



**The Republic of Namibia
Office of the President
National Planning Commission**

NATIONAL MONITORING AND EVALUATION POLICY

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****NPC to write the Acknowledgement**

DRAFT

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FOREWORD

Article 129 of the *Constitution of the Republic of Namibia (1990)* and the *National Planning Commission Act 2013 (Act 2 of 2013)* mandate the National Planning Commission (NPC) in the Office of the President to be the pre-eminent planning body spearheading the course of national development within the Government of the Republic of Namibia (GRN). To fulfil this legal mandate, the NPC leads the coordination, monitoring and evaluation of GRN's long-term visions, national development plans and associated development policies, strategies, plans, programmes and projects (hereafter referred to as interventions).

The GRN adopts this national Monitoring and Evaluation (M&E) Policy as one of the key enablers of the successful implementation and measurement of the performance of its development interventions. The Policy comes at an opportune time as the GRN transitions from the *Fifth National Development Plan (2017/18–2021/22)* to the *Sixth National Development Plan (2022/23–2026/27)*. The national M&E Policy facilitates the GRN's mission to institutionalise a results-based approach to governance and development practice. and It complements a range of legal frameworks by the GRN intended to aid the institutionalisation of results-based management (inclusive of M&E). Some of these domestic frameworks include the *Integrated National Performance Framework (2016)*, which assigns Offices, Ministries, Agencies (OMAs) Regional Councils (RCs) and Local Authorities (LAs) (hereafter referred to as implementers) to apply M&E – particularly performance measurement and reporting throughout the policy and programme cycle (planning, design, implementation and assessment). Likewise, the M&E Policy is also aligned to and affirms the *M&E Manual (2016)*, which provides guidance to programme planners, implementers and M&E specialists on how to design the monitoring of development interventions (policies, strategies, plans programmes and projects), measure progress on implementation and results (at output, outcome and impact levels) and disseminate and utilise findings to inform future planning.

Through these performance management frameworks, the NPC aims to strengthen the GRN's implementation capabilities and thereby improve developmental results. Improved development results position the GRN as a genuine custodian of the national interests of the Namibian population, thereby fulfilling its Constitutional imperatives and the social compact with the citizenry.

Hon. Obeth M. Kandjoze

Director-General

National Planning Commission

ACRONYMS AND ABBREVIATIONS

APRM	African Peer Review Mechanism
AU	African Union
CSOs	Civil Society Organisations
DAC	Development Assistance Committee
DPME	Department of Planning Monitoring and Evaluation
EU	European Union
GRN	Government of the Republic of Namibia
KM	Knowledge Management
KMSs	Knowledge Management Systems
LAs	Local Authorities
M&E	Monitoring and Evaluation
MfDR	Managing for Development Results
MURD	Ministry of Urban and Rural Development
NDP	National Development Plan
NDP5	Fifth National Development Plan
NEP	National Evaluation Plan
NIPAM	Namibia Institute of Public Administration and Management
NPC	National Planning Commission
NSA	Namibia Statistics Agency
OECD	Organisation for Economic Co-operation and Development
OMAs	Offices, Ministries and Agencies
OP	Office of the President
RCs	Regional Councils
RISDP	Regional Indicative Strategic Development Plan
SADC	Southern African Development Community
SDGs	Sustainable Development Goals
SONA	State of the Nation Address
SORA	State of the Region Address
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme

GLOSSARY OF CONCEPTS, TERMS AND JARGON

The definitions below are adopted from the M&E Manual: A practical guide on how to apply M&E in line with Namibia's *Integrated National Performance Framework (2016)*.

Assessment is a systematic process of collecting, reviewing, interpreting and using data to improve performance.

Audit is an independent, objective assurance-activity designed to add value and improve an organisation. It helps an organisation to accomplish its objectives by bringing a systematic, disciplined approach to assessing and improving the effectiveness of risk management, control and governance processes.

Evaluation is conceptualised as an in-depth, systematic and objective assessment of an ongoing or completed intervention, including its design, implementation, and results. The aim of evaluation is to determine the relevance, efficiency, effectiveness, impact, and/or sustainability of a programme.

Evaluation system is whereby evaluations are no longer undertaken at ad hoc basis but are conducted frequently, and the findings are put to suitable use.

Evidence is the information presented to support a finding or conclusion. Evidence should be sufficient, competent and relevant. There are four types of evidence: observational (obtained through direct observation of people or events); documentary (obtained from written information); analytical (based on computations and comparisons); and self-reported (obtained through surveys, for example).

Evidence-based decision-making is a systematic application of the best available evidence to the evaluation of options and to decision-making in management and policy settings. Evidence can come from any of three data levels: programme performance information, evaluation and census data/statistics, and research studies.

Indicator is a variable that provides a simple and reliable means to measure achievement, reflect changes connected to an intervention, or help assess the performance of an intervention. Indicators enable one to perceive differences, improvements or developments relating to a desired change (result) in a particular context.

Information systems are interrelated components working together to collect, process, store, and disseminate information to support decision-making, coordination, control, analysis and visualisation in an organisation.

Logic model is a management tool (also known as a logical framework or programme logic) that is used to identify strategic elements of a programme or project (such as objectives, expected accomplishments, indicators of achievement, outputs and inputs) and their causal relationships, as well as the assumptions and external factors that may influence success and failure. It facilitates planning, implementation, monitoring and evaluation of a programme or project.

Monitoring is a continuous function that uses the systematic collection of data on specified indicators (mainly) to provide management and stakeholders with an indication of the extent of progress and achievement towards desired objectives. It involves collecting, analysing and reporting data on inputs, activities, outputs, outcomes and impacts of interventions to measure actual performance against expected results.

Planning is a process of setting goals, developing strategies, outlining the implementation arrangements and allocating resources to achieve those goals.

Policy is a written statement that communicates management's intent, objectives, requirements, responsibilities, and/or standards. It is also a deliberate plan of action to guide decisions and achieve rational outcomes.

Programme is a set of projects and/or activities producing outputs and accomplishments with a defined budget linked to the organisation's mandate and goals.

Project is a set of planned, conceptually-linked, interrelated activities designed to achieve, within a given budget, organisational structure and specified time period, certain specific objectives that lead to the achievement of programme goals.

Research is a systematic process of collecting data using methods such as surveys, focus group discussions, in-depth interviews, case studies, and then analysing the data to increase our understanding of the phenomenon which we are concerned or interested about.

Review is a periodic assessment of the performance and operational functions of a development intervention often undertaken internally by public sector institutions. They are regarded as less rigorous than evaluations.

Stakeholders are agencies, organisations, groups or individuals with direct or indirect role and interest in the objectives and implementation of a programme or project and its evaluation. In participatory evaluation,

stakeholders assume an increased role in the evaluation process as question-makers, evaluation planners, data gatherers and problem solvers.

Theory of change is a tool that describes a process of planned change from the assumptions that guide its design, planned outputs, desired outcomes and the long-term impacts it seeks to achieve. The key to articulating a theory of change is anticipating the extent of change which the intervention is likely to achieve.

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EXECUTIVE SUMMARY

The national monitoring and evaluation policy of the GRN establishes a framework that institutionalises the undertaking of continuous performance monitoring and evaluations. The value proposition of the Policy lies in its call on OMAs, RCs and LAs and other non-governmental institutions to utilise evidence from M&E to improve the implementation of development interventions, outcomes and impact of such interventions. The Policy is the legal framework and an integral implementation tool for the realisation of national long-term vision of a prosperous and industrialised Namibia.

The introduction of the Policy cites the lack of a national M&E policy as one of the central shortcomings of public sector performance M&E. The M&E policy is the instrument that seeks to address prevailing M&E challenges, including the lack of utilisation of M&E information to ameliorate implementation challenges and improve programme/policy performance. It seeks to achieve greater integration of the public sector M&E function with other core government and development functions such as development planning, budgeting, decision and policymaking.

The M&E policy thus seeks to achieve the following objectives: (i) to embed M&E into governance processes (planning, programme formulation, budgeting, policy and decision making) in OMAs, RCs and LAs, (ii) to expand the coverage of interventions (policy, plans, strategies, programmes and projects) that are subjected to rigorous evaluations in government and non-government institutions, (iii) to strengthen and/or build the skills and knowledge of government and non-government officials tasked with M&E roles and responsibilities and (iv) to strengthen performance-based budgeting across all OMAs, RCs and LAs.

The policy outlines key strategies aligned to the objectives as follows: i) to raise awareness on the need to integrate M&E into planning, policymaking, budgeting, and decision-making processes to add real value in governance processes, (ii) to develop evaluation infrastructure that facilitate or influence the expansion of planning and undertaking evaluations in government and non-government institutions, (iii) to define the roles and responsibilities of the public and non-public sector actors in the monitoring and evaluation of public policies and programmes, (iv) to leverage on the expertise that non-government institutions have in commissioning or managing or undertaking evaluations, (v) to establish a national M&E capacity-strengthening plan and strategy identifying the key competencies requiring strengthening and or building of M&E personnel in government and non-government to perform their day-to-day duties, and (vi) to support integration of performance-based budgeting in planning and reporting cycles across the OMAs, RCs and LAs.

The Policy is guided by the principles of good governance including accountability, value for money, transparency, timeliness, managing for results, participation, inclusion, utilisation-focused, ethics, collaboration, coordination and learning. The GRN recognises that continuous monitoring coupled with periodic evaluations provide key lessons on the successes and challenges encountered when implementing a development intervention. These lessons can be used to inform future implementation corrections and development planning. Likewise, findings of performance reports and evaluations facilitate the targeted and informed allocation of resources during the budgeting cycle. Additionally, they inform amendments to existing policies and programmes or, alternatively, enable the formulation of policies and programmes intended to address issues that remain unresolved by existing interventions. To this end, the M&E policy prescribes the undertaking of various evaluation typologies including diagnostic, design, implementation, outcome, impact, economic and rapid evaluations. The various evaluation typologies serve to highlight key findings for the various stages of a development intervention – design, implementation and/or the results (outcomes and impact) achieved by a development intervention.

The M&E policy commits all OMAs, RCs and LAs to adopt the governance paradigm of *Managing for Development Results* which involves making interventions effective and result-focused by allocating the necessary resources. The GRN encourages M&E evidence to be made accessible to both government and non-governmental institutions through various dissemination and communication strategies. Dissemination of M&E reports is a vital function that aids the uptake (utilisation) of findings from M&E. The policy encourages the developed systems to track management responses to evaluation recommendations and follow up on agreed actions.

The GRN recognises the importance of the role of institutional arrangements in determining the success of the implementation of the M&E policy. As such, the definition of the roles and responsibilities of GRN institutions, parliament and non-state actors is vital in ensuring implementation of and compliance with the Policy. This Policy outlines the key functions of oversight institutions *vis-à-vis* its implementation. Moreover, the roles of OMAs, sub-national government (RCs and LAs) and non-state actors are clearly defined to ensure the implementation of all its provisions. By defining the roles and responsibilities of all GRN institutions (national and sub-national), Parliament, development partners and higher education and training institutions, section 5 provides the necessary guidance for the implementation of all provisions of the Policy throughout the national M&E ecosystem of Namibia.

The GRN further recognises the importance and need for strengthening public sector M&E capacity. To this end, this Policy obligates the Office of the Prime Minister to work with OMAs, RCs and LAs to establish M&E units with personnel possessing the requisite M&E knowledge and skills. The Policy further provides that a capacity-building and strengthening strategy should go beyond the provision of training and should inform other M&E capacity-building initiatives such as technical assistance amongst others. The Office of the Prime Minister, National Planning Commission, Ministry of Urban and Rural Development and Ministry of Finance and Public Enterprise (MoFPE) should work with OMAs, RCs and LAs to build the necessary M&E skills and knowledge in the public sector. Such threshold M&E knowledge and skills will enable the commissioning, managing and undertaking of public sector evaluations and joint evaluations between government and non-governmental institutions.

