



REPUBLIC OF KENYA

COUNTY ANNUAL PROGRESS REPORT (C-APR) GUIDELINES

**The National Treasury and Planning
State Department for Planning
Monitoring and Evaluation Directorate**

COUNCIL OF GOVERNORS

June, 2022

FOREWORD



We are pleased to present the Guidelines for the preparation of the County Annual Progress Report (C-APR) on implementation of the County Integrated Development Plans (CIDPs). The C-APR provides an analysis of the progress towards the attainment of development priorities and aspirations in the CIDP.

These Guidelines have been prepared in collaboration with county governments and development partners, to build county monitoring and evaluation capacities as outlined in the National Capacity Building Framework (NCBF) and the Fourth Schedule of the Constitution on technical assistance to the Counties. This collaboration is also in line with the Sixth Schedule (Section 15(2a) of which requires the National Government to: Facilitate the devolution of power; Assist county governments in building their capacity to govern effectively and provide the services for which they are responsible.

Previously, the National Government through the State Department for Planning in collaboration with stakeholders developed the County Integrated Monitoring and Evaluation System (CIMES) guidelines to provide basic principles for designing an effective M&E system in the Counties. This System coupled with electronic County Integrated Monitoring and Evaluation System (e-CIMES) will empower citizens to hold county governments accountable through regular monitoring and tracking of public results realized through public expenditures. These Guidelines are therefore part of the efforts to support the operationalization of CIMES in the Counties.

We are confident that these Guidelines will be a useful tool for those responsible for monitoring and evaluation in the Counties. Specifically, the Guidelines will be key in enhancing production of high-quality reports, strengthening reporting, learning and enhancing feedback mechanisms with all stakeholders. In addition, the Guidelines will be critical in supporting standardization of C-APRs, thus facilitating comparison of performance by counties.

Finally, we would like to extend our sincere appreciation to the Principal Secretary, State Department for Planning, Mr. Saitoti Torome, CBS and Chief Executive Officer, Council of Governors, Ms. Mary Mwiti, for providing administrative support in the production of these Guidelines.

Hon. (Amb) Ukur Yatani, EGH

Cabinet Secretary

The National Treasury and Planning

H.E. Hon. Martin Nyaga Wambora, EGH
Chairman

Council of Governors

ACKNOWLEDGMENTS



These Guidelines have been prepared through consultations and collaboration with the County Governments and other stakeholders. The Guidelines are in line with the provisions in the Constitution of Kenya, the County Government Act 2012, Public Finance Management Act (PFMA), 2012 and Public Investment Management Guidelines 2019. The preparation of the Guidelines made reference to the County Integrated Development Plans (CIDPs) Guidelines and Annual Development Plans (ADPs) for consistency in reporting.

We appreciate the technical team led by the Director, Monitoring and Evaluation Directorate in the State Department for Planning, Mr. Aloyce Ratemo, which developed these Guidelines right from inception to publication. Our appreciation also goes to the Economic Planning Secretary, Mrs. Katherine Muoki, for her invaluable guidance and policy direction offered during preparation of these Guidelines.

We also wish to acknowledge the unwavering support and inputs of the County Governments and technical officers from the Council of Governors (CoG). Finally, we take this opportunity to express our sincere gratitude to all the stakeholders involved in the preparation of these Guidelines.

These guidelines are available on the following websites: www.planning.go.ke; monitoring.planning.go.ke and www.maarifa.cog.go.ke.

A handwritten signature in blue ink.

Saitoti Torome, CBS
Principal Secretary
State Department for Planning
The National Treasury and Planning

A handwritten signature in blue ink.

Mary Mwiti
Chief Executive Officer
Council of Governors

List of Abbreviations and Acronyms

ADPs	Annual Development Plans
C-APR	County Annual Progress Report
CBO	Community Based Organization
CIDPs	County Integrated Development Plans
CIMES	County Integrated Monitoring and Evaluation System
CoG	Council of Governors
COVID-19	CoronaVirus Disease 2019
CSO	Civil Society Organization
e-CIMES	Electronic County Integrated Monitoring and Evaluation System
FY	Financial Year
GESI	Gender Equality and Social Inclusion
ICT	Information Communication and Technology
M&E	Monitoring and Evaluation
NCBF	National Capacity Building Framework
NGO	Non-Governmental Organization
NIMES	National Integrated Monitoring and Evaluation System
PFMA	Public Finance Management Act
SDGs	Sustainable Development Goals

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Definition of Terms

Baseline: A value that shows the initial state of an indicator at the start of a phase/programme/project, against which progress can be assessed or comparisons made.

Flagship Projects: These are projects with high impact in terms of employment creation, increasing county competitiveness, revenue generation etc. They may be derived from Kenya Vision 2030 or County Transformative Agenda.

Indicator: Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.

Outcomes: The behavioral change as a result of outputs/initiatives. Effects of output on beneficiaries' actions

Outputs: These are the final products i.e. goods or services produced after an activity or a set of related activities.

Programme: A grouping of similar projects and/or services performed to achieve a specific objective; The Programmes must be mapped to strategic objectives.

Project: A set of coordinated activities implemented to meet specific objectives within defined time, cost and performance parameters.

Sector: It is a composition of departments, agencies and organizations that are grouped together according to services and products they provide. They produce or offer similar or related products and services, and share common operating characteristics.

Sub-sector: It is an individual department, agency or organization that provides a specific service/product.

Target: A result to be achieved within a given time frame through application of available inputs.

SECTION ONE: INTRODUCTION

1.1. Background

The promulgation of the Constitution of Kenya in 2010 changed the governance structure from one central government to two levels of government namely: National and County Governments. Counties, through the Constitution and other relevant laws were given the mandate to perform specific functions using resources allocated to them by the National Government and their own source revenue. Counties are mandated to formulate and implement development plans as prescribed in the County Government Act, 2012 (Section 104) and Public Finance Management Act, 2012 (Section 126).

To entrench M&E in the Public Sector, the State Department for Planning in collaboration with other stakeholders has been building M&E capacities at both levels of government through provision of M&E technical support and the development of M&E tools and guiding documents including: Kenya Evaluation Guidelines; Monitoring and Evaluation Norms and Standards for the Public Sector; electronic National Integrated Monitoring and Evaluation System (e-NIMES) and electronic County Integrated Monitoring and Evaluation System (e-CIMES); County Integrated Monitoring and Evaluation Guidelines; County Result Based Monitoring and Evaluation Manuals; and National M&E Policy.

At the devolved level, tracking and reporting of the implementation of County Integrated Development Plans (CIDPs) is conducted through County Integrated Monitoring and Evaluation System (CIMES). The County Annual Progress Report (C-APR) is one of the key deliverables of CIMES. Its main objective is to provide the overall status of the CIDP implementation on an annual basis. Subsequently, this informs the preparation of the consequent Annual Development Plan (ADP) and annual budget preparation process.

C-APRs as currently prepared vary in regard to quality, completeness and meeting of stakeholders' information needs. The C-APR Guidelines therefore set standards that help not only to streamline reporting as per the law, but also harmonize county annual progress reporting.

1.2. Rationale for the Guidelines

The County Government Act No.17 of 2012 sections 47 & 30(2j), the County Performance Management Framework (CPMF) and PFM Act 2012 (Section 104) have provisions that require effective and efficient performance in the Public Sector. These provisions lay emphasis on the following: Reporting of annual Public Sector Performance; Timely reporting of implementation of plans, programmes and projects; Need for counties to report and account for all the resources, planned and budgeted for; and all county governments to submit to the County Assemblies the annual reports on the implementation status of all county policies and plans. Further, all Public Sector institutions are required to submit timely and accurate progress reports of programmes and

projects in line with approved indicators, reporting standards and formats. The reporting formats however, are yet to be standardized. Therefore, harmonization of the reporting format for C-APR would address existing capacity gaps in report preparation and presentation to oversight, legislative entities and other stakeholders for informed decision making and future planning.

These Guidelines will enhance generation of high-quality M&E reports that take into account reliability, comparability and timeliness.

1.3. Objectives

The objectives of the C-APR Guidelines are to:

- i. Improve quality and structure of the C-APR;
- ii. Harmonize county annual progress reporting on implementation of policies, programmes and projects.

1.4. Scope

The County Annual Progress Report Guidelines are designed primarily for Counties to track and report on development initiatives.

1.5. Organization of the document

The document is organized into seven sections. The first section presents the introduction, background, rationale, objectives, and scope of the Guidelines. The remaining sections present the contents of the C-APR as follows: Section two outlines the preliminary pages of C-APR; Section three presents C-APR first chapter (Introduction); the fourth Section is the C-APR second chapter (County CIDP Implementation Status); Section five is the third chapter of the C-APR (County Monitoring and Evaluation); Section six which is the fourth chapter of the C-APR (Cross-cutting challenges, lessons learnt and recommendations); and Section seven which is the last chapter of the C-APR is the conclusion and way forward.

SECTION TWO: C-APR PRELIMINARY PAGES

2.1 Cover Page

This includes the: National government logo on the top left; County government logo on the top right; Name of the County; Title of the Report; Period the report covers e.g. FY 2021/2022 and Date, i.e. Month, Year e.g. July, 2021 when the report is produced.

2.2 County Vision, Mission and Core Values

This should include the County's Vision, Mission and Core values.

2.3 Foreword

The foreword should cover the following;

- i. The basis for preparing County Annual Progress Report as articulated in section 126 of the Public Finance Management Act, 2012 and in accordance with Article 220(2) of the Constitution;
- ii. The linkage with the County Integrated Development Plans, Annual Development Plans, County Fiscal Strategy Paper and Sectoral Plans, and how the CIDP mainstreams National and International Commitments (e.g. Vision 2030, Agenda 2063 of the African Union, Sustainable Development Goals (SDGs) etc.);
- iii. A brief mention of 2 to 3 major achievements (outcomes, policies, programmes and projects) realized during the year;
- iv. The emerging issues in the period under review and key drivers that might have affected (positive/negative) the implementation of programmes and projects in the County;
- v. A call for all stakeholders to read the Report and use its contents to make decisions including for corrective measures in implementation of programs and projects as well as budget allocations; and
- vi. The website(s) and other platforms where the C-APR can be accessed.

The Foreword length should be a maximum of one page

(The Foreword should be signed by the Governor)

2.4 Acknowledgments

This section entails acknowledging all those involved in the C-APR preparation process. It highlights the role played by the various stakeholders including key County and National Government actors and Development Partners.

The acknowledgment should capture the following:

- i. The process that was followed in the preparation of the C-APR;
- ii. Recognize and appreciate all those involved in the C-APR preparation process including C-APR secretariat and other stakeholders; and
- iii. Appreciation of the support by the Governor and Chief Officer for Finance and Economic Planning.

(It should not be more than one page)

(The Acknowledgment should be signed by the County Executive Committee Member for Finance and Economic Planning)

2.5 Table of Contents

Generate the table of contents electronically.

2.6 List of Tables

They include all tables in the Document except those listed in the Annex.

(Each Table should have a title, source and the specific financial year)

2.7 List of Figures

Generate an outline of all figures in the Document except those listed in the Annex.

2.8 List of Abbreviations and Acronyms

This presents the abbreviations/acronyms utilized in the document in an alphabetical order.

(Only repetitious abbreviations should be captured in this section)

2.9 Executive Summary

This should provide the user with a quick preview of the document's content. In this section; Provide a brief summary of the overall key achievements including progress made on the

Transformative County Agenda against the planned outcome/output targets and highlight key implementation challenges and recommendations.

(It should not exceed 2 pages)

SECTION THREE: C-APR FIRST CHAPTER: INTRODUCTION

Introduce the contents of the chapter (*Max 1 paragraph*)

3.1 Overview of the County Integrated Development Plan and the National Development Agenda

This section provides an overview of the CIDP and its linkage to the National Development Plans including the Kenya Vision 2030 and its Medium Term Plans, Regional and International commitments such as the SDGs among other plans.

(Max 1 ½ Pages)

3.2 Overview of the Annual Development Plan (ADP)

Briefly state the focus areas of the ADP for the period under review.

(Max ½ a Page)

3.3 Rationale for Preparation of C-APR

Briefly describe the reasons for preparations of the C-APR including policy and legal provisions.

3.4 C-APR and its Preparation Process

This subsection describes what the C-APR is, its objective, its preparation process and who was involved in the process. (*Max: 3 paragraphs*)

3.5 Methodology used in Preparation of C-APR

Briefly describe the methodology (e.g. field visits, document reviews, validation meetings etc.) and tools (e.g. reporting template, indicator handbook etc.) used in the preparation process.

3.6 Scope of C-APR

Briefly describe C-APR coverage in terms of reporting period, sectors/departments, policies, programmes and projects.

3.7 Organization of the C-APR report

Briefly describe the arrangement of the chapters in the Report.

3.8 Expected Users and Uses of the C-APR

Outline using a table the key users and uses of the C-APR.

SECTION FOUR: C-APR SECOND CHAPTER: COUNTY CIDP IMPLEMENTATION STATUS

Provide an overview of what is contained in the chapter.

NB: (This should be captured in one paragraph)

4.1 Sector Overview

This should outline the Sector and subsectors and provide a brief summary of the specific mandate and priorities.

4.1.1 Sector Performance

Provide a brief summary of what was achieved during the period under review as per the CIDP Sectors namely: Agriculture, Rural and Urban Development; Energy, Infrastructure and ICT; General Economic and Commercial Affairs; Health; Education; Public Administration and Inter-Governmental Relations; Social Protection, Culture and Recreation; and Environmental Protection, Water and Natural Resources.

The achievements should be presented as per Key Indicators, Outputs, Outcome, Baseline, Targets as contained in the CIDP Indicator Handbook and should also be in line with E-CIMES Report.

Details of the performance should be presented in the format given below.

Example

During the review period, the Health Department implemented various programmes and projects towards improving the quality of healthcare in the County. Overall, the Department achieved good performance across the outcome indicators. The performance of the Health Sector outcomes is presented in Table 1.

Table 1: County Health Sector achievement for 20XX/20XX FY

Result	Key Performance Indicator	Baseline (As per the CIDP)	Previous year achievements e.g (2019/20)	Target e.g (2020/21)	Actual/Achievement (current period under review) e.g 2020/21	Reasons for over/underachievement
Programme Name:						
Outcome 1:	Under-5 mortality rate per 1 000 live births	25		15	17	

Reduced child Mortality	Infant mortality rate per 1,000 live births					
Outputs 1.1						
Output 1.2						

Source: Economic Survey 20xx; Health Department Annual Progress Report, 20xx/20xx FY

Give a brief narration on the results presented above

This should include a brief on causal relations between outcomes and outputs, reasons for under/over achievement of planned targets.

4.1.2 County Flagship Programmes/ Project(s)

This section discusses implementation of the County transformative / flagships projects in the period under review in line with the ADP. ***(Attach pictorial evidence if any).***

NB (The presentation should be in prose)

4.1.3 Other Programmes and Projects

This should include implementation progress of programmes and projects (not flagship projects but are contained in ADP). ***(Details of all the projects should be in the annex.)***

NB (The presentation should be in prose)

4.1.4 Policies, Institutional and Legal Reforms

This section provides the Policies, Bills, Acts and Regulations formulated and institutional reforms undertaken during the period under review.

4.1.5 Implementation Challenges

This section provides information on the key challenges experienced by the Sector during the implementation of the year's programmes/projects, especially the cross cutting challenges. This may include: Gender Equality and Social Inclusion (GESI), Technological, Resources, Environmental etc.

4.1.6 Lessons Learnt

This section outlines the knowledge or experience gained through the implementation of projects and programmes and or research conducted in the period under review. They should be significant enough with either positive or negative experience.

4.1.7 Recommendations

This section outlines the key proposed recommendations based on challenges and lessons learnt during implementation of programs and projects.

SECTION FIVE: C-APR THIRD CHAPTER: COUNTY MONITORING AND EVALUATION

Briefly give an overview of what is contained in the chapter. *(Maximum 1 paragraph)*

5.1 Overview of M&E in the County

This section discusses how the M&E function was carried out in the County during the period under review. This may include:

- i. Monitoring activities
- ii. Monitoring reports and how they were disseminated
- iii. Evaluations conducted if any
- iv. M&E committees established
- v. M&E focal persons appointed and training done if any
- vi. M&E peer learning
- vii. Any other relevant M&E issue.

