



**COUNTY GOVERNMENT
OF TRANS NZOIA**

MONITORING AND EVALUATION POLICY

Tracking Development
for Economic Transformation
and Prosperous County

Vision

An Outstanding Agro-industrialised County
with High Quality of Life for Residents

Mission

Promote Transformative Development, Service
Delivery and Good Governance for Sustainable
Socio-economic Development

Core Values

The County shall develop and will uphold the
following core values:

Integrity

The County shall promote openness,
transparency, uprightness and reliability while
executing its mandate.

Professionalism

All staff shall uphold highest moral standards and
professional competence in execution of their
assigned responsibilities.

Responsiveness

The County is committed to uphold customer
driven and focused service delivery.

Equity

The County will uphold fairness and equity within
its ranks and in execution of its mandate.

Teamwork

The County will relentlessly pursue timely
attainment of targeted results at all levels
through high level of coordination, networking
and collaboration within its staff.





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FOREWORD

This is the first Trans Nzoia County Monitoring and Evaluation Policy. The development of this policy was necessitated by the need to provide a policy framework for establishment of a robust County Integrated Monitoring and Evaluation System to track the implementation of the CIDP. The policy sets out a framework for the County government to implement the Monitoring and Evaluation function within an environment of a continuously changing development landscape and to address increased challenges of accountability, performance, quality and learning. The Monitoring and Evaluation policy will be the key reference document to guide the design and implementation of the county monitoring and evaluation function.

As a County government, we have a clear vision of the direction the county development agenda should take and the results we want to help achieve. In this regard, we must be able to respond quickly and appropriately to challenges and opportunities as they emerge. The Results-based management approach adopted in this policy provides a set of principles, approaches, and tools which can help us achieve these goals. With a focus on developmental outcomes and impact, we can achieve improved sustainable livelihoods for those that we serve.

To succeed in this endeavour, all stakeholders in our County development agenda should embrace a culture of monitoring and evaluation and advocate for use of evidence in decision making. All must play their respective roles and responsibilities as stipulated in the policy. The County government commits to provide all the necessary support in the implementation of the provisions of this policy. I hope that this policy will assist us and our partners to keep track of the results we want to achieve and enhance accountability and learning and performance evaluation. Working together we will steer the county to greater heights and achieve sustainable development.

A handwritten signature in blue ink, appearing to read 'Bonface Wanyonyi'.

Hon. Bonface Wanyonyi

CECM FINANCE AND ECONOMIC PLANNING



ACKNOWLEDGEMENT

This Monitoring and Evaluation policy was prepared in consultation with various stakeholders in the County and coordinated by the county executive through Finance and Economic Planning Department. The revision and finalization was through the inputs of many individuals. We are grateful to all the county government departments as well as the County assembly for their participation and inputs in the validation process.

We would therefore, like to thank all who participated in the drafting, review and finalization of the policy. Special thanks go to the members of the County Executive Committee and Chief Officers for providing technical input and strategic direction that shaped the policy. My Appreciation also goes to the line ministry technical officers for their input at various levels.

Special recognition also goes to the team from Economic Planning led by the CECM Finance and Planning for the leadership and overall quality assurance and guidance provided throughout the process. I am also grateful for the immense contribution from the technical staff members in my office including Mr. Moses Otieno and Mr. Ben Ruto, Senior Economists, Ms Sisily Kemboi, Mr. Abel Labero, and Mr. Eng'ory Daniel, Economists/Statisticians; for the key roles they played in coordinating various aspects of preparation of the policy.

Special thanks go to various stakeholders including civil society organizations, community groups and the private sector for originating ideas and priorities on how to ensure proper structures are set to ensure effective and efficient implementation of policies programmes and projects in the county.

Finally, we would like to acknowledge those not mentioned herein but made invaluable contributions and support in one way or another towards the preparation and publishing of this policy.

Milton K.Koech

Chief Officer Economic Planning



TABLE OF CONTENTS

COUNTY VISION, MISSION AND CORE VALUES	ii
FOREWORD.....	iv
ACKNOWLEDGEMENT	v
TABLE OF CONTENTS.....	vi
LIST OF ABBREVIATIONS AND ACRONYMS	ix
DEFINITION OF KEY TERMS	x
CHAPTER ONE	1
1.0 Introduction.....	1
1.1 Situation Analysis.....	2
CHAPTER TWO	3
2.0 Monitoring and Evaluation.....	3
2.1 Rationale for County Monitoring and Evaluation Policy	4
2.2 Strategic Objectives.....	5
2.3 Principles.....	5
2.4 Scope.....	7
CHAPTER THREE	8
3.0 Institutional Arrangements, roles and responsibilities	8
3.1 Organogram.....	9
3.2 Roles and Responsibilities of Institutions.....	10
3.2.1 Office of the Governor	10
3.2.2 Office of the County Secretary	10
3.2.3 Chief Officers in Respective Sectors.....	11
3.2.4 County Government Departments	11
3.2.5 Director of sector/county government departments	12
3.2.6 Director Monitoring and Evaluation unit	12
3.2.7 County Assembly	13
3.2.8 County Commissioner	14
3.2.9 National Government Offices at the county level	14
3.2.10 Non-State Actors	14
3.3 Roles and Responsibilities of committees	14
3.3.1 County Assembly Committee responsible for Finance and Planning	15



3.3.2 County Intergovernmental Forum.....	15
3.3.3 County M&E Committee (CoMEC).....	15
3.3.4 Technical Oversight Committees (TOC).....	16
3.3.5 Sector Monitoring & Evaluation Committees (SMEC).....	17
3.3.6 Sub county monitoring and evaluation committee (SCoMEC).....	17
3.3.7 Ward M&E committee (WMEC).....	17

CHAPTER FOUR..... 19

4.0 Communication Structure and Policy Requirements.....	19
4.1 Reporting requirements.....	19
4.2 Reporting Structure.....	20
4.2.1 Vertical Reporting.....	20
4.2.2 Horizontal Reporting.....	20
4.3 Dissemination of Monitoring and Evaluation Reports.....	20
4.4 Responsibility for the production and dissemination of M&E Reports.....	21
4.4.1 Production of M&E Reports.....	21
4.4.2 Compliance with M&E policy and Reporting Standards.....	21
4.5 Learning and Knowledge Management.....	22

CHAPTER FIVE..... 23

5.0 Policy Implementation Requirements.....	23
5.1 Monitoring Requirements.....	23
5.2 Evaluation Requirements.....	24
5.3 Key Success Factors for Monitoring and Evaluation.....	25
5.4 Use of Monitoring and Evaluation Results.....	26
5.5 M&E Tools.....	26
5.6 Financing.....	27
5.7 Review of Policy.....	27

CHAPTER SIX..... 28

6.0 Capacity Development in Monitoring and Evaluation.....	28
6.1 Capacity Development.....	28
6.2 Guidelines for Capacity Development.....	28
6.3 Key Players in Capacity development.....	28
6.3.1 Key players in M&E shall include:.....	29
6.4 Implementation of Capacity Development.....	29



