



**Annual Work plan
Support to the domestication of the NEPAD/APRM process in Kenya
Phase 2: "Sustaining the Dialogue"- REVISION B**

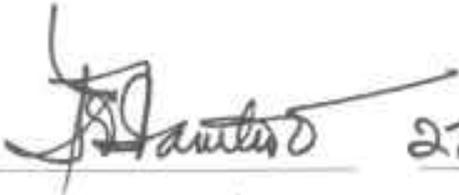
UNDAF Outcome 2	Enhanced capacity of key national and local level institutions for improved governance
Expected CPAP Outcome	Strengthened capacity of key institutions for enhanced efficiency, effectiveness, transparency and accountability in the formulation of pro-poor policies (CPAP Empowerment Component outcome a) Strengthened capacity for decentralized and participatory development (CPAP Empowerment Component outcome d)
Implementing partner:	Ministry of Planning and National Development through the NEPAD Kenya Secretariat

Project Summary –i) Outputs, ii) Activities, iii) Inputs:

(i) The project will have three immediate outputs to contribute to the realization of the above mentioned CPAP outcomes: (a) Strengthened Capacity of the NEPAD/APRM Secretariat to implement the APRM "Sustaining the Dialogue" programme (b) Enhanced awareness and understanding of development and reform programmes by non-state actors across Kenya making them more empowered to participate in the planning process (c) An institutionalised 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 provincial and district level into national planning (ii) The activities to be carried out to produce these outputs include institutional strengthening through the provision of United Nations Volunteers to the NEPAD/APRM Secretariat; the establishment of a Project Management Unit (PMU) to manage the APRM programme through a basket fund arrangement; awareness creation through stakeholder fora/workshops, development and dissemination of IEC materials/reports to citizens; the development and implementation of an action plan for citizens to be able to review the performance of the 3 arms of state on a regular and continuous basis, linking to NIMES; the establishment of Provincial APRM Resource Centres within the 8 Provinces (iii) The inputs required to produce the outputs above will include PMU staff, UNVs to assist with programme implementation within the NEPAD Secretariat; 2 short-term consultants; a total of 30 meetings, workshops/foras; a needs assessment for the rollout of APRM Resource Centres and based on this the recruitment of UNVs to man the centres and the purchase of equipment and vehicles

Programme Period: 2007 – 2009 (phase 2)
Programme Component: Empowerment
Project Title: The Domestication of NEPAD/APRM process in Kenya
Project ID: 00039383
Project Duration: 3 years (2007 -2009)
Management Arrangement: NEX

Budget (Basket fund)	2,646,150
General Management Support Fee	99,698
Total budget:	2,745,848
Allocated resources:	377,500
• Government	428,571
• Regular	
• Other:	
○ DfiD (direct)	92,857
• In kind contributions:	N/A
Unfunded budget:	1,846,920

Approved on behalf of	Signature	Date	Name/Title
Ministry of Planning and National Development		27/4/07	Edward Sambili Permanent Secretary
Ministry of Finance		29/5/07	Joseph Kinyua Permanent Secretary
UNDP		06/04/07	Elizabeth Lwanga Resident Representative



Part I. Situation Analysis

a) Background

This project is formulated and targeted within the context of the United Nations Development Assistance Framework (UNDAF) Outcome on the “Promotion of Good Governance and the Realization of Rights” and targets two of the Empowerment Components of UNDP’s programme of support to Kenya, specifically, namely:

- 1) “Strengthened capacity of key institutions for enhanced efficiency, effectiveness, transparency and accountability in the formulation of pro-poor policies” (CPAP Empowerment Component outcome a)
- 2) “Strengthened capacity for decentralized and participatory development (CPAP Empowerment Component outcome d)

The overall objective is to support country level processes that will lead to the domestication of the NEPAD/APRM processes in Kenya and increase the participation of all key stakeholders in this process.

The African Peer Review Mechanism (APRM) is an entirely voluntary process under which African states subject themselves to self-assessment followed by peer review by teams of independent African experts and a panel of the most distinguished African leaders, the African Peer Review Panel. The goal of the process is to enable countries to advance the reform agenda in line with NEPAD goals common to African states. The four core thematic areas of the APRM are:

- 1) Democracy and Political Governance
- 2) National Economic Governance and Management
- 3) Corporate Governance
- 4) 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 self-assessment process in Kenya was finalised in August 2005. The process was guided by an independent multi-stakeholder National Governing Council (NGC) comprising of a majority of non-state actors but with representatives of key line Ministries. This was so as to ensure that the APRM process was independent, participatory and inclusive.

The process culminated in June 2006 with the elaboration of the Kenya APRM National Self Assessment report and more importantly the development of a National Programme of Action (NPOA) along the four thematic areas and based on the key recommendations spelled out by stakeholders. The National Programme of Action clearly spells out the major objectives, problems or concerns identified, expected output, indicators, ongoing initiatives, estimated budget, time frame, implementing institution, stakeholders and monitoring and evaluation agency.

Alongside Ghana and Rwanda, Kenya is now looked upon to provide guidance and set an example to other African Countries starting the process.

In forging ahead with the APRM, Kenya has developed the Sustaining the dialogue programme which will look 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 Sustaining the Dialogue is a three year project. Details of this programme can be found in the NEPAD/APRM “Sustaining the Dialogue” Project Initiation document. This Annual Work plan looks specifically at initiation activities for the programme in 2007.

b) The NEPAD/APRM – “Sustaining the Dialogue” Programme

The NEPAD/APRM “Sustaining the dialogue” programme seeks to respond to the following challenges observed during the APRM self assessment process as described above:

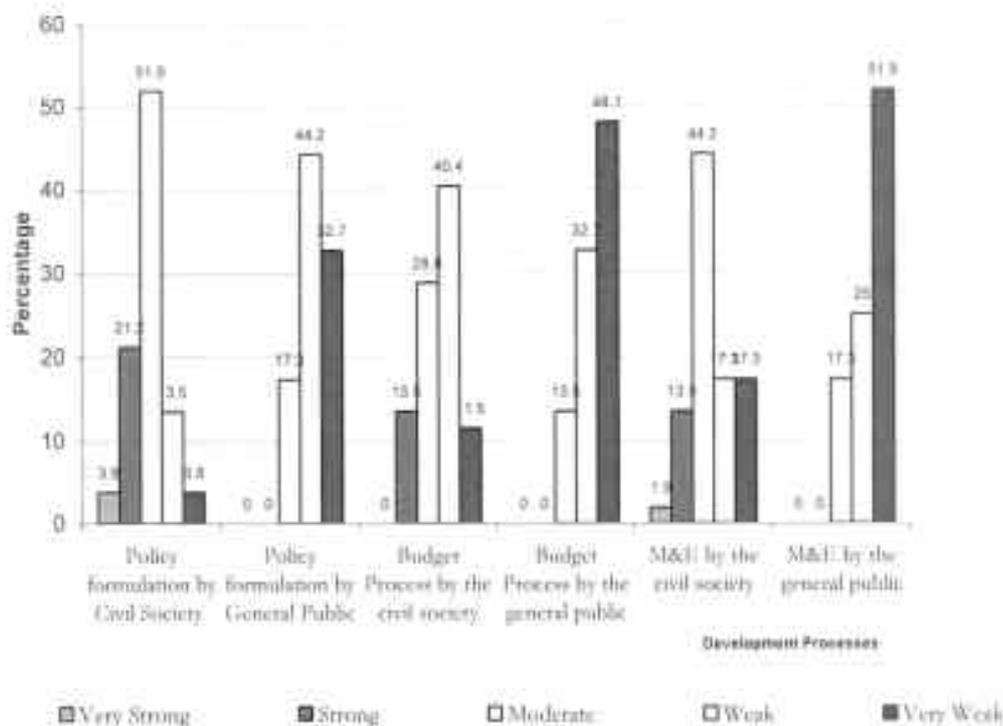
1) Challenges in participatory development:

“Although Kenyans are pleased with their own freedom, they express a sense of hopelessness in influencing public events, with 80% saying they felt incapable of changing major policies that affected them.” APR Kenya Self Assessment Report

Participatory development is now widely accepted as critical to the sustainability of development projects and therefore the findings above of the APRM self assessment were very disturbing. About 80 percent of Kenyans felt that they did not have the opportunity to influence decisions regarding provision of basic social services. The implication is that most of the service provision initiatives do not involve people in planning and implementation. These results also suggest that many Kenyans do not realize that it is their duty to participate in decision making processes that affect their lives. Expert opinion on participation of stakeholders in development is captured in the Figure below.

Though these figures reflect average situations the situation is by far worse for women, youth, minorities, and other marginalised constituencies who often have less voice.

Fig 4.9: Opinion on participation of stakeholders in development processes in Kenya



Source: APRM Survey Data, 2005

2) Challenges in representative democracy:

The challenge posed by lack of effective citizen participation in the development process is further compounded by the failure of elected leaders to articulate the interests of those whom they represent. The APRM revealed that the majority of respondents believed that the performance level of elected representatives is either poor or very poor (a rating of over 50%) for each of the six cited fields of activity. A 'moderately well' performance rating stands at an average of 18% rating and the rating between 'well' and 'very well' stands at a low average of 18%.

3) Challenges in making providers of public services more accountable to citizens:

The ARPM process revealed that there remains a low level of accountability for the provision of services to citizens, especially in poor areas. For this reason, essential services such as health, education, water, electricity and sanitation remain either unprovided or provided in amounts and quality that does not meet the requirements of the clients.

A large majority of Kenyans felt that they did not have the opportunity to influence decisions regarding the provision of basic social services. The implication is that most of the service provision initiatives do not involve people in the planning and implementation process.

Many efforts to date that seek to involve the public in the development process in Kenya have been ad hoc and one off. The APRM process was very successful and engaged a wide participation from Government and Non-State Actors. Deliberate attention was paid to ensure the participation of women, youth and marginalised groups. The NEPAD Secretariat proposes to further institutionalize the successful dialogue process that was undertaken in the APRM process through the implementation of the "APRM – Sustaining the Dialogue" programme. A continued public engagement and communication is going to be very critical to sustain the interest and participation of these stakeholders.

c) APRM "Sustaining the Dialogue" – Programme Objectives and Strategy

The NEPAD/APRM programme "*African Peer Review Mechanism – Sustaining the Dialogue*" programme has the following broad objective:

"Improved governance through providing Kenyans with a structured platform from which to monitor, evaluate and influence public policy and programmes."

The specific objectives of the "APRM-Sustaining the Dialogue" are to:

- Educate the public on ongoing public programmes and policies, especially where the APRM Country Self Assessment Report (CSAR) revealed information gaps;
- Ensure that the views of Kenyans given to the APRM CSAR are incorporated into planning processes through effective mainstreaming of the National Programme of Action (NPOA);
- Ensure that Citizens are able to monitor and evaluate the implementation of the NPOA as well as provide a competent citizens' monitoring and evaluation mechanism of ongoing governance reform initiatives in order to ensure that public and private sector reforms remain a priority to both civil society and government.

These objectives will be accomplished through various strategies including:

(i) Raising awareness across the country on the Kenya APRM Self Assessment.

An integrated Information Education Strategy will be developed where through both print and electronic media a series of messages to the public on the key outcomes of APRM will be developed and broadcast. Inspiration for these messages will be drawn the video recordings of the forums as well as from the written reports of the meetings. The aim is to demystify governance issues and further foster that feeling of public ownership. The messages shall revolve around;

