



REPUBLIC OF KENYA

THE NATIONAL TREASURY AND PLANNING

STATE DEPARTMENT FOR PLANNING



MONITORING AND EVALUATION NORMS AND STANDARDS



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Monitoring and Evaluation Directorate
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LIST OF ACRONYMS AND ABBREVIATIONS

ADP	Annual Development Plan
APR	Annual Progress Report
AWP	Annual Work plan
CAPR	County Annual Progress Report
CIDP	County Integrated Development Plan
CIMES	County Integrated Monitoring and Evaluation System
eCIMES	Electronic County Integrated Monitoring and Evaluation System
eNIMES	Electronic National Integrated Monitoring and Evaluation System
ETRG	Evaluation Technical Reference Group
M&E	Monitoring and Evaluation
MED	Monitoring and Evaluation Directorate
MTPs	Medium-Term Plans
NIMES	National Integrated Monitoring and Evaluation System
RBME	Results Based Monitoring and Evaluation
SMART	Specific Measurable Achievable Realistic Time-bound
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund

Definition of Key Terms

Accountability: obligation to demonstrate results realised against the plans and resources utilised.

Activities: Actions taken, or work performed through which inputs are utilized to produce outputs.

Commissioning institution: Public Sector Institution that initiates, oversees and coordinate an evaluation.

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

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

Interventions: The different types of development and humanitarian efforts such as a project, programme, policy, strategy aimed at a desirable change.

Monitoring: A continuous process of collecting and analyzing data to compare how well a project, program, or policy is being implemented against expected results.

Monitoring & Evaluation findings/Results information: information generated from M&E processes and include an intervention's achievements, challenges, lessons learned and recommendations.

Norms: are rules, behaviour and attitudes considered as good practice in establishing and operationalizing a robust and effective M&E system.

Project life cycle: The sequence of phases that a project goes through from its initiation to its closure.

Public Sector Institution: an organization established under the National or County Government.

Results: The outputs, outcomes or impacts of a development intervention.

Review: An assessment of the performance of an intervention, periodically or on an ad hoc basis.

Standards: These are requirements, specifications, guidelines, or characteristics that are used consistently to ensure that M&E systems, processes, practices, products and services have uniformity.

SECTION ONE: INTRODUCTION

1.1 Background

The National Treasury and Planning through the State Department for Planning is entrusted with the role of providing leadership in formulation the Kenya Vision 2030's Medium Term Plans (MTPs) as well as tracking their implementation. Tracking and reporting is conducted within the National Integrated Monitoring and Evaluation System (NIMES) framework. NIMES was established to provide a mechanism to track implementation of policies, programmes and projects contained in development plans including the Medium Term Plans (MTPs) of Kenya Vision 2030, the Big Four Agenda, Sustainable Development Goals (SDGs) and other international obligations. The Monitoring and Evaluation Directorate (MED) coordinates implementation of the NIMES and provides training and technical assistance for establishment and operationalisation of County Integrated Monitoring and Evaluation System (CIMES). CIMES provides a mechanism to track implementation of County Intergrated Development Plans (CIDPs).

Through NIMES, MED has undertaken various initiatives to strengthen the Monitoring and Evaluation (M&E) function in the country, including entrenching an M&E culture through targeted Results Based Monitoring and Evaluation (RBME) trainings, annual M&E experience sharing and learning forums and development of CIMES guidelines. This has resulted in institutionalisation of M&E as evidenced by regular reporting by government entities. As M&E function takes root in the Country, there is need for Norms and Standards for Monitoring, Evaluating, Reporting and utilisation of M&E findings that allow uniformity in their interpretation.

1.2 Rationale of the Norms and Standards

The role of M&E as a tool for promoting accountability and good governance in the public sector has led to the growth in demand for M&E and production of useful information on public policies, programmes and projects for decision making. This has been undertaken through the NIMES and CIMES at National and County levels respectively. However, implementation of the M&E function varies across institutions in the public sector. M&E processes and outputs are also not guided by shared basic principles and applied good practices. In addition, learning and improvement from M&E findings is not entrenched in development management. Therefore, the purpose of the Norms and Standards is to provide a credible basis for evidence based decision-making and promote learning in the Public Sector.

1.3 Objectives

The objectives of the norms and standards are to:

- (i) harmonize the implementation of M&E function across all public sector institutions;
- (ii) enhance the quality of Monitoring, evaluating and reporting on implementation of the development interventions; and
- (iii) Inculcate acceptable ethical and moral principles in the M&E practice in the Public Sector.

