



Local Government Performance Assessment

Gulu District

(Vote Code: 508)

Assessment	Scores
Accountability Requirements	67%
Crosscutting Performance Measures	58%
Educational Performance Measures	79%
Health Performance Measures	63%
Water Performance Measures	79%

Summary of requirements	Definition of compliance	Compliance justification	Compliant?
Annual performance contract			
<p>LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMAA 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>Gulu District submitted the Annual Performance Contract for FY 2018/19 on 27th July, 2018 as per the submission schedule of MoFPED which was within the deadline of 1st August 2018 set by the MoFPED.</p> <p>Note: The PFMAA LG Budget guidelines require the submission by 30th June. However, this date was revised to 1st August 2018 as amended in the LGPA Manual June, 2018.</p>	Yes
Supporting Documents for the Budget required as per the PFMA are submitted and available			
<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 District LG submitted the approved Budget Estimates that included a Procurement Plan for the FY 2018/19 on 27th July, 2018. This date of submission was in line with the last official date of 1st August set by the MoFPED.</p> <p>Note: The PFMAA LG Budget guidelines require the submission to be by 30th June. However, this date was revised to 1st August 2018 as amended by the LGPA Manual June, 2018.</p>	Yes
Reporting: submission of annual and quarterly budget performance reports			

<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 District LG submitted the Annual Performance Report for FY ended 30th June, 2018 on 27th July, 2018. This date of submission was in line with the LG Budget Preparation Guidelines for the FY; PFFMA Act, 2015 that requires this submission to be made on or before 31st July.</p>	<p>Yes</p>
<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>Gulu District submitted the quarterly budget performance reports during FY 2017/2018 with non referenced cover letters as follows:</p> <p>Quarter 1 submitted on 18th December, 2017</p> <p>Quarter 2 submitted 19th March, 2018</p> <p>Quarter 3 submitted 31st May, 2018</p> <p>Quarter 4 submitted 26th August, 2018</p> <p>With exception the 3rd quarter budget performance report submitted on time, the reports for the rest of the three quarters were submitted late contravening PFMA Act which requires these submissions to be made within the month following end of the quarter.</p> <p>It is largely claimed that the transition from OBT to PBS was still problematic but also that there was a challenge of adopting the change by the LGs.</p>	<p>No</p>
<p>Audit</p>			

<p>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.</p>	<p>From MoFPED's Inventory/record of LG submissions of statements entitled "Actions to Address Internal Auditor General's findings",</p> <p>Check:</p> <ul style="list-style-type: none"> • 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. 	<p>The LG provided information to the PS/ST on the status of implementation of Internal Auditor General or Auditor General's findings for the previous financial year 2016/2017 on 17th April, 2018 vide letter ref. CR/251/1 and not by end of February, 2018 as required PFMA s.11 2g):</p> <p>(A) Internal Auditor General FY 2016/2017</p> <p>Number of queries raised Number of queries cleared Number of queries pending</p> <p>17 17 Nil</p> <p>Note: The responses were for issues raised by the Internal Auditor General only for quarters 2 and 3.</p> <p>Office of the Auditor General FY 2016/2017</p> <p>Number of queries raised Number of queries cleared Number of queries pending</p> <p>9 9 Nil</p> <p>Another letter ref.CR/251/1 dated 17th April, 2018 on responses to issues raised in the Auditor General's report for FY ended 30th June, 2017 as reviewed by PAT was addressed to the Clerk to Parliament and not to the PS/ST of the MoFPED.</p>	No
<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.</p>		<p>Gulu District Local Government obtained Unqualified Audit Opinion for FY 2017/2018</p>	Yes

Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution			
<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>Through a circular letter ref. CR/DGLG/214/3 of 5th July, 2017, the CAO appointed a District Physical Planning Committee with the following membership:</p> <ol style="list-style-type: none"> 1. Mr Milton Kato, CAO-Chair 2. Mr Oneka Samuel, Physical Planner-Secretary 3. Mr Paul T Kimala, D/Agric. Officer 4. Mr C. Akena, DEO-Member 5. Mr S. Nyeko, D/Road Engineer-Member 6. Mrs H. Acan, D/Surveyor-Member 7. Mrs G. Okech, CDO-Member 8. Ms Otto F. Environ. Officer-member 9. Mr A.Ojera, Natural Resources Officer-Member, 10. Mr D , DMO-Member 11. Mr Olal Andrew, Member <p>A Physical Planner in private practice had not been identified by the District. Also missing on the committee was a representative of a Town Council because the District did not have a gazetted Town.</p>	0

<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>The Physical Planning Committee had only two sets of minutes for meetings held on 24th January 2018 and 13th July 2018. However, there was no evidence to show that these minutes had been submitted to MoLHUD by this assessment date.</p>	<p>0</p>
<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"> • All infrastructure investments are consistent with the approved Physical Development Plan: score 1 or else 0 	<p>By the assessment date, the District had no Physical Development Plan and for that reason, consistency of investments with the Physical Development Plan could not be established.</p>	<p>0</p>

<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"> • Action area plan prepared for the previous FY: score 1 or else 0 	<p>Action area plans for the following rural growth centres had been prepared namely: Unyama Trading Board, Cwero Trading Centre, Palaro Trading Centre and Awaci Town Board.</p>	<p>1</p>
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<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 District held a budget conference for FY 2018/19 between 14th and 15th November, 2017 at the District Headquarters. A small report was produced with sector by sector papers presented attached in which priorities of the sectors were identified.</p> <p>There was evidence that the priorities in the approved AWP for FY 2018/19 were based on the outcomes of the budget conference as in the examples below;</p> <ol style="list-style-type: none"> 1. A need to construct 2 unit classroom with office and staff room; drainable 9 stance latrines with bath and urinal shelters at Paibona, Kitinotima and Abaka Primary Schools on page 3 of the Education sector presentation in the budget conference report. This was provided for in the approved AWP for the same period under construction of 3 blocks of 6 classrooms, 1 block of 4 units of staff houses , 17 stance drainable latrines and supply of 40 desks on page 73. 2. Drilling of 10 boreholes in all the sub-counties on page 7 of the Works and Technical Services presentation of the report and provided for on page 188 of the AWP drilling of 3 boreholes and installation of hand pumps. 3. Improved access of high quality inputs, stocking and planting materials on page 4 of Production and Marketing presentation attached to the report and provided for on page 57 of the AWP as agricultural inputs procured (2,700 banana sackers, 25 male Boer goats e.t.c.
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<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 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. 	<p>There was evidence that the capital investments in the approved Annual Work Plan for the FY 2018/2019 were derived from the approved Five-Year Development Plan as in the examples below:</p> <ul style="list-style-type: none"> (i) Classroom construction in 25 Primary Schools on page 73 in the AWP and on page 328 in the 5 Year DDP; (ii) 3 Deep borehole drilling and hand pump installation on page 188 in AWP and on page 338 of the 5 Year DDP; (iii) Procurement of agricultural inputs e.g. 2700 banana sackers on page 57 of the AWP and on pages 324 to 328 of the 5 Year DDP. 	<p>1</p>
<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"> • Project profiles have been developed and discussed by TPC for all investments in the AWP as per LG Planning guideline: score 2. 	<p>TPC minutes of a meeting held on 26th March 2018 presented to PAT in which budget estimates for FY 2018/19 were discussed, project profiles though developed were not anywhere in the discussion.</p>	<p>0</p>

<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 District did not have in place the Annual Statistical Abstract for FY 2017/18. The reason for its not being in place was that the term for the District Statistical Committee had expired. A new committee was appointed, trained, data collected and a draft document prepared but by this assessment date it had not been presented to the TPC for consideration and recommendation to DEC for approval.</p>	<p>0</p>																																										
<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>Infrastructure projects implemented by the LG in the previous FY 2017/2018 were derived from the Annual Work Plan and Budget approved by the LG Council as can be noted in the pages in the table below:</p> <table border="1"> <thead> <tr> <th>Project</th> <th>Pg. in Budget</th> <th>Pg. I n</th> </tr> </thead> <tbody> <tr> <td colspan="3">AWP</td> </tr> <tr> <td>Construction of 1 Block of 2 classroom with office at Aswa P/S</td> <td>26</td> <td>63</td> </tr> <tr> <td>Construction of 1 Block of 2 classroom with office at Palaro P/S</td> <td>26</td> <td>63</td> </tr> <tr> <td>Construction of 1 Block of 2 classroom with office at Teget P/S</td> <td>26</td> <td>63</td> </tr> <tr> <td>Deep borehole drilling of 7 boreholes in 7 S/Cs</td> <td>74</td> <td>35</td> </tr> <tr> <td>Low cost sealing of 1 km Laroo-Pageya Road</td> <td>32</td> <td>71</td> </tr> <tr> <td>Design of low cost sealing of Laroo-Pageya Road</td> <td>32</td> <td>71</td> </tr> <tr> <td>Consultancy for testing pumping of production well</td> <td>74</td> <td>35</td> </tr> <tr> <td>Consultancy for borehole design ,siting, drilling 7 boreholes</td> <td>74</td> <td>35</td> </tr> <tr> <td>Deep borehole apron casting and hand pump installation of 7 boreholes</td> <td>75</td> <td>35</td> </tr> <tr> <td>Renovation and expansion of Lugore HC II OPD</td> <td>59</td> <td>22</td> </tr> <tr> <td>Renovation of water born toilet at the DHO's office</td> <td>22</td> <td>59</td> </tr> <tr> <td>Construction of a 4 stance drainable latrine at</td> <td></td> <td></td> </tr> </tbody> </table>	Project	Pg. in Budget	Pg. I n	AWP			Construction of 1 Block of 2 classroom with office at Aswa P/S	26	63	Construction of 1 Block of 2 classroom with office at Palaro P/S	26	63	Construction of 1 Block of 2 classroom with office at Teget P/S	26	63	Deep borehole drilling of 7 boreholes in 7 S/Cs	74	35	Low cost sealing of 1 km Laroo-Pageya Road	32	71	Design of low cost sealing of Laroo-Pageya Road	32	71	Consultancy for testing pumping of production well	74	35	Consultancy for borehole design ,siting, drilling 7 boreholes	74	35	Deep borehole apron casting and hand pump installation of 7 boreholes	75	35	Renovation and expansion of Lugore HC II OPD	59	22	Renovation of water born toilet at the DHO's office	22	59	Construction of a 4 stance drainable latrine at			<p>2</p>
Project	Pg. in Budget	Pg. I n																																											
AWP																																													
Construction of 1 Block of 2 classroom with office at Aswa P/S	26	63																																											
Construction of 1 Block of 2 classroom with office at Palaro P/S	26	63																																											
Construction of 1 Block of 2 classroom with office at Teget P/S	26	63																																											
Deep borehole drilling of 7 boreholes in 7 S/Cs	74	35																																											
Low cost sealing of 1 km Laroo-Pageya Road	32	71																																											
Design of low cost sealing of Laroo-Pageya Road	32	71																																											
Consultancy for testing pumping of production well	74	35																																											
Consultancy for borehole design ,siting, drilling 7 boreholes	74	35																																											
Deep borehole apron casting and hand pump installation of 7 boreholes	75	35																																											
Renovation and expansion of Lugore HC II OPD	59	22																																											
Renovation of water born toilet at the DHO's office	22	59																																											
Construction of a 4 stance drainable latrine at																																													

Lugore HC II	
22	59
Construction of a 5 stance drainable latrine at Lukodi P/S	26
63	
Construction of a 2 stance drainable latrine at Awach HC IV	
22	59
Construction of a 1 block of 4 stance drainable latrine at Ogur P/S	
26	63
Construction of 1 block of VIP 2 stance latrine at Pugwinyi HC II	
22	59
Construction of a 2 stance drainable latrine at Omoti PS	26
63	
Construction of a 2 stance drainable latrine at Oroko HC II	22
59	
Construction of a 4 stance drainable latrine at Akonyibedo P/S	
26	63
Renovation of a 2 classroom block at Akonyibedo P/S	
26	63
Minor renovation of Gulu District Administration Block	
8	41

