



REPUBLIC OF KENYA

**THE NATIONAL TREASURY AND PLANNING
STATE DEPARTMENT FOR PLANNING
MONITORING AND EVALUATION DIRECTORATE**

KENYA PUBLIC SECTOR MONITORING AND EVALUATION TOOLKIT

July 2022

FOREWORD



The Government of Kenya takes cognizance of the importance of Monitoring and Evaluation (M&E) in supporting evidence-based decision making and strengthening delivery of development outcomes. Over the years, the M&E function in the Public Sector has evolved resulting in a more holistic and integrated approach through operationalization of the National Integrated Monitoring and Evaluation System (NIMES). NIMES was established to provide a mechanism to track implementation and realization of the Government’s development Agenda. It has since been used to track the Economic Recovery Strategy for Wealth and Employment Creation and later on the Kenya Vision 2030, the Big “Four” agenda, Sustainable Development Goals (SDGs) and other international obligations. At the County level, the County Integrated Monitoring and Evaluation System (CIMES) was established to track implementation of County Integrated Development Plans (CIDPs).

Since the inception of the NIMES in 2004, various guidelines, templates and M&E documents has been developed to facilitate its establishment and implementation. Although there exists this wealth of resources for M&E guidance and reference, these resources are not consolidated in a central place hindering their easy access and subsequently their use. It is on this premise that the Government of Kenya has recognized the importance of developing a toolkit for Monitoring and Evaluation. The M&E toolkit is a one-stop reference point for M&E tools. It provides a quick and easy access to tools for implementing the M&E function in the Public Sector and ultimately support accountability, transparency through a strong M&E culture both at the National and County level.

The toolkit gives the reader reference to the policy and legal frameworks that guides M&E in the Public Sector; gives information on resources on setting up and implementing robust M&E systems; provides guidance on selecting, measuring, and reporting of standard indicators in the Public Sector; and key monitoring, evaluation and reporting tools and templates.

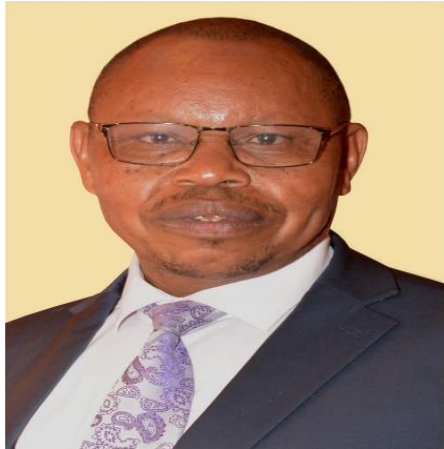
I am confident that this toolkit will be a useful resource for those responsible for monitoring and evaluation in the Public Sector as well as those who would wish to engage in monitoring and evaluation activities.

A handwritten signature in black ink, appearing to be 'Ukur Yatani', written over a circular stamp or seal.

Hon. (Amb.) Ukur Yatani, EGH
Cabinet Secretary
The National Treasury and Planning

ACKNOWLEDGEMENTS

This tool kit has been developed through stakeholders' consultations to ensure its design and content supports achievement of its objectives. The collaborative and consultative process ensured that the recommendations made in this toolkit are in accordance with those used across most organizations, promoting a common understanding of M&E within the Public Sector. The content draws on the Constitutional and Legal mandates, Regulations, Acts and Policies. It is also based on existing NIMES products such as guidelines, standards and templates.



I would like to appreciate our longtime partner, United Nations Population Fund (UNFPA) for their financial and technical support throughout the process, from the conceptualization of the toolkit to its finalization.

I recognize the role played by the staff from Monitoring and Evaluation Directorate (MED) led by Director, Aloyce Ratemo under whose leadership the framework of the Kenya M&E Tool Kit was developed. Many thanks go to the entire drafting team from the Monitoring and Evaluation Directorate for their tremendous dedication in ensuring that the document is of high quality. I also give special thanks to Mrs Katherine Muoki, the Economic Planning Secretary for her inputs and quality assurance support.