The GNR acknowledges that the establishment of M&E units is currently constrained by the lack of resources, particularly financial, to recruit technical staff to perform day-to-day monitoring and evaluation activities. In response to this challenge, the Policy provides for resource mobilisation. It outlines resource mobilisation for GRN institutions and development partners. The government, through its collaboration with development partners and others, will ensure that funding is solicited and allocated to roll out and institutionalise this Policy. Thus, an implementation plan accompanies it. A hybrid financing model for the implementation of the M&E policy has been outlined. To track the implementation of the Policy, the National Planning Commission will undertake a mid-term evaluation after two and half years followed by a further review after five years or the policy will be evaluated as and when required on *ad hoc* basis.

SECTION 1: INTRODUCTION

Recognising the need for standardising, strengthening and sustaining a robust M&E system, the GRN has seen fit to develop and implement a comprehensive M&E policy. The GRN adopts this national M&E policy as the instrument to achieve its objective of facilitating development, peace and prosperity for its population. The practice of performance monitoring is well entrenched across GRN institutions and is informed by the M&E Manual (2016) and the Integrated National Performance Framework (2016). This Policy, therefore, emphasises much on the need to commission, manage and undertake evaluations of national commitment by acknowledging the role for monitoring in informing evaluations. Successful implementation of development interventions and tracking of progress or the lack, therefore, requires a robust M&E system with an ability to provide accurate, timely, valid, reliable and complete data for policy and decision-making processes.

The GRN has conducted evaluations on an ad hoc basis. However, there has been no formal policy or other framework that systematises, institutionalises and structures the undertaking of these evaluations. It is through this Policy that the GRN seeks to increase the undertaking of quality evaluations and the use of findings to influence decision and policy-making. The utilisation of information from performance monitoring is critical in GRN's endeavours to ultimately achieve the development outcomes as set in the Namibia Vision 2030 and the National Development Plans (NDPs).

The Policy seeks to address public sector performance evaluation (including monitoring) challenges that hamper the optimal implementation, learning and achievement of development objectives envisioned by the development policies, programmes and projects undertaken by OMAs, RCs and LAs. The absence of a policy has contributed largely to the underutilisation of evidence (data) – as revealed in performance monitoring reports and evaluations.

Evidence utilisation is crucial for the achievement of development objectives set out in NDPs and other development frameworks. This Policy, therefore, complements the Integrated National Performance Framework (2016) and further obligates the OMAs, RCs and LAs to advance evidence-based policy and decision-making. It is embedded within the existing relevant GRN framework, policies, plans and strategies that regulate performance management in the country.

The development of the national M&E policy was started in July 2021 after United Nations Children's Fund (UNICEF) Namibia country office, NPC and Centre for Learning on Evaluation Results Anglophone Africa (CLEAR-AA) entered into a partnership to strengthen the Namibian M&E system. The process started with a desk review of documents that inform M&E in Namibia. This was followed by a comparative analysis of countries that already established their policies. In line with a utilisation-focused approach, the Policy sections were drafted using the co-creation methodology in September 2021. The co-creation workshop was attended by different stakeholders within Namibia M&E ecosystem. The identified stakeholders were invited to the co-creation workshop for five consecutive days in Okahandja. After the drafting and the revision of the Policy, the stakeholders played a key role in the validation of its different sections in February 2023 at Swakopmund for five consecutive days.

The Policy comprises of eight sections. Section 1 presents the introduction, background, situation analysis, Policy alignment with existing legal, policy and regulatory framework, guiding principles and its custodians. Section 2 presents the vision statement, mission, goal, objectives and strategies. Section 3 presents the embedding of monitoring and evaluation functions within other governance processes. Section 4 presents the use of M&E evidence (findings). Section 5 presents the institutional arrangements. Section 6 presents strengthening individual and institutional capacities. Section 7 presents resource mobilisation. Section 8 covers advocacy and dissemination.

1.1 Background

In 2020, the NPC collaborated with the European Union (EU) to undertake a situation analysis of the state of the public sector M&E architecture. This situation analysis study sought to identify and characterise the strengths, weaknesses, opportunities and threats of the public sector M&E system with the strategic aim of using the study's findings to improve the M&E system in the GRN.

The report, entitled *Situation Analysis of the Monitoring and Evaluation Systems in Namibia (2020)*¹ revealed the following results about public sector M&E system:

- i. Owing to the challenge of limited financial resources, only four national government OMAs have established dedicated and functional M&E units. The Ministry of Gender Equality, Poverty Eradication and Social Welfare, NPC, Ministry of Education, Arts and Culture, and the Ministry of Agriculture, Water and Land Reform are among the few with established M&E units. The establishment of M&E units is constrained by the unavailability of resources, particularly finance, to recruit technical staff to perform day-to-day M&E activities. At regional levels, only one region – the Zambezi Regional Council – has a dedicated M&E unit.
- ii. Very few OMAs have fully functional databases that store essential administrative and monitoring data. Often the monitoring data is submitted late and does not inform the improvement of programming.
- iii. Reporting systems across OMAs, RCs and LAs are still manual (not automated). While 50% of OMA's report on NDP - aligned performance indicators, other entities must improve. The GRN NDP 5 Implementation Plan (2017: 3) emphasise the adoption of results-based M&E where the performance reports and reviews of OMAs, RCs and LAs focus on outputs, outcomes and impact (results) of development interventions as per stated policy/programme objectives and aims.
- iv. OMAs, RCs and LAs are overburdened with parallel reporting obligations to different oversight entities (Office of the Prime Minister, NPC, MoFPE, Office of the Auditor-General).
- v. The GRN has a reflective planning and use of evidence system whereby NDP utilises findings from previous reviews. For instance, the Fifth National Development Plan (NDP 5) is informed by successes and shortcomings of the previous four NDPs (NPC, 2017: xi)². Reviews of past NDPs have shown a lack of clear logic models for development interventions designed to map the cause-effect relationship between inputs, activities, outputs, outcomes and impact. The absence of programme or project logic models is a key challenge when seeking to track implementation progress (or the lack thereof) and to determine the results achieved by development interventions.
- vi. Most government institutions do not undertake evaluations. This is partly due to a lack of internal capacity to do so.
- vii. Most government institutions are not reliant on M&E information for decision-making.

The above snapshot findings of the Situation Analysis Report indicate the need for strengthening the national M&E system which the GRN has made commendable strides to build it. For instance, Section 6 of the Fifth National Development Plan (NDP 5, 2017/18-2021/22) emphasises the importance of adopting results-based M&E approaches by all government institutions when monitoring and evaluating their respective NDP programmes. Likewise, the establishment of the Integrated National Performance Framework (2016) and the M&E Manual (2016) are positive steps taken by the GRN to institutionalise M&E practice across OMAs, RCs and LAs.

Therefore, this national M&E policy provides the means to address some of the prevailing public sector performance M&E challenges faced by the GRN including the lack of utilisation of M&E information in governance processes such as decision-making, programme formulation, development planning and budgeting. The implementation of this Policy will result in improved evidence-based policy and decision-making, increased capacity within the M&E units to conduct M&E, and the allocation of specified roles in different government institutions. The development of this Policy has been underpinned by principles and practices of broad participation and inclusion of government institutions and development partners.

¹ National Planning Commission and European Union. 2020. *Report on the Situation Analysis of the Monitoring and Evaluation Systems in Namibia*. Windhoek.

² National Planning Commission. 2017. *Namibia's Fifth National Development Plan (NDP5)*. Government of the Republic of Namibia, Windhoek.

1.2 Rationale

The national M&E policy is the instrument by which the GRN seeks to address public sector M&E challenges and strengthen public sector accountability and transparency amongst stakeholders. The Policy formally establishes M&E architecture and mandates OMAs, RCs and LAs to execute M&E functions in a manner that contributes positively to the realisation of the intended results of interventions. It envisages that the M&E information (evidence) improves the planning, design and implementation of development interventions (development policies, programmes and projects) and also serves as a vital input in the budgeting cycle. On the monitoring side, the Policy advocates for the aligning of the parallel reporting systems and channels of OMAs, RCs, LAs, and development partners. Likewise, the national M&E policy promotes the planning and undertaking of evaluations that serve as a source of information for development planning at national, sectoral, regional and local government levels. Evaluations are a unique and key input throughout the lifespan of development interventions. To this end, the Policy deepens OMAs, RCs, and LAs reflections, learning and feedback for improving the M&E system.

The Policy is a tool to promote and build a culture of conducting M&E and the use thereof to improve decision- and policy-making, budgeting, accountability and transparency. Furthermore, the Policy is a conduit for the promotion of reflective governance and development practice, with the ultimate goal of improving development outcomes and service delivery to the Namibian populace – a tool for change. It provides for the building of individual and institutional M&E capacities and promotes common language across the public sector.

1.3 Policy alignment with existing legal, policy and regulatory frameworks

The national M&E Policy is consistent with the following legal and regulatory frameworks: Domestic legal acts, long and short-term plans, manuals and frameworks:

- i. *Namibia Constitution of 1990* is the supreme law of the country (see Chapter 1, Article 1 (6). In particular, the Policy empowers Cabinet to fulfil its constitutional functions as outlined in Article 40 subsections (a), (c) and (e). It empowers Parliament to better execute its constitutional oversight powers *vis-à-vis* the Executive, as per Article 63 subsections (a) and (f) of the Namibian Constitution. The principles of good governance i.e. accountability and transparency as stipulated in the Constitution are reinforced through the establishment of this Policy.
- ii. *Public Service Act of 1995*, Part I subsection 2 calls for an efficient and effective public service that formulates and evaluates policies that advance the lawful interests and needs of Namibian citizens. The Public Service Act therefore provides a legal foundation with which this national M&E policy and its directives are aligned.
- iii. *The State Finance Act 31 of 1991*: Among other aspects of financial control, the Act provides for the overall regulation of the receipt, control, use and recovery of state funds. It defines the roles and responsibilities of institutions and officials responsible for the financial management of the state funds including the necessary appropriation processes for resource mobilisation.
- iv. *The Decentralisation Enabling Act 33 of 2000*: The Act provides for the devolution and regulation of functions vested in Line Ministries to RCs and LAs. The Act's Section 7 provides for budgeting of funds for activities and that funds be used precisely for what they are budgeted for. M&E activities, therefore, are required to be budgeted for and undertaken at devolved levels.
- v. *The Local Authorities Act 23 of 1992*: serves to provide for the determination, for purposes of local government, of local authority councils; to establish such local authority councils; to define the powers, duties and functions of local authority councils; and to provide for incidental matters.
- vi. *The Regional Councils Act 22 of 1992*: This Act, among other functions, provides for the election of members of the national councils by the regional councils. Further, the Act clearly defines the powers, duties, functions and rights of these councils.
- vii. *The Public Procurement Act of 2015*: Among its other responsibilities, the Act Provides mainly for the regulation of all matters relating to the procurement of public goods and services as well as their disposal.
- viii. *Labour Act 11 of 2007*: The Act serves to establish comprehensive labour laws for all in the GRN by consolidating and providing for the amendment of labour laws, as well as entrenching fundamental labour rights and ensuring their protection through related regulations.
- ix. *Statistics Act 9 of 2011*: This Act provides for the establishment of a National Statistics System which produces credible statistics. It promotes the use of such statistics in evidence-based planning and decision-making and to monitor and evaluate policies..

- x. *Namibia Vision 2030*: The national M&E policy is an instrument for achieving *Vision 2030* and its eight (8) strategic objectives, namely: ensuring that Namibia is a fair, gender-responsive, caring and committed nation; consolidating Namibia's democratic political system that embodies the character of the Namibia Constitution of 1990; developing diversified and competent human resources and institutions; building a highly industrialised economy characterised by equal opportunities for all Namibians; ensuring a healthy, food-secure nation that ably manages its infectious and lifestyle disease burdens; ensuring that natural resources advance the nation's economy and citizens; transforming Namibia into a knowledge-based economy and industrialised nation; and ensuring political stability and stable international relations within the region and globally. It is the objective of this Policy to mandate the strengthening and institutionalisation of the national evaluation system to align with the national monitoring system. Both systems monitor and measure the degree to which OMAs, RCs and LAs achieve the intended and unintended outcomes and impacts of interventions.
- xi. The *National Development Plan (NDP-2017/18-2021/22)*: Chapter 6 of NDP 5 declares a government focus on results-based progress reporting/M&E as means of avoiding the implementation and reporting challenges experienced during the implementation of NDP 4. Through this paradigm shift towards results-based M&E, OMAs, RCs, LAs and public enterprises are encouraged to focus on outputs, outcomes and impacts of NDP 5 priority programmes (Economic Progress; Social Transformation; Environmental Sustainability; and Good Governance). The national M&E policy, therefore, reiterates the provisions of Chapter 6 of NDP 5, calling on OMAs, RCs, LAs and public enterprises to adopt a results-based stance towards both M&E of their respective policies, programmes and projects.
- xii. The GRN's *Integrated National Performance Framework (2016)* encourages OMAs, RCs, and LAs to apply M&E, particularly performance measurement and reporting, throughout the Policy and programme cycle (planning, design, implementation and assessment). This Policy reaffirms this mandate and further urges government institutions to apply both M&E processes in equal measure as monitoring feeds into evaluation and cannot be viewed in isolation.
- xiii. *M&E Manual (2016)* guides programme planners, implementers and M&E specialists on how to design the monitoring of development interventions (policies, programmes and projects); measure progress on implementation and results (outputs, outcomes and impact); and disseminate and utilise findings to inform future planning. The M&E Manual is consequently a vital tool for the implementation of this Policy's provisions.

