



Local Government Performance Assessment

Yumbe District

(Vote Code: 556)

Assessment	Scores
Accountability Requirements	50%
Crosscutting Performance Measures	71%
Educational Performance Measures	82%
Health Performance Measures	70%
Water Performance Measures	87%

Summary of requirements	Definition of compliance	Compliance justification	Compliant?
Annual performance contract			
<p>LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMAA and LG Budget guidelines for the coming financial year.</p>	<ul style="list-style-type: none"> • From MoFPED's inventory/schedule of LG submissions of performance contracts, check dates of submission and issuance of receipts and: <ul style="list-style-type: none"> o If LG submitted before or by due date, then state 'compliant' o If LG had not submitted or submitted later than the due date, state 'non- compliant' • From the Uganda budget website: www.budget.go.ug, check and compare recorded date therein with date of LG submission to confirm. 	<p>Yumbe District Local Government did submit a Final Annual Performance Contract of FY 2018/2019 to Ministry of Finance Planning and Economic Development on 09th August 2018 under Vote 556, later than the regulatory time line of 1st August 2018.</p> <p>By the time of the assessment, at the District, there was no copy of acknowledgement of receipt from MoFPED . According to the District Senior Planner Late submission was due to changes in the Programme Based System (PBS) systems and Integrated Financial Management System (IFMIS), partly due to addition of new codes under Donor and Local Revenue thus Yumbe District Local Government was unable to submit until all that was harmonized.</p>	No
Supporting Documents for the Budget required as per the PFMA are submitted and available			
<p>LG has submitted a Budget that includes a Procurement Plan for the forthcoming FY by 30th June (LG PPDA Regulations, 2006).</p>	<ul style="list-style-type: none"> • From MoFPED's inventory of LG budget submissions, check whether: <ul style="list-style-type: none"> o The LG budget is accompanied by a Procurement Plan or not. If a LG submission includes a Procurement Plan, the LG is compliant; otherwise it is not compliant. 	<p>Yumbe District Local Government did submit a budget for FY 2018/2019 that included the Annual Procurement plan to the Permanent Secretary Ministry of Finance Planning and Economic Development (MoFPED) copied to the Permanent Secretaries of the Offices of the Prime Minister (OPM) and Ministry Of Local Government (MoLG) on 31st May 2018. The submission letter reference number CR/210/5 dated 28th of May 2018 was also seen.</p>	Yes

Reporting: submission of annual and quarterly budget performance reports

<p>LG has submitted the annual performance report for the previous FY on or before 31st July (as per LG Budget Preparation Guidelines for coming FY; PFMA Act, 2015)</p>	<p>From MoFPED's official record/inventory of LG submission of annual performance report submitted to MoFPED, check the date MoFPED received the annual performance report:</p> <ul style="list-style-type: none"> • If LG submitted report to MoFPED in time, then it is compliant • If LG submitted late or did not submit, then it is not compliant 	<p>Yumbe District Local Government did submit an Annual Performance Report for the FY 2017/2018 on 04th September 2018 later than the regulatory time line of 31st July of that financial year (2017/2018). According to district authorities , the late submission of the Annual Performance Report was due to failure of individual departments to submit timely quarterly performance reports into the Program Based System (PBS) by 31st of July, because of system failure.</p>	<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. 	<p>Yumbe District Local Government did submit all its quarterly budget performance report for all the four Quarters to the Permanent Secretary Ministry of Finance Planning and Economic Development (MoFPED) copied to the Permanent Secretaries of the Offices of the Prime Minister (OPM) and Ministry Of Local Government (MoLG) later than the required regulatory timeline of July 31st</p> <p>Submission dates for quarterly performance were as follows;-</p> <p>1st Quarter was submitted on (31st January 2018)</p> <p>2nd Quarter on (23rd March 2018)</p> <p>3rd Quarter on (21st May 2018)</p> <p>4th Quarter (01st September 2018) which was past due date reasons given by the District Senior Planner was because of the Programme Based System (BPS) failure thus could not guarantee timely submission</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 findings where the Internal Auditor and the Auditor General recommended the Accounting Officer to take action in line with applicable laws.</p>	<p>From MoFPED's Inventory/record of LG submissions of statements entitled "Actions to Address Internal Auditor General's findings",</p> <p>Check:</p> <ul style="list-style-type: none"> • If LG submitted a 'Response' (and provide details), then it is compliant • If LG did not submit a 'response', then it is non-compliant • If there is a response for all –LG is compliant • If there are partial or not all issues responded to – LG is not compliant. 	<p>Yumbe District Local Government submitted to the PS/ST through the Internal Auditor General MoFPED a report on the status of implementation of Internal Audit General findings covering all the four quarters in FY 2016/2017 vide letter dated 22nd May, 2018 and referenced IA/001/FY 16/17. The report was submitted by the District Internal Auditor and was acknowledged at the Internal Auditor General's office in the MoFPED on 29th May, 2018 by date - stamping.</p> <p>The local government responded to queries of the Auditor General vide letter dated 21st March, 2018 which was acknowledged by MOFPED by date-stamping on 26th March, 2018.</p>	<p>Yes</p>
<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.</p>		<p>Yumbe DLG obtained Unqualified Audit Opinion for FY 2017/2018.</p>	<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. 	<p>Yumbe District Local Government did not have functional Physical Planning Committee (PPC) as provided for by Section 9 of the Physical Planning Act 2010.</p> <p>Section 9 of the PPA Act 2010 stipulates the composition of the District Physical Planning Committee which includes: CAO who shall be the chairperson, District Physical Planner who shall be secretary, District Surveyor, District Roads Engineer, District Education officer, District Agricultural officer, District Water Engineer, District Community Development Officer, District Medical officer, District Environment Officer, District Natural Resource Officer, Physical Planner in Private Practice , Clerks of all urban and town councils in the district</p> <p>The District Local Government had Four meetings of the Physical Planning Committee dated on 13th February 2017, 14th February 2017, 06th September 2017, 10th August 2017. In all the attendances they were 1/3 of the quorum. There was also no evidence of appointment of the committees. The available appointment dated 17th May 2018 was contradicting with the sitting dates of committee.</p>	<p>0</p>

<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that district/ MLG has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD score 1. 	<p>There was no evidence that Yumbe District Local Government had submitted any sets of minutes for the Physical Planning Committee to Ministry of Lands Housing and Urban Development. However there were minutes of the Physical Planning Committee (which was not fully constituted) as per Section 9 of the Physical Planning Act 2010</p>	<p>0</p>
<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> • All infrastructure investments are consistent with the approved Physical Development Plan: score 1 or else 0 	<p>Yumbe District Local Government did not have an approved Physical Development Plan thus none of the infrastructure investment was approved as per the plan which was non-existent</p>	<p>0</p>

<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> Action area plan prepared for the previous FY: score 1 or else 0 	<p>Yumbe District Local Government did not have an action area plan prepared in the previous financial year FY2017/2018 . However there were efforts undertaken by the District Local Government who had budgeted for Physical Development plan for Lodonga Town Council and Lobe in the financial year 2018/2019.</p>	<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. 	<p>The District Local Government held a budget conference on 13th November 2017 at the District Council Hall. To that effect a budget conference minute was produced by the District Council Under minute YDLG/DC/MIN180/06/2017 .There was clear evidence that priorities in the Annual Work Plan on 09th August 2018 were based on the outcomes of the budget conference as indicated in the priorities below in different sectors;</p> <p>a) Health Sector;- Budget conference minute indicates on page 6, priority had been given to development of Master Plan for Barakal HCIV at 10,000,000 (UgX) which corresponded with the approved Annual Work Plan on page 61 to be financed with resources from District Discretionary Equalization Grants (DDEG).</p> <p>b) Education Sector;- Budget conference minute on page 5 indicated, priority had been given to Construction of Classroom and latrines in addition to rehabilitation of other units at 1,819,081,000 (UGX) which did coincide with the approved Annual Work Plan on page 69 to be financed with resources from District Discretionary Equalization Grants (DDEG)</p>	<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>The approved annual work plan for FY2018/2019 was derived from the District Development Plan II (YDLGDPII) 2015/2016 to 2019/2020 in consideration of the following cases for instance;</p> <p>i) Under Education, there was planned construction of new schools and construction of new 5 stance latrines in selected Schools on Page 151 of the District Local Government Development Plan (DLGDP-II) and in the Annual Work Plan 2018/2019 it was on page 69</p> <p>ii) Under Health, Outpatient construction in Ariwa HCIII on page 150 of District Local Government Development Plan (DLGDP-II) while in the Annual Work Plan it was on page 63. In addition to Health there was also planned construction of Out Patience Department (OPD) at Yumbe HCIV in District Local Government Development Plan (DLGDP-II) it was on page 148 and in the Annual Work Plan it was on page 63</p>	
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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. 	<p>The project profiles in the Yumbe District Local Government Development Plan (YDLGDP-II) were stated as per the Local Government Development Planning guidelines 2014 on page 63 Appendix 3.</p> <p>From page 109 of the Yumbe District Development Plan II to up to 141 of the same, had elements that constituted a project profile such as actual works, operation and maintenance, environmental mitigation plan, monitoring and evaluation strategy. However there was no evidence of the Technical Planning Committee to have discussed project profiles for all investments in the Annual Work Plan.</p>	<p>0</p>
<p>Annual statistical abstract developed and applied</p> <p>Maximum 1 point on this performance measure</p>	<ul style="list-style-type: none"> • Annual statistical abstract, with gender-disaggregated data has been compiled and presented to the TPC to support budget allocation and decision-making- maximum score 1. 	<p>Yumbe District Local Government had not developed an annual statistical abstract for 2017. However they had a draft of 2016 but it had not been updated. The reasons presented by the District Senior planner were because of under-staffing at the time under the Planning unit, there was one person (Senior Planner) while the position of the District Planner and the Planner were not yet substantially filled. There was a man power gap to develop the annual statistical abstract that coincided with other reporting duties.</p>	<p>0</p>

<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that all infrastructure projects implemented by the LG in the previous FY were derived from the annual work plan and budget approved by the LG Council: score 2 	<p>On page 21 of the budget for FY 2017/2018 of the health sector, output No. 312101; under Yumbe TC, there was construction of Out Patient Department (OPD), which corresponded with the Annual Work Plan for FY 2017/2018, page 177.</p> <p>On page 27 of the same budget in the education sector, output No. 078180, under infrastructure, there was classroom construction and rehabilitation of Lomorojo Primary School which corresponded with the Annual Work Plan 2017/2018, page 164. Another project under education sector was construction of 5-stance Pit Latrine in Okuyo Primary School, page 27 of the budget and in the Annual performance report, 2017/2018, page 146.</p> <p>On page 37 of the budget under the water sector, output No. 312104 under other structures, there was community borehole drilling in the villages of Alugati and Lui which corresponded with the Annual Work Plan 2017/2018, page 148.</p>	
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<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>There was evidence that investment projects implemented in the previous FY 2017/2018 were completed as per work plan by end for FY 30th/June 2018 as indicated below;-</p> <p>Under the water sector, in total (16) number of deep boreholes were drilled and at the time of the assessment they were functional in Alugati Village- Ewanga parish- Ariwa Sub county, another one in Asetinga Village, Nyoko parish-Odravu Sub county, Pamule village- Migo parish-Medigo sub county among other on page 91 of the performance report 2017/2018 completed at 98% and a practical completion payment certificate dated 02nd May 2017 was issued by the District Water Engineer in respect to drilling, pump testing , casting and installation for 16 boreholes</p> <p>Out of 20 VIP stance latrines constructed at Kulinga, Amuguru, Okuyo and Geya primary school on page 74 of the Annual Performance Report, the planned budget expenditure was 127,604,000 (UGX) and the expenditure was more 232,155,000 UGX at 201 % because of additional funds from Development Response for Displacement Impact Programme (DRDIP) which was approved under the supplementary budget. Substantial completion certificates were issued by District Engineer Mr Ayimani Bernard, one on 20th March 2018 in respect to construction of 5 stance VIP latrine with shower room at Okuyo Primary School. Another one on 22nd June 2018 in respect to construction of 5 stance VIP latrine at Amaguru Primary School. Another one on 27th March 2018 in respect to construction of 5 stance VIP latrine at Kulinga Primary School. Another one on 18th April 2018 in respect to construction of 5 stance VIP latrine and Shower at Geya Primary School.</p>	4
<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>Yumbe District Local Government had some of its investment projects in the previous FY (2017/2018) completed within approved budget in the range of 15% maximum and 15% minus of the original budget while others were more than the maximum range of 15%. Some of the cases were for instance; On page 74 of the Annual Report Performance, the planned budget expenditure for 20 VIP stance latrines constructed at Kulinga, Amuguru, Okuyo and Geya primary school was 127,604,000 (UGX) whereas the expenditure was more 232,155,000 (UGX) at 201% because of additional funds from Development Response for Displacement Impact Programme (DRDIP), thus expenditure exceeded the threshold of 15% Maximum and 15% Minimum of the original budget.</p>	0

<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>Yumbe District Local Government had planned for Operation and Maintenance for instance under the; Education Sector renovation of 4 Classroom block at Lomorojo primary school in the budget was on page 27 planned at 110,001,000 (UGX) while in the annual performance report on page 73 the budget expenditure was 115,560,000 (UGX) the reasons for additional expenditures was a results of unstable nature of the soil which was more than 80%</p>	<p>2</p>
<p>Human Resource Management</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 the LG has filled all HoDs positions substantively: score 3 	<p>The LG had not filled all the HoDs positions substantively. That is 3 positions (The District Engineer, District planner and District Production Officer) were vacant out of the 11 approved positions</p>	<p>0</p>

LG has substantively recruited and appraised all Heads of Departments

Maximum 5 points on this Performance Measure.

