



Local Government Performance Assessment

Kaberamaido District

(Vote Code: 514)

Assessment	Scores
Accountability Requirements	%
Crosscutting Performance Measures	54%
Educational Performance Measures	91%
Health Performance Measures	55%
Water & Environment Performance Measures	64%

No.	Summary of requirements	Definition of compliance	Compliance justification	Compliant?
Annual performance contract				
1	<p>LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMA and LG Budget guidelines for the coming financial year.</p>	<ul style="list-style-type: none"> • From MoFPED's inventory/schedule of LG submissions of performance contracts, check dates of submission and issuance of receipts and: <ul style="list-style-type: none"> o If LG submitted before or by due date, then state 'compliant' o If LG had not submitted or submitted later than the due date, state 'non-compliant' • From the Uganda budget website: www.budget.go.ug, check and compare recorded date therein with date of LG submission to confirm. 	<p>Kaberamaido District LG submitted an Annual Performance Contract on 17th August- 2019 but with no reference.</p> <p>This submission was made within timeframe before 31st August, 2019 as per the new revised timing for this Local Government Performance Assessment</p>	Yes
Supporting Documents for the Budget required as per the PFMA are submitted and available				
2	<p>LG has submitted a Budget that includes a Procurement Plan for the forthcoming FY by 30th June (LG PPDA Regulations, 2006).</p>	<ul style="list-style-type: none"> • From MoFPED's inventory of LG budget submissions, check whether: <ul style="list-style-type: none"> o The LG budget is accompanied by a Procurement Plan or not. If a LG submission includes a Procurement Plan, the LG is compliant; otherwise it is not compliant. 	<p>The DLG submitted the budget for FY2019/2020 on 17th August, 2019 as evidenced by confirmation email of submission via the PBS system.</p> <p>This submission was made within timeframe before 31st August, 2019 as per the new revised timing for this Local Government Performance Assessment</p>	Yes
Reporting: submission of annual and quarterly budget performance reports				

3	<p>LG has submitted the annual performance report for the previous FY on or before 31st July (as per LG Budget Preparation Guidelines for coming FY; PFMA Act, 2015)</p>	<p>From MoFPED's official record/inventory of LG submission of annual performance report submitted to MoFPED, check the date MoFPED received the annual performance report:</p> <ul style="list-style-type: none"> • If LG submitted report to MoFPED in time, then it is compliant • If LG submitted late or did not submit, then it is not compliant 	<p>The DLG submitted the Annual Performance Report for FY 2018/2019 on 21st August, 2019.</p> <p>The submission was made before 31st August, 2019 as per the new revised timing for this Local Government Performance Assessment and for this matter the LG was compliant.</p>	Yes																				
4	<p>LG has submitted the quarterly budget performance report for all the four quarters of the previous FY by end of the FY; PFMA Act, 2015).</p>	<p>From MoFPED's official record/ inventory of LG submission of quarterly reports submitted to MoFPED, check the date MoFPED received the quarterly performance reports:</p> <ul style="list-style-type: none"> • If LG submitted all four reports to MoFPED of the previous FY by July 31, then it is compliant (timely submission of each quarterly report, is not an accountability requirement, but by end of the FY, all quarterly reports should be available). • If LG submitted late or did not submit at all, then it is not compliant. 	<p>Submission of the quarterly budget performance reports during FY 2018/2019 was as follows</p> <table border="1"> <thead> <tr> <th colspan="2">Quarter Submission Acknowledgement</th> </tr> <tr> <th>Date</th> <th>Reference Date</th> </tr> </thead> <tbody> <tr> <td>Quarter 01</td> <td>17/ 12/2018</td> </tr> <tr> <td>PBS</td> <td>17/ 12/2018</td> </tr> <tr> <td>Quarter 02</td> <td>11 /02/2019</td> </tr> <tr> <td>PBS</td> <td>11th /02/2019</td> </tr> <tr> <td>Quarter 03</td> <td>4 /05/2019</td> </tr> <tr> <td>PBS</td> <td>4th /05/2019</td> </tr> <tr> <td>Quarter 04</td> <td>21 /08/2019</td> </tr> <tr> <td>PBS</td> <td>21st /08/2019</td> </tr> </tbody> </table> <p>All the four quarterly budget performance reports were submitted before 31st August 2019 which was in accordance with the new revised timing for this LGAP.</p>	Quarter Submission Acknowledgement		Date	Reference Date	Quarter 01	17/ 12/2018	PBS	17/ 12/2018	Quarter 02	11 /02/2019	PBS	11th /02/2019	Quarter 03	4 /05/2019	PBS	4th /05/2019	Quarter 04	21 /08/2019	PBS	21st /08/2019	Yes
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The LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and the Auditor General's findings for the previous financial year by end of February (PFMA s. 11 2g). This statement includes actions against all findings where the Internal Auditor and the Auditor General recommended the Accounting Officer to take action in lines with applicable laws.

From MoFPED's Inventory/record of LG submissions of statements entitled "Actions to Address Internal Auditor General's findings",

Check:

- If LG submitted a 'Response' (and provide details), then it is compliant
- If LG did not submit a 'response', then it is non-compliant
- If there is a response for all –LG is compliant
- If there are partial or not all issues responded to – LG is not compliant.

The LG provided information to the PS/ST on the status of implementation of Internal Auditor General's findings for the previous financial year 2017/2018 on 10th January, 2019 and received on 25th February, 2019

(A) Internal Auditor General FY 2018/2019

Total number of queries raised Total number of queries cleared Total number of queries pending

10 10 Nil

(B) Office of the Auditor General FY 2017/2018

Total number of queries raised Total number of queries cleared Total number of queries pending

15 15 Nil

All queries raised by the Internal Auditor General and the OAG for FY 2017/18 were cleared.

Submission was made within timeframe before 31st August, 2019 in accordance with the new revised timing for this Local Government Performance Assessment

6

The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.

The Auditor General's Opinion on the Financial statements of Kaberamaido DLG for the Financial Year ended 30th June, 2019 was Unqualified.

Yes

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution				
1	<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<p>Evidence that a district/ municipality has:</p> <ul style="list-style-type: none"> • A functional Physical Planning Committee in place that considers new investments on time: score 1. 	<p>There was no evidence provided by the physical planner to support existence of the physical planning committee in place in the district or any minutes from a meeting conducted by such a committee</p>	0
1	<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that district/ MLG has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD score 1. 	<p>There was no committee in place; so no minutes were availed for review</p>	0

1

All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans

• All infrastructure investments are consistent with the approved Physical Development Plan: score 1 or else 0

There was no physical development plan presented for review by the LG to the assessment team

0

Maximum 4 points for this performance measure.

1

All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans

• Action area plan prepared for the previous FY: score 1 or else 0

There was no action plan presented for review by the assessment team

0

Maximum 4 points for this performance measure.

<p>The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year development plan, are based on discussions in annual reviews and budget conferences and have project profiles</p> <p>Maximum 5 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that priorities in AWP for the current FY are based on the outcomes of budget conferences: score 2. 	<p>The budget conference was not held in the previous financial year. However, from the annual work plan, priorities for FY 2019/2020 include the following</p> <p>1. Education</p> <p>Construction of 2 classroom block at Opiro-Olelei /S in Aperkir S/C</p> <p>Construction of 2 classroom blocks at Oyama-Eolu P/S in Alua S/C</p> <p>Water</p> <p>LOT1 sighting, design, deep boreholes drilling and installation of hand pumps (10 boreholes); Bululu (2), Ochwero (2), Otuboi (2), Kalaki (1), Aperkir (1), Kobubulu (1) Anyar (1)-DWSCG Kaberamaido district</p> <p>LOT2 sighting, design, and construction of 7 deep boreholes fitted with hand pumps in the following S/Cs.</p> <p>Bululi (1)</p> <p>Ochwero (1)</p> <p>Otuboi (3)</p> <p>Kobulubulu , 1</p> <p>Anyar 1 from DDEG fund</p>
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The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year development plan, are based on discussions in annual reviews and

budget conferences and

have project profiles

Maximum 5 points on this performance measure.

• Evidence that the capital investments in the approved Annual work plan for the current FY are derived from the approved five-year development plan. If differences appear, a justification has to be provided and evidence provided that it was approved by the Council. Score 1.

There was no district 5 year development plan, therefore, the capital investments in the annual work plan were not derived from a development plan

The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year

development plan, are based on discussions in annual reviews and

budget conferences and

have project profiles

Maximum 5 points on this performance measure.

• Project profiles have been developed and discussed by TPC for all investments in the AWP as per LG Planning guideline: score 2.

There was evidence that project profiles had been developed and discussed by TPC

Examples on file include the following capital investments in the approved Annual Work Plan:

a) Profile: Kabe514/Wrks/2018/2019/00052

Project: Construction of a hospital administration block and construction of staff quarters at Kaberamido HC IV, Pg 11 of AWP, budget code- 228003

b) Kabe514/Wrks/2018/2019/00015

Project: Construction of Alwa piped water system at Awa trading centre Pg 4 of AWP, budget code 312101

c) Kabe514/Wrks/2018/2019/00018

Construction of two classroom blocks at Oyama-Eolu P/S, Pg 4 of AWP, budget code- 228007

d) Kabe514/Wrks/2018/2019/00063

Project: Phase II construction for the district yard, Pg 18 of AWP, budget code- 312213

3	<p>Annual statistical abstract developed and applied</p> <p>Maximum 1 point on this performance measure</p>	<ul style="list-style-type: none"> Annual statistical abstract, with gender-disaggregated data has been compiled and presented to the TPC to support budget allocation and decision-making- maximum score 1. 	<p>The Annual Statistical Abstract was discussed during a TPC meeting held on:2nd/10/2019 under Minute number 03/TPC/02/2019. The abstract includes capital projects reflected in the district work plan</p>	1
4	<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that all infrastructure projects implemented by the LG in the previous FY were derived from the annual work plan and budget approved by the LG Council: score 2 	<p>AllInfrastructure projects implemented by the LG in the previous FY 2018/2019 were derived from the Annual Work Plan and Budget approved by the LG Council on 31st May 2019 under minute 29/KDO/COU/05/2018/2019. Some examples are provided below:</p> <p>Projects include: Page in AWP/ Budget Page</p> <p>4 Classroom block renovation at Kalaki P/S 157 22</p> <p>4 Classroom block renovation at Otuboi P/S 55 22</p> <p>4 Classroom block renovation at KobulubuluP/S 55 21</p> <p>2 OPD block renovation at Outlet HC II 55 22</p> <p>Completion of staff house at Ochero HC III 86 6</p> <p>Construction of placenta pit at Kakure HC III 86 6</p> <p>Completion of Ochero S/C HQs 86 6</p> <p>Bululu HC III maternity ward renovation 86 6</p>	2
4	<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the investment projects implemented in the previous FY were completed as per work plan by end for FY. o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	<p>All the 26 investment projects in the approved AWP for FY 2018/19 were completed. This was 100% completion rate. Examples of such projects were</p> <p>Implemented /Completed projects Completed as per work plan (YES/NO)</p> <p>1 4 Classroom block renovation at Kalaki P/S Yes</p> <p>2 Completion of staff house at Ochero HC III Yes</p> <p>3 Construction of placenta pit at Kakure HC III Yes</p> <p>4 2 OPD block renovation at Outlet HC II Yes</p>	4

