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Extracts on Reporting from CIMES guidelines, PC guidelines and PMS handbook

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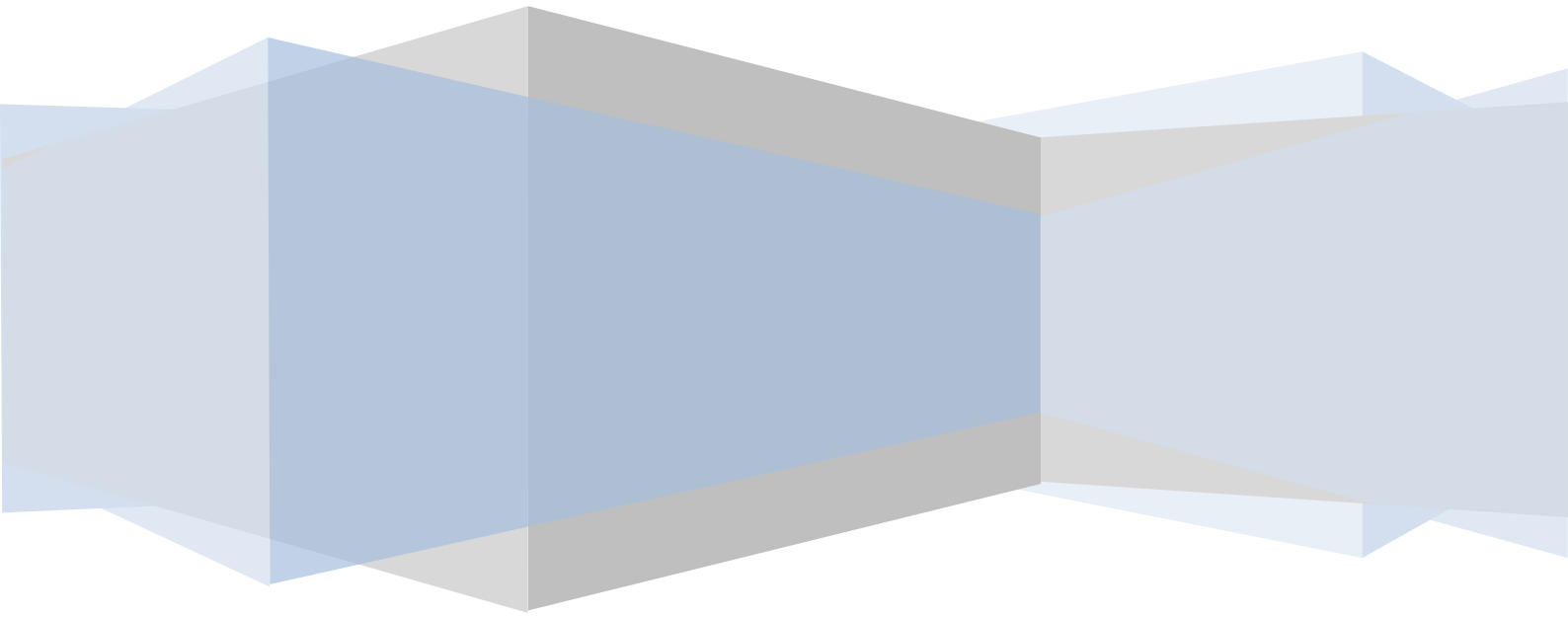
Dennis



CIMES GUIDELINES 2016

Guidelines for the Development of County Integrated Monitoring and Evaluation System

Version 1, March 2016

THE PRESIDENCY
Ministry of Devolution and Planning
Monitoring and Evaluation Department
COUNCIL OF GOVERNORS

A14 Key Reports to be Prepared at County Level

Approver	Report	Frequency	Prepared by:	Approved by:	Recipient & Dissemination Date or month following
CoMEC	APR on CIDP-County Annual Monitoring and Evaluation Report (CAMER)	Annual			Senate, Council of Governors, County Inter-governmental Forum, County Assembly, CEC, MED, Citizen, 15th
	County Monitoring and Evaluation Report	Quarter			Citizen, County Departments (Internal use), 15th
	County Annual Public Expenditure Review (CAPER)	Annual			Senate, Council of Governors, County Intergovernmental Forum, County Assembly, CEC, MED, Citizen ,15th
SCoMEC	Sub-County Annual Monitoring and Evaluation Report (SCAMER)	Annual			TOC, Sub-County Departments (Internal use), Citizen, 7th
	Sub-County Monitoring and Evaluation Report	Quarter			TOC, Citizen,County Departments (Internal use), 7th
	Sub-County Annual Public Expenditure Review (SCAPER)	Annual			TOC, Citizen,County Departments (Internal use), 7th
SMEC	Sector Monitoring and Evaluation Report (SMER)	Quarter			TOC, Sub-County/Ward/ Village Departments (Internal use), Citizen 7th
	Sector Monitoring and Evaluation Report (SMER)	Annual			TOC, Sub-County/Ward/ Village Departments (Internal use), Citizen, 7th
	Sector Public Expenditure Reports (SPER)	Annual			TOC, Sub-County/Ward/ Village Departments(Internal use), Citizen, 7th
WaMEC	Ward Monitoring and Evaluation Report (WaMER)	Quarter			Sub-County/ Departments (Internal use), Citizen, 1st
WaMEC	Ward Monitoring and Evaluation Report (WaMER)	Annual			Sub-County/ Departments(Internal use), Citizen, 1st
VIMEC	Village Monitoring and Evaluation Report (VIMER)	Month			Ward/ Departments (Internal use), Citizen, 23rd o' the last month previous

5.1 Progress Reporting Standards and Responsibilities.

5.1.1 *Standardised M&E Reporting Mechanism and Formats*

141. This section emphasises the need to design standard forms that can be used by all county governments to collect data and other information used in compiling M&E progress reports. M&E reporting is essential for county and national governments because it is used to: (a) determine the extent to which the CIDP and other county programmes/projects are on track and to make corrections accordingly; (b) make informed decisions regarding operations, management and service delivery; (c) ensure the most effective and efficient use of resources; (d) evaluate the extent to which the programme/project is having or has had the desired impact; and (e) whether new information has emerged that requires a strengthening and/or modification to the project management plan.