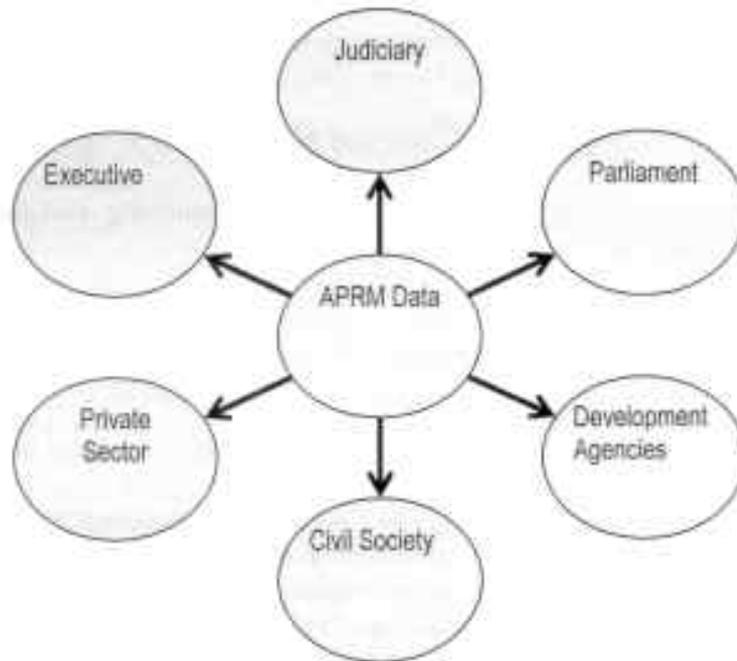
- Contemporary challenges that are engaging the public's mind such as the current focus on corruption.
- What citizens feel they can do to tackle the governance challenges identified; particular attention will be given to the governance challenges identified by both genders distinctively
- What men and women feel the government needs to prioritise in tackling the governance challenges identified;
- Success stories from both the state and non state sector
- The key APRM research findings.

(ii) Disaggregating and disseminating APRM reports and information to stakeholders,

The findings and recommendations of the APRM will be **disaggregated along sectors, repackaged and distributed widely to other relevant institutions** with a view to ensure that the work of such institutions is informed by the views and opinions Kenyans gave during the self-assessment process.

Importantly it is envisaged that these reports would be fed into the National Integrated Monitoring and Evaluation System (NIMES) and be part of the M&E information relayed to Ministries and Government agencies.

This information would be very valuable to a wide range of stakeholders; key among the audiences would be;



The NEPAD Kenya Secretariat will engage these stakeholders through various platforms such as the NIMES framework to make them aware of the findings and recommendations of the APRM report. In addition the NEPAD Kenya Secretariat proposes a Governance Forum to be held every 2 months and bringing together the major reform programmes within government such as GJLOS, PSR&D, KACC etc. This will provide an opportunity to brief these programmes but also for these programmes to keep each other abreast of their activities and possible partnerships and synergies.

(iii) Empowering Non-State Actors to participate in planning processes.

The idea of the tri-partite dialogue bringing together Government, Private Sector and Civil Society is fast gaining currency. A major handicap to Civil Society is that due to lack of resources Civil Society is not as well organized to participate in these processes as is Government and Private Sector. Therefore for this dialogue to be fully effective there is need to build Civil Society's capacity to dialogue and participate. This can be done by ensuring that citizens have information on planning processes in a timely fashion and that stakeholder groups are able to aggregate and develop consensus positions that they can collectively pursue.

The NEPAD Kenya Secretariat proposes the creation of APRM Resource Centres staffed by a lean multidisciplinary technical team that will offer technical support to Non State Actors in the provinces to enable their effective participation in public planning processes. These teams will work closely with and through the District Information and Documentation Centres (DIDCs). The DIDCs will be strengthened and space expanded for greater non state actor participation and ownership of these centres. These DIDCs aim to strengthen capacity for decentralized and participatory development through empowerment and capacity building at district and community level in order to improve

community capacity for development consultations and implementation and district level capacity to respond to needs emerging from the community.

The APRM Resource Centres will therefore seek to strengthen participatory development by providing:

- A bridge to reform the development agenda with Civil Society at a Provincial level and District level. This entails ensuring a constant flow of information on the development & reform agenda both downstream and upstream. Existing structures such as churches, mosques, CSO networks will be engaged as partners.
- Supporting non-state actors' participation in sub-national planning, oversight and M&E committees through awareness creation, training etc. Specific attention will be given towards including women groups and organisations supporting marginalised groups and communities.
- Facilitation towards aggregation of specific stakeholder groups e.g. forums & networks/coalitions of different women's groups, youth groups, farmers etc. this would also entail reinforcement of coordination structures for civil society
- Facilitation of stakeholder forums at district and provincial level e.g. proposed bi-annual provincial forums
- Synthesizing stakeholder views and opinions as expressed at various district and provincial fora and providing an outlet for these views through reports, newsletters, APRM website, and channelling this information through the NIMES framework.

The establishment of APRM Resource centres will be guided by a capacity and resources needs assessment that will be conducted in 2007 (**Learning Phase**). Following the needs assessments a UNV will be placed in each of the Provinces districts to map the Civil Society Organisations and other non-state actors at a Provincial & district level, their target groups and areas of work and any coordinating mechanisms/platforms for discussion/advocacy and lobbying that already exist. The needs assessment together with the work of the UNV at a district level in 2007, will inform the needs in terms of further capacity for the project in 2008 & 2009.

In 2008 and 2009 the teams in the provinces will be aiming to create a stable and institutionalised platform for participatory dialogue and information exchange between non-state actors, civil society and the national, provincial and local governments, ensuring that the participatory dialogue is continued after the end of the project and the necessary financial resources are in place for this purpose.

Stakeholder identification

During the APR Self Assessment the APR National Governing Council had developed a Stakeholder Identification Matrix that mapped the key stakeholders in the 3 arms of Government, Civil Society, Private Sector and Special interest groups. The first phase of the Sustaining the Dialogue Programme will entail further elaboration of this mapping at the provincial and district levels. The APRM Resource centers will play a key role in this regard, along with key staff within the NEPAD Secretariat.

Special Interest Groups

Special emphasis will be given to constituencies with **relatively less voice** such as women, youth, the disabled, minorities and marginalized groups. Of necessity these groups would in general require more attention to ensure they have a greater say within their communities.

Established Networks & Groups

The partnership with organized structures/networks such as the National Council of Women of Kenya and Faith based Organisations proved quite cost effective in reaching out to Kenyans across the country. The mapping would seek to build on this by identifying for possible collaboration existing CSO formations and networks in the Provinces and Districts. As such the APRM Provincial Staff would concentrate more on facilitating these groups and building their capacity to dialogue and mobilize.