<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. <ul style="list-style-type: none"> o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	<p>Out of 21 investment projects implemented in previous FY 2017/18, at least 20 were completed as per the approved AWP by 30th June, 2018. This was 95.2% completion rate. The rolled-over project, namely renovation of a 2 classroom block at Akonyibedo P/S was as a result of a small budget of shs.36,745,000 against a contract sum of shs.49,950,000 hence a call for roll-over.</p> <p>Examples of completed projects were:</p> <ol style="list-style-type: none"> 1. Minor renovation of Gulu District Administration Block by Lacan Bill (U) Ltd. A Certificate of completion issued on 06/07/2018. 2. Deep Borehole Apron Casting and Hand Pump Installation of 7 boreholes at different locations by Balcon Engineering Ltd. A Certificate of completion issued on 01/07/2018. 3. Renovation of Water Born Toilet at the DHO office by Asienjo General Enterprises (U) Ltd. A Certificate of completion issued on 05/07/2018 	<p>2</p>
<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> <p>Maximum 4 points on this Performance Measure.</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 budget for the infrastructure projects for FY 2017/18 was UGX 1,121,495,590 while actual implementation cost was UGX 1,159,615,322.</p> <p>The variance was UGX 38,119,732 i.e. 3.39% above the original budget.</p> <p>The following were examples of FY 2017/18 investment projects completed with the approved budget;</p> <ol style="list-style-type: none"> 1. Deep borehole drilling of 7 boreholes in 7 different locations. Approved budget was shs.85,900,4000, at a contract sum of the same amount. 2. Construction of 1 block of 2 classrooms in Tegot P/S with an approved but of shs.64,446,000 at a contract sum of shs.61,220,660 3. Renovation of a water-borne behind DHO office at the district headquarters with an approved budget and contract sum of shs.14,551,400 	<p>2</p>

<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> <p>Maximum 4 points on this Performance Measure.</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>During the FY 2017/18, the district neither allocated nor spent part of OSR on O&M for its infrastructure investments.</p>	<p>0</p>
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------	----------

Human Resource Management

<p>LG has substantively recruited and appraised all Heads of Departments</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG has filled all HoDs positions substantively: score 3 	<p>The Staff Establishment for Gulu District was approved by Council on 7th October, 2016 vide minute No. 23/COUN/2016 (C).</p> <p>The Staff Establishment was first forwarded to MoPS for approval on 15th December, 2016 and subsequently on 29th June, 2017. The MoPS through letter ARC135/306/01 dated 6th July, 2017 approved the staff Establishment for implementation with nine HoDs; Finance, Planning, Works, Education, Community Based Services, Natural Resources, Production, Health and Trade, Commerce, Industry and Local Economic Development.</p> <p>The substantively filled Departments were;</p> <ul style="list-style-type: none"> • Finance; filled by Nyero Paska appointed on 14th May, 2018 as directed by DSC minute No. 3/27/04/2018 (c), • Natural Resources; filled by Ojera Alex appointed on promotion on 18th May, 2018 as directed by DSC minute No. 3/10/05/2018 (i), • Community Based Services; filled by Oketch Goretti appointed on promotion on 18th May, 2018 as directed by DSC minute No. 3/10/05/2018 (i), • Health; filled by Dr. Onek Awil Paul appointed on contract following his official retirement in 2015. The contract appointment was on 3rd August, 2016 as directed by DSC minute No. 1/07/2016 (A), • Production; filled by Lakor Jackson appointed on promotion on 18th May, 2018 as directed by DSC 	<p>0</p>
-----------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

		<p>minute No. 3/10/05/2018 (i)</p> <p>The Departments with Officers in acting capacities following the assignment of duty by the CAO in accordance with the Standing Orders (E-C) 8 (b) were;</p> <ul style="list-style-type: none"> • Education; filled by Akena Ceasar a Senior Education Officer appointed on 1st September, 2010 as directed by DSC minute No. 5/2010 (F). He was assigned extra duties of District Education Officer on 9th August, 2017 by letter Ref. No. CR/D/10645, • District Planner; filled by Omal David Livingstone a substantive Senior Planner appointed on 5th April, 2017 as directed by DSC minute No. 1/03/2017/18. The assignment of duty as Acting District Planner by the CAO was on 19th July, 2017 through letter CR/156/4 • District Engineer; filled by Nyeko Samuel a Civil Engineer for water appointed on 5th April, 2017 as directed by DSC minute No. 1/03/2017/21. The assignment of duty as acting District Engineer was on 30th January, 2018 through letter CR/161/2, and • District Commercial Officer; filled by Oketta Kenneth Akena appointed on transfer within the service from Finance Department on 12th December, 2017 as directed by DSC minute No. 3/14/2017 (B). 	
<p>LG has substantively recruited and appraised all Heads of Departments</p> <p>Maximum 5 points on this Performance Measure.</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>The HoDs were appraised by the CAO through filling of Performance Agreement at the start of FY 2017/18.</p> <p>The reviewed HoDs files all had Performance Agreements with clear targets signed by the CAO and individual HoDs.</p> <p>The Performance reports arising out the agreements at the end of FY 2017/2018 were on files showing actual scores based on the set targets for instance the District Production Officer scored 90%. This was due to failure to submit the 4th Quarter mandatory report.</p>	<p>2</p>

<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of staff submitted for recruitment have been considered: score 2 	<p>During the FY under review, thirty three were presented to the DSC to fill vacant positions. The submission was on 7th March, 2018. In Accordance with the authority under the provisions of article 200(1) of the Constitution of the Republic of Uganda 1995 and section 55 (1) of the Local Government Act, Cap 243 (as amended), Gulu DSC considered 33 persons for recruitment during various meetings for instance;</p> <p>During the DSC meeting held on 10th May, 2018 vide minute No. 3/10/05/2018 (i) five staff were considered for promotion.</p> <p>The 27th April, 2018 meeting vide minute No. 4/27/04/2018(E) considered the recruitment of Dr. Cara Kenneth , Nyero Paska the CFO was considered vide minute No. 3/27/04/2018.(C).</p> <p>Minute No. 4/05/04/2018(D) of the meeting held on 5th April, 2018 considered Kakura Francis for Finance Officer and Adong Susan for Senior Accounts Assistant.</p>	<p>2</p>
<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for confirmation have been considered: score 1 	<p>On 7th March, 2018, thirty five staff were submitted to DSC for confirmation.</p> <p>In Accordance with the authority under the provisions of article 200(1) of the Constitution of the Republic of Uganda 1995 and section 55 (1) of the Local Government Act, Cap 243 (as amended), the DSC on 10th May, 2018 vide minute No. 3/10/05/2018(v) confirmed all the 35 staff.</p>	<p>1</p>

<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for disciplinary actions have been considered: score 1 	<p>The Assessment Team reviewed the submission book to the DSC and the minute Extracts of the DSC and found no disciplinary cases referred to the DSC.</p>	<p>1</p>
<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 recruited during the previous FY have accessed the salary payroll not later than two months after appointment: score 3 	<p>The LG was using the IPPS which was updated on the effective date of appointment.</p> <p>During the FY under review, the LG recruited 33 staff. All the recruited staff accessed the salary Payroll within two months for example;</p> <p>Oryem Auric was appointed on 23rd March, 2018 as a Senior Assistant Secretary and under IPPS 1023319 received UGX 902,612 as Basic salary in May, 2018.</p> <p>Onekalit Bosco appointed on 23rd March, 2018 as a Senior Procurement Officer received UGX 979,805 as Basic salary in May, 2018.</p>	<p>3</p>

<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 <p>FY have accessed the pension payroll not later than two months after retirement: score 2</p>	<p>During the Financial under review, ten staff were retired.</p> <p>The LG submitted files for the retired staff six months before their retirement to allow processing of their gratuity. The files were submitted on 22nd February, 2017 as per MoPS stamp acknowledging receipt of the files.</p> <p>The pension payroll reviewed indicated that no retired staff accessed within two months.</p> <p>The delay in accessing the payroll was attributed to the failure to fully decentralise the pension management which had caused procedural delays at MoPS during auditing of the submitted files by the LG.</p>	<p>0</p>
<p>Revenue Mobilization</p>			

<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 2016/2017 Shs 253,986,284 (Page 22,23 of the Audited Final Accounts FY2016/2017).....</p> <p>Total of OSR for FY 2017/2018 Shs 513,070,816 (Page 34,35 of the Draft Final Accounts FY 2017/2018</p> <p>Increase of Shs.259,084,522 = Shs 513,070,816 (OSR FY 2017/2018) minus Shs 253,986,284 (OSR 2016/2017)</p> <p>Percentage 102% increase. Shs 253,986,284</p> <p>Shs259,084,522 x 100= 102% Shs 253,986,284</p> <p>The reasons for increased local revenue performance were:</p> <p>The District Local Government rejuvenated the functionality of the Revenue Enhancement Committee by expanding its Composition where the Members of the Political wing were brought on Board. The Committee held monthly meetings. In these meetings set targets for local revenue collections at Sub county Levels were regularly reviewed and strategies were developed and this resulted in increased Local revenue collections.</p>	
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

<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 <p>+/- 10 %: then score 2. If more than +/- 10 %: Score 0.</p>	<p>Total Local Revenue Planned/Budgeted (Original not Revised budget) for FY 2017/2018 Shs 721,533,000 (Page 3 of Original Approved Budget FY 2017/2018</p> <p>Total Local Revenue collected during FY 2017/2018 Shs 513,070,816</p> <p>Performance 71% resulting into a deficit of 29% = (100%- 71%)</p> <p>Reasons for poor Performance in this area were that:</p> <p>The District Local Government budgeted for anticipated Local Revenue of Shs. 100 Million in the form of Compensation from Uganda National Road Authority (UNRA) which did not materialise in FY2017/2018. This was a situation of unrealistic budgeting for Local Revenue.</p>	<p>0</p>
-----------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

Local revenue administration, allocation and transparency

Maximum 4 points on this performance measure.

• Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2

Local revenue collections subjected to sharing with LLGs Shs 44,650,368 (Page 34,35 of the Draft Final Accounts FY 2017/2018)

Amount of local revenue remitted to LLGs Shs 18,000,000 as per Payment Vouchers indicated below:

VR NO	Date
Amt Shs	Payee
16376980 3000,000	8th Dec, 2017 Unyama S.C
16376980 3000,000	8th Dec, 2017 Paicho S/C
16376980 3000,000	8th Dec, 2017 Palaro S/C
16376980 3000,000	8th Dec, 2017 Awach S/C
16376980 3000,000	8th Dec, 2017 Bungatira S/C
16376980 3000,000	8th Dec, 2017 Patiko S/C
Total	18,,000,000

...Status of compliance:...

%ntage= Shs 18,000,000 x= 40%

Shs 253,986,284 (Pg 22,23 of Audited Final Acct 2016//2017)

The District LG remitted 40% to LLG of the mandatory Share of Local Revenue instead of the required 65% resulting into a deficit of 15%

<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 extracted from 15 Payment Vouchers and Payment Schedule during FY 2017/2018 was Shs 53,422,850 . Therefore,</p> <p>Shs 53,422,850 X 100= 21%</p> <p>Shs 253,986,294</p> <p>Total Council expenditures on allowances stood at 21 % Over and above the limit of 20% of the previous FY2016/2017 local revenue realised; This was contrary to regulation 4 of the First Schedule of the Local Governments Act CAP 243 as amended.</p> <p>However , the District Local Government was granted permission by the Minister of Local Government to spend a total of Shs 68,058,259 over and above the 20% limit on emoluments and allowances for Councillors in FY2017/2018 as per letter dated 26th March, 2018 Ref ADM/F.55/01 This was in accordance with Regulation 4A of the First Schedule of the Local Governments Act CAP 243 as amended.</p>	<p>0</p>
<p>Procurement and contract management</p>			
<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>Gulu DLG had the positions of the Senior Procurement Officer and the Procurement Officer substantively filled.</p> <p>The Senior Procurement Officer; Onekalit Bosco was appointed on 23rd March, 2018 as directed by DSC minute No. 1/13/2018, and the Procurement Officer; Okumu Moses was appointed on probation on 29th January, 2016 as directed DSC minute No. 1/01/2016</p>	<p>2</p>

The LG has in place the capacity to manage the procurement function

Maximum 4 points on this performance measure.

- Evidence that the TEC produced and submitted reports to the Contracts Committee for the previous FY: score 1

The appointed Evaluation Committee for the procurement during FY 2017/2018 produced evaluation reports with technical and clear recommendations to the Contracts Committee for instance;

The Construction of one block of two Classrooms with an office at Aswa Camp P.7 School in Mede Parish was evaluated by the District Water Engineer, the Ag. DE, the District Sports Officer and the Procurement Officer.

In its report dated 18th January, 2018, the EC recommended to the CC that M/s Awoto Foundation Uganda Limited be awarded the Contract as the best evaluated bidder at UGX 73,978,700.

The CC on 24th January, 2018 vide minute No. Gulu508/CC/2017-2018/01 upheld the recommendations of the EC and awarded the Contract to M/s Awoto Foundation Uganda Limited at UGX 73,978,700 and the Contract was signed on 9th February, 2018.