Regional and international frameworks and development agendas:

The GRN is a signatory to the following regional and international frameworks and agendas – thereby providing an additional foundation and legitimacy for the national M&E policy.

1.3.1 Regional

- i. The Southern African Development Community (SADC) Regional Indicative Strategic Development Plan (RISDP);
- ii. African Union (AU) Agenda 2063;
- iii. African Peer Review Mechanism (APRM); and
- iv. The New Partnership for Africa's Development (NEPAD)

1.3.2 International

- i. United Nations Sustainable Development Agenda, constituted by the Sustainable Development Goals (SDGs)

All these regional and international development agendas and the APRM self-monitoring mechanism provide a justification for the enactment and implementation of the country-led, owned and focused national M&E policy and strengthening of a robust M&E system that supports its implementation. The GRN must implement the Policy to effectively measure and assess the degree to which OMAs, RCs, LAs and non-government institutions implementing interventions with government are achieving the objectives of long and medium-term plans. Equally important is for the GRN to measure and assess the extent to which it is achieving global, continental and regional development targets. The Policy, in conjunction with supplementary frameworks such as the M&E Manual, and National Evaluation Guidelines are important instruments through which the GRN can gauge its progress *vis-à-vis*

national, regional, continental and global development targets. The development of a National Evaluation Plan (NEP) will further influence a systematised undertaking and use of evaluative evidence.

1.4 Guiding Principles

This national M&E policy is guided by the following principles:

- i. *Accountability*: All OMAs, RCs and LAs will implement and undertake M&E activities in a manner that is result-focused (measuring outputs, outcomes and impact, while accounting for inputs and activities too) and cost effective, and will be accountable to public sector oversight institutions, Cabinet, Parliament and beneficiaries of development interventions.
- ii. *Value for money*: OMAs, RCs and LAs will ensure that M&E of GRN interventions are undertaken in a manner that makes efficient use of financial, physical, and human resources to achieve the envisioned results that seek to improve the lives of the Namibian population.
- iii. *Transparency and timeliness*: The Policy will ensure that M&E reports are easily accessed and are communicated in an understandable way to the public. M&E reports will be written in English – the official language prescribed by the Constitution of the Republic of Namibia. These reports will be produced in a timely manner and disseminated to all stakeholders in an accessible format.
- iv. *Managing for results*: Planning, budgeting, and implementation of development policies, programmes and projects will focus on achieving agreed results (in particular outcomes and impact) in line with national development aspirations. The focus on results will assist GRN to determine the extent to which its development interventions are improving the quality of life of the Namibian people. Focusing on results necessitates the utilisation of evidence emanating from performance monitoring reports, evaluations and other forms of performance appraisal (i.e. applied research and auditing) which seek to measure the results of development interventions.
- v. *Participatory and inclusive*: The Policy will ensure that activities relating to development planning, programme and policy implementation, M&E are conducted in an open, transparent, consultative, and participatory manner among all stakeholders and citizens – particularly at the grassroots levels. M&E activities will be undertaken with the guiding principle of seeking to achieve the highest level of participation, inclusiveness, ownership and buy-in among relevant stakeholders (implementing OMAs, RCs, LAs and the relevant beneficiaries/Namibian people).
- vi. *Learning*: GRN emphasises the need for learning and reflection on the implementation, M&E of its interventions in a way that seeks to improve the design and implementation of interventions, and achievement of intended results.
- vii. *Utilisation-focused*: The Policy emphasises the importance of the use of M&E information by OMAs, RCs, LAs, Cabinet and Parliament in their respective functions in policy/programme implementation, decision-making on the continuation or termination of a policy/programme, or when conducting oversight. Inclusion of various stakeholders in all M&E activities is key for driving utilisation-focused M&E across all levels of the GRN.
- viii. *Ethics*: All M&E activities undertaken on GRN interventions will strive to uphold all ethical standards including doing no harm to participants and maintaining confidentiality and anonymity during data collection and analysis processes with the exception of cases where stakeholders (including beneficiaries) have given their consent for identification.
- ix. *Credibility and objectivity*: Evaluation must be relevant and timely for decision-making. The evaluations must produce unbiased and inclusive evidence, which is able to pass the test of validation. It is important to ensure adherence to the national principles of statistics as outlined in the National Statistics Act of 2011 and the “Leave No One Behind” standard of Namibia.

1.5 Custodians of the Policy

This Policy applies to all implementers of public sector interventions within and outside the Namibian public sector. It will serve as an architecture for the implementation of national plans. The NPC, under the Office of the President is the custodian of this Policy. The following institutions are the beneficiaries of Policy.

1.5.1 Public sector:

- i. OMAs
- ii. RCs
- iii. LAs

1.5.2 Non-state actors:

- i. Multilateral development partners
- ii. Bilateral organisations
- iii. Civil Society Organisations (CSOs)
- iv. Private organisations
- v. Institutions of higher learning
- vi. Parliamentary Secretariat and Portfolio Committees

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SECTION 2: POLICY DIRECTION AND OBJECTIVES

2.1 Vision statement

Monitoring and evaluation shall be embedded in the processes of planning, budgeting, and decision-making across all government institutions.

2.2 Mission

Monitoring and evaluation are catalyst for evidence-based decision and policy-making that positively impact on the general welfare of the people.

2.3 Policy goal

To promote an M&E culture that influences effective and efficient M&E of country's interventions and the ultimate use of the evidence.

2.4 Policy objectives and strategies

- i. To embed M&E into governance processes (planning, programme formulation, budgeting, policy and decision-making) in OMAs, RCs and LAs.
- ii. To expand the coverage of interventions (policy, plans, strategies, programmes and projects) that are subjected to rigorous evaluations in government and non-government institutions.
- iii. To strengthen and/or build the skills and knowledge of government and non-government officials tasked with M&E roles and responsibilities.
- iv. To strengthen performance-based budgeting across all OMAs, RCs and LAs.

The Policy recognises that to achieve its set objectives, clear and implementable strategies must be formulated. It outlines the key strategies aligned to the objectives as follows:

- i. To raise awareness on the need to integrate M&E into planning, policymaking, budgeting, and decision-making processes to add real value in governance processes;
- ii. To develop evaluation infrastructure that facilitate or influence the expansion of planning and undertaking evaluations in government and non-government institutions;
- iii. To define the roles and responsibilities of the public and non-public sector actors in the M&E of public policies and programmes;
- iv. To leverage on the expertise that non-government institutions have in commissioning or managing or undertaking evaluations;
- v. To establish a national M&E capacity-strengthening plan and strategy identifying the key competencies requiring strengthening and/or building for M&E personnel in government and non-government institutions to perform their day-to-day duties; and
- vi. To support integration of performance-based budgeting in planning and reporting cycles across the OMAs, RCs and LAs.

SECTION 3: MONITORING AND EVALUATION FUNCTIONS

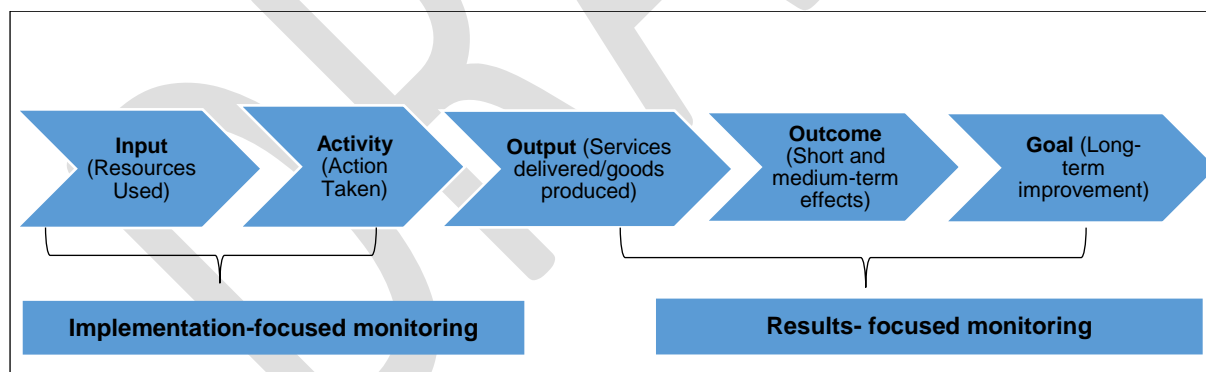
3.1 Monitoring System

Performance monitoring is essential in the strengthening of planning, implementation, budgeting and decision-making endeavours in the GRN. Performance monitoring involves continuous progress tracking to ensure appropriate implementation of a planned intervention. It provides opportunities to correct implementation issues and design when necessary. Monitoring also tracks whether resources (human and financial) are being utilised as planned to ensure optimal implementation of a development intervention. Further, the reports produced from monitoring should contribute to the evaluation process and provide lessons for future planning and implementation of GRN interventions.

The OMAs, RCs and LAs are required to implement interventions included in the NDPs. These interventions form part of the OMA's strategic planning (annual and five year plans). The strategic plans are implemented through the Medium-Term Strategic Framework to ensure that the NDP interventions are costed and budgeted. The NDP states that annual business plans drive budget preparation and serve as a vehicle to ensure M&E of implemented activities each year. Thus, it is imperative for OMAs, RCs and LAs to ensure that during the planning and budgeting cycle, M&E activities are budgeted for. This Policy advocates for the MoFPE to use intervention-based budgeting approach to prepare the national budgets linked to plans and expenditure. The Ministry is also encouraged to monitor the expenditure and performance on quarterly and annual basis in line with the State Finance Act 31 of 1991.

This Policy reinforces the Manual for M&E (2016) and dictates that OMAs, RCs and LAs should develop a theory of change (ToC) and a logical model as part of the programme logic and design. Developing the ToC and logical model helps to understand how intervention(s) are going to work, why and the desired results. The OMAs, RCs and LAs are to develop their logical models of any intervention particularly those that are linked to the Vision, NDPs and National Evaluation Plan, with support from NPC to ensure good planning, designing, budgeting, implementation and evaluation. The adoption of the results-based management approach is a strategic move towards ensuring the need to achieve results not only at output but at outcome and impact levels. Figure 1 is a schematic presentation of monitoring at implementation and result levels.

Figure 1: Monitoring at implementation and result levels



Utilisation of logic model and ToC tool allows for effective planning, monitoring, and evaluation of each intervention and further, integrates planning, M&E processes together. At the intervention planning phase, it leads to the development of key performance indicators at multiple levels of the logical model. The Manual for M&E (2016) explains the formulation of indicators as well as the criteria for good indicators (i.e. adequate, clear, relevant, economical and monitorable). Indicators developed by the OMAs, RCs and LAs provide the basis for evaluation to draw conclusions and recommendations on the performance on an intervention. All implementing institutions particularly OMAs, RCs and LAs are required to monitor their interventions i.e. those linked to the Vision 2030 and NDPs on quarterly basis and produce monitoring reports. The reports will provide data on the design and implementation of an intervention and what sort of corrective measures are required to achieve the set results (outcome and impact).

