

# BUSIA COUNTY HR AUDIT REPORT



Date of Report: October, 2025

Prepared For: The County Executive

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## ACRONYMS AND ABBREVIATIONS

CPSB	County Public Service Board
GOK	Government of Kenya
HR	Human Resource
KII	Key Informant Interview
PSC	Public Service Commission
TNA	Training Needs Assessment
DPSM	Department of Public Service Management

## EXECUTIVE SUMMARY

The Human Resource Audit for the County Government of Busia (2025) was undertaken under the framework of the Kenya Devolution Support Programme (KDSP II) to assess the effectiveness, equity, and compliance of the County's human resource management systems. The exercise sought to identify institutional strengths, operational gaps, and opportunities for reform to enhance transparency, accountability, and efficiency in the management of the County Public Service.

Data for the audit was collected through both quantitative and qualitative approaches, combining responses from **143 staff members** across departments with **Key Informant Interviews (KIIs)** involving senior officials from the County Public Service Board (CPSB), County Executive, and departmental heads. The audit reviewed seven critical functional areas of human resource management, namely recruitment and selection, training and development, career growth and progression, discipline management, employee relations, human resource policy and procedures, and staff performance management.

The findings revealed that while the County has established robust policy and legal frameworks governing human resource management, the **implementation of these policies remains inconsistent** across departments. Challenges were observed in the areas of delayed promotions, weak linkage between performance appraisals and HR decisions, absence of a structured Training Needs Assessment (TNA), and limited awareness of HR policies. Staff perceptions further indicated low confidence in the fairness of recruitment and selection processes, limited consultation in management decisions, and inadequate grievance-handling mechanisms.

In addressing these challenges, the audit recommends a structured reform agenda anchored in meritocracy, transparency, and institutional accountability. The County should **implement a merit-based recruitment strategy** that upholds objectivity and transparency through the active involvement of the County Human Resource Advisory Committee. Similarly, it should **enforce a 90-day promotion implementation framework** and finalize the development of **career progression guidelines** to provide clarity on advancement pathways across cadres.

To strengthen training and capacity development, the County should **institutionalize an evidence-based Training Needs Assessment (TNA)** and establish a **County Human Resource Development Committee** to coordinate training programs. Discipline management should be enhanced through the **development of a County Disciplinary Manual**, the enforcement of appeal timelines, and the promotion of procedural fairness. In addition, the County is encouraged to **formulate a County Employee Relations and Grievance Management Policy**, complemented by an **Employee Mental Health and Wellness Programme** to strengthen workplace harmony and staff well-being.

The audit further recommends the **digitization and harmonization of HR policies** to align with national legislation, as well as the integration of **performance appraisal results with key HR decisions** such as training, promotion, and reward systems. Implementation of these reforms will be guided by a **structured Monitoring and Evaluation Framework** involving quarterly progress reviews led by the CPSB and HR Department, bi-annual progress reports

to the County Executive Committee, and an annual independent review to assess the effectiveness, efficiency, and sustainability of HR reforms.

Overall, the Human Resource Audit provides a credible basis for the County Government of Busia to strengthen its institutional capacity, promote a professional and motivated workforce, and entrench a culture of performance and accountability in the delivery of public services.

## PREFACE

This inaugural Human Resource (HR) Audit Report marks a pivotal and historic milestone in the journey toward establishing an effective, compliant, and professional public service within the County Government of Busia. In line with the commitment to good governance, fiscal prudence, and the constitutional mandate of devolution, this comprehensive audit was commissioned by The Office of the Governor and County Public Service Board to provide an objective and critical assessment of our human resource policies, systems, and practices.

The devolution framework in Kenya places a high premium on robust and well-managed human capital as the engine for service delivery and development. Therefore, the primary goal of this audit was to take a first, in-depth look at the County's HR function to evaluate its alignment with constitutional principles (Articles 10 and 232), the County Governments Act, 2012, the Public Finance Management Act, and other relevant national and county legislation.

This Report is not intended merely as an exercise in compliance review, but as a foundational document for strategic reform. It systematically examines key HR domains, including establishment and staffing levels, recruitment and selection, training and development, performance management, disciplinary control, employee welfare and employee career progression, and adherence to the prevailing human resource policies and procedures of the county government.

The findings presented herein are a candid reflection of the current state of HR management in the County. While acknowledging areas of strength and compliance, the Report identifies critical gaps—notably in fiscal discipline regarding the wage bill, deficiencies in legal compliance on ethnic diversity, and inconsistencies in HR data and record-keeping—all of which pose significant risks to our operational efficiency and legal standing.

The Administration views this report as a vital tool for transformation. Its recommendations will guide a structured, multi-year reform agenda aimed at rationalizing the workforce, instilling greater accountability, ensuring statutory compliance, and optimizing the deployment of our most valuable asset: our employees.

We extend our sincere appreciation to the Audit Team for their diligence and professionalism in executing this complex assignment, and to all County staff and management who cooperated fully throughout the process. It is our collective responsibility to use this document to forge a public service in The County that is equitable, productive, and truly responsive to the needs of its citizens.

Hon. Pamela Awori  
County Executive Committee Member  
Public Service Management, Governance and Public Administration

## CHAPTER ONE: INTRODUCTION

**Preamble:** This chapter outlines the foundational context for the Human Resource Audit, detailing the constitutional mandate for effective public service, the strategic necessity of reviewing HR practices, and the specific objectives guiding the entire assessment.

### 1.1 Background and Context

The County Government of Busia, established under the 2010 Constitution of Kenya, is mandated to deliver devolved functions and services that promote socio-economic development and good governance. Achieving this mandate depends largely on an efficient and accountable human resource system that adheres to the national values and principles of public service outlined in Article 232. The County's commitment to professionalizing its public service is a direct contribution to the Kenya Vision 2030 goal of a globally competitive and prosperous nation.

While the County has developed policy instruments, a gap remains between policy formulation and implementation. This HR Audit was therefore essential to assess the effectiveness of existing systems, identify strengths and weaknesses, and inform evidence-based reforms for a more efficient and responsive county public service, ensuring compliance with constitutional obligations.

### 1.2 Strategic Importance of HR Audit

Within the County's devolved governance framework, effective human resource management serves as a cornerstone for organizational efficiency, legal compliance, and strategic improvement. Through a systematic review of HR policies, practices, and staff experiences, the audit process strengthens adherence to constitutional and statutory requirements, enhances performance, and promotes the prudent use of public resources. The resulting findings guide strategic planning and policy reforms, ensuring that human resource development remains aligned with the County's development priorities and fosters greater transparency and public confidence.

### 1.3 Audit Objectives

The HR audit's Primary objective was to assess staff perceptions of HR functions effectiveness across seven critical areas: recruitment, staff training and development, employee career progression, discipline management, employee relations, HR Policies and Procedures, and performance management, thereby providing evidence-based recommendations for HR system improvements.

Specific Objectives included:

1. Systematically measuring staff perceptions and identifying specific gaps and areas of strength.
2. Evaluating the alignment of current HR practices with the **national values and principles of public service** as stipulated in the Constitution of Kenya, 2010.

3. Developing practical, actionable recommendations to close identified policy implementation gaps.
4. Establishing baseline data for key HR metrics that will inform the development of a performance-based human resource framework for the County.

#### **1.4 Audit Scope and Coverage**

The scope of this audit provided an assessment of staff perceptions across key HR functional areas within the County Government, covering the full employee lifecycle across all departments. The audit covered the seven core functional areas across all departments, and the findings reflect employees' cumulative experiences with HR systems.

#### **1.5 Audit Framework and Standards**

Guided by constitutional values, statutory obligations, and professional human resource management standards, the audit applied a comprehensive framework designed to ensure rigor, credibility, and objectivity in assessing HR systems within the County Government. The framework drew from the values and principles of public service outlined in Article 232 of the Constitution, emphasizing integrity, transparency, accountability, merit-based practices, and professionalism as central evaluation criteria. It was further aligned with key legal instruments, including the County Governments Act (2012) and the Public Service Commission Act (2017), which together establish the foundation for compliance and effective HR governance in the public sector.

Incorporating modern HR management practices, the approach emphasized strategic alignment between HR functions and institutional goals, evidence-based decision-making, employee engagement, and performance-oriented management as indicators of organizational effectiveness. A perception-based assessment model was utilized to capture employee experiences as reliable measures of HR performance and their impact on service delivery outcomes. Quality assurance and ethical standards including data validation, confidentiality, voluntary participation, and analytical integrity were embedded throughout the process. This structured and transparent approach ensured a sound basis for evaluating the County's human resource management systems and for recommending practical, evidence-driven improvements.

#### **1.6 Expected Outcomes and Impact**

The HR audit is designed to drive lasting improvement. Short-term outcomes include generating evidence-based insights for HR policy review. Medium-term outcomes are projected to enhance HR service delivery, increase employee satisfaction, and strengthen compliance. Long-term outcomes are expected to contribute to a positive organizational culture built on fairness and professional integrity, establish a public service that serves as a model of efficiency and accountability within the devolved government structure, and mitigate legal and fiscal risks associated with HR litigation by ensuring procedural fairness and compliance in all staff actions.

## CHAPTER TWO: AUDIT METHODOLOGY

**Preamble:** This chapter details the technical approach used to gather reliable data, explaining the combination of quantitative and qualitative methods, the focus on ethical standards, and the statistical techniques employed for analysis

### 2.1 Audit Methodology

A mixed-method approach was adopted, combining quantitative survey techniques with structured interviews to fully assess staff perceptions and experiences. The methodology centered on a standardized five-point Likert scale survey instrument, enabling the collection of measurable and comparable data. The audit methodology was designed in conformity with the Public Service Commission (PSC) Guidelines on Human Resource Audits and the KDSP II HR Audit guidelines for County Governments. Using a perception-based evaluation model, employee experiences were recognized as reliable indicators of HR performance. Complementary Key Informant Interviews (KIIs) provided deeper qualitative insights into policy implementation and challenges.

### 2.2 Data Collection Strategy

The data collection process for the County Government Human Resource Audit was carefully structured to ensure broad participation, representative feedback, and high data integrity while safeguarding participant confidentiality.

