



— **THE PRESIDENCY** —
MINISTRY OF DEVOLUTION & ASAL

LAIKIPIA COUNTY GOVERNMENT

ANNUAL CAPACITY & PERFORMANCE ASSESSMENT (ACPA) REPORT

Conducted on:
11th & 13th - 14th December 2018



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ACRONYMS

ACPA	-	Annual Capacity and Performance Assessment
ADP	-	Annual Development Plans
CARPS	-	Capacity Assessment and Rationalization of the Public Service
CB	-	Capacity Building
CE	-	Civic Education
CEC	-	County Executive Committee
CFAR	-	County Financial and Accounting Report
CGK	-	County Government of Laikipia
CIDP	-	County Integrated Development Plan
CE&PP	-	Civic Education & Public Participation
CO	-	Chief Officer
CPG	-	County Performance Grants
EA	-	Environmental Audits
ECDE	-	Early Childhood Development Education
EIA	-	Environmental Impact Assessment
EMCA	-	Environmental Management and Coordination Act
FS	-	Financial Secretary
FY	-	Financial Year
ICT	-	Information Communication Technology
ICS	-	Interim County Secretary
IPSAS	-	International Public-Sector Accounting Standards
KDSP	-	Kenya Devolution Support Programme
KRA	-	Key Result Area
M&E	-	Monitoring and Evaluation
MAC	-	Minimum Access Conditions
MoDA	-	Ministry of Devolution and ASAL
MPC	-	Minimum Performance Conditions
NEMA	-	National Environment Management and Coordination Authority
NT	-	National Treasury
PFM	-	Public Finance Management (Act)
PM&E	-	Planning, Monitoring & Evaluation
PMS	-	Prestige Management Solutions
POM	-	Programme Operation Manual



ACKNOWLEDGMENT

The consulting team from Prestige Management Solutions Ltd wishes to thank the County Government of Laikipia Senior Management and staff who participated in the Annual Capacity and Performance Assessment. We acknowledge the County Government of Laikipia officials for their cooperation and support during the assessment. The officers made valuable contributions throughout the assessment and document review processes and provided useful information and insights to the assessors.

We also appreciate the leadership of the county led by the Governor, H. E the Hon Nderitu Muriithi, the Ag. County Secretary, Mr. Karanja Njora and KDSP focal person for both the county and KRA four, Mr. James Mathenge. Further, we also salute Julius King'ori, Charles Nderitu, Gerald Muturi, and John Letai, the focal persons of the five key result areas, without whose contribution this exercise would not have been a success.



EXECUTIVE SUMMARY

The Government of Kenya developed a National Capacity Building Framework – NCBF, in 2013 to guide the implementation of its capacity building support for county governments. The program is a key part of the government’s Kenya Devolution Support Program – KDSP- supported by the World Bank. The NCBF-MTI spans PFM, Planning and M & E, Human Resource Management, Devolution, and Inter-Governmental Relations and Public Participation.

The Ministry of Devolution and ASAL – MODA, the state department of devolution subsequently commissioned Prestige Management Solutions Limited to carry out the Annual Capacity and Performance Assessment (ACPA) in forty-seven counties in Kenya. The ACPA aims to achieve three complementary roles, namely:

- The Minimum Access Conditions (MACs)
- Minimum Performance Conditions (MPCs)
- Performance Measures (PMs)

In preparation for the assessment process, MODA carried out an induction and sensitization training to the consulting team to help them internalize the objectives of the ACPA, size of capacity and performance grants, County Government’s eligibility criteria, ACPA tool, and the ACPA assessment criteria.

This report highlights the findings of the assessment carried out by Prestige Management Solutions on the Annual Capacity Performance Assessment (ACPA) under the Kenya Devolution Support Programme (KDSP). KDSP is a Programme jointly funded by the National Government and World Bank. The overall KDSP objective is to strengthen the capacity of core national and county institutions to improve delivery of devolved functions at the County level.

The Constitution of Kenya 2010 creates a new governance structure, through rebalancing accountabilities, increasing the responsiveness, inclusiveness, and efficiency of government service delivery. It provides for multiple reforms including a strengthened legislature, judiciary, decentralization, new oversight bodies, and increased transparency and accountability to citizens.

The county governments as new institutions have within four years of existence brought in significant progress in delivering devolved services mainly consisting of health, agriculture, urban services, county roads, county planning and development, management of village polytechnics, and county public works and services.

In preparation for capacity needs of a devolved structure, the national government in consultation with the County Governments created the National Capacity Building Framework (NCBF) in 2013. In respect of Article 189 of the Constitution, multiple new laws, systems, and policies were rolled out; induction training for large numbers of new county staff from different levels of County Government was initiated focused on the new counties. The Medium Term Intervention (MTI) which provides a set of results and outputs against capacity building activities at both levels of government, and across multiple government departments and partners can be measured were instituted. These measures provide the basis for a more coherent, well-resourced and devolution capacity support, as well as by other actors. The NCBF spans PFM, Planning and M&E,



Annual Capacity & Performance Assessment Report (ACPA)

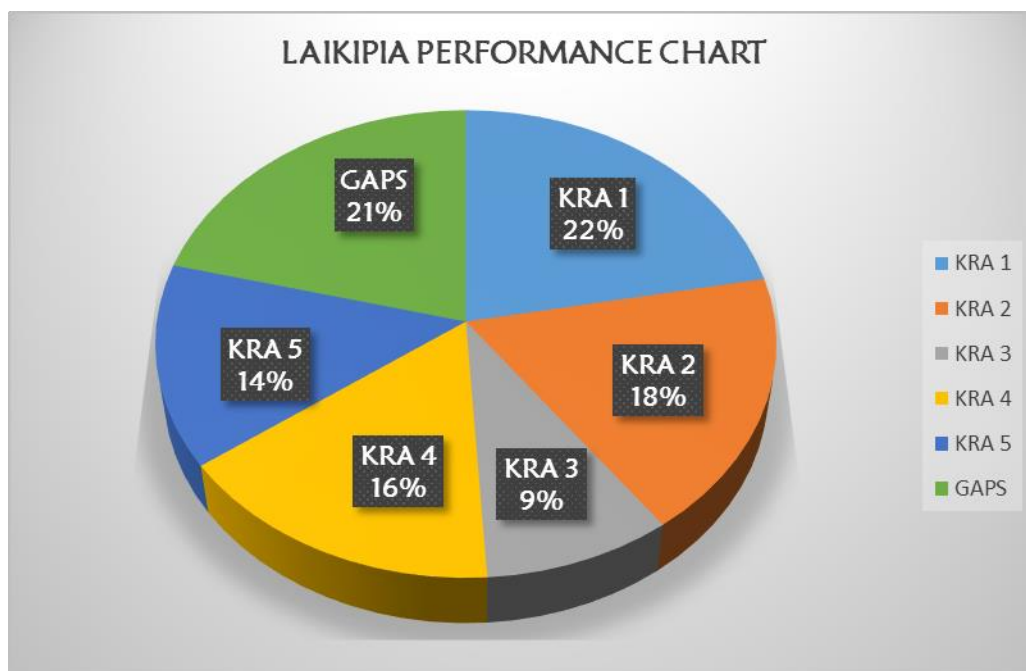
Human Resource Management, Devolution, and Inter-Governmental Relations and Public Participation.

This report documents the key issues that arose during the assessment of the County Government of Laikipia spanning from the methodology used for the assessment, time plan, and overall process, summary of the results, summary of capacity building requirements and challenges in the assessment period.

The outcome of the assessment can be summarized as follows:

ACPA Measures	Outcome
MAC	The CGM complied with all the MACs.
MPC	The CGM met 9 MPCs.

ACPA Measures	Outcome	Score
PM	KRA 1: Public Financial Management	22
	KRA 2: Planning, Monitoring and Evaluation	18
	KRA 3: Human Resources Management	9
	KRA 4: Civic Education and Participation	16
	KRA 5: Investment implementation & Social And environmental performance	14
	SCORE OVER 100	79





Achievements

The County did well in Public Financial Management measures observing the requisite schedules and submitting timely all the relevant financial reports to the regulatory authorities. Planning Monitoring and Evaluation also compiled in a number of measures with the appointment of designated Planning and M & E officer and a budget allocated for M&E activities. The CIDP projects were evaluated and a project register for all projects updated. Under the human resources measure, core staffs were appointed, job descriptions developed.

Similarly, schemes of service adhered in the recruitment and promotions, performance appraisals operationalized and records well cataloged. Equally well performed are civic education and environment and social safeguards.

Weaknesses

Key areas of weakness were noted across sectors as follows;

In public Finance management, internal audit committee was not appointed; Procurement reports were also not submitted to PPRA as required in FY2017/18 which is quarterly but they were rather submitted annually.

In the planning and M&E, it was noted that CAPR for 2016/ was not used to inform the ADP for FY 2017/18.

HR similarly had not operationalized performance contracts and service re-engineering The Civic education and public participation unit were not well-structured there were improper records keeping.

For the environment and Social Safeguards, the county did not comply with conducting EIA on projects that were undertaken in most departments.

Areas of Improvement

- Record Management
- Organizational structure and scoping of departments
- Citizen complaints unit
- Human resource on skills and competency frameworks
- Adherence to NEMA guidelines in project implementation

2.0 Introduction

The Government of Kenya, together with Development Partners, has developed a National Capacity Building Framework (NCBF) that framed efforts to build capacity around the new devolved governance arrangements. The NCBF covers both national and county capacity whose intent was to support capacity building to improve systems and procedures through performance-based funding for development investments over a period of five years starting from January 2016.

The Kenya Devolution Support Program (KDSP) was designed on the principles of devolution that recognizes the emerging need to build capacity and deepen incentives for national and county governments to enable them to invest in activities that achieve intended results in the NCBF KRAs. This program is not only expected to build institutional, systems and resource capacity of the county institutions to help them



deliver more effective, efficient, and equitable devolved services but also to leverage on the equitable share of the resources they receive annually.

During the first two years of devolution, under the NCBF, the national government put in place multiple new laws and policies and systems, rolled out induction training for large numbers of new county staff from different levels of county government, and initiated medium-term capacity initiatives focused on the new counties.

The framework, therefore, provides a set of results and outputs against which capacity building activities at both levels of government, and across multiple government departments and partners are measured. Further, it also provides the basis for a more coherent, well-resourced and coordinated devolution capacity support across multiple government agencies at national and county levels, as well as by other actors.

The overall objective of the NCBF is “to ensure the devolution process is smooth and seamless to safeguard the delivery of quality services to the citizenry.” The NCBF has five pillars namely;

- Training and Induction; Technical Assistance to Counties;
- Inter-governmental Sectoral Forums;
- Civic Education and Public Awareness; and
- Institutional Support and Strengthening.

