



Issue No: 01 Revision No: 00 Date: September

Ref: NWHSA/FIN/SOP/04.

Standard Operating Procedure for: Corporate Planning Department



NATIONAL WATER HARVESTING & HARVESTING AUTHORITY

Standard Operating Procedures

For Finance and Corporate Planning

NWHSA/FCP/SOP/04



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Document Review Sheet

The signatures below certify that this Standard Operating Procedure has been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

Action	Name & Signature	Position	Date
Revised by			
Reviewed by			
Approved by			



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1.0 AMENDMENT RECORD

This Standard Operating Procedure is reviewed regularly to ensure relevance to the systems and process that it defines. A record of contextual additions or omissions is given below.

Amendment Record Sheet

Amendment Date	Issue No.	Revision No.	Page No.	Subject of Review /Modification	Revised By	Reviewed & Approved By



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2.0 GENERAL

2.1 Purpose

The purpose of these procedures is to ensure that the activities of the Corporate Planning division are planned, performed/implemented, monitored, evaluated and managed effectively and to the highest quality standards to ensure compliance with the ISO 9001:2015 International Standard and the Authority's requirements, as well as the Government's statutory policies, procedures and regulations for enhanced customer service delivery.

2.2 Scope

This procedure applies to and defines all the processes and activities carried out by the Corporate Division.

2.3 References

- Kenya Constitution, 2010
- Water Act No. 43 of 2016
- NWHSA Strategic Plan, 2017-2022
- NWHSA Quality Assurance Policy
- ISO 9001:2015 Standard, Clauses 4 to 10
- Customer Service Charter (Current)
- Kenya Vision 2030
- Third Medium Term Plan, 2018-2022
- National Education Sector Plan, 2018-2022
- Performance Contract and Guidelines (Current)

2.4 Abbreviations

AMR	= Assistant Management Representative
GM	= General Manager
NWHSA	= National Water Harvesting & Storage Authority
CPCS	= Coordinator Performance Contracting Secretariat
CEO	= Chief Executive Officer
MoE	= Ministry of Education
MR	= Quality Management Representative



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PC	= Performance Contract
QMS	= Quality Management System
MEC	= Management Executive Committee
CP	= Corporate Planning
M & E	= Monitoring & Evaluation
MWS&I	= Ministry of Water, Sanitation & Irrigation
HCPD	= Head of Corporate Planning Division
F&CP	= Finance & Corporate Planning
SP	= Strategic Plan
WP	= Work Plans
PSPMMU	= Public Service Performance Management and Monitoring Unit
TL	= Team Leader
MDA	= Ministries, Departments and Agencies

2.5 Definitions

GM: The in-charge of Department in the Authority.

HOD: The in-charge of a Division, or Section in the Authority.

Product: Refers to goods, services, works or products offered by the provider to a customer.

Quality Assurance: Refers to guaranteeing of the fitness for purpose of a given product.

Potent Risk: Refers to potential raw risk that is anticipated.

2.6 Responsibility

The Head of Corporate Planning Contracting has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose and for providing the information from which the documentation of their processes can be compiled and for initiating action to keep them up to date. All departmental staff members are responsible for implementing and ensuring that this procedure is followed.



