions
5. Effective and efficient coordination and management of IGR	Number of the advisories and recommendations adopted by the Summit, the CoG and county governments	<ul style="list-style-type: none"> ✓ Minutes of meetings ✓ IGR Reports 	<ul style="list-style-type: none"> • Political goodwill • Stakeholders participation
	Number of IGR consultative meetings		

Logic	OVI	MoV	Assumptions
5.1 Mechanism for monitoring and evaluating intergovernmental relations established and implemented	An integrated M&E system established and implemented by IGRTC	<ul style="list-style-type: none"> ✓ NG Reports, ✓ CG, ✓ MDAs M&E reports ✓ Evaluation reports 	<ul style="list-style-type: none"> • Resourcing of M&E • Leadership support
	Stakeholders trained in M&E of intergovernmental relations		
	Number of evaluations of national and county governments performance conducted		
	Annual reports prepared and submitted by the Summit		
	Annual reports prepared and submitted by Council		
	Quarterly reports prepared and submitted by the IGRTC		
5.2 Resources mobilized effectively by the IGRTC	Percentage of national government support for the IGRTC annual budget	✓ IGRTC reports	<ul style="list-style-type: none"> • Cooperation from financiers, integrity in resource use
	No. of development partnerships established by the IGRTC		
	Percentage of the IGRTC annual budget funded by development partners		

Logic	OVI	MoV	Assumptions
5.3 Performance management systems developed and implemented	Performance management system in place	<ul style="list-style-type: none"> ✓ Evaluation reports ✓ Survey reports ✓ PM reports 	<ul style="list-style-type: none"> • Leadership support • Resource availability
	Service charter developed		
	Percentage of compliance with service charter		
	Citizen satisfaction index		
	Performance Management Systems audit in place		
	Audit compliance index		

Chapter 4

4.0 DATA COLLECTION AND MANAGEMENT

4.1 Background

Being the Secretariat of the Summit and CoG, IGRTC is responsible for overall management of data on intergovernmental relations and reporting on the performance of national and county governments.

A mixed methods approach will be used to collect data from both secondary and primary sources. Secondary data will be collected from review of reports and documents by relevant MDAs (including Annual Development Plans, County Budget Review and Outlook Paper (CBROP), County Fiscal Strategy Paper (CFSP), CIDP, Sector plans, county budget, county annual financial statements, M&E reports, county internal audits reports, county assembly oversight reports, Kenya National Audit reports, Controller of Budget reports, National budget reports). Primary data will be collected through focus group discussions and key informant interviews. Data collection will be based on the identified indicators and guided by the data collection tool provided in Annex 1. Data collection, analysis and reporting will be done at the county government and national government levels. The main monitoring activities will include regular follow-ups, field monitoring visits, minutes of meetings, specific assessments and specialist studies. Evaluation activities will include baseline survey, annual and some specific impact assessments (Table 9).

The IGR M&E framework will piggy-back on existing databases and frameworks established by MDAs including NIMES and CIMES. IGRTC will make specific arrangements with relevant MDAs, including signing of MOUs and request letters, to ensure regular access to data from the different institutions.

4.2 Information Management (MIS)/ M&E Database and Linkage to Existing Systems (NIMES, CIMES)

A comprehensive, integrated physical, financial and impact monitoring database will be established at the IGRTC to capture data on the various indicators. The management of the database will be coordinated by the monitoring and evaluation unit at the IGRTC. The database will allow users to access specific data and analyze it at different levels including ward, sub-county and county. It will facilitate the production of quarterly, biannual and annual M&E reports.

