



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



NYANDARUA COUNTY GOVERNMENT

**ANNUAL CAPACITY & PERFORMANCE  
ASSESSMENT (ACPA- 4) REPORT**

Conducted on:

20<sup>th</sup> September To 24<sup>th</sup> September 2019



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## ACRONYMS

ACPA	-	Annual Capacity and Performance Assessment
ADP	-	Annual Development Plans
AS	-	Actual Sum
BS	-	Budgeted Sum
CARPS	-	Capacity Assessment and Rationalization of the Public Service
CB	-	Capacity Building
CBROP	-	County Budget Review and Outlook Paper
CE	-	Civic Education
CEC	-	County Executive Committee
CFAR	-	County Financial and Accounting Report
CGN	-	County Government of Nyandarua
CIDP	-	County Integrated Development Plan
CE&PP	-	Civic Education & Public Participation
CO	-	Chief Officer
CoB	-	Controller of Budget
CoG	-	Council of Governors
CPG	-	County Performance Grants
CRA	-	Commission on Revenue Allocation
CS	-	County Secretary
EA	-	Environmental Audits
ECDE	-	Early Child Development Education
EIA	-	Environmental Impact Assessment
EMCA	-	Environmental Management and Coordination Act
ESMP	-	Environmental and Social Management Plan
ESIA	-	Environmental and Social Impact Assessment
FS	-	Financial Secretary
FSP	-	Fiscal Strategy Paper
FY	-	Financial Year
IA	-	Internal Audit
ICPAK	-	Institute of Certified Public Accountants of Kenya
ICT	-	Information Communication Technology



IFMIS	-	Integrated Financial Management Information System
IPSAS	-	International Public Sector Accounting Standards
KCB	-	Kenya Commercial Bank
KDSP	-	Kenya Devolution Support Programme
KENAO	-	Kenya National Audit Office
KRA	-	Key Result Area
M&E	-	Monitoring and Evaluation
MAC	-	Minimum Access Conditions
MoDA	-	Ministry of Devolution and Asal
MPC	-	Minimum Performance Conditions
MoV	-	Means of Verification
NEMA	-	National Environment Management and Coordination Authority
NT	-	National Treasury
OAG	-	Office of Auditor General
OSR	-	Own Source Revenue
PC(s)	-	Performance Contract(s)
PFMA	-	Public Finance Management Act
PM&E	-	Planning, Monitoring & Evaluation
PM	-	Performance Measures
POM	-	Programme Operation Manual
POS	-	Point of Sale
RAP	-	Resettlement Action Plan
RRI	-	Rapid Results Initiative



## ACKNOWLEDGMENT

The Prestige Management Solutions Ltd consulting team wishes to thank the County Government of Nyandarua, Senior Management and all staff who participated in the Annual Capacity and Performance Assessment (ACPA-4) conducted on 20<sup>th</sup> Sep 2019 to 24<sup>th</sup> Sept 2019. Special thanks to the county KDSP team led by H.E. Francis Kimemia, CS Hiram Kahiro, Focal Point person Ms. Mary Njogu and all the KRA focal persons for their warm welcome, cooperation and fruitful contributions to the Nyandarua County 2018/2019 Annual Capacity and Performance Assessment exercise.

We also acknowledge the support of the entire county staff for their guidance and immense support during the 3 days while undertaking the assessment.



### 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 covers Public Finance Management, Planning and Monitoring & Evaluation, Human Resource Management, Devolution, and Inter-Governmental Relations and Public Participation. The implementation of NCBF is supported by both the national government and development partners including the World Bank.

The Ministry of Devolution and ASAL (MoDA), State Department of Devolution in the financial year 2019 commissioned Prestige Management Solutions to carry out an Annual Capacity and Performance Assessment (ACPA) for FY 2018/19 in all forty-seven counties. The ACPA is a determinant for the Counties that comply with Minimum Access Condition, Minimum Performance Condition and Performance Measures. The ACPA Core Result areas of Assessment are Public Finance Management; Human Resource Management; Planning, Monitoring and Evaluation; Civic Education & Public Participation and Investment implementation, Social & Environmental Performance.

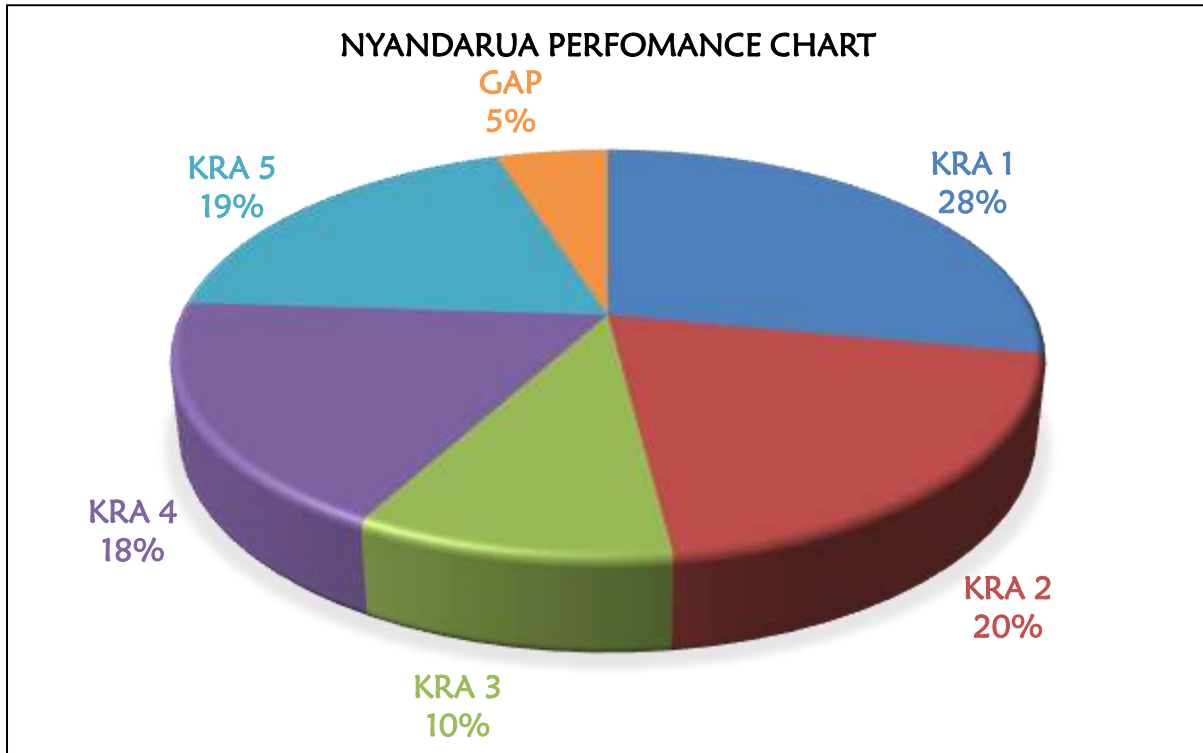
Prior to the assessment, MoDA carried a two days’ sensitization training for the assessment teams from PMS to acquaint themselves with the ACPA (4) process and the tools for undertaking this important task.

This report documents the details of the exercise and the key issues that arose during the 2019 ACPA assessment for FY (2018/19) at the County Government of Nyandarua. The report captures the assessment process, the Key achievements and scores in three key areas namely Minimum Access Conditions (MAC), Minimum Performance Conditions (MPC) and Performance Measures (PM). The report also includes key strengths, challenges, weaknesses, and lessons learned.

**Table1: The summary of the assessment was summed as follows:**

ACPA Measures	Outcome
MAC	The CGN complied with the MACs.
MPC	CGN has met all the MPCs

ACPA Measure	Outcome	Score
PM	KRA 1: Public Financial Management	28
	KRA 2: Planning, Monitoring and Evaluation	20
	KRA 3: Human Resources Management	10
	KRA 4: Civic Education and Public Participation	18
	KRA 5: Investment implementation and Social & Environmental Performance	19
	<b>SCORE OVER 100</b>	<b>95</b>



### Strengths

The key strengths noted in the ACPA exercise were that the CGN embraced the ACPA exercise as a key learning process and fully participated in the three days during the administration of the ACPA tool. There was management support led by H.E Governor Francis Kimmemia which enabled the consultants to undertake the exercise very confidently. The staff also demonstrated a very high level of team teamwork enabling smooth assessment. The two projects that were visited –the Oljoro ork Agriculture training College and the Cabro paving and walkway at Olkalau town. Both projects were very impressive.

### Weaknesses

There were also key weak areas noted in the ACPA (4) exercise. Some officers were not very conversant with the assessment tool hence time was spent taking them through before they could avail the evidence.

### Challenges

The challenges encountered during the process of the assessment were as follows;

- Some KRA focal persons were overwhelmed for having not internalized the tool and the required evidence hence could not cope with the workload
- The officers were housed at different offices outside the headquarters in Nyandarua thus hampering smooth operations during the assessment.
- There were heavy rains and hail stones during the exercise which hampered the smooth running of the assessment and especially the project site visit



## 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 for the devolved governance arrangements. The NCBF's 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 KRAs. This program is expected not only to build institutional, systems and resource capacity of the county but also to leverage on the equitable share of the resources they receive annually.

The framework 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 - Civic Education and Public Participation:** (i) civic education; and (ii) public participation, including means to enhance transparency and accountability;





- **KRA 5 - Investment management including Social and Environmental safeguards;** i. project implementation as per the cost; ii. maintenance of the projects to ensure sustainability; iii. Screening of environmental social safeguards; iv. environmental impact assessment/environmental management plans procedures

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 the 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 the 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 are therefore credible for use in guiding the analysis and in the determination of the county's 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 set targets of future performance measures.



## 2.4 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 the 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 themselves 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

## 2.5 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 18/19 assessment was carried out by Prestige Management that started on November 16<sup>th</sup> September- 28<sup>th</sup> October 2019. All 47 counties were assessed in accordance with the TOR, similar instruments were administered and all other agreed procedures followed.

- a) 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 2019/2020. In the event, a count is dissatisfied with the outcome a window of 14 days is granted to file an appeal..

### 3.0 METHODOLOGY

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 19<sup>th</sup> July 2019 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 an 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 grants. A number of these documents formed the built up to the formulation of the performance assessment tool.

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

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

#### 3.2 Mobilization

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

- i) The methodology highlighted each stage of the assignment and the scope of the Annual County Performance Assessment, interpretation, and understanding of the Terms of reference, assessment objectives and also proposed other parameters that will enhance the objective of the study, outputs expected & Identification of gaps



including existing data to measure the standards.

- ii) Collate background information and relevant material such as existing audit reports, laws and regulations, the operations manuals and relevant records that would ideally assist the consultant in attaining her objective.
- iii) Proposed and agreed on the schedule dates for the field works
- iv) Assessment of key implementation challenges and risks among others

### 3.3 Sensitization Workshop

The consultants went through a two-day induction training on the contents of the ACPA data collection tools. The workshop was conducted at the Ministry of Devolution offices at the Bazaar Towers. The training was carried out by the officials from the Ministry which covered the background of the assignment and the detailed assumptions underlying the tool.

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) **Entry Meeting:** The assessment team held an entrance meeting with CGN Officials led by County Secretary, Hiram Kahiro, The entry meeting was attended by CECs, Cos and other officials from most departments. The meeting was also attended by the county KDSP team and the focal persons for the five KRAs. The purpose of the entry meeting was for the assessment team to be introduced, share the purpose of the ACPA, and agree on the 3 days action plan with county officials.
- b) **Data Administration:** The assessment team undertook the administration of the ACPA tool by capturing the evidence for MACs, PMCs, and PMs as defined by the means of verification in the tool. The assessment was done in 3 days spread from 20<sup>th</sup> September to 24<sup>th</sup> September 2019.
- c) **Exit Meeting:** The assessment team held an exit meeting with the CGN on chaired by H.E the Governor, Francis Kimemia and attended by CECs, KDSP focal persons and some key CGN officials. At the exit meeting, the PMS team shared the preliminary findings which included identifying gaps for MPCs, PMs and KRAs as well as the key strengths, challenges, and weaknesses.



**TIME PLAN**

Activity	20 <sup>th</sup> Sept 2019	23 <sup>th</sup> Sep 2019	24 <sup>th</sup> Sep 2019	25 <sup>th</sup> Sept 2019
Entry meeting				
Assessing the Minimum Access Conditions				
Assessing Minimum Performance Conditions				
Assessing Performance Measures				
Exit Meeting				
Preparing a draft 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 (Macs)

Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments	Assessment Met/ Not Met	Detailed Assessment Finding
1. County signed a participation agreement	To ensure that there is ownership and interest from the county to be involved in the Program, and to allow access to information for the AC&PA teams.	Signed confirmation letter/expression of interest in being involved in the Program MoV: Review the confirmation letter against the format provided by MoDA/in the Program Operational Manual (POM).	All counties have already signed participation agreements; no need to verify compliance.	MET	Waived for all counties
2. CB plan developed	It 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 2018-19 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).	Review CB plan for FY 2018/19 Developed for all counties but separate verification by CB verification team	MET	CGN developed a CB plan for FY 2018/19 per evidence <b>REF DOC: CGN/018/MAC2</b>
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 to date.	Waived for all County Governments	MET	Waived for all County Governments



Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments	Assessment Met/ Not Met	Detailed Assessment Finding
		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			
4. Implementation of CB plan	Ensure actual implementation.	Minimum level (70% of FY 2016/2017 plan, 75% of FY 2017/2018 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).	Waived for all County Governments	MET	Waived for all County Governments





## 4.2 Minimum Performance Conditions (MPCs)

Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
<b>Minimum Access Conditions complied with</b>					
1. Compliance with minimum conditions	with access 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.	Waived for all County Governments	MET	Waived for all County Governments
<b>Financial Management</b>					
2. Financial statements submitted	To reduce fiduciary risks	Financial Statements (for FY 2017-18) with a letter on documentation submitted to the Kenya National Audit Office by <b>30<sup>th</sup> September 2018</b> and National Treasury with required signatures (Internal auditor, heads of accounting unit, etc.) as per the PFM Act Sec 116 and Sec. 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 2018. The FS has to be in an auditable format. MoV: Annual financial statements (FSs), submission letters to	3 months after the closure of the FY (30 <sup>th</sup> of September 2018).  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 a consolidated statement.	MET	The Financial Statement was submitted to the Office of the Auditor General <b>28<sup>th</sup> Sept 2018</b> , and to the CA on 28 <sup>th</sup> Sept 2018, to COB on 4 <sup>th</sup> Oct 2018; <b>The consolidate FS</b> (Executive and CA) for CGN were submitted to NT on <b>30<sup>th</sup> Oct 2018</b> , to CA <b>29<sup>th</sup> Oct 2018</b> and OAG on <b>31<sup>st</sup> Oct 2018</b> evidence  <b>REF DOC: CGN/018/MPC 2</b>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		Office of the Auditor General (OAG) + records in OAG.			
3. Audit opinion does not carry an adverse Opinion or a disclaimer	To reduce fiduciary risks	The opinion in the audit report of the financial statements for county executive for FY 2017-18 cannot be adverse or carry a disclaimer opinion MoV: Audit reports from the Office of the Auditor General	Audit reports <u>cannot</u> be with a disclaimer or adverse opinion increased demands) – <b>no exceptions</b>  As per program requirements, the assessment will rely on the audit opinion as at the time they are released by OAG.	MET	The County had <b>UNQUALIFIED AUDIT OPINION</b> for FY 2017/2018
<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 2018-19) and budget (for FY 2018-19) 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, review of county web-site.		MET	The CIDP 2018-2022 was approved by their CA on <b>28/03/2018</b> ; The ADP was approved by the CA on <b>28<sup>th</sup> November 2018</b> ; The Budget was approved by CA on <b>29<sup>th</sup> June 2018</b> CIDP, ADP, and budget were published on their website. <a href="http://www.nyandarua.go.ke">www.nyandarua.go.ke</a> <b>REF DOC:CGN/018/MPC 4</b>
<b>Use of funds in accordance with Investment menu</b>					
5. Adherence with the investment menu  Only applies to 13 counties which received level 2 grants for FY 2017-18 <b>Busia,</b>	To ensure compliance with the environmental and social safeguards and ensure efficiency in spending.	For the 13 Counties that received level 2 grant for FY 2017/18, review the following: Adherence with the investment menu (eligible expenditures	Review Implementation of the investment projects in the 13 counties for FY 2017/18 level 2 grants and Submission of project proposals for the	MET	A comprehensive report was availed that supported that the county received level 2 grants for both 2017/18 and 2018/19 @ 282M and 254 M respectively.



