



CENTRE FOR MULTIPARTY DEMOCRACY
KENYA

Planning, Monitoring, Evaluation, Reporting, and Learning (PMERL) Policy Framework, Guidelines, and Procedures

September 2014

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INTRODUCTION AND BACKGROUND

As an organization CMD-Kenya naturally places much emphasis on delivering products and services with an aim to bring about changes in behaviour, to enhance on-the-job performance and to develop other capacities of its member parties, target groups, and beneficiaries, with a view to achieve or contribute to the achievement of higher order, longer-term objectives. That is particularly the development of a more democratic and just society in Kenya. Parallel to that, the organisation also engages in programming aimed at achieving development outcomes, such as developing institutional capacities of political parties, and through them strengthening public participation in decision-making.

The activities which seek to produce these results are highly diverse and range from the organization of short-term, small scale, stand-alone events and other learning events to long-term, large-scale projects, many of which are implemented with partners and involve activities linked to multiple outputs and outcomes. The means of delivery are equally diverse and include face-to-face, technology-enhanced and blended forms of activities, networking and knowledge sharing and analysis.

In the past, CMD's PMERL practices have focused for the most part on the activity level of programming and have tended to reflect process- (as opposed to outcome-) based approaches. This has been largely due to the lack of an overarching result-based or result oriented PMERL policy framework as well as limited institutional capacities, resources, guidance and tools on which to draw.

As part of its strategic reforms, CMD has designed this integrated results –based management (RBM) framework, linking strategic planning, strategic budgeting, and annual and quarterly work planning to PMERL, and programme and staff performance reporting. Recently CMD mandated the PMERL Department to take the lead in the development and implementation of a new PMERL framework. CMD has also identified the strengthening of accountabilities, effectiveness and efficiencies in delivering results as one of the key priority areas of its 2014-2018 Strategic Plan.

This PMERL framework builds on CMD's PMERL experience; takes into consideration the strategic direction in which the organization is heading; acknowledges the challenges presented by the diversity of programming and operations as well as the sources and characteristics of its funding; and draws on the wealth of PMERL policies, best practices and standards, from what goes on elsewhere. The purpose is to develop a more credible and consistent framework for strengthened accountability, organizational learning, quality improvement and informed decision-making in programming and operations, as well as to contribute to the professionalization of the PMERL functions of the organization.

PMERL Cycle at a Glance



PURPOSE OF PLANNING, MONITORING, EVALUTION, REPORTING, AND LEARNING

PMERL activities are undertaken to achieve any of the following purposes:

- a. to be used as a tool to help plan, initiate, implement, and manage projects, programmes or policies;
- b. to determine whether existing interventions should be strengthened or discarded;
- c. to facilitate continuous improvement in programming and service provision;
- d. to assess the overall effectiveness and efficiency of interventions in terms of their outputs, outcomes, costs and impacts; and where necessary, to determine the catalytic effects and sustainability of such projects and programmes.

PURPOSE OF THE POLICY FRAMEWORK

This policy seeks to place the PMERL within the broader CMD management accountability framework and to clarify the roles and responsibilities of its various organs and departments in this process. The Policy underpins an integrated PMERL system which is decentralized in approach; with departments undertaking most PMERL functions for their respective interventions.

Overall Goal

The overall goal of this policy is to establish common structures and standards that would govern the application of effective PMERL systems in CMD, thereby facilitating the attainment of maximum benefits from programmes and projects.

Principles

The policy is based on the following fundamental principles:

- a. managers of programmes have the primary responsibility to ensure judicious use of resources with which they are entrusted;
- b. the resources allocated to programmes should be effectively and efficiently utilized to achieve results that can quantitatively and qualitatively realize the objectives and strategies of CMD and its member parties and beneficiaries; and
- c. the application of time-tested PMERL tools should form an integral part of achieving results.

Strategic Objectives

This PMERL policy framework has five main strategic objectives:

- a. to promote the effective and efficient deployment of resources by CMD for the provision of services to its member parties, beneficiaries, and targeted groups;
- b. to facilitate accountability at all management levels in the delivery of programmes;
- c. to facilitate the utilization of reliable, timely and relevant information for the development of policy and programme initiatives;
- d. to disseminate best practice findings for improved project and programme performance;
- e. to strengthen evaluation capacity; and
- f. to standardize processes and procedures used to monitor, evaluate, report on, and learn from programmes.

Key Concepts and Definitions

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

Planning is the act or process of making a plan or plans. A plan on the other hand is a scheme or method of acting, doing, proceeding, making, etc., developed in advance. Thus planning is the process of developing of such schemes and methods of acting in advance.

Evaluation is the systematic assessment of the design, implementation and/or results of a programme, project, activity, policy, strategy or other undertaking. The intention of evaluation is to provide credible and useful information with a view to determine the worth or significance of the undertaking, incorporate lessons learned into decision-making, and enhance the overall quality of the programming and operations.

Reporting is the systematic and methodical production of accounts or statements describing in detail processes, events, situation, or the like, usually as the result of observation, inquiry, etc.

Learning is the acquisition of knowledge by systematic means in any field scholarly or other application. It is the act or process of acquiring knowledge or skill. It is also the modification of behaviour through practice, training, or experience.

Functions similar to evaluation include appraisal (an assessment of the potential value of an undertaking during the conception phase), audit (an assessment of management controls and compliance with administrative rules, regulations and policies), investigation (an examination or enquiry into irregularities or wrong doing) and review (a rapid assessment of the performance of a topic or undertaking in absence of evaluation criteria e.g. usually operational issues). The definitions of other terms used in this policy framework are found in Annex 1.

Complementary and Interdependent Roles

While monitoring and evaluation are distinct functions, the organisation recognizes their complementary and interdependent roles. Findings from prospective evaluation (or similar processes such as appraisal or baseline studies), for example, are useful in defining indicators for monitoring purposes. Moreover, results from monitoring progress towards results can help identify important evaluation questions. It is primarily for these reasons that the two functions are integrated into the present policy framework.

MONITORING

CMD has introduced a number of tools to monitor progress towards results from the corporate to the departmental levels. These tools include multi-annual strategic planning (5 year basis), strategic budgeting, work planning, and logical frameworks for projects.

- a. **Multi-annual strategic planning:** At the corporate level, multi-annual plans shall be prepared every five years providing direction on a number of strategic priority areas with pre-defined indicators of achievement.
- b. **Strategic budgeting:** Strategic-based and results oriented programme budgets are prepared on a multi-annual or annual basis where a partner prefers the latter basis. These outline objectives and expected results. Departments are required to monitor and report progress on achieving pre-defined performance indicators. They thus have at the budgeting stage to generate the content of and monitor their component(s) of the budget(s) during programme or project implementation.
- c. **Annual work planning:** Departments are required to prepare and monitor annual work plans on the basis of the approved budget (**See Annex 2 for example of an annual work plan**). The departments should file these with the PMERL, Finance, and Office Management & Administration departments as well as file them in the **Public Depository**¹ by the end of the first month of the commencement of the implementation of a programme or project, and for CMD purposes by the 31st of January every year.
- d. **Quarterly work planning:** All departments are also required to prepare and monitor quarterly work plans (**See Annex 3 for example a of quarterly work plan!**). The departments should file these plans with PMERL, Finance, and Office Management & Administration departments and in the **Public Depository** by the end of the first week of the first month of each quarter.

