



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

# **BUSIA COUNTY GOVERNMENT**

## **ANNUAL CAPACITY & PERFORMANCE ASSESSEMENT (ACPA) REPORT**

Conducted on:

5<sup>th</sup> - 7<sup>th</sup> November, 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
CGB	-	County Government of Busia
CIDP	-	County Integrated Development Plan
CE&PP	-	Civic Education & Public Participation
CO	-	Chief Officer
C.O.B	-	Controller of Budget
CPG	-	County Performance Grants
EA	-	Environmental Audits
EIA	-	Environmental Impact Assessment
EMCA	-	Environmental Management and Coordination Act
FS	-	Financial Secretary
FY	-	Financial Year
ICT	-	Information Communication Technology
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
PP	-	Public Participation



## ACKNOWLEDGMENT

We acknowledge the County Government of Busia officials for their cooperation and support during the assessment. The officials made valuable contributions throughout the assessment and document review processes and provided useful information and insights to the assessors.

In particular, we appreciate the leadership of the county led by the Governor, H.E Sospeter Ojaamong, the County Secretary, Mr. Nicodemus Mulaku and the KDSP focal person, Mr. Robert Muganda. Further, we take cognizance of 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,



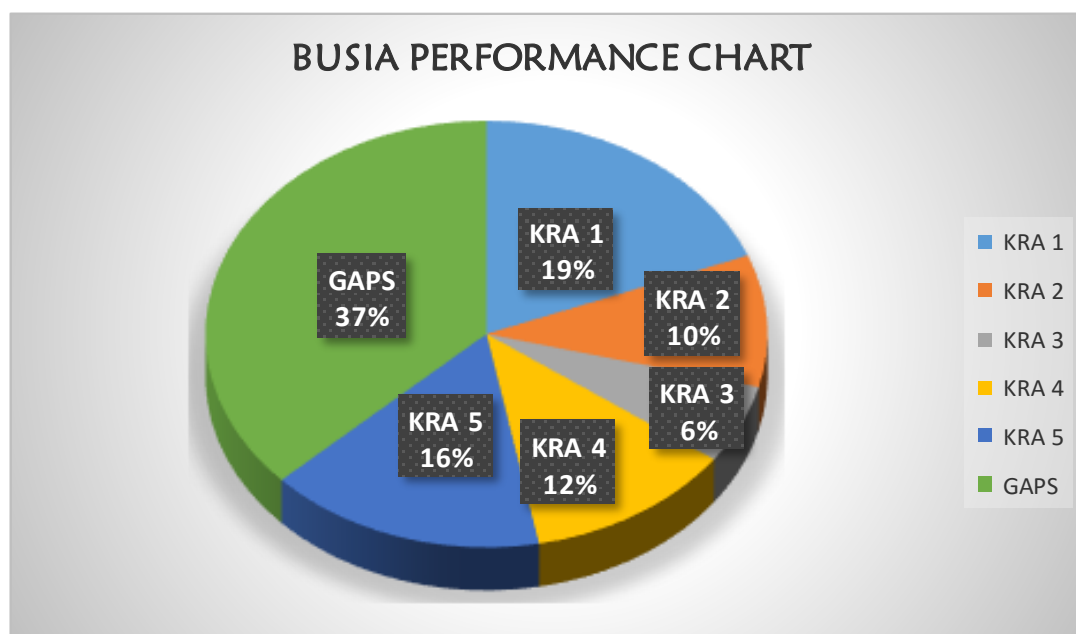
Planning and M&E, Human Resource Management, Devolution, and Inter-Governmental Relations and Public Participation.

This report documents the key issues that arose during the assessment of Busia County Government 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 MAC.
MPC	The CGM all 9 MPCs.

ACPA Measures	Outcome	Score
PM	KRA 1: Public Financial Management	19
	KRA 2: Planning, Monitoring and Evaluation	10
	KRA 3: Human Resources Management	06
	KRA 4: Civic Education and Participation	12
	KRA 5: Investment implementation & Social and Environmental Performance	16
	<b>SCORE OVER 100</b>	<b>63</b>





### Achievements

The County Government of Busia performed very well in all MPCs, Public Financial Management by adhering to the statutory reporting timelines in the submission of all relevant financial reports to the regulatory authorities for oversight in time.

The county equally performed well in the Planning Measures with establishing the Monitoring and Evaluation units, the appointment of designated planning and M & E officer and allocation of a budget to the unit.

The Environmental and Social Safeguards measure also did well as attested by the county collaborations with NEMA to ensure the projects adhered with the guidelines of the NEMA Checklist, EIA reports and Social Audit reports for projects for select projects.

The performance measure of Human Resource equally performed well as evidenced in the recruitment of core staff, job descriptions developed, adopting schemes of from PSCK in guiding the recruitment of core staff was provided. The records for all recruitments, appointments, and promotions were well kept by the CPSB. The performance appraisal system was in place and operationalized. Evidence of signed appraisal documents was also availed.

### Weaknesses

Key areas of weakness were cutting across sectors.

- In Finance, revenue was not automated in the FY 2017/18.
- There were no quarterly audit reports submitted during the FY under review (2017/18).
- Procurement reports were also not submitted to PPRA as required in FY2017/18
- The value of audit queries between FY 2015/16 and 2016/17 was not availed.
- In the planning and M&E, it was noted CAPR for 2016/17 was used to inform the ADP for FY 2017/18.
- Human Resources Department had not developed skills and competency frameworks.
- Performance contract was in place but not operationalized.
- No service re-engineering undertaken in the FY 2017/18
- The Civic education and public participation unit was fair and well-structured, activities were carried out but lacked records

### Challenges

The following were some of the key challenges encountered during the process of undertaking the assignment.

- Most documents from departments could not be accessed quickly which was an indication of poor records management system. This interfered with the agreed program timeliness.



- The self-assessment tool was not well internalized by sector staff prior to the assessment. This derailed the speed of the exercise as most officers were not conversant with the tool hence took time to trace the documents required for the ACPA.
- The procurements reports were not submitted to PPRA quarterly as required
- Complaint handling mechanisms were not easily accessible by the people as they all were online based
- OSR reduced in the two years under review that is FY 2015/16 to FY 2016/17

### Areas of Improvement

- Record Management
- Organizational structure and scoping of departments
- Citizen complaints unit
- Human resource on skills and competency frameworks
- Need to build capacity in audit and financial management to improve on audit reports

## 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 5<sup>th</sup> to 14<sup>th</sup> 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 11<sup>th</sup> 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 basis for 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. 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.
- ii) Proposed and agreed on the schedule dates for the field works
- iii) 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 leaders/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 of Busia staff held the entrance meeting on Monday, 5<sup>th</sup> Nov 2018 at the County Secretary's boardroom at 9.00 am that was chaired by the County Secretary Mr. Nicodemus Mulaku. Opening prayers were offered by Ms. Grace Apadeet. In attendance was an officer from MODA, Ms. Lynette Abdalla. The CS called upon the staff to corporate throughout the exercise.

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

### b) Data Administration

Data collection commenced on Monday, 5<sup>th</sup> Dec 2018 at 10 am. The consultants administered the assessment tool within three (3) working days. The consultant engaged with key CGBS 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, desktop 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: solar mass light at Matayos sub-county, solar mass light at Nambale sub-county, a borehole at Makege ward, a community borehole at Bwiri Ward, town roads upgraded to bitumen standards lots 1 and 2 in Busia town which were projects done by the CGBS.