2.1 Key Results Areas

The MTI defines priority objectives, outputs, activities, and budgets for building devolution capacity across 5 KRAs as follows;

- **KRA 1 - Public Financial Management:** (i) Country Revenue Management; (ii) Budget preparations and approval of program based; (iii) IFMIS budget support Hyperion module compliance (iv) Financial Accounting timeliness preparation, Recording and Reporting; (v) Procurement adherence to IFMIS processes and procurement and disposal Act 2012; and (vi) Internal and External Audit reductions of risks and value for money;
- **KRA 2 - Planning and Monitoring and Evaluation:** (i) County Planning and updated County Integrated Development Plan (CIDP) Guidelines; and (ii) County M&E – including County Integrated Monitoring & Evaluation System (CIMES) guidelines;
- **KRA 3 - Human Resources and Performance Management:** (i) County Developing county staffing plans; (ii) competency frameworks, efficient systems, processes and procedures, and performance management systems;
- **KRA 4 – Devolution and Inter-Governmental Relations:** (i) introduction of a new performance-based conditional grant; (ii) Investment management including Social and Environmental safeguards;
- **KRA 5 - Civic Education and Public Participation:** (i) civic education; and (ii) public participation, including means to enhance transparency and accountability;

For each of these KRAs, the NCBF-MTI defines both national and county level results, as well as key outputs and activities. The Performance and capacity grants to counties are thus critical to devolution capacity building as they define key capacity results at the county level, regularly assess progress, and strengthen incentives for counties to achieve these results. In turn, counties that manage to strengthen these key PFM, human resource and performance management (HRM), planning and M&E, and citizen



education and public participation capacities will be better equipped to manage county revenues and service delivery, achieve county development objectives, and access other sources of development financing

2.2 The Program Development Objective (PDO)

The broad objective is to strengthen the capacity of core national and county institutions to improve delivery of devolved services at the county level. The Key Program Principles are:

- i) Result based Disbursements- Disbursement of funds follow a set of national and county level results which are well defined and converted into measurable indicators;
- ii) Strengthening Existing Government Systems. All program activities are aligned to existing departmental and county level planning and budgeting system including monitoring and evaluation. Counties are expected to develop implementation reports and financial reports that provide details of capacity building activities completed against the annual capacity building plans and investment grants;
- iii) Support the National Capacity Building Framework. The KDSP supports the implementation of the NCBF through a complementary set of activities. Since 2013, both National Government and Development Partners have designed and implemented a range of activities to support the achievement of NCBF results. The program has established mechanisms by:
 - a) Introducing a robust annual assessment of progress towards NCBF and MTI results to better inform government and development partner activities;
 - b) Building on ongoing National Government capacity building activities to deliver a more comprehensive, strategic and responsive package of activities;
 - c) Strengthening the design, coordination, targeting, and implementation of counties' own capacity building activities;
 - d) Strengthening the linkage between capacity building 'inputs' and capacity 'outputs' through stronger incentives for improved performance;
- iv) Funds Flow to strengthen the inter-governmental fiscal structure. The program supports fund transfer directly to counties realizing the vision of government to facilitate fiscal transfers through performance grant from the national government to counties;
- v) Independent assessment of results. The Program supports the Annual Capacity & Performance Assessment (ACPA), strengthening of the timeliness and coverage of the audit of the counties' financial statements, which are important inputs to the performance assessments.
- vi) It is against this backdrop that the third annual capacity performance assessment was carried out

2.3 The specific objectives.

The specific objectives of the assessment are to –

- a) Verify compliance of the counties with key provisions of the laws and national guidelines and manuals such as the Public Financial Management Act, 2012, the



County Government Act and other legal documents;

- b) Verify whether the audit reports of the OAG of the counties follow the agreements under the KDSP, which is important for the use of findings in the ACPA;
- c) Measure the capacity of county governments to achieve performance criteria derived from the core areas of the NCBF;
- d) Use the system to support the determination of whether counties have sufficient safeguards in place to manage discretionary development funds and are therefore eligible to access various grants, such as the new CPG;
- e) Promote incentives and good practice in administration, resource management, and service delivery through show-casing the good examples and identifying areas which need improvements;
- f) Assist the counties to identify functional capacity gaps and needs;
- g) Provide counties with a management tool to be used in reviewing their performance, and to benchmark from other counties, as well as focusing on performance enhancements in general;
- h) Enhance downwards, horizontal and upward accountability, encourage and facilitate closer coordination and integration of development activities at the county level;
- i) Contribute to the general monitoring and evaluation (M&E) system for counties and sharing of information about counties' operations.

This performance assessment has thus covered the counties' compliance with a set of minimum access conditions (MACs) for access to grants (MCs), a set of Minimum Performance Conditions (MPCs) and set of defined Performance Measures (PMs), which are outlined in the Annual Capacity & Performance Assessment Manual (ACPA) that was provided to the consultant by KDSP Secretariat prior to the start of the ACPA. To ensure the credibility of the collated data, the quality assurance team moderated with precision to validate the evidence to ensure accountability and ownership of the reports by all players.

The results obtained from the assessment is therefore credible for use in guiding the analysis and in the determination of the counties actual grant allocations for FY 2018/2019 in capacity building and investment. The data similarly will be used to establish a baseline for review of the tool and setting targets of the future performance measures.

The Annual Capacity and Performance Assessment (ACPA)

The Ministry of Devolution and ASAL annually procure an independent Consultant firm to carry out the assessment of the counties on three sets of indicators:

1. Minimum Access Conditions;
2. Minimum Performance Conditions, and
3. Performance Measures.



The Performance Measures are drawn from the NCBF-Medium Term Interventions were further refined through an extensive design process involving many agencies and stakeholders within the counties. These measures were designed vis -a -vis other complementary measures namely; the Fiduciary Systems Assessment and the Environmental and Social Systems Assessment which addresses key gaps and capacity needs.

Although significant capacity building resources have been mobilized by government and external partners, it has proven quite difficult to measure the effectiveness of the inputs provided, as well as to make sure that capacity building resources are channeled to where they are most needed. Arising from these challenges, the KDSP introduced Annual Capacity and Performance Assessment (ACPA) methodology which combines self-assessment of the counties with an external assessment conducted by an independent firm.

The self-assessment helps counties to familiarize with capacity building interventions that address the unique gaps of each county. The external assessment is conducted annually to establish linkages of funding and performance. Similarly, it plays a number of complementary roles which include:

- a) Evaluating the impact of capacity building support provided by national government and development partners under the NCBF
- b) Informing the design of capacity building support to address county needs;
- c) Informing the introduction of a performance-based grant (the Capacity & Performance Grant, which was introduced from FY 2016/17) to fund county executed capacity building and
- d) To increase the incentives for counties to invest in high priority areas

Annual Capacity and Performance Assessment Process

The ACPA process started in June 2016 when the participating counties conducted the Self-Assessment exercise. The process was guided by the National Government technical team that inducted county government on the participation of the KDSP. It forms the basis of capacity building plans for FY 2016/17. The FY 2017/18 assessment was carried out by Prestige Management that started on November 5th to 14th December 2018. All 47 counties were assessed in accordance with the TOR, similar instruments were administered and all other agreed procedures followed.

Therefore, the report is credible and recommended for use by the Government and the development partners in the determination of the counties that qualify for the capacity building and investment grants for the FY 2018/2019. In the event, a count is dissatisfied with the outcome a window of 14 days is granted to file an appeal

3.0 Methodology & Assessment Team

The assignment was carried out in line with the terms of reference set out by the client and agreed during the inception reporting. To agree on the assignment methodology and approach, the consultants presented an inception report on 11th October 2018 to the client, which gave a clear pathway in the implementation of the project.



The Inception report elucidated the processes of the mobilization, literature review to study secondary data, primary data collection through field visit and its collation and presentation of the draft report to the client for review and acceptance. In the technical proposal, Prestige Management Solutions Limited presented this methodology to the Ministry of Devolution and ASAL, State Department of Devolution which was considered. These stages are as follows;

3.1 Literature Review

The consultants reviewed several documents to appreciate the context under which the project was conceived and the level of achievement to date. The literature review provided adequate background for the consultants, as to the genesis of the Kenya Devolution Support Programme.

The consultants reviewed several documents authored by the World Bank, to establish the relevance of the project in support of their capacity to access performance grant. A number of these documents formed the built up to the formulation of the performance assessment tool.

The consultants reviewed the applicable laws as well as the World Bank Capacity Building framework, which formed the background literature and framework for the assessment tool. The consultants noted that various World Bank reports including its Capacity Building Results Framework would be instrumental in supporting the process of capacity building.

Briefly, the following contents within the ACPA manual: The Minimum Access Conditions, the Minimum Performance Conditions, and the Performance Measurements. Ministry Official stressed the need for consultants to document challenges witnessed during the field work which could affect the outcome of the assignment. It was observed that the consultants would need to keep a close working relationship with the Ministry of Devolution to quickly respond to emerging issues, on areas where interpretation needed further clarification.

3.2 Mobilization

The assessment commenced with a mobilization meeting between members of Prestige Management Solutions Ltd team and representatives from the Ministry of Devolution and ASAL. At this meeting, Prestige Management Solutions presented the methodology for consideration: -

- i) The methodology highlighted each stage of the assignment and the scope of the Annual County Performance Assessment, interpretation, and understanding of the Terms of reference, assessment objectives and also proposed other parameters that will enhance the objective of the study, outputs expected & Identification of gaps including existing data to measure the standards.
- ii) Collate background information and relevant material such as existing audit reports, laws and regulations, the operations manuals and relevant records that would ideally assist the consultant in attaining her objective.
- iii) Proposed and agreed on the schedule dates for the field works
- iv) Assessment of key implementation challenges and risks among others



3.3 Sensitization Workshop

- i) Following the submission of the Inception reporting, the consultants were inducted on the contents of the ACPA data collection tools. The workshop was conducted at the Ministry of Devolution offices at the Bazaar Towers. The officials from the Ministry involved in the training were familiar with the tool having conducted similar inductions for Counties' staff. The sensitization workshop took two days and covered the background of the assignment and the detailed assumptions underlying the tool.
- ii) The project Coordinator mobilized all the team leader's/assessors consultants involved in the assignment. The team leaders took the assessors through the necessary documents including the capacity assessment tool. The assessors were also facilitated to access relevant documents to help them prepare for the assignment. As part of the preparation for the assignment, the assessors were exposed to County Governance and reporting requirements.

a) Entrance Meeting

The PMS and County Government of Laikipia staff held the entrance meeting on Tuesday, 11th Dec 2018 at the County Agriculture boardroom at 9.00 am that was chaired by the County Secretary Mr. Karanja Njora and an opening prayer by Mr. Gerald Mwangi. The CS, Mr. Karanja Njora called upon the staff to corporate during the exercise.

The details of the entrance meeting are highlighted in annex 1.

b) Data Administration

Data collection commenced on Tuesday, 11th Dec 2018 at 10 am. The consultants administered the assessment tool within three (3) working days with a holiday break in between. The consultant engaged with key CGLK staff and KRA focal persons from various sectors who were knowledgeable in areas that related to the ACPA.

The consultants collected data through the administration of the KDSP tool, observation, desk top review of secondary data as well as an interview method to get information from the officers. They also logged into the website to check uploaded documents. They reviewed the Existing County Integrated Development Plan – CIDP, Annual Development Plans (ADP), Budget, Financial Reports, EIA reports, key project documents, policy documents, strategies, and departmental reports to check whether they complied with underlying laws, regulations ACPA participation and assessment guidelines. They also logged into the website to confirm whether the documents were uploaded. The consultants also visited six project sites: a theatre wing at Lumuria sub-county hospital, an ECDE centre at Reteti primary school, KMTC wing at Nanyuki referral hospital, a chiller room at Nanyuki slaughterhouse, upgrading of Jogoo castle road and Tangi nyeusi water project which was projects done by the CGLK.

c) Exit Meeting-Debriefing

The exit meeting was held on 14thDec 2018 at the County Assembly of Laikipia Chambers boardroom at 4:00 pm that was chaired by the County Secretary Mr. Karanja Njora and an opening prayer by the focal person Mr. Maina Mathenge. The details highlights of the debrief is shown in Annex 2



Time plan

Activity	11/12/2018	13/12/2018	14/12/2018	14/12/2018
Entry meeting				
Assessing the Minimum Access Conditions				
Assessing minimum Performance Measures				
Assessing Performance Measures				
Exit Meeting				
Preparing Report				



4.0 SUMMARY OF RESULTS

The summary of the results of the assessments is provided in tables 4.1, 4.2 and 4.3 below by MACs, MPCs, and PMs respectively.