This mapping should also help better define the information & capacity needs at District levels. As much as possible local capacity should be used to fill any gaps. For instance linking various CSO groups could encourage skills transfer and learning amongst them.

(iv) Creation of linkages with learning institutions,

Educational institutions are a platform through which civic values can be inculcated in young people, right from primary, tertiary and university level. An outreach programme would be developed targeting learning institutions in the provinces. For instance there is need to ensure that higher education curricula integrates content on the development and reform agenda.

d) Linkages with the National Integrated Monitoring & Evaluation System (NIMES)

The NIMES framework provides an ideal entry point to ensure citizens' views & opinions gathered through APRM processes are integrated into national planning processes. The APRM process in turn provides an opportunity to enhance participatory monitoring & evaluation mechanisms within NIMES. This is important as a key challenge in designing and executing development programmes is to ensure that they respond to the needs of the target population. Government, CSOs and development partners require constant, up to date and scientifically sound information on what their target population views as their most pressing needs, challenges and successes of ongoing initiatives and areas for future intervention.

The proposed APRM Resources Centres and their link to the District Information and Documentation Centres (DIDCs) can reinforce and add value to the current system in two ways:

1) The APRM Resource centres will develop an institutionalised system functioning to gather, capture and disseminate information regarding the development challenges, successes and needs of communities within the 8 provinces. This information will be channelled upstream. (2) Information on government programmes will be channelled through these centres, providing an institutionalised system to cascade information on Government programmes to the grassroots level.

Already the NEPAD Kenya Secretariat is participating actively in the NIMES framework and is represented on NIMES Technical Advisory Groups on Qualitative & Quantitative data, the one on Dissemination and Communication of data as well as the one on Capacity Building and Policy Coordination.

e) Linking NEPAD/APRM to the Millennium Development Goals (MDGs)

Kenya is one of the pilot countries for the Millennium Project. A campaign is underway that aims at creating awareness of MDGs at all levels in Kenya (national to grassroots level) and garnering support for the realization of the same, including mobilizing of resources. The principles and objectives of NEPAD are in line with those underpinning the MDGs as reflected in the monitoring indicators.

The Socio-economic Development pillar of the APRM is largely based on MDGs and as such the institutionalization of the APRM process will allow for awareness raising, the sharing of information and the collection of data on the MDGs from the government level to the grassroots level and vice-versa.

f) Linkages with other Governance Reform & Development Programmes

The APRM Kenya Report highlighted implementation gaps as one of the 9 overarching issues that Kenya needed to address. The Report reads;

“Important reform programmes such as the Government, Justice, Law and Order sector wide coordination framework and the Economic Recovery Strategy for Wealth and Employment Creation (ERS) 2003-2007 are crucial in ensuring development and good governance. A frequently encountered

problem and perceivably the greatest challenge to Kenya's democracy is the poor implementation of government policies and programmes. Though Kenya is well serviced with a body of laws, programmes, commissions and agencies that should provide for good governance, these policies and programmes have so far been poorly implemented. For instance, the Second MDG Status Report for Kenya 2005 indicates that the completion rate for major development projects is as low as 3 %....The encouragement of citizen/stakeholder responsibility to place a demand on the government's obligation to fulfil its mandate will foster accountability and action on the part of government much faster than apathy and inertia in civic-minded citizens. Coherent linkages and harmonisation need to be forged between national and local levels, and there is need for feedback mechanisms to be established."

The Sustaining the dialogue programme therefore seeks to complement existing supply side processes such as GJLOS, PSR&D, Public Finance Management and other such reform programmes by providing a framework for demand side pressure and monitoring towards better and more timely implementation. Though some of these programmes have some interventions targeted at the demand side this is often very limited and not part of their core mandate. The APRM however would have the demand side as the core target.

The Proposed Governance Forum bringing together the APRM and other reform programmes would then provide an opportunity to communicate citizens' concerns to these programmes but also in turn get updates from the programmes for cascading down to citizens. The forums would also allow for more communication and coordination across different reform programmes.

g) Framework for Dialogue

The NEPAD Kenya Secretariat has started the process towards a detailed elaboration of the framework for dialogue. This process will be further ameliorated based on the needs assessment that will be conducted in 2007 and interactions on the ground when the APRM Resource Centres have been established. The result of dialogue must adequately capture citizens' views but in a form and manner that satisfies the consumers of those views. The dialogue must remain true to the principles of the APRM in that it must be open, inclusive and free from manipulation. All voices must indeed have a chance to be heard. Some of the emerging thoughts around the frame work are that;

- It should enable citizen reporting on the actions that are in the APRM National Programme of Action (NPoAs). However the NPoAs are wide-ranging and extensive plans. It is important that the workload represented by this level of reporting does not overly constrain the ability to measure and report on the extent to which outcomes are being achieved.
- The APRM process has developed a comparative advantage in the use of dialogue methods to understand what a range of citizens think. The processes to be used in the framework should be consistent with that ethos. Discussions will be more useful if they take place within a consistent structure: the framework should deliver an organising structure for that dialogue
- The framework should, where possible, enable the NPoA monitoring to complement the other monitoring that government and other parties are doing. This will offer a greater scope to validate findings. And by measuring similar variable, but using different methods, the monitoring outputs will be a greater relevance to government.
- It is important also to build a framework that maximises the possibilities of learning across provinces & districts on cross-cutting issues of wide relevance.
- There are a number of possible elements to this framework at this level. A degree of consistency would be achieved if the same framework of four APRM themes and their component objectives used in the Country Self-Assessments and Country Review Reports is carried into the monitoring of outcomes.

