

**REPUBLIC OF KENYA**



**COUNTY GOVERNMENT OF TANA RIVER**

**COUNTY MONITORING AND EVALUATION  
POLICY**

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**2019**

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## ABBREVIATIONS AND ACRONYMS

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APR	:	Annual Progress Report
ADP	:	Annual Development Plan
BoQ	:	Bill of Quantities
CA	:	County Assembly
CIDP	:	County Integrated Development Plan
CoMEC	:	County Monitoring and Evaluation Committee
CIMES	:	County Integrated Monitoring and Evaluation System
CSO	:	Civil Society Organization
FY	:	Financial Year
IDF	:	Intergovernmental Development Forum
IFMIS	:	Integrated Financial Management Information System
M&E	:	Monitoring and Evaluation
NGOs	:	Non-Governmental Organizations
NIMES	:	National Integrated Monitoring & Evaluation System
PMC	:	Project Management Committee
SCA	:	Sub County Administrators
SCDH	:	Sub County Departmental Heads
SCMEC	:	Sub-County Monitoring and Evaluation Committee
SMEC	:	Sectoral Monitoring and Evaluation Committee
UNDP	:	United Nations Development Programs
ViMER	:	Village Monitoring and Evaluation Committee
WaMER	:	Ward Monitoring and Evaluation Report



## DEFINITION OF TERMS

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**Evaluation:** An objective analysis of current or completed policies, programs or projects, to determine their relevance, effectiveness, efficiency, outcomes and sustainability, based on reliable and credible information

**Institutional Framework:** Laws and formal provisions that define roles and responsibilities of all the organizations involved in implementing this policy

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

**Policy:** A deliberate system of principles to guide decisions and achieve rational outcomes

**Public participation:** Is a process that directly engages the public in decision making and gives full consideration to public inputs in making decisions on issues affecting them

**M&E System:** A set of organizational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables county departments and other institutions to discharge their M&E functions effectively.

**Baseline:** A description of the status quo, usually statistically stated, that provides a point of comparison for future performance.

**Performance Indicator:** A variable that is used to assess the achievement of results in relation to the stated goals/objectives.

**Evidence-based decision making:** Is the systematic application of the best available evidence to the evaluation of options and to decision making in management and policy settings.

**Inputs:** Inputs are all the resources that contribute to the production of service delivery outputs. Inputs are “what we use to do the work”. They include finances, personnel, equipment and buildings.

**Activities:** These are the processes or steps one takes to reach the project’s or program’s objective. They are written in the sequence or order in which they will be implemented. Each activity completed brings one closer to achieving the project objective.

**Outputs:** These are the final products, goods or services produced for delivery. Outputs may be defined as “what we produce or deliver”.

**Outcomes:** The medium-term results for specific beneficiaries which are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution's strategic goals and objectives as set out in its plans. Outcomes are "what we wish to achieve". Outcomes are often further categorized into immediate/direct outcomes and intermediate outcomes.

**Impacts:** Impacts are about "how we have actually influenced communities and target groups". These are the results or consequences of achieving specific outcomes such as reducing poverty or creating jobs.

**Results:** Are the outputs, outcomes, or impacts, intended or unintended, positive or negative of a development intervention. The Government only encourages results that support sustainable improvement in the country's outcomes – bringing real positive changes in poor people's lives

## FOREWORD


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The Tana River County Monitoring and Evaluation Policy is designed to guide implementation of the County Integrated Monitoring and Evaluation System (CIMES). In addition, this Policy seeks to place the practice of Results-Based Monitoring and Evaluation within the broader Government management accountability framework and to clarify the roles and responsibilities of the Monitoring and Evaluation Unit (MEU) in the Department of Finance and Economic Planning, the Service Delivery Unit in the Office of the Governor, other departments/agencies and stakeholders in this process.

The Policy shall be binding to all state and non-state actors who are required to comply with it in execution of their projects/programs from the date of approval of the Policy. The Policy shall be implemented through Government circulars and legislation.

As we move towards achieving the Sustainable Development Goals (SDGs), Kenya Vision 2030 and its MTP's and the implementation of our CIDPs, emphasis must be placed on our ability to monitor, evaluate, learn and report results on policies, projects and programs and other service delivery activities. This is meant to improve performance by both state and non-state actors within the County. The periodic monitoring and evaluation reports produced are expected to complement other reports such as budget implementation reports and performance management reports and state of the county reports which are all expected to strengthen accountability and transparency.

I therefore encourage all the partners and stakeholders to make use of this Policy with a view to transforming livelihoods and well-being of the people of Tana River.



**H.E. MAJOR (RTD.) DR. DHADHO GADAE GODHANA**  
Governor, County Government of Tana River



## ACKNOWLEDGEMENT

The County Government of Tana River (CGTR) will endeavor to promote and actively participate in achievement of economic growth as well as social and cultural development. It will aim to realize sustainable development facilitated by sound management of the environment and sustainable utilization of natural resources. To ensure this, the County Government of Tana River will focus on effective and efficient service delivery to people at all levels. This shall therefore require Monitoring and Evaluation (M&E) of the programs and projects of the government, taking into account the activities of all partners in a consistent and coherent manner.

