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NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY

# Monitoring and Evaluation Policy



Mainstreaming M&E Principles, Practice and Standards in Environmental Management





**NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY**

**THE MONITORING & EVALUATION POLICY**

**April 2020**

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Monitoring and Evaluation Policy

information, education and communication materials for environmental awareness	Assess the efficiency and effectiveness of environmental awareness materials	Status of efficiency and effectiveness environmental awareness materials established	Assessment reports	M&E
<p>Evaluate the impacts of public awareness and participation activities and events to the quality of environment</p>	<p>Develop an inventory of public awareness and participation activities and events</p> <p>Assess the impacts of awareness and public participation activities and events to the quality of environment</p>	<p>Enhanced awareness and public awareness and participation activities and events</p> <p>Level of awareness and public participation activities and events to the quality of environment determined</p>	<p>An inventory developed</p> <p>Assessment reports</p>	<p>M&amp;E, EEIPP</p> <p>M&amp;E, EEIPP</p>

			targeted beneficiaries established	Databases	M&E, ICT, GIS	
		Develop a database for standardized performance indicators, baselines and targets for monitoring and evaluation	Enhanced awareness on standardized performance indicators, baselines and targets for monitoring and evaluation			
		Ensure that all projects and programmes have standardized performance indicators, baselines and targets for monitoring and evaluation				
10	<b>Functional Area: Environmental Education Information &amp; Public Participation</b>					
	<b>To increase the level of awareness and public participation in environmental management</b>	Evaluate public attitudes and behavior change towards environmental management	Status of public attitudes and behavior change on environmental management determined	Assessment reports	M&E, EEIPP	
		Monitor and evaluate the impacts of public participation in environmental management	Status of public participation in environmental management determined	Assessment reports	M&E, EEIPP	
		Monitor and evaluate the relevance and appropriateness of	Enhanced awareness on awareness materials	An inventory developed	M&E, EEIPP	
		Develop an inventory of environmental awareness materials				

**ACRONYMS AND ABBREVIATIONS**

- CDE** – County Director of Environment
- EMCA, 1999** – Environmental Management and Coordination Act, 1999
- ERSWEC** - Economic Recovery Strategy for Wealth and Employment Creation
- ESD** – Education for Sustainable Development
- ICT** - Information and Communication Technology
- ICZM** - Integrated Coastal Zone Management
- JKUAT** - Jomo Kenyatta University of Agriculture and Technology
- M&E** – Monitoring and Evaluation
- MEAs** – Multilateral Environmental Agreements
- MED** - Monitoring & Evaluation Department
- NEMA** – National Environment Management Authority
- NIMES** - The National Integrated Monitoring & Evaluation System
- NRM** – Natural Resources Management
- PRSP** - Poverty Reduction Strategy Paper
- RDE** – Regional Director of Environment
- SMART** – Specific, Measurable, Achievable, Realistic and Time-bound

**FOREWORD**

The National Environment Management Authority (NEMA) is tasked with the sole role of ensuring a clean, healthy and sustainable environment for improved quality of human life in Kenya. This is achieved through supervision and coordination of the various environmental management plans, programmes, projects and activities being implemented by the Authority as well as the relevant lead agencies. It is of paramount importance that regular monitoring and evaluation (M&E) is undertaken to measure the Authority’s performance, track progress towards achieving its mandate including its prudent utilization of resources. It is with this understanding that my board was prompted to operationalize this key function of the Authority through the establishment of a Monitoring and Evaluation Unit in 2016.

The Authority’s Monitoring & Evaluation Policy is designed to guide implementation of all its plans, programmes, projects and activities. This Policy stems from the National M&E Policy which requires individual institutions to develop their own M&E policies. The policy focuses on the coordination of NEMA’s overall performance and aims at enhancing the efficiency and effectiveness in delivering its mandate. The purpose of this policy is to mainstream M&E principles, practice and standards in the operations of the Authority.

The policy lays emphasis on building strong linkages and synergies between departments with all its stakeholders including the Kenyan citizens, to improve reporting and feedback mechanism in all its activities. The Policy will ensure efficiency in utilization of resources for effective realization of results and hence accelerate a better environment for all. It espouses the importance of results-based management, transparency, accountability, and efficiency as fundamental principles for managing all activities, projects, programmes in the Authority.

The policy teases out key functional areas of NEMA as spelt out in Environmental Management and Coordination Act (EMCA, 1999) and provides guidelines under which standards will be set. This will ensure that generated information will be useful to the Authority, which forms the core of the M&E policy. The Policy shall be binding to all NEMA departments and sections who are required to comply with its execution. The policy therefore requires that all actors cooperate with the M&E Unit in the generation of accurate and timely data to support M&E reporting. This will enhance evidence based performance measurement of the Authority.

The Board is committed to mobilize support needed for the successful implementation of this M&E policy. The Policy will add to the existing governance instruments and will continue to provide policy direction to ensure that the Authority delivers its mandate.

Monitoring and Evaluation Policy

	strategies	Assess the level of implementation of human resource management strategies	Status of the implementation of human resource management strategies determined	Assessment reports	M&E
		Evaluate the compliance to the requirements of cross-cutting national laws and policies	Status of compliance to cross-cutting national laws and policies established	Status reports	M&E
9	<b>Functional Area: Projects and Programmes</b>				
	<i>To mainstream M&amp;E in all activities, projects and programmes of the Authority</i>	Ensure that M&E is mainstreamed in all projects and programmes designs	Enhanced awareness on projects and programmes	An inventory developed	M&E, DFA, NIE, EPRC, CME, C&E, CSO, CCS
		Ensure that all projects and programmes have adequate capacity for monitoring and evaluation	Status of the integration of M&E in projects and programmes planning and management determined	Status reports	M&E
		Evaluate the impacts of projects and programmes to the environment and targeted beneficiaries	Enhanced awareness on capacity levels for M&E	Assessment reports	M&E, HR
			Status of efficiency and effectiveness in monitoring and evaluation of projects and programmes established	Training reports	HR
			Status of impacts of projects and programmes to the environment and	Assessment reports	M&E



