



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

MOMBASA COUNTY GOVERNMENT

ANNUAL CAPACITY & PERFORMANCE ASSESSMENT (ACPA) REPORT

Conducted on:

21st – 23rd November, 2018



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ACRONYMS

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



ACKNOWLEDGMENT

The consulting team from Prestige Management Solution Ltd wishes to thank the County Government of Mombasa, the Senior Management team, and all staff of the county government who participated in the Annual Capacity and Performance Assessment. The officials made valuable contributions throughout the assessment and document review processes and provided useful information and insights to the assessors. We sincerely acknowledge the contribution made by Mrs. Jane Githui, the KDSP focal point person who presided over the assessment as well as all KRA focal persons who actively participated to make the entire exercise a success.

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



EXECUTIVE SUMMARY

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

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

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 to the consulting team to help them internalize the objectives of the ACPA, size of capacity and performance grants, County Government's eligibility criteria, ACPA tool, and the ACPA assessment criteria.

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

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

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

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



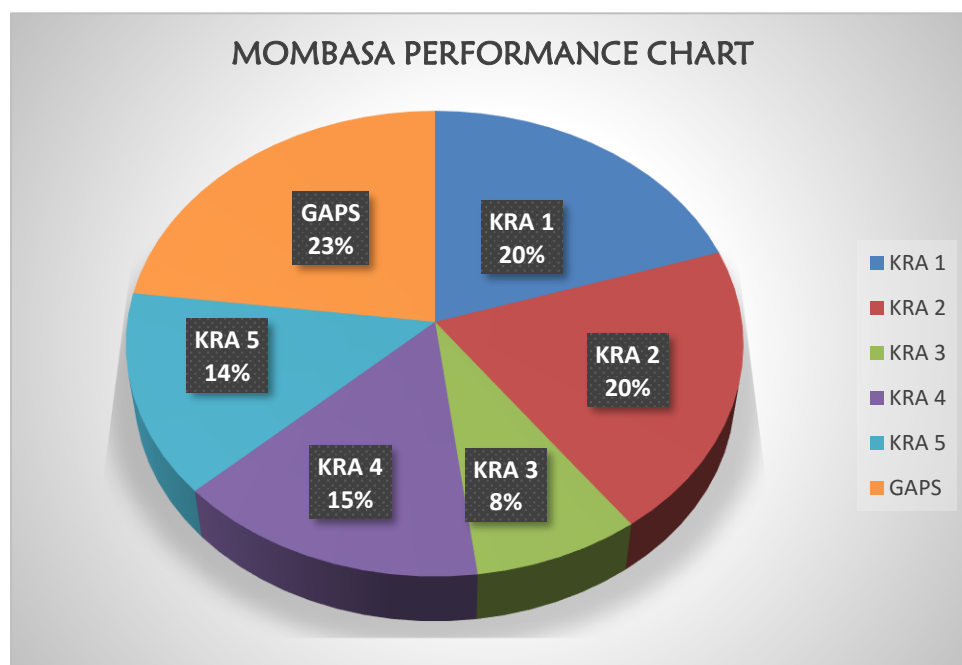
Resource Management, Devolution, and Inter-Governmental Relations and Public Participation.

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

The outcome of the assessment can be summarized as follows:

| ACPA Measures | Outcome |
|---------------|---|
| MAC | The County has met all the MACs |
| MPC | Have met all the MPCs (compliance with MAC, Financial Statements & core staffing); Met MPCs 1,2,3,4, 6,7,8 & 9(Annual Planning Docs, Audit opinion, Consolidated Procurement Plans &Citizens complaints system& environmental and social safeguards); MPC 5 was not applicable (adherence with investment menu) |

| ACPA Measures | Outcome | Score |
|---------------|---|-----------|
| PM | KRA 1: Public Financial Management | 20 |
| | KRA 2: Planning, Monitoring and Evaluation | 20 |
| | KRA 3: Human Resources Management | 08 |
| | KRA 4: Civic Education and Participation | 15 |
| | KRA 5: Investment implementation & Social And environmental performance | 14 |
| | SCORE OVER 100 | 77 |





Achievements

The County Government of Mombasa by and large performed well in the area of Public Financial Management, Human Resources Management, Planning and Civic Education and Participation having strictly adhered to the budget calendar set out in the public financial management and also having submitted relevant reports in time and in the manner prescribed by relevant bodies such as the PSASB for the financial reports and the Public Audit Act. The County Government of Mombasa equally availed enough documentation in the field of Civic Education and Participation and Environment and Social Safeguards as demonstrated by the way they have carried out enough Civic Education and Participation by the amount of evidence that was provided.

The County also performed very well in the area of core staffing owing to the fact that most key staff like County Secretary, C.O Finance, Planning Officer, Internal Auditor, Procurement Officer, Qualified Accountant, Environmental and Social Officer & M&E officer had been recruited in a manner that is in line with the public service board through the performance contracts for some key staff have not been signed as required by the Public Service Management Board. Key areas of strength in this regard included having the relevant and qualified staff while ensuring that the other staffs have been recruited and trained to complement the key staff.

Weaknesses

Key weaknesses were noted in the area of Monitoring and Evaluation with respect to establishing and operationalizing an M&E Committee, this is coupled by the lack of staff to manage the workload at the budgeting and planning section. Even though the development of the County Annual Progress Reports is to give a status update on projects and to have a dedicated budget for M&E function, the team realized that there is a very skeleton staff in the section. Human Resource Management had tremendous strength in terms of the key persons recruited however in terms of placement of the staff the team noted that the statistician is placed in a place other than the budget place.

In the area of Civic Education and Participation, Investment implementation and Social Environment Performance, the main weakness was a failure to align sufficient documentary evidence on time during the assessment exercise. It was also noted that not all the projects undertaken by the County Government of Mombasa are screened for compliance with environmental and social safeguard requirements.

Challenges

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

- 1) The predecessors who were trained by the KDSP secretariat were all replaced by a new team which has not been trained on the concept of the ACPA program hence creating a gap in the institutional memory. Additionally, most of the committee members had not familiarized themselves with the assessment tool.

Areas of Improvement

- Proper communication and coordination among members to enhance teamwork and synergy;



- Adopt proper change management strategies;
- Proper records management;
- Encourage top management sensitization on the assessment of the ACPA to enhance adherence to CB Plan;
- Sensitization of all staff in the County on performance appraisal; Performance contracting, job descriptions;
- Preparation of skills and competency framework;
- Setting up a robust M&E Framework and unit; set up Internal Audit Committee & Civic Education Units and
- Training various stakeholders on Project Management to ensure implementation of projects within budget estimates and sensitizing various stakeholders on the need for providing sufficient budget for maintenance of projects after their completion.

2.0 Introduction

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

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

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

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

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

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



- Institutional Support and Strengthening.

2.1 Key Results Areas

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

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

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

2.2 The Program Development Objective (PDO)

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

- i) Result based Disbursements- Disbursement of funds follow a set of national and county level results which are well defined and converted into measurable indicators;
- ii) Strengthening Existing Government Systems. All program activities are aligned to existing departmental and county level planning and budgeting system including monitoring and evaluation. Counties are expected to develop implementation reports and financial reports that provide details of capacity building activities completed against the annual capacity building plans and investment grants;



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

2.3 The specific objectives.

The specific objectives of the assessment are to –

- a) Verify compliance of the counties with key provisions of the laws and national guidelines and manuals such as the Public Financial Management Act, 2012, the County Government Act and other legal documents;
- b) Verify whether the audit reports of the OAG of the counties follow the agreements under the KDSP, which is important for the use of findings in the ACPA;
- c) Measure the capacity of county governments to achieve performance criteria derived from the core areas of the NCBF;
- d) Use the system to support the determination of whether counties have sufficient safeguards in place to manage discretionary development funds and are therefore eligible to access various grants, such as the new CPG;
- e) Promote incentives and good practice in administration, resource management, and service delivery through show-casing the good examples and identifying areas which need improvements;
- f) Assist the counties to identify functional capacity gaps and needs;
- g) Provide counties with a management tool to be used in reviewing their



performance, and to benchmark from other counties, as well as focusing on performance enhancements in general;

- h) Enhance downwards, horizontal and upward accountability, encourage and facilitate closer coordination and integration of development activities at the county level;
- i) Contribute to the general monitoring and evaluation (M&E) system for counties and sharing of information about counties' operations.

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

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

The Annual Capacity and Performance Assessment (ACPA)

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

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

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

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

The self-assessment helps counties to familiarize with capacity building interventions that address the unique gaps of each county. The external assessment is conducted



annually to establish linkages of funding and performance. Similarly, it plays a number of complementary roles which include:

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

Annual Capacity and Performance Assessment Process

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

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

3.0 Methodology & assessment team

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

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

3.1 Literature Review

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

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



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

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

3.2 Mobilization

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

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

3.3 Sensitization Workshop

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



a) Entrance Meeting

The PMS and County of Mombasa staff held the entrance meeting on Tuesday, 21st November 2018 at the Deputy Governor's Office at 10.00 am that was chaired by the Deputy Governor Mr. William Kingi and an opening prayer by Mr. Mohammed Bhatez. In attendance was an officer from MODA, Mr. Korir Kiprotich.

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

b) Data Administration

Data collection commenced on Tuesday, 21st November 2018 at 11.00 am. The consultants administered the assessment tool within three (3) working days with a holiday break in between. The consultant engaged with key CGM staff and KRA focal persons from various sectors who were knowledgeable in areas that related to the ACPA.

The consultants collected data through the administration of the KDSP tool, observation, desktop review of secondary data as well as an interview method to get information from the officers. They also logged into the website to check uploaded documents. They reviewed the Existing County Integrated Development Plan – CIDP, Annual Development Plans (ADP), Budget, Financial Reports, EIA reports, key project documents, policy documents, strategies, and departmental reports to check whether they complied with underlying laws, regulations ACPA participation and assessment guidelines. They also logged into the website to confirm whether the documents were uploaded. The consultants also visited four project sites: Shanzu Public Toilet, Construction of ECD Centre Longo Primary School, Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Moi Avenue, Construction of a section of Kongoni and Bandari Roads to Cabro standards.

c) Exit Meeting-Debriefing

The exit meeting was held on 23rd November 2018 At the Deputy Governor's Boardroom at 11.00 am that was chaired by the County KDSP Focal person H.E Dr. William Kingi and an opening prayer by Ms. Lucy Nyambura.

The details highlights of the debrief is shown in annex 2

Time plan

| Activity | 21 st November 2018 | 22 nd November 2018 | 23 rd November 2018 |
|--|-----------------------------------|-----------------------------------|-----------------------------------|
| Entry meeting | | | |
| Assessing the Minimum Access Conditions | | | |
| Assessing minimum Performance Measures | | | |
| Assessing Performance Measures | | | |
| Exit Meeting | | | |
| Preparing Report | | | |



4.0 SUMMARY OF RESULTS

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

4.1 Minimum Access Conditions (MAC)

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

| Minimum Conditions for Capacity and Performance Grants (level 1) | Reason and Explanation | Detailed indicator and Means of Verification (MoV) | Comments from WB/KDSP | Assessment Met/ Not Met | Detailed Assessment Finding |
|--|--|---|--|-------------------------|--|
| 1. County signed a participation agreement | To ensure that there are ownership and interest from the county to be involved in the Program, and to allow access to information for the AC&PA teams. | Signed confirmation letter/ expression of interest in being involved in the Program MoV: Review the confirmation letter against the format provided by MoDP/in the Program Operational Manual (POM). | All counties have already signed participation agreements; no need to verify compliance. | MET | There is a signed participation agreement availed. |
| 2. CB plan developed | Is needed to guide the use of funds and coordination. Shows the capacity of the county to be in driver's seat on CB. | CB plan developed for FY 2017-18 according to the format provided in the Program Operational Manual/Grant Manual (annex). MoV: Review the CB plan, based on the self- assessment of the KDSP indicators: MACs, MPC and PMs, and compared with the format in the POM /Grant Manual (annex). | To be verified <u>independently</u> and <u>NOT</u> as part of ACPA 3. That said, ACPA team should request for copies of implementation reports of the capacity building grants | MET | CB plan for 2017/18 was availed REF.DOC CGM/021/MAC2 |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Conditions for Capacity and Performance Grants (level 1) | Reason and Explanation | Detailed indicator and Means of Verification (MoV) | Comments from WB/KDSP | Assessment Met/ Not Met | Detailed Assessment Finding |
|--|--|--|-----------------------|-------------------------|---|
| 3. Compliance with the investment menu of the grant | Important to ensure the quality of the CB support and targeting of the activities. | <p>Compliance with investment menu (eligible expenditure) of the Capacity Building Grant released to counties in FY 2016-17 & 2017-18 documented in progress reports.</p> <p>MoV: Review of grant and utilization – progress reports. Reporting for the use of CB grants for the previous FYs in accordance with the Investment menu</p> | | MET | The County Government of Mombasa received funds equivalent to Kshs. 49,809,062 for the first year of Level 1 funding. Despite the program being slated for the FY 2016/17, the funds were not made available until the FY 2017/18, with the first disbursement of Kshs. 29,106,112 received in February 2018 and the second tranche of Kshs. 20,702,950 being made in 26 th June 2018. It absorbed Kshs. 47,326,610 of the total expenditure. It implemented 31 out of 34 programs in the CB Plan. |
| 4. Implementation of CB plan | Ensure actual implementation. | <p>Minimum level (70% of FY 16/17 plan, 75% of FY 17/18 plan, 80% of subsequent plans) of implementation of planned CB activities by end of FY.</p> <p>MoV: Review financial statements and use of CB + narrative of activities (quarterly reports and per the Grant Manual).</p> | | MET | The CB Implementation Plan is 95.01%. |



