



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

NYERI COUNTY GOVERNMENT

ANNUAL CAPACITY & PERFORMANCE ASSESSMENT (ACPA) REPORT

Conducted on:
6th - 10th December 2018



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ACRONYMS

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



ACKNOWLEDGMENT

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We also wish to acknowledge the County Secretary of Nyeri County Mr. Ben Gachichiowho welcomed the assessors and gave his unwavering support to the PMS team.

Our most sincere gratitude to H.E MutahiKahigafor allowing us to undertake the assessment in the County Government of Nyeri and for ensuring that the activity received the seriousness it deserved.



EXECUTIVE SUMMARY

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

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

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

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

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

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

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

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



Annual Capacity & Performance Assessment Report (ACPA)

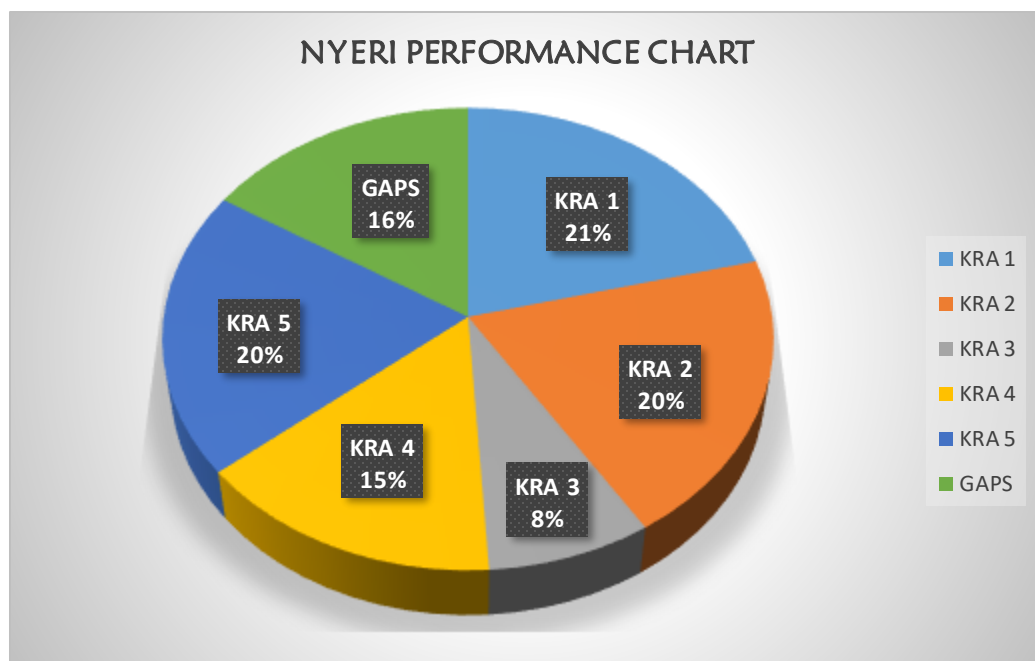
Planning and M&E, Human Resource Management, Devolution, and Inter-Governmental Relations and Public Participation.

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

The outcome of the assessment can be summarized as follows:-

ACPA Measures	Outcome
MAC	The CGN complied with all the MACs.
MPC	The CGN met 8 MPCs. MPC 5-Adherence to investment menu - was not applicable in this county. The audit opinion was Qualified

ACPA Measures	Outcome	Score
PM	KRA 1: Public Financial Management	21
	KRA 2: Planning, Monitoring and Evaluation	20
	KRA 3: Human Resources Management	8
	KRA 4: Civic Education and Participation	15
	KRA 5: Investment implementation & Social And environmental performance	20
	SCORE OVER 100	84





Achievements

The County Government of Nyeri performed very well in the MPCs. The county also performed considerably well in Public Financial Management by adhering to the financial management reporting standards as well as observing the requisite schedules and submitting the relevant financial reports to the regulatory authorities for oversight in time. The documents required for the assessment were availed as evidence of the same. The value of audit queries between FY 2015/16 and 2016/17 reduced considerably.

The county also excelled in planning, monitoring and evaluation with designated planning and M & E officer appointed and in place for the year under review (2017/18), a budget allocated to the M&E activities for the year and county annual reports in place. Most of the reports were submitted to the requisite authorities but not within the stipulated deadlines.

The Environmental and Social safeguards also indicated close collaboration with NEMA to ensure the projects adhered with the guidelines of the NEMA Checklist. They also provided ESMP evidence for the projects with the EIA reports.

The area of Human Resource equally performed well. The core staff was in place, job descriptions were used for recruitments and schemes of service adopted from PSCK were applied. The records for all recruitments, appointments, and promotions were well kept by the CPSB. The staffing plans were not in place for the FY 2017/18 and the targets were not met with a minimal deviation at the end of the year under review. The performance appraisal system was in place and operationalized but needed more effort to make it better. Evidence of signed appraisal documents was availed. Performance contracts between the Governor and CECMs in the FY 2017/18 were done and evidence of signed contracts availed to the assessment team.

The area of Investment implementation & Social environmental performance had a fair performance.

Weaknesses

Key areas of weakness were cutting across sectors. In Finance, Procurement reports were not submitted to PPRA on time as required in FY2017/18, the 1st and 3rd quarter were submitted late.

In the planning and M&E, it was noted in CAPR for 2016/17 there was not enough evidence to prove that the CAPR was used to inform the ADP for FY 2017/18.

The HR had a key weakness in the development of staffing plans which was not in place. There was no evidence that the C-ARPS reports informed the staffing plan.

The Civic education and public participation unit were weak on citizen feedback mechanism and record keeping which require enhancement.

Challenges

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



- Most documents from departments could not be accessed quickly which was an indication of poor records management system. This interfered with the agreed program timeliness.
- The self-assessment tool was not well-internalized environment sector staff prior to the assessment. This derailed the speed of the exercise as the officers were not conversant with the tool hence took time to trace the documents required for the ACPA.
- The maintenance budget was not singled out for every project in the budget. It was a lump sum. The officers argued that there was no provision for this in the approved budget because it catered for unforeseen maintenance requirements hence was utilized on a need basis

Areas of Improvement

- Record Management
- Organizational structure and scoping of departments
- Citizen complaints unit
- Human resource on skills and competency frameworks
- Need to build capacity in the environment.

2.0 Introduction

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

The Kenya Devolution Support Program (KDSP) was designed on the principles of devolution that recognizes the emerging need to build capacity and deepen incentives for national and county governments to enable them to invest in activities that achieve intended results in the NCBF KRAs. This program is not only expected to build institutional, systems and resource capacity of the county institutions to help them deliver more effective, efficient, and equitable devolved services but also to leverage on the equitable share of the resources they receive annually.

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

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



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

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

2.1 Key Results Areas

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

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

For each of these KRAs, the NCBF-MTI defines both national and county level results, as well as key outputs and activities. The Performance and capacity grants to counties are thus critical to devolution capacity building as they define key capacity results at the county level, regularly assess progress, and strengthen incentives for counties to achieve these results. In turn, counties that manage to strengthen these key PFM, human resource and performance management (HRM), planning and M&E, and citizen education and public participation capacities will be better equipped to manage county revenues and service delivery, achieve county development objectives, and access other sources of development financing

2.2 The Program Development Objective (PDO)

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

- i) Result based Disbursements- Disbursement of funds follow a set of national and county level results which are well defined and converted into measurable indicators;



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

2.3 The specific objectives.

The specific objectives of the assessment are to –

- a) Verify compliance of the counties with key provisions of the laws and national guidelines and manuals such as the Public Financial Management Act, 2012, the County Government Act and other legal documents;
- b) Verify whether the audit reports of the OAG of the counties follow the agreements under the KDSP, which is important for the use of findings in the ACPA;
- c) Measure the capacity of county governments to achieve performance criteria derived from the core areas of the NCBF;
- d) Use the system to support the determination of whether counties have sufficient safeguards in place to manage discretionary development funds and are therefore eligible to access various grants, such as the new CPG;



- e) Promote incentives and good practice in administration, resource management, and service delivery through show-casing the good examples and identifying areas which need improvements;
- f) Assist the counties to identify functional capacity gaps and needs;
- g) Provide counties with a management tool to be used in reviewing their performance, and to benchmark from other counties, as well as focusing on performance enhancements in general;
- h) Enhance downwards, horizontal and upward accountability, encourage and facilitate closer coordination and integration of development activities at the county level;
- i) Contribute to the general monitoring and evaluation (M&E) system for counties and sharing of information about counties' operations.

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

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

The Annual Capacity and Performance Assessment (ACPA)

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

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

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

Although significant capacity building resources have been mobilized by government and external partners, it has proven quite difficult to measure the effectiveness of the inputs provided, as well as to make sure that capacity building resources are channeled to where they are most needed. Arising from these challenges, the KDSP



introduced Annual Capacity and Performance Assessment (ACPA) methodology which combines self-assessment of the counties with an external assessment conducted by an independent firm.

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

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

Annual Capacity and Performance Assessment Process

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

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

3.0 Methodology & assessment team

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

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

3.1 Literature Review

The consultants reviewed several documents to appreciate the context under which the project was conceived and the level of achievement to date. The literature review



provided adequate background for the consultants, as to the genesis of the Kenya Devolution Support Programme.

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

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

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

3.2 Mobilization

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

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

3.3 Sensitization Workshop

Following the submission of the Inception reporting, the consultants were inducted on the contents of the ACPA data collection tools. The workshop was conducted at the Ministry of Devolution offices at the Bazaar Towers. The officials from the Ministry involved in the training were familiar with the tool having conducted similar inductions for Counties' staff. The sensitization workshop took two days and covered the background of the assignment and the detailed assumptions underlying the tool.

The project Coordinator mobilized all the team leaders/assessors consultants involved in the assignment. The team leaders took the assessors through the necessary



documents including the capacity assessment tool. The assessors were also facilitated to access relevant documents to help them prepare for the assignment. As part of the preparation for the assignment, the assessors were exposed to County Governance and reporting requirements.

a) Entrance Meeting

The PMS and County of Nyeri staff held the entrance meeting on Thursday, 6th Dec 2018 at the Governor's boardroom at 8:50am-9:50pm that was chaired by the County Secretary Mr. Gachichio. In attendance was an officer from MODA, Mr. Nelson Rob. The focal point person for KDSP, Mr. Francis Kirira called upon the staff to cooperate during the exercise. The details of the entrance meeting are highlighted in annex 1.

b) Data Administration

Data collection commenced on Thursday, 6th Dec 2018 at 10 am. The consultants administered the assessment tool within three (3) working days with a weekend break in between. The consultant engaged with key CGN staffs and KRA focal persons from various sectors who were knowledgeable in areas that related to the ACPA.

The consultants collected data through the administration of the KDSP tool, observation, desktop review of secondary data as well as an interview method to get information from the officers. They also logged into the website to check uploaded documents. They reviewed the Existing County Integrated Development Plan – CIDP, Annual Development Plans (ADP), Budget, Financial Reports, EIA reports, key project documents, policy documents, strategies, and departmental reports to check whether they complied with underlying laws, regulations ACPA participation and assessment guidelines. They also logged into the website to confirm whether the documents were uploaded. The consultants also visited two project sites: Markets (The Nyeri open-air market and Mudavadi Market) and Nyakinywa ECDE.

Exit Meeting-Debriefing

The exit meeting was held on 10th Dec 2018 at the Governors Boardroom at 4:13pm-5:00 pm and was chaired by the Governor H.E Mutahi Kahiga. The details of the meeting have been highlighted on the debrief as shown in the annex 2.



