TWENDE MBELE

GUIDELINE

HOW TO IMPROVE THE DEMAND AND USE OF M&E EVIDENCE IN DEVELOPMENT PLANNING AND BUDGETING PROCESSES OF THE GOVERNMENT OF KENYA

AUGUST 2023

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GUIDELINES

ON

HOW TO IMPROVE THE DEMAND AND USE OF MONITORING AND EVALUATION EVIDENCE IN DEVELOPMENT PLANNING AND BUDGETING PROCESSES OF THE GOVERNMENT OF KENYA

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EXECUTIVE SUMMARY

Monitoring and Evaluation has a key role to play in the successful implementation of the development plans, policies, programmes and projects which constitute the backbone of national development. An effective monitoring and evaluation system can positively help obtain data and information required for the formulation and implementation of development plans, policies and programs. It can also help in ascertaining whether the extent to which the economy is achieving set national goals and objectives by providing objective and credible information and evidence.

The guidelines herein recommend some strategies that are necessary to increase the demand for M&E and its use in the development planning and budget making process in Kenya. It is important to mention from the outset that key among the guidelines is the M&E report that should be prepared on time and shared with the key stakeholders early enough before the planning and budgeting cycles commence. This is very important because M&E is critical in informing development planning and budgeting processes in Kenya and many other countries globally.

In addition to the theoretical aspects of monitoring and evaluation, these Guidelines also provide information about monitoring and evaluation methods and approaches that can be adopted by government ministries and other institutions to produce good reports for better policy formulation, planning and implementation. The use of these Guidelines is intended to bring about uniformity in monitoring and evaluation functions.

Although M&E information has been used to inform planning and budget processes, much more remains to be accomplished to reach optimal levels. This guideline calls for continuous capacity building programmes on M&E to various key public servants in charge of development as well as implementing provisions of the M&E policy. The survey findings show that M&E practices should be used at every level of planning as the majority of the respondents strongly agreed on the need to increase M&E evidence uptake and develop more well-planned budgets to promote sustainability.

The guidelines also recommend a number of strategies, if implemented fully at the national and county ministries that will make M&E evidence much more effective and efficient in providing information for planning and budgeting processes in Kenya.

ABBREVIATIONS

AFREA	African Evaluation Association.
CBS	Central Bureau of Statistics
CIMES	County Integrated Monitoring and Evaluation System
CPPMUs	Central Planning and Project Monitoring Units
ESK	Evaluation Society of Kenya
M&E	Monitoring and evaluation
MDAC	Ministerial Development Action Committee
MED	Monitoring and Evaluation Department
MfDR	Managing for Development Results
MMEC	Ministerial Monitoring and Evaluation Committees
MTEF	Medium-Term Expenditure Framework
MIS	Management Information Systems
NIMES	National Integrated Monitoring and Evaluation System
SDGs	Sustainable Development Goals
TPI/M	Third-Party Inspection / Monitoring
ToRS	Terms of Reference
SAGAs	Semi-Autonomous Government Agencies

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SECTION A: GUIDELINES FOR ENHANCING M&E, PLANNING AND BUDGETING

1.0 Introduction

These Guidelines were prepared based on suggestions and inputs from all relevant ministries through a survey and a series of discussions and interactions. Representatives from various ministries of the national and county governments and Central Bureau of Statistics (CBS) were the key targeted respondents.

The findings of the study showed that most of the national government ministries have in place the M&E framework, planning and budgeting structures but they are not robust enough to attain the intended results since many departments are faced with low budget allocations for M&E systems. In addition, M&E is done as the last step in the entire process, yet it should start at the same time as the planning and budgeting processes. This report outlines some guidelines that need to be implemented fully on the existing strategies or introduce new strategies in order to develop a more robust M&E framework in the national government ministries since the survey finding indicated that only 60% of the ministries have an M&E framework. It further outlines the institutions' entitlement to facilitating the working of the M&E function at county and national levels.

The guidelines emphasize on strengthening strategies that are necessary to increase the demand for M&E and its use in development planning and budget making processes in Kenya. It is important to mention from the outset that key among the guidelines are the M&E reports that should be prepared on time and shared with the key stakeholders early enough before the planning and budgeting cycles commence. This is very important because M&E is critical in informing development planning and budgeting processes in Kenya and many other countries globally.

The guidelines recommend the following as the major objective of an M&E system.

1. A result-based monitoring and evaluation system should be made an integral part of every plan, policy, programme, and project beginning at the early stages of formulation.
2. Monitoring and evaluation systems should furnish all necessary data and information for public plans, policies, programmes, projects and budgeting processes.

