

**WATERFUND
RECORDS MANAGEMENT**

**WaterFund Records
Process Mapping and
System Workflows**

July 2025

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1 INTRODUCTION

Process mapping is a management tool used to visually depict the flow of work, and the steps and people involved in a business process; that is, the sequence and execution of tasks.

Process mapping gives a high-level overview of every step and decision involved in a process and how each stage relates. In short, creating a process flow map is a visual way to understand the business processes from start to finish.

1.1 Purpose and Scope

Process mapping is a structured approach for visualising how a process unfolds, along with all the activities involved in it. It helps to achieve greater transparency and visibility into processes, streamline workflows, and improve efficiency.

Process mapping is a critical tool in business process management (BPM). Business process mapping includes activities such as:

- i. Documenting business processes
- ii. Defining responsibilities and ownership
- iii. Clarifying what represents business success

1.2 Electronic Document and Records Management System (EDRMS)

An Electronic Document and Records Management System (EDRMS) is a software application that helps businesses manage digital information and physical records. EDRMS can help businesses improve efficiency, security, and compliance.

An EDRMS works as follows:

- **Capture:** EDRMS can create electronic documents from digital sources or by scanning physical documents
- **Maintenance:** EDRMS can help maintain records over time
- **Accessibility:** EDRMS can provide desktop access to records using existing office applications
- **Automation:** EDRMS can automate manual processes that are time-consuming or error-prone

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The benefits of an EDRMS include helping businesses improve operational efficiency, help businesses ensure data security, comply with legislative requirements, help businesses improve accountability and help businesses reduce business risks.

The term EDRMS includes systems that manage documents and/or records or both, that is, it encompasses electronic records management systems (ERMS) and document management systems (DMS). ERMS are designed to perform the primary functions of recordkeeping, archiving and storage.

1.3 Relation to the Classification Scheme and Records Retention and Disposal Schedule

The institutional processes from the various functions that have been mapped in this document are the ones that will translate into system workflows for the creation of documents and records in the EDRMS.

This records mapping and system workflow document should be used together with File Classification and Indexing Scheme and the Records Retention and Disposal Schedule. These three documents form the foundation and the basic documentation for the implementation of the EDRMS at WaterFund.

2 CURRENT (MANUAL) SYSTEM

2.1 Challenges Faced in the Current (Manual) System

The current manual system has issues with difficulty in locating documents, data security, naming inconsistencies, collaboration challenges, lack of an audit trail and workflow bottlenecks.

These challenges are further explained below:

- i. **Search Inefficiency:** Difficulty in quickly locating specific documents, leading to time wastage and reduced productivity.
- ii. **Security Concerns:** Users expressed concerns about data security, particularly regarding sensitive and confidential documents.
- iii. **Hybrid System:** Users rely on a combination of physical documents and digital files stored in different locations.
- iv. **Inconsistencies:** Lack of standardised naming conventions and folder structures hampers efficient document retrieval.
- v. **Version Control:** Limited version control results in confusion regarding document revisions and approvals.
- vi. **Collaboration Challenges:** Insufficient collaboration features hinder effective teamwork and real-time document sharing.
- vii. **Audit Trail:** Inefficiency in tracking document changes and maintaining a clear audit trail for compliance purposes.
- viii. **Workflow Bottlenecks:** Manual approval processes are time-consuming and prone to errors, impacting overall efficiency.

2.2 Current (Manual) Systems Processes

The Current manual process follows the following steps as specified below;

- i. Read through the content of the correspondence.
- ii. Ensure that urgent correspondence is given first priority.
- iii. Identify the appropriate class based on the existing filing classification scheme.
- iv. Assign the appropriate file reference code at the top left corner using a pencil.

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- v. Retrieve the file from the storage facility or in case it does not exist open a file.
- vi. Fold the correspondence in half to find the centre and punch using a paper punch.
- vii. In case the margin is insufficient, extend it using a plain paper with glue.
- viii. Remove the guard sheet and fasten.
- ix. Assign the next folio number at the top right corner using a red pen.
- x. If the correspondence is referring to a previous correspondence, identify it and cross-reference it.

3 USER / SYSTEM REQUIREMENTS

3.1 Overview

The Electronic Document and Records Management System (EDRMS) to be acquired will streamline the handling, storage, retrieval, and sharing of documents within WaterFund. The goal is to improve efficiency, reduce manual paper-based processes, ensure document security, and facilitate collaboration.

3.2 User Stakeholders

The requirements were gathered through discussions with various user stakeholders within WaterFund including:

- i. **Administration:** The administration team expressed their need for improved access to critical documents, version control, and reporting capabilities for compliance and decision-making.
- ii. **ICT:** ICT personnel want a system that integrates seamlessly with existing infrastructure, offers robust security features, and can be easily maintained.
- iii. **End Users:** End users expect a user-friendly interface, fast document search, mobile access, and integration with emails.

3.3 User Profiles

The following user profiles have been identified for the system to be acquired:

- i. **Administrators:** Responsible for system configuration, user management, and overall system maintenance.
- ii. **Document Creators:** Individuals who create and upload documents to the system.
- iii. **Document Reviewers:** Individuals responsible for reviewing and approving documents.
- iv. **Document Searchers:** Users who primarily search for and access documents.
- v. **Collaborators:** Team members who work together on documents.

- vi. **Auditors:** Individuals responsible for tracking document changes and maintaining document histories

3.4 User Requirements

3.4.1 General System Requirements

- i. The system should be accessible from both desktop and mobile devices.
- ii. It should support multiple file formats, including text documents, spreadsheets, presentations, and PDFs.
- iii. User authentication and authorisation mechanisms must be in place to ensure document security.

3.4.2 Capture

- i. Capture records regardless of their technical characteristics so that they can be registered and stored as digital records
- ii. Users to capture, register and store all digital objects in their native format.
- iii. Capture a dynamic document, such as a dynamic web page, as:
 - A single compound record
 - An aggregation of linked component records
 - A snapshot – ‘frozen’ in time
 - A collection of components that can be regenerated upon request

3.4.3 Record Types

- i. Support the definition of different record types as defined by a System Administrator
- ii. Manage record types centrally, restricting their use to groups of authorised users
- iii. Support a default record type, which is available to all users with the ability to create records, provided within as defined by System Administrators

3.4.4 Registration

- i. Prevent any unauthorised amendment to the content of a registered digital record, noting the requirement
- ii. Restrict the ability to amend the content of a registered digital record to the highest-level System Administrator, and employ strict controls over the amendment process

3.4.5 User Profiles

- i. System Administrator to make users known to the system by means of pre-defined user profiles, supporting valid authentication and the allocation of access and security controls
- ii. System Administrator to define a set of user roles which control the assignment of rights to specific functions or groups of functions

3.4.6 Document Upload and Creation

- i. Document creators should be able to easily upload new documents.
- ii. The system should support document creation within the platform using built-in or third-party editors
- iii. Metadata fields such as title, user ID, description, author, and date should be available for document categorisation

3.4.7 Document Organisation

- i. The system should support tagging and categorisation for documents
- ii. Indexing: inclusion of unique identifiers
- iii. Folder Hierarchy: Support for folder structures to categorise documents
- iv. Version control and document history should be maintained
- v. User-Friendly Interface: The system should have an intuitive and easy-to-use interface to upload, organise, and access documents

3.4.8 Document Retrieval and Search

- i. Users should have the ability to search for documents using keywords, tags, and metadata
- ii. Advanced search options, including filters and Boolean operators, should be available

- iii. Search results should be sortable and include a preview

3.4.9 Collaboration

- i. Collaborators should be able to edit documents simultaneously, with version tracking
- ii. Commenting and discussion features should be available within the system
- iii. Notifications for document updates and comments should be sent to involved users

3.4.10 Document Approvals and Workflows

- i. Document reviewers should have the ability to approve or reject documents
- ii. Workflow automation for document routing and approval should be possible

3.4.11 Security and Access Control

- i. Role-based access control should be implemented, with different levels of permissions for various user roles
- ii. Secure access through encryption and user authentication is vital to protect sensitive documents
- iii. Support encryption of electronic records
- iv. Ensure that an encrypted record can only be accessed by those users associated with the relevant cryptographic key, in addition to other access controls allocated to the record
- v. Allow the configuration of access and security controls to support complex or unique access and security models. For example, the definition of access directions for records and folders, and rules relating to their use
- vi. Legal Holds: Capability to place legal holds on documents and prevent their deletion

3.4.12 Reporting and Audit Trail

- i. The system should maintain an audit trail to track document changes and user actions

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- ii. Support date and time stamping for all records subject to online security processes
- iii. Reporting features should provide insights into document usage and user activity
- iv. Custom Reports: The system should allow users to generate custom reports on document usage

3.4.13 Integration Requirements

- i. API support for custom integrations should be available
- ii. Integration with Email: The ability to archive and manage email attachments

3.4.14 Scalability and Performance

- i. Scalability: Ability to handle a growing volume of documents and users
- ii. Performance: Fast response times, even with a large document repository

3.4.15 Back-up and Recovery

- i. Support automated backup and recovery facilities for all (or selected) entities, metadata, audit trails and configuration settings held by the system
- ii. Support the separate physical storage of backup data
- iii. Allow the manual configuration of frequency of back-ups, and elements of the EDRMS to be backed up
- iv. Allow a System Administrator to restore the entire EDRMS from backups, maintaining full data integrity to ensure business continuity
- v. System Administrator to restore the entire EDRMS from the most recent backup to the point of system failure

3.4.16 Extraction

Allow the creation of an extract from a digital record, whereby sensitive information is removed or hidden in the extract, while the originating record remains intact

3.4.17 Disposal

Control the retention and disposal of records held by the system, in accordance with;

- i. Public Archives and Documentation Service Act Chapter 19
- ii. Public Procurement and Asset Disposal Act, 2015.
- iii. Retention periods to be defined from one day to an indefinite length of time. ensure each class consists of:
 - A disposal trigger, to initiate the retention period
 - A retention period, to establish how long the record must be maintained
 - A disposal action, to prescribe the fate of the record

3.4.18 Compliance

Meet relevant local, national and international requirements for recordkeeping and records management.