3.1.1 Reporting and dissemination of monitoring information

In Namibia, monitoring takes place at OMAs, RCs and LAs (including public enterprises). The national monitoring system is informed by key performance indicators (KPIs) that form basis for reporting at OMAs, RCs and LAs. This Policy reinforces the NDP and its dictates on reporting and dissemination of monitoring information.

- i. OMAs, RCs, and LAs will compile quarterly performance reports on the interventions implemented, linked to the NDP. These reports will be signed by their respective Accounting Officer.
- ii. Public entities will compile quarterly performance reports on the interventions implemented. These reports will be signed by the Accounting Officers of the public entities and submitted to their respective OMAs.
- iii. The NPC will assess progress towards achievement of the expected NDP results to inform policy reforms and suggest remedial (and policy shifts) where necessary.
- iv. On a half yearly basis, the NPC will compile a performance report on progress towards achievement of annual targets.
- v. On an annual basis, the NPC will compile an overall performance report against NDP and implementation plan targets. Focus will be on indicators on results areas.
- vi. In compiling the annual report, the Minister of Economic Planning and the Director General of the NPC will hold discussions with respective stakeholders from the focus areas to verify the data and statistics included in the report.
- vii. The NPC will submit the performance reports to the President and delegates within the Presidency.
- viii. The President, Minister of Economic Planning, and Presidential Advisor on M&E will hold discussions with respective Ministers and assess progress on set targets.
- ix. Once discussions have been held with the respective Ministers, improvement plans will be developed. The Ministers will be expected to sign the improvement plans and provide quarterly progress reports on them.
- x. Cabinet will approve the performance reports.
- xi. The progress report findings will be disseminated using various platforms.
- xii. The Minister of Economic Planning will hold a press conference to inform the public on the implementation progress of NDP.

3.2 Evaluation system

3.2.1 Embedding the evaluation function into planning, policy-making, budgeting and decision- making

Embedding evaluations within GRN public sector governance and development processes requires adequate understanding of the concept of evaluation, knowledge of different evaluation typologies and their application in development planning, policy-making, programme formulation, budgeting, implementation and general decision-making. In terms of planning, evaluation processes of government and non-governmental institutions provide lessons on successes and challenges encountered when implementing a development intervention and these lessons serve to inform future development planning. Likewise, findings of evaluations contribute to targeted and informed allocation of resources during the budgeting cycle. Findings and recommendations of evaluation can inform amendments to existing policies and programmes or, alternatively, enable the formulation of new ones meant to address issues that remain unresolved by existing interventions. Evaluations contribute to a repository of knowledge which can inform OMAs, RCs, LAs, Cabinet and Parliament decision-making. They provide important evidence at each phase of the policy and programme cycle. The draft national evaluation guidelines being prepared by the NPC explicates on how evaluations are useful at every stage or phase of an intervention.

3.2.2 Why should evaluations be conducted

The evaluation system of Namibia is still in embryonic stages. However, there are efforts being made to establish evaluation infrastructure that creates a favourable environment for frequent undertaking of evaluations. The NPC is

in the process of developing national evaluation guidelines and NEP. The development of these aforementioned will stimulate demand to conduct evaluations among varying implementers. It is against this backdrop that the GRN recognises the following as the purpose of conducting evaluations:

- *Need for improvement/learning*

In GRN, evaluations will be undertaken to decide on areas requiring improvement or change. Thus, the focus will be on the implementation of an intervention. This entails implementation evaluation or process evaluation. The purpose of this evaluation is to determine why desired results are either achieved or not achieved, and what needs to be changed if the results have not been achieved successfully. Furthermore, emphasis will be on the lessons emerging from the implementation of an intervention; what is working, not working, for whom, and under what circumstances. Each intervention's M&E report will reflect on the emerging lessons.

- *Assess intervention results*

OMAs, RCs and LAs will undertake evaluations for the purpose of assessing the effectiveness of interventions, focusing on summative evaluations (outcome and impact). Ideally, OMAs, RCs and LAs will identify the short- and long-term results of an intervention.

- *Addressing issues of human rights and social justice*

OMAs, RCs and LAs will undertake evaluations with the purpose of addressing matters of human rights, peace and social justice. Such evaluations will focus on transformation by amplifying the voices of marginalised people (women, girls and the physically disadvantaged) and enabling an understanding of patriarchy and power. Other evaluations will address issues of gender inequality and seek to understand how previously disadvantaged groups are benefiting from programmes.

- *Gaining insights into the need for an intervention*

The GRN makes it mandatory for all programmes to undergo a diagnosis and design evaluation process. This will assist government OMAs, RCs and LAs to understand the cause and effect of the problem under review and will make use of various problem diagnosis tools, for example, Problem Tree Analysis, 5 Whys Analysis and the Fishbone Analysis. All government interventions are to be funded fully when the ToC and logic model have been properly developed. The NPC will provide technical assistance in the development of the ToCs and logic models.

- *Accountability and transparency*

The purpose of evaluation in GRN is to account for the results achieved with the resources allocated for a particular development intervention. Evaluation provides useful feedback for both internal and external accountability and clarity on the programme to its intended beneficiaries and to those responsible for assessing how well responsibility for the programme has been discharged.

- *Assess the sustainability of an intervention*

The implementers of the public interventions will undertake evaluations to determine the sustainability of the interventions being implemented to determine the extent to which the benefits of such interventions continue (financially, socially, economically, environmentally) or are likely to continue after funding terminates. A sustainability criterion must be applied to all types of evaluation which the GRN undertakes.

- *Determine the value for money*

The main goal of the GRN is to improve the lives of its people to the level of their counterparts in developed states. Further, the Integrated National Performance Framework (2016) is guided by the principle of value for money. As such, the GRN, through its implementers, will monitor and evaluate its interventions to maximize the impact of money spent to improve its people's lives.

3.3 Evaluation types

The public interventions will prioritise the following evaluations and these should be read in tandem with the *M&E Manual (2016, p. 53-55)* and must be undertaken during the lifecycle of any intervention implemented by the GRN

OMAs, RCs and LAs. Table 1 provides a summary of the evaluations, objectives, timing and high-level evaluation questions.

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Table 1: Evaluation typologies

No	Type of evaluation	Objective	Timing	Key Evaluation Question
1	Diagnostic evaluation	This evaluation is conducted before the actual implementation of an intervention. Its purpose is to understand what is already known about the problem (problem-cause-effect). Solutions for the problem are brainstormed. Such an understanding enables the development of the ToC and subsequent logic model.	At the beginning of the intervention – before implementation.	What is the underlying problem, the needs of the target population (including structural or systemic inequities within this target group), and the context in which intervention will function?
2	Design evaluation	This evaluation is used to interrogate the programme logic and ascertain its plausibility in terms of relevance and applicability. It specifically interrogates the quality of indicators and activities that will bring change and assumptions underlying the ToC.	After intervention has been designed.	How is the programme conceptualised or designed? To what extent is the programme design suitable for the achievement of the desired effect and transformative equity) within the given context?
3	Implementation/ process evaluation	This evaluation determines whether activities have been implemented as intended in terms of effectiveness and efficiency. It looks at the causal linkages from activities, outputs and outcomes.	After the intervention has been implemented / started.	To what extent is the programme serving its intended participants? Who is being excluded and why? To what extent is it contributing to the required systemic changes affecting equity?
4	Outcome evaluation	The evaluation focuses on the extent to which an intervention is effecting the desired change within the target population by measuring results – usually short and intermediate results.	At least a year after implementation, depending on the duration of the intervention.	What are the critical or emerging outcomes you are achieving because of the programme? What are the achieved outcomes for the marginalised groups?
5	Impact evaluation	The evaluation provides evidence about the impacts produced by an intervention – positive or negative, intended or unintended. The impact should at least establish whether the observed change is a result of the interventions. Impact evaluations seek to ascertain causal attribution. This type of evaluation requires a robust baseline before the implementation of the programme.	After 3–5 years of implementation.	To what extent has the programme changed the lives of the beneficiaries in positive ways and why? What are the benefits for the marginalised groups?

No	Type of evaluation	Objective	Timing	Key Evaluation Question
6	Economic evaluation	This evaluation appraises the costs and benefits derived from implementing the intervention. This is done to determine the value addition of the interventions and whether the benefits derived from the intervention match the cost of its implementation.	At any stage but normally conducted after an intervention has been completed.	What are the cost benefits? Did all the intended beneficiaries benefit equally – including the marginalised?
7	Evaluation Synthesis	The primary aim is to draw lessons from all evaluations related to the intervention. This is done to determine cross – cutting issues affecting the intervention.	Once a number of evaluations have been completed	What is the evidence emerging from evaluations conducted within the sector?

3.4 The OECD-DAC Criteria

The Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) has adopted a normative framework that provides six key criteria that should be used by evaluators when judging the merit or worth of a particular development intervention. The implementers of the key government interventions should adopt the use of these criteria in conducting evaluations. This Policy encourages the use of the OECD-DAC criteria as a benchmark and cornerstone for providing structure for evaluations. Each criterion is distinctive and provides a clear perspective on the intervention. When viewed collectively, the criteria offer an all-encompassing overview of an intervention, the process of its implementation, and the results achieved. The criteria are described below.

- i. *Relevance*: is the extent to which the intervention is suited to the priorities and policies of the target group, recipient and funder. In evaluating the relevance of an intervention, it is useful to consider the following questions:
 - o To what extent are the objectives of the intervention still valid?
 - o Are the activities and outputs of the intervention consistent with the overall goal and the attainment of its objectives?
 - o Are the activities and outputs of the intervention consistent with the intended impacts and effects?
- ii. *Coherence*: is the extent to which an intervention is compatible with other interventions in a country, sector or institution. In evaluating coherence of an intervention, it is useful to consider the following question(s):
 - o How well does the intervention fit internally and externally?
- iii. *Effectiveness*: is a measure of the extent to which an intervention attains its objectives. In evaluating the effectiveness of an intervention, it is useful to consider the following questions:
 - o To what extent were the objectives achieved/are likely to be achieved?
 - o What were the major factors influencing the achievement or non-achievement of the objectives?
- iv. *Efficiency*: measures the outputs – qualitative and quantitative – in relation to the inputs. This economic term refers to the principle of making use of the least possible resources to achieve the desired results. When evaluating the efficiency of a programme, it is useful to consider the following questions:
 - o Were activities cost-efficient?
 - o Were objectives achieved on time?
 - o Was the intervention implemented in the most efficient way compared to alternatives?
- v. *Impact*: the positive and negative changes produced by an intervention, directly or indirectly, intended or unintended. Evaluating impact should be concerned with both intended and unintended results. When evaluating the impact of a programme, it is useful to consider the following questions:
 - o What has happened as a result of the intervention?
 - o What real difference has the activity made to the beneficiaries?
 - o How many people have been affected?
- vi. *Sustainability*: is concerned with measuring whether the benefits of an intervention are likely to continue after funding terminates. When evaluating the sustainability of an intervention, it is useful to consider the following questions:
 - o To what extent did the benefits of an intervention continue after funding ceased?
 - o What were the major factors which influenced the achievement or non-achievement of sustainability of the intervention?

In addition to the DAC criteria, transformative equity criterion should be considered. This criterion considers the extent to which the intervention contributes to addressing systemic inequities and promotion of a more inclusive society. The intervention's objectives, design, implementation, and impact must be considered in applying this criterion.³

³ DPME. 2022. Integrating a transformative equity criterion into evaluations for promoting transformative systemic change. Pretoria

3.5. Evaluation standards

In conducting evaluations, the OMAs, RCs and LAs and non-governmental institutions will adhere to and promote compliance with the standards in the African Evaluation Guidelines⁴ developed by African Evaluation Association.

- i. *Utility*: The utility standards are intended to ensure that an evaluation will serve the information needs of intended users and be owned by stakeholders.
- ii. *Feasibility*: The feasibility standard is designed to ensure that evaluation is useful, participative, realistic and efficient.
- iii. *Precision and Quality*: This standard seeks to ensure that the evaluation produced technically appropriate data indicating the efficacy of intervention under consideration. Evaluation data collection and analysis procedures must establish the relevance, validity, and reliability of information emerging from an evaluation.
- iv. *Principle of respect and ethics*: This standard ensures that legal and ethical regulations are followed, in addition to the well-being of stakeholders participating in the evaluation or impacted by its conclusions.