	pollution control on the quality of environment	effectiveness of the implementation of pollution control strategies	and effectiveness of pollution control strategies established	reports	
8	<b>Functional Area: Finance and Administration</b>				
<b>To enhance financial sustainability of the Authority</b>	Monitor and evaluate the implementation of financial sustainability strategies	Develop an inventory of financial sustainability strategies	Enhanced awareness on financial sustainability strategies	An inventory developed	M&E, DFA
	Ensure adequate and consistent financial allocation to M&E functions (the National M&E policy recommends at least 1% of Development Funds)	Assess the level of implementation of financial sustainability strategies Align M&E budgetary allocation with this provision	Status of implementation of financial sustainability strategies established Enhanced M&E budgetary allocation	Assessment reports M&E budgetary allocations	M&E M&E, DFA
<b>To enhance human resource capacity</b>	Monitor and evaluate the impact of staff capacity development programmes	Develop an inventory of staff capacity development programmes	Enhanced awareness on staff capacity development programmes	An inventory developed	M&E
	Assess the impacts of the implementation of human resource management	Assess the impacts of the implementation of staff capacity development programmes Develop an inventory of human resource management strategies	Status of the implementation of staff capacity development programmes determined Enhanced awareness on human resource management strategies	Assessment reports An inventory	M&E M&E, DFA

I am confident that the successful implementation of this M&E policy will lead to an enhanced compliance with environmental management regulations and also ensure efficiency and effectiveness in the delivery of a clean and healthy environment for all in Kenya.



**MR. JOHN KONCHELLAH**  
**CHAIRMAN, BOARD OF MANAGEMENT**  
**NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY**

**PREFACE**

Monitoring and evaluation is a noble action which is essential in ensuring that an organisation not only meets its mandate but efficiently and effectively does so. Monitoring and evaluation provide information on what an intervention is doing, how well it is performing, whether it is achieving its aims and objectives including guidance on future intervention activities.

This monitoring and evaluation policy will guide the Authority in ensuring that its mandate is not only fully realised and assessed but also that the impacts of its activities are measured. The purpose of this policy is to mainstream M&E principles, practice and standards in all the operations of the Authority. The policy seeks to strengthen result-based management, transparency, accountability, sustainability and efficiency in the operations of the Authority.

It with great pleasure that I present this Monitoring and Evaluation Policy to all NEMA staff in line with the National Monitoring and Evaluation Policy. It is my sincere hope that it will streamline and enhance operations of the Authority.

I call upon all employees to internalize and embrace this Policy and comply with its various provisions to ensure that the Authority delivers its mandate in an efficient and effective manner.



**MAMO B. MAMO**  
**DIRECTOR GENERAL**

Monitoring and Evaluation Policy

<b>To enhance decision making in environmental management</b>	Monitor and evaluate the implementation of the environment research agenda	Assess the level of implementation of the environment research agenda	Status of the implementation research agenda established	Assessment reports	M&E, EPRC	
	Monitor and evaluate the implementation of recommendations of the state of environment reports	Assess the level of implementation of recommendations of the state of environment reports	Status of the implementation of recommendations of the state of environment reports determined	Assessment reports	M&E, EPRC	
	Evaluate the impacts of application of research findings in environmental management	Assess the impacts of application of research findings in environmental management	Impacts of application of research findings in environmental management determined	Assessment reports	M&E, EPRC	
	Monitor and evaluate the implementation of Environmental Action Plans at all levels	Assess the impacts of implementation of Environmental Action Plans	Status of the implementation of Environmental Action Plans established	Assessment reports	M&E, EPRC	
	Monitor and evaluate impacts of environmental rehabilitation and restoration projects and programmes	Develop an Inventory of environmental rehabilitation and restoration projects and programmes	Enhanced awareness on environmental rehabilitation and restoration projects and programmes	An inventory developed	M&E, EPRC	
	Evaluate the impact of		Assess the impacts of environmental rehabilitation and restoration projects and programmes	Status of the implementation of environmental rehabilitation and restoration projects and programmes established	Status Report	M&E
			Assess the efficiency and	Status of efficiency and	Assessment	M&E

<p><b>To enhance the efficiency and effectiveness of the procurement processes in service delivery</b></p>	<p>Monitor and evaluate the efficiency and effectiveness of the procurement processes</p> <p>Evaluate the adoption of green public procurement for sustainable development</p> <p>Monitor and evaluate compliance with the provisions of Public Procurement and Asset Disposal Act, 2015</p> <p>Evaluate the impacts of procurement processes in service delivery</p>	<p>Develop an inventory of procurement processes</p> <p>Assess the effectiveness and efficiency of the procurement processes</p> <p>Assess the level of adoption of green public procurement</p> <p>Assess the level of compliance to the provisions of Public Procurement and Asset Disposal Act, 2015</p> <p>Assess the impacts of procurement processes in service delivery</p>	<p>Enhanced awareness of procurement processes</p> <p>Status of effectiveness and efficiency of the procurement processes established</p> <p>Status of adoption green public procurement established</p> <p>Status of compliance to the provisions of Public Procurement and Asset Disposal Act, 2015 established</p> <p>Status of the impacts of procurement processes in service delivery determined</p>	<p>An inventory developed</p> <p>Assessment reports</p> <p>Status Report</p> <p>Status reports</p> <p>Status reports</p>	<p>Procurement, M&amp;E</p> <p>M&amp;E, Procurement</p> <p>M&amp;E, Procurement</p> <p>M&amp;E, Procurement</p> <p>M&amp;E, Procurement</p>
<p>7</p>	<p><b>Functional Area: Environmental planning &amp; research coordination</b></p>				

**ACKNOWLEDGEMENT**

I would like to thank the Board of Management for operationalizing the monitoring and evaluation function of the Authority as stipulated by EMCA, 1999 through the establishment of a Monitoring and Evaluation Unit. This policy decision has strengthened performance measurement of the Authority and synergized actions by all actors.

My sincere gratitude goes to the Director General for his supervisory role and support to ensure efficient and effective operations of the M&E Unit. In also thank the Director General for ensuring that the M&E findings and recommendations are appropriately implemented by the relevant department to enhance performance of the Authority.

