



Local Government Performance Assessment

Kapchorwa District

(Vote Code: 520)

Assessment	Scores
Accountability Requirements	67%
Crosscutting Performance Measures	55%
Educational Performance Measures	63%
Health Performance Measures	67%
Water Performance Measures	52%

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. 	<ul style="list-style-type: none"> • LG submitted to MoFPED Annual Performance contract for the FY 2018/19 on the 1st/8/2018. 	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. 	<ul style="list-style-type: none"> • LG submitted to MoFPED Budget that included Procurement Plan for the FY 2018/19 on the 1st/8/ 2018. 	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 	<ul style="list-style-type: none"> • LG submitted to MoFPED the Annual Performance Report for FY 2017/18 on the 18th/8/2018, which was past the due date of 31st/7/2018. 	<p>No</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. 	<ul style="list-style-type: none"> • Though the LG submitted to MoFPED the Budget Performance Reports for all four Quarters FY 2017/18 the Performance Report for Quarter 4 was submitted on 18th/8/2018, which was past the due date of 31st/7/2018. The others were submitted on the following dates: <p>Quarter I report: 2nd/3/2018</p> <p>Quarter II report: 12th/04/2018</p> <p>Quarter III report: 4th/05/2018.</p>	<p>No</p>

Audit

<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 find- ings where the Internal Audi- tor 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. 	<ul style="list-style-type: none"> • The LG/CAO has provided information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General’s findings for the previous financial year 2016/17, evidenced by a copy of a report submitted titled ”Responses to audit recommendations made in the year 2016/2017” referenced CR/213/1,dated 12/4/2018, addressed to PS/ST MOFPED Kampala and fully acknowledged with a rubber stamp by the following offices on the following dates; <p>(i) Directorate of Internal Audit on 16/4/2018.</p> <p>(ii) Registry MOFPED Kampala on 16/4/2018</p> <p>(iii) MOLG on 16/4/2018.</p> <p>The mandatory deadline for submission is 30th April 2018 (PFMA s 11’2g).Therefore, the LG was compliant,</p>	<p>Yes</p>
<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.</p>		<ul style="list-style-type: none"> • The audit opinion of LG Financial Statement was not adverse or disclaimer. 	<p>Yes</p>

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. 	<ul style="list-style-type: none"> • The letter from CAO dated 14th/11/2017 appointed to Physical Planning Committee the DCAO, District Physical Planner, District Water Engineer, District Agricultural Officer, District Roads Engineer, District Staff surveyor, DNRO, DCDO, DMO, DEO, District Environment Officer, Assistant Town Clerks of all Divisions and Town Councils. Co-opted member District Environment Health Officer, District Senior Land Management Officer. However Committee lacked a Physical Planner in private practice. • Though Committee meetings had been held during which building plans had been considered, the approvals were made beyond a month from the date of submission of the plans. eg. in meeting of 21st/11/2017 under Min. KAP/DPPC/05/11/2017 building plans for Gamogo HC OPD block and Office block at Chepterech SC both submitted on 6th/10/2017, Kapkwai PS 2 classrooms submitted on 15th/10/2017, and 1-stance VIP latrine & urinal at Kapsukunyo PS submitted on 18th/10/2017 were approved. • Building Plan register was in place with first entry dated 6th/10/2017. 	<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"> • Evidence that district/ MLG has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD score 1. 	<ul style="list-style-type: none"> • LG had not submitted minutes of District Physical Planning Committee to MoHUD as at time of assessment. 	<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 	<ul style="list-style-type: none"> • District lacked an approved Physical Development Plan thus it was not possible to assess consistency of building plans to it. 	<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 	<ul style="list-style-type: none"> • No Action Area plans were in place. Letter by the Town Clerk dated 14th/06/2018 lobbying for support from MoLHUD towards physical planning of Sipi TC was reviewed. 	<p>0</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. 	<ul style="list-style-type: none"> • The report (pg. 6-11) of the budget conference held on 22nd/11/2017 prepared by the District Planner (Mr. Teko Andrew Bayi) highlighted some key priorities which the meeting concurred with and were also captured in the AWP FY 2018/19. For instance construction of Administration office block, completion of Tumboboi Maternity, upgrading and infrastructural developments in Chemosong, Amukol, Sanzara, Ngangata and Kaplelko HCs, tree planting and related environmental conservation practices, construction of latrines and classrooms in primary schools, disease surveillance and immunisation, road opening and road maintenance works, renovation of buildings, extension and rehabilitation of piped WSS 	<p>2</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 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>Capital investments in the approved AWP FY 2018/19 had been derived from the approved 5-year Development Plan 2015/16-2019/20. They were:</p> <ul style="list-style-type: none"> • Administration Office block construction (pg. 27 of AWP, pg. 114 of DDP) • Construction of latrines in Primary schools (pg. 66 of AWP, pg. 143 of DDP) • Classroom construction and rehabilitation in Primary schools (pg. 66 of AWP, pg. 143 of DDP) • Construction of Girls dormitory (under Presidential pledge) (pg. 68 of AWP, pg 144 of DDP) • Renovation of District Health office (pg 63 of AWP, pg. 159of DDP) • Construction of 2 Maternity wards (pg. 58 AWP, 159 DDP) • Extension/repair of GFSs of Tumboboi/ Kaptanya, Gamogo and Amukol SCs (pg. 79 of AWP, pg.136-137 of DDP) • Construction of latrines in RGCs (pg. 79 of AWP, pg 137 of DDP) • Road rehabilitation and maintenance (pg. 75 of AWP, pg. 135-136 of DDP) • Establishment of demonstration sites for new technology and environmental restoration & conservation (pg. 82 of AWP, pg 147 of DDP) 	
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<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. 	<ul style="list-style-type: none"> • Project profiles for FY 2018/19 had been developed. However, only one had earmarked a budget for environmental restoration and mitigation (5% of the total project cost) i.e. Improvement of Administration block –Kok hall, while the others had no ring-fenced budgets for this. • Project profiles were discussed in TPC meeting of 29th/05/2018 under Min.4/5/TPC/2018. 	2
<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. 	<ul style="list-style-type: none"> • Annual Statistical Abstract, with gender disaggregated data e.g. on population size (table 3.3 on pg.9), was compiled and presented to the TPC under Min. 7/13/01/2018 in meeting of 13th/01/2018. • The least served communities had been targeted e.g. pg. 20-21 of Abstract indicated that Chepterech SC had lowest safe water coverage of 49% while Amukol had the highest number of non-functional taps. AWP FY 2018/19 pg. 79 captured Amukol for piped WSS repair and Chepterech SC had earlier been taken up by the Red Cross for extension of the Gravity flow scheme as evidenced by contract No.URCS/DRM/DRR/2017/01 dated 30/01/2017 awarded to GeoMax Water and Mineral Consultants Ltd. High classroom-pupil ratio of 1:80 and pupil-stance ratio of 65:1 (pg. 17 of Abstract).Classroom construction/repair and latrine construction had been planned for (pg. 66 of AWP). 	1

Investment activities in the previous FY were implemented as per AWP.

Maximum 6 points on this performance measure.

• 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

All projects implemented in FY 2017/18 were derived from the approved AWP. They included:

- Completion of Tumboboi Health cenrte II Maternitny and childrens ward Construction (pg. 58,97 of Q4/Annual report, pg. 46 of AWP)

- Construction of 2 classrooms in Kapkwai PS (pg. 64 of Q4/Annual report, pg. 49 of AWP).

- Construction of 20 latrine stances in Boron, Sanzara, Ngasire and Chemosong PS (pg. 64 of Q4/Annual report, pg. 49 of AWP).

- Routine maintenance of 112 km out of 160 km of roads; periodic maintenance of 7/7 km of roads [Sosur-Gamatui road and Kaserem-Kapsinda road] (pg. 70 of Q4/Annual report, pg. 53 of AWP).

- Construction of Cheptilyal spring (pg. 75 of Q4/Annual report, pg. 56 of AWP).

- Extension of piped WSS to Boron and Loch and Rehabilitation of Tumboboi GFS (pg. 75 of Q4/Annual report, pg. 56-57 of AWP).

- Rehabilitation of Natural resources office (pg. 80 of Q4/Annual report, pg. 60 of AWP).

