

# **DRAFT GUIDELINES FOR THE PREPARATION OF FOURTH GENERATION STRATEGIC PLANS (2018-2022)**

## **INTRODUCTION**

The mandate of the Ministry of Devolution and Planning, in accordance with the Executive order No. 1 of May 2016, broadly covers issues of devolution, national and sectoral development planning and special programmes for socio economic development. Key among them, the Ministry is mandated to issue Guidelines for the Preparation of Strategic Plans to be followed by all Government Departments/Ministries and Agencies (MDAs).

The Guidelines are in two parts. Part A outlines the planning and preparatory processes and key activities that Departments/Ministries and SAGAs should undertake as pre-requisites to completing their Strategic Plans. Part B gives the contents for the Strategic Plans - a format that should be followed by all Departments/Ministries and SAGAs.

## **PART A: STRATEGIC PLANNING PROCESSES AND PRE-REQUISITES**

As the Government of Kenya's main tool for establishing development effectiveness, the Strategic plans align national development priorities, expected outcomes and general results with budget levels. Strategic Plans will be the basis for identifying deliverables under the Performance Contracting mechanism and for individual annual Performance Appraisal.

The Guidelines are intended to be used by all Government Departments/Ministries and Semi-Autonomous State Agencies (SAGAs) as the framework for the preparation of their Strategic Plans for the period 2018-2022.

The Strategic Plans will take due cognisance of the Constitution of Kenya and will be anchored on the Kenya Vision 2030 and its Third Medium-Term Plan (MTP 2018-2022), the Sustainable Development Goals (SDGs) and Africa's Agenda 2063. In following the Guidelines, Departments/Ministries and SAGAs are also required to use a participatory approach, relying on the consensus of key stakeholder groups including civil society, the private sector and donor partners, to ensure the requisite ownership of the developed plans.

These *Guidelines* have benefitted from the lessons learnt in the preparation of the First Generation Strategic plans (2004/05), the Second Generation strategic Plans prepared (2008/09) and the Third Generation strategic Plans prepared (2013/14), as well as the feedback the Ministry of Devolution and Planning has received from various MDAs.

### ***Stakeholder Consultations***

The preparation process will be steered by Cabinet Secretaries and Principal Secretaries in the Ministries/Departments and Chief Executives in the case of State Corporations. The stakeholders will comprise of key external and internal actors, including the Top Management of the MDA. In cases where consultants are involved in the strategic plan preparation process, the key stakeholders listed above will be required to be closely involved in the process and will ensure that the *Guidelines* are followed.

### ***Linkages***

The Strategic Plans must demonstrate clear linkages with the Kenya Vision 2030 and the third MTP 2018-2022, the Sustainable Development Goals (SDGs) and Agenda 2063. They must also be linked to the Medium Term Expenditure Framework (MTEF) budget process as well as the human resource planning, thus ensuring financial availability for programmes activities as well as human capacity to facilitate successful implementation. Plans should also take into consideration proven best practices. Where applicable, they should clearly indicate linkages with the devolution structures.

### ***Risks***

Strategic Plans should also show an assessment of any strategic, environmental, political, organizational, operational or financial risks or technological and structural changes that could affect implementation success. Risks should be prioritised with suggested action for mitigation, monitoring and reporting.

### ***Monitoring, Evaluation and Reporting***

A Monitoring and Evaluation framework with clear outcomes, outputs and their corresponding SMART indicators should be annexed to the Plan. The set of indicators should give a complete picture of the status of the Department/Ministry/Sector/SAGA through regular monitoring and evaluation. The plan should also identify three (3) to four (4) outcome indicators that will be included in the Monitoring and Evaluation Framework for the third MTP 2018-2022.

### ***Preparatory Activities***

Departments/Ministries and SAGAs should familiarise themselves with the relevant policy documents, including:

- a. Kenya Vision 2030
- b. Third Medium Term Plan (2018- 2022)
- c. The Constitution of Kenya
- d. The Sustainable Development Goals (SDGs)
- e. Africa's Agenda 2063
- f. The MDA's enabling Act and Acts relevant to the Sector's activities
- g. The Executive Order (Presidential Circular) on Organizational of the National Government
- h. Performance Contracting Guidelines
- i. The National Integrated Monitoring and Evaluation System.