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 |
|--|--|--|--|-------------------------|--|
| Minimum Access Conditions complied with | | | | | |
| 1. Compliance with minimum access conditions | To ensure minimum capacity and linkage between CB and investments. | Compliance with MACs. MoV: Review of the conditions mentioned above and the MoV of these. | At the point of time for the ACPA | MET | The County Government of Mombasa has complied with MACs. |
| Financial Management | | | | | |
| 2. Financial statements submitted | To reduce fiduciary risks | Financial Statements (for FY 2016-17) with a letter on documentation submitted to the Kenya National Audit Office by 30th September 2017 and National Treasury with required signatures (Internal auditor, heads of accounting unit etc.) as per the PFM Act Art.116 and Art. 164 (4). This can be either individual submissions from each department or consolidated statement for the whole county. If individual statements are submitted for each department, the county must also submit consolidated statements by 31 st October 2017. The FS has to be in an auditable format. | 3 months after the closure of the FY (30 th of September 2017). Complied with if the county is submitting individual department statements: 3 months after the end of FY for department statements and 4 months after the end of FY for the consolidated statement. If the council is only submitting a consolidated statement: Deadline is 3 months after the end of FY. | MET | CGM submitted Consolidated Financial Statements for the executive for the FY 2016/17 received by the National Treasury on 2 nd Oct 2018, Commission on Revenue Allocation on 2.10. 2018, Office of the Controller of Budget on 28 th September 2018 and OAG on 28 th September 2018. REF.DOC CGM/009/MPC2 |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|---|---|--|--|-------------------------|--|
| | | MoV: Annual financial statements (FSs), submission letters to Office of the Auditor General (OAG) + records in OAG. | | | |
| 3. Audit opinion does not carry an adverse opinion or a disclaimer on any substantive issue | To reduce fiduciary risks | <p>The opinion in the audit report of the financial statements for county executive for FY 2016-17 cannot be adverse or carry a disclaimer on any substantive issue.</p> <p>MoV: Audit reports from the Office of the Auditor General.</p> | <p>Audit reports <u>cannot</u> be with a disclaimer or adverse opinion (increased demands) – <u>no exceptions</u></p> <p>As per program requirements, the assessment will rely on the audit opinion as at the time they are tabled by OAG to parliament.</p> | MET | The Audit opinion for the executive for the FY 2016/17 is a qualified Opinion. |
| Planning | | | | | |
| 4. Annual planning documents in place | To demonstrate a minimum level of capacity to plan and manage funds | <p>CIDP, Annual Development Plan (for FY 2017-18) and budget (for FY 2017-18) approved and published (on-line). (Note: The approved versions have to be the version published on county website) (PFM Act, Art 126 (4).</p> <p>MoV: CIDP, ADP, and budget approval documentation, minutes from council meetings and review of county web-site.</p> | | MET | <p>The County Government of Mombasa has provided the following to support their evidence:-</p> <p>1. The County has published the CIDP 2013-2017 in soft copy REF.DOC CGM/017/MPC4</p> <p>2. The County has published the Annual Development Plan for the financial year 2017/18 dated 31st August 2016 in soft copy. REF.DOC -CGM/018/MPC4</p> |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|---|--|--|---|-------------------------|--|
| | | | | | 3. The County has published the approved Budget for the FY 2017/18 as evidenced by Document No. CGM/001, this includes the forwarding letters to the assembly. REF.DOC CGM/001/MPC |
| Use of funds in accordance with Investment menu | | | | | |
| 5. Adherence with the investment menu 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 | To ensure compliance with the environmental and social safeguards and ensure efficiency in spending. | Project proposals for use of FY 2017-18 Level 2 grants ¹⁾ are fully consistent with the investment menu (eligible expenditures and non-eligible expenditures) as defined in the PG Grant Manual. <u>MoV:</u> Project proposal for current ACPA (i.e. Nov 2018). For the next ACPA. Review financial statements against the grant guidelines. Check up on use of funds from the C&PG through the source of funding in the chart of accounts (if possible through the general reporting system with Source of Funding codes) or special manual system of reporting as defined in the | <u>Please have the list of 13 counties</u> that qualified for level -2 grant N.B. The first level 2 grants were granted in FY17/18 even though released in early FY18/19 | N/A | The County Government of Mombasa did not qualify for level two Grants for the FY 2017/18 hence not subject to assessment of this indicator. |

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



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| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|---|--|--|-------------------------|--|
| | | Capacity and Performance Grant Manual) Review budget progress reports submitted to CoB. | | | |
| Procurement | | | | | |
| 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 2017-18.</p> <p><u>MoV:</u> Review procurement plan of each procurement entity and county consolidated procurement plan and check up against the budget whether it encompasses the needed projects and adherence with procurement procedures.</p> <p>The procurement plan(s) will have to be updated if/and when there are budget revisions, which require changes in the procurement process.</p> <p>Note that there is a need to check both the consolidated procurement plan for 1) the assembly and 2) the executive, and whether it is</p> | The situation <u>during</u> FY 2017-18 to be assessed. ACPA to identify last budget revision for FY 2017-18 and then assess whether the consolidated procurement plan existed <u>and</u> was updated. (Emphasis should be on the Executive procurement plan 17/18) | MET | <ol style="list-style-type: none"> Updated consolidated procurement plan for the executive availed. <p>REF.DOC CGM/074/MPC6</p> <ol style="list-style-type: none"> Updated consolidated procurement plan for the county assembly not availed. The team checked up the sectorial procurement plans against the sector budget and was convinced that it encompasses the needed projects and far still it adheres with procurement procedures and guidelines. The team also noted that when the budget is revised the procurement plan for the executive is amended to factor in the revisions. |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|--|---|------------------------------------|-------------------------|---|
| | | revised when budget revisions are made. | | | |
| Core Staffing in Place | | | | | |
| 7. County Core staff in place | To ensure minimum capacity in staffing | <p>Core staff in place (see also County Government Act Art. 44). The following staff positions should be in place:</p> <ul style="list-style-type: none"> • Procurement officer • Accountant () • Focal Environmental and Social Officers designated to oversee environmental and social safeguards for all subprojects • M&E officer <p><u>MoV</u>: Staff organogram, schemes of service to review the qualifications against requirements (hence the staff needs to be substantive compared to the schemes of service), sample check salary payments, job descriptions, interview, and sample checks. Staff acting in positions may also fulfill the conditions if they comply with the qualifications required in the schemes of service.</p> | At the point of time for the ACPA. | MET | <p>The core staff for the following positions was in place: Procurement officer - Mr. Abdul Zubeir. Letter of Appointment dated 4th May 2016 Ref CPSB/RECRUIT/Vol. 1/05/2016(18) and signed by Mr. Juma Mbaya, the CEO Public Service Board. CGM/038/MPC7. His qualifications are Masters of Science in International Logistics, Procurement, and Supply Chain Management, Bachelors in Commerce, Member Kenya Institute of Supplies Management.</p> <p>Accountant-Mr. Stephen Kariuki Muiyuro. Letter of Appointment dated 31st January 2011 Ref No. C/130802/XIX (69) and signed by Mugambi Nyaga – For Permanent Secretary. REF.DOC CGM/075/MPC7.</p> |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|------------------------|--|----------|-------------------------|--|
| | | | | | <p>His qualifications are Bachelors Business Management. Diploma in Business Education, ICPAK Member.</p> <p>Focal Environmental and Social Officer designated to oversee environmental and social safeguards for all subprojects –M/S. Arafa Abdalla Amur. Letter of Appointment dated 29th March 2017 and signed by Mr. Jeizan Faruk – Ag. Chief Executive Officer and Secretary to the Public Service Board. Her qualifications are Bachelors in Science in Agro-forest and Rural Development.</p> <p>CGM/039/MPC7</p> <p>Monitoring and Evaluation officer- Mr. Affan Mohammed. Letter of Appointment dated 1st July 2017 Ref. CPSB/APPTS/01/07/2017 (1) and signed by Mr. Jeizan Faruk – Chief Executive Officer and Secretary to the Public Service Board. His</p> |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|---|---|--|-------------------------|--|
| | | | | | qualifications are Bachelor of Arts in Economics. CGM/045/MPC7 |
| Environmental and social Safeguards | | | | | |
| 8. Functional and Operational Environmental and Social Safeguards Systems (i.e. screening/vetting, clearance/ approval, enforcement & compliance monitoring, documentation & reporting) in place | <p>To ensure that there is a mechanism and capacity to screen environmental and social risks of the planning process prior to implementation, and to monitor safeguard during implementation.</p> <p>To avoid significant adverse environmental and social impacts</p> <p>To promote environmental and social benefits and ensure sustainability</p> <p>To provide an opportunity for public participation and consultation in the safeguards process (free, prior and informed consultations – FPIC)</p> | <p>1. Counties endorse, ratify and comply with an environmental and social management system to guide investments (from the ACPA starting September 2016).</p> <p>MOV: NEMA Certification of subprojects. Relevant county project documents.</p> <p>2. Appointed environmental and social focal points are actively involved in screening, overseeing comprehensive and participatory ESMPs for all KDSP investments.</p> <p>MOV: (ACPA 3) relevant county project documents.</p> <p>3. All proposed investments are screened* against a <u>set of environmental and social criteria/checklist</u>, safeguards instruments prepared. (Sample 5-10</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 3rd AC&PA, see the previous column for details).</p> <p>Please ensure that the teams possess the environmental and social criteria/checklist—see program operations manual (pg).</p> | MET | <p>The County has endorsed and ratified the environmental and social management system to guide investments through a draft environmental Policy aimed towards the reorganization of governance and service within the environment sector.</p> <p>CGM/055/MPC8</p> <p>1. All proposed investments presented in Mombasa County are screened against a set of environmental and social criteria/checklist. They also have put in place safeguards and instruments prepared.</p> <p>CGM/051/MPC8, CGM/053/MPC8</p> <p>2. The County Government of Mombasa has not prepared any relevant RAP (Resettlement Action Plan) for all investments with any displacement; this is</p> |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|------------------------|---|----------|-------------------------|--|
| | | <p>projects). (From the second AC&PA, Sept. 2016).</p> <p>4. ESIs or detailed ESMPs are developed for all investments drawing on inclusive public consultations on E&S impacts of specific investments. All proposed investments are located on properly registered public land, and where necessary, proper land acquisition and compensation procedures are followed and Abbreviated Resettlement Action Plans (ARAPs) are developed and implemented for all involuntary resettlement or livelihood impacts.</p> <p>MOV:</p> <ul style="list-style-type: none"> • Required safeguard instruments prepared and approved by the relevant authorities. • Proper land acquisition procedures were | | | <p>because since the county came to place they have not undertaken any project that requires people to be resettled. They have prepared project Reports for investments for submission.</p> <p>3. The County Government of Mombasa has established a County Environment Committee and the same is pending gazettelement</p> <p>CGM/052/MPC8</p> <p>4. It also provided a sample of a Restoration Order dated 29th September 2016 to St. Augustine's Preparatory School in violation of the EMCA Act in relation to soil dumping.</p> <p>EF.DOC</p> <p>CGM/054/MPC8</p> <p>5. The County Government of Mombasa has provided sample endorsement from NEMA</p> <p>CGM/104/MPC8</p> <p>6. The County Government</p> |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|------------------------|--|----------|-------------------------|--|
| | | <p>followed²</p> <p>5. Operational/functioning County Environment Committee (either set up as per EMCA or technical committee established by the County Government). <u>MoV</u>: Evidence of gazettelement or appointment of members and meeting minutes.</p> | | | <p>of Mombasa has the Beautification Act 2018 which is an Act to provide for the beautification of Mombasa.</p> <p>CGM/102/MPC8 The county complied with the NEMA guidelines a sample of 10 projects shows applications to NEMA for certification;</p> <p>1) Construction to Cabro standard of a section of the access road to Mtongwe village. CGM/092/MPC8</p> <p>2) Mombasa City CBD Restoration Project- Pedestrian Walkway improvement and drainage works on Moi Avenue. CGM/093/MPC8</p> <p>3) Construction of a section of Kongoni and Bandari Roads to Cabro standards. CGM/094/MPC8</p> <p>4) Proposed Hospital in Mtongwe for County Government of</p> |

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



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|------------------------|--|----------|-------------------------|--|
| | | | | | <p>Mombasa.</p> <p>CGM/095/MPC8</p> <p>5) Proposed Construction of Public Toilets at Shanzu Matatu Stage.</p> <p>CGM/096/MPC8</p> <p>6) Proposed Construction of ECD Centre Longo Primary School.</p> <p>CGM/097/MPC8</p> <p>7) Proposed Hospital in Marimani for County Government of Mombasa.</p> <p>CGM/098/MPC8</p> <p>8) Proposed refurbishment of Revenue Office at Works Building Shimanzi.</p> <p>CGM/099/MPC8</p> <p>9) Proposed Construction of ECD Centre Likoni Primary School.</p> <p>CGM/100/MPC8</p> <p>10) Mombasa City CBD Restoration Project- Pedestrian Walkway improvement and drainage works on Makadara.</p> <p>REF.DOC</p> <p>CGM/101/MPC8</p> <p>ESIAs or detailed ESMPs are developed for investment</p> |