4.1 Minimum Access Conditions (MACs)

The summary of results for Minimum Access Conditions is shown in table 4.1 below;

Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments from WB/KDSP	Assessment Met/ Not Met	Detailed Assessment Finding
1. County signed a participation agreement	To ensure that there are ownership and interest from the county to be involved in the Program, and to allow access to information for the AC&PA teams.	Signed confirmation letter/expression of interest in being involved in the Program MoV: Review the confirmation letter against the format provided by MoDA in the Program Operational Manual (POM).	All counties have already signed participation agreements; no need to verify compliance.	MET	The County signed a participation agreement
2. CB plan developed	Is needed to guide the use of funds and coordination. Shows the capacity of the county to be in driver's seat on CB.	CB plan developed for FY 2017-18 according to the format provided in the Program Operational Manual/Grant Manual (annex). MoV: Review the CB plan, based on the self- assessment of the KDSP indicators: MACs, MPC and PMs, and compared with the format in the POM /Grant Manual (annex).	To be verified <u>independently</u> and <u>NOT</u> as part of ACPA 3. That said, ACPA team should request for copies of implementation reports of the capacity building grants	MET	Duly completed CB plan for 2016/2017 signed and stamped on 28/06/2017 by then Ag. County Secretary Charles Nderitu and the Head of Public Participation (Focal Person) as per evidence CGLK/01/01 They are still using the 2016/2017 CB plan because money was released in the FY 2017/2018 for implementation of the previous CB plan The CB Plan was developed according to the standards of



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Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments from WB/KDSP	Assessment Met/ Not Met	Detailed Assessment Finding
					program operational manual as the MAC's, MPC's and PM's are all included
3. Compliance with the investment menu of the grant	Important to ensure the quality of the CB support and targeting of the activities.	<p>Compliance with investment menu (eligible expenditure) of the Capacity Building Grant released to counties in FY 2016-17 & 2017-18 documented in progress reports.</p> <p>MoV: Review of grant and utilization – progress reports. Reporting for the use of CB grants for the previous FYs in accordance with the Investment menu</p>		MET	<p>The level 1 funds were utilized as per the investment menu as per the evidence CGLK/06/01 Amount received Ksh 38,403,464</p> <p>Utilization:</p> <p>PFM Ksh 6,445,802 PME Ksh. 5,508,846 HRM Ksh. 4,880,250 CEPP Ksh. 18,890,900 ESS Ksh. 1,269,250 Total Ksh 36,995,048 = Absorption was 96.3%</p>
4. Implementation of CB plan	Ensure actual implementation.	<p>Minimum level (70% of FY 16/17 plan, 75% of FY 17/18 plan, 80% of subsequent plans) of implementation of planned CB activities by end of FY.</p> <p>MoV: Review financial statements and use of CB + narrative of activities (quarterly reports and per the Grant Manual).</p>		MET	<p>94% of CB plan activities were implemented as per evidence CGLK/06/01</p> <p>Utilization:</p> <p>PFM Ksh 6,445,802 PME Ksh. 5,508,846 HRM Ksh. 4,880,250 CEPP Ksh. 18,890,900 ESS Ksh. 1,269,250 Total Ksh 36,995,048 = Absorption was 96.3%</p>



4.2 Minimum Performance Conditions

The summary of results for Minimum Performance Conditions is as shown in table 4.2 below

Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
Minimum Access Conditions complied with					
1. Compliance with minimum access conditions	To ensure minimum capacity and linkage between CB and investments.	Compliance with MACs. MoV: Review of the conditions mentioned above and the MoV of these.	At the point of time for the ACPA	MET	The county complied with all the MACs above
Financial Management					
2. Financial statements submitted	To reduce fiduciary risks	Financial Statements (for FY 2016-17) with a letter on documentation submitted to the Kenya National Audit Office by 30th September 2017 and National Treasury with required signatures (Internal auditor, heads of accounting unit etc.) as per the PFM Act Art.116 and Art. 164 (4). This can be either individual submissions from each department or consolidated statement for the whole county. If individual statements are submitted for each department, the county must also submit consolidated statements by 31 st October 2017. The FS has to be in an auditable format. MoV: Annual financial statements (FSs), submission letters to Office of the Auditor	3 months after the closure of the FY (30 th of September 2017). Complied with if the county is submitting individual department statements: 3 months after the end of FY for department statements and 4 months after the end of FY for the consolidated statement. If the council is only submitting a consolidated statement: Deadline is 3 months after the end of FY	MET	The Executive Financial statement for FY 2016/2017 was submitted to the County assembly on 28/09/2017 as per evidence CGLK/01/04 The Executive financial statement for the FY 2017/2018 was submitted on 28/09/2018 as per evidence CGLK/01/02 The consolidated financial statement for FY 2017/2018 was submitted on 31/10 2018 to the AOG as per evidence CGLK/01/01 All financial statements were in an auditable format



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
		General (OAG) + records in OAG.			
3. Audit opinion does not carry an adverse opinion or a disclaimer on any substantive issue	To reduce fiduciary risks	The opinion in the audit report of the financial statements for county executive for FY 2016-17 cannot be adverse or carry a disclaimer on any substantive issue. MoV: Audit reports from the Office of the Auditor General.	Audit reports <u>cannot</u> be with a disclaimer or adverse opinion (increased demands) – <u>no exceptions</u> As per program requirements, the assessment will rely on the audit opinion as at the time they are tabled by OAG to parliament.	MET	In the FY 2016/2017, the executive had a QUALIFIED opinion as per evidence CGLK/01/06
Planning					
4. Annual planning documents in place	To demonstrate a minimum level of capacity to plan and manage funds	CIDP, Annual Development Plan (for FY 2017-18) and budget (for FY 2017-18) approved and published (on-line). (Note: The approved versions have to be the version published on county website) (PFM Act, Art 126 (4). MoV: CIDP, ADP, and budget approval documentation, minutes from council meetings and review of county website.		MET	The CIDP for 2013-2017 was signed by the Governor Hon. Joshua Irungu and CECM Joel Wamichwa as per evidence CGLK/02/01 and was approved by the county assembly on 10/12 /2013 as per evidence CGLK/02/04 The ADP for FY 2017/2018 was stamped by the county assembly on 30/09/2016 as per evidence CGKR/02/02 The budget was received by County Assembly on 23/03/2017 and the budget county appropriation act was passed on 30/06/2017 as per evidence CGLK/02/03 and CGLK/02/05 respectively The CIDP, ADP, and Budget are uploaded on the county website



Annual Capacity & Performance Assessment Report (ACPA)

Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
Use of funds in accordance with Investment menu					
<p>5. Adherence with the investment menu</p> <p>ONLY APPLIES TO 13 COUNTIES WHICH RECEIVED LEVEL 2 GRANTS FOR FY 2017-18</p> <p>Busia, Nyandarua, Kiambu, Baringo, Makueni, Kisii, Laikipia, Siaya, Narok, Kirinyaga, Kajiado, Garissa and Mandera</p>	<p>To ensure compliance with the environmental and social safeguards and ensure efficiency in spending.</p>	<p>Project proposals for use of FY 2017-18 Level 2 grants) are fully consistent with the investment menu (eligible expenditures and non-eligible expenditures) as defined in the PG Grant Manual.</p> <p><u>MoV:</u> Project proposal for current ACPA (i.e. Nov 2018). For the next ACPA. Review financial statements against the grant guidelines. Check up on use of funds from the C&PG through the source of funding in the chart of accounts (if possible through the general reporting system with Source of Funding codes) or special manual system of reporting as defined in the Capacity and Performance Grant Manual)</p> <p>Review budget progress reports submitted to CoB.</p>	<p>Please have the list of 13 counties that qualified for level -2 grant</p> <p>N.B. The first level 2 grants were granted in FY17/18 even though released in early FY18/19</p>	MET	<p>Proposed utilization of level 2 funds (Ksh. 111,140,605) has been forwarded to the County Assembly for consideration in the supplementary budget as per evidence CGLK/06/03</p> <p>Proposals:</p> <ul style="list-style-type: none"> • Revenue office rehabilitation and purchase of ICT equipment Ksh. 6,040,605 • Refurbishment and equipping LCDA offices Ksh 7,100,000 • HIS for universal health Ksh. 20,000,000 • Smart town initiative Ksh. 60,000,000 • Mutitika bridge chemanei Ksh. 10,000,000 • EIA and social safeguards audit Ksh. 6,000,000 • Security installation at Governor's residence Ksh. 2,000,000 <p>Total Ksh. 111,140,605</p>
Procurement					
<p>6. Consolidated Procurement plans in place.</p>	<p>To ensure procurement planning is properly coordinated from the central procurement unit instead of at departmental, and to ensure sufficient capacity to handle</p>	<p>Updated consolidated procurement plan for executive and for assembly (or combined plan for both) for FY 2017-18.</p> <p><u>MoV:</u> Review procurement plan of each procurement entity and county consolidated</p>	<p>The situation during FY 2017-18 to be assessed. ACPA to identify last budget revision for FY 2017-18 and then assess whether the consolidated procurement plan existed and was updated. (Emphasis should</p>	MET	<p>The executive had an updated consolidated procurement plan as per evidence CGLK/01/15 and it was submitted to PPRA on 17/07/2017 as per evidence CGLK/01/15</p> <p>The procurement plan encompasses the needed projects and adherence</p>



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
	discretionary funds.	<p>procurement plan and check up against the budget whether it encompasses the needed projects and adherence with procurement procedures.</p> <p>The procurement plan(s) will have to be updated if/and when there are budget revisions, which require changes in the procurement process.</p> <p>Note that there is a need to check both the consolidated procurement plan for 1) the assembly and 2) the executive, and whether it is revised when budget revisions are made.</p>	be on the Executive procurement plan 17/18)		to procurement procedures.
Core Staffing in Place					
7. County Core staff in place	To ensure minimum capacity in staffing	<p>Core staff in place (see also County Government Act Art. 44).</p> <p>The following staff positions should be in place:</p> <ul style="list-style-type: none"> • Procurement officer • Accountant • Focal Environmental and Social Officers designated to oversee environmental and social safeguards for all subprojects • M&E officer <p><u>MoV:</u> Staff organogram, schemes of service to review</p>	At the point of time for the ACPA.	MET	<p>The following core staff is in place:</p> <ul style="list-style-type: none"> • The M&E officer, Charles Nderitu, was appointed on 9/02/2015. He holds an MA in Economics from the University of Nairobi and a Bachelor of Arts from Egerton University. The job description was attached to the appointment letter as per evidence CGLK/03/09 • The procurement officer, Mary Wanjiru, was appointed on 31/08/2016. She holds a Bachelor's Degree in Procurement from Inoorero



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		<p>the qualifications against requirements (hence the staff needs to be substantive compared to the schemes of service), sample check salary payments, job descriptions, interview, and sample checks. Staff acting in positions may also fulfill the conditions if they comply with the qualifications required in the schemes of service.</p>			<p>University. Her KISM No. is 65790. The job description was attached to the appointment letter as per evidence CGLK/03/13</p> <p>The Environment officer, John Letai, was appointed on 29/11/2017. He holds a B.Sc in Range Management from the University of Nairobi. The job description was attached to the appointment letter as per evidence CGLK/03/14</p> <ul style="list-style-type: none"> The accountant Daniel Ngumi, was appointed on 20/12/2013. He is a holder of M.Sc.in Commerce (Finance & Accounting) from KCA University and a Bachelor of Arts from the University of Nairobi. His ICPAK Membership No. 8207. The job description was attached to the appointment letter as per evidence CGLK/03/08 <p>The county had an organogram as per evidence CGLK/03/12</p> <p>The county had a scheme of Service for Accountant, Supply chain Management Personnel, Economist/statistician and Water, Environment and Natural Resource as per evidence CGLK/03/15</p>