- Under the four themes (Democracy and Good Political Governance etc) there are a total of 25 objectives. The APRM process identified 9 Overarching Issues that Kenya needs to address; these overarching issues present a means to prioritise focus on the objectives in which the biggest improvements are required. Thus some of the original 25 objectives might not be the subject of outcome level monitoring if they do not appear as factors in the Overarching Issues.
- The discussion in the Overarching Issues section and of each of the 25 objectives in the Country Review Report -CRR (which builds upon a similar discussion in the CSAR) represents a rich vein of potential indicators. It would be possible to turn some of the issues discussed in the report into desired outcomes and use these as factors to be assessed in outcome monitoring. A major advantage is that tracking these would also provide a basis for the analysis of the objectives in the next rounds in the Self-assessment and CRR process. Measured over a period of 3-4 years they would provide a time series assessment of progression in that area. The self assessment reports and the data on which they were based thus become something akin to a baseline survey.
- The original NPoAs give indicators for actions some of which could be used at outcome level. In addition indicators could be drawn from the frameworks of other M&E work (NIMES, GJLOS, PSR&D). It would make sense to achieve some degree of overlap in indicators (but not in how they are measured) as this will provide validation of findings for parties. Where possible the indicators should have target values attached to give a firm grip on the extent of the changes expected.

h) Sustainability of the programme

To ensure sustainability of the Project the NEPAD Kenya Secretariat will engage the Government to seek greater Government participation and investment in the process. UNVs will only be seconded to provide support to Provincial Government Staff for the initial phase. The finalisation of the revised District Focus for Rural Development should also see a shift towards a greater participatory approach from government officials at the sub national level. Clear articulation of the linkages and partnership between APRM and various players at the provincial and district level e.g. the Department for Rural Planning will lead to greater sustainability.

Care must be taken however in the initial stage to have a few persons working full time on the programme until it stabilises and is well understood.

i) Risks

The risks for this programme as a whole are mentioned in the Project Initiation Document which covers the three year programme. The risk for 2007 in particular is that insufficient funding may be received to initiate the programme and establish the conduct the necessary (baseline) research to further develop and implement the APRM process in Kenya.

j) Development partners

UNDP has worked in partnerships with the NEPAD Secretariat through the 'Domestication of NEPAD/APRM process in Kenya' project since 2004. For a successful and sustained implementation of NEPAD/APRM processes and the implementation of the "Sustaining the Dialogue" programme, there is need for coordination and collaboration with other partners interested in supporting governance related issues in Kenya. In the first phase of the "Domesticating NEPAD/APRM Processes in Kenya" project, the development partners involved in supporting the NEPAD/APRM programme were DFID, Sida and UNDP. Several other development partners have shown an interest in supporting to support the second phase of the APRM process in Kenya ("Sustaining the Dialogue"). This support will constitute the second phase of support under the 'Domestication of the NEPAD/APRM process in Kenya' project

DFID, has also been funding a number of APRM activities directly in 2006 and 2007. Thus far activities supported by DFID include, the production of the popular version of the Kenya Country Review Report, the funding of media and publicity costs (television airtime, documentary and newspaper advertisement costs) and a number of stakeholder workshops.

GTZ South Africa has also so far supported the APRM programme through direct funding of the popular version of the Kenya Country Review Report and funding NEPAD staff to participate in relevant regional workshops.

k) "SUSTAINING THE DIALOGUE" PROGRAMME SUPPORT STRATEGY

In order to finance the "APRM- Sustaining the Dialogue " programme the Kenya NEPAD/APRM Secretariat proposes a framework which provides for three modes of financing:

- **Basket Funding** – For partners who place funds in a common pool or basket, and do not earmark these funds to particular activities
- **Direct Funding** – For 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; and
- **"Mixed" Funding** – For partners, who provide funds in a mix of basket and direct funds.

PART II – The JOINT STRATEGY of SUPPORT – Basket funding

a) Programme Management Unit

As agreed between the NEPAD Kenya Secretariat through the Ministry of Planning and National Development, and development partners contributing to the basket fund, the APRM Kenya Basket Fund will be managed by UNDP. A dedicated APRM Programme Management Unit will be set up by UNDP to manage the basket fund on a day-to-day basis, under the oversight of UNDP.

The Programme Management Unit will comprise of the following staff:

- One National Coordinator
- One Finance Officer
- One Procurement Officer
- One Programme Officer – APRM
- One Programme Officer – Information Management
- One MDG Advisor
- One Documentalist/Librarian
- One PR & Communications
- One Research Officer-(Democracy Political Governance/Socio-economic Development)
- One Research Officer-Economic Governance & Management /Corporate Governance
- One Administrative Assistant
- Two Drivers

UNDP will strengthen the capacity at the NEPAD (Kenya) Secretariat by recruitment of the above technical and administration staff, who shall, together with the Chief Executive Officer and Finance and Administration Manager of NEPAD (Kenya) Secretariat execute the day to day operations of the basket fund. The National Coordinator will be the head of the Programme Management Unit, and will report to the Chief Executive Officer of the NEPAD (Kenya) Secretariat. The cost of the support services provided by UNDP Kenya will be recovered from the basket fund on the basis of the Universal Price List.



The NEPAD/ARPM Secretariat envisages that the successful implementation of the programme and its link to other key government programmes, will attract more core funding from the GoK in the future, to be able to retain the necessary staff and ensure the sustainability of the "Sustaining the Dialogue" programme achievements at the end of this project.

The core competencies of the Programme Management Unit Staff will be complemented by key staff in the UNDP Kenya country office. The UNDP Office will monitor the programmes implementation, the usage of the basket fund and provide guidance on UNDP rules and procedures where required.

b) Strategic and Operational Assistance

UNDP will offer support to the programme in the following ways:

1. Participation in the Partners Steering Committee and Procurement committee
2. Project monitoring through a focal point within the UNDP country office
3. Linking the APRM Resource Centers to the District Information and Documentation Centres to facilitate dialogue at the district level (DIDCs) (UNDP has established 8 DIDCs in Bondo, Suba, Bungoma, Muranga, Meru South, Turkana, Kilifi, Garissa under the UNVIS project). The DIDCs will be strengthened and the space expanded for greater non state actor participation and ownership
4. Recruitment of PMU to man the NEPAD/APRM Secretariat and UNVs to man the APRM resource centres.
5. Mobilization of resources for the basket fund

Part III. Management Arrangements

a) NEPAD/APRM "Sustaining the Dialogue" Steering Committees

(i) APRM Partners Steering Committee

A high-level APRM Partners Steering Committee, chaired by the Permanent Secretary, Ministry of Planning and National Development will be constituted to provide leadership and strategic guidance to APRM Financing processes.