5.2 Electronic County Integrated Monitoring and Evaluation System (e-CIMES)

The subsection shall discuss the County's progress made in e-CIMES implementation and the performance of programs and projects uploaded on the dashboard in the period under review. *(Include a snapshot of the overview of the County e-CIMES dashboard)*

5.3 Partnerships and Collaborations

This section discusses the strategic alliances, both financial and non-financial, between the County Government and its development/implementation partners, National Government and related agencies such as Kenya National Bureau of Statistics (KNBS) and M&E Directorate in monitoring and evaluation during the period under review. The areas of collaboration may include: Training, Technical support e.g., development of indicator handbook; Financial support; Peer Learning; Study tours and benchmarking visits; and Knowledge sharing.

5.4 M&E Challenges, Lessons Learnt, and Recommendations

This subsection outline challenges and lessons learnt in carrying out M&E activities during the year under review. It also proposes the recommendations towards the strengthening of the M&E function in the County.

5.4.1 Challenges

Provide key challenges related to:

- i. Carrying out the M&E function in the County;

- ii. Implementing the e-CIMES; and
- iii. M&E partnership and collaboration during the period under review.

5.4.2 Lessons Learnt

Provide key lessons learned in relation to:

- i. Carrying out the M&E function in the County;
- ii. The e-CIMES; and
- iii. M&E partnership and collaboration during the period under review.

5.4.3 Recommendations

Provide key recommendations that will address the challenges highlighted above. They should outline how the M&E function should be strengthened in the County.

SECTION SIX: C-APR FOURTH CHAPTER: CROSS-CUTTING CHALLENGES, LESSONS LEARNT, AND RECOMMENDATIONS

Introduce the chapter (*Maximum 1 paragraph*)

6.1 Implementation Challenges

This subsection discusses key implementation challenges that cut across the Sectors, experienced during the period under review. They may include: Legal and Policy challenges; Fiscal challenges; Technological challenges; Environmental challenges; Resource challenges; and Planning and management challenges. ***Example: Budget austerity measures due to the COVID-19 pandemic led to the slowing down of planned projects across all sectors.***

6.2 Lessons Learnt

This subsection discusses key lessons learned, that cut across the Sectors, during the period under review. These are the overall significant knowledge and learnings gained from overcoming challenges, achievements, obstacles that could not be resolved and insights gained that can be usefully applied in the future. This subsection should be based on an analysis of the implementation and progress described in ***Chapter 2: County CIDP Implementation Status***. When crafting lessons learned, the following questions should be considered:

- i. What worked well or did not work well either for this project or for the project team?
- ii. What would you do differently on a new project?
- iii. What surprises did the team encounter?
- iv. What project circumstances were not anticipated?
- v. Were the project goals attained? If not, what process and/or technical changes needed to be made to meet goals?

6.3 Recommendations

This subsection suggests key actions to be taken in order to improve project implementation, adopt lessons learned, and overcome stated implementation challenges. These should be written as action statements. ***Example: Diversify sources of funding to include Public-Private Partnership (PPP) and collaborative funding approaches to help bridge the projects' financing gap.***

SECTION SEVEN: C-APR FIFTH CHAPTER: CONCLUSION AND WAY FORWARD

This section should start with the Conclusion and end with the Way Forward and should not exceed 2 pages.

7.1 Conclusion

This should give a summary of the major/key findings of the Report as derived from chapters 2-4 of the Report and their implications.

Information in this section should relate to the introduction in order to demonstrate the extent to which the objectives of the ADP as set out in the introduction have been achieved. It should therefore confirm to the reader that the Report's purpose has been achieved.

7.2 Way Forward

This section should address the areas of focus in implementing the next financial year's projects and therefore it should provide proposals of what is expected to be done or avoided in order to achieve the goals of the next financial year. This could also include a call to action to a much more engagement of relevant stakeholders.

Annexes

This should contain relevant material that cannot be included in the main body of the Report. The reader should be directed to this section in the main text. E.g. "Annex 1 contains information on..."

Each Annex should be numbered. E.g. Annex 1: List of projects under implementation in the financial year.

S.No.	Project Name	Where located	Start Date	Status	Allocation	Absorption	Planned completion date	Actual completion date
1								
2								

The annexes should include but not be limited to the following:

- i. List of projects under implementation in the financial year (use the template in 4.1.1)
- ii. Project Photos (photos from select projects)
- iii. Success stories or innovations that are worth adoption by other counties