



**KENYA**  
VISION **2030**



# **MINISTRY OF STATE FOR PLANNING, NATIONAL DEVELOPMENT AND VISION 2030**



## **NATIONAL MONITORING & EVALUATION POLICY**

**APRIL, 2012**





## Acronyms and Abbreviations



|         |                                                             |
|---------|-------------------------------------------------------------|
| APR     | Annual Progress Report                                      |
| APRM    | Africa Peer Review Mechanism                                |
| CAMERs  | County Annual Monitoring and Evaluation Reports             |
| CDP     | Capacity Development Programme                              |
| CEO     | Chief Executive Officer                                     |
| CoDC    | County Development Committee                                |
| COMEC   | County Monitoring and Evaluation Committee                  |
| CPPMUs  | Central Planning and Project Monitoring Units               |
| CSF     | County Stakeholders Forum                                   |
| CSOs    | Civil Society Organisations                                 |
| ERS     | Economic Recovery Strategy                                  |
| ICT     | Information and Communication Technology                    |
| IP-ERS  | Investment Programme for Economic Recovery Strategy         |
| KENINFO | Kenya Information                                           |
| KNBS    | Kenya National Bureau of Statistics                         |
| M&E     | Monitoring and Evaluation                                   |
| MDA     | Ministries, Departments and Agencies                        |
| MDGs    | Millennium Development Goals                                |
| MED     | Monitoring and Evaluation Directorate                       |
| MOG     | Methodological and Operational Guidelines                   |
| MTEF    | Medium-Term Expenditure Framework                           |
| MTP     | Medium Term Plan                                            |
| NCAPD   | National Coordinating Agency for population and Development |
| NEPAD   | New Partnership for Africa's Development                    |
| NESC    | National Economic and Social Council                        |
| NGOs    | Non Government Organizations                                |
| NIMES   | National Integrated Monitoring and Evaluation System        |
| NPMF    | National Performance Management Framework                   |
| NSC     | National Steering Committee                                 |
| NSF     | National stakeholders Forum                                 |
| PER     | Public Expenditure Review                                   |
| PMAR    | Project Monitoring Analytic Report                          |
| PPA     | Participatory Poverty Assessment                            |
| PRSP    | Poverty Reduction Strategy Paper                            |
| PSR&PC  | Public Service Reform and Performance Contracting           |
| RBM     | Results Based Management                                    |
| SAGAs   | Semi-Autonomous Government Agencies                         |
| SDR     | Service Delivery Assessment report                          |
| TAG     | Technical Advisory Group                                    |
| TOC     | Technical Oversight Committee                               |
| UN      | United Nations                                              |

## Table of Contents

|                                                                        |    |
|------------------------------------------------------------------------|----|
| <b>FOREWORD</b>                                                        | 1  |
| <b>SECTION ONE</b>                                                     | 2  |
| 1.1 Overview                                                           | 2  |
| 1.2 Context                                                            | 2  |
| 1.2.1 The National Integrated Monitoring and Evaluation System (NIMES) | 3  |
| 1.3 Rationale for the M&E Policy                                       | 4  |
| <b>SECTION TWO</b>                                                     | 5  |
| 2.0 Purpose of the M&E Policy                                          | 5  |
| 2.1 Strategic objectives                                               | 5  |
| 2.2 Principles                                                         | 6  |
| <b>SECTION THREE</b>                                                   | 7  |
| 3.0 M&E POLICY IMPLEMENTATION                                          | 7  |
| <b>SECTION FOUR</b>                                                    | 9  |
| 4.0 Reporting Requirements                                             | 9  |
| 4.1 Reporting Structures                                               | 10 |
| 4.1.1 National level                                                   | 10 |
| 4.1.2 Devolved level                                                   | 11 |
| 4.1.3 Communication strategy                                           | 11 |
| <b>SECTION FIVE</b>                                                    | 12 |
| 5.0 M&E Reporting Standards                                            | 13 |
| 5.1 M&E Policy Incentives, Benefits and Sanctions                      | 13 |
| 5.1.1 Incentives and Benefits                                          | 13 |
| 5.1.2 Sanctions                                                        | 13 |
| <b>SECTION SIX</b>                                                     | 13 |
| <b>SECTION SEVEN</b>                                                   | 14 |

## FOREWORD

The M&E Policy is designed to guide implementation of the National Integrated Monitoring and Evaluation System (NIMES). This policy addresses the issue of implementation and coordination of NIMES aiming at improving management for development results. A well coordinated Monitoring and Evaluation will improve performance in execution of public programmes and projects in the country.

This policy will focus on both state and non state actors engaged in development activities in the country. It lays emphasis on building strong linkages with all stakeholders including the Kenyan citizens, to improve reporting and feedback mechanism in all development aspects.

The Policy will ensure efficiency in utilization of resources for effective realisation of results and hence accelerate development. It espouses the importance of results-based management, transparency, accountability, and efficiency as fundamental principles for managing all public programmes/projects in Kenya.

The policy identifies five result areas and provides guidelines under which standards will be set to make sure generated information will be useful for the country. Focus will be on i) Monitoring, ii) Evaluation, iii) Performance, iv) Capacity development and v) dissemination, Communication and knowledge sharing. This forms the core of the M&E policy.