CHAPTER SEVEN	30
7.0 Monitoring and Evaluation Policy and Standards	30
7.1 Introduction	30
7.2 M&E standards	30
7.2.1 Project design Standards.....	30
7.2.2 Monitoring Standards.....	31
7.2.3 Evaluation Standards	31
7.2.4 Reporting Standards	32
7.3 Compliance with M&E policy and standards	32
7.4 M&E policy Benefits, Incentives and Sanctions.....	32
7.4.1 Benefits and Incentives	33
7.4.2 Sanctions	33
7.5 Compliance Requirements and obligations shall include:.....	33
7.5.1 Non-Compliance.....	33



LIST OF ABBREVIATIONS AND ACRONYMS

ADP	Annual Development Plan
C-APR	County Annual Progress Report
CECM	County Executive Committee Member
CGTN	County Government of Trans Nzoia
CIDP	County Integrated Development Plan
CIF	County Intergovernmental Forum
CIMES	County Integrated Monitoring and Evaluation System
CoG	Council of Governors
CoMEC	County Monitoring and Evaluation Committee
CSO	Civil Society Organization
e-CIMES	Electronic County Integrated Monitoring and Evaluation System
HoD	Head of Department
IGRA	Intergovernmental Relations Act
M&E	Monitoring and evaluation
MTEF	Medium Term Expenditure Framework
NIMES	National Integrated Monitoring and Evaluation System
PFMA	Public Finance Management Act
SCoMEC	Sub County Monitoring and Evaluation Committee
SCoMECU	Sub County Monitoring and Evaluation Committee Unit
SDGs	Sustainable Development Goals
SMART	Specific, Measurable, Attainable, Realistic and Time bound
SMEC	Sub County Monitoring and Evaluation Committee
SMECU	Sub County Monitoring and Evaluation Committee Unit
ToC	Technical Oversight Committee
VMEC	Village Monitoring and Evaluation Committee
WMEC	Ward Monitoring and Evaluation Committee
WMECU	Ward Monitoring and Evaluation Committee Unit



DEFINITION OF KEY TERMS

Monitoring and Evaluation System: is learning action-oriented management tool and organization process that ensures policy, programme, project and institutional results are achieved. An M&E System does this by gauging performance against plans and drawing lessons from the experience of interventions for future implementation effectiveness while fostering accountability to the people.

Monitoring: This is the continuous process of checking, observing and keeping track over time to gauge the extent to which implementation of a programme/ project/ activity, work schedules and targeted outputs are proceeding according to plan. Monitoring can prompt timely action to be taken to correct deficiencies detected. It entails collection and analysis of programme level data and information on all major project variables as the project progresses to determine whether set standards or requirements are being met and production targets and objectives achieved.

Evaluation: Is periodic assessment undertaken to determine in a systematic and objective manner the degree to which a programme/project/activity has successfully met its objectives: – what difference has the development initiative made? It is a process of assessing the relevance, effectiveness, efficiency and impact and cost of activities on the basis of specified programme/project objectives.

M&E Plan: a description of how the M&E system is going to be developed, implemented, and strengthened to a state of functionality.

Project: A planned undertaking of related activities aimed at specific objective(s) that has a cost, beginning and an end. Usually every task has a planned completion date and assigned resources and responsibilities.



Programme: A series of interrelated projects with a common overall objective. A time bound intervention similar to a project, but which cuts across sectors, themes or geographic areas; uses a multi-disciplinary approach; involves more institutions; and may be supported by several different funding sources.

Goal: A broad statement generally describing a desired outcome for a project. It is the broader regional, sectoral or national objective that a project and/or activity is expected to contribute towards. A broad statement of what the programme is intended to accomplish.

Objective: A measurable statement about the end result that a project/programme is expected to accomplish in a given period of time. What the project specifically aims to achieve. A well-worded objective will be Specific, Measurable, Attainable/Achievable, Realistic and Time-bound (SMART). Difference between 'goal' and 'objective' is that 'objective' is a specific object of an effort, while 'goal' has an inspirational element and is more general and broader.

Stakeholder(s): Specific people or groups who have a stake in the implementation of the policy. Normally, stakeholders would include State, Non-state actors and the citizens.

Non-State Actors: Development partners who include Civil Society Organizations (Non-Governmental, Faith Based and Community based organizations), Private Sector Organizations and Foundations.

State Actors: These are Government departments and Agencies.

Result: A describable or measurable change in state that is derived from a cause and effect relationship.

State Actors: These are Government departments and Agencies.



Result: A describable or measurable change in state that is derived from a cause and effect relationship

Input: The financial, human, material and information resources used to produce outputs through activities and to accomplish outcomes.

Activities: Actions taken or work performed, through which inputs are mobilized to produce outputs.

Outputs: Direct products or services stemming from the activities of an organization, policy, program, or initiative delivered to users outside the organization.

Outcomes: Immediate effects of the programme/project. Outcomes express the extent to which the immediate objectives are reached.

Impacts: are the ultimate long-term changes as a result of the implementation of programmes / projects interventions -the difference, positive and/or negative, the implementation of a programme/project intervention has brought.

Indicators: Specific quantified measurements related to the extent a project/programme or organization is reaching objectives or targets

Data: Raw facts (quantitative or qualitative) that are collected and form the basis of what is known.

Data Sources: There are processes that generate indicator values. They include research, program level monitoring data, surveillance, surveys, financial information of donors, clients' satisfaction surveys.



Knowledge Management: Is an explicit and systematic approach to capturing information and knowledge about processes, products, services, markets, outcomes and challenges associated with increasing the return to performance improvement. It is the process by which an organization generates wealth from its intellectual or knowledge-based assets.

Knowledge is the concise and appropriate collection of information in a way that makes it useful. Knowledge refers to a deterministic process where a pattern within a given set of information is analyzed and is combined with experience, context, interpretation and reflection in terms of the functions it serves.

For purposes of this policy, knowledge management shall be considered as process in which state and non-state actors generate value from knowledge assets to improve their performance by gaining insights and understanding from experience, and by applying this knowledge to improve programmes and projects planning and delivery.



CHAPTER ONE

1.0 Introduction

The County Government of Trans Nzoia (CGTN) is at the forefront of supporting the generation of evidence to meet the increasing demand for knowledge and evidence about what works at the county level. To realize this aspiration, the County Government is committed to ensuring a strong culture of monitoring and evaluation of all its policies, programmes and projects. This is underpinned by the need to enhance service delivery and achieve sustainable development through an approach that adheres to the principles of Results Based Management (RBM). These principles seek to ensure that the Government endeavor to utilize public resources efficiently as well as guarantee accountability, transparency, and quality service delivery.

Monitoring and Evaluation has increasingly become an acceptable tool for governments and other agencies at the devolved level to demonstrate results to citizens. This is also coupled by the rising demand for evidence-based decision making. The CGTN through the County Integrated Development Plan (CIDP) commits to establish a County Integrated Monitoring and Evaluation System (CIMES). However, the Monitoring and evaluation function at the county level is yet to be institutionalized and implemented to meet the envisaged objectives.

The CGTN Monitoring and Evaluation Policy thus seeks to provide an appropriate policy framework for institutionalization of Monitoring and Evaluation (M&E) in the County Public Sector. This policy is designed to address gaps in existing legislations and policies in regard to monitoring and evaluation of the implementation of public policies, programmes and projects in the county. The gaps to be addressed by this policy include inadequate capacity, fragmented and uncoordinated M&E activities among the county government departments.