3.4.19 Legislation

Support compliance with the recordkeeping, evidential, privacy and access provisions of all relevant regulations, including:

- i. Public Archives and Documentation Service Act Chapter 19
- ii. Public Procurement and Asset Disposal Act, 2015
- iii. The Constitution of Kenya Article 35 (i) postulates that every citizen has the right of access to Information held by the State
- iv. County Government Act 2012 Section 96 gives the mechanism of access to information
- v. Records Management Disposal Act, Chapter 14 Laws of Kenya
- vi. Governance Financial Regulation and Procedures Chapter 23
- vii. Personnel General Letter No. 112008 Ref. DPM/12/6A VOL. 1 (71)
- viii. Kenya Police Standing Order 2001
- ix. Public Archives and Documentation Service Act, Chapter 19, 1965 Revised.

4 PROCESS MAPPING PER FUNCTION

4.1 CEO's Office

Table 1: Processes and Process Mapping in the CEO's Office

S/No.	Process / Steps	Records	Responsible
A.	Processing of documents from external/Internal customers		
1.	Receive and register in the Incoming records movement Book to the CEO's office	Incoming Correspondence Register	PA to the CEO
2.	Processing correspondence for the CEO's action		PA to the CEO
3.	Marking of correspondence by the CEO to Management for action		CEO
4.	Submission of correspondence to the registry	Outgoing Correspondence Register	PA to the CEO
5.	Action of correspondences for the CEO's office	Approved Correspondence/Reports	CEO

4.2 Fund Development

Table 2: Processes in Fund Development

S/No.	Process	Output
A.	Partnerships Development and Management	Signed MoUs and partner agreements
B.	Proposal Development	Submitted proposals and concept notes
C.	Negotiations and Securing Funding Commitments	Funding agreements and commitments
D.	Product Development	Developed business products
E.	Revenue Generation for Business Product	Generated product revenue
F.	Database Development	Updated partner and donor database

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Table 3: Process Mapping in Fund Development

S/No.	Process / Steps	Responsible
A. Partnerships Development and Management		
1.	Identification of funding gaps based on Strategic Plan targets and funds utilisation data	Manager, Resource Mobilisation and Partnerships (MRMP)
2.	Conducting research and networking activities to identify and engage potential development partners	MRMP
3.	Compiling and documenting profiles of identified potential financiers, including contact records and background information	MRMP
4.	Internal review of proposed partnership engagement activities and identification of suitable partners for approach	General Manager, Fund Development (GMFD)
5.	Approval of recommended partner engagement activities based on feasibility and alignment with institutional strategy	MRMP
6.	Presentation of recommended partnerships to Executive Management for final decision-making	GMFD
7.	Executive-level approval of strategic partnerships and greenlighting of engagement	Chief Executive Officer (CEO)
B. Proposal Development		
1.	Drafting funding proposals aligned with approved partner profiles and agreed engagement framework	MRMP
2.	Internal review and refinement of draft proposals within the Fund Development team	MRMP
3.	Strategic review of refined proposals to ensure alignment with fund development priorities	GMFD
4.	Final review of proposals by Executive Management for institutional approval	CEO
5.	Coordination of timely submission of approved proposals to identified partners	GMFD
6.	Receipt and communication of partner feedback and final decision on funding outcome	CEO
C. Negotiations and Securing Funding Commitments		
1.	Coordination with potential partners and relevant government bodies (e.g. National Treasury, line ministries) to initiate funding negotiations	GMFD
2.	Drafting and reviewing Financing Agreements and Memoranda of Understanding (MoUs) with input from relevant departments	Management Representative

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S/No.	Process / Steps	Responsible
3.	Leading negotiations on terms and conditions for funding and documenting final agreed positions	CEO
4.	Signing of Financing Agreements and MoUs with partners and government representatives	CEO
D. Product Development		
1.	Drafting of a business model or niche product concept based on market or institutional needs	Manager, Product Development (MPD)
2.	Presentation and technical review of the draft business model or niche product within Fund Development	MPD
3.	Strategic review of revised business model or niche product for institutional fit and fundability	GMFD
4.	Review and approval by Executive Management for stakeholder sharing and external validation	CEO
5.	Presentation of the approved draft business model or niche product to key stakeholders for validation and feedback	GMFD
6.	Consolidation of stakeholder feedback and revision of the business model or niche product	MPD
7.	Final approval of the validated business model or niche product for implementation and marketing	CEO
E. Revenue Generation for Business Product		
1.	Development of a targeted business product funding proposal based on the approved niche product	MPD
2.	Internal technical review and refinement of the draft business product proposal	MPD
3.	Strategic review of the refined business product proposal by Fund Development leadership	GMFD
4.	Final review and approval of the business product proposal by Executive Management	CEO
5.	Submission of the approved business product proposal to targeted partners and potential investors	GMFD
6.	Engagement meetings with responsive partners, investors, and relevant government bodies to negotiate terms and funding arrangements	CEO
7.	Formalisation of agreements and signing of business partnership contracts	CEO
F. Database Development		
1.	Compilation of a central database capturing relevant partner contacts, proposals, agreements, and communications	MRMP

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S/No.	Process / Steps	Responsible
2.	Filing of supporting documents including mailing lists, reports, concepts, MoUs, meeting notes, and correspondence in electronic and physical formats	MRMP
3.	Systematic documentation and backup of fund development records in accordance with WaterFund's records management system	MRMP
4.	Oversight of efficient documentation, utilisation, and information sharing	GMFD

4.3 Finance

Table 4: Processes in Finance

S/No.	Process	Output
A.	Financial Planning and Budgeting	Approved budget
	Cash Management	
B.	Cash flow forecasts	Cash flow forecast report
C.	Receipt and recording of funds	Official receipts
D.	Cheque/EFT Payments procedures	Payment Voucher and supporting documents
E.	Purchase of Goods and Services/ Disbursements	Payment Voucher and supporting documents
F.	Travel and Activity Imprest	Imprest Voucher and supporting documents
G.	Accounting for Imprest	Approved Imprest Accounting Form and supporting documents
H.	Bank Reconciliation Procedures	Monthly bank reconciliations
I.	Request and payment of petty cash	Approved petty cash form
J.	Accounting for petty cash	Approved petty cash form and supporting documents
K.	Petty cash replenishment	Approved petty cash replenishment form

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S/No.	Process	Output
	Setting and Implementing an Internal Control System	
L.	Fixed Assets Acquisition, Recording and Depreciation	Updated Fixed assets register
M.	Fixed Asset Disposal Procedures	Updated Fixed assets register
N.	Monthly Payroll Processing	Approved payroll and statutory deductions payments

Table 5: Process Mapping in Finance

S/No.	Process / Steps	Responsible
A.	Financial Planning and Budgeting	
1.	Staff within the various departments contribute toward the generation of annual expenditure estimates based on their annual work plans	HoDs
2.	The department/cost Centre heads submit their expenditure estimates to the GMCS.	HoDs, GMCS
3.	Consolidate expenditure estimates from various departments and submit to GMCS	Manager, Finance and Accounts (MFA)
4.	Review the consolidated expenditure and recommend to CEO	GMCS
5.	CEO forwards the consolidated organisation-wide expenditure estimate to the Board of Trustees for approval	CEO, Board of Trustees
6.	The approved annual budget is then forwarded to the PS MoWSI & Treasury for approval	CEO
B.	Cash Management – Cash flow forecasts	
1.	With assistance from Finance, allocate planned expenditure to the approximate month of payment within activity timelines and payment policy.	HoDs
2.	Generate cash requirements forecast analysed by activity and expense type	MFA
3.	Prepare projected cash inflow analysed by the source of funds	GMCS
4.	Obtain approval of cash flow forecast from the CEO	GMCS
5.	Seek authority from the CEO to invest surplus funds	GMCS
6.	Approve investment of surplus funds if any	CEO

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S/No.	Process / Steps	Responsible
7.	File copy of the forecast	GMCS
C.	Cash Management – Receipt and recording of funds	
1.	Submit incoming funds either by cash, cheque or bank deposit advice. Record cheques in their document register.	Applicant
2.	Sign document register upon receipt of cheques. Check bank statement to confirm receipt of funds.	PFO/PA
3.	Receive cash and place in safety box. Generate an official receipt in accounting system. Provide copy to applicant to acknowledge receipt.	FO/A
4.	Cheques and cash received are deposited at bank within 2 business days following the date of receipt.	FO/A
5.	Update the cashbook	SFO/SA
6.	File official receipts and bank pay-in-slips and vouchers/award letters in serial number order	FO/A
D.	Cash Management – Cheque/EFT Payments procedures	
1.	Review payment requests (invoice, fee note, imprest) and relevant supporting documents to ensure fit for payment. Prepare payment voucher (PV) electronically and forward the supporting documents for approval.	(S)FO/ (S)A
2.	Review PV against supporting documents to ensure it is accurately captured in the accounting system. Authorise PV for payment.	PA/PFO, MFA
3.	Prepare cheques/upload EFT file and submit to the signatories for approval.	(S)FO/ (S)A
4.	Approve payment by signing cheque or authorising EFT as per mandate. All payments must have two signatories with at least one signatory from Category A being mandatory.	2No. Bank signatories
5.	Record details of signed cheques in the Cheque Dispatch Register and inform user division/ applicant. Ensure persons collecting cheques provide identification and contact details in the dispatch register. If the cheque is cancelled, ensure that it is stamped "VOID" and filed. For EFT payments, generate payment advice as evidence of funds transfer and attach to PV.	(S)FO/ (S)A/ SAA
6.	Stamp the PV, invoices and Supporting documents "PAID". Post the payment in the Cash Book.	(S)FO/ (S)A
E.	Cash Management – Purchase of Goods and Services/ Disbursements	
1.	Complete and submit a Goods and Services Requisition Form (GSRF) with relevant supporting documents	User Division/ Applicant