Departments/Ministries and SAGAs should also in the process of preparing the Strategic Plan:

- i. Hold consensus building meetings with all Heads of Departments in the Department/Ministry or Key Senior Staff in the State Corporation;
- ii. Identify national priorities and describe how the organisation's priorities will contribute to the achievement of these priorities;
- iii. Conduct a Situational Analysis (SWOT) and/or review the implementation of the previous Strategic Plans (where applicable), identify emerging issues, key strategies to address them and key success factors;
- iv. Undertake a Stakeholder Analysis; Political, Economic, Social, Technological, Environmental and Legal (PESTEL) analysis and integrate emerging issues in the Strategic model;
- v. Review the Vision and Mission Statements and core values, where they exist and recast where necessary;
- vi. Review and refine their core functions and policy priorities, identifying functions to be privatized, commercialized, contracted out, abolished or transferred to other Departments/ministries, agencies, SAGAs or Authorities;
- vii. Assess any risks and prioritise them with suggested action for mitigation, monitoring and reporting;
- viii. Take due cognizance of the two levels of Government - National and County - clearly indicating their roles in the devolution process (if any), and any linkages between the two levels;
- ix. Identify overlapping and duplicating functions with and across Departments/Ministries, departments and agencies;

- x. Review the organizational structure and develop an appropriate structure;
- xi. Evaluate the staffing levels and skills gap against the desired organizational structure and identify areas of staff surplus and deficit (by category of staff); and
- xii. Hold consensus meetings with stakeholders.

## **PART B TABLE OF CONTENT FOR STRATEGIC PLANS**

In order to ensure that Strategic Plans meet requisite standards, the State Department of Planning and Statistics in issuing these Guidelines also recommends that the outline given below should be followed by all Departments/Ministries and SAGAs. The sections of the outline are as follows:

### **1. INTRODUCTION**

*(This section will describe the rationale for preparation of the strategic plan and brief on the background and mandate of the MDA. The section will also describe the Kenya's Development Challenges: Global, Regional and National and an Overview of the Vision 2030 the Medium Term Plan (2018-2022) targets as well as the Ministry's/SAGA's development role vis-à-vis the national development agenda, SDGs and Agenda 2063)*

### **2. SITUATIONAL ANALYSIS OF THE MDA**

*(This section will review performance under the previous Strategic Plan, it will document lessons learnt from implementation of last three Strategic Plans (where applicable), showing how those lessons have informed the current Plan. Also to be done are the SWOT Analysis, PESTEL Analysis and Stakeholder Analysis).*

### **3. STRATEGIC MODEL**

*(This section will give the framework for the Departments/Ministries'/SAGAs' operations, i.e. Vision and Mission statements as well as the core values, 'what' it intends to do - given lessons learnt and Vision priorities. This section will also outline the Ministries'/SAGAs' areas of focus under the Strategic Plan. It will elaborate the Departments/Ministries'/SAGAs' strategic goals and objectives and planned outcomes in relation to its focal areas. Focal areas and planned outcomes must be shown with their linkages to the Medium-Term Plan and the SDGs)*

### **4. IMPLEMENTATION AND COORDINATION FRAMEWORK**

*(This section will address human resource and financial constraints, sources of funds, i.e., (government or other sources). The section will also show the results*

*of the capacity assessment, an analysis of Current Organizational Structure and Functions, capacity development strategy, cost of the capacity development strategy, the organizational chart, with comments elaborating changes made to implement the Strategic Plan. In addition, the section will show responsible teams for implementing the various aspects of the Strategic Plan.*

*The section will further show the work flow and responsibility and offices accountable, especially for the preparation of monitoring and evaluation reports. The section will also describe any strategic, environmental, political, organizational, operational or financial risks or technological, structural changes that could affect implementation success. Additionally, it will prioritise those risks and give planned actions for mitigation, monitoring and reporting of those risks).*

*Linkages between the National and County levels of Government should be clearly shown.*

#### 5. MONITORING, EVALUATION AND REPORTING

*(This section will outline the monitoring, evaluation and reporting framework for the Strategic Plan. It will give main output/outcome indicators and 3-4 indicators for national monitoring of the MTP 2018-2022. It will also identify annual targets for inclusion in the Performance Contracts of the Departments/Ministries and SAGAs and those that are part of SDGs mainstreaming for reporting to the Ministry of Devolution and Planning. A larger results matrix will be attached as Appendix A)*

**APPENDIX A: RESULTS MATRIX<sup>1</sup>**

Strategic Objective	Strategy	Activity	Output	Outcome	Key Indicator	Reporting Schedule (Weekly/Annually/Quarterly, etc)	Target for 5 years	Target <sup>2</sup>					Budget (Mn)	Resp.
								Y1	Y2	Y3	Y4	Y5		

<sup>1</sup> This Results Matrix will focus on Outcomes and Outputs. A separate matrix will be prepared showing activities corresponding to the Output, Activity Indicators, Input and Indicative Budget. This information will inform Section 9 of the Strategic Plan.

<sup>2</sup> The MDA will be tied to these annual targets in its Performance Contract