

# Strategic Plan for the Council of Governors



2014 - 2017

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The Council of Governors is established under Section 19 of the Intergovernmental Relations Act (2012) with the mandate to provide a mechanism for consultation amongst county governments, share information on performance of the counties in execution of their functions, facilitate capacity building for governors and consider reports from other intergovernmental forums on national and county interests amongst other functions (Section 20).

The Council of Governors strategic plan will run for five years - that is from 2013 to 2017. Its timing is right because the Council is young and likely to continue to experience substantial changes as the plan matures. Devolution, the key aspect on which the council is hinged will alter the expectations of the Kenyan population because of their ever increasing demands and transient nature. The plan clearly sets out development priorities that are expected over the planning period, the strategic key result areas that the Council is committing to, and a clear description of how it will address them.

The preparation of the plan involved extensive consultation, on the challenges to devolution and the focus and priorities of the Council. This Strategic Plan sets out an ambitious vision for the Council of Governors and represents the needs not just of the membership, but also those of the wider range of collaborators and the stakeholder community. For the Council to achieve its vision it will need a high level of change and flexibility to proactively respond to shifting priorities and circumstances.

This Plan is the first formal strategy developed and approved by The Council of Governors and represents a significant milestone in the context of the one year history of the Council. The Council is committed to faithful implementation of this strategic document for the good of the Kenyan people.

H.E. Governor Isaac Ruto

Chairman, Council of Governors

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This strategic plan is the first for the Council of Governors and sets the foundation of the activities of the Council for the next four years.

## List of Abbreviations

<b>AG</b>	Attorney General
<b>CG</b>	County Government
<b>CIC</b>	Commission for the Implementation of the Constitution
<b>CoG</b>	Council of Governors
<b>DFRD</b>	District Focus for Rural Development
<b>GoK</b>	Government of Kenya
<b>ICT</b>	Information Communication Technology
<b>IEC</b>	Information, Education, Communication Materials
<b>KLRC</b>	Kenya Law Reporting
<b>NG</b>	National Government
<b>PPP</b>	Public Private Sector Partnership
<b>RAC</b>	Revenue Allocation Commission
<b>TA</b>	Technical assistance

## The Council of Governors

The Council of County Governors (CoG) of Kenya is a non - partisan organization established in accordance with the provision of Section 19 of The Intergovernmental Relations Act. The membership consists of 47 Governors that took office after the March 4th elections. The main functions of the CoG are to:

- Promote visionary leadership
- Share best practices
- Offer a collective voice on policy issues
- Promote Inter-County consultations
- Encourage and initiate information sharing on the performance of County Governments with regard to the execution of their functions
- Collective consultation on matters of interest to County Governments.

The Council has a governing body as provided for under Section 19 of the Intergovernmental Act, consisting of the Chairman, Deputy Chairman and a co-opted position of a Secretary.

The CoG is organized under twelve committees in specific thematic areas and these set out the terms of engagement with the National Government Agencies and other stakeholders.

The Committees are as follows:

1. Rules and Business
2. Legal Affairs and Human Rights
3. Energy, Roads and Transport
4. Finance, Commerce and Economic Affairs
5. Education and ICT
6. Labour and Social Welfare
7. Health and Biotechnology
8. Agriculture and Land
9. Foreign Affairs

10. Security

11. Arid and Semi Arid Land Development

12. Natural Resources & Water, Mining & Forestry

## Strategic Planning Process

This strategic plan for the Council of Governors covers three years from 2014 – 2017. The strategic planning workshop lasted three days and was highly participatory. During this time, the consultant in charge led the staff team and representatives from partners through various exercises. Their outputs were then incorporated into the final strategic plan. The consultant had prior to this exercise gone through a number of background documents provided by the Secretariat and conducted feedback sessions with the Chief Executive and her team.

During the workshop and consultative meetings, the staff undertook the following exercises:

- Analysis of legal and regulatory environment
- SOAR analysis: strengths, opportunities, aspirations and results
- Stakeholder mapping
- Action plan for 2014 - 2015

Below are the steps taken during the strategic planning process:

### *Phase 1: Mobilization/Inception*

During this phase the consultant held discussions with the CoG secretariat and reviewed various documents. She also developed, presented and finalized the inception report.

### *Phase 2: Strategic Planning Workshop*

The strategic planning workshop attended by the Secretariat staff and stakeholders was held in Mombasa for three days. The input from the workshop formed the basis of this plan.

### *Phase 3: Writing up the draft strategic planning document*

Based on the outputs of the strategic planning workshop the consultant prepared the draft zero of the strategic plan.

### *Phase 4: Presentation of the draft to the Secretariat and development of draft strategic plan*

The draft zero of the strategic plan was discussed with the CEO and her team, feedback was received and incorporated in the draft strategic plan.

### *Phase 5: Validation by the Governors*

The governors read the zero draft, critiqued the document and added their input

## **The Structure of the Plan**

The plan document contains five sections

**Section 1:** Describes the strategic planning process and the structure of the plan.

**Section 2:** Contains the situational analysis of the political and legal environments in which the CoG operated the strategic implications of the plan. It also has brief background information that led to the formation of the CoG and incorporates main strengths and opportunities of the CoG.

**Section 3:** Contains the CoG's strategic direction- that is:

- Vision, mission and values
- Impact, outcomes, outputs and strategies
- Beneficiaries, losers and partners

**Section 4:** Contains risk analysis, implementation challenges and strategic alignment

**Section 5:** Contains monitoring and evaluation

Operational plan is included in the appendix.