5	<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p>	<ul style="list-style-type: none"> Evidence that all investment projects in the previous FY were completed within approved budget – Max. 15% plus or minus of original budget: score 2 	<p>The assessment team sampled 4 capital projects and compared the budgeted amount against actual expenditure as shown below:</p> <p>Implemented /Completed projects Budget Actual Expenditure as at 30th June 2019</p> <p>1 Rehabilitation of classroom blocks in Anyara sub county 75,996,130 shs 75,996,130 shs</p> <p>2 Rehabilitation of walk ways at Kalaki HC III in Kalaki sub county 12,000,000 shs 12,000,000 shs</p> <p>3 Rehabilitation of a 2 classroom block at okile p/s in kobulubulu 44,936,170 shs 44,936,170 shs</p> <p>4 Rehabilitation of (fishing, de-silting, recasting, and general overhaul) 41,454,580 shs 41,454,580 shs</p> <p>Total 174,386,880/ 174,386,880/</p>	2	
<p>Maximum 4 points on this Performance Measure.</p>	5	<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p>	<ul style="list-style-type: none"> Evidence that the LG has budgeted and spent at least 80% of the O&M budget for infrastructure in the previous FY: score 2 	<p>The O&M budget and expense for Kaberamaido DLG was below 80% as shown below:</p> <p>Asset /project</p> <p>O&M Budget</p> <p>Actual Expenditure</p> <p>Cleaning, sanitation, Allowance; casual & Temporary 28,800,000 30,000,000</p> <p>Works-civil 6,200,000 13,112,000</p> <p>Advertising & Publication 4,800,000 6,500,000</p> <p>Fuel, Lubrication and oil 8,500,000 15,250,000</p> <p>Maintenance of vehicles 10,100,000 10,100,000</p> <p>Total 58,400,000 75,232,000</p> <p>Budget for O&M during FY 2018/19 was 58,400,000/</p> <p>Actual expenditure was 75,232,000/.</p> <p>77% of the O&M Budget was spent</p>	0
<p>Maximum 4 points on this Performance Measure.</p>					

Human Resource Management

LG has substantively recruited and appraised all Heads of Departments

Maximum 5 points on this Performance Measure

- Evidence that the LG has filled all HoDs positions substantively: score 3

The staff structure and staff list for the FY 2019/2020 showed an approved number of positions for HODs to be 9.

Out of the 9, those who were substantively filled were 4. Four (4) HOD positions were serving in acting capacity. One HOD positions had no one care taking the offices at the time of assessment. These are ;

Heads of departments substantively appointed

- District Education Officer Elyebu Richard CR / T/10429 , appointed on 17/6/2019

- District Community Development officer, Mr Odelo Nelson appointed 16/6/2015

Finance department. Ojur Francis CR / T/D/10262 appointed on 8/10/2008.

- District production officer , Mr Chakwe Wilfred CR/D/10485 a ppointed on 20/3/2017

HODs in acting capacity

- District Health Officer, Dr Odong James CR /D/10252, appointed on 22/3/18-Acting

District Natural Resource officer , Mr Magambo Mathias , CR/D/10422 , appointed on 20/4/2019

Procurement Officer, Ejup Michael, CR/D/10135, date of appointment 21st June 2019

- District planner Ms, Sammy Patricia , CR/D/10511, date of appointment 30th May 2019

Principle Internal Auditor there was no internal audit head of department

6	<p>LG has substantively recruited and appraised all Heads of Departments</p>	<ul style="list-style-type: none"> Evidence that HoDs have been appraised as per guidelines issued by MoPS during the previous FY: score 2 	<p>Only one head of department was appraised during the previous FY, 2018/ 2019 as per the guidelines ; out of the [9] HOD</p> <p>District Chief Financial Officer -Mr Ojur Francis CR/T/PF/10262 , was appraised on 30/06 /2019</p> <p>District production officer , Mr Chakwe Wilfred CR/D/10485 a ppointed on 20/3/2017</p> <p>HODs in acting capacity</p> <p>District Health Officer, Dr Odong James CR /D/10252, appointed on 22/3/18-Acting</p> <p>District Natural Resource officer , Mr Magambo Mathias , CR/D/10422 , appointed on 20/4/2019</p> <p>Procurement Officer, Ejup Michael, CR/D/10135, date of appointment 21st June 2019</p> <p>District planner Ms, Sammy Patricia , CR/D/10511, date of appointment 30th May 2019</p> <p>Principle Internal Auditor there was no internal audit head of department</p>	0	
<p>Maximum 5 points on this Performance Measure</p>	7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p>	<ul style="list-style-type: none"> Evidence that 100 % of staff submitted for recruitment have been considered: score 2 	<p>There was evidence that 34 staff submitted by the CAO on 10/9/2019 were considered by DSC under minute number 27/2019 {d} and were appointed on 7th/10/2019 and positions included ;</p> <ul style="list-style-type: none"> CDO 2 positions, Senior education officer 5 positions Education assistant II, 9 positions, Education officers 1position Assistant Nursing Officer 1, Works 01 , Deputy head teacher 02, Office assistant 02, Head teacher 02, parish chief 01 , Head teacher 01 , Deputy head of schools 5 Veterinary officer 2 	2
<p>Maximum 4 points on this Performance Measure.</p>					

7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for confirmation have been considered: score 1 	<p>The positions of office attendant was submitted for confirmation by the office of the CAO on 04 /10/2019 and accordingly considered by the DSC in a meeting dated 4/10/2019, DSC Min , 27/2019[f] ;</p>	1
	<p>Maximum 4 points on this Performance Measure.</p>			
7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for disciplinary actions have been considered: score 1 	<p>One case for disciplinary action of absconding duty was considered for the FY 2018/2019</p> <p>The case was submitted under CAO s reference letter Ref CR/157/1 to the DSC on 30/9/19. It was for dismissal of Agwang Helen whose case was considered by the DSC under Min No DSC 22 [vii] 2018.</p>	1
	<p>Maximum 4 points on this Performance Measure.</p>			
8	<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p>	<ul style="list-style-type: none"> • Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment: score 3 	<p>Kaberamaido LG recruited three staff under DSC Min 12/ 2019 for the previous 2018/2019 FY and all the 3 accessed pay roll with in two month. These were:</p> <p>Abua Mary record officer ,CR/D/10508 on IPPPS 143495, Ikeo Summary Patricia district planer CR/D/10511 lpps 1043451,;</p> <p>3, Edyeru Haggai information and technology, CR/D/10512 IPPPS 1043469</p>	3
	<p>Maximum 5 points on this Performance Measure.</p>			

8	<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100% of the staff that retired during the previous FY have accessed the pension payroll not later than two months after retirement: score 2 	<p>Kaberemaido LG had 2 retired officers for the previous FY; all of them accessed the pension pay roll with in the last two month. 2018/2019 For example ;</p> <p>1, Ongada Florence pension file number KABER/P/0120 , IPPPS 145780, a senior inspector of schools retired on 13/3/2019 it was submitted to MOPs on 21 /2.2019 and accessed pension rollon 13/4.2019,</p> <p>2, Edongu John Robert pension file number KABER/P/0027 IPPs 748815, Examiner of accounts retired on 2/2/2019 and it was submitted to MOPs 15/2/2019 and accessed pension on 15/6/2019 this was more than the required 2 months which penalises the LG.</p>	0
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Revenue Mobilization

9	<p>The LG has increased LG own source revenues in the last financial year compared to the one before the previous financial year (last FY year but one)</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • If increase in OSR (excluding one/off, e.g. sale of assets) from previous FY but one to previous FY is more than 10 %: score 4. • If the increase is from 5% - 10 %: score 2. • If the increase is less than 5 %: score 0. 	<p>Total of OSR for FY 2017/2018 Shs133,702,751 9 (OSR as per audited Accounts shs.203,502,151 Less sale of LG Assets shs. 69,799,400 as noted on page 30 of the audited financial statement)</p> <p>Total of OSR for FY 2018/2019 Shs 138,668,931 (On page 8 of the Statement of Financial Performance for FY 2018/19 as endorsed by the CFO on 12th August, 2019)</p> <p>Increase of Shs4, 966,180/=.</p> <p>Percentage 3.7%.</p> <p>A percentage increase of 3.7% was less than the minimum of 5%.</p>	0
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10	<p>LG has collected local revenues as per budget (collection ratio)</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realisation) is within +/- 10 %: then score 2. If more than +/- 10 %: Score 0. 	<p>Total Local Revenue Planned/Budgeted (Original not Revised Budget) for FY 2018/2019 Shs. 281,341,631</p> <p>Total Local Revenue collected during FY 2018/2019 Shs.138,668,931 (as noted on Page 14 of the draft financial statement for the period under review)</p> <p>Performance 49.2%</p>	0
<p>Poor performance was attributed to the following:</p>				
<p>i) The original budget included proposed sale of council assets at estimated shs.23,717,000 which did not materialise.</p>				
<p>ii) Lack of revenue collectors on ground. The DLG had just recruited 21 Parish chiefs who were yet to be trained in the job of revenue collection among others.</p>				
<p>iii) The ban on fishing activities on the Lake Kioga adversely affected revenue generation from this source.</p>				
<p>There was drastic drop in agricultural produces which also resulted into low revenue in form of taxes from this source</p>				
11	<p>Local revenue administration, allocation and transparency</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2 	<p>Local Revenue collections subjected to sharing with LLGs was Shs. 56,025,000 being Local Service Tax generated by the District as per draft annual financial statements for FY 2018/19.</p> <p>Amount of local revenue remitted to LLGs Shs. 29,201,250 made in two instalments as per Requisition Forms dated 6/12/2018 and 20/09/2019 respectively endorsed by HoF and CAO.</p> <p>Status of compliance was therefore 52.1% transfer contrary to the minimum 65% requirement per LGA Cap 243 as amended Section 85 (4).</p>	0

11	<p>Local revenue administration, allocation and transparency</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the total Council expenditures on allowances and emoluments- (including from all sources) is not higher than 20% of the OSR collected in the previous FY: score 2 	<p>Total expenditure on council allowances and emoluments during FY 2018/2019 was Shs. 83,111,000 as per the 22 PVs availed to the Assessment Team.</p> <p>OSR from all sources for FY 2017/18 was shs.203,507,151 as noted on page 6 of the Audited Financial Statements for FY 2017/18</p> <p>Percentage 40.8%.</p> <p>There was no evidence adduced that the LG sought permission from the Minister responsible for Local Government to spend more than 20% of the OSR for previous FY but one on Councilors' allowances and emoluments</p>	0
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Procurement and contract management

12	<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the District has the position of a Senior Procurement Officer and Procurement Officer (if Municipal: Procurement Officer and Assistant Procurement Officer) substantively filled: score 2 	<p>The district had a position of Senior Procurement officer however it was not substantively filled. The position had been prioritised for recruitment under the approved recruitment plan for the district in FY 2019/2020. The Position of Procurement Officer was not substantively filled either, therefore the LG scored zero (0).</p>	0
12	<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the TEC produced and submitted reports to the Contracts Committee for the previous FY: score 1 	<p>Reports of the Evaluation Committee were submitted to the Contracts Committee during FY 2018/2019 on the following dates</p> <p>25th September 2018</p> <p>19 February 2019</p>	1