Note: Construction of Administration Office block- phase 3 was only payment of retention (pg. 39 of Q4/Annual report, pg 31 of AWP)

<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the investment projects implemented in the previous FY were completed as per work plan by end for FY. o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	<p>9 out of 11 projects (81.8.%) were completed as per workplan by the end of the FY:</p> <ul style="list-style-type: none"> • (1 project) Completion of Tumboboi Health cenrte II Maternitny and Children’s ward construction spent (pg. 58,97 of Q4/Annual report/payment voucher PVHE00602 and PV-HE00681, pg. 46 of AWP) • Construction of 2 classrooms in Kapkwai PS (pg. 64 of Q4/Annual report, pg. 49 of AWP). • (4 projects) Construction of 20 latrine stances in Boron, Sanzara, Ngasire and Chemosong PS (pg. 64 of Q4/Annual report, pg. 49 of AWP). • Construction of Cheptilyal spring (pg. 75 of Q4/Annual report, pg. 56 of AWP). • Extension of piped WSS to Boron and Loch and Rehabilitation of Tumboboi GFS (pg. 75 of Q4/Annual report, pg 56-57 of AWP). • Rehabilitation of Natural resources office spent 13,161,000= against budget of 13,161,000= (pg. 80 of Q4/Annual report, pg. 60 of AWP). <p>Partial achievement was registered in:</p> <ul style="list-style-type: none"> • Routine maintenance of 112km out of 160 km of roads; periodic maintenance of 7/7 km of roads (Sosur-Gamatui road and Kaserem-Kapsinda road) (pg. 70 of Q4/Annual report & Roads Monthly Progress report, pg. 53 of AWP). • Opening and maintenance of 13km out of 45 km of roads (under NUSAF3) (pg. 71 of Q4/Annual report, pg 53 of AWP). 	
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<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>Based on the following sample of seven projects whose total expenditure was 179,181,963= against a total budget of 190,363,933=, representing -5.7 % variance, the expenditure was within approved budget limits.</p> <ul style="list-style-type: none"> (1 project) Completion of Tumboboi Health cenrte II Maternitny and childrens ward Construction spent 56,944,963 against budget of 66,196,933 (pg. 58,97 of Q4/Annual report and payment voucher PV-HE00681, pg. 46 of AWP)[N.B: initial budget of 70,000,000= included retention of 12,251,970= for Chebonet HC, payment voucher PVHE00602 refers) Construction of 2 classrooms in Kapkwai PS spent 41,075,000= against budget of 43,006,000= (pg. 64 of Q4/Annual report, pg. 49 of AWP). (4 projects) Construction of 20 latrine stances in Boron, Sanzara, Ngasire and Chemosong PS spent 68,001,000= against budget of 68,000,000= (pg. 64 of Q4/Annual report, pg. 49 of AWP). Rehabilitation of Natural resources office spent 13,161,000= against budget of 13,161,000= (pg. 80 of Q4/Annual report, pg. 60 of AWP). 	2
<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>The LG had spent 24,260,105= against budget of 24,260,105= (100%) for O&M of infrastructure (aside from roads and water) in FY 2017/18:</p> <ul style="list-style-type: none"> Rehabilitation of Natural resources office spent 13,161,000= against budget of 13,161,000= (pg. 80 of Q4/Annual report, pg. 60 of AWP). Repair of gate at Planning unit spent 1,736,000= against budget of 1,736,000= (pg 92 of Q4/Annual report and PV 1,SO8648, , pg 68 of AWP) [N.B: Q4/Annual report & AWP had an amalgamated expense with procurement of laptop and 2 office chair totalling) Administration: Renovation of toilets spent 9,363,105= against budget of 9,363,105= (pg. of Q4/Annual report and payment voucher PV-AD00879) <p>Non-functionality of facilities and thus the need to budget for O&M of facilities was discussed under Min 5/TPC/2/2018 of 26th/02/2018</p>	2
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>There are (9) heads of departments (HoDs) as per the approved structure dated 4/7/17. 33% (3 out of 9) HoDs positions are substantively filled including DEO (DSC Min No.11/2007), DNRO (DSC Min No74/2005) and DHO (DSC Min No.40/2015). Six positions (CFO, DE, DCDO, DPO, D/Planner & DCO) are not substantively filled but administratively assigned staff with extra duties. It was noted that the District advertised some positions internally and failed to attract suitable candidates.</p>	<p>0</p>
<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>100% (All the 9) HoDs had been appraised for FY 2017/18. For example; the annual performance reports for the (3) HoDs substantively appointed were on file as indicated below: a) The DEO was appraised on 23/7/18 by CAO b) The DNRO was appraised on 29/6/18 by CAO c) The DHO was appraised on 4/7/2018 by CAO. A sample of HoDs assigned with duties indicated that the following were appraised as follows-Ag.DE (30/6/18 by CAO), Ag.Production Officer (4/7/18 by CAO), and Ag.CFO (6/7/18 by CAO). All the HoDs had copies of signed performance agreements for FY 2017/18 on file.</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>In FY2017/18, 90% (36 out 40) posts submitted for filling had been considered by DSC as per the minutes of 121st held from 7-17th May, 2018 under Min Nos.56/2018 (a-f) and extracts of minutes of the 115th DSC meeting held on 7/3/18 under Min.Nos.12-13/2018 as well directives made by DSC C/person regarding posts to be advertised internally (4) dated 13/3/18 and deferred cases (2) dated 25th & 26th June 2018.</p> <p>However, there was no evidence of consideration for submission letters dated 25/5/18 (HT (1) & Education Assistants (2)), and dated 18/4/18 (DCDO) respectively.</p> <p>A total of (40) posts were submitted to DSC for filling by the CAO as per a number of submission letters dated (7/3/18 (9), 9/3/18 (2), 19/3/18 (1), 22/3/18 (1) 25/5/18 (3) and 18/4/18 (1).</p>	<p>0</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>In FY 2017/18, 100% (All the 52) LG staff submitted for confirmation had been considered by DSC as per the some of DSC minutes cited here: • Minutes of the 114th meeting of KDSC held from Feb 26-March 1st 2018 under Min Nos. 06/2018 (a-q) • Minutes of the 122nd meeting of KDSC held from June 21-27th 2018 under Min Nos. 63/2018 (a (i-iii)); and Min Nos. 63/2018 (b-e), etc. .</p> <p>A total of (52) LG staff were recommended for confirmation by the CAO to DSC as per submission letters dated between 20/9/17 and 10/5/18.</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>In FY 2017/18, 100% (All the 5) cases of disciplinary action had been considered by DSC as evidenced by • Extracts of the minutes of the 115th DSC meeting held on 7/3/18 under DSC Min Nos. 12/2018 and 14/2018 (2) • Extracts of the minutes of the 122nd DSC meeting held on June 21-27th 2018 under DSC Min Nos. 64-65/2018 (2) • Extracts of the minutes of the 117th DSC meeting held from March 22-23rd 2018 under DSC Min No. 33/2018 (1)</p> <p>The CAO submitted (5) cases of disciplinary action to DSC as per the letters dated 3/8/17, 8/8/17, 10/11/17, 9/4/18 and 24/5/18.</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>Yes. 100% (All the 27) staff recruited in FY 2017/18 accessed the salary payroll within the required period of (2) months after appointment as indicated: # (27) staff appointed on 6/6/18 accessed the payroll in June 2018 e.g. IPPS nos.1026806, 1026978, 1026965, 1026894, etc. Refer to Uganda Government Payslip for the period (12) Jun 2018, vote (520) Kapachorwa DLG</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 FY have accessed the pension payroll not later than two months after retirement: score 2 	<p>No. From the district list of pensioners who retired in FY 2017/18 dated 11/09/18 and signed by PHRO, indicated that 40% (4 out of 10) LG staff that retired in FY 2017/18 accessed the pension payroll within two months after retirement. They include: a) B.Bwairisa (Education Assistant) retired on 1/9/17 and accessed pension payroll in October 2017 b) W.Chemonges (Education Assistant) retired on 31/12/17 and accessed pension payroll in February 2018 c) J.Kiteywo (Education Assistant) retired on 15/7/17 and accessed pension payroll in September 2018 d) A.Labu ((Office Attendant) retired on 1/5/2018 and accessed pension payroll in June 2018. 60% (6) retirees did not access the pension payroll due to late submissions to MoPS</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>The LG had decreased LG own source local revenues from shs 186,612,117 in the FY 2016/2017 to shs 181,081,902 in the FY 2017/2018, down by shs 5,530,215 representing a decrease of is 3.06% of the year 2016/2017.</p> <p>This percentage is below the minimum increase of 5% required by the manual.</p> <p>Reason; Creation of Kapchorwa Municipality has reduced the sources of revenue from the sub-counties taken over.</p>	<p>0</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 +/- 10 %: then score 2. If more than +/- 10 %: Score 0. 	<p>LG revenue collection ratio was -47.1% which was much lower than acceptable variance of +/-10%</p> <p>Review of our verification of both annual budget and financial accounts for the previous FY 2017/2018 revealed that the LG local revenue collection ratio was not within the standard deviation of +/- 10% against the budget as required by the manual .This is demonstrated below:</p> <p>Total Local Revenue Planned/Budgeted for FY 2017/2018 was Shs 342,423,000,000(original budget), whereas the total actual local revenue collected was shs 181,081,902, representing a percentage of local revenue collected against planned for the FY 2017/2018 of 52.89% i.e. $(181,081,902/342,423,000) \times 100\% = 52.89\%$.</p> <p>The uncollected portion was shs 161,341,098 , representing 47.1% of the total budget for FY 2017/2018.</p> <p>Issues raised by the district:</p> <p>The revised budget amounted to shs 198,000,000 which should have been the basis of calculation of the collection ratio as opposed to the original budget adopted by the manual.</p>	<p>0</p>
<p>Local revenue administration, allocation and transparency</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2 	<p>The District had remitted the mandatory LLG share of local revenues of 65%,and also received the mandatory 35% from sub-counties. Examples of remittances to LLG were:</p> <p>(i) EFT No.PV-AD001024/52099020336190 dated 11/5/2018 being transfer of LST share for the FY 2017/2018 to Kabeywa sub-county amounting to shs 237,250, General Receipt No.2187 dated 17/5/2018.</p> <p>(ii) "Revenue returns" from Sipi sub-county to Kapchorwa DLG of shs 2,450,000(35%) out of the shs 7,000,000 local revenue collected from rental taxes during the FY 2017/2018 , receipt no. 02869, dated 12/4/2017.</p> <p>(iii) Other remittances on the above return sheet included shs 22,750 calculated out of shs 65,000 which was collected from trading licence and shs 76,300 calculated out of shs 218,000 which was collected from hotel tax.</p> <p>.</p>	<p>2</p>