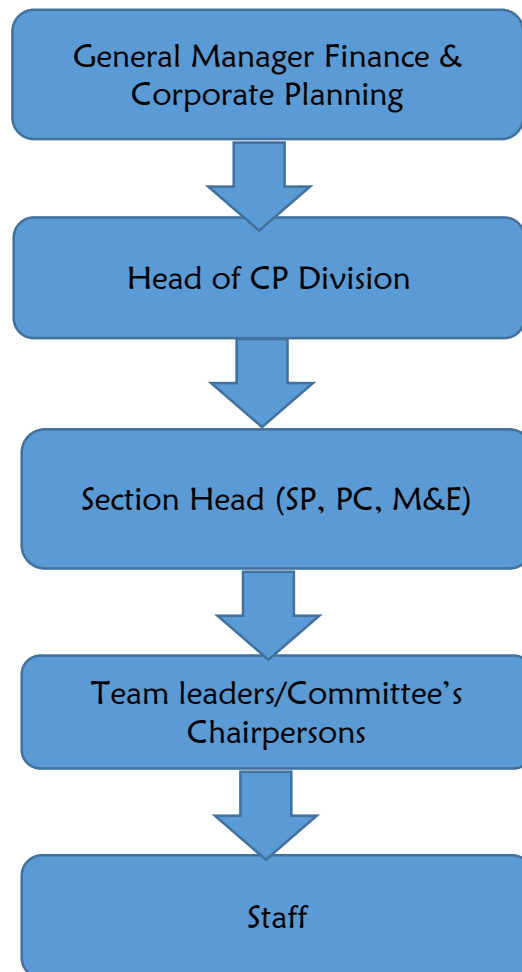
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3.0 ADMINISTRATIVE STRUCTURE

The administrative structure for the Performance Contracting Division in the Authority is as follows:





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4.0 PROCESSES

4.1. Overview

The CP Division is responsible for the Authority's activities related to Strategic Planning, Monitoring & Evaluation and Performance Contracting in the Authority.

The core activities of the Division include:

- (i) Sensitizing staff on Quality Assurance, Performance Contracting, Monitoring & Evaluation and Strategic Plan.
- (ii) Monitoring implementation of PC targets and preparation of its reports.
- (iii) Monitoring & Evaluation of the Authority Projects and Programs and Production of Reports.
- (iv) Coordinating all activities related to Performance Contracting
- (v) Acting as a liaison between the Authority and Government agencies on PC matters.
- (vi) Monitoring and evaluating implementation of the Strategic Plan and Production of Reports.

4.2. Process for Monitoring and Evaluation of Authority's Projects & Programs - NWHSA/FIN/SOP/04/ME

4.2.1 Source

All Departments

4.2.2 Required inputs/ Resources

- NWHSA strategic plan 2017-2022
- Budgetary allocation
- Standards and guidelines
- Work plans
- Policies and manuals (designs)
- Expenditure returns
- Stationery
- Performance Contract
- Resource persons (staff)

4.2.3 Expected outputs

- Filled field data sheets
- M& E reports

4.2.4. Customer



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Top Management (MEC)
Departments



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4.2.5. Process details

No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
1.	A Work Plan is prepared at the beginning of the financial year for M & E of the Projects & Programs	Staff, stationery, computer/ printer	GM-CP, HOCPD. Chair M & E Committee Members	By July (2weeks)	Work Plan	Memo forwarding work plan Approved work plan
2.	Every Quarter, in the preceding month after the quarter a memo is Done for to CEO for approval for M&E field visits.	Staff, stationery, computer/ printer	CEO GM-CP, HOCPD/ Chair M & E Committee	Start of July, October, January and April (2 days)	Field/Project schedule	Memo, itinerary
3.	Field Visits and Production of M&E reports (Quarterly, Semi Annual and Annual)	Staff, stationery, computer/ printer Vehicles Finance Protective gear	GM-CP, HOCPD/ Chair M & E Committee	One month	M&E report	Field data sheets Questionnaires Project photos and briefs
4.	Every Quarter, in the preceding month after the quarter a memo is Done for to GMs for Departmental M&E exercise.	Staff, stationery, computer/ printer Finance	GMs, HOCPD/ Chair M & E Committee	2 weeks	M&E report	Memo Data sheets Questionnaires Departmental briefs
5.	Semi Annual M&E for the Strategic Plan	Strategic Plan, Staff, stationery, computer/ printer Finance	GMs, HOCPD/ Chair M & E Committee	One month	M&E report	Memo Data sheets Questionnaires Departmental briefs