Finally, I would like to thank all those who contributed in one way or another to ensure this document is prepared and ready for use by our stakeholders.

I call upon you to use the Kenya M&E Tool Kit which can be found on the websites of the State Department for Planning (<http://www.planning.go.ke>) and Monitoring and Evaluation Directorate (<http://www.monitoring.planning.go.ke>).

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

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Acronyms/Abbreviations

ADP	Annual Development Plan
APR	Annual Progress Report
CAPR	County Annual Progress Report
CIMES	County Integrated Monitoring and Evaluation System
CIDPs	County Integrated Development Plans
CoK	Constitution of Kenya
e-NIMES	electronic National Integrated Monitoring and Evaluation System
MDAs	Ministries, Departments and Agencies
MED	Monitoring and Evaluation Directorate
M&E	Monitoring and Evaluation
MTP	Medium Term Plan
PCN	Project Concept Note
NEP	National Evaluation Plan
NIMES	National Integrated Monitoring and Evaluation System
PFMA	Public Finance Management Act
PIM	Public Investment Management
SDGs	Sustainable Development Goals

Section 1: Introduction

1.1 Background

Monitoring and Evaluation (M&E) in the Public Sector plays an important role in effective and meaningful implementation of policies, programmes and projects. Notably, it is becoming increasingly important for Government institutions to mainstream M&E in its development processes for generation of credible evidence for decision making. As such, an institution's M&E system should generate the information for accountability, managing and improving programs and projects performance as well as policy formulation.

Since 2000, Kenya has made significant progress in institutionalization of M&E in the Public Sector. The National Integrated Monitoring and Evaluation System (NIMES), was established in 2004, to provide a mechanism to track implementation of policies, programmes and projects contained in development plans and other international obligations. The Monitoring and Evaluation Directorate (MED) coordinates implementation of the NIMES and undertakes capacity building for establishment of the County Integrated Monitoring and Evaluation System (CIMES). CIMES provides a mechanism to track implementation of County Integrated Development Plans (CIDPs).

Through NIMES, MED in collaboration with partners has over the years undertaken various initiatives to strengthen the Monitoring and Evaluation (M&E) function in the Country. Some of these initiatives include: Formulation of Sector & National Indicators; Production of Annual & Midterm Progress Reports / Reviews; Development of CIMES Guidelines; Development of electronic system (e-NIMES/e-CIMES); M&E Curriculum for Public and Private Universities; County Results Based M&E Manuals; Capacity Development; Development of Monitoring and Evaluation Framework; Kenya National Monitoring and Evaluation Policy; Communication Strategy; Hosting of Annual M&E Forum/Conferences; Development of M&E Norms and Standards for Public Sector; Kenya Evaluation Guidelines; County Annual Progress Reports Guidelines among others.

The M&E Toolkit has been developed as part of the initiatives to strengthen the M&E function in the Public Sector. The Toolkit is a consolidated comprehensive reference to an existing set of resources developed to guide and support establishment and implementation of a strong and vibrant monitoring and evaluation system in the Public Sector

1.2 Rationale

The Kenya National Monitoring and Evaluation Policy, developed under the NIMES framework, seeks to provide overall guidance on the establishment and implementation of the Monitoring and Evaluation (M&E) function in the Public Sector. The Policy stipulates that the Directorate responsible for monitoring and evaluation shall develop M&E tools and methods to guide the undertaking of M&E in the Public Sector. Since the inception of NIMES, various documents/tools have been developed over time to facilitate establishment and implementation of robust and

effective M&E systems in the Public Sector. Notably, all these documents exist in isolation without a consolidated point of reference.

The M&E toolkit seeks to provide users with a comprehensive reference to existing key M&E materials and resources necessary for establishment and operationalization of a strong M&E system. It will be a one-stop shop for M&E tools consolidated for ease of access. It draws the targeted users' attention towards key materials for M&E system.