12	<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the Contracts Committee considered recommendations of the TEC and provide justifications for any deviations from those recommendations: score 1 	<p>The Contracts Committee considered recommendations of the EC</p> <p>There were no deviations between EC recommendations contracts committee considerations</p> <p>Example, the evaluation committee that sat on 25th September 2018 recommended canpwoyoni construction ltd for contract award and the contracts committee awarded the contract on 16th October 2018</p>	1
13	<p>The LG has a comprehensive Procurement and Disposal Plan covering infrastructure activities in the approved AWP and is followed.</p> <p>Maximum 2 points on this performance measure.</p>	<ul style="list-style-type: none"> • a) Evidence that the procurement and Disposal Plan for the current year covers all infrastructure projects in the approved annual work plan and budget and b) evidence that the LG has made procurements in previous FY as per plan (adherence to the procurement plan) for the previous FY: score 2 	<p>There was evidence that the District Procurement Plan for FY 2019/2020 covered all infrastructure projects in the approved work plan and budget.</p> <p>Some of the projects in the work plan for FY 2019/2020 which were linked to the procurement plan included;</p> <ul style="list-style-type: none"> i) Construction of 2 classroom bocks at Oyama-Eolu primary school ii) Rehabilitation of 4 classroom blocks with an office at Abata primary school in Kobulubulu sub county, Kaberamaido district. iii) Construction of a 2 classroom block with an office at Onyait primary school in Aperika sub county. iv) Construction of a 2 classroom block with an office at Kagaa primary school in Ochero sub county, Kaberamaido district. <p>All the above projects were seen by the assessment team on page 28 of the work plan and budget.</p> <p>The district procurement plan for FY 2018/2019 was approved by the accounting officer on 8th October 2018 some of the examples of the projects which were procured during the FY 2018/2019 include;</p> <ul style="list-style-type: none"> i) Rehabilitation of 4 classrooms with an office at Kaberpila primary school in Anyara sub county under open domestic bidding. ii) Construction of 5 stance drainable latrine in Murem primary school in Kobulubulu sub county under open domestic bidding. iii) Construction of 2 classroom blocks at Oyama-Eolu primary school in Alwa sub county under open domestic bidding. <p>All the above projects were included in the procurement plan for FY 2018/2019 which had no page number which was fully endorsed by the senior procurement officer and the CAO.</p>	2

14	<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p>	<ul style="list-style-type: none"> • For current FY, evidence that the LG has prepared 80% of the bid documents for all investment/infrastructure by August 30: score 2 	<p>For the FY 2019/2020 there was evidence that the LG had prepared 10 bid documents out of total procurement of 54 for investments/infrastructures giving 18.5% that is: $(10/54) \times 100 = 18.5\%$ which was below the required 80% The following were some of the sampled procurements whose bids had been prepared;</p> <p>i) Construction of an Administration Office Block at Kaberamaido Hospital, evaluated date 21st August 2019, Ref: KABE 514/wrks/2019/2020/0006</p> <p>ii) Construction of a classroom block at Onyait primary school Aperika Sub county, evaluated date 2nd August 2019, Ref: KABE 514/wrk/2019-2020/0002</p> <p>iii) Construction of a 2 on 1 staff house for doctors with in Kaberamaido Hospital, evaluated date 22nd August 2019 Ref: KABE 514/wrks/2019/2020/00007.</p>	0
14	<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p>	<ul style="list-style-type: none"> • For Previous FY, evidence that the LG has an updated contract register and has complete procurement activity files for all procurements: score 2 	<p>There was evidence that the LG had an updated contract register for FY2018/2019 which was last updated on 27th February, 2019 for low cost sealing of 1 km and stone pitching of 0.38km Kaberamaido-Kalaki road at a cost of Ugx.463,088,918 under open domestic bidding. Activity files were seen for a sampled procurement subject: Construction of a 2 Stance pit latrine with Urinals at Aperkia Health Center III at a contract value of UGX 18,000,000, procurement method was selective bidding, bid invitation date was 19th November 2018, Bid closing /Opening date was 30th November 2018, Evaluation Committee date was 11th December 2018, Award notification date was 13th December 2018, contract signing date was 2nd April 2019.</p>	2
	<p>Maximum 6 points on this performance measure.</p>			

14	<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p>	<ul style="list-style-type: none"> • For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects): score 2. 	<p>There was evidence that the LG has adhered with procurement thresholds in FY2018/19 according to the following sampled procurements;</p> <ul style="list-style-type: none"> i) Construction of 5 stance drainable latrine at Murem primary school in Kobulubulu sub county evaluated at 20,000,000 under selective bidding, published via public notice board. ii) Construction of 2 blocks of pit latrines with urinals/bathrooms at Aperkira Health Centre III for Kaberamaido district evaluated at 18,000,000 under selective bidding, published via public notice board. iii) Procurement of 100 pieces of improved KTB beehives for Entomology sector, evaluated at 11,480,000 under selective bidding, published via public notice board. iv) Procurement of medical equipment of Kalaki Health Centre III in theatre Ward evaluated at 12,000,000 under selective bidding, published via public notice board. 	2	
<p>Maximum 6 points on this performance measure.</p>	15	<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all works projects implemented in the previous FY were appropriately certified – interim and completion certificates for all projects based on technical supervision: score 2 	<p>There was evidence all works projects implemented in the previous FY were appropriately certified – interim and completion certificates for example;</p> <ul style="list-style-type: none"> i) Construction of Phase II for the District Yard. The Contractor requested for payment on 12th October 2018 and the District Engineer forwarded the request on the same date. On 16th October 2018, IPC 1 was issued with progress report attached. <p>On 30th November 2018 second request of payment came in from the contractor and was forwarded on 10th December 2018. IPC 2 was issued with amount: 169,505,491 on payment voucher no. 20811413.</p> <p>On 20th March 2019, the third request came in and was forwarded by the district engineer on 27th March 2019. On 2nd April 2019, payment of amount Ugx12, 662,776 on voucher no. 22662938 was made and on 27th arch 2019, Completion certificate was issued with amount Ugx166, 617,475. A progress report and measurement sheet were attached.</p> <ul style="list-style-type: none"> ii) Siting and drilling of (10) boreholes in Kaberamaido LG contracted by Multec Consults (U) Ltd at a cost of Ugx196,077,082. The IPC 1 amounting to Ugx 117,466,169 was issued on 11th October 2018 including the completion report and the final inspection report on 27th February 2019. However no completion certificate was seen. iii) Rehabilitation of Boreholes by contractor Mastak. The IPC was issued on 4th February 2019 and final inspection report on 27th February 2019. 	2

15	<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all works projects for the current FY are clearly labelled (site boards) indicating: the name of the project, contract value, the contractor; source of funding and expected duration: score 2 	<p>There was no evidence observed that all works projects for the current FY were clearly labelled. Therefore the LG scored (0)</p> <p>Projects inspected included;</p> <ul style="list-style-type: none"> • Construction of phase II for the District yard. • Construction of Water Supply System at Alwa. 	0
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Financial management

16	<p>The LG makes monthly and up to-date bank reconciliations</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG makes monthly bank reconciliations and are up to-date at the time of the assessment: score 4 	<p>The District LG operated a Computerised System for bank reconciliations. The General Ledger Reconciliation Summary produced and printed out by Council and endorsed by the CFO indicated successful reconciliations as at 31st July, 2019.</p> <p>However, for the months of August and September, 2019 part of the current FY the print out indicated unreconciled receipt of shs.30,000 which the CFO attributed to the MoFPED. He explained that they were in the process of reconciling this small figure with that Ministry.</p>	4
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17	<p>The LG made timely payment of suppliers during the previous FY</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • If the LG makes timely payment of suppliers during the previous FY – no overdue bills (e.g. procurement bills) of over 2 months: score 2. 	<p>Although the District lacked a creditors' register, sampled three transactions from the Health and Education sectors indicated timely payment of suppliers of goods and services. As noted from the examples below:</p> <p>Health sector:</p> <p>M/s M-Big Consultancy (U) Ltd requisition for construction of Walk-Ways at Kalaki HC III in Kalaki S/C for shs.10,820,339 was made on 8th February, 2019 and was paid on 28th February, 2019 against payment voucher No. 22120182 within a period of 14 days only.</p> <p>Education Sector:</p> <p>M/s Kakise Holdings Ltd requisition for construction of Kakure Seed Secondary School in Kakure S/C for shs.329,021,755 was made on 17th June, 2019 and paid on 8th July, 2019 against PV No. 24219505 that within a period of 21 days only.</p> <p>M/s Engonia Two Builders for rehabilitation of a classroom Block at Okille P/S in Kabulubulu S/C for shs.2,132,564 was made on 11th June, 2019 and paid on 8th July, 2019 on payment voucher No. 24294911 i.e within 27 days on receipt of the requisition form the service provider.</p>	2
18	<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG has a substantive Senior Internal Auditor: 1 point. • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>At the time of the assessment the DLG had just appointed an Internal Auditor on promotion, a one, Mr Ekatu Quirino vide a letter ref. DR/156/2 dated 16th October, 2019. He replaced Mr Ekutu Max (was also designated Internal Auditor) who had just transferred his services to a newly carved off District of Kalaki DLG as Ag. CFO.</p> <p>In the circumstance, Kaberamaido District LG did not have a substantive Principal Internal Auditor.</p>	0

The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations

Maximum 6 points on this performance measure.

• LG has produced all quarterly internal audit reports for the previous FY: score 2.

Quarterly Internal Audit Reports for FY 2018/2019:

Quarter	Date of report	Reference
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Quarter 1	30th October, 2018	Unreferenced
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Quarter 2	31st January, 2019	-do-
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Quarter 3	30th April, 2019	-do-
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Quarter 4	Not produced	
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The reports were submitted to Council through the Honourable District Speaker and copied to Chairman of the District, RDC, LG PAC and CAO.

However, it was confirmed by the former Internal Auditor (had been called in for this exercise) who was in-charge of the department that the Fourth Quarterly Audit Report was not produced since he was in transit to his new station of the newly carved off Kalaki DLG

The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations

Maximum 6 points on this performance measure.

Evidence that the LG has provided information to the Council and LG PAC on the status of implementation of internal audit findings for the previous financial year i.e. follow up on audit queries from all quarterly audit reports: score 2.

Information to Council & LG PAC on Internal Audit Queries raised during FY 2018/2019:

Nature and total number of queries raised	Nature and total number of queries cleared	Nature and total number of queries pending
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50*	Nil	Nil
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Quarter 1	14 queries were raised	
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Quarter 2	18 queries were raised	
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Quarter 3	18 queries were raised	
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Quarter 4	Report was not produced	
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Even with the three quarterly reports produced by the Internal Auditor of the DLG, there was no evidence that the LG provided information to Council and PAC on the status of the implementation of internal audit findings for the previous FY 2018/19.

The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations

Maximum 6 points on this performance measure.

• Evidence that internal audit reports for the previous FY were submitted to LG Accounting Officer, LG PAC and LG PAC has reviewed them and followed-up: score 1.

Action by the Accounting Officer, LG PAC on Internal Audit Queries raised during FY 2018/2019:

Quarter	Date of submission	Reference for report review
Quarter 1	30th October, 2018	Not referenced
Quarter 2	31st January, 2019	Not referenced
Quarter 3	30th April, 2019	Not referenced
Quarter 4	Not submitted	

Even with the three quarterly reports produced and submitted, there was no authentic evidence that the reports were reviewed by LG PAC. The Minutes of PAC meeting held on 10th October, 2019 which handled 1st Quarter Report were still in draft form and were hand written in a counter book without the signatures of the Chairperson and the Secretary of the Committee.

The LG maintains a detailed and updated assets register
Maximum 4 points on this performance measure.

• Evidence that the LG maintains an up- dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual: score 4

The LG operated IFMS to maintain its asset registers. The system had windows for Land, Transport Equipment, Office Equipment, Medical Equipment, Machinery, Furniture and Fittings, Buildings and ITC Equipment,

The registers were up-dated up-to end of previous FY 2018/19. For example Transport Equipment which included Tipper Lorry, Grader, Motor Grader, Wheel Loader, Dump Trucks, Water Bowser, and Vibro-roller all acquired new and running on 20th February, 2019 were entered accordingly. An example for Land register was printed out for review by the Assessment Team and indicated the following: Asset Description, Address, Asset Additional Information (including Title Deed No., Plot Type, Date of purchase, purpose), Cost and Location Details.

The features more or less resembled those in the Local Government Accounting Manual, 2007

The LG has obtained an unqualified or qualified Audit opinion

Maximum 4 points on this performance measure

Quality of Annual financial statement from previous FY:

- Unqualified audit opinion: score 4
- Qualified: score 2
- Adverse/disclaimer: score 0

The Auditor General's Opinion on the Financial statements of Kaberamaido DLG for the Financial Year ended 30th June, 2019 was Unqualified.