The same EC evaluated Procurement subjects; Construction of one block of two classrooms at Palaro P.7 School in Lobworomor Parish, Palaro Sub County and the CC awarded the Contract to M/s Roovaco Uganda Limited at UGX 60,650,000.

The same EC evaluated Procurement subjects; Construction of one block of two classrooms at Tegot P.7 School in Kai-Umu parish Paicho Sub County and the CC awarded the Contract to M/s Lacan Bil Uganda Limited at UGX 61,220,660

<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 upheld the recommendations of the EC and in all the awarded contracts, the PAT did not note any deviations from the EC recommendations, for instance;</p> <p>In its report dated 18th January, 2018, the EC recommended to the CC that M/s Awoto Foundation Uganda Limited be awarded the Contract for the Construction of one block of two Classrooms with an office at Aswa Camp P.7 School in Mede Parish as the best evaluated bidder at UGX 73,978,700</p> <p>The CC on 24th January, 2018 vide minute No. Gulu508/CC/2017-2018/01 upheld the recommendations of the EC and awarded the Contract to M/s Awoto Foundation Uganda Limited at UGX 73,978,700 and the Contract was signed on 9th February, 2018.</p>	<p>1</p>
<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>The Procurement and Disposal Plan (PDP) for FY 2018/19 covered all infrastructure projects in the FY 2018/19 AWP, for instance; on page 2 of the Procurement and Disposal Plan, the project for the construction of one Block of two classroom at Central Primary School at shs. 70M is in the AWP under the vote; Education with Shs. 218M lump up cost under building and construction of school building. The PBS AWP vote; Education budget was signed by the DEO.</p> <p>The Procurement and Disposal Plan for FY 2017/18 corresponded well with the respective AWP for example; item No. 2, Construction of one block of two unit classroom at Tegot Primary School estimated at Shs. 62M under the Education sector was also captured on page 20 of the FY2017/18 AWP.</p>	<p>2</p>

The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.

Maximum 6 points on this performance measure.

- For current FY, evidence that the LG has prepared 80% of the bid documents for all investment/

infrastructure by August 30: score 2

By 30th August, 2018, the PDU had prepared 100% of the bid documents for all the infrastructure projects for instance;

The Construction of one block of two classrooms at Palaro School; Gulu508/Wrks/2018-2019/0002 at Bid Security UGX 1.8M

The Bid document for this particular project was prepared and invitation for bidders closed on 28th September, 2018.

Further review indicated that the following bidders had bought the bids at non refundable fees of UGX 100,000;

M/s Acak Ki Kwene Construction and General Supplies Limited,

M/s Awoto Foundation Uganda Limited,

M/s Virmar Technical Investments Limited,

M/s Kosail Team Limited, and

M/s Denflo Construction Company Limited

Other prepared bids were for procurements;

- The Construction of 2 block of 5 stances drainable latrine at Palaro School; Gulu508/Wrks/2018-2019/00003 at Bid security Shs 1.4M.

- The Construction of 2 classrooms at Awach Central P/S; Gulu508/Wrks/2018-2019/00005 at Bid security Shs1.4M.

- The Renovation of Rwotobilo HC II Out Patient Department and Maternity ward in Bungatira S/C; Gulu508/Wrks/2018-2019/00007 at Bid security Shs 1.1M.

- Deep borehole geographical survey, drilling, test pumping and water quality testing and analysis of five boreholes in Bungatira, Palaro, Unyama and Patiko Sub counties; Gulu508/Wrks/2018-2019/00009 at Bid Security Shs 1.6M

<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p> <p>Maximum 6 points on this performance measure.</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 a DLG Contracts Register that captured all the executed Contracts for both Works and Supplies for FY 2017/2018.</p> <p>The register was up to date as it captured the contract for Construction of one block of two unit classroom with an office at Aswa Camp P.7 School by M/s Awoto Foundation Uganda Limited that had been completed on 16th April, 2018 as shown by the interim certificate No. 1.</p>	<p>2</p>
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.

Maximum 6 points on this performance measure.

- For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects): score 2.

All the procurements undertaken during the FY under review complied with Regulation 33(3) of the LGs (Public Procurement and Disposal of Public Assets) Regulations 2006 Thresholds for procurement of Works (1a and 1b), thresholds for procurement of supplies and services (2a and 2b), micro procurement (3) and community purchase (4). The LG used two procurement methods; Open Domestic and Restrictive/Selective bidding. This was evident from the sample of five indicated below;

Open Domestic Bidding, i. e Procurements with Price above Shs 100M were;

The Construction of one block of two Classrooms with an office at Aswa Camp P.7 School in Mede Parish was advertised in the Daily Monitor, Tuesday, October 3, 2017.

Similarly Procurement subjects; Construction of one block of two classrooms at Palaro P.7 School in Lobworomor Parish, Palaro Sub County,

Construction of one block of two unit classroom at Tegot Primary School and

The Procurement Gulu508/Surpls/2017-18/00001; Supply of Borehole pump parts for rehabilitation of boreholes in Oroko HC II, Omei HC II and Pugwinyi HC II were advertised in the Daily Monitor, Tuesday, October 3, 2017.

Restrictive/Selective Bidding was applied to;

a. Procurement; Gulu508/Wrks/2017-18/00006; Construction of 4 stance drainable latrine with urinal at Lugore HC II in Labworomore parish, Palaro Sub County at Shs 27,059,419. The LPO serial No. 0669633 to M/s Deg Bedo Company (supplier No. 38 on the Prequalified list dated 28th November, 2017 under the construction sector). The LPO drawn by the LG was to the Service provider was dated 13th June, 2018.

<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 <p>for all projects based on technical supervision: score 2</p>	<p>There was evidence that the LG certified and provided detailed project information on all investments as per the examples below;</p> <p>The Construction of one block of two Classrooms with an office at Aswa Camp P.7 School in Mede Parish under Procurement Reference No. Gulu508/Wkrs/2017-2018/00001 at a contract price of UGX.73,978,700</p> <ul style="list-style-type: none"> Inspection site report by supervisor Ocaya Kenneth dated 16th April, 2018 Interim Certificate No. 1 worth UGX 66,062,979 less of WHT was issued on 16th April, 2018 	2
<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 clear labeling of works projects for instance;</p> <p>The Construction of one block of two Classrooms with an office at Aswa Camp P.7 School in Mede Parish was clearly labelled with information indicating among others the Contractor as M/s Awoto Foundation Uganda Limited and the project cost of UGX 73,978,978 and FY 2017/2018</p>	2
Financial management			
<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>There was documentary evidence by way of bank Reconciliation Statements that the following bank Accounts had been reconciled up to end of Financial Year FY2017/2018 as at 30th June 2018</p> <ul style="list-style-type: none"> Treasury Single Account A/C 005080528000000 at Bank of Uganda Reconciled to 30th June, 2018. General Fund A/C No 27711644010110 at Orient Bank –Gulu Branch Reconciled up to 30th June, 2018. NUSAF 3 A/C 07571830004 at Bank of Africa Gulu Branch- Reconciled to 30th June 2018 NUSAF 3PROJECTA/C 07571820009 at Bank of Africa GuluBranch <p>Reconciled to 30th June,2018</p> <p>UNICEFA/C 140087448101</p>	0

at Stanbic BankGulu

Reconciled to 30th June2018

- Youth Livelihood Project A/C7547680004

At Bank of Africa Gulu Branch. Reconciled to 30th June 2018

- Youth Livelihood Project

Operation A/C 140087448191 at Bank of Africa Gulu Branch.

However, apart from the Single Treasury Account, maintained at Bank of Uganda, the rest of the bank Accounts namely

- General Fund,NUSAF3, NUSAF3
- Project/C,
- UNICEF,A/C
- Youth Livelihood Project/C,
- Youth Livelihood Project Operation A/C had not been reconciled to date as at 31st August 2018 (at the time of this Performance Assessment exercise (as at 1st October,2018)

Gulu District LG was operating IFMS.

Functional Gap identified

Bank Reconciliation statement were not among the Schedules attached to Draft Final Accounts FY2017/2018

<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>LG made timely payment of suppliers during the previous FY for which there were no overdue bills (e.g. procurement bills) This was evidenced from the sampled Payment Vouchers as indicated below;</p> <p>Voucher No HEL/25/06/18, dated 14th June, 2018 at Shs 27,059,419 Payee PEG BEDO Company Ltd BOX 109 Kitgum, Uganda. Purpose :Construction of 4 Stance drainable Latrine at Lugore HC 11</p> <ul style="list-style-type: none"> • Certificate of works done issued on 5th June, 2018. • DHO endorsed the Certificate on 5th June, 2018. • Request for Payment made on 14th June,2018-10-01 • Payment effected promptly within a period of 2weeks. <p>Voucher No HEL/66/06/18 dated18th June,2018, Amount Shs 13,823,830 Payee ASIENJO General Enterprises U Ltd Loro Division Agwe Parish Obiya Highland Gulu Municipality for the Renovation of Water borne Toilet behind DHO's Office :</p> <ul style="list-style-type: none"> • Certificate of work done issued on 13th June,2018-10-01 • DHO certified the work done on 19th June, 2018. • Request for Payment made on12th June 2018. • DHO endorsed the request on 13th June,2018-10-01 • Payment effected on23rd June,2018 • Payment effected promptly within a period of 11 days.
---------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<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>The District Local Government had a Principal Internal Auditor by the names of Paska Nyeno, as per Appointment Letter dated 10th February,2012 Ref.CR/156/3.. The District Service Commission under Minute No04/01/2012(D) had directed that Ms. Paska Nyeno be offered. accelerated promotion to the Post of Principal Internal Auditor</p>	<p>1</p>															
<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"> • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>Quarterly Internal Audit Reports for FY 2017/2018:</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Date of report</th> <th>Reference</th> </tr> </thead> <tbody> <tr> <td>Quarter 1</td> <td>15th January 2018</td> <td>CR/106/3</td> </tr> <tr> <td>Quarter 2</td> <td>28th March,2018</td> <td>CR/106/3</td> </tr> <tr> <td>Quarter 3</td> <td>25th June,2018</td> <td>CR/106/3</td> </tr> <tr> <td>Quarter 4</td> <td>27th September,2018</td> <td>CR/106/3</td> </tr> </tbody> </table>	Quarter	Date of report	Reference	Quarter 1	15th January 2018	CR/106/3	Quarter 2	28th March,2018	CR/106/3	Quarter 3	25th June,2018	CR/106/3	Quarter 4	27th September,2018	CR/106/3	<p>2</p>
Quarter	Date of report	Reference																
Quarter 1	15th January 2018	CR/106/3																
Quarter 2	28th March,2018	CR/106/3																
Quarter 3	25th June,2018	CR/106/3																
Quarter 4	27th September,2018	CR/106/3																
<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>	<p>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.</p>	<table border="1"> <thead> <tr> <th>Number of queries raised</th> <th>Number of queries cleared</th> <th>Number of queries pending</th> </tr> </thead> <tbody> <tr> <td>28</td> <td>28</td> <td>None</td> </tr> </tbody> </table> <ul style="list-style-type: none"> • There was no documentary evidence that the LG had provided information to the Council and LG PAC on the status of implementation of internal audit findings for FY2917/2018 • Similarly, there was no documentary evidence at the time of this Performance Assessment exercise that LGPAC had reviewed any of the Four Quarterly Internal Audit reports for FY2017/2018. <p>Reasons for not sitting were inadequate funding as well as the backlog for FY 2016/17</p>	Number of queries raised	Number of queries cleared	Number of queries pending	28	28	None	<p>0</p>									
Number of queries raised	Number of queries cleared	Number of queries pending																
28	28	None																

<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 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. 	<p>There was documentary evidence by way of Registry acknowledgement Stamp and enquiries from Clerk to Council that Internal Audit reports were submitted to LG Accounting Officer ,and LGPAC respectively</p> <p>However, there was no documentary evidence that LGPAC had reviewed any of the Quarterly Internal Audit Reports for FY 2017/2018 and therefore</p> <p>LGPAC Functionality was found wanting in FY2017/2018</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Date of submission</th> <th>Reference for report review</th> </tr> </thead> <tbody> <tr> <td>Quarter 1</td> <td>18th January,2018</td> <td>CR/106/3</td> </tr> <tr> <td>Quarter 2</td> <td>29Th March,2018</td> <td>CR/106/3</td> </tr> <tr> <td>Quarter 3</td> <td>26th Jue,2018</td> <td>CR/106/3</td> </tr> <tr> <td>Quarter 4</td> <td>28th September 2018</td> <td>CR/106/3</td> </tr> </tbody> </table>	Quarter	Date of submission	Reference for report review	Quarter 1	18th January,2018	CR/106/3	Quarter 2	29Th March,2018	CR/106/3	Quarter 3	26th Jue,2018	CR/106/3	Quarter 4	28th September 2018	CR/106/3	<p>0</p>
Quarter	Date of submission	Reference for report review																
Quarter 1	18th January,2018	CR/106/3																
Quarter 2	29Th March,2018	CR/106/3																
Quarter 3	26th Jue,2018	CR/106/3																
Quarter 4	28th September 2018	CR/106/3																
<p>The LG maintains a detailed and updated assets register</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> 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 	<p>There was an attempt to compile Assets Register but not conclusively. The District LG had one Single Assets Register comprising all categories of Assets i.e Furniture, Computers and Buildings as opposed to the three required Categories of Assets Registers outlined on Pages f167-168 of the Local Governments Financial and Accounting Manual 2007. The format of the Single Assets Register was not Consistent with the required Formats contained in the Local Governments Financial and Accounting Manual 2007.</p>	<p>0</p>															