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
Environmental and social Safeguards					
<p>8 Functional and Operational Environmental and Social Safeguards Systems (i.e. screening/vetting, clearance/ approval, enforcement & compliance monitoring, documentation & reporting) in place.</p>	<p>To ensure that there is a mechanism and capacity to screen environmental and social risks of the planning process prior to implementation, and to monitor safeguard during implementation.</p> <p>To avoid significant adverse environmental and social impacts</p> <p>To promote environmental and social benefits and ensure sustainability</p> <p>To provide an opportunity for public participation and consultation in the safeguards process (free, prior and informed consultations – FPIC)</p>	<ol style="list-style-type: none"> Counties endorse, ratify and comply with the environmental and social management system to guide investments (from the ACPA starting September 2016). MOV: NEMA Certification of subprojects. Relevant county project documents. Appointed environmental and social focal points are actively involved in screening, overseeing comprehensive and participatory ESMPs for all KDSP investments. MOV: (ACPA 3) relevant county project documents. All proposed investments are screened* against a <u>set of environmental and social criteria/checklist</u>, safeguards instruments prepared. (Sample 5-10 projects). (From the second AC&PA, Sept. 2016). ESIAs or detailed ESMPs are developed for all investments drawing on inclusive public 	<p>Note that the first installment of the expanded CPG investment menu covering sectoral investments starts from July 2017 (FY 2017/18). Hence some of the conditions will be reviewed in the ACPA prior to this release to ascertain that capacity is in place at the county level, and other MPCs will review performance in the year after the start on the utilization of the expanded grant menu (i.e. in the 3rd AC&PA, see the previous column for details).</p> <p>Please ensure that the teams possess the environmental and social criteria/checklist—see program operations manual</p>	MET	<ol style="list-style-type: none"> The County EIA licenses for some projects were availed. Focal person John Letai, was appointed on 29/11/2017. He holds a BSc in Range Management from the University of Nairobi. In the FY 2017/2018, the county used the EMCA guidelines to screen their projects as per evidence. There was no project which had been undertaken in the FY 2017/2018 that required resettlement of citizens. EIA report of 2 projects was sampled as per evidence CGLK/05/03 and are listed below; <ol style="list-style-type: none"> Proposed mirera dam at Malula Location as per evidence CGLK/05/03/a Proposed Doldol dam at Doldol Sub-county as per evidence CGLK/05/03/b The Environment committee is made up of 23 members and was gazetted on 20/04/2018 gazette # Vol CXX- No. 47 as evidence CGLK/05/01



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
		<p>consultations on E&S impacts of specific investments. All proposed investments are located on properly registered public land, and where necessary, proper land acquisition and compensation procedures are followed and Abbreviated Resettlement Action Plans (ARAPs) are developed and implemented for all involuntary resettlement or livelihood impacts.</p> <p>MOV:</p> <ul style="list-style-type: none"> • Required safeguard instruments prepared and approved by the relevant authorities. • Proper land acquisition procedures were followed¹ <p>5. Operational/functioning County Environment Committee (either set up as per EMCA or technical committee established by the County Government). MoV: Evidence of</p>			

¹If it is World Bank-funded, this means compliance with OP4.12. If it is using national systems, this means national law, including the Community Land Act.



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
		gazettelement or appointment of members and meeting minutes.			
9 Citizens' Complaint system in place	To ensure a sufficient level of governance and reduce risks for mismanagement.	<p>Established an Operational Complaints Handling System including:</p> <ul style="list-style-type: none"> Formally approved and operational grievance handling mechanisms to handle complaints pertaining to the administrative fiduciary, environmental and social systems (e.g. complaints/grievance committee, county Ombudsman, county focal points etc.) <p><u>MoV:</u> Proof of formal establishment and operations of complaints handling system (more than half of the below):</p> <ul style="list-style-type: none"> formal designation of responsible persons and their functions in complaints handling standards, guidelines or service charters that regulate how complaints are handled register(s) of complaints 	At the point of time for the ACPA.	MET	<p>There was a complaint handling system which handled both complaint and grievances.</p> <p>The committee was formed in 28/02/2018 as per evidence CGLK/04/01 and minutes for their sittings were given as per evidence CGLK/04/02</p> <ul style="list-style-type: none"> The county had a compliment, complaint and suggestion box The county had a complaint self-registration form and register to collect complaints from the citizen as per evidence CGLK/04/07 The grievance redress mechanism was in place as per evidence CGLK/04/05 There was a designated focal person for the unit, James Mathenge who was appointed on 19/10/2017 as per evidence CGLK/03/16 The County had public participation Act 2014 as per evidence CGLK/04/03/a and the popular version was done



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments from WB/KDSP	Assessment met/ not met	Detailed assessment findings
		<p>and actions taken on them</p> <ul style="list-style-type: none">• Minutes of meetings in which complaints handling is discussed within the internal framework for handling complaints.• Reports/communication to management on complaints handled• Evidence of a feedback mechanism to the complainant on the progress of complaint. <p><i>See also County Government Act Art. 15 and 88 (1)</i></p>			<p>on August 2018 as per evidence CGLK/04/03/b</p>



4.3 Performance Measures (PMs)

The summary of results for Performance Measures (PMs) is as shown in table 4.3 below

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
KRA 1: Public Financial Management							
Max score: Maximum 30 points.							
<i>Strengthened budget formulation, resource mobilization, and allocation</i>							
1.1	Program Based Budget prepared using IFMIS and SCOA	Budget format and quality	The annual budget approved by the County Assembly is: a) Program Based Budget format. b) A budget developed using the IFMIS Hyperion module.	Review county budget document, IFMIS up-loads, the CPAR, 2015. Check use of Hyperion Module: all budget submissions include a PBB version printed from Hyperion (submissions may also include line item budgets prepared using other means, but these must match the PBB budget – spot check figures between different versions).	Maximum 2 points. 2 milestones (a & b) met: 2 points 1 of the 2 milestones met: 1 point	2	a. It is a program based budget was received by the County Assembly on 28/03/2017 as per evidence CGLK/02/03 b. It is developed using IFMIS Hyperion module (CGLK/02/01) but forwards it to Director of IFMIS at NT for uploading to the system as per evidence CGLK/02/06
1.2		The budget process follows a clear budget calendar	Clear budget calendar with the following key milestones achieved: a) Prior to the end of August the CEC member for finance has issued a circular to the county government entities with guidelines to be followed; b) County Budget review and outlook paper – submission by county treasury to CEC by 30	PFM Act, art 128, 129, 131. Review budget calendar, minutes from meetings (also from assembly resolutions) circular submission letters, county outlook paper, minutes from meetings and Financial Statements.	Max. 3 points If all 5 milestones (a-e) achieved: 3 points If 3-4 items: 2 points If 2 items: 1 point If 1 or 0 items: 0 points.	3	a) The CECM Finance issued a circular on 11 th August 2016 as per evidence CGLK/02/07 b) CBROP was submitted by County Treasury to CEC on 23/09/2016 and to the County Assembly on 29/09/2016 as per evidence CGLK/02/08 and CGLK/02/09 respectively c) CFSP was submitted by CECM Finance to the County Secretary on 16 th



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
			<p>September to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15th October.</p> <p>c) County fiscal strategy paper (FSP) – submission (by county treasury) of county strategy paper to county executive committee by 28th Feb, County Treasury to submit to county assembly by 15th of March and county assembly to discuss within two weeks after the mission.</p> <p>d) CEC member for finance submits budget estimates to county assembly by 30th April latest.</p> <p>e) County assembly passes a budget with or without amendments by 30th June latest.</p>				<p>December 2016 and to county assembly on 23/12/2016 as per evidence CGLK/02/09 and CGLK/02/09 respectively.</p> <p>d) The budget estimates were submitted to the County assembly on 23/12/2018 by the CECM finance as per evidence CGLK/02/09 and the discussion was held on 14/06 2017 detailed in Budget & Appropriation Report as per evidence GLK/02/10.</p> <p>e) The budget was approved on 29/06/2017 as per evidence CGLK/02/05</p>
1.3		The credibility of budget	<p>a) Aggregate expenditure out-turns compared to original approved budget.</p> <p>b) Expenditure composition for each sector matches budget</p>	Review the original budget and the annual financial statements, budget progress reports, audit reports, etc. Use figures from IFMIS (general ledger report at	Max. 4 points. <u>a)</u> : If expenditure deviation between total budgeted expenditures and total exp. in the	3	The total budget was 5,097920,537.00 and the Aggregate expenditure was 4,341,899.65 hence the variation of 1,280,284,411. This was a deviation of 16%



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
			allocations (average across sectors).	department (sub-vote) level).	<p>final account is less than 10 % then 2 points.</p> <p>If 10-20 % then 1 point.</p> <p>More than 20 %: 0 points.</p> <p><u>b)</u>: If the average deviation of expenditures across sectors is less than 10 % then 2 points.</p> <p>If 10-20 % then 1 point.</p> <p>More than 20 %: 0 point.</p>		<p>as per evidence CGLK/02/11 Total sector Budgets=5,710,000,000</p> <p>Total Sector Expenditure =5,560,610,000</p> <p>Deviation =149,390,000</p> <p>The percentage deviation was 2.61%</p> <p>The average deviation of expenditure across the sector was 2.6%</p>
Revenue Enhancement							
1.4	Enhanced revenue management and administration	Performance in revenue administration	Automation of revenue collection, immediate banking and control system to track collection.	Compare revenues collected through automated processes as % of total own source revenue.	<p>Max: 2 points.</p> <p>Over 80% = 2 points</p> <p>Over 60% = 1 point</p>	1	<p>The revenue is not fully automated. Some payment was made manually.</p> <p>The total automated revenue was Ksh 255,079,039, while total Own Source Revenue was Ksh 349,050,683</p> <p>The automated revenue was 73.08 % as per evidence CGLK/01/14</p>
1.5		Increase on a yearly basis in own-source revenues (OSR).	% increase in OSR from last fiscal year but one (the year before the previous FY) to previous FY	Compare the annual Financial Statement from two years. (Use of nominal figures including inflation etc.).	<p>Max. 1 point.</p> <p>If the increase is more than 10 %: 1 point.</p>	1	<p>In the FY 2015/2016, the OSR was 349,971,452.00, while in FY 2016/2017 it was 468,766,451.00 as per evidence CGLK/01/05. This is</p>



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
							a variance of 118,794,999, which was an increase of 33.94%as per evidence CGLK/01/05
Enhanced capacity of counties on execution (including procurement), accounting and reporting							
1.6	Reporting and accounting in accordance with PSASB guidelines	Timeliness of in-year budget reports (quarterly to Controller of Budget).	<p>a) Quarterly reports submitted no later than one month after the quarter (consolidated progress and expenditure reports) as per format in CFAR, submitted to the county assembly with copies to the controller of the budget, National Treasury and CRA.</p> <p>b) Summary revenue, expenditure and progress report is published in the local media/web-page.</p>	<p>Review quarterly reports, date and receipts (from CoB).</p> <p>Check against the PFM Act, Art. 166.</p> <p>CFAR, Section 8.</p> <p>Review website and copies of local media for evidence of publication of summary revenue and expenditure outturns.</p>	<p>Max. 2 points.</p> <p>(a &b) Submitted on time and published: 2 points.</p> <p>(a only): Submitted on time only: 1 point.</p>	2	<p>Quarterly reports were submitted to the county assembly, CRA and COB as follows;</p> <p>Q1-31/10/2017, Q2-12/01/2018, Q3- 30/04 /2018 and Q4-28/06/2018; as per evidence CGLK/01/03 Refer to the county website</p> <p>b) Summary of expenditure and revenue is found in the annual financial statement</p>
1.7		Quality of financial statements.	<p>Formats in PFMA and CFAR, and standard templates issued by the IPSAS board are applied and the FS include cores issues such as trial balance, bank reconciliations linked with closing balances, budget execution report, schedule of outstanding payments, an appendix with fixed assets register.</p>	<p>Review annual financial statements, bank conciliations and related documents and appendixes to the FS, date, and receipts (from CoB and NT).</p> <p>Check against the PFM Act, Art. 166 and the IPSAS format.</p> <p>CFAR, Section 8.</p> <p>Check against requirements.</p> <p>If possible review ranking of FS by NT (using the County</p>	<p>Max. 1 point.</p> <p>Quality as defined by APA team or NT assessment (excellent/satisfactory): 1 point</p>	1	<p>The financial statements were done as per IPSAS format; schedule of outstanding payments was found in the executive financial statement in the appendix section pg. 16</p> <p>appendix with fixed assets register is in the financial statement pg. 65</p>



