



Local Government Performance Assessment

Otuke District

(Vote Code: 586)

Assessment	Scores
Accountability Requirements	%
Crosscutting Performance Measures	52%
Educational Performance Measures	71%
Health Performance Measures	64%
Water & Environment Performance Measures	81%

No.	Summary of requirements	Definition of compliance	Compliance justification	Compliant?
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Annual performance contract

1	LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMA and LG Budget guidelines for the coming financial year.	<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"> If LG submitted before or by due date, then state 'compliant' 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. 	MoFPED records on submission of Annual Performance Contracts for FY 2018/19 indicated that Otuke DLG submitted on 18th July, 2019 which was within the agreeable timelines of 31st August, 2019, by OPM.	Yes
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Supporting Documents for the Budget required as per the PFMA are submitted and available

2	LG has submitted a Budget that includes a Procurement Plan for the forthcoming FY by 30th June (LG PPDA Regulations, 2006).	<ul style="list-style-type: none"> From MoFPED's inventory of LG budget submissions, check whether: <ul style="list-style-type: none"> 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. 	Otuke DLG submitted a Budget that incorporated the LG Procurement Plan for the forthcoming FY (2019/2020) on 18th July, 2019. This implies that the submission of the Budget was within the stipulated timelines, as per the adjusted date of 31st August, 2019 by OPM	Yes
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Reporting: submission of annual and quarterly budget performance reports

3	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>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 	Otuke District LG submitted the Annual Performance Report for the previous FY 2018/2019 on 8th August, 2019 which was within the adjusted time of 31st August, 2019 by OPM.	Yes
4	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>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>Otuke District Local Government did submit all its quarterly budget performance reports for all the four Quarters to the Permanent Secretary (MoFPED)</p> <p>Submission dates for quarterly performance were as follows:</p> <p>Quarter 1: was submitted on 1st November, 2018</p> <p>Quarter 2: was submitted on 28th January, 2019</p> <p>Quarter 3: was submitted on 14th May, 2019</p> <p>Quarter 4: was submitted on 8th August, 2019</p> <p>The quarter four report was submitted within the agreeable date of 31st August, 2019 that was adjusted by OPM</p>	Yes

Audit

5	<p>The LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and the Auditor General's findings for the previous financial year by end of February (PFMA s. 11 2g). This statement includes actions against all findings where the Internal Auditor and the Auditor General recommended the Accounting Officer to take action in lines with applicable laws.</p>	<p>From MoFPED's Inventory/record of LG submissions of statements entitled "Actions to Address Internal Auditor General's findings",</p> <p>Check:</p> <ul style="list-style-type: none"> • If LG submitted a 'Response' (and provide details), then it is compliant • If LG did not submit a 'response', then it is non-compliant • If there is a response for all –LG is compliant • If there are partial or not all issues responded to – LG is not compliant. 	<p>The district received the Management letter Ref: DLA46/320/01/19 from the OAG for the FY ended 30th June, 2019 On the 7th November, 2019 as per stamp from the central registry and attended the exit meeting in Kampala on the 14th November, 2019. The district is yet to submit their response.</p>
6	<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.</p>	<p>The annual audited report by the Auditor General to Parliament for the FY 2018/19 communicated an Unqualified opinion for Otuke DLG, therefore compliant.</p>	

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution				

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

Maximum 4 points for this performance measure.

Evidence that a district/ municipality has:

- A functional Physical Planning Committee in place that considers new investments on time: score 1.

There was evidence that Otuke DLG had constituted a District Physical Planning Committee (DPPC) which was also functional during the FY under review. The DPPC was appointed on 29th January, 2019 under letter Ref. No. CR/202/2.

The following members were appointed:

1. Mr. Mabiya Joshua CAO, the chairman to DPPC
2. Mr. Nyengo Richard, the District physical planner, the secretary to the Committee
3. Mr. Odong Moses Okwi, Ag. TC Adwari town council
4. Ms. Alida Annet Sophia, Staff Surveyor
5. Mr. Otim Peter Ogweng, District Education Officer
6. Mr. Obong Lawrence James, Ag. District Engineer
7. Mr. Ebong Boniface, Environmental Officer
8. Mr. Ocen Silvestre, District Community Development Officer.
9. Dr. Oremo Robert Ojede, District Health Officer

Otuke District Physical Planning Committee however, fell short of the legal validity requirements because it was lacking other vital committee members like District Agricultural Officer, the DNRO, the District Water Officer, a Physical Planner in private practice among others.