¹ This is a programmes document management and storage system, electronic or otherwise, accessible at anytime to the Office of the ED, and to the PMERL, Finance, Office Management & Admin., ICT & Knowledge Centre and any other relevant departments as is necessary and appropriate.

Logical Framework Requirements and Other Tools for Partner/Donor-Funded Projects and Other Undertakings

CMD recognizes the usefulness of logical frameworks as a tool to manage for results. Project proposals, even where the partner/donor does not require them should, for internal CMD PMERL purposes include logical frameworks (**See Annex 4**) or optionally other appropriate results formulations such as logical matrices (**See Annex 5**), or outcome mapping designs (**See Annex 6**), and specify major activities, outputs, outcomes and impacts. The logical frameworks should be filed as annexes to the proposals with the PMERL Department and in the **Public Depository**. The logical framework should also be accompanied by an M&E plan also filed in the **Public Depository** (**See Annex 7**).

Performance indicators, means of verification and risks and assumptions should be specified in the logical frameworks for output and outcome level results; for projects or other undertakings in which an impact evaluation is to be performed, indicators of achievement and means of verification should also be specified for intended impacts.

Performance indicators should include baseline and target measures for expected results. In the event baseline information may not be available in the design phase or at the submission time of a proposal, Programme Managers should plan to obtain baseline or other relevant information within a reasonable period from project start-up (e.g. inception workshop) to ensure evaluability of results. When projects or undertakings are to be implemented jointly, logical frameworks should be discussed and agreed with respective partners.

Monitoring Criteria

For effective results-based monitoring and in order to ensure evaluability (the extent to which projects or undertakings can be evaluated both reliably and credibly), indicators should be formulated using SMART criteria (specific, measurable, attainable, relevant and time-bound):

- a. **Specific:** The indicator is sufficiently clear as to what is being measured and specific enough to measure progress towards a result.
- b. **Measurable:** The indicator is a reliable measure and is objectively verifiable. Qualitative measures should ideally be translated into some numeric form.
- c. **Attainable:** The indicator can be realistically met.
- d. **Relevant:** The indicator captures what is being measured (i.e. it is relevant to the activity/result).
- e. **Time-bound:** The indicator is expected to be achieved within a defined period of time.

EVALUATION

Purposes

Evaluation serves the following purposes:

- a. **Promoting organizational learning and quality improvement:** Perhaps more than other purposes, CMD views evaluation as an opportunity to learn how to do things better, more effectively, with greater relevance, with more efficient utilization of resources and with greater and more sustaining impact. The results of evaluations need to contribute to knowledge management and serve as the basis for enhancing the quality of its products and services.
- b. **Ensuring accountability:** As an organization receiving funds in the form of voluntary contributions from partners/donors, in addition to a growing proportion of funds in the form of self-generated income from individual beneficiaries for training services, the Institute is answerable to its sources of funding for delivering results.
- c. **Improving informed decision-making:** Results from evaluations provide the basis for informed, responsible decisions. Such decisions may include, for example, scaling up, replicating or phasing out a programme, project or undertaking; adjusting learning objectives; redesigning content, changing methodologies, assessment activities or modes of delivery; etc.
- d. **Providing leverage to mobilize resources for outcome-based programming:** One of the constraints facing the Institute is the tendency of donors to provide activity-based funding as opposed to results-based funding. This severely constrains the Institute's capacity to follow-up with beneficiaries as is often required in the field of training in order to determine whether changes in behaviour have taken hold. The Institute thus views evaluation as an opportunity to provide leverage to mobilize sufficient resources for outcome-based programming.

Guiding Principles, Norms and Standards

The international capacity development and evaluation communities have developed a number of guiding principles and good-practice norms and standards to ensure that evaluations meet quality requirements. The following five principles/norms/standards form part of the Institute's evaluation policy framework:

- a. **Utility:** Evaluation should be planned and conducted with a view to serve the information needs of its intended users, be they stakeholders internal or external to the Institute. Evaluation recommendations should flow logically from findings, be actionable and be presented in a clear and timely manner with the intention of incorporating results into learning and decision-making processes.
- b. **Accuracy and credibility:** Evaluation should be conducted with the necessary professional expertise and be based on the principle of impartiality. Evaluation should

use appropriate data collection and analysis which produce accurate, valid and reliable information. Findings should be open to reporting strengths and weaknesses as well as successes and failures.

- c. **Feasibility:** Evaluation should be as practical, politically viable and cost effective as possible, and should take into consideration time and financial and human resource requirements.
- d. **Consultation, access to information and transparency:** Evaluation should be conducted in a transparent manner with stakeholder consultation and access to relevant information. To the extent feasible, stakeholders should be engaged and contribute to the evaluation process by providing views, and such views should be reflected in evaluation findings in an impartial and balanced way. Consultants and others undertaking independent evaluation should have unrestricted access to information of the concerned programme, project or undertaking subject to evaluation, including project documents; terms of reference; training material; beneficiary views; results of decentralized evaluations, if relevant; and financial statements and reports, unless such information is considered by the Institute to be sensitive or confidential.
- e. **Propriety:** Evaluation should be undertaken in a legal and ethical manner with regard to the rights and welfare of those involved in and affected by assessments. Stakeholders invited to contribute to evaluation processes should be made aware of the purposes for and potential consequences of evaluation, and the Institute should seek their consent prior to them taking part in any evaluation exercise.

Criteria

CMD adopts the five widely-recognized criteria for evaluation that have been recommended by the OECD Development Assistance Committee:

- a. **Relevance:** The degree to which an undertaking responds to the needs and priorities of the targeted beneficiaries, a contextual situation to be addressed and donor priorities.
- b. **Effectiveness:** The extent to which an undertaking has achieved its objectives.
- c. **Efficiency:** The cost effectiveness of transferring inputs into outputs taking into consideration alternative approaches.
- d. **Impact:** The cumulative and/or long-term effects of an undertaking or series of undertakings which may produce positive or negative, intended or unintended changes.
- e. **Sustainability:** The likelihood of benefits derived from an undertaking will continue over time after its completion.

CMD acknowledges that not all criteria apply to all evaluations and that decisions on which criteria shall apply to a given situation should be based on the type of evaluation, the main evaluation questions and considerations related to methodology and feasibility. Guidance for the application of criteria is discussed below.

Categories and Types of Evaluation

Categories

CMD undertakes two broad categories of evaluations: corporate and decentralized.

Corporate evaluations are in the first instance assessments conducted and managed by the PMERL Department as and when required by the organization or at the request of programmes or relevant department for the purpose of providing additional evaluation of projects or other undertakings. Such evaluations may be undertaken internally (conducted by the PMERL Department) or externally (in which case expertise outside CMD would be retained). In the second instance corporate evaluations as reviews of decentralized evaluations will be conducted by the PMERL Department at the end of every two succeeding quarters (by the end of the second month of the next two quarters) for quality assurance and other relevant purposes.