• Evidence that HoDs have been appraised as per guidelines issued by MoPS during the previous FY: score 2

There was evidence that the LG had appraised all HoDs. All the 9 HODs including those in acting capacity had been appraised as per MOPS appraisal guidelines as seen here below

Name of Officer Appraisal date	Department
1. Ajimani Bernard (CR/D/10058) 18/7/18	Engineer (Acting)
2. Asiki Swaib (CR/D/10003) 30/7/18	HRM
3. Kawawa Serbeet (CR/D/10015) 19/7/18	Natural Resource
4. Andemani Austin (CR/D/10093) 30/7/18	Community Service
5. Kawawa Rashid (CR/D/10011) 4/7/18	Production (Acting)
6. Luriga Rasulu (CR/EDU/10/1212) 5/7/18	DEO
7. Amin Clay (CR/D/10667) CFO) 26/7/18	Finance (Acting)
8. Dr. Yayi Alfred (02/Hea/10487) 2/7/18	DHO
9. Drabe Ismail (CR/D/10041) 25/7/18	Head of Audit

The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.

Maximum 4 points on this Performance Measure.

• Evidence that 100 % of staff submitted for recruitment have been considered: score 2

All positions submitted by the CAO to the DSC through declaration forms ref: CR/156/8 dated 24th Oct 2017 were considered as detailed below.

Declaration Form Ref. of vacancies	Date	Position	No
CR/156/8 01	24/10/2017	Radiographer	
CR/156/8 10	24/10/2017	Enrolled Midwife	
CR/156/8 02	24/10/2017	Nursing Officer	
CR/156/8 02	24/10/2017	Medical Officers	
CR/156/8 06	24/10/2017	Enrolled Nurse	
CR/156/8 03	24/10/2017	Anaesthetic Officer	
CR/156/8 05	24/10/2017	Clinical Officer	
CR/156/8 01	27/9/2017	Road inspector	
CR/156/8 01	13/4/2017	Nutritionist	
CR/156/8 01	26/8/2017	Stenographer Secretary	

The submitted list was also in agreement with the advert that appeared in New Vision Newspaper of 6/11/2017 and also the DSC 44th meeting ref: DSC/153/301/8 that was convened on Dec. 27th 2017.

<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>Staff submitted by CAO for confirmation were considered as contained in the 43rd minute's reference no: DSC/153/301/8 of the DSC meeting that was convened on 12th Oct. 2017. This was also in agreement with reference letter CR/D/10089 on the same issue.</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>Staff submitted for disciplinary action were considered as contained in the 45th DSC meeting ref: DSC/153/301/8 that was convened on May 21st 2018. These were Drate William, Ondoga Dicken and Moses Dalili Okua – who were all teachers.</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>All staff recruited during the FY had accessed the payroll. These were 34 out of the 44 that were recruited. This was contained in the 45th minute of the DSC ref: DSC/153/301/8 convened on 21/5/2018</p> <p>These reported effective 1st June 2018. Case in point is Sawibu Nasur Ali (1027340) and Auma Pamela (1026898). Reference is the payroll for the month of July 2018 using IPPS.</p> <p>However 10 staff did not report for duty as contained in a letter ref: CR/156/8 dated 7/8/2018 from the PHRO to the office of the CAO. These included Chandiru Zubeda (Enrolled Nurse), Ayima Rashid (Teacher), Yasin Okuonziga (Teacher), Amviko Loy (Teacher), Enata Simon (Teacher), Ejota Jackline, (Teacher), Jane Okutiru (MO), Cekerome Brian (Health Information Assistant), Hawadia Arafa (Health Information Assistant).</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>Staff that retired during the previous FY accessed the pension payroll. This was contained in a requisition letter dated 22/5/2018 from the LG to the Ministry and received by the MOPS on 23/5/2018. These included Sinia Margaret (Nursing Officer -958439), Ombe Ronal (Grade III Teacher – 974121), Changa Kolo (Head Teacher – 560078), Ondoga Noah (Parish Chief – 820174), Chaku Adam (Nursing Officer – 820236), Adebua Peter (Askari – 945475), Alemiga (Nursing Assistant – 867272). These were identified and confirmed on the June 2018 payroll</p>	<p>2</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>OSR for Yumbe district during FY 2016/2017 amounted to shs 284,962,615. Sales relating to Council assets during the financial year amounted to shs 83,974,708 (see photocopy of audited financial statements). Therefore, the net local revenue realised during the year amounted to shs 200,987,907 as reflected on page 31 of the FY 2016/2017 audited accounts.</p> <p>OSR collections during FY 2017/2018 totalled shs 243,077,382 as reflected on page 16 of the draft accounts for FY 2017/2018. There was no evidence of sales of the council's assets during FY 2017/2018. Increment in OSR computation:</p> <p>$42,089,475 \times 100 = 20.9\%$</p> <p>200,987,907</p> <p>The relatively good performance in relation to revenue collection was attributed to widening the revenue base to cover more markets (market dues), Local Service Tax and cess tax on tobacco grown in the district.</p>	<p>4</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>The Council's total local revenue original Planned/Budgeted for FY 2017/2018 was Shs 663,992,000 as reflected on page 02 of the approved budget.</p> <p>The total local revenue collected during FY 2017/2018 amounted to Shs 243,077,382 as reflected on page 16 of the draft accounts for FY 2017/2018 reflecting 36% realisation. There was a negative variation of 67%.</p> <p>Reasons for poor revenue collections:</p> <p>(i) Poor revenue collection was attributed to poor revenue collection methods, strategies and controls as was explained by the CFO. As a result, some revenue got lost in the process of collecting it whereas other revenues like trading licences, cess tax were not declared hence not satisfactorily accounted for.</p> <p>(ii) Poor/low earnings/income by many residents of the district coupled with lack of sensitization of potential tax payers.</p> <p>(iii) Weakness in the budgeting process that produced unrealistic and unachievable budget projections.</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 remitted the mandatory LLG share of local revenues based on approved formulae as provided in section 85 and 5th Schedule in the Local Government Act CAP 243.</p> <p>Example: Voucher no. PV 3992 dated 4th May, 2018 as Local Service Tax transferred to Yumbe Town Council amounting to shs 17,225,000 equal to 65%.</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>Total expenditure on council allowances and emoluments during FY 2017/2018 amounted to Shs 23,886,907.</p> <p>Local revenue realised during FY 2016/2017 excluding sales of assets amounted to shs 200,987,907 as reflected on page 31 of the FY 2016/2017 audited accounts. Computation:</p> $23,886,000 \times 100 = 11.8\%$ <p>200,987,907</p> <p>Performance percentage of 11.8% which was within the provisions of the 1st Schedule of the Local Government Act CAP 243: Examples of payments relating to the above:</p> <p>Payment voucher no 2379 for shs 17,700,000 through which payment was effected on 5th December, 2017 in respect of allowances to councillors for activities implemented covering stationeries and paper, travel, sitting allowances pertaining to the activities etc.</p> <p>Payment voucher no 45677 through which payment was effected on 27th September, 2017 for shs 18,440,000 for the social services committee - finance, planning and marketing.</p> <p>Payment voucher no 97746 through which payment was effected on 17th May, 2018 for shs 4,592,000 for the technical and finance committee.</p>	<p>2</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 positions of Senior Procurement Officer and Procurement Officer were substantively filled. The Senior Procurement Officer, Mr. Kana Taban (file no. CR/D/10572) was appointed on reference letter no. CR/156/1 dated 30th May 2017 under DSC Minute no. 1204/2017. The Procurement Officer , Ms. Shamira Sulaiman (File no. CR/D/10574) was appointed on 30th May 2017 ref: letter CR/156/1 under DSC min. no. 1191/2017</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>The LG PDU produced and submitted Evaluation Committees reports to Contracts Committee in the FY 2017/2018 as evidenced by;</p> <p>a) . Construction of 5 stance VIP latrine at Yumbe Main Market, Ref. Yumb556/wrks/17/18/00042, opened on 4th September 2018, Under Yumbe Town Council, funded by DDEG, submitted on 12th October 2017,</p> <p>b) Construction of Science Laboratory at Kuru Secondary School, Ref. Yumb556/wrks/2017/2018/00007, opened on 26th June 2017, Under CAO's Office, funded by REHOPE, submitted on 27th July 2017,</p> <p>c) Construction of a five stance VIP latrine at Geya Primary School, Ref. Yumb556/wrks/17/18/00055, opened on 29th August 2017, Under Education Department, funded by DDEG and submitted on 12th October 2017,</p> <p>d) Construction of administration block at Aringa SS, Ref. Yumb556/wrks/17/18/00048, opened on 29th August 2017, Under Education Department, funded by DDEG, submitted on 12th October 2017 and</p> <p>e) Construction of OPD Yumbe Health Centre IV, Ref. Yumb556/wrks/17/18/00038, opened on 15th August 2017, Under Health Department, funded by DDEG and submitted on 12th October 2017.</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 LG Contracts Committee considered EC recommendations as evidenced by;</p> <p>a) Construction of 5 stance VIP latrine at Yumbe Main Market, Ref. Yumb556/wrks/17/18/00042, considered on 12th October 2017, the recommendation was that the project was awarded to Rashid and Sons Enterprises Ltd at evaluated price of UGX. 26, 456,931, MIN: YDCC66/10/17/18,</p> <p>b) Construction of Science Laboratory at Kuru Secondary School, Ref. Yumb556/wrks/2017/2018/00007, considered on 27th July 2017, the recommendation was that the project was awarded to Abude Construction Ltd at evaluated price of UGX. 305,846,650, MIN: YDCC56/07/17/18,</p> <p>c) Construction of a five stance VIP latrine at Geya Primary School, Ref. Yumb556/wrks/17/18/00055, opened on 29th August 2017, Under Education Department, funded by DDEG and submitted on 12th October 2017, the recommendation was that the project was awarded to Yumbe Smart Business Enterprises at evaluated price of UGX. 22,720,427, MIN: YDCC66/10/17/18,</p> <p>d). Construction of administration block at Aringa SS, Ref. Yumb556/wrks/17/18/00048, considered on 12th October 2017, the recommendation was that the project was awarded to Yumbe Smart Business Enterprises at evaluated price of UGX. 25, 660,051, MIN: YDCC66/10/17/18 and</p> <p>e) Construction of OPD Yumbe Health IV Centre, Ref. Yumb556/wrks/17/18/00038, considered on 12th October 2017, the recommendation was that the project was awarded to Abude Construction Ltd at evaluated price of UGX. 252,286,800, MIN: YDCC66/10/17/18.</p>	<p>1</p>
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<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 LG Procurement Plan for FY 2018/2019 covered all infrastructure projects in the approved work plan of FY 2018/2019 as evidenced by a copy of the consolidated annual procurement work plan for FY 2018/2019 approved by the accounting officer, dated 12th July 2018.</p> <p>The LG also made consolidated procurement and disposal annual work plan for FY 2017/2018 as per submission and endorsement by the accounting officer, dated 31st October 2017. The work plan had projects like;</p> <ul style="list-style-type: none"> a) Construction of 5 stance VIP latrine at Yumbe Main Market, Ref. Yumb556/wrks/17/18/00042, b) Construction of Science Laboratory at Kuru Secondary School, Ref. Yumb556/wrks/2017/2018/00007, c) Construction of a five stance VIP latrine at Geya Primary School, Ref. Yumb556/wrks/17/18/00055, d). Construction of administration block at Aringa SS, Ref. Yumb556/wrks/17/18/00048, and e). Construction of OPD Yumbe Health Centre IV, Ref. Yumb556/wrks/17/18/00038, 	<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 FY (2018/2019) the LG had prepared 60% of all investments/infrastructure by 30th August 2018, which was below the 80% the minimum threshold .The LG had 56 projects in the consolidated work plan out of which 28 projects had been initiated by the user departments and only 5 projects had completed bid documents but had not started yet.</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>In the previous FY 2017/2018 the LG had updated the contracts register as evidenced by the additional number of entries (07) for FY 2018/2019. Some of the completed procurement activities included; management of Taxi Park, management of Kuru Market, management of abattoir, management of Lodonga market among others.</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>The LG had adhered to procurement threshold as per the sampled files of projects;</p> <p>a) Construction of 5 stance VIP latrine at Yumbe Main Market, Ref. Yumb556/wrks/17/18/00042, at a cost of 26,456,931 – open bidding,</p> <p>b) Construction of a Science Laboratory at Kuru Secondary School, Ref. Yumb556/wrks/2017/2018/00007 at a cost of 305,846,650 – selective bidding,</p> <p>c) Construction of a five stance VIP latrine at Geya Primary School, Ref. Yumb556/wrks/17/18/00055 at a cost of 22,720,427 – open bedding,</p> <p>d) Construction of administration block at Aringa SS, Ref. Yumb556/wrks/17/18/00048 at a cost of 119,686,017 – open bedding, and</p> <p>e). Construction of OPD Yumbe Health Center IV, Ref. Yumb556/wrks/17/18/00038 at a cost of 252,403,450 – open bidding.</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>There was evidence that works projects implemented in the previous FY were appropriately certified with interim and completion certificates for instance:</p> <p>a) Construction of 5 stance VIP latrine at Yumbe Main Market, Ref. Yumb556/wrks/17/18/00042 signed on 22nd June 2018, amount 4,994,309 dated 26, June 2018,</p> <p>b) Construction of Science Laboratory at Kuru Secondary School, Ref. Yumb556/wrks/2017/2018/00007, signed on 30th January 2018, amount 78,564,406, dated 30th November 2018.</p> <p>c) Construction of a five stance VIP latrine at Geya Primary School, Ref. Yumb556/wrks/17/18/00055, signed on 22nd June 2018, amount 21,757,471 dated 10 April 2018.</p> <p>d) Construction of administration block at Aringa SS, Ref. Yumb556/wrks/17/18/00048, signed on 11th June 2018, amount 29,846,944 dated 11 June 2018, and</p> <p>e) Construction of OPD Yumbe Health Centre IV, Ref. Yumb556/wrks/17/18/00038, signed on 22nd June 2018, amount 134,867,826 dated 2nd June 2018</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 for the current FY are clearly labelled (site boards) indicating: the name of the project, contract value, the contractor; source of funding and expected duration: score 2 	<p>There was no evidence of site boards in all the infrastructure projects for the current FY (2018/2019) because the procurement process had just started and therefore there were no projects yet started on in FY2018/2019.</p>	<p>0</p>
<p>Financial management</p>			