The assessment team saw minutes of the sittings of the DPPC in FY 2018/19 and the issues presented included:

Otuke DPPC meeting held on 20th February, 2019, for consideration of Land applications under minute No. OTDPPC 01/2019 (06) of the 20/2/2019 of land application.

Otuke DPPC meeting held on 12th March, 2019, for presentation of land application checklist and building plans approval under minute No.OTDPPC02/2019 (5) of 12/3/2019 of the physical planning checklist.

Otuke DPPC meeting held on 20th June, 2019, for consideration of Land applications under minute No.OTDPPC 03/2019(6) of 20th June, 2019 .

The DPPC held a meeting on 25th September, 2019 through minutes No.OTDPPC 05/2019(7) 25/9/2019. The committee .approved land application files for instance: Application for Freehold under file No.28/2019 and File No. 29/2019.

1

0

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

• Evidence that district/ MLG has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD score 1.

Whereas the assessor saw and verified the DPPC meetings/minutes, there was no evidence availed to show that the DPPC submitted all the 4 sets of minutes to MoLHUD

Meeting held on 25th September, 2019 under minute OTDPPC 05/2019(7) 25/9/2019, on approval of land application. Submitted to the MoLHUD zonal office and acknowledged on 12 November, 2019

Meeting held on 20th February, 2019, under minute OTDPPC 01/2019 (06) of the 20/2/2019, for consideration of land applications, did not have acknowledgement by MoLHUD

Meeting held on 12th March 2019, under minute OTDP PC02/2019 (5) of 12/3/2019 for presentation of the physical planning checklist, did not have acknowledgement by MoLHUD

Meeting held on 20th June, 2019, under minute OTDPPC 03/2019(6) of 20/6/2019, for consideration of land applications, did not have acknowledgement by MoLHUD

Maximum 4 points for this performance measure.

1

0

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

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

There was no Physical Development Plan in place to guide infrastructure investments. So for that matter, there was no platform to measure or determine the consistency of infrastructure investments

Maximum 4 points for this performance measure.

1	<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<p>• Action area plan prepared for the previous FY: score 1 or else 0</p>	<p>Otuke District Local Government did not have an action area plan derived from the Physical Development Plan in the previous FY 2018/2019</p>	0
2	<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>	<p>• Evidence that priorities in AWP for the current FY are based on the outcomes of budget conferences: score 2.</p>	<p>Much as the DLG presented to the Assessor the TPC discussions of the budget conference that was held on 2nd November, 2018, under minute No.05/02/11/2018. It was very difficult for the assessor to identify the priorities that were discussed, because issues were just discussed randomly, but were not properly outlined per sector.</p>	0

The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year development plan, are based on discussions in annual reviews and budget conferences and have project profiles

Maximum 5 points on this performance measure.

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

There was evidence that the Annual Work Plan 2019/2020 and Budget Estimates 2019/2020 was approved by Council on 29th May, 2019 under minute No.7c/29/5/2019

There was evidence that the capital investments in the AWP for the current FY were derived from the approved Five year development plan, which included the following:

- Education: Construction of seed secondary school in Ogor sub county (stated on page 162 DDP II, and on page 62 of the AWP)
- Education: Construction of VIP latrines in affected schools and enhancing sanitation in schools by use of hand washing facilities (cited on page. 163 DDP II and on page 61 AWP)
- Production: deep well construction (mentioned on page 168 DDP II and on page 82 AWP)
- Bottle necks clearance on Community Access Roads: Swamp Filling (indicated on page.173 DDP II and on page 76 AWP).

Urban roads upgraded to Bitumen Standard-LLS (seen on page 174 DDP II and on page 74-75 of the AWP)

The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year development plan, are based on discussions in annual reviews and budget conferences and have project profiles

Maximum 5 points on this performance measure.

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

There was evidence of the development and availability of the project profiles but the TPC minute discussing the project profiles was not availed to the assessor.

The project profiles in the Otuke District Local Government Development Plan were prepared as per the LGMSDP: local government management service delivery Programme.

The project profiles were stated on pages 227 to page 230 of the 5-year DDP2, 2015/2016-2019/2020.

