

Kenya

Independent Country Programme Evaluation (ICPE)



National/Regional research institution or think tank to support data collection and analysis

1. INTRODUCTION

The Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) conducts independent country programme evaluations (ICPEs) to capture and demonstrate evaluative evidence of UNDP's contributions to national development priorities, as well as the effectiveness of UNDP's strategy in facilitating and leveraging national efforts for achieving development results. The purpose of an ICPE is to:

- Support the development of the next UNDP Country Programme Document
- Strengthen accountability of UNDP to national stakeholders
- Strengthen accountability of UNDP to the Executive Board

ICPEs are independent evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy.¹ The IEO is independent of UNDP management and is headed by a Director who reports to the UNDP Executive Board. The responsibility of IEO is two-fold: (i) provide the Executive Board with valid and credible information from evaluations for corporate accountability, decision-making and improvement; and (ii) enhance the independence, credibility and utility of the evaluation function and its coherence, harmonization and alignment in support of United Nations reform and national ownership. Based on the principle of national ownership, IEO seeks to conduct ICPEs in collaboration with the national authorities where the country programme is implemented.

The Global COVID-19 pandemic has presented UNDP with considerable challenges in implementing its ongoing programme of work in line with the CPD. Even more so than usual, UNDP has been required to be adaptable, refocusing and restructuring its development work to meet the challenges of the pandemic and the country's need to effectively prepare, respond and recover from the wider COVID-19 crisis, including its socio-economic consequences. This ICPE will also consider the level to which UNDP was able to adapt to the crisis and support country's preparedness, response to the pandemic and its ability to recovery meeting the new development challenges that the pandemic has highlighted, or which may have emerged.

This is the second ICPE for Kenya, the previous one being conducted in 2013². The evaluation will be conducted in 2021 towards the end of the current UNDP programme cycle (2018-2022), with a view to contributing to the preparation of UNDP's new programme starting from July 2022 and the United Nations Sustainable Development Cooperation Framework 2022-2027. The ICPE will be conducted in close collaboration with the Government of Kenya and UNDP Regional Bureau for Africa.

2. NATIONAL CONTEXT

¹ <http://web.undp.org/evaluation/documents/evaluation-policy.pdf>.

² <http://web.undp.org/evaluation/evaluations/adr/kenya.shtml>

Poverty, SDGs and Gender

Kenya has a young fast-growing population estimated at around 48 million³ in 2019, with an average age of 18, with half the population under the age of 25. Population growth has been around 3% over the past decades⁴, which was outpaced by national income growth, thereby elevating the per capita income over the past years. The UNDP Human Development Index 2020 ranks Kenya at 143 out of 189 countries (0.601), in the 'medium' human development category⁵, an improvement from its score of 0.599 in 2018. The proportion of the population living below the poverty line declined from 46% in 2005 to 36% in 2016⁶. Kenya's Gini coefficient (a measure of income inequality) was measured at 48.5 in 2015, the highest among East African countries, which has not decreased significantly in recent years⁷.

Kenya has a Gender Inequality Index value of 0.518 in 2019, ranking it 126 out of 189 countries. The index, which has somewhat decreased since 2015 (0.537) is a composite measure capturing health, empowerment and labor market participation⁸.

While the country has made progress across some of the SDGs, current data from the Sustainable Development Report (Sachs et.al, 2020⁹), shows that major challenges remain in order for Kenya to achieve most of the SDG targets. The report shows achievement of only one SDG (13, Climate Action) with challenges across 7 SDGs (SDG 4,5,8,12,14,15 and 17). Nine SDGs have major challenges including a number of key SDGs such as SDG 1, No Poverty, SDG2 Zero hunger and 3 Good Health and well-being.

Economy and employment

Kenya's economic growth rate has been increasing gradually over the past decade, with annual rates between around 5.7% and 6.3% between 2015 and 2019¹⁰. Agriculture remains the backbone of the economy, contributing about 34.5% of GDP and employing 61% of the labor force¹¹. It also accounts for 65% of the country's exports of goods, such as tea, coffee and cut flowers. Over 75% of agricultural output is from small-scale, livestock production or rain-fed farming, while only around 10% of land cover is under irrigation¹². The service and industry sectors make up respectively around 47.5% and 17.8% of GDP and employ around 32.2% and 6.7% of the labor force¹³. In recent years, economic growth has mainly been driven by the services sector, as agricultural productivity stagnated¹⁴.

³ Kenya VNR 2020 (p. 38) https://sustainabledevelopment.un.org/content/documents/26360VNR_2020_Kenya_Report.pdf based on data from the 2019 Kenya Population and Housing Census Results <https://www.knbs.or.ke/?p=5621>

⁴ https://databank.worldbank.org/views/reports/reportwidget.aspx?Report_Name=CountryProfile&Id=b450fd57&tbar=y&dd=y&inf=n&zm=n&country=KEN

⁵ <http://hdr.undp.org/sites/default/files/hdr2020.pdf>

⁶ Kenya Integrated Household Budget Survey (KIHBS) 2015-2016, Kenya National Bureau of Statistics, 2018

⁷ https://www.oecd.org/dev/inclusivesocietiesanddevelopment/Social_protection_in_East_Africa.pdf

⁸ Human Development Reports data - <http://hdr.undp.org/en/indicators/68606>

⁹ <https://dashboards.sdindex.org/profiles/ken>

¹⁰ Kenya VNR 2020 (p.9) https://sustainabledevelopment.un.org/content/documents/26360VNR_2020_Kenya_Report.pdf