<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>The LG total expenditure on council allowances and emoluments exceeded the the mandatory 20% of OSR collected in the FY 2017/18.</p> <p>Review of the annual financial statement revealed that the total council expenditures on allowances and emoluments(including from all sources), vote 210003, exceeded the mandatory 20% of the LG own source revenue collected as demonstrated below:</p> <p>Total expenditure on council allowances during FY 2017/2018 was Shs181,300,462,678, whereas total actual local revenue collected was shs 181,081,902 , representing 100.21% of OSR used. Reasons raised by the district for over expenditure was that;</p> <ul style="list-style-type: none"> MOLG granted authority through a letter ref:ADM/F55/01 dated 13/3/2018 allowing the council to spend an extra shs 86,677,577 over and above the mandatory 20%. The expenditure includes shs 70,800,000 ex-gratia to councillors remitted by the central govtt on a quarterly basis of shs 17,700,000 per quarter, but the manual has demanded to be included. 	<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>The LG has filled the position of Senior Procurement Officer and Procurement Officer substantively. The LG also has an Assistant Procurement Officer.</p> <p>Cheptoris Dinah, was recruited as Senior Procurement Officer under Min No.04/2017(d)</p> <p>Kitiyo Benard George was recruited as Procurement Officer under Min No.32/2017(b)/ currently on secondment to Kapchorwa Municipal Council</p> <p>Sabila Tom was recruited as Assistant Procurement Officer under Min No.56/2018(c)</p>	<p>2</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 TEC produced and submitted reports to the Contracts Committee for the previous FY: score 1 	<p>In the previous FY, TEC met on 10/10/2017, 13/10/2017, 28/10/2017, 8/11/2017, 31/1/2018, 27/2/2018 and 26/6/2018 produced reports and submitted them to the contracts committee.</p> <p>Most of the Contracts Committee meetings had an agenda item on approval of Evaluation reports and the decisions of the Contracts Committee were guided by the recommendations of TEC</p> <p>For instance, the Contracts committee meeting held on 12/10/2017, considered recommendations from the TEC report of 10/10/2017. Contracts Committee awarded the same 8 projects recommended by the TEC in this case</p>	<p>1</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 Contracts Committee considered recommendations of the TEC and provide justifications for any deviations from those recommendations: score 1 	<p>The Contracts Committee considered recommendations of TEC. For instance;</p> <p>The Contracts Committee held on 4/12/2017 took in whole the recommendations of the TEC that sat on 28/11/2017</p> <p>The Contracts Committee meeting held on 9/11/2017 recommended the 3 Radio Stations proposed by the TEC meeting held on 8/11/2018, to handle the Marburg outbreak messages.</p> <p>However, when the evaluation committee proposed Sky Extra Ent LTD to construct the 2 classroom block in Kapkwai Primary School yet they were the highest bidder at 44,720,571/=, the Contracts Committee sought a justification from TEC. The explanation of TEC on that matter is captured in the evaluation report dated 13/10/2017</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 plan for this FY is in place. It is endorsed by CAO, also received by PPDA and MOFPED on 8th June 2018.</p> <p>All infrastructure projects for 2018/2019, are captured in the Procurement Plan. Under Administration, there are 4 projects, Under Water there are 4 projects, Education has 10 projects, there are several projects under road works-Force Account, in Health, there are 2 projects.</p> <p>The LG adhered to the procurement plan for the previous FY. The 57 subjects of procurement in the plan are captured in the Contracts register of 2017/2018</p>	<p>2</p>
<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 current FY, evidence that the LG has prepared 80% of the bid documents for all investment/ infrastructure by August 30: score 2 	<p>For the current FY, The LG has planned 19 infrastructure projects (minus those under Force Account, and two health investments- one is continuing while the other is being procured by Central Government). At the time of assessment, 12 bid documents were prepared (one from water dated, 27/5/2018, 10 from Education each dated 27/8/2018) which translates into 63% bid documents prepared by August 30th</p>	<p>0</p>

<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>The LG has an updated contract register endorsed by the Senior Procurement Officer on 4/6/2018. It has 57 subjects of procurement among which are, supplies, services and infrastructure/works including those secured under Force Account</p> <p>The procurement activity files were complete as is required by the key records to check on the procurement file designed by PPDA, April 2008</p>	<p>2</p>
<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 adhered with procurement thresholds (sample 5 projects): score 2. 	<p>For the previous FY, the LG adhered with procurement thresholds i.e. for procurements over 50m, the LG used the Open Bidding method and the Selective Bidding Method for procurements below 50m. For instance;</p> <p>(a) The extension of piped water to Boron in Amukol S/C was planned at 82,500,000/= and awarded at 78,706,000/= under Open domestic bidding- the advert for this was posted in the New Vision of Thursday May 18th 2017;</p> <p>(b) The construction of a 5 stance toilet at Ngasire Primary School was planned at 18,000,000/= and awarded at 17,999,890/= under selective bidding;</p> <p>(c) The construction of a two classroom block at Kapkwai P/S was planned at 45,000,000/= and awarded at 44,720,571/= under selective bidding;</p> <p>(d) The renovation of the district Natural Resources Office was planned at 31,000,000/= and awarded at 29,121,100/= under selective bidding</p> <p>(e) Completion of Phase II of Tumboboi HC II Children and Maternity Ward was planned at 54,000,000/= but was awarded at 53,944,963 under Open bidding (done earlier than previous FY, this was a continuation)</p>	<p>2</p>

<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>Sampled projects from the previous FY were certified according to the specific contract agreements and technical supervision;</p> <ul style="list-style-type: none"> • For the construction of the 2 classroom block in Kapkwai P/S, awarded at 45,000,000/= the interim certificate 1 issued against this investment is dated 2/5/2018 and was worth 21,159,636 while the certificate of completion was dated 9/1/2018 and was worth 21,025,750/= • For the renovation of the district Natural resource office awarded at 29,121, 100/=-, there was only one certificate issued against the investment. It was dated 14/2/2018 • For the construction of a 5 stance toilet at Ngasire P/S, there was one certificate issued. It was dated 20/7/2018 	<p>2</p>
<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>At the time of assessment, the only project whose implementation had began (i.e. on 6th August 2018) was the GFS in Kabyewa S/C. Labelling had not yet been done</p>	<p>0</p>
<p>Financial management</p>			