This Policy was developed through an extensive process of consultations, meetings and discussion forums with key Tana River County development stakeholders. These stakeholders included: County Departments; Development Partners and Non- Governmental Organizations, CSOs, and the citizens among others. Inputs from the stakeholders were used by technical officers from the County Treasury and Planning to draft this M&E policy document.

This document is informed by the Constitution of Kenya, the County Governments Act (2012) and the Public Financial Management Act (2012). The content also draws on reviews of County Integrated Development Plans (CIDPs) and is consistent with the spirit of Vision 2030 and the Constitution of Kenya.

I would like to thank everyone who contributed to the process of drafting this Policy, notably the County Executive Committee members for approving the initiative. I would also like to echo the support of county technical officers in the Department of Finance and Economic Planning under the leadership of the County Director of Planning and Budgeting, Mr. Lennox Chilumo Mbwana. I would also like to express my appreciation to all participants in the meetings and workshops including the county departmental technical offices and all those who contributed through email, in writing, by telephone and other means of communication.



My gratitude also goes to the technical team from the State Department of Planning (Monitoring and Evaluation Directorate), and development partners, especially, the United Nations Development Program (UNDP) who technically and financially supported the development of this policy.



**MATHEW BABWOYA BUYA**  
County Executive Committee Member,  
Finance and Economic Planning



# 1 INTRODUCTION

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## 1.1 Overview

The policy presents a set of principles and guidelines designed to facilitate effective development coordination, implementation and tracking of results. The development of this framework is therefore expected to address the existing monitoring and evaluation challenges and enhancing a coordinated approach to monitoring and evaluation activities in the county. The document is organized into seven chapters, namely: Introduction; Policy Objectives, Goals and Principles; Policy Implementation; Reporting and Communication; Policy Standards; Capacity Development and Institutional Framework and Frameworks, Formats and Tools.

## 1.2 Scope

The framework and procedures on monitoring and evaluation apply to all programs and projects supported by the County Government of Tana River in line with the devolved functions provided in the Constitution of Kenya 2010. It will also be used to track non-state actor's projects, and the National government projects being implemented within the county in a given time.

## 1.3 Background

Tana River County is one of the 47 counties in Kenya, which came into being as a result of the promulgation of the Constitution of Kenya 2010. The County Governments' operations started in 2013. However, the county is yet to institutionalize and develop an integrated M&E system that will be able to establish the implementation status of development initiatives and their overall impacts. At the moment, there is no established mechanism for data collection. Moreover, minimal attention has been given to data collection and analysis, thus quantitative and qualitative findings are seldom used to inform planning and policy decision-making processes.

The County Government of Tana River is committed to efficient management and accountability practices that result in effective and efficient delivery of services for the people of Tana River. Significant resources have been committed to support a wide range of development interventions that are designed to improve the social and economic well-being of the citizens of the county. It is envisaged that this policy will enforce accountability and demonstrate evidence-based interventions, that value for money is being realized and that development interventions are indeed transforming lives in the county.

## 1.4 Situation analysis of the current Monitoring & Evaluation Framework

Since the county became operational in March 2013, the County Government has been striving to establish an M&E framework for coordination and harmonization of development interventions between departments and entities while developing performance indicators institutionalizing reporting and reporting standards. This has not been successful partly due to

lack of a policy direction and also owing to insufficient financial and human resources dedicated to M&E.

The various departments and development partners each carry out their own model of M&E and in some instances, the purpose and scope are not clearly defined. Most institutions in the county lack well defined structures, requisite skills and capacity to carry out effective monitoring and evaluation. M&E efforts have been limited to recording input and process indicators; under utilization of the information generated for decision-making and a weak culture.

### **1.5 Importance of Monitoring and Evaluation Policy**

- i. Support evidence based decision making especially budget decision making, performance budgeting, national planning, and program budgeting and planning. These processes focus on County government priorities among competing demands from citizens and interest groups;
- ii. Helps County government departments in their policy development and policy analysis work and in program development;
- iii. Helps county government departments and/or agencies manage activities at the sector, program, and project levels. This includes government service delivery and the management of staff;
- iv. M&E identifies the most efficient use of available resources and thus ensures accountability in the use of county resources;
- v. Performance indicators can be used to make cost and performance comparisons among different administrative units; sub-counties, wards and villages. Comparisons can also be made over time that help identify good, bad, and promising practices, and this can prompt a search for the reasons for this performance;
- vi. M&E links the performance contracting, appraisal systems and the incentive systems;
- vii. M&E is a tool for public participation, where citizens play a significant role when carrying out monitoring and evaluation by providing feedback; it will be implemented across all devolved levels;
- viii. M&E is an essential management tool for the County Government, and hence its availability and implementation will improve project performance and contribute towards to achievement of intended results.



## **1.6 Justification**

Despite the substantial amount of resources committed to development initiatives, the County Government does not have a structured mechanism for tracking the implementation processes and impacts of the projects; This creates a major accountability loophole, and hence the need for an M&E Policy Framework. This Policy Framework is a customized version of the National Integrated Monitoring and Evaluation System (NIMES), and will address the weaknesses that have been identified while undertaking development initiatives in the county. An established M&E system is a tool that generates reliable and valid information database whose data would be useful to the county and development partners in making informed decisions on policies and programs that need to be undertaken from time to time.

