REPUBLIC OF KENYA

THE NATIONAL TREASURY AND PLANNING

STATE DEPARTMENT FOR PLANNING

KENYA EVALUATION GUIDELINES

March 2020

FOREWORD

It is my pleasure to present to you the Kenya Evaluation Guidelines as one of the key steps towards institutionalization of evaluations in the public sector. Evidence based decision making has largely been informed by information from monitoring reports especially the Annual Progress Reports (APRs) and County Annual Progress Reports (CAPRs), among other reports. To enhance evidence-based decision making, the Country has an opportunity to learn from evaluations to improve on planning and implementation of our development agenda. The purpose of these Guidelines is to outline the procedures for undertaking evaluations of public sector interventions in a standardised, systematic and unbiased manner. This is ultimately expected to lead to harmonized evaluation, reporting and use of evaluation findings.

The Guidelines have been developed in conformity with the National Monitoring and Evaluation Policy which stipulates that all evaluations will be conducted and guided within the National Integrated Monitoring and Evaluation System (NIMES) and County Integrated Monitoring and Evaluation System (CIMES). These Guidelines have been prepared in a consultative manner taking into consideration the views from line Ministries, Counties, Departments and Agencies (MCDAs), development partners, academia and other stakeholders.

I am confident that these Guidelines will help the public sector to conduct evaluations in an impartial, open and participatory manner, based on empirical evidence that is valid and reliable with results being made available to the citizenry. Further, the users of the Guidelines are adequately guided on key processes and tools for designing, conducting and managing evaluations. The National Treasury and Planning will continue to provide leadership and policy to concretise the critical role evaluation plays in our development agenda.

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ACKNOWLEDGEMENT

The State Department for Planning in the National Treasury and Planning is entrusted with the role of providing leadership in formulation and tracking of national development policies, programmes and strategies. The State Department through Monitoring and Evaluation Directorate (MED) in collaboration with other stakeholders has developed these Kenya Evaluation Guidelines.

I would like to take this opportunity to express my personal and institutional gratitude to all the stakeholders for their valuable contribution in developing these Guidelines. My sincere gratitude goes to the United Nations Children's Fund (UNICEF) and the World Bank through the Kenya Devolution Support Program (KDSP) for their technical and financial support in the preparation of the Guidelines.

I wish to particularly recognize and acknowledge the technical officers from the national and county governments for their technical support in enriching these Guidelines. My appreciation also goes to the staff from the State Department for Planning especially MED, who worked tirelessly in ensuring that these Guidelines were completed in time. Special recognition goes to the Acting Director of the MED, Mr. David Kiboi, under whose leadership and guidance these Guidelines were developed. I also recognize Messrs. Jared Ichwara and David Waga for quality assurance and coordinating the development of the guidelines.

These guidelines are accessible through the website of the State Department for Planning (http://www.planning.go.ke) and the Directorate's sub website www.monitoring.planning.go.ke and the National Treasury and Planning Resource Centres.

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ACRONYMS AND ABBREVIATIONS

CIDPs	County Integrated Development Plans
CIMES	County Integrated Monitoring and Evaluations System
DFRD	District Focus for Rural Development
ERSWEC	Economic Recovery Strategy for Wealth and Employment Creation
ETRG	Evaluation Technical Reference Group
M&E	Monitoring and Evaluation
MCDAs	Ministries, Counties, Departments and Agencies
MED	Monitoring and Evaluation Directorate
MTP	Medium Term Plans
NASSEP	National Sample Survey and Evaluation Program
NIMES	National Integrated Monitoring and Evaluation System
OECD-DAC	Organisation for Economic Co-operation and Development-Development Assistance Committee
PAR	Participatory Assessment Research
PIM	Project Investment Management
PRSP	Poverty Reduction Strategy Paper
RAR	Rapid Assessment Research
RTEs	Real Time Evaluations
SDGs	Sustainable Development Goals
ToR	Terms of Reference

DEFINITION OF KEY TERMS

Commissioning Institution: Ministry, County, Department, or Agency whose responsibility is to plan, initiate, oversee and coordinate the evaluation.

Evaluation: A systematic and objective assessment of a project, programme, or policy on its design, implementation and results.

Evaluation manager: An officer of the commissioning institution assigned the primary responsibility to oversee and coordinate an evaluation.

Evaluation Technical Reference Group (ETRG): A team formed from internal and external evaluation stakeholders to provide feedback to the evaluation process from a technical and methodological perspective.

Review: An assessment of the performance of an intervention, periodically or on ad hoc basis. Reviews are usually less comprehensive and/or in-depth than evaluations. They tend to emphasize operational aspects and they are undertaken at midterm or end-term of an intervention.

Intervention: All the different types of development and humanitarian efforts that may be evaluated using these guidelines, such as a project, programme, policy, strategy, thematic area, technical or humanitarian assistance, policy advice, an institution, financing mechanism, instrument, or other activity.

Evaluation Plan: A written document that describes how an intervention will be evaluated and how the results of such an evaluation will be used for programme/project improvement and decision making.

Quality Assurance: Continuous and systematic examination of every step of an evaluation process to ascertain that preset quality standards are met.

Quality Assessment: Ex-post examination of an evaluation report by an external independent assessor to check if the evaluation met the preset standards.

Assessor: Independent external evaluation specialist selected and assigned an evaluation to conduct quality assessment.

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

Inputs: 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 implementation of an intervention.

Outcomes: the expected changes or immediate effects on the intended beneficiaries occurring as a result of implementing an intervention.

Impacts: Ultimate long term changes arising from the implementation of interventions, i.e. the difference (positive and/or negative), that the implementation of an intervention has brought.

Indicator: A variable (sign or element) that measures one aspect of an intervention that is directly related to its objectives.

Data: Raw facts (quantitative or qualitative) that are collected and form the basis of what is known.

Data Sources: Processes that generate indicator values. They include research, program level monitoring data, surveillance, surveys, financial information of donors, clients' satisfaction surveys.

CHAPTER ONE: INTRODUCTION

1.1 Background

1. The Government of Kenya has made significant progress in tracking the implementation status of its development agenda through an effective Monitoring and Evaluation System. Policy documents such as District Focus for Rural Development (DFRD) strategy (1983), Poverty Reduction Strategy Paper (PRSP) 2000, and the Economic Recovery Strategy for Wealth and Employment Creation (ERSWEC) 2003- 2007 are among the various policy documents that considered the role of Monitoring and Evaluation (M&E) in promoting accountability and enhancing good governance in the public sector.

2. The National Integrated Monitoring and Evaluation System (NIMES) developed in 2004 provided a reliable mechanism to monitor and evaluate implementation of government's development agenda. NIMES was used to monitor implementation of policies, programmes and projects in the ERSWEC and continues to track the subsequent plans including the Medium Term Plans (MTPs) of Kenya Vision 2030. It also aimed at promoting the Monitoring and Evaluation culture and practice in the public sector. With the advent of devolution, the County Integrated Monitoring and Evaluation System (CIMES) Guidelines were developed to assist county governments design M&E systems for tracking implementation of County Integrated Development Plans (CIDP) and other interventions. The two systems provide important evidence and feedback to policy makers and the public on the national and county government's progress towards achieving various objectives of economic and social development policies and programmes.

3. Through NIMES and CIMES, the national and county governments have been producing periodic M&E reports on a quarterly and annual basis. Reports produced by the systems include Annual Progress Reports and County Annual Progress Reports. However, these reports have often laid more emphasis on monitoring than evaluation. This has been attributed to inadequate capacity and funding, and low evaluation culture in the country. To address these challenges, there is need for national and county governments in collaboration with stakeholders to promote and support evaluation of interventions in the public sector. Further, institutional and human capacities are key in ensuring evaluation findings are credible to inform evidence-based decision-making in the public sector.

1.2 Situation Analysis on Evaluation in the Country

4. Evaluations are critical in ensuring the impacts of various government interventions relate to the set development agenda. For a long time, most evaluations in the public sector have been donor driven. However, at the national level, a number of evaluations have been done

through the NIMES framework that include: End Term Review of ERWECS, End Term Review of MTP I, Medium Term Review of MTP II, Comprehensive Public Expenditure Reviews (CPER), and NIMES CDP Evaluation. Similarly, some counties have conducted reviews of the first generation CIDPs under the CIMES framework.

5. Various existing constitutional, legal and policy instruments in the Country seek to promote the culture and practice of evaluations in the public sector. These instruments are aimed at promoting transparency and accountability in implementation of government interventions. They include the Constitution of Kenya; the County Government Act 2012 Sections 47, 57 and 108; the Public Finance Management Act 2012 Sections 12 and 104; Intergovernmental Relations Act 2012 Section 8; and the Public Finance Management Regulations 2015 Sections 136 and 217.