The Policy shall be binding to all state and non-state actors who are required to comply with it in execution of their public projects/programmes from the date of Gazettement of the Policy. The Policy shall be implemented through Government circulars, subsidiary legislation, and an Act of Parliament that will give the lead agency autonomy to effectively coordinate M&E.



**Hon. Wycliffe Ambetsa Oparanya, MP**  
**Minister of State for Planning, National Development and Vision 2030**

## SECTION ONE INTRODUCTION

### 1.1 Overview

The National Monitoring and Evaluation Policy articulates: the government's commitment to accountability for development results; defines mechanisms for measuring the efficiency and effectiveness of public policies, programmes and projects; provides channels for effective policy implementation feedback hence efficient allocation of resources; sets the basis for a transparent process by which the citizenry and other development stakeholders can undertake a shared appraisal of results; and outlines the principles for a strong M&E system as an important instrument for driving the achievements of programmes underpinning the Kenya Vision 2030.

The Policy outlines the roles and responsibilities of public sector institutions, civil society, the private sector and development partners involved in implementation of public projects and programmes by tying the producers and users of information together in a coherent system. It also sets the framework for effective management for development results at all levels.

The Policy document is divided into various sections which gives the purpose for M&E, roles and responsibilities of key institutions, the monitoring and evaluation process, reporting structures and requirements, dissemination of M&E reports, Compliance with M&E policy and reporting standards and capacity building. ICT, communications and data/information requirements for the implementation of NIMES are also addressed.

### 1.2 Context

The first attempt to put in place a comprehensive M&E System came with the Poverty Reduction Strategy Paper (PRSP) in 2000; the precursor of the ERS 2003-2007. The Economic Recovery Strategy (ERS) took on board the need for a full-fledged national M&E system and its institutionalisation. This was enhanced by the adoption of the M&E tools in the implementation of government programmes/ projects by making the inclusion of monitoring and evaluation activities mandatory in the ministerial and institutional strategic plans, which all public institutions were required to develop since 2003.

While Government of Kenya and development partners have had monitoring and evaluation as a component in their programmes and projects, they are often not harmonised nor are their M&E reports effectively shared with stakeholders. Similarly, CSOs and other non-state actors in public development programmes have institutional monitoring and evaluation reports which are not effectively shared among themselves or with the Government. In recognition of this weakness and while emphasizing the importance of M&E in the implementation of policies, programmes and projects; the government through the Ministry of State for Planning, National

Development and Vision 2030 created the Monitoring & Evaluation Directorate (MED) in the year 2003. The Directorate is charged with coordination of M&E activities in the country. The directorate has since established the National Integrated Monitoring and Evaluation System (NIMES).

### 1.2.1 The National Integrated Monitoring and Evaluation System (NIMES)

In the year 2003, a National Integrated Monitoring and Evaluation System (NIMES) was conceptualized as the mechanism for the Government of Kenya to monitor the Implementation of the Economic Recovery Strategy (IP-ERS). NIMES was officially launched for implementation in September 2007.

The overarching goal of the NIMES is to: provide the government with reliable mechanisms to measure progress towards national development goals as well as the efficiency and effectiveness of public programmes and policies; provide the government with the needed policy implementation feedback to efficiently allocate its resources over time; set the basis for a transparent process by which the government and the international donor community can undertake a shared appraisal of results; and create smooth release of external support, including budgetary support.

The MED developed *Methodological and Operational Guidelines (MOG)* in 2005 for the implementation of a National Integrated Monitoring and Evaluation System. The guidelines were developed to ensure a unified and standardised system that guarantees consistency of indicators, reporting formats and strategy development for coherent communication among all stakeholders, including the general public. However, the guidelines were introduced in the absence of a comprehensive national M&E policy, thereby limiting their implementation. The guidelines lacked proper institutional placing, and were not synergistically linked to the Results Based Management (RBM), Performance Contracting (PC) and other public sector reforms which have now been adopted by Government. The guidelines focuses solely on government departments and other public sector agencies, as MED lacks authority to compel other stakeholders involved in public development activities to follow the guidelines.

### 1.2.2 Challenges

Despite previous interventions made to strengthen M&E of public development programmes the following challenges are still being experienced:

- **Weak M&E culture:** many public institutions in Kenya have not embraced the culture of M&E in their programmes and projects implementation. As such it is hard to determine whether M&E influences decision making in institutions. Consequently, M&E budgets are not aligned to projects/programmes as they should.
- **Weak M&E reporting structures and Multiple and uncoordinated monitoring and evaluation systems within and among institutions:** Various institutions in

the country have fragmented and uncoordinated M&E units which also have no clear reporting structures. This makes it hard to get full information from the concerned institutions. In addition there are no harmonized M&E reporting systems among various institutions. Most of the existing systems are not result based.

- **Weak institutional, managerial and technical capacities:** Most institutions in the country lack the structures as well as requisite skills and capacity to carry out effective M&E as a result of which evaluations of programmes, policies and projects have not been adequately conducted.
- **Untimely, rarely analysed or disseminated data and low utilization of data/information:** Routinely collected M&E data are rarely analysed, utilized or submitted in time for use in decision making. In addition, progress reports are often not disseminated widely, which limits their use.
- **Weak legal framework:** although there is a directorate responsible for coordination of M&E, there is no guiding framework for coordination of NIMES. In addition the directorate does not have the legal mandate to ensure central and county level institutions comply with requirements of NIMES.