## **Background information that led to formation of CoG**

The Kenyan devolution traces its origins to the 1982 District Focus for Rural Development (DFRD), which was a significant attempt at decentralisation. The objective of DFRD was to make the district a planning and implementation unit of development activities in Kenya and the District Commissioner the coordinator of such development. The position of District Development Officer was also established. The DFRD had mixed success. It is important to note that it was a decentralisation and not a devolution strategy.

The 2001 -2002 Local Authority Transfer Fund Act defined the Local Authority Strategy Development and Action Plan (LASDAP). It was a process that described the joint planning of local authorities and communities that they served. The Act was repealed when County Government Act No. 17 of 2012 came into force.

The devolution is the result of a long struggle by the Kenyan people to participate fully in the governance process and ensure accountability and transparency in leadership. The Constitution of Kenya 2010 is the result of those aspirations. The making of the Constitution was however a long process that included the rejection of the first draft (Bomas Draft) in the 2005 referendum. Violence erupted following the 2007 bungled elections. This was followed by negotiations facilitated by then UN Secretary General Kofi Anan and his team of eminent personalities that created among other things Agenda 4. The Kriegler team that was tasked to analyse causes of 2007 – 2008 election violence among other issues recommended the finalisation of the Constitution.

The Constitution was completed and passed with overwhelming majority in the 2010 referendum. Major gains in the Constitution included devolution and the Bill of Rights. A Task Force on Devolved Government completed its work in 2011. This was followed by legislation (County Government Act) being tabled in Parliament. After March 2013 elections, governors assumed office, county authorities were established, county executives came into being and members of County Public Service Boards were recruited. The Council of Governors was constituted on 19th April 2013 and the first summit took place on 19th June 2013. In August 2013 sectoral committees were formed during the first CoG's meeting.

## Analysis of Opportunities and Strengths

The CoG operates in a very dynamic environment. For it to succeed, it has to take advantage of external opportunities and build on internal strengths. Table 1 summarizes these opportunities and their strategic implications for the CoG.

**Table 1: Opportunities and strengths**

Opportunity	Strategic Implications for the CoG
Finances devolved to counties as per legal and regulatory requirements	<ul style="list-style-type: none"> <li>Negotiate for additional allocation of funds to counties</li> <li>Ensure proper financial management and accounting of funds.</li> <li>Explore innovative sources of revenue at the county level that do not stifle economic progress.</li> <li>Diversify funding base through fundraising from development partners.</li> <li>Mobilize additional resources from private sector through strengthening PPP.</li> </ul>
Human resources: opportunity to vet and retain qualified and productive work force; opportunity to develop and implement performance management system including performance based remuneration	<ul style="list-style-type: none"> <li>Tailor national performance contracts to the needs of the CoG</li> <li>Assess the performance of seconded staff; motivate good performance and reject poor performers</li> <li>Perform staffing norms analysis for CoG to determine optimal staffing establishment</li> <li>Recruit, train, redeploy as necessary</li> </ul>
CoG has not inherited a structure so it can start afresh without the “baggage”	<ul style="list-style-type: none"> <li>Set up a flexible effective organizational structure that supports the work of committees</li> <li>Develop/ modify organizational systems</li> <li>Encourage culture of performance</li> <li>Hire essential staff; outsource for specialized skills</li> </ul>

**Table 1: Opportunities and strengths Con’t...**

Opportunity	Strategic Implications for the CoG
Opportunity to strengthen appreciation of county government and provide accurate and comprehensive information on devolution	<ul style="list-style-type: none"> <li>CoG will position itself as a leader in coordinating civic education on devolution</li> <li>Develop and disseminate appropriate IEC materials such as posters, pamphlets, documentary, radio and TV programmes</li> </ul>
Opportunity to mobilize support among important actors that may resist change such as the National Assembly (forces that want to hinder the progress of devolution)	<ul style="list-style-type: none"> <li>Conduct legislative gap analysis</li> <li>Strengthen relationships with the AG, KLRC, Law Reporting</li> <li>Lobby for appropriate legislation to pass</li> </ul>
Good will and excitement of Kenyans over devolution	<ul style="list-style-type: none"> <li>Nurture relationships with Kenyans as the most important partner</li> <li>Disseminate media stories that portray governors in good light</li> <li>Develop and disseminate appropriate IEC materials</li> <li>Put in place appropriate mutual accountability mechanisms</li> </ul>
Interest of development partners and private sector in devolution	<ul style="list-style-type: none"> <li>Organize round tables</li> <li>Maintain a data base of development partners</li> <li>Maintain data base of private sector and other potential investors</li> </ul>
Good performance in some counties; right priorities	<ul style="list-style-type: none"> <li>Share success stories and encourage counties that are doing well</li> <li>Use success stories to mobilize resources and support</li> <li>Partner with media to publicize success stories</li> </ul>

**Table 1: Opportunities and strengths Con't...**

Opportunity	Strategic Implications for the CoG
Strategic visioning and strategic positioning; being able to see beyond political affiliations	<ul style="list-style-type: none"> <li>• Develop and implement team building among governors;</li> <li>• Develop and implement communication policy that will have a system of developing and communicating common position on all important issues;</li> <li>• Develop checklist with criteria on the importance of issues</li> <li>• Facilitate semi-annual strategic reviews for the CoG to internalize strategic visioning</li> <li>• Position the institution as the guardian of devolution</li> <li>• Develop desired corporate image of the CoG and implement it</li> </ul>
Willingness and the capacity to solve disputes and/ or proactively prevent them	<ul style="list-style-type: none"> <li>• Strengthen conflict management mechanisms within the CoG</li> <li>• Develop and implement comprehensive communication strategy</li> </ul>
Secretariat in place with adequate capacity to take off	<ul style="list-style-type: none"> <li>• Mobilize resources to strengthen the capacity of the Secretariat to provide the necessary support to CoG</li> </ul>

## Stakeholders' Mapping

CoG works with partners from public, private, and non-profit sectors. Some partners are extremely important to the achievement of CoG's mandate and results as they have a significant amount of influence of CoG's outcomes. Partners are therefore classified according to the level of influence they yield and the amount of interest they show in partnering with the Council.

**Table 2: Stakeholders' Mapping**

Interest/ influence	Low interest	High interest
<b>High influence</b>	<ul style="list-style-type: none"> <li>• Media<sup>1</sup></li> <li>• The National Assembly</li> <li>• Kenya National Commission on Human Rights</li> <li>• Gender and Equality Commission</li> <li>• Kenya Audit Office</li> <li>• Private sector</li> <li>• Non-governmental and faith based organizations</li> </ul>	<ul style="list-style-type: none"> <li>• CIC, RAC,</li> <li>• Ministry of Planning and Devolution</li> <li>• National Treasury</li> <li>• Funding and technical assistance collaborators</li> <li>• Private sector</li> <li>• Kenyans</li> <li>• The Judiciary</li> <li>• KLRC, AG</li> <li>• Senate</li> <li>• National and county assemblies</li> <li>• National and county staff</li> <li>• Capacity building institutions</li> </ul>
<b>Low influence</b>	<ul style="list-style-type: none"> <li>• Visitors, tourists</li> </ul>	<ul style="list-style-type: none"> <li>• Academic and research institutions</li> <li>• EAC members</li> <li>• AU members</li> </ul>
<b>Strategy for Engagement</b>	<ul style="list-style-type: none"> <li>• Provide routine information on the devolution process</li> <li>• Deal with requests for information promptly</li> </ul>	<ul style="list-style-type: none"> <li>• Provide routine information on the transition process</li> <li>• Deal with requests for information promptly</li> </ul>

<sup>1</sup> If interested, media often focuses on negative stories.

<sup>2</sup> Private sector's interest is mixed. There is also fear that county governments have inadequate capacity to partner meaningfully with Private sector and/or that they are corrupt.

The CoG will focus on stakeholders interested in partnering and yielding significant influence. The Council will also focus on stakeholders that may not demonstrate high interest in partnering but can yield a significant influence. The CoG will in addition ensure that it develops and implements stakeholders' engagement strategy.

## Strategic Issues

The CoG will within this planning period deal with a number of strategic issues; it is worth noting that strategic issues for the CoG are also strategic priorities for the Secretariat of the CoG and that outcomes of the Secretariat are the outputs of the CoG.

The strategic issues are:

1. The need to provide transformative leadership to the counties
2. Strategic positioning of the CoG in regard to devolution
3. Facilitative legal, regulatory and policy environment for the implementation of the devolution
4. A Strong Secretariat to support the CoG

## Provision of Transformative Leadership to Counties

Transformative leadership that focuses on people and shifts from the “big man” culture and self-glorification to serving people, continuous learning and team effort is necessary if devolution is to succeed. Successful leadership results in enhanced understanding, improved relationships, and greater collective effectiveness among working teams and their partners. Since people with overlapping goals have a better sense of how parts of the system fit together, good leaders build upon relationships and trust, mobilizing energy in a way that is sustainable, fosters ownership and generates commitment. Leadership development is thus an important response to capacity challenges for the Secretariat.

Transformative leaders require a mix of skills, like abilities to foster ownership and to manage relationships with key external stakeholders. They should also be

able to negotiate, develop, communicate and give direction on vision, mission and values and to develop and implement a system for overall management. They should be in a position to create an environment that motivates and supports individuals.

## Facilitative Legal, Regulatory and Policy Framework for Devolution

Full implementation of devolution requires facilitative policy and legal framework at the national level that incorporates CGs concerns at the sectorial level. Increased participation of COG in legal and policy processes at the national level that are of strategic importance to county governments is therefore required. CGs concerns include negotiation of treaties, agriculture, tourism, water, animal health, environmental management, health, biotechnology and extractive industries such as mining and oil, among others. In general the country requires a legal framework that supports devolution pursuant to article 190 of the constitution.

## Council of Governors Position itself strategically as a Custodian of Kenyan Devolution

Devolution is a fundamental transformation of Kenyan political, economic and social environment. Its full implementation will to a great extent depend upon the ability of the governors to act strategically and harmoniously.

## Professionally Managed Secretariat

In order to perform its mandate and achieve the stated results, the Council has to put in place a strong, professionally managed Secretariat.

## Aspirations and Results

This section summarises the CoG's mandate, vision, mission, values and desired results.

### CoG Mandate

The mandate of the Council as per the Intergovernmental Relations Act 2012 is:-

- a. Consultation amongst County Governments
- b. Sharing of information on the performance of the counties in the execution of their functions with the objective of learning and promotion of best practices and where necessary, initiating preventive or corrective action
- c. Considering matters of common interest to County Governments
- d. Dispute resolution between counties within the framework provided under this Act
- e. Facilitating capacity building for governors
- f. Receiving reports and monitoring the implementation of inter-county agreements on inter-county projects
- g. Consideration of matters referred to the Council by members of the public
- h. Consideration of reports from other intergovernmental forums on matters affecting National and County interests or relating to the performance of counties
- i. Performing any other function as may be conferred on it by this Act or any other Legislation or that it may consider necessary or appropriate.

### Vision

Prosperous and democratic Counties delivering services to every Kenyan

### Mission

To be a global benchmark of excellence in devolution that is non-partisan; providing a supporting pillar for County Governments as a platform for consultation,

information sharing, capacity building, performance management and dispute resolution.

### Motto

**47 GOVERNMENTS, 1 NATION**

### Values:

- Professionalism
- Independence
- Equality and equity
- Cooperation
- Visionary

### Professionalism

The CoG values the need to deliver value for money in order to optimize scarce resources for the benefit of the people of Kenya. The CoG is committed to professionalism in all its endeavours and demand performance. It also aspires to develop and implement a Code of Ethics and to live by it.

The CoG will become a result oriented organization within this strategic plan. It is accountable for results at all levels. Each person will be introduced to challenging performance standards which will form the basis of performance evaluations to be conducted annually. There will be annual reviews attended by the members, staff and partners to assess achievements and lessons learnt.

### Independence

The success of devolution requires an impartial and independent CoG that is strategic in protecting devolution as envisaged in the Constitution. The CoG should as much as possible be independent of narrow political interests and establish common positions on all matters related to devolution.

## Equality and Equality

The CoG will integrate equity, diversity and inclusion into all aspects of its operations. The CoG believes that every county, particularly those that were historically disadvantaged will have equal opportunities in the devolved government process. It wants to ascertain that the Constitution of Kenya 2010 is implemented to the letter and spirit in relation to the rights of all people in every county. Within each county the CoG will ensure inclusion of interests of minorities, women, people with disabilities and other special interest groups.

## Cooperation

The stated outcome of “effective and efficient delivery of services at devolved level” can only be achieved if key stakeholders (partners) work closely together in the spirit of cooperation and not of competition.

## Visionary

CoG is fully committed to the vision of a devolved Kenya that is economically prosperous; not just for a chosen few but for everybody. The CoG will strongly market devolution so that it becomes a way of life for everyone.

## Outcomes and Outputs

### Outcome 1: Effective, transformative leadership provided by the CoG

Indicators of the outcome will include:

- County plans and budgets reflecting each county’s development priorities and the National Treasury guidelines
- Positive trends in economic development statistics
- Increased number of success stories of county leadership documented and disseminated
- Reduced incidences of corruptive and/ or inappropriate practices among governors.

The CoG will facilitate strengthening of leadership capacity among governors so that they can provide transformative, service oriented leadership to counties. In order to achieve this outcome, the Secretariat will focus on the following:

### Outputs:

1. Increased leadership capacity of governors
  - a. Leadership capacity assessment and capacity development strategy and plan developed, disseminated and implemented
  - b. Innovative proposals for leadership development formulated, resources mobilised and interventions implemented
  - c. Good practices in leadership of Counties documented and disseminated
  - d. Resources for leadership capacity development and resource center mobilized
  - e. Leadership capacity development interventions planned and executed, capacity development plan cascaded to county executive committee members
2. Knowledge management strategy developed, disseminated and implemented
  - a. Resource centre planned, resources mobilised, centre established and managed
  - b. Learning exchange forums nationally, regionally and internationally identified, documented, disseminated and implemented
3. Organizational culture of teamwork, open communication, service orientation, transformative leadership facilitated
  - a. Strengthened team building
  - b. Code of Ethics developed, disseminated and strictly adhered to
  - c. Service Charters developed and disseminated
  - d. Mechanisms for engaging with stakeholders established and managed

## Tracking Progress

When assessing performance needs in transformative leadership, the CoG will be looking for several indicators such as:

- Effective mechanisms for stakeholders' engagement are in place
- Quality and quantity of dialogue with governors as influential and outspoken champions of devolution
- Existence of Service Charters at the Secretariat and counties
- Improved image of the Council as demonstrated by positive media coverage
- Existence and visual displays of vision, mission, values and result areas at the Secretariat and county offices

CoG will track progress through regular reports on each capacity development initiative. There will be reports on the leadership performance gap analysis that will be adopted by the governors and will be the basis for planned capacity development interventions.

## Outcome 2: Devolution implemented to the letter and the spirit of the Constitution of Kenya 2010 and subsequent legislation

Indicators of this outcome will include:

- County policies in place – to support governments and provide the basis for county legislation
- County legislation on the assigned functions developed and implemented
- Strategy to engage with county assemblies to lobby national assemblies to realize operationalization of the Article 190 developed and implemented
- Sectorial county policies that are consistent with national policy framework are developed and implemented
- Increased capacity of CECs, county attorneys and MCAs for them to understand the interplay between policy and legislation developed and implemented
- County law offices set up
- Capacity in legal drafting in the counties strengthened

## Outputs

- Defined and shared TORs for all committees
- Enhanced commitment to the functions and activities of COG – participation in committees
- Rededication statements by governors to the CoG
- Thematic committees strengthened and visible
- Model legislation to guide county specific legislation development and dissemination

## Outcome 3: CoG strategically positioned as a custodian of devolution

Indicators of this outcome will include:

- Joint statements signed and disseminated
- Joint advisories on engagement in legal regulatory and policy framework at both levels of government development and issuance
- Rapid response team formed, resourced and managed
- Cabinet secretaries actively engaged by the CoG in dialogue for the benefit of devolution
- Position papers, laws and policies to facilitate engagement from a point of knowledge development, dissemination and use for influencing policy makers
- Dialogue with National Government institutions to participate in CoG policy and legislative development process initiation and management, strategy for engagement with National Assembly, parliament (e.g. governors engaging their respective MPs, having joint meetings between governors and MPs, bonding sessions, team building) developed and implemented
- Joint meetings, task forces and other initiatives pursuant to Article 189(3) of the Constitution set up
- System for recalling of policy and legislative processes that have not been inclusive and a system of jump starting stalled processes put in place

## Outputs

- ToRs, deliverables and operating procedures for CoG committees developed and disseminated
- Multi-faceted approach to communication used
- Signing of joint statements facilitated by the Secretariat
- Strategies for lobbying political leaders developed, disseminated and implemented
- Consensus building interventions developed and implemented
- Reviews of strategic plan conducted annually
- Communication strategy developed and implemented
- Platforms for structured engagements with stakeholders developed and managed
- Adequate resources mobilised
- International and local partnerships with like minds developed and managed
- Annual international conference for the Council of Governors to celebrate anniversaries for the Counties conducted
- New media, social media and digital platforms established and maintained
- Quarterly sectoral round table meetings organised and conducted

## Tracking progress

- Integrated sectoral TORs, meeting procedures, deliverables
- Monitor compliance through periodic progress reports
- Attendance registers
- Joint statements signed
- Strategies developed and disseminated
- Corporate symbols used (letter heads, other IEC materials)
- Media monitoring reports
- Google alerts

- Feedback monitoring reports
- Record of participation in meetings by counties reports of the taskforce
- Number of initiatives (meetings) conducted
- Attendants lists
- Reports of interactions

## Outcome 4: Strong Professionally Managed Secretariat

Indicators of the outcome will include:

- All positions filled
- Plans implemented
- Job creation
- Turn over for service delivery is optimized
- Close working relationship between NG and CG
- All relevant legislation on devolution enacted
- Resource center in place
- Unified and unitary development agenda across the 47 counties
- Reduction of poverty indices and further decentralization of resource allocation and service delivery
- Adequate funds mobilised

## Outputs

- Capacity of secretariat enhanced to carry out its functions (workload analysis performed, structure developed and implemented, communication protocol developed and adhered to, communication tools including the identification of a web-based integrated office systems developed and used; offices furnished; office equipment adequate and functioning)
- Service Charter developed, displayed and adhered to
- Staff recruited and inducted

- Incentive scheme developed and implemented
- Sustainable source of funding secured
- Timely financial reporting
- Clear institutional frameworks and structures
- Strategic plan completed and launched
- Operational plan and budget completed
- Performance contracts for all
- Performance management system implemented

### Tracking progress

- Performance reviews reports
- Expenditure returns
- Asset register up to date
- Number of staff hired/ trained/ promoted

## Strategies

The CoG will develop and implement the following strategies for the achievement of those outcomes:

1. Leadership capacity development
2. Resource mobilization strategy
3. Knowledge management strategy/ ICT strategy
4. Communication strategy
5. Stakeholders engagement strategy
6. Institutional development strategy including the development and implementation of the performance management system
7. Mainstreaming national values, human rights, gender, diversity and anti-corruption strategy

## Leadership Capacity Development Strategy

As per the mandate, governors are central to the success of Kenya's devolution process. As such, they will provide transformative and service leadership to the counties and National Government. The following are some of the activities that the CoG will undertake:

- Develop the tool to assess the transformative leadership performance needs (capacity gaps) for governors and their deputies. Once developed the tool will be validated by governors.
- Administer the tool
- Prepare and disseminate the leadership gap analysis report to governors
- Profile capacity building institutions and experts that can provide capacity development in transformative leadership
- Mobilize resources for the implementation of capacity development interventions
- Coordinate and manage the capacity development process
- Cascade the capacity development to the CECM
- Facilitate/ imitate periodic analysis of leadership performance problems and recommendations for training and non-training solutions
- Develop and implement mentoring mechanisms for Governors and senior management.

## Resource Mobilisation Strategy

The CoG will develop and implement a strategy for mobilising additional resources for financing the strategic and operational plans from a variety of sources. These will include; development partners, private sector companies and members. Among the development partners, the CoG will strengthen relationships and negotiate for resources with United Nations Development Programme, UN Women and bilateral funding and technical assistance agencies such as USAID, DFID, GIZ, Finish and Swedish governments, as well as other relevant bodies. The CoG will also mobilise funding for specific activities and events from private sector companies and foundations like Chandaria and others.

## Stakeholder Engagement Strategy

Kenyans' interest and expectations in devolution has been very high resulting in an overwhelming support for it. To sustain this level of interest with other important stakeholders, it is essential that we work with the following strategies:

- Develop and implement communication strategies so that information provided to and received from all important stakeholders is comprehensive, relevant, accurate, appropriate and timely
- Develop and manage data base for partners and potential partners at the county and national/ regional/ international levels
- Provide technical assistance to counties in setting up and managing public participation and mutual accountability structures such as annual joint reviews, progress reports' publishing, regular briefing of important stakeholders, providing avenue for receiving and handling complaints
- Increase the capacity of the Secretariat to engage with stakeholders through recruitment, training and development of appropriate strategies and systems
- Encourage and facilitate quiet diplomacy and lobbying on important issues
- Develop and implement media strategy as part of the communication strategy
- Create a mechanism for ensuring a smooth flow of information coming from stakeholders to counties (and vice versa)
- Establish a call centre for the Council of Governors

## Communication Strategy

As a focal point for devolution, the CoG will develop and implement a strategy that will define CoG's external and internal communication. For that reason, a media strategy will be a vital component of the communication strategy. Some key activities in developing the communication strategy will include:

- Conducting a communication audit of the CoG's communication to identify and analyse key performance gaps and to make use of external technical assistance in the audit. This should include analysing the current public

image of the CoG. It will also be necessary to determine a desired image with various publics and to develop strategies to achieve it.

- Based on the audit results, develop an internal and external communication strategy that will include: information needs for each stakeholder/ unit/ individual; a media and channel of communication, frequency, feedback, responsibility and cost.
- Disseminate the strategy to governors and key stakeholders, validate and complete
- Based on the performance gaps and the communication strategy, develop a communication training package for the Secretariat and governors.
- Develop documentaries based on the Council thematic groups
- Develop policies and communication processes for the thematic committees of the Council
- Ensure comprehensive branding of the CoG; build a positive image and fight negative publicity
- Create mechanism for ensuring that the council's joint policy positions are adopted by and cascades down to all the 47 counties.
- •Standardize and/or professionalize Council of Governors secretariat communication
- Mobilise resources for the implementation.
- Train and follow up.

Implementation of a communication strategy will require that governors lead the process, supported by the Secretariat that will recruit a professional communications officer and be equipped with modern communication channels or mechanisms. Governors will thus be able to articulate and share the strategic vision, enlist support for the implementation of the strategic plan and the devolution and solicit inputs and comment. They should, in addition, be able to inform on implementation progress and issues.

The outcomes of the CoG's communication strategy will include:

- Increased awareness about the devolution
- Increased levels of public trust in county governments
- Effective and efficient service delivery system

- Improved image of the counties
- Additional resources mobilised to counties
- Enabling CoG to be branded as a custodian and defender of devolution and as a professional, accountable and transparent organisation

The communication strategy will assist the CoG to develop and implement the desired image of an independent, accountable and professional body to all its important publics. These publics include the Government of Kenya, the media, civil society, religious organizations, development partners and Kenyans at large. Some of the proposed actions will include:

- CoG's newsletter, annual reports and other reports developed and widely disseminated.
- Communication strategy with media that includes media briefing, consultative forums, guidelines and procedures for operations, a process for press releases, feature articles and information sheets, talk shows, interviews and CoG's website among others.
- Strengthening the communication capacity of staff through training.

In line with improved communication, the Secretariat will make full use of ICT.

### Knowledge Management/ ICT Strategy

It should be emphasised that the CoG is the custodian of the devolution. It therefore has to document and disseminate the processes as well as the lessons learned. The CoG should also coordinate devolution action research and facilitate dissemination of findings and lessons to be applied. It should occasionally conduct its own research activities for specific emerging issues. The final output of the strategy should be to document the devolution process as this will contribute to the understanding of the process in Kenya, in Africa, and internationally in future.

As part of the knowledge management strategy, the CoG will mobilise resources for establishing and managing resource centres in every county, document good practices and lessons learnt, and disseminate the same in appropriate forums.

It will also conduct consultative workshops with important stakeholders including media, encourage exchange and sharing of information and experiences among counties, and establish relationships with academic and research institutions. It will, in addition, incorporate e-learning during this planning period.

The implementation of knowledge management system will also incorporate a comprehensive information management system and an up to date website.

### Mainstreaming National Values, Gender, Diversity, Human Rights and Anti-Corruption

There are many stakeholders that would be key in inculcating certain aspects of devolution such as national values, gender, diversity, human rights and anti-corruption. The role of CoG's Secretariat is that of coordination and facilitation, while the implementation will be carried out by the stakeholders. The Secretariat will however strengthen its capacity for streamlining and ensuring that all its policies, systems and practices reflect national values and human rights and are gender and diversity sensitive. CoG will additionally, adopt its Code of Ethics and ensure strict adherence to it.

The main stakeholders in the development and the implementation of the strategy are:

- Kenya National Commission on Human Rights
- National Gender and Equality Commission
- Revenue Allocation Commission
- CIC
- Public Service Commission and County Boards
- Development partners
- Civil society
- Ethics and Anti-Corruption Commission
- The DPP and the AG
- Kenyans

COG in its own strategic plan must reflect human rights, gender and diversity. Its leadership, governance, programmes, recruitment, office space, treatment of staff and internal policies must also reflect human rights values in order for it to be a model for devolution. The Council's Secretariat will establish and manage strategic partnerships with organizations dealing with issues of human rights, gender and diversity and use their expertise to streamline human rights, gender and diversity issues in the devolution process.

In order to mainstream human rights into its operations, the CoG will in conjunction with relevant organisations:

1. Conduct a baseline survey on the existing human rights knowledge and status within the counties
2. Conduct validation workshop for the baseline survey, sharing the report with all members of the CoG
3. Disseminate the report
4. Use the baseline survey to develop jointly with relevant organisations training programmes for counties to address the gaps.

### Institutional Strengthening Strategy

The CoG will invest in internal strengthening of its members and staff. Most of these efforts will be done in the first year, although training and professional development will continue throughout CoG's existence. The following activities will be conducted:

- Team building workshop for members and staff
  - Determining organisational structure and optimal staffing norms
  - Recruitment, induction and outsourcing
  - Annual retreats to assess the performance and develop the plan
  - Training of staff in functional skills (stakeholders engagement, planning, leadership and management, budgeting, monitoring and evaluation)
  - Development, dissemination and implementation of office manual (SOPs)

- Development, dissemination and implementation of communication strategy
- Introduction of performance management system
- Training in mainstreaming of cross-cutting issues
- Development and dissemination of Service Charter
- Institutionalisation of learning forums for exchange of success stories and lessons learnt in the transition to devolved government process

## Risk Analysis, Implementation Challenges, Strategic Alignment and Assumptions

The plan implementation is based on several assumptions that have to be closely monitored. The most important assumptions include:

- The CoG mandate and functions will remain basically the same
- The CoG has adequate funding to conduct its operations
- There will be strengthened goodwill and cooperation from development partners, civil society, private sector and national government for the devolution
- Kenyans will continue to embrace devolution
- The implementation of the devolution will continue as per law

**Table 3: Risks and risk mitigation measures**

Description of risk	Rating of risk	Mitigation measures
<b>Country and Sectoral</b>		
Inadequate legislative and regulatory framework at the national and county levels	Medium	<ul style="list-style-type: none"> <li>• Monitor; strengthen the capacity of the counties to draft appropriate legislation</li> <li>• Advocate with Senate and National Assembly for appropriate legislation to be passed</li> <li>• Ensure common position of the governors on legislative issues.</li> </ul>
Inadequate capacity to identify strategic issues in each county and develop common positions; inadequate capacity to think strategically rather than pleasing electorate	Medium	<ul style="list-style-type: none"> <li>• Monitor the situation</li> <li>• Facilitate reflection and consensus building through reviews, strategic meetings and workshops</li> <li>• Put in place effective communication mechanisms</li> </ul>

**Table 3: Risks and risk mitigation measures Con't...**

Description of risk	Rating of risk	Mitigation measures
Inadequate performance of the national government and other public institutions affecting the performance of the county governments (e.g. security)	High	<ul style="list-style-type: none"> <li>• Monitor the situation</li> <li>• Ensure that inadequate performance is exposed and addressed immediately</li> </ul>
Overemphasis on brick and mortar reforms without adequate attention to soft and far reaching system reforms; governors' priorities may reflect this emphasis	Medium	<ul style="list-style-type: none"> <li>• Develop a plan that incorporates both hardware and software issues</li> <li>• Improve on what exist already</li> <li>• Focus on equitable development and community empowerment</li> </ul>
Corruption or perceived corruption	Medium	<ul style="list-style-type: none"> <li>• Take lead in implementing government anti-corruption strategy.</li> <li>• Develop and implement Code of Ethics for each county.</li> <li>• Develop and implement strategy for dealing with corruption cases</li> </ul>
<b>Operational</b>		
Inadequate good practice in human resource management systems and practices	High	<ul style="list-style-type: none"> <li>• Invest in capacity development</li> </ul>
Weak implementation capacity in counties	High	<ul style="list-style-type: none"> <li>• Introduction of result based management including result based performance evaluation system which should strengthen the accountability culture at institutional and individual levels.</li> <li>• Introduce a system for accountability including time</li> </ul>
Inadequate stakeholders engagement	High	<ul style="list-style-type: none"> <li>• The strategic plan contains strategy for strengthened links between the CoG and other stakeholders</li> </ul>

**Table 3: Risks and risk mitigation measures Con't...**

Description of risk	Rating of risk	Mitigation measures
Organizational culture with weak communication, inadequate team work, low motivation	High	<ul style="list-style-type: none"> <li>Invest in capacity development</li> <li>Conduct regular assessment of organizational culture and plan and implement appropriate interventions</li> <li>Sharing of experience by expert in the field</li> </ul>
<b>Financial Management Risks</b>		
Counties and the CoG may fail to account for funds advanced and could delay in submitting relevant reports	Medium	<ul style="list-style-type: none"> <li>Strengthen the financial capacity</li> <li>Strictly adhere to reporting procedures</li> <li>Provide continuous TA</li> </ul>
The Strategic Plan has a multiplicity of actors and this makes it complex given the fact that it is implemented by independent institutions and may become difficult to monitor and supervise.	High	<ul style="list-style-type: none"> <li>Hold regular review workshops with important actors; discuss implementation challenges and their role in the implementation of the strategic plan</li> <li>Stakeholder engagement</li> </ul>
Procurement delays	Medium	<ul style="list-style-type: none"> <li>Ensure proactive procurement and regular follow up.</li> </ul>
<b>Overall Risk:</b>	<b>Medium</b>	

The CoG will monitor these risks on a continuous basis. It will also put in place interventions to prevent risks or minimize its adverse effects if they happen.

## Critical Success Factors

For successful implementation of the plan, the CoG should focus on several critical challenges:

1. Strategic thinking and leadership - the CoG should focus on strategic thinking and position itself as a guardian and champion of devolution. Senior managers of the Secretariat MUST facilitate this process. The Secretariat should therefore focus on facilitating effective dialogue among

governors, identify and analyse common strategic issues and identify the governors' role in the protection and promotion of devolution, and exercise quiet diplomacy and effective communication with stakeholders including the public.