142. Standardised M&E reporting forms enable M&E unit staff to aggregate data from many projects/programmes. It also facilitates aggregation of M&E reports from the 47 county governments. A simple, standardised reporting format also reduces the need for capacity building required to do the job, and enables comparison of results within and between counties. For this reason, all counties are required to report based on standard reporting templates that are similar and simplified so as to eliminate unnecessary reporting burdens.

143. Priority should be given to preparing high quality reports at courty level annually, followed by brief quarterly reports at sector and sub county levels. MED and CoG have developed simplified reporting formats, and will soon provide these to the county governments. A summary of the reports to be produced by every county government is outlined in Appendix A14.

5.1.2 *County M&E Reporting and the Annual Progress Report*

144. The CIMES reports and ADPs provide results information that serves a variety of needs and users at different levels throughout the county. At an operational sectoral level, CIMES will be expected to serve as a learning tool to assist in programme/project improvements and developing sound management practices. At the level of an individual county department, with the Director accountable for good governance and performance of the department, CIMES represents key management and accountability tools for the Director, and provides important inputs to strategic reviews that may be required to make management decisions regarding programme/project priorities and possible changes.

145. At the county level, the M&E Unit is an important player in the production of M&E information. It is useful in informing funding decisions about overall implementation performance of various projects/programmes outlined in the CIDP. In a legislative context, CIMES reports about county government programmes and operations are submitted directly to the County Assembly and the Senate on a regular basis, through ADP reviews and CoMEC reports. The aim is to enhance the transparency and accountability of county government operations with members of the County Assembly and county residents.

46. Counties are expected to submit annual PSM reports by 30th July. M&E play an important role
n each county's PSM inputs. County M&E progress reports (COMERs), also contribute to the national
M&E report. They should be submitted to MED by 30th August, according to the NIMES requirements.
/hile it is the responsibility of the county to plan and manage internal reporting, taking the electron-
: approach of e-CIMES means that in future, data gathered at each devolved level can be automati-
ally aggregated from village to ward to sub-county to county. Villages will make monthly reports in
simple and practical form, following CoG and MED guidance.

147. In order to play its role in the national APR reporting timetable, a county may adopt the following schedule:

(a) Villages, (through the VIMEC) give their reports to the Wards one week before the last day of each quarter.

(b) Wards then aggregate their VIMEC results for one week and present their summarised report (through the WaMEC) to the Sub-Counties (and their SCoMEC) by the first day of the next quarter.

(c) Sub-ccunties, through the SCoMEC, submit their reports to County M&E unit seven days after the quarter ends, following the quarter to which the report is referring.

(d) County M&E units can thereafter compile the county M&E report for onward submission to CoMEC.

148. If CIMES is computerised, all of these reports will automatically populate a CoMER (County M&E Report) template within e-CIMES. The County M&E Officer will edit free sections of the COMER e-form to complete the quarterly and annual progress report (APR) for the county. Reporting for the Sub-county will be completed by the 15th day of the month following the reference month, with reporting by the county of the county APR completed by 31st July. This fits in with the timeline of the National M&E Framework, which requires that counties submit their M&E reports to MED by 30th August for MED tc prepare its national APR in good time.

149. For reasons given in the above paragraph, these M&E Guicelines recommend electronic capture of results into e-CIMES, which could also be linked to the county PMS. At the county level, CIMES is a PMS with knowledge sharing links to CoG and to MED. It is at the discretion of the county to hav WaMER forms filled in at Sub-county level for their wards, and to have ViMER forms filled in at wa level for their villages. A village M&E report may be as simple as monitoring the key developme priorities and issues of the village. If these forms are filled at Ward level for villages, the MCA for th Ward may then choose to engage citizens in contributing to and approving the forms at Ward level t help to drive forward the priority projects/programmes of each village in the Ward.

150. Where production of progress reports is devolved to the village level, village Secretaries ma engage a technically skilled youth to fill the appropriate form on a mobile device. Over time an based on experience, CoG and MED will extend and improve the CIMES online forms used for repor ing by counties, sub-counties, wards and villages. Initially, these forms must be simple enough t ensure success, but easily extensible as the capacity of counties and depth of capacity within counti grows. Each M&E form will prescribe how the M&E will be conducted, what data will be required, an the depth of reporting.

5.1.3 *Computerisation of Reporting at County Level*

151. The increasing computerisation of public office functions, is providing county government management teams with new opportunities to computerise the collection and analysis of M&E information for the projects and programmes included in the CIDPs. Most of the existing M&E information is compiled manually. Therefore, there is an urgent need to explore the possibilities of computerising the existing manual systems to take advantage of the potential uses of microcomputers for M&E operations within the counties. Computerisation of the M&E information system, must also address issues of cooperative partnership in M&E information activities, systems compatibility and sustainability.