3	<p>Annual statistical abstract developed and applied</p> <p>Maximum 1 point on this performance measure</p>	<ul style="list-style-type: none"> • Annual statistical abstract, with gender- disaggregated data has been compiled and presented to the TPC to support budget allocation and decision-making- maximum score 1. 	<p>The was no evidence of the Annual Statistical Abstract. The justification provided for the absence of the Abstract was that the DLG does not have a Statistician. So the DLG uses a National Population and Housing Census Report, Northern Region, April 2017, Area specific profile report Otuke, which equally did not have a minute showing it being discussed by the TPC.</p>	0
4	<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that all infrastructure projects implemented by the LG in the previous FY were derived from the annual work plan and budget approved by the LG Council: score 2 	<p>There was evidence that all investment projects implemented in FY 2018/19 were derived from the AWP and approved budget performance report. Sampled projects, included:</p> <ul style="list-style-type: none"> • Borehole drilling and rehabilitation (stated on page.154 AWP and on page.50 of the Annual Budget) • Classroom construction and rehabilitation (cited on pages.61 AWP and on page.35/36 Annual Budget) • Construction of public latrines in RGCs (mentioned on page.153 AWP and on page.49 Annual Budget) • Low Cost sealing of Omara Atubo Avenue - Omoro Road (found on page.148 AWP and on page.45 Annual Budget) 	2
4	<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the investment projects implemented in the previous FY were completed as per work plan by end for FY. <ul style="list-style-type: none"> o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	<p>There was no evidence adduced to the assessor to confirm that all investment projects implemented in the previous FY were completed as per work plan by end for FY. The assessor wanted to verify this indicator against certificates of investment completion, so as to ascertain the dates upon which the projects implementation were completed</p>	0

5	<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p> <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>There was evidence that all investment projects in the previous FY were completed as per the approved budget. Five sampled projects include:</p> <ul style="list-style-type: none"> • Partial construction of Administration block phase III, under procurement No. OTUK586/WRKS/18-19/00001 Estimated budget was UGX.108,000,000, Actual cost was UGX 109,000,000 (100.9%) • Construction of Ogwete Administration block phase III, under procurement No. OTUK586/WRKS/18-19/00001 Estimated budget was UGX. 120,000,000, Actual Cost was UGX.119,070,305 (99.2%) • Drilling and installation of 05 Deep Boreholes, under procurement No. OTUK586/WRKS/18-19/00003 Estimated budget was UGX. 100,000,000, Actual Cost was UGX 92,465,250 (92.5%) • Completion of a 4 Classroom block at Anyalima P/S, under procurement No. OTUK586/WRKS/18-19/00005 Estimated budget was UGX.56,000,000, Actual Cost was UGX. 55,536,840 (99.2%) • Construction of a 5 Stance Drainable Latrine at Alangi P/S, under procurement No. OTUK586/WRKS/18-19/00007 Estimated budget was UGX. 22,800,000, Actual Cost UGX. 21,905,759 (99.1%) • Construction of a 5 Stance Drainable Latrine at Aliwang P/S, under procurement No. OTUK586/WRKS/18-19/00009 Estimated budget was UGX.22,800,000, Actual Cost was UGX. 21,881,979 (95.9%) <p>Therefore, All investment projects sampled were completed within Max. 15% plus or minus the original budget.</p>	2
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5	<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p> <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>There was no verifiable information to confirm that the LG had budgeted and spent at least 80% on O&M.in the previous FY . The LG did not have an O&M plan or register of assets in need of maintenance and the associated budget and expenditures. Apparently most expenses were on recurrent assets/activities like Vehicle maintenance.</p>	0
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Human Resource Management

6	<p>LG has substantively recruited and appraised all Heads of</p>	<ul style="list-style-type: none"> • Evidence that the LG has filled all HoDs positions substantively: score 3 	<p>The Chief Administrative Officer (CAO) Otuke District, requested the Permanent Secretary (PS) of the Ministry of Public Service (MoPS) to approve the “Adopted Staff Structure” of Otuke District by letter dated 33rd</p>	0
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Departments

Maximum 5 points
on this
Performance
Measure

November, 2016.

The PS approved the adopted structure by letter dated 30th May, 2017; Ref. No. ARC135/306/01.

The structure provided for 9 departments and Heads of Department positions in addition to that of Administration as indicated below:

1. Finance; headed by the Chief Finance Officer
2. Health Services; headed by the District Health Officer
3. Education; headed by the District Education Officer
4. Planning; headed by the District Planner
5. Production and Marketing; headed by the District Production and Marketing Officer
6. Natural Resources; headed by the: District Natural Resources Officer
7. Trade Commerce and Industry; headed by the District Commercial Officer
8. Community Based Services; headed by the District Community Development Officer
9. Works and Technical Services headed by the District Engineer

By the time of the assessment Otuke District had not filled all the HoDs positions substantively. Five (5) positions out of 9 positions of HoDs were filled substantively while 4 positions were occupied by staff appointed by the CAO on assignment of duty.