1.3 Objectives of the Toolkit

The overall objective of the M&E toolkit is to provide a comprehensive reference to resources for guidance on developing and implementing an effective and efficient M&E system in the Public Sector. The specific objectives are to provide reference information on:

- i. Legal and policy framework for M&E in the Public Sector;
- ii. Resources on setting up and implementing M&E systems in the Public Sector;
- iii. Guidance on selecting, measuring and reporting of standard indicators in the Public Sector; and
- iv. Key Monitoring and reporting tools and templates.

1.4 Scope and Target audience

This toolkit covers resources for establishment and operationalization of M&E systems in the Public Sector. The resources referred to are mainly those developed under the NIMES framework over the period 2007-2022.

The primary users of the M&E toolkit are officers in Public Sector (National and County Governments), including program officers, coordinators, managers and M&E officers. The Toolkit is also useful to development partners and other implementing partners working with the Government of Kenya. It can also be used by academic, research & training institutions and M&E professional bodies.

1.5 Organization of the Tool Kit

The M&E toolkit is organized into three sections as follows:

Section One: This is an introduction of the toolkit and provides the background; Rationale; Objectives; Scope and target audience; and the organization of the Toolkit.

Section Two: This section details the documented resources that guide M&E establishment and implementation in the public sector and outlines the Policy and legal framework, the National and County Integrated Monitoring and Evaluation Systems, the Monitoring and Evaluation Guidelines, Norms and Standards and the Monitoring, Reporting and Evaluation Tools and templates.

Section Three: Highlights the review of the Tool kit

Section 2: M&E Establishment and Implementation Guiding Resources

This section classifies the available resources into their relevant categories and points the reader to the highlights of each of the documents for ease of reference. These resources are classified into three categories namely:

- a. Policy and Legal Framework;
- b. The National and County Integrated Monitoring and Evaluation Systems; and
- c. Monitoring and Evaluation Guidelines, Norms and Standards

1.6 Policy and Legal Framework

This section highlights the legal framework necessary for the establishment, implementation and sustaining of monitoring and evaluation system and processes in the Public Sector. The current M&E systems have been based on these laws and regulations. The M&E policy will also guide the processes going forward.

1. The Constitution of Kenya

The Constitution of Kenya (CoK) provides the overall legal basis for monitoring and evaluation as an important aspect of operationalizing government functions. It emphasizes on the principles of transparency, integrity, access to information, and accountability, which all state offices are required to adhere to. These provisions are under the following Articles: 10 (2) (b) (c) (d); 35 (1) (a); 35 (3); 174 (c) (f); 185(4) (a); 201. (b)(iii) (d); and 232 (1) (b) (f). These articles stress the need for a structured way for which programmes/projects/policies are monitored and evaluated.

2. Public Finance Management Act, 2012 and its Regulations

Section 83(1) of the PFM Act 2012 requires an accounting officer for a national government entity to prepare a report for each quarter of the financial year containing information on the non-financial performance of the entity. Part IV Section 104 (1) of the Act, on County Government Responsibilities with respect to management and control of public finance, requires a County Treasury to monitor, evaluate and oversee the management of public finances and economic affairs of the County government. The PFM Act Regulations ,2015 section 136(1) requires the Cabinet Secretary responsible for matters relating to planning to prescribe a framework for monitoring and reporting on non-financial performance for use by accounting officers in evaluation of programmes and projects.

3. The Intergovernmental Relations Act, 2012

Section 7 establishes the National and County Government Coordinating Summit. Section 8 details the functions of the Summit which shall among other things provide a forum for promotion of national values and principles of governance; consideration of reports from other intergovernmental forums and other bodies on matters affecting national interest; evaluating the

performance of National or County governments and recommending appropriate action; receiving progress reports and providing advice as appropriate; monitoring the implementation of National and County development plans and recommending appropriate action; and coordinating and harmonizing the development of County and National government policies.

4. County Government Act, 2012

Section 108 (1) (a), (b), (c) and (d) requires each county to prepare a five-year County Integrated Development Plan (CIDP) with clear goals and objectives; an implementation plan with clear outcomes; provisions for monitoring and evaluation; and clear reporting mechanisms. Further, section 30 (2) (j), the Governor shall submit to the County Assembly an annual report on the implementation status of the County policies and plans.