3. Regular and systematic monitoring and evaluation should be carried out to keep track of inputs, activities, processes, outputs, outcomes and impacts of policies, programmes, and projects being implemented by the national and county governments.
4. To make sure that decision processes and policy formulation processes are evidence-based after being provided with the relevant data, information and feedback.
5. With a basis of effective monitoring and evaluation, transparency and social responsibility are enhanced to promote good governance.

Some critical aspects of the guidelines to be mentioned here include the following:

1.1 Enhancement Recommendation on Provisions of M&E Policy in Kenya

Policy was approved in May 2022 and requires to be disseminated to key stakeholders at National and County Level Governments for implementation. The policy provides for adequate funding for M&E work and the formation of appropriate M&E committees with a clear mandate of reporting on M&E achievements at all levels to inform policy and influence budgetary allocations to various programmess implemented in the medium-term plans and the county integrated development plans. The committees include the Technical Advisory Groups who should be meeting monthly or bi-monthly and report to a higher committee called the Technical Oversight Committee which meets every quarter. The National Steering Committee should meet twice a year to make overall policy decisions including funding various programmes of government.

1.1.1 Monitoring and Evaluation Forms

Different forms have been developed to make M&E reports user friendly and informative as well as to ensure that all concerned agencies report uniformly to higher levels and other departments and on time for decision making. These forms simplify the monitoring of input invested into projects and the output produced thereof. The Annual Development Programme and Progress Report Forms can also be included in the Budget Formulation Guidelines to be issued by the Ministry of Finance and the planning department. M&E forms can be divided in two types focusing on the formative phase and reporting phase.

a) **Timeliness of M&E Reports:** M&E reports should be submitted on time (by August) before the commencement of the annual budgeting cycle so that it can influence the allocation of resources to various government programmes being implemented at the national and county government levels. The M&E progress and expenditure reports are based on the implementation of both MTPs and CIDPs.

b) **Use of Both e-NIMES and e-CIMES:** By use of the above systems, both the national and county governments will improve on their reporting in terms of quality and timeliness. This will effectively have the M&E reports prepared on time and can quickly inform the planning and budgeting process on time. This process requires in built human capacity as well as equipment, especially computers/laptops, the relevant programmes and the relevant licenses and servers. It is important that human capital be capacitated to handle this function as it will indeed assist in the various levels of reporting to be enhanced and subsequently give proper and timely feedback to policy makers that will enable them to make informed policy decisions on planning and budgeting processes.

c) **Regular Capacity Building and Training Programs For M&E Staffs**

Regular capacity and training programmes for M&E staff is key in enhancing their skills to handle M&E functions effectively. This therefore calls for M&E staff to attend important M&E trainings offered locally and outside to sharpen their skills, particularly in those programmes which offer evaluation at outcome and impact levels. This approach will not only improve in the delivery of services but will also mitigate against staff turnover in government which is common either due to the search for greener pastures or retirements on age grounds.

1.1.2 Monitoring and Evaluation Procedures

From the survey it was clear that while preparing the M&E reports, plans, policies, programmes and projects the following aspects MUST be analyzed:

1. Whether or not resources are available to and used by the constituent units within the limits of an authorized budget and stipulated timeframe.
2. Whether or not expected outputs are achieved in a timely and cost-effective manner.
3. What is the level of implementation capacity?
4. What kind of problems and constraints are being faced and what kind of remedial measures are called for?

This guideline provides the following as the procedure for Monitoring:

1. All stakeholders in the country shall be in charge of the implementation of the policy for all functions and procedures attached to their mandate.
2. All ministries, counties, departments and agencies shall establish M&E units to implement these guidelines with respect to each project/programme being undertaken.
3. Non-state actors aligned to different sectors will also be required to establish structures for the purpose of undertaking M&E activities and reporting on progress.

For Evaluation, the guidelines recommended the following procedure for evaluating of projects, programmes, policies and service delivery within the country according to set standards and principles:

1. A self-evaluation will be conducted entirely by staff involved in an operation, and normally without the assistance of external consultants.
2. Whereas the country will encourage the use of independent external consultants in evaluations, involvement of the staff in the departments concerned will be promoted to encourage development of internal capacity. The responsible department will develop Terms of Reference (ToRs) for the evaluations.
3. State and non-state actors shall facilitate mid and end term evaluation of projects/programmes. This will be through coordination, provision and mobilization of resources for evaluation.
4. Professional evaluation standards-setting and enforcement. The Evaluation Society of Kenya (ESK) will spearhead the stakeholder consultative development of M&E standards and their enforcement. They will guide the supply and demand sides in professionalizing evaluation. Reference will be made to the best international practices, including from the United Nations (UN), the World Bank and the African Evaluation Association (AFREA).