### 1.3 Rationale for the M&E Policy

The constitution of Kenya 2010 provides the basis for monitoring and evaluation as an important part of operationalizing government activities to ensure that transparency, integrity, access to information and accountability principles are embraced in resource allocation and management at National and Devolved levels of Government.

The scope of Monitoring and Evaluation is derived from the provisions related to planning under articles 10, 56, 174, 185, 201, 203 and 225, 226, 227 of the Constitution Kenya.

The M&E Policy will complement other Government policies for providing timely and regular information for evidence-based decision making geared towards achieving the Kenya Vision 2030 and the Millennium Development Goals (MDGs). Accurate and documented M&E information/data will play a critical role of reviewing, scaling up, or discontinuing policies and programmes that deviate from achieving targeted results that aims at improving the welfare of Kenyans as per the aspirations of the Kenya Vision 2030. The policy is geared towards providing the framework for guiding implementation of a National Integrated Monitoring and Evaluation System (NIMES) in terms of reporting and providing disincentives for misreporting. The premise behind NIMES is that M&E is better sustained if there is a sound policy and legal framework.

## SECTION TWO

### 2.0 POLICY GOALS AND PRINCIPLES

#### Overall Policy Goal

The overall goal of this policy is to provide an enabling environment for an effective and efficient national M&E system that facilitates achievements of national development goals.

#### 2.0 Purpose of the M&E Policy

This policy is intended to establish structures for a monitoring and evaluation system and provide guidelines for stakeholders involved in managing monitoring and evaluation in Kenya. This includes those responsible for policy, programme and project management.

#### 2.1 Strategic objectives

- To promote a culture and practice of M&E for evidence-based decision making at all levels of government and non state actors undertaking public development programmes through enhancing M&E Information Education and Communication, at all levels and creation of an enabling and conducive environment for implementation of M&E.
- To identify M&E champions in the country, to spearhead M&E advocacy at all levels.
- To define minimum standards and requirement for M&E at all levels.
- To ensure all implementing agencies at national and devolved levels have M&E budget for each programme/projects by making sure that State and non state actors set aside at least 5 percent of all development budget for M&E. with 2.5 percent allocated for M&E operational and capacity building costs and 2.5 percent for M&E technical infrastructure. To ensure efficiency and avoid duplication, M&E technical infrastructure should use the same integrated platform as NIMES wherever possible.
- To strengthen reporting and enhance accountability for performance in implementation of programmes, policies and projects at national and devolved levels by establishing a rewards and sanctions system for compliance and non compliance with M&E system and enhance standardized reporting at national and devolved levels. Ensure policy-making, budgeting, and planning is evidence-based.
- To strengthen and streamline institutional, managerial and technical capacity to manage for development results through automation of M&E systems, establishment and Strengthening of M&E units in government and non government institutions at national and devolved levels.
- To undertake an institutional review to align organizational structures to the delivery of organizational mandate. Develop technical and managerial competencies on M&E and operationalization and standardization of M&E coordinating structures within institutions at the national and devolved levels.

## 2.2 Principles

The principles guiding this policy are:

**Accountability**— all resources utilized for development purposes shall be accounted for and realized results disseminated in formats that are easily accessible to all stakeholders

**Transparency**— there is adequate information disseminated on development policies, programmes and projects so that government of Kenya and all its development partners can be held accountable.

**Ownership**— all citizens of Kenya shall have the opportunity to participate in planning, implementation, monitoring and evaluation of development results.

**Results Based Management** — all policies, programmes and projects shall be informed by the intended results and have clear benefits for the people of Kenya, which shall be fully stated in programme and project documentation and their progress tracked through NIMES.

**Partnerships and collaboration** — government, development partners and Kenyan citizens shall collaborate to ensure that all development plans are executed to the benefit of the people of Kenya.

**Disclosure.** The results and lessons learnt from monitoring and evaluation shall be disseminated by establishing effective feedback loops to policy-makers, staff, beneficiaries, and the general public.

**Credibility.** Monitoring and evaluation shall be credible and based on reliable data or observations. Monitoring and Evaluation reports shall reflect consistency and dependability in data, findings, judgments, and lessons learnt, with reference to the quality of instruments and procedures and analysis used to collect and interpret information.

**Utility.** Monitoring and evaluation must serve the information needs of intended users, e.g. financiers, programme implementers, beneficiaries and the Kenyan public, in informing evidenced decision-making, planning and budgeting.

## SECTION THREE M&E POLICY IMPLEMENTATION

### 3.1 Introduction

The National M&E Policy applies, to all public development programs and project implementers in the country. These implementers include state and non-state actors at national and devolved levels. The Policy will facilitate reporting and feedback on implementation of development programmes and projects at the sub-county, county and national levels. The envisaged policy framework will provide for institutional framework to facilitate the implementation of the policy. The implementation of policy will be managed by MED; however, for the implementation to be successful commitment and the active support of all stakeholders will be required.

### 3.2 M&E Strategies / Methodologies

This section outlines the M&E methodologies to be applied at all levels by state and non-state actors in policies, programmes and projects implementation. This policy makes clear distinction between monitoring, evaluation and performance. Monitoring will be the continuous tracking of implementation of policies, programmes and projects while Evaluations will be done systematically, periodically, and impartially to assess the interventions. Performance will focus on measuring the success of the country's policies, programmes and project. The Monitoring and Evaluation Directorate (MED) shall set minimum guidelines and standards for monitoring, evaluation and performance in order to ensure improved and consistent measurement of development results.

