



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



**ELGEYO MARAKWET COUNTY GOVERNMENT**

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

Conducted on:

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



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## ACRONYMS

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



## ACKNOWLEDGMENT

The Prestige Management Solution team would like to acknowledge the support and cooperation extended by the entire County Government of Elgeyo Marakwet.

Specifically, we would like to recognize and appreciate the warm reception given to the assessment team during the entry and exit meeting chaired by H.E Governor Alex Tolgos. We also appreciate the presence and support of H.E Deputy Governor, H.E Wesley Rotich, County Secretary Paul Chemmutut, CECs, Chief Officers and Directors.

Our sincere gratitude also goes to the KDSP Focal person, Mr. John Maritim for his tireless efforts to ensure that the assessment was conducted smoothly and the staff availed requisite documents on time.

Finally, Prestige Management Solutions Team would like to thank the teams that facilitated the field visits and the support staff for being on hand when requested to get copies of the required documents.



## EXECUTIVE SUMMARY

The Government of Kenya developed a National Capacity Building Framework – NCBF, in 2013 to guide the implementation of its capacity-building support for county governments. The program is a key part of the government’s Kenya Devolution Support Program – KDSP- supported by the World Bank. The NCBF-MTI covers 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:

1. The Minimum Access Conditions (MACs)
2. Minimum Performance Conditions (MPCs)
3. Performance Measures (PMs)

In preparation for the assessment process, MODA carried out an induction and sensitization training on 2<sup>nd</sup> and 3<sup>rd</sup> September 2019 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 the 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 five 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 the capacity needs of a devolved structure, the national government in consultation with the County Governments created the National Capacity Building Framework (NCBF) in 2013. In respect of Article 189 of the Constitution, Multiple new laws, systems, and policies were rolled out; induction training for large numbers of new county staff from different levels of County Government was initiated focused on the new counties. The Medium-Term Intervention (MTI) which provides a set of results and outputs against capacity building activities at both levels of government, and across multiple government departments and partners can be measured were instituted. These measures provide the basis for a more coherent, well-resourced and devolution capacity support, as well as by other actors. The NCBF spans PFM, Planning and M&E, Human Resource Management, Devolution, and Inter-Governmental Relations and Public Participation.

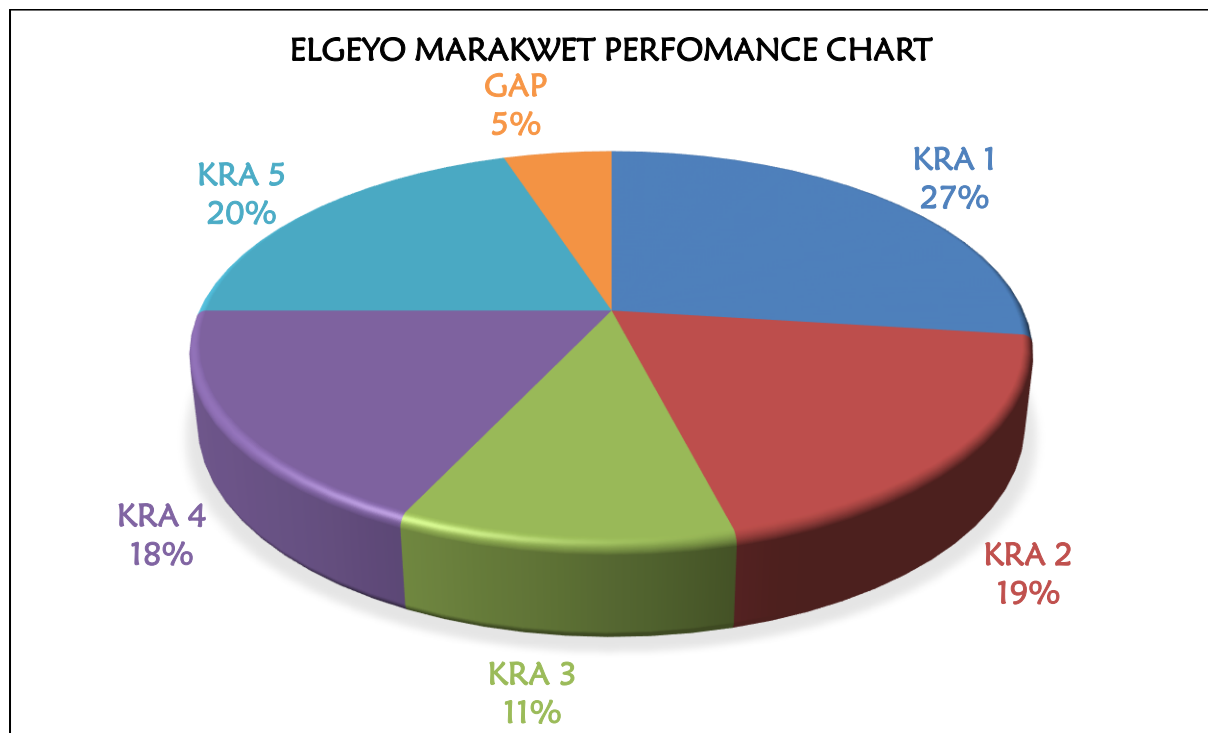


This report documents the key issues that arose during the assessment of Elgeyo Marakwet County Government spanning from the methodology used for the assessment, time plan, and overall process, summary of the results, summary of capacity building requirements and challenges in the assessment period.

The outcome of the assessment can be summarized as follows:

ACPA Measures	Outcome
MAC	All MACs were waived
MPC	The CGEM met 9 MPCs.

ACPA Measures	Outcome	Score
PM	KRA 1: Public Financial Management	27
	KRA 2: Planning, Monitoring and Evaluation	19
	KRA 3: Human Resources Management	11
	KRA 4: Civic Education and Participation	18
	KRA 5: Investment implementation & Social and environmental performance	20
	<b>SCORE OVER 100</b>	<b>95</b>





## Achievements

The County Government of Elgeyo Marakwet 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.

With regards to the area of Planning, Monitoring, and Evaluation, the county has designated planning and M & E unit and officers appointed and in place for the year under review (2018/19), a budget allocated to the M&E activities for the year and county annual reports in place. The county also developed the CAPR a month earlier and undertook an evaluation of major CIDP projects.

Furthermore, the County also performed fairly well in the areas of Civic Education & Public Participation and Environmental and Social Safeguards. They provided proof of environmental audits of selected projects and also provided ESMP evidence for the projects with the EIA reports.

## Weaknesses

The County Government did not have significant weaknesses in the key sectors being assessed. In Finance, the value of audit queries vis a vis the expenditure had increased. Late development of CIDP resulted in the late submission of the CFSP dated 09/04/2018 to the CEC rather than 28<sup>th</sup> February 2018 and subsequently the submission date 16<sup>th</sup> April 2018 instead of 15<sup>th</sup> March 2018. Further, the ADP was submitted on 16<sup>th</sup> April 2018 instead of 1<sup>st</sup> September 2017.

## Areas of Improvement

- The county government should strive to increase the level of county own source revenues to enhance service delivery.
- The Cabinet needs to approve some policies e.g. the County Communication Policy

## 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 - Civic Education and Public Participation:** (i) civic education; and (ii) public participation, including means to enhance transparency and accountability;
- **KRA 5 — Investment management including Social and Environmental safeguards:** i. project implementation as per the cost; ii. maintenance of the projects to ensure sustainability; iii. Screening of environmental social safeguards; iv. environmental impact assessment/environmental management plans procedures

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



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

## 2.2 The Program Development Objective (PDO)

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

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

## 2.3 The specific objectives.

The specific objectives of the assessment are to –

- a) Verify compliance of the counties with key provisions of the laws and national



guidelines and manuals such as the Public Financial Management Act, 2012, the County Government Act and other legal documents;

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

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

The results obtained from the assessment are therefore credible for use in guiding the analysis and in the determination of the 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 set targets of future performance measures.

#### **2.4 The Annual Capacity and Performance Assessment (ACPA)**

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

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



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

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

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

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

## 2.5 Annual Capacity and Performance Assessment Process

The ACPA process started in June 2016 when the participating counties conducted the Self-Assessment exercise. The process was guided by the National Government technical team that inducted county government on the participation of the KDSP. It forms the basis of capacity building plans for FY 2016/17. The FY 2018/19 assessment was carried out by Prestige Management that started on September 15<sup>th</sup> to 28<sup>th</sup> October 2019. All 47 counties were assessed in accordance with the TOR, similar instruments were administered and all other agreed procedures followed.

Therefore, the report is credible and recommended for use by the Government and the development partners in the determination of the counties that qualify for the capacity building and investment grants for the FY 2019/2020. In the event, a count is dissatisfied with the outcome a window of 14 days is granted to file an appeal.

## 3.0 METHODOLOGY

The assignment was carried out in line with the terms of reference set out by the client and agreed during the inception reporting. To agree on the assignment methodology and approach, the consultants presented an inception report in July 2019 to the client, which gave a clear pathway in the implementation of the project.

The Inception report elucidated the processes of mobilization, literature review to study



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

### 3.1 Literature Review

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

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

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

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

### 3.2 Mobilization

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

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



### 3.3 Sensitization Workshop

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 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 Assessors held the Entry Meeting on **20<sup>th</sup> September 2019** with the County Officials chaired by H.E. the Governor and attended by the KDSP focal person among others.

The purpose of the meeting was to outline the objectives of the visit of the Assessors to the County, the duration of the assessment exercise, agree on a program of action, notify the relevant officials to be interviewed and to emphasize that the assessment was looking for results and the evidence to support those results.

Further, the Assessors advised the County Management to support the exercise since its outcome would assist the County to strengthen their capacity to realize their overall objectives towards capacity building and improved service delivery.

#### b) Data Administration

The Assessors conducted the exercise in three (3) working days as per the program. They relied on evidence provided by the County Government Officials within the framework of the assessment tool that was developed by the State Department of Devolution. The evidence was collected in the form of certified copies of original documents and photographs.

The scope of the assessment was to review the Minimum Access Conditions, Minimum Performance Conditions and the Performance Measures guided by the ACPA Tool.

#### c) Exit Meeting

The exit meeting was held on the 3<sup>rd</sup> day and was facilitated by the assessors together with the Elgeyo Marakwet County government officials. The assessment exercise was officially concluded and key findings of the exercise were highlighted.

The Assessors also provided an opportunity for the County Government officials to give feedback on their views and suggestions regarding the assessment.

Minutes of the Exit meeting were signed by the Team Leader for Prestige Management Solutions and KDSP focal person.



TIME PLAN

Activity	20 <sup>th</sup> Sep 2019	23 <sup>rd</sup> Sep 2019	24 <sup>th</sup> Sep 2019
Entry meeting			
Assessing the Minimum Access Conditions			
Assessing Minimum Performance Conditions			
Assessing Performance Measures			
Field Visits			
Exit Meeting			



#### 4.0 SUMMARY OF RESULTS

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

##### 4.1 Minimum Access Conditions (MACs)

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

Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments	Assessment Met/ Not Met	Detailed Assessment Finding
1. County signed a participation agreement	To ensure that there is ownership and interest from the county to be involved in the Program, and to allow access to information for the AC&PA teams.	Signed confirmation letter/expression of interest in being involved in the Program  MoV: Review the confirmation letter against the format provided by MoDA/in the Program Operational Manual (POM).	All counties have already signed participation agreements; no need to verify compliance.	<b>MET</b>	Participation agreement dated 15 <sup>th</sup> June 2017 was Signed by the Governor of Elgeyo Marakwet H.E Alex Tolgos
2. CB plan developed	It is needed to guide the use of funds and coordination.  Shows the capacity of the county to be in driver's seat on CB.	CB plan developed for FY 2018-19 according to the format provided in the Program Operational Manual/Grant Manual (annex).  MoV: Review the CB plan, based on the self- assessment of the KDSP indicators: MACs, MPC and PMs, and compared with the format in the POM /Grant Manual (annex).	Review CB plan for FY 2018/19  Developed for all counties but separate verification by CB verification team	<b>MET</b>	CB Plan for the Financial year 2018/19 was prepared. The CB Plan was dated June 2018 as evidenced by CGEM/028/MAC2.
3. Compliance with 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	Waived for all County Governments	<b>N/A</b>	



Minimum Conditions for Capacity and Performance Grants (level 1)	Reason and Explanation	Detailed indicator and Means of Verification (MoV)	Comments	Assessment Met/ Not Met	Detailed Assessment Finding
		released to counties to date. 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 implementation. actual	Minimum level (70% of FY 2016/2017 plan, 75% of FY 2017/2018 plan, 80% of subsequent plans) of implementation of planned CB activities by end of FY. MoV: Review financial statements and use of CB + narrative of activities (quarterly reports and per the Grant Manual).	Waived for all County Governments	N/A	



## 4.2 MINIMUM PERFORMANCE CONDITIONS

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

Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
<b>Minimum Access Conditions complied with</b>					
1. Compliance with minimum access conditions	To ensure minimum capacity and linkage between CB and investments.	Compliance with MACs. MoV: Review of the conditions mentioned above and the MoV of these.	Waived for all County Governments	N/A	
<b>Financial Management</b>					
2. Financial statements submitted	To reduce fiduciary risks	Financial Statements (for FY 2017-18) with a letter on documentation submitted to the Kenya National Audit Office by <b>30<sup>th</sup> September 2018</b> and National Treasury with required signatures (Internal auditor, heads of accounting unit etc.) as per the PFM Act Sec 116 and Sec. 164 (4). This can be either individual submissions from each department, or consolidated statement for the whole county. If individual statements are submitted for each department, the county must also submit consolidated statements by 31 <sup>st</sup> October 2018. The FS has to be in an auditable format. MoV: Annual financial statements (FSs), submission	3 months after the closure of the FY (30 <sup>th</sup> of September 2018).  Complied with if the county is submitting individual department statements: 3 months after the end of FY for department statements and 4 months after end of FY for consolidated statement.	MET	The Financial Statement for the County of Elgeyo Marakwet was submitted to the office of the Auditor-General on 28 <sup>th</sup> September 2018 vide letter reference # EM/FIN/Vol 2/255. This is evidenced by CGEM/028/MPC2/ Financial statement



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
		letters to Office of the Auditor General (OAG) + records in OAG.			
3. Audit opinion does not carry an adverse Opinion or a disclaimer	To reduce fiduciary risks	The opinion in the audit report of the financial statements for county executive for FY 2017-18 cannot be adverse or carry a disclaimer opinion MoV: Audit reports from the Office of the Auditor General	Audit reports <u>cannot</u> be with a disclaimer or adverse opinion increased demands) – <u>no exceptions</u>  As per program requirements, the assessment will rely on the audit opinion as at the time they are released by OAG.	<b>MET</b>	The audit opinion from the Office of the Auditor-General for the County of Elgeyo Marakwet (Financial Year 2017/2018) carries a <b>Qualified Opinion</b> .
<b>Planning</b>					
4. Annual planning documents in place	To demonstrate a minimum level of capacity to plan and manage funds	CIDP, Annual Development Plan (for FY 2018-19) and budget (for FY 2018-19) approved and published (on-line). (Note: The approved versions have to be the version published on county website) (PFM Act, Art 126 (4).  MoV: CIDP, ADP, and budget approval documentation, review of county web-site.		<b>MET</b>	The County Government of Elgeyo Marakwet prepared the following planning documents: - CIDP for the period 2018-2022 was prepared and presented to the County Assembly on 7 <sup>th</sup> May 2018 vide letter reference EM/FIN/4/36 as evidenced by CGEM/028/MPC4/LETTERS – CIDP, ADP, BUDGET. - ADP 2018/2019 was prepared & submitted to the County Assembly on 6 <sup>th</sup> June 2018 as per letter reference EMC/FIN/4/32 and herein evidenced by CGEM/028/MPC4/LETTERS – CIDP, ADP, BUDGET.