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No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
		work plans				Minutes
6.	Quarterly and Annual M&E for PC	PC, Staff, stationery, computer/ printer Finances Protective gear	GMs, HOCPD/ Chair M & E Committee PC secretariat	One Month	M&E report	Memo Data sheets Questionnaires Departmental briefs Minutes

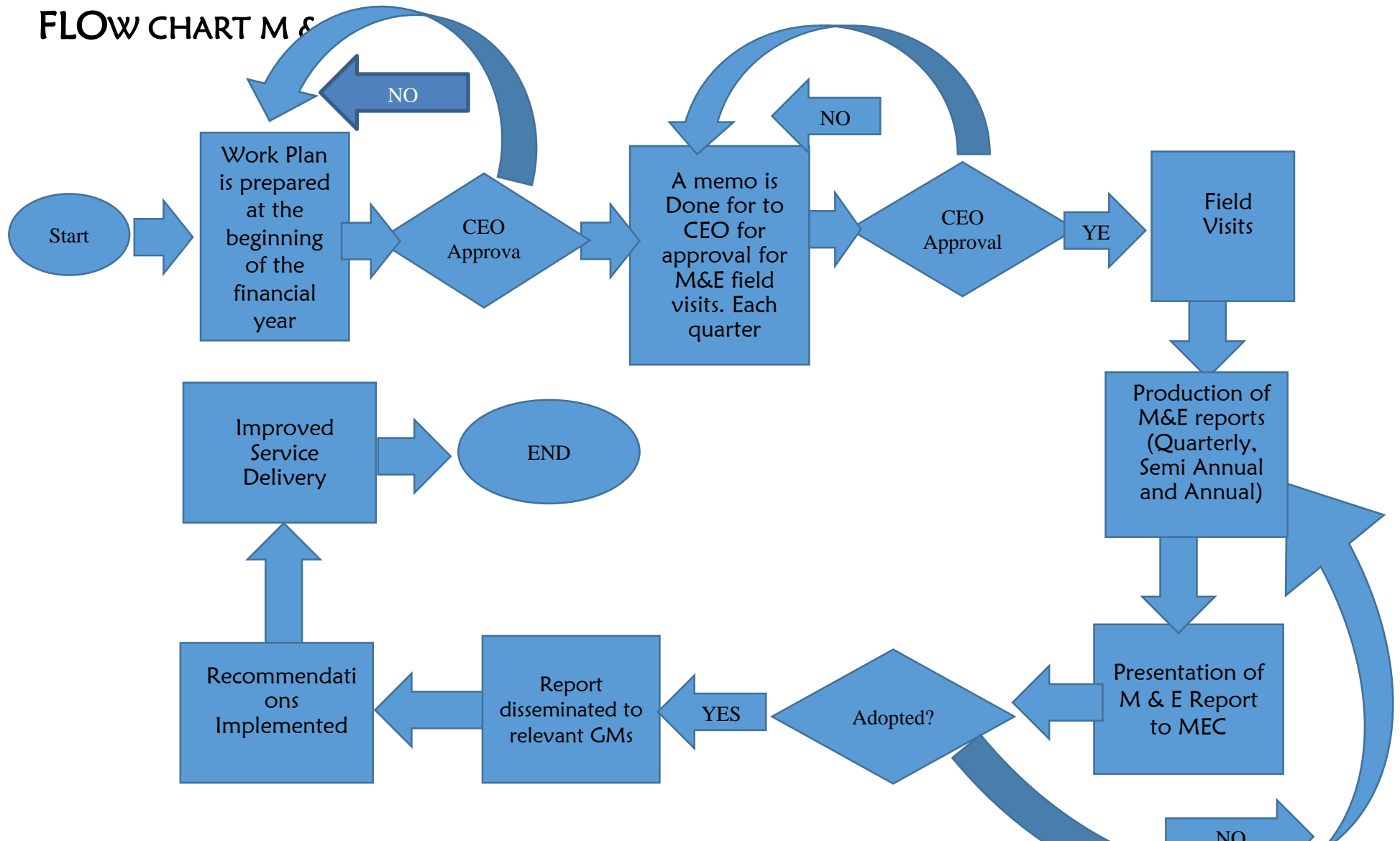


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FLOW CHART M & E





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4.3. Process for Implementation and Monitoring of the Performance Contract - NWHSA/FIN/SOP/04/PC