<p>The LG has obtained an unqualified or qualified Audit opinion</p> <p>Maximum 4 points on this performance measure</p>	<p>Quality of Annual financial statement from previous FY:</p> <ul style="list-style-type: none"> • Unqualified audit opinion: score 4 • Qualified: score 2 • Adverse/disclaimer: score 0 	<p>Gulu District Local Government obtained Unqualified Audit Opinion for FY 2017/2018</p>	<p>4</p>
--------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------	----------

Governance, oversight, transparency and accountability

<p>The LG Council meets and discusses service delivery related issues</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • 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 	<p>During FY 2017/18, Gulu District Council met four times and discussed service delivery related issues as provided in the minutes below:</p> <p>? On 27th September, 2017 under Min.04/COUN/2017-18: Presentation and discussion of District Executive Committee reports e.g. transfer and deployment of CAO, provision of space for Directorate of Citizenship and Immigration, e.t.c.</p> <p>? On 28th December 2017 under Min.09/COUN/2017-18: Presentation of a District State of Affairs Address.</p> <p>? 28th March, 2018 under Min. 16/COUN/2017-18: Laying of District Draft Budget Estimates for FY 2018/19.</p> <p>? On 30th May, 2018 under Min. 25/COUN/2017-18: Discussion and approval of District Budget Estimates and Work Plans for FY 2018/19.</p>	<p>2</p>
-------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<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>Mr Ocen Peter Enock, who was presented as a designated person to coordinate responses to feed-back (grievances/complaints) and responses to feedback just had a normal appointment letter in public service ref. CR/156/3 dated 16th April, 2018 as a Senior IT Officer.</p> <p>The Officer was not officially designated the responsibility to coordinate grievances in the Council.</p>	<p>0</p>
<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>The District did not have a well specified system for recording, investigating and responding to grievances raised by the public which could be displayed for public consumption. What was happening was for the public to report the grievances to their respective sub-counties who would handle them at their level or submit them to TPC for consideration and to CAO for a course of action.</p>	<p>0</p>
<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>Payroll and pensioner schedules (reportedly done every month) for the month of September, 2018 were pinned up on the public Notice Board outside the old Administration block.</p>	<p>2</p>
<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> Evidence that the procurement plan and awarded contracts and amounts are published: score 1. 	<p>There was no evidence on any of the public Notice Boards in the District that the procurement plan and awarded contracts for FY 2018/19 were published for the public's eye. What was seen by PAT on a Notice Board was a schedule for the Best Evaluated Bidders.</p>	<p>0</p>

<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> 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>Gulu District Performance Assessment Report Card dated 27th June 2018 and signed by Hon Mary Karoro Okurut, Minister In-Charge of General Duties in the Office of the President was up on the District Notice Board at the entrance of the Main Block. The card showed the rankings scored by the District in various categories. Overall, the District was ranked 80th out of 138 entrants.</p>	<p>1</p>
<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> Evidence that the HLG have communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY: score 1 	<p>The District communicated and explained to the LLGs guidelines, circulars and policies issued by the national level during FY 2017/18 through the District Social Media Platform called GULU DTPC. The platform was being accessed by HoDs, Sector Heads, SASs, Head-teachers, and In-charges of Health Centres. Examples for such communicated messages using the platform included:</p> <ol style="list-style-type: none"> A letter from Ministry of Water and Environment ref. WAD 84/253/01 informing CAO to invite DWO, DEO, D/Health Officers, Health Assistants, SASs, CDO to a meeting on Solar Powered Micro Irrigation Scheme. A letter from the MoFPED ref. ISS/45/256/01 posted on 16th May 2018 to PS MoLGSD, Director of Gulu Regional Referral Hospital, CAOs (in Northern Region) about funds for Nodding Diseases in Northern Uganda. 	<p>1</p>
<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> 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. 	<p>During FY 2017/18 the District through the office of the LC V Chairman and RDC held radio programmes to address issues of the District. On Tuesdays and Thursdays theof every week, Chairman and RDC had discussions on Radio Rupiny and Radio Mega respectively. But there was no reasonably dependable evidence such as a report to support these undertakings.</p>	<p>0</p>
<p>Social and environmental safeguards</p>			

<p>The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> 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. 	<p>There was evidence that the gender focal point person and the CDO provided guidance and support to sector departments to mainstream gender, vulnerability and inclusion into their activities as follows;</p> <ul style="list-style-type: none"> Report to CAO dated 4th July, 2017 of facilitation of the district resource pool, training the DPTC and STPC on gender and development planning. Report on support supervision conducted for the sub- Counties and the Municipality divisions on gender responsive planning by the Gender Focal Point person Theme of Womens' day celebrations, 8th March, 2018 was "Empowerment of Rural Women and Girls; Opportunities and challenges. Memorandum of 8th March,2018, by women addressing aspects of vulnerability of women and girls seen in the memorandum. 	<p>2</p>
<p>The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> 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 implement-ted: score 2. 	<p>Planned activities for financial year 2018/19 strengthening women's roles and addressing vulnerability:-</p> <ul style="list-style-type: none"> Gender mainstreaming in all the 6 sub-Counties divisions of the Municipality divisions 16 campaigns on gender activism at the district level. 10 series of community dialogues on gender issues <p>Approved budget estimates for the sector was shs. 1,284,655,968/-</p> <p>The following was spent on strengthening womens' roles and address vulnerability:-</p> <ol style="list-style-type: none"> Community dialogue for gender based violence and gender mainstreaming voucher no.CBS/06/18 599,400/- of 10th.5.2018 Assessment in child care institutions voucher no.CBS/06/02/18 of 600,000/- dated 09.02.18 Facilitaing the Disability council, voucher no. CBS/16//06/18 of1,583,769/- dated 07.06.18 	<p>2</p>

4. Training of women councils, voucher no.CBS/16/06/18 of shs 814,000/-
5. Community dialogue on gender based violence voucher no CBS/09/06/18 of 2,440,684/- dated 21st June, 2018
6. Commemoration of the people with disability, voucher no. CBS/01/01/18 of 2,000,000/- dated 19th June, 2018
7. Training of women council voucher no.CBS/08/17 of 813,500/- dated 26th September, 2017
8. Facilitating disability council meeting, voucher no.CBS/16/09/17 of 406,000/- dated 28th September,2017
9. Special grant for PWDs voucher no. CBS/15/09/17 of 989.800/- dated 28th September,2017
10. Assessment of 10 child care institutions in Gulu district voucher no.CBS/01/11/18 of 2,000,000/- dated 24th November,2017

100% of FY 2017/18 budget for gender activities/ vulnerability/ social inclusion had been implemented.

<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 environmental screening or EIA where appropriate, are carried out for activities, projects and plans and mitigation measures are planned and budgeted for: score 1 	<p>From PDU, bid documents of the following projects were sampled:-</p> <ol style="list-style-type: none"> 1. Construction of drainable pit latrine at Bucoro market meat in Awac sub- County. <ul style="list-style-type: none"> -No screening files -No Monitoring reports -No ESMP Review -No Certification Forms <ol style="list-style-type: none"> 2. Construction of 1 block of 4 classrooms at Akonyibedo Prim school In Onyama subcounty <ul style="list-style-type: none"> - No ESMP seen - No screening forms seen - No monitoring report seen - No completion certification seen <p>Environmental aspects not budgeted for in the BOQs</p>	<p>0</p>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<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 LG integrates environmental and social management and health and safety plans in the contract bid documents: score 1 	<p>The following projects were sampled:-</p> <ol style="list-style-type: none"> 1. Construction of 1 block of 3 stances VIP latrine at Tegot Primary school <ul style="list-style-type: none"> - No social management, health and safety plans seen in the contract Bid documents 2. Construction of a 2 stance drainable latrine at Paibona Primary school <ul style="list-style-type: none"> - No social management, health and safety plans seen in the contract bid document. 3. Construction of a VIP drainable pit latrine at Bucoro Market in Awach sub county. <ul style="list-style-type: none"> - No environmental and social management and health safety plans seen in the bid document sampled. 4. Construction of 1 block of 2 classrooms at Palero SSS:- <ul style="list-style-type: none"> - No social management and environment nor health safety guards seen in the bid documents seen. 5. Construction of 2 stances of VIP latrine at Ogur market in Awach sub County. <ul style="list-style-type: none"> - No social management and environmental nor health and social safety plans seen in the bid document sampled. 	<p>0</p>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<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 projects are implemented on land where the LG has proof of ownership (e.g. a land title, agreement etc.): score 1 	<p>There was evidence that projects implemented by Gulu District Local Government had proof of ownership, e.g land Titles, agreements. For instance;</p> <ol style="list-style-type: none"> 1. Gulu Engineering Department Work shop had a land title detailed Block Road, Goma Road, Plot 16 and 18, Goans Quarters 2. District Water Office Premises, Block Road, Goma Road, Plot 8 Goans Quarters 3. Gulu District HQs, Block Road, Airfield Road, Plot 4 to 8, Senior Quarters, Iriaga. 4. Pece Stadium, Plot 84 to 92 Jomo Kenyatta Road 5. 6 Schools and 6 Health Centres had applied for land Titles forwarded to respective land committees for onward for onward submission to Gulu District Land Board. 	<p>0</p>
<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>The following sampled completed projects did not have Environmental and Social mitigation Certification form completed and signed by the Environmental Officer and CDO:-</p> <ol style="list-style-type: none"> 1. Drainable pit latrine at Palaro at Paicho sub-County. 2. Drainable pit latrine in Palaro at Paicho Sub county 3. Consruction of 2 classroom Block at Tegot Paico sub-County 4. Construction of VIP pit latrine at Paico sub-County HQs (700,000/- allocated for tree planting) 5. Construction of 1 block of two classrooms at Palero SS. 	<p>0</p>

<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>There were no prior environmental and social clearance safeguards seen in the following completed projects:</p> <ul style="list-style-type: none"> - Renovation and extension of out-patient department at Lugore Health center II in Gulu district Local Government. - Construction of 1 Block of 2 classrooms at Palero SSS. - Construction of drainable pit latrine at Palaro in Paico Subcounty HQs. - Construction of 2 stances of VIP latrine at Ogur market in Awac sub- County. 	<p>0</p>
<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 environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. Score: 1 	<p>No monthly reports from environmental Officer and CDO with completed checklists with deviations of projects sampled seen.</p>	<p>0</p>

Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management			
<p>The LG education de- partment 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>The department had budgeted for 55 head teacher 55 and 785 teachers for the FY 2018/19 at shs.8,775,549, 000. This figure was captured on page 37 of the district budget for FY 2018/19 which was signed by the Chairperson, Mr Ojara Martin Mpenduzi on 7th September, 2018.</p>	4

<p>The LG education de- partment 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>The District had deployed a head teacher and a minimum of 7 teachers per school for the FY 2018/19.</p> <p>For Instance;</p> <ol style="list-style-type: none"> 1. Okwera Pino Christopher CR/EDU/104111 had been deployed as head teacher to Omel P/S together with 7 teachers 2. Akot Christine Ochaya CR/ED/13358 had been deployed as head teacher to Ogul P/S along with 12 teachers 3. Omona Maclean had been deployed as head teacher to Pawel Angany P/S along with 10 teachers 4. Alimocan Flavia CR/EDU/10962 had been deployed as caretaker head teacher to Cet-Kana P/S along with 11 teachers. There was posting instruction letter for the care-taker head teacher dated 3rd May, 2016, ref.CR/156/4. 5. Oyella Josephine CR/ADU/10903 had been deployed as head teacher together with 14 teachers. 6. Abaco James CR/ED/10184 had been deployed as head teacher to Lukome P/S along with 10 teachers. 7. Lakwo Wilfred CR/ED/10371 had been deployed as head teacher to Kalamaji P/S along with 9 teachers. 	<p>4</p>
<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"> o If 100%: score 6 o If 80 - 99%: score 3 o If below 80%: score 0 	<p>Primary teachers wage allocation for Gulu district for FY 2018/2019 was shs.8,775,549,000</p> <p>Wage for primary school teachers in post for FY 2018/2019 was shs.6,300,309,600 for 791 teachers. The staff ceiling for the LG was 744. The LG had recruited teachers beyond their staff ceiling.</p> <p>%wage provision when calibrated is over 100%.</p>	<p>6</p>