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
					- The County's budget for financial year 2018/2019 was prepared and presented to the County Assembly for approval on 6 <sup>th</sup> June 2018 vide letter reference EMC/FIN/4/32 and herein evidenced by CGEM/028/MPC4/LETTERS – CIDP, ADP, BUDGET.
<b>Use of funds in accordance with Investment menu</b>					
<p>5. Adherence with the investment menu</p> <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>And</p> <p>22 counties which received level 2 grants for FY 2018-19 Makueni, Kiambu, Kakamega, Mombasa, Nyandarua, Mandera Kisii, Meru, Nyeri, Bungoma, Narok, Elgeyo Marakwet, Laikipia, Kilifi, Baringo, Wajir, Busia, Uasin Gishu, Nakuru, Marsabit, Tranzoia, Kjiado</p>	<p>To ensure compliance with the environmental and social safeguards and ensure efficiency in spending.</p>	<p>For the 13 Counties that received level 2 grant for FY 2017/18, review the following:</p> <p>Adherence with the investment menu (eligible expenditures and non-eligible expenditures) as defined in the PG Grant Manual.</p> <p>Review financial statements against the grant guidelines. Check up on the use of funds from the C&amp;PG through the source of funding in the chart of accounts (if possible through the general reporting system with Source of Funding codes) or special manual system of reporting as defined in the Capacity and Performance Grant Manual)</p> <p>Review budget progress reports submitted to CoB.</p>	<p>Review Implementation of the investment projects in the 13 counties for FY 2017/18 level 2 grants and Submission of project proposals for the 22 counties for level 2 grant of FY 2018-19</p> <p>Please have the lists of 13 counties that qualified and received level 2 grant in FY 2017/18 and also 22 counties that qualified and received level 2 grant in FY 2018/19</p>	<b>MET</b>	<p>Elgeyo Marakwet county qualified for level 2 funding and was allocated Ksh. 169,253,594 to be prioritized to projects as stipulated in the P&amp;G Manual.</p> <p>The projects identified are:</p> <ol style="list-style-type: none"> <li>1. Mother &amp; Baby Wing – Iten County Referral Hospital.</li> <li>2. Kapkobil-Chepuser Irrigation Project.</li> <li>3. Potato seed Manipulation Centre – Chebara ATC</li> <li>4. Analyst Water Project.</li> </ol> <p>The proposals for the above projects were submitted to the Ministry of Devolution &amp; ASAL on 14<sup>th</sup> August 2019 as per letter ref: EMC/ADM 51/222 and herein evidenced by CGEM/028/MPC5-INVESTMENT MENU.</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		For the 22 Counties that received Level 2 grants in FY 2018/19, review the following: Project proposals (for use of FY 2018- 19 Level 2 grants) are fully consistent with the investment menu (eligible expenditures and non-eligible expenditures) as defined in the PG Grant Manual.			
<b>Procurement</b>					
6. Consolidated Procurement plans in place.	To ensure procurement planning is properly coordinated from the central procurement unit instead of at departmental, and to ensure sufficient capacity to handle discretionary funds.	<p>Updated consolidated procurement plan for executive and for assembly (or combined plan for both) for FY 2018- 19.</p> <p><u>MoV:</u> Review the procurement plan of each procurement entity and county consolidated procurement plan and check up against the budget whether it encompasses the needed projects and adherence with procurement procedures.</p> <p>The procurement plan(s) will have to be updated if/and when there are budget revisions, which require changes in the procurement process.</p> <p>Note that there is a need to check both the consolidated procurement plan for 1) the assembly and 2) the executive.</p>	The situation <u>during</u> FY 2018-19 to be assessed. ACPA to identify last budget revision for FY 2018-19 and then assess whether the consolidated procurement plan existed <u>and</u> was updated. (Emphasis should be on the Executive procurement plan 2018/19)	<b>MET</b>	The consolidated Procurement plans against the original budget for the County of Elgeyo Marakwet for the financial year 2018/2019 were submitted herein as evidence No. CGEM/028/MP6 – ORIGINAL PROC PLAN. Upon review of the two documents, select procurements for projects & development costs were included/updated after the passing of the supplementary budget.



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
		and whether it is revised when budget revisions are made.			
<b>Core Staffing in Place</b>					
7. County Core staff in place	To ensure minimum capacity in staffing	<p>Core staff in place</p> <p>The following staff positions should be in place:</p> <ul style="list-style-type: none"> <li>• Procurement officer</li> <li>• Accountant</li> <li>• Focal Environmental officer designated to oversee environmental safeguards for all subprojects</li> <li>• Focal Social Officer designated to oversee social safeguards for all subprojects</li> <li>• M&amp;E officer <u>MoV</u>: Staff organogram/ scheme of service/ salary payment/job description/interview/ Appointment letter / Deployment letter</li> </ul>	At the point of time for the ACPA.	<b>MET</b>	<p>Elgeyo Marakwet County has in place the following core staff:</p> <p><b>Procurement officer</b> Mr. Peter Maiyo was appointed the county's Supply Chain Management officer on 30/5/13 vide letter Ref TA/HRM/6 He was further appointed the stores and inventory manager on 14/1/14 vide letter reference #: EMC/PSB/ADM/14/6</p> <p>He is a member of KISM and a holder of MA – Business Management (purchasing &amp; supplies) from Moi University. This is evidenced by CGEM/028/MPC7-CORE STAFFS</p> <p><b>Accountant</b> Ms. Sheila Biriri was appointed the Senior Accountant on 28/5/18 vide letter ref EMC/PSB/SJB/DLA/25/2018. She is the holder of CPA(K) and a Bachelor of Arts – Finance option (KEMU). She is also a member of ICPAK. This is evidenced by CGEM/028/MPC7-CORE STAFFS</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					<p><b>Focal Environmental officer</b> Mr. Charles Suter was appointed the County’s environment officer (Director Natural resources) on 9/1/15 vide letter ref EMC/ 010/2015.</p> <p>He is the holder of Masters of Science (Environmental Studies – Human Ecology) from Eldoret University, Bachelor of Science in Forestry from Moi University, Diploma – Forestry from the Kenya forestry college and a certificate in environmental management from the University of Eldoret.</p> <p>He also holds a NEMA practicing license (NEMA/EIA/ERPL/928) This is evidenced by CGEM/028/MPC7-CORE STAFFS</p> <p><b>Focal Social Safeguards officer</b> Ms. Marine Serem was appointed the Focal Social Safeguards officer on 16/7/19 vide letter ref: EMC/ADM/69/11/243 She holds a Certificate in EIA/Environmental Audit from Chepkoilel University college. She is also the holder of a Bachelor of Science -Agriculture &amp; Human ecology extension from Egerton University and a</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					<p>Diploma in Agriculture &amp; Home Economics from Bukura Agricultural College. This is evidenced by CGEM/028/MPC7-CORE STAFFS</p> <p><b>M&amp;E Officer</b> Mr. Titus Kosgey has a Bachelor of Arts degree from Egerton University. This is evidenced by CGEM/028/MPC7-CORE STAFFS</p>
<b>Environmental and Social Safeguards</b>					
<p>8. Functional and Operational Environmental And Social Safeguards Systems (i.e. screening/vetting, clearance/ approval, enforcement &amp; compliance monitoring, documentation &amp; reporting) in place.</p>	<p>To ensure that there is a mechanism and capacity to screen environmental and social risks of the planning process prior to implementation, and to monitor safeguard during implementation.</p> <p>To avoid significant adverse environmental and social impacts</p> <p>To promote environmental and social benefits and ensure sustainability</p> <p>To provide an opportunity for public participation and consultation in the safeguards process (free,</p>	<p>1. Counties endorse, ratify and comply with an environmental and social management system to <b>guide investments</b> (from the ACPA starting September 2016). MOV: -NEMA Certification of subprojects. -Relevant county project documents. (screening checklist, Register of screened projects, No. of EMP) (Capacity Performance Grant Manual pg 16-21&amp;29-30)</p> <p>2. Appointed environmental and social focal points are actively involved in</p>	<p>Note that the first installment of the expanded CPG investment menu covering sectoral investments starts from July 2017 (FY 2017/18). Hence some of the conditions will be reviewed in the ACPA prior to this release to ascertain that capacity is in place at the county level, and other MPCs will review performance in the year after the start on the utilization of the expanded grant menu (i.e. in the 3<sup>rd</sup> AC&amp;PA, see the previous column for details).</p>	<p><b>MET</b></p>	<p>The County of Elgeyo Marakwet has endorsed, ratified and is in compliance with the following systems that guide investments:</p> <ul style="list-style-type: none"> <li>- EMCA act revised edition 2015</li> <li>- Elgeyo Marakwet County Charcoal Act 2017</li> <li>- Climate Change Act of 2016</li> <li>- Elgeyo Marakwet County Disaster &amp; Emergency bill 2014</li> <li>- MOU between Elgeyo Marakwet County &amp; NEMA on Social Risk Management (environmental &amp; social screening) November 2018</li> </ul> <p>NEMA certification was further provided as evidence of compliance to the environmental and social management system as herein stated:</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
	<p>prior and informed consultation s–FPIC)</p>	<p>screening, overseeing comprehensive and participatory ESMPs for all KDSP investments. MOV: (ACPA 3) relevant county project documents.</p> <p>3. All proposed investments are <b>screened*</b> against a <u>set of environmental and social criteria/checklist</u> safeguards instruments prepared. (Sample 5-10 projects). (From the second AC&amp;PA, Sept. 2016). MOV a. Environmental checklist b. Social exclusion checklist c. Register of screened projects</p> <p>4. ESIA's or detailed ESMPs are developed for all investments drawing on inclusive public consultations on E&amp;S impacts of specific investments. All proposed investments are located on properly registered public land, and where necessary, proper land acquisition and compensation procedures are followed and Abbreviated Resettlement Action Plans (ARAPs) are developed and</p>	<p>Please ensure that the teams possess the environmental and social criteria /checklist—see program operations manual (pg ).</p>		<ol style="list-style-type: none"> <li>1. Proposed borehole drilling PR/0163</li> <li>2. Proposed quarrying activities in Kabaragoya PR/0156</li> <li>3. Proposed Chekobei community water project – PR/0147</li> <li>4. Proposed construction of running camp – PR/0144</li> <li>5. Proposed construction of 2 stories building – PR/0140</li> </ol> <p><b>CGEM/028/MPC8-NEMA CERTIFICATES</b></p> <p>Mr. Charles Suter was appointed the County’s environmental safeguards focal point on 30<sup>th</sup> November 2017 vide letter ref EMC/ADM/65/11/54 as evidenced by CGEM/028/MPC8-ENVIRONMENT OFFICER.</p> <p>Mr. Magrine Serem was appointed the County’s social safeguards focal point on 16<sup>th</sup> July 2019 vide letter ref EMC/ADM/69/11/243 as evidenced by CGEM/028/MPC8-SOCIAL OFFICER</p> <p>Investments carried out by the County Government of Elgeyo Marakwet undergo Environmental</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
		<p>implemented for all involuntary resettlement or livelihood impacts.</p>			<p>&amp; Social safeguards screening. Some of the projects sampled for screening by the assessment team include:            Proposed opening/construction &amp; maintenance of Salaba-kobulwo Rd.10/4/19            1. Proposed Masongo-Barsobe water project 10/4/19            2. Proposed upgrading of St Michael primary school – 16/5/19            3. Proposed construction – Mungwa Dispensary 16/5/19            4. Construction of classroom &amp; equipping of Kamugo ECD 16/5/19</p> <p><b>CGEM/028/MPC8-SCREENING CHECKLISTS</b></p> <p>ESIA for all proposed investments            1. Proposed construction of intake works &amp; gravity mains – NEMA/PR/EMT/5/2/221            2. The proposed upgrade of St Michael standard sports facility NEMA/PR/EMT/5/2/0224            3. Proposed construction of Iten town recreational park &amp; arboretum - NEMA/PR/EMT/5/2/0182            4. Proposed cabro pavement in Iten Township – NEMA/PR/EMT/5/2/018</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					<p>5. Proposed rehabilitation of Kalwal Water Pan NEMA/PR/EMT/5/2/0177 This is evidenced by <b>CGEM/028/MPC8 – ESIA REPORTS</b></p>
		<p>MOV:</p> <ul style="list-style-type: none"> <li>Required safeguard instruments (ESMP/EMP/SMP, Occupational Health &amp; Safety (OHS) prepared and approved by the relevant authorities.</li> <li>Proper land acquisition procedures were followed<sup>1</sup> (Advert notices, Minutes of meetings, Agreements, and MoUs)</li> </ul> <p>5. Operational/functioning County Environment Committee (either set up as per EMCA or technical committee established by the County Government).</p> <p><u>MoV:</u></p> <ul style="list-style-type: none"> <li>-Evidence of gazettement &amp; or appointment letters</li> <li>- meeting minutes.</li> </ul>			<p>The County of Elgeyo Marakwet is in the process of acquiring private land for the proposed rehabilitation of Kalwal-Kapendich Water Pan through proper land acquisition and compensation procedures. This is evidenced by CGEM/028/MPC8 – LAND ACQUISITION.</p> <p>The County Government of Elgeyo Marakwet did not conduct any ARAP.</p> <p>The County Government of Elgeyo Marakwet has a gazetted Environment Committee vide Gazette date 29/11/2017 Notice # 12095 with 6 members &amp; appointment letters dated 15/12/17. The members are:</p> <ul style="list-style-type: none"> <li>- Susan Kirui – EMC/ADM/26/19</li> <li>- William Rutto – EMC/ADM/26/21</li> <li>- Gilbert Chellimo – EMC/ADM/26/20</li> <li>- Wiliam Kisang - EMC/ADM/26/22</li> </ul>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					- Ruth Chebii - EMC/ADM/26/23 - Paul Opiyo - EMC/ADM/26/24 The environment committee is operational as evidenced by minutes dated 22/11/18 & 27/6/19. This is evidence ref: <b>CGEM/028/MPC8 ENVIRONMENT COMMITTEE</b>
9. Citizens' Complaint system in place	To ensure a sufficient level of governance and reduce risks for mismanagement.	Established an Operational Complaints Handling System including: <ul style="list-style-type: none"> <li>Formally approved and operational grievance handling mechanisms to handle complaints pertaining to the administrative fiduciary, environmental and social systems (e.g. complaints/grievance committee, county Ombudsman, county focal points, etc.).</li> </ul> MoV: Proof of formal establishment and operations of complaints handling system (more than half of the below): <ul style="list-style-type: none"> <li>Formal designation of responsible persons and their functions in complaints handling</li> <li>Standards, guidelines or service charters that regulate how</li> </ul>	At the point of time for the ACPA.	<b>MET</b>	The Elgeyo Marakwet County Complaints Committee was set up and inaugurates on 26 <sup>th</sup> May 2016 with a membership of seven (7) and two (2) officers as follows: <ol style="list-style-type: none"> <li>Joyce Kiplimo (appointed on 6/11/17) - EMC/ADMI/102/28</li> <li>Anne Chepkock (appointed on 6/11/17) - EMC/DM/102/32</li> <li>Micahel Sengech (appointed on 6/11/17) - EMC/ADM/102/26</li> <li>Ivy Jerono (appointed on 8/11/17) - EMC/ADM.33/62</li> <li>Agneta Tanui (appointed on 8/11/17) - EMC/ADM.33/63</li> <li>Christine Ng'eno (appointed on 6/11/17) - EMC/ADM/102/29</li> <li>Patrick Maiyo (appointed on 6/11/17) - EMC/ADM/102/30</li> <li>Vincent Bartoo (appointed</li> </ol>



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>complaints are handled</p> <ul style="list-style-type: none"> <li>• Register(s) of complaints and actions taken on them</li> <li>• Minutes of meetings in which complaints handling is discussed within the internal framework for handling complaints</li> <li>• Reports/communication to management on complaints handled</li> <li>• Evidence of a feedback mechanism to the complainant on the progress of the complaint.</li> </ul> <p><i>See also County Government Act Sec. 15 and 88 (1)</i></p>			<p>on 6/11/17) - EMC/ADM/102/279) Nelly Kiptoo (appointed on 6/11/17) -EMC/ADM/102/31</p> <p>This is evidenced by CGEM/028/MPC9-BULLET 1</p> <p>The County further relies on the County Governments Act 2012 to develop domesticated acts and policies like the Equitable Development Act 2015, Elgeyo Marakwet Public Participation Act, 2014 and a draft policy of Complaints &amp; Grievance Redress as evidenced herein by CGEM/028/MPC9-COMPLAINTS SYSTEM</p> <p>Moreover, in partnership with the National Government-Commission on Administrative Justice – Office of the Ombudsman, the county applies policies &amp; best practices in complaints management.</p> <p>The County has the formal designation of persons for complaints management as follows:</p> <ol style="list-style-type: none"> <li>1) Ivy Jerono Kitony (appointed on 8/11/17) - EMC/ADM.33/62</li> <li>2) Agneta Tanui (appointed on 8/11/17 - EMC/ADM.33/63</li> </ol>