3.6 Evaluation approaches

Evaluations to be conducted by OMAs, RCs and LAs and non-governmental institutions will integrate two or more cross-cutting approaches (i.e. utilisation-focused and gender-response) in a single evaluation. This will be outlined in the Terms of Reference (ToRs) developed by OMAs, RCs, LAs and non-governmental institutions. All the evaluations, in particular those of national commitment will integrate equity, gender and inclusion issues into their design and implementation. The evaluation guideline should promote how this will be done. Table 2 illustrates some of the approaches that OMAs, RCs, LAs and non-governmental institutions should consider when drafting ToRs and conducting evaluations.

⁴ Patel, M., 2013, 'African Evaluation Guidelines', African Evaluation Journal 1(1), Art. #51, 5 page.
<http://dx.doi.org/10.4102/aej.v1i1.51>

Table 2: Evaluation approaches

No	Approach	Key Issues	Timing
1	Utilisation-focused	This is based on the principle that an evaluation should be judged on its usefulness to its intended users. Two essential elements are identified: (i) the primary intended users of the evaluation must be clearly identified and personally engaged at the beginning of the evaluation process; (ii) evaluators must ensure that these intended users guide all other decisions during the evaluation process. This approach is aimed at maximising the utilisation of findings.	From start to end of an intervention.
2	Gender responsive	A gender-responsive evaluation should assess the degree to which gender and power relationships have changed as a result of an intervention. A gender-responsive evaluation should be a process that is inclusive, participatory and respectful. Many gender-responsive evaluations have feminist approaches that include an understanding of inequalities. In adopting this approach, the evaluation must take into account the "Leave No One Behind" standard of Namibia.	From start to end of an evaluation.
3	Participatory evaluation	The intended beneficiaries of a project or programme can lead participatory evaluations. Intended beneficiaries are involved to some degree in decisions over the collection, analysis and use of information. It should also mainstream people with disabilities and children by means of targeted measures in the design, implementation, monitoring and evaluation of policies and programmes.	From start to end of an evaluation.
4	Theory-based evaluation	The evaluation starts with a ToC that shows how a project or programme should work and maps out the causal pathways between interventions and desired changes. Sometimes, the ToC is developed before an evaluation is commissioned or it may be developed (or adapted) as part of the evaluation ⁵ . Therefore, this evaluation approach seeks to test a theory.	At any time depending on availability of a ToC and logic model.
5	Rapid evaluation	Rapid evaluation is conducted during emergencies or as part of preliminary analysis to help determine priorities, identify emerging problems and trends, and enable decision making to either support a full-scale evaluation or to decide on project adjustments to meet needs or project objectives.	At anytime and should not take too long to produce a report.
6	Environmental Responsive Approach	An environmentally responsive evaluation should assess the degree to which environmental issues have changed (or not) because of the implementation of the evaluation. It should assess the impact of the relationship between the activities of the intervention and the system within which it operates. Additionally, it should highlight the intervention's contribution to the prevalence, mitigation, restoration and regeneration of climate change and ecosystems health issues. The evaluations findings and improvement plans should also apply an environmentally responsive lens.	From start to end of an intervention and evaluation

⁵ INTRAC (2017)

3.7 Who undertakes evaluations?

The OMAs, RCs, LAs and non-government institutions will make use of both external and internal evaluators when conducting evaluations. An external evaluation is one in which OMAs, RCs, LAs and non-government institutions commission a third party to evaluate a development. External evaluators are those not employed by OMAs, RCs, LAs and non-government institutions or any other institution within and outside the GRN whose projects, programmes and policies are being evaluated. In cases where local independent evaluators lack the necessary skills set, external evaluators can be sourced from outside the country. External evaluations may include a public servant, but the team leader must be from outside the government. In contrast, internal evaluations are those conducted by a unit/or individual involved in the design and implementation of the project. Internal evaluators are staff from OMAs, RCs, LAs and non-government institutions. They evaluate their own projects and programme i.e. they are accountable to the organisation whose intervention is being evaluated.

3.8 Purpose of internal and external evaluations

To ensure the independence of the evaluation process, the implementers of interventions will use an external evaluator to minimise the risk of any systematic bias and error, optimising the credibility and integrity of the evaluation process. An evaluator's independence from programme management is essential as this will promote greater credibility of the evaluation findings and report. Furthermore, the evaluations management systems should facilitate and guarantee impartiality, objectivity and independence. The commissioner of the evaluation has the power to hold the consultants to a high degree of quality standards. In terms of internal evaluations, the purpose of planning and implementing internal evaluations includes the benefits to be gained from insider expertise and knowledge of a programme or of the operations of OMAs, RCs and LAs. This serves to ensure that all learning from an evaluation is captured and utilised by the OMAs, RCs or LAs. Key evaluator competencies that will be required and assessed, particularly for evaluations to be conducted by external evaluators, are outlined in Chapter 6 of this Policy and should be included in the ToRs and be amongst the criteria for selecting evaluators.

For the reasons stated above and depending on the availability of funds, a choice will be made on whether evaluations will be conducted internally or externally. Diagnostic, design and process evaluation can be conducted *internally* by the units with M&E roles and responsibilities. Impact, outcome, economic evaluations will need to be commissioned to external evaluation. Whichever is considered appropriate, the staff in OMAs, RCs or LAs will require capacity strengthening, particularly on managing and commissioning of evaluations.

3.9 Criteria for selecting evaluations

The criteria for selecting development interventions to be evaluated will be guided by:

- *Interventions of national key priorities*

Evaluations to be conducted by OMAs, RCs and LAs are to be guided by the current NDP and Vision 2030 as well as the NEP.

- *Transformative interventions*

Interventions addressing the issues of gender and inclusion, climate change, inequality and equity as well as vulnerable/marginalised groups will be given priority as the GRN seeks to address these matters in accordance with Article 23 of the Namibian Constitution (1990).

i. Time

Priority for conducting evaluations will be given to interventions that have not been evaluated in the previous 3 years or longer. The objective is to pursue a strategic national development objective in alignment with current NDP and Vision 2030.

ii. Performance of interventions

Attention will be given to both performing and non-performing interventions to incorporate lessons learned for future improvement of interventions or to assist when deciding on the termination of an intervention.

iii. High degree of public interest

Attention should be given to interventions where there is significant public interest in the intervention.

3.10 Evaluation quality assessment

All the evaluations will be subjected to rigorous Quality Assessment (QA). This involves the collection of data and analysis to provide an indication of degree of conformity to predetermined standards and criteria. The GRN M&E Manual (2016) assists to ensure consistent quality (see module 3 of the Manual). The evaluation guidelines support the implementation of this Policy to ensure the quality of evaluation processes and reports. The guidelines will provide various templates designed to ensure conformity with predetermined standards and desired quality. All the OMAs, RCs and LAs will be obliged to adhere to the standards and templates.

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SECTION 4: USE OF MONITORING AND EVALUATION EVIDENCE

4.1 Managing for results in Namibia

This policy conforms with international best practices with the aim of improving the effectiveness of interventions. Managing for Development Results (MfDR) is a common practice in contemporary development thinking and the objective is to make interventions effective and result-focused while making all the resources available to realise the results (Organisation for Economic Co-operation and Development, 2008: 1)⁶. The GRN shifts from a focus on inputs and activities to outputs, outcomes and impact of all interventions. OMAs, RCs, LAs and non-governmental institutions are obliged to provide sound information to improve learning and decision-making. Five MfDR principles have been agreed upon by various stakeholders⁷. The OMAs, RCs, LAs and non-governmental institutions implementing public interventions should commit to following the principles:

Principle 1: At all phases – from strategic planning through implementation to completion and beyond – focus the dialogue on results.

OMAs, RCs LAs and non-government institutions are to engage in dialogue throughout the lifecycle of any public intervention to increase the likelihood of successfully achieving the intended results. This Policy encourages ongoing dialogue from the point of formulation of an intervention to its closure and advocates the agreement of roles for optimised results orientation for any activity during the intervention.

Principle 2: Align actual programming, monitoring, and evaluation activities with the agreed expected results.

NPC will support OMAs, RCs and LAs to develop implementation strategies formulated to support successful achievement of outcomes and impact. This Policy encourages OMAs, RCs and LAs to devise strategies that will strive to reflect continuously on whether the results are being achieved, adjust the design as and when necessary, and determine how results will be used to best advantage.

Principle 3: Streamline/harmonise reporting systems to avoid duplication of reporting

Under the precepts of this Policy, the GRN commits to simple, reliable and cost-effective reporting systems. The situation analysis report found that reporting to different GRN institutions was problematic and onerous. Therefore, the need for a harmonised system was identified as a means to promote learning and ensure accountability. The utilisation of results was considered integral to the success of these processes. GRN will commit to strengthening both M&E systems and ensuring that they are informed by timely, valid, reliable and quality data which is critical for influencing utilisation of evidence at the various levels.

Principle 4: Manage for, not by, results, by arranging resources to achieve outcomes

GRN, through the OMAs, RCs and LAs, commits to 'backward mapping' where desired outcomes, impact and possible use of evaluation findings are identified prior to initiating a programme or project. Clearly defined and measurable indicators, baselines and targets are a prerequisite for the awarding of funding for any GRN intervention. The NPC will provide technical assistance to develop baselines and targets with the aid of the M&E Manual (2016) compiled by the GRN.

Principle 5: Use results information for management learning and decision-making as well as for reporting and accountability

The GRN encourages M&E evidence to be made accessible to both government and non-governmental institutions through various dissemination and communication strategies. Learning is a key component for the GRN evaluation system: *what works, what does not work, for whom, and under what circumstances*. This is critical for adaptive management informed by positive or negative evidence – *'data must speak'*.

⁶ Organisation for Economic Co-operation and Development. 2008. Managing for Development Results: Information Sheet. OECD-DAC, Paris.

⁷ African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank and World Bank – in association with the Development Assistance Committee of the Organisation for Economic Cooperation and Development.

4.2 Factors influencing utilisation of evidence in policy- and decision-making

The GRN emphasises that this Policy should not become a tick-box exercise but should focus on evidence-use, improvement and learning. The findings of M&E and other forms of performance appraisal can shape the success of current and future development interventions and enable a focus on how to achieve outcomes and impact. OMAs, RCs and LAs should ensure that the following conditions are met for optimal utilisation of both M&E evidence.

4.2.1 Evidence accessibility

Evidence availability and accessibility is critical for its utilisation. OMAs, RCs and LAs are to ensure that quality assurance mechanisms for M&E reports are applied from the beginning of implementation of all public interventions. The mechanisms should include verification processes for both M&E reports. These verified reports will be made accessible to all interested stakeholders, including Cabinet, Parliamentary Portfolio Committees and citizens. A repository of performance monitoring reports and evaluations is critical for ease of accessibility. The NPC will establish a repository for all public intervention evaluations as well as for the annual progress reports on implementation progress of NDP and Vision interventions. To aid the Office of the Prime Minister's periodic report to Cabinet on OMAs, RCs and LAs progress in implementing NDP programmes, the Policy mandates each government implementer to submit quarterly programme performance reports to the Office of the Prime Minister. Likewise, to aid the NPC's mandate of producing an annual government progress report on NDP implementation, each government implementer should submit an annual report of their activities, outputs and outcomes (and perhaps any visible impact).

4.2.2 Accountability

OMAs, RCs and LAs will be held accountable for their performance *vis-à-vis* set indicators and intervention objectives and on the extent of post-intervention utilisation which is a critical component for all interventions (particularly programmes and projects aligned to *long-term visions* and *medium-term NDPs*). Failure to indicate how results will be utilised in the concept note for evaluation(s) from OMAs, RCs and LAs will affect future budget allocations. Likewise, each performance monitoring report issued by OMAs should include an implementation improvement plan which makes recommendations for the streamlining of future implementations.