Annual Capacity & Performance Assessment Report (ACPA)

| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|--|--|------------------------------------|-------------------------|--|
| 9. Citizens' Complaint system in place | To ensure a sufficient level of governance and reduce risks for mismanagement. | <p>Established an Operational Complaints Handling System including:</p> <ul style="list-style-type: none"> Formally approved and operational grievance handling mechanisms to handle complaints pertaining to the administrative fiduciary, environmental and social systems (e.g. complaints/grievance committee, county Ombudsman, county focal points etc). <u>MoV</u>: Proof of formal establishment and operations of complaints handling system (more than half of the below): formal designation of responsible persons and their functions in complaints handling () standards, guidelines or service charters that regulate how complaints are handled register(s) of complaints and actions taken on them Minutes of meetings in | At the point of time for the ACPA. | MET | <p>projects the above projects;</p> <ul style="list-style-type: none"> The County Government of Mombasa has a complaint and grievance committee. <p>REF.DOC CGM/056/MPC9</p> <ul style="list-style-type: none"> There is a designated officer for the county Ombudsman- Ms. Khadija Yusuf. Letter of Appointment 23rd May 2018 Ref: MCPSB/APPTS/23/05/2018(1). Her qualifications are Bachelors of Laws and an Advocate of the High Court of Kenya. <p>REF.DOC CGM/057/MPC9</p> <ul style="list-style-type: none"> There is the formal designation of responsible persons and their functions in complaints handling ran by the Civic Education & Public Participation Department. <p>REF.DOC CGM/058/MPC9</p> <ul style="list-style-type: none"> The team found county |



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| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|------------------------|---|----------|-------------------------|---|
| | | <p>which complaints handling is discussed within the internal framework for handling complaints.</p> <ul style="list-style-type: none"> • Reports/communication to management on complaints handled • Evidence of a feedback mechanism to the complainant on the progress of complaint. <p><i>See also County Government Act Art. 15 and 88 (1)</i></p> | | | <p>standards, guidelines that regulate how complaints are handled through the adoption of the national framework guidelines for resolution of public complaints. The County approved official complaints management structure and has a Draft policy on Complaints management.</p> <p>REF.DOC CGM/059-061/MPC9</p> <ul style="list-style-type: none"> • The team did find a register(s) of complaints and actions taken on them. <p>REF.DOC CGM/062/MPC9</p> <ul style="list-style-type: none"> • The team did find minutes of meetings in which complaints handling are discussed within the internal framework for handling complaints. <p>REF.DOC CGM/063/MPC9</p> <ul style="list-style-type: none"> • The team found reports or communication to management on |



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| Minimum Performance Conditions for Capacity & Performance Grants (level 2) | Reason and Explanation | Detailed indicator and Means of Verification | Comments | Assessment met/ not met | Detailed assessment findings |
|--|------------------------|--|----------|-------------------------|--|
| | | | | | <p>complaints handled and the report of its handling.</p> <p>REF.DOC CGM/107/MPC9</p> <ul style="list-style-type: none">The team found evidence of a feedback mechanism to the complainant on the progress of complaint. <p>REF.DOC CGM/062/MPC9</p> |



4.3 Performance Conditions

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

| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|--|--|--|--|---|---|-----------------------|---|
| A. KRA 1: Public Financial Management; Maximum 30 points available | | | | | | | |
| (a). Strengthened budget formulation, resource mobilization, and allocation | | | | | | | |
| 1.1 | Program Based Budget prepared using IFMIS and SCOA | Budget format and quality | The annual budget approved by the County Assembly is: a) Program Based Budget format. | Review county budget document, IFMIS up-loads, 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). | Maximum 2 points. 2 milestones (a & b) met: 2 points If 1 of the milestones met: 1 point | 1 | a) The County prepared a program based budget for the FY 2017/18 in the required format. The same was approved by County Assembly on 12 th January 2017. REF.DOC CGM/001/KRA 1 |
| | | | 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 | The draft Budget was developed using the IFMIS Hyperion module. REF.DOC CGM/002/KRA1.1 |
| 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 | PFM Act, art 128, 129, 131. Review file copy of circular as issued, and check that a sample of entities received it by end August. | Max. 3 points If all 5 milestones (a-e) achieved: 3 points If 3-4 items: 2 points If 2 items: 1 point | 2 | a) The County Government prepared a Finance Circular for all government entities through Circular No. 1/2016 by 15 th July 2016 and the circular REF.DOC |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|-----|------------------|------------------|--|---|------------------------------|-----------------------|---|
| | | | county government entities with guidelines to be followed 31 st August 2016; | | If 1 or 0 items: 0 points. | | CGM/003/KRA1.2 |
| | | | b) County Budget review and outlook paper – submission by county treasury to CEC by 30 September 2016 to be submitted to the County assembly 7 days after the CEC has approved it but no later than 15 th October 2016. | Review file copies; check that C-BROP was submitted to Executive committee by 30 September and to the County Assembly no later than 15 th October and published online by 30 th November. | | | b) County Budget review and outlook paper presented to the County Assembly on 29 th October 2016 and the same were passed without amendments on 6 th October 2017 and published online in soft copy. REF.DOC CGM/004/KRA1.2 |
| | | | c) County fiscal strategy paper (FSP) – submission (by county treasury) of county strategy paper to county executive committee by 28 th Feb, County Treasury to submit to county assembly by 15 th of March and county assembly to discuss within two weeks after the mission. | Review file copies, check that FSP was submitted to the executive committee by 28 th Feb and to county assembly by 15 th of March. Check assembly records for evidence that county assembly discussed FSP within 2 weeks of submission. | | | County fiscal strategy paper (FSP) submitted on 24 th November 2016 to the County Assembly REF.DOC CGM/005/KRA1.2 |
| | | | d) CEC member for finance submits budget estimates to county assembly by 30 th April latest. | Check file copy for evidence of when estimates were submitted to assembly. | | | The County submitted a budget estimate for the FY 2017/18 to the County Assembly on 30 th April 2017. REF.DOC CGM/007/KRA1.2 |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|-----|------------------|---------------------------|--|---|--|-----------------------|---|
| | | | e) County assembly passes a budget with or without amendments by 30 th June latest. 2017 CHECKLIST <u>Circular from CEC finance, county budget review outlook paper (CBROP);</u> <u>County fiscal strategy paper; approved budget 2017/18 both legislature & executive;</u> <u>The process runs from Aug 2016-june 2017</u> | Review evidence that budget was passed by the assembly by 30 th June | | | The County Government of Mombasa through its County assembly passed the budget for the FY 2017/18 without amendments on 30 th April 2017. REF.DOC CGM/007/KRA1.2 |
| 1.3 | | The credibility of budget | a) Aggregate expenditure outturn compared to original approved budget. | N.B. For both measures, the original (not supplementary) budget is used a) divide total expenditure in FY 2017/18 (from financial statements) by total budget for FY 2017/18 | Max. 4 points. (either –or +) a): If deviation is less than 10%, 2 points. If deviation is between 10 and 20%, 1 point. More than 20 %: 0 point. | 1 | a) The approved budget for the executive for FY 2017/18 was Kshs. 12,513,800,701.00 and its Aggregate expenditure for Kshs 11,258,288,712.00 which translates to Kshs 1,255,511,989.00 which is equivalent to 10% variance. b) |
| | | | b) Expenditure composition for each sector matches the originally approved budget allocations (average across sectors). checklist | Follow the PEFA methodology for indicator PI-2. There is a spreadsheet available on the PEFA website that can be used to calculate the PI-2 percentage: http://www.pefa.org/sites/pefa.org/files/En-PI-1%20%26%20PI-2%20Exp%20calculation-Jan%202015.xls | Ad b): If PI-2 percentage (calculated using PEFA methodology) is less than 10 % then 2 points. If 10-20 % then 1 point. More than 20 %: 0 points. | | |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|---|--|---|---|---|---|-----------------------|---|
| | | | Quarterly Budget Progress Reports + refer to the PFM Act | | | | |
| (b). Revenue Enhancement | | | | | | | |
| 1.4 | Enhanced revenue management and administration | Performance in revenue administration | Automation of revenue collection, immediate banking and control system to track collection. | Compare revenues collected through automated processes as % of total own source revenue. | Max: 2 points. Over 80% = 2 points Over 60% = 1 point | 2 | CGM had 100% automated revenue system summing up t Ksh. 3,159,131,096.00. |
| 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 15/16 & 16/17 | Compare annual Financial Statement from last two years (Use of nominal figures including inflation etc.). | Max. 1 point. If the increase is more than 10 %: 1 point. | 0 | Own Source Revenue for the FY 2015/16 was Ksh. 2,943,520,686 and for FY 2016/17 was Ksh. 3,159,131,096 which represents an increase of Ksh. 215,610,410 equivalent to percentage increase of 7.3% CGM/027/KRA1.5 CGM/011/KRA1.5 |
| (c). Enhanced capacity of counties on execution (including procurement), accounting and reporting | | | | | | | |
| 1.6 | Reporting and accounting in accordance with PSASB guidelines | Timeliness of in-year budget reports (quarterly to Controller of Budget). | a) Quarterly reports submitted no later than one month after the quarter (consolidated progress and expenditure reports) as per format approved by Public Sector Accounting Standards Board (PSASB), submitted to the county assembly with copies to the controller of the budget, National Treasury and CRA. | Review File copies/records of when quarterly reports for FY 2017/18 were submitted to the county assembly, CoB and National Treasury. Review whether the reports met relevant formats. Review website and copies of local media for evidence of publication of summary revenue and expenditure outturns. | Max. 2 points. (a & b) At least 3 of 4 Submitted on time and published: 2 points. (a only): At least 3 of 4 Submitted on time only; not published: 1 point. | 1 | a) 4 Quarterly reports were availed and submitted to the CoB. 1 st Quarter being submitted to the County Assembly on 5 th Nov 2017, NT on 6 th Nov 2017, CoB on 6 th Nov 2017 and the CRA on 6 th Nov 2017 CGM/066/KRA1.6. 2 nd Quarter being submitted to the County Assembly on 11 th |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|-----|------------------|---------------------------------|---|--|---|-----------------------|---|
| | | | b) Summary revenue, expenditure and progress report is published in the local media and/or web-page. | CHECKLIST: refer to PFM Act 166; CFAR, Section 8; website copy should be for 2017/18 Also, note that format for this reports are on national treasury website hence check if county report complies with the same. | | | Jan 2017, NT on 11 th Jan 2017, CoB on 11 th Jan 2017 and the CRA on 11 th Jan 2017 CGM/108/KRA1.6 3 rd Quarter being submitted to the County Assembly on 25 th Apr 2018, NT on 26 th Apr 2018, CoB on 26 th Apr 2018 and CRA on 26 th Apr 2018. CGM/067/KRA1.6. 4 th Quarter being submitted to the County Assembly on 7 th Aug 2018, NT on 8 th Aug 2018, CoB on 8 th Aug 2018 and CRA on 8 th Aug 2018. CGM/068/KRA1.6. b) There was no evidence of summary revenue, expenditure and progress report that was published in the local media and/or web-page. |
| 1.7 | | Quality of financial statements | Formats in PFMA and approved by Public Sector Accounting Standards Board (PSASB) are applied and the FS include core issues such as closing balances, budget execution report, schedule of outstanding payments, an | 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 | Max. 1 point. All requirements met: 1 point | 1 | Financial statements were prepared with the IPSAS format and met all the requirements. REF.DOC CGM/026/KRA1.7 |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? <i>(to be filled in by county)</i> |
|-----|------------------|---|--|--|---|-----------------------|---|
| | | | appendix with fixed assets register. | Manual (CFAR – section 8) and IPSAS format requirements. If possible review ranking of FS by NT (using the County Government checklist for in-year and annual report), and if classified as excellent or satisfactory, conditions are also complied with. (MAY NEED COPIES FOR FURTHER VERIFICATION ESP FOR TECHNICAL ISSUES) | | | |
| 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. | Max. 2 points. If all milestones (1-3) met for at least 10 out of 12 months: 2 points If 1 or 2: 1 point If none: 0 points. | 0 | There were no monthly reports done |



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|-------------------|-----------------------|--|--|--|--|-----------------------|---|
| 1.9 | | Asset registers up-to-date and inventory | Assets registers are up-to-date and independent physical inspection and verification of assets should be performed once a year. Focus on assets acquired from 2013; Consolidated Registers are up-to-date: (can be electronic or manual; | Review assets register and sample a few assets to ensure accuracy. N.B. in first self-assessment, assets register need only to contain assets acquired by county governments since their establishment. From <u>Second year</u> onwards: register must include all assets, including those inherited from Local Authorities and National Ministries | Max. 1 point. Consolidated registers are up-to-date: (can be electronic or manual) 1 point. | 1 | Asset registers availed and were last updated on the 3 rd May 2018. REF.DOC CGM/011/KRA1.9 |
| (d). Audit | | | | | | | |
| 1.10. | Internal audit | Effective Internal audit function | An internal audit in place with quarterly Internal Audit reports submitted to Internal Audit Committee (or if no IA committee in place, then reports submitted to Governor) | Review file copy of audit reports as submitted to the Internal Audit Committee or Governor (as applicable) for the previous FY. Check against the PFM Act Art 155 | Max. 1 point. 4 quarterly audit reports 2017/18 submitted in previous FY: 1 point. | 1 | 4 Quarterly Internal audit reports were availed. CGM/113/KRA1.10 |
| 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 IA/Audit Committee. Review minutes etc. of committee meetings for evidence of review of internal audit reports. Review evidence of follow-up, i.e. evidence that there is an ongoing process to address the issues raised from last FY, e.g. control systems in place, etc. | Max. 1 point. IA/Audit Committee established and reports reviewed by the Committee and evidence of follow-up: 1 point. | 1 | Internal Audit Committee in place with four members appointed on 14 th August 2017. Namely:- <ul style="list-style-type: none"> • Mohammed Mohammed as the Chairperson appointment, • Deche C Mwasaha as a member, • Fuad Rashid Kale as a member and, |