Governance, oversight, transparency and accountability

The LG Council meets and discusses service delivery related issues

Maximum 2 points on this performance measure

- Evidence that the Council meets and discusses service delivery related issues including TPC reports, monitoring reports, performance assessment results and LG PAC reports for last FY: score 2

The LG Council met and discussed service delivery related issues as provided in the minutes below:

Quarter 1: Meeting held on 25th -10-2018 and discussed under Minute no.4/KD0/COU/10/2018/2019 review & Approval of work plans for health

Quarter 2:

Meeting held on. 21-12-2018 and discussed under Minute no MIN 11/KDO/COU/12/2018/2019 the following: FAL, AGMs in schools, LCs and Clan Leaders, religious leaders on family planning

Quarter 3:

Meeting held on 13-03-2019 and discussed under Minute no MIN 5/KDO/COU/03/2018 the following:

Ferry under water transport Hatchery for fish viable projects on livelihood

Quarter 4:

Meeting held on 1st/04/2019 and discussed under Minute MIN 5/KDO/COU/04/2018.

Draft FY 2019/2020 Work plans and budgets

However, Quarter 4 council report was only available in soft copy but not been approved nor printed by the time of visit to the local

22	<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that LG has designated a person to coordinate response to feed-back (grievance/complaints) and responded to feedback and complaints: score 1. 	<p>Name of designated person OGWERE SIMON</p> <p>Date of designation. 21ST -01-2019</p> <p>Reference. CR/D/161/4</p> <p>Client in the names of Oseng Peter Submitted a complaint of Non-payment of SAGE as it appears on file of Grievances and complaints Ref CR/502/1</p> <p>The complaint was responded to and there is evidence that he was paid on Account no 1180035018894 under Beneficiary serial number No. 202106</p> <p>There is evidence that Kevin Aluga of Kaburepoli Village was compensated in reference to file; 9/1/2018 on 28/1/2019</p>	1
22	<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • The LG has specified a system for recording, investigating and responding to grievances, which should be displayed at LG offices and made publically available: score 1 	<p>There was no evidence that the district had a specified system for recording, investigating and responding to grievances, which should be displayed at LG offices and made publically available</p>	0
23	<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>Evidence that the LG has published:</p> <ul style="list-style-type: none"> • The LG Payroll and Pensioner Schedule on public notice boards and other means: score 2 	<p>The list availed was short of pensioners and there was no information on the notice board ,</p>	0

<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>• Evidence that the procurement plan and awarded contracts and amounts are published: score 1.</p>	<p>Availed and reviewed</p> <p>There were 65 contracts awarded</p> <p>In the FY 2018/19 by the time of assessment</p> <p>Sample of contracts awarded during the assessment</p> <p>Procurement Reference Number :</p> <p>Kabe514/Wrks/2018/2019/00001</p> <p>Construction of Two(2) Classroom block at Opiro-Olelai primary school in Aperkira</p> <p>Date of contract Award:</p> <p>14/8/2018-CC/MIN/01/05/14/2018/2018/2019-5(15)</p> <p>Total Contract Price: UGX 58,002,500-SFG/DDEG</p> <p>Ref number:</p> <p>Kabe514/Splrs/2018/2019/0010</p> <p>construction of classroom blocks at Kiryamet primary school in Kalaki Sub county in Kaberamaido District</p> <p>Date of contract: 14/8/2018-CC/MIN/01/05/08/2018/2018/2019(10)</p> <p>Total contract price :UGX 64,685,122(VAT inclusive) -DDEG Pg 3</p> <p>REF NO:Kabe514/srvcs/2018/2019/00002</p> <p>CONSTRUCTION OF Two classroom block at Oyama-Eolu primary school in Alwa sub county</p> <p>Date of contract award</p> <p>14/8/2018-CC/MIN/01/05/14/08/2018/2019-5(2)</p> <p>Total Contract Price: UGX 60,000,000 SFG/DDEG</p>
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<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>• Evidence that the LG performance assessment results and implications are published e.g. on the budget website for the previous year (from budget requirements): score 1.</p>	<p>There was no evidence that the LG performance assessment results had been publicised in any way at the district. The evidence was neither found on any district noticeboard nor did the district have a website</p>
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24	The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens	• Evidence that the HLG have communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY: score 1	There was no evidence that the HLG disseminated guidelines received guidelines issued by the national level to lower local government. For instance, Kaberamido DLG received new DDEG guidelines in September 2018 in a circular for all DDEG programmers from the ministry of Local government. Evidence that the guidelines had been communicated to the LLGs could not be availed	0
	Maximum 2 points on this performance measure			
24	The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens	• Evidence that LG during the previous FY conducted discussions (e.g. municipal urban fora, barazas, radio programmes etc.) with the public to provide feed-back on status of activity implementation: score 1.	The LG during previous FY conducted discussions with the public to provide feed-back on status of activity implementation For example: Presentations and lectures to farmers was prioritised to train farmers on PHH(Post Harvest Handling) with assistance from Extension workers of sub county Aperika. One of the training reports (conducted by production officer) highlighted the need for farmers to construct granaries so as to increase food security. The report was dated 14th June 2019. The RDC has airtime every Wednesday at Dwanwa FM 7-8pm. The last radio talk show was held on June 28th where drug theft complaints in the district were discussed.	1
	Maximum 2 points on this performance measure			

Social and environmental safeguards

25	The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles	• Evidence that the LG gender focal person and CDO have provided guidance and support to sector departments to mainstream gender, vulnerability and inclusion into their activities score 2.	The GFP Mr. Ejotu Rodgers and CDO Mr. Nelson Odela provided guidance and supported various departments of the LG to mainstream Gender evidenced by; Report on Training on Gender policies including notes on guidance produced in May 2019 signed by Atikoro Joseph. District approved Work Plan for FY2018/2019. Minutes of District Technical Planning Committee held on 12th February 2019. Progress Reports 2018/2019 for 1st Quarter, 2nd Quarter, 3rd Quarter and 4th Quarter.	2
	Maximum 4 points on this performance measure.			

The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles

Maximum 4 points on this performance measure.

• Evidence that the gender focal point and CDO have planned for minimum 2 activities for current FY to strengthen women's roles and address vulnerability and social inclusions and that more than 90 % of previous year's budget for gender activities/ vulnerability/ social inclusion has been implemented: score 2.

The GFP planned activities for the FY 2019/2020 to strengthen Women roles as evidenced by planned activities; Facilitation of the District Women Council, Assistant Executive Secretary and Executive Committee mobilization and coordination of women programmes at a budget of Ugx. 572,536 seen in the Work Plan. Mentoring of Lower Local Governments on GBV laws, policies and Regulations (Identification and mobilization of participants, Identification of resource persons, preparation of training materials, training of LLG Stakeholders, preparation of training Reports) budgeted at 500,000.

Mobilization and coordination of Women Council programmes by LLGs Women's Councils, Assistant Executive Secretary and Executive Committees.

In the previous FY 2018/2019, the District had planned, budgeted and implemented Gender related activities at a cost of Ugx 1,000,000 as indicated below;

i) Sensitization of Women group Leaders on GBV policies and Regulations at Kaberamaido district. Payment Voucher No. 23092615 at 250,000

ii) Sensitization of Women group Leaders on GBV policies and Regulations in Aperika Voucher No. 19315477 at 250,000

iii) Sensitization of Women group Leaders in Bulubulu Sub County Voucher No. 21638271 at 250,000

iv) Training of GBV Stakeholders on GBV and policies in Otuboi Sub county. Requisition form dated 11th December 2018 at 250,000

which was (100%) implementation and therefore way above the 90% threshold.

LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition

Maximum 6 points on this performance measure

• Evidence that environmental screening or EIA where appropriate, are carried out for activities, projects and plans and mitigation measures are planned and budgeted for: score 1

The District carried out screening activities and had evidence of screening reports and checklists for some of the sampled projects as indicated below;

i) Construction of 2 Classroom Blocks at Kiryamet Primary School located at Abola Village Kamuala Parish, Kalaki Sub County. Screening Report dated 28th August 2018 and Checklist was seen on file.

ii) Construction of a 2 Classroom Block in Oyama Eolu Primary School located in Kedu Village Cell Palatau Parish. Screening Report dated 26th November 2018 was seen.

iii) Upgrading of walkway at Kalaki Health Centre III in Kalaki Sub County to concrete slab. The Screening was done during the initial works for construction of the Health Centre III with mitigation measures and plans budgeted for.

iv) Construction of five stance drainable latrine at Murem Primary School in Kobulubulu sub county.

LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition

Maximum 6 points on this performance measure

• Evidence that the LG integrates environmental and social management and health and safety plans in the contract bid documents: score 1

The District had integrated Environmental and Social Management concerns in the contract bid documents as evidenced by the sampled projects below;

i) Contract bid document from Grassland Business Contractors for prequalification for construction of 2 Classroom blocks at Oyama Eolu primary school for FY 2018/2019. Ref. KABE514/Srvcs/2018-2019/00002 dated 14th August 2018. Page 101. BoQ item No. 20 (F) Allow provisional sum for tree planting as agreed by the environment officer and the school at UGX 100,000. BoQ item No.1 (G) Allow provisional sum for impact assessment activity at UGX 150,000.

ii) Construction of a 2 classroom block at Kiryamet primary school Ref: KABE514/Splrs/2018/2019/00010 dated 14th August 2018. Page 28. BoQ item No. 20 (F) Allow provision sum for tree planting as agreed by the Environment Officer and School at UGX 100,000. BoQ item No. 1 (G) Allow provisional sum for impact assessment activity at UGX 150,000.

26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p>	<ul style="list-style-type: none"> • Evidence that all projects are implemented on land where the LG has proof of ownership (e.g. a land title, agreement etc.): score 1 	<p>At the time of assessment, the LG had no evidence of land titles. Validation of the land titles on which projects were implemented for FY 2018/2019 was still ongoing. However, from the registry of Titles, from the environment office, there was evidence that the titles were being processed . For example: Oyama-Eolu P/S title had file name KLB/15/092, name of applicant: Otyama Eluk Primary School, location of LandKeolulu Villag. The projects were as follows:</p> <p>i) Kiryamet primary school submitted a file to the District Land Office for the processing of land title seen in the district land register 2011-2017 submission date 3rd May 2012, file no. KLB/12049 for land located at Abola village.</p> <p>ii) Oyama-Eolu primary school made submission on 22nd July 2015 on file No. KLB/15/092 the District Land Office for processing of a land title.</p>	0
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO: score 1 	<p>At the time of assessment there was no evidence of all completed projects with Environmental and Social Mitigation Certification Form completed and signed by the Environmental Officer.</p>	0
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the contract payment certificated includes prior environmental and social clearance (new one): Score 1 	<p>At the time of assessment there was no evidence of the contract payment certificated including prior environment and social clearance.</p>	0

LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition

Maximum 6 points on this performance measure

- Evidence that environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. Score: 1

Two Quarterly Reports were presented to the assessor which were on Monitoring Environmental Compliance on development projects that were sampled for FY 2018/2019 dated 1st Quarter Report dated 11th September 2018 and 2nd Quarter. Report dated 13th November 2018. There was no evidence of deviations observed