152. In a well-designed electronic reporting format, indicator-related textual analysis, proposed corrective measures and related learnings can all be reported automatically. Standard progress reports should be designed for annual CIDP review, quarterly CEC meetings and monthly sector team meetings. An M&E progress report is also required for the entire CIDP, based on the Results Matrix of Appendix A8. Each of these automated progress reports should be made accessible to the SDS, the CoMEC, the Governor's Office and other internal stakeholders.

5.1.4 *Performance Reporting at County Level*

153. Progress reporting within the county enables the Governor, county management team and stakeholders to track ADP implementation progress. Participants in the CEC meetings, the county Intergovernmental Forum, and CoMEC should review these progress reports as a basis for decision making and for agreeing on action plans for development[13]. To facilitate a smooth decision making process, all agendas of relevant county meetings should include a review of indicators and sector progress reports as a standing item, with full reporting documents sent in advance to the participants. Where possible, progress reports should be available in an electronic format, and should combine data and associated narrative commentary and evidence.

154. In general, progress reports should be designed and structured in a way that minimises the time required to understand the report and decide on the preventive or corrective measures to be undertaken. The county should automate the production of reports in a way that once data are entered, they can be viewed selectively by those who have access rights and can automatically be populated in all other required formats. Within a year, this approach will deliver significant efficiency savings for the county.

155. It is recommended that all progress reports, including interim reports, are made available to the Commissions and Independent offices created by the Constitution of Kenya to build trust and receive feedback from them early in the budget cycle. In every county, it is the county M&E unit's responsibility, working closely with county SDS where this exists, to produce reports. As emphasised in chapter 3 of these Guidelines, the M&E reports should be prepared in consultation with the key producers and users of the reported information. Data comes from aggregated data in the form of Appendix A12 (or similar formats) produced by M&E Officers and their Directors of departments in the devolved functions, or persons of equivalent rank managing devolved funds and other related agencies.

156. Recommended standard progress reporting systems have been developed by the Council of Governors and in consultation with MED. These formats will be improved over time. They should be automated using the Performance Management and M&E System developed by counties. Continuous improvement of these report formats should be the responsibility of the M&E Units, working closely with MED and the Council of Governors.

157. The performance of the county against service delivery, programme and project goals and targets is measured through the ADP Results Matrix. All projects and services contribute to results. These results should be gathered through completing and updating Project Sheets. The M&E Officers responsible for each department should then aggregate the collected information by sector, under the guidance of the M&E Unit. Consolidation of the results to sector level targets should be done using an auditable and reliable system. (Spreadsheet aggregation is time consuming, unreliable and expensive to audit.)

158. Based on the review of aggregated progress reports at sector level, weekly or monthly corrective actions should be defined and delegated at sector level. These sector reports are prepared by M&E Officers for each Director of Department and submitted to the county M&E Unit for validation, aggregation and production of reports, which are forwarded to the PMS Secretariat, the CEC and CoMEC. Monthly or quarterly performance reviews are recommended at the county level, prepared by the M&E Unit in close collaboration with SDS where this exists, and submitted to CoMEC and the Governor's Office.

5.1.5 *Linking M&E to Performance Management System*

159. For county Performance Management and M&E systems to be successful, they must have the commitment of the political leadership from the county government, in particular: the Governor's Office, CEC members, the County Secretary, Directors of County Departments, the Senate and the County Assembly. For purposes of buy-in and commitment to Results Based Management of the CIPD, it is recommended that the Governor's Office and county M&E Unit work together to develop performance reports for the County Governor, the CEC, the County Development Board, the County Assembly and the Senate. Performance reports should also include county projects that strengthen the performance of e.g. Independent Commissions or building of law courts in the counties. Quick and simple configuration of easy to use reports by the M&E Unit staff is an important requirement of effective Performance Management and M&E systems (see Appendix A9).

160. Wherever progress reporting from county to national departments is required, the data capture should be carried out consistently in all counties, with the aggregate results made available for comparison at national and county levels. This is another important reason for the Performance Management and M&E system to sit on a commonly shared service platform for all counties. In the absence of a shared system, the Council of Governors and MED should prescribe appropriate formats

5.1.6 Integrating National and County Government Progress Reporting Arrangements

161. Sharing the M&E information between county and national governments has the following overarching objectives:

(i) Promote accountability for the achievement of Kenya's overall economic development objectives, through the assessment of results, effectiveness, processes and performance of the development activities of both levels of government. Each county government development result needs to be monitored and evaluated for its contribution to the whole country's development. The contribution of each county government to the overall country's development will be visible only if county governments submit their CIMES results/reports to the national government Ministry of Planning and Devolution through MED. Through this process, MED is able to compile and produce aggregated report for the performance of county governments, national government, as well as for the whole country.

(ii) Promote learning feedback and knowledge-sharing among the county governments and between county governments and national government, as a basis for decision-making on policies, strategies, programme management and projects, and ultimately to improve performance.

(iii) Strengthen monitoring and coordination of national government projects that cut across multiple counties. Some national projects are implemented across county boundaries, for example the Standard Gauge Railway that is being constructed from Mombasa to Nairobi and beyond. Monitoring and evaluation of such projects will require close cooperation and coordination of M&E reports from several counties. These M&E reports will be assembled together and aggregated by MED to produce the performance results for each county and for the project as a whole. Thus the implementation of such projects reinforces the need for sharing M&E objectives and targets, so that county M&E plans are synchronised with the national government plan for the project, and also to ensure that methods for collecting, analysing and reporting data in the participating counties are compatible.