1.4 Scope

The Norms and Standards is designed primarily for institutions and/or individuals undertaking Monitoring and Evaluation of Public Policies, programmes and Projects at both national and county levels. The private sector institutions and individuals can adopt these Norms and Standards to suit their needs.

1.5 Organisation

The document is organised into three sections. The first section presents the background, rationale, objectives, purpose and scope of the Norms and Standards. Sections two and three presents the Monitoring and Evaluation Norms and Standards respectively.

SECTION TWO: MONITORING AND EVALUATION NORMS

This section outlines the Monitoring and Evaluation norms to be observed by Public Sector institutions.

Norm 1: Focus on Constitutional Provisions, National Development Agenda and International Commitments

Norm 1.1 Constitutional Provisions

Overall, the M&E practice in the public sector should observe the letter and spirit of the Constitution. Specifically, the M&E practice should uphold and promote the National Values and Principles of Governance and other relevant provisions in the Constitution as provided in Article 10 1 (c) and (d) and Article 232 1(a-f).

Norm 1.2 National Development Agenda

The M&E practice should focus on assessing and improving implementation of the National Development Agenda, including the Kenya Vision 2030 and its MTPs at National level and County Integrated Development Plan (CIDP) at the County level.

Norm 1.3 International Commitments

The M&E practice should track, promote and contribute to achievement of International Commitments that the country ascribes to including: Sustainable Development Goals and Africa Agenda 2063, among others.

Norm 2: Utility

The M&E function should endeavour to generate information that is useful and meet stakeholders needs. M&E findings are presented and disseminated in an appropriate format and timely manner for utilisation. Findings should be objective, reliable, consistent and dependable to aid timely corrective actions, contribute to institutional learning, informed decision-making processes, accountability for results and generating knowledge and empowering stakeholders.

Norm 3: Credibility

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

Norm 4: Ethics

The M&E practice should observe highest standards of integrity and respect for the beliefs, manners and customs of the social and cultural environment. It should also consider human rights and gender equality throughout all its processes. The design, conduct and management of the M&E practice should conform to agreed ethical standards and government protocols.

Norm 5: Participatory

The M&E processes should provide an opportunity for engagement of stakeholders at various levels of project cycle. This will increase ownership of the project and its sustainability.

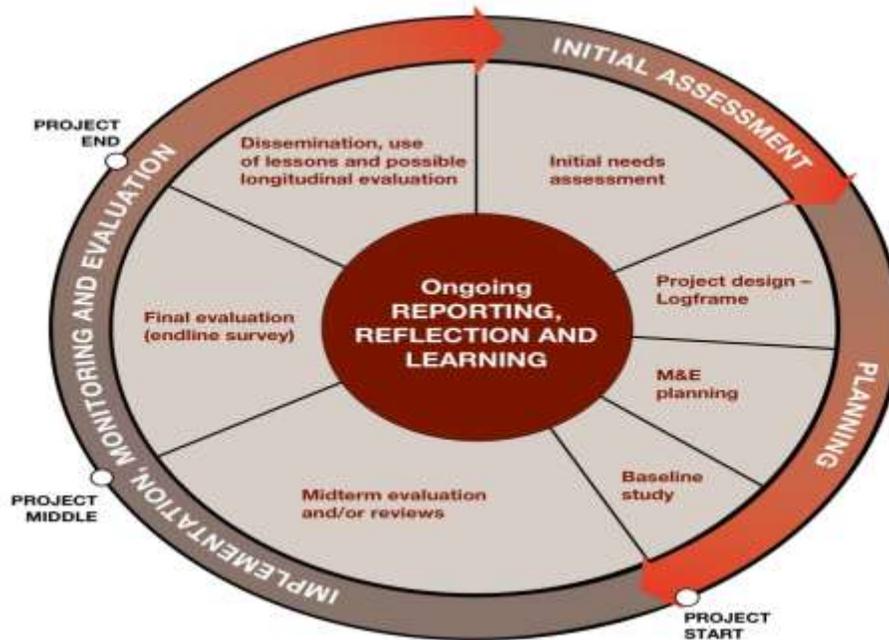
Norm 6. Organizational Culture.

Public Sector Institutions should promote an organizational culture that values M&E as a basis for accountability, learning and evidence-based decision-making.