#### 3.2.1 Monitoring

In monitoring, programme and project implementers will be expected to systematically collect qualitative and quantitative data on implementation progress against the planned targets. These data will provide implementers and other stakeholders an indication on the extent of progress made towards achieving the set objectives. The monitoring process shall be guided by the following: Indicator identification; Indicator data; Frequency of data collection; responsibility for data collection; Data analysis and use; Reporting and Dissemination.

Monitoring will be conducted for policies, programme and projects at all administrative levels at counties and national levels. At the project level, monitoring will focus on outputs and progress toward achieving the desired objective while at the programme level, monitoring will focus on assessing the effects of the various interventions against set objectives. Consequently, monitoring at the county and National levels will focus on assessment of progress made towards achieving the sectoral development outcomes. Policy monitoring will involve gathering evidence on the policy during implementation and use the findings to influence future cause of actions

### 3.2.2 Evaluation

Evaluation will be undertaken to answer specific questions regarding performance of development interventions. The evaluations will mainly focus on why results are being achieved or not. Evaluations will be either internal or external with stakeholders participating in all phases including planning, data collection, analysis, reporting, feedback, dissemination and follow-up actions-taking and review

- External evaluation shall be conducted by an independent body and/or stakeholder in a participatory process.
- Internal evaluations shall be conducted by the implementing agency using rapid appraisal methods.
- Evaluation findings will be shared with all the stakeholders
- All external/independent evaluators should be accredited and registered by a recognized professional body.

### 3.2.3 Performance

Developed plans at national and county level will be the basis of performance measurement with indicators developed to measure the targets. Performance will be based on institutional, sectoral, individual and policy achievements towards set targets at the national and devolved levels. It will entail gathering and analysing evidence to influence decisions. Budget allocation at all levels will be tracked to ensure effective and efficient utilization to give Kenyans value for money.

### 3.3 M&E Tools

**M&E plan:** All projects and programmes shall include a budgeted M&E plan prior to approval. Minimum requirements for Monitoring and Evaluation plan shall include: SMART indicators for implementation and results; Baseline data for the project or programme indicators; and identified reviews and evaluations to be undertaken. The plan should take into cognizance any other provisions stipulated in this policy.

**Results Based M&E Framework:** Effective monitoring and evaluation is based on a clear, logical pathway of results, in which results at one level lead to results at the next level. Results from one level flow towards the next level, leading to the achievement of the overall goal. If there are gaps in the logic, the pathway will not flow towards the required results. The major levels that the policy will focus on are:

- Inputs
- Outputs, including processes
- Outcomes
- Impacts

### 3.4 Policy Review

This Policy establishes a framework for monitoring and evaluation in implementing agencies. The practice, approach and tools for M&E will continue to evolve with time. As such the M&E Policy will be reviewed through a participatory process after every

five years, in line with the implementation period for the MTPs for Vision 2030, so as to capture relevant developments and emerging practices and approaches.

### **3.5 Policy on Financing Arrangements**

Effective implementation of the M&E Policy requires provision of adequate financial resources. Consequently, M&E shall be an explicit component of planning and budgeting at project and programme level. In addition each project or programme will be required to set aside at least 5% of the total budget. This will include any additional financial implications of addressing the minimum requirements and responsibilities of this Policy.

To effectively monitor and evaluate policies, programmes and projects, the M&E directorate shall be allocated adequate funds to enable it coordinate M&E in the country, develop infrastructure at all levels and conduct trainings to enculture M&E in the country. Concerted efforts to mobilize resources at all levels to support M&E initiatives shall be put in place. The NSC and other M&E outfits shall put up strategies of resource mobilization.

## **SECTION FOUR M&E REPORTING & KNOWLEDGE MANAGEMENT**

### **Introduction**

This section outlines M&E requirements, reporting structures and knowledge management.

### **4.0 Reporting Requirements**

State and non state actors shall be required to submit timely and accurate progress reports of projects and programmes in line with approved reporting standards, formats and frequency. MED shall collaborate with ministries, departments, agencies and devolved levels structures to design formats for data collection, analysis and reporting. MED shall, as a priority, determine the reporting requirements for the production of: Ministerial M&E Reports on the Vision 2030/Medium Term Plan and County Annual Monitoring & Evaluation Reports and any other relevant impact reports as required.

For effective monitoring and evaluation, systems shall be developed for real-time reporting and information sharing through web based interactive programmes that allow updating by stakeholders and reactive comments from the public and other stakeholders. MED shall establish a databank and regularly analyse the information in the domain to provide guidance for policy interventions.

### **4.1 Reporting Structures**

The National Monitoring and Evaluation Policy will enhance implementation of NIMES, thus providing an enabling environment for all sectors to undertake M&E

activities and submit reports as per the requirement of this policy. The Ministerial Monitoring and Evaluation Committee (MMEC) of each ministry in conjunction with CPPMUs (being the secretariat) shall prepare their M&E quarterly and annual reports. These ministerial reports shall include amalgamated reports from all stakeholders which shall be submitted by the principal secretaries of the line ministries to MED. The National M&E Policy will facilitate vertical (from sub county, county to national levels) and horizontal (between and among state and non state actors) reporting/ engagements. Line ministries' departments at the devolved level shall continue to provide timely and qualitative management reports to headquarters through the vertical reporting system.