The LG makes monthly and up to-date bank reconciliations

Maximum 4 points on this performance measure.

• Evidence that the LG makes monthly bank reconciliations and are up to-date at the time of the assessment: score 4

Yumbe LG maintained 14 bank accounts by closure of FY 2017/2018 up to the date of the assessment. Bank reconciliation statements were prepared on monthly basis and dully authenticated by relevant authorities up to closure of FY 2017/2018 on 30th June, 2018 upon which draft accounts for FY 2017/2018 were accordingly prepared and submitted to the OAG on schedule.

The district was using a computerised IFMS accounting system for preparation of the bank reconciliation statements.

Preparation of the bank reconciliation statements at least latest up to 31st July, 2018 had delayed because the MOFPED was still sorting out releases of funds to the district during the first quarter for FY 2018/2019. There was a dispute between the MOFPED and the district over the issue of the released funds.

On the other hand, the district had technically been fully shifted from TIER 2 to TIER 1 by desk officers of MOFPED.

Examples on reconciliations: Account number 9030012808975 for the District UNHCR account, Stanbic Arua branch. Reconciled balance on 30th April, 2018 was shs 114,600;

WHO reconciled balance on 30th June, 2018 was shs 267,892,250, account number 0700064963 in the Housing Finance bank Arua branch;

District Sanitation Fund in Stanbic Bank Arua branch. On 31st January, 2018, reconciled balance was shs.39,600 for account number 9030013827779;

District LG DRDIP sub project account no. 01043615549939 in the DFCU bank Arua branch. The reconciled balance was shs. 5,000 on 30th June, 2018.

<p>The LG made timely payment of suppliers during the previous FY</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • If the LG makes timely payment of suppliers during the previous FY – no overdue bills (e.g. procurement bills) of over 2 months: score 2. 	<p>The district made timely payments of suppliers during FY 2017/2018 without overdue bills beyond 2 months. Sampled payments in all sectors indicated compliance resulting in no overdue bills beyond two months.</p> <p>For Example: In the Health department, a payment request was done on 21st March, 2018. Certification and approval of the payment was done on 26th March, 2018 by the CAO. Payment against voucher number 17321053 dated 12th April, 2018 was done on 12th April, 2018. The contract was executed by Ms GemSpat (U) Ltd for shs 9,994,600 in respect of consultancy fees for preparation of Ariwa Health Center Master Plan.</p> <p>A payment register was verified and confirmation realised that there were no pending bills for settlement by the district beyond two 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>There was no appointed substantive Senior Internal Auditor in the district at the time of the assessment. However the district had a substantive District Internal Auditor in the names of Drabe Ismail Adris whose appointment was communicated to him by the CAO vide letter under reference CR/156/2 dated 15th January, 2009. The District Internal Auditor's letter was through the District Service Commission, minute reference number 330/2009 under a DSC meeting that was held in December, 2008.</p>	<p>0</p>

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

Maximum 6 points on this performance measure.

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

A functional Internal Audit was in place during FY 2017/18 as was evidenced by the four internal audit reports that were produced on quarterly basis. Evidence on review of the reports through recorded and approved minutes was scanty and the minutes were not readily available.

Quarterly Reports produced in FY 2017/2018:

Quarter 01: Date of report: 10/11/2017

Quarter 02: Date of report: 27/2/2018

Quarter 03: Date of report: 4/5/2018

Quarter 04: Date of report: 10/8/2018

All the above reports were referenced 539/011/1-1 and were accordingly acknowledged on the day of submission by date - stamping and signing on sheets of delivery. Submissions of reports was done to the Speaker of the District Council and copied to:

- i) Chairperson of Council;
- ii) Internal Auditor General;
- iii) RDC;
- iv) OAG;
- v) Chairperson LG PAC;
- vi) Chairperson of Finance Committee;
- vii) CAO; viii) CFO;

<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</p> <p>internal audit findings for the previous financial year i.e. follow up on audit queries from all quarterly audit reports: score 2.</p>	<p>Scanty information was provided by the LG to the Council and LG PAC on the status of implementation of internal audit findings for the previous FY 2017/2018, for instance, the follow up on audit queries from all quarterly audit reports for FY 2017/2018. A total of 215 queries were raised out of which 181 (84%) queries were reviewed and cleared leaving 34 (16) queries pending.</p> <p>The methods and procedures in handling the internal audit reports were not in adherence to the Local Government Act CAP 243, the Public Finance Management Act 2015, the Financial and Accounting Regulations 2007 and all other supportive laws, regulations, guidelines and manuals.</p> <p>Furthermore, whereas the quarterly reports were circulated to many relevant offices, minutes whether in draft or approved as evidence for reviewed reports by Council, the District Executive Committee and the LG PAC were not in place for verification!</p>	<p>0</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>Whereas the internal audit reports were produced as required and accordingly circulated to various offices, there was no evidence that they were adequately reviewed by the Council and the LG PAC.</p>	<p>0</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 up- dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual: score 4 	<p>Print out from the computerised system indicated (per photocopies acquired) that the district maintained an up- dated assets register covering details on of Land, heavy equipment other ordinary equipment buildings, vehicle, etc. as per format in the accounting manual and as was guided by the Accountant-General, MOFPED.</p> <p>The assets register was up dated up to 31st August, 2018 as evidenced by printed copies at the time of the assessment of the district. However, the printed copies did not bear page numbers because it was not programmed in the system.</p> <p>The district had been shifted to the final Tier 01 of the IFMS computerised accounting system monitored by MOFPED.</p>	4
<p>The LG has obtained an unqualified or qualified Audit opinion</p> <p>Maximum 4 points on this performance measure</p>	<p>Quality of Annual financial statement from previous FY:</p> <ul style="list-style-type: none"> Unqualified audit opinion: score 4 Qualified: score 2 Adverse/disclaimer: score 0 	<p>Yumbe DLG obtained Unqualified Audit Opinion for FY 2017/2018..</p>	4
<p>Governance, oversight, transparency and accountability</p>			
<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>There was evidence that Yumbe District Council met and discussed service delivery issues in the Financial year 2017/2018, and among meetings held during the Last Financial year 2017/2018. In total the District Council held Seven meeting among which include;</p> <p>Ordinary District Council meeting of the 14th session for the 5th Council which was held on 28th/June/2018 in the council hall. The issues discussed among others were;</p> <p>a) District State of affair for 2017/2018 where the District Chairperson highlighted the activities which were undertaken in the last financial year (2017/2018) under minute YDLG/DC/MIN/12/29/6/2018 on page 6</p> <p>b) District Performance Report for FY 2017/2018 was also communicated by secretary finance under minute YDLG/DC/MIN/213/29/6/2018 on page 12</p> <p>Ordinary District Council meeting of the 13th Session for the 5th Council which was held on 30th/May/2018 in the council</p>	2

		<p>hall. The issues discussed among others were;</p> <p>a)Approval of Lobe and Lodongoa TC Physical Plan under minute number YDLG/DC/MIN/203/05/2018 on page 5</p> <p>b) Approval of supplementary budget for road Fund 2017/2018 YDLG/DC/MIN/204/05/2018 on page 5</p> <p>c) Sector reports (for finance work, and technical service, Social Service Committee, Production and Marketing, Natural resources and community service) under minute YDLG/DC/MIN/206/05/2018 on page 5</p> <p>d) Approval of district Budget for FY 2018/2019 under minute YDLG/DC/MIN/207/05/2018 on page 8</p> <p>Ordinary District Council meeting of the 8th Session for the 5th Council which was held on 24th/august/2018 in the council hall. The issues discussed among others were;</p> <p>a) Approval of supplementary budget under UNHCR ReHOPE Project YDLG/DC/MIN/183/08/2017 on page 6</p> <p>b) Sector recommendation (for Finance, Social Service and Production YDLG/DC/MIN/184/08/2017on page 8. In that respect on 6th October/ 2017 District Executive Committee held a meeting in the office of the chairman and the remarks from CAO were presentation of the Technical Planning Committee reports under minute YDLG/DEC/MIN/01/10/2017 were communicated to council. On page 2</p> <p>The others included Minutes of 8th Session of the 5th Council Yumbe District Local government held on 25th August 2017 at the District Community Hall, 9th Session of the 5th Council on 23rd November 2017, 11th Session of the 5th Council on 29th March 2018, 10th Session of the 5th Council on on 31st January 2018, and a special council meeting was convened on 16th April 2018,</p>	
<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that LG has designated a person to coordinate response to feed-back (grievance /complaints) and responded to feedback and complaints: score 1. 	<p>Yumbe local government had a designated person responsible for feed-back (grievance /complaints) appointed by CAO as Mr Asiki Swaib (Principal Human Resource Officer) dated, 15th August 2017, Ref. CR/D/10089. The Local Government at the time of the assessment was reviewing its client charter for 2018/2019-2020/2021.</p>	<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>Yumbe District Local Government did not have a clear system for recording, investigating and responding to grievances, displayed at Local Government offices and publically available. However as observed there were other systems for other agencies such as a complaints box for welt hunger hilfe a development partner had a telephone number 0770514965 for someone to be able to call and address their complaints, despite being hosted at Yumbe District administration block, it was manned and operated by welt hunger hilfe (an aid agency working in the fields of development cooperation and emergency aid)</p>	<p>0</p>
<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>Evidence that the LG has published:</p> <ul style="list-style-type: none"> The LG Payroll and Pensioner Schedule on public notice boards and other means: score 2 	<p>Yumbe District Local Government published payroll and pensioner payments for Financial Year 2017/2018 and FY 2018/2019 on CAO's notice board stamped 20th August 2018 from the registry. As observed the Payment Schedules for active staff was for July/August 2018 and for Pensioners was for May/June 2018</p>	<p>2</p>
<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> Evidence that the procurement plan and awarded contracts and amounts are published: score 1. 	<p>Yumbe District Local Government published the awarded contract and amount for instance;-</p> <p>a) Under open bidding there was construction of 5 stance VIP latrine at Geya Primary School with a procurement reference number Yumb 55/works/17-18/00055. The awarded contractor was Yumbe Smart Business Enterprise and the award was displayed on 16th October 2017 and removed after 10 working days (mandatory day as per the PPDA Regulation 2006 On 27th October 2017).</p> <p>b) Secondly; under open bidding there was construction Out Patient Department (OPD) with a procurement reference number Yumb 55/works/17-18/00038. The awarded contractor was Abude Construction Limited and the award was displayed on 16th October 2017 and removed after 10 days working (mandatory day as per the PPDA Regulation 2006 On 27th October 2017).</p>	<p>1</p>