Decentralized evaluations are departmental self-assessments conducted by the CMD programmes. For the most part, decentralized evaluations are undertaken at the project or activity level, but may conceivably include any subject under any entity's purview. While self-evaluation has similarities with the monitoring function, the assessment exercise should seek to ask and respond to key evaluation questions and include critical analysis and reflection based on the data collected. Each department shall undertake self-assessments of its programmes or projects at the end of every two successive quarters by the end of the first month of the next two quarters.

Given the characteristics of CMD and the sources of funding for much of its programming, most evaluations will likely take the form of self-assessments. The organisation further recognizes that self-assessments and other evaluations are complementary, and that the evaluation of some undertakings may include both approaches.

Corporate and decentralized evaluations may be undertaken individually (i.e. in the absence of any partners), jointly (with at least one other partner e.g. donors and/or implementing partners) and/or through participatory (i.e. involving stakeholders and/or beneficiaries) approaches.

Table 1 summarizes the categories and provides examples of evaluation that may be undertaken at the Institute

Category	Definition	Examples	When
Corporate	Evaluations or reviews undertaken or managed by the PMERL	<ul style="list-style-type: none"> - Strategic and policy evaluations - Meta evaluations - Thematic evaluations - Additional evaluation of programmes or projects - Reviews of decentralized, self evaluations 	Reviews of decentralized, self evaluations done by the departments to be done at the end of every two succeeding quarters by the end of the 2 nd month of the first next two quarters.
Decentralized	Self-assessments conducted by departments or programmes	Department/programme or sub-programme level, including project and activity evaluations (baseline studies, formative evaluations, outcome evaluations, etc.)	Self-assessments conducted by departments or programmes for every two succeeding quarters by the end of the first month of the next two quarters.

Types of Evaluations

Evaluation may be performed at different times and address different elements of the results chain, from assessing needs or determining baseline conditions at project conception to evaluating the impacts of a project’s contribution to development goals. Between these two points evaluation may include formative or other types of process-related assessments, evaluations of outputs, and, or summative evaluations focusing on different levels of outcomes. **Evaluations to determine baseline conditions should be conducted at the conception stage of every project (See Annex 8a and 8b – results and tools used in the joint CMD- Kenya – NIMD Kenya Political Context of January 2014 for an example on how to do baselines!).**

Given CMD’ s varied programmes and activities and many with learning objectives, it is useful to distinguish between intermediate outcomes (e.g. enhanced knowledge and skills of beneficiaries) and institutional outcomes (e.g. strengthened organizational capacities as the result of applied knowledge/skills, increased policy coherence or efficiency, etc.).

Discretionary Evaluations

Apart from the requirements enumerated other evaluations may be desirable in order to provide information on an undertakings' implementation (e.g. formative evaluations, mid-term evaluations, etc.) or contribution to higher-level achievements (e.g. impact evaluation, return on investment evaluation). Such evaluations are discretionary, unless specifically required by a donor or partner. Given cost and methodological considerations, any decision to perform impact evaluation should be based on an evaluability assessment prior to project implementation.

Evaluation Planning and Management

Evaluation Planning

All projects, activities and other undertakings should be conceived in a results-based manner in order to ensure evaluability.

All partner/donor-funded projects or other undertakings should include a clause in the project document specifying evaluation requirements and relevant modalities (e.g. joint evaluation, participatory evaluation; self-evaluation, independent evaluation; and type(s) of evaluations in relation to process and/or level(s) of results). In the event a project document is not required, the relevant letter or memorandum of agreement should specify monitoring and evaluation requirements.

Evaluation of projects or other undertakings should be included in the work planning of the CMD' s departments and programmes from which the PMERL Department will prepare and maintain on a rolling basis a corporate evaluation plan. Evaluation plans should include information related to the category of evaluation (e.g. corporate, decentralized), type, methods, budget, scheduling and reporting.

For independent, external evaluations, relevant terms of reference will be prepared using international standards and good practice, and include the following elements: the context and purpose of the evaluation, scope, main evaluation questions, methodology (data collection tools and analysis), work plan, learning products of the evaluation, intended use of results and qualifications.

Costs to carry out evaluation vary and depend on the purpose/type/scope of the evaluation, main evaluation questions and data collection methods. Sufficient resources should be identified and made available for both decentralized and corporate evaluations (including internal and/or external independent evaluations).

Evaluation costs should be adequately budgeted in project/activity proposals by the relevant CMD departmental entity. Evaluation costs should also be taken into consideration in

determining the price structure of fee-paying training and training-related services (e.g. fee-based e-courses).

Evaluation Management

In conducting evaluations, CMD acknowledges that different evaluation designs as well as quantitative, qualitative and mixed methods for data collection and analysis exist. The most appropriate design(s), method(s), approach (es) and/or technique(s) should be selected, taking into consideration the evaluation question(s), scope, criteria, human and financial resource requirements and availability, as well as guiding principles and good practice standards.

All independent evaluations should include a response from management in relation to the evaluation's findings, conclusions, recommendations and lessons-learned.

PMERL EVIDENCE BASED REPORTING

Results from CMD's PMERL exercises are to be recorded in the following formats: Programme Performance Reports, Results Summaries, Completion Reports, Corporate Evaluation Reports and Self Evaluation Reviews. Other types of reporting formats such as inception reports, mid-term reports, annual reports, impact evaluation reports, etc. may be used in addition to (or, where relevant, in lieu of) these formats if required by donor or partner.

- a. **Programme Performance Reports** record programme performance based on expected accomplishments, indicators of achievement and performance measures, as recorded in results/strategic-based budgets. PPRs should be prepared by all departments, and submitted to the PMERL by the end of each year using a standard reporting template. They should be filed in the **Public Depository** by the end of the second month of the succeeding year. To monitor progress, an interim report will be prepared and submitted at the mid-point of the year. The reports should be accompanied by appropriate means of verification such as statistics, vision & audio based evidence, tools, aids, and manual used, etc.
- b. **Results Summaries** summarize results at the output and outcome level in relation to performance targets. Results summaries are used for and should be prepared immediately after activities, events, and projects budgeted at \$50,000 or less and filed with PMERL and **Public Depository** one week after the end of the activity at the latest. This must be accompanied by means of verification; mandatory and also annexed to the report placed in the **Public Depository** are means of verification - lists of participants (where they had to be used), vision & audio based evidence (e.g. photos, videos), copies of statements of resolutions/agreements/decisions, etc., copies of aids/tools used, and copies of written materials presented and or used by facilitators/speakers, etc.
- c. **Completion Reports** record findings, conclusions, recommendations and lessons learned (if relevant) from evaluations and focus on the output and/outcome levels of results. Completion Reports should be prepared by all programmes and other entities if an evaluation of results is required. They should be filed with PMERL and **Public Depository**.
- d. **Corporate Evaluation Report (CER)** should be prepared by the PMERL at the end of the first quarter of each succeeding year based on a review of completed decentralized and corporate evaluations (see page 11 of this PMERL Policy). The CER will highlight outcome-level results and summarize recommendations and lessons learnt as well as provide assessment of how evaluation processes have generated learning, quality improvement and enhanced decision-making. The CER should be presented to the CMD Board on annual basis and will be filed in the **Public Depository**.