6. To promote the culture of M&E in the public sector, the Kenya National M&E Policy of 2019 was developed to provide a clear framework for strengthening the coverage, quality and utility of the assessment of public interventions. The policy proposes that finances for evaluations should be clearly allocated within the national and county budget. County governments are at various stages in developing M&E policies to inculcate the culture of evaluation. Further, the government has prepared Public Investment Management (PIM) Guidelines for the national government and entities that aims at providing a standard approach in monitoring, evaluation and reporting; and impact assessment of policies, programmes and projects.

1.3 Rationale for the Guidelines

7. The culture and practice of evaluations is weak at both levels of government despite the existence of various legal and policy instruments, development plans and guidelines. The few evaluations undertaken in the public sector reveal significant differences in methodological approaches, design and standards leading to mixed results and conclusions. Furthermore, the evaluations have focused more on outputs than outcomes and impacts.

8. It is also noted that evaluations have not been able to address gender-responsiveness, equity-focus emergencies and humanitarian crisis, and other cross-cutting issues (youth, climate change, Persons with Disability, minority groups among others) in evaluations. The few evaluations conducted have been untimely and characterized by misconceptions and misrepresentation of facts as they have not used standardized methodologies thus making it difficult to get credible evaluation findings on government performance. This scenario, therefore, calls for standardization of evaluation procedures, processes, capacities, commitments, partnerships and continuous dialogue in evaluation of public sector interventions.

1.4 Purpose of the Guidelines

9. The purpose of these Guidelines is to outline the procedures for undertaking assessment, reviews and evaluations of public sector interventions in a standardized, systematic and unbiased manner. These Guidelines also outline the roles and responsibilities of the various actors in the evaluation process.

1.5 Objectives of the Guidelines

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

i. Provide a standard approach in undertaking evaluations;
ii. Promote the culture of undertaking evaluations in the public sector;
iii. Improve evidence-based decision making in the public sector;
iv. Promote good governance, accountability and transparency in the utilisation and management of public resources;
v. Promote equity-focus and mainstream cross cutting issues in public sector evaluations;
vi. Enhance public participation in undertaking evaluations; and
vii. Promote learning and knowledge management.

1.6 Users and Scope of the Guidelines

11. The users of these guidelines include national government and its entities, constitutional commissions, independent offices; county governments; non-state actors implementing public programmes; educational institutions; and individuals undertaking independent evaluations. The guidelines apply to evaluations of all public sector interventions implemented at the national and county level.

1.7 Structure of the Guidelines

12. The Evaluation Guidelines are organized into six chapters. Chapter 1 the introduction, provides an overview, situation analysis and rationale for evaluation guidelines; Chapter 2 discusses the fundamentals of evaluations; Chapter 3 provides guidance on how to develop an evaluation plan; Chapter 4 outlines a step by step guide on how to manage an evaluation process; chapter 5 presents users with a guide on how to conduct quality assurance and assessment of evaluations. Chapter 6 identifies the roles and responsibilities of the various actors and stakeholders in the evaluation process.

CHAPTER TWO: FUNDAMENTALS OF EVALUATION

2.1 Introduction

13. This chapter presents the purpose of evaluations, criteria for evaluations, major types of evaluations in the public sector, evaluation classification, evaluation methodology, guiding principles and evaluability assessment.

2.2 Purpose of Evaluation

14. The main purpose of evaluation is to generate evidence for learning, accountability, and transparency by the implementing institution to stakeholders. In particular:
    i. Evaluations help to improve design and implementation of interventions through feedback of **lessons learned**;
    ii. Evaluations enable implementing institutions to demonstrate an intervention's success or progress therefore enhancing **transparency** to its stakeholders;
    iii. Evaluations strengthen the ability of stakeholders to hold an implementing agency **accountable** for results (outputs, outcomes, impacts).

2.3 Evaluation Criteria

15. These Guidelines propose use of the Organisation for Economic Co-operation and Development-Development Assistance Committee (OECD-DAC) criteria (Figure 2.1) except for emergency situations. This criterion has been proposed for use as it has been widely adopted by major development agencies internationally. The criteria, however, may be expanded to include other aspects of interest depending on the objectives of the evaluation. On the other hand, four criteria have been specifically designed for the evaluation of humanitarian assistance in an emergency that Ministries, Counties, Departments and Agencies (MCDAs) can adopt. These are:
    i. A**nalysis of appropriateness:** examines the extent to which humanitarian activities are tailored to local needs and to the requirements of ownership and accountability, as well as how the activities responded to changing demands in a volatile environment;
    ii. **Coverage:** the need to reach major population groups in life-threatening situations, wherever they are, with assistance proportionate to their needs, including protection;
    iii. **Coherence:** refers mainly to policy coherence, ensuring that all policies (security, trade, military, development etc.) take the humanitarian aspects and human rights into consideration;
    iv. **Connectedness:** the need to assure that activities of a short-term emergency are implemented in a way that takes longer-term and interconnected approaches into account.

Figure 2.1: Evaluation Criteria

Relevance: Is the intervention doing the right thing?

Assess the extent to which an intervention has addressed the priorities of the target group or the development issue it seeks to address.

Coherence: How well does the intervention fit?

Extent to which other interventions (particularly policies) support or undermine the interventions, and vice versa.

Effectiveness: Is the intervnetion achieving its objective?

Extent to which the objectives of an intervention were achieved or are expected to be achieved.

Efficiency: How well are resources being used?

Measure how economically resources/inputs (funds, time, expertise) are used in order to achieve the desired results (outputs)

Impact: What difference does the intervention make?

Assess the positive and negative changes produced by an intervention, directly or indirectly, intended or unintended.

Sustainability: Will the benefits last?

Establish whether the benefits from an intervention are likely to be maintained after the external support ends

Source: Revised Evaluation Criteria Definitions and Principles for Use. OECD/DAC Network on Development Evaluation (2019)

2.4 Distinction between Evaluation and other related functions

16. It is important to note that there are other oversight functions such audit, inspection, and research which have a distinct focus and should not be confused with evaluation. These oversight functions[1] can be distinguished as follows:

i. Evaluation and audit

Audit is an assessment of a person, organization, project/programme, product or service in order to determine its validity and authenticity, verify adherence to a set of pre-defined processes/regulations/rules/policies, and ensure efficient use of resources. Audit assesses compliance of programs, activities and functions with predetermined standards while evaluation, on the other hand, focuses on the systematic assessment of the effectiveness and efficiency of a program.

ii. Evaluation and Research

Research is a descriptive process engaged in for learning purposes, asking such questions as "What is/was?" or "What are/were the differences between?" or "What happens/happened when certain conditions are/were"? Evaluation is a judgmental process, involving the assessment of findings/observations against standards, for the purpose of making decisions, asking such questions as "What is/was good?" or "Which is/was the better?" or "What conditions are the best to nurture to produce desired results?" Doing research does not necessarily require doing evaluation. However, doing evaluation always requires doing research.

iii. Evaluation and Inspection

Inspection is a general examination of an organizational unit, issue or practice to ascertain the extent it adheres to normative standards and good practices and to make recommendations for improvement or corrective action. Evaluation is a management tool that fosters institutional learning, change and accountability thereby improving operational effectiveness.

2.5 Types of Evaluations

17. Evaluations are broadly defined into two categories namely formative evaluations and summative evaluations (figure 2.2).

2.5.1 Formative Evaluations

18. It is undertaken before or while an intervention is ongoing and is aimed at either improving its design or implementation. The formative evaluation encompasses a number of evaluations and assessments such as:

[1] UNEG (2005): Norms for Evaluation in the UN System.

Ex-ante evaluation: performed before the implementation of an intervention. In the public sector, it is done through other practical tools such as appraisals, needs assessments, baseline surveys or feasibility studies.

Mid-term evaluation: undertaken at middle of the implementation of an intervention in order to address any potential problems in design and implementation.

Process evaluation: examines the process of implementing a project or program and determines whether the project or program is operating as planned. It can be done continuously or as a one-time assessment.

2.5.2 Summative Evaluations

19. Summative evaluations are conducted at the end of an intervention and focuses mainly on the outcomes and to a lesser degree on how implementation could have been improved. They include:

End-Term Evaluation: is carried out at the end, or close to the end, of the implementation of an intervention.

Ex-Post Evaluation: is undertaken sometime after the intervention has ended (about 3-5 years), which can be focused on short term (outcome) or long-term effects (impact) effects of an intervention, either positive or negative.