Table 8: Summary of the Monitoring and Evaluation Activities

Activity	Aim of Activity	Frequency	Responsible
Monitoring			
1. Field visits	Check on status of implementation	Quarterly	Director
2. Staff meeting	To share information between committees	Monthly	CEO
3. County secretaries' meetings	Update on progress and identify issues for consideration by the Summit	Biannual	Director, the Summit, and the CoG affairs
4. The Summit meetings	Deliberate on issues identified to affect devolution and share information on performance of national government and county governments	Biannual	Director Summit, and the CoG Affairs
Evaluation			
1. Annual Evaluation	To establish progress on implementation of the system of devolved government and intergovernmental relations	Annually	Director
2. Baseline evaluation	Establish baseline status of the indicators, shall form a basis for measuring progress in the subsequent years of implementation	At start	Director
3. Staff performance appraisal	To ascertain whether staff are on course with set targets and standards	Annually	CEO
Data Management			
1. Data collection	To determine what and how to collect data	Continuous	Director
2. Data processing	To enter, validate, update and describe data	Continuous	
3. Data analysis and use	To interpret and prepare data for presentation Use data for decision making	Continuous	
4. Data storage	To establish a central data depository system		

4.3 Data Quality Management

Regular verification of data quality will be done by the IGRTC to guarantee quality decision making. Assessment of quality will be based on the following quality standards. Annex 2 presents the data quality assessment/ assurance form.

- a) **Validity:** Unit of measure -data must be reported uniformly in the required unit for every indicator; b) Definitional inclusions – data to be collected from the pre-determined sample groups by type for every indicator, for instance CECs, county secretaries, clerk of the assembly (county and national government), NIMES and CIMES units, and citizens; c) Disaggregation of data – data submitted will be disaggregated in terms of administrative units, gender, age where applicable; and d) Source of data- sources of data must be uniform across the counties for every indicator
- b) **Reliability:** Collection methodology – uniform methodology and standard tools will be used for any one indicator; b) Data collection instruments – standard instruments will be used in data collection; c) Sampling frameworks – uniform sampling framework shall be used for both baseline and progressive reporting; d) Collection personnel – data collection will be done by trained enumerators; and e) Data analysis will be by qualified data analysts, using standard statistical procedures and software.
- c) **Timeliness:** Frequency of collection – data collection will be timely to meet reporting timelines; b) Reporting frequency – reporting will follow the timelines provided in the reporting plans and guidelines; c) Collection/ Reporting time lags - data must be current and a maximum reporting time lag of 1 month will be allowed.
- d) **Precision:** Source error – a maximum source error of ± 0.1 will be acceptable depending on the indicator; b) Instrument error – an instrument error of ± 0.1 will be accepted, where applicable; and c) Sampling error - allowable sampling error limits will be ± 0.05 , depending on the indicator.
- e) **Integrity:** Source integrity – data must be full proof and free of manipulation; b) Collector integrity - data collectors must be persons of integrity and trustworthy; and c) Electronic storage - a data management system will be used and this will be updated regularly.

Chapter 5

5.0 IMPLEMENTATION

5.1 DOCUMENTATION AND DISSEMINATION PLAN

The Intergovernmental Relations Act of 2102 requires the IGRTC to submit quarterly reports to the Summit . The Summit is, in turn, required to submit an annual report to the National Assembly, the Senate and the county assemblies within three months of the end of every financial year. Each of these institutions is required by law to consider the report and make recommendations, if any, to the Summit . Within three months of every financial year, the CoG is also required to submit a report to the Summit , the Senate and the National Assembly. As the secretariat of the Summit , and the CoG , the IGRTC will compile these reports in good time for approval by the Summit and the CoG prior to their submission to the relevant entities. Table 9 outlines the documents from the Intergovernmental Relations Technical Committee M&E activities, and the dissemination plan.

Table 9: Key Documents and dissemination plans

Institution	Document	Audience
1. IGRTC	Quarterly progress reports	<ul style="list-style-type: none">• The Summit• Citizens
2. This Summit	Annual progress reports	<ul style="list-style-type: none">• National Assembly,• the Senate• County assemblies
3. CoG	Quarterly progress reports	<ul style="list-style-type: none">• The Summit ,• Senate,• National Assembly• County assemblies

5.2 IMPLEMENTATION OF THE M&E FRAMEWORK

The IGRTC will operationalize the M&E framework through the following initiatives:

5.2.1 Internal M&E unit

The IGRTC will establish a Monitoring and Evaluation Unit to lead implementation of the framework and manage the database. The unit will coordinate regular data collection, analysis, reporting, and dissemination on specific indicators (output, outcome and impacts) from both primary and secondary data sources. Annual surveys will be organized where data sources do not exist or to complement information from existing data sources.