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>CGEM/028/MPC9-FORMAL DESIGNATION</p> <p>During the assessment, the county staff further provided the County's service charter and a complaints management flow chart to define the process of complaints management. Evidenced by CGEM/028/MPC9-SERVICE CHARTER</p> <p>There was the submission of the County's Complaints computerized log sheet for complaints received through the helpline 0704220220 evidenced by CGEM/028/MPC9-COMPLAINTS REGISTER</p> <p>Also, assessed was a manual complaint register with columns: Complaint #, date, caller details, complaint description, nature, acknowledgment, response &amp; outcome received.</p> <p>Minutes of complaints and compliments meeting held on 17/08/2018 and 20/11/2018 were provided for review by the assessors as evidence that complaints handling is discussed within the internal framework for handling complaints. This is</p>



Minimum Performance Conditions for Capacity & Performance Grants (level 2)	Reason and Explanation	Detailed indicator and Means of Verification	Comments	Assessment met / not met	Detailed assessment findings
					<p>evidenced by CGEM/028/MPC9-COMPLAINTS MINUTES</p> <p>A report to the County Secretary was presented as evidence of communication to management on complaints handling alongside complaints log sheet dated 24<sup>th</sup> June 2019,</p> <p>Further to that, the county team submitted feedback to a complaint from Mr. Keeneth Kimaiyo reference No. EMC/ADM.80/18. dated 29/7/18. This is evidenced by CGEM/028/MPC9-EVIDENCE OF FEEDBACK.</p> <p>The County of Elgeyo Marakwet provided reports/communication to management on complaints handled. This is evidenced by CGEM/028/MPC9- COMPLAINTS REPORT.</p>



### 4.3 PERFORMANCE MEASURES (PMS)

The summary of results for Performance Measures 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	Result (Score)	Detailed Findings	Assessment
<b>A. KRA 1: Public Financial Management; Maximum 30 points available</b>								
<b>(a). Strengthened budget formulation, resource mobilization, and allocation</b>								
1.1	Program Based Budget prepared using IFMIS and SCOA	Budget format and quality	The annual budget approved by the County Assembly is: a) Program Based Budget format.	Review county budget document, IFMIS uploads, The version of the budget approved by the assembly should be the Program Based Budget, not just the printed estimates by vote and line item (submissions may also include line item budgets prepared using other means, but these must match the PBB budget – spot check figures between different versions). Approved 2018/19 budget by the assembly & should be program based	<b>Maximum 2 points.</b> 2 milestones (a & b) met: 2 points If 1 of the milestones met: 1 point	1	The county has a program based budget which was submitted to County Assembly on 30/4/18 vide letter ref: EMC/FIN/4/33  Submission of the approved budget to County Assembly 9/7/18 EMC/FIN/4/28  <b>CGEM/028/KRA1/1.1a</b>	
			b) A budget developed using the IFMIS Hyperion module.	The draft budget should be developed in Hyperion, not developed in excel or other tool and then imported into IFMIS when approved.				
1.2		The budget process follows a clear budget 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	PFM Act, Sec 128, 129, 131. Review file copy of circular as issued, and check that a sample of entities received it by end of August.	<b>Max. 3 points</b> If all 5 milestones (a-e) achieved: 3 points If 3-4 items: 2 points If 2 items: 1 point If 1 or 0 items: 0 points.	2	The CECM-Finance for the County of Elgeyo Marakwet issued the budget circular to the county government entities on 30 <sup>th</sup> August 2017, as evidenced by <b>CGEM/028/KRA1/1.2a.</b>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			government entities with guidelines to be followed 31 <sup>st</sup> August 2017;				Some of the sampled entities were the Governor’s office and the Environment department.	
			b) County Budget review and outlook paper – submission by county treasury to CEC by 30 September 2017 to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15 <sup>th</sup> October 2017.	Review file copies; check that C-BROP was submitted to the Executive committee by 30 September and to the County Assembly no later than 15 <sup>th</sup> October and published online by 30 <sup>th</sup> November.			The CECM-Finance for the County of Elgeyo Marakwet issued the CBROP from the treasury to County Executive Committee on 20/9/18  CBROP from County Executive Committee Member for Finance to County Assembly was submitted on 28/9/18.	
			c) County fiscal strategy paper (FSP) – submission (by county treasury) of county strategy paper to county executive committee by 28 <sup>th</sup> Feb, County Treasury to submit to county assembly by 15 <sup>th</sup> of March and county assembly to discuss within two weeks after the mission.	Review file copies, check that FSP was submitted to the executive committee by 28 <sup>th</sup> Feb and to county assembly by the 15 <sup>th</sup> of March. Check assembly records for evidence that county assembly discussed FSP within 2 weeks of submission.			The County fiscal strategy paper for 2018 was submitted late to County Executive Committee on 9/4/18 as <b>evidenced by CGEM/028/KRA1/1.2c</b>  The County fiscal strategy paper for 2018 for the County of Elgeyo Marakwet was submitted late to County Assembly Clerk on 16/4/18 EMC/FIN/4/29. This is evidenced by <b>CGEM/028/KRA1/1.2c</b>	
			d) CEC member for finance submits budget estimates to	Check file copy for evidence of when estimates were submitted to the assembly.			The approved budget estimates for Elgeyo Marakwet County was	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			county assembly by 30 <sup>th</sup> April latest.				submitted to County Assembly on 30/4/18 vide letter reference EMC/FIN/4/33	
			e) County assembly passes a budget with or without amendments by 30 <sup>th</sup> June latest. 2018  <b>CHECKLIST</b>  Circular from CEC finance, county budget review outlook paper (CBROP); County fiscal strategy paper; approved budget 2018/19 both legislature & executive;  The process runs from Aug 2017- June 2018	Review evidence that budget was passed by the assembly by 30 <sup>th</sup> June			The County Assembly of Elgeyo Marakwet passed the budget on 27/6/18 as evidenced by	<b>CGEM/028/KRA1/1.2d</b>  <b>CGEM/028/KRA1/1.2e</b>
1.3		The credibility of the budget	a) Aggregate expenditure out-turn compared to the original approved budget.	N.B. For both measures, the original (not supplementary) budget is used  a) divide total expenditure in FY 2018/19 (from financial statements) by total budget for FY 2018/19	<b>Max. 4 points. (either – or +)</b>  a): If the deviation is less than 10%, 2 points. If the deviation is between 10 and 20%, 1 point. More than 20 %: 0 points.	2	Total expenditure 4,784,356,726  Total budget 5,020,012,841  Calculation 95.31%  Deviation of 4.7%	<b>CGEM/028/KRA1/1.3-credibility of budget</b>
			b) Expenditure	Follow the PEFA methodology	Ad b): If PI-2 percentage	2		1. Governor's office



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			composition for each sector matches the originally approved budget allocations (averaged across sectors). Checklist Quarterly Budget Progress Reports + refer to the PFM Act	for indicator PI-2. There is a spreadsheet available on the PEFA website that can be used to calculate the PI-2 percentage:  <a href="http://www.pefa.org/sites/pefa.org/files/En-PI-1%20%26%20PI-2%20Exp%20calculation-Jan%202015.xls">http://www.pefa.org/sites/pefa.org/files/En-PI-1%20%26%20PI-2%20Exp%20calculation-Jan%202015.xls</a>	(calculated using PEFA methodology) is less than 10 % then 2 points. If 10-20 % then 1 point. More than 20 %: 0 points.		<p>Budget: Ksh. 158,230,280 Expenditure; 156,453,240 Dev: 4.4%</p> <p>2. Health budget: 185,295,1675 Exp: 1794,2338,61 Dev:2.2</p> <p>3. Agriculture: Budget: 340,806,195 Exp: 278,723,910 Dev:13.7%</p> <p>4. Education Budget: 490,304,169 Exp: 456,907,990 Dev;/1.6%</p> <p>5. Roads Budget: 398,291,329 Exp: 392,308,598</p> <p>6. Finance Budget: 212,433,531 Expe: 210,600,560 Dev:4.6%</p> <p>7. Water Budget 445,449,031 Exp 432,609,700 Dev 3.5</p> <p>8. Trade Budet: 624,647,88 Exp; 576,583,50</p> <p>9. Sports Budget: 125,540,523 Exp: 115,574,542</p> <p>10. PSM Budget 167067755</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							Exp: 141892487 11. CPSB Budget: 59525783 Exp:55052726 12. Livestock: 140103775 Exp: 126662436 Expenditure composition for each sector deviation is <b>3.5%</b>	
<b>(b). Revenue Enhancement</b>								
1.4	Enhanced revenue management and administration	Performance in revenue administration	Automation of revenue collection, immediate banking and control system to track collection.	Compare revenues collected through automated processes as % of total own source revenue.	<b>Max: 2 points.</b> Over 80% = 2 points Over 60% = 1 point	<b>2</b>	Elgeyo Marakwet county established a revenue collection system in 2016 (contract herein signed on 15 <sup>th</sup> May, 2017 & evidenced by CGEM/028/KRA1/1.4 through direct remittance & agency collection.  The total revenue collected was Ksh. 141,609,040.00 against manual collections of Ksh 4,644,290 saw Kes136,964,750 collected through automation, 96.72% of total OSR revenue.	
1.5		Increase on a yearly basis in own-source revenues (OSR).	% increase in OSR from last fiscal year but one (the year before the previous FY) to previous FY  Checklist: compare Financial statements for FY 2017/18 &2018/19	Compare annual Financial Statements from the last two years (Use of nominal figures including inflation etc.).	<b>Max. 1 point.</b> If the increase is more than 10 %: 1 point.	<b>1</b>	The total values of OSR 2017/2018 Ksh. 105,482,226  The total values of OSR 18/19 = 141,609,040.00  The variance of OSR for	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							2017/18 v/s 2018/19 is Ksh. 36,126,814  This is a percentage increase of <b>34.25%</b> .  Evidenced by CGEM/028/KRA1/1.4	
<b>(c). Enhanced capacity of counties on execution (including procurement), accounting and reporting</b>								
1.6	Reporting and accounting in accordance with PSASB guidelines	Timeliness of in-year budget reports (quarterly to Controller of Budget).	<p>a) Quarterly reports submitted no later than one month after the quarter (consolidated progress and expenditure reports) as per format approved by Public Sector Accounting Standards Board (PSASB), submitted to the county assembly with copies to the controller of the budget, National Treasury and CRA.</p> <p>b) Summary revenue, expenditure and progress report is published in the local media and/or webpage.</p>	<p>Review File copies/records of when quarterly reports for FY 2018/19 were submitted to the county assembly, CoB and National Treasury. Review whether the reports met relevant formats.</p> <p>Review website and copies of local media for evidence of publication of summary revenue and expenditure outturns.</p> <p><b>CHECKLIST:</b> refer to PFM Act 166; CFAR, Section 8; website copy should be for 2018/19</p> <p>Also, note that the format for this report is on the national treasury website hence check if county report complies with the same.</p>	<p><b>Max. 2 points.</b></p> <p>(a &amp; b) At least 3 of 4 Submitted on time and published: 2 points.</p> <p>(a only): At least 3 of 4 Submitted on time only; not published: 1 point.</p>	2	<p>The County Government of Elgeyo Marakwet prepared quarterly progress and expenditure reports, submitted to statutory bodies as follows:</p> <p>Quarter 1 National Treasury – 31/10/18 Controller of Budget – EM/FIN VOL2/259 dated 31/10/18 EM/FIN VOL2/259 County Assembly – 31/10/18 EM/FIN/2/259 CRA – 31/10/18 EM/FIN VOL2/259</p> <p>Quarter 2 National Treasury – 24/1/19 ref EM/FIN/VOL2/269 Controller of Budget – 24/1/19 ref EM/FIN/VOL2/269 County Assembly - 23/1/19 ref EM/FIN/Vol2/269</p> <p>Quarter 3</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>National Treasury – 30/4/19 ref EM/FIN/Vol2/269            Controller of Budget – 29/4/19 ref EM/FIN/VOL2/269            County Assembly – 29/4/19 ref EM/FIN/VOL2/269</p> <p>Quarter 4            National Treasury – 30/7/19 EM/FIN/VOL2/292            Controller of Budget – 30/7/19 EM/FIN/VOL2/292            County Assembly – 30/7/19 EM/FIN/VOL2/292            CRA - 30/7/19 EM/FIN/VOL2/292</p> <p>Evidenced by CGEM/028/KRA1/1.6</p> <p>The summary revenue, expenditure and progress reports were published in the County website.</p>	
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 reports, 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.	<b>Max. 1 point.</b> All requirements met: 1 point	1	Upon review annual financial statements, bank reconciliations and related documents and appendixes to the Financial Statements of the County of Elgeyo Marakwet, they were found to follow the approved format as set by the Public Sector Accounting Standards Board (PSASB) and include	



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				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)			1. Fixed asset register 2. Execution reports 3. Inflows/out-flows 4. Appropriations accounts 5. Closing balances These are evidenced by CGEM/028/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 Position, including (as annexes): a. Schedule of imprest and advances; b. Schedule of debtors and creditors; c. Bank reconciliations and post in general ledger.	Review monthly reports as filed internally within Treasury when submitted for management review.  See also the CFAR Manual, p. 82 for guidelines.	<b>Max. 2 points.</b>  If all milestones (1-3) met for at least 10 out of 12 months: 2 points If 1 or 2: 1 point If none: 0 points.	2	The County Government of Elgeyo Marakwet provided monthly management reports with extracts herein indicated by evidence No. CGEM/028/KRA1/1.8 as follows: 1. Statements of receipts (Statement of receipts & monthly revenues) and payments (summary of monthly recurrent & development expenditures) 2. Budget execution report. 3. Financial position - Schedule of imprests - Schedule of debtors and creditors - Bank reconciliations
1.9		Asset registers up-to-date and inventory	Assets registers are up-to-date and independent physical inspection and	Review assets register and sample a few assets to ensure accuracy.	<b>Max. 1 point.</b>  Consolidated registers are up-to-date: (can be	1	Asset register for the County of Elgeyo Marakwet was made available for review by