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|------|------------------|------------------------|--|--|--|-----------------------|--|
| | | | | (evidence from follow-up meetings in the Committee). PFM Act Art 155. | | | <ul style="list-style-type: none"> Ronald N Oyagi as a member CGM/109/KRA1.11 CGM/110/KRA1.11 CGM/111/KRA1.11 CGM/112/KRA1.11 Minutes to show adjudication of Audit Issues provided. CGM/023/KRA1.11 In terms of review of actions proposed by the audit committee, the team did review the minutes of the follow up meetings dated 13th April 2018 and was not convinced that there is evidence of follow-up and process to address the issues raised from last FY, this included the control systems to be put in place especially in the expenditure side, the procurement function to utilize IFMIS in its procurement among others. |
| 1.12 | External audit | Value of audit queries | The value of audit queries as a % of total expenditure Use 2015/16 & 2016/2017 | Review audit report from OAG. Divide the value of audit queries as per the Audit Report by the | Max. 2 points Value of queries less than 1% of total | 0 | The total value of audit queries in 2016/17 is Kshs. 21,661,552,450 while the expenditure for the financial |



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|------|------------------|---|--|--|--|-----------------------|---|
| | | | | total expenditures as per the financial statement. | expenditures: 2 points Less than 5% of total expenditure: 1 point | | year 2016/17 is Kshs 21,661,552,450 this translates to 49.46% as a percentage of total expenditure. |
| 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. | Max. 1 point. Audit queries (in terms of value) have reduced from last year but one to last year or if there are no audits queries: 1 point. | 1 | The total value of audit queries in 2016/17 is Kshs 21,661,552,450 while the Total Value of Queries in 2015/16 Kshs 43,123,799,208 which is a variance of Kshs 21,462,246,758 which a reduction of 49.7% |
| 1.14 | | Legislative scrutiny of audit reports and follow-up | Greater and more timely legislative scrutiny of external audit reports within the required period and evidence that audit queries are addressed Use 2015/16 & 2016/2017 | Minutes from meetings show scrutiny of audit reports. Reports on file demonstrating that steps have been taken to address audit queries. | Max. 1 point. Tabling of the audit report and evidence of follow-up: 1 point. | 1 | The County has submitted their external audit reports within the required period to the legislative scrutiny of the evidence that audit queries are addressed. This was established by the letter dated 13 th February 2018 Ref: MSA/MSA/EXE/2016/17 (4) CGM/112/KRA1.14 The County Government of Mombasa has evidence that audit queries are being addressed by the relevant organs in the government. CGM/080/KRA1.14 |



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|-------------------------|--|---|---|---|---|-----------------------|---|
| (e). Procurement | | | | | | | |
| 1.15 | Improved procurement procedures | Improved procurement procedures including use of IFMIs, record keeping, adherence to procurement thresholds and tender evaluation | 25 steps in the IFMIS procurement process adhered with. (all the 25 steps have a unique serial number check out if it tallies in all steps & notes that one will have to visit different officers depending on the procurement stage) | Sample 5 procurements at random (different size) and review steps complied with in the IFMIS guidelines. Calculate average steps complied with in the sample. | Max. 6 points. a) IFMIS Steps: <15steps=0 points; 15-23=1 point; 24-25=2 points | 2 | The County follows all 25 IFMIS e-procurement steps proved by the printing of the final copy of the Local Purchase Order. CGM/115/KRA1.15 |
| | | | b) County has submitted required procurement reports to PPRA on time. | Review reports submitted. Annual reports, plus reports of all procurements above a threshold size. | b) Timely submission of quarterly reports to PPRA (both annual reports plus all reports for procurements above proscribed thresholds): 1 point | 1 | Proof of Submission of procurement reports is submitted to PPRA. CGM/013/KRA1.15 |
| | | | c) Adherence with procurement thresholds and procurement methods for type/size of procurement in a sample of procurements. (goods and services above 2M check if advertised for open tender e.g. is there a newspaper advert in newspapers? If below 2M was requested for quotation done? Works above 4M was open tender done?) | Check the documentation on a sample of 5 procurements of different sizes at random. | c) Adherence with procurement thresholds and procurement methods for type/size of procurement in a sample of procurements: 1 point. | 1 | 5 procurements Adhered with procurement thresholds and procurement methods: 1. Supply and Delivery of High-Density Fibre Fishing Boats Equipped with Fishing gears as accessories. Ref: CGM/PRO/T/8/2017 – 2018 for was Kshs. 198,975,431.04. 2. Assessment Study on the Socio-Economic Impact of the operationalization of |



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|-----|------------------|------------------|---|--|--|-----------------------|---|
| | | | | | | | <p>SGR in Mombasa County.Ref: CGM/PRO/T/10/2018 – 2018 for Kshs.14,873,520</p> <p>3. Main Sewer line serving Buxton Housing Estate for the Department of Land, Planning, and Housing. Ref: CGM/PRO/QTN/207/2017 – 2018 at Kshs.3,522,862</p> <p>4. Provision of Installation of 2 number booster pumps, pressure tanks and construction of sewer line at Bima Tower for Department of Lands.Ref: CGM/PRO/QTN/148/2017 – 2018 at Kshs. 1,834,600</p> <p>5. Supply and Delivery of Printed Success Cards as per sample to all sub-county education offices Ref: CGM/PRO/QTN/15/2017 – 2018 at Kshs. 1,994,239</p> |
| | | | d) Secure storage space with adequate filing space designated and utilized: single files containing all relevant documentation in one place are stored in this secure storage space (1 point) | Check for secure storage space and filing space, and for a random sample of 10 procurements of various sizes, review contents of files to make sure they are complete. | d) Storage space and single complete files for sample of procurements: 1 point | 1 | CGM has sectorial storage for its own Procurement Files in different offices which are overseen by the procurement officers stationed in each department. |



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|----------|---|--|--|--|---|-----------------------|---|
| | | | e) Completed evaluation reports, including individual evaluator scoring against pre-defined documented evaluation criteria, and signed by each member of the evaluation team, (2 points) | Check files on a sample of 5 procurements, especially the evaluation reports. | e) Evaluation reports complete: 1 point | 1 | CGM provided Completed evaluation reports for the projects mentioned on 1.15 c above that included individual evaluator scoring against pre-defined documented evaluation criteria, and signed by each member of the evaluation team. Evidence in Soft Copy |
| B | Key Result Area 2: Planning and M&E Max score: (tentative 20 points) | | | | | | |
| 2.1 | County M&E system and frameworks developed | County M&E/ Planning unit and frameworks in place. | a) Planning and M&E units (may be integrated into one) established. (organogram) b) There is designated planning and M&E officer and each line ministry has a clearly nominated/designated focal point for planning and one for M&E (letter of appointment) 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. | Maximum 3 points The scoring is 1 point per measure Nos. a-c complied with A: 1 point B: 1 point C: 1 point | 3 | a) Staff Organogram availed. CGM/045/KRA2.1. b) The County Government has a Planning Officer – M/S. Jane Githui. CGM/036/KRA2.1. Designated M&E Officer - Mr. Affan Mohammed. CGM/015/KRA2.1. Statistician- Mrs. Jennifer Atieno Patta. Letter of Appointment dated 17 th Aug 2017 Her qualifications are Bachelors of Arts in Economics & Statistics. CGM/015/KRA2.1. c) The County Government of Mombasa has a budget for |



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|-----|---|---|---|--|--|-----------------------|---|
| 2.2 | | County M&E Committee in place and functioning | County M&E Committee meets at least quarterly and reviews the quarterly performance reports. (I.e. it is not sufficient to have hoc meetings). Minutes & appointment letters | Review minutes of the quarterly meeting in the County M&E Committee to see whether committee met quarterly and whether quarterly performance reports were reviewed. | Maximum: 1 point Compliance: 1 point. | 1 | M&E equivalent to Kshs 60,000,000 REF DOC CGM/001/KRA2.1. The County has a County M&E Committee in place comprising of thirty members developed by the County for FY 2017/18. It has held various meeting and minutes and deliberations REF DOC CGM/016/KRA2.1. |
| 2.3 | County Planning systems and functions established | CIDP formulated and updated according to guidelines | a) CIDP: adheres to structure of CIDP guidelines issued by MoDA b) CIDP (2013-2017) has clear objectives, priorities and outcomes, reporting mechanism, result matrix, key performance indicators included; c) Annual financing requirement for full implementation of CIDP does not exceed 200% of the previous FY total county revenue. | CIDP submitted in the required format (as contained in the CIDP guidelines published by MoDA - CIDP guidelines, 2013, chapter 7). Compare annual financing requirement with the total resource envelope for the current year. | Maximum: 3 points 1 point compliance with each of the issues a,b,c A: 1 point B: 1 point C: 1 point | 3 | a) IDP for 2013-2017 adheres to guideline structure of CIDP guidelines REF DOC CGM/017/KRA2.2. b) The County Government of Mombasa CIDP has clear objectives, priorities, and outcomes as stated in pages 53 reporting mechanism as stated in pages 136 result matrix as stated in pages 221 key performance indicators included as stated in pages 221. c) The total revenue for FY 2016/17 being Ksh. 9,530,991,400 ADP COSTING 12,534,448,384 this translating |



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|-----|------------------|--|---|--|--|-----------------------|--|
| 2.4 | | ADP submitted on time and conforms to guidelines | a) Annual development plan submitted to Assembly by September 1 st . 2016 in accordance with required format & contents. b) ADP contains issues mentioned in the PFM Act 126,1, <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 st . Check the ADP against the PFM Act | Maximum: 4 points Compliance a): 1 point. b) All issues from A-H in the PFM Act Art126,1: 3 points 5-7 issues: 2 points 3-4 issues: 1 point, see Annex. | 4 | This percentage of 131% does not exceed 200% of the previous FY total county revenue in the Annual financing requirement for full implementation of CIDP. a) Annual development plan submitted to Assembly for the FY 2017/18 on 31 st August 2016 in accordance with required format & contents. (Soft copy online.) CGM/018/KRA2. b) The ADP submitted contains issues mentioned in the PFM Act 126,1, number A-H |
| 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) | a) Review the three documents: CIDP, ADP and the budget. The budget should be consistent with the CIDP and ADP priorities. b) The total costing of the ADP is within +/- 10% of the final budget allocation. Sample 10 projects and check that they are consistent between the two documents. | Maximum: 2 points Linkages and within the ceiling: 2 points | 2 | a) The following sampled projects have complied and showed linkages between the CIDP 2013-2017, ADP 2017/18 and the Budget 2017-18: <ul style="list-style-type: none">Construction of Vikwatani Hospital in Kadzandani Ward Pg 173 of CIDP, Pg 67 of ADP and allocated Kshs 17M Pg XXX.Equipping of Marimani Sub County Hospital in Mwakirunge Ward - |



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|-----|------------------|------------------|---|---|------------------------------|-----------------------|---|
| | | | | | | | <p>Ministry of Health. Pg 174 of CIDP, Pg 67 of ADP and allocated Ksh. Pg XXX in the Budget.</p> <ul style="list-style-type: none"> • Purchase for TukTuk Ambulance for Junda Health Clinic in Junda Ward - Pg 175 of CIDP, Page 68 of ADP and Pg XXX Budget. • Equipping of Mtongwe Health Facility in Mtongwe Ward. Page 175 of CIDP, Page 68 of ADP and Pg XXX in the Budget Budget. • Renovation of Alms House in Mvita Sub County Todur Ward. Page 195 of CIDP, Page 76 of ADP and Pg XXX Budget. • Completion of Uwanjawa Mbuzi Stadium in Kongowea Ward. Page 196 of CIDP, Page 76 of ADP and Pg XXX Budget. • Rehabilitation of Makupa Poultry slaughter House in Majengo Ward. Page 221 of CIDP, Page 81 of ADP and Pg XXX in the Budget • Improvement of Mama Ngina Road in Nyali Ward. Page 156 of CIDP, Page 33 |



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|-----|---|---|---|--|---|-----------------------|---|
| | | | | | | | <p>of ADP and Pg XXX in the Budget.</p> <ul style="list-style-type: none"> • Construction of Turkey Base Chembani - Vikwatani Road in Mtopanga Ward. Page 156 of CIDP, Page 32 of ADP and Pg XXX in the Budget. • Construction of Digirikani ECD centre. Page 167 of CIDP, Page 61 of ADP and Pg XXX in the Budget <p>b) The total costing of the ADP is 7% of the final budget allocation in the sampled projects above and are consistent between the two documents</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</p> <p>c) C-APR includes clear performance progress against CIDP indicator targets and within result matrix for results and implementation.</p> <p>(look at the indicators in the CIDP matrix chap 6)</p> | <p>Check 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 C-ADP, the county still qualifies for these points)</p> | <p>Maximum: 5 points.</p> <p>a) C-APR produced = 2 points</p> <p>b) C-APR produced by the end of September: 1 point.</p> <p>c) C-APR includes performance against CIDP performance indicators and targets and with</p> | 5 | <p>a) CGM has a C-APR approved by the County Assembly CGM/011/KRA2.6</p> <p>b) The C-APR was produced on time as per the regulations in place as it was produced on 28th August 2018.</p> <p>c) CGM having provided a C-APR and includes clear performance progress against CIDP indicator targets and within result</p> |