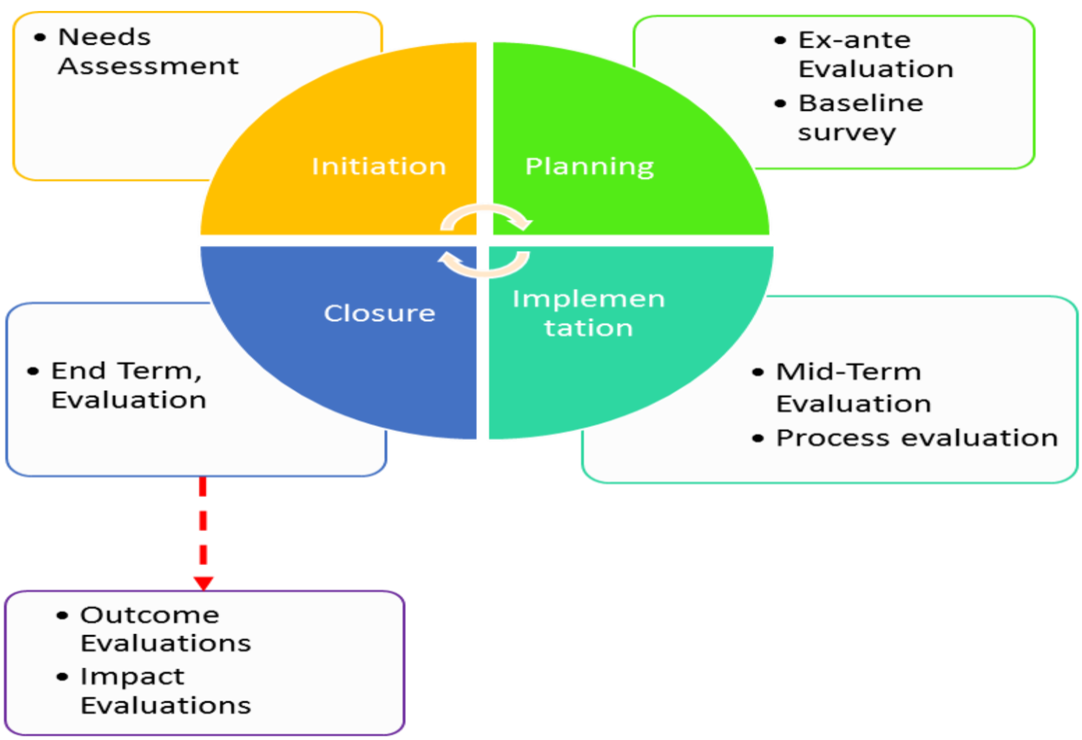

Figure 2.2: Evaluations under the Project Management Cycle

2.6 Major Evaluations in Public Sector

20. This section presents the major evaluations relevant to the public sector in Kenya that can be classified either into formative or summative evaluations:

a) Medium Term Plan Reviews

Medium Term Plans (MTPs) are five-year plans seeking to implement the Kenya Vision 2030. MTP reviews are conducted mid and end term to assess the extent to which interventions stipulated in the MTP have been implemented and the results achieved. The reviews generate evidence for improvement in planning and implementation of the MTP.

b) County Integrated Development Plan (CIDP) Reviews

Counties prepare five-year development plans integrated with their county spatial plans. The CIDP reviews are conducted mid and end term. Mid-term reviews of CIDPs assess the continued relevance of the CIDP and the progress made towards achieving its planned objectives. They provide recommendations on possible modifications to ensure achievement of these objectives within the lifetime of the CIDP. End term reviews of CIDP provide a concise assessment of the achievement of the CIDP against its objectives, lessons learnt in its implementation to inform policy decisions and development of subsequent CIDPs.

c) Policies, Programme and Project Evaluations

Policies, programmes and project evaluations assess the extent to which each has respectively achieved its intended results, the contribution to outcomes and the causal relationship between the outputs and the outcomes. The evaluation also seeks to assess the sustainability, demonstrate accountability for results and generate learning from the implementation process. Whereas these evaluations will be on priority policies, programmes and projects identified in the evaluation plan, the focus will be on medium, large and mega[2] programmes and projects. However, some of the small projects may be evaluated where need arises.

d) Outcome Evaluation

Outcome evaluations assess the contributions of interventions to achieved outcome. The evaluations focus on a specific outcome(s) and seek to provide evidence for accountability, and implementation challenges as well as lessons learnt to inform future planning and program design.

[2] Medium Projects-These are projects estimated to cost between KSh. 100 million and KSh. 500 million by the time they are completed and handed over. Large Projects -These are projects estimated to cost between KSh. 500 million and KSh. 1.0 billion by the time they are completed and handed over. Mega projects -These are projects estimated to cost more than KSh. 1.0 billion by the time they are completed and handed over (*Source: PIM Guidelines)*

e) Thematic evaluations

Thematic evaluations are undertaken for a selection of development interventions which address a specific development priority that cuts across sector, counties and regions such as youth, gender, HIV/AIDS, and climate change.

f) Impact evaluations

Impact evaluations are an assessment of an intervention's long-term effects (preferably 3-5years). These effects may be positive or negative, direct or indirect, intended or unintended.

g) Joint Evaluations

Joint evaluations are conducted jointly by various partners. The partners may pool resources for the evaluation and together undertake the evaluation. Such evaluations are designed to meet the same or different information needs for the partners and benefit from enhanced ownership and shared costs among others.

h) Rapid Evaluation:

Theme-based approach to evaluation that uses multiple methods and local participation to quickly assess programs. It is one of many terms to describe a family of similar evaluation methods that include: rapid assessment, participatory action research, and rapid assessment process.

i) Meta-Evaluation:

Meta-evaluation is an instrument used to aggregate findings from a series of evaluations so that the results that come from analysis of a series of evaluations are used to make decisions.

2.7 Evaluations in Emergency Situations

21. During emergency situations, the following evaluations can be conducted to quickly generate useful information for evidence decision making:
    - **a) Real Time Evaluations (RTEs):** These are similar to rapid assessments in terms of methodological approach and objectives, RTEs are conducted in emergency situations. An emergency requires immediate large-scale response, flexibility and adaptation to rapidly evolving situations, often without sufficient baseline data to draw comparisons.. Real time evaluations are also expected to produce an immediate feedback and contribution.
    - **b) Strategic Evaluation:** An evaluation of a particular issue aiming to advance a deeper understanding of the issue, reduce the range of uncertainties associated with the different options for addressing it, and help to reach an acceptable working agreement among the parties concerned. It is usually adapted when urgency of the issue poses high risks to stakeholders and has generated conflicting views.
    - **c) System-Wide Evaluation:** An evaluation used in emergency situation, which covers the response by the whole system to a particular disaster or emergency.

d) **Partial System Evaluation*:*** An evaluation also used in emergency, which covers only a part of the system. It can be related to thematic or sector evaluations.

e) **Single Agency Response Evaluation*:*** Still in emergency, an evaluation which covers the overall response by a particular agency.

f) **Single Agency/Single Project Evaluation:** An evaluation which covers a single project undertaken by a single agency in emergency situation.

2.8 Evaluations Classification

22. For the purposes of these Guidelines evaluations are classified as either independent or non-independent. Evaluation can be considered independent if the person(s) / unit undertaking it was not involved in the implementation of the intervention. On the other hand, an evaluation is considered non-independent if the person(s)/ unit undertaking it was involved in the implementation of the intervention.

Table 2.1: Evaluations Classification based on the evaluator

	Internal	**External**
Independent	**Independent internal evaluation:** conducted by a unit/or individual not involved in the design and implementation of the project or programme but within MCDAs e.g. *CPPMU or M&E unit evaluating a project by a technical department in the ministry or county department.*	**External evaluation:** conducted by individual(s) or firm(s) that did not design, implement or fund the project e.g. *a consultant hired to evaluate a project or programme implemented by MCDAs.*
Non-independent	**Self – Evaluation:** conducted by a unit and/or individual belonging to MCDAs responsible for designing and implementing the project or programme e.g. *evaluation of a project by project officers who designed and/or implemented it.*	**Joint-evaluation**: conducted by individuals from both the designing and/or implementing agency and a development partner or financier of a project or programme *e.g. Ministry of Health and UNICEF combining their resources to evaluate a project that was jointly designed and/or implemented*

23. If the main purpose of an evaluation places a higher priority on accountability and transparency to stakeholders; external evaluations or independent internal evaluations are ideal due to their impartiality as it enhances the credibility of the findings. On the other hand if the purpose of the evaluation focuses more onr improving the implementation of an intervention any of the four classifications can apply.

2.9 Evaluation Methodology

24. The appropriate evaluation methodology will depend on evaluation area, information required, type of intervention, stage of implementation, resources available, and depth of analysis to be undertaken. The method should allow for collection of data/information, in such a manner that would lead to the most objective analysis and conclusions. For an independent evaluation, an appropriate methodology will be discussed and agreed upon by the Evaluation Technical Reference Group (ETRG).

2.10 Evaluation Guiding Principles

25. These are a set of principles that will ensure professional practice by evaluators and the evaluation function in the public sector.