4.2.3 Learning and knowledge management

All routine monitoring reports; reviews of long-term visions, NDPs, policies and programmes; and evaluation reports compiled by – or on behalf of OMAs, RCs and LAs should also capture key lessons emanating from the implementation of a said policy, programme and project. Custodians of policies, visions and NDPs, as well as programme managers should learn from identified challenges or mistakes, and make the necessary modifications. The primary goal of Knowledge Management (KM) is to improve efficiency and productivity and to retain critical policy and programme performance information within the GRN. OMAs, RCs and LAs can establish their own M&E knowledge management systems (KMS) or repositories by creating one online and/or physical. The NPC and Office of the Prime Minister should use their websites as a central repository for storing Annual Government Performance Reports. Likewise, NPC should use its website as a central repository of all evaluations and mid-term reviews of NDPs and other development interventions. This central repository should include evaluations of national interest across all OMAs, RCs and LAs and will enable ease of accessibility and acceleration of learning from previous evaluations. To achieve the goal of results-based governance proposed by this Policy, the KMS will be used in a way that promotes evidence utilisation informing implementation of current and future development interventions.

4.2.4 Improvement planning

Implementation improvement action plans and policy briefs should be compiled for all programmes by the relevant technical departments of OMAs, RCs and LAs. Such improvement plans and policy briefs will build a learning culture that will spread throughout the Namibian public service. Likewise, research, evaluations, and reviews will generate knowledge useful for future development planning, policy-making and programme formulation depending on the context i.e. political economy. This knowledge should be documented in improvement plans, briefing notes or policy briefs.

4.2.5 Incentives and disincentives to improve M&E evidence use

This Policy binds OMAs, RCs and LAs to commit to evidence-based governance and public management. To this effect, the Policy pronounces that any development intervention should be designed with a ToC and logic model as indicated in the *M&E Manual (2016)*. Institutions that provide clear-cut utilisation of evidence strategies should be rewarded either materially through greater budget allocation, or symbolically through recognition of best practice. Forms of reward should be discussed with identified institution(s). Once evaluations or mid-term reviews have been conducted and quality assured, improvement plans must be developed. Failure to do so would result in reduced or withdrawn funding for the same programme. The evaluation guidelines should provide the template for the improvement plans to be used by OMAs, RCs and LAs.

4.3 Use of evaluation evidence in GRN

The GRN, through this Policy and other M&E documents designed to regulate and coordinate the processes of M&E emphasises that the value of performance M&E(s) will be assessed by the extent to which findings from these two performance appraisal practices are utilised to inform better implementation, development planning, policy-making, budgeting and decision-making. In the GRN, the value of M&E practice is to be realised through its utilisation for the following purposes:

i. Decision making

Evaluations will be utilised instrumentally, whereby recommendations and findings elicited from M&E are used to inform decision-making and to institute changes in the intervention. The GRN commits that policy and programme changes and decision-making in the public sector will be informed by M&E evidence. OMAs, RCs and LAs will be accountable for ensuring that rigorous performance reports, applied research, performance reviews and evaluation studies inform their decision(s). A shift towards evidence-informed decision-making by the GRN will contribute to:

- Performance-based budgeting
- strengthened performance and results-focused culture in the country; and
- strengthened programmes that yield results.

ii. Learning

This Policy obliges OMAs, RCs and LAs to learn from the processes and results of performance monitoring, research studies and evaluation. M&E results will contribute to an improved understanding of intervention(s). Social accountability tools will be necessary for soliciting feedback from citizens and beneficiaries of public interventions. It is through mechanism such as community-based monitoring that citizens and beneficiaries will be able to hold OMAs, RCs and LAs accountable.

While undertaking M&E, novel information can be gained about the intervention and its context and this knowledge contributes to better understanding and improved implementation of future interventions by OMAs, RCs and LAs. Key stakeholders in each sector will benefit from understanding what progress is being made towards the attainment of African Union Agenda 2030, SADC, RISDP, national long-term visions, NDPs and global development agendas (i.e. SDGs). Given the complexity of implementing public interventions and stakeholders involved, NPC should create mechanism for feedback loops, internal and external learning processes that facilitate knowledge sharing and learning on *what works, what does not work, for whom and under what circumstances*. To this end, OMAs, RCs, and LAs should be able to bring about adaptive management particularly with the ever-changing context i.e. climate change and pandemics.

SECTION 5: MANDATORY ROLES AND RESPONSIBILITIES OF STAKEHOLDERS

5.1 Roles and Responsibilities

Defining the roles and responsibilities of government institutions, parliament and non-state actors is vital in ensuring the implementation of and compliance with the national M&E policy. This Policy is prepared for both government and non-governmental institutions that play a role in M&E of public interventions. It encourages the oversight institutions to have functional, staffed and resourced M&E units to discharge their roles and responsibilities.

5.2 Executive Authority

5.2.1 Cabinet

- The implementation of the M&E policy in the public sector will be monitored and assessed by NPC with the support of Cabinet as the collective structure of all executive (public sector) institutions of Namibia – as per Article 35(1) of the Namibian Constitution.

5.2.2 The Office of the President

- Article 32(2) of the Constitution mandates the President to deliver an annual State of the Nation Address (SONA) that reports on the performance/progress of government policies and programmes for the preceding year. The SONA is delivered to Parliament.
- The Integrated National Performance Framework (2016: 26) mandates the Office of the President to evaluate the efficiency and effectiveness of government policies. Article 32(g) of the Constitution empowers the President to create or dissolve government departments and ministries when such a decision is considered necessary to improve governance of the Republic. Since very few OMAs, RCs and LAs have dedicated M&E units/departments, the President has the constitutional prerogative to direct the Office of the Prime Minister to establish M&E units/departments across OMAs and RCs.
- Such roles are mandated by the Constitution of the Republic of Namibia (1990) and Integrated National Performance Framework (2016).

5.3 Oversight institutions

5.3.1 The Office of the Prime Minister

- Article 36 of the Constitution designates the Prime Minister as leader of government business in Parliament and the chief administrator and coordinator of Cabinet and the public sector. Section 5(2)(a) of the Public Service Act (1995) empowers the Office of the Prime Minister to establish, readjust or reorganise the composition of OMAs. This provision means that the Office of the Prime Minister (through Department of Public Service Management) can establish M&E departments in many OMAs where currently none exist.
- Section 10(d) of the Public Service Act (1995) declares that the Secretary to the Cabinet, who is the accounting officer in the Office of the Prime Minister, is responsible for overseeing the performance of Executive Directors of OMAs through performance agreements. An Executive Director is the designated accounting officer for each OMA. Evaluation findings and recommendations should form part of the Executive Director's performance agreement. This will promote the use of evaluation findings and recommendations.
- Office of the Prime Minister review organisational structure in line with strategic plans.
- Office of the Prime Minister ensures that OMAs develop strategic plans and performance agreement and reviews.
- Integrated National Performance Framework (2016:3) dictates the Office of the Prime Minister with the task of ensuring that sector OMAs implement the NDPs, M&E plans and other M&E frameworks.
- Office of the Prime Minister is to report to Cabinet and Parliament periodically on OMAs' performance and results as per its mandate as the secretariat and coordinator of Cabinet and other public sector institutions (OMAs). Office of the Prime Minister is therefore, an oversight institution whose responsibility is to ensure that OMAs implement all plans, policies and other frameworks developed by NPC as part of efforts to build the Namibian national M&E system. The mandate of Office of the Prime Minister is derived from Constitution of the Republic of Namibia (1990); and the Public Service Act (1995).

5.3.2 The National Planning Commission (NPC)

- The mandate of NPC is derived from Constitution of the Republic of Namibia (1990) and National Planning Commission Act, 2013 as amended.
- The Integrated National Performance Framework (2016) recognises the NPC to be the custodian of planning, M&E in government and, thus, responsible for the development of a robust M&E system in Namibia through relevant plans and related frameworks.
- Namibia M&E Manual (2016) guides the NPC to develop the National M&E Plan for all NDPs and monitoring thereof.
- NPC compiles an independent annual progress report on GRN's overall performance *vis-à-vis* NDP 5 progress.
- The Integrated National Performance Framework (2016) mandates the NPC to:
 - evaluate the effectiveness of GRN socio-economic policies.
 - develop a NEP in collaboration with OMAs, RCs and LAs.
 - develop M&E Capacity-Strengthening Plan and Strategy in collaboration with OMAs, RCs and LAs.
 - develop M&E mechanisms to ensure effective implementation of the NDPs.
 - coordinate the development of government socio-economic policies to ensure consistency.
 - coordinate evaluation reports by means of quality assurance before they are disseminated and communicated to stakeholders.
 - oversee the implementation of management responses and lead M&E capacity development initiatives across government.
 - create central repository for evaluation reports and their important M&E infrastructure
 - conduct or commission evaluations in line with the NEP.
 - review the performance of OMAs, RCs and LAs against semi-annual and annual targets, notwithstanding the role of Office of the Prime Minister.

5.3.3 Ministry of Finance and Public Enterprises

- The Ministry of Finance Public Enterprises to ensure the allocation of resources for the execution of M&E functions across the public sector (Integrated National Performance Framework, 2016:28).
- It adopts a performance- and results-based budgeting approach.
- The Ministry allocates adequate resources and ensure proper utilization for implementation of M&E activities in the country.

5.3.4 Ministry of Urban and Rural Development

- The Integrated National Performance Framework (2016:29) mandates the Ministry of Urban and Rural Development (MURD) to assist RCs and LAs to formulate sub-national development plans and budgets.
- The MURD is responsible for monitoring the implementation of the sub-national development plans and the expenditure of budgets by sub-national authorities.
- The Ministry complements the functions of the Office of the Prime Minister and NPC at the sub-national level through facilitating the development of the M&E system through overseeing the implementation of M&E frameworks (i.e. this M&E policy, plans and others) by RCs and LAs for optimal efficiency and effectiveness)
- The MURD develops policy guidelines and procedures, evaluates institutional readiness of Line Ministries and sub-national government, ensures legislation harmonisation and applies principles of good governance.

5.3.5 The Office of the Auditor-General

- Article 127 of the Namibian Constitution (1990) and Part III Section 25 of the State Finance Act (1991) mandate the Office of the Auditor-General to conduct an annual audit that verifies the sum revenue and expenditure of OMAs, RAs and LAs relative to the allocated budget of that particular financial year as presented by MoFPE and adopted by Parliament.
- The Auditor-General, according to section 26 of the State Finance Act (1991), may investigate the efficiency, effectiveness and economy of the manner in which public funds are utilised, including assessing efficiency of the internal control measures of the relevant statutory institution.
- This Office's reports are presented to Parliament, according to which Parliament holds OMAs to account.
- It conducts performance audits according to stipulated time-frames.

5.4 Other Implementing Institutions

5.4.1 Ministry of Information and Communication Technology

- Will be responsible for the dissemination of the evaluation findings through various channels with the help of the OMAs, RCs, LAs and non-state entities involved in a respective evaluation.
- The Ministry disseminates evaluation findings and recommendations on all platform within which it operates.

5.4.2 Public Enterprises

- Responsible for reporting the interventions they are implementing for accountability purposes.
- Public enterprises should develop evaluation plans for the interventions they are implementing and participate in the implementation of the evaluation plans of their mother bodies.

5.4.3 Other OMAs

- OMAs prepare quarterly reports outlining implementation and performance progress on NDP priority programmes. The Policy advocates for the continuation of this mandate for all NDPs that follow it.
- Section 11(b) (ii) of the Public Service Act (1995) tasks the Executive Director of each OMA to ensure proper functional training for all staff members. For the efficient implementation of this national M&E policy, Executive Directors are responsible for the provision of M&E training for their staff.
- *The M&E Manual (2016)* provides technical steps on how OMAs should execute M&E functions to ensure efficient and effect implementation of GRN NDPs, policies, programmes and projects. Periodic reporting is an instrument designed to continuously track progress or a lack thereof.
- Line ministry programme budgets should allocate 5% to M&E activities and this provision must be adhered to in a government-wide M&E plan, or alternatively, in a ministry-specific M&E plan.
- Line Ministries have a responsibility to ensure establishment of M&E unit with the facilitation of the Office of the Prime Minister.