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			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;	N.B: Assets register need only to contain assets acquired by county governments since their establishment.	electronic or manual) 1 point.		the assessment team and it included assets acquired from 2013, categorized in classes & categories. Furthermore, it was updated to include assets acquired in the Financial year of review. Asset tagging /labeling was verified on sampled items providing traceability through the departments.	
<b>(d). Audit</b>								
1.10.	<b>Internal audit</b>	Effective Internal audit function	An internal audit in place with quarterly Internal Audit reports submitted to Internal Audit Committee (or if no IA committee in place, then reports submitted to Governor)	Review file copy of audit reports as submitted to the Internal Audit Committee or Governor (as applicable) for the FY 2018/19. Check against the PFM Act Sec 155	<b>Max. 1 point.</b> 4 quarterly audit reports 2018/19 submitted in the FY 2018/19: 1 point.	1	The County Government of Elgeyo Marakwet submitted for assessment the following IA reports to the chair of the IA committee: Q1 – 6/10/18 EMC/AC/VOL1/1/2018 Q2 – 10/1/19 EMC/AC/VOL1/2/2018 Q3 – 9/4/19 EMC/AC/VOL1/3/2019 Q4 – 11/7/19 EMC/AC/VOL1/5/2018  These are evidenced by. <b>CGEM/028/KRA1/1.10</b>	
1.11		Effective and efficient internal audit committee	Internal Audit/ Audit committee established and evidence of review of reports and follow-up.	Review the composition of the IA/Audit Committee. Review minutes etc. of committee meetings for evidence of review of internal audit reports.	<b>Max. 1 point.</b> IA/Audit Committee established and reports reviewed by the Committee and evidence of follow-up: 1 point.	1	The County Government has in place an internal audit committee that was constituted on 2 <sup>nd</sup> February 2017 with the following members:	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
				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).			1. Ms. Katwa Jepkosgei 2/2/17 reg EMC/F/5/1/8 2. Edwin Rotich EMC/F/5/1/9 3. Andrew Kiopchoge EMC/F/5/1/10 4. Reuben Chebii EMC/F/5/1/11 5. Phillip Seronei EMC/ADM/F/1/12 The appointment letters for the chair and the members are provided herein as evidence No. CGEM/028/KRA1/1.11 Minutes of committee follow-up provided with attendance lists were also submitted as evidence No. CGEM/028/KRA1/1.11	
1.12	External audit	Value of audit queries	The value of audit queries as a % of total expenditure Use 2016/17 & 2017/2018	Review audit report from OAG. Divide the value of audit queries as per the Audit Report by the total expenditures as per the financial statement.	<b>Max. 2 points</b> Value of queries less than 1% of total expenditures: 2 points Less than 5% of total expenditure: 1 point	<b>0</b>	The value of audit queries for the County of Elgeyo Marakwet as a percentage of the total expenditure is calculated as:  Queries for 17/18 Ksh. 621, 890,303.50  Expenditure Ksh. 3,928,050,193.00  17/18 = 15.83%  Queries for 16/17	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							1,554,793,577.45 Expenditure 3,999,680,847.00 16/17 = 38.87% the value of queries is not less than 5% of total expenditure as evidenced by <b>CGEM/028/KRA1/1.12</b>	
1.13		Reduction of audit queries	The county has reduced the value of the audit queries (fiscal size of the area of which the query is raised).  Checklist: clearance report from OAG	Review audit reports from OAG from the last two audits.	<b>Max. 1 point.</b> Audit queries (in terms of value) have reduced from last year but one to last year or if there are no audits queries: 1 point.	1	Value of queries raised by the OAG for the Financial Years 2016/17 & 2017/2018 as:  Queries for 16/17 1,554,793,577.45  Queries for 17/18 621, 890,303.50  Reduction 621, 890,303.50  There was an overall reduction of the value of queries as evidenced by <b>CGEM/028/KRA1/1.13</b>	
1.14		Legislative scrutiny of audit reports and follow-up	Greater and more timely legislative scrutiny of external audit reports within the required period and evidence that audit queries are addressed Use 2016/17 & 2017/2018	Minutes from meetings show scrutiny of audit reports.  Reports on file demonstrating that steps have been taken to address audit queries.	<b>Max. 1 point.</b> The tabling of the audit report and evidence of follow-up: <b>1 point.</b>	1	Scrutiny of OAG Reports as per letters to County Assembly dated 9/7/19 ref EMC/FIN/VOL2/273 & 29/8/19 ref EMC/FIN/VOL2/275 & 4/9/19, ref EMCA/CS/PAC/4/10/52 were provided into evidence	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							as herein evidenced by CGEM/028/KRA1/1.14
<b>(e). Procurement</b>							
1.15	Improved procurement procedures	Improved procurement procedure s 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 within the sample.	<b>Max. 6 points.</b> a) IFMIS Steps: <15steps=0 points; 15-23=1 point; 24-25=2points	6	The County Government of Elgeyo Marakwet follows all the 25 steps in the IFMIS procurement process. The following procurements were sampled: 1. Maintenance Kabulwo-Kipchugugu road in Emso Ward 2. Pipeline extension at Bugar-Centre Sabor water project 3. Construction of 50mm <sup>3</sup> masonry water tank @ Kowoi Water Project 4. Construction of Chebonet ECD in Kamariny Ward 5. Maintenance of Chepsamo-Seven-up Road in Kaptarakwa Ward These are evidenced by CGEM/028/KRA1/1.15a
			b) County has submitted required procurement reports to PPRA on time.	Review reports submitted. Annual reports, plus reports of all procurements above a threshold size.	b) Timely submission of quarterly reports to PPRA (both annual reports plus all reports for procurements above proscribed thresholds): <b>1 point</b>		Elgeyo Marakwet County submitted to the PPRA quarterly procurement reports as: Q1: 12/10/18 ref SCM/PPRA/005/2019 Q2 14/1/19 ref



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							SCM/PPRA/006/2019 Q3 12/4/19 SCM /PPRA /007/2019 Q4 12/7/19 ref SCM/PPRA/007/2019 These are evidenced by <b>CGEM/028/KRA1/1.15b</b>	
			Adherence with procurement thresholds and procurement methods for the type/size of procurements. (goods and services above 2M check if advertised for open tender e.g. is there a newspaper advert in newspapers? If below 2M was requested for quotation done? Works above 4M was open tender done?)	Check the documentation on a sample of 5 procurements of different sizes at random.	c) Adherence with procurement thresholds and procurement methods for the type/size of procurement in a sample of procurements: <b>1 point.</b>		The County Government of Elgeyo Marakwet was in adherence to procurement thresholds and procurement methods for the type/size of procurement. The following types of procurements as under listed were sampled:  <b>RFQ</b> Kapyego Water Project Amount: Ksh. 997,530 Awarded to: Toinam Investments Ltd RFQ # 723639  Fencing of Kapsowar Market Awarded to: Uva World Limited Amount; 403,573 RFQ#: 705125  Construction of Kaptet Twin ECD classroom Awarded to: Kiroron Construction & Enterprises Ltd Amount: 998,272.00 RFQ#: 722919	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p><b>Open Tender</b> Maintenance of Cherorget-Simit-Muskut Road in Soy North Ward Tender #: 701208-2018/2019 Amount: 3,269,000 Awarded to; Stalux Enterprises ltd</p> <p>Proposed cabro pavement &amp; parking lots at County Treasury Awarded to: Patrego Investments Limited Amount: 19,577,200 Tender #: 713971-2018/2019</p> <p>This is evidenced herein as <b>CGEM/028/KRA1/1.15C</b></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.	Check for secure storage space and filing space, and for a random sample of 10 procurements of various sizes, review the contents of files to make sure they are complete.	d) Storage space and single complete files for a sample of procurements: <b>1 point</b>		The County Government of Elgeyo Marakwet has a dedicated room within the procurement office for secure storage of procurement files.	
			Completed evaluation reports, including individual evaluator scoring against pre-defined documented evaluation criteria, and signed by each member of the evaluation team,	Check files on a sample of 5 procurements, especially the evaluation reports.	e) Evaluation reports complete: <b>1 point</b>		Evaluation reports including individual evaluator scoring against pre-defined documented evaluation criteria were provided as herein evidenced by CGEM/028/KRA1/1.15C	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
<b>B</b> Key Result Area 2: Planning and M&E Max score: (tentative 20 points)								
2.1	County M&E system and framework developed	County M&E/ Planning unit and frameworks in place.	a) Planning and M&E units functional (may be integrated into one). (check organogram) 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 deployment/appointment) c) Budget is dedicated for both planning and M&E (check either departmental/consolidated budget)	Review staffing structure, organogram, job descriptions, and other relevant documents. Review budget documents to see if there is a clearly identifiable budget for planning and M&E functions in the budget. Review the M&E Plan/ Framework/ County Indicator handbook	<b>Maximum 3 points</b> The scoring is 1 point per measure Nos. a-c complied with A: 1 point B: 1 point C: 1 point	3	Planning and M&E units for the County Government of Elgeyo Marakwet are operational as evidenced in the approved organogram, signed by the County Secretary and herein evidenced by <b>CGEM/028/KRA2/2.1a.</b> The County of Elgeyo Marakwet have dedicated Planning & M&E officers, namely: M&E officer is Mr. Titus Kosgey appointed on 24/9/14 vide letter ref: EMC/EPD/SI/17 The planning officer is Mr. Felix Kimwetich appointed on 30/9/14 vide letter ref: EMC/EPD/SI/18 Moreover, each line ministry has an appointed M&E officer as evidenced by CGEM/028/KRA2/2.1b. The budget for M&E is Ksh. 10,000,000	
2.2		County M&E Committee in place and functioning	County M&E Committee meets at least quarterly and reviews the quarterly	Review minutes of the quarterly meeting in the County M&E Committee to see whether the	<b>Maximum: 1 point</b> Compliance: <b>1 point.</b>	1	County Monitoring & Evaluation Committee for the County of Elgeyo	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
			<p>performance reports. (I.e. it is not sufficient to have hoc meetings).</p> <p>Minutes &amp; appointment letters</p>	<p>committee met quarterly and whether quarterly performance reports were reviewed.</p>			<p>Marakwet is in place with 10 Members appointed on 3/4/18 chaired by County Secretary &amp; Director of Planning as secretary. The membership comprises of:</p> <ul style="list-style-type: none"> <li>- Kiprono Chepkok</li> <li>- Abraham Barsosio</li> <li>- Edwin Kisang</li> <li>- Isaac Kamar</li> <li>- Joseph Kiyeng</li> <li>- Shadrack Yatich</li> <li>- Pamela Rono</li> <li>- Anita Kimwatan</li> <li>- Anne Kibosia</li> </ul> <p>Minutes of the COMEC meeting held on 28<sup>th</sup> September 2018 was submitted alongside the Elgeyo Marakwet Monitoring &amp; Evaluation Policy action plan as evidenced by <b>CGEM/028/KRA2/2.2</b></p>
2.3	County Planning systems and functions established	CIDP formulated and updated according to guidelines	<p>a) CIDP: adheres to structure of CIDP guidelines (2017) issued by the State Department of Planning</p> <p>b) CIDP (2018-2022) has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key Performance indicators</p>	<p>CIDP submitted in the required format (as contained in the CIDP guidelines published by the State Department of Planning</p> <p>See County Act, Sec 108, Sec 113 and Sec.149 CIDP guidelines, 2017, chapters 4 and 6.</p>	<p><b>Maximum: 3 points</b> 1-point compliance with each of the issues a, b, c <b>A: 1 point</b> <b>B: 1 point</b></p>	2	<p>a. The County of Elgeyo Marakwet prepared the 2018-2022 County Integrated Development Plan (CIDP), which adhered to the CIDP guidelines issued by the State Department of Planning.</p> <p>b. The assessment team noted that the County of</p>



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			included;				Elgeyo Marakwet CIDP had clear objectives, priorities and outcomes, reporting mechanism, result matrix, key	
			c) The annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue.	Check the ADP cost for FY 2018/19 and compare to County total revenue/receipts of FY 2017/18	<b>C: 1 point</b>	<b>1</b>	ADP 2018/19 = Kshs. 860,537,332 Revenue 2017/18= Kshs. <b>4,189,800,983</b> 860537,332/4,189,800,983 * <b>100</b> = <b>21%</b>	
2.4			ADP submitted on time and conforms to guidelines	a) Annual development plan submitted to Assembly by September 1 <sup>st</sup> 2017 in accordance with the required format & contents. b) ADP contains issues mentioned in the PFM Act 126,1, <u>number A-H</u>	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 <sup>st</sup> . Check the ADP against the PFM Act <b>Maximum: 4 points</b> Compliance a): 1 point. b) 7-8 issues from A-H in PFM Act Art 126,1: 3 points 5-6M, issues: 2 points 3-4 issues: 1 point, see Annex	<b>3</b>	a.The County Government of Elgeyo Marakwet provided the submission letter for the Annual Development Plan to the County Assembly dated 16/4/18 vide reference # EMC/FIN/4/30 as evidenced by CGEM/028/KRA2/2.4a b. The ADP for the county of Elgeyo Marakwet contains the following as required by the act: -Strategic priorities - Chapter 3, pg 9 -Programs to be delivered - Chapter 3 pg 32	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<ul style="list-style-type: none"> <li>- Payment by county govt - Chapter 5. Pg 37</li> <li>- List of significant capital development - Chapter 2. Pg 6</li> <li>- Details of resource development - Chapter 3. Pg 32</li> <li>- Summary budget - Chapter 2. Pg 6</li> </ul>	
2.5		The linkage between CIDP, ADP, and Budget	Linkages between the ADP and CIDP and the budget in terms of costing and activities. (costing of ADP is within +/- 10 % of final budget allocation)	<p>a) Review the three documents: CIDP, ADP and the budget. The budget should be consistent with the CIDP and ADP priorities.</p> <p>b) The total costing of the ADP is within +/- 10% of the approved budget allocation. Sample 10 projects across sectors and check that they are consistent with the CIDP, ADP and the Budget.</p>	<b>Maximum: 2 points</b> Linkages and within the ceiling: 2 points	2	<p>The projects in the ADP for the County of Elgeyo Marakwet are aligned to specific programs in the CIDP.</p> <p>The following projects were sampled:</p> <ol style="list-style-type: none"> <li>1. Kabonon/Kapkamak irrigation scheme (CIDP allocation) Pg. 286 = 3,000,000, ADP (Pg. 39)17/18= 2,529,962, Budget (Pg. 185) = 2,529,962</li> <li>2. Construction of a sale yard at Kapyego Trading Centre (CIDP allocation) Pg. 314 = 1,800,000, ADP (Pg. 61)17/18= 1,500,000, Budget (Pg. 204) = 1,500,000</li> <li>3. Construction of lock up shops at Kamosor</li> </ol>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>(CIDP allocation) Pg 324 = 1,800,000, ADP (Pg 66)17/18= 1,500,000, Budget (Pg 208) = 1,500,000</p> <p>4. Construction of twin workshops at flax VTC phase 1 (CIDP allocation) Pg. 218 = 18,000,000, ADP (Pg. 41)17/18= 5,000,000, Budget (Pg. 186) = 5,000,000</p> <p>5. Tenden ECD classroom (CIDP allocation) Pg. 213 = 3,000,000, ADP (Pg. 43)17/18= 2,500,000, Budget (Pg. 188) = 2,500,000</p> <p>6. Upgrade of ward field to stand sports facility (CIDP allocation) Pg. 192 = 12,000,000, ADP (Pg. 66)17/18= 4,000,000, Budget (Pg. 208) = 4,000,000</p> <p>7. Mungwa dispensary (CIDP allocation)Pg 226 = 19,300,000, ADP (Pg 45)17/18= 6,000,000, Budget (Pg 190) = 6,000,000</p> <p>8. Sabor-Iten water supply (CIDP allocation)Pg</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							<p>271 = 9,000,000, ADP (Pg 56)17/18= 7,000,000, Budget (Pg 199) = 7,000,000</p> <p>9. Turesia-Kalwal-Keyogoi-Kiptabach Road (CIDP allocation)Pg 180 = 20,000,000, ADP (Pg 47)17/18= 4,500,000, Budget (Pg 217) = 4,500,000</p> <p>10. Chasubet-Kapkanyar-Kabaranget-Kipteber Pry Junction Road. (CIDP allocation) Pg 178 = 8,000,000, ADP (Pg 73)17/18= 8,000,000, Budget (Pg 213) = 8,000,000</p> <p>Out of the 10 sample projects, all had Zero variance. This is evidenced by CGEM/028/KRA2/2.5</p>
2.6	Monitoring and Evaluation systems in place and used, with feedback to plans	Production of County Annual Progress Report	<p>a) County C-APR produced;</p> <p>b) Produced timely by September 1<sup>st</sup></p> <p>c) C-APR includes clear performance progress against CIDP indicator targets and within result matrix for results and implementation. (look at the indicators in</p>	<p>Check the approved C-APR document for the date of submission.</p> <p>Check contents of C-APR and ensure that it clearly links with the CIDP indicators. (N.B. if results matrix is published separately, not as part of the ADP, the county still qualifies for these points)</p>	<p><b>Maximum: 5 points.</b></p> <p>a) C-APR produced = 2 points</p> <p>b) C-APR produced by 1<sup>st</sup> September: 1 point.</p> <p>c) C-APR includes performance against CIDP indicators and targets and with result matrix for results and implementation: 2</p>	5	<p>The County Government of Elgeyo Marakwet prepared their C-APR.</p> <p>County Annual Progress Report 2017/18 produced by 12/7/19 and submitted to the County Assembly vide letter EMC/FIN/CAPR/1/14</p> <p>The County Annual Progress Report for 2017/18 includes</p>