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management				
1	<p>The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has budgeted for a Head Teacher and minimum of 7 teachers per school (or minimum a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>All the 94 Primary Schools had a head teacher and 7 teachers. However, 24 were Caretaker Head teachers while 70 were substantive Head teachers. (Evidence seen on staff lists)</p>	4
1	<p>The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has deployed a Head Teacher and minimum of 7 teachers per school (or minimum of a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>Deployment had been done with a Head teacher and 7 teachers per school. The evidence was on the deployment list seen by the Assessor.</p>	4
2	<p>LG has substantively recruited all primary school teachers where there is a wage bill provision</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has filled the structure for primary teachers with a wage bill provision <ul style="list-style-type: none"> If 100%: score 6 If 80 - 99%: score 3 If below 80%: score 0 	<p>The number of teachers expected to be employed was 1,334 but the wage available was for 856 teachers. This meant the wage bill only covered i.e. 64.1%. However, a Wage Bill analysis was conducted in January 2019 and found that there were 27 vacant positions for teachers and these were filled in May 2019 to make the total of 856 teachers that were budgeted for. Therefore the wage bill provision was 100%</p>	6
3	<p>LG has substantively recruited all positions of school inspectors as per staff structure, where there is a wage bill provision.</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has substantively filled all positions of school inspectors as per staff structure, where there is a wage bill provision: score 6 	<p>The 2 positions of Inspectors of Schools were filled according to the deployment list of the Inspectors seen by the Assessment Team.</p> <p>Details of Senior Inspector of Schools: Richard Elyebu, File Number: CR/T/10822 and Inspector of Schools: File Number: CR/D/10018</p>	6

4	<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • Primary Teachers: score 2 	<p>The Education department had submitted the recruitment plan to the HRM for the current year as indicated in the document entitled staffing position dated 17th September 2019 showing the name of the school, enrolment, staff on post, expected positions and the gaps/positions to be filled. The submission was further validated by the presence of Education department recruitment priorities for the approved district recruitment plan.</p>	2
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4	<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • School Inspectors: score 2 	<p>The Education department had submitted the recruitment plan to the HRM for the current year as indicated in the document entitled staffing position dated 17th September 2019 showing the name of the school, enrolment, staff on post, expected positions and the gaps/positions to be filled or School Inspectors.</p> <p>Reference: Recruitment plan for Kaberamaido district for FY 19/20, submission written by CAO on 27/9/2029 CR/156/1, submitted to PS Ministry of public Service and received on 28th/9/2019.</p>	2
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Monitoring and Inspection

5	<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p> <p>Maximum 6 for this performance measure</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • 100% school inspectors: score 3 	<p>The Inspectors of Schools and the Head Teachers of Kaberamaido LG were appraised as per the 2018 / 2019 FY. The sampled three Headteachers were:</p> <p>Alunga Shabani of Okapel Primary School RD/T/10136 appointed on 1/05 / 1989 and he was appraised on 281218 the DSC Minute is 11[II] 2010.</p> <p>Aguti Elizabeth of Adong Kweru Primary School CR /T/10072 Min. 36/2001, she was appraised on 21/12 18 she was appointed on 01 / 07/ 2011.</p> <p>Anyang Francis of KaburuKole Primary School CR/T/ 10162 MI 21{ii} 6015 {a} was appointed on 1/05/ 199. He was appraised on 13/12/18.</p>	3
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5	<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • Primary school head teachers 	<p>The Inspectors of Schools and the Head Teachers of Kaberamaido LG were appraised as per the 2018 / 2019 FY. The sampled three Head teachers were:</p>	3
	<p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> o 90 - 100%: score 3 o 70% and 89%: score 2 o Below 70%: score 0 	<p>AlungaShabani of Okapel Primary School RD/T/10136 appointed on 1/05 / 1989 and he was appraised on 281218 the DSC Minute is 11[II] 2010.</p>	
			<p>Aguti Elizabeth of AdongKweru Primary School CR /T/10072 Min. 36/2001, she was appraised on 21/12 18 she was appointed on 01 / 07/ 2011.</p>	
			<p>Anyang Francis of KaburuKole Primary School CR/T/ 10162 MI 21{ii} 6015 {a} was appointed on1/05/ 199. He was appraised on 13/12/18.</p>	
			<p>Therefore the score is $3/3 \times 100 = 100\%$</p>	
6	<p>The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has communicated all guidelines, policies, circulars issued by the national level in the previous FY to schools: score 1 	<p>There was evidence of written communication on Planning, Budgeting and Implementation Guidelines for Local Government: Education Sector sent to schools as per File Named: Central Government circulars: EDU/201/1 seen and noted as communication disseminated. The unreferenced communication from the DEO was dated 15/4/2019.</p>	1
	<p>Maximum 3 for this performance measure</p>			
6	<p>The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has held meetings with primary school head teachers and among others explained and sensitised on the guidelines, policies, circulars issued by the national level: score 2 	<p>Meetings were held according to Minutes of a meeting dated 23/10/2018 on Guidelines for Environmental and Social Mainstreaming in Schools. The Assessment Team obtained evidence of an attendance list signed by the Head teachers dated 23/10/2018.</p>	2
	<p>Maximum 3 for this performance measure</p>			

The LG Education Department has effectively inspected all registered primary schools²

Maximum 12 for this performance measure

• Evidence that all licenced or registered schools have been inspected at least once per term and reports produced:

- o 100% - score 12
- o 90 to 99% - score 10
- o 80 to 89% - score 8
- o 70 to 79% - score 6
- o 60 to 69% - score 3
- o 50 to 59 % score 1
- o Below 50% score 0.

The three sampled schools namely, Kaberamaido P/S, Alem Primary School and Achilo Corner Primary were inspected at least once in the period speculated above. Inspection reports seen dated 24/10/2018, 12/3/2019 and 21/11/2018 respectively. The assessment team also examined the School visitor's book and confirmed that the Inspectors of Schools had signed in it on the dates of the inspection.

Therefore $3/3 \times 100 = 100\%$

LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations

Maximum 10 for this performance measure

• Evidence that the Education department has discussed school inspection reports and used reports to make recommendations for corrective actions during the previous FY: score 4

The three sampled schools namely: 1. Kaberamaido P/S: Inspection reports were discussed and action taken as per Minute 8 of SMC meeting dated 24/10/2018 on the acquisition and registration of school land on Plot 32-62, Kangai Road was processed as recommended in the inspection report.

2. Alem Primary School:

An Inspection report dated 12/3/2019 recommended that one of the school buildings should be roofed. Action was taken on 18/3/2019 and one of the rooms was roofed.

Achilo Corner Primary:

In an Inspection report dated 21/11/2018, it was recommended that the review of the children's performance be conducted and action was taken by the School Management Committee and PTA.

8	<p>LG Education department has discussed the results/ reports of school inspec- tions, used them to make recommendations for corrective actions and fol- lowed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has submitted school inspection reports to the Directorate of Education Standards (DES) in the Ministry of Education and Sports (MoES): Score 2 	<p>School Inspection reports were submitted to the MoES according to a report seen dated 13/3/2019 and received on 10/06/19 by the Ministry of Education and Sports seen and acknowledged with a note dated 10/6/2019.</p>	2
8	<p>LG Education department has discussed the results/ reports of school inspec- tions, used them to make recommendations for corrective actions and fol- lowed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the inspection recommendations are followed- up: score 4. 	<p>A meeting for corrective action was held on 24/10/2018 to address issues raised in the Inspection report dated 8/8/2018.</p>	4
9	<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has submitted accurate/consistent data: <ul style="list-style-type: none"> o List of schools which are consistent with both EMIS reports and PBS: score 5 	<p>LG had submitted accurate/consistent data of 94 schools which were consistent with both EMIS reports and PBS as dated on 12/3/2018 to the relevant authorities.</p>	5

9	<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<p>Evidence that the LG has submitted- ted accurate/consistent data:</p> <ul style="list-style-type: none"> • Enrolment data for all schools which is consistent with EMIS report and PBS: score 5 	<p>LG had submitted accurate/consistent enrolment data with PBS dated 12/3/2018</p> <p>For example:</p> <ol style="list-style-type: none"> 1.Alem P/S had 1,038 pupils 2.Achilo Corner P/S had 581 pupils 	5
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Governance, oversight, transparency and accountability

10	<p>The LG committee responsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the council committee responsible for education met and discussed service delivery issues including inspection, performance assessment results, LG PAC reports etc. during the previous FY: score 2 	<p>Council Committee responsible for education met</p> <p>On 13/6/2018 to discuss annual departmental performance report seen by the Consultant</p>	2
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10	<p>The LG committee responsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the education sector committee has presented issues that require approval to Council: score 2 	<p>The Annual Budget and Work plan 2018/2019 for education department was approved in a meeting dated 9/3/2018 under minute no 21/KDO/COU/03/2018.</p>	2
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11	<p>Primary schools in a LG have functional SMCs</p> <p>Maximum 5 for this performance measure</p>	<p>Evidence that all primary schools have functional SMCs (established, meetings held, discussions of budget and resource issues and submission of reports to DEO/ MEO)</p> <ul style="list-style-type: none"> • 100% schools: score 5 • 80 to 99% schools: score 3 • Below 80 % schools: score 0 	<p>The three sampled schools, namely, KaberamaidoP/S, Alem P/S and Achilo Corner P/S had SMC composed of 13 people with a minimum of 3 females. Achilo Corner P/S had 7 males and 6 females on the SMC which was exceptional.</p> <p>SMC Appointment letters were issued to run for 3 years as seen in one letter dated 9/3/2018.</p> <p>The three sampled schools, namely, KaberamaidoP/S, Alem P/S and Achilo Corner P/S had held the 3 mandatory meetings. For example:</p> <p>KaberamaidoP/S:</p> <p>First meeting on 20/2/2018, second on 2/10/2018 and third on 24/10/2018</p> <p>Alem P/S held SMC meetings on the following dates:</p> <p>First meeting on 28/9/2018, second on 13/2/2018 and third on 25/3/2019.</p> <p>Achilo Corner P/S held SMC meetings as follows:</p> <p>First meeting on 14/11/2018 and second on 1/3/2019 and third on 7/6/2019.</p> <p>reports from the 3 sampled schools were submitted on the corresponding dates of the SMC meetings held and submitted to DEO.</p> <p>The Assessment Team ascertained that the reports from the 3 sampled schools were submitted on the corresponding dates of the SMC meetings held and submitted to DEO as indicated above.</p> <p>Therefore the scoring was $3/3 \times 100 = 100\%$</p>	5
12	<p>The LG has publicised all schools receiving non- wage recurrent grants</p> <p>Maximum 3 for this performance measure</p>	<p>Evidence that the LG has publicised all schools receiving non-wage recurrent grants e.g. through posting on public notice boards: score 3</p>	<p>The assessment team verified the display of schools receiving non-wage recurrent grants on public notice board at the District Education Office noticeboard for 2018/2019 grants for the three quarters.. However, the date of publishing the list could not be established since the notice was not dated</p>	3

Procurement and contract management

13	<p>The LG Education department has submitted input into the LG procurement plan, complete with all technical requirements, to the Procurement Unit that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has submitted procurement input to Procurement Unit that covers all investment items in the approved Sector annual work plan and budget on time by April 30: score 4 	<p>The Sector procurement plan was submitted on time on 25/4/2019. The plan contained all investment items in the approved Sector plan and budget.</p>	4
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Financial management and reporting

14	<p>The LG Education department has certified and initiated payment for supplies on time</p> <p>Maximum 3 for this performance measure</p>	<p>Evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: score 3.</p>	<p>The education department certified and recommended suppliers as at 24/7/2019.</p> <ul style="list-style-type: none"> i) Construction of 2 classroom bocks at Oyama-Eolu primary school. Request made by contractor on 19th February 2019 and payment was effected on 10th March 2019 ii) Rehabilitation of 4 classroom blocks with an office at Abata primary school in Kobulubulu sub county, Kaberamaido district. Request made by contractor on 11th March 2019 and payment was effected on 20th March 2019 iii) Construction of a 2 classroom block with an office at Onyait primary school in Aperika sub county. Request made by contractor on 10/4/2019 and payment was effected on 18th April 2019. 	3
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The LG Education department has submitted annual reports (including all quarterly reports) in time to the Planning Unit

Maximum 4 for this performance measure

• Evidence that the department submitted the annual performance report for the previous FY (with availability of all four quarterly reports) to the Planner by 15th of July for consolidation:
score 4

Annual performance reports were submitted and endorsed by the CAO dated 22/8/2019.