- e. **Self Evaluation Reviews** are independent reviews conducted by the PMERL Department on the decentralized self evaluations and primarily for quality assurance purposes (see page 11 of this PMERL Policy!).
- f. **Partner/Donor/Grantor Specific Reports:** These are reports required as part of grant of funding contractual obligations. These shall be prepared as per grant contractual specifications. Drafts should be ready 3 weeks before the due date and shall be sent to the grantor a week before the due date at the latest. These are for programme accountability, tracking progress of achievement of results, and project or programme performance.

Table 4 below summarized the different reporting formats and requirements of CMD

Resort Type	Definition	Primary Use	Requirements/Who	Requirements/When
Programme Performance Report	Focuses on measuring expected accomplishments as indicated in the results/strategic based budget, and provides a general assessment statement and lessons learned	Programme accountability and monitoring/ self-evaluation tool to track progress on achieving results, identify challenges and lessons learned	All departments in the results/strategic based budget with pre-established indicators	Full report by the end of the first month of the subsequent year; Interim report at the mid-point in the year under review
Result Summaries	A concise reporting template summarizing results at the output and outcome level for e-courses and activity-events or small scale projects budgeted at \$50,000 or less	Accountability and activity/event/project performance reporting	All Programme departments	Within a week of the activity/event/ project completion
Completion	A detailed	Learning and	All programmes	Periodically, within

Reports	project evaluation report focusing on the attainment of results for medium to large scale projects	enhanced decision making and quality improvement. Also for accountability purposes	Departments if an evaluation of results is required.	two months of project completion.
Corporate Evaluation Report	Provides a review of completed decentralized and corporate evaluations	To aggregate main findings, conclusions, recommendations and lessons learned	PMERL Dept.	Every year
Self-Evaluation Reviews	Provides independent review of self-evaluations	Quality assurance and application of standards and guidelines	PMERL Dept.	As stated on page 11 of this PMERL Policy
Grant contract specified reports	Provides a review of a project or programme as per grant contract specifications and or mutually agreed on terms	Programme accountability, tracking progress of achievement of results, and project or programme performance.	Programme departments	As per grant contract specifications

DISSEMINATION AND DISCLOSURE

Reports will be accessible in a Public Depository with a view to ensure transparency and facilitate knowledge management and application of lessons learned.

KNOWLEDGE MANAGEMENT AND ORGANISATIONAL LEARNING

As one of the main purposes of evaluation, the creation, storage, management and dissemination of knowledge is essential. In view of promoting organizational learning and contributing to quality improvement of CMD's products and services, regular learning sessions will be organized to share lessons learned on evaluation processes and outcomes. The learning sessions will be organized jointly by the PMERL Department.

ROLES AND RESPONSIBILITIES

The Institute has a shared system of role and responsibilities in performing monitoring and evaluation functions.

Office of the Executive Director

The Office of the Executive Director provides overall direction, leadership and management of the CMD Secretariat. The Office's roles and responsibilities are the following:

- a. Submits the Institute's results-based programme and strategic budget to the Board of for approval;
- b. Submits other relevant documents to the Board for review, including the CMD's Strategic Plans, Programme Performance Reports and Corporate Evaluation Reports; and
- c. Identifies projects and undertaking for, and requests the Monitoring and Evaluation Department to perform, corporate evaluations.

PMERL Department

The Monitoring and Evaluation Department acts as the custodian of the monitoring and evaluation functions. The section's roles and responsibilities are the following:

- a. Oversees the application of the policy framework, identifies bottlenecks and constraints and makes recommendations for updating the requirements or other elements of the framework, in line with international good practice, lessons learned as well as and the evolving programming and operational needs and characteristics of CMD;
- b. Facilitates regular interaction in-house with managers and other staff, collects feedback and facilitates learning on the framework;
- c. Conducts research and engages in critical and analytical reflection as well as issues recommendations to management for compliance with the framework;
- d. Prepares and circulates guidelines, checklists, templates and other tools to facilitate the application of the framework;
- e. Develops and promotes standards for evaluation and quality assurance;
- f. Conducts and/or manages corporate evaluations at the request of the Executive Director and/or programmes and other Institute divisional entities;
- g. Undertakes reviews of decentralized evaluations on periodic and selective basis for quality assurance purposes;
- h. Prepares and maintains a depository of annual work plans;
- i. Prepares, maintains and monitors the implementation of an annual evaluation plan based on scheduled corporate and decentralized evaluations;
- j. Prepares a synthesis and maintains a compilation of Programme Performance Reports based on submissions from programme management;

- k. Prepares a biennial Corporate Evaluation Report based on a review of completed corporate and decentralized evaluations;
- l. Maintains a public depository of evaluation reports with a view to ensure transparency and facilitate the integration of lessons learned and best practices into the broader concept of knowledge management;
- m. Oversees the development and maintenance of an intranet-based knowledge navigator tool to stock, manage and disseminate lessons-learned from evaluations;
- n. Promotes knowledge management, organizational learning and lessons learned by keeping abreast of innovative practices in the field of evaluation and monitoring, identifying relevant state-of-the art techniques, tools and methods, and providing departments with guidance on the use of respective tools and methods;
- o. Commits to sharing best practices and lessons learned for the purpose of enhancing the quality of the Institute's products and services; and
- p. Collaborates and coordinates with other departments on issues related to monitoring and evaluation.

Programme Management

Programme management is a generic term comprising the manager-level posts of all departments, including programmes, and other offices. In this particular regard Finance, Political Parties Strengthening, Gender and Inclusivity, Communication & Youth, Sports, and ICT & Knowledge Centre. Programme management's roles and responsibilities are the following:

- a. Undertakes PMERL functions in accordance with the present policy framework, including monitoring progress towards results, as well as planning and conducting decentralized, self-evaluations;
- b. Informs donors and implementing partners of CMD's evaluation requirements when preparing and negotiating project agreements and modalities for cooperation, and ensures that PMERL modalities are specified in project documents or related agreements;
- c. Budgets resources for the planning and undertaking of self- and/or independent evaluations in line with applicable evaluation requirements;
- d. Incorporates evaluation into annual work planning and informs the PMERL Department of the scheduling of evaluations on a rolling basis;
- e. Submits copies of results and/or reports of decentralized, self-evaluations undertaken to the PMERL Department and files a copy in the **Public Depository** upon completion;
- f. Follows-up on findings, conclusions, recommendations and lessons-learned of independent evaluations in the form of a management response;
- g. Implements recommendations of evaluations provided that they are relevant and actionable, and indicates expected dates for completing implementation; and,
- h. Commits to sharing best practices and lessons learned for the purpose of enhancing the quality of CMD's products and services

ANNEX 1 – 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.

Best practices

Planning, organizational and, or managerial methods, processes, techniques or other practices which have produced consistent superior results to those achieved by other means.

Corporate evaluation

Independent evaluations undertaken and, or managed by the PMERL.

Decentralized evaluation

Self - assessment evaluations conducted by programmes or other departmental entities of CMD.

Effectiveness

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

Efficiency

Efficiency is 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

The systematic assessment of the design, implementation and, or results of a programme, project, activity, policy, strategy or other undertaking. The intention of evaluation is to provide

credible and useful information, in view of determining the worth or significance of the undertaking, incorporating lessons learned into decision-making and enhancing the overall quality of CMD's programming and operations

Event (or activity-event)

A major activity organized in the form of a briefing, conference, workshop, public forum, town hall meeting, meeting, seminar, side - event, etc. and possible announced by CMD through a publicly accessible means.