<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that the LG performance assessment results and implications are published e.g. on the budget website for the previous year (from budget requirements): score 1. 	<p>Yumbe District Local Government published the Local government annual performance assessment results on CAO's notice board .There was also evidence of dissemination of the 2017 Local government annual performance assessment report on 28th August 2018 at the community hall (for District Officials, Chairpersons of committee, All sub county chiefs among others) letter of invitation was dated 23rd August 2018</p>	<p>1</p>
<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the HLG have communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY: score 1 	<p>Yumbe District Local Government communicated and explained to both Higher and Local government about guidelines, circulars and polices issued at the national level as follows;</p> <p>a) A Technical Planning Committee meeting was held on 26th July 2017 to share previous assessment report (2016/2017) and also constitute a team for this year's assessment (2017/2018) under Minute DTPC/02/7/2017</p> <p>b) Another Technical Planning Committee Meeting was held on 14th August 2017 at CAO's office among other things was to prepare for the mock assessment exercise, generation of the performance report for 2016/2017 and also performance agreement for 2017/2018. It t was an extended TPC which comprised of District Technical Planning Committee and Sub county technical committee under minute TTPC/08/08/2017</p> <p>c) Another Technical Planning Committee meeting was called on 25th of October 2017 to pass the first budget circular call under minute DTPC/2/10/2017</p> <p>d) Another communication was issued to sub county chiefs/SAS on date 30th April 2018, letter reference CR/156/2. This was in reference to the circular issued by Ministry of Local Government dated 6th April 2018 in regard to managing absenteeism in primary school under signed by CAO</p> <p>e) Another communication was issued to all heads of departments/ units and all sub county chief on 16th May 2018, letter reference CR/106/1 in regard to guidelines on budgeting and financial reporting</p>	<p>1</p>

<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that 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>There was evidence that the District had conducted discussion with the public to provide the status of activity implementation such as :-</p> <p>The district carried out a feedback meeting from 2016- 2018 with all implementation partners, Lower local government and Higher Local Government and was carried out in each of the 13 Sub counties in the district. It was carried out from 13th-29th August 2018 coordinated by the Clerk to Council appointed by CAO. At the time of the assessment the draft report was not yet out since they had just concluded the feedback meetings.</p> <p>There was also evidence of radio talk shows carried out by the health sector among include;-</p> <p>a Radio talk show report which was carried out on Friday 8th September 2017 at Radio Pacis 94.5fm from 7:00pm to8:00pm about issues of polio campaign</p> <p>b) Another radio talk show report which was carried out on 13th January 2018 at Radio Pacis 94.5fm from 10:00am to11:30am about Yumbe hospital rehabilitation and expansion project.</p> <p>c) Another radio talk show report was carried out on 24th November 2017 at Radio Pacis 94.5fm from 7:00pm to8:00pm on maternal nutrition.</p>	
Social and environmental safeguards			

<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 Person (GFP) Mr. Kiira Jamal, the Senior Community Development Officer (SCDO), had supported various sector departments in mainstreaming gender into their activities as evidenced by the developed gender matrix analysis for FY 2017/18, signed by GFP and approved by the District Community Development Officer (DCDO) on 29th March 2018. The DCDO also organised a one day training workshop of Sub County CDOs, District Heads of Departments and District Executive Committee members on gender mainstreaming and SGBV prevention and response as per the report date 19th June 2018. Also there was evidence that inclusion of gender issues, gaps by sector, gender oppression and mitigation measures identified in the departments of health, works and engineering, production, education community services management and support services, councils, commissions and board of the LG was done as shown on pages 47 – 51 of the five year development plan dated, 21st June 2015. The initiatives included; training of heads of departments, mentoring of Lower Local Governments, organise community dialogue on sexual and gender based violence in 6 Sub Counties, training of women groups on viable enterprise, identification of agro business as indicated in the approved work plan dated 14th march 2018.</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 implement-ted: score 2. 	<p>The Gender Focal Person (GFP) had planned activities for the FY (2018/2019) to strengthen women roles as evidenced by planned activities under gender sub section, page 50 – 51 of the Five Year Development Plan dated 21st June 2015.</p> <p>In the previous FY the LG had planned for 5 million to; i. to mentor the HLG, LLG on gender mainstreaming and SGBV and budgeting as evidenced by invoice number BCS 18-068 of UGX. 1,519, 500 approved on 21st June 2018, ii. Organise community dialogue on sexual and gender based violence in 6 Sub Counties as evidenced by invoice dated 6th June 2018 extracted from the IFMS print out of UGX. 415,000, iii. Training of women groups on viable enterprises identification and agrobusiness as evidenced by invoice dated 11th January 2018 extracted from the IFMS print out of UGX. 420,000, iv. Training and educating of women groups on methods of group formation and group dynamics as evidenced by the invoice dated 13th October 2017 extracted from the IFMS print out of UGX. 1,300,000 and v. Training of Women Council Executive on their roles and responsibilities and on UWEP implementation modalities as evidenced by the invoice dated 22nd June 2018 extracted from the IFMS print out of UGX. 1,250,000, totalling to UGX. 4,904,500 (98.09%) which was above the minimum requirement of 90%.</p>	<p>2</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>LG carried out screening activities on 30 projects and activities in the FY 2017/2018 appropriately as per the report dated 16th May 2018. Some of the screened projects included; Construction of 5 stance VIP latrine at Yumbe Main Market, Construction of Science Laboratory at Kuru Secondary School, Construction of a five stance VIP latrine at Geya Primary School, Construction of administration block at Aringa SS, Construction of OPD Yumbe Health Centre IV, Construction of placenta pit at Kei Sub county, drilling of Dongole community borehole among others.</p> <p>The LG also had an ESMP for FY 2017/2018 endorsed by both the District Environmental Officer and the CAO dated 21st June 2017. There was also a bill of quantities (BQ) for environment and social safe guards for projects in FY 2017/2018 dated 25th August 2017, for example a breakdown of the cost for implementation of mitigation measures in one of the projects (Construction of administration block at Aringa SS, contract No. YUMB556/wrks/17-18/00004) were as follows; 1. Procurement of assorted tree seedlings at UGX. 70,000, 2. Labour for planting at UGX. 40,000, 3. Transport for agro – technicians at UGX. 40,000 4. Allowance for Environment Officer for inspection at UGX. 80,000 and logistics at UGX. 70,000. However the assessor noted that the budgeted resources for environment and social safe guards was too little for the environment officer to exhaustively execute the planned activities.</p>	<p>1</p>
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<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG integrates environmental and social management and health and safety plans in the contract bid documents: score 1 	<p>The LG had integrated environmental and social management plans in the contract bid documents as evidenced by a sample of projects below;</p> <p>a) Construction of administration block at Aringa SS, contract No. YUMB556/wrks/17-18/00004, dated 30th August 2017, BOQ item No's. 11.1, 11.2, 11.3, 11.4 and 11.5, total amount UGX. 400,000 page 25. The environmental and social issues contained therein included; tree planting (Teak, Neem or Gmalyna), back filling of quarry sites and barrow pits, grass planting around the exposed loose area, drainage provision around the building and clearing and levelling of derbies.</p> <p>b) Construction of OPD Yumbe Health Centre IV contract No. YUMB556/wrks/17-18/00038, dated 30th November 2017, BOQ item No's. 1b, 1q and 1u, totalling UGX. 650,000, page 18 and 19. The environmental and social issues contained therein included; site investigation (soil typology), removing rubbish and cleaning and protection of public and private services.</p> <p>c) Construction of Science Laboratory at Kuru Secondary School, Ref. Yumb556/wrks/2017/2018/00007, dated 30th August 2017, BOQ item No. 1F, and 1K, totalling UGX. 2,000,000, page 2. The environmental and social issues contained therein included; environmental management measures; tree planting, and removal of debris, rubbish and cleaning at completion and levelling the site. 4. Construction of a five stance VIP latrine at Geya Primary School Yumb556/wrks/17/18/00055, dated 14th December 2017, BOQ item No. 1 totalling to UGX. 119,000 – Page 9. The environmental and social issues contained therein included; tree planting, grass planting around exposed loose areas and clearing and levelling of debris.</p> <p>For Construction of 5 stance VIP latrine at Yumbe Main Market, Yumb556/wrks/17/18/00042, and the documentation were not seen because they were with Yumbe TC who had implemented the project.</p>	<p>1</p>
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<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 had evidence for land ownership on which projects implemented for FY 2017/2018 were located, for example:</p> <p>a) Yumbe Health Center IV, freehold Land title: YDL/372, Plot No. 1-11, Sheet Number 12/1/5/SE/2, I/S No. MM/2/9096, in the names of Yumbe District Local Government (Yumbe HC III), Area 1.64 Ha.,</p> <p>b) Construction of five stance VIP latrine at Geya Primary School located in Kululu Sub County, the LG had commenced on the acquisition of land Land Title as evidenced by minutes of District Land Board dated 7th December 2017, under minute number YDLB/5/28/17(B)(2) of 7th December 2017, Area: 7 Ha.,</p> <p>c) Yumbe Market where the process of land acquisition titling had commenced as evidenced by Yumbe District Land Board approval Minute dated 6th June 2018, Minute No. YDLB/5(ii)/30/18(1) of June 2018, Area: 1.32 Ha,</p> <p>d) Aringa SS in Yumbe Town Council, Lease Land title: Vol.3348, Folio 19, Plot No. 1, block1, LO. Ref. NPL/1388 minute No. YDLB3/6/2004 of July 22nd 2004, in the names of Aringa SS of PO Box 23 Yumbe, Area: 9.37 Ha, 5. Kuru SS Land title: YDL/309, Plot No. 15, Sheet Number 12/1/9/NE/1 I/S No. F/04/0033, in the names of Kuru Secondary School, area 5.34 Ha.</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 all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO: score 1 	<p>The LG Environment Officer had environmental compliance certificates issued for some completed projects and endorsed by the District Environmental Officer as evidenced by copies of the certificate for projects like;</p> <p>a) Construction of administration at Aringa SS in Yumbe Town Council, dated 12th June 2018,</p> <p>b) Construction of five stance VIP latrine at Geya Primary School located in Kululu Sub county, dated 21st march 2018,</p> <p>c) Construction of five stance VIP latrine at Yumbe Market, dated 21st June 2018. However for project number</p> <p>d). Construction of OPD at Yumbe HC IV in the Yumbe TC. And project number</p> <p>e) Construction of science lab at Kuru SS, the assessor noted that these projects had completion certification on file but they lacked Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer. There were no justifiable reasons given for this anomaly.</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 evidence that the contracts payment certificated included prior environmental and social clearance as indicated in the certificate number; ECC/YDLG/173/2/2018 (construction of administration block at Aringa SS), ECC/YDLG/163/2/2018 (Construction of VIP 5 stance latrine at Geya Primary school), ECC/YDLG/170/2/2018) by the Town Council .</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 environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. Score: 1 	<p>Environmental Officer and the CDO monthly reports seen did not have a) completed checklists, b) Deviations observed with pictures, c) corrective actions taken. The CDO was not even aware that he was supposed to do such work.</p>	<p>0</p>

Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management			
<p>The LG education de- partment has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has budgeted for a Head Teacher and minimum of 7 teachers per school (or minimum a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>The District OBT FY 18/19 had a wage bill of 9,670,405 UGX for 1683 (123 head teachers and 1560 teachers) qualified Head teachers and teachers. The total budget was enough to cover Head teachers and regular teachers.</p>	4
<p>The LG education de- partment has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has deployed a Head Teacher and minimum of 7 teachers per school (or minimum of a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>The DEO had a staff list and budget for 123 government aided schools, 51 of which were P.7 schools while the rest feeder schools. Among the sampled schools, Limidia primary school had 1 head teacher and 13 teachers, Eleke primary school had 1 H/Teacher and 18 teachers</p> <p>The AT visited Lukutua P/School but the head teacher delegated the deputy head teacher who also delegated a teacher without leaving him access to the required documents and therefore the list of teachers was not seen</p> <p>Yumbe primary school had one (1) head teacher and 25 teachers (H/Teacher wasn't available because he had gone to Kampala for a workshop but he left the key with the askari who with the help of a teacher gave the Assessment Team the desired information. This head teacher had gone to Kampala for a workshop while the deputy head teacher had gone to Koboko to pick his salary</p> <p>Takwa primary school however was closed so we couldn't access it being a holiday and the H/Teacher wasn't available.</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>There were 5 vacancies for head teachers out of 123 and 45 primary school teachers but they were not advertised because there was no wage from central government to recruit. This is according to the education sector recruitment plan 2017/18 15th/August/2018. The mark scored is therefore 0.</p>	<p>0</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 staff structure for three School Inspectors positions were filled and they included one Senior Inspector of schools Mr Angulibo John CR/156/2 5th/10/2005 under minute No 55/2005 of the meeting held in July/August 2005, inspector of schools Mrs Bakole Caroline CR/156/2 5th/October/2010 under minute number 463/2010 of the meeting held in July 2019 and Mr Anguyo Adinani CR/156/2 5th/October/2010 under minute no 464/2010 of the meeting held in July</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 District had an education sector recruitment plan for the FY(2018/19 where in File CR/156/8 on 28th/September/2017 a document on Yumbe District Recruitment plan FY 2018/19, 45 primary school teachers were budgeted for because enrolments are increasing</p>	<p>2</p>

<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • School Inspectors: score 2 	<p>The District had an education sector recruitment plan for the FY(2018/19 where in File CR/156/8 on 28th/September/2017 a document on Yumbe District Recruitment plan FY 2018/19, one inspector of schools.</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>There was evidence that the LG appraised all the three school inspectors namely; John Angulibo (CR/D/10046) appraised on 26/7/2018, Bakole Carolyne (CR/D/10647) appraised on 27/7/2018 and Anguyo Adnan (CR/D/10752) appraised on 22/7/2018.</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>There was evidence that the LG had appraised head teachers. Out of a total of 123 head teachers' personnel files, a sample of 10 files was taken. However out of these, only 6 files had appraisal reports and plans. The other 4 personnel files only had reports without corresponding plans for 2018/19. Those with both reports and plans included;</p> <ol style="list-style-type: none"> 1. Ezama Ratib Buga appraised on 15/2/2018 2. Angiko Favour Naima appraised on 9/2/2018 3. Buni Ali appraised on 15/2/2018 4. Chandiru Sunday appraised on 22/3/2018 5. Adnan Wadri appraised on 15/2/2018 6. Gogo Rashid appraised on 15/2/2018 <p>Those without performance plans included;</p> <ol style="list-style-type: none"> 1. Teiko Leila appraised on 27/12/2017 2. Abiriga Micheal appraised on 13/4/2018 3. Asiku Idd Mubarak appraised on 8/2/2018 4. Dradrua Moses appraised on 24/4/2018 	
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<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 had communicated some guidelines, policies, circulars issued by the national level in the previous FY. This was seen in the schools the AT visited</p> <p>DEO's office had a number which included; MoES Education and sports sector strategic plan 2012/18-2019/20 September 2017. A policy dissemination signed sheet dated 15th/7/2017 where every head teacher who attended the meeting picked different policies and circulars. This meeting between head teachers and education officials on the report from the district inspector of schools minute 3 at the council hall. Other circulars included those from MoES to DEO circulars dated 24th/October/2017, Ref. ADM/48/315/01, Guidelines on school charges, CR/156/8 on 21st/June/2017 Dressing code for the non-uniformed officers in the public service, DES/50/14 on 16th/January/2017 Operations of unlicensed/unregistered schools, ADM/137/157/01 18th/January/2017 Officers in charge of distribution of districts/municipalities at the Ministry of Education and Sports Headquarters.</p> <p>There was evidence that the LG Education department had communicated some guidelines, policies, circulars issued by the national level in the previous FY. This was seen in the schools the Assessment Team visited;</p> <p>Limidia primary in Kochi sub county had circular from Agha Khan Foundation on reflection meeting for P.1 & P2 literacy and numeracy teachers on 30th/July/2018-the letter was written through the DEO's office on 23rd/July/2018. Another was for an invitation for celebration of women's day dated 12th/April/2018</p> <p>Eleke P/School in Apo sub county had only one from the MoH-National Malaria Control Programme.</p> <p>Lukutua P/School in Yumbe Town Council didn't avail me with any of the above documents</p> <p>Yumbe P/School in Yumbe town council which is a moslem founded school had a circular on invitation for integrated malaria training dated 8th/June/2017. Takwa P/School was closed so no documents were availed to us.</p>	
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<p>The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has held meetings with primary school head teachers and among others explained and sensitised on the guidelines, policies, circulars issued by the national level: score 2 	<p>The LG Education Department held meetings with primary school teachers and among others sensitized then on guidelines, policies and circulars which include;</p> <p>a) On 15th/July/2017 between head teachers and education officials on the report from the district inspector of schools under minute 3 held at the council hall.</p> <p>a) 20th/March/2018 minutes of Yumbe District Education Department and joint Head Teachers' meeting at Yumbe secondary school in minute 2 on school feeding, early childhood, having regular meetings.</p> <p>b) 23rd/August/ minutes of a joint meeting with head teachers and deputy head teachers, staff members of the DEO and CAO at Aringa Secondary School Main Hall- minute 3 report from the district inspector of schools- minute 2 on performance agreement, attendance</p>	
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<p>The LG Education De- partment has effectively inspected all registered primary schools²</p> <p>Maximum 12 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all licenced or registered schools have been inspected at least once per term and reports produced: o 100% - score 12 o 90 to 99% - score 10 o 80 to 89% - score 8 o 70 to 79% - score 6 o 60 to 69% - score 3 o 50 to 59 % score 1 o Below 50% score 0. 	<p>There was evidence that the schools had been inspected as seen in the schools the AT visited.</p> <p>From the DEO's office:</p> <p>Acknowledgment letter from the directorate of education standards (DES) on 13th/July/2018.</p> <p>Consolidated school inspection report for schools inspected during Term 1, 2018 school calendar. 6th /May/2018</p> <p>2nd term 2017 school inspection report with a focus on the effectiveness of school leadership, management, teaching and learning in primary schools in Yumbe District. 12th September ,2017</p> <p>3rd term 2017 school inspection report with a focus on the effectiveness of school leadership, management, teaching and learning in primary schools in Yumbe District. 16th December, 2017 submitted on 5th/February/2018.</p> <p>There was evidence that some of the schools had been inspected as seen in the visitor's books and school monitoring and inspection books of some of the schools the AT visited.</p> <p>Limidia primary in Kochi sub county had been inspected by Acidri Elly Vincent on 5th/4/2018 and Andima Jackson on 3rd/August/2017</p> <p>Eleke P/School in Apo sub county on 24th/October/2017 & 31st/7/2017 by Adaku Deofrey, 6th/7/2017 by Oswa Shem and 18th/4/2016 by Bakole Carolyn , 24th/ March/2017 John Angulibo</p> <p>Lukutua P/School in Yumbe Town Council was on 6th/August/2018 by Bakole Carolyn, 11th/November/2017 & 28th/February/2017 by John Angulubo, 5th/July/2017 by Ovua Shem and</p> <p>Yumbe P/School in Yumbe town council which is a moslem founded school had no evidence from the visitor's book because the old visitor's book couldn't be traced. However the Book on school inspection shows that it was done on 24th/October/2017 by Adaku Geofrey and 6th/7/2017 by Cadribo Peter.</p> <p>Takwa P/School was closed so we didn't get any information from it</p>
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<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 DEO discussed school inspection reports and used reports to make recommendations as evidenced below;</p> <p>From DEO's office Minute 4 of meetings held on 25th/ July/2017 in the DEO's office to discuss inspection and assessment reports by DIS. 17th/August/2017 minute 2&3 meeting for education staff where absenteeism was discussed. 2nd/January/2018 staff meeting, minute 3 on stuffing where four schools were evicted by the communities because of misuse of finances.</p> <p>3rd/7/2017 minute 3(report from the district inspector of schools) meeting of joint head teachers meeting with the education officials at Kuru coordinating centre</p> <p>7th/2/2018 minute 4 (reports from District Inspector of schools) meeting of joint head teachers and deputy head teachers on school improvement plans and performance of schools at education conference hall</p>	<p>4</p>
<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has submitted school inspection reports to the Directorate of Education Standards (DES) in the Ministry of Education and Sports (MoES): Score 2 	<p>The LG Education Department had submitted school inspection reports to the DES Gulu Regional office and an acknowledgement letter from the DES Gulu Regional Office dated 13th July 2018 was available.</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>There was evidence that the inspection recommendations are followed as seen in the visitor's books and school monitoring and inspection books of the schools visited.</p> <p>Limidia primary in Kochi sub county by Acidri Elly Vincent on 5th/4/2018</p> <p>Eleke P/School in Apo sub county on 24th/October/2017 by Adaku Deofrey, 6th/7/2017 by Oswa Shem and 18th/4/2016 by Bakole Carolyn</p> <p>Lukutua P/School in Yumbe Town Council was on 6th/August/2018 by Bakole Carolyn, 11th/November/2017 & 28th/February/2017 by John Angulubo, 5th/July/2017 by Ovua Shem and</p> <p>Yumbe P/School in Yumbe town council which is a moslem founded school was done on 24th/October/2017 by Adaku Geoffrey and 6th/7/2017 by Cadribo Peter.</p> <p>Takwa P/School was closed so we didn't get any information from it</p>	<p>4</p>
<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has submitted accurate/consistent data: <ul style="list-style-type: none"> o List of schools which are consistent with both EMIS reports and PBS: score 5 	<p>EMIS (2017) list of schools data stood at 123 schools LG Approved budget FY 2018/19 on 9/August/2018</p> <p>PBS list of schools data stood at 123 schools in FY2018/19 dated 9th/August/2018</p>	<p>5</p>

<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<p>Evidence that the LG has submitted accurate/consistent data:</p> <ul style="list-style-type: none"> • Enrolment data for all schools which is consistent with EMIS report and PBS: score 5 	<ul style="list-style-type: none"> • EMIS enrolment data stood at 89,652 FY2018/19 submitted on 20th/July/2017 • PBS enrolment data stood at 89,652 pupils in FY2017/18 CR/157/1 submitted on 8th/January/2018 	<p>5</p>
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Governance, oversight, transparency and accountability

<p>The LG committee responsible for education 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 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>There was evidence that education sector committee met during FY 2017/18 and discussed issues among others related to service delivery. In total 6 meetings were held in the previous Financial year 2017/2018 among which included;-</p> <p>a) On 23rd October 2017 Education sector Committee held an ordinary Local Council Committee at District Education Office (DEO)'s office room and among the Items discussed included; Inspection report of Term II under minute MIN 2/10/2017 page 2 of the minutes.</p> <p>b) On 02nd May 2018 the education sector committee held an ordinary Local Council Committee at District Education Office room and among the Items discussed included; presentation of the budgeted report for FY 2018/2019 under minute 4/05/2018 to council on page 2 of the minute and the discussion under minute MIN 5/05/2017 on page 3.</p> <p>c) On 15th January 2018 the education sector Committee held another ordinary Local Council Committee in Education Resource center and among the Items discussed included; presentation of progress report by the District Education Officer under minute SEC/MIN/2/15/2018 on page 2 under minute and the discussion was about sector incomes and expenditure and also a head teacher's training as part of the capacity building programme.</p>	<p>2</p>
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<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 	<p>The education sector committee recommended issues for approval to council and among the recommendation from the discussion were;</p> <p>a) The sector committee recommended that the school mapping report should be tabled to council among others under minute MIN2/10/2017 on page 3 from the discussion of the Inspection report of Term II under minute MIN 2/10/2017 which was held on 23rd October 2017 .</p> <p>b) Another recommendation from the sector committee was that, the sector was to draft a proposal for the development of sports facility for funding to UNHCR and other partner under minute MIN 5/05/2017 on page 4 from the presentation of the budget report for FY 2018/2019 under minute 4/05/2018 on 02nd May 2018.</p> <p>c) Another recommendation from the sector committee was sensitization of the education stakeholder on importance of education, leasing and titling of institutional land under minute 4/05/2018 on page 2 of District Education Office (DEO) presentation of progress report under minute SEC/MIN/2/15/2018 on 15th Jan 2018</p>	<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>There was evidence that all primary schools had functional School Management Committees that had been established, held meetings, discussed budget and resource issues and submission of reports to District Education Officers as follows;</p> <p>Yumbe District Local Government has 123 Government Primary school (Reference EDU/213/01) as per the letter received by secretary of Education and Sports on 14th/July/2017. Out of 123 government primary schools in Yumbe District 5 were sampled Three rural school i.e. Govule Islamic P/S EMIS number 308, Gojuru P/S EMIS number 314, Acholi P/S EMIS number 337 and Two urban primary School i.e. Odropi P/S EMIS number 540037, Eleke P/S EMIS 354</p> <p>Eleke P/S had an appointment letter for its School Management Committees dated 02nd May 2017. The School Management Committee Executive Planning for Eleke P/S had held meeting on 26th July 2017 and issues discussed among others were; - financial report for 2017 on Universal Primary Education grant for the 2nd Quarter financial report and also locally raised revenues under Parents Teachers Association funds for 860 pupils under Minute 4.</p> <p>Eleke P/S held another meeting on 31st January 2018 and among other issues were a handover meeting ceremony of the outgoing Head teacher and incoming</p>	<p>5</p>

head teacher 's performance reports

Eleke P/S held another meeting on 22nd March 2018 and matters discussed among others were approval of the work plan and the budget for 2018 under Minute /5/01/2018 and also an explanation for a planned Parents Teachers Association general meeting under Minute /6/01/2018