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|-----|------------------|-----------------------------|--|--|--|-----------------------|--|
| | | | | | result matrix for results and implementation: 2 points. (N.B. if results matrix is published separately, not as part of the C-ADP, the county still qualifies for these points) | | matrix for results and implementation. |
| 2.7 | | Evaluation of CIDP projects | Evaluation of completion of major CIDP projects conducted on an annual basis. eg. flagship project, wide outreach, has full impact assessment reports, mid-term reviews etc.) | Review evaluation reports for at least 3 large projects. | Maximum: 1 point. Evaluation is done for at least three large projects: 1 point. | 1 | An Evaluation Report of completion of major CIDP projects conducted for the FY 2017/18 which was done by the M&E Sector of the County Government known as the County Annual Performance Review Report as evidenced by Document No. CGM/019 for the following projects: 1) Construction of Vikwatani Hospital in Kadzandani Ward Page 173 of 2013/2017 CIDP, Page 67 of 2017/18 ADP and allocated Kshs 17M in the 2017/18 Budget. 2) Equipping of Marimani Sub County Hospital in Mwakirunge Ward - Ministry of Health. Page 174 of |



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|----------|---|---|---|---|--|-----------------------|--|
| | | | | | | | 2013/2017 CIDP, Page 67 of 2017/18 ADP and allocated Kshs 30M in the 2017/18 Budget. 3) Purchase for TukTuk Ambulance for Junda Health Clinic in Junda Ward - Page 175 of 2013/2017 CIDP, Page 68 of 2017/18 ADP and allocated Kshs 3.7M in the 2017/18 Budget 4) Equipping of Mtongwe Health Facility in Mtongwe Ward. Page 175 of 2013/2017 CIDP, Page 68 of 2017/18 ADP and allocated Kshs 30M in the 2017/18 Budget. |
| 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-APR2016/17 informing ADP 17/18and budget | Review the two documents for evidence of C-ARP informing ADP and budget | Maximum: 1 point. Compliance: 1 point. | 1 | The County's ADP and budget are informed by the C-APR REF DOC CGM/019/KRA2.8 |
| C | Key Result Area 3: Human Resource Management Max score: 12 points. | | | | | | |
| 3.1 | Staffing plans based on functional and organization assessments | Organizational structures and staffing plans | a) Does the county have an approved staffing plan in place, with annual targets? b) Is there clear evidence that the staffing plan was | Review approved staffing plan Review capacity Building Assessment / CARPS report | Maximum 3 points: First self-assessment: a = 2 points, b = 1 point | 3 | a) The County has approved staffing plans with annual targets for all departments in place. REF DOC CGM/045/KRA3.1 |



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|-----|--|---|---|--|--|-----------------------|--|
| | | | informed by a Capacity Building assessment / functional and organizational assessment and approved organizational structure. c) Have the annual targets in the staffing plan been met? | <i>In future years (after first AC&PA), there has to be evidence that CB/skills assessments are conducted annually to get points on (b).</i> Targets met within +/- 10 %. Check for Letters, minutes | c= NA. <i>Future ACPAs:</i> a=1 point, b = 1 point, c = 1 point | | b) Evidence that the staffing plan was informed by a Capacity Building assessment / functional and organizational assessment and approved organizational structure. REF DOC CGM/040/KRA3.1 c) The County in the staffing plan and they have been partially met. |
| 3.2 | Job descriptions, including skills and competence requirements | Job descriptions, specifications and competency framework | a) Job descriptions in place and qualifications met. First self-assessment: Chief officers/heads of departments; <i>2nd ACPA: all heads of units;</i> <i>future ACPAs: all staff (sample check))</i> b) Skills and competency frameworks in place and Job descriptions adhere to these First self-assessment: Chief officers/heads of departments; | Review job descriptions and personnel records to match qualifications Review skills and competency frameworks, and check that job descriptions adhere to the skills and competency frameworks. Review appointment, recruitment and promotion records | Maximum score: 4 points All a, b and c: 4 points. Two of a-c: 2 points One of a-c: 1 point | 2 | a) The County has demonstrated to have clear Jds and specification adopted from the National framework. CGM/033/KRA3.2 Some of the sampled JDs were as followed: <ul style="list-style-type: none"> The Country Executive Committee Member - Dr. Geoffrey Nyongesa Nato his qualifications being a Ph.D. in Sociology. CGM/041/KRA3.2 <ul style="list-style-type: none"> The Country Executive Committee Member - Mr. Fawz Rashid Ali his qualifications being Masters of Commerce. CGM/034/KRA3.2 |



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|-----|------------------|------------------|---|---|------------------------------|-----------------------|--|
| | | | <p><i>2nd ACPA: all heads of units;</i></p> <p><i>future ACPAs: all staff (sample check))</i></p> <p>c) Accurate recruitment, appointment and promotion records available</p> | | | | <ul style="list-style-type: none"> The Country Secretary - Mr. Francis Thoya his qualifications being Bachelors of Science in Communications and Public Relation and Diploma in Journalism. <p>CGM/034/KRA3.2</p> <ul style="list-style-type: none"> Chief Officer of Energy Environment and Solid Waste Management - Dr. Jeophita Mwajuma her qualifications being a Ph.D. in Microbiology. <p>CGM/044/KRA3.2</p> <p>b) There was not Competency Skills Framework availed</p> <p>c) Upon examination of the respective files, the Assessment Team was able to find accurate recruitment processes that are adhered to, appointments and promotion records are well kept and the team could find a systematic order in which members of staff are recruited, appointed and promoted in the county.</p> |



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|-----|--|---|--|---|---|-----------------------|---|
| 3.3 | Staff appraisal and performance management operationalized in counties | Staff appraisals and performance management | a) Staff appraisal process developed and operationalized. | a) Review staff appraisal, mid-year review, and annual evaluation. | Maximum score: 5 points.³ a) Staff appraisal for all staff in place: 1 point. (If staff appraisal for | 1 | The County Government of Mombasa has departmental staff appraisal processes and performance contracts in place. REF DOC CGM/029/KRA3.3 |
| | | | b) Performance contracts developed and operationalized for CEC Members, Cos, and Directors | b) Review county Public Service Board Records for signed performance contracts, quarterly reports, and annual evaluation. | b) Performance Contracts in place for CEC Members and Chief Officers: 1 point Performance Contracts in place for the level below Chief Officers: 1 point | 0 | Performance contracts developed. But the same has not been signed hence not operationalized REF DOC CGM/042/KRA3.3 |
| | | | c) service re-engineering undertaken | c) Review re-engineering reports covering at least one service | c) Service delivery processes re-engineered in counties: 1 point | 1 | Proof of service re-engineering undertaken through: <ul style="list-style-type: none"> Computer generated Government Human Resources Information System (GHRIS) by the letter dated 4th August 2017 CGM/024/KRA3. Licensing of business ventures (Single Business Permits) in Mombasa County by the letter and |

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



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|-----|------------------|------------------|---|---|---|-----------------------|---|
| | | | | | | | brochure dated 4 th August 2017. CGM/025/KRA3.3 <ul style="list-style-type: none"> Approval of constructions and building plans through e-construction platform in Mombasa County by the letter dated 4th August 2017. CGM/026/KRA3.3 <ul style="list-style-type: none"> Automation of revenue collection (cashless payments) in Mombasa County by the letter dated 4th August 2017. CGM/010/KRA3.3 <ul style="list-style-type: none"> Introduction of the Business to Government Feedback system (B2G) in Mombasa County by the concept letter. CGM/028/KRA3.3 |
| | | | d) RRI undertaken | d) Review RRI Reports for at least one 100 day period | d) Rapid Results Initiatives-RRIs launched/up-scaled: 1 point | 1 | One Hundred days RRI for the public health awareness campaign held between 26 th May 2018 – 12 th Aug 2018 for 6 Sub Counties which targeted the reduction of communicable water-borne diseases. CGM/073/KRA3.3 |



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|----------|--|------------------|---|--|---|-----------------------|---|
| D | Key Result Area 4: Civic Education and Participation - A citizenry that more actively participated in county governance affairs of the society Max score: 18 points | | | | | | |
| 4.1 | Counties establish functional Civic education Units | CEU established | Civic Education Units established and functioning: (a) Formation of CE units (b) Dedicated staffing and (c) Budget, (d) Programs planned, including curriculum, activities etc. and (e) Tools and methods for CE outlined. Policies must be approved by the County Assembly | County Act, sec 99-100. Review relevant documentation to ascertain whether measures have been met | Maximum 3 points. CEU fully established with all milestones (a)- (e) complied with: 3 points. 2-4 out of the five milestones (a-e): 2 points Only 1 met: 1 point. | 3 | a) CE unit organogram was availed. CGM/065/KRA4.1 There was a dedicated staff in place - Assistant Director Public Participation – Mr. Mohammed Swalleh Bates. Letter of Appointment dated 15 th March 2018. CGM/023/KRA3.2 c) CGM had a dedicated budget for the Civic Education unit for FY 2017/18 under decentralized units. CGM/001 d) GCM have adopted the MoDA framework. e) The County Government uses public barazas as evidenced in Document No. CGM/077/KRA4.1, townhall meetings as evidenced in Document No. CGM/078/4.1, meetings at the ward level towards Civic Education as evidenced in Document No. CGM/079/4.1 as well as Radio Announcements on Pilipili Fm, Baraka Fm, Radio Rahma, |



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|-----|------------------|--|---|--|--|-----------------------|--|
| 4.2 | | Counties roll out civic education activities | Evidence of roll-out of civic education activities – (minimum 5 activities). Minutes/reports/attendance lists | County Act, sec. 100. Examples of relevant evidence include engagements with NGOs to enhance CE activities/joint initiatives on the training of citizens etc. Needs to be clearly described and documented in a report(s) as a condition for availing points on this. | Maximum 2 points. Roll out of minimum 5 civic education activities: 2 points. | 2 | Radio Salaam, Facebook, and Whatsapp. The team was able to sample photographs taken during a public baraza. Ref. No. CGM/079/4.1. There was Evidence of roll-out of civic education activities e.g a. County Dialogue held on the 22 nd March 2018 at the Wild Waters Hall. REF DOC CGM/080/KRA4.2 b. Civic Education Training for the Sub- County Administration held from the 26 th September 2018 after which the Civic Education Workshop was established REF DOC CGM/081/KRA4.2 c. Public Participation Meeting held on 23 rd October 2018 on the restoration of the neglected Old Town. REF DOC CGM/082/KRA4.2 d. Fiscal Strategy Paper Public participation held in various sub-counties held on 26 th – 27 th October 2017. REF DOC CGM/083/KRA4.2 e. Budget Training held from 27 th Apr 2018 in the respective County Wards and |



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|-----|---|---|---|---|---|-----------------------|--|
| | | | | | | | a comprehensive report was prepared. REF DOC CGM/089/KRA4.4 |
| 4.3 | Counties set up institutional structures systems & process for Public Participation | Communication framework and engagement. | a) System for Access to information/ Communication framework in place, operationalized and public notices and user-friendly documents shared In advance of public forums (plans, budgets, etc.) | County Governments Act, sec 96. Review whether counties have used the communications channels described in the County Governments Act, and as elaborated in the Public Participation Guidelines and Civic Education Framework. | Maximum 2 points. a) Compliance: 1 point. b): Compliance: 1 point. | 2 | a) There was evidence availed for the system to Access to information and Communication framework in place such as the County website, Notice boards, Public Television displays as well as Social Media platforms e.g Facebook and a twitter handle. CGM/085/KRA4.3 Evidence to show that public information is published in the Daily Newspapers e.g tenders and invitation to public participation is provided. CGM/086/KRA4.3 |
| | | | 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.) | | 1 | The County Government has Counties has designated officers in place dedicated towards public engagement REF DOC CGM/088/KRA4.3 who are: i. Mr. Mohammed Bates ii. Ms. Maryam Mzee iii. Omar Swaleh |
| 4.4 | | Participatory planning and budget forums held | a) Participatory planning and budget forums held in the previous FY before the | PFM Act, sec 137; County Act, 91, 106 (4), Sec. 115. | Maximum 3 points. All issues met (a-f): 3 points. | 2 | a) Evidence of Participatory planning in budget forums through Budget Training held from 27 th Apr |



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|------|------------------|--------------------|---|--|--|-----------------------|--|
| | | | <p>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. eg. lists of attendance have the 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>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</p> <p>Review minutes of meetings and resulting in planning documents to identify links.</p> <p>Feedback reports/minutes of meetings where feedback provided to citizens</p> | <p>4-5 met: 2 points.</p> <p>1-3 met: 1 point.</p> | | <p>2018 in the respective County Wards and a comprehensive report was prepared. REF DOC CGM/089/KRA4.4</p> <p>b. The County did provide proof that it held mandatory citizen engagement while developing the ADP for the FY 2017/18 CGM/087/KRA4.4</p> <p>b) Mandatory citizen engagement and consultations were held beyond the budget forum; Representation had stakeholder mapping. REF DOC CGM/088/KRA4.2</p> <p>c) There was Evidence availed that forums were structured in terms of programs. REF DOC CGM/088/1/KRA/4.2</p> <p>e) There was Evidence of input from the citizens to the plans. REF DOC CGM/083/KRA4.4</p> <p>f) There was Feed-back to citizens on how proposals were handled REF DOC CGM/090/KRA4.4</p> |
| 4.5. | | Citizens' feedback | Citizens feedback on the findings from the C- | Review records of citizens engagement meetings on the findings of the C-APR. Review | Maximum points: 1 | 0 | CGM did not provide proof of members of the public being |