4.3.1 Source

PSPMMU
MDAs (independent Agencies)
MWS&I
All NWHSA departments

4.3.2 Required inputs/Resources

- Performance Contract Guidelines
- Annual Procurement Plan
- Strategic Plan (current)
- MTP 2018-2023
- Government Sector Plans
- Annual Financial Budget
- Guidelines from independent Commissions (MDAs)
- Resource persons (staff)

4.3.3 Expected outputs

- NWHSA Performance Contract
- Annual consolidated PC reports
- Departmental Annual work plans
- Departmental and Divisional PCs
- Quarterly/ Annual PC Performance reports

4.4.4. Customer(s)

Relevant Government Ministries & Independent Agencies
All NWHSA Departments
All Staff
MEC



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4.4.5. Process Details

No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
1.	Every year the CEO receives guidelines for preparation of the Authority's Performance Contract from the National Performance Contract Secretariat PSPMMU. The guidelines are forwarded to head of Corporate Planning Division and GMs, to prepare a Performance Contract draft in liaison with the Coordinator NWHSA PC secretariat	Staff Stationery	CEO, HCP	July	Guidelines Draft PC	Approved work plan
2.	The draft PC Presented MEC for deliberation and input, then presented to Board of Directors for approval	Staff, stationery, finances	GM F&CP HCP	July	Draft PC	MEC paper and Minutes Board Paper and minutes
3.	The PC is negotiated, vetted and signed between the Board Chairman and the Permanent Secretary, MWSI	Staff, stationery, finances	CEO, HCP, BOARD, MWSI,	July	Vetted PC Authority's PC Signed PC	Negotiation and Vetting minutes Negotiated and Vetted PC
4.	NWHSA Chairman cascades the PC to the CEO for signing within one month after the PC is signed.	Staff, stationery, finances	CEO, HCP, BOARD CHAIRMAN	July	CEO PC Signed	Draft CEO, GMs PCs, Minutes



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No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
	A copy is send to HCP/CPC.					
5.	The CEO cascades the signed PC to the GMsto prepare theirs. Copies are sent to the HCP as a record. The PCs are negotiated, vetted and signed with the CEO	Staff, Stationery, Finances	CEO, HCP, GMs	2 weeks	Copies of signedGMs PCs	Draft CEO, GMs PCs, Minutes
6.	HODs are sensitized on the PC targets under their Divisions	Staff, stationery, finances. Guidelines	All HODs, HCO, GMs,	2 weeks	Sensitized HODs	Minutes Draft PCs
7.	HOD prepare their PCs and work plans two weeks' after the date of sensitization and sign with the GMs and Copies are sent to the HCP	Staff, Stationery Finances, Guidelines	All HODs, HCO, GMs, CEO	2 weeks	HODs PCs & Work Plans	Minutes, WPs Signed PCs
8.	All staff prepare their performance contracts/work plans for signing with their respective supervisors	Staff, Stationery, finances	All staff, HODs, HOSs	2 weeks	Staff PCs	Minutes, WPs Signed PCs
9.	The HCP requests for quarterly progress reports one week before the end of every quarter. The reports are submitted in a prescribed format by the 5 th of the month following the end of the quarter, with supporting evidence for transmission to governmental	Guidelines, staff, stationery, Circular	GM FCP, HCP, CEO	One week	Consolidated PC Performance Report, Guidelines	Minutes Consolidated PC Performance Report



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No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
	Ministries, Departments and Agencies (MDA's) before 14 th of the month following the end of the quarter.					
10	Quarterly reports are used to prepare subject-based consolidated reports forwarded to the CEO for onward transmission to various governmental Ministries, Departments and Agencies before 30th June of every year.	Guidelines, staff, stationery, Circular	CEO, GM FCP HCP	Quarterly	Reports	Submitted report Board Minutes Forwarding letter

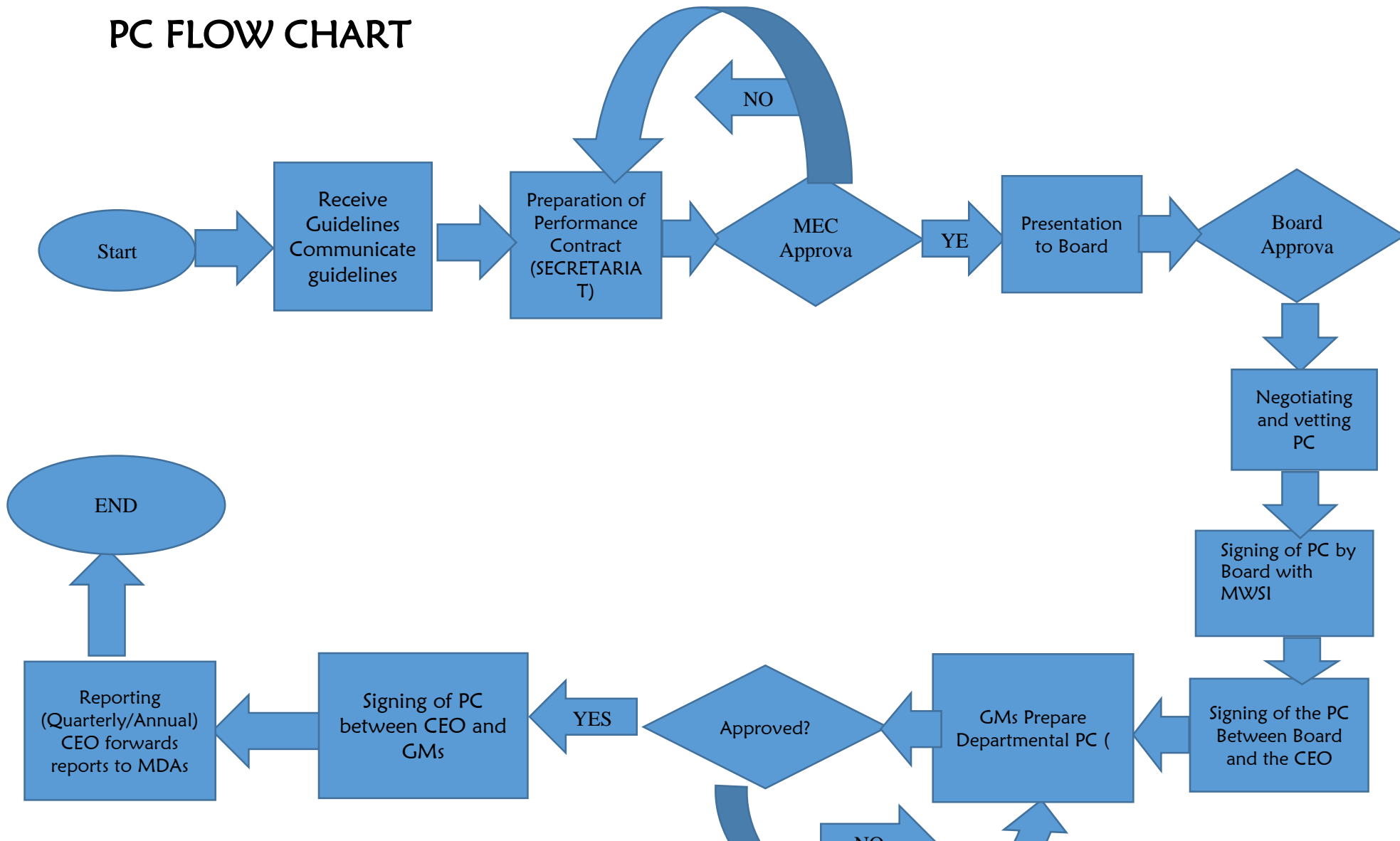


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PC FLOW CHART





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4.5 Process for Implementation and Monitoring of the Strategic Plan - NWHSA/FIN/SOP/04/SP