The policy is presented in seven sections, namely: (i) Introduction and Situation Analysis; (ii) monitoring and evaluation, rationale for the county M&E policy, strategic objectives, principles and scope; (iii) Institutional Arrangements, roles and responsibilities; (iv) communication structure and policy requirements; (v) Policy implementation Requirements; (vi) Capacity Development; and (vii) M&E Policy and Standards Compliance.



1.1 Situation Analysis

The County Government of Trans Nzoia (CGTN) is one of the 47 County governments, established through devolution by the Constitution of Kenya 2010 and came into effect in 2013. At the onset of devolution, the CGTN prepared and implemented the first five-year County Integrated Development Plan (CIDP 2013-2017) as required by the County Governments Act 2012 and PFM Act 2012. The implementation of the inaugural CIDP resulted to accelerated social-economic development and it set the foundation for the County's take off to the next level of socio economic transformation. The 2nd generation CIDP 2018-2022 builds on the achievements of the first CIDP and seeks to accelerate the County development agenda. As required by Article 220(2) of the Constitution and Section 126 of the Public Finance Management Act of 2012 and based on the CIDP, the county shall prepare Annual Development Plans (ADPs), with clear results and indicators for the period.

During the first generation CIDP implementation period, the CGTN adopted M&E as a management tool to enhance achievement of development targets and promote transparency and accountability in public service delivery. Subsequently the second generation CIDP, in cognizance of the importance of M&E for its implementation, stipulates the need to establish and implement a robust CIMES. Significant efforts have been made to enhance county government's M&E capacity through trainings; development of CIDP reporting indicators; preparation of performance evaluation reports; establishment of some of the CIMES structures; and use of M&E findings in planning and budgeting. However, a review of implementation of the first generation CIDP revealed several challenges in regard to the M&E function that adversely affect achievement of the envisaged objectives.

Notably, the implementation provisions for monitoring and evaluation in the public sector at the County level are not adequately addressed in the Constitution of Kenya 2010, PFM Act 2012, County government Act 2012 and other devolution related legislation. As a result, there are fragmented and varying M&E practices, inadequate capacities and weak coordination. The key contributing factor to these challenges is the non existence of a County Monitoring and Evaluation Policy framework to guide the development of a robust and sustainable CIMES to oversee effective and efficient implementation of policies, programmes and projects for achievement of envisaged results.



CHAPTER TWO

2.0 Monitoring and Evaluation

Monitoring

Monitoring refers to the regular and continuous collection and reporting of information on a project/programme implementation to track whether a project/programme's actual results are being achieved as planned. It is ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving the project's/programmes goals and objectives. The process of monitoring and evaluation report on the following questions: Are we doing what we said we were going to do? Are we achieving what we said we would achieve? Is our program causing the observed changes? What are the challenges affecting implementation of projects and programmes.

Evaluation

Evaluation refers to a systematic, rigorous and independent assessment of either a completed or ongoing project to determine the extent to which the desired objectives are achieved. The evaluation process seeks to answer specific questions about performance of a program activities and are oriented to answering WHY? And HOW? It aims to provide information that can help inform decisions, improve performance and achieve planned results; determines the relevance, efficiency, effectiveness, impact and sustainability of a project; and assesses causal contributions of interventions to results.

Monitoring and Evaluation seeks to:

- a) Provide continuous feedback on CIDP project/ programme implementation status to the stakeholders and the extent to which the projects are achieving the envisaged results.
- b) Identify potential problems at an early stage and propose possible solutions.
- c) Monitor the efficiency with which the different components of the project are being implemented and suggest improvements.



- d) Provide credible information for decision making – resource allocation/mobilization/Improve project design.
- e) Promote good governance through accountability and transparency

2.1 Rationale for County Monitoring and Evaluation Policy

Monitoring and Evaluation has increasingly become an acceptable tool for governments and other agencies at the devolved level to demonstrate results to citizens. In addition, there is rising demand for evidence-based decision making in the public sector. The Constitution of Kenya 2010 provides the basis for M&E as an important part of operationalizing government activities. It emphasizes on transparency, integrity, access to information and accountability, which all state offices are required to adhere to and define the need for a structured way of monitoring policies, programmes and projects (see Articles 10, 35, 56, 174, 185, 201, 203, 225, 220, 226, and 227). In addition, the County Governments Act, 2012 (Sections 47 and 108) and the Public Finance Management Act, 2012 (Section 126) require County governments to establish clear county planning and monitoring systems. Further, Counties are provided with guidelines for establishment of CIMES which were developed in consultation with CoG and County governments.

Since the onset of devolution, the CGTN has progressively endeavored to undertake various M&E activities. However, the Monitoring and evaluation function at the county level is yet to be institutionalized and implemented to meet the envisaged objectives due to a myriad of challenges experienced over the period. Key among these challenges is lack of a coordinated reporting framework on the implementation progress of various policies, programmes and projects implemented in the county.

The CGTN through the County Integrated Development Plan (2018-2022), commits to establish and operationalize a robust County Integrated M&E System (CIMES). To realize this commitment, the CGTN proposes to develop and implement a County M&E policy. The Policy will provide the necessary framework for establishment of CIMES and hence improve the implementation of public policies, programmes and projects and achieve effective and efficient service delivery.



2.2 Strategic Objectives

The CGTN M&E policy seeks to improve the performance of the public sector through the strengthening of the M&E function to facilitate production and use of evidence in decision making and accountability on implementation of government policies, programmes and governments. To realize this purpose the following strategic objectives should be achieved:

- I. All county plans should be aligned to the CIDP, being the main overall county development plan, for effective monitoring and evaluation;
- II. A fully functional CIMES should be established and use of technology (e-CIMES) adopted to enhance its performance;
- III. Development of Monitoring and Evaluation capacity to facilitate the full operationalization of CIMES for effective tracking and reporting on implementation progress of the CIDPs
- IV. Establishment of effective mechanisms for timely reporting progress towards the achievement of targeted results;
- V. Promote evidence-based decision making at all levels through use of monitoring and evaluation results; Promote dissemination, communication and use of M&E findings for improved policies, programmes and projects performance
- VI. Collaboration with various development partners in the county in the establishment and operationalization of CIMES

2.3 Principles

In order to achieve the CGTN M&E policy objectives, the M&E function and practice in the county government shall be guided by the following principles:

- (a) Managing for results: Overall, public policies, programmes and projects seek to improve people's lives or welfare. Monitoring and evaluation should focus on measuring the results (outputs, outcomes and impacts) of public policies and programmes for target groups.
- (b) Demand-driven: M&E should start with a clear identification of users and their information needs at all levels (strategic, management and implementation) using a participatory approach. The quality and timeliness of quantitative and qualitative information must respond to the demand. Data producers should ensure that the production cycle is



synchronized with the policy and budget cycle and, hence, inform the planning and budget cycle.