2. Introduce Performance Management with a focus on results- Within this planning period the CoG will facilitate development and implementation of performance standards for the Secretariat, governors and counties.
3. Establishing and managing strategic partnerships- The CoG should provide strategic leadership and effective coordination with other institutions in the devolution value chain.
4. Improving public image: Delivering quality service is dependent upon a positive public perception of the CoG. If institutions and Kenyans have trust and confidence in the CoG, they will continue to embrace devolution. The CoG will conduct occasional independent surveys to assess the performance of the CoG as perceived by the public and other partners. The CoG will also improve external communication with the public and other stakeholders.

## Strategic Alignment

The implementation of the plan will require internal alignment in terms of CoG values, result-based management, leadership and management styles, policies, systems and practices and people. The table below summarizes key elements of this alignment:

**Table 4: Strategic Alignment**

Element	Strategic Challenge
The Constitution of Kenya 2010, Vision 2030, County Government Act 2012, other GoK legislation and policies	The CoG is part of Kenyan society and its decisions will have a profound effect on our national objectives and priorities. A Devolved system of government is central to our national philosophy as elaborated in the COK 2010. The CoG therefore has to become a model institution aligned to the national philosophy and objectives.

**Table 4: Strategic Alignment Con't...**

Element	Strategic Challenge
CoG Values	CoG values are those outlined in the Constitution of Kenya 2010. The Secretariat should facilitate forums where those values are elaborated and reflected upon. It should also mobilise funds and collaborate with stakeholders to develop and disseminate appropriate IEC materials to highlight those values.
Organizational Structure	Organisational structure of the Secretariat should be flat, lean and flexible. It should also encourage multi-tasking.
Results-Based Management	The Secretariat will develop and implement result based performance management and provide technical assistance to the counties to do the same
Policies, Systems and Practices	The CoG will develop, disseminate and apply a simple, yet comprehensive SOP Manual
Management and Leadership Styles	Management and leadership style is dynamic and transformational. Both the Chair and CEO have the capacity to mobilise governors and their teams for the benefit of devolution.
People	The CoG will recruit additional staff to provide adequate assistance to governors. It will also outsource in order to get the best services.
Organizational culture	The organizational culture is conducive to the plan implementation. Emphasis is placed on teamwork and open communication. Challenge for the future!

## Plan Monitoring and Evaluation

The CoG will draw a line between the process of monitoring and evaluation. While monitoring is a continuous process, evaluation will be performed on an annual basis. The CoG will also differentiate between process monitoring and change monitoring. It will therefore determine two sets of indicators; process and change indicators and will separate programme monitoring from the monitoring of institutional development within the CoG.

Purpose of evaluation:

- Provide reliable information on effectiveness: the degree to which objectives have been attained, will be determined by comparing the results actually obtained with the results targeted
- Relevance: the relationship between the objectives set and the needs to be met,
- Efficiency: the relationship between the quantity and quality of capacity developmental goods and services provided, and the means used to obtain them. Others are types of resources, organization and operation
- The impact: the lessons to be learnt for the future which, in turn, should be fed into future decision-making

An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learnt into the decision– making process.

As with the results framework, the CoG will apply the principle of reverse engineering in M&E.

It is about engineering from the end and working backwards from the change objective to the activities. Once the change objective (the ‘what’) is identified, the ‘how’ (approach/methodology/activities) of achieving it is then put in place. This is critical because many programmes begin with the activities and expectations that they will cumulatively yield desired results.

The overall objective of the M&E system is to document the devolved government process and use the information for improvement and learning.

The CoG management will monitor three aspects of the operations: sufficiency, relevance and bankability.

1. Sufficiency – are the proposed activities sufficient to attain the expected results? What else has to be done?
2. Relevance - when you engineer from the activities to the goal, some activities tend to be irrelevant. In this system, irrelevant activities are teased out and abandoned.
3. Bankability - how bankable are the activities in terms of providing 'value for money' and 'returns on investment'. This test also addresses the question of efficiency, and in particular, whether resources are being applied to the most deserving activities at the best 'price'.

The CoG will use both quantitative and qualitative methods in measuring and reporting the results. The CoG will adopt a results-based management approach which will focus on results and not activities. It lays emphasize on what has been achieved over what was done.

The CoG will develop and disseminate an M&E framework during this planning period. The process of completing the M&E framework will include:

- Development of outcomes and outputs indicators and means of verification; both quantitative and qualitative indicators will be used in the assessment.
- Completion of the framework
- Dissemination of the framework to all members, staff and partners
- The implementation of the M&E framework will include:
- Annual participatory workshop for members and staff to review the performance
- Development and dissemination of the monthly, quarterly and annual reports
- Annual internal reviews of performance using 360 degrees principle (self evaluation, evaluation by peers, users and beneficiaries, staff, supervisors)
- Developing the capacity of members and staff for M&E

•Involving important stakeholders in the M&E activities

For every programme, the CoG will integrate an M&E plan at project/program design stage where possible. It will also systematically build a baseline. The evaluation should not be too complex but limited to a number of relevant evaluation questions linked to decisions or processes. The CoG will also use qualitative and/or quantitative methods that generate the most credible evidence given available resources. Effective participation of local partners and stakeholders in design and implementation of the evaluation is imperative. It is important that a transparent and timely sharing of findings is effected.

The CoG will develop detailed M&E guidelines and framework with the external technical assistance within the first year of operations and determine baseline indicators, where they exist. If they are not available, CoG will collect adequate baseline information for M&E in the first year.

There will be an independent mid-term and end of plan period evaluation which will be conducted annually. This evaluation will ask two distinct questions: Did we do things right, and did we do the right things in the right way? Were we as a consequence effective and efficient?



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