Another school was Acholi P/S which had an appointment letter for its School Management Committees dated 02nd May 2017. The School Management Committee (SMC) for Acholi P/S held a meeting on 23rd October 2017 among other things discussed, was handover and orientation of the new members who were guided upon their roles and the guidelines of the SMC under minute 4 and 5 of 2017

Acholi P/S held another meeting on 19th April 2018 and among other issues were budget approval of 2,150,000 (UGX) of 2018 under minute 3

Acholi P/S held another meeting on 27th June 2018 and among other issues were budget approval of 220,000 (UGX) for minor development expenditure such as fixing teachers latrine doors and then cementing the door (renovation) under minute 3/2018

Another school was Govule Islamic P/S which had an appointment letter for its School Management Committees dated 02nd May 2017. The SMC for finance of Govule Islamic P/S held a meeting on 14th March/ 2018 to note among other things were reading and approval for 2018 budget and key issues were planning for renovation of teacher quarters under minute 3

Govule Islamic P/S held another meeting on 15th June 2017 and among other issues discussed were reviewing of action points from the previous meeting and ascertain the extent of implementation of the action points/recommendation under 3 Minute.

Govule Islamic P/S held another meeting on 31st October 2017 among other issues discussed were presentation of term II activity report and discussion of the reports under minute 5

Another school was Gojuru P/S Islamic P/S which had an appointment letter for its School Management Committees dated 02nd May 2017. The SMC for Gojuru P/S held meeting on 02nd/March/2017, to note among other items was Plans for term I (planting of life fence around school, construction of change room and washroom for girls, construction of latrines for boys and teachers among others) under minute 5

Gojuru P/S held another meeting on 27th February 2018 and among issues that were discussed was formation of sector committees such as finance committee, disciplinary

		<p>committee, and project management under minute 4. There was also review of school development plan of 2017 under minute 5</p> <p>Gojuru P/S held another meeting on 1st October 2017 and among issues that were discussed were reports from head teacher on (local revenue collection, teacher attendance and performance) under minute 4</p> <p>Another school was Odropi P/S P/S which had an appointment letter for it School Management Committees dated 02nd May 2017. The SMC for Odropi P/S held a meeting on 28th June 2018 and among the item was presentation of budget approval for priorities under minute 5</p> <p>Odropi P/S held another meeting on 20th April 2017 and among issues that were discussed were budget approval for a water tank for the school under minute 5/2017</p> <p>Odropi P/S held another meeting on 09th March 2017 and among issues that were discussed was the discussion and approval of the annual budget for the school under minute 2</p>	
<p>The LG has publicised all schools receiving non- wage recurrent grants</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has publicised all schools receiving non- wage recurrent grants <p>e.g. through posting on public notice boards: score 3</p>	<p>There was evidence that the LG publicized all schools receiving non-wage recurrent grant for FY 2017/18 on DEO, CAO and the General public notice boards in the LG District office on 18th/May/2018. This included Q1, Q3 and Q4 releases.</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 prepared and submitted all investment items in the approved sector annual work plan and budget and all were submitted by 16th/ April/ 2018.</p>	<p>4</p>
<p>Financial management and reporting</p>			
<p>The LG Education department has certified and initiated payment for supplies on time</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: score 3. 	<p>The LG Education departments timely (as per contract) certified and recommended suppliers for payment:</p> <p>Example: Arindua Investment Company was contractor for rehabilitation of 2 class room block at Barakala Seed Secondary School. Payment request was done on 23rd November, 2017; certified on 29th November, 2017 and payment effected on 11th December, 2017. Total amount paid was shs 14,870,574 on payment voucher number 15982751 dated 11th December, 2017.</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 	<p>Records from the District Senior Planner's office showed that the Education department submitted annual performance report past the due date by 13th August 2018 for consolidation contrary to the required timeline of mid- July 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 o If sector has no audit query score 4 o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 2 o If all queries are not responded to score 0 	<p>All queries raised by both the OAG (5), IAG (11) for FY 2016/2017 were responded to and cleared. There were no queries raised by the internal audit for the Education department during FY 2017/2018.</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>The Education department consulted with the gender focal person and there was evidence to that effect as per the 3rd/April/2018 report on capacity training of senior women teachers in Arua slumberland-2018, 24th-26th/May/2018 report on training teachers on adolescent development programmes for 30 primary schools in Yumbe District with funding from UNICEF.</p> <p>This was also evidenced by the SMC's gender composition where;</p> <p>Limidia primary in Kochi sub county had 12 members with 4 women.</p> <p>Eleke P/School in Apo sub county had 12 members with 2 females</p> <p>Lukutua P/School in Yumbe Town Council list wasn't available</p> <p>Yumbe P/School in Yumbe town council which is a moslem founded school had 12 members with 2 women</p> <p>Takwa P/School was closed so we didn't get any information from it.</p>	<p>2</p>
<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that 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>The Education department in collaboration with gender department issued and explained guidelines on how to manage sanitation for girls and PWDs in primary. For example: A 25th/February/2018 report on training of peer educators to address gender based violence and reproductive health challenges that was conducted from 24th-25th February 2018 at Hotel Premier in Yumbe district .</p> <p>Guidelines: MoES Guidelines for implementing the three star approach for water sanitation and hygiene in schools October 2017. MoES Training manual on water sanitation and hygiene (WASH) for schools November 2017. 26/march/2018 A presentation on the girls' education: current situation, challenges and strategies to promote girls' education. A presentation during a workshop for senior women teachers at slumberland hotel in Arua.</p> <p>MoES Gender unit, report for enhanced PIASCY training for senior male teachers(SMT), senior female teachers(SMT), and head teachers from selected primary schools in Yumbe May,2018</p>	<p>2</p>

<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the School Management Committee meets the guideline on gender composition: score 1 	<p>There was evidence at the DEO's office that the School Management Committees met the guidelines on gender composition for instance; A file containing the appointments of SMC's in all the 123 government primary schools was reviewed. Examples of schools visited:</p> <p>a) Govule Islamic primary school 12 members 2 females. 3rd/2/2017 minutes on the first SMC meeting-minute 4 filling of gaps on the SMC body and formation of SMC sub-committees</p> <p>b) Odropi primary school 12 members 2 females. 9th/3/2017 meeting for the nomination of foundation board members to the SMC of Odropi primary school</p> <p>c) Lukutua primary school 12 members 2 females</p> <p>d) Eleke primary school 12 members 2 females. 28th/3/2017 minutes on election of foundation body, St Peter's church of Uganda-Eleke-minute 4 Election of the foundation board members</p> <p>e) Limidia primary school 12 members 4 females. 9th/June/2018 minutes on selection of foundation body members of Limidia primary school. Head at Jazia mosque-Gadanis-minute 3 election of 6 foundation body members</p>	<p>1</p>
<p>LG Education department has ensured that guide- lines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG Education department in collaboration with Environment department has issued guidelines on environmental management (tree planting, waste management, formation of environmental clubs and environment education etc.): score 1: 	<p>The Education department in collaboration with Environment department issued guidelines on environmental management as follows:</p> <p>a) Circular on 24th/August/2017 from CAO on planning guidelines for integrated environment management in government schools in FY 2017/2018.</p> <p>b) Circular on 12th/July/2017 from DEO all heads of educational institutions primary/secondary/tertiary on information on child friendly school i.e ensure that 20 trees are planted and protected annually in every school and formation of environmental clubs to sensitise the school community about the importance of environmental conservation.</p> <p>c) 24th/August/2017, the CAO also sent out a circular to the DEO's office on planning guidelines for integrated environment management in government schools in FY 2017/2018 stating the different environmental activities to be mainstreamed and the purpose for mainstreaming. However none of the schools the AT sampled had any circular on environment</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 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>All school infrastructure projects were screened before approval. For example, under Ref: CR/156/2 on May 16th/2018 a letter to the CAO on the Report for development projects screened for environmental mitigation in Yumbe District FY 2017/2018 where some of the environmental projects screened included; construction of 5 stance VIP latrine at Dramba P/school ECC/155/2/17 in kululu sub county, construction of 5 stance VIP latrine at Omba P/school ECC/159/2/17 in APO sub county, construction of 5 stance VIP latrine at Owolo P/school ECC/162/2/17 in Odravu sub county</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 evidence that the environmental officer visited the sites as per compliance certificates availed to the Assessment Team among which was one for Okuyo P/School -certification No ECC/YDLG/160/2/18.</p> <p>In addition, the District had an Environment and Social Management Plan for FY 2017/2018 prepared and signed by the DEO on 21st/6/2018 and also signed by CAO on 21st/6/2018. However there was no evidence of any form of inspection report from the CDO.</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 had filled 379 out of 647 positions in the PHC structure which was 58.7%. There were also additional 15 positions submitted to the Human Resource Department as per the recruitment plan dated 27th July 2017, and advertised in the New Vision of January 22, 2018. Therefore the effective per centage was 60.9%</p>	4
<p>The LG Health department has submitted a comprehensive recruitment plan for primary health care workers to the HRM department</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that Health department has submitted a comprehensive recruitment plan/re- quest to HRM for the current FY, covering the vacant positions of primary health care workers: score 6</p>	<p>Recruitment plan for replacement of staff was submitted for 2018/2019 , because according to Circular from PS Ministry of Public Service dated 29th June 2018, Ref. PMD/80/80/01, Section 3.2, no new recruitment had been allocated funds for the FY 2018/2019, except for replacement within the available wage bill.</p> <p>For 2017/2018 submission of Recruitment Plan was on 18th July 2017 Limited Recruitment Plan for this year was submitted to HRM on 22nd June 2018 (on replacement basis only- for retired, died or voluntarily left)</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>The LG had evidence that all health facility in-charges were appraised basing on a sample of 5 out of 30 personnel files that were reviewed. These were as follows;</p> <ol style="list-style-type: none"> 1. Dr. Atama Malon Isaac (Yumbe Hospital, CR/hea/ 846) appraised on 7/8/2018 2. Drate Angelo (Midigo HC IV, CR/hea/786) appraised on 19/7/2018 3. Guma Geoffrey (Moli HC II, CR/hea/10780) appraised on 6/7/2018 4. Druambu Dan (Kochi HC II, CR/hea/787) appraised on 15/1/2018 5. Acile Geoffrey (Yoyo HC III, CR/Hea/10553) appraised on 17/7/2018 6. Asiku George (Lodonga HCIII - PNFP, CR/Hea/10622) appraised on 15/7/2018 	<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>District Health Staff List Seen</p> <p>Total number of employees deployed is 379 out of 647 approved positions, according to the staff list which indicates the units/facilities, the number of employees deployed in each unit, and the names and cadres of the employees. The deployment against approved positions is as follows:</p> <p>DHO's Office 12 out of 13, Yumbe Gen Hosp 131 out of 193' Midigo HCIV 32 out of 48, Yumbe HCIV 24 out of 48, HCIIIs 101 out of 190, HCIIIs 78 out of /153</p> <p>The HCIIIs are least staffed, yet most people live in the rural areas they serve.</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>Documents from MoH communicated by the DHO to Health Facilities were as follows:</p> <ol style="list-style-type: none"> Pharmaceutical Financial Management Guideline (No date) but signed distribution list seen. The National Implementation Plan for Long Acting Reversible Contraceptives and Permanent Methods (Distributed in October 2017- Signed List –Photo) UNEPI Guidelines 3rd Edition (Distributed in October 2017- Signed List –Photo) The National Technical Guidelines for IDSR(Distributed in April 2018- Signed List – Photo) Ebola Posters (August 2018) –distribution list seen at DHO’s Office... 	<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>No minutes of Quarterly Performance Review Meetings were seen.</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 supervised 100% of HC IVs and district hospitals (including PNFPs receiving PHC grant) at least once in a quarter: score 3</p>	<p>Support supervision reports seen for DHT visits to Health Facilities include: Yumbe Hospital, Yumbe HCIV and Midigo HCIV for 3 Quarters in 2017/2018</p> <p>Q1 Report None</p> <p>Q2 Report 22nd December 2017 (Yumbe HCIV only)</p> <p>Q3 Report 31st March 2018 (Midigo HCIV and Yumbe HCIV),</p> <p>Q4 Report 22nd June 2018 (Midigo HCIV, Yumbe HCIII and Ariwa HCIII)</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>Aringa North HSD Support Supervision reports seen for the 4 Quarters</p> <p>Q 1 Report 7th November 2017</p> <p>Q2 Report 7th January 2018</p> <p>Q3 Report 23rd April 2018</p> <p>Q4 Report 22nd July 2018</p> <p>The Aringa North Health Sub District Support Supervision Team is based at Midigo HCIV.</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>No Minutes of the quarterly meetings were seen</p>	<p>0</p>