The success of the priorities contained in the County Integrated Development Plan (CIDP) will depend significantly on how effectively the planned activities and output indicators are monitored and evaluated with a view to ensuring that the priorities are undertaken and sustained over a period of time. In this regard, one of the key elements of the county plans is the process for monitoring and evaluation for results.

## **1.7 Legal Framework**

The Constitution of Kenya 2010 gives effect to the right of access to information by citizens as provided under Article 35 of the Constitution. The County Government Act 2012 Section 30(j) provides for County Governments to submit annual progress reports on the implementation of the county policies and plans to the county assembly. Further, Article 105 (e) mandates the County Planning Unit (CPU) to ensure the collection, collation, storage and updating data and information suitable for the planning process, while Article 108 provides for a five-year County Integrated Development Plan with clear goals and objectives, an implementation plan with clear outcomes, provisions for monitoring and evaluation, and clear reporting mechanisms.

In addition, pursuant to the Public Finance Management Act (PFMA) 2012 Article 104 (1), the county government is mandated to monitor, evaluate and oversee her own management of public finances and economic affairs. This gives the provision for the establishment of a County Integrated Monitoring and Evaluation System (CIMES).

Although the aforementioned legislations emphasize on an enabling framework for M&E, there is no specific legislation guiding the implementation of M&E within the County Government of Tana River. Thus there is need for a legislation to address this gap which demands the need for this M&E policy.



## 2 POLICY OBJECTIVES AND PRINCIPLES

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### 2.1 Introduction

This chapter outlines the purpose, overall goals, strategic objectives and principles of the policy. It summarizes the establishment of common structures and standards that would govern the application of an effective M & E system in the county. It also facilitates the attainment of maximum benefits from programs and projects intervention outlined in the CIDP and the investment plans financed by other devolved funds.

### 2.2 Purpose of Monitoring & Evaluation Policy

To strengthen the public sector in performance tracking and reporting in the implementation of the development policies, strategies, programs and projects in the County.

### 2.3 Overall Goal

The overall goal of this policy is to establish common structures and standards that would govern the application of effective monitoring and evaluation systems in the County. This will facilitate the attainment of maximum benefits from program and project interventions outlined in the CIDP and in the investment plans financed by other devolved funds, including those of development partners and CSOs.

### 2.4 Strategic objectives

This monitoring and evaluation policy has several main strategic objectives. The Policy will endeavor to:

- i. Standardize processes and procedures used to monitor and evaluate program and project interventions;
- ii. Promote effective and efficient deployment of resources by Government for the provision of social-economic development services to targeted populations in Tana River county;
- iii. Facilitate accountability, integrity and transparency at all management levels in the provision of services;
- iv. Promote the culture of M&E within the county;
- v. Facilitate the utilization of reliable, timely and relevant information for the development of socio-economic policy and program initiatives;
- vi. Disseminate and communicate M&E findings for improved project and program performance;
- vii. Strengthen monitoring and evaluation capacities;

- viii. Enhance greater public participation in program planning, implementation, and monitoring and evaluation to enable quality public service delivery.

## **2.5 Principles**

The policy will be guided by the following fundamental M&E principles:

- a. Integrity: M&E must be conducted with honesty and high moral standards.
- b. Transparency and Accountability: Good monitoring and evaluation needs transparency particularly by reporting data timely and accountably where officers are answerable to financial decisions they make.
- c. Inclusive and Participatory: M&E must be undertaken in a way which is inclusive and participatory with both public and stakeholders engaged.
- d. Learning: The process of M&E constantly informs the policy makers on gaps that need to be addressed throughout the process of project implementation.

## 3 POLICY IMPLEMENTATION

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### 3.1 Introduction

This chapter outlines the M&E system as a means, tool or approach of tracking implementation of the CIDP, including the activities of non-state actors in the County, while embracing the dictates of the Constitution of Kenya 2010, Vision 2030 and the SDGs.

The M&E system will encourage and foster partnership and collaboration between state and non-state actors in filling up the resource gaps in the County.

The CIDP and the Indicator Handbook will be the necessary raw material for the implementation of the M&E system.

### 3.2 Financing and Resource Mobilization

Implementation of this policy will require at least 1% of all development funds and any financial adjustments will be an integral part of the policy review. It will be the responsibility of the Department of Finance and Economic Planning and the chief officers of various departments to ensure that resources are availed in time for the M&E function. In addition, departments and agencies will be required to capture M&E budget needs as an integral part of the operational work plan. This budget will be discussed with stakeholders during planning.

Taking cognizance of the constraints in the County's resource envelope, this policy proposes for exploring partnerships and collaboration with donors and other development partners, the private sector as well as public private partnerships to achieve its objectives.

### 3.3 M&E Methods and Tools

The implementation of M&E in the County will be guided by the following tools; County Indicator Handbook; Formal Surveys, Public Expenditure Reviews; Public Expenditure Tracking Surveys (PETS); Customer Satisfaction Surveys (CSS); Budget Circulars, Approved Budgets, Equitable Development Act (EDA), Public Participation Act (PPA), and any memoranda or petitions by interest groups and/or members of the public. The specific methodologies to be employed will vary depending on the nature of the M&E activity; reporting methods will be done according to the targeted stakeholders.