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			the CIDP matrix chap 6)		points.		clear performance progress against CIDP indicators and targets in place. These are evidenced by CGEM/028/KRA2/2.6	
2.7		Evaluation of CIDP projects	Evaluation of completed major CIDP projects conducted on an annual basis e.g. flagship project, wide outreach, has full impact assessment reports, mid-term reviews, etc..)	Review evaluation reports for at least 3 large projects.	<b>Maximum: 1 point.</b> Evaluation is done for at least three large projects: 1 point.	1	Evaluation of completion of major CIDP projects was done in the financial year as sampled below: 1. Evaluation of social/economic empowerment for youth & women 8/5/19 2. Cheprusir/Embolot water farrow 3. Supply & delivery of medication equipment's to county health facilities May 2019 These are evidenced by <b>CGEM/028/KRA2/2.7</b>	
2.8		Feedback from the Annual Progress Report to Annual Development Plan	Evidence that the ADP and budget are informed by the previous C-APR. C-APR 2016/17 informing ADP 2018/19 and budget	Review the two documents for evidence of C-ARP informing ADP and budget	<b>Maximum: 1 point.</b> Compliance: 1 point.	1	The Elgeyo Marakwet County Annual Progress Report for FY 2016/17 informs the ADP for FY 2018/19. This is evidenced by <b>CGEM/028/KRA2/2.8</b>	
<b>C</b>	<b>Key Result Area 3: Human Resource Management</b> <b>Max score: 12 points.</b>							
3.1	Staffing plans based on functional and organization on assessment s	Organizational structures and staffing plans	a) Does the county have an approved staffing plan in place, with annual targets? b) Is there clear evidence	Review approved staffing plan Review capacity Building Assessment / CARPS report <i>In future years (after first AC&amp;PA), there has to be evidence that</i>	<b>Maximum 3 points:</b> First self-assessment: a = 2 points, b = 1 point c= NA. <i>Future ACPAs: a=1 point,</i>	2	The Elgeyo Marakwet County Staffing Plan with annual targets for FY 2018/19 was submitted as evidenced by <b>CGEM/028/KRA3/3.1a</b>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
			that the staffing plan was informed by a Capacity Building assessment / functional and organizational assessment and approved the organizational structure. c) Have the annual targets in the staffing plan been met?	<i>CB/skills assessments are conducted annually to get points on (b).</i> Targets met within +/- 10 %. Check for Letters, minutes	<i>b = 1 point, c = 1 point</i>		Elgeyo Marakwet County conducted a staff Needs Assessment that informed the staffing plans was provided as evidenced by <b>CGEM/028/KRA3/3.1b.</b>  None of the county's annual staffing targets have been met owing to a total freeze on recruitment as evidenced by <b>CGEM/028/KRA3/3.1c.</b>
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; future ACPAs: all staff (sample check)</i> b) Skills and competency frameworks in place and Job descriptions adhere to these First self-assessment: Chief officers/heads of departments; <i>2nd ACPA: all heads of units; future ACPAs: all staff (sample check)</i> c) Accurate recruitment, appointment and promotion records available	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	<b>Maximum score: 4 points</b> All a, b and c: 4 points. Two of a-c: 2 points One of a-c: 1 point	4	Job Descriptions for the following staff were provided as mentioned below and they met relevant staff qualifications.  <ul style="list-style-type: none"> <li>- Chief Officer – Sports, Culture, Youth, Gender &amp; Social Services.</li> <li>- Director - Administration</li> <li>- Ward Administrator</li> <li>- Clerk</li> <li>- Chief Driver</li> <li>- CECM</li> <li>- Revenue Officer</li> </ul> <b>Evidenced by CGEM/028/KRA3/3.2a.</b>  Approved skills and competency frameworks is in place and Job descriptions adhere to these as sampled by the Competency Framework for County



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							<p>Public Service 2018/2019. This is evidenced by CGEM/028/KRA3/3.2b.</p> <p>Elgeyo Marakwet County follows accurate recruitment and promotion procedures as evidenced by the following sample files:</p> <p>1. Advertisement: 13/12/2018 Vacancy No. 4/2018 – Senior Assistant Programme officer Interview Venue: County Public Service Board Offices, Iten Date: 20<sup>th</sup> February 2019 Appointment: 9<sup>th</sup> April 2019 Candidate: Kibet Dynalyne Jebiwot</p> <p>2. Advertisement: 13/12/2018 Vacancy No. 3/2018 – Environment Officer II Interview Venue: County Public Service Board Offices, Iten Date: 21<sup>st</sup> February 2019 Appointment: 4<sup>th</sup> April 2019 Candidate: Claudius Kemboi C</p>	



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							3. Advertisement: 16/11/2018 Vacancy No. 2/2018 – Ward Administrator-Sengwer Ward Interview Venue: County Public Service Board Offices, Iten Date: 19 <sup>th</sup> February 2019 Appointment: 15 <sup>th</sup> March 2019 Candidate: Joan Jepkosgei Cheboswony Evidenced by <b>CGEM/028/KRA3/3.2a.</b>
3.3	Staff appraisal and performance management operationalized in counties	Staff appraisals and performance management	a) The staff appraisal process developed and operationalized.  b) Performance contracts developed and operationalized for CEC Members, Cos, and Directors	a) Review staff appraisal, mid-year review, and annual evaluation.  b) Review county Public Service Board Records for signed performance contracts, quarterly reports, and annual evaluation.	<b>Maximum score: 5 points.</b> a) Staff appraisal for all staff in place: <b>1 point</b>  b) Performance Contracts in place for CEC Members and Chief Officers: <b>1-point</b> Performance Contracts in place for the level below chief officers <b>1 point</b>	5	Annual and midyear staff appraisal was carried out at the departmental level for the Financial Year 2018/2019 as sampled: - George Kimaiyo – Director of ICT - Sarah Kipruto – Chief Agriculture officer - Alice Kerubo – office administrator Evidenced by <b>CGEM/028/KRA3/3.2a.</b>  Performance Contracts in Elgeyo Marakwet County were signed & cascaded to the director as sampled: - CECM – Health & Sanitation services



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							<ul style="list-style-type: none"> <li>- CECM – Roads public works &amp; transport</li> <li>- CECM – Youth &amp; Sports</li> </ul> <p>The above samples' performance contracts were signed on 13/10/18 by the Governor, respective CECM and the County Secretary.</p> <p>The respective department's performance contracts were cascaded to the levels of Director and Chief Officer and consequently signed by respective officers.</p> <p>The County undertook PC evaluation and a schedule of dates for performance contract evaluation was provided Evidenced by CGEM/028/KRA3/3.2b</p>	
			c) service re-engineering undertaken	c) Review re-engineering reports covering at least one service	c) Service delivery processes re-engineered in counties: <b>1 point</b>		<p>Service re-engineering was carried out in the Department of Health (June 2018) in the form of an outreach for immunization at the ward level for the following:</p> <ul style="list-style-type: none"> <li>- PCV10</li> <li>- Rota</li> <li>- BCG-TB</li> <li>- FIC-measles</li> <li>- Yellow fever</li> <li>- Oral Polio</li> </ul>	



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							- IPV Another service re-engineering conducted was to offer Huduma Centre services at the ward level – mobile outreach activity (Huduma Mashinani at Soko Bora Trading Centre – 13/12/18) ref: EMC/HUD/MSN/VOLI/56 Evidenced by <b>CGEM/028/KRA3/3.2b</b>	
			d) RRI undertaken	d) Review RRI Reports/evidence for a maximum of 100-day period	d) Rapid Results Initiatives-RRIs launched/up-scaled: 1 point		The County of Elgeyo Marakwet conducted a series of RRI activities in various departments: - <b>HR</b> – filing of staff personnel file 5/5/19 - <b>Roads</b> – Fast track project implementation for improved service 26/11/18 – 5/3/19 - <b>Agriculture &amp; Irrigation</b> – Staff participation in CIDP & ADP implementations 26/11/18 – 5/3/19 Evidenced by <b>CGEM/028/KRA3/3.2b</b>	
<b>D</b>	<b>Key Result Area 4: Civic Education and Participation - A citizenry that more actively participated in county governance affairs of the society</b> <b>Max score: 18 points</b>							
4.1	Counties establish functional Civic education Units	CEU established	Civic Education Units established and functioning: (a) Formation of CE	County Government Act, sec 99-100. Review relevant documentation	<b>Maximum 3 points.</b> CEU fully established with all milestones (a)-	<b>3</b>	Elgeyo Marakwet County has in place a Civic Education Unit as indicated in the	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
			units (b) Dedicated staffing and (c) Budget, (d) Programs planned, including curriculum, activities, etc. and (e) Tools and methods for CE outlined.  Policies must be approved by the County Assembly	to ascertain whether measures have been met (Approved Organogram, Appointment letters  Budget line Approved annual Civic education work plan Booklets, curriculum)	(e) complied with: 3 points. 2-4 out of the five milestones (a-e): 2 points Only 1 met: 1 point.		County's staff establishment and organogram structure herein evidenced by <b>CGEM/028/KRA4/4.1a</b>  Appointment letters for civic education coordinators and department contact persons as herein listed: Agnetta Tanui, appointed 9/2/18 EMC/PSB/ACT/003/18 Jepkosgey Kitony appointed 9/2/18 EMC/PSB/JK/002/2018  Joyce Kisang appointed 9/2/18 EMC/PSB/JJK/001/2018  Richard Rutto appointed 9/2/18 15/8/15 EMC/PSB/RRK/01/15  Jacob Aiyenda (health) appointed on 24/5/18 EMC/ADM/69/11/16  Caroline Chebii Appointed 9/2/18 EMC/PSB//CC/004/2018  The Civic Education Department had a dedicated budget of = <b>2.9M</b> . This is evidenced by CGEM/028/KRA4/4.1b	



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							<p>Programs planned for the County of Elgeyo Marakwet were contained in their annual work plan for the financial year provided. Alongside is the civic education curriculum developed.</p> <p>Some of the methods used for Civic Education by the County of Elgeyo Marakwet include advertisements in local radio stations and printing of the Elgeyo Marakwet newsletter as evidenced by</p> <p><b>CGEM/028/KRA4/4.1e</b></p>	
4.2		Counties roll out civic education activities	Evidence of roll-out of civic education activities – (minimum 5 activities). Minutes/reports/attendance lists	<p>County Government Act, sec. 100.</p> <p>Examples of relevant evidence include engagements with NGOs to enhance CE activities/joint initiatives on the training of citizens etc. It needs to be clearly described and documented in a report(s) as a condition for availing points on this.</p> <p>Initiating memos</p> <p>Approvals for the program</p> <p>Attendance lists</p>	<b>Maximum 2 points.</b> Roll out of minimum 5 civic education activities: 2 points.	2	<p>The county rolled out the civic education activities below:</p> <ol style="list-style-type: none"> <li>1. Civic education/sensitization on climate change on 08/04/18</li> <li>2. Civic education on a climate-smart project on 21/6/19</li> <li>3. Civic education on municipality mandate.</li> <li>4. Listening tour aftermath report held on 5-6/7/18.</li> <li>5. Civic education on farmers' capacity building</li> </ol>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							inwards. These reports and activities had initiating memos as evidenced by CGEM/028/KRA4/4.1e	
4.3	Counties set up institutional structures systems & process for Public Participation	Communication framework and engagement.	a) System for Access to information/ Communication framework in place, operationalized and public notices and user-friendly documents shared In advance of public forums (plans, budgets, etc.)	County Governments Act, sec 96.  Review whether counties have used the communications channels described in the County Governments Act, and as elaborated in the Public Participation Guidelines and Civic Education Framework.	<b>Maximum 2 points.</b> a) Compliance: <b>1 point.</b>	<b>2</b>	A System for Access to information/ Communication framework is in place as evidenced by the following: 1. Notice on public participation on 19/2/18 at Kaptarakwa Community Resource Centre for the development of CIDP and ADP.  There is an approved Information and Communication Policy May 2019  This is CGEM/028/KRA4/4.3a	
			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.)	b): Compliance: <b>1 point</b>		Appointment letter of Civic Education Officer (Michael Sengech appointed on 11/6/18 as information access officer ref: EMC/EDUC/2/IV/127) was provided as evidenced by CGEM/028/KRA4/4.3b. Further, there was evidence of the county sending out the officer for training on information access to	



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4.4		Participatory planning and budget forums held	<p>a) Participatory planning and budget forums held in the previous FY before the plans were completed for on-going FY.</p> <p>b) Mandatory citizen engagement /consultations held beyond the budget forum, (i.e. additional consultations)</p> <p>c) Representation: meets requirements of PFMA (section 137) and stakeholder mapping in public participation guidelines issued by MoDP. e.g. lists of attendance have a governor, CECs, NGOs, professional bodies, etc.</p> <p>d) Evidence that forums are structured (not just unstructured discussions)</p> <p>e) Evidence of input from the citizens to the plans, e.g. through minutes or other documentation</p> <p>f) Feed-back to citizens on how proposals have been handled.</p>	<p>PFM Act, sec 137; County Act, 91, 106 (4), Sec. 115.</p> <p>Review files copies of Invitations and minutes from meetings in the forums to establish that relevant forums were held.</p> <p>Review the list of attendances to establish that the representation requirement was met.</p> <p>Review materials used to structure meetings Review minutes of meetings and resulting in planning documents to identify links.</p> <p>Feedback reports/minutes of meetings where feedback provided to citizens</p>	<p><b>Maximum 3 points.</b></p> <p>All issues met (a-f): 3 points.</p> <p>4-5 met: 2 points.</p> <p>1-3 met: 1 point.</p>	3	<p>enhance his skills.</p> <p>Participatory planning and budget forums held at Kapchumutwa &amp; Kamariny Wards. Sessions for program based budget preparation as evidenced by <b>CGEM/028/KRA4/4.4a</b></p> <p>Mandatory citizen participation forum for 2018-2022 CIDP held at various venues in all wards across Elgeyo Marakwet County. evidenced by <b>CGEM/028/KRA4/4.4c</b></p> <p>Meets requirements of PFMA stakeholder mapping Listening tour 17/7/18 with attendance of PWD, Youth Council &amp; Council of Elders. Guidelines on CIDP preparation 10/3/18 indicated stakeholders' farmers group, board of management, peace committees &amp; co-operative societies. evidenced by <b>CGEM/028/KRA4/4.4d</b></p> <p>Evidence of structured meeting availed held 18/19 finance bill forum dated 17<sup>th</sup> August 18 as per shared program.</p>	



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							evidenced by CGEM/028/KRA4/4.4e
4.5.		Citizens' feedback	Citizens feedback on the findings from the C-APR/implementation status report.	Review records of citizen engagement meetings on the findings of the C-APR. Review evidence from how the inputs from engagement meetings have been noted and have been reflected on by the county (e.g. a documented management response to citizen inputs).	<b>Maximum points: 1</b> Compliance: 1 point.	1	Dissemination of 2018 C-APR findings were held with a sample of the report of projects in the C-APR being discussed; Kesum-Kapchebit Water Project meeting on 29/10/18 as evidenced by CGEM/028/KRA4/4.5
4.6		County core financial materials, budgets, plans, accounts, audit reports, and performance assessment published and shared	Publication (on the county web- page, in addition to any other publication) of: i) County Budget Review and Outlook Paper by 1 <sup>st</sup> Sept 2017 ii) Fiscal Strategy Paper shows how you raise n spend revenue ready by 28 <sup>th</sup> Feb 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	PFM Act sec 131. County Act, sec. 91. Review county web-page to see if copies of each document are available at the time of self-assessment <i>(N.B.) Publication of Budgets, County Integrated Development Plan and Annual Development Plan is covered in Minimum Performance Conditions)</i>	<b>Maximum points: 5</b> 9 documents available: 5 points 7-8 documents available: 4 points 5-6 documents available: 3 points 3-4 documents available: 2 points 1-2 documents available: 1 point 0 documents available: 0 points.	5	All documents were on the county website as listed below: i) County Budget Review and Outlook Paper by 1 <sup>st</sup> Sept 2017 ii) Fiscal Strategy Paper shows how you raise n spend revenue ready by 28 <sup>th</sup> Feb 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



