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# KISII NATIONAL POLYTECHNIC

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## MONITORING AND EVALUATION POLICY

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KNP /MEP/10

First Edition 2020



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**CONTROLLED**

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## KISII NATIONAL POLYTECHNIC

<b>MONITORING AND EVALUATION POLICY</b>		<b>Policy No.</b> KNP/MEP/10
<b>Principal's Signature</b>		<b>Date</b> 6/5/2021
<b>Approval by Governing Council Chairman's Signature</b>		<b>Date</b> 6/5/2021
<b>Responsible Office</b>	MONITORING AND EVALUATION OFFICE	



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## **FOREWORD**

Kisii National Polytechnic is continuously committed to raising its training standards and achieving its core mandate. Central to achieving this aim is having effective procedures for Monitoring and Evaluation that involves all members of the Polytechnic.

Monitoring and evaluation alone does not lead to success, but a strong assessment culture has a great stake in any organizational improvement.

This policy will specifically be limited to the Monitoring and Evaluation of the: KNP Strategic Plan, KNP Performance Contract and all other KNP programmes, policies, activities or project interventions

KNP closely links M&E with planning, accountability and improvement. This enables KNP to use the feedback collected from M&E to improve planning processes and this in return improves program outputs, outcomes and impact.

Finally, this M&E policy, and the M&E function, more broadly, must be considered in the context of an internal policy environment that includes Code of Conduct and Anti-Fraud policies, as well as an internal Oversight and Internal Audit Function.

Prof. KisiluKitainge

Chairman Governing Council

## **1.0 INTRODUCTION**

### **1.1 HISTORICAL BACKGROUND**

Kisii National Polytechnic was founded in 1971 as a Harambee Institute of Technology. It was registered in 1972 under the Education Act. CAP 212 of the laws of Kenya with the objective of providing technical education and training for youths. It was moved from St. Vincent Centre where it was initially housed, to the current site in 1980. The first buildings to be put up were Woodwork Technology and Mechanical Engineering workshops, Typing Pool, Hostels, Kitchen and Dining hall. The curriculum then was Secretarial and Building technology. The institute was elevated to a national polytechnic in May 2016 through Legal notice No. 93. Since then more courses have been introduced and currently Kisii National Polytechnic offers more than eighty-eight (88) courses in Certificate and Diploma levels.

Science and Technology (S&T) activities have been recognized in the institution since its inception as vital to social and economic development. There has been rapid expansion of Science and Technology since the enactment of Science and Technology Act CAP 250 of the laws of Kenya (1977).

The college is managed by the Governing council and college administration comprising of the Principal, Deputy Principals, the Registrar, the Dean of Students, Heads of Departments and their Deputies. Day to day learning activities in the college is managed by the Departments.

## **1.2 LIST OF ABBREVIATIONS AND ACRONYMS**

ESK----- Evaluation Society of Kenya

KNP----- Kisii National Polytechnic

MED-----Monitoring and Evaluation Department

M&E----- Monitoring and Evaluation

NGOs----- Non-Governmental Organizations

ISO----- International Organization for Standardization



### **1.3 VISION, MISSION AND CORE VALUES**

#### **1. Vision**

“To be the preferred training institution for technical and vocational skills development”

#### **2. Mission**

To develop highly qualified, globally competitive and innovative human resource by providing quality Training, applied Research & extension and Entrepreneurship skills that are responsive to market demands.

#### **3. Core values**

1. Professionalism and Excellence
2. Creativity and Innovativeness
3. Team work
4. Integrity
5. Accountability and Transparency

#### **4. Mandate**

The mandate of the polytechnic is to develop an institution with excellence in training, scholarship, entrepreneurship, research, consultancy, community service and products with emphasis on technology, its development, impact and application within and outside Kenya.