I also extend my special appreciation to the NEMA Management Team for providing technical support to the M&E Unit through the appointment of M&E Focal Points. The Officers have effectively represented the departments and sections in M&E Coordination Committee. Further, the Management ensures that the M&E findings and recommendations are integrated into their respective workplans for the implementation. This will be further enhanced by this Policy.

Special gratitude is extended to the M&E Focal Points for the effective participation in the formulation of this policy. The commitment of the team was in deed exemplary through provision, analysis and cross-referencing that resulted in the realization of this policy.

The financial support by the National Implementing Entity (NIE) in NEMA towards the preparation of this policy is highly appreciated. This made it possible to create synergy between the M&E function of the Authority and the Kenya Adaption Fund Programme thus optimizing the benefits of the programme.

Finally, special appreciation is extended to the staff in M&E Unit who have served as secretariat policy formulation process and provided excellent coordination. I encourage the team to continue with similar commitment during the implementation of this policy.



**BEATRICE M. NZIOKA**  
**DEPUTY DIRECTOR & HEAD OF MONITORING & EVALUATION UNIT**

**DEFINITION OF TERMS**

**Evaluation** is a systematic and objective examination undertaken to assess the relevance, effectiveness, efficiency, and impact of activities in the light of set specified objectives.

**Monitoring** is the systematic process of collecting, analyzing and using information to track a programme’s progress toward reaching its objectives and to guide management decisions.

**Monitoring and Evaluation** is a process established to help improve performance and achievement of results to enable assessment of performance of activities, projects and programmes.

**Monitoring and Evaluation System** comprises of indicators, tools, and processes that are used to measure whether a project or programme has been implemented according to the plan and has achieved the desired result.

**Mainstreaming** is a strategy, an approach, or a means for integrating a given perspective at all stages and levels of projects and programmes.

**Outcome** is the overall effect caused by the implementation of an activity, project or programme which did not exist before.

**Impacts** are results or consequences of achieving specific outcomes which can be positive or negative

**Indicators** are measures used to assess or track performance of the activities, projects, and programmes before implementation.

**Compliance** means conforming to laws, regulations, standards or obligations

**Enforcement** is the act of compelling observance of laws, regulations, standards or obligations

**Performance measurement** is generally defined as regular measurement of outcomes and results, which generates reliable data on the effectiveness and efficiency of projects and programmes.

**Outcome indicator** is a measure of the situation before the programme or project begins.

**Input** is something such as financial, human, material and information resources used to produce outputs through activities and to accomplish outcomes.

**Output** is the achievement of a result of an activity based on the input.

Monitoring and Evaluation Policy

	ICT in monitoring and evaluation, documentation of lessons learned, information and knowledge management Monitor and evaluate the implementation of ICT policy	of KMS in information and knowledge management Assess the impacts of the implementation of ICT policy	KMS in information and knowledge management determined Status of the implementation of ICT policy established	reports Assessment reports	M&E	
5	<b>Functional Area: Coastal Marine and Fresh Water</b>					
	<i>To safeguard marine and fresh water ecosystems</i>	Establish monitoring baseline information and performance indicators for various aspects of Marine and Freshwater ecosystems Monitor and assess the impacts of implementation of marine & fresh water ecosystems management plans and regulations	Establish databases for various aspects of Marine and Freshwater ecosystems Establish the status of the implementation of marine & fresh water ecosystems, management plans and regulations	Data and information availability for monitoring the status of marine and freshwater ecosystems enhanced Status of implementation of marine & fresh water ecosystems management plans and regulations determined	Databases developed Status report	M&E, CMF M&E, CMF
	Monitor the conservation status of gazetted wetlands	Develop an inventory of gazetted wetlands Assess the conservation status of gazetted wetlands	Enhanced awareness of gazetted wetlands	An inventory of gazetted wetlands developed Assessment report developed	CMF M&E	
6	<b>Functional Area: Procurement</b>					

	Monitor and evaluate the implementation of the Strategic plans	Assess the impacts of the implementation of Strategic plans	strategies established Status of the implementation of Strategic plans established	Status reports on the implementation of Strategic plans	M&E, CP
4	<b>Functional Area: Information Communication Technology</b>				
	To enhance adoption of ICT in all the operations of the Authority	Monitor and evaluate the efficiency and effectiveness of ICT in internal operations and service delivery Monitor and evaluate the level of application of ICT in the operations of the authority Promote the use of modern	Assess the impacts of ICT application in internal operations and service delivery	Assess the level of application of ICT in the operations of the Authority	Assess the level of application
		Monitor and evaluate the efficiency and effectiveness of ICT in internal operations and service delivery	Status of ICT application in internal operations and service delivery determined	Assessment reports	M&E, ICT
		Monitor and evaluate the level of application of ICT in the operations of the authority	Status of application of ICT in the Authority's operations established	Status Report	M&E
		Promote the use of modern	Status of application of	Assessment	M&E, ICT

**Baseline indicator** is the measure of the situation at the beginning of an activity or project

**Mainstreaming:** ensure that M&E is integrated in all activities, programmes and projects of the authority at all levels.

**Key Performance Indicators** are measurable values that are used to evaluate the effectiveness of an organization in achieving its strategic objectives.

**Policy** is a statement of intent, and is implemented as a procedure or protocol.

**Efficiency** is the comparison of the actual against the optimal possible performance using similar resources.

**Effectiveness** is the degree to which objectives are achieved in solving the targeted problems.

**Sustainability** describes the process of continued existence of benefits from an intervention after its implementation.

**Accountability** refers to the means by which individuals and organizations are held responsible for their actions.

**Transparency** refers to the full disclosure of information on the implementation projects and programmes for accountability purposes

**Results** are the outputs, outcomes, or impacts, either intended or unintended, positive or negative arising from an intervention.

**Stakeholders** are agencies, organizations, institutions, entities, groups and individuals who have a significant interest in the success or failure of a project or programme and are directly or indirectly influenced or affected by a project or programme.