### c) Exit Meeting-Debriefing

The exit meeting was held on 7<sup>th</sup> Nov 2018 at the Department of Agriculture's boardroom at 3:00 pm that was chaired by the CECM Finance Ms. Phaustine Barasa and an opening prayer by the environment focal person Dennis Chirande

The details highlights of the debrief is shown in Annex 2

#### Time plan

Activity	5/11/2018	6/11/2018	7/11/ 2018	8/11/ 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 are provided in tables 4.1, 4.2 and 4.3 below by MACs, MPCs, and PMs respectively

### 4.1 Minimum Access Conditions (MAC)

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 MoDP/in the Program Operational Manual (POM).	All counties have already signed participation agreements; no need to verify compliance.	MET	The participation agreement letter was signed on 23 <sup>rd</sup> June 2016 by H. E. Sospeter Ojamong
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 2017/18 signed and on 16/2/2018 by Robert Papa and Nicodemus Mulaku, the county secretary as per evidence CGBS/06/01  It was developed according to the standards of program operations 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.	Compliance with investment menu (eligible expenditure) of the Capacity Building Grant released to counties in FY 2016-17 & 2017-18		MET	The CB implementation report FY 2017/2018 was availed as per evidence CGBS/O6/02



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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
		documented in progress reports.  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			The county received a level 1 grant of Kshs 44, 261,335- which was utilized to undertake the following activities:  training of county staffs, mapping of revenue streams, the establishment of the audit committee, the establishment of county strategic delivery unit, the establishment of the civic unit and citizen complaint system, training of village administrators on environmental management
4. Implementation of CB plan	Ensure actual implementation.	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. MoV: Review financial statements and use of CB + narrative of activities (quarterly reports and per the Grant Manual).		MET	In FY 2016/17, no funds were received. In the FY 2017/18 between July 2017 and June 2018, they achieved 55% of the plan. They used Ksh 24,315,380 out of the Ksh. 44,261,335 which was allocated to them in level one as per evidence CGBS/06/02



## 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
<b>Minimum Access Conditions complied with</b>					
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 the MACs above
<b>Financial Management</b>					
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 <b>30<sup>th</sup> September 2017</b> 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 <sup>st</sup> October 2017. The FS has to be in an auditable format.  MoV: Annual financial statements (FSs), submission letters to Office of the Auditor General (OAG) + records in OAG.	3 months after the closure of the FY (30 <sup>th</sup> 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 Consolidated Executive financial statement was available and was submitted to the OAG on 29th Sep 2017 per evidence CGBS/01/01  The statements were prepared in an auditable format as per evidence CGBS/01/01



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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
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 2015/2016 Audit report had a QUALIFIED opinion per evidence CGBS/01/23
<b>Planning</b>					
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 web-site.	<u>Please have the list of 13 counties</u> that qualified for level -2 grant  N.B. The first level 2 grants were granted in FY2017/2018 even though released in early FY18/19	MET	The CIDP for 2013-2017 is available and is on the website, and was signed by chief officer, finance and economic planning. The ADP for FY 2017/18 was available but was not signed, the budget given to the assessment team were both the original budget and the supplementary budget. All the above documents were on the county website, <a href="http://www.busiacyounty.go.ke">www.busiacyounty.go.ke</a> The officers brought a BAC report of the proceeding for a supplementary budget.
<b>Use of funds in accordance with Investment menu</b>					



## 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												
<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>	To ensure compliance with the environmental and social safeguards and ensure efficiency in spending.	<p>Project proposals for use of FY 2017-18 Level 2 grants<sup>1</sup>) 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).</p> <p>For the next ACPA. Review financial statements against the grant guidelines. Check up on use of funds from the C&amp;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>		MET	<p>The county has proposed to utilize the level 2 funds of Ksh 553 million as follows:</p> <table><tr><td>Health</td><td>265,500,000</td></tr><tr><td>Agriculture</td><td>119,000,000</td></tr><tr><td>Water</td><td>81,441,974</td></tr><tr><td>Roads</td><td>69,400,000</td></tr><tr><td>General administration</td><td>17,697,256.36</td></tr><tr><td>Total</td><td>553,039,229.36ksh</td></tr></table> <p>As per evidence CGBS/06/03</p>	Health	265,500,000	Agriculture	119,000,000	Water	81,441,974	Roads	69,400,000	General administration	17,697,256.36	Total	553,039,229.36ksh
Health	265,500,000																
Agriculture	119,000,000																
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Roads	69,400,000																
General administration	17,697,256.36																
Total	553,039,229.36ksh																
Procurement																	
<p>6. Consolidated Procurement plans in place.</p>	To ensure procurement planning is properly coordinated from the central procurement unit instead of at departmental, and to ensure sufficient capacity to handle discretionary funds.	<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 procurement</p>	<p>The situation <u>during</u> FY 2017-18 to be assessed. ACPA to identify last budget revision for FY 2017-18 and then assess whether the consolidated</p>	MET	<p>The Executive has a procurement plan as per evidence CGBS/01/05</p> <p>The Executive and the County Assembly have different procurement plans</p> <p>The Procurement plan</p>												

<sup>1</sup>Level 2 grants for FY 2017-18 were not released until the beginning of FY 2018-19.



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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>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>	procurement plan existed <u>and</u> was updated. (Emphasis should be on the Executive procurement plan 2017/2018)		comprises the needed projects and is in line with the procurement procedures CGBS/01/05
<b>Core Staffing in Place</b>					
7. County Core staff in place	To ensure minimum capacity in staffing	<p>Core staff in place (see also County Government Act Art. 44). The following staff positions should be in place:</p> <ul style="list-style-type: none"> <li>• Procurement officer</li> <li>• Accountant ()</li> <li>• Focal Environmental and Social Officers designated to oversee environmental and social safeguards for all subprojects</li> <li>• M&amp;E officer</li> </ul> <p><u>MoV</u>: Staff organogram, schemes of service to review the</p>	At the point of time for the ACPA.	MET	<p>The county has core staff in place as follows:</p> <ul style="list-style-type: none"> <li>• The M&amp;E officer is Joselyn Chepkwony. Appointment letter dated 15/10/2016 and job description was presented. She has a B.A in economics and has a job description. Evidenced as CGBS/03/08</li> <li>• The procurement officer is Sharon Naomi Ndakalu &amp; her</li> </ul>



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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>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 <b>acting</b> in positions may also fulfill the conditions if they comply with the qualifications required in the schemes of service.</p>			<p>appointment letter dated 10/3/2016 with a job description was presented. She has a diploma in supplies management and is a member of the Kenya Institute of supplies management (KISM). Evidenced as CGBS/03/11</p> <ul style="list-style-type: none"> <li>• The environment officer is Dennis Chirande &amp; his appointment letter with a job description dated 21<sup>st</sup> October 2015 was presented. He has a degree in Biotechnology. Evidenced as CGBS/03/09</li> <li>• The Accountant is Maxmilla Nekesa and her appointment letter dated 10/08/2011 with the job description was availed. She has CPA(K) as per evidence CGBS/03/10</li> <li>• The County has an organogram in place for each department as per</li> </ul>



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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
					evidence CGBS/03/03
<p>8 Functional and Operational Environmental and Social Safeguards Systems (i.e. screening/vetting, clearance/ approval, enforcement &amp; compliance monitoring, documentation &amp; 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>	<p>1. Counties endorse, ratify and comply with an environmental and social management system to <b>guide investments</b> (from the ACPA starting September 2016).</p> <p>MOV: NEMA Certification of subprojects. Relevant county project documents.</p> <p>2. Appointed environmental and social focal points are actively involved in screening, overseeing comprehensive and participatory ESMPs for all KDSP investments.</p> <p>MOV: (ACPA 3) relevant county project documents.</p> <p>3. All proposed investments are <b>screened*</b> against a <u>set of environmental and social criteria/checklist</u>, safeguards instruments prepared. (Sample 5-10 projects). (From the second AC&amp;PA, Sept. 2016).</p> <p>4. ESIA or detailed ESMPs are developed for all investments drawing on inclusive public consultations on E&amp;S impacts of specific investments. All proposed investments are</p>	<p>Note that the first installment of the expanded CPG investment menu covering sectoral investments starts from July 2017 (FY 202017/2018). 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 3<sup>rd</sup> AC&amp;PA, see the previous column for details).</p>	MET	<p>1. In FY 2017/2018, the county used the EMCA Act 1999 to screen projects. They have come up with a NEMA checklist for FY 2018/2019 as per evidence CGBS/05/04</p> <p>2. The Environment officer, Dennis Chirande has an appointment letter with a job description dated 21<sup>st</sup> October 2015. He has a degree in Biotechnology CGBS/03/09</p> <p>There was an environmental and social management framework dated May 2018 CGBS/05/07</p> <p>3. EIA letter and report for the sampled projects are available. They include:</p> <p>4) Proposed upgrading of town roads to bitumen standards in Huduma center lot 1 as per evidence CGBS/05/08</p> <p>5). The solar-powered borehole in Teso South per evidence CGBS/05/09</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
		<p>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"> <li>Required safeguard instruments prepared and approved by the relevant authorities.</li> <li>Proper land acquisition procedures were followed<sup>2</sup></li> </ul> <p>5. Operational/functioning County Environment Committee (either set up as per EMCA or technical committee established by the County Government).</p> <p><u>MoV</u>: Evidence of gazettment <b>or</b> appointment of members and meeting minutes.</p>			<p>6). Proposed installation of solar mass lights per evidence CGBS/05/10</p> <p>7). Drilling, development, test pumping and equipping of the borehole at Ibandaper evidence CGBS/05/11</p> <p>8). Proposed upgrading of town roads to bitumen standards per evidence CGBS/05/12</p> <p>9). Proposed Nabuganda community borehole as per evidence CGBS/05/13</p> <p>10). Proposed Bwiri A community borehole as per evidence CGBS/05/14</p> <p>11). Drilling, development, test pumping and equipping of the borehole at Makege as per evidence CGBS/05/15</p> <p>12). Proposed completion of a maternity wing in Khunyangu per evidence CGBS/05/16</p> <p>13). Fuel levy road in Mauko-Siteko as per</p>