Time plan

Activity	6/12/2018	7/12/2018	10/12/ 2018	10/12/ 2018
Entry meeting				
Assessing the Minimum Access Conditions				
Assessing minimum Performance Measures				
Assessing Performance Measures				
Exit Meeting				
Preparing Report				



4.0 SUMMARY OF RESULTS

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

4.1 Minimum Access Conditions (MAC)

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

Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments from WB/KDSP	Assessment Met/ Not Met	Detailed Assessment Finding
1. County signed a participation agreement	To ensure that there are ownership and interest from the county to be involved in the Program, and to allow access to information for the AC&PA teams.	Signed confirmation letter/expression of interest in being involved in the Program MoV: Review the confirmation letter against the format provided by MoDP/in the Program Operational Manual (POM).	All counties have already signed participation agreements; no need to verify compliance.	MET	Complied
2. CB plan developed	Is needed to guide the use of funds and coordination. Shows the capacity of the county to be in driver's seat on CB.	CB plan developed for FY 2017-18 according to the format provided in the Program Operational Manual/Grant Manual (annex). MoV: Review the CB plan, based on the self- assessment of the KDSP indicators: MACs, MPC and PMs, and compared with the format in the POM /Grant Manual (annex).	To be verified <u>independently</u> and <u>NOT</u> as part of ACPA 3. That said, ACPA team should request for copies of implementation reports of the capacity building grants	MET	The reports for implementation of the CB plan for 2017/18 were availed in hard copy and copies collected. AVAILED
3. Compliance with the investment menu of the grant	Important to ensure the quality of the CB support and targeting of the activities.	Compliance with investment menu (eligible expenditure) of the Capacity Building Grant released to counties in FY 2016-17 & 2017-18 documented in progress reports.		MET	IMPLEMENTATION REPORTS WERE AVAILED 20 ACTIVITIES WAS AVAILED REF.DOC CGN/019/MAC4



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Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments from WB/KDSP	Assessment Met/ Not Met	Detailed Assessment Finding
		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.	<p>Minimum level (70% of FY 16/17 plan, 75% of FY 17/18 plan, and 80% of subsequent plans) of implementation of planned CB activities by end of FY.</p> <p>MoV: Review financial statements and use of CB + narrative of activities (quarterly reports and per the Grant Manual).</p>		MET	<p>COPIES OF IMPLEMENTATION REPORTS WERE AVAILABLE 20 ACTIVITIES OUT OF 34 WERE IMPLEMENTED =54%</p> <p>REF.DOC CGN/019/MAC4</p>



4.2 Minimum Performance Conditions

The summary of results for MPC is as shown in table 4.2 below

Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met/ not met	Detailed assessment findings
Minimum Access Conditions complied with					
1. Compliance with minimum access conditions	To ensure minimum capacity and linkage between CB and investments.	Compliance with MACs. MoV: Review of the conditions mentioned above and the MoV of these.	At the point of time for the ACPA	MET	The county complied with the MAC
Financial Management					
2. Financial statements submitted	To reduce fiduciary risks	Financial Statements (for FY 2016-17) with a letter on documentation submitted to the Kenya National Audit Office by 30th September 2017 and National Treasury with required signatures (Internal auditor, heads of accounting unit etc.) as per the PFM Act Art.116 and Art. 164 (4). This can be either individual submissions from each department or consolidated statement for the whole county. If individual statements are submitted for each department, the county must also submit consolidated statements by 31 st October 2017. The FS has to be in an auditable format. MoV: Annual financial statements (FSs), submission letters to Office of the Auditor General (OAG) + records in OAG.	3 months after the closure of the FY (30 th of September 2017). Complied with if the county is submitting individual department statements: 3 months after the end of FY for department statements and 4 months after the end of FY for the consolidated statement. If the council is only submitting a consolidated statement: Deadline is 3 months after the end of FY.	MET	Financial Statements (for FY 2016-17) FOR EXECUTIVE with letter received on 29th Sep 2017 by AOG Office of the Auditor General (for FY 2016-17) FOR ASSEMBLY with letter received on 15th Sep 2017 by AOG REF.DOC CGN/019/MAC2



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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
3. Audit opinion does not carry an adverse opinion or a disclaimer on any substantive issue	To reduce fiduciary risks	The opinion in the audit report of the financial statements for county executive for FY 2016-17 cannot be adverse or carry a disclaimer on any substantive issue. MoV: Audit reports from the Office of the Auditor General.	Audit reports <u>cannot</u> be with a disclaimer or adverse opinion (increased demands) – <u>no exceptions</u> As per program requirements, the assessment will rely on the audit opinion as at the time they are tabled by OAG to parliament.	MET	QUALIFIED OPINION REF.DOC CGN/019/MPC 3 FINANCE
Planning					
4. Annual planning documents in place	To demonstrate a minimum level of capacity to plan and manage funds	CIDP, Annual Development Plan (for FY 2017-18) and budget (for FY 2017-18) approved and published (on-line). (Note: The approved versions have to be the version published on county website) (PFM Act, Art 126 (4). MoV: CIDP, ADP, and budget approval documentation, minutes from council meetings and review of county website.		MET	CIDP was approved on 27 TH June 2014, ADP was approved on 1 ST March 2017, and the budget was approved on 30 TH March 2017 They were published on the county website http://www.nyeri.go.ke/reports/ REF.DOC CGN/019/MPC4 PLANNING
Use of funds in accordance with Investment menu					
5. Adherence with the investment menu	To ensure compliance with the	Project proposals for use of FY 2017-18 Level 2 grants ¹) are fully	<u>Please have the list of 13 counties that</u>	N/A	N/A

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



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Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met/ not met	Detailed assessment findings
<p>ONLY APPLIES TO 13 COUNTIES WHICH RECEIVED LEVEL 2 GRANTS FOR FY 2017-18 Busia, Nyandarua, Kiambu, Baringo, Makueni, Kisii, Laikipia, Siaya, Narok, Kirinyaga, Kajiado, Garissa and Mandera</p>	<p>environmental and social safeguards and ensure efficiency in spending.</p>	<p>consistent with the investment menu (eligible expenditures and non-eligible expenditures) as defined in the PG Grant Manual. <u>MoV:</u> Project proposal for current ACPA (i.e. Nov 2018). For the next ACPA. Review financial statements against the grant guidelines. Check up on use of funds from the C&PG through the source of funding in the chart of accounts (if possible through the general reporting system with Source of Funding codes) or special manual system of reporting as defined in the Capacity and Performance Grant Manual) Review budget progress reports submitted to CoB.</p>	<p>qualified for level -2 grant N.B. The first level 2 grants were granted in FY17/18 even though released in early FY18/19</p>		
Procurement					
<p>6. Consolidated Procurement plans in place.</p>	<p>To ensure procurement planning is properly coordinated from the central procurement unit instead of at departmental, and to ensure sufficient capacity to handle discretionary funds.</p>	<p>Updated consolidated procurement plan for executive and for assembly (or combined plan for both) for FY 2017-18. <u>MoV:</u> Review procurement plan of each procurement entity and county consolidated procurement plan and check up against the budget whether it encompasses the needed projects and adherence with procurement procedures.</p>	<p>The situation <u>during</u> FY 2017-18 to be assessed. ACPA to identify last budget revision for FY 2017-18 and then assess whether the consolidated procurement plan existed <u>and</u> was updated. (Emphasis should be on the Executive</p>	<p>MET</p>	<p>The county has a consolidated procurement plan for both executive and assembly in place The following Sample projects were taken from the procurement plans and checked against the budget include; 1)CONSTRUCTION OF BUILDING 2)SPECIALIZED MATERIALS</p>



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		<p>The procurement plan(s) will have to be updated if/and when there are budget revisions, which require changes in the procurement process.</p> <p>Note that there is a need to check both the consolidated procurement plan for 1) the assembly and 2) the executive, and whether it is revised when budget revisions are made.</p>	procurement plan 17/18)		<p>AND SUPPLIES</p> <p>3)PURCHASE OF EDUCATIONAL AID AND RELATED</p> <p>4)CONSTRUCTION AND RENOVATIONS OF YP CENTRES</p> <p>5)MARKETS MAINTENANCE, REPAIRS, REFURBISHMENT</p> <p>6)SPECIALIZED, PLANT, MACHINERY, MATERIALS</p> <p>7)BRIDGES(VEHICULAR AND PEDESTRIAN)</p> <p>8)EDF AND OTHER CAPITAL GRAND NYERI COUNTY</p> <p>9)PURCHASE OF ICT NETWORKING AND COMMUNICATIONS EQUIPMENT</p> <p>10)REFURBISHMENT OF NON-RESIDENTIAL BUILDINGS</p> <p>REF.DOC CGN/019/MPC 8 PROCUREMENT</p>
Core Staffing in Place					
7. County Core staff in place	To ensure minimum	Core staff in place (see also	At the point of time	MET	The core staff for the



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	capacity in staffing	<p>County Government Act Art. 44). The following staff positions should be in place:</p> <ul style="list-style-type: none"> • Procurement officer • Accountant • Focal Environmental and Social Officers designated to oversee environmental and social safeguards for all sub projects • M&E officer <p><u>MoV</u>: Staff organogram, schemes of service to review the qualifications against requirements (hence the staff needs to be substantive compared to the schemes of service), sample check salary payments, job descriptions, interview, and sample checks. Staff acting in positions may also fulfill the conditions if they comply with the qualifications required in the schemes of service.</p>	for the ACPA.		<p>following positions was in place:</p> <p>-Procurement officer appointed on 30th April 2015 IPPD sheet availed, Kenya Institute of Supplies Management, Degree Bachelor of Arts, PATRICK MWITI REF.DOC CGN/019/MPC 7 CORE STAFFING,</p> <p>-An accountant appointed on 11th Dec 2017 CPA K, MBA, IPPD sheet availed, JOHN NGUGI REF.DOC CGN/019/MPC 7 CORE STAFFING,</p> <p>-Focal Environmental and Social Officers appointed 3rd April 2018, IPPD Sheet Availed, BSc. Civil Engineering, ESTHER NYAMBURA REF.DOC CGN/019/MPC 7 CORE STAFFING,</p> <p>-M&E officer appointed on 3rd April 2018, IPPD sheet</p>



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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>availed, Degree Bachelor Of Arts, GIBSON THEURI</p> <p>REF.DOC CGN/019/MPC 7 CORE STAFFING</p> <p>-Appointment letters for the focal persons were availed Staff organogram AVAILABLE,</p>
Environmental and social Safeguards					
<p>8 Functional and Operational Environmental and Social Safeguards Systems (i.e. screening/vetting, clearance/ approval, enforcement & compliance monitoring, documentation & reporting) in place.</p>	<p>To ensure that there is a mechanism and capacity to screen environmental and social risks of the planning process prior to implementation, and to monitor safeguard during implementation.</p> <p>To avoid significant adverse environmental and social impacts</p> <p>To promote environmental and social benefits and ensure sustainability</p> <p>To provide an opportunity for public participation and consultation in the</p>	<ol style="list-style-type: none"> Counties endorse, ratify and comply with an environmental and social management system to guide investments (from the ACPA starting September 2016). MOV: NEMA Certification of subprojects. Relevant county project documents. Appointed environmental and social focal points are actively involved in screening, overseeing comprehensive and participatory ESMPs for all KDSP investments. MOV: (ACPA 3) relevant county project documents. All proposed investments are screened* against a <u>set of environmental and social criteria/checklist</u>, safeguards instruments prepared. (Sample 	<p>Note that the first installment of the expanded CPG investment menu covering sectoral investments starts from July 2017 (FY 2017/18). Hence some of the conditions will be reviewed in the ACPA prior to this release to ascertain that capacity is in place at the county level, and other MPCs will review performance in the year after the start on the utilization of the expanded grant menu (i.e. in the 3rd AC&PA, see the</p>	MET	<p>The county complied with the NEMA guidelines a sample of 9 project shows applications to NEMA for certification ;</p> <p>(1)Proposed Borehole For Gatagwa Water Project Kianjero Water Point NEMA/NYR/PR/5/2/2297</p> <p>(2) Construct Water Works For The County Government Of Nyeri Mahinga Cattle Dip NEMA/NYR/PR/5/2/2217</p> <p>(3)Supply And Delivery Of Pipes And Fittings For Mathira East Sub-County CGN/WE&NR/24/17-18</p> <p>(4) Supply And Delivery Of Pipes And Fittings For Othaya Sub-County</p>