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
<p>Nyandarua, Kiambu, Baringo, Makueni, Kisii, Laikipia, Siaya, Narok, Kirinyaga, Kajiado, Garissa and Mandera</p>		<p>and non-eligible expenditures) as defined in the PG Grant Manual.</p> <p>Review financial statements against the grant guidelines. Check up on the use of funds from the C&amp;PG through the source of funding in the chart of</p>	<p>22 counties for level 2 grant of FY 2018-19</p>		<p>The county had initiated a major Potatoe processing plant in Nyandarua. The EIAS was carried out and the tendering process with the 282 M of 2017/18 in FY 2018/19. However in the process and having acquired position 2 and position 1 in the 2<sup>nd</sup> and 3<sup>rd</sup> ACPA respectively, this attracted many investment partners. The CGN, therefore, opted to do a partnership with a German firm, National Government and World Bank to enable them to expand the project with a wider impact. The initial process had stalled and instead, they combined the funds for 2017/18 and 2018/19 and started the whole process of partnership all over again. They signed an MOU with Industrial and Commercial Development Corporation (ICDC) on 7<sup>th</sup> July 2018 and have held several meetings to deliberate on the same. The evidence of the Minutes of meetings, MOU, feasibility study, EIA, Environmental and social risk report, tender documents, approved physical plans were given as evidence herewith referenced.</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					as per evidence REF DOC: CGN/018/MPC 5
<p>And</p> <p>22 counties which received level 2 grants for FY 2018-19 Makueni, Kiambu, Kakamega, Mombasa, Nyandarua, Mandera Kisii, Meru, Nyeri, Bungoma, Narok, Elgeyo Marakwet, Laikipia, Kilifi, Baringo, Wajir, Busia, Uasin Gishu, Nakuru, Marsabit, Tranzoia, Kjiado</p>		<p>accounts (if possible through the general reporting system with Source of Funding codes) or special manual system of reporting as defined in the Capacity and Performance Grant Manual)</p> <p>Review budget progress reports submitted to CoB.</p> <p>For the 22 Counties that received Level 2 grants in FY 2018/19, review the following:</p> <p>Project proposals (for use of FY 2018- 19 Level 2 grants) are fully consistent with the investment menu (eligible expenditures and non-eligible expenditures) as defined in the PG Grant Manual.</p>	<p>Please have the lists of 13 counties that qualified and received level 2 grant in FY 2017/18 and also 22 counties that qualified and received level 2 grant in FY 2018/19</p>		
<b>Procurement</b>					
6. Consolidated Procurement plans in place.	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 2018- 19.</p> <p><u>MoV:</u> Review the procurement plan of each procurement entity and county consolidated procurement plan and check</p>	<p>The situation <u>during</u> FY 2018-19 to be assessed. ACPA to identify last budget revision for FY 2018-19 and then assess whether the consolidated procurement plan existed <u>and</u> was updated. (Emphasis should be on the</p>	MET	<p>A consolidated procurement plan for executive FY 2018/2019 was availed. It was also updated when budgets were revised E.g. in Governance: Indigenous and exotic trees planting was updated after the first supplementary budget Code 50000000282.1</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		<p>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>	Executive procurement plan 2018/19)		C. A consolidated procurement plan was availed for FY 2018/2019 <b>REF DOC: CGN/018/MPC 6</b>
<b>Core Staffing in Place</b>					
7. County Core staff in place	To ensure minimum capacity in staffing	<p>Core staff in place</p> <p>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 officer designated to oversee environmental safeguards for all sub projects</li> <li>• Focal Social Officer</li> </ul>	At the point of time for the ACPA.	MET	<p>The following staff positions were in place at the time of the ACPA with appointment letters and relevant documents of core staff provided as follows:</p> <p>a. Procurement officer <b>Beatrice Muthoni</b> appointed on 31<sup>st</sup> July 2015: with Master of science, procurement and logistics; a payroll was submitted; JD and schemes of service provided were availed matching the qualifications. <b>REF DOC: CGN/018/MPC7( a)</b></p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		<p>designated to oversee social safeguards for all sub projects</p> <ul style="list-style-type: none"> <li>M&amp;E officer <u>MoV</u>: Staff organogram/ scheme of service/ salary payment/job description/interview/ Appointment letter / Deployment Letter</li> </ul>			<p>b.Accountant <b>Ann Wamboi Theuri</b>; appointed on 11<sup>th</sup> May 2015; IPPD sheet copy was submitted to show she is in the payroll; She has bachelors of Arts, CPA, Is a member of ICPAK, JD and schemes of service provided that matched her qualifications <b>REF DOC: CGN/018/MPC7(b)</b></p> <p>c.Designated Focal Environmental officer <b>Miriam Muthoni Ngotho</b> appointed on 22<sup>nd</sup> February 2016. She has a Masters in Development Studies and a bachelor of science degree, a member of EIK, JD and schemes of service provided and matched the qualifications <b>DOC: CGN/018/MPC7(c)</b></p> <p>d.Focal Social Officer <b>Miriam Muthoni Ngotho</b> was appointed on special duties on 11<sup>th</sup> July 2018. In the FY 2018/2019, she was still performing the duties of social safeguards as well as Environmental officer as per attached letters <b>REF DOC: CGN/018/MPC7(d)</b></p> <p>e.M&amp;E officer, <b>Willy Gichora</b>. Appointed on 31<sup>st</sup> July 2015. He has a degree in Bachelor of Arts, a JD and scheme of service were provided as proof to alignment</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					with his qualifications; a payslip was provided as further evidence. REF DOC: CGN/018/MPC7(e)
<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 consultation s– 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:</p> <p>-NEMA Certification of subprojects.</p> <p>-Relevant county project documents. (screening checklist, Register of screened projects, No. of EMP) (Capacity Performance Grant Manual pg 16-21&amp;29-30)</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</u></p>	<p>Note that the first installment of the expanded CPG investment menu covering sectoral investments starts from July 2017 (FY 2017/18). Hence some of the conditions will be reviewed in the ACPA prior to this release to ascertain that capacity is in place at the county level, and other MPCs will review performance in the year after the start on the utilization of the expanded grant menu (i.e. in the 3<sup>rd</sup> AC&amp;PA, see the previous column for details).</p> <p>Please ensure that the teams possess the environmental and social criteria /checklist— see program operations manual (pg ).</p>	<p>MET</p>	<p>1. The CGN endorsed and complied with an environmental and social management system to guide investments</p> <p>a)NEMA certification of project construction of a potato seed multiplication facility comprising tissue culture, laboratory, cold storage facility and associated facilities dated 6<sup>th</sup> December 2018 was given as evidence REF DOC: CGN/018/MPC8 1(a)</p> <p>b)the county has a screening checklist. A list of screened projects was presented as per evidence REF DOC: CGN/018/MPC8 1(b)</p> <p>2. Appointed environmental and social focal points are actively involved in screening. <b>Mariam Muthoni</b> appointed on 22<sup>nd</sup> February 2016. Prove of functionality was provided where she attended meeting for EIA and Environmental audit on 24<sup>th</sup> July 2018 and</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		<p>of environmental and social criteria/checklist safeguards instruments prepared. (Sample 5-10 projects). (From the second AC&amp;PA, Sept. 2016).</p> <p>MOV</p> <ol style="list-style-type: none"> <li>a. Environmental checklist</li> <li>b. Social exclusion checklist</li> <li>c. Register of screened projects</li> </ol> <p>4. ESIA's 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 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>supplementary budget to give input on the environment department</p> <p><b>REF DOC: CGN/018/MPC8 (2)</b></p> <p>2. The proposed investments were screened against a set of environmental and social safeguard criteria/checklist as evidenced by sampled projects here below:</p> <ul style="list-style-type: none"> <li>- Checklist for proposed borehole umoja mbuyu borehole Project keshau pondo ward ndaragwa constituency</li> <li>- Checklist for the Proposed modern market at Olkalou near the main stage in Olkalou town</li> <li>- Checklist for Construction of Jua kali estate roads and installation of street lighting</li> <li>- Checklist for Construction of huruma estate roads and installation of street lighting</li> <li>- Checklist for Proposed construction of a 50 cubic meter capacity decentralized treatment facility treatment of sewage effluent waste</li> </ul>





Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		<p>MOV: Required safeguard instruments (ESMP/EMP/SMP, Occupational Health &amp; Safety (OHS) prepared and approved by the relevant authorities.</p> <p>Proper land acquisition procedures were followed<sup>1</sup> (Advert notices, Minutes of meetings, Agreements, and MoUs)</p> <p>5. Operational/functioning County Environment Committee (either set up as per EMCA or technical committee established by the County Government).</p> <p>MoV: -Evidence of gazettelement &amp; or appointment letters - meeting minutes.</p>			<p>3. ESIA's with detailed ESMPs are developed for all investments drawing on inclusive public consultations on E&amp;S impacts of specific investments. Evidence listed here below was provided:</p> <p>Proposed Umoja Mbuyu borehole project at Keshau pondo ward, Ndaragwa constituency; Construction of a 50 cubic meter capacity decentralized treatment facility in Kaimbaga Ward</p> <p><b>REF DOC: CGN/018/MPC8 (4)</b></p> <p>5. The Environment Committee was gazetted on 29<sup>th</sup> November 2017. Minutes of four meetings of the committee done in the FY 2018/2019 were presented</p> <p><b>REF DOC: CGN/018/MPC8 (5)</b></p>
9. Citizens' Complaint system in place	To ensure a sufficient level of governance and reduce risks for mismanagement.	<p>Established an Operational Complaints Handling System including:</p> <ul style="list-style-type: none"> <li>Formally approved and operational grievance handling mechanisms to handle complaints pertaining to the</li> </ul>	At the point of time for the ACPA.	MET	<p>There is a formally approved and operational grievance handling mechanisms to handle complaints as evidence:</p> <p>a) Formal designation of the responsible person and their functions in complaints handling system was in place</p>

<sup>1</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



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		<p>administrative fiduciary, environmental and social systems (e.g. complaints/grievance committee, county Ombudsman, county focal points, etc.).</p> <p>MoV: Proof of formal establishment and operations 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> </ul> <p>Evidence of a feedback</p>			<p>Appointment letters for <b>Jesse Masai Lukorito</b> (Director, public communication) appointed on 16<sup>th</sup> July 2018.</p> <p>A copy of his payslip was also availed as; and</p> <p><b>-Esther Muthoni Kigutu.</b> Appointed 18<sup>th</sup> December 2018.</p> <p>A copy of his pay slip was also availed as evidence</p> <p><b>REF DOC:CGN/018/MPC 9(a)</b></p> <p>b)The CGN adopted the guidelines from Commission of Administrative justice as per the minutes f executive committee meeting of 28<sup>th</sup> Aug 2018 as per evidence</p> <p><b>REF DOC: CGN/018/MPC 9(b)</b></p> <p>c)A functional register of complaints for FY 2018/19 was availed as per evidence <b>REF DOC: CGN/018/MPC9(c)</b></p> <p>d) Minutes of meetings in which complaints handling is discussed within the internal framework for handling complaints were availed as per evidence <b>REF DOC: CGN/018/MPC 9(d)</b></p> <p>e)Reports/communication to management on complaints handled were presented.</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		mechanism to the complainant on the progress of the complaint. <i>See also County Government Act Sec. 15 and 88 (1)</i>			Evidence with a list of complaints and status/actions were taken by the management was presented for the under review. <b>REF DOC: CGN/018/MPC 9(e)</b>  f) Evidence of feedback mechanism to the complainant on the process of the complaint was provided. Feedback of change of market day dated 7 <sup>th</sup> march 2019 was availed as proof of the same  <b>REF DOC: CGN/018/MPC 9(f)</b>