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3	Functional Area: Service charter implementation	To strengthen the efficiency and effectiveness of service delivery to all stakeholders	Monitor and evaluate the adherence to the service charter provisions	Assess the level of adherence to the service charter provisions	The status of adherence to the service charter determined	Assessment reports	M&E, CCS
			Monitor and assess quality of services and customers' satisfaction	Undertake a customers' satisfaction survey	The level of customers' satisfaction determined	Survey reports	M&E
			Evaluate the impacts of implementing strategies for corporate image enhancement	Develop an inventory of corporate image enhancement strategies	Enhanced awareness on corporate image enhancement strategies	An inventory developed	M&E, CCS
				Assess the impacts of the implementation of corporate image enhancement strategies	Status of the implementation of corporate image enhancement	Assessment reports	M&E, CCS
			Establish performance indicators and baselines for monitoring and evaluation of compliance and enforcement	Develop baselines for various aspects of environment	Enhanced data and information on the state of the environment	Baseline reports and databases developed	M&E, C&E, FO, GIS, ICT
					litigation and prosecution processes established		

compliance and enforcement to the environmental regulations on the quality of environment	compliance to various licensing regimes	compliance to various licensing regimes established						
Implement M&E findings and recommendations to continuously enhance environmental compliance and improve quality of environment	Document and disseminate M&E findings and recommendations to relevant actors	M&E findings and recommendations adopted within the operations of the Authority	M&E Reports	M&E, C&E, FO	FO, GIS, ICT			
Monitor and evaluate compliance and enforcement processes and procedures to inform continual improvement	Develop an inventory of compliance and enforcement processes and procedures	Enhanced awareness on compliance and enforcement processes and procedures	An inventory developed	M&E, C&E, FO				
Monitor and evaluate litigation and prosecution processes to inform compliance and enforcement actions	Assess the effectiveness and efficiency of compliance and enforcement processes	Status of effectiveness and efficiency of compliance and enforcement processes established	Assessment reports	M&E, C&E, FO				
	Develop an inventory of litigation and prosecution processes	Enhanced awareness on litigation and prosecution processes	An inventory developed	M&E				
	Assess the impacts of litigations and prosecutions	Status of effectiveness and efficiency of	Assessment reports	M&E, LS				

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	domestication and implementation of Multilateral Environmental Agreements	ratified and domesticated MEAs Assess the level of implementation of domesticated MEAs	on ratified and domesticated MEAs Status of ratification and domestication of MEAs established	inventory developed A status report	M&E, LS, EPRC	
	Monitor and evaluate emerging and cross-cutting environmental issues for necessary intervention	Develop and update an inventory on emerging environmental issues Assess the impacts of emerging and cross-cutting environmental issues	Enhanced awareness on emerging environmental issues Status of emerging environmental issues determined	An inventory developed	M&E, LS	
	Enhance synergy in monitoring and evaluation of activities by the Authority and relevant lead agencies	Assess the level of synergy in monitoring and evaluation of activities by key stakeholders	Level of synergy in monitoring and evaluation of activities by key stakeholders established	Status Report Assessment report	M&E	M&E, ICT
<b>2</b>	<b>Functional Area: Compliance &amp; Enforcement of environmental policies and legislations</b>					
<b>To enhance compliance to environmental regulations</b>	Monitor and assess the level of compliance with environmental regulations	Establish the level of compliance to environmental regulations	Compliance status to environmental regulations established	Status reports	M&E, C&E, FO	
	Evaluate efficiency and effectiveness of enforcement strategies on compliance with environmental regulations	Develop an inventory of enforcement strategies	Enhanced awareness on enforcement strategies	An inventory of developed	M&E, C&E, FO	
		Assess the impacts of the implementation of enforcement strategies on compliance with environmental regulations	Status of compliance with environmental regulations established	Assessment reports	M&E, C&E, FO	
	Evaluate the impact of	Assess levels of	Levels of	Status reports	M&E, C&E,	



## ANNEX I: M&amp;E POLICY IMPLEMENTATION STRATEGY

No	Policy Objective	Policy Statement	Strategic Actions	Expected Outcomes	Outcome Indicators	Actors	Time Frame	
1	To strengthen synergies in supervision and coordination of environmental management	Functional Area: Supervision and coordination						
		Monitor and evaluate efficiency and effectiveness of the supervision and coordination of lead agencies, county governments, private sectors, and civil society organizations in environmental matters	Develop assessment tools for specific stakeholders.	Assessment tools administered to determine the status of achievement in NEMA mandate assessed	Assessment tools developed	M&E, DF&A, CPS,		
		Monitor and assess the impacts of implementation of devolved environmental functions by the county governments on the quality of environment	Assess the level of implementation and achievement of NEMA mandate as informed by EMCA	The status of achievement in NEMA mandate established	Assessment reports	M&E		
			Undertake continuous assessments on the gazettement and operationalization status of CECs	Status of gazettement and operationalization status of CECs established	Assessment report	M&E, LS, CEC		
			Develop a standardized M&E tool for CECs assessment	Tool administered for data collection	A standardized M&E tool developed	M&E		
			Undertake assessments on the implementation of devolved environmental functions	Status of the implementation of devolved functions established	Assessment report	M&E		
		Assess the progress in	Update the inventory of	Enhanced awareness	Updated	M&E, EPRC		

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## 1 INTRODUCTION

## 1.1 Background

The National Environment Management Authority (NEMA) is established under Section 7 of Environmental Management and Coordination Act (EMCA), 1999. This is a framework law that sought to harmonize the then 77 Sectoral statutes that related to the environment management. The mandate of the Authority is to “exercise general supervision and coordination over all matters relating to the environment and to be the principal instrument of government in the implementation of all policies relating to the environment”.

Since inception on 1<sup>st</sup> July 2002, the operations of the Authority have been guided by its Strategic Plans and currently implementing the 4<sup>th</sup> cycle, 2019-2024. The Monitoring and Evaluation function is expected to measure the performance of the Authority in implementing these Strategic Plans towards achieving a clean, healthy and sustainable environment for all.

However, it is worth noting that monitoring and evaluation framework was not established in the Authority’s structure at inception. Consequently, this resulted in a functional gap in assessing the performance of Authority and attainment of its mandate. During this period, performance assessments were undertaken through ad-hoc arrangements or as specified in donor projects and programmes.

It is against the above background that the need for NEMA to establish M&E function was found inevitable. This Monitoring and Evaluation Policy will therefore mainstream this function across all operations of the Authority.

