



COUNTY ASSEMBLY OF KISUMU

CHANGE MANAGEMENT POLICY

JULY, 2022

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ACRONYMS AND ABBREVIATIONS

CA	-	County Assembly
CAK	-	County Assembly of Kisumu
CASB	-	County Assembly Service Board
CAC	-	Change Advisory Committee
CASB	-	County Assembly Service Board
COB	-	Controller of Budget
COK	-	Constitution of Kenya
CRA	-	Commission on Revenue Allocation
FRC	-	Request for Change
HR	-	Human Resource
M & E	-	Monitoring and Evaluation
OAG	-	Office of Auditor General
SRC	-	Salaries and Remuneration Commission
MCA	-	Members of County Assembly

PREFACE

The County Assembly of Kisumu plays oversight, legislation and representation having been created among the forty-seven counties in Kenya. In the process of carrying out its mandate, it operates in an environment that is subject to changes which may be planned or those that arise out of emergencies and may have impact on its operations.

The changes which may impact on the County Assembly of Kisumu may be the political dynamics from National elections and those that are internal, Changes emanating from new technologies, need for streamlining of systems and processes, the need for organizational structure alterations, employee related changes and those which may arise from regulatory provisions and change in existing laws. In order to address the need for change and its impact with a view to mitigating the risks associated with change, the County Assembly of Kisumu has developed a Change Management policy that will support the management of changes which may be experienced as it implements its functions and mandate.

The policy shall apply to all the County assembly elected representatives and appointed staff, the public, and stakeholders who interact with the County assembly in the discharge of its mandate. The implementation of change in the County assembly shall be guided by the need of fairness, understanding of employee, and shall apply in the entire organization when there is dire need for change. The intended changes shall involve all the affected persons or departments, be continuous, well planned and communicated in a timely manner to seek buy in and to limit resistance. The County Assembly shall also ensure that the cost of change management is reasonable.

The County Assembly in the implementation of change may experience the benefits which may include; improvement of systems and processes, enhance productivity, and motivation of staff and members when there is improvements arising from change. Change may come with training to both members and staff on new techniques of operations and this may create innovation as they adopt new ways of implementation of operations.

The County Assembly therefore encourages all to embrace change as it unfolds, as we are determined to implement change in the best practice that supports the human resource, systems and processes to improve service delivery to the citizens of Kisumu County as the mandate of the County Assembly.

OWEN OJUOK

CLERK, COUNTY ASSEMBLY OF KISUMU

1.0. INTRODUCTION

1.1. Background

The County Assembly of Kisumu (CAK) plays the role of representative, oversight and legislation. In the process of performing these roles; they operate in an environment which is dynamic and subject to factors which may cause change.

The County Assembly of Kisumu (CAK) has representatives who interact with the public and several interest groups whose expectation and environment in which they operate are often changing. The work is also assisted by the staff who offer service in ensuring sound representation, oversight and legislation. These Human Resource experience changes emanating from system in operation, change in laws, circumstances of technology change, effects of culture, dynamic of politics, government transitions (both at the county and national levels) procured and policy shift and structural changes.

As these changes occur, they require a productive approach through which they can be managed to ensure that the functioning of the County Assembly is not tempered. These ever-changing circumstances have necessitated the County Assembly of Kisumu to develop a Change Management Policy to ensure that the dynamic can be planned, implemented and solution found.

Organization change may occur when the County Assembly is not prepared and may interrupt the ways of operations positively or negatively. They may emanate from the external factors or maybe initiated from within the County Assembly with the aim of improving process or operations.

Despite the form of change which may take place in the County Assembly, instances may ensue where they are accepted or resisted by the organization staffs, elected representatives, stakeholders, interested parties or the public.

The legislation passed by the County Assembly may impact on the public and they may develop some reservation about such laws. The elected representative maybe affected by the political dynamic from outside the County Assembly or within the political internal operations. The staff maybe affected by the changes in structures, process, producers. This can only be guided by a policy which shall stipulate actions to be taken in the implementation, planning and finding the best ways in which the changes can be well managed.

1.2. Policy Statement

All changes to any information system, resource, process, internal systems, or asset must be approved first by the Change Management/ Advisory Committee; all changes must be documented and well communicated to all relevant stakeholders. The cost of the changes must also be reasonable and justifiable before any implementation.

1.3. Aims/ Purpose of the Policy

The purpose of the Change Management Policy is to manage changes to the CAK's information systems, assets, and resources in a rational and predictable manner so that all related stakeholders can plan accordingly. Changes require serious forethought, careful monitoring, and follow-up evaluation to reduce the negative impact on the user community and increase the value of Information Resources.

The policy shall ensure that standardized methods and procedures are used to enable beneficial changes, while ensuring efficient and prompt handling of all changes to services provided by the County Assembly of Kisumu. The primary goals of Change Management are to minimize the disruption of services, reduce back-out activities, and ensure clear communication across the institution and its stakeholder for continuity of services.

The policy shall guide the County Assembly of Kisumu in planning, implementation and managing the changes which may occur and impact on the functioning of the County Assembly.

1.4. Objectives of the Change Management Policy

The objectives to achieve in the development of the Change policy by the County Assembly of Kisumu shall constitute:

- Support the scanning of the environmental circumstances which may affect the County Assembly.
- Guide the County Assembly in planning for change in the best interest of fulfillment of its mandate.
- It will serve as a guiding mechanism through which the County Assembly will interact with the public and interested parties in creating conducive atmosphere for change implementation.
- Provide mechanism through which changes can be implemented in the County Assembly.
- Ensure sound strategies for managing changes which the County Assembly may experience.