    Independence: an evaluation should be free from undue influence, especially from the implementing unit, which may bias the conduct or findings of the evaluation.
    Stakeholder participation: stakeholders including development partners should participate in the evaluation process either in the ETRG or by providing their views on the impact of the intervention and interests as well as results of the evaluation.
    Competence: evaluators should possess the requisite education, knowledge, expertise, skills and experience to undertake the proposed evaluation.
    Integrity: evaluators should not misrepresent the findings or views of the stakeholders or implementing unit. As such, an evaluator should not knowingly record as true any oral or written statement which is false, incorrect, misleading or incomplete.
    Ethical Considerations: evaluators should adhere to the highest professional standards throughout the evaluation process by ensuring confidentiality, consent (in case of minors sought from parents/guardian) and government protocols are followed.
    Respect for People: an evaluator should ensure that the rights, privacy, dignity, security and self-worth of the respondents, informants, programme/project officers and other stakeholders are safe-guarded.

2.11 Evaluability Assessment

26. Evaluability Assessment measures the extent to which a policy, programme or project can be evaluated in a reliable and credible manner. It is important to assess if an intervention is in a position to be evaluated so as to determine if it is the best way to answer the questions posed by policy makers or stakeholder, results are verifiable, and intervention is adequately defined. The Evaluability assessment should be conducted by the commissioning institution as a prerequisite to development of the evaluation plan (*See Annex 1: checklist for undertaking evaluability assessment*).

CHAPTER THREE: DEVELOPMENT OF AN EVALUATION PLAN

3.1: Introduction

27. This chapter provides guidance on how to develop an evaluation plan and who should be involved. All MCDAs are required to prepare evaluation plans through their respective units responsible for M&E and, in collaboration and guidance from Monitoring and Evaluation Directorate (MED), identify interventions to be evaluated. The evaluation plan should remain reflective of the goals and outcomes contained in the development plan documents (MTPs and CIDPs).

3.2 Purpose of the Evaluation Plan

28. Evaluations in the country, and especially in public sector, have always been applied in unplanned and haphazard manner; and not informing planning, policy-making and budgeting sufficiently, thus missing the opportunity to improve government interventions effectiveness, efficiency, impact and sustainability. The purpose of the Evaluation Plan is therefore to aid in addressing this shortcoming as it will provide the priority evaluations agreed upon by all the stakeholders to be undertaken through NIMES/CIMES within a given plan period.

3.3 Evaluation plan development process

29. The following steps will guide the development of an evaluation plan for all MCDAs:
    i. Select an intervention to be evaluated: This will be done according to the set criteria as specified in A*nnex 2*;
    ii. Specify the evaluation title and type. 'Title' refers to the intervention to be evaluated, for instance, '*Evaluation of the Impact of School Feeding Programme in Kenya',* while 'Type' refers to the nature of evaluation, for instance; Mid-term evaluation, End term evaluation, impact evaluation, etcetera;
    iii. Identify the outcome, which the intervention selected for evaluation contributes to;
    iv. Describe the utility and users of the evaluation findings;
    v. Specify the commissioning institution and its key partners;
    vi. Set the evaluation start and end date;
    vii. Estimate the evaluation budget; this should ensure that sources of funding, factors such as timing, logistical costs, etc. are realistic;

30. Preparation of an evaluation plan will assume the format prescribed in ***Annex 3***. Once a Ministry, Department or Agency has developed its Evaluation Plan, it will be presented to stakeholders for validation, and finally submitted to the concerned Accounting Officer for

approval. The document will subsequently be forwarded to MED for incorporation into the National Evaluation Plan[3].

3.4 County Evaluation Plans (CEPs)

31. The county governments will make reference to these guidelines to develop and implement their own individual Evaluation Plans while MED will provide technical support on request.

3.5 Evaluation Plan Review

32. The evaluation plan is not a static document as it may require adjustment as circumstances change. Adjustments to evaluation plan should be considered annually as part of the stocktaking exercise. Changes that can be made include and not limited to:
    i. Extending the completion date for evaluations subject to clear justifications and approvals;
    ii. Changing the scope and purpose of evaluations due to changes in the context (e.g., crisis settings);
    iii. Addition of new evaluations. New interventions may require to be evaluated (*ex-ante*) hence the need to be included in the evaluation plan or Parliament and County Assemblies may recommend evaluations of public interest; and
    iv. Deletion or removal of an intervention(s) scheduled for evaluation (in exceptional circumstances).

33. Any adjustments to the Evaluation Plan need to be clearly supported with a detailed rationale; validated and approved by the Accounting Officer of the MDA. The change should be communicated to MED. In the course of implementing the Evaluation Plan, a formal mid-term review will be conducted, and any recommendations from the evaluation implemented.

3.6 Compliance with the evaluation plan

34. MED will coordinate monitoring of the implementation of the evaluation plan, jointly with relevant Ministries, Departments and Agencies (MDAs). Annual progress reports will be prepared indicating the number of completed and ongoing evaluations, including those planned for a given year. The report should also indicate changes made to evaluation plans and the reasons for the changes. MED will also coordinate monitoring and evaluation of implementation of management responses to recommendations/evidence for decision making emanating from the completed evaluations. Evaluation of management responses to the recommendations emanating from evaluations conducted at the counties will be handled at that level.

[3] National Evaluation Plan (NEP) will encompass list of proposed evaluations submitted by MDAs while County Evaluation Plans (CEPs) will be developed and implemented by individual counties.

CHAPTER FOUR: EVALUATION PROCESS

4.1 Introduction

35. This chapter outlines a step by step guide on how to manage an evaluation process. These range from planning, commissioning, data collection and analysis, report preparation to dissemination of findings and implementation of recommendations. The activities are broadly categorized into three phases: pre- evaluation, evaluation implementation and post-evaluation as shown in figure 4.1 are discussed in subsequent sections.

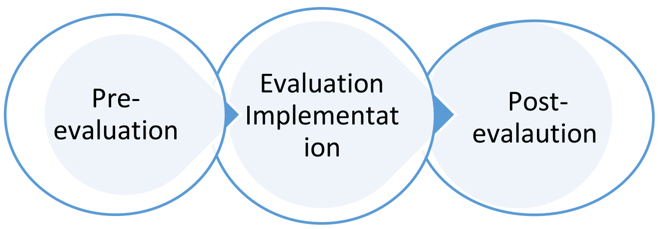

Figure 4.1: The phases of an Evaluation

4.2: Evaluation Phases

Phase 1: Pre-evaluation

36. This phase entails conducting evaluability assessment of an intervention identified for evaluation based on existing approved evaluation plan. Evaluability assessment is done by the commissioning institution to ascertain if a planned evaluation is feasible and will be done with reference to the checklist in ***Annex 1***. This phase establishes what is to be evaluated, what information is needed, what it will be used for and by whom. The commissioning institution should from the start, appoint an Evaluation Manager to provide the necessary leadership and coordination for the evaluation.

Step I: Define the Purpose of the Evaluation

37. The starting point and most important step in preparing for an evaluation process is to have a clear understanding of the evaluation utilization. Ideally, the commissioning institution should decide the evaluation purpose. The purpose may include:

i) Understanding the extent to which the design and/or the implementation process of a development intervention have contributed to its success;
ii) identifying the challenges or success factors;
iii) identifying the conditions in which the intervention can be successfully replicated;
iv) assessing whether the resources have been spent efficiently and/or effectively; and
v) assessing the intervention’s impacts.

Step II: Determine the type of evaluation and who to undertake the evaluation

38. The commissioning institution should determine the purpose and type of evaluation to be undertaken (Section 2.2) and who to undertake the evaluation (Section 2.8) based on the purpose/objectives.

Step III: Define the stakeholders, their roles and mode of engagement

39. Key stakeholders (Chapter 6) to be involved in the evaluation should be identified and their roles and modalities of engagement defined (consultation/discussion of documents, country workshop, accompanying group, comments on the draft report, etc.).

Step IV: Prepare an evaluation schedule and budget

40. Evaluation requires adequate financial and logistical resources. It's therefore important that the budgeting process is comprehensive and covers all costs related to the evaluation. Items to be considered during preparation of the evaluation budget include:

    i) Professional fees for all evaluators or thematic experts undertaking the evaluation;
    ii) Additional and non-professional costs such as daily subsistence allowance, transport expenses;
    iii) Translation costs for interviews, field visits, validation and dissemination workshops;
    iv) Any costs related to focus group meetings or data-collection meetings (venue hire, snacks, participant transport costs, etc.);
    v) Communications costs including editing, publication and dissemination costs;
    vi) Stakeholder, validation or ETRG workshop costs.

41. Relevant program staff should be involved in the budgeting process or consulted about the budget and should be encouraged to give feedback. Once the budget is done, there is need to prepare an evaluation schedule to help the ETRG and evaluation teams manage the evaluation.