Membership of the APRM Partners Steering Committee

The APRM Partners Steering committee would consist of the following members:

- Permanent Secretary, Ministry of Planning and National Development - Chair
- Chief Executive Officer, NEPAD-Kenya Secretariat
- One Representative from the donor organisations to the APRM process
- Deputy Resident Representative from UNDP (Programmes)
- Two senior representatives from the NEPAD Kenya Secretariat (CEO and APRM National Coordinator)
- Two representatives from the APR Stakeholder oversight structures.

Chairmanship of the APRM Partners Steering Committee

The Permanent Secretary, Ministry of Planning and National Development will chair the APRM Partners Steering Committee. The chair would convene the Steering Committee meetings at least once every ninety (90) days, and if need arises may decide to invite any persons in addition to the normal members. The NEPAD (Kenya) Secretariat shall be responsible for circulating the agenda and minutes of the meetings alongside progress reports allowing at least seven (7) days notice for meetings.

Terms of Reference for the APRM Partners Steering Committee

- To review the quarterly work plan as well as quarterly narrative and financial progress reports prepared by the NEPAD (Kenya) Secretariat on progress being made on the implementation of activities and to seek clarification on any issues of concern and to make recommendation based on the presentations;
- Provide guidance to the NEPAD (Kenya) Secretariat on implementation of specific matters decided upon during the APRM Partners Steering Committee meetings;

b) Financial Management and Reporting

1. Basket Funding – Through project 00039383, managed by UNDP under the NEX modality. For partners who place funds in a common pool or basket, and do not earmark these funds to particular activities.
2. Direct Funding – For 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; and
3. “Mixed” Funding – For partners, who provide funds in a mix of basket and direct funds.

Direct Funding and grants in kind follow the procedures of the respective development partners, without direct intervention by UNDP.

The basket funds will be disbursed in accordance with UNDP rules and regulations. The budget will be disbursed through quarterly advances upon receipt of a formal request by the NEPAD Kenya Secretariat, accompanied by a detailed activity list for the upcoming quarter, financial report and review of the past quarter and will be managed by the PMU.

In managing the annual work plan resources, the implementing partner (NEPAD Kenya Secretariat) has fiduciary and compliance responsibilities to the UNDP. It also has compliance responsibility for UNDP’s reporting procedures. Thus an audit of this annual work plan must fulfil the following set of objectives:

- Disbursements are made in accordance with the annual work plan
- Disbursements are valid and supported by adequate documentation
- An appropriate system for internal control is maintained by the implementing partner and can be relied upon
- Annual work plan financial reports are fair and accurately presented:
- Annual work plan monitoring and evaluations are prepared as required
and
- Quarterly work plan disbursements in accordance with Annual work plans are duly verified and replenishments are duly authorized by the implementing partner on a three-monthly basis

Within two months of the completion of the annual work plan or the termination of the present agreement, the implementing partner shall submit a final report on the annual work plan activities and include a final financial report on the use of the Basket funds, as well as an inventory of supplies and equipment.

The PMU will be responsible for providing progress reports on physical and financial performance of the programme.

d) Procurement and asset oversight

For the APRM Basket Fund:

- NEPAD (Kenya) Secretariat shall prepare an annual procurement and implementation plan which shall be reviewed quarterly;

- Procurement shall be in accordance with UNDP rules and procedures.
- A Procurement Committee shall be formed with the following representatives:-
 - Three representative from UNDP (Senior Administrative Associate, UNDP Project focal point, UNDP Procurement Assistant)
 - Three representatives from the NEPAD (Kenya) Secretariat (National APRM Coordinator, NEPAD Finance and Administration Manager and the APRM Procurement Officer)

The Procurement Committee shall be chaired by the UNDP Senior Administrative Associate. The terms of reference for this Committee will be agreed on between the NEPAD Secretariat/the PMU and UNDP once all key people are on board.

For Direct Funding and GoK Funding:

For direct funding and Government of Kenya Funds, procurement of goods and services shall be done by the NEPAD Kenya Secretariat as per the procedures that govern Kenyan public procurement. More specifically, the procurement procedures that are prescribed by the NEPAD Kenya Secretariat which shall apply, so long as they are in line with the Kenyan Public Procurement Law. If there is any contradiction between the NEPAD Kenya Secretariat procurement guidelines, and Kenyan Procurement law, the latter shall prevail. The development partners funding directly shall be kept informed of the procurement process, and be consulted on major procurements.

e) Audit Requirements

All funds towards the APRM Programme implementation Plan shall be subject to financial audit.

Funds accessed to the APRM Basket Fund shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, and directives of UNDP.

Funds contributed by the Government of Kenya (GoK) shall be audited according to GoK auditing regulations.

Resources provided through direct funding shall be audited by the Kenya National Audit Office, and shall be reflected in NEPAD Kenya Secretariat returns to the Ministry of Finance. Partners who provide direct funding will retain the powers to appoint their own auditor if necessary.

f) Work plan and Budget

The annual work plan and (basket fund) budget for 2007 is detailed in project results and resources matrix below and the budgeted activity plan in the annex. The plan covers 9 months of activities from April to December 2007.

g) Publicity and Publications

Unless UNDP requests or agrees otherwise, the implementing partner and collaborating parties shall take all appropriate measures to publicize the fact that the project has been supported by UNDP and all other development partners contributing to the basket fund. Information given to the press, project beneficiaries, all related publicity materials, official notice reports and publications, shall acknowledge that the activity was carried out with support from UNDP and all other development partners contributing to the basket fund, and shall display in an acceptable way the UNDP logo and the logos of all other development partners contributing to the basket fund. In addition, all publications must be reviewed by UNDP before publication, and shall bear the appropriate UNDP disclaimer.

Part IV. Monitoring and Evaluation

Tracking of the achievement of benchmarks/indicators for each activity will monitor the performance of the annual work plan. This role will be performed by the UNDP Country Office Project Focal Point.