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
			reports (C-APR) with core county indicators vii) Procurement plans and awards of contracts				reports (C-APR) with core county indicators vii) Procurement plans and awards of contracts
4.7		Publication of bills	All bills introduced by the county assembly have been published in the national Gazette or county website, and similarly for the legislation passed within the FY 2018/2019	County Act, sec. 23. Review gazetted bills and Acts, etc. Review the county website.	<b>Maximum 2 points</b> Compliance: 2 points.	<b>2</b>	The county published the following bills on their website: Elgeyo Marakwet County Cultural Heritage Bill 2019 Elgeyo Marakwet County Finance Act 2018
<b>E Result Area 5. Investment implementation &amp; social and environmental performance</b> <b>Max score: 20 points. (N.B. Points breakdown will change in third ACPA, see Capacity &amp; Performance Assessment Manual)</b>							
5.1	Output against the plan measures of levels of implementation	Physical targets as included in the annual development plan implemented	The % of planned projects (in the ADP) implemented in last FY according to completion register of projects (quarterly project reports, certificate of completion) <i>Note: Assessment is done for projects planned in the Annual Development Plan for that FY and the final contract prices should be used in the calculation. Weighted measures where the size of the projects is factored in. If there are more than 10 projects a sample of 10 larger projects is made and weighted according to the size.</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. Use all available documents in assessment, including: - <b>CoB reports,</b> - <b>Procurement progress reports,</b> - <b>Quarterly reports on projects, M&amp;E reports etc. MO</b> -Project Implementation register (Completed) -Certificate of completion -Timelines	<b>Maximum 4 points</b> More than 90 % implemented: 4 points 80-90 %: 3 points 70-79%: 2 points 60-69%: 1 points Less than 60 %: 0 point. If no information is available on completion of projects: 0 points will be awarded. An extra point will be awarded if the county maintains a comprehensive, accurate register of completed projects and status of all ongoing projects (within the total max points available, i.e. the overall max is 4 points)	<b>4</b>	Hereinbelow is the implementation progress for 10 projects noted and sampled from the completion register: 1. Chesongoch Water Project – 100% Complete 2. Kapkondot Water Project – 100% Complete 3. EMsoo/Kokwao tank – 100% Complete 4. Construction of ward offices-Endo – 100% Complete 5. Botanical gardens – 100% Complete 6. Kapterit Water Project – 100% Complete 7. Kapkechir-Kuserwo Footbridge – 100% Complete



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							8. Kamwosor Sale Yard – 100% Complete 9. Construction of pediatric wing – 100% Complete 10. Kaptiony Health Centre – 100% Complete As evidenced above, the completion rate was more than 90 in the register, payment vouchers for each were submitted as evidenced Completion certificates for the projects to be produced by CGEM/028/KRA5/5.1
5.2	Projects implemented according to cost estimates	Implementation of projects and in accordance with the cost estimates	Percentage (%) of projects implemented within <b>budget</b> estimates (i.e. +/- 10 % of estimates). Project Completion Certificates	A sample of projects: a sample of 10 larger projects of various sizes from a minimum of 3 departments/ sectors. Review: - <b>budget,</b> - <b>procurement plans,</b> - <b>contract,</b> - <b>plans and costs against actual funding.</b> 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,	<b>Maximum 4 points</b> More than 90 % of the projects are executed within +/-5 of budgeted costs: 4 points 80-90%: 3 points 70-79%: 2 points 60-69%: 1 point Less than 60 %: 0 points.	4	Deviations of the actual cost of projects implemented from the budget are listed below: 1. Chapsawach/ Kisim (budget amount: 4,000,000, Contract sum: 3,831,132, Variance: 4.44%) 2. Construction of Endoo ward office (budget amount: 3,000,000, Contract sum: 2,996,250, Variance: 0.16%) 3. Tulwobei Kiosk-Tangary Chief-Tangit-Chebochok road (budget amount: 3,000,000,



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				<p>quarterly reports, payment records, quarterly progress reports, etc. <b>M&amp;E reports</b></p> <p>Compare actual costs of the completed project with original budgeted costs in the ADP/budget.</p> <p>MOV –</p> <ul style="list-style-type: none"> <li>- Bill of Quantities</li> <li>- Payment schedules</li> <li>- Completion certificates</li> </ul>			<p>Contrat sum: 2,996,250 Variance: 0.13%)</p> <p>4. Kapchenurkeldet-Chemotiony-Kaptobendo-Koropchorwa Roads (budget amount: 4,000,000, Contrat sum: 3,884,400 Variance: 2.89%)</p> <p>5. Kabarnyeren Footbridge (budget amount: 1,500,000, Contract sum: 1,499,700, Variance: 0.02%)</p> <p>6. Kabulyot Water Project (budget amount: 1,000,000, Contract sum: 998,080, Variance: 0.19%)</p> <p>7. Kapkaner Water Project (budget amount: 1,200,000, Contract sum: 1,196,490, Variance: 0.29%)</p> <p>8. Kaptega Water Project (budget amount: 1,500,000, Contract sum: 1,499,500, Variance: 0.03%)</p> <p>9. Kapkechir Footbridge (budget amount: 1,450,000, Contract sum: 1,498,600,</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							<p>Variance: -3.35%)</p> <p>10. Kapkondot Water Project (budget amount: 4,500,000, Contract sum: 4,409,905, Variance: 2.00%)</p> <p>11. Evidence of payment vouchers</p> <p>The projects sampled above were implemented within the +/- 10% threshold of <b>1.35%</b> as evidenced by CGEM/028/KRA5/5.2</p>
5.3	Maintenance	Maintenance budget to ensure sustainability	Maintenance cost in the last FY (actual) was minimum 5 % of the total capital budget and evidence in selected larger projects (projects which have been completed 2-3 years ago) have been sustained with an actual maintenance budget allocations (sample of min. 5 larger projects).	<p>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.</p> <p>Review if maintenance is above 5 % of the capital budget and evidence that budget allocations have been made for projects completed 2-3 years ago and evidence that funds have actually been provided for maintenance of these investments.</p>	<p><b>Maximum 4 points</b></p> <p>The maintenance budget is more than 5 % of the capital budget and sample projects catered for in terms of maintenance allocations for 2-3 years after 4 points</p> <p>More than 5 % but only 3-4 of the projects are catered for 2 points.</p> <p>More than 5 % but only 1-2 of the specific sampled projects are catered for 1 point.</p>	<b>4</b>	<p>The County of Elgeyo Marakwet lumps maintenance cost per department before allocation as follows:</p> <p>Agriculture &amp; Irrigation (Maintenance = 10,002,962, Development = 65,964,834, Maintenance % = 15.21%)</p> <p>Livestock Production, Fisheries &amp; Cooperative Development (Maintenance = 16,966,442, Development = 41,721,572, Maintenance % = 40.67%)</p> <p>Tourism, Culture, Wildlife, Trade &amp; Industry (Maintenance = 300,000, Development = 20,681,787, Maintenance % = 1.45)</p>



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							<p>Health &amp; Sanitation (Maintenance = 1,000,000, Development = 93,574,222, Maintenance % = 1.07%)</p> <p>Education &amp; Technical Training (Maintenance = 0, Development = 133,300,625, Maintenance % = 0.00)</p> <p>Water, Environment, Lands &amp; Climate Change (Maintenance = 13,000,000, Development = 175,659,682, Maintenance % = 7.40%)</p> <p>Sports, Youth Affairs, ICT &amp; Social Services (Maintenance = 300,000, Development = 65,745,652, Maintenance % = 0.46%)</p> <p>Public Service Management and County Administration (Maintenance = 0, Development = 46,270,198, Maintenance % = 0%)</p> <p>Roads, Public Works, Transport &amp; Energy (Maintenance = 92,617,775, Development = 197,618,760, Maintenance % = 46.87%)</p> <p>The maintenance budget for</p>	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings	Assessment
							projects implemented 2-3 years ago have more than 5% of the capital budget as evidenced by CGEM/028/KRA5/5.3. Maintenance budget is <b>15.97%</b>	
5.4	Screening of environmental social safeguards	Mitigation measures on ESSA through audit reports	Annual Environmental and Social Audits/reports for EIA/EMP related investments.	Sample 10 projects and ascertain whether environmental/social audit reports have been produced.	<b>Maximum points: 4 points</b> Above 90 % of sample done in accordance with the framework for all projects: 4 points 80-89 % of projects: 3 points 70-79 % of projects: 2 points 60 – 69 % of projects: 1 point Below 59%: 0 points	4	The Annual Environmental and Social Audit reports for the under listed sampled projects were provided: 1) St Francis Kasar Mixed Day Secondary School – NEMA/EA/EMT/0176 2) Kaptiony Mixes Secondary School – NEMA/EA/EMT/187 3) AIC Kapsowar Mission Hospital – NEMA/EA/EMT/OO27 4) Koisingur Milk Chilling Plant - NEMA/EA/EMT/0181 5) Milk Chilling Plant at Kapchrop-Kapsait Road – NEMA/EA/EMT/0182 6) Sambalat ECD - NEMA/EA/EMT/0172 7) Kapnetik ECD - NEMA/EA/EMT/0174 8) Koitilial ECD - NEMA/EA/EMT/0175 9) Ewaa Centre - NEMA/EA/EMT/0169	



No.	Priority Outputs	Performance Area	Performance Measure (Detailed Indicators)	Means of Verification and Issues to Check	Scoring /level of importance	Result (Score)	Detailed Findings Assessment
							10) Kipkermen School NEMA/EA/EMT/0167 These are evidenced by <b>CGEM/028/KRA5/5.4</b>
5.5	EIA /EMP procedures	EIA/EMP procedures from the Act followed.	<p>Relevant <b>safeguards instruments Prepared:</b></p> <ul style="list-style-type: none"> <li>- Environmental and Social Management Plans,</li> <li>- Environmental Impact Assessment,</li> <li>- RAP, etc.</li> </ul> <p>Consulted upon, cleared/approved by NEMA and disclosed prior to the commencement of civil works <b>in the case where screening has indicated that this is required.</b> All building &amp; civil works investment contracts contain <b>ESMP implementation provisions</b> (counties are expected to ensure their works contracts for which ESIA/ESMPs have been prepared and approved safeguards provisions from part of the contract.</p>	<p>Sample 5-10 projects MoV</p> <ul style="list-style-type: none"> <li>• EIA Registers of projects showing status.</li> <li>• EIA Reports</li> <li>• ESMP/EMP/SMP</li> <li>• RAP Reports</li> <li>• EIA licenses or exemption letters.</li> </ul>	<p><b>Maximum points: 4 points</b></p> <p>Above 90 % of sample done in accordance with the framework for all projects: 4 points</p> <p>80-89 % of projects: 3 point</p> <p>70-79 % of projects: 2 points</p> <p>60 – 69 % of projects: 1 point</p> <p>Below 59%: 0 points</p>	4	<p>Relevant safeguards for the following projects were observed:</p> <ol style="list-style-type: none"> <li>1. Proposed Construction of Mungwa Dispensary – NEMA/PR/EMT/5/2/0223</li> <li>2. Kamariny Cattle Dip – NEMA/PR/EMT/5/2/0221</li> <li>3. Proposed Construction of Classroom – Kamogo ECD – NEMA/PR/EMT/5/2/0225</li> <li>4. The proposed upgrade of ward fields to std sports facility – NEMA/PR/EMT/5/2/0226</li> <li>5. Opening construction &amp; maintenance of Salaba Road – NEMA/PR/EMT/5/2/0222</li> <li>6. Quarry project @ Kamariny ward – NEMA/PR/EMT/5/2/156</li> </ol> <p>These are evidenced by the ESMP templates provided under <b>CGEM/028/KRA5/5.5</b></p>
					<b>Total Maximum Score: 100 points.</b>	<b>95</b>	

## 5.0 ASSESSMENT OF DEVELOPMENT PROJECTS VISITED



Construction of perimeter wall for the recreational park started and completed in FY 2018/19. The county is planning to plant grass and trees to make it more attractive.



Iten County Referral Hospital Accident and Emergency Unit, construction complete and operational.



Cabro paving in Iten town started and ended in FY 2018/19.



## 6.0 SUMMARY OF CAPACITY BUILDING REQUIREMENTS

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

### **KRA 1**

It was observed that the value of audit queries for FY 2016/17 and FY 2018/19 was at 38.87% and 15.83% respectively. It's advisable for the County to manage the value of audit queries to at least 5% maximum.

The team also noted that the CFSP was submitted late. The County should try and adhere to statutory timelines that inform the budgetary process.

The County has minimal resource allocation from the national government. It is advisable to develop and publish an investment menu that will create awareness of its investment opportunities. This will enable the county to enhance its revenue growth potential.

### **KRA 2**

All documents were submitted on time; however, it was noted that the CIDP development delayed the ADP for FY 2018/19. The county should endeavor to observe timelines so as not to interfere with other crucial processes.

### **KRA 4: Civic Educations and Participation**

Civic Education performed well.

### **KRA 5 Investments and Social Environment Performance**

The environment sector also performed well.



## 7.0 OVERVIEW OF THE 5 WEAKEST PERFORMANCES

The table below presents the county's weakest performance areas during the Assessment.

KRA	Performance Measure	Issues
KRA 1	Public Management Finance	The county's CFSP was submitted late
KRA 2	Planning &M&E	ADP submitted late
KRA 3	Human Management Resource	Targets in the staffing plan were not met
KRA 4	Civic Education	No major issues observed
KRA 5	Investment implementation & social and environmental performance	No major issues observed save for the fact that the county needs to partner with more investors to enhance development.



## 8.0 COMPARATIVE COUNTY PERFORMANCE IN FY 2017/2018 &amp; 2018/2019

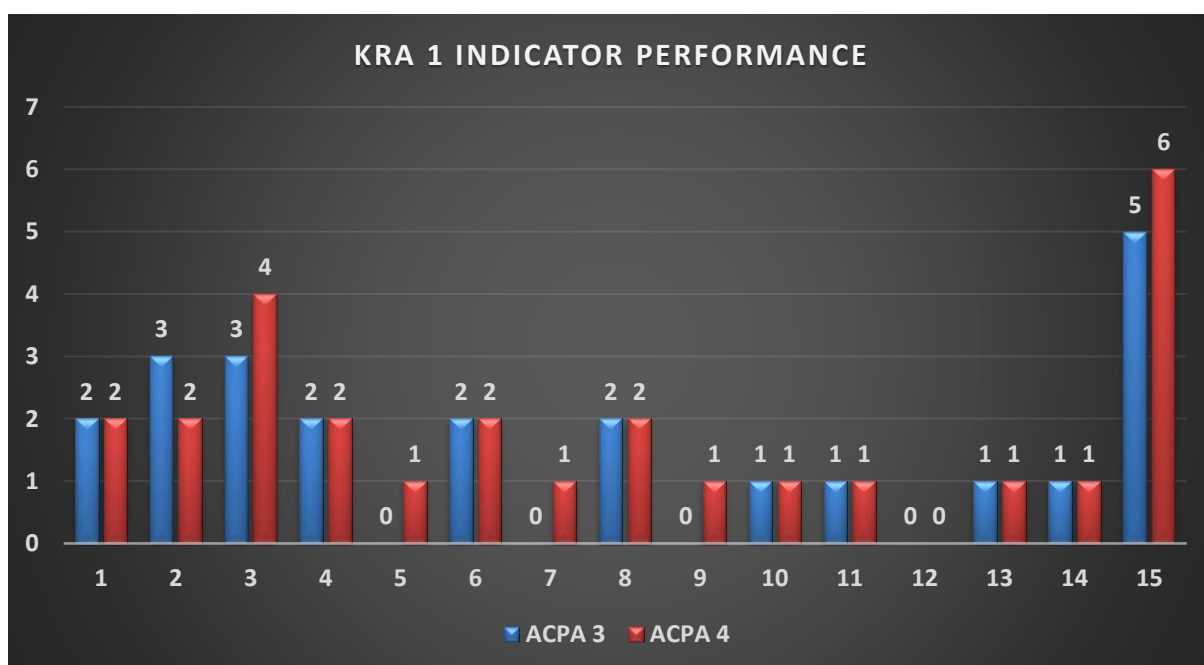
ELGEYO MARAKWET TREND ANALYSIS				
	SUB ITEMS	FY 2017/2018	FY 2018/2019	VARIANCE
KRA 1	1.1	2	2	0
	1.2	3	2	-1
	1.3	3	4	1
	1.4	2	2	0
	1.5	0	1	1
	1.6	2	2	0
	1.7	0	1	1
	1.8	2	2	0
	1.9	0	1	1
	1.10	1	1	0
	1.11	1	1	0
	1.12	0	0	0
	1.13	1	1	0
	1.14	1	1	0
	1.15	5	6	1
	<b>Sub total</b>	<b>23</b>	<b>27</b>	<b>4</b>
KRA 2	2.1	2	3	1
	2.2	0	1	1
	2.3	3	3	0
	2.4	4	3	-1
	2.5	2	2	0
	2.6	5	5	0
	2.7	1	1	0
	2.8	1	1	0
	<b>Sub total</b>	<b>18</b>	<b>19</b>	<b>1</b>
KRA 3	3.1	2	2	0
	3.2	2	4	2
	3.3	5	5	0