Submission of quarterly reports to Planner during FY 2018/2019 was as follows:

This information was extracted from acknowledgment mails received by planner after submission of heads of departments

Quarter	Date of submission	Reference
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Quarter 1	12/12/2018	PBS
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Quarter 2	12/2/2019	PBS
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Quarter 3	21/5/2019	PBS
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Quarter 4	20/8/2019	PBS
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Submissions for quarter 4 report was beyond 15th July hence a score of 0.

LG Education has acted on Internal Audit recommendation (if any)

Maximum 4 for this performance measure

• Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year

o If sector has no audit query

score 4

o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year:
score 2

o If all queries are not responded-

ed to score 0

Action on queries raised by the Internal Auditor during FY 2017/2018:

Total number and nature of queries raised 0
Total number and nature of queries cleared 0
Total number and nature of queries pending 0.

No queries were raised by the Internal Audit for the education sector.

Social and environmental safeguards

17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG Education department in consultation with the gender focal person has disseminated guidelines on how senior women/men teachers should provide guidance to girls and boys to handle hygiene, reproductive health, life skills, etc.: Score 2 	<p>No evidence was found about the Guidelines on Gender Policy dissemination.</p>	0
17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that LG Education department in collaboration with gender department have issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools: score 2 	<p>No evidence was found on guidelines for how to manage sanitation for girls. However one of the schools sampled, namely, Alem Primary school had taken the initiative to conduct training under Guidance and Counselling for Primary 5 and Primary 6 on menstruation management, signs of menstruation and body change.</p>	0
17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the School Management Committee meets the guideline on gender composition: score 1 	<p>One of the three sampled schools, namely, Kaberamaido P/S had 13 members with 11 males and 2 females does not meet the guidelines on gender composition.</p> <p>Alem P/S had 13 members with 9 males and 4 females</p> <p>Achilo Corner P/S 7 males and 6 females</p>	0
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG Education department in collaboration with Environment department has issued guidelines on environmental management (tree planting, waste management, formation of environmental clubs and environment education etc.): score 1: 	<p>Guidelines on environmental management were issued dated 28/8/2018 under a document entitled: Environment and Social Safeguards Screening.</p>	1

18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all school infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: <p>Score 1</p>	<p>There was evidence that screening was done and reports made as evidenced by a report seen on environment and social safeguards screening report for construction of a 2 classroom block at Kiryamet Primary School indicative period for 2018/2019.</p>	1
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: Score 1 	<p>Two visits to the site where the construction of two classroom blocks were made by the Senior Environment Officer and the district Community development Officer on 21/8/2018 and on 24/8/2018 as seen in a report: Environment and social safeguards screening report for construction of 2 classroom block at Kiryamet Primary School 2018/2019.</p>	1

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management				
1	<p>LG has substantively recruited primary health care workers with a wage bill provision from PHC wage</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that LG has filled the structure for primary health care with a wage bill provision from PHC wage for the current FY</p> <ul style="list-style-type: none"> • More than 80% filled: score 8 • 60 – 80% - score 4 • Less than 60% filled: score 0 	<p>PHC wage allocation for Kaberamaido district FY 19/20 was: 1,305,195,358</p> <p>PHC wage requirement for health workers in post for FY 19/20 was 1,567,472, 232/</p> <p>%wage provision (posts filled for primary health care workers with a wage bill provision) = 120%</p> <p>Therefore, the local government had filled the structure for primary health workers with a wage bill provision from PHC wage for the current FY 2019/2020 to a tune of 100% but with a wage bill shortfall of 262,276,874/.</p>	8
2	<p>The LG Health department has submitted a comprehensive recruitment plan for primary health care workers to the HRM department</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that Health department has submitted a comprehensive recruitment plan/re- quest to HRM for the current FY, covering the vacant positions of primary health care workers: score 6</p>	<p>Whereas there was no written recruitment request letter from DHO to HRM, there was evidence that approved district recruitment plan also included primary health workers. Key posts prioritized for recruitment included the DHO, ADHO MCH, 4 Medical Officer special grade, 45 Enrolled Nurses, 27 midwives among others.</p> <p>Reference: Recruitment plan for Kaberamaido district for FY 19/20, submission written by CAO on 27/9/2029 CR/156/1, submitted to PS Ministry of public Service an received on 28th/9/2019.</p>	6

The LG Health department has conducted performance appraisal for Health Centre IVs and Hospital In-charge and ensured performance appraisals for HC III and II in-charges are conducted

Maximum 8 points for this performance measure

Evidence that the all health facilities in-charges have been appraised during the previous FY:

- o 100%: score 8
- o 70 – 99%: score 4
- o Below 70%: score 0

Three (3) out of 5 health facilities in-charges were appraised in the financial year 2018/2019 as evidenced by appraisal forms on personal files from the HR department. Examples on file were:

- In-charge Kaberamido HC IV Dr. Barengera Geoffrey appraised on 17th August 2018. Appraiser's comment "Committed Officer"
- In-charge Kobulubulu HC III, Okodel Francis appraised on 12th September 2019. Appraiser's comment "Recommended for promotion"
- In-charge Ocherro HC II, Elwau James, no appraisal seen
- In-charge Alwal HC III, Oyuru Denis, appraisal not on file at time of assessment, so not seen

In-charge Aperikira HC III Eding Sulman appraised on 17th September 2018. Appraiser's comment "committed official who deserves promotion"

The percentage of appraised incharges out of the 5 sampled files is therefore $3/5=60\%$ which is below the cut off of 70% hence a score 0 score.

The Local Government Health department has deployed health workers across health facilities and in accordance with the staff lists submitted together with the budget in the current FY.

Maximum 4 points for this performance measure

- Evidence that the LG Health department has deployed health workers in line with the lists submitted with the budget for the current FY, and if not provided justification for deviations: score 4

The LG allocated health workers in line with lists submitted with the budget for FY 2019/2020 in PBS system.

Assessment Team sampled the following facilities:

- Kaberamaido HC IV (upgraded to hospital)
- Kobulubulu HC III
- Ocerro HC III

At each facility, the staff list matched with the deployment list at DHO's office hence a score of 4.

Monitoring and Supervision

5

The DHO/MHO has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to health facilities

• Evidence that the DHO/MHO has communicated all guidelines, policies, circulars issued by the national level in the previous FY to health facilities: score 3

The recommended guideline by MOH, entitled "Sector grant and budget guidelines to local governments FY 2019/2020" was not available at the time of the assessment; so it was not communicated to health units

0

Maximum 6 for this performance measure

5

The DHO/MHO has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to health facilities

• Evidence that the DHO/MHO has held meetings with health facility in- charges and among others explained the guidelines, policies, circulars issued by the national level: score 3

Since the recommended guideline had not been received by the DHO, there were no meetings to discuss the guidelines which were not existing.

3

Maximum 6 for this performance measure

The LG Health Department has effectively provided support supervision to district health services

Evidence that DHT/MHT has supervised 100% of HC IVs and district hospitals (including PNFPs receiving PHC grant) at least once in a quarter: score 3

Kaberaido District had 1 HC IV which was upgraded to a district hospital

The PA Team looked at evidence that the DHT had conducted 4 quarterly integrated technical support supervision visits to the health HC IV.

Maximum 6 points for this performance measure

Only 3 out of the 4 support supervision reports met the assessment criteria. The supervisions were conducted on the following dates

Quarter 1: 25th October 2018

Quarter2: 17th December 2018

Quarter3: Not dated, no list of health facilities visited hence disqualified

Quarter4: 4th July 2019

In all the 3 reports, there was no evidence that the HC IV was visited.

We further visited the HC IV and failed to trace any record that the DHT had conducted an integrated support supervision as no documentation had been made in the supervision (Red Book). The Incharge of the HC IV categorically stated that the DHT had not conducted any support supervision during the previous financial year hence a score of 0

The LG Health Department has effectively provided support supervision to district health services

Evidence that DHT/MHT has ensured that HSD has supervised lower level health facilities within the previous FY:

- If 100% supervised: score 3
- 80 - 99% of the health facilities: score 2
- 60% - 79% of the health facilities: score 1
- Less than 60% of the health facilities: score 0

Maximum 6 points for this performance measure

The HSD was housed at the DHO's office and not at the HC IV as it is required. The PA Team however reviewed integrated support supervision reports for the previous financial year to establish whether all health facilities had been supervised.

Kaberaido HC IV No evidence of supervision

Ozero HC III supervised twice 23/01/19 and 21/6/19

Kobulubulu HC III supervised in all quarters 20/9/18, 10/10/18, 27/3/19, 20/6/19

The evidence was derived from the MOH provided supervision book at each health unit.

So out of the 12 technical support supervision visits that were expected in financial 2018/2019 among the 3 visited health facilities, the HSD conducted only 8 translating into 50% hence a score of 0

7

The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up

• Evidence that all the 4 quarterly reports have been discussed and used to make recommendations (in each quarter) for corrective actions during the previous FY: score 4

Only 3 out of the 4 support supervision reports met the assessment criteria The reports were dated as follows

Quarter 1: 25th October 2019

Quarter2: 17th December 2019

Quarter3: Not dated, no list of health facilities visited hence disqualified

Quarter4: 4th July 2019

There were no DHT minutes to show that the above 3 reports had been discussed to make recommendations for corrective action hence a score of 0

0

Maximum 10 points for this performance measure

7

The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up

• Evidence that the recommendations are followed up and specific activities undertaken for correction: score 6

Kobulubulu HC III had been visited 3 times (once in each of the three quarters 1, 2 and 4). The following recommendations had been made by the supervising team

Q1: DHT should help plan for health facility infrastructure

Q2; DHT to lobby for staff uniforms from NMS

Q4: A midwife to head EPI (immunization) department

On 25/6/2019, the DHO set a mail to National Medical Sores expressing the need of staff uniforms highlighting quantities per level of staff. The email was accessed from sent items from DHOs personal email

It was reported that the midwife was at Kobulubulu was made Incharge of EPI but there was no documented evidence.

The evidence that recommendations are acted on is therefore not sufficient to justify any other score other than 0.

0

Maximum 10 points for this performance measure

The LG Health department has submitted accurate/consistent reports/data for health facility lists receiving PHC funding as per formats provided by MoH

Maximum 10 for this performance measure

• Evidence that the LG has submitted accurate/consistent data regarding:

o List of health facilities receiving PHC funding, which are consistent with both HMIS reports and PBS: score 10

Kaberaimaido DLG had 16 health facilities that benefit from PHC in FY 2018/2019

The September 2019 HMIS reports were submitted between 6th - 8th September 2019. Reports were entered into DHIS2 system for health reporting. All facilities benefitting from PHC (16) reported in DHIS2 as evidenced by the DHIS2 output received from the Ministry of health

Governance, oversight, transparency and accountability

9

The LG committee responsible for health met, discussed service delivery issues and presented issues that require approval to Council

Maximum 4 for this performance measure

• Evidence that the LG committee responsible for health met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports etc. during the previous FY: score 2

Three Social services committee reports were presented and all had health related issues discussed. Social services committee sat quarterly as indicated below:

• Quarter 1, 21st December 2018, and discussed about the need to recruit more health workers to bridge the existing Human resource gap

• Quarter 2, 3rd October 2018, Operational health issues were discussed and recommended repair of HC IV ambulance

• Quarter 3, 6th March 2019, Minute Discussed issues affecting service delivery and tasked DHO to verify reports that drugs were being stolen from health facilities

There were no minutes or minutes extract for 4th quarter.

From the above evidence, the committee for health made deliberate efforts to discuss issues that affect service delivery hence a score of 2.