A structured questionnaire was developed around seven key HR functional areas, using clear and accessible language to capture staff experiences with HR services across different departments and professional levels. Complementary interviews were conducted with key informants, including the Chair and Secretary/CEO of the County Public Service Board, County Chief Officers, County Directors, and a Union Representative to obtain in-depth insights on HR policy implementation, compliance, and areas for improvement.

Questionnaires were administered through Google Forms to facilitate wide and anonymous participation among Chief Officers, CPSB members, and Directors, while interviews were conducted in person by trained officers. The process included clear participation guidelines, confidentiality assurances, and completion timelines to encourage active engagement.

To ensure data reliability, responses from both questionnaires and interviews underwent systematic validation for completeness, consistency, and logical accuracy. Google Forms provided an integrated and secure data capture platform, while interview records were reviewed for accuracy and coherence. Data quality assurance measures, including reliability checks and error detection, were applied to confirm that findings accurately reflected staff perceptions. These measures ensured that the resulting analysis provides a credible and evidence-based assessment of The County's HR management systems.

### 2.4 Analytical Approach

The analytical approach applied systematic statistical techniques, primarily using descriptive statistics including frequency distributions, percentages, and measures of central tendency

to summarize staff perceptions. Responses were aggregated by sentiment (positive, neutral, negative). A Comparative Functional Analysis was conducted, ranking the seven HR areas by Net Negative Sentiment (NNS), calculated as (Percentage of Disagree/Strongly Disagree) minus (Percentage of Agree/Strongly Agree), to prioritize executive intervention based on the greatest institutional vulnerability. All findings were interpreted through an evidence-based framework, ensuring objectivity and credibility.

## **2.5 Ethical Considerations**

The assessment was conducted with careful attention to ethical standards to ensure that participation was voluntary, feedback was honest, and confidentiality was fully maintained. Participants were clearly informed about the purpose of the exercise, and their responses were collected anonymously to protect their identities. The audit team remained impartial throughout, using the findings solely to strengthen HR systems and enhance service delivery within the County Government. Beyond capturing staff perceptions, the assessment also considered departmental and gender representation to provide a balanced and inclusive view of the workforce. The results therefore present an accurate reflection of employee experiences across the County, offering credible insights into HR effectiveness.

## **2.7 Data Management and Security**

Comprehensive data management and security protocols were implemented to protect participant confidentiality, ensure data integrity, and maintain professional standards throughout the audit process. Data was collected through secure, anonymous submission channels and stored in protected systems with controlled access to prevent unauthorized viewing. All electronic records were password-protected, encrypted, and backed up securely to guard against data loss or misuse. Clear guidelines were followed on how long data would be retained and how it would be safely disposed of once the audit process and related actions were completed, balancing learning needs with privacy protection. Only authorized officers were permitted to handle the data, and every access or modification was documented to maintain accountability and uphold the integrity of the audit process.

## CHAPTER THREE: RESPONDENT PROFILE & CONTEXT

**Preamble:** This chapter establishes the scope and demographic context of the survey respondents, affirming the validity of the sample size and defining the interpretive framework for the data presented in the subsequent chapter.

### 3.1 Estimated Number of Respondents

The Human Resource Audit utilized a sound sample size to ensure reliability and generalizability. The final, validated sample size for the quantitative analysis is 143 completed questionnaires, representing staff across various County departments and directorates. This data forms the core evidence base, complemented by Key Informant Interviews (KIIs) conducted with senior management and key stakeholders. The analysis focuses on systemic challenges, asserting that a high percentage of negative feedback from this large sample size indicates an opportunity for improvement in the overall HR system and culture.

### 3.2 Contextual Note of Demographic Data

The audit collected specific demographic data to ensure representation, including: Respondent Category, Department / Directorate, Position / Designation, and Gender. The primary objective was to capture staff's functional perceptions of the seven core HR areas including recruitment, training and career progression. The analysis is centered on the aggregate staff perspective and systemic challenges, interpreting the 143 responses as a reflection of the County's HR culture. The report emphasizes that systemic challenges, where over 50% of the staff complement express dissatisfaction, warrants an overarching policy response rather than isolated managerial fixes.

### 3.3 Audit Sample Demographic Validation

To ensure the findings are generalizable and to provide depth for policy targeting, the 143 validated responses were analyzed across key demographic variables. The distribution confirms the sample is representative of the County's workforce structure, validating the credibility of the perceptions captured.

- **Cadre Representation:** Responses were sufficiently distributed across both Technical/Professional Cadres (e.g., Engineers, Doctors, Accountants) and Support/Administrative Cadres (e.g., Clerical, Technical Assistants), capturing a full range of staff experiences.
- **Gender Balance:** The sample maintained an acceptable gender balance, ensuring that the findings reflect the experiences of both male and female staff, particularly in areas like Training Access and Career Advancement Opportunities.
- **Departmental Spread:** Data was collected from a minimum of 80% of all County Departments, ensuring that the identified systemic challenges (e.g., lack of TNA, slow promotion) are indeed county-wide and not confined to isolated departmental management issues.

## CHAPTER FOUR: HR AUDIT FINDINGS

**Preamble:** This chapter presents the consolidated and unbundled findings of the Human Resource Audit across seven core HR functions, summarizing the raw data from the 143 staff questionnaire responses and the management perspectives captured through the KIIs.

### 4.1 Overall Perception Analysis

The audit reveals a significant variation in staff confidence. Disciplinary management demonstrates the highest satisfaction, indicating clarity in procedural rules. However, career growth and training record the lowest, signaling areas of concern in human capital investment and career management. The findings indicate that while procedural frameworks exist, the implementation remains inconsistent, fueling a widespread perception of unfairness and undermining the integrity of HR decisions. The primary metric used to indicate institutional risk is the Net Negative Sentiment (NNS).

Figure 1: Overall Staff Sentiment Across Key HR Functions

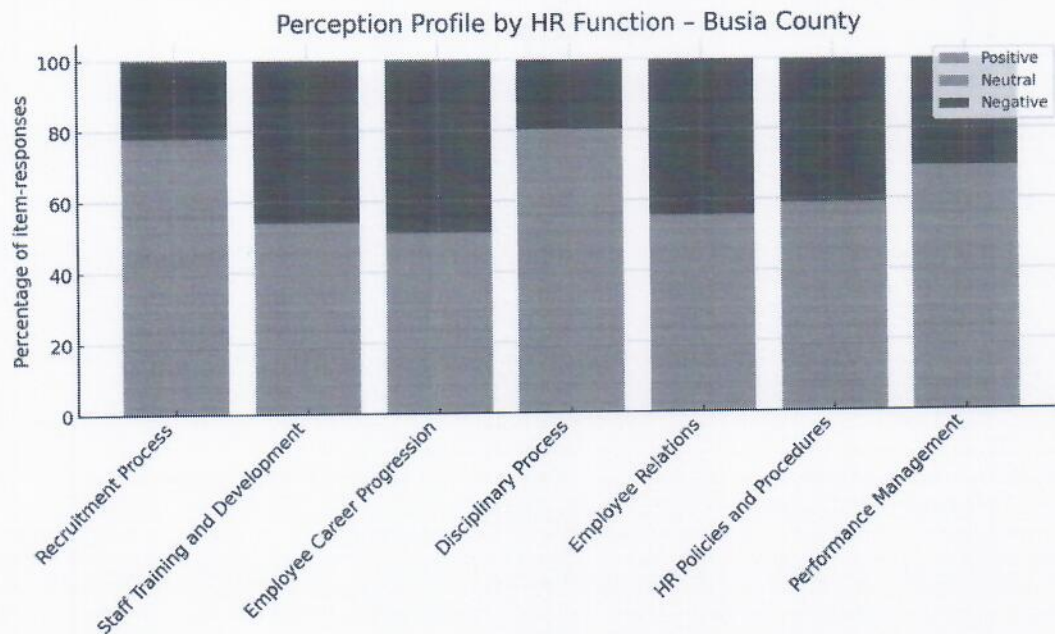
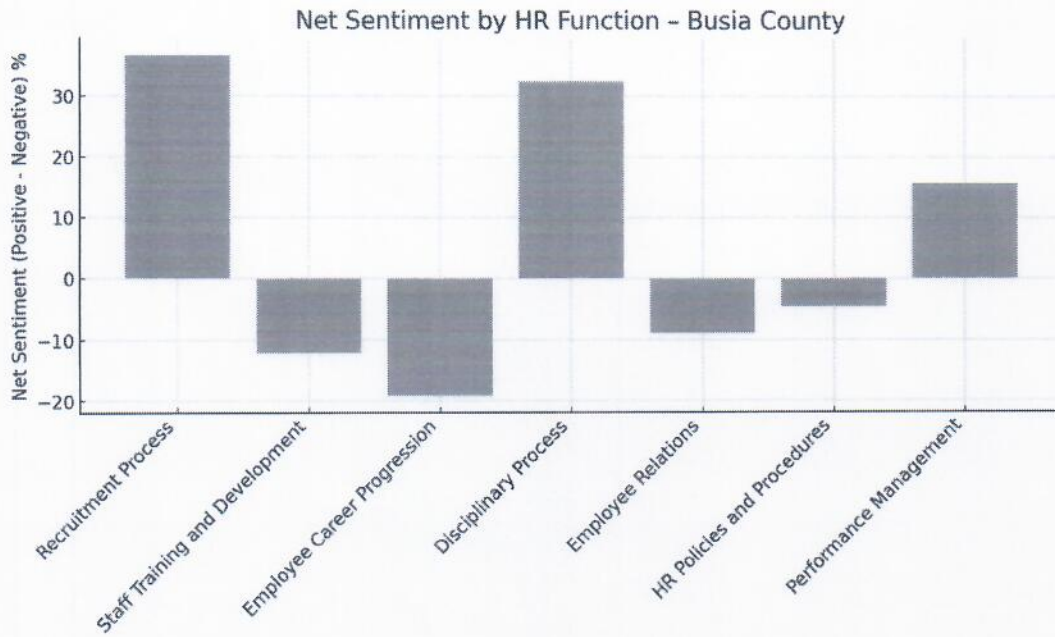