		9	11	2
KRA 4	4.1	3	3	0
	4.2	2	2	0
	4.3	2	2	0
	4.4	2	3	1
	4.5	0	1	1
	4.6	5	5	0
	4.7	2	2	0
	<b>Sub total</b>	<b>16</b>	<b>18</b>	<b>2</b>
KRA 5	5.1	6	4	-2
	5.2	5	4	-1
	5.3	0	4	4
	5.4	3	4	1
	5.5	2	4	2
	<b>Sub total</b>	<b>16</b>	<b>20</b>	<b>4</b>
	<b>TOTAL</b>	<b>82</b>	<b>95</b>	<b>13</b>

### KRA 1 PUBLIC FINANCE MANAGEMENT

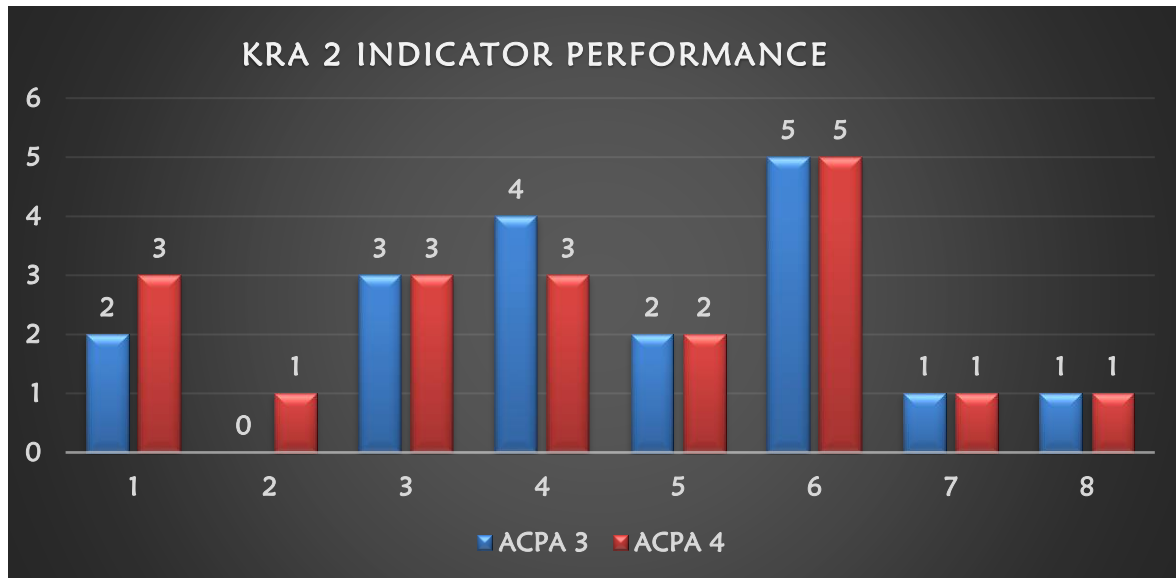
From the below chart, criteria 1.1, 1.4, 1.6, 1.8, 1.10, 1.11, 1.12, 1.13 and 1.14 had no change in performance as illustrated above. Criterion 1.3, 1.5, 1.7, 1.9, and 1.15 had performance improvement.





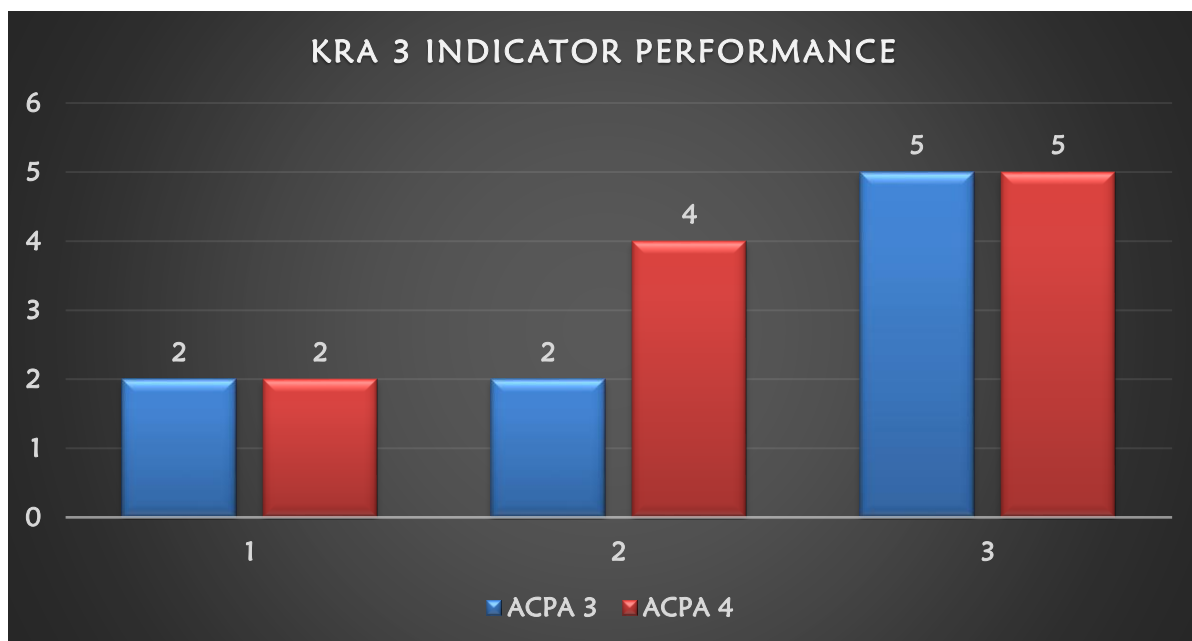
### KRA 2 PLANNING, MONITORING & EVALUATION

Criteria 2.3, 2.5, 2.6, 2.7 and 2.8 remained constant while criteria 2.1 and 2.2 improved their performance since the county had a well structured M&E unit in place with a dedicated budget and there was an M&E committee in place which had reviewed quarterly performance reports. Criterion 2.4 declined in performance since the ADP was submitted late on 16/April/2018 instead of 1<sup>st</sup> September 2017.



### KRA 3 HUMAN RESOURCE MANAGEMENT

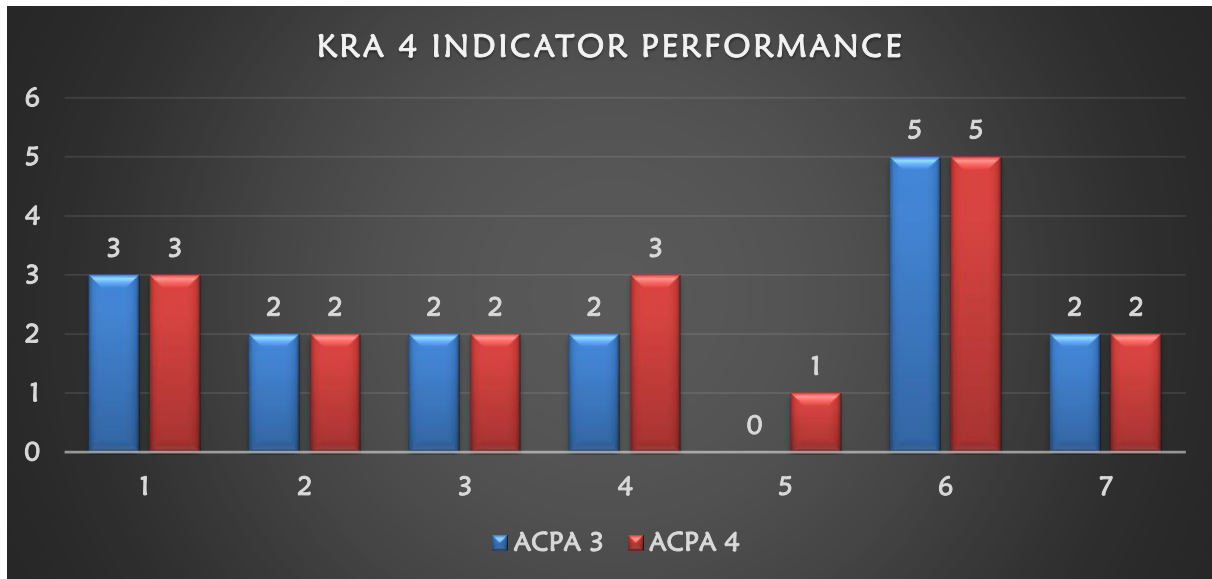
Criterion 3.1 was at remained unchanged in both fiscal years as the county failed to meet targets in the staffing plan due to a freeze on employment. 3.3 was also constant since all requirements had been met including PC evaluation. Under 3.2, the county improved its performance since it developed skills and competency framework and had accurate recruitment and promotion records.





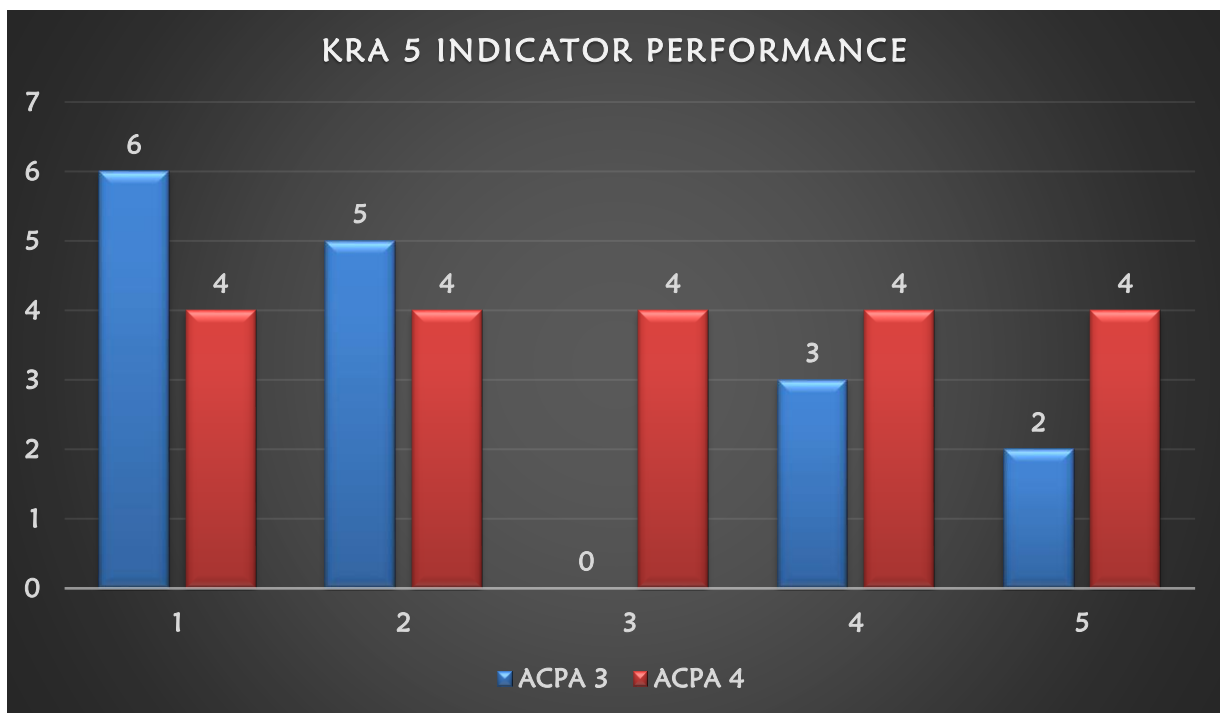
### KRA 4 CIVIC EDUCATION AND PUBLIC PARTICIPATION

Criteria 4.1, 4.2, 4.3, 4.6 and 4.7 performance remained unchanged while 4.4 and 4.5 improved performance due to stakeholders' participation in public forums when met requisite representation and citizens feedback on findings from CAPR was availed.



### KRA 5 Investment implementation, Social Safeguards, and Environmental

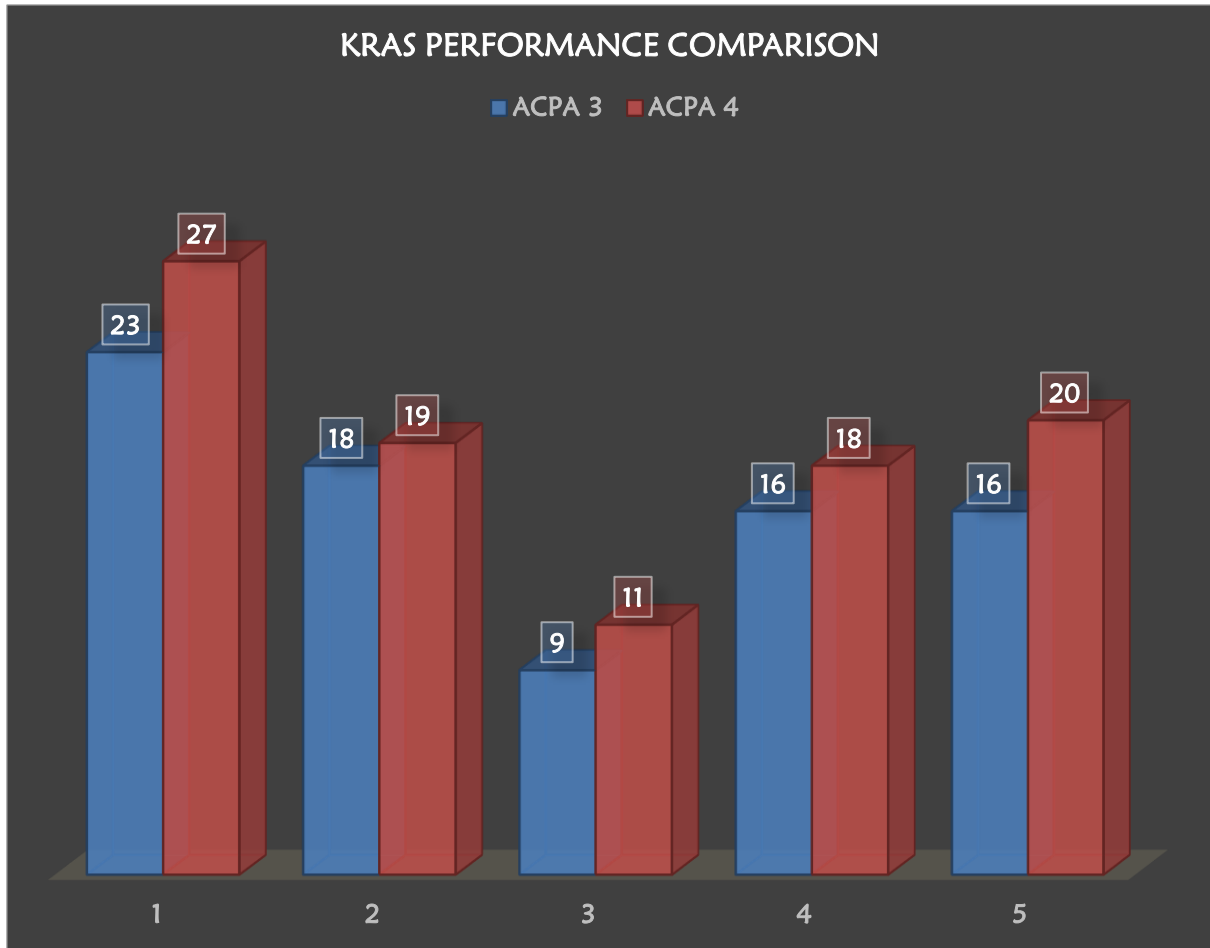
KRA 5.1 performed well in both fiscal years, however, the marks dropped by 2 points in FY 2018/19 since the maximum score in 1<sup>st</sup> two (2) ACPAs was 6 and dropped to 4 points in subsequent ACPAs. 5.2 had a maximum score of 5 points in 1<sup>st</sup> two (2) ACPAs but dropped to a maximum score of 4 in subsequent ACPAs.