2

9

The LG committee responsible for health met, discussed service delivery issues and presented issues that require approval to Council

Maximum 4 for this performance measure

• Evidence that the health sector committee has presented issues that require approval to Council: score 2

On 1st April 2018, secretary for health presented Health budget during laying of district budget (Min 22/KDO/COU/04/2018/2019 and on 31st May 2019 under minute 29/KDO/COU/05/2018/2019, the district budget was passed (Health budget inclusive)

2

10	The Health Unit Management Committees and Hospital Board are operational/functioning	Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):	The PA Team visited 3 sampled health facilities and established that HUMC's sat as indicated below;	4
	Maximum 6 points	<ul style="list-style-type: none"> • If 100% of randomly sampled facilities: score 6 • If 80-99 %: score 4 • If 70-79: %: score 2 • If less than 70%: score 0 	<ul style="list-style-type: none"> • Kaberamaido HC IV: Sat in quarters 1 and 2 only • Ochero HC III: HUMC Sat in all quarters • Kobulubulu HC III: HUMC sat in all quarters <p>In the 3 health facilities, 12 (4x3) HUMC meetings were expected. However, 10 were conducted translating into 83% hence justifying a score of 4</p>	
11	The LG has publicised all health facilities receiving PHC non-wage recurrent grants	<ul style="list-style-type: none"> • Evidence that the LG has publicised all health facilities receiving PHC non- wage recurrent grants e.g. through posting on public notice boards: score 4 	A list of health facilities that benefit from PHC recurrent non-wage was displayed at the district health notice-board, signed by DHO but not dated. The displayed list matched with health facilities that are in the PBS system hence a score of 4.	4
	Maximum 4 for this performance measure			

Procurement and contract management

12	The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget	<ul style="list-style-type: none"> • Evidence that the sector has submitted input to procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time by April 30 for the current FY: score 2 	The procurement plan for health department for the financial year 2019/2020 was submitted on 18th June 2019, later than the required deadline of 30th April	0
	Maximum 4 for this performance measure			

12	<p>The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p>	<ul style="list-style-type: none"> Evidence that LG Health department submitted procurement request form (Form PP5) to the PDU by 1st Quarter of the current FY: score 2. 	<p>The procurement request form for FY 2018/19 was submitted on 12th July 2018 (within the recommended timeframe). Submission letter by head of department to CAO was not referenced,</p>	2
	<p>Maximum 4 for this performance measure</p>		<p>The procurement request form for health department for the FY 19/20 was submitted on 14th June 2019 and endorsed same day ahead of the deadline of September 2019</p>	
			<p>Key projects in earmarked for FY 19/20 include:</p>	
			<p>Construction of administration block at Kaberamaido Hospital budgeted at 240,000,000/</p>	
			<p>Procurement of medical equipment for Kaberamaido hospital 250,000,000/ and</p>	
			<p>Construction of a 2 in 1 Doctors staff house at Kaberamaido</p>	
13	<p>The LG Health department has certified and initiated payment for supplies on time</p>	<ul style="list-style-type: none"> Evidence that the DHO/ MHO (as per contract) certified and recommended suppliers timely for payment: score 4. 	<p>Health department had only one capital project during FY 18/19. This was construction of a 2 stance pit latrine at Aperikira HC III at a contract sum of 16,927,095/</p>	4
	<p>Maximum 4 for this performance measure</p>		<p>The contractor made a request for payment on 18th February 2019, DHO certified on 20th February 2019 and payment was effected on 10th March 2019.</p>	

Financial management and reporting

14	<p>The LG Health department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 4 	<p>Submission of quarterly reports to Planner during FY 2018/2019:</p>	0
	<p>Maximum 4 for this performance measure</p>		<p>Quarter Date of submission and reference</p>	
			<p>Quarter 1 13/12/2018</p>	
			<p>Quarter 2 11/2/2019</p>	
			<p>Quarter 3 21/5/2019</p>	
			<p>Quarter 4 22/8/2019</p>	
			<p>Therefore, the annual report was submitted late beyond the recommended deadline of mid July</p>	

15	<p>LG Health department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year</p> <ul style="list-style-type: none"> • If sector has no audit query: Score 4 • If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: Score 2 points • If all queries are not responded to Score 0 	<p>Action taken on queries raised by the Internal Auditor during FY 2018/2019:</p> <p>Total number and nature of queries raised 25</p> <p>Total number and nature of queries cleared 25</p> <p>Total number and nature of queries pending 0</p> <p>All internal audit queries for Quarter1-3 were appropriately responded to.</p> <p>However, the Performance assessment team could not access the 4th quarter internal audit report. AT could not therefore verify whether there were queries in the 4th quarter and if those queries had been addressed or not hence a score of 0</p>	0
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Social and environmental safeguards

16	<p>Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.</p> <p>Maximum 4 points</p>	<ul style="list-style-type: none"> • Evidence that Health Unit Management Committee (HUMC) meet the gender composition as per guidelines (i.e. minimum 30 % women: score 2 	<p>Not all the following sampled health facilities had the required 30% and above of female composition on HUMC:</p> <ul style="list-style-type: none"> • Kaberamaido HC IV 1/8=13% • Ozero HC III 1/6 =17% • Kobulubulu HC III 1/6=17% 	0
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16	<p>Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.</p> <p>Maximum 4 points</p>	<ul style="list-style-type: none"> • Evidence that the LG has issued guidelines on how to manage sanitation in health facilities including separating facilities for men and women: score 2. 	<p>There were no new guidelines issued by the LG regarding how to manage sanitation in health facilities. We visited the following health facilities:</p> <ul style="list-style-type: none"> • Kaberamaido HC IV • Ozero HC III • Kobulubulu HC III <p>It was established that sanitation guidelines were adhered to among the visited facilities including presence of separate sanitary facilities for both men and women.</p>	2
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17	<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p>	<ul style="list-style-type: none"> • Evidence that all health facility infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: Score 2 	<p>There was only one capital project undertaken by the health department during FY 18/19.</p> <p>The construction of 2 stance pit latrine at Aperikira HC III was not screened for possible environmental effects due to the project as there was no screening report to that effect hence a score of 0</p>	0
	<p>Maximum 4 points for this performance measure</p>			
17	<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p>	<ul style="list-style-type: none"> • The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: Score 2 	<p>There was no evidence that the environmental officer and community development officer visited the project site to assess compliance with possible environmental risks. Besides, there was no screening for such risks before the commencement of the project hence a score of 0.</p>	0
	<p>Maximum 4 points for this performance measure</p>			
18	<p>The LG Health department has issued guidelines on medical waste management</p>	<ul style="list-style-type: none"> • Evidence that the LG has issued guidelines on medical waste management, including guidelines (e.g. sanitation charts, posters, etc.) for construction of facilities for medical waste disposal: score 4. 	<p>There were no new guidelines on medical waste issued by the health department last financial year. However, the visited health facilities (Kaberamaido HC IV, Oceru HC III, Kobulubulu HC III) had sanitation charts relating to medical waste management hence a score of 4.</p>	4
	<p>Maximum 4 points</p>			

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution				
1	<p>The DWO has targeted allocations to sub-counties with safe water coverage below the district average.</p> <p>Maximum score 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has targeted sub- counties with safe water coverage below the district average in the budget for the current FY: <ul style="list-style-type: none"> o If 100 % of the budget allocation for the current FY is allocated to S/Cs below average coverage: score 10 o If 80-99%: Score 7 o If 60-79: Score 4 o If below 60 %: Score 0 	<p>In the FY 2019/20, Kaberamaido District Local Government allocated development budget for the water department of Ugx. 219,876,698 for drilling 10 number Boreholes each at a cost of Ugx.20,556,200 in the five targeted sub counties (approved workplan and budget page 3 of 3 on 17th August,2019).</p> <p>The DWO targeted allocations to sub-counties with safe water coverage below the district total of access coverage of 80%.</p> <p>There were two (2) sub counties with coverage below the District average and these were;</p> <ul style="list-style-type: none"> • Aperkra sub county with 78%% access and • Ochero sub county with 67% access these two were targeted for FY 2019/20 giving (2/2) *100 = 100% equivalent to 100% planning and budgeting for sub counties with safe water coverage below the district average; <p>Sub counties with safe water coverage above the District average were also budgeted and in FY 2019/20 these included;</p> <ul style="list-style-type: none"> • Kaberamaido sub county with 83% access coverage, • Alwa sub county with 90% coverage access and • Kobulubulu sub county with 88% access 	10

The district Water department has implemented budgeted water projects in the targeted sub-counties (i.e. sub-counties with safe water coverage below the district average)

Maximum 15 points for this performance measure

- Evidence that the district Water department has implemented budgeted water projects in the targeted sub-counties with safe water coverage below the district average in the previous FY.

- o If 100 % of the water projects are implemented in the targeted S/Cs:

Score 15

- o If 80-99%: Score 10

- o If 60-79: Score 5

- o If below 60 %: Score 0

According to the annual work plan page 5 of 7, FY 2018/19, the LG planned and budgeted to construct 10No. boreholes at an estimated budget of Ugx.376,092,254. There was evidence according to the inspection, supervision reports, quarterly reports, and field visits that the district Water department implemented all the budgeted water projects in all the targeted sub-counties during FY:2018/19 giving the Water Department 100% implementation rate.

The following was extracted from the fourth Quarter FY2018/19 report constructed by Ms Multec consults 'U' Ltd of P.O.Box 10936 under contract no. Kabe514/wrks/2018-19/00013 and the following information was observed;

In Kaberamaido sub county borehole constructed at a cost of Ugx.19,608,600

In Aperkera sub county at Opiro borehole source was constructed; constructed at a cost of Ugx.19,608,600

In Alwa sub county a BH was constructed at a cost of borehole were constructed at a cost Ugx. 19,608,600

In Kobulubulu sub county at Sangai and Awoyi village BHs constructed each at a cost of Ugx. 19,608,600

In Ochero sub county at Alwelu , Acwali and Agulevillage a BH constructed at a cost of Ugx. 19,608,600

In Bululu sub county a BH constructed at a cost of Ugx. 19,608,600

In Kalaki sub county at Omor village a BH constructed at a cost of Ugx. 19,608,600

In Kakure sub county a BH constructed at a cost of Ugx. 19,608,600

In Otuboi sub county at Ogolai, Awidi,, Anyamcoto and OmorainB villages BH constructed at a cost of Ugx. 19,608,600

In Anyara sub county at Olio village a BH constructed at a cost of Ugx. 19,608,600

In Apapai sub county a BH constructed at a cost of Ugx. 19,608,600

The district Water department carries out monthly monitoring of project investments in the sector

Maximum 15 points for this performance measure

Evidence that the district Water department has monitored each of WSS facilities at least annually.

- If more than 95% of the WSS facilities monitored: score 15
- 80% - 95% of the WSS facilities - monitored: score 10
- 70 - 79%: score 7
- 60% - 69% monitored: score 5
- 50% - 59%: score 3
- Less than 50% of WSS facilities monitored: score 0

There was evidence that the district Water department had monitored each of WSS and these was according to the following information sources;

- Supervision report to CAO dated 10th October,2018 and prepared by the DWO on the construction of boreholes at Anyara sub county,Obuboi sub county, Kalaki sub county,Bululu S/C,Aperkira S/C ,Kobulubulu S/C ,Ochero S/C, using DWSCG fund . the objective of the visit was to ensure quality of the works
- Inspection report dated 15th January,2019 page 1 of 3, sources visited were Boreholes in Alwa S/C
- Supervision report on Borehole rehabilitation of 7 BHs dated
- 1st February,2018 page 1 and 2 sources visited included; Apapai, Anyara, Kalaki, Aperkira, Kobulubulu, Kaberamaido constructed at a cost of Ugx.45,200,000

The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE

Maximum 10 for this performance measure

• Evidence that the district has submitted accurate/consistent data for the current FY: Score 5

There was evidence that the district submitted some accurate/consistent data report for the previous FY 2018/2019 on the following dates;

- For Quarter (1) one submitted on 17th October 2018
- For Quarter (2) two submitted on 10th January,2019
- For quarter (4) Four submitted on 31st July,2019

However, there was no evidence to prove data submission for Quarter Three to the Permanent Secretary, Ministry of Water and Environment

4

The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE

Maximum 10 for this performance measure

• List of water facility which are consistent in both sector MIS reports and PBS: score 5

List of water facilities which were found consistent in both sector MIS reports and PBS which was not paged were;

- Alwa sub county
- Kaberamaido sub county
- Koblubulu sub county
- Ochero sub county
- Anyara sub county
- Bululu sub county
- Kalaki sub county
- Otuboi sub county
- Kakure sub county
- Apapai sub county

5

Procurement and contract management

5

The district Water department has submitted input for district's procurement plan, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget

Maximum 4 for this performance measure

Evidence that the sector has submitted input for the district procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time (by April 30): score 4

There was evidence that the sector submitted input for the district procurement plan to PDU on 29th June,2018 and was received by the PDU on 4th July,2018 however, this was outside the required timeline of

30th April; example of the procurements submitted S/N 01 was Siting, Drilling and Installation of 10 Bore boreholes (wells) at a total estimated cost of Ugx.219,876,698

0

6	The district has appointed Contract Manager and has effectively managed the WSS contracts	<ul style="list-style-type: none"> If the contract manager prepared a contract management plan and conducted monthly site visits for the different WSS infrastructure projects as per the contract management plan: score 2 	<p>There was evidence that the district Water department had a contract manager appointed by the CAO on 4th September,2018 Ref: CR/105/2 and prepared contract implementation plans on 4th September,2018 for the period 4th September,2018 to 3rd February,2019.</p> <p>Some of the site visits conducted included;</p> <ul style="list-style-type: none"> Supervision report to CAO dated 10th October,2018 and prepared by the DWO on the construction of boreholes at Anyara sub county, Obuboi sub county, Kalaki sub county, Bululu S/C,Aperkira S/C ,Kobulubulu S/C ,Ochero S/C, using DWSCG fund . the objective of the visit was to ensure quality of the works 	2
	Maximum 8 points for this performance measure			
6	The district has appointed Contract Manager and has effectively managed the WSS contracts	<ul style="list-style-type: none"> If water and sanitation facilities constructed as per design(s): score 2 	<p>The construction of the sampled Water and sanitation facilities;</p> <ul style="list-style-type: none"> Construction of Borehole at Opiro source in Aperkira sub county. Construction of Borehole at Awelu source, Acwali source and Agule source in Ochero sub county. <p>The platform for pedestal was constructed in a circular circle of diameter of 1.5m which was specified in the special condition of contract</p>	2
	Maximum 8 points for this performance measure			
6	The district has appointed Contract Manager and has effectively managed the WSS contracts	<ul style="list-style-type: none"> If contractor handed over all completed WSS facilities: score 2 	<p>The Borehole completion report submitted by the contractor to the District Local dated February 2019 was seen and received by the DWO Kaberamaido DLG on 6th February,2019</p>	2
	Maximum 8 points for this performance measure			

6	<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p>	<ul style="list-style-type: none"> • If DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2 	<p>There was no evidence of completion reports, completion certificates availed to the performance assessment team during the assessment period however a final inspection was seen which was conducted on 27th February,2019 BUT this is not a completion report</p>	0
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Maximum 8 points for this performance measure

7	<p>The district Water department has certified and initiated payment for works and supplies on time</p>	<ul style="list-style-type: none"> • Evidence that the DWOs timely (as per contract) certified and recommended suppliers for payment: score 3 points 	<p>There was Evidence that the DWOs certified and recommended suppliers for payment some of the sampled vouchers included;</p> <ul style="list-style-type: none"> • Contractor (Multec consults Ltd) request submitted on 8th October,2018 and certified on 11th October,2018 taking 2 days, • Contractor (Ficah Ent. Ltd) request submission on 11th January,2019 certified by the DWO on 15th January,2019 taking 4 days • Contractor (Mastak Investment Ltd) request submission on 28th January,2019 certified by 4th February,2019 taking 7 days <p>This was well within the required time of thirty (15) days</p>	3
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Maximum 3 for this performance measure

Financial management and reporting

8	<p>The district Water department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p>	<ul style="list-style-type: none"> • Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 5 	<p>The department submitted the annual performance reports to the Planner for the all four quarters during FY 2018/2019 on the following dates;</p> <p>Quarter one report was submitted on 13th December,2018</p> <p>Quarter two report was submitted on 11th February,2019</p> <p>Quarter three report was submitted on 21st May,2019</p> <p>Quarter four report was submitted on 22nd August,2019</p> <p>How ever the LG does not score a point because quarter four report was submitted beyond the required time frame of mid July 2019</p>	0
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Maximum 5 for this performance measure

9

The District Water Department has acted on Internal Audit recommendation (if any)

Maximum 5 for this performance measure

• Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year

o If sector has no audit query score 5

o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 3

If queries are not responded to score 0

For quarters 1-3, FY 18/19, there were no audit queries raised by the internal audit. The quarter 4 audit report was not availed to the assessment team. Since we could not verify whether there were queries in 4th quarter under the water department, we cannot provide any other score other than 0

0

Governance, oversight, transparency and accountability

10

The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council

Maximum 6 for this performance measure

• Evidence that the council committee responsible for water met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports and submissions from the District Water and Sanitation Coordination Committee (DWSCC) etc. during the previous FY: score 3

There was no evidence that the council committee responsible for water met and discussed service delivery issues however a sheet of paper reading;

• The committee report dated 13th March,2019 in a meeting held on 6th March,2019 at 9:00Am point number 8 discussed on solar powered water to be planned for areas with saline water which was signed by the secretary Mr.Ejotu Rogers and Chairperson Hon.Obonyo Denis

0

10

The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council

Maximum 6 for this performance measure

• Evidence that the water sector committee has presented issues that require approval to Council: score 3

There was no evidence availed to the assessment team that the water sector committee had presented issues that required approval to Council

0

11	<p>The district Water department has shared information widely to the public to enhance transparency</p>	<ul style="list-style-type: none"> The AWP, budget and the Water Development grant releases and expenditures have been displayed on the district notice boards as per the PPDA Act and discussed at advocacy meetings: score 2. 	<p>The Water Development grant releases and expenditures were displayed on the district notice boards (CFO) as per the PPDA Act but the Annual work plan and budget were not seen displayed and there was no evidence for any advocacy meeting held therefore the department scores no point.</p>	0
	<p>Maximum 6 points for this performance measure</p>			
11	<p>The district Water department has shared information widely to the public to enhance transparency</p>	<ul style="list-style-type: none"> All WSS projects are clearly labelled indicating the name of the project, date of construction, the contractor and source of funding: score 2 	<p>There was evidence that all the sampled WSS projects were clearly labelled indicating the name of the project, date of construction, the contractor and source of funding, the following sources were visited;</p> <ol style="list-style-type: none"> Opiro Borehole source in Aperkira sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59326 Awelu Borehole source in Ochero sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59331 Acwali Borehole source in Othero sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59330 Agule Borehole source in Ochero sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59329 <p>However, all the labels were engraved in concrete instead on the metallic plate placed on the borehole.</p>	2
	<p>Maximum 6 points for this performance measure</p>			
11	<p>The district Water department has shared information widely to the public to enhance transparency</p>	<ul style="list-style-type: none"> Information on tenders and contract awards (indicating contractor name /contract and contract sum) displayed on the District notice boards: score 2 	<p>There was no evidence on the notice board that Information on tenders and contract awards (indicating contractor name /contract and contract sum) was displayed</p>	0
	<p>Maximum 6 points for this performance measure</p>			

12	<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If communities apply for water/ public sanitation facilities as per the sector critical requirements (including community contributions) for the current FY: score 1 	<p>There was evidence availed to PAT which indicated that the communities applied for water/public sanitation facilities in FY 2019/20 the following were sampled;</p> <ul style="list-style-type: none"> On 2nd September,2019 a community application for the water source at Kobulubulu sub county was signed by Akwalakwala primary school On 24th September,2019 community application for the water source at Akurapenyi B was signed by lkae Betty On 24th September,2019 community application at Aperkira,Aswii was signed by Eyetu Moses 	1
12	<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> Water and Sanitation Committees that are functioning evidenced by either: i) collection of O&M funds, ii(carrying out preventive maintenance and minor repairs, iii) facility fenced/protected, or iv) they an M&E plan for the previous FY: score 2 <p>Note: One of parameters above is sufficient for the score.</p>	<p>There was evidence that the Water and Sanitation Committees were functional evidenced by fencing around the borehole But there is great need for the DWO to periodically inspect these water sources and giving guidance cleaning the drainage system.</p> <p>Some of the sources visited included;</p> <ul style="list-style-type: none"> Opiro Borehole source in Aperkira sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59326 Awelu Borehole source in Ochero sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59331 Acwali Borehole source in Othero sub county constructed on 6th October,2018 by Multec Consults Ltd DWD no. 59330 	2

Social and environmental safeguards

13	<p>The LG Water department has devised strategies for environmental conservation and management</p>	<ul style="list-style-type: none"> Evidence that environmental screening (as per templates) for all projects and EIAs (where required) conducted for all WSS projects and reports are in place: score 2 	<p>There was evidence that environmental screening (as per templates) for all projects and EIAs (where required) conducted for all WSS projects and reports are in place some of the sampled were;</p> <ul style="list-style-type: none"> For Alwa sub county screen report dated 2nd October,2018 For Bululu sub county screening report dated 24th September,2018 For Kaberamaido sub county screening report dated 1st October,2018 and Kobulubulu sub county screening report dated 22nd January,2018 were seen. All were signed by the Environmental Officer however were not stamped. 	2
	<p>Maximum 4 points for this performance measure</p>			
13	<p>The LG Water department has devised strategies for environmental conservation and management</p>	<ul style="list-style-type: none"> Evidence that there has been follow up support provided in case of unacceptable environmental concerns in the past FY: score 1 	<p>There was no evidence that there had been follow up support provided in case of unacceptable environmental concerns in the past FY</p>	0
	<p>Maximum 4 points for this performance measure</p>			
13	<p>The LG Water department has devised strategies for environmental conservation and management</p>	<ul style="list-style-type: none"> Evidence that construction and supervision contracts have clause on environmental protection: score 1 	<p>All the construction and supervision contracts had no clause on environmental protection</p>	0
	<p>Maximum 4 points for this performance measure</p>			

14	<p>The district Water department has promoted gender equity in WSC composition.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • If at least 50% WSCs are women and at least one occupying a key position (chairperson, secretary or Treasurer) as per the sector critical requirements: score 3 	<p>The following water user committee files were sampled and the following information obtained,</p> <ul style="list-style-type: none"> • In Kobulubulu source WSC elected on 27th September,2018 consisted seven (7) members and four (4) were women with the Treasure being a woman • At Acwii water source elected on 27th September,2019 a toal of seven (7) members, four (4) were women and a lady the chairperson <p>The sector scores 3 points because the percentage of women being 57.1% in both</p>	3
15	<p>Gender and special needs-sensitive sanitation facilities in public places/</p> <p>RGCs provided by the Water Department.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • If public sanitation facilities have adequate access and separate stances for men, women and PWDs: score 3 	<p>The LG had no any public sanitation facility constructed for the last three (3) FYs however there was one inspection by PAT at Alem Primary School, that was funded by ERM which had adequate access and separate stances for men, women and PWDs and were well labelled but the water sector never funded it neither support the school in O & M.</p>	0