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|-----|------------------|---|---|--|---|-----------------------|--|
| | | | APR/implementation status report. | 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). | Compliance: 1 point. | | involved or contributing to the preparation of the C-APR |
| 4.6 | | County core financial materials, budgets, plans, accounts, audit reports and performance assessments published and shared | Publication (on county web-page, in addition to any other publication) of: <ul style="list-style-type: none"> i) County Budget Review and Outlook Paper by 1st Sept 2017 ii) Fiscal Strategy Paper shows how you raise n spend revenue ready by 28th 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 | 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> | Maximum points: 5 points 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. | 3 | CGM had documents 1, 2, 4, 7 and 9 published online. Documents 3, 5, 6 and 8 were not published online. www.mombasa.go.ke |



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|-----|------------------|----------------------|---|--|--|-----------------------|---|
| | | | vi) Annual progress reports (C-APR) with core county indicators vii) Procurement plans and rewards of contracts viii) Annual Capacity & Performance Assessment results ix) County citizens' budget | | | | |
| 4.7 | | Publication of bills | All bills introduced by the county assembly have been published in the national and in county gazettes or county website, and similarly for the legislation passed. within the fy2017/2018 | County Act, sec. 23. Review gazetted bills and Acts, etc. Review the county website. | Maximum 2 points Compliance: 2 points. | 2 | All bills introduced by the county assembly have been published in the national and in county gazettes or county website, and similarly for the legislation. Some of the bills published in the website www.mombasaassembly.go.ke include; <ul style="list-style-type: none"> • The Mombasa County Appropriations Bill, 2018. • The Mombasa County Office of the County Attorney Bill, 2018. • The Mombasa County Decentralized Structures Bill, 2017 |



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|-----|--|---|---|---|--|-----------------------|--|
| E | Result Area 5. Investment implementation & social and environmental performance Max score: 20 points. (N.B. Points breakdown will change in third ACPA, see Capacity & Performance Assessment Manual) | | | | | | |
| 5.1 | Output against the plan – measures of levels of implementation | Physical targets as included in the annual development plan implemented | <p>The % of planned projects (in the ADP) implemented in last FY according to completion register of projects (quarterly project reports, certificate of completion)</p> <p><i>Note: Assessment is done for projects planned in the Annual Development Plan for that FY and the final contract prices should be used in the calculation. Weighted measure where the size of the projects is factored in. If there are more than 10 projects a sample of 10 larger projects are made and weighted according to the size.</i></p> | <p>Sample min 10 larger projects from minimum 3 departments/sectors.</p> <p>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.</p> <p>Use all available documents in assessment, including: CoB reports, procurement progress reports, quarterly reports on projects, M&E reports etc.</p> | <p>Maximum 4 points (6 points in the first two AC&PAs)</p> <p>More than 90 % implemented: 6 85-90 %: 3 points 75-84%: 2 points 65-74%: 1 point</p> <p>Less than 65 %: 0 point.</p> <p>If no information is available on completion of projects: 0 points will be awarded.</p> | 6 | <p>The County Government of Mombasa has implemented the underlined planned projects within the ADP as follows:</p> <ol style="list-style-type: none"> 1) Construction to Cabro standard of a section of the access road to Mtongwe village of an under the department of transport and infrastructure with 100% completion rate. 2) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Moi Avenue-Department of transport and infrastructure with 100% completion rate. 3) Construction of a section of Kongoni and Bandari Roads to Cabro standards-Department of transport and infrastructure with 100% completion rate. 4) Proposed Hospital in Mtongwe for County Government of Mombasa-Department of Health with 100% completion rate. |



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|-----|------------------|------------------|---|---|---|-----------------------|---|
| | | | | | An extra point will be awarded if the county maintains a comprehensive, accurate register of completed projects and status of all ongoing projects (within the total max points available, i.e. the overall max is 4 points/6 respectively in the first two AC&PA). | | 5) Proposed Construction of Public Toilets at Shanzu Matatu Stage- Department of Environment with a 100% completion rate. 6) Proposed Construction of ECD Centre Longo Primary School- Department of Education with a 100% completion rate. 7) Proposed Hospital in Marimani for County Government of Mombasa- Department of Health with 100% completion rate. 8) Proposed refurbishment of Revenue Office at Works Building Shimanzi- Department of transport and infrastructure with 100% completion rate. 9) Proposed Construction of ECD Centre Likoni Primary School- Department of Education with a 100% completion rate. |



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|-----|--|--|--|---|---|-----------------------|---|
| | | | | | | | 10) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Makadara-Department of transport and infrastructure with 100% completion rate. With an average completion rate of 100%. REF DOC CGM/092-101/KRA5.1 |
| 5.2 | Projects implemented according to cost estimates | Implementation of projects and in accordance with the cost estimates | Percentage (%) of projects implemented within budget estimates (i.e. +/- 10 % of estimates). Project Completion Certificates | A sample of projects: a sample of 10 larger projects of various size from a minimum of 3 departments/ sectors. Review budget, procurement plans, contract, plans and costing against actual funding. If there is no information available, no points will be provided. If the information is available in the budget this is used. (In case there are conflicts between figures, the original budgeted project figure will be applied). Review completion reports, quarterly reports, payment records, quarterly progress reports, etc. Review M&E reports. | Maximum 5 points More than 90 % of the projects are executed within +/-5 of budgeted costs: 5 points 80-90%: 3 points 70-79%: 2 points 60-69%: 1 point Below 60%: 0 points. | 3 | The County provided the following projects to review whether the Implementation of projects is in accordance with the cost estimates: 1) Construction to Cabro standard of a section of the access road to Mtongwe village of an under the department of transport and infrastructure – the Budgeted amount of the project was Kshs. 10,893,844.28 and contract sum Kshs. 10,893,634.28. The variance between the budget and actual payment was Ksh.209, which is 0% variance. 2) Mombasa City CBD Restoration Project- |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|-----|------------------|------------------|---|---|------------------------------|-----------------------|--|
| | | | | Compare actual costs of the completed project with original budgeted costs in the ADP/budget. | | | <p>Pedestrian Walkway improvement and drainage works on Moi Avenue- Department of transport and infrastructure.- The budget of the project was Kshs. 56,547,975 and the contract sum was Kshs.34,130,756. The variance between the budget and actual payment was Ksh.22,417,219, which is 39.6% variance.</p> <p>3) Construction of a section of Kongoni and Bandari Roads to Cabro standards- Department of transport and infrastructure. The budget of the project was Kshs. 58, 172,373.60 and the contract sum were Kshs. 25,736,826. The variance between the budget and actual payment was Ksh.32,435,547.6, which is a 55.76% variance.</p> <p>4) Proposed Hospital in Mtongwe for County Government of Mombasa- Department of Health. The budget of the project was Kshs. 56,391,421 and the</p> |



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|-----|------------------|------------------|---|---|------------------------------|-----------------------|--|
| | | | | | | | <p>contract sum was Kshs. 48,638,647.75. The variance between the budget and actual payment was Ksh. 7,752,773.25, which is a 13.74% variance.</p> <p>5) Proposed Construction of Public Toilets at Shanzu Matatu Stage- Department of Environment: Budget of the project was Kshs. 3,987,300 and the contract sum was Kshs. 3,987,300. The variance between the budget and actual payment was Ksh.0, which is a 0% variance.</p> <p>6) Proposed Construction of ECD Centre Longo Primary School- Department of Education: Budget of the project was Kshs. 27,671,971 and the contract sum was Kshs. 26,810,664.70. The variance between the budget and actual payment was Ksh.861306.3, which is a 3.1% variance.</p> <p>7) Proposed Hospital in Marimani for County Government of Mombasa- Department of Health: Budget of the project was Kshs.</p> |



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|-----|------------------|------------------|---|---|------------------------------|-----------------------|--|
| | | | | | | | <p>53,609,245 and the contract sum was Kshs.47, 769,290.76. The variance between the budget and actual payment was Ksh. 5,839,954.24, which is a 10.89% variance.</p> <p>8) Proposed refurbishment of Revenue Office at Works Building Shimanzi- Department of transport and infrastructure: Budget of the project was Kshs. 10,634,740 and the contract sum was Kshs.7,600, 940. The variance between the budget and actual payment was Ksh. 3,033,800, which is 28.52. % variance.</p> <p>9) Proposed Construction of ECD Centre Likoni Primary School- Department of Education: Budget of the project was Kshs. 10,893,844.28 and the contract sum was Kshs. 10,893,634.28. The variance between the budget and actual payment was Ksh.210, which is a 0 % variance.</p> <p>10) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and</p> |



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|-----|------------------|---|---|--|---|-----------------------|--|
| | | | | | | | drainage works on Makadara-Department of transport and infrastructure.- The budget of the project was Kshs. 35,510,233.88 and the contract sum was Kshs. 27,745,856. The variance between the budget and actual payment was Ksh. 7,764,377, which is a 21.8% variance. |
| 5.3 | Maintenance | Maintenance budget to ensure sustainability | Maintenance cost in the last FY (actual) was minimum 5 % of the total capital budget and evidence in selected larger projects (projects which have been completed 2-3 years ago) have been sustained with actual maintenance budget allocations (sample of min. 5 larger projects). | Review budget and quarterly budget execution reports as well as financial statements. Randomly sample 5 larger projects, which have been completed 2-3 years ago. Review if maintenance is above 5 % of the capital budget and evidence that budget allocations have been made for projects completed 2-3 years ago and evidence that funds have actually been provided for maintenance of these investments. | Maximum 4 points 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 More than 5 % but only 3-4 of the projects are catered for 2 points. More than 5 % but only 1-2 of the specific sampled projects are catered for 1 point. | 0 | There was no maintenance budget availed |



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|-----|--|---|---|---|---|-----------------------|--|
| 5.4 | Screening of environmental social safeguards | Mitigation measures on ESSA through audit reports | Annual Environmental and Social Audits/reports for EIA /EMP related investments. | Sample 10 projects and ascertain whether environmental/social audit reports have been produced. | Maximum points: 3 points All 100 % of sample done in accordance with the framework for all projects: 3 points 80-99 % of projects: 1 point | 3 | The County has subjected the following projects to environmental and social audit REF DOC CGM/061/KRA5.4 The undermentioned projects have mitigation measures and annual environmental and social audit reports. 1) Construction to Cabro standard of a section of the access road to Mtongwe village under the department of transport and infrastructure. 2) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Moi Avenue-Department of transport and infrastructure. 3) Construction of a section of Kongoni and Bandari Roads to Cabro standards- Department of transport and infrastructure. 4) Proposed Hospital in Mtongwe for County Government of Mombasa- Department of Health. |



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|-----|------------------|------------------|---|---|------------------------------|-----------------------|---|
| | | | | | | | 5) Proposed Construction of Public Toilets at Shanzu Matatu Stage- Department of Environment. 6) Proposed Construction of ECD Centre Longo Primary School- Department of Education. 7) Proposed Hospital in Marimani for County Government of Mombasa- Department of Health. 8) Proposed refurbishment of Revenue Office at Works Building Shimanzi- Department of transport and infrastructure: 9) Proposed Construction of ECD Centre Likoni Primary School- Department of Education 10) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Makadara- Department of transport and infrastructure. |



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| No. | Priority Outputs | Performance Area | Performance Measure (Detailed Indicators) | Means of Verification and Issues to Check | Scoring /level of importance | Actual score achieved | Comments / reason for scoring. Description of gaps in capacity. What are the root causes of the gap? (to be filled in by county) |
|-----|---------------------|---|--|---|---|-----------------------|--|
| 5.5 | EIA /EMP procedures | EIA/EMP procedures from the Act followed. | Relevant safeguards instruments Prepared: Environmental and Social Management Plans, Environmental Impact Assessment, RAP, etc. consulted upon, cleared/approved by NEMA and disclosed prior to the commencement of civil works in the case where screening has indicated that this is required. All building & civil works investments contracts contain ESMP implementation provisions (counties are expected to ensure their works contracts for which ESIA's /ESMPs have been prepared and approved safeguards provisions from part of the contract. | Sample 5-10 projects | Maximum points: 2 points All 100 % of sample done in accordance with the framework for all projects: 2 points 80-99 % of projects: 1 point | 2 | The undermentioned projects had passed through the relevant safeguards instruments Prepared: Environmental and Social Management Plans, Environmental Impact Assessment prepared:- 1) Construction to Cabro standard of a section of the access road to Mtongwe village under the department of transport and infrastructure. 2) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Moi Avenue- Department of transport and infrastructure. 3) Construction of a section of Kongoni and Bandari Roads to Cabro standards- Department of transport and infrastructure. 4) Proposed Hospital in Mtongwe for County Government of Mombasa- Department of Health. 5) Proposed Construction of Public Toilets at Shanzu Matatu Stage- Department of Environment. 6) Proposed Construction of ECD Centre Longo Primary School- Department of Education. |



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|-----|---|----------------------|--|---|----------------------------------|-----------------------|---|
| | | | | | | | 7) Proposed Hospital in Marimani for County Government of Mombasa- Department of Health. 8) Proposed refurbishment of Revenue Office at Works Building Shimanzi- Department of transport and infrastructure: 9) Proposed Construction of ECD Centre Likoni Primary School- Department of Education 10) Mombasa City CBD Restoration Project-Pedestrian Walkway improvement and drainage works on Makadara- Department of transport and infrastructure. |
| 5.6 | Value for the Money (from the 3 rd AC&PA). | Value for the money. | Indicator to be assessed in the third ACPA (N/A) | | | | |
| | | | | | Total Maximum Score: 100 points. | 77 | |



5.0 General Recommendations

- Train the KDSP secretariat on the concept of the ACPA program to enhance institutional memory.
- Culture change management; there is a need to incorporate a culture of teamwork and togetherness among staff.