1.5. Ethical Values Applying to the Policy

The County Assembly shall be guided by the following ethical values when implementing change:

- a) **Openness and Transparency:** The process of change management shall be open and known to all those involved and concerned stakeholders.
- b) **No Harassment and Victimization:** There shall be no harassment and victimization when implementing change in the County Assembly
- c) **Equity in Implementation:** Change management shall apply equally and shall not be selective but based on the need for improvement of service delivery

- d) **Involvement of Stakeholders:** There shall be involvement of all departments and the interested persons to whom change may have an impact
- e) **Professionalism:** Change management shall be done professionally and the human aspect of change shall be considered
- f) **Integrity, Trustworthiness, and Confidence:** The person entrusted with change management shall have integrity, trustworthiness and confidence to undertake the process without corrupt practices
- g) **Teamwork and Coordination:** There shall be a coordinated approach and team work in the management of change
- h) **Commitment to Excellence:** The change management process shall have commitment to excellence in operations
- i) **Good Leadership and Respect:** There shall be good leadership and respect in the management of change in the assembly

1.6. Scope of the Policy

The policy shall apply in the whole County Assembly and will apply to all staff, elected representatives, the public and stakeholders who engage with the County Assembly through regulation, business, and legislation.

1.7. Principles of Change Management

The management of change will be guided by the following principles to ensure sound use of financial resources:

- Management of change shall be communicated and brought to the attention of the affected members of the County Assembly.
- Change process shall be applied fairly and with best interest of the County Assembly.
- Change Management shall be a continuous process and gradual procedure of the County Assembly.
- Those affected by the change shall not be forced to the changes without involvement, or undue harassment to their detriment.
- Change shall be planned and implemented without threats, intimidation and where abrupt circumstances arise; they shall be addressed with the knowledge of all the County Assembly representatives and staff.
- The cost of change management shall be reasonable and affordable to the County Assembly and shall not create incremental cost to the County Assembly.
- Implementation of change shall be a holistic approach acceptable within the entire County Assembly.
- Resistance to change may be considered and the persons involved shall not be victimized but helped to appreciate the need of change.

- The public and stakeholders shall be informed in advance on change which the County Assembly may institute and may impact on them.
- Those affected by change shall be trained and supported to align with new systems of operations
- Change management shall conform to the human resource practices and the relevant existing laws.

1.8. Justification for Change Management

The County Assembly of Kisumu is an organization that may be affected by changes both arising from external environment or internal environment. These changes may be planned as mitigating effects of possible risks which some may be emergencies which the county assembly as an organization may want to address. The reasons why the county assembly may therefore take a drive towards change include:

- Streamlining systems, processes and procedures – Systems and processes may create lags and delays, bureaucracy resulting in slow implementation of the county assembly functions. The change in these processes will therefore enhance operations and activities for decision making in the organization.
- Innovation – Change may come with the opportunity for creativity of employees as they explore new ways of undertaking their work to improve services
- Improve public confidence – The county assembly provides services to the citizens of Kisumu and in instances where the public feel they are not adequately served, the county assembly may adopt change to better serve the public to their expectations.
- Improve productivity – The county assembly plays the role of legislation, oversight and representation. In order to achieve this mandate, the county assembly will adopt change from time to time as necessitated by circumstances to enhance its service delivery in the core mandate.
- Improved relationships – The working environment in the county assembly involves interactions between the elected representatives, the staff, the public, regulatory authorities and the public. Disharmony in these coordination may affect service and only change may be made towards improvement of these relationships.
- Supporting communication – Well managed change if communicated and shared with employees and all the interested parties may create by in within the entire county assembly. This will enhance information flows which may lead to efficiency and effectiveness in operations.
- Improved motivation – Where the processes and operations are routine, and hindrance to discharge of functions, change will be necessary to improve employee morale and satisfaction with the work being done in the county assembly

2.0. CHANGE CATEGORIES IN THE COUNTY ASSEMBLY

The County Assembly may experience different forms of change which may affect its operations and efficiency of service delivery. The main change which may occur in the County Assembly will include:

2.1. Political Changes

As a political institution, the County Assembly is affected by political circumstances at the national level, county level, and the public or internal political upheavals. Changes in governance due to elections, resignations, and new appointments in the assembly may also affect efficiency of service delivery if not properly managed and handled. The internal political may arise from elections to various committees, voting for bills, decision making on resource sharing.

As a constitutional requirement, election of the Members of County Assembly (MCAs) occur in a cycle of five years. The elections often create changes with new members coming on board. The changes arising from the electoral processes may be destabilizing to the assembly if not properly handled. For example, the new members who are not acquainted with the internal processes and procedures of the assembly will require training to adopt to the new legal and operating environment.

New appointments, resignations, and promotions of the County Assembly staff also create changes that may be destabilizing if not properly handled. The policy document provides the procedures and structures that the assembly will apply in managing the changes for efficiency in operations and service delivery.

2.2. System and Procedure Changes

The county assembly may change the operation mechanism through iteration of its system and procedures. These may include: changes in the County Assembly Calendar, reporting time of its staff, and other standard operating procedures. The policy guides such changes to ensure the assembly remain within its scope of service delivery to the stakeholders.

Operational procedures and systems may change at the department level for improved efficiency in service delivery. For example, the Finance and Accounting Departments of the Assembly may from time to time review their financial procedures and create new financial management systems for efficiency of service delivery.

The HR department may also from time to time review its operating procedures and reengineer functions for efficient operations. Such changes often come with challenges among the human resources including resistance or slow adoption. In light of these, it is critical that the County Assembly of Kisumu has a change management policy that will ensure efficiency of transitions in cases of promotions, resignations, secondment, and change of management.

2.3. Culture Change

The county assembly may be used to certain norms and behaviors of operations which may experience some alteration in the way things are done.

2.4. Regulatory Changes

The county assembly does not exist in isolation as its activities are regulated by various bodies including: The National Treasury, SRC, CRA, Ministry of Devolution, Controller of Budget, and the Office of the Auditor General. The regulatory changes may occur in; Remuneration, financing, county legislative reviews, and auditing processes.

2.5. Legislative and Policy change

The National Government may impose changes in the laws and policies which may impact on the functions of the county assembly. For example, changes in constitution and regulations such as the County Government Act and The County Assembly Services Act may alter specific aspects of assembly functions and composition. The county assembly is required to align their operations, legislation in confirmedly to the national government.