162. Sector progress reports, (e.g. the Health Management Information System (HMIS) and EMIS), from the staff performing national government functions within the counties, are routinely made to the headquarters of the respective national ministries and agencies, or into their information systems. It is recommended that all such flows of indicator statistical data be standardised and made available to MED and the respective county M&E Units and other county planning units, based on the principle of data sharing as well as to reduce the data collection burden among government organs. Where possible, all county indicator values should be captured into a single database.

163. Data capture and analysis should be done online, and be a shared service so that the data of all counties can be benchmarked, compared and accessed subject to security rights by consumers of that data. This does not mean that all counties or national government entities can access the data of a county, but rather that all data is stored in a compatible form, providing benefits of comparison and economies of scale. Each national data user, including Independent Commissions and Independent offices, should be able to access the subset of information relating to their role and function. As stated in the Selection Criteria of Appendix A9, this should be a requirement of any ICT support platform for County M&E.

A1 Core County Result Indicators

Sector	No	Indicator	Unit	Responsible MDA*	Frequency
1. Agriculture	1	Cost of fertilizer inputs	KES	Ministry of Agriculture	Annually
	2	Number of livestock (% change) showing breakdown by kind.	No. (%)	Ministry of Agriculture	Annually
	3	Crop production (key crops, in Tones)	No.	Ministry of Agriculture	Annually
		Rural Market Prices of main crops by type of crop.	No.	KNBS/ Ministry of Agriculture	Monthly
2. Education	4	% of female students enrolled.	%	Ministry of Education	Annually
	5	Population with secondary education	%	Ministry of Education	Periodically
	6	Adult literacy (can read and write)	%	KNBS	Periodically
	7	Primary Net Enrolment Rate	%	Ministry of Education	Annually
	8	Primary to secondary transition rate	%	Ministry of Education	Annually
	9	Pupil:Teacher ratio	Ratio	Ministry of Education	Annually
	10	Textbook:Pupil ratio	Ratio	Ministry of Education	Annually
	11	Primary exam result average (Math)	No.	National Examination Board	Annually
	12	Primary exam result average (English)	No.	National Examination Board	Annually
3. Energy	13	Electricity (% households 2009)	%	KNBS	Periodically
4. Gender	14	Women in County Assemblies	%	Ministry of Devolution and Planning	Annually
	15	Proportion of women recruited in the public sector	%	Ministry of Devolution and Planning	Annually
5. General Information	16	Population size	No.	KNBS	Periodically
	18	Annual population growth rate (1999-2009) %	%	KNBS	Periodically
	19	Surface area (km^2)	No.	KNBS	Periodically
	20	Density (people per km^2)	No.	KNBS	Periodically
	21	Poverty rate, based on KIHBS (%)	%	KNBS	Periodically
	22	Share of urban population (%)		KNBS	Periodically
	23	Labour force participation rate	%	KNBS	Periodically

Sector	No	Indicator	Unit	Responsible MDA*	Frequency*
6. Health	24	Proportion of fully-immunised population of children under one year.	%	Division of Health Management Information Systems	Annually
	25	Malaria (as % of all 1st outpatient visits)	%	Division of Health Management Information Systems	Annually
	26	Proportion of babies delivered in a health centers	%	Ministry of Health (HMIS)	Annually
	27	Adequate height for age (stunting)	%	Ministry of Health/ KNBS	Periodically
	28	Maternal mortality rate	%	Ministry of Health	Periodically
	29	% of mothers who received complete 4 courses of ANC services	%	Ministry of Health	Annually
	30	% of births assisted by qualified health staff	%	Ministry of Health	Annually
	31	Under 5 mortality rate	%	Ministry of Health	Periodically
	32	Nurses (per 100,000 people)	No.	Ministry of Health	Annually
	33	Doctors (per 100,000 people)	No.	Ministry of Health	Annually
	34	Preventive services budget	KES	Ministry of Health	Annually
	35	Proportion of HIV-Infected persons among the county's total population by sex	KAIS	KNBS	Periodically
	36	Percent receiving antiretroviral treatment (ARV) among those eligible for ARV treatment by sex	KAIS	KNBS	Periodically
	37	Curative services budget	KES	Ministry of Health	Annually
7. ICT	36	Households with access to radios	%	Ministry of ICT/KNBS	Periodical
	37	Households with access to TVs	%	Ministry of ICT/KNBS	Periodically
	38	Population with mobile phones	%	Ministry of ICT/KNBS	Periodically
	39	Population using the Internet	%	Ministry of ICT/KNBS	Periodically
8. Security	40	Police:Population	Ratio	Police	Annually
	41	Reported violent crime (no. Per 100,000)	No.	Police	Annually
9. Social Security	42	Eligible households with vulnerable persons receiving government cash transfers	No. (%)	Ministry of Devolution and Planning	Annually