1.2 M&E Tools to Enrich Planning and Budgeting

In order for M&E to generate more information for planning and budgeting process, these guidelines recommend that the following tools **MUST** be enhanced in all government and county ministries given that the findings from the survey showed that plans are useful in government ministries and county government in assessing the future, setting goals and proposing implementation action plan as indicated by the composite value of (mean= 4.67 and STD= 0.57). **E-Nimes and E-Cimes** must ensure that these tools are fully operationalized in all government and county ministries and departments. These tools in themselves can be the objectives of M&E.

1.2.1 Periodic Plans

Periodic plans are formulated as a means to systematic development. Kenya mostly works with five-year integrated strategic plans. However, at different intervals one and two year plans have also been formulated. It is usually good practice to perform mid-term reviews of all periodic plans being implemented. Numerous activities are carried out in various sectors to achieve the goals and objectives set out by the periodic plans. Regular monitoring of programme and project activities can provide us with information on the extent of progress made towards achieving the goals and objectives of the plan. Similarly, evaluation offers feedback on whether the programme and projects are adequately oriented towards achieving the goal of the plan. Accordingly, it is necessary that regular M&E of the periodic plan be carried out.

1.2.2 National Evaluation Plan

The Kenya national evaluation plans are one year, two-year or five-year sectoral plans which are prepared in line with the assigned businesses or responsibilities of the concerned public agencies, as well as with goals and objectives set forth by the periodic plans. It is prepared as a management tool based on the principle of Managing for Development Results (MDR) to realize optimum outputs from the available resources. More specifically, a business plan determines priorities of the sector along with the inputs, activities and outputs needed to achieve desired outcomes and proposes realistic budget estimations.

1.2.3 Medium-Term Expenditure Framework

Medium-Term Expenditure Framework (MTEF) is the schema for prioritizing development programmes with a view to improving the process of programme/project formulation and implementation, improve the effectiveness of development programmes and ensure the budgets for the programmes and projects critical to the achievement of goals and objectives of periodic plan. Programmes can be implemented and monitored by classifying them into three (Priority One-P1, Priority Two-P2, and Priority Three-P3) categories in order of priority, based on criteria set under MTEF. It is also meant to ensure availability of budget to the priority one (P1) programmes even in the face of fiscal deficits. Regular monitoring and evaluation is needed to ascertain and analyze whether the framework is complied with and the necessary budget is made available to priority projects.

1.2.4 Budget Policy and Programme

Every year, the Kenya government presents the details of revenue and expenditure. Generally, such details are presented in advance to parliament in the form of a budget speech and then made public. The government, through the budget speech, brings out a new budget policy and programme each year as part of its continuous efforts to address unfolding development needs. The medium-term budget policy and programmes thus initiated should be monitored and evaluated on a regular basis.

1.2.5 Project Document

Projects are developed as the instruments of programmes which are in turn designed and implemented to realize the goals of policies and periodic plans. Such project documents elucidate goals, objectives, outputs, processes and inputs of the project. Regular monitoring facilitates the timely completion of projects by keeping track of the activities and inputs and by initiating timely corrective measures to resolve problems in implementation. In addition, evaluation can be helpful in realizing time-relevant outcomes of the projects through timely corrections as well as obtaining feedback to inform other similar project designs.

1.3 Approaches and Methods to Strengthen M&E Use in Kenya

For a more robust M&E system in government and country ministries and departments the guideline endorses a number of approaches that can be adopted to make M&E more effective and efficient in informing planning and budgeting. They include result-oriented, constructivist and reflexive approach. Every approach includes principles, methods and tools that can be used for projects that have the ambition to contribute to (system) innovation.

1.3.1 Result-oriented monitoring and evaluation approach

A results-oriented approach underscores the need to enhance the effectiveness of investments by linking outputs and outcomes with inputs and activities. The emphasis on results-oriented monitoring and evaluation lies in "measuring": to what degree the original project objectives and subsequent interventions have been achieved.

Managing for Development Results (MfDR) is an important strategy of results-oriented management approach.

- **i** MfDR approaches places emphasis on catalyzing changes in conventional organizations which has six phases.
- **ii** Carrying out an overall appraisal of managerial capacity in the given organization for catalyzing the process of change and improvement.
- **iii** Provides clear strategic guidelines for linking sectoral result-chains and indicators with the implementing organization.
- **iv** Appraising existing organizational systems with a view to preparing all the constituents to achieve organizational goals.
- **v** Assessing the orientation, motivation and incentive systems of the organizational staff and orienting them to achieve results.
- **vi** Developing immediate, medium-term and long-term plans for organizational changes and performance evaluation.