Step V: Prepare Terms of Reference

42. The Terms of Reference (ToR) document defines all aspects of how a consultant or an evaluation team will conduct an evaluation. The ToR forms the basis for a contractual arrangement and act as the main reference document during the evaluation. It should be drafted by the commissioning institution and reviewed in consultation with ETRG to ensure high quality standards. Developing an accurate and well-specified ToR is a critical step in managing a high-quality evaluation. In cases where the ToR is developed for a non-competitive process (for example internal), it is still advisable to provide an opportunity for discussion to clarify the expectations of all involved parties. In case of where the evaluation is to be conducted by an external evaluator, the ToR should be annexed to the contract since they are an integral part of the legal agreement with the commissioning institution that details the extent of services, the number and quality of deliverables and the timeline for the evaluation (*Annex 4 provides a standard ToR format).*

Step VI: Constitute Evaluation Technical Reference Group

43. Once the budget and the ToR have been approved, the accounting officer for the commissioning institution will appoint in writing an ETRG which will be headed by the Evaluation Manager (See format of the appointment letter in annex 5). The ETRG will comprise of technical experts in the field under which the evaluation will be conducted. The

group provides feedback to the evaluation process from a technical and methodological perspective. Other roles and responsibilities for the ETRG are presented in Chapter 6.

Step VII: Identifying an Evaluator

44. Once the ETRG has been commissioned, the commissioning institution should initiate the recruitment process of the evaluator. The ToR forms the basis for identification/ recruitment of the evaluator as they specify the appropriate background and specific experience for particular evaluations. Any recruitment should be done in line with the Government procurement rules and regulations.

45. In the event the evaluation will be conducted internally, the accounting officer of the commissioning institution will constitute an evaluation team comprising of the staff from the institution.

Phase 2: Evaluation Implementation

46. The implementation stage includes data collection, data analysis, preparation and presentation of inception and final report, and drafting the management response.

Step VIII: Briefing the Evaluator and Presentation of Inception Report

47. To initiate the evaluation, the commissioning institution holds a briefing session with the evaluator. The session covers the following:

    i) Information to be provided to the evaluators;
    ii) Documents on the development intervention;
    iii) The ToR;
    iv) Ethical principles to be followed by the evaluators; and
    v) Evaluation Norms and Standards in the Public Service.

48. Subsequently, the evaluator prepares an inception report with seven days of signing the contract, which is presented to the ETRG. The report should be discussed and approved by the ETRG to pave way for commencement of the evaluation (*Annex 6 provides a standard outline for an inception report*).
49. The inception report should detail the evaluators' understanding of what is being evaluated and why (proposed sources of data and data collection procedures, overall evaluation design and methodology including sampling techniques, techniques and tools to be used (e.g. questionnaire, focus group discussions, key informant interviews, etc.); and detailed work plan of the assignment.

Step IX: Data Collection and Analysis

50. Once the inception report has been cleared, the evaluator should embark on data collection. Following a rigorous data analysis, the evaluator should debrief the commissioning institution and the reference group with preliminary findings. Debriefings with key stakeholders may also be organized where possible. This gives an opportunity to discuss

preliminary findings and address any factual errors or misunderstandings, prior to writing the evaluation report.

STEP X: Review of the draft report and receiving the final report

51. Upon receipt of submission of draft evaluation report from the evaluation team, the evaluation manager shares it with the reference group for comments within a stipulated timeframe. The evaluators are given time to address the suggested comments and submit the draft final report. The draft final report is validated in a stakeholder validation workshop. Comments from the validation workshop are incorporated into the final report by the evaluator within seven days before presenting it to the commissioning institution for approval, publishing and dissemination. It's also important to note that even if these reports have been approved for publication, they will still be subjected to quality assessment as outlined in Chapter 5 (*Annex 7 provides a standard structure of an evaluation report*).

Phase 3: Post evaluation

52. This phase broadly covers the use of evaluation findings, publishing and dissemination.

STEP XII: Preparing the Evaluation Management Response

53. As soon as the final report is received by implementing agency, a management response should be prepared. The management response should include the following:

    i) an overall statement regarding the evaluation itself, especially its accuracy and usefulness;
    ii) a statement on the most important recommendations in management's views;
    iii) a response for each of the recommendations made, including an indication of the timetable for the implementation of the recommendations and responsible units.

54. If certain recommendations are rejected, the management response should specify the reasons for doing so. The commissioning institution will be required to monitor the implementation of evaluation recommendations and report on the progress (*Annex 8 provides a management response tracking template*).

STEP XI: Use of Evaluation Findings

55. One of the most important questions to consider before starting an evaluation is, "How will evaluation findings be used?" There are a number of ways the findings from an evaluation can be used. These include to:

    i) improve the program (formative evaluation);
    ii) make judgements about the ultimate value/benefits of the program to participants and stakeholders (summative evaluation);
    iii) sustain and/or expand the program;
    iv) document and publicize the program's achievements;
    v) replicate the lessons learned to other interventions.

STEP XIII: Publish and Publicise the Final Evaluation Report

56. Once an evaluation is complete, the commissioning institution provides feedback to the stakeholders involved in the evaluated intervention. Dissemination of the results will help garner further support for the intervention if it is successful, and help others gain support for the introduction of similar interventions. Publicity from dissemination activities may also enhance the use of the evaluation findings. If the intervention has not been successful, findings will be shared with other MCDAs so that weaknesses or relevant issues are considered in other similar interventions, including whether or not to introduce such interventions.

57. MCDAs will require a clear dissemination strategy in line with the constitutional requirement of publish and publicize, which should be thought through at an early stage for successful dissemination and may involve:
    i) presenting the results at public meetings;
    ii) use of websites;
    iii) using the media to publicize the outcomes of the intervention, or
    iv) publishing reports and papers.

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CHAPTER FIVE: EVALUATION QUALITY ASSURANCE AND ASSESSMENT

5.1 Introduction

58. This chapter provides a detailed description of how quality assurance and assessment will be conducted for public sector evaluations. Quality assurance occurs at different points throughout the implementation of an evaluation. Quality assessment takes place after evaluation is completed (ex-post) whereby the final report is assessed by an external independent assessor.

5.2 Quality Assurance

59. Quality evaluations are a crucial element in ensuring that the governments and their stakeholders are accountable; enable learning from implementation of past interventions to improve future programming. Establishing that all elements of evaluation are of high quality is a process that applies to all stages of the evaluation. It begins with the development of the ToR for the evaluation, involves the selection of the evaluator, ETRG and, finally, spans the entire evaluation process, from its design to the finalization of the evaluation report. This will help identify and correct problems in the evaluation process to ensure the quality of the evaluation (*Annex 9 provides an evaluation quality assurance checklist*).

5.3 Evaluation Quality Assessment

60. The main objective of evaluation quality assessment is to ensure that evaluation reports comply with professional standards and also meet the information needs of its users. The main output of this process is an assessment report that gives an independent appraisal of the overall quality of the evaluation undertaken by a public entity. MED will develop a database of evaluators to assess the final evaluation reports (*Annex10 provides a criterion for selecting an assessor*).

5.3.1 Quality Assessment Process

61. Reports of completed evaluations are submitted to MED by the evaluation manager to update the evaluations repository and select the ones to be assessed. Once an evaluation has been selected for assessment and assigned to an assessor by MED, the assessment process begins. The assessment process shall not go beyond four weeks from the date of assignment to the date of submission by the assessor. The following steps are followed to ensure an objective quality assessment of evaluations:

a. Initiation

62. MED in consultation with the Commissioning Institution and guided by the Public Procurement and Disposal Act (PPDA) 2015 selects and assigns the evaluation report to an assessor. A contract is issued to the assessor (Individual or firm). The services of the assessor will be paid for by the Commissioning Institution. This shall be part of the evaluation budget. Incase of firms, the criteria for selection described in annex 10 will apply for the Team leader alongside the requirements of the PPDA 2015.

b. Data Collection

i. Assessor collects evaluation documentation;

ii. Assessor identifies sample respondents and conducts interviews randomly if need arises.

c. Assessor conducts assessment

i. Assessor completes assessment tools and comments;
ii. Assessor writes assessment summary;
iii. Assessor references all documents and interviews;
iv. Assessor submits assessment report to MED.

d. Conclusion

MED reviews and approves the assessment report. The quality assessment report is used to identify existing gaps from the evaluations assessed to inform capacity building geared towards improving the quality of future evaluations in the public sector.

5.3.2 Quality Assessment and Weighting

63. These guidelines prescribe a rating scale that applies for quality assessment of evaluation reports in the public sector (*Annex 11 provides a Quality Assessment Criteria*). The overall rating of each evaluation is represented as a percentage. The weightings are biased towards utilization (i.e. criteria with the most utility such as findings and recommendations are weighted higher).

5.3.3 Interpretation of Assessment Score Results

64. Public sector evaluations assessed will get an overall quality score of between 0-100% (Table 5.1). In line with the ratings, a minimum score of "average" is expected for an evaluation to be considered adequate and therefore the findings and recommendations can be used to inform policy decisions.