Monitoring the progress of projects/programs involves keeping track of lots of moving parts. Most projects involve multiple team members handling various aspects of the project at the same time. The monitoring officer will have to monitor elements such as the budget, scope, schedule, resources and tasks to be completed. When this is done effectively, we shall stick to the timeline and identify problems early in the process to ensure that the project is a success. Each sector will have to come up with expectations and ways to collect data to specific projects/programs.



Program evaluations are systematic studies conducted periodically or on an ad hoc basis to assess program performance. As tools to support good management practice, these help determine if timely adjustments are needed in project/program design to improve the rate or quality of achievement relative to the committed resources. Evaluation may be done in the middle of a project/program or after the project/program has been completed.

### **3.4 Initiating the Monitoring and Evaluation Process**

Tools for monitoring and evaluation will be prepared by the county Monitoring and Evaluation Unit. Evaluation consideration will be given to interventions identified by the county as priority projects.

The specific use of consultants is recognized as a valid alternative when comprehensive evaluations cannot be conducted using County internal resources or when an independent external evaluation is requested. Comments from the county Monitoring and Evaluation Unit should be sought when Terms of Reference for evaluations will be prepared.

### **3.5 Policy Review Mechanisms**

The policy will be reviewed after every three years and when need arises to accommodate emerging issues.



## 4 REPORTING AND COMMUNICATION

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### 4.1 Introduction

This chapter entails the reporting requirements about the M&E reports that shall be produced and coordinated by the relevant actors and stakeholders. It also gives the timeline for reporting.

### 4.2 Reporting Structures and Requirements

Reporting on the projects/programs of the county shall begin at the village level (ViMER) onto the ward level (WaMER) on to the sub-county level (SCMEC) then to the sectoral level (SMEC) and to the county level: through the Intergovernmental Development Forum (IDF) on to the Technical Oversight Committee (TOC) and finally to the CoMEC. Each lower level will feed information to the higher level.

Coordination and joint reporting for each county department is the responsibility of the designated M&E officer. The coordinated reporting of the whole county and upwards towards the County Executive and the County Assembly is the responsibility of the M&E Unit which shall also provide these reports for approval by the County Monitoring and Evaluation Committee (CoMEC). Analysis and reporting on the Annual Development Plan results is a quarterly process, linked to implementation of projects/programs outlined in CIDP. It is essential that clear outcomes and targets be defined. Monitoring is essential to determine whether development and service delivery is on track.

Quarterly reporting on the various projects shall be done not later than 15<sup>th</sup> of the next month after the end of each quarter. There shall also be annual and bi-annual reports that shall be prepared not later than 30 days of each year or half year respectively. The relevant committees shall hold quarterly meetings to assess the progress of the projects/programs and to facilitate reporting.

These quarterly and annual departmental reports are important because they give information on the status of projects, programs, and policies. They also create opportunities to consider improvements in the project/program/policy implementation strategies. Further, they provide important information over time on trends and directions.

Reports are prepared in the agreed format as shown in the annexure for all CIDP projects and for individual projects. The use of the format will also make it easy for the M&E unit to compile and submit reports that are required for the completion of CAMER for the county and the APRs.

### 4.3 Dissemination of Evaluation Reports

The county shall use modern online system in tracking and reporting on the progress of the projects/programs by adopting a CIMES. Communication is considered key in the

operationalization of CIMES. There will be sharing of information from the County Executive Committee to the respective sectors/departments, CSOs, development partners, community at the county levels and lower levels. Information to be shared will include monitoring and evaluation reports, policy reports (surveys,) and data.

## 5 POLICY STANDARDS

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### 5.1 Introduction

This chapter outlines the M&E policy standards that departments, agencies and stakeholders are expected to adhere to. It also ensures evaluation will reveal and convey adequate information about a project/program. In addition, it gives incentives and sanctions for performance of departments, agencies and stakeholders in the implementation of the policy.

### 5.2 M&E Standards

The county shall adopt the National standards of monitoring and evaluation which are:

- i. **Program Documentation**--The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified;
- ii. **Context Analysis**--The context in which the program exists should be examined in enough detail, so that its influences on the program can be identified.
- iii. **Described Purposes and Procedures**--The purposes and procedures of the evaluation should be monitored and described in enough detail, so that they can be identified and assessed;
- iv. **Defensible Information Sources**--The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed;
- v. **Valid Information**--The information gathering procedures should be chosen or developed and then implemented so that they will assure that the interpretation arrived at, is valid for the intended use.
- vi. **Reliable Information**--The information gathering procedures should be chosen or developed and then implemented so that they will assure that the information obtained is sufficiently reliable for the intended use.
- vii. **Systematic Information**--The information collected, processed, and reported in an evaluation should be systematically reviewed and any errors found should be corrected.
- viii. **Analysis of Quantitative and Qualitative Information**—Quantitative and qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.
- ix. **Justified Conclusions**--The conclusions reached in an evaluation should be explicitly justified, so that stakeholders can assess them.
- x. **Impartial Reporting**--Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation, so that evaluation reports fairly reflect the evaluation findings.



Departments will adopt and incorporate the following standards set by the County;

1. They must budget sufficiently for M&E in all project proposals.
2. They will be required to report according to standardized formats.