<sup>2</sup>If 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
					evidence CGBS/05/17  14. In the FY 2017/2018, there was a technical environment committee with minutes in place CGBS/05/01  15) No RAP project is done since there were no displacements of persons  16. Gazettement of members of Busia county environment committee was done on 29 <sup>th</sup> June 2018. was availed as per evidence CGBS/05/02
9 Citizens' Complaint system in place	To ensure a sufficient level of governance and reduce risks for mismanagement.	Established an Operational Complaints Handling System including: <ul style="list-style-type: none"> <li>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).</li> </ul> <u>MoV</u> : Proof of formal establishment and operations	At the point of time for the ACPA. <ul style="list-style-type: none"> <li>formal designation of responsible persons and their functions in complaints handling (MET)</li> <li>standards, guidelines or service charters that regulate how complaints are handled (to bring evidence of service charter)</li> </ul>	MET	a) There is complaint handling system that was formed in 2016 as per evidence CGBS/4/05  b) There was a designated focal person Mr. Robert Papa for complaints handling. No evidence was provided.  c) There is a registry in the unit that has a standard format for registering complaints in each department and also in each ward at the ward administrator's office as per



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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>of complaints handling system (more than half of the below):</p> <ul style="list-style-type: none"> <li>formal designation of responsible persons and their functions in complaints handling ()</li> <li>standards, guidelines or service charters that regulate how complaints are handled</li> <li>register(s) of complaints and actions taken on them</li> <li>Minutes of meetings in which complaints handling is discussed within the internal framework for handling complaints.</li> <li>Reports/communication to management on complaints handled</li> <li>Evidence of a feedback mechanism to the complainant on the progress of complaint.</li> </ul> <p><i>See also County Government Act Art. 15 and 88 (1)</i></p>	<ul style="list-style-type: none"> <li>register(s) of complaints and actions taken on them(TO bring evidence)</li> <li>Minutes of meetings in which complaints handling is discussed within the internal framework for handling complaints. (met)</li> <li>Reports/communication to management on complaints handled( not met)</li> <li>Evidence of a feedback mechanism to the complainant on the progress of complaint. (not met)</li> </ul>		<p>evidence CGBS/04/04</p> <p>d)There is also a designated officer in charge of taking complaints in the unit, there are suggestion boxes in each office in the county,</p> <p>A complaint form that citizens fill their complaints is available as per evidence CGBS/04/04</p> <p>e) There is a complaint committee in place which was formed on 3<sup>rd</sup> January 2017 as per evidence CGBS/04/09</p>



### 4.3 Performance Conditions

The summary of results for Performance Conditions 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
<b>KRA 1: Public Financial Management</b> <b>Max score: Maximum 30 points.</b>							
<b>Strengthened budget formulation, resource mobilization, and allocation</b>							
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).	<b>Maximum 2 points.</b>  2 milestones (a & b) met: 2 points  1 of the 2 milestones met: 1 point	<b>2</b>	a) The FY 2017/2018 budget was duly approved, and it is a PBB. The budget is online at <a href="http://www.busiacounty.go.ke">www.busiacounty.go.ke</a>  b) The budget was developed using Hyperion model
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 –	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.	<b>Max. 3 points</b>  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:	<b>3</b>	a) CEC finance issued a circular on 24 <sup>th</sup> August 2016 as per evidence CGBS/01/14  b) A letter showing submission of the CBROP to the executive from CEC finance dated 24 <sup>th</sup> September 2016 as per evidence CGBS/01/16  Submission from the CEC finance to county assembly on 23 <sup>rd</sup> October 2016 as per



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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>submission by county treasury to CEC by 30 September to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15<sup>th</sup> October.</p> <p>c) County fiscal strategy paper (FSP) – submission (by county treasury) of county strategy paper to county executive committee by 28<sup>th</sup> Feb, County Treasury to submit to county assembly by 15<sup>th</sup> 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 30<sup>th</sup> April latest.</p> <p>e) County assembly passes a budget with or without amendments by 30<sup>th</sup> June latest.</p>		0 points.		<p>evidence CGBS/01/17</p> <p>c) CFSP submitted to Executive by the County Treasury on 19<sup>th</sup> January 2017 and submitted to the county assembly on 26<sup>th</sup> February 2017 as per evidence CGBS/01/09.</p> <p>d) CEC finance submitted the budget estimates to County Assembly by 30<sup>th</sup> March 2017 as per evidence CGBS/01/12</p> <p>e) The budget was passed by county assembly on 14<sup>th</sup> June 2017 as per evidence CGBS/01/29</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 <b>original</b> budget and the annual financial statements, budget progress reports, audit reports, etc. Use figures from IFMIS (general ledger	<b>Max. 4 points.</b> <u>a)</u> : If expenditure deviation between total budgeted	<b>1</b>	<p>a) Total aggregate expenditure for FY 2017/18 = Ksh 5,951,740,000 while the approved budget was Ksh 7,449,020,000</p> <p>This is a deviation of Ksh</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
			allocations (average across sectors).	report at department (sub-vote) level).	<p>expenditures and total exp. in the 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>1,497,280,000</p> <p>Thus, aggregate expenditure out-turns compared to original approved budget is 22.3%.</p> <p>b) The expenditure composition for the sectors was as follows:</p> <ul style="list-style-type: none"> <li>Office of the Governor had a budget of Ksh. 358,330,000 while the actual expenditure was Ksh. 348,320,000 having a variance of 22%.</li> <li>Finance and economic planning had a budget of Ksh. 1,003,810,000 while the actual expenditure was Ksh. 976,560,000 having a variance of 22.1%.</li> <li>Public Service and Administration had a budget of Ksh. 61,500,000 while the actual expenditure was Ksh. 60,010,000 having a variance of 22.5%.</li> <li>Office of the deputy governor had a budget of Ksh. 30,330,000 while the actual expenditure was Ksh. 13,080,000 having a variance of 45.6%.</li> <li>Water Environment and Natural Resource had a</li> </ul>



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							<p>budget of Ksh. 313,080,000 while the actual expenditure was Ksh. 307,630,000 having a variance of 23.3%.</p> <ul style="list-style-type: none"><li>• Social Services, Youth and Sports had a budget of Ksh. 159,770,000 while the actual expenditure was Ksh. 124,970,000 having a variance of 1.8%.</li><li>• Transport, Infrastructure and Public Works had a budget of Ksh. 957,290,000 while the actual expenditure was Ksh. 585,100,000 having a variance of 23.3%.</li><li>• Lands and housing had a budget of Ksh. 256,970,000 while the actual expenditure was Ksh. 144,160,000 having a variance of 29.6%.</li><li>• Health Services had a budget of Ksh. 1,838,370,000 while the actual expenditure was Ksh. 1,693,880,000 having a variance of 15.6%.</li><li>• Agriculture had a budget of Ksh. 403,690,000 while the actual expenditure was Ksh. 308,170,000 having a variance of 4.2%.</li></ul>