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SECTION THREE: MONITORING AND EVALUATION STANDARDS

This section outlines the standards for Monitoring and Evaluation during the planning & implementation phases of public policies, programmes and projects. It also highlights Standards for promoting use of M&E information and for effective implementation of the Monitoring and Evaluation System.



Adopted from International Federation of Red Cross Project/programme monitoring and evaluation (M&E) guide, 2011

Figure 1: The M&E Cycle in any Programme/Project

1: Policy, Programme/Project Design Standards

Standards at planning phase set the stage for conducting quality monitoring and evaluation of Policy, Programme and Projects.

Standard 1.1: Measurable Results

Development plans e.g MTPs and CIDPs prepared by a public sector institution have Specific Measurable Achievable Realistic Time-bound (SMART) output and outcome indicators with baseline data.

Standard 1.2: Monitoring plan

A public sector institution prepares a monitoring plan for each development plan, clearly describing what shall be monitored, type of data and information required and their sources, data collection methods and tools, frequency of data collection and responsibility.

Standard 1.3: Evaluation Plan

A public sector institution prepares an evaluation plan clearly outlining programmes and projects in the development plan to be evaluated, the purpose, type of evaluation, timelines, partners to be involved and responsibility.

Standard 1.4: Budget for M&E

A public sector institution prepares a budget and allocates adequate funds to implement monitoring and evaluation plans. The budget should be realistic, clear, responsive to learning and knowledge management.

2: Policy, Programme and Project Monitoring Standards

Monitoring standards provide for an approach to collection of monitoring data and reporting of findings.

Standard 2.1: Monitoring AWP/ADPs Implementation

A Public sector institution:

- 2.1.1 Undertakes continuous monitoring of implementation of Annual Work Plans (AWPs) and Annual Development Plans (ADPs);
- 2.1.2 Conducts regular field visits to verify project implementation status ; and
- 2.1.3 Conducts meetings to review progress, corrective action and feedback.

Standard 2.2: Reporting on results

A Public sector institution:

- 2.2.1. Prepare quarter and annual reports based on output/outcome indicators using prescribed templates and formats; and
- 2.2.2. Regularly upload information on implementation progress into electronic national integrated monitoring and evaluation system (eNIMES) or CIMES for real time reporting.

3: Evaluation Standards

The evaluation standards provide the basic requirements in evaluation of public policies, programmes and projects. These standards are to be observed with reference to the Kenya Evaluation Guidelines.

Standard 3.1: Planning for evaluation

In planning for an evaluation the commissioning Public sector institution:

- 3.1.1. Prepares a plan for conducting an evaluation with details on the timelines, purpose, type of evaluation/method of evaluation, scope, design, stakeholders and their responsibilities, communication and dissemination of findings strategy;
- 3.1.2. Appoints an evaluation manager to ensure that the evaluation is conducted in adherence to the Evaluation guidelines. The evaluation manager heads the Evaluation Technical Reference Group (ETRG);
- 3.1.3. Constitutes an ETRG comprising of technical experts in the field relevant to the evaluation being conducted. The ETRG is expected provide oversight on the entire evaluation process.
- 3.1.4. Appoints an evaluation team.

Standard 3.2: Conducting Evaluation

The evaluation is conducted based on the evaluation criteria and questions in accordance with requirements of the Kenya Evaluation Guidelines.

Standard 3.3: Evaluation Report

An Evaluation report:

- 3.3.1 Is logically structured and contains evidence-based findings, lessons learnt and recommendations.
- 3.3.2 Meets information needs of users; and
- 3.3.3 Is approved by Management or Commissioning public sector institution.

Standard 3.4: Dissemination, Communication and use of Evaluation Findings

The Public Sector Institution ensures that:

- 3.4.1 There is dissemination plan in place;
- 3.4.2 Evaluation findings are packaged and disseminated to all stakeholders in line with a dissemination plan;
- 3.4.3 Management response on the evaluation is prepared and shared with responsible officers for action; and
- 3.4.4 Evaluation findings, lessons learnt and recommendations are used for evidence-based decision-making.

4: Learning and Adaptation Standards

The learning and adaptation standards provide for the use of M&E findings for evidence-based decision making and continuous improvement.

Standard 4.1: Documentation of Lessons learnt

A public sector Institution documents lessons learnt with clear indication on how they can be incorporated into current/future planning and implementation processes.

Standard 4.2 Storage of results information

Results information is documented and stored in a central repository (electronic or non-electronic database), updated on a regular basis, readily available and easily accessible for use.

