REPUBLIC OF KENYA

NIMES
Keeping development on track

Guidelines/standards for preparation, appraisal, monitoring and evaluation of development projects

Ministry of State for Planning, National Development and Vision 2030, Monitoring and Evaluation Directorate

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FOREWORD

Kenya's vision 2030 development plan is being implemented through five-year medium term development plans of which the first, Medium Term Plan started in July 2008. The Government, through the Ministry of State for Planning, National Development and Vision 2030, is in the process of further strengthening and operationalising the National Integrated Monitoring and Evaluation System (NIMES). One of the main objectives of the NIMES is to track progress in the implementation of policies, programmes and projects as stipulated in the Kenya Vision 2030. It is in this regard that the Government has prepared this set of guidelines to assist all Government ministries and departments in collection of data which, when analyzed, will be used for policy formulation and implementation.

These sets of standards /guidelines provide the necessary technical assistance to officers responsible for project planning, preparation, and appraisal at all levels, both in line ministries and districts, and also give an indication of the type of information to be collected during monitoring and evaluation exercises. The process of preparing the standards/guidelines involved review of several documents; consultation with all relevant stakeholders, including ministrys and districts, through the participatory approach. The standards were also tested in pilot exercises in some selected ministries and districts. To create ownership to the users, the standards were validated and disseminated through various stakeholder workshops.

All Government officers are therefore required to make use of these standards as they prepare and appraise new projects. Monitoring of ongoing projects/programmes should be done according to the formats given in this booklet and also within the specified time frames. All the projects information should be analyzed and send to the Ministry of State for Planning, National Development and Vision 2030.

All officers in charge of Monitoring and Evaluation at all levels of Government are urged to study these standards/guidelines carefully and start applying them immediately. The Government hopes that problems in projects planning, implementation, monitoring and evaluation will be reduced with the application of the standards/guidelines. Please note that all project/programme work plans should be approved and activities contained therein accomplished within the stipulated timeframe. In addition, all projects managers should report on their performance targets and outputs on a semi-annual basis as per proposals contained in these guidelines.

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ACRONYMS

CPPMUs	-	Central Planning and Project Monitoring Units
DDCs	-	District Development Committees
DDOs	-	District Development Officers
MED	-	Monitoring and Evaluation Directorate
TAGs	-	Technical Advisory Groups
NIMES	-	National Integrated Monitoring and Evaluation System
GOK	-	Government of Kenya
CSOs	-	Civil Society Organizations
MSPNDV2030	-	Ministry of State for Planning, National Development and Vision 2030
PIP	-	Public Investment Program
PPEU	-	Projects Planning and Evaluation
MTEF	-	Medium Term Expenditure Framework
M&E	-	Monitoring and Evaluation
DIDCs	-	District Information and Documentation Centers
DPMUs	-	District Planning and Management Units
DMEC	-	District Monitoring and Evaluation Committees
RLMF	-	Road Levy Maintenance Fund.

BACKGROUND

The Ministry of State for Planning, National Development, and Vision 2030 (MSPNDV2030), through the Monitoring & Evaluation Directorate (MED), is charged with the responsibility of operationalising the National Integrated Monitoring and Evaluation System (NIMES). The system began as a mechanism for tracking progress made in the implementation of the Investment Programme for the Economic Recovery Strategy (IP-ERS) through projects and programmes by the Government of Kenya (GOK), Development Partners, Civil Society Organisations (CSOs) and the Private Sector. The NIMES will continue to track implementation of the Kenya Vision 2030, starting with its first Medium Term -Plan for 2008 and 2012.

NIMES' main objective is to produce data to facilitate the monitoring of programmes and projects implementation by ministries and other stakeholders; contribute to decision making during the annual budget formulation process and create a database upon which to design other projects. As part of the mechanism for operationalising NIMES, MSPNDV2030 has prepared a set of guidelines for harmonizing standards of project monitoring. This is the second effort since 1983, when the ministry issued a set of guidelines setting out procedures for project preparation, appraisal, and approval of new Government projects and programmes. However, due to limited Government capacity in terms of skilled and experienced personnel and the absence of complex data management systems and technologies, the guidelines were not easy to implement.