### 4.3 PERFORMANCE MEASURES

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
<b>A. KRA 1: Public Financial Management; Maximum 30 points available</b>								
<b>(a). Strengthened budget formulation, resource mobilization, and allocation</b>								
1.1	Program Based Budget prepared using IFMIS and g SCOA	Budget format and quality	The annual budget approved by the County Assembly is: a) Program Based Budget format.	Review county budget document, IFMIS uploads,  The version of the budget approved by the assembly should be the Program Based Budget, not just the printed estimates by vote and line item (submissions may also include line item budgets prepared using other means, but these must match the PBB budget – spot check figures between different versions).  Approved 2018/19 budget by the assembly & should be program based	<b>Maximum 2 points.</b> 2 milestones (a & b) met: 2 points If 1 of the milestones met: 1 point	1	A Programme Based Budget version that was submitted on 30 <sup>th</sup> April 2018 to the CA and approved on <b>29<sup>th</sup> June 2019 was availed.</b> <b>REF</b> <b>DOC:</b> <b>CGN/018/KRA1.1</b>	
			b) A budget developed using the IFMIS Hyperion module.	The draft budget should be developed in Hyperion, not developed in excel or other tool and then imported into IFMIS when approved.				
1.2		The budget process follows a clear budget	Clear budget calendar with the following key	PFM Act, Sec 128, 129, 131. Review file copy of circular as	<b>Max. 3 points</b> If all 5 milestones (a-e)	3	The CEC finance issued a circular to all department	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
		calendar	<p>milestones achieved:</p> <p>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 31<sup>st</sup> August 2017;</p>	issued, and check that a sample of entities received it by the end of August.	<p>achieved: 3 points                      If 3-4 items: 2 points                      If 2 items: 1 point                      If 1 or 0 items: 0 points.</p>		<p>on <b>30<sup>th</sup> august 2017</b>                      It was confirmed that the departments of; Tourism, Wildlife, Sports and Youth affairs received on 30<sup>th</sup> August 2017. were presented  <b>REFDOC:</b>  <b>CGN/018/KRA1.2(a)</b></p>	
			<p>b) County Budget review and outlook paper – submission by county treasury to CEC by 30 September 2017 to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15<sup>th</sup> October 2017.</p>	Review file copies; check that C-BROP was submitted to the Executive committee by 30 September and to the County Assembly no later than 15 <sup>th</sup> October and published online by 30 <sup>th</sup> November.			<p>County Budget review and outlook paper was submitted to the County Secretary for tabling to the cabinet on <b>29<sup>th</sup> September 2017</b> by CEC finance and Economic Planning                       County Budget review and outlook paper was submitted to the County Assembly on <b>12<sup>th</sup> October 2017</b>  <b>REF DOC:</b>  <b>CGN/018/KRA1.2(b)</b></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>	Review file copies, check that FSP was submitted to the executive committee by 28 <sup>th</sup> Feb and to county assembly by the 15 <sup>th</sup> of March. Check assembly records for evidence that county assembly discussed FSP within 2 weeks of submission.			<p>The Fiscal strategy paper was submitted to the county executive committee on <b>20<sup>th</sup> February 2018</b>;                      And to the county assembly on <b>28<sup>th</sup> February 2018</b>  <b>REF DOC:</b>  <b>CGN/018/KRA1.2(c)</b></p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			d) CEC member for finance submits budget estimates to county assembly by 30 <sup>th</sup> April latest.	Check file copy for evidence of when estimates were submitted to the assembly.			CEC member for finance submitted budget estimates to the county assembly on <b>30<sup>th</sup> April 2018</b> REF DOC: CGN/018/KRA1.2(d)	
			e) County assembly passes a budget with or without amendments by 30 <sup>th</sup> June latest. 2018  <b>CHECKLIST</b> Circular from CEC finance, county budget review outlook paper (CBROP); County fiscal strategy paper; approved budget 2018/19 both legislature & executive; The process runs from Aug 2017- June 2018	Review evidence that budget was passed by the assembly by 30 <sup>th</sup> June			e) County Assembly passed the budget on <b>29<sup>th</sup> June 2018</b> with amendments REF DOC: CGN/018/KRA1.2 (e)	
1.3		The credibility of the budget	a) Aggregate expenditure out-turn compared to the original approved budget.	N.B. For both measures, the original (not supplementary) budget is used  a) divide total expenditure in FY 2018/19 (from financial statements) by total budget for FY 2018/19	<b>Max. 4 points. (either – or +)</b> a): If the deviation is less than 10%, 2 points. If the deviation is between 10 and 20%, 1 point. More than 20 %: 0 points.	2	Total expenditure 2018/2019 5,767,460997 Budget 6319643479  $5767460997/6319643479 \times 100=91.3\%$ Deviation is <b>8.7%</b> <b>REF</b> <b>DOC:CGN/018/KRA1.3(a)</b>	
			b) Expenditure composition for each sector matches the originally approved budget allocations (average across sectors).  Checklist	Follow the PEFA methodology for indicator PI-2. There is a spreadsheet available on the PEFA website that can be used to calculate the PI-2 percentage:  <a href="http://www.pefa.org/sites/pefa.or">http://www.pefa.org/sites/pefa.or</a>	<b>Ad b):</b> If PI-2 percentage (calculated using PEFA methodology) is less than 10 % then 2 points.  If 10-20 % then 1 point. More than 20 %: 0 points.	1	b) Following the PEFA methodology for indicator PI-2 the expenditure composition for each the sector was as follows: Gubernatorial	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			Quarterly Budget Progress Reports + refer to the PFM Act	g/files/En- PI-1%20%26%20PI-2%20Exp%20calculation-Jan%202015.xls			budget-111590000ksh Actual Expenditure - 173899838ksh Deviation-70.8%  County secretary Budget-1920323735ksh Actual-1840239548 Deviation-5.0%  County P service Board Budget-10233500 Actual-106889568 Deviation-14.5%  Public admin. & ICT Budget-37732700ksh Actual-50236907 Deviation-45.9%  County Attorney Budget-9980000ksh Actual-15781935 Deviation-73.3%  Finance & Economic Development Budget-475955101ksh Actual-473329341 Deviation-9.0%  Agriculture Budget-327784253ksh Actual-2638114993ksh Deviation- 11.8%  Health	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							Budget-725459617ksh Actual-446018831ksh Deviation- 32.6%  Education Budget-182088314ksh Actual-161617162ksh Deviation- 2.7%  Industrialization Budget-170290051 Actual-80340989 Deviation-48.3  Transport Budget-839839709 Actual-782180286 Deviation-2.1%  Lands Budget-314840900ksh Actual-318028260ksh Deviation- 10.7%  Youth Budget-946590905ksh Actual-110434102ksh Deviation-27.8%  Water Budget-269392210ksh Actual-269574651ksh Deviation-9.6%  County Assembly Budget-829474296ksh Actual-771278084ksh	





No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							Deviation-1.9% <b>PI-2 = 11.5%</b> <b>REF</b> <b>DOC:CGN/018/KRA1.3(b)</b>	
<b>(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	2	The CGN carries out Automation of revenue collection, immediate banking, and control system to track collection. A copy of receipts to show automation was also provided as evidence The total revenue collected for FY 2018/2019 was Ksh. <b>403,402,541.00</b> Automated revenue for FY 2018/2019 Ksh. <b>386,308,254.00</b> $403,402,541.00 / 386,308,254.00 \times 100$ % of automated revenue of <b>95.76%</b> <b>REF</b> <b>DOC:</b> <b>CGN/018/KRA1.4</b>	
1.5		Increase on a yearly basis in own- source revenues (OSR).	% increase in OSR from last fiscal year but one (the year before the previous FY) to previous FY  Checklist: compare Financial statements for FY	Compare annual Financial Statements from the last two years (Use of nominal figures including inflation etc.).	<b>Max. 1 point.</b> If the increase is more than 10 %: 1 point.	1	CGN OSR for FY 2017/2018 was Ksh. <b>318,585,598.97</b> OSR for FY 2018/2019 was Ksh. <b>403,402,541 ksh</b> Increase was Ksh.	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			2017/18 &2018/19				84,816,942.03 (403,402,541-318,585,598.97) % increase of 21.03% REF DOC:CGN/018/KRA1.5	
<b>(c). 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).	<p>a) Quarterly reports submitted no later than one month after the quarter (consolidated progress and expenditure reports) as per format approved by Public Sector Accounting Standards Board (PSASB), submitted to the county assembly with copies to the controller of the budget, National Treasury and CRA.</p> <p>b) Summary revenue, expenditure and progress report is published in the local media and/or web-page.</p>	<p>Review File copies/records of when quarterly reports for FY 2018/19 were submitted to the county assembly, CoB and National Treasury. Review whether the reports met relevant formats.</p> <p>Review website and copies of local media for evidence of publication of summary revenue and expenditure outturns.</p> <p><b>CHECKLIST:</b> refer to PFM Act 166; CFAR, Section 8; website copy should be for 2018/19</p> <p>Also, note that format for these reports is on the national treasury website hence check if county report complies with the same.</p>	<p><b>Max. 2 points.</b></p> <p>(a &amp; b) At least 3 of 4 Submitted on time and published: 2 points.</p> <p>(a only): At least 3 of 4 Submitted on time only; not published: 1 point.</p>	2	<p>Quarterly F. S reports were submitted as follows: 1<sup>st</sup> Quarter-NT on <b>31<sup>st</sup> October 2018</b>, CRA on 30<sup>th</sup> October 2018, C.A 27<sup>th</sup> October 2018, COB on 31<sup>st</sup> October 2018</p> <p>2<sup>nd</sup> quarter- CA <b>28<sup>th</sup> Jan 2019</b>, NT 30<sup>th</sup> January 2019, COB 31<sup>st</sup> January 2019</p> <p>3<sup>rd</sup> Quarter-CA <b>29<sup>th</sup> April 2019</b>, COB 30<sup>th</sup> April 2019, NT 30<sup>th</sup> April 2019</p> <p>4<sup>th</sup> quarter- CA <b>29<sup>th</sup> July 2019</b>, NT 31<sup>st</sup> July 2019, COB 31<sup>st</sup> July 2019</p> <p>The quarterly reports were all listed on the CGN website</p> <p><b>REF DOC: CGN/018/KRA 1.6(a)</b></p>	
1.7		Quality of financial statements	Formats in PFMA and approved by Public Sector Accounting Standards Board (PSASB) are applied and the	Review annual financial statements, bank reconciliations and related documents and appendixes to the FS; do they	<p><b>Max. 1 point.</b></p> <p>All requirements met: 1 point</p>	1	The formats in PFMA and approved by the Public Sector Accounting Standards Board were applied in the	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			FS include core issues such as closing balances, budget execution reports, schedule of outstanding payments, an appendix with fixed assets register.	meet all the requirements provided for in the PFMA (Art. 166) and County Financial Accounting and Reporting Manual (CFAR – section 8) and IPSAS format requirements. If possible review ranking of FS 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.  (MAY NEED COPIES FOR FURTHER VERIFICATION ESP FOR TECHNICAL ISSUES)			F.5 for the CGN. They include core issues such as closing balances, budget execution report, schedule of outstanding payments, an appendix with assets register as evidenced in NB. There was no ranking of FS by NT <b>REF DOC: CGN/018/KRA 1.7</b>	
1.8		Monthly reporting and up- Date of accounts, including:	The monthly reporting shall include: 1. Statements of receipts and payments, including: a. Details of income and revenue b. Summary of expenditures 2. Budget execution report, 3. Statement of Financial Position, including (as annexes): a. Schedule of imprest and advances; b. Schedule of debtors and creditors; c. Bank reconciliations and	Review monthly reports as filed internally within Treasury when submitted for management review.  See also the CFAR Manual, p. 82 for guidelines.	<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.	2	The CGN monthly reports filed for management review included:  1.Statements of details of income and revenue and a Summary of expenditures 2.Budget execution report, 3.Statement of Financial position with: a) Schedule of imprest and advances; b) Schedule of debtors and creditors; c) Bank reconciliations and post in general ledger As evidenced from a sample	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			post in general ledger.				of the reports in REF DOC: CGN/018/KRA 1.8	
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.  Focus on assets acquired from 2013; Consolidated Registers are up-to-date: (can be electronic or manual;	Review assets register and sample a few assets to ensure accuracy.  N.B: Assets register need only to contain assets acquired by county governments since their establishment.	<b>Max. 1 point.</b> Consolidated registers are up-to-date: (can be electronic or manual) 1 point.	0	The CGN has an asset register. However The assets register has no specific details of assets acquired, specific dates of acquisition, status in terms of depreciation, physical tags and codes for their assets. In addition, there was no proof of independent physical inspection of their register <b>REF DOC: CGN/018/KRA 1.9</b>	
<b>(d). Audit</b>								
1.10.	<b>Internal audit</b>	Effective Internal audit function	An internal audit in place with quarterly Internal Audit reports submitted to the Internal Audit Committee (or if no IA committee in place, then reports submitted to Governor)	Review file copy of audit reports as submitted to the Internal Audit Committee or Governor (as applicable) for the FY 2018/19.  Check against the PFM Act Sec 155	<b>Max. 1 point.</b> 4 quarterly audit reports 2018/19 submitted in the FY 2018/19: 1 point.	1	The internal audit unit is in place and submits quarterly internal audit reports to the audit committee for review. The reports presented as evidence included: 1. Risk internal audit report on staff houses and market stalls rent 2. Pending bills 3. Risk internal audit report on agricultural mechanization services(AMS) 4. Audit report on pack house-directorate of agriculture	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							<b>REF DOC: CGN/018/KRA 1.10</b>
1.11		Effective and efficient internal audit committee	Internal Audit/ Audit committee established and evidence of review of reports and follow-up.	Review the composition of the IA/Audit Committee. Review minutes etc. of committee meetings for evidence of review of internal audit reports. 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 follow-up meetings in the Committee).	<b>Max. 1 point.</b> IA/Audit Committee established and reports reviewed by the Committee and evidence of follow-up: 1 point.	1	The audit committee is in place. It was gazetted on 15 <sup>th</sup> March 2018. There was evidence of a review of quarterly reports by the committee <b>REF DOC: CGN/018/KRA 1.11</b>
				PFM Act Sec 155.			
1.12	<b>External audit</b>	Value of audit queries	The value of audit queries as a % of total expenditure Use 2016/17 & 2017/2018	Review audit report from OAG. Divide the value of audit queries as per the Audit Report by the total expenditures as per the financial statement.	<b>Max. 2 points</b> Value of queries less than 1% of total expenditures: 2 points Less than 5% of total expenditure: 1 point	2	The Value of audit queries for FY 2016/2017 was ksh17,020,845 Expenditure for FY 2016/2017 was ksh 5,094,898,634 the % of queries is 0.33%  Value of audit queries for FY 2017/2018 was Ksh 16,801,636 Expenditure for FY 2017/2018 was ksh. 4,705,031,369 the % of queries is 0.36% In both years it was less than 1%



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<b>REF DOC: CGN/018/KRA 1.12</b>	
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).  Checklist: clearance report from OAG	Review audit reports from OAG from the last two audits.	<b>Max. 1 point.</b>  Audit queries (in terms of value) have reduced from last year but oneto last year or if there are no audits queries: 1 point.	1	Value of audit queries FY 2016/2017 was 17,020,845ksh  Value of audit queries FY 2017/2018 was 16,801,636ksh  The audit queries reduced by Ksh. 219,209  <b>REF DOC: CGN/018/KRA 1.13</b>	
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 show scrutiny of audit reports.  Reports on file demonstrating that steps have been taken to address audit queries.	<b>Max. 1 point.</b>  The tabling of the audit report and evidence of follow-up: 1 point.	1	The C.A carried out legislative scrutiny  There was a submission of FY 2016/2017 Financial statement audit on 16 <sup>th</sup> May 2019  Submission of written responses to the findings of the auditor general on the pack house construction for the year ending 30 <sup>th</sup> June 2017 on 5 <sup>th</sup> April 2019  <b>REF DOC: CGN/018/KRA1.14</b>	
			Use 2016/17 & 2017/2018					
<b>(e). Procurement</b>								
1.15	Improved procurement procedures	Improved procurement procedure s including use of IFMIs, record	25 steps in the IFMIS procurement process adhered with. (all the 25 steps have a unique serial	Sample 5 procurements at random (different size) and review steps complied with in the IFMIS guidelines. Calculate	<b>Max. 6 points.</b>  a) IFMIS Steps: <15steps=0 points; 15-	2	The county carries out 25 steps  The following were sampled files:	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
		keeping, adherence to procurement thresholds and tender evaluation	number check out if it tallies in all steps & note that one will have to visit different officers depending on the procurement stage)	average steps complied with in the sample.	23=1 point; 24-25=2points		<ol style="list-style-type: none"> <li>1. Construction of Kamagoko ECDE classroom in Geta Ward (25).</li> <li>2. Construction of Kagutu ECDE classroom and toilet in Engineer ward (25)</li> <li>3.construction of Makerereka primary ECDE classroom and toilet in Ndaragwa central ward</li> <li>4.Construction of Gathimai ECDE classroom and toilet in Kanjuiri ward (25)</li> <li>5.Construction of Kimbo ECDE classroom and toilet (25)</li> </ol> <p>They all followed the 25 steps as per evidence REF DOC: CGN/018/KRA 1.15</p>	
			b) County has submitted required procurement reports to PPRA on time.	Review reports submitted. Annual reports, plus reports of all procurements above a threshold size.	b) Timely submission of quarterly reports to PPRA (both annual reports plus all reports for procurements above proscribed thresholds): <b>1 point</b>	1	<p>CGN submitted the procurement plans to PPRA as follows :</p> <p>1<sup>st</sup> Quarter -11<sup>th</sup> October 2018            2<sup>nd</sup> Quarter-15<sup>th</sup> January 2019            3<sup>rd</sup> Quart- 15<sup>th</sup> April 2019            4<sup>th</sup> Quarter- 12<sup>th</sup> July 2019  <b>REF DOC:</b></p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			Adherence with procurement thresholds and procurement methods for the type/size of procurement in a sample of procurements. (goods and services above 2M check if advertised for open tender e.g. is there a newspaper advert in newspapers? If below 2M was requested for quotation done? Works above 4M was open tender done?)	Check the documentation on a sample of 5 procurements of different sizes at random.	c) Adherence with procurement thresholds and procurement methods for the type/size of procurement in a sample of procurements: <b>1 point.</b>	1	<p><b>CGN/018/KRA1.15(b)</b></p> <p>CGN Adheres with procurement thresholds and procurement methods as follows:</p> <ol style="list-style-type: none"> <li>Proposed estate road improvement, public pathways, parking lots and common storm water drainage in Olkalau municipality was contracted to NEPHY co. ltd at a Contract sum Ksh. 64860699.36. <b>Open tender.</b> The file contained an advert date 23<sup>rd</sup> March 2019; Evaluation report with evaluators scores; technical evaluation and contract agreement as evidence</li> <li>Proposed new market construction, installation of solar street lights and solid waste management in Olkalau town. Awarded to ACACIA Ltd at a Contract sum of Ksh. 59,945,830. This was an <b>open tender.</b> The file documents include an advert dated 23<sup>rd</sup> March 2019, Evaluation reports with scores; contract</li> </ol>	