### 5.3 Incentives and Sanctions

Incentives
<ul style="list-style-type: none"><li>▪ Staff incentive: Use of M&amp;E experience as one criterion for staff recruitment, promotion and certification</li><li>▪ Ministry/departments annual awards for complying with the policy.</li><li>▪ Certificate of reward to departments that comply with the M &amp; E policy.</li><li>▪ Provisions of budget-related incentives to departments to improve performance.</li><li>▪ Budgetary incentives for high performing project/program</li><li>▪ Performance contract or performance pay for staff i.e. direct rewards.</li><li>▪ Awarding a trophy to the most outstanding department</li></ul>
Sanctions
<ul style="list-style-type: none"><li>▪ Withholding part of the funding from ministries/agencies that fail to conduct M&amp;E.</li><li>▪ Penalize non-compliance with agreed evaluation recommendations.</li><li>▪ Institutional cautionary letter to departments that fail to comply with M&amp;E policy.</li></ul>



## **6 CAPACITY DEVELOPMENT AND INSTITUTIONAL FRAMEWORK**

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### **6.1 Introduction**

This chapter highlights the capacities required, capacity building strategy development and implementation as well as the appropriate technology to be used. It also highlights the proposed institutional arrangements for coordination, implementation and reporting as well as proposed structures, membership and roles.

### **6.2 Capacity Development**

There are no structures and processes for M&E in the county and therefore, roles and responsibilities in M&E do not exist. Decision making processes are not using M&E findings. There is an urgent need to establish a Monitoring and Evaluation system that incorporates the collaboration of all stakeholders with clear/specific roles and responsibilities.

Capacity needs assessment will have to be conducted and a clear road map drawn for implementing the capacity development plan. An M&E unit needs to be established and tasked with specific and responsibilities. This will include equipping staff with relevant M&E skills, including; develop performance indicators; data collection methods, analysis, reporting and dissemination.

The County Monitoring and Evaluation system will provide a framework for training of staff involved in implementing projects, the M&E unit, project implementation committees, and other county M&E committees. This will be undertaken in collaboration with the Monitoring and Evaluation Directorate of the National Treasury and Planning.

The county will adopt an appropriate Information Communication Technology (ICT) to develop a robust Monitoring and Evaluation System.

### **6.3 Institutional Framework**

This section highlights the institutional arrangements for coordination, implementation and reporting, including the M&E Unit and other county M&E committees. It also highlights the various proposed structures, membership and roles.

#### **6.3.1 Monitoring and Evaluation Unit**

The MEU will be charged with the following roles and responsibilities:

- i. Setting up of standards for monitoring and evaluation in the county;
- ii. Coordinate and manage M&E framework;

- iii. Provide guidance and advice on the best practices and support to Departments/Entities in the effective utilization of monitoring and evaluation as a management tool;
- iv. Promotion of the use of evaluation findings among Departments/Entities to improve the quality of projects interventions;
- v. Conduct periodic training with departments and organizations to build capacity in monitoring and evaluation;
- vi. Conduct evaluations with significant implications for county policy and other strategic evaluations;
- vii. Conduct other non-strategic evaluations and rapid-appraisals in special circumstances where an independent assessment is requested for intervention;
- viii. Development of evaluation plan for the county;
- ix. Develop and maintain a monitoring and evaluation information system for the county;
- x. Establish a repository of Monitoring and evaluation findings in the county;
- xi. Develop a skills bank of evaluation consultants.
- xii. Coordinate the production of M&E reports- County Annual Progress Report (CAPR) on CIDP, mid-term evaluation and end-term evaluation of CIDP.

### **6.3.2 Role and Responsibilities of Departments**

- i. Departments/Entities should ensure that the resources deployed for development interventions are effectively and efficiently utilized to provide services for the intended beneficiaries;
- ii. Departments/Entities should set up internal mechanisms to facilitate continuous monitoring of the social-economic interventions for which they are responsible;
- iii. Departments/Entities should provide resources in their annual budgets for the establishment or strengthening of internal monitoring and evaluation capacity.

### **6.3.3 The County M&E Committees**

Various M&E committees are envisaged to be necessary for proper functioning of M&E at the county level. There will be eight (8) M&E committees as indicated below.

#### **6.3.3.1 County M&E Committee (CoMEC)**

##### **Composition of the CoMEC:**

The Committee will be co-chaired by:

- County Secretary and
- An Officer to be appointed from the NGOs in the county.

Members are drawn from Government and non-governmental actors at the county level.

The roles and responsibilities of the CoMEC will broadly include:

- Oversight and policy guidance;
- Review and endorsement of county M&E work plans and other guiding documents;



- Mobilization of M&E resources for M&E work at the county;
- Approval of M&E reports from the IDF before submitting to County Intergovernmental Forum and The National Treasury and Planning;
- Advocate for the uptake of M&E and utilization of its findings for policy, planning and budgeting.
- Championing the M&E agenda
- Approval and endorsement of final set of county indicators
- Dissemination and Communication of M&E findings/reports to stakeholders

### **6.3.3.2 Technical Oversight Committee (TOC)**

#### **Composition of the TOC:**

The Committee will be chaired by the Chief Officer or Director - Finance and Economic Planning

Members shall include up to ten technical officers versed with M&E from a balanced group of county departments and non-devolved functions department.

The convener is the Head of the county M&E unit.

The roles and responsibilities of the TOC will include:

- Prescribe methodologies on evaluation
- Provide expert advice and review of the M&E report before its passed on to CoMEC for endorsement.