5. Guidelines on Public Investment Management (PIM) for National Government and its entities

Definition: These are guidelines for efficient and effective public investment management that includes project planning, selection, budgeting, implementation, completion, reporting, monitoring, evaluation, asset management and sustainability to ensure value for money and optimal use of public resources.

Objective: The PIM Guidelines aim to strengthen processes for project selection, appraisal, budgeting, monitoring, evaluation and reporting in national and county government's entities.

Highlights: The guidelines provide:

- i. Institutional framework for implementation of the guidelines;
- ii. PIM Process including guidelines for: project identification and planning, project feasibility and appraisal, project selection and budgeting, project implementation, monitoring, evaluation and reporting, project closure, sustainability, and impact assessment
- iii. PIM Information system;
- iv. Transition provisions for ongoing projects; and
- v. Seven schedules to guide the PIM processes

Link: https://pfmt.go.ke/wp-content/uploads/2020/11/Circular-No.-16-2019-on-PIM-Guidelines-for-National-Government-Entities_compressed.pdf

6. Kenya National Monitoring and Evaluation Policy

Definition: The M&E Policy guides establishment and implementation of monitoring and evaluation function in the Country

Objective: To enhance the implementation of public policies, programmes and projects by providing clear guidelines for the conduct of monitoring and evaluation of all Government programmes and projects

Highlights

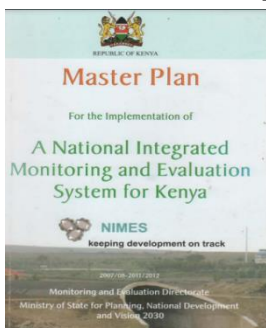
The Policy outlines the following;

- i. The goal, purpose and objectives of the Policy.
- ii. The M&E principles that shall guide the M&E function in the public sector
- iii. The various policy provisions to guide the implementers
- iv. NIMES institutional framework and its key implementing institutions
- v. Policy financing arrangements
- vi. Policy implementation plan

1.7 The National and County Integrated Monitoring and Evaluation Systems

This section provides the documented resources that have guided the establishment and implementation of M&E systems at both levels of government.

1. NIMES Masterplan, 2007-2012



Definition: This is a five (5) year medium-term framework that seeks to address the immediate priorities for NIMES. It seeks to close the gaps in M&E in the Public Sector and fully operationalize NIMES.

Objectives: To guide public sector in understanding efforts made by the government to document and disseminate policy and programme results.

Highlights: The plan elaborates on the key elements of NIMES which include:

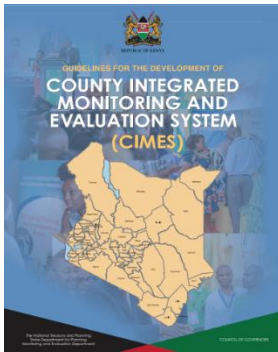
- i. Quantitative and qualitative data collection and storage and indicator construction;
- ii. Research and Results analysis;
- iii. Dissemination for Advocacy and Sensitization;
- iv. Project Monitoring and Evaluation;
- v. Capacity Development and Policy Coordination; and
- vi. District Monitoring and Evaluation and institutional arrangements.

Link(s):

<https://monitoring.planning.go.ke/wp-content/uploads/Master-Plan-for-the-Implementation-of-a-NIMES-system-for-Kenya.pdf>

<https://www.planning.go.ke/wp-content/uploads/2020/11/Master-Plan-for-the-Implementation-of-a-NIMES-system-for-Kenya.pdf>

2. Guidelines for the Development of County Integrated Monitoring and Evaluation System, 2019



Definition: The guidelines serve as a tool to assist county governments to set-up, design, implement and sustain a functional M&E system that tracks county development.

Objectives: The main objective of the CIMES guidelines is to provide basic principles for designing an effective CIMES that is essential for guiding the monitoring and evaluation function in the County.