¹¹ CIA World Fact Book <https://www.cia.gov/the-world-factbook/countries/kenya/#economy>

¹² IFAD COSOP 2019 (p.5 and 17) <https://webapps.ifad.org/members/eb/128/docs/EB-2019-128-R-19.pdf>

¹³ CIA World Fact Book <https://www.cia.gov/the-world-factbook/countries/kenya/#economy>

¹⁴ World Bank, Kenya Country Diagnostic 2020 (p.11) <http://documents1.worldbank.org/curated/en/531731600090213005/pdf/Kenya-Systematic-Country-Diagnostic.pdf>

According to the World Bank¹⁵, 9 million people are expected to enter the labor force between 2015 and 2025. The country has had difficulty meeting the demand for jobs. Youth unemployment, at 7.2% in 2019, has decreased over the past 10 years but still remains higher than for the total workforce which stands at 2.9%¹⁶. Youth are also more likely to work in sectors and occupations with lower productivity and lower earnings¹⁷.

Peace, Security and Governance

In the early 2000s a consultative process began for constitutional reform, which resulted in the 2010 constitutional enactment. One of the significant changes brought in 2010 was the establishment of 47 county governments which were assigned a degree of self-governance, fiscal autonomy and provision of services (e.g. healthcare, primary education, water and agriculture services and others). The devolution process aims at strengthening democratic governance from the national to local levels and thereby improving local governance and service delivery through responsive institutions.¹⁸

Elections in 2007 experienced post-election violence in the capital and some regions as the election was disputed by opposition parties. The presidential elections in 2013 and 2017 witnessed some violence, with the opposition contesting their outcomes in the supreme court. The next elections are due in the country in 2022 and political divisions remain. The Mo Ibrahim Index (an assessment of quality of governance) for Kenya was measured at 58.5 in 2019 with only marginal changes since 2015. According to this index Kenya ranks 14th out of 58 African countries, and 2nd within the countries of the East African Community. According to Transparency International estimates, Kenya is losing about 7.8% of GDP to corruption yearly despite a marginal improvement.

On peace and security, several areas in Kenya remain vulnerable to inter- and intra-communal conflicts, violent extremism and an increased threat of terrorism. Although Kenya's Global Terrorism Index ranking stands at 5.64 in 2019, with a marginal improvement since 2018, it remains below its 2015 value of 6.66, as a result of increasing threats particularly from the Al Qaeda-affiliated Al-Shabaab. In Kenya terrorism deaths attributed to Al-Shabaab increased by 83 per cent in 2019. Although there remain episodic terrorist attacks that have led to deaths in the recent past, they still remain lower than 2014, when the group killed 256 people.

Environment

Kenya's economy is highly dependent on its natural resource base and climate-sensitive sectors such as agriculture, fisheries and energy. The impacts of climate change are most severe in the agriculture sector given its reliance on rainfall for crop production. Current projections suggest that temperatures will rise up by 2.5°C between 2000 and 2050, while rainfall will become more intense and less predictable. Even the slightest increase in frequency of droughts will present major challenges for food security, water availability, and peace and security, especially in Kenya's Arid and Semi-Arid Lands in the north and east, where resource based conflicts are an occurrence. Other parts of the country, most notably in the Rift Valley, are also vulnerable to climate change due to increasing extreme events (droughts and floods, combined with landslides) while glacier melt from Mount Kenya will further reduce future water

¹⁵ World Bank, Kenya Country Diagnostic 2020 (p.15) <http://documents1.worldbank.org/curated/en/531731600090213005/pdf/Kenya-Systematic-Country-Diagnostic.pdf>

¹⁶ World Bank data portal, based on ILOSTAT database <https://data.worldbank.org/indicator/SL.UEM.TOTL.ZS?locations=KE>

¹⁷ <http://documents1.worldbank.org/curated/en/531731600090213005/pdf/Kenya-Systematic-Country-Diagnostic.pdf>

¹⁸ <http://documents1.worldbank.org/curated/en/531731600090213005/pdf/Kenya-Systematic-Country-Diagnostic.pdf>

availability. Coastal areas are expected to suffer from rising sea levels and associated floods and saltwater intrusion¹⁹.

The impact of COVID-19

As of March 2021, Kenya has reported around 130,000 confirmed cases of COVID-19 and 2,135 deaths²⁰ and was facing a third wave of cases, forcing further lockdowns.²¹ The economy was significantly affected by the pandemic in the second quarter of 2020 which was manifested by the collapse in tourism, services, transport, communications, public administration, financial services, real estate, the closure of schools and pressure on household income stemming from job losses and wage cuts. A UNDP-Kenya policy brief from April 2020 identifies the vulnerabilities and impact on Kenya of the COVID-19 pandemic. The study identifies far reaching effects on all areas of economy and society, particularly in the sectors of tourism, agriculture and trade, with major impacts on livelihoods.

3. UNDP PROGRAMME IN KENYA

The United Nations initiated operations in Kenya in 1964, shortly after the country became a member of the UN. In the 1970s the UN presence grew with the establishment of the global headquarters of UNEP and UN-Habitat in Nairobi, Kenya's capital. In 1996, the United Nations Office at Nairobi (UNON) was established, becoming one of four major UN office sites and the UN's headquarters in Africa. In 1991, a legal framework was established between UNDP and the Government of Kenya, under which development programs are conducted²².