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. This type of evaluation typically focuses on determining whether a programme is being implemented according to plan.

Indicator

An indicator is 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 delivered. E.g. increased level of knowledge or skills retained after training or knowledge and skills applied on the job as a result of training.

Impact

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

Knowledge management

A range of strategies, processes and techniques used to create, share and manage knowledge.

Lessons learned

These are generalisations derived from an evaluation and applicable to a generic rather than a specific situation.

Logical framework

A results-based project framework design based on a causal relationship linking inputs, activities, outputs, outcomes and impact, with objectively verifiable indicators to measure progress towards the achievement of results.

Monitoring

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

Output

Final products or services delivered.

Outcome

These are changes in behaviour or development conditions.

Project

A set of planned and interrelated activities designed to achieve specific objectives within a given budget, time period 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 Institute's mandate and organizational goals.

Special event

An event organized at the corporate level with the participation of high-ranking personalities. Special events include meetings of the Board, and AGM;

Summative Evaluation

A type of evaluation intended to provide information about the merit, worth and impact of a programme or project. Summative evaluation is usually conducted at the end of a programme or project to determine if anticipated results were achieved.

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Annex 2 - Annual Work Plan

Project Title: Partner/Donor: Overall Objective of the Programme/Project:						
Objective(s)	Activity (ties)	Results/outputs	Results/outputs indicators	Outcomes and indicators	Schedule of implementation	Responsibility
List the specific objectives of the programme/project. These are to be listed in the format of intentions; e.g. <u><i>"To engage and enhance the role of political parties and through them the mass public in the realisation of the new constitutional dispensation including devolution"</i></u> .	List the activities to be undertaken in the calendar year (12 months) towards realising the objectives;	These are what is or are attained or obtained in the short to medium term or immediately after an activity. Usually the delivery of results and outputs are very much in the control of the programme or of CMD; e.g. <u><i>"Lobby, advocacy done and joint working efforts made with the national govt & county govts to put in place: appropriate measures for public participation"</i></u> ;	These are the factors to indicate that a result or output has indeed been attained; e.g. <u><i>joint measures agreed on, or developed, or put in place by county governments to facilitate public participation"</i></u>	These are medium to long term results and usually depend not just on the programme or CMD but on other organisations, partners, stakeholders etc. e.g. <u><i>County policies and legislations on public participation in place and effectively functioning</i></u>	Here provide a listing for the entire calendar year (12 months) indicating when the activities are to be implemented.	Who or which programme person of otherwise is responsible for the implementation

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Annex 3 - Quarterly Work Plan (NB: the quarterly work plan could vary from the annual work plan depending on circumstances)

Project Title: Partner/Donor: Overall Objective of the Programme/Project:						
Objective(s)	Activity (ties)	Results/outputs	Results/outputs indicators	Outcomes and indicators	Schedule of implementation	Responsibility
<p>List the specific objectives of the programme/project. These are to be listed in the format of intentions; e.g. <u><i>“To engage and enhance the role of political parties and through them the mass public in the realisation of the new constitutional dispensation including devolution”.</i></u></p>	<p>List the activities to be undertaken in the next 3 calendar months towards realising the objectives;</p>	<p>These are what is or are attained or obtained in the short to medium term or immediately after an activity. Usually the delivery of results and outputs are very much in the control of the programme or of CMD; e.g. <u><i>“Lobby, advocacy done and joint working efforts made with the national govt & county govts to put in place: appropriate measures for public participation”;</i></u></p>	<p>These are the factors to indicate that a result or output has indeed been attained; e.g. <u><i>joint measures agreed on, or developed, or put in place by county governments to facilitate public participation”</i></u></p>	<p>These are medium to long term results and usually depend not just on the programme or CMD but on other organisations, partners, stakeholders etc. e.g. <u><i>County policies and legislations on public participation in place and effectively functioning</i></u></p>	<p>Here provide a listing for the 3 calendar months indicating when the activities are to be implemented. Indicate the week of the month and particular dates if possible.</p>	<p>Who or which programme person of otherwise is responsible for the implementation</p>

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Annex 4 – Logical Framework

Concrete example from the CMD- Kenya AND UN WOMEN Project: Increasing Women’s Participation in Political Parties and Electoral Processes

PROJECT OBJECTIVES	PRIORITY ACTIVITIES	VERIFIABLE INDICATIONS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS
<p>1. To educate women aspirants/candidates on what it takes to run a successful and effective campaign</p>	<p>OUTPUTS</p> <p>Output 1: Knowledge and information on successful and effective campaign strategies and tactics imparted to women aspirants/candidates</p> <p>Activities:</p> <p>i. Hold fifteen (15) aspirants/candidates training sessions at bi-lateral levels or through clustering of like-minded political parties/alliances Each session to bring 70 participants selected by the political party</p>	<ul style="list-style-type: none"> ○ Numbers & rankings of women aspirants/candidates trained ○ Numbers of political parties/clusters representatives trained ○ Numbers and ranks of women trained and vying for political office 	<ul style="list-style-type: none"> ○ Lists of forum participants ○ Forum Reports (narrative and financial) 	<ul style="list-style-type: none"> ○ That women leaders and women aspirants, including women with disabilities are ready will pro-actively engage in the political and electoral processes ○ That the political and electoral environment is going to