#### 4.1.1 National level

Reporting by stakeholders at this level shall be on all funds applied to projects and programmes. Reporting shall be through vertical and horizontal structures. Horizontal reporting shall be institutionalized through this Policy to harmonize activities at national and devolved levels. At the national level, M&E reports on the National policy documents, line ministries shall submit quarterly M&E reports to MED on their programs as outlined in the *Handbook of National Indicators*. In keeping with horizontal coordination arrangements, line ministries' reports (from the MMEC) shall include information from SAGAs, CSOs, development partners and reform programmes. In addition, MED shall also receive reports from the Judiciary, the National Assembly and other non state actors. These reports will be used in the production of Monitoring and Evaluation reports.

The reports shall be utilized to inform policy actions as well as informing planning and budgeting. The reports include the following;

- An Annual Progress Report (APR) on the current Medium-Term Plan.
- A Public Expenditure Review Report (PER).
- An annual Project Monitoring Analytic Report (PMAR).
- County Annual Monitoring & Evaluation Reports (CAMER) on the County Development Plan (CDP).
- Devolved Funds Quarterly Reports.
- Service Delivery assessment Report (SDR).
- MTP Mid -Term Evaluation (Review).
- MTP End -Term Review

These reports shall be widely disseminated to key stakeholders including legislators, senators, governors, policy makers, research institutions, development partners and members of the general public for their use.

#### 4.1.2 Devolved level

At the devolved level, horizontal reporting shall involve heads of departments, parastatals and non-state actors in the county. These officers shall present quarterly

reports on programmes and projects under implementation to the County Development Committee (CoDC) chaired by County Governors. Reports from the Country Monitoring and Evaluation Committee (CoMEC) shall be forwarded to the Monitoring and Evaluation Directorate on quarterly basis for information and national reporting. The M&E directorate will advise on actions to be taken, including evaluations of projects and programmes to ascertain if they are meeting their intended objectives. The CoMEC shall prepare and send to the MED, a County Annual M&E Report (CAMER), detailing M&E actions for all sub-county levels. The Governor or his/her representative shall ensure that all copies of M&E reports are forwarded to MED. Final CAMERs shall be discussed by MED, who will also make recommendations for the evaluation of projects and programmes. All recommendations for evaluations shall be reviewed by a joint committee comprising of representatives from MED, counties, development partners and the line ministries. The joint committee shall determine whether the evaluation will be internal or external/independent.

### **Knowledge Management**

Monitoring and evaluation forms a key pillar for knowledge management for organizational improvement and sustainability. For purposes of this policy, knowledge management shall be considered a process by which state and non state actors generate value and improve their performance by gaining insights and understanding from experience, and by applying this knowledge to improve programmes' and projects' planning and delivery. Knowledge management is linked to performance enhancement and management for development results. The main purposes of knowledge management of monitoring and evaluation information are to: (a) promote a culture of learning and (b) promote application of lessons learned and evidence-based decision-making at all levels.

M&E reports shall form a key function of sharing and lesson learning. MED shall facilitate the preparation, and validation of these reports to ensure ownership by stakeholders. Final evaluation reports shall be widely shared with state and non state actors for purposes of informing policy, decision making and future programme planning. Reporting systems and tools shall provide for documentation of success stories and best practise for cross learning (intra and inter agency peer learning at national and devolved levels). Dissemination of M&E reports shall be done through forums, newsletters, websites, seminars and conferences.

#### **4.1.3 Communication strategy**

The Monitoring and Evaluation Directorate shall prepare an M&E Communications strategy specifically for the institutionalization of the National Integrated M&E System. Implementation of NIMES shall be supported by this Communications Strategy. The Communications Strategy shall:

- Determine user-friendly strategies for responsive dissemination of NIMES data and information

- Popularize and print M&E Products
- Monitor media coverage and undertake a content analysis of published M&E information
- Develop capacity of media houses and media practitioners in understanding and reporting government policies and M&E in particular
- Convene M&E stakeholder forums
- Build the M&E Practice through Advocacy and Sensitization
- Coordinate Knowledge sharing activities

The Communication Strategy shall also include feedback mechanisms to articulate stakeholders' and beneficiaries perceptions of the progress made by the Vision 2030, Medium-Term Plans and the quality of service delivery. As such, the Strategy will include dissemination of information to the devolved levels. To facilitate lower level sensitization, advocacy and capacity development, popular versions of policy messages shall be prepared and shared in English and Kiswahili through brochures and leaflets.

Communications under NIMES shall be facilitated by enhancement of the website for Monitoring and Evaluation Directorate, where all monitoring reports and other M&E tools shall be accessed. The ministry in charge of planning shall also advocate for upgrading of County Information and Documentation Centres with Internet and other ICT technologies.

## SECTION FIVE

### M&E REPORTING STANDARDS

#### Introduction

This section gives guidelines on the standards that will be followed for monitoring and evaluation in the country. It also proposes ways of enforcing reporting standards to various stakeholders.

#### 5.0 M&E Reporting Standards

The citizens of Kenya will benefit from improved performance of national development programmes and projects leading to desired results through greater transparency and accountability MED in conjunction with all stakeholders shall develop guidelines and standard and ensure that national and devolved levels M&E reports are prepared in accordance with the policy requirements and set standards. Efforts shall be made to embrace real time reporting in all programmes and projects.