An integrated web-based database managed by the M&E Unit of the committee is recommended to facilitate continuous tracking of data on the indicators and access to information by stakeholders. Additionally, the M&E framework will be integrated with other systems for reporting including CIMES and NIMES.

Collaboration with implementing institutions at senior leadership level is recommended to establish an enabling environment for monitoring and reporting on identified indicators

5.2.2 Necessary Capacities

The actual capacity gaps need to be specified and appropriate action taken to ensure effective implementation of the framework. Capacity building of the IGRTC and other MDAs on M&E will be required. The necessary capacities include;

- a. Human resources and capacities – including staff, skills and equipment for data collection, analysis and reporting
- b. Financial resources – in support of monitoring, evaluation and reporting by the responsible entities and the M&E unit
- c. Database – an Integrated M&E system and ICT support

5.2.3 Review and Update of Monitoring and Evaluation Framework

A review and update mechanism need to be in place because program changes can and will inevitably occur. These changes may affect the original M&E plan for both performance monitoring and impact evaluation. The review and updates, where needed, will be done at the end of every quarter. The following key M&E Plan implementation questions shall inform the review and update mechanism:

- Are the M&E activities progressing as planned?
- Are M&E questions answered sufficiently? Are other data needed to answer these questions? How can such data be obtained?
- Are there any methodological or evaluation design issues that need to be addressed? Are there any practical or political factors that need to be considered?
- Are any changes in the M&E plan needed this time? How will these changes be made? Who will implement them?
- Are appropriate staff and funding still available to complete the evaluation plan?

These questions will be continuously answered during program implementation. The resulting responses will be documented, and will inform update of framework.

APPENDICES

APPENDIX 1: ASSESSMENT TOOL

a) Assessment of uptake and implementation of county government mandates and functions

Questionnaire to County Governments

Name of the County: _____, County No. _____, Date: _____

Name of Interviewer _____, Designation of Respondent _____

Establishment of Intergovernmental Mechanisms				
1. County intergovernmental forums established and functional in each county.	Q1. Which intergovernmental forums have been established by the county government? How many times have the forums been organized (during the FY)?			
	Intergovernmental Forum	1. Yes	# of times	
		2. No		
	a. County intergovernmental forum			
	b. County policing authority			
	c. Citizens forums			
	d. Information center			
	- Comment on effectiveness of each forum (proportion of resolutions implemented)			
2. Structures and mechanisms for interaction between national government and county governments, and between county governments established and functional	Q2. How many times have the following forums been held? Comment on participation by members			
	a. The Summit (IGRA, 2012)			
	b. The CoG (IGRA, 2012)			
	c. Joint intergovernmental technical committee			
	d. Intergovernmental budget and economic council			
	e. Sectoral intergovernmental consultative forum –			
	f. National conference on IGR			
	g. County secretaries' meetings			
	h. Joint committees-county assemblies			
	i. Others (specify)			
	Comment on:			
	- Effectiveness of each forum			
	- Proportion of resolutions implemented			
- Challenges faced by the IGR structure				
Q3. Have you experienced any intergovernmental disputes?				
1. Yes 2. No				
Q4. If Yes to Q3, which disputes have been experienced?				

Results Areas	Assessment Questions		
	Disputes that have been experienced		How they were resolved
	Are there disputes that were taken to courts (Specify if any)		
	Q5. What are the potential areas of disputes? Give possible solutions for each dispute.		
	Potential dispute		Possible solution
3. Participation of the counties in inter-county projects (IGRA, 2012)	Q6. Has the county participated in any inter-county projects? 1. Yes 2. No		
4. Frequency of reporting	Q7. How many times has the county reported to the CoG, e.g. per FY?		
5. Framework for inter and intra governmental cooperation, consultation and coordination	Q8. Has the government developed any laws, policies and regulations on IGR structures		
	Policy/law/regulation	Sector	Status 1. In progress 2. Approved 3. Assented to
	Challenge/issue		
	1.		
	2.		
	3.		
	4.		
	5.		
	6.		
	7.		
Comment on any disputes related to IGR policies, laws and regulations and whether resolved or not			