### **6.3.3.3 Intergovernmental Development Forum (IDF)**

#### **Composition:**

This IDF will be Co- chaired by:

- Governor or his/her designate
- County Commissioner or his/her designate

Members comprise of all members of the CEC, Heads of National Government Departments at the County and heads of development partners in the county.

The roles and responsibilities of the IDF will broadly include:

- Review and assess all documents including; M&E reports, M&E work plans, guidelines, indicators, policies etc.
- Ensure all work plans are consistent with the budgetary request
- Drafting of all major M&E reports
- Validate the reports through field visits and M&E backstopping
- Approve all the reports and present to the CMEC
- Draft CMEC agenda



#### **6.3.3.4 Service Delivery Unit (SDU)**

##### **Composition of the SDU:**

The Committee will be chaired by the Governor or his designate.

Members shall include officers from the Office of the Governor.

The roles and responsibilities of the TOC will include:

- Secretariat to the IDF.
- Monitor the county flagship projects.
- Track any policy, plan or programme within the county that is of interest to the Governor.

#### **6.3.3.5 Sectoral M&E Committees (SMEC)**

All the sectors in the county should have individual sector M&E Committees that will spearhead M&E activities within the sector.

##### **Composition of the sectoral M&E committee**

The Committee will be Co-chaired by:

- One Chief Officer from the sector,
- National Government Representative in that sector or a sectoral officer for development partners in the county

Members are County and National Government Directors in charge of various departments as well as non- state actors' representatives in this sector

##### **Roles and Responsibilities of SMEC**

- Prepare Sector M&E work plans
- Monitoring and Evaluation of all the programs, projects and policies within the sector
- Collect, correlate and analyze data in the sector
- Preparation of all M&E reports in the sector
- Propose the Evaluation Agenda in the sector
- Develop indicators for Monitoring and Evaluation within the sector
- Sector Reports shall be forwarded to the M&E Unit for compilation and presentation to the Intergovernmental Development Forum

#### **6.3.3.6 Sub-County M&E Committee (SCMEC)**

##### **Composition**

The composition of M&E committees in each Sub- County is as follows.

The Co- Chairs are:

- Sub-County Administrator
- Deputy County Commissioner as the alternate chair

Members comprise of all Sub-County Departmental Heads and Non- state actors.

## Roles and Responsibilities of SCMEC

- Promote M&E practices in the sub-county
- Prepare sub-county M&E plans
- Draft the sub-county sector M&E reports
- Validate the data supplied by the various sectors
- Approve and submit the M&E reports to the IDF through the County M&E Unit
- Disseminate M&E reports at the sub-county.

### 6.3.3.7 Ward M&E Committee (WaMEC)

#### **Composition**

The composition of M&E committees in each ward is as follows.

The Co- Chairs are:

- Ward Administrator
- Chief as the alternate chair

Members comprise of technical officers from county or national government departments and from non-state actors present in the respective wards.

## Roles and Responsibilities of WaMEC

- Monitoring and Evaluation of all the programs, and projects within the ward.
- Promote M&E practices in the ward
- Prepare ward M&E plans
- Draft the ward sector M&E reports
- Validate the data supplied by the various sectors
- Approve and submit the M&E reports to the sub-county through the Sub-County M&E Unit
- Disseminate M&E reports at the ward.

### 6.3.3.8 Village M&E Committee (ViMEC)

#### **Composition**

The composition of M&E committees in each village is as follows.

The Co- Chairs are:

- Ward Administrator
- Assistant Chief as the alternate chair

Members comprise of technical officers from county or national government departments and from non-state actors present in the respective villages.

## Roles and Responsibilities of ViMEC

- Monitoring and Evaluation of all the programs, projects and policies within the sector
- Promote M&E practices in the village.
- Prepare village M&E plans

- Draft the village sector M&E reports
- Validate the data supplied by the various sectors
- Approve and submit the M&E reports to the WaMEC through the Ward M&E Unit
- Disseminate M&E reports at the village.

#### **6.3.4 The Roles of Project Managers**

- Establish mechanisms to facilitate continuous monitoring of development interventions for which they are responsible
- Prepare Project Completion Reports (PCRs) upon completion of all development initiatives
- Prepare periodic Project Status Reports (PSRs) for ongoing interventions, to monitor the achievement of objectives and determine overall outcomes
- Incorporate representatives of the projects beneficiary communities in their M&E exercises

#### **6.3.5 The Roles of the County Assembly**

- Provide an oversight role over project implementations by scrutinizing M&E reports and making necessary recommendations
- Approve required reports whose preparations are based on M&E outcomes and feedback from its reporting system
- Approval all the planning documents whose indicators form the basis for monitoring and evaluation. These documents include; County Integrated Development Plans (CIDPs), Annual Development Plans (ADPs), Sectoral Plans, Spatial Plans and annual Budgets
- Ensures that county strategies and indicators are aligned with those of the nations for synchronized and synergized development interventions
- Holding committee sittings to discuss for possible approval M&E Annual Reports regarding implementation status of county policies and plans as submitted by the County Executive Committee.
- Oversee the implementation of M&E policy as set by the County Executive Committee