**Mandate, Vision, Mission, and Core Values of NEMA**

The Authority has a broad mandate as provided in the EMCA 1999 and the Constitution of Kenya, 2010. This mandate is guided by the vision and mission of the Authority as stipulated below.

**Mandate**

Section 9 of EMCA 1999 mandates the Authority “to ensure sustainable management of the environment through exercising general supervision and coordination over matters relating to the environment and to be the principal instrument of government in the implementation of all policies relating to the environment”.

**Vision**

A clean, healthy and sustainable environment

**Mission**

To coordinate, supervise and manage all matters relating to the environment in Kenya

**Motto**

Our Environment, Our Life, Our Responsibility

**Core Values**

- i. Environmental stewardship
- ii. Professionalism
- iii. Integrity
- iv. Innovativeness
- v. Customer focus
- vi. Team work

**1.2 Evolution of Monitoring & Evaluation in Kenya's Public Sector**

The need to establish a comprehensive Monitoring and Evaluation (M&E) system in public sector became necessary following the adoption of key government economic strategies such as *the Poverty Reduction Strategy Paper (PRSP) in 2000*; *Economic Recovery Strategy for Wealth and Employment Creation (ERS 2003-2007)*; Economic Survey reports and Vision 2030.

Further, the Constitution of Kenya 2010 recognizes M&E as an important tool to ensure transparency, integrity, access to information and accountability while discharging government activities by public offices (Articles 10, 35, 56, 174, 185, 201, 203, 225, 226, 227 and 232). Other relevant legislations include the Public Finance Management Act, 2012 and Part IV of the Inter-Governmental Act, 2012.

In order to track the performance and indicators of government strategies through implementation of projects and programmes, monitoring and evaluation is now mandatory in Strategic Plans of all public entities. To ensure consistency of M&E application, the government established the Monitoring & Evaluation Directorate (MED) under The National Treasury & Planning to coordinate M&E activities at the national level.

The MED has since developed the National Integrated Monitoring and Evaluation System (NIMES), which provides a mechanism for monitoring the implementation of government projects and programmes. In addition, MED formulated the Kenya National M&E Policy and Bill to mainstream M&E function in the public sector. Once enacted, the bill will provide a legal, institutional and funding framework

while policy related M&E findings will be submitted to the Board of Management for approval to facilitate implementation.

**5 CONCLUSION**

This Policy will facilitate mainstreaming of M&E functions in the Authority aimed at enhancing its performance as envisaged in EMCA 1999. It is expected that the implementation of this Policy will enable realization of result-based management, transparency, accountability, sustainability and efficiency in the operations of the Authority.

The Implementation Strategy provides the mechanisms for the realization of the goal of this policy. The M&E Policy will be reviewed from time to time in the process of implementation based on emerging issues, identified gaps and lessons learnt.

- Liaise with lead agencies in mainstreaming M&E
- Provide technical backstopping in work planning processes
- Monitor and evaluate the implementation of the M&E Policy
- Spearhead review of the M&E Policy
- Evaluate performance of the Strategic Plan

#### 4.6.5 Regional/County Directors of Environment

The RDEs and CDEs are responsible for the coordination and implementation of NEMA Mandate in the Regions and Counties. The CDEs play a leading role in support of M&E activities, implementation of findings and recommendations at the Counties. Their role in the implementation of this policy will be to;

- Participate in M&E activities
- Provide timely and accurate Regional/County M&E data and information
- Prepare and submit Regional/County M&E reports
- Offer technical support to M&E Teams during field visits
- Implement M&E findings and recommendations relevant to their respective regions and counties

#### 4.6.6 The M&E Committee

The M&E Coordination Committee comprises of nominated Focal Points who oversee the mainstreaming of M&E in their respective Departments and Sections. The Committee will;

- Provide liaison between the Unit and the departments and sections in the implementation of M&E Policy
- Champion M&E culture, principles and practices in their respective departments and sections
- Facilitate access to data and information from respective departments and sections for M&E processes
- Provide technical backstopping during monitoring and evaluation sessions
- Enhance synergy and ownership of M&E activities across all departments
- Spearhead mainstreaming of M&E functions within the Authority
- Provide feedback on M&E policy implementation process
- Participate in the M&E Policy review

#### 4.7 Monitoring and Evaluation Reporting

The M&E Unit will document all its findings following any monitoring and evaluation exercise. The reports will comprise of status, the milestones achieved, lessons learnt, challenges identified and propose appropriate interventions and recommendations for action. The reports will be submitted to the Director General and the Management to support informed decision-making. The Management will advise departments to implement relevant recommendations

for mainstreaming monitoring and evaluation in public policies, programmes and projects.

#### 1.3 Rationale for M&E Policy in NEMA

Monitoring and Evaluation comprises core functions of the Authority under Section 9(2) (1) of EMCA 1999 that states that the Authority shall, “**Monitor and assess activities, including activities being carried out by relevant lead agencies, in order to ensure that the environment is not degraded by such activities, environmental management objectives are adhered to and adequate early warning on impending environmental emergencies is given**”.

Despite this provision, Monitoring and Evaluation was not prioritized for operationalization at the inception of the Authority. Over time, performance assessment was being undertaken through ad-hoc arrangements or as specified in donor supported projects and programmes.

Following the introduction of performance contracting in the public sector in 2007, the Authority has been monitoring its performance through regular quarterly progress reports based on approved annual work plans. However, this was only limited to monitoring of activity outputs without assessment of overall outcomes and impacts of the implementation of environmental projects and programmes. There was no linkage between the outcomes and impacts and their contributions towards an improved quality of the environment.

In an attempt to implement the M&E function, the Authority commissioned a study to advice on modalities of establishing M&E structures. The study findings, contained in *M&E Framework (2014-2018)* and published in 2015, recommended that a Unit to coordinate M&E function be established. The M&E Unit was subsequently established in 2016.

With the existence of the M&E Unit, it has become of paramount importance to mainstream M&E function across all operations of the Authority. This requires a policy which will mainstream monitoring and evaluation culture, principles and standards as a performance measurement tool that will enable documentation of milestones, lessons learnt, identification of gaps and formulation of relevant interventions. The M&E Policy will enhance the efficiency and effectiveness in service delivery and realization of NEMA mandate.