2.6. Structural Changes

The county assembly may experience changes in composition of leadership, organization structure, location of operations, and change in offices. The changes in leadership composition occur due to elections of the MCAs, end of tenure for appointed officials, resignations, and promotions. The changes in location of operations may also occur and may be a challenge to the employees in adopting to the new work environment. The changes require a proper policy framework that enhances efficiency in operations and continuity of service delivery.

2.7. Technological Changes

Technologies are continuously evolving with new developments arising that affect the operations and activities of private and public institutions. These technologies changes often result in disruptions as there may be complete overhaul of some systems and structures due to technology. Disruption arising from change in the ICT systems may require change in the county assembly operations. These may include; conduct of meetings, assembly sessions, communication, use of technological devices such as iPads, and other forms online interactions.

2.8. Human Resource Changes

The employees may experience changes due to retirement, transfers, change of work stations, welfare and remuneration changes. They may also encounter need for new training and experience in work assignments. The HR may also from time to time review its operating procedures and reengineer functions for efficient operations. Such changes often come with challenges among the human resources including resistance or slow adoption.

2.9. Physical Changes

The county assembly may experience changes arising from security situation, office space and facilities and working tools, design of buildings. The County assembly may experience change in the location of its offices, design in layout of its environment, office layout, all of which may require change management.

2.10. Strategic Changes

The county assembly may encounter change in services, its vision and mission and the strategic planning are objectives which may alter its operations.

2.11. Health and Safety Changes

Circumstances may occur which affects the health situation of the county assembly including the outbreak of diseases like covid-19, communicable diseases. These may limit interactions and may cause additional cost implications, trauma and fears.

2.12. Resource Changes

The county assembly may realize change in resource base from funding and budgetary allocation, which may consequently require adjustment in the functions and operations. The county assembly resources, both financial and materials. The financial resources are provided by the National government and are subject to alterations and change which subsequently require the County assembly to make adjustment on its operations

The National Treasury, Commission on Revenue Allocation may change the budgetary allocation which consequently require the county assembly to also subject its operations to change

3.0. KISUMU COUNTY ASSEMBLY CHANGE MANAGEMENT APPROACHES

Change management in an organization is a process that pass-through stages from initiation and request for change, analysis and justification of the intended changes, obtaining necessary approvals for the change process, planning and implementation of change and subsequently undertaking post change implementation to determine its impact. The County Assembly of Kisumu shall undertake the following processes in regards to changes in the institution.

The County Assembly of Kisumu shall implement changes in phases or stages, as change is long term, involves alterations and shifts which may have implications on operations. The

3.1. PRE CHANGE MANAGEMENT PROCEDURES

3.1.1 Initiating the Change (Change Management Request)

Change in an organization may be occasioned by circumstances which call for the need to review the operating environment with an aim of aligning the County assembly to the new ways that reduce risks, ensure quality, and minimize costs and to enhance efficiency and effectiveness.

The departments or units experiencing circumstances that need change may submit requests to the Clerk of the County Assembly on the need for change. Anyone or department identifying a requirement for a change functions as change initiator shall be responsible for providing the necessary information to identify the basic requirements associated with the changes.

The change management process must be consistent in quality and completeness and discards irrelevant requests. Although a change request can be submitted by anyone within the County Assembly, it will receive an initial review by the change coordinator within the appropriate department before submission to Clerk of the County Assembly and the Change Advisory Committee for further review and consideration for implementation.

Once the need for change has been initiated and submitted to the head of department of the County assembly, he will determine if there is sufficient information to create the change request and will create a new change request if satisfied that the intended change has implications that can impact on improvement of the County assembly. The departmental head will contact the change initiator if additional information is required.

3.1.2 Review of Requirements and specifications

The Change Request Form will be reviewed by the Change Management Coordinator who will gather additional information, add Department Managers deemed to be affected, and arrange meetings. Then the Change Management Controller creates a Specification detailing exactly what is being changed, which is sent to all Stakeholders. The Specifications should incorporate all the requirements.

The Change Stakeholders carefully review the Specifications to ensure that all the requirements and their particular interests are covered.

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The Change Stakeholders will need to approve the Specifications within reasonable time of may be one month for normal changes and within one week for emergency changes.

3.1.3 Analysis and Initial Approval Phase

The County assembly of Kisumu may not plan or implement change without subjecting it or determining how the change may affect its operations. The change requested for must be analyzed by requiring information both within and outside the county assembly which pertains to the intended changes requested for.

Once the change coordinator has collected additional information, he or she will then define the change parameters. This additional information includes identifying procedures, risks, or other technical requirements as well as establishing the initial priority and category. This information will be subjected to analysis to determine the need for initial authorization for the change process to move to the next stages of change processes.

In undertaking the analysis of impact of change, there should be consideration to the following:

- The processes and functions that are performed , the dependencies and interconnection between them and the possible effect of change on their operations
- Alternative processes available during the change processes
- Disruption time that can be accommodated and cannot adversely affect operations
- The impact analysis should consider the need for recovery after disruptions and the period for recovery
- The cost of change and any escalation of costs during the process of change
- The capacity needed for change, including the human resource, facilities
- The prioritization and categorization of change, considering the most urgent and critical ones that need change, the emergency and urgency of change
- The effect of change on the employees, possibility of resistance to change and the need for communications and acceptance of change

3.1.4 Developing Justification for Change

The County assembly of Kisumu is open to accept change as these arise through planning after request has been made or spontaneously from emergencies. All these may require some form of justification why the changes may be necessary for the county assembly as change has an impact on service delivery and implementation of core mandate of legislation, oversight and representation to the public.

For all change categories, the change coordinator must develop an operation case justification, including the requirements of the change that will be attached to the RFC for consideration in analysis portion of the process. The information will be documented with detailed description and will form part of documents that support the request for change. The following issues are relevant information that should be addressed during the development of the business justification:

- The requirements and detailed description of the change.
- Describe the impact the change will make on the business unit's operation.
- Describe the effect the change may have upon the County assembly Operation and on other affiliated parties interacting with the county assembly
- Describe the impact on other services which are in operation within the County assembly.
- Describe the effect of not implementing the change
- Estimate the resources required to implement the Change, covering the likely costs, the number and availability of people required, the elapsed time, and any new facilities, tools and equipment required.
- Estimate any additional ongoing resources required if the Change is implemented.