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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
							<ul style="list-style-type: none"> <li>Trade had a budget of Ksh. 191,960,000 while the actual expenditure was Ksh. 59,270,000 having a variance of 61.2%.</li> <li>Education had a budget of Ksh. 606,010,000 while the actual expenditure was Ksh. 278,660,000 having a variance of 42.3%.</li> <li>CPSB had a budget of Ksh. 59,500,000 while the actual expenditure was Ksh. 45,890,000 having a variance of 3.2%.</li> <li>County secretary had a budget of Ksh. 118,880,000 while the actual expenditure was Ksh. 121,340,000 having a variance of 28.1%.</li> </ul> <p><b>Expenditure composition for each sector is 22.3% as per evidence GKK/01/11</b></p>
<b>Revenue Enhancement</b>							
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.	<b>Max: 2 points.</b> Over 80% = 2 points Over 60% = 1 point	<b>1</b>	Revenue collected through automation in the FY 2017/2018 is Ksh 193,762,871-  Total OSR revenue collected in FY 2017/18 is Ksh 256,135,536- which represents 76% of the ORS as per evidence CGBS/01/19
1.5		Increase on a	% increase in OSR from	Compare the annual	<b>Max. 1 point.</b>	<b>0</b>	Revenue collected in



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		yearly basis in own-source revenues (OSR).	last fiscal year but one (the year before the previous FY) to previous FY  Compare FY 2015/16 & 2016/17	Financial Statement from two years. (Use of nominal figures including inflation etc.).	If increase is more than 10 %: 1 point.		FY 2015/2016 is Ksh 334, 224,084-  Revenue collected in FY 2016/2017 is Ksh 256,135,556  This represents a decrease of 23.36% of OSR as per evidence CGBS/01/19
<b>Enhanced capacity of counties on execution (including procurement), accounting and reporting</b>							
1.6	Reporting and accounting in accordance with PSASB guidelines	Timeliness of in-year budget reports (quarterly to Controller of Budget).	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.  b) Summary revenue, expenditure and progress report is published in the local media/web-page.	Review quarterly reports, date and receipts (from CoB).  Check against the PFM Act, Art. 166.  CFAR, Section 8.  Review website and copies of local media for evidence of publication of summary revenue and expenditure outturns.	<b>Max. 2 points.</b>  (a &b) Submitted on time and published: 2 points.  (a only): Submitted on time only: 1 point.	1	A) Quarterly reports were submitted as follows Q1-29 <sup>th</sup> November 2017 as per evidence CGBS/01/04 Q2-24 <sup>th</sup> January 2018 as per evidence CGBS/01/03 Q3- 30 <sup>th</sup> April 2018 as per evidence CGBS/01/02 Q4-18 <sup>th</sup> July 2018 as per evidence CGBS/01/01  They are available in the website <a href="http://www.busiacity.go.ke">www.busiacity.go.ke</a> b) The revenue expenditure and progress reports are available and were published online at <a href="http://www.busiacity.go.ke">www.busiacity.go.ke</a>
1.7		Quality of financial statements.	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,	Review annual financial statements, bank conciliations and related documents and appendixes to the FS, date, and receipts (from CoB and	<b>Max. 1 point.</b> Quality as defined by APA team or NT assessment (excellent/satisf	1	Financial statements are satisfactory. They were submitted to National Treasury and Controller of the budget in time. It included all the requirements required by PFM



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			bank reconciliations linked with closing balances, budget execution report, schedule of outstanding payments, an appendix with fixed assets register.	NT). Check against the PFM Act, Art. 166 and the IPSAS format. CFAR, Section 8. Check against requirements.  If possible, review ranking of F5 by NT (using the County Government checklist for in-year and annual report), and if classified as excellent or satisfactory, conditions are also complied with.	actory): 1 point		Act as per evidence found at the C.O.B website <a href="https://cob.go.ke/publications">https://cob.go.ke/publications</a>
1.8		Monthly reporting and up-date of accounts, including:	The monthly reporting shall include: <b>1.</b> Statements of receipts and payments, including: <b>a.</b> Details of income and revenue <b>b.</b> Summary of expenditures <b>2.</b> Budget execution report, <b>3.</b> Statement of Financial position, including (as annexes): <b>a.</b> Schedule of imprest and advances; <b>b.</b> Schedule of debtors and creditors;	Review monthly reports.  See also the PFM Manual, p. 82 of which some of the measures are drawn from.	<b>Max. 2 points.</b>  If all milestones (1-3) met for at least 10 out of 12 months: 2 points  If 1 or 2: 1 point  If none: 0 points.	<b>2</b>	The monthly reports of accounts revealed that all the 5 milestones (a-e) were met as per evidence as CGBS/01/01 and CGBS/01/22



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			c. Bank reconciliations and post in general ledger.				
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.	Review assets register and sample a few assets. PFM Act. Art 149. Checkup-dates.	<b>Max. 1 point.</b> Registers are up-to-date: 1 point.  Transitional arrangements: <u>First year:</u> Assets register to need only to contain assets acquired by county governments since their establishment.  <u>Second year onwards:</u> register must include all assets, including those inherited from Local Authorities and National Ministries	<b>1</b>	The asset register is up to date and includes assets recorded on as per evidence physical inspection and verification of assets once a year CGBS/01/30(soft copy)
<b>Audit</b>							
1.10.	<b>Internal audit</b>	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	Review audit reports.  Check against the PFM Act Art 155	<b>Max. 1 point.</b>  4 quarterly audit reports submitted in	<b>1</b>	The Audit committee appointment is still in progress hence no committee in place as of the time of assessment 5/11/2018. as per evidence



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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
			submitted to Governor)		the previous FY: 1 point.		<p>CGBS/01/27</p> <p>Audits are done by the Internal Audit department and submitted to the governor as per evidence CGBS/01/25</p> <p>Audit reports done on each department according to the risk-based annual work plan submitted to the governor are available as per evidence CGBS/01/25</p> <p>They don't have quarterly reports available for financial year 2017/2018 instead the audit reports are done based on the work plan(risk-based annual work plan) on specific departments or county entities ranging from one quarters to the full financial year as per evidence CGBS/01/25</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-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</p>	<p><b>Max. 1 point.</b></p> <p>IA/Audit Committee established, and reports reviewed by Committee and evidence of follow-up: 1 point.</p>	<b>0</b>	<p>No audit committee in place as of the time of assessment 5/11/2018. Minutes of the audit department doing internal audits are available</p> <p>The letter nominating the committee members to the governor to appoint them was held on 30<sup>th</sup> May 2018 as per evidence CGBS/01/27</p> <p>The audit reports are done by the internal audit department</p>



## 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
				follow-up meetings in the Committee). PFM Act Art 155.			and the reports addressed to the accounting officers being audited and copies sent to relevant persons and the governor as per evidence CGBS/01/25  There is no follow up of issues raised in the last financial year
1.12	External audit	Value of audit queries	The value of audit queries as a % of total expenditure  Use FY 2016/17	A review audit report from KENAO.  Total expenditure as per reports to CoB.	<b>Max. 2 points</b>  Value of queries <1% of total expenditures: 2 points  <5% of total expenditure: 1 point	<b>0</b>	The sum total of audit queries for FY 2015/16 was 336,388,459. The Total expenditure for FY 2015/16 was 6,088,951,128. Therefore, the value of the audit queries against Total Expenditure is 5.5%
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 for FY 2015/16 & 2016/17	Review audit reports from KENAO from the last two audits.	<b>Max. 1 point.</b>  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.	<b>1</b>	The sum total of audit queries for FY 2015/16 was 336,388,459. The Total expenditure for FY 2015/16 was 6,088,951,128 Therefore, the value of the audit queries against Total Expenditure is 5.5%  The sum total of audit queries for FY 2016/17 was 1,885,650 The Total expenditure for FY 2016/17 was 6,663,512,023. Therefore, the value of the audit queries against Total Expenditure is 0.03% Hence the value of audit queries reduces