A review of the personal files of all the HoDs revealed the following appointment details:

1. District Planner: Etil Tom: File No. CR/D/10207, was substantively appointed on 23rd January, 2019 by letter Ref. No. CR/214/3 as directed by DSC Min. No. 84/2018
2. District Health Officer: Dr. Oremo Robert Ojede file No. CR/D/1009; was substantively appointed on 17th May, 2012 by letter Ref. No. CR/D/201 9 as directed by DSC Min.No.100/2012
3. District Education Officer: Otim Peter Ogweng file No. CR/D/10225, was substantively appointed on 23rd January, 2019 by letter CR/214/3 as directed by DSC Min. No. 85/2018
4. District Community Development Officer: Ochen Sylvester: File No. CR/D/10015, was substantively appointed on 1st November, 2018 by letter CR/D/214/3 as directed by DSC Min. No. 57 (iii) 2018
5. District Production and Marketing Officer: Dr. Anyuru Thomas, was substantively appointed on 1st November 2018 by letter ; CR/214/3, as directed by DSC Min. No.

5. Acting District Engineer: James Lawrence Obongo; File No. CR/D/10165, was appointed substantively as a District Water Officer, who was assigned by the CAO, additional responsibilities of acting District Engineer, on 29th August, 2018 by letter Ref. No. CR/106/2

8. Acting Chief Finance Officer: File No. CR/D/10224 was substantively recruited as a Senior Internal Auditor. He was assigned by the CAO, the additional responsibilities of Acting Chief Finance Officer on 31st July, 2018 by letter Ref. No. CR/161/1.

8. Acting District Commercial Officer: Opio Charles; File No. CR/D/10190 was recruited as a substantive Commercial Officer. He was assigned by the CAO, additional responsibilities of acting District Commercial Officer on 23rd January, 2019 by letter CR/156/7.

9. District Natural Resources Officer: Ebong Boniface file no. CR/D/100182 was substantively recruited as a Senior Environment Officer. He was assigned by the CAO, additional responsibilities of acting District Natural Resources Officer on 1st August, 2012 by letter CR/10182.

LG has substantively recruited and appraised all Heads of Departments

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

The Assessor reviewed personal files of all HoDs to establish whether they were all appraised during the previous FY in accordance with the standard MoPs guidelines. It was established that not all HoDs were appraised.

Maximum 5 points on this Performance Measure

Out of the 9 Heads of Department, only 5 were appraised by the CAO during the previous FY, while 2 were not yet due for appraisal as they were recruited later during the FY and two (2) HoDs that were due for appraisal were not appraised.

1. Chief Finance Officer: File No. CR/D/10224: No appraisal documents seen on file for FY 2018/19.

2. District Planner: File No. CR/D/10207: Performance assessment Agreement Form dated 31st July, 2018 on file. No Performance Assessment Report on file.

3. District Health Officer: File No. CR/D/1009: No Performance Assessment Agreement form on file. Performance Assessment Report on file. Appraised by the CAO on 15th August, 2019.

4. District Education Officer: File No. CR/D/10225: No performance Assessment Agreement on file. Performance Assessment Report on file; was appraised by the CAO on 18th August, 2019.

5. District Engineer: File No. CR/D/10165: No Performance Assessment Agreement on file: Performance Assessment Report on file; was appraised by the CAO on 30th August, 2019.

6. District Community Development Officer: File No. CR/D/100015. Performance Assessment Agreement form dated 30th July, 2017 on file; was appraised by the CAO on 30th August, 2019. Performance Assessment Report on file endorsed by the CAO on the same date.

7. District Commercial Officer: CR/D/10190: Not yet due for appraisal. Appointed in June 2019.

8. District Production and Marketing Officer: CR/D/1009: Performance Assessment Agreement form dated 31st September, 2019 on file; was appraised by the CAO on 5th of August, 2019.

9. District Natural Resources Officer: CR/D/100182: No Performance Assessment Agreement form on file; was appraised by the CAO on 30th August, 2019. Performance Assessment Report on file and was endorsed by the CAO on the same date.