- (c) **Ownership and Inclusivity:** M&E activities should be guided through stakeholder participation to enhance ownership. Participatory M&E activities should be properly planned, conducted, coordinated and managed within CIMES. Monitoring and Evaluation shall ensure that the public identifies with implementation and results of county government programmes and projects and that these programmes and projects benefits all county citizens.
- (d) **Learning:** M&E should be guided by the information needs of the users, including policy makers, implementers and the public. The information generated from M&E products should be timely, accessible and usable to guide policy and programmatic decisions.
- (e) **Accountability:** Sector/departments will be held accountable based on agreed outputs and expectations and assessed through the control, monitoring and evaluation systems.
- (f) **Utility:** Monitoring and Evaluation shall provide information which is readily usable by all stakeholders.
- (g) **Transparency:** Information pertaining to monitoring and evaluation shall be open and accessible to all stakeholders.
- (h) **Ethics and integrity:** To ensure the credibility and usefulness of M&E findings, the M&E practice should observe the following:-
 - a. Impartiality and compliance with international standards in data collection, analysis and reporting.
 - b. Evaluators practice should conform to the code of conduct
 - c. Use of realistic and practical techniques and indicators for measurement of results and progress.
 - d. Due regard for the welfare, beliefs and customs of those involved or affected.
 - e. Confidentiality on the identity of information providers.
- (i) **Gender Responsive:** To facilitate tracking of gender related results, gender shall be mainstreamed into the Monitoring and Evaluation of projects and programmes.



2.4 Scope

The CGTN M&E policy applies to all county government departments, national government ministries and development partners operating within the county. It outlines the roles and responsibilities of stakeholders (both state and non-state) involved in development and implementation of public policies, programmes and projects in the county. The policy shall be applied to all Trans Nzoia County government programmes and will also facilitate tracking implementation progress of the Sustainable Development Goals (SDGs) and other development related commitments by the county government.



CHAPTER THREE

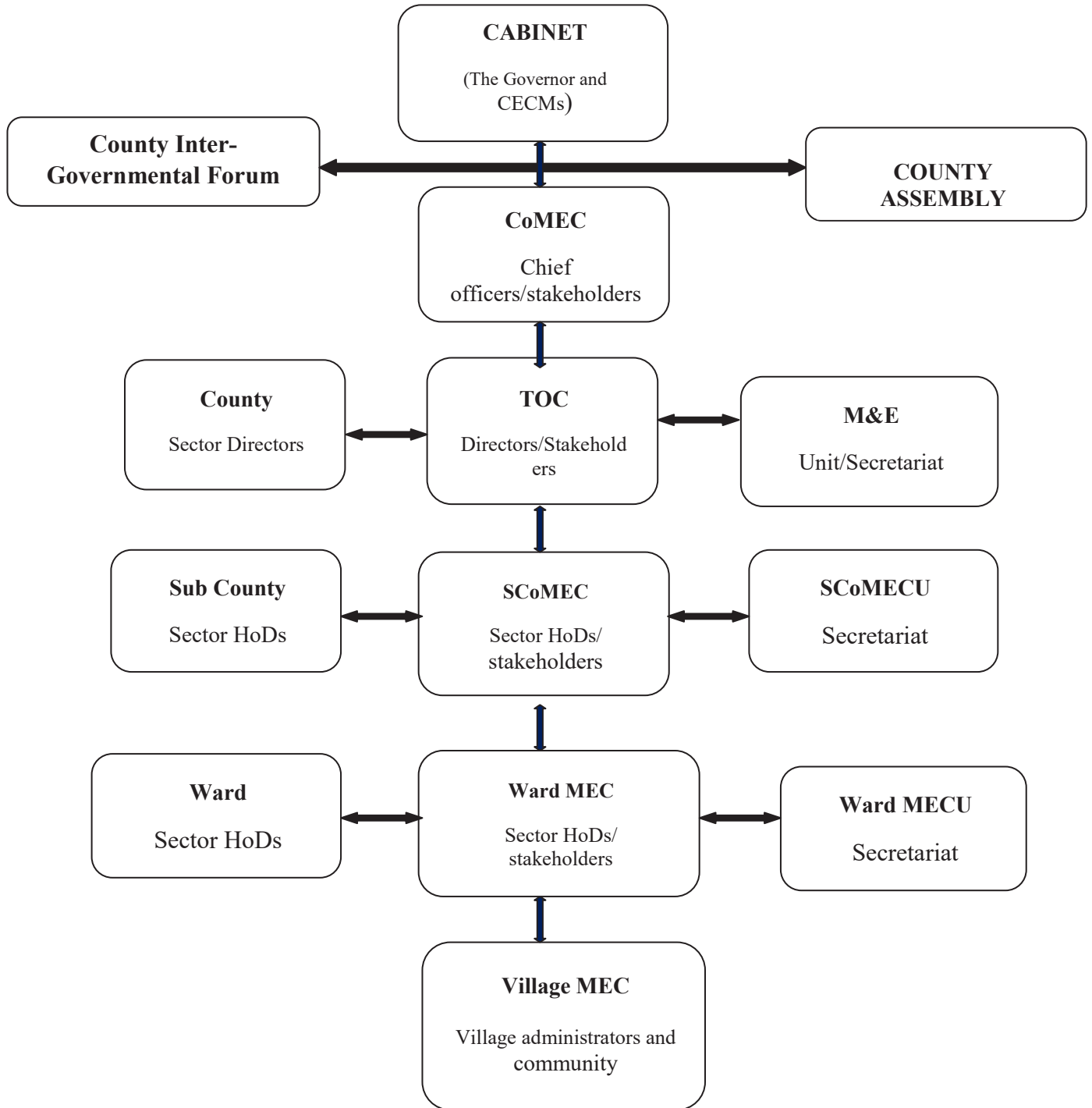
3.0 Institutional Arrangements, roles and responsibilities

To ensure efficient and effective execution of the M&E function the County Government shall establish several institutions and committees to carry out M&E function at various levels of governance in the county. The committees shall comprise of both state and non-state actors. State actors will be representatives from the various county government departments, county assembly and public service board whereas the non-state actors shall comprise of religious organizations, development partners and other non-governmental organizations representatives.

The organogram below seeks to illustrate the linkages amongst the various committees that are relevant in monitoring and evaluation of county government programmes, policies and projects.



3.1 Organogram





3.2 Roles and Responsibilities of Institutions

3.2.1 Office of the Governor

The Governor as the county Chief executive officer shall:

- Capacitate and strengthen the Monitoring and Evaluation directorate
- Ensure that the M&E directorate has a clear budget
- Ensure that the M&E directorate creates effective linkages with M&E units in all other departments in the county;
- Chair the Counter Intergovernmental forum;
- Ensure that all non-state actors in the county align plans and report their programmes to the county government through the M&E directorate;
- Ensuring that M&E structures are established in the county;
- Champion M&E and Performance Management as tools for delivery of development and services in the county; and
- Promoting the role of the M&E Directorate in advancing Results Based Management and public service delivery that ensures the CIDP objectives and outcomes meet the needs of citizens.