The UNDP country programme 2018 to 2022 contributes and is aligned to Kenya's Vision 2030, the country's main national development strategy and to the fifth generation UNDAF 2018-2022²³.

UNDP Kenya programme of work is focused on three priority areas including ***Governance, peace and security, (Outcome 1&2)***, working across a number of areas including i) the enhancement of devolved governance and service delivery, ii) support to the strengthening of the electoral process and institutions for fair and peaceful elections iii) Strengthening of peace and security by working to reduce the drivers of conflict as well as the prevention of violent extremism, iv) civil society engagement and v) the enabling of legal environments for effective HIV response. This accounts for 50 percent of the funding allocation in the CPD at design.

In ***Inclusive growth and structural transformation, (Outcome 3)***, UNDP works with the government communities to i) develop inclusive policies, strategies and programs for sustainable development of poor and vulnerable groups and ii) enhance productivity for increased livelihoods and income generation.

Finally, across ***Environmental sustainability, climate change and resilience, (Outcome 4)***, UNDP works across the following areas i) Climate Change adaptation and mitigation, ii) Natural Resource Management and Sustainable land Management, iii) Forestry and Biodiversity/Wildlife, iv) Sustainable Energy Access and v) Sound chemical management through the Global Environmental Facility (GEF). This accounts for 30% of fund allocation.

¹⁹ <https://reliefweb.int/report/kenya/climate-change-profile-kenya>

²⁰ <https://coronavirus.jhu.edu/region/kenya>

²¹ <https://www.voanews.com/covid-19-pandemic/kenya-reimposes-covid-19-restrictions>

²² <https://www.ke.undp.org/content/kenya/en/home/about-us/legal-framework.html>

²³ <https://kenya.un.org/en/15986-undaf-2018-2022>

Available budgets to date amount to US\$ 97.11 million which represents 52% of the expected resources with delivery at 65% (2018-2021)²⁴ of the total available budget (see Table 1 below).

Table 1: United Nations Assistance Development Framework outcomes, UNDP Country Programme Outputs and Indicative Resources (2018-2022)				
UNSD+ Outcomes	CPD Outputs	Programme finance in US\$ million (2018-2021)		
		Planned resources	Budget	Expenditure
Priority area 1: Governance, peace and security				
Outcome 1: By 2022, people in Kenya access high-quality services at devolved level that are well coordinated, integrated, transparent, equitably resourced and accountable	Outputs 1.1: Government has strengthened policy, legal and institutional mechanisms for coordinated, inclusive and effective service delivery Outputs 1.2: Public finance management institutions have strengthened processes and systems for equitable, efficient and accountable service delivery Outputs 1.3: County- level institutions have strengthened capacity for evidence-based planning, budgeting, implementation, monitoring and evaluation for accountable service delivery Output 1.4: People in Kenya have capacity to engage, deepen accountability and transparency in devolution, especially women, youth and persons with disability	Regular: 2.49 Other: 43.75 Total: 46.24	24.31	18.60
Outcome 2: By 2022, people in Kenya live in a secure, peaceful, inclusive and cohesive society	Output 2.1: Government has normative standard capacities to operationalize policies and legal frameworks on conflict management, cohesion and human security Output 2.2: Strengthened capacities of peace architecture at national, county and community levels on peace, inclusion,	Regular: 2.49 Other: 43.75 Total: 46.24	30.87	19.50

²⁴ ATLAS extraction (10 March 2021)

Table 1: United Nations Assistance Development Framework outcomes, UNDP Country Programme Outputs and Indicative Resources (2018-2022)

UNSDF+ Outcomes	CPD Outputs	Programme finance in US\$ million (2018-2021)		
		Planned resources	Budget	Expenditure
	reconciliation, social cohesion and integration Output 2.3: Government has strengthened capacities for coordination and operationalization of gender- and human rights-responsive strategies and action plans on preventing violent extremism Output 2.4: Electoral management bodies have technical and financial capacities to deliver peaceful and democratic elections and based on lessons learned from the 2017 elections. Output 2.5: Rule of law, justice and legislative institutions have technical and financial capacities to deliver normative inclusive, accountable, equitable services			
Priority Area 2: Inclusive growth and structural transformation				
Outcome 3: By 2022, productivity in services sectors, agriculture, manufacturing, extractives, “blue” economy and their value chains increased	Output 3.1: Human and institutional capability increased in manufacturing, fishing, artisanal mining and agro-processing sectors value chains Output 3.2: Inclusive and evidence-based policy and regulatory frameworks in manufacturing, affordable housing, health and food security sectors	Regular: 2 Other: 35 Total: 37	9.14	3.84
Priority Area 3: Environmental sustainability, climate change and resilience				
Outcome 4: By 2022, people in Kenya benefit from sustainable natural resource	Output 4.1: Government, private sector and communities have enhanced capacity for increased access to cost-effective and clean energy Output 4.2: Improved institutional and community capacity to deliver pro-poor,	Regular: 3.25 Other: 52.5 Total: 55.75	32.79	21.12

Table 1: United Nations Assistance Development Framework outcomes, UNDP Country Programme Outputs and Indicative Resources (2018-2022)

UNSDF+ Outcomes	CPD Outputs	Programme finance in US\$ million (2018-2021)		
		Planned resources	Budget	Expenditure
management and resilient green economy	<p>sustainable natural resource management initiatives</p> <p>Output 4.3: National and county governments have improved capacities to reduce disaster risk and climate change impact</p> <p>Output 4.4: Communities have improved adaptive capacity to disasters including from climate change</p>			
Grand total*		185.23	97.11	63.07