<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 LG had substantively filled all positions of school inspectors per staff structure dated 18th September, 2018. The officers were;</p> <ol style="list-style-type: none"> 1. Obot Robinson CR/GDLG/11123 was appointed Senior Inspector of Schools under the direction of DSC Min.no.2/2007(f) on letter dated 19th June, 2007, Ref.CR/156/3 2. Obol David CR/GDLG/12297 was appointed Inspector of Schools under the direction of DSC Min.no.3/4/207/1 on letter referenced CR/156/3 dated 12th May, 2017. 	<p>6</p>
<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 department submitted a recruitment plan to HRM for FY 2018/19 under letter referenced GDLG/06/EDU/18/6a and dated 18th September, 2018 requesting for recruitment of 23 primary teachers.</p>	<p>2</p>
<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 inspector of schools was not included on the recruitment plan because the two positions were substantively filled at time of assessment.</p>	<p>2</p>
<p>Monitoring and Inspection</p>			

<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>Inspector of schools were appraised as follows;</p> <ol style="list-style-type: none"> 1. Obot Ronsbson, the Senior Inspector of schools was appraised on 10th July, 2018. The comment by the appraiser was that the Officer was result-oriented and also recommended further training for areas of weakness. 2. Obol David, the Inspector of Schools had been appraised on 5th July, 2018. 	<p>3</p>
<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"> • Primary school head teachers o 90 - 100%: score 3 o 70% and 89%: score 2 o Below 70%: score 0 	<p>There was no evidence that head teachers were appraised for calendar year 2017. PAT did not see any performance reports within the personal files of the head teachers at the time of assessment.</p>	<p>0</p>

<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> <p>Maximum 3 for this performance measure</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>The department had communicated guidelines, policies and circulars issued by the national level. For instance;</p> <ol style="list-style-type: none"> Circular on teacher support supervision in schools dated 30th June, 2017 with ref.ADM/203/255/01 Guidelines for registration of 2018 candidates dated 20th March, 2018. Guidelines for implementing three star approach for water sanitation and hygiene in schools. <p>The following circulars were seen at schools during the field visits;</p> <ol style="list-style-type: none"> At Cwero P/S, a circular on protection of children from all forms of violence including corporal punishment, the Uganda national primary school performing arts festival syllabus for 2018 dated 17th April, 2018 on letter Ref.ADM/13/137/01, policy on feeding program. At Pakwelo P/S, the following guidelines were seen; Hygiene for girls in p/S, national sanitation guidelines, e.t.c. 	<p>1</p>
<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> <p>Maximum 3 for this performance measure</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>The department had held meetings with primary school head teachers and among others explained and sensitized them on the guidelines, policies and circulars issued by national level. For instance;</p> <ol style="list-style-type: none"> On 9th March, 2018 under MIN05/10/2017, the DEO informed head teachers that the office term for some SMCs had expired, hence the need to appoint new SMCs. He also explained the National workplace policy on HIV and AIDS in the education sector. Meeting held on 25th May, 2018 under MIN04/05/2018, the DEO highlighted the Education and Sports Sector Strategic Plan 2017/18-2019/20 On 13th April, 2018, the DIS under MIN03/04/2018 explained the theme for 2018 MDD festival- which was “Chase Malaria” Other meetings were held on 19th January, 2018, 11th August, 2017, 20th October, 2017, 29th September, 2017. 	<p>2</p>

<p>The LG Education De- partment has effectively inspected all registered primary schools²</p> <p>Maximum 12 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all licenced or registered schools have been inspected at least once per term and reports produced: <ul style="list-style-type: none"> 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. 	<p>The district had 55 government aided as well as 6 licensed primary schools. On page 2 of the inspection report for Term II, 2018 and dated 23rd July, 2018- all the 55 government aided primary schools were inspected.</p> <p>In Term I of 2018, the inspection report dated 30th April, 2018 indicated that 55 UPE schools as well as 12 private schools were inspected.</p> <p>Term III of 2017, the inspection report dated 6th December, 2017 indicated that all 55 UPE schools were inspected. The private schools number inspected was not clear in the report (page 2) while 3 out of 5 community schools were inspected.</p> <p>Field visits to the following schools however indicated indicated that inspection had been conducted as follows;</p> <ol style="list-style-type: none"> 1. At Cwero P/S, inspection was carried out on 3rd August, 2018, 14th June, 2018, 4th July, 2017. 2. At Paicho P/S, inspections were carried out on 13th June, 2018, 4th July, 2017, 3rd May, 2018. 3. At Denis P/S- a private school, no evidence seen that inspection was carried out during the FY 2017/18. 4. At Unyama P/S, inspection was carried out as follows; 18th October, 2017, 6th July, 2018 5. At Pakwero P/S, inspection was carried out on 23rd February, 2018, 13th June, 2018 <p>Not all schools were inspected at least once per term. No evidence that private schools were inspected during the FY in review.</p> <p>To calibrate the inspection rate, the percentage comes to 70%.</p>
----------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> 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 	<p>The education department held meetings and discussed the results/reports of school inspections as follows;</p> <ol style="list-style-type: none"> A meeting held on 29th June, 2018 in the DEO office, it was resolved under MIN03 that continuous professional development training for teacher be organized. A meeting on 10th May, 2018 and under MIN04, it was reported that support supervision was done in 23 schools and some teacher were found to be absent. It was resolved that errant teachers be issued with warning letters. A meeting held 15th February, 2018 under Min03/18 discussed the heavy workload on the inspector of schools who carry out support supervision to all schools in the district. Meeting held 10th August, 2017 under Min.no03/2017 reiterated the need to have an officer available in the DEO office during office hours, instead of having all staff proceed to field for inspection of schools. 	<p>4</p>
<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed 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>The department had submitted school inspection reports as follows;</p> <ol style="list-style-type: none"> Term II, 2018 report was submitted on 6th September, 2018; Term II, 2017, Term I, 2018 reports were submitted on 5th June, 2018; <p>No evidence that inspection report for Term III, 2017 had been submitted at the time of assessment.</p>	<p>0</p>

<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed 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>There was evidence that the inspection recommendations were followed up. For instance;</p> <ol style="list-style-type: none"> 1. On absenteeism from duty by Mr. Nokrach David of patiko P/S, a warning letter dated 6th August, 2018 was written to him about the same subject. 2. On alleged impersonation by Oola Peter, head teacher of Olel P/S, a letter dated 19th January, 2018 and ref.EDU/GDLG/3/18 invited the head teacher to provide his written explanation about the allegations. 3. On abandonment of duties, letters dated referenced CR/157/3 and dated 12th December, 2017 communicated the termination of services for; Okumu George, Olal Stephen and Cherop Moses as primary school teachers. <p>At Paicho P/S, inspection recommendations were followed up. For instance; School had provide hand washing points to improve sanitation at school. The school was regularly contracting the services a compound clear to clear the compound.</p>	<p>4</p>
<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>Submitted lists of 55 schools were consistent with both EMIS and PBS for FY 2018/19.</p>	<p>5</p>

<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 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>Submitted enrolment data of 37,972 was consistent with both EMIS and PBS for FY 2018/19.</p>	<p>5</p>
<p>Governance, oversight, transparency and accountability</p>			

The LG committee re- sponsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council

Maximum 4 for this performance measure

• 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

The Committee responsible for Education conducted 4 standing committee meetings for FY 2017/18 as follows;

1. On 5th September, 2017 committee recommended compulsory school feeding program. Parents were to be sensitized about the importance of the school feeding program. Recommended for period for registration of pupils under NIRA to be extended from 31st August-, 2017 to September/October, 2017. Also it was recommended that the sub-Accountants were to mentor the head teachers on financial management. All the above were discussed and passed under SSC/4/1/1/17-18

2. On 11th December, 2017, committee discussed and passed resolutions as follows; DLG should conduct capacity building for head teacher on school administration, titling of all school land to eliminate disputes, DLG administration to make arrangements and talk to school foundation bodies under them should be managed, CAO was directed that disciplinary committee should handle disciplinary cases as fast as possible- all discussed under Min.8/SSC/2017-18(1)(i)

3. On the 20th February, 2018, committee discussed as follows; that parents should be sensitized about the need to attend PTA meeting in the respective schools of their children, teachers to ensure that guidance and counseling of pupils in schools in undertaken, the ministry requested MoES to code the following community schools, few to mention;

- Omel P/S in Omel parish, Paicho sub-County
- Kinene P/S in Pakwelo parish, Unyama sub-County
- Ocetoaka P/S in Mede Parish, Palalo sub-County.

All the above were discussed under MIN.12/SSC/2017-18(2)(i)

4. The fourth and last meeting of the FY 2017/18 was held on 18th May, 2018. The following were discussed and recommendations made; recommended for Council approval the sector budget of shs.13,959,229,000 under MIN.17/SSC/2017-18(A).

The LG committee re- sponsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council

Maximum 4 for this performance measure

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

Education sector committee presented issues that required Council approval as follows;

1. On 27th September, 2017 the Council resolved that parents to be sensitized on providing mid day meals to their children and regular school attendance. The sub-accountants assisting the head teachers IN FINANCIAL MANAGEMENT WAS ALSO APPROVED BY council, under MIN.05/COUN/2017-18(e)
2. On 28th December, 2017- capacity building for head teachers and SMCs in administration as well as conflict management at work places, the district to title all school land in order to eliminate disputes, e.t.c all under MIN.11/COUN/2017-18(4)(i)(a)
3. On 28th March, 2018 Council passed resolution about sensitizing the parents about attending PTA meetings as well as having all teachers in schools to guide and counsel pupils while at school and lastly coding of some community schools by MoES all discussed under MIN.20/COUN/2017-18(2i)
4. On the 30th May, 2018, Council approved sector FY 2018/19 Work Plan and budget under MIN.25/COUN/2017-18. The approved budget was at shs.13,953,249,122 (xvi)(6).

<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>Primary schools had functional SMC and had held meetings as follows;</p> <ol style="list-style-type: none"> 1. Pageya P/S had held meetings on the following dates; 23rd February, 2018 under MIN.03/2018 discussed the monitoring and supervision of schools, MIN04/2018 discussed school financial stand. In attendance were 11 members. Meeting held on 7th October, 2017 discussed financial report 2. Lukodi P/S conducted SMC meetings as follows; 29th June, 2018 and under MIN.04/06/2018 discussed report from Lukodi Development Foundation especially the support given to school towards the school feeding program, meeting held on 1st March, 2018, 19th February, 2018, 9th November, 2017, 14th September, 2017 3. Gulu PTC Dem.School held meetings as follows; 5th May, 2018 under MIN3/1/2018 endorsed opening of development account. Other meetings were held on 29th March, 2018, 13th December, 2017, 19th April, 2018 4. Pakwero P/S had held meetings as follows; 27th November, 2017 to discuss teachers' welfare, repair maintenance at school as well as creating an emergency fund for the school. On 20th April, 2018 meet discussed encroachment on school land, meet on 2nd August, 2017 5. Bungatira P/S had held meetings as follows; 3rd July, 2018 and discussed indiscipline of by Ms Ngamita Florence- persistent absenteeism, 11th April, 2018 <p>All SMCs were functional per the statutory requirement.</p>	<p>5</p>
<p>The LG has publicised all schools receiving non- wage recurrent grants</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has publicised all schools receiving non-wage recurrent grants <p>e.g. through posting on public notice boards: score 3</p>	<p>The LG had publicized all the 55 primary schools receiving UPE grants through posting on the notice board outside the office of DEO that could be accessed all the time by all stakeholders. Grants amounting shs.349,586,419 for FY 2017/18 had been displayed. Grant realized for quarter 1 of FY 2018/19 and amounting to shs.127,108,450 had also been displayed. The DEO signed and stamped all publications.</p>	<p>3</p>
<p>Procurement and contract management</p>			