4.5.1 Source

All Departments

4.5.2 Required inputs/Resources

- Performance Contract (Current)
- Strategic Plan
- Standards and guidelines
- Annual work plans
- Allocated budget
- Resource persons (staff)

4.5.3 Expected outputs

- Corporate Performance Contracts
- Quarterly reports with evidence of implementation
- Annual consolidated report
- Reviewed Strategic Plan
- Strategic Plan achievements

4.5.4. Customer(s)

Top Management

GMs

All Staff



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4.5.5. Process Details

No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
1.	Every year the Authority prepares a Performance Contract setting targets derived from Authority's Strategic Plan. The Strategic Plan is implemented and monitored through work Plans and Performance Contracts	Staff Departmental work plans Stationery Equipment	CEO GMFCP HCPD	2 weeks	Performance Contract with Strategic Plan targets	Work plans Memo SP targets
2.	All Authority staff are allocated various activities in the PC to implement	Stationery Staff Equipment	Respective Supervisors	2 weeks	Cascaded PC	Memo
3.	The HCPD writes to the implementers of the Performance Contract seven (7) days before the end of every quarter requesting them to report on the progress of implementation of the activities under them and attach evidence	Stationery Staff Equipment PC Guidelines SP	GMFCP HOPD GMs	1 week	Quarterly Progress reports	Memo Draft reports
4.	The reports of the implementation are sent to	Stationery Staff	GMs HODs	5 days	Quarterly reports	Memo Minutes



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No.	Process Details/Description	Resources	Responsibility	Timelines	Output	Measure of Success (KPI)
	the GMFCP/HOCPD by the 5 th day following the end of the reporting quarter. The HOCPD sends the consolidated quarterly reports to the CEO for onward transmission.	Equipment PC Guidelines SP	Committee chairs			
5.	The GMCPD also prepares a consolidated annual Performance Contract implementation report which reflects the status of implementation of the Strategic Plan at the end of the year and forwards to the CEO for onward transmission.	Stationery Staff Equipment PC Guidelines SP	GMFCP HOPD GMs Committee chairs	2 weeks	Consolidated reports	Implementation Reports