No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							<p>agreement etc.</p> <p>3.Road improvement along Gatimu-Muhindi road Cost awarded to Felix Capital Ltd toKsh. <b>3,690,540.00</b>. This was a <b>Request for quotations</b>; evaluation reports; notification of award and attached payment vouchers as evidence</p> <p>4.Supply, delivery, and laying of pipes and fittings for upper Chania water project, Kinamba in Njambini ward awarded to Quidmaster Ltd at a Contract sum-Ksh. 1,995,033.73 <b>Request for quotation</b> evaluation reports; notification of award and attached payment vouchers as evidence</p> <p>5.Supply of pharmaceutical, linen and Xray item awarded to KEMSA Contract sum-Ksh. 40,728390.50 This was a <b>Direct supply</b>. There was a RFQ and evaluation report in the procurement file <b>REF DOC: CGN/018/KRA1.15(c)</b></p>



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			d) Secure storage space with adequate filing space designated and utilized: single files containing all relevant documentation in one place are stored in this secure storage space.	Check for secure storage space and filing space, and for a random sample of 10 procurements of various sizes, review the contents of files to make sure they are complete.	d) Storage space and single complete files for a sample of procurements: <b>1 point</b>	1	The CGN has a safe and secure storage space. Each department has procurement office where files are kept. it was confirmed that all sampled files were complete. <b>REFDOC: CGN/018/KRA1.15(d)</b>	
			e)Completed evaluation reports, including individual evaluator scoring against pre-defined documented evaluation criteria, and signed by each member of the evaluation team,	Check files on a sample of 5 procurements, especially the evaluation reports.	e) Evaluation reports complete: <b>1 point</b>	1	Complete evaluation reports, including individual evaluator scoring against pre- defined documented evaluation criteria, and signed by each member of the evaluation team were sampled as here below.: 1. Complete evaluation report for Road improvement of Babajoe-Maina Kamanda Kanyiriri road, Fundi-Thairu-Nyairoko and Kiweru Road network in Karau ward 2. Complete evaluation report for Proposed new market construction, installation of solar street lights and solid waste management in Olkalau town 3. Complete evaluation report for Proposed estate roads improvement, public	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>pathways, parking lots and common storm water drain in Olkalau municipality</p> <p>4. Complete evaluation report for Road improvement along mtanga-wamunyi, mienyere road, Gichunguchu primary school road</p> <p>5. Complete evaluation report for Proposed construction and completion of a mortuary block at J.M Kariuku memorial</p> <p><b>REF DOC: CGN/018/KRA 1.15 (e)</b></p>	
<b>B</b>	<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.	<p>a) Planning and M&amp;E units functional (may be integrated into one). (check organogram)</p> <p>b) There is designated planning and M&amp;E officer and each line ministry has a clearly nominated/designated focal point for planning and one for M&amp;E (letter of deployment/appointment)</p> <p>c) Budget is dedicated for both planning and M&amp;E (check either departmental</p>	<p>Review staffing structure, organogram, job descriptions, and other relevant documents.</p> <p>Review budget documents to see if there is a clearly identifiable budget for planning and M&amp;E functions in the budget.</p> <p>Review the M&amp;E Plan/Framework/ County Indicator handbook</p>	<p><b>Maximum 3 points</b></p> <p>The scoring is 1 point per measure</p> <p>Nos. a-c complied with</p> <p>A: 1 point</p> <p>B: 1 point</p> <p>C: 1 point</p>	3	<p>A )The M&amp;E Organogram has approval by the executive as per the min. 103/2/2018 of 15<sup>th</sup> Feb 2018</p> <p><b>REF DOC: CGN/018/KRA 2.1 (a)</b></p> <p>b) There are designated officers for M&amp;E in each department of the county as per evidence. A sample letter for Rachel Githumebe deployed to the Ministry of Youth Sports and Arts, with a JD was carried as evidence for the same as per <b>REF</b></p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
			/consolidated budget)				<b>DOC: CGN/018/KRA 2.1 (b)</b> c)The CGN had a dedicated budget for the M&E of Ksh. 14, 520,000 in the Fy 2018/19 as per evidence <b>REF DOC: CGN/018/KRA 2.1 (c)</b>
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).  Minutes & appointment letters	Review minutes of the quarterly meeting in the County M&E Committee to see whether the committee met quarterly and whether quarterly performance reports were reviewed.	<b>Maximum: 1 point</b>  Compliance: <b>1 point.</b>	1	The county has an M&E committee in place. Appointment letters were availed for 10 Chief Officers appointed as members of the committee. The committee had met and minutes for 18 <sup>th</sup> Oct 2018; 7 <sup>th</sup> Jan 2019 and 11 <sup>th</sup> April 2019 were availed as evidence  <b>REF DOC: CGN/018/KRA 2.2</b>
2.3	County Planning systems and functions established	CIDP formulate d and updated according to guidelines	a) CIDP: adheres to structure of CIDP guidelines (2017) issued by the State Department of Planning  b) CIDP (2018-2022) has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key	CIDP submitted in the required format (as contained in the CIDP guidelines published by the State Department of Planning  See County Act, Sec 108, Sec 113 and Sec.149 CIDP guidelines, 2017, chapters 4 and 6.	<b>Maximum: 3 points</b>  1-point compliance with each of the issues a, b, c <b>A: 1 point</b> <b>B: 1 point</b>	2	a)CIDP: adheres to structure of guidelines as follows: Chapter 1:General information of county overview chapter 2:linkages with vision 2030 and other plans chapter 3: a review of the implementation of CIDP for 2013-2017 chapter 4: county development priorities



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							and strategies chapter 5: implementation framework chapter 6: monitoring and evaluation framework <b>REF DOC: CGN/018/KRA 2.3 (a)</b> b) The CIDP (2018-2022) has clear objectives, priorities and outcomes, reporting mechanisms, result matrix, key performance indicators. They are included on page 92 to pg225 of the CIDP <b>REF DOC: CGN/018/KRA 2.3 (b)</b>	
			Performance indicators included; c) The annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue.	Check the ADP cost for FY 2018/19 and compare to County total revenue/receipts of FY 2017/18	<b>C: 1 point</b>	1	c) ADP costing for FY 2018/2019 was Ksh. 6,177,246,283 Revenue for FY 2017/2018 was Ksh. 5,674,526,623ksh  $6,177,246,283/5,674,526,623 \times 100 = 109\%$ Annual financing requirement for full implementation of CIDP was 109%  <b>REF DOC: CGN/018/KRA 2.3 (c)</b>	
2.4			ADP submitted on time and conforms to guidelines	a) Annual development plan submitted to Assembly by	Review version of ADP approved by County Assembly.	4	a)The ADP was submitted to the CA on 31 <sup>st</sup> August	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
				<p>September 1<sup>st</sup> 2017 in accordance with the required format &amp; contents.</p> <p>b) ADP contains issues mentioned in the PFM Act 126,1, <u>number A-H</u></p>	<p>Ensure that it has the correct structure and format as per relevant guidelines, and was submitted by September 1<sup>st</sup>.</p> <p>Check the ADP against the PFM Act <b>Maximum: 4 points</b>            Compliance a): 1 point.            b) 7-8 issues from A-H in PFM Act Art 126,1: 3 points            5-6M, issues: 2 points            3-4 issues: 1 point, see Annex</p>		<p>2017  <b>REF DOC: CGN/018/KRA 2.4</b></p> <p>b)ADP contains issues mentioned in the PFM Act 126            the ADP contains all issues A-H            a)Strategic priorities pg 79            b)Response to changes in financial and economic environment pg 189            c)Programs to be delivered pg 79            d) Payments to be made - Grants and subsidies pg 31            e)Significant capital developments pg 216            f)Proposal with respect to physical resources pg 79            g)Summary of budget pg 191            h) Any other matters in the constitution Act pg 195  <b>REF DOC: CGN/018/KRA 2.4 (b)</b></p>	
2.5		The linkage between CIDP, ADP, and Budget	Linkages between the ADP and CIDP and the budget in terms of costing and activities. (costing of ADP is within +/- 10 % of final budget allocation)	<p>a) Review the three documents: CIDP, ADP and the budget. The budget should be consistent with the CIDP and ADP priorities.</p> <p>b) The total costing of the ADP is within +/- 10% of the approved budget allocation.</p>	<b>Maximum: 2 points</b> Linkages and within the ceiling: 2 points	2	<p>a)The are linkages between the ADP and CIDP and the budget in terms activities as evidenced here below:            -Bursary fund endowment and scholarship            CIDP-pg 141            ADP-pg 79</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
				Sample 10 project across sectors and check that they are consistent with the CIDP, ADP and the Budget.			Budget-pg 12 -ECDE feeding programme CIDP pg 135 ADP pg 79 Budget pg 22 Engineer hospital upgrade CIDP pg 157 ADP pg 78 Budget pg 20 Upgrade of J.M hospital CIDP pg 99 ADP pg 78 Budget pg 21 Olkalou stadium CIDP pg 199 ADP pg 78 Budget pg 35 County spartial plan CIDP pg 173 ADP pg 78 Budget pg 54 Construction of lands office CIDP pg 176 ADP pg 78 Budget pg 55 Cabro works and drainage CIDP pg 176 ADP pg 187 Budget pg 55 Digging of boreholes	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>CIDP pg 188 ADP pg 141 Budget pg 38</p> <p>Input of subsidy CIDP pg 122 ADP pg 129 Budget pg 78</p> <p><b>REF DOC: CGN/018/KRA 2.5(a)</b></p> <p>b) The total costing of ADP for Fy 2018/19 against the budget for the same FY for 10 sampled projects was: -County bursary fund ADP- 100,000,000 Budget-106,900,000 Variance-<b>6.90%</b></p> <p>-Flagship project- construction and completion of Ndaragwa health center theatre ADP- 20,000,000 Budget-20,000,000 Variance-<b>0.0%</b></p> <p>-Lands office ADP- 20,000,000 Budget-20,000,000 Variance-<b>0.0%</b></p> <p>-Survey of squatter villages ADP- 7,900,000 Budget-7,804,640</p>	