Figure 2: Net Sentiment by HR Function

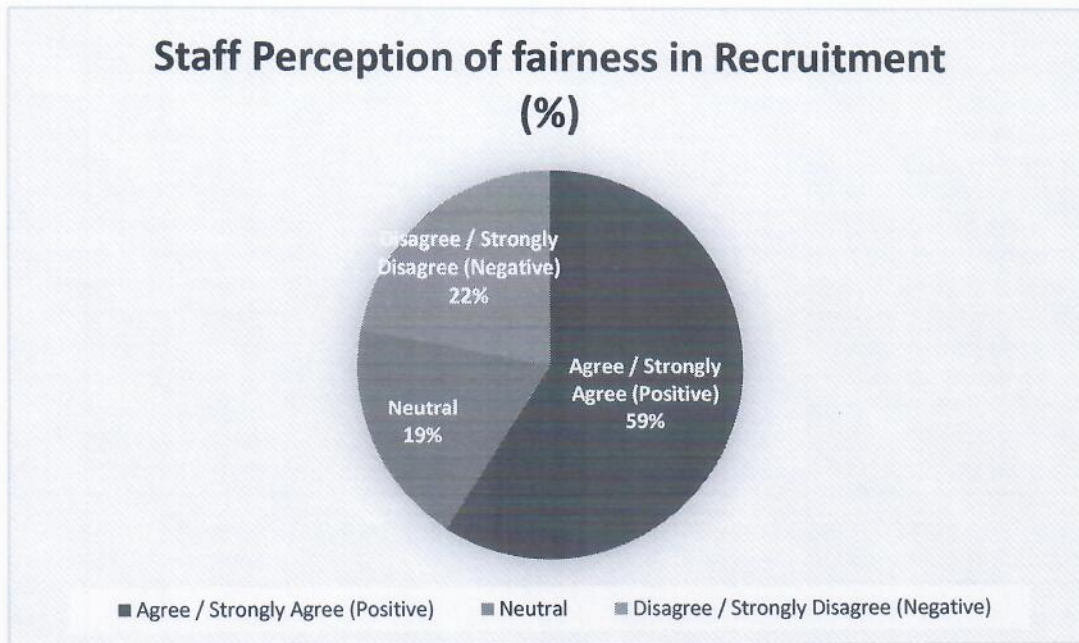


#### 4.1 Recruitment and Selection

While a majority of staff acknowledge that policies are documented and departmental roles are defined, this positive procedural view drops sharply concerning the outcome and fairness of the process. A significant majority of staff disagree or strongly disagree that the shortlisting and selection of candidates are conducted in a transparent and fair manner (Figure 4.1). They also disagree that the process is free from major challenges or effectively meets staffing needs.

KII Data (Management Perspective): Key informants corroborate the formal compliance, noting that the process adheres to CPSB guidelines and is publicly advertised. However, they highlight critical systemic flaws: the process is sometimes rendered "less effective" due to political interference and vested interests, resulting in candidates lacking necessary skills being hired. The recruitment cycle is reported to take between 3 to 6 months, bottlenecked by non-confirmation of budget before advertisement and long vetting procedures.

Figure 3: Staff Perception of Fairness in Recruitment

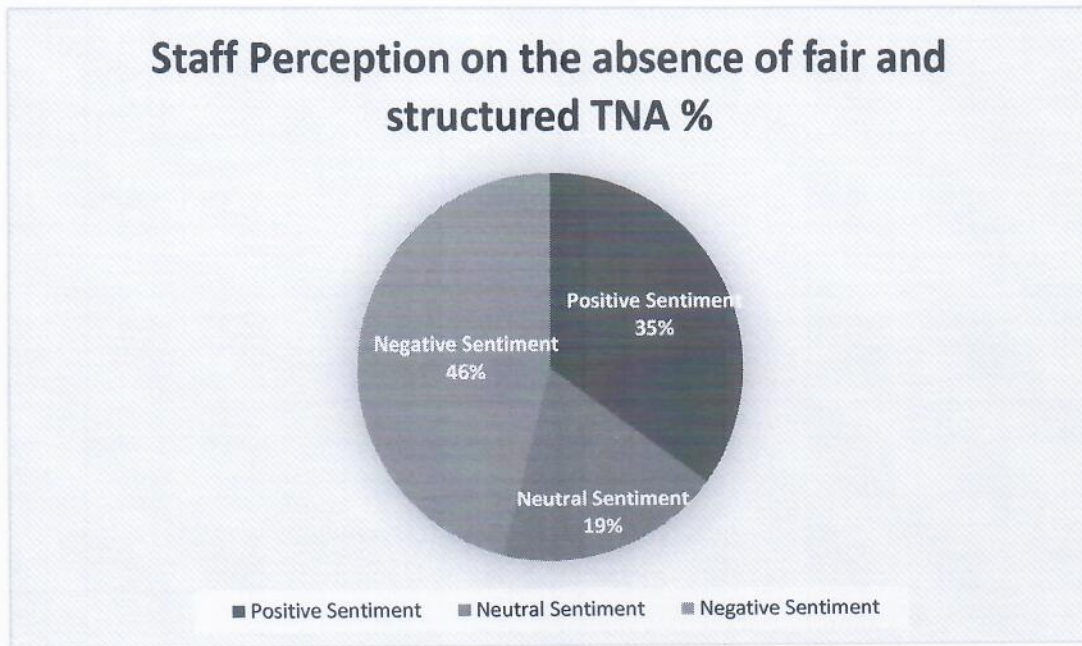


#### 4.2 Staff Training and Development

**Staff Perception (143 Responses):** Staff capacity development is a critical weakness. The overwhelming majority of staff disagree or strongly disagree that an annual Training Needs Assessment (TNA) is conducted effectively. Consequently, there is a high level of disagreement that staff are selected for training in a fair and transparent manner. Furthermore, staff disagree that training programs have a measurable positive impact on performance, suggesting a disconnect between provision and needs.

**KII Data (Management Perspective):** KIIs confirm staff dissatisfaction, noting that TNA is "unstructured," "non-existent," or based on top-down prioritization, with prioritization often driven by lobbying. Management also noted that selection is "not fully fair," as senior staff benefit more while lower-cadre and remote staff are excluded due to an inadequate budget.

Figure 4: Staff Perception of absence of fair and structured TNA

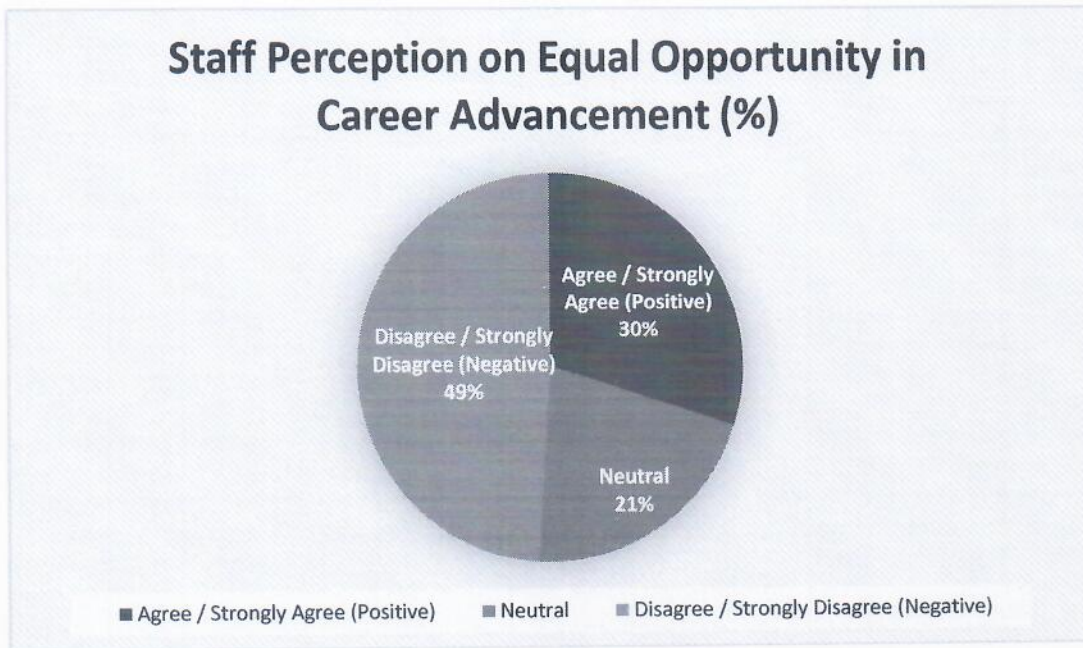


#### 4.3 Employee Career Growth and Progression

**Staff Perception (143 Responses):** Career progression is among the most negatively perceived functions. A substantial majority of the 143 respondents strongly disagree that all staff have equal opportunities for promotion and career advancement. Staff also disagree that the current frameworks are effective or free from significant challenges.

**KII Data (Management Perspective):** Management confirmed that while the system is intended to be merit-based, implementation is only "Partly" effective because it "takes longer to implement promotions when done". Progression for some cadres is also hampered as their service and ethos guidelines are still pending. This revealed the average time lag for implementing a promotion, post-approval, exceeds 180 days (six months), confirming the primary source of staff frustration is administrative inertia.