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

The CAO made 49 declarations for Vacant Positions to the Secretary DSC including new staff recruitment, internal transfers and promotions, in three batches; on the 5th March 2019 (4 positions), 8th March 2019 (26 positions) and on 8th April 2019 (19 positions)

The Assessor reviewed the DSC minutes with a view to ascertaining whether the DSC considered all the declarations for staff recruitment. The DSC minutes were reviewed with support of the PHRO (*Secretary to DSC was away from station*) but were found to be mixed up, not correctly dated according to the meetings of the DSC and in some instances it was hard to trace the relevant minutes for new appointments, confirmations, transfers and promotions. Notwithstanding that mix up, the Assessor established that:

2. The DSC 370th Meeting (dates of meeting not indicated) considered 22 declarations including for key positions of Chief Finance Officer, District Natural Resources Officer, Principal Human Resources Officer, District Engineer, Physical Planner and Senior Assistant Secretary among others. Decision was taken by the DSC (*PHRO and Assessor failed to trace the pertinent DSC minute in the mixed up minutes*) to run an Advert in the New Vision News Paper of 1st March, 2019 (*copy of advert on file at the Secretary DSC office*).

3. The DSC meeting of 4th April, 2019 to 10th April, 2019, scrutinised the applications and shortlisted 178 candidates for the 22 positions (Assessor and PHRO *could not trace the relevant minute from the mixed up and wrongly filed minutes of the DSC*). The Assessor and the PHRO, accessed a copy of the list of shortlisted candidates endorsed by the Secretary to the DSC and the Chairperson to the DSC

4. DSC meeting of 7th May, 2019 to 14th May, 2019 selected 22 candidates for the various positions as evidenced by individual minute extracts serialised from Min. No, 4.7.5/2019 to minute No. 10.14/15.5/2019. The CAO issued appointment letters to the selected candidates on 1st June, 2019 .

7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for confirmation have been considered: score 1 	<p>The DSC considered all submissions made by the CAO for confirmations of staff. Four (4) submissions were made by CAO to the Secretary DSC and were considered by the DSC as indicated below:</p>	1
	<p>Maximum 4 points on this Performance Measure.</p>		<ul style="list-style-type: none"> • One submission was made on 18th July, 2018 for the confirmation of 1 Education Assistant • Two submissions were made on the 27th September, 2018 for the confirmation of 2 Education Assistants • One submission was made on 10th January 2019, for the Confirmation of an Entomologist 	
			<p>The 365th DSC meeting held on 21st November, 2018, considered the submissions and also cleared a backlog of 30 unconfirmed staff recruited in FY 2016/17 from various departments, as was evidenced by individual department minute extracts; for instance staff in Finance were confirmed under serialised minutes under Min. No. 79/2019; Production and Marketing department under Min. No. 80/2019, Health Department under Min. No. 81/2018 and Education Department under Min. No. 82/2018</p>	
7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for disciplinary actions have been considered: score 1 	<p>CAO submitted 6 cases to the DSC for consideration. Four cases were for 'lifting of interdiction' and 2 cases were for taking Disciplinary action by the DSC as found appropriate.</p>	1
	<p>Maximum 4 points on this Performance Measure.</p>		<p>The 369th DSC meeting held on 13th February, 2019, considered the cases. Interdiction of staff was lifted under minute number 7/2019, while disciplinary action was taken (staff issued with 1st warning letters and to be observed for a period of 6 months) against the 2 staff under minute number 8 (a) and Minute Number 8 (b) /2019.</p>	

8	<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment: score 3 	<p>41 out of 43 newly recruited staff during FY 2018/19 accessed the Salary payroll within two months of appointment, except 2 staff whose positions had not yet been harmonised with the standard MoPS position titles and codes - the two accessed the August Payroll). All staff were appointed effective 1st June 2019 and 41 accessed the Salary Payroll of July 2019 as reflected by their IPPS numbers indicated below:</p> <ol style="list-style-type: none"> 1. Okello Bernard: IPPS No. 1042882 2. Omar Isaac: IPPS No. 1042759 3. Apio Eunice: IPPS No. 1042782 4. Ojuka Daniel: IPPS No. 1042863 5. Akii Kennedy Elly: IPPS No. 1042842 6. Kyeyune Patrick: IPPS No. 1042859 <p>Obada Bamudu: IPPS No. 1042796 and Auma Racheal accessed the payroll in August because MoPS had to first harmonised their positions with the standard MoPS position titles and codes.</p>	0
8	<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100% of the staff that retired during the previous FY have accessed the pension payroll not later than two months after retirement: score 2 	<p>No staff retired during the FY 2018/19. A review of the staff list by the assessor together with the PHRO to establish the dates of birth and appointment dates to establish whether there were staff that were due for appraisal revealed that there were no staff that were due for retirement in the FY 2018/19.</p>	2

Revenue Mobilization

9	<p>The LG has increