EVALUATION

Performance Evaluation of USAID/Kenya's Conflict Mitigation and Civil Society Strengthening Activities

PERFORMANCE EVALUATION OF USAID/KENYA'S CONFLICT MITIGATION AND CIVIL SOCIETY STRENGTHENING ACTIVITIES

AN EVALUATION TO IDENTIFY THE EFFECTIVENESS OF USAID-FUNDED ACTIVITIES IN CONTRIBUTING TO A PEACEFUL KENYA

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Kenya Support Services

CONTENTS

ACRONYMS

3Ps	People to People Peace Activity
ACK	Anglican Church of Kenya
AOR	Agreement Officer's Representative
CBO	Community-based organization
CDF	Constituency Development Fund
CEWARN	Conflict Early Warning and Response Mechanism
CMM	Conflict Management and Mitigation
CRS	Catholic Relief Services
CS	Civil society
CSO	Civil society organization
DFID	Department for International Development
DPC	District Peace Committee
DRG	Democracy, Rights and Governance
ER	Early response
EW	Early warning
EWARN	Early Warning Alert and Response Network
EWER	Early warning and early response
FBO	Faith-based organization
GBV	Gender-based violence
GD	Group discussion
GOK	Government of Kenya
HH	Household
ICC	International Criminal Court
ICG	International Crisis Group
ID	Institutional development
IEBC	Independent Elections and Boundaries Commission
IGAD	Intergovernmental Authority for Development
IP	Implementing partner
IRC	International Rescue Committee
KCSSP	Kenya Civil Society Strengthening Program
KECOSCE	Kenya Community Support Center
KII	Key-informant interview
KRC	Kenya Red Cross Society
KTI	Kenya Transition Initiative
KTU	Kenya Tuna Uwezo
L&CSJ	Land- and Conflict-Sensitive Journalism
LEAP II	Rift Valley Local Empowerment for Peace
MC	Mercy Corps
MCK	Media Council of Kenya
MRC	Mombasa Republican Council
MSI	Management Systems International
NCCK	National Council of Churches of Kenya
NCIC	National Cohesion and Integration Commission
NGO	Nongovernmental organization
NSC	National Steering Committee on Peacebuilding and Conflict Management
OCA	Organizational Capacity Assessment
PC	Peace Committee

PEACE	Peace in East and Central Africa
PEV	Postelection violence
PIK	Peace Initiative Kenya
RSA	Research Solutions Africa
SCEWER	Safe Coast Early Warning and Early Response
SMS	Short message service
SOW	Statement of work
TJRC	Truth, Justice, and Reconciliation Commission
TOC	Theory of change
TOO	Target of opportunity
UN	United Nations
USAID	United States Agency for International Development
WASH	Water, Sanitation, and Hygiene

GLOSSARY OF TERMS

Performance evaluation: Focuses on descriptive and normative questions: what a particular activity has achieved (either at an intermediate point in execution or at the conclusion of an implementation period); how it is being implemented; how it is perceived and valued; whether expected results are occurring; and other questions that are pertinent to program design, management and operational decision-making. Performance evaluations often incorporate before/after comparisons, but generally lack a rigorously defined counterfactual.

Root causes of conflict: The evaluation team used the root causes from the USAID/DFID Security Vulnerability Assessment (2009) as a basis for root causes in this evaluation:

1. Ethnically based patronage politics with corruption

2. Economic, social and political marginalization of certain communities

3. Erosion of state capacities

4. Existence of criminal groups and militias that can be incited into violence

5. Cohort of idle/unemployed youth

6. Culture of impunity and weak (and corrupt) police and justice sector

7. Grievances over the distribution and allocation of resources including land (historical grievances, corruption in allocation of land and the like)

Theory of change: A tool to design and evaluate social change initiatives. It is a blueprint of the building blocks needed to achieve long-term goals of a social change initiative.

Development hypothesis: Identifies causal linkages between USAID actions and the intended strategic objective (highest-level result).

Findings: Empirical facts collected during the evaluation.

Conclusions: Interpretations and judgments based on the findings.

Recommendations: Proposed actions for management.

EXECUTIVE SUMMARY

The evaluation was designed to identify the effectiveness of U.S. Agency for International Development (USAID)-funded activities in contributing to a peaceful Kenya. Using an overall mixed methodology, it examined the activities and approaches of six implementing partners (IPs): 1) the Kenya Civil Society Strengthening Program (KCSSP); 2) Kenya Tuna Uwezo (KTU); 3) Rift Valley Local Empowerment for Peace (LEAP II); 4) People to People Peace Activity (3Ps); 5) Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya (L&CSJ); and 6) Peace Initiative Kenya (PIK). The evaluation seeks to answer six questions:

1. In what ways did USAID/Kenya conflict mitigation approaches contribute to peace during the 2013 general election?

2. To what extent have these identified approaches addressed root causes of conflict?

3. To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?

4. What components are likely to continue to influence conflict mitigation after program closure?

5. To what extent did USAID/Kenya strengthen civil society organizations' — especially local partners' — ability to implement and manage conflict mitigation programs?

6. What key lessons and good practices can be identified for future USAID/Kenya conflict mitigation and civil society strengthening programming?

The evaluation required an assessment of contributions by 10 activity approaches, jointly identified by USAID and IPs, to a peaceful Kenya. These 10 approaches were: 1) early warning and early response; 2) targets of opportunity grants; 3) peace dividends activities; 4) use of media, social media and hate-speech monitoring; 5) community dialogues and reconciliation efforts; 6) peace messaging and short message service (SMS) platforms; 7) capacity-building for local partners; 8) training for local actors and peace champions; 9) relationship-building for local peace structures; and 10) support for and training of district peace councils.

Activity Background. In response to the violence that followed the 2007 Kenya general elections and in anticipation of the elections in 2013, USAID/Kenya's Democracy, Rights and Governance Office (DRG) ramped up its conflict mitigation activities through support to six activities.

Evaluation Design, Methods and Limitations. The evaluation employed a mixed-methods approach designed to collect data to inform each of the evaluation questions. The four main data collection methods used under this framework were:

1. *Key-informant interviews (KIIs):* The evaluation team conducted 91 KIIs with purposively selected members of stakeholder groups, including civil society, government, peace actors, media, religious leaders and activity and USAID staff.

2. *Group discussions (GDs):* Twenty-six GDs (three informal and 23 formal) took place in purposively sampled locations, including the Coast, Mount Elgon, Nairobi and Nakuru.

3. *A face-to-face household survey:* The evaluation used data from a randomly sampled in-depth retrospective survey with 1,255 respondents from targeted areas who were asked about their attitudes regarding peace and conflict during four periods up to and after the 2013 elections.

4. *Desk study:* The evaluation included an extensive review of activity and academic and gray literature.

This combination of approaches allowed for the verification of findings through triangulation. A limited number of site visits also allowed the team to view peace dividends and talk to surrounding communities. The analysis of qualitative and quantitative data used outcome mapping, summary statistics, pattern/content/trend analysis, comparison analysis, and response divergence/convergence analysis and mixed-methods integration. Data were collected and analyzed on the basis of disaggregate demographic variables, including gender and age; the report identifies differences in response according to demographic variables, although few were found for gender.

Limitations ofthe evaluation include its broad scope; challenges inherent to evaluating peacebuilding and conflict programs; constraints imposed by the nature of the discussion content; the lack of internal stakeholder baseline data and limited access to external data sources; and the retroactive testing of constructed theories of change.

Evaluation Findings, Conclusions and Recommendations.

Question 1: *In what ways did USAID/Kenya conflict mitigation approaches contribute to peace during the 2013 general election?*

Findings: Respondents consistently raised the point that the 2013 elections were characterized not by "peace," but by a relative absence of violence. USAID support through the 10 approaches concentrated on community-oriented responses to conflict. Respondents noted the ways in which the individual approaches contributed to the absence of violence, but cited other overarching factors more regularly. Those factors were: the international environment, the national institutional environment, political alliances, conflict memory, monitoring, national self-regulation, horizontal interactions and supportive interventions.

Conclusion: USAID approaches played a significant role in contributing to the absence of violence in the 2013 elections where they were implemented. However, "overarching factors," many of which speak to the root causes of violence in Kenya, can be considered to have played a more influential role. The 10 USAID conflict mitigation approaches both were influenced by and contributed to these overarching factors. Recommendations in the report are specific to each approach and pertain to suggested refinements to the approaches in the future. Individual conclusions by approach are below:

Approach	Contribution Conclusions
Early warning/early response	• Led to a) increased number of people and agencies proactively monitoring situational dynamics, b) an increased reporting of threats and c) increased chance of response. In some instances this led to a successful mitigation of violence during the election period. • Perceived to have provided a safe space for public participation (and engagement) in early warning. • Provided an opportunity for state and nonstate actors to coordinate and support better-informed and targeted responses.
Targets of opportunity	• Most were not directly for conflict mitigation or rapid response, so contribution to peace is unclear. • May have helped strengthen civil society and other elections-related goals and prevented programming gaps during elections calendar shifts.
Peace dividend activities	Successfully provided a strong focal point for people-to-people reconciliation processes at one point. However, relationships remain fragile and activities could become a source of tension in the future.
Use of media, social media and hate speech monitoring	Provided targeted journalists with the skills to cover election-related and conflict issues sensitively and in an informed way (rather than simply not reporting). Backed linkages between media and peacebuilding actors, supporting positive interactions for their peace messaging.
Community dialogues and reconciliation efforts	Provided spaces for community reconciliation, leading to improved relationships and reduced tensions between participating ethnically polarized communities. Some evidence suggests they provided a platform to address power sharing and how different electoral positions might be shared peacefully to ensure appropriate, fair ethnic representation.
Peace messaging and SMS platforms	Broadly supported the overall atmosphere and social norms relating to peaceful behavior under which the elections were contested. Reminded people of the effects of violence and made people self-reflect.
Capacity-building for local partners	Though there is no direct evidence of capacity building efforts contributing to peace, there is some evidence that IP activities may have indirectly contributed.
Training for local actors	Enhanced skills to diffuse tension and increased trust with police

Approach	Contribution Conclusions
and peace champions	forces.
Relationship-building for local peace structures	Increased and improved multilevel relationships among different stakeholders working toward conflict mitigation. Supported emergence of a "web of actors" engaged in conflict mitigation.
Support for and training of DPCs	Contributed to the peaceful election through peace messaging, mediation and preventing the escalation of disputes, early warning and response and enhanced cooperation between state actors and communities.

Question 2: To what extent have these identified approaches addressed root causes of conflict?

Findings: Although respondents (including partners and USAID) were clear that the 10 approaches were not designed to address root causes, the evaluation found some overlaps where programs and approaches touched root causes.

Conclusion: A modest foundation to address root causes has been built through the 10 approaches.

Recommendation: Strengthening effectiveness in this area will depend on ongoing support for programs that simultaneously integrate and address community development needs, conflict mitigation and root causes, including those that specifically address land issues and youth.

Question 3: To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?

Findings: The retrospective survey found that the majority of respondents strongly disagree that "violence is justified to advance political goals," though there is little change over the time period in the proportion espousing these views. Eighty percent of those who agree are young adults (aged 18 to 35). The proportion of respondents who strongly appreciate the value of peace steadily increased through the four time periods: after the 2007 elections (41 percent); after the 2010 referendum (51 percent); just before and during the 2013 elections (56 percent); and after the 2013 elections (60 percent).

Conclusion: It is unclear whether attitudes to peace and the way people perceive political violence are changing in the targeted areas. Although there is growing appreciation for peace, there remains a small but significant number who believe that violence is justified for political goals.

Recommendation: Specific targeting of programs on demographic and geographic bases to reach the (predominantly) youth who are vulnerable to the use of violence will be necessary to effect long-lasting change in this area.

Question 4: What components are likely to continue to influence conflict mitigation after program closure?

Findings: There is some evidence that components such as strengthened relationships and skills may continue to positively influence conflict mitigation.

Conclusion: The possibility of sustainability appears likely to be compromised without some ongoing support.

Recommendation: In future activities, and in the light of anticipated funding cuts, ensuring coordination of donor efforts in conflict mitigation activities will maximize resources and programmatic effectiveness. This should be coupled with careful focused attention on identified vulnerable areas (whether geographic or demographic).

Question 5: To what extent did USAID/Kenya strengthen civil society organizations' — especially local partners' — ability to implement and manage conflict mitigation programs?

Findings: Respondents (local partners to USAID IPs) rated assistance high in improved manuals, systems and accountability, improved governance and improved skills. The challenges cited were the limitations of capacity-building through the mechanism of grant disbursement, the primary focus on USAID programming objectives rather than on the needs of the organization, and the focus on compliance rather than development and learning.

Conclusion: There are strong indications that USAID-funded activities (e.g., KCSSP) improved general management skills of civil society organizations, leading to improved program implementation.

Recommendation: It is recommended that USAID continue to provide small grants and training through the devolution program to civil society, enabling them to fulfill their roles within the context of devolved government.

Question 6: What key lessons and good practices can be identified for future USAID/Kenya conflict mitigation and civil society strengthening programming?

Findings: Some examples of good practice emerged from USAID/Kenya programming: 1) the experiential learning methodology of the Land and Conflict Sensitive Journalism activity and 2) the integration of holistic peacebuilding approaches through the 3Ps activity. Key lessons learned were the importance of integrating gender considerations (participation of women; gender-based violence (GBV) into peacebuilding activities; engaging and targeting at-risk youth; integrating opportunities for long-term livelihood development, such as those used in the LEAP program; strengthening hate-speech monitoring mechanisms; integrating early warning and early response; and continued donor investment in contextual analysis at county and national levels to inform program decisions.

Overarching recommendations for USAID in light of devolution include:

- *Embed conflict-sensitive approaches* in all aspects of USAID support in the emerging devolution landscape.

- *Continue to support strong peace architecture at the county level.* Ensure the emergence of clear peace and conflict mitigation institutions, networks and relationships at the county level, entrenching the importance of the early warning/early response mechanisms and the district peace committees.

- *Support monitoring, research and learning in relation to devolution.* Devolution has been identified as not only an opportunity but also a risk in its potential for conflict. Close scrutiny of the environment will permit effective targeting of resources, particularly in counties with the following characteristics: 1) multiethnic communities with "negotiated democracy"; 2) monoethnic counties; 3) counties that enable comparative analysis on issues such as political commitment and allocation of resources to peace work; and 4) counties that are at high risk of conflict from issues such as extractives, potential violent extremism and political dissent.

EVALUATION PURPOSE AND EVALUATION QUESTIONS

On Sept. 10, 2013, the Kenya Support Activity was awarded the Conflict Mitigation Multi-Activity Final Evaluation.[1] The evaluation period was from Sept. 30 (the start of desk review) to Nov. 27 (the date of the draft submission to USAID).

The purpose of the evaluation is to determine the effectiveness of these conflict mitigation activities and civil society strengthening activities in contributing to a peaceful Kenya. The findings will inform USAID/Kenya's conflict mitigation and civil society strengthening efforts and influence programming moving forward, in the context of a drastically reduced conflict mitigation budget and ongoing plans to support devolution. It will also inform the wider donor community in Kenya. The design was developed in collaboration with the six IPs and USAID.

The fieldwork for the evaluation took place from Oct. 17 through Nov. 5. USAID approved the evaluation methodology on Oct. 16; it seeks to answer the six questions below.

THE SIX EVALUATION QUESTIONS

i. In what ways did USAID/Kenya conflict mitigation approaches contribute to peace during the 2013 general election?

ii. To what extent have these identified approaches addressed root causes of conflict?

iii. To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?

iv. What components are likely to continue to influence conflict mitigation after program closure?

v. To what extent did USAID/Kenya strengthen civil society organizations', especially local partners', ability to implement and manage conflict mitigation programs?

vi. What key lessons and good practices can be identified for future USAID/Kenya conflict mitigation and civil society strengthening programming?

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[1] The scope of work was modified twice, with specific approval from the Contracting Office to extend the draft survey to Oct. 9 and increase the number of pages to 45.

ACTIVITY BACKGROUND

In response to the violence that followed the 2007 Kenya general elections and in anticipation of the elections in 2013, USAID/Kenya's Democracy, Rights and Governance Office (DRG) ramped up its conflict mitigation activities through support to six activities. These summarized in Annex N, and described in more detail in Annex B.

Figure 1: Map of activity implementation

Evaluation Methods and Limitations

This evaluation applied a theory of change (TOC)-based approach[2] and contribution analysis to answer question 1. Further information on using TOC and contribution analysis as an evaluation approach appears in the evaluation methodology and workplan in Annex D.

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[2] A theory of change-based approach to peace-building evaluation involves exploring the causal linkages in a results chain (the sequence and hierarchy of anticipated changes) and exploring the validity of the assumptions articulated in the theory of change. It involves making explicit the theories underpinning how interventions contribute to peace ("if–then" statements) and testing these against the understanding and perceptions of stakeholders obtained through data collection. Contribution analysis identified alternative explanations to the program to account for outcomes, such as other approaches, policies, political trends and behaviors.

USAID and its partners identified 10 program approaches, capturing the range of activities undertaken within the six activities. These are listed in the box on this page. Management Systems International (MSI) and IPs met to develop theories of change for these approaches, in addition to an overarching theory of change. The TOCs are described at Annex IV within the methodology and workplan document.

While the evaluation examined the contribution of the approaches toward peace during the 2013 Kenya elections, no firm statements on attribution were intended, given the number of variables that support a peaceful election. Similarly, given that it was a meta-evaluation, the team did not examine each activity's implementation, but instead considered its contribution through the lens of the 10 approaches.

Given the difficulties of making credible claims of causality within the multiple TOCs, the methodology evolved to concentrate on a more pragmatic approach that drew logical connections between and among the 10 approaches, their theories of change (broadly) and the evaluation questions. A contribution analysis approach contextualized the approaches within the multiple factors to the peaceful 2013 Kenya elections. As explained later, the quality of data further limits the extent to which claims of causality and contribution may be made.

Data-Collection Methods and Implementation

A mixed-methods approach informed each evaluation question. The four main data-collection methods used were: KIIs; GDs; a comprehensive, face-to-face household survey; and an extensive document review. This approach strengthened verification of findings through triangulation. A limited number of site visits enabled the evaluation team to view peace dividends and talk to members of surrounding communities. In addition to a theory-based approach and contribution analysis, the emerging qualitative and quantitative data was analyzed using outcome mapping, summary statistics, pattern/content/trend analysis, comparison analysis, and response divergence/convergence analysis and mixed-methods integration. (See Annex D Methodology and Workplan for additional details.)

1. Key-informant interviews (KIIs): The team conducted purposive semi-structured interviews with 91 key individuals representing different stakeholder groups relevant to conflict mitigation and peacebuilding from 2007–13. These included 14 program-implementing USAID staff; 30 civil society actors (including community-based organizations), community elders, representatives from women's and youth groups, peace committee representatives and peace actors; 13 faith-based organizations, religious leaders and "senior" elders; 15 media members, businesspersons, politicians and donors; and 19 Government of Kenya (GOK) officials, including senior staff from bodies such as the National Steering Committee on Peacebuilding

and Conflict Management (NSC), the National Cohesion and Integration Commission (NCIC), the inspector general of police, intelligence departments and senior county police and county administration staff. In addition, the team interviewed the Mombasa Republican Council (MRC) and former members of militias. (See Annex F for the complete list of KIIs.)

2. Group discussions (GDs): The team conducted 23 formal and three informal GDs, divided into three types: Group A (direct activity and indirect beneficiaries), Group B (community peace actors and leaders),[3] and Group C (informal and ad hoc stakeholder GDs).

GD location selection. A purposive sampling identified appropriate locations to conduct GDs. The key criterion was to ensure locations were reflective of a broad range of program activities. As a result, GDs were conducted in Nairobi (Informal Settlements), the Coast (Mombasa, Kwale and Kilifi), Bungoma (Mount Elgon) and Nakuru (Molo/Kuresoi, Naivasha).

3. Face-to-face (F2F) survey: The team designed and, in coordination with a survey firm, supervised an in-depth survey of 1,255 household (HH) respondents from within the targeted areas. It asked respondents about their perceptions of and attitudes about peace and conflict, interethnic and community relationships and awareness of peace activities during four periods: a) immediately after the December 2007 general elections, b) after the August 2010 referendum, c) just before and during the March 2013 general election and d) after the March 2013 general election. These dates were selected to gather data to indicate the degree of attitude change during the evaluation period.

Survey site and household selection. The identification and selection of the final survey sites was based on discussions involving MSI, USAID and the team's local partner, Research Solutions Africa (RSA). Six target counties of Kericho, Mombasa, Nairobi, Nakuru, Nandi and Uasin Gishu were sampled. Purposively identified districts with relatively high numbers of beneficiaries enabled the development of a list of districts; two target districts were then selected from each of the six target counties. A random sampling methodology was developed for the selection of households. (See Annex D Methodology and Workplan for additional details.)

4. Desk Study: The team conducted an extensive review of USAID/Kenya program documents; additional relevant materials concentrated on conflict mitigation and peacebuilding, drawing on a range of strategic, analytic, programmatic and performance documents provided by partners and independent stakeholders working in the sector.

A table appended to the Methodology and Workplan in Annex D lists the different evidence, sampling approach, data collection and analysis methods for each question.

Limitations

The team encountered several factors that affected the evaluation—some technical limitations and others related more broadly to the environment, sector, and the nature of a meta-evaluation.

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[3] See Annex D, Methodology and Workplan, for detailed description of respondent criteria.

The scope of the evaluation: This was a meta-evaluation encompassing six activities and 10 approaches with a multiplicity of activities and theories of change simultaneously. As such, it covers far more than a standard evaluation of a focused set of activities, and there is enormous complexity and heterogeneity among the approaches and between the approaches and the context. This scope was ambitious, given the allotted time and resources, which led to a variable depth in findings and ability to extrapolate.[4] The fact that several programs were closed was not an issue. The sampling of KIIs and different sources was easily deep enough to provide a sufficiently consistent picture.[5]

The challenges inherent in evaluating peacebuilding and conflict programs: Peacebuilding and conflict programs are notoriously difficult to assess because of the complex and fluid multi-causal and multi-stakeholder nature of the sector. Models of conflict dynamics are conceptually underdeveloped, and there is greater debate about what explains dynamics within this field than in other areas, such as health, economic growth, agriculture, or even similar sectors like democracy and human rights. In addition, scholars and practitioners often disagree about the most reliable indicators of successful, sustainable and positive social change.[6] In addition, the absence of a firm counterfactual[7] (i.e., how does one measure the "absence of violence"?) creates difficulties assessing degrees of contribution.[8]

Further, the nonlinear nature of complex social change means that evaluation can provide only a snapshot at the time of undertaking. This may not necessarily adequately reflect the success or otherwise of the different approaches; these may emerge later, either positively or negatively. Measuring sustainable, structural social change may not be possible for many years (or certainly multiple electoral cycles). Indeed, stakeholder perceptions of the success of program activities may also fluctuate depending on when questioned or when they are reflecting on the situation.

Constraints imposed by the nature of the discussion content: Discussing issues of conflict can tap into deep emotional trauma from respondents' past experiences. In these situations it is inappropriate for interviewers to curtail articulation of these emotions, even if this may be at the expense of broader data collection.[9] Similarly, while the number of security issues encountered

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[4] The scope of the evaluation, covering all of the implementing partners funded by USAID in this sector, made it difficult to find evaluators with no connection to the IPs. The team leader worked for one of the implementing partners in their regional office for a period of time, but had no daily involvement with KCSSP management or technical aspects of the project. MSI presented his work experience to USAID and he was approved. All evaluators signed conflict of interest forms (reproduced in Annex C).

[5] In some ways the post-program closure scenario provided a clearer picture of the worth of the programs and their relative place and performance in the different factors affecting the resultant nonviolent elections. Only a couple of staff members were not interviewed.

[6] For some relevant discussions, see 1) Peter T. Coleman. 2003. "Characteristics of Protracted, Intractable Conflict: Toward the Development of a Metaframework." *Peace and Conflict* 9(1):1–37. 2) Barbara Gray, Peter T. Coleman, and Linda L. Putnam. 2007. "Intractable Conflicts: New Perspectives on Causes and Conditions for Change." *American Behavioral Scientist* 50(11): 1415–29. 3) Marc Howard Ross. 2000. "'Good Enough Isn't So Bad': Thinking About Success and Failure in Ethnic Conflict Management." *Peace and Conflict* 6(1):27–47.

[7] Bruce Russett. 1996. "Counterfactuals About War and Its Absence." In Philip E. Tetlock and Aaron Belkin (eds.). *Counterfactual Thought Experiments in World Politics: Logical, Methodological, and Psychological Perspectives.* Princeton, N.J.: Princeton University Press.

[8] While the evaluation did not attempt it, attribution is even more problematic.

[9]. There is a large body of literature in psychology on this topic that is increasingly under consideration by researchers in the conflict analysis field. See 1) Michael G. Griffin, Patricia A. Resick, Angela E. Waldrop and Mindy B. Mechanic. 2005. "Participation in Trauma Research: Is There Evidence of Harm?" *Journal of Traumatic Stress* 16(3):221–27. 2) Ervin Staub, Laurie Anne Pearlman, Alexandra Gubin and Athanase Hagengimana. 2005. "Healing, Reconciliation, Forgiving, and the Prevention of

did not overly constrain data collection overall, it did influence the depth of discussion and time factors in instances where some community members were aggressive and/or interviewers were intimidated, feeling at risk of harm.[10] As a result, the extent of discussion and coverage of the different approaches within interviews and GDs was uneven and created challenges with the identification of denominators.

Discussions concerning conflict can be interpreted politically. The timing of the evaluation (during the International Criminal Court (ICC) sittings on Kenya) also flavored the environment, with many respondents and groups suspicious of the intent behind data collection at this time, possibly leading to less-open discussions. In the case of GDs, this precluded the use of recording facilities.

The lack of internal stakeholder baseline data: There was a lack of internal stakeholder baseline data and limited access (at present) to objective empirical data from external sources to substantiate and determine potential and relative contribution and impact, which presented further methodological constraints.

Retroactive testing of created TOC: Retroactive testing of the TOC was found to be a) problematic and b) of limited use in addressing the evaluation questions, for the following reasons:

- Activities had not necessarily been working to the retroactively developed TOCs during the course of activity implementation. This is because:

  o The TOC concentrated on how the activities would lead to a reduction in violence during the 2013 elections. While they were later shaped to better fit the election environment, their original starting points were not initially designed with this end in mind. For example, the LEAP program aimed to enable local structures to address causes of postelection violence and promote sustainable peace and reconciliation in the Rift Valley province.[11]

  o Where approaches cut across different activities, during a meeting with partners where theories of change were discussed, it was noted that these activities may not have been working under the same implicit theory of change within that approach and in some cases did not appear to be working to an articulated theory of change. The retroactively developed theories of change for each approach, therefore, often appeared to be a compromise where partners were trying to best express what they had been attempting in the light of hindsight. Differences are important, whether explicit or implicit. A strict analysis and testing of the theory of change would require

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Violence After Genocide or Mass Killing: An Intervention and Its Experimental Evaluation in Rwanda." *Journal of Social and Clinical Psychology* 24(3):297–334.

[10]. For instance, particularly in the informal settlements, and despite being accompanied by local residents, data collectors were threatened with physical violence and two group discussions had to terminate discussions early because of security considerations within the location. See RSA Fieldwork Report, Annex K for more information.

[11]. The three key objectives were a) strengthen sustainable mechanisms for conflict mitigation and reconciliation, b) sponsor community dialogs and implement joint development projects that build bridges among divided communities and demonstrate tangible benefits to cooperation and c) support youth integration and address a key cause of violence through youth leadership training and income-generation activities.

consideration of additional or different aspects around these differences. This also meant that comparative perspectives were challenging.

- The close, interrelated nature of the 10 approaches created complications in considering retrospective theories of change, particularly constraining the ability to record how much they linked to and reinforced one another.

- Capturing the different approaches in one overarching theory of change was difficult; although there were interrelations between the 10 approaches, there was also diversity (e.g., support to media and training of peace actors), and no programs actually attempted to address the overarching TOC.

- Most importantly, it was found that a theory-based approach was not as informative as anticipated for answering question 1. The TOC methodology best addresses *relevance* as the primary evaluative criterion. Question 1 asks for the *ways* that different approaches contributed to a peaceful election. The question, therefore, requires a more descriptive and less strictly evaluative approach and does not directly demand an assessment of the *relevance* of the different approaches (i.e., how relevant were the interventions for mitigating election-related violence?).

For these reasons, addressing the validity of the different theories of change developed was not found to be helpful in answering the evaluation questions, in particular the important question 1.

FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

Question 1. In What Ways Did USAID/KENYA Conflict Mitigation Approaches Contribute to Peace During the 2013 Elections?

To answer this, the evaluation team applied a contribution analysis approach, first identifying *all* the factors perceived to have contributed to the peaceful election. It then considered the ways the aggregated approaches contributed to the validity of the overall theory of change. Finally, it examined on each of the 10 approaches in turn, identifying the ways they individually contributed to a peaceful election.

Respondents noted the ways in which the individual approaches contributed to the absence of violence, however, overarching factors present across Kenya, many of which speak to the root causes of violence, were cited more regularly in this regard.   Those factors were: the international environment, the national institutional environment, political alliances, conflict memory, monitoring, national self-regulation, horizontal interactions and supportive interventions. (These over-arching factors and aggregated contributions are found in Annex L).

A Peaceful Election?

Findings: In more than half of the GDs (14 of 23), participants did not feel comfortable describing the elections as peaceful. They were more at ease using descriptions such as "absence of violence," "calm," "negative peace" and similar terms, adding that tensions exist and many underlying, unaddressed issues could become a source of violence and conflict .[12]
Attendees at the Partners' Meeting all stated that they do not know the extent of the violence or what went on during the 2013 elections, first because of the absence of reliable data, and second owing to media underreporting or "self-censorship."[13] One example was striking in this regard, and while not representative of the *extent* of violence across the country, does cast light on the way the topic was treated. The GD in Kilifi noted that pre-election violence in that area was *under*reported in the media and that the
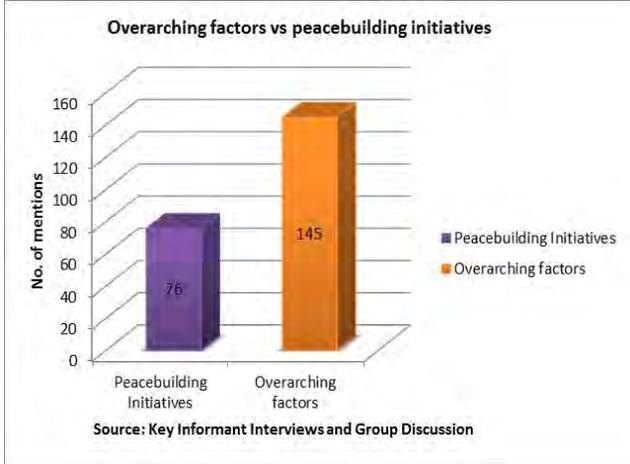
Overarching factors vs peacebuilding initiatives

Source: Key Informant Interviews and Group Discussion

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[12]. For analysis that underscores the question of negative peace in the Kenyan election, see Alina Rocha Menocal. 2013. "Kenya's Peaceful Election Doesn't Make It a Healthy Democracy." *Transitions* March 22.

[13]. Henry Makori. 2013. "Kenya: Elections 2013—How the Media Failed Kenya." *Pambazuka News* Sept. 12.

extent of the violence was significantly greater than that discussed or portrayed. This fits an emerging pattern reported (see box, above) that the media were uncertain how or whether to report incidences of violence, possibly with the fear that the reporting might escalate it further.

Conclusion: The elections were characterized not by peace, but a relative absence of violence (or "negative peace"), [14] the extent of which is unclear. The contribution of the 10 approaches should be viewed in the light of this overall contextual background. [15]

The 10 USAID Approaches

1. Early Warning and Early Response

Findings: In the past, early warning (EW) mechanisms were found primarily in border areas where the Regional Intergovernmental Authority for Development (IGAD) [16] Conflict Early Warning and Response Mechanism (CEWARN) operates. During the lead-up to the elections, 21 out of 37 GDs referred to USAID-funded EWER mechanisms. Four out of the 21 mentioned responses were timely, using words like immediate, quick and prompt. An example of a particularly active system was the USG-funded Safe Coast Early Warning and Early Response (SCEWER) mechanism designed in November 2012. Ten of 16 Coast KIIs mentioned SCEWER and/or USAID-funded Kenya Community Support Center (KECOSCE) among the early warning mechanisms that provided situation monitoring. SCEWER received 1,200 short message service (SMS) alerts of potential conflict, 600 of them verified. KECOSCE held 60 community sensitization forums, with a direct reach of 2,300 people. [17] Uchaguzi, another new mechanism, also formed after the 2008 postelection violence, as one KII noted. [18] According to news reports, Uwiano Platform received more than 5,500 alerts." [19] It is assumed that the additional avenues for reporting and generating alerts increased at least the possibility of a response. [20]

> **USAID'S EWER IN ACTION DURING THE 2013 ELECTIONS**
>
> **BURNT FOREST** — A Kikuyu killed a Kalenjin during a fight in a bar. This was reported not as ethnically or politically motivated violence, but as criminal in nature. A local community member reported the incident through an early warning system. In response, a civil society actor visited Burnt Forest, along with an NCIC official, to call an urgent peace meeting. This prevented the escalation of the incident into broader ethnic violence during the tense election period.
>
> *—Sources: KII, Eldoret, Example of Uwiano early warming paltform.*

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[14]. There is a considerable literature on the distinction between "negative peace" and "positive peace." Negative peace may be the absence of violence, but if stability is at the expense of social justice, then it may not be sustainable. For a classic statement, see Johan Galtung. 1969. "Violence, Peace and Peace Research." *Journal of Peace Research* 6(3):167–91.

[15]. *A note on terminology*: There is confusion surrounding the terms "conflict" and "violence." During the evaluation, it became apparent that there is a lack of general understanding of the difference between the two, with respondents using them interchangeably. Conflict or disagreement between people may not necessarily be a negative concept, as it can lead to positive change depending on how it is managed; violence is a destructive form or expression of conflict. The distinction is important, as there have been questions around the extent to which *disagreement* is permissible or acceptable within Kenya. The implication is that this *disagreement* (or conflict) and violence are the same, and so disagreement equates automatically to violence.

[16] IGAD consists of an eight-country bloc in the Horn of Africa.

[17]. Source KECOSCE presentation, 2013 (this source did not document the number verified).

[18] Uchaguzi ("decision" in Swahili) is a follow-up project to the first instance of Ushahidi (which was launched during 2007-8 post-election violence). The goal of Uchaguzi was to monitor Kenya's August 2010 constitutional referendum. The goal of

There is evidence of EW leading to early response (ER), with participants giving illustrations (see text box for example) of how early warning generated responses (15 of 23 GDs). Moreover, six of 23 GDs and 33 of 91 KIIs considered that civil society-led early warning mechanisms had contributed to peace during the elections.

Conclusion: Early warning mechanisms, including USAID-funded mechanisms, succeeded in that they led to a) an increased number of people and agencies proactively monitoring situational dynamics, b) an increased reporting of threats, and c) an increased chance of response. USAID-funded mechanisms seemed to be well known by GD participants. In some instances this successfully led to a mitigation of violence during the election period.

Findings: In 18 of the 23 GDs[21] where early warning systems were discussed generally, they relied on SMS-based alerts and increased public confidence to report threats. Evaluators were also told about Chief Kariuki in Lanot Umoja, who uses Twitter to encourage his followers to communicate with him about crime prevention, citizen response and other practical issues affecting them.Another important KII observed that SMS-based early warning systems provided a safe space for women to report gender-based violence cases anonymously and reduced their having to go personally to the police or other authorities. However, it is unclear if appropriate services or follow-up for the victims exist, or what means there are to administer justice and prevent perpetrators from committing further offenses.

Conclusion: Early warning mechanisms were perceived to have provided a safe space for public participation (and engagement) in early warning.

Findings: The majority of respondents (16 in 23 GDs) noted that the existence of early warning structures provided a mechanism for state and non-state actors to work together to ensure security. This finding was supported by comments from 33 of 40 KIIs where early warning systems were discussed. Given the historical distrust between civil society and the security authorities, early warning mechanisms appeared to have provided a set of mechanisms where they could work together without past friction—for instance, through individual civil society organization (CSO) "brokers" who were trusted both by communities and the senior police and were therefore able to access and relay information safely.

Conclusion: Platforms and mechanisms provided an opportunity for state and nonstate actors to coordinate support for better-informed and targeted responses.

Findings: While evidence suggests an increase in early response, participants in nine of 23 GDs noted that the police did not always respond; if they did, it wasn't always timely. Two key issues emerged: police tolerance of crimes and the possibility of EWER system abuse. In some areas,

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Uchaguzi was to monitor Kenya's August 2010 constitutional referendum; and to provide a channel for Kenyan citizens to communicate openly about the 2010 Kenyan referendum using the Ushahidi platform (http://transparency.globalvoicesonline.org/project/uchaguzi).

[19] Uwiano ("connection" or "correlation" in Swahili) was set up with support from UNDP to ensure the Aug. 4 (2010) referendum on a new Kenya constitution was not marred by violence (http://www.irinnews.org/printreport.aspx?reportid=90050)

[20] The evaluation team did not have access to quantitative data from the EWER systems from any stakeholder, so this draws on qualitative interviews and group discussions.

[21]. One particularly credible key informant, deeply involved in implementing a successful early warning mechanism, also supported this finding.

law enforcers took early warning reports lightly and were unresponsive or slow, even when it was an emergency.[22] For example, police were called when villager killings were taking place in Korogocho, but they allegedly arrived as spectators only and said, "Go ahead, you can kill each other."[23] EWER mechanism misuse reportedly occurred as well. For example, in Korogocho there were rumors during the 2013 elections that people were fighting and killing one another, so a helicopter was immediately sent to assess the situation and found nothing happening. This latter issue holds the risk of reinforcing the described problem of tolerance. Of those 21 GDs that mentioned USAID-funded EWER mechanisms, 10 had knowledge of the process, six had sent messages and four mentioned specific references to responses, which were all positive. In many cases, people sent the SMSs about suspicious individuals or vehicles, hate speech or suspected criminal activity. No one who mentioned sending SMSs said they saw the actual response to their SMSs.

Conclusion: There are examples where early warning led to early response, which in turn led to a mitigation of violence. But early warning did not *necessarily* result in early response and could be misused, as described in at least one place. There is a lack of knowledge and understanding of the relative strengths and weaknesses of the many EWER mechanisms that were operating during the election period. KIIs and EWER participants understood their own mechanisms, but no one appears to have an overview of them all and their relative strengths and weaknesses. This includes a lack of understanding about the importance of the individual's role and how to expand participation and responses like those of the "Tweeting Chief" in Nakuru.

Early warning mechanisms need an improved design to enhance efficiencies and effectiveness. The breadth of intervention in this approach unintentionally provided a useful opportunity to pilot many models of early warning mechanisms. However, such an approach requires both a stronger intentionality of experimentation and a parallel mechanism built into its implementation to assess the different models' efficacy. This would lead more rapidly to improved designs to improve efficiencies and effectiveness.

Recommendations for USAID on early warning and early response systems: USAID should consider an appropriate EWER mechanism at the county level that is embedded structurally and functionally in the peace and security architecture to maximize the likelihood of success. In order to do this, an analysis[24] would be required of the different early warning mechanisms and a paper produced that succinctly summarizes the relative effectiveness of the multitude of models (how many were identified) that were in action during the 2013 elections. More details of this recommendation can be found in Annex M.

2. Targets of Opportunity (TOOs)

Findings: TOOs was an approach to avail funds quickly and expeditiously toward addressing arising and unforseen conflict and mobilize local communities and other actors toward timely

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[22]. Nine of 23 GDs mentioned complained about instances when their alerts were ignored.

[23]. Korogocho Group Discussion, Oct. 18, 2013.

[24] As noted in the limitations section of this report, the team was severely constrained in addressing the existing scope of work for the evaluation, let alone having space, time, resources and level of effort required to explore these additional dimensions in sufficient, meaningful depth.

resolution of conflict, as described in the evaluation SOW.[25] PACT's fourth modification in November 2008 (the first contractual document where TOOs are mentioned) says the purpose is to include management of conflict, but could also include developments in government or the legislature. Later in PACT's eleventh modification of September 2012, the definition was modified to be "unanticipated TOO activities" and a new set of illustrative activities was added.[26] The evaluation (mandated to look at the approach defined above) analyzed the "thumbnail"[27] of all 110 targets of opportunity grants. It then randomly sampled a representative 33 of those for more in depth analysis.

The definition of the approach above shows that the evalution is looking at grants that address emerging conflicts directly. Throughout this report, it is recognized during the election period, there were relatively fewer conflicts than were expected. Irregardles of this, from the thumbnails, twenty-two of 110 were direct conflict mitigation or rapid-response activities, according to the definition above. Examples include the response to emerging gangs for hire and the recruitment of youth to the Mombasa republican council (MRC). The other 88 were indirect in nature, including trainings, policy support, peace messaging, civic participation, or awareness raising on voter education, devolution and other topics. There was an input of funding in the eleventh modification and thegrant disbursement rate went up dramatically just before the elections; almost the same number of grants under this mechanism were conducted during the six months before the elections (47) as in all the previous years (48). The majority of grants appear to be preventive rather than responsive. A liberal interpretation suggests about 12 grants were issued just before the elections responding to the risk of immediate violence, versus seven over the activity life before that.

An indepth analysis of a representative sample of grants revealed parallel percentages. Seven of 33 grants randomly selected responded directly to emerging conflicts; 26 of 33 were indirect. Of the 26 that were indirect, according to an analysis of the TOO proposals, award and implementation of 16 grants were informed by historical trends of various forms of violence across regional diversity both in the pre- and the post-election period. Nine of 26 grants considered the transition in line with devolution and implementation of the new constitution as an opportunity to sensitize citizens on devolution and empower them for engagement in county governance. Three of these were pre-election grants and the rest were implemented post-election.[28] Other issues included land and voter and civic education.

In terms of being expeditious and availing funds quickly, the time lapse between proposal submission and approval was 54 days on average. All the 33 grants were implemented in a span

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[25] USAID SOW for the Electoral Assistance Evalualuation.

[26] Abbreviated illustrative activities were: Ad hoc dialogues or forums to prevent and manage conflicts; procurement of services or commodities to facilitate stabilization and conflict prevention activities; support for media and outreach activities that will reduce escalation of tension and instability; activities that will rapidly asses, monitor and respond proactively to potentially destabilizing events and forces; activities that will effectively address and help reduce a crisis; activities that bolster and amplify exising civil society efforts to promote unity, support free and fair elections, and continue reforms; and activities that take advantage of unique and urgent opportunities to advance reforms and achieve quick wins that address long-standing root causes of conflict.

[27] The thumbnail consisted of project title, coalition partners, grant period and amount, project description, geographic scope and status.

[28] During the comment period on the final report, USAID said that post-election grants switched to devolution support, though none of the contract documents are clear on this point.

of less than five months. Pact produced evidence suggesting rapid turnaround for disbursements (e.g., emails showing dates of grant application, approvals from USAID, and fund disbursement over a few days), and described grant-supporting field processes of two days confirmed by reports from grantees (two of two) in the field. Nevertheless, other local partners interviewed (four of seven) suggested that it took 3–4 weeks. One key informant considered that if the grant process had only taken a few days, it could have saved a life. Three of seven partners also noted that those without internal funds had to wait for money to arrive in a bank account before undertaking the activity.

The primary targets for the interventions included both institutions (systems and processes) and people. The target audiences included citizens, legislation (land bills), gangs and rebellious groups, women, youth, religious leaders, CSOs local leaders, radio stations, political leaders, person with diabilities and internally displaced persons. A significant proportion of the grants were implemented in Rift valley and in Coast regions of Kenya.

The strategies employed included capacity building through trainings, community dialogue and engagement of local leaders, mass media campaigns, road shows, engagement of peace champions, civic education, lobbying and advocacy. The grants further supported inter-community joint ventures in seasonal calendar activities such as farming and sporting activities, both aimed at peaceful coexistence.

The seven recipients of TOO that were met had received grants for a variety of activities. One of these grants was a direct[29] (as opposed to indirect) attempt at mitigating electoral violence at Likoni. It resulted in warnings to two police stations (Kisauni and Changamwe) considered to be at risk of attack. In one case, the KII noted that the police station received a warning, but did not take it seriously. Subsequently, four policemen were killed and one seriously injured.[30] One partner noted that elections programs were designed to end in December 2012; the elections being pushed to 2013 created a gap during which all gains would have been lost if not for TOOs.

More detailed findings on the performance of the TOO mechanism that were not directly relevant to this question, but were nonetheless informative (including in relation to the speed of disbursement and the nature of the grants), can be found in Annex I.

Conclusion on TOOs: The targets of opportunity mechanism is a useful programming tool for opportunistic, responsive and potentially gap-filling grant-making. Many of the TOO grants did not fulfull the aim of the approach, or indirectly fulfilled the aim, at best. Even if indirect, the grantees did use historical trends to identify locations and types of programming, that may have had an effect on emerging conflict before it even started. The average time between proposal submission and award was almost half the life of the longest grant, which does not seem to be a quick turnaround. The findings suggest that if there had been significant violence, the mechanism may not have been able to respond fast enough. From the strategies and targets, the TOO grants give an impression of a shotgun approach, but there are threads worth disaggregating to better understand how to use such a mechanism more effectively to more deeply and broadly impact a program.

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[29] The meaning of direct and indirect are discussed above.

[30] The grant did not mitigate all violence, the extent to which it may have mitigated some violence is unknown. The key point is that the grant resulted in a warning and third party actors (the police) had information that they did not previously have.

Recommendations for USAID on TOOs: USAID should oversee these types of grants very closely and monitor and review the purpose, early in the process as grants are being awarded to ensure that the purpose of the grants aligns with the purpose of the approach. USAID should also make sure these awards are being expeditiously awarded so that the nature of addressing conflict can be done within an apppropriate timeline.

3. Peace Dividends Activities

Findings: Of the 11 GDs covering the five locations where peace connector (dividend) activities were undertaken, six groups described the activities as an important contributor to peace. The household survey also supports this, evidenced by the increase in perceptions by those interviewed that inter-ethnic relationships had improved. Examples in ad hoc community discussions cited two connector activity sites in Burnt Forest, the bridge and the market. These examples described a progression from a) little or no interaction between "opposing groups" to b) greeting each other to c) recent intermarriage between groups. Further evidence of strengthening community relationships was provided by three KIIs who said the connector activities provided an initial strong focal point for people-to-people reconciliation processes at a community level, facilitating discussions to decide on mutually beneficial activities, their implementation and ongoing management. The improved relationships then led to additional collaboration, such as helping each other planting seeds, and transporting goods of the elderly to market. The 3Ps final evaluation also confirms the finding of improved positive relationships.

Findings: The school in Burnt Forest has provided a place for interaction between ethnicities and is now being shared equally by both Kalenjin and Kikuyu children. It had been considered a "Kikuyu school" with 60 children in 2009, but it now has130 children with an equal proportion of Kalenjin and Kikuyu students, as well as Kisii and Luhya pupils. The headmaster, while pleased with progress, noted that peace is still "very fragile" and cited a recent example to illustrate this. A student was punished, and the students concerned were asked to bring their parents to school for a consultation. Instead the whole Kalenjin community arrived, armed with weapons, as the students had informed their parents that they were being punished because of their ethnicity. Similarly, he noted the importance of ensuring the student council was representative, as well as the teaching staff and board of governors. This was not yet institutionalized, though.

Conclusion: There is an improved sharing of resources and relationships, but this is fragile.

Findings: According to the few villagers consulted and the Likoni GDs, the peace hut (supported under the 3Ps activity in Likoni) is not in a useful location and therefore not used much. It does not have any equipment or resources attached to it and so cannot be used for other purposes easily (e.g., a resource center for youth).[31] Another example involved the successful milk collection and cooling facilities in Molo/Kuresoi, where buildings have been provided but respondents are "waiting" for cooling equipment. It is not clear whether this was part of the agreement; regardless, there is an ongoing expansion of groups from conflicting ethnicities engaged in milk collection and those benefiting from this economic activity (GD Molo).

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[31]. This potential shortcoming is also cited in Catholic Relief Services. 2012. *People to People Peace Project (3Ps) Final Evaluation.*

Conclusion: These two issues raise questions of expectations and ongoing management, as well as the original decision around where to place the hut. This is, however, not necessarily a poor reflection of the initial process; it could be a question of clarity of hindsight and physical limitations on availability of space.

Findings: The potential issue that connectors may become dividers was raised by two key informants and supported by findings in two documents (Kenya Transition Initiative [KTI] Social audit and Mercy Corps Lessons Learned document). For example, a market connector activity at Burnt Forest, while not a program outcome (it was supported by KTI) serves as an indicator of these potential difficulties. Further, a social audit on behalf of KTI discovered that "out of the 24 stalls that are currently being used, 98 percent of them are owned by the Kikuyu, with the Nandi and Luyha each taking one percent, respectively. The interpretation of the statistics is that the activity has benefited the Kikuyu more compared to their Kalenjin counterparts."[32] Nevertheless this serves to illustrate how, if a resource ends up disproportionately serving one side of the conflict, this could later become a source of resentment from the other group and thus transform into a "divider." The second example of potential (but avoided) vulnerability was provided in a LEAP II document pointing to the dangers associated with benefits appearing to accrue more to one set of stakeholders than another. In this case, the difference was due to the activity being artificially defined by an administrative boundary. Those on the other side were resentful but Mercy Corps was able to address this issue through a different activity.

Conclusion: The potential for connector activities to become dividers, as raised by key informants and noted in previous research (KTI social audit and Mercy Corps Lessons Learned), does not appear to have been realized here. None of these activities has yet become a divider; rather, there is *potential* for that to happen.

Summary conclusion on peace dividend activities: The connector activities have successfully provided a strong focal point for people-to-people reconciliation processes *at this point*. However, relationships remain fragile and activities could become a source of tension in the future. The extent to which the reconciliation processes affected the "peaceful" election is unclear; in the areas where the majority of activities were implemented (Rift Valley), the overarching factors — in particular the Jubilee Alliance and memory of violence — appeared more significant in bringing the communities together.

Recommendations for USAID on peace dividend activities:

- Continue to support the peace dividend approach when undertaking peacebuilding programming as a focal point for building relationships and trust, and facilitating interactions between potentially antagonistic groups.
- Monitor and follow up connector activities over the long term (5–10 years) to create an evidence base to understand the long-term impacts of peace connectors and the extent to which they remain peace dividends, used equally by both parties as originally envisaged. This could be built into the regional conflict mitigation and peacebuilding work through the learning and evaluation mechanism to periodically conduct social audits of peace dividends from Peace in East and Central Africa (PEACE II) and the 3Ps and LEAP II

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[32]. Social Audit Report for Burnt Forest Market, Eldoret East Constituency on behalf of USAID/KTI, 2012, May 28.

programs. This would be a major contribution to the field; there has not been a long-term assessment of this approach.

4. Media, Social Media, and Hate Speech Monitoring

Findings: The final evaluation of the Land and Conflict Sensitive Journalism activity found that the media sector as a whole was widely praised for its responsible coverage of the elections.[33] This finding was also reflected in this evaluation research. All six of the interviewed journalists self-reported that the media sector was balanced and unbiased during the 2013 elections. More than half (six) of the 11 focus groups where the media were discussed also considered its role in the peaceful elections a positive one.[34]

Media behavior during the 2013 elections was affected by numerous factors, including a) a "natural caution" (sometimes considered by respondents to have gone as far as self-censorship) from journalists in light of attention from the ICC and public opinion internationally, b) parallel restraint from previously outspoken politicians[35] and c) the presence of hate speech monitoring and a more robust legislative framework.[36] In the words of one GD member, "The FM stations would not have dared inciting. … They knew they were being watched." Two of six journalists spoken to ascribe this change to the fact that the media had reflected on and absorbed the lessons of 2007–08, and one suggested the media wanted to clear their name. They also said members of the media felt like they were being monitored, including concerns that their mobile phones were being tapped.

All six of the journalists interviewed during the course of the evaluation said the conflict-sensitive journalism training they (or colleagues) received led to more "conflict-sensitive" and balanced reporting of important election-related issues. It also contributed to an increased sense of personal responsibility and understanding of the role and danger of the media. This perception is in line with the final evaluation of the USAID Land and Conflict Sensitive Journalism (L&CSJ) program, which states that it contributed greatly to "a new sense of professionalism amongst the staff of their 15 partner radio stations, alongside a much clearer understanding of their influence and the skills needed to broadcast in highly charged situations where ethnic identities can easily provoke violence." For example, radio programs emerging from the L&CSJ activity highlighted the role of politicians in incitement. These were found to have greatly affected listeners' awareness of these issues.[37]

Interviewees and GD members considered that support led to stronger relationships between and among peacebuilding CSOs, communities and media and provided a platform for the peacebuilding agenda before and during the elections. In the informal settlements of Nairobi, L&CSJ-supported stations were considered by two of the four Nairobi-based GDs to have played a role in supporting peace and conflict mitigation during the election period, giving space to peace actors. In Mombasa, one interviewee highlighted the role of support to the media in

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[29]. G. Adam and N. Harford. 2013. L&CSJ Evaluation, Internews Kenya, iMedia Associates Ltd., 1.

[30]. This was through, for example, being less biased, more balanced.

[31]. G. Adam and N. Harford. 2013. L&CSJ Evaluation, Internews Kenya, iMedia Associates Ltd., 1. This point was raised by two key-informant interviewees.

[32] International Crisis Group (ICG). 2013.

[33]. G. Adam and N. Harford. 2013. L&CSJ Evaluation, Internews Kenya, iMedia Associates Ltd.

creating and strengthening relationships between journalists and civil society actors, including religious leaders, and providing a platform for the latter in calling for peace. The L&CSJ evaluation underscores the strengthened interactive links between the media and communities they serve.

Conclusions: Media reporting of the elections involved a degree of self-censorship and under-reporting of violence, thus diminishing its role in fostering a vibrant, informed political discourse around the elections. However, the behavior of the media was considered positive in that, unlike in 2007–08, it did not inflame tension or provide a platform for hate speech, and it provided more unbiased and balanced reporting. It is difficult to assess how much of this shift is attributable to external aid and USAID-supported interventions, since many other factors influenced media behavior, notably the "overarching factors" mentioned above. External support did, however, play a part by a) providing targeted journalists with the skills to cover election-related and conflict issues sensitively and in an informed way (rather than not reporting at all) and b) supporting linkages between media and peacebuilding actors, enabling the latter to use the media positively for peace messaging.

Findings: Incidents of hate speech were not as frequent as in past elections because of "self-censorship" — for example, in the media the existence of monitoring and the introduction of legislation.[38] Although the evaluation was unable to obtain figures on how many individuals were involved in reporting hate speech through SMS mechanisms, four (of 70) community-based KIIs, without being prompted, reported incidents of community monitoring, and one reported both the monitoring and a successful response.

More broadly, 12 of 93 KIIs highlighted hate-speech monitoring as a factor leading to fewer incidents of politicians inciting violence. Nearly half of these mentions were on the Coast, where the elections were closely fought. One KII described community monitoring as "increasing the sense of surveillance" felt by politicians.

Conclusion: Individuals within communities undertook hate speech monitoring through SMS systems. Alongside other forms of hate-speech monitoring (e.g., by police) and the introduction of a legislative framework, this was a factor in preventing politicians from inciting violence during the elections (and supporting a nonviolent election).

Findings: Through the KCSSP TOO grants, the Media Council of Kenya (MCK) was supported to monitor five newspapers, eight television stations and eight radio stations. According to the final report of the TOO grant, as a result of the support, the Council's Complaints Commission was able to hear and write judgment on a very high profile case involving President Uhuru Kenyatta and the Star Newspaper, which increased the credibility of the Council in the eyes of the public.[39]

The Umati Social Media Monitoring Platform[40] covered the increase in hate speech via social media and members of two GDs reported having received hate messages by social media. On

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[38]. Global Center for the Responsibility to Protect. 2013. "The March 2013 Elections in Kenya and the Responsibility to Protect," 3.

[39] TOO MCK Final Report, 2013.

[40]See the final report of the Umati Social Media Monitoring Platform (Sept 2012–May 2013).

social media sites, it is significantly harder to determine the identity or location of the party propagating hate speech.[41] In print, radio and television media, it is much easier to identify the culprit responsible for any hate speech and hold that person or group accountable. Although there were no reports of hate speech over social media leading to violence during the 2013 elections, it has been associated with violence in other contexts — for example, Myanmar — where links have been established between social media hate speech and violence between followers of Buddhism and Islam.[42]

Conclusion: The evaluation encountered no instances where monitoring mechanisms were able to prevent the use of social media (e.g., Facebook) for hate speech. Mechanisms to monitor hate speech through social media are not sufficiently strong.

Recommendations for USAID on media, social media and hate-speech monitoring:

- Monitor the extent to which hate speech prosecutions result in convictions recommended by NCIC. Efforts in curbing hate speech need to focus on both monitoring mechanisms and increasing the likelihood of successful prosecutions and convictions, when those responsible are identified and there is sufficient evidence for a conviction. While the latter is particularly challenging, as it speaks to various key vested interests and institutional challenges within the justice system, overlooking this crucial part of the equation risks diminishing the effectiveness of monitoring as a deterrent.
- Design accountability mechanisms in conjunction with civil society groups at the county level, to ensure minority groups are sufficiently represented in employment, per the new constitution. Ensure that appropriate hate-speech monitoring protocols are embedded in county assembly procedures to normalize national expectations on behavior with respect to ethnicity.
- Explore ways to monitor hate speech on social media to better understand the extent to which it is a phenomenon of displacement versus a growing medium for vocalization of negative ethnicity.[43] Monitoring mechanisms such as the Umati Social Media Monitoring Platform need to be strengthened and further resourced.

5. Community Dialogues

Findings: The term "community dialogue" reflects myriad forms and understandings.[44] There is no consensus on its definition; this evaluation accepted each community's individual understanding. Nineteen of the 23 GDs considered community dialogues to have contributed to the peace during the 2013 elections. In addition, 16 key informants mentioned that community dialogue played a role in peace during the 2013 election, particularly in the Rift Valley, where

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[41] For instance, some of the social media hate speech was identified as coming from the U.S. — i.e., outside of Kenya. When attempts were made to enlist the assistance of the USG in tracking these people down and holding them to account, it was noted that the freedom of speech laws in USA are significantly different than those in Kenya and it is not illegal to make such potentially inflammatory statements there. As a result, the USG turned down the request.

[42].S. Richards. 2013. "Shae Thot" Rapid Conflict Assessment: The Dry Zone — confidential report for Pact.

[39.] Ethnicity can be positive or negative in terms of its role in development. "Negative ethnicity" describes a situation where ethnicity and ethnic identity, while not the primary causes of conflict, nevertheless become the primary mediums for expressing competition over resources and political power.

[40.] This could be between a small group of elders, large inclusive public forums, peer-to-peer dialogues, religious leaders' dialogues, etc.

most of these initiatives were implemented. In Nakuru, a participant noted: "They have helped communities to air their grievances. In Ndeffo, for example, before the dialogue process there was a cut line, communities were not on talking terms, they did not share even a market, they had different matatu stages, they did not trade with each other, they did not board on each other's matatus. But because of these dialogues, they are now on talking terms, they are sharing the market and even trading together."

The level of contribution, though, is hard to gauge. In South Rift, for instance, when asked, "Without dialogues would there have been peace in the area?" all respondents in the Nakuru and Molo GDs said *yes,* adding that the Uhuru–Ruto factor played a more significant role in uniting them. In Kilifi, Mombasa and Nairobi, GD respondents said that without community dialogues the situation could have been worse. The ways in which community dialogues contributed were noted as the following in GDs:

- Opened communication channels or encouraged community conversations;
- Promoted co-existence and religious tolerance; and
- Discouraged clan-based politics.

Some communities could not dialogue or come to agreement on key issues.

Conclusion: Community dialogues contributed to some extent to the peaceful 2013 general election through providing spaces for community reconciliation, and led to improved relationships and reduced tensions between participating ethnically polarized communities. It is difficult, however, to gauge the contribution, given the overall political context. Peace dialogues addressed the aim of bringing communities together to discuss peace, but may have occurred only at an early stage of reconciliation.

Findings: Four key informants in Bungoma said that interethnic negotiation through the council of elders, local civil society and political leaders resulted in the Mabanga Peace Accord, which one KII said "incited them toward peace." Similarly in South Rift, three key informants noted that intercommunity meetings in Nakuru between Kikuyu and Kalenjin helped them deal with political differences. They considered this to have contributed to the unity of presidential candidates through influencing the leaders' mutual understanding and recognition that their supporters would accept their unity. One highly informed and influential KII in Eldoret also considered this dynamic to have been at play.

Conclusion: There is evidence that in some contexts community dialogues have provided a platform to address issues of power sharing, and how different electoral positions available might be shared peacefully to ensure appropriate and fair ethnic representation.

Recommendation for USAID on community dialogues: In more polarized areas, it is recommended that USAID invest in community dialogues when it is calm and the "political temperature" is low.

6. Peace Messaging

Findings: GDs highlighted 12 forms of peace messaging across the locations visited.[45] The majority of GDs across all regions (17 of 23) cited peace messaging as among the most important factors contributing to a peaceful (or nonviolent) election. In Mombasa, where groups were split according to gender, all of the women's groups cited messaging as the most important factor. Two of the 23 GDs went as far as suggesting that without the peace campaigning and messaging, things "could have been worse." Another suggested that people need to be reminded "over and over again." Four of the 23 GDs specifically mentioned the significant positive impact of the politicians in preaching peace. The messaging contributed to the overall election atmosphere by creating a "tidal wave" with "everyone going in the same direction." This concerted nature of peace messaging from different actors was highlighted by two of the 23 KIIs and has also been noted in the literature on the 2013 elections.[46]

Conclusion: Peace messaging was pervasive in the run-up to and during the 2013 elections across a range of media. Peace messaging, particularly by politicians and elders, made a substantive contribution to the peaceful elections. Messaging broadly supported the overall atmosphere and social norms relating to peaceful behavior under which the elections were contested.

Findings: Six GDs (of 23) highlighted the effect of peace messaging and conflict memory, with those (three of nine) in Coast mentioning that film of the 2008 violence was particularly important. One KII suggested that "the saturation of the public space with peace messages played on people's conflict memory." Messages were sometimes described as *reducing fear and supporting hope* within GDs (four of 23), with one participant stating that "they changed people's perceptions not to be fearful" (GD Kwale) and another noting that it "eased the tension" (GD Naivasha). Peace messages also provided some individuals with a *sense of empowerment*; members of two groups described how passing on messages or wearing T-shirts made them feel they could play a positive role and help shape events. There were some reports in four GDs (of 23) observing that messaging also helped people resist violence. For instance, one respondent in Kimilili described how peace messaging gave him the confidence to rebuke spoilers and "warmongers"; others (two of 23) described how messaging brought discussions on the importance of peace into the public space.

There were, however, also instances of negative impacts related to messaging (four of 23 GDs), suggesting there are risks that need to be managed. In two of the nine the Coast GDs, there was mention that messaging relating to MRC objectives, "*Pwani si Kenya*" ("Coast is not Kenya"), was printed on T-shirts and helped identify divides, leading a messaging war, with other T-shirts communicating "*Pwani ni Kenya*" ("Coast is Kenya"). In Naivasha, the peace T-shirts included Jubilee colors and therefore were unfortunately seen as partisan.

Conclusion: Messages reminded people of the effects of violence and made them self-reflect.

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[45]. A "gap map" showing the nature and extent of the different forms of messaging appears in Annex J.
[46]. See, for example, 1) Richards. 2013. 2) ICG. 2013.

Recommendations for USAID on peace messaging: In light of increasing mobile phone penetration of Kenya and the success of some forms of peace messaging through USAID-supported groups, it is recommended that USAID:

- Support the development of a manual about producing peace messages, addressing specific targeting. It should outline best practices, emerging lessons (both positive and negative), and specifically draw on, create linkages with and tap into private sector experience in marketing and advertising.
- Conduct an analysis of the potential triggers for conflict that are likely in USAID-supported counties (when they are selected) and develop preliminary contingency plans for each county that could identify key stakeholders, possible types of message, issues of language and sensitivities.

7. Capacity-Building of Local Organizations

The evaluation looked at how "local organizations contributed to peace." In Question 5, the evaluation looked at the extent to which USAID activities strengthened CSOs to implement and manage conflict-mitigation programs. As these are conceptually quite similar, the majority of findings are in Question 5, which is forward looking. The information in this section deals with how the capacity building of local organizations contributed to peace in the recent election.

Findings: In primary data collection, triangulated findings did not emerge on how capacity building of local partners contributed to peace in the recent election. In a desk review of partner PMPs and reports, there were objectives that had associated indicators to track these components. However, these objectives address longer-term capacity building rather than the immediate contribution to peaceful elections (see Annex P). In at least one case (with PIK), the causal logic between the most relevant indicators and capacity building is tenuous. In other cases, indicators are mostly output indicators, which may make sense for the short timeframe, but which make it difficult to make statements about how much capacity building took place.

Some partners did mention in their reporting examples of how support to local organizations contributed to peace. Some of those examples are below:

- PIK reported that during their community events in the election period, participants were knowledgeable about peace and gender-based violence and were "instrumental in engaging in critical discussions about peacebuiling"[47]
- LEAP II reported that through strengthening the DPCs, DPC members had solved a total of 39 disputes.[48]
- Through PACT's target of opportunity grants, they reported achievements on tribes being more peaceful through shared markets, joint participation in sporting events and decrease in land disputers.[49]

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[47] PIK Quarter 3 report, 2013, p. 9.
[48] LEAP II EOP final programmitic report July 2013, p. 8.
[49] KCSSP Quarter 3 report, 2013,

- 3Ps reported, "the youth leaders who are being mentored under the KTU program have initiated community outreach campaigns to promote peace and community cohesion through joint community dialogues and sporting and cultural performances, which they implemented to mark the International Day of Peace on the 21st September 2012."[50]

Conclusion: Though there is no direct evidence of capacity building efforts contributing to peace, there is some evidence that IP activities may have indirectly contributed. This is not surprising given that outcome-level results are difficult to achieve in short time periods.

Recommendations for USAID on Capacity Building of Local Organizations: To measure short-term gains (direct contribution to peace of the recent elections) of capacity building, USAID should encourage partners to develop more relevant indicators so that measurement is clearer.

8. Training for Local Actors and Peace Champions

Findings: Seven out of 23 GDs lauded faith-based organizations (FBOs) for their involvement in training local actors and peace champions, leading to enhanced skills transfers in conflict epicenters and contributing to the diffusion of tensions.[51] Two GDs noted that FBOs have organized further workshops with one outcome being a growing trust between CSOs and police that encourages information sharing.[52] Nevertheless, trainings appeared to be concentrated in urban areas (four of 23 GDs) and one group in Kimilili, Bungoma County, noted: "The training hasn't been adequate. There is need for more training."

Besides generally observing that peace awareness was needed, respondents also mentioned the need to do the following:

- Educate women on early warning signs, countering rumors, and peacebuilding;
- Increase public knowledge on the new laws;
- Train people on EWER systems; and
- Conduct barazas to involve the police in educating the public

Conclusion: Training of local actors enhanced their skills to diffuse tensions and increased trust with police forces**.**

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[50] KTU Quarter 3 report, 2013, p.3.
[51]. Group discussions in Bungoma, Nakuru, Naivasha,2-Uasingishu, and Mombasa.
[52]. GD-Mount.Elgon Group B and Kimilili, Group A.

Recommendations for USAID on training for local actors and peace champions: At the county level, several recommended steps are detailed below.

1) Identify an appropriate role for a peace champion in a community. This could consist of some of the following tasks:

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RESPONDING TO MOMBASA CONFLICT RISKS: 'WEB' OF ACTORS IN ACTION

A KII in Mombasa underscored how a USAID-supported program had helped her organization strengthen networks, coordination and relationships between and among different peace actors, including early warning hubs, District Peace Committees and security actors. The result of this interaction was the timely diffusion of tensions in a community during the electoral period. Following a message through the EWER system reporting the marking of the homes of "up country" people, the DPC and police were informed. Together, these three sets of actors used their comparative advantages to respond to the situation by engaging the communities and enhancing security. The result: In that area there was no movement of people.

— *Source: KII Mombasa*

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    a. Be trained in and develop an understanding of conflict sensitivity to be applied to local development activities or Constituency Development Fund (CDF).

    b. Be the lead on peer-peer programs with other ethnicities in the county, if any.

    c. Monitor county development plans for conflict sensitivity.

    d. In the event of a potential trigger event such as a by-election, serve as a community peace champion in the same way as in the 2013 elections.

    e. Serve on the District Peace Committee (DPC) as a youth or woman representative.

    f. Serve as a "hate-speech monitor" at public events.

    g. Conduct further outreach training on conflict management and conflict sensitivity to peer groups.

2) Identify potential longer-term peace champions and develop a cadre that can link with the DPC to extend its reach in whatever form that takes. Given the findings of the evaluation, the following criteria are important:

    a. Look for individuals who are not regular "workshop-goers" and

    b. Focus on youth and women.

3) Design a "self-replicating" model that invests in its own sustainability. Given the evaluation findings, a slow erosion of activity is likely if a way of "refreshing" the system is not found. An example of how this might work is: Identify a community champion through a community selection system, train the champion and provide him or her with a manual describing the role and community expectations. After one year in the position, the community selects a new person to be trained and mentored by the first champion for a few months, and so on.

9. Relationship Building for Local Peace Structures

Findings: Five of the 49 KIIs with whom this approach was discussed indicated a variety of peacebuilding structures, relationships and engagements operating between the national and county levels. In some cases, the linkages cascade from NSC/NCIC to the Provincial Peace Forum, to the county and then to the village level. In some it ends at the divisional level, while others are solely aligned to central government. The legitimacy of these structures also varies

and in some cases they are not recognized by the county governance system; others have linked with the county police security oversight authority and have sector working groups (e.g. in Bungoma County).

At the horizontal level, three of the 10 GDs that included peace actors noted positive relationships between DPCs, CSOs, and community (e.g., youth and religious leaders) with regular meetings between some of the stakeholders (e.g., inter-religious leader meetings at the Coast). This picture was reinforced by the comments of six KIIs noting that inter-religious and interethnic networks and forums have dissuaded clan-based politics and enhanced relationship building among communities. Similarly, the GD in Bungoma noted that a growing trust between CSOs, DPCs and the police encourages sharing of intelligence and information.

In Nakuru, EWER systems are most firmly embedded within an institutional framework: the government-supported peace forum, and Peace Cops program.[53] In that location, two KIIs discussed the expansion of the EWER mechanism to tackle more issues, specifically wildlife poaching and child protection in Nakuru, pointing to the potential for the mechanism to change.

Nyumba Kumi is a community policing model of the GOK that has been implemented in several areas. It encourages households to know at least 10 of their neighbors. All seven groups that mentioned it, excluding one group that had a participant who had an affiliation with Nyumba Kumi, were positive about its contribution to peace.

Conclusion: There have been increased and improved multilevel relationships among different stakeholders working toward conflict mitigation. This supported the emergence of a "web of actors" in conflict mitigation around the 2013 elections, resulting in better information sharing and synergies through a coordinated approach. A multifarious picture of increasingly diverse interactions within the peace ecosystem is emerging.

Recommendations for USAID on relationship building for local peace structures:

- Within the proposed USAID programs moving forward, ensure that lessons learned from the Nakuru regional peace forum and USAID (KTI)-supported Peace Cops are incorporated into other counties and regions that demonstrate similar ethnic diversity and conflict dynamics (e.g., Isiolo, Marsabit, Moyale and Mandera).
- If the Nyumba Kumi ("10 household") community policing model is implemented at the county level as planned, then support the development of appropriate differentiated roles and responsibilities and complementary linkages for DPCs, regional peace forums and the community policing. In particular, draw on the experiences of Likoni with community policing and DPCs during the past six months and over the election period.

10. Training and Support to District Peace Committees

Findings: Community members consulted through GDs did not believe DPCs had made a significant contribution to a peaceful election. Less than a quarter (three of 13) of those GDs that did not include DPC members (and therefore were less subjective) mentioned the committees as either a factor or initiative contributing to peace in their area. NSC was not mentioned

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[53] This is an initiative where part of the police force is tasked with working on community peace and responding to inter-community violence.

substantively in GDs. The survey for this evaluation found little awareness of DPCs being active within the communities surveyed. Only 2 percent of those who were aware of activities to prevent or reduce conflict in their community before and during the 2013 elections cited peace structures including DPCs as one of these activities.[54] Furthermore, when asked who they would report conflict or the potential for conflict to, only 1 percent of survey respondents mentioned DPCs (across all time periods).

These findings diverge from the evaluation of LEAP II, where more than 50 percent of the activity nonparticipants responding to a household survey stated they were aware of peace committees, and 35 percent considered DPCs specifically effective. This divergence of response is hard to attribute, but may be due to the fact that the LEAP II survey was more closely calibrated to the areas where the activity operated, and that the peace committees in this area are at all levels (i.e., not only DPCs, but also subcounty and ward or village levels).

Half of the 10 GDs that included DPC members and 36 KIIs where DPCs were discussed suggested that challenges they face limit their performance and account for variability. Challenges cited were: low levels of trust in some contexts due to relationships with state actors; concentration of structures at the district level with limited outreach to lower levels; not being perceived as legitimate and not being properly constituted through bottom-up transparent approaches; and lack of legal framework; and limited funds.[55] However, there is evidence that in some locations DPCs and other peace committees played a role in addressing the potential for violence during the electoral period in the following ways:

- Enhancing cooperation and communication between stakeholders, such as community members, CSOs, security agents and administration in relation to early warning, potential for violence or incitement and supporting responses. Examples of this role were cited in four of the 10 GDs that addressed DPCs.

- Training the broader public and raising awareness on key peace and conflict issues. Examples were cited in four of the 10 GDs that addressed DPCs.

- A number of interviewees had been engaged in early warning (three of 10) and in mediation, counseling and interventions to prevent the escalation of tensions (four of 10), as illustrated by the case of the DPC in Mombasa outlined in the box on page 22.

However, the extent to which these positive examples can be attributed to training is hard to assess, as other factors were at play. Four of 36 KIIs that discussed DPCs attributed their performance in part to the training they had received. However, this group of KIIs also highlighted other factors impacting performance, including: individual DPC member commitment; length of operation; and quality of relationships with administration, communities and community-based organizations (CBOs).

Conclusion: DPCs contributed to the peaceful election in a number of ways, including through peace messaging, mediation and preventing the escalation of disputes, early warning and

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54. It should be noted, however, that this is a small sample; only 11 percent (133) of the 1,255 individuals surveyed stated that they were aware of activities to prevent or reduce conflict in their area.
55. Many of these challenges were also cited in McCallum, J (2013) LEAP II final evaluation report, July.

response and enhanced cooperation between state actors and communities. However, visibility/awareness of the role of DPCs remains limited among communities. It is difficult, though, to attribute their contribution to peace to the training they received, since many factors were at play. Furthermore, the extent of their contribution appears limited. In light of the challenges facing DPCs, their contribution is likely to be limited.

Recommendations for USAID on training and support to district peace committees: USAID should support the establishment of peace structures at the county level. In doing so they should:

- Clarify the position and legal status of peace committees at the county level; support progress toward consensus in their position within the broader peace architecture and how they relate to both civil society and government.
- Ensure that the selection of peace committee members is a transparent and independent process that is rooted in clear criteria that respects county demographics, gender, ethnicity and stakeholder profiles.
- Ensure appropriate acknowledgment to peace committee service is provided. (This does not necessarily mean it should be pecuniary in nature.)
- Encourage resources to be available to support the work of peace committees at the county level.

Question 2. To What Extent Have These Identified Approaches Addressed Root Causes of Conflict?

Findings regarding the 10 approaches and root causes: Given that stakeholders of this evaluation had different views on what constituted a root cause of the conflicts in Kenya and that USAID did not believe the approaches were purely designed with the intent to address root causes, it was agreed that those identified in the USAID/Department of International Development (DFID) Security Vulnerability Assessment (2009), as listed in the Glossary of Terms at the beginning of this evaluation, would be used as the basis for answering this question.

A comparative analysis in Annex O was drawn from activity documentation and KII data. It demonstrates that the majority of the 10 approaches articulated on the left do not align directly with the root causes.

Conclusion: The 10 approaches as described were not designed to specifically address the root causes of conflict.[56] Nevertheless, the evaluation found some overlaps where activities and approaches touched on root causes and made a possible contribution to addressing them.

It is possible, in principle, for some of the approaches to address root causes and there is some evidence to suggest that a modest foundation has been built. The section below explores the limitations and issues in approaches that have managed to address root causes to some extent.

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[56] The LEAP program incorporated approaches addressing some of the root causes.

Findings regarding community dialogues and root causes: With respect to community dialogues, while Bungoma GD participants felt that community dialogues had addressed root causes by tackling grievances informing interethnic conflicts, they have not been successful in bringing about full reconciliation in the Rift Valley. Participants in Molo and Nakuru GDs said they felt reconciliation had not taken place in their areas, and five of 18 key informants in Nakuru noted that peer groups were unable to dialogue on key issues because of their sensitivity and explosiveness coupled with an absence of redress mechanisms. One key informant felt that root causes are so deep that communities alone cannot resolve them without tapping into legal and policy procedures (e.g., to consider land issues). One key element in the process of reconciliation is the signing of social contracts between groups, which according to Catholic Relief Services' (CRS's) 3Ps final evaluation report, could not be accomplished. Two key informants in Eldoret confirmed this.[57]

Conclusion: Community dialogues have provided the foundation for addressing root causes, by opening spaces to tackle grievances and address ethnic mistrust, in the future if followed up, but community dialogues alone are not likely to effectively address root causes and must be pared with other interventions.

Recommendation for USAID: Build on current momentum and relative postelection calm to address long-standing grievances. Link community dialogue platforms with legal and policy procedures at national and county levels to assist in addressing the root causes that have legal implications, such as land. Follow through and continue with dialogues to the point of drawing up social contracts/agreements with ongoing management and monitoring mechanisms.

Findings regarding targeting vulnerable youth: With respect to vulnerable youth, Nairobi GD participants said dialogue meetings on "at-risk" youth were effective as they are the main targets of political manipulation and perpetrators of conflict. This is corroborated by the desk review; according to CHF Quarterly progress report, Fiscal Year 2013 Quarter 3, more youth turned from their criminal activities to join the Cohesion Champions and became change agents.

Conclusion: "At-risk" youth groups are often the focus of political manipulation or perpetrators of conflict in informal settlements; targeting them with community dialogues could address the issue of growing momentum among criminal groups and militias that can be incited into violence.

Findings regarding land issues: Both of the Coast journalists interviewed said the Internews approach helped people understand coastal land issues better and supported their audiences to address them with some success. This finding was further substantiated by the L&CSJ evaluation that undertook a detailed case study on the dispossessed people of Kijipwa in the Coastal Region. Through the of L&CSJ-supported articles, the Kijipwa District Commissioner was removed, some 9,000 title deeds were given to squatters, and another 1,300 people resettled in the Rift Valley. All of these could be connected to the activity.[58] Across the program areas there were "positive results in terms of raising awareness of local issues, providing communities with the

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[57] Amani Mashinani (peace at the grassroots), Experiences of Community Peacebuilding in the North Rift region of Kenya.

[58] Adam, G and Harford, N (2013), L&CSJ Evaluation, Internews Kenya, iMedia Associates Ltd, July, p. 11.

understanding necessary to engage positively on the issues and to place pressure on key actors to take steps to resolved them"[59] and the L&CSJ evaluation provides a number of case studies.

Conclusion: The L&CSJ activity more directly addressed land issues as a root cause of conflict and was successful, where it operated, in providing communities with information to constructively address the land-related issues affecting them.

Recommendation for USAID and donors: The donor community should provide support to the National Land Commission at the national level to ensure its functionality as well as the implementation of its devolved structures, mechanisms and outreach programs at the county level. At the same time, USAID should support other organizations engaging at a community level addressing land issues. This will serve the dual purpose of enhancing the possibility of "quick wins" and simultaneously provide opportunities for positive modeling.

Summary findings regarding root causes: Political analysts note that many of the key root causes of conflict identified in the 2009 analysis remain[60] and, while some of the USAID-supported conflict mitigation and peace activities (alongside other USAID investments) did address root causes, greater emphasis must be placed on addressing the structural drivers of conflict in Kenya. Although devolution offers a critical opportunity to address structural conflict drivers (e.g., around the allocation of power and resources), it is nevertheless important to address other root causes. The research found that, in the Coast and Rift Valley particularly, land is a contentious issue and liable to become a trigger if frustrations over general lack of progress continue to rise. Land-related conflict was raised in all GDs in the Rift Valley and in six of nine at the Coast. An interview with a land-rights organization and local human rights activist at the Coast found that the distribution of land titles, ostensibly to ease disgruntlement over land issues, had heightened frustrations and perceptions that this was "lip service," as well as creating further conflicts (due to technical issues, such as titles apparently in the wrong name or disputed). Another KII suggested this was the case given the large swathes of prime land owned by senior government officials.

Conclusion: Root causes need to be addressed directly through activities. The way land cases are being handled gives the impression that the government is seriously trying to address at least that root cause. As a result, future programming should address root causes such as land directly to ensure that the community recognizes substantive progress on key issues. This will bolster confidence in the benefits of devolution and also addresses fundamental drivers of conflict while creating space for further progress in devolution.

Recommendation for USAID: Integrated peace building programs are needed that simultaneously address community development needs and root causes, and that mitigate conflict. These are likely to provide the soundest basis for societal change. The findings of the evaluation indicate the effectiveness of integrating peace and development programs (as evidenced by the 3Ps and LEAP II activities) as well as linking with conflict mitigation. The missing piece in the majority of the activities has been an additional component that addresses root causes (although the LEAP II activity was addressing that to a certain extent through its

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[59] Ibid.

[60]. Ibid.

youth program). For instance, in the Rift Valley and at the Coast, this might mean helping communities to understand the legal avenues that they have to explore injustices around land.

Question 3. To What Extent Have Attitudes and Perceptions of Individuals and Communities Changed Toward Peace and Conflict in the Targeted Areas?

Findings regarding changes in attitude: The survey of 1,255 respondents drawn from the targeted areas considered their recall of their attitudes and perceptions at four periods from 2007 until the present. Given that it was retrospective in nature, the survey findings should be considered with caution, as they rely on respondents' memories. The majority of the respondents strongly disagree with the statement "Violence is justified to advance political goals" over the four periods, which were: after the 2007 elections (67 percent agreed with the statement for this period); after the 2010 referendum (71 percent agreed); just before and during the 2013 elections (71 percent); and after the 2013 elections (72 percent). There is little significant change, though, in the proportion espousing these attitudes over the last three periods. This contrasts with the steady increase in respondents who strongly appreciate the value of peace: 41 percent after the 2007 elections; 51 percent after the 2010 referendum; 56 percent just before and during the 2013 elections; and 60 percent after the 2013 elections. (See graph below.)

Conclusion: It is unclear whether people's attitudes about peace and the way they perceive political violence are changing in the targeted areas.

Findings regarding changing relations between ethnic groups: Overall findings, illustrated in the graph at Annex G, show that in respondents' perceptions, relationships among communities in their areas have become increasingly cordial. The proportion who believes this has increased each period, from a low of 16 percent after 2007 to 36 percent after the 2010 referendum, 41 percent around the 2013 elections, and 49 percent after the 2013 elections. Conversely, the proportion who thought intergroup relations have been poor declined from 21 percent after the 2007 elections to 1 percent during each of subsequent three periods. This finding is mirrored through four different questions and/or statements in the survey, when respondents were asked:

- To rate their agreement with the statement, "I am my ethnic group first and a Kenyan second," which remained roughly the same over the four time periods.
- To rate their agreement with the statement, "Any ethnic group can live in this area."
- To answer, "How likely were you to discuss conflict issues with a member of a different ethnic community?"
- To assess their agreement with the statement, "You appreciated the value of peace."

Conclusions: The qualities of relationships among communities in their areas have, in respondents' perceptions, been increasingly cordial.

Findings regarding attitude about political violence: In the period around the 2013 elections, 213 of the 1,255 respondents strongly agree that violence is justified to advance political goals. After

the 2007 elections, 13 percent agree; after the 2010 referendum, 14 percent; just before and during the 2013 elections, 17 percent; and after the 2013 elections, 15 percent. Of those who agree with the statement, 80 percent are youth (aged 18 to 35) with the majority in the 24–29 (33 percent) and 30–35 (29.8 percent) age brackets. A regional analysis suggests that over the four periods, Nandi County has the most respondents who strongly agree that violence is an option to advance political goals. These constitute 22 percent of all respondents in that county for the period after the 2013 elections. Uasin Gishu County is second, with 11 percent of its respondents holding the same view. Nairobi is third with 8 percent in the same period (after the 2013 elections). Kericho, Mombasa, and Nakuru had a negligible portion in favor of violence (1 percent to 0 percent).

Conclusion: Although there is some evidence that could indicate that people's attitudes and perceptions toward peace are changing positively, there is also a small but significant segment who agree or strongly agree with the statement, "Violence is justified to advance political goals."

These findings suggest that effective programming around resistance to incitement would yield more consistent peaceful attitudes. While programming may have impacted some individuals, it is possible that the overall impact of activities is not yet big enough to be reflected in the broader population.
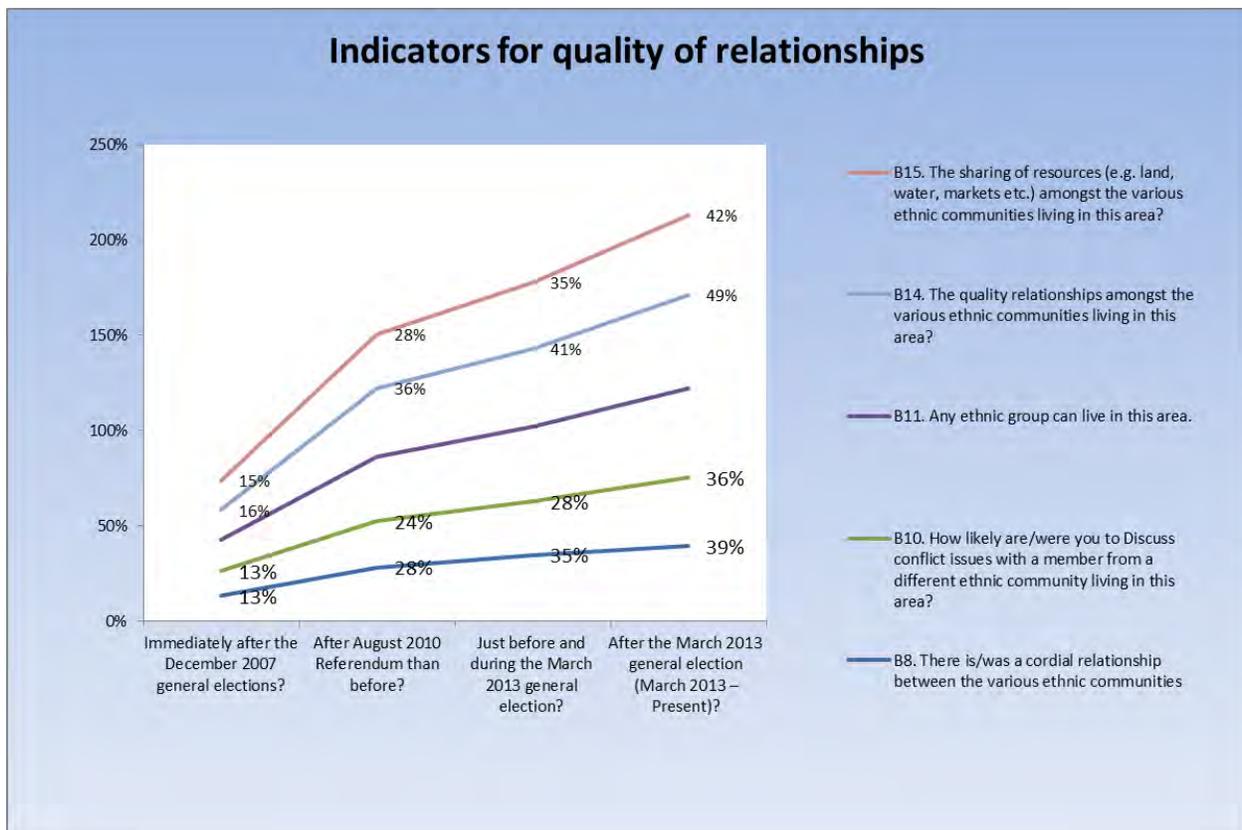
Recommendation for USAID: The findings show the importance of demographic and geographic targeting of specific groups for peacebuilding and conflict. This in turn suggests that design of activities requires a sound research basis to understand which youth are vulnerable and the reasons behind their views about violence, to maximize the chance for successful impact.

Question 4. What Components Are Likely to Continue to Influence Conflict Mitigation After Program Closure?

In considering which components are likely to influence conflict mitigation after the program ends, the evaluation disaggregated components into three types:

- Components relating to people; for example, relationships and contacts.
- Components relating to mechanisms and institutions; for example, organizational development of CSOs and peace structures (e.g., DPCs, EWER).
- Components relating to tasks within activities; for example, data banks and peace dividends.

Discussions also touched on how peacebuilding and conflict mitigation activities are viewed as either event-oriented or process-oriented. The data for the evaluation question were obtained from semi-structured KIIs and GDs, with a large range of different stakeholders, each of whom had a narrow understanding of the panoply of activities. They also had different foci, understandings and perspectives on some of the activities of their interest. As a result, the topic of sustainability emerged in different ways and forms throughout discussions and quantifying specific mentions of different components is not helpful. Nevertheless, numbers will be presented where possible, but extreme caution should be applied in attributing meaning to them. The comments below are illustrated by quotations showing the challenges of these programs' sustainability.

Findings reflecting an overview of sustainability:

- *Senior leaders' overview:* Four senior national figures[61] opined that sustainability of peacebuilding and conflict mitigation activities was limited, using phrases like "most will fade away," "many elements won't be sustainable," "most components won't continue" and "are not sustainable except where activity(s) are going forward."
- *Halting activities after the elections:* GDs in Kilifi and Nairobi noted the phasing-out and halting of activities after the elections, with no follow-up from within the communities. In Korogocho, they said that "NGOs (nongovernmental organizations) disappeared after the elections." One KII noted that activities were fundamentally donor-driven, so when stopped after elections, it was not a surprise that there are issues with sustainability.

Underlying causes: Two KIIs (out of 40 where sustainability emerged in discussions) noted that the majority of activities around the elections had been short-term in nature; one pointed out that donors were more interested in seeing organizations expend resources and "get funds out of the door," followed by a decline in support, adding, "This is not good for sustainability." A GD in Nairobi raised the point that peace initiatives had "scratched the surface and had not addressed underlying causes" and so could not be sustainable. This opinion was also supported by a senior national civil society (CS) leader at the Coast, who observed that since underlying issues have

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[61]. Three of the four were from government institutions and one from civil society, although all the government officials had extensive experience in civil society before taking government appointments.

not been addressed, people's behaviors will revert for economic reasons, saying, "People will slip back into old patterns."

Conclusion: Overall, sustainability is limited in all three components without further support.

1. Components That Relate to People

The range of comments relating to this aspect of programs noted that sustainability is contingent on the commitment of the person, the extent of embedding or linkage with institutions and their location.

Findings relating to people and skills: One of the two media KIIs at the Coast, in comments echoed by Internews staff, noted that sustainability and follow-up on key issues in that area is limited due to "brain drain" to media houses in the city (due to increased skills of those who move on). The skills are retained by the individuals within the sector, but the capacity issue is again at the Coast where need is high. Internews has started trying to ensure that the approach is embedded more sustainably into journalist training by working with Daystar and Moi universities trying to incorporate conflict-sensitive journalism into their undergraduate communications and media curricula. One of the 10 leaders at the Partners' Meeting, asked about the sustainability of investment in skills, said those trained still have skills but no continued investment in peacebuilding and conflict-mitigation activities. Thus, they are unlikely to continue using the skills due to the donor "fashion industry," where the next trend in programming will be devolution, water, sanitation and hygiene (WASH) or some other development sector.[62]

Conclusion: While skills may be retained at the individual level, staff turnover within sectors is high and opportunities to use skills may be limited. There are ways to increase the chance of institutionalization of skills (about which there is growing literature), but this is also a reflection of the inherent nature of training.

Findings regarding new relationships: Two of 30 civil society respondents noted that they had benefited from new partnerships with international, national and local organizations during the course of their activities and these will continue moving forward. The continuing nature of this type of relationship was echoed by a CSO leader in Mombasa, who observed that relationships between civil society and the police force would continue, as will the network of relationships between actors there.

Conclusion: There is some evidence of new partnerships and/or strengthened relationships among peace actors and between peace actors and police.

Findings regarding community dialogues: Some community dialogue platforms are still in existence, as evidenced by eight GDs out of 23 who mentioned this. Community dialogues combined with connector activities seemed more sustainable, as they gave the communities an opportunity to continue interacting, according to Kuresoi respondents. In Nakuru, participants felt that community dialogues should continue, as the time to engage in community dialogues is while "things are cool" — meaning that after the election, people are calmer. Further evidence of

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62. There were many nods of agreement from others when the leader said this.

legitimacy and relevance is revealed by an example from a Mombasa women's GD: "Interreligious dialogue and interethnic dialogue forums, these forums are still in existence to date — we use them as development forums." In contrast, one key informant, who is a central proponent of a series of community reconciliation dialogues between Kikuyu and Kalenjin, said bluntly: "The only thing that is sustainable are the 'merry-go-rounds.'"[63]

Conclusion: The existence of community dialogues seems to depend on the extent to which they were embedded in the existing structures/community structures and accepted as legitimate methods of addressing community grievances.

2. Components Relating to Mechanisms and Institutions

Findings regarding organizational strengthening: Ten organizations were interviewed concerning institutional development (ID) and not one said they were fully sustainable. Their vulnerability depended on the extent to which they relied on external funding; thus the two religious institutions, Anglican Church of Kenya (ACK) and National Council of Churches Kenya (NCCK), noted they have been able to access funding from diverse donors following capacity-building, but their activity level and size are still essentially activity-dependent. Similarly, strong organizations like KECOSCE have diversified funding and feel more secure, but overall viability still depends on the size of the external donor funding pool. As one KII noted, "All civil society is based on donor funding levels when it should be based on ideology." Three organizations had a slightly different model; two were supported to a certain extent by voluntary contributions of time and funding from their constituency (women and youth) and the third has been able to access government contracts for work on roads. All three acknowledged vulnerability as organizations, citing the issue of volunteer/staff livelihoods as a fundamental constraint. One KII said: "We have the policies in place, but personnel is a challenge. Potential leaders went to look for jobs [that could provide regular salaries and livelihoods]. We are grooming other people, but we have a gap and so our sustainability and activities are down." Another organization representative stated bluntly, "Sustainability? Yes, we have been looking at that — we may have to close down if we don't get more funding soon."

Conclusion: There was a heavy emphasis on ID as a mechanism to strengthen organizations, but this approach does not guarantee sustainability. CSOs are still reliant on external donor funds.

Findings regarding DPCs: District peace committee sustainability was mentioned in several interviews with KIIs[64] raising it 12 times, noting that they are vulnerable and need continued support. GDs also noted that they face significant challenges and ongoing capacity-building needs (two of 10 GDs cited these), as well as a lack of funding (highlighted in three of 10 GDs). Their vulnerability is exacerbated by a lack of clarity over how they will relate to the new county structures and what support they can expect to receive from county government.[65]

Conclusions: DPC sustainability is very uncertain.

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[63] "Merry-go-rounds" refer to an economic savings model used by groups who all pay in a certain amount weekly, and then each month one member receives the group savings to use or to invest the monies. (This is illustrative; there are many variations on the model.)

[64] Four of these KIIs were with DPC chairmen or deputy chairmen.

[65] McCallum, J (2013). LEAP II final evaluation report, July.

Findings regarding EWER mechanisms: Eight KIIs and one GD mentioned EWER systems (five from Nakuru) as still being active, although at diminishing levels. One KII noted that alerts are one thing, but analysis and response are difficult to sustain. One senior security officer also acknowledged the importance of information coming from these mechanisms. As mentioned in Question 1, EWER systems in Nakuru are most firmly embedded within an institutional framework: the government-supported peace forum and Peace Cops. In that location, two KIIs discussed the expansion of the EWER mechanism to tackle more issues, specifically wildlife poaching and child protection, pointing to the potential for change. Some EWER monitors are volunteering time; for example, one KII in Bungoma is volunteering and another at the Coast stays in touch with the 63 monitors who were deployed there.

Conclusion: EWER mechanisms show some signs of being sustainable, but this seems dependent upon goodwill and the extent to which they are embedded in institutional frameworks.

3. Components Relating to Tasks

Findings regarding peace dividends: Six out of 11 GDs where peace dividends were located mentioned their belief that these connector activities are sustainable and continuing. Those noted include milk collection, bridges, tree planting and road maintenance work. There are two fundamental sorts of connector activities or peace dividends; those based around infrastructure and those that are focused on joint economic activities.

Conclusions: The infrastructure will likely last for many years (e.g., Peace Hut, water points, market, school block and bridges), but it is less clear to what extent the relationships and joint activities are robust, which are debatably the most important aspects.

Findings regarding economic success: Two youth organizations interviewed[66] noted that their groups are still active around football teams and economic activity, but the LEAP evaluation[67] noted a tension between achieving peace objectives and the economic objectives with group formation. In other words, to achieve success, economically mixed ethnic groups (aimed at strengthening peace between groups) may not be the most effective methodology.

Conclusion: Economic success may depend on forming ethnically homogenous groups, which is not in line with the objective of the activity.

Findings regarding peace as a process: One of the debates that emerged as a result of the sustainability discussions was the important point that peace must be seen as a process, not as an event. While some of the USAID-supported activities were implemented over a number of years, there is tension around how these programs planned to ensure peaceful elections in 2013. Eleven of 23 GDs said peace should be seen as a process, not an event; this was corroborated through 25 key informants' observations. For example, one respondent in Korogocho said "projects within the slums, especially the hotspots, should be an ongoing activity ... beyond the five-year cycle of elections and violence that are usually witnessed." A respondent in Mombasa concurred: "CSOs' and CBOs' activities ought to be an ongoing process that should not be stopped after elections

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[66] ASTEP and Marihiano.

[67] Burbank, K, 2010.

are done, only to be revived after five years." This conclusion is also underscored by the findings under Question 2 that suggest programs did not always address root causes sufficiently.

A number of respondents also said the best time to work on peace processes is when there is no elections distraction. For instance, in Naivasha a respondent observed, "The process of peacebuilding should start now, when there is peace. We should not wait for the campaign period." As another noted, "Now is the time to engage in intercommunity dialogue when things are 'cool.'"

Conclusion: Peace processes require continuous investment and may be best addressed separate from the elections. *Peace is a process not an event*: Many of the activities were strongly aimed at the elections, rather than a sustained peace.

Findings regarding sustainable reconciliation: In "Building Peace: Sustainable Reconciliation in Divided Societies,"[68] Jean-Paul Lederach presents a diagram (see Annex H) showing that the timeframe needed to advance conflict transformation and achieve the possibility of societal change is between five and 10 years. The programs reviewed for this evaluation have established foundations that, in some cases, are just nearing the five-year point, so it is possible that further investment will yield the desired benefit. A number of KIIs pointed to a clear window of opportunity to move this agenda forward, given the lack of elections distraction.

Conclusion: To fully capitalize on the foundations and progress in peacebuilding and relationship building, USAID's approach had dual objectives: longer-term peacebuilding and capacity-building (e.g., the reconciliation processes) and the mitigation of election violence during the 2013 elections. While there is evidence of success in electoral violence mitigation, expectations and results in relation to the longer-term peacebuilding have yet to be fully realized. Further investments are required to achieve the social return on investments to date and would enhance sustainability and possibly reach a tipping point. There is a case, for example, for consolidating the reconciliation work in the Rift Valley undertaken by the 3Ps activity.[69]

Recommendations for USAID: In a context of reduced funding, it is suggested that coordinating within the broader donor community around peacebuilding will be even more important to prevent duplication and maximize effectiveness. Correspondingly, it is suggested that USAID:

- Continue to support some elements of the peacebuilding portfolio in vulnerable areas to maximize the chances of truly sustainable change, particularly if pursued with a simultaneous agenda of addressing root causes in the same locations
- Build on the good donor coordination practice and the relationships established by USAID during the election period to allocate resources even more effectively; and
- Consider coordinating with DFID on their new £14 million Kenya peace and security program to identify gaps and areas of complementarity.

Further, it is recommended that USAID consider the extent of sustainability expected within activities before their startup, and explicitly acknowledge the expectation in the award.

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[68] Lederach 1997, 80.

[69]. Catholic Relief Services. 2012. *People to People Peace Project (3Ps) Final Evaluation*.

Considerations should include the extent to which sustainability is a) desirable (should all organizations and components be fully sustainable in the long term?) and b) realistic (is sustainability likely to be achieved in the absence of continued external donor support and if USAID withdraws support?). In the event that USAID decides to emphasize sustainability, it is recommended that USAID consider the level of support for the model of sustainability that is incorporated in the design of the activity.

Finally, although USAID will be operating in a reduced budget environment for these program areas, it is critical to capitalize on the significant investment in peace processes to date. This is important for two fundamental reasons: to capitalize and build on the progress made in a context that requires a medium- to long-term commitment; and because the need for conflict mitigation continues.

Question 5. To What Extent Did USAID/Kenya Strengthen Civil Society Organizations' — Especially Local Partners' — Ability to Implement and Manage Conflict Mitigation Programs?

This approach aimed to strengthen the technical and institutional capacity of local partners to implement USAID conflict-mitigation programs.

Findings: The sample size for assessing this aspect and answering the question was small: 11 organizations, consisting of nine formal and two informal ad hoc interviews (see limitations section above).[70] The data do raise a number of questions for USAID to consider that cannot be answered adequately in this report. Strengthening of local partners was undertaken through the following approaches: a) organizational development, b) provision of skills training, c) mentoring and accompaniment and d) provision of grants to implement programs.[71] All nine of the local partners interviewed rated partner support from Pact, Mercy Corp (MC) or International Rescue Committee (IRC) highly, pointing to the following evidence:[72]

- Improved manuals, systems and accountability (nine of nine mentioned);

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[70] Given the constraints of the evaluation it was necessary to compromise in order to adequately cover the six formal evaluation questions in interviews as well as obtaining insights into the 10 approaches. This meant that to save time and prevent wasted energy, some interviewees were asked about a number of different aspects in the same interview. In terms of strengthening local organizations this means that there is a potential for positive bias due to the fact that criteria for KIIs were based around their having a deep contextual understanding of the peacebuilding and conflict mitigation sector, the geographic region as well as the political dynamics where they are located. This sort of person is more likely to be a leader within a competent organization with a broad overview and substantive network. Hence the sample may reflect the stronger end of the spectrum of organizations supported through an organizational strengthening process. The other limitation on this section is the reliance on and extent of self-reporting. The findings are drawn from KIIs reflecting on their own organizations, some limited subjective triangulation with the IP on occasion, documented OCAs (also self-reporting) and an ad hoc and random self-assessment of aspects of the organization using the IDF. A deeper more satisfactory process would have required a day with each organization assessing its systems and interviewing a range of staff in different departments.

[71] Desk review, KIIs with IPs

[72] In fact, 10 organizations were interviewed but one of them had not had any specific support from the partners except indirectly as a sub-grantee of a grantee. This organization had decided to undertake the process by themselves seeing its usefulness, using the Pact OCA tools.

- Improved governance and division of roles between board and management (seven of seven mentioned; the MC supported organizations had not covered this aspect);
- Improved skills; for example, fundraising proposal writing, advocacy, peace and conflict, monitoring and evaluation (11 of 11 mentioned at least one improved skill); and
- Additional self-initiated, organizational strengthening initiatives; for example, audits and further organizational capacity assessments (OCAs) (four of nine mentioned).

All 11 local partners who were interviewed said their ability to implement programs had improved. Most emphasized the strengthened organizational structures, systems and policies, although a few were not always able to provide convincing evidence of improved program implementation or application of new skills. Some quotations illustrating positive examples include the following observations from CSO leaders:

- "As a result of improved finance systems, we were able to know where we were in our grant spending and better plan and manage our activities."
- "We were able to use our new skills on governance at the county level using the 'leadership-vetting tool.'"
- "We applied the peace and conflict training from (KCSSP) and Pact in the rapid response we undertook in Baringo addressing the Pokot–Marakwet issue."
- "The (LEAP) training on how to conduct dialogues from Mercy Corps we had received was very useful and worked well in Burnt Forest when we started to bring communities together to reconcile."

An example of a less-convincing piece of evidence was: "We used the peacebuilding skills in our interactions with people." This does not necessarily mean they did not use the skills, but rather may be a reflection of their ability to articulate their use more convincingly.

There was some evidence of a "multiplier effect," with two organizations able to point out that they had been asked to conduct further trainings for other organizations on the topic of peacebuilding. (ACK provided trainings to KTI grantees and NCCK gave similar trainings to the ACT Alliance organizations.[73]) It is telling that one of the organizations interviewed had decided to undertake an organizational capacity assessment (OCA) by themselves, without any support from an IP.

There are many challenges associated with attempting to strengthen civil society. At the Partners' Meeting, a number of issues were raised that deserve greater analysis: constraints imposed by USAID programming such as the limitations of capacity-building through the mechanism of grant disbursement; the primary focus on USAID programming objectives rather than on the needs of the organization; and the focus on compliance rather than development and learning. Other identified challenges included the significance of the CSO leadership for success in organizational change, as well as the importance of political will, without which little will change.

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[73] ACT Alliance is a coalition of 14 church groups globally. NCCK provides these services for the Alliance in Kenya.

Conclusion: There are good indications that USAID activities improved general management skills of civil society organizations leading to improved *effectiveness* (the ability to achieve objectives and the factors involved) of program implementation.

Findings: Mentoring approaches were mentioned as critical in conjunction with skills training and organizational development. Two local partners spoke about mentoring, and the IPs conducting this organizational strengthening support at the Partners' Meeting were in broad agreement with the importance of mentoring.

Conclusion: Intentional, long-term mentoring adds significant value to basic investments in skills and ID, enabling their enhanced practical application.

Recommendation for USAID: It is recommended that USAID build into their devolution support program a component that allows for small grants and training to be provided to civil society, enabling these organizations to fulfill their role of holding government accountable at the county level. Particularly important areas for strengthening include: advocacy campaigns, vetting procedures, input into development planning and monitoring the county budget within sectors.

Question 6: What Key Lessons and Good Practices Can Be Identified for Future USAID/Kenya Conflict Mitigation and Civil Society Strengthening Programming?[74]

To answer the question as stated, this section examines good practices found among the USAID-funded conflict-mitigation activities before presenting some lessons learned from the aggregate range of conflict mitigation and peacebuilding initiatives.

Good Practices

Two approaches adopted by the activities stood out as examples of good practice:

- **Experiential Learning Methodology:** The Land and Conflict Sensitive Journalism activity using this methodology is described in the activity's final evaluation as "one of the foremost examples of good practice in the field of media development."[75] All the journalists interviewed during this evaluation corroborated this view. They considered the experiential "learning-by-doing" approach to capacity-building and skills development to be highly effective. This approach involved a mix of workshop training with ongoing mentoring and accompaniment to build their understanding of the key issues and their skills, while creating stronger linkages with other peacebuilding actors and communities.

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[74] Lessons learned is a required section for any USAID evaluation. Since USAID requested special attention to it, it remained as a sixth question, but USAID and the evaluation team agreed that Question 6 would replace a lessons learned section. However, the question does not have findings, conclusions and recommendations, as a lessons learned section would normally be written.
[75]. G. Adam and N. Harford. 2013. L&CSJ Evaluation, Internews Kenya, iMedia Associates Ltd., 1.

- **Integrating peacebuilding approaches holistically:** The 3Ps model (People to People Peace Activity) final evaluation report notes in its conclusions that within the 3Ps approach, the methodology demonstrated that a community-driven and community-based approach can yield considerably more than the face value of the activity budget.[76] Similar to the comments noted on L&CSJ, the 3Ps model was lauded by participants from six GDs in both Mombasa and Nakuru. They considered its strength to lie in the fact that it involved all segments of communities and made use of existing community structures and human resources, such as the clergy. It is able to reach even the lowest community levels using techniques such as peer-to-peer discussions groups. A further strength, noted by both KIIs and the evaluation report, was the integrated blending of community dialogues, community structures (as noted) and, importantly, the incorporation of connector activities as development and peace "focal points."

Emerging Lessons Learned

This section considers emerging recommendations for USAID/Kenya and lessons learned for global audiences.

1. Integrating Gender-Based Violence and Peacebuilding

The PIK activity not only helped to capitalize existing peacebuilding structures to support GBV prevention and responses, but also highlighted the linkages between GBV prevention and peacebuilding approaches while redefining GBV as a peace issue — meaning it can begin to receive an audience among strong stakeholders (including the police).

2. Improved Targeting of Programs to Key Conflict Actors

Targeting the most *vulnerable* youth (i.e., those most vulnerable to political manipulation or involvement in violent activities) is critical in joint peacebuilding and livelihood programming. The findings from the survey showed that immediately before and during the March 2013 elections, 17 percent of respondents agreed or strongly agreed that violence is justified to achieve political goals. The vast majority (80 percent) of these were youth. Although this does not mean they necessarily would use violence, it is an indicator of the possibility. At the same time, 78 percent disagreed or strongly disagreed with the same statement. Again, a significant proportion was youth. This finding suggests that targeting is critical for engaging and influencing the "at-risk" youths, even though they may be only a small percentage of the overall youth population.

That greater effort is placed in future programming to identify the most "at-risk" groups and understand the drivers of their attitudes and potential behaviors, as well as ensure that they are included in mainstream development efforts aimed at youth.

3. Integration of Early Warning and Early Response Mechanisms

There is still a gap between early warning mechanisms and effective response mechanisms. EWER requires a strong integration between the two elements to be successful; in the absence of this, there should be a strong referral system as a fail-safe mechanism.

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[76]. Catholic Relief Services. 2012. *People to People Peace Project (3Ps) Final Evaluation*.

This lesson emerges from the experiences highlighted in the response to question 1, where there were examples of a) no response from authorities or other actors; b) tolerance (i.e., law enforcers taking early warning reports lightly and being unresponsive or slow, even in an emergency); and c) the possibility of EWER system abuse.

Cross-Cutting Issues for USAID/Kenya

This final section lays out some strategic recommendations for future programming that are not covered elsewhere in the report and that cut across the evaluation questions.

Findings:

1. The Political Landscape. At present, the Kenyan political landscape is very unpredictable, particularly given the current situation at the ICC. In response to the question "What might the conflict risks in the future be?" 35 of the 114 GDs and KIIs considered the alliance between Uhuru Kenyatta and William Ruto to be vulnerable. Respondents expressed great fear that violence would erupt in the Rift Valley if the two are not treated equally at the ICC proceedings.[77] Other serious potential causes of conflict that emerged during the course of discussions and interviews include the expanding extractive industries, particularly at the Coast, in Turkana and in the Ilemi Triangle. Other big development projects, it was suggested, also hold the potential to cause conflict, such as the proposed South Sudan pipeline and the port at Lamu. Negative involvement of youth was considered a rising potential concern, often coupled with the issue of drug prevalence. Land continues to be an important issue that needs to be addressed and still has the potential to be a trigger for violence.

   It is interesting that all of these concerns feed directly into or reflect the root causes listed under question 2. This illustrates the seriousness of the concerns and the potential dangers of conflict being expressed in violence in the future. Significantly, the devolution process itself was cited in 35 of the 114 GDs as being an emerging potential source of conflict and possible violence. This received the third-highest number of mentions as a conflict risk after land and the outcome of the ICC cases. This will be explored in more detail below, given the proposed focus of USAID Democracy, Rights and Governance (DRG) programming going forward.

2. Erosion of a Positive Enabling Environment for Change. Concerns were also raised from KIIs regarding the eroding enabling environment in which the conflict risks described above are emerging. Informants noted the lack of progress in the reform agenda, as evidenced by the daily debates in the public arena and national media. An example is the proposed introduction of the Media Council of Kenya bill. If enacted as written, it will curb the independence of the media and its powers of expression. The proposed changes to the Public Benefits Organizations bill, 2013 (known colloquially as the "NGO bill"), include a limit of 15 percent of funding from external donors.[78] Together, these are seen as worrying signs that

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[77]. Some were not so pessimistic; and one key informant gave the opinion that eventually there would be some small outbreaks of violence. He said the problem, though, would be that this perceived injustice would add to the existing latent sources and be "tapped into" in the light of another trigger event such as the next elections. At that point, it might explode into extensive violence.

[78]. This is the same clause that is found in Ethiopia's Charities and NGO Act, which has had a devastating impact on civil society in that country.

the space for civil society is reducing, which will impact on their ability to hold the government accountable at both the national and county levels. In addition, each of the two KIIs interviewed working specifically on land issues highlighted that the National Land Commission has not been sufficiently resourced and supported politically and is now struggling to fulfill its mandate.[79] Public disputes between the Commission for the Implmentation of the Constitution (CIC) and the National Land Commission over whether the latter has the right to sign land title deeds also reinforce the perception that the National Land Commission is being undermined.[80] Finally, the police reforms also seem to be struggling as noted in a July 30, 2013, Amnesty International report that suggests the Kenya government is attempting to water down reforms.[81] Taken together, these issues can be interpreted as signs that the environmental context for positive change is potentially weakened.

3. <u>Devolution</u>. In their efforts to encourage citizens to vote peacefully in 2013, civil society leaders sent out strong messages around future opportunities for citizens to address their grievances through the new system of devolved government and the importance of not using violence, which would derail new constitutional measures. While this possibly contributed to peaceful elections, it has raised the stakes considerably on the need for devolution to succeed. Now, expectations are high that devolution will solve myriad social problems and neutralize some of the root causes of conflict outlined above (e.g., social and economic marginalization of some communities). In the words of one civil society leader, "We gave hope and we promised. … Now we have to fulfill those promises." Unfortunately, devolution is not a panacea, and if expectations are not met and frustrations continue, violence again may be seen as an option. There is no shortage of challenges to the implementation of devolution, given the current low base of knowledge and understanding of the expected shape of county processes, structures and mechanisms. This is aside from the paucity of knowledge of the underlying principles of good governance that would hopefully inform implementation. Thus, it is likely that the devolution process will take a number of years before sound positive change is witnessed. This timeframe may be incompatible with current expectations that need to be proactively managed. As a consequence in its devolution programming support, USAID will need to have an eye to the potential conflict dynamics and concerns that have been raised by stakeholders with respect to devolution.

Findings reflecting concerns about the devolution process:

1. <u>Deepening of inequalities</u>. NCIC and senior Kenyan leaders have noted in the Kenyan national media the dangers of deepening inequalities or ethnic minorities being marginalized within the devolved system.[82] The fear that some ethnic groups will not be represented in county government has led to the concept of "negotiated democracy" in some counties where

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[79]. KII in Mombasa noted this concern.

[80]. For instance, see recent articles in the Standard newspaper:
http://www.standardmedia.co.ke/?articleID=2000096440&story_title=cic-says-land-commission-should-not-sign-land-titles.

[81]. http://www.amnesty.org/en/news/kenya-parliament-must-reject-amendments-police-reform-package-2013-07-30

[82]. See for instance http://www.nation.co.ke/News/politics/Devolution+could+cause+ethnic+tension++warns+NCIC/-/1064/1239506/-/ifsp41/-/ and http://www.capitalfm.co.ke/news/2013/07/ruto-meets-ncic-urges-cohesion/

political power sharing is agreed to prevent a group being "blocked out."[83] The deeper danger is that politics at the county level become the "politics of numbers," as described by Dr. Makodingo in his unpublished paper by that name.[84] This portrays a picture of politics, representation and power dominated by ethnic voting blocks, and the numbers within these blocks that can be brought to bear by a group.

2. *A fractal of the national picture.* This danger suggests that the national political model is devolved down to the county level. At its worst, this may include the less-positive facets of national politics such as corruption, the capture of political and economic power in the hands of a small number of people, the creation of "incestuous socio-economic enclaves" — a danger in monoethnic counties or those with little diversity.[85] Devolution of ethnically based conflicts: Some sources note that there is a danger of ethnically based conflict systems operating at the county level even in homogeneous counties. This may have implications for future elections. In the words of one respected Kenya analyst "The next election — 2017 — will be a lot 'rougher' as devolution beds in and the dynamics of ethnic politics and potential for associated violence are played out at the county level." This point is reflected in Ghai (2007), who states: "Once a community finds that it has outlets for its politics and policies at the local level, intra-community differences come to the surface and become the points of contention in the political process at the local level, represented and fought through competing … parties."[86] This occurrence was also seen during the course of the evaluation where the conflict dynamics and violence in Bungoma have expressed themselves at an intra-clan level.

3. Competition for resources. With the challenges associated over the creation of new wards, there may be a potential increase in the disputes over borders at the ward and county level, as well as other associated resource disputes, particularly natural resources such as land, water and extractives. The World Bank notes that the county government bill and the IEBC rules around boundaries and wards are themselves in conflict, and if followed, they would require the redrawing of 46 county boundaries.[87] KIIs in Nakuru pointed to the emerging risks around boundaries.

Conclusion: Numerous contextual factors will also inevitably continue to affect stakeholders' ability to sustain peace and mitigate conflict.

Recommendations for USAID regarding devolution:

1. Embed conflict-sensitive approaches in *all* aspects of the emerging devolution landscape. This will require training partners and county officials, and providing ongoing support in staffing, planning, budgeting, resource allocation, implementation and the like. Similarly, ensure

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[83]. The evaluation was informed of this taking place in Nakuru, Bungoma and Kwale in particular, although it also took place in other areas (e.g., Isiolo).

[84]. Dr. Makodingo. 2013. "*The Politics of Numbers.*"

[85]. O. Nyanjom. 2011. '*Devolution in Kenya's ne Constitution*' Constitution Working Paper No.4, Society for International Development (SID), Nairobi

[86]. http://www.arrforum.org/publications/occasional-papers/40/94-devolution-restructuring-the-kenyan-state.html

[87] World Bank. 2012. "Making Devolution a Game Changer; 10 Ways to help Transition Succeed." Presentation to Kenya Parliamentary Caucus on Devolved Government. http://siteresources.worldbank.org/INTAFRICA/Resources/257994-1335471959878/Making_Devolution_a_Game_Changer.pdf.

that a conflict lens is applied to all USAID-supported sector programs at the county level. Building on the experiences and successful USAID coordination model through USAID's Regional Partner Working Group, ensure that all programs are aware of the potential conflict dynamics that they may inadvertently exacerbate at the county level. The USAID portfolio approach to coordination of activities could bear similar results in terms of improved reach, crossover of sectors and synergies of learning as displayed in the election work.

One way to take the conflict sensitivity agenda forward is through the allocation and embedding of a conflict specialist at the county level in a USAID activity to advise both government and implementing partners on how to practically apply the principles. This also utilizes the important evaluation finding that ongoing mentoring and experiential job training adds significant value to capacity-building efforts.

2. Strong peace architecture: In conjunction with devolution support through USAID, ensure the emergence of clear peace and conflict-mitigation institutions at the county level. The important early experiences of DPCs and EWER mechanisms suggests that they have strong potential to play an essential role in peacebuilding, conflict mitigation and county stability at the community level in the future. This support should include addressing the identified challenges from this evaluation, including clarification of:

- The broader roles and relationship between civil society and government in the peacebuilding architecture. To what extent should DPCs (or county peace committees) involve civil society?
- The structures, selection of members and relationships for peace committees (PCs) and EWER mechanisms.
- The lines of accountability at the county level and linked to the national level. For instance, how might the PC link with the County Police Oversight Committee, the security and intelligence agencies and other stakeholders?
- What checks and balances to prevent co-option or corruption by stakeholders need to be put in place to ensure that they continue to be representative of the community, perceived as neutral and do not become "owned" by an official like the governor?

3. Monitoring, Research, and Learning: Close scrutiny of some key elements in the devolution experiment is required to learn and apply emerging lessons more broadly. This suggests that USAID should pay careful attention to its choice of where to invest its resources in support of the devolution process, to ensure that a wide diversity of experience and insight is captured. It is suggested that USAID select from counties that reflect some of the following features:

- Multiethnic or heterogeneous counties where "negotiated democracy" has been agreed upon — for instance, in Isiolo and Nakuru — perhaps in conjunction with a county where it has not been undertaken, such as Marsabit where representation is now dominated by minority groups who "clubbed together" and ousted the majority Borana.
- Monoethnic or relatively homogeneous counties—to explore the extent to which conflict does or does not cascade to lower level (i.e., clan or family).

- Counties that might enable comparative analysis on issues such as political commitment and allocation of resources (e.g., Mandera), versus counties where this is not happening despite being beset with chronic conflict.[88]
- Counties that have a high risk of conflict from additional issues, such as extractive industries, potential extremism and political dissent (e.g., the MRC at the Coast). Addressing devolution in geographic areas such as these (e.g., Kwale, Lamu, Turkana) would bring USAID to the nexus of the most important emerging issues that will challenge Kenya and its political stability in the future, while simultaneously maximizing its opportunity to make a positive contribution to Kenya's future.

Findings regarding women's role in peacebuilding:

While current roles and positions in the formal peacebuilding architecture in Kenya are considered to be ad hoc and infrequent, their participation and positive influence has great potential to be expanded and built on and their roles in the peacebuilding architecture systematized.

All the KIIs where the issue of women's role in peacebuilding was discussed in any depth (10) noted the potential for that role. As one pointed out, "Often it is just lip service paid and it is just thrown in (to make up numbers) rather than fully considered in an integrated way." Women already play an important role in peacebuilding in the following ways: In the domestic sphere they are able to cool the males down and encourage them not to participate in conflict or violence, as well as "preach peace" and remind the men of the costs of conflict (highlighted by the same KIIs). They are also more likely to maintain "cross-line" relationships with each other. For instance in Naivasha, tree-planting by the women from different ethnic groups kept communication channels open, according to one KII. In Burnt Forest, the women were the first to be able to discuss together the conflict issues between the Kalenjin and Kikuyu that then enabled the men to open discussions (KII). The same woman CSO leader noted the important role that women have played in healing trauma in communities, which breaks the cycle of revenge and enables communities to move closer to reconciliation. The majority of these roles is informal, and at present, women's roles in more formal peacebuilding and conflict-prevention activities and mechanisms are still on an ad hoc basis with their participation not yet systematized throughout the peace architecture.

Recommendation for USAID regarding women's role in peacebuilding: More work needs to be done to take forward the Kenya National Action Plan on U.N. Resolution 1325, which is under the National Security Council, including seeing this as an opportunity to stretch the discussion of women, peace and security to include not just having women in peace processes, but to recognize violence against women across the board as a security and development issue.

Endnote: The Operating Context for Peace

It was clear from the evaluation that successful implementation and sustainability of conflict mitigation and peacebuilding activities depends on a number of extraneous factors. Many of these, particularly the over-arching factors, have been articulated above, but their importance is

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[88]. The evaluation notes that the NSC is knowledgeable about which counties have decided to allocate resources to peace work — such as Mandera, Migori, and others. USAID could contact Dickson Magotsi for deeper information.

worth highlighting again as key considerations when assessing the success and sustainability of these initiatives.

Evaluation respondents highlighted multiple potential issues that may lead to violence, as illustrated by Figure 1 below. The traditional hotspots, while still sensitive, are not the only areas that are vulnerable to eruptions of violence. Furthermore, the dynamics created by devolution and resource extraction have the potential to create new areas of tension.[89] These new influences and expressions of Kenyan societal change and frustration are continually evolving and require constant analysis and efforts to understand them. Failure to do so increases the risk of being caught unawares and a rise in instability at the local level. The unexpected and explosive violence that occurred in Tana River in 2012 and early 2013 relating to access to land and resources provides a good example of how this can occur. As such, *Kenyan Peace or the "absence of violence" is fragile* and it is clear from the findings and conclusions that tension is still high in many parts of Kenya. It is pertinent that donors invest in strong contextual analysis at both the county and national levels to inform programs, and ensure their continual relevance.
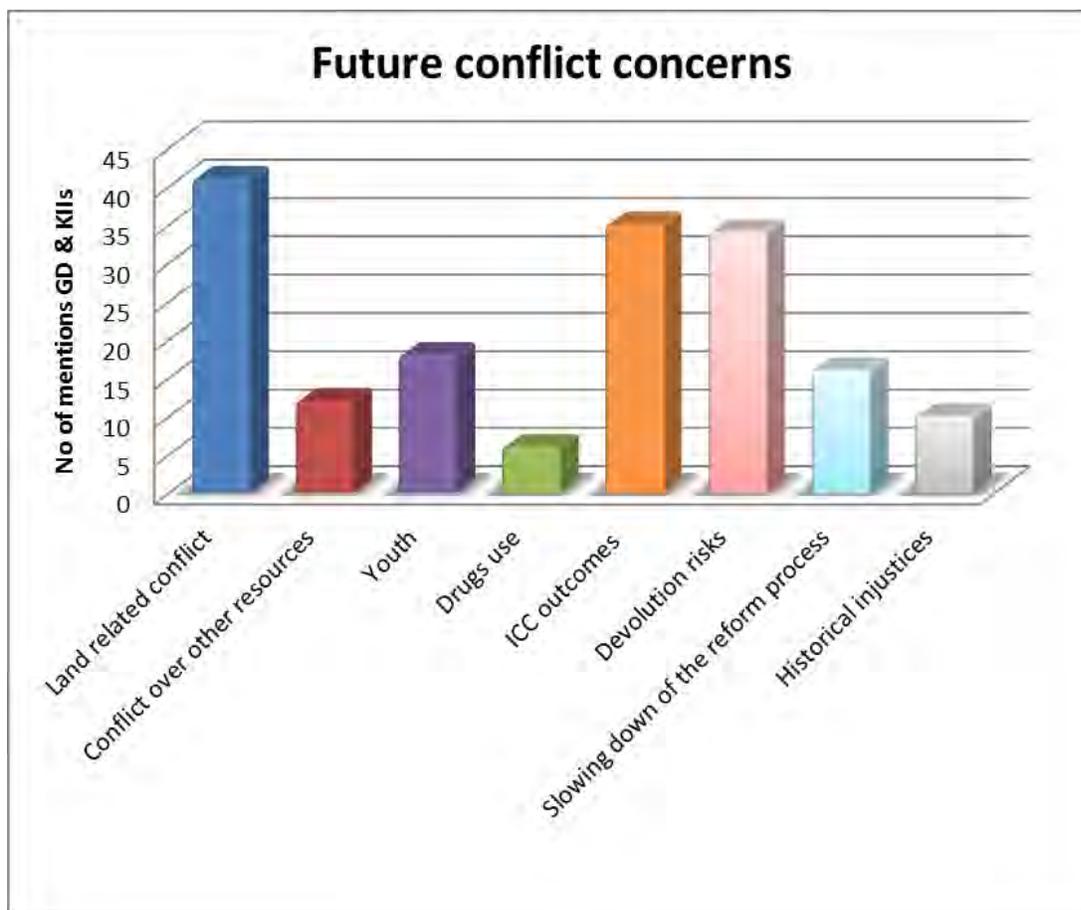
Figure 2: Future Conflict Concerns

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89. See 1) International Crisis Group. 2013. Kenya's 2013 Election, Africa Report no. 197, Jan. 17. and 2) S. Richard. 2013. *Bombing the People With Peace: A Follow-Up Report on the 2013 Kenyan Elections and Disaster Risk-Reduction Efforts.* Feinstein International Center, May,

ANNEX A.

THE EVALUATION STATEMENT OF WORK

Executive Summary

The 2007 election triggered an unprecedented response of conflict throughout Kenya that lasted in localized areas through 2009. Over 1,300 people were killed and roughly 600,000 displaced. The post-election violence arose from some long-standing grievances, specifically related to issues on land reform, ethnic clashes, patronage politics, and weak institutional structures undermined by severe governmental corruption. In response to the violence, USAID/Kenya's Democracy, Rights and Governance Office ramped up its conflict mitigation, reconciliation and peace building activities.

Under this initiative, six activities worked to address conflict and build peace, including:
- Kenyan Civil Society Strengthening Program (KCSSP), implemented by PACT, $35.5 million
- Kenya Tuna Uwezo (KTU), implemented by CHF International, $2.1 million
- Rift Valley Local Empowerment For Peace (LEAP I and II), implemented by MercyCorps, $2.7 million
- Peace Initiative Kenya (PIK), implemented by International Rescue Committee (IRC), $3.2 million
- People to People Peace Project (3Ps), implemented by Catholic Relief Services (CRS), $599,685
- Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya, implemented by Internews, $2.3 million

The purpose of the evaluation is to determine the effectiveness of the conflict mitigation activities and civil society strengthening activities in contributing to a peaceful Kenya, looking specifically at the strengths and challenges of each of the six activities. This information will help inform USAID/Kenya's conflict mitigation and civil society strengthening efforts moving forward.

One audience for this evaluation is USAID/Kenya Democracy, Rights and Governance (DRG) Office and USAID/Washington. It is also expected to inform the larger donor community in Kenya. The lessons and recommendations will help inform USAID/Kenya in its strategy for planning for future conflict mitigation activities geared toward election-related violence, especially with a reduced budget.

The evaluation seeks to answer the six following questions:
- In what ways did USAID/Kenya conflict mitigation *approaches* contribute to peace during the 2013 General Election?
- To what extent have these identified *approaches* addressed root causes of conflict?
- To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?
- What components are likely to continue to influence conflict mitigation after program closure?
- To what extent did USAID/Kenya strengthen civil society organizations', especially local partners', ability to implement and manage conflict mitigation programs?
- What key lessons and good practices can be identified for future USAID/Kenya conflict mitigation and civil society strengthening programing?

The evaluation will be conducted by a six-person team, including three international team members and three national team members. A local survey firm will also support the team in the conduct of a survey and support the organization of discussions groups. This Evaluation will be theory-based requiring the Evaluation team to construct an overall theory-of-change that will serve as a framework to answer USAID/Kenya's contribution to peace. The evaluation will employ mixed data collection methods including: desk review, key informant interviews, group discussions and survey. The qualitative and quantitative data will be analyzed using a mix of pathway mapping, descriptive statistics, pattern/content analysis, comparison analysis and divergence/convergence analysis.

1. Background Information

Identifying Information

    a.   Program: Democracy, Rights and Governance

    b.   Period to be evaluated: January 2008 – August 2013

Project/Implementer/AOR	Summary of Program	End Date	Funding
Kenyan Civil Society Strengthening Program (KCSSP) PACT Inc. AOR: Monica Azimi	Strengthen the capacity of civil society in: 1) advocacy for improved governance, 2) conflict management, and 3) Natural Resource Management.	Sept 2013	$35.5 Million
Kenya Tuna Uwezo (KTU) CHF International AOR: Makena Kirima	The program will use the Constitution as a uniting document to educate and develop civic action interventions in Nairobi slums. Different ethnic groups will be targeted and work conducted through a conflict mitigation lens.	February 2014	$2.1 Million
Rift Valley Local Empowerment For Peace (LEAP II) MercyCorps AOR: Monica Azimi	Strengthen the ability of local actors to address the root causes of post-election violence and to promote peace and reconciliation at the community level.	July 2013	$2.7 Million
Peace Initiative Kenya – PIK International Rescue Committee (IRC) AOR: Betty Mugo	Train teachers, parent/teacher members, Yes Youth Can leaders, women's organizations, and possibly community health workers to be peacebuilders in their communities. Strong focus on GBV.	September 2013 (extension to Sept. 2015 pending in contracts)	$3.2 Million
People to People Peace Project (3Ps) Catholic Relief Services (CRS) AOR: Anne Ngumbi	Strengthen community peace structures at the village and district levels and increase members' skills in peace building. Targeted areas: Burnt Forest, Kuresoi, Likoni.	April 2012	$599,685
Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya Internews AOR: Dan Spealman	Work with local media to mitigate conflict and contribute toward peace building; CMM focus on land issues.	March 2013	$2.3 Million

Development Context

1.1.1 Problem or Opportunity Addressed

The 2007 election triggered an unprecedented response of conflict throughout Kenya that lasted in localized areas through 2009. Building up to the elections, political divisions led to a divisive

constitutional referendum in 2005, and by the 2007 campaigns, Kenyans were deeply polarized. During the 2007 general elections, Kenyans voted along ethnic lines or as regional blocs. When Kibaki's victory was announced and he was hastily sworn in amidst allegations of fraud, violence erupted in parts of the country and continued for days. Over 1,300 were killed and roughly 600,000 displaced. International pressure and mediation, along with the violence, forced a power-sharing agreement and the formation of a coalition government in February 2008 as well as promises of reform.

The post-election violence (PEV) arose from some long-standing grievances, specifically related to issues on land reform, ethnic clashes, patronage politics, and weak institutional structures undermined by severe governmental corruption.[90] In response to the PEV, USAID/Kenya's Democracy, Rights and Governance (DRG) Office ramped up its conflict mitigation, reconciliation and peace building activities (hereafter referred to as conflict mitigation activities).

1.1.2 Target Areas and Groups

Included under USAID/Kenya's conflict mitigation activities are six activities, with distinct (and overlapping) interventions, stated results, and targeted populations. Initial activities focused on the Rift Valley area, but over the following two years the focus shifted to the Coast region to mitigate conflicts generated by the Mombasa Republican Council movement and growing discontent over historical injustices in the region. Many of these activities have been operating for the last three to five years.

Annex provides information on the different *approaches* of the six activities and areas of operation.

Project activities active in highlighted counties in Kenya
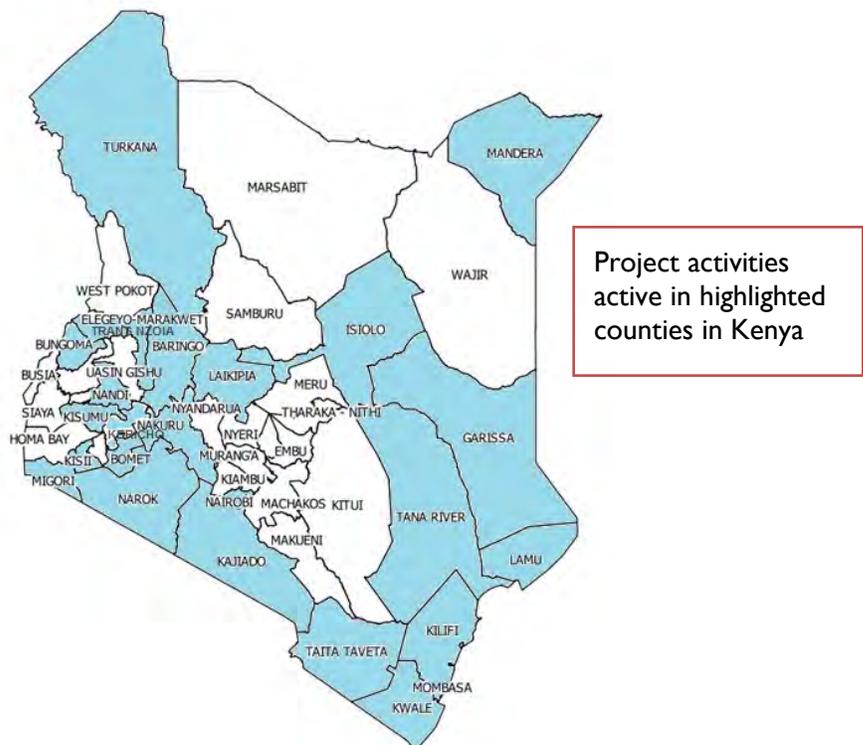
Intended Results

The 2011 USAID/Kenya Democracy & Governance Assessment and Strategy states the immediate- and medium-term strategic objectives for conflict mitigation. The focus between 2011 and the most recent general elections in 2013 was ensuring that:

- Legislation related to the elections and the new structure of governance is passed and in line with the letter and spirit of the constitution
- The elections are managed in a way that produces credible and peaceful results
- Parties develop issue-based platforms and diminish the use of ethnic manipulation

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[90] USAID (2011) *Kenya: Democracy& Governance Assessment and Strategy*, and, USAID and DFID (2009) *Joint Conflict Vulnerability Assessment on Kenya.*

- The media provides accurate coverage of the campaign, the issues and the election itself and does not indulge in ethnic rhetoric
- Citizens play an active role as candidates and voters

To deliver on these results, the strategy emphasized continuing conflict mitigation in areas hardest hit by the 2008 violence and to build a sense of shared citizenship and national unity.

USAID intended to augment existing conflict mitigation programming by expanding and refocusing its rapid response mechanism to better address tensions in "hot spots," including supporting new civil society organizations to engage in conflict mitigation and promotion of national unity; supporting existing programming to decrease emphasis on ethnic-driven politics; creating resource centers for youth in priority areas to assist youth in finding ways to engage in the political process; and disseminating civic education through greater use of popular culture. The strategy stressed that USAID also partner with select actors to reduce and mitigate hate speech, and to promote messages of inclusion and unity.

It should be noted that some activities began prior to the DG assessment and strategy. Further the assessment and strategy focused on immediate-term results leading up to the 2013 elections and medium-term results that focused on post-elections. There are no explicit unifying (cross-cutting) intended results for the six activities included in this evaluation. In other words, each project has unique results, outcomes, goals that relate to peace and/or civil society strengthening. Therefore, the intended results under examination by this evaluation will need to be reconstructed and validated as a part of the theory of change (TOC) framework developed by the evaluation team. The TOC is explained in more detail under Evaluation Design (Section 3.1).

Approach and Implementation

A description of the six activities and relevant interventions are detailed below. It should be noted that some project activities covered more than conflict mitigation focused interventions; however, the evaluation will only focus on those components most relevant to the ten *approaches* identified by USAID in the Statement of Objectives (Annex A) and elaborated in Annex E.

PACT: Kenyan Civil Society Strengthening Program (KCSSP): A grant-making and capacity-building program, KCSSP works to strengthen the capacity of civil society organizations, local peace structures and the Government of Kenya to reduce incidences of violent conflict in target areas and ultimately advance peace in Kenya. One initiative of the KCSSP is SAFE-COAST, an activity that partners with the local organization Kenya Community Support Centre (KECOSCE) to implement the Safe Coast Early Warning and Response mechanism (SCEWER). SCEWER promoted conflict prevention and peace building through provision of timely information on potential conflicts and threats to peace and security. SCEWER also partnered with existing networks of USAID-supported Yes Youth Can! *bunges* (local parliaments), religious CSOs, and community health workers to help mitigate tensions in the community, and shared data by linking with other actors to ensure that incidents of conflict received a response. KCSSP also has a "Targets of Opportunity" rapid response grant-making mechanism that supports short-term programs to address arising conflict mitigation needs.

Mercy Corps: Local Empowerment for Peace (LEAP): This USAID-funded program supports local peace networks in the Rift Valley ——including youth and the police—that foster dialogue and reconciliation and spread messages of peace while strengthening Early Warning Early Response (EWER) capacity. Throughout the life of the program, LEAP provided support to local peace structures such as the District Peace Committees (DPCs) through trainings and capacity building. In preparation for the elections, LEAP trained 582 peace monitors, of which 361 served as "trusted agents" for reporting into the EWER systems. LEAP also operationalized two EWER hubs in Eldoret and Molo/Nakuru. Mercy

Corps set up a rapid response fund pool to assist local partners and communities to mitigate conflict or support peace building activities in communities where violence was expected to flare up. LEAP has offices in Eldoret, Nakuru and Kericho.

CHF International: Kenya Tuna Uwezo (KTU): KTU works in Nairobi's informal settlements of Kibera, Kiambio, Korogocho and Mathare building community networks for cohesion. One of KTU's key activities was facilitating dialogue forums between warring gangs and ethnically divided communities to come together in search of reconciliation. Some of the cross-identity groups came together for the first time in over five years. In preparation for the elections, KTU identified Cohesion Champions to monitor events around the elections. These Cohesion Champions were trained by Mercy Corps and linked into EWER platform as trusted agents who were able to report and verify incidents in the informal settlements.

International Rescue Committee: Peace Initiative Kenya (PIK): PIK trained community leaders and disseminated information nationally on key topics including the election process, conflict mitigation and gender-based violence. The USAID-supported program focused on the particular risks that women and girls face in conflict as well as the specific contributions that they can make in the promotion of a peaceful society. They continuously engaged women's networks and helped establish regional and national service-provision links that enabled women to access gender-specific support. PIK trained monitors who reported primarily on sexual and gender-based violence during and after the election period through the identified EWER platforms.

Catholic Relief Services (CRS): The People to People Peace Project (3Ps) was aimed at forming and strengthening community peace structure in the target divisions of Burnt Forest, Kuresoi and Likoni. It supported local peace structures at the village, division and district levels and aimed to increase members' skills in peacebuilding. Project activities included formation of peer groups (youth-to-youth, woman-to-woman, elder-to-elder and cleric-to-cleric) in three divisions and 45 villages and training in conflict mitigation, early warning, early response, Do No Harm and lobbying/advocacy skills for credible community leaders.

Internews: The Reporting for Peace Program seeks to broaden and enrich the information environment in Kenya, by working with journalists from community and vernacular media, with the aim of mitigating the causes and effects of conflict and contributing toward peacebuilding efforts in the country, especially given the largely negative role that media played before and during the post-election crisis.

Existing Data

The list of collected documentation shared by USAID and partners can be found in Annex F. This should not be considered exhaustive for the purposes of the document review of the evaluation as there are still an outstanding number of individual project documents. Noted missing documents are contained in the right column of Annex G.

Partners have shared an indicative list of beneficiaries on file. The beneficiary list (name and contact information) will be needed for the selection of participants in focus groups and the survey. These lists are expected to be shared with MSI at least 15 days before the start of the evaluation. Any delay can cause a delay in the start of the evaluation. [91]

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[91] Some partners have reported that they do not have full beneficiary lists. MSI has yet to see the quality or format of the lists to determine full usability for those that have stated they have beneficiary lists. MSI assumes that the lists are of good quality and can be easily used for sampling (either for the group discussions or survey). If MSI learns that the lists are not usable in this fashion, this may lead to a change in methods and/or delay in the evaluation.

2.   Evaluation Rationale

Evaluation Purpose

The purpose of the evaluation is to determine the effectiveness of the conflict mitigation and civil society strengthening activities in contributing to a peaceful Kenya, looking specifically at the strengths and challenges of each project. This information will help inform USAID/Kenya's conflict mitigation and civil society strengthening efforts moving forward.

USAID/Kenya's DRG Office plans to focus on devolution in the near future with only small interventions in conflict mitigation activities, and some continued work with local civil society organizations. As such, the DRG Office estimates a roughly 90 percent budget reduction in the area of conflict mitigation. This will necessitate moving to one, well-designed mechanism that applies proven effective and sustainable strategies. This evaluation will serve to inform DRG's decision-making on which approaches to carry forward.

Audience and Intended Use

This evaluation is intended for both USAID/Kenya and USAID/Washington's DRG Offices and is also expected to inform the larger donor community in Kenya. The lessons and recommendations will help inform USAID/Kenya in its strategy for planning for future conflict mitigation activities geared toward election-related violence, especially with a reduced budget.

Evaluation Questions

The evaluation seeks to answer the six following questions:

- In what ways did USAID/Kenya conflict mitigation *approaches* contribute to peace during the 2013 General Election?

- To what extent have these identified *approaches* addressed root causes of conflict?

- To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?

- What components are likely to continue to influence conflict mitigation after program closure? (e.g. organizations, systems, forums, networks, "peace dividends")

- To what extent did USAID/Kenya strengthen civil society organizations', especially local partners', ability to implement and manage conflict mitigation programs?

- What key lessons and good practices can be identified for future USAID/Kenya conflict mitigation and civil society strengthening programing? (especially with a dramatically reduced budget)

Question 1 and 2 specifically examine the ten main *approaches* identified by USAID/Kenya and verified by the implementing partners. Refer to Annex F for the full list and description. For question 2, it is understood that some *approaches* were not intended to address root causes, but served as short-term mitigation strategies leading immediately up to the elections (i.e. Early Warning Early Response, Targets of Opportunity grants, etc.). Therefore it is up to the evaluation team to narrow the list of *approaches* to hone in only on those that were designed to address long-standing grievances. The evaluation team

will cite the 2009 Vulnerability Assessment and the 2011 USAID/Kenya Democracy and Governance Assessment and Action Plan for reference of identified "root causes" of the conflict.

Question 3 examines attitudinal and behavioral changes, which will be assessed using a general population survey, coupled with any data from discussion groups with beneficiaries. The collected survey data will evidence attitudes and behaviors of individuals and community groups in targeted communities toward conflict and peace (e.g., openness to conflict mitigation activities, knowledge of early warning indicators, participation in peacebuilding activities, understanding of local dynamics and approaches that mitigate or prevent occurrence of conflict), as well as potential reach and attitudes toward USAID activities. It should be noted that behavior changes take time to occur and are difficult to track without ongoing survey data to draw comparisons.

Question 4 examines sustainability of certain program components, specifically looking at what systems and processes have been put in place that are likely to continue after programs end (in some cases programs have already ended). An indicative list of the components to be examined is attached to the question (e.g. organizations, systems, forums, networks, "peace dividends"). The evaluation team will determine which local structures are still operating (for activities that have closed), and whether certain components have resources (financial or human) designated to support these structures in the future.

Question 5 looks at capacity building of local partners, particularly in management, governance, staff abilities/competencies, etc.

Question 6 will synthesize the findings and conclusions from all questions and data collected/analyzed to distill concrete lessons and good practices to carry forward with the lens of budget reductions.

There is interest by USAID and partners to see whether the programs have harnessed opportunities for peace and have adapted to changes in the political and social contexts. To the extent possible, this will be examined, where appropriate, across the evaluation questions.

Gender will be specifically addressed in question 2, but will also be viewed as a cross-cutting theme to be explored where appropriate throughout the evaluation. The evaluation team is expected to be responsive to USAID's dual expectations for treating gender appropriately: (a) gathering sex disaggregated data and (b) identifying gender differential participation in/benefits from aspects of the program where differences on this basis are possible.

3. Evaluation Design and Methodology

3.1   Evaluation Design

This evaluation will first focus on the development of a Theory of Change. "A theory of change explains why we think certain actions will produce desired change in a given context. It is intended to make all of our implicit assumptions more explicit, in order to (1) clarify which drivers of violent conflict we are addressing; (2) state clearly what the intended outcome of programs will be; and (3) fully articulate how and why the program will address the drivers of conflict and achieve its intended outcomes." Put simply, a theory of change is expressed in the following form: *"If we do X (action), **then** we will produce Y (change/shift toward peace, stability, security)."* [92] An example of a TOC, for reference, is **If** inter-religious violence at schools is reduced, **then** cooperation and coexistence among youth of different religions will increase, **and** they will be less susceptible to manipulation into inter-religious violence overall, **because** their new skills for resolving differences and controlling their emotions peacefully and their new relationships will make them less willing to fight.

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[92] USAID (2013), *Theories and Indicators of Change Briefing Paper: concepts and primers for conflict management and mitigation.*

For this exercise, the TOC will be derived from project and Mission documentation, and validated by the Mission and the partners during a partner workshop. The TOC will serve as the basis to measure USAID's contribution to mitigating conflict and building peace. In doing so, the team will need to examine the critical assumptions underlying the TOC, as well as other actors and factors that may have contributed to the overall goal. The identified *approaches* will serve as the "pathways" for change.[93]

The evaluation will be examining *contribution*, however, it is not expected that the team will be making any statements/judgments on *attribution* given the number of external variables that may have played a role in ensuring peace in Kenya.

This evaluation is not a performance evaluation. In that sense, the team are not expected to examine each individual project to see the extent to which the program implemented what was planned, and reached project-specific objectives and project goals, but, rather, looking at the activities collectively (and, if possible, individually) in their contribution to peace. Additionally, the evaluation will only focus on the activities of a program that are related to conflict mitigation and civil society strengthening. For activities (such as PACT) where activities were broader in scope, every activity is not expected to be reviewed. The evaluation team during desk review will determine precisely what elements of each project are to be examined, and this will be spelled out in the Work Plan, which shall also include a detailed methodology.

The evaluation team is expected to use well-developed data collection and analysis methods to address each of USAID's evaluation questions. A preliminary version of a matrix for associating data collection and analysis methods with evaluation questions (*Getting to Answers*) is provided in Annex D. This matrix shares the initial thinking about appropriate methodological choices. The evaluation team is expected to review and refine this methodology, or suggest higher quality alternatives that could be employed at no additional cost beyond what USAID has allotted for this evaluation. Details the evaluation team adds to this preliminary plan for gathering and analyzing data on each evaluation question shall be submitted to USAID for review/approval as part of the evaluation team's Methodology and Workplan (Section 4.1).

3.2   Data Collection Methods

Some key aspects of the data collection are the following:

Document Review

The evaluation team will review documentation provided by USAID and the six partners, and any relevant secondary research they collect (especially on Kenya conflict analyses). An instrument will be developed to codify and organize data from the document review for analysis according to the evaluation questions. The team is also expected to begin constructing the overall TOC during the desk review period. This will be further explored, extrapolated and validated during the partner workshop. It is expected that the evaluation team will present initial findings from the document review against the evaluation questions as part of the Team Planning Meeting (Section 4.1) at the beginning of the evaluation.

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[93] For more information on theory of change approach for Peacebuilding and Conflict Mitigation, please refer to: 1) OECD (2012), *Evaluating Peacebuilding Activities in Settings of Conflict and Fragility: Improving Learning for Results*, DAC Guidelines and References Series, OECD Publishing. 2) USAID (2010), *Theories of Change and Indicator Development in Conflict Management and Mitigation*.

<u>Survey</u>

To answer Question 3 on changes in attitudes and behaviors over time, a survey will be employed to collect the necessary data. The survey will gauge perceptions (current and retrospective), as well as individual engagement in and knowledge of USAID activities.

A few of the partner activities conducted baselines. To the extent possible, the baseline surveys, methodologies, tools and questions will be examined during the survey design with an attempt to incorporate, when appropriate, matching questions and/or methodologies to enable comparison data.

The survey will be conducted in six counties: Mombasa, Uasin Gishu, Nakuru, Nandi, Kericho and Nairobi. The selection of the six counties was purposively sampled to include those counties with the most significant number of direct beneficiaries (based on the data shared by the partners) and a high concentration in the number of USAID activities implemented.

The sample selection is based on a geographical stratification as the first level (per region, per county). Within each targeted county, the survey firm will select between 1 and 3 sub-counties to survey based on where there is higher concentration of activities to ensure higher probability of reaching beneficiaries (indirect and direct). Within these sub-counties, the survey firm will select a proportionate number of survey starting points (a landmark, school, bus stop or similar), from where enumerators will spread in randomizing walking patterns (directional spread, left hand rule, household skip, kish grid or birthday rule) to identify specific random respondents. In this way, every citizen has an equal likelihood of being included in the survey.

The sample size of n=1,200 is commonly used for nationwide representative surveys. Its statistical margin of error is smaller than +/-3% for top level variables at 95% confidence. Disaggregation of the data is possible. Variables for which the sub-sample is larger than n=100 are subject to a statistical error margin of 10% or less.

Regional disaggregation might be possible, but most likely not for all regions. A split out by partner organizations or type of activity will not be possible, given the number of cross-cutting activities. We also expect the incidence of direct beneficiaries to be too small to reach a meaningful sample size for separate analysis. For indirect beneficiaries, the sample size would only be large enough for separate top level analysis, if the incidence is close to what the six partner organizations have reported (approx. 10 million indirect beneficiaries reached).

According to the information received from the partner organizations, at least one in four respondents should have been a beneficiary, providing a data set of 300 surveys for activity specific analysis. This will only suffice to explore any questions at a very high level of aggregation with high margins of uncertainty.

The survey will be conducted by Research Solutions Africa (RSA), under contract with MSI. Oversight of enumerator training and data collection will be provided by MSI. RSA, with the support of a Conflict Specialist from the evaluation team, will develop the survey tool. MSI will review and make any necessary changes to it. Comments on the tool and approval will be sought from USAID and the partner prior to the initiation of data collection.

<u>Key Informant Interviews</u>

Under the six activities, key informants will be identified with the support from the partners and USAID. The list of key informants will focus on those supporting the implementation of the activities and other essential direct beneficiaries. Other key actors and donors will be interviewed to better understand the sphere of activities focused on conflict mitigation and peacebuilding efforts. This will assist USAID in

perhaps determining complimentary efforts that do not overlap with other donor endeavors. It could also assist in further delineating a specific area of concentration for future limited USAID programming.

Group Discussions

Group discussions will be held with different beneficiary groups. The groups will be purposively sampled based on the ten *approaches* (and those that lend themselves to group discussions). Five focus groups are planned for each site visit in order to capture the different dimensions of the identified *approaches'* beneficiary group perspectives and experiences. The discussion groups will include: a) beneficiaries of community dialogues and reconciliation efforts (two profiles to be determined after desk review); b) local partners that received capacity building training; c) local actors and champions that received capacity building; and, d) District Peace Committees (DPCs).

Online Survey

An online survey may be considered to collect quantitative and qualitative data from local partners and activity recipients. This could be useful in further retrieving data from populations that may not be covered during the site visits, especially with regard to training local partners and Targets of Opportunity *approaches*.

Partner Workshop

In the beginning of the evaluation, a workshop with all six partners and USAID will be facilitated by the evaluation team. The workshop will solicit perspectives and discussion on the TOC and related underlying assumptions, identifying other key actors and contextual factors, as well as any change indicators. The discussion from the workshop will help inform the evaluation framework, and thus the tools.

Site Visits[94]

The team will visit four sites across the targeted areas: Nairobi, Coast (centered in Mombasa, but also including Kwale and Kilifi), Bungoma (Mt. Elgon), and Nakuru (including Molo and Naivasha). This will allow the team to supplement the data collected through the household survey. During these site visits, the team will conduct key informant interviews and group discussions described earlier. The sites are purposefully selected, considering the following criteria: (a) concentration of targeted activities; (b) diversity of conflict drivers; (3) mix of urban and rural (inclusion of this criterion assumes that conflict eruption travels differently in different settings therefore necessitating distinct conflict mitigation activities).

3.3   Data Analysis Methods

The evaluation team will design a data analysis plan as part of the evaluation methodology. This will ensure that the data collection methods, including tools, feed into the data analysis and synthesis of findings to allow for quick reporting. The main data analysis methods that the team will use are described below.

Pathway Mapping

Pathway mapping refers to the sequence or hierarchy of changes and events that map out how things will change. In examining a TOC-focused evaluation, pathway mapping will enable the evaluation team

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[94] In addition to the criteria used for sampling for site visits and the survey, MSI wanted to ensure coverage of the minimum areas for data collection identified in the Statement of Objectives.

to determine how the *approaches* identified have led to peace. At the same time, during the mapping, the team will need to analyze other possible explanations and factors in the mapping process.

Comparison Analysis

The team will use comparison analysis in three ways: (a) any baseline data to current survey data (before and after); (b) time series analysis of the survey data collected; (c) a comparison of best practice and between *approaches* to assess which *approaches* (and strategies) are most effective and why (worked well versus not as well).

Summary Statistics

The team will use summary statistics to analyze quantitative data obtained from the survey and other documents. The two main analytical tools that the team will use include frequency analysis and cross-tabulation analysis.

Content, Pattern and Trend Analysis

For Group Discussions and Key Informant Interview data, the team will analyze the content of the responses to get an in-depth understanding of the experiences and priorities of beneficiaries and stakeholders. The team will also examine the data for patterns to determine whether some responses are determined by certain variables, such as geography and *approach*. Looking at trends over time will also allow the team to consider changes in implementation that may have occurred over time.

Validation Workshop

A half-day validation workshop with partners and USAID will be held at the end of data collection and the beginning of data analysis to discuss and validate emerging findings, brainstorm the appropriateness and feasibility of potential recommendations, and fill in any gaps in data that the evaluation team identified.

Response Convergence/Divergence Analysis

The team will review data collected to determine where there is significant response convergence from the varied stakeholders and beneficiaries. Where divergence is found, the team will follow-up to better understand the context and reasons for divergence in facts, perceptions or opinions.

Mixed Methods Integration

Since the team is using a mixed methods approach, data collected from the various methods will be integrated to arrive at findings. Where different methods produce conflicting evidence, the evaluation team will, to the extent possible, double back to examine why these data conflict, as well as weight the data from the various methods in terms of strength in validity and reliability.

3.4   Methodological Strengths and Limitations

By the time of the evaluation, four of the activities will be closed out. While some of the key individuals who worked on the activities will still be based in Nairobi, their support will be more limited as they will be engaged with other assignments. Further, certain key individuals will no longer be available. There will need to be a stronger focus on documentary evidence to supplement the lack of personnel in country. This evaluation does benefit from having the end of project performance evaluations completed as a source of information.

A few activities conducted baseline information. However, because they were activitiespecific, the surveys are narrower in scope and geographic coverage. This constraint will limit comparison data of pre-project data. While the survey will include retrospective questions, there may be some limitations on the reliability of this data due to recall bias.

Disentangling USAID's concrete contribution to peace will be challenging due to a number of other actors and donors operating in the same geographic areas and working on similar peacebuilding and conflict mitigation activities. Further, many other contextual factors have may have impacted the peaceful elections. Causal inference will be employed to the extent possible to credibly show a relationship between changes that have taken place and the activities the activities undertook.

4. Evaluation Products

4.1   Processes and Deliverables

Deliverable	Responsible Party	Date
Letter of Introduction to be used with local authorities and will facilitate any meetings at the national level that may be determined necessary.	USAID/ DRG	within 10 days of task order award
Draft Survey for Comments from USAID/DRG and partners[95]	MSI	Oct 2 (COB)
USAID/DRG and partners will provide comments on Survey instrument (approval granted if changes are incorporated)	USAID/ DRG & partners	Oct 4 (COB)
Initial meeting with USAID to discuss expectations, review evaluation questions, and answer any specific questions.	MSI/DRG/ COR	Oct 8
All Day Partner/stakeholder workshop to validate a theory of change, and related underlying assumptions, identifying other key actors and contextual factors, as well as any change indicators: all six partners and USAID	MSI/DRG/Partners	Oct 9
Work plan submitted to USAID, including detailed methodologies for each evaluation question and precisely what elements of each project are to be examined.	MSI	Oct 14 (COB)
Meeting with USAID on Work Plan where agreement is reached and approval provided (perhaps with articulated changes).	MSI/DRG/ COR	Oct 16
Dates for key informant interviews with USAID/DRG staff.	MSI/DRG	Possible Oct 17, 18, Nov 5
A half-day (morning) validation workshop with all partners and USAID	MSI/DRG/Partners	Nov 8
Weekly reports at the end of weeks 3, 4, 5, and 6	MSI	Oct 22, 29, Nov 5, 12
• Presentation of findings to USAID at USAID	MSI	Nov 14
• Presentation of findings to IPs and their AOR/CORs at	MSI	Nov 14

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[95] Please note that MSI will also be providing additional technical feedback on the draft instrument in parallel to USAID and partners. This will enable the evaluation (with survey and qualitative components) to remain on the planned schedule.

Deliverable	Responsible Party	Date
MSI		
• Presentation for all Mission staff at USAID	MSI	Nov 15
• Draft Report submitted	MSI	Nov 27
• Comments from USAID on Draft Report (one week later)	USAID	Dec 4
• Comments from IPs on Draft Report (one week later)	USAID	Dec 11
Final Report. All background documents collected by MSI for this evaluation shall be provide to USAID on CDs, organized by implementing mechanism, along with the final report.	MSI	Jan 3
• USAID approval of final report	USAID	Jan 10

A detailed breakdown of the process is listed below *(if there are any differences in dates or actions below and the calendar on page 46-48, the calendar takes precedence):*

Week 1	Desk Review & Survey Set up In order to initiate data collection, the evaluation team will review all the documents from their home base. These initial findings will be presented to MSI as part of the Team Planning Meeting. The team will also prepare for the partner workshop and begin initial analysis to feed into the theory of change. The evaluation team/USAID/partners are also expected to provide feedback on the survey instrument virtually during this period.
Week 2	Team Planning Meeting (TPM) The TPM will be held in MSI offices once the evaluation team is in country. It is expected that the team will have the initial meeting with USAID (Day 2 of Week 2) to discuss expectations, review evaluation questions, and answer any specific questions. An all-day partner workshop (including USAID) is scheduled for Day 3 of Week 2), which will build the theory-of-change for the evaluation. The outcomes of the team planning include: • Presentation of the initial findings of the document review by evaluation question (MSI-only); • Clear understanding of TOC model for the evaluation; • Clarification of team members' roles and responsibilities; • Establishment a team atmosphere, share individual working styles, and agree on procedures for resolving differences of opinion; • Review of the final evaluation questions; • Review and finalization of the assignment timeline and share with USAID; • Development of data collection and analysis methods, instruments, tools, and guidelines;

	• Review and clarification of any logistical and administrative procedures for the assignment; • Development of a preliminary draft outline of the team's report; and • Assignment of drafting responsibilities for the final report.
Week 3	<u>Workplan and Methodology</u> During the TPM, the team will prepare a detailed work plan which will include the methodologies (evaluation design, tools) and operational workplan to be used in the evaluation. This will be submitted to USAID on Day 1 of Week 3 (COB). The team will meet with USAID on Day 3 of Week 3 for the Work Plan Review Meeting, to discuss the methodology and get approval prior to implementation. To time the survey completion with the data analysis, the survey instrument will need to designed and approved prior to the submission of the workplan and methodology. MSI expects that USAID and partners will also provide feedback.
Weeks 4 through 6	<u>Updates on Progress</u>: MSI will present weekly reports by email to USAID starting at the end of the first week of data collection and continuing through the end of week 6, the end of data collection and the beginning of analysis. The report will discuss ongoing activities during the course of the evaluation describing the process, any issues encountered, and relevant emerging findings.
Week 6: Day 5	<u>Validation Meeting</u>: A half-day meeting (morning) with all partners and USAID to validate and discuss findings, answer/clarify any data gaps; and discuss feasibility of potential recommendations.
Week 7: Day 4	<u>Presentation with USAID/DRG and Partners:</u> The evaluation team will present the major findings of the evaluation to USAID and partners in a PowerPoint presentation in two separate presentations (morning for USAID, afternoon for partners). The presentation will follow a similar structure to the final report and present major findings, conclusions, and recommendations. Both the partners and USAID will have an opportunity to comment and provide input/feedback as part of the presentation. These comments will be incorporated into the draft report, as appropriate.
Week 7: Day 5	<u>Presentation to all of USAID</u>: This presentation will be open to all USAID staff interested in learning the main findings of the evaluation.
Week 10: Day 3	<u>Draft Evaluation Report</u>: The written report should clearly describe findings, conclusions, and recommendations, fully supported by triangulated evidence. USAID will provide comments on the draft report within two weeks of submission.

Week 14: Day 3	Final Evaluation Report: The team will submit the final report that incorporates the team responses to Mission comments and suggestions. The format will adhere to the standard reporting guidelines listed in 4.2. USAID has one week thereafter for approval. If there are some outstanding questions, MSI will attempt to answer/incorporate them into the report as appropriate. Otherwise, USAID can consider a Statement of Differences.

The evaluation report will adhere to USAID Evaluation Policy and as such all raw quantitative data will need to be shared with USAID. Qualitative data will also be shared, if specifically requested by USAID.

It is expected that USAID will approve no later than one week after submitting the final evaluation report.

4.2   Reporting Guidelines

The format for the evaluation report shall be as follows, and the report should be a maximum of 30 pages not including annexes. The report format should be restricted to Microsoft products and 12-point font should be used throughout the body of the report, with 1" page margins. An electronic copy in MS Word shall be submitted. In addition, all data collected by the evaluation shall be provided to USAID in an electronic file in an easily readable format; organized and fully documented for use by those not fully familiar with the project or the evaluation. If the report contains any potentially procurement sensitive information, a second version report excluding this information shall be submitted (also electronically, in English). Below represents a guideline for the report structure.

- **Executive Summary**—concisely state the most salient findings and recommendations (3 pg);
- **Table of Contents** (1 pg);
- **Evaluation Purpose and Evaluation Questions**—purpose, audience, and synopsis of task (1 pg);
- **Project Background**—brief overview of development problem, USAID project strategy and activities implemented to address the problem, and purpose of the evaluation (2-3 pg);
- **Evaluation Design, Methods, Limitations**—describe evaluation methods, including constraints and gaps (1 pg);
- **Findings/Conclusions/Recommendations**—for each evaluation question (20-25 pp);
- **Annexes** that document the evaluation methods, schedules, interview lists and tables should be succinct, pertinent and readable. These include references to bibliographical documentation, meetings, interviews and group discussions.

5. Team Composition

The evaluation team will be composed of six researchers – three international team members and three national team members. The composition of the team seeks to match experiences and expertise in the following areas: evaluation /research methods, conflict mitigation, peacebuilding, and the Kenyan context. With this in mind, the following descriptions were used to collect relevant CVs for review and consideration.

International Evaluation Team Leader

- Education experience: Master's Degree in Governance, Political Science, Conflict Studies, or related field; PhD is a plus;

- Proven experience in designing and conducting evaluations of conflict prevention/mitigation and peace building programs.   Familiar with theory of change approach evaluation/research;

- Applied knowledge of conflict mitigation, peace building processes (e.g. peace dividends, early warning/early response systems, peace dialogues, reconciliation activities, civil society strengthening, etc.);

- Knowledge of current political economy of Kenya (e.g. new Constitution, 2013 elections, devolution, etc.);

- Experience in USAID, especially in Democracy, Rights and Governance, and Conflict Mitigation;

- Proven experience in quantitative and qualitative data collection and analysis methods (including focus group discussion, key informant interviews, survey design and statistical analysis, etc.);

- Demonstrated written communications skills, especially in drafting evaluations and reports, required;

- Familiarity with USAID Forward quality evaluation standards and requirements.

Technical Advisor, Conflict Mitigation Theory-of-Change Advisor, responsible for constructing the theory-of change, including leading the partner workshop, in cooperation with the Team Leader, and supporting the development of the methodology, tools and workplan. The position would also provide input to the technical feedback virtually on data collection and the report.

- Education experience: PhD in Governance, Political Science, Conflict Studies, or related field;

- Proven expertise in articulating/development theories of change for conflict mitigation approaches and peacebuilding activities;

- Experience in USAID, especially in Democracy, Rights and Governance, and Conflict Mitigation;

- Experience conducting research and/or evaluations of conflict prevention/mitigation and peace building programs;

- Proven experience in quantitative and qualitative data collection and analysis methods (including focus group discussion, key informant interviews, survey design and statistical analysis, etc.).

Conflict Mitigation Team Members (three positions; national (2) and international (1))

- Education experience: Master's Degree in Governance, Political Science, Conflict Studies, or related field; PhD is a plus; or the equivalent in additional years of experience;

- 8+ year experience in implementing or managing conflict mitigation, peace building, or civil society strengthening programs (e.g. peace dividends, early warning/early response systems, peace dialogues, reconciliation activities, etc.);

- Experience conducting evaluations of conflict prevention/mitigation and peace building programs;

- Proven experience in quantitative and qualitative data collection and analysis methods (including focus group discussion, key informant interviews, survey design and statistical analysis, etc.);

- Experience in USAID, especially in Democracy, Rights and Governance, and Conflict Mitigation;

- Demonstrated written communications skills, especially in drafting evaluations and reports, required;

- Fluent in English and Kiswahili (for nationals only).

Conflict Mitigation Team Members (national)

- Education experience: Master's Degree in Governance, Political Science, Conflict Studies, or related field; or the equivalent in additional years of experience;

- 5+ year experience in implementing or managing conflict mitigation, peace building, or civil society strengthening programs (e.g. peace dividends, early warning/early response systems, peace dialogues, reconciliation activities, etc.);

- Proven skills in coordination, logistics and facilitation;

- Experience conducting evaluations of conflict prevention/mitigation and peace building programs;

- Proven experience in quantitative and qualitative data collection and analysis methods (including focus group discussion, key informant interviews, survey design and statistical analysis, etc.);

- Experience in USAID, especially in Democracy, Rights and Governance, and Conflict Mitigation;

- Demonstrated written communications skills, especially in drafting evaluations and reports, required;

- Fluent in English and Kiswahili.

CVs for all personnel are found in Annex B: CVs. Dr. Terrence Lyons, blurb below, will provide oversight and support the team in the design of the methodology.

Technical Advisor, Conflict Mitigation Theory-of-Change Advisor: **Dr. Terrence Lyons** is a world-renowned conflict prevention, mitigation and response specialist whose professional career has focused on conflict resolution in Africa, with particular attention to the Horn of Africa. Dr. Lyons has consulted for the U.S. government, World Bank, United Nations, International Crisis Group, Freedom House, Global Integrity, Council on Foreign Relations, Carnegie Corporation of New York, National Democratic Institute, and other government and non-governmental organizations on issues relating to conflict and democratization. Currently, he is Associate Professor in the School for Conflict Analysis and Resolution at George Mason University in Arlington, Virginia. Dr. Lyons is also Co-Director of the Center for Global Studies at George Mason University and Senior Associate and Co-Chair of the Ethiopia Policy Forum at the Center for Strategic and International Studies in Washington, DC. Additionally, Dr. Lyons lectures as a Visiting Professor at the Center for Human Rights at Addis Ababa

University in Ethiopia. Dr. Lyons is a frequent Lecturer at the Rift Valley Institute having taught courses on the Horn of Africa in Mombasa, Kenya (June 2012), Lamu, Kenya (June 2009), and Djibouti (October 2008). In February, 2007, he served as a resource person and panelist at the United Nations Peacebuilding Commission Working Group at the Sierra Leone meeting on Elections.

Dr. Lyons was Senior Advisor at the The Carter Center Election Mission in Addis Ababa, Ethiopia. He advised the Carter Center on its election observation mission in Ethiopia and designed and conducted delegate briefings, consulted with President Jimmy Carter, drafted interim and final reports of findings, and participated in project evaluation. He continued to consult with the center on its Civil Society Dialogues Process and on evaluation of 2010 elections. Dr. Lyons wrote his Ph.D. dissertation at Johns Hopkins University on U.S.-Ethiopian relations and conducted his fieldwork in Ethiopia in 1988-89. From 1990-1998 he served as coordinator of the Conflict Resolution in Africa project at the Brookings Institution and continued his research in northeast Africa. Lyons served as an election observer to the 1992 regional elections in Ethiopia, the 1993 referendum in Eritrea, and as the Senior Advisor to the Donor Election Unit during the 1995 national elections in Ethiopia.

6. Evaluation Management

6.1   Logistics

USAID/Kenya will provide input through an initial in-briefing to the evaluation team, identify key documents, and assist in introducing the evaluation team to the implementing partner. It will also be available for consultations regarding sources and technical issues with the evaluation team during the evaluation process. USAID/Kenya is expected to participate in the stakeholder workshop and as key informant interviewees.

MSI will assist in arranging meetings with key stakeholders identified prior to the initiation of field work. MSI will be responsible for arranging vehicle rental and drivers as needed for site visits around Nairobi and the field. MSI will also provide hotel arrangements office space, internet access, printing, and photocopying and be responsible for all payments to vendors directly after team members arrive in country.

The evaluation team will be responsible for arranging other meetings as identified during the course of the evaluation. It will advise USAID/Kenya of any meetings with the Government of Kenya and seek advice from USAID/Kenya on whether they choose to participate.

6.2   Scheduling

Work is to be carried out over a period of approximately fourteen weeks, beginning with document review. The survey will be piloted during Week 2 with data processing finding by Week 6, Day 2 to be aligned with the completion of data collection by the evaluation team. Team members will deploy to Kenya at the end of Week 1. Field work will be completed by Week 6. An initial findings presentation will be made in Week 7 and the final report will be submitted in Week 14. Exact scheduling and division of labor will be reviewed during the Team Planning Meeting and presented in the Methodology and Workplan.

SIMON RICHARDS

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Washington, DC 20024 USA
+1 (202) 484-7170

Proposed Position: Team Leader

Summary:

Mr. Simon Richards has over 20 years' experience managing social development and humanitarian programs for diverse international organizations across Africa, Asia and the Pacific. Mr. Richards is a seasoned conflict specialist with expertise in conflict assessment, analysis, prevention, management, training, reduction and peace-building. Over the past two decades his technical work has focused particularly on the areas of: conflict management stabilization and peace building through programming and the provision of technical and strategic advice to all parties including the extractive industry, International and National NGOs and governments. He brings substantive experience in civil society strengthening, governance, institutional development, strategic and community development, capacity building and NGO training, monitoring and evaluation, as well as personnel management for large international development projects. He holds a Master of Science in Development Studies from Deakin University.

Education:

Master of Science, Development Studies, Deakin University, Victoria, Australia (1997)
Postgraduate Certificate in Education, University of London, United Kingdom (1987)
Bachelor of Science (Honors), Medicinal Chemistry, University of London, United Kingdom (1983)

Experience:

Independent Consultant, Melbourne, Australia   **February 2009 – Present**
Areas of specialization include assisting and advising organizations in all aspects of international development including; strategic design, implementation, and monitoring and evaluation of projects and programs particularly those aimed at strengthening civil society and governance issues.

Sector expertise includes:
- Conflict assessment and analysis
- Peace-building and conflict management
- Corporate social responsibility – extractive industry
- Civil society strengthening and community empowerment
- Governance
- Capacity building
- Evaluation
- Provision of coaching services to senior management

IBTCI, South Sudan   **July-September 2013**
Evaluation Team Leader

- Evaluation of the USAID-funded Sudan Transition and Conflict Mitigation (STCM) Program to assess the effectiveness to improve Sudanese confidence and capacity to address the causes and consequences of political conflict, violence, and instability. \

Myanmar Conflict Analysis, Kayah State and Central Myanmar   **June-September 2013**
Conflict Advisor and Expert

- Consideration and understanding of the drivers of conflict to develop recommendations for programming options, as well as DNH and conflict sensitive approaches within the context of Pact's Shae Thot integrated development program.

Life and Peace Institute, Sweden   **June 2013**
Conflict and Peace-Building Training Expert

- Design and implementation of a global workshop on the monitoring and evaluation of peace-building. Topics include key concepts regarding peace-building and conflict transformation, participatory conflict analysis, evaluating impact and process, monitoring methodologies and considering process as end.

Feinstein International Center, Kenya   **April-June 2013**
Conflict Technical Advisor and Expert

- *Kenya Post Election Conflict Analysis*, OFDA livelihoods and Disaster Risk Reduction. Consideration and understanding of the drivers of conflict or lack thereof, related to elections in Kenya and development of recommendations for programming options.

Pact, Inc.   **May 2013**
Conflict Technical Advisor

- Technical input into the design of PEACE III the USAID upcoming cross-border conflict management program follow on from PEACE II. Served as primary program designer for PEACE II while at Pact.

The World Bank, South Sudan   **April 2013**
Conflict Technical Advisor and Expert for Conflict Assessment

- Conflict assessment and input into the design of a youth and livelihoods program with particular emphasis on gender and conflict in South Sudan.

IBTCI, Ethiopia   **January-April 2013**
Evaluation Team Leader

- Evaluation of a USAID conflict mitigation and peace-building program in Ethiopia.
- Provided conflict mitigation, resilience and programming recommendations for the next phase of conflict and livelihoods programming.

Feinstein International Center, Uganda   **October 2012-September 2013**
Conflict Technical Advisor and Expert

- Design and advise the implementation of a social research project into the application of a behavior change model for pastoralist youth involved in conflict and the implications for livelihoods programming in the Karamoja, Uganda – funded by the World Bank.

United States Institute for Peace (USIP), South Sudan   **December 2012-April 2013**
Evaluation of Community Peace-building Program

- Evaluation of a cross-border peace-building program in Unity State and Southern Kordofan implemented through Peace Direct and funded by USIP.

IBTCI, Myanmar   **November-December 2012**
Team Leader

- Evaluation of the USAID Leadership Program for Civil Society. Provided social analysis of the context and provision of recommendations for future civil society development programming in Myanmar.

Plan Vietnam and Matrix Consulting, Vietnam   **August-September 201**
Consultant

- Developed an improved participatory processes and measurement for the poor and ethnic minorities in a Vietnam government pro-poor governance program.
- Developed an M&E framework and tools for the Participation, Engagement and Accountability Program (PEAP).
- Developed and delivered a Training of Trainers workshop, manual and materials for improved participatory monitoring processes for governance programming to local government, and Plan staff.

IRD, Horn of Africa
Consultant

- Assessment, conflict analysis, preparation and preliminary design of a conflict transformation framework and potential programs to address conflict in the Horn of Africa.

ACT Alliance, Somalia and Kenya   **May 2012 - August 2012**
Consultant

- Impact evaluation and learning event, Horn of Africa Humanitarian Appeal.

Plan Vietnam and Matrix Consulting, Vietnam   **May 2012 (first input)**
Consultant

- Developed an improved participatory processes and measurement for the poor and ethnic minorities in a Vietnam government pro-poor governance program. Development of an M&E framework and tools for the Participation, Engagement and Accountability Program (PEAP).
- Analysis of the District Social Economic Development Plans (SEDP) and processes in two provinces in Vietnam to advise Plan Vietnam on how better to improve the participation processes to be pro-poor for both local government officials and community.
- Developed an improved participatory monitoring process for governance programming and then trained local government, community and Plan staff in the new accountability methodologies.

Minority Rights Group International, Kenya, Uganda and Sudan   **March 2012**
Consultant

- Evaluation: Preventing inter-community conflicts in East Africa.

Saferworld, UK   **March 2012**
Advisor

- Development of a more systematic M&E framework, indicators and methodologies for community security at the global organizational level. Consideration of how better to measure the impact of community security programs, including government frameworks and their vertical linkages.
- Advisory role including the development of a discussion paper to assist in stimulating an internal organizational debate.

Saferworld, UK   **April – May 2012**
Consultant

- Development of a policy brief assessing the humanitarian needs and conflict situation in Southern Kordofan and Blue Nile, published by ODI.
- Development of a comprehensive conflict transformation framework for Sudan.

Danish Refugee Council, Somaliland, Puntland and Somalia
Consultant

- Policy and practical guideline design for conflict analysis, management, resolution and conflict sensitivity in humanitarian programming in Somaliland, Puntland and Somalia.
- Policy and guideline design for conflict analysis, management, resolution and conflict sensitivity in humanitarian programming, for the World Bank Community Driven Recovery and Development program (CDRD) being implemented by DRC and UNICEF and supported by DFID and the World Bank.

Pax Populus, Australia   **October 2011**
Consultant

- Technical design of stakeholder consultations to inform the design of a process and communications strategy to address conflict and governance issues between local government and landholders in a recently designated protected Grasslands Reserves in Australia.

Pact Inc., Myanmar   **May 2011**
Consultant

- Successful Technical Design for a USAID funded - US$55 million integrated Livelihoods, Health and WASH program in Myanmar (Burma) for a consortium of UN Habitat, UNDP, ACTED and lead by Pact Inc.

Pax Populous Consulting   **December 2010-January 2011**
Researcher and Team Member

- Stakeholder Design Process: Research with other team members to obtain stakeholder input to inform a design process for Gunns Ltd and their controversial proposed Bell Bay Pulp Mill in Tasmania.

Feinstein International Center, Ethiopia   **October 2010 and February 2011**
Consultant

- Conducted a conflict analysis and applied the findings to the "Bridges" Education Program (Save the Children, Mercy Corps, Islamic Relief) in the Somali Region of Southern Ethiopia (on behalf of Feinstein International Center, Tufts University and DFID).

Save the Children, US   **February 2010 Consultant**

- Evaluation: Safety Net Approach in Pastoral Areas and Pilot Safety Net Program in Pastoral Areas Pilot: Designed and conducted an impact review of this USAID funded program in the pastoralist Somali region of Southern Ethiopia, considering the conflict sensitivity dynamics and stability of the region.

Save the Children, Australia   **March-July 2009**
Transition Manager PNG

- Assessed the risks, security issues and opportunities as well as oversaw the management, transition and handover of an Aus$5 million annual budget program from Save the Children New Zealand to Australia.

Matrix International Consulting, Australia   **April-June 2009**
Researcher on Early Recovery (Post-conflict and Post-disaster)

- Review and analyze AusAID's program experience to date across Asia and the Pacific and prepare a background paper outlining lessons learned and identifying the key principles of early recovery and stability (Post-conflict and Post-disaster) to inform the development of an AusAID policy on early recovery.

Chevron and Pact, Myanmar   **July 2009**
Consultant

- Conduct a full program evaluation of a livelihoods, health and community empowerment and development program in Myanmar.

Pax Populus   **Present**
Senior Associate

- Consultant on various assignments for this Australian Social Advisory organization that specializes in provision of services concerning dispute resolution and peace-building, stakeholder engagement and communication, social impact and community development, and corporate social performance.

Save the Children Australia   **Aug 2009 – Dec 2010**
Strategic Programs Advisor (part-time) includes 5 months as *International Programs Director*

- Provided input, oversight and technical support and advice to develop strategic programs across the organizational portfolio including Australia.
- Developed programs, with particular emphasis on the Horn of Africa, as well as develop relationships with the corporate community and the extractive industries.
- Assisted in identifying strategic linkages, useful lessons and program experiences across and within the institution. Developed strategic partnerships to achieve mission objectives.

Pact Inc. Kenya and Australia   **February 2004 – March 2010**
Corporate Community Engagement Advisor / Senior Associate   **March 2009-2010**
Peace and Conflict Advisor   **Sep 2007- Mar 2009**

- Member of Pact's Africa regional senior management team. Lead the development of strategy for Pact in Peace and Conflict; provided senior oversight and technical support to Horn of Africa regional conflict reduction and peace building efforts as well as development of the Corporate Community Engagement sector. Assisted in identifying strategic linkages, useful lessons and program experiences across the region and within the institution.

- Designed and developed a successful regional USAID funded US$ 10 million Regional Conflict Prevention and Mitigation (PEACE II) Program addressing cross-border conflict in the Horn of Africa (border areas or Ethiopia, Somalia, Sudan, Kenya and Uganda).
- Senior Technical Director on the USAID funded Regional Enhanced Livelihoods Program - Conflict Prevention and Mitigation (CPMR) activity in the Horn of Africa. Oversaw and implemented the development of a set of practical conflict sensitive service delivery tools and workshops to assist local and international livelihoods organizations to consider and mitigate the implications for conflict as a result of their programs.
- Developed a regional strategic direction for expansion into West Africa – focusing on the mining and peace and conflict sectors particularly considering Liberia, Nigeria and Ghana.
- Organized the first Pact 'Peace Platform' meeting bringing practitioners together to consider organizational policy and praxis.
- Design and ongoing technical input into regional conflict programs including the USAID - CMM funded cross-border initiatives Sudan – Ethiopia (Gambella region), NRM and extractive industries in DRC (Ituri), and some initiatives jointly funded between USAID and DFID on cross-border trade and conflict in DRC.

Pact Inc. Nairobi, Kenya Africa Regional Director   **Sep 2005- Sep 2007**
Peace and Conflict Advisor

- Member of the global senior management team. Had direct strategic oversight and management of Pact's Africa portfolio of 16 Country Directors and programs, including Ethiopia, Sudan, Somalia, Kenya, Uganda, DRC, Zimbabwe and Nigeria, with a combined budget portfolio of ca. US$250+ million (USAID funds).
- Management of the Regional Support Unit: a team of 10 technical resource and support personnel (governance advisors, HIV/AIDS, and specialist grant managers).
- Trouble-shooting on all USAID-funded programs, as well as support to program managers to ensure contract deliverables achieved.
- Represent Pact and foster relations with donors and other external actors in the region.
- Initiated, lead and managed the first Pact Africa Regional Strategy formulation effort, leading to an approved Strategy 2006-2011 and the development of regional programs as well as country programs.
- Designed and developed a number of strategic cross- border regional programs addressing conflict and stability in the Horn of Africa and in Central Africa.
- Facilitated and implemented organizational change processes, including decentralization of support functions and their development in the region.
- Supported the development, growth and sustainability of 4 new strategic ventures in the areas of: local governance (a barometer index to consider changes in and development of improved local governance in a variety of sectors) corporate social responsibility (USAID, DFID and corporate funded programs); learning and innovation; and women's empowerment and livelihood improvement (USAID-funded).
- Oversaw the expansion of Pact's presence and programming in Africa in three new countries, diversified support to partner new donors (DFID, Norad, Danida, Sida, CIDA, etc) including the corporate sector and aside from strengthening the traditional Pact relationship with USAID.
- Developed the regional unit to enhance quality programming and management practices including; introduction of cross-country program peer monitoring and reviews, the development of a monitoring and evaluation community of practice, and the development of an internal Africa Leadership program.

Pact, Inc. Nairobi, Kenya   **February 2004-September 2005**
Chief of Party, Southern Sudan Transition Initiative (SSTI)

- Overall program Director providing strategic direction and direct supervision of all program activities including managing a team of 20 staff.
- In conjunction with the Sudan Peace Fund, a total of 323 sub-grants awarded to over 150 organizations (>90% Sudanese) during its 3.5 year duration to the value of ca US$12,000,000.
- Mentored, provided training and support to at least 73 civil society organizations across South Sudan resulting in their improved programming and management of projects. Activities varied from small peace-building, implementing of peace dividends, innovative new governance mechanisms around NRM, livelihood projects, a large national dissemination of the Comprehensive Peace Agreement using civil society actors, support to various media, direct support to civil society conferences, strategy-making and advocacy efforts (around issues such as the development of local government policy, NGO laws, constitutional processes, etc) as well as Chambers of commerce and a specific methodology for civil society development at the Sub-Regional level.
- Addressed 33 separate conflicts across the Sudan with more than 35,000 participants in over 200 peace conferences and dialogues, resulting in over 50 Community Peace Resolutions and Agreements Signed as well as new civil institutions and actors able to assist in the peace processes such as peace committees, early warning mechanisms, the strengthening of the Government Peace Commission.
- Directed particularly politically sensitive activities involving liaison with the most senior SPLM/A commanders and civil society (eg the national dissemination of the Comprehensive Peace Agreement across Southern Sudan, the return of ca 25,000 Bor Dinka and their ca 1 million cattle out of Equatoria, the mobile courts, cross-line conferences eg the Nuba, particular conflicts, support to the SPLM).
- Ensured that the majority of activities empowered communities to hold their leaders accountable while simultaneously supporting leaders (when appropriate) to make good their commitments to improved behaviors in accord with the principles of good governance.

Pact Inc., Nairobi, Kenya   **February 2004-September 2005**
Senior Program Advisor, Sudan Country Program

- Provided senior management, programmatic and strategic advice to the Pact Sudan Country program. Member of senior management team (3 persons) overseeing a program with an annual budget of US$30 million with components covering the whole of South Sudan and the transition areas include Peace-Building and Conflict Mitigation, Water provision within a conflict framework, Civil Society strengthening, good governance, support to the media, water provision, and support to returning IDPs. (The main donor for the program was USAID) Provide technical and program input into partner grants.
- Initiated and chaired the overall Sudan Country Program grant-making committee; evaluating, critiquing and ensuring that the activities were aligned with both project, regional and strategic objectives and of a sufficiently high quality intervention with achievable goals.
- Lead and mentored the Eastern Equatoria team that resulted in some of the most successful and innovative interventions of the program addressing conflict in pastoralist areas.
- Initiated and chaired the Sudan wide joint donor-NGO governance group.
- Successfully diversified and increased the level of donor support to the program which included USAID, OTI/USAID, OFDA/USAID, CMM/USAID, DFID, UNDP, Norway MFA, UNHCR, Italian MFA, and other donors.
- Assisted in the design and initiation of two cross-border programs in the Horn of Africa to augment peace-building in the Sudan: Sudan-Ethiopia- cross-border trade and conflict program (Gambella-Upper Nile) as well as Sudan-Ethiopia community peace program (within Gambella).

Christian Aid, Nairobi, Kenya   **Aug 2001-Feb 2004**
Regional Representative, Eastern Africa

- Direct oversight over Christian Aid's Eastern Africa programs in South Sudan, Kenya, Uganda and Tanzania.
- Responsible for strategic direction, management and security, advocacy campaigns, and response to emergencies.
- Oversaw a team of 15 and managed an annual budget of ca Aus$4 million. Program sectors included civil society strengthening, good governance, peace-building and conflict mitigation particularly in the pastoralist areas of the Horn of Africa, HIV/AIDS and livelihoods as well as emergency response programs. Donors for CA programs in the region included USAID, OFDA and DFID.
- Initiated and managed the first East Africa Regional Strategy formulation effort and individual country strategies
- Facilitated and implemented organizational change processes, including decentralization of support functions and their development in the region.
- Restructured the region, staffing and relationships with London, reviewed all partners and streamlined and harmonized strategy with partnerships, sectors and objectives.
- Set up cross-regional partner meetings and learning opportunities.

Christian Aid, Herat, Afghanistan   **February 1999 - July 2001**
Afghanistan Country Representative

- Direct oversight over Christian Aid's Afghanistan program including strategic direction, management, security, program quality and capacity building of partners. Representation and negotiation with Donors, the Taliban, governments, authorities, warlords and the press. Managed a team of 12 and annual budget of ca Aus$3.3 million. Main program sectors included civil society strengthening, credit, capacity building, mines awareness and peace-building livelihoods, women's health, and emergency response.
- Developed and expanded (doubled) a multi-sectoral program portfolio including both long-term development and emergency relief projects implemented by 12 local and international partners in Afghanistan during the Taliban 'era'.
- Initiated and lead a country-wide capacity building sectoral support group to improve the coordination and cohesion of approaches to the capacity building efforts of national Afghan organizations in partnership with the international community.
- Lead the support to improve the quality of administration and management of partners' programs with development of new standards and manuals such that three local organizations 'graduated' to receiving direct funding from DFID and other major donors.
- Initiated coordination group in security, credit, and emergency response sectors in the western region including leading the preparation of agreed common drought assessment and monitoring standards.
- Lead the coordinated response to the West Afghanistan drought.
- Diversified and increased donor support to the program including new donors such as EU, the Irish government, ECHO, the Jersey Government and a number of smaller donors.

Merlin, Peshawar, Pakistan   **July 1998- February 1999**
Regional Program Coordinator (Pakistan and Afghanistan)

- Direct responsibility for the implementation of MERLIN primary health projects in Afghanistan (in 3 provinces). Managed a team of ca 7 expatriate and 100 national staff with an annual budget of ca Aus$3.2 million.

- Negotiated continued operations at national and provincial level for the programs with the Taliban during a period where the majority of NGOs were thrown out of the country.
- Maintained programs from afar with limited access (from Peshawar).
- Oversaw the evacuation (and return) of the majority of program staff during the 'missile crisis' of 1999.
- Closed the major program in Badakhshan under very difficult circumstances.

Overseas Service Bureau (OSB), Melbourne, Australia   **March 1994-July 1998**
Country Manager (responsibilities over this period included Indonesia, Malaysia, Cambodia, Pakistan, Afghanistan, Lao PDR, Bangladesh)

- Direct oversight of OSB's programs involving identification of positions, recruitment, placement, supervision and support of Technical Assistance personnel. Major program sectors included natural resource management, civil society strengthening, rights, HIV/AIDS, education, agriculture and health.
- Oversee strategic direction of programs and cross linkages between countries. Numbers of volunteers in the programs varied from 70 Indonesia, 40 Cambodia, 5 Bangladesh, Laos 4, Afghanistan 10, Pakistan 6.
- Refocused the Indonesia program from an English Language Teaching program to be a rights focused program including land, environmental and minority rights placements. Doubling the size of the program from 34 to ca 70 volunteers (within an extremely oppressive environment) placed volunteers in East Timor and West Papua at a time where access was extremely limited.
- Co-led the reopening of the program in Bangladesh and placement of 6 volunteers after a period of a number of years without a volunteer presence, involving negotiations with the government, identification of appropriate placements.
- Tackled and resolved many difficult cross-cultural issues and situations including evacuation of programs (Cambodia, Afghanistan), deportations, deaths, imprisonments, and a myriad of issues arising from differing expectations from different perspectives.
- Initiated coordinated placements of technical volunteers with ACIAR and CSIRO in Cambodia, one of the first times OSB had worked with other agencies.

Yanaterasila Foundation, Yogyakarta, Java   **Jul 1993 - Mar 1994**
Program Development Officer

- Day to Day Management of foundation activities and staff.
- Organization of upland Rapid Rural Assessments and subsequent evaluation of data on behalf of the Foundation. Identification of future target areas based on these findings, resulting in the setting up of demonstration nurseries to provide other sources of income and improve erosion control.
- Liaison with community groups in Nusa Tengarra Timur to discuss inter-NGO cooperation.
- Evaluation of pilot project: "Home stay apprenticeships for disabled NTT youths."
- Survey of potential partner organizations for involvement in extended programs.
- Development and submission of fundraising proposals to donors.

St. Michael's Grammar School, Victoria, Australia   **September 1990-July 1993**
Coordinator and Teacher of Science

SMAK St Gabriel, Maumere, Flores, Indonesia   **February 1988-September 1989**
Teacher Trainer

- Designed, developed and implemented workshops and training sessions for all local teachers concerning teaching methodologies, how to run simple experiments in natural sciences using local materials, as well as the practical applications of science and technology.

Kings College London, University of London, UK   **1986-1987**
Laboratory Technician

Languages:

Indonesian, Malay. Knowledgeable in French, German, Farsi

SARAH BAYNE

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Proposed Position: Senior Conflict Specialist / Team Member

Summary:

Ms. Sarah Bayne has over twelve years of experience in the fields of governance, humanitarian assistance, peace building and conflict-sensitive development, engagement in fragile states and armed violence reduction with a particular emphasis on EU external policy. She combines experience of working for donors and non-governmental organizations in Europe and Africa with a strong track record in providing high quality consultancy services. Sarah's past clients have included: DFID, European Commission, Sida, UNDP, European Center for Development Policy Management (ECDPM), Department for Peace Studies - Bradford University, Saferworld, OECD DAC, Norwegian Refugee Council and CARE International. Further, she has expertise in applied and policy research; conflict assessments; advocacy and communications; program reviews and evaluation. She has field experience in Kenya, Uganda, Sudan and Somalia. Sarah holds a Master of Science Degree in International and European Politics from Edinburgh University.

Education:

Master of Science, International and European Politics, Edinburg University (1999)
Bachelor of Arts, Economics, Manchester University (1993)

Experience:

Consultant   2011 to date
- Consultant within the Fragile and conflict affected states (FCAS) portfolio, *theIDLgroup.*

Conciliation Resources   2013
- Lead consultant in a comparative review of Conciliation Resources' operating model. The review focuses on assessment of the Value for Money of the current operational model and organizational structure. It draws on data and experiences both from Conciliation Resources and other peace building organizations in order to provide a comparative analysis and inform decision making on the most appropriate model going forward.

CARE International UK   2013
- Lead researcher and author of a guidance note for DFID on the M&E of Integrated Peace building and Development Programs as part of the DFID funded Conflict, Crime and Violence Reporting Initiative. Desk review of literature, interviews with leading academics and practitioners, researching three case studies and preparing the final guidance note.

Norwegian Refugee Council and OCHA   2012-2013

- Research into the extent of counter terrorism related conditions present in funding agreements with humanitarian implementing partners and other risk management approaches adopted by a select number of donors.

Conciliation Resources   2012

- Supported a participatory process of strengthening and revising CR's organizational logframe as part of a broader process of strengthening and streamlining CR's internal monitoring and data gathering processes.

Norwegian Refugee Council   2012

- Research and critical analysis of the policies, preferences, and decision-making procedures that inform and influence the humanitarian financing decisions of selected European donor governments: Denmark, France, Germany, Netherlands, Sweden, and the United Kingdom (UK), Italy and Poland. The analysis will feed into a final report and analysis both as a stand-alone publication and feeding into a broader synthesis report on the current status of principled humanitarian action.

Conciliation Resources   2012

- Team leader for an independent progress review of Conciliation Resources Program Partnership Agreement (with DFID).

Saferworld and Conciliation Resources   2011-2012

- Lead evaluator of the People's Peacemaking Perspectives (PPP) project, an 18 country 1.83m Euros EC funded joint initiative between Conciliation Resources and Saferworld focused on support to policy advocacy and dialogue informed by high-quality participatory analysis of causes and dynamics of conflict and fragility.

Saferworld   2011

- Country analysis – Bosnia and Herzegovina
- Provision of targeted information on the impact of EU policies, strategies and programming on key conflict factors identified in Saferworld's country conflict analysis with a particular focus on youth issues.

Freelance Consultant   2003-2011

- Provide technical and strategic advice and support to both governmental and non-governmental organizations in the areas of peace-building, conflict-sensitive development, engagement in fragile states and armed violence reduction. Key clients include: DFID, FCO, Saferworld, OECD DAC, International Alert (IA), and the Centre for International Co-operation and Security (CICS) at the University Of Bradford Department Of Peace Studies.

University of Newcastle   2011
Associate Staff Member

- Delivery of seminars as part of the MA course "EU as an International Actor".

European Center for Development Policy   2010-2011

- Member of a multi-national and multi-disciplinary team commissioned by the board of ECDPM to undertake an institutional evaluation. Review of the context and performance of the center during the period 2007-2010, assessment of the evolution of the institution, operational structure and formulation of recommendations.

Saferworld

- Support to Saferworld's Bosnia Program. Support to the research, drafting and editing of a conflict assessment undertaken with the Nansen Dialogue Centre Sarajevo (NDC) in eight locations across Bosnia. Provided specific guidance on methodology, the formulation of recommendations and identification of key advocacy targets.

Austrian Center for Peace building and Conflict Resolution   **2010**

- Delivery of training on peace building evaluation as part of a European Security and Defense College (ESDC) pilot course on peace building.

UNDP – BCPR   **2010**

- Co-author of a background paper for the Oslo Conference on Armed Violence on "Preventing and Reducing Armed Violence: Development Plans and Assistance". The paper provided an overview of some of the experience, lessons and best practice in the integration of approaches to reducing armed violence within local, national, and donor development planning processes.

European Commission   **2009**

- Team leader of a review to draw lessons from the implementation of the Peace building Partnership and provided recommendations on its future direction, including organizational modalities. Work involved broad consultation with key stakeholders and experts, and a review of relevant documentation.

Saferworld   **2009**

- Development of an annotated bibliography of policy documents and literature relating to conflict-sensitive approaches to development for a consortium of peace building, development and multi-mandate NGOS.

DFID/UK Government   **2009**

- Member of team commissioned to review UK Government experience using Strategic Conflict Assessments (SCAs) and to provide recommendations to inform an update of the methodology and guidance leading to the development of the new HMG Joint Assessment of Conflict and Security. The study involved analyzing the process and outcome of SCAs across 15 countries.

DFID   **2008**

- Lead consultant for an analysis of post-election violence in Kenya with policy options for the British Government and international partners. The analysis was conceived as an update of the 2007 Strategic Conflict Assessment. The work included consultations with a wide range of actors across affected regions and assessment of the effectiveness of efforts by different actors to respond, identifying gaps and opportunities for additional support.

Saferworld   **2007**

- Acting Conflict Advisor for Saferworld. Supported a project by Ugandan peace building NGO – CECORE – aimed at assessing the impact of a rural electrification project in Pader District (Northern Uganda). Involved updating the local conflict assessment, supporting local consultations led by the Ugandan team and reporting to Saferworld.

CICS, Department of Peace Studies, University of Bradford   2007

- Input to thematic research paper 'Links and Interrelationships between DDR and Development in the Transition from Post-conflict Stabilization to Longer Term Development'. Participated in expert seminar as part of DFID funded project "DDR and Human Security: Post-conflict Security-building in the Interests of the Poor".

DFID   2007

- Team leader for a Strategic Conflict Assessment, which was commissioned by DFID and the FCO in Kenya to inform their understanding of the drivers of conflict and insecurity across the country and the impact of developments in the region. This included facilitation of expert group seminars and development of policy and programmatic recommendations.

Channel Research/OECD DAC and Sida   2007

- Co-authorship of a report for the CPDC / GOVNET Joint Working Group on Human Rights and Conflict. Involved scoping donor policies, institutional practice and academic analysis on the interface between human rights and conflict, outlining a framework identifying the current links between human rights and conflict, and advising on the methodologies for further research.

Saferworld   2006

- Authorship of Saferworld Briefing Paper "The EC Country Strategy for Uganda: Taking Conflict into Account". The paper aimed to inform EU policy in Uganda and promote the mainstreaming of a conflict perspective.

UNICEF Regional Office South Asia   2006

- Development of briefing paper on Conflict-sensitive Approaches to Sector Wide and Program based approaches.

CICS, Department of Peace Studies, Bradford University   2006

- Research and co-authorship of policy briefings for Finnish Presidency of EU. These included 'Approaches toward ensuring effective support for peace support/ keeping missions in Africa'; 'EU/EC use of political conditionality in cooperation programs with Africa' and 'Developing international capacities for Crisis Management and Crisis Response in Africa'.

International Alert   2005

- Research and authorship of analytical framework for a conflict assessment of the Education for All Program in Nepal.

Saferworld   2005

- Researched and authorship of Saferworld publication 'Aid and Conflict in Uganda'. The paper examined the extent to which conflict issues have been mainstreamed within development plans, policies and programs in Uganda with recommendations. Work involved an extensive desk review of key policy documentation and semi-structured interviews with a wide range of key informants in Uganda.

UNIDIR   2005

- Contribution to UNIDIR report 'European Action on SALW and ERW' on mainstreaming SALW issues into the implementation of the Cotonou Agreement. Involvement in expert seminar.

Saferworld 2005

- Contribution to Saferworld/ International Alert publication 'Developing an EU Strategy to Address Fragile States. Priorities for the UK Presidency of the EU in 2005'.

International Alert, Saferworld and FEWER 2003

- Assistance in the conceptualization, research and writing of this key resource on conflict sensitivity. Lead author for chapter four on integrating conflict sensitivity into sector wide approaches.

ECDPM 2000

- Research and authorship of ECDPM publication "The EU's Political and Development Response to Somalia". Research of ECDPM publication 'The EU's Political and Development Response to Sudan'. Both publications included field research.

Saferworld, Horn of Africa 2001-2003
Project Coordinator, EU and Conflict Prevention

- Development and implementation of a research, advocacy and capacity building program with local civil society partner organizations in the Horn of Africa. Initiated Saferworld's engagement in Somalia and Somaliland through facilitating the establishment of the first Non-state actor's platform within the framework of the Cotonou Agreement.
- Involved supporting the development of partnerships, networks and consultative forums bringing together local civil society groups and regional and international policy makers in the Horn of Africa to discuss issues relating to peacebuilding.
- General project management responsibilities including program development, funding financial management, ongoing monitoring and reporting to donors.

DFID, London, England 2000-2001
Associate Professional Officer - Governance

- Researched and drafted policy papers and policy implementation documents (including on Safety Security and Access to Justice; in country project work on governance aspects of DFID support (eg. Andhra Pradesh Governance Reform Technical Assistance Project - India); appraisal of funding proposals.
- Conducted trainings in participatory development (IDS, Sussex); Institutional Development and Governance (DFID Governance Advisory Network); DFID policies, structures and project cycle management.

European Commission, Brussels, Belgium 2000
In Service Trainee, Horn of Africa

- Wrote briefings and reports and attended meetings of Council and Parliament in relation to developments in Somalia; liaised with civil society organizations from the Horn of Africa (in particular Somali diaspora groups); monitored political developments in the Horn of Africa.

Scottish Somali Action, Edinburgh, Scotland 1997-2000
Coordinator

- Developed and implemented an advocacy and awareness raising project bringing together UK Diaspora Somali civil society organizations, international NGOs and research organizations on international engagement with Somalia.
- Supervised staff and volunteers; oversaw fundraising and monitoring (including financial monitoring).

St John Ambulance International, UK   **1995-1997**
Communications Strategist

- Developed and implemented a communications strategy in order to strengthen links and exchange of best-practice between international branches of the organization.

Countries of Work Experience:

Kenya, Uganda, Somalia and Somaliland, Ethiopia, Bosnia and Herzegovina, and Sierra Leone.

Languages:

English and French

TERRENCE LYONS

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Proposed Position: Technical Advisor

Dr. Terrence Lyons is an expert in conflict management and assessment particularly in the Horn of Africa has over 20 years' experience. Dr. Lyons used various conflict assessment frameworks in Sudan, Somalia, Eritrea, and Zimbabwe which included enhanced desk studies, fieldwork and synthesis. He was the Team Leader for USAID's Ethiopia Democracy and Governance Assessment in 2011 where he was responsible for managing team data collection, logistics and deliverables. Dr. Lyons has a demonstrated familiarity with USAID's directives and policies. His consulting experience includes contracts with the World Bank, the United Nations, International Crisis Group, Freedom House and the Council on Foreign Relations. He has written extensively on conflict management including *Sovereignty as Responsibility: Conflict Management in Africa* for Brookings Institution. Dr. Lyons is currently an associate professor at the School for Conflict Analysis and Resolution (S-CAR) at George Mason University and teaches graduate level classes in Conflict Analysis and Theories of Conflict and Conflict Resolution. He holds a Ph.D. in International Relations from Johns Hopkins University's School of Advanced International Studies.

EDUCATION

Ph.D., International Relations, Johns Hopkins University School of Advanced International Studies, 1994

SELECTED PROFESSIONAL EXPERIENCE

1999-present	**Associate Professor, School for Conflict Analysis and Resolution (S-CAR), George Mason University,** Arlington, Virginia.
	Currently Co-Director of the Center for Global Studies at George Mason University.
2011- present	**Senior Associate and Co-Chair, Ethiopia Policy Forum. Center for Strategic and International Studies**, Washington, DC.
2011	**Team Leader, USAID/Johnson Law Group, Democracy and Governance Assessment,** Ethiopia

Led a five person team to conduct a Democracy and Governance Assessment in Ethiopia. The team spent three weeks in the field with two weeks in separate regional sub teams. As team leader, he was responsible for managing team data collection, logistics and deliverables.

CONSULTANT REPORTS

Lyons, Terrence et al. 2011. "**Ethiopia Democracy and Governance Assessment**." MSI/USAID. Washington DC.

Lyons, Terrence et al. 2008. "**Evaluation of USAID's Elections and Political Processes Strengthening Program in Liberia."** Democracy International, USAID, Washington DC.

Lyons, Terrence et al. 2008. "**Somalia Democracy and Governance Assessment."** MSI/USAID. Washington DC.

Lyons, Terrence et al. 2005. "**Transition from War to Capacity for Development**." Project on Post-Conflict Leadership. The World Bank.

Lyons, Terrence et al. 2003. "**Sudan Conflict Vulnerability Assessment**." MSI/USAID.Washington DC.

Lyons, Terrence et al. 2002."**Eritrea Conflict Assessment."** ARD/ USAID. Washington DC.

Lyons, Terrence et al. 2001**."Toward Managing the Crisis in Zimbabwe: A Conflict Assessment."** MSI/USAID. Washington DC.

Lyons, Terrence et al. 1999. "Elections Assistance in Ghana and Mali." MSI/USAID. Washington DC.

Lyons, Terrence et al. 1999. "Mozambique: From Post-Conflict to Municipal Elections." MSI/USAID. Washington DC.

Lyons, Terrence et al. 1999. "Technical Assistance for Elections Administration." USAID/MSI. Washington DC.

POLICY ANALYSES AND WORKING PAPERS:

Lyons, Terrence. 2011. **"Ethiopia: Assessing Risks to Stability."** Center for Strategic and International Studies. Washington DC.

Lyons, Terrence et al. 2006."**Avoiding Conflict in the Horn of Africa: U.S. Policy toward Ethiopia and Eritrea."** Council on Foreign Relations. Washington DC.

Lyons, Terrence. 2006. "Ethiopia in 2005: The Beginning of a Transition?" Center for Strategic and International Studies Africa Washington DC.

SELECTED PUBLICATIONS

- Lyons, Terrence P. 2005. Demilitarizing Politics: Elections on the Uncertain Road to Peace.
- Lyons, Terrence P. 1999. Voting for Peace: Post-conflict Elections in Liberia. Brookings Institution.
- Lyons, Terrence P. et al. 1996. Sovereignty as Responsibility: Conflict Management in Africa. Brookings Institution.
- Lyons, Terrence P. and Samatar, Ahmed. 1995. Somalia: State Collapse, Multilateral Intervention, and Strategies for Political Reconstruction. Brookings Institution.

MANASSEH WEPUNDI

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Proposed Position: Conflict Specialist

Summary:

Mr. Wepundi has over 10 years of experience in conflict analysis, prevention and resolution in Africa. He is an expert in conflict trends analysis, early warning systems, small arms and light weapons. Mr. Wepundi also has experience in designing and implementing training programs on human security, conflict transformation, peace building and conflict sensitivity. Mr. Wepundi has been responsible for coordinating peace and conflict research and analysis functions including: finalization of research outputs for publication and developing research and assessment tools and enriching conflict sensitivity methodologies. He also has knowledge of developing and technically supporting implementation of peace building interventions including early warning, early response conflict analysis, and conflict transformation. Mr. Wepundi is experienced in monitoring and evaluation of peace projects through design of M&E instruments, field visits, data analysis, and reporting M&E expertise offered to World Vision's North Rift Peace Project (2011-2012), the Kenya Conflict Sensitivity Consortium's Conflict Sensitivity Project (2009-2011), and the UNV's post –election Violence Peace-Building Project (2008).

Education:

Master of Arts, International Studies, University of Nairobi, Kenya (2005)
Bachelor of Arts, Government and Public Administration, Moi University, Kenya (2002)

Experience:

Small Arms Survey, UNDP Kenya   **Present**
Monitoring and Evaluation Consultant

Local Capacities for Peace International, Kenya   **2009-2012**
Program Manager
- Programmatic specialization in enhancement of LCPI's research and analysis capacities (in human security, peace building and conflict sensitivity).
- Developed organizational programs, identified potential staff and steered the programmatic direction in consultation with directors.

Africa Policy Institute (API), Kenya   **Jul 2007- Jan 2008**
Senior Analyst / Program Manager of the Uganda Liaison Office
- Supervised all projects in Uganda Liaison Office, researched, and analyzed peace and security dynamics in the Horn, prepared situation reports and policy briefs on Uganda peace process and develop and maintained strategic partnerships.

Africa Leadership Institute (AFLI), Kampala, Uganda   **Sep 2006 – June 2007**
Senior researcher

- Offered research expertise to Ugandan regional political leaders engaged in the Juba peace talks.
- Documented progress of northern Uganda peace process, prepared policy briefs and situation reports, and engaged in public education drives on progress of peace talks.

Security Research and Information Centre (SRIC), Nairobi, Kenya   2002 – 2006
Researcher

- Worked on research projects on conflict and firearms related crimes in the Horn of Africa and Great Lakes Region.
- Gained wide knowledge of issues related to human security, small arms and light weapons, conflict and terrorism in the Great Lakes Region and the Horn of Africa.

SaferWorld, Kenya   March 2012
Lead Consultant

- Baseline assessments on Security in West Pokot, Bungoma and Isiolo Counties ahead of Saferworld's community security project.

World Vision, Kenya   Nov 2011 - Jan 2012
Lead Consultant

- Evaluated the North Rift Peace Project (NORIPP).

Geneva & Kenya National Focal Point on Small Arms, Kenya   March 2011
Lead Researcher

- Led team to conduct a national survey on small arms and perceptions of security in Kenya.

Saferworld, Kenya   October 2010
Research Consultant

- Conducted a conflict analysis for EU early warning and early response strategies on Kenya leading to a publication on "Transition and Reform" capturing people's current hopes and fears about reforms and conflicts and making recommendations for the EU and relevant actors.

Konard Adeneur Stiftung, Kenya   August 2011
Policy Expert

- Extensive analysis of peace-related policies in Kenya, highlighting strengths and opportunities for policy advocacy.
- Presented findings in three regional policy dialogue forums (in Nyanza, Rift Valley & Western) and at the national policy dialogue forum in Nairobi.

Kenya Conflict Sensitivity Consortium, Kenya   Nov 2010 - May 2011
Lead Consultant

- Assessment of progress of implementation of conflict sensitivity.
- Documentation/review of case studies on CSA practice in Kenya.
- Consultative forums on advocacy.
- Outreach and review of CSA Toolkit.
- Development of Training Manual.

Safeworld, Kenya   Jan-Mar 2011
Research consultant

Saferworld/UNDP, Somaliland   **May-Jul, 2010**
Lead consultant

- Conflict analysis of Laascaanood and Burao (Somaliland) and development of community safety plan for the respective regions under the Saferworld/UNDP Armed Violence Reduction/DDR Project.

RECSA / ISS, Kenya   **Jun-Aug 2010**
Lead Consultant

- Practical disarmament study in Kenya commissioned by the Regional Centre on Small Arms (RECSA) and Institute of Security Studies (ISS).

Office of the President's (NSC) / UNDP, Kenya   **Jun-Aug 2010**
Political Expert

- National conflict mapping in Kenya commissioned by the Office of the President's National Steering Committee on Peace-building & Conflict Management (NSC) and UNDP.

Life and Peace Institute, Somalia   **Dec 2009-Mar 2010**
Independent consultant

- Qualitative data analysis and interpretation of field data on the role of Somali Civil Society in Peace-building.

Action Aid / CAFOD / CARE / Plan International /   **Nov 2009-Feb 2010**
Skillshare International / Save the Children, Kenya
Lead Consultant

- Countrywide analysis of conflicts in Kenya as part of the implementation of conflict sensitive practice.

Action Aid International, Kenya   **Jul-Aug 2009**
Research Consultant

- Designed research instruments, co-facilitated and co-documented case studies on conflict sensitivity in Kenya and co-facilitated conflict sensitivity self-assessment workshops among members of the Kenyan Conflict Sensitivity Consortium, coordinated by Action Aid International-Kenya.

Konrad Adeneur-Stiftung, Kenya   **Aug-Oct 2009**
Research Consultant

- Analyzed conflict trends in Kenya's Western Province to inform current and future interventions.

Office of the President's (NSC) / APFO, Kenya   **May 2005**
Consultant

- Facilitated validation workshop for the draft National Rapid Response Framework for Kenya and finalized the policy document under the auspices of the Office of the President's National Steering Committee on Conflict Management and Peace building (NSC) & the Africa Peace Forum (APFO).

Centre for Law and Research International, Kenya   **April 2009**
Consultant

- Developed and concluded a training manual on decentralized funds.

Regional Centre on Small Arms (RECSA), Kenya   **March 2009**
Consultant

- Co-developed and concluded a small arms and human security manual on research methods.

UNDP/OCHA, Kenya   **Nov 2008-Feb 2009**
Researcher

- Conducted UNDP/OCHA research on the conflict in Mt. Elgon focusing on the security issue with aspects of gender conceptions of security.

Nairobi Peace Initiative-Africa (NPI-A), Kenya   **Nov 2008-Mar 2009**
Consultant

- Conducted an assessment of the conflict situation in Kenya with a view to developing an Early Warning and Response Plan for NPI-A, the Eastern and Central Africa Regional Secretariat of the Global Partnership for the Prevention of Armed Conflict (GPPAC).
- Led the development of a Response Plan.

United Nations Development Program & United Nations Volunteers   **Mar-Dec 2008**
Kenya Training Consultant

- Trained over 200 trainers countrywide and over 300 Nairobi Emergency Volunteer Scheme (EVS) Volunteers on conflict transformation, peace-building and conflict early warning and response as a post-conflict intervention program in aftermath of Kenya's post-election violence.

NCCK/UNICEF, Kenya   **Dec 2007-Jan 2008**
Consultant – Child Protection Project

- Conflict Analysis of clash-hit areas of Molo and Mt. Elgon districts, with specific focus on the impact of the conflicts on children.

Peace Tree Network – Kenya Chapter, Kenya   **2006**
Research Consultant

- Coordinated research on "Electoral Processes, Conflict and Peace Building in Kenya"; a countrywide project giving recommendations on exploiting electoral processes for peace building.

Regional Centre on Small Arms (RECSA), Uganda   **2006**
Researcher

- Conducted research on the role of approved state agencies to assist with law enforcement and security.

International Fund for Animal Welfare (IFAW), Kenya   **2006**
Research Consultant

- Part of SRIC research team on "A Study of the Security Implications and Risks of Introducing Commercial Consumptive Use as an Option in the Wildlife Conservation Strategy in Kenya".

Diocese of Nairobi, Kenya   **2005**
Consultant

- Developed a manual for the Catholic Arch-Diocese of Nairobi (chapters on Conflict and Peace building).

WINFRED MUTINDI WAMBUA

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Proposed Position: Team Member

Summary:

Ms. Winifred Wambua is a development professional with more than 8 years of experience in the areas of governance, democracy, human rights, voter and civic education, election capacity, national cohesion, peace-building and conflict transformation with excellent analytical, conceptual and strategic thinking skills. She has extensive experience and proven expertise in capacity & institutional development, multi-stakeholder facilitation, policy formulation, project management, planning, monitoring, evaluation and learning, grant management, quantitative and qualitative research, and financial management including budgeting and tracking, logical framework planning among others.

Education:

M.A., Development Studies, University of Nairobi, Kenya, 2009
B.A., Anthropology, 1st class Honors, University of Nairobi, Kenya, 2005

Experience:

Life and Peace Institute   **Sept 2012 – present**
Program Advisor, Organizational Development

- Responsible for leading the organization development aspects of LPI including conducting organization capacity assessments of partner organizations; development of organizational development plans.
- Coordinating the implementation of the OD plans including management of activities, outsourcing and budget control.
- Conducting Participatory Action Research (PAR).
- Capacity building and support to partner organizations in the planning.
- Project management (Planning monitoring evaluation and learning).
- Working with communities to design peace intervention processes.
- Policy advocacy, partnership building and networking.
- Supporting projects with Partner Organizations (POs) and monitoring compliance with contractual responsibilities.
- Monitoring progress toward OD expected results and applying adjustments in order to maximize effectiveness and efficiency.

URAIA – Consultant   **2013**
Training of Civic Educators across the Country.

- National Civic Education Reflection Conference: Successes, Challenges and Opportunities organized by URAIA, UNDP, Amkeni Wakenya and K-NICE.
- Civil Society Reflection and Repositioning Retreat organized by URAIA, Society for International Development (SID) and Freedom House.

Ministry of Justice, National Cohesion and Constitutional Affairs   Nov 2009 – Sept 2012
National Cohesion Officer

- Responsible for the development and implementation of national cohesion frameworks and programs, including policy development.
- Conducting and supervising baseline and feasibility studies.
- Conducting awareness and sensitization forums, coordination and organization of consultative forums on national cohesion and development of communication and promotional materials.
- Implementing, monitoring and evaluating national cohesion programs and activities.
- Achievements include being a team member in the development of; Policy on the National Values System, the draft Policy on National Cohesion and Integration and Integrated Manual on National Cohesion and Integration.

Consortium for the Empowerment and Development of Marginalized Communities (CEDMAC)
Program Coordinator, Governance and Human Rights   Oct 2008 – Nov 2009

CEDMAC is a founder member of the Election Observation group (ELOG) in Kenya

- In charge of the overall design, development, formulation and implementation of programs including governance, democracy, human rights, voter and civic education, election capacity among others.
- Provision of technical and strategic leadership.
- Managing partnerships and contractual agreements.
- Undertaking monitoring, evaluation, learning and reporting processes as per program and the organization requirement.
- Development of civic voter education materials; civic education handbooks, IEC materials.
- Proposal writing /fundraising and networking.
- Financial management and budgeting.
- Research, report writing and documentation, including conducting baseline and feasibility studies.
- Coordination of partner activities.
- Representing CEDMAC in donor and stakeholders meetings.
- Carrying out assessments of partner needs and designing projects that meet their needs.
- Capacity building of partners to improve their delivery on project activities and objectives.
- Preparing work, activity, resource schedules for the projects and program.
- Formulating, tracking and reporting against budgets.

Consortium for the Empowerment and Development of Marginalized Communities (CEDMAC)
Program Officer – Civic Education   Oct 2006 – Sept 2008

- Designed, developed, formulated and implemented governance programs.
- Development of civic and voter education materials.
- Organized and conducted CEDMAC program activities.
- Assisted in proposal writing /fundraising and networking.
- Financial management and budgeting.
- Research and documentation, including conducting baseline and feasibility studies.
- Organized and facilitated field based trainings.
- Assisted in Monitoring and Evaluation of projects.
- Prepared work, activity, resource schedules for the projects and programs.

- Administrative duties; handling correspondence, staff supervision, organization development, networking among others.

Inter Religious Council of Kenya (IRCK)   **Nov 2005 – Oct 2006**
Program Assistant

- Assisted in the design, development and implementation of IRCK programs.
- Prepared work, activity and resource plans and schedules for the projects and programs.
- Generated and developed ideas to enhance the quality and sustainability of programs.
- Prepared and submitted regular and specific reports to inform supervisors/donors as necessary.
- Preparation of project budgets and ensuring that the budgets meet the targeted objectives and work plans.
- Ensured adequate and timely reporting and accounting on received and disbursed grants to CBOs by analyzing their financial and narrative reports and provided feedback to the organization for corrective action.
- Organized workshops and handled public relations matters for IRCK including travel arrangements, bookings for staff, visitors and conferences and ensured travel expenses are properly accounted for.
- Prepared reports on project developments and gaps including recommendation on the way forward.
- Assisted in monitoring and evaluation of projects.
- Administrative duties: Responded to inquiries regarding the organization, assisting in the procurement of office stationery and assets, developed and managed the office filing system, managed the calendar of activities for the organization and organized workshops, trainings and conferences.

Languages:

Fluent in both English and Kiswahili

DANIEL KIPTUGEN

Management Systems International
   A Subsidiary of Coffey International, Ltd.
600 Water Street, SW
Washington, DC 20024 USA
+1 (202) 484-7170

Proposed Position: National Conflict Mitigation Team Member

Summary:

Mr. Daniel Kiptugen is a highly qualified professional in knowledge and skills in program management and community development works. With over 23 years in the NGO World, and coupled with experience in situational analysis/ assessments, project liaison, establishment, development and disbursement of information, project re/design, planning and implementation/monitoring of Area Development Programs. His experience ranges from working with government ministries, INGOs, CBOs and general community development work in Kenya and Horn and East Africa region.He has served as an executive member of the joint Armed Violence Reduction Project supporting UNDP and implemented by National Steering Committee on Peacebuilding and Conflict Management (NSC), Oxfam, and Arid Lands Resource Management Project, worked as a steering member of the Mifugo project charged with the eradication of Cattle rustling in the East African Region, and has been a member of the Kenya Country Conflict Early warning Response unit at the NSC. He also played a role in the Inter-Agency Committee of the Karamoja Peace and Development Network that was housed at the Practical Action, is Civil Society committee member for the International Conference of the Great Lakes Region for security and stability in the region Network on Peacebuilding and was Oxfam GB Kenya Programme Security, Conflict and Peace Advisor and country focal point person/ Diversity Champion. Most recently, he provided an oversight role in the Saferworld DFID supported Kenya Election Security Project and also played a key advisory role in the USALAMA led project that is pushing for positive security service reforms.

Education:

Master of Arts, Leadership and NGO Management, Ongoing
University of Wisconsin, Disaster Management 1999
Egerton University, Diploma Certificate in Agricultural Engineering Soil and Water Engineering, 1984

Experience:

Saferworld, Kenya and Horn of Africa Program   **2012-2013**
Director

- Developed, implemented and promoted community-focused and integrated responses to the complex mix of security, conflict and development challenges faced by the people of Kenya and Horn of Africa
- Strengthened the capacity of civil society to engage effectively on development, security and justice, conflict prevention, peace building and arms control issues
- Supported the government of Kenya through partnerships at all levels; to develop the policies, regulatory frameworks and institutions capacity assessments required for effective conflict prevention, peace building and small arms control and the accountable and equitable delivery of security and justice services.

Food for the Hungry Millennium Water Alliance   **2010-2012**
Director

- Provided leadership for the international organizations Consortium.
- Director in the multi-year funded project Spearheading the push for the attainment of Safe water and sanitation.

Oxfam GB   **2002-2009**
Program Coordinator, Peace Building and Conflict Management
- Facilitated the reduction of insecurity, suffering and incidence of violent conflict in the country by establishing a National Architecture for peace building and conflict Management in Kenya through policy influencing at the Central Government level and involving all stakeholders.
- Made links with civil society organizations, disseminated information on available conflict reduction funding and proactively identified funding initiatives.
- Responsible for administering and monitoring sub projects funded; ensuring disbursal of funds, monitoring overall performance of a project, receiving progress reports and accounting statements from the recipient organization and undertaking monitoring and evaluation visits as appropriate.
- Ensuring the training and lesson learning sub-agreements are effectively managed in line with objectives in the project documents, and submit progress reports to DFID Kenya as part of overall reporting;
- Prepared quarterly and annual reports to DFID and Foreign and Commonwealth Officers
- Build and maintained links with relevant GOK departments, district administrations, agencies and donors on conflict issues in arid districts.

Regional Programs Manager   **1984-2002**
World Vision Kenya
- Held various roles in 18 year career with World Vision Kenya including: Regional Programs Manager, Loodariak Area Development Program Manager, Agricultural Extension Officer, and Agricultural, Soil and Water Conservation/Irrigation Officer.
- Spearheaded undertaking of reconnaissance studies, situational analysis/assessments: fundraising documents and other relevant statistics were developed and documented.
- Compiled & timely submitted annual plans and budgets for development programs supported by donors from (Japan, United Kingdom, United States, Ireland, Australia, Canada, Ireland and Australia.
- Represented the programs in liaison and collaboration forums with partners/ stakeholders.
- Facilitated identification and mobilization of locally available human, material and financial resources: improved community participation, and empowerment was achieved.
- Periodically developed and timely submitted technical and progress reports to the senior management.
- Successfully facilitated F/CBOs' capacity assessment and development in the education, food security, water resource development and preventative health sectors: the F/CBOs have developed into strong and sustainable 'vehicles' of development in the communities.
- Ensured maintenance of good relationship between donor/sponsor, sponsored children and the community at large: long-term relationship was developed.
- Participated in program's external and internal audit and evaluation processes; encouraging results were realized.
- Involved in developing and monitoring/supervising of staffs' performance: a highly qualified and motivated team

Languages:

English

Name	Simon Richards
Title	Consultant
Organization	Independent
Evaluation Position?	Team Leader
Evaluation Award Number (contract or other instrument)	
USAID Project(s) Evaluated (include project name(s), implementer name(s) and award number(s), if applicable)	
I have real or potential conflicts of interest to disclose.	Yes

If yes answered above, I disclose the following facts:

Real or potential conflicts of interest may include, but are not limited to:

1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.
2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.
3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.
4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.
5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.
6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

Potential conflicts of interest could arise because of :

(a) Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.

I am not sure when KCSSP actually started - maybe September 2006? I was definitely Africa Director for Pact when it did start - overlapping for a number of months. I did not design the program and I had a very hands-off approach in general to any specific projects, given the number of direct reports to me (I had 16 country directors and a team of about 6 or 7 in the regionally based technical team that I was responsible for). I basically only spent time on the key, sensitive, politically difficult countries and regional programs at the time - Sudan, Nigeria, Congo, Zimbabwe, RELPA, etc. Or if a program was failing. At that time Steven Sharp was the CoP from about october 2006? and he reported to me in theory (but this meant little in practice unless something was going wrong). I also changed position at the end of August 2007 to a technical position to transition back to Aus (so he was no longer even technically managed by me) and I left Kenya in December 2007 to be based in Australia. In terms of my technical input to KCSSP I only remember giving a one day basic workshop to KCSSP staff and Pact Kenya staff on conflict management at the start of the program before programming began. I was never asked to support it in any way in terms of programming decisions or any technical input throughout is life. In practice I had no day to day involvement with KCSSP at all, either management or technical input for the start-up year while I was in Kenya, but on paper I did have oversight (you have to remember though that the Africa Regional portfolio was about 80% of Pact's global budget at the time - so I was more than a little overstretched.

(b) Proposed short term consultant agreement for short assignment with Pact in Myanmar – to undertake a conflict analysis and training for staff

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	*Signature of Consultant*
Date	07 August 2013

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Winfred Wambua
Title	Team Member
Organization	MSI
Evaluation Position?	☐ Team Leader X Team member
Evaluation Award Number (contract or other instrument)	AID-623-I-12-00001
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	
I have real or potential conflicts of interest to disclose.	☐ Yes X No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	~Wambua~
Date	8-22-13

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Sarah Bayne
Title	Consultant
Organization	Sarah Bayne Consulting
Evaluation Position?	☐ am Leader ☐ am member (yes)
Evaluation Award Number(contract or other instrument)	
USAID Project(s) Evaluated(Include project name(s), implementer name(s) and award number(s), if applicable)	
I have real or potential conflicts of interest to disclose.	☐ Yes ☐ No
If yes answered above, I disclose the following facts: Real or potential conflicts of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
	Sl Baye

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Manasseh Wepundi
Title	Team Member
Organization	MSI
Evaluation Position?	☐ Team Leader X Team member
Evaluation Award Number *(contract or other instrument)*	AID-623-I-12-00001
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	
I have real or potential conflicts of interest to disclose.	☐ Yes X No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	*[signature]*
Date	8-22-13

Disclosure of Conflict of Interest for USAID Evaluation Team Members

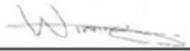| Name	Terrence Lyons
Title	Technical Advisor
Organization	MSI
Evaluation Position?	☐ Team Leader X Team member
Evaluation Award Number (contract or other instrument)	AID-623-I-12-00001
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	
I have real or potential conflicts of interest to disclose.	☐ Yes X No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	*[signature]*
Date	7-11-13

1. Immediate family or close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.

2. Financial interest that is direct, or is significant/material though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.

3. Current or previous direct or significant/material though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.

4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.

5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.

6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	DANIEL .K. KIPTUGEN
Title	CONFLICT SPECIALIST
Organization	M.S.I
Evaluation Position?	Team Leader Team member ✓
Evaluation Award Number (contract or other instrument)	
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	I have not evaluated a USAID Project before
I have real or potential conflicts of interest to disclose.	Yes · No ✓ NO
If yes answered above, I disclose the following facts: Real or potential conflicts of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating unit managing the project(s) being	NA

2

evaluated or the implementing organization(s) whose project(s) are being evaluated.

2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.

N/A

3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.

N/A

4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.

N/A

5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.

N/A

6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

N/A

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	19/08/2013

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ANNEX B.

DESCRIPTION OF ACTIVITIES

Kenyan Civil Society Strengthening Program — Pact

Description

The Kenyan Civil Society Strengthening Program (KCSSP) was designed to serve as a grantmaking and capacity-building program for Kenyan civil society. It began before the 2008 electoral violence and shifted to meet the new imperatives of conflict mitigation.

Before the electoral violence in 2008, KCSSP focused on working with Kenya CSOs in the areas of democracy and governance and natural resource management. The flexibility of the KCSSP mechanism allowed it to quickly complement this work with grants and capacity-building for civil society organizations, local peace structures and the Government of Kenya to reduce violent conflict in targeted communities. The conflict mitigation activities initially focused on the Rift Valley but shifted to the Coast in response to pre-electoral violence in that region. For example, KCSSP promoted SAFE-COAST, an activity that partners with the local Kenya Community Support Center (KECOSCE) to implement the Safe Coast Early Warning and Response mechanism (SCEWER). KCSSP's network and relationships with many civil society organizations provided it with an important convening role and sponsored meetings that promoted civil society information sharing and coordination.

Size and Period of Implementation

Pact received $35.5 million for its work on conflict mitigation, the largest single amount given to any of the partners. The program began in 2001 and went through numerous modifications and extensions as it shifted its emphasis in response to the fluid context in Kenya.

Geography

The program operated across Kenya, with particular emphasis in the area of conflict mitigation in the Rift Valley and later in the Coast.

Approaches

The work of KCSSP touched on all 10 approaches.

Kenya Tuna Uwezo — CHF

Description

The central aim of Tuna Uwezo — which translates to "we have the power" — is to create opportunities for, and to build the desire and perception of need for, cooperative action among often-conflicting groups within the slums in Nairobi. KTU's objectives are:

- Strengthened social networks of community members and civil society groups to collaborate productively on community issues and address grievances.
- Enhanced ability of local institutions to lead and implement people-to-people peacebuilding independently.

It is a two-year program designed to enhance capacities of Nairobi's informal settlement residents to withstand political manipulation that leads to violent conflict. It also seeks to provide opportunities for cooperative action on common issues of interest among the different ethnic groups. It is implemented with local organizations Peace-Net Kenya and Kituo Cha Sheria.

Size and Period of Implementation

Kenya Tuna Uwezo is a $2.1 million program, effective Feb. 27, 2012–Feb. 26, 2014.

Geography

The program targets residents of four informal settlements in Nairobi: Kiambiu, Kibera, Mathare, and Korogocho/Babadogo,

Approaches

- Early warning and early response
- Peace dividends
- Community dialogues and reconciliation efforts
- Peace messaging and SMS platforms
- Capacity-building for local partners
- Training for local actors and peace champions
- Relationship building for local peace structures

Rift Valley Local Empowerment for Peace (LEAP II) — Mercy Corps

Description

The LEAP II goal for the first two years (July 4, 2010–July 3, 2012) was to strengthen the ability of local structures to address causes of postelection violence and promote sustainable peace and reconciliation in the Rift Valley province. It had three key objectives:

- Strengthen sustainable mechanisms for conflict mitigation and reconciliation.
- Sponsor community dialogues and implement joint development projects that build bridges among divided communities and demonstrate tangible benefits to cooperation.
- Support youth integration and address a key cause of violence through youth leadership training and income-generation activities.

These were supplemented in the modification by the following:

- Strengthen transformational platforms that prevent and respond to local conflicts that threaten to destabilize the region.
- Promote peaceful elections through education on the reform process and the benefits of nonviolence.

The activity supported the strengthening of community structures, particularly the peace committees, as well as other structures, such as elders and religious groups in the community, using a training-of-trainers (TOT) approach. This gave ownership to the district peace committees (DPCs) and expanded the reach of the training. In addition, connections between different structures were strengthened, facilitating trust between the community, DPCs and government institutions through the joint trainings, support of dialogues and community projects. Thirty-five district leaders' dialogue forums were supported, bringing them together to discuss issues affecting peace in their districts. LEAP also supported 84 community-based reconciliation dialogues at the community level. Cash for Work, community connector activities, income-generating activities and quick-impact activities were also supported with the secondary objectives of economic empowerment, particularly for youth. In the extension, the reach of the peace committees was expanded to spearhead the community early warning system by using youth *bunges* to reach young people.

Size and Period of Implementation

The two-year LEAP II program ran from July 2010 through June 2012 at a cost of $2.7 million.

It was granted a one-year cost extension/modification with a final end date of July 3, 2013.

Geography

Nandi County, Uasin Gishu County, Kericho/Bomet County, Nakuru County, Trans-Nzoia County

Approaches

- Early warning early response
- Peace dividends activities
- Community dialogues and reconciliation efforts

- Peace messaging and SMS platforms
- Capacity-building for local partners
- Training for local actors and peace champions
- Relationship building for local peace structures
- Support for and training of DPCs

Peace Initiative Kenya — IRC

Goals and Objectives

The goal of Peace Initiative Kenya (PIK) is to create grassroots networks that have the capacity to prevent and mitigate violence, including GBV, in Kenya's most conflictive zones during the pre- and postelection periods. Specifically, the activity aimed to build capacity for key individuals at the community level to give them the right platforms, information, tools and skills to be promoters of peace and a voice against GBV in their communities.

The specific objectives of the activity are to:

- Develop a peace training campaign targeting community youth, women leaders, teachers and community health volunteers at the village level.
- Engage women's groups and networks to help promote peace and GBV awareness and prevention.

Narrative Description

The PIK activity was designed in line with USAID's Women in Development policy; it recognized both the particular risks that women face in conflict and the specific contribution that women and girls can make in the promotion of a peaceful society.

Initially a 14-month activity launched July 2012 to contribute to a more protective and peaceful environment before the 2013 general elections, it was implemented by the International Rescue Committee (IRC) in collaboration with several local partners: Coalition on Violence against Women (COVAW), the Federation of Women Lawyers–Kenya (FIDA), PeaceNet–Kenya, the Rural Women's Peace Link (RWPL), Sauti Ya Wanawake, African Woman and Child (AWC) and Well Told Story.

Size and Period of Implementation

Initially a 14-month activity initiated in July 2012 at a cost of $3.2 million, the activity has been extended to September 2015 with a strong focus on GBV. PeaceNet and FIDA have been dropped as implementing partners.

Geography

PIK activity had a focus in hotspot areas in: Mombasa, Kwale, Kilifi, Tana River, Lamu, Taita Taveta, Migori, Kisii, Kisumu, Bomet, Nakuru, Narok, Kajiado, Uasin Gishu, TransNzoia, West Pokot, Mt Elgon Counties and Nairobi informal settlements.

Approaches
1. Early warning early response
2. Use of media, social media and hate-speech monitoring
3. Peace messaging and SMS platforms
4. Capacity-building for local partners
5. Training for local actors and peace champions

People to People Activity (3PS) — Catholic Relief Services

Description

The goal of 3Ps was to ensure that communities prone to recurrent conflicts in Burnt Forest, Kuresoi and Likoni coexisted peacefully after a long history of recurrent ethnic and religious electoral conflicts.

The 3Ps was implemented by CRS through three partners, Coast Interfaith Council of Clerics, Catholic Diocese of Eldoret and Catholic Diocese of Nakuru. The activity was designed to form and strengthen intra/intercommunity peace structures to improve community relationships in the conflict-prone areas and build their capacities to mitigate potential conflicts. The village was chosen as the intervention unit to increase the impact of the activity; it therefore supported the establishment of local peace committees at the village and linked the structures to the division and district levels. Other activity components included formation of peer discussion groups (youth-to-youth, woman-to-woman, elder-to-elder and cleric-to-cleric). Nine joint community-initiated development projects identified by the community "connector activities" were implemented by the community themselves to inculcate the idea of community ownership.

Size and Period of Implementation

The activity spanned two years from Feb. 26, 2010–Feb. 25, 2012. CRS' People to People Peace Activity (3Ps) cost for the two years was $599.685. There was a two-month, no-cost extension.

Geography

The activity was implemented in the Likoni, Burnt Forest and Kuresoi areas. Specifically, it was implemented in 15 villages within three divisions in the three target districts with 2,950 direct beneficiaries targeted and 29,500 indirect beneficiaries expected.

Approaches

- Peace dividends activities
- Community dialogues and reconciliation efforts
- Training for local actors and peace champions
- Relationship building for local peace structures
- Support for and training of DPCs

Reporting for Peace and Land and Conflict Sensitive Journalism in Kenya — Internews

Goal and Objectives

The goal of the program was to promote peace and reconciliation at the community level, as well as mitigate possible conflict and create a thorough understanding of the historical and current manifestations of land-related conflict. Its objectives are:

- To strengthen the capacity of selected partner radio and print media to better understand and report on issues, including land and electoral issues, using conflict-sensitive approaches;
- To increase citizens' understanding and broaden civic participation in governance issues, including tracking implementation of the National Accord and Reconciliation Act (NARA) particularly in areas that were affected by the post-2008 conflict; and
- To promote civil society and community engagement in land-conflict issues while influencing national level discourse and policies on land.

Description

The Internews Land and Conflict Sensitive Journalism Activity was implemented from Jan. 1, 2010, to May 31, 2013. It sought to deepen the impact of the USAID-funded RFP activity (December 2008 – December 2009) through greater sophistication of training methodology and a new intensity of activities with partners.

The program involved a package of training and capacity-building activities with a sophisticated methodology that exposed partners to CSJ principles over a sustained period of time, along with specialist training for higher-grade journalists, editors and talk-show hosts. Woven into the approach was a series of activities to strengthen relationships between partner media and peacebuilding civil society actors who are key to a meaningful discourse around democracy, peace and reconciliation themes. Those themes include media training for selected CSOs and supporting content-generation relationships between the media, community groups, academia and relevant actors within the private sector and other concerned agencies.

The activity included activities to assist media and community representatives in their understanding of the relationship between land, electoral and party-political conflict. This will involve expert training and intensive stimulation of public debate around land issues.

Size and Period of Implementation

The $2.3 million Internews Land and Conflict Sensitive Journalism Activity was implemented from Jan. 1, 2010, to May 31, 2013, and followed the USAID-funded Reporting for Peace activity that spanned December 2008–December 2009.

Geography

Rift Valley and Nyanza Provinces, Nairobi slums and Mombasa.

Approaches

- Use of media, social media and hate-speech monitoring
- Community dialogues and reconciliation efforts

ANNEX C.

DESCRIPTION OF APPROACHES

Early Warning and Early Response: This approach was designed to alert all pertinent partners/actors about potential threats to public order and cohesion, to seek suitable measures to stem these threats before they escalated into violence and to stop it from spreading when it occurs.[96]

Targets of Opportunity (TOO) Grants: This was an approach that made funds quickly and expeditiously available to address arising and unforeseen conflict. It mobilized local communities and other actors, through USAID partners, toward timely resolution of conflict.

Peace Dividend Activities: These are tangible community activities that demonstrated peacetime benefits as more compelling for communities in comparison to conflict, and engendered reconciliation and cohesion.

Use of Media, Social Media, and Hate-Speech Monitoring: The media, particularly radio, was used to disseminate accurate and unbiased information across Kenya. To reach a growing number of youth, social media services were used to communicate peace messages and to monitor cases of hate speech for further action.

Community Dialogue and Reconciliation Efforts: This approach aimed to bring communities together to discuss issues that give rise to conflict between them, and develop nonviolent solutions.

Peace Messaging and SMS Platforms: This approach included all messages that espoused peace and included information and communications technology material and use of SMS blasts to reach large numbers of citizens, particularly before the elections.

Capacity-Building for Local Partners: This approach aimed to strengthen the technical and institutional capacity of local partners to implement USAID conflict-mitigation programs.

Training for Local Actors and Peace Champions: To engage as many people as possible to ensure successful management and mitigation of conflict, this approach trained potential actors and peace ambassadors. With this training, alternatives to violence as a conflict resolution mechanism were identified and communities were empowered to address issues at the most local level.

Relationship Building for Local Peace Structures: These were all of the efforts toward connecting existing peace structures with peer structures, as well as supporting them to have a wider reach on higher levels, influence policy and expand their networks horizontally and vertically.

Support for and Training of DPCs: This approach aimed to enhance the impact of district peace committees in addressing conflict at the local levels and their capacity to play intermediary roles between the government and local communities in resolution of disputes.

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[96]Amended per discussion with USAID.

ANNEX D.

METHODOLOGY AND WORKPLAN

Final Evaluation of USAID/Kenya Conflict Mitigation Activities Methodology

Introduction

The violence that followed the 2007 elections in Kenya killed an estimated 1,300 and displaced roughly 600,000. The post-election violence arose from long-standing grievances, including issues relating to land reform, ethnic clashes, patronage politics, and weak institutional structures undermined by severe governmental corruption. In response to the violence and in anticipation of elections in 2013, USAID/Kenya's Democracy, Rights, and Governance Office ramped up its conflict mitigation, reconciliation, and peacebuilding activities.

Under this initiative, six activities worked to mitigate conflict and build peace, including:

Activity/Implementer/AOR	Summary of Program	End Date	Funding
Kenyan Civil Society Strengthening Program (KCSSP) PACT Inc. AOR: Monica Azimi	Strengthen the capacity of civil society in: 1) advocacy for improved governance, 2) conflict management, and 3) Natural Resource Management	September 2013	$35.5 million
Kenya Tuna Uwezo (KTU) CHF International AOR: Makena Kirima	The program uses the Constitution as a uniting document to educate and develop civic action interventions in Nairobi slums. Different ethnic groups are targeted and work conducted through a conflict mitigation lens.	February 2014	$1.6 Million
Rift Valley Local Empowerment for Peace (LEAP II) Mercy Corps AOR: Monica Azimi	Strengthen the ability of local actors to address the root causes of post-election violence and to promote peace and reconciliation at the community level	July 2013	$2.7 million
Peace Initiative Kenya—PIK International Rescue Committee (IRC) AOR: Betty Mugo	Train teachers, parent/teacher members, Yes Youth Can leaders, women's organization, and possibly community health workers to be peace-builders in their communities. Strong focus on GBV.	September 2013 (extension to Sept. 2015 pending in contracts)	$3.2 million
People to People Peace Activity (3Ps) Catholic Relief Services (CRS) AOR: Anne Ngumbi	Strengthen community peace structures at the village and district levels and increase members' skills in peacebuilding. Targeted areas: Burnt Forest, Kuresoi, Likoni	April 2012	$599,685

Activity/Implementer/AOR	Summary of Program	End Date	Funding
Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya Internews AOR: Monica Azimi (previously Dan Spealman)	Work with local media to mitigate conflict and contribute toward peacebuilding; CMM focus on land issues.	March 2013	$2.3 million

The purpose of this evaluation is to determine the effectiveness of the conflict mitigation and civil society strengthening activities in contributing to a peaceful Kenya. This information helped inform USAID/Kenya's conflict mitigation and civil society strengthening efforts and influence program decision moving forward, particularly in the context of the ongoing plans for devolution.

Included under USAID/Kenya's conflict mitigation activities are six activities, with distinct (and overlapping) interventions, stated results, and targeted populations. Initial activities focused on the Rift Valley and Nairobi areas, but in the last two years of the evaluation period, the Coast region was added to mitigate conflicts generated by the Mombasa Republican Council movement as well as growing discontent over historical injustices in the region. Many of these activities have been operating for the last three to five years.

On the basis of the target areas identified in the initial Scope of Work (SoW), the evaluation team focused on four areas for site visits: Nairobi (including the informal settlements); Coast (including Mombasa, Kilifi, and Kwale); Mt. Elgon (Bungoma) and Eldoret; and Nakuru (Molo/Kuresoi and Naivasha). Group discussions, key informant interviews, and site visits (where appropriate) were undertaken in each of these areas.

Of the six target activities and relevant interventions, it should be noted that some activities covered more than conflict mitigation-focused interventions. However, the evaluation only focused on those components most relevant to the 10 approaches identified by USAID in the Statement of Objectives.

List of Evaluation Questions

The evaluation seeks to answer the six following questions:

- In what ways did USAID/Kenya conflict mitigation *approaches* contribute to peace during the 2013 General Election?

- To what extent have these identified *approaches* addressed possible root causes of conflict?

- To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?

- What conflict mitigation-related components are likely to continue after program closure?

- To what extent did USAID/Kenya strengthen civil society organizations', especially local partners', ability to implement and manage conflict mitigation programs?

- What key lessons and good practices can be identified for future USAID/Kenya conflict mitigation and civil society strengthening programming?

Question 1 and 2 specifically examine the 10 main *approaches* identified by USAID/Kenya and verified by the implementing partners.[97]

These 10 approaches are:

- Early Warning Early Response
- Targets of Opportunity (TOO Grants)
- Peace Dividends Activities
- Use of Media, Social Media, and Hate Speech Monitoring
- Community Dialogues and Reconciliation Efforts
- Peace Messaging and SMS Platforms
- Capacity Building for Local Partners
- Training for Local Actors and Peace Champions
- Relationship Building for Local Peace Structures
- Support for and Training of DPCs

For question 1, the evaluation adopted a theory based approach and applied a contribution analysis in order to understand the individual and combined contribution of the different approaches to peace during the 2013 election. These methodologies are explained in the Data Analysis section (Section D) below.

For question 2, the evaluation team used the 2009 Vulnerability Assessment and the 2011 USAID/Kenya Democracy and Governance Assessment and Action Plan to define "root causes" in the context of Kenya. Using this definition, a review of other documents and discussions with partners and USAID at a partners' workshop, the evaluation team has concluded that none of the approaches were intended to address root causes, but served as short-term mitigation strategies leading immediately up to the elections. The evaluation team does, however, recognize that some elements and activities under the approaches may have addressed root causes of conflict. The evaluators sought to identify these in the course of the evaluation.

Question 3 examines attitudinal and perception changes. This was assessed using a general population survey, coupled with any data from discussion groups with beneficiaries. The collected survey data evidenced attitudes and behaviors of individuals and community groups in targeted communities toward conflict and peace (e.g., openness to conflict mitigation activities and participation in peacebuilding activities). Behavioral change were looked at as an indicator of change in attitude or perceptions. The data collected through the survey was triangulated against document review and through comparison with other survey data (e.g., AfroBarometer, UNDOC victimization surveys, etc.) where possible.

Question 4 examines sustainability of certain program components, specifically looking at what systems and processes have been put in place that are likely to continue after programs end (in some cases programs have already ended). An indicative list of the components to be examined is attached to the question (e.g. organizations, systems, forums, networks). The evaluation team determined which local structures are still operating (for activities that have closed), and whether certain components have resources (financial or human) designated to support these structures in the future.[98]

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[97]The 10 approaches were identified by USAID in consultation with implementing partners and are included in the scope of work.

[98]Per discussion with USAID, "components" is understood to mean "aspects" and "peace dividends" has been removed from this list of components.

Question 5 looked at capacity building of local partners, particularly in management, governance, staff abilities/competencies, and so forth. Local partners are defined as sub-partners who received direct funding from international partners rather than local community based organizations. The evaluation team gathered data through examining existing evaluations and organizational assessments and through key informant interviews. It drew on the Institutional Development Framework (IDF) and Organization Capacity Assessments (OCA) to inform our questions.

Question 6 synthesized the findings and conclusions from all questions and data collected/analyzed to distill concrete lessons and good practices to carry forward with the lens of informing future programming decisions.

There is interest by USAID and partners to see whether the programs have harnessed opportunities for peace and have adapted to changes in the political and social contexts. To the extent possible, this was examined, where appropriate, across the evaluation questions.

Gender and youth were treated as cross-cutting themes to be explored where appropriate throughout the evaluation. The evaluation team responded to USAID's dual expectations for treating appropriately by: (a) gathering sex and age group (over 35 years of age, ages 35 and under) disaggregated data through the survey (b) identifying gender and youth differential participation in/benefits from aspects of the approaches where differences on this basis are possible to identify.

Evaluation Design

This evaluation is based on a Theory of Change approach, as elaborated below. Each approach has one or more theories of change and each theory of change has an associated method of data collection and analysis. In the section below, the Theory of Change framework is presented. Then an overarching Theory of Change and a set of more specific Theories of Change for the 10 approaches were developed. For each TOC, the evaluation team developed a list of linked assumptions based on activity and mission documentation and discussion with partners and USAID/DRG at the partners' workshop of October 9, 2013. This framework therefore provides the basis for the theory-based approach to data analysis and comparison analysis (see Section D. Data Analysis Methods).

The evaluation examined contribution and did not make any statements/judgments on attribution given the number of external variables that may have played a role in ensuring peace in Kenya. To that extent, this evaluation did not examine each individual activity to see the extent to which the program implemented what was planned, and reached activity-specific objectives and activity goals but, rather, looked at the activities collectively in their contribution to peace. Additionally, the evaluation only focused on the activities of a program that are related to conflict mitigation and civil society strengthening. For activities (such as PACT) where activities were broader in scope, every activity was not reviewed.

Framework for Analysis

This evaluation first focused on the development of a Theory of Change. As noted by USAID, "A theory of change explains why we think certain actions produced desired change in a given context. It is intended to make all of our implicit assumptions more explicit, in order to (1) clarify which drivers of violent conflict we are addressing; (2) state clearly what the intended outcome of programs will be; and

(3) fully articulate how and why the program will address the drivers of conflict and achieve its intended outcomes." Put simply, a theory of change is expressed in the following form: [99]

If we do X (action), then we will produce Y (shift toward peace, stability, security).

A theory of change is necessarily context specific and may be elaborated further as

If we do X in context C… then Y

An example of a TOC in the context of conflict mitigation and peacebuilding might be

If we provide employment for ex-combatant youth in a post-conflict context, *then* we will reduce the likelihood of inter-communal violence, *because* unemployed youths are the most likely to be recruited into fighting, many still hold weapons and remain connected to their command structures.

Theory of Change analysis is particularly useful in order to make implicit assumptions more explicit. As a tool for evaluation, Theory of Change focuses evaluation on results expected by the relevant theory. For example, if a TOC anticipates that if there is early warning, then there will be effective response, a TOC evaluation for early warning activities will look for effective response.

Theories of Change and USAID/Kenya Conflict Mitigation Approaches

For this exercise, TOCs for each of the 10 approaches were developed based on activity and mission documentation, discussion with USAID, and validated at a meeting with partners at the partners' workshop. In some cases, as noted below, there are more than one TOC for a given approach and the team has teased out the different causal logics for a given set of activities. The evaluation team further developed an overarching theory of change on the basis of document review, the hypothesis statements provided by the partners, and on the basis of the discussions at the partners' workshop.

The overarching Theory of Change constructed by the evaluation team is below:

Theories of Change:

1. If local communities are given the capacity and opportunity to engage through dialogue and understand the benefits of peace and unity, then the communities will be less likely to be mobilized into violence.

2. If elections are non-violent and Kenya is peaceful, then potential for advancing the reform agenda is improved.

Assumptions:

- Assumes that awareness of benefits of peace and understanding of dialogue processes will change behavior.
- Assumes that a non-violent election will lead to reform to address root causes of conflict.
- Assumes that local conflicts may be mitigated within the community and do not require national or international action.

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[99]USAID. 2013. *Theories and Indicators of Change Briefing Paper: Concepts and Primers for Conflict Management and Mitigation*. See also OECD (2012), *Evaluating Peacebuilding Activities in Settings of Conflict and Fragility: Improving Learning for Results* DAC Guidelines and References Series, OECD Publishing; USAID (2010), *Theories of Change and Indicator Development in Conflict Management and Mitigation*.

Early Warning and Early Response

Description: This approach was employed to alert all pertinent partners/actors on any potential threats to public order and cohesion and to seek suitable measures to stem these threats before they escalate into violence and to stop it from spreading when it occurs.[100]

Theory of Change: If timely information sharing and analysis of potential and emergent conflict is collected, well-analyzed, non-partisan, locally sourced, and verified, and if local response mechanisms are in place and able to respond, then appropriate and timely mitigation is more likely and conflict escalation less likely.

Key Assumptions:

- Assumes that "appropriate" mitigation is clear and that early warning will generate an appropriate and timely response.
- Assumes that locally sourced information is more accurate.

Targets of Opportunity (ToO Grants)

Description: This was an approach that availed funds quickly and expeditiously toward addressing arising and unforeseen conflict and mobilized local communities and other actors, through USAID partners, toward timely resolution of conflict.

Theory of Change: If there is a funding mechanism that allows for rapid support of conflict mitigation opportunities, then conflict will be mitigated.

Note: Each target of opportunity also had its own theory of change. For example, PACT reported multiple theories of change (or Development Hypotheses) for its Targets of Opportunity grants.

Key Assumptions:

- Assumes that rapid response is needed to seize opportunities.
- Assumes that other funding mechanisms are insufficiently rapid.

Peace Dividend Activities

Description: These are tangible community activities that demonstrated peacetime benefits as more compelling for communities in comparison to conflict, and engendered reconciliation and cohesion.

Theories of Change:

1. If the benefits of peace are more tangible, then population is less likely to support violence.

2. If development projects of common benefit are designed to emphasize connectors and provide a safe place for inter-group dialogue and intergroup collaboration, then stronger and more positive relationships will develop and prospects for peaceful coexistence improve.

Key Assumptions: Peace dividend activities reflect two distinct theories of change, one focusing on the importance of making the advantages of peace visible and the other focusing on the means by which peace dividend activities are designed and managed collaboratively.

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[100]Amended as per discussion with USAID.

Assumes that development leads to peace rather than conflict.

Assumes that activities that are connectors in the short term will not be conflict generators in the longer term.

Use of Media, Social Media, and Hate Speech Monitoring

Description: The media, particularly radio, was used to disseminate accurate and unbiased information across in Kenya. In addition, to reach a growing number of youth, social media were used to communicate peace messages and to monitor cases of hate speech for further action.

Theories of Change:

If media provide balanced unbiased constructive reporting then people have the information at the community level to constructively address the conflicts affecting them.

If media provide balanced unbiased constructive reporting then citizens will be empowered to make informed decisions.

If media are monitored for hate speech, then they will be less likely to play a role in inciting violence and conflict may be mitigated.

Key Assumptions:

- Assumes that messages are linked to changes in attitudes and behavior.
- Assumes that monitoring of hate speech will result in effective response.

Accurate and unbiased media reporting will not incite violence.

Community Dialogue and Reconciliation Efforts

Description: This approach aimed to bring communities together to discuss issues that give rise to conflict between the communities, and thereby develop solutions to the issues without violence.

Theories of Change:

If communities are supported to meet and communicate, then they are more likely to understand one another and promote reconciliation.

Key Assumptions:

- Assumes that communities lack sufficient opportunities to communicate and reach common ground
- Assumes that communities desire peaceful relations.

Note—CHF emphasized dialogue between state (police) and community, not just inter-community.

Peace messaging and SMS platforms

Description: This approach included all messages that espoused peace and included ICT material and use of SMS blasts, to reach large numbers of citizens particularly before the elections.

Theory of Change: If messages of peace and unity are spread, then people will be reminded of the costs of violence and benefits of peace, and then they will be less likely to behave violently.

Key Assumptions:

- Messages will shape behavior.
- If media are used to saturate peace messages, then violence is less likely.

Capacity Building for Local Partners

Description: This approach aimed to strengthen the technical and institutional capacity of local partners to implement USAID conflict mitigation programs.

Theory of Change: If CSOs have greater capacity, then they will better be able to implement activities that promote peace and mitigate violence.

Key Assumptions:

- Assumes that capacitated CSOs will be more effective at implementing activities that mitigate conflict.

Training for Local Actors and Peace Champions

Description: In order to engage as many people as possible to ensure successful management and mitigation of conflict, this approach trained potential actors and peace ambassadors. With this training, alternatives to violence as a conflict resolution mechanism were identified and communities empowered to address issues at the very local level.

Theory of Change: If more community leaders are trained in conflict resolution, then the will be better able to manage conflicts pro-actively and non-violently.

Key Assumptions: Assumes that community leaders will apply knowledge, desire non-violent conflict mitigation and that training is the constraint on peaceful behavior.

Relationship Building for Local Peace Structures

Description: These were all the efforts toward connecting existing peace structures with peer structures as well as supporting them to have a wider reach on higher levels, influence policy, and expand their networks horizontally and vertically.

Theory of Change: If relationships are enhanced and peace structures and stakeholders are linked vertically and horizontally, then early warning and dialogue will be improved and incidences of violent conflict reduced.

Key Assumptions:

- Assumes that coordination, better peace architecture and networking are the constraint.
- Assumes that there is a consensus on what is the community.

Support for and Training of DPCs

Description: This approach aimed to enhance the impact of District Peace Committees at addressing conflict at the local levels and their capacity to play intermediary roles between the government and local communities in resolution of disputes.

Theory of Change: If local peace structures such as District Peace Committees are effective and in place, then governments will be able to respond more quickly to local situations and conflict will be mitigated

Key Assumptions:

- Assumes that if DPCs are neutral, they are more likely to be effective.
- Assumes that DPCs are the key link between government and local communities.

Data Collection Methods

The evaluation team used well-established data collection and analysis methods to address each of USAID's evaluation questions. The Getting to Answers matrix (see Annex I) describes how each type of answer is associated with a specific data source, method, sampling or selection approach (where appropriate), and data analysis method.

The following table shows which methods were used to answer the evaluation questions.

Table 1: Sample data collection methods for the six evaluation questions

Data Collection Methods	Evaluation Questions
Desk Review	1, 2, 3, 4, 5, 6
Group Discussions	1, 2, 3, 4, 5, 6
Key Informant Interviews	1, 2, 4, 5, 6
Field Observation and Site Visits	1, 2, 3, 4, 5
Survey	1, 2, 3, 4

Data was collected in the following ways:

Document Review

The evaluation team reviewed incoming documentation provided by USAID and the six partners, with a focus on existing evaluations, reports and activity descriptions, as well as and any other relevant secondary research, which included Kenya conflict analyses. Data from the document review was organized for analysis according to the evaluation questions. After the final draft was turned in, USAID asked the project to look at additional documents relating to the TOO grants section of Question 1. The team randomly selected thirty percent (33/110) of the TOO grants for review to determine the main implementation themes, the response mechanisms and whether or not the grants directly addressed emerging conflicts.

Survey

A survey was employed to collect the necessary data in order to provide answers to Question 3 on changes in attitudes and behaviors over time. It also gauged perceptions (current and retrospective), as well as individual engagement in and knowledge of, the 10 conflict mitigation approaches adopted by USAID partners (current and retrospective) with the exception of capacity building for local partners (approach 7). The draft survey tool is attached in Annex III.

The survey was conducted in six counties: Mombasa, Uasin Gishu, Nakuru, Nandi, Kericho and Nairobi. The selection of the six counties was purposively sampled to include those counties with the most

significant number of direct beneficiaries (based on the data shared by the partners) and a high concentration in the number of USAID activities implemented.

The sample selection was based on a geographical stratification as the first level (per region, per location). Within each targeted county, the survey firm selected between one and three sub-counties to survey based on where there is higher concentration of activities to ensure higher probability of reaching beneficiaries (indirect and direct). Within these sub-counties, the survey firm selected a proportionate number of survey starting points (a landmark, school, bus stop or similar), from where enumerators were spread in randomizing walking patterns (directional spread, left hand rule, household skip, kish grid or birthday rule) to identify specific random respondents. In this way, every citizen had an equal likelihood of being included in the survey.

The sample size of n=1,200 is commonly used for nationwide representative surveys. Its statistical margin of error is smaller than ±3 percent for top level variables at 95 percent confidence. Disaggregation of the data is possible. Variables for which the sub-sample is larger than n=100 are subject to a statistical error margin of 10 percent or less.

Regional disaggregation might be possible, but most likely not for all regions. A split out by approach was not possible, given the number of cross-cutting activities. We also expected the incidence of direct beneficiaries to be too small to reach a meaningful sample size for separate analysis. For indirect beneficiaries, the sample size would only be large enough for separate top level analysis, if the incidence is close to what the six partner organizations have reported (approx. 10 million indirect beneficiaries reached).

According to the information received from the partner organizations, at least one in four respondents should have been a beneficiary of at least one of the 10 approaches, providing a data set of 300 surveys for activity-specific analysis. This only sufficed to explore any questions at a very high level of aggregation with high margins of uncertainty.

The survey was conducted by Research Solutions Africa (RSA), under contract with MSI. Oversight of enumerator training and data collection was provided by MSI.

The survey is attached along with the other tools in Annex III.

Site Visits

On the basis of the target areas identified in the initial Scope of Work (SoW), the evaluation team focused on four areas for site visits: Nairobi (including the informal settlements); Coast (including Mombasa, Kilifi, and Kwale); Mt. Elgon (Bungoma) and Eldoret; and Nakuru (Molo/Kuresoi and Naivasha). This allowed the team to supplement the data collected through the household survey. During these site visits, the team conducted key informant interviews and group discussions described below. The sites are purposively selected, considering the following criteria: (a) concentration of targeted activities; (b) diversity of conflict drivers; (3) mix of urban and rural (inclusion of this criterion assumes that conflict eruption travels differently in different settings therefore necessitating distinct conflict mitigation activities).

Key Informant Interviews

Key informant interviews (KIIs) were undertaken with implementing partners, local partners and other peace actors, government officials (e.g. provincial officials, chiefs, police) as well as stakeholders who can provide an overview of the broader context, the local dynamics and insights into future and past patterns of conflict.

Other key actors and donors were interviewed at the national level. This is in order to better understand the overall context and factors contributing to peace and conflict, as well as the sphere of activities focused on conflict mitigation and peacebuilding efforts. It could also assist in further delineating a specific area of concentration for future limited USAID programming.

Key informants were purposely identified with the support of information provided by partners and on the basis of the cumulative knowledge and expertise of the evaluation team. This was adjusted as necessary during the course of data gathering to reflect a snowball sampling approach.

In order to secure access to key government officials the evaluation team obtained a letter of introduction signed by USAID before data collection.

Interview guides are attached with tools in Annex III.

A note on the ethics of confidentiality. The evaluation team provided a list of all interviews conducted but not transcripts or notes from the interviews. This follows best ethical practice for conducting interviews and gathering data on sensitive topics in zones of conflict in order to respect confidentiality and protect respondents. Even with names removed, the potential risk of individuals being linked to content creates unnecessary vulnerability. This issue was discussed with USAID on October 16, 2013, and the evaluators proceeded according to USAID's decision.

Group Discussions

Group discussions (GDs) were held with different beneficiary groups to collect data in relation to eight of the 10 approaches that lend themselves to group discussion. There were two different types of GDs, Type A and Type B. These GD types were focused on, but not necessarily limited to, the different approaches outlined in the table below. This methodology was adopted to ensure the most appropriate respondents are present in the discussions (see sampling below). [101]

Early Warning and Early Response (EWER) (1) and Peace messaging and SMS platforms (6) Use of Media and Social media (4) were examined in either or both Groups Types A and B, since both groups of respondents may have participated in, or have benefited from, these approaches.

Table 2: Group discussions by approach

Type A Group Discussion	Type B Group Discussion
• Peace Dividends activities (approach 3) • Community dialogues and reconciliation efforts (approach 5) • Training for local actors and peace champions (approach 8)	• Relationship building for local peace structures (approach 9) • Support for and training of DPCs (approach 10)
Cross cutting approaches (in Type A and Type B GDs)	
• Early Warning and Early Response (EWER) (approach 1) • Use of Media and Social media (approach 4) • Peace messaging and SMS platforms (approach 6)	

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[101] Approaches 2 and 7—Targets of Opportunity and Capacity Building for Local Partners—will be examined through KIIs.

Type A involved both direct and indirect beneficiaries. Thematic sampling considerations included:

- Beneficiaries of community dialogues and reconciliation efforts
- Beneficiaries of peace dividend activities
- Local actors and champions that received training
- Local opinion leaders (professionals, religious leaders, leaders, local administration, youth groups and leaders, women groups and leaders)
- Representatives from community at large (indirect beneficiaries)

Type A GDs did not involve those partners who organized the activities. These perspectives were gathered during KIIs.

Identity based sampling considerations included:

- Gender segregated discussion groups of men and women in each site at the Coast and, where possible, in other regions.
- Representation of religious diversities (especially Christians, Muslims and indigenous groups).
- Generational balance in both gender groups (representing elderly, middle aged and youth)
- Ethnic balance and where necessary segregation. In Molo separate type A GDs was held with beneficiaries from Kikuyu and Kalenjin communities. GDs in other location may be segregated according to ethnicity depending on the local dynamics and on the basis of combined experience of the evaluation team.

Sampling Frame: Beneficiary lists were provided to RSA who was organizing the groups.

Type B involved direct beneficiaries, members of DPCs and other peace structures as well as those directly involved in implementation of early warning activities. Type B was not segregated according to gender or ethnicity, although a proportionate mix was sought.

All tools are attached in annex III. They were piloted and adjusted in the first week of data collection.

In order to obtain participants for Type B RSA contacted the partner local organizations in that area as they knew the individuals personally and through their work, which increased the chances of these stakeholders participating.

Data Analysis Methods

The evaluators undertook data analysis using the methods outlined below.

There was ongoing analysis undertaken during data gathering process in the four areas to ensure quality of information and gap analysis. On return to Nairobi an aggregation and summation process was undertaken. Data collection methods, including tools were structured in a way that supports the process of data analysis and synthesis of findings to allow for quick reporting.

Table 3: Sample data analysis methods for the six evaluation questions

Data Analysis Methods	Evaluation Questions
Theory Based Approach	1, 4, 5
Contribution Analysis	1
Outcome Mapping	1

Comparison Analysis (TOC—Theoretical to Actual)	1, 2, 4, 5
Summary Statistics	1, 3, 4
Content, Pattern, and Trend Analysis of Qualitative Data	1, 2, 3, 4, 5, 6
Divergence/Convergence Analysis	1, 2, 4, 5
Mixed Methods Integration	1, 2, 4, 5, 6

Theory based approach

A theory-based approach involves exploring the causal linkages in a results chain (the sequence and hierarchy of changes) and exploring the validity of the assumptions articulated in the theory of change. In this evaluation using a theory-based approach involved making explicit the theories underpinning how the 10 conflict mitigation approaches contributed to peace (the "if–then" statements; see section B above) and testing these against the understanding and perceptions of stakeholders obtained through the data collection methods.

Contribution Analysis

Contribution Analysis identifies and presents plausible alternative explanations to a program to account for outcomes, such as other approaches, policies, political trends or behaviors unaffected by the program. It helps to reduce uncertainty about the contribution made and strengthens the plausibility of findings in relation to the programs' impact(s). In this evaluation, contribution involved considering all the various explanations and factors for the changes identified (beyond the 10 approaches) through the data collection.

Comparison Analysis

The team compared the outcome expected by the Theory of Change (the "then" part of the "if…then" statement) with the actual findings on the ground. As outlined above, theory of change statements have been developed for each activity as well as one overarching theory of change.

Summary Statistics

The team used summary statistics to analyze quantitative data obtained from the survey and other documents.

Content, Pattern, and Trend Analysis

For Group Discussions and Key Informant Interview data, the team analyzed the content of the responses to get an in-depth understanding of the experiences and priorities of beneficiaries and stakeholders. The team also examined the data for patterns to determine whether some responses are determined by certain variables, such as geography and *approach*. Looking at trends over time also allowed the team to consider changes in implementation that may have occurred over time.

Response Convergence/Divergence Analysis

The team reviewed data collected to determine where there is significant response convergence from the varied stakeholders and beneficiaries. Where divergence was found, the team followed-up to better understand the context and reasons for divergence in facts, perceptions, or opinions.

Mixed-Methods Integration

Since the team used a mixed methods approach, data collected from various methods was integrated to arrive at findings. Where different methods produce conflicting evidence, the evaluation team, to the extent possible, doubled back to examine why these data conflict, as well as weigh the data from various methods in terms of strength in validity and reliability.

A note on conflict sensitivity.

The evaluation paid close attention to issues of conflict sensitivity on the basis that all activities in conflict-affected settings should be conflict sensitive. This involved: (a) paying attention to the extent to which the evaluation process itself is conflict sensitive by drawing on the combined experience and understanding of the team in relation to local conflict dynamics and (b) keeping an eye on the extent to which the implementation of the 10 evaluation approaches themselves were conflict sensitive by ensuring that relevant questions are asked consistently through the Group Discussions and Key Informant Interviews.[102]

Methodological Strengths and Limitations

By the time of the evaluation, four of the activities were closed out. While some of the key individuals who worked on the activities are still be based in Nairobi and in the field sites, their support was more limited as they were engaged with other assignments. Further, certain key individuals were no longer be available. There was a need to have a stronger focus on documentary evidence to supplement the lack of personnel in country at times. This evaluation did benefit from having the end of activity performance evaluations completed as a source of information.

A few activities conducted baseline information. However, because they were activity specific, the surveys are narrower in scope and geographic coverage. This constraint negated the use of pre-activity data. While the survey included retrospective questions, there may have been some limitations on the reliability of this data due to recall bias.

Disentangling USAID's concrete contribution to peace was challenging due to a number of other actors and donors operating in the same geographic areas and working on similar peacebuilding and conflict mitigation activities. Further, many other contextual factors have may have impacted the peaceful elections. Causal inference was employed to the extent possible to credibly show a relationship between changes that have taken place and the activities the activities undertook.

This evaluation examined contribution, not attribution, given the number of variables that played a role in conflict mitigation. Furthermore, this evaluation was not a performance evaluation. The evaluation team was not expected to examine each individual activity to see the extent to which the program implemented what was planned or reached activity-specific objectives and goals. Instead it looked at the activities collectively in their contribution to peace. Additionally, the evaluation only focused on the activities of a program that are related to conflict mitigation and civil society strengthening.

Ideally, the evaluation team would have access to detailed empirical data on levels of conflict by time and location. This information is either held confidentially or has not been collected systematically.

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[102]Conflict sensitivity refers to the ability of an organization, team or program to a) understand the context in which it is operating, b) understand the interaction between the intervention, activity or approach and that context, and c) act on that understanding to avoid negative impacts and maximize positive impacts on the conflict.

Annex I: Getting to Answers

Program or Activity: Final Evaluation of USAID/Kenya Conflict Mitigation Activities

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)		Methods for Data Collection, e.g., Records, Structured Observation, Key Informant Interviews, Mini-Survey		Sampling or Selection Approach, (if one is needed)	Data Analysis Methods, e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis
			Data Source(s)	Method		
1. In what ways did USAID/Kenya conflict mitigation *approaches* contribute to peace during the 2013 General Election?		Yes/No	Documents (e.g., conflict analysis, assessments, research)

Key informants (see list)

Direct and indirect beneficiaries Partner Workshop Site Visits Individuals (indirect beneficiaries) | Document review

Semi-structured KIIs interviews

Group Discussions Observation Survey | Purposive (see criteria in section C) See survey sample selection | Frequency distributions Contribution Analysis Theory Based Approach Summary Statistics (frequency and cross tabulation) Content, Pattern, and Trend Analysis of qualitative data Divergence/Convergence Analysis Mixed Methods Integration |
		Description				
	X	Comparison				
	X	Explanation				
2. Early Warning/Early Response Peace Dividend Activities Use of Media, Social Media, and Hate Speech Monitoring		Yes/No	Documents e.g. Partner documents, evaluations	Document review/desk study		Theory based approach Contribution Analysis Comparison analysis Theory of change ideal to

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)		Methods for Data Collection, e.g., Records, Structured Observation, Key Informant Interviews, Mini-Survey		Sampling or Selection Approach, (if one is needed)	Data Analysis Methods, e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis
			Data Source(s)	Method		
Community Dialogues and Reconciliation Efforts Peace Messaging and SMS Platforms Training for Local Partners Relationship Building for Local Peace Structures Support for and Training of DPCs	X	Description	NSC (If approval received)	Observation		practice (for both the if and then parts)

Summary Statistics (frequency and cross tabulation) Content, Pattern, and Trend Analysis of qualitative data Divergence/Convergence Analysis Mixed Methods Integration |
| | X | Comparison | Key Informants— including local partners (See list) | Interviews | Purposive (See criteria in section C) | |
| | X | Explanation (Degree to which activities contributed) | Direct and indirect beneficiaries | Group Discussions | Purposive (See criteria in section C)

Nairobi (informal settlements), Coast (Mombasa, Kilifi, Kwale), North Rift (Bungoma (Eldoret), South Rift, Nakuru, Molo/Korosoi, Naivasha. | |
			Partners	Workshop Discussion		
			Site Visits (where possible)	Observation		
			Individuals (indirect beneficiaries)	Survey	See survey sample selection	
3. Targets of Opportunity		Yes/No	Documents	Document	Purposive (see criteria in section C)	Frequency distributions

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)		Methods for Data Collection, e.g., Records, Structured Observation, Key Informant Interviews, Mini-Survey		Sampling or Selection Approach, (if one is needed)	Data Analysis Methods, e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis
			Data Source(s)	Method		
		Description	(e.g. partner documents, evaluations) Key informants (see list) Site Visits (where possible)	review/desk study Semi-structured KIIs interviews Observation		Contribution Analysis Theory Based Approach Divergence/Convergence Analysis Mixed Methods Integration
	X	Comparison				
	X	Explanation				
2. To what extent have the identified approaches addressed root causes of conflict? *Root causes determined by (i) reviewing 2009 Joint Conflict Vulnerability Assessment and 2011 DG Assessment and Strategy and then (ii) asking partners for feedback.*		Yes/No	Documents e.g., conflict assessments, partner and USAID documents, 2009 Vulnerability and 2010 DG assessment	Document review/desk study		Comparison analysis Content, Pattern, and Trend Analysis of qualitative data Divergence/Convergence Analysis Mixed Methods Integration
	X	Description	Key Informants (See list)	Semi-structured interviews	Purposive (see criteria in section C)	
		Comparison	Individuals (direct and indirect beneficiaries)	Group Discussions	Purposive (see criteria in section C)	
	X	Explanation	Individuals (indirect beneficiaries)	Survey	See survey sample selection	

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)		Methods for Data Collection, e.g., Records, Structured Observation, Key Informant Interviews, Mini-Survey		Sampling or Selection Approach, (if one is needed)	Data Analysis Methods, e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis
			Data Source(s)	Method		
3. To what extent have attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas?		Yes/No	Individuals (indirect beneficiaries)	Survey	See survey sample selection	Summary Statistics (frequency and cross tabulation) Content, Pattern, and Trend Analysis of qualitative data
	X	Description				
	X	Comparison	Other sources for triangulation as necessary. e.g. Afro barometer, Kenya police crime statistics, UNODC victimization survey etc.	Document review		
		Explanation				
4. What components are likely to continue to influence conflict mitigation after program closure? Components, as per discussion with USAID, e.g., organizations, systems, forums, and networks.		Yes/No	Individuals (direct and indirect beneficiaries)	Group Discussion	Purposive (see criteria in section C)	Frequency distributions Theory based approach with contribution analysis Comparison analysis Theory of change ideal to practice (for both the if and then parts)
	X	Description				
	X	Comparison	Key Informants (see list)	Semi-structured interviews	Purposive (see criteria in section C) See survey sample selection	

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)		Methods for Data Collection, e.g., Records, Structured Observation, Key Informant Interviews, Mini-Survey		Sampling or Selection Approach, (if one is needed)	Data Analysis Methods, e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis
			Data Source(s)	Method		
		Explanation	Documents e.g. evaluations Individuals (indirect beneficiaries	Document Review/Desk Study Survey		Summary Statistics (frequency and cross tabulation) Content, Pattern, and Trend Analysis of qualitative data Divergence/Convergence Analysis Mixed Methods Integration
5. To what extent did USAID/Kenya strengthen civil society organizations', especially local partners', ability to implement and manage conflict mitigation programs? - Capacity Building for Local Partners Approach		Yes/No	Key Informants (see list) e.g. IPs, local partner staff	Semi-structured interviews	International partners, local partner staff, and others	Frequency distributions Theory based approach with contribution analysis Comparison analysis Theory of change ideal to practice (for both the if and then parts) Content, Pattern, and Trend Analysis of qualitative data Divergence/Convergence Analysis Mixed Methods Integration
	X	Description				
	X	Comparison	Documents e.g. evaluations, organizational assessments, IDF Individuals (indirect and direct beneficiaries) Site Visit	Document Review/Desk Study Group Discussions Observation	Purposive (see criteria in section C)	
	X	Explanation				
6. What key lessons and good practices can be identified for future USAID/Kenya conflict		Yes/No	Key Informants	Interviews	Purposive (see criteria in section C)	Content Analysis Mixed Methods Integration
	X	Description				

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)		Methods for Data Collection, e.g., Records, Structured Observation, Key Informant Interviews, Mini-Survey		Sampling or Selection Approach, (if one is needed)	Data Analysis Methods, e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis
			Data Source(s)	Method		
mitigation and civil society strengthening programing?	X	Comparison	Documents (e.g., evaluations and final reports)	Desk review		
		Explanation	Individuals (direct and indirect beneficiaries)	Group Discussions		

Annex II: Work plan

MISSION: EVALUATION OF USAID'S CONFLICT MITIGATION SUPPORT

DATES: September 30 to January 10

Day	Date	Location	Activities		Survey
October					
Monday	14	Nairobi	Methodology and work plan due to USAID (CoB)		Survey Set up
Tuesday	15	Nairobi	Team Planning meeting—further logistical planning, initial KIIs and any follow up with partners		Survey data collection
Wednesday	16	Nairobi	Discuss and gain USAID approval of methodology and workplan		Survey data collection
Thursday	17	Nairobi–Kibera	Group Discussions (A and B) and KII		Survey data collection
Friday	18	Nairobi—MSI offices	Team review of GD and KII matrices and approach and revise as necessary		Survey data collection
Saturday	19	Nairobi–Korogocho	Group Discussions and KII A and B		Survey data collection
Sunday	20	Fly to Mombasa			
Monday	21	Mombasa	Group Discussions A and B and KII		Survey data collection
Tuesday	22	Kalife GDs/KIIs	Group Discussions A and B and KII		Survey data collection
Wednesday	23	Kawale GDs/KIIs	Group Discussions A and B and KII		Survey data collection
Thursday	24	Mombasa KIIs and gap filling	KIIs, gap filling and analysis and notes write up. Travel		Survey data collection

Day	Date	Location	Activities			Survey
Friday	25	Mombasa KIIs and gap filling am Fly Mombasa to Eldoret and on to Bungoma pm	KIIs, gap filling and analysis and notes write up. Travel			Survey data collection
Saturday	26	Bungoma (GDs)	Group Discussions A and B and KII			Survey data collection
Sunday	27	DAY OFF				
Monday	28	Bungoma (GDs) Travel to Eldoret and meet Bishop late afternoon	Group Discussions and KII	am	GD A and B (Bungoma)	Survey data collection
				Pm	KIIs (Eldoret)	Survey data collection
Tuesday	29	Early am travel to Koresoi/. Molo (GDs) Afternoon travel to Nakuru	Group discussions and KII	Am GD Kalenjin		Survey data collection
				Pm GD Kikuyu		
Wednesday	30	Nakuru (GDs and KII)	Group discussions A and B and KII			Survey data processing
Thursday	31	Nakuru (analysis KII and gap filling)—travel to Naivasha	KIIs, gap filling and analysis and notes write up			Survey data processing
November						
Friday	1	Naivasha GDs	Group discussions A and B and KII			Survey data processing
Saturday	2	Naivasha—reflection	Analysis and gap filling (KIIs)			Survey data processing

Day	Date	Location	Activities		Survey
Sunday	3	DAY OFF			
Monday	4	Nairobi	Analysis and gap filling (KIIs)		Survey data processing
Tuesday	5	Nairobi	Further KIIs and meetings with USAAID staff and other KIIs and gap filling		Survey data analysis
Wednesday	6	Nairobi	Data Analysis		Survey data analysis
Thursday	7	Nairobi	Data Analysis		Survey data analysis
Friday	8	Nairobi	Data Analysis		Survey data analysis
Saturday	9	Nairobi	Data Analysis		Survey data analysis
Sunday	10	Nairobi	Data Analysis		
Monday	11	Nairobi	Half day validation meeting, MSI offices		Survey data analysis
Tuesday	12	Nairobi	FCR Workshop		
Wednesday	13	Nairobi	Data analysis and dry run presentation		
Thursday	14	Nairobi	Presentation to USAID (am) Presentation to IPs (pm)		
Friday	15	Nairobi	11 am presentation to all USAID mission		
Saturday	16	Nairobi	Report writing		
Sunday	17	DAY OFF			
Monday	18	Home base	Report writing		
Tuesday	19	Home base	Report writing		
Wednesday	20	Home base	Report writing		
Thursday	21	Home base	Report writing		
Friday	22	Home base	Report writing Submit draft to MSI (CoB)		

Day	Date	Location	Activities		Survey
Saturday	23	DAY OFF			
Sunday	24	DAY OFF			
Monday	25		MSI—Editing Technical review		
Tuesday	26		Report writing		
Wednesday	27		Draft Submission to USAID		
Thursday	28		Report writing		
Friday	29		Report writing		
Wednesday	11 Dec		Comments Received USAID		
Friday	3 Jan		Final Report to USAID		

Annex III: Draft Tools (to be piloted and adjusted)

Guide 1: Group A - Discussion Interview Guide

Date: *Location:*   *No in the group:*

Gender breakdown (circle as appropriate): Mixed,   *Male,*   *Female*

Ethnicity:

Purpose: The purpose of the Group Discussion is to 'test' the validity of the Theory of Change at the higher level and for each approach and engage in outcome mapping.

Covering Approaches:

Peace Dividends activities (3),

Community dialogues and reconciliation efforts (5)

Training for local actors and peace champions (8)

Early Warning and Early Response (EWER) (1)

Use of media and social media (4)

Peace messaging and SMS platforms (6)

Feeding into Evaluation Questions: 1, 2, 4, 5, 6.

General Entry questions to identify conflict initiatives

Was there any conflict in your community in 2013? Yes/No? If yes what was it?

Have there been any inter-community or multi-community activities taking place in your community / District aimed at preventing conflict and enhancing peace

What are these initiatives?

Rank the grouped initiatives using the question: "Which of these initiatives do you think was the most important in preventing violence in the 2013 elections"

Peace messaging and SMS platforms (6) *If we hear/see messages of peace and unity, then we will be reminded of the costs of violence and benefits of peace, then behavior will change and violence will be less likely.*

Ask the group in which media did they hear or see peace messages—brainstorm, (TV, Radio, Billboards, Social media, SMS,)

What sort of messages in the media did you hear on radio, television?

How often did you hear these messages? Was this too often, about right, not enough?

Who was giving these messages (famous people, politicians, religious leaders etc)?

Does it matter who is giving the messages? Why / why not?

Do you think these messages influenced your (a) your attitude toward peace / election violence and (b) your behavior? In what ways? Give concrete examples

What do you think would have happened in your community with no peace messages?

Do you think there are negative impacts from the peace messaging? If so what were they?

Use of media and social media (4) (a) *If media is used effectively for peaceful purposes, then message of peace will be better disseminated and violence made less likely. (b). If media is used to saturate peace messages, then violence is less likely (c) IF MEDIA IS MONITORED FOR HATE SPEECH, THEN CONFLICT MAY BE MANAGED AND MITIGATED.*

Did you see or receive any negative messages about other people, political parties or groups in the lead up to 2007–08 elections and in 2013? (In what form? TV, SMS, FM Radio, etc.)

If yes, what did you do about them? If not why do you think that you did not receive them?

Do you think that the media coverage in 2013 was different from that in 2007–08? In what way?

Early Warning and Early Response (EWER) (1) *If timely information sharing and analysis of potential and emergent conflict is collected, well-analyzed, non-partisan, locally sourced, and verified, then appropriate and timely mitigation is more likely and conflict escalation less likely.*

Do you know any EW mechanisms in your area? What are they? Have you used them? (which)

Do you think that the early warning mechanisms in your area have been successful or not? If so in what ways? What elements are most important? Or if not, why not?

Did any ER actions come out of EW that you observed or experienced? Give specific examples?

Were the EW and ER actions timely or not?

What would have happened if the EW was not there?

In the light of hindsight, what do you think could be improved?

Community dialogues and reconciliation efforts (5) *If communities are supported to meet and communicate, then they are more likely to understand one another and promote reconciliation. If within group dialogues take place before intergroup dialogues then the cross-group dialogue will be more successful.*

Have any intra- or inter community dialogues taken place in your community in the lead up to the 2013 elections? If yes, when were they? How many times? Who did they involve? Did you attend?

What do you think was achieved (if anything) through these meetings? Give concrete examples (eg attitudes, behaviors, reduced conflict)

Do you think that they have addressed the causes of your intra-inter-community issues? Why/why not?

Do you think that conflict will arise again in the future? Why/why not?

Peace Dividends Activities (3), *If the benefits of peace are more tangible, then population is less likely to support violence. 2. If development projects of common benefit are designed to emphasize connectors and provide a safe place for intergroup dialogue and intergroup collaboration, then stronger and more positive relationships will develop and prospects for peaceful coexistence improve.*

Have any inter community projects taken place in your community in the lead up to the 2013 elections? If yes, what were they? Who did they involve?

What do you think has been achieved through this project? (e.g., reduced conflict, improved relations) Why?

Do you think that the project has helped address the causes of your inter-community issues? Why/why not?

What would have happened if the project had not taken place? Would it have made any difference? Why?

Training for local actors and peace champions (8) *If more community leaders are trained in conflict resolution, then they will be better able to manage conflicts pro-actively and non-violently*

What do you think about the skills, ability and levels of activity (energy) of local peace actors and community leaders in addressing potential or actual conflict in the lead up to 2013 compared with two years ago?

Have there been any changes? Positive or negative? Give examples. Why do you think this is?

Overall Reasons for Peace or Conflict

What do you think the main reasons are for the peace/ conflict in your area? Why?

If none of these initiatives had taken place what would have happened?

Sustainability

Do you think any of the initiatives and activities that we have been discussing need to continue in the future for peace to be maintained? If so which ones?

Do you think that any of these initiatives actually *will continue* into the future?

If yes, why? What is it about them?

If no why not? Does it matter? What will happen if they stop?

Future and Recommendations

Do you consider these peace initiatives overall to be helpful? Why?

Do you think that there is a possibility for violence to occur in your community in the future? If so what do you think the conflicts will be over? Why do you think this? (Conflicts between whom?)

What initiatives do you think should be supported in the future to address (a) any threats or possibilities described above (a) maintain existing peace (b) deepen peace in your region?

Has the initiative been a success? If so in what ways?

Why do think it has been successful? What have been the key elements contributing to this?

What changes have you (or your department) observed or experienced as a result of the initiative? Please give examples if you can?

In the light of hindsight, what do you think could be improved?

Can you provide me with you best examples or stories that illustrate the impact (or lack of impact) from the initiative? Who has benefited? Has anybody 'lost out' from the process?

Have there been any negative impacts from the initiative (context, relationships, etc)?

Guide 2: Group B - Discussion Interview Guide

Date: _____ *Location:* _____ *No in the group:* _____

Gender breakdown (circle as appropriate):   Mixed   Male   Female

Purpose: The purpose of the Group Discussion is to 'test' the validity of the Theory of Change for each approach and engage in outcome mapping

Covering Approaches:

Peace messaging and SMS platforms (6)

Use of media and social media (4)

Early Warning and Early Response (EWER) (1)

Relationship building for local peace structures (9),

Support for and training of DPCs (10)

Feeding into Evaluation Questions: 1, 2, 3, 4, 6.

General Entry questions to identify conflict initiatives

Was there any conflict in your community in 2013? Yes/No? If yes what was it?

Have there been any inter-community or multi-community activities taking place in your community / District aimed at preventing conflict and enhancing peace

What are these initiatives?

Rank the grouped initiatives using the question: "Which of these initiatives do you think was the most important in preventing violence in the 2013 elections"

Peace messaging and SMS platforms (6) *If we hear/see messages of peace and unity, then we will be reminded of the costs of violence and benefits of peace, then behavior will change and violence will be less likely.*

Ask the group in which media did they hear or see peace messages—brainstorm, (TV, Radio, Billboards, Social media, SMS,)

What sort of messages in the media did you hear on radio, television?

How often did you hear these messages? Was this too often, about right, not enough?

Who was giving these messages (famous people, politicians, religious leaders etc)?

Does it matter who is giving the messages? Why / why not?

Do you think these messages influenced your (a) your attitude toward peace / election violence and (b) your behavior? In what ways? Give concrete examples.

What do you think would have happened in your community with no peace messages?

Do you think there are negative impacts from the peace messaging? If so what were they?

Use of media and social media (4) a) *If media is used effectively for peaceful purposes, then message of peace will be better disseminated and violence made less likely. b) If media is used to saturate peace messages, then violence is less likely. c) IF MEDIA IS MONITORED FOR HATE SPEECH, THEN CONFLICT MAY BE MANAGED AND MITIGATED.*

Did you see or receive any negative messages about other people, political parties or groups in the lead up to 2007–08 elections and in 2013? (In what form? TV, SMS, FM Radio, etc.)

If yes, what did you do about them? If not why do you think that you did not receive them?

Do you think that the media coverage in 2013 was different from that in 2007–08? In what way?

Early Warning and Early Response (EWER) (1) *If timely information sharing and analysis of potential and emergent conflict is collected, well-analyzed, non-partisan, locally sourced, and verified, then appropriate and timely mitigation is more likely and conflict escalation less likely.*

Do you know any EW mechanisms in your area? What are they? Have you used them? (which)

Do you think that the early warning mechanisms in your area have been successful or not? If so, in what ways? What elements are most important? Or if not, why not?

Did any ER actions come out of EW that you observed or experienced? Give specific examples?

Were the EW and ER actions timely or not?

What would have happened if the EW was not there?

In hindsight, what do you think could be improved?

Relationship building for local peace structures (9), *If relationships are enhanced and peace structures and stakeholders linked vertically and horizontally, then early warning and dialogue will be improved and incidences of violent conflict reduced.*

Of the peace structures identified, which structures and organizations do you communicate with horizontally and vertically—if anyone?

What is the nature of the relationship? (Share information, coordinate, take action together?)

What difference if any, does it make? (implied with regard to conflict but open—to see if it comes out)

Are some relationships (individual people or structures) more important than others for effectiveness? (Horizontally or vertically, e.g. government, police, county forums,)

Support for and training of DPCs (10) *If local peace structures effective and in place, then better able to mitigate conflict* (assumes that DPC is present if we want to assess training per se))

Do you have a DPC? Do you think that it is active? Have you interacted with it?

Can you provide examples or stories that illustrate their work, or impact (or lack of impact? Who has benefited? Has anybody 'lost out' from the process?

Have you seen any changes in the way that the DPC operates in the last couple of years?

Do you have suggestions on how DPCs could be improved? (e.g., right people, resources, etc.)?

Overall Reasons for Peace or Conflict

What do you think the main reasons are for the peace/ conflict in your area? Why?

If none of these initiatives had taken place what would have happened?

Sustainability

Do you think any of the initiatives and activities that we have been discussing need to continue in the future for peace to be maintained? If so which ones?

Do you think that any of these initiatives actually *will continue* into the future?

If yes, why? What is it about them?

If no why not? Does it matter? What will happen if they stop?

Future and Recommendations

Do you consider these peace initiatives overall to be helpful? Why?

Do you think that there is a possibility for violence to occur in your community in the future? If so what do you think the conflicts will be over? Why do you think this? (conflict between whom?)

What initiatives do you think should be supported in the future to address a) any threats or possibilities described above, b) maintain existing peace, and c) deepen peace in your region?

Guide 3: Key Informant Interview Guide: External Stakeholders

Name of organization:

Respondent:

Role of respondent in their institution and main responsibilities:

Date:

Location:

Nota Bene: These questions will be adjusted depending on the informant (eg Government, CSO, Business or Religious Leader, etc.) but will be consistent across the type of informant to enable analytical comparisons within groups.

Purpose: The purpose of this KII (Context Experts, Key Stakeholders, Government, Civil Society, Religious leaders, Businessmen, etc.) is to identify the main factors regarding; learning, best practices, considerations and informed assessments of future conflict risks and program recommendations for USAID.

Feeding into Evaluation Questions: 1, 2, 4, 6.

General

What is the role of your organization/department with respect to addressing conflict in Kenya?

What was your role during the 2013 elections?

Election Violence

What do you think are the main factors for the elections of 2013 being generally peaceful?

Which of these factors do you think are the most important and why?

Conflict in Kenya and Contribution of USAID programming

From the perspective of the different key informants, what do you think were the major *activities* that contributed to the peaceful election? What has been the impact of civil society interventions enabling people to manage the risk of conflict better? What is the evidence on which they judge the impact?

What changes have you seen in levels of conflict over the past few years and to what extent do you think that civil society organizations have contributed in terms of their actions? Please give examples? What factors explain differences in levels of conflict experienced by different communities?

Do you think any interventions during this period have addressed root causes of conflict in Kenya? Which ones and why? Why not?

Learning

What are the most important lessons that your organization learned during the course of the elections with respect to addressing conflict (both root causes and mitigation)?

What lessons do you think have been learned more broadly from these elections in terms of conflict management?

The Future

Do you think there are key elements of civil society work undertaken during the 2013 elections that need to continue in the future for peace to be maintained? If so which ones and why? Do you think that these elements actually *will continue* into the future without external funding?

In the light of your experience more broadly how do you think conflict can be better addressed in Kenya in the future?

Do you see changes in the patterns of conflict? What are they? How are they changing?

Can you identify *specific conflict concerns* for the future? If so what are they and why do you think they are a risk?

Given the broader political trends here in Kenya, what are the implications for civil society development in the future? What do you consider to be the most important task or role of civil society given these trends?

Do you have any further suggestions, comments or ideas?

Guide 4: Key Informant Interview Guide: Senior IP Program Staff

Name of organization:

Respondent:

Role of respondent in their institution and main responsibilities:

Date:

Location:

Purpose: The purpose of this KII is to identify; learning, best practices, considerations and informed assessments of future conflict risks and program recommendations for USAID.

Feeding into Evaluation Questions: 1, 2, 4, 6.

What are the most important lessons that XXX [*interviewer to insert name of project*] has learned during the course of this project in terms of:

Project design and addressing conflict (both root causes and mitigation)

Content of the program

Working in this political environment

Management and logistical arrangements

If you were starting again (i.e., in the light of hindsight), what would you do differently? What advice would you give to yourself about the above aspects?

What are the XXX [*name of project*] achievements that you are most proud of?

Have there been any unintended outcomes, benefits or negative aspects as a result of your program that you have seen?

Do you think there are key elements of program work that need to continue in the future for peace to be maintained? If so which ones and why? Do you think that any of these initiatives actually *will continue* into the future without funding?

If yes, why? What is it about them?

If no why not? Does it matter? What will happen if they stop?

Overall Reasons for Peace or Conflict: What do you think the main reasons are for the peaceful 2013 elections? Why? If none of the USAID funded programs had taken place what do you think would have happened?

In the light of your program experience more broadly how do you think conflict can be better addressed in Kenya in the future?

Can you identify *specific conflict concerns* for the future? If so what are they and why do you think they are a risk?

Given the broader political trends here in Kenya, what are the implications for civil society development in the future that donors should be aware of?

Do you have any further suggestions, comments, or ideas?

The household questionnaire is intended primarily to address Evaluation Question 3, and will contribute to Questions 1, 2, and 4.

Evaluation Survey on Contribution of Various Stakeholders in Peacebuilding—Kenya

Household Questionnaire

ADMINISTRATIVE INFORMATION

Questionnaire number		
Date of interview:	DD MM YY	
Time of interview: (*24 hour clock*)	Start HH MM	Stop HH MM
Name of interviewer:		
Place of interview:	████████████████████████	
Region		
County		
District		
Division		
Location		
Sub-location/Village		
Number of visits *(max. of 3)*		

Reason for call back	Number of visits		
	1	2	3
Refused to be interviewed	███	1	1
Target respondent not at home	███	2	2
No one in the household	███	3	3
Respondent not able to be interviewed due to medical reasons (very sick, dumb, etc.)	███	4	4
No adult member in the household	███	5	5
Language barrier	███	6	6

Other (specify)		98	98
Not applicable		99	99
Outcome of final visit	Successful	Incomplete	Replaced

Field quality control checks *(sign as appropriate)*			
Activity	Activity undertaken by		
	Interviewer	Team leader	Supervisor
Edited			
Reviewed			
Accompanied			
Back checked			
Called back			

INTRODUCTION

Good morning/ afternoon/ evening? My name is ………………………… from Research Solutions Africa, a Market and Social Research firm based in Kenya. We are currently conducting an evaluation survey on the contribution of *various stakeholders toward peacebuilding in this area.* We are trying assess the contributions of various programs to peacebuilding.

The interview is likely to take about 45 minutes, and there is no right or wrong answer. The information that you provide will be kept strictly confidential and if we are to quote any response from this interview, then your name will not be used. There is no financial gain for taking part in this survey and you have the right to decline and/or abort the interview at any point.

Are you willing to take part in the survey?

Notes for the enumerators

The enumerators *need to ask all the questions from section B down by the four specified time periods*. They need to ask the respondents to *'go back to that period in time in their minds'* so:

Time period 1: Take yourself back to immediately after the 2007 elections.

Time period 2: Take yourself back to the time immediately after the constitutional referendum in August 2010

Time period 3: Take yourself back to the time just before and during the March 2013 general election

Time period 4: This is the present—what you think now.

During the course of the survey the respondents should be constantly reminded to go back to the time period specified.

All questions will be asked for time period 1 before moving on to ask all questions for time period 2 and so on.

………….. *Administer the screener……………..*

SECTION A: DEMOGRAPHIC INFORMATION

I would like to start off the interview by asking you some general questions about yourself and your household.

Respondents details		
A1	Gender *(observe)*	Male Female
A2	Name	
A3	Telephone contact	88. Refused to answer
A4	How old are you? *(years completed)*	
A5	What is your highest level of education completed?	PRIMARY SECONDARY COLLEGE UNIVERSITY NONE Refused to answer OTHER (Specify) ……………………………
A6	What is your marital status?	SINGLE MARRIED WIDOW WIDOWER DIVORCED REFUSED TO ANSWER
A7	Do you have children?	Yes No …………… *GO TO A8*
A7.1	*If yes,* how many children do you have?	
A8	What is the size of your household?	
Description of the household members:		

A8	A8.1	A8.2	A8.3	A8.4	A8.5
Number (size)	Relationship with the head of the hh (*from the oldest to the youngest)*	Gender	Age *(in completed years*)	Main Occupation	Average monthly income (Kshs)

			O–11 12–17 18–25 26–35 36–54 55+		Below 5,000 5,000–10,000 10,001–15,000 15,001–20,000 20,001–25,000 25,001–30,000 30,001–35,000 35,001–40,000 40,001 and above Dependent Refused to answer Don't know Not applicable
	Hhd head Wife/husband/partner Father Mother Son Daughter Brother Sister Other relative Other (specify)	1: Male 2: Female			
	Name	code			
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

A9	What is your current employment status? *(Tick all that apply)*	EMPLOYED (*formal*) EMPLOYED(*informal*)—casual worker SELF EMPLOYED (*technical*) SELF EMPLOYED (*business operator*) FARMER STUDENT OTHER (*specify*) ………………………………			
A10	How much on average do you earn per month through … (Kshs.)	1. Formal employment	2. Informal employment	3. Donations / assistance from others	98. Others (Specify) ………………………

SECTION B: AWARENESS ON CONFLICT SITUATION IN AREA	
B1	Where were you living in the following time periods?
	Period	Place of residence by given time period

	1	Immediately after the December 2007 general elections				
	2	After August 2010 Referendum				
	3	Just before and during the March 2013 general election				
	4	After the March 2013 general election (March 2013 to Present)				

		1	2	3	4
B2	Was there conflict in this area in the given time periods? 1. Yes 2. No .... *GO TO B7* 90. Don't know … *GO TO B7*	Immediately after 2007 general elections	After 2010 Referendum	Just before and during the 2013 general election	After the 2013 general election (March 2013 to Present)

What was the level of conflict in this area in the given time periods?

		Conflict level			
B3	**Period** *Enumerator to use a show card for the different conflict levels*	None	Low *Where* *Low = small number of people involved;* *Short duration;* *Minimal disruption to everyday life*	Moderate *Where* *Moderate = Medium number of people involved;* *Periodic duration;* *Some disruption to everyday community life*	High *Where* *High = Large numbers of people involved;* *Chronic or sustained duration;* *Major disruption to everyday life*
	1	Immediately after 2007 general elections			
	2	After 2010 Referendum			
	3	Just before and during the 2013 general election			
	4	After the 2013 general election (March 2013 to Present)			

B4	*If yes in B2,* What was the conflict about? *(Enumerator to enter all answers given)*	Land and resources Political manipulation Ethnic violence Cattle raids Disputed election results Disputed boundaries Lack of economic opportunity Other (specify)

B5a	If yes in B2, Has your household been affected in any way?	Yes No …… *GO TO B6*		
B5b	How was household affected? *(Enumerator to circle answers given or add other)*	1. Lost a family member 2. Lost property: land, building, business, etc. Lost income Lost my job Sexual or gender based violence Family disintegration My children stopped going to school Had to relocate to a new location 98. Other (specify) ………………….		

		B4	B5a	B5b
	Time period	*If yes in B2,* What was the conflict about?	*If yes in B2,* Was your household affected in any way?	*If yes in B5a,* How was your household affected?
	Immediately after December 2007 general elections			
	After August 2010 Referendum			
	Just before and during the March 2013 general election			
	After the March 2013 general election (March 2013 to Present)			

		Time period			
Statement		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B6	Was there less conflict in this area in the given time period than before? Yes No ……. *GO TO B7* Don't know … *GO TO B7*				
B6.1	*If yes,* What was the reason?	1			
		2			

		3				
B7	Do/ did you foresee the possibility of future conflict in this area? Yes No ……. *GO TO B8*					
B7.1	*If yes,* What do/ did you think would cause the future conflict? Land and resources Political manipulation ethnic violence cattle raids Disputed election results Disputed boundaries Lack of economic opportunity Other (specify)	1				
		2				
		3				
		4				
		5				

STATEMENTS ON ATTITUDE, BEHAVIOR AND RELATIONSHIPS

On a scale of 1 to 5
Where 1 = Strongly disagree, 2=Disagree, 3= Undecided, 4=Agree, and 5 = Strongly agree,
Would you agree or disagree with the following statements, as applicable in given time periods?

Statement		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B8	There is/was a cordial relationship between the various ethnic communities in this area.				
B9	I appreciate(d) the value of peace.				

On a scale of 1 to 5
Where 1 = Never, 2=Not likely, 3= Undecided/neutral, 4=likely, and 5 = Very likely,
How likely are/were you to undertake the following activity in the given time periods?

B10	Statement	Time period			
		1	2	3	4

		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	Discuss conflict issues with a member from a different ethnic community living in this area?				

On a scale of 1 to 5
Where 1 = Strongly disagree, 2=Disagree, 3= Undecided, 4=Agree, and 5 = Strongly agree,
Would you agree or disagree with the following statements, as applicable in given time periods

Statements		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B11	Any ethnic group can live in this area				
B12	I am my ethnic group first and a Kenyan second				
B13	Violence is justified to advance political goals				

		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B14	On a scale of 1 to 4 where Poor Neutral (neither good or bad) Cordial Very Cordial How would you rate the quality relationships amongst the various ethnic communities living in this area?				
B15	On a scale of 1 to 5 where Very unfair Not fair Neutral Fair				

		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	Very fair How would you rate the sharing of resources *(e.g. land, water, markets etc.)* amongst the various ethnic communities living in this area?				

On a scale of 1 to 5
Where 1 = Strongly disagree, 2=Disagree, 3= Undecided, 4=Agree, and 5 = Strongly agree,
Would you agree or disagree with the following statement, as applicable in given time periods

		Time period			
		1	2	3	4
B16	Statement	Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	I will report potential for conflict				
B16.1	*If agree or strongly agree,* Who would you report to?	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …

		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)

SECTION C.   ACTIVITIES AND ACTORS IN PEACEBUILDING

		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C1	Are you aware of any activities to reduce or prevent conflict that are/were being undertaken by anyone in this community? Yes No ……. *GO TO C10*				
C1.1	*If yes in C1,* What are/were these activities? Early Warning, Early Response Rehabilitation of militias Livelihoods, education, building, etc. activities undertaken across different ethnic groups to support coexistence Hate speech monitoring Peace monitors Peace journalism, engagement with the media and SMS Community Dialogue and reconciliation Cross-cultural events—e.g., sports, road shows, music Training and capacity building for peace Supporting peace structures (committees and DPCs) Other (specify)				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	(Enumerator to enter all answers that apply or add other)					
C1.2	Of the mentioned peacebuilding activities *in C1.1* which are/were the most effective in your opinion *(maximum three)?* 87. None	1				
		2				
		3				
C1.2.1	For the first one, why do you say so? For the second one, why did you say so, For the third one, why did you say so	1				
		2				
		3				
C1.3	Of the mentioned peacebuilding activities *in C1.1,* which ones are/were the least effective (maximum three)? 87. None	1				
		2				
		3				
C1.3.1	Why do you say so?	1				
		2				
		3				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C1.4	Have you participated in any way in these activities *(in C1.1)*? Yes No ……….. *GO TO C2*					
C1.4.1	*If yes in C1.4* In which activities have you participated? Early Warning, Early Response Rehabilitation of militias Livelihoods, education, building, etc activities undertaken across different ethnic groups to support coexistence Hate speech monitoring Peace monitoring and SMS Peace journalism Community Dialogue and reconciliation Cross-cultural events e.g. sports, road shows, music etc. Training and capacity building for peace Supporting peace structures (committees and DPCs) Other (specify)… *Please enter all that apply*	1 2 3 4 5				
C2	Do/did any of the activities you are aware of *(in C1.1)* address the causes of conflict? Yes No ….. *GO TO C3* Don't know … *GO TO C3*					
C2.1	*If yes in C2,*					

		Time period			
		1	2	3	4
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	Which ones?				
C3	How have these activities *in C1.1* played any role in positively changing your attitudes toward other ethnic groups in this area? Not at all Slightly A lot A great deal				
C4	Have these activities *in C1.1* played any role in changing your behavior toward other ethnic groups in this area? Yes No ………. *GO TO C5*				
C4.1	*If yes in C4,* What are/were these changes in behavior that you have individually experienced? Participating in others' cultural celebrations Going to the same markets Participating in common recreation or sports Sharing common resources amicably Engaging in joint business activities Recognition of a common dispute resolution mechanisms OTHER (SPECIFY) …	1 2 3 4 5			

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C5	Have these activities *in C1.1* played any role in positively changing your community's attitudes toward other ethnic groups in this area? Not at all Slightly A lot A great deal					
C6	Have these activities *in C1.1* played any role in changing your community's behavior toward other ethnic groups in this area? Yes No ………… *GO TO C7*					
C6.1	*If yes in C6,* What are/were these changes in behavior in your community that you have observed? Intercommunity and intracommunity peace 2. Stronger belief in inter- and intra-community harmony 3. Reconciliation with other communities (peace pacts etc.) 4. Increased sense of security 5. Security of property ownership (including land) 6. Inclination to violence 8. Increased tensions between/among communities 98. OTHER (SPECIFY) …	1				
		2				
		3				
		4				
		5				
C7	What else could be/have been	1				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	done in order to address the causes of the conflict in this area?	2				
		3				
	Undertake land reform Fast track security sector reform Resettle IDPs Provide safe housing Create jobs Facilitate peacebuilding, Cohesion and Reconciliation activities Enhance access to justice (courts of law) Improve inter-religious tolerance Don't know Other (specify) ….	4				
		5				
C8	Suppose the activities mentioned above (*in C1.1*) were to end today, do you think the peace situation would deteriorate? Yes No Don't know					
C9	Suppose CSOs were to stop their conflict prevention and reduction activities in the area today, do you see the activities being carried forward by the community members? Yes No *Please justify your answer*					
C9.1	If yes, why do you say so?	1				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
		2				
		3				
		4				
		5				
C9.2	If no, why do you say so?	1				
		2				
		3				
		4				
		5				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C10	Have you contributed resources (e.g. transport, food, money etc.) in support of peacebuilding in this area? Yes No					
C11	Have members of your community contributed resources (e.g. transport, food, money etc.) in support of peacebuilding in this area? Yes No Don't know					
C12	Have/had you heard of any of the following CSOs, within the given time periods? 1. Yes 2. No ………. *GO TO C13*					
	1	PACT/Kenya Civil Society Strengthening Program (KCSSP)				
	2	Mercy Corps/Rift Valley Local Empowerment for Peace (LEAP II)				
	3	CHF International/Kenya Tuna Uwezo				
	4	International Rescue Committee/Peace Initiative Kenya (PIK)				
	5	Catholic Relief Services (CRS)/People to People Peace Project (3Ps)				
	6	Internews/Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya				
C12.1	*If yes in C12,* Which ones are/were active in this area? PACT Mercy Corps	1				
		2				
		3				
		4				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	CHF International International Rescue Committee Catholic Relief Services (CRS) Internews None …… *GO TO C14* Don't know … *GO TO C14* *Enter all that apply*	5				
		6				
C13	Which (other) CSOs are/have been active in peacebuilding activities in this area, over the given time periods? *List all mentioned here then enter by year as appropriate* 1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 90. None	1				
		2				
		3				
		4				
		5				
		6				
		7				
		8				
		9				
		10				

How much do you agree with the following statement, as applicable in the given time period?
Totally disagree with statement
Disagree
Undecided
Agree
Totally agree with the statement

		Time period			
		1	2	3	4
C14	Statement	Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	The activities by CSOs in general have				

	Time period			
	1	2	3	4
	Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
contributed to peaceful co-existence amongst the various communities in this area				

Thank you very much for your cooperation and participation in the survey.

END

ANNEX IV: Profile of team members

Team Leader, Simon Richards

Simon Richards has over 20 years' experience managing social development and humanitarian programs for diverse international organizations across Africa, Asia and the Pacific. Richards is a seasoned conflict specialist with expertise in conflict assessment, analysis, prevention, management, training, reduction and peacebuilding. Over the past two decades his technical work has focused particularly on the areas of: conflict management stabilization and peacebuilding through programming and the provision of technical and strategic advice to all parties including the extractive industry, International and National NGOs and governments. He brings substantive experience in civil society strengthening, governance, institutional development, strategic and community development, capacity building and NGO training, monitoring and evaluation, as well as personnel management for large international development projects. He holds a Master of Science in Development Studies from Deakin University.

Senior Conflict Specialist /Team Member, Sarah Bayne

Sarah Bayne has over twelve years of experience in the fields of peacebuilding and conflict-sensitive development, engagement in fragile states and armed violence reduction with a particular emphasis on EU external policy. She combines experience of working for donors and non-governmental organizations in Europe and Africa with a strong track record in providing high quality consultancy services. Sarah's past clients have included: DFID, European Commission, Sida, UNDP, European Center for Development Policy Management (ECDPM), Department for Peace Studies - Bradford University, Saferworld, OECD DAC, Norwegian Refugee Council and CARE International. Further, she has expertise in applied and policy research; conflict assessments; advocacy and communications; program reviews and evaluation. She has field experience in Kenya, Uganda, Sudan and Somalia. Sarah holds a Master of Science Degree in International and European Politics from Edinburgh University.

Conflict Specialist/Team Member, Daniel Kiptugen

Daniel Kiptugen is a highly qualified conflict specialist with over 23 years of experience, knowledge and skills in program management and community development work and extensive expertise in conflict sensitive development, peacebuilding and conflict management. Daniel has worked closely with government ministries, INGOs, CBOs and communities in Kenya and Horn of Africa region. Until May 2013, Daniel was the Head of Kenya and Horn of Africa Program at Saferworld Kenya, an independent international organization working to prevent violent conflict and build safer lives. While at Saferworld, he facilitated and oversaw a number of initiatives at the regional and country level. Daniel has been a member of the Kenya Country Conflict Early Warning Response unit at the National Steering Committee on Peacebuilding. Most recently, Daniel provided an oversight role in the DFID Kenya supported Saferworld's Election Security Project and also played a key advisory role in the USALAMA led project that is pushing for positive security service reforms. In December 2012, he was awarded with the Head of State Commendation for his dedicated service to the Kenyan people with a special focus on his conflict management, peace and development work.

Technical Advisor, Conflict Mitigation Theory-of-Change Advisor, Terrence Lyons

Terrence Lyons is a world-renowned conflict prevention, mitigation and response specialist whose professional career has focused on conflict resolution in Africa, with particular attention to the Horn of Africa. Lyons has consulted for the U.S. government, World Bank, United Nations, International Crisis Group, Freedom House, Global Integrity, Council on Foreign Relations, Carnegie Corporation of New York, National Democratic Institute, and other government and non-governmental organizations on issues relating to conflict and democratization. Currently, he is Associate Professor in the School for

Conflict Analysis and Resolution at George Mason University in Arlington, Virginia. Lyons is also Co-Director of the Center for Global Studies at George Mason University and Senior Associate and Co-Chair of the Ethiopia Policy Forum at the Center for Strategic and International Studies in Washington, DC. Additionally, Lyons lectures as a Visiting Professor at the Center for Human Rights at Addis Ababa University in Ethiopia. Lyons is a frequent Lecturer at the Rift Valley Institute having taught courses on the Horn of Africa in Mombasa, Kenya (June 2012), Lamu, Kenya (June 2009), and Djibouti (October 2008). In February 2007, he served as a resource person and panelist at the United Nations Peacebuilding Commission Working Group at the Sierra Leone meeting on Elections.

Conflict Specialist/Team Member - Winnie Wambua

Ms Winnie Wambua is mature development professional with more than 8 years of experience in the areas of governance, democracy, human rights, voter and civic education, election capacity, national cohesion, peacebuilding and conflict transformation with excellent analytical, conceptual and strategic thinking, writing skills for research, proposals, reports as well as communication purposes. She has extensive experience and proven expertise in capacity and institutional development; multi-stakeholder facilitation;; project management; planning, monitoring, Evaluation and Learning; grant management, quantitative and qualitative research, and financial management including budgeting and tracking, logical framework planning among others. She has broad experience in both government and non-governmental organizations.

Conflict Specialist/Team Member - Mannasseh Wepundi

Manasseh Wepundi has over 10 years' experience in the peace and security sector in Eastern Africa. Most of his focus has been on human security research including focus on conflict assessments, small arms dynamics, application of conflict sensitive methodologies, crime research, and the evaluation of peacebuilding interventions. He has worked with the Small Arms Survey, Geneva in small arms research; UNDP-Kenya (as a monitoring and evaluation specialist), besides consulting for different government and non-governmental organizations in peacebuilding issues. He has several publications to his name including special reports, manuals, situation reports and policy briefs. He holds a Master of Arts Degree in International Studies.

ANNEX V: Roles and Responsibilities

Team Member	Roles and Responsibilities
Simon Richards Team Leader	Overall Responsibility Conduct Methodology Design Conduct KII Interviews Conduct GD Interviews Desk Review Analysis Overall Report Writing
Terrence Lyons Technical Lead	Technical Input Methodology Design Conduct Desk Review Analysis Ensure Best practice Academic References and Input Oversight on Report and Quality of evidence
Daniel Kiptugen Team Member	Methodology Design Conduct KII Interviews Conduct GD Interviews Conduct Desk Review Conduct Analysis Section Report Writing Cross-cutting oversight Conflict sensitivity
Sarah Bayne Team Member	Methodology Design Conduct KII Interviews Conduct GD Interviews—women's team Desk Review Analysis Section Report Writing Cross-cutting oversight Gender
Manasseh Wepundi Team Member	Methodology Design Cross-cutting oversight Survey Conduct KII Interviews Conduct GD Interviews Conduct Desk Review Section Report Writing
Winnie Wambua Team Member	Methodology Design Conduct KII Interviews Conduct GD Interviews—women's team Conduct Desk Review Section Report Writing

ANNEX VI: Key informant interviews (initial draft)

Name	Title/Position	Institution	Covering Theories of Change
Dr Kibunjia	Former Chairman	NCIC	1,4,5,6,8,9,10
Alice Nderitu	Commissioner	NCIC	1,4,5,6,8,9,10
Hassan Sheik Mohammed	Ex Secretary	NCIC	1,4,5,6,8,9,10
Guyo Liban	HOD Reconciliation	NCIC	
SK Maina		NSC	1,4,5,6,8,9,10
Magotsi		NSC	1,4,5,6,8,9,10
Peter Mwamachi	Situation Room	NSC	1,4,5,6,8,9,10
Steve Kirimi	CEO	Peacenet	1,2,3,4,,5,6,7,8,9,10
Stephen Kadenyo	Manager	Peacenet	1,2,3,4,,5,6,7,8,9,10
David Kimaiyo	Inspector-General	Kenya Police Service	1,4,6,9
Mutea Iringo	Principal Secretary	Internal Security	1,4,6,9
Susy Ibutu	Director Programs	NCCK	1,4,6,10
Adan Wachu	Chair	SUPKEM	1,4,6,10
Latif Shaban	Secretary	Supreme Council of Muslim	1,4,5,6,8,9,10
Abbas Gullet	Secretary of General	Kenya Red Cross	1,3,4,5,6,7,8,
Daudi Were	ihub	Ushahidi	4,6,
Rachael Brown	CEO	Sisi Ni Amani	4,6
Irene Tulel		Independent Electoral and Boundaries Commission	1,
Linus Onyango	(IEBC	Independent Electoraland Boundaries Commission	1,
Kawive Wambua	Director	CRECO	
Lucy Ndungu	Coordinator	Partnership for Peace and Security	1,4,5,6,8,9,10
Victor Bwire	Dep CEO	Media Council	4,6
Dominic Ruto		UNDP/Drought Monitoring Authority	1,2,3,4,,5,6,7,8,9,10
Dr Roba Sharamo	Team Leader	UNDP	1,2,3,4,,5,6,7,8,9,10
Dan Spealman		USAID	1,2,3,4,5,6,7,8,9,10
Monica Azimi		USAID	1,2,3,4,5,6,7,8,9,10
Sam Kona		USAID	1,2,3,4,5,6,7,8,9,10
Bett Mugo		USAID	1,2,3,4,5,6,7,8,9,10
John Langlois		OTI/USAID	1,2,3,4,5,6,7,8,9,10
?? MaKena		USAID	1,2,3,4,5,6,7,8,9,10
Karen Freeman	Mission Director	USAID	1,2,3,4,5,6,7,8,9,10
Jebiwot Sumbeiywo	CoP	IRC	1,2,3,4,5,6,7,8,9,10
Kassie		Ex Pact	1,2,3,4,5,6,7,8,9,10
Maurice Amolo		Mercy Corps	1,2,3,4,5,6,7,8,9,10
Celine Korir		CHF	1,2,3,4,5,6,7,8,9,10
Grace Ndungu		CRS	1,2,3,4,5,6,7,8,9,10
		Internews	4,6,9
Betty Maina	CEO	KEPSA (Private Sector)	1,2,3,4
Camilla Sugden		Dfid	1,2,3,4,5,6,7,8,9,10
		EU	1,2,3,4,5,6,7,8,9,10
Njeri Karuru	Senior Program Officer	DRC	Future
Houghton Irungu		Steering Committee for Concerned Kenyans for Peace, Ex pan	Future
Mugo Kibati	Director General	Vision 2030	Future
Ernest Munyi		Regional Commisioner for Coast	1,2,3,4,5,6,7,8,9,10
Warfa Hassan		Regional Commisioner for Rift Valley	1,2,3,4,5,6,7,8,9,10
Juma Assiago	Coordinator	Global Network on Safer Cities	Future
Patrick Ochieng	Director	KNFP on Small Arms	uture
Florence Mpaayei	EX-CEO	NPI	1,2,3,4,5,6,7,8,9,10
Kentice Tikolo	Chair	Public Relations Society of Kenya	1,2,3,4, Future
Otieno Ombok	Freelancer	Peace Campainer	1,2,3,4,5,6,7,8,9,10
Dr. Ekuru Aukot	Director Committee of Experts	Constitutional Review	Future
Kennedy Masime	Chair	Election Observers Group (ELOG, CEO CDG	Future

	COAST Region		1,2,3,4,5,6,7,8,9,10
Nelson Marwa	County Commissioner Mombasa	Provincial Admisntration	1,2,3,4,5,6,7,8,9,10
Evans Achoki	County Commissioner Kwale		1,2,3,4,5,6,7,8,9,10
Maalim Mohamed	County Commissioner Kilifi		1,2,3,4,5,6,7,8,9,10
Patrick Ochieng	Ujamaa Centre		1,2,3,4,5,6,7,8,9,10
Phylis Muema	CEO	KECOSCE	1,2,3,4,5,6,7,8,9,10
Suleiman	Coordinator	PeaceNet Coast Region	1,2,3,4,5,6,7,8,9,10
Rahma	CEO	Muhuri	1,2,3,4,5,6,7,8,9,10
Jane Jilani	Coordinator	NCCK	1,2,3,4,5,6,7,8,9,10
Sheikh Dor	Chair	CIPK	1,2,3,4,5,6,7,8,9,10
Rev. Fr. Lagho	Chair	CICC	1,2,3,4,5,6,7,8,9,10
Rev. Anyenda	CEO	CICC	1,2,3,4,5,6,7,8,9,10
Phelix Lore		Haki Zetu Centre	1,2,3,4,5,6,7,8,9,10
	NAKURU/ Naivasha		
Apollos Machira	CEO	CCR	1,2,3,4,5,6,7,8,9,10
Ngetich	Program	NCCK	1,2,3,4,5,6,7,8,9,10
Father Waweru	Coordinator	CJPC	1,2,3,4,5,6,7,8,9,10
Kinuthia Mbugua	Governor	Nakuru County	1,2,3,4,5,6,7,8,9,10
Odour	County Commander -Police	Nakuru County	1,2,3,4,5,6,7,8,9,10
Hillary Korir	Director	Caritas	1,2,3,4,5,6,7,8,9,10
Mary Achieng' Oyath	Project Officer	CJPC	1,2,3,4,5,6,7,8,9,10
Mr. J Kavita	District Commissioner	Molo District	1,2,3,4,5,6,7,8,9,10
Mr. Silas G. Gatobu	District Commissioner	KuresoiDistrict	1,2,3,4,5,6,7,8,9,10
Agnes Mwamburi	CEO	DGP	1,2,3,4,5,6,7,8,9,10
Mohamed Birik	County Commissioner	Nakuru	1,2,3,4,5,6,7,8,9,10
Dr. Wanguru	Peace Monitor	Nakuru County	1,2,3,4,5,6,7,8,9,10
Mama Rjab	DPC	Banita Settlement	1,2,3,4,5,6,7,8,9,10
	ELDORET		
Cornelius Korir	Bishop	Catholic Diocese of Eldoret	1,2,3,4,5,6,7,8,9,10
Rtd. Major Seii	Chair	Kalenjin Council of Elders	1,2,3,4,5,6,7,8,9,10
	Chair	Kikuyu Council of Elders	1,2,3,4,5,6,7,8,9,10
Rev. Fr. George Okoth	Director	Caritas	1,2,3,4,5,6,7,8,9,10
Samuel Kosgei	Project Officer	CJPC	1,2,3,4,5,6,7,8,9,10
Florence Njeri	Community Mobilizer	CJPC Tarakwa	1,2,3,4,5,6,7,8,9,10
Abdi Hassan	Uasingishu County Commissioner	Eldoret West	1,2,3,4,5,6,7,8,9,10
	BUNGOMA/MT. ELGON		
Albanus Muga	Coordinator	CJPC	1,2,3,4,5,6,7,8,9,10
Emmanuel Were	Program Officer	CBO - Against Torture	1,2,3,4,5,6,7,8,9,10
Francis Mauyaw	Chair	Community Policing	1,2,3,4,5,6,7,8,9,10
Lazarus Pepea	Peace Data Analyst	NSC	1,2,3,4,5,6,7,8,9,10
Jackline Wamalwa	Women/Gender	CJPC	1,2,3,4,5,6,7,8,9,10
Edwin Kilong	County Peace Monitor	NSC	1,2,3,4,5,6,7,8,9,10
Kenneth Lusaka	Governor	Bungoma County	1,2,3,4,5,6,7,8,9,10
	Nairobi Region		
John Elungata	District Commissioner	Langata District	1,2,3,4,5,6,7,8,9,10
George Natembeya	District Commissioner	Kiambiu	1,2,3,4,5,6,7,8,9,10
Mary Moi	DPC Chair	Mathare	1,2,3,4,5,6,7,8,9,10
Nyabuto Omache	Chief	Korogocho	1,2,3,4,5,6,7,8,9,10
Alfonse Abong'o	Cohesion Champions	Change Agents (Mathare)	1,2,3,4,5,6,7,8,9,10
Rose Mbone	Cohesion Champions	Korogocho	1,2,3,4,5,6,7,8,9,10
Nicera Wanjiku	CBO	Young Women Initiatives (Kibera)	1,2,3,4,5,6,7,8,9,10
Peter Mwangi	CBO	Miss Koch (Korogocho Baba Ndogo)	1,2,3,4,5,6,7,8,9,10
Joseph Opiyo	CBO	Umbrella Youth Group (Kiambiu)	1,2,3,4,5,6,7,8,9,10
Father Webotsa	Catholic Priest	Korogocho	1,2,3,4,5,6,7,8,9,10
Dr. Evans Kidero	Governor/Dep.	Nairobi	1,2,3,4,5,6,7,8,9,10

ANNEX E.

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ANNEX F.

SELECTED SURVEY DATA

Selected Survey Data
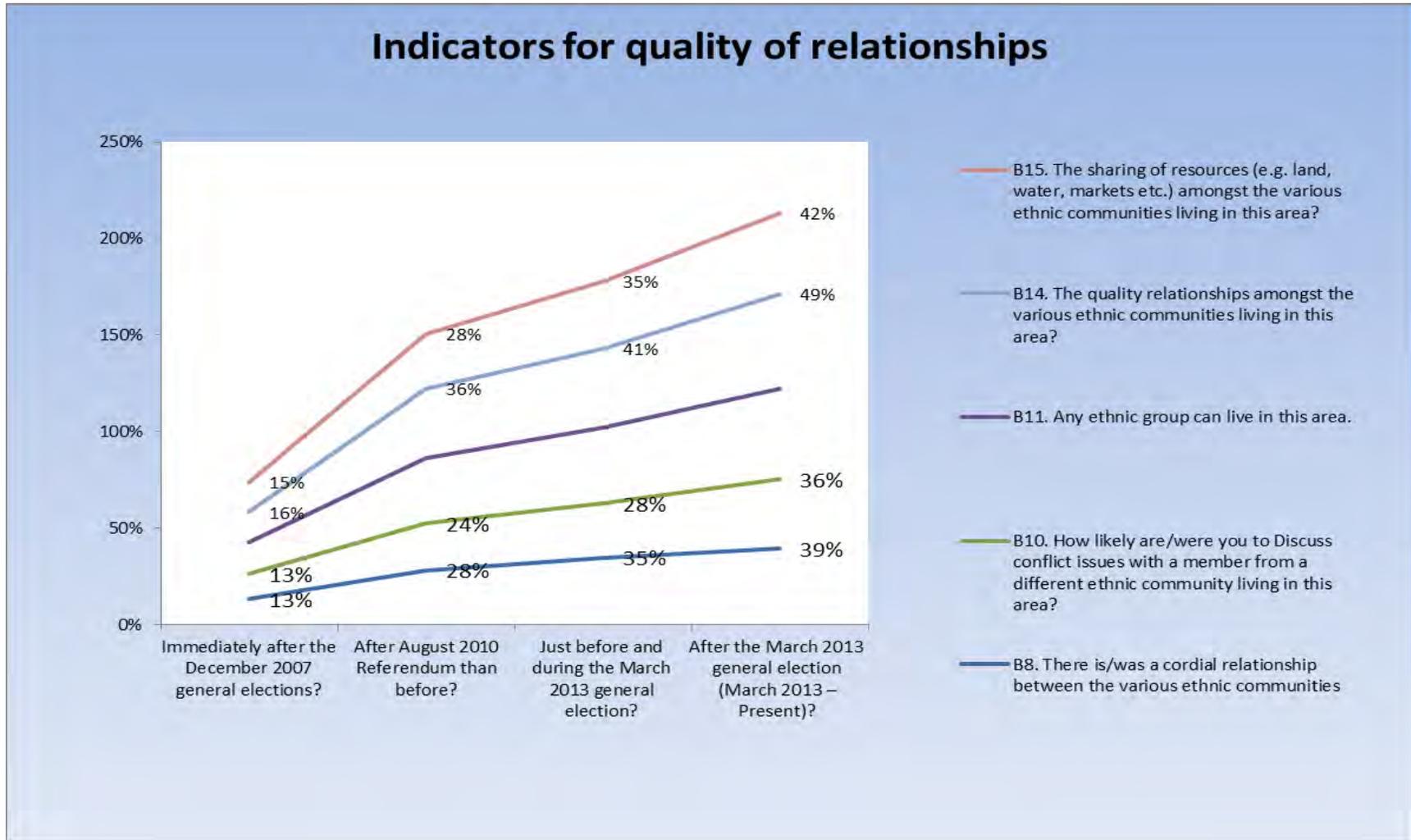
ANNEX G.

BUILDING PEACE—
JEAN–PAUL LEDERACH

System

Subsystem

Relationship

Issue

LEVEL OF RESPONSE

Root Cause
What are the root
causes of the crisis?

Vision
What are the social structures
and relationship we desire?

Transformation
How do we get from
crisis to desired change?

Crisis Management
How do we manage
the immediate crisis?

Prevention
How do we prevent the
crisis from recurring?

Desired Future

Crisis
Intervention

Preparation
and Training

Design of
Social Change

Immediate
Action
(2-6 months)

Short-range
Planning
(1-2 years)

Decade
Thinking
(5 to 10 years)

Generational
Vision
(20+ years)

TIMEFRAME OF ACTIVITY

Source: John Paul Lederach, *Building Peace:* Sustainable Reconciliation in Divided Societies
(Washington, DC: United States Institute of Peace Press, 1997), p. 80.

ANNEX H.

TARGETS OF OPPORTUNITY

The nature of grants

From a total of 306 grants under KCSSP, 110 were disbursed through the mechanism with the only apparent common feature being the short-term nature of the activity. The majority (97 of 110) took place over three months or less. A wide range of different types of grant activity was funded, as evidenced by the KCSSP list of grants,* which *appear* to reflect flexibility and program innovation. It is difficult, however, to grasp the full nature of the grants as descriptions in the list of grants are confusing and activity titles often do not appear to accurately reflect the types of activity described. In light this, it may be worth also analyzing the extent and balance to which grants have been:

- Opportunistic *vs.* strategic and simultaneously opportunistic

    o Rapid Response "one-off" grants *vs.* being linked to follow-up or longer-term grants

- Scale or number of beneficiaries *vs.* Impact

- Piloting *vs.* scaling-up of innovation

- Geographic grant distribution and focus vs. geographic civil society capacity (as opposed to being a reflection of needs). An approximate tally suggests that grants were disbursed as follows; 26 Coast, 22 national, 20 Nairobi, 19 Rift, 23 other.†

These findings suggest while responsive in nature, TOOs could have been used to contribute more purposefully to the national picture with respect to conflict and election stability.

Out of the 33 grants randomly selected and reviewed, nine (27%) were on devolution & governance; seven (21%) on land issues; 15 (45%) on electoral or ethnic violence; four (12%) on voter education and civic awareness.

Self-perceived achievements from the TOO reports

- There was enhanced safety and security through joint initiatives by communities and the government.
- Interethnic tolerance and peaceful coexistence was observed in previously volatile regions such as Molo, Mt Elgon, Coast, Sondu, Kisumu etc.
- Communities embraced women's participation in elective politics and engaged leaders at the devolved levels of county governance to ensure transparency and accountability.
- Grants supported strengthening of county governments through capacity building for county officials.
- Youth gangs (for example in Coast and in Kisumu) that were previously hired by politicians to cause chaos received civic education and in some regions were engaged in sporting events and camps that shifted their attention from idleness to more meaningful engagement.
- Interventions aimed at peaceful coexistence between the communities and IDPs were reported to have significantly contributed to peaceful elections, with IDPs exercising their voter rights to cast their votes in the 2013 elections.
- Political rivalry was quelled through the grants that brought warring political factions to joint events and grants facilitated joint forums for political parties to discuss issues and show unity to the citizens.

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*CSSP Thumbnails.

†This is approximate because a variety of areas may be covered by one grant, or the extent of coverage is unclear.

- Media monitoring activities implemented through the grant were instrumental in mitigating hate speech and public incitement.
- Implementation of early warning systems was instrumental in raising alarm before eruption of violence.

ANNEX I.

PEACE MESSAGING "GAP MAP"

	Kiberia	Korogocho	Mombasa	Kwale	Kilifi	Bungoma	Molo	Kursesoi	Nakuru	Naivahsa
Uiano (NSC), CBO/ NGO-led or supported messaging (including youth groups and women's groups)										
Door-to-door campaigns			X					X		X
Caravans theater/ Cinema shows/ public preaching / sports events	X	X	X	X	X	X	X		X	X
T-shirts, headgear, wristbands, etc.	X	X	X	X	X		X	X	X	X
Posters, banners and flags, billboards	X	X	X	X	X	X	X	X	X	X
TV and radio messages, newspapers (shows, etc.)	X	X	X	X	X	X	X	X	X	X
SMS blasts and/ or social media	X	X	X	X	X	X	X		X	X
Boda boda / Matatu operators		X								X
Private sector										
Billboards		X	X							X
Preaching peace			X							
Political leaders preaching peace (e.g., encouraging calm before the election, while awaiting results and in accepting the results)										
Political leaders (via media, SMS, preaching)	X		X		X	X				X

	Kiberia	Korogocho	Mombasa	Kwale	Kilifi	Bungoma	Molo	Kursesoi	Nakuru	Naivahsa
Administration-led										
Chiefs / leaders (barazas, door to door campaigns)	■	■	■	■	■	■	■			
Religious leaders										
Religious leaders	■	■	■	■	■	■	■	■		■

ANNEX J.

RSA FIELDWORK REPORT

FIELDWORK REPORT

Evaluation Survey on Contribution of Various Stakeholders in Peacebuilding - Kenya

by

Research Solutions Africa (RSA) Ltd

November 2013

Contents

Executive summary

This report gives an overview of how the primary data was collected in the quantitative component of the ***Evaluation Survey on Contribution of Various Stakeholders in Peacebuilding in Kenya***, in the period between 11th and 21st October 2013. It outlines the methodology used during the data collection, the teams involved, the challenges encountered and how these were mitigated.

During the implementation of the fieldwork, a total of 33 enumerators were identified for the training, out of which 30 were finally selected to participate in the survey. Overall fieldwork supervision was provided by RSA field supervisor and the Project Manager.

By the end of the exercise, a total of six counties, 12 districts, 24 divisions, 48 locations and 48 sub-locations/villages in Kenya had been visited. The final output data shows that of the targeted 1,200 interviews, a total of 1,255 successful interviews were administered.

Introduction

Research Solutions Africa was sub-contracted by MSI to undertake data collection and processing activities in *the Evaluation Survey on Contribution of Various Stakeholders in Peacebuilding in Kenya,* under an activity on the conflict mitigation, reconciliation and peacebuilding activities, implemented by the USAID/Kenya's Democracy, Rights and Governance Office (DRG) through a number of its local partners[105].

The survey was funded by USAID and strove to gather information from household respondents living in randomly selected districts in six counties of Kericho, Uasin Gishu, Mombasa, Nairobi, Nakuru and Nandi. It was aimed at informing the USAID/ Kenya DRG Office on what approaches in the activity were most effective and sustainable. In particular the survey was to assess and provide answers to six key questions, i.e.: (a) In what ways did USAID/Kenya conflict mitigation *approaches* contribute to peace during the 2013 General Election? (b) To what extent had these identified *approaches* addressed root causes of conflict? (c) To what extent had attitudes and perceptions of individuals and communities changed toward peace and conflict in the targeted areas? (d) What components were likely to continue to influence conflict mitigation after program closure? (e) To what extent did USAID/Kenya strengthen civil society organizations', especially local partners' ability to implement and manage conflict mitigation programs? And (f) What key lessons and good practices could be identified for future USAID/Kenya conflict mitigation and civil society strengthening programming?

The findings of the were to inform USAID/ Kenya DRG Office's focus on its devolution as it continued to work with local civil society organization, in a way that was meaningful and cost effective.

This report describes how the quantitative data collection activities in the survey were implemented by RSA. It starts by giving a summary of the Setup Activities that were implemented before the commencement of fieldwork. These included Drafting, Translation and Programming of the Survey Questionnaire; Recruitment of Enumerators; Sampling; Enumerator Training, Piloting and Finalization of the Survey Questionnaire; and Selection of the Final Team of Data Collectors to engage during fieldwork. Section 2 is on actual Fieldwork. It describes how the Quantitative data collection component of the survey was implemented; the distribution of the various fieldwork teams, and the final outputs from the fieldwork. It is followed by Section 3 on the Survey Challenges, and how we handled and/or mitigated them, and the Conclusion in Section 4.

Included in the Annex are: the Enumerator Training Program; the List of Participants during the enumerator training; the Survey Household Questionnaire (English version only), and the Screener as used during the selection of target household respondents in the survey.

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[105]Such partners included PACT, Mercy Corps, CHF International, International Rescue Committee, Catholic Relief Services, and Internews.

Setup Activities

The set up activities in this survey included the drafting, designing and finalization of the survey questionnaire; translation of the final English-version questionnaire into Kiswahili and Kalenjin; programming of the survey questionnaires into the phones; sampling of the enumeration points per county; recruitment of the survey enumerators; enumerator training, piloting and finalization of the survey questionnaire; and selection of the final data collection team members in the survey.

Each of these activities is discussed below:

Drafting, designing, and finalization of the survey questionnaire

We did prepare the initial draft of the survey questionnaire, and shared the same with the MSI activity team for comments and possible improvements. By the time we had the final version of the survey questionnaire, we had drafted a total of 10 other versions, each incorporating the various comments and related inputs from the MSI survey team and USAID.

The English version of the final questionnaire is included with this report, as Annex IV.

Translation of the survey questionnaire

We translated the final English version of the survey questionnaire into Kiswahili and Kalenjin, using the MAPI approach. A total of three independent translators took part in the translation of each of the local languages.

 In the said approach, two independent translators who must not have seen the English version of the question before the translation process undertake forward translation from English into the target local language. Once this is done, the two then come together to compare their independent translations for any noted variations. They would discuss and agree on the most appropriate terms and/or phrases to use for all points of divergence, and in the process generate a harmonized final version of the forward translation. It is this harmonized version that would then be back-translated into English by the third translator who should not have seen the original English version of the questionnaire. Once this is done, the three translators meet to review and compare the back translation against the original English version of the questionnaire, and edit as appropriate any terms/phrases that might have been used wrongly leading to different interpretations as witnessed in the back translation. The review would be done on the harmonized forward translation. This would lead to the final version of the local language translation as discussed and resolved by the three independent translators. A senior project team member (project manager, field supervisor, etc) would chair each of the meetings to resolve points of divergence.

The need and choice of the local language translations was informed by our understanding and projection that some of the target household respondents in the target counties of Mombasa, Uasin Gishu, Nakuru, Nandi, Kericho, and Nairobi may not be able to effectively communicate in English during survey interviews. The enumerators were to verify the fluency of target respondents in any of the three survey languages, and then pick as appropriate the version that was most appropriate. Once a given language had been picked, the same was used throughout the administration of the interview in question. All the three language versions of the questionnaire were programmed into the survey software as describe in Section 1.3 below.

We shared with the MSI team the final versions of the local language translations of the questionnaire.

Programming of the finalized survey questionnaire into the HHDs

We programmed into the survey software, each of the three language versions of the questionnaire, for subsequent use during data collection activities using the Huawei IDEOS and Samsung Android phones.

To confirm the accuracy and completeness of each of the soft-versions of the questionnaire we implemented several independent mock interviews using the phones to detect and correct as appropriate, any likely errors and/or issues that needed attention before the actual fieldwork.

We used 'Dooblo survey to go' software to undertake programming in the HHD-data collection approach.

Sampling

To undertake the general population survey of 1,200 respondents in the six target counties of Mombasa, Uasin Gishu, Nakuru, Nandi, Kericho and Nairobi we designed our approach such that overall, we needed to visit six counties, 12 districts, 24 divisions, 48 locations and 48 sub-locations/villages. To arrive at these figures, we planned to target two districts per county, two divisions per district, two locations per division, and one sub-location/village per location.

In the design, we targeted a total of 25 respondents per village/sub-location, hence 200 respondents per county.

Figure 1 below illustrates this stratified selection of sampling points per county.
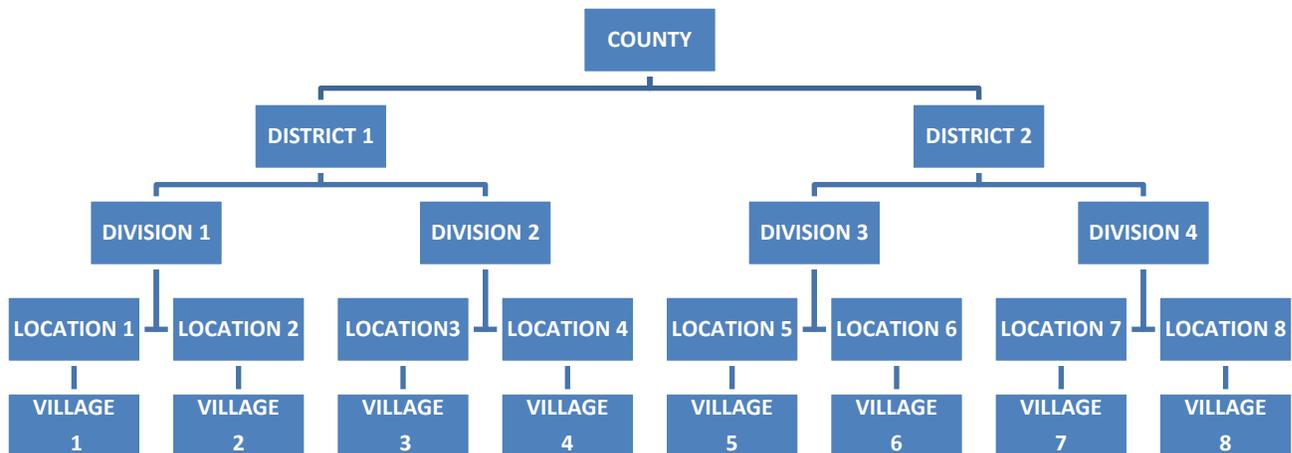
Figure 1: *The proposed stratified sampling structure for the quantitative phase of the survey*

To implement this sampling design, we used a multi-faceted sampling approach involving both purposive and random sampling approaches, at three distinct levels, to determine the target enumeration areas (EAs), the target households per EA and the target respondents per household.

The sampling approach at each of these levels is described below:

Determination of the target enumeration areas

To determine the target EAs in the survey, we used both purposive and simple random sampling techniques.

Using the summary of projected number of activity beneficiaries by partner organizations, as provided to us by the MSI activity team, we purposively identified all the districts with relatively higher numbers of beneficiaries, to develop a list of districts from where to randomly select our target districts in the survey. We particularly ensured that the beneficiary numbers were read against the activities as implemented by the six local partner organizations in the activity: PACT, CHF, Mercy Corps, IRC, CRS and Internews. Once this had been done, we then randomly (simple random selection) selected two target districts for each of the six target counties in the survey. In each of such districts so selected, we again applied simple random sampling technique to select two target divisions. We relied on the current listing of the administrative areas in Kenya as given by the Kenya National Bureau of Statistics (KNBS). Since an accurate listing of the administrative units in the said reference stopped at the divisional level, we pre-selected all our target sampling units up to this level.

Table 1 below gives the survey sample distribution up to the divisional level as described.

FINAL SAMPLE DISTRIBUTION IN THE MSI EVALUATION SURVEY - KENYA

Team	County		District			Division			Location		Sub-Location	
	Name	N	#	Name	N	#	Name	N	Name	N	Name	N
1	KERICHO	200	1	KERICHO	100	1	AINAMOI	50		25		25
										25		25
						2	BELGUT	50		25		25
										25		25
			2	KIPKELION	100	3	KIPKELION	50		25		25
										25		25
						4	CHEPSEON	50		25		25
										25		25
	SUB-TOTAL	200	2		200	4		200	8	200	8	200
2	NAKURU	200	1	NAKURU	100	1	MUNICIPALITY	50		25		25
										25		25
						2	LANET	50		25		25
										25		25
			2	MOLO	100	3	MOLO	50		25		25
										25		25
						4	ELBURGON	50		25		25
										25		25
	SUB-TOTAL	200	2		200	4		200	8	200	8	200
3	NANDI	200	1	NANDI NORTH	100	1	KIPKAREN	50		25		25
										25		25
						2	KABIYET	50		25		25
										25		25
			2	NANDI EAST	100	3	LESSOS	50		25		25
										25		25
						4	NANDI HILLS	50		25		25
										25		25
	SUB-TOTAL	200	2		200	4		200	8	200	8	200
4	UASIN GISHU	200	1	WARENG	100	1	KESSES	50		25		25
										25		25
						2	KAPSERET	50		25		25

Team	County Name	N	District #	District Name	N	Division #	Division Name	N	Location Name	N	Sub-Location Name	N
										25		25
						3	AINAPKOI	50		25		25
			2	ELDORET EAST	100					25		25
						4	MOIBEN	50		25		25
										25		25
	SUB-TOTAL	200	2		200	4		200	8	200	8	200
						1	**KASARANI**	50		25		25
				NAIROBI NORTH	100					25		25
						2	**STAREHE**	50		25		25
	NAIROBI	200								25		25
						3	**MAKADARA**	50		25		25
				NAIROBI EAST	100					25		25
						4	**EMBAKASSI**	50		25		25
										25		25
	SUB-TOTAL	200	2		200	4		200	8	200	8	200
						1	KISAUNI	50		25		25
			1	KISAUNI	100					25		25
						2	ISLAND	50		25		25
5	**MOMBASA**	200								25		25
						3	LIKONI	50		25		25
			2	LIKONI	100					25		25
						4	LONGO	50		25		25
										25		25
	SUBTOTAL	200	2		200	4		200	8	200	8	200
TOTAL		1200	12		1200	24		1200	48	1200	48	1200

The applicable target sampling points at the location and sublocation level were determined in the field, by the team leaders in consultation with the local administrators like village elders, assistant chiefs, chiefs, District Officers (Dos), etc. This was done during the courtesy calls by the team leaders to the respective officials during the visits by the survey teams to the respective administrative units, as appropriate.

Identification of the target households in the survey

The number of households to target in the survey was equal to the number of target respondents in the survey—that is, 1,200.

We employed systematic random sampling approach, and followed the left hand rule in our random walk pattern. The applicable skipping interval at each EA was determined by the team leaders at the EA level, based on the observable distribution of the target households.

Overall, the applicable skipping interval ranged from 1 to 10; EAs with a higher concentration of households had higher intervals, while those with low concentrations had low intervals.

See Table 2 below for the actual intervals used in each of the EAs in the survey.

The data collection team operated in sub-teams of 5 enumerators and one team leader. The team leader for each sub-team identified the starting point for the random walk by the sub-team enumerators per EA. Each such point had to be a landmark which was easily recognizable, e.g. a main road junction, a church, mosque, school gate, etc. The team leader also had to determine an appropriate skipping interval for the EA before the team commenced the walk pattern.

Once the team leader had determined the start point, the respective enumerators walked in a '✚' pattern so that two members generally walked counter to each other; as the first enumerator walked toward the East, the second one walked toward the West; and as the third one walked toward the North, the fourth one walked toward the South. The fifth enumerator was assigned to the quadrant with a relatively higher concentration of households in the EA. This way all quadrants with the most number of households had two enumerators.

From the starting point, each enumerator skipped a given number of households as determined by the team leader, before reaching the target household. Once the target household had been determined, the enumerator introduced him- or her-self, the study and thereafter requested the contact person to help him/her capture all the household members aged 18 years and above. The enumerator then used the applicable screener to identify the appropriate target household respondent, and thereafter requested the contact person if he/she could speak to identified respondent. However, in case of an outright refusal, we substituted the household with the immediate next household, in the general direction of the walk pattern. This process continued until each enumerator achieved his/her set quota for the day, and/or the sub-team achieved its set quota for the EA.

However, in instances where the '✚' walk pattern could not apply for example in EAs where households were distributed in a linear or such like pattern, e.g. along a river, road, etc, the enumerators were distributed such that there was a fair distribution of the target respondents in the entire EA without an obvious over-concentration in any section of the village or sub-location.

Table 2: *Summary of the skipping interval as applied during the systematic random selection of households in the survey*

Counties	Districts	Divisions	Locations	Sub-Locations / Villages	Skipping Interval Used
Kericho	Kericho	Ainamoi	Kapsoit	Kapsoit	3
			Nyagacho	Kipchimchim	3
		Belgut	Kaborok	Kaborok	3
			Waldai	Sosiot	3
	Kipkelion	Kipkelion	Kipkelion	Kipkelion Town	3
			Macheisok	Matarmat	1
		Chepseon	Chepseon	Chesinende	3
			Kapseger	Chepsir	3
Mombasa	Kisauni	Island	Makupa	Baharini	3
			Tudor	Moroto	3
		Kisauni	Barsheba	Barsheba	3
			Kisauni	Msikitini	3
	Likoni	Likoni	Likoni	Manyatta	3
			Majengo Mapya	Misufini	3
		Longo	Mtongwe	Midodoni	3
			Mwenza	Mwenza	4
Nairobi	Nairobi East	Embakassi	Dandora	Dandora	3
			Kayole	Soweto	3
		Makadara	Makadara	Makadara	4
			Mukuru Kwa Reuben	Mukuru Kwa Reuben	4
	Nairobi North	Kasarani	Mwiki	Mwiki	4
			Zimmerman	Zimmerman	3
		Starehe	Mathare	Huruma	10
			Pangani	Mlango Kubwa	10
Nakuru	Molo	Elburgon	Maishani	Maishani	4
			Matwiku	Matwiku	4
		Molo	Kasino	Kasino	4
			New Location	New Location	4
	Nakuru	Lanet	Murunyu	Murunyu	1
			Wanyororo	Wanyororo	1
		Municipality	Kaptembwa	Kaptembwa	4
			London	London	4
Nandi	Nandi North	Kabiyet	Kabisaga	Kabisaga	3
			Kabiyet	Kabiyet	5
		Kipkaren	Kipkaren	Kapserton	5
			Laboret	Laboret	5
	Nandi East	Lesos	Koilet	Cheptuingeny	1

Counties	Districts	Divisions	Locations	Sub-Locations / Villages	Skipping Interval Used
			Lesos	Lesos	2
		Nandi Hills	Junction	Junction	4
			Kapsoiywo	Kapsoiywo	4
Uasin Gishu	**Eldoret East**	Ainapkoi	Kapsoya	Munyaka	1
			Orlale	Burnt Forest	1
		Moiben	Moiben	Moiben	1
			Tugen	Tugen	1
	Wareng	Kapsaret	Kapsaret	Kapsaret	2
			Pioneer	Pioneer	2
		Kesses	Cheptiret	Cheptiret	1
			Kesses	Kesses	2

Identification and selection of the target household respondents

As indicated above, the enumerators used the household contact persons to identify and list in the screener, all household members aged 18 years and above who currently reside in the household. For each such member so identified the enumerators captured their latest birth day details with respect to the day of visit, and screened for any ineligible candidates. Household members who were very sick/old/drunk to effectively communicate, the deaf/dumb, and those who could not effectively communicate in English, Kiswahili or Kalenjin were to be excluded from the likely target household respondents.

The target household respondent was the person whose birth day was the most recent with respect to the day of our team's visit to the household.

If the identified target respondent was available at the time of visit, and was willing to be interviewed, then the interview proceeded immediately thereafter, otherwise the enumerator in question requested to know when it would be most appropriate to make a call back, to be able to meet the respondent.

We made a maximum of two call backs, so that if the outcome of the last (third) visit was unsuccessful, then we replaced the household. To identify the replacement household in such a case, the enumerator in question continued with the recommended walk pattern, starting at the farthest household from the original starting point for the day, where he/she had a successful interview. Depending on the distances in question, and the general distribution of household in the EA, the enumerator could also change the general direction of the walk pattern, provided care was taken not to venture into an area already covered by another member of the sub-team.

We did not undertake respondent substitution at the household level.

Recruitment of the survey enumerators

We recruited all the field team members from our internal data base of experienced and multiply-tested personnel with whom we have been working over the years.

The data base is made up of all the field staff we have trained and successfully utilized in a number of surveys, both locally and internationally. During our enumerator recruitment and deployment to the

field, we always endeavor to observe gender equity per team and staff levels as much as is possible. We have persons whose ethnic backgrounds cut across almost all the ethnic communities in the country; this has always facilitated our deployment of the field teams to various EAs where there is a likelihood of language being a barrier to effective implementation of the data collection—as was the case in this survey.

In identifying the candidates for the fieldwork activities in the survey we were guided by six key qualities: individual fieldwork experience; level of education; fluency in the target local language of interest; past performance record in similar assignments with RSA, gender and availability during the entire data collection phase.

All fieldwork team members were persons with at least one year's fieldwork experience; had at least tertiary level of education; and were fluent in both written and spoken English, and any other of the two local languages: Kiswahili or Kalenjin. They each confirmed their availability for the training, piloting and fieldwork activities in the survey.

We recruited for the training a total of 15 male and 18 female participants.

Enumerator training, piloting, and finalization of the survey questionnaire

The field team members were taken through detailed two-day training session, a half-day piloting exercise and a half-day pilot de-brief.

Enumerator training

The enumerator training was undertaken at RSA Board Room. The training ran for two days from Friday 11th to Saturday 12th October, 2013.

During the training we discussed in detail the general background of the survey; why the survey was being undertaken in the identified target areas; survey objectives; the survey questionnaire (English version); use of the Phones in administering the interviews; the survey samples (target respondents, sample points and sizes) and the related sampling approaches; the survey timelines; the standard fieldwork procedures to be implemented during fieldwork, including data quality control measures and ethical issues applicable; client expectation of the data collection team; modalities for handling field challenges and related issues; logistical plan in the survey; mode of final team member selection; payment terms and the applicable contracts; and the communication protocol to be used during the survey.

The survey questionnaire review entailed the reading and discussion of each of the questions, and plenary mocking sessions by the enumerators to assess the flow, consistency and appropriateness of the phrases and terms used therein. We used both the paper- and phone-based versions of the questionnaire during the training.

The training was facilitated by the RSA Project Manager (Peter Otienoh), assisted by the Project Supervisor (Collins Athe) and DP Supervisor (Lennox Charles).

A total of 33 enumerators were trained for the fieldwork.

Piloting

After the training, the participants were taken through a half-day piloting exercise in Kangemi, Dagoretti, Riruta Satellite and Uthiru areas of Westlands district, Nairobi County. The pilot was aimed at assessing the training participants' understanding of the survey tool and related processes, and how effective (in

terms of flow, consistency and appropriateness of terms and phrases) the questionnaire was as data capture tool in the survey.

It was implemented on Sunday, 13th October 2013, and a total of 32 participants from the training took part. One member had requested to be excused from the survey, to attend to an urgent academic issue. The participants were grouped into sub-teams as summarized in Table 3 below:

Table 3: *Distribution of the participants during the piloting activity in the survey in Kenya*

MSI CONFLICT EVALUATION PROJECT—PILOTING TEAMS AND DESTINATIONS						
TEAM		**1**	**2**	**3**	**4**	**5**
TEAM LEADERS	**1**	**DANSTONE OGENO**	**BONIFACE WAWERU**	**NICHOLUS KOECH**	**KIVUITU NGOTHO**	**IRENE AKINYI**
ENUMERATORS	**2**	Sasha Jepkemoi	Victor Kipngeno	Elijah Motanya	Washington Bett	Emmanuel Machio
	3	Steve Oyugi	Beatrice Chepkurui	Cynthia Muggi	Nancy Kiare	Micheal Orwe
	4	Florence Atieno	Polycarp Masio	Bryan Ndunda	Susan Wangui	Pauline Oduol
	5	Kelvin Nduati	Maurine Wambui	Virginia Achieng	Caroline Njeri	Paul Sharon
	6	Doreen makona	Brenda Okeyo	Gertrude Senelwa	Faith ndinda	Norah Wekesa
	7				Eric agoi Mbuka	Whitney Gladys
PILOTING SITE		**KANGEMI**	**DAGORETTI**	**RIRUTA SATELLITE**	**UTHIRU**	**KANGEMI** / **TOTAL**
GENDER	**M**	3	3	3	3	3 / 15
	F	3	3	3	4	4 / 17
SUM		6	6	6	7	7 / 32

Pilot de-brief

We had the pilot debrief at the RSA Board Room, from 3:30 to 5:30 p.m., Sunday, Oct. 13, 2013. It was undertaken immediately after the piloting exercise, and was geared at capturing any likely challenges that needed to be addressed before the team was deployed to the field, including any final changes to the questionnaire should there be such a need. Also in attendance during the debrief was Manasseh Wepundi from MSI.

The following observations were reported by the participants during the debrief:

Most of the respondents in all the piloting sites were quite willing to participate in the survey. However, in Kangemi one would-be respondent declined to be interviewed saying that he had been a victim of the post-election violence of 2008, and did not want to talk about it. He said that his house was broken into by members of a certain community, who took almost all his household goods.

Several households were vacant during the piloting period as majority had gone to church. The enumerators had to do a lot of substitutions, to be able to meet the set quota of two.

In Kangemi, one respondent wondered why we were asking questions on household income yet the survey was on peacebuilding issues.

Some of the respondents were not willing to disclose the names of their household members.

In a particular section of Uthiru, almost every available household member in majority of the households was too drunk to participate in the survey; the enumerator in the said section had to do several substitutions before achieving the desired number of interviews.

Two skipping errors and one data-type anomaly were detected in the soft-version of the questionnaire.

Finalization of the survey questionnaire

No changes were made to the questionnaire as used during the pilot, save for the correction for the programming errors indicated above.

Further mock-interviews were undertaken by a team of 8 enumerators on Monday 14th October 2013 to confirm that the questionnaire was complete and had no more programming errors that could hinder effective data collection once actual fieldwork had started.

Selection of the final data collection team members

Of the 32 enumerators who were trained and later participated in the piloting exercise, 30 were selected to constitute the main fieldwork team, based on their performance during the training and piloting activities. The balance 2 least performers were to serve as likely reserves in case anyone of the first 30 pulled out of the survey for any reason.

The 30 members were then grouped into five fieldwork sub-teams, each sub-team being made up of a team leader and five enumerators. All the team members worked in Nairobi Region, before leaving for the other target regions in the survey.

No team member pulled out of the survey during the actual data collection activities in the survey.

Table 4 below illustrates the distribution of the fieldwork sub-team members into the various target counties in the survey.

Table 4: *The final survey fieldwork team members and the assigned Counties*

MSI CONFLICT EVALUATION - KENYA: FINAL FIELDWORK TEAM MEMBERS AND THE ASSIGNED COUNTIES						
TARGET REGION		**KERICHO**	**NAKURU**	**NANDI**	**UASIN GISHU**	**MOMBASA**
TEAM LEADERS	I	**DANSTONE OGENO**	**BONIFACE WAWERU**	**NICHOLUS KOECH**	**KIVUITU NGOTHO**	**IRENE AKINYI**
		722104646	**710877575**	**722937559**	**724727574**	**722872950**
ENUMERATORS	2	Beatrice Chepkurui	Norah Nekesa	Victor Kipngeno	Eric agoi Mbuka	Emmanuel Machio
	3	Steve Oyugi	Elijah Motanya	Cynthia Muggi	Nancy Kiare	Polycarp Masio
	4	Whitney Gladys	Micheal Orwe	Bryan Ndunda	Virginia Achieng	Florence Atieno
	5	Kelvin Nduati	Maurine Wambui	Susan Wangui	Pauline Oduol	Paul Sharon
	6	Doreen Makona	Brenda Okeyo	Gertrude Senelwa	Sasha Jepkemoi	Faith Ndinda	**TOTAL**
GENDER: M/F		3/3	3/3	3/3	2/4	3/3	14/16
TEAM SIZE		6	6	6	6	6	30

Fieldwork

As indicated in Section 1.7 above, the field team members were grouped into various groups and assigned to specific counties for ease of administration of fieldwork.

Owing to the late start date for the data collection by about a week due to the delayed finalization of the survey questionnaire, we strategically boosted the number of enumerators to engage in the survey so that overall, the survey timelines and especially the date for the submission of the final clean data set remains as originally planned (5th November 2013).

In terms of personnel levels, we had enumerators, team leaders and a supervisor, each with specific duties and responsibilities to undertake to allow for an effective implementation of the data collection activities in the survey.

The Enumerators

The enumerators were responsible for the actual administration of the face to face interviews to the respective target respondents, using the Huawei IDEOS and Samsung smart phones, or paper questionnaires when necessary. They worked under close leadership of the team leaders.

We had a total of 25 enumerators distributed in the five fieldwork sub-teams as in Table 4 above.

The Team Leaders

The team leaders were responsible for ensuring that the quotas set for their sub-teams were accomplished efficiently, rightly and using the recommended quality control procedures. They assigned specific interviews to their respective enumerators, ensured that the study respondents were correctly sampled, and that the interviews were administered as recommended. They undertook quality control checks in the field including sit-ins, call backs and back checks. A summary of the quality control checks undertaken by each team leader (and the RSA supervisor) is given in Table 5 below. They were also responsible for paying the necessary courtesy calls to the relevant local authorities in each of the EAs as appropriate.

The team leaders liaised very closely with the Field Supervisor in addressing or reporting on any noted challenges in, and fieldwork progress by, their respective sub-teams.

We had a total of 5 team leaders as indicated in Table 4 above.

Field Supervisors

The Field Supervisor (RSA) coordinated all the fieldwork activities, and apprised the head office of all the developments during the data collection activities by the various teams, including reporting on the teams' daily progress - output and any challenges encountered. He also randomly implemented similar quality control checks as the team leaders and advised them as appropriate in case of any noted anomalies during the recruitment or interviewing of the target respondents or in addressing any noted team challenges encountered while in the field.

The field supervisor ensured that there existed a cordial working relationship amongst the various team members and that there was a balanced distribution of interviews among the various team members.

Data collection

The fieldwork activities in the survey ran from Tuesday 15th to 21st October 2013, during which time we were able to effectively administer a total of 1,255 out of the targeted 1,200 interviews. All the five teams began the fieldwork by working in Nairobi county, where two districts of Nairobi North and

Nairobi East had been sampled. Thereafter, they moved out to the other five counties: Kericho, Nandi, Nakuru, Uasin Gishu and Mombasa. Overall, the fieldwork lasted for 7 days.

During the data collection, the two sampling approaches (simple random and systematic random sampling) were observed by each sub-team per enumeration area, as described in Section 1.4 above.

Simple random sampling was used by the team leaders to select the target locations and sub-locations in each division, after consultation with the local administration officials like the local chiefs, District Officers, District Commissioners, and Officer Commanding Police Division (OCPD) as appropriate.

Systematic random sampling was used by the enumerators to identify the target households in the EAs.

The mode of data collection used in the survey was mainly phone-based face to face interviews using the 'Dooblo survey to Go' software to record and transmit the data. However, in a few instances, paper-based interviews were administered because of phone problems or when the security situation in the enumeration area demanded so. In a number of the EAs, it was absolutely not safe / recommended to use the phones for fear of being mugged.

The interviews were administered in English, Kiswahili or Kalenjin depending on the proficiency and/or preference of the given respondent in the language in question.

Field supervision and data quality assurance

Each sub-team had a Team Leader who was mainly responsible for the co-ordination of fieldwork. All Team Leaders undertook regular quality control checks with their enumerators to ensure that the data collected were accurate, complete, and from the right respondents who were identified and selected using the recommended sampling procedures for the survey. They used sit-ins, back checks and call backs to confirm and ensure that data quality control procedures were being observed by the enumerators as planned.

Above the Team Leaders was the Field Supervisor whose main responsibility was to co-ordinate all the teams in the field. He undertook similar quality control checks as the Team Leaders with a number of the survey enumerators and/or interviews. All the Team Leaders reported to the Field Supervisor (RSA).

The Project Manager also undertook field visits to assess the progress of data collection, provide necessary technical and moral support to the teams, and confirm that the recommended survey processes were ongoing as proposed, the related survey challenges in some of the EAs notwithstanding. In particular, he was with the data collectors in Moiben and Tugen Estate (Uasin Gishu) and Lessos (Nandi).

Overall, a total of 661 data quality control checks were undertaken by the Team Leaders and the Field Supervisor. The Field Supervisor had a total of 6 sit-ins, 2 back checks and 60 call backs. The team leaders did a total of 212 sit-ins, 215 back checks and 166 call backs. The details of these quality checks are summarized in Table 5 below.

Table 5: *Summary of the quality control checks by the Team Leaders and the Field Supervisor*

Team	District	Interviewer Name	Quality Control checks						Comments
			Team Leaders			Supervisor			
			Sit-ins	Back checks	Call backs	Sit-ins	Back checks	Call backs	
Kericho	Kericho	Beatrice Chepkurui	3	3	2	0	0	2	Okay
		Whitney Gladys	3	2	3	0	0	0	Okay
		Doreen Makona	3	3	3	0	0	2	Needs to master the tool better
		Kelvin Nduati	3	2	2	0	0	0	Okay
		Steve Oyugi	3	2	2	0	0	2	Okay
	Kipkelion	Beatrice Chepkurui	3	3	2	0	0	0	Okay
		Whitney Gladys	3	2	3	0	0	2	Okay
		Doreen Makona	3	3	3	0	0	2	Okay
		Kelvin Nduati	3	2	2	0	0	2	Okay
		Steve Oyugi	3	2	2				Okay
Mombasa	Kisauni	Florence Atieno	4	5	7	1	0	3	Okay
		Faith Ndinda	4	6	5	0	0	2	Okay
		Sharon Paul	5	6	6	0	0	2	Okay; GPS capture issues
		Emmanuel Machio	5	5	7	1	1	2	Okay
		Policarp Masio	4	6	6	1	1	2	Okay
	Likoni	Florence Atieno	5	4	4	0	0	2	Okay; GPS capture issues
		Faith Ndinda	4	6	5	0	0	0	Okay
		Sharon Paul	4	5	6	0	0	0	Okay
		Emmanuel Machio	4	4	7	0	0	0	Okay
		Policarp Masio	4	5	6	0	0	2	Okay
Nakuru	Molo	Brenda Okeyo	3	3	2	0	0	1	Okay
		Elijah Motanya	3	3	2	0	0	2	Okay
		Norah Nekesa	3	3	2	0	0	0	Okay
		Maureen Wambui	3	3	2	0	0	0	Okay
		Michael Orwe	3	3	2	0	0	2	Okay
	Nakuru	Brenda Okeyo	3	3	3	0	0	2	Okay
		Norah Nekesa	3	3	3	0	0	2	Okay

Team	District	Interviewer Name	Quality Control checks						Comments
			Team Leaders			Supervisor			
			Sit-ins	Back checks	Call backs	Sit-ins	Back checks	Call backs	
		Maureen Wambui	3	3	3	0	0	2	Okay
		Michael Orwe	3	3	3	0	0	0	Okay
		Elijah Motanya	3	3	3	0	0	0	Okay
Nandi	Nandi North	Victor Kipng'eno	6	4	0	0	0	0	Okay
		Cynthia Muggi	8	3	1	0	0	1	Okay
		Susan Wangui	8	8	1	0	0	0	Okay
		Bryan Ndunda	7	6	0	0	0	0	Okay
		Getrude Senelwa	5	8	0	0	0	2	Okay
	Nandi East	Victor Kipng'eno	3	4	0	0	0	2	Okay
		Cynthia Muggi	3	3	1	0	0	2	Okay
		Susan Wangui	3	4	0	0	0	2	Okay
		Bryan Ndunda	4	2	1	0	0	2	Okay
		Getrude Senelwa	2	5	1	0	0	0	Okay
Uasin Gishu	Eldoret East	Eric Mbuka	3	3	2	0	0	0	Okay
		Nancy Kiarie	3	3	3	0	0	2	Okay
		Sasha Jepkemoi	5	4	3	0	0	2	Okay
		Pauline Oduol	2	3	4	0	0	0	Okay
		Virginia Achieng'	3	3	2	0	0	1	Okay
	Wareng	Eric Mbuka	2	4	3	0	0	2	Okay
		Nancy Kiarie	3	5	2	0	0	0	Okay
		Sasha Jepkemoi	4	4	5	0	0	0	Okay
		Pauline Oduol	3	3	1	0	0	2	Okay; GPS capture issues
		Virginia Achieng'	2	4	3	0	0	2	Okay
Nairobi	Nairobi East and Nairobi North	Beatrice Chepkurui	1	2	1	0	0	0	Okay
		Whitney Gladys	1	1	1	0	0	0	Okay
		Doreen Makona	1	1	1	0	0	0	Okay
		Kelvin Nduati	1	1	1	0	0	0	Okay
		Steve Oyugi	1	1	1	0	0	0	Okay
		Florence Atieno	1	1	1	0	0	0	Okay
		Faith Ndinda	1	1	1	0	0	0	Okay
		Sharon Paul	1	1	1	0	0	0	Okay
		Emmanuel Machio	1	1	1	0	0	0	Okay

| Team | District | Interviewer Name | Quality Control checks | | | | | | Comments |
| | | | Team Leaders | | | Supervisor | | | |
			Sit-ins	Back checks	Call backs	Sit-ins	Back checks	Call backs	
		Policarp Masio	1	1	1	0	0	0	Okay
		Brenda Okeyo	1	1	1	0	0	0	Okay
		Elijah Motanya	1	1	1	1	0	0	Okay
		Norah Nekesa	1	1	1	0	0	0	Okay
		Maureen Wambui	1	1	1	0	0	0	Okay
		Michael Orwe	1	1	1	0	0	0	Okay
		Victor Kipng'eno	1	1	1	0	0	0	Okay
		Cynthia Muggi	1	1	1	1	0	0	Okay
		Susan Wangui	1	1	1	0	0	0	Okay
		Bryan Ndunda	1	1	1	0	0	0	Okay
		Getrude Senelwa	1	1	1	0	0	0	Okay
		Eric Mbuka	2	1	1	1	0	0	Okay
		Nancy Kiarie	2	1	1	0	0	0	Okay
		Sasha Jepkemoi	2	1	1	0	0	0	Okay
		Pauline Oduol	2	1	1	0	0	0	Okay
		Virginia Achieng'	2	1	1	0	0	0	Okay
		TOTALS	**212**	**215**	**166**	**6**	**2**	**60**	

Summary of County-specific fieldwork

Nairobi County

We visited two districts in Nairobi region. Data collection in Nairobi ran from 15th to 16th October 2013. During this period we were able to successfully interview a total of 213 out of the targeted 200 respondents.

We visited the following locations in the two target districts of Nairobi County:

Nairobi East: Makadara, Mukuru Kwa Reuben, Kayole and Dandora (phase 3)

Nairobi North: Mwiki, Mathare, Pangani and Zimmerman

Mukuru Kwa Reuben was quite insecure, and we had to engage a village elder to accompany the area enumerators. In one instance, a group of youths there loudly commented that '*Hawa sio wa huku; leo kitaumana*' which can be loosely translated to mean 'these are not people from this area; they will see'. However, there was no incident as we had the village elder who the youths easily recognized as one of them. We also did engage a village elder in Dandora phase 3, for similar reasons. Dandora was one of the areas which were highly affected by the 2008 Post Election Violence (PEV).

There was very tight security in Soweto slums on our visit day, as it coincided with the First Lady's visit to the area.

A lot of GPS capture challenges were also reported in Mlango Kubwa due to the tall buildings there.

Mombasa County

We worked in Mombasa County from 17th to 21st October 2013. We were able to achieve a total of 206 successful interviews out of the targeted 200 for the County.

The locations that we visited in the two target districts in Mombasa County were:

Kisauni: Barsheba, Makupa, Tudor, and Kisauni

Likoni: Mwenza, Likoni, Majengo Mapya and Mtongwe

The main challenge with the data collection activities in Mombasa County was insecurity, particularly in Barsheba, Msikitini, Manyatta and Misufuni. Barsheba and Msikitini areas were dominated by persons dealing in drugs; they are often very suspicious of outsiders, and would turn violent toward the same without any provocation. And although our enumerators had local village guides to accompany them, some of the target respondents strongly advised them (enumerators) not to venture beyond certain points, and never to use their phones anywhere within the EA. In Barsheba, a lady respondent advised our lady enumerators thus: *'Tafadhali msipite hapa kama hamtaki kufa'*(please do not venture beyond this point if you don't want to die). The advice was given after the enumerator had had a successful interview, and was about to continue sampling into the EA as recommended in the applicable walk pattern in the survey.

On the other hand, the Likoni EAs were dominated by persons believed to be sympathetic to the Mombasa Republican Council (MRC). As in Kisauni, the residents were suspicious of outsiders, and a number of target respondents out-rightly refused to be interviewed or were not willing to disclose their contact details, insisting that we were indirectly scouting for ICC witnesses.

Nakuru County

We worked in Nakuru County from 17th to 20th October 2013. We were able to achieve a total of 208 out of the targeted 200 interviews for the county. The following were the specific locations we visited in each of the target districts:

Nakuru: London, Wanyororo, Murunyu and Kaptembwa

Molo: Kasino, New Location, Maishani and Matwiku

A number of respondents were not willing to disclose their contact details in Molo, an area which was highly affected by the 2008 PEV.

Getting the clearance to proceed with the survey in the area also did take us a lot of time as lower level administrators were not willing to give their permission, preferring rather to direct us to the next higher authorities. A chief in Molo said the tension in the area following the 2008 PEV was still quite high such that he could not authorize the survey team to work in the identified EAs unless we got express permission from the DO 1. The DO 1 was also not willing to give his consent, and advised that we go to the District Commissioner (DC). The DC did not object to the survey, but felt that it was ill-timed, considering the ongoing ICC cases for the President and his Deputy.

Kericho County

The data collection activities in Kericho County ran from 17th to 21st October 2013. We were able to achieve a total of 200 successful interviews out of the targeted 200.

We specifically administered the Kericho County interviews in the following locations:

Kericho: Kapsoit, Nyagacho, Kaborok and Waldai

Kipkelion: Kipkelion, Macheisok, Chepseon and Kapseger

The area enumerators had travel problems especially in Chepseon where there was very poor road network to the target EA. This was made worse by the rainy weather during the data collection exercise in the area.

A number of respondents also thought that the survey was targeted at identifying likely ICC witnesses, and as such were not willing to participate in the survey. In Nyagacho area, one of our lady enumerators was almost physically attacked by some rowdy youths who strongly believed that the survey was ICC-related, and as such they could not understand how one of them (a Kalenjin) could agree to be a participant in a survey whose key objective was to take its community members to the ICC. The lady-enumerator in question was a Kalenjin, the same ethnic community as that of the area locals.

Uasin Gishu County

Primary data collection in Uasin Gishu County ran from 17th to 21st October 2013. We were able to successfully administer a total of 203 out of the targeted 200 interviews for the County. In each of the target districts in the region, we went to the following specific locations:

Eldoret East: Kapsoya, Orlale, Moiben and Tugen Estate

Wareng: Kapsaret, Pioneer, Cheptiret and Kesses

The chief in Kesses was not willing to okay the survey unless we had the go ahead from the District Commissioner's Office; we had to spend a lot of time to follow up with the DC, who had no misgivings for the survey. Another lady enumerator in Kapseret (Wareng) also encountered respondent hostility similar to that which befell the lady enumerator in Kericho. In this case the household members became very abusive of the enumerator and rudely asked her out of their compound, saying that they could not be tricked into contributing to the ICC cases. To them the survey was about ICC witnesses, and that our survey introduction indicating that the survey was on peacebuilding activities was simply a way of blind folding the area residents to give their views on the ongoing ICC cases for the President and his Deputy.

Several other households in Tugen Estate also declined to participate in the survey, for similar reasons. We gathered that during the 2008 PEV several members of a particular ethnic community were killed and/or their property forcefully taken or destroyed by the area locals.

Nandi County

We were in Nandi County from 17th to 21st October 2013, during which time we were able to achieve a total of 225 successful interviews out of the targeted 200. We specifically captured the primary data in the following locations in each of the target districts:

Nandi North: Kabisaga, Kabiyet, Kipkaren and Laboret

Nandi East: Koilot, Lessos, Junction and Kapsoiywo

The team sent to this county mainly faced travel challenges especially in Kipkaren where there were no public service vehicles, and they had to rely on motor cycle (*boda boda* operators) to take them to and from the EA. Owing to the poor weather condition (it was rainy) and the poor road network, two members who were sharing the same motorbike at the time, got involved in an accident while travelling from Kipkaren to Kapsabet. They had a few bruises and had to seek prompt medication in Kapsabet before they could proceed with the fieldwork activities in the other EAs allocated to the team.

Other minor challenges for the team were GPS-capture problems in Kipkaren, Laboret and Lessos due to the cloudy weather. It also took the team quite a while before they could obtain the authorization to proceed with the interviews in Kapsoiywo in Nandi Hills.

Table 6 below provides the overall fieldwork output against the set targets for each of the enumeration areas in the survey.

Table 6: *Summary of the fieldwork output: achieved quotas against the set targets by the EAs*

SAMPLING LEVEL					SAMPLES		REMARK
COUNTY	DISTRICT	DIVISION	LOCATION	SUB-LOCATION / VILLAGE	ACHIEVED	TARGETED	
Kericho	Kericho	Ainamoi	Kapsoit	Kapsoit	25	25	Achieved
			Nyagacho	Kipchimchim	25	25	
		Belgut	Kaborok	Kaborok	25	25	
			Waldai	Sosiot	25	25	
	Kipkelion	Kipkelion	Kipkelion	Kipkelion Town	25	25	
			Macheisok	Matarmat	25	25	
		Chepseon	Chepseon	Chesinende	25	25	
			Kapseger	Chepsir	25	25	
Mombasa	Kisauni	Island	Makupa	Baharini	25	25	
			Tudor	Moroto	27	25	Surpassed
		Kisauni	Barsheba	Barsheba	25	25	Achieved
			Kisauni	Msikitini	27	25	Surpassed
	Likoni	Likoni	Likoni	Manyatta	25	25	Achieved
			Majengo Mapya	Misufini	25	25	
		Longo	Mtongwe	Midodoni	26	25	Surpassed
			Mwenza	Mwenza	26	25	
Nairobi	Nairobi East	Embakassi	Dandora	Dandora	32	25	
			Kayole	Soweto	25	25	Achieved
		Makadara	Makadara	Makadara	27	25	Surpassed
			Mukuru Kwa Reuben	Mukuru Kwa Reuben	27	25	
	Nairobi North	Kasarani	Mwiki	Mwiki	25	25	Achieved
			Zimmerman	Zimmerman	25	25	
		Starehe	Mathare	Huruma	27	25	Surpassed
			Pangani	Mlango Kubwa	25	25	Achieved
Nakuru	Molo	Elburgon	Maishani	Maishani	30	25	Surpassed
			Matwiku	Matwiku	25	25	Achieved
		Molo	Kasino	Kasino	25	25	
			New Location	New Location	25	25	
	Nakuru	Lanet	Murunyu	Murunyu	27	25	Surpassed
			Wanyororo	Wanyororo	25	25	Achieved
		Municipality	Kaptembwa	Kaptembwa	26	25	Surpassed
			London	London	25	25	Achieved
Nandi	Nandi North	Kabiyet	Kabisaga	Kabisaga	30	25	Surpassed
			Kabiyet	Kabiyet	31	25	
		Kipkaren	Kipkaren	Kapserton	29	25	
			Laboret	Laboret	26	25	
	Nandi East	Lesos	Koilet	Cheptuingeny	26	25	
			Lesos	Lesos	28	25	
		Nandi Hills	Junction	Junction	27	25	
			Kapsoiywo	Kapsoiywo	28	25	
Uasin Gishu	Eldoret East	Ainapkoi	Kapsoya	Munyaka	25	25	Achieved
			Orlale	Burnt Forest	26	25	Surpassed
		Moiben	Moiben	Moiben	25	25	Achieved
			Tugen	Tugen	25	25	
	Wareng	Kapsaret	Kapsaret	Kapsaret	25	25	

SAMPLING LEVEL					SAMPLES		REMARK
COUNTY	DISTRICT	DIVISION	LOCATION	SUB-LOCATION / VILLAGE	ACHIEVED	TARGETED	
			Pioneer	Pioneer	27	25	Surpassed
		Kesses	Cheptiret	Cheptiret	25	25	Achieved
			Kesses	Kesses	25	25	
				TOTAL	1,255	1,200	

Survey Challenges and How They Were Mitigated

We did face a number of challenges while implementing the data collection activities in the survey. The following is a summary of the challenges and how we handled them:

Delays in obtaining permission from the local administrators to proceed with the survey in given EAs

This was particularly the case in Kasino (Molo) where both the area Chief and DO 1 were not willing to allow the survey to go on in their areas of jurisdiction without the express authority from the District Commissioner. This was due to the perceived latent hostility and distrust amongst the various communities living in the area, following the 2008 PEV. They said that it was not very safe yet to undertake such a survey touching on the PEV, since a number of the residents there were quite affected by the violence and had not yet healed or recovered from the losses they had incurred. Moving from the various offices, from the chief to the DC's took quite a while which impacted quite negatively on the possible output by the team on that day.

A similar scenario was reported in Kesses (Eldoret East) where the area chief advised that the team obtain the requisite permission from the DC as he could not authorize a survey touching on PEV. We gathered that quite a number of members from a particular ethnic community living in the area were either killed or forcefully evicted from their homes during the 2008 PEV, and a number had not yet recovered from their losses.

It took the teams to Maringo (Nairobi East) and Kapsoiywo (Nandi East) quite a while to obtain the relevant authority from the area chiefs, who were reported to be busy with other official duties.

It was essential that we obtain the support and express go-ahead from all the relevant local administrators and as such we had to wait until we were granted the said permission before we carried on with the interviews. In most cases, the team leaders travelled ahead of the other team members to the next new EAs to seek the details and consent of the relevant officials before they were joined by the other team members.

Insecurity

In a number of EAs in the survey, we could not freely walk around or use our HHDs to capture the primary data due to insecurity.

In Mukuru Kwa Reuben slum (Nairobi East), we had to engage the services of a village elder to accompany our enumerators throughout the data collection exercise in the village. The same scenario was reported in Dandora Phase 3 (Nairobi North), Barsheba and Kisauni (Kisauni), and in Likoni.

The case in Kisauni and Bersheba was due to the high number of drug addicts who live in the target EAs, while in Likoni it was due to the presence of MRC sympathizers and/or members who were said to be the majority amongst the locals there.

We engaged the services of local village elders/guides as appropriate, and interviewed using the paper-questionnaire. Such data were later transferred into the hand held devices (HHDs) and then synched to the survey server. This approach brought with it the inability of the affected team members to capture GPS-coordinates at the point of interviews. In such cases, the affected team members took the GPS coordinates from the nearest and safest points to the actual interviews points.

Respondents unwilling to disclose their contact details

A number of respondents in Kaptembwa (Nakuru), Molo, Belgut and Longo (Likoni) were not willing to disclose their names and/or telephone numbers in the survey, fearing that they could be traced and victimized later on for having participated in the survey. These areas were said to have witnessed more intense levels of the PEV, and the trust levels amongst the local communities were still very low.

Where it was not possible to capture the respondents' telephone numbers or names, we just proceeded with the interviews and indicated as appropriate why the contact details were missing.

Language barrier

In a few cases, language barrier became a problem in that the target respondents could not communicate in any of the survey languages (English, Kiswahili or Kalenjin), or the concerned enumerator was not fluent in the language of the respondent, and the other team member who could assist as appropriate was either unreachable or busy with other interviews. This challenge was noted in Elburgon (Kikuyus) and Kipkelion (Kalenjins).

Since Kikuyu was not a survey language, we replaced all target respondents who could only communicate effectively in Kikuyu. In Kipkelion, the Kalenjin-team member assisted where possible, otherwise we substituted the household as appropriate.

Travel challenges

The enumerators in Nandi had to use *boda bodas* (motor bikes) to access Kipkaren in Nandi North. The case was made worse by the poor road network and the rainy weather, so that a substantial part of the journey was covered walking as the motor bike riders maneuvered their way in the mud. A similar case was reported in Londiani and Chepseon areas of Kericho County.

The Nakuru team had to travel very long distances on very poor rough roads to access Murunyu and Wanyororo EAs in Lanet.

The team in Uasin Gishu travelled in overloaded vehicles, with male members having to hang outside the *matatus* to access Moiben and Tugen Estate. The same trend was reported in the Kesses EA. Overloading of public service vehicles was said to be the norm in these areas.

Road accidents

Some of the Nandi and Uasin Gishu team members were involved in an accident when their vehicle hit a zebra in Naivasha, while they were on their way from Nairobi to Eldoret. None of the team members reported any physical injury.

Two members of the Nandi team were also involved in a motor cycle accident while traveling from Kabiyet to Kapsabet; they had minor bruises which were attended to in Kapsabet before they could carry on with the data collection activities.

Poor weather

Kabiyet, Chepseon, Belgut, Ainamoi, Lanet and Molo EAs were characterized by very poor weather; the areas recorded heavy rains by the time of our data collection. This made travel from one point to the other a very big challenge and the concerned enumerators at times had to start fieldwork very late owing to unavailability of PSVs plying the target areas in the morning when the roads were still very wet and impassable.

The Nakuru team members reported being rained on very heavily while they were on their way from Wanyororo and Murunyu.

In Mombasa the challenge was the very hot temperatures. One enumerator said he ended up sweating so much so that he could not effectively use the phone during interviews as the phone could not respond to his sweaty palm/fingers when scrolling down the questionnaire.

Hostility from respondents suspecting the survey to be ICC-related

Two respondent-hostility cases stood out during the data collection, and all concerned Kalenjin-speaking lady enumerators in mainly Kalenjin-speaking EAs.

In Nyagacho EA in Kericho district our lady enumerator identified a target household and went on with the survey introduction as expected. However when the household members heard that the survey was about Peacebuilding activities in the area following the 2008 PEV in the area, they demanded to know from the lady the 'true' aim of the survey. They strongly believed that the survey was connected with the ongoing ICC cases and that the enumerator was one among many other persons secretly seeking to recruit witnesses for the ICC cases. The explanations by the enumerator — who was by then conversing in Kalenjin — that that was not true only infuriated the household members. She was rudely asked out of the house by three male household members. The lady obliged and excused herself to the next household where she had a very welcoming female respondent. While proceeding with the interview in the second household, the three male youths from the previous household followed her to the new household and wanted to know why she was still carrying on with the interview there yet they had told her to leave. Before she could respond, her host took over and told the rowdy youths to leave her (enumerator) alone, as she (host) was the one with the right to dictate what went on in her house. She asked the youths to go to the area chief or the police if they had a reason to suspect that the enumerator was not who she said she was, or anything to prove that the survey was about ICC cases and not peacebuilding activities as had been stated by the lady enumerator.

Realizing that the lady host would not change her position to terminate the interview, the youths left.

The incident really shocked the enumerator, who later wondered aloud what the case would have been were the lady respondent to side with the youths, or were it that she did not speak Kalenjin.

A similar case befell another lady enumerator in Kapseret (Wareng), whereby immediately after she had introduced the study the household members rudely asked her to leave their compound saying that they could not be tricked into contributing to the ICC cases. They strongly felt that the survey was a disguise to scout for more witnesses to the ICC case, and as such they did not want to be part of it at all.

For the Kapseret case, the affected enumerator reported the case to the team leader who in turn cascaded the matter upwards to the RSA office. We advised that the enumerator maintains the same general quadrant assigned to her in the EA but should change her location and continue with the household selection from a different section. She did this and was able to successfully interview and complete her set quota in the EA without further incidents.

Some target respondents refused to participate in the survey, suspecting it to be ICC-related

In a number of other households, the respondents did not turn violent as in the two cases above, but rather opted not to take part in the survey.

This was the case in some households in Maringo (Makadara, Nairobi East), Tugen Estate (Moiben), Waldai (Kericho), Kaptembwa (Nakuru) and in Likoni.

Being refusals, we substituted the households with the immediate next ones as outlined in the survey sampling plan above.

Several households were vacant during the morning hours

Several households were reported to be locked (Zimmerman, Nairobi North) and without adult household members (in Kipkelion, Kericho) during the morning hours. For the latter case, the adults were mostly said to have gone to the farm.

For households which were locked and had no one to help our enumerators determine when the target household members would return, we substituted as appropriate. However, in Kipkelion, we opted to start the data collection activities a bit late in the day so that we could find a number of adult household members who were already back from the farms; this did quite improve our chances of having successful interviews in the EA.

Phone-related challenges

A few isolated phone-related challenges were reported by the enumerators.

A number of phones took too long to capture the GPS coordinates, especially in areas with rainy/cloudy weather during the time of fieldwork: Kipkelion, Kericho, Molo, and Nakuru districts. In Mlango Kubwa (Nairobi North), the problem was caused by the presence of very tall buildings surrounding the target households.

One phone presented synching problems in Kipkelion.

In Mombasa, one enumerator was faced by very slow phone response during the interviews due to excessive sweating; the relatively high temperatures in Mombasa made the affected enumerator to sweat a lot, including on his fingers. He had to undertake several presses for the phone to detect his actions.

This was an expected challenge, and the enumerators had been advised to undertake several trials for the GPS capture, and where this did not work, they were to return to the affected areas the following day or move to points near the point of interview and continue with the GPS-capture trials, until they succeeded.

Unwillingness to disclose household size details

In one case in Kapsoit (Kericho district), the target respondent refused to disclose the number of his household members saying that it was a taboo to give the count of household members in their custom.

We treated the case as a refusal and substituted as appropriate.

Lack of power to charge the phones

This was a one of case affecting the Nandi team while in Kabiyet. They reported that there was a three-day black-out in the area and its surroundings by the time they were implementing the data collection activities in the EA.

They had to use the paper-based questionnaires when their phones ran out of power, and transfer the related interviews into the phones immediately they moved into an area with power to charge their phones.

Some area residents insisted that they should be included in the survey

Although a number of the target respondents were not willing to participate in the survey in several of the EAs as indicated in challenge 3.9 above, the case was quite different in Kasino (Molo) where a number of area residents insisted that they should also be interviewed, mistaking the survey to be a Red Cross exercise where details of its likely future beneficiaries in relation to the PEV were being captured. Four such cases were reported in the area.

We informed them that the survey was not a Red Cross assignment, and that we were targeting only a few randomly selected households in the area. Since the random selection did not land us to their households, we could not include them in the survey.

Emotional memory of the 2008 PEV by a respondent in Molo

In Molo, one male respondent who preferred not to disclose his contact details became very emotional and broke down into tears in the course of the interview, when describing the losses he suffered during the 2008 PEV.

Conclusion

Although the fieldwork in Kenya was faced by a number of challenges, we were able to effectively implement the data collection activities within the allocated time. We visited all the targeted EAs, and by the end of the fieldwork we had achieved a total of 1,255 out of the targeted 1,200 interviews. We achieved and/or surpassed the set targets in each of the six Counties.

It is our sincere hope that the quality of the work delivered by RSA in this assignment will be up to the standard expected by the client, and that the final clean data set will be found to be valid, accurate, reliable and an actual reflection of the prevailing situation on the ground. We will welcome any follow up queries and clarifications on the survey process and the captured primary data. For every such case, we will ensure that we provide adequate and timely response to allow for effective analysis, reporting and presentation of results to the relevant project stakeholders.

We would like to acknowledge the diligent and valuable input we got from the MSI team during the implementation of all the survey activities in Kenya. We are particularly very grateful for the cooperation and support we received from among others, Ami Henson, Sarah Bayne and Manasseh Wepundi during the finalization of the survey questionnaire and/or implementation of the data collection activities in the survey. It is our hope that we will have more opportunities in the future to share our skills, experiences and expertise with this and other similar dedicated team(s) from MSI.

We would like to register our appreciation to all the participants who contributed in one way or the other to the success of the *Evaluation Survey on Contribution of Various Stakeholders in Peacebuilding in Kenya*. We are grateful to the data collection team made up of the supervisor, team leaders and enumerators who were very dedicated in their work, the several challenges highlighted above notwithstanding. We are kindly indebted to all RSA project staff from Field, Data Processing, and Client Service Departments for their unity of purpose in the study, and to the entire RSA Management, led by Dr Jasper Grosskurth for ensuring that there was timely and adequate institutional support during the implementation of the survey.

Annexes

Annex I: The enumerator training program

Enumerator Training Agenda

Date:	Oct. 11–14, 2013	
Venue:	**RESEARCH SOLUTIONS AFRICA OFFICE—WESTLANDS, NAIROBI (K)**	
Facilitators:	**Peter Otienoh,** Lead Facilitator and Project Coordinator, RSA (the Project Manager) **Collins Athe,** Field Supervisor, RSA (the Project Field Supervisor) **Charles Lennox,** DP Supervisor, RSA (the Project DP Supervisor)	
Time	**Contents**	**Facilitator**
DAY 1. Friday, Oct. 11, 2013		
08:30–9:00 a.m.	Registration	Collins Athe
09:00–10.00 a.m.	Introduction; Ground Rules	Peter Otienoh / MSI Rep.
	Opening Remarks	
10:00–10:30 a.m.	**TEA BREAK**	**All**
10:30–11:30 a.m.	Background and Overview of the Evaluation Study	Peter Otienoh / MSI Rep.
11:30–11:45 a.m.	Role of RSA in the study	Peter Otienoh
11:45 a.m. to 01:00 p.m.	Questionnaire Review	Collins Athe / Peter Otienoh / Charles Lennox
01:00–02:00 p.m.	**LUNCH BREAK**	**All**
02:00–03:00 p.m.	Questionnaire Review	Collins /Peter Otienoh / Charles Lennox
03:00–04:00 p.m.	Mock Demos	Collins Athe
04:00–04:30 p.m.	**TEA BREAK**	**All**
04:30–06:00 p.m.	Plenary Mocking	Collins Athe
06:00–06:15 p.m.	Day 1 Wrap Up	Peter Otienoh
DAY 2. Saturday, Oct. 12, 2013		
08:30–10:00 a.m.	Feedback from Mock	Collins Athe
10:00–10:30 a.m.	**TEA BREAK**	**All**
10:30–01:00 p.m.	Sampling Approaches in the Study	Peter Otienoh
01:00–02:00 p.m.	**LUNCH BREAK**	**All**
02:00–03:00 p.m.	Field Procedures	Collins Athe
03:00–04:00 p.m.	Review / Expectations / Project Contractual Terms	Peter Otienoh
04:00–04:30 p.m.	**TEA BREAK**	**All**
04:30–05:00 p.m.	Piloting Plan / Day 2 Wrap Up	Peter Otienoh

DAY 3. Sunday, Oct. 13, 2013		
08:00–10:00 a.m.	Pre-pilot Meeting at RSA Office	Collins Athe
10:00–02:00 p.m.	Field Piloting	All
02:00–04:00 p.m.	Pilot debrief/Departure	Peter Otienoh /Collins Athe
04:00–06:00 p.m.	Questionnaire finalization Final Team selection Communication to Selected Team Members	Peter Otienoh / Collins Athe
Tuesday, Oct. 14, 2013		
Morning	Fieldwork Begins in Nairobi	All Members Constituting the Final Fieldwork Team

Annex II: List of participants during the enumerator training in the survey

Project team:

Peter Otienoh, Project Manager (RSA)   - 0724314 115
Collins Athe, Field Supervisor (RSA)   - 0720538892
Lennox Charles, DP Supervisor (RSA)   - 0723801788

Enumerators:

Name	Gender	Phone Contact
Danstone Ogeno	MALE	0722104646
Boniface Waweru	MALE	0723885834
Brenda Okeyo	FEMALE	0713351571
Whitney Gladys	FEMALE	0726571523
Norah Wekesa	FEMALE	0701652769
Beatrice Chepkurui	FEMALE	0723932118
Micheal Orwe	MALE	0717904063
Nancy Kiare	FEMALE	0723958814
Elijah Motanya	MALE	0752518366
Gertrude Senelwa	FEMALE	0720035333
Steve Oyugi	MALE	0724331515
Maurine Wambui	FEMALE	0720798195
Virginia Achieng	FEMALE	0705832643
Victor Kipngeno	MALE	0725450024
Nicholas Koech	MALE	0728864179
Kelvin Nduati	MALE	0710847110
Bryan Ndunda	MALE	0723096838
Paul Sharon	MALE	0723231230
Kivuitu Ngotho	MALE	0721954049
Susan Wangui	FEMALE	0716980790
Polycarp Masio	MALE	0711281575
Florence Atieno	FEMALE	0724098675
Pauline Oduol	FEMALE	0725470524
Washington Bett	MALE	0717332287
Sasha Jepkemoi	FEMALE	0715201370
Cynthia Muggi	FEMALE	0724507543
Doreen makona	FEMALE	0711159747
Caroline Njeri	FEMALE	0722788083
Emmanuel Machio	MALE	0725766654
Eric agoi Mbuka	MALE	0715410348
Faith ndinda	FEMALE	0714328931
Maureen Odongo	FEMALE	0728257321
Irene Akinyi	FEMALE	0704751154

Evaluation Survey on Contribution of Various Stakeholders in Peacebuilding—Kenya

<u>Household Questionnaire</u>

ADMINISTRATIVE INFORMATION

Questionnaire number				
Date of interview:	DD☐☐ MM ☐☐ ☐☐			
Time of interview: (*24 hour clock*)	**Start** **HH** **MM** ☐☐ ☐☐		**Stop** **HH** **MM** ☐☐ ☐☐	
Name of interviewer:				
Place of interview:	███████████████████████████			
Region				
County				
District				
Division				
Location				
Sub-location/Village				

Number of visits *(max. of 3)*			
Reason for call back	**Number of visits**		
	1	**2**	**3**
Refused to be interviewed	████	1	1
Target respondent not at home	████	2	2
No one in the household	████	3	3
Respondent not able to be interviewed due to medical reasons (very sick, dumb, etc.)	████	4	4
No adult member in the household	████	5	5
Language barrier	████	6	6
Other (specify)	████	98	98
Not applicable	████	99	99
Outcome of final visit	**Successful**	**Incomplete**	**Replaced**

Field quality control checks *(sign as appropriate)*			
Activity	**Activity undertaken by**		
	Interviewer	**Team leader**	**Supervisor**
Edited			
Reviewed	██████████		
Accompanied	██████████		
Back checked	██████████		

Called back			

INTRODUCTION

Good morning/ afternoon/ evening? My name is ………………………… from Research Solutions Africa, a Market and Social Research firm based in Kenya. We are currently conducting an evaluation survey on the contribution of *various stakeholders toward peacebuilding in this area.* We are trying assess the contributions of various programmes to peacebuilding.

The interview is likely to take about 45 minutes, and there is no right or wrong answer. The information that you provide will be kept strictly confidential and if we are to quote any response from this interview, then your name will not be used. There is no financial gain for taking part in this survey and you have the right to decline and/or abort the interview at any point.

Are you willing to take part in the survey?

Notes for the enumerators

The enumerators *need to ask all the questions from section B down by the four specified time periods*. They need to ask the respondents to *'go back to that period in time in their minds'* so:

Time period 1: Take yourself back to immediately after the 2007 elections.

Time period 2: Take yourself back to the time immediately after the constitutional referendum in August 2010

Time period 3: Take yourself back to the time just before and during the March 2013 general election

Time period 4: This is the present—what you think now.

During the course of the survey the respondents should be constantly reminded to go back to the time period specified.

All questions will be asked for time period 1 before moving on to ask all questions for time period 2 and so on.

…………. Administer the screener……………..

SECTION A: DEMOGRAPHIC INFORMATION

I would like to start off the interview by asking you some general questions about yourself and your household.

Respondents details		
A1	**Gender** *(observe)*	Male Female
A2	**Name**	
A3	**Telephone contact**	☐☐☐☐☐☐☐☐☐☐ 88. Refused to answer
A4	**How old are you?** *(years completed)*	☐☐☐
A5	**What is your highest level of education completed?**	PRIMARY SECONDARY COLLEGE UNIVERSITY NONE Refused to answer OTHER (Specify) ……………………………
A6	**What is your marital status?**	SINGLE MARRIED WIDOW WIDOWER DIVORCED REFUSED TO ANSWER
A7	**Do you have children?**	Yes No …………… *GO TO A8*
A7.1	*If yes,* **how many children do you have**?	☐☐☐
A8	**What is the size of your household?**	
Description of the household members:		

A8	A8.1	A8.2	A8.3	A8.4	A8.5
Num ber *(size)*	**Relationship with the head of the hh (*from the oldest to the youngest)***	**Gender**	**Age *(in completed years*)**	**Main Occupatio n**	**Average monthly income (Kshs)**
	Hhd head Wife/husband/partner Father Mother Son Daughter Brother Sister Other relative Other (specify)	1: Male 2: Female	O–11 12–17 18–25 26–35 36–54 55+		Below 5,000 5,000–10,000 10,001–15,000 15,001–20,000 20,001–25,000 25,001–30,000 30,001–35,000 35,001–40,000 40,001 and above Dependant Refused to answer Don't know Not applicable
	Name code				
1					
2					

3					
4					
5					
6					
7					
8					
9					
10					

A9	**What is your current employment status?** *(Tick all that apply)*	EMPLOYED (*formal*) EMPLOYED (*informal*)—casual worker SELF EMPLOYED (*technical*) SELF EMPLOYED (*business operator*) FARMER STUDENT OTHER (*specify*) ……………………………			
A10	**How much on average do you earn per month through … (Kshs.)**	1. Formal employment	2. Informal employment	3. Donations / assistance from others	98. Others (Specify) …………… ………

SECTION B: AWARENESS ON CONFLICT SITUATION IN AREA

	Where were you living in the following time periods?				
	Period	**Place of residence by given time period**			
B1	1 Immediately after the December 2007 general elections				
	2 After August 2010 Referendum				
	3 Just before and during the March 2013 general election				
	4 After the March 2013 general election (March 2013 to Present)				

B2	**Was there conflict in this area in the given time periods?**
	
	     1. Yes
	     2. No ……….. *GO TO B7*
	 90. Don't know … *GO TO B7*
		1
		
		 Immediately after 2007 general elections
			2
			
			 After 2010 Referendum
				3
				
				 Just before and during the 2013 general election
					4
					 After the 2013 general election (March 2013 to Present)

B3	**What was the level of conflict in this area in the given time periods?**				
		Conflict level			
	Period *Enumerator to use a show card for the different conflict levels*	**None**	**Low** *Where* ***Low =*** *small number of people involved; Short duration; Minimal*	**Moderate** *Where* ***Moderate =*** *Medium number of people involved;*	**High** *Where* ***High =*** *Large numbers of people involved; Chronic or*

				disruption to everyday life	Periodic duration; Some disruption to everyday community life	sustained duration; Major disruption to everyday life
	1	Immediately after 2007 general elections				
	2	After 2010 Referendum				
	3	Just before and during the 2013 general election				
	4	After the 2013 general election (March 2013 to Present)				
B4	*If yes in B2,* **What was the conflict about?** *(Enumerator to enter all answers given)*			Land and resources Political manipulation Ethnic violence Cattle raids Disputed election results Disputed boundaries Lack of economic opportunity Other (specify)		
B5a	*If yes in B2,* **Has your household been affected in any way?**			Yes No …… *GO TO B6*		
B5b	**How was household affected?** *(Enumerator to circle answers given or add other)*			1. Lost a family member 2. Lost property: land, building, business, etc. Lost income Lost my job Sexual or gender based violence Family disintegration My children stopped going to school Had to relocate to a new location 98. Other (specify) …………………		

		B4	B5a	B5b
	Time period	*If yes in B2,* **What was the conflict about?**	*If yes in B2,* **Was your household affected in any way?**	*If yes in B5a,* **How was your household affected?**
	Immediately after December 2007 general elections			
	After August 2010 Referendum			
	Just before and during the March 2013 general election			
	After the March 2013 general election (March 2013 to Present)			
Statement		**Time period**		

			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B6	**Was there less conflict in this area in the given time period than before?** Yes No ……. *GO TO B7* Don't know … *GO TO B7*					
B6.1	*If yes,* **What was the reason?**	1				
		2				
		3				
B7	**Do/ did you foresee the possibility of future conflict in this area?** Yes No ……. *GO TO B8*					
B7.1	*If yes,* **What do/ did you think would cause the future conflict?** Land and resources Political manipulation ethnic violence cattle raids Disputed election results Disputed boundaries Lack of economic opportunity Other (specify)	1				
		2				
		3				
		4				
		5				

STATEMENTS ON ATTITUDE, BEHAVIOR AND RELATIONSHIPS				

On a scale of 1 to 5
Where 1 = Strongly disagree, 2=Disagree, 3= Undecided, 4=Agree, and 5 = Strongly agree,
Would you agree or disagree with the following statements, as applicable in given time periods?

Statement	Time period			
	1	2	3	4

		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B8	**There is/was a cordial relationship between the various ethnic communities in this area.**				
B9	**I appreciate(d) the value of peace.**				

On a scale of 1 to 5
Where 1 = Never, 2=Not likely, 3= Undecided/neutral, 4=likely, and 5 = Very likely,
How likely are/were you to undertake the following activity in the given time periods?

		Time period			
		1	**2**	**3**	**4**
B10	**Statement**	Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	Discuss conflict issues with a member from a different ethnic community living in this area?				

On a scale of 1 to 5
Where 1 = Strongly disagree, 2=Disagree, 3= Undecided, 4=Agree, and 5 = Strongly agree,
Would you agree or disagree with the following statements, as applicable in given time periods

		Time period			
		1	**2**	**3**	**4**
Statements		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B11	**Any ethnic group can live in this area**				
B12	**I am my ethnic group first and a Kenyan second**				
B13	**Violence is justified to advance political goals**				

		Time period			
		1	**2**	**3**	**4**
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
B14	**On a scale of 1 to 4 where** Poor Neutral (neither good or bad) Cordial Very Cordial **How would you rate the quality relationships amongst the**				

		Time period			
		1	**2**	**3**	**4**
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	various ethnic communities living in this area?				
B15	**On a scale of 1 to 5 where** Very unfair Not fair Neutral Fair Very fair **How would you rate the sharing of resources** *(e.g. land, water, markets etc.)* **amongst the various ethnic communities living in this area?**				

On a scale of 1 to 5
Where 1 = Strongly disagree, 2=Disagree, 3= Undecided, 4=Agree, and 5 = Strongly agree,
Would you agree or disagree with the following statement, as applicable in given time periods

		Time period			
		1	**2**	**3**	**4**
B16	**Statement**	Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	I will report potential for conflict				
B16.1	*If agree or strongly agree,* **Who would you report to?**	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …	DPC/Peace Committee Media SMS/hotline Early warning mechanism CSO Neighbour Community Elders Local government Security services Religious leaders Other (specify) …

			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
SECTION C: ACTIVITIES AND ACTORS IN PEACEBUILDING						
			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C1	**Are you aware of any activities to reduce or prevent conflict that are/were being undertaken by anyone in this community?** Yes No .... *GO TO C10*					
C1.1	*If yes in C1,* **What are/were these activities?** Early Warning, Early Response Rehabilitation of militias Livelihoods, education, building, etc. activities undertaken across different ethnic groups to support coexistence Hate speech monitoring Peace monitors Peace journalism, engagement with the media and SMS Community Dialogue and reconciliation Cross-cultural events e.g. sports, road shows, music etc. Training and capacity building for peace Supporting peace structures (committees and DPCs) Other (specify) *(Enumerator to enter all answers that apply or add other)*					
C1.2	**Of the mentioned**	1				

			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	peacebuilding activities *in C1.1* **which are/were the most effective in your opinion** *(maximum three)?* 87. None	2				
		3				
C1.2.1	**For the first one, why do you say so? For the second one, why did you say so, For the third one, why did you say so**	1				
		2				
		3				
C1.3	**Of the mentioned peacebuilding activities** *in C1.1,* **which ones are/were the least effective** (maximum three)? 87. None	1				
		2				
		3				
C1.3.1	**Why do you say so?**	1				
		2				
		3				
C1.4	**Have you participated in any way in these activities** *(in C1.1)*? Yes No ……….. *GO TO C2*					

		Time period			
		1	**2**	**3**	**4**
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C1.4.1	*If yes in C1.4* **In which activities have you participated?** Early Warning, Early Response Rehabilitation of militias Livelihoods, education, building, etc activities undertaken across different ethnic groups to support coexistence Hate speech monitoring Peace monitoring and SMS Peace journalism Community Dialogue and reconciliation Cross-cultural events—for example, sports, road shows, music Training and capacity building for peace Supporting peace structures (committees and DPCs) Other (specify)… *Please enter all that apply*	1			
		2			
		3			
		4			

			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
		5				
C2	**Do/did any of the activities you are aware of** *(in C1.1)* **address the causes of conflict?** Yes No **….. GO TO C3** Don't know … **GO TO C3**					
C2.1	*If yes in C2,* **Which ones?**					
C3	**How have these activities** *in C1.1* **played any role in positively changing your attitudes toward other ethnic groups in this area?** Not at all Slightly A lot A great deal					
C4	**Have these activities** *in C1.1* **played any role in changing your behavior toward other ethnic groups in this area?** Yes No ………. **GO TO C5**					
C4.1	*If yes in C4,* **What are/were these changes in behavior that you have individually experienced?** Participating in others' cultural celebrations Going to the same markets Participating in common recreation or sports Sharing common resources amicably	1				
		2				

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	Engaging in joint business activities Recognition of a common dispute resolution mechanisms OTHER (SPECIFY) …	3				
		4				
		5				
C5	**Have these activities** *in C1.1* **played any role in positively changing your community's attitudes toward other ethnic groups in this area?** Not at all Slightly A lot A great deal					
C6	**Have these activities** *in C1.1* **played any role in changing your community's behavior toward other ethnic groups in this area?** Yes No ………… *GO TO C7*					
C6.1	*If yes in C6,* **What are/were these changes in behavior in your community that you have**	1				

			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
	observed? Intercommunity and intracommunity peace 2. Stronger belief in inter- and intra-community harmony 3. Reconciliation with other communities (peace pacts etc.) 4. Increased sense of security 5. Security of property ownership (including land) 6. Inclination to violence 8. Increased tensions between/among communities 98. OTHER (SPECIFY) …	2				
		3				
		4				
		5				
C7	**What else could be/have been done in order to address the causes of the conflict in this area?** Undertake land reform Fast track security sector reform Resettle IDPs Provide safe housing Create jobs Facilitate peacebuilding, Cohesion and Reconciliation activities Enhance access to justice (courts of law) Improve inter-religious tolerance Don't know Other (specify) ….	1				
		2				
		3				
		4				

			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
		5				
C8	**Suppose the activities mentioned above (**in C1.1**) were to end today, do you think the peace situation would deteriorate?** Yes No Don't know					
C9	**Suppose CSOs were to stop their conflict prevention and reduction activities in the area today, do you see the activities being carried forward by the community members?** Yes No *Please justify your answer*					
C9.1	**If yes, why do you say so?**	1				
		2				
		3				
		4				
		5				
C9.2	**If no, why do you say so?**	1				
		2				

			Time period			
			1	**2**	**3**	**4**
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
		3				
		4				
		5				
C10	**Have you contributed resources (e.g. transport, food, money etc.) in support of peacebuilding in this area?** Yes No					
C11	**Have members of your community contributed resources (e.g. transport, food, money etc.) in support of peacebuilding in this area?** Yes No Don't know					
C12	**Have/had you heard of any of the following CSOs, within the given time periods?** 1. Yes 2. No ………. *GO TO C13*					
	1	PACT/Kenya Civil Society Strengthening Program (KCSSP)				
	2	Mercy Corps/Rift Valley Local Empowerment for Peace (LEAP II)				
	3	CHF International/Kenya Tuna Uwezo				
	4	International Rescue Committee/Peace Initiative Kenya (PIK)				
	5	Catholic Relief Services (CRS)/People to People Peace Project (3Ps)				
	6	Internews/Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya				

		Time period			
		1	**2**	**3**	**4**
		Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C12.1	*If yes in C12,* **Which ones are/were active in this area?** PACT Mercy Corps CHF International International Rescue Committee Catholic Relief Services (CRS) Internews None …… ***GO TO C14*** Don't know … ***GO TO C14*** ***Enter all that apply***	1			
		2			
		3			
		4			
		5			
		6			
C13	**Which (other) CSOs are/have been active in peacebuilding activities in this area, over the given time periods?** *List all mentioned here then enter by year as appropriate* 1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 90. None	1			
		2			
		3			
		4			
		5			

			Time period			
			1	2	3	4
			Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
		6				
		7				
		8				
		9				
		10				

How much do you agree with the following statement, as applicable in the given time period?
Totally disagree with statement
Disagree
Undecided
Agree
Totally agree with the statement

		Time period			
		1	2	3	4
	Statement	Immediately after December 2007 general elections	After August 2010 Referendum	Just before and during the March 2013 general election	After the March 2013 general election (March 2013 to Present)
C14	The activities by CSOs in general have contributed to peaceful co-existence amongst the various communities in this area				

Thank you very much for your cooperation and participation in the survey.

END

CASE NUMBER …………………………………..

THE SURVEY SCREENER

S1. How many adults aged 18 years and above live in this household? ……………….. *(Enter number)*

Use the table below to list *(from oldest to youngest)* **and capture the relevant screening details for each of the adults in the household.**

S2		S3	S4		S5	S6
#	**Name of each adult household member** *(Oldest to youngest)*	**Age**	**When did …. Celebrate his/her latest birthday?** *(Day, Month)*		**Does … belong to any of the following categories?** House help Very sick to effectively communicate Very old to effectively communicate Dumb/deaf Too drunk to effectively communicate Does not understand English, Kiswahili and Kalenjin Is a visitor to the household **Yes ….** *Exclude from likely respondents* **No**	**The selected target household responde nt is ……** *(Tick)*
			Day	Month		
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						

ANNEX K.

OVERARCHING FACTORS AND AGGREGATED IMPACT OF APPROACHES TO CONTRIBUTION (QUESTION 1)

Overarching factors were expressed during the evaluation data collection as factors present across Kenya, which influenced the relative absence of violence in the 2013 elections. These are listed in the box and are described thereafter.

1. *International Environment:*

Findings: Respondents noted the constraining nature of the ICC prosecutions on leaders' and politicians' behavior with its implicit message of being responsible and accountable for one's actions. When asked what factors contributed to the peaceful election, 30 of the 91 KIIs and seven of the 23 GDs cited the ICC factor. This is supported by findings in other literature that cite the influence of having international "eyes" monitoring how Kenya conducted its elections.[106]

Conclusion: The awareness of being monitored by the international community, in conjunction with the ICC proceedings, constrained politicians' behavior.

2. *National Institutional Environment:*

Findings: The influence of the national institutional environment and reforms emerged as a factor contributing to the peaceful election — including the introduction of the new 2010 constitution and associated institutional reform of key institutions such as the Independent Elections and Boundaries Commission (IEBC), the judiciary, the police, processes under way such as the Truth, Justice and Reconciliation Commission (TJRC), and the importance of the new commissions such as the NCIC. These findings were substantiated by views expressed in 16 of the 91 KIIs and 17 of the 23 GDs as well as by numerous academic articles.[107,108]

Conclusion: Together these reforms and processes provided a greater degree of confidence that there were genuine avenues of recourse should elections be disputed, and potential for improvements in governance.

3. *Political Alliance:*

Findings: The political agreement between Uhuru Kenyatta and William Ruto brought together the previously conflicting ethnicities of 2007–08 in alignment rather than contesting political power. It was

> **PERCEPTIONS OF OVERARCHING FACTORS INFLUENCING THE ABSENCE OF VIOLENCE**
>
> 1. International Environment: ICC tackling impunity, International "eyes" monitoring
> 2. National Institutional Environment: Constitution and institutional reform, IEBC, judiciary, police reform, NCIC's tackling structural causes of violence in 2008 including environment of impunity
> 3. Political alliance between Uhuru Kenyatta and William Ruto
> 4. Enabling Environment: "conflict memory,"
> 5. Monitoring: NCIC, hate speech, political incitement
> 6. National Self-Regulation: politicians, religious institutions, media houses, media council, civil society
> 7. Horizontal interactions
> 8. Externally supported interventions (e.g., in support of reform processes)

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[106] 1) International Crisis Group. 2013. *Kenya's 2013 Election.* Africa Report no. 197, Jan. 17, 8–9. 2) James D. Long, Karuti Kanyinga, Karen E. Ferree, and Clark Gibson. 2013. "Choosing Peace Over Democracy." *Journal of Democracy* 24(3):140–55. 3) S. Richard. 2013. *Bombing the People With Peace: A Follow-Up Report on the 2013 Kenyan Elections and Disaster Risk-Reduction Efforts.* Feinstein International Center, 10.

[107] See also 1) S. Richards. 2013. *Bombing the People With Peace: A Follow-Up Report on the 2013 Kenyan Elections and Disaster Risk-Reduction Efforts.* Feinstein International Center, 11. 2) International Crisis Group. 2013. Kenya's 2013 Election, Africa Report no. 197, Jan. 17, 6–7 (on the Supreme Court). 3) Mwangi S. Kimenyi. 2013. "Kenya: A Country Redeemed After a Peaceful Election." Brookings Institution. 4) Yuhniwo Ngenge. 2013. "Kenya 2013 Elections: Reflections on the Supreme Court Ruling and the Role of the Judiciary in Democratization." *Open Democracy* April 18.

[108]. Long, J. D., K. Kanyinga, K. E. Feree, and C. Gibson, (2013), "Choosing Peace over Democracy," *Journal of Democracy*, 24:3 (July): 140-155. p. 151

therefore no longer in their interest to fight. This was considered a factor preventing violence by all of the four GDs in the Rift Valley and 14 of the 91 KIIs, and was considered particularly influential in preventing violence in the Rift Valley within the international environment of the ICC cases.[109]

Conclusion: The political alliance between Uhuru Kenyatta and William Ruto in the Jubilee Alliance was a key factor in preventing violence between the Kalenjin and the Kikuyu.

4. *'Conflict Memory'*:

Findings: The ongoing influence of the traumatic violence, or "conflict memory," of 2007–08 was considered a key factor and cited by 13 of the 23 GDs and 24 of the 91 KIIs.

Conclusion: The Kenyan people did not want a repeat of the conflict experienced in 2007–08.

5. *Monitoring:*

Findings: Ten of the 91 KIIs described how important the monitoring was that was conducted by a range of actors from NCIC[110] and civil society, as well as trained police monitors listening to political leaders at public rallies and holding them to account.[111] This finding was also reflected in the literature.[112] Monitoring of hate speech is discussed further below.

Conclusion: Forms of monitoring of hate speech and political incitement were perceived positively (though the reality was not verified) in curbing incitement by politicians and therefore reducing violence.

6. *National Self-Regulation:*

> **'PROFESSIONAL SURRENDER' — MEDIA BEHAVIOR DURING THE 2013 ELECTIONS**
>
> The local media displayed extreme caution and restraint, bordering on self-censorship, in terms of how it reported the election. When gangs ambushed and killed police officers and attacked a polling station in Kenya's troubled coast region — where a group calling itself the Mombasa Republican Council had been making demands for secession, and had even threatened to boycott the elections — the story was barely reported in the local press. Similar acts of violence and disturbances in other parts of the country were also downplayed, perhaps in the belief that reporting these events would trigger copycat incidents elsewhere, or would make the violence appear more widespread than it really was.
>
> *—Source: R. Warah. 2013. "The Kenya Media's 'Move On' Mantra." allAfrica.Com*

Findings: Respondents noted that key stakeholders such as politicians, religious institutions, media houses and civil society were keen to demonstrate that they were "doing the right thing" and were promulgating peace. For example, speaking at a Feb. 24, 2013, prayer meeting at Uhuru Park, presided over by prophet David Owuor, the two top presidential candidates (Uhuru Kenyatta and Raila Odinga) each pledged to preach peace before the general elections and to concede defeat if he lost.[113] Further,

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[109] K. Opala. 2013. "Postelection Report: Kenyan Elections 2013." March 11.

[110] Discussion of NCIC emerged mostly in eight KIIs/GDs — equally inside and outside of Nairobi and equally negative and positive. Some positive examples were: NCIC work on monitoring hate speech; NCIC giving people confidence in judiciary, and initiatives in Kilifi.

[111] International Crisis Group (2013), Kenya's 2013 Election, Africa Report no. 197, 17 January p. 4; Richard, S. (2013), "*Bombing the People with Peace: A Follow-up Report on the 2013 Kenyan Elections and Disaster Risk Reduction Efforts* (Feinstein International Center, May), p. 14.

[112] International Crisis Group (2013), Kenya's 2013 Election, Africa Report no. 197, 17 January p. 4; Richard, S. (2013), "*Bombing the People with Peace: A Follow-up Report on the 2013 Kenyan Elections and Disaster Risk Reduction Efforts* (Feinstein International Center, May), p. 14.

[113] Capital Fm news, Feb. 24, 2013.

the electoral code of conduct and the media council guidelines[114] served to check the behavior of both political leaders and media.[115]

Conclusion: Key stakeholders such as politicians, religious institutions, media houses and civil society were keen to demonstrate that they were "doing the right thing" and were promulgating peace.

7. *Horizontal Interactions:*

Findings: There were interactions between the different stakeholders holding one another accountable. For instance, Mercy Corps said it contacted national politicians to provide messages of peace at the community level. Kenya Red Cross Society (KRC) held a public event in which politicians signed a commitment to peaceful elections and an acceptance of the result.

Conclusion: There were not only vertical interactions between stakeholders (and factors influencing them), but also important horizontal interactions.

8. *Supportive Interventions:*

Findings: While USAID's conflict intermediate result 4 focused on seizing windows of opportunity and addressing rising tensions in conflict hotspots, its other Democracy Rights and Governance activities were feeding into and supporting peaceful 2013 elections. IR5, for example, is aimed at increasing participation in the electoral process, strengthening the electoral dispute mechanisms and the capacity of the election management body, ensuring the media played a positive role in the elections, facilitating monitoring and support to the new electoral legal framework. All of these were parallel efforts aimed at peaceful elections in 2013. Other IRs target governance institutions and political parties (IR1), devolution (IR2) and civil society and media (IR3).[116] USAID's OTI first focused on helping to stabilize traumatized and volatile communities, and later funding for civil society, political elites and key local and national government institutions to implement meaningful structural and behavioral reforms.[117]

The DFID Operational Plan for 2011–2015 reflects an emphasis on accountability programs, security for the poor and devolution, along with election management and security.[118]

Conclusion: Donors were supporting interventions at the national level that focused on promoting a supportive national institutional environment for peaceful 2013 elections; these also contributed to peace during the 2013 elections.

Findings and Conclusions Concerning Overarching Factors in the Aggregate

Findings: The most significant of the above overarching factors cited by GDs included: the national institutional environment (17 of 23 GD), the constraining effect of the ICC on politicians (six of 23 GDs), and the political alliance between Uhuru Kenyatta and William Ruto (four of 23 GDs).[119] More than half (13) of the 23 GDs noted their "conflict memory" was a powerful disincentive for violence,

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[114] Elections Act, 2011, Second Schedule (S. 51(6), 110(1)) pg. 95.

[115] Nation Media Group published an announcement outlining the requirements of any political advertisement several months before the elections *Saturday Nation,* May 19, 2012.

[116] USAID Kenya. 2012. *Democracy, Rights and Governance Project, Project Approval Document, October.*

[117] KTI (2013) Legacy Report.

[118] DFID Kenya (2012) Operational Plan 2011–15.

[119] The power of this alliance cannot be underestimated, as evidenced by the statement in one of the four GDs held in the South Rift Valley, which considered that without the Ruto/Uhuru alliance, no amount of peace messaging could have influenced the absence of violence.

which correlates with the incidence of postelection violence (PEV) in 2007–08. Rift Valley and Nairobi respondents expressed this more than others.

In conjunction with the overarching factors, there were also significant factors at the community level supporting the absence of violence. Three categories of conflict mitigation intervention, including the USAID-supported 10 approaches, were described: a) *state-led interventions* such as security force deployment and contingency planning were cited by seven of the 23 GDs and corroborated with an interview with the inspector general of police; b) *civil society-led interventions* encompassing the 10 approaches and c) *joint civil society and state interventions,* also encompassing the 10 approaches, with examples such as early warning and early response (EWER), hate-speech monitoring and other interventions (e.g., the police-led community policing initiative implemented in different parts of the country).

The ways that interventions in the latter two categories contributed individually and together are discussed below (under the 10 approaches).

The different peacebuilding approaches were mentioned by 19 of the 23 GDs and 57 of the 91 KIIs. These are described as "peacebuilding initiatives" in the following chart that illustrates the number of times that all aggregated peacebuilding activities were mentioned in discussions and KIIs.

Two findings are critical. First is the degree of weight attached to the overarching factors during GDs and KIIs (and substantiated by the literature). Overarching factors were cited by KIIs and GDs as having contributed to the "peaceful" election almost twice as many times as the peacebuilding initiatives (combining the 10 approaches).[120]

Second, there is evidence of limited penetration of peacebuilding initiatives at a community level. Findings from the F2F survey suggest that throughout all four periods, only a 11 percent of respondents were aware of peacebuilding activities undertaken within their community. This represents 133 out of 1,255 respondents.

Conclusion: The absence of violence therefore was the result of a combination of many variables and factors that can be categorized as overarching and community-level factors. The 10 conflict mitigation approaches contained within the USAID-supported activities both influenced and contributed to these factors (as the findings relating to each of the 10 approaches below illustrate). They undoubtedly played a significant role in contributing to the absence of violence in the 2013 elections in the areas they were implemented. The ways they did this will be explored further below. However, the overarching factors, many of which speak to the root causes of violence in Kenya (see box on root causes), can be considered to have played a more influential role in preventing a repeat of 2007–08.

The Aggregated Impact of Various Approaches

Findings: The aggregated impact of various approaches was expressed best within the 3Ps activity, where integrated training and relationship building for peace actors was combined with dialogue and peace dividends. This was an excellent example of how the different approaches combined could become more than the sum of their parts. Similarly, the role of DPCs in peace messaging and early warning supported mechanisms is another illustration of the interrelated and reinforcing nature of the approaches. Peace messaging, for example, played on conflict memory and there is some evidence (although weak) that local dialogues in the Rift Valley may have laid the ground for the political alliance between Kenyatta and Ruto (reported by two KIIs). USAID-supported partners were engaged in holding

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[120] Similar findings are detailed in the academic literature. J.D. Long, K. Kanyinga, K.E. Feree, and C. Gibson. 2013. "Choosing Peace Over Democracy." *Journal of Democracy* 24(3):140–55.

leaders accountable for their behavior through the elections by making them sign peace pledges. A further example of aggregated reach is seen in the "incremental positive coordination" at the Coast and in Eldoret, meaning that some partners did coordinate directly with each other where appropriate, in addition to participation in USAID's Regional Working Groups (which were referenced only by groups at the Coast briefly, but not Eldoret). The KCSSP organizational development approach was complemented and supplemented by trainings or different approaches from PIK (financial training) and LEAP (community dialogue methodologies and mobilization techniques), which shows that partners were working together and activities were coordinated. Secondly, under the approach "Relationship Building for Local Peace Structures," one key informant described the web of peace actors working together within the peace ecosystem as a self-supporting complementary and compensatory mechanism. Thus, if one part of the system was not operating, their function would be taken on by another.

Conclusion: The approaches were reinforcing and interrelated with limited horizontal and vertical linkages between approaches as well as with overarching factors. The 10 approaches strengthened conflict mitigation capacities at the local level. They empowered and provided opportunities for individuals within communities, who did not want a repeat of 2007–2008, to engage proactively in contributing to a more peaceful election, whether this was through engaging in monitoring, EWER, peace messaging, dialogue, more sensitive journalism or creating linkages with other actors. Significantly, they have also provided hope for many young people and communities; in the Rift Valley, dialogues have enabled sections of the community to return to a large degree of normalcy — something almost unthinkable a few years ago, when people could not even talk to each other or travel on the same matatu. This was significant, particularly for the communities where these activities took place.

Finding: Lessons from the PIK program (interview with program staff) suggest there are significant benefits to be gained of linking approaches to addressing gender-based violence (GBV) with the peacebuilding approaches. This is at an institutional as well as theoretical/technical level. Since there were few county-level structures working on GBV, the PIK activity engaged with the peacebuilding architecture, which had the positive benefit of bringing the two communities of actors together. PIK staff consider this a discussion that needs to go forward so that all peace actors recognize GBV as part of the language of conflict management and peace.

Conclusion: Integrating GBV and peacebuilding has been beneficial.

Finding: According to program documents[121] the LEAP program worked on the basis that improved economic situations for Kenyan youth through microenterprise and livelihoods programs would reduce the likelihood that they would become involved in violence. In reflecting on the lessons from this program LEAP program staff recognized that while short-term youth employment generation programs can stabilize volatile situations, they were not so helpful addressing root causes. *Long-term* youth unemployment is often a structural or root cause of conflict. Thus addressing it only in the short term may prevent conflict for that specific period (e.g., elections), but does not alter the overall situation. It may overcome the risks around a specific conflict trigger or event, but still leaves the fundamental conflict driver issue untouched and waiting for the next trigger event. This view is supported by broader Mercy Corps research findings that sustaining stability requires investing in longer-term job creation that addresses young people's underlying grievances about the lack of meaningful and viable economic opportunities.[122] This points to a need going forward for programming approaches that not only provide short-term jobs, but also consider the generation of longer-term, more sustainable employment options.

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[121] See J. McAllum. 2012. *Final Evaluation LEAP II.*

[122] Mercy Corps. 2011. Peacebuilding Through Economic Development Approach.

The LEAP evaluation (Burbank, K., 2010) noted that there is a tension between achieving peace objectives and the economic objectives with group formation. In other words, to achieve success, combining economically mixed ethnic groups (aimed at strengthening peace between groups) may not be the most effective methodology.

Conclusion: The value of integrating and balancing peacebuilding and longer-term development approaches when targeting youth can pay dividends.

Recommendations for USAID on the Aggregated Impact of Various Approaches:

1. During the next two years of the PIK activity, it is recommended that USAID further explore the linkages between GBV and peacebuilding approaches and ensure that the two communities of actors continue to interrelate and cross-fertilize experience and learning.

2. Support fully *integrated* approaches to peacebuilding and development, which balance both objectives. This involves exploring solutions to the tensions identified by the LEAP program between achieving economic and peace objectives through multiethnic livelihood groups.

3. Continue to support holistic, multifaceted and integrated approaches and activities to peacebuilding and conflict prevention and mitigation that address the complexity of interrelated drivers of conflict.

4. Continue to encourage practitioners to identify and deepen both horizontal and vertical linkages between implementers themselves through continuation of USAID's regional partner working groups, as well as donors through more participation in donor working groups, to increase efficacy of interventions and secondly, between causal and influential factors affecting conflict and peace dynamics. For example, ensuring strong linkages between community interventions, program learning and community realities can inform policy change at the national level. Third, continue to support the deepening of linkages between sectors and different stakeholders working on converging issues of peace, such as the media and community organizations, and the emergency preparedness and humanitarian sector with peacebuilders, as demonstrated through the work during these elections.

ANNEX L.

DETAILED RECOMMENDATIONS FOR QUESTION 1, EWER

Question 1: EWER

This is to be able to answer the following questions:

    i.   To what extent should early warning/early response mechanisms be managed by civil society?

    ii.   To what extent is it helpful to have a plethora of different systems rather than one harmonized system per region?

    iii.   What is the optimum accountability mechanism to ensure that early response does indeed follow from the early warning?

    iv.   How can vertical and horizontal systems best be combined to obtain the fastest and most effective response?

    v.   What role can the private sector play in EWER?

A methodology would incorporate the following:

    i.   Identification of the different types of mechanisms and their fundamental characteristics.

    ii.   Identification of a representative sample of the main different types of EWER mechanism for follow-up interview and analysis.

    iii.   Retrieval of the quantitative data available from the mechanisms and subsequent analysis of that data to better understand the different efficacies (and associated reasons for them), response rates and challenges associated with the different models. (Note that the evaluation team was informed that a research permit would be required to access the numerical data of the NSC EWER mechanisms; it is likely that this would also be the case for response data from security agencies.)

    iv.   Interviewing key stakeholders involved in the working of the mechanisms to elicit findings regarding their relative effectiveness and efficiency, as well as the reasons behind the variation. Interviews should cover the following stakeholders at both national and local levels: implementing operators, data analysts, security agencies involved in response, civil society stakeholders involved in the different phases (i.e., EW and ER).

    v.   Recommendations, lessons and discussion of the findings.

ANNEX M.

TABLE OF DRG CONFLICT MITIGATION ACTIVITIES

Table 1.DRG Conflict Mitigation Activities

Activity and Implementer	Summary of Program	Funding	Implementation Dates
Kenyan Civil Society Strengthening Program PACT Inc.	Strengthen the capacity of civil society in 1) advocacy for improved governance, 2) conflict management and 3) natural resource management.	$35.5 million	2008–13
Kenya Tuna Uwezo CHF International	The program uses the constitution as a uniting document to educate and develop civic action interventions in Nairobi slums. Different ethnic groups are targeted and work is conducted through a conflict-mitigation lens.	$1.6 million	2/27/2012–2/26/2014
Rift Valley Local Empowerment for Peace (LEAP II) Mercy Corps	Strengthen the ability of local actors to address the root causes of postelection violence and to promote peace and reconciliation at the community level.	$2.7 million	07/2010–07/2013
Peace Initiative Kenya—PIK International Rescue Committee	Train teachers, parent/teacher members, Yes Youth Can leaders, women's organizations, and possibly community health workers to be peacebuilders in their communities. Strong focus on GBV.	$3.2 million	07/2012–09/2015
People to People Peace Activity (3Ps) Catholic Relief Services	Strengthen community peace structures at the village and district levels and increase members' skills in peacebuilding. Targeted areas: Burnt Forest, Kuresoi and Likoni.	$599,685	2/26/2010–2/25/2012[123]
Reporting for Peace, and Land and Conflict Sensitive Journalism in Kenya. Internews	Work with local media to mitigate conflict and contribute toward peacebuilding; conflict management and mitigation (CMM) focus on land issues.	$2.3 million	1/1/2010–5/31/2013
Total Funding		$42.7 million	

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[123] An additional two-months, no-cost implementation period was added to this, with the project closing in April 2012.

ANNEX N.

TABLE OF EXTENT TO WHICH THE APPROACHES ADDRESS ROOT CAUSES

Table 2. A Theoretical Analysis of the Extent to Which the Approaches Are Able to Address Root Causes

Approach	The Extent to Which the Approach Is Able to Address Root Causes
Early Warning and Early Response	This is an approach to prevent, mitigate and contain violence, should it erupt. It is therefore not addressing underlying root causes, but simply responding in the event of conflict or potential conflict. At minimum, it might be argued that these mechanisms could bolster state capacities to respond where they are embedded in state institutions and there is ongoing support. Potential linkage to underlying cause: Erosion of state capacities.
Targets of Opportunity	This was a rapid-response mechanism disbursing short-term grants (e.g., a couple of months) or one-off activities; it was not designed as a tool for root causes. Nevertheless, some grants did support policy debate, public participation or structural issues linked to root causes, such as the Land Bill, Impunity, etc. Potential linkage to underlying cause: Culture of impunity and weak police and justice sector.
Peace Dividends	By linking peacebuilding with development opportunities, it is theoreticallyt possible to use peace dividends to address root causes such as the existence of unemployed or idle youth. Indeed, the KTU activity targeted youth who were vulnerable to incitement in the informal settlements and encouraged them to engage in joint cross-ethnic economic activities and to resist incitement. LEAP also supported youth groups in economic peace dividends, which addressed root causes. In some cases, however, the short-term nature and focus of connector activities may inhibit their potential to address the issues over the longer term.[124] Potential linkage to underlying cause: Cohort of idle/unemployed youth.
Use of Media, social Media, and Hate-Speech Monitoring	The L&CSJ activitiesought to engage on and address land issues both at the local level and the higher national policy level and therefore sought to address the root cause of "Grievances over the distribution and allocation of resources including land."
	Hate-speech monitoring is able to address a root cause of conflict: the "environment of impunity" within which politicians act. However, the long-term impacts of this approach will be contingent on other elements being in place, notably successful convictions of those prosecuted for hate speech.
	While there have been prosecutions of those involved in hate speech, those cases investigated by the NCIC have yet to lead to convictions. If there are no convictions, this risks an implicit message reinforcing impunity rather than accountability. Potential linkages to underlying cause: Historical grievances over the distribution and allocation of resources; Culture of impunity and weak police and justice sector.
Community Dialogues and Reconciliation Efforts	In theory, community dialogues and reconciliation efforts may help address ethnically based politics and, optimistically, historical grievances; however, these were constrained. Potential linkages to underlying cause: ethnically based patronage politics; historical grievances over the distribution and allocation of resources.
Peace Messaging and	Peace messaging as an approach was not intended to address the root causes of conflict. However, some instances of peace messaging (e.g., community theater)

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[124] For instance, the bridge connector projects involved youth labor and were halted once the project was completed.

Approach	The Extent to Which the Approach Is Able to Address Root Causes
SMS Platforms	reportedly did explore deeper issues such as land, showing that in principle it was possible that longer-term grievances were addressed. Potential linkage to underlying cause: Historical grievances over the distribution and allocation of resources.
Capacity-Building for Local Organizations	This approach is aimed fundamentally at strengthening civil society organizations through institutional development ID and skills transfer. Improving the effectiveness of local organizations may address root causes indirectly through improving advocacy, policy influence and holding the government accountable if local organizations are engaged in those types of activity. For the most part, the peacebuilding and conflict-mitigation activities were not related, except through the provision of grants under KCSSP where such activities were supported. Potential linkage to underlying cause: N/A.
Training for Local Actors and Peace Champions	This approach was aimed at providing skills to actors on peacebuilding and conflict mitigation as well as on hate-speech monitoring. Improved skills at this individual level may assist in addressing small local or domestic disputes, but is unlikely to be able to touch intercommunity issues or historical grievances deeply. Nevertheless, it may have enabled personal participation in peace activities and there were cases cited where monitors reported an effective response to hate speech. Without the institutional framework, it is hard for this approach to address root causes. Potential linkage to underlying cause: N/A.
Relationship Building for Local Peace Structures	This approach was aimed at linking actors within the peace architecture, in particular to mitigate conflict rather than address root causes. Potential linkage to underlying cause: N/A.
Training and Support of DPCs	DPCs are envisioned as a conflict management and mitigation mechanism, rather than one focused on key policy and institutional issues relating to root causes; but they can play a role in helping support and facilitate the role of state structures and bringing civilian capacities on board. At this time, however, while the structure has an uncertain future and institutional home and with the inconsistent support and multiple challenges facing DPCs, their contribution is likely to be limited. Potential linkage to underlying cause: Erosion of state capacities.

ANNEX O.

OBJECTIVES AND INDICATORS MOST RELEVANT TO CAPACITY BUILDING

Kenya Tuna Uwezo (KTU):

Objective 2: Enhanced ability of local institutions to lead and implement people-to-people peace building process independently.

Indicators:

- #of non-governmental constituencies built or strengthened with USG assistance.
- # of local organizations with improved organizational capacity.
- # of local organizations with improved technical capacity in conflict management and mitigation.

People to People Peace Project (3Ps):

Intermediate Result 1: Community peace structures in Burnt Forest, Kuresoi and Likoni are strengthened.

Indicator: Number of peace-building structures established or strengthen with USG assistance that engaged conflict-affected citizens in peace and/reconciliation processes.

Land and Conflict Sensitive Journalism in Kenya (L&CSJ):

Objective: Capacity of partner community and vernacular media in Kenya is strengthened to better serve the information needs of conflict-affected communities using conflict-sensitive ethical approaches.

Indicator: Partner media outlets display improved capacity for conflict-sensitive coverage of Democracy & Governance themes including land rights and conflict.

Kenya Civil Society Strengthening Program (KCSSP):

Objective 2: To strengthen the capcity of CSOs, community based organizations (CBOs), local peace structures and the Government of Kenya (GOK) to reduce incidences of violent conflict in target areas and ultimately advance peace in Kenya.

Indicators:

- Number of people trained in conflict mitigation/resolution skills with USG assistance (men and women).
- Number of USG programs supporting a conflict and/or fragility early warning system and/or response mechanism.
- Number of USG-facilitated events geared toward strengthening understanding and mitigating conflict between groups.
- Number of people attending USG-assisted events that are geared toward strengthening understanding and mitigating conflict between groups.

Rift Valley Local Empowerment for Peace (LEAP II):

Objective: Strengthen sustainable mechanisms for conflict mitigation and reconciliation.

Indicator: Number of peace-building structures established or strengthened by USG assistance that engaged conflict-affected citizens in peace and reconciliation processes.

Peace Initiative Kenya (PIK):

Objective: Develop a Peace and GBV Training Campaign targeting community youth, women leaders, teachers and community health volunteers at the village level.

Indicators:

- Number of USG-funded events, trainings, or activities designed to build support for peace or reconciliation on a mass scale.
- Number of people participating in USG-supported events, trainings, or activities designed to build mass support for peace and reconciliation.

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