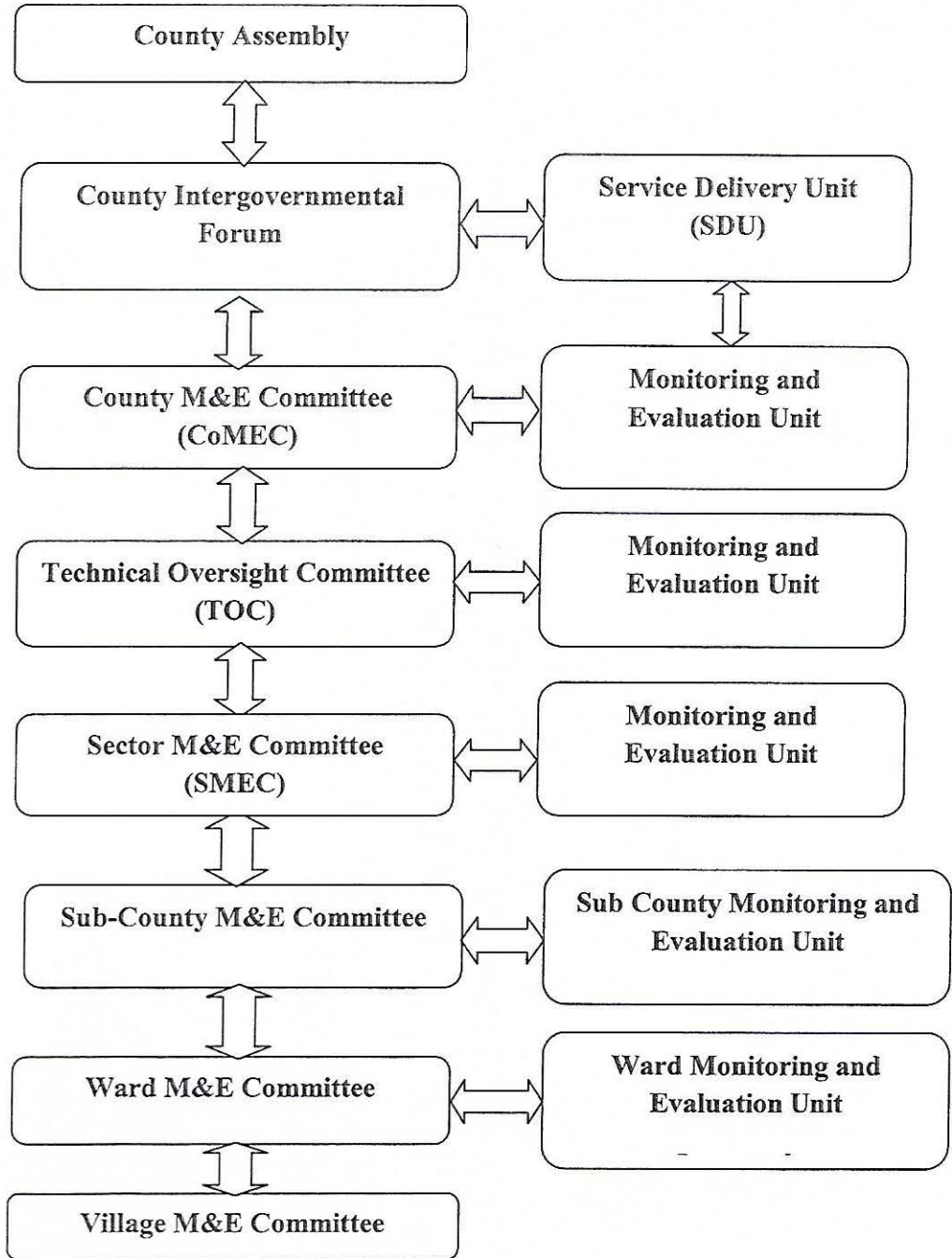
#### **6.3.6 The Roles of the County Executive Committee**

- Discuss and approve M&E reports tabled by the CMEC or out of recommendations from the IDF
- Submit to the County Assembly Quarterly M&E reports
- Ensure the M&E Policy is implemented as desired
- Establish the necessary Committees for the implementation of the M&E policy
- Establish a platform for a workable and acceptable intergovernmental Development Forum that guarantees synergized development in an integrated manner
- Review the M&E policy periodically and make necessary changes based on emerging



7 ANNEX: FRAMEWORKS, FORMATS AND TOOLS

7.1 Annex 1: M&E Policy Implementation Framework



7.2 Annex 2: M&E Performance Management Matrix

Sector/Dept.	Program	Overall Goal	Project Name	Project Activities	Key Performance Indicators (KPIs)	Targets	Expected Outcome	Cost	Source of funds	Verification Tools	Project Level (Ward, County)	Ward/Area	FY

7.3 Annex 3: Progress Reporting Template

Financial Year .....

Quarter .....

Sector/ Dept.	Program	Project Name	Project Activities	Key Performance Indicators (KPIs)	Targets	Cost	Source/ Development Actor	Progress status & % of completion	Achievements	Project Level (Ward, County)	Ward/ Area	Remarks



**7.4 Annex 4: Quarterly Implementation Reporting Template**

Ward.....

FY .....

Quarter .....