Results Areas	Assessment Questions		
6. Public participation frameworks (laws, structures, platforms, programmes)	Q 9. Public participation framework(s) developed or supported by the government (specify)		
	a. How does the county ensure that the public participates in their sittings and committees?		
	(Access to the public gallery)		
	(Through petition)		
	(Memorandum)		
	(Press adverts)		
	(Holding stakeholder consultations)		
	(Any other, specify)		
	b. Which of the following structures has your county government established to facilitate citizen participation in county government programmes?		
	Structure	Status: 1. Yes 2. No	Major achievement
	i. Information communication technology-based platforms;		
	ii. Town hall meetings		
	iii. Budget preparation and validation fora;		
	iv. Notice boards:		
	v. Avenues for the participation of peoples' representatives (e.g. members of the National Assembly and Senate);		
	vi. Citizen forum (Urban Areas and Cities Act)		
	c. What mechanisms has the county government put in place to receive and respond to petitions		
	d. How many petitions has the county government received and responded to in the last financial year		
	e. How does the county treasury facilitate public participation in matters relating to budget process?		
	f. Which policies, laws and regulations has the county developed and approved by county assembly to give effect to the requirement for effective citizen participation in development planning and governance?		
	Policy/law/regulation	Status 4. In progress 5. Approved 6. Assented to	Achievement
	1.		
	2.		
	3.		
	4.		
	g. What challenges has the county government encountered in undertaking public participation and proposed solutions		

Results Areas	Assessment Questions			
7. Unbundling, Costing and transfer of functions completed	Q10. Framework for transfer of functions developed under mutual agreement? 1. Yes 2. No			
	Q11. No. of functions of state corporations, concurrent and residual functions unbundled?			
	Q12. No of functions transferred?			
	Q13. How many of the transferred functions have been adopted?			
	Q14. No. of sectors costed?			
	Q15. Is the funding based on the costing of functions? 1. Yes 2. No			
	Q16. If No. which sectors have been underfunded?			
	Q17. Any Disputes related to implementation of unbundling and transfer of functions			
	Function		Dispute	
	1.			
2.				
3.				
Q18. Rate the delivery on unbundling and transfer of functions on a scale of 1-10				
Comments/Observations/Additional Information				
8. Service delivery mechanisms established to facilitate delivery of services in urban areas, cities towns and municipalities.	Q19. From the following list of service delivery mechanisms, which one(s) have been established and functional in your county?			
	Service delivery mechanisms	Status: 1. Established 2. Not Established	Achievements	reasons
	a. Legislation on establishment of service delivery entities			
	b. Operational sectors and service delivery units			
	c. Partnership with a utility company			
	d. Joint delivery system of cross-city and cross-municipality services			
	e. Contract private entities (PPOA)			

Results Areas	Assessment Questions			
9. Integrated urban areas, cities and municipalities development plans	Q20. In your county, how many cities and municipalities have developed their integrated development plans?			
	Unit	Total #	# Developed Plans	# with approved plans
	Cities			
	Towns			
	Municipalities			
	Q21. What challenges have been faced in the implementation of Urban Areas and Cities Act? <ul style="list-style-type: none"> a. b. c. 			