MfDR is a system of monitoring performance based on indicators, concepts, and principles of results-oriented monitoring. It is done by keeping results at the center of the process to ascertain whether the flow of inputs, outputs and outcomes are in accordance with the targets and objectives spelt out in the logical framework of a given plan, policy, programme or project.

Results-oriented M& E includes the following.

- Logical framework: Logical framework is an important tool of programme and project formulation and management. It helps to think through and analyze the goals, objectives, outputs, activities and inputs of a project in a systematic and logical manner. It also identifies the assumptions and risks that can affect successful implementation of the project.

- Identification of Indicators: An indicator is a basic means to measure an obtaining situation or condition employing simple numerical or descriptive methods. Indicators make it possible to measure the changes brought about by the activities and inputs invested in a given programme or project and based on that to conduct M&E. It is important for results-oriented monitoring and evaluation to determine indicators and measure them.

Indicators for Different M&E Phases: To undertake effective monitoring and evaluation of a plan, policy, programme or project, indicators are developed for different levels from inputs through activities to impact generated by the outputs.

- i **Plan or Sectoral Level Indicators:** These indicators are crafted to estimate aggregated outcomes of programmes or projects implemented to achieve the goal or objective set at a plan, policy, or sector level.
- ii **Final Level (Outcome and Impact):** Indicators chosen to collect information so as to estimate aggregated outcomes of programmes or projects implemented to achieve the goal or objective at a plan, policy, or sector level are final level indicators. They are useful to understand the impact produced by the interventions on the lives of target groups and the extent of their satisfaction. It is these indicators that the final outcomes and impacts of plans, policies, programmes and projects are measured.
- iii **Intermediate (Output, Process and Input) Indicators**: Output indicators are defined to measure the goods and services produced by the implementation of plans, policies, programmes or projects. Similarly, process and input indicators are defined to measure the inputs and activities of such plans, policies, programmes or projects.
- iv **Performance Indicators:** The programme/project activities are planned based on a time schedule. These activities are incorporated in the Annual Development Programme. A range of indicators should be defined for the purpose of monitoring these activities. The monitoring of such indicators can be done through quarterly/annual progress reports.

1.3.2 Reflexive M&E Approach

Reflexive methods focus on both a collective learning process (in groups of actors and in networks) as well as on the results in terms of learning and institutional change. The reflexive approach has a constructivist basis but goes further. Project or network participants not only exchange their personal viewpoints and motives but they also debate their presumptions and underlying values and norms and the institutional context in which they operate. In this way, they can arrive at diverse agreements about possible joint actions. The leading question in reflexive monitoring is whether the activities in an innovation project stimulate precisely those learning processes that can lead to a change in current practices of interdependent parties. The strength of this approach is that it is based on thinking in terms of systems; current practices are questioned and the aim is to change a complete system.

Tools for Reflexive Monitoring Approach

A. System Analysis: System analysis is a tool that provides insights into the actors and factors that are working against the transformation to a more sustainable system: They include; The inhibitors, which are the system faults or barriers as well as the actors and factors that are actually encouraging that transformation, **t**he driving forces and the system opportunities: Insights into all these actors and factors are necessary if a good project is to be designed. System analysis is incidentally only worthwhile if the (potential) project participants see the existing system as a problem and would like to contribute to the transition to a more sustainable system. A monitor can carry out a system analysis on the basis of discussions or interviews with project participants or the analysis can take place in a collective workshop with the project team or the project participants. The advantage of a collective analysis with all the participants is that the analysis is a joint product and will therefore be more readily accepted by the participants.

B. Actor Analysis Plus Causal Analysis

As a monitor or project manager, you may get the feeling during the design phase that some of the members of the project team have a restricted view of their contribution and role. One may see himself only as an adviser on various substantive aspects; another only acts when something needs organizing. Discussions and progress seem to be determined by those who have the most to say, based on their own contribution or expertise. As a result of this, there is no shared vision about the role that this project has in contributing to a longer-term ambition.

Approach

Actor analysis and causal analysis can bear fruit when it comes to learning together and sharing insights about the approach when they are used within a team or together with the project participants. However, the monitor or project manager can carry out the same analysis steps as 'homework'. He or she can then introduce the results as a discussion item in various project phases.

- **i** **Actor analysis:** The monitor can suggest, for example, that an actor analysis should be carried out by the whole team. A matrix of four rows by four columns is drawn on a large sheet of paper. Discussing it as they go, the participants can put the names of actors on it using post-its.

ii **Causal analysis:** The tasks in causal analysis can be split up three ways: the group does the work, supervised by the monitor or project manager (option a); the group and the monitor or project manager distribute the work (option b); or the monitor or manager does the work largely on their own.