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
				Government checklist for in-year and annual report), and if classified as excellent or satisfactory, conditions are also complied with.			
1.8		Monthly reporting and up-date of accounts, including:	<p>The monthly reporting shall include:</p> <ol style="list-style-type: none"> 1. Statements of receipts and payments, including: <ol style="list-style-type: none"> a. Details of income and revenue b. Summary of expenditures 2. Budget execution report, (budget guys) 3. Statement of Financial position, including (as annexes): <ol style="list-style-type: none"> a. Schedule of imprest and advances; b. Schedule of debtors and creditors; c. Bank reconciliations and post in general ledger. 	<p>Review monthly reports.</p> <p>See also the PFM Manual, p. 82 of which some of the measures are drawn from.</p>	<p>Max. 2 points.</p> <p>If all milestones (1-3): 2 points</p> <p>If 1 or 2: 1 point</p> <p>If none: 0 points.</p>	2	Monthly reporting and up-date of accounts 1-3 are in soft copy as per evidence CGLK/01/18
1.9		Asset registers up-to-date and inventory	Assets registers are up-to-date and independent physical inspection and verification of assets should be performed once a year.	<p>Review assets register and sample a few assets.</p> <p>PFM Act. Art 149.</p> <p>Checkup-dates.</p>	<p>Max. 1 point.</p> <p>Registers are up-to-date: 1 point.</p> <p>Transitional arrangements: <u>First year</u>: Assets register need only to</p>	1	<p>The executive asset register is up to date as per evidence CGLK/01/12 (soft). Print a copy & reference</p> <p>Fixed Asset Management policy 2018 has been developed to aid in the good management of the</p>



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					<p>contain assets acquired by county governments since their establishment.</p> <p>Second year onwards: register must include all assets, including those inherited from Local Authorities and National Ministries</p>		<p>assets in the county as per evidence CGLK/01/13</p> <p>The county performed annual independent physical inspection and verification of assets.</p>
Audit							
1.10.	Internal audit	Effective Internal audit function	An internal audit in place with quarterly IA reports submitted to IA Committee (or if no IA committee, in place, then reports submitted to Governor)	<p>Review audit reports.</p> <p>Check against the PFM Act Art 155</p>	<p>Max. 1 point.</p> <p>4 quarterly audit reports submitted in the previous FY: 1 point.</p>	0	<p>The audit unit comprises of 8 staff.</p> <p>Internal Audit Quarterly reports were submitted to the CO, Finance and Economic Planning, but the annual internal audit report was submitted to the chairman of the committee on 12/07/2018 as per evidence CGLK/01/11</p> <p>Q1-16/10/2017 Q2-09/01/2018 Q3-05/04/2018 Q4-06/07/2018</p>
1.11		Effective and efficient internal audit committee.	IA/Audit committee established and review of reports and follow-up.	<p>Review composition of IA/Audit Committee, minutes etc. for evidence of review of internal audit reports.</p> <p>Review evidence of follow-</p>	<p>Max. 1 point.</p> <p>IA/Audit Committee established, and reports reviewed by Committee and</p>	0	<p>The audit committee was formed on 04/05/2018 as per evidence CGLK/01/09 and all members appointment letters were dated 3/04/2018 as per</p>



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				up, i.e. evidence that there is an ongoing process to address the issues raised from last FY, e.g. control systems in place, etc. (evidence from follow-up meetings in the Committee). PFM Act Art 155.	evidence of follow-up: 1 point.		evidence CGLK/01/08 Review evidence of follow-up, i.e. evidence that there is an ongoing process to address the issues raised from last FY, e.g. control systems in place, etc
1.12	External audit	Value of audit queries	The value of audit queries as a % of total expenditure Compute for 2016/17	A review audit report from KENAO. Total expenditure as per reports to CoB.	Max. 2 points Value of queries <1% of total expenditures: 2 points <5% of total expenditure: 1 point	0	Audit queries for FY 2016/2017 were Ksh. 5,342,623,770, while Total expenditure was 4,380,760,844. Thus the queried amount represents 121.96% of the expenditure as per evidence CGLK/01/19e
1.13		Reduction of audit queries	The county has reduced the value of the audit queries (fiscal size of the area of which the query is raised). Compare FY 2015/16 & 2016/17	Review audit reports from KENAO from the last two audits.	Max. 1 point. Audit queries (in terms of value) have reduced from last year but one to last year or if there is no audit queries: 1 point.	1	Audit queries for FY 2015/2016 were Kshs: 14,782,828,216 Audit queries for FY 2016/2017 was Kshs 5,342,623,770,
1.14		Legislative scrutiny of audit reports and follow-up	Greater and more timely legislative scrutiny of external audit reports within the required period and evidence that audit queries are addressed	Minutes from meetings, review of previous audit reports.	Max. 1 point. Tabling of the audit report and evidence of follow-up: 1 point.	0	No evidence of scrutiny of external audit reports by the County Assembly was provided.
Procurement							
1.15	Improved procurement procedures	Improved procurement procedures	Note: When PPRA develop a standard assessment tool, APA will	Annual procurement assessment and audit by PPRA and OAG	Max. 6 points. a) IFMIS Steps:	5	a) The County used 16 out of 25 IFMIS e-procurement steps in FY2017/2108 but in



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		including use of IFMIs, record keeping, adherence to procurement thresholds and tender evaluation.	<p>switch to using the score from the PPRA assessment as the PM (PfR may incentivize PPRA to do this in DLI 1 or 3).</p> <p>a) 25 steps in the IFMIS procurement process adhered with.</p> <p>b) County has submitted required procurement reports to PPRA on time.</p> <p>c) Adherence with procurement thresholds and procurement methods for type/size of procurement in a sample of procurements.</p> <p>d) Secure storage space with adequate filing space designated and utilized – for a sample of 10 procurements, single files containing all relevant documentation in one place are stored in this secure storage space (1 point)</p> <p>e) Completed evaluation reports, including individual evaluator scoring against pre-defined documented evaluation criteria and</p>	<p>Sample 5 procurements (different size) and review steps complied with in the IFMIS guidelines.</p> <p>Calculate average steps complied with in the sample.</p> <p>Review reports submitted.</p> <p>Check reports from tender committees and procurement units.</p> <p>Check a sample of 5 procurement and review adherence with thresholds and procurement methods and evaluation reports.</p> <p>Check for secure storage space and filing space, and for a random sample of 10 procurements of various sizes, review contents of files.</p>	<p><15steps=0 points; 15-23=1 point; 24-25=2 points</p> <p>b) Timely submission of quarterly reports to PPRA (both annual reports plus all reports for procurements above proscribed thresholds): 1 point</p> <p>c) Adherence with procurement thresholds and procurement methods for type/size of procurement in a sample of procurements: 1 point.</p> <p>d) Storage space and single complete files for sample of procurements: 1 point</p> <p>e) Evaluation reports: 1 point</p>		<p>the current FY all the 25 steps are applied</p> <p>b) Quarterly procurement reports were submitted to PPRA on Q1-3/10/2017 Q2-2/01/2018 Q3-2/04/2018 Q4-2/07/2018 but all were received on 8/06/2018 by PPRA as per evidence CGLK/01/16</p> <p>c) Quotation of below 2M is shown by Supply and delivery of 5 metallic litter bins as per evidence CGLK/01/17 Tender of above 2M is proved by the proposed drilling of Luambane borehole in Sosian ward as per evidence CGLK/01/17</p> <p>d) There was secure adequate storage for all files and equipment.</p> <p>e) 5 duly signed evaluation reports of completed Procurements were provided as per evidence CGLK/01/17</p> <ol style="list-style-type: none"> 1. -Luambane Borehole Drilling 2. -Upgrading of air Force Ruai road 3. -construction of surgical



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
			signed by each member of the evaluation team, available for a sample of 5 large procurements (2 points)				<p>theatre at Ndindika</p> <p>4. -Extension of the re-carpeting of mosque road in Nanyuki town</p> <p>5. -Supply and delivery of 5 metallic litter bins</p>
Key Result Area 2: Planning and M&E Max score: (tentative 20 points)							
2.1	County M&E system and frameworks developed	County M&E/Planning unit and frameworks in place.	<p>a) Planning and M&E units (may be integrated into one) established.</p> <p>b) There are designated planning and M&E officer and each line ministry has a focal point for planning and one for M&E</p> <p>c) Budget is dedicated to both planning and M&E.</p>	<p>Review staffing structure and organogram.</p> <p>The clearly identifiable budget for planning and M&E functions in the budget.</p>	<p>Maximum 3 points</p> <p>The scoring is one point per measure Nos. a-c complied with.</p>	3	<p>The county has an M&E unit with 9 staffs as per evidence CGLK/02/12</p> <p>b) There were designated officers for planning and M&E in place with appointment letters dated 15/09/2017 as per evidence CGLK/02/13:</p> <p>c) The unit had been allocated budget in the FY 2017/18 in the PPB pg 64 as per evidence CGLK/02/03</p>
2.2		County M&E Committee in place and functioning	County M&E Committee meets at least quarterly and reviews the quarterly performance reports. (I.e. it is not sufficient to have hoc meetings).	Review minutes of the quarterly meeting in the County M&E Committee.	<p>Maximum: 1 point</p> <p>Compliance: 1 point.</p>	1	<p>The planning and M&E coordinators form the COMEC as per evidence CGLK/02/13. Nomination letters of COMEC team were dated 15/09/2017 as per evidence CGLK/02/14</p> <p>Minutes of COMEC meetings are dated 20/09/2017 and 18/05/2018 as per evidence CGLK/02/15</p>
2.3	County Planning	CIDP formulated	a) CIDP: adheres to	CIDP submitted in the	Maximum: 3 points	3	a) The CIDP was submitted



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	systems and functions established	and updated according to guidelines	<p>guideline structure of CIDP guidelines,</p> <p>b) CIDP has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators included; and</p> <p>c) Annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue.</p>	<p>required format (as contained in the CIDP guidelines published by MoDP).</p> <p>See County Act, Art. 108, Art 113 and Art. 149.</p> <p>CIDP guidelines, 2013, chapter 7.</p>	1 point for compliance with each of the issues: a, b and c.		<p>in the required format. It was signed by Joshua Irungu the former Governor and CECM Joel Wamichwa as per evidence CGLK/02/01</p> <p>b) The CIDP 2013-2017 had clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators</p> <p>c) The ADP was 8,263,000,000 and Total County Revenue was 4,393,107.276</p> <p>Annual financing requirement for full implementation of CIDP is 188.13%</p>
2.4		ADP submitted on time and conforms to guidelines	<p>a) Annual development plan submitted to Assembly by September 1st in accordance with required format & contents (Law says that once submitted if they are silent on it then it is assumed to be passed).</p> <p>b) ADP contains issues mentioned in the PFM Act 126,1, number A-H</p>	Review version of ADP approved by County Assembly for structure, and approval procedures and timing, against the PFM Act, Art 126, 1.	<p>Maximum: 4 points</p> <p>Compliance a): 1 point.</p> <p>b) All issues from A-H in PFM Act Art 126,1: 3 points 5-7 issues: 2 points 3-4 issues: 1 point, see Annex.</p>	4	<p>The duly prepared ADP was submitted to the assembly on 29/09 /2016 and received by County Assembly on 30/09/2016 as per evidence CGLK/02/08</p> <p>The ADP contains all issues in PFM Act as per evidence CGLK/02/02</p>
2.5		The linkage between CIDP, ADP, and Budget	Linkages between the ADP and CIDP and the budget in terms of costing and activities. (costing of	Review the three documents: CIDP, ADP and the budget. The budget should be consistent with	Maximum: 2 points Linkages and within the ceiling: 2 points.	1	There was consistency between the cost estimates in the CIDP 2013 - 2017, ADP 2017/18 and budget 2017/18,



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			ADP is within +/- 10 % of final budget allocation)	<p>the CIDP and ADP priorities. The costing of the ADP is within +/- 10% of the final budget allocation.</p> <p>Sample 10 projects and check that they are consistent between the two documents.</p>			<p>some of the projects sampled were as follows:</p> <ol style="list-style-type: none"> 1. Purchase of 2 Ambulances in CIDP page 137, ADP 15 amounting Ksh 30M and in the budget pg. 70 amounting to Ksh. 22M. translating to 20% within the budget. 2. Promotion of Horticulture tree nurseries in CIDP pg. 65, ADP pg. 18 amounting Ksh 2M and in the budget pg. 72 amounting to Ksh. 1,711,800. translating to 10% within the budget. 3. Housing Renovation in CIDP pg. 126, ADP pg. 24 amounting Ksh 4M and in the budget pg. 74 amounting to Ksh. 2,149,900. Translating to 40% within the budget. 4. ECDE infrastructure Improvement in CIDP pg. 131, ADP pg. 29 amounting Ksh 30M and in the budget pg. 77 amounting to Ksh. 29.500,000. translating to 1.7% within the budget.



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							<p>5. Market infrastructure development in CIDP pg. 97 & 102, ADP pg. 32 amounting Ksh 35M and in the budget pg. 78 amounting to Ksh. 32,739,500. translating to 6.5% within the budget.</p> <p>6. Rehabilitation of earth dams in CIDP pg. 160 - 174, ADP pg. 34 amounting Ksh 40M and in the budget pg. 80 amounting to Ksh. 42M. translating to 5% within the budget.</p> <p>7. Electric fence installation in CIDP pg. 195, ADP pg. 35 amounting Ksh 50M and in the budget pg. 80 amounting to Ksh. 11M. translating to 78% within the budget.</p> <p>8. Construction of new police posts in CIDP pg. 182, ADP pg. 9 amounting Ksh 20M and in the budget pg. 66 amounting to Ksh. 4M. translating to 80% within the budget.</p> <p>9. Disease vector control program in CIDP pg. 79, ADP pg. 22 amounting</p>



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							<p>Ksh 4M and in the budget pg. 74 amounting to Ksh. 5,684,000. translating to 42% within the budget.</p> <p>10. Provision of essential health products in CIDP pg. 139, ADP pg. 14 amounting Ksh 125M and in the budget pg. 70 amounting to Ksh. 132,076,000. translating to 5.7% within the budget.</p> <p>This being an average of 28.9% within the budget.</p>
2.6	Monitoring and Evaluation systems in place and used, with feedback to plans	Production of County Annual Progress Report	<p>a) County C-APR produced;</p> <p>b) Produced timely by September 1 and</p> <p>c) C-APR includes clear performance progress against CIDP indicator targets and within result matrix for results and implementation.</p> <p>(Ad b) Compliance if produced within 3 months of the closure of the FY and sent to Council of Governors for information. This will be</p>	<p>Check contents of C-APR and ensure that it clearly link s with the CIDP indicators.</p> <p>Verify that the indicators have been sent to the CoG.</p>	<p>Maximum: 5 points.</p> <p>a) C-APR produced = 2 points</p> <p>b) C-APR produced by end of September. 1 point.</p> <p>c) C-APR includes performance against CIDP performance indicators and targets and with result matrix for results and implementation: 2 points.</p>	5	<p>a. The county produced C-APR & was received by County Assembly on 28/08/2018 as per evidence CGLK/02/18</p> <p>b. The C-APR indicates clear performance progress as per the CIDP as shown in the matrix as per evidence CGKR/02/03</p> <p>c. C-APR includes performance against CIDP performance indicators and targets and with result matrix for results and implementation.</p>



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			done in reference to the County Integrated M&E System Guidelines.		(N.B. if results matrix is published separately, not as part of the CIDP, the county still qualifies for these points)		The C-APR indicators have not been sent to the CoG
2.7		Evaluation of CIDP projects	Evaluation of completion of major CIDP projects conducted on an annual basis.	Review the completed project and evaluations (sample 3 large projects).	Maximum: 1 point. Evaluation is done: 1 point.	0	Review of projects in the CIDP was not conducted in FY 2017/2018.
2.8		Feedback from the Annual Progress Report to Annual Development Plan	Evidence that the ADP and budget are informed by the previous C-APR.	Review the two documents for evidence of C-APR informing ADP and budget	Maximum: 1 point. Compliance: 1 point.	1	A comparison between the two documents showed that there ADP was based on the C-APR
Key Result Area 3: Human Resource Management Max score: 12 points.							
3.1	Staffing plans based on functional and organization assessments	Organizational structures and staffing plans	<p>a) Does the county have an approved staffing plan in place, with annual targets?</p> <p>b) Is there clear evidence that the staffing plan was informed by a Capacity Building assessment / functional and organizational assessment and approved organizational structure?</p> <p>c) Have the annual targets in the staffing plan been met?</p>	<p>Staffing plan</p> <p>Capacity Building Assessment / CARPS report</p> <p>Documentation evidencing hiring, training, promotion, rationalization, etc.</p> <p>In future years (after first AC&PA), there should be evidence that CB/skills assessments are conducted annually to get points on (b). Targets within (+/- 10 % variations).</p>	<p>Maximum 3 points:</p> <p>First AC&PA: a = 2 points, b = 1 point c = NA.</p> <p>Future AC&PAs: a=1 point, b = 1 point, c = 1 point</p>	2	<p>a. The County had an approved staffing plan with annual targets as per evidence CGLK/03/01</p> <p>b. The staff plan was prepared based on CARPS report and contained the annual projection for recruitment for FY2017/2018 as per evidence CGLK/03/10</p> <p>c. Some of the annual targets in the staffing plan had not been met as per evidence</p>



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							CGLK/03/01
3.2	Job descriptions, including skills and competence requirements	Job descriptions, specifications and competency framework	<p>a) Job descriptions in place and qualifications met (AC&PA 1: Chief officers/heads of departments; 2nd AC&PA: all heads of units; future AC&PAs all staff (sample check))</p> <p>b) Skills and competency frameworks and Job descriptions adhere to these (AC&PA 1: Chief officers/heads of departments; 2nd AC&PA: all heads of units; future AC&PAs all staff (sample check))</p> <p>c) Accurate recruitment, appointment and promotion records available</p>	<p>Job descriptions</p> <p>Skills and competency frameworks.</p> <p>Appointment, recruitment and promotion records</p>	<p>Maximum score: 4 points</p> <p>All a, b and c: 4 points.</p> <p>Two of a-c: 2 points</p> <p>One of a-c: 1 point</p>	4	<p>a) Job description for Chief officers/heads of departments and directors are included in the appointment letters as per evidence CGLK/03/16</p> <p>b) Competency framework used were those adopted from the Public Service Commission as per evidence CGLK/03/04</p> <p>c) Accurate recruitment, appointment, and promotion records were well maintained as per evidence CGLK/03/02. Minutes on the same were given dated 31.8.2017 as per evidence CGLK/03/16</p>
3.3	Staff appraisal and performance management operationalized in counties	Staff appraisals and performance management	<p>a) Staff appraisal and performance management process developed and operationalized.</p> <p>b) Performance contracts developed and operationalized</p> <p>c) service re-engineering undertaken</p>	<p>Review staff appraisals.</p> <p>County Act, Art 47 (1).</p> <p>Country Public Service Board Records.</p> <p>Staff assessment reports.</p> <p>Re-engineering reports covering at least one service</p>	<p>Maximum score: 5 points.²</p> <p>a) Staff appraisal for all staff in place: 1 point. (If staff appraisal for</p> <p>b) Performance Contracts in place for CEC Members</p>	3	<p>a. Junior staff signed Staff performance appraisal forms as per evidence CGLK/03/01. In the magazine, pg. 5 staff were awarded for good performance by the governor as per evidence CGLK/02/20 and the list of nominees</p>

² Note: higher points only expected in subsequent ACPAs, but PM is kept stable across ACPAs.



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			d) RRI undertaken	RRI Reports for at least one 100-day period	and Chief Officers: 1 point Performance Contracts in place for the level below Chief Officers: 1 point c) Service delivery processes re-engineered in counties: 1 point d) Rapid Results Initiatives-RRIs launched/up-scale: 1 point		was availed as per evidence CGLK/03/06 b. Performance contract for the FY 2017/2018 between Governor and CEC'S, Chief Officers & directors were provided as per evidence CGLK/03/06 c. Service reengineering was undertaken in the health sector using HRIS. County Cluster HRIS quarterly meetings report as per evidence CGLK/03/07 d. The RRI was carried out on the staff ID but did not meet the required threshold as per evidence CGLK/03/05
Key Result Area 4: Civic Education and Participation - <i>A citizenry that more actively participated in county governance affairs of the society</i> Max score: 18 points							
4.1	Counties establish functional Civic Education Units	CEU established	Civic Education Units established and functioning: (a) Formation of CE units (b) Dedicated staffing and (c) Budget, (d) Programs planned, including curriculum, activities etc. and (e) Tools and methods for	County Act, Art 99-100.	Maximum 3 points. CEU fully established with all milestones (a) - (e) complied with: 3 points. 2-4 out of the five milestones (a-e): 2 points	3	a. The CE unit was established vide CS circular dated 28.2.18. b. The CE unit has 3 staff namely: <ul style="list-style-type: none"> • James Mathenge • Hezron Kinyua • Moses Nokisho c. The unit had a budget of Ksh 2, 720, 335-as per evidence CGLK/04/04



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			CE outlined.		Only one: 1 point.		<p>d. There was a civic and public participation work plan as per evidence CGLK/04/06 The curriculum used in CE was that of the national government as per evidence CGLK/04/11</p> <p>e. Tools used included KDSP manuals, citizen handbook by Uraia, handbook, devolution, public participation and on civilian oversight by GIZ Kenya, advertisement, public forums. Evidence CGLK/04/11</p>
4.2		Counties roll out civic education activities	Evidence of roll-out of civic education activities – (minimum 5 activities).	<p>County Act, art. 100.</p> <p>Examples are engagements with NGOs to enhance CE activities/joint initiatives on the training of citizens etc. Needs to be clearly described and documented in a report(s) as a condition for availing points on this.</p>	<p>Maximum 2 points.</p> <p>Roll out of minimum 5 civic education activities: 2 points.</p>	2	<p>Roll-out activities with all attendance lists, the report was availed.</p> <p>1. There is public participation on the budget estimate on 28.5.2018 as per evidence CGLK/04/08</p> <p>2. There is civic and public participation on CFSP 5 /02/2018 as per evidence CGLK/04/08</p> <p>3. There is public participation on the Smart town on 16.1.2018 as per evidence CGLK/04/08</p>



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							<p>4. Public participation on CIDP on 4-9/9/2018 as with evidence as per evidence CGLK/04/06</p> <p>5. Public participation on finance bill done as per evidence CGLK/04/08</p>
4.3	Counties set up institutional structures & process for Public Participation	Communication framework and engagement.	<p>a) System for Access to information/ Communication framework in place, operationalized and public notices and user-friendly documents shared In advance of public forums (plans, budgets, etc.)</p> <p>b) Counties have designated officer in place, and the officer is operational.</p>	<p>County Act, Art. 96.</p> <p>Review approved (final) policy/procedure documents describing access to information system and communication framework and review evidence of public notices and sharing of documents.</p> <p>Review job descriptions, pay-sheets and/or other relevant records to ascertain whether the designated officer is in place; review documents evidencing activities of the designated officer (e.g. reports written, minutes of meetings attended etc.)</p>	<p>Maximum 2 points.</p> <p>a) Compliance: 1 point.</p> <p>b) Compliance: 1 point.</p>	2	<p>The system for access information was through public barazas, advertisements SMS code (22031), County website.</p> <p>There is a designated officer (Hezron Kinyua) who handles complaints and civic education. The office is active.</p>
4.4		Participatory planning and budget forums held	<p>a) Participatory planning and budget forums held in the previous FY before the plans were completed for on-going FY.</p> <p>b) Mandatory citizen engagement /consultations held</p>	<p>PFM Act, Art. 137.</p> <p>County Act, 91, 106 (4), Art. 115.</p> <p>Invitations</p> <p>Minutes from meetings in the forums.</p> <p>List of attendances,</p>	<p>Maximum 3 points.</p> <p>All issues met (a-f): 3 points.</p> <p>4-5 met: 2 points.</p> <p>1-3 met: 1 point.</p>	2	<p>a) Budget forum and participatory forums were held. Submission of memoranda was given dated 22/05/2017 as per evidence CGKR/04/04</p> <p>b) Invitation or notice to attend the activity is issued,</p>