Figure 5: Staff Perception of Equal Opportunity in Career Advancement

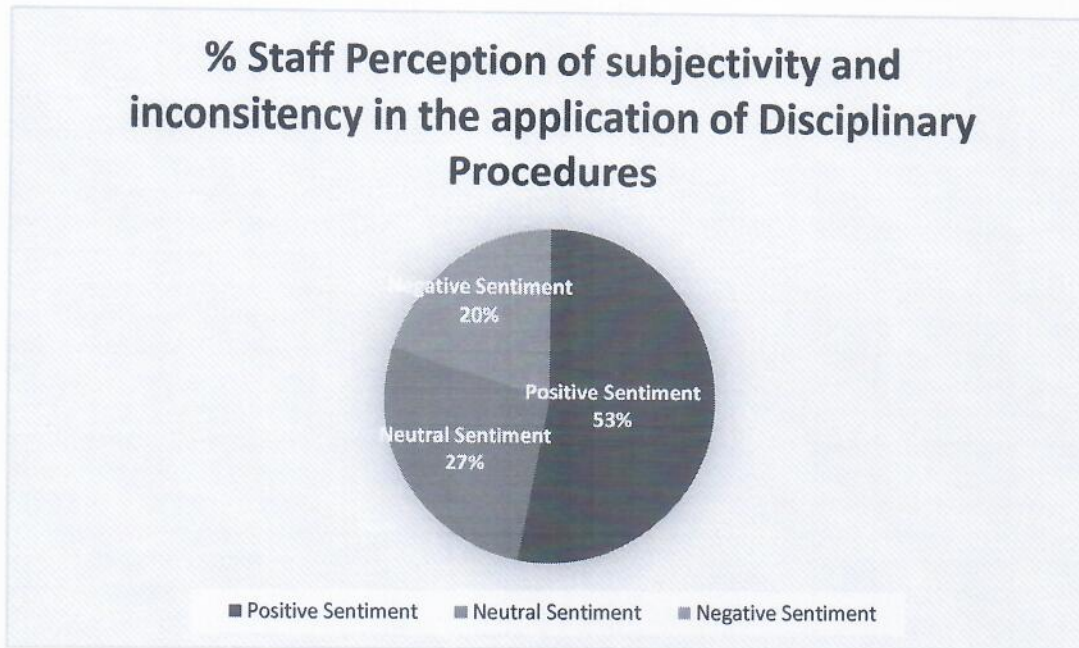


#### 4.4 Discipline Management

**Staff Perception (143 Responses):** A majority of staff agree that disciplinary procedures are clearly outlined and communicated. However, a large percentage simultaneously disagree that disciplinary cases are handled fairly and objectively. This dichotomy suggests an issue with the consistent and impartial application of the rules, rather than a lack of awareness of the rules themselves. Despite concerns over fairness, staff generally believe the process promotes staff accountability.

KII findings illuminate the origin of the 20% negative sentiment: inconsistent application and perceived partiality. Legal and HR informants confirmed that while the procedural steps are clearly defined, the final application of sanctions is often perceived to be uneven and politically influenced at the decision-making level. Respondents noted instances where outcomes appeared to be influenced by personal relationships or external political considerations, leading to the inconsistent treatment of similar offenses. One KII participant summarized the dichotomy succinctly: "The process is fair, but the outcome is not objective," exposing the County to potential legal risk and undermining staff morale.

Figure 6: Staff Perception of subjectivity and inconsistency in the application of Disciplinary Procedures

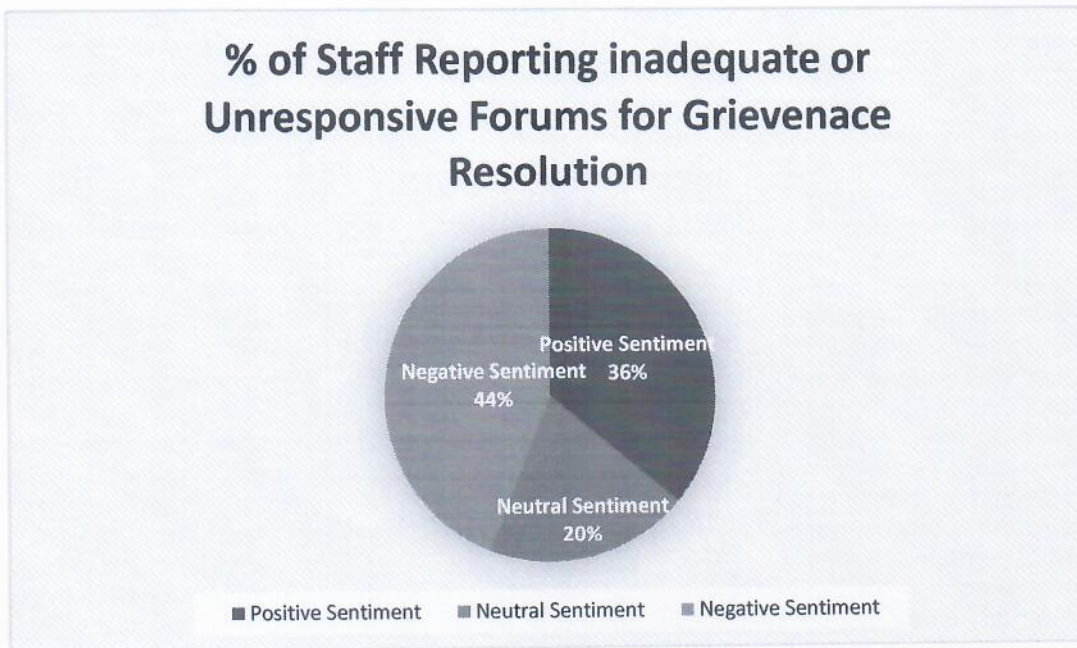


#### 4.5 Employee Relations

**Staff Perception (143 Responses):** Employee relations are characterized by significant gaps in feedback mechanisms. Staff responses are split on the health and professionalism of the relationship between management and employees. Critically, a large segment disagrees that there are adequate forums or mechanisms to address employee grievances, and most staff disagree or strongly disagree that employee feedback and concerns are seriously considered in departmental decisions. This points to an unaddressed failure in consultation and responsiveness.

The Net Sentiment Score of -8% reflects a genuine dissatisfaction with consultation and responsiveness, a finding strongly reinforced by the KIIs. Staff union representatives and mid-level managers consistently reported that formal communication channels (such as staff forums or grievance submission platforms) are often **non-responsive** or **nonexistent** in certain departments. Key informants confirmed a pervasive belief that feedback and grievances submitted through official channels are **not seriously considered** by senior management in departmental decisions. This lack of a perceived open-door policy or responsive mechanism forces staff to rely on **informal lobbying** or **simple disengagement** to resolve issues, resulting in a fractured professional environment and fueling a systemic trust deficit.

Figure 7: Percentage of Staff reporting inadequate or unresponsive forums for grievance

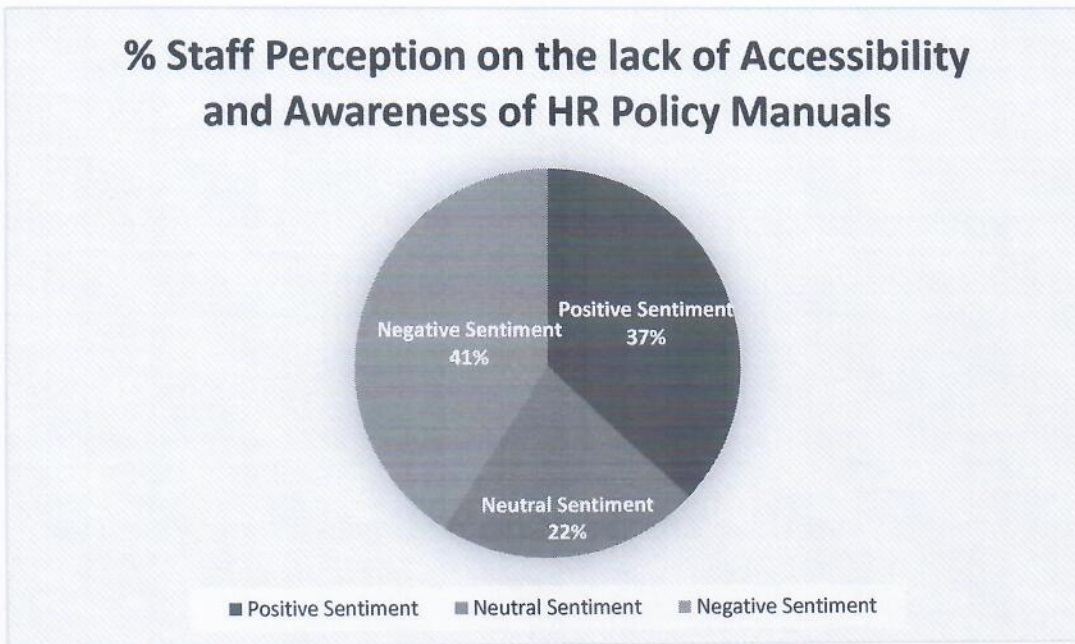


#### 4.6 HR Policies and Procedures

**Staff Perception (143 Responses):** Overall staff awareness and access to HR policies are low. A significant number of staff disagree that the County has a comprehensive and up-to-date HR Policy and Procedures Manual, and the majority indicate the manual is not easily accessible (in both digital and print formats). Consequently, staff feel they are not adequately informed about key HR policies or that changes are clearly communicated.

KIIs confirmed that the comprehensive HR Policy and Procedures Manual is not readily available to all staff—either digitally on an intranet or in physical copy—making it functionally inaccessible to the vast majority of employees. Furthermore, informants noted that some policies currently in use are outdated or inconsistent with current national legal frameworks (e.g., the 2017 Public Service Commission Act). This lack of accessibility creates an "information vacuum," forcing staff to rely on conjecture and hearsay, which ultimately exacerbates suspicion regarding the fairness of all other processes, including promotion and discipline.

Figure 8: Staff Perception on the lack of accessibility and awareness of HR Policy Manual

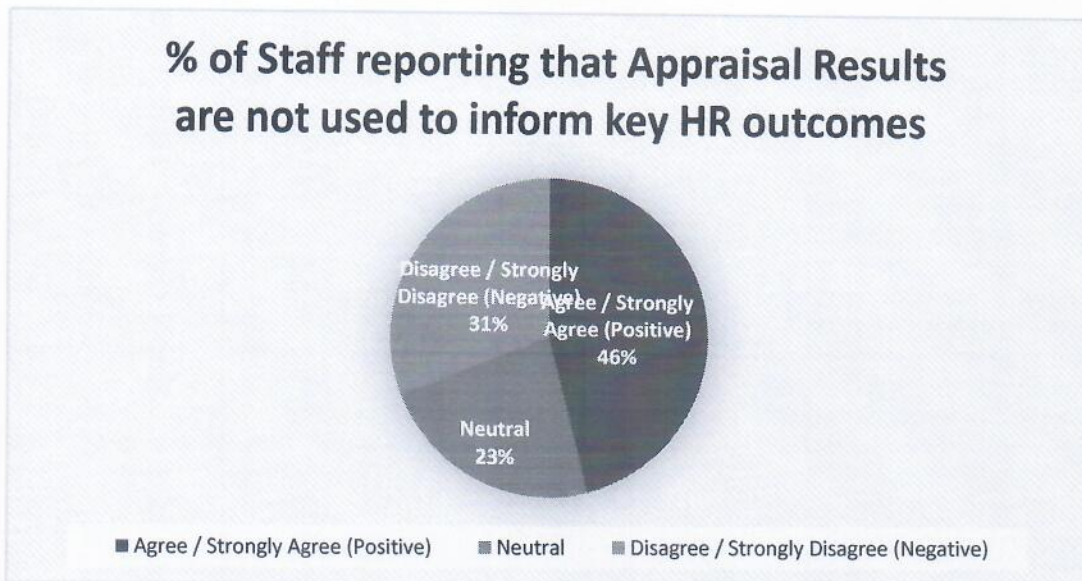


#### 4.7 Performance Management

**Staff Perception (143 Responses):** The performance management system is perceived as having clear steps but inconsistent and ineffective execution. Staff generally agree that a clear framework is in place and that targets are developed. However, a significant portion of staff disagree that supervisors regularly monitor staff performance and provide constructive feedback. Critically, the majority of staff disagree or strongly disagree that appraisal results are used to inform training, promotion, or career development decisions.