### COMPARATIVE ANALYSIS PER KRA

The analysis below focuses on the performance of each criterion per KRA in FY 2017/18 and 2018/19.





## 10.0 LIST OF INTERVIEWED OFFICERS

NO	NAME	DESIGNATION	TELEPHONE CONTACTS
1.	Mr. John Keen	Director of Accounting services	0721430766
2.	Mr. Philip Kiptoo	Head of Accounts	0724466823
3.	Mr. David Chebii	Head of Accounting reporting	0722933446
4.	Mr. Peter Maiyo	Assistant Director Procurement	0721828359
6.	Ms. Christine Ng'eno	Director of Human Resource	0723651970
7.	Ms. Valary Chelimo	Human Resource Assistant	0718993911
8.	Ms. Salinah Kipsang	Deputy Director Procurement	0724895179
9.	Ms. Ednah Kiture	Procurement Officer	0727066713
10.	Mr. Philemon Biwott	Deputy Director of Revenue	0720800462
11.	Ms. Judith Adero	Director Revenue	0722259482
12.	Mr. Barsulai Kiptoo	Director Enforcement	0728424550
13.	Mr. Paul Mutua	Director Internal Audit	0722773033
14.	Mr. Barnabas Chemsis	Deputy Director of Internal Audit	<a href="mailto:b.chemsis@gmail.com">b.chemsis@gmail.com</a>
15.	Ms. Faith Rutto	Internal auditor	<a href="mailto:faitrutto14@gmail.com">faitrutto14@gmail.com</a>
16.	Mr. Duncan Kipsang	Budget officer	<a href="mailto:duncankiplagat@gmail.com">duncankiplagat@gmail.com</a>
17.	Mr. Hezron Kipsang	Budget officer	<a href="mailto:lwamba.lwamba@gmail.com">lwamba.lwamba@gmail.com</a>
18.	Mr. Michael Sengech	Head of complaints	<a href="mailto:michaelsengech@gmail.com">michaelsengech@gmail.com</a>
19.	Ms. Ivy Kittony	Communications officer	<a href="mailto:ivykittony69@gmail.com">ivykittony69@gmail.com</a>
20.	Ms. Agnetta Tanui	Civic educator	<a href="mailto:Agnetta292@gmail.com">Agnetta292@gmail.com</a>
21.	Mr. Kilimo Rutto	Director Public Participation	0723479057
22.	Mr. Chelimo Suter	Director Environment	0720831082
23.	Mr. James Keitany	Water Officer	<a href="mailto:Lachansawe@gmail.com">Lachansawe@gmail.com</a>



## 11.0 APPENDICES

### 11.1 APPENDIX 1: ENTRY MEETING MINUTES

MINUTES OF ENTRY MEETING FOR ANNUAL CAPACITY & PERFORMANCE ASSESSMENT HELD AT ELGEYO MARAKWET GOVERNOR'S BOARDROOM ON 20<sup>TH</sup> SEPTEMBER 2019, AT 10:00 AM

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#### MEMBERS PRESENT

##### COUNTY TEAM:

1. H.E HON. ALEX TANUI TOLGOS	GOVERNOR
2. H.E WESLEY ROTICH	DEPUTY GOVERNOR
3. MR. PAUL CHEMMUTTUTH	COUNTY SECRETARY
4. MR. ISAAC KAMAR	C.E.C FINANCE & ECONOMIC PLANNING
5. MR. BEWOT KELVIN	C.E.C ROADS
6. MR. BARSOSIO K. ABRAHAM	C.E.C WATER AND ENVIRONMENT
7. MR. YAKECH SHADRACK	C.E.C TOURISM, CULTURE AND TRADE
8. MS. LEAH LAMELA RONO	C.E.C PUBLIC SERVICES AND ADMIN
9. MR. EDWIN KISANG	C.E.C EDUCATION
10. MR. ROBERT K. CHELANGAT	DIRECTOR S.C.M
11. MS. FAITH RUTTO	INTERNAL AUDITOR
12. MS. ADERO JUDITH	DIRECTOR REVENUE
13. MS. RAEK KIPYEGO	AGRICULTURE
14. MS. CHELIMO SUTER	ENVNT. AND SOCIAL SAFEGUARD
15. MR. JOHN MARITIM	KDSP FOCAL PERSON
16. MR. FREDRICK KANGOGO	LIVESTOCK AND FISHERIES
17. MR. PHILEMON K. BIWOTT	DEPUTY DIRECTOR REVENUE
18. MR. VINCENT BARTOO	DIRECTOR COMMUNICATION
19. MR. MICHAEL SENGECH	ADMINISTRATOR
20. MR. KIPKOECH SUMUKUU	PLANNING OFFICER
21. MR. PETER CHEPKWONY	AG. C.O LIVESTOCK AND COOPERATIVES
22. MR. PAUL TANUI	A.G C.O EDUCATION/TECH TRAINING
23. MS. ABIGAEL KIPKURGAT	OFFICER, TOURISM, TRADE, & CULTURE
24. MR. WILEY KIMUTAI ROTICH	DEPUTY DIRECTOR of AGRICULTURE
25. MR. NELSON KORE	INTERNAL AUDIT
26. MR. PETER MAIYU	PROCUREMENT OFFICER
27. MR. HEZRON KIPSANG	ECONOMIC PLANNING
28. MR. KOSGEI TITUS	PLANNING OFFICER
29. MR. DUNCAN KIPLAGAT	PLANNING OFFICER
30. MR. FELIX KIPNGETICH	PLANNING OFFICER
31. MS. AGNETTA TANUI	CIVIC EDUCATION & P. PARTICIPATION
32. MS. GLADYS CHEBET	PLANNING OFFICER
33. MR. TIMOTHY CHEBOI	PLANNING OFFICER
34. MR. ELIJAH YEGO	INTERNAL AUDIT
35. MR. DAVID CHEBII	FINANCIAL REPORTING ACCOUNTANT
36. MS. VALARY CHELIMO	HUMAN RESOURCE OFFICER
37. MR. MIKE MOSI	SPORTS, YOUTHS, ICT & S. SERVICES
38. MR. ALEX KIPSANG	PROCUREMENT OFFICER



39.MR. BARNABAS CHEMUSIS	AUDITOR
40.MS. EDNAH KETURE	PROCUREMENT OFFICER
41. MS. VIOLA KIPLAGAT-	PROCUREMENT OFFICER
42.MR. IBRAHIM M. TANUI	FINANCE OFFICER
43.MR. STEPHEN KILIMO	FINANCE OFFICER
44.MS. FAITH KWAMBAI	FINANCE OFFICER
45.MS. CHRISTINE NGENO	A.G HUMAN RESOURCE DIRECTOR
46.MR. ALBERT CHERUIYOT	ACCOUNTANT
47.MR. JONAH CHEMWENO	PROCUREMENT OFFICER
48.MR. JOHN CHERUYOT	PROCUREMENT OFFICER
49.MR. NOAH KIPTOO	FINANCE OFFICER
50.MR. STEPHEN BUTWO	FINANCE OFFICER
51. MS. DORCAS BIWOTT	A.G BOARD SECRETARY
52.MR. JOSEPH TALAM	ACCOUNTANT

#### **PRESTIGE MANAGEMENT SOLUTIONS (PMS) TEAM**

1. MS. VIOLET ODHIAMBO	TEAM LEADER
2. MR. NICHOLAS LEINA	ASSESSOR
3. MR. FARAHAN JAMAL	ASSESSOR

#### **AGENDA:**

1. Preliminary
2. Introduction
3. Brief on ACPA expectation
4. Adjournment

#### **MIN: 1/20/09/2019: PRELIMINARY**

The meeting was called to order by the County Governor H.E. Alex Tolgos at 10: 00 AM. This was followed by a word of prayer from one of the county officials.

#### **MIN: 2/20/09/2019: INTRODUCTION**

After prayers, a brief introduction of members with their respective designations followed. The Chair gave his remarks by welcoming everyone present and recognized the presence of the PMS team led by Ms. Violet Odhiambo. The Chair stated that Elgeyo Marakwet County was ready for the exercise and gave assurance of his cooperation and support during the entire assessment period. He handed over the program to the PMS team leader.

#### **MIN: 3/20/09/20019: BRIEF ON ACPA EXPECTATIONS**

The team leader, Ms. Violet Odhiambo expressed her appreciation for the warm welcome to Elgeyo Marakwet County Government and for the opportunity to conduct an assessment in the institution.

She took the members through the three-day program and requested a corporation in carrying out the entire exercise. She also emphasized on the need to keep time in delivery of the required documents and acknowledged that this was an assessment and not an audit exercise. She informed the County Officials that the assessment is all evidence-based and the third day will be for project visits and exit meetings. She



informed members that the assessment was based on the financial year 2018/2019. The Team Leader called upon members to avail themselves in the exit meeting which would be held on 24<sup>th</sup> Sep. 2019 the third day as per the program.

**MIN: 4/20/09/2019: ADJOURNMENT**

There being no other business, the meeting was adjourned at 11:00 am.

Minutes confirmed by:

1. **Name:** MS. VIOLET ODHIAMBO – TEAM LEADER, PSM

**Signature:**

**Date :**

2. **Name** MR. JOHN MARITIM – KDSP COUNTY FOCAL PERSON

**Signature:**

**Date :**



## 11.2 APPENDIX 2: EXIT MEETING MINUTES

**MINUTES OF THE EXIT MEETING FOR ANNUAL CAPACITY AND PERFORMANCE ASSESSMENT HELD AT ELGEYO COUNTY GOVERNOR'S BOARDROOM ON 24<sup>TH</sup> SEPTEMBER 2019, AT 3:30 PM.**

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### MEMBERS PRESENT:

#### BARINGO COUNTY GOVERNMENT

1. H.E HON. ALEX TANUI TOLGOS	GOVERNOR
2. H.E WESLEY ROTICH	DEPUTY GOVERNOR
3. MR. PAUL CHEMMUTTUTH	COUNTY SECRETARY
4. MR. ISAAC KAMAR	C.E.C FINANCE & ECONOMIC PLANNING
5. MR. BEWOT KELVIN	C.E.C ROADS
6. MR. BARSOSIO K. ABRAHAM	C.E.C WATER AND ENVIRONMENT
7. MR. KIPRONO CLEOPHUS	C.E.C HEALTH
8. MS. LEAH LAMELA RONO	C.E.C PUBLIC SERVICES AND ADMIN
9. MR. ROBERT K. CHELANGAT	DIRECTOR S.C.M
10. MS. FAITH RUTTO	INTERNAL AUDITOR
11. MS. ADERO JUDITH	DIRECTOR REVENUE
12. MS. CHELIMO SUFER	ENVNT. AND SOCIAL SAFEGUARD
13. MR. JOHN MARITIM	KDSP FOCAL PERSON
14. MR. PHILEMON K. BIWOTT	DEPUTY DIRECTOR REVENUE
15. MR. VINCENT BARTOO	DIRECTOR COMMUNICATION
16. MR. MICHAEL SENGECH	ADMINISTRATOR
17. MR. KIPKOECH SUMUKUU	PLANNING OFFICER
18. MR. KOSGEI TITUS	PLANNING OFFICER
19. MS. AGNETTA TANUI	CIVIC EDUCATION & P. PARTICIPATION
20. MS. VALARY CHELIMO	HUMAN RESOURCE OFFICER
21. MR. BARNABAS CHEMUSIS	AUDITOR
22. MS. EDNAH KETURE	PROCUREMENT OFFICER
23. MS. FAITH KWAMBAI	FINANCE OFFICER
24. MS. CHRISTINE NGENO	A.G HUMAN RESOURCE DIRECTOR
25. MR. PHILIP KIPTOO	ACCOUNTANT
26. MS. MAGRINE SEREM.	DIR. GENDER & SOCIAL SERVICES

#### PRESTIGE MANAGEMENT SOLUTIONS (PMS) LTD TEAM

1. MS. VIOLET ODHIAMBO	TEAM LEADER
2. MR. NICHOLAS LEINA	ASSESSOR
3. MR. JAMAL FARAHAH	ASSESSOR

### AGENDA:

1. Preliminary
2. Registration
3. Recap of assessment process
4. Responses and comments
5. Focal person's comments
6. Adjournment



**MIN: 1/24/09/2019: PRELIMINARY**

The meeting was called to order by the County Governor H.E Alex Tanui Tolgos at 3:30 PM. This was followed by an opening prayer from one of the county officials. The Governor expressed his gratitude for the great level of commitment and cooperation shown by both the County Officers and Prestige Management Solution Consultants during the Three-day exercise. He remarked that the County had well prepared for the exercise and believed that his Officers had availed relevant documents in due time. He thereafter welcomed the Team Leader, Ms. Violet Odhiambo to take over the meeting.

**MIN: 2/24/09/2019: REGISTRATION**

The County and Consultant's register books were circulated for registration by all the members present.

**MIN: 3/24/09/2019: RECAP OF ASSESSMENT PROCESS**

The PMS Team Leader took the opportunity to thank the County Officers for the commitment and cooperation they showed during the three-day assessment period. She gave a brief on the findings for the whole assessment and the documents presented. The following gaps were identified:

1. **MPC 9.** Although the county government relies on the CGA (2012) to guide its complaints policy framework, the county is yet to approve its complaints policy (evidence submitted is in draft)
2. **KRA 1.** Late development of CIDP resulted in the late submission of the CFSP dated 09/04/2018 to the CEC rather than 28<sup>th</sup> February 2018 and subsequently the submission date 16<sup>th</sup> April 2018 instead of 15<sup>th</sup> March 2018.
3. **KRA 2.** ADP submitted 16<sup>th</sup> April 2018 instead of 1<sup>st</sup> September 2017.
4. **KRA 3.** The County submitted annual performance appraisals. Although the County signed its Performance Contracts in October, best practice should be around July (at the onset of the new financial year).
3. **KRA 4.** The county communication policy was yet to be approved.
4. **KRA 5.** The county relies on the EMCA Act 2015 to provide an Environmental Framework. However, it is yet to approve its Environmental policy tabled to the Cabinet.

She also addressed areas of improvement i.e. the County undertook Environmental Audit of past projects in FY 2018/19 but the same had not been done in FY 2017/18, the County did ten (10) RRI and Service Re-Engineering which was commendable. The county also did an evaluation of CIDP projects, uploading all county documents on the county website on time. She also noted that the county was very good at time management and the delivery of documents. She also explained that the team was able to visit 3 county projects namely, the Iten County Referral Hospital, Cabro paving in Iten town, tarmacking of KCB – Jamaica road and the perimeter wall for recreational park.



**MIN:4/24/09/2019: RESPONSES AND COMMENTS**

The Chair appreciated the KDSP Team for their corporation during the three-day exercise and promised to work towards better performance of Elgeyo Marakwet County in the next assessment. The Deputy Governor and the other members also appreciated the Consultants for the friendly and consultative approach to the exercise.

**MIN: 5/24/09/2019: FOCAL PERSON COMMENTS**

The County focal person Mr. John Maritim noted that the exercise and its recommendations will go a long way in guiding the county government in improving its performance, compliance, and delivery of services to its citizens. The County government team is optimistic about having a productive engagement in KDSP subsequent financial years and appreciated the support from the KDSP program in enhancing its revenue stream.

**MIN: 6/24/09/2019: ADJOURNMENT**

There being no other business the meeting was adjourned at 4:30 PM with a word of prayer from one of the County officials.

Minutes confirmed by:

1. Name MRS. ODHIAMBO VIOLET TEAM LEADER, PMS LTD

Signature:

Date:

2. Name MR. JOHN MARITIM KDSP FOCAL PERSON

Signature:

Date:



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



**For Contact Information:**

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