Source: UNDP Kenya Country Programme Document 2018-2022 and ATLAS extraction (10 March 2021)

UNDP/ UN COVID support

UNDP Kenya was the technical lead in the development of a Socio-Economic Impact Assessment (SEIA) in April 2020 which identified the vulnerabilities and impact on Kenya of the COVID-19 pandemic. The SEIA analysis warned of the impact of COVID-19 for the country and outlined a range of economic and social impacts including, the ability of the country to respond to the pandemic itself and its health impacts and pressures, the economic pressures due to the pandemic including declining tourism and trade, unemployment and income decline, currency pressures, government revenue reduction and public spending increases.²⁵

The SEIA was a key input into the broader Socio-Economic Response Plan (SERP) developed by the UN country team led by the Resident Coordinator's office in August 2020. Under the SERP 5 pillars were identified to support Kenya's response, with UNDP taking the lead in ***pillar 4 "Macroeconomic Response and Multilateral Collaboration"*** providing the Government with technical and analytical support for socio-economic recovery and ***pillar 5 "Social Cohesion and community resilience"***, support climate smart agriculture, working with communities, youth and vulnerable groups to respond to the pandemic. The Kenya SERP has a budget call of US\$ 155 million with pillar 4 accounting for US\$2 million and pillar 5 US\$7.5 million.²⁶ The country office received US\$450,000 from a UNDP rapid financing facility to support youth during the pandemic as well as US\$2,206,286 from the Government of Japan to support an inclusive and multi-sectoral response to COVID-19.

²⁵ Policy Brief 4/ 2020 "Articulating the pathways of the Socio-Economic Impact of the Coronavirus (COVID-19) Pandemic on the Kenyan Economy"

²⁶ COVID-19 Kenya Socio-economic response Plan (SERP), August 2020

4. SCOPE OF THE EVALUATION

ICPEs are conducted in the penultimate year of the ongoing UNDP country programme in order to feed into the process of developing the new country programme. The ICPE will focus on the present programme cycle (2018-2022) while taking into account interventions which may have started in the previous programme cycle (2014-2018) but continued or concluded in the current programme cycle.

As a country-level evaluation of UNDP, the ICPE will focus on the formal UNDP country programme approved by the Executive Board but will also consider any changes from the initial CPD during the period under review. The scope of the ICPE will include the entirety of UNDPs activities in the country and will therefore cover interventions funded by all sources, including core UNDP resources, donor funds, government funds, etc.

5. KEY QUESTIONS AND GUIDING PRINCIPLES

The evaluation methodology will adhere to the United Nations Evaluation Group (UNEG) Norms & Standards.²⁷ The ICPE will address the following four main evaluation questions.²⁸ These questions will also guide the presentation of the evaluation findings in the report.

1. What did the UNDP country programme intend to achieve during the period under review?
2. To what extent has the programme achieved (or is likely to achieve) its intended objectives?
3. To that extent has UNDP been able to adapt to the COVID-19 pandemic and support country's preparedness, response and recovery process?
4. What factors contributed to or hindered UNDP's performance and eventually, to the sustainability of results?

ICPEs are conducted at the **outcome** level. To address question 1, a Theory of Change (ToC) approach will be used in consultation with stakeholders, as appropriate, to better understand how and under what conditions UNDP's interventions are expected to lead to good governance, poverty reduction and sustainable human development in the country. Discussions of the ToC will focus on mapping the assumptions behind the programmes desired change(s) and the causal linkages between the intervention(s) and the intended country programme outcomes.

As part of this analysis, the progression of the programme over the review period will also be examined. In assessing the CPD's progression, UNDP's capacity to adapt to the changing context in Kenya and respond to national development needs and priorities will also be looked at.

The effectiveness of UNDP's country programme will be analyzed in response to evaluation question 2. This will include an assessment of the achieved results and the extent to which these results have contributed to the intended CPD objectives. In this process, both positive and negative, direct and indirect as well as unintended results will be identified.

Evaluation question 3 will examine UNDPs support to COVID-19 preparedness, response and recovery at the Country level. This will include an assessment of the relevance and effectiveness of the support to the

²⁷ <http://www.uneval.org/document/detail/1914>

²⁸ The ICPEs have adopted a streamlined methodology, which differs from the previous ADRs that were structured according to the four standard OECD DAC criteria. More detailed sub-questions will be developed during the desk review phase of the evaluation.

needs of partner countries; its alignment with national government plans as well as support from other UN Agencies, Donors and NGOs/ CSOs; and its effectiveness in preventing loss of lives and livelihoods and protecting longer-term social and economic development. The analysis will also explore the extent to which UNDP's funding decisions were informed by evidence, needs and risk analysis and dialogue with partners, the efficient use of resources and how the support has contributed to the development of social, economic and health systems that are equitable, resilient and sustainable.

To better understand UNDP's performance, the specific factors that influenced - positively or negatively - UNDP's performance and eventually, the sustainability of results in the country will be examined in response to evaluation question 4. They will be examined in alignment with the engagement principles, drivers of development and alignment parameters of the Strategic Plan,²⁹ as well as the utilization of resources to deliver results and how managerial practices impacted achievement of programmatic goals. Special attention will be given to the integration of gender equality and women's empowerment in the design and implementation of the CPD.