#### Compliance with M&E Policy and Reporting Standards for all Actors

The State actors will be required to prepare quarterly and annual M&E reports based on set guidelines and standards. For National reporting, reports shall be forwarded to MED for further analysis and incorporation into the various National reports. On the other hand Non-State actors shall report through their parent MDAs using the set

guidelines while Development partners shall also report to MED through the body responsible for overseeing their operations.

### **5.1 M&E Policy Incentives, Benefits and Sanctions**

State and non-state actors have obligations of mainstreaming M&E at the national and devolved levels in programmes and projects being implemented at those levels. M&E being a management tool will enable programme and project actors to achieve their development objectives more effectively. Incentives, benefits and sanctions are based on adherence to reporting mechanisms for programme and project implementation at national and devolved levels as spelt out in this policy document.

#### **5.1.1 Incentives and Benefits**

The M&E reports will showcase performance of all agencies both State and non-state actors undertaking programmes and projects. Compliance with the requirements for submission of M&E reports through NIMES and the content of the reports shall be used as a reference when resources are allocated to public sector institutions by the department responsible for Finance. Appropriate incentives and benefits shall be put in place for both state and non-state actors who comply with set standards.

#### **5.1.2 Sanctions**

Sanctions will be based on results obtained from performance assessments as reflected by the performance contract targets conducted by the Principal Secretaries of Ministries, CEOs of government agencies and county governors in conjunction with MED. Through legislation, MED shall be given mandate to sanction both state and non-state agencies who fail to meet the set standards.

## **SECTION SIX**

### **6.0 CAPACITY DEVELOPMENT**

#### **6.1 Introduction**

M&E capacity and needs assessment will help inform the development of M&E infrastructure and human capital at all levels. The M&E directorate in collaboration with all stakeholders shall develop capacities at the National and Devolved levels to ensure effective implementation of NIMES and inculcate a culture of Managing for Development Results. Capacity development programmes shall be based on needs as identified at various levels by project/programme implementers together with MED.

#### **6.2 Technical and Managerial Capacity**

The policy shall put in place mechanism to ensure officers charged with overseeing M&E activities at national and devolved levels are equipped with skills and capacities to perform their roles effectively. Towards this end, MED in collaboration with local training institutions shall develop M&E curriculum to guide the delivery of certificate, diploma, graduate, masters and post graduate diploma courses. As part of the capacity development for NIMES, all technical staff charged with M&E responsibilities shall

be trained on the principles of Monitoring and Evaluation, including the management of M&E activities.

In order to embrace automation for real time reporting, MED in collaboration with stakeholders will spearhead training in ICT to encourage uploading, downloading and data analysis for continuous updating of databases and use of M&E information by all stakeholders.

### **6.3 Institutional Capacity**

Departments or units charged with the responsibility of M&E at national and devolved level will be prevailed upon to provide the necessary equipment and infrastructure to perform M&E duties effectively.

Non-state actors will be supported by MED in their M&E capacity development programmes through sensitization on the M&E, project monitoring and evaluation standards and indicators development.

## **SECTION SEVEN**

### **7.0 INSTITUTIONAL FRAMEWORK**

#### **7.1 Introduction**

This section defines the key structures, roles and responsibilities of all key players under the NIMES structure. The roles and responsibilities shall be assigned to key institutions involved in programmes and projects implementation in the country as indicated in the following subsections.

#### **7.2 Monitoring and Evaluation Directorate (MED)**

MED shall be the government Agency responsible for all monitoring and evaluation activities in the country. The Directorate in its coordination role shall:

- Ensure that coordination arrangements for NIMES are established and implemented at all levels. MED shall convene quarterly meetings of the Technical Advisory Groups (TAGs), Technical Oversight Committee (TOC) and National Steering Committee (NSC) for approval of its policy direction and development.
- MED shall guide the operations of COMECs
- Set M&E norms and standards for the implementation of NIMES.
- Facilitate harmonization between tools and processes at national and devolved levels.
- Set standards for Monitoring and Evaluation of all public programmes and projects.
- Provide oversight for the development of performance indicators for ministerial/sector strategic plans and the achievement of MTP goals.
- Provide technical support to state and non-state with respect to building of technical capacity and the culture of M&E at national and devolved level.
- Prepare M&E reports including but not limited to APR, PER and synthesis reports.
- Prepare a capacity plan and mobilize resources for capacity development on M&E

- at national and devolved levels in collaboration with other stakeholders.
- Promote the usage of relevant software and ICT tools for M&E in state and non-state actors at all levels.
- Prepare and review of M&E communications strategy to promote NIMES.

### **7.2.1 The Technical Advisory Groups (TAGs)**

The membership of the TAG will be drawn from public sector institutions, civil societies, and the private sector and development partners. These advisory groups will provide guidance in the five areas, namely:

- Quantitative and Qualitative Data Collection and Storage, and Indicator Construction
- Research and Results Analysis
- Dissemination for Advocacy and Sensitization
- Project Monitoring and Evaluation
- Capacity Development and Policy Coordination
- Technical Advisory Groups shall meet quarterly during the months of July, October, January & April to review NIMES' work plans, advise on their operationalization and, assess progress.
- Technical Advisory Groups shall advise MED on the development of its work plans that shall in turn be endorsed by the Technical Oversight Committee and National Steering Committee.