Project monitoring has therefore been carried out in an adhoc basis, and the Government is rarely able to collect key information. Circular No. OP CAB 1/9A of 7th July 2005 from the Head of the Public Service gave impetus to the current efforts at a harmonized set of standards for project monitoring and evaluation. Through this circular, Central Planning and Project Monitoring Units (CPPMUs) were given the additional mandate of monitoring and evaluating projects implementation. The standards are particularly useful for monitoring projects, programmes and policies implemented at the sub-national level, specifically by Local Authorities, District Administrations and constituency funds such as LATF, CDF, Roads Levy Maintenance Fund and HIV/AIDS funds, to mention but few.

The guidelines are for both small projects and large projects. Small projects refer to those that cost up to Kshs.5 million while large projects refer to those that cost more than Kshs.5 million. The guidelines consist of a set of general recommendations for the planning, appraisal, monitoring and evaluation phases of the project cycle. The recommendations are however only indicative of the types of information that should be collected in each phase of the project cycle. Of greater interest to the government, however, are the Monitoring & Evaluation guidelines. Each project is expected to include an M&E component at each phase of its development, and a plan for a final evaluation at its completion.

Projects are currently governed and administered by Acts of Parliament and Government regulations for the relevant sectors, and should strictly adhere to the procedures therein. These guiding principles are still relevant and are not replaced by the current standards.

A. STANDARDS APPLICABLE TO ALL NEW PROJECTS DURING PREPARATION AND APPRAISAL

1. All new project proposals should be:
   a. aligned to Government development policies and guidelines,
   b. socially acceptable,
   c. environmentally desirable,
   d. economically, financially and technically viable,
   e. sustainable,
   f. subjected to an appraisal by a competent authority e.g the DDC at the district level, and team coordinated by the CPPMUs at the central level.

2. Project appraisal should be done by technical committees, including CPPMUs and DDCs, for national level and district level projects respectively.

3. Project appraisal technical committees should include stakeholder participation (including non-state actors)

4. District level projects should be:
   a. harmonized through DDCs before approval
   b. vetted by the DDC technical committee prior to going to the DDC.

5. All new projects should have well developed time-bound workplans, implementation schedules and financing plans.

6. All projects should have an M&E component, and a budget to implement that component

B. STANDARDS APPLICABLE TO ALL NEW PROJECTS DURING MONITORING AND EVALUATION

All projects should:

1. Have a monitoring and evaluation plan for each stage of the project cycle

2. Have clear outcomes, output- related indicators and targets.

3. For projects less than one year, evaluation should be carried out on completion. A mid-term evaluation should be carried out on all projects.

4. All projects should have budgets for on-going, mid-term and terminal evaluations.

5. Project information should be stored in a computerized database.

6. The budget for undertaking an annual stakeholder monitoring meetings should be factored into the project budget.

7. CPPMUs and DPMUs should be represented in all evaluation teams.

8. For district level projects, two copies of project evaluation reports should be placed in the DIDCs for reference and use by local people.

C. INFORMATION REQUIRED DURING APPRAISAL OF LOCALLY ADMINISTERED PROJECTS (INCLUDING CDF, LATF, RLMF, HIV ETC)

This information is to be prepared by the Project Implementing Manager and submitted to the DMEC or DDC.

PART A: PROJECT DETAILS

1. Project Code
2. Project Name
3. Ministry/Department/ Local Authority/Agency
4. Project Location: (District/Division/Location/Ward)
5. Project Financing
6. Sources of Funds
7. Category (ies) (Loan/Grant/Revenue and proportions)
8. Collaborating institutions
9. Project beneficiaries
10. Implementing /Executing Agency
11. Total project cost (Kshs)

PART B: PROJECT DESCRIPTION

1. Project rationale/justification (Why is the project necessary)
2. Project goal (what is the expected impact on the district and in Kenya?)
3. Project outcome (How will lives improve?) and outcome indicators
4. Project objectives
5. Project output and output Indicators
6. Activities

PART C: PROJECT TIMELINE (State expected start and completion dates)

PART D: RISK

a) What are the risks?
b) How will the risk be addressed?