<p>The LG makes monthly and up to-date bank reconciliations</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG makes monthly bank reconciliations and are up to-date at the time of the assessment: score 4 	<p>The LG had not made up to date bank reconciliations at the time of the assessment..</p> <p>Review of bank reconciliations (generated by IFMS), had revealed that the monthly bank reconciliations were prepared, but not up-to-date at the time of this assessment on 10/9/2018. The manual demanded that , the LG should have made monthly bank reconciliations up-to-date at the time of this assessment, however, in this case the monthly bank reconciliations were last prepared in June 2018, two months late from the time of this assessment, e.g</p> <p>.(1) Stanbic bank a/c 9030009320945-Kapchorwa branch , in the names of " Kapchorwa DLG General Fund- Kapchorwa ", was last reconciled and approved on 30/6/2018 , with balances as per cash book and bank statement of shs 100,502719 and 100,102,719 respectively.</p> <p>(2) BOU a/c No.KAP/BK046, in the names of " Kapchorwa DLG TSA" was last reconciled and approved on 30/6/2018 , with balances as per cashbook and bank statement of shs 0 and 0 respectively.</p>	<p>0</p>
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<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>The LG had made timely payment of suppliers during the FY 2017/18</p> <p>Review of payments together with their supporting documents attached, revealed that the LG certified timely payments to suppliers.</p> <p>Examples of payments verified included;</p> <p>(1) Payment voucher No. PV-FN00143/52099020338906, dated 19/6/2018, LPO. 00163915/6 dated 18/6/2018, receipt no. 000024 dated 2/7/2018, in the names of Katuka Investments ltd, for supply of stationary, GRN-006941, certified by CAO/CFO on 19/6/2018.</p> <p>Duration between delivery and payment was 14 days i.e 16/6/2018 to 2/7/2018. The mandatory requirement is that the delay period should not exceed 2 months.</p> <p>.</p> <p>(2) Payment voucher No. PV-FN0068/52099020338914, dated 19/6/2018, LPO. 00163883 dated 11/6/2018, receipt no. 356 dated 22/6/2018, in the names of Somex construction Engineering co. Ltd , for supply of 2 office chairs, GRN-006924 dated 18/6/2018, certified by CAO/CFO on 19/6/2018.</p> <p>Duration between delivery and payment was 11 days i.e 11/6/2018 to 22/6/2018. The mandatory requirement is that the delay period should not exceed 2 months.</p>	<p>2</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"> • 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 LG had a substantive Senior Internal Auditor , as per the DSC appointment minute ref: 35/2015 (d), effective date of appointment 12/5/2015 in the names of Acom Ruth, for the post of District Internal Auditor (on promotion from senior internal auditor), with a salary scale U2, appointment letter ref: GR/156/2, personnel file no. CR/D11289 .</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>The LG had produced all quarterly Internal Audit Reports for FY 2017/2018 as indicated below:</p> <ul style="list-style-type: none"> • Quarter 1 internal audit report was dated 30/10/2017. • Quarter 2 internal audit report was dated 31/1/2018 • Quarter 3 internal audit report was dated 30/4/2018 • Quarter 4 internal audit report was dated 10/8/2018. 	<p>2</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>	<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>	<p>The LG had provided information to the council and LG PAC on the status of implementation of internal audit findings as indicated below: Source of documents were: (1) Minutes of PAC (2) Delivery note book (3) Letters of follow up on Internal Audit recommendation.</p> <ul style="list-style-type: none"> • Quarter 1 status on the implementation of internal audit findings was submitted to LG Accounting officer, LG-PAC and discussed on 4/4/2018 as per the minutes of DPAC ref:6/4/2018 in KOK HALL. • Quarter 2 status on the implementation of internal audit findings was submitted to LG Accounting officer, LG-PAC on 21/2/2018 and discussed on 3/4/2018 as per the minutes of DPAC ref: 4/4/2018 • Quarter 3 status on the implementation of internal audit findings was submitted to LG Accounting officer, LG-PAC on 30/4/2018 as per the minutes of DPAC ref:8/4/2018. • Quarter 4 status on the implementation of internal audit findings was submitted to LG Accounting officer, LG-PAC on 10/8/2018, but is yet to be discussed on 17/9/2018 as per communication from CAO ref: CR/214/7 dated 5/9/2018' 	<p>2</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"> • 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>The internal audit reports for the previous FY 2017/2018 were submitted to LG Accounting Officer, LG PAC and LG PAC had reviewed them and followed up. For example; refer to a letter dated 5/9/2018 from the inspectorate of gov't, addressed to Mr Davis Olal (DWO) instructing him to refund shs 1,219,200 paid on voucher No. 509422 which was not accounted for in the 3rd quarter internal audit report, and was recommended by PAC to be recovered now being followed up for recovery.</p>	<p>1</p>
<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 updated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual: score 4 	<ul style="list-style-type: none"> • The LG did not maintain a detailed and up-to-date assets register, neither was it in the format prescribed in the Accounting manual. What is referred to as the assets register was a list of names of assets and where they are located without any meaningful order and details e.g • (1) Land & buildings on plot no. RH35 located on Moi avenue, now being rented to one Chemutai Dominic has no values. • (2) Office desk referred to as FA0037 was neither valued nor engraved. • (3) M/v reg, no. UG0428M located at the DHO's office had not been valued 	<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 	<ul style="list-style-type: none"> • The LG Financial Statement 2017/2018 had unqualified audit opinion.. 	<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>Review of six (6) sets of District Council minutes for meetings held on 28th/07/2017, 4th/12/2017, 28th/03/2018, 8th/05/2018, 25th/05/2018 and 28th/06/2018 affirmed that though Council had considered some service delivery issues performance assessment results FY 2017/18 had not been discussed. Though LG PAC reports (period not specified) were said to have been received by the District Speaker under Min. 8/5/2018 of 8th/05/2018 the reports were not discussed by Council.</p> <p>Some of the issues discussed included approval of annual budget, procurement plan, capacity building plan, revenue enhancement plan for FY 2018/19 under Min. 6/5/2018 in meeting of 5th/05/2018 and discussed filling of gaps in Boards and Commissions under Min. 20/10/2017 of 12th/10/2017.</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"> Evidence that LG has designated a person to coordinate response to feedback (grievance /complaints) and responded to feedback and complaints: score 1. 	<ul style="list-style-type: none"> The DCAO, Mr. Opio John Bosco had been designated to coordinate response to feedback in letter by CAO dated 9th/02/2018. Some response to complaints were reviewed e.g. the alleged irregular appointment of Ms Dorine Chemutai as Assistant Records Officer which had been referred to the district by the Public Service Commission (PSC) in a letter dated 20th/02/2018 under ref. no. DSC/17/95/01 vol.4 was responded to by the Chief Administrative Officer in a letter to the Secretary PSC dated 15th/03/2018 under ref no. CR/305/2. 	<p>1</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 LG had not specified, displayed and made publically available a system for recording, investigating and responding to grievances.</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 	<ul style="list-style-type: none"> • LG Payroll and Pensioner schedule -both for August 2018, had been displayed on the notice board at district headquarters. 	<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. 	<ul style="list-style-type: none"> • Only the Water sub-sector Procurement plan FY 2018/19 had been displayed on the noticeboard at the district headquarters. The consolidated District Procurement plan and the awarded contracts and amounts were not displayed. 	<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. 	<ul style="list-style-type: none"> • The LG had not published/displayed the performance assessment results for FY 2017/18. However results had been presented in Joint meeting of 2nd/05/2018 under Min.JM/3/054/2018 and JM/05. 	<p>0</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 	<ul style="list-style-type: none"> • The LG had communicated to LLGs of guidelines, circulars and policies issued by the national level as evidenced by e.g. an acknowledgement sheet by 11 LLGs for receipt of DDEG approved manual and letter from CAO dated 6th /03/2018 to all Senior Assistant Secretaries on IPFs for FY 2018/19 were reviewed. In Joint meeting of 2nd/05/2018 DDEG guidelines were explained under Min. JM/4/05/2018. 	<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>The LG had conducted discussions with the public to provide feedback on status of activity implementation. For example:</p> <ul style="list-style-type: none"> • Minutes of Baraza held in Sipi SC on 29th/06/2018 that had been prepared by J.C. Sande / office of the RDC. • Production sector held 3 radio talk-shows on good governance by SACCOs as evidenced in the Q4/Annual report pg. 53 	<p>1</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>The LG gender focal point provided trainings to the TPC at district and sub-county level on gender mainstreaming.</p> <p>At the time of assessment, the officer presented a power-point presentation on Introduction to Gender-Mainstreaming and the gender matrix she uses to support TPC members to mainstream gender into the various sector plans</p>	<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 implemented: score 2. 	<p>For this FY, The SCDO/gender focal point has planned; Gender Mainstreaming activities, implementation of the Uganda Women Empowerment Programme and the Youth Livelihood Programme, mobilising PWDs for IGAs, resettlement of abandoned children, psycho-social support for children, transportation of children to the remand home, support to Youth, Women, PWDS, Elderly Councils, capacity building activities for Councils among other activities;</p> <p>From the Accounts Department, it was established that the approved budget for the Community Based Services was 674,585,000/= while the actual expenditure was 332,189,036/=. This translates into 49.2% of the budget implemented</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 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>The LG carried out environmental screening as well as planning and budgeting for the mitigation measures. For example, the project on the extension of piped water to Boron Parish in Amukol S/C was screened on 13/9/2017 and an Environmental and Social Management Plan (ESMP) for the project developed, the same was done for the 5 stance toilet constructed in Ngasire P/S on 20/10/2017 and the 2 classroom block at Kapkwai P/S on 18/10/2017. Also the screening of the project on the renovation of the Natural resources office block was done on 19/4/2018 and an ESMP for the project developed on the same date</p>	<p>1</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>There was no evidence that the LG had integrated environmental and social management, health and safety into the bid documents</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 all projects are implemented on land where the LG has proof of ownership (e.g. a land title, agreement etc.): score 1 	<p>The LG indicated that the process of securing Government land had started. Meanwhile, projects being implemented on church, community and or private land did not have any type of documentation spelling out the terms on the use of that land by the LG</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 all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO: score 1 	<p>Completed projects have environmental certification but the CDO did not endorse the form for any of the projects</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 contract payment certificated includes prior environmental and social clearance (new one): Score 1 	<p>There was no evidence of environmental and social clearance in this regard</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 environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. Score: 1	<p>No evidence of monthly reports on environmental matters by environmental officer and CDO were availed at the time of assessment</p>	<p>0</p>
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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>	<p>• 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>	<p>In the LG Performance Contract 2018/2019, the district has budgeted UGX 2,561,131,000/= for pre-primary and primary education, of which UGX. 2,126,256,000/= (83%) cater for salaries for 327 teachers in 24 primary schools. Taking an assumption that each school have 7 teachers with a monthly basic salary of UGX 537,837/= and a headteachers with UGX 856, 486/=, the annual budget for teachers in 24 schools, amounts to UGX 1,330,947,360/=. The budget provision for a wage bill for FY 2018/19 in the LG more than the assumed budget, and there it caters for more than 8 teachers per school with a head teacher inclusive.</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>	<p>• 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>	<p>The school list as at August 2018, in the District Education Office indicates that the numbers of teachers deployed in all 24 schools range from 9 to 20 teachers. This was also evidenced on staff lists in all the 6 sampled primary schools (5 government and 1 private) visited. They had at least 8 teachers with a head teacher inclusive, that is, Sipi PS(18), Kapkworok PS(15), Chema PS(16) , Gamatui Boys PS(13), Kapsirikwo PS (18) and private -Kabore (14)</p>	4