3.2.2 Office of the County Secretary

The county secretary as the head of the county public service shall:

- Convene and co-chair the County Monitoring and evaluation committee with the County Commissioner;
- Provide the necessary leadership and guidance in the formulation, implementation, monitoring and evaluation of county policies, programmes and projects;
- Ensure transparency and accountability for, and oversight of county performance and results;
- Develop, adopt, and implement the CIMES in the county;
- Keep track of the operations of the county with respect to the purposes, scope, and objectives while ensuring the county government programmes are monitored and evaluated on a regular basis;



- Ensure establishment of monitoring and evaluation units in all departments and appointment of M&E focal persons at the sub county and ward levels;
- Ensure establishment of the various M&E committees at different levels of governance;
- Establish partnership and Collaboration with Monitoring and Evaluation practitioners among non-state actors;
- Capacitate the staff in the Monitoring and Evaluation Units to enable them to effectively monitor and evaluate projects and programmes;
- Ensure that the Chief Officer responsible for Economic Planning operationalizes the M&E function as a tool for delivery of development and services in the county;

3.2.3 Chief Officers in Respective Sectors

Each chief officer in each sector shall:

- Co-chair respective Sector Monitoring and Evaluation Committee (SMEC);
- Develop sector specific M&E indicators;
- Oversee preparation of sector M&E reports;
- Present sector M&E reports to the Technical Oversight Committee;
- Collaborate with M&E Directorate in undertaking sector evaluations; and
- Liaise with sector heads of National government agencies at the county on M&E.

3.2.4 County Government Departments

Each and every county government department is required to:

- Establish and maintain respective Monitoring and Evaluation Units as guided by the M&E directorate;
- Develop, implement and review Monitoring and Evaluation Plans;
- Ensure that there is designated Percentage of budget allocated for M&E for the CIDP programs and projects
- Submit departmental quarterly, semi annual and annual Monitoring and Evaluation reports from all levels of governance; and
- Create effective linkages between the departmental Monitoring and Evaluation Units and those in respective sub counties and wards.



3.2.5 Director of sector/county government departments

The directors' responsibility shall be to:

- Prepare departmental M&E reports;
- Prepare M&E indicators for the department;
- Collaborate with M&E Directorate in undertaking evaluations in their respective departments;
- Present departmental M&E reports to the SMEC; and
- Be focal persons for M&E in their respective departments.

3.2.6 Director Monitoring and Evaluation unit

The director Monitoring and Evaluation Unit shall be responsible for setting up monitoring and evaluation system in the county, and implementation of monitoring and evaluation activities.

Setting up the monitoring and evaluation system shall entail;

- Development of the overall CIMES framework;
- Preparation of the M&E plan with a detailed budget;
- Development of the county M&E framework;
- Supervising the work of the Monitoring and Evaluation office staff; and providing guidance and technical support;
- Development of the county M&E indicators as captured in the CIDP;
- Establishing contacts with national and other county monitoring and evaluation stakeholders;
- Reviewing and providing feedback to programmes on the quality of methodologies established to collect monitoring data, and documenting the protocols that are in place for the collection and aggregation of this data;
- Establishing an effective system for assessing the validity of monitoring and evaluation data through a review of CIDP implementation activities, completing monitoring forms/databases, and reviewing of aggregate-level statistics reported;

Implementation of monitoring and evaluation activities shall entail:

- Overseeing the monitoring and evaluation activities included in the CIDP, with particular focus



- on results and impacts as well as in lesson learning;
- Promoting a results-based approach to monitoring and evaluation, emphasising results and impacts;
 - Coordinating the preparation of all monitoring and evaluation reports; guiding staff and executing partners in preparing their progress reports in accordance with approved reporting formats and ensure their timely submission;
 - Preparing consolidating progress reports for the CoMEC, including identification of problems, causes of potential bottlenecks in implementation, and provision of specific recommendations;
 - Checking that monitoring data are discussed in the appropriate committees, (including citizens participation fora), and in a timely fashion in terms of implications for future action;
 - Undertaking regular field visits to support implementation of monitoring and evaluation, checking the quality of data produced, and identifying where adaptations might be needed; monitoring the follow up of evaluation recommendations with Programme Managers;
 - Fostering participatory planning and monitoring;
 - Organizing and provide refresher training in monitoring and evaluation for CIDP projects/programmes and other agencies implementing staff, county-based NGOs and key county stakeholders with a view to developing local monitoring and evaluation capacity; and
 - Undertaking evaluations in the county.

3.2.7 County Assembly

The county assembly shall:

- Create an enabling legislative environment for the effective implementation of Monitoring and Evaluation;
- Monitor and evaluate Public Sector projects and programmes through the Parliamentary Portfolio Committees;
- Ensure that there is a separate Monitoring and Evaluation budget for programmes and projects;
- Scrutinize departments' strategic plans to be able to ensure compliance with, county priorities and accountability requirements for oversight purposes;
- Approval of County Development Plans, Programmes and budget



- Receiving annual report on the implementation status of the county policies and plans prepared by M&E directorate through the Governor for validation and approval; and
- Legislation and oversee the implementation of M&E policy set by the county executive committee.

3.2.8 County Commissioner

- The County commissioner shall coordinate the national government agencies in the county and ensure submission of timely M&E reports by the National Government entities in the County.

3.2.9 National Government Offices at the county level

National government officers at the county level shall be:

- Co-chair of respective SMEC
- Develop sector specific M&E indicators
- Oversee preparation of sector M&E reports
- Collaborate with M&E Directorate in undertaking sector evaluations
- Liaise with sector heads at the county government level on M&E.
- Required to participate in all county Government M&E meetings at all levels
- Work with county government department in conducting M&E activities at the county level for learning and knowledge sharing

3.2.10 Non-State Actors

Non-state actors operating within Trans Nzoia County shall be required to:

- Align development programmes with the CIDP and ensure that their programmes and projects comply with the Government mandate on reporting; and
- Support the County Government (materially, financially and in terms of human resources (skills transfer) for project/programme implementation and M&E activities;

3.3 Roles and Responsibilities of committees

M&E coordination within Trans Nzoia County shall be coordinated through several M&E committees namely: County Intergovernmental Forum (CIF), County Assembly Committee



responsible for Planning, County M&E committee (CoMEC), M&E technical Oversight Committee and Sector M&E committees.

3.3.1 County Assembly Committee responsible for Finance and Planning

The committee constitutes of members of Trans Nzoia County Assembly. The frequency of meeting is as per the county assembly calendar. The responsibility of this committee with respect to M&E shall include:

- Receive county M&E reports, review and present to the County Assembly for approval; and
- Authorize the county executive committee Member responsible for M&E to present the report at the assembly.

3.3.2 County Intergovernmental Forum

The CIF is convened quarterly by the County executive committee member responsible for finance and economic planning at the county level. It is chaired by the Governor or Deputy governor in the absence of the governor or member of executive committee nominated by the governor (As per the IGRA 2012). The membership constitutes all heads of departments of national government at county level including county commissioner, county executive committee members or their nominees in writing. The convener of the CIF is the County executive committee member responsible for finance and economic planning at the county level.

The responsibilities of the CIF include:

- Receiving, reviewing and endorsing M&E reports from CoMEC;
- Presenting M&E reports to the County Assembly Committee responsible for matters of M&E.
- Giving policy directions on M&E at the county level.

3.3.3 County M&E Committee (CoMEC)

The CoMEC shall be convened quarterly by the chief officer responsible for economic planning and is to be chaired by the county secretary with membership drawn from all heads of



departments of the national government at county level, county chief officers, county assembly clerk, court registrar, representative from devolved funds and technical representatives managing all other Non-devolved funds in the county and other non-state actors in the county.