No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>Variance- <b>-1.21%</b></p> <p>ECD classrooms-all ward ADP- 70,000,000 Budget-72,900,000 Variance= <b>-1.29%</b></p> <p>Completion of kaimbaga health center ADP- 2,000,000 Budget-1,950,000 Variance= <b>-2.50%</b></p> <p>Gender mainstreaming ADP- 2,000,000 Budget-2,200,000 Variance-10.0%</p> <p>Linda Mama ADP- 30,000,000 Budget-30,000,000 Variance-0.0%</p> <p>Ticks and pest control county wide ADP- 9,000,000 Budget-8,990,000 Variance= -0.11%</p> <p>Engineer water project in engineer ward ADP- 4,000,000 Budget-3,800,000 Variance= -0.05%</p> <p>Construction of 100M3 masonry water tank ADP- 2,500,000</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							Budget-2,500,000 Variance-0%	
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 <sup>st</sup> c) C-APR includes clear performance progress against CIDP indicator targets and within result matrix for results and implementation. (look at the indicators in the CIDP matrix chap 6)	Check the approved C-APR document for the date of submission. Check contents of C-APR and ensure that it clearly links with the CIDP indicators.(N.B. if results matrix is published separately, not as part of the ADP, the county still qualifies for these points)	<b>Maximum: 5 points.</b> a) C-APR produced = 2 points b) C-APR produced by 1 <sup>st</sup> September : 1 point. c) C-APR includes performance against CIDP performance indicators and targets and with result matrix for results and implementation: 2 points.	5	a)The CGN has a C-APR for FY 2018/19 as per <b>REF DOC: CGN/018/KRA 2.6(a)</b> b) The C-APR was produced and submitted to the Governor on <b>27<sup>th</sup> August 2019 REF DOC: CGN/018/KRA 2.6 (b)</b> c)The C-APR has clear performance progress against CIDP indicator targets and within result matrix for results and implementation. Example; from CIDP chapter 3 and C-APR pg 9-84 <b>REF DOC: CGN/018/KRA 2.6(c)</b>	
2.7		Evaluation of CIDP projects	Evaluation of completed major CIDP projects conducted on an annual basis e.g flagship project, wide outreach, has full impact assessment reports, mid-term reviews, etc..)	Review evaluation reports for at least 3 large projects.	<b>Maximum: 1 point.</b> Evaluation is done for at least three large projects: 1 point.	1	Evaluation for completed major projects was done in Fy 2018/19 The reports for sampled 3 major projects were:  1.ECDE school funding costing Ksh. 38,709,860	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							2.Upgrade of Olkalou stadium costing Ksh. 24,000,000 3.Input subsidy (fertilizer) of Ksh. 20,000,000 <b>REF DOC: CGN/018/KRA 2.7</b>	
2.8		Feedback from the Annual Progress Report to Annual Development Plan	Evidence that the ADP and budget are informed by the previous C-APR. C-APR 2016/17 informing ADP 2018/19 and budget	Review the two documents for evidence of C-ARP informing ADP and budget	<b>Maximum: 1 point.</b> Compliance: 1 point.	1	There was sufficient evidence to show that C-APR FY 2016/2017 informed the ADP of 2018/2019 as per sampled projects as follows; Upgrading and equipping of JM Kariuki memorial hospital to level 5. <b>ADP Fy 2018/19 pg 78, C-APR Fy 2016/17 pg 2</b>  Olkalau stadium ADP fy 2018/19 pg 78, C-APR 2016/17 pg 16  Construction of lands office ADP 2018/19 pg 78, C-APR 2016/17 pg 178 as per evidence <b>REF DOC: CGN/018/KRA 2.8</b>	
<b>C</b>	<b>Key Result Area 3: Human Resource Management</b> <b>Max score: 12 points.</b>							
3.1	Staffing plans based on functional and organization	Organizational structures and staffing plans	a) Does the county have an approved staffing plan in place, with annual targets?	Review approved staffing plan Review capacity Building Assessment / CARPS report	<b>Maximum 3 points:</b> First self-assessment: a = 2 points,	3	a) Evidence of approved staffing plans for FY 2018/19 was availed <b>REF DOC: CGN/018/KRA</b>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
	assessment s		<p>b)Is there clear evidence that the staffing plan was informed by a Capacity Building assessment / functional and organizational assessment and approved the organizational structure.</p> <p>c) Have the annual targets in the staffing plan been met?</p>	<p><i>In future years (after first AC&amp;PA), there has to be evidence that CB/skills assessments are conducted annually to get points on (b).</i></p> <p>Targets met within +/- 10 %. Check for Letters, minutes</p>	<p>b = 1 point c= NA. <i>Future ACPAs: a=1 point, b = 1 point, c = 1 point</i></p>		<p><b>3.1(a)</b></p> <p>b)There was clear evidence that the staffing plan was informed by a Capacity Building assessment report. For Fy 2018/19 the CGN planned to recruit 53 staff <b>REF DOC: CGN/018/KRA 3.3(b)</b></p> <p>c) The annual target was met. They had planned to employ 53 staff and the CPSB recruited 52 staff <b>REF DOC: CGN/018/KRA 3.3(c)</b></p>	
3.2	Job description s, including skills and competence requirements	Job descriptions, specifications and competency framework	<p>a) Job descriptions in place and qualifications met.</p> <p>First self-assessment: Chief officers/heads of departments;</p> <p><i>2nd ACPA: all heads of units; future ACPAs: all staff (sample check))</i></p> <p>B)Skills and competency frameworks in place and Job descriptions adhere to these First self-assessment: Chief officers/heads of departments;</p> <p><i>2nd ACPA: all heads of units; future ACPAs: all staff</i></p>	<p>Review job descriptions and personnel records to match qualifications</p> <p>Review skills and competency frameworks, and check that job descriptions adhere to the skills and competency frameworks.</p> <p>Review appointment, recruitment and promotion records</p>	<p><b>Maximum score: 4 points</b></p> <p>All a, b and c: 4 points. Two of a-c: 2 points One of a-c: 1 point</p>	4	<p>a) Evidence of Job descriptions and personnel records was provided.</p> <p>A sample for Directors, chief officer, clerical officer, and Nurse were presented as per evidence:</p> <p>-Hannah Wathima, Clerical Officer II; JD requirements: Certificate matches with her qualifications with a certificate in Computer Applications;</p> <p>-Dr. Daniel Gikaara; Ag. Chief Officer for Agriculture, Livestock, and fisheries. Has a Masters in</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			<p>(sample check))</p> <p>c) Accurate recruitment, appointment and promotion records available</p>				<p>Horticulture: JD            Qualifications: Bachelors degree in Livestock, Agric /animal production; Jesse Maasai; Director Communication and Public Relations. Has a Bachelor degree in Communications(PR). JD: Requires Bachelors degree in Mass communication, journalism and PR  <b>REF DOC: CGN/018/KRA 3.2(a)</b>            b) The Skills and competency framework evidence was provided  <b>REF DOC: CGN/018/KRA 3.2(b)</b>            c) Accurate recruitment, appointment, and promotion records availed as per evidence:            -request for health workers from CO health services            -Request for recruitment by Cs to CPSB on 27<sup>th</sup> Nov 2018            -Advert on Dailies on 14<sup>th</sup> Dec 2018            -Shortlist indicating interview dates and time            -Interviews conducted            - Offer of appointments</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							-Appointment letters issued <b>REF DOC: CGN/018/KRA 3.2(c)</b>	
3.3	Staff appraisal and performance management operationalized in counties	Staff appraisals and performance management	a) The staff appraisal process developed and operationalized.	a) Review staff appraisal, mid-year review, and annual evaluation.	<b>Maximum score: 5 points.</b> a) Staff appraisal for all staff in place: <b>1 point.</b>	0	a)The staff appraisal process was developed and operationalized in CGN. Performance appraisal reports were sampled for; -Kanyugo Duncan; Chief Cultural officer; Education Department; Date 1st July 2018- 30 <sup>th</sup> June 2019. there was an end-year appraisal. was availed for: -Mar Wamboi; Snr Welfare assistant; 1 <sup>st</sup> July 2018- 30 <sup>th</sup> June 2019; Annual reviews and mid year evaluation not done. <b>REF DOC: CGN/018/KRA 3.3(a)</b>	
			b)Performance contracts <b>developed and operationalized</b> for CEC Members, Cos, and Directors	b) Review county Public Service Board Records for signed performance contracts, <b>quarterly reports, and annual evaluation.</b>	b) Performance Contracts in place for CEC Members and Chief Officers: <b>1 point</b> Performance Contracts in place for the level		b)Performance contracts developed and operationalized for CEC Members, Cos, and Directors  Performance contracts availed between the governor and executive committee member for health services  Performance contract between CEC for public	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							administration and ICT and CO public administration and ICT was availed	
					below Chief Officers: <b>1 point</b>	1	Performance contracts between CO Economic planning and development and director economic planning and development were availed Performance contract between CO, Education, gender affairs, culture and social services and director, Education, pre-primary education & vocational training centers Quarterly and annual evaluation reports were availed <b>REF DOC: CGN/018/KRA 3.3(b)</b>	
			c) Service engineering undertaken	c) Review re-engineering reports covering at least one service	c) Service delivery processes re-engineered in counties: <b>1 point</b>	1	Evidence of an online complaint handling system and bulk SMS in FY 2018/19 was provided. The link is *483*98#. Citizen.nyandarua.go.ke <b>REF DOC: CGN/018/KRA3.3(c)</b>	
			d) RRI undertaken	d) Review RRI Reports/evidence for a maximum of the 100-day period	d) Rapid Results Initiatives-RRIs launched/up-scaled: <b>1 point</b>	1	There was evidence for RRI developed and operationalized for 100 days by the Directorate of HR on 9 <sup>th</sup> July 2018 for the	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							establishment of the County Human Resource advisory Committee. REF DOC: CGN/018/KRA3.3(d)	
<b>D</b> Key Result Area 4: Civic Education and Participation - <i>A citizenry that more actively participated in county governance affairs of the society</i> Max score: 18 points								
4.1	Counties establish functional Civic education Units	CEU established	a)Civic Education Units established and functioning: B)Formation of CE units C)Dedicated staffing and Budget, (d) Programs planned, including curriculum, activities, etc. and (e) Tools and methods for CE outlined.  Policies must be approved by the County Assembly	County Government Act, sec 99-100. Review relevant documentation to ascertain whether measures have been met (Approved Organogram, Appointment letters Budget line Approved annual Civic education work plan Booklets, curriculum)	<b>Maximum 3 points.</b> CEU fully established with all milestones (a)-(e) complied with: 3 points. 2-4 out of the five milestones(a-e):2 points Only 1 met: 1 point.	3	a)Evidence of an approved Organogram was availed as per evidence by the executive as per the min. 103/2/2018 of 15 <sup>th</sup> Feb 2018 <b>REF DOC: CGN/018/KRA4.1 (a)</b>  b) Appointments letters for Jesse Masai Lukorito (Director, public communication)appointed on 16 <sup>th</sup> July 2018. A copy of his payslip was also availed as further evidence -Esther Muthoni Kigutu. Appointed 18 <sup>th</sup> December 2018. A copy of his pay slip was also availed as per evidence <b>REF DOC:CGN/018/KRA4.1 (b)</b>  c)The county has an approved budget of 3,500,000 ksh as per evidence <b>REF DOC:CGN/018/KRA4.1 (c)</b>	





No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>d)The county had an approved workplan signed by the C.S on 28<sup>th</sup> June 2018 <b>REF DOC:CGN/018/KRA4.1 (d)</b></p> <p>e)The county has Tools and methods used for C.E CGN use the devolution and public participation in Kenya (Civic education handouts for participation) and information, education and communication strategy from Ministry of devolution and planning <b>REF DOC:CGN/018/KRA4.1 (e)</b></p>	
4.2		Counties roll out civic education activities	Evidence of roll-out of civic education activities – (minimum 5 activities). Minutes/reports/attendance lists	County Government Act, sec. 100. Examples of relevant evidence include engagements with NGOs to enhance CE activities/joint initiatives on the training of citizens etc. It needs to be clearly described and documented in a report(s) as a condition for availing points on this.  Initiating memos  Approvals for the program Attendance lists	<b>Maximum 2 points.</b> Roll out of minimum 5 civic education activities: 2 points.	2	Counties have rolled out civic education activities as follows: 1. information on annual voter education week in conjunction with IEBC carried out on 07/06/2019  2. Sensitization of Irish potato regulation carried on on 28 <sup>th</sup> February 2019  3. County dialogues: build-up towards the 6 <sup>th</sup> annual devolution conference 2019	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>4. Public participation on potatoes and vegetable processing plant for Nyandarua county</p> <p>5. Civic education on anti-terrorist and extremism model in partnership with the National Government on 8<sup>th</sup> April 2019</p> <p>Initiating memos were provided dully approved for the activities to be undertaken</p> <p><b>REF DOC: CGN/018/KRA4.2</b></p>	
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.)	County Governments Act, sec 96. Review whether counties have used the communications channels described in the County Governments Act, and as elaborated in the Public Participation Guidelines and Civic Education Framework.	<b>Maximum 2 points.</b> a) Compliance: <b>1 point.</b>	1	<p>a. System for Access to information/ Communication framework in place and operationalized</p> <p>The county uses magazines to pass out information, WhatsApp handles between CCO, ward administrators, CECs, Directors and Governor, Twitter, public notices in vernacular, bulk SMS(Nyantalk). Evidence herewith provided</p> <p><b>REF DOC: CGN/018/KRA4.3 (a)</b></p>	
			b) Counties have designated officer in place, and the	Review job descriptions, pay-sheets and/or other relevant	b): Compliance: <b>1 point</b>	1	B A designated officer name was provided as follows:	



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			officer is operational. Newspaper cuttings, invoices copies, copies of notices),	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.)			Jesse Maasai; Director Communication and Public Relations. Has a Bachelor degree in Communications(PR). JD: Requires Bachelors degree in Mass communication, journalism and PR Therefore the JD qualifications matches the qualifications for the designated officer Evidence of minutes was availed to show his involvement in communications	
4.4		Participatory planning and budget forums held	<p>a) Participatory planning and budget forums held in the previous FY before the plans were completed for on-going FY.</p> <p>b) Mandatory citizen engagement /consultations held beyond the budget forum, (i.e. additional consultations)</p> <p>Representation: meets requirements of PFMA (section 137) and stakeholder mapping in public participation</p>	<p>PFM Act, sec 137; County Act, 91, 106 (4), Sec. 115.</p> <p>Review files copies of Invitations and minutes from meetings in the forums to establish that relevant forums were held.</p> <p>Review the list of attendances to establish that the representation requirement was met.</p> <p>Review materials used to structure meetings Review minutes of meetings and resulting in planning documents to identify links.</p>	<p><b>Maximum 3 points.</b></p> <p>All issues met (a-f): 3 points.</p> <p>4-5 met: 2 points.</p> <p>1-3 met: 1 point.</p>	3	<p>a)Participatory planning and budget forums were held in the previous FY before the plans were completed for on-going FY. Evidence of a meeting held 21<sup>st</sup> March 2018 for county annual budget estimates preparation at Mirangine Hall as per evidence <b>REF DOC: CGN/018/KRA 4.4(a)</b></p> <p>b)There was a public participation meeting held beyond the budget forum to discuss Finance bill for FY 2018/19 was presented</p>	<b>DOC: CGN/018/KRA4.3(b)</b>



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			<p>guidelines issued by MoDP. e.g. lists of attendance have a governor, CECs, NGOs, professional bodies, etc.</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.</p>	Feedback reports/minutes of meetings where feedback provided to citizens			<p>as per evidence <b>REF DOC: CGN/018/KRA 4.4(b)</b></p> <p>c)The CGN provided evidence of stakeholder representation in their public participation forums</p> <p>d)The county provided a program for stakeholder meetings engagement forum on 17<sup>th</sup> May 2019 to demonstrate that their meetings were structured. <b>REF DOC: CGN/018/KRA 4(d)</b></p> <p>e)There was evidence that citizen inputs were captured in plans as per the Report on CFSP public participation report held at different sub-counties as per evidence <b>REF DOC: CGN/018/KRA 4.4(f)</b></p>	
			<p>through minutes or other documentation</p> <p>f) Feed-back to citizens on how proposals have been handled.</p>				<p>f) A meme(a pictorial representation) was presented on governors' dialogue with the citizen as evidence of how feedback to the citizen was delivered on the proposals made. He addressed a borehole issue which was in the budget <b>REF DOC: CGN/018/KRA 4.4(e)</b></p>	



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4.5.		Citizens' feedback	Citizens feedback on the findings from the C-APR/implementation status report.	Review records of citizen engagement meetings on the findings of the C-APR. Review evidence from how the inputs from engagement meetings have been noted and have been reflected on by the county (e.g. a documented management response to Citizen inputs).	<b>Maximum points: 1</b> Compliance: 1 point.	1	From a public participation meeting on the CFSP dated February 2019 there was evidence that citizens' feedback was captured from the C-APR of 2017/18 as evidence on the issue of solar security floodlights.  <b>REF DOC: CGN/018/KRA 4.5</b>	
4.6		County core financial materials, budgets, plans, accounts, audit reports, and performance assessment s published and shared	Publication (on the county web- page, in addition to any other publication) of: i) County Budget Review and Outlook Paper by 1st Sept 2017 ii) Fiscal Strategy Paper shows how you raise n spend revenue ready by 28thFeb 2018 passed by the county assembly 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	PFM Act sec 131. County Act, sec. 91.  Review county web-page to see if copies of each document are available at the time of self-assessment  <i>(N.B.) Publication of Budgets, County Integrated Development Plan and Annual Development Plan is covered in Minimum Performance Conditions)</i>	<b>Maximum points: 5 points</b> 9 documents available: 5 points 7-8 documents available: 4 points 5-6 documents available: 3 points 3-4 documents available: 2 points 1-2 documents available: 1 point 0 documents available: 0 points.	5	1. County Budget Review and Outlook Paper by 1st Sept 2017 2. Fiscal Strategy Paper shows how you raise n spend revenue ready by 28thFeb 2018 passed by the county assembly 3. Financial statements or annual budget execution report 4. Audit reports of financial statements 5. Quarterly budget progress reports or other report documenting project implementation and budget execution during each quarter 6. Annual progress reports (C-APR) with core county indicators 7. Procurement plans and	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			during each quarter vi) Annual progress reports (C-APR) with core county indicators vii) Procurement plans and awards of contracts viii) Annual Capacity & Performance Assessment results for FY 2016/17 and 2017/18 ix) County citizens' budget				awards of contracts 8. Annual Capacity & Performance Assessment results for FY 2016/17 and 2017/18 9. County citizens' budget <b>REF DOC: CGN/018/KRA 4.6</b>	
4.7		Publication n of bills	All bills introduced by the county assembly have been published in the national Gazette or county website, and similarly for the legislation passed within the FY 2018/2019	County Act, sec. 23. Review gazetted bills and Acts, etc. Review the county website.	<b>Maximum 2 points</b> Compliance: 2 points.	2	Some of the bills were published online on <a href="http://www.nyandarua.go.ke">www.nyandarua.go.ke</a>  -Nyandarua county supplementary appropriation Act 2019 -Nyandarua county second supplementary appropriation bill, 2019 <b>REF DOC: CGN/018/KRA 4.7</b>	
<b>E</b>	<b>Result Area 5. Investment implementation &amp; social and environmental performance</b> <b>Max score: 20 points. (N.B. Points breakdown will change in third ACPA, see Capacity &amp; Performance Assessment Manual)</b>							
5.1	Output against the plan measures of levels of implementation	Physical targets as included in the annual development plan implemented	The % of planned projects (in the ADP) implemented in last FY according to completion register of projects (quarterly project reports, certificate of completion) <i>Note: Assessment is done</i>	Sample min 10 larger projects from minimum 3 departments/sectors.  Average implementation progress across sampled projects.  If a project is multi-year, the progress is reviewed against the expected level of completion by	<b>Maximum 4 points</b>  More than 90 % implemented: 4 points 80-90 %: 3 points 70-79%: 2 points 60-69%: 1 points Less than 60 %: 0 point. If no information is available on	4	In the assessment of the % of implementation of projects planned in the ADP, the following projects were sampled: 1.Oikalou stadium new work(perimeter wall) Implementation Status:99.9%	