<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 o If 100%: score 6 o If 80 - 99%: score 3 o If below 80%: score 0 	<p>The approved budget has the wage bill of UGX 2,126,265, 00 for 327 teachers. Currently, the LG has 322 teachers in post in 24 government aided primary schools. The 5 teachers are yet to be advertised and recruited. This translates into 98.5% of the wage bill with positions filled by primary teachers within the wage bill provision</p>	<p>3</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 Approved Structure of the Kapchorwa District LG has 2 positions of inspectors of schools, and both have been filled under DSC Min No. 31/2011 and DSC Min No. 15/2017.</p>	<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 LG Education department had submitted the recruitment plan to HRM for the current FY 2018/2019 to fill positions of 27 education assistants, of which five(5) positions have a wage bill within the current FY. The recruitment plan was captured in the PBS indicating their wage bill of UGX 133,849,584/=.</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>Since the positions of School Inspectors as per the structure had been filled under DSC Min No.31/2011 and DSC Min No.15/2017 there was no need for recruitment.</p>	<p>2</p>
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Monitoring and Inspection

<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>100% (All the 2) inspectors of schools had been appraised for FY 2017/18. The district has (2) substantively appointed inspectors of schools as per the approved structure for the education department dated 4/7/17. a) The Senior Inspector of schools appointed under DSC Min No.31/2011, was appraised for FY 2017/18 on 5/9/18 by DEO b) The Inspector of schools appointed under DSC Min No.15/2017 (e), was appraised for FY 2017/18 on 2/7/18 by DEO and signed by DCAO on 27/8/18.</p>	<p>3</p>
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<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>Only 15% (2 out of 13) head teachers had been appraised for calendar year 2017.</p> <p>According to the district list of Government aided primary schools and head teachers (HTs) prepared and signed by PHRO on 11/9/18, it was indicated that the district has a total of (24) primary schools with (13) substantively appointed HTs and (11) in Acting capacity respectively. It was established and confirmed by DEO that 2/13 HTs were appraised in Calendar year 2017</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>There was evidence that the LG Education department has communicated all guidelines, policies, circulars issued by the national level in the previous FY to schools, for example,</p> <p>(1) Education Strategic Plan (2017/2018 - 2019/20) had been received and distributed to headteachers among other stakeholders as evidenced by acknowledgement of receipt in a distribution book.</p> <p>(2) Guidelines on payroll , wage bill , pension and gratuity management had been received and displayed on LG Education notice board , on 29th of June 2018.</p> <p>(3) On 19th July , 2017 , received a circular standing instrument No 6 of 2018 – staff allowance rates</p> <p>(4) A circular on focus of school inspection 2017/2018.</p> <p>(5) A circular and communications on games and UNEB examination had reached in the visited the sampled schools.</p> <p>At the time of assessment , most of the circulars could be located in school archive and the headteachers would recall recall the related information.</p>	<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>There was evidence that on 9th -07-2018, the headteachers held a meeting with the staff in LG education department, in which LG Education discussed and explained a numbers of issues and guidelines , policies and circulars issues.</p>	<p>2</p>
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The LG Education De- partment has effectively inspected all registered primary schools2

Maximum 12 for this performance measure

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

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

School inspections FY 2017/2018 were undertaken and reports were compiled. The number of inspections in:

1st Quarter report were 51 schools(23 Government and 28 private)

2nd Quarter report were 51 schools(24 Government and 28 private)

3rd Quarter report were 50 schools(24 Government and 28 private)

4th Quarter report were 50 schools (24 Government and 28 private)

This translated to 100% (drawn from 24 Government Schools and 28 private schools)

Some private schools were closed upon unsatisfactory operating conditions.

However, in the sampled schools, there was inconsistent inspection FY 2017/18 as follows:

(1) Kapsirikwo PS , had (1of 3) feedback reports(33%) on inspection term I 2018,

(2) Sipi PS, had (1 of 3) inspection reports(33%) , though headteacher claims oral inspection

(3) Gamatui Boys PS, (2 of 3) inspection reports(67%) in 2 terms on 20th April 2018 and 22nd June 2018

(4) Chema PS , had all(3 of 3) inspection report in 3 terms(100%) on 17th April 2018 , 24th October 2017 and 5th June 2018.