Table 5.1: Rating of the Evaluation

Description/Rating	Explanation
(90-100%)	Excellent
(70-89%)	Good
(50-69%)	Average
(0-49%)	Below Average

CHAPTER SIX: ROLES AND RESPONSIBILITIES OF VARIOUS ACTORS IN THE EVALUATION PROCESS

6.1: Introduction

65. This chapter identifies various stakeholders involved in the evaluation process and outlines their roles and responsibilities. This is to promote active participation of all stakeholders in the evaluation process while ensuring quality of the process. The stakeholders listed in Table 6.1 are for guidance only as each evaluation will have its unique stakeholders.

Table 6.1: Summary of roles and responsibilities

Actors/Stakeholders	Roles and Responsibilities
Units responsible for evaluation in MCDAs- Directed by the Unit Head	▪ Prepare a comprehensive; representative, strategic and costed evaluation plans; ▪ Ensure timely implementation of the evaluation plans; ▪ Ensure adequate funding and human resource for evaluations ▪ Determine which outcomes and projects will be evaluated and when ▪ Promote joint evaluation work where applicable with relevant MCDAs and partners ▪ Undertake evaluation and safeguard the independence and quality of the exercise ▪ Monitor the entry of evaluation reports into the repository ▪ Serve as point of contact for contracting of External Evaluation Consultants ▪ Review and provide advice on proposed changes to policies / procedures ▪ Review and provide advice on evaluation design and monitoring frameworks ▪ Provide regular briefs to top management on evaluation process ▪ Ensure management responses are prepared for all evaluations with time- bound key actions for their implementation ▪ Validate the evaluation reports and utilize the assessment reports for improvement. ▪ Publish, launch and disseminate evaluation reports ▪ Follow up on implementation of recommendations

Actors/Stakeholders	Roles and Responsibilities
Accounting Officer of the commissioning institution	▪ Approver of Evaluation plan ▪ Resource mobilization ▪ Commissioning of Evaluation and signing of all contracts relating to the evaluation ▪ Appoint the evaluation manager ▪ Appoints ETRG ▪ Appoint internal evaluation teams incase of international evaluations ▪ Receive, review and approve evaluation reports
Evaluation Manager	▪ Lead the development of the evaluation ToR ▪ Manage the selection and recruitment of both internal and external evaluators ▪ Manage the contractual arrangements, the budget and the personnel involved in the evaluation ▪ Assist evaluation teams in creating and utilizing tools and monitoring systems to track contract deliverables ▪ Provide executive and coordination support to the reference group ▪ Provide the evaluators with administrative support and required data ▪ Connect the evaluation team with senior management and key evaluation stakeholders and ensure a fully inclusive and transparent approach to the evaluation ▪ Accountable for the quality and approval of final terms of reference, final evaluation reports and management responses
External Evaluators	▪ Fulfil the contractual arrangements in line with the set evaluation norms and standards and ethical guidelines; this includes: ▪ Developing an inception report; ▪ Drafting evaluation reports, ▪ Briefing the management and stakeholders on the progress and key findings and recommendations as needed ▪ Finalize the evaluation report, taking into consideration comments and questions that arise from validation process.
Development Partners	▪ Participate in preparation of evaluation plan for programmes and projects that are jointly funded

Actors/Stakeholders	Roles and Responsibilities
	▪ Take part in review of key evaluation deliverables, including terms of reference, the inception report and successive versions of the draft evaluation report ▪ Provide financial and technical support
Evaluation Technical Reference Group (ETRG)	▪ Define or confirm the profile, competencies and roles and responsibilities of evaluators and clear candidates submitted for the evaluation ▪ Review of the ToR draft ▪ Review and submit the inception report to the accounting officer ▪ Assist in making available any information that are required by external evaluators ▪ Supervise the performance of the Evaluation Team ▪ Review the draft evaluation report and ensure final draft meets quality standards ▪ Oversee the evaluation process on behalf of commissioning institution Ensure that ethical clearance and approval has been obtained for each evaluation
Beneficiaries	▪ Provide information on implementation and impact of programme/project being evaluated through public participation forums ▪ Validate evaluations reports ▪ Receive feedback on evaluation exercise through briefs and reports
Principal Secretary for the time being responsible for Monitoring and Evaluation	▪ Approve National Evaluation Plan ▪ Resource mobilization for National Evaluation Plan. ▪ Provide strategic direction in public sector evaluations ▪ Approve norms, standards, guidelines and tools to support the quality enhancement of evaluations ▪ Approve NEP implementation reports ▪ Submit evaluation reports to National Steering Committee of NIMES
Monitoring and Evaluation Directorate (MED)	▪ Prepare norms, standards, guidelines and tools to support the quality enhancement of evaluations ▪ Coordinate development and implementation of national evaluation plan ▪ Track implementation and prepare reports of the National Evaluation Plan ▪ Establish and maintain a database of independent assessors

Actors/Stakeholders	Roles and Responsibilities
	▪ Provide central repository of MCDAs evaluation reports ▪ Provide technical support to MCDAs on public sector evaluations ▪ Develop NEP Resource Mobilization Strategy ▪ Initiate and coordinate the review of the Kenya Evaluation Guidelines
Parliament (National Assembly and Senate)	▪ Commission evaluations of public interests and receive reports; ▪ Work with Parliamentary Caucus on Evidence-Informed Decision-making
Council of Governors	▪ Link county governments with national government on Evaluations ▪ Dissemination, advocacy and sensitization of Kenya Evaluation Guidelines to counties.
County Assembly	▪ Recommend evaluations of public interest to be undertaken within the county
County Executive Committee	▪ Adopt Kenya Evaluation Guidelines ▪ Approve County Evaluation Plan (CEP) ▪ Commissioning of Evaluations at the county level ▪ Approve budget for evaluation that is forwarded by the departments ▪ Submit evaluation reports to the county assembly ▪ Ensure the recommendations in the evaluation reports are effected.
National Treasury	▪ Provide adequate budgetary allocation for implementation of NEP ▪ Use evaluation reports to inform budgetary allocation to MDAs.
County Treasury	▪ Provide adequate budgetary allocation for implementation of CEP ▪ Use evaluation reports to inform budgetary allocation to County departments.
Academia	▪ Build capacity on Evaluation skills and knowledge ▪ Utilize the evaluation reports for evidence-based research ▪ Participate in ETRG
Professional bodies on M&E	▪ Support entrenchment of evaluation culture ▪ Professionalization of evaluation practice ▪ Promote research and dissemination of evaluation best

Actors/Stakeholders	Roles and Responsibilities
	practices ▪ Promote capacity building in evaluation
Civil Society Organization	▪ Provide support in Sensitization of the public on the outcome of the policies, programmes and project evaluation ▪ Provide checks and balances on policies, programmes and projects evaluations by providing independent opinions ▪ Provide technical support on evaluations ▪ Mobilize resources for evaluations

ANNEXES

Annex 1: Evaluability Assessment Checklist

SNo	Evaluation Area	Yes/No
1.	Does the subject of evaluation have a **clearly defined theory of change**? Is there common understanding as to what initiatives will be subject to evaluation?	
2.	Is there a **well-defined results framework for initiative(s)** that are subject to evaluation? Are goals, outcome statements, outputs, inputs and activities clearly defined? Are indicators SMART?4	
3.	Is there sufficient **data for evaluation**? Is there baseline data? Is there sufficient data collected from monitoring against a set of targets? Are there well-documented progress reports, field visit reports, reviews and previous evaluations?	
4.	Is the planned evaluation still **relevant**, given the evolving context? Are the purpose and scope of the evaluation clearly defined and commonly shared among stakeholders? What evaluation questions are of interest to whom? Are these questions realistic, given the project design and likely data availability and resources available for the evaluation?	
5.	Will **political, social and economic factors** allow for an effective conduct and use of the evaluation as envisaged?	
6.	Are there **sufficient resources** (human and financial) allocated to the evaluation?	

Annex 2: Criteria for Selection of an Intervention for Evaluation

i. National and county priority interventions which are to include:
   - Key priority projects in National Development Agenda (i.e. Kenya Vision 2030 Medium Term Plans / 'Big Four'))
   - Key priority projects in the County Integrated Development Plan (CIDP) and Governor's Manifesto
   - Medium, large, and mega (with a programme budget of over KSh. 100m) as per Project Investment Management (PIM) Guidelines.
   - Pilot projects which are implemented before the major roll-out of programmes

ii. An area where an evaluation has been requested due to public interest or by a development partner;

iii. An intervention that has not been evaluated recently;

iv. At a critical stage where decisions are to be taken for which an evaluation (cost-benefit analysis) is needed;

v. Policy, Programme or Project has inbuilt mechanisms for evaluations.

vi. Are linked to the SDGs; and

vii. Any other reason that may necessitate conducting an evaluation;

Annex 3: Evaluation Plan Template

SNo.	POLICY/ PROGRAMME/ PROJECT	Evaluation Title (specifying the type)	Link to SDGs	Key Result Areas (Objectives)	Key Performance Indicators	Outcome(s)	Use of the Evaluation Findings	Commissioning Institution/ Partners	Expected Evaluation start date/end date	Evaluation Budget (Kshs.)	Source of Funding	Persons Responsible
	ECONOMIC PILLAR											
	SECTOR: AGRICULTURE *(Example…)*											
1	Galana/Kulalu irrigation project (pick the name as mentioned in the MTP III)	Impact Evaluation of the maize production under the galana/ kulalu	SDG 2 on food security (as mentioned in the MTP III)	Enhanced Large Scale Crop production	Yield per Hactares	**Increased crop productivity**	Improve design and implementaion of food security interventions	**Agency:** State Department for Agriculture **Partners:** XXX	October 2019 – June 2020	Kshs. XX million	GoK / Donor	PS, State Dept for Crop Development

Adopted from UNDP Evaluation Guidelines, Pg 7.

Annex 4: Contents of TOR

1. Title

Will include the following:

- Policy//program/Project name
- Type of the evaluation targeted by the ToR
  - Can be specific such as baseline survey, mid-term review…
  - Title should be short, specific and informative

2. Background Information

- Introductory information about the project/programme-intervention
- Should include: Implementation period, location or coverage, implementation framework, organization implementing the project/intervention, partners among others.
- Should be short and precise i.e. not more than half a page

Details should focus on the following as appropriate:

- The current purpose objectives and intended outcomes of the intervention being evaluated including the key outputs, outcomes and impact indicators
- The rationale for evaluation and the key overarching evaluation objective and questions including an overview of what decisions might likely be influenced by the findings
- A history of the program/intervention including how these objectives and targeted outcomes have changed overtime;
- the context in which the intervention is situated-including organizational, social, political, regulatory, economic or other factors directly relevant to the intervention's implementation;
- The roles and responsibilities of various key stakeholder in designing and implementing the intervention, noting any significant changes that have occurred in these roles overtime;
- Any studies or evaluations that have been conducted on the intervention or related activities to date. If available the monitoring and evaluation framework for the intervention should be attached;

3. Objectives of the evaluation

This section includes general/purpose and specific objectives.

The number of specific objectives should be realistic.

Approximately 3-8 specific objectives are reasonable. The evaluation results will be assess based on whether the objectives have been realized or not,

The objectives should be measurable and based on the project technical document.

4. Evaluation Criteria

Some of the Evaluation questions

- Have the right things been done? (relevance, effectiveness)
- Were outputs delivered economically? (efficiency)
- Have things been done well? (efficiency, effectiveness)
- Did the outputs lead to the intended outcomes? (effectiveness)
- What results have been achieved? (effectiveness/impact)
- Were there any unplanned or unintended changes? (impact)
- Are the results sustainable?
- Are the benefits likely to be maintained for an extended period after assistance ends? (sustainability)
- How do the results compare with an alternative intervention to achieve the same objective?
- How could things be done better in the future?

OECD/DAC Evaluation Criteria

- Relevance
- Coherence
- Effectiveness
- Efficiency
- Impact
- Sustainability

5. Scope of the Evaluation

- This section presents the parameters of the evaluation in terms of the scope and limits
- The scope should be realistic given the time and resources available for implementing the study.

6. Methodology/ Evaluation approach

- Qualitative and quantitative data collection approaches which will include but not limited to the following:
  - Participatory approaches if necessary depending on the intervention under review
  - Information may be collected at different levels: local, national, regional, partners etc, sampling size, sample frame etc

7. Expected output/Deliverables

- Report in organization’s format, sometimes including report outline

- Number of hard copies, CD/electronic copies.
- *The language(s) in which deliverables should be written*

8. Evaluation process

- Logistics and administrative support
- What the project will offer
- Accommodation
- Local and international travel and type
- Stationery, computer services
- Other research assistants/local consultants
- Appointments with respondents
- Meetings, debriefing etc
- Reporting protocol
- The project/organization staff the consultants will report to

9. Composition and qualification of consultant(s)

- Academic qualification; skills
- Consultant's experience and knowledge in the review thematic area
- Experience with the intervention area
- Local language, culture of the people
- Donor concerns and past work experience.

10. Work plan/Activity Schedule

- Activity time required and dates for the activity include place of the activity
- When draft report is expected
- When final report is expected

11. Others

- Organizations' rights, rules and restrictions on publication and sharing of the report or part of the report by the consultant.

Annex 5: Letter of invitation to participate in a Reference Group

Letter Head of the Agency/Institution/Organization

Ms/Mr XXXXX

Address

Subject: Evaluation of the [insert name of INTERVENTION…POLICY, PROGRAMME, PROJECT STRATEGY...] [insert period of time covered by the INTERVENTION] – Constitution of the reference group

Dear [insert name]

I am pleased to invite you to participate in the Evaluation Technical Reference Group that is being set up to oversee the evaluation of the [intervention.]. The objectives of the evaluation are:

………………………………………………………………………..

………………………………………………………………………..

…………………………………………………………………………

The evaluation manager, [insert name], will have day-to-day responsibility for the management of the evaluation and will chair the reference group. The [*insert the name of the agency/institution/organization*] regards reference groups as indispensable to the production of evaluation reports that will be of value to both [*insert the name of the agency/institution/organization*] and our stakeholders considers the involvement of them in the reference group to be extremely important for the success of evaluations.

While the independence of an evaluation team must not be compromised, the reference group plays a crucial role in ensuring that all available information is taken into account by the evaluators; that the evaluation progresses as planned and in line with its terms of reference; that its factual basis is accurate and complete; that the balance and overall quality of the analysis on which the conclusions and recommendations as based is as robust as possible; and that optimal arrangements are made for feedback and dissemination of the evaluation results of the study.

I therefore hope you will consider it worthwhile to join the reference group and contribute to this valuable work. For further information or queries on this evaluation, please get in touch with [*insert name and email address of evaluation manager*], who will manage and lead this exercise within the agency/institution/organization.

Please find attached for your information the draft TOR of the evaluation.

With best regards,

[Name of agency/institution/organization representative]

Attachments:

Draft ToR

Annex 6: Outline of an Inception Report

An inception report should include:

a) **Background and context** - illustrating the understanding of the project/outcome to be evaluated.

b) **Evaluation objective, purpose and scope** - A clear statement of the objectives of the evaluation and the main aspects or elements of the initiative to be examined.

c) **Evaluation criteria and questions** - The criteria the evaluation will use to assess performance and rationale. The stakeholders to be met and interview questions should be included and agreed as well as a proposed schedule for field site visits.

d) **Evaluability analysis** - Illustrate the evaluability analysis based on formal (clear outputs, indicators, baselines, data) and substantive (identification of problem addressed, theory of change, results framework) and the implication on the proposed methodology.

e) **Cross-cutting issues** - Provide details of how cross-cutting issues will be evaluated, considered and analyzed throughout the evaluation. The description should specify how methods for data collection and analysis will integrate gender considerations, ensure that data collected is disaggregated by sex and other relevant categories, and employ a diverse range of data.

f) **Evaluation approach and methodology** – this should highlight the conceptual models adopted with a description of data collection methods, sources and data analysis methods to be used. A rationale for their selection should be included and their limitations; data-collection tools, instruments; and discussion of reliability and validity for the evaluation and the sampling plan, including the rationale and limitations.

g) **Evaluation matrix** - This identifies the key evaluation questions and how they will be answered via the methods selected.

h) **Schedule of activities-** A revised schedule of key milestones, deliverables and responsibilities including the evaluation phases; data collection, data analysis and reporting.

i) **Evaluation budget** - Detailed resource requirements tied to evaluation activities and deliverables detailed in the work plan.

j) **Outline of the draft/final report** -The agreed report outline should meet the quality goals outlined in these guidelines and also meet the quality assessment requirements outlined.

Annex 7: Standard Evaluation Report Structure

Cover page

Table of contents

Acronyms and abbreviations

Acknowledgements

Executive summary

Introduction: includes purpose and objectives of the evaluation Scope of the evaluation, short statement on the evaluation methods used

Description of the development intervention: Context of the intervention, including policy and institutional context Description of the intervention and the intervention logic and the implementation arrangements

Findings: Presentation and interpretation of the factual evidence in relation to the evaluative questions.

Conclusions: Assessment by the evaluators of the intervention results against the expected results (as identified at the planning stage or as reconstructed by the evaluators).

Lessons learned: Lessons that may have implication for the future of the development intervention or may be relevant for wider application.

Recommendations: Proposals for improvements for the client and users of the evaluation.

Annexes:

TORs,

List of stakeholders consulted

Detailed description of the evaluation process and methodology description of the evaluation process, the methodology used (including any limitations of this method), information sources (including any data issues), stakeholders participation and consultation.

