

Evaluation of the Austrian Development Cooperation in Kenya 1996 – 2006

Final Report

**This is a report on an independent evaluation.
It reflects the views of the evaluation team, which are
not necessarily identical with those of the
Austrian Development Agency and the
Austrian Ministry of Foreign Affairs**

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ANNEXES

ABBREVIATION

ADA	Austrian Development Agency
ADC	Austrian Development Cooperation
CSO	Civil Society Organization
Danida	Danish International Development Agency
DDC	Department for Development Cooperation
DeGEval	Deutsche Evaluationsgesellschaft
EAC	East Africa Community
EC	European Commission
E&D	Economy and Development
EDF	European Development Fund
ERS	Economic Recovery Strategy
EU	European Union
GG	Good Governance
GJLOS	Governance, Justice, Law and Order Sector
GoK	Government of Kenya
HDI	Human Development Index
HR	Human Rights
IFAD	International Fund for Agricultural Development
IGAD	Inter-Governmental Authority on Development
ICEP	Institut zur Kooperation bei Entwicklungsprojekten
IPGL	International Post-Graduate Training Programmes in Limnology
KANU	Kenyan African National Union
KJAS	Kenyan Joint Assistance Strategy
KWAHO	Kenyan Water for Health Organisation
MDG	Millennium Development Goals
MFA	Ministry of Foreign Affairs
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MTF	Medium Term Expenditures Framework
MWI	Ministry for Water and Irrigation
NARC	National Rainbow Coalition
NCEP	National Civic Education Programme
NGO	Non-governmental Organization
ODA	Official Development Assistance
OECD/DAC	Organisation for Economic Co-Operation and Development / Development Cooperation Directorate
PER	Public Expenditure Review
SEval	Schweizerische Evaluationsgesellschaft
Sida	Swedish International Development Agency
SWAp	Sector Wide Approach
TOR	Terms of Reference
TA	Technical Assistance
UNIDO	United Nations Industrial Development Organization
WB	World bank
W&S	Water and Sanitation

EXECUTIVE SUMMARY

Background and Objectives

As part of its efforts to sharpen the geographical and technical focus of its programmes, the Austrian Development Cooperation decided to evaluate its development cooperation with Kenya between 1996 and 2006. The purpose was to draw conclusions and recommendations for the programming of the future Austrian Cooperation with East Africa on the basis of the former and current engagement in Kenya. The specific objectives of the evaluation are

- to gain a better understanding of the various instruments successfully applied in a cooperation country which has no ADA Coordination Office
- to draw conclusions for improving the implementation quality of the programming of the Austrian cooperation within the context.

Methodology

The evaluation started with an analysis of relevant documentation and interviews in Vienna, followed by a fieldtrip to Kenya in July 2007, which ended with a round table workshop with national and international partners in Nairobi. Back in Europe, the evaluators presented some of the findings to key persons from the Ministry of Foreign Affairs (MFA) and the Austrian Development Agency (ADA) to discuss and clarify jointly various elements of programming (2nd round table workshop). On this basis the evaluators prepared a draft report which was discussed with the Ministry of Foreign Affairs, the Austrian Development Agency and partners in Vienna end of October, 2007. The final report has been elaborated on the basis of the feedback given in this last workshop.

The evaluation team consisted of two international and two Kenyan evaluators.

Observations

The evolution of the portfolio of the Austrian Development Cooperation (ADC) in Kenya from 1996 onwards derives considerably from interventions of Austrian non-governmental stakeholders (i.e. NGOs or private companies) which were mandated and funded by the MFA. Unlike some other European countries, Austria has no dedicated government development agency with a mandate to implement ADC interventions itself. The outsourcing of the implementation of ADC interventions to partner agencies or mandated companies therefore has a long tradition. It is one of the reasons for the evident diversity and strong project orientation of ADC in Kenya.

In spite of Austria being a smaller donor in Kenya, the portfolio covered a wide area ranging from rural development projects, educational activities, economic development (income generating activities), to several interventions in the water and sanitation sector including a huge and costly infrastructure project. ADC allocated most of its funds (nearly 70% of the overall budget) to the Water and Sanitation sector. Considering an annual budget of about one million EURO, this prioritization in the allocation of funds corresponds to Austria's 'preferred' focus on water and sanitation but contrasts with the typical small donor pattern which gives priority to the social sector in case of a relatively modest overall budget. The wide sectoral scope of interventions was only possible due to the complete outsourcing of project implementation to NGOs respectively private companies.

The following interventions were selected for the closer assessment in Kenya:

- Water & Sanitation:
KWAHO, Rural Water Supply and Environmental Sanitation in Lower Tana and Maseno
HORIZONT 3000, Migori Town and Sanitation Programme
- Human Rights & Good Governance
ADC, National Civic Education Programme (NCEP)
RESPECT, Measures against the Sexual Exploitation of Children in Tourism
- Economy & Development
ICEP, Skill Training and Micro Credits for Vulnerable Groups (women, young adults)
UNIDO, Investment & Technology Promotion
- Higher Education AUSTRIAN ACADEMY OF SCIENCES, International Post-Graduate Programme in Limnology (IPGL)

The assessment of these interventions funded by ADC showed good results on the project level: All interventions funded by ADC are relevant for the direct beneficiaries as they respond to poverty-related needs. This is mainly due to the approach of the involved NGOs which are close to the target group and design the intervention in a process-orientated manner. All interventions are in line with national, sectoral and ADC strategies as formulated in the corresponding policy documents. The project activities as such are effective and efficient. However, there are practically no programmatic links between the different interventions within a sector as well as between the sectors.

The assessment of ADC-funded interventions on sector level reveals a slightly different picture: In the water and sanitation sector the actors have adapted only partially to the new demands in the country (national decentralization policy). The local NGO KWAHO has problems to change the 'old' working approach – being a recipient of external (Austrian) support which arrived reliably during all these years. In contrast, the project of Horizont3000 demonstrates how an Austrian NGO can mobilize experts from the South to support local processes while building own capacities. But both projects could not scale up their valuable experiences within the sector due to the lack of local capacity.

The ADC experience within the Human Rights and Good Governance Sector illustrates the factors of success for being engaged in a donor basket – one of the tools of the new aid modalities. Although being a smaller donor, ADC succeeded in building up a very good and effective reputation. Physical presence of ADC representatives at coordination meetings is necessary as basket funded programmes have to find a design and shape on the basis of a consensus between the various participating donor agencies. This process takes time and a continuous active participation of the involved parties, with a minimum of conceptual ideas, is supportive to it.

The interventions within the Economy and Development sector can serve as an example of the special effects at micro or macro level: whereas the micro-level projects from ICEP do have an immediate positive effect on poverty reduction but a very limited scope in terms of coverage and of contribution to the economic growth, the Trade and Investment Promotion addresses the issue from the other end while assuming that economic growth is a prerequisite in developing countries for alleviating poverty on a national scale. The latter has potential for delivering bigger scale improvements as a result, but their effect on poverty reduction is indirect and depends on a number of factors which can only be partly controlled. The interventions in this sector have a separate approach and scope and therefore a potential for synergy is not given.

The educational activities with Egerton University and the Austrian counterpart – the Austrian Academy for Sciences (Mondsee) – have built a long-standing partnership which is clearly reflected in the efficient and effective working relation which leads to good results.

This intervention is more linked to the knowledge transfer between Europe and East Africa (and within the region) than to the national processes within the country. This stands in contrast with the explicitly articulated interest of the Kenyan partners who put more emphasis on capacity building measures in Kenya than in the region. Whereas this intervention with the Egerton University has good potential for expanding into regional activities (knowledge transfer, water boundary activities), ADC still maintains up to now the bilateral project funding mechanism.

The assessment of the various interventions on the ground demonstrates that bilateral project support is the implementation approach almost used exclusively in the Kenya programme. Discussions and exchange of information take place in Austria between headquarters and the respective project partners rather than in the country itself. The fact that no Austrian coordination office has been established in Nairobi raises questions about the most appropriate way of quality control for ADC-funded interventions. The coordination office in Uganda has only limited capacities and could only deal with certain points related to the water and sanitation sector. For the donor basket funded programme NCEP, the Austrian Embassy took charge of follow-up. Although the involvement of the Austrian Embassy was most useful and beneficial for the Austrian reputation in Nairobi, there is no formal agreement for this mandate. These arrangements are not sufficient to ensure the type of inputs that are required to achieve a systematic approach to donor coordination in the context of new aid modalities.

Concerning the programming of Austrian interventions the evaluators found that the division of tasks between MFA and ADA with regard to the strategic and operational issues is not sufficiently clear and coordinated. Therefore additional efforts and internal discussions between these two actors in the headquarters are required if a coherent Austrian Development Cooperation is envisaged. Further the translation of strategic guidelines into operational programmes is not well established and suffers from a lack of direct interaction. The programming would benefit a lot if the actors would establish a working relation on the basis of a 'management for results' perspective rather than the actual management by budget-lines.

Conclusions

The Austrian Development Cooperation in Kenya benefited a lot from long-standing relationships with well-known and established partners in Austria and in Kenya. The variety of implementation arrangements and of development partners provides diversity in terms of approaches and levels of interventions, but it involves the risk of insufficient coordination in the design and implementation of the interventions which results in a weak programmatic coherence. Further it is an obstacle for the systematic capitalization of experiences and for building up related know how in the institutions of ADC. It increases transaction costs for project management and limits the possibilities for scaling up of ADC interventions.

The visibility of ADC in the field is not determined by the size of its budget, but by ADCs presence and inputs into dialogue. In the context of new aid modalities the particular challenge for smaller donors is the investment of time and capacity needed to represent their interests in joint programmes. The experiences made in Kenya show that small donors can make a difference by participating actively. For the future programming, which will focus on regional approaches, this is an important asset / experience for a potential involvement with regional organizations and initiatives.

The steering of ADC interventions works well within specific lines of action, but the diversity of partners and funding arrangements makes it difficult to monitor and coordinate the various interventions. The fact that the Ministry of Foreign Affairs and the Austrian

Development Agency both assume programmatic tasks and responsibilities (multilateral support, bilateral technical assistance) and the strong role of Austrian NGOs, limits the scope for coherent steering of the programme by ADA. Improved programming and steering requires a more systematic and direct dialogue at headquarters (particularly between MFA and ADA) and likewise with the local structures of ADC.

Recommendations

The recommendations are based on the assumption that any future activity of ADC in Kenya ultimately will be part of a coherent regional programme.

For future programming we recommend that

- R1 MFA and ADA must first clarify what they understand by a 'regional programme' respectively which type of regional approach is envisaged. We recommend distinguishing between the following types of regional approach:

Approach 1: Support of regional initiatives and/or regional institutions which address needs which are of concern for the whole region and which can be fulfilled only through collaboration among stakeholders across the whole region.

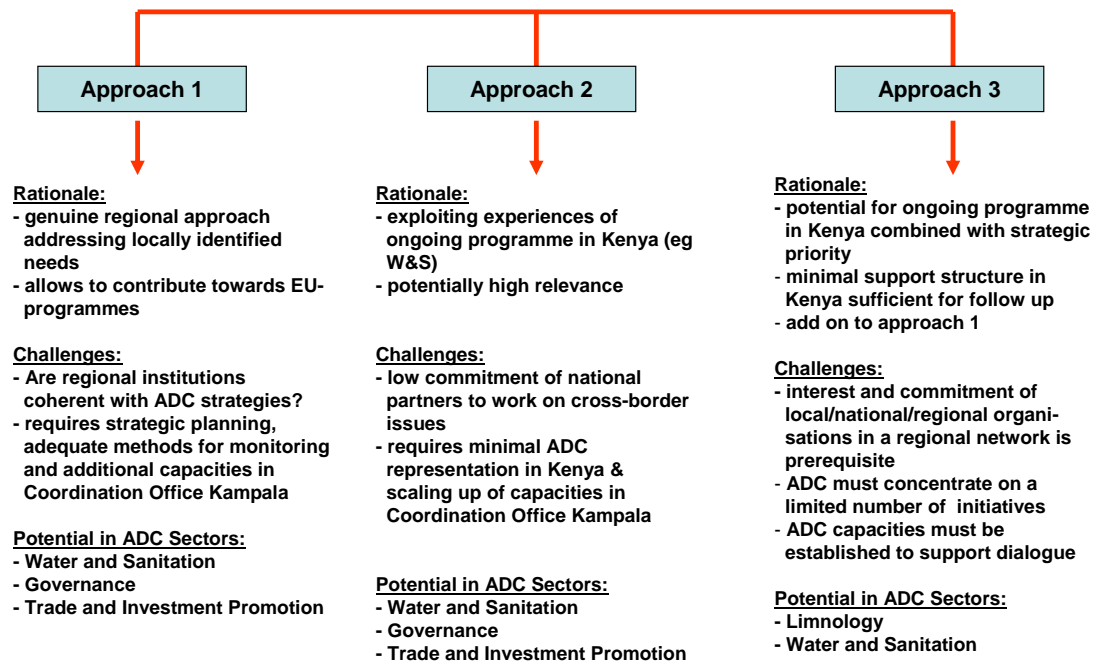
Approach 2: Support to programmes which address cross-border issues, i.e. mutual needs of neighbouring countries which require joint action among these countries. The issue of water resource management serves as an example.

Approach 3: Support to a systematic exchange of knowledge and experiences between programmes/project stakeholders in neighbouring countries. This support aims at establishing regional knowledge networks such as South-South cooperation in the field of Research & Development.

- R2 MFA and ADA must make a specific and well founded choice of the mix of not more than two regional approaches. This decision should be based on the strategic orientation of ADC (as defined in the strategic guidelines), Further analysis of experiences and potentials in specific sectors and further analysis of cooperation partners appropriate for contributing towards ADC objectives and capacities is needed.
- R3 MFA and ADA should give priority to the support of regional initiatives / institutions (*Approach 1*) with the option to add elements of *Approach 3* which involves the exchange of know-how, experiences among similar programmes / projects.

To support this recommendation and to provide a rough overview about the challenges and potentials for a regional programme the three approaches need a thorough analysis as illustrated in the chart below:

Assessment of challenges and potentials



R4 MFA develops the regional programme East Africa within a well structured planning process with the following steps:

- (1) Analysis of all current 'de facto'-country programmes of ADC in East Africa
- (2) Screening and assessment of operational regional initiatives and/or organizations with special focus to ADC sector focus
- (3) Preparation of synthesis of step 1 and 2
- (4) Tentative outline for a regional programme
- (5) Round table workshop with all key stakeholders in Austria and partner organisations
- (6) Drafting the regional programme by a task force of MFA and ADA
- (7) Consultation of key stakeholders
- (8) Finalization and approval.

R5 MFA and ADA must strengthen their local structures within the region. This can be done with two options: 1. either running a strong regional office (i.e. Kampala) to guide and follow up the interventions in all countries involved (partner countries) or having a major regional office (i.e. Kampala) and sub-offices where appropriate.

1 INTRODUCTION

1.1 Purpose and Objective of Evaluation

The purpose of this evaluation is *to elaborate conclusions and recommendations* – based on ADCs experience in Kenya of the past 10 years – *for the further programming* of the Austrian Cooperation in East Africa. According to the Terms of Reference (ToR), the evaluation has the following main objectives:

- to create *a better understanding* for the various instruments successfully applied in a cooperation country which has no ADA Coordination Office
- to draw conclusions for *improving the quality and implementation* of the programming of the Austrian cooperation within the context
- to identify *a basis for future programming* of ADCs cooperation programme and strategies with Kenya which is not a priority country of ADC.

Focus of Evaluation

In line with the ToR the focus has been on the evaluation of the overall approach of the cooperation with Kenya rather than on the evaluation of individual projects. Accordingly, the following aspects of ADC intervention were assessed:

- the *relevance of the ADC portfolio* within the national and international context
- the *effectiveness of programming, steering and implementation* with a focus on the funding instruments applied by the Austrian Development Cooperation (ADC)
- the *system for monitoring and documentation of results* and its quality
- the *participation of national stakeholders* in the planning and implementation (roles and responsibilities).

ADA has selected the following sectors and projects for closer assessment as a means to better understand the overall ADC engagement in Kenya:

- Water & Sanitation:
 - KWAHO, Rural Water Supply and Environmental Sanitation in Lower Tana and Maseno
 - HORIZONT 3000, Migori Town and Sanitation Programme
- Human Rights & Good Governance
 - ADC, National Civic Education Programme (NCEP)
 - RESPECT, Measures against the Sexual Exploitation of Children in Tourism
- Economy & Development
 - ICEP, Skill Training and Micro Credits for Vulnerable Groups (women, young adults)
 - UNIDO, Investment & Technology Promotion
- Higher Education
 - AUSTRIAN ACADEMY OF SCIENCES, International Post-Graduate Programme in Limnology (IPGL)

1.2 Composition of Expert Group and Course of Evaluation

ADA has mandated KEK-CDC Consultants Ltd. with conducting the evaluation. The evaluation team consisted of two international and two Kenyan consultants:

- Claudia CONRAD, Master in Politics Science and certified Evaluator within the International Cooperation, Team Leader, Coordinator and Editor of the overall report
- Markus ENGLER, M.Sc. Civil Engineering and Postgraduate in Development Issues, Co-Evaluator with special focus on Water & Sanitation and Economy and & Development
- Stanley M. MBAGATHI, Economist with special focus on Water & Sanitation; Consultant and independent Advisor in the new Kenyan Water Institutions with special focus on Human Resource issues
- Moses SIKA, Water and Irrigation Engineer, former Head of Irrigation and Drainage Section in the Kenyan Ministry of Water (1978 – 85); now consultant on water issues.

As far as possible, the evaluation tasks were jointly elaborated in the team. For efficiency purposes, the evaluators split up during the fieldtrip in Kenya to reach remote places (Lake Victoria South Region with Kombewa and Migori and the coastal region with Mombassa and Lower Tana) and to visit the ADA Coordination Office in Kampala (Uganda).

Course of evaluation

Due to the fact that there was no systematic programme documentation available, the evaluation team conducted a 'rough stock-taking' of intentions and actual activities as the first phase of conducting the evaluation. This has been done on the basis of the financial payments from 1996 to 2006 and gave a first overview about the major activity lines.

The assessment of ADC supported interventions in the field consisted of information gathering about the main results at outcome level and an assessment on the basis of the criteria determined in the ToR (relevance, efficiency, effectiveness, and coherence with other areas of intervention).

Three workshops were held during the evaluation to establish a feed-back cycle between the stakeholders and the evaluation team: On July 31st 2007, at the end of the field trip, a feedback workshop was held in Nairobi. All partners of ADC as well as ADC representatives from Nairobi and Kampala were invited to participate in it and to comment on preliminary findings and conclusions of the field trip. A second workshop on September 20th 2007, in Vienna involved key persons from BMeiA and ADA to discuss internal issues of programming ADC activities that evolved during the evaluation. The last workshop (20th November, 2007) was dedicated to present the draft report to all organization involved. On the basis of the feedback, the finalization of the report has been done.

The evaluation team worked in accordance with principles and criteria for evaluation of OECD/DAC, SEval and DeGEval.

1.3 Methodology of Evaluation

According to the ToR ADC describes the current Austrian development portfolio in Kenya as a 'de facto country programme'. This term indicates that the various project interventions contribute specifically towards an overall programme objective (poverty alleviation) as outlined in the 'Three-Year Programme of ADC 2005 – 2007'. Therefore, the assessment at project level focused rather on the outcome level than the output level.

Evaluation methods for data collection included the analysis of relevant programme and project documentation and secondary literature, interviews with key-persons (semi-structured with guiding notes), semi-structured focus group interviews, telephone interviews, technical assessments, Transects¹, and direct observation.

Beside the project documentation and correspondence between MFA, ADA, and other stakeholders the evaluators used the following policy documents for the evaluation of the ADC programme in Kenya:

- Three-Year Programmes from 1996 until 2006²
- NGO Guideline³
- Sector Guideline for Economy and Development⁴
- Sector Guideline for Water and Sanitation⁵
- Water Sector Guidelines for the Engagement of the Austrian Development Cooperation in Kenya, 2004 – 2006.

Methodological considerations

The ToR comprise two methodological challenges which became clear only when the evaluators tried to consolidate the findings into tangible conclusions and recommendations. One of the key questions in the ToR is: *How can the Austrian contribution in Kenya be integrated best in the future regional programme for East Africa?* Formulated like this the question may suggest that the contributions in Kenya constitute elements for shaping the future regional programme. But without knowing what kind of regional programme ADC has in mind, the evaluators were not in the position to make clear statements. Therefore, the evaluators looked at the question from a slightly different angle: *How can Austrian experiences in Kenya be capitalized for a regional approach in East Africa?* This shift of emphasis led to more clarity as it requires different steps of analysis: first, the decision is on the type of regional programme ADC favours. This is followed by defining a regional programme on the basis of current potentials and needs which exist in the whole region (thereby other country programmes of ADC may be more relevant than Kenya). After having done this analysis an **assessment of ADC' contribution in Kenya** can be conducted while extracting appropriate elements which can be integrated into the regional programme.

¹ 'Transects' is a M&E tool which has been applied for project assessment in the W&S sector. The evaluators have undertaken a structured walk through the project area to observe particular indicators (such as the use of innovations in different zones (eg KWAHO). Compare for further methodological understanding also IFAD, A guide for project M&E, www.ifad.org/evaluation/guide/index.htm

² Drei-Jahresprogramme in Fortschreibungen 1996-98/2001-2003/2004-2006/2005 – 2007/2006-2008

³ NRO Kooperation – Leitlinie der Österreichischen Entwicklungszusammenarbeit, Mai 2007

⁴ Leitlinien – Wirtschaft und Entwicklung, undatiert

⁵ Sektorpolitik Wasserversorgung und Siedlungshygiene, 2001

Nevertheless, this approach left the problem how to elaborate recommendations that are linked to a regional programme which does not yet have a clear shape and secondly, without having an overview of the other ADC country programmes' relevance for the regional programme. KEK-CDC Consultants solved this problem by distinguishing three basic approaches for regional programmes and then providing an assessment of how potential elements of the Kenya programme would fit into the regional programme. The assessment shows **why** an element may be included (relevance in regional context and with regard to ADC's strategy) and **how** it should be included (programmatic and operational requirements).

The second challenge was the fact that describing the Kenya programme as a 'de facto' programme (for the sake of this evaluation) led the evaluators to apply the criteria of coherence. From the perspective of aid effectiveness, coherence is an important criterion. On the other hand, in the discussions most Austrian stakeholders insisted that coherence was never an explicit criterion for programming in Kenya, not least because of the ambiguous position of the Kenya programme in ADC's portfolio.

The evaluators solve the problem by clearly distinguishing between 'looking back' (i.e. the assessment of contributions, compare chapter 3) and 'looking forward' (i.e. relevance of contributions for future regional programme, compare conclusions and recommendations) when dealing with the aspect of coherence.

2 Country – Related Framework Conditions

2.1 General Framework Conditions

At the turn of the 21st century Kenya was perceived as a strong but autocratic state. It was a functioning but not deeply rooted democracy. In December 2002, a new government under the National Rainbow Coalition (NARC) has been elected, bringing quite a number of the former leadership of Kenyan Civil Society Organisations into power while ruling the country until today.

From 1996 to 2006 Kenya's political development shows slow improvements but not to the extent expected by the international community. Governance indicators of World Bank⁶ reflect that Kenya is far lagging behind in terms of good governance. Corruption still is one of the major impediments for Kenya's development and the efforts of the government to control and fight corruption are still considered as not satisfactory by the international community.

Since the beginning of the 1990s, poverty is rising in Kenya⁷. Estimates suggest that the proportion of the population living in poverty increased to over 56 percent in 2003 compared to about 48.8 percent in the year 1990. According to the Human

Income inequality is high: 1998-2002, Gini index was 43. The poorest 20 percent of the population received only 6 percent of national income, while the richest 20 percent took 49 percent.
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⁶ cp. Annex xy and http://info.worldbank.org/governance/wgi2007/sc_chart.asp

⁷ See: http://hdr.undp.org/docs/reports/national/KEN_Kenya/KENYA_2006_en.pdf.

Development Index (HDI) the situation has slightly improved in the last few years but Kenya is still among the lowest ranking countries (No. 152 out of 177).⁸

Widespread degradation of the environment and overexploitation of natural resources remain serious problems. One of the major environmental issues is water resource management.

Kenya has always been a country of regional importance. The new government under NARC is undertaking special efforts to strengthen this role and position in East Africa. Besides its pivotal role in various regional peace processes⁹, Kenya plays a leadership role within the Eastern and Southern African region in the Economic Partnership Agreement negotiations with the European Union and is a dynamic member of the G90 group within the Doha Development Round of WTO.

Chart 1: Overview of key indicators for development

Criteria	Assessment Kenya 1996 – 2006
Political Framework and Governance	rather stable, but weak institutions and wide spread corruption, especially before 2002; slow improvements with the new government NARC but not within the expected extent
Economic Framework condition	GDP growth stagnated for years, now slowly economic recovery (real GDP growth from 2001-1.9% to 2006-6.0%) due to improved macroeconomic management and structural reforms.
Regional Importance	traditional hub in East Africa; biggest host of numerous international agencies and multilateral institutions, takes regular part in regional initiatives
Poverty Situation (Head count)	56% (2003) – 48.8% (1990)
HDI Rang (2004)	Rang 152 nd (0.491) out of 177 countries
Ecological Framework condition	very fragile, droughts, flooding high population growth

(Source: own compilation with data from World Bank, PRSP, HDR 2006)

2.2 Development Cooperation Strategies

National Development Strategies and MDGs

Starting in 2000, an interim Poverty Reduction Strategy Paper was elaborated in broad based consultation process. In 2002 the change in government led to a complete revision of this policy paper. The new government under the National Rainbow Coalition (NARC) immediately embarked on the process of preparing an Economic Recovery Strategy (ERS) focusing on reviving the economy and creating employment. The ERS presents a roadmap for an economic recovery strategy. Initially, it was criticized by donors for weak treatment of poverty, an aspect which was improved in a second draft. The donor community acknowledges that the ERS identifies key priority areas which enable the government to make commitments for an increased spending on social sectors.

⁸ <http://hdr.undp.org/hdr2006/statistics/documents/hdi2004.pdf>.

⁹ Kenya had an IGAD mandate to mediate in the South Sudan and the Somalia conflicts which led to successful conclusion with the signing of the Naivasha protocols for Sudan (January 2005) and the relocation of the Somali Transitional Federal Institutions to Somalia from Nairobi (2005). Besides this engagement, Kenya hosts refugees from the Horn of Africa and the Great Lakes and constitutes a base from which many of the humanitarian agencies operate. Last but not least Kenya has actively supported the peace initiatives for the Democratic Republic of Congo and Burundi.

The ERS has been translated into a Medium Term Expenditures Framework (MTEF) and a Public Expenditure Review (PER) mechanism, which all provide a basis for donors to align their cooperation programmes to national priorities.

The ERS, which also feeds into the Vision 2030¹⁰ which contains a results-based framework that describes how the Government wants to reach specific targets, including the Millennium Development Goals. Key pillars of the ERS are sustainable growth, strengthening governance institutions, improving physical infrastructure and investing in human development.

The GoK has strengthened its efforts in implementing the national strategy and first results are visible:

- *Democratization*: the relatively peaceful change of government (2002), the referendum in 2005 on a draft constitution
- *Anti-corruption measures*: governmental financial management act, the public procurement and disposal act, the public audit office act, and the privatization act; development of the Governance, Justice, Law and Order Sector (GJLOS) reform programme
- *Free media*: censure – free reporting
- *Improved public administration*: adaptation of the results-based management in public sector
- *Transparency in budget process*: issuing of budget strategy papers and M&E system.

Likewise the implementation of the Investment Programme for the ERS is producing tangible results. Kenya is on track to achieve some of the Millennium Development Goals, but still requires support while increasing its own efforts, in order to achieve all. The trends indicate that Kenya is likely to achieve MDG 2 (achieve universal primary education) and MDG 6 (combat HIV/Aids), while it is on track to get closer to gender equality (MDG 3) and to achieve some targets of MDG 7 (ensure environmental sustainability). On the other hand the management of natural resources¹¹ has de facto worsened since 1990 due to the population growth, missing policies, and inadequate management practices. Further, Kenya is not likely to achieve MDG 1 (eradication of extreme poverty and hunger), MDG 4 (reduce child mortality), and MDG 5 (improve maternal health)¹²

ODA / Donor Contributions

The international donor community¹³ in Kenya is supportive of the implementation of ERS, but emphasized the necessity of a sound M&E system to create a basis for validation of the development. Seventeen donors¹⁴ support Kenya's efforts of implementing the ERS with a Kenyan Joint Assistance Strategy (KJAS) elaborated jointly with the GoK. The KJAS presents a shared development vision and intention between the GoK and KJAS partners.

¹⁰ elaborated 2005-2006 by the GoK

¹¹ eg forests, water, soil coastal resources, and wildlife.

¹² cp Annex 3 : Kenya's status with respect to the MDG

¹³ Consultive Group Meeting, Joint statement on ERS, 2003

¹⁴ Canada, Denmark, the European Commission, Finland, France, Germany, Italy, Japan, the Netherlands, Norway, Spain, Sweden, the United Kingdom, the United States, The African Development Bank, the United Nations, and the World Bank Group.

Although there is a good number of International Donor agencies present in Kenya, ODA contributes only 5% to Kenya's GDP. In contrast the Kenyan private sector (agriculture, industry and service sector) accounts for 80% to the GDP¹⁵ and remittances contribute an amount that exceeds total ODA. Donors increasingly relate to this fact by emphasizing new approaches to involving the private sector more for achieving declared development goals. (cp also regional initiatives).

2.3 Brief Analysis of Relevant Sectors

This chapter highlights those aspects of the sectors chosen for the evaluation which are relevant for the assessment of the ADC programme. It does not describe the developments in the sectors as a whole.

2.3.1 Water & Sanitation Sector

Expanding access to water and sanitation services has been a priority for Kenya since decades. Until today, the Government of Kenya faces serious challenges with regard to meeting the demands of an increasing population in water supply and sewage services. The Ministry of Water and Irrigation has acknowledged that 16 million Kenyans out of the total population of 33 million do not have access to safe drinking water¹⁶.

The systems for water supply, sewage collection and treatment as well as the disposal systems were all constructed between the early 70ies and the late 80ies. Inadequate maintenance and missing investments in the past decades contributed to a general deterioration of existing facilities. Therefore, a major reform of the Kenyan water sector has been launched along with various initiatives to improve the management of water resources and Water and Sanitation (W&S) services throughout the country.

The reform process which fundamentally determines all development interventions in the W&S sector started already with the elaboration of the Water Policy during 1996/97 and its adoption in 1999. This policy framework was complemented by the enactment of the Water Act in 2002 as the legal framework. The crucial change which derived from the Water policy was the separation of political and operational responsibilities. The decentralized water service provision has been put on a commercial basis. This change represents a major reshuffling among the stakeholders in the W&S sector. Basically each NGO, community or any other formal organization licensed by the Water Board can operate water supplies on a commercial basis.

Another effect of the Water reform was the new commitment of the international donor community. Before the implementation of the reform, the international donor community channelled their funds exclusively through local NGOs because accountability of the government institutions was not ensured sufficiently. The reform required a withdrawal of the government from the W&S service provision. International donor agencies came back from 2003 onwards and tried to shape the new engagement in the framework of the new aid modalities. On the basis of a

¹⁵ World Bank statistics; cp <http://siteresources.worldbank.org/INTKENYA/Resources/psd.pdf>

¹⁶ Daily Nation Newspaper, March 23, 2005.

joint review – undertaken in 2005 by the GoK, Danida and Sida – a SWAp has been elaborated (SWAp); major donors signed the Partnership Principles¹⁷ which aims at increasing the predictability of aid and reducing the transaction costs for the Government in dealing with multiple development partners. In addition, donors agreed on planning on the basis of joint reviews, and the elaboration of a future Sector Investment Plan (which will cover the period from 2008 onwards).

A Water and Sanitation Trust Fund has been established (with initial support by the GoK, Danida and Sida) to mobilize and channel resources, to provide capacity building support and to finance the provision of quality water and sanitation services in areas which are still without adequate services. Until today, substantial funds have been provided by the European Union (ca 10 Mio €), Germany (also ca 10 Mio €), the Netherlands (ca 20 Mio €) and other donors with minor contributions. According to the lead agency Danida (which seconded a person to the MWI for SWAp coordination) 26 rural projects have been completed since 2004 for the benefit of ca 250'000 persons. 80 projects are still on-going.

2.3.2 Human Rights and Good Governance

In general, Kenya has a good human rights record although there is room for improvement. It has signed six out of nine United Nation treaties on Human Rights¹⁸. Regionally, Kenya is also party of the African Charter on Human and People's Rights, to the African Charter on the Rights and Welfare of the Child, and acknowledges the jurisdiction of the African Court for Human Rights. To demonstrate its willingness as a ratifying party, the GoK has established in 2003 an independent National Commission on Human Rights – with well-known Human Rights activists as members – which has a strong mandate to ensure that the country complies with all obligations under the international treaties. Besides the main task of assessing annually the government's performance with respect to HR, the Commission plays a strong role in issues of accountability and economic crimes (corruption). It also has the power to investigate abuse and to educate the public on their rights. Despite these positive trends, still much needs to be done in terms of the Human Rights issue, e.g. strengthening of justice in all societal areas, facilitating access to justice (especially for the poor), stronger efforts to stop violence against women and human trafficking.

The main focus of the GoK since elections is on major governance challenges, particularly corruption and improving the effectiveness of the public sector, financial management, addressing poverty and creating a conducive environment for private sector activities. Therefore the earlier mentioned ERS emphasises collaboration between government, non-governmental stakeholders and organisations, development partners.

Acknowledging the importance of governance issues, the GoK committed itself to a fundamental reform of the governance, justice, law and order sector and formulated a corresponding sector reform programme, the so-called GJLOS. The

¹⁷ The Partnership Principles have been signed by the Kenyan Ministry of Finance and the Ministry of Water and Irrigation as well as AFD, Austria, Cida, Denmark, DfiD, Germany, Italy, Japan, Sida, the EU, UNHabitat, UNICEF, UNDP and World Bank

¹⁸ These are the International convention on the Elimination of All Forms of Racial Discrimination (1963), the International Covenant on Civil and Political Rights (ICCPR, 1972), International Covenant on Economic, Social and Cultural Rights (1972), Convention on the Elimination of All Forms of Discrimination against Women (1984), Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1997), and the Convention on the Rights of the Child (1990).

development goal of GJLOS is improved quality of life for men, women, girls and boys in Kenya, especially those who are poor, marginalized and vulnerable. The GoK has requested support from the donor community and several donors have signed the Partnership Principles¹⁹.

Kenya's exceptionally vibrant and diverse civil society plays also an important role in advocating for the promotion of good governance and for balanced socio-economic development. According to the KJAS²⁰ the CSOs are especially active in promoting the rule of law in important development areas like health, HIV/Aids, education, environmental management, water services, and rights of women, children, and vulnerable groups. The African Peer Review mechanism of NEPAD considers Kenya's civil society as one of Kenya's strengths²¹. However, the fact that the new government under NARC recruited many of its members out of the leadership ranks of the CSOs left many of these organizations in a critical situation, i.e. continuing their important role and tasks (e.g. advocacy) without sufficiently experienced members.

2.3.3 Economy and Development

The economic recovery²² of the last years is mainly due to improved macroeconomic management and progress in some structural reforms. The recovery has been broad, cutting across key sectors (e.g., tourism, agriculture, manufacturing, transport, communication, and commercial sectors). Also, more investors are reporting that, unlike the pre-2003 period, they can now do business without political interference. Exports surged over the past two years on the strength of tea and horticultural exports. Capital inflows, including remittances, have increased considerably. Reflecting growing private sector confidence, foreign direct investment applications finalized by the Kenya Investment Authority jumped from about US\$90 million in 2005 to about US\$ 1.1 billion during the first 11 months of 2006, driven by information, communications, transport, and tourism²³.

However, equity and poverty reduction remain a major issue. The big challenge is to translate economic gains into benefits for poor people. Income disparities exist not only among certain groups of people but indicate also regional differences. Therefore, the major challenge lies with creating employment respectively income opportunities for poor people through economic activities. It means Kenya needs to increase its productive basis and at the same time needs to sustain economic growth through increased competitiveness, trade facilitation and regional integration (cp also regional importance of Kenya).

Within ADC, private sector activities have become a major focus. The new Development Co-operation Act (Section 1.3) includes the goal of strengthening economic development in partner countries in order to combat poverty. It states that the Austrian private sector is intended to be further integrated into Austrian development co-operation (Act, Section 2.3). The ADC Three-Year Programme 2004-2006 states that "...private sector and development is the basic prerequisite

¹⁹ The GJLOS DPs are CIDA, DANIDA; FINIDA, NETHERLANDS, SIDA, NORAD, DfiD, USAid, EU, UNDP, UNICEF, UN-Habitat, UNODC and the WB.

²⁰ Kenyan Joint Assistance Strategy (2006), page 13

²¹ NEPAD 2006

²² Economic growth rate 2001/02: 1.9%, 2005: 5.8 %; World Bank February 2007

²³ *ibid*

for the sustainable reduction of poverty, since investments create jobs, incomes and thus a stable basis for living". The new ADC 'Guidelines for Economy and Development' (2004) define three priorities, i.e. conducive framework conditions for private sector, Micro & SME-promotion and involvement of Austrian/European industries and businesses. In 2003, a Private Sector and Development Platform was set up, co-ordinated by the MFA, with ADA providing administrative support. Through the Platform sustainable partnerships between Austrian companies and enterprises in transition and developing countries shall be promoted.

2.3.4 Education

The educational sector is regarded as one of the important pillars for Kenya's development and reveals major successes as Kenya appears likely to achieve MDG2 (achieve universal primary education). The launch of the Free Primary Education Programme in 2004 contributed to this positive development as it has led to a substantial increase of the net enrolment. The Kenyan Education Sector Support Programme (KESSP 2005 – 2010) focuses on improving access, equity, and quality at all levels of education and training. Nevertheless, regional disparities remain and the total primary enrolment has to increase further to ensure that the objective will be reached by 2010. More needs to be done to facilitate access to secondary, technical and university level education. The KESSP outlines strategies and plans for 23 investment programmes across the sector with an explicit pro-poor focus.

The Educational Sector is supported by international donors through a SWAp. Donors²⁴ have signed up to Partnership Principles with the GoK. Some donors decided to pool funds in support of basic education, while others are supporting specific programmes laid out in the governmental sector programme. The latter support mainly secondary, vocational and university level education. Actually, efforts are under way to channel this kind of support with similar arrangements as applied for the support of the primary education. For this the GoK has to finalize its plans for the relevant sub-sector.

2.4 Regional Initiatives

There are several regional initiatives of which Kenya is part. These initiatives or organizations relate to key concerns in the region of the 'Horn of Africa' and of South and East Africa, namely:

- Political stability, conflict prevention and resolution, humanitarian affairs (e.g. conflicts in Somalia, Eritrea and Sudan affecting the stability of the region)
- Economic integration of the region to support stability and security (e.g. migration, illegal trade of arms) and to improve economic prospects of the countries (e.g. poor regional infrastructure, poor governance).
- Management of natural resources and regional strategies for food security (e.g. depletion of transboundary resources such as watersheds, grazing lands, coastal areas, tropical forests etc.)

The most relevant regional organisations and initiatives for Kenya are:

²⁴ AfDB, Canada, EC, Germany, Italy, Japan, Netherlands, U.K., U.S., U.N., and the Netherlands.

- East African Community (EAC): Trade and customs union with the objective of economic and political integration – Kenya, Uganda, Tanzania, Burundi, Rwanda
- Lake Basin Development Authority: a body of EAC, covering Lake Victoria resources
- Lake Victoria Environmental Programme: Kenya, Uganda & Tanzania
- Nile Basin Initiative: aiming at the equitable sharing of River Nile water – East African countries including Sudan and Egypt
- Great Lakes Regional Conference: Planning for economic and political cooperation - includes East African countries and the Congo.
- Inter-Governmental Authority on Development (IGAD)- Economic and political cooperation of 'Horn of Africa' countries focusing on conflict prevention, management and resolution, humanitarian affairs; infrastructure development (transport and communications); food security and environment protection – Kenya, Uganda, Sudan, Somalia, Djibouti, Eritrea and Ethiopia
- COMESA - Trade cooperation for East – South and North African countries.

These initiatives reflect the realization of the Governments that many of the problems affecting sustainable development and economic growth can only be solved through cooperation at regional level. Parallel to this the previous approaches of state-controlled development are being replaced by an approach that acknowledges the complementary roles of the state, the private sector and the civil society. Economic growth is seen as a basis for development and poverty reduction and requires the strengthening of the private sector, openness to foreign investment and trade, and integration of the regional economy with the world economy.

These initiatives are usually built on high-level commitments by Governments which give them the necessary legitimacy for action. On the other hand, the interviews in Kenya revealed certain scepticism with regard to the effectiveness and efficiency of these regional initiatives. They operate in fields where common, regional interests may still conflict with national interests and priorities, whereby the latter often win the upper hand to the detriment of regional objectives and integration. A critical point of the regional initiatives is also that so far they do not consider the involvement of civil society sufficiently. In general, it seems that initiatives aiming at shared natural resource management and at knowledge transfer (South-South exchange) seem to work well and are appreciated by the African stakeholders (acc. to interviews).

Donor Initiatives

Donors and in particular multilaterals are increasingly supporting these regional initiatives directly or by setting up multilateral regional programs or facilities. Also among donors the regional approach is considered as key to many of the development problems particularly with regard to issues of stability, basic infrastructure and economy as basis for sustainable development. Accordingly the donor initiatives focus on these fields, e.g.:

- ACP-EU Water facility: sustainable delivery of water and sanitation infrastructure and improved water governance and Integrated Water Resources Management (IWRM) practices in ACP countries.
- EU-Africa Infrastructure Partnership: improving interconnectivity, facilitating regional integration and promoting South-South trade
- Regional Integration Support Programme (RISP): assistance for the Regional Organizations (COMESA, EAC, IGAD and IOC)
- Regional Program on Enterprise Development (RPED) / World Bank: research project with the overall purpose of generating business knowledge and policy advice useful to private sector manufacturing development in Sub-Saharan Africa
- Private Infrastructure Development Group (PIDG): multi-donor, member-managed organisation constituted in 2002. Provides financial, practical, strategic support to encourage private infrastructure investment in developing countries.

Austria is contributing to a number of these programs in the context of its multilateral commitments (World Bank) and as a member of the EU.

2.5 Institutional Framework of ADC

General Institutional Framework and Relevant Policies

During the period assessed by this evaluation, Austria's Aid architecture has been fundamentally restructured. In the 90ties, the responsibility for managing Austria's aid was shared by a number of ministries²⁵. The Department for Development Cooperation (DDC) of the Ministry of Foreign Affairs (MFA) was responsible for the bilateral programmes outside Eastern Europe, covering 20% of Austria's total ODA²⁶. DDC was also in charge of the multilateral organisations, such as the United Nations and the European Community. From 1997 onwards, the administration of the bilateral technical assistance was delegated to 'Kommunalkredit' which basically operated as a service provider for the DDC²⁷. Technical support of the partner's interventions was provided by technical and monitoring consultants who were mandated to supervise particular programmes or projects.

With the formation of the Austrian Development Agency (ADA) and the related institutional restructuring in 2004 **the overall responsibility for aid policies was assigned to the Ministry of Foreign Affairs**²⁸. It is responsible for defining the development policy and strategies within the Austrian administration and negotiates the budget. It administers 22% of the Austrian ODA directly, whereas 7 other ministries are also involved in disbursing funds for development cooperation²⁹.

The formal division of task between the MFA and ADA for planning and implementing ADC interventions is clearly determined. The legal framework is defined in the Bill on Development Cooperation (EZA-G). Within this framework, the MFA elaborates a Three-Year Programme which gives the strategic orientation in terms of geographical and thematic priorities. The bi-lateral country programmes and ADC sector programmes are additional tools of MFA to define the strategic orientation of ADC. In addition, sector policies and strategic guidelines of the MFA define the strategic framework within which ADA has to implement the program.

The operational 'translation' of these policies and strategies into specific development programmes and projects and their implementation is the task of ADA. The main tools of ADA are:

- "ADA Unternehmenskonzept 2005 – 2007" translates the Three-Year Programme into a medium-term operational framework
- "ADA Jahresprogramm" is the annual operational plan.³⁰

²⁵ Ministry of Finance (covering 22% of the total Austria's ODA), Ministry of Foreign Affairs (20%), Ministry of Science and Research (9-10%), Austrian Federal Chancellery (6%), Ministry of Home Affairs (7%), as well as the Bundesländer, local authorities and the Economic Chambers which funded also 7% of total Austria's ODA. (DAC Peer Review 1999)

²⁶ DAC PEER Review 1999, chapter 1, p 13-14.

²⁷ ÖFSE, Österreichische Entwicklungspolitik 2000

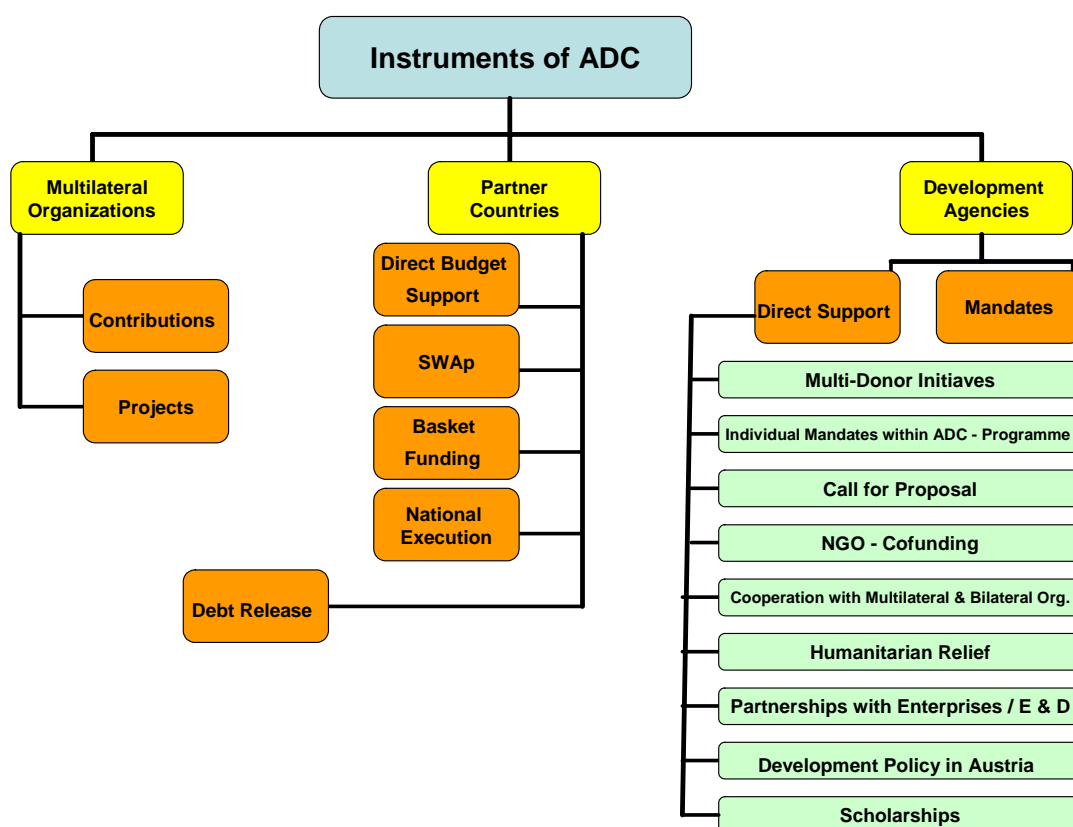
²⁸ note that the MFA has been renamed in 2007 as *Federal Ministry for European and International Affairs* (in german BMeiA)

²⁹ DAC Peer Review 2004

³⁰ Although ADA staff made reference to the annual programming, the documentation was not available. However, this instrument would apply only for the very last year of the evaluation period.

Funding Instruments of ADC

The funding instruments used under the three main pillars of Austrian Development Cooperation range from co-funding of NGOs, to issue-related funding (e.g. in the education sector), to specific individual mandates within development programmes (cp following chart). Depending on the budget line, projects and programmes implemented in a partner country are administered by different organizational units in the MFA respectively within ADA. ADA is directly administering the budget lines in direct support of partner countries as well as the direct financial support and mandates given to implementing agencies (NGOs, Institutes, companies, consultants, etc.). The debt release is managed by the Ministry of Finance. Accordingly, a country programme is made up of a number of budget lines the responsibility of which is with different organizational units and which follow different patterns of planning with



Austrian Actors and Partners involved in the interventions in Kenya

Although not a priority country of ADC, the Austrian actors and partners for the ADC interventions in Kenya are numerous. This is partially due to the fact that ADA delegates the implementation of projects to implementing agencies, mainly to a broad spectrum of NGOs and private enterprises³¹. The following chart provides an overview of the (multitude of) stakeholders involved in the projects assessed in this evaluation and their basic responsibilities.

³¹ DAC Peer Review 2004

Sector	Project	Programme Responsibility	Implementing Agency	ADC Monitoring
W&S	Lower Tana & Maseno	ADA Desk	local NGO KWAHO	Monitoring Consultant
	Migori	ADA Desk	local Consulting Company	Horizont 3000
HR & GG	NCEP 1 & 2	ADA Desk	NCEP 1: Donors NCEP 2: local CSOs (NGOs)	Austrian Embassy, Nairobi
	Sexual exploitation of children in tourism	ADA Desk	local NGO	Austrian NGO Respect
E&D	Investment & Technology	MFA (BMeiA)	Investment Promotion Authority	UNIDO
	Income Generation and training	ADA NGO Co-operation	local NGOs	ICEP
Education	IPGL	ADA Education	Egerton University	Austrian Academy of Sciences; Institute Mondsee

3 Assessment of Austrian Cooperation in Kenya

3.1 Evolution of ADC Engagement in Kenya

Other than most European countries, Austria for decades did not set up a specialized governmental development agency for implementing Austrian Development Cooperation on behalf of the Foreign Ministry (or the Austrian government). Therefore, the outsourcing of ADC activities to NGOs in particular but also to consultants (respectively private companies) has a long 'tradition'. In the case of East Africa and Kenya in particular this meant that the programme initially was strongly shaped by cooperation with (Austrian) NGOs. This is one of the reasons for the evident diversity in the design of ADC interventions in Kenya. The areas of NGO intervention were mainly rural development projects, water and sanitation, education/training, and scholarships programmes. The projects were implemented by NGOs such as Care, Horizont3000, HWA, OED, Austroprojekt, and others.³² Parallel to this more 'grass-root' approaches ADC also supported a huge infrastructure project in Kenya in the area of water supply, in line with international development strategies of the late 80ties. This project absorbed considerable funds over an extended period of time.³³

³² cp ADA data base Landesauswertung Kenia

³³ The project water supply in Kitui is not subject to the evaluation. However, according to the ADA data base project expenditures amount up to 4.4 Mio Euro (1992-1997)

The involvement in Kenya based mainly on the notion to be present all over East Africa, even though Kenya was not really a favourite partner of donors in the late 80ties and 90ties, for one because it was the only Low-Income Country in a region where all other countries belong to the category of Least Developed Countries. Secondly government donor agencies were reluctant to get involved with a fairly corrupt local government. In this situation, working mainly through NGOs (bypassing the government) was a practical option for ADC. However, this indirect and rather cautious commitment resulted in a less systematic planning of the programme as compared to priority countries. The interests of the various Austrian stakeholders led the DDC to distribute available project funding on the basis of 'equal shares to all' (i.e. various Austrian development actors in Kenya). Given the relatively small budgets of ADC this resulted in a collection of projects which were certainly justifiable, but had little coherence in terms of a programme approach.

Without a Coordination Office in the country, the evolution of the programme depended also a lot on the ideas and initiatives of the Austrian Ambassadors in Kenya and/or consultants mandated by the MFA. According to the MFA there were various internal attempts (starting back in 1986) to fit the isolated activities into a more systematic and coherent programme. Thereby, the Austrian Embassy in Nairobi apparently played a major role.³⁴ Until the mid-eighties, a sector focus (health) as well as a geographical focus (Maasai region) has been followed by the Embassy but due to the difficult coordination with the Ministry of Health this focus could not be further implemented. This period was followed by a shift towards educational activities with some quite successful projects³⁵. From 1991 onwards and as a result of the UN Conference in Rio, the ecological focus was emphasized by adding the cluster environment and natural resources to the portfolio. ADC activities were mainly implemented through local NGOs but ultimately their closeness to the government and problems with financial governance issues made the collaboration difficult. In 2000, the programme was structured into "informal" sub-programmes a) Decentralisation and District Development b) Rural/agricultural production, namely dairy farming and c) Infrastructure (TAZARA). Meanwhile the portfolio has again changed whereby water and sanitation is the only sector which was supported continuously.

The result is an ADC engagement in Kenya which on the one hand is an array of individual projects with little or no programmatic linkages. On the other hand the individual projects are mostly coherent with the needs of beneficiaries and with the priorities of Kenya as well as with the strategies of ADC and the approaches used were usually in line with the general consensus on approaches to development in the various periods. However, today a majority of the interviewed Austrian Government officials³⁶ rather challenge the idea that Kenya as a LIC with a per capita income of 900 US \$ per day³⁷ should be a cooperation country of ADC.

Recently, in the context of the European Consensus³⁸ (2005) the pressure on ADC for more coherence as basis for a division of labour in development aid among the different EU member states has increased. Although the Austrian engagement in

³⁴ BMeiA, Erfolg der Systematisierung von Programmen der OEZA in ausgewählten Kooperationsländern (Stand 2006)

³⁵ Stahere College, craft training centre Kilima Mbogo, vocational training in secondary schools etc.

³⁶ from BMeiA as well as ADA

³⁷ WB category; 905\$ or less income/p.h./p.a. calculated by World Bank Atlas Method

³⁸ The European Consensus on Development is a policy statement reflecting the EU willingness to make a decisive contribution to the eradication of poverty and to work on a peaceful and more equal society.

Kenya is marginal compared to the huge investments of the EU³⁹, or other EU member states the challenge is on one hand to harmonize the ADC programme with EU-programmes and on the other hand to bring to bear the experiences from the ADC-programme (e.g. appropriate approaches / field level experience) to bear in the design and implementation of EU-programmes.

3.2 Assessment of current programme engagement (Synthesis of project assessment)

The assessments of the project intervention focus on outcome level and the likely contribution to the overall objective (programme level):

3.2.1 Water and Sanitation: KWAHO and Horizont3000

KWAHO / Rural Water Supply and Environmental Sanitation in Lower Tana and Maseno

Description

This project started in 1988 based on the general orientation of the ADC, i.e. focusing on rural development and poverty alleviation. It is active in poor communities in Lower Tana (coast) and Maseno (West Kenya). KWAHO, the local partner chosen was basically a motivated and effective women association (involved in 'Green Belt'-Movement⁴⁰). As a women's organization they had a good understanding for water and sanitation issues as women are the "key" to successful and sustainable improvements in this area. In the implementation of 5 project phases (from 1996 – 2006), financed by ADC, respectively ADA, KWAHO evolved into a strong regionally operating organization which is able to use water and sanitation as an entry point for community development, creating leverage for other activities in the villages. Throughout this period KWAHO technical support from an Austrian consultant, mandated by ADA. The project was accompanied directly by the Regional Office in Kampala and by the Kenya desk in Vienna.

Based on the sound approaches and experiences of KWAHO, the project helped ADC to contribute conceptually to the water sector reform. KWAHO contributed its know-how to the formation of Water Boards. In the near future, KWAHO should ensure that it plays an active role in the context of the reform process within the Water sector. Therefore the umbrella organisation of water suppliers in poor communities (founded by KWAHO) should be officially acknowledged and secondly KWAHO should be able to implement projects with funds from the Water Service Trust Funds.

KWAHO, respectively the project benefited from a strong long-term commitment by ADC and its 'water' consultant, which even helped it to 'survive' a major crises in 1996 when all major donors withdrew from Kenya or at least from the water sector.

³⁹ Kenya's 9th EDF total allocations amounts to 316.6 Mio Euro;

⁴⁰ A ecological grassroot movement founded in Kenya in 1977 which is well-known beyond the Kenyan boundaries

Results

The project has achieved good and most likely sustainable outputs in both in terms of water and sanitation infrastructure as well as in the awareness for sanitation and hygiene and the capacity of the communities to operate and maintain the systems and the capacity of KWAHO for project implementation. At the same time the demand for more water and sanitation facilities is evident in KWAHO operation areas. Reductions of water borne diseases; reduction of distance to water sources; and gained time used for other economic activities are observed outcomes of the project. On the institutional level the project has provided substantial conceptual inputs for the reform process in the water sector.

Horizont 3000, Migori Town Water and Sanitation Programme (NWSA)

Description

The Migori Town Water and Sanitation Programme aims at providing a constant supply of clean water to residents of Migori town and its environment and improvement of sanitation standards based on the sustainable capacity of NWSA (financial stability and technical reliability) to service the system. The particularity of this project is the implementation set-up. Even though implemented by Horizont 3000 (an Austrian NGO), the project is not the usual project conceived by an NGO and co-funded by ADA. Horizont 3000 got the mandate out of a tendering process for the project, as it is fully funded by the BMeiA (former Foreign Ministry). The tendering implied the term “reduzierte Trägerschaft” which means that Horizont 3000 has only the administrative responsibility, but not the issue-related responsibility of an implementing agency. In the initial phase of one year a fairly big infrastructure and the related management capacity of the local partner (NWSA) was to be built up. This was not feasible due to the lack of technical capacity of the local partner. Therefore, the phase was extended to 3 years, and at the initiative of Horizont 3000 technical advice through local consultants was reinforced, apparently with moderate results. As a consequence, another local consult was mandated in phase 2 and the design of phase 2 was elaborated in close consultation with ADA Water Sector expert (*Sektorreferent*). For the planning of phase 2, H3 mandated a water expert on their own expenses to review the whole approach and to elaborate an appropriate design. The 2nd phase focused on further improving the association’s internal governance and its management and operation and to rehabilitate and improve the water supply infrastructure further, including protection of the water catchments area.

Results

The Nyasare Water Supply Association project is financially sustainable; community is able to take care of its O&M; the professionalisation of management committee is almost completed; replicability of documentation procedures has been enhanced. The reduction of water borne diseases; reduction of distance to water sources; gained time used for other economic activities; and income generated from water kiosks are big achievements made by this project.

Project Assessment

Relevance

In principle, both projects are relevant to the needs of the beneficiaries and conform both to sector objectives stated in ERS and the Vision 2030, as well as to the strategies of the ADC. In particular the experiences and the involvement of KWAHO allowed contributing to policy development in the context of the water sector reform (e.g. KWAHO is following up on the issue of integrating existing community-based water management of single water points into the sector reform). To a limited extent the KWAHO-project was also stimulating the development of a water sector policy for the ADC. On the other hand, the geographical reach of the projects is rather limited in view of the inputs accumulated over the years. Considering the fact that the 'water sector' is financially (by far) the biggest 'sector' the question is whether scaling up of the successful approaches was encouraged sufficiently.

It was not possible to identify exactly the basis for the decision to start the two projects. Further, considering the lacking conceptual and practical link between the two projects there is no evidence of a strategy-driven decision.

Both projects were gradually adjusted to a changing context, particularly in terms of institutional aspects related to the sector reform. According to the evolving needs the institutional capacity building gained importance compared to the technical advice.

In terms of ownership, in Migori the fact that NWSA is one of the first registered Water Service Providers points at a certain initiative to assume responsibility for a sustainable management of the systems. In the case of KWAHO, it managed to mobilize communities to take ownership for their projects. However, KWAHO itself is still struggling to become (more) independent of donor support, although it is a member of Lake Victoria South Water Service Board and has been able to source funding from Water Service Trust Fund.

Effectiveness

The planned objectives have been reached to a great extent. In the case of KWAHO, the degree of gender awareness and community empowerment achieved is noteworthy, whereas in Migori the considerable efforts in capacity building gradually show impact on internal governance of community.

Efficiency

Notwithstanding the input-output efficiency of the each project, the implementation arrangements did not allow for an efficient transfer of knowledge, because: a) the projects were not conceived under one strategy (see also coherence), b) their focus and concepts differ considerably and c) there is hardly an exchange of experience between the projects.

In both cases, the Austrian consultant, respectively NGO (H 3000) steered the implementation on a 'long line'. Horizont 3000 initially was not supposed (and in the position) to provide technical assistance, whereas KWAHO was supported by an intermittent consultancy. Locally, the projects are basically accompanied by the sector

expert of COOF Uganda. However, they apparently do not have appropriate resources to monitor and coach the projects in Kenya. This limits ADA's possibilities to influence a coherent approach in the water sector (see below) and to capitalize the experiences for its own strategy development.

In this case, Horizont 3000 did not assume the usual role of NGOs (within the ADC-context), i.e. conceiving and implementing a project. It rather acted as a management consultant, mobilizing the required know-how for the project from other sources.

The concept of phasing-out is weak in both projects. There is no distinct strategy that ADA wants to be followed, again because the rapport with the implementing partners is weak and the own capacity to attend to the projects is modest.

Coherence

The origin of the decisions to support these two projects is not evident and there seems to be little coherence between the two from the point of view of a sector approach, even though financially this sector is by far the biggest of ADC in Kenya.

The projects are coherent with national strategies in terms of outcomes (safe drinking water and sanitation), but in terms of approach it appears that the new water policy (in Kenya) goes in another direction, i.e. the privatization of water service provision. This would probably involve a shift in the support to make the partners of ADC fit for the private sector approach.

The value added by ADC, respectively its specific contribution was twofold. As a result of the implementation set-ups, the decisive contribution of the ADC in the KWAHO project was that the Austrian consultant was able to provide the 'state of the art' Austrian know-how for WatSan in developing countries, whereas in the Migori-project, Horizont 3000 by necessity demonstrated, how an Austrian NGO can stimulate / mobilize experts from the South rather than building up the capacity by itself. Secondly, the projects have contributed to the sector reform and to the development of suitable water and sanitation approaches. Due to the lack of capacity for accompanying the projects closely in Kenya, these gains could not be made use of for scaling up or for the development of other projects, except for the Austrian consultant who not only provided feed-backs into the development of the ADA Water Sector Guidelines for Engagement of the Austrian Development Cooperation in Kenya 2004 – 2006, but was engaged in the conceptually elaboration of the guidelines.

3.2.2 Human Rights & Good Governance Sector

NCEP, the National Civic Education Programme (URAIA)

Description

The National Civic Education Programme took place in two phases, covering the first period from 08/2000 to 09/2002 (NCEP I) followed by a second phase (NCEP II) starting right after the referendum on the draft constitution. Today the nationwide Programme is known as URAIA ('citizenship') – a slogan which finds public attention in short media spots on the national television. The programme is

accompanied by the Austrian Embassy in Nairobi and by the ADA Desk Officer covering Kenya in Vienna.

NCEP started in 1999 bringing together a broad spectrum of Civil Society Organisations (Coos) together which - in close collaboration with the donor community in Kenya and under the lead of DfiD - conceptualized the NCEP. NCEP's overall objective was to promote general awareness of democratic principles, the principles of Good Governance, the rule of law and constitutionalism by providing non-partisan, non advocacy politically neutral civic education. According to the involved international and non-governmental national actors the main focus was retrospectively described as a joint attempt to contribute towards a democratic governmental change ('to replace the old Moi Regime in democratic elections'). Whether NCEP I has specifically contributed to the election of a new government in 2002, will remain an assumption and cannot be claimed by the programme actors. However, an impact evaluation conducted in December 2003⁴¹ has stated that the programme reached almost a fifth of adult Kenyans and recommended a deepening of content including training of trainers and a more focused community orientation.

The specific programme activities in the areas of Nation Building, Democracy, Good Governance, Constitutionalism and Human Rights were implemented in the beginning by altogether 75 civil society organisations, nowadays the number of CSOs actively involved amounts to 43. The number of involved local NGOs represents a fairly good cross-section along the issues Constitutional and Reform Education Consortium (CRE-CO), Constitutional Educations for Marginalized Categories (CEDMAC), Gender Consortium and the Ecumenical Civic Education Programme (ECEP). Each cluster forms a consortium within the programme which coordinates the work on the ground in the particular thematic area.

From the beginning onwards, the programme benefited from the continuous supported by a group of ten donors, namely: the Government of the Netherlands, the United Kingdom, Denmark, Sweden, Canada, Finland, Austria, Norway, the United States of America and the European Commission. These donors entered in 2004 into a Memorandum of Understanding (MoU) in support the programme⁴². It has been decided to pool all financial resources into one basket. Eight of the donors that were signatories to the MoU committed and contributed a total of KShs 675 million for programme implementation. These monies were managed through a joint Financing Account and were used to fund civic education activities, FMA/TAT fees and other central activities. In addition, USAid separately funded a systems evaluation and impact assessment of the programme while the Government of Switzerland funded the publication of NCEP civic education materials.

All donors involved formed together the Donor Committee which has the key financial decision making power. Under the MoU, the donors constituted a Donor Steering Committee (DSC) chaired by United Kingdom's Department for International Development (DfiD), the lead donor, to serve as the focal point for consultation and decision making for the group of donors supporting NCEP. The

⁴¹ Finkel S., Mbatia P. and Leuthold D. (2003): "The impact of the Kenya National Civic Education Programme on democratic attitudes, knowledge, values, and behaviour" (Washington, Management Systems International)

⁴² Memorandum of Understanding for a Group of Donors on Donor Cooperation and the support to Civic Education, Nairobi 2004

programme set-up contained a Programme Steering Committee which is responsible for the day-to-day management. For the technical and financial matters two teams were established, the Technical Assistance Team (TAT) which provided the secretary services to the Programme Steering Committee and the Financial Management Agent (FMA) which ensured the financial management of the Programme.

Originally, a private auditing company (Pricewaterhouse and Coopers) was mandated to fulfil all the technical tasks and financial administration within the TAT and FMA teams. Accountability considerations were uppermost in the intention of the donor committee when taking this decision, whereas conceptual thoughts about the benefit and the likely impact of the civic education programme were to a certain degree disregarded. This has been changed in the course of 2004 as it became more obvious that technical know how – especially in the sector of educational programmes and civil education – was needed at TAT level. The implementing local CSOs needed to have a counterpart within the programme which was able to respond to the numerous technical questions.

Results

During implementation phase of NCEP I, the preparation of NCEP 2 and the respective follow-up phases, numerous studies, assessments, or papers have been commissioned by the various donors involved in the programme⁴³. There is no consolidated 'one-paper-document' available which describes the overall achievements and/or short-coming of the programme. This is – most probably – one of the effects of having many stakeholder of the donor community with their own specific agenda, procedures and administrative demands sitting at one table. The whole programme severely suffered until 2006 from the strong focus from donor side on setting up the 'right' programme structure. The donor committee had to struggle a lot with the implementing programme bodies (TAT/FMA). To find the right balance between the demand for information and the adequate set-up of the programme which delivers reliable and timely the information was not an easy task.

Severe operational shortcomings seem to have occurred during phase one of the programme, eg. the content of the initial books used in NCEP were not appropriate at community level and could not be used while working with the target group; the elaboration of material for the various target groups had no priority - there were delays in delivery, an insufficient supply, or even missing material⁴⁴. As a result of these delays and shortcomings the facilitation became ad-hoc which in turn made it difficult to be monitored. Another critic was directed towards the unclear training strategy (how to select? How to monitor? And how to do the follow up?) These critics reflect the size of the programme which made it virtually impossible to follow the link from donor steering committee to the beneficiaries on community level. The constructive inputs of the ADC representative in these discussions were appreciated by all other donor agencies and contributed to the good reputation of ADC in general.

⁴³ An important contribution to the new orientation of NCEP 2 has been elaborated on the basis of the following report: Kenya National Civic Education Programme Phase II (NCEP II) Framework report prepared for DANIDA Kenya by Davi Everatt, July 2004

⁴⁴ This issues were observed and discussed between the donors on the occasion of an HIV/Aids consultancy, conducted in 2003

Respect/Solwodi, The Commercial Sexual Exploitation of Children and Youth in the Kenyan Tourism Industry

Description

The project which started in July, 2003, contributes to the local efforts against commercial sexual misuse of children in the Kenyan tourism industry. This issue has been neglected in Kenya for a long time and was slowly brought up in 2001, when UNICEF submitted a report in sexual exploitation of children in the Eastern and Southern Africa Region⁴⁵. Initially the project has been pushed forward through local private stakeholders via the Austrian Embassy in Nairobi. The support for the project was therefore not initiated through an Austrian NGO. In 2003, Respect was contacted directly by the Austrian Foreign Ministry with the request to take over project responsibility under the usual arrangements for Austrian NGOs (subsidiary NGO co-funding). Respect had the technical expertise but was not present in Kenya. The local partner who initially suggested the project to the Austrian Embassy was unknown to Respect. As it turned out, Respect had to change the local partner twice before having found an appropriate counterpart who was able to implement and monitor the activities in an effective and efficient way.

The project interventions against the commercialize misuse of children in the tourism industry in Kenya are understood by Respect as a leverage for the general and comprehensive awareness raising on this issue – an issue that is made traditionally taboo in Kenyan society. Therefore, the target group is much broader than the so-called third parties within the tourism branch (like hotels, travel agencies in Kenya and abroad). The project interventions include also the sensitization of local stakeholders on community level (including teachers and other potential multipliers) as well as on national level (authorities and ministries). With this, Respect and its local partner SOLWODI respond to the fact that the majority of the culprits are of Kenyan nationality and not only (and necessarily) the 'white man from abroad'.

After a relative long initialization phase needed for the general sensitizing of local stakeholders for the issue, specific interventions like trainings and workshops with hotel staff and staff from the Kenyan tourism industry were conducted as outlined in the project concept. For this but also for general information of the public information material has been produced and disseminated in local language as well as in English. One important project milestone is finally the successful signing and ratification of the Code of Conduct in collaboration with the GoK, Kenya Tourism Federation, the Association for Hotel Keepers and Caterers, the Mombassa and Coast Tourism Association, Kenyan tourist operators and other actors.

Today a constructive relation between the local partner Solwodi, Respect and UNICEF has been established. UNICEF intends to fund Solwodi directly and plans to be engaged for the next 5 years. For the moment being, it is only Solwodi which works on this issue. Therefore UNICEF intends to expand the network for training to promote local capacities.

⁴⁵ Sarah Jones, The extent and effect of sex tourism and sexual exploitation of children on the Kenyan Coast, a study conducted by UNICEF and the GoK, December 2006.

Results

The project achieved good results in terms of sensitizing local stakeholders within the tourism industry, on community level but also on national level. Taking into consideration that the local partner had to be changed which meant further constraints, the project is implemented in an acceptable timeframe. In average three years are needed for a effective campaigning and lobbying project before practical activities like training can start and find response. Project milestones are the signatories of the Code of Conduct which has been signed now by 25 hotels; more will be added to it. The training has been attended by quite a number of hotel employees (around 60 until 2007), material like manuals and hand outs which explain the issues in a clear and concrete way were elaborated and distributed to the target group.

The close collaboration with UNICEF led to very good results in terms of acceptance and coverage, involving also national authorities like the Ministry for Home Affairs (MfHA) which has the thematical lead as their mandate covers child protection. The MfHA expressed in 2007 the political will now supporting the efforts against sexual exploitation of children in the tourism industry as they announced that hotels have to sign the code of conduct. Also the Ministry of Justice announced the political will to support this campaign.

Project Assessment

Relevance

NCEP 1 responded adequately to poor Governance. The programme played a clear role in the run up to the election. The strong commitment from numerous indigenous non-governmental organisations and representative of the international donor community contributed significantly to an initialisation on a broad basis. The various programme actors – be it from donor side or non-governmental side – were united in the objective to replace a corrupt government with democratic means. NCEP 2 – or URAIA – finds its relevance in the need for fostering a mature political culture in Kenya. This is especially needed as the euphoria after the elections in 2002 came to an end and the fragility of the democratic turn-around is more and more visible. Democratic values, accountability aspects and good governance issues are not firmly anchored in the Kenyan society.

The project of Respect stands in relevance with the newly enacted sexual offence bill in Kenya which has received presidential assent in July, 2006. The bill seeks to enhance the provisions of the Children Act (January 2002) that protects children against sexual abuse and exploitation. According to the UNICEF study which was earlier mentioned, 47% of the population weight the economic advantages of children sexually working in the tourism industry higher than the protection of children. It is widely not understood as misuse but as an economic necessity. The study emphasises that the majority of the offenders are locals – a fact which was already known to insiders long before but became from now on more 'political weight'. Respect corresponds to this demand in its project design while aiming at a broad sensitization within the communities. This should help to speak up against the commercialize misuse of children. According to UNICEF the issue of commercial misuse of children is

increasing – despite the local and worldwide ongoing efforts. An engagement like the project intervention of respect is therefore highly welcomed.

Effectiveness

The effectiveness of NCEP should be assessed on the basis of the pilot character of the programme. This strong donor support (financially as well as the active collaboration within the programme) contributed significantly to NCEP I. Until today, nearly all donors are still partner of this programme. Despite the long and difficult process of consensus building among the programme actors, the programme as such works and functions. In the beginning of the programme, the donor agencies were represented by the respective Heads of Mission who were actually in the political position to push the programme forward. Hence, this political influence contributed substantially to the effectiveness of NCEP.

Meanwhile the programme made a turn-around from a former donor-driven approach (NCEP1) to a local driven approach in NCEP 2 as the Programme Steering Committee is led by Kenyans who determine the strategic direction of the programme – a decisive aspect for ownership. The programme in phase 1 was also confronted with unintended external effects. When the change in government actually took place in 2002, a vacuum emerged in two respects: the new government recruited a high number of its members from the leadership of many civil society organisations. This resulted in a lack of NGO-leadership (especially the NGO Council). NCEP 1 was without any local counterpart as the NGO council which was supposed to take over the major role in the implementation of the programme vanished virtually over night. Secondly, having the former civilian opposition now in charge on governmental side challenged the overall objective and the strategic orientation of the programme. The conceptual focus became unclear.

Although a rather smaller donor, the Austrian involvement by the Austrian Embassy was very much appreciated within the donor community. The Austrians gained the reputation of being a good counterpart for discussions, taking actively part in the usual check and balance procedures while being less involved in the micro-management of the programme. Within the DC the Austrian Embassy communicated on regular basis – either via e-mail when quick response was required or while attending the meetings regularly. Overall, the programme is a good example for ADC to work effectively with limited capacities.

The project of Respect was highly effective as not only nearly all planned objective have been achieved but also an expansion of the programme is foreseen. For this the collaboration with UNICEF was decisive. It is planned now to expand the training geographically as well as target – group related (new: police school trainings). Therefore the project can serve as a successful example for creating synergies between NGOs and multilateral Organisations

Efficiency

The monitoring of progress and management of NCEP focused predominately on management issues (monitoring, financing, and reporting) rather than on the actual substance and content of civic education. A conceptual programme document has not been elaborated. Technical knowledge on level programme management came into

the programme after the separation of TAT and FAM (2004). This has delayed efficient programme implementation as a basic principle has been neglected: content comes before structure! Which means the programme design and shaping the elements is a process between the various actors involved and demands a minimum of conceptual ideas. A programme of such a size should have invested more time in the conceptual shaping than spending numerous meetings over years with discussions about the appropriate programme structure.

On level of efficiency between the Austrian stakeholders involved (Embassy Nairobi, ADA Desk Vienna, ADC Coordination Office Kampala) the relation between conceptual inputs, decision making and administering a programme is unbalanced. The Austrian Embassy in Nairobi had to feed constantly the processes of the programme (contact and meetings with the donor steering committee, maintaining mail contact to all partners, giving feedback etc.) which was time consuming and alongside the main tasks of the Embassy. The support from the coordination office in Kampala was limited as their capacities were bound with activities in Uganda. Taking into consideration that among the staff of the Coordination Office in Kampala is a Sector Expert for Good Governance recruited (in charge of ADC involvement for the GJLOS Initiative in Uganda) it can be considered a missed opportunity that technical discussions were obviously not led due to time constraints.

The efficiency of the project with Respect has to be assessed on the basis of the financial arrangement with ADA. ADC financial contribution is ensured on the basis of a 50%-cofinancing agreement. This works well when an Austrian NGO submits an 'initiative-project' – the financial arrangement highlights the subsidiary character of the means, the ownership of the project stays clearly with the NGO. The project in Kenya derives from a different history in which the Austrian authorities (Embassy, Ministry) pushed the project forward initially and Respect came on board later due to the necessity of having an organisation taking over the implementation responsibility. The efficiency assessment is unbalanced therefore: Although by end it turned out good while bringing a further donor on board (in this case UNICEF as an ideal donor who is on the ground and has particular interest in expanding the activities), Respect had to pay a high price due to the fact that they 'overtook' not only a project idea but also a local partner which inadequacy they did not know about. Subsequently the person in charge in the headquarters of Respect in Vienna had to travel more often and had to accompany the initial work in Kenya until the right partner was found.

Coherence

The two interventions in the Sector Human Rights and Good Governance have no link to each other as they are under different budget lines and monitored by different persons in charge (NCEP: ADA Desk Officer for Kenya and Respect: NGO – Cooperation).

3.2.3 Sector Economy & Development

In this area of intervention ADC's support builds on two pillars: on investment promotion addressing SMEs but also bigger companies and on income-generation and microfinance projects focusing on micro-entrepreneurs. While the IP-project is funded and directly steered by BMeiA (Section VII.2) and implemented by UNIDO, the income-generation projects are part of the NGO-cooperation with ICEP.

ICEP, Income-generation / Microfinance and Skill Development for Women, Young Adults and Vulnerable Persons

Description

The three projects assessed (KIANDI, IMANI, COWA) are aiming at women and young people in rural areas as well as in the slums of Nairobi. The objective is to improve income generation of the beneficiaries through group formation, training and access to micro-credits. While ICEP has initiated the projects they are implemented by local NGOs, which get some institutional development support from ICEP. The concept of the projects originally evolved from ICEP's experiences in Guatemala. Since 2006, ICEP is adjusting the projects to a program approach aiming at rural development, in line with ADA's policy. As a consequence the projects gradually 'move out' of Nairobi and the partners are supported to develop more into social entrepreneurs than charity organizations.

Results

The results in terms of training / capacity building are altogether positive. Considering that the projects run since 2 years, the outputs in terms of people receiving training and improving their income, are in line with planned outputs. The projects have helped to set up some 200 small enterprises and provided advisory services to a similar number of existing enterprises. The implementation is accompanied with good documentation and there is long standing commitment by the local NGOs implementing the projects. In the process long-lasting linkages have been established with overseas partners. The activities have promoted good leadership quality through trainings that are value-oriented and enhance good management.

IPA, Investment and Technology Promotion Project for Kenya

Description

Started in 2005, the project mainly aims at promoting investment possibilities and technology transfer by Austrian enterprises in cooperation countries of the Austrian Development Cooperation (ADC). The ultimate goal is to establish partnership (agreements) between Austrian and Kenyan/Ugandan companies.

To this end the BMeiA, Div. VII.1 is financing the project (budget of the UN special program) which is implemented by UNIDO, building on the accomplishments of UNIDO's integrated programs ⁴⁶ in Kenya and benefiting from other ongoing regional projects in Africa that conduct research on FDI and aim at developing investment promotion strategies. This means the IP-project is implemented in the frame of other UNIDO-programs which help developing conducive framework conditions for investment and business. It is replicating a similar IPP in Tanzania and Ethiopia which started in 2003.

⁴⁶ The Integrated Programme of UNIDO in Kenya is focused on four industrial sub-sectors and aims to strengthen the country's connections to global trade and investment flows. Specific objectives of the interventions are to increase productivity and develop productive capacities in areas with high export potential, to mobilize resources, create an enabling business environment at domestic level, facilitate trade and promote private sector investment and technology flows

The main partners of the project are the Austrian Chamber of Commerce on the one side and the Kenyan Investment Promotion Authority (IPA) and the Kenyan Chamber of Commerce on the other side. Thereby, the IPA has received capacity building support through UNIDO's Integrated Programs already prior to this project.

By providing relevant information about framework conditions, credit facilities and company profiles, selected sectors for investment are presented to interested companies. In a business forum followed by 'scouting' / investigation missions to Kenya (and Uganda) Austrian companies get to know potential partners. The project supports potential partners in establishing agreements and work plans for implementing joint ventures.

Results

The number of companies participating in missions to Kenya is reported to be 10 to 12. Information about the number of partnership agreements (ultimate output) concluded to date was not available to the evaluators. On the other hand the interview partners pointed at the following successful outcomes of the project:

- The Austrian Chamber of Commerce has become an active partner and an Austrian Association for Business Development has evolved, organizing a round table for entrepreneurs.
- The idea of doing business with Africa has gained importance with Austrian entrepreneurs (e.g. Delegate for Trade established in South Africa, supported by local consultants / Ecotec did 2 to 3 investigations for Austrian companies, Austrian Chamber of Commerce is funding the further development of a database).
- UNIDO with support from BMeiA has conducted a small survey on foreign investment (understanding the mechanisms of FDI in Africa). This survey will be scaled-up to ultimately 30 countries and shall provide information on the impact of FDI on domestic economies and supports evidence-based policy advice.

On the other hand, the situation of the Kenyan Investment Promotion Authority (IPA), a major actor / beneficiary of the project is assessed ambiguously. The IPA itself is of the opinion that it does not benefit much from UNIDO support and considers itself self-reliant in making matches and in networking (e.g. FDI applications finalized by IPA jumped from about US\$90 million in 2005 to about US\$ 1.1 billion in 2006, acc. to WB). UNIDO sees a problem in that the IPA has been relegated to deal with SMEs only whereas in the field of FDI one has to look at the big companies as they have a good potential for creating business for local economies. Another observation is that the IPA has not been supported optimally and is dealing with the usual constraints of an under-resourced public administration.

Project Assessment

Relevance

Both lines of action are relevant in their respective sphere of economic development.

The micro-level projects respond directly to poverty-related needs and are therefore conform to both the national strategies and ADC strategies. However, the lack of formal and strong linkages with the formal economy (as potential employers and/or buyers of products and services) and with finance institutes (for credit) limits the scope and outreach of the projects and in particular sustainability.

The IPP is addressing the challenge of boosting economic activities on a bigger scale, as a precondition for economic growth. It is certainly in line with national needs and strategies (ERS) as well as with the guidelines for Economy and Development of ADA. For the participating companies the longer-term network and access to information that evolves from the project is probably more relevant than the initial contacts. To which extent the IPP, respectively the results of it contribute to the overall goal (of ADC) of poverty reduction depends mainly on the involved companies and cannot be influenced much by ADC with the current arrangements.

The two lines of action illustrate the on-going discussion about which approaches to economic development are relevant for reaching the overall goals of development cooperation. Micro-level projects like the ones of ICEP do have an immediate effect on poverty reduction which can be attributed to the project interventions quite clearly. However, their scope in terms of coverage and of contribution to the economic growth is limited. Trade and investment promotion (IP) addresses the issue from 'the other end'. It builds on the assumption that economic growth is a prerequisite in developing countries for alleviating poverty on a national scale. While these interventions have the potential for bigger scale improvements, their effect on poverty reduction is indirect and depends on a number of factors that can only be partly controlled by the projects (e.g. increasing local employment of poor people on fair conditions). The relevance of IP as a vehicle for development is based on the realisation that the goals of poverty alleviation cannot be reached with micro-level projects alone unless the macro-economic framework is enhanced among others by supporting companies to invest for getting access to regional and global markets.

Effectiveness

The approach of the micro-projects focusing on individuals means a limitation in terms of scaling-up successful interventions hence limiting the coverage, which is a major challenge in view of the huge demand.

The implementing NGOs have developed into well managed organizations with a good output in terms of reaching out to poor individuals. This helped to establish long lasting linkages with overseas partners and to diversify donor funding, which indicates that the local partners assume ownership.

Compared to the project documents it appears that the IPP created more outcomes in terms of activating networks and mobilizing initiatives in the private

sector than expected. At the level of actually established cooperation between companies it may be too early for getting a consolidated picture.

On the other hand, mobilization of local partners (IPA) is not optimal. The project gives the impression of a donor- and industry-driven program, where the role of local public administration still needs to be made clearer. The question of ownership in this project is not conclusive, because promotion is not only the role of public institutions but of the private sector as well. With the Chambers of Commerce participating actively, ownership from this side seems to develop.

Efficiency

The efficiency of the micro-projects is critical considering the limited actual and future possibilities for scaling-up.

The implementation set-up of the IPP (through UNIDO) is in principle efficient as it allows ADC to link with other programs that are important for the success of the IPP, e.g. programs that improve framework conditions for investors. However, without having figures on actual outputs an assessment of the efficiency is difficult.

Coherence

The two components are separate approaches and projects with no potential for synergy. Both projects are outside the ADA country budget line. The IPP is by the nature of the set-up coherent with UNIDO's activities, but also with activities of other multi-lateral donors in this sector. Synergies with other sectors of ADC's Kenya program are not visible.

3.2.4 Education: Higher Education and Research

IPGL, International post-graduate training Programmes in Limnology and Conference 'Bridging Research, Technology and Development

Description

The support of this programme is based on a long lasting relation between Austrian governmental development actors and university institutions in Austria and the joint scholarship programme of the North-South Dialogue⁴⁷. The overall objective aims at the creation and strengthening of local research and training facilities. The beneficiaries of the programme should be enabled to contribute professionally to solution-finding processes of current ecological problems. Further, with the knowledge gained the graduates should be able to consult local decision-making authorities or persons directly on the basis of their technical know-how.

This objective shall be achieved through different kinds of support: Firstly, a M.Sc. programme in Limnology and Wetland Ecosystems is funded to qualify students in their professional career and to contribute to the human resources development in the research sector. The programme consists of three semesters (six months each). The

⁴⁷ According to statistical data of the North-South Dialogue programme 14 qualified persons received their PhD from Austrian university. According to interview partners at Egerton University, the successful students are employed today either at Egerton University or other comparable institutes in Kenya.

first semester takes place at UNESCO-IHE Institute for Water Education in Delft. The Institute for Limnology Mondsee provides the subsequent semesters in Austria and the Czech Republic. The programme leads to a M.Sc. degree. Lectures are combined with field work, laboratory sessions and exercises. A number of curricular field trips are an integral part of IPGL.

A further focus is set on enabling the knowledge transfer between local stakeholders in the region. Therefore, a conference ('Bridging Research, Technology, and Development') was financially supported which brought together 150 professional participants out of the region. The conference was jointly organized by the East Africa Water Association (EAWA), the Egerton University, the Austrian Academy for Sciences and took place in Kenya (December 2006). Within five days, the workshop participants discussed and elaborated strategies for the enhancement of research impact, for capacity building, and for supporting policy development and its implementation. Participants came not only from Kenya but also from other African countries which are prone to fundamental ecological changes like Burkina Faso, Cape Verde, Ethiopia, Sudan, Tanzania, Uganda and Zambia (all belonging to EAWA network).

Results

The M.Sc. programme is still ongoing but the interim output show that the M.Sc. programme is implemented as planned. There are hardly any doubts - according to the Dean Agriculture of the Egerton University - that the post-graduates will successfully pass the programme until end of 2007. Students of former training modules similar to the M.Sc. programme were part in the water reform while bringing their know - how into the process.

The Workshop has been successfully organized with an impressive number of participants and contributed to the exchange of ideas and contacts. The workshop contributed to the strengthening of the network EAWA which function as an umbrella for facilitating cross-border contacts to specialized experts in the different countries. According to the Egerton University the cross-border communication is much easier now as "one knows each other and especially whom to contact for which issue".

Project Assessment

Relevance

Development depends on the technical know-how and professional experiences in those sectors which have priority for poverty alleviation. Within the African context this means mainly the rural development sector. It is crucial for a country like Kenya to have adequate human resources which actively work on solutions for development problems. Hence, local universities and research institutes have an important role to play, especially in rural and dry areas where solutions from water resource management to agricultural production are urgently needed.

Effectiveness

The Egerton University – the fourth biggest university of Kenya - is in that sense a very good example for applied and independent research as it contributes to the

recruitment of future experts for development. Furthermore, they offer immediate consultancy services to persons, rural communities, local authorities, and others. Through the practical use of the research outputs the Egerton University is helpful to place 'politics on the ground' – as they have more often the weighty arguments for ecological behaviour changes. The link between independent research and the water sector is a comparative advantage to participate in the new emerging research networks⁴⁸ for rural Africa.

The effectiveness can be assessed positively as nearly all of the post - graduates and trained students remain in the country and try to find their place at university. The training in Europe improves the effectiveness of qualifying post graduates in two ways: Firstly, it is important to bring future experts and consultants physically to other places that they leave their own cultural context. This has an immense eye-opener effect. Secondly, the technology and didactic methods in Europe are qualitative of high standards, especially when it comes to quality assurance. The post-graduates benefit a lot. Nevertheless, the Austrian Academy of Sciences started recently to organize a few of the training modules in African countries. This shall support the regionalisation of the future engagement according to the demands of aid effectiveness.

The effectiveness is hampered when it comes to the local conditions for applied research. Of course the laboratories and facilities of Egerton University do not have a comparable high quality standard as the partner university in Austria or the Czech Republic. The Egerton University needs to have more funds for equipment to make optimal use of its potential. Although the funding of Infrastructure is somehow regarded as outdated, investments in Kenya's research facilities are not at all one-off payments but are an important element of the capacity building on national (or even regional level). For this a sound funding and implementation strategy is required – ideally supported by various donors - to ensure the likely achievement of the intended outcome.

Traditional programmes at University consisted for a long time of lecturing and artificial laboratory tests. The Egerton University has started with short and practical training for post graduates as well as consultancy services for decision making persons or actors of the agricultural sector. With this approach, the university aims at deepening their own knowledge and at broadening the knowledge of the respective target group. This different approach may lead to a fundamental change of the processes in the relevant sectors.

Universities have to improve their research capacities to gain more influence in the area of rural development and water resource management. In most development countries these areas are determined by private institutes or organisations. The Egerton University has a comparative advantage while combining two sectors ('agriculture' and 'water') and while having an exceptional good regional network with EAWA.

Efficiency

⁴⁸ New networks which focus of the training of human resources in the agricultural sector are RUFORM (Regional Universities Forum for Capacity Building in Agriculture), CMAAE (Collaborative Master for Science Programme in Agriculture and Applied Economics) ANAFE (African Network for Agriculture, Agroforestry and Natural Resource Education), SISERY (Secretariat for Institutional Support for Economic Research in Africa), SADAOC (Sécurité Alimentaire Durable en Afrique de l'ouest Centrale), and GO-FAU (Global Open Food and Agriculture University).

The input-output efficiency seems to be adequately managed by the Austrian partner, the Austrian Academy for Science. It works totally independent from ADC. There are no monitoring and supervising tasks by ADA coordination office (Kampala) respectively the Austrian Embassy in Nairobi. ADA Vienna – specifically the person in charge for educational programmes – has only contact to the Austrian Academy of Sciences.

The partnership of the Austrian Academy for Science (Mondsee), the University of Agricultural Science in Vienna, and institutes in the Netherlands and in Czech Republic do help to maintain a certain level of effectiveness as the current capacities for training and research are not sufficient at Egerton University. Financial means and capacity building measures are needed to ensure that the resources are well invested and Return of Investment is ensured. Nevertheless, local efforts to create training for qualified post graduates should be supported.

Coherence

The Austrian Sector Policy Education⁴⁹ covers a fairly wide and general scope and is therefore only partially helpful for assessing the coherence of projects in the educational sector.⁵⁰ As mentioned earlier, Kenya elaborated an Education Sector Support programme which covers the period from 2005 – 2010. It focuses on enhancing access, equity, and quality at all levels of education and training. The main donors currently engaged in educational activities in Kenya joint together to support the governmental programme through a SWAp. Like in the Water Sector, Partnership Principles have been signed. It is important to know that not all of the donors pool their funds through the same channels. According to their own priorities they fund specific programmes as outlined by the government. The area Research and Higher Education is one of these possible areas of intervention. It would be appropriate to combine the engagement with Egerton University with these efforts for harmonisation and alignment within the educational sector.

3.3 Operational Aspects

3.3.1 Programming

Relevance

ADC portfolio in Kenya is very much shaped on the basis of long-standing partnerships with Austrian and/or local project partner and less by direct Austrian governmental interventions in Kenya. Most project partners focus their interventions on micro-level with a clearly determined target group. Therefore, the ADC portfolio has high relevance in terms of effect and impact on micro level and corresponds to the demands of a specific target group.

Efficiency and Effectiveness

One of the objectives of setting up ADA was to clearly separate the functions of strategic (MFA) and operational planning (ADA) and to establish clear

⁴⁹ BMaA (2000): Bildungszusammenarbeit – Sektorpolitik der Österreichischen Entwicklungszusammenarbeit.

⁵⁰ The ADA Education Guidelines (Bildungsleitlinien) are currently under elaboration and cannot therefore be applied.

responsibilities for the implementation (see also 2.5). In practice the division of tasks still seems not sufficiently clear and some established mechanisms such as the scattered responsibilities for different budget lines remain an impediment to systematic programming:

- Although the division of tasks between MFA and ADA is along the strategic and operational issues, the MFA is still in charge of operational aspects when it comes to multilateral affairs and support (cp UNIDO and IPA). The division between strategic and operational tasks and the division of multilateral support and bilateral Technical Assistance is not sufficiently aligned to each other. The matching of various activities towards a coherent Austrian Development Cooperation in one country requires therefore additional coordination efforts and internal discussions between the two actors.
- Because the ADC engagement in Kenya contains a relatively high proportion of the NGO-co-funded projects, ADC has only limited scope in adjusting these projects to its own governmental strategies in the country or region. NGOs are fairly free to define and propose projects and programmes for co-financing, based on their own strategies and priorities. Although these projects must correspond to the Three-Year-Programme, Austrian NGOs are in the driving seat of the programming and steering of the activities. This is undoubtedly a major obstacle for planning and implementing coherent ADC driven country and regional programmes.

In addition to the complications with the division of tasks, the process of translating the MFA's strategic guidelines into operational programmes is not yet well established. Formally the process is described in guidelines (e.g. ADA Unternehmenskonzept / annual planning process). However, the evaluators' observations suggest that in practice this process is not yet very systematic and functional. At least in the case of the Kenya and the East Africa regional programme it appears that on one hand the MFA assumes that the paper 'ADC 3-year programme' provides sufficient guidance for ADA, while on the other hand undated papers from individual persons seem to provide additional clarification, but it is not clear for whom and by whom they are written. For the annual planning of programmes ADA has elaborated and documented a detailed process which is followed. Accordingly, the papers produced in this process are exchanged with the MFA in a formal process and discussed in formal meetings. There is no indication that these plans are developed in a joint, direct dialogue (e.g. in joint workshops) between all involved units of MFA and ADA, but are rather the products of individual persons in charge. As a result this leads to a situation where there is no real mutual agreement between MFA and ADA for certain parts of the programmes.

A further difficulty for the planning of coherent programmes is the strong influence of budgeting on the programming. For some interventions it appears that there is a system of 'management by budget', i.e. primarily the budgets are allocated to the various budget lines before programming the interventions financed by these budget lines.

Coherence

Apart from the factors mentioned above the status of the Kenya programme within ADC also influenced the design of the programme. Initially, Kenya was considered as a cooperation country like others in the region (Tanzania, Uganda, Rwanda) in

which interventions were designed with a sector focus⁵¹. From 1996 until 2004 Kenya has been categorized (or relegated) as cooperation country administered from the Cooperation Office of the Uganda programme, which is categorized as a priority country of ADC. Following the DAC Peer Review in 2004, which recommended a stronger geographic focus of ADC's areas of intervention, the Three-Year Programme 2005 – 08 is emphasizing the need for further geographic concentration and abandons the differentiation between priority country and cooperation country. Kenya is now labelled as 'partner country within a focus region'⁵², i.e. part of the focus region East Africa/Great Lakes besides the other countries Ethiopia and Uganda which remain priority countries, and Tanzania, Burundi, and Rwanda.

As mentioned under 3.1 a lack of systematic programming with a view to establish a coherent country programme is evident, whereby the reasons are manifold. Particularly in the earlier periods there was the low institutional 'ownership', i.e. there were many different stakeholders without a clearly assigned unit for taking overall responsibility. According to MFA and ADA actors in Vienna, strategic discussions and the exchange of ideas took place in the field rather than in the headquarters. Before 2005 there is little evidence that the mentioned attempts for systematic programming were taken up and followed in Vienna⁵³. Therefore the numerous internal and external ADC actors involved in the interventions in Kenya and the respective independent working procedures are a likely reason for a strong project orientation with a more or less additive programme design.

3.3.2 Allocation of Funds

According to the DAC Peer Review 2004, African countries get the highest proportion⁵⁴ of the bilateral Austrian ODA allocation per region. Moreover, the financial contribution to low income countries (like Kenya) is not an exception: a quarter of the bilateral ODA is dedicated to low income economies. The strategic idea behind this funding is the envisaged link between development aid and a close cooperation with Austrian companies in order to promote economic growth⁵⁵. Particularly for a small donor it is more effective to find an entry point in local economies which have already reached a certain level of development and therefore have a minimal potential for Austrian investors and companies.

The total financial contribution of bilateral technical assistance to Kenya from 1996 to 2006 amounts up to 12.4 Million Euro. This amount corresponds to the features of a smaller donor which spends on average 1 Million Euro per year⁵⁶. The actual disbursements reflect the development within the country. Before the change in government from Moi to NARC took place, funding was quite unbalanced and nearly all of it directed through NGOs. In 1996/97 ADC was involved in infrastructure projects (e.g. the big infrastructure project Kitui) which were budget intensive. In 2001, the international donor community (incl. WB and IMF) stopped

⁵¹ These sector focuses were the 'classical' areas of W&S, Education, Agriculture, E&D although the wording changed over the years (cp all Three-Year Programmes relevant from 1996 to 2006).

⁵² Three-Years Programme Fortschreibungen 1995, 2000, 2003, 2005, 2006

⁵³ The following internal programming documents have been found only: Arbeitsfeld Ostafrika (2005), Aktualisierter Programmierungsauftrag Ostafrika (2006), Ergänzende Erläuterungen zur Punktation (undated), Erfolg der Systematisierung von Programmen der OEZA in ausgewählten Kooperationsländern (2006).

⁵⁴ DAC Peer Review 2004, p. 72, bilateral T.A to Africa amounts to 37% annual/in average compared with bilateral T.A. to Asia 35%, Latin & South America 13%, and Middle East 4%.

⁵⁵ cp Three-Year Programmes

⁵⁶ per DAC categorization

all the funding as the situation (poor governance, insecure perspective of the further progress) deteriorated and accountability was not at all ensured. When NARC came into power, the donor community was optimistic again and started to release funds immediately. A further decline in funding in 2003 had internal reasons as this was the phase in which the administrative responsibility for bilateral technical assistance was transferred from the MFA to the newly established ADA. (January 2004). Finally to the end of the evaluation period the decision for regionalization is reflected also in the financial allocation: the allocations are only expenditures out of ongoing ADC interventions.

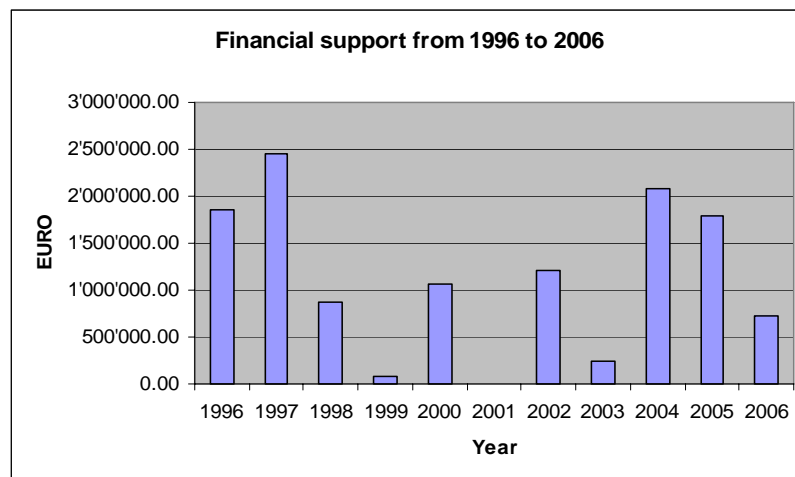
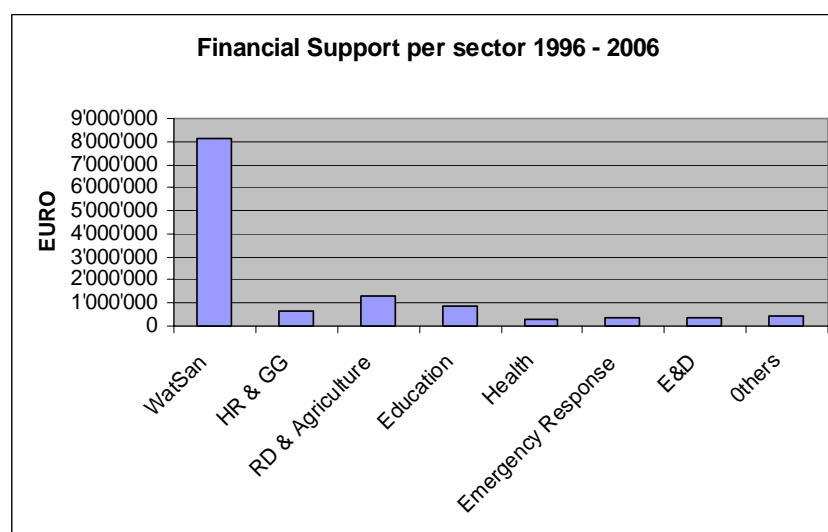


Chart 6: Actual financial disbursement of ADC in Kenya from 1996 to 2006

Source: own compilation based on ADA data bank Landesauswertungen Kenia

The sector-wise allocation of ADC in Kenya shows strong emphasis on the Water & Sanitation Sector with comparatively modest contributions to other sectors. Nearly 70% of the funds are allocated within the W&S Sector. Being a smaller donor with an average annual disbursement around one Million Euro the areas of intervention are fairly wide and unfocused. In fact, this clearly prioritized allocation of funds to Water and Sanitation corresponds to Austria's 'preferred' focus but stands in contrast to the 'fairly typical small donor pattern'⁵⁷ which ADC usually applies in countries of the South. I.e. ADC usually lays stronger emphasis on activities in the social sector with comparatively small amounts provided for infrastructure.

Chart 7: Actual financial disbursement on sectors in Kenya from 1996 to 2006



Source: own compilation based on ADA data bank Landesauswertungen Kenia

The coherence of the programme suffers from a discrepancy between too many sectors and too limited financial possibilities. The financial disbursement reflects

⁵⁷ DAC Peer Review 2004, p. 28
ADA Evaluation Kenya

the observations made above under programming, i.e. the portfolio is mainly defined by the orientation of the respective Austrian development actor who is in charge of the intervention or – more important – who initiated the ADC intervention.

3.3.3 Funding Instruments

'Project support' is the implementation modality almost used exclusively in the Kenya programme. Most of the interventions are relatively small in terms of budget and implemented by local or Austrian NGOs. Around 25% of the financial contributions were granted under the Austrian NGO co-financing framework.⁵⁸ The dialogue with the organization responsible for the project implementation is mainly led by ADA Headquarters which know the partners like Horizont3000, ICEP or Respect long enough and everybody is used to each other.

But how to accompany direct ADC intervention, particularly when no Coordination Office is around?

The share of Austrian programme based co-operation is small in Kenya and applies only to NCEP with its donor basket in the sector Human Rights & Good Governance. One reason for this situation is that Kenya is not a priority country and therefore has no coordination office in Nairobi. The direct representation was maintained during all the years by the Austrian Embassy in Nairobi even though the management of development activities is not their main task.

In the specific case of NCEP (compare section 3.2.2.) the involvement of the Austrian Embassy was most useful and contributed to the excellent reputation of ADC among the donor community. However, the involvement in donor coordination and policy dialogue is time-consuming and from a programmatic point of view requires a close rapport with headquarters (MFA & ADA). In the beginning of a programme a lot depends on the negotiation between the donor agencies (or in case of the SWAp negotiations between donors and national Government) which requires a close physical presence of a donor.

The current cooperation between the Austrian Embassy in Nairobi and ADA (Kenya desk in Vienna) is based only on mutual understanding but has no formal arrangement. There is only a general agreement between the MFA and ADA which regulates the cooperation between Austrian Embassies and Austrian Coordination Bureaus⁵⁹. Questions about the representation of ADC in a cooperation country (respectively in a partner country with regional focus) remain open in this agreement. For the type of inputs required in a systematic approach to donor coordination in the context of harmonization and alignment these arrangements are not sufficient as they depend too much on the interest of the involved ambassadors. In other words, there is no institutional guarantee that ADC's policy interests are taken care of by the Austrian Embassy.

⁵⁸ Basis for the calculation was the data bank of ADA ('Landesauswertung Kenia 1996 – 2006'). To set this in relation to interventions in a priority country, eg in Uganda the interventions based on NGO-cofunding amount to the registration of 33 financial contributions compared to a total of 263 registered financial contributions in the same period.

⁵⁹ Vereinbarung zwischen dem Bundesministerium für Auswärtigen Angelegenheiten und der Österreichischen Gesellschaft für Entwicklungszusammenarbeit m.b.h. ADA, 30.04.2004

An alternative can be the instrument of 'delegated cooperation', which is successfully applied by ADC in Rwanda. As ADC is not present there, the Netherlands represent ADC interests in the donor committee on the ground. However, the project assessment shows that this instrument has its limitations: Obviously the instrument works only in consolidated programme phases when programme structures, cooperation procedures and/or stakeholder tasks and roles are clarified and a consensus has been reached. There is however a risk that at a later implementation stage of a programme, certain scepticism among some donors remains because it is easy to assume that the present donor uses the additional voice for 'voting in its own interest.

4 Conclusions

4.1 Achievement of Results and Comparative Advantages of ADC in Kenya

The shift from a 'de-facto' country programme to a regional programme requires a distinction between "looking back" (assessing output/outcome of ADC interventions in the past) and "looking forward" (anticipating conditions and requirements for future ADC interventions).

Looking back

In general, ADC's interventions on project level are relevant with regard to the needs of beneficiaries and are in line with national Kenyan priorities and with ADC's own strategies. The projects are effective as the intended results on output as well as on outcome level are achieved.

The success of these projects is often linked to a long-term, strong partnership between the involved organizations, i.e. local and Austrian implementing partners. Accordingly, these organizations have accumulated considerable know how and experience related to these projects. ADC benefits from this year – long partnerships and substantial knowledge as it indirectly shapes the comparative advantages of ADC:

- The **target group orientation**, a characteristic of ADC which has its roots probably in the long-standing and strong involvement of NGOs in the Austrian cooperation. It has helped to accumulate a lot of know how on appropriate approaches. The close interaction of committed Austrian experts from the different agencies (NGOs, MFA, ADA, Embassy, consultants) with the local partners is an important factor for the relevance of the projects. In combination with the rather long-term commitment of ADC, the reputation of ADC is that of a reliable development partner.
- The **process orientation** of ADC. The formulation of programmes and projects is seen as a process of consensus building between the various actors, to establish a mutual understanding about content and approaches, tasks, roles and responsibilities. It allows to integrate the actors' own (political/institutional/ etc.) agenda (e.g. NCEP) and to adapt to new situations and changed requirements (e.g. KWAHO in the context of the water sector reform).
- **Linking practical field level experience with the policy level** to inform the policy development (particularly the W&S sector support).

The considerable variety of implementation arrangements and partners provides for diversity in terms of approaches and levels of intervention, which can be positively seen as an advantage for finding the appropriate solution/approach for each situation. But the observed lack of coherence and concentration in the Kenya programme has affected the efficiency: spending the budget in the same sector (i.e. water & sanitation) on different sub-sectors and applying different approaches led to a situation where the appropriate approaches developed could not be scaled-up. Subsequently, the Austrian contribution in the sector did not reach the critical size necessary to influence the sector as a whole.

Similarly, the isolated design and implementation of the interventions did not allow to create synergy among projects (e.g. UNIDO and ICEP in economy) or to exchange of experiences.

Last but not least the multitude of implementation arrangements increases the transaction cost for project management.

Looking forward

Whereas coherence may not have been an explicit criterion for the programming in the past, it has a critical impact when **looking forward** with the aim to develop a regional programme.

- Due to the lack of programmatic links between the individual interventions it is difficult to see how elements of the current programme can be integrated into a regional approach with much higher requirements in terms of coherence.
- The diversity of the programme did not allow to capitalize the existing know how and experiences which is now an obstacle to utilizing / mobilizing it for the regional programme.
- To ensure that ADC as a small(er) donor can 'make a difference' and maintain visibility in a regional programme, coherence and concentration will become even more important as criteria because most likely the range of actors will be bigger and interventions will not be limited to the micro-level.

4.2 'Making a Difference' and Visibility

The assessment of the Kenya programme indicates that the perception of ADC by the partners in Kenya is not determined by its budget, but rather by ADC's presence and inputs into dialogue. In other words the physical presence or absence has a considerable effect on the perception and the programmatic influence of ADC as a donor and partner.

For instance, the active participation of ADC in the Donor Basket NCEP was highly appreciated by all donor agencies. The regular presence in the discussions allowed bringing to bear ADC's comparative advantage and approaches (i.e. target group- and process-orientation) in the programme, thus improving its effectiveness. The 'invisibility' of ADC in the water sector despite its long standing experiences and substantial contributions to the water sector reform confirms the importance of the presence among the donor community: ADC is not seen as a relevant actor by other donors involved in the SWAp. Even the fact that ADC is a very active lead agency in Uganda's SWAp in the W&S sector does not have an effect on the perception of ADC in Kenya.

The experience with the donor basket shows that, at least initially, a lot of time and direct presence has to be invested, for setting up the arrangement but also for representing ADC's concerns and principles in the agenda setting. Likewise the SWAp in the Water & Sanitation sector shows that smaller donors need to involve

very actively to influence the dialogue among donors and government with the aim to bring the own principles to bear.

Since such an active involvement in the design and follow-up of interventions, not necessarily at the level of the individual country but at the level of the organization or committee responsible for implementation requires ADC's presence 'on the spot'. Since it is resource-intensive (staff, time, competence) a concentration and bigger coherence of the ADC involvement will be a requirement for a regional programme, if ADC wants to make a difference and wants to maintain its profile, instead of simple funding.

4.3 (Improved) Programming and Strategic Steering required

The steering of ADC activities works well within specific lines of actions. On the other hand, the multitude of funding, implementation and monitoring arrangements, with the related 'semi-autonomy' of the stakeholders, makes it difficult to monitor assess and coordinate the various contributions to a country or regional programme as a basis for the strategic steering. The current division of tasks at the level of headquarters (MFA: multilateral / ADA: bi-lateral with a substantial part implemented by NGOs) in fact demands a strong(er) structure of ADA in the country itself, because it is only at this level where ADA would have direct access to the information needed for the effective coordination and steering of the programme.

Chart 8: Diversity of ADC Intervention

Overview about evaluated ADC Interventions

Sector	Project	Funding - Instrument	Implementing Agency	ADC Monitoring
W&S	Lower Tana & Maseno	TA for locale NGO	local NGO KWAHO	Monitoring Consultant
	Migori	NGO-Co-funding through Call for proposal	local Consulting Company	Horizont 3000
HR & GG	NCEP 1 & 2	Donor Basket	NCEP 1: Donors NCEP 2: local CSOs (NGOs)	Austrian Embassy, Nairobi
	Sexual exploitation of children in tourism	NGO-Co-funding (no initiative project!)	local NGO	Austrian NGO Respect
E&D	Investment & Technology	multilateral direct contribution	Investment Promotion Authority	UNIDO
	Income Generation and training	NGO – Framework contract	local NGOs	ICEP
Education	IPGL	Project contribution (continuous) 7	Egerton University	Austrian Academy of Sciences; Institute Mondsee

The evaluators have an ambiguous picture of ADC's performance in terms of programming. The formal basis (3-years strategic plan, guidelines, etc.) for programming exist, the processes for translating them into operational programmes (see 'Strategische Rahmenbedingungen') are defined and the need

for coherence between different budget lines in the frame of regional and country programmes is stipulated in guidelines and recommended by DAC. However, there are clear indications that the concept of regional programming is not yet shared among the relevant stakeholders (MFW, ADA, NGOs) or are not clear to them. The evaluators see a two-fold reason for this. Firstly, the way how the process for translating strategic guidelines into a coherent operational programme is implemented is not yet established well enough to achieve the necessary mutual understanding. Secondly it is the above mentioned difficulty of ADA under the given set-up to coordinate and steer the programmes effectively.

- Making the process of translating strategic guidelines into a coherent operational programme more inter-active and dialogue-oriented (as compared to the current more formal exchange). The aim should be to get the views of all relevant stakeholders (MFA, ADA Vienna and Kobüs, NGOs) at an early stage of the process to arrive at a mutual understanding as a basis for a coherent programme.
- Clarifying the coordination of MFA- and NGO-implemented programmes with ADA as the main responsible for steering the overall programme implementation.
- Strengthening the local support structures of ADA, i.e. at least clarifying the scope of the Embassy in developing and supervising projects (relation between Embassy, ADA and the regional Cooperation Office), respectively reviewing the need for ADA's own local structures.

5 Recommendations

5.1 General Considerations

The recommendations are based on the assumption⁶⁰ that any activity of ADC in Kenya ultimately should be part of a coherent regional programme. This raises the question whether and how (current) projects and programmes in Kenya shall be integrated into a future regional programme? It means that among the existing commitments some may become part of the regional East Africa programme, while others will be phased out.

5.2 Recommendations

R1 Clarification of Regional Approach

Since it is already decided that any future support to Kenya will be part of a regional programme for East Africa, the first step to systematic planning will be a clarification regarding the type of **regional approach** that is suitable and realistic for ADC in this region.

We recommend to distinguish the following **types of regional approaches**:

- 1) Support to regional initiatives (which are programmes in themselves) or regional institutions / organizations for the implementation of programmes and projects which address needs that concern a whole region and basically can be fulfilled only through collaboration among stakeholders across the whole region.
(Approach 1)
- 2) Support to programmes which address cross-border issues, i.e. mutual needs of neighbouring countries which require joint or at least coordinated action among these countries (e.g. water resource management).
(Approach 2)
- 3) Systematic exchange of knowledge and experiences between programs and projects in neighbouring countries, which aims at establishing regional knowledge basis / networks such as South-South cooperation in the field of research.
(Approach 3)

R2 Choice of Regional Approach

We recommend making **a specific and well-founded choice of the regional approach**.

Even though the three approaches could basically co-exist in one regional programme, we recommend to focus only on one or two approaches. This will

⁶⁰ Based on undated documents of MFA concerning Regional Programme East Africa
KEK CDC Consultants/Zurich

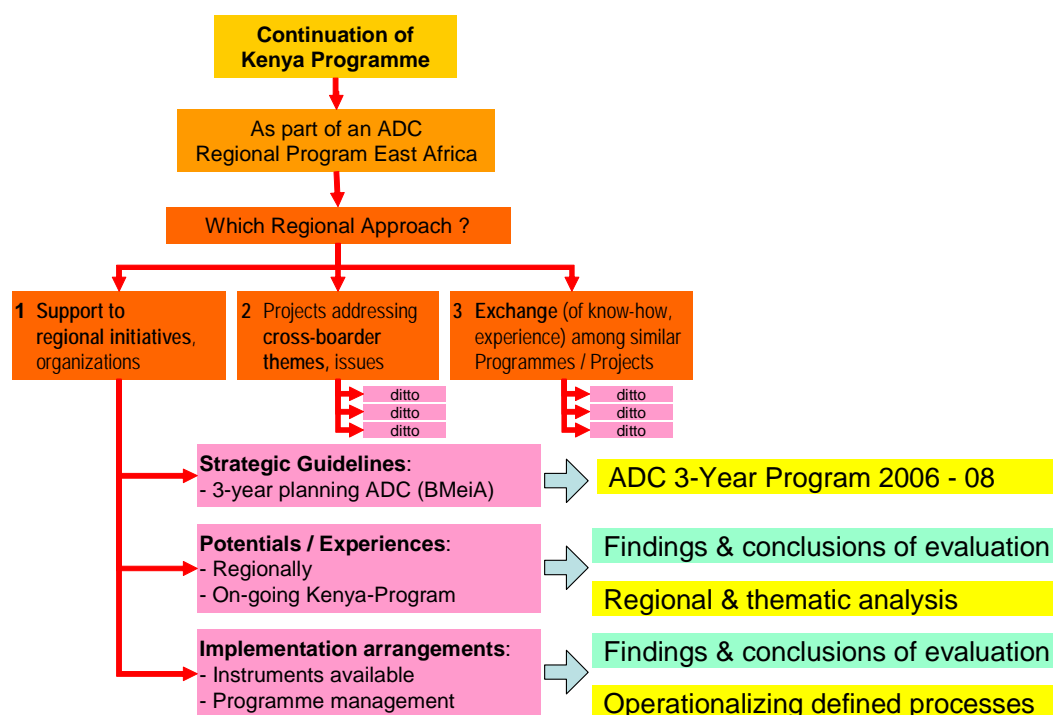
ensure that the programme is really conceived as a regional programme. While applying all three approaches in one programme the risk is high to add on an arbitrary series of project interventions. As a result a country programme will be established.

The choice of the regional approach needs to be guided (at least) by the following three dimensions:

1. Strategic orientation of ADC (as defined in the Strategic Guidelines)
2. Analysis of potentials and experiences with regard to possible themes or sectors
3. Analysis of the potential cooperation partners in terms of their objectives and capacities and in terms of suitable implementation arrangements

To some extent the findings and conclusions of this evaluation provide a basis for decision related to the last two dimensions. However, they have to be supplemented by further analysis of regional and thematic potentials (because the evaluation only covers Kenya) and by the identification of suitable implementation mechanisms. The first dimension is mainly defined by the ADC 3-year programme.

The figure visualizes the elements to be considered for arriving at a choice.



R3 Specific Recommendation regarding a Choice

The evaluation of the Kenya programme is but one 'building block' for defining a regional programme East Africa. In fact, given its status within ADC's regional portfolio it is not even the most important element. If ADC really goes for a *regional* programme linked to *regional* needs, current ADC country programmes are at least as relevant and the important themes are primarily not the ones addressed in the Kenya programme.

Based on above considerations, we recommend giving **priority to approach 1** when designing the regional programme with the **option to add elements according to approach 3** where relevant potentials are given.

Approach 2 should not be emphasized, because our assessment indicated that the commitment for cooperation on cross-boarder issues is not strong at present and mixing all approaches in one regional program tends to dilute the regional dimension.

To support this recommendation and to provide an assessment of potentials and challenges for a regional program from the perspective of the Kenya program, based on the evaluation results, the three approaches are elaborated below.

Approach 1

Rationale:

- Genuine regional approach addressing locally identified needs

Regional initiatives or organizations are very likely to develop around common needs perceived by a number of countries in the region.

- No own structure needed in Kenya

Assuming that Kenya will be one of the countries covered by the initiative / organization, it will be sufficient for ADC to have a local representation where the regional organization has its base.

- Allows to shape EU-programmes

EU-programmes tend to be designed with a regional perspective (at least in terms of coverage / not necessarily in terms of regional issues) or they are actually supporting regional initiatives / organizations. The practical experiences of ADC in Kenya and the region can be capitalized to form the approaches applied in EU-programs and to support harmonization among donors.

Challenges and Requirements on the part of ADC:

- An analysis of existing regional organizations, initiatives or programmes is needed to assess whether they are coherent with the strategic orientation / objectives of ADC as formulated in the 3-year programme.
- Active strategic planning is required, because an involvement of this kind is probably rather long-term and financially bigger than ordinary projects.
- Sufficient capacity and expertise at the Coordination Office in Kampala is required for the initial dialogue leading to a possible partnership and for the follow-up of the support.
- Capitalizing and promoting ADC's comparative advantages in order to have an specific offer / contribution and (by that) to position ADC as a smaller donor.
- Monitoring of the effectiveness of the ADC-contribution in bigger programmes requires adequate methods.

Potential of Elements of Kenya-Program

Water and Sanitation

The specific experiences and approaches of ADC in water sector reform and SWAp, combined with similar experiences in other countries of the region, provide a basis for participation in regional programmes set-up by the EU or World bank. The question is whether water and sanitation is really a regional issue of the kind discussed here and whether donor programmes are really regional initiatives if they operate on the regional level. For the 'Integrated Water Resource Management' - a focus for a regional programme according to ADC's 3-year programme – the Kenya programme has less to offer.

Governance

The experiences of governance projects in Kenya have little in common with ADC's strategic orientation for governance given in the 3-year programme, i.e. decentralization and local justice.

Trade and Investment Promotion

This is an area where regional organizations and programmes exist and where the experiences of ADC in Kenya are relevant. In particular the cooperation with UNIDO has a good potential because it is already a regional programme and trade on this level needs to be tackled with a regional perspective.

The promotion of SME respectively micro-enterprises (ICEP-programme) can be seen as a supplementary approach to trade promotion provided there is a tangible link between the production of these SME and regional and international trade. The interventions of ICEP in Kenya are certainly relevant for poverty alleviation in the specific local context (area of intervention) but it has no linkages to trade promotion on a regional level. Therefore it is hardly a suitable element of a coherent regional approach of the type discussed here.

Approach 2

Rationale:

- Exploiting experiences of ongoing programme in Kenya (e.g. Water and Sanitation)

Other than approach 1, this approach builds more on current *national* programmes and projects with a regional (cross-boarder) dimension. Therefore, it may be easier to integrate on-going national projects, given that they really address aspects where a mutual interest among neighbouring countries exists.

- Potentially high relevance

If themes are identified that are a genuine need for the concerned population and related problems can only be tackled through cooperation among neighbouring countries, the approach can be highly relevant. However, it also requires the (political) will of the concerned governments to cooperate, a condition which is not necessarily given, even with relevant themes because they are often linked to sensitive political issues (e.g. cross-boarder migration).

Challenges and Requirements on the part of ADC:

- To the extent that the evaluation was able to assess the situation, it might be difficult to identify themes relevant for the local context which can be linked to capitalizing experiences of the on-going ADC-programme in Kenya. In addition, interview partners opined that the political commitment to work jointly on important cross-boarder issues is not very strong. The national interests dominate clearly regional policies and strategies.
- Since programmes related to this approach are likely to be managed on a national level, a minimal support structure of ADC in Kenya would be required, unless other donors supporting the same theme with their own structure would be in the position to take over delegated implementation for ADC.
- Also for this approach a regional office of ADC (i.e. Kampala) would have to allocate sufficient capacity for dialogue and follow-up of the programmes in Kenya.

Potential of Elements of Kenya-program:

Water and Sanitation

The current experiences in this sector do not relate to cross-boarder / trans-national issues. The only relevant theme in this sector appears to be water resource management, where current experiences of ADC are limited.

Governance

The issues covered by the current projects do not relate to trans-national problems which are more in the field of conflict prevention and peace. Therefore, an involvement in this theme depends on possible ADC experiences and involvements in neighbouring countries.

Trade and Investment Promotion

Provided bi-lateral trade initiatives between countries in the region exist, this could be an area of support where some of the experiences of the on-going programme could be of interest. However, it is more likely that this theme is dealt with on a regional level as per approach 1.

Approach 3

Rationale:

- Potential of ongoing programme in Kenya combined with strategic priority

Regional exchange in the area of education and applied research is the most relevant area for this approach. It is a good vehicle to support institutional capacities in an area where building regional know-how and regional exchange is an important element of development. Accordingly this is also a priority of the 3-year programme of ADC for the region. The support in the field of Limnology under of the on-going ADC-programme in Kenya has a good potential to be expanded to a regional programme or network.

- Minimal support structure in Kenya sufficient for follow-up

Compared to projects and programmes in other sectors where support requirements usually higher, this type of project could work with minimal support

structures, i.e. possibly with some support from a regional office combined with support from Austrian partner institutions that can be part of an exchange network.

- Can be an add-on to approach 1

Programmes under this approach do not make up a whole regional programme but they can be a good supplement to the other two approaches, particularly if they cover a thematic area where synergies with other programmes are given (e.g. limnology and water resource management)

Challenges and Requirements on the part of ADC:

- An analysis of regional relevance of potential programmes and in particular of the interest and commitment of local organizations (national or regional) to set up a regional collaboration and network is needed and important. If these two aspects are not ensured, it will be difficult to achieve a regional coverage.
- To be effective and to integrate Austrian know how in a South-South exchange, ADC-support should focus on a few and only those initiatives, where ADC respectively Austrian stakeholders can provide a comparative advantage and own competence.
- While the approach does not require specific support structures at national level, sufficient capacity in the regional office is needed for dialogue, particularly while setting-up a programme and for adequate follow-up during implementation.
- Experience shows that exchange programmes between projects and programmes which are not linked with education and/or research networks (e.g. visiting programs between agricultural or water programs, etc. organized by the projects) are important means for facilitating and improving programme implementation. However, they cannot be considered as real regional exchange activities since they lack a sustainable institutional base.

Potential of Elements of Kenya-programme:

Limnology

Obviously this programme has a good potential because it concerns a topic relevant for all countries in the region, a basis in the region has been established and it lends itself to an increased interaction between Austrian (European) competence centres and a South-South network.

Water Sector Reform

This might be an area with a certain potential for regional exchange. However, it is likely to be limited to a temporary exchange with little scope for building a long-term exchange network, because its purpose may become redundant, once the reforms are implemented successfully. It would require a continued involvement in Kenya in Water and Sanitation sector.

R4 Structured, dialogue-oriented Programme Planning Process

We recommend developing **the Regional Programme within a well structured planning process** that builds on the discussion among the key partners and not only on the formal framework.

The regional programme has to build on the capitalized experiences of the implementing partners and on a mutual understanding about its strategic orientation and the basic elements of its content. A process to achieve this should consist at least of the following elements and steps:

1. **Analysis of all existing country programmes** with regard to experiences and potentials under a regional approach. (rather a 'stock-taking' and its analysis than an extensive evaluation as in the case of Kenya).
2. **Assessment of regional initiatives and/or organizations** with regard to their potential coherence with ADC's strategic objectives and ADC's operational experiences and competence.
3. **Preparation of a synthesis** of these assessments and analysis as a basis for a workshop.
4. **Tentative outline of a regional programme** developed by key actors of MFA and ADA as a basis for preparing a planning workshop.

Objective: definition of the broad lines of the regional programme, to define the scope of and participation in the planning workshop.

5. **Workshop with key stakeholders:**

- ADC: MFA, ADA, NGO's with a possible stake / role in a future programme plus relevant Austrian Ministries
- National and regional partners with relevant experience and/or a possible stake / role in a future programme
- Multilateral agencies with a possible stake / role in a future programme

Objective: Definition of the strategic orientation and of the key elements of a future regional programme

6. **Drafting of the regional programme** by a task force of MFA and ADA
7. **Consultation** of draft among key stakeholders (mainly Austrian actors and major partners of the future programme)
8. **Finalization** of regional programme by MFA and ADA

R5 Strengthen Local Structures of ADC

We recommend to **strengthen local structures of ADA in the region**, to the extent that ADA is in the position to fulfil its task of coordinating the different interventions of ADC effectively and to participate adequately in the dialogue with local partners (government, regional organizations, etc.) and other donor in the context of alignment and harmonization. Depending on the shape of the regional programme this can either mean **a strong regional office** with capacity to follow-up closely activities in the individual countries **or a regional office with 'satellites' (sub-offices with local staff) in countries** where a major programme part (e.g. a sector programme) is implemented.

Annex 1:

Leistungsbeschreibung/Terms of Reference („TOR“)

Hintergrund

Zum ersten Mal in der Geschichte der OEZA wird ein „De Facto Programm“ der Österreichischen Entwicklungszusammenarbeit in einem Partnerland – wo kein österreichisches Koordinationsbüro vor Ort ist – evaluiert. Verschiedenste Partnerorganisationen waren während der letzten 20 Jahre gemeinsam mit ihren kenianischen Partnern engagiert. Ein weites Spektrum an Aktivitäten und Sektoren wurde dabei abgedeckt.

Derzeit ist Kenia Teil des regionalen Programmierungsprozesses und einer neuen Strategie für Ostafrika. Aufgrund des Fehlens eines Koordinationsbüros haben das regionale Büro in Kampala sowie der Desk und die Sektorreferenten in Wien eine relativ wichtigere Stellung im Programmierungsprozess. Auch die Österreichische Botschaft in Nairobi hat Verantwortung für das Projektmonitoring übernommen.

Die aktuellen politischen Rahmenbedingungen in Kenia begünstigen die Entwicklungszusammenarbeit mit Kenia. Die Regenbogenkoalition (NARC) gewann die Wahlen 2002 und hat eine Verwaltungsreform eingeleitet. Daraufhin verabschiedete die Regierung eine „Economic Recovery Strategy for Wealth and Employment Creation 2003 – 2007“ im Juni 2003. Vor einem Referendum zur Verfassung im November 2005 zerfiel die Regierungskoalition und erlitt eine Niederlage. Mit Blick auf die nächsten Wahlen (Ende 2007) wird Präsident Kibaki wahrscheinlich für die neu geschaffene NARC-Kenia Partei kandidieren. Die Opposition hat sich inzwischen – benannt nach der erfolgreichen Allianz während des Referendums - als „Orange Democratic Movement“ (ODM Kenia) wiedervereint.

Kenia wird durch eine lebhafte Zivilgesellschaft und eine große Zahl an NROs charakterisiert. Diese war auch ausschlaggebend für den Regimewechsel 2002 und spielt für die Wahlen 2007 eine wesentliche Rolle.

Es kam mittlerweile zur Schaffung eines institutionellen Rahmens um Korruption zu bekämpfen. Dennoch bleibt für die Gebergemeinschaft das Thema der Good Governance ein Anliegen.

Die makroökonomische Wachstumsrate lag zwischen 1997 und 2005 bei niedrigen 1,5%, ein Wert der unter der Bevölkerungswachstumsrate von geschätzten 2,5% liegt. Dies führte zu einem Rückgang des Pro-Kopf Einkommens. Die Hauptgründe für das langsame Wachstum waren a) schwache Kapazitäten für die Umsetzung von öffentlichen Diensten, b) niedrige Förderungen internationaler Geldgeber, c) Trockenperioden und Probleme mit der Umwelt, d) Herausforderungen im Bereich Good Governance.⁶¹

In den vergangenen Jahren stieg die Armut insgesamt an: Derzeit leben geschätzte 17 Millionen Kenianer unter der Armutsgrenze, was einen Bevölkerungsanteil von 56% ausmacht.

Die BNP Wachstumsrate erhöhte sich 2004 auf 4,3% und erreichte 5,8% im Jahr 2005. Für 2006 war eine Wachstumsrate von 5,5% vorhergesagt, was ein Zeichen dafür ist, dass die Reformen der Regierung begonnen haben zu wirken, trotzdem die Ungleichheit im Land weiterhin besteht.

Während der letzten 10 Jahre konzentrierte sich die OEZA in Kenia hauptsächlich auf die folgenden Sektoren:

- Wasser & Abwasser
- Demokratisierung und Menschenrechte
- Höhere Bildung, Wissenschaft und Forschung
- Wirtschaft und Entwicklung
- Ländliche Entwicklung
- Andere Sektoren im Rahmen des NRO Kofinanzierungsinstruments

Die OEZA wurde durch verschiedenste Instrumente umgesetzt: Multilaterale Projekte, Projekte aus den Länderbudgetlinien, NRO kofinanzierte Projekte, sowie Projekte aus Sektorbudgets. Generell ist die Kooperation mit Kenia durch eine starke bilaterale Umsetzung und durch NRO basierte Projektzusammenarbeit geprägt. In Kenia kamen Instrumente wie ein „Donor Basket“, sektorielle Budgethilfe oder Entwicklungsfonds vorwiegend während der letzten fünf Jahre auf.

Diese Evaluierung geschieht auch im Rahmen einer sich verändernden Programmierung für Partnerländer. In der Pariser Erklärung haben sich Geberländer (inklusive Österreich) und die Partnerländer sowie internationale und zivilgesellschaftliche Organisationen verpflichtet, ihre Anstrengungen zu harmonisieren und anzupassen (Harmonization & Alignment). Darüber hinaus empfiehlt eine Analyse der Österreichischen

⁶¹ UN MDGs Status Report Kenia 2005

Entwicklungszusammenarbeit des OECD Entwicklungskomitees (2004) eine stärkere Konzentrierung in der Programmierung, geografisch wie sektoriell. Die Gebergemeinschaft geht in der Entwicklungszusammenarbeit von der Projektebene auf die strategischere Programmierungsebene über. Eine weitere Tendenz ist es, von gebergesteuerten zu stärker vom Partnerland definierten Programmen überzugehen.

Darauf aufbauend werden in Ostafrika, wie in allen OEZA Regionen, regionale Ansätze entwickelt. Diese Programme sollen über Programme einzelner Länder hinausgehen und auch inhaltlich regional ausgerichtet sein.

6 Ziele

Zielsetzung der Evaluierung ist es auf den bisherigen Erfahrungen aufbauende Schlussfolgerungen und Empfehlungen abzugeben, die nützlich für die Programmierung der OEZA in Kenia und der ostafrikanischen Region sind.

Die Hauptziele sind:

- i) Die Schaffung eines besseren Verständnisses darüber, welche Instrumente am erfolgreichsten im Kooperationsland (ohne Koordinationsbüro) angewandt wurden.
- ii) Ableitung von Schlüssen, wie die Qualität der Programmierung und der Implementierung im speziellen Kontext eines Partnerlandes ohne Koordinationsbüro verbessert werden kann.
- iii) Das Verständnis des speziellen Beitrags und der Herausforderungen der OEZA im Kooperationsland Kenia zu verbessern.
- iv) Zur Schaffung eines klareren Profils der OEZA in Kenia, als Beitrag zur nationalen sowie der regionalen Programmierung beizutragen.

7 Gegenstand und Fokus der Evaluierung

Die Evaluierung deckt den Zeitraum von 1996 bis 2006 – die letzten zehn Jahre Entwicklungszusammenarbeit mit Kenia – ab. Die Analyse verläuft ganzheitlich, über die Projektebene hinaus.

Die Evaluierung wird sich auf folgende Aspekte der OEZA im Kooperationsland konzentrieren:

- a. **Relevanz** des Portfolios im nationalen und internationalen Kontext.
- b. **Effektivität** der Programmierung, Steuerung und Implementierung mit Schwerpunkt auf die angewandten OEZA Instrumente.
- c. Das **System und die Qualität des Monitoring und der Dokumentation** von Ergebnissen.
- d. Die **Teilnahme nationaler Stakeholder** in der Planung und Implementierung (Rollen und Verantwortlichkeiten)

Bei der Projektauswahl war es wesentlich einen guten Mix an verschiedenen Instrumenten, Partnern und Ansätzen zu finden. Die Projekte decken den ganzen Zeitraum von 1996 bis zur Gegenwart ab. Es werden folgende Projekte für die Evaluierung in folgenden Sektoren vorgeschlagen:

A. Wasser

- 1. Rural Water Supply and Environmental Sanitation in Lower Tana and Maseno (lokale NGO KWAHO, Kenia Desk) und
- 2. Migori Town Water and Sanitation Programme (Horizont3000, Kenia Desk)

B. Menschenrechte und Good Governance

3. National Civic Education Programme (Donor Basket, nationwide, Botschaft und Kenia Desk)
4. Maßnahmen gegen sexuellen Missbrauch (NGO Respect über die NGO KoFinanzierung, nationwide)

C. Wirtschaft und Entwicklung (W&E)

5. ICEP Rahmenvertrag (ICEP zuerst über KPC und später im Rahmen, Partner in Nairobi)
6. UNIDO Investment & Technology Programm in Kenia und Uganda
(über Sektion VII.1 Multilateral, UNIDO Büro in Nairobi, regionaler Anspruch)

D. Höhere Bildung, Wissenschaft und Forschung

7. International Postgraduate Training Programme in Limnology (IPGL)
8. Nord-Süd-Dialog-Stipendienprogramm

Mit dieser Auswahl werden die Instrumente NGO KoFinanzierung, Rahmenprogramm, Multilaterale Beiträge, ein Donor Basket, Projekte aus der thematischen Budgetlinie Bildung und Projekte aus einer Länderbudgetlinie bedacht. Zudem wird jeweils im Bereich Menschenrechte & Good Governance, und im Bereich W&E die NGO Kofinanzierung (oder der kofinanzierte Rahmen) multilateralen Instrumenten gegenübergestellt.

8 Hauptfragen

A Relevanz

- Wie kann der österreichische Beitrag in Kenia vor dem Hintergrund der Ziele, Prinzipien, Prioritäten und Interessen der OEZA am besten in das zukünftige Regionalprogramm für Ostafrika integriert werden?
- Was war und ist der komparativ besondere Beitrag der OEZA in Kenia?
- Wurden Entscheidungen über das frühere Portfolio und gegenwärtige regionale Programmstrategien getroffen auf der Grundlage von:
 - i) Änderungen im Partnerland und der dortigen Situation, mit Bezug auf relevante Sektoren.
 - ii) Änderungen der nationalen Politiken und Strategien sowie der lokalen Prioritäten (z.B. durch die Einführung von SWAPs).
 - iii) Neue Einblicke und Erfahrungen aus dem jeweiligen Programm- und Projektzyklus.
 - iv) Monitoring und Reporting der Aktivitäten.
 - v) Änderungen der OEZA Politiken und Prioritäten (wie Prinzipien und Sektorpolitiken).
 - vi) Der Einführung von Poverty Reduction Strategy Papers und der Millennium Entwicklungsziele (MDGs).
 - vii) Weitere Aktivitäten der Geldgeber, internationaler Organisationen und NROs sowie Veränderungen in der internationalen Entwicklungspolitik insgesamt.
- Haben relevante öffentliche Stellen und andere Kenianische OEZA Partner Eigenverantwortung für die Aktivitäten und Ziele entwickelt?
- Wie haben die österreichisch – kenianischen Erfahrungen die Entwicklung von thematischen und regionalen Politiken beeinflusst? Wie haben die konkreten Ergebnisse auf die Politik und Strategieebene zurückgewirkt?
- Wurden Querschnittsmaterien in die Strategien und Projekte zeitig und adäquat integriert?

B Effektivität & Effizienz

- Was waren die Methoden und Prozesse der Projektidentifikation (Rollen und Verantwortlichkeiten)?
- Wie wurden in der Vergangenheit Partner (Regierung, Zivilgesellschaft, Multilaterale Organisationen) der OEZA ausgewählt?

- Welche Anstrengungen wurden unternommen, um Ansätze und Aktivitäten in Kenia mit Programmelementen und Projekten in Nachbarstaaten zu verbinden? (Überprüfung bereits bestehender regionaler Ansätze)
- Haben österreichische NROs einen eigenen programmatischen Ansatz für die Implementierung der OEZA (ko)finanzierten Projekte verfolgt?
- Waren die Strategien und Ansätze der NROs konform mit den Entwicklungsstrategien Kenias, sowie den Politiken und Strategien der OEZA?
- Was sind die wichtigsten Lessons Learned für österreichische NROs in Kenia?
- Wie fand der Wissenstransfer zu und die Kapazitätsentwicklung von lokalen NROs durch die österreichischen Partner statt?
- Wie effektiv und effizient wurde bei den Projekten Monitoring und Dokumentation betrieben? Welche anderen Feedback Mechanismen wurden angewandt?
- Wie effektiv war die Einbindung des Koordinationsbüros in Kampala?
- Wie effektiv war die Einbindung der österreichischen Botschaft in Nairobi?
- Wie können die Lessons Learned durch die Einbeziehung der Botschaft und des Regionalbüros am besten im Kontext des Programmmanagements und der Strategieentwicklung angewandt werden?
- Wie wurden Strategien für den Ausstieg aus bestimmten Sektoren und Projekten angedacht? Wurden der Nachhaltigkeit förderliche Ausstiegsszenarien erfolgreich umgesetzt?

C Programm Konsistenz, Kohärenz und regionaler Fokus

- Wie kohärent waren die kofinanzierten Projekte mit den Projekten aus den Länderbudgets und den Sektorbudgets, sowie mit multilateralen Projekten (Portfolioanalyse)?
- Kann im Falle Kenias der Anspruch auf Kohärenz der NGO Kofinanzierung mit anderen Budgetlinien gestellt werden?
- Wie kohärent waren die OEZA Aktivitäten mit den Politiken und Entwicklungsstrategien Kenias?
- Wie kohärent waren die OEZA Aktivitäten mit den Programmen und Projekten anderer Geber?
- Wie kohärent waren die ausgewählten Sektoren unter sich? Kam es zu gegenseitigen Stützungseffekten bzw. zur Anwendung eines systematischen Gesamtansatzes?
- Wie hat die OEZA auf Herausforderungen im Bereich Good Governance in Kenia reagiert?
- Wie wurden die lokalen Schwerpunkte innerhalb Kenias gesetzt? Gab es einen kohärenten Ansatz für eine lokale Schwerpunktsetzung?

Vom Evaluierungsteam wird erwartet, dass die Liste der gestellten Fragen im Rahmen der Evaluierung vertieft behandelt bzw. allenfalls mit relevanten, weiteren Fragen ergänzt wird.

9 Ansatz und Methode

a. Die Ausschreibung:

Entsprechend der Einladung und Ausschreibungsunterlage sind folgende Darstellungen in den Dokumenten vom Bewerber zu übermitteln:

- Inhaltliche Kommentare zu den Terms of Reference
- Eine Darlegung des theoretischen und analytischen Ansatzes der Evaluierung
- Die vorgeschlagene Zusammensetzung des Evaluierungsteams mit Lebensläufen
- Ein Kostenvoranschlag für den Auftrag
- Darstellung der Firma /des Bewerbers

Das Angebot soll also das theoretische und methodische Herangehen an die Evaluierung und an ihre Schlüsselfragen darlegen und erläutern.⁶² Die entsprechende Kompetenz ist das entscheidende Kriterium für die Auswahl des geeigneten Bewerbers. Für eine detaillierte Auflistung der Kriterien der inhaltlichen Bewertung siehe Kapitel 6 (Verfahrensablauf, Zuschlagskriterien).

Der erste Abschnitt der Evaluierung ist die Startphase und Dokumentenstudie und umfasst folgende Schritte:

- a) die erste Runde an Konsultationen;
- b) Studie von relevanten strategischen und operativen Leitlinien, Landesprogrammen und Projekten, sowie von NGO Länder Programmen und Projekten (Achtung: ein Grossteil der Projektdokumentation ist nur in deutscher Sprache abgefasst);
- c) Interviews mit Schlüsselpersonen für Programmentwicklung und –steuerung (BMAA bzw. ADA), sowie mit den Projektzuständigen in den Durchführungsorganisationen und Fachleuten, die über relevante Sektoren kompetente Auskunft geben können;
- d) Konsultationen mit dem Koordinationsbüro in Kampala und mit der Österreichischen Botschaft in Nairobi sollten helfen, die Feldbesuche vorzubereiten.
- e) Kriterien, um die Antworten auf die während der Feldreise gestellten Hauptfragen zu bewerten. Adäquate Methoden zur Informations- und Datensammlung, Verarbeitung und Analyse und genaue Orte für die Feldstudien und Interviews. Im zweiten Abschnitt der Evaluierung werden die Feldstudien gestützt auf lokale Fachleute und Hilfskräfte durchgeführt, die sowohl die Zielbevölkerung, als auch die lokalen und zentralen Regierungsstellen und die an der Implementierung der ausgewählten Projekte Beteiligten einbeziehen. Das Urteil von Dritten (andere Geber, relevante Kräfte der Zivilgesellschaft und andere) wird durch Interviews erhoben. Die Partnerorganisationen werden in alle Implementierungsphasen integriert.

Während der Feldphase wird das Evaluierungsteam von einem Vertreter der Stabsstelle für Evaluierung unterstützend begleitet.

Das Evaluierungsteam wird die Ergebnisse der Feldstudie in einem Workshop mit einem kurzen Feldbericht vor Ort in Nairobi präsentieren. Dieser Bericht wird mit allen Hauptbeteiligten (lokale und zentrale Regierungsstellen, Partnerorganisationen etc.) zur Stellungnahme übermittelt. Dieses Feedback ergeht an das Evaluierungsteam und an die Stabsstelle für Evaluierung.

Im dritten Abschnitt der Evaluierung wird das Evaluierungsteam einen Rohbericht erstellen und an die Stabsstelle für Evaluierung übermitteln. Nach Annahme des Berichts wird er an die Hauptbeteiligten (zentral und vor Ort) ausgesandt. Nach etwa 3 – 4 Wochen wird der Rohbericht dann vom Evaluierungsteam zentral in Wien vor BMAA und ADA präsentiert und zur Diskussion gestellt.

Auf der Grundlage der Ergebnisse dieser Diskussion und der Kommentare wird der Rohbericht vom Evaluierungsteam überarbeitet und in der Endversion an die Stabsstelle übermittelt. In Konsultation mit dem BMAA wird dann über die weitere Verbreitung entschieden.

10 Zeitplan (tentativ)

InteressentInnensuche / Bekanntmachung	November 2006
Ausschreibungsverfahren 2-stufig	November 2006- April 2007
Zuschlag / Vertrag	Mai 2007
Dokumentenstudie / Zwischenbericht	Mai 2007
Feldstudien / Diskussion dezentral	Mai/Juni 2007
Auswertung / Rohbericht	Juni/Juli 2007
Diskussion de/zentral/ Präsentation	Juli/August 2007
Endbericht / Endabrechnung	September 2007

⁶² Für formale Kriterien siehe Abschnitt I. Kapitel 5.5.

11 Das Evaluierungsteam

Das Kernteam sollte maximal aus zwei bis drei internationalen ExpertInnen und aus mindestens einer kenianischen ExpertIn bestehen. Das Team soll komplementäre Kompetenz und Expertise in den Bereichen Wasser & Abwasser, Menschenrechte / Good Governance, Bildung und Kapazitätsentwicklung, Gender, Wirtschaft und Entwicklung, Programmentwicklung und Management in der Entwicklungszusammenarbeit, Erfahrung im Bereich Landesprogrammevaluierung sowie im Bereich Harmonisierung & Anpassung vorweisen. Die ADA ermutigt zur Teilnahme von internationalen ExpertInnen aus Entwicklungsländern, im Sinne der Süd-Süd Kooperation.

Das Team der KonsulentInnen sollte mit dem internationalen Diskurs über Harmonisierung und Anpassung (H&A) vertraut sein und Erfahrung im Bereich Organisationsanalyse und Querschnittsmaterien der Entwicklungszusammenarbeit vorweisen. Es sollte gute Kenntnisse für Ostafrika nachweisen und die Englische Sprache beherrschen sowie mit deutschsprachigen Dokumenten arbeiten können. Das Team wird ergänzt durch mindestens eine nationale ExpertIn, die oder der lokales Wissen, sowie kulturelle und sprachliche Expertise relevant für das Kenia einbringt. Die Kompetenz und Expertise aller ExpertInnen muss durch Lebensläufe und Referenzevaluierungen nachgewiesen werden (Titel, Land, Kurzbeschreibung, Vertragspartner, Kosten, Anzahl der ExpertInnen).

Das Angebot soll das Ausmaß der Beschäftigung von ExpertInnen (in Tagen) dokumentieren, und in welcher Kapazität bzw. in welcher Rolle diese geplant ist.

12 Berichte

In Übereinstimmung mit oben angeführten Ausführungen sind vom Evaluierungsteam die folgenden schriftlichen Berichte zu erstellen:

Der Abschlußbericht der Evaluierung umfasst die Resultate der Dokumentenstudie und der Felderhebungen. Er sollte (ohne die Anhänge) nicht mehr als 60 Seiten umfassen. Das Format und die Gliederung des Berichts hat den ADA Leitlinien für Evaluierung zu entsprechen (siehe Anhang).

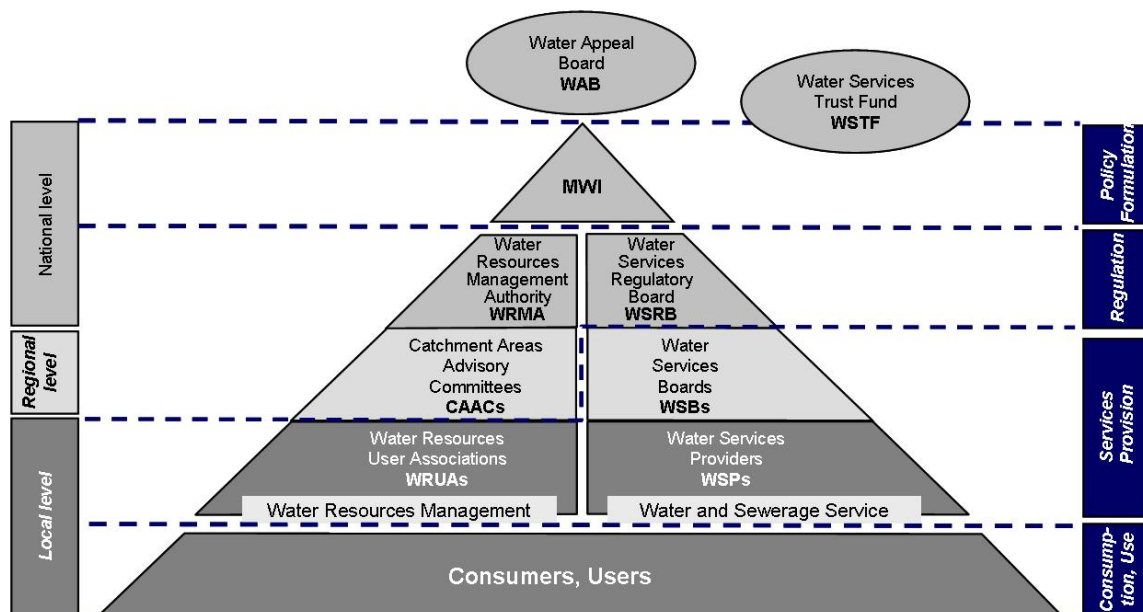
Der Rohbericht soll elektronisch **bis zum 30. Juli 2007** an die ADA übermittelt werden. Innerhalb von drei Wochen nach der Präsentation des Rohberichts in Wien ist unter Berücksichtigung der Kommentare von Seiten der ADA die Endfassung des Evaluierungsberichts zu erstellen (wieder elektronisch und in fünf Papierexemplaren). Die Endfassung muss in einer Form sein, die eine Veröffentlichung ohne weiteres Korrekturlesen ermöglicht. Der Auftrag umfasst weiters eine kurze 2 – 3 Seiten lange Zusammenfassung einschließlich der Schlussfolgerungen und Empfehlungen entsprechend der DAC Definition und Praxis. Alle Berichte sollen in englischer Sprache erstellt werden. Für die sprachlich korrekte Ausdrucksweise ist das Evaluierungsteam verantwortlich.

Die folgenden Kriterien werden bei der Beurteilung der Qualität des Evaluierungsberichts herangezogen und sind damit für die Abnahme des Berichts und des Auftrags mitentscheidend:

- Wurden die Terms of Reference entsprechend erfüllt und ist dies im Bericht reflektiert?
- Vermittelt der Bericht Einblick in das Konzept und die Methoden der Evaluierung, sowie in deren praktische Umsetzung?
- Sind die Erhebungsmethoden, die Ergebnisse und deren Begründungen in nachvollziehbarer Weise präsentiert?
- Stehen die Schlussfolgerungen und Empfehlungen in einem klaren Zusammenhang zu den Evaluierungsfragen und zu den Ergebnissen der Erhebung?
- Enthält der Bericht eine umfassende und klare Zusammenfassung?
- Wurden die wesentlichen Beteiligten konsultiert?
- Wurden die wesentlichen Dokumente berücksichtigt und ist ihr Inhalt entsprechend im Bericht reflektiert?
- Kann der Bericht so weiter verbreitet werden?

Annex 2:

Institutional Set-up in the Water Sector



Annex 3:

Kenya's status with respect to the Millennium Development Goals (select indicators) ⁶³:

	Baseline 1990	Most Recent 2005/06	MDG Target for 2015
1. Eradicate extreme poverty and hunger			
Target 1: Halve, between 1990 and 2015, the proportion of people under the poverty line.		45.9	
Target 2: Halve, between 1990 and 2015, the proportion of people who suffer from hunger.		45.8	
2. Achieve universal primary education			
Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (net enrollment ratio in primary education, Indicator 6)		83.2	100
Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (completion rate)		67.4	100
3. Promote gender equality and empower women			
Target 4: Eliminate gender disparity in primary and secondary education, preferably by 2005, and to all levels of education (gender ratio)		98.6	100
4. Reduce child mortality			
Target 5: Reduce by two-thirds, between 1990 and 2015, under-5 mortality rate	97	120	49
5. Improve maternal health			
Target 6: Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio	1000 (2000)		250
6. Combat HIV/AIDS, malaria and other diseases			
Target 7: Have halted by 2015 and begun to reverse the spread of HIV/AIDS (HIV prevalence among adults age 14–49)	10	6.1	
7. Ensure environmental sustainability			
Target 9: Integrate principles of sustainable development into country policies and programs and reverse loss of environmental resources (proportion of forested land area)	7	6	
Target 10: Halve, by 2015, the proportion of people without sustainable access to safe drinking water (proportion with access to improved water source)	45	61	73
Target 10: Halve, by 2015, the proportion of people without sustainable access to improved sanitation (proportion with access to improved sanitation)	40	38	70
8. Develop a global partnership for development			
Target 13: Aid per capita (current US\$)	50.6	19.0	Benefits of new technology.
Target 18: Fixed line and mobile telephones (per 1,000 people)	7.5	85	
Target 18: Personal computers (per 1,000 people)	0.3	13.2	

Sources: Government of Kenya statistics, World Bank World Development Indicators Database, UNAIDS.

⁶³ chart taken from Kenyan Joint Assistance Strategy, p. 19

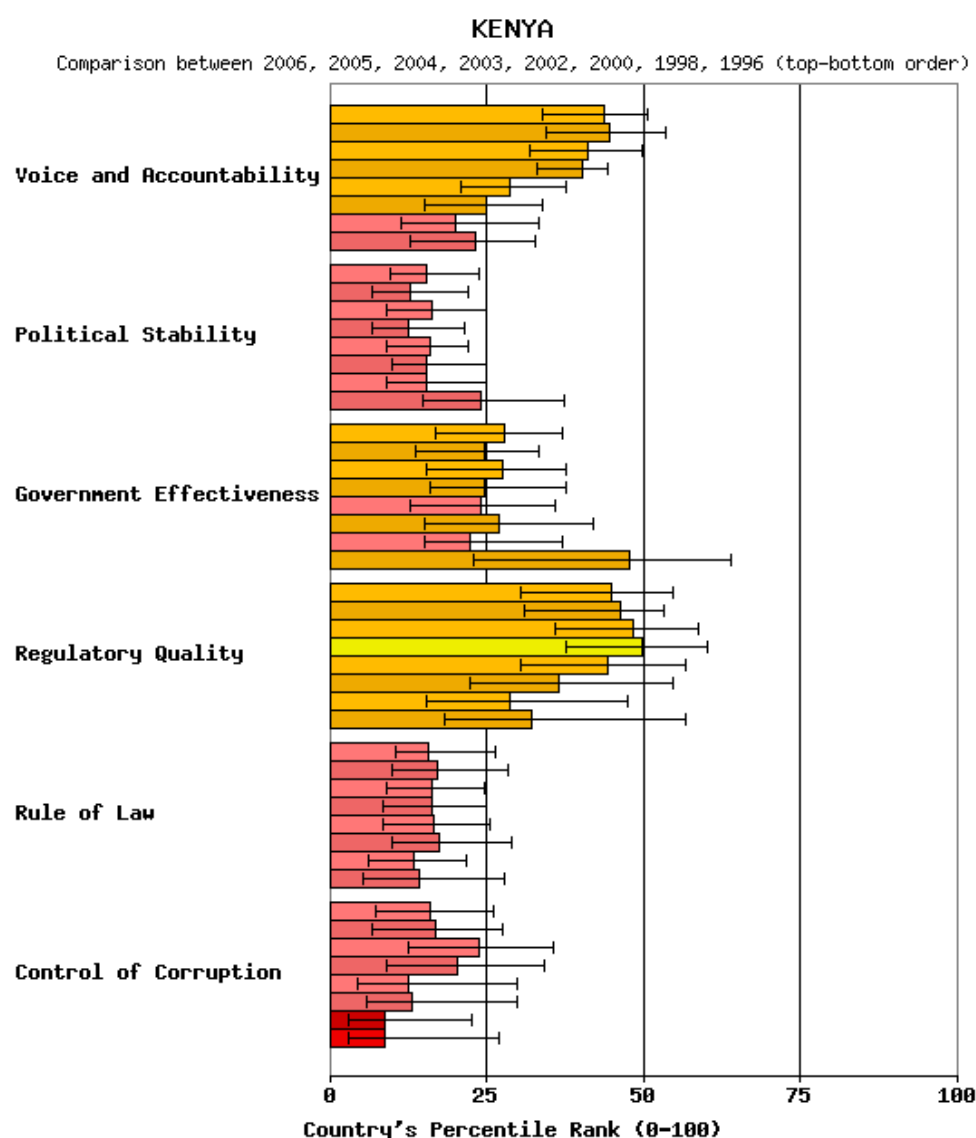
Annex 4:

Governance Indicators for Kenya from 1996 – 2006 (Worldbank)

Legend:



Source: http://info.worldbank.org/governance/wgi2007/sc_chart.asp



Source: Kaufmann D., A. Kraay, and M. Mastruzzi 2007: Governance Matters VI: Governance Indicators for 1996-2006

Note: The governance indicators presented here aggregate the views on the quality of governance provided by a large number of enterprise, citizen and expert survey respondents in industrial and developing countries. These data are gathered from a number of survey institutes, think tanks, non-governmental organizations, and international organizations. The aggregate indicators do not reflect the official views of the World Bank, its Executive Directors, or the countries they represent. Countries' relative positions on these indicators are subject to indicated margins of error that should be taken into consideration when making comparisons across countries and over time.