<p>The LG Education department has submitted input into the LG procurement plan, complete with all technical requirements,</p> <p>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>Sector had submitted procurement inputs to the Procurement Unit that covered all investment items in the approved work plan and budget. Submission was made on 15th May, 2018, well beyond the stipulated timeline of 30th April. The following inputs, amongst others had been made to the Procurement Plan;</p> <ol style="list-style-type: none"> 1. Construction of a 2 classroom block at Palaro SS with a contract sum of shs.80m 2. Construction of 4 units of teachers houses at Paibena P/S with a contract sum of shs.115m 3. Construction of a 5 stance drainable latrine at Abaka P/S with a contract sum of shs.26m <p>Attempts had been made to capture the same projects the AWP on pages 332-334 for FY 2018/19</p>	<p>0</p>
<p>Financial management and reporting</p>			

<p>The LG Education department has certified and initiated payment for supplies on time</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: score 3. 	<p>There was documentary evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: This was verified by Sampling the following Payment Vouchers.</p> <p>Voucher No HEL/66/06/18 dated 6th June,2018,Amount Shs 70,279,765 Payee: Awoto Foundation Box 1159 for the Construction of One Block of 2unit Classroom With an Office in Aswa Camp Primary School.</p> <ul style="list-style-type: none"> • Certificate of work done issued on 11th April, 2018 • DEO endorsed the Certificate on 11th April 2018 • Request for Payment made on 13th April, 2018 • DEO endorsed the Payment on 18th April, 2018 • Payment effected Units Classroom at on 6th June, 2018 • Payment effected promptly within a period of One Month and 2 weeks. <p>Voucher No EDUC/02/6/2018 date 6th June, 2018, Amount Shs 55,202,357 Payee Lacan Bil (U) Ltd Box 1102 Gulu Purpose: Construction of one Block of Two Units Classroom at Tegot Primary School.</p> <ul style="list-style-type: none"> • Certificate of work done issued on 17th April 2018 • DEO endorsed the Certificate on 18th April, 2018 • Request for Payment made on 9th April, 2018 • DEO endorsed the Request on 18th April 2018 • Payment effected on 6th June, 2018. Payment effected promptly within a period of One Month and 2 weeks.
-------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<p>The LG Education department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • 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 	<p>The department had submitted the annual performance report for FY 2017/18 with availability of all four quarterly reports on 15th July, 2018 at 9.05pm</p>	<p>4</p>						
<p>LG Education has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • 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 <ul style="list-style-type: none"> 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 to score 0 	<p>There was no evidence that the sector had provided information to the internal audit on the status of implementation of all audit findings for the financial year:</p> <p>FY 2016/2017:</p> <table border="0"> <tr> <td>Number of queries raised</td> <td>Number of queries cleared</td> <td>Number of queries pending</td> </tr> <tr> <td>13</td> <td>12</td> <td>1</td> </tr> </table>	Number of queries raised	Number of queries cleared	Number of queries pending	13	12	1	<p>0</p>
Number of queries raised	Number of queries cleared	Number of queries pending							
13	12	1							
<p>Social and environmental safeguards</p>									

<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.: <p>Score 2</p>	<p>There was evidence that the LG education department in consultation with the gender focal person had disseminated guidelines on how the senior women/men teacher should provide guidance to girls and boys to handle hygiene, reproduction health and life skills. For instance;</p> <ol style="list-style-type: none"> A training report dated 31st May, 2018 indicated that senior women teachers were trained in life skills- which encompassed coping with emotions by students, assertiveness. The training was conducted in conjunction with World Vision. A total of 29 senior women teachers attended. 	<p>2</p>
<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: <p>score 2</p>	<p>The guidelines for sanitation for girls and PWDs were issued- as evidenced from the construction of latrines at schools visited. For every school visited (Cwero P/S, Unyama P/S, Paicho P/S, e.t.c), there was a stance of latrine catering for PWDs and girls separately.</p>	<p>2</p>
<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: <p>score 1</p>	<p>School Management Committee met guidelines on gender as follows;</p> <ol style="list-style-type: none"> Bungatira P/S had 13 SMC members appointed on 10th February, 2017. There were 2 female committee members. Pakwelo P/S had 13 members appointed on 1st February, 2018. There were 4 female committee members Gulu PTC Dem. School had 13 members appointed on 16th June, 2016. There were 5 female committee members Pageya P/S had 13 members appointed on 27th March, 2015. There were 4 female committee members. However, the term for this committee had expired and a new one was yet to be appointed. <p>All the sampled SMC met the guidelines on gender composition at 33%</p>	<p>1</p>

<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>Draft guidelines on environmental management in schools dated 25th August, 2017 had been prepared and issued. They were signed by the District Environmental Officer.</p> <p>The guidelines included amongst others;</p> <ol style="list-style-type: none"> 1. Availability of adequate sanitary facilities band-named for both girls and boys. 2. Adequate hand washing facilities 3. Wood lots for every school was to be a MUST 4. E.t.c 	<p>1</p>
<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: Score 1 	<p>No clear evidence was seen that environmental and Social Review for infrastructure projects had been conducted.</p> <p>PAT did not see environmental screening forms or the completion certificates</p>	<p>0</p>
<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>There was no evidence that the environment officer and CDO had visited the sites. No monitoring report was seen by the PAT.</p>	<p>0</p>

Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management			
<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>The PHC wage allocation for Gulu district for FY 2018/2019 was shs. 2,911,496,000/(page 15 of the District Health work plan)</p> <p>PHC wage for health workers in post for FY 2018/2019 was 2,680,558,716</p> <p>%wage provision (posts filled for primary health care workers with a wage bill provision) = 92% resulting into a score of 8.</p> <p>There was a surplus of 8% of the wage budget for FY 2018/2019 amounting to shs. 230,937,284/</p>	8
<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>The staffing norm for PHC workers for Gulu district was 301 while those in post were only 242 representing staffing level of 80%</p> <p>Recruitment plan to cover the staffing gap was submitted by DHO on 17th May 2018 (submission letter not referenced) and was received by CAO on the same day of 17th May 2018.</p> <p>The recruitment plan included key critical cadres in health care service delivery. These were: DHO, Assistant DHO Environment, 4 Clinical Officers, 4 midwives, 4 Enrolled nurses, 2 Aesthetic Officers among others.</p>	6

<p>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</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that the all health facilities in-charges have been appraised during the previous FY:</p> <ul style="list-style-type: none"> o 100%: score 8 o 70 – 99%: score 4 o Below 70%: score 0 	<p>Gulu district had 22 public health facilities. All in-charges of the 22 health facilities had been appraised for financial year 2017/2018.</p> <p>All the 5sampled health facility in-charges had been appraised as indicated below:</p> <ul style="list-style-type: none"> • In-charge Lapeta HC II, Amony Sarahwas appraised on 30th July 2018. Appraisers comments “Hard working nurse, keep it up” • In-charge Cherwo HCIII Agas Richard was appraised on 22ndJuly 2018. Appraiser’s comment “recommended for promotion” • In-charge Kalali HC II, Nyeko Suzanwas appraised on 23rd July 2018. Appraiser’s comment “Committed staff at work” • In-charge Angaya HCIII, Nyeko William was appraised on 22nd July 2018. Appraiser’s comment “Good performer” • In-charge Unyama HCII Ajok Jovan was appraised on 30th July 2018. Appraiser’s comment “Very committed and competent”
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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 2018/2019 in PBS system.

Gulu DLG had 1 HC IV, 5 HC IIIs and 16 HC IIs. The health department had a staffing norm of 301 staff of which 242 were in post with a gap of 59 health workers. The DHO had submitted a recruitment plan to fill vacant position 17th May 2018, (Letter not referenced).

The PAT reviewed approved staff list and compared it with the actual numbers of health workers at the health facilities

The PAT sampled the following facilities:

- Lapeta HC II, 7 staff were deployed out of the 9 staffing norm
- Cwero HCIII 15 staff were deployed out of the 19 staffing norm
- Angaya HCIII: 14 were deployed out of the 19 staffing norm
- Kalali HCII: 7 health workers were deployed out of the 9 required staffing norm.
- Unyama HC II: 8 out the required 9 staff were deployed

At each facility, the staff list matched with the deployment list at DHO's office.

Monitoring and Supervision

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

Maximum 6 for this performance measure

- 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

Copies of the following guidelines were received by DHO's office in financial year 2017/2018 and were available in the sampled health facilities as indicated below:
The visited health facilities were

- Lapeta HCII
- Cwero HCIII
- Angaya HCIII
- Kalali HCII
- Unyama HCIII

- Approached to healthcare waste management, second edition 2013 was available at Angaya HC III and Unyama Health II

- Introduction of Rota virus vaccine dated 15 March 2018 was available in all facilities.

- Immunization in Practice for Uganda, June 2017 was available in all health facilities

- National technical guidelines for integrated disease surveillance and response 2016 was available at Unyama, Kalali, and Angaya health facilities

- Circular introduction of IPV and Bopv in routine immunization was available at Unyama and Angaya health facilities.

- Uganda Clinical guidelines, 2016 was available in all health facilities

Therefore, there was evidence to show that policies, guidelines and circulars from the center are received at the health facilities

<p>The DHO/MHO has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to health facilities</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> 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 	<p>The DHT together with health unit in-charges held a workshop on 20th June 2018. The workshop was aimed at building capacity of in charges to be able to train health workers about the Rota virus vaccine ahead of the Rota virus vaccine immunization campaign. During the training, guidelines on Rota virus vaccine were circulated and explained.</p>	<p>3</p>
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<p>The LG Health Department has effectively provided support supervision to district health services</p> <p>Maximum 6 points for this performance measure</p>	<p>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</p>	<p>Gulu District had 1 HC IV and no hospital.</p> <p>The PAT looked at evidence that the DHT had conducted 4 quarterly integrated technical support supervision visits to the health HC IV.</p> <p>Only 2 out of the required 4 integrated technical support supervision reports to the HC IV for the four quarters were presented with clear action points on gaps identified during the support supervision.</p> <p>Reports were submitted on the following dates.</p> <p>Quarter 1: Supervision took place on 21st September 2017 and the report was written on 28th September 2018.</p> <p>Quarter2: No documentary evidence of integrated support supervision to Awach HC IV</p> <p>Quarter3: No documentary evidence of integrated support supervision to Awach HC IV</p> <p>Quarter4: Supervision took place on 20th June 2018 and the report was written on 29th June 2018</p> <p>Therefore, the DHT conducted only 2 out of the 4 mandatory technical support supervision visits to the Awach HCIV (HSD) during financial 2017/2018.</p>	<p>0</p>
---------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<p>The LG Health Department has effectively provided support supervision to district health services</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that DHT/MHT has ensured that HSD has supervised lower level health facilities within the previous FY:</p> <ul style="list-style-type: none"> • 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 	<p>There were no HSD quarterly integrated support supervision reports availed to the assessment team.</p> <p>However, PAT while visiting the sampled health facilities established that a few technical support supervision visits had been conducted by the HSD as indicated below:</p> <table border="1"> <thead> <tr> <th>Health Centre</th> <th>Q1</th> <th>Q2</th> <th>Q3</th> <th>Q4</th> </tr> </thead> <tbody> <tr> <td>Unyama HC II</td> <td>X</td> <td>29/12/17</td> <td></td> <td>25/4/18</td> </tr> <tr> <td>Lapeta HC II</td> <td>X</td> <td>29/12/17</td> <td>X</td> <td>25/4/18</td> </tr> <tr> <td>Angaya HC II</td> <td>16/10/17</td> <td>27/12/17</td> <td></td> <td>X 25/4/18</td> </tr> <tr> <td>Kalali HC II</td> <td>4/10/17</td> <td>22/12/17</td> <td></td> <td>9/3/18 20/4/18</td> </tr> <tr> <td>Cwero HC III</td> <td></td> <td>27/12/17</td> <td></td> <td>13/4/18</td> </tr> </tbody> </table> <p>Evidence was derived from the MOH facility supervision book at each health unit.</p> <p>So, out of the 20 technical support supervision visits that were expected in financial 2017/2018(4 visits for each of the 5 facilities) there was evidence that the HSD conducted only 13 translating into 65%</p>	Health Centre	Q1	Q2	Q3	Q4	Unyama HC II	X	29/12/17		25/4/18	Lapeta HC II	X	29/12/17	X	25/4/18	Angaya HC II	16/10/17	27/12/17		X 25/4/18	Kalali HC II	4/10/17	22/12/17		9/3/18 20/4/18	Cwero HC III		27/12/17		13/4/18	<p>1</p>
Health Centre	Q1	Q2	Q3	Q4																													
Unyama HC II	X	29/12/17		25/4/18																													
Lapeta HC II	X	29/12/17	X	25/4/18																													
Angaya HC II	16/10/17	27/12/17		X 25/4/18																													
Kalali HC II	4/10/17	22/12/17		9/3/18 20/4/18																													
Cwero HC III		27/12/17		13/4/18																													
<p>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</p> <p>Maximum 10 points for this performance measure</p>	<ul style="list-style-type: none"> • 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 	<p>The PAT reviewed DHT meeting reports and quarterly DHMT meeting minutes.</p> <p>However, there was no evidence that quarterly DHT support supervision reports were discussed to make recommendations.</p> <p>Key action points from the support supervision had not been presented during quarterly DHT meetings</p>	<p>0</p>																														

<p>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</p> <p>Maximum 10 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the recommendations are followed – up and specific activities undertaken for correction: score 6 	<p>There was no documentary evidence to show that supervision findings had been discussed by DHT and recommendations had been followed up with specific activities undertaken.</p> <p>The quarterly support supervision findings had not been linked to the quarterly DHT meetings</p>	<p>0</p>
<p>The LG Health department has submitted accurate/consistent reports/data for health facility lists receiving PHC funding as per formats provided by MoH</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has submitted accurate/consistent data regarding: <ul style="list-style-type: none"> o List of health facilities receiving PHC funding, which are consistent with both HMIS reports and PBS: score 10 	<p>Gulu DLG had 25 health facilities that benefited from PHC. Of the 25 health facilities, 22 were public, 2 were PNFPs and 1 was PFP.</p> <p>The August HMIS reports were submitted between 4th -8th September 2018. The reports were entered into DHIS2 system for health reporting. All facilities benefitting from PHC (25) reported HMIS data into DHIS2 and the list of health facilities that reported was consistent with the list of facilities in the PBS system for Gulu district.</p>	<p>10</p>
<p>Governance, oversight, transparency and accountability</p>			

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

Four Social Services committee reports were presented and health related issues were discussed in all the four meetings during FY 2017/2018.