## 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
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.	<b>Max. 1 point.</b> Tabling of the audit report and evidence of follow-up: 1 point.	1	There is a report by the county assembly scrutinizing the OAG audit report. Report not carried as it was too bulky.
<b>Procurement</b>							
1.15	<b>Improved procurement procedures</b>	Improved procurement procedures including use of IFMIs, record keeping, adherence to procurement thresholds and tender evaluation.	<p>Note: When PPRA develop a standard assessment tool, APA will 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</p>	<p>Annual procurement assessment and audit by PPRA and OAG</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</p>	<p><b>Max. 6 points.</b></p> <p>a) IFMIS Steps: &lt;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): <b>1 point</b></p> <p>c) Adherence with procurement thresholds and procurement methods for type/size of procurement in</p>	4	<p>a) The County follows the 22 IFMIS e-procurement steps.</p> <p>b) Quarterly procurement reports were submitted to PPRA as follows:</p> <ul style="list-style-type: none"> <li>ON 21/02/2018 (1<sup>st</sup> and 2<sup>nd</sup> quarter) as per evidence CGBS/01/07</li> <li>3<sup>rd</sup> quarter) on 30/04/2018 as per evidence CGBS/01/08</li> <li>(4<sup>th</sup> quarter) on 20/7/2018 as per evidence CGBS/01/06</li> </ul> <p>c) Tenders above 2M have been advertised for open tender and tenders below 2M quotations were done as per evidence CGBS/01/21</p> <p>d) There is secure adequate storage for all files and equipment's The following files were available in the store:</p>



## 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
			<p>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 signed by each member of the evaluation team, available for a sample of 5 large procurements (2 points)</p>	files.	<p>a sample of procurements: <b>1 point.</b></p> <p>d) Storage space and single complete files for a sample of 5 procurements: <b>1 point</b></p> <p>e) Evaluation reports: <b>1 point</b></p>		<p>1. Proposed upgrading of town roads to bitumen standards in huduma center lot 1</p> <p>2. The solar-powered borehole in Teso south</p> <p>3. Proposed installation of solar mass lights</p> <p>4. Drilling, development, test pumping and equipping of the borehole at Ibanda</p> <p>5. Proposed upgrading of town roads to bitumen standards</p> <p>6. Proposed Nabuganda community borehole</p> <p>7. Proposed Bwiri A community borehole</p> <p>8. Drilling, development, test pumping and equipping of the borehole at Makenge</p> <p>9. Proposed completion of a maternity wing in Khunyangungu</p> <p>10. Fuel levy road in Mauko-Siteko</p> <p>e) Duly completed evaluation reports were available for the following procurements:</p> <p>1. Street lighting of the major markets in the whole county</p>



## 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
							2. completion of a maternity wing in Khunyanga 3. Establishment of a solid waste management system 4. Establishment of a solid waste management system 5. Proposed upgrading of town roads to bitumen standards as per evidence CGBS/01/21
<b>Key Result Area 2: Planning and M&amp;E</b> <b>Max score: (tentative 20 points)</b>							
2.1	County M&E system and frameworks developed	County M&E/Planning unit and frameworks in place.	a) Planning and M&E units (may be integrated into one) established. b) There are designated planning and M&E officer and each line ministry has a focal point for planning and one for M&E c) Budget is dedicated to both planning and M&E.	Review staffing structure and organogram.  The clearly identifiable budget for planning and M&E functions in the budget.	<b>Maximum 3 points</b>  The scoring is one point per measure Nos. a-c complied with.	<b>3</b>	A) The Unit is established and has an organogram.  B) A designated officer Ms. Joselyn Chepkwony was appointed as M&E officer in a letter dated 15/10/2016. She has a B.A in economics and has a job description Each line ministry has a focal point for planning and M&E CGBS/03/08  C) The unit has a designated budget with a projection of 3.5 M and 3.6 M as per evidence of the budget online at <a href="http://www.busiaincounty.go.ke">www.busiaincounty.go.ke</a>
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.	<b>Maximum: 1 point</b>  Compliance: 1 point.	<b>0</b>	M&E committee not appointed due to lack of a policy on M&E



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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
2.3	County Planning systems and functions established	CIDP formulated and updated according to guidelines	a) CIDP: adheres to guideline structure of CIDP guidelines, b) CIDP has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators included; and c) Annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue.	CIDP submitted in the required format (as contained in the CIDP guidelines published by MoDP).  See County Act, Art. 108, Art 113 and Art. 149.  CIDP guidelines, 2013, chapter 7.	<b>Maximum: 3 points</b>  1 point for compliance with each of the issues: a, b and c. a=1 b=1 c=1	2	A) The CIDP was submitted in the required format  B) CIDP for 2013-2017 has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators  C) The annual requirements of the CIDP were 89%
2.4		ADP submitted on time and conforms to guidelines	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).  b) ADP contains issues mentioned in the PFM Act 126,1, <u>number A-H</u>	Review version of ADP approved by County Assembly for structure, and approval procedures and timing, against the PFM Act, Art 126, 1.	<b>Maximum: 4 points</b>  Compliance a): 1 point.  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.	2	a) No submission letter of ADP provided  b) The ADP has strategic priorities, on the financial and economic environment, programs, payments by county government and summary details on resource mobilization  The ADP is uploaded online at <a href="http://www.busiacity.go.ke">www.busiacity.go.ke</a>
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 ADP is within +/- 10 % of final	Review the three documents: CIDP, ADP and the budget. The budget should be consistent with the CIDP	<b>Maximum: 2 points</b>  Linkages and within the	2	A sample of the following 10 projects are linked in the CIDP, ADP & the budget and are within the budget ceiling:



## 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
			budget allocation)	and ADP priorities.  The costing of the ADP is within +/- 10% of the final budget allocation.  Sample 10 projects and check that they are consistent between the two documents.	ceiling: 2 points.		1. Proposed upgrading of town roads to bitumen standards in huduma center lot 1 2. The solar-powered borehole in Teso south 3. Proposed installation of solar mass lights 4. Drilling, development, test pumping and equipping of the borehole at Ibanda 5. Proposed upgrading of town roads to bitumen standards 6. Proposed Nabuganda community borehole 7. Proposed Bwiri A community borehole 8. Drilling, development, test pumping and equipping of the borehole at Makenge 9. Proposed completion of a maternity wing in Khunyangungu 10. Fuel levy road in Mauko-Siteko
2.6	Monitoring and Evaluation systems in place and used, with feedback to plans	Production of County Annual Progress Report	a) County C-APR produced; b) Produced timely by September 1 and c) C-APR includes clear performance progress against CIDP indicator targets and within result matrix for results and implementation.	Check contents of C-APR and ensure that it clearly link s with the CIDP indicators.  Verify that the indicators have been sent to the CoG	<b>Maximum: 5 points.</b>  a) C-APR produced = 2 points  b) C-APR produced by end of September. 1 point.	<b>0</b>	a) The CAPR not produced as scheduled



## 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
			(Ad b) Compliance if produced within 3 months of the closure of a FY and sent to Council of Governors for information. This will be done in reference to the County Integrated M&E System Guidelines.		c) C-APR includes performance against CIDP performance indicators and targets and with result matrix for results and implementation : 2 points. (N.B. if results matrix is published separately, not as part of the C-ADP, the county still qualifies for these points)		
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).	<b>Maximum: 1 point.</b>  Evaluation is done: 1 point.	<b>1</b>	Evaluation of CIDP projects on the following projects: 1. Street lighting of the major markets in the whole county 2. Completion of a maternity wing in Khunyanga 3. Establishment of a solid waste management system 4. Establishment of a solid waste management system 5. Proposed upgrading of town roads to bitumen standards as per evidence CGBS/02/01
2.8		Feedback from	Evidence that the ADP and	Review the two documents	<b>Maximum: 1</b>	<b>0</b>	The ADP and the budget were



## 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
		the Annual Progress Report to Annual Development Plan	budget are informed by the previous C-APR.	for evidence of C-APR informing ADP and budget	<b>point.</b> Compliance: 1 point.		being informed by the CBROP and project implementation status report instead of CAPR
<b>Key Result Area 3: Human Resource Management</b> <b>Max score: 12 points.</b>							
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&amp;PA), there should be evidence that CB/skills assessments are conducted annually to get points on (b). Targets within (+/- 10 % variations).</p>	<p><b>Maximum 3 points:</b></p> <p>First AC&amp;PA: a = 2 points, b = 1 point c = NA.</p> <p>Future AC&amp;PAs: a=1 point, b = 1 point, c = 1 point</p>	<b>2</b>	<p>a). There is a staffing plan for FY2017/2018 is in place. It outlines the recruitment procedure, career progression, and schemes of services. The HR policies are borrowed from the human resource policies and procedures manual for public service commission as per evidence CGBS/03/06</p> <p>b. There is an annual projection for recruitment for FY2017/2018 as per evidence CGBS/03/14</p> <p>c. Annual targets not met</p> <p>Advertisements and recruitment of officers within different departments in the county information is found in the website <a href="http://www.busiacity.go.ke">www.busiacity.go.ke</a> Minutes of promotion of staffs was done as per evidence CGBS/03/05</p>
3.2	Job descriptions, including skills and	Job descriptions, specifications and	a) Job descriptions in place and qualifications met	Job descriptions Skills and competency	<b>Maximum score: 4 points</b>	<b>2</b>	a) Job description with appointments letters and the



## 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
	competence requirements	competency framework	<p>(AC&amp;PA 1: Chief officers/heads of departments; 2nd AC&amp;PA: all heads of units; future AC&amp;PAs all staff (sample check))</p> <p>b) Skills and competency frameworks and Job descriptions adhere to these (AC&amp;PA 1: Chief officers/heads of departments; 2nd AC&amp;PA: all heads of units; future AC&amp;PAs all staff (sample check))</p> <p>c) Accurate recruitment, appointment and promotion records available</p>	<p>frameworks.</p> <p>Appointment, recruitment and promotion records</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>		<p>roles and responsibilities of the staff were availed as per evidence CGBS/03/08-CGBS/03/11</p> <p>b)The county has a competency framework done in June 2018, for example, there was training on 18/06/2018 for staffing plan and competency framework as per evidence CGBS/03/06</p> <p>c)There are minutes to show promotions and re-designation of officers in the department of agriculture and animal resources held on 20<sup>th</sup> July 2017</p> <p>County human resource management committee held on 11<sup>th</sup> October 2017. There were no clear records of recruitment, re-designation, and promotion of employees as per evidence CGBS/03/05</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</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><b>Maximum score: 5 points.</b><sup>3</sup></p> <p>a) Staff appraisal for all staff in place: 1 point. (If staff</p>	2	<p>a) Staff appraisal and performance process have been developed and is operationalized as per evidence CGBS/03/12</p> <p>b) performance contracts FY</p>

<sup>3</sup> Note: higher points only expected in subsequent ACPAs, but PM is kept stable across ACPAs.



## 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
			operationalized c) service re-engineering undertaken d) RRI undertaken	Re-engineering reports covering at least one service  RRI Reports for at least one 100-day period	appraisal for  b) Performance Contracts in place for CEC Members 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/upscale: 1 point		17/18 pc for CEC's, chief officers, and directors were not signed because of the election period -there are two samples of performance appraisal systems -They have Q1, Q2 signed on 28 <sup>th</sup> Dec2017, Q3 signed 28 <sup>th</sup> March 2018, Q4 26 <sup>th</sup> June 2018 financial report as per evidence CGBS/03/12 C) There is no service re-engineering undertaken  D)They gave an RRI report although the report given does not qualify to be an RRI as per evidence CGBS/03/15
<b>Key Result Area 4: Civic Education and Participation - <i>A citizenry that more actively participated in county governance affairs of the society</i></b> <b>Max score: 18 points</b>							
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,	County Act, Art 99-100.	<b>Maximum 3 points.</b>  CEU fully established with all milestones (a) - (e)	<b>2</b>	a) The CE unit was established vide letter dated 3 <sup>rd</sup> January 2017 evidence CGBS/04/09 b) The department has dedicated 13 staffs headed by Mr. Robert Papa.



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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
			(d) Programs planned, including curriculum, activities etc. and (e) Tools and methods for CE outlined.		<p>complied with: 3 points.</p> <p>2-4 out of the five milestones (a-e): 2 points</p> <p>Only one: 1 point.</p>		<p>c)The unit didn't have a budget allocation</p> <p>d) The CE programmes are planned &amp; there is a CE Curriculum available as per evidence as CGBS/04/10</p> <p>e) CD's, manuals, radios advertisement, public forums were used as per evidence CGBS/03/11</p>
4.2		Counties roll out civic education activities	Evidence of roll-out of civic education activities – (minimum 5 activities).	County Act, art. 100. 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><b>Maximum 2 points.</b></p> <p>Roll out of minimum 5 civic education activities: 2 points.</p>	<b>2</b>	<p>The county rolled 5 CE activities listed below:</p> <ol style="list-style-type: none"> <li>1. Public hearing in participation for county fiscal strategy paper for FY 2017/2018 from 15<sup>th</sup> -21<sup>st</sup> December 2018 as per evidence CGBS/ 04/01</li> <li>2. Public participation for the county budget estimates FY 2017/2018 held on 14<sup>th</sup> May -18<sup>th</sup> May 2018 as per evidence CGBS/ 04/03</li> <li>3. Public participation for the County Integrated Development Plan from 7<sup>th</sup>-8<sup>th</sup> December 2017 as per evidence CGBS/ 04/02</li> <li>4. Training workshop on complaints and grievance redress system in Kisumu on 23<sup>rd</sup> May 2018</li> <li>5. Joint workshop on complaint management</li> </ol>



## 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
							system and effective public participation for Busia county staff with Taita - Taveta county held in Kisumu on 26-29 <sup>th</sup> June 2018.
4.3	Counties set up institutional structures systems & process for Public Participation	Communication framework and engagement.	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.) b) Counties have designated officer in place, and the officer is operational.	County Act, Art. 96.  Review approved (final) policy/procedure documents describing access to information system and communication framework and review evidence of public notices and sharing of documents.  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.)	<b>Maximum 2 points.</b>  a) Compliance: 1 point.  b) Compliance: 1 point.	<b>2</b>	a) The county has a System for Access to information/ Communication framework. The county uses the local radio station to get information out to the citizens, use of WhatsApp, SMS complaints system and use of public participation forums as per evidence in a CD labeled CGBS/ 04/11  b) There is a designated officer to handle complaints and civic education, Mr. Robert Papa. Ward administrators also document complaints in their ward and forward them to the county CE&PP officer for solving.
4.4		Participatory planning and budget forums held	a) Participatory planning and budget forums held in the previous FY before the plans were completed for on-going FY.  b) Mandatory citizen engagement /consultations	PFM Act, Art. 137.  County Act, 91, 106 (4), Art. 115.  Invitations Minutes from meetings in the forums.	<b>Maximum 3 points.</b>  All issues met (a-f): 3 points.  4-5 met: 2 points.	<b>1</b>	a) Budget forum and participatory forums were held as per evidence CGBS/ 04/03 b) Public participation for the county budget estimates FY 2017/2018 held on 14th May - 18th May 2018 as per evidence CGBS/ 04/03



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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>held 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 MoDA.</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>List of attendances, Meetings at ward levels, 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>	1-3 met: 1 point.		<p>c)The representation did not meet the PFMA requirements</p> <p>d) Invitation letters were sent out and venues indicated. There was a program for the forums as per evidence CGBS/ 04/03</p> <p>e) No evidence provided for citizens engagement</p> <p>f) No evidence provided for feedback on how citizens feedback were handled</p>
4.5.		Citizens' feedback	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 a feedback mechanism in place.	<p><b>Maximum points: 1</b></p> <p>Compliance: 1 point.</p>	0	No evidence of citizens engagements in meetings
4.6		County core financial materials, budgets, plans,	<p>Publication (on county web-page, in addition to any other publication) of:</p> <p>i) County Budget Review</p>	<p>PFM Act Art 131. County Act, Art. 91.</p> <p>Review county web-page.</p>	<p><b>Maximum points: 5 points</b></p> <p>9 issues: 5</p>	3	As of the assessment dates 5-7 <sup>th</sup> November, the following documents were not available on the website:



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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
		accounts, audit reports and performance assessments published and shared	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)	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.		<ul style="list-style-type: none"> <li>C-APR</li> <li>county citizen budget</li> <li>audit report 2017/2018</li> <li>procurement plan</li> </ul>
4.7		Publication of bills	All bills introduced by the county assembly have been published in the national and in county gazettes or county website, and similarly for the legislation passed.	County Act, Art. 23. Review gazetted bills and Acts, etc. Review the county website.	<b>Maximum 2 points</b> Compliance: 2 points.	<b>2</b>	Bills available on the website is done in FY 2017/2018 included: <ul style="list-style-type: none"> <li>Finance bill;</li> <li>Appropriation act.</li> </ul>



## 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
<b>Result Area 5. Investment implementation &amp; social and environmental performance</b> <b>Max score: 20 points.</b>							
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.</i> If there are more than 10 projects a sample of 10 larger projects are made and weighted according to the size.</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&amp;E reports etc.</p>	<p><b>Maximum 6 points</b></p> <p>More than 90 % implemented: 6 points (6 points in the first two AC&amp;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</p>	<b>6</b>	<p>10 Projects were sampled and only one (Proposed completion of a maternity wing in Khunyangu) was incomplete. This is equivalent to 90%</p> <p>1. Proposed upgrading of town roads to bitumen standards in Huduma center lot 1 as per evidence CGBS/05/08</p> <p>2. The solar-powered borehole in Teso south per evidence CGBS/05/09</p> <p>Proposed installation of solar mass lights per evidence CGBS/05/10</p> <p>Drilling, development, test pumping and equipping of the borehole at Ibanda per evidence CGBS/05/11</p> <p>5. Proposed upgrading of town roads to bitumen standards per evidence CGBS/05/12</p> <p>6. Proposed Nabuganda community borehole as per evidence CGBS/05/13</p> <p>Proposed Bwiri A community borehole as per evidence CGBS/05/14</p>



## 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
					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 respectively in the first two AC&PA).		<p>Drilling, development, test pumping and equipping of the borehole at Makenge as per evidence CGBS/05/15</p> <p>9. Proposed completion of a maternity wing in Khunyangu per evidence CGBS/05/16</p> <p>10. Fuel levy road in Mauko-Siteko as per evidence CGBS/05/17</p> <p>Completion status is 90% as per extract from the completion register evidence CGBS/05/01</p> <p>The county maintains a comprehensive, accurate register of completed projects and status of all ongoing projects.</p>
5.2	Projects implemented according to cost estimates	Implementation of projects and in accordance with the cost estimates	Percentage (%) of projects implemented within <b>budget</b> 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</p>	<p><b>Maximum (5 points)</b></p> <p>More than 90 % of the projects are executed within +/-5 of budgeted costs: 4 points (5 points in the first two AC&amp;PAs)</p> <p>80-90%: 3</p>	<b>5</b>	<p>Below are the sampled 10 projects implemented within budget estimates:</p> <ol style="list-style-type: none"> <li>Proposed upgrading of town roads to bitumen standards in huduma center lot 1. Budget amount 75M, LPO paid 72.64906M %</li> <li>the solar powered borehole in Teso South Budget amount 1.3M, LPO paid 1.3M</li> </ol>



## 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
				<p>case there are conflicts between figures, the original budgeted project figure will be applied). Review completion reports, quarterly reports, payment records, quarterly progress reports, etc. Review M&amp;E reports.</p> <p>Compare actual costs of the completed project with original budgeted costs in the ADP/budget.</p>	<p>points</p> <p>70-79%: 2 points</p> <p>60-69%: 1 point</p> <p>Below 60%: 0 points.</p>		<p>3. proposed installation of solar mass lights Budget amount 2.5M, LPO paid 2.404M</p> <p>4. Drilling, development, test pumping and equipping of the borehole at Ibanda Budget amount 1.4M, LPO paid 1.3M</p> <p>5. Proposed upgrading of town roads to bitumen standards. Budget amount 56M, LPO paid 53.93518M</p> <p>6. Proposed Nabuganda community borehole Budget amount 1.4M, LPO paid 1.18M</p> <p>7. Proposed Bwiri a community borehole Budget amount 1.4M, LPO paid 1.25M</p> <p>8. Drilling, development, test pumping and equipping of the borehole at making budget amount 1.4M, LPO paid 1.4M</p> <p>9. Proposed completion of a maternity wing in Khunyangu Budget amount 15M, LPO paid 14.75M</p> <p>10. Fuel levy road in Mauko-Siteko Budget amount 8M, LPO paid 6.1016M</p> <p>Total budget amount of all</p>



## 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
							<p>projects 163.1M</p> <p>Total LPO amount paid for all projects 157.27378</p> <p>The deviation is +3.68%</p> <p>Evidence CGBS/05/01</p>
5.3	Maintenance	Maintenance budget to ensure sustainability	<p>Maintenance cost in the last FY (actuals) was <b>minimum 5 % of the total capital budgeted evidence in selected larger projects</b> (projects which have been completed 2-3 years ago) have been sustained with actual maintenance budget allocations (sample of min. 5 larger projects).</p>	<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 and evidence that funds have actually been provided for maintenance of these investments.</p>	<p><b>Maximum 4 points</b></p> <p>The maintenance budget is more than 5 % of the capital budget and sample projects catered for in terms of maintenance allocations for 2-3 years after 3 points (4 in the first two AC&amp;PA).</p> <p>More than 5 % but only 3-4 of the projects are catered for 2 points.</p> <p>More than 5 % but only 1-2 of the specific sampled projects are catered for 1 point.</p>	0	<p>There is no figure of maintenance of each project as one, the maintenance budget is a block figure where similar projects are allocated one vote in the budget as per evidence in the budget found online at <a href="http://www.busiacyounty.go.ke">www.busiacyounty.go.ke</a></p>



## 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
5.4	Screening of environmental social safeguards	Mitigation measures on ESSA through audit reports	Annual Environmental and Social <b>Audits/reports</b> for <b>EIA /EMP</b> related investments.	Sample 10 projects and ascertain whether environmental/social audit reports have been produced.	<b>Maximum3 points</b> All 100 % of sample done in accordance with the framework for all projects: 3 points  80-99 % of projects: 1 point	<b>3</b>	EIA was done on all sampled projects and NEMA licenses provided as listed below:  1. Proposed upgrading of town roads to bitumen standards in huduma center lot 1 as per evidence CGBS/05/08 2. The solar-powered borehole in Teso south per evidence CGBS/05/09 3. Proposed installation of solar mass lights per evidence CGBS/05/10  4. Drilling, development, test pumping and equipping of the borehole at Ibanda per evidence CGBS/05/11 5. Proposed upgrading of town roads to bitumen standards per evidence CGBS/05/12 6. Proposed Nabuganda community borehole as per evidence CGBS/05/13 7. Proposed Bwiri A community borehole as per evidence CGBS/05/14 8. Drilling, development, test pumping and equipping of the borehole at Makenge as per evidence CGBS/05/15 9. Proposed completion of a maternity wing in Khunyangungu



## 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
							per evidence CGBS/05/16 10. Fuel levy road in Mauko-Siteko as per evidence CGBS/05/17
5.5	EIA /EMP procedures	EIA/EMP procedures from the Act followed.	Relevant <b>safeguards instruments Prepared:</b> 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 <b>in the case where screening has indicated that this is required.</b> All building & civil works investments <b>contracts</b> contain <b>ESMP implementation provisions</b> (counties are expected to ensure their works contracts for which ESIA's /ESMPs have been prepared and approved safeguards provisions from part of the contract.	Sample 5-10 projects	<b>Maximum 2 points</b> All 100 % of sample done in accordance with the framework for all projects: 2 points  80-99 % of projects: 1 point	<b>2</b>	The following projects underwent EMP procedures  1. Proposed installation of solar mass light Nambale sub-county Nambale township ward- NEMA license issued on 2/6/2018  2. Proposed installation of solar mass light Matayos sub-county Matayo southward Khwirale market- NEMA license issued on 2/6/2018  3. Proposed installation of solar mass light Matayos sub-county Matayo southward Siebuka aroma market- NEMA license issued on 2/6/2018  4. Proposed installation of solar mass light Butula sub-county, Masendebale market- NEMA license issued on 27/3/2018  5. Proposed installation of solar mass light Matayos sub-county Matayo southward at Matayo enter- NEMA license issued on 2/6/2018
					<b>Total Maximum Score: 100 points.</b>	<b>63</b>	



## 5.0 Challenges In The Assessment

The following were some of the key challenges encountered during the process of undertaking the assignment:

- The poor working environment for the ACPA team;
- Lack of buy-in by some staff that inhibited seamless assessment

## 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 following observations were made:

The participation agreement and revised capacity building plan signed by the Governor and Count Secretary & Focal Person were availed.