C. Indicator Sets

The indicator sets comprise of two main groups: effect indicators and process indicators. The effect indicators refer to the learning and innovation process itself. A diagnosis based on the effect indicators shows whether the process needs to be strengthened. The points of leverage that can be used to strengthen the process are examined using the process indicators. The second group of indicators refers to the conditions for learning within an innovation project or innovation network.

The indicator sets are not just an instrument for guiding processes. They also function as 'a pair of glasses' enabling you to look at processes in a specific way.

Approach

A useful and responsible way of using the indicator sets consists of various steps that can be repeated several times: 1. research, 2. analysis, 3. discussion and 4. reporting. The indicator sets provide focus and structure in each of those steps.

i. Reflexive Process Description: For a project manager or monitor of an already running project to have a fresh look at the process to regain its overview, record crucial moments and changes and get input in order to progress, reflexive process description is very helpful.

The reflexive process description is a representation of the process in specific terms using pre-defined indicators. It is written by the monitor. The process description aims to support analysis and encourage reflection within an innovation project, but it can also serve as input for reporting to the client and for sharing the lessons learned with third parties.

Approach

A reflexive process description states the process in terms of pre-defined indicators. The obvious author is the monitor, because project participants or project team members cannot be expected to have sufficient time or be sufficiently far removed from the action i.e., a relative outsider to be able to make such a description.

The monitor makes a theoretically based assessment of what is going well and what is going less well. Is the network sufficiently heterogeneous, for example? Is second-order learning taking place too, rather than merely first-order learning? In addition, this tool gives room for both the monitor and the project managers to reflect on the process, the role of the monitoring, and the theory used.

ii. Timeline and Eye-Opener Workshop

The timeline method provides a working format for expressing the challenges, successes and learning experiences explicitly, together with the project participants. The eye-opener workshop is an additional tool for turning outsiders into project insiders, as it were. The experiences and results of the project are narrated in detail during the eye-opener workshop. The participants then reflect on the events, each from their own perspective. This lets them extract the lessons from the project experiences that are significant for their own situations. It is therefore not the monitor or project manager who determines which lessons are relevant, but the (potential) knowledge recipient. A timeline or eye-opener workshop takes at least three hours and is done with a small group.

Approach: The timeline and the eye-opener workshop are extensions of each other. The biggest difference is that the timeline is done with project participants, and the eye-opener workshop with outsiders. The eye-opener workshop can build on the results of reflecting on the timeline.

Timeline: The timeline workshop is suitable for getting project members to reflect jointly on project events. Depending on the duration of the project and the number of participants, a timeline workshop will take between 2 to 4 hours. The timeline workshop can be led by the monitor or project manager.

Eye-opener workshop: The eye-opener workshop is good for letting outsiders learn from the experiences of system innovation projects. The aim is to extract insights from the project experiences that the workshop participants can benefit from in their own situations. It is based on the idea that the monitor or project manager cannot determine what is relevant for others. This has to be done by the (potential) recipients of the knowledge themselves. The workshop itself (after the preparation and introduction) can be subdivided into three parts. In the first part, the project narrative is told. During the second part, reflections on the narrative are shared. Finally, the participants can make use of the insights internally in their own contexts.

1.3.3 Constructivist M&E Approach

The constructivist M&E approach assumes that people are the motor behind the development of novelties and societal change processes. They achieve this through interaction and negotiation (Guba and Lincoln, 1989). Mutual understanding and exchange of experiences support collective learning, improvement and change. Constructivist methods focus heavily on monitoring and evaluation of the progress of the collective learning process. They do not so much define (the "what" question) but highlight more how successful collective learning processes are initiated and prolonged (the "how" question).

The strength of constructivist methods is that they stimulate the exchange of perspectives. They ensure a good insight into how processes evolve. These insights are of value for the learning process itself and the relationships within the project or network can be strengthened using the results of monitoring and evaluation.

Constructivist methods can help collective learning when the outcomes of an intervention are unpredictable, the process of change is intangible involving multiple pathways and interrelated factors, and the actors involved have different perspectives on the central problems and their causes, a common phenomenon in innovation projects. This type of learning can increase support for the project. One weakness of this method is that the insights are not easily transferable or exchangeable with the people who have not taken part in the M&E process.

Applying a constructivist approach to M&E involves several key principles:

1. Stakeholder participation: Engaging stakeholders, including project beneficiaries, implementers, and decision-makers in the M&E process ensures that evaluations are grounded in the perspectives and experiences of those directly affected by the intervention.
2. Reflexivity: Encouraging evaluators and stakeholders to reflect on their own perspectives, assumptions and biases promotes an open and flexible M&E process, allowing for deeper understanding and learning.