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			<p>beyond the budget forum, (i.e. additional consultations)</p> <p>c) Representation: meets requirements of PFMA (section 137) and stakeholder mapping in public participation guidelines issued by MoDP.</p> <p>d) Evidence that forums are structured (not just unstructured discussions)</p> <p>e) Evidence of input from the citizens to the plans, e.g. through minutes or other documentation</p> <p>f) Feed-back to citizens on how proposals have been handled.</p>	<p>Meetings at ward levels,</p> <p>The link between minutes and actual plans.</p> <p>List of suggestions from citizens, e.g. use of templates for this and reporting back.</p> <p>Feedback reports/minutes of meetings where feedback provided to citizens</p>			<p>minutes, list of attendance and report are availed as per evidence CGLK/04/08</p> <p>c) Most of the public meeting was attended by youth, women, CSOs, as evidence from the minutes CGKR/04/09</p> <p>d) Structures and system for public participation for the county are structured as evidenced by a memorandum as per evidence CGLK/04/10</p> <p>e) No evidence of input from the citizens to the plans was given</p> <p>f) Evidence on feedback to citizens on how proposals have been handled as shown in the annual public participation report was given as per evidence CGLK/04/09</p>
4.5.		Citizens' feed back	Citizen's feedback on the findings from the C-APR/implementation status report.	Records of citizens engagement meetings on the findings of the C-APR. Review evidence from how the inputs have been noted and adhered with and whether there is feed-back mechanism in place.	Maximum points: 1 Compliance: 1 point.	1	There were documents showing that public participation was carried out for C-APR 2016/2017 as per evidence CGLK/04/13
4.6		County core financial materials, budgets, plans,	Publication (on county web-page, in addition to any other publication) of:	PFM Act Art 131. County Act, Art. 91. Review county web-page.	Maximum points: 5 points	4	As at 13/12/2018, the following documents were published on the website:



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		accounts, audit reports and performance assessments published and shared	i) County Budget Review and Outlook Paper ii) Fiscal Strategy Paper iii) Financial statements or annual budget execution report iv) Audit reports of financial statements v) Quarterly budget progress reports or other report documenting project implementation and budget execution during each quarter vi) Annual progress reports (C-APR) with core county indicators vii) Procurement plans and rewards of contracts viii) Annual Capacity & Performance Assessment results ix) County citizens' budget	(N.B.) Publication of Budgets, County Integrated Development Plan and Annual Development Plan is covered in Minimum Performance Conditions)	9 issues: 5 points 7-8 issues: 4 points 5-6 issues: 3 points 3-4 issues: 2 points 1-2 issues: 1 point 0 issues: 0 points.		a) County Budget Review and Outlook Paper b) Fiscal Strategy Paper c) Financial statements d) Audit reports of financial statements available e) Annual progress reports (C-APR) f) Procurement plans g) Annual Capacity & Performance Assessment results h) County citizens' budget Document not published are: Quarterly budget progress reports
4.7		Publication of bills	All bills introduced by the county assembly have been published in the national and in county gazettes or county web-site, and similarly for the legislation passed.	County Act, Art. 23. Review gazetted bills and Acts, etc. Review county web-site.	Maximum 2 points Compliance: 2 points.	2	Two bills passed in FY 2017/2018 and are published, which include: 1. Laikipia finance bill, 2. Laikipia enterprise management bill



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Result Area 5. Investment implementation & social and environmental performance Max score: 20 points.							
5.1	Output against the plan – measures of levels of implementation	Physical targets as included in the annual development plan implemented	<p>The % of planned projects (in the ADP) implemented in last FY according to completion register of projects</p> <p><i>Note: Assessment is done for projects planned in the Annual Development Plan for that FY and the final contract prices should be used in the calculation. Weighted measure where the size of the projects is factored in. If there are more than 10 projects a sample of 10 larger projects are made and weighted according to the size.</i></p>	<p>Sample min 10 larger projects from minimum 3 departments/sectors.</p> <p>Points are only provided with 100 % completion against the plan for each project.</p> <p>If a project is multi-year, the progress is reviewed against the expected level of completion by end of last FY.</p> <p>Use all available documents in assessment, including: CoB reports, procurement progress reports, quarterly reports on projects, M&E reports etc.</p>	<p>Maximum 4 points</p> <p>More than 90 % implemented: 4 points (<u>6 points</u> in the first two AC&PAs).</p> <p>85-90 %: 3 points</p> <p>75-84%: 2 points</p> <p>65-74%: 1 point</p> <p>Less than 65 %: 0 point.</p> <p>If no information is available on completion of projects: 0 points will be awarded.</p> <p>An extra point will be awarded if the county maintains a comprehensive, accurate register of completed projects and status of all ongoing projects (within the total max points available, i.e. the overall max is 4 points/6</p>	6	<p>Below are the Planned projects in the ADP implemented as per completion register:</p> <ol style="list-style-type: none"> 1. Rehabilitation Solio 4 earth dam at Tigithi with a completion rate of 100% 2. Construction of theatre at lumuria sub-county with a completion rate of 50% 3. Construction of a 5-unit pit latrine with a completion rate of 84% 4. Construction ECDE classroom at Ogirgir Primary School with a completion rate of 72% 5. Pothole Patching and road Marking of Kimathi Road in Nanyuki Town with a completion rate of 100%. 6. Construction of water harvesting structures in Nkando sec-gutters and masonry tanks (100m3) in Nanyuki with a completion rate of 100%. 7. Rehabilitation and



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					respectively in the first two AC&PA).		<p>renovation of Nanyuki stadium with a completion rate of 100%.</p> <p>8. Construction of ECDE classroom at Reteti Pry School with a completion rate of 100%.</p> <p>9. Construction of Renal Unit at NTRH with a completion rate of 100%</p> <p>10. Rehabilitation of Kakalu earth dam with a completion rate of 100%.</p> <p>This being an average of 90.6% CGLK/02/16</p>
5.2	Projects implemented according to cost estimates	Implementation of projects and in accordance with the cost estimates	Percentage (%) of projects implemented within budget estimates (i.e. +/- 10 % of estimates).	<p>A sample of projects: a sample of 10 larger projects of various size from a minimum of 3 departments/sectors.</p> <p>Review budget, procurement plans, contract, plans and costing against actual funding. If there is no information available, no points will be provided. If the information is available in the budget this is used. (In case there are conflicts</p>	<p>Maximum (5 points)</p> <p>More than 90 % of the projects are executed within +/-5 of budgeted costs: 4 points (5 points in the first two AC&PAs)</p> <p>80-90%: 3 points</p> <p>70-79%: 2 points</p> <p>60-69%: 1 point</p>	3	<p>Below is a sample project implemented within budget estimates:</p> <ol style="list-style-type: none"> 1. Construction of cooler room at Nanyuki slaughter house 2. Construction of theatre at lumuria sub-county 3. Upgrading to gravel standard of the air force at ruai road 4. Construction of Reteti ECDE primary school 5. Construction of tangi



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
				<p>between figures, the original budgeted project figure will be applied).</p> <p>Review completion reports, quarterly reports, payment records, quarterly progress reports, etc.</p> <p>Review M&E reports.</p> <p>Compare actual costs of the completed project with original budgeted costs in the ADP/budget.</p>	Below 60%: 0 points.		<p>ntyekusi water project</p> <ol style="list-style-type: none"> 6. Construction of Nanyuki boundary wall at Nanyuki slaughter house 7. Construction of surgical theatre at Ndindika 8. Extension of the re-carpeting of Mosque road in Nanyuki in town 9. Construction of KMTC wing at the Nanyuki referral hospital 10. Upgrading of Jogoo castle road <p>as per evidence CGLK/01/17 There were no major differences between the budget and the actual costs (80 – 90% projects executed within budget)</p>
5.3	Maintenance	Maintenance budget to ensure sustainability	Maintenance cost in the last FY (actuals) was minimum 5 % of the total capital budgeted evidence in selected larger projects (projects which have been completed 2-3 years ago) have been sustained with actual maintenance budget allocations (sample of min. 5 larger projects).	<p>Review budget and quarterly budget execution reports as well as financial statements.</p> <p>Randomly sample 5 larger projects, which have been completed 2-3 years ago.</p> <p>Review if maintenance is above 5 % of the capital budget and evidence that budget allocations have been made for projects completed 2-3 years ago</p>	<p>Maximum 4 points</p> <p>The maintenance budget is more than 5 % of the capital budget</p> <p>and sample projects catered for in terms of maintenance allocations for 2-3 years after 3 points (4 in the first two AC&PA).</p> <p>More than 5 % but</p>	0	There was a lumped up maintenance budget hence the difficulty in ascertaining amount allocated to a specific project.



Annual Capacity & Performance Assessment Report (ACPA)

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
				and evidence that funds have actually been provided for maintenance of these investments.	only 3-4 of the projects are catered for 2 points. More than 5 % but only 1-2 of the specific sampled projects are catered for 1 point.		
5.4	Screening of environmental social safeguards	Mitigation measures on ESSA through audit reports	Annual Environmental and Social Audits/reports for EIA /EMP related investments.	Sample 10 projects and ascertain whether environmental/social audit reports have been produced.	Maximum 3 points All 100 % of sample done in accordance with the framework for all projects: 3 points 80-99 % of projects: 1 point	3	The department gave a screening report on sampled projects in the county as evidence CGLK/05/04 <ol style="list-style-type: none"> 1. Construction of cooler room at Nanyuki slaughter house 2. Construction of theatre at lumuria sub-county 3. Upgrading to gravel standard of the air force at ruai road 4. Construction of Reteti ECDE primary school 5. Construction of tangi ntyeusi water project 6. Construction of Nanyuki boundary wall at Nanyuki slaughter house 7. Construction of surgical theatre at Ndindika 8. Extension of the re carpeting of Mosque road in Nanyuki town 9. Construction of KMTC wing at the Nanyuki referral hospital 10. Upgrading of Jogoo castle



Annual Capacity & Performance Assessment Report (ACPA)

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	The result (Score)	Detailed Assessment Findings
							road
5.5	EIA /EMP procedures	EIA/EMP procedures from the Act followed.	<p>Relevant safeguards instruments Prepared: Environmental and Social Management Plans, Environmental Impact Assessment, RAP, etc. consulted upon, cleared/approved by NEMA and disclosed prior to the commencement of civil works in the case where screening has indicated that this is required. All building & civil works investments contracts contain ESMP implementation provisions (counties are expected to ensure their works contracts for which ESIA/ESMPs have been prepared and approved safeguards provisions from part of the contract.</p>	Sample 5-10 projects	<p>Maximum 2 points All 100 % of sample done in accordance with the framework for all projects: 2 points 80-99 % of projects: 1 point</p>	2	<p>The EIA procedures for some projects were followed</p> <ol style="list-style-type: none"> 1. Proposed county government offices in Rumuruti town, Laikipia West as per evidence CGLK/05/06 2. Proposed water pan in Ndindika area Githiga ward kinamba location as per evidence CGLK/05/06 3. Proposed earth pan at Malula location Laikipia East Sub-County, Laikipia County. CGLK/05/03/a 4. Proposed Doldol earth dam at Doldol Near Sopping center, Doldol Sub-County, Laikipia County. CGLK/05/3/b 5. Construction of KMTC wing at the Nanyuki referral hospital <p>There was the training of environmental committee in project implementation and management and equip them with relevant of M&E of EIA reports as per evidence CGLK/05/05</p> <p>The County has an Environmental and Social Management system as per evidence CGLK/05/06</p>
Total Maximum Score: 100 points.						79	



Summary of Capacity Building Requirements

The following is a summary of findings on capacity building requirements of the county based on the assessment (overall indicative areas) listed by Key Result Areas.

a) Public Finance management

- The Internal Audit to be encouraged to submit their quarterly internal audit reports to the Internal Audit committee;
- Procurement department should submit their quarterly reports to PPRA on time.

b) Planning and Monitoring & Evaluation

- Monitoring and Evaluation section should be encouraged to carry out an evaluation of CIDP projects.

c) Human Resources Management

- Staffs should be trained on business process re-engineering;
- The county should encourage the signing of performance contracts between CEC's and CO's, CO's and Directors.

d) Civic Education & Public Participation

- Budget validation should be carried out as per the law.

e) Environment and Social Safeguards

- The County needs to be guided on how to formalize its working arrangement with NEMA;
- The County should recruit more staff in this section;
- Short courses for key staff on EIAs/EAs process; conducting public participation processes to support continuous professional development and accreditations;
- There should be synergy between the departments involved in the implementation of projects in this KRA.