3.1.5 Technical Impact Analysis

Some changes in the County assembly of Kisumu including mazy require adoption of new technology which then calls for technical input for successful planning and implementation. The County assembly may form a technical team constituted from the department and other areas of operations and with assistance of other technical team which may be outsourced to support its internal team in determining the technical impact of such changes before implementation.

The technical impact and risk analysis should then be analyzed by a technical team who will then advise the County assembly Clerk on the technical requirements and possible implications of such changes. After the Change Coordinator reviews, categorizes, and prioritizes the RFC, they will assign a resource depending on the type of change and complexity, to perform a technical analysis of the change. This process is intended to evaluate and validate the technical feasibility, risk and effect a change will have on the operational environment , HR productivity and the overall efficiency and effectiveness of the County assembly

The Technical Approver should consider the following criteria while reviewing the need for any change;

- Evaluate the change plans to gauge the impact and effect of the change during and immediately following the change implementation.
- Review the technical completeness of the change plan, including anticipated assets changed, impact on start-up, interruption of operations, alternative support and processes during change over.
- Evaluate the technical feasibility of the change and the whole impact of the change in terms of;
 - Overall Performance of the county assembly
 - Capacity of staff and facilities
 - Security of resources, information, data
 - Operability of the new system of operation
- Validate technical aspects, feasibility, and plan.

3.1.6 County Assembly Risk Analysis

i. The Risk Assessment

Change in itself and within the County assembly involves shift from current situation of operations and management to a new way of operations which may be uncertain in terms of possible outcomes which is a risk. These uncertainties need to be assessed in advance to prevent negative future outcomes which may erode the gains of the county assembly.

The Change Management Coordinator will conduct a risk assessment based on the agreed Specifications. They will check all the systems and processes affected by the proposed changes and list any risk areas. The Risk Assessment is used to create a Change Recommendation to ensure that any risk to its operations have been identified and mitigated. The Recommendation will include items such as specific training and testing requirements. The Risk Assessment, including the Recommendation, will be sent to the Stakeholders. The Risk assessment must be reviewed and Recommendation carefully to make sure that nothing has been missed. The departments need to notify the Change Management Coordinator of any missing risks or if there are problems with the recommendation.

The risk and impact analysis is completed when a new change record is created. The business risk and impact process evaluates the impact of the change as it relates to the ability of the County assembly to conduct its business. The key objective is to confirm that the change is consistent with current County assembly objectives. The following points should be considered while performing the business risk and impact assessment:

- Evaluate risk impact of both implementing and not implementing the change in the County assembly.
- Determine if the implementation of the change conflicts with County Assembly business or operations. .
- Analyze timing of the change to resolve any conflicts and minimize negative impact that may arise from the implementation.
- Ensure all affected parties or stakeholders are sufficiently of the change and understand its impact.
- Ensure the current County Assembly operational requirements and objectives are met within the change.
- Ensure that adequate notices are issued prior to the requested implementation date of the new changes.

Time taken for each change will vary depending on the type of change. Change initiators should plan lead times to allow sufficient time for planning, review, and approval. In some cases, lead times would also need to be planned to allow for standard implementation times that have been set for certain processes and approvals.

ii. Change rating/ Categorization

The County assembly of Kisumu recognizes that changes are varied, require resources to implement and hence the need for categorization and rating. The resources for implementation of change are limited and this require the Change advisory Committee and change coordinator

to rate the changes may be as emergency, in terms of time required, cost implications, Human resource needed and other means which may necessitate the change rating or categorization for ease of implementation of the county assembly change

The Change Management Coordinator will discuss what the appropriate Change Rating should be with all the Stakeholders. In essence, the Change Rating indicates the level of compliance required by the Change and the priority that the Change is being given.

iii. Developing the Roll-Back Plan

The County assembly of Kisumu may implement the change processes in phases and as this progresses it will evaluate outcomes generated from each process. This progressive process may require some recovery measures to be instituted by the county assembly so that when the implementation is posing risks and negative impacts, the County assembly may fall back to original situation or alternative measures without much detrimental effects

Development of the roll-back plan is essential to ensuring effective restitution in the event of a failed change. The roll-back plan is primarily based on the technical impact analysis and the implementation plan.

3.1.7 Departmental Review and Approval

The department of the County assembly from which the change is needed or which originates the request for change must conduct its own internal review before it escalates the need for change for discussion with other county assembly departments.

The new request for change (RFC) will be evaluated and screened by the head of department who determines whether to authorize or deny the change based on the information in the new change record. This screening process includes a reality check to ensure that the RFC is appropriate, and to ensure the request is complete. The head of department can elect to approve, deny or request additional information from the change initiator. The Change initiator is notified of the progress of their request at all stages.

3.1.8. Testing

Change management in the County assembly is a process to be implemented with caution in order to generate positive impact that supports service delivery. This will require the county assembly to undergo trial phases through piloting, dummies and other means that will ensure that the tested results provide indications of the need undergo through further phases of implementation. The Clerk or the County Assembly Service Board (CASB) will only approve requests which can be implemented based on the feedback from the change request testing.

All change categories will undergo some level of testing depending on the complexity of the change. Once the change is initiated, introduced and integrated in the operational environment, the change is moved to the Test environment. This phase focuses on conducting testing and quality assurance to ensure reliability and performance of all components or systems and

operations of the county assembly. The Change Coordinator will oversee the testing function, develop the test plan and report its findings back to the head of department for voting on whether or not to advance the change to the next step.

3.1.9 Conducting Interdepartmental Coordination/ Peer Review

The County assembly of Kisumu is one entity which is organized into specialized departments for effectiveness and efficiency of operations. The departments are interrelated and work in coordination with a view to achieving the main objectives and mandate of the County assembly as provided by the COK, 2010 and the County government Act.