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			<p>for projects planned in the Annual Development Plan for that FY and the final contract prices should be used in the calculation. Weighted measure where the size of the projects is factored in. If there are more than 10 projects a sample of 10 larger projects are made and weighted according to the size.</p>	<p>end of last FY. Use all available documents in assessment, including: - <b>CoB reports,</b> - <b>Procurement progress reports,</b> - <b>Quarterly reports on projects, M&amp;E Reports etc.</b>  MOV -Project Implementation register (Completed) -Certificate of completion -Timelines</p>	<p>completion of projects: 0 points will be awarded.  An extra point will be awarded if the county maintains a comprehensive, accurate register of completed projects and status of all ongoing projects (within the total max points available, i.e. the overall max is 4 points)</p>		<p>2.Completion of VIP Diais Olkalou stadium Implementation Status:99.80%</p> <p>3.Purchase of specialized plant, equipment, and machines Implementation status:100%</p> <p>4.Soilo Ngwataniro borehole water project Implementation Status:95%</p> <p>5.Kihuho water project Implementation Status:100%</p> <p>6.Githae Umoja water project Implementation Status 100%</p> <p>7.Routine maintenance of roads Implementation Status:90%</p> <p>8.Mungetho Ngatho road Implementation Status:100%</p> <p>9.Kagutu ECDE and Toilet Implementation Status: 90%</p> <p>10.County spatial plan Implementation Status:95%</p>	



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							The average implementation rate was <b>96.87%</b> <b>REF DOC: CGN/018/KRA 5.1</b>	
5.2	Projects implemented according to cost estimates	Implementation of projects in accordance with the cost estimates	Percentage (%) of projects implemented within <b>budget</b> estimates (i.e. +/- 10 % of estimates).Project Completion Certificates	<p>A sample of projects: a sample of 10 larger projects of various sizes from a minimum of 3 departments/ sectors.</p> <p>Review:</p> <ul style="list-style-type: none"> <li>- <b>budget,</b></li> <li>- <b>procurement plans,</b></li> <li>- <b>contract,</b></li> <li>- <b>plans and costing against actual funding.</b></li> </ul> <p>If there is no information available, no points will be provided.</p> <p>If the information is available in the budget this is used. (In case there are conflicts between figures, the original budgeted project figure will be applied).</p> <p>Review completion reports, quarterly reports, payment records, quarterly progress reports, etc. <b>M&amp;E reports</b></p> <p>Compare actual costs of the completed project with original budgeted costs in the ADP/budget.</p> <p>MOV –</p>	<p><b>Maximum 4 points</b></p> <p>More than 90 % of the projects are executed within +/-5 of budgeted costs: 4 points</p> <p>80-90%: 3 points</p> <p>70-79%: 2 points</p> <p>60-69%: 1 point</p> <p>Less than 60 %: 0 points.</p>	3	<p>A sample of 10 large projects from a minimum of 3 departments/ sectors to show Percentage (%) of projects implemented within <b>budget</b> estimates was as follows:</p> <p>Olkalau town cabro and walkway Budget 66,543,000 LPO 64,860,699 Deviation-<b>2.5%</b></p> <p>Olkalau drainage and market Budget 65,000,000 LPO-59,945,830 Deviation-<b>7.8%</b></p> <p>Olkalau stadium Dias and other civil works Budget 24,000,000 LPO-21,983,556 Deviation-<b>8.4%</b></p> <p>Construction of Mirangine market toilet Budget 800,000 LPO-796,637 Deviation-<b>0.4%</b></p>	





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				<ul style="list-style-type: none"> <li>- Bill of Quantities</li> <li>- Payment schedules</li> <li>- Completion certificates</li> </ul>			<p>Renovation of Marangine market Budget 1,500,000 LPO-1,496,362 Deviation-<b>0.2%</b></p> <p>Road work along kalou ward. Kgatifaru-gikonyo-kandeto-kahia, baba joe-maina kamanda Budget 3,950,000 LPO-3,740,670 Deviation-<b>5.3%</b></p> <p>Upper chania water project-kinamba water Budget 2,000,000 LPO-1,995,033 Deviation-<b>0.2%</b></p> <p>Gatimu-muhindi and kibathi road gatimu ward Budget 3,800,000 LPO-3,690,540 Deviation-<b>2.9%</b></p> <p>Gravelling along kimili mugokotra mugwe road,mutanga forest wamathigara road, road improvement work alon marekia gatenge roads Budget-3,100,000 LPO-3,061,424 Deviation-<b>1.2%</b></p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>Drainage and walkway in Ndaragwa Budget- 1,000,000 LPO-999,874 Deviation-0.0%</p> <p>The percentage implementation of projects within budget estimates +/- 10 % for sampled projects was <b>80% (8/10)</b></p> <p><b>REF DOC: CGN/018/KRA 5.2</b></p>	
5.3	Maintenance	Maintenance budget to ensure sustainability	Maintenance cost in the last FY (actual) was minimum 5 % of the total capital budget and evidence in selected larger projects (projects which have been completed 2-3 years ago) have been sustained with an actual maintenance budget allocations (sample of min. 5 larger projects).	Review budget and quarterly budget execution reports as well as financial statements. Randomly sample 5 larger projects, which have been completed 2-3 years ago.	<b>Maximum 4 points</b>  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 4 points	<b>4</b>	<p>All sampled projects completed 2-3 yrs ago had a maintenance budget above the required 5% as per the evidence provided:</p> <p>1.Flood lights, Department of public works Capital budget= ksh 11,350,000 Maintenance budget=ksh 1,688,960 % of funds allocated for maintenance against capital budget=<b>14.9%</b></p> <p>2.ICT infrastructure department of public works Capital budget= ksh 11,050,000 Maintenance budget=ksh 2,584,480</p>	



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							<p>% of funds allocated for maintenance against capital budget=<b>23.4%</b></p> <p>3.Construction of market sheds (pending bills) Capital budget= ksh 12,556,347 Maintenance budget=ksh 1,650,000 % of funds allocated for maintenance against capital budget=<b>13.1%</b></p> <p>4.Country road works Capital budget= ksh 943,592,020 Maintenance budget=ksh 136,797,341 % of funds allocated for maintenance against capital budget=<b>14.5%</b></p> <p>5.Market upgrade Capital budget= ksh 10,000,000 Maintenance budget=ksh 897,260 % of funds allocated for maintenance against capital budget=<b>9%</b></p> <p><b>REF DOC: CGN/018/KRA 5.3</b></p>	
				Review if maintenance is above 5 % of the capital budget and evidence that budget allocations	More than 5 % but only 3-4 of the projects are catered for 2 points.			



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
				have been made for projects completed 2-3 years ago and evidence that funds have actually been provided for maintenance of these investments.	More than 5 % but only 1-2 of the specific sampled projects are catered for 1 point.			
5.4	Screening of environmental social safeguards	Mitigation measures on ESSA through audit reports	Annual Environmental and Social Audits/reports for EIA /EMP related investments.	Sample 10 projects and ascertain whether environmental/social audit reports have been produced. for	<p><b>Maximum points: 4 points</b></p> <p>Above 90 % of sample done in accordance with the framework for all projects: 4 points</p> <p>80-89 % of projects: 3 points</p> <p>70-79 % of projects: 2 points</p> <p>60 – 69 % of projects: 1 point</p> <p>Below 59%: 0 points</p>	4	<p>The CGN carried out Environmental and social audits for projects. The 10 sampled audits reports were for:</p> <ol style="list-style-type: none"> <li>1. Audit report for Golden tulip farms limited phase II</li> <li>2. Necta filling station- Ndunyu-Njeru</li> <li>3. Audit report for Harvest flowers limited (new top farm)</li> <li>4. Audit report for Laurel investment limited south farm</li> <li>5. Audit report for Laurel investment limited East farm</li> <li>6. Audit report for Olkalau disposal site in kaimbaga ward, Nyandarua County</li> <li>7. Audit report for Quarry on plot no Nyandarua/Ol Kalou south/647, Nyandarua county</li> </ol>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							8. Audit report for Golden tulips farms limited phase 1 9. Audit report for Kinangop dairy liomioted at Ndunyu Njeru 10. Audit report for annual environmental report for Mahee flowers limited All projects done 100% <b>REF DOC:CGN/018/KRA 5.5</b>	
5.5	EIA /EMPE procedures	EIA/EMP procedure s 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 contain ESMP implementation provisions</b> (counties are expected to ensure their works contracts	Sample 5-10 projects  MoV <ul style="list-style-type: none"> <li>EIA Registers of projects showing status.</li> <li>EIA Reports</li> <li>ESMP/EMP/SMP</li> <li>RAP Reports</li> <li>EIA licenses or exemption letters.</li> </ul>	<b>Maximum points: 4 points</b>  Above 90 % of sample done in accordance with the framework for all projects: 4 points 80-89 % of projects: 3 point 70-79 % of projects: 2 points 60 – 69 % of projects: 1 point Below 59%: 0 points	4	The CGN has relevant safeguards instruments Prepared. A sample of 5 projects was done according to the framework. Evidence of EIA reports and NEMA licences for the projects were availed as listed below:  1. EIA report and licence for Proposed construction of a 50 cubic meter capacity decentralized treatment facility  2. EIA report and licence for Proposed incineration plant	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			for which ESIA's /ESMPs have been prepared and approved safeguards provisions from part of the contract.				installation at J.M Kariuki memorial county referral hospital, Nyandarua county 3. Exemption letter for 49 ECDE FOR 49 projects 4. EIA report and licence for Proposed rwanyambo borehole 5. EIA report and licence for Proposed kihurure borehole at kaimbaga location  REF DOC: CGN/018/KRA5.5	
					Total Maximum Score: 100 points.	95		



## 5.0 ASSESSMENT OF DEVELOPMENT PROJECTS VISITED

The team of consultants visited a number of projects initiated by the County Government of Nyandarua and below is a narrative of the projects visited: -

### 1 Oljorook Agriculture Training Centre:

#### Introduction

The ATC at Oljorok is an existing center for training farmers. The CGN is upgrading the centre by constructing a Potatoe tissue culture lab. The project is 80% complete. It is expected to be a centre for supply of improved potato seed in the region with a capacity for growing about 3M seedlings in the lab.

#### Cost of the project

The cost of the project is ksh 20,700,000

#### The benefit of the project

The target farmers were 100,000 with an impact of doubling the production of potatoes per acreage for the supply of the proposed potato processing plant.

#### Overview of the project

An impressive project expected to supply the farmers with improved potato seed with 150 thousand farmers

#### Project photos



### 2 Cabro paving and walkway at Olkalau town

The CGN has implemented cabro paving of the whole town highly enhancing its revenue source and providing clean adequate packing space for the residents. The cabro paving is complete. The walkway stretches from the town to the county headquarters. It is under construction. At its completion, it is anticipated to create safe walking and cycling space for the residents of Olkalau. It is an impressive project joining the town with the headquarters.



### Cost of the project

The project costed ksh 66,543,400

### The benefit of the project

At its completion, it is anticipated to create safe walking and cycling space for the residents of Olkalau. It is an impressive project joining the town with the headquarters.

### Overview of the project

The parking lot has enhanced the own-source revenue for the county and enhance safety and encourage cycling, walking and jogging towards healthy living

### Project photos







## 6.0 SPECIFIC AND GENERAL COMMENTS TO INDIVIDUAL ASPECTS OF THE ASSESSMENT PROCESS

The following are general observations on specific aspects of assessment, as provided for in the following sections:

### 6.1 MPC's Issues

The following observations were made:

The CGN has met all 9. They were assessed against the set parameters and all the necessary documentation for the assessment of the MPCs in the correct format

## 7.0 IOVERVIEW OF THE WEAKEST KRA PERFORMANCES

The Table below presents assessed areas of the county of weakest performance during the Assessment:

KRA	Performance Measure	Issues
KRA 1	Public Finance Management	<ul style="list-style-type: none"> <li>The CGN Asset register was not well updated neither was their evidence of independent physical inspection of their register in the FY 2018/19 (KRA 1.9)</li> <li>The expenditure composition for each sector was a little bit higher than 10% @ 11.5% (KRA 1.3b)</li> </ul>
KRA 2	Planning &M&E	<ul style="list-style-type: none"> <li>N/A</li> </ul>
KRA 3	Human Resource Management	<ul style="list-style-type: none"> <li>N/A</li> </ul>
KRA 4	Civic Education& Public Participation	<ul style="list-style-type: none"> <li>There was no evidence that the public participation forum had diverse stakeholder representation (4.4 c)</li> </ul>
KRA 5	Investment implementation & social and environmental performance	<ul style="list-style-type: none"> <li>The investment implementation performance of projects according to cost estimates was at 70%. Only 7 out of the sampled 10 projects were implemented within +/- 5% of the budget cost (KRA 5.2)</li> </ul>



## 8.0 TREND ANALYSIS

The following table presents an analysis of the performance in the two ACPAs of 2017/18 and 2018/19