PART E: M&E PLAN

How will the project be monitored at the:

a) Appraisal phase?
b) Implementation phase?
c) Completion phase?

PART F: SUSTAINABILITY:

How will the project be sustained beyond the period of initial funding?

PART G: STAKEHOLDERS CONSULTED:

Who are the stakeholders that have been consulted or involved in project preparation?

D. INFORMATION REQUIRED DURING APPRAISAL OF OTHER PROJECTS (EXCLUDING LOCALLY ADMINISTERED PROJECTS)

This information is to be prepared by the Project Implementing Manager and submitted to the CPPMUs

1. Project No:

Date Received:

Project Title

Ministry/Department /Local Authority/Civil Society Organizations

Project Details

Project Location (area, ward, constituency and district)
Implementing agency/agencies
Main Source(s) of Funds (if donor give name(s)

2. Project Description

- Aims and objectives (state whether the project objectives conform to national development policies and priorities of that area)
- Summary description of the project
- Project activities
- Expected outputs
- Expected impact/outcomes

3. Project Timetable

Outlines the proposed start date, actual start date, completion and actual completion date.

4. Outcomes/Benefits

Outcomes can be described as the result or effect of an action or event. they are medium term to long-term results of a project e.g

- Improved productivity of small farms
- Increased accessibility to services for disadvantaged groups of people
- Regenerated market town

It is preferable to quantify the expected outcomes. Where this is not possible, a qualitative description must be provided.

5. Output Reporting Table

Please record the outputs that the project is expected to achieve in respective years (output directly attributable to the project)

OUTPUT	GROSS OUTPUT:				
	YR1	YR2	YR3	YR4	TOTAL

6. Activities

7. Risks

a) Will the project result in the loss of any existing valued assets (e.g. ecological, cultural, landscape, open space)?

b) Are there any pollution risks from the project (e.g. through the storage of oil or chemicals etc)

c) Is development of the project at risk e.g. flooding, or likely to contribute directly or indirectly to a flood risk?

d) Are there any potential community safety risks during construction or operation of the project?

e) For potential negative outcomes identified above, what measures have been taken to avoid these outcomes or mitigate/compensate for any unavoidable outcomes?

E. FORMAT TO BE USED TO COLLECT INFORMATION BRIEFS AND LIST FOR PROJECTS

NATIONAL AND LOCALLY ADMINISTERED ONGOING PROJECTS/PROGRAMMES BRIEFS

This information is to be prepared by the Project Implementing Manager and submitted to the CPPMUs