Change in one department may affect operations of other departments in terms of their systems of operations, financial requirements, procedures and policies and may need engagement of other departmental staff or peers for concurrence, harmony and acceptance. Peer approvals are the last step of the Change Development Phase. Peer approvals are optional for all changes that may be required by the county assembly. This step ensures that all of the technical components and notifications have been completed as required by the Change Advisory Committee. This approval can be completed by anyone approved by the head of department and identified as a Peer Approver in the County assembly. Peer approvals are completed using a checklist which is attached to the change record.

3.1.10 Change Approval Phase

Change requires resources for implementation which may include, finances, human resource, facilities and tools which may need to be acquired or reallocated or operated and coordinated within the departments. This therefore need approval process from the Clerk of the County assembly and the County Assembly Service Board the process is rolled out.

Approval of change is allowed after significant change has been correctly prioritized, categorized, and analyzed by the Change Coordinator and has been through the peer Review process, and report presented on the need for implementation of the change. The approval of change in the County assembly may be effected as follows,

- Emergency priority changes are escalated to the County Assembly Service Board for fast-tracking
- Routine changes are approved by the clerk and progress directly to the change implementation phase.
- Minor changes can be approved by the Change Coordinator or the departmental head or the Change Advisory Committee
- All other major and significant changes must be approved by the established approval authority as identified in the change record. Approval authority level is dependent on the change category.
- Changes that are general types of changes, usually within the operations and system support areas, can be approved at the departmental head, but will usually involve a peer review only.

In each case, the Change Advisory Committee under the guidance of the Clerk of the County Assembly shall make a decision on whether the change should be implemented based on the information supplied in the RFC.

If the RFC is rejected, the RFC shall be closed and the change initiator is informed of the decision. The reason to the rejection shall be added to the change record.

3.2 CHANGE IMPLEMENTATION

3.2. Change Implementation and Documentation Phase

Once an RFC is approved, it moves into the implementation and Documentation Phase. This phase is concerned with the steps necessary to successfully implement the change: These steps include

- Complete final planning
- Establish the schedule and complete required notifications
- Complete the change implementation
- Test, validate and accept the change
- Complete final change documentation

3.2.1.Final Planning

During this step, the change coordinator reviews all comments and recommendations to ensure all required tasks have been completed. They conduct this review with the departmental head and the Clerk of the County Assembly, the change coordinator and the change initiator. This phase is also used by the change coordinator to complete any final change development necessary to complete the implementation.

3.2.2.Scheduling and Notification

The change coordinator shall establish the appropriate schedule for the implementation of the change. The schedule is based on several factors including the change priority, other changes being implemented, and system availability. Once the schedule has been established the change coordinator ensures the change is noted on the consolidated change schedule and notifies all interested parties of the pending change.

3.2.3.Change Implementation Plan

The change coordinator implements the change in accordance with the implementation plan and during the scheduled time. This is generally a technical implementation. Failure of an implementation at this level will normally require the Change coordinator to follow the back-out plan to ensure normal operations. In order to determine whether the deployed change has been effective, it is necessary to monitor the changes in the County assembly as they are undertaken.

The CAC Chairperson or Change Coordinator will schedule and moderate the review meeting for large changes while minor changes in the County assembly may require checking. During the review, reference must be made to the original request for change, which states the objectives of the change and offers some measurable indicators for gauging the effectiveness of the change. The measured effects of the change can be compared with the desired effects in order to decide whether the change has met its objectives.

3.2.4. Accept Issues and Continue

Even if a change has not fully met the desired objectives for the change, the review may still determine that the change should not be backed out and that it is not desirable on cost-effective to make more changes. Instead, there may be options available to work around the shortcomings of the system. Such workarounds should be documented. If they are user workarounds, the County assembly Clerk should be informed so that the information can be easily made available to the departments, staff and members. The Change Initiator and other interested parties are informed and the RFC is closed.

3.3. POST IMPLEMENTATION REVIEW

Once a change has been implemented it is important that the situation is reviewed to identify any problems that could be prevented in the future or improvements that could be made. The stakeholders will carry out a Post Implementation Review one month after the change has been rolled out unless problems or issues present themselves more immediately. Two months after the change has been implemented the stakeholders will conduct a further review. The change Advisory committee will review change documentation and follow up on the progress quarterly. The minutes and action points of these reviews are held on file with the change documentation.

The change management may involve internal and external audit who will examine the change management documentation, progress, effectiveness on half-yearly and end year basis and their comments and recommendations will be acted upon.

In addition to making a success or failure decision on the change implementation, the review will also consider how the change was deployed, and whether it was implemented on time and on budget. This exercise will result in the documentation of lessons learned from the change. Review feedback is then distributed to all parties involved in the change to encourage and enable future process improvements.

3.4. COMPLIANCE AND ENFORCEMENT MECHANISMS

The County assembly shall ensure that the changes being implemented are on course and are in right direction to successful completion. The compliance mechanisms to be applied shall constitute:

Internal Audit

The county assembly internal audit unit shall undertake continuous review of the process and implementation of change with a view to providing advice to the clerk and the county assembly service board on the progress, challenges, and risks

External Audits

The county assembly change management may be subjected to audit by the Office of Auditor General (OAG) or Private auditors who are in practice as may be appropriate.

Supervision and follow ups

The process of change management shall only be effective when supervision is enhanced by those entrusted with implementation of change including; the County Assembly service board, the county assembly Clerk and the Change management coordinator

Change performance reviews

This will involve continuous comparison of the actual implementation with the planned change, recommendations while reviewing the hindrances which may affect the change progression to ensure that corrective measures are addressed at early stages.

Monitoring and evaluation

The County assembly may appoint a monitoring and evaluation team or probably the inspection team to monitor the implementation of change, advice on resistance to change if any, determine the cost of implementation, ascertain how change is impacting on the county assembly, the disruptions and whether the changes are being implemented as intended to improve service delivery

Progress reports

Change management is one of the decision making being instituted by the county assembly. Sound decisions are implemented through management reports outlining the achievements at periodic levels. Those in charge of change implementation will be required to present progress reports to the county assembly clerk and the county assembly service board for decision making

4.0 CHANGE MANAGEMENT MONITORING AND EVALUATION

In the context of change management within the County Assembly of Kisumu, review and monitoring shall include monitoring and evaluation exercises to assess the successes and failures of the adopted changes within the assembly

4.1 Components of M & E

The components shall include; Monitoring, evaluation and provision of feedback and reporting on the outcomes of M & E.