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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>safeguards process (free, prior and informed consultations – FPIC)</p>	<p>5-10 projects). (From the second AC&PA, Sept. 2016).</p> <p>4. ESIA or detailed ESMPs are developed for all investments drawing on inclusive public consultations on E&S impacts of specific investments. All proposed investments are located on properly registered public land, and where necessary, proper land acquisition and compensation procedures are followed and Abbreviated Resettlement Action Plans (ARAPs) are developed and implemented for all involuntary resettlement or livelihood impacts.</p> <p>MOV:</p> <ul style="list-style-type: none"> • Required safeguard instruments prepared and approved by the relevant authorities. • Proper land acquisition procedures were followed² <p>5. Operational/functioning County Environment Committee (either set up as per EMCA or technical</p>	<p>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>CGN/WE&NR/28/17-18</p> <p>(5) Proposed Borehole Drilling At Mahiga Area Labura Location Kieni West District NEMA/NYR/PR/J/2/2217</p> <p>(6) Proposed Muhoya/Kimathi Irrigation Scheme Project CGN/WE&NR/10/17-18</p> <p>(7) Supply And Delivery Of Pipes And Fittings For Mathira West Sub-County NEMA/PR/CEP/202/146</p> <p>(8) Proposed Kihuyo Irrigation Project Located In Kihuyo Location NEMA/PR/CEP/207/670</p> <p>(9) Proposed Borehole For Gataragwa Water Project NEMA/NYR/PR/5/2/2297</p> <p>REF.DOC CGN/019/MPC 8 ENVIRONMENT</p> <p>The environmental and social focal points are appointed and actively involved; Appointment</p>

²If it is World Bank-funded, this means compliance with OP4.12. If it is using national systems, this means national law, including the Community Land Act.



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		<p>committee established by the County Government).</p> <p><u>MoV</u>: Evidence of gazettelement or appointment of members and meeting minutes.</p>			<p>letter was presented dated 3rd April 2018, IPPD Sheet Aailed, BSc. Civil Engineering holder, ESTHER NYAMBURA REF.DOC CGN/019/MPC 7 CORE STAFFING</p> <p>The county presented an EIA checklist for 5 screened projects, (1) Proposed Borehole For Gatagwa Water Project Kianjero Water Point NEMA/NYR/PR/5/2/2297 (2) Construct Water Works For The County Government Of NyeriMahinga Cattle Dip NEMA/NYR/PR/5/2/2217 (3) Supply And Delivery Of Pipes And Fittings For Mathira East Sub-County CGN/WE&NR/24/17-18 (4) Supply And Delivery Of Pipes And Fittings For Othaya Sub-County CGN/WE&NR/28/17-18 (5) Proposed Borehole Drilling At Mahiga Area Labura Location Kieni West District NEMA/NYR/PR/J/2/2217 REF.DOC CGN/019/MPC 7</p>



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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>CORE STAFFING</p> <p>ESIAs or detailed ESMPs are developed for investment projects; environment and social impact report for the above projects.</p> <p>The county has functioning county Environment Committee gazetted on 24th August 2018 Gazette notice No.8540;</p> <p>REF.DOC CGN/019/MPC 7</p> <p>CORE STAFFING</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"> Formally approved and operational grievance handling mechanisms to handle complaints pertaining to the administrative fiduciary, environmental and social systems (e.g. complaints/grievance committee, county Ombudsman, county focal points etc). <p><u>MoV</u>: Proof of formal establishment and operations of complaints handling system (more than half of the below):</p> <ul style="list-style-type: none"> formal designation of responsible persons and their 	At the point of time for the ACPA.	MET	<p>Citizen Complaints Handling System in place</p> <p>Website http://www.nyeri.go.ke/</p> <p>Operational Complaints Handling System grievance committee available appointed on 27th February 2018 for both County and Sub-County members</p> <p>REF.DOC CGN/019/MPC9 CITIZEN COMPLAINTS</p> <p>Formal designation of responsible persons available appointment letter dated 27th Feb 2018 IPPD Sheet Aailed, holder of Bachelor of Arts In Cultural Studies, PAULINE NDENGWA</p>



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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>functions in complaints handling ()</p> <ul style="list-style-type: none"> • standards, guidelines or service charters that regulate how complaints are handled • register(s) of complaints and actions taken on them • Minutes of meetings in which complaints handling is discussed within the internal framework for handling complaints. • Reports/communication to management on complaints handled • Evidence of a feedback mechanism to the complainant on the progress of complaint. <p><i>See also County Government Act Art. 15 and 88 (1)</i></p>			<p>REF.DOC CGN/019/MPC9 CITIZEN COMPLAINTS A standards guideline that regulates how complaints are handled was availed Minutes of meetings availed Reports/communication to management on complaints handled AVAILED Evidence of a feedback mechanism to the complainant on the progress of complaint. AVAILED REF.DOC CGN/019/MPC9 CITIZEN COMPLAINTS</p>



4.3 Performance Conditions

The summary of results for Performance Conditions is as shown in table 4.3 below

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
A. KRA 1: Public Financial Management; Maximum 30 points available							
(a). Strengthened budget formulation, resource mobilization, and allocation							
1.1	Program Based Budget prepared using IFMIS and SCOA	Budget format and quality	The annual budget approved by the County Assembly is:	Review county budget document, IFMIS up-loads,	Maximum 2 points. 2 milestones (a & b) met: 2 points If 1 of the milestones met: 1 point	2	The county provided an Approved 2017/18 budget by the assembly which was passed on 30 th March 2017 and it was program based REF.DOC CGN/019/KRA1/1.1(A)
			a) Program Based Budget format.	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).			
			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.			The Budget FY 2017/18 was developed using the IFMIS Hyperion module REF.DOC CGN/019/KRA1/1.1(B)
1.2		The budget process follows a clear budget calendar	Clear budget calendar with the following key milestones achieved: a) Prior to the end of August the CEC member for finance has issued a circular to the county government	PFM Act, art 128, 129, 131. Review file copy of circular as issued, and check that a sample of entities received it by end August.	Max. 3 points If all 5 milestones (a-e) achieved: 3 points If 3-4 items: 2 points If 2 items: 1 point If 1 or 0 items: 0	3	CEC member for finance has issued a circular to the county government entities with guidelines to be followed on 19 th August 2016 REF.DOC -CGN/019/KRA1/1.2(A)



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			entities with guidelines to be followed 31 st August 2016;		points.		
			b) County Budget review and outlook paper – submission by county treasury to CEC by 30 September 2016 to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15 th October 2016.	Review file copies; check that C-BROP was submitted to Executive committee by 30 September and to the County Assembly no later than 15 th October and published online by 30 th November.			County Budget review and outlook paper submission by county treasury to CEC on 29 TH SEP 2016 and TO COUNTY ASSEMBLY on 18 TH October 2016 REF.DOC CGN/019/KRA1/1.2(B)
			c) County fiscal strategy paper (FSP) – submission (by county treasury) of county strategy paper to county executive committee by 28 th Feb, County Treasury to submit to county assembly by 15 th of March and county assembly to discuss within two weeks after the mission.	Review file copies, check that FSP was submitted to the executive committee by 28 th Feb and to county assembly by 15 th of March. Check assembly records for evidence that county assembly discussed FSP within 2 weeks of submission.			County fiscal strategy paper (FSP) – submission (by county treasury) of county strategy paper to county executive committee on 13 TH January 2017 AND TO county assembly ON 30 TH January 2017 REF.DOC CGN/019/KRA1/1.2(C)
			d) CEC member for finance submits budget estimates to county assembly by 30 th April latest.	Check file copy for evidence of when estimates were submitted to assembly.			CEC member for finance submits budget estimates to county assembly on 21 st March 2017 REF.DOC CGN/019/KRA1/1.2(D)



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			<p>e) County assembly passes a budget with or without amendments by 30th June latest. 2017</p> <p>CHECKLIST <u>Circular from CEC finance, county budget review outlook paper (CBROP);</u> <u>County fiscal strategy paper; approved budget 2017/18 both legislature & executive;</u> <u>The process runs from Aug 2016-june 2017</u></p>	Review evidence that budget was passed by the assembly by 30 th June			County assembly passes a budget with or without amendments ON 30 TH MARCH 2017
1.3		The credibility of budget	a) Aggregate expenditure out-turn compared to original approved budget.	<p>N.B. For both measures, the original (not supplementary) budget is used</p> <p>a) divide total expenditure in FY 2017/18 (from financial statements) by total budget for FY 2017/18</p>	<p>Max. 4 points. (either -or +)</p> <p>a): If deviation is less than 10%, 2 points. If deviation is between 10 and 20%, 1 point. More than 20 %: 0 point.</p>	3	<p>Aggregate expenditure out-turn compared to original approved budget IS 7.5%</p> <p>TOTAL EXPENDITURE FY 2017/18=KSH6,319,172,394</p> <p>TOTAL BUDGET FY 2017/18=KSH6,832,716,316</p> <p>REF.DOC CGN/019/KRA1/1.3(A)</p>



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			<p>b) Expenditure composition for each sector matches the original approved budget allocations (average across sectors).</p> <p>checklist Quarterly Budget Progress Reports + refer to the PFM Act</p>	<p>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: http://www.pefa.org/sites/pefa.org/files/En-PI-1%20%26%20PI-2%20Exp%20calculation-Jan%202015.xls</p>	<p><u>Ad b):</u> 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.</p>		<ul style="list-style-type: none"> Executive office the actual budget being Ksh. 174,561768 and the actual expenditure was Ksh. 146,039925. The variance is 2%. Office of the County Secretary the actual budget being Ksh. 299,387,327 and the actual expenditure was Ksh. 299,377,327. The variance is 21%. Finance and Economic Planning the actual budget being Ksh. 1,146,767,501 and the actual expenditure was Ksh. 1,040,621,646. The variance is 10%. Lands, Housing, Physical Planning and Urbanization the actual budget being Ksh. 106195452 and the actual expenditure was Ksh. 105,289,685. The variance is 20%. Health, Public Health, and Sanitation the actual budget being Ksh. 2,668,582,399 and the actual expenditure was Ksh. 216,571,134. The variance is 3%. Gender and Social Services the actual budget being Ksh.