(5) Kabore PS, there was no evidence of school inspection report (0%)

Sampled school inspection coverage = $(33 + 33 + 67 + 100 + 0) / 5 = 47\%$

The average inspection coverage = $(100 + 47) / 2 = 74\%$

<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 school inspection reports were discussed in routine departmental meetings, and three key issues and recommendations were noted in the reports that were submitted to DES on 11th October 2017 , 4th January 2018 , 14th May 2018 and 6th September 2018) as follows:</p> <ul style="list-style-type: none"> • to encourage political leaders enact and enforce by laws towards provision of meals to pupils. • to emphasize that headteachers use tracking tool and arrival book to mitigate teacher lateness and absenteeism • to encourage teachers, especially in private schools to follow timetable • to ensure that teachers do not neglect the teaching of non-examined subjects. 	<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>There was acknowledgement that 1st Q, 2nd Q , 3rd Q and 4th Q school inspection reports were submitted to DES on the following dates: 11th October 2017, 04th January 2018, 04th may 2018, and 04th September 2018 respectively</p>	<p>2</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>In all sampled schools, there was evidence in SMC meeting minutes , that parents had discussed and agreed to contribute between (5 - 10kg) of maize , 5kg of beans and between sh. (2000-5000/=) per child for a midday meal in schools , and some parents had complied.</p> <p>For instance, in Kapkwirwok PS, in the AGM of 11th November, 2017 parents resolved to contribute towards the feeding pupils in the school.</p>	4
<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: o List of schools which are consistent with both EMIS reports and PBS: score 5 	<p>There is evidence that the list of schools which are consistent with both EMIS reports and PBS</p> <p>In the EMIS data obtained from the national , the number of government aided primary schools was 24 which is consistent with PBS records and statistics returns in the office of DEO.</p>	5
<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>There is evidence that enrollment data for all schools was not accurate consistent with EMIS report and PBS</p> <p>The Work Plan Report FY 2018/19, for Kapchorwa district indicated 20000 pupils enrolled in UPE (Page 39) contrary to 15511pupils reported in the EMIS data at national. Further investigation on the statistical returns received in April 2017 by the LG Education department, recorded 16068 pupils in 24 schools. Particularly, in Sipi P/S while at national level there were 918 pupils, at school level it was 921 pupils.</p>	0

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</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the council committee responsible for education met and discussed service delivery issues including inspection, performance assessment results, LG PAC reports etc. during the previous FY: score 2 	<p>Review of five (5) sets of Social Services Committee minutes for meetings held on 22nd/08/2017, 23rd/11/2017, 17th/03/2018, 6th/04/2018 and 22nd/05/2018 affirmed that though some service delivery issues had been discussed performance assessment results 2017/18 and LG PAC reports had not been considered.</p> <p>Issues discussed included teacher absenteeism - directed DEO to cause disciplinary action and maintenance of teacher registers in each school, and discussed defilement –called for involvement of all stakeholders, follow up of cases reported to Police to logical conclusion and to regulate drinking time under Min. 4(b)/8/2017 of 22nd/08/2017 and discussed the need to establish a tertiary institution in the lower Kaserem and a Secondary school in Kapsinda SC under Min. 04 of 22nd/5/2018.</p>	<p>0</p>
<p>The LG committee re- sponsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the education sector committee has presented issues that require approval to Council: score 2 	<ul style="list-style-type: none"> • Social Services Committee presented to Council its report and recommendations under Min. 6/5/2018 of 8th/5/2018 and Min. –key infrastructure e.g. classrooms and latrines were still inadequate and thus the need for increased resource allocation, securing of school land some of it which was under encroachment e.g Teryet High Altitude SS. 	<p>2</p>

<p>Primary schools in a LG have functional SMCs</p> <p>Maximum 5 for this performance measure</p>	<p>Evidence that all primary schools have functional SMCs (established, meetings held, discussions of budget and resource issues and submission of reports to DEO/ MEO)</p> <ul style="list-style-type: none"> • 100% schools: score 5 • 80 to 99% schools: score 3 • Below 80 % schools: score 0 	<p>The average rate of functionality in the sampled schools was: Establishment(5/5) +meetings(11/15) + budget(4/5) + submission(11/15) divide by 4 = 3.3/4 = 83%</p> <p>The SMC files of 5 randomly sampled schools from LG education department included: Ngasire P/S, Kobil P/S, Gamogo P/S, Kapteka P/S and Kabore P/S.</p> <p>(1) Ngasire P/S, submitted SMC minutes of meeting 16th June 2017, 29th September 2017 and 21st August 2017. In term II 2017 , SMC had a finance meeting. (3 times)</p> <p>(2) Kobil P/S, submitted SMC minutes of meeting 17th June 2017(once)</p> <p>(3) Kapchai P/S, submitted SMC minutes of meeting 12th December 2017(Once)</p> <p>(4) Gamogo P/S, submitted SMC minutes of meeting 18th June 2017, 22nd December 2017 and 16th march 2018(3 times)</p> <p>(5) Kapteka PS, submitted SMC minutes of meeting 16th September 2017, 26nd November 2017 and 10th march 2018(3 times)</p>	<p>3</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 e.g. through posting on public notice boards: score 3 	<p>There was evidence on the notice board of LG Education showing display of previous Quarter UPE grants, and the individual schools had displayed the grants on walls of their office.</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>The Education Department made late submissions of all investments in the approved sector annual work plan to PDU on 3rd July 2018</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. 	<ul style="list-style-type: none"> • The LG Education department timely certified and recommended suppliers for payment as per the contract terms and conditions. <p>Examples of contracts verified are:</p> <p>(1)-Procurement Ref:Kapc 520/wrks/17-18/00003 dated 3/11/2017 by Sky Extra Ent. Ltd, for construction of 2 class rooms at Kapkwai P/school, with a contract price of shs 44,720,751, date of completion and requisition for payment 9/4/2018, date of payment 28/5/2018,payment voucher no.PV-ED00418/52099020337482, amount paid shs 19,890,067.Delay period was 49 days i.e (9/4/2018 up-to 28/5/2018).The delay period is within the recommended 2 months limit.</p> <p>(2)- Procurement Ref:Kapc520/wrks/17-18/00005, by Trinity Technical Services Ltd, for construction of 5 stance lined latrine at C hemosang P/school contract price shs 16,732,000, completed and requisitioned for payment on 30/4/2018, certified for payment by CAO on 23/5/2018, payment voucher no. PV-ED00419/52099020337564 of shs 14,980,400 net of wht. Delay period 23 days i.e (30/4/2018 up-to 23/5/2018). The delay period is within the recommended 2 months limit .</p>	<p>3</p>

<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 	<ul style="list-style-type: none"> • PBS system administrator messages indicated that though quarter I-III reports had been submitted on time by Education department to Planning unit for consolidation, the quarter IV report was submitted past the deadline of mid-July as follows: <p>Quarter I report: 27th/12/2017</p> <p>Quarter II report: 10th/4/2018</p> <p>Quarter III report: 3rd/5/2018</p> <p>Quarter IV/Annual report: 16th/08/2018</p>	<p>0</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 <p>score 4</p> <ul style="list-style-type: none"> 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>The sector had provided information to the internal audit on the status of implementation of all audit findings for the year 2017/18. This is evidenced by the information gathered from the submission letter from DEO dated 28/5/2018 (only referenced as EDU), addressed to CAO and copied to PAC, titled "Response to queries raised on the 3rd quarter internal audit report procurement of goods and services", signed by DEO Mr Cheptoel Mike, where 7 queries were raised by the internal audit and all were satisfactorily responded to.</p>	<p>2</p>
<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.: Score 2 	<p>At the time of assessment, there was no evidence that the LG Education Department in consultation with the gender focal point had disseminated guidelines on how senior women /men teachers should provide guidance to girls and boys on various issues.</p>	<p>0</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: score 2 	<p>At the time of assessment, there was no evidence that the LG Education Department in consultation with the gender focal point had issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools.</p>	<p>0</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: score 1 	<p>There was compliance on gender guidelines for the composition of SMC based on the Education Act 2008. In the sample of SMC files of schools at the office of the District Education Officer; for example, Ngasire P/S, Kobil P/S, Gamogo P/S and Kapteka P/S , the assessor established that all the SMCs in sample of government schools had at least two women appointed by the foundation board on the committee.</p> <p>Secondly, during the field visit to sample schools such as Kapsirikwo PS , Sipi PS, Gamatui Boys PS and Chema PS , the assessor established that the SMCs in each of the visited schools had at least two women appointed by the foundation board as per the guidelines in the education Act mentioned above.</p>	<p>1</p>