### **1.4 APPLICABILITY**

- a) All aspects of the Polytechnic work should be monitored, evaluated and reviewed
- b) All stakeholders should be involved in monitoring and evaluation activities and should understand their role in the monitoring and evaluation process
- c) All monitoring and evaluation should have a focus. There should be a shared understanding of the focus between the person monitoring and those to be monitored
- d) Monitoring should identify priorities that lead to improvement and promote high standards
- e) Monitoring should create a climate which enables all staff to develop and maintain positive attitudes towards their work

- f) Monitoring should track progress on plans and targets for development and should use evaluation, analysis and discussion to guide further improvement
- g) The intention is to monitor policy and practice, not people, and to foster a spirit of 'development' rather than 'criticism'
- h) The process should celebrate success, recognize strengths and identify areas for improvement
- i) An effective Monitoring and Evaluation process should lead to action and inform Polytechnic improvement
- j) Monitoring and Evaluation systems should be manageable
- k) Everyone should work according to agreed criteria

## **1.5 DEFINITIONS**

### **1.5.1 MONITORING**

Is the systematic process of observing and recording on a regular basis the activities carried out in a project, to ensure that they are in line with the objectives. It focusses on program inputs, activities and outputs.

It keeps a track on the progress and checks the quality of the project or program, its weaknesses or strengths.

Monitoring is the process of gathering evidence to answer questions about the effectiveness of an intervention

### **1.5.2 EVALUATION**

Evaluation is the weighing up of evidence against criteria and reporting the findings

Is an objective and rigorous analysis of a continuing or completed project, to determine its significance, effectiveness, impact and sustainability, comparing the results with the set standards. It is a process of passing value judgement concerning the performance level or attainment of defined objectives.

### **1.5.3 REVIEW**

Is deciding what action, if any, needs to be taken

## **1.6 FOCUS OF MONITORING AND EVALUATION**

### **1.6.1 Monitoring**

Monitoring will be undertaken internally and will focus on the following:

- a) Process Monitoring: To establish what has been done, where, when and how i.e. whether project tasks and activities are leading to the required results

- b) Technical Monitoring: Assess whether strategy used in project implementation is suitable.
- c) Assumption Monitoring: Assess factors outside control of organization that may affect objectives e.g. taxation, risks etc
- d) Financial Monitoring: Measures project expenditure against budgets i.e. financial efficiency
- e) Impact Monitoring.: Assess overall and long-term effects of project outcome
- f) Project Monitoring: Measures and reports on the progress of a project being implemented.

### **1.6.2 EVALUATION**

The evaluations to be carried out include:

- a) Formative Evaluations: Conducted before a programme begins to confirm viability or detect potential problems at the outset
- b) Process Evaluation: Done during implementation process to identify any issues of efficiency
- c) Outcome Evaluations: Helps to determine whether overall objectives have been met, what might have limited changes.
- d) Impact Evaluations: Measures long term effects of a programme..
- e) Terminal/Summative Evaluation: Done at the end of programme implementation to assess performance and overall impact
- f) Project Evaluations: Will assess relevance, effectiveness, efficiency, sustainability and impact of a project.
- g) Strategic Reviews: Assess performance of organisation as a whole or its sections.
- h) Policy Evaluations: Assess implementation and results of Policies, Resolutions and Recommendations
- i) Discretionary Evaluations: Are high-level achievement assessments e.g. impact evaluation, return on investment evaluations). Such evaluations are discretionary, unless specifically requested.

The Polytechnic acknowledges that all undertakings necessarily merit evaluation

### **1.7 RELATED INFORMATION**

The procedures related to this policy in its operationalization include:

- a) MED Policy Guidelines
- b) ESK Policy Guidelines
- c) KNP Internal Control and Procedures Policy
- d) KNP Quality Management Manual
- e) KNP Code of Conduct
- f) Anti-Fraud Policies
- g) KNP Internal Audit Guidelines

## **2.0 PURPOSE OF THE POLICY**

The overall aim of this policy is to provide common structures and standards across the Polytechnic that govern the application of effective monitoring and evaluation systems and processes with a view to maximizing the benefits from KNP interventions

### **2.1 OBJECTIVES OF THE POLICY**

This policy seeks to specifically:

- I. Set out minimum requirements and principles to be respected, as well as roles and responsibilities
- II. Assist in guiding systematic tracking of the implementation of programmes, activities and projects.
- III. To provide procedures for carrying out effective monitoring and evaluations and regular intervention progress reports to Management, to promote accountability in programme implementation
- IV. To promote evidence-based Management by revealing mistakes/weaknesses and successes for learning and improvements, for making informed decisions in operations, management and service delivery.
- V. To identify the status of project implementation in relation to targets and the extent to which the programme/project is having the desired impact.
- VI. To keep project implementers on track.
- VII. To use evaluations to comply with laws/regulations/policies.

### **2.2 SCOPE**

This framework applies to the entirety of the Polytechnic's main operations and programmes

All KNP program implementers and staff shall comply with this policy and therefore they constitute its primary audience.

## **3.0. ROLES AND RESPONSIBILITIES**

The Polytechnic shall have a shared system of roles and responsibilities in performing monitoring and evaluation functions.

### **3.1. THE PRINCIPAL**

The Principal on behalf of the Council,

provides the overall direction, leadership and management of the Polytechnic. His roles and responsibilities include:



- a) Is responsible for overseeing the evaluation function, including approving the M&E Policy
- b) Receiving, considering and acting on evaluation reports,
- c) Overseeing the KNP Programme, approving annual work plans and M&E reports.
- d) Appointing M&E team and facilitating the evaluation function.
- e) Can request specific evaluations and updates on the implementation of the recommendations of completed evaluations.

### **3.2 HOD MONITORING AND EVALUATION**

Reporting directly to the Principal, the Head of M&E Department has the following roles and responsibilities:

- a) Coordinating M&E activities
- b) Ensuring timely and credible M&E reports
- c) Implementation of the M&E Policy
- d) Ensuring M&E tools are in line with best practice.
- e) Develop, implement and promotes standards for M&E and quality assurance;
- f) Formulate annual M&E work plans within the established budgetary appropriations
- g) Acts as focal point for any external evaluation being undertaken by a donor or other partner;
- h) Maintains a public repository of evaluation reports to ensure transparency and facilitating the integration of lessons learned and best practice
- i) Collaborates and coordinates with KNP entities on issues related to monitoring and evaluation to contribute to efforts to strengthen evaluation capacities.

### **3.3 MEMBERS OF M&E DEPARTMENT**

The members, appointed by the Principal, are expected to carry out the following activities:

- i. Carrying out credible evaluations as outlined in the policy.
- ii. Assisting in ensuring high credibility of M&E reports
- iii. Helping in developing a strong culture of evaluation throughout the Polytechnic
- iv. Implementing M&E policy

### **3.4 PROGRAMME IMPLEMENTERS**

Are Heads of Departments and Sections responsible for programme implementation.

Roles include:

- a. Implementation of KNP interventions
- b. Carrying out self-evaluations
- c. Acting on M&E reports and recommendations

## **4.0 POLICY STATEMENTS**

### **4.1 MONITORING AND EVALUATION GUIDING PRINCIPLES**

All M&E work shall adhere to the following set of guidelines.

**(a) Results-Oriented Accountability.**

It shall positively contribute to policy, programme and overall objectives of the Polytechnic.

**(b) Improving Planning and Delivery**

M&E shall provide useful findings and recommendations, to improve results, planning, decision-making and strategy formulation at all levels.

**(c ) Quality Control**

M&E reports and recommendations shall contribute to better decisions, processes and outputs..

**(d) Supporting an Evaluation Culture**

Helping to support learning and using M&E as a tool to improve work and results.

**(e) Working in Partnership**

Involving all stakeholders affected by the outcome of M&E work.

**(f) Transparency**

Openness of M&E process and reporting

**(g) Access**

M&E results, final reports, as well as management responses shall be publicly available.

**(h) Ethics**

M&E processes shall be complete and fair, guarding against distortion arising from personal feelings, biases, vested/conflict of interests of any party to the evaluation.