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							<p>263,065,467 and the actual expenditure was Ksh. 216,571,134. The variance is 7%.</p> <ul style="list-style-type: none"> • County Public Service, Administration, and Youth Affairs the actual budget being Ksh. 308,642,769 and the actual expenditure was Ksh. 286,889,923. The variance is 13%. • Agriculture, Livestock, and Fisheries the actual budget being Ksh. 547,498,630 and the actual expenditure was Ksh. 463,907,176. The variance is 3%. • Trade, Tourist and Cooperative Development the actual budget being Ksh. 169,824,415 and the actual expenditure was Ksh. 121,619,972. The variance is 13%. • Education, Science, and Technology the actual budget being Ksh. 278,444,300 and the actual expenditure was Ksh. 236,022,818. The variance is 3%. • Water, Environment and Natural Resources the actual



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							<p>budget being Ksh. 384,288,129 and the actual expenditure was Ksh. 237,114,733. The variance is 25%.</p> <ul style="list-style-type: none"> County Public Service Board the actual budget being Ksh. 37,301,255 and the actual expenditure was Ksh. 37,301,255. The variance is 21%. Transport, Public Works, Infrastructure and Communication the actual budget being Ksh. 37,301,255 and the actual expenditure was Ksh. 37,301,255. The variance is 34%. The energy the actual budget being Ksh. 3,100,000 and the actual expenditure was Ksh. 2,820,000. The variance is 7%. <p>PI-2 percentage was 10 %.</p> <p>REF.DOC CGN/019/KRA1/1.3(B)</p>
(b). Revenue Enhancement							
1.4	Enhanced revenue management and administration	Performance in revenue administration	Automation of revenue collection, immediate banking and control system to track collection.	Compare revenues collected through automated processes as % of total own source revenue.	Max: 2 points. Over 80% = 2 points Over 60% = 1 point	2	AUTOMATED REVENUE KSH884,574,219 TOTAL OWN SOURCE REVENUE KSH760,186,651 Revenues collected through



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							automated processes IS 90.05% of total own source revenue REF.DOC CGN/019/KRA1/1.4
1.5		Increase on a yearly basis in own-source revenues (OSR).	% increase in OSR from last fiscal year but one (the year before previous FY) to previous FY Checklist: compare Financial statements for FY 15/16 & 16/17	Compare annual Financial Statement from last two years (Use of nominal figures including inflation etc.).	Max. 1 point. If the increase is more than 10 %: 1 point.	0	OSR for the FY15/16=709,554,435 FY16/17=643,139,153 The county has a 9.36% Decrease in OSR from last fiscal year to previous FY
(c). Enhanced capacity of counties on execution (including procurement), accounting and reporting							
1.6	Reporting and accounting in accordance with PSASB guidelines	Timeliness of in-year budget reports (quarterly to Controller of Budget).	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. b) Summary revenue, expenditure and progress report is published in the local media and/or web-page.	Review File copies/records of when quarterly reports for FY 2017/18 were submitted to the county assembly, CoB and National Treasury. Review whether the reports met relevant formats. Review website and copies of local media for evidence of publication of summary revenue and expenditure outturns. CHECKLIST: refer to PFM Act 166; CFAR, Section 8; website copy should be for 2017/18 Also, note that format for this reports are on national treasury website hence check if county	Max. 2 points. (a & b) At least 3 of 4 Submitted on time and published: 2 points. (a only): At least 3 of 4 Submitted on time only; not published: 1 point.	1	A) Q4 COB 30 TH AUG 2018 NT 30 TH AUG 2018 CA 30 TH AUG 2018 Q2 COB 20 TH FEB 2018 CA 19 TH FEB 2018 NT 20 TH FEB 2018 Q1 CA 19 TH FEB 2018 COB 20 TH FEB 2018 NT 20 TH FEB 2018 Q3 CA 26 TH APR 2018 B)ALL ONLINE REF.DOC CGN/019/KRA1/1.6



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
				report complies with the same.			b) Summary of revenue, expenditure and progress report is published in the web-page.
1.7		Quality of financial statements	Formats in PFMA and approved by Public Sector Accounting Standards Board (PSASB) are applied and the FS include core issues such as closing balances, budget execution report, schedule of outstanding payments, an appendix with fixed assets register.	Review annual financial statements, bank reconciliations and related documents and appendixes to the FS; do they 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)	Max. 1 point. All requirements met: 1 point	1	Financial statements were prepared by IPSAS signed by chief officer finance and head of treasury accounting and had all the core issues such as closing balances, budget execution report, schedule of outstanding payments, and an appendix with fixed assets register. REF.DOC CGN/019/KRA1/1.7
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	Review monthly reports as filed internally within Treasury when submitted for management review. See also the CFAR Manual, p. 82 for guidelines.	Max. 2 points. 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.	1	<u>The Monthly reports include the following:</u> Statements of receipts and payments, including: Details of income and revenue Summary of expenditures Budget execution report, Statement of Financial position,



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			position, including (as annexes): a. Schedule of imprest and advances; b. Schedule of debtors and creditors; c. Bank reconciliations and post in general ledger.				including (as annexes): Schedule of imprest and advances; Schedule of debtors and creditors NOT AVAILABLE Bank reconciliations and post in general ledger. REF.DOC CGN/019/KRA1/1.8
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. in first self-assessment, assets register to need only to contain assets acquired by county governments since their establishment. From <u>Second year</u> onwards: register must include all assets, including those inherited from Local Authorities and National Ministries	Max. 1 point. Consolidated registers are up-to-date: (can be electronic or manual) 1 point.	1	The Asset register was availed and it was up-to-date REF.DOC CGN/019/KRA1/1.9
(d). Audit							
1.10.	Internal audit	Effective Internal audit function	An internal audit in place with quarterly Internal Audit reports submitted to 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 previous FY. Check against the PFM Act Art 155	Max. 1 point. 4 quarterly audit reports 2017/18 submitted in the previous FY: 1 point.	0	Presented audit reports that were submitted to the Governor REF.DOC CGN/019/KRA1/1.10
1.11		Effective and efficient internal audit	Internal Audit/ Audit committee established and evidence of review of	Review the composition of IA/Audit Committee.	Max. 1 point. IA/Audit Committee	0	AUDIT COMMITTEE was NOT AVAILABLE FOR FY 2017/18



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		committee	reports and follow-up.	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). PFM Act Art 155.	established and reports reviewed by the Committee and evidence of follow-up: 1 point.		REF.DOC CGN/019/KRA1/1.11
1.12	External audit	Value of audit queries	The value of audit queries as a % of total expenditure Use 2015/16 & 2016/2017	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.	Max. 2 points Value of queries less than 1% of total expenditures: 2 points Less than 5% of total expenditure: 1 point	1	The value of audit queries as a % of total expenditure is: FY 15/16 EXPENDITURE KSH6,277,548,716 VALUE OF AUDIT QUERIES=KSH127,5394,834 =20% FY16/17 EXPENDITURE=KSH7,282,366,974 VALUE OF AUDIT QUERIES=KSH287,829,126 =4%
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	Review audit reports from OAG from the last two audits.	Max. 1 point. Audit queries (in terms of value) have reduced from last year but one to last year or if there are no audits queries: 1	1	AUDIT QUERIES REDUCED FROM 20% TO 4% REF.DOC CGN/019/KRA1/1.13



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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 Use 2015/16 & 2016/2017	Minutes from meetings show scrutiny of audit reports. Reports on file demonstrating that steps have been taken to address audit queries.	point. Max. 1 point. Tabling of the audit report and evidence of follow-up: 1 point.	1	Legislative scrutiny of audit reports and follow-up for FY 2016/17 was DONE ON 8 TH NOV 2018 and for FY 2015/16 was done on 22 ND MARCH 2017 REF.DOC CGN/O19/KRA1/1.14
(e). Procurement							
1.15	Improved procurement procedures	Improved procurement procedures including use of IFMIs, record keeping, adherence to procurement thresholds and tender evaluation	25 steps in the IFMIS procurement process adhered with. (all the 25 steps have a unique serial number check out if it tallies in all steps & note that one will have to visit different officers depending on the procurement stage)	Sample 5 procurements at random (different size) and review steps complied with in the IFMIS guidelines. Calculate average steps complied with in the sample.	Max. 6 points. a) IFMIS Steps: <15steps=0 points; 15-23=1 point; 24-25=2points	2	The county adhered with the 25 steps in the IFMIS procurement for FY 17/18 REF.DOC.FILE CGN/KRA1/1.15A-B/MPC6
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): 1 point	0	Procurement reports were submitted to PPRA 1 st & 2 nd QUARTER submitted on 6 th FEB 2018 3 rd & 4 th QUARTER submitted on 16 th AUG 2018 REF.DOC.FILE CGN/KRA1/1.15A-B/MPC6	
c) Adherence with procurement thresholds and procurement methods for type/size of procurement in a sample of procurements.			Check the documentation on a sample of 5 procurements of different sizes at random.	c) Adherence with procurement thresholds and procurement methods for type/size of	1	A sample of 5 procurements Adhered with procurement thresholds and procurement methods 1)DIRECT PROCUREMENT FOR	



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			(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?)		procurement in a sample of procurements: 1 point.		<p>NON-PHARMS SUPPLY TO VARIOUS FACILITIES IN NYERI COUNTY CS=KSH9,455,788 GIVEN TO KEMSA</p> <p>2)OPEN TENDER SUPPLY AND DELIVERY INSTALLATION AND COMMISSIONING OF UROLOGY/LAPSCOP SETS AND TOWER FOR NYERI COUNTY REFERAL ADVERT DATED JANUARY 25TH 2018 TENDER NO.CGN/HEALTH/19/2017-2018 TENDER COMMITTEE FOR 9TH FEB 2018 CS=KSH30637585 AWARDED TO NAIROBI XRAY SUPPLIES LIMITED EVALUATION REPORT MINUTES FOR 7TH MARCH 2018 WAS AVAILED</p> <p>3)OPEN TENDER CONSTRUCTION OF OUT PATIENT BLOCK AT MT KENYA HOSPITAL ADVERT DATED MARCH 21ST 2018 TENDER NO. CGN/HEALTH/55/2017-2018</p>



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							<p>CS=KSH7,087,020 AWARDED TO FREEZA ENTERPRISE LTD EVALUATION REPORT WAS AVAILABLE</p> <p>4)RFQ RENOVATION OF STAFF HOUSE AT PEMBE TATU ESTATE RFQ NO.CGN/LHPPU/24/2017-18 CS=KSH749,429</p> <p>5) RFQ REPAIR WORKS AT GOVERNORS OFFICE EVALUATION MINUTES DATED 22ND MARCH 2018 AWARDED TO GO AUTO SYSTEMS CS=KSH1,100,080 RFQ NO.CGN/CS/PRO/11/22/172</p> <p>REF.DOC CGN/019/KRA1/1.5(C-E)</p>
			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 (1 point)	Check for secure storage space and filing space, and for a random sample of 10 procurements of various sizes, review contents of files to make sure they are complete.	d) Storage space and single complete files for sample of procurements: 1 point	0	There was no Secure storage space with adequate filing space



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			e) Completed evaluation reports, including individual evaluator scoring against pre-defined documented evaluation criteria, and signed by each member of the evaluation team, (2 points)	Check files on a sample of 5 procurements, especially the evaluation reports.	e) Evaluation reports complete: 1 point	1	<p><u>A sample of 5 procurements had Evaluation reports:</u></p> <p>1)DIRECT PROCUREMENT FOR NON-PHARMS SUPPLY TO VARIOUS FACILITIES IN NYERI COUNTY KSH9,455,788 KEMSA</p> <p>2)OPEN TENDER SUPPLY AND DELIVERY INSTALLATION AND COMMISSIONING OF UROLOGY/LAPSCOP SETS AND TOWER FOR NYERI COUNTY REFERAL ADVERT DATED JANUARY 25TH 2018 TENDER NO.CGN/HEALTH/19/2017-2018 TENDER COMMITTEE FOR 9TH FEB 2018 CS=KSH30637585 AWARDED TO NAIROBI XRAY SUPPLIES LIMITED EVALUATION REPORT MINUTES FOR 7TH MARCH 2018</p> <p>3)OPEN TENDER CONSTRUCTION OF OUT PATIENT BLOCK AT MT KENYA HOSPITAL ADVERT DATED MARCH 21ST</p>