### 5.3 MPC's Issues

The following observations were made:

- Some evidence given was not relevant and did not meet the threshold.

## 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	Internal audit needs to be empowered
KRA 2	Planning &M&E	Budget process needs to be strengthened
KRA 3	Human Resource Management	Performance management needs to be fully operationalized
KRA 4	Civic Education	No citizen feedback mechanism
KRA 5	Investment implementation & social and environmental performance	Most of the projects picked were not flagship projects



## 7.0 BUSIA COUNTY – LIST OF REPRESENTATIVES INTERVIEWED

NO	NAME	DESIGNATION	TELEPHONE CONTACTS
1.	Joselyn Chepkwony	M&E officer	
2.	Dennis Chirande	Environment officer	
3.	Maxmila Ayieko	Accountant	
4.	Sharon Naomi	Procurement officer	
5	Robert Muganda	Focal Person	
6.	Hudson Mugendi		
7.	Korir Kiplangat	Audit	
8.	Zadok koech		
9.	Lenard Ekazi		
10.	Elius Abelu		
11.	Elective Weyula	Human resource officer	
12.	Michael Aderi		
13.	Grace Apadeet		
14.	Korir Kelong		



## 8.0 APPENDICES

### 8.1 APPENDIX 1: ENTRY MEETING MINUTES

#### MINUTES ON ANNUAL CAPACITY & PERFORMANCE ASSESSMENT MEETING HELD AT THE COUNTY SECRETARY'S BOARDROOM ON 5<sup>TH</sup> NOVEMBER 2017 FROM 9.12AM-9.30AM

##### MEMBERS PRESENT:

##### COUNTY TEAM:

NAME	DESIGNATION
1. Nicodemus Mulaku	County Secretary
2. Hudson Mugendi	
3. Lenard Ekazi	
4. Evans Wangata	
5. Dr. Isaac Alukwe	
6. Charles Andima	
7. Zadok Koech	
8. Dennis Chirande	
9. Elius Abel	
10. Elective Weyula	
11. Michael Aderi	
12. Grace Apadeet	
13. Jane Osiba	
14. Nicholus Kieru	
15. Winston Mbanda	
16. Robert Muganda	Focal person
17. Korir Kiplangat	Ministry of Devolution
18. Lynette Abdalla	

##### PMS TEAM

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

#### MIN: 1/5/11/2018: PRELIMINARY

The meeting was opened with a word of prayer from Mrs. Grace Apadeet at 9.12am, followed by a brief introduction of members present and their respective designations.

#### MIN: 2/5/11/2018: OPENING REMARKS

The County Secretary officially welcomed the consultant team to the County. He assured the team of support from the County staff in all areas of governance. He also asserted the county is committed to maintaining their position.



**MIN: 3/5/11/2018: OVERVIEW OF ASSESSMENT EXPECTATIONS**

The KDSP focal person, Lynette Abdalla congratulated the county of Busia for being number one in the previous ACPA. She requested the county staff to give maximum cooperation and coordination to the consulting firm.

The team leader from Prestige management Solutions 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 3 working days and that the exercise was an assessment and not an audit. The methodology of the exercise would be to gather data through holding interviews with key staff for various departments within the County Executive and the County Assembly. The 3 tools, namely: The Minimum Access Condition, Minimum Performance Measures and Performance Measures developed by KDSP would be used to guide the process of gathering data.

All participants would be signing the attendance register as evidence they took part in the exercise. All evidence collected will be signed and stamped on the face and all teams will retain a copy. All documents given after the 3<sup>rd</sup> day will not be acceptable. Additionally, he highlighted that an exit meeting will be conducted on the 7<sup>th</sup> of November 2018.

**MIN: 4/5/11/2018: Conclusion and Adjournment**

There being no other issue, the meeting was adjourned at 09.30 am.

**Minutes Prepared by:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**1. Name:**

Secretary

Prestige Management Solutions Ltd.

**Minutes confirmed by:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**1. Name:**

Team Leader

Prestige Management Solutions Ltd.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**2. Name:**

Designation: \_\_\_\_\_

County Government of: \_\_\_\_\_



## 8.2 APPENDIX 2: EXIT MEETING MINUTES

### MINUTES ON ANNUAL CAPACITY & PERFORMANCE ASSESSMENT MEETING HELD AT THE DEPARTMENT OF WATER BOARDROOM ON 7<sup>TH</sup> NOVEMBER, 2018 FROM 4.35PM TO 5.00PM

#### MEMBERS PRESENT:

#### COUNTY TEAM:

NAME	DESIGNATION
1. Phaustine Barasa	CECM Finance, Economic Planning, and ICT
2. Hudson Mugendi	
3. Lenard Ekazi	
4. Evans Wangata	
5. Zadok Koech	
6. Dennis Chirande	
7. Elius Abelu	
8. Robert Muganda	Focal person
9. Korir Kelong	

#### PMS TEAM

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

#### MIN: 1/7/11/2018: PRELIMINARY

The meeting was opened with a word of prayer from Mr. Robert Muganda at 4.35 pm, followed by a brief introduction of members present and their respective designations.

#### MIN: 2/7/11/2018: OPENING REMARKS

The CECM for Finance Economic Planning and ICT officially welcomed the consultant team to the County. She congratulated the county staff for the commendable support they gave PMS consultant team. She stated that the KDSP grant will make a great improvement in the village areas in terms of development and implementation of community-based projects.

#### MIN: 3/7/11/2018: OVERVIEW OF ASSESSMENT EXPECTATIONS

Prestige Management Solution team leader thanked the county staff for their generosity and hospitality which they showed throughout the exercise. Below is a brief overview of the key issues highlighted by the assessment as discussed during the meeting:

#### KRA 1: PFM

- Quarterly audit report to the governor are not available;
- No audit committee in place.



## KRA 2: PLANNING AND M&E

- Resolutions of county assembly on ADP were not given for the FY 2017/2018. What was availed was for the FY 2014/2015.

## KRA 3: HUMAN RESOURCE MANAGEMENT

- Service re-engineering was not been undertaken;
- Performance Contract for CEC members, COs and Directors were not conducted.

### MIN: 4/7/11/18 Responses from County Government

The County officials responded to the various findings raised in the assessment as indicated below:

- As far as financial reporting is concerned, it was not a requirement for the county to prepare monthly financial statements;
- The audit committee for the executive was in the final stages of formation and it will be operationalized in the FY 2018/2019;
- The County concurred with the rest of the findings and promised to implement the suggestions made to them by the assessors for improvement.

### MIN: 5/7/11/18: Conclusion and Adjournment

There being no other issue, the meeting was adjourned at 5.00 pm.

#### Minutes Prepared by:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

1. Name:

Secretary

Prestige Management Solutions Ltd.

#### Minutes confirmed by:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

1. Name:

Team Leader

Prestige Management Solutions Ltd.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

2. Name:

Designation: \_\_\_\_\_

County Government of: \_\_\_\_\_



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

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