Sector	No	Indicator	Unit	Responsible MDA*	Frequency
10. Tourism	43	No. of visitors arrivals and departures	No.	Ministry of East African Community Affairs, Commerce and Tourism	Annually
	44	Tourism earnings	KES	Ministry of East African Community Affairs, Commerce and Tourism	Annually
11. Transport	45	Classified roads maintained and/or rehabilitated	%	Ministry of Transport and Infrastructure	Annually
	46	Share of tarmac roads in good/fair condition	%	Ministry of Transport and Infrastructure	Annually
	47	Share of gravel roads in good/fair condition	%	Ministry of Transport and Infrastructure	Annually
	48	Paved roads (as % of total roads 2012)	%	Ministry of Transport and Infrastructure	Annually
12. Water and Sanitation	49	Access to improved water (% households 2009)	%	KNBS	Periodically
	50	Improved sanitation (% households 2009)	%	KNBS	Periodical
	51	Urban households with access to piped water	%	Ministry of Environment, Water & Natural Resources	Periodically
	52	Rural households with access to safe drinking water	%	Ministry of Environment, Water & Natural Resources	Periodically
	53	Urban households with individual or shared access to toilet facilities	%	Ministry of Environment, Water & Natural Resources	Periodically
	54	Rural households with individual or shared access to toilet facilities	%	Ministry of Environment, Water & Natural Resources	Periodically

Core County Indicators for Monitoring the Implementation of the County Budget and Value-for-Money

Indicator	Measurement	Frequency	Source
A. Credibility of the budget			
1. County Budget (In '000 KES)	KES	Quarterly	CoB
2. Aggregate expenditure out-turn compared to the most current budget	Percentage	Quarterly	CoB
3. Share of approved unconditional transfers remitted (in the County Allocation of Revenue Act)	Percentage	Quarterly	CoB
4. Aggregated revenues out-turn in % of the original approved budget	Percentage	Quarterly	CoB
5. Ratio of own revenues to total spending	Percentage	Quarterly	CoB
6. Development expenditures as percentage of total aggregated expenditure	Percentage	Quarterly	CoB
7. Wage bill as % of recurrent expenditures	Percentage	Quarterly	CoB
8. % change in wage bill (of aggregated total expenditures) compared to last year	Percentage	Annual	CoB
9. Share of county expenditures recorded in IFMIS	Percentage	Quarterly	CoB
10. Approved (most recent) vote (sector)	KES	Quarterly	CoB
11. Total county expenditure by vote (sector/department)	KES	Quarterly	CoB
12. Expenditures by project	KES	Quarterly	CoB
13. Submission of quarterly (budget#) reports on time (within two weeks after the end of each quarter)	Yes/No	Quarterly	CoB
14. County Fiscal Strategy Paper approved	Yes/No	Annually	CoB
B. Comprehensiveness and transparency			
15. Public participation in the annual budget process	Meetings held, feedback in CIDP	Annually	CoG
16. Share of mandatory citizen engagement/consultation meetings held	Percentage	Annually	Online
17. Percentage of county citizens that are aware of public planning, budget, and results consultations	Percentage	Annually	Survey TBD
18. Share of awarded procurement contracts with decision criteria publicised	Percentage	Annually	Survey TBD
19. County budgets published online	Percentage	Annually	CoG

Indicator	Measurement	Frequency	Source
C. Budget cycle			
20. Total value of audit qualifications (in '000 KES)	Measured in KES, out of total expenditures	Annually	AOG
21. Audit qualifications in % of total expenditures	Percentages of total expenditures	Annually	AOG
22. Settled audit qualifications in % of value of audit qualifications	Out of total qualified	Annually	AOG
23. Compliance with cashbook standards (are counties using IFMIS for budget management, not just accounting)	AOG to clarify measurement	Annually	AOG
D. Value for money			
24. Average price paid for a bag of cement (50kgs)	KES, AOG sample	Annually	AOG
25. Average price paid for a biro pen (normal)	KES, AOG sample	Annually	AOG
26. Average price paid for a bottle of water (500ml)	KES, AOG sample	Annually	AOG
27. Average price paid for a photo copy paper (A4 80mg one ream)	KES, AOG sample	Annually	AOG
28. Average price paid for a desktop computer	KES, AOG sample	Annually	AOG

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

GOVERNOR'S DELIVERY SYSTEM – PERFORMANCE MANAGEMENT SYSTEM (PMS) GUIDELINES 2016

The Governor's Delivery System

HOW TO SETUP AND OPERATE A COUNTY PERFORMANCE MANAGEMENT SYSTEM.
HOW TO ENGAGE STAKEHOLDERS FOR INCLUSIVE DEVELOPMENT AND RESULTS.

County Performance Management System and Stakeholder Engagement Handbook

COUNCIL OF GOVERNORS

Version 1, March 2016

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

Personnel requirements

	Report/output	Produced by	Outputs used by	Intended impact
Prepare the County Results Matrix using the template of PMS-A1 as a part of the approved ADP indicating which projects are also included in the PC of each County Executive. SDS enters details into the electronic PMS within 7 days of the start of the new year.	Implementation ready, approved ADP matrix	County Planning Officer.	Governor's Office. County Officials and Citizens.	