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							2018 TENDER NO. CGN/HEALTH/55/2017-2018 CS=KSH7,087,020 AWARDED TO FREEZA ENTERPRISE LTD EVALUATION REPORT AVAILABLE 4)RFQ RENOVATION OF STAFF HOUSE AT PEMBE TATU ESTATE RFQ NO.CGN/LHPPU/24/2017-18 CS=KSH749,429 AWARDED TO 5) RFQ REPAIR WORKS AT GOVERNORS OFFICE EVALUATION MINUTES DATED 22 ND MARCH 2018 AWARDED TO GO AUTO SYSTEMS CS=KSH1,100,080 RFQ NO.CGN/CS/PRO/11/22/172 REF.DOC CGN/019/KRA1/1.5(C-E)
B	Key Result Area 2: Planning and M&E						
	Max score: (tentative 20 points)						
2.1	County M&E system and frameworks developed	County M&E/ Planning unit and frameworks in place.	a) Planning and M&E units (may be integrated into one) established. (organogram)	Review staffing structure, organogram, job descriptions, and other relevant documents. Review budget documents to see	Maximum 3 points The scoring is 1 point per measure Nos. a-c complied with	3	A) Planning and M&E units organogram was availed REF.DOC CGN/019/KRA2/2.1(A)



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			<p>b) There is designated planning and M&E officer and each line ministry has a clearly nominated/designated focal point for planning and one for M&E (letter of appointment)</p> <p>c) Budget is dedicated for both planning and M&E(check either departmental /consolidated budget)</p>	if there is a clearly identifiable budget for planning and M&E functions in the budget.	<p>A: 1 point B: 1 point C: 1 point</p>		<p>B) There is designated planning and M&E officer and each line ministry has a clearly designated focal point for planning and one for M&E, MWANGI GIBSON REF.DOC CGN/019/KRA2/2.1(B)</p> <p>C) There was a dedicated budget for Planning and M&E of 21M REF.DOC CGN/019/KRA2/2.1(C)</p>
2.2		County M&E Committee in place and functioning	<p>County M&E Committee meets at least quarterly and reviews the quarterly performance reports. (I.e. it is not sufficient to have hoc meetings).</p> <p>Minutes & appointment letters</p>	Review minutes of the quarterly meeting in the County M&E Committee to see whether committee met quarterly and whether quarterly performance reports were reviewed.	<p>Maximum: 1 point Compliance: 1 point.</p>	1	<p>County M&E Committee meets and reviewed Quarterly reports, minutes were availed for committee meetings REF.DOC CGN/019/KRA2/2.2</p>
2.3	County Planning systems and functions established	CIDP formulated and up-dated according to guidelines	<p>a) CIDP: adheres to structure of CIDP guidelines issued by MoDA</p> <p>b) CIDP (2013-2017) has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators included;</p>	<p>CIDP submitted in the required format (as contained in the CIDP guidelines published by MoDA - CIDP guidelines, 2013, chapter 7).</p> <p>Compare annual financing requirement with the total resource envelope for the current year.</p>	<p>Maximum: 3 points 1 point compliance with each of the issues a,b,c</p> <p>A: 1 point B: 1 point C: 1 point</p>	3	<p>A)The CIDP adhered to the structure of the guidelines issued by MoDA</p> <p>B) CIDP (2013-2017) has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators</p> <p>C) ADP=KSH7,884,584,805</p>



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			c) Annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue.				TOTAL COUNTY REVENUE FY 16/17=KSH6,6369,461,041 =123.79% Hence the Annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue.
2.4			ADP submitted on time and conforms to guidelines	a) Annual development plan submitted to Assembly by September 1 st . 2016 in accordance with required format & contents. b) ADP contains issues mentioned in the PFM Act 126,1, number A-H	Review version of ADP approved by County Assembly. Ensure that it has the correct structure and format as per relevant guidelines, and was submitted by September 1 st . Check the ADP against the PFM Act Maximum: 4 points Compliance a): 1 point. b) All issues from A-H in PFM Act Art 126,1: 3 points 5-7 issues: 2 points 3-4 issues: 1 point, see Annex.	4	A) Annual development plan submitted to Assembly on August 19 TH . 2016 in accordance with required format & contents. B) All issues from A-H in PFM Act Art 126,1 were met REF.DOC CGN/019/MPC4 PLANNING
2.5		Linkage between CIDP, ADP and	Linkages between the ADP and CIDP and the budget in terms of costing and	a) Review the three documents: CIDP, ADP and the budget. The budget should be consistent with	Maximum: 2 points Linkages and within the ceiling: 2 points	2	The following projects show Linkages between the ADP and CIDP and the budget in terms of



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		Budget	activities. (costing of ADP is within +/- 10 % of final budget allocation)	the CIDP and ADP priorities. b) The total costing of the ADP is within +/- 10% of final budget allocation. Sample 10 projects and check that they are consistent between the two documents.			<p>cost</p> <p>1) AUTOMATED REVENUE COLLECTION SYSTEM, CIDP PG NO. 77, ADP PG NO. 34, BUDGET AMOUNT KSH. 17M</p> <p>2) CONSTRUCTION OF COUNTY TREASURY OFFICE BLOCK, CIDP PG NO. 78, ADP PG NO. 23, BUDGET AMOUNT KSH. 10M</p> <p>3) REDEVELOPMENT OF HOUSING PROJECTS IN KIMATHI, BLUE VALLY ESTATE, CIDP PG NO. 165, ADP PG NO. 60, BUDGET AMOUNT KSH. 10M</p> <p>4) CONSTRUCTION AND EQUIPPING OF KARATINA HOSPITAL, CIDP PG NO. 91, ADP PG NO. 29, BUDGET AMOUNT KSH. 10M</p> <p>5) CONSTRUCTION AND EQUIPPING OF SUB-COUNTY AND WARD OFFICE BLOCKS, CIDP PG NO. 101, ADP PG NO. 33, BUDGET AMOUNT KSH. 21M</p> <p>6) UPGRADING OF WAMBUGU AGRICULTURAL TRAINING CENTRE, CIDP PG NO. 83, ADP</p>



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							PG NO. 27, BUDGET AMOUNT KSH. 18.8M 7) RENOVATION OF YOUTH POLYTECHNICS COUNTY WIDE, CIDP PG NO. 83, ADP PG NO. 55, BUDGET AMOUNT KSH. 59.2M 8) CONSTRUCTION, EQUIPMENT AND PROVISION OF SANITATION SERVICES IN OPEN AIR MARKETS COUNTY WIDE, CIDP PG NO. 122, ADP PG NO. 51, BUDGET AMOUNT KSH. 45.2M 9) CONSTRUCTION, EQUIPPING OF ECDES CENTER PROGRAM COUNTY WEDE AND TEACHER RECRUITMENT, CIDP PG NO. 159, ADP PG NO. 55, BUDGET AMOUNT KSH. 35.2M 10) TIT IE-TETU & THEGENGE WATER PROJECT, CIDP PG NO. 104, ADP PG NO. 38, BUDGET AMOUNT KSH. 43.9M REF.DOC CGN/019/KRA2/2.8
2.6	Monitoring and Evaluation systems in place and	Production of County Annual Progress Report	a) County C-APR produced; b) Produced timely by September 1	Check approved C-APR document for the date of submission.	Maximum: 5 points. a) C-APR produced = 2 points	5	A)The County C-APR was produced B)The C-APR was produced on



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	used, with feedback to plans		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 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 C-ADP, the county still qualifies for these points)	b) C-APR produced by the end of September: 1 point. c) C-APR includes performance against CIDP performance indicators and targets and with result matrix for results and implementation: 2 points. (N.B. if results matrix is published separately, not as part of the C-ADP, the county still qualifies for these points)		30 TH August 2018 C) THE C-APR included clear performance progress against CIDP indicator targets REF.DOC CGN/019/KRA2/2.6(A-C)
2.7		Evaluation of CIDP projects	Evaluation of completion of major CIDP projects conducted on an annual basis. eg. flagship project, wide outreach, has full impact assessment reports, midterm reviews etc.)	Review evaluation reports for at least 3 large projects.	Maximum: 1 point. Evaluation is done for at least three large projects: 1 point.	1	Evaluation reports for below 3 large projects were availed: 1)BIMA AFYA PROGRAM 2)ELIMU FUND BURSARY PROGRAMME 3)IMPROVEMENT OF COLD SUPPLY CHAIN IN DAIRY FARMING PROJECT REF.DOC CGN/019/KRA2/2.7
2.8		Feedback from the Annual Progress Report to Annual Development	Evidence that the ADP and budget are informed by the previous C-APR. C-APR 2016/17 informing ADP 17/18and budget	Review the two documents for evidence of C-ARP informing ADP and budget	Maximum: 1 point. Compliance: 1 point.	1	There was evidence of C-ARP 2016/17 informing the ADP 2017/18 and the budget REF.DOC CGN/019/KRA2/2.8



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		Plan					
C	Key Result Area 3: Human Resource Management Max score: 12 points.						
3.1	Staffing plans based on functional and organization assessments	Organizational structures and staffing plans	a) Does the county have an approved staffing plan in place, with annual targets? b) Is there clear evidence that the staffing plan was informed by a Capacity Building assessment / functional and organizational assessment and approved organizational structure? c) Have the annual targets in the staffing plan been met?	Review approved staffing plan Review capacity Building Assessment / CARPS report <i>In future years (after first AC&PA), there has to be evidence that CB/skills assessments are conducted annually to get points on (b).</i> Targets met within +/- 10 %. Check for Letters, minutes	Maximum 3 points: First self-assessment: a = 2 points, b = 1 point c = NA. Future ACPAs: a=1 point, b = 1 point, c = 1 point	0	A) The county does not have a staffing plan in place but has annual targets of 1023 REF.DOC CGN/019/KRA3/3.1(A-C) B) The CARPS report was availed but did not inform the staffing plan REF.DOC CGN/019/KRA3/3.1(B) C) The annual targets were not met 812 REF.DOC CGN/019/KRA3/3.1(A-C)
3.2	Job descriptions, including skills and competence requirements	Job descriptions, specifications and competency framework	a) Job descriptions in place and qualifications met. First self-assessment: Chief officers/heads of departments; <i>2nd ACPA: all heads of units;</i> <i>future ACPAs: all staff (sample check))</i> b) Skills and competency frameworks in place and	Review job descriptions and personnel records to match qualifications Review skills and competency frameworks, and check that job descriptions adhere to the skills and competency frameworks. Review appointment, recruitment and promotion records	Maximum score: 4 points All a, b and c: 4 points. Two of a-c: 2 points One of a-c: 1 point	4	A) The county has Job descriptions in place for the chief officers and heads of units. The same was reviewed and qualifications for Cos and Head of Departments met. REF.DOC CGN/019/KRA3/3.2(A) B)The county has Adopted The Skills And Competency Framework From The National Government. The framework was reviewed for the heads of units



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			<p>Job descriptions adhere to these</p> <p>First self-assessment: Chief officers/heads of departments;</p> <p><i>2nd ACPA: all heads of units;</i></p> <p><i>future ACPAs: all staff (sample check))</i></p> <p>c) Accurate recruitment, appointment and promotion records available</p>				<p>Job Descriptions and adheres to the guidelines.</p> <p>Minutes were Available Dated 26TH JULY 2017</p> <p>REF.DOC CGN/019/KRA3/3.2(B)</p> <p>C)The CPSB had accurate recruitment, appointment, and promotion records for Education and Health departments as follows:</p> <ul style="list-style-type: none"> • Advertisement, • Short listing, • Interview minutes, • Appointments and promotion. <p>REF.DOC CGN/019/KRA3/3.2(C)</p>
3.3	Staff appraisal and performance management operationalized in counties	Staff appraisals and performance management	<p>a) Staff appraisal process developed and operationalized.</p> <p>b)Performance contracts developed and operationalized for CEC Members, Cos, and Directors</p>	<p>a) Review staff appraisal, mid-year review, and annual evaluation.</p> <p>b) Review county Public Service Board Records for signed performance contracts, quarterly reports and annual evaluation.</p>	<p>Maximum score: 5 points.³</p> <p>a) Staff appraisal for all staff in place: 1 point. (If staff appraisal for</p> <p>b) Performance Contracts in place for CEC Members and Chief Officers: 1 point Performance Contracts</p>	4	<p>The county has a Staff appraisal process developed and operationalized</p> <p>REF.DOC CGN/019/KRA3/3.3(A)</p> <p>The county has Performance contracts developed and operationalized for CEC Members, Cos and Directors</p> <p>REF.DOC</p>

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



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					in place for the level below Chief Officers: 1 point		CGN/019/KRA3/3.3(B)
			c) service re-engineering undertaken	c) Review re-engineering reports covering at least one service	c) Service delivery processes re-engineered in counties: 1 point		One service re-engineering undertaken that was NYERI PAY Minutes availed REF.DOC CGN/019/KRA3/3.3(C)
			d) RRI undertaken	d) Review RRI Reports for at least one 100 day period	d) Rapid Results Initiatives-RRIs launched/up-scaled: 1 point		Report for RRI undertaken for strategic area-revenue mobilization availed REF.DOC CGN/019/KRA3/3.3(D)
D	Key Result Area 4: Civic Education and Participation - A citizenry that more actively participated in county governance affairs of the society Max score: 18 points						
4.1	Counties establish functional Civic education Units	CEU established	Civic Education Units established and functioning: (a) Formation of CE units (b) Dedicated staffing and (c) Budget, (d) Programs planned, including curriculum, activities etc. and (e) Tools and methods for CE outlined.	County Act, sec 99-100. Review relevant documentation to ascertain whether measures have been met	Maximum 3 points. CEU fully established with all milestones (a)-(e) complied with: 3 points. 2-4 out of the five milestones (a-e): 2 points Only 1 met: 1 point.	2	a) CE unit was formed with principal Administration Officer as their Focal person organogram availed. REF.DOC CGN/019/KRA4/4.1(A) b) There is a Dedicated staff for CE unit NAOMI WANJIKU MATHENGE REF.DOC CGN/019/KRA4/4.1(B) & 4.3(B) c) There was a budget line of



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			Policies must be approved by the County Assembly				<p>KSH3,853,900</p> <p>REF.DOC CGN/019/KRA4/4.1(C)</p> <p>d) Programs were planned, including curriculum, and activities REF.DOC CGN/019/KRA4/4.1(D-E)</p> <p>e) Tools and methods for CE were outlined REF.DOC CGN/019/KRA4/4.1(D-E)</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 Act, sec. 100. Examples of relevant evidence include engagements with NGOs to enhance CE activities/joint initiatives on the training of citizens etc. Needs to be clearly described and documented in a report(s) as a condition for availing points on this.	Maximum 2 points. Roll out of minimum 5 civic education activities: 2 points.	2	<p><u>Evidence of roll-out of 5 civic education activities as follows:</u></p> <p>1)NYERI TOWN SUB-COUNTY DIALOGUE 2)NYERI COUNTY DIALOGUE FORUM ON DEVOLUTION 3)CIVIC EDUCATION FOR ENDARASHA/MWIYOGO WARD 4) CIVIC EDUCATION FOR WAMAGANA WARD 5)CIVIC EDUCATION FOR MUKURWE WARD</p> <p>REF.DOC CGN/019/KRA4/4.2</p>



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
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.	Maximum 2 points. a) Compliance: 1 point. b): Compliance: 1 point.	2	System for Access to information and Communication framework was in place and operationalized. Systems in place were: NOTICE BOARD WEBSITE http://www.nyeri.go.ke/contact-us/ COUNTY GOVERNMENT OF NYERI FACEBOOK INFO@NYERI.GO.KE CALL NO.0722/21 019019 REF.DOC CGN/019/KRA4/4.3(A)
			b) Counties have designated officer in place, and the officer is operational. Newspaper cuttings, invoices copies, copies of notices),	Review job descriptions, pay-sheets and/or other relevant records to ascertain whether the designated officer is in place; review documents evidencing activities of the designated officer (e.g. reports written, minutes of meetings attended etc.)			The County has a designated officer in place, and the officer is operational appointment letter CAROL WAKO REF.DOC CGN/019/KRA4/4.3(B)
4.4		Participatory planning and budget forums held	a) Participatory planning and budget forums held in the previous FY before the plans were completed for on-going FY. b) Mandatory citizen engagement /consultations held beyond the budget	PFM Act, sec 137; County Act, 91, 106 (4), Sec. 115. Review files copies of Invitations and minutes from meetings in the forums to establish that relevant forums were held. Review the list of attendances to	Maximum 3 points. All issues met (a-f): 3 points. 4-5 met: 2 points. 1-3 met: 1 point.	2	A) THERE WERE Participatory planning and budget forums held in the previous FY before the plans were completed for on-going FY. REF.DOC CGN/019/KRA4/4.4(A-B) B) There were Mandatory citizen



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			<p>forum, (i.e. additional consultations)</p> <p>c) Representation: meets requirements of PFMA (section 137) and stakeholder mapping in public participation guidelines issued by MoDP.eg. 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. through minutes or other documentation</p> <p>f) Feed-back to citizens on how proposals have been handled.</p>	<p>establish that representation requirement were met.</p> <p>Review materials used to structure meetings</p> <p>Review minutes of meetings and resulting in planning documents to identify links.</p> <p>Feedback reports/minutes of meetings where feedback provided to citizens</p>			<p>engagement /consultations held beyond the budget forum, REF.DOC CGN/019/KRA4/4.4(A-B)</p> <p>C) The county had Representation that met requirements of PFMA and stakeholder mapping REF.DOC CGN/019/KRA4/4.4(C-D-F)</p> <p>D) There was Evidence that forums are structured REF.DOC CGN/019/KRA4/4.4(C-D-F)</p> <p>E) There was Evidence of input from the citizens to the plans REF.DOC CGN/019/KRA4/4.4(E)</p> <p>F) There was Feed-back to citizens on how proposals have been handled. REF.DOC CGN/019/KRA4/4.4(C-D-F)</p>
4.5.		Citizens' feed back	Citizen's feedback on the findings from the C-APR/implementation status report.	Review records of citizens 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	Maximum points: 1 Compliance: 1 point.	0	<p>Evidence of Citizen's feedback on the findings from the C-APR was not clearly indicated</p> <p>REF.DOC CGN/019/KRA4/5.5</p>



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county)
				response to citizen inputs).			
4.6		County core financial materials, budgets, plans, accounts, audit reports and performance assessments published and shared	<p>Publication (on county web-page, in addition to any other publication) of:</p> <ul style="list-style-type: none"> i) County Budget Review and Outlook Paper by 1stSept 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 during each quarter vi) Annual progress reports (C-APR) with core county indicators vii) Procurement plans and rewards of contracts viii) Annual Capacity & 	<p>PFM Act sec 131. County Act, sec. 91.</p> <p>Review county web-page to see if copies of each document are available at the time of self-assessment</p> <p><i>(N.B.) Publication of Budgets, County Integrated Development Plan and Annual Development Plan is covered in Minimum Performance Conditions)</i></p>	<p>Maximum points: 5 points</p> <p>9 documents available: 5 points</p> <p>7-8documents available: 4 points</p> <p>5-6 documents available: 3 points</p> <p>3-4 documents available: 2 points</p> <p>1-2 documents available: 1 point</p> <p>0 documents available: 0 points.</p>	5	<p>The bellow documents are published on the county website http://www.nyeri.go.ke/reports/</p> <ul style="list-style-type: none"> -County Budget Review and Outlook Paper -Fiscal Strategy Paper -Financial statements or annual budget execution report -Audit reports of financial statements -Quarterly budget progress reports -Annual progress reports (C-APR) with core county indicators -Procurement plans and rewards of contracts -Annual Capacity & Performance Assessment results -County citizens' budget



Annual Capacity & Performance Assessment Report (ACPA)

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			Performance Assessment results ix) County citizens' budget				
4.7		Publication of bills	All bills introduced by the county assembly have been published in the national and in county gazettes or county web-site, and similarly for the legislation passed. within the FY 2017/2018	County Act, sec. 23. Review gazetted bills and Acts, etc. Review county web-site.	Maximum 2 points Compliance: 2 points.	2	Bills introduced by the county assembly have been published on the website https://www.nyeriassembly.go.ke/bills/ -Enterprise Development Fund Bill 2017 -Enterprise Development Fund (Amendment) Bill, 2018 -Nyeri County Revenue Administration Bill, 2018 -The Nyeri County Finance, 2018 -Nyeri Municipal Charter REF.DOC CGN/019/KRA4/4.7
E	Result Area 5. Investment implementation & social and environmental performance Max score: 20 points. (N.B. Points breakdown will change in third ACPA, see Capacity & Performance Assessment Manual)						
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 for projects planned in the Annual Development Plan</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 end of last FY.	Maximum 4 points (6 points in the first two AC&PAs) More than 90 % implemented: 6 85-90 %: 3 points 75-84%: 2 points 65-74%: 1 point Less than 65 %: 0 point.	6	<u>A sample of 10 projects with their implementation status:</u> 1)OLD CHAMBER REFURBISHMENT =100% 2)HOUSE REPAIR AND PAINTING =100% 3)OUTPATIENT BLOCK AT MT.KENYA HOSPITAL =75% 4)RIRING'U SPORTS HOSTEL



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			<i>for that FY and the final contract prices should be used in the calculation. Weighted measure where the size of the projects is factored in. If there are more than 10 projects a sample of 10 larger projects are made and weighted according to the size.</i>	Use all available documents in assessment, including: CoB reports, procurement progress reports, quarterly reports on projects, M&E reports etc.	<p>If no information is available on completion of projects: 0 points will be awarded.</p> <p>An extra point will be awarded if the county maintains a comprehensive, accurate register of completed projects and status of all ongoing projects (within the total max points available, i.e. the overall max is 4 points/6 respectively in the first two AC&PA).</p>		<p>=95%</p> <p>5)BIMA AFYA =100%</p> <p>6)KAHURU WARD OFFICE =75%</p> <p>7)GIATHUGU WARD OFFICE 85%</p> <p>8)WAMBUGU ATC HOSTELS= 95%</p> <p>9)SOIL LIMING =92%</p> <p>10)GREENING PROGRAM =89%</p> <p>TOTAL IMPLEMENTATION STATUS=90%</p> <p>REF.DOC CGN/019/KRA5/5.1</p> <p>project completion certificates were availed</p> <p>REF.DOC CGN/019/KRA5/5.1-5.2</p> <p>Project completion register</p> <p>REF.DOC CGN/019/KRA5/5.1</p>
5.2	Projects implemented according to cost estimates	Implementation of projects and in accordance with the cost	Percentage (%) of projects implemented within budget estimates (i.e. +/- 10 % of estimates).	A sample of projects: a sample of 10 larger projects of various size from a minimum of 3 departments/ sectors.	Maximum 5 points	5	<p><u>The following Projects were implemented according to cost estimates:</u></p> <p>1)BIMA AFYA</p>