Annex 8: Management Response Template

Prepared by:

Evaluation Recommendation or Issue 1:				
Management Response:				
Key Action(s)	**Time Frame**	**Responsible Unit(s)**	**Tracking**	
			Status	**Comments**
1.1				
1.2				
1.3.				
Evaluation Recommendation or Issue 2:				
Management Response:				
Key Action(s)	**Time Frame**	**Responsible Unit(s)**	**Tracking**	
			Status	**Comments**
2.1.				
2.2.				
2.3				
Evaluation Recommendation or Issue 3:				
Management Response:				
Key Action(s)	**Time Frame**	**Responsible Unit(s)**	**Tracking**	
			Status	**Comments**
3.1				
3.2				
3.3				

Annex 9: Evaluation Quality Assurance Checklist

		checks
	Terms of Reference	1. Evaluation Purpose, scope and objectives clearly outlined 2. Outputs and Outcomes to be evaluated are clear 3. Evaluation context and detail specified 4. details adequate time frames and allocated days for the evaluation's completion 5. Role for evaluation partners is clearly outlined 6. Feedback mechanism is clearly defined 7. Proposed outline of the evaluation's approach and methodology is clearly detailed in the TOR including data sources specified. 8. cross cutting issues in the evaluations such as gender and vulnerable groups included 9. Proposed tools, methodologies and data analysis to meet the requirements outlined
	Evaluation Design and Methodology	1. The purpose and objectives of the evaluation are correctly interpreted. 2. Evaluators correctly understand what is being evaluated. 3. Elements of the context of the intervention are reviewed and considered in the evaluation design. 4. Evaluation questions and related indicators adequately take into account the relevant aspects of the intervention. 5. Evaluators convincingly illustrate how they intend to carry out the evaluation. 6. Design presents an evaluation methodology and approach. 7. Evaluators propose appropriate tools and information sources to collect the required information with a view to answering the evaluation questions. 8. The designs identify risks, constraints and offer viable options to minimize their effects on the feasibility and quality of the evaluation.
	Evaluation Implementation	1. Evaluators gather data and information from an appropriate and balanced selection of sources (both documents and interviewees) 2. The National Sample Survey and Evaluation Program (NASSEP) master sample frame developed by KNBS will be used to select samples where applicable 3. Appropriateness of data collection tools. 4. The tools are piloted to address any issues that may cause errors in data collection
	Evaluation Report	1. The report is user-friendly, comprehensive, logically structured and drafted in accordance with the guidelines.

		checks
		2. The report clearly describes the evaluation, how it was conducted, its findings, their analysis, the conclusions and the ensuing recommendations. 3. The information provided throughout the text are easily understandable

Annex 10: Criteria for Selecting an Assessor

	Academic Qualifications	Minimum of Masters Degree in any of the following fields or related from a recognized University: i. Development studies ii. Economics iii. Monitoring & Evaluation iv. Project management **v.** Statistics
	Professional Qualifications	Post Graduate qualification in Evaluations. Member of a recognized professional body
	Experience	At least 5 years conducting evaluations in an African context. Must have conducted and published at least 5 evaluations in the Public Sector two of which must be relevant to the intervention being evaluated (i.e. Health, Infrastructure, Energy, Education, Governance Justice Law and Order.........).

Annex 11: Quality Assessment Criteria and Weighting

Section	*Weighting*	*Information to be look at*
I. GENERAL INFORMATION	**5**	The following information is easily accessible in the first few pages of the report: 1. Heading including name of organization 2. Evaluation title 3. Thematic area 4. Geographic Area (Region, Country, or global) 5. Type of Evaluation (Operation Evaluation and (final/ midterm) 6. Period being evaluated and list of operations covered with budget 7. Name(s), Organization(s), and Contact Information of Evaluator(s) 8. Name and Address of Organization commissioning the evaluation 9. Date of Evaluation Submission 10. Table of contents listing Tables, Graphs, Figures and Annexes 11. List of acronyms
II. ACCESSIBILITY / CLARITY	**5**	1. The report is logically structured with clarity and coherence (e.g. background and objectives are presented before findings, and findings are presented before conclusions and recommendations) **Presentation** 2. Table of contents includes a logical outline of the sections presented. 3. Material referenced in Table of Contents is easy to locate and page numbers are accurate. 4. Visual aids, such as maps and graphs convey key information. 5. The language is adequate in quality and tone for an official document. 6. The report is free from any grammar, spelling, or punctuation errors **Clarity of reporting** 7. Clear, precise and professional language is used. 8. The report reflects correct use of terminology. 9. Correct grammar is used. 10. The report is highly reader friendly. 11. Useful graphs and tables are included.
III. EXECUTIVE SUMMARY	**10**	1. The executive summary is coherent and concise **The executive summary includes:**

Section	*Weighting*	*Information to be look at*
		2. Overview of the Evaluation including brief description, context, present situation 3. Evaluation purpose 4. Objectives 5. Intended audience 6. Evaluation methodology (including rationale, sources, data collection and analysis methods used, major limitations) 7. Most important findings. 8. Main conclusions and recommendations. 9. Clear linkages between the recommendations and findings.
IV. EVALUATION CONTEXT	**5**	1. The evaluation provides an overview of the country in which the operations are taking place, including the gender context. 2. Where relevant, the evaluation includes data on poverty, food security to provide an understanding of the hunger situation. 3. Other subject/sector relevant information is included which could have enhanced or inhibited the sector's work
V. EVALUATION PURPOSE and SCOPE	**5**	The purpose of the evaluation includes the following: 1. Why the evaluation was needed at that point in time 2. Who needed the information, 3. What information is needed 4. How the information will be used 5. Evaluation objectives are clearly stated 6. Balance between accountability and learning is clearly described. 7. The report describes and provides an explanation of the chosen evaluation criteria, performance standards, or other criteria used by the evaluators (such as OECD/DAC) 8. The report includes the Terms of Reference 9. The report describes and justifies what the evaluation does and does not cover.
VI. EVALUATION METHODOLOGY	**15**	1. The report lists the Evaluation Questions. 2. The report describes the data collection methods 3. The rationale for selecting particular data collection and analysis methods is explained. 4. The report describes the sampling frame (area and population represented, rationale for selection, numbers selected out of potential subjects, and limitations of the sample). 5. The methodology presented allows for triangulation. 6. The methods employed are appropriate for the evaluation

Section	*Weighting*	*Information to be look at*
		to answer its questions. 7. The limitations of the methodology are explained, including how they were addressed, and the potential impact on evaluation findings. 9. The evaluation design includes ethical considerations (i.e. protection of confidentiality, rights and welfare of respondents, and respect of the values of the beneficiary community).
VII. FINDINGS	**20**	1. The findings have been formulated clearly and are based on evidence collected 2. Findings should take into consideration different stakeholder groups, including gender representation. 3. The findings are triangulated. 4. The findings address any limitations or gaps in the evidence and discuss any impacts on responding to evaluation questions. 5. The findings address evaluation criteria chosen.
VIII. ANALYSIS	**15**	1. Reasons for outcomes of the subject being evaluated, especially enabling and constraining factors, are identified to the extent possible. 2. The analysis responds to all evaluation questions. 3. The analysis examines cause and effect links between an intervention and the outcomes. 4. External and contextual factors are identified including the social, political or environmental situation 5. The analysis includes unintended impacts/ or consequences of activities
IX. RECOMMENDATIONS	**15**	1. Recommendations are relevant to the object and purpose of the evaluation. 2. The recommendation are based on the analysis/conclusions and substantiated by evidence collected. 3. The recommendations are specific, realistic, and actionable 4. The recommendations are clustered and prioritized 5. Recommendations clearly identify the target group for each recommendation 6. Recommendations reflect an understanding of the commissioning organization and potential constraints to follow up.
X. CONCLUSIONS	**5**	1. The conclusions provide answer to the evaluation questions.

Annex 12: List of References

1. DPME Guidelines 2.2.19: Quality Assessment of Government Evaluations, *Updated January 2017*, *Department of Planning Monitoring and Evaluation, Republic of South Africa*
2. IOM Evaluation Guidelines, 2006, *International Organization for Migration*.
3. Public Investment Management Guidelines, *The National Treasury and Planning*.
4. Revised Evaluation Criteria Definitions and Principles for Use. *OECD/DAC Network on Development Evaluation (2019)*
5. UNDP Evaluation Guidelines
6. UNFPA Evaluation Handbook, *Revised and Updated Edition February 2019*.

Annex 13: List of Evaluation Guidelines Technical Team.

S/No	Name	Designation	Organization
1.	David Kiboi	Ag. Director	State Dept for Planning-MED
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18.	Moses Mwangi	Planning monitoring and Evaluation Officer	UNICEF
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20.	Wanjiru Nderitu	Lecturer	Nazarene University
21.	Awuor Ponge	Lecturer	Kenyatta University