	Report/output	Produced by	Outputs used by	Intended impact
Prepare the County Executives' Performance Contracts prior to the start of Q1 using the standard county PMS template with schedule D indicators linked to ADP projects. SDS enters into PMS within 7 days of the start of the new year.	Performance Contract aligned to CIDP and ADP entered into County PMS..	SDS	Governor's Office. County Officials.	
Ministry Performance & Results Meeting each quarter within 14 days of quarter end.	Ministry Performance Report Minister PC Report.	Efficiency Officer. System generated.	Governor's Office. County Officials and Citizens.	
County Performance & Results Meeting each quarter within 30 days of quarter end.	County Performance Report Minister PC Report	SDS. System generated.	Governor's Office. County Officials and Citizens.	
County Executive review and coaching meeting each quarter, within 30 days of end of quarter.	Agreed Actions	County Executive or official. System generated.	Governor, Ministers.	
Monthly update of ministry results in PMS within 7 days of month end.	PMS Update and Agreed Actions.	Efficiency Officer. System generated.	Minister, Chief Officer.	
Optional weekly Impact Updates to Ministers and Governor by PDOs or Efficiency Officers. eg by noon on Friday.	Service delivery insights and stories.	PDOs.	Governor, Ministers, Chief Officer, SRO	
Annual County Performance & Results Meeting	County ADP and CIDP results report. PC Reports for County Executives.	SDS. Performance Contracting Department.	Governor's Office. County Officials and Citizens.	

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

Reporting windows

Reporting windows define the rhythm of reporting and ensure timely information flow through the PMS from data producers to information consumers, for utilisation and impact.

The following timings are recommended as configuration settings for the electronic PMS.

- Reporting notification: one week before quarter end
- Reporting window opens: first day of quarter following
- Reporting window closes: ten days after start of quarter following
- Performance Contract quarter reporting: 14th of month following

Contents of PMS reports

A library of standard PMS reports should be developed and shared between counties as part of the county PMS. Each PMS report is derived wholly from the contents of the PMS, with different subsets of the information used in different reports. Hence a PMS report may include any or all of:

- Maturity Model status updates of Vital Few projects
- Performance Indicators for Vital Few projects where available
- Financial information (from IFMIS) where available
- Operational indicators (from Operational Systems such as HMIS) where available
- Evidence attachments
- Commentary – explanations
- Actions - action plan status

Format and presentation of PMS reports may be:

- Formatted by different templates such as in dashboards, infographic displays, documents or spreadsheets.
- Delivered online for ease of access and dissemination or in a form suitable for printing.
- Selectively accessible by different stakeholders – allowing different stakeholders within and outside the county to access different subsets of information based on security privileges.

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

Results entry, evidence and validation by the Project Delivery Officer (PDO)

Each line item of the county Results Matrix (project of the ADP or county service) is measured by an assessment and/or performance indicator. Each line item has pre-defined evidence, which should be used to demonstrate results, as defined in the County Results Matrix. An accountable PDO is responsible for gathering and entering results data for their owned project, service or indicators into the PMS. This results data should be supported by uploaded evidence and a narrative or commentary that demonstrates convincingly, based on the evidence provided, that the results claimed have been produced. The PMS reflects the difference between target and actual as a colour-coded "traffic light".

Where a project or service indicator is off track, behind plan or below target, the traffic light in the PMS will appear as yellow, orange or red, and corrective actions should be definec by the PDO and approved by the SRO.

The SRO is responsible for reviewing results data, evidence, commentary and corrective actions to confirm that the results claimed have been produced, or where appropriate that the corrective actions are expected to indeed correct any identified issues.

The SRO and PDO have two weeks from the end of a quarter in which to enter results data, and to upload evidence.

Automated reporting of Performance Contract results

Where a Performance Contract is monitored by the PMS, progress of the PMS is automatically reported with evidence accessible for review.

Automated generation of mandated and county reports

PMS reports on Annual Development Plan results and Service Delivery results are reported by the PMS. The PMS provides the ability to view and visualise subsets of the County Results Matrix. Other dashboards and reports may also be generated from the PMS.

PMS-A1: 3-5 Vital Few priority projects per ministry

COUNTY: _____ DATE: _____

EFFICIENCY OFFICER: _____ MINISTRY: _____

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Ministry/ Sector	Priority A, B, C	Flagship ✓ / ✗	In ADP? ✓ / ✗	In Mins PC? ✓ / ✗ Or Name	Project or Service Name Location/Division/ Constituency	Status (Maturity Model)	SMART Objectives for each project	Measures for each Objective	Evidence to be provided for evaluation of each indicator	Annual and Quarterly Target for each objective	Description of Activities	SMART Actions (see second page of Appendix A10 for format	SRO Senior Resp. Owner	PDO Project Delivery Officer

Complete form to define three high priority and high impact ADP projects per ministry.

CIMES-A7: Maturity Model for Reporting Status of ADP Projects

(Reproduced from the CIMES Guidelines for reference)

Achievement	Description	Relating to tables of Chapter 7 of CIDP
Proposed	☐	Status "Proposed" from Table I of Chapter 7 of CIDP
Stalled	☐	Status "Stalled" from Table II of Chapter 7 of CIDP
Unassigned	☐	"Unassigned" – "Impact" Relate to Status "Running" from Table I of Chapter 7 of CIDP
Assigned	☐	
Resourced	☐	
Plan	☐	
Off Track	☐	
On Track	☐	
Output	☐	
Outcome	☐	
Impact	☐	

This maturity model is indicative of CIMES ADP and CIDP project status checklists.

CIMES-A8: Template for CIDP and ADP Performance Management Results Matrix

(Reproduced from the CIMES Guidelines for reference)

Template for capture of CIPD/ADP M&E and Performance Management project results. Projects listed in Chapter 7 of CIDP in Tables i-iv.

This form indicates the information to be collected, but cannot be conveniently used in an A4 document format. In practice, to monitor, manage and evaluate CIPD projects an electronic system e-CIMES is required. In practice, to print this information, an A3 landscape printout is required. This template will be updated from time to time and available from MoDP (MED) and Council of Governors.