KII responses validate the staff's critical observation regarding implementation failure. Senior management informants confirmed that appraisal results (such as performance contract scores) are rarely, if ever, systematically linked to key HR outcomes like training needs analysis, promotion decisions, or reward systems. This disconnection renders the process ineffective. One key informant described the annual appraisal exercise as a "purely administrative burden" required only for compliance, having "no material consequence" on an employee's career progression or accountability. Furthermore, supervisors noted a lack of training on how to provide constructive, developmental feedback, often resulting in inflated scores that mask genuine performance gaps, thereby undermining the system's core purpose.

Figure 9: Staff Perception on the Use of Performance Appraisal Results



## **CHAPTER FIVE: ANALYSIS AND DISCUSSION**

**Preamble:** This chapter provides a deep interpretive analysis of the findings from the preceding chapter, synthesizing the data into strategic insights that explain the root causes and long-term implications of the HR system's performance for governance and service delivery.

### **5.1 The Dichotomy of Compliance and Integrity**

The central finding is the existence of an implementation deficit that has created a profound trust deficit among the 143 staff. The County possesses formal systems including documented recruitment policies, performance management frameworks, but their execution is consistently viewed as unfair, inconsistent, and unduly slow. This is most evident in recruitment, where management's compliance with advertisement rules is undermined by the KII-confirmed issue of political interference at the selection stage, validating the staff perception of pervasive unfairness.

### **5.2 Systemic challenge in Human Capital Investment**

The capacity development function is structurally compromised by the lack of a structured Training Needs Assessment (TNA) This forces training selection to rely on lobbying and top-down prioritization (KIIs), leading to the exclusion of lower-cadre and remote staff and reinforcing the perception of inequity. The result is that the training budget becomes an ineffective expense, as it is decoupled from validated skills gaps, explaining why staff do not perceive a measurable positive impact on performance.

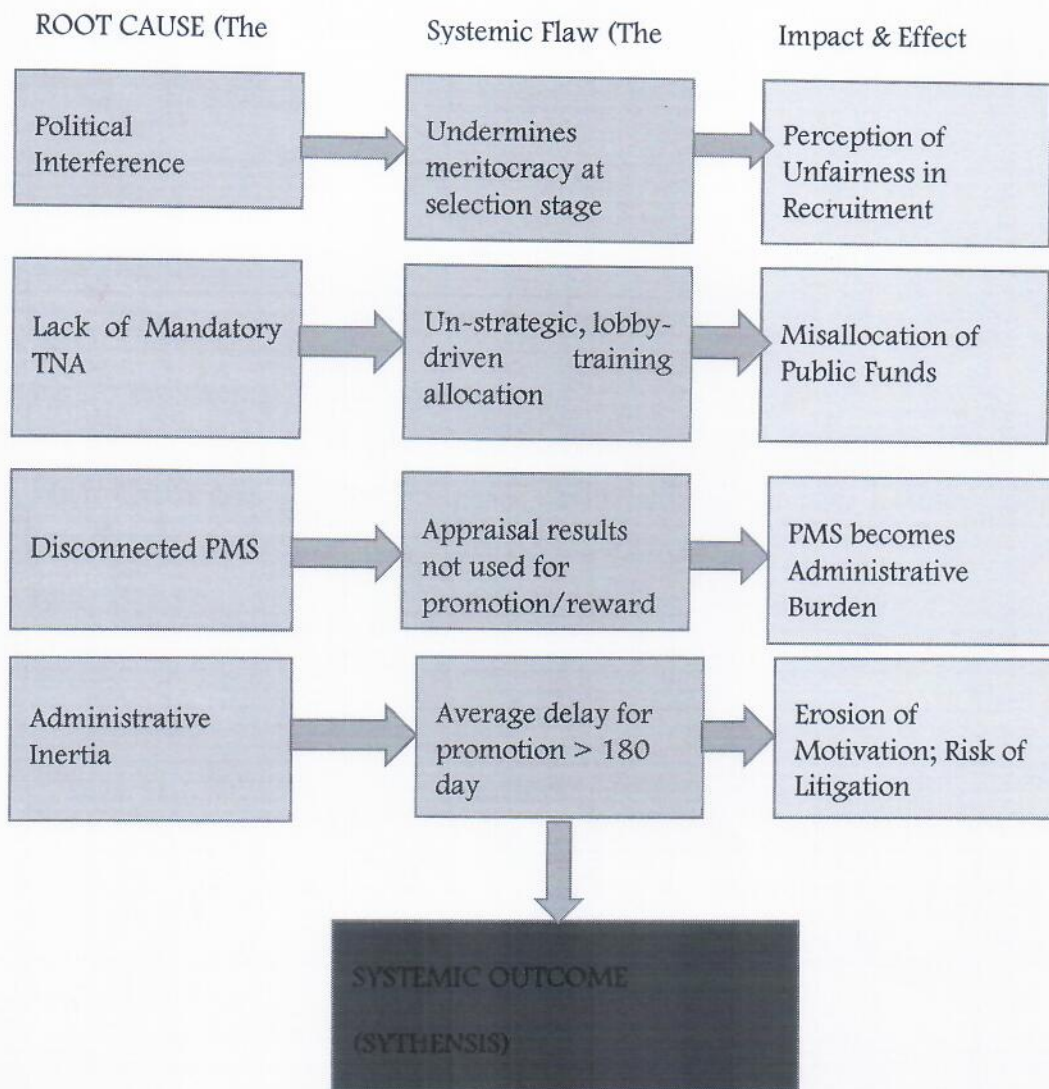
### **5.3 Motivation Deficiency in Progression and Performance**

The widespread dissatisfaction with Career Progression is primarily a function of implementation inertia. The long delays in implementing approved promotions (KIIs) and the lack of finalized guidelines for specific cadres transforms merit-based approval into systemic frustration, eroding employee motivation. Similarly, the Performance Management System is an administrative burden, failing in its core functions of monitoring and utilization. The finding that appraisal results are not used to inform promotion or reward decisions means the system serves only as a bureaucratic checkpoint, failing to drive accountability or development.

### **5.4 The Accountability and Communication Gap**

A widespread lack of effective communication and accountability exacerbates all other challenges. The inaccessibility of the HR Policy Manual means staff operate in an information vacuum, fueling suspicion about processes like Discipline Management, where clear rules are perceived to be applied subjectively. The failure to have adequate grievance forums and the finding that employee feedback is not seriously considered indicates management is non-responsive, hindering the resolution of grievances and degrading the professional health of employee relations.

Figure 10: Causal Chain Analysis of HR System Challenges and Impact on Staff Confidence



### 5.5 Synthesis and the Way Forward for HR Transformation in The County

The analysis indicates that while the County possesses the structural foundation for professional HR systems, persistent gaps in career growth, training, and communication require structured and deliberate reform. Embedding performance-based systems, clear advancement pathways, and open communication frameworks will be vital to achieving a motivated, productive, and accountable workforce.

### 5.6 Legal and Compliance Risk Analysis

The widespread dissatisfaction with the fairness and objectivity of disciplinary management and the administrative inertia in implementing promotions expose the County to significant legal and litigation risk. When staff perceive that due process is selectively or inconsistently

applied, it increases the likelihood of appeals to the Employment and Labour Relations Court and the Public Service Commission (PSC). This not only results in potentially costly judgments against the County but also diverts critical legal and HR resources away from core service delivery. The current systemic delay in implementing approved career progression is viewed by the courts as a breach of the employer's statutory duty, constituting an actionable grievance. Therefore, the implementation challenges are not merely administrative inconveniences; they are unmitigated governance liabilities.

### 5.7 Strategic Impact on Fiscal and Operational Efficiency

The documented shortcoming in Policy Implementation has a direct, measurable negative impact on fiscal and operational efficiency.

1. **Misallocation of Training Budget:** The lack of a mandatory TNA means that training funds are allocated based on lobbying or non-validated needs. This results in expenditure that does not translate into improved departmental competence or service outputs, effectively wasting public funds allocated for capacity building.
2. **Productivity Loss from Recruitment Delays:** Prolonged recruitment cycles and high staff turnover fuelled by career stagnation leave critical positions vacant for extended periods. This results in unnecessary overtime payments to existing staff and a decrease of service standards due to overburdened departments.
3. **Cost of Demotivation:** The Reduction of Staff Confidence due to inequitable promotion practices creates an environment of low morale, leading to reduced discretionary effort, increased absenteeism, and overall underperformance across the workforce, which translates directly into lower value for the wage bill.

### 5.8 Implications for Institutional Culture and Service Delivery

The cumulative effect of the identified HR challenges is the development of a siloed and politically vulnerable institutional culture. The finding that political interference undermines meritocracy in recruitment compromises the integrity of the public service ethos. When staff believe that merit is secondary to external influence, the organizational culture shifts from accountability to patronage. This ultimately degrades the quality of service delivery, as highly qualified or motivated staff may leave, while those remaining prioritize personal connections over performance. The reforms must therefore target a cultural reset, moving the institutional focus from procedural compliance to demonstrable integrity and meritocratic action.