### **7.2.2 The Technical Oversight Committee (TOC)**

The Technical Oversight Committee shall comprise of senior government officers drawn from the Ministry in-charge of Planning and CPPMUs from line ministries. The TOC shall meet on a quarterly basis and shall be the technical/professional advisory organ on strategy and direction for NIMES. It will approve work plans and track progress in their implementation as well as approve monitoring reports before publication.

### **7.2.3 The National Steering Committee (NSC)**

The committee shall be the highest policy advisory body under the NIMES institutional arrangements. Its composition is the same as that of the Technical Advisory Groups, i.e. government, civil society, private sector and development partners. The Principal Secretary of the ministry in-charge of planning will chair the National Steering Committee. The National Steering Committee shall meet quarterly.

### **7.2.4 Ministerial M&E Committees (MMECs)**

MMECs shall be established in each line Ministry to collect information and prepare M&E reports. MED shall post a monitoring and evaluation officer to be attached to the Central Planning and Project Monitoring Unit (CPPMU) in all ministries. The MMEC shall be chaired by the Principal Secretary/ Accounting Officer of each Ministry with the Head of the CPPMU with assistance of the monitoring officer as its Secretary.

Other members of this committee shall be heads of technical departments within the Ministry.

The MMEC shall be responsible for coordinating preparation and submission of M&E reports on the projects and programmes implemented by respective Ministries at all levels to MED. Parastatals and Semi-Autonomous Government Agencies (SAGAs), shall also establish M&E committees. The CEOs of these institutions shall be responsible for ensuring that the committees are functional and relevant M&E reports are submitted to MED through the parent ministry.

#### **7.2.5 County Monitoring and Evaluation Committees (COMECs)**

These county committees shall be the MED's interlocutor at the devolved level. MED shall post a County Director of Monitoring and Evaluation to assist COMEC in the preparation of county M&E reports. The COMECs will be chaired by the County Governor with the County Director of Monitoring and Evaluation as its Secretary. The COMECs shall be constituted to include heads of County technical departments, national ministries representatives, representatives from civil society organizations and private sector operating in the county. COMECs shall meet monthly and shall coordinate M&E activities within the county. The committee shall also prepare and submit quarterly and annual reports to MED.

#### **7.2.6 The National Stakeholders' Forum (NSF)**

The forum shall be a multi-sectoral group convened by MED on ad-hoc basis to review monitoring and evaluation reports before final printing and dissemination. The NSF shall comprise representatives of public sector institutions, NGOs, private sector, development partners/ donors and other CSOs.

#### **7.2.7 The County Stakeholders' Forum (CSF)**

The county forum will have no permanent members but will be convened by the governor's office on ad-hoc basis to review monitoring and evaluation reports before final printing and dissemination.

The CSF will consist of representatives from leadership of the county, technical departments of the county, and representatives of line ministries, NGOs, development partners and the private sector. It will also give feedback on County M&E reports, particularly the County Annual Monitoring & Evaluation Report (CAMER).

#### **Legal Framework**

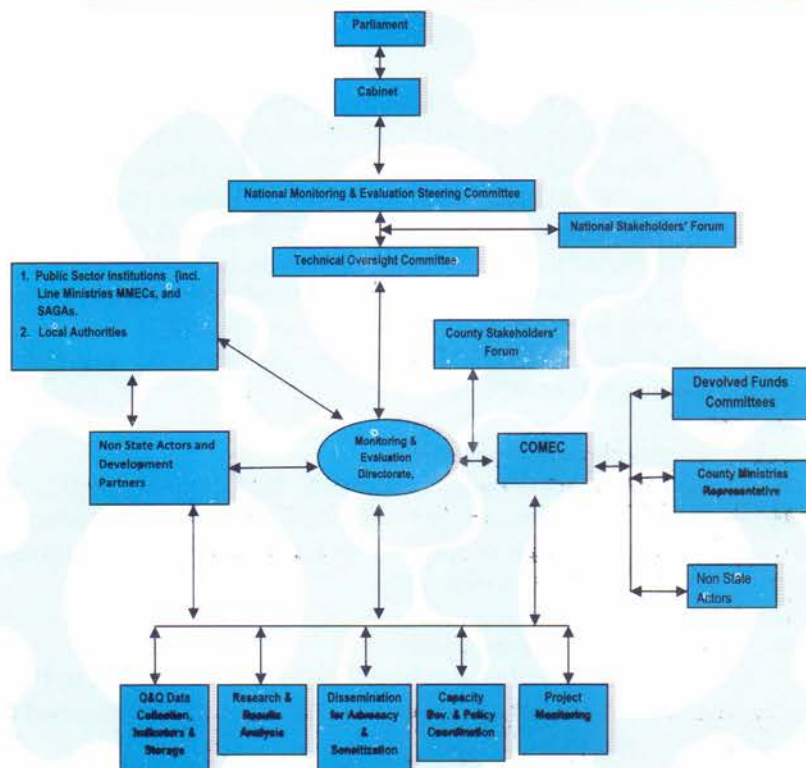
With the adoption of this policy, a legal framework shall be prepared to support its implementation. The legal framework shall inform the process of enactment of an

M&E Act that will in turn lead to the creation of an autonomous M&E lead agency in the country.