Country Assembly					
Results Areas		Assessment Questions			
1. National and county assembly-roles include legislation, approvals, oversight and representation (CoK 2010)	Legislation-p, laws and regulations	Q22. In Table below, list the laws developed in your county (use separate sheet if space is inadequate)			
		Title policy, law, regulation	Area or sector addressed	Status: 1. In progress 2. Approved 3. Assented to	Emerging issues/ Challenges
		Q23. Is there a legislation (policy, law, regulation) that is in conflict with any legislation by parliament or another county? 1. Yes 2. No			
		Q24. If YES, provide a list of those laws and explain how they are in conflict.			
		What are the critical challenges your county is experiencing in reviewing/ developing policies, legislation, and regulations; and what are your recommendations?			
		Challenges		Recommendations	
		1.			
		2.			
	3.				
2. Oversight role of county assembly	Q25. What mechanisms has the county put in place to facilitate its oversight roles?				
	Q26. What oversight activities were conducted by the county assembly in the current financial year?				
	Q27. What changes or actions have taken place as a result of the oversight activities?				
	Q28. What are the major challenges experienced in exercising the oversight roles and the proposed solutions?				
	Challenges		Recommendations		
	Q29. What mechanisms has the county put in place to facilitate representative role of members?				
	Q30. What are the major challenges experienced in exercising the representative role and the proposed solutions?				
	Challenges		Recommendations		

Country Assembly

Results Areas

Assessment Questions

3. Approvals/
Authorization
role

Q31. What approvals/ authorizations were made by the assembly in the current financial year?

Approval	Duration	Comment/reason

Q32. What are the major challenges experienced in exercising the approval/ authorization role and the proposed solutions?

Challenges	Recommendations
1.	
2.	
3	
4.	

b) Assessment of uptake and implementation of national government mandates and functions

Questionnaire to County Governments

Name of the County: _____, County No. _____, Date: _____

Name of Interviewer _____, Designation of Respondent _____

1. Intergovernmental agreements signed- with county governments	Q1. Is there any intergovernmental agreement, with any county government? 1. Yes 2. No		
	Q2. If Yes to Q 1, indicate the type/name of the agreement, and if signed with county government.		
	Type/Name of Agreement/ sector	Signed with ... (specify County government)	Status of implementation 1. Implemented fully 2. Partly implemented 3. Not implemented
	1.		
	2.		
	3.		
	Comments/Observations/ Additional Information e.g.;		
	- Does the agreement provide for ADR mechanism		
	- Have the agreements been complied with		
	- What changes, if any have been observed from implementation		
- Challenges/ weaknesses			
2. Transfer of assets and liabilities previously held by central government, local authorities and public corporations prepared, updated and protected. Inventory would include physical assets, debts and liabilities, infrastructure and equipment, of the government and local authorizes.	Q3. Does your department/ministry have an inventory of liabilities relating to all the devolved functions? 1. Yes 2. No Which ones have been transferred..... what proportion?		
	Q4. From the inventory of assets and liabilities of the former central government and defunct local authorities, are there any (assets and liabilities) that were supposed to be transferred to the county government but have not been transferred? 1. Yes 2. No		
	If Yes to Q14, what proportion?....., (List them below) d. e. f.		
	Q5. Has the government entered into any MOUs on sharing of the assets? 1. Yes- (If yes list the assets covered by the MOUs) 2. No		

	MOU	Assets	Which government?
	1.		
	2.		
	3.		
	Q6. What complaints have been received regarding assets and liabilities and how have you handled such complaints?		
	Complaints	How they have been handled	
	1.		
	2.		
	Q7. How have you handled liabilities of central government related to devolved functions?		
	Liability	How they have been handled	
	1.		
	2.		
	Q8. Have all public records been assessed and transferred to the county government?		
	Q9. Any challenges to do with handling of public records		

Urban Areas and Cities		Assessment Questions	
4. Framework for establishment of urban areas and cities developed and implemented	Q10. Has a framework for establishment of urban areas and cities established and adopted		

Parliament				
Results Areas	Assessment Questions			
5. Parliament-roles include legislation, approvals, oversight and representation	Q11. In Table below, list the laws developed in your county (use separate sheet if space is inadequate)			
	Title policy, law, regulation	Area or sector addressed	Status: 4. In progress 5. Approved 6. Assented to	Emerging issues/ Challenges
	Q12. Is there a legislation (policy, law, regulation) that is in conflict with any legislation by a county? 3. Yes 4. No			
	Q13. If YES, provide a list of those laws and explain how they are in conflict.			
	What are the critical challenges the department/ government is experiencing in reviewing/ developing policies, legislation, and regulations; and what are your recommendations?			
	Challenges		Recommendations	
	1.			
2.				
3.				
6. Approvals/ Authorization role	Q33. What approvals/ authorizations were made by the parliament in the current financial year?			
	Approval		Duration	Comment/reason
	Q14. What are the major challenges experienced in exercising the approval/ authorization role and the proposed solutions?			
	Challenge		Solution	
	1.			
	2.			
	3.			
4.				

c) Assessment of performance of national and county governments

Questionnaire for Communities

Date: _____ Name of Interviewer _____,

1. a) What worked well.....
b) Why.....
2. a) What did not work well.....
b) Why.....
3. On a scale of 1-7 rate the performance of the government (reasons for rating)
.....
4. What improvements are required.....

Appendix 2: Data Quality Assessment (DQA) Form

Outcome or intermediate result (IR): Indicator:

Reviewer (s): Date reviewed: Data source:

Users of indicator:

Criterion	Description of aspects	Yes/No	Explanation
1. Validity Data clearly and adequately represent the intended result	Do the data clearly and adequately represent the intended result? Would an outsider or expert in the field agree that the indicator is a valid and logical measure for the stated result? Does the indicator measure results of interventions?		
2. Integrity The data should have safeguards to minimize the risk of transcription error or data manipulation	Does the data collected, analyzed and reported have established mechanisms in place to reduce manipulation or simple errors in transcription?		
3. Precision The data should have a sufficient level of detail to permit management decision-making	Is data sufficiently precise to present a fair picture of performance and enable management decision-making at the appropriate levels? Are there any measurement errors that could affect the data?		
4. Reliability Does data reflect stable and consistent collection processes and analysis methods over time?	Does data reflect stable and consistent data collection processes and analysis methods over time? Stability: if it gives consistent results with repeated measurements of the same object with the same instrument. Equivalency is the measure of how much error gets introduced by different investigators or different samples of the items being studied.		
5. Timeliness Data should be available at a useful frequency, be current, and timely enough to influence management decision-making	Is data timely enough to influence management decision-making i.e., in terms of frequency and currency?		
6. Sustainability	Are there mechanisms that will guarantee data collection in perpetuity		

Note:

1. Explanation: Reviewer needs to understand what mechanisms are in place to reduce the possibility of manipulation or transcription error.
2. Reliability: Refers to the consistency of scores or answers from one administration of an instrument to another, and from one set of items to another.
3. Criterion requires that the reviewer ensures that the indicator definition is operationally precise (i.e. clearly defines the exact data to be collected) and to verify that the data is in fact collected according to that standard definition consistently over time
4. It is the responsibility of monitoring officers to ensure data quality assessments for all projects are conducted as required. As a rule, a formal DQA must be done for all indicators that are reported on every year. Quality procedures must be in place to ensure that performance reporting data meets DQA standard criteria.

Appendix 3: Reporting Format

- i. Title page
- ii. Executive Summary
- iii. Introduction
- iv. Results (outputs, outcomes, impacts)
- v. Challenges
- vi. Lessons learnt
- vii. Recommendations and Conclusions
- viii. Future plans
- ix. Annexes

Appendix 4: Monitoring And Evaluation Matrix

Result Area	Objectively Verifiable Indicator (OVIs)	Baseline	Target	Responsible
Goal: Effective service delivery through promotion of cooperative and consultative intergovernmental relations	Number and percentage of change in disputes between county and national government by type	-	-	-
	Number and percentage of change in disputes between county governments by type	-	-	-
	Percentage of change in cost of litigation	-	-	-
	Percentage of IGR disputes filed in courts	-	-	-
	Percentage of change in citizen satisfaction with service delivery			
1. Effective IGR structures and institutions both formal and informal	Percentage of change in funding to IGR structures	-	-	-
	Number of meetings held	-	-	-
	Number of resolutions made	-	-	-
	Percentage of the members of the forum satisfied with service delivery	-	-	-
	Percentage of compliance with the agreements/MOUs	-	-	-
1.1 IGR structures and forums established and functional (the NCGCS , the CoG , sectoral, county security, IBEC, county economic forum, County economic blocs)	No. of structures established by type	-	-	-
	No. of meetings by structure/ forum	-	-	-
	No. of people participating in meetings	-	-	-
	Conference on IGR organized	-	-	-
	No. of Agreements/MOUs signed between county governments and national government	-	-	-
	No. of Agreements/ MOUs signed between county governments	-	-	-