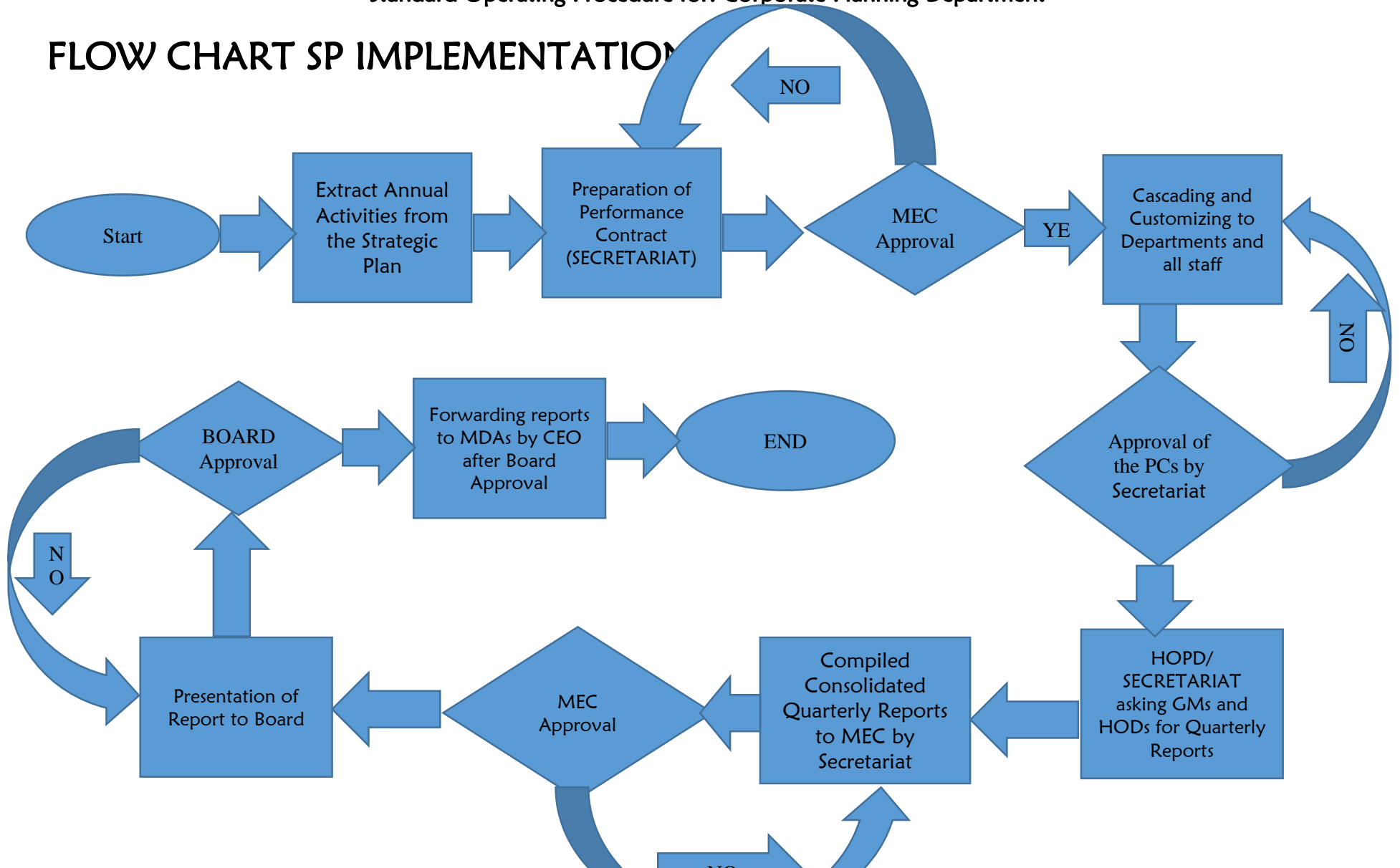


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FLOW CHART SP IMPLEMENTATION



5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

- (i) Annual Work Plan for the Strategic Plan
- (ii) Quarterly Progress Reports for the Strategic Plan
- (iii) End of Year Report for the Strategic Plan
- (iv) Performance Contracts
- (v) Quarterly Performance Contract Performance Reports and Minutes
- (vi) End of Year Performance Contract Performance Reports and Minutes
- (vii) Strategic Pan
- (viii) Monitoring and Evaluation Reports (Bi annual and Annual)

6.0 RISKS AND MITIGATION

S/NO	Reference	Risk	Mitigation
1	Implementation and Monitoring of the Performance Contract	Delayed Performance Contract guidelines from the Ministry	Timely release of Performance Contract guidelines from the Ministry
		Late/non-submission of quarterly reports	prompt submission of quarterly reports
		Failure to sign cascaded PCs or to cascade PCs	Sign and cascade PCs
		Failure by staff to submit quarterly reports together with evidences for various targets	Submit quarterly reports together with evidences for various targets
2	Implementation and Monitoring of the Strategic Plan	Impromptu audits	Planned audits
		No commitment to PC targets	Commitment to PC targets
		Late vetting, negotiation and signing leads to targets not being met circumstances	Timely vetting, negotiation and signing leads to targets not being met
		Interruption of Authority functions due to unavoidable	Be ready for any Interruption of Authority functions due to unavoidable circumstances
3	Field trips for M&E	Bad weather (rains, roads,)	Right gear, right vehicles
		Security threats	Security Escorts