<p>The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up</p> <p>Maximum 10 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the recommendations are followed – up and specific activities undertaken for correction: score 6 	<p>There was no evidence at DHO's Office of systematic corrective action based on recommendations from the Support Supervision Reports. This is compounded by irregular Quarterly Performance Review Meetings between DHT and Health Facility In-charges.</p> <p>However there was a Supervision Book at every Health Facility where Supervisors made Observations and Recommendations for follow up action.</p>	<p>0</p>
<p>The LG Health department has submitted accurate/consistent reports/data for health facility lists receiving PHC funding as per formats provided by MoH</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has submitted accurate/consistent data regarding: <ul style="list-style-type: none"> o List of health facilities receiving PHC funding, which are consistent with both HMIS reports and PBS: score 10 	<p>The HMIS reporting details for 2017/2018 were obtained from the database at Ministry of Health which receives HMIS records from each Health Facility in the country electronically, every month.</p> <p>The HMIS Reports for the 4 quarters of FY 2017/2018 show that the List of Health Units provided by the DHO's Office tallied with those from the HMIS Reports at the Ministry of Health. The reports were sent to MOH electronically. All Health Facilities in Yumbe District reported on time in 2017/2018.</p>	<p>10</p>

Governance, oversight, transparency and accountability

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

Maximum 4 for this performance measure

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

There was evidence that health sector committee met during FY 2017/18 and discussed issues among others related to service delivery. In total 6 meetings were held in the previous Financial year 2017/2018 among which included;-

a) On 22nd May 2018 Health sector Committee held an ordinary Local Council Committee in the health Board room and among the Items was presentation of the draft sector work plan and budget for FY 2018/2019 under min SSC/MIN/05/05/2018 page 4 of the minutes.

b) Another meeting was held on 22nd August 2017 in Education Resource Centre and among the Items was presentation of the key issues in the 4th Quarter for the Financial Year 2016/2017 (Health Sub district for Aringa Central, Aringa North and Aringa South) under minute HSC.MIN.22/8/2017 on page 2.

c) Another meeting was held on 12th October 2017 in the Boardroom of Health Officer and among the Items discussed a brief sector update by the District Health Officer on 1st Quarters progress under minute 6/1/10/2017 on page 2 of the minutes.

<p>The LG committee responsible for health met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the health sector committee has presented issues that require approval to Council: score 2 	<p>There was evidence that health sector committee presented their issues to the council for approval and among the recommendation made were;</p> <p>a) The discussion of quarterly submission reports to the Ministry of Health was to be followed by the District Executive Committee among others under minute SSC/MIN/05/05/2018 on page 5 that arose presentation of the key issues in the 4th Quarter for the Financial Year 2016/2017 on 22nd May 2018.</p> <p>b) Another recommendation was the District Executive Council to follow UNHCR about Doctor's top allowance and medicines to support Yumbe hospital among other under minute 7/1/10/2017 on page since the supplies were serving both the host community and the refugees. The recommendation rose from brief sector updates by the District Health Officer on 1st Quarter progress under minute 6/1/10/2017 held on 12th October 2017</p>	<p>2</p>
<p>The Health Unit Management Committees and Hospital Board are operational/functioning</p> <p>Maximum 6 points</p>	<p>Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):</p> <ul style="list-style-type: none"> If 100% of randomly sampled facilities: score 6 If 80-99 %: score 4 If 70-79: %: score 2 If less than 70%: score 0 	<p>Minutes of the Hospital Board and a sample of /Health Unit Management Committee Meetings are as follows:</p> <p>Yumbe Hospital Board</p> <p>Q1, Action Points 9th October 2017, Q2 07 December 2017, Q2 Action Points 17th January 2018, Q4 03, July 2018</p> <p>Apo HCIII Q1 15th September 2017, Q2 20th November 2017, Q3 30th April 2018, and Q4 (Joint with HF Staff) 8th August 2018. 2018, AINoor HCII Q1 23rd October 2017, Q2 2nd January 2018, Q3 6th April 2018, Q4 22nd June 2018.</p> <p>Health Centres HMUCs had books containing minutes e.g at Apo HCIII the book had Minutes since 2014.</p>	<p>6</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>PHC Funds for 2017/2018 with a list of health facilities was displayed at the DHO's Notice Board and also at individual Health Facilities. The Budgets and receipts of Quarterly funds for 2017/2018 were also displayed.</p>	<p>4</p>
<p>Procurement and contract management</p>			
<p>The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the sector has submitted input to procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time by April 30 for the current FY: score 2 	<p>The Health Sector's Procurement Plan for 2018/2019 was submitted on 25th April 2018. This was evidenced by copy stamped by CAO's Office</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 sector Procurement Request Form PP1 2018/2019 was submitted to the PDU on 13th July 2018 and stamped by CAO.</p>	<p>2</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. 	<p>The LG Health departments timely (as per contract) certified and recommended suppliers for payment:</p> <p>Examples include: (i) GemSpat (U) Ltd a contractor for consultancy fees for preparation of Ariwa Health Center Master Plan.</p> <p>Payment request was made on 21st March, 2018; certified on 26th March, 2018 and payment was effected on 12th April, 2018 for shs 9,994,600 against voucher number 17321053 dated 12th April, 2018.</p> <p>(ii) Payee contractor: Achoru United Traders Ltd;</p> <p>Payment request was done on 24th May, 2018. Certification was done on 21st June, 2018. Payment was done on 25th June, 2018 against voucher number 18388852 dated 25th June, 2018 for the amount of shs 128,253,024. This was in respect of construction of OPD at Health Center IV at Yumbe Town Council.</p>	<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 	<p>The Health Department did not submit their annual performance reports on time to the District Senior Planner for consolidation by 15th of July. A copy of submission to the District Senior Planner indicate that submission was made by Tuesday 05th August 2018</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>Queries raised by the Internal Audit in respect of the LG Health Department for FY 2016/2017 were responded to and cleared.</p> <p>As for queries raised in FY 2017/2018, these were responded to but not fully cleared.</p> <p>Example: (i) DHO's letter to CAO dated 10th August, 2018 for a case of un accounted for funds amounting to shs 16,990,200. The CAO acknowledged the DHO's letter on 10th August, 2018.</p> <p>(ii) The DHO's letter to CAO responding to the four queries raised by the internal auditor in his quarter two report of FY 2017/2018.</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>	<p>10 out of 32 Hospital Board/HUMC members from 5 sampled Health facilities were female</p> <p>Lists of members and Minutes of meetings seen for all 5 Health Facilities sampled. Female members were as follows: Yumbe Hospital Board 3 out of 9, Midigo HCIV 2 out of 7, Apo HCIII 2 out of 6, Al Noor HCII 2 out of 5 and Aliapi HCII 1 out of 5.</p>	<p>2</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>There was NO record of materials on Sanitation distributed by DHO to Health Facilities in 2017/2018, BUT at Yumbe HCIV (hosting part of Yumbe Hospital) and at Apo HCIII, there were posters on Sanitation that were displayed.</p> <p>(Presence of Gender separation of toilets at sampled Health Facilities was actively looked for and noted)</p> <p>At all sample Health Facilities the Ebola Poster (which is related to Sanitation) was seen.</p>	<p>0</p>

<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that all health facility infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: Score 2 	<p>District Environment Officer, DHO and a Team of other District Physical Planning Team screened all district construction projects and supervised them.</p> <p>Reports of Screened Projects for FY 2017/2018 addressed to CAO dated 16 May 2018 were seen, and signed by District Environment Office on the same date.</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>There was no evidence that the District Environment and District Community Development Officers produced and signed projects completion reports before payment of Contractors.</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>Health Care Waste Management Guidelines, Wall Chart Algorithm and 5S charts were seen at Yumbe Hospital (at the Administration and Maternity units located at Yumbe HCIV), Midigo HCIV, Apo HCIII, Al Noor HCII and Aliapi HCII. All 5 HFs sampled had colour coded bins in use. There was a challenge of limited supply of bin liners at some of the Health Facilities.</p> <p>At Yumbe Hospital (at the Administration and Maternity units located at Yumbe HCIV) there is an incinerator awaiting finishing works, before commissioning.</p> <p>However guidelines on construction of facilities for medical waste disposal were not seen.</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>There was evidence that sub counties with safe water coverage below the district average were targeted in the 2018/2019.</p> <p>In the financial year 2017/2018, the average safe water coverage of the district (rural access) stood at 47%. There were six sub counties with their safe water coverage at or below the district average and these were; Drajini (45%), Kei (43%), Kululu (45%), Kuru (41%), Midigo (33%) and Romogi (47%)</p> <p>Out of a total budget of UGX 534,838,188 allocated to capital development interventions;</p> <p>UGX 352,000,000 was allocated to construction of 16 new boreholes all of which were in the targeted sub counties of Kululu (2), Kei (3), Midigo (4), Kuru (3), Drajini (2), and Romogi (2).</p> <p>Also UGX 46,394,706 was allocated to drilling a production well in Kei sub county ,also a targeted sub county.</p> <p>And finally UGX 78,208,470 was allocated towards the rehabilitation of 15 boreholes 9 of which were in the targeted sub counties of Drajini (3), Kei (2), Kuru (1), and Midigo (3).</p> <p>A total of UGX 445,319,788 was allocated to capital development interventions in the targeted sub counties representing about 83% of the development budget.</p>	7

<p>The district Water department has implemented budgeted water projects in the targeted sub-counties (i.e. sub-counties with safe water coverage below the district average)</p> <p>Maximum 15 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has implemented budgeted water projects in the targeted sub-counties with safe water coverage below the district average in the previous FY. o If 100 % of the water projects are implemented in the targeted S/Cs: <p>Score 15</p> <ul style="list-style-type: none"> o If 80-99%: Score 10 o If 60-79: Score 5 o If below 60 %: Score 0 	<p>There was evidence that the Local Government Water department implemented the budgeted water projects in the targeted sub counties in the financial year 2017/2018.</p> <p>In the financial year 2016/2017, the average safe water coverage for the district (excluding Yumbe town council) was 46%. There were six sub counties whose safe water coverage was below the district average and these were; Ariwa (27%), Drajini (42%), Kei (40%), Kerwa (35%), Kululu (34%) and Romogi (45%).</p> <p>In the financial year 2017/2018, installation of 16 new boreholes and rehabilitation of 14 existing ones was planned. 8 of the planned new boreholes and 4 of the rehabilitated ones were in the targeted sub counties.</p> <p>All the above planned activities were executed to completion, representing 100%.</p>	<p>15</p>
<p>Monitoring and Supervision</p>			
<p>The district Water department carries out monthly monitoring of project investments in the sector</p> <p>Maximum 15 points for this performance measure</p>	<p>Evidence that the district Water department has monitored each of WSS facilities at least annually.</p> <ul style="list-style-type: none"> • If more than 95% of the WSS facilities monitored: score 15 • 80% - 95% of the WSS facilities - monitored: score 10 • 70 - 79%: score 7 • 60% - 69% monitored: score 5 • 50% - 59%: score 3 • Less than 50% of WSS facilities monitored: score 0 	<p>There was evidence on record that the Water department supervised and monitored all the water supply facilities;</p> <ol style="list-style-type: none"> 1) Supervision reports were made for the drilling of the 16 boreholes on 28th February 2018. 2) Supervision reports were made for the rehabilitation of 10 boreholes on 09th March 2018 3) There was also a comprehensive assessment report for all existing water facilities in the financial year 2017/2018. This report covered all water facilities in the different sub counties highlighting those that were functional and those that were not. <p>This gave an indication that at least 95% of the water facilities were regularly monitored. However, there was no record for monitoring of the sanitation facilities.</p>	<p>15</p>