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S/No.	Process / Steps	Responsible
2.	Review GSRF and relevant supporting documents to ensure requisition is in the approved work plan, procurement plan and within budget. Verify that correct budget code is provided. Sign and forward to CEO for approval.	MFA
3.	Approve acquisition of goods or services.	CEO
4.	Register and submit payment request with relevant supporting documents.	User Division/ Applicant
5.	Receive purchase documents and sign register. Review authorisations and validity of payment request.	MFA
6.	Cheque/EFT Payments procedures	8 persons
7.	File PVs and documents safely in PV order number per expenditure category	SAA
F.	Cash Management – Travel and Activity Imprest	
1.	Complete and submit memo for travel/activity imprests to CEO for approval.	User Division/ Applicant
2.	Approve memo for travel/activity.	CEO
3.	Submit completed Imprest Advance Application Form (IAAF) and attached memo or requisition approved by the CEO. If an air ticket or other procurement is required, observe appropriate procurement procedures.	User Division/ Applicant
4.	Cheque/EFT Payments procedures	8 persons
5.	File documents for later retrieval	SAA
G.	Cash Management – Accounting for Imprest	
1.	Complete and submit an Imprest Accounting Form within 7 days after returning to the office or completing the activity with attached supporting expenditure documentation. Submit any unexpended funds or indicate recovery in payroll.	Imprest holder
2.	Receipt and recording of funds procedure to record unexpended funds surrendered.	6 persons
3.	Retrieve original imprest advance application form and attach to imprest accounting form	SAA
4.	Review and sign the Imprest Accounting Form to ensure that all expenditure items are supported by valid receipts/vouchers. View online report if any to ascertain participation. Ensure expenditure is assigned to the correct account codes and cost centre.	PA/PFO
5.	Approve the Imprest Accounting Form	MFA

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S/No.	Process / Steps	Responsible
6.	Record the expenditure to debit the expense accounts and credit staff imprest account	PA/PFO, (S)FO/ (S)A
7.	If there is a difference between imprest and expenditure, observe the Cheque/ EFT payments procedure to make an additional payment or forward to payroll for recovery of unsupported/ unexpended funds.	8 persons
8.	File Approved Imprest Accounting Form and supporting documents	SAA
H.	Cash Management – Bank Reconciliation Procedures	
1.	Receive/download monthly bank statements from the bank	PA/ PFO/ (S)FO/ (S)A
2.	Agree on the balance to the cash book balance	(S)FO/ (S)A
3.	Identify the reconciling items	(S)FO/ (S)A
4.	Prepare and process adjusting journals for the identified reconciling items.	(S)FO/ (S)A
5.	Review the reconciliation and sign	MFA
6.	File copy of the reconciliation/adjusting journals	SAA
I.	Cash Management – Request and payment of petty cash	
1.	Complete and submit a petty cash request form with the purpose, required amount and HoD's recommendation.	Applicant
2.	Review the Petty Cash request form and ensure that: It is reasonable and/or adequately supported by valid documentation, the purpose of the request (the activity, expenditure type and details) is clearly stated and activity is within the approved work plan and budget.	MFA
3.	Approve petty cash request form and forward it to the SAA. If invalid, return to applicant for correction.	MFA
4.	Give required amount of petty cash to applicant	SAA
5.	Receive cash from the SAA and sign petty cash form for receipt.	Applicant
6.	Hold petty cash request form in petty cash box until funds are accounted for	SAA
7.	Submit the unaccounted Petty Cash Form to MHRA for recovery in next Payroll.	SAA

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S/No.	Process / Steps	Responsible
J.	Cash Management – Accounting for petty cash	
1.	Support expenditure incurred with original receipts and sign each receipt at the back. Submit the documents together with all unused cash to the SAA immediately upon return to the office.	Petty cash holder
2.	Attach all the original receipts to the petty cash application form and ensure that relevant expenditure details (activity, expense type and amount) are indicated. Indicate received unexpended cash amount on the petty cash application form.	SAA
3.	Verify petty cash expenditure. Authorise relevant over-expenditure claims.	PA/(S)FO/ (S)A
4.	Pay any approved claims for extra expenditure. Ensure the recipient signs the petty cash application form for the additional payment.	SAA
5.	Record petty cash expenditure in the petty cash book	SAA
6.	File the petty cash application forms sequentially in a box file	SAA
K.	Cash Management – Petty cash replenishment	
1.	Prepare an expenditure report, the petty cash replenishment request (PCRR) / cash certificate detailing total expenditure each time the balance reaches replenishment level (KES 35,000/- of the float)	SAA
2.	Prepare a PCRR for replenishment of petty cash. Attach the PCRR and supporting expenditure documents, and forward for review	SAA
3.	Review and sign the cash certificate	(S)FO/ (S)A, MFA
4.	Raise cheque for replenishment and forward to cheque signatories	SAA
5.	Sign petty cash replenishment cheque	2No. Signatories
6.	Replenish the float	(S)FO/ (S)A
7.	Update General Ledger with petty cash expenditure	SAA
8.	Update the cash book with the float replenishment payment	(S)FO/ (S)A
L.	Fixed Assets Acquisition, Recording and Depreciation	
1.	Raise and sign fixed assets purchase requisition/acquisition	End-user or HoD
2.	Cheque/EFT Payments procedures	8 persons

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S/No.	Process / Steps	Responsible
3.	File PVs and documents safely in PV order number per expenditure category	SAA
4.	Capitalise and tag the asset as per Finance Manual	MFA
M. Fixed Asset Disposal Procedures		
1.	Identify assets for disposal by liaising with user departments	MHRA
2.	Coordinate the disposal process and prepare the disposal report	MSCP
3.	Receive approved asset disposal report from the Assets Disposal Committee	MFA
4.	Update fixed assets register with disposed assets	MFA
5.	Generate an updated asset register	MFA
6.	Review the report and sign	MFA
7.	File report for reference	SAA
N. Monthly Payroll Processing		
1.	Submit compiled and registered payroll adjustments to MFA for processing not later than the 20 th of every month	MHRA
2.	Review and forward payroll adjustments for entry into the payroll system	MFA
3.	Input changes to the payroll system and generate payroll reports, including bank transfers, statutory and other deductions not later than the 25 th of every month	SFO/SA
4.	Review payroll reports, ensure errors noted are rectified, sign and forward to MHRA and GM, IARA to review. Recommend to CEO for approval.	MFA
5.	Authorisation of the payroll	CEO
6.	Payment of salary to the respective employees through Cheque/ EFT payments procedure. Generate and send payslips to staff.	SAA, (S)FO/ (S)A, 2No. Signatories
7.	Pay monthly statutory and other deductions through Cheque/ EFT payments procedure	SAA, (S)FO/ (S)A, 2No. Signatories
8.	Update General Ledger with the payments	SFO/SA
9.	File documents	SAA

4.4 Legal Services / Board Secretariat

Table 6: Processes in Legal Services / Board Secretariat

S/No.	Process	Output
A.	Legal advice	Legal Opinion
B.	Contract/Lease/Service Level Agreements	Signed Contracts/Leases/Service level agreements
C.	Defending the institution's interest in court	Pleadings/Submissions/Rulings/Judgements
D.	Board Committee Meetings	Board Committee Minutes Board Committee Recommendations
E.	Full Board Meeting	Board Minutes Board Resolutions

Table 7: Process Mapping in Legal Services / Board Secretariat

S/No.	Process / Steps	Output/Record	Responsible
A.	Legal Advisory		
1.	User departments send requests for a legal opinion via email to the GM LS & CS, copied to the Legal Department joint email and with adequate factual background and supporting documentation	Request with background of facts	Requester / User Department
2.	GM LS & CS peruses the requests		GM LS & CS
3.	GM LS & CS assigns to the Legal Officer (LO)		Legal Officer (LO)
4.	LO conducts research on the thematic area and prepares a draft Opinion		Legal Officer (LO)
5.	GM LS & CS reviews the draft Opinion prepares the final legal opinion and forwards the signed legal opinion to the user departments	Legal Opinion	GM LS & CS
B.	Contract/Lease/Service Level Agreements		
1.	User departments send requests to the GM LS & CS through email attaching a draft copy of the contract in the recommended format		Requester / User Department
2.	GM LS & CS peruses the attached draft contract		GM LS & CS

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S/No.	Process / Steps	Output/Record	Responsible
3.	GM LS & CS assigns to Legal Officer (LO)		Legal Officer (LO)
4.	LO requests for further documents from the user department if they are not attached to the email sent		Legal Officer (LO)
5.	LO reviews the draft contract and makes comments and recommendations on the draft contract		Legal Officer (LO)
6.	LO sends the reviewed draft contract to the GM LS & CS for comments and feedback		Legal Officer (LO)
7.	GM LS & CS reviews the draft document and or comments given by the LO and approves /guides further.		GM LS & CS
8.	The LO forwards the reviewed contracts with comments to the user department to comply with.		Requester / User Department
9.	The user department submits the final contract for witnessing by the CS and the final recommendation to the Office of the CEO for his execution		Requester / User Department
10.	CEO's office dispatches the fully signed contract to the user department		CEO's Office
C.	Litigation Management		
1.	Receipt of a legal claim	Demand Letter	Front office / Communication (Info email)
2.	Perusal of the claim		GM LS & CS
3.	Assignment to Legal Officers to conduct legal research and prepare a draft legal opinion on the matter		GM LS & CS
4.	The GM LS & CS further analyses the claim and the draft legal opinion and reviews before advising the office of the CEO for approval of the recommended mitigation measure.	Approved legal advice	GM LS & CS
5.	Preparation of the draft pleadings		Legal Officer (LO)
6.	Quality Review of the draft legal pleadings		GM LS & CS
7.	Filing and service of the pleadings		Legal Officer
8.	Court Attendance		Legal Officer

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S/No.	Process / Steps	Output/Record	Responsible
9.	Updates on the progress of the matter		GM LS & CS
D.	Board Committee Meetings		
1.	Preparation of the notice of the meeting	Letter of invite/Notice issued	CS
2.	Call for Board papers and issuance of the 14-day notice of the meeting		CS
3.	Preparation of the draft Board papers within Departments and Divisions		Heads of Departments
4.	Submission of the draft Board papers by HODs to the GM, LS & CS	Draft Board Committee Papers	Heads of Departments
5.	Review of the papers for legal compliance and alignment on format	Approved Board Committee Papers.	CS
6.	Compilation and Quality Assurance of the Board Pack		CS
7.	Submission of the Board Pack to the CEO's office for execution		CS
8.	Quality review by the office of the CEO in liaison with the Senior Management	Compiled Committee Files	CEO
9.	Submission of the signed Board Pack to the Secretariat		CEO
10.	Circulation of the Board papers on E-Board		CS
11.	Committee meeting	Attendance book signed by the Board of Trustees.	CS
12.	Preparation of Board Committee minutes	Board Committee Minutes	CS
13.	Recommendations to the full Board for approval/adoption.	Full Board Paper.	CS
14.	Preparation of the Full Board papers within departments and divisions as per the Committee meeting approvals and recommendations Heads of Departments		