The PMU will be responsible for providing progress reports on physical and financial performance of the programme. The aim will be to provide timely information about the progress, or lack thereof, in the production of the outputs and achievement of the annual work plan objectives. The mechanism that will be used to monitor the annual work plan will include:

- i. Quarterly progress report, technical and financial report prepared by the annual work plan implementing partner; the format of the report is provided;
- ii. Annual progress report, technical and financial report prepared by the annual work plan implementing partner at the end of the year; and
- iii. Field visits undertaken jointly by the implementing partner and the UNDP Country Office.

An evaluation of the UNDP outcome to which the activities of this annual work plan contribute to achieve will be carried out.

Part V. Legal Context

This Programme Document is the instrument referred to in Article 1 of the Standard Basic Agreement between the Government of the Kenya (herein called the Government) and the United Nations Development Programme (herein called UNDP) signed by the Parties on DATE. The project shall be implemented in accordance with the provisions of this Agreement and in conformity with the general terms and conditions applicable to UNDP assistance.

The following types of revisions may be made to this programme document with the signature of the UNDP Resident Representative only, provided he/she is assured that the other signatories of the project document have no objection to the proposed changes: -

- a) Revisions in, or addition of, any of the annexes of the programme support document;
- b) Revisions which do not involve significant changes in the capacity building targets, outputs or activities of the project, but are caused by rearrangement of inputs already agreed to or by cost increase due to inflation;
- c) Mandatory annual revisions, which rephrase the delivery of, agreed programme inputs, or reflect increased expert costs due to inflation, or take into account agency expenditures flexibility.

Section II - Results and Resources Framework

Please see the results and resources framework in Annex 1.

Section III—The total workplan and budget¹

This project runs over a three year period (2007 – 2009). The Project Initiation Document sets out plans and the budget for the entire period and will be updated according to needs. An Annual Work plan will be produced for each year. Please see the project initiation document – communication plan (PID) for responsible people in this regard.

Thus, the budgeted Activity Plan included with this document sets out activities and budget for the period running from April – December 2007 only.



ANNEX 1: Projects Results framework

Intended Outcome as stated in the Country Programme Results and Resource Framework:				
- Strengthened capacity of key institutions for enhanced efficiency, effectiveness, transparency and accountability in the formulation of pro-poor policies (CPAP Empowerment Component outcome a)				
- Strengthened capacity for decentralized and participatory development (CPAP Empowerment Component outcome d)				
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets.				
Enhanced Community level development consultations, implementation and follow up in the 8 provinces through improved access to information and strategic resources.				
Applicable MYFF Service Line:				
2.1 Policy support for democratic governance and 2.6 Decentralization, local governance and urban/rural development				
Partnership Strategy Basket fund – NEX				
Intended Outputs	Output Targets for 2007	Indicative Activities	Responsible parties	Inputs
Strengthened Capacity of the NEPAD/APRM Secretariat to implement the "Sustaining the Dialogue" programme	PMU established and activities under the "Sustaining the Dialogue" Programme implemented.	Recruitment of PMU staff. (The PMU to provide national coordinating to the APRM "Sustaining the Dialogue" Programme)	NEPAD UNDP	PMU 1 APRM Coordinator, 1 Programme Officer - APRM 1 Programme Officer - Procurement 1 Finance Manager 1 Programme Officer - Information management 1 PR & Communications 1 Administrative Assistant 1 Research Officer-DPG/SED 1 Research Officer-EGM/CG 1 MDG Advisor 2 drivers
Overall indicators for the successful implementation of the "Sustaining the Dialogue Programme":		Purchase of Equipment/Vehicles		Maintenance and office operations
Overall Indicator 1: 60% of Kenyans say that they feel incapable of changing major policies that affect them (80% baseline APR Kenya Self Assessment Report) - Gender disaggregated baseline to be included, based on research and needs assessments conducted in the first year of the programmes implementation				2 motor vehicles for the PMU Office equipment PMU, 2 desktops, 2 laptops, 2 desks, 2 book cabinets and documentation software and 1 switchboard

<p>Enhanced awareness and understanding of development and reform programmes by non-state actors across Kenya making them more empowered to participate in the planning process</p>	<p>Strategy and action plan for an integrated Information Education Strategy developed and implemented</p>	<p>Development and roll out of information education strategy.</p> <p>Development and dissemination of sector and mini sector reports</p> <p>Hold 1 national stakeholders meeting and 16 forums with civil society organisations to raise awareness and respond to needs emerging from the communities and synthesize information and opinions.</p> <p>Development and updating of civil society database and website</p>	<p>NEPAD UNDP</p>	<p>2 Consultants</p> <p>17 meetings</p> <p>Radio and television spots, jingles, cartoons, documentaries developed</p> <p>Appearances on talk shows</p> <p>Serialization in dailies and magazines</p> <p>Production of car/wall stickers</p> <p>Development and updating of APRM website</p> <p>Sector booklets, workshops</p> <p>1 Research Officer (for baseline)</p> <p>1 ICT officer for database and website</p> <p>PMU/APRM staff for organisation of meetings.</p> <p>8 UNVs</p> <p>13 meetings held</p> <p>4 editions of civil society newsletter completed per year</p> <p>- 8 Laptops, 8 desktops, 8 shredder, 8 heavy duty photocopier, & 8 fax machine, development finalized and operational</p> <p>-8 motor vehicles procured, one of each for each district.</p>
<p>An institutionalised 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 provincial and district level into national planning</p> <p>Overall Indicator 3 Citizens are able to monitor and evaluate the implementation of the NPoA and influence national, provincial and district level decision making. (The needs assessment and ground work of APRM UNVs will provide baseline data in this regard)</p>	<p>APRM resource centres established in 8 districts manned by 8 UNVs in 2007 (one in each APRM Centre)</p> <p>Strategy and action plan developed to mainstream findings from the APRM process into processes such as the NIMES framework, GJLOS, Public Finance Management and PSR&D (upstream information flow)</p>	<p>Conduct needs assessment and develop an action plan for the establishment of the APRM Resource Centres and link to DIDC/existing structures</p> <p>Development of strategy and action plan to institutionalise the mainstreaming of APRM findings into processes such as the NIMES framework, GJLOS, Public Finance Management and PSR&D</p>	<p>NEPAD UNDP</p>	<p>2 Consultants</p> <p>17 meetings</p> <p>Radio and television spots, jingles, cartoons, documentaries developed</p> <p>Appearances on talk shows</p> <p>Serialization in dailies and magazines</p> <p>Production of car/wall stickers</p> <p>Development and updating of APRM website</p> <p>Sector booklets, workshops</p> <p>1 Research Officer (for baseline)</p> <p>1 ICT officer for database and website</p> <p>PMU/APRM staff for organisation of meetings.</p> <p>8 UNVs</p> <p>13 meetings held</p> <p>4 editions of civil society newsletter completed per year</p> <p>- 8 Laptops, 8 desktops, 8 shredder, 8 heavy duty photocopier, & 8 fax machine, development finalized and operational</p> <p>-8 motor vehicles procured, one of each for each district.</p>