- During quarter 1, the committee sat on 5th September 2017 and under minute SSC/4/1/17-18 (page 4), the committee discussed human resource for health issues and recommended that the DHO presents to CAO staffing gaps in health to fast track recruitment of health workers so as to fill vacant posts

- During quarter 2, the committee sat on 12th December 2017 and under minute 8/SSC/4/1/17-18 (page 7), the committee discussed about the rampant absenteeism from duty by health workers and recommended that the rewards and sanctions committee should perform its functions in order to curb absenteeism.

- During quarter 3, the committee sat on 20th February 2018 and under minute 11/SSC/4/1/17-18, the committee discussed the health financial progress report. The DHO presentation had indicated that only 710,467,000/ out of the planned 1,138,147,000/ had been realized since the beginning of the financial year (2017/2018).

- During quarter 4, the committee sat on 18th May 2018 and under minute 16/SSC/4/1/17-18, a health budget worth 4,874,589,000 was approved by the committee.

Therefore, there was evidence that LG committee responsible for health met and discussed service delivery issues.

<p>The LG committee responsible for health met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the health sector committee has presented issues that require approval to Council: score 2 	<p>On 18th May 2018 and under minute 16/SSC/4/1/17-18, a health budget worth 4,874,589,000 was approved by the committee and on 30th May 2018, Secretary for finance presented health budget to council under minute 24/COUNC/2017-2018. The budget was passed by council on the same day of 30th May 2018 under Minute 25/COUNC/2017-2018.</p>	<p>2</p>
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<p>The Health Unit Management Committees and Hospital Board are operational/functioning</p> <p>Maximum 6 points</p>	<p>Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):</p> <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 	<p>The PAT visited 5 sampled health facilities and established that HUMC's sat as indicated below:</p> <ul style="list-style-type: none"> • Unyama HC II: HUMC sat thrice, that is during quarter 1, 3 and 4 only • Kalali HC II: HUMC minutes were not accessible as the minute book had been taken away by one of the staff. • Angaya HC III: HUMC Sat twice that is quarter 1 and quarter 4. • Lapeta HC II: The HUMC sat once; that is quarter 4. The In-charge reported that the HUMC term had expired in the first three quarters of the year. No evidence to this effect was availed. • Chero HC III: HUMC minutes were not accessible as the facility In-charge had not arrived by 10:30am. The PAT accompanied by a DHT member arrived at the health facility at 9:40am. There was only one staff who had been on duty the previous night. A second staff (lab person) arrived at 10:00am. At 10:30am, the PAT left to another facility. • Therefore, out of the expected 20 HUMC meetings (4 meetings for each of the 5 facilities), only 6 had been conducted translating into 30% compliance. 	<p>0</p>
---------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

<p>The LG has publicised all health facilities receiving PHC non-wage recurrent grants</p> <p>Maximum 4 for this performance measure</p>	<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 	<p>A list of PHC recurrent non-wage beneficiaries was displayed at the district health notice-board, signed and stamped by DHO on 20th August 2018.</p>	<p>4</p>
<p>Procurement and contract management</p>			
<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> <p>Maximum 4 for this performance measure</p>	<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 	<p>The procurement plan for health department for financial year 2018/2019 was submitted on 16thMay 2018, later than the recommended deadline of 30th April.</p>	<p>0</p>
<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> <p>Maximum 4 for this performance measure</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>Whereas the health department had submitted a procurement request for FY 2018/2019 to PDU on 22nd August 2018, the procurement request for FY 2017/2018 could neither be traced within the health department nor within the procurement department. Therefore, there was no evidence that LG Health department submitted a procurement request form for FY 2017/2018 on time.</p>	<p>0</p>

The LG Health department has certified and initiated payment for supplies on time

Maximum 4 for this performance measure

- Evidence that the DHO/ MHO (as per contract) certified and recommended suppliers timely for payment: score 4.

There was documentary evidence that the DHO Certified and recommended suppliers timely for payment during the previous FY – no overdue bills (e.g. procurement bills) This was evidenced from the Sampled Payment Vouchers as indicated below

Voucher No HEL/25/06/18, dated 14th June, 2018, Amount Shs. 27,059,419 Payee PEG BEDO Company Ltd BOX 109 Kitgum, Uganda. Purpose Construction of 4 Stance drainable Latrine at Lugore HC 11

- Certificate of work done issued on 5th June, 2018.
- DHO endorsed the certificate on 5th June, 2018.
- Request for Payment made on 14th June,2018-10-01
- Payment Effected on 14th June,2018
- Payment effected promptly within a period of 2weeks.

Voucher No HEL/66/06/18 dated 23rd June,2018, Amount Shs 13,823,830 Payee ASIENJO General Enterprises U Ltd Loro Division Agwe Parish Obiya Highland Gulu Municipality 079242793 Purpose Renovation of Water borne Toilet behind DHO's Office

- Certificate of work done issued on 13th June,2018-10-01
- DHO certified the work on 19th June.2018.
- Request for Payment made on12th June 2018.
- DHO endorsed the request on 13th June,2018-10-01
- Payment effected on23rd June,2018
- Payment effected promptly within a period of 11 days.

<p>The LG Health department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 4 for this performance measure</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>The department submitted annual performance report for the FY 2017/2018 on 26th August 2018, later than the recommended deadline of mid-July 2018(evidence from PBS to show date of submission to district planner).</p> <p>Submission of quarterly reports to Planner during FY 2017/2018 was as follows (Information source PBS system):</p> <ul style="list-style-type: none"> 1stquarter on 18thDecember, 2017. deadline was end of October 2017 hence submitted late. 2ndquarter on 19thMarch 2018, deadline was end of January 2018 hence submitted late. 3rdquarter was submitted on 14th April 2018, deadline was end of April 2018 hence submitted on time. 4thquarter was submitted on 26th August 2018 and the deadline was end of July 2018 hence submitted on late. <p>In general, both quarterly and annual performance reports were submitted late.</p>	<p>0</p>						
<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>There was no documentary evidence that the sector had provided information to the internal audit on the status of implementation of all audit findings in FY 2016/2017:</p> <table border="0" data-bbox="815 1462 1326 1668"> <tr> <td>Number of queries raised</td> <td>Number of queries cleared</td> <td>Number of queries pending</td> </tr> <tr> <td>6</td> <td>4</td> <td>2</td> </tr> </table>	Number of queries raised	Number of queries cleared	Number of queries pending	6	4	2	<p>0</p>
Number of queries raised	Number of queries cleared	Number of queries pending							
6	4	2							
<p>Social and environmental safeguards</p>									

<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 <p>% women: score 2</p>	<p>Not all the following sampled health facilities had the required 30% (and above) of female composition on HUMC:</p> <p>Lapeta HCII 2/5=40%</p> <p>Angaya HCIII 0/7 =0%</p> <p>Kalali HC II 2/5 =40%</p> <p>Unyama HCII 2 /5 =40%</p> <p>Cwero HC III: Could not be determined since the list of HUMC was not displayed anywhere and the records could not be accessed because the facility In-charge was not on station.</p>	<p>0</p>
<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>Both at DHO's office and at health facilities that were visited by PAT, there was no sufficient evidence that Gulu DLG issued guidelines on how to manage sanitation in health facilities including separating facilities for men and women.</p>	<p>0</p>

<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 4 points for this performance measure</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>In FY 2017/2018, the health department had two capital projects:</p> <ol style="list-style-type: none"> Renovation of a water borne latrine at DHO's office. Extension of an OPD block at Lugure HC II. <p>According to the screening checklist at DHO's office, (capital projects folder), the two projects were screened on 25th September 2017.</p> <p>No hazard was identified but recommendations were made to fill all the pits after construction and to plant grass at the site.</p> <p>There was evidence that the above projects were screened before approval for construction using the checklist for screening of projects.</p>	<p>2</p>
<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> The environmental officer and community development officer have visited the sites to checked whether the mitigation plans are complied with: Score 2 	<p>According to an environment compliance monitoring report dated 2nd June 2018, written by the district environmental officer addressed to the head natural resources, there was evidence that environmental officer had visited the sites to check whether the mitigation plans are complied with.</p>	<p>2</p>

The LG Health department has issued guidelines on medical waste management

Maximum 4 points

- 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.

At the DHO's office, health facility in-charges had signed for a number of guidelines, policies and circulars as evidenced by the guidelines distribution lists. One of the guidelines distributed was the Health care waste management guidelines 2013.

The PAT visited 5 health facilities to establish presence of the medical waste management. The health facilities were:

- Lopeta HC II
- Chwero HC III
- Angaya HCIII
- Kalali HCII
- UnyamaHCII

The guidelines were in place at each of the above health facilities. In addition, the National Medical Stores (NMS) had distributed posters for health care waste management and these had been displayed in the laboratories, maternity wings and Outpatient departments at the visited health units.

Therefore, there was evidence that all sampled health facilities in Gulu district had medical waste management guidelines version 2013.

Something to note however was that the guidelines were not easily accessible by all health workers. In some facilities, the guidelines were locked up in stores while in other facilities; they were at the homes of in charges.

Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution			
<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>The DWO targeted allocations to sub-counties with safe water coverage below the district average of access coverage of 61.4%. There was one (1) sub county which was below the District average Paicho sub county with 58.6% targeted in FY 2018/19 giving 100% allocation.</p> <p>The targeted sub counties were;</p> <ul style="list-style-type: none"> • Bungatira sub County with a coverage of 62.8% • Palaro with a coverage of 79.9% • Patiko sub county with a coverage of 63.1%. • Paicho sub county with a coverage of 58.6%. • Unyama sub county with a coverage of 90.5%. <p>The planned development budget for the water sector for FY: 2018/19 was Ugx.183,051,984 from the approved work plan and budget 2018/19 page 3 of 3 in the sector work plan and budget.</p>	10

<p>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)</p> <p>Maximum 15 points for this performance measure</p>	<ul style="list-style-type: none"> • 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: <p>Score 15</p> <ul style="list-style-type: none"> o If 80-99%: Score 10 o If 60-79: Score 5 o If below 60 %: Score 0 	<p>There was evidence according to the inspection, monitoring, supervision completion 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 2017/18 giving the Water Department 100% implementation rate.</p> <ul style="list-style-type: none"> • The following was extracted from those reports and the following below was observed; • In Unyama sub county Pakwelo parish Akonyibedo C borehole was constructed at a cost of Ugx.22,000,000 • In Bungatira sub county Laroo parish Wii-got Laroo market borehole was constructed at a cost Ugx. 22,000,000 • In Awach sub County Padumy parish Odii-deya borehole was constructed at a cost of Ugx. 22,000,000 • In Paicho sub county Kal-ali parish in Laminto LCI, Kut-Ludongo boreholes was constructed at a cost of Ugx. 22,000,000 • In Paicho sub County Kalumu parish in Acutomer LCI, an Agwik borehole was constructed at a cost of Ugx. 22,000,000 • In Patiko sub county Pugwinyi parish in Kalongar B LCI, an Awoonyim borehole was constructed at a cost of Ugx.22,000,000 • In Palaro sub county Owalo parish in Kiteny LCI, Lapany daa boreholes was constructed at a cost of Ugx. 22,000,000. 	
Monitoring and Supervision			