<p>LG Education department has ensured that guide- lines on environmental management are dissemi- nated 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>At the time of assessment, there was no evidence that the Education Department in consultation with the Environment Department had issued guidelines on environmental management.</p>	<p>0</p>
<p>LG Education department has ensured that guide- lines on environmental management are dissemi- nated 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>There was evidence of screening school infrastructure projects. For instance, the environmental and social screening for the 5 stance toilet constructed at Ngasire Primary School was done on 20/10/2017 while that of the 2 classroom block constructed at Kapkwai Primary School was done on 18/10/2017. The screening forms captured the mitigation measures. Likewise, on 10 - February 2018 , there was evidence that District Environment Officer forwarded an environment and social screening report for Moron primary school.</p>	<p>1</p>
<p>LG Education department has ensured that guide- lines on environmental management are dissemi- nated 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 checked whether the mitigation plans are complied with: Score 1 	<p>There was no evidence of visits to these sites by the environmental officer and community development officer seen at the time of assessment</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 LG Performance contract 2018/19 FY indicates the PHC wage bill provision of UGX 3,648,852,000 and the wage bill for staff in post is UGX 3,642,321,624 as per the staff list leaving a balance of UGX 42,530,376.</p> <p>The LG filled the positions were 90% of approved positions in the structure as per the work plan 2018/19.</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-request to HRM for the current FY, covering the vacant positions of primary health care workers: score 6</p>	<p>A recruitment plan was submitted to HRM in a letter dated 4th June 2018 and received on the same day was on file covering 11 positions.</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>100% of the health facilities in-charges had been appraised for FY 2017/18.</p> <p>The Kapchorwa Hospital in-charge (Dr.Barasa Emmanuel, Medical Officer as per DSC Min no.99/2015) was appraised on 24/8/17 by DHO. The annual performance report for FY 2017/18 was on file. The district has no HC IV.</p>	<p>8</p>
<p>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.</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> • 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 	<p>The deployed staffs in the sampled health facilities i.e Gamatui HCII, Chemosong HCII, Chebonet HCIII and Gamogo HCII were as per the staff list in the performance contract 2018/19.</p>	<p>4</p>
<p>Monitoring and Supervision</p>			
<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 communicated all guidelines, policies, circulars issued by the national level in the previous FY to health facilities: score 3 	<p>The DHO disseminated the circular on facility functionality to all in-charges in a letter dated 20th March 2018 and also one on credit line from NMS dated 18th March 2018.</p>	<p>3</p>

<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>One meeting was held on 29th June 2018 to discuss the Rotavirus financial guidelines (Minute 4/4/2018)</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>The District has one Hospital (Kapchorwa General Hospital) and no HCIV. Supervision was done for quarter one (1) only as per report dated 20/9/2017 covering all facilities including the Hospital. At the time of assessment, there were no reports for other quarters.</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>All 26 lower level health facilities (both Government and PNFPs) were supervised as per the supervision reports on file dated 20/9/2017 for Q1, 20/12/2017 for Q2, 4/4/2018 for Q3 and 25/5/2018 for Q4.</p>	<p>3</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 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>Only one supervision report (Q2) was discussed as per meeting held on 29/3/2018. There was no evidence of discussion of reports for other quarters.</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>At the time of assessment there was no report or minutes to indicate that follow up actions were undertaken.</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"> List of health facilities receiving PHC funding, which are consistent with both HMIS reports and PBS: score 10 	<p>The facilities are consistent with PBS (performance contract). HMIS forms 105 and 108 for July 2018 were submitted through DHIS2 and MTRAC online systems (100%) and hard copies for August exist at DHO's office from all health facilities receiving PHC funds.</p>	<p>10</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</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Review of five (5) sets of Social Services Committee minutes for meetings held on 22nd/08/2017, 23rd/11/2017, 17th/03/2018, 6th/04/2018 and 22nd/05/2018 affirmed that though some service delivery issues had been discussed performance assessment results 2017/18 and LG PAC reports had not been discussed. Examples of issues discussed included filling in the staffing gaps in the Health department and in Kapelko HC II under Min. 4(a)/8/2017 of 22nd/08/2017 and discussed need to address vaccine stock out reported in some facilities by re-distribution from those with much vaccines and the need to raise male involvement in maternal child health under Min. 5 of 16th/04/2018. 	<p>0</p>
<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 	<ul style="list-style-type: none"> Social Services Committee presented to Council its report and recommendations under Min. 6/5/2018 of 8th/5/2018 –recommended for upgrading of Tumboboi HC II to HC III, re-allocation of medicine to Amukol HCII and Chepterech HC II. 	<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>Two (2) out of five (5) facilities had all the four mandatory quarterly meetings i.e Kapchorwa Hospital and Chemosong HCII. The other three (3) had less than four meetings each i.e 40% is less than 70%.</p>	<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>Notices on health facilities receiving PHC non-wage were displayed on the notice board for Q1 dated 8/9/2017, Q2 dated 3/11/2017 and Q4 dated 14/3/2018. The LG has no functional website.</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>Submission was done in a letter dated 27/4/2018 listing all the projects in the health annual work plan. The projects were captured in the District procurement plan as per the performance contract 2018/19 FY.</p>	<p>2</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>The health department submitted only one procurement request (PP Form1)to PDU for completion of Tumbomboi HCIII children and maternity ward on 28/4/2017</p>	<p>0</p>
<p>The LG Health department has certified and initiated payment for supplies on time</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the DHO/ MHO (as per contract) certified and recommended suppliers timely for payment: score 4. 	<ul style="list-style-type: none"> The DHO certified and recommended suppliers for payment timely .The only contract in health department in the previous FY which was sampled and verified to determine terms of payment was: Procurement no. Kapc 520/wrks/15-16/00002 for completion of maternity & children ward at Tuboboi HCIII phase II, by Link Investments ltd. Contract price shs 53, 944,963, contract period 3 months (from 15/3/2018 up-to 15/6/2018), date certified by CAO for payment 18/6/2018, duration taken to certify payment by the CAO was 3 days i.e 15/6/2018 up-to 18/6/2018. The delay period did not exceed the 2 months limit, therefore it was timely. 	<p>4</p>
<p>Financial management and reporting</p>			

<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 	<ul style="list-style-type: none"> PBS system administrator messages indicated that though quarter I-III reports had been submitted on time by Health department to Planning unit for consolidation, the quarter IV report was submitted past the deadline of mid-July as follows: <p>Quarter I report: 27th/12/2017</p> <p>Quarter II report: 6th/4/2018</p> <p>Quarter III report: 27th/04/2018</p> <p>Quarter IV/Annual report: August/2018 (actual date was not visible)</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>The health sector had provided information to the internal audit on the status of implementation of all audit findings for the year 2017/18.</p> <p>Information gathered from copies of quarterly letters of submission addressed to CAO from the District Health Office confirms that the information reached internal audit department. For example, a submission in 3rd quarter referenced as Fin/101/01 was titled "3rd quarter (2017/2018) audit queries under section 3.0", dated 11/6/2018, was confirming that the letter was responding to audit queries earlier raised on 7/6/2018., The 8 queries which were raised in the 3rd quarter were all responded to.</p> <p>Meanwhile, responses to queries raised in the 4th quarter was evidenced in a letter of submission dated 22/8/2018 titled "Responses to issues raised in 4th quarter management letter" by DHO Dr Mwanga Michael, addressed to CAO, and copied to the District Internal Auditor. A total of 7 queries were raised and all were responded to.</p>	<p>2</p>
<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>	<ul style="list-style-type: none"> Four (4) of the five (5) sampled health facilities meet the gender requirement of 30% females on the HUMC (Kapchorwa Hospital has 7males &2females i.e 33.3%, Gamatui HCII has 3males &3 females i.e 50%, Chemosong HCII has 2males & 3 females i.e 60%, and Gamogo HCII has 6males &2females i.e 33.3%). One (1) i.e Chebonet HCIII has one female out of 8 members on the HUMC (i.e 12.5%.) 	<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>Five (5) sampled facilities did have the sanitation facilities (pit latrines) clearly labelled for males and females.</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"> 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>One project (completion of Tumbomboi HCIII maternity &children ward) was screened as per the environmental screening form dated 3rd April 2018.</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 check whether the mitigation plans are complied with: Score 2 	<p>At the time of assessment, no site visit report was produced</p>	<p>0</p>
<p>The LG Health department has issued guidelines on medical waste management</p> <p>Maximum 4 points</p>	<ul style="list-style-type: none"> Evidence that the LG has issued guidelines on medical waste management, including guidelines (e.g. sanitation charts, posters, etc.) for construction of facilities for medical waste disposal: score 4. 	<p>All five (5) sampled facilities (Kapchorwa Hospital, Gamatui HCII, Chemosong HCII, Chebonet HCIII and Gamogo HCII) had charts on segregation of medical waste and/or waste bins in different</p>	<p>4</p>