<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the district has submitted accurate/consistent data for the current FY: Score 5 List of water facility which are consistent in both sector MIS reports and PBS: score 5 	<p>There was evidence that the District water officer submitted accurate and consistent data in the financial year 2017/2018.</p> <p>A compilation of new water sources captured on form 1s (from the ministry of Water and Environment) was submitted and received by the Ministry on the 6th July 2018. The information on it was consistent with that contained on the sector MIS report with the exception of two water sources.</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>The facilities that were consistent on both sector MIS reports and PBS were; Kochi (DWD 56444), Kerwa (DWD 56443), Londonga (DWD 56440), Drajani (DWD 56436), Lodonga (DWD 56437), Odravu (DWD 56452), Odravu (DWD 56451), Ariwa (DWD 56453), Midigo (DWD 56454), Midigo (DWD 56442), Kei (DWD 56473), Drajini (DWD 56438), Kuru (DWD 56439), Kei (DWD 56445).</p> <p>One water source, Kerwa (DWD 56441), did not reflect in the sector MIS report but was submitted to the ministry.</p> <p>Another water source in Gbiria village (Awinga parish in Ariwa sub county) was not submitted to the ministry because it was a dry borehole.</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>The sector submitted input for the district procurement plan to the PDU on 27th April 2018. Among the projects submitted were;</p> <p>i) Construction of a 4 stance public toilet with urinals for males estimated at UGX 22,123,223.</p> <p>ii) Sitting and drilling of 16 boreholes estimated at UGX 352,000,000</p> <p>iii) Supervision services for sitting and drilling of the 16 boreholes estimated at 28,000,000</p>	<p>4</p>
<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If the contract manager prepared a contract management plan and conducted monthly site visits for the different WSS infrastructure projects as per the contract management plan: score 2 	<p>The water supply and sanitation projects had clauses for contract management in their specifications and forms of contract.</p> <p>Among the clauses was a requirement that the contractor made daily logs of the activities that they did, details of the different soil strata encountered, and a detailed section of the drilled borehole highlighting if there were any variations from the design.</p> <p>There was also a clause that required the contractor to conduct laboratory analysis on the water source for the different boreholes. Physio-chemical analysis were done for the different boreholes and the results of these submitted to the District Water Officer.</p> <p>However, there was no record of instructions to contractors or minutes of site meetings held between the contract manager and the client.</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>Five water supply facilities were visited and these included;</p> <ul style="list-style-type: none"> i) Lugbanga in Kuru sub county (DWD 56439) ii) Asetinga in Odravu sub county (DWD 56451) iii) Iyidu in Lodonga sub county (DWD 56440) iv) Entebbe in Lodonga sub county (DWD 56437) v) Kiyi in Odravu sub county (DWD 56452) <p>All these projects were found to have been executed in accordance with the design specification with some variation in the depth drilled which depended upon the depth of the water table.</p> <p>One facility, Entebbe in Lodonga sub county, had quality issues with the platform which was found not to fully drain off. Arrangement was to be made by the District water officer to bring the contractor back to make good the irregularity as the project was still in the defects liability period.</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 evidence on record that contractors handed over completed Water supply and sanitation projects. For example on 3rd September 2018, Galaxy Agro-tech Uganda Limited submitted a project completion and hand over report for the drilling and installation of 16 boreholes.</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 DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2 	<p>There was evidence on record that the District Water Officer certified all completed Water supply and Sanitation projects. On 2nd May 2018, the District water officer made two project completion certificates. One was for the drilling and installation of 16 boreholes by Galaxy Agro-tech (U) Ltd and the other for supervision services done by LHM Ground Water Exploration and Geo-mapping Services Ltd for the drilling and installation works of the 16 boreholes.</p>	<p>2</p>
<p>The district Water department has certified and initiated payment for works and supplies on time</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the DWOs timely (as per contract) certified and recommended suppliers for payment: score 3 points 	<p>The LG Water departments timely (as per contract) certified and recommended suppliers for payment:</p> <p>Example: Payment to LHM –Ground Water Exploration and Geo Moppy Services Ltd:</p> <p>Payment request was done on 11th April, 2018; certified on 21st May, 2018 and payment was effected on 22nd June, 2018 vide voucher number 14236546 of 22nd June, 2018 for shs 29,957,983. Payment was in respect of consultancy services for borehole siting and supervision of drilling, pump testing and installation of 16 bore holes in the district.</p>	<p>3</p>
<p>Financial management and reporting</p>			
<p>The district Water department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 5 	<p>The Water Department did submit their annual performance reports on time to the District Senior Planner for consolidation with letter dated 10th of July 2018 to the Permanent Secretary Ministry of Water and Environment CR/103/1 and it was copied in to the District Senior Planner.</p>	<p>5</p>

<p>The District Water Department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year 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>All queries raised by the Internal Audit in respect of the LG Water Department in FY 2016/2017 were responded to and cleared.</p> <p>The six queries which were raised during FY 2017/2018 were also responded to through the DWO's letter to CAO dated 22nd August, 2018 under reference WD/02/11 for which the CAO acknowledged on 30th August, 2018.</p>	<p>3</p>
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Governance, oversight, transparency and accountability

<p>The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the council committee responsible for water met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports and submissions from the District Water and Sanitation Coordination Committee (DWSCC) etc. during the previous FY: score 3 	<p>There was evidence that water sector committee met and discussed service delivery issues including supervision reports, performance as follows;-</p> <p>a) On 28th November 2017 works and technical service Committee held an ordinary Local Council Committee at water officer boardroom and among the Items was presentation of the progress report for water and sanitation, engineering and roads under minute 4 of page 11 of the minute and the discussion was about construction of VIP latrines, Piped water systems.</p> <p>b) Another ordinary Local Council Committee meeting was held on 22nd August 2017 for works and technical service Committee at water officer boardroom and among other items was presentation of the progress reports for water and finance under minute 3/22/2018 page 3 of the minute and the discussion was on keys activities of the 4th Quarter of which the report indicated that a total of 23 boreholes were planned 22 were drilled, 4 were dry wells and 1 was not drilled on page 3 of the minutes</p>	<p>3</p>
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<p>The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the water sector committee has presented issues that require approval to Council: score 3 	<p>There was evidence that the water sector committee recommended issues for approval to council and among the recommendation from the discussion were;</p> <p>a) Yumbe should move away from drilling more boreholes and instead concentrate on motorization and rehabilitation of water source that could be extended to other trading centers and institutions on page 15 of the minute report for the committee meeting held on 28th November 2017.</p> <p>b) Another recommendation was that the savings from the previous activities to be allocated for repair of 5 boreholes on page 6 of the minute report for the sector committee meeting held on 22nd August 2017</p>	<p>3</p>
<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</p>	<ul style="list-style-type: none"> The AWP, budget and the Water Development grant releases and expenditures have been displayed on the district notice boards as per the PPDA Act and discussed at advocacy meetings: score 2. 	<p>Annual work plan and budget for 2018/2019 was clearly displayed on the Notice board.</p> <p>Also the first quarter release for the water department for 2018/2019 was displayed on the Notice board dated 31st August 2018. The allocations were as follows;</p> <p>i) Sector Conditional Grant - NWR, UGX 9,631,110.</p> <p>ii) Sector Conditional Grant Development, UGX 178,279,373</p> <p>iii) DDEG, UGX 30,620,344</p> <p>iv) Unconditional grand, UGX 5,916,478</p> <p>The Annual work plan and quarterly release were dated, signed and stamped.</p> <p>There was no evidence for advocacy meetings held for 2018/2019</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>All the five projects visited had clear engravings indicating the names of the projects, dates of construction, contractor names and sources of funding.</p> <p>i) For Lugbanga in Kuru sub county, the following was displayed;</p> <p>Village: Lugbanga DWD: 56439 FUND: DWSCG FY: 2017/2018 DATE: 18th January 2018</p> <p>ii) For lyidu in Lodonga sub county;</p> <p>Village: lyidu DWD: 56440 FUND: DWSCG FY: 2017/2018 DATE: 19th January 2018</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"> Information on tenders and contract awards (indicating contractor name /contract and contract sum) displayed on the District notice boards: score 2 	<p>There was no information displayed on the notice boards relating to tenders and contracts awarded and yet procurement for water facilities was already on going.</p>	<p>0</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>On record were submissions from sub counties highlighting priority water and sanitation requirements for their respective sub counties. For example on 26th October 2018, the sub county of Drajini submitted a list of priority water projects for the financial year 2018/19.</p> <p>There was however no records of applications from communities at parish level and village level, as well as minutes of community meetings indicating agreed on facility requirements.</p>	<p>0</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 have an M&E plan for the previous FY: score 2 <p>Note: One of parameters above is sufficient for the score.</p>	<p>Generally, there was low commitment from the communities towards the proper operation and maintenance of water facilities.</p> <p>Of the five water supply facilities visited, all had made some attempt to fence their water facilities with the exception of Lugbanga which had an incomplete fence that had stalled for some time and had started to fall apart.</p> <p>Some committees of these water points held monthly meetings with the exception of Iyidu and Lugbanga. According to a one Ijosiga Ratib, the secretary of the Iyidu user committee, the community was comfortable meeting every three months because they were busy in their tobacco gardens most of the time. On the other hand, the community of Lugbanga held their last meeting on 9th April 2018 and did not have a schedule of when they would meet next.</p> <p>The communities for all the water points visited made some contributions towards the maintenance of the water points with varying commitments.</p> <p>Away from the five water points visited, most of the projects we managed to see en route had worn out fences and platforms.</p>	<p>0</p>
<p>Social and environmental safeguards</p>			
<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that environmental screening (as per templates) for all projects and EIAs (where required) conducted for all WSS projects and reports are in place: score 2 	<p>There was evidence on record that environmental screening had been carried out for water supply and sanitation projects implemented for the financial year 2017/2018.</p> <p>i) On 10th January 2018, environmental screening was carried out on Aludu community borehole in Kerwa Sub County.</p> <p>ii) On 11th January 2018, environmental screening was carried out on Oleba community borehole in Midigo Sub County.</p>	<p>2</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>In the environment compliance certificates issued, there was evidence that the negative environmental and social issues were followed up and closed for 2017 / 2018.</p>	<p>1</p>
<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that construction and supervision contracts have clause on environmental protection: score 1 	<p>There was a clause in the section of technical specifications that required that the contractor handled and disposed of any toxic wastes like oils, greases, and drilling fluids, among others, in a manner approved by the supervisor so as not to create damage to public and private property.</p> <p>However, the environmental management plan made for the project was not comprehensive to cover all the environmental issues highlighted in this clause. For example oils, greases and drilling fluids were not captured in the environment management plan and as such follow up of the same was not indicated in the compliance certificates issued.</p>	<p>1</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>Of the five water supply facilities visited, Lugbanga had 4 women in their user committee, Asetinga had 5 women, Iyidu had 4 women, Entebbe had 3 women and Kiyi 5 women, all out of 9 committee members.</p> <p>The average percentage of women on the user committees of all the water points visited was 47% which was less than the minimum recommendation of 50%.</p> <p>All the user committees of the water points visited had at least one woman in key positions. Two user committees of Lugbanga and Asetinga had female chair persons and they went by the names of Zaika Twalib and Tiko Grace respectively.</p>	<p>0</p>

<p>Gender and special needs-sensitive sanitation facilities in public places/</p> <p>RGCs provided by the Water Department.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • If public sanitation facilities have adequate access and separate stances for men, women and PWDs: score 3 	<p>Three public sanitation facilities visited. These included;</p> <ul style="list-style-type: none"> i) The public sanitation facilities at the district local government offices ii) The public sanitation facility at Kuru rural growth center in Kuru trading center iii) Apo health center III in Apo Sub County. <p>All the facilities visited had separate facilities boy males and females. They also had ramps for access of people with disabilities.</p> <p>In particular, the facility at Kuru trading center was lacking in terms of operation and maintenance. The plumbing systems for both the male and female sections were nonfunctional and the various stances lacked access doors among others.</p>	<p>3</p>
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