SECTION 1: SUMMARY DETAILS

1.1 Implementing Agency/Ministry/Local Authority;

1.2 Department/Division/Section;

1.3 Programme/Project Name;

1.4 Location: Area, Ward, and Constituency, District, Province;

1.5 Sector;

1.6 Implementation Status:(Ongoing, Stalled, Terminated, Completed);

1.7 Percentage of completion;

1.8 Year started;

1.9 Year of completion;

1.10 Initial Project Cost;

1.11 Cumulative Expenditure to date;

1.12 Estimated cost to completion;

1.13 Allocation for current financial year;

1.14 Source of Funds (GOK/ Development Partner(s)/ Others - specify;

SECTION 2: PROJECT DESCRIPTION, GOALS, OUTPUTS, ACTIVITIES AND OUTCOMES

2.1 Project Description;

2.2 Project Goals;

2.3 Project Objectives;

2.4 Project Output;

2.5 Project outcomes

2.6 Project Activities and Timeframe;

2.7 Project Indicators;

2.8 Projects Input;

2.9 Project Constraints;

2.10 Expected Impact;

2.11 Project Beneficiaries/Target group;

2.12 Project Risks;

2.13 Recommendations and conclusion;

2.14 Additional information for stalled and terminated projects;

2.14.1 If stalled or terminated give reasons;

2.14.2 Year when the project stalled or terminated;

2.14.3 Beneficiaries' opinion about the project revival;

2.14.4 Estimated losses incurred due to project being stalled or terminated;

2.14.5 Estimated cost and time of completing the project if revived.

1. NATIONAL AND LOCALLY ADMINISTERED ONGOING PROJECTS/PROGRAMMES LIST

This information is to be prepared by the Project Implementing Manager semi-annually and submitted to the MED under the signature of the Head of CPPMU and DPMU (in case of projects implemented by locally administered funds)

Ministry

Project Code	Project Name	Location	Objective	Year Started	Year of Completion	Total Cost of the Project (Original/Revised)	Source of Funds	Cumulative expenditure /commitment	Allocation in current FY	Implementation (Status % Complete)

2. LIST OF STALLED AND TERMINATED PROJECTS/PROGRAMMES

This information is to be prepared by the Project Implementing Manager semi-annually and submitted to MED under the signature of the Heads of CPPMUand DPMU (in case of projects implemented by locally administered funds)

Ministry/Department/Local Authority:

Project Code	Project Name	Location	Initial Objective	Year Started	Estimated Year of	Original Contract	Cumulative Expenditure	Pending Bills to	State whether	Estimated cost of	Year Stalled	Remarks

3. LIST OF ALL NEW PROJECTS/PROGRAMMES

This information is to be prepared by the Project Implementing Manager semi-annually and submitted to MED under the signature of the Heads of CPPMU and DPMU (in case of projects implemented by locally administered funds). The list of all new projects should be submitted in January of each year.

Ministry:

Project Name	Project Objectives	Location	Proposed Year of starting	Proposed Year of Completion	Total Cost of the Project	Source of Funds			Remarks
						GOK	Others	Amount	

DEFINITIONS OF TERMS

Project: A planned undertaking of related activities aimed at specific objective(s) and has a beginning and an end. An undertaking that encompasses a set of tasks or activities having a definable starting and end point and well defined objectives. Usually each task has a planned completion date 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

Monitoring: The process of continuously and closely checking/observing/keeping track over implementation of a project/programme/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 and if the goal and objectives of the project are likely to be achieved.

Evaluation: Assessing the effectiveness of a project/programme/activity in achieving its goals and/or objectives, which aims at program improvement through modification of program operation and/or design. An assessment to determine the degree to which a project/programme/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 making improvements or adjustments.

Appraisal: An assessment, prior to commitment of support, of the relevance, value, feasibility, and potential acceptability of a project/programme in accordance with established criteria.

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 program is intended to accomplish.

Outcome: Actual change(s) or lack thereof in the target of the project/programme that are directly related to goal(s) and objectives. They may include intended or unintended consequences. It can also be described as the result or effect of an action or event.

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). The difference between a goal and an objective is that objective is a specific object of an effort, while a goal has an inspirational element and is more general and broader.

Input: Financial and non-financial resources used, including money, time or effort, to produce outputs. It is priced or unpriced resources used in a production process. Materials may include raw materials and products

Output: End result, products and/or services that are directly produced by a project and delivered to external users. Outputs are the tangible result of applying inputs and undertaking activities.

Activity: A named process, function or task that occurs over time and has recognizable results. Activities use resources to produce products and services. An activity is the smallest unit of work identified on the project work plan. It is a program effort conducted to achieve the objectives and may be broken down even further into tasks.

Target: A level of performance that a project/programme is projected to accomplish in a particular year, consistent with objectives. It is an expected result.

Impact: All changes that the project causes to the environment; all changes that the environment causes to the project; and all cumulative effects to which the project contributes. A change in the status (e.g health, standard of living) of individuals, families, or communities as a result of a program, project, or activity.