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S/No.	Process / Steps	Output/Record	Responsible
E.	Full Board Meetings		
1.	Preparation of the Notice of the Full Board Meeting.	Notice issued	CS
2.	Submission of Board papers to the GM, LS		Heads of Departments
3.	Review of the papers for legal compliance and alignment on format		CS
4.	Compilation of the Board Pack		CS
5.	Submission of the Board Pack to the CEO's office for quality review and execution in liaison with the Senior Management	Compiled Board file/Board Pack.	CS
6.	Circulation of the Board papers via email and on the E-board.		CS
7.	Full Board meeting	Board Minutes and Resolution	CS
8.	Preparation of the draft resolutions of the Full Board		CS

4.5 Internal Audit & Risk Assurance

Table 8: Processes in Internal Audit & Risk Assurance

S/No.	Process	Output
A.	Audit Matters	Audit Report
B.	Compliance	Risk Register
C.	Audit & Risk Board Committee	Board Report
D.	Audit Notifications	Audit Results

Table 9: Process Mapping in Internal Audit & Risk Assurance

S/No.	Process / Steps	Responsible
A.	Audit Matters	
1.	Planning	GM, IARA

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S/No.	Process / Steps	Responsible
2.	Field Work	PIAT
3.	Preparation of the Audit Report	GM, IARA
4.	Audit Follow-up & Communicating Results	PIAF
B.	Compliance	
1.	Risk Identification	GM, IARA
2.	Risk Assessment	GM, IARA
3.	Control Implementation	GM, IARA / PIAC
4.	Communication and Training	PIAC
5.	Reporting and Review	PIAC
6.	Compliance Monitoring	PIAC
C.	Audit & Risk Board Committee	
1.	Schedule for the number of meetings to be held during that fiscal year	GM, IARA
2.	A Workplan that includes one meeting per quarter for the committee	GM, IARA
3.	Development of a Tentative Agenda	GM, IARA
4.	The CEO is provided with the agenda to officially the committee	GM, IARA
5.	Board papers are prepared at least one week prior to the meeting	GM, IARA
6.	A Formal meeting is held	GM, IARA
D.	Audit Notifications	
1.	Planning: The Internal Audit will review prior audits and prepare audit program to follow	GM, IARA
2.	Notification: Internal Audit Department will notify the appropriate department personnel regarding the upcoming audit and its purpose	GM, IARA
3.	Opening Meeting: This meeting will include the management and any administrative personnel involved in the audit	GM, IARA
4.	Fieldwork	PIAT
5.	Report Drafting: After the fieldwork is completed, a report is drafted which includes areas such as objective and scope of the audit, findings and recommendations for correction or improvement	PIAT

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S/No.	Process / Steps	Responsible
6.	Management Response: A draft audit report is submitted to the management of the audited area for their review and responses to the recommendations	GM, IARA
7.	Closing Meeting: This meeting is held with department management whereby audit report and management responses will be reviewed and discussed	GM, IARA
8.	Final Audit Report Distribution: A high-level summary of the final audit report including the management response is provided to the Audit Committee of the Board of Trustees	GM, IARA
9.	Follow-up: After the audit report is issued, the Internal Audit performs a follow-up review which will be dependent on the timeline of corrective actions.	PIAF

4.6 Planning and Quality Management

Table 10: Processes and Process Mapping in Planning and Quality Management

S/No.	Process / Steps	Records	Responsible
A.	Project Monitoring Process		
1.	Receipt of the Monitoring plans from Programmes		M&E Officer
2.	Consolidation of all the monitoring plans from the Programmes department	Approved Programme Monitoring Plan	Monitoring & Evaluation Officer
3.	Development /review of monitoring concept /memo in line with the M&E Policy	Approved memo	Monitoring & Evaluation Officer
4.	Visit funded projects to assess whether they are being implemented as planned.		Field Monitoring team Lead
5.	Development and consolidation of the Monitoring report	Approved Monitoring Report	Field Monitoring team lead
6.	Share the findings of the monitoring with key persons and stakeholders	Correspondence (Monitoring report/Findings)	Project Monitoring team lead

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S/No.	Process / Steps	Records	Responsible
7.	Documentation of the project issues from the monitoring reports into the issue log for escalation and action	Issue log	Risk Management Officer
8.	Follow up on the implementation of the Monitoring report recommendations	Correspondences (Emails on the recommendation)	Monitoring & Evaluation Officer
B. Programme Evaluation			
1.	Development of Evaluation Terms of Reference	Approved ToR	Manager, Planning, Strategy, Monitoring and Evaluation
2.	Communication to stakeholders	Correspondence (Letters and emails)	Manager, Planning, Strategy, Monitoring and Evaluation
3.	Development of concept/memo for the evaluation	Approved Concept/memo	Monitoring and Evaluation Officer
4.	Undertake evaluation and draft report findings		Evaluation Team Lead
5.	Share draft report with the stakeholders for validation	Correspondence (Emails and Forwarding letters)	Manager, Planning, Strategy, Monitoring and Evaluation
6.	Finalisation of the validated Evaluation report	Approved Evaluation report	Evaluation Team lead
7.	Dissemination of approved evaluation report to all stakeholders	Correspondence (Approved Forwarding letters)	Manager, Planning, Strategy, Monitoring and Evaluation
C. Performance Contract Formulation			
1.	Circulation of PC guidelines to all departments	PC Guidelines	Manager, Planning, Strategy Monitoring and Evaluation
2.	Identification of the PC targets		Divisional Managers
3.	Consolidation of the PC targets to the draft PC and entry into GPCIS		Planning Officer
4.	Negotiation of draft PC with MWSI	Negotiation Minutes Negotiated PC	BOT and WaterFund Management

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S/No.	Process / Steps	Records	Responsible
5.	Vetting of the draft PC by the Public Service Performance Management Unit		Manager, Planning, Strategy, Monitoring and Evaluation
6.	Submission of the vetted Performance Contract to the MWSI	Correspondence (Approved Forwarding letters)	Planning Officer
7.	Signing of vetted Performance Contracts	Signed Performance Contract	BOT and Cabinet Secretary
D.	Performance Contract Implementation		
1.	Cascading of the signed Performance Contract to staff	Internal Memo	Manager, Planning, Strategy Monitoring and Evaluation
2.	Cause for Submission of Quarterly PC implementation report from the departments		Manager, Planning, Strategy Monitoring and Evaluation
3.	Receipt of departmental PC quarterly achievements and evidences		PC Champions
4.	Consolidation of quarterly /Annual PC implementation report		Planning Officer
5.	Presentation of the PC reports for approval	Approved PC report Board Meeting Extracts	Manager, Planning, Strategy Monitoring and Evaluation
6.	Submission of the approved report to the stakeholders	Correspondences	Planning Officer
E.	Performance Contract Evaluation		
1.	Receipt of the PC Evaluation guidelines and timelines		Manager, Planning, Strategy Monitoring and Evaluation
2.	Circulation of PC Evaluation guidelines to all staff and request for the PC evidences	Correspondences emails	Manager, Planning, Strategy Monitoring and Evaluation
3.	Verification of the soft copies of PC evidences in the N-Drive	Correspondences PC Evidences	Planning Officer

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S/No.	Process / Steps	Records	Responsible
4.	Undertaking mock Evaluation, giving feedback and address the gaps identified during the PC Mock Evaluation	Mock Evaluation Report Self-Evaluation Matrix	Manager, Planning, Strategy Monitoring and Evaluation /Planning Officer
5.	External PC Evaluation	PC Evaluation Minutes	Manager, Planning, Strategy Monitoring and Evaluation
6.	Dissemination of the PC Evaluation Results	Correspondences	Manager, Planning, Strategy Monitoring and Evaluation
F.	Research and Innovations Initiatives Financing – Concept Notes		
1.	Call for Research Concept Notes	Concept Notes	Manager, Research and Knowledge Management Division
2.	Research Concept Note Preliminary Review	Correspondence	Research and Knowledge Management Division
3.	Research Concept Note appraisal	Appraisal report/ Correspondence	Internal Research Committee
G.	Financing of Research and Innovation Initiatives Financing – Full Proposal		
1.	Call for Full Research Proposal	Correspondence	Manager, Research and Knowledge Management Division
2.	Review of the submitted research proposal	Correspondence	Manager, Research and Knowledge Management Division
3.	Final Research Proposal Approval	Approved Research Proposal	Manager, Research and Knowledge Management Division
4.	Grant Award and disbursements	Correspondence	Manager, Research and knowledge management Division
5.	Research/Innovation project Implementation	Project Report	Manager, Research and knowledge Management Division
6.	Grant Close Out	Project Closure report	Manager, Research and knowledge Management Division
7.	Monitoring, Evaluation and Learning	Monitoring and Evaluation reports	Manager, Research and knowledge Management Division
H.	Strategic Plan Development and Implementation		
1.	Development of Terms of reference	Approved ToR	Manager, Planning, Strategy Monitoring and Evaluation

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S/No.	Process / Steps	Records	Responsible
2.	Onboarding of procured Strategic Plan Consultant through Inception meeting	Inception Meeting Minutes	Manager, Planning, Strategy Monitoring and Evaluation
3.	Hold Management strategic plan development workshop	Approved Workshop Report	WaterFund Management
4.	Board workshop to review the Draft Strategic Plan	Correspondence Approved Concept/Memo Workshop Report	Manager, Planning, Strategy Monitoring and Evaluation
5.	Circulation of Draft Strategic Plan to Stakeholders for Validation	Correspondences	Manager, Planning, Strategy Monitoring and Evaluation
6.	Validation of Strategic Plan	Correspondences	Manager, Planning, Strategy Monitoring and Evaluation
7.	Approval of Strategic Plan	Approved Strategic Plan Board Extracts	Board of Trustees
8.	Publication and Dissemination of the Approved Strategic Plan	Correspondences Published Strategic Plan	Manager, Planning, Strategy Monitoring and Evaluation
9.	Launch of the Strategic Plan	Correspondences	Manager, Planning, Strategy Monitoring and Evaluation
10.	Quarterly/Annual Strategic Plan Implementation reports	Approved Annual Workplan Approved Strategic Plan Implementation reports	Manager, Planning, Strategy Monitoring and Evaluation
11.	Mid-Term and End-Term Strategic Plan Evaluation	Correspondence Approved Mid-term and End-Term Evaluation Reports	Manager, Planning, Strategy Monitoring and Evaluation
I.	ISO Certification		
1.	Engagement Contract with Quality Management Certification Body	Signed QMS Contract	Manager Quality Assurance and Risk Management

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S/No.	Process / Steps	Records	Responsible
2.	Formulation of Quality Management System Documentation	Approved Quality Policy Approved Quality Manual Approved Quality Objectives	Manager Quality Assurance and Risk Management
3.	Capacity Building of Management and Staff on QMS	Approved Memo on the capacity Building Correspondence (with Certification Body) Approved Training Report	Manager Quality Assurance and Risk Management
4.	Appointment of the ISO Champions	Approved ISO champions appointment memo	Chief Executive Officer
5.	Coordination of Internal Audits	ISO Internal Auditors Appointment memo Internal Auditors Participants Training Certificates Approved Audit Programme Internal Audit Report	Manager Quality Assurance and Risk Management
6.	Management Review Meeting	Approved Management Review Meeting Minutes	WaterFund Management
7.	Coordination of External ISO 9001:2015 Audit	Correspondence External Audit report ISO 9001:2025 QMS Certificate	Manager Quality Assurance and Risk Management

4.7 Water and Sanitation Services

Table 11: Processes in Water and Sanitation Services

S/No.	Process	Output
A.	Proposal development	Project Proposal
B.	Project appraisal and approval for funding	Desk Appraisal reports, Field Appraisal reports, Investment briefs, Engineering Committee reports, Project Committee reports, Approved projects

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S/No.	Process	Output
C.	Project disbursement	Signed contracts, IP capacity building and 1st disbursement. Subsequent disbursement: IP request, valid contract, ledger
D.	Contract management and monitoring	Defined contract timelines and activities schedule, Monitoring plan, field monitoring Technical support-Review of reports (project implementation issues), Technical support missions, Capacity building Approved Contract modification
E.	Project closure	DLP, substantive completion report, completion certificates, project commissioning

Table 12: Process Mapping in Water and Sanitation Services

S/No.	Process / Steps	Responsible
A.	Proposal development	
1.	Call for proposal: <ul style="list-style-type: none"> - The conceptualisation of the project document - Preparation of advert - Generation of memo and requisition for approval - Advert placement (dailies, website, social media) 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Supply Chain, GM-CS (Finance), ICT, Communications
2.	Receipt of Concept notes: <ul style="list-style-type: none"> - Acknowledgement of concept notes - Review of concept notes - Organise Pre-proposal development workshop, (Invitation, venue) - Proposal generation by Implementing partner 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Supply Chain, GM-CS(Finance), Implementing partners
3.	Receipt of proposals: <ul style="list-style-type: none"> - Acknowledgement - Record in project proposal register - Referencing(serialisation), - Request to initiate appraisal process (memo) 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Implementing partners, Communication

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S/No.	Process / Steps	Responsible
B.	Project appraisal and approval for funding	
1.	Desk Appraisal: <ul style="list-style-type: none"> - Preliminary Review of proposals - Generation of Desk appraisal reports - Presented to WSS Manager - Generate memo for field appraisal 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Supply Chain, GM-CS (Finance)
2.	Field Appraisal: <ul style="list-style-type: none"> - Generation of field appraisal report - Presentation to WSS Manager, - Feedback to Implementing Partners - Generate Investment briefs 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Administration (Transport), GM-CS (Finance)
3.	Committee approvals: <ul style="list-style-type: none"> - Presentation of Investment briefs to the engineering committee and project committee - Project Committee Report Presentation to Investment Committee - Generation of board paper -presentation to full board-approved projects - Award letter to successful IPs 	Manager-WSS, GM-P, Engineering Committee, Project Committee, CEO, Board of Trustees, GM-Legal
4.	Financing agreements: <ul style="list-style-type: none"> - Preparation of financing agreements - Review by the legal office - Review and signing by Implementing partners - Received by Legal Office for final review and witnessing - Submission to CEO for signing 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, GM-Legal, Implementing partners
5.	Pre-implementation workshop: <ul style="list-style-type: none"> - Generate memo for approval of activity - Invitations and venue - Generation of workshop report 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Supply Chain, GM-CS (Finance), Implementing partners, Audit and Risk, PQM

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S/No.	Process / Steps	Responsible
C.	Project disbursement	
1.	1st Disbursement: <ul style="list-style-type: none"> - Generation of disbursement schedule - Preparation of checklist-FB approvals, IP Bank details - Generation of disbursement memo - Submit memo with checklist for approval - Submission of approved memo (with checklist) and financing agreement to finance for payments - Receipt payment advised from Finance - Share payment advise with IP for notification of payment 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, GM-CS (Finance)
2.	Subsequent disbursements: <ul style="list-style-type: none"> - Receipt of disbursement request from IP - Generate disbursement checklist-contact validity, ledger, FB approvals, IP Bank details) - Submission of approved memo (with checklist) and financing agreement to finance for payments - Receipt payment advised from Finance - Share payment advice with IP for notification of payment 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, GM-CS (Finance), Audit and Risk
D.	Contract management and monitoring	
1.	Contract modification: <ul style="list-style-type: none"> - Receipt of Change request from IP - Review and Generate justification memo for approval - Generate IP feedback letter (Approval or rejection) for signing by the CEO - Share feedback letter with IP 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Implementing partners, Communication
2.	Contract monitoring: <ul style="list-style-type: none"> - Review contract timelines and activity schedule - Generate a monitoring plan for approval by the Manager - Develop and approval of monitoring memo - Notification of scheduled monitoring to IPs & QAMs - Monitoring of projects - Preparation of monitoring report - Feedback to Ips - Flagging of emerging issues 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Implementing partners, GM-CS (Finance), Administration (Transport)

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S/No.	Process / Steps	Responsible
3.	Technical support: <ul style="list-style-type: none"> - Review of monthly reports and emerging issues (project implementation issues) - Generate Technical support missions and capacity building memo - Feedback to IP, Follow up and closure of emerging issues 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Implementing partners, GM-CS (Finance), Communication, Audit and Risk, GM-Legal, PQM, Administration (Transport), Supply Chain
E.	Project closure	
1.	Project Completion and Closure: <ul style="list-style-type: none"> - Receive and review of the substantive completion report - Generate memo for inspection of completed works - Generate inspection reports and snag list - Submission of snag list to IP - Review the implementation of the snag list (DLP) - Receive and review final completion reports and Financial Accountability Statement (FAS) certificates - Project commissioning 	PO, SPO, PPO, Manager-WSS, GM-P, CEO, Implementing partners, GM-CS (Finance), Communication, Audit and Risk, GM-Legal, PQM, Administration (Transport), Supply Chain

4.8 Commercial Financing/Urban

Table 13: Processes and Process Mapping in Commercial Financing/Urban

S/No.	Process / Steps	Output/Record	Responsible
A.	Proposal development and project design		
1.	Call for proposal:		
	Development of a call for proposal document	Approved CfP	Manager, CF (M, CF)
	Preparation of advert	Approved Advert	Principal Programme Officer (PPO)
	Requisition for approval of CfP / Advert	Approved Requisition/Memo	PPO
	Advert placement (dailies, website, social media)	Copy of Advertisement	PPO
	Undertake pre-proposal development workshop	Workshop Report	PPO

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S/No.	Process / Steps	Output/Record	Responsible
2.	Receipt of proposals:		
	Receipt and Acknowledgement of proposal receipt	Proposals submitted, Acknowledgement Notification Email	PPO
	Record in Project Proposal Register with Reference Numbers	Concept/Proposals register	Senior Programme Officer (SPO)
3.	Programme Launch:		
	Programme kick-off meetings	Meeting Minutes	M, CF
	Programme Launch	Launch report	M, CF
B.	Project appraisal and approval for funding		
1.	Desk Appraisal:		
	Appointment of Desk Appraisal Team	Approved Desk Appraisal Memo	M, CF
	Project Desk Appraisal	Project Desk Appraisal Reports	PPO
2.	Field Appraisal:		
	Appointment of Field Appraisal team	Approved Field Appraisal Memo	M, CF
	Field appraisal	Project Field Appraisal Report	PPO
	Dissemination of Feedback to Implementing Partners	Notification letters	PPO
3.	Committee approvals:		
	Prepare Investment briefs	Proposed Projects briefs	SPO
	Engineering Committee review	Engineering Committee Minutes	PPO
	Project Committee review	Committee Reports, Projects Committee Minutes	PPO
	Board Investment Committee	Board Committee Paper	PPO
	Board Approval	Board Approval Extract	M, CF
	Award notification to IPs	Award notification letters	PPO
4.	Financing Agreements:		

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S/No.	Process / Steps	Output/Record	Responsible
	Request for Financing Agreement template		M, CF
	Completing the Financing Agreement template		M, CF
	Review and execution of Financing Agreement	Signed Financing Agreements	Legal Office
C.	Project Implementation		
	Pre-Implementation Training		
1.	Development of training manuals	Training Materials	PPO
2.	Notification of proposed training	Attendance confirmation	PPO
3.	Approval of training	Approved Memo	M, CF
4.	Invitations to Participants	Invitation letters	PPO
5.	Training	Training Report	PPO
6.	Issue a certificate of participation	Certificate of participation	M, CF
	Technical Assistance Support		
1.	Preparation of ToRs	Approved ToRs	M, CF
2.	Procurement of consultants/experts	Signed contracts	Manager. Procurement
3.	Engagement of technical assistance	Signed Technical Assistance Agreements	M, CF
4.	Implementation of the Technical Assistance roadmap on project inception and preliminaries	Inception Reports and preliminary reports	M, CF
5.	Preparation of project designs, ESIA, RAP and Financial Reports	Approved ESIA, RAP, Financial and design reports, NEMA Licences	M, CF
6.	Technical support on tender documents to IPs	No objection approval	M, CF
7.	Get back to IPs	No objection letters	M, CF
D.	Project disbursement		
1.	Receipt and processing of the Disbursement request	Disbursement Request letter, Disbursement Approval	PPO