#### 1.4 Purpose of the Policy

The purpose of this Policy is to mainstream M&E principles, practice and standards in the operations of the Authority. The Policy is aimed at enhancing efficiency and effectiveness in implementation of NEMA’s projects and programmes towards attainment of its mandate. It will also seek to strengthen result-based management, transparency, accountability, sustainability and

efficiency in the operations of the Authority. Additionally, the Policy defines the implementation strategy and coordination structure with clear roles and responsibilities of all actors at various levels.

### 1.5 Other NEMA Operational Policies

Over the years, the Authority has formulated a number of institutional policies to operationalize diverse aspects of its mandate as well as mainstream cross-cutting government policies which include the following:

1. Human Resources Policies and Procedures Manual 2017
2. Alcohol and Drug Abuse Workplace Policy 2010
3. HIV/Aids Policy
4. Gender Mainstreaming Policy
5. Disability Mainstreaming Policy 2015
6. Corruption Prevention Policy 2014
7. Education for Sustainable Development Policy 2013
8. Information, Communication and Technology Policy (ICT) 2014
9. Corporate Social Responsibility Policy 2014 (Draft)
10. Communication Policy and Strategy 2011
11. Environmental Sustainability Policy 2017
12. National Wetlands Conservation and Management Policy 2015

This M&E Policy therefore adds to the existing governance instruments of the Authority and will guide the mainstreaming of M&E principles in all its operations.

The Director General is the supervisor of M&E Unit and provides technical advice and guidance. The role of the Director General will be to;

- Supervise and oversee the implementation and coordination of this policy
- Appoint members to M&E Coordination Committee
- Ensure resource allocation and availability for implementation of M&E activities
- Provide stewardship in the implementation of M&E findings and recommendations
- Ensure optimal M&E Unit staff establishment is attained
- Support capacity building for M&E in the Authority

### 4.6.3 The NEMA Management

The Management comprises of Departmental and Section Heads that supports the Director General in decision making and running of the Authority. The Management Team will be expected to spearhead the mainstreaming of M&E function in their respective departments and sections to ensure successful implementation of the policy. The role of Management will be to;

- Spearhead mainstreaming of M&E in the activities, projects and programmes relevant to their Departments and Sections
- Ensure effective representation and participation of their respective departments and sections in M&E Coordination Committee
- Provide stewardship in the adoption and implementation of M&E findings and recommendations relevant to their functions

### 4.6.4 The Monitoring and Evaluation Unit

The M&E Unit is established to coordinate and oversee the mainstreaming of M&E principles in the operations of the Authority. The Unit has spearheaded the development of this policy and will undertake the following:

- Coordinate and oversee the overall implementation of this policy
- Create awareness on the M&E policy to all stakeholders
- Develop relevant M&E tools and standards
- Undertake monitoring & evaluations of the Authority's operations, activities, projects and programmes
- Undertake M&E data analysis, interpretation and prepare reports
- Disseminate M&E findings and recommendations to support informed decision making
- Convene regular M&E Coordination Committee meetings
- Document best practices and lessons learnt for knowledge management, replication, and up scaling
- Coordinate development of performance indicators, baselines, and targets for M&E activities, projects and programmes
- Spearhead M&E capacity building in the Authority

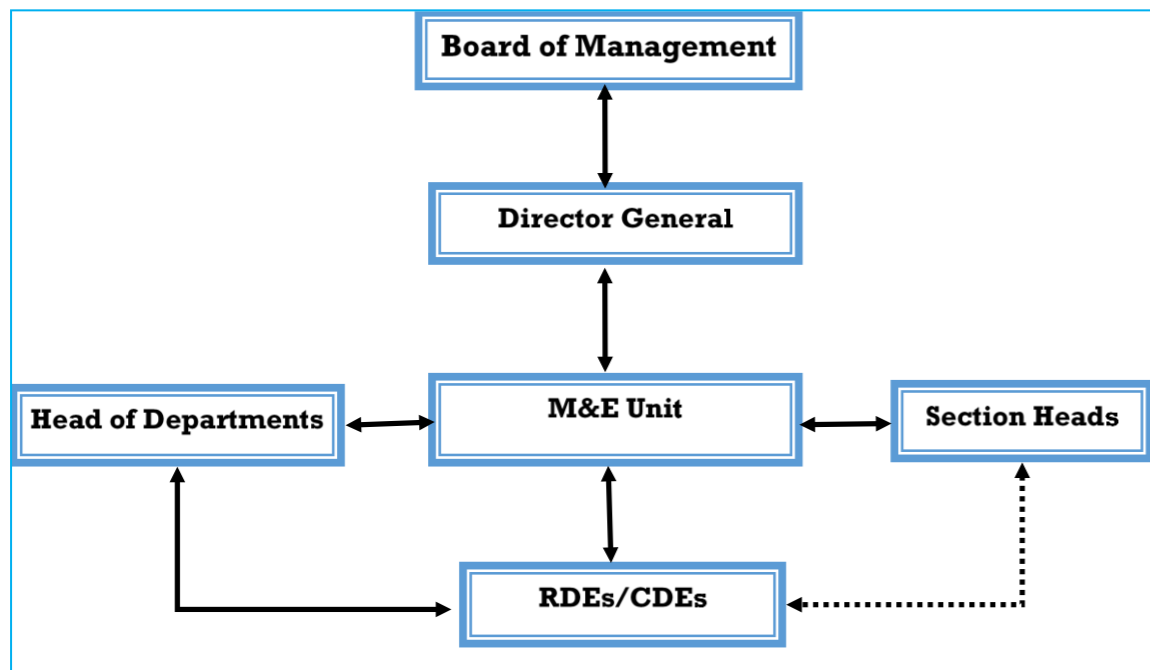


Figure 1: M&E Governance Structure

#### 4.6 Roles and Responsibilities

The M&E Policy is a symbol of commitment by the Authority in embracing the principles of M&E in the implementation of its activities, projects and programmes. The specific roles and responsibilities for all actors are as outlined below.