6. APPROACH AND METHODOLOGY

Assessment of existing data and data collection constraints:

The evaluation will review the available decentralized evaluations (including project, GEF and outcome evaluations) conducted within the evaluation period. In addition, all project documentation, progress reports, annual reports and self-reported assessment will be taken into consideration.

With respect to indicators, the three CPD outcomes are supported by 9 outcome level indicators and 31 output level indicators most accompanied with baselines and targets. To the extent possible, the ICPE will seek to use these indicators to better understand the intention of the UNDP programme and to measure or assess progress towards the outcomes. The data sources of the indicators are not always clearly identified and, in many cases, the evaluation's ability to measure progress against these indicators will depend on national statistics.

It is also important to note that UNDP projects that contribute to different outcomes are at different stages of implementation, and therefore it may not always be possible to determine the projects' contribution to results. In cases where the projects/initiatives are still in their initial stages, the evaluation will document observable progress and seek to ascertain the possibility of achieving the outcome given the programme design and measures already put in place.

Data collection methods: The evaluation will use data from primary and secondary sources, including desk review of documentation and information and interviews with key informants (remote and in-person), including beneficiaries, partners and managers. An advance self-assessment questionnaire will be administered to the country office before the data collection mission in the country. The evaluation will follow a multi-stakeholder approach; interviews will include government representatives, civil society organizations, private sector representatives, UN agencies, multilateral organizations, bilateral donors, and programme beneficiaries. Focus group discussions may be used to consult some groups of beneficiaries as appropriate.

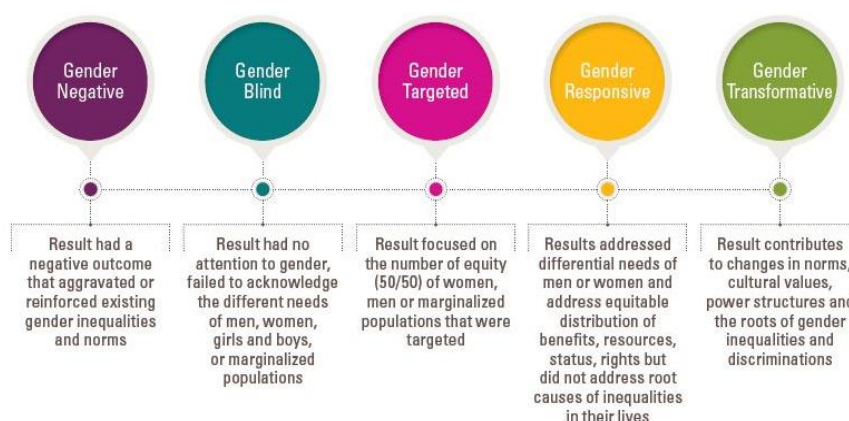
²⁹ These principles include national ownership and capacity; human rights-based approach; sustainable human development; gender equality and women's empowerment; voice and participation; South-South and triangular cooperation; active role as global citizens; and universality.

The evaluation will be implemented remotely by IEO staff, given the current restrictions on international travel as a result of the pandemic. If the government guidelines allow, the national consultant or think tank will undertake field visits to selected project sites to observe the projects first-hand, considering as priority those regions where UNDP has a concentration of field projects in more than one outcome area. The evaluation will adhere to the principle of ‘do no harm’, and will refrain from any activity that may place either a team member, a stakeholder or respondent at risk of being infected by the virus. The ICPE will cover all three outcome areas. The coverage will include a sample, as relevant, of both successful projects and projects reporting difficulties where lessons can be learned; both larger and smaller pilot projects; as well as both completed and active projects.

If the travel restrictions imposed by COVID continue, the stakeholder interviews and field missions will be conducted virtually, including with the help of national level consultants and/or institutions.

The evaluation team will undertake an extensive review of documents. IEO and the country office will identify an initial list of background and programme-related documents which will be posted on an ICPE SharePoint website. The document review will include, among others: background documents on the national context, documents prepared by international partners during the period under review and documents prepared by UN system agencies; programme plans and frameworks; progress reports; monitoring self-assessments such as the yearly UNDP Results Oriented Annual Reports; and evaluations conducted by the country office and partners.

In line with UNDP’s gender mainstreaming strategy, the ICPE will examine the level of gender mainstreaming across all of UNDP Kenya programmes and operations. Gender disaggregated data will be collected, where available, and assessed against its programme outcomes.



Special attention will be given to integrate a gender-responsive evaluation approach to data collection methods. To assess gender, the evaluation will consider the gender marker³⁰ in the portfolio analyses by outcome area and the gender results effectiveness scale (GRES) when assessing results. The GRES classifies gender results into five categories: gender negative, gender blind, gender targeted, gender responsive, gender transformative (see figure below). In addition, gender-related questions will be incorporated in the data collection methods and tools, such as the pre-mission questionnaire and interview questionnaire, and reporting.

Validation: The evaluation will triangulate information collected from different sources and/or by different methods to enhance the validity of findings.

³⁰ A corporate tool to sensitize programme managers in advancing GEWE by assigning ratings to projects during their design phase to indicate the level of expected contribution to GEWE. It can also be used to track planned programme expenditures on GEWE (not actual expenditures).

Stakeholder involvement: A participatory and transparent process will be followed to engage with multiple stakeholders at all stages of the evaluation process. During the initial phase a stakeholder analysis will be conducted to identify all relevant UNDP partners, including those that may have not worked with UNDP but play a key role in the outcomes to which UNDP contributes. This stakeholder analysis will serve to identify key informants for interviews during the main data collection phase of the evaluation, and to examine any potential partnerships that could further improve UNDP's contribution to the country.