5.4.4 Regional Councils

- Article 102 of the Namibian Constitution empowers RCs to implement Council resolutions and policies.
- This national M&E policy mandates RCs to institutionalise the M&E function to enable them to regularly report to MURD on RC performance.
- In terms of Article 28 of the Regional Councils Act 22 of 1992, the Regional Council, notwithstanding the powers and duties of the NPC, is responsible for the planning of the development of the region in its jurisdiction. M&E is an inextricable aspect of development planning.
- This Policy will assist the Management Committee Chairperson of RC to fulfil their obligation of monitoring Regional Council development policies, programmes and projects as per Section 18(a) (ii) of the Regional Councils Act 22 of 1992.
- The Policy calls for greater use of evidence from performance M&E reports by regional governors when delivering the annual State of the Region Addresses (SORAs) as mandated by Article 110A subsection (4), (5) and (6) of the Constitution of the Republic of Namibia.

5.4.5 Local Authorities

- Article 102 of the Namibian Constitution mandates LAs to implement Council resolutions and policies.
- Section 26 of the Local Authorities Act (1992) mandates the management committee of an LA, such as a municipal council, town council or village council, to monitor the implementation of LAs' decisions, policies, programmes, projects, and to monitor expenditure.
- This national M&E policy mandates the management committees of LAs – such as municipal councils, town councils and village councils – to institutionalise the M&E function to enable them to regularly report on Council performance to the respective Regional Council to which they belong. Moreover, the Policy urges management committees of LAs to use evidence from performance M&E to improve the implementation and performance of local-level development interventions.

5.4.6 Namibia Statistics Agency

- Part 3 Sections 6 and 7 of the National Statistics Act (2011) declares the National Statistics Agency to be the central repository for all statistics produced in Namibia.
- It has a responsibility to collect, produce, analyse and disseminate official and other statistics in Namibia.
- It collects data on GRN's defined indicators of socio-economic, environmental and political development. Such statistics are a key input for the M&E activities and systems of OMAs, RCs and LAs. Moreover, National Statistics Agency statistics have the added benefit of serving as invaluable baselines from which to track the outcomes and impact of development interventions.
- It ensures data quality by making use of the Namibia Quality Assurance Framework for Statistics

5.4.7 Development Partners

- Assist GRN through financial, technical, and other forms of support to strengthen its M&E function, thereby enabling the Government to monitor its performance and provision of service delivery.
- Participate in discussion and decision-making committees at programme, sector and national levels to review and comment on public sector performance.
- Assist government to embed a culture of evidence-based policy- and decision-making.
- Co-finance the evaluations, particularly those within their scope of work and are of national interest.
- They are responsible for provision of periodic submission of reports to NPC.
- Should support the conduct of evaluation and commission evaluations aligned with support given to different sectors.
- Align their M&E systems to that of the system of government.

5.4.8 Civil Society Organisations

- Support implementing agencies and communities in carrying out M&E functions and activities.
- Provide external perspective on government performance and results.
- Facilitate independent performance assessments and support the evaluation of government development policies, plans and programmes.
- Provide timely and quality data on the implementation and progress of development initiatives and interventions relevant to the Government.
- Hold OMAs, RCs and LAs more accountable and responsible for exposing malpractices and corruption.
- Media houses could play part in dissemination of evaluations of public interest.

5.4.9 Higher education and training institutions

- Namibia Institute of Public Administration and Management (NIPAM) and other institutions of higher learning assist to systematise capacity-building interventions and function as dedicated M&E training and development institutions for the GRN.
- Other high education institutions are responsible for establishing M&E courses.

5.4.10 Parliament

- Article 63 of the Namibian Constitution designates the National Assembly as the pre-eminent legislative authority in Namibia charged with the responsibility of making and repealing laws and providing performance oversight on all executive institutions (OMAs, public enterprises and sub-national government). This Policy, therefore, strengthens Parliament's oversight function over the executive's performance.
- The M&E policy, once implemented, will further strengthen transparency and accountability in the use of public funds by the OMAs and sub-national government.
- Influences government policies through the annual budget and regular interaction with OMAs, RCs and LAs
- Uses M&E findings as critical information needed for their oversight, representation and debate.

SECTION 6: STRENGTHENING INDIVIDUAL AND INSTITUTIONAL CAPACITIES

6.1 Capacity requirements

The GRN acknowledges that OMAs, RCs and LAs have limited individual and institutional M&E capacities. This Policy obligates the Office of the Prime Minister to work with OMAs, RCs and LAs to establish M&E units with adequate knowledgeable and skilled personnel. It advises that M&E units be established across OMAs under the leadership of a director to whom the M&E unit is to account. The size of M&E units will vary with the policy recommending that sector ministries and public enterprises must have larger M&E teams given the vast number of programmes implemented by these institutions. As a general recommendation, M&E units should devise a system to integrate with planning departments – given the symbiotic relationship of planning and M&E functions. Such integration will also build a culture of utilising M&E evidence in planning processes. For sub-national government (RCs and LAs), the Policy recommends that MURD establishes a strong M&E unit that will be responsible for monitoring and evaluating the activities and performance of RCs and LAs *vis-à-vis* their development plans and programmes.

To ensure functional M&E units across the Executive, the Policy recommends that each M&E unit be staffed by a manager (Director) who champions M&E and utilisation of its findings and staff who are capable of developing and reporting on specific, measurable, achievable, relevant and time-bound (SMART) indicators. Moreover, each M&E unit in the public sector should be staffed by civil servants who are able to collect and analyse data (research skills), results-oriented, and who understand the value of the use of M&E evidence while also appreciating the importance of KM as part of building institutional memory and a culture of learning.

A capacity-building and strengthening strategy or plan should inform M&E capacity-building initiatives. Capacity building and/or strengthening should go beyond ad hoc training interventions. NPC should play a critical role ensuring that there are adequate skills and knowledge – particularly evaluation – among the established M&E units to enable implementation of this Policy when undertaking evaluations and during the management and commissioning of evaluations. The Policy, therefore, calls for the development of M&E capacity-building plans across OMAs, RCs and LAs.

6.2 Purpose of M&E capacity-building

Technical capacity-building is aimed at addressing a specific M&E skills gap that is crucial for effective functioning of OMAs, RCs and LAs. Technical capacity-building will focus on addressing the M&E skills gap to improve individual M&E capacities across the government sector.

6.2.1 Demand-side of Monitoring and Evaluation

The users of M&E evidence must understand how to use and incorporate M&E in their day-to-day responsibilities and to respond appropriately to M&E findings. M&E users (i.e. decision-makers) in OMAs, RCs and LAs should be able to understand, analyse and interpret the information collected through M&E and utilise it as a tool for managerial action and improvement of future interventions.

6.2.2 Supply-side of Monitoring and Evaluation

The suppliers of M&E evidence are technical and/or programme personnel in OMAs, RCs and LAs. The technical and/or programme staff should be able to collect valid, reliable and information for identified indicators which is free from errors and bias. In terms of evaluations, capacity-building should be aimed at developing technical skills for undertaking rigorous evaluation studies that can influence decision-making and policy-making.

6.3 Capacities required by users of evidence from Monitoring and Evaluation

To ensure effective utilisation and understanding of evaluation, users are required to possess a certain level of analytical and interpretation skills among others:

- i. *Fundamental understanding of basic M&E:* Decision makers (e.g. planners, policy-makers, parliamentarians, executive directors and other stakeholders) require a fundamental understanding of performance management, including M&E, reviews, auditing and research. They also require an appreciation of the roles and value of these performance management mechanisms in the policy, programme and budget cycles.

- ii. *Knowledge brokering*: Willingness to create channels for implementation KM and sharing for learning about *what works* and *what does not work* for government interventions and the effective communication of this knowledge to other government institutions, development partners and civil society.
- iii. *Basic understanding of policy cycle*: Adequate understanding of the Policy and/or programme cycle (including agenda setting and policy/programme formulation stages), aims, and the context within which it is being, or has been implemented.
- iv. *Analysis and interpretation*: Decision-makers need basic analytical and interpretation skills.

6.4 M&E capacity-building initiatives

OMAs, RCs and LAs should select short-, medium- and long-term capacity-building initiatives to address their skills gaps. This Policy emphasises the following initiatives as part of building and strengthening capacity within OMAs, RCs and LAs. To add real value, initiatives should be informed by a skills assessment.

6.4.1 Training of current personnel who execute M&E functions daily

This Policy encourages training of personnel on both the demand and supply-sides of M&E. The functions vary and competencies for both must be strengthened as they are mutually reliant. Training for personnel in M&E will be mandatory and could be formally accredited through institutions (i.e. NIPAM and other institutions of higher learning) that are approved for teaching and learning and/or customised training could be offered in-house with non-credit-bearing certificates being awarded.

6.4.2 Technical assistance

This Policy encourages OMAs, RCs and LAs to embed skills by involving less experienced personnel in actual evaluation work. Evaluations by OMAs, RCs and LAs should be led by experienced evaluators who mentor inexperienced personnel so that they learn from practical involvement.

6.4.3 Peer-to-peer learning

The peer-to-peer learning approach should be utilised during which OMAs, RCs and LAs learn from best practices by exchanging knowledge and experiences.

6.5 Competencies for M&E

Competencies refer to a cluster of related knowledge, skills, abilities and other requirements necessary for successful job performance. Table 3 outlines M&E competencies⁸ that capacity-building interventions should seek to improve on an on-going basis.

Table 3: Standard M&E competencies for M&E practitioners

Competency strand/area	Key skills (both at postgraduate diploma and Master's levels)
1. Professional practice Set of skills and attitudes relating to ethical practice and M&E standards.	<ul style="list-style-type: none"> i. Applies M&E standards (utility, feasibility, propriety, accuracy and evaluation accountability). ii. Acts ethically with honesty and integrity. iii. Acts independently and impartially, upholds human rights, and respects all stakeholders.
2. Systematic inquiry Knowledge of essential methods for collecting valid and reliable data; analysis and reporting for M&E.	<ul style="list-style-type: none"> i. Understanding of basic concepts of M&E and conducts programme evaluability. ii. Ability to formulate sound evaluation questions. iii. Capacity to conduct literature review and collect primary data using quantitative and qualitative research methodologies. iv. Draws conclusions, makes judgment and gives recommendations regarding the use of evaluation findings.

⁸ Adapted from CLEAR-AA's Collaborative Curriculum Development Project: Competency Framework for an African-Wide Evaluation Practice.

3. Context analysis Capacity to analyse factors surrounding an M&E exercise such as unique interests, issues and the programme operating environment.	i. Capacity to map all stakeholders affected by the programme/project/policy to be evaluated. ii. Capacity to identify the information needs of programme managers and other key decision makers. iii. Capacity to analyse the social, political, economic, cultural, religious contexts within which the programme/project/policy takes place.
4. Project management These competencies focus on the project management skills the evaluator needs to effectively negotiate, plan, scope, execute, manage and complete an evaluation.	i. Demonstrates knowledge of basic concepts and elements of the project management process (planning, stakeholder analysis and management, coordination and management of human, physical and financial resources, activities etc). ii. Employs sound facilitation skills. iii. Reports on progress, results and closure.
5. Reflective practice Refers to M&E practitioner's awareness of their own professional capacity and developmental needs, thereby contributing to their individual growth and that of the M&E profession.	i. Evaluator reflects on own evaluation capacities and identifies areas for further development (training, mentorship or coaching). ii. Seeks opportunity to build competence in M&E by pursuing continuous professional development, including the strengthening of ties to professional bodies/Communities of Practice
6. Interpersonal skills This focuses on how evaluators can relate and communicate effectively with clients, evaluands, consumers of evaluative findings and other stakeholders.	i. Communication skills (written and verbal). ii. Capacity to identify, understand and resolve conflict. iii. Demonstrates awareness and capacity to manage cultural diversity and multiple stakeholders (including the management of matters of gender and social inclusion/exclusion).
7. Leadership and management skills This refers to the evaluator's innate character to guide M&E processes and teams.	i. Manages implementation of the evaluation process. ii. Capacity to make sound decisions throughout the evaluation process. iii. Guides the evaluation team and manages external factors that affect the evaluation process. iv. Demonstrates an understanding of team dynamics (understanding of self, other individuals and the team as a collective) v. Promotes partnerships and collaborations, team-building, team-work and capacity development.