Standard 4.3: Communication of Results information

Results information is communicated to both internal and external stakeholders as per the institution's communication strategy.

Standard 4.4 Utilisation of results information

A public sector institution ensures that results information from M&E reports such as APRs /CAPRs/PERs and Reviews is regularly used for:

- 4.4.1 continuous learning and adaptive management.
- 4.4.2 evidence based decision making including planning and resources allocation.

Standard 4.5: Implementation of recommendations.

A public sector institution tracks the implementation of recommendations from Monitoring and Evaluation reports.

5: M&E Human Resource Standards

The M&E human resource standards ensure an institution has adequate staff with requisite technical skills to implement the M&E function.

Standard 5.1: M&E Staff Establishment

A public sector institution has an approved establishment for M&E staff, including required staff positions and numbers aligned to the M&E institutional framework.

Standard 5.2: M&E competencies

A Public Sector Institution has:

- 5.2.1 clearly defined M&E competencies for the various positions/roles in the M&E function.
- 5.2.2 a plan for M&E staff to continuously participate in professional development and training to improve their skills and competencies.

Standard 5.3: Scheme of Service / Career Progression Guidelines for M&E Staff

A Public Sector Institution develops and implements a Scheme of Service / career progression guidelines for M&E Staff.

Standard 5.4: Recruitment of M&E Staff

A Public Sector Institution recruits staff to provide/strengthen the capacity to implement the M&E function as per the approved establishment. These include:

- 5.4.1 Recruited staff have the right skills and competencies required to carry out M&E roles and responsibilities.
- 5.4.2 The recruitment process of M&E staff is guided by the respective Public Sector Institution recruitment policy and regulations.

6: Institutional Framework Standards

The standards ensures that a public sector institution has adequate institutional and policy framework for effective implementation of the M&E function.

Standard 6.1: Institutional Structures for M&E

A Public Sector institution has:

- 6.1.1 Directorates/Departments/units for coordination of the M&E function
- 6.1.2 Operational M&E Committees
- 6.1.3 Established partnerships and cooperations with stakeholders.

Standard 6.2: M&E Policy and Guidelines

Implementation of the M&E function in a public sector institution is guided by an M&E policy and guidelines.

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6. UNEG Norms and Standards for Evaluation, 2016;

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ANNEXES

Annex I: Evidence for Standards Compliance

Standards	Evidences
1. Policy, Programme/Project Design Standards	
Standard 1.1: Development Plans have measurable Results	M&E framework in all development plans
Standard 1.2: Development Plans have monitoring plan	Monitoring Plan
Standard 1.3 :Development Plans have Evaluation Plan	National Evaluation Plan County Evaluation Plan
Standard 1.4: Development Plans have a Budget for M&E	Costed M&E Plan
2. Policy, Programme/Project Monitoring Standards	
Standard 2.1: Clear data collection methods and tools	Data collection tools
Standard 2.2: Monitoring AWP/ADPs Implementation	Field visits, review meetings reports
Standard 2.3: Reporting on results	Quarterly and Annual progress reports (using provided formats)
3. Evaluation Standards	
Standard 3.1 planning the evaluation	TORs Inception report Evaluation Technical Reference Group (ETRG) Evaluation team
Standard 3.2: Conducting Evaluation	Field visits, review meetings reports
Standard 3.3: Evaluation Report	An approved evaluation report
Standard 3.4: Dissemination, Communication and use of Evaluation Findings	Dissemination plan/ report Management Response
4. Learning and Adaptation Standards	
Standard 4.1: Documentation of Lessons learnt	
Standard 4.2 Storage of results information	An updated database for M&E findings
Standard 4.3: Effective Communication of Results information	<ul style="list-style-type: none"> • A communication strategy • Communication and learning forums held
Standard 4.4 Utilisation of results information from APRs CAPRs and Reviews	

5.M&E Human Resources Standards	
Standard 5.1: M&E Staff Establishment	M&E Human Resource Competencies Framework
Standard 5.2: M&E competencies	
Standard 5.3: Scheme of Service for M&E Staff	Scheme of service / career progression guidelines for M&E staff
Standard 5.4: Recruitment of M&E Staff	
6: Institutional Framework Standards	
Standard 6.1: Institutional Structures for M&E	Institutional framework
Standard 6.2: M&E Policy and Guidelines	M&E Policy Guidelines Tool kit

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