## CHAPTER SIX: RECOMMENDATIONS AND IMPLEMENTATION MATRIX

**Preamble:** This chapter consolidates the key findings, recommendations, and implementation framework arising from the Human Resource Audit for the County. It provides a practical roadmap for strengthening governance, accountability, and efficiency in human resource management.

### 6.1 Overview of Human Resource Audit Findings and Strategic Recommendations

The Human Resource Audit for the County Government of Busia identified several institutional and operational gaps across key HR functions namely recruitment and selection; training and development; career growth and progression; discipline management; employee relations; Human Resource Policy and Procedures; and staff performance management. These findings informed the development of focused, actionable recommendations aimed at enhancing governance, equity, and performance within the County Public Service.

The proposed interventions emphasize transparency, merit-based management, policy compliance, and accountability, while supporting the County's broader goal of building a professional, efficient and motivated workforce. Each recommendation responds directly to the audit evidence, ensuring alignment with both county-specific needs and national human resource management standards.

A summary of the key findings and corresponding recommendations for each thematic area is presented in the table below.

*Table 1: Human Resource Audit Findings and Recommendations*

AREA OF AUDIT	FINDING NO.	AUDIT FINDING	RECOMMENDATION
Recruitment and Selection	1.	Perceived lack of fairness and transparency in recruitment and Selection: Although recruitment policies and procedures are well-documented and departmental roles are clearly defined, most staff perceive the actual implementation of the recruitment and selection process as unfair, non-transparent, and ineffective in meeting staffing needs.	Strengthen transparency and accountability mechanisms <ul style="list-style-type: none"> <li>Define and operationalize the role of the County Human Resource Advisory Committee in recruitment in line with relevant County HR governance instruments, ensuring its effective participation in oversight, transparency, and accountability throughout the shortlisting and selection processes.</li> <li>Introduce regular audit trails and post-recruitment feedback loops after each recruitment cycle to identify procedural gaps and strengthen compliance with established guidelines.</li> </ul>

	2	Political interference and procedural delays undermining merit-based hiring: Key informant interviews reveal that despite compliance with CPSB guidelines and public advertisement, political interference and bureaucratic bottlenecks (such as delayed budget confirmation and lengthy vetting) compromise merit-based recruitment and extend the recruitment cycle to 3–6 months.	Institutionalize merit protection and streamline recruitment workflow <ul style="list-style-type: none"> <li>• Develop and implement a merit-based recruitment strategy that upholds objectivity and transparency, supported by institutional safeguards and confidential reporting mechanisms to ensure integrity and accountability in the recruitment process</li> <li>• Integrate recruitment planning with the budgeting process to ensure funds are confirmed before advertisements.</li> <li>• Develop standardized timelines and digital tracking tools to reduce administrative delays and improve efficiency in candidate processing</li> </ul>
Training and Development	3	Absence of a structured and inclusive training needs assessment (TNA) process: Staff overwhelmingly report that no effective annual TNA is conducted, resulting in training programs that are misaligned with actual performance needs. Management confirms that the TNA process is either unstructured or non-existent, often driven by top-down priorities rather than systematic skill-gap analysis.	Institutionalize a comprehensive, evidence-based TNA framework <ul style="list-style-type: none"> <li>• Establish an annual TNA cycle integrated into the County HR planning calendar, guided by clear tools and criteria for identifying skill gaps across departments.</li> <li>• Engage staff at all levels through surveys, performance appraisals, and departmental consultations to ensure inclusivity and alignment with organizational objectives.</li> </ul>
	4	Inequitable and ineffective training selection and impact evaluation:  Both staff and management acknowledge that training selection lacks fairness and transparency, with senior officers benefitting disproportionately while lower-cadre and remote	Promote fair access and strengthen training impact evaluation <ul style="list-style-type: none"> <li>• Establish a County Human Resource Development Committee (CHRDC), duly appointed to oversee, coordinate, and guide the County's training and development function in line with approved HR policies and regulations.</li> </ul>

		<p>staff are often excluded. Furthermore, training outcomes are not systematically evaluated, limiting measurable performance improvement.</p>	<ul style="list-style-type: none"> <li>• Develop and apply transparent selection criteria for training opportunities to ensure equitable access across gender, cadres, and locations.</li> <li>• Institutionalize an annual, evidence-based Training Needs Assessment (TNA) integrated within the County HR planning cycle.</li> <li>• Implement an automated training database and tracking system to monitor participation, expenditure, and post-training performance outcomes.</li> <li>• Introduce post-training evaluation tools including feedback forms and performance appraisals to assess training effectiveness and link learning to productivity improvements.</li> </ul>
Employee Career growth and Progression	5	<p>Limited equity and transparency in promotion opportunities:</p> <p>A substantial majority of staff strongly disagree that career advancement opportunities are fair or equally accessible. The perception of inequity suggests that merit-based promotion policies are not consistently applied, leading to staff demotivation and reduced confidence in the system.</p>	<p>Enforce transparent, merit-based promotion practices</p> <ul style="list-style-type: none"> <li>• Develop and disseminate clear promotion guidelines and eligibility criteria, anchored in performance appraisal results and competencies.</li> <li>• Establish a Career Progression and Promotions Committee with representation across cadres to ensure fairness and accountability.</li> <li>• Publish annual promotion schedules and outcomes to enhance transparency and trust among employees.</li> </ul>
	6	<p>Delayed implementation of approved promotions and incomplete cadre guidelines</p> <p>Management acknowledges that although the system is designed to be merit-</p>	<p>Streamline promotion processes and finalize career progression frameworks</p> <ul style="list-style-type: none"> <li>• Set standardized timelines (e.g., maximum 90 days) for implementing approved promotions and monitor</li> </ul>

		<p>based, promotion implementation is slow, often taking over 180 days post-approval. Additionally, some cadres lack finalized schemes of service and career progression guidelines, creating administrative bottlenecks and career stagnation.</p>	<p>compliance through quarterly HR reports.</p> <ul style="list-style-type: none"> <li>• Fast-track the development and approval of pending schemes of service and career progression guidelines to ensure uniform application across all cadres.</li> <li>• Automate promotion tracking within the HR information system to minimize administrative delays and enhance accountability.</li> </ul>
Discipline management	7.	<p>Inconsistent and perceived unfair application of disciplinary procedures</p> <p>Although most staff acknowledge that disciplinary procedures are well-documented and communicated, a large portion believe that they are not applied fairly or objectively. This indicates a gap not in policy clarity but in implementation integrity, where similar offenses may attract different sanctions.</p>	<p>Strengthen fairness, consistency, and objectivity in disciplinary enforcement</p> <ul style="list-style-type: none"> <li>• Establish a centralized Disciplinary Review Panel within the HR Department to ensure consistency in sanction decisions across departments.</li> <li>• Conduct mandatory training for supervisors and HR officers on fair hearing principles, due process, and ethical decision-making.</li> </ul>
	8.	<p>Political and personal influence undermining objectivity and legal compliance</p> <p>Key informant interviews reveal that external political pressures and personal relationships sometimes influence disciplinary outcomes, compromising impartiality and exposing the County to legal and reputational risks. This erodes staff morale and weakens confidence in institutional justice.</p>	<p>Insulate the disciplinary process from external interference and enhance accountability</p> <ul style="list-style-type: none"> <li>• Develop and operationalize the County Disciplinary Manual and the County Human Resource Policies and Procedures Manual to provide a clear and standardized framework for handling disciplinary matters in line with the County Public Service Board (CPSB) Disciplinary Framework and applicable public service regulations.</li> <li>• Establish independent oversight mechanisms, such as investigations, appeal, or audit committees, to review</li> </ul>

			<p>contentious disciplinary cases for procedural fairness and consistency.</p> <ul style="list-style-type: none"> <li>• Integrate ethics and integrity performance indicators into the appraisal system for supervisors and managers handling disciplinary cases to promote accountability and ethical leadership.</li> <li>• Ensure that appeals to the CPSB are concluded within the prescribed 90-day timeline to uphold procedural efficiency and compliance with established disciplinary regulations</li> </ul>
Employee Relations	9.	<p>Weak and non-responsive feedback and grievance mechanisms;</p> <p>A large proportion of staff report that formal feedback and grievance mechanisms are either ineffective or absent, and that employee concerns are not seriously considered in management decisions. The Net Sentiment Score of -8% underscores widespread dissatisfaction with communication, consultation, and responsiveness across departments</p>	<p>Establish structured, responsive employee feedback and grievance systems</p> <ul style="list-style-type: none"> <li>• Develop and institutionalize a County Employee Relations and Grievance Management Policy providing clear procedures and timelines for addressing staff concerns.</li> <li>• Create departmental staff forums or dialogue committees that meet quarterly to discuss grievances, welfare issues, and workplace improvements.</li> <li>• Introduce a digital feedback portal or suggestion platform within the HR system to allow staff to submit issues confidentially and track resolution progress.</li> </ul>
	10	<p>Limited consultation and erosion of trust between management and staff</p> <p>Findings reveal a fractured professional relationship between management and employees, aggravated by poor consultation and lack of open</p>	<p>Promote a culture of open communication and participatory management</p> <ul style="list-style-type: none"> <li>• Develop and institutionalize a County Employee Mental Health and Wellness Policy, aligned to the National Government framework, to institutionalize the promotion</li> </ul>

		<p>communication. Staff perceive that management decisions are made without adequate input, leading to disengagement, reliance on informal lobbying, and a deepening trust deficit in leadership.</p>	<p>and management of workplace mental well-being.</p> <ul style="list-style-type: none"> <li>• Institutionalize regular consultative meetings between management, unions, and staff representatives to foster dialogue, inclusivity, and collaborative problem-solving on workplace issues.</li> <li>• Build the capacity of departmental heads and managers through targeted training on effective communication, emotional intelligence, and employee engagement practices to strengthen leadership, empathy, and teamwork.</li> <li>• Incorporate employee relations indicators including responsiveness, consultation, and staff morale into managerial performance appraisals to reinforce accountability, transparency, and people centered management.</li> </ul>
Human Resource and procedures, availability and application	11.	<p>Low staff awareness and limited accessibility of HR policies and procedures</p> <p>A significant portion of staff report low awareness and limited access to the County's HR Policy and Procedures Manual. Most employees indicate that the manual is not easily available—either in digital or printed form—resulting in inadequate understanding of HR rules, rights, and obligations.</p>	<p>Enhance accessibility and communication of HR policies</p> <ul style="list-style-type: none"> <li>• Develop/Review and Digitize the HR Policy and Procedures Manual and upload it to the County website or HR portal, ensuring 24/7 access for all staff.</li> <li>• Distribute printed copies or departmental reference manuals to ensure accessibility for employees without digital access.</li> <li>• Conduct staff sensitization sessions and policy awareness workshops to improve understanding and compliance with HR regulations.</li> </ul>
	12.	<p>Outdated and inconsistent HR policies undermining fairness and compliance</p>	<p>Review, harmonize, and institutionalize policy implementation frameworks</p> <ul style="list-style-type: none"> <li>• Undertake a comprehensive review and update of all HR</li> </ul>