Indicator: A specific, observable and measurable characteristic or change that shows the progress a program is making toward achieving a specified outcome. Unit of measurement (or pointers) that is used to monitor or evaluate the achievement of project objectives over time.

Milestone: An important date or event in the project, usually related to the completion of a certain phase or completion of the project. Scheduled event used to measure progress in a project. An event which is selected to signify that certain project activities have been completed.

Stakeholder(s): Specific people or groups who have a stake in the outcome of the project. Normally, stakeholders could include internal clients, management, employees, administrators, etc. A project may also have external stakeholders, including suppliers, investors, community groups and government organizations.

Logical Framework: A dynamic planning and management tool that summarizes the results of the logical framework approach process and communicates the key features of a project/programme design in a single matrix. It can provide the basis for monitoring progress achieved and evaluating projects/programme results. The matrix should be revisited and refined regularly as new information becomes available.

Effectiveness: A measure of the extent to which a programme achieves its planned results (outputs, outcomes and goals).

Efficiency: A measure of how economically or optimally inputs (financial, human, technical and material resources) are used to produce outputs

Qualitative Description: An explanation of data that is usually not in the form of numbers. Qualitative description gives a deeper understanding of a person's or group's experience

Project Manager: The person directly responsible for the project even though his title may not necessarily be 'Manager'

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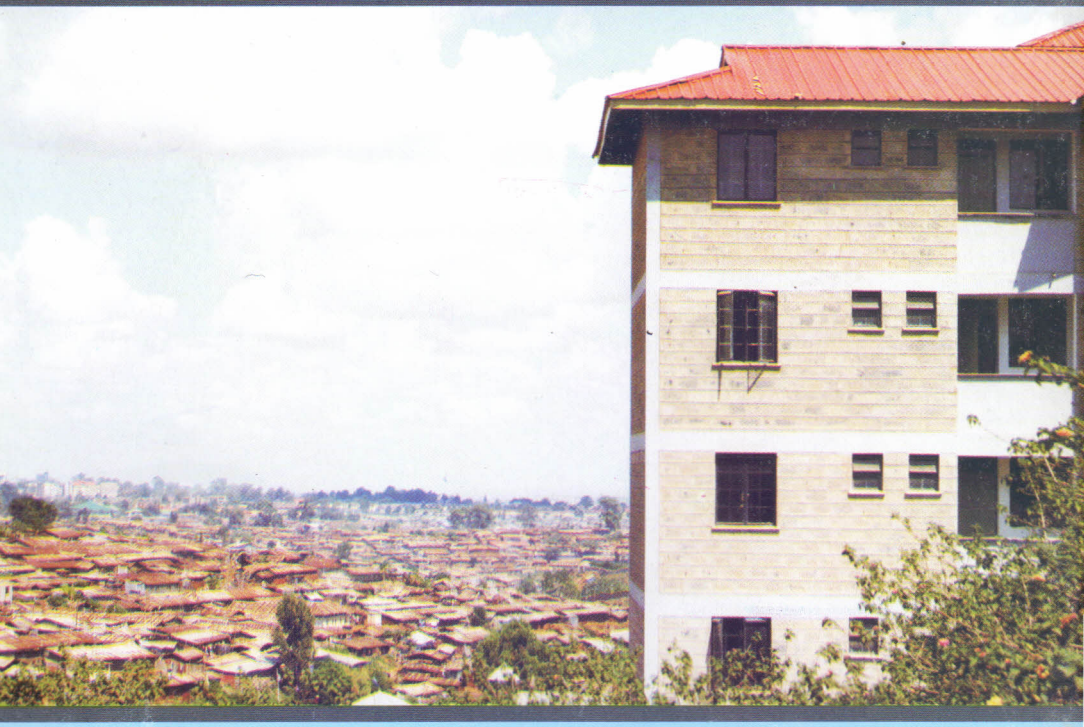

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