Department/ Sector	Project Name	Activities	Targets	Budgeted Amount	Contract Sum	Achievements				Start date	Expected completion date	Remarks
						Q1	Q2	Q3	Q4			

**7.5 Annex 5: Projects Management Committee (PMC) Reporting Template**

**Project Name:** .....

**Financial Year** .....

**Ward** .....

Department/ Sector	Activities	Targets	Cost	Achievements				Start Date	Expected completion time	Remarks
				Q1	Q2	Q3	Q4			

## 7.6 Annex 6: Reports, Responsibility and Calendar

Responsibility	Report	Frequency	Prepared by:	Approved by:	Recipient & Dissemination Date or month
CoMEC	APR on CIDP - County Annual Monitoring and Evaluation Report mid-term and end-term evaluation reports	Annually			CEC, Intergovernmental Development Forum (IDF), Citizens 21 <sup>st</sup> of the first month of the next year
	County Annual Public Expenditure Review	Annually			CEC, Intergovernmental Development Forum (IDF), Citizens 21 <sup>st</sup> of the first month of the next year
	County Monitoring and Evaluation Report	Quarterly			CEC, Citizen, County Departments (Internal use), 14 <sup>th</sup> of the first month of the next quarter
SMEC/TOC	Sectoral Annual Monitoring and Evaluation Committee Report	Annually			M&E Unit, CoMEC, County Departments (Internal use), Citizen, 14 <sup>th</sup> of the first month of the next year
	Sectoral Monitoring and Evaluation Report	Quarterly			M&E Unit, CMEC, County Departments (Internal use), Citizen, 7 <sup>th</sup> of the first month of the next quarter.
SCMEC	Sub-County Monitoring and Evaluation Report	Annually			SMEC, Sub-County/Ward/ Village Departments (Internal use), Citizen, 7 <sup>th</sup> of the first month of the next year
	Sub-county Monitoring and Evaluation Report	Quarterly			CMEC, M&E unit, County Departments, Citizen 7 <sup>th</sup> of the first month of the next quarter.
WaMEC	Ward Annual Monitoring and Evaluation Report	Annually			SCMEC/ Departments (Internal use), Citizen, 1 <sup>st</sup> of the first month of the next year
	Ward Monitoring and Evaluation Report	Quarterly			SCMEC/ Departments (Internal use), Citizen, 1 <sup>st</sup> of the first month of the next quarter
ViMEC	Village Monitoring and Evaluation Committee Report	Quarterly			Ward/ Departments (Internal use), Citizen, 23 <sup>rd</sup> of the last month of the quarter under review
PMC	Project Monitoring and Evaluation Report	Quarterly			Citizens, Village M&E committee, Ward M&E committee 23 <sup>rd</sup> of the last month of the quarter under review



## 7.7 Annex 7: Monitoring and Evaluation Exercises checklist for Reporting

Item	Comment
Has the project actually been carried out?	
Is the project being implemented on schedule? If not what are the reasons	
Is there a PMC in place and what's the composition of PMC by gender	
Has the implementation adhered to designs (BoQs)	
Has the project been fully implemented as per the budget?' if no what caused the shortfall	
Public participation in the Implementation process (Meetings held, feedback )	
Was the feedback from the public incorporated in the implementation/ taken into account	
Has the project meet its intended objectives? If no what are the attributable issues	
How does performance and delivery link to agreed milestones and targets? For County Executive and Accounting Officers level)	
Is the implementation process properly documented? Evidence of documents (ADP, BoQs, Minutes, Receipts).	
Are all funds, assets and premises accounted for?	
Is the costs properly authorized?,	
Is there sufficient proof of expenditure? (Sectoral level)	
Have the project activities, services or funds reached the intended identified beneficiaries?	
What are the Direct and indirect Benefit (as assessed by citizens)	
The beneficiaries ( No of households benefitting from the project)	
Workmanship, is Implementation done according to specification? (BoQs)	
Is the quality of activities/services delivered acceptable? (Assessment by works/technical department)	
Are there any plans for eventual continuation of the project/program objectives after handover to local stakeholders	
were any significant problems encountered? If so, were these reported promptly to the relevant authority and dealt with effectively?	
Are there any lessons that can be learnt to improve future performance and quality?	

7.8 Annex 8: Assessment by Citizens

County		Sector	
Sector/Sub Sector		Date	
Program/Project Name		Responsible	
Financial Year		Quarter	

Hierarchy of Objectives	Indicators	Target	Actual	Deviation	Comment / Recommendation for Correct. Action
<b>Impact (optional)</b>	(COUNTY LEVEL INDIC.)				
- Direct Benefit (as assessed by citizens)	e.g. % of patients who fully recovered as a result of the treatment received				
- Indirect Benefit (statistical sector indicators)	Mortality rate in the county decreasing				
<b>Outcomes</b>					
- Utilization of services / infrastructure	Number of patients treated per month				
- Appreciation of services / infrastructure. (as assessed by citizens)	% of patients who rate the services received as "good" or "very good"				
<b>Outputs</b>					
- Physical structure completed	No. of rural health centres established and operational				
- Services in place (or advise/training provided, or campaign done)	No. of rural health centres fully equipped and staffed with at least 1 doctor, 3 nurses				
<b>Inputs</b>					
- Financial	Approved Budget ( in Ksh)				
- Personnel	% of approved budget received				
	Funds (KSHs) spent in the reporting period: a) Total (KSHs): b) Broken down on major funding sources (KSHs):				
	Value of audit qualifications (in '000 Ksh)				
<b>Additional Comments</b>					