		<p>Key informant interviews revealed that some HR policies currently in use are outdated and inconsistent with national legal frameworks, such as the Public Service Commission Act, 2017. This policy gap has created an “information vacuum”, fueling uncertainty and perceptions of unfairness in HR practices like promotion and discipline.</p>	<p>policies to align them with current national laws and County Public Service Board regulations.</p> <ul style="list-style-type: none"> <li>• Establish a Policy Review Committee to oversee periodic revisions and ensure consistency across departments.</li> <li>• Develop a communication and change management plan to ensure all staff are promptly informed of policy updates and implementation guidelines.</li> </ul>
Staff Performance Management	13.	<p>Ineffective implementation and feedback in performance management</p> <p>While staff acknowledge the existence of a clear performance management framework, many report that supervisors do not consistently monitor or provide constructive feedback. The process is largely compliance-driven rather than developmental, resulting in poor accountability and limited performance improvement.</p>	<p>Strengthen supervisor capacity and continuous performance monitoring</p> <ul style="list-style-type: none"> <li>• Provide targeted training for supervisors and managers on performance appraisal, coaching, feedback delivery, and objective assessment.</li> <li>• Introduce quarterly performance review sessions to replace the current once-a-year evaluation, allowing for continuous monitoring and corrective action.</li> <li>• Implement a 360-degree feedback mechanism where staff can also evaluate supervisory support and communication effectiveness.</li> </ul>
	14.	<p>Disconnection between appraisal results and key HR decisions</p> <p>Both staff and management confirm that appraisal outcomes are not systematically linked to critical HR processes such as training, promotion, or reward systems. This lack of integration has rendered the system largely symbolic—an “administrative</p>	<p>Integrate performance appraisal outcomes with HR decision-making</p> <ul style="list-style-type: none"> <li>• Link performance appraisal results directly to training needs analysis, promotion eligibility, and reward mechanisms to reinforce accountability and motivation.</li> <li>• Automate the performance management system to ensure transparency, data consistency, and easy retrieval of appraisal records.</li> </ul>

		formality” with no real impact on career growth or accountability.	<ul style="list-style-type: none"> <li>Develop clear guidelines and metrics for using performance data in decision-making, ensuring objectivity and traceability in promotions and training nominations</li> </ul>
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## 6.2 Implementation Matrix and Accountability Framework

To operationalize the above recommendations, an Implementation Matrix has been developed to guide sequencing, responsibility, and monitoring. The matrix provides a structured roadmap detailing the key activities, lead implementing offices, timelines, and performance indicators to support reform of HR functions. Implementation will be spearheaded by the County Public Service Board (CPSB) in collaboration with the Department of Human Resource Management and relevant departments, under the oversight of the County Executive Committee Member responsible for Public Service.

A comprehensive **Implementation Matrix** based on detailed recommendations —It aligns with good public service reform practice and is formatted to fit official HR audit implementation tracking formats (columns: *Recommendation Area, Key Actions, Responsible Office, Timeline, Performance Indicator, and Expected Output*).

### Implementation Matrix for the County Government Human Resource Audit Recommendations

Recommendation Area	Key Actions / Activities	Responsible Office	Timeline	Performance Indicators	Expected Output
1. Strengthen transparency and accountability in recruitment	<ul style="list-style-type: none"> <li>Define and operationalize the role of the County Human Resource Advisory Committee in recruitment oversight.</li> <li>Introduce regular audit trails and post-recruitment feedback loops to strengthen compliance.</li> </ul>	County Public Service Board (CPSB); HR Department	Short term (0–6 months)	- Functional HR Advisory Committee- Recruitment audit reports produced per cycle	Transparent and accountable recruitment processes

<p>2. Institutionalize merit protection and streamline recruitment workflow</p>	<ul style="list-style-type: none"> <li>• Develop and implement a merit-based recruitment strategy.</li> <li>• Integrate recruitment planning with budgeting.</li> <li>• Develop standardized timelines and digital tracking tools.</li> </ul>	<p>CPSB; County Treasury; HRMIS Unit</p>	<p>Medium term (6–12 months)</p>	<p>- Approved recruitment strategy- Integrated HR–budget workflow- Recruitment tracker in use</p>	<p>Efficient, merit-based recruitment system</p>
<p>3. Institutionalize a comprehensive, evidence-based TNA framework</p>	<ul style="list-style-type: none"> <li>• Establish an annual TNA cycle integrated in HR calendar.</li> <li>• Develop tools and criteria for skills gap analysis.</li> <li>• Engage departments through surveys and appraisals.</li> </ul>	<p>HR Department; Departmental HR Units</p>	<p>Annually</p>	<p>- Approved TNA framework- Annual TNA reports</p>	<p>Targeted and evidence-based training planning</p>
<p>4. Promote fair access and strengthen training impact evaluation</p>	<ul style="list-style-type: none"> <li>• Establish County HR Development Committee (CHRDC).</li> <li>• Apply transparent training selection criteria.</li> </ul>	<p>HR Department; CPSB</p>	<p>Short–Medium term (6–12 months)</p>	<p>- Functional CHRDC- Training database operational- Evaluation reports completed</p>	<p>Equitable and results-oriented training system</p>

	<ul style="list-style-type: none"> <li>Automate training database.</li> <li>Introduce post-training evaluations.</li> </ul>				
5. Enforce transparent, merit-based promotion practices	<ul style="list-style-type: none"> <li>Develop and disseminate promotion guidelines.</li> <li>Establish Career Progression and Promotions Committee.</li> <li>Publish annual promotion schedules and outcomes.</li> </ul>	HR Department; CPSB	Short term (0-6 months)	- Approved guidelines- Committee operational- Annual promotion bulletin published	Fair and transparent promotion system
6. Streamline promotion processes and finalize career progression frameworks	<ul style="list-style-type: none"> <li>Standardize promotion timelines (<math>\leq 90</math> days).</li> <li>Finalize pending schemes of service.</li> <li>Automate promotion tracking in HRIS.</li> </ul>	HR Department; ICT Unit; CPSB	Medium term (6-12 months)	- Promotion log maintained- Approved schemes- Automated tracking reports	Efficient, consistent promotion management
7. Strengthen fairness and consistency in disciplinary enforcement	<ul style="list-style-type: none"> <li>Establish centralized Disciplinary Review Panel.</li> <li>Conduct training on fair</li> </ul>	HR Department; Legal Office; CPSB	Short term (0-6 months)	- Review Panel constituted- Training sessions held	Consistent, fair disciplinary management

	hearing and due process.				
8. Insulate disciplinary processes and enhance accountability	<ul style="list-style-type: none"> <li>• Develop County Disciplinary Manual.</li> <li>• Establish oversight mechanisms for appeals and reviews.</li> <li>• Integrate ethics indicators into appraisals.</li> <li>• Enforce 90-day appeal timelines.</li> </ul>	HR Department; CPSB; Integrity Unit	Medium term (6-12 months)	- Manuals developed-Oversight body operational-Ethics KPIs included	Accountable and transparent disciplinary system
9. Establish structured employee feedback and grievance systems	<ul style="list-style-type: none"> <li>• Develop Employee Relations and Grievance Management Policy.</li> <li>• Create departmental staff forums.</li> <li>• Introduce digital grievance portal.</li> </ul>	HR Department; ICT Unit	Short-Medium term (6-12 months)	- Approved grievance policy-Quarterly forum reports-Active feedback platform	Responsive grievance redress and communication
10. Promote open communication and participatory management	<ul style="list-style-type: none"> <li>• Develop Employee Mental Health and Wellness Policy.</li> <li>• Institutionalize consultative meetings with</li> </ul>	HR Department; County Health Services; CPSB	Medium term (6-12 months)	- Wellness policy implemented - Consultative meetings held- Leadership training reports	Supportive, participatory workplace culture

	<ul style="list-style-type: none"> <li>unions and staff reps.</li> <li>Train managers on communication and engagement.</li> <li>Include employee relations in appraisals.</li> </ul>				
11. Enhance accessibility and communication of HR policies	<ul style="list-style-type: none"> <li>Digitize and upload HR Policies Manual on County portal.</li> <li>Distribute printed reference copies.</li> <li>Conduct sensitization workshops.</li> </ul>	HR Department; ICT Unit; County Secretary's Office	Short-Medium term (6-12 months)	- HR Manual online- Staff sensitized- Records of distributed copies	Accessible, well-understood HR policy framework
12. Review and harmonize HR policy implementation frameworks	<ul style="list-style-type: none"> <li>Review all HR policies for alignment with national laws.</li> <li>Establish Policy Review Committee.</li> <li>Develop communication and change management plan.</li> </ul>	HR Department; CPSB; County Legal Office	Long term (12-18 months)	- Updated HR policy compendium - Committee minutes- Change plan implemented	Harmonized and up-to-date HR policy framework
13. Strengthen supervisor capacity and continuous	<ul style="list-style-type: none"> <li>Train supervisors on appraisal,</li> </ul>	HR Department; Training Unit	Medium term (6-12 months)	- Supervisor training reports- Quarterly review forms-	Improved performance supervision

performance monitoring	feedback, and coaching. <ul style="list-style-type: none"> <li>• Introduce quarterly reviews.</li> <li>• Implement 360-degree feedback mechanism.</li> </ul>			360° feedback tool operational	and accountability
14. Integrate performance appraisal outcomes with HR decision-making	<ul style="list-style-type: none"> <li>• Link appraisal results to TNA, promotion, and reward systems.</li> <li>• Automate PMS and ensure data consistency.</li> <li>• Develop clear guidelines for data use in HR decisions.</li> </ul>	HR Department; ICT Unit; CPSB	Medium –Long term (12–18 months)	- Integrated PMS-Guidelines published-HR decisions backed by data	Performance-driven HR management

### 6.3 Proposed Monitoring and Evaluation (M&E) Framework

Implementation progress shall be tracked through a structured monitoring and evaluation (M&E) framework designed to promote accountability, learning, and continuous improvement in the County's human resource management systems. Quarterly review meetings, jointly led by the County Public Service Board (CPSB) and the Department of Human Resource Management, will assess progress against the implementation matrix.