## ANNEXES

### ANNEX ONE

#### NIMES INSTITUTIONAL ARRANGEMENTS FOR COORDINATION, IMPLEMENTATION AND REPORTING



#### Definition of terms

**Monitoring and Evaluation** is a management tool that ensures policy, programme and project results are achieved by gauging performance against plans; and drawing lessons from the experience of interventions for future implementation effectiveness while fostering accountability to the people of Kenya.

**Monitoring:** The process of continuously and closely checking/observing and keeping track over implementation of a programme/ project/ activity for a specific period of time or at specified intervals to assess its progress and performance. This entails collection and analysis of data and information, on all major project variables as the project progresses to determine whether set standards or requirements are being

met.

**Evaluation:** An assessment to determine the degree to which a programme/project/activity has successfully met its objectives. This also includes forming an opinion with a view to determine the quality of one or more tasks and drawing lessons for making improvements or adjustments.

**Project:** A planned undertaking of related activities aimed at specific objective(s) that has a beginning and an end. Usually every task has a planned completion data and assigned resources and responsibilities.

**Programme:** A series of interrelated projects with a common overall objective. A time-bound intervention similar to a project, but which cuts across sectors, themes or geographic areas; uses a multi-disciplinary approach; involves more institutions; and may be supported by several different funding sources

**Goal:** A broad statement generally describing a desired outcome for a project. It is the broader regional, sectoral or national objective that a project and/or activity is expected to contribute towards. A broad statement of what the programme is intended to accomplish.

**Objective:** A measurable statement about the end result that a project/programme is expected to accomplish in a given period of time. What the project specifically aims to achieve. A well-worded objective will be Specific, Measurable, Attainable/Achievable, Realistic and Time-bound (SMART). Difference between 'goal' and 'objective' is that 'objective' is a specific object of an effort, while 'goal' has an inspirational element and is more general and broader.

**Stakeholder(s):** Specific people or groups who have a stake in the implementation of the policy. Normally, stakeholders could include state and non state actors and the Kenyan citizens.

**Non State Actors:** Development partners who include Civil Society Organizations (Non-Governmental, Faith Based and Community based organizations), Private Sector Organizations and Foundations,

**Result** -A describable or measurable change in state that is derived from a cause and effect relationship

**Input:** The financial, human, material and information resources used to produce outputs through activities and to accomplish outcomes.

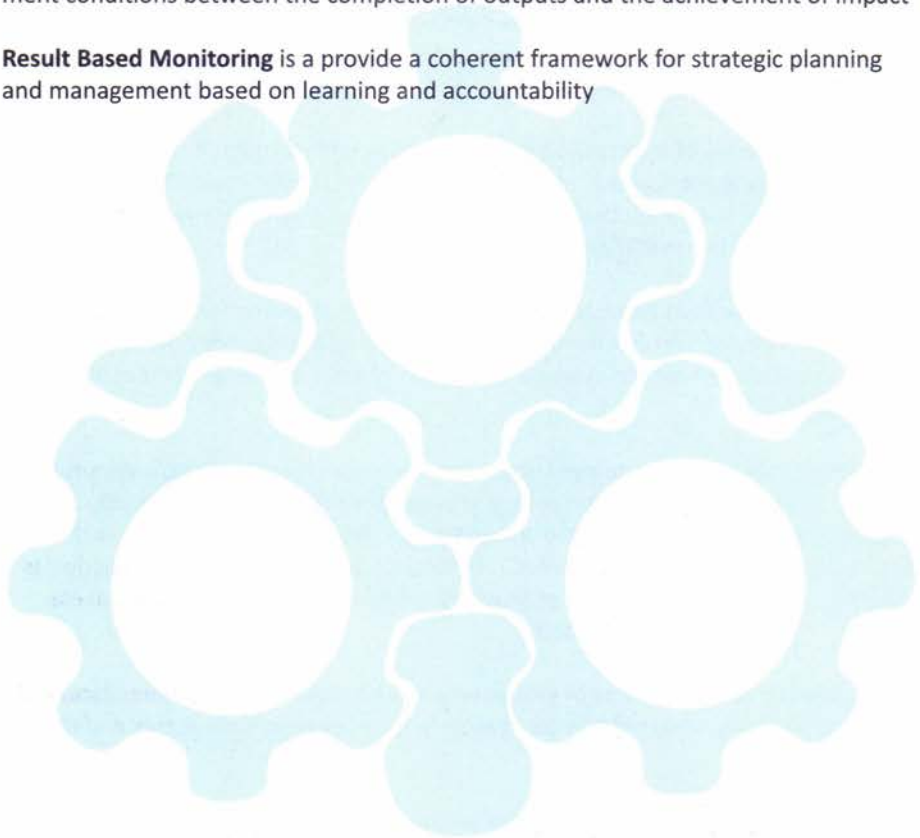
**Activities:** Actions taken or work performed, through which inputs are mobilized to

produce outputs.

**Outputs:** Direct products or services stemming from the activities of an organization, policy, program, or initiative. (2002 OECD DAC)

**Outcomes** are actual or intended changes in development conditions that programme interventions are seeking to support. They describe a change in development conditions between the completion of outputs and the achievement of impact

**Result Based Monitoring** is a provide a coherent framework for strategic planning and management based on learning and accountability







ISO 9001:2008  
**Certified**