ICPE rating system: Based on the rating system piloted by IEO under its Independent Country Programme Review (ICPR) model and the lessons learned from its application, IEO is currently developing a rating system for ICPEs which will be applied on a pilot basis to the ICPEs in 2021. Ratings will be applied to CPD Outputs and Outcomes, where Outputs will be rated against UNDP country programme's progress/achievement towards each of the planned outputs and Outcomes will be rated against UNDPs contribution to CPD outcome goals.

7. MANAGEMENT ARRANGEMENTS

Independent Evaluation Office of UNDP: The UNDP IEO will conduct the ICPE in consultation with the UNDP Kenya Country Office, the Regional Bureau for Africa and the Government of Kenya. IEO Lead Evaluator will lead the evaluation and coordinate the evaluation team. IEO will meet all costs directly related to the conduct of the ICPE.

UNDP Country Office in Kenya: The country office will support the evaluation team to liaise with key partners and other stakeholders and ensure that all necessary information regarding UNDP's programmes, projects and activities in the country is available to the team and provide factual verifications of the draft report on a timely basis. The country office will provide the evaluation team in-kind organizational support (e.g. arranging meetings with project staff, stakeholders, beneficiaries; assistance for project site visits). If travel is not possible due to COVID pandemic, the CO will support IEO to coordinate these virtually. To ensure the independence of the views expressed, country office staff will not participate in interviews and meetings with stakeholders held for data collection purposes. Towards the end of the ICPE, the country office will jointly organize the final stakeholder meeting, ensuring participation of key government counterparts, through a videoconference with the IEO, where findings and results of the evaluation will be presented. Additionally, the country office will support the use and dissemination of the final outputs of the ICPE process.

UNDP Regional Bureau for Africa (RBA): RBA will support the evaluation through information sharing and will also participate in discussions on emerging conclusions and recommendations.

Evaluation Team: The IEO will constitute an evaluation team to undertake the ICPE. The IEO will ensure gender balance in the team which will include the following members:

- Lead Evaluator (LE): IEO staff member with overall responsibility for managing the ICPE, including preparing for and designing the evaluation as well as selecting the evaluation team and providing methodological guidance. The LE will be responsible for the synthesis process and the preparation of the draft and final evaluation reports. The LE will be backstopped by another evaluator also from the IEO.
- Associate Lead Evaluator (ALE): The ALE will support the LE in the preparation and design of the evaluation, including background research and documentation, the selection of the evaluation

team, and the synthesis process. The ALE will review the draft report and support the LE in other aspects of the ICPE process as may be required.

- Evaluation Consultants and/or national research institutions/ think tanks: 2-3 consultants will be recruited and will be responsible for their respective outcome areas. Under the guidance of the LE, they will conduct preliminary research and data collection activities, prepare outcome analysis papers, and contribute to the preparation of the draft and final ICPE report. IEO will also explore the possibility of engaging a national research institution/ think tank to support the ICPE Team in data collection and analysis.
- Research Analyst: An IEO research analyst will provide background research and will support the portfolio analysis.

8. EVALUATION PROCESS

The evaluation will be conducted according to the approved IEO process. The following represents a summary of the five key phases of the process, which constitute the framework for conducting the evaluation.

Phase 1: Preparatory work. The IEO prepares the TOR and the evaluation design. Once the TOR is approved, additional evaluation team members, comprising international and/or national development professionals will be recruited. The IEO starts collecting data and documentation internally first and then filling data gaps with help from the UNDP country office.

Phase 2: Desk analysis. Evaluation team members will conduct desk review of reference material, and identify specific evaluation questions, and issues in a detailed evaluation design matrix. Further in-depth data collection will be conducted, by administering an advance questionnaire and interviews (via phone, Skype, etc.) with key stakeholders, including country office staff. Based on this, detailed evaluation questions, gaps and issues that require validation during the field-based phase of the data collection will be identified.

Phase 3: Data collection. During this phase, the evaluation team will engage in data collection activities. Given the current travel limitations due to COVID most of the data collections and interviews will be undertaken virtually. The evaluation team will liaise with CO staff and management, key government stakeholders and other partners and beneficiaries during this stage. To supplement the virtual data collection, the ICPE team will include a national consultant and also explore the possibility of engaging with a national research institution/ think tank to support the support the ICPE. In the event, travel is possible, the stakeholder interviews and field visit will be undertaken by the team through an in-country mission.

Phase 4: Analysis, report writing, quality review and debrief. Based on the analysis of data collected and triangulated, the LE will undertake a synthesis process to write the ICPE report. The draft will first be subject to peer review by IEO and its external reviewers. Once the draft is quality cleared, it will be circulated to the country office and the UNDP Regional Bureau for Africa for factual corrections. The second draft, which takes into account any factual corrections, will be shared with national stakeholders for further comments. Any necessary additional corrections will be made, and the UNDP Kenya country office will prepare the management response to the ICPE, under the overall oversight of the regional bureau.

The report will then be shared at a final debriefing where the results of the evaluation are presented to key national stakeholders. The way forward will be discussed with a view to creating greater ownership by national stakeholders with respect to the recommendations as well as to strengthening accountability of UNDP to national stakeholders. Taking into account the discussion at the stakeholder event, the evaluation report will be finalized and published.