A	B	C	D	E	F	G	H
Ministry/ Sector	Priority **A, B, C**	Flagship ✓ / ✗	Project is in ADP? ✓ / ✗	In CEC Member's PC? ✓ / ✗ Or Name	Project or Service Name Location/ Division/ Constituency	Status (See A7 for ADP Reporting Maturity Model)	SMART Objectives for each project

Example maturity models are provided in e-CIMES for each of:

- County Annual Development Plan Projects (as indicated in A7 above)
- County Performance Contract (PC) objectives (as defined for county and national PC weighted scoring and evaluation).

RRI use: focus on 3 projects (Col F) per department (Col A) defining managers (Cols O and P) and SMART actions (Col M) using A10 SMART Action format.

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

I	J	K	L	M	N	O
Measures for each Objective	Evidence to be provided for evaluation of each Indicator	Annual and Quarterly Target for each objective	Description of Activities	SMART Actions (see second page of Appendix A10 for format	SRO Senior Resp. Owner	PDO Project Delivery Officer

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

COUNTY: _____ **DATE:** _____

EFFICIENCY OFFICER: _____ **MINISTRY:** _____

1. Ensure the commitment of the Governor to performance management and M&E as a tool for driving development results and a tool for holding CEC Members to account and for CEC Members to drive results.
2. Ensure the commitment of the County Secretary to performance management and M&E as a tool for coordinating the work of ministries and a mandated tool for Chief Officers and Directors.
3. Complete form A8 to define three high priority and high impact ADP projects per ministry.

A	B	C	D	E	F	G	H
Ministry/ Sector	Priority **A, B, C**	Flagship ✓ / ✗	In ADP? ✓ / ✗	In Mins PC? ✓ / ✗ Or Name	Project or Service Name Location/Division/ Constituency	Status (See A7 for ADP Reporting Maturity Model)	SMART Objectives for each project

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

I	J	K	L	M	N	O
Measures for each Objective	Evidence to be provided for evaluation of each Indicator	Annual and Quarterly Target for each objective	Description of Activities	SMART Actions (see second page of Appendix A10 for format	SRO Senior Resp. Owner	PDO Project Delivery Officer

PC GUIDELINES FOR COUNTY GOVERNMENTS 2017

1.8.12 Performance Reporting

All County Departments and Agencies will submit quarterly and annual performance reports **within one month following the end of a quarter/year** to the County Performance Management Secretariat /Service Delivery Units. The County performance reports will be submitted to the Council of Governors for onward transmission to the Inter Governmental Relations technical Committee and the Inter Governmental Budget and Economic Council. Quarterly progress reports on cross-cutting performance indicators should be submitted to the Council of Governors who will share with the lead/specialized agencies – as listed below:

CROSS–CUTTING PERFORMANCE INDICATOR	**INSTITUTION TO RECEIVE AND PROVIDE FEEDBACK**
Corruption Eradication/Governance	Ethics and Anti-Corruption Commission
Prevention of Alcohol and Drug Abuse	National Authority for the Campaign Against Alcohol and Drug Abuse
Automation	ICT Authority
HIV/AIDS Prevention	National Aids Control Council
Competency Development	Department in charge of human resource management and development in the County
Gender Mainstreaming	National Gender and Equality Commission
Disability Mainstreaming	National Council for Persons with Disabilities
Submission of Pensions Documents	Pensions Department/Lapfund
Resolution of Public Complaints	Commission on Administrative Justice
National Cohesion and National Values	Directorate of National Cohesion and National Values
Environmental Sustainability	National Environmental Management Authority
Vision 2030 Flagship Projects	Vision 2030 Delivery Secretariat

Through the Council of Governors, all lead/specialised agencies are required to issue an annual **Certificate of Compliance with a rating of performance** of the respective County Department or Agency on the respective indicator by **31st July**. The lead/specialised agencies are required to analyse and provide feedback to the reporting institutions through the Council of Governors **within one month from the date of receipt**.

NB. The Council of Governors shall monitor compliance with the Performance Contract Guidelines. The CoG shall in turn work with the said lead Agencies of the national government to assess performance of each county.

There will be consultations and collaborations between the national and county governments to ensure that national and international indicators are tracked in terms of development, monitoring and reporting.

NOTE 1: Only one report per indicator will be issued per County.

NOTE 2: Lead/specialized agencies are required to upload their reporting formats in their respective websites for ease of access.

SECTION 2 – REPORTING FORMATS

2.0 Classification of Reporting

As indicated in sub-section 1.8.9, performance reports will be made **quarterly** and **annually.** Sub-sections 2.1 and 2.2 below elaborate on the respective reporting formats.

2.1 Quarterly Reporting

Forms 'A' series provide the prescribed format for quarterly progress reporting on each criteria category. While the ***Target for Quarter*** (Column C) may not have been explicitly agreed on in the contract, it is expected that every County Department or Agency will have set its own quarterly targets as milestones towards achieving the agreed ***Target for the Contract Period*** (Column A). The agencies are required to explain the *Quarterly* and *Cumulative* variances, including remedial actions, where applicable.