**(i) Independence**

M&E processes shall truthfully and honestly describe successes and shortcomings to ensure credibility and maximize benefits.

**(j) Credibility**

M&E shall be carried out according to a high quality of accepted standards in the professional field and based on reliable data and observations.

**(k) Utility**

M&E shall serve the information needs of intended users, be useful and used in decision-making and programme improvement.

## **4.2 MONITORING AND EVALUATION CRITERIA**

### **4.2.1 MONITORING CRITERIA**

In line with RBM, information collected through monitoring shall comply with the following SMART criteria:

- (S) Specific - The information captured measures what it is supposed to measure, the data collected must clearly and directly relate to the achievement of an objective.
- (M) Measurable – Information required can be practically collected using measurable indicators.
- (A) Achievable – Any changes measured must be feasible in the given timeframe.
- (R) Relevant – Monitoring results must make a contribution to selected priorities.
- (T) Time-bound – Monitoring shall track desired changes within a set period.

### **4.2.2 EVALUATION CRITERIA**

Evaluations shall be based on five major criteria:

- a) Relevance – The extent to which the policy, programme or project is contributing to the strategic direction of the Polytechnic, if it is appropriate.
- b) Effectiveness – The extent to which the policy, programme or project is meeting its objectives, whether it is performing well.
- c) Efficiency – The extent to which the policy, programme or project is using its resources cost effectively, whether the quality and quantity of results achieved justify the resources invested, and if there are more cost-effective methods of achieving the same result.
- d) Impact – The positive, negative, primary, secondary and long-term effects of an intervention directly, indirectly, intended or unintended i.e. the difference the activity has made.
- e) Sustainability – Whether there is an enabling environment to support continuity of policy, programme or project outcomes. The extent activities and outputs can be maintained after development support is withdrawn.

## **5.0 PROCEDURES**

M&E of the Polytechnic activities shall rely on observations, interviews, questionnaires and documented records to collect relevant data. Key steps shall include

- a) Construction of M&E schedules
- b) Sensitization of programme implementers/stakeholders on M&E
- c) Preparation of suitable M&E tools
- d) Collection of relevant data, done daily, quarterly and annually
- e) Analysis and writing of final reports and recommendations
- f) Dissemination of final reports and recommendations to authorized Officers, in hard and soft copies.
- g) Actions and responses on final reports and recommendations
- h) Keeping a repository of all M&E reports

## **6.0 TIMING OF EVALUATIONS**

Evaluation will be performed quarterly, or at appropriate suitable times to address different elements of the results chain.

## **7.0 CATEGORIES OF EVALUATIONS**

The Polytechnic shall undertake two broad categories of evaluations

- a) M & E Department evaluations: Are independent assessments conducted and managed by the Polytechnic's Monitoring and Evaluation Department, at their own discretion, within approved timelines, or at the request of the Polytechnic Management.
- b) Decentralized evaluations: Are self-assessments conducted by the Polytechnic's Departments or Sections, are self-evaluations, not considered to be in-depth

External evaluations may also be undertaken by Donors or other Partners.

## **8.0 KNOWLEDGE MANAGEMENT**

The creation, storage, management, dissemination and uptake of knowledge is essential, including knowledge produced from evaluative undertakings. To promote evaluation use, organizational learning and quality improvement of the Polytechnic's products and services, a learning forum will be organized periodically to share lessons learned on evaluation processes and outcomes.

## **9.0 . CONDUCT OF THE M&E DEPARTMENT**

It shall operate within the realm of the polytechnic's Code of Conduct and Professional Ethics and shall uphold high levels of integrity and honesty

## **10.0 ADMINISTRATIVE STRUCTURE OF THE M&E DEPARTMENT**

The M&E Department shall have:

- a) Six members (may co-opt extra one special member). It will run its operations for the mandated duration led by the HOD and Secretary.