3. Qualitative data collection: Utilizing qualitative data collection methods such as interviews, focus groups, and observations to gather rich and in-depth information about the experiences, perceptions and knowledge of stakeholders.
4. Interactive and adaptive learning: Fostering continuous learning and adaptation by using evaluation findings to inform ongoing project improvements rather than solely focusing on end-of-project evaluations.
5. Multiple perspectives: Embracing the idea that there are diverse perspectives and interpretations of a project or programme, and that no single viewpoint is inherently superior, constructivist M&E seeks to understand and value these different viewpoints, providing a more comprehensive understanding of the project.
6. Context sensitivity: Recognizing that the context of a project or program is crucial for understanding its successes and challenges, constructivist M&E appreciates the complexity and uniqueness of each situation, rather than attempting to apply a one-size-fits-all framework.

1.4 Reports that Provide Useful Information for Planning and Budgeting

1.4.1 Monitoring and Evaluation Report

Reporting is an integral part of any monitoring and evaluation plan or framework. Good reporting enables organizations to communicate the value of their work and their impact while allowing them to demonstrate aid effectiveness and enhance performance, collaboration, learning and adaptation within their organization and throughout the entire project cycle.

Monitoring and evaluation reports should be prepared at different intervals (M&E cycle) to measure the implementation statuses of programmes and projects as well as to ensure that a project is completed and results achieved within a stipulated timeframe. During the implementation and formative phases, the project monitor should prepare monthly, quarterly and annual reports focusing on inputs, process, and activities. The data from these reports should inform the planning process which at the same time will inform the budget development.

In the Kenyan case, national and county government actors are required to submit timely and accurate progress reports of programmes and projects in line with approved reporting standards and formats. The Ministerial Monitoring and Evaluation Committees (MMEC) in conjunction with the CPPMUs (being the secretariat) is mandated to prepare quarterly and annual M&E reports. These ministerial reports are composed of reports from directorates, departments, Semi-Autonomous Government Agencies (SAGAs) and Non-state actors within that sub-sector. The reports are then submitted by the Principal Secretaries to the Ministry in charge of Planning to be forwarded to MED. Timelines for reporting shall be as follows: quarterly M&E reports (15^{th} of the month following end of the quarter) and annual reports (31^{st} of August of the month).

The Monitoring and Evaluation Department collaborates with ministries, departments, agencies, devolved level structures and non-state actors to design formats for data collection, analysis and reporting. For effective and efficient monitoring and evaluation, Information and Communication Technology (ICT) systems should be utilized to facilitate real-time reporting and information sharing. This will be done through web-based interactive programmes that allow for stakeholder engagement. This operation must be emphasized in both the county and national ministries.

Monitoring Reports

While preparing monthly and annual monitoring reports of a project, performance, physical and financial progress and elapsed time should be compared with the targets/plans. In addition, analysis of problems encountered in the implementation processes and the measures taken to resolve them should also be discussed. Similarly, indicators defined in the logical framework should be measured and the assumptions and risk aspects analyzed while undertaking monitoring. Concrete recommendations should be included in such reports based on the result of analysis of the performance of projects towards accomplishing targeted activities and the measures that are likely to help produce intended outputs.

Evaluation Reports

Reports of ex-ante evaluation, baseline survey, on-going evaluation, final evaluation and impact evaluation carried out by third parties should be received within a stipulated time by ensuring that they are prepared in accordance with the TOR, including all pre-determined attributes.

1.4.2 Monitoring and Evaluation of Indicators

Project offices should continuously monitor the input, activity and output level indicators defined in the logical framework and annual development programmes and report to the concerned ministry after updating them. Ministries should integrate the progress made against indicators and report to the (NIMES) along with the review within the stipulated timeframe. Similarly, concerned agencies should measure the outcome and impact level indicators by employing survey or other methods.

Selecting Indicators

Selection must be based on a careful analysis of the objectives and the types of changes wanted as well as how progress might be measured and an analysis of available human, technical and financial resources. A good indicator should closely track the objective that it is intended to measure. Selection should also be based on an understanding of threats. For example, if natural disasters are a potential threat, indicators should include resources and mechanisms in place to reduce the impact of natural disasters. Two types of indicators are necessary:

1. Outcome/Impact Indicators: They measure changes in the system (e.g., resource allocation based on Strategic Action Plans)

2. Output/Process Indicators: They measure the degree to which activities are being implemented (e.g the number of stakeholders developed Strategic Action Plans).