<p>The district Water department carries out monthly monitoring of project investments in the sector</p> <p>Maximum 15 points for this performance measure</p>	<p>Evidence that the district Water department has monitored each of WSS facilities at least annually.</p> <ul style="list-style-type: none"> • 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 	<p>There was evidence that the district Water department had monitored each of WSS facilities. The following reports were reviewed to prove this;</p> <ul style="list-style-type: none"> • Data collection and analysis report dated 20th February,2018 in the sub counties of; Awach, Bungatira, Paich, Unyama, Palaro, Patiko, Laroo, Layibi, Pece and Bardege • A report on Water quality monitoring activity in the sub Counties of; Bungatira , Patiko ,Palaro, Awach ,Paicho, Unyama. • Water sources data collection report dated 26th June, 2018. • An inspection report dated 18th May,2018 of 6 boreholes, Apron casting and Hand pump installation by Balcom Engineering Ltd for FY:2017/18 was carried out on the following sites; Akonybedo C, Odii-deya, Gwik, Kut-Ludongo , Kal Ongako B and Lajany • A completion supervision report dated 12th January, 2018 for the construction of a drainable latrine at Acet RGC. • A completion report for borehole drilling dated 28th January, 2018. • A completion report dated 21st February, 2028 for Borehole construction works by Ebowa Investments Ltd in the following sources at Oratide, Bulkur, Cereleno, Owak, Kiteny, DLG eadquarters. • A report on borehole rehabilitation by Hand pump mechanics dated 12th June, 2018. 	
----------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district has submitted accurate/consistent data for the current FY: Score 5 • List of water facility which are consistent in both sector MIS reports and PBS: score 5 	<p>There was evidence that the district had submitted consistent data reports on the following dates;</p> <ul style="list-style-type: none"> • Quarter 1 data submitted on: 2nd October, 2017, • Quarter 2 data submitted on: 19th January, 2018, • Quarter 3 data on submitted on 18th April, 2018 and • Quarter 4 data submitted on 2nd August, 2018 • AND on 2nd August, 2018 another report on data of facilities was submitted to the Permanent Secretary Ministry of Water and Environment 	5
<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • List of water facility which are consistent in both sector MIS reports and PBS: score 5 	<p>Water facilities which were found to be consistent in both sector MIS reports and PBS were;</p> <ul style="list-style-type: none"> • Kalongak B source in Pugwinyi parish Patiko sub county • Laperduru (Gwik) source in Kalumu parish in Paicho sub county • Akonyibedo C source in Pakwelo parish Unyama sub county. • Odii-diya source in Padumy parish Awach sub County. • Lajany daa source in Owalo parish Palaro sub County. • Kati-Kati B source in Oitino parish Bungatira sub county 	5
Procurement and contract management			

<p>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</p> <p>Maximum 4 for this performance measure</p>	<p>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</p>	<p>There was no documentary evidence availed to PAT that the sector submitted input for the district procurement plan to PDU.</p>	<p>0</p>
<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<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 Contract Manager prepared a contract management plan and there was evidence of site visits for the different WSS infrastructure projects example;</p> <ul style="list-style-type: none"> • A report on Water quality monitoring activity in the sub Counties of; Bungatira , Patiko ,Palaro, Awach ,Paicho, Unyama. • Water sources data collection report dated 26th June, 2018. • An inspection report dated 18th May,2018 of 6 boreholes, Apron casting and Hand pump installation by Balcom Engineering Ltd for FY:2017/18 was carried out on the following sites; Akonybedo C, Odii-deya, Gwik, Kut-Ludongo , Kal Ongako B and Lajany <p>A completion supervision report dated 12th January, 2018 for the construction of a drainable latrine at Acet RGC.</p>	<p>2</p>

<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If water and sanitation facilities constructed as per design(s): score 2 	<p>The water and sanitation facilities were functional to the required objective of service to the community besides the technical requirement, example of the sampled sources conformed to the standard;</p> <ul style="list-style-type: none"> Construction of Deep borehole in Wii-got Laroo market source. Construction of Deep borehole at Gwik source. Construction of Deep borehole at Odii-deya source. Construction of Deep borehole at Kiteny source. 	<p>2</p>
<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If contractor handed over all completed WSS facilities: score 2 	<p>A Handover report dated 28th May, 2018 from M/s.Geo-Bot water Engineering services Ltd handing over the 7 drilled and installed boreholes in FY:2017/18 was seen and reviewed.</p>	<p>2</p>

The district has appointed Contract Manager and has effectively managed the WSS contracts

Maximum 8 points for this performance measure

- If DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2

There was evidence that the DWO appropriately certified all WSS projects and issued completion reports example,

- Completion report for drilling of 7 Boreholes drilling and installation by Brottos (U) Ltd dated 23rd May, 2018.
- Interim Certificate No.1 issued on 23rd May,2018 amounting to Ugx.73,632,000
- Completion Certificate issued on 1st July,2018
- A completion report for Apron casting and hand pump Installation by Balcon Engineering Ltd was prepared on 18th June,2018
- Interim Certificate No.1 issued on 11th June,2018
- Final Certificate issued on 1st July,2018 to Balcon Engineering Ltd for the 7 boreholes drilled in following project sites;Lajan-daa,Odii-Deya,Kut-Ludongo,Akonyi bedo and Gwik.
- Final Certificate to M/s. Geo -Bot water Engineering Services Ltd for the completed consultancy services for deep borehole survey,design and supervision of 7 boreholes at; Akonyi-bedo C,Laroo ,Wii-Got market, Gwik,Kut-Ludongo, Odii-Deya, Lajany Daa and Kal-Ongak B in the sub counties of; Unyama, Paicho, Awach,Palaro and Patiko.
- Completion report of 6 Boreholes drilling and installation by Brottos (U) Ltd by the water department dated 5thFebruary, 2018.
- Completion report of 6 Boreholes drilling and installation by Balcon Engineering Ltd by the water department dated 5thFebruary, 2018.

<p>The district Water department has certified and initiated payment for works and supplies on time</p> <p>Maximum 3 for this performance measure</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 documentary evidence that that the DWOs timely (as per contract) certified and recommended suppliers for payment. This was verified by Sampling the following;</p> <ul style="list-style-type: none"> Payment request for drilling of 6 boreholes by M/S.Brottos (U) Ltd dated 23rd May,2018 and certified by the DWO on 23rd May,2018 Payment request for Apron casting and hand pump Installation by M/s. Balcon Engineering Ltd was dated 8th June,2018 and certified by the DWO on 11th June,2018 Payment request for supply of 5 set of borehole head pump was dated 12th April,2018 and certified by the DWO on 20th April,2018 	<p>3</p>
<p>Financial management and reporting</p>			
<p>The district Water department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 5 for this performance measure</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 report for the previous FY 2017/2018 the following dates;</p> <p>Quarter 1 report was submitted on 20th October,2017 on reference file CR/752/1</p> <p>Quarter 2report was submitted on 19thJanuary,2018 on reference file CR/752/1</p> <p>Quarter 3 report was submitted on 27th April,2018 on reference file CR/752/1</p> <p>Quarter 4 report was submitted on 2nd July,2018 on reference file CR/752/1</p> <p>The water department submitted the annual performance report for the previous FY 2017/2018 to the Planner within the stipulated timeline of mid-July</p>	<p>5</p>

<p>The District Water Department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> • 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 	<p>There was no documentary evidence availed to PAT that the sector had provided information to the internal Audit on the status of the implementation of all Audit findings for the FY 2016/17</p> <p>The number of queries raised were 5 ,number of queries cleared were 3 and number of queries pending were 2</p>	<p>0</p>
----------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------

Governance, oversight, transparency and accountability

<p>The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> 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 	<p>There was evidence that the Council committee responsible for water held meetings, discussed LG PAC reports as seen from the following minutes;</p> <p>On 30th August, 2018 under minute No. Min.5/WC/2017-18 the committee met and the issues discussed were;</p> <ul style="list-style-type: none"> Maintenance of water points to be enhanced with user communities. Also discussed on issue of staffing gaps in the water sector department <p>On 12th December, 2017 under minute No. Min.11/WC/2017-18 (B) the committee met and the issue discussed was;</p> <ul style="list-style-type: none"> Begin early procurement process under the water sector. <p>On 19th February, 2018 under minute No. Min.13/PMC/2017-18 (ci) the committee met and the issues discussed were;</p> <ul style="list-style-type: none"> How to make water points functional through DDEG. Registration of all water points for easy monitoring by the WSCs on their locations and functionality status. 	<p>3</p>
<p>The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the water sector committee has presented issues that require approval to Council: score 3 	<p>The water committee sought approval from Council on; 27th September, 2017 under minute Min 05/COUN/2017-18 i c and d the issues which were on the staffing level in the water sector and maintenance of water source points.</p>	<p>3</p>

<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</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>There was no evidence of display of AWP, budget and the Water Development grant releases and expenditures on the district notice boards as per the PPDA Act.</p>	<p>0</p>
<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</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 visited water sources (Boreholes) were clearly labelled indicating the name of the project, date of construction, name of the contractor and the source of funding,example of the sources visited included;</p> <ul style="list-style-type: none"> Laroo Wigot market founded under DWLG FY 2017/18 date 3rd May,2018 the DWD No.67963 constructed by Balcom Engineering Ltd. Akonyibedo C founded under DWSCG FY:2017/18 date 3rd May,2018 DWD No.67964 constructed by Balcom Engineering Ltd Odi-Deya founded under DWSCG FY 2017/18 date 3rd May, 2018 DWD No.67965 constructed by Balcom Engineering Ltd 	<p>2</p>
<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</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 evidence to the effect that the LG publicized information on tender awards on 25th January,2018 with subject of procurement Deep borehole drillingof 7 boreholes in; Awach sub county ,Paicho sub county, Bungatira sub county, Patiko sub county, Unyama sub county and Palaro sub county under open domestic bidding the contract was awarded to Ms. Brottos (U) Ltd at a contract sum of Ugx.85,904,00 under a procurement reference No.Gulu508/Wrks/2017-18/00004</p>	<p>2</p>

<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 that communities applied for water/public sanitation facilities as per the sector critical requirements. For example;</p> <ul style="list-style-type: none"> An application from Kiteny village dated 12th September, 2016 applied requesting for a borehole in their community. An application from Lamito village dated 22nd September, 2016 applied requesting for a borehole in their community An application requesting for a borehole at Gwik in Acustomer village dated 4th January, 2018 	<p>1</p>
<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 due to the way how the water sources were being maintained by fencing around the water source. Examples of the visited sources included;</p> <ul style="list-style-type: none"> Laroo Wigot market constructed using DWLG FY 2017/18 date 3rd May, 2018 the DWD No.67963 constructed by Balcom Engineering Ltd was found fenced all around. Akonyibedo C constructed using DWSCG FY 2017/18 date 3rd May, 2018 DWD No.67964 constructed by Balcom Engineering Ltd was found fenced all around. Odi-Deya constructed under DWSCG FY 2017/18 date 3rd May, 2018 DWD No.67965 constructed by Balcom Engineering Ltd was found fenced all around. 	<p>2</p>
<p>Social and environmental safeguards</p>			

<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</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 no documentary evidence availed to PAT at the time of assessment that environmental screening for all projects and/or EIAs were conducted.</p> <p>The District Environmental Officer claimed not to have known that the water department had projects which needed environmental screening.</p>	<p>0</p>
<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</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 documentary evidence availed to PAT that follow up support was provided in case of unacceptable environmental concerns in the water sector.</p> <p>The District Environmental officer was not involved in the project monitoring plan.</p>	<p>0</p>
<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that construction and supervision contracts have clause on environmental protection: score 1 	<p>There was no evidence that Construction and supervision contracts have clause on environmental protection also missing in the B.O.Qs.</p>	<p>0</p>

<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 documentary evidence on gender equity in the membership of the WSC the sampled files revealed inadequacy of women composition as per the following;</p> <ul style="list-style-type: none"> In the village of Kut-Ludongo WSC minute dated 12th January, 2018 under minute 07/CM/01 had 10 members with 6 Men and 4 Women. In the village of Akonyi-bedo C WSC minute was attended by 42 village members dated 24th December, 2017 had 10 members with 7 Men and 3 Women. 	<p>0</p>
<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>There was evidence that Public sanitation facilities had adequate access and separate stances for men, women and PWDs examples the visited public facility; renovated drainable latrine at Gulu Water office the water department had no adherence to PWDs.</p>	<p>0</p>