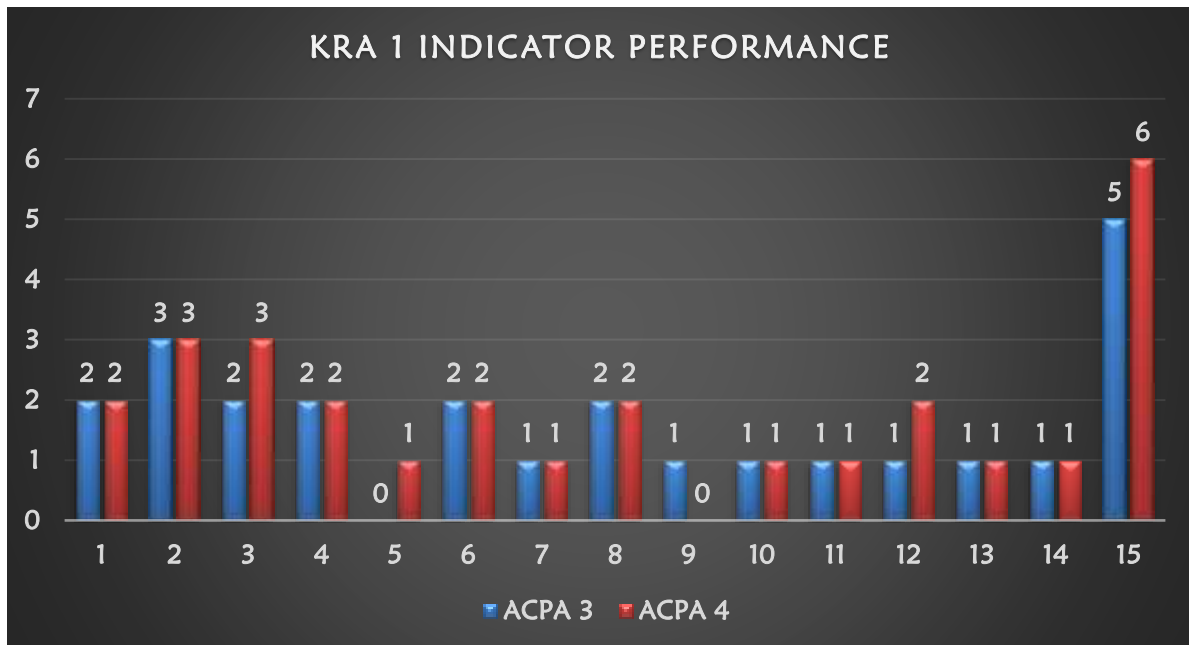
COUNTY GOVERNMENT OF NYANDARUA				
	SUB ITEMS	FY2017/2018	FY 2018/2019	Variance
KRA 1	1.1	2	2	0
	1.2	3	3	0
	1.3	2	3	1
	1.4	2	2	0
	1.5	0	1	1
	1.6	2	2	0
	1.7	1	1	0
	1.8	2	2	0
	1.9	1	0	-1
	1.1	1	1	0
	1.11	1	1	0
	1.12	1	2	1
	1.13	1	1	0
	1.14	1	1	0
	1.15	5	6	1
	<b>Sub total</b>	<b>25</b>	<b>28</b>	<b>3</b>
KRA 2	2.1	3	3	0
	2.2	1	1	0
	2.3	3	3	0
	2.4	4	4	0
	2.5	2	2	0
	2.6	5	5	0
	2.7	1	1	0
	2.8	1	1	0
	<b>Sub total</b>	<b>20</b>	<b>20</b>	<b>0</b>



COUNTY GOVERNMENT OF NYANDARUA				
	SUB ITEMS	FY2017/2018	FY 2018/2019	Variance
KRA 3	3.1	2	3	1
	3.2	4	4	0
	3.3	5	3	-2
	<b>Sub total</b>	<b>11</b>	<b>10</b>	<b>-1</b>
KRA 4	4.1	3	3	0
	4.2	0	2	2
	4.3	2	2	0
	4.4	3	3	0
	4.5	1	1	0
	4.6	4	5	1
	4.7	2	2	0
	<b>Sub total</b>	<b>15</b>	<b>18</b>	<b>2</b>
KRA 5	5.1	6	4	-2
	5.2	5	3	-2
	5.3	0	4	4
	5.4	3	4	1
	5.5	2	4	2
	<b>Sub total</b>	<b>16</b>	<b>19</b>	<b>2</b>
<b>TOTAL</b>		<b>87</b>	<b>95</b>	<b>8</b>

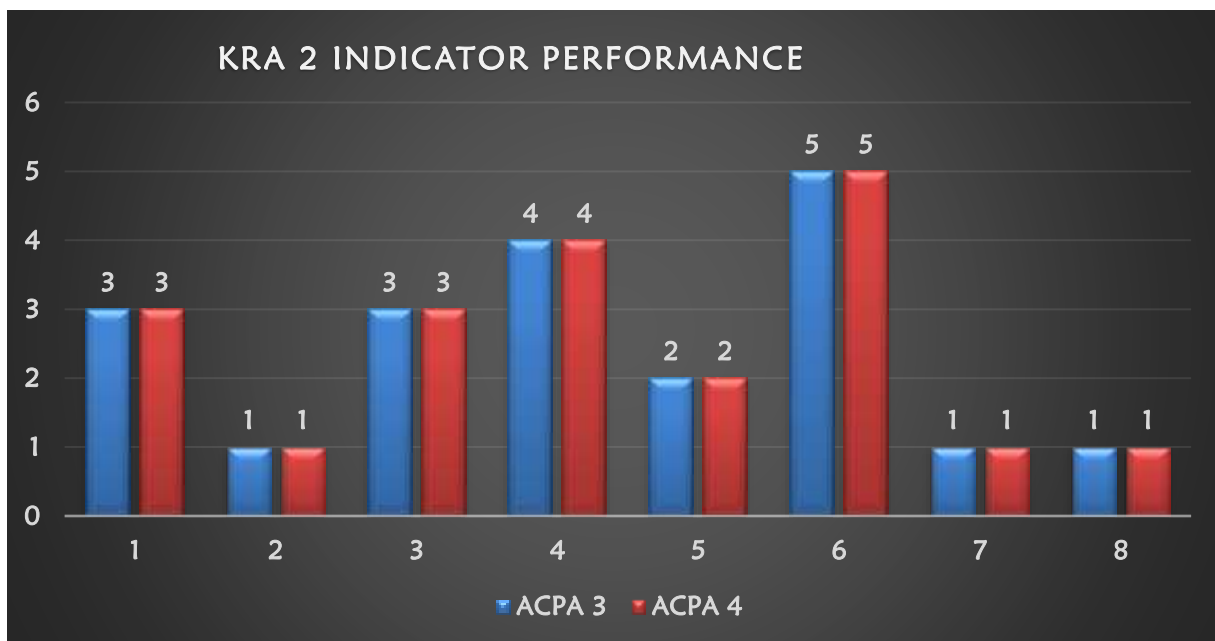
### KEY RESULT AREA 1 FINANCIAL MANAGEMENT

Nyandarua County Government increased from 25 previous years to 28 which translates to a 12% increase in overall scoring in the Financial Managements illustrated by the graph on the graph. Although KRA 1.9 decreased by a mark, the significant upward trend was realized in 1.3, 1.5, 1.12 and 1.15 all of which increased by 1 mark leading to a score of 28 from 25 in the previous Financial year.



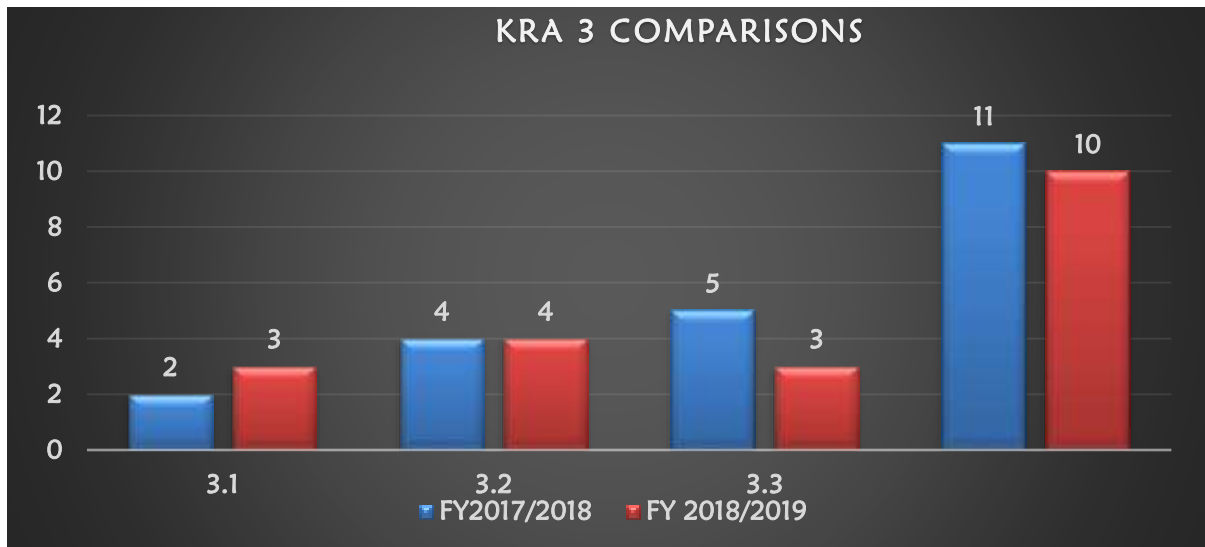
### KEY RESULT AREA 2 PLANNING, MONITORING AND EVALUATION

The County Planning, Monitoring and Evaluation function scored maximum marks in both 2017/2018 and 2018/2019 assessments. The assessment team was furnished with all the appropriate evidence to support the parameters of this KRA.



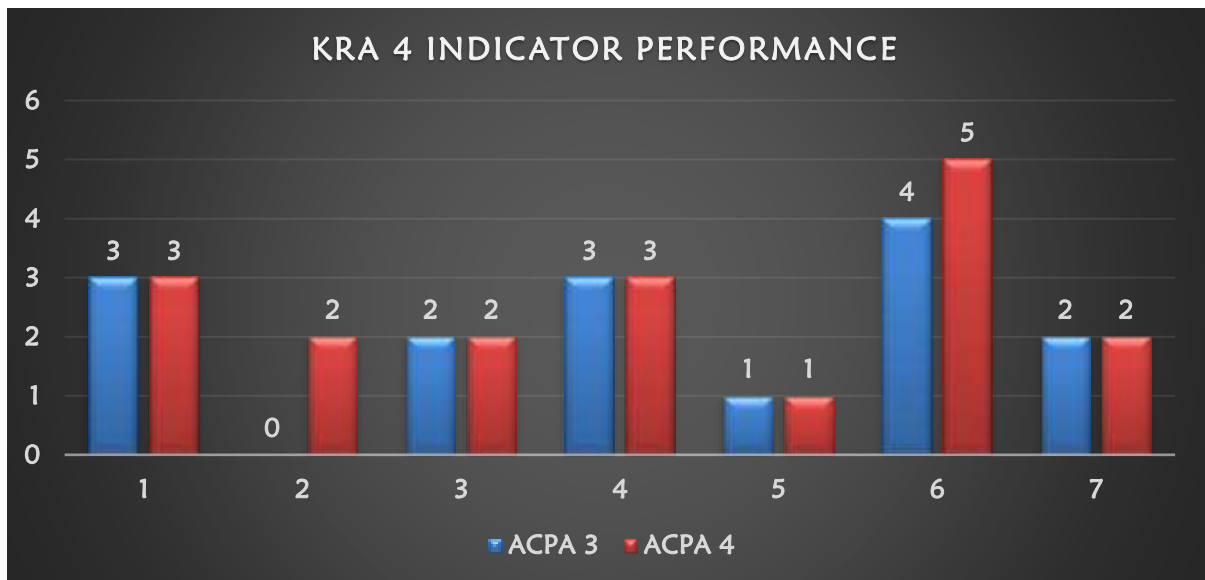
### KEY RESULT AREA 3 HUMAN RESOURCE MANAGEMENT

Although the total marks of this KRA remain unchanged, sub section 3.1 increased by 1 mark while 3.3 decreased by 2 marks. 3.2 sub section retained its original score from the previous assessment.



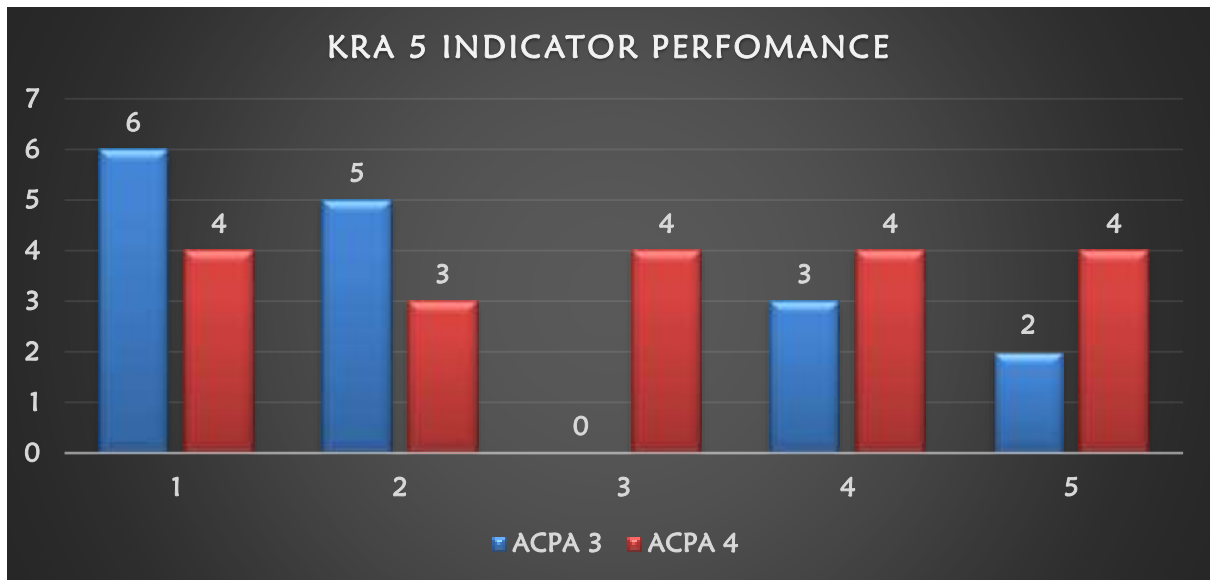
### KEY RESULT AREA 4 CIVIC EDUCATIONS AND PARTICIPATION

In Civic education and public participation, the county improvement forms a score of 15 to 18 resulting in a positive variance of 2 points. The increase identified was realized in 4.2 and 4.6 whereas 4.4 saw a downward trend.