Criteria for Selecting Indicators

Choosing the most appropriate indicators can be difficult. Development of a successful accountability system requires that several people be involved in identifying indicators, including those who will collect the data, those who will use the data and those who have the technical expertise to understand the strengths and limitations of specific measures. Some questions that may guide the selection of indicators are:

1. Does this indicator enable one to know about the expected result or condition?
2. Is the indicator defined in the same way over time? Is data for the indicator collected in the same way over time?
3. Will data be available for an indicator?
4. Is data currently being collected? If not, can cost effective instruments for data collection be developed?
5. Is this indicator important to most people? Will this indicator provide sufficient information about a condition or result to convince both supporters and skeptics?
6. Is the indicator quantitative/qualitative, and how will it be measured?

1.5 Institutional Framework Entitled to Facilitate M&E In Kenya

The guidelines define the key structure, roles and responsibilities of each of the players. These will facilitate vertical and horizontal reporting/engagements. The roles and responsibilities will be assigned to key institutions involved in implementation policies, programmes and projects in the county as indicated.

1.5.1 Monitoring and Evaluation Department (MED)

MED is the government department responsible for all monitoring and evaluation activities. In addition, MED should be given more facilitation through budget allocation to build enough capacity to carry out its mandate in the national and county government departments.

1.5.2 The Technical Advisory Groups

The Technical Advisory Groups provide guidance in the following strategic areas of NIMES:

- Capacity Development and Policy Coordination
- Quantitative and Qualitative Data Collection and Storage, and Indicator Construction
- Research and Results Analysis
- Dissemination for Advocacy and Sensitization
- Project Monitoring and Evaluation

Technical Advisory Groups shall meet quarterly to review work plans, advise on their operationalization and assess progress. The membership will be drawn from public sector institutions, civil societies, ESK, private sector and development partners.

1.5.3 The Technical Oversight Committee (TOC)

The committee shall be the technical/professional advisory organ in supporting NIMES operations. It will approve work plans and track progress in their implementation as well as approve M&E reports before publication. The TOC shall comprise of senior government officers drawn from the ministry in-charge of planning and selected line ministries, chairs and secretaries of TAGs.

1.5.4 The National Steering Committee (NSC)

The committee shall be the highest policy advisory body under the NIMES institutional arrangements. It will comprise of members drawn from government (national and county), Parliament (senate and national Assembly), Council of Governors, civil society, ESK, private sector, development partners, chair and secretary of TOC. The Principal Secretary of the ministry in-charge of Planning will chair the NSC.

NSC shall mobilize resources for NIMES and ensure funds set aside for the planned activities are utilized as per the approved work plans. The NSC shall also promote the use of the best international practices in Monitoring and Evaluation and the NSC shall meet semi-annually.

SECTION B: M&E EVIDENCE-USE IN PLANNING AND BUDGETING; INTERVENTION STRATEGIES

2.0 Introduction

The implementation of an effective and efficient M&E system requires the inclusion of the state and non-state actors at national and county levels. The Monitoring and Evaluation Department (MED) is to be responsible for the oversight of the guideline's implementation. However, for the implementation to be successful, commitment and adherence by all stakeholders at national and county levels will be required. Some of the strategies recommended by this guideline include:

2.1 Uniformity in Monitoring Forms and Report

Duplications which to some extent may exist in monitoring of development activities will be avoided by consolidating and harmonizing monitoring and reporting forms and systems. Nevertheless, relevant ministries may use different forms as required for documentation of particulars related to governance or financial affairs.

2.2 Provision of Budget for Implementation of Monitoring Plan

Ministries and other agencies responsible for conducting M&E should make compulsory preparations and actualize monitoring plans and make provision for resources necessary for its implementation in their annual budget. At least **1%** of the development budget should be allocated for the M&E work. This will facilitate the operations of M&E as well as build requisite capacity to prepare reports early before the planning and budgeting processes are commenced.

2.3 Representation

It is mandatory for representatives of different ministries or agencies to participate in M&E committee meetings to ensure uptake of M&E reports in planning and budgeting.

2.4 Development of Human Resources

Knowledge, skill and competence of human resources involved in M&E should be developed by making provision for an adequate budget in the annual programme. Ministries are to improve the capacity of their M&E personnel. Ministries will make provision for capacity building of their M&E staff at department and local levels.

Schedule 4 of the Kenya Constitution 2010 mandates the National Government to build capacities of counties and to provide them with technical assistance.

MED will coordinate M&E capacity and needs assessment and subsequent development of the M&E Capacity Development Strategy. Capacity development involves:

Skills Development

Skills development can contribute to structural transformation and economic growth of organizations. For M&E to work and be executed effectively skills development of the human resource/workforce should be enhanced at all levels of government ministries and departments.