##### 4.6.1 The Board of Management

The Board of Management is the top organ of the Authority mandated to provide policy direction and oversight. The role of the Board of Management will be to;

- Approve this policy and recommend further reviews
- Provide strategic advice in the implementation of the policy
- Mobilize and allocate adequate financial resources to support mainstreaming of M&E
- Oversight the implementation M&E findings and recommendations

##### 4.6.2 The Director General

## 2 POLICY GOAL, OBJECTIVES AND PRINCIPLES

### 2.1 Policy Goal

The goal of this Policy is to mainstream M&E in the operations of the Authority and activities by relevant lead agencies to enhance efficiency and effectiveness in environmental management.

### 2.2 Policy Objectives

The Policy objectives are as follows:

- To enhance synergy in monitoring and evaluation activities in the implementation of environmental projects and programmes of the Authority and relevant lead agencies.
- To monitor and evaluate the implementation of the Strategic Plan
- To standardize performance indicators, targets and baselines for monitoring efficiency and effectiveness of all projects and programmes
- To provide timely and accurate M&E findings (lessons learnt, best practices, challenges) to enhance informed decision-making on environmental matters
- To strengthen M&E capacity of the Authority
- To promote M&E culture, principles and practice in the Authority
- To assess the level of compliance to cross cutting government policies

### 2.3 Guiding Principles for Monitoring and Evaluation

This Policy is formulated based on the guiding principles to enhance and emulate global best M&E practices in the Authority. The principles include:

**Transparency:** ensures full disclosure of information on programmes and projects including financial resources allocated.

**Accountability:** all resources utilized in implementation of all activities and operations are accounted for and results realized disseminated in formats that are easily accessible to all.

**Ownership:** all actors to have the opportunity to participate in planning, implementation, monitoring, evaluation and reporting of activities, projects and programmes results.

**Partnerships and collaboration:** ensure collaboration of Internal and external actors, lead agencies (Ministries, Counties, Departments and Agencies, (MCDAs), development partners and public in planning and execution of the authority's mandate for the benefit of the environment and the people of Kenya.

**Credibility:** ensure availability of reliable, timely and accurate data and information for sound M&E processes. Monitoring and evaluation reports to reflect consistency and dependability in data, findings, judgments, and lessons

learnt, with reference to the quality of instruments, procedures and analysis used to collect and interpret information.

**Mainstreaming:** ensure that M&E is integrated in all activities, programmes and projects of the authority at all levels.

## 2.4 Scope of the Policy

This M&E Policy shall apply to all operations, environmental projects and programmes of the Authority at all levels and relevant lead agencies.

## 3 POLICY STATEMENTS

### 3.1 Introduction

This Policy is a commitment of the Authority to mainstream M&E culture, principles and standards in all its operations, and in the implementation of activities, projects and programmes. Several policy statements have been formulated through a participatory process guided by a standardized criteria based on the core functions of the Authority. The implementation of this Policy and adherence by all actors will improve enhance performance of the Authority and support evidence based management.

### 3.2 Functional Policy Statements

The policy statements for key thematic areas have been formulated as follows:

#### 3.2.1 Supervision and Coordination of Environmental Function

The Authority is mandated to provide a clean, healthy and sustainable environment for all in Kenya. This is achieved through supervision and coordination of all matters of environment being undertaken by the lead agencies, county governments, private sectors, and civil organizations in order to promote the integration of environmental consideration into developmental policies, plans, programmes and projects.

To ensure effective and efficient supervision and coordination of all environmental matters the Authority Shall;

1. *Monitor and evaluate efficiency and effectiveness of the supervision and coordination of lead agencies, county governments, private sectors, and civil organizations in environmental matters*
2. *Monitor and assess the impacts of implementation of Devolved Environmental Functions (DEF) by the County Governments on the quality of environment*

## 4 POLICY IMPLEMENTATION, INSTITUTIONAL FRAMEWORK & REPORTING

### 4.1 Policy Implementation

The implementation of this policy will commence upon approval by the NEMA Board of Management as an operational tool of the Authority. This policy will serve to mainstream M&E culture and principles in all the operations of the Authority aimed at enhancing the quality of environment. The Authority will, therefore, endeavor to build capacity at all levels to support the effective mainstreaming of Monitoring and Evaluation. All the actors in the Authority and relevant lead agencies will be expected to mainstream M&E in their respective environmental management matters.

To actualize this, a number of strategic actions have been formulated to guide the implementation of this policy with specific outcomes, responsible actors and timeframe as outlined in Annex I.

### 4.2 Monitoring and Evaluation Tools and Performance Measurement

The Authority will continuously develop standardized monitoring and evaluation tools, guidelines and templates to support the implementation of this policy. These tools will leverage on the opportunities of ICT for enhanced efficiency and effectiveness in the implementation this policy.

### 4.3 Performance Measurement

The Strategic Plan and subsequent Annual Work plans will be the basis of performance measurement. The Authority will measure performance on all activities, projects and programmes based on set indicators, baselines and targets at the output, outcome and impact levels. To ensure that planned activities are SMART and aligned to the Strategic Plan, Monitoring and Evaluation principles will be applied in the development of workplans.

### 4.4 Policy Review and Amendment

This Policy will be reviewed and amended from time to time to address emerging issues, fill identified gaps and incorporate lessons learned during its implementation.

### 4.5 Governance Structure for M&E Policy Implementation and Coordination

To enable efficient and effective mainstreaming of M&E in the Authority an implementation and coordination governance structure has been formulated as illustrated in fig.1

3. Monitor and evaluate compliance with the provisions of *Public Procurement and Asset Disposal Act, 2015*
4. Evaluate the impacts of procurement processes in service delivery
5. Monitor and evaluate procurement of goods and services to ascertain value for money

### 3.2.9 Information Communication Technology Function

The Authority has embraced Information Communication Technology (ICT) to enhance efficiency in service delivery. For efficient monitoring and evaluation, ICT systems will be utilized to capture data, process, report, store, share and manage information and knowledge. To this end, the Authority shall;

1. Monitor and evaluate the efficiency and effectiveness of ICT in internal operations and service delivery
2. Monitor and evaluate the level of application of ICT in the operations of the Authority
3. Promote the use of modern ICT in monitoring and evaluation, documentation of lessons learned, information and knowledge management
4. Monitor and evaluate the implementation of ICT Policy