Phase 5: Publication and dissemination. The ICPE report will be written in English. It will follow the standard IEO publication guidelines. The ICPE report will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new Country Programme Document. It will be widely distributed by the IEO within UNDP as well as to the evaluation units of other international organisations, evaluation societies/networks and research institutions in the region. The Kenya country office and the Government of Kenya will disseminate to stakeholders in the country. The report and the management response will be published on the UNDP website³¹ as well as in the Evaluation Resource Centre. The Regional Bureau for Africa will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.³²

9. RESPONSIBILITIES AND EXPECTED OUTPUTS OF THE EVALUATION CONSULTANTS AND/OR NATIONAL RESEARCH INSTITUTIONS OR THINK TANKS:

Under the overall guidance of the IEO Lead Evaluator (LE) the research institute or think tank will provide technical expertise and knowledge on the outcome areas of **Peace, Security and Governance** (CPD Outcomes 1 and 2). The research institute or think tank will contribute to the evaluation by conducting research, data collection, analysis and reporting, including on cross-cutting areas like gender, disability inclusion, human rights, partnerships and capacity building. The research institute or think tank will comply with the overall Evaluation Terms of Reference and with the evaluation matrix provided by IEO.

Specific tasks of the research institute or think tank include:

- Review reference material provided by IEO (e.g. programme/ project documents, past evaluation reports, etc.) and conduct a preliminary analysis of the designated outcome areas.
- Develop the outcome theory of change (if one has not been developed by the country office) and identify any gaps/ issues requiring validation during the field-based data collection phase.
- Develop a proposed data collection plan.
- Conduct data collection activities (e.g. interviews and site visits, where possible) in accordance with the instructions given by LE and guided by the ICPE manual.
- Keep good records of interview notes and develop an outcome paper on Peace, Security and Governance.
- Prepare, and submit in a timely manner, all required written reports on the outcomes.
- As a member of the team, actively participate in the team's discussions and joint analysis sessions. Participate in the programme briefing and the end-of-mission debriefing with the country office.
- Ensure that all necessary data collection activities are conducted (during and after the mission) and manage his/her own work schedule.
- Provide clarification, additional data, and supporting documents as requested by the LE during the preparation/finalization of the outcome papers and the draft ICPE report.

³¹ web.undp.org/evaluation

³² erc.undp.org

- The research institute or think tank will also ensure that crosscutting issues are analysed across their outcome areas including gender integration and mainstreaming within programmes, disability inclusion, human rights and capacity building.

Deliverables include:

- **Outcome Analysis report:** A comprehensive summary report of the CPD outcomes 1 and 2 based on literature review and secondary documents. The report should include a description of the context, the UNDP response during the period 2018-2021, emerging issues, an outcome-specific theory of change, preliminary findings supported by evaluative evidence, data gaps and specific evaluation sub-questions to be addressed during the data collection phase. It will also include data collection plan, list of stakeholders to consult and any additional protocol questions, tools and instruments necessary for data collection specific to each outcome area. *(Due prior to the data collection and stakeholder interviews - 21 June 2021).*
- **Draft ICPE report:** a high-quality analytical report, covering all aspects of the evaluation matrix related to outcomes 1 and 2. The report will assess the overall programme design and implementation based on the document review, financial data analysis, analysis and synthesis of survey responses, data collection and stakeholder interviews highlighting the key findings and conclusions with emerging lessons and suggestions for improvement. *(Due 30 August 2021).*
- **Inputs in the finalization and drafting of the draft and final ICPE report:** This will include comprehensive review, inputs and adjustments to the outcome analysis paper and drafts of the ICPE report *(Between September - November 2021).*

The outcome reports and additional inputs as well as the final version of the ICPE report will be produced in English. They will follow the standard IEO publication guidelines.

10. DURATION OF ASSIGNMENT, TRAVELS AND PAYMENT

The research institute or think tank will be recruited for 45 working days spread between June and December 2021 (see table below). Payment will be processed upon satisfactory submission of deliverables and approval by the IEO Lead Evaluator.

Deliverables/ Outputs	Estimated Duration to Complete (working days)	Target Due Dates
Desk review and Outcome analysis report	15	21 June 2021
Data collection	15	19 July 2021
Completion of analyses and drafting of ICPE report	10	30 August 2021
Revisions and clarification	5	30 November 2021
Total	45	

The assignment is home-based. For research institute or think tank based in Kenya, internal travel will be considered, contingent on the security and health situation. All travel and other expenses incurred during the evaluation will be covered by the IEO. The IEO will issue a lump sum contract based on the agreed fee, upon certification by the Lead Evaluator that expected services have been satisfactorily performed. The payments will be made as shown in the table below.

Deliverables	Payment
1. Upon satisfactory submission of Outcome Analysis report and data collection plan	15%
2. Upon satisfactory participation in data collection activities	25%
3. Upon satisfactory submission of written reports on outcomes, including interview notes; and participation in the team's analysis	30%
4. Upon satisfactory submission of revisions and any additional information required	30%

11. ELIGIBILITY

Academic institutions, research institutions and think-tanks based in Kenya and/or in the East Africa region (or those that have operational focus on the country or the region) are welcome to apply for this assignment. To ensure the independence and impartiality of the evaluation, institutions with any conflict of interest will not be considered for this call, including grant recipients and/or implementing partners of the UNDP Country Office in Kenya during the period between 2018 and present. Experts proposed by the institution to carry out the assignments should not have any involvement in the design or implementation of UNDP projects in Kenya during the period.