6.6 Resourcing M&E capacity-building

The Office of the Prime Minister and OMAs have the primary responsibility of funding the building of capacity for M&E staff. Various institutions can be lobbied to finance M&E capacity-building. Development partners in Namibia already play a fundamental role in capacity-building and should be encouraged to continue providing resources to increase the state's capacity to respond to citizens' needs and challenges in a sustainable manner. Bilateral and multilateral aid organisations can be approached to avail funding or provide capacity-building initiatives in areas of mutual interest.

SECTION 7: RESOURCE MOBILISATION

7.1 Resourcing M&E activities

The national M&E policy calls for sustainable funding of M&E activities to achieve the desired impact. It advocates for a hybrid financing model for implementing its provisions. The government will ensure the mobilisation of funding for M&E activities through the annual budget. For the purposes of evaluation, at least 5% of the intervention budget should be allocated to conducting evaluation depending with the magnitude thereof. The GRN, through its collaboration with development partners and others, will ensure that funding is allocated to implement and institutionalise this Policy. Table 4 provides an overview of the resourcing plan for implementing the Policy, consistent with the institutional arrangements and legal framework stipulated in its Section 5.

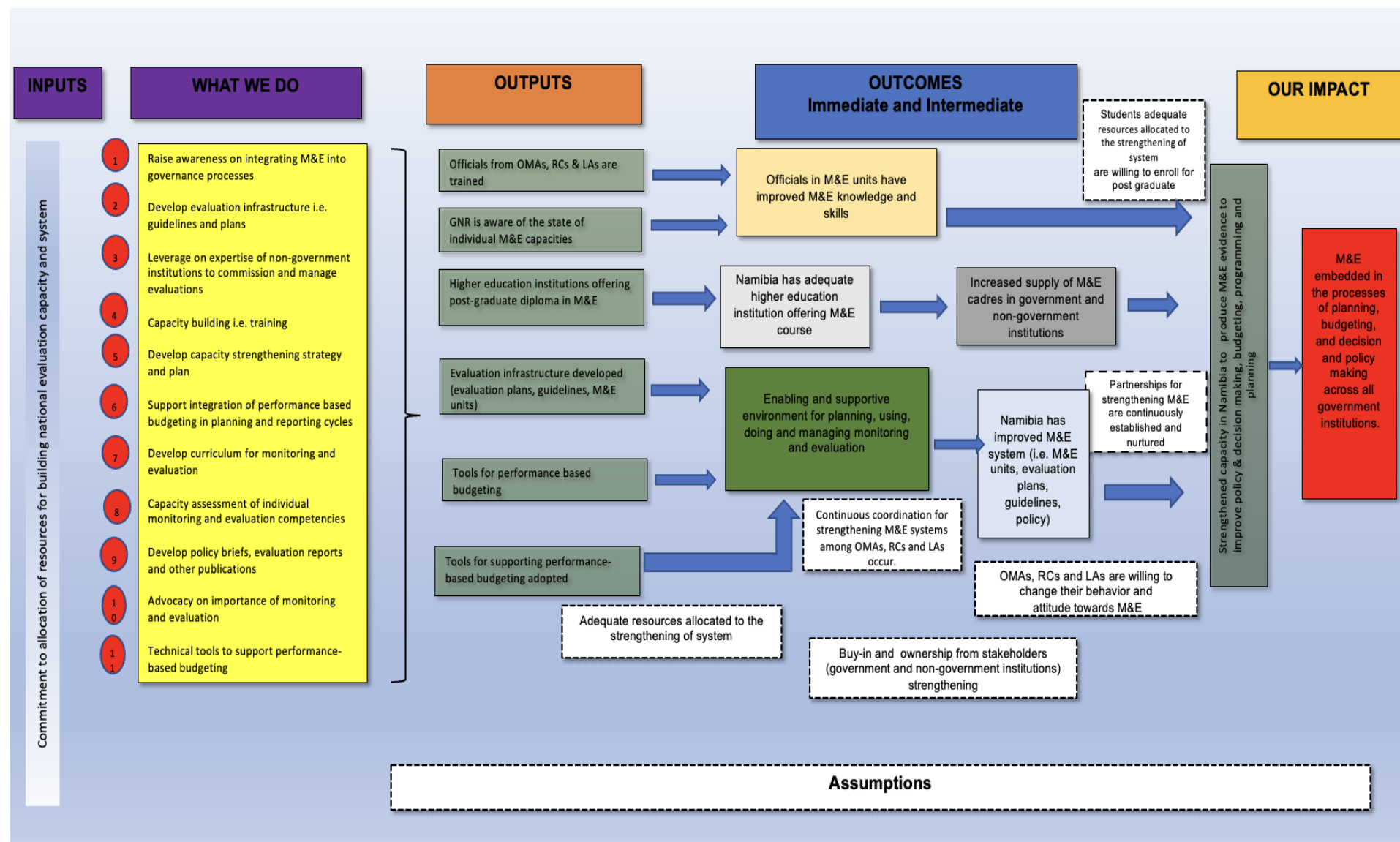
Table 4: Funding model

No	Institution	Responsibility
1	Office of the Prime Minister	<ul style="list-style-type: none"> This Office will facilitate the implementation of the national M&E policy by motivating for funding from MoFPE to establish M&E departments across line ministries, agencies, public enterprises, RCs and LAs and will ensure the appointment/recruitment of the necessary M&E personnel.
2	MoFPE	<ul style="list-style-type: none"> As the manager of public funds, the MoFPE will support the establishment of functional M&E units in all OMAs, public enterprises, RCs and LAs by ensuring that sufficient financial resources are allocated in the annual national budget to each OMA to support M&E functions in line with the Policy and relevant appropriation procedures.
3	OMAs, RCs, and LAs	<ul style="list-style-type: none"> OMAs should include M&E expenditure in their annual budget proposals to MoFPE as part of the annual budgeting process. Co-funding of evaluations as and when necessary
4	NPC	<ul style="list-style-type: none"> The NPC is responsible for coordination of M&E funding and where possible solicit funding from development partners. Development of costed NEP Ensure the funding of the evaluation plan
5	MURD	<ul style="list-style-type: none"> To provide coordination and oversight of the funds for M&E functions/activities.
6	Development partners	<ul style="list-style-type: none"> Development partners co-finance evaluations that are partnered with OMAs, RCs and LAs.
7	Office of the Prime Minister	<ul style="list-style-type: none"> This Office will facilitate the implementation of the national M&E policy by motivating for funding from MoFPE to establish M&E departments across line ministries, agencies, public enterprises, RCs and LAs and will ensure the appointment/recruitment of the necessary M&E personnel.

7.2 Monitoring and evaluation of the policy

This policy will be subject to close monitoring with the aim of systematically institutionalising it across all OMAs, public enterprises, RCs and LAs, who will be expected to report to oversight institutions quarterly. The NPC will undertake an evaluation after five years of implementation or as the need arises. The two reviews will focus on progress made in the implementation of the Policy and assess the appropriateness of the overall institutional framework within which prescriptions and their implementation are to play out. The two reviews will focus on implementation progress, the challenges encountered, lessons derived from implementing the Policy, and how the findings can inform its revision (amendment). An evaluation will be undertaken after ten years and will focus on the outcomes and impact of national M&E policy in building a culture of undertaking and using evidence from M&E by OMAs, RCs and LAs in the public sector. Improved evidence-based decision-making, policy-making, programme implementation and budgeting are the ultimate goals of this Policy. The implementation action plan established for this Policy will necessitate the roll out of the Policy. A ToC for this Policy has been developed to hypothesise how and why change will happen during its implementation. The below Figure 2 is a presentation of the ToC.

Figure 2: Theory of Change for the Policy Direction



SECTION 8: ADVOCACY AND DISSEMINATION

8.1 Dissemination strategy for M&E reports

The policy demands regular dissemination of M&E findings and recommendations that are appropriately packaged to meet the requirements of the intended audience. This Policy mandates the NPC to establish a dissemination strategy and plan at national level in collaboration with OMAs, RCs and LAs. This dissemination strategy will guide the release of all GRN performance reports (monitoring) and evaluations aligned with the public interventions and priorities as set out in NDPs and long-term vision. OMAs, RCs, LAs and public enterprises can develop their own dissemination strategies for their interventions. However, such strategies should be aligned to the provisions of the government-wide dissemination strategy as formulated by the NPC. Creation of forums that are sector specific is encouraged. The sector working forums will have a purpose of validating the evaluation reports of their respective sector before dissemination of the report. The forum will play an advocacy role for the utilisation of the evidence or information coming from M&E.

A systemic evaluation dissemination strategy will include a plan for ensuring the dissemination of evaluation results to key internal and external stakeholders through diverse, effective, creative, and barrier-free methods once an evaluation study or programme performance review report has been quality assured.

Dissemination of reports serves three primary objectives:

- i. to increase the reach of evidence;
- ii. to increase stakeholder motivation to use and apply evidence;
- iii. to highlight key lessons learnt during implementation.

8.2 Evaluation report format

Evaluations communicate different messages to different stakeholders. It is important for all OMAs, RCs and LAs to ensure that evaluation reports are communicated to different stakeholders (e.g. political and technical stakeholders) in a format that is accessible, concise and to the point.

The evaluation reports should comprise the following components:

- i. Executive summary;
- ii. Introduction;
- iii. Programme background;
- iv. Evaluation approach and methodology used;
- v. Findings by evaluation question;
- vi. Lessons learnt;
- vii. Conclusions and recommendations; and
- viii. Annexes including detail of data collection instruments.

The format of summary evaluation report should follow the 1/5/25 international standard including:

- i. 1-page policy summary of key messages;
- ii. 5-page executive summary; and
- iii. 25-page summary report from a comprehensive evaluation report.

8.3 Management response

This Policy makes it mandatory for OMAs, RCs and LAs to develop a *management response* to an evaluation report. Such a management response must include the recommendations and the party responsible for implementing them; a clear response stating whether the recommendations are accepted or not; a section explaining the actions to be taken; and a section identifying the party responsible for the action and the relevant deadline. This is important to strengthen the use of evaluations and foster ownership and accountability for evaluation reports by GRN institutions. This is done by facilitating strategic engagement on evaluation findings and suitable follow-up actions in a formal process. The evaluation plan should establish a template for management response.

8.4 Improvement plan

Based on the management response, an *improvement plan* will be formulated, aligned to the evaluation report and will determine what will be done and when. This Policy authorises the NPC to track and enforce management

responses and improvement plans for internal and external evaluations of national interest as identified in an evaluation plan. This not only strengthens organisational accountability for results but also ensures transparency in the process of achieving results. NPC will develop templates for management responses and improvement plans for effective implementation of this Policy. The NPC will ensure the monitoring of the implementation of the recommendations to facilitate improvement of development interventions.

8.5 Dissemination channels for public sector M&E reports

This Policy enforces the dissemination of progress reports and evaluations to facilitate learning and utilisation across the GRN institutions. The following are some of the channels that OMAs, RCs and LAs can utilise:

- i. Websites of OMAs, RCs and LAs;
- ii. Cabinet memos;
- iii. Newsletters and newspapers;
- iv. Seminars and workshops; and
- v. The media (television and radio channels).

8.6 Centralised and decentralised dissemination approaches for the GRN

The Policy mandates all OMAs, RCs, LAs and public enterprises to collaborate with oversight entities (i.e. Office of the Prime Minister, NPC and MoFPE and Public Enterprises) when disseminating progress (performance monitoring) reports and evaluation findings. For progress reports, each sector ministry, agency or parastatal will collaborate with Office of the Prime Minister and NPC to disseminate results through channels stipulated in, but are not limited to, the dissemination channels mentioned above. Important to note is that the dissemination strategy should be considered when designing and initiating an intervention.

9. CONCLUSION

The development of this national M&E policy is key for enabling evidence-based policy and decision-making in the GRN. It demonstrates the commitment of the GRN to achieve and measure high-level results of all public interventions. This Policy will facilitate the undertaking of evaluations, particularly those of national priority, and will enable a sound understanding of the progress of interventions or the lack thereof. This will aid the achievement of development outcomes, leading to a better life for all citizens of Namibia. The GRN looks forward to the effective implementation of this Policy by government institutions and non-government institutions. The NPC and stakeholders who played a crucial role in formulating this Policy urge all government and non-government institutions to support its implementation and objectives.