### 3.2.10 Projects and Programmes Function

The Authority has a broad mandate to ensure a clean and healthy environment that requires a wide resource base. To fulfill this, the Authority strategically partners with key development agencies to finance specific environmental projects and programmes. Monitoring and evaluation is critical in ensuring that all projects and programmes achieve their objectives in a timely and cost-effective manner. To realize this, the Authority shall;

1. Ensure that M&E is mainstreamed in all projects and programmes designs
2. Ensure that all projects and programmes have adequate capacity for monitoring and evaluation
3. Evaluate the impacts of projects and programmes to the environment and targeted beneficiaries
4. Ensure that all projects and programmes have standardized performance indicators, baselines and targets for monitoring and evaluation

3. Assess the progress in domestication and implementation of *Multilateral Environmental Agreements (MEAs)*
4. Monitor and evaluate emerging and cross-cutting environmental issues for necessary intervention
5. Enhance synergy in monitoring and evaluation of activities by the Authority and relevant lead agencies

### 3.2.2 Service Delivery Function

The environmental services offered by the Authority are outlined in the Service Charter with specific requirements and processing timelines. To ensure efficiency and effectiveness in service delivery, the Authority shall;

1. Monitor and evaluate the adherence to the Service Charter provisions
2. Monitor and assess quality of services and customer satisfaction
3. Evaluate the impacts of implementing strategies for enhancing corporate image

### 3.2.3 Compliance & Enforcement to Environmental Legislation Function

The Authority is established to be the principal instrument of government in the implementation of all policies relating to the environment. This is achieved through enforcement of the gazetted regulations to ensure compliance to stipulated standards and procedures for environmental management. The Authority shall continue to develop new regulations and review existing ones to address emerging environmental issues.

For effective enforcement of environment legislation to enhance compliance, the Authority shall;

1. Monitor and assess the level of compliance with environmental regulations
2. Evaluate efficiency and effectiveness of enforcement strategies on compliance with environmental regulations
3. Evaluate the impact of compliance and enforcement to the environmental regulations on the quality of environment
4. Implement M&E findings and recommendations to continuously enhance environmental compliance and improve quality of environment
5. Monitor and evaluate compliance and enforcement processes and procedures to inform continual improvement
6. Monitor and evaluate litigation and prosecution processes to inform compliance and enforcement actions
7. Establish performance indicators and baselines for monitoring and evaluation of compliance and enforcement
8. Monitor and evaluate the status and efficiency of operations of all effluent treatment plants across the country

### 3.2.4 Environmental Education, Information & Public Participation Function

The Authority is mandated to undertake environmental education and public awareness in co-operation with relevant lead agencies to enhance sound environmental management as well as enlisting public support and participation. It also provides advice and technical support to lead agencies in Natural Resource Management (NRM) and environmental protection to enable them carry out their responsibilities. To fulfill this the Authority shall;

1. *Evaluate public attitudes and behavior change towards environment*
2. *Monitor and evaluate the impacts of public participation in environmental management*
3. *Monitor and evaluate the relevance and appropriateness of education and awareness materials*
4. *Monitor and evaluate the relevance and appropriateness of education and awareness strategies*
5. *Evaluate the impacts of public participation in activities and events on environmental management*

### 3.2.5 Coordination of Environmental Planning and Research Function

The Authority is mandated to promote the integration of environmental considerations into development policies, plans, programmes and projects undertaken by the lead agencies to ensure proper environmental management. The Authority coordinates environmental research whose findings inform planning, decision making and relevant actions.

The Authority will review and update the research agenda to address current environmental challenges and emerging issues that require research to inform state of environment and environmental planning. To realize this, the Authority shall;

1. *Monitor and evaluate the implementation of the environment research agenda*
2. *Monitor and evaluate the implementation of recommendations of the state of environment reports*
3. *Evaluate the impacts of application of research findings in environmental management*
4. *Monitor and evaluate the implementation of Environmental Action Plans at all levels*
5. *Monitor and evaluate impacts of environmental rehabilitation and restoration projects and programmes*
6. *Evaluate the impact of pollution control on the quality of environment*

### 3.2.6 Coastal Marine and Fresh Waters Management and Conservation Function

The Authority is mandated to manage and conserve Marine and Fresh water ecosystems for conservation and sustainable utilization of resources in the Blue Economy. To ensure this is achieved, the Authority shall;

1. *Establish monitoring baseline information and performance indicators for various aspects of Marine and Freshwater ecosystems*
2. *Monitor and assess the impact of implementation of management plans for marine & fresh water ecosystems*
3. *Monitor and assess conservation and restoration efforts in riparian reserves*
4. *Monitor the conservation status of all wetlands in Kenya*

### 3.2.7 Finance and Administration Function

To foster financial accountability and transparency, the Authority has adopted robust systems in line with Public Finance Management Act, 2012. Further, to ensure professionalism and retention of competent staff, an integrated Human Resource Policy and Procedures Manual has been developed. To ensure efficiency in the implementation of these policies and procedures manual, the Authority shall;

1. *Monitor and evaluate the implementation of financial sustainability strategies*
2. *Ensure adequate and consistent financial allocation to M&E functions (the National M&E policy recommends at least 1% of Development Funds)*
3. *Monitor and evaluate the impact of staff capacity development programmes on the performance of the Authority*
4. *Assess the impacts of the implementation of human resource management strategies*
5. *Evaluate the compliance to the requirements of cross-cutting national laws and policies*
6. *Monitor the adherence to financial policies and regulations*
7. *Build capacity at all levels to support the effective mainstreaming Monitoring and Evaluation*
8. *Monitor and evaluate the implementation of the Strategic Plan*

### 3.2.8 Procurement Function

The procurement function serves to streamline all the purchasing processes and ensure value for money. The Authority's procurement processes are guided by Public Procurement and Asset Disposal Act, 2015. The Authority is committed to comply with the requirements of the Act, and to achieve this, the Authority shall;

1. *Monitor and evaluate the effectiveness and efficiency of the procurement processes*
2. *Evaluate the adoption of green public procurement for sustainable development*