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
		estimates	Project Completion Certificates	<p>Review budget, procurement plans, contract, plans and costing against actual funding. If there is no information available, no points will be provided. If the information is available in the budget this is used. (In case there are conflicts between figures, the original budgeted project figure will be applied). Review completion reports, quarterly reports, payment records, quarterly progress reports, etc.</p> <p>Review M&E reports.</p> <p>Compare actual costs of the completed project with original budgeted costs in the ADP/budget.</p>	<p>budgeted costs: 5 points</p> <p>80-90%: 3 points 70-79%: 2 points 60-69%: 1 point Below 60%: 0 points.</p>		<p>CS=KSH36,000,000 BS=KSH36,000,00 EXECUTION %=0%</p> <p>2)REFURBISHMENT OF BUILDINGS OTHAYA HOSPITAL CS=KSH4,000,000 BS=KSH4,000,00 EXECUTION %=0%</p> <p>3)BUDGETARY RESERVES CS=KSH476,152,628 BS=KSH481,009,578 EXECUTION %= -1%</p> <p>4)CONSTRUCTION RENOVATION OF ECDES CS=KSH14,971,366 BS=KSH15,600,000 EXECUTION %= -4%</p> <p>5)EDF CS=KSH30,000,000 BS=KSH30,000,000 EXECUTION %= 0%</p> <p>6)CONSTRUCTION OF PIPELINE FOR VARIOUS PROJECTS CS=KSH41,537,882 BS=KSH51,752,006 EXECUTION %= -19%</p> <p>7)SURVEY AND DESIGN OF WATER INTAKE</p>



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county)
							CS=KSH3,078,148 BS=KSH3,180,000 EXECUTION %=5% 8)CONSTRUCTION OF FOOTBRIDGES CS=KSH9,000,000 BS=KSH9,000,00 EXECUTION %=0% 9)MAPPING OF TOURISM SITES CS=KSH8,774,083 BS=KSH7,418,593 EXECUTION %=0.7% 10)STREET LIGHTING CS=KSH21,062,679 BS=KSH21,752,846 EXECUTION %= -3% REF.DOC CGN/019/KRA5/5.2
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 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. Review if maintenance is above 5 % of the capital budget and evidence that budget allocations have been made for projects completed 2-3 years ago and evidence that funds have actually	Maximum 4 points	4	Maintenance budget for projects: 1)MAINTENANCE OF OFFICE FURNITURE AND EQUIPMENT TOTAL, AMOUNT KSH 500,000 2) MAINTENANCE OF BUILDINGS AND STATIONS – NON-RESIDENTIAL, AMOUNT KSH. 2.2M 3) MAINTENANCE OF COMPUTER, SOFTWARE, AND



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
				been provided for maintenance of these investments.	More than 5 % but only 1-2 of the specific sampled projects are catered for 1 point.		<p>NETWORKS, AMOUNT KSH. 250,000</p> <p>4) MAINTENANCE OF COMMUNICATION equipment, AMOUNT KSH. 209,518</p> <p>5) MAINTENANCE OF PLANT, MACHINERY, AND EQUIPMENT (INCLUDING LIFTS), AMOUNT KSH. 50,000</p> <p>6) MINOR ALTERATIONS OF BUILDINGS AND CIVIL WORKS, AMOUNT KSH. 20,000</p> <p>7) MAINTENANCE EXPENSES – MOTOR VEHICLES, AMOUNT KSH. 2,010,000</p> <p>8) MAINTENANCE OF CIVIL WORKS (ROADS), AMOUNT KSH. 319,567,564</p> <p>9) MAINTENANCE OF CIVIL WORKS (STREET LIGHTS), AMOUNT KSH. 21,752,846</p> <p>10) ROUTINE MAINTENANCE – VEHICLES, AMOUNT KSH. 1,732,641</p> <p>11) RENOVATION OF BUS PARKS AT MUKURWEINI, KSH. 300,000</p> <p>REF.DOC CGN/019/KRA5/5.3</p>
5.4	Screening of environmental	Mitigation measures on	Annual Environmental and Social Audits/reports for EIA	Sample 10 projects and ascertain whether environmental/social	Maximum points: 3 points	3	<u>Social audit reports were produced for the following</u>



Annual Capacity & Performance Assessment Report (ACPA)

No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
	social safeguards	ESSA through audit reports	/EMP related investments.	audit reports have been produced.	All 100 % of sample done in accordance with the framework for all projects: 3 points 80-99 % of projects: 1 point		<u>projects:</u> 1) OTHAYA YOUTH POLYTECHNIC 2) ABLUTION BLOCK 3) TOILET BLOCK AT GITHWARIGA ECDE CENTRE 4) GITURI GATURA FOOTBRIDGE 5) MUNGARIA POLYTECHNIC 6) NGUYOINI ECDE CENTRE 7) KAGERE ECDE CENTRE 8) NYERI FIRE STATION 9) RURINGU SPORTS HOSTEL 10) GITIMAINI ECDE CENTRE REF.DOC CGN/019/KRA5/5.4
5.5	EIA /EMP procedures	EIA/EMP procedures from the Act followed.	Relevant safeguards instruments Prepared: Environmental and Social Management Plans, Environmental Impact Assessment, RAP, etc. consulted upon, cleared/approved by NEMA and disclosed prior to the commencement of civil works in the case where screening has indicated that this is required. All building &	Sample 5-10 projects	Maximum points: 2 points All 100 % of sample done in accordance with the framework for all projects: 2 points 80-99 % of projects: 1 point	2	<u>EIA /EMP procedures were used for the following projects :</u> (1) PROPOSED BOREHOLE FOR GATAGWA WATER PROJECT KIANJERO WATER POINT NEMA/NYR/PR/5/2/2297 (2) CONSTRUCT WATERWORKS FOR THE COUNTY GOVERNMENT OF NYERI MAHINGA CATTLE DIP NEMA/NYR/PR/5/2/2217 (3) SUPPLY AND DELIVERY OF



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No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Actual score achieved	Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i>
			civil works investments contracts contain ESMP implementation provisions (counties are expected to ensure their works contracts for which ESIA's /ESMPs have been prepared and approved safeguards provisions from part of the contract.				PIPES AND FITTINGS FOR MATHIRA EAST SUB-COUNTY CGN/WE&NR/24/17-18 (4) SUPPLY AND DELIVERY OF PIPES AND FITTINGS FOR OTHAYA SUB-COUNTY CGN/WE&NR/28/17-18 (5) PROPOSED BOREHOLE DRILLING AT MAHIGA AREA LABURA LOCATION KIENI WEST DISTRICT NEMA/NYR/PR/J/2/2217 (6) PROPOSED MUHOYA/KIMATHI IRRIGATION SCHEE PROJECT CGN/WE&NR/10/17-18 (7) SUPPLY AND DELIVERY OF PIPES AND FITTINGS FOR MATHIRA WEST SUB-COUNTY NEMA/PR/CEP/202/146 (8) PROPOSED KIHUYO IRRIGATION PROJECT LOCATED IN KIHUYO LOCATION NEMA/PR/CEP/207/670 (9) PROPOSED BOREHOLE FOR GATARAGWA WATER PROJECT NEMA/NYR/PR/5/2/2297 REF.DOC CGN/019/KRA5/5.5/MPC8
5.6	Value for the Money (from the 3 rd AC&PA).	Value for the money.	Indicator to be assessed in the third ACPA (N/A)				
					Total Maximum Score: 100 points.	84	



5.0 Challenges in the assessment

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

- Most documents from departments could not be accessed which indicated poor records management system.
- The self-assessment tool was not well read by some sectors prior to the assessment. This derailed the speed of the exercise as most officers were not aware of the documents that were to be submitted for evidence.

5.1 Observations

Issues raised and respective recommendations made by the individual aspect of assessment, i.e. MACs, MPCs, and PMs are provided in the following sections 5.1 to 5.4.

5.2 MAC's

- No issues were raised on the participatory agreement
- The CB plans implemented to 54%

5.3 MPC's Issues

- No issues were raised on the participatory agreement

5.4 PMs

KRA 1: Public Finance Management

- Need clarification and guidelines on CAPR preparation
- KRA 1.2 needed to be reviewed. The dates quoted do not match with PFM Act, 2012. Specifically part (b). "County Budget review and outlook paper – submission by county treasury to CEC by 30 September 2016 to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15th October 2016" The interpretation from PFM Act, is 14 days, not 7 days as indicated in the tool.

KRA 2: Planning and Monitoring & Evaluation

- There was an M&E committee in place and evidence of meetings was availed.
- All required planning documents were availed and were published online.

KRA 3: Human Resource).

- Schemes of service are adopted from PSCK. They need to be customized
- Staffing plan was not in place and was not informed by the C-ARPS report.
- Capacity building on functions of CS, CCO, and CBSP to distinguish mandates in the allocation of duties to the staff.

KRA 4: Civic Educations and Participation

- Developing a robust citizen complaint mechanism



- Improve on feedback mechanism to the citizen and feedback from the management.

KRA 5 Investments and Social Environment Performance

- The maintenance budget is not easy to determine as a single budget line neither is their provision to do so in budgeting practice
- There was a lot of repetition in the KRA 5 for the environment and social safeguards which therefore needed review. KRA 5.1-5.3 was basically a function of works and infrastructure yet it was put under environment focal person making it difficult to coordinate the KRA
- Record keeping is a challenge since NEMA is a separate entity
- Social audits reports on projects were not well done.

6.0 OVERVIEW OF THE 5 WEAKEST PERFORMANCES

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

KRA	Performance Measure	Issues
KRA 1	Public Finance Management	<ul style="list-style-type: none"> • Late submissions of procurement plans to PPRA
KRA 2	Planning &M&E	<ul style="list-style-type: none"> • Record Keeping
KRA 3	Human Resource Management	<ul style="list-style-type: none"> • Development of staffing plans
KRA 4	Civic Education	<ul style="list-style-type: none"> • Citizen feedback mechanism
KRA 5	Investment implementation & social and environmental performance	<ul style="list-style-type: none"> • Environmental and social Audits



7.0 LIST OF PARTICIPANTS

NAME	DESIGNATION	EMAIL/PHONE NUMBER
H.E MUTAHI KAHIGA	GOVERNOR	
MR. BEN GACHICHIO	COUNTY SECRETARY	nyericountysecretary@gmail.com
MR. FRANCIS KIRIRA	FOCAL PERSON	0724757637
MR. ROBERT THUO MWANGI	CECM FINANCE & ECONOMIC PLANNING	0725335939
MR. MUTHUI KARIUKI	CEC INFRASTRUCTURE	Muthuikariuki51@yahoo.com
MR. GIBSON MWANGU	ECONOMIST	0721334018
MS. PAULINE NDEGWA	CO GOVERNOR'S OFFICE	chiefofficerpaic@gmail.com
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MR. G.K KANYI	M&E DEPARTMENT OF AGRICULTURE	0712462046
MS. BETH NJEINE	CECM PUBLIC SERVICE MANAGEMENT	bethnjeine@yahoo.com
MR. MARTIN MUCHIRI	P.A DEPUTY GOVERNOR	0727914277
DR. RACHEL KAMAU	CECM HEALTH	Rachelkamau05@yahoo.com
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MR. GEORGE KARIMI	PRINCIPAL INTERNAL AUDITOR	munenekarimi@yahoo.co



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MR. GITHINJI	CHAIRMAN MUDAVADI MARKET	0722121767
MS. YVONNE MATHENGE	DIRECTOR ENVIRONMENT	0780633286
MR. JESSE MWANIKI	DIRECTOR PERFORMANCE MANAGEMENT	wjessemwaniki@yahoo.com
MR. STANLEY MTUATA	CHIEF OFFICER, WATER, ENV. & SANITATION	0721100294
MR. PATRICK GITOBU	DIRECTOR, SCMS	0720649230