<p>2. To commit political parties to adhere to the gender rule, and affirmative action in their nomination and compilation of part lists electoral process</p>	<p>ii. Track and analyze emerging issues likely to impact on the campaigns of women aspirants</p> <p>Output 2: Political Parties Commit to the adherence to gender equity and equality as well as Affirmative Action provisions in the new constitution in political parties increased</p> <p>Activities</p> <p>i. Hold 4 debriefing sessions targeting emerging political alliances and formations on the gender rule and affirmative action principles in the Constitution and electoral laws.</p>	<ul style="list-style-type: none"> ○ Analysis of emerging issues carried out ○ Numbers of political parties committing to adherence to the gender rule and affirmative action ○ Number of political party leaders attending & supporting resolutions on the gender rule and affirmative action ○ Number and 	<ul style="list-style-type: none"> ○ Reports/policy briefs 	<p>be women friendly</p> <ul style="list-style-type: none"> ○ That political parties through the adhere to the gender rule and affirmative action provisions in their structures
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	<p>Each session targeting 50 participants</p> <ul style="list-style-type: none"> ii. Hold three Cross-Party national sensitization fora for key women leaders from the registered political parties targeting 50 participants iii. Hold three cross-party debriefing sessions for CMD Board members and women leaders. The first session will discuss gender requirements and party lists; the second will disseminate an audited account of Party Lists and gender compliance levels and the third session will be a post election stock taking of the performance of parties in relation to the gender rule and affirmative action iv. On site assessment of 10 constituencies to ascertain friendliness or otherwise of the political party/electoral environment to women candidates v. Carry out Summative Evaluation at the end of the Project 	<p>rankings of women appearing on Party List Seats</p>	<ul style="list-style-type: none"> ○ Records of written and other commitments by political parties to adherence ○ List of participants ○ Narrative and 	
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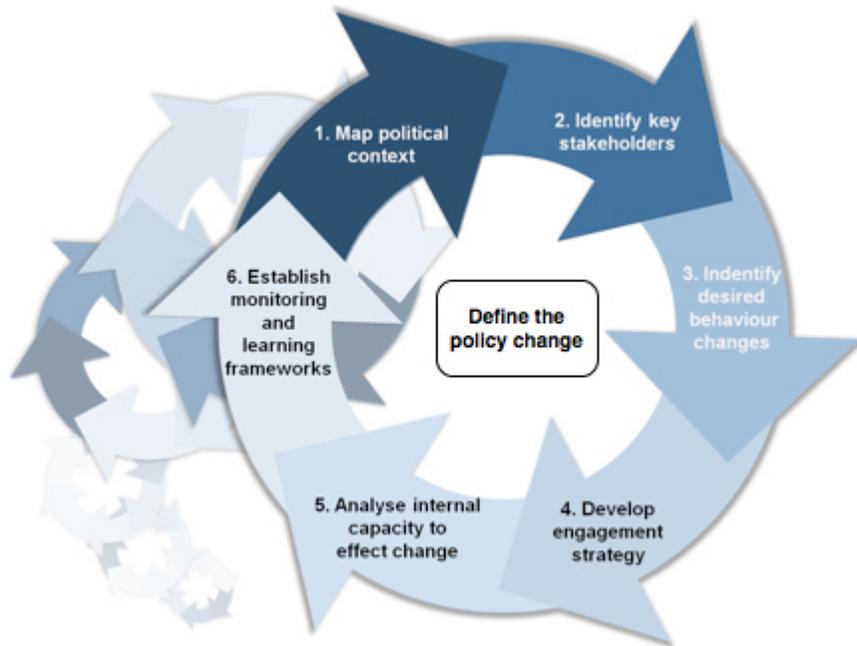
			financial reports	
			<ul style="list-style-type: none">○ Filed reports from onsite checks	

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Annex 5 – Logic Matrix (see Annex 5 that has been availed separately!)

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Annex 6 – Outcome Mapping Design



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Annex 7 – M&E Plan

Expected results	Indicators	Quarterly indicator milestones	Sources/ Means of verification	Baseline (with timeframe)	Collection methods (with frequency)	Responsibilities
<p>Outcome 1:</p> <p><i>Increased women leadership in both elective and affirmative action positions</i></p> <p>Outputs:</p> <p>Output 1:- Understanding by women leaders/aspirants of electoral related gender specific provisions in the Constitution of Kenya and relevant laws</p>	<p>Profiles, rankings, & numbers of women leaders and aspirants trained under the project.</p> <p>Completed analyses of emerging issues that could affect the performance of</p>	<p>Quarter 1: -</p> <p>Activity 1.1, 4 (four) training sessions (280 persons).</p> <p>Activity 1.2., 1 (one) learning paper.</p> <p>Quarter 2: -</p> <p>Activity 1.1, 4</p>	<p>Statistics, data, and reports (narrative and financial) of the training sessions.</p> <p>Learning papers of the analyses produced and records on how they have been shared with women leaders/aspirants and</p>	<p>Rapid assessment of the status quo, in situ, etc., within first two months of Quarter 1.</p>	<p>Written reports (narrative and financial) at the end of each activity in each quarter.</p> <p>Question and answer of a sample of project</p>	<p>Project Staff and facilitators</p> <p>Political Party Governing Organs</p> <p>CMD-Kenya Oversight Board</p>

enhanced.	women in the elections and sharing of the information with women leaders/aspirants and others.	<p>(four) training sessions (280 persons).</p> <p>Activity 1.2, 1 (one) learning paper.</p> <p>Quarter 3: -</p> <p>Activity 1.1, 4 (four) training sessions (280 persons).</p> <p>Activity 1.2, 1 (one) learning paper.</p> <p>Quarter 4: -</p> <p>Activity 1.1, 4 (four) training sessions (280 persons).</p> <p>Activity 1.2, 1 (one) learning paper.</p>	others.		<p>participants per quarter;</p> <p>The interactive plenaries of each of the training sessions, forums, and debriefing session activities in each quarter shall serve a dual purpose of also being focus group discussions (FGDs).</p> <p>Participant and non-participant observation in each activity in each quarter.</p> <p>Key informant interviews (KIIs) with a sample of</p>	
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					participants in each quarter.	
<p>Output 2: -</p> <p>Political parties commit to adhere to the gender rule, and affirmative action in their nomination processes and compilations of part lists in the electoral process.</p>	<p>High level of attendance and active participation by leaders and representatives of political parties in the gender and affirmative action forums.</p> <p>Political parties and leaders committing to adherence on the gender rule and affirmative action.</p> <p>Rankings/numbers of women appearing on party</p>	<p>Quarter 1:</p> <p>Activity 2.1, 1 (one) debriefing session (50 persons).</p> <p>Activity 2.2, 1 (one) cross party national forum (50 persons).</p> <p>Activity 2.3, 1 (one) cross party debriefing session for CMD-Kenya Board and women leaders (60 persons).</p>	<p>Statistics, data, and reports (narrative and financial) of the gender forums.</p> <p>Written/documented and or other means of expression of commitment to adhere to the gender rule and affirmative action.</p> <p>Characteristics of party lists.</p> <p>Media reports on the fora.</p> <p>Media reports on the</p>	<p>Gender and affirmative action analysis of party policy documents, electoral laws and regulations</p>	<p>Cataloguing of electoral laws and regulations</p>	<p>Project staff and Technical team</p>

	<p>lists.</p> <p>High level of attendance, active participation by women leaders in the fora.</p> <p>High level of attendance, active participation, and resolutions made in the sessions.</p> <p>Completed/finished assessments of conduciveness.</p> <p>Completed summative evaluation.</p>	<p>Quarter 2:</p> <p>Activity 2.1, 1 (one) debriefing session (50 persons).</p> <p>Activity 2.2, 1 (one) cross party national forum (50 persons).</p> <p>Activity 2.3, 1 (one) cross party debriefing session for CMD-Kenya Board and women leaders (60 persons).</p> <p>Quarter 3:</p> <p>Activity 2.1, 1 (one) debriefing session (50 persons).</p> <p>Activity 2.4 on site assessment</p>	<p>sessions.</p> <p>Field reports of the assessments.</p> <p>Bi – annual narrative reports</p> <p>Project monitoring and evaluation plan and implementation schedule</p>			
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		<p>of 10 constituencies.</p> <p>Quarter 4:</p> <p>Activity 2.1, 1 (one) debriefing session (50 persons).</p> <p>Activity 2.2, 1 (one) cross party national forum (50 persons).</p> <p>Activity 2.3, 1 (one) cross party debriefing session for CMD-Kenya Board and women leaders (60 persons)</p> <p>Activity 2.5 Summative Evaluation at the end of the Project</p>				
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Annex 8a – Results of CMD – NIMD Political Context Scan

Results of Political Context Scan and Most Significant Changes & Challenges Identified

Below are the results of the political context presented together with the Most Significant Changes (looking backwards) and Challenges (looking forward) identified at the three levels.