5.0 Challenges in The Assessment

- Poor time management that delayed seamless assessment;
- Staff not adequately sensitized on the the tool which affected timely retrieval of evidence

5.1 Specific And General Comments To Individual Aspects Of The Assessment Process

Issues raised and respective recommendations made by the individual aspect of assessment, i.e. MACs, MPCs, and PMs are provided in the following sections 5.1 to 5.3.



5.2 MAC's

The conditions were all met as scheduled and in accordance with the signed participation agreement, CB Plan developed and compliant.

5.3 MPC's Issues

- Financial statements were submitted to the National Treasury, Controller of Budget and the Office of the Auditor-general on time;
- Consolidated procurement plans for 2016/2017 and 2017/2018 was availed and also aligned to the budget;
- All core staff were appointed and suitably qualified;
- There is a need for the Environment Department to formalize the existing working arrangement with NEMA;
- Level two grants are yet to be utilized.

5.4 PMs

KRA 1: Public Finance Management

- The Internal Audit to be encouraged to submit their quarterly internal audit report to the internal audit committee;
- Procurement department does not submit quarterly reports to PPRA as scheduled

KRA 2: Planning and Monitoring & Evaluation

- Monitoring and Evaluation section should carry out an evaluation of CIDP projects.

KRA 3: Human Resource Management

- Staffs to be trained on business process re-engineering;
- The county to encourage the signing of performance contracts between CEC's and CO's, CO's and Directors.

KRA 4 Civic Educations and Public Participation

- Budget validation should be carried out.

KRA 5: Investments and Social Environment Performance

- The County needs to be guided on how to formalize its working arrangement with NEMA;
- The County should recruit more staff in this section;



6.0 OVERVIEW OF THE 5 WEAKEST PERFORMANCES

The Table below presents assessed areas of the county of weakest performance during the field visit.

KRA	Performance Measure	Issues
KRA 1	Public Finance Management	Lack of Internal Audit preparation of quarterly reports Procurement department preparation and submission of quarterly reports to PPRA on time.
KRA 2	Planning &M&E	Lack of Monitoring and Evaluation section carrying out an evaluation of CIDP projects.
KRA 3	Human Resource Management	Inadequate sensitization of Staffs in business process re-engineering. Cascading of performance contracts between the junior staff
KRA 4	Civic Education and Public Participation	Budget allocation to civic education unit. Lack of communication strategy in the county to enhance communication
KRA 5	Investment implementation & social and environmental performance	The County needs to be guided on how to formalize its working arrangement with NEMA. Inadequate knowledge on EIAs/EAs process;



7.0 LAIKIPIA COUNTY – LIST OF REPRESENTATIVES INTERVIEWED

NO	NAME	DESIGNATION	TELEPHONE CONTACTS
1.	David King'ori	Director Environment	kingoridavid@yahoo.com
2.	Hezron F.Kinyua	Civic and Public Participation Officer	kinyuahezron@yahoo.com
3.	John Mukui	Environment and Natural Resources	0718235889
1.	Charles Nderitu	Director of Economic Planning/ Chief Economist	0720362307
2.	Mary Wachiuri	Head of Internal Audit	0722833730
3.	Ephantus Wang'ombe	Internal Auditor	0723274036
4.	Prudence Waithera	CO Revenue Board	
5.	Daniel Ngumi	Head Treasury, Accounting	
6.	Gerald Muturi	Head Human Resource	0722841616
7.	Shadrack Mwithali	Payroll Manager	0710111740
8.	Rufus Makuno	Ag. Director Asset &fixed Management	0720338808
9.	Josephine Kamau	Ag. Head Supply Chain Management	07238717712
10.	Florence Kimotho	Senior Procurement Office	0721298697
11.	Julius Kingori	Ag. Director Budget	0721360149
12	Patricia Wangui	LCPSB	patricia.wangui@laikipia.go.ke



8.0 APPENDICES

8.1 APPENDIX 1: ENTRY MEETING MINUTES

MINUTES ON ANNUAL CAPACITY & PERFORMANCE ASSESSMENT MEETING HELD AT THE DEPARTMENT OF AGRICULTURE BOARDROOM ON 11TH DECEMBER 2018 BETWEEN 8:45 AM AND 9:10 AM

MEMBERS PRESENT:

COUNTY TEAM:

NAME	DESIGNATION
1. Karanja Njora	County Secretary - Chairing
2. Githuku Mwangi	Snr. Advisor economic and political affairs
3. James M Mathenge	Head of public Participation-Focal Person
4. Daniel Ngumi	Head of treasury
5. Gerald Mwangi	Head HRM
6. John Letai	Deputy Director Environment
7. Charles Nderitu	Director Eco. Planning
8. Julius Kingori	Head of Budget
9. Francis K. Hezron	Social focal person
10. Patricia Wangui	HRM-CPSB
11. Ephantus Wangombe	Internal Auditor
12. Mary Wachiuri	Head of Internal Audit
13. Moses Nokisho	Head of Governor's delivery unit
14. Ndirutu Kimondo	County assembly
15. Miriam Mwangi	County assembly
16. Prudence Waithera	Revenue Board

PMS TEAM

NAME	DESIGNATION
1. Mr. Dennis Marube	Team leader
2. Ms. Janet Nyaboke	Assessor
3. Ms. Salome Ooko	Assessor -taking minutes/secretary

MIN: 1/11/2018: PRELIMINARY

The meeting was opened with a word of prayer from Mr. Gerald Mwangi at 8.45 am., followed by a brief introduction of members present and their respective designations.

MIN: 2/11/2018: OPENING REMARKS

The Ag. County Secretary, Mr. Karanja Njora, officially welcomed the consultant team to the County. He assured the consultant team of full support from the County staff during the assessment. He asserted that they were prepared for the assessment and the key result areas focal persons have been committed to achieving the best in this assessment than in the last ACPA.

He urged the KRA focal persons to work on the paperwork and give appropriate evidence that will meet the requirements for the next funding.



MIN: 3/11/12/2018: OVERVIEW OF ASSESSMENT EXPECTATIONS

The team leader from Prestige Management Solutions, Mr. Dennis Marube appreciated the county staff for making the time to attend the entrance meeting after which he gave an overview of the assessment. He highlighted the aim of the entry meeting, stressing that the assessment team would be around for the next three working days and that the exercise was an assessment and not an audit. The methodology of the exercise would be to gather data by holding a group-based discussion with key result area focal persons. The exercise would be basically a follow up on the self-assessment carried out by the County Executive and the County Assembly on themselves. The three tools, namely: The Minimum Access Conditions (MACs), Minimum Performance Conditions (MPCs) and Performance Measures (PMs) developed by KDSP would be used to guide the process of gathering data.

He stipulated that participants would be signing the attendance register as evidence they took part in the exercise. The county staffs were notified of the assessors' intention to retain photocopies of all the documents reviewed. He also stated that the year of assessment will be FY 2017/2018 hence all evidence should be for that financial year. All evidence collected will be signed and stamped on the face. No evidence will be accepted when the exit meeting ends. Additionally, he highlighted that an exit meeting will be conducted on the 14th of December 2018.

Lastly, the team leader requested a courtesy call with the Governor as prove that the consultant firm was at the county conducting the assessment.

MIN: 4/06/12/2018: CONCLUSION AND ADJOURNMENT

There being no other issue, the meeting was adjourned at 9.10 am.

Minutes Prepared by:

Signature: _____ **Date:** _____

- 1. Name: Salome Ooko
- Secretary
- Prestige Management Solutions Ltd.

Minutes confirmed by:

Signature: _____ **Date:** _____

- 1. Name: Dennis Marube
- Team Leader
- Prestige Management Solutions Ltd.

Signature: _____ **Date:** _____

- 2. Name: _____
- Designation: _____
- County Government of: _____



8.2 APPENDIX2: EXIT MEETING MINUTES

MINUTES ON ANNUAL CAPACITY & PERFORMANCE ASSESSMENT MEETING HELD AT THE COUNTY ASSEMBLY EXECUTIVE BOARDROOM ON 14TH DECEMBER, 2018 BETWEEN 4:00 PM AND 4:45 PM

MEMBERS PRESENT:

COUNTY TEAM:

1. Karanja Njora	Ag. County Secretary - Chairing
2. Samuel Nyaga	M.O.DA
3. James M Mathenge	Head of public participation
4. John Kutenda	Finance officer
5. Gerald Mwangi	Head HRM
6. Charles Nderitu	Director Eco. Planning
7. Julius Kingori	Head of Budget
8. Ephantus Wangombe	Internal Auditor
9. Monoa Ledon	Environment officer
10. John Kihanda	County Assembly
11. Moses Nokisho	Head of Governor's delivery unit
12. Josephine Njoki	Head of supply chain management

PMS TEAM

NAME	DESIGNATION
1. Mr. Dennis Marube	Team leader
2. Ms. Janet Nyaboke	Assessor
3. Ms. Salome Ooko	Assessor-taking minutes

MIN: 1/14/12/2018: PRELIMINARY

The meeting was opened at 4:00 pm followed by a brief introduction of members present and their respective designations.

MIN: 2/14/12/2018: OPENING REMARKS

The meeting was chaired by the Ag. County Secretary, Mr. Karanja Njora who welcomed the consulting team and the county staff to the meeting. He thanked the county staff for the support and commitment they gave the assessment team for the three days.

MIN: 3/14/12/2018: OVERVIEW OF ASSESSMENT EXPECTATIONS

Prestige Management Solution team leader, Mr. Dennis Marube thanked the county staff for the support they gave throughout the exercise. Below is a brief overview of the key issues highlighted by the assessment as discussed during the meeting.

KRA 1: PFM

- Legislative scrutiny of audit reports and follow up of audit queries not provided.

KRA 2: PLANNING AND M&E

- Evaluation of CIDP projects was not availed.



KRA 3: HUMAN RESOURCE MANAGEMENT

KRA 5: ENVIRONMENT AND SOCIAL SAFEGUARDS

- Some projects did not have maintenance cost;
- Cost of the sampled project was not availed;
- Some EIA licenses were not provided.

MIN: 4/14/12/18 RESPONSES FROM COUNTY GOVERNMENT

The County concurred with the findings and promised to implement the suggestions made to them by the assessment team for improvement.

MIN: 5/14/12/18: CONCLUSION AND ADJOURNMENT

There being no other issue, the meeting was adjourned at 4.45 pm and followed by a word of prayer from Mr. James Mathenge.

Minutes Prepared by:

Signature: _____ **Date:** _____

2. Name: Salome Ooko
Secretary
Prestige Management Solutions Ltd.

Minutes confirmed by:

Signature: _____ **Date:** _____

3. Name: Dennis Marube
Team Leader
Prestige Management Solutions Ltd.

Signature: _____ **Date:** _____

4. Name: _____
Designation: _____
County Government of: _____



— THE PRESIDENCY —
MINISTRY OF DEVOLUTION & ASAL

**For Contact Information:
Ministry of Devolution and ASAL
State Department of Devolution
6th Floor, Teleposta Building
P.O. Box 30004-00100
NAIROBI.**