8.0 APPENDICES

8.1 APPENDIX 1: ENTRY MEETING MINUTES

MINUTES OF ENTRY MEETING FOR ANNUAL CAPACITY & PERFORMANCE ASSESSMENT HELD AT NYERI COUNTY SECRETARY'S BOARDROOM ON 06TH DECEMBER 2018, FROM 8:50 AM TO 9:50 AM

MEMBERS PRESENT

COUNTY TEAM:

- | | |
|---------------------------|--|
| 1. MR. BEN GACHICHO | COUNTY SECRETARY |
| 2. MR. FRANCIS M. KIRIRA | C.O ECONOMIC PLANNING |
| 3. MR. ROBERT THUO MWANGI | CECM – FINANCE AND ECONOMIC PLANNING |
| 4. MS. PAULINE NDEGWA | C.O GOVERNOR'S OFFICE |
| 5. MR. MUTHUI KARIUKI | CEC INFRASTRUCTURE |
| 6. MR. GIBSON T. MWANGI | ECONOMIST |
| 7. MS. BETH NJERI | CECM PUBLIC SERVICE MANAGEMENT |
| 8. MR. G.K KANYI | M & E DEVELOPMENT OF AGRICULTURE |
| 9. MR. MARTIN MUCHIRI | P. A TO DEPUTY GOVERNOR |
| 10. MS. KEZIA WAINAINA | PRINCIPAL PROCUREMENT OFFICER |
| 11. DR. RACHAEL KAMAU | CECM HEALTH |
| 12. MS. NAOMI MATHENGE | CIVIL EDUCATION AND PUBLIC PARTICIPATION |
| 13. MS. JANE WACHIRA | CECM HUMAN RESOURCE MANAGEMENT |
| 14. MS. GRACE WACHIRA | CHIEF HUMAN RESOURCE OFFICER |
| 15. DR. KWAI WANJARIA | CECM LANDS |

MINISTRY TEAM:

- | | |
|-------------------|------------------|
| 1. MR. NELSON ROB | KDSP SECRETARIAT |
|-------------------|------------------|

PRESTIGE MANAGEMENT SOLUTIONS TEAM

- | | |
|------------------------|-------------|
| 1. MS. LINET MAVU | TEAM LEADER |
| 2. MR. NICHOLAS LEINA | ASSESSOR |
| 3. MS. SARAH NYABWENGI | ASSESSOR |

APOLOGY:

1. H.E MUTAHI KAHIGA – GOVERNOR NYERI COUNTY

AGENDA:

1. Preliminary
2. Opening remarks
3. Brief on ACPA expectation
4. Adjournment



MIN: 1/06/12/2018: PRELIMINARY

The meeting was called to order by the County Secretary Mr. Gachichio Ben at 8.50am. An opening prayer was offered by Mr. Gibson Mwangi. This was followed by all a brief introduction of members present with their respective designations.

MIN: 2/06/12/2018: OPENING REMARKS

The County Secretary welcomed the ministry representative and Prestige Management Team to Nyeri County promising for his cooperation during the entire assessment period. He added that Nyeri County is ready for the exercise. The Chair again welcomed the ministry representative Mr. Nelson Rob and asked him to take over the meeting. Mr. Rob briefly expressed his appreciations for the county cooperation. Mr. Rob brief the county of their last performance noting that Nyeri County got the least performance in the previous assessment hence hoped for better improvement this round. He also informed the members of the areas that had issues in the last assessment especially the audit opinion. He also appealed to all heads of departments to produce relevant evidence during the exercise. Mr. Rob then welcomed Ms. LinetMavu the PMS Team leader to take over the meeting.

MIN: 3/06/12/2018: BRIEF ON ACPA EXPECTATIONS

The team leader, Ms. LinetMavu expressed her appreciation for the warm welcome to Nyeri County Government and for the opportunity to conduct an assessment in the institution. She informed the members that Nyeri County was the 7th county being assessed. She also informed the county that the assessment is historical hence most of the documents will be for the financial year (FY) 2017/2018.

To enable the assessment seamless, she took the focal persons through the three days program and the expectations. Members were requested to cooperate in carrying out the entire assessment and emphasized on the need to keep time in delivery of the required documents. She also acknowledged that this was an assessment and not an audit and therefore an opportunity to learn from the exercise. She also reminded the county that the exercise will be a three-day assessment and no document of evidence is allowed after the exit meeting.

The team leader urged members to avail themselves during the exit meeting which would be held on 10/12/2018 the third day as per the program.

MIN: 4/06/12/2018: ADJOURNMENT

There being no other business, the meeting was adjourned at 9:50 am. The team left for the collection of the required documents for the assessment.

Minutes confirmed by:

1. **Name:** Ms. LINET MAVU – TEAM LEADER, PSM

Signature: _____

Date: _____

2. **Name:** FRANCIS KIRIRA – NYERI COUNTY KDSP FOCAL PERSON

Signature: _____

Date: _____



8.2 APPENDIX 2: MEETING MINUTES EXIT

MINUTES OF THE EXIT MEETING FOR ANNUAL CAPACITY AND PERFORMANCE ASSESSMENT HELD AT NYERI COUNTY SECRETARY'S BOARDROOM ON 10TH DECEMBER 2018, FROM 4:13 PM TO 5:00 PM

MEMBERS PRESENT

COUNTY TEAM:

- | | |
|---------------------------|--|
| 1. H.E MutahiKahiga | Governor Nyeri County |
| 2. Mr. Ben Gachichio | County Secretary |
| 3. Mr. Robert ThuoMwangi | CECM Finance And Economic Planning |
| 4. Mr. Francis Kirera | C.O Economic Planning, KDSP Focal Person |
| 5. Mr. Patrick Gitobu | Director SCMS |
| 6. Ms. Elizabeth Mathenge | Director of Human Resource |
| 7. Ms. Yvonne Mathenge | Director of Environment |
| 8. Mr. Stanley Mutuota | C.O Water, Environment & Sanitation |
| 9. Ms. Pauline Ndegwa | C.O Public Administration, Governor's Office |
| 10. Mr. Jesse Mwaniki | Director Performance Management |
| 11. Ms. KeziaWainain | Principal Procurement Officer |
| 12. Ms. Grace Wachira | Chief Human Resource Officer |
| 13. Ms. Esther Mbugua | WENR & S |
| 14. Ms. Naomi Mathenge | Civic Education And Public Participation |
| 15. Ms. Jane Wachira | CPSM |
| 16. Mr. Gibson Mwangi | Economist |

MINISTRY TEAM:

1. Mr. Nelson Rob – KDSP Secretariat

PRESTIGE MANAGEMENT SOLUTIONS TEAM

- | | |
|------------------------|-------------|
| 1. Dr. NyoikeWamwea | Team Leader |
| 2. Mr. Nicholas Leina | Assessor |
| 3. Ms. Sarah Nyabwengi | Assessor |

AGENDA:

1. Preliminary
2. Registration
3. Recap of the assessment process
4. Responses from Governor
5. The signing of the summary report
6. Responses from members
7. Adjournment

MIN: 1/10/12/2018: PRELIMINARY

The meeting was called to order by H.E Governor MutahiKahiga who welcomed all the officers present. After welcome, the Governor asked Mr. Francis Kirera – Nyeri County KDSP Focal Person to lead the meeting. Mr. Kirera thanked all the focal persons and officers for the commitment shown during the assessment that took three official working days.



After the brief remarks, Mr. Kirira asked Dr. Wamwea to give the highlights of the assessment. Dr. Wamwea thanked Mr. Kirira for giving the opportunity but first asked Mr. Nelson Rob – KDSP secretariat to give an overview of the assessment who expressed his appreciations to the county for welcoming the teams. He briefed the meeting on their last performance pointing out they had a qualified opinion and qualified level one grant. He expressed his view on the program as it was evidence-based. He noted that in the last assessment planning audit and environment performed poorly in the last assessment and hoped that this year there will be an improvement. He welcomed the Team Leader, Dr. Nyoike Wamwea of PMS to take over the meeting.

MIN: 2/10/12/2018: REGISTRATION

The visitor's book was circulated for the registration of all the members present in the county Governor's boardroom.

MIN: 3/10/12/2018: RECAP OF ASSESSEMENT PROCESS

The PMS team leader took the opportunity to thank the county for the commitment and cooperation they showed during the three-day assessment period. He also congratulated the county government for the great support they gave the PSM team. He noted that the team spirit among the county officers was quite evident, which enabled the exercise to move on very swiftly.

The team leader gave a brief on the strengths and challenges experienced during the whole assessment and the documents presented. He highlighted the areas which the documents were presented as well as those that were not presented.

RECAP

He noted the following:

On the MACs - All conditions were met.

MPCs- the CB plan for FY 2017/18 was updated, annual planning documents available and on the website, procurement plans were available for executive and for assembly, core staff in place, citizen complain in place with a feedback mechanism in place but it needed more effort. The audit opinion was qualified to the consultants.

KRA1-Program based budget was availed; Revenue automation was in place in the FY 17/18. Most of the documents were uploaded on the county website and were readily available from the records. The financial statements were prepared in IPSAS format. Asset register was available. On IFMIS, the 25 steps were done. The quarterly reports were submitted to PPRA but quarter 1&3 were late. Scrutiny on audit reports was available. The audit committee was in place. Audit reports were done quarterly Storage was not up to date and not secured hence recommended to have a better storage facility. The files too were not well done. The OSR for FY 16/17 went down. The value for Audit went down which was an improvement.

KRA2 - The CIDP for 2013-2017 was prepared as per the guidelines. ADP preparation met all the points stipulated in the PFM Act, 2012.



KRA3-Staff appraisal done in 2017/2018 but not well done and he suggested to have mid-term reviews. Staffing plans were not done very well. Performance contracts need to be done again so as to be up to standard.

KRA4-The Civic Education unit was fully established, documentation or to show a response to complaints was not in a centralized place, C-APR report was availed to the public. Reports of meetings held had a clear indication of the meetings held, where and when the meetings were held. Civic Education budget was not clearly stipulated in the budget. Documents were uploaded on the website but the people need to be informed about the documentation on the website so that they can be able to access them any time.

KRA5-Documentation was poor and they needed to be enhanced. Maintenance budget was in a lump sum and not project wise.

He also noted that they had done a site visit to the Markets (The Nyeri open-air market and Mudavadi Market) and Nyakinywa ECDE. The team was impressed.

MIN: 4/10/12/2018: RESPONSES FROM THE GOVERNOR

The governor commented on the assessments and thanked the team for the recap done. He appreciated the team and noted on the environment department that had not performed well and promised to work better in the next assessment. He thanked everyone for their cooperation.

MIN: 5/10/12/2018: SIGNING OF SUMMARY REPORT

All the focal persons signed on the agreed evidence for the Minimum Performance Conditions (MPCs) as required by the assessment team.

MIN: 6/10/12/2018: RESPONSES FROM MEMBERS

Mr. Francis Kirira – KDSP Focal Person noted that they will involve KDSP in more capacity building and also noted that they will improve on the weak areas that were noted.

Mr. Robert Thuo-CECM Finance and Economic Planning appreciated the Governor and noted that they will take the comments and improve on the weak areas.

MIN: 7/10/12/2018: ADJOURNMENT

There being no other business the meeting was adjourned at 5:00 PM with closing prayers by Gibson Mwangi.

Minutes prepared by:

1. **Name:** Ms. Sarah Nyabwengi – Assessor, PMS
Signature: _____
Date: _____

Minutes confirmed by:

2. **Name:** Dr. NyoikeWamwea – Team Leader, PMS LTD
Signature: _____
Date: _____
3. **Name:** Mr. Francis Kirira – Nyeri County KDSP Focal Person
Signature: _____
Date: _____



— THE PRESIDENCY —
MINISTRY OF DEVOLUTION & ASAL

**For Contact Information:
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