Result Area	Objectively Verifiable Indicator (OVI)	Baseline	Target	Responsible
1.2 Framework for inter-governmental and intra governmental consultation, cooperation and coordination developed and implemented	No of policies, laws and regulations passed on IGR structures by type			
	No. of sector forums established			
	No. of sectoral forum meetings held	-	-	-
1.3 Relevant policies, laws and regulations on IGR reviewed and harmonized	No. of existing policies reviewed and aligned to IGR by sector	-	-	-
	No. of existing laws reviewed and aligned to IGR by sector	-	-	-
	No. of regulations reviewed and aligned to IGR by sector	-	-	-
	No of disputes related to IGR policies, laws and regulations resolved	-	-	-
1.4 Alternative Dispute Resolution (ADR) mechanisms developed and implemented	ADR regulations developed and implemented			
	No. of disputes reported to ADR	-	-	-
	No. of Counties adopting the ADR	-	-	-
	Percentage of IGR disputes resolved through ADR	-	-	-
	Percentage of compliance with the agreements	-	-	-
2. Efficient, effective and economic use of resources	Percentage of unqualified audit reports	-	-	-
	Percentage absorption of the budget	-	-	-
	Percentage of achievement of performance contracting targets			
	Timely disbursement of funding			

Result	Objectively Verifiable Indicator (OVIs)	Baseline	Target	Responsible
2.1 Framework for financing of devolution and financial accountability developed and implemented	Framework in place	-	-	-
	Amount of funds disbursed as per allocation in budget	-	-	-
	Development expenditures as % percentage of total aggregated expenditure	-	-	-
	Compliance with approved debt reduction strategy	-	-	-
	Compliance with approved debt ratio	-	-	-
	Functional Internal Audit System	-	-	-
	Functional M&E system in place	-	-	-
	National revenue generation as a % of the national budget	-	-	-
	County government revenue generation as a Percentage of the county government budget	-	-	-
	Value of national government capital investments and budget funded by national revenue	-	-	-
	Amount of conditional grants disbursed to counties	-	-	-
2.3 Functional Joint Authorities and other forums established	Guidelines for Joint Authorities/ Economic Blocs developed	-	-	-
	No. of Joint Authorities/ Economic Blocs formed	-	-	-
	No. of Joint programmes implemented	-	-	-
	Amount of Joint investments from the Joint Authorities/ Economic forums	-	-	-
	No of MOUs between members of the economic forums Percentage of compliance with the terms of MOUs among county governments in the economic forums	-	-	-

Result	Objectively Verifiable Indicator (OVIs)	Baseline	Target	Responsible
2.4 Enhanced equity and equality in public service employment	Percentage of staff in national government public service by ethnic group	-	-	-
	Percentage of staff in county government public service by ethnic group	-	-	-
	Percentage of staff with disabilities in national government public service Percentage of staff with disabilities in county government public service	-	-	-
	Percentage of women and men employed in national government public service	-	-	-
	Percentage of women and men employed in county government public service	-	-	-
	Percentage of staff in county government public service from youth groups	-	-	-
		Percentage of employees from outside the dominant community in the county	-	-
3. Effective completion of unbundling, costing and transfer of functions	No. of the functions transferred and taken up by the national and county governments			
	Regulations on transferred functions developed			
	Level of funding based on costing of functions	-	-	-
	No. of function-based disputes	-	-	-