- i. **Monitoring:** Monitoring should be a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results. An ongoing intervention in this case will be the changes implemented in the county assembly.
- ii. **Evaluation:** Evaluation shall be a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations, even project evaluations that assess relevance, performance and other criteria need to be linked to outcomes as opposed to only implementation or immediate outputs.
- iii. **Reporting:** Reporting shall be an integral part of monitoring and evaluation. Reporting is the systematic and timely provision of essential information at periodic intervals.
- iv. **Feedback:** Feedback shall be a process within the framework of monitoring and evaluation by which information and knowledge are disseminated and used to assess overall progress towards results or confirm the achievement of results. Feedback may consist of findings, conclusions, recommendations and lessons from experience. It can be used to improve performance and as a basis for decision-making and the promotion of learning in an organization.

4.2 Purpose of Review and Monitoring

The purpose of the change review and monitoring is to ensure that the County Assembly of Kisumu (CAK) is accountable for outcomes of the change implementation processes and the effect on its processes, structures, resources, and stakeholders. The review is also important in ensuring the county assembly and its stakeholders learn lessons from the change adoption process, identify areas of weaknesses, and implement further changes that will enhance the implementation to ensure it achieves the desired outcomes.

There shall be continuous monitoring of the implemented changes within the county assembly to ensure they are in line with the desired objectives.

Feedback: Feedback is a process within the framework of monitoring and evaluation by which information and knowledge are disseminated and used to assess overall progress towards results or confirm the achievement of results. Feedback may consist of findings, conclusions, recommendations and lessons from experience. It can be used to improve performance and as a basis for decision-making and the promotion of learning in the County assembly.

Appendix 4: Key Definitions

Change: A Change is defined by an addition, modification, removal or alteration of circumstances that could have an effect on the County assembly services and which is approved by management, enhances institutional processes. The scope should include changes to all procedures and systems, resources, legislation, processes, facilities, and documentation, as well as changes to IT services and other operations.

Change Management: Change Management refers to the process used to control the lifecycle of all changes in the County assembly.

Change Management Policy: Change Management Policy is the guiding standard that describes the procedures for, and specifies the rules and levels of authorization required to approve, different types of changes in the County assembly.

Change Proposal: A Change Proposal describes a proposed major change, like the introduction of a new operation or a substantial change to an existing operations, change in legislation, and internal systems or processes. The purpose of Change Proposals is to communicate a proposed major Change and assess its risk, impact and feasibility before planning and implementation of change in the county assembly.

Change Record: A Change Record contains all the details of a Change, documenting the lifecycle of a single Change. It is usually created on the basis of a preceding Request for Change.

Compliance (Change) Managers/ Change Advisory Committee: A Compliance Manager/Change Manager is the person that is responsible for ensuring that changes within their scope are managed from inception through presentation and into implementation.

Monitoring: Monitoring is be defined as a continuing function that aims primarily to provide the County assembly management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results. An ongoing intervention in this case will be the changes implemented in the county assembly.

Evaluation: Evaluation is a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations, even project evaluations that assess relevance, performance and other criteria need to be linked to outcomes as opposed to only implementation or immediate outputs.

Reporting: Reporting is an integral part of monitoring and evaluation. Reporting is the systematic and timely provision of essential information at periodic intervals during the process of change in the county assembly

Appendix 3: Change Status

CR Status	Date	Notes
Under Review		
Approved for Implementation		
Closed – Implemented		
Closed – Rejected		

APPENDICES

Appendix 1: Request for Change Form

Change Request Definition

Department	
Change Request	
Change Request Name	
Date Requested	
Change Description	
Reasons for Change	
Impact of Not Implementing Change	
Change Originator	

Appendix 2: Change Request Evaluation (Impact Description)

Impact on Internal Resources	
Impact on Resources	
Impact on external resources	
Impact on Timeline :	
Support Implications	
Impact on End users	
Impact on Cost / Budget	
Other Impacts	
Risks associated with the Change	
Recommendation – Approve, Reject	
Decision Authority Level	

9. Reward Mechanisms

Successful change management may require the county assembly to provide incentives through promotion, salary adjustment, recognition.

10. Change Agents

The County Assembly Service Board shall appoint a change committee and change agents/champions to steer the process of change.

11. Environmental Scanning

The county assembly shall continuously determine external and internal situation which may cause and put mechanisms for mitigation of these risks.

12. Legal and Policy Framework

Develop legislation process and procedure for managing change.

Creating a Request for Change (RFC)

The Request for Change (RFC) is the standard document created by the Change Coordinator within Change Management Committee that captures all relevant information about the proposed change. This information may range from basic facts about the change to more complex technical specifications necessary to complete the change. The Change Coordinator(s) will work with the Change Initiators and Change Advisory Committee to identify as much of the following information as possible to facilitate the adoption and implementation of the proposed or planned changes:

- The Change Initiator's name and contact information.
- An accurate description of the change required including the specific request, reason the change is required and the required timeframe.
- The priority and category of the change based on the information available.
- Incident tracking number of any issue that relates to the change.
- Description and clarification of any items to be changed, including identification of the Configuration item if known.
- A cost-benefit analysis of the change and budgetary approval, if required.
- Institutional impact and resource assessment.
- Location of the release and a suggested implementation plan with timescale
- Impact on continuity and efficiency of service delivery, and contingency plans.
- Risk involved in making the change.

8.0.CHANGE MANAGEMENT STRATEGIES

The following are the strategies that shall apply in managing change in the County Assembly of Kisumu.

1. Communication

The change and possible effects should be sufficiently and clearly communicated to all the county assembly staff, elected officials, and stakeholders using the most appropriate communication channels and within the appropriate timelines.

2. Co-option and Involvement

The representative of the persons affected by change should be involved and be part of the change process.

3. Training, Sensitization and Awareness

Change which may affect the competence and capacity of the county assembly shall be addressed through training and sensitization mechanisms.