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

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

5.2 Minimum Access Conditions

The following observations were made:-

- The participation agreement and revised capacity building plan signed by the Governor and County Secretary & NCBF Focal Person were availed.
- The County Government of Mombasa availed all the necessary documentation for the assessment of the MACs in the correct format

5.3 Minimum Performance Conditions Issues

The following observations were made:

- The County Government of MOMBASA availed all the necessary documentation for the assessment of the MPCs in the correct format.

5.4 Performance Measures Issues

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

KRA 1: Public Finance Management

- 1) Proper records management,
- 2) Proper reporting (CAPR);
- 3) Re - sensitization on all statutory requirements as per PFM Act e.g. establishment of Internal Audit Committee
- 4) Risk management

KRA 3: Human Resource

- 1) Culture change management; there is a need to incorporate a culture of teamwork and togetherness among staff.
- 2) Proper Records Management
- 3) Poor coordination with other departments; Networking with another department
- 4) Implementation of the organogram
- 5) Team building activities to focus on interpersonal skills and work etiquette



- 6) There is also a need to sensitize all staff of the County Assembly on the need to put in place proper performance appraisal as well as putting in place a robust performance contracting process. There also need for specialized training for select staff who can be the champions (trainers of trainers) on performance appraisal and performance contracting

KRA 2: Planning and Monitoring & Evaluation

- 1) There is a need for the county to formulate an M&E framework/policy since there is lack of proper structures regarding M&E
- 2) There is a need to fast track hiring of staff for the planning and M&E function in the various line ministries.
- 3) There is need to induct the M&E officers once recruited on their role in terms of production of the C-Annual Progress Reports and the need to evaluate major completed CIDP projects
- 4) There is a need for training of planning and M&E staff on Results-Based M&E.

KRA 4: Civic Educations and Participation

- 1) There is a need to sensitize the County Assembly on the importance of Civic Education and Public Participation to ensure that the budgetary allocation is adequate
- 2) There is need to create synergy between the Communication/ICT function and various departments such as finance, the County Assembly and the Office of the Governor to ensure that all the information meant for the public is disseminated through the website in a timely manner.

KRA 5 Investments and Social Environment Performance

- 1) Need for effective internal and external communication
- 2) Compliance and adherence with statutory obligations
- 3) There is a need to gazette, induct and operationalize the County Environment Committee since they also engage in projects,
- 4) There is a need to sensitize the county on the importance of having specific maintenance cost for the respective completed projects, especially the big projects as this will inform if the budget allocated is sufficient or not



6.0 OVERVIEW OF THE 5 WEAKEST PERFORMANCES

Table 7.1 below presents assessed areas of the county of weakest performance during the field visit.

| KRA | Performance Measure | Issues |
|-------|--|--|
| KRA 1 | Public Finance Management | The value of audit query was increased |
| KRA 2 | Planning &M&E | No issues noted |
| KRA 3 | Human Resource Management | Performance contracts were not signed |
| KRA 4 | Civic Education | Public engagement in CAPR preparation not done |
| KRA 5 | Investment implementation & social and environmental performance | No proof of maintenance budget of completed projects in the last 3 years |



7.0 LIST OF REPRESENTATIVES INTERVIEWED -MOMBASA COUNTY

| NO | NAME | DESIGNATION | TELEPHONE |
|----|-------------------------|--|------------|
| 1 | H.E Dr. William Kingi | CEC Devolution and Planning | 0724237901 |
| 2 | Mr. Francis Thoya | County Secretary | N/A |
| 3 | Ms. Maryam Mzee | C.O Finance | 0722868717 |
| 4 | Ms. Shebe F. Hassan | C.O Public Service Management | 0701766523 |
| 5 | Mr. Affan Mohammed | Administrator | 0729034264 |
| 7 | Ms. Justina K. Mwikya | Human Resource Officer | 0728290895 |
| 8 | Ms. Jane Githui | Senior Accountant | 0728818831 |
| 9 | Mr. Hussein A. Mwasimba | Environment & Natural Resources | N/A |
| 10 | Dr. June Mwajuma | Legal Researcher | N/A |
| 11 | Ms. Judith Ngani | Director HR | N/A |
| 12 | Mr. Eng. Albert Keno | KDSP Focal Person | N/A |
| 13 | Mr. Idris Abdirahman | Director of Supply Chain Management | N/A |
| 14 | Mr. Samson Makazi | County Assembly Human Resource Officer | N/A |
| 15 | Mr. KorirKiprotich | Ministry of Devolution & Planning | N/A |



8.0 APPENDICES

8.1 ENTRY MEETING MINUTES

MINUTES OF THE MOMBASA COUNTY INCEPTION/ENTRY MEETING FOR THE ANNUAL CAPACITY & PERFORMANCE ASSESSMENT HELD AT THE DEPUTY GOVERNOR'S BOARDROOM ON 21ST NOVEMBER 2018 FROM 9.20 AM – 10.30 AM – MOMBASA COUNTY HEADQUARTERS

MEMBERS PRESENT:

MOMBASA COUNTY TEAM:

| NAME | DESIGNATION |
|---------------------------------|--|
| 1) H.E Dr. William Kingi | Deputy Governor |
| 2) Mr. Francis Thoya | County Secretary |
| 3) Mr. Idris Abdirahman | Coordinator Sub County Administration |
| 4) Ms. Asha Abdi | CCO-Finance |
| 5) Mr. Eng. Albert Keno | CCO-Transport |
| 6) Dr. June Mwajuma | CCO- Env. Waste Management & Energy |
| 7) Ms. Jane Githui | Director Budget & Economic Planning |
| 8) Ms. Justina K. Mwikya | CCO- Dev.& Public Service Mgt |
| 9) Ms. Affan Mohammed | Deputy Director Budget & Economic Planning |
| 10) Ms. Shebe F. Hassan | Ag. DHRM- Dev.& Public Service Mgt. |
| 11) Ms. Maryam Mzee | Asst. Director- Civic Education Sub County Admin |
| 12) Ms. Khadija Yusuf | Ombudsman- Mombasa County |
| 13) Ms. Lucy Nyambura | Director Env. Waste Management & Energy |
| 14) Ms. Jeizan Faruk | County Public Service Board |
| 15) Mr. Omar Saleh Silim | Chief HRO- County Public Service Board |
| 16) Mr. Florence Mwihole | PS- DG's Office |
| 17) Ms. Rebecca Okwany | Asst. Director of Communication |
| 18) Ms. Omar Swaleh | Information Officer- Sub County Administration |
| 19) Mr. Mohammed Swaleh Bhattez | Asst. Director of Communication |
| 20) Mr. Korir Kiprotich | Ministry of Devolution- SDO |

MEMBERS ABSENT WITH APOLOGY:

H.E Hassan Ali Joho – The Governor, Mombasa County

MEMBERS ABSENT WITHOUT APOLOGY:

NONE

PRESTIGE MANAGEMENT SOLUTIONS LIMITED TEAM

| NAME | DESIGNATION |
|------------------------|-------------|
| 1) Mr. Ombasa Peter | Team leader |
| 2) Ms. Nungari Waiyaki | Assessor |
| 3) Mr. Vincent Musau | Assessor |



MIN: 1/21/11/2018: PRELIMINARY

The meeting was opened with a vote of thanks from Mrs. Jane Githui, Director Budget, and Economic Planning and KDSP Focal Person who called the meeting to order. This was followed by a word of prayer from Mr. Mohammed Bhatez and followed by a brief introduction of members present and their respective designations.

MIN: 2/21/11/2018: OPENING REMARKS

The Mombasa Focal person welcomed everyone to the meeting and made apologies for the time delay in starting the meeting. She then welcomed the CO Finance who gave a brief overview of the County's growth as far as the programme. She emphasized that the County was confident that it would score better. She then welcomed the County Secretary who remarked that the County was very serious about the KDSP Programme so as to have the Deputy Governor chair the implementation committee.

The County Secretary then handed over to the Deputy Governor who welcomed the Assessment Team to the County of Mombasa. He noted that the County government was keen on ensuring that the funds given through the program would benefit the people of Mombasa and thus the proper handling of the funds was a great priority. Further, that the County had been expecting the Assessment Team given that the County had the advantage of having the Pilot Assessment done at the County and therefore had thoroughly prepared itself.

He then handed over to the Ministry of Devolution representative who gave the time outline of the Assessment and emphasized that the aim of the KDSP Programme is to find out whether systems in the counties are in place and how they are working. He then handed over to the PMSL Team Leader.

MIN: 3/21/11/2018: OVERVIEW OF ASSESSMENT EXPECTATIONS

The Project team leader thereafter thanked the county of Government of Mombasa for their exceptional hospitality. The team leader requested that every member present for the meeting would sign the Attendance Register in the form of a Visitors Book for record purposes. He noted that Mombasa County had the advantage of being in the pilot assessment whose results were dismal but had the chance to improve its scores.

The team leader explained that the actual the assessment would be in three phases, the first being the entry meeting where the two teams would agree on a work plan for the three days, secondly, there would be interview sessions where officers in charge of key result areas would provide information as well as documentation to support findings from the sessions and finally there would be visits to projects, which would enable the consultants to see the development that the County has been able to achieve. He observed that the KDSP committee is aware of the assessment tool this will enable the consultants to be able to effectively manage the assignments and give out the report. The team was encouraged to strictly adhere to the CB plan as well as relevant laws like the PFM Act.

The County team was then taken through the list of information required, where the key areas that the assessment tool would cover were highlighted. It was further stressed that there was a need to have the documents delivered before the end of the second day of assessment to allow for adequate time for compilation of the report.



The PMSL emphasized that the ACPA is undertaken annually by an independent externally contracted firm and this time PMSL was competitive and has been awarded the contract to undertake the assessment and this will entail assessing the County for a maximum of 3 days including the field visits/data collection in all the sectors within the county. The team leader emphasized that the ACPA assesses the MACs, MPCs and the PMs which are means of verification and are well elaborated in the tool and more so the Performance Measures determine the size of the grants which has an attached scoring system with clear calibration of the points against the performance on specific benchmarks/results.

The team leader further emphasized that the ACPA Evaluates the impact of Capacity Building support provided by National government and development partners under the KDSP and informs the design of Capacity Building support to address the county needs and by extension also informs the performance grant allocation.

The team leader informed the members that the ACPA process has now started since the firm's schedule has been agreed on by the KDSP Secretariat and contract signed hence the following are the expected steps:-

- Sensitization of the ACPA firm/teams
- Sensitization of counties and MDAs on the ACPA tool
- Pretesting the tool
- Field visits and data collection
- Consultant performs data analysis and cleaning
- Preliminary reports to the KDSP secretariat
- Receive any complaints or grievances
- Presentation of the reports to the technical committee
- Publication of the report and release of county allocations.

The team leader noted that the schedule of County field visits by the firm will be shared with the counties in due course once agreed upon by stakeholders and that at the end of the assessment in the county, the consultant will debrief the county executive level on the preliminary findings and issues derived from the assessment. The team leader emphasized that the consultants will also secure documents as evidence of performance achieved as necessary; carry out inspections and investigation through visits to a small sample of sub-project sites to verify the authenticity of the performance as necessary. The team leader noted that data and information not available within the 3 days of assessment will be rated as not complied with in the ACPA (submission of such information after the end of the 3-day assessment visit will not have any effect on the assessment outcome).

What documentation is Expected from the Counties

Minimum Access Conditions

Participation agreement in place, CB plan completed for the present year (or coming year for the first self-assessment)

Minimum Performance Measures (MPC)

Financial Management - Financial Statements with a letter on documentation submitted to the Office of the Auditor General and National Treasury by **30th September 2017**



with required signatures. The opinion in the audit report of the financial statements for county legislature and executive of the previous fiscal year cannot be adverse or carry a disclaimer on any substantive issue.

Planning - CIDP, Annual Development Plan and budget approved and published (on-line).

Use of funds in accordance with Investment menu

Adherence with the investment menu (eligible expenditures) as defined in the PG Grant Manual.

Procurement - Up-dated consolidated procurement plan for executive and for assembly (or combined plan for both).

Core Staffing in Place - Core staff in place as per below list, and have relevant qualifications.

Environmental and Social Safeguards

Mombasa County should endorse and ratify the environmental and social management system to **guide investments** and all proposed investments should be **screened** against a set of environmental and social criteria/checklist, safeguards instruments prepared.

Citizens' Complaint system in place

Established an operational Complaints Handling System.

1) Performance Measures'- KRA 1: Public Financial Management Strengthened budget formulation, resource mobilization, and allocation

The annual budget is approved by the County Assembly and is in a Program Based Budget format and its Budget is developed using the IFMIS Hyperion module.

The budget process follows a clear budget calendar

The credibility of the budget - Aggregate expenditure out-turns compared to original approved budget and Expenditure composition for each sector matches originally approved budget allocations (average across sectors).