<p>Overall Indicator 4: The views of Kenyans given to the APRM CSAR are incorporated into planning processes through effective mainstreaming of the National Programme of Action (NPOA) into existing M&E structures (NIMES).</p>		<p>Recruitment of 8 UNVs to manage resource centres and conduct groundwork for roll out of APRM centres.</p> <p>(X number – based on needs) Capacity Trainings for technical units (training in community mobilisation, governance measurement, information management, ICT 4 development)</p> <p>1 provincial meeting in each province and 5 meetings in Nairobi with judiciary, parliament, development agencies and civil society groups incl training around participatory planning processes.</p> <p>Purchase equipment and motor vehicles.</p>		
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PROJECT RESULTS AND RESOURCES FRAMEWORK

Overall indicators for the successful implementation of the "Sustaining the Dialogue Programme"

Overall Objective: Improve governance through providing Kenyans with a structured platform in order to monitor, evaluate and influence public policy and programmes

Indicators

Output 1: Strengthened Capacity of the NEPAD/AFRM Secretariat to implement the "Sustaining the Dialogue" programme										
Output Target 2007	Key Activities	Monitoring Actions	Success Indicators	Ann Schedule 2007				Planned Budget		
				Q1	Q2	Q3	Q4	Input Description	Budget Amount US\$	
PMU established and activities under the "Sustaining the Dialogue" Programme implemented.	Recruitment of PMU staff		PMU staff in place					Source of Funds BC	Total PMU staff costs	232,714
	Purchase of equipment/2 vehicles	Equipment Inventory						GoK	2 vehicles/Equipment NEPAD administrative	156,500
Sub-Total										
									428,571	817,285

Output Target 2007	Key Activities	Monitoring Actions	Success Indicators	Time Schedule 2007				Planned Budget	
				Q1	Q2	Q3	Q4	Source of Funds	Budget Amount US\$
Strategy and action plan for an integrated information Education Strategy developed and implemented	Development and roll out of information Education strategy	Project Review reports indicate progress website research	Information Campaign Strategy on paper						27,000
	Development and dissemination of sector and mini sector reports	LNDR participation in forums database controls	Mini Sector Reports Civil Society database created and website updated regularly						80,357
	Development and updating of civil society database and website		Strategy to mainstream APPM into NIMES on paper						
	Hold 1 national stakeholders meeting to synthesize views/opinions		Participation lists, forum programme, pre and post forum questionnaires, demonstration enhanced knowledge of participant findings from workshops integrated into future plans					DFID	335,143
	16 forums with civil society organisations to raise awareness, synthesize views/opinions and respond to needs emerging from civil society groups (women, farmers, youth, disabled and so forth)		Participation lists, programme, pre and post questionnaire demonstrate enhanced knowledge of participant Findings from workshops integrated into future plans						92,857
									85,714.00

Output Target 2007	Key Activities	Monitoring Actions	Success Indicators	Time Schedule 2007				Planned Budget	
				Q1	Q2	Q3	Q4	Source of Funds	Input Description
Sub-total									
									621,071

Output Target 2002	Key Activities	Monitoring Actions	Success Indicators	Time Schedule 2002				Planned Budget	
				Q1	Q2	Q3	Q4	Source of Funds	Budget Amount US\$
Output 3: Institutionalised platform for citizens to participate in planning processes, monitor, evaluate and influence public policy and programmes (Needs assessment will inform the above and serve as a baseline. The needs assessment will include organisations focusing on women's empowerment and the inclusion of marginalised people)	Conduct needs assessment and develop an action plan for the establishment of the APRM Resource Centres and link in DDC/levelling structures Development of strategy and action plan to institutionalise the mainstreaming of APRM findings and processes such as the NIMES framework, GILCS, Public Finance Management and PS&D		Needs assessment report. Assessment inform strategy/action plan and programme implementation					TBC	460,000
Strategy and action plan developed to mainstream findings from the APRM process into processes such as the NIMES framework, GILCS, Public Finance Management and PS&D/Upstream information flow	Capacity Trainings for technical units PMU and field staff (training in community mobilisation, governance management, information management, ICT 4 development)	Participation in trainings	Participation lists, forum programme, pre and post forum questionnaires demonstrate enhanced knowledge of participant						30,857
1 forum in each province and 5 meetings in Nairobi with judiciary, parliament, development agencies and civil society groups and Training around participatory planning processes		Participation in meetings	Participation lists, forum programme, pre and post forum questionnaires demonstrate enhanced knowledge of participant						53,571
Recruitment of 8 UNVs to do groundwork and manage the resource centres		Field monitoring	UNV contracts						63,257
Purchase equipment and 8 motor vehicles.		Field monitoring	Procurement details (see the enclosed budget)						186,750
Subs-total									1,076,539
Contingency (5%)								TBC	130,755
UNDP costs 5%								TBC	99,698
TOTAL									2,745,848

SOURCES OF FUNDS

Output Target 2007	Key Activities	Monitoring Actions	Success Indicators	Time Schedule 2007				Planned Budget	
				Q1	Q2	Q3	Q4	Source of Funds	Input Description
GOK CONTRIBUTION									428,571
BASKET FUND									377,500
DFID BRIDGING FUND									92,857
TOTAL INCOME:									898,928
DEFICIT									1,846,920