The roles of the CoMEC shall be to:

- Oversee delivery, quality, timeliness and fitness for purpose of M&E reports;
- Drive service delivery through Results Based Management;
- Receive, review and approve county and sub-county M&E workplans and M&E reports;
- Convene County Citizen Participation fora to discuss M&E reports;
- Mobilize resources to undertake M&E at county and sub-county level;
- Approve and endorse final county indicators;
- Submit M&E reports to NIMES, CIF, CoG, constitutional offices and other relevant institutions; and
- Dissemination of M&E reports and other findings to stakeholders, including to County Fora.

3.3.4 Technical Oversight Committees (TOC)

The technical oversight committee is convened by the director of the M&E directorate quarterly and shall be chaired by the chief officer responsible for economic planning. The membership constitutes of the ten heads of departments or their representatives and non-devolved functions departments.

The roles and responsibilities of the ToC include:

- Identify, commission and manage evaluations;
- Review of the M&E reports;
- Present M&E reports to CoMEC;
- Capacity building for M&E;
- Set the strategic direction for CIMES;
- Approve M&E Directorate's work plan and advises M&E Directorate on actions to be taken on various M&E issues;
- Approve indicator reports for use by CoMEC; and



- Endorse M&E Directorate's reports to be presented to CoMEC.

3.3.5 Sector Monitoring & Evaluation Committees (SMEC)

The SMEC shall meet quarterly and convened by the chief officer responsible for the relevant department. The SMEC shall be co-chaired between a Chief Officer from a relevant county government department and Director from the relevant department of the National government at county. Membership of the committee shall constitute of sector relevant county department's chief officer, equivalent national government representatives from the sector and sector relevant CSOs. The sectors shall be defined as per Medium Term Expenditure Framework (MTEF).

The roles and responsibilities of the committee shall be to:

- Produce sector M&E reports;
- Develop sector indicators; and
- Undertake sector evaluations and present sector M&E reports to the TOC.

3.3.6 Sub county monitoring and evaluation committee (SCoMEC)

The SCoMEC shall be convened quarterly by the sub county M&E officer or M&E focal person. The membership shall be heads of department, development partners and CSOs at the sub county level. The sub county administrator shall also co-chair the meetings.

The roles and responsibilities of the SCoMEC shall be

- Produce sub-county M&E reports;
- Present M&E reports to the TOC; and
- Develop M&E indicators.

3.3.7 Ward M&E committee (WMEC)

The ward M&E committee meeting shall be held quarterly and chaired by the ward administrator. The membership shall be heads of department, development partners and CSOs at the ward level.

The roles and responsibilities of this committee shall be to:

- Present M&E reports to the SCoMEC and TOC;



- Participate in developing M&E indicators;
- Participate in monitoring of projects in respective villages and wards; and
- Provide feedback on status of implementation of various programmes and projects at the ward and village level.



CHAPTER FOUR

4.0 Communication Structure and Policy Requirements

This section outlines M&E policy requirements, reporting structures, standards, knowledge management as well as communication of M&E results and findings.

4.1 Reporting requirements

All state and non-state actors shall be required to submit accurate and timely quarterly, semi-annual and annual progress reports on implementation of various policies programmes and projects as outlined in the CIDP. The reports shall have a standardized format developed through consultation among all departments and agencies and the M&E directorate. The reports shall be submitted by the Chief Officers to the Department in charge of Finance and Economic Planning, which will then be consolidated and analyzed by the Monitoring and Evaluation Directorate. The M&E directorate shall also be responsible for preparation of relevant impact evaluation reports on areas of interest identified by the CoMEC.

The fourth quarter report shall include information from all preceding quarters and shall include all revisions of information deemed provisional in the earlier quarters. Quarterly progress reports shall be submitted every 15th day of the first month of the following quarter. The annual reports shall however be by end of July every year.

In collaboration with Departments, Directorates, Devolved Units and Development Partners the M&E directorate shall design formats for data collection processes and tools, analysis and reporting. In addition, the M&E Directorate may from time to time request for specific information at any given time from any department for special reporting.

For real time reporting, all departments shall ensure that progress reports are uploaded and regularly updated into the e-CIMES. The M&E directorate shall regularly prepare progress report from the e-CIMES to be discussed at various committees quarterly.



4.2 Reporting Structure

To ensure efficiency and effectiveness of the M&E function, it is important that the M&E unit have sufficient visibility and authority within the governance structure. Sufficient authority to officials with M&E system management responsibilities can ensure that M&E findings inform policy and programmatic decision making and resource allocation. To enhance and expand regular communication and consultation among stakeholders, the policy proposes a vertical and horizontal reporting within the county to ensure effective planning and implementation of policies, projects and programmes.

4.2.1 Vertical Reporting

Vertical reporting shall involve information sharing from CoMEC to the Village/Ward Level M&E committees to the M&E directorate. At this level, all stakeholders involved in M&E in the county are to be formally involved. This is aimed at promoting CSO and citizen participation in M&E.

4.2.2 Horizontal Reporting

This shall involve heads of departments, state and non-state actors. The officers shall present quarterly reports on programmes and projects under implementation to the SMEC for validation before submission to M&E directorate for compilation. The reports shall then be analyzed by the M&E directorate and submitted to the TOC for discussion and adoption and upward transmission to the CoMEC.

4.3 Dissemination of Monitoring and Evaluation Reports

Dissemination is the periodic sharing of monitoring and evaluation findings and recommendations sufficiently packaged to meet targeted audience requirements and provide scope for feedback and informed decision making. The M&E directorate shall ensure that M&E reports are disseminated to the public through various platforms. The M&E directorate shall make use of information centers, properly accredited non-state actors, e-CIMES, social media, county government website, public participation foras, and community social gatherings through community leaders.



They shall also be responsible for preparation of popular versions of M&E reports. The reports shall include information packaged in both official and local language. The directorate shall also ensure that the same M&E reports are available to the public through the e-CIMES system. Non-state actors shall also be required to submit copies of their M&E reports to the County Government.

4.4 Responsibility for the production and dissemination of M&E Reports

4.4.1 Production of M&E Reports

The institutional arrangements and committees agreed by the county government shall produce the reports on a quarterly, semi-annual and annual basis as per the policy requirements.

4.4.2 Compliance with M&E policy and Reporting Standards

The M&E directorate shall ensure that all M&E committees hold quarterly meetings and that county M&E reports are prepared and utilized in accordance with the policy requirement for evidence-based policy and decision making. State Actors within the county i.e. departments and other public sector entities shall be expected to prepare quarterly and annual M&E reports for their county and national reporting.

Non-State actors who include Development Partners, Civil Society Organizations, Private Sector Organizations, Foundations, Faith Based and Community Based organizations shall also submit reports through their parent Departments and Agencies to ensure inclusivity and comprehensiveness of reporting. The M&E directorate shall also coordinate preparation of county M&E reports especially County Annual progress Reports (C-APR), mid-term and end-term evaluation reports of the CIDP.

The M&E directorate shall report to the County Monitoring and Evaluation Committee (COMEC) in compliance with the Policy at the end of the first quarter of each financial year. The County leadership through the county secretary shall put in place structures that support incentives and



sanctions based on adherence to the standardized guidelines for reporting programme and project implementation as spelt out in this policy document.

4.5 Learning and Knowledge Management

Learning is a cyclical process, whereby people reflect on actions, knowledge and experience, and as a result reframe their perceptions of their original experience or strategy, leading to new actions or strategies. Learning therefore happens before, during and after programmes implementation. The M&E directorate shall therefore, initiate and facilitate development of a learning strategy in the county as a component of the envisaged M&E system.

For purposes of this policy, knowledge management shall be considered a process by which the county government and partners generate value and improve their performance. The purpose of Knowledge management in M&E is to promote a culture of learning and application of lessons learned. Elements of knowledge management in M&E will include: Designing of a learning strategy for each project/program; archiving of relevant M&E information including documentation of success stories and best practices among others; evaluation and review of knowledge management structures.

Towards this end, the County government will need to put in place innovative ways of keeping M&E practitioners and professionals engaged throughout the year. This may be achieved by: Facilitation of practitioners' forums to share innovative M&E methodologies applicable to various projects, programmes for learning purposes and knowledge enhancement; and Conducting brainstorming and reflective sessions, interactive portal, social media and community of practice.



CHAPTER FIVE

5.0 Policy Implementation Requirements

5.1 Monitoring Requirements

To effectively monitor performance and contribution of the County Integrated Development Plan programmes and projects, the following will be undertaken:

- a) Sectors/departments will develop and implement Sector/departmental Plans and Budgets aligned to the CIDP. The CIDP and other plans provide a road map for planners, implementers and decision makers, indicating what needs to be achieved, how it should be done and resources required. These plans provide a basis for M&E. and should have clear results frameworks indicating the inputs, outputs and outcomes as well as performance indicators.
- b) To facilitate monitoring and reporting, sectors/departments, with the support of the county M&E coordinating unit will develop CIDP indicators to measure performance at output and outcome level. The sectors/department shall provide baseline data and annual targets for the CIDP period.
- c) The County government through the department in charge of coordinating M&E will establish and oversee the implementation of CIMES. To support the implementation of CIMES, all sectors/departments will establish and operationalize an M&E unit to undertake day to day M&E activities for the sector/department.
- d) Development/adoption of an electronic Management Information System to capture, process, analyse performance monitoring data as well as generate defined periodic progress reports.
- e) Develop adequate technical capacity (skills and numbers) for implementation of the monitoring, function within the coordinating unit as well as all sectors/departments.
- f) The department in charge of M&E shall ensure that the monitoring and evaluation function has an adequate budget as stipulated in this Policy
- g) Monitoring will be undertaken at the following levels/stages:



- i) Inputs: Programme /project financial monitoring will be undertaken to determine whether the budgeted funds were released and expended as per the allocation. Inputs monitoring assist to assess the results.
- ii) Outputs: Outputs monitoring will be conducted and documented in the progress reports. Project field visits will be undertaken to verify physical outputs against the corresponding set targets.
- iii) Outcomes: Monitoring will be conducted to assess if the envisaged outcomes have been achieved and hence the objectives met. Outcome achievements reporting will be done annually using the indicators in the CIDP reporting Indicators handbook.

5.2 Evaluation Requirements

Evaluation will be conducted to establish the extent to which a policy, programme or project results have been achieved and their contribution to the objectives. Evaluations also seek to deduce learning from the implementation of public policies, programmes and projects.

Evaluation will be conducted to assess achievements, examine the results chain, processes, contextual factors and causality in order to further understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions.

Within the context of this policy, the following shall be considered:

- i) Mid-term Evaluations: Mid-term assessment (review) of CIDP portfolio of policies, projects and programmes.
- ii) End-term Evaluations: End of term assessment (review) of implementation and achievements of the CIDP portfolio of policies, projects and programmes.
- iii) Process and Performance Evaluations. These include evaluations of institutional working mechanisms, procedures, and how these affect implementation of policies, projects and programmes. These evaluations shall be conducted to generate lessons for learning and knowledge management.
- iv) Ad-hoc Reviews. The County M&E Unit, departmental M&E Units may conduct ad-hoc reviews of specific interventions. This may be as a request of county committees,



departments, etc. Unlike evaluations, which assess the results (outcomes and impacts) of initiatives, reviews tend to emphasize operational aspects, and are therefore closely linked to the monitoring function.

- v) Evaluations will be internal or external depending on its objectives.
- vi) The department in charge of M&E shall ensure that adequate budget for evaluations is provided annually.
- vii) The department in charge of the overall M&E function, in consultation with all sectors/departments shall prepare and implement a three/five years evaluation plans.

The evaluation plan will include among others:-

- A description of the various types of evaluations to be conducted (mid-term and end-term, impact evaluations);
- Proposed sector's/department's evaluations
- Roles and responsibilities of the various stakeholders;
- Estimated detailed budget;
- Generic Terms of reference; and
- An implementation monitoring plan.
- A dissemination and communication strategy;

5.3 Key Success Factors for Monitoring and Evaluation

In order to facilitate effective monitoring and evaluation, the following conditions will be necessary:-

- i) Promotion of evidence-based decision making at all levels to generate demand and use of M&E findings
- ii) Support from key stakeholders, senior management in both executive and legislative arm of the county government
- iii) Participatory approach in the establishment of CIMES with clear roles and responsibilities
- iv) Inculcation of a results-oriented culture of achieving results in the public sector
- v) Adequate budgetary allocations for M & E activities at all levels
- vi) Enhanced statistical capacity to support data collection and analysis for indicators reporting



- vii) Availability of adequate human resources with requisite skills to implement the monitoring and evaluation function.
- viii) Development of monitoring and evaluation tools that will assist sectors/departments to assess and report on implementation projects and programmes as well as carry out reviews.
- ix) All government plans should include an implementation matrix which provides a basis for monitoring and evaluation.

5.4 Use of Monitoring and Evaluation Results

The County Monitoring and Evaluation Policy requires that monitoring and evaluation results are utilized to inform decision making to enhance service delivery. To promote the use of M&E results:-

- i) The department in charge of M&E shall ensure that M&E findings generated from monitoring and evaluation data are disseminated to inform all stakeholders on the progress of implementation of policies, programmes and projects.
- ii) All sectors/departments shall be required to maintain a Monitoring and Evaluation recommendations implementation tracking plan. The plan will be used to monitor on the recommendations made and follow-up actions agreed upon in the M&E process as well as and implementation status of the actions.

5.5 M&E Tools

The directorate of M&E in the county shall in consultation with other stakeholders develop, the following M&E tools;

- a) County Indicator Handbook: To support the tracking of the implementation of various development policies, programmes and Projects as outlined in the CIDP
- b) Monitoring and Evaluation Framework: The framework shall be developed to ensure that all projects and programmes include theories of change {inputs, outputs (including processes), outcomes and impact}.
- c) Monitoring and Evaluation Guidelines: The guidelines shall be developed to ensure



- uniformity and adherence to norms and standards. The guidelines shall be developed by the M&E directorate in consultation with other departments.
- d) Data Analysis software: The M&E directorate shall ensure the county has relevant statistical software for data analysis.
 - e) Data Collection tools.
 - f) Electronic Database: The Monitoring and Evaluation directorate shall develop an electronic database with a dash board containing all projects for purposes of real time reporting.