Revenue Enhancement - Performance in revenue administration which should include the automation of revenue collection, immediate banking and control system to track collection.

Enhanced capacity of counties on execution (including procurement), accounting and reporting

Timeliness of in-year budget reports (quarterly to Controller of Budget) and an Effective Internal audit function which is in place with quarterly Internal Audit reports submitted to the Internal Audit Committee or submitted to Governor.

2) Key Result Area 2: Planning and M&E

County M&E/ Planning unit and frameworks in place - Planning and M&E units (may be integrated into one) established.

County M&E Committee in place and functioning - County M&E Committee meets at least quarterly and reviews the quarterly performance reports



Monitoring and Evaluation systems in place and used, with feedback to plans

County Planning systems and functions established and an Evaluation of CIDP project which includes evaluation of completion of major CIDP projects conducted on an annual basis.

3) Key Result Area 3: Human Resource Management

Staffing plans based on functional and organization assessments - Organizational structures and staffing plans - The County should have an approved staffing plan in place, with annual targets?

Job descriptions, specifications, and competency framework - Job descriptions in place and qualifications met and Skills and competency frameworks in place, and Job descriptions adhere to these

Staff appraisal and performance management operationalized in counties

a) Staff appraisal process developed and operationalized and Performance contracts developed and operationalized for CEC Members, Cos and Directors

4) Key Result Area 4: Civic Education and Participation

Counties roll out civic education activities - Evidence of roll-out of civic education activities

Communication framework and engagement - System for Access to information/ Communication framework in place,

Participatory planning and budget forums held and specifically participatory planning and budget forums held in previous FY before the plans were completed for on-going FY.

Citizens' feedback

Citizens feedback on the findings from the C-APR implementation status report.

Result Area 5. Investment implementation & social and environmental performance

Output against the plan – measures of levels of implementation - Physical targets as included in the annual development plan implemented

Projects implemented according to cost estimates - Implementation of projects and in accordance with the cost estimates

Maintenance budget to ensure sustainability - Maintenance cost in the last FY (actuals) was minimum 5 % of the total capital budget

Screening of environmental social safeguards - Mitigation measures on ESSA through audit reports

MIN: 4/21/11/2018: ASSESSMENT WORK PLAN

The team leader presented the work schedule and noted that the consultancy team will be in Mombasa for three days and intends to leave Mombasa on Sunday at 10.00 a.m hence the work is cut out as follows:-

a) Day 1 the team shall handle the Minimum Access Condition and Minimum Performance Conditions and partly KRA 1 after the inception meeting.



- b) Day 2 the team shall look at KRA 2, 3 and 4 any other issues that require clarity at the reporting stage.
- c) Day 3 the team shall look at KRA 5 and any other issues that require clarity at the reporting stage.
- d) Day 3 the team shall have a final debriefing meeting of all heads of section and county staff to discuss the findings and clarify any other issues that will require clarity at the reporting stage.

The Team Leader noted that the team intended to have the exit meeting at 10.00 a.m on Friday to allow ample time for the key result areas representatives to iron out any pending issues and head for Friday prayers.

MIN: 5/21/11/2018: AOB CONCLUSION AND ADJOURNMENT

The Team Leader handed back over to the Deputy Governor who thanked the Team Leader for the presentation and handed over to Mrs. Jane Githui who invited all the members for breakfast. There being no other issue, the meeting was adjourned at 10.30 AM after which the PMS team headed for assessment.

Minutes Prepared by:

Signature: _____ Date: _____

Name: **NUNGARI WAIYAKI**
Secretary
Prestige Management Solutions Ltd.

Minutes confirmed by:

Signature: _____ Date: _____

Name: **OMBASA PETER Mr.**
Team Leader
Prestige Management Solutions Ltd.

Signature: _____ Date: _____

Name: _____
Designation: _____
County Government of Mombasa



8.2 EXIT MEETING MINUTES

MINUTES OF THE EXIT MEETING FOR THE ANNUAL CAPACITY & PERFORMANCE ASSESSMENT HELD AT THE ON 23rd NOVEMBER 2018 FROM -11.00 A.M – 12.00 P.M MOMBASA COUNTY HEADQUARTERS

MEMBERS PRESENT:

MOMBASA COUNTY TEAM:

| NAME | DESIGNATION |
|--------------------------|--|
| 1) H.E Dr. William Kingi | Deputy Governor |
| 2) Mr. Francis Thoya | County Secretary |
| 3) Mr. Idris Abdirahman | Coordinator Sub County Administration |
| 4) Ms. Asha Abdi | CCO-Finance |
| 5) Mr. Eng. Albert Keno | CCO-Transport |
| 6) Dr. June Mwajuma | CCO- Env. Waste Management & Energy |
| 7) Ms. Jane Githui | Director Budget & Economic Planning |
| 8) Ms. Affan Mohammed | Deputy Director Budget & Economic Planning |
| 9) Ms. Shebe F. Hassan | Ag. DHRM- Dev. & Public Service Mngt |
| 10) Ms. Maryam Mzee | Asst. Director- Civic Education Sub County Admin |
| 11) Ms. Khadija Yusuf | Ombudsman- Mombasa County |
| 12) Ms. Lucy Nyambura | Director Env. Waste Management & Energy |
| 13) Ms. Jeizan Faruk | County Public Service Board |
| 14) Mr. Omar Saleh Selim | Chief HRO- County Public Service Board |
| 15) Mr. Florence Mwihole | PS- DG's Office |

MEMBERS ABSENT WITH APOLOGY:

H.E Hassan Ali Joho Governor

MEMBERS ABSENT WITHOUT APOLOGY:

NONE

PRESTIGE MANAGEMENT SOLUTIONS LIMITED TEAM

| NAME | DESIGNATION |
|------------------------|--------------------|
| 1) Mr. Ombasa Peter | Team leader |
| 2) Ms. Nungari Waiyaki | Assessor |
| 3) Mr. Vincent Musau | Assessor |

MIN: 1/23/11/2018: PRELIMINARY

The meeting was opened with a vote of thanks from the Director Budget and Economic Planning who is also the KDSP Focal Person and she requested Ms. Lucy Nyambura to open with a word of prayer followed by inviting the CS to make his remarks.

MIN: 2/23/11/2018: OPENING REMARKS

The CS thanked the members present for their cooperation and invited the Deputy Governor who was the chair of the meeting to make his opening remarks. The Deputy Governor welcomed the entire team to the meeting and thanked the County Team for



their cooperation and he noted that he hoped that the County had performed well in the Assessment. He then handed over to the Team Leader who then outlined the Agenda as follows:

- 1) Thanking the County Government and Team.
- 2) Recap of the Assessment Project and Objectives.
- 3) Presentation of MACs and MPCs and PMCs.
- 4) Responses and comments towards the report.
- 5) Comments from Governor's representatives.

MIN: 3/23/11/2018: THANKING THE COUNTY GOVERNMENT AND TEAM.

The Team leader thanked the County of Government of Mombasa for their exceptional hospitality and unwavering co-operation throughout the exercise. He especially thanked the Governor and the Deputy Governor through the Department of Finance for their support throughout the exercise and the rest of their team for the co-operation for the entire 3 days that the Assessment Team had been in the County.

MIN: 4/23/11/2018: RECAP OF THE ASSESSMENT PROJECT AND OBJECTIVES.

The Team Leader emphasized that the objective of the Assessment is to rate Counties by a performance which included the following:

1. To verify compliance of the counties with key provisions of the laws and national guidelines and manuals especially the Public Financial Management Act, 2012, the County Governments Act and other legal documents;
2. To measure the capacity of county governments to achieve performance criteria derived from the core areas of the NCBF;
3. To promote incentives and good practice in administration, resource management, and service delivery through show-casing the good examples and identifying areas which need improvements;

The Team Leader noted further that the World Bank grant accessed by the Counties is pre-determined by the tool that gives different parameters of what is expected of the Counties.

MIN: 5/23/11/2018: PRESENTATION OF MACS AND MPCs AND PMCS.

The Team Leader then went on to present the preliminary findings of the Assessment as follows:

Minimum Access Conditions (MACs)

1. County signed participation agreement - The County Government of Mombasa has signed the Confirmation letter by the Governor H.E Ali Hassan Joho. This condition was **Met**
2. CB plan developed - The County Government of Mombasa has developed an updated CB plan for the financial year 2018/19. This condition was **Met**



3. Compliance with investment menu of the grant this condition was **NOT APPLICABLE**
4. Implementation of CB plan – The County Government of Mombasa received funds equivalent to Kshs. Million for the first year of Level 1 funding. Despite the program being slated for the FY 2016/17, the funds were not made available until the FY 2017/18, with the first disbursement of Kshs. 20,702,950 being made in 26th June 2018. It absorbed Kshs. 18,220,498 which represents 88.1% of the total expenditure. It implemented 18 out of 21 programs in the CB Plan equalling 85.71 % this condition was **NOT**.

Minimum Performance Conditions

1. Compliance with minimum access conditions this condition was **Met**
2. The County Government of Mombasa submitted Consolidated Financial Statements for the executive for the FY 2017/18 signed by the County Executive Officer for Finance & Economic Planning 20th September 2018 and submitted and received by the National Treasury on. 2nd October 2018, Commission on Revenue Allocation on 2nd October 2018, Office of the Controller of Budget on 28th September 2018 and OAG on 28th September 2018. The County Government of Mombasa has submitted the Financial Statements for FY 2017/18 and dated 30.10.2018 in an auditable format. This condition was **Met**
3. The Team Leader emphasized that the Audit opinion does not carry an adverse opinion, or a disclaimer on any substantive issue - The opinion in the audit report of the financial statements for county legislature and executive of the previous fiscal year cannot be adverse or carry a disclaimer on any substantive issue. In this case, the audit opinion of the executive was qualified hence this condition was **Met**
4. Annual planning documents in place - The County Government of Mombasa has published the CIDP 2013-2017 dated 5th December 2016, The County Government of Mombasa has published the Annual Development Plan dated 31st August 2016 and The County Government of Mombasa has published the Budget for the FY 2017/18 the same had been published on the County Website. **This condition was MET**
5. Adherence with the investment menu this condition was **NOT APPLICABLE** - The County Government of Mombasa did not qualify for Level Two Grants for the FY 2017/18 hence not subject to assessment of this indicator
6. The County Government of Mombasa has provided an Up-dated consolidated procurement plan for the executive. Therefore, this condition was **MET**.
7. The County Government of Mombasa demonstrated to have all the Core staff in place through the respective appointment records for the required Core Staff. Therefore, this condition was **MET**.
8. Functional and Operational Environmental and Social Safeguards Systems (i.e. screening/vetting, clearance/ approval, enforcement & compliance monitoring, grievance redress mechanisms, documentation & reporting) in place. The County Government of Mombasa has endorsed and ratified the environmental and social management system to guide investments within the county. All proposed



investments in Mombasa County are **screened*** against a set of environmental and social criteria/checklist, safeguards instruments prepared as per the County Environmental Action Plan with NEMA for the period 2014-2018. The County Government of Mombasa has not prepared any relevant **RAP for all investments with any displacement. They have also not prepared any project Reports for investments for submission to NEMA.** Finally, the County Government of Mombasa has established a County Environment Committee that awaits gazettelement. This condition was **MET**.

9. Citizens' Complaint system in place where there should be an established Operational Complaints Handling System including - A 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). This condition was **MET**.

The Team Leader took the members through the Key Results Areas which are five in number and included:

- 1) Key Result Area 1: Public Financial Management
- 2) Key Result Area 2: Planning and M&E
- 3) Key Result Area 3: Human Resource Management
- 4) Key Result Area 4: Civic Education and Participation
- 5) Key Result Area 5. Investment implementation & social and environmental performance

After extensive discussions that involved all the Key Result Areas, the Team Leader noted that KRA 2, KRA 3, KRA 4 and KRA 5 provided the required documentation that was able to withstand the parameters of assessment. However, under Key Result Area 1, the key persons were unable to present all the required documentation to the Assessment Team. However, the substantial amount of documentation was enough for the Assessors to have an independent view of the Assessment.

MIN: 6/23/11/2018: RESPONSES AND COMMENTS TOWARDS THE REPORT.

The Chairperson thanked the Assessment Team for their in-depth presentation and thereafter requested members to comment on the presentation and any reservations to the report that was presented by the Assessment Team.

The CO Finance remarked that the County would ensure that after the meeting the procurement department would give a presentation on the IFMIS steps implementation within the County.

The Head of Budget and Economic Planning committed to ensuring any pending documents would be availed. She further noted that the Assessment Team accompanied by a few County representatives would proceed to visit some of the projects as required.



MIN: 7/23/11/2018: COMMENTS FROM GOVERNOR'S REPRESENTATIVES.

The Deputy Governor expressed his gratitude to all members present for a productive assessment and that the County had come a long way and could only go further and he welcomed the Assessment to visit and tour the County. There being no other issue, the meeting was adjourned at 12.00 p.m.

Minutes Prepared by:

Signature: _____ Date: _____

- 1) Name: NUNGARI WAIYAKI
Secretary
Prestige Management Solutions Ltd.

Minutes confirmed by:

Signature: _____ Date: _____

- 1) Name: OMBASA PETER Mr.
Team Leader
Prestige Management Solutions Ltd.

- 2) Signature: _____ Date: _____
Name:
Designation: _____
County Government of Mombasa



— THE PRESIDENCY —
MINISTRY OF DEVOLUTION & ASAL

**For Contact Information:
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NAIROBI.**