Result	Objectively Verifiable Indicator (OVI)	Baseline	Target	Responsible
3.1 Unbundling, costing and transfer of functions completed	Framework for transfer of functions developed under mutual agreement	-	-	-
	No. of functions transferred	-	-	-
	No of sectors costed	-	-	-
	No. of functions of state corporations' functions unbundled and transferred	-	-	-
	No. of residual functions unbundled and transferred	-	-	-
	No. of concurrent functions unbundled and transferred	-	-	-
3.2 Transfer of assets, liabilities, and Records completed (defunct local authorities and statecorporations)	Framework for transfer of assets and liabilities developed and implemented	-	-	-
	Percentage of assets of transferred to national and county governments	-	-	-
	Per centage of liabilities transferred to national and county governments	-	-	-
	Percentage of public records appraised and transferred	-	-	-
	Capacity Assessment and Rationalization of Public Service (CARPS) finalized	-	-	-
3.3 Capacity Assessment and Rationalization of Public Service (CARPS) finalized	Capacity Assessment and Rationalization of Public Service (CARPS) finalized	-	-	-
3.4 Transition to devolved government court cases completed	No. of court cases related to devolved government determined	-	-	-
	Percentage of court determinations executed	-	-	-
	ADR Determinations implemented	-	-	-
3.5 Framework for establishment of Urban Areas and Cities developed and implemented	Framework for establishment of Urban Areas and Cities Act 2011 in place	-	-	-
	No. of Urban Areas and Cities established	-	-	-
	Management boards established	-	-	-

Result	Objectively Verifiable Indicator (OVIs)	Baseline	Target	Responsible
4. Effective implementation of functions by county and national government	Level of public satisfaction with services	-	-	-
	Percentage of reduction in function related disputes between executive and legislature at national level	-	-	-
	Percentage of reduction in function related disputes between executive and legislature at county level	-	-	-
	Percentage of function-based disputes resolved at national level	-	-	-
	Percentage of function-based disputes resolved at county level	-	-	-
	Extent of decentralization of service by county governments	-	-	-
4.1 County government development plans developed and implemented	No. of activities implemented outside the CIDP	-	-	-
	Proportion of the activities in the CIDP funded and implemented	-	-	-
	Percentage of CIDP financed by revenue generated by the county	-	-	-
	No. of other plans ¹ developed and implemented	-	-	-
	No. of counties with a shared services platform	-	-	-
4.2 National government development plans developed and implemented	Percentage of the activities of national development plan implemented	-	-	-
	No. of national government MDAs that provided technical support to County Public Service	-	-	-
	No. of activities implemented outside the national development plan	-	-	-
	Percentage of national government activities aligned to CIDPs (by sector)	-	-	-

Result	Objectively Verifiable Indicator (OVIs)	Baseline	Target	Responsible
4.3 Performance management systems developed and implemented by national and county governments	Performance management system in place	-	-	-
	Service charter developed	-	-	-
	Percentage of compliance with service charter	-	-	-
	Customer satisfaction index	-	-	-
	PM Systems audit in place	-	-	-
	Audit compliance index	-	-	-
5. Effective coordination and management of IGR	- No. of the advisories and recommendations adopted by the NCGCS , the CoG and county governments	-	-	-
	No. of IGR consultative meetings	-	-	-
5.1 Mechanism for monitoring and evaluating intergovernmental relations established and implemented	An integrated M&E system established and implemented by the IGRTC	-	-	-
	Stakeholders trained in M&E of intergovernmental relations	-	-	-
	No. of evaluations of national and county governments performance conducted	-	-	-
	Annual reports prepared and submitted by Summit	-	-	-
	Annual reports prepared and submitted by the CoG	-	-	-
	Quarterly reports prepared and submitted by the IGRTC	-	-	-
5.2 Resource mobilization by the IGRTC	Percentage of national government support for the IGRTC annual budget	-	-	-
	No. of development partnerships established by the IGRTC	-	-	-
	Percentage of the IGRTC annual budget funded by development partners	-	-	-

Result	Objectively Verifiable Indicator (OVIs)	Baseline	Target	Responsible
5.3 Performance management systems developed and implemented	Performance management system in place	-	-	-
	Service charter developed	-	-	-
	Percentage of compliance with service charter	-	-	-
	Customer satisfaction index	-	-	-
	Performance management Systems audit in place	-	-	-
	Audit compliance index	-	-	-

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