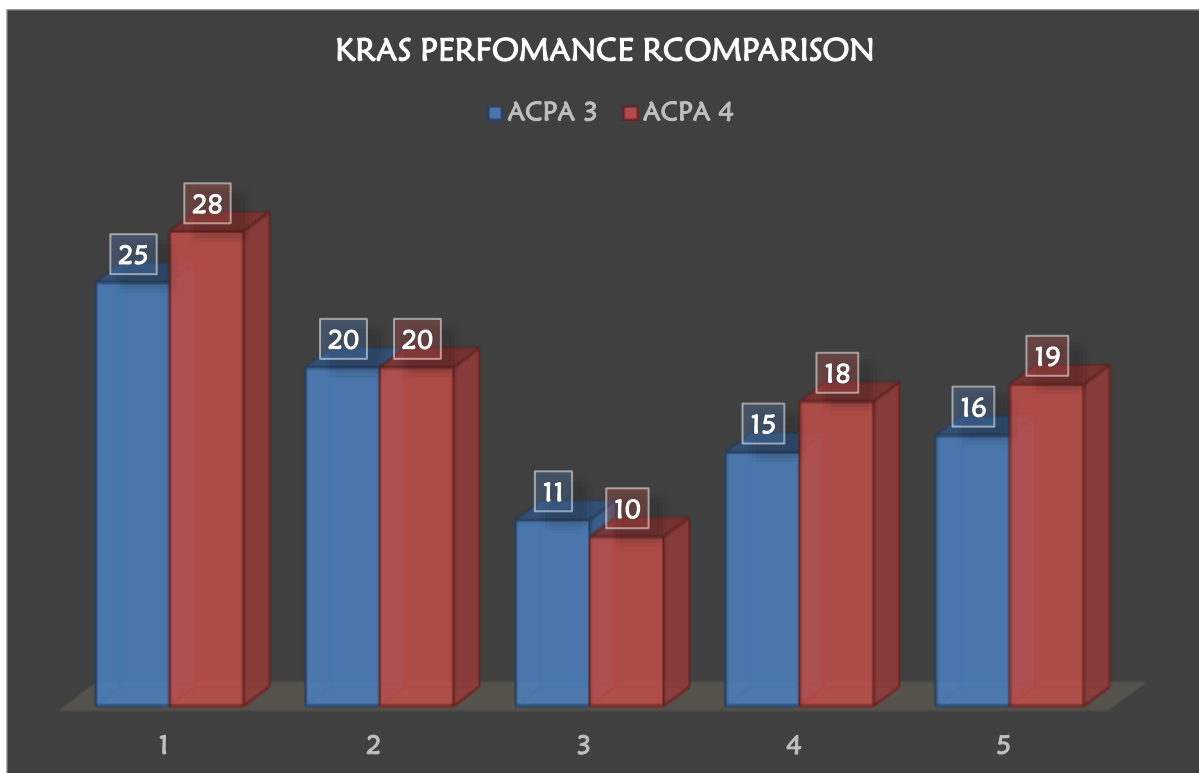


### KEY RESULT AREA 5: INVESTMENT IMPLEMENTATION & SOCIAL AND ENVIRONMENTAL PERFORMANCE

The assessment team observed a significant ascending of points scored in this KRA especially in 5.3 where the county teams were able to provide evidence of a maintenance budget for county projects. 5.4 and 5.5 also increased their scoring while 5.1 and 5.2 had a negative effect as illustrated in the graphical representation below.



From the figure below the analysis between the two years show that the CGN has generally improved from a mark of 87 in 2017/18 to 93 in 2018/19 respectively. The county performed well in KRA 2- Planning M&E with a score of 100% consecutively. KRA 4-Civic Education and public participation moved from a score of 15 to 18 in the two years respectively posting the highest improvement score. KRA 5- Investment implementation & social and environmental performance and Public Finance management posted an improvement of 3 from 16 to 19. KRA 3 reduced from 11 to 10.





## 9.0 RECOMMENDATIONS

The following is a summary of findings on capacity building requirements of the county based on the assessment (overall indicative areas):

- Capacity building to the county officers to internalize systems and tools
- The RRI is a critical tool for quick wins more capacity building is required in the structures of undertaking and reporting
- Mid-year and annual Evaluation of performance appraisals is critical to measure staff performance, incentives and establishing the gaps



## 10.0 NYANDARUA COUNTY LIST OF PARTICIPANTS

NAME	DESIGNATION
1. H.E Francis Kimemia	Governor, CGN
2. Hiram Kahiro	County Secretary
3. Hon. Murani Ngugi	CEC, Youth, Sports, and Theatre
4. Hon. Dr. James Karitu	EC, Agriculture, livestock and fisheries
5. Hon. Dr. Mungai J.N	CEC, Health
6. Eng. Lawrence Mukundi	CEC, LHPP & urban development
7. John Njoroge	Chief Officer Finance
8. Willy Gichora	Coordinator, KDSP
9. Mary Njogo	Focal person
10. Dr. Daniel Gikaara	Chief Officer, ALF
11. Dr. Muraya Joram	Chief officer, Health
12. Jesse Masai	Director, civic education
13. Joseph Wahome	Chief officer, Youth, sports and arts
14. Eng. Mwanzia Kyambia	C.O, water, env. tourism & natural res.
15. Veronica Kahura	C.O, Trade & industrialization
16. Samson Njiri	C.O, Education, gender & social services
17. Annah Muriithi	Department of social services
18. Nahashon Thita	C.O P.A & ICT
19. Nyambura Macharia	Accounting officer-office of C.attorney
20. David Wanjuhi	Internal Auditor
21. Samuel Kamau	C.O LHPPRND
22. Muigai Wainaina	Ag. C.O Economic Planning
23. Anne Theuri	Chief accountant
24. Anne Gathura	Asst. Director. HRM
25. Muthoni Ngotho	Deputy director, Environment
26. Beatrice Migwi	Deputy director, SCMS
27. Joseph Mburu	Economist
28. Bernard Kinyua	Director, ICT





## 11.0 APPENDICES

### 11.1 MINUTES OF ENTRY MEETING FOR NYANDARUA COUNTY ANNUAL CAPACITY & PERFORMANCE ASSESSMENT (4) HELD ON 20<sup>TH</sup> SEPTEMBER 2019 AT THE GOVERNOR'S BOARDROOM AT 10.29 A.M.

#### COUNTY TEAM

NAME	DESIGNATION
1. Hiram Kahiro	County Secretary
2. Hon. Murani Ngugi	CEC, Youth, Sports, and Theatre
3. Hon. Dr. James Karitu	CEC, Agriculture, livestock and fisheries
4. Hon. Dr. Mungai J.N	CEC, Health
5. Eng. Lawrence Mukundi	CEC, LHPP & urban development
6. John Njoroge	Chief Officer Finance
7. Willy Gichora	Coordinator, KDSP
8. Mary Njogo	Focal person
9. Dr. Daniel Gikaara	Chief Officer, ALF
10. Dr. Muraya Joram	Chief officer, Health
11. Jesse Masai	Director, civic education
12. Joseph Wahome	Chief officer, Youth, sports and arts
13. Eng. Mwanzia Kyambia	C.O, water, env. tourism & natural res.
14. Veronica Kahura	C.O, Trade & industrialization
15. Samson Njiri	C.O, Education, gender & social services
16. Annah Muriithi	Department of social services
17. Nahashon Thita	C.O P.A & ICT
18. Nyambura Macharia	Accounting officer-office of C.attorney
19. David Wanjuhi	Internal Auditor
20. Samuel Kamau	C.O LHPPRND
21. Muigai Wainaina	Ag. C.O Economic Planning
22. Anne Theuri	Chief accountant
23. Anne Gathura	Asst. Director. HRM
24. Muthoni Ngotho	Deputy director, Environment
25. Beatrice Migwi	Deputy director, SCMS

#### PRESTIGE MANAGEMENT TEAM

1. Linet Mavu	Team leader
2. Salome Ooko	Assessor
3. Vincet Musau	Assessor

#### AGENDA

1. Preliminary
2. Introduction
3. Remarks by County Assembly
4. Overview of level 1 and level 2 funds by KDSP coordinator Nyandarua county
5. Remarks by the team leader, Prestige Management Solution
6. Adjournment



#### **MIN 1/20/2019: PRELIMINARY Y**

The meeting was called to order by the chair, Hinam Kahiro, County Secretary. He then invited Mr. Jesse Masai to open the meeting with a word of prayer

#### **MIN 2/20/2019: INTRODUCTION**

The team from Nyandarua County introduced themselves as well as the team from Prestige Management Solution Limited. The team leader from Prestige Management Solutions Ms. Linet Mavu then briefly introduced the subject of the meeting.

#### **MIN 3/20/2019: REMARKS BY COUNTY SECRETARY**

The county secretary welcomed the assessors to the county and assured them of cooperation from all staff. He further said that the county is highly interested in the assessment has the funds received so far has been a big boost to the county. The funds have been used in capacity building, where training and purchase of equipment.

#### **MIN 4/20/2019: OVERVIEW OF LEVEL 1 AND LEVEL 2 FUNDS BY KDSP COORDINATOR NYANDARUA COUNTY**

Mr. Wilson Gichora gave a brief review of how the county has utilized and budgeted for funds received by the county to date. In FY 2016/2017, the county got 26M which they used to do training, equipment, and system acquisition. Over 700 staff were trained in Kenya's school of government. They also purchased laptops and file cabinets with the funds. A number of systems were put into place; Timet, which is used in procurement and Nyamtok which is used by the department of civic education to access and solve grievances from citizens

In level 2 the county received 282M and 254M Kenya shillings which have been directed to put up a potato processing plant in the county. The county has an investment committee made up of all CECs and the county secretary which handles the planning of the funds.

A German investment company, the global self has shown interest in the utilization of the funds. The investor plans to invest 22 billion USD in the potato processing plant in 10 years with 6 billion USD by 2020. An MOU between the county government and the global self has entered.

The county is in the process of having a meeting with World Bank to discuss how the funds can be directed to another project

#### **MIN5/20/2019: REMARKS BY TEAM LEADER, PRESTIGE MANAGEMENT SOLUTION**

Ms. Linet Mavu, team leader, prestige management solution limited thanked the county for the warm welcome and congratulated the county for performing extremely well in ACPA 3 and for their initiative to put up the potato processing plant in the county which will greatly see achieved of one of the big 4 agendas of food security. She further highlighted what was expected from the team during the assessment. She explained that the exercise was evidence-based and marks would only be awarded for concrete viable evidence. A schedule of three days for the collection of evidence was given and it was explained that no evidence would be accepted thereafter. The assessors and the county officials would be required to counter sign and stamp on each of the evidence collected and maintain copies for both teams. She further elaborated that only physical would



be taken and that electronic evidence would not be admitted.

**MIN6/20/2019: ADJOURNMENT**

There being no other business the meeting was closed at 11.56 a.m. with a word of prayer from Anne Theuri

Minutes confirmed by:

Chairman, County Government of Nyandarua

1. Name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature \_\_\_\_\_

Team Leader, Prestige management Solutions

2. Name: : \_\_\_\_\_ Date \_\_\_\_\_

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



## 11.2 EXIT MINUTES

### MINUTES OF EXIT MEETING FOR NYANDARUA COUNTY ANNUAL CAPACITY & PERFORMANCE ASSESSMENT (4) HELD ON 24<sup>TH</sup> SEPTEMBER 2019 AT THE GOVERNOR'S BOARDROOM FROM 5:03 PM

#### COUNTY TEAM

NAME	DESIGNATION
1. H.E Francis Kimemia	Governor, CGN
2. Hiram Kahiro	County Secretary
3. Hon. Murani Ngugi	CEC, Youth, Sports, and Theatre
4. Hon. Dr. James Karitu	CEC, Agriculture, livestock and fisheries
Dr. Mungai J.N	Hon. CEC, Health
5. Eng. Lawrence Mukundi	CEC, LHPP & urban development
6. John Njoroge	Chief Officer Finance
7. Willy Gichora	Coordinator
8. Mary Njogo	Focal person
9. Dr. Daniel Gikaara	Chief Officer, ALF
10. Dr. Muraya Joram	Chief officer, Health
11. Jesse Masai	Director, civic education
12. Joseph Wahome	Chief officer, Youth, sports and arts
13. Eng. Mwanzia Kyambia	C.O, water, env. tourism & natural res.
14. Veronica Kahura	C.O, Trade & industrialization
15. Samson Njiri	C.O, Education, gender & social services
16. Annah Muriithi	Department of social services
17. Nahashon Thita	C.O P.A & ICT
18. Nyambura Macharia	Accounting officer-office of C.attorney
19. David Wanjuhi	Internal Auditor
20. Samuel Kamau	C.O LHPPRND
21. Muigai Wainaina	Ag. C.O Economic Planning
22. Anne Theuri	Chief accountant
23. Anne Gathura	Asst. Director. HRM
24. Muthoni Ngotho	Deputy director, Environment
25. Beatrice Migwi	Deputy director, SCMS

#### PRESTIGE MANAGEMENT TEAM

1. Linet Mavu	Team leader
2. Salome Ooko	Assessor
3. Vincent Musau	Assessor

#### AGENDA

1. Preliminary
1. Introduction
2. Remarks by team leader prestige management solution
3. Remarks by H.E the Governor
4. Adjournment



#### **MIN 1/24/2019: PRELIMINARY Y**

The meeting was called to order by the chair, H.E the Governor, Francis Kimemia. He then invited Dr. Mungai to open the meeting with a word of prayer.

#### **MIN 2/24/2019: INTRODUCTION**

The County Secretary, Mr. Hiram called the CGN staff for a round of introduction. He then introduced the subject of the meeting and applauded his team for once again showing their cooperation during the three-day exercise of ACPA (4). He acknowledged that that same team spirit had enabled them to scoop the top position in the previous ACPA. The PMS team leader Ms. Linet Mavu then introduced the PMS team and briefly highlighted the subject of the exit meeting.

#### **MIN 3/24/2019: REMARKS BY TEAM LEADER, PRESTIGE MANAGEMENT SOLUTION**

The team leader began by thanking the management and officers who participated in the ACPA (4) exercise and appreciated them for their cooperation and team spirit in the execution of the ACPA tool. She went on to congratulate the county for attaining position two and one in ACPA 2 and ACPA 3 respectively. She noted that the county had shown a lot of seriousness in the exercise which was demonstrated in the teamwork witnessed among the departments on issues cutting across making the assessment very smooth. She commended the Procurement section and Finance department in general (KRA1.1) for being very orderly during the assessment hence using the shortest time in the exercise. She further applauded the team for the spirited effort to give the required evidence. She noted that they were very strategic in the KDSP having formed two committees to spearhead level 1& 2 functions as per the ACPA tool.

She pointed out the following areas that generally required some improvement:

- Equitable distribution of KRAs as some officers were overwhelmed with a lot to handle in the assessment
- All officers needed to be more conversant with the ACPA tool prior to the exercise as it was the key document for assessment
- Orderliness in the arrangement of the evidence: Some officers were bringing evidence in piecemeal hence consuming a lot of time
- Capacity building RRI in a format that captured all required features
- A social focal person should be employed so that social attributes be better addressed in the projects
- The civic education department should be enhanced to make it more effective and to fill the gaps in the function
- Feedback to and from the people should be better documented. For example, the C-APR should be taken back to the people for public participation annually. This will ease operations of the management as well as citizen participation.

She also informed the meeting that the assessment team had visited the Agriculture training center where they saw the tissue culture laboratory. She praised the county for the well-thought project which was aligned with the proposed major Potato processing (KDSP) project. She also applauded the walkway under construction along the Olkalau high way as an excellent initiative by the county.



**MIN4/24/2019: REMARKS BY H.E, THE GOVERNOR**

H.E, the governor thanked the assessment team for the professional work they did the three days they were in the county. He then thanked the staff for their cooperation during the exercise and pointed out that the county takes the funding from donors very seriously since they have enabled the county to pursue numerous projects. He pointed out the KDSP and the Kenya urban support program as funding that has brought great developmental impact to the County Government of Nyandarua.

He further stated that the comments made by the assessment team would be incorporated in the day to day operations of the county. He further pointed out that the county had a service delivery unit and an M & E unit which kept the county in check overseeing all projects in the county. He further explained that the county is a food basket as they are the highest producers of potatoes and the second highest producers of milk in Kenya hence the target was to bring in investors and start-up projects that would see the citizen benefit from the product and put the county in the world map.

**MIN5/24/2019: ADJOURNMENT**

There being no other business the meeting was closed at 5.40 p.m. with a word of prayer from Mr. Jesse Masai.

**Minutes confirmed by:**

**Chairman, County Government of Nyandarua**

3. Name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature \_\_\_\_\_

**Team Leader, Prestige management Solutions**

4. Name: : \_\_\_\_\_ Date \_\_\_\_\_

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



**— 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**