4. Budgetary Allocation

There shall be adequate funding to mitigate, implement and resolve issues of change management process.

5. Psychosocial Support

The County Assembly of Kisumu shall provide psychological support as need may arise. This shall be done through counseling and emotional support necessary to the county assembly staff and stakeholders.

6. Negotiation

The county assembly shall adopt and bargain the changes to be implemented with National Government Agencies.

7. Persuasion

The county assembly shall engage all its elected leaders, staff, and stakeholders in an effort to persuade them to adopting the proposed changes.

8. Partnership and Collaboration

The county assembly shall partner and collaborate with the relevant internal and external stakeholders in the process of implementing new changes across different departments for success outcomes.

7.5. Change Management Committee.

The county assembly may appoint another committee of elected representatives and staff to mitigate and manage change in the organization.

The role of the committee in change management shall include;

- Coordinating change between staff and the elected representatives.
- Coordinate change process in the county assembly.
- Provide advisory and guidance on change management in the organization.
- Advice on the best strategies for change management in the organization.
- Ensure adequacy of resource base for managing change including; Human Resource, Physical facilities.
- Recommend staff to key roles in the change management program
- Report to the Clerk on the progress of the change management program
- Schedule work plans , calendar of the change management program
- Monitor the implementation of change and provide feedback on improvements

7.6. Change Initiators

These are the people who originates change within the County assembly and they play the following roles

- They originates change by submitting request for change to the Clerk of the county assembly ;
- They provide sufficient information which are necessary for justification of change and approvals
- They assist the county assembly clerk and the change management committee or team in determining the priority for change
- Participates in change impact analysis and assessment
- At the conclusion of the change management, they participate in change post implementation review
- Assist in identification of resources needed for the implementation of change
- Participates in the change management process by following up the request for change and the approval process

- Appoint change management committee and facilitates their operations
- Analyzing and prioritizing requests for change and also assigning teams to conduct change impact analysis and risk assessment
- Reviewing the progress of change management process and guiding on the process to be on course
- Preparing work assignment and terms of operations of the change management team

7.3. Change Management Coordinator

The clerk of the county assembly may assign in coordination with the change management committee an individual the role of coordinating the change management process and the role of the person shall involve:

- The change management coordinator shall be responsible for planning, and coordinating all the phases of the change from initiation to conclusion
- He documents all the relevant information needed for approvals and implementation of change
- He will follow up on the resources needed for the implementation of change without delays
- He is responsible for providing routine feedback on the status of change management and identifying problems as they arise
- He will coordinate with other departments not implementing change for their input, effects of the change on them and with the stakeholders affected by the process of change.
- He shall liaise with the change management initiator to ensure that the change meets the requirements of the change initiator as approved in the Request for Change (RFC).
- The change management coordinator shall provide updates and proposals to the Change management committee on the implementation of change
- He will be assisting the county assembly clerk in monitoring and evaluating the impact of change and its implementation
- He will coordinate and present the post implementation review analysis to the change advisory committee

7.4. Change Agents

- Disseminate information that relates to ensuring changes in the county assembly are sufficiently initiated and implemented.
- Coordinate with all departments and the effected persons on the changes in the county assembly.
- Ensure implementation of change as instructed by the clerk of the county assembly.
- Advice the clerk and county assembly service board on the factors which may hinder implementation of change.
- Offers expert advice on the implementation of change.
- Provide support through training, awareness and sensitization on the impending change I the organization

The intervals of reporting may vary with the nature of change and these may include:

- Emergency changes shall be reported on daily basis for the impact to be addressed urgently
- Long term structural changes may be reported on monthly basis
- Changes whose impact may be disruptive may be reported on quarterly basis
- Technological changes require constant consultations and need weekly reporting
- Changes which require public involvement and cultural orientation may be reported after such public engagements
- Changes which involve change in law or regulatory provisions shall be reported as the regulatory and legal processes unfolds and progresses

7.0. RESPONSIBILITIES FOR CHANGE MANAGEMENT

7.1. County Assembly Service Board (CASB)

The CASB shall have the following roles and responsibilities in regards to the change management within the County Assembly of Kisumu

- The CASB is responsible for the overall approval of changes which may be needed in the County Assembly
- The County assembly service board oversees the implementation of change for the benefit of the organization
- CASB ensures that resources for implementation of change are adequate for successful adoption.
- The CASB monitors the change process, provide corrective mechanisms where there may be delays and deviations
- Ensure that those implementing change have capacity through training on the adoption of new systems and processes
- Coordinate the process of change by receiving reports and providing policy guidance to the Assembly
- Ensure that there are policies and procedures for change management that will guide efficiency in the management process.
- Ensure those appointed in the change management program understand the organizational vision and missions as they relate to the needed changes

7.2. Clerk of the County Assembly

- Advise the county assembly service board on the change necessary for improvement of the functions of the county assembly.
- Coordinate the change process in the county assembly.
- Ensure adequate facilities and resources necessary for implementation of change.
- Explain the impact of change to the elected representative and staff.
- Ensure fairness, lack of intimidation and victimization and ensure that change does not unduly hinder the affected persons.
- Support in the planning of change within the county assembly.

6.0. CHANGE MANAGEMENT REPORTING

6.1. Change Management Reports

The success of implementation of an organizations operational initiatives require reports that support decision making. The change management process also require reports which may include:

- Reasons for change (user requests, emergency, enhancements, business requirements, service call/incident/problem fixes, procedures/training improvement, etc.)
- The use of resources and budgetary allocations employed in the implementation of the change process and the effectiveness in the management of those resources
- The level of staff training and capacity building to implement change in the County Assembly
- Challenges experienced in the management of change process and the mechanisms to address them
- Change impact analysis and risk assessment reports that justify the change process
- Resistance to change and initiatives to find amicable solutions during the change process
- Number of successful changes
- Monitoring and evaluation reports on the change management phases
- Change advisory Committee report on the management of change
- Number of failed changes
- Number of changes blacked-out, together with the reasons notable being ;incorrect assessment
- Number of incidents traced to the change and the reasons
- Number of request for changes and any trends in origination of county assembly change
- Number of implemented changes reviewed, and the size of review backlogs
- Data from previous periods (last period, last year) for comparison
- Number of RFCs rejected
- Number of changes Per category

The above reports can be used as a basis for assessing the efficiency and effectiveness of the Change Management Process within the county assembly.