Professional and Ethical issues

While M&E is a crucial tool for achieving project success, it is important to ensure that ethical considerations are incorporated into the process. Ethics refers to a set of moral principles and values that guide human behavior and decision-making. In M&E, ethical considerations involve ensuring that the rights and dignity of participants are respected, protecting confidentiality and privacy and avoiding harm or negative consequences. Equally, professionalism must be maintained at all levels of government ministries and departments.

Credibility Issues

The M&E processes should be independent, impartial, transparent, inclusive in approaches and vigorous in methodology.

2.5 Incorporate Appropriate Methods and Tools

Appropriate new and innovative methods and tools can be incorporated into the M&E system to make it more systematic and effective.

2.6 Use of Information and Communication Technology (ICT)

Information and communication technologies will be employed progressively to develop devices and networks to make M&E evidence more accessible, systematic, smart and swift, and enable it to communicate basic information as well as progress reports.

2.7 Performance Monitoring Plan (PMP)

Performance monitoring plans are extremely useful for proper implementation of Monitoring and Evaluation Activities. The key elements of (PMP) are:

a. Project Objective(s): statement of the expected results of the project for which implementers will be held accountable.
b. Indicators: measures used to gauge progress towards objectives indicators should be direct, objective, adequate and practical.
c. Project activities: major actions carried out with grant funds; activities are directly linked to and adequate for the achievement of the project objectives.
d. Milestones: target date for the accomplishment of each major activity within the timeframe of the project.

2.8 Funding of M&E Functions

Monitoring and Evaluation functions are underfunded in the government ministries. The survey response indicated that quite a number of government ministries have no budget to implement M&E activities in their departments. More funding is needed for them to ensure that M&E achieves it goals.

There is a need to set a formula for determining the budget for M&E project/programme activities. A general rule of thumb is that the M&E budget should not be so small as to compromise the accuracy and credibility of results, but neither should it divert project/programme resources to the extent that programming is impaired. Usually the M&E budget consists of 1% to 10% of the overall project/programme's budget. Though it may not be easy to estimate the cost of the M&E activities at the early planning stage, the starting point is to include estimated cost while developing a monitoring and evaluation plan.

2.9 Continuous M&E (M&E Cycle)

Monitoring and Evaluation evidence should be used at every level of planning since respondents strongly agreed on the need to increase and develop more well-planned budgets to promote sustainability.

More M&E frameworks need to be formulated and actualized in government ministries since only 60% agreed with the existence of M&E frameworks (policy, M&E plans, results framework/indicators) in their Ministries.

Effective and timely decision making is an important aspect in the operation of the government and its ministries and departments. For this reason, good planning, budgeting and M&E reports are crucial. It is necessary that the M&E function be carried out continuously from the identification of programmes and projects through their formative, pre-completion and completion phases.

Necessary reforms and modifications for the next projects can only be affected if proper M&E are carried on previous projects. In other words the future success of programmes should be informed by the previous identified failures. A robust M&E at different stages of the project should provide the required feedback. Plans/projects require continous M&E evidence at all stages of the project.

2.10 Aligning on the Purpose, Use and Value of the Budget Process with the Planning Process

The respondents from both government ministries and county government agreed significantly with role and use of a planning system in government ministries and county governments, good M&E evidence being cited highly as the key to a successful planning system. But upon critically analyzing the data the lack of a proper link between planning, forecasting and management reporting emerged. A recommendation is offered that the budgeting process should be aligned with the planning process, with M&E evidence informing these simultaneous processes.

2.11 Standardization of Process and Systems

The Planning process and M&E systems should be standardized in the various government and county ministries/departments. This will bring about harmonious use of the reports generated out of M&E activities for an effective planning process and consequently lead to better allocation of resources (budgeting) for implementation of development plans, programs and projects.

2.12 Use of Third-Party Inspection/Monitoring and Evaluation system

The importance and usefulness of Third-Party Inspection/Monitoring and Evaluation (TPI/M) is increasing day by day. A growing demand for development projects is stretching public resources to their maximum because much of these resources are already used to cater for current expenditure. This scarcity of resources, particularly for development purposes, warrants prudent use of public money. One of the best possible recourses is to use is TPI/M because it will help to access project performance during project implementation, depict waste of funds and recommend corrective actions if necessary.

One of the major advantages of Third-Party Inspection is that the inspectors conducting TPIs are impartial and thus deliver a fair verdict without compromising the interests of both parties.

2.13 Legislation of M&E Policy

There is need for both the national and county governments to seek for enactment of the monitoring and evaluation policy in parliament to give it the requisite legislative authority to carry out its mandate.

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