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S/No.	Process / Steps	Output/Record	Responsible
2.	Disbursement Release		Finance
3.	Confirmation of disbursement to IPs	Notification of payment	PPO
E.	Project Supervision and Support		
	Review the project work plan	Approved Revised Work Plan	SPO
	Develop a supervision and technical plan	Approved supervision plan	PPO
	Provision of supervision and technical support		
	Notification of scheduled supervision /technical support/missions to IPs & QAMs	Notification Email	PPO
	Supervision/Missions/Technical Support of projects	Project Supervision/Technical Support/Mission Reports	M, CF
	Feedback to IPs	Feedback Email	PPO
	Tracking of emerging issues	Issue closure feedback	SPO
	Project reporting and compliance		
	Review of Technical and Financial progress of IPs	Monthly reports	SPO
	Submission of reports to Finance for Accounting		Finance
	Contract modification		
	Receipt of the change request from IP	Change Request Letter, change request report and justification	PPO
	Appointment of change review team (ad hoc)	Approved memo	
	Undertake Technical Review and Analysis	Technical Recommendation Advisory	PPO
	Submission of Change Request review report for consideration	Change Request Outcome	Manager, CF
	Notification of change request outcome to IP	Feedback Letter to IP/Addendum	PPO

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S/No.	Process / Steps	Output/Record	Responsible
	Implement the approved change request outcome	Financing Agreement Addendum/board request/ letter	PPO
F.	Project completion and closure		
1.	Receipt of Substantive Completion Report	Snag list, Substantive completion report	PPO
2.	Joint Assessment of Project Completion	Completion Assessment Report	PPO
3.	Verification of performance for Results-Based Financing Projects	Verification Report, Subsidy Recommendation	M, CF
4.	Dissemination to the IPs	Correspondence	M, CF
5.	Defect Liability Period	Snag list	PPO
6.	Operations and Maintenance training	Operations & Maintenance Training Reports	PPO
7.	Final completion inspection	Final completion reports and certificates	M, CF
8.	Project commissioning	Commissioning report	M, CF
9.	Asset handover	Hand over reports	M, CF
10.	Financial Closure	Notification of funds, Accountability (Ledger) and audit clearance	M, CF

4.9 Water Resources and Climate Change

Table 14: Processes in Water Resources and Climate Change

S/No.	Process	Output
A.	Proposal development	Project Proposal
B.	Project appraisal and approval for funding	Desk Appraisal reports, Field Appraisal reports, Investment briefs, Engineering Committee reports, Project Committee reports, Approved projects
C.	Project disbursement	Capacity building, 1st disbursement and subsequent disbursements

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S/No.	Process	Output
D.	Contract management and monitoring	Contract Modification letters Field monitoring reports Technical Support Report and Issue Closure
E.	Project completion and closure	DLP, substantive completion report, completion certificates, project commissioning

Table 15: Process Mapping in Water Resources and Climate Change

S/No.	Process / Steps	Responsible
A.	Proposal development	
1.	Call for concept note: <ul style="list-style-type: none"> - Conceptualisation of project document - Preparation of advert (generation of memo and requisition for approval) - Advert placement in the dailies and website, social media 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Supply Chain, GM -CS, ICT, Communication
2.	Receipt of concept notes: <ul style="list-style-type: none"> - Acknowledgement - Review - Pre-proposal development workshop (invitation to workshop, venue, generation of report) - Proposal generation 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Supply Chain, GM -CS (Finance), Implementing partner
3.	Receipt of proposals: <ul style="list-style-type: none"> - Acknowledgement - Record in project proposal register - Referencing(serialisation), - Request to initiate appraisal process (memo) 	PO, SPO, PPO, Manager-WRCC, GM-P, communications, CEO Implementing partner
B.	Project appraisal and approval for funding	
1.	Desk Appraisal: <ul style="list-style-type: none"> - Preliminary Review of proposals - Generation of Desk appraisal reports - Presented to CF Manager - Generate memo for field appraisal 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Supply Chain, GM-CS (Finance)

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S/No.	Process / Steps	Responsible
2.	Field Appraisal: <ul style="list-style-type: none"> - Generation of field appraisal report - Presentation to CF Manager, - Feedback to Implementing Partners - Generate Investment briefs 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Administration (Transport), GM-CS (Finance)
3.	Committee approvals: <ul style="list-style-type: none"> - Presentation of Investment briefs to the engineering committee and project committee - Project Committee Report Presentation to Investment Committee - Generation of board paper -presentation to full board-approved projects - Award letter to successful IPs 	Manager-WRCC, GM-P, Engineering Committee, Project Committee, CEO, Board of Trustees, GM-Legal
4.	Financing agreements: <ul style="list-style-type: none"> - Preparation of financing agreements - Review by the legal office - Review and signing by Implementing partners - Received by Legal Office for final review and witnessing - Submission to CEO for signing 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, GM-Legal, Implementing partners
5.	Pre-implementation workshop: <ul style="list-style-type: none"> - Generate memo for approval of activity - Invitations and venue - Generation of workshop report 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Supply Chain, GM-CS (Finance), Implementing partners, Audit and Risk, PQM
C.	Project disbursement	
1.	1st Disbursement: <ul style="list-style-type: none"> - Generation of disbursement schedule - Preparation of checklist-FB approvals, IP Bank details - Generation of disbursement memo - Submit memo with checklist for approval - Submission of approved memo (with checklist) and financing agreement to finance for payments - Receipt payment advised from Finance - Share payment advise with IP for notification of payment 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, GM-CS (Finance), Implementing Partners

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S/No.	Process / Steps	Responsible
2.	<p>Subsequent disbursements:</p> <ul style="list-style-type: none"> - Receipt of disbursement request from IP - Generate disbursement checklist-contact validity, ledger, FB approvals, IP Bank details) - Submission of approved memo (with checklist) and financing agreement to finance for payments - Receipt payment advised from Finance - Share payment advice with IP for notification of payment 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, GM-CS (Finance), Audit and Risk, Implementing Partners
D.	Contract management and monitoring	
1.	<p>Contract modification:</p> <ul style="list-style-type: none"> - Receipt of Change request from IP - Review and Generate justification memo for approval - Generate IP feedback letter (Approval or rejection) for signing by the CEO - Share feedback letter with IP 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Implementing partners, Communication
2.	<p>Contract monitoring:</p> <ul style="list-style-type: none"> - Review contract timelines and activity schedule - Generate a monitoring plan for approval by the Manager - Develop and approval of monitoring memo - Notification of scheduled monitoring to IPs & QAMs - Monitoring of projects - Preparation of monitoring report - Feedback to IPs - Flagging of emerging issues 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Implementing partners, GM-CS (Finance), Administration (Transport)
3.	<p>Technical support:</p> <ul style="list-style-type: none"> - Review of monthly reports and emerging issues (project implementation issues) - Generate Technical support missions and capacity building memo - Feedback to IP, Follow up and closure of emerging issues 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Implementing partners, GM-CS (Finance), Communication, Audit and Risk, GM-Legal, PQM, Administration (Transport), Implementing Partners

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S/No.	Process / Steps	Responsible
E.	Project completion and closure	
1.	<p>Project completion and closure:</p> <ul style="list-style-type: none"> - Receive and review of the substantive completion report - Generate memo for inspection of completed works - Generate inspection reports and snag list - Submission of snag list to IP - Review the implementation of the snag list (DLP) - Receive and review final completion reports and completion certificates - Project commissioning and closure 	PO, SPO, PPO, Manager-WRCC, GM-P, CEO, Implementing Partners, GM-CS (Finance), Communication, Audit and Risk, GM-Legal, PQM, Administration (Transport), Implementing Partners

4.10 Human Resources Management

Table 16: Processes in Human Resources Management

S/No.	Process	Output
A.	Employee Recruitment	Recruitment Reports, Employee Signed Contract, Regret letters/emails.
B.	Coordinating Employee Performance Management	Signed Completed PCs, Appraisals and Rewards and Sanctions
C.	Employee Training and Development	Certificates & Reports, Training Evaluation
D.	Processing of Employees' Salaries	Payment & Payslips
E.	Processing of Employees' Leave	Leave Approval & Proceeding on Leave
F.	Disciplinary Procedures	Review, Reprimand /Closure
G.	Coaching and Mentorship	Skills Development, knowledge growth

Table 17: Process Mapping in Human Resources Management

S/No.	Process / Steps	Responsible
A.	Employee Recruitment	

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S/No.	Process / Steps	Responsible
1.	Need / Vacancy Identification	Manager, HR&A
2.	Seeking Approval for Recruitment from the CEO and the BOT	Manager, HR&A
3.	Development of Job Descriptions & Specifications	PHRO
4.	Advertisement for the Position(s) (Internal/External)	PHRO
5.	Receipt of Applications for the Position	PHRO
6.	Conduct Interviews	MHRA
7.	Background and Reference Checks	PHRO
8.	Interview Feedback (Successful & Unsuccessful candidates)	PHRO
9.	Signing of acceptance letters by the successful candidate	HRO
10.	Reporting, Placement & Evaluation of Recruitment Process	PHRO
B.	Coordinating Employee Performance Management	
1.	Target Setting	Supervisor
2.	Continuous Monitoring of Performance Progress	Supervisor
3.	Communication of Assessment Dates	PHRO
4.	Performance Appraisal	Supervisor
5.	Submission of Performance Appraisal Forms to HR	HRA
6.	Review of Institutional Performance e by Human Resource Advisory Committee (HRAC)	HRAC
7.	Performance Feedback	Manager, HR&A
C.	Employee Training and Development	
1.	Training Needs Identification	Employee
2.	Training Needs Analysis	HRO
3.	Development of Training Plan	HRO
4.	Implement the Training Plan	Manager, HR&A
5.	Impact Evaluation	Supervisor
D.	Processing of Employees' Salaries	
1.	Preparation of Monthly Payroll Changes Register	HRA

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S/No.	Process / Steps	Responsible
2.	Payroll Processing Incorporating Changes	Senior Accountant
3.	Review and Approval of Payroll	Manager, HR&A
4.	Payment of Employee Salaries	GM, CS
E.	Processing of Employees' Leave	
1.	Preparation of Annual Leave Quota	HRO
2.	Dissemination of Approved Leave Quota	HRO
3.	Leave Application	Employee
4.	Approval of Leave Application	Manager, HR&A
F.	Employee Disciplinary Procedures	
1.	Registration of Complaint	Manager, HR&A
2.	Complaint Acknowledgement	Manager, HR&A
3.	Complaint Investigation	HRAC
4.	Hearing	HRAC
5.	Complaint Resolution	HRAC
6.	Appeal	Manager, HR&A
G.	Coaching and Mentorship (Internship and attachment)	
1.	Receiving of requests	PHRO
2.	Seeking approval from the CEO	Manager, HR&A
3.	Onboarding and reporting	HRO
4.	Induction orientation and settling	HRA

4.11 Administration

Table 18: Processes in Administration

S/No.	Process	Output
A.	Office Space Management	Senior Administration Officer
B.	Repair, Servicing & Maintenance	Senior Administration Officer
C.	Insurance Management	Senior Administration Officer

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S/No.	Process	Output
D.	Identification of Assets for Disposal	Senior Administration Officer
E.	Cleaning Services	Senior Administration Officer
F.	Vehicle Request	Senior Administration Officer
G.	Sanitation & Beverage Services	Senior Administration Officer
H.	Airtime	Senior Administration Officer
I.	Safety Management	Senior Administration Officer

Table 19: Process Mapping in Administration

S/No.	Process / Steps	Responsible
A.	Office Space Management	
1.	Attain Lease Agreement	Senior Administration Officer
2.	Receipt of Invoice	Senior Administration Officer
3.	Space Allocation	Senior Administration Officer
B.	Repair, Servicing & Maintenance	
1.	Receipt of User Repair Requisition Form	Senior Administration Officer
2.	Source for Quotations	Senior Administration Officer
3.	Work Done & Approved	Senior Administration Officer
4.	Memo Payment Approval	Senior Administration Officer
5.	Forward payment documents to Procurement	Senior Administration Officer
C.	Insurance Management	
1.	List of Assets	Senior Administration Officer
2.	Assets Valuation Report	Senior Administration Officer
3.	Forward to Insurance Agent	Senior Administration Officer
4.	Attain Insurance Cover	Senior Administration Officer
D.	Identification of Assets for Disposal	
1.	Appointment of Assets for Disposal Identification Committee	Senior Administration Officer
2.	Hold meetings	Senior Administration Officer

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S/No.	Process / Steps	Responsible
3.	List of Identified assets for Disposal	Senior Administration Officer
4.	Forward to Chairman, Disposal Committee	Senior Administration Officer
E.	Cleaning Services	
1.	Onboarding of Outsourced services	Senior Administration Officer
2.	Office Induction & identification documents	Senior Administration Officer
3.	Give Biometric Access	Senior Administration Officer
4.	Contract management	Senior Administration Officer
F.	Vehicle Request	
1.		Senior Administration Officer
2.		Senior Administration Officer
3.		Senior Administration Officer
4.		Senior Administration Officer
G.	Sanitation & Beverage Services	
1.	Contract Management	Senior Administration Officer
2.	Receive monthly invoices, statements and Delivery Notes	Senior Administration Officer
3.	Reconcile all payment documents	Senior Administration Officer
4.	Confirm delivery of services/goods to Manager, Human Resources & Administration	Senior Administration Officer
H.	Airtime	
1.	Denomination and Amount schedule	Senior Administration Officer
2.	Forward to procurement	Senior Administration Officer
3.	Receive airtime	Senior Administration Officer
4.	Distribute to staff using the distribution list	Senior Administration Officer
I.	Safety Management	
1.	Conduct Safety Drills	Senior Administration Officer
2.	Servicing Fire extinguishers	Senior Administration Officer
3.	Fumigation	Senior Administration Officer
4.	Safety Equipment	Senior Administration Officer

4.12 ICT

Table 20: Processes in ICT

S/No.	Process	Output
A.	Systems Change Management	Filled System changes report/form
B.	Software Development	System development Completion report
C.	Request for ICT Services	Filled ICT Services request form
D.	ICT User Support	Technical support log
E.	Data Backups / Drills	Backup drill filled form
F.	ICT Inventory	ICT Inventory report
G.	ICT Repairs	ICT repairs report
H.	ICT Service and Maintenance	ICT service and maintenance report

Table 21: Process Mapping in ICT

S/No.	Process / Steps	Responsible
A.	Systems Change Management	
1.	Submission of the description of the need, gap, supporting information, justification, and affected areas	User Dept
2.	Review and evaluation of the change request	PICTO
3.	Request to system vendor for review and clarification	MICT
4.	Approval of change request	MICT
5.	Implementation of change request	PICTO
6.	Inventory of specific actions done	PICTO
7.	User training and Testing of the system changes	PICTO
8.	User acceptance of the system changes – Review and close change request	MICT
9.	User training and adoption of the system	PICTO

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S/No.	Process / Steps	Responsible
B.	Software Development	
1.	Development of Terms of Reference and Software Requirement Specifications	PICTO
2.	Vendor/developer procurement	MICT
3.	Requirement analysis and Inception report	PICTO
4.	System design, coding, customisation and configuration	MICT
5.	User Acceptance and Testing	MICT
6.	User and System Admin training	PICTO
7.	System deployment and rollout	MICT
8.	System support and maintenance	MICT
C.	Request for ICT Services	
1.	User request	User / User Dept
2.	Request approval	MICT
3.	Provision of the ICT services to the end user	ICTO
4.	Setup / Configuration of the services to the end user	ICTO / PICTO
5.	Closure of service request	MICT
D.	ICT User Support	
1.	User Request	User / User Dept
2.	Technical support offered	ICTO
3.	Issues logged	ICTO
E.	Data Backups / Drills	
1.	Request for Backup drill	PICTO
2.	Identification of backup set for restoration	PICTO
3.	Backup drill performed	PICTO
4.	Backup drill form filled and signed	MICT
F.	ICT Inventory	
1.	Identify Asset	ICTO
2.	Collect data related to the assets (type, model, serial no. asset tag etc)	ICTO

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S/No.	Process / Steps	Responsible
3.	Record data in the ICT inventory form	ICTO
4.	Forward to Manager ICT for review and approval	PICTO
G.	ICT Repairs	
1.	User request	User / User dept
2.	Problem assessment	ICTO
3.	Troubleshoot and repair	ICTO
4.	Completion and Feedback	PICTO
H.	ICT Service and Maintenance	
1.	Maintenance plan	PICTO
2.	Carryout maintenance	ICTO
3.	User signoff	ICTO
4.	Compilation of Quarterly maintenance report	ICTO

4.13 Corporate Communication

Table 22: Processes and Process Mapping in Corporate Communication

S/No	Process/ Steps	Records	Responsible
A.	Strategic Planning and Implementation		
1.	Develop a communication strategy and plan		Principal CCO
2.	Approve the strategy at the management level	Communication Strategy and Communication Plan	Principal CCO
3.	Prepare communication workplans and budgets	Departmental Workplan	Principal CCO
4.	Monitor and evaluate strategy implementation	Communication Strategy Implementation Report	Principal CCO
B.	Corporate Identity Management		
1.	Develop and maintain brand identity guidelines	Corporate Identity Guidelines	Principal CCO
2.	Implement Corporate Identity guidelines for compliance in all materials	Approved branding templates	Principal CCO

WaterFund Records Process Mapping and System Workflows – July 2025

S/No	Process/ Steps	Records	Responsible
3.	Monitoring projects sites and communication collateral to ensure branding compliance and consistency	Compliance reports	Senior CCA
C. Media Relations			
1.	Generate media database and relations	Media Contact List	Principal CCO
2.	Develop press releases, media kits	-	Principal CCO
3.	Approve Press Releases and media kits	Press Releases and media kits	CEO
4.	Organise press briefings/interviews	-	Principal CCO
5.	Monitor media coverage and produce reports	Media coverage reports	Senior Corporate Communication Assistant
6.	Handle media queries and clarifications	Feedback report	Principal CCO
D. Digital and Online Communication			
1.	Content Planning for Social Media Platform Campaigns	Content calendar	Principal CCO
2.	Develop Content for Social Media Platforms	Approved social media content	Senior CCO
3.	Schedule and manage social media posts	Social media posts	Senior CCA
4.	Respond to Online Feedback and Inquiries	Feedback Report	Senior CCA
5.	Monitor and analyse digital metrics	Social media engagement reports	Senior CCO
E. Internal Communication (Daily Media Alerts)			
1.	Monitor news for sector-related stories	Media Alerts	Senior CCA
2.	Summarise and Share with WaterFund Staff	Emails	CCO
F. External Communication			
	SITREP		
1.	Collect and Draft Weekly updates from WaterFund departments and divisions	-	Senior CCA
2.	Approve SITREP Weekly Content	SITREP	Principal CCO

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S/No	Process/ Steps	Records	Responsible
3.	Disseminate final weekly SITREP	Email	Senior CCA
	WaterFund Brochures and IEC Materials		
1.	Collect and Draft content and programme updates from WaterFund departments and divisions	-	Relevant Principal Programme Officers
2.	Approve Content for Brochures and IEC Materials	Publication Content	Relevant Programme Managers
3.	Compile and design Content and updates for Brochures and Publications	Designed Publication	Principal CCO
4.	Disseminate content to stakeholders, the public and on digital platforms	Social Media Posts Emails Website uploads Publication Dissemination Requests	Senior CCO
G. Customer Satisfaction			
1.	Design and Roll Out Customer Satisfaction Surveys	Surveys	Principal CCO
2.	Collect and Analyse Feedback	Survey feedback	Principal CCO
3.	Report findings and implement recommendations made	Customer Satisfaction Report and Metrics.	Principal CCO
H. Monitoring of Customer Service Delivery Charter Timelines			
1.	Update and Approve Customer Service Delivery Charter Timelines	Customer Service Delivery Charter	All Managers
2.	Cascade Approved Customer Service Delivery Charter	Departmental cascaded CSDC	All Managers
3.	Communicate Updates and timelines of the Customer Service Delivery Charter to internal and external stakeholders	Sensitisation reports	Senior CCA
4.	Develop Compliance Reports	CSDC Compliance Reports	Senior CCA
I. Complaints Redress			
1.	Receive and record complaints	Complaints Register	CCO
2.	Escalate the complaint for investigations	Email/ forwarded hard copy complaint	Principal CCO