QUARTERLY PERFORMANCE REPORT **FORM 1A** **QUARTER ENDING .....** **PERFORMANCE INDICATORS FOR: County Agency X**												
FINANCE & STEWARDSHIP INDICATORS *(Examples of Performance Indicators provided here below)*		UNIT OF MEASURE	TARGET FOR CONTRACT PERIOD	**QUARTER**			**CUMULATIVE TO DATE**					
				ACTUAL	TARGET FOR QUARTER	VARIANCE (B – C)	ACTUAL	TARGET	VARIANCE (E-F)	SCORE	RECOMMENDATIONS
			A	B	C	D	E	F	G		
1	Amount of Revenue collected										
2											
3											
4											
OVERALL COMMENTS ON SIGNFICANT VARIANCES [(UN)FAVOURABLE, CAUSES AND ANY ACTION TAKEN]												

Form 1A above provides the format in which the quarterly progress report for Finance and Stewardship performance indicators are prepared and submitted. Similarly, the same format for

forms **2A**, **3A, 4A, 5A, 6A** and **7A** will provide the format in which quarterly progress reports for Service Delivery, Non-Financial, Operations (Core Functions / Mandate), Dynamic/Qualitative, Corruption Eradication/Governance and National Cohesion and National Values performance indicators respectively must be prepared and submitted for every quarter by County Departments and Agencies on PC.

Forms 'B' series provide the prescribed format for capturing the trend when reporting on quarterly progress for each criteria category. The trend is captured by comparing actual and cumulative achievement for the quarter with a similar period the previous year. County Departments and Agencies are required to explain the Quarterly and Cumulative variances, including remedial actions, where applicable.

QUARTERLY PERFORMANCE REPORT **FORM 1B** **QUARTER ENDING .....** **PERFORMANCE INDICATORS FOR: County Agency X**										
FINANCE & STEWARDSHIP INDICATORS *(Examples of Performance Indicators provided below)*		UNIT OF MEASURE	**QUARTER**			**CUMULATIVE TO DATE**				
			ACTUAL	ACTUAL SAME PERIOD LAST YEAR	VARIANCE (A – B)	ACTUAL	ACTUAL SAME PERIOD LAST YEAR	VARIANCE (D –E)	SCORE	RECOMMENDATIONS
			A	B	C	D	E	F		
1										
2										
3										
4										
OVERALL COMMENTS ON SIGNFICANT VARIANCES [(UN)FAVOURABLE, CAUSES AND ANY ACTION TAKEN]: …… …… ……										

Form 1B above provides the prescribed format for capturing the trend when preparing quarterly progress reports for Finance and Stewardship performance indicators. Similarly, the same format for forms **2B**, **3B, 4B, 5B, 6B** and **7B** will provide the format in which Service Delivery, Non-Financial, Operations, Dynamic/Qualitative, Corruption Eradication/ Governance and National Cohesion and National Values performance indicators respectively must be prepared and submitted every quarter by County Departments and Agencies on PC.

The Departments and Agencies are required to submit Quarterly Progress Reports for each quarter to the Performance Management Secretariat **within 30 days after end of the quarter.**

2.2 End-of-Year Reporting

Form 1 below provides the format for submitting annual performance report on Finance and Stewardship performance indicators. Similarly, the same format for forms **3, 5, 7, 9, 11** and **13** will provide the format in which Service Delivery, Non-Financial, Operations, Dynamic/Qualitative, Corruption Eradication/Governance and National Cohesion and National Values performance indicators respectively must be prepared and submitted by County Departments and Agencies on PC at the end of the contract period.

ANNUAL PERFORMANCE REPORT **FORM 1** **YEAR ENDING .....** **PERFORMANCE INDICATORS FOR: County Agency X**								
FINANCE & STEWARDSHIP INDICATORS:		UNIT OF MEASURE		**CUMULATIVE FOR YEAR**				
				ACTUAL	TARGET	VARIANCE (A-B)	SCORE	RECOMMENDATIONS
				A	B	C		
1	Utilization of Allocated Funds							
2	Debt Management							
3								
4								
OVERALL COMMENTS ON SIGNFICANT VARIANCE [(UN)FAVOURABLE, CAUSES AND ANY ACTION TAKEN]:								

Form 2 below provides the prescribed format for capturing the trend when reporting annual performance for Finance and Stewardship performance indicators. Similarly, the same format for forms **4**, **6, 8, 10, 12** and **14** will provide the format in which annual performance report for Service Delivery, Non-Financial, Operations, Dynamic/Qualitative, Corruption Eradication/ Governance, National Cohesion and National Values performance indicators will be prepared and submitted by County Departments and Agencies on PC. The trend is captured when actual achievement is compared with the actual achievement for a similar period the previous year.

ANNUAL PERFORMANCE REPORT **FORM 2** **YEAR ENDING .....** **PERFORMANCE INDICATORS FOR: County Agency X**								
FINANCE & STEWARDSHIP INDICATORS:		UNITS OF MEASURE		**CUMULATIVE FOR YEAR**				
				ACTUAL	ACTUAL SAME PERIOD LAST YEAR	VARIANCE (A-B)	SCORE	RECOMMENDATIONS
				A	B	C		
1	Utilization of Allocated Funds							
2	Debt Management							
3								
4								
OVERALL COMMENTS ON ANY VARIANCE [(UN)FAVOURABLE, CAUSES AND ANY ACTION TAKEN]:								

The County Department or Agency is required to submit (to the Performance Management Secretariat) annual performance report detailing actual achievement against targets that are contained in their respective performance contracts **within 30 days after the end of the contract period**.

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING

EXTRACTS FROM CIMES GUIDELINES, PC GUIDELINES AND PMS HANDBOOK ON REPORTING