5.6 Financing

For effective implementation of CIMES in the County, there shall be at least 2 percent of the total development budget allocated for M&E. Each department in the county shall set aside 2 percent of its development budget to cater for key monitoring and evaluation activities within the department. The M&E unit shall also have an allocation for operation of the office (i.e. the unit shall have a vote head).

5.7 Review of Policy

A process evaluation shall be carried within the first twelve months and thereafter every five years. To make the policy up to date and relevant to emerging approaches, there shall however be a continuous participatory review process of the Policy.



CHAPTER SIX

6.0 Capacity Development in Monitoring and Evaluation

This section outlines mechanisms that will be put in place to build capacity in terms of human resources and environment to facilitate effective M&E by Trans Nzoia County Government.

6.1 Capacity Development

Capacity development in M&E is a participatory needs-based enhancement of knowledge, skills and abilities of individuals. Institutions also require capacity development in M&E to meet specific objectives. Capacity development shall entail human resource development in terms of skills and numbers, and provision and maintenance of equipment and information technology. The sustainability of M&E system is therefore dependent on adequate supply of human resource capacity.

6.2 Guidelines for Capacity Development

- The County Government through the M&E directorate shall develop a scheme of service for M&E officers and submit to the County Public Service Board for approval and recruitment of personnel.
- M&E directorate in collaboration with partners and other non-state actors shall develop a five-year capacity development strategy to guide M&E capacity development in the county.
- There shall be regular and continuous training and capacity development including setting up M&E infrastructure
- The County Government shall form partnerships and collaborations with Universities, Kenya School of Government, Development Partners, Civil Society Organizations, County Assemblies, Private sector and professional bodies.

6.3 Key Players in Capacity development

All players shall be capacitated in order to deepen the uptake and appreciation of M&E in the implementation of county government policies, programmes and projects.



6.3.1 Key players in M&E shall include:

- County Government departments
- National Government planners and implementers
- Institutions of higher learning
- Civil society Organisations
- Development partners
- Private sector

6.4 Implementation of Capacity Development

The county secretary shall ensure that all departments place emphasis on training of staff in monitoring and evaluation. The County Secretary shall also ensure that each and every department has well capacitated M&E officers for each departmental M&E unit.



CHAPTER SEVEN

7.0 Monitoring and Evaluation Policy and Standards

7.1 Introduction

M&E standards are internationally accepted norms for ensuring timely and high-quality M&E functions with positive effect on programme quality. Standards address the organizational environment in which M&E takes place.

The comprehensive M&E standards shall be in the M&E system, which shall be considered as part of this policy. The standards will address issues of: skills development, human resource, conducting evaluations, undertaking monitoring, data collection, rights-based approach, ethical considerations, and credibility issues. Trans Nzoia County government seeks to improve the quality of M&E that is conducted by its staff and partners in order to have a positive impact on program quality, learning and welfare of residents of Trans Nzoia County. The department responsible for M&E shall therefore develop and issue standards on monitoring and evaluation in consultation with other county departments and partners. The department shall also be responsible for revision of such guidelines (as required) in line with the policy. This section therefore, provides guidelines on the standards and proposes ways of enforcing compliance to the standards by various stakeholders.

7.2 M&E standards

7.2.1 Project design Standards

All departments, directorates, agencies and national government offices in the county, non-state actors and stakeholders are required to develop project proposals that have clear programmes with measurable objectives, projects with key outputs and outcomes and an M&E plan, tailored to project scope and stakeholders' needs, to communicate progress and results. Departments and Agencies and other implementing agencies/stakeholders' staff must ensure that there are M&E plans which promote beneficiaries /community participation and reflect the diversity within communities, particularly gender.



All Departments, agencies and other implementing agencies/stakeholders in the county must budget sufficiently for M&E in all project proposals.

7.2.2 Monitoring Standards

The M&E directorate shall ensure that all county policies, programmes and projects as captured in the CIDP are uploaded into the e-CIMES system with accurate and up to date information as captured in the CIDP.

Departments and Agencies and other implementing agencies/stakeholders must jointly design and implement monitoring systems that generate qualitative and quantitative data that are timely, reliable and useful.

Departments and Agencies and other implementing agencies/stakeholders must use monitoring system information for tracking progress against targets; assessing outcomes of interventions; making decisions; and, producing evidence-based reports.

7.2.3 Evaluation Standards

Departments and Agencies and other implementing agencies/stakeholders must jointly design, and implement evaluations that assess relevance, efficiency, effectiveness, impact and sustainability; and use evaluation findings to improve programs.

Departments and Agencies and other implementing agencies/stakeholders at the county (units) should have qualified staff with defined M&E responsibilities.

Prior to undertaking an evaluation of an intervention, the evaluator should develop an evaluation plan, describing the background to the evaluation, key questions/issues to be evaluated, the methodology to be applied, the costs to be incurred, the evaluation team and the evaluation schedule.

Evaluators should uphold the interest of beneficiaries and those of other stakeholders.

Evaluators should be gender and culture sensitive and must exhibit a high degree of integrity.



7.2.4 Reporting Standards

Departments and Agencies and other implementing agencies/stakeholders will be required to report according to standardized formats.

The M&E directorate in collaboration with other departments will be required to produce popular versions of County Annual Progress Reports and if possible in the popular local languages in the county.

The findings, conclusions and recommendations resulting from an evaluation exercise should be presented to stakeholders in a clear and objective manner.

Human Resources

All county departments shall have M&E units or M&E focal persons with qualified staff and defined M&E responsibilities.

Learning and Networking

All county departments shall contribute to knowledge sharing and learning through sharing evidence based reports and publications, exchanging M&E tools and techniques, and engaging in dialogue and critical reflections.

7.3 Compliance with M&E policy and standards

In this policy, compliance is adhering to guidelines, standards, operating procedures and regulations. All state and non-state actors registered with the government and handle public funds shall be required to adhere to the set standards in undertaking M&E in the county as defined in this policy. Standards set out in this policy document that guide M&E process shall be applicable across the county government structure.

7.4 M&E policy Benefits, Incentives and Sanctions

For proper implementation and enforcement of the policy, the county government shall come up with benefits, incentives and sanctions.



7.4.1 Benefits and Incentives

To entrench the M&E culture in the county, appropriate incentives and benefits shall be put in place for both state and non-state actors who adhere to the set standards.

Benefits and Incentives shall include: issuance of certificates of recognition for departments that conduct M&E, financial rewards, identification and recognition of M&E champions, continuous sensitization and capacity building; award of training opportunities for top performers among others; staff promotion; staff compliment; exchange or bench marking tours; and additional funding for M&E.

7.4.2 Sanctions

Although sanctions will always be considered as the last resort in ensuring compliance, they will need to be applied if need be to ensure protection of public resources and service delivery. These sanctions include but not limited to, reprimand letters, name and shame, recommending action to respective county assembly committee. The county shall also ensure that release of funds or budgetary allocation are released subject to compliance with set standards.

7.5 Compliance Requirements and obligations shall include:

- Abiding by the agreed quality, quantity, time and cost standards (to be defined and agreed with stakeholders).
- Reporting obligations according to agreed formats
- Abiding by the principles of the County M&E policy
- Abiding by monitoring and evaluation criteria

7.5.1 Non-Compliance

Non-compliance to this Policy shall be managed in accordance with the relevant legal and regulatory provisions.



**COUNTY GOVERNMENT
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