Highlights: The guidelines provide the following information:

- i. The legal foundation for the establishment and operationalization of the M&E functions in the Counties;
- ii. The general principles of M&E and the 10 steps consistent with the best global practice in M&E design and implementation;
- iii. Guidelines for M&E institutional arrangements in a county;
- iv. Description of information flow and knowledge sharing between different players and stakeholders to effectively apply M&E information and evidence for policy formulation and decision making; and
- v. How to operationalize CIMES.

Link(s):

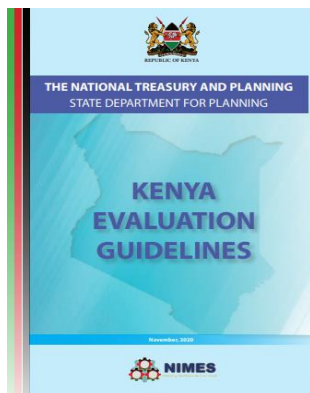
<https://monitoring.planning.go.ke/wp-content/uploads/guidelines-for-the-development-cimes-report-13-jun-2019.pdf>

<https://www.planning.go.ke/wp-content/uploads/2020/11/guidelines-for-cimes-development-2019.pdf>

1.8 Monitoring and Evaluation Guidelines, Norms and Standards

This section outlines the available M&E guidelines and the Norms and Standards that should be adhered to during establishment and implementation of M&E systems.

1. Kenya Evaluation Guidelines, 2020



Definition: The guideline outlines the procedures for undertaking assessment, reviews and evaluations of public sector interventions in a standardized, systematic and unbiased manner.

Objectives: The overall objective of the Guidelines is to ensure evaluations are conducted in an impartial, transparent and participatory manner, based on empirical evidence that is valid and reliable with results being made available to the Public.

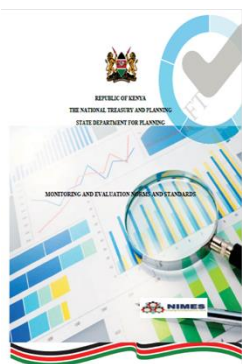
Highlights: This guideline contains the following information:

- i. Criteria for conducting Evaluations;

- ii. Major types of evaluations in the Public Sector;
- iii. Evaluation classification, evaluation methodology, guiding principles and evaluability assessment;
- iv. Guidance on how to develop an evaluation plan and who should be involved;
- v. Step by step guide on how to manage an evaluation process; and
- vi. How quality assurance and assessment will be conducted for Public Sector evaluations.

Link(s): <https://monitoring.planning.go.ke/wp-content/uploads/kenya-evaluation-guidelines-2020-signed.pdf>

2. Monitoring and Evaluation Norms and Standards for the Public Sector, 2021



Definition: This refers to the binding rules, requirements, or standards of conduct of people in processes or requirements in establishing and operationalizing a robust and effective M&E system.

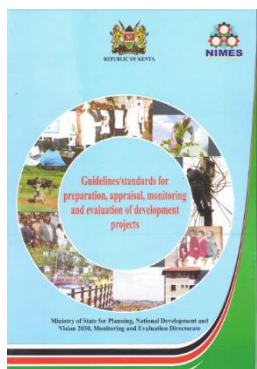
Objectives: The overall objective of the Norms and Standards is to harmonize the establishment and implementation of the M&E function in the Public Sector.

Highlights: The Norms and Standards provide information on the following:

- i. Monitoring and evaluation norms to be observed in the public sector institutions;
- ii. Policy, Programmes and Project design standards;
- iii. Policy, Programmes and Project Monitoring Standards;
- iv. Evaluation Standards;
- v. Learning and Adaptation Standards;
- vi. M&E Human Resource Standards; and
- vii. Institutional Framework Standards.

Link(s): <https://monitoring.planning.go.ke/wp-content/uploads/Norms-and-Standards-signed-copy-1.pdf>

3. Guidelines/standards for Preparation, Appraisal, Monitoring and Evaluation For Development Projects



Definition: This is a set of general recommendations for the planning, appraisal, monitoring and evaluation phases of the project cycle. These recommendations are however only indicative of the types of information that should be collected in each phase of the project cycle.

Objective: To provide guidance in planning, project appraisal, monitoring and evaluation of projects in the Public Sector.

Highlights:

The document outlines:

- i. Standards applicable to all new projects during preparation and appraisal;
- ii. Standards applicable to all new projects during Monitoring and Evaluation;
- iii. Information required during appraisal of locally administered projects;
- iv. Information required during appraisal of other projects (excluding locally administered projects); and
- v. Format to be used to collect information on projects implementation status.

Link(s):

<https://monitoring.planning.go.ke/wp-content/uploads/GUIDLINES-STANDARS-FOR-PREPARATION-APPRAISAL-MONITORING-A.pdf>

<https://www.planning.go.ke/wp-content/uploads/2020/11/GUIDELINES-FOR-MONITORING-AND-EVALUATION-OF-DEVELOPMENT-PROJECTS-2009.pdf>

1.9 Monitoring, Reporting and Evaluation Tools and templates

This section outlines tools and templates that guide monitoring evaluation and reporting. The reporting templates provided are based on the current development plans and are therefore bound to change with new development plans.

1. Kenya National Evaluation Plan

Definition: The Kenya National Evaluation Plan (KNEP) provides a 5-year plan for undertaking evaluations in the public sector. It aims to provide a systematic way for conducting evaluation of policies, projects and programmes in the Public Sector.

Objective: The overall objective of the KNEP is to improve efficiency and effectiveness of the evaluation processes in the public sector and promote the use of evaluation findings in development planning, strengthening accountability and evidence-based decision making. Specifically, the NEP aims to:

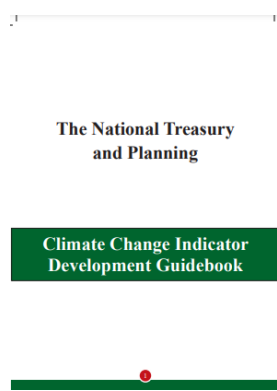
- i. Enhance coordination of evaluations in the Public Sector;
- ii. Promote use of Evaluation findings;
- iii. Mobilize resources for evaluations; and
- iv. Promote partnership/collaboration in public sector evaluations.

Highlights :

The KNEP provides;

- i. A list of priority policies, programmes and projects to be evaluated;
- ii. Rationale for the evaluations;
- iii. Types and objectives of evaluations to be conducted;
- iv. Who, how and when will evaluations be conducted; and
- v. The resources required for each evaluation.

2. Climate Change Indicator Development Handbook, 2018



Definition: This is a guide to development and application of indicators useful in tracking of climate change interventions / actions by public and private sectors at both levels of government. It guides users to develop, select and apply a set of climate change indicators in measuring, evaluating and reporting on the progress and outcomes of various climate change interventions.

Objective: To enhance the tracking of climate change actions towards the achievement of the country’s low carbon climate resilient development Pathway.

Highlights: The handbook provides the following information:

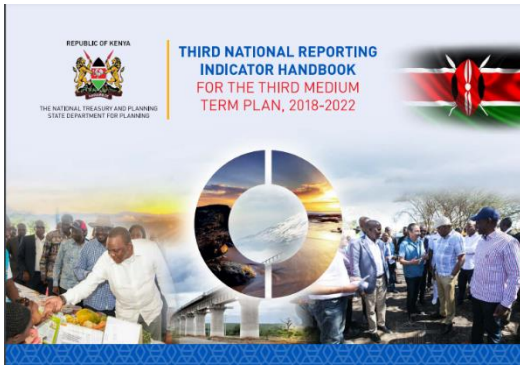
- i. Guides on how to develop adequate indicators for tracking development interventions; and
- ii. Climate change indicators to track climate change interventions.

Link(s):

<https://monitoring.planning.go.ke/wp-content/uploads/climate-change-indicator-development-guidebook.pdf>

<https://www.planning.go.ke/wp-content/uploads/2020/11/guidebook-climate-change-indicator-development.pdf>

3. National Reporting Indicator Handbook, 2018-2022



Definition: This is a monitoring framework containing a comprehensive set of indicators for tracking progress of implementation of the MTP III of the Kenya Vision 2030 and other economic policies and international obligations.

Objective: To increase accountability and transparency by providing easy and clear reference to the economic, social and political performance outcomes indicators and annualized output indicators for the Kenya Vision 2030 and other economic policies and international obligations.

Highlights: The handbook outlines the following;

- i. National outcome indicators selected to reflect the main aspects of the third MTP (2018-2022)
- ii. Output indicators for all flagship projects in the third MTP (2018-2022)
- iii. Indicators for monitoring the “Big Four Agenda” projects
- iv. Indicators for monitoring climate change, Disaster Risk Management and HIV/AIDS

Link(s):

<https://monitoring.planning.go.ke/wp-content/uploads/third-national-reporting-indicator-handbook-for-the-third-medium-term-plan-2018-2019.pdf>

<https://www.planning.go.ke/wp-content/uploads/2021/03/third-mtp-iii-indicator-handbook.pdf>

Note: Other earlier versions of Indicator handbooks for tracking MTP I and MTP II can be found on the Monitoring and Evaluation Directorate Website, <https://monitoring.planning.go.ke/handbook/>

4. CAPR Guidelines, 2022

Definition: These Guidelines are to enhance generation of high-quality County Annual Progress Reports(C-APR) that take into account reliability, comparability and timeliness

Objectives: The objectives of the C-APR Guidelines are to improve quality and structure of the C-APR; and to harmonize county annual progress reporting on implementation of policies, programmes and projects.

Highlights: These Guidelines contain the following information on how to prepare a County Annual Progress Report and its key chapters. These Chapters include: introduction to C-APR and its objectives; CIDP Implementation Status; challenges, lessons learnt and recommendations); conclusion and way forward.

5. CAPR Reporting Template

Definition: This is a template which guides counties on reporting the overall status of the implementation of the County Integrated Development Plans (CIDPs) on an annual basis.

Objectives: The overall objective is to capture performance information of the sectors'/departments' programmes and projects as prioritized in the Annual Development Plans (ADPs) including information on strategies that contributed to the presented results.

Highlights

The template provides for capturing of the following information:

- i. The performance of the sectors'/departments' programmes and projects as prioritized in the CIDP;
- ii. Implementation challenges that cut across the sectors during the period under review lessons learnt and recommendations on how to address them.

Link(s): The C-APR Template is contained in the C-APR Guidelines.

6. Big Four Agenda Reporting Template

Definition: This is a template that guides reporting of the overall status of the progress of implementation of the Big Four agenda in the medium-term plan.

Objectives: The overall objective is to aid MDAs in preparing their implementation status reports on the Big Four Agenda on annual basis.

Highlights

The template presents the capturing of implementation Status of the planned programmes and projects of the Big "Four" Agenda, below are the details:

- i. Priority, output, indicator, target achieved
- ii. The description result contains; implementation challenges, recommendations and conclusion.

Link: <https://monitoring.planning.go.ke/wp-content/uploads/BIG-FOUR-AGENDA-Reporting-Template-2.pdf>

7. Annual Progress Report Template

Definition: This is a template that guides Ministries, Departments and Agencies on reporting of the annual implementation of policies, programmes and strategies.

Objectives: To aid MDAs in preparing implementation status reports of projects, programmes, policies and strategies on annual basis.

Highlights

The template provides for capturing of the following information:

- i. Introduction of the development priorities and targets;
- ii. Details of the progress made by sectors including implementation challenges and lessons learnt; and
- iii. Recommendations.

Link: <https://monitoring.planning.go.ke/wp-content/uploads/APR-Reporting-template-2022.pdf>

Section 3: Toolkit Review

This toolkit will be subjected to a review after every five years to update its content. This is necessitated by the fact that a majority of these documents are limited to an implementation period of five years. Further, with continuous evolution of the monitoring and evaluation practices, other relevant resources will be developed to take care of the changes. A time to time update of this toolkit will therefore be carried out to ensure that all stakeholders are adequately informed and using the necessary resources.

All the resources listed in this handbook are available in hard copies at the Monitoring and Evaluation Directorate resource centre and are available on request while soft copies can be accessed through the links provided.