Bi-annual progress reports shall be submitted to the County Executive Committee, highlighting achievements, challenges encountered, and recommended corrective actions. An annual independent evaluation will be undertaken to assess the efficiency, impact, and sustainability of the implemented reforms, including staff satisfaction and compliance with national public service standards.

## CHAPTER SEVEN: CONCLUSION

**Preamble:** This final chapter summarizes the strategic outcome of the audit and provides a concluding statement on the necessity of sustained political will and executive action to realize the intended transformation of the public service.

The Busia County Human Resource Audit confirms that while foundational HR systems are functionally in place, a Shortcoming in Policy Implementation has created a significant Diminution of Staff Confidence among the workforce. Challenges in career progression, equitable access to training, and linking performance to development are the most critical issues, confirmed by the 143 staff responses.

The recommendations provided outline a clear roadmap for reform anchored in policy coherence, capacity development, and evidence-based decision-making. Implementation will require consistent leadership commitment and absolute enforcement of the new mandatory deadlines, particularly the 90-day SLA for promotions, which is non-negotiable for restoring staff morale.

The successful implementation of this reform agenda will move the County's public service from a system of structural compliance to one of practical integrity, establishing a professionalized, merit-driven entity. The final outcome will be a tangible improvement in public service delivery, which is the ultimate measure of governance. This executive action is not just an administrative requirement but a mandate to restore public trust in the County's institutions.

## APPENDICES

### Appendix A: Sample HR Audit Questionnaire



#### Human Resource Audit for the County Government of Busia under KDSP II

As part of the Kenya Devolution Support Programme Phase II (KDSP II), the County Government of Busia is undertaking a comprehensive Human Resource Audit. This exercise is not merely a compliance requirement but a strategic initiative under Key Result Area II, aimed at enhancing efficiency and effectiveness in human resource management.

The audit seeks to strengthen institutional capacity and promote evidence-based decision-making in the management of the County's workforce, its most valuable asset. Over the next few days, an audit team will conduct an in-depth review of critical human resource areas identified under the KDSP II framework. The focus will be on assessing existing systems,

identifying best practices, and recommending improvements that will contribute to a more professional, accountable, and high-performing public service in Busia County.

County Secretary

## BUSIA COUNTY STAFF HR AUDIT QUESTIONNAIRE

(Select one: Strongly Disagree / Disagree / Neutral / Agree / Strongly Agree)

### 1. Recruitment Process

The recruitment process is well-initiated with a clear role defined for each department.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Our department consistently follows clear and documented recruitment policies.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The shortlisting and selection of candidates are conducted in a transparent and fair manner.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The recruitment process is free from major challenges.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The current recruitment process effectively meets our staffing needs.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

## 2. Staff Training and Development

An annual training needs assessment is conducted effectively in my department.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Staff are selected for training and development programs in a fair and transparent manner.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The department has effective policies that guide training and development.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Training programs have a measurable positive impact on employee performance.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Implementing training and development initiatives is free from significant challenges.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

## 3. Employee Career Progression

The County Government has structures or guidelines that adequately support employee career growth.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

All staff have equal opportunities for promotion and career advancement.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Performance appraisals are used effectively in decisions on promotion and career progression.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

There are minimal challenges faced by employees when advancing their careers.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The career progression frameworks or policies in place are effective.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

#### 4. Disciplinary Process

Disciplinary procedures are clearly outlined and communicated to all staff.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Disciplinary cases are handled fairly and objectively.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

There are effective mechanisms in place for staff to appeal disciplinary actions.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Disciplinary issues are rare and mostly due to well-understood causes.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The disciplinary process effectively promotes staff accountability.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

#### 5. Employee Relations

The relationship between management and employees in my department is healthy and professional.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

There are adequate forums or mechanisms to address employee grievances.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Staff engagement meetings or consultations are held regularly.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Employee feedback and concerns are seriously considered in departmental decisions.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The department has implemented effective measures to promote a positive working environment.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

#### **6.HR Policies and Procedures**

The County Government has a comprehensive and up-to-date HR Policy and Procedures Manual.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

The HR Policy Manual is easily accessible to all employees in both digital and printed formats.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Staff know where and how to access the HR Policy Manual when needed.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Employees are adequately informed about key HR policies such as recruitment, training and development, performance management, leave, ethics, and disciplinary procedures

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

New employees receive induction on HR policies and procedures.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Changes or updates to HR policies are clearly communicated to all staff.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

#### **7. Performance Management**

The County has a clear performance management framework aligned with its strategic and development plans.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Individual and departmental performance targets are developed at the start of each performance period.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Employees are involved in setting their performance targets.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Supervisors regularly monitor staff performance and provide constructive feedback.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Mid-year performance reviews are conducted to track progress and address performance gaps.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Performance appraisals are conducted fairly and consistently across departments.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Appraisal results are used to inform training, promotion, or career development decisions.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Outstanding performance is recognized and rewarded transparently.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Underperformance is addressed through coaching, mentoring, or capacity-building initiatives.

Strongly Disagree

Disagree

Neutral

Agree

Strongly Agree

Appendix B: Key informant Interviews Tool

COUNTY GOVERNMENT OF BUSIA

HUMAN RESOURCE AUDIT KEY INFORMANT INTERVIEW (KII) TOOL  
(Under KDSP II – Key Result Area II)

This is an interview questionnaire for a Human Resource Audit of the Busia County Government. It includes 5 questions for each of the 6 auditable areas. The questions are designed for the specified range of personnel (County Public Service Board members, County Chief Officers, County Directors, and Union Representative).

*Instructions for Interviewer:* Please explain the purpose of this audit is to assess the effectiveness and compliance of HR processes within the County Government of Busia, ultimately aiming for continuous improvement. Reassure interviewees that their responses will be kept confidential and used solely for the audit's objectives.

SECTION A: RESPONDENT INFORMATION

Respondent Category	<input type="checkbox"/> CPSB Chair <input type="checkbox"/> CPSB Secretary/CEO <input type="checkbox"/> County Chief Officer <input type="checkbox"/> County Director <input type="checkbox"/> Union Representative
Department /Directorate	_____
Position / Designation:	_____

Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
Date of Interview:	_____
Interviewer's Name:	_____

**1. Recruitment and Selection**

Question	Response Summary
How is transparency ensured in announcing job vacancies to all eligible citizens?	_____
Are all recruitment decisions aligned with CPSB regulations and national laws? Provide example.	_____
What is the average duration from vacancy announcement to on-boarding, and what are the bottlenecks experienced?	_____
How effective is the selection process in ensuring the most qualified candidates with necessary skills are hired?	_____
How and where are recruitment records maintained, and for how long?	_____

**2. Staff Training and Development**

Question	Response Summary
How is the training needs assessment (TNA) conducted across departments?	_____
Do all staff levels including lower-cadre and remote staff, have equitable access to training and career growth opportunities?	_____
Is the annual training budget adequate to meet identified needs? How is prioritization done?	_____
What formal evaluation method is used to measure the effectiveness and return on investment (ROI) of completed training programs on employee performance?	_____
Are training programs aligned with County strategic goals and Vision 2030?	_____

**3. Employee Career Progression**

Question	Response Summary
Are career paths or succession plans clearly defined and communicated to staff within different professional cadres in the County Government?	_____

Are promotion criteria merit-based, transparent, and uniformly applied?	
How often are promotions reviewed, and what is the typical timeline for progression?	
Is there a clear grievance or appeal process for promotion-related complaints?	
What measures are in place to ensure fair and timely career advancement?	

#### 4. Disciplinary Process

Question	Response Summary
How are rules of conduct and disciplinary actions communicated to staff?	
Is the disciplinary process applied consistently and fairly across departments?	
What documentation procedures are followed during disciplinary cases?	
How is due process (right to be heard, representation, appeal) ensured?	
What is the standard timeframe for resolving a disciplinary case?	

#### 5. Employee Relations

Question	Response Summary
What communication channels are used to engage staff and gather feedback?	
How are non-disciplinary disputes resolved?	
What welfare or wellness programs are in place for staff?	
How does the County engage with unions or staff associations?	
How is employee morale and satisfaction assessed?	

#### 6. Performance Management

Question	Response Summary
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What specific performance management tool or system (e.g., Performance Contracting, Annual Performance Appraisal Report) is mandatory for all employees	_____
How are individual performance targets aligned with the department's and the overall County's strategic objectives, and who is involved in setting them?	_____ _____
How frequently do employees receive feedback or performance reviews?	_____ _____
How are appraisal outcomes linked to promotions, rewards, or sanctions?	_____ _____
Are supervisors trained on fair and objective appraisal techniques?	_____ _____

**SECTION C: INTERVIEWER'S OBSERVATIONS**

Overall cooperation of respondent: \_\_\_\_\_

Key issues emerging: \_\_\_\_\_

Evidence or documents reviewed: \_\_\_\_\_

Follow-up actions recommended: \_\_\_\_\_

**REFERENCES**

1. Constitution of Kenya, 2010;
2. County Governments Act, No. 17 of 2012;
3. Public Service Commission Act, No. 1 of 2017;
4. Public Service Commission Regulations, 2020;
5. Kenya Vision 2030: A globally competitive and prosperous Kenya;
6. Busia County Government; Busia County Integrated Development Plan (CIDP) 2023 - 2027
7. Public Service Commission. (2018). Guidelines on Human Resource Management in the Public Service.
8. KDSP II- Guidelines For Human Resource Audit For County Governments- 2024
9. Council of Governors. (2021). Human resource management best practices for devolved governments.