WaterFund Records Process Mapping and System Workflows – July 2025

S/No	Process/ Steps	Records	Responsible
3.	Investigate the complaint, identification of root cause, corrective action and resolve the complaints	Feedback on complaints resolution	All Managers
4.	Close the Complaints	Email / Letter	Principal CCO
5.	Submit Quarterly complaints reports to Commission of Administrative Justice	Quarterly Complaints Handling Reports	Principal CCO
J. Access to Information			
1.	Receive and record request for Access to Information	Access to Information Register	Access to Information Officer
2.	Escalate the request for Access to Information for redress for investigations	Email/ forwarded hard copy request	Principal CCO and Access to Information Officer
3.	Identify type of information needed and respond to applicant	Feedback on access to information request through email/ letter	All Managers
4.	Submit Quarterly Access to Information reports to Commission of Administrative Justice	Quarterly report on Access to Information requests and feedback	Principal CCO
K. Customer Interface			
1.	Receive visitor at the reception desk	-	CCO
2.	Inquire about visitor's purpose and intended officer/department	-	CCO
3.	Record visitor details in the Visitor Book (Name, ID No., Phone, Time In, Purpose)	Visitors Book and Customer Feedback Form	CCO
4.	Request visitor identification (ID or official badge) for confirmation	-	CCO
5.	Contact intended officer/department to confirm availability.	-	CCO
6.	If approved, issue Visitor Badge and direct visitor to waiting area. If the officer is unavailable, offer the option to wait, reschedule, or leave a message.	Visitor Badge-e	CCO
7.	Escort or direct visitor to appropriate officer upon confirmation	-	CC
8.	Upon completion of visit, receive badge and log time out	Visitors Badge	CCO

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S/No	Process/ Steps	Records	Responsible
9.	Thank visitor and file visit details and satisfaction levels of services offered in Daily Customer Feedback Form.	Feedback	CCO
L. Front Office Document Receiving and Routing			
1.	Receive letter/document from stakeholder	Document/ Letter	CCO
2.	Stamp document with "Received" date	-	CCO
3.	Record the document in the Document Movement Register	Document and the Document Movement Register	CCO
4.	Assess destination (CEO or other departments)	-	CCO
5.	If for CEO: Forward to CEO's office	-	CC
6.	CEO marks document with action/responsibility instructions	-	CCO
7.	Return document to Front Office for departmental dispatch and Log movement in CEO Register & forward to relevant division	Document and the Document Movement Register	CCO
8.	If for other departments: Forward directly as per routing decision	Document and the Document Movement Register	CCO

4.14 Supply Chain Management

Table 23: Processes in Supply Chain Management

S/No.	Process	Output
A.	Development of a Procurement Plan	Approved Financial year procurement plan
B.	Registration of Service Providers	Qualified registered service providers report
C.	Request of Goods/Services	Quotation, Request for proposal, Tender document
D.	Request for Quotations	Contract/LPO
E.	Request for Proposals	Contract

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S/No.	Process	Output
F.	Open Tenders	Contract
G.	Restricted Tenders	Contract
H.	Framework Consultancy	Contract
I.	Direct Procurement	Contract/LPO
J.	Posting of LPOs	Approved LPO with required specifications
K.	Payment Processing	Receiving, Inspection, Acceptance & Payment
L.	Stores Requisition	Issuing of stores Items
M.	Asset Disposal	Issuing of asset disposable items and gate pass
N.	Market Survey	Approved Goods/Service market-rate index report
O.	Supplier Performance Appraisal	Approved appraisal report
P.	Statutory Quarterly Reports	Submission of approved reports to the relevant state departments

Table 24: Process Mapping in Supply Chain Management

S/No.	Process / Steps	Responsible
A.	Development of a Procurement Plan	
1.	All functions in the organisation submit their planned procurement activities for the financial year with allocated budgets	Manager, SCM
2.	The Procurement Division compiles the plan	Manager, SCM
3.	Manager SCM & Finance sign alongside with the CEO	Manager, SCM
B.	Registration of Service Providers	
1.	Procurement request for submission of various required categories of service providers from all the departments	Manager, SCM
2.	Compilation of the categories and submission to the CEO for approval	Manager, SCM
3.	Advertisement of the prequalification document with a closing/opening date & time	Manager, SCM

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S/No.	Process / Steps	Responsible
4.	Submission of prequalification documents from potential service providers	Manager, SCM
5.	Registration of submitted proposals	Manager, SCM
6.	CEO appoints the proposed committee for opening the proposals	Manager, SCM
7.	Closing /Opening of the proposals by the appointed committee	Manager, SCM
8.	CEO appoints the proposed committee for the evaluation of the proposals	Manager, SCM
9.	Evaluation of the proposals and signing of the report	Manager, SCM
10.	MSCM. Does a professional opinion and signs	Manager, SCM
11.	CEO approves the opinion	Manager, SCM
12.	Publication of the report with qualified suppliers	Manager, SCM
C.	Request of Goods/Services	
1.	The user department fills out a requisition that is already approved on the plan in line with the availability of funds and signs	Manager, SCM
2.	The RFQ is forwarded to the Finance Manager for approval	Manager, SCM
3.	Then it is forwarded to the CEO for final approval	Manager, SCM
4.	User forwards to SCM with specifications of the goods/service	Manager, SCM
5.	HOD assigns the relevant Officer to action	Manager, SCM
D.	Request of Quotations	
1.	Creation of a request for quotation with the specifications, date, time and statutory documents required	Manager, SCM
2.	Invitation of registered suppliers under the relevant category of the required good/service	Manager, SCM
3.	CEO appoints the proposed committee for opening the quotation	Manager, SCM
4.	Opening and signing the quotation by the opening committee	Manager, SCM
5.	CEO appoints the proposed committee for the evaluation of the quotation	Manager, SCM
6.	Evaluation of the quotation and signing of the report	Manager, SCM
7.	HOD Does a professional opinion and signs	Manager, SCM

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S/No.	Process / Steps	Responsible
8.	CEO approves the opinion	Manager, SCM
9.	Processing of LPO approved by HOD SCM & HOD Finance and signed	Manager, SCM
10.	Issuing of the LPO for delivery of service/goods	Manager, SCM
11.	Inspection & Acceptance Committee appointment	Manager, SCM
12.	Receiving, recording, Inspection and issuing certificate	Manager, SCM
13.	Delivery note & invoice submitted by supplier and signed by receiving officer	Manager, SCM
14.	Approval of invoice by CEO	Manager, SCM
15.	With all relevant documentation attached	Manager, SCM
16.	Recording and forwarding the invoice to finance for payment processing	Manager, SCM
E.	Request of Proposals / Open Tenders / Restricted Tenders / Framework Consultancy	
1.	Provision of approved TOR and approved requisition	Manager, SCM
2.	Preparation of tender document	Manager, SCM
3.	Advertisement and publishing of the tender document with a closing/opening date & time	Manager, SCM
4.	Submission of tender documents from potential suppliers	Manager, SCM
5.	Registration of submitted proposals	Manager, SCM
6.	CEO appoints the proposed committee for opening the proposals	Manager, SCM
7.	Closing /Opening of the proposals by the appointed committee	Manager, SCM
8.	CEO appoints the proposed committee for the evaluation of the proposals	Manager, SCM
9.	Evaluation of the proposals and signing of the report	Manager, SCM
10.	HOD does a professional opinion and signs	Manager, SCM
11.	CEO approves the opinion	Manager, SCM
12.	Notification of award	Manager, SCM
13.	Standstill period for appeals & debriefing	Manager, SCM
14.	Contract drafting and signing with legal & CEO	Manager, SCM
15.	Monitoring	Manager, SCM

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S/No.	Process / Steps	Responsible
F.	Direct Procurement	
1.	Requisition of service/goods by User department with the justification of the direct procurement for approval to SCM, Finance & CEO	Manager, SCM
2.	Appointment of Ad hoc committee	Manager, SCM
3.	Invitation of supplier	Manager, SCM
4.	Negotiation with supplier	Manager, SCM
5.	Notification of award contract/LPO	Manager, SCM
6.	Monitoring	Manager, SCM
G.	Posting of LPOs	
1.	Ensuring all documents are approved and posting the details on the SAP	Manager, SCM
2.	Approval by the HOD	Manager, SCM
3.	Approval by HOD Finance	Manager, SCM
4.	Printing, stamping and signing	Manager, SCM
5.	Issuing to the supplier with the required specifications	Manager, SCM
H.	Stores Requisition	
1.	Submission of a stores requisition signed by HOD	Manager, SCM
2.	Signing of the SRF by the issuing officer and HOD SCM	Manager, SCM
I.	Asset Disposal	
1.	Appointment of asset disposal committee	Manager, SCM
2.	Request for asset disposal approval	Manager, SCM
3.	Formulation of asset disposal plan	Manager, SCM
4.	Identification of disposal items	Manager, SCM
5.	Valuation and tagging of disposal items	Manager, SCM
6.	Preparation of disposal document with specifications	Manager, SCM
7.	Submission of Bids	Manager, SCM
8.	Publishing/Advertisement of disposable items with closing, date & time	Manager, SCM
9.	Appointment of opening/Closing committee	Manager, SCM

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S/No.	Process / Steps	Responsible
10.	Opening and signing of received bids	Manager, SCM
11.	Appointment of evaluation committee	Manager, SCM
12.	Evaluation, report writing and signing by committee	Manager, SCM
13.	Signing of Opinion	Manager, SCM
14.	Approval of opinion by CEO	Manager, SCM
15.	Notification of award	Manager, SCM
16.	Issuing of items and gate pass	Manager, SCM
J.	Market Survey	
1.	Supply Chain Management Division staff carry out market surveys for common user items in the market to understand the price fluctuation	Manager, SCM
K.	Supplier Performance Appraisal	
1.	Submitting forms with Key performance indicators for rating and giving remarks on the goods/services provided	Manager, SCM
2.	Compile the reviews and rate them on a scale and signed by the HOD SCM	Manager, SCM
L.	Statutory Quarterly Reports	
1.	Compilation of all procurements as per statutory requirements and approval	Manager, SCM
2.	Submission of reports to the relevant state departments	Manager, SCM