6.2 Reporting Frequency

Change impact on the county assembly both on operations and resource use. This therefore requires those entrusted with implementation of change to report periodically in order to address challenges which may occur from initiation, planning, implementation and after conclusion of change.

- Change management records can be maintained through time: the qualities of availability, accessibility, interpretation and trustworthiness can be maintained for as long as the record is needed, perhaps permanently, despite changes of format.
- Change management records are secure: from unauthorized or inadvertent alteration or erasure, that access and disclosure are properly controlled, and audit trails will track all use and changes.
- Change management records are held in a robust format; which remains readable for as long as records are required
- Change management records are retained and disposed of appropriately: using consistent and documented retention and disposal procedures, which include provision for appraisal and the permanent preservation of records with archival value

5.3 Documentation and Recording of Change Management

The documentation and recording of the change management processes at the county assembly shall take one or more of the following formats:

- Digital and paper
- Photographs, slides, and other images
- Physical records (records made of physical material as notes and presentations documented in files)
- Microform (i.e. microfiche/microfilm)
- Audio and video tapes, cassettes, CD-ROM etc.
- E-mails
- Computerized records
- Scanned records
- Text messages (SMS) and social media (both outgoing from the county assembly officers and incoming responses from the stakeholders from engagement forums) such as Twitter and Skype
- Websites and intranet sites that provide key information to the staff and other stakeholders
- Manual Records (such as case notes)
- Electronic Records (such as change implementation systems)
- Pictures and videos

5.0 CHANGE MANAGEMENT RECORDING AND DOCUMENTATION

The County assembly of Kisumu shall endeavor to keep adequate records and documentation in any decisions and operations it is undertaking as these records shall be evidence of the activities it undertakes and may be used for decision making and for external parties like the regulators including; OAG, COD , The National treasury.

5.1. Guidelines on County Assembly recording and documentation

All the changes and change management processes undertaken by the County Assembly of Kisumu shall be sufficiently recorded and documented for reference. The following policies shall apply in the recording and documentation of the changes.

- The County Assembly of Kisumu shall treat the information located in its records as a valuable resource. All records shall be managed to aid efficient information retrieval, in order that they can be used as effective sources of information. Records which are vital for the institution's continuity will be identified.
- All the staff responsible for recordkeeping, and records shall be created, maintained and disposed of in a consistent way across the County Assembly using the institution's retention and disposal schedule.
- The County Assembly of Kisumu shall maintain quality by keeping appropriately complete, authentic, reliable, secure and accessible records of the change management processes, monitoring and evaluation, and review outcomes.
- The County Assembly of Kisumu shall encourage staff to develop key information management skills to support the recording and documentation of all changes undertaken within the institution.
- The county assembly's records and information on change management shall comply with regulations and legal requirements, including making information accessible to others as necessary, as well as protecting information from inappropriate or unauthorized access.

5.2. Objectives of the Change Management Recording and Documentation

The main objective of change management recording and documentation at the county assembly will be to create a culture that ensures:

- Change management records are available when needed: from which the county assembly is able to form a reconstruction of activities or events that have taken place
- Change management records can be accessed: records and the information within them can be located and displayed in a way consistent with its initial use, and that the current version is identified where multiple versions exist (clear version control process)
- Change management records can be interpreted: the context of the record can be interpreted: who created or added to the record and when, during which business process, and how the record is related to other records
- The change management records can be trusted: the record reliably represents the information that was actually used in, or created by, the institutional process, and its integrity and authenticity can be demonstrated

that may require further improvement. This information will permit the evaluation of the impact of changes, dependencies, and trends.

The data gathered shall be used to evaluate the procedure's progress, analyze whether or not the implemented change will be successful and how the change shall be adjusted. This evaluation shall be carried out using regular review meetings. The county assembly shall also conduct external evaluation to get an in-depth process analysis; this shall look at what problems and barriers exist in particular, the probable causes for these and what possible solutions might exist.

The other way to evaluate the process of an institutional change will be to carry out follow-ups of the departmental changes at regular intervals.

Change monitoring and evaluation within the assembly shall include the following;

- Recording and assessing data to validate the successes and stumbling blocks or failures of the changes within the county assembly.
- Identifying both positive and negative effects throughout the change process to provide the county assembly leadership with the information needed to determine the best course of action
- Correcting or adjusting (redirect) the changes and/or celebrating successes (which can be reproduced to influence future planned changes within the county assembly).
- Evaluation of the impact of the changes within the county assembly and propose possible improvements or adjustments.

4.3.Evaluation of Impact of change

The County assembly may determine the progress of change through an evaluation of its impact on the operations and the Human resources who are implementing the desired changes. The impacts to be evaluated shall have the following considerations:

- The changes at the county assembly may lead to low morale among the employees within the institution. If not properly handled, the low morale among the staff may negatively affect service delivery and other functions of the assembly such as legislation, representation, and oversight.
- Changes of different types and in different departments within the county assembly may lead to stress, and trauma if not well managed. This may negatively affect the assembly's functioning.
- The changes may cause fundamental distortion of the structure in the functions of the county assembly.
- Change may affect financial situation of the county assembly by occasioning unplanned costs.
- The changes change may lead to job loss and loss of income to the affected persons and departments within the assembly.
- The changes may also have the potential of triggering resistance among the assembly's employees.

4.4. Measuring Quality in the Change

One of the goals of the monitoring and review of the changes within the county assembly will be to measure quality in the changes. The change management policy outlines the procedures the county assembly shall undertake in measuring the quality in the changes. The relevant departments in collaboration with the Change Advisory Committee shall conduct an assessment of the actual outcomes from the changes through observations, surveys, and interviews and compare them against the set objectives.

Reports from the assembly's reviews will provide meaningful and concise information about past and current changes. The reports will also provide the outcomes from the changes and areas



COUNTY ASSEMBLY OF KISUMU