12. IMPACT OF THE COVID-19 PANDEMIC ON THE ASSIGNMENT

The global COVID-19 pandemic has presented the world with extraordinary circumstances including strict travel restrictions and confinement measures in all affected regions including Kenya; limiting the ability of the evaluation team members to undertake the in-country mission and conduct face to face interview meetings and field visits.

While these circumstances present a critical limitation for the conduct of the evaluation, IEO will continue to monitor the situation as it evolves and reserves the right to adjust the evaluation plan as appropriate and in line with UNDPs principles of 'do no harm' and 'duty of care' for its staff and research institute or think tank. If the current situation prevails, the evaluation will seek to rely extensively on secondary evidence available through existing documents, evaluations, internal assessments, and it will conduct remote interviews and engagements with stakeholders.

In line with the UNDP's financial regulations, when determined by the IEO and/or the contracted research institute or think tank that a specific deliverable or service can't be satisfactorily accomplished, that deliverable or service cannot be paid. Due to the current COVID-19 situation and its ramifications, the IEO may consider making a partial payment if the contracted research institute or think tank invested time towards the deliverable but was not able to complete it due to circumstances beyond his/her control.

13. QUALIFICATIONS OF THE research institute or think tank

Skills and Experience

The Institute may propose a team of 1 to 2 key expert(s) to cover the various topics under this assignment.

Each should have the following qualifications

Education

- A post-graduate degree or higher in Governance, Public Administration, Public Policy, Political Science, Social Science, International Development, Environmental Studies, or other relevant fields.

Experience

- Minimum of 10 years of experience on issues related to peace, security and governance.
- Substantial experience in conducting evaluations in the development sector
- Knowledge of the UN system in general, and in Kenya
- Substantial experience and knowledge of Kenya and/ or East Africa is a strong asset
- Experience in conducting evaluations of UNDP programs in Kenya or the region is a strong asset

Languages

- Fluency in English is essential.

Competencies

Each key expert proposed must possess the following competencies:

Functional competencies

- Strong analytical skills, including ability to quickly assess a diverse range of information with a discerning sense for quality of data
- Good mastery of information technology required for organized presentation of information

Development and Operational Effectiveness

- Adhere to the principle of confidentiality and ethical code of conducts during the evaluation
- Ability to work under pressure, multi-tasking skills.
- Available to travel and conduct required analysis within the agreed timelines.
- Excellent proven oral and drafting skills in English, with excellent analysis and synthesis skills.

Corporate Competencies

- Knowledge of UNDP work in Kenya and East Africa.
- Knowledge of the country and regional context, development issues and challenges
- Ability to work in multicultural and multidisciplinary teams, acting with professionalism, diplomacy, tact and courtesy

14. TIMEFRAME FOR THE ICPE PROCESS

The timeframe and responsibilities for the evaluation process are tentatively³³ as follows in Table 3:

Tentative timeframe for the ICPE process³⁴		
Activity	Responsible party	Proposed timeframe
Phase 1: Preparatory work		
TOR completed and approved by IEO Deputy Director	LE/ALE	Apr 2021
Selection of consultant team members	LE/ALE	Apr 2021
Phase 2: Desk analysis		

³³ The timeframe, indicative of process and deadlines, does not imply full-time engagement of evaluation team during the period.

³⁴ The new Kenya CPD is expected to be presented at either the June or September 2022 session of the UNDP Executive Board

Advance questionnaire to the CO	LE/ALE/CO	April 2021
Preliminary desk review of reference material	ICPE Team	Apr-May 2021
Phase 3: Data collection		
Evaluation data collection, stakeholder interviews, field visits, etc. If travel opens, this will include mission to Kenya	LE/ALE/Consultants	June/ July 2021
Phase 4: Analysis, report writing, quality review and debrief		
Analysis of data and submission of outcome analysis papers	Consultants	Sep/Oct 2021
Synthesis and report writing	LE/ALE/Consultants	August/September 2021
Zero draft for internal and external peer-review and IEO clearance	LE/ALE	Sep/ October 2021
First draft to CO/RBA for comments	LE/CO/RBA	October 2021
Second draft shared with the government and national stakeholders	LE/CO/GOV	November 2021
Draft management response	CO	Dec 2021
Stakeholder workshop via videoconference	IEO/CO/RBA	Jan/Feb 2022
Phase 5: Publication and dissemination		
Editing and formatting	IEO	Feb 2022
Final report and evaluation brief	IEO	Feb 2022
Dissemination of the final report	IEO	Mar 2022

15. Application Instructions

Applicants are expected to submit their applications via email to ieo.procurement@undp.org, by 5:00 PM (EST) on **28 May 2021**, following the instructions detailed in the RFQ. The application must include:

- A **cover letter** that introduces the national/regional institute and highlights relevant expertise and experience in Kenya in the thematic areas under review in this evaluation as well as any evaluation activities conducted in the past. The cover letter should also indicate: i) the thematic outcome area(s) – one or more - that the institute wishes to collaborate with UNDP IEO under this assignment; ii) an overview of the institute's proposed approach to this assignment; and iii) links to relevant publications, ideally authored by the experts proposed for this assignment. Should there be any prior engagement by the institute with UNDP projects or activities in Kenya, between 2018 and the present, the nature of the involvement should be clearly stated.
- Quotation that indicates total costs for this assignment as well as the expert day rate.
- CVs of all proposed experts in the format known as [P11](#).
- Contact details of three (3) institutional references.