- b) Members shall be appointed by the Management.
- c) The powers/authority to restructure itself in the way it deems fit to run its operations effectively and efficiently. For instance, it can co-opt members, create sub-Departments or even have departmental representatives.
- d) Powers/authority to enact in-house code of conduct/rules/ regulations to facilitate its conduct or business and members' behaviour. The code of conduct shall be consistent with KNP Code of Conduct, policies or procedures guiding such activities.

### **11.0 MEMBERSHIP IN PROFESSIONAL BODIES**

The M&E Department shall have the authority, in consultation with the Principal, to obtain corporate membership in relevant professional bodies whether local [Evaluation Society of Kenya -ESK] or international.

### **12.0. LINKAGES**

The M&E Department shall seek for linkages or collaborations, with express authority of KNP Management, with other M&E bodies or organisations in Government [e.g. County Government, M&E departments] and outside Government [e.g. KEFEP M&E and NGOs].

### **13.0. EFFECTIVE DATE OF THE POLICY**

This policy will become effective on the date it is approved and supersedes all previous versions.

### **14.0 REVIEW OF THE POLICY**

The application of this policy framework will be reviewed every five years or as need demands, and amended based on the evolving nature of monitoring and evaluation functions and taking into consideration best practices

## **19. ANNEX –Glossary of Terms**

- **Accomplishment**

The achievement of specific results producing changes in behaviour or developmental conditions. See outcome.

- **Activity**

Any action undertaken or work performed with the objective of transforming inputs into measurable outputs.

- **Baseline**

Data describing a situation to be addressed by an undertaking, which serve as the starting point for measuring performance.

- **Beneficiaries**

Individuals, entities or groups which may be targeted or not and which may benefit directly or indirectly from a programme, project or other undertaking.

- **Decentralized evaluation**

Self-assessment evaluations conducted by other entities of the Polytechnic

- **Effectiveness**

The extent to which a programme, project or other undertaking achieves its planned results (outputs outcomes and/or goals).

- **Efficiency**

The cost effectiveness of transforming actions into outputs, taking into consideration alternative paths.

- **Evaluability**

The extent to which an activity, project, programme or other undertaking can be subject to evaluation in a credible and reliable manner.

- **Evaluation**

An assessment, conducted as systematically and impartially as possible, of an activity, project, pro-gramme, strategy, policy topic, sector, operational area or institutional performance.

- **Ex ante evaluation**

An evaluation performed prior to the implementation of an undertaking. See baseline.

- **Ex post evaluation**

An evaluation performed after the implementation of an undertaking.

- Formative Evaluation

A type of evaluation conducted during the implementation of a project or other undertaking with the aim to provide information that will guide project improvement.

- Impact

The totality and/or long-term effects of an undertaking. Effects may be positive or negative, intended or unintended.

- Indicator

A quantitative or qualitative measure of programme performance that is used to demonstrate change and which details the extent to which results are being or have been achieved.

- Institutional outcome

Effects produced as the result of intermediate outcomes. E.g. increased organizational effectiveness as the result of the application of knowledge or skills by beneficiaries or as the results of other intermediate outcomes.

- Intermediate outcome

Subsequent effects of products and/or services (outputs) delivered. E.g. increased level of knowledge or skills, or knowledge and skills retained/applied on the job after training.

- Lessons learned

A generalization derived from an evaluation and applicable to all situations rather than a specific situation.

- Monitoring

The routine process of collecting and recording information in order to track progress towards expected results.

- Output

Final products or services delivered.

- Outcome

Changes in behaviour or development conditions.

- Project

A set of planned and interrelated activities designed to achieve specific objectives within a given budget, period of time and operating framework.

- Programme

A set of sub-programmes, projects and/or activities producing outputs and accomplishments with a defined budget and under a set of specific objectives linked to the Polytechnic's mandate and or-ganizational goals.

- Summative Evaluation

A type of evaluation usually conducted at the end of a programme or project to determine if anticipated results were achieved.

- Undertaking

A general term for any programme, project, activity, policy, strategy, etc. which may be subjected to evaluation