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>Kapchorwa District safe water coverage stands at 68%.</p> <p>The district has ten sub counties, those above district average are kaptanya (79%), chema (95%), gamoga (84%), kabeywa (95%), amukol (92%), kaserem (86%), and munarya (86%), and Chepterech, Kapsinda, and Kawowo are below district average.</p> <p>This current FY 2018/19 budget allocation targeted Amukol S/C GFS at UGX. ,600, Gamoga S/C GFS at UGX. 59,904,000 and GFS rehabilitation in Chema &Tumboboi S/C at UGX 30,024,000.</p> <p>Ministry of water and environment, through water management and development project (WMDP) contracted Runj & partners consulting engineers & planners Ltd to construct Bukedea GFS upper sipi system.</p> <p>Procurement No. MWE/WRKS/16 17/00048.</p> <p>Final Design report, May 2016.</p> <p>Page 91, captures area of project coverage as; Amukol, kawowo, kapsinda sub counties in kapchorwa district.</p> <p>In the FY 2018/19 budget, allocation targeted sub counties above district safe water coverage, i.e. kabeywa S/C - 95%, chema S/C - 95% and kaptanya - 79%.</p>	0

<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>Sub counties below the district average were already catered for by implementing partners, e.g.</p> <p>GFS Chepterech S/C - 63% was constructed by Uganda Red Cross society, (contract No. URCS/DRM/DRR/2017/0001) commenced on 6th November 2017 and completion was 30 days after seven days of acceptance.</p> <p>Sub counties of Kapsinda - 56% and Kawowo - 60% were covered by ministry of water and environment under Bukedea Gravity flow project funded World Bank.</p> <p>MWE/WRKS/16 – 17/00048.</p> <p>Final design, Pg. 91.</p>	<p>15</p>
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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>Kapchorwa District Water Department monitoring and supervision report on file submitted to CAO, out of 569 water sources spread across twelve sub counties, 412 water sources were monitored and supervised in the FY 2017/18, leading to 72%.</p>	<p>7</p>
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<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 consistence and accuracy in safe water coverage percentages both in MIS & DWO data. (78%).</p> <p>Seventeen tap stands were constructed; seven in Gamoga S/C and ten in Amukol S/C in PBS, in MIS fifteen tap stands were reported in the update.</p>	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>Seventeen tap stands were constructed; seven in Gamoga S/C and ten in Amukol S/C in PBS, in MIS fifteen tap stands were reported in the update.</p>	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>District water department submitted the procurement plan to PDU on 13/7/2017, which was beyond the deadline of April 30th 2017.</p>	0

<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>Appointment letter dated 2nd May 2017 confirms appointment of the contracts manager by District chief administrative officer.</p> <p>DWO, on file was a contract management plan 2017/18.</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>Bills of quantities and drawings for all projects were implemented as par each contract signed.</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 contractor handed over all completed WSS facilities: score 2 	<p>There was no hand over evidenced on GFS projects of chepterech, gamoga, amukol and cheptilyal spring</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 DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2 	<p>At the time of the assessment, DWO had no completion certificates for all projects done in the F/Y 2017/18.</p>	<p>0</p>
<p>The district Water depart- ment 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 	<ul style="list-style-type: none"> The DWO certified and recommended suppliers for payment timely .Sample contracts verified to determine terms of payment were as follows: <ul style="list-style-type: none"> (i)-Procurement no .Kapc 520/wrks/17-18/00027 for rehabilitation of Timboiboi gravity flow scheme in Kaptanya sub-county by Kapchorwa Dembe Group, payment voucher Nos.EFT PV-WK00474/52099020338893 of shs 22,830,409, contract price shs 29,043,200, commencement date was 16/3/2018, date of completion and requisition for payment was 8/6/2018, date of certification by CAO 18/6/2018, contract period estimated 3 months. Duration taken by CAO to certify payment 10 days (8/6/2018 to 18/6/2018).The manual provides for a period not exceeding 2 months to certify payment to suppliers, therefore, the LG certified for payment timely. (ii)- Procurement No Kapc 520/wrks/17-18/00001 for extension of pipe water to Boron parish in Amukol sub-county, contract price 78,706,000, date of signing contract 12/1/2018 payment voucher No EFT PV-WK 00490/52099020337481 dated 28/5/2018 of shs 70, 750,440, commencement date 17/11/2017, estimated contract period 3 months, date of completion and requisition for payment 2/5/2018, date certified by CAO for payment 9/5/2018.Time taken before certification by CAO for payment 7 days i,e from 2/5/2018 to 9/5/2018. The manual provides for a period not exceeding 2 months to certify payment to suppliers, therefore, the LG certified for payment timely. 	<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 Plan- ning 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 	<ul style="list-style-type: none"> PBS system administrator messages indicated that though quarter I-III reports had been submitted on time by Water department to Planning unit for consolidation, the quarter IV report was submitted past the deadline of mid-July as follows: Quarter I report: 10th/02/2018 Quarter II report: 19th/03/2018 Quarter III report: 2nd/05/2018 Quarter IV/Annual report: August/2018 (actual date was not visible) 	<p>0</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 <ul style="list-style-type: none"> If sector has no audit query score 5 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>LG Water department did not avail any evidence at the time of assessment showing that the sector had provided information to the internal audit on the status of implementation of all audit findings in the previous FY.</p>	<p>0</p>
<p>Governance, oversight, transparency and accountability</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 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 	<ul style="list-style-type: none"> Review of six (6) sets of Works and Technical Services Committee minutes for meetings held on 5th/09/2017, 22nd/11/2017, 28th/02/2018, 27th/03/2018, 24th/04/2018 and 14th/05/2018 affirmed that though some service delivery issues had been discussed, the committee had not considered performance assessment results FY 2017/18, LG PAC reports and submissions from the DWSCC. Examples of issues discussed included Water sub-sector reports under Min. 7(b)/11/2017 of 22nd/11/2017 where need to scale up establishment and use of sanitation facilities was recommended, and, discussed draft annual workplan and budget estimates under Min. 3/3/2018 of 27th/3/2018 – noted that community ownership of Ngasire –Chema GFS was low thus the need to intensify community mobilisation. 	<p>0</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 	<ul style="list-style-type: none"> Works and Technical Services Committee report and recommendations were presented to Council under Min.20/12/2017 of 4th/12/2017 –included vandalism of water supply systems to be addressed by local leaders and the need to scale up sanitation activities given the low coverage, and, budget FY 2018/19 was laid to Council for approval on 28th/03/2018 and subsequently discussed and approved in meeting of 25th/05/2018 under Min. 5/5/2018 and Min. 6/5/2018, respectively. 	<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>The AWP, Budget and water development grant releases and expenditures were displayed on the district notice board.</p>	<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"> All WSS projects are clearly labelled indicating the name of the project, date of construction, the contractor and source of funding: score 2 	<p>Of the four water sources visited in amukol sub county, there was no labeling project name, date of construction, the contractor and source funding of the project.</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"> Information on tenders and contract awards (indicating contractor name /contract and contract sum) displayed on the District notice boards: score 2 	<p>Information was displayed on the district notice board for all the projects by both procurement unit and water department for tenders and contracts awards.</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>Communities apply for water sources as evidenced in the application forms; e.g.</p> <p>From LC 1 Chepakanar village, Almon parish. Kaptum.</p> <p>Application stamped & Signed by the village LC 1.</p> <p>Acknowledgement of receipt of Ug x 50.000 as community contribution.</p> <p>Dated 29/1/2018</p>	<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>Two applications from villages of loch and receipt of sh. 50000 as contribution, collection O&M funds collected by committee members for silting and fencing off some water sources were indications that WSC are functional.</p>	<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>Apart from the world bank funded project of Bukedea GFS, all other projects in the district were not screened.</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>No evidence was availed concerning environmental screening as almost all projects were not screened.</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>No evidence was availed from the DWO, he however acknowledged the need to involve environment department in future projects.</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>Information from Kapchorwa District field visit and on file at DWO, out of Six committee members three were women and all occupied positions of treasurer.</p>	<p>3</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 no public sanitation in the district.</p> <p>Reason was inadequate resources to construct sanitation facilities.</p> <p>The DWO promised to engage CAO, on this issue to see how to raise enough resources for sanitation facilities next FY.</p>	<p>0</p>
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