1. System: Scanning the Development of the Political Arena

**Results Political Context Scan
→ Political Systems level**

Indicators	Stage 1 Basic	Stage 2 Developing	Stage 3 Maturing	Stage 4 Established	Comments
1. Level of political representation		Group 3	Group 1 Group 2		
2. Level of political participation		Group 3	Group 1 Group 2		
3. Access to the political system by parties			Group 1 Group 3	Group 2	
4. Level of development of the party system		Group 1 Group 2 Group 3			
5. Free, fair and credible elections	Group 1-1	Group 1 -2 Group 3	Group 1 -2 Group 2		Group 1: 1,2,2, different opinions

The discussion on the results presented above made it clear that the Kenyan political system currently oscillates between developing (2) and maturing (3), having made significant strides away from basic (1). Participants noted that among the important provisions for improvement towards the future are the issue of public financing of electoral processes. The levels of political representation and participation were seen as rapidly improving and growing; whereas the development of the party system was still inhibited by instability between the different parties, the large amount of parties and movement across parties. In terms of process, the participants noted that the main differences between the more academic oriented participants and the practitioners of CMD-K seemed to stem from the latter focusing more on the legal provisions being in place and the academics more on the implementation of these laws. On the basis of these findings, the participants identified the following changes and challenges at the level of the Kenyan political system.

Changes and Challenges in the political system



Most Significant Changes

1. New constitutional dispensation (2x)
2. New political parties act
3. New electoral structures
4. Recognition of diversity has improved / affirmative action
5. Political parties funding is guaranteed
6. Checks and balances are more balanced
7. Emergence of a 2 horse race in pres. elections
8. Emergence of pre-election pacts
9. 50% + 1 - rule

Most Significant Challenges

1. Prohibitive cost of national political system (not sustainable)
2. Majoritarian dictatorship
3. Lack of stabilities in political parties (2)
4. Future of coalition politics (2)
5. Lack of common understanding on devolution
6. Political commitment on affirmative action is lacking
7. Ethnicity and personality driven politics
8. Internalise the pure presidential system and practices
9. Political parties act, esp section 25.2 on funding versus political reality – is not fair
10. Buy in of big parties in CMD-K activities

It was noted that the Kenyan political system has gone through a large number of changes in terms of legislation over the last 2 years and that both parties and citizens need to internalize the implications these have on the political system.

2. Actors: Scanning the Skills and Capacities of Parties

Results Political Context Scan → Political Actors level



The level of political actors looked specifically at political parties, the main stakeholder in the work of CMD-K.

Indicators	Stage 1 Basic	Stage 2 Developing	Stage 3 Maturing	Stage 4 Established	Comments
1. Political parties develop program. positions on substantive issues		Group 1 Group 3	Group 2		
2. Rootedness in society			Group 1 Group 2 Group 3		
3. Functioning party organisations		Group 1 Group 2 Group 3			
4. Parties have a functional & effective relation with their MPs	Group 1 Group 2 Group 3				
5. Political parties translate & apply democratic principles in their functioning		Group 2 Group 3	Group 1		

Overall, it was noted that the political parties in Kenya are “developing” with ever-stronger rootedness in society but that there are very weak relations between parties and their legislators. This was even seen more broadly with all elected officials. As to the point of functioning party organisations, participants agreed that by law parties had to have secretariats. However, these were still in the first stages of development for many parties and there was still a significant amount of work needed to ensure that they function effectively, especially in the period between elections. Significant here is for parties to have clearly identifiable policy positions and to operate on programmatic bases. It was noted that between 20-30% of parties have comprehensive manifestos and that through processes of strategic planning and prioritization as well as other initiatives, many parties are moving in the right direction. To this

end CMD-Kenya has from 2013 been collaborating on a strategic plan development programme with International IDEA that has so far seen 10 political parties develop strategic plans.

The changes and challenges identified were:

Changes and Challenges in the political actors



Most Significant Changes

1. Youth bulge in politics (2)
2. Affirmative action has improved (more women, minorities, youth) (2)
3. Intra party democracy increasing
4. Adoption of pure presidential system
5. Increased sectoral, issue based politics

Most Significant Challenges

1. Ethnicity and personality is still an issue
2. Institutional and structural weaknesses / fluidity of pol parties
3. Political parties dormant in between election
4. No distinction between party member and supporters
5. Lack of enforcement of the legal framework spec. Office of registrar is an obstacle
6. Party primaries have a democratic deficit
7. New parties continuously emerge
8. Parliament passing laws undermining the constitution
9. Sustainability of political prog undermines
10. Most parties locked out of political funding
11. Political actors disregard the law

While several very positive changes were mentioned, the discussion revealed that there still remains a large number of weaknesses in both the institutional environmental and the make-up of political parties. Examples were given of how the sustainability of parties was being undermined by lack of access to funding and the constant fluidity or state of flux of the party system.

3. Culture: Scanning the Democratic Values and Behaviours of Political Actors

In the area of political culture, participants examined several aspects relating to democratic values and behaviours, including political violence, inter-party communication and interaction, and the extent to which political actors actually uphold the rules and regulations they are bound by. The results varied between the groups, as presented below.

Results Political Context Scan → Political Culture level

Indicators	Stage 1 Basic	Stage 2 Developing	Stage 3 Maturing	Stage 4 Established	Comments
1. Citizens have trust in the political parties	Group 1	Group 3 Group 2			
2. Level of inter party interaction		Group 3	Group 2 Group 1		
3. Rule bound behaviour by political actors		Group 3 Group 2	Group 1		
4. Level of political violence		Group 3	Group 2 Group 1		
5. The level of tolerance of divergent political views		Group 3	Group 2 Group 1		

During the discussion, emphasis was placed on positive developments noticed against the backdrop of the post-election violence in 2007/2008. Specifically that there now seems to be a higher degree of tolerance for expressing opposing viewpoints (with a few noted exceptions). This dynamic was also noticed within the workshop itself. However, no consensus could be reached between the different participants, especially in the area of rule-bound behaviour. It was emphasized that within the Kenyan political context the development of political culture is not a 'natural process' and seems to go one step forward and two steps back. Examples included

the implementation of *The Political Parties Act 2011* and the *Elections Act 2011* to help regulate the functioning of political parties and start changing their mindset, which was anyway thought to be working to some extent. At the same time, when a move was made to change laws on party hopping and on educational requirements for eligibility to contest public office, many political parties did not agree with these and fought these changes². It was also noted that the many examples brought up illustrate that there is a high degree of political activism in Kenya and that political consciousness is increasing through electoral competition, litigation, and other political processes.

The most significant challenges discussed were issues that remain prevalent, including weak constitutional enforcement; a weak rule of law culture, and general negative attitude toward political institutions. Please see the full results below.

² It should be noted though that also that there was a High Court ruling declaring the educational requirements unconstitutional.

Changes and Challenges in the political culture



Most Significant Changes

1. ICC proceeding is a wake up call, less hate speeches
2. Some level of increased discipline
3. Civilized public and presidential debate
4. Mixed, but increasing, level of confidence in judiciary (sometimes high, sometimes low)
5. Reduced electoral based violence
6. Expedious and more predictable electoral petitions (timeline)

Most Significant Challenges

1. Party-hopping
2. Lack of effective party conflict resolution mechanisms
3. Weak constitutional and rule of law culture
4. Negative image of civil servanthood
5. Loss of confidence in ability of public institutes to deliver (highly paid, but not efficient)
6. Public lack of respect for political institutions
7. Mobilising around ethnicity
8. Actualisation of affirmative action
9. High cost of accessing justice

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Annex 8b – Tools for Political Context Scanning (Developed by the NIMD and pilot tested in conjunction with CMD-Kenya)

Political System: Scanning the development of the political arena						
Key Indicators	Stages	Basic 1.	Developing 2.	Maturing 3.	Established 4.	Additional info on indicator/comments
1. Level of political representation		Politics is dominated by self-interested small elite	The political arena includes a limited representation of some citizens	The political arena includes a representation of most citizens, including a limited amount of women and minorities	Political parties represent citizens, including women and minorities	
2. Level of political participation		Variety of barriers to active political participation showing in low voter turnout; lack of grassroots activism; high barriers for women to participate in political process	Limited amount of barriers to participation resulting in (only) some parts of society being able to participate	Overall ability of citizens to participate politically though still some barriers persist including limits of freedoms and women's political participation	There are no barriers for citizens to effectively and actively participate in political life of society through participating in political parties, voting or standing for election or other forms of participation.	
3. Access to the political system by parties		(Opposition) parties are effectively banned from forming a party and/or to participate in elections	While there is a limited amount of (opposition) parties, there are still significant obstacles for them to gain access to the system.	Political parties have access to the system but modest barriers persist(e.g. party leaders face occasional political harassment by authorities).	Political parties have no barriers to effectively access the political system and participate in political processes (including participation in the electoral processes)	
4. Level of development of the party system		Only one political party dominates politics. Other	Multiple political parties exists with basic	Multiple political parties exist, which are relatively	There is high level of political contestation	

	parties exist but have no capacity to reasonably participate in elections.	capacities to participate in elections. There are constant changes in the configuration of political parties.	stable and participating in electoral processes with reasonable capacity.	among political parties that are stable, with each one of them having a effective capacity to contest in electoral processes.	
5. Free, fair and credible elections	There are elections held, but they cannot be qualified as free, fair or credible elections.	There are elections held without a significant amount of violence but with irregularities that affected the outcome of the elections.	There were deficiencies and some degree of fraud and irregularities but these did not in the end affect the outcome of the elections, and there are on-going reforms to improve the legal framework related to elections in the country.	Electoral laws are fair to all political parties; registration and voting is open for all citizens; voters have a wide range of choices in the election; there are equal campaigning opportunities; and it is possible for opposition parties to win power through the electoral process.	

Please identify (max.) 3 of the **Most Significant Change(s)** at the level of the political system during the **last 4 years**

Please identify (max.) 3 of the **Most Significant Challenge(s)** you foresee at the level of the political system for the **coming 4 years**

Actors: scanning the skills and capacities of political parties

Key Indicators	Stages	Basic 1.	Developing 2.	Maturing 3.	Established 4.	Additional info on indicator/comments
1. Political parties develop programmatic positions on substantive issues		Parties have a basic understanding of the need for having policy-oriented views.	Parties have positions on (some of) their priority issues.	Parties have formulated their positions on most issues of national importance and (some) party members are aware of their parties' positions.	Parties produce comprehensive programmatic election manifestos, which (most) party members can understand and endorse it.	
2. Rootedness in society		Parties do not have a clear constituency to represent	Parties engage with their constituency to find out their views	Parties incorporate some of the views of their constituency in their own views	There is coherence between the views of the party and the views of constituents	
3. Functioning party organisations		There is limited to no form of organisation supporting the party leadership	Party organisations have a secretariat that fulfils basic supportive functions to the party	Party organisations function in an relatively effective manner to support the party	Party organisations are effective institutions that identify and select candidates for leadership, roll out campaigns and support programmatic development of the party	
4. Parties have a functional and effective relation with their members of parliament (MPs)		There are weak links between political parties and MPs	If there is a debate in parliament, the MP is aware of the position of its political party and can refer to it and political parties have some way of feeding the MPs	The MP is usually representing his/her party views and there is a mechanism for political parties to constantly engage with their MPs	MPs propose policies consistent with party views and often vote as party blocks and there are effective mechanisms of political parties to engage with their MP's	

<p>5. Political parties translate & apply democratic principles in their functioning, such as for example transparency, accountability or inclusiveness</p>	<p>Parties have a basic notion and understanding of democratic principles, but they do not apply them in their organisations</p>	<p>Parties have started to translate and apply some first democratic principles and make an effort to apply some of them in their functioning</p>	<p>Parties understand key democratic principles and increasingly, but not yet consistently, apply them in their functioning</p>	<p>Parties fully understand democratic principles and consistently apply them in their functioning</p>	
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<p>Please identify (max.) 3 of the Most Significant Change(s) at the level of the political actors during the last 4 years</p>
<p></p>

<p>Please identify (max.) 3 of the Most Significant Challenge(s) you foresee at the level of the political actors for the coming 4 years</p>
<p></p>

Political Culture: scanning the democratic values and behaviours of political actors						
Key Indicators	Stages	Basic 1.	Developing 2.	Maturing 3.	Established 4.	Additional info on indicator/comments
1. Citizens have trust in the political parties		There is no perceived trust in political parties (less than 10% or not measured)	Trust in political parties is perceived to be between 10-30%	Trust in political parties is perceived to be between 30-60%	Trust in political parties is perceived to be more than 60%	
2. Level of inter- party interaction		Political parties do not have any interaction with each other outside formal channels (e.g. parliament, EMBs)	Some interaction between political parties outside formal channels, e.g. in thematic discussion fora, but on an ad-hoc basis.	Regular interaction between political parties on issues of national interest in a variety of multi-stakeholder platforms.	Continuous and constructive dialogue between the political parties on all levels and on a wide range of national issues	
3. Rule bound behaviour by political actors		Regular in compliance with existing rules and regulations, and no reinforcement mechanisms in place to correct this.	Regular in compliance with existing rules and regulations, but certain reinforcement mechanisms in place to correct this	Limited number of incidents of in compliance, which are consequently reported to relevant reinforcement bodies.	General compliance to rules and regulations, and appropriate reinforcement mechanisms in place.	
4. Level of political violence		Regular use of violence to resolve political conflict	Limited incidents of violence, intimidation and repression, mainly around the electoral period.	Political parties publicly condemn the use of violence, but incidents of political violence not completely absent	Peaceful resolution of political conflicts. Violence explicitly excluded as an option to resolve political conflict.	
5. The level of tolerance of divergent political views		Regular use of insults, fights and personal attacks during political debates; divergent opinions publicly oppressed	Some incidents of insulting and personal attacks, divergent opinions ignored rather than oppressed	Relatively constructive political debates, where divergent views can openly be expressed, but are not always taken into account.	Respectful and constructive debates, where the aim is to come to joint conclusions and solutions	

Please identify (max.) 3 of the **Most Significant Change(s)** at the level of the political culture during the **last 4 years**

Please identify (max.) 3 of the **Most Significant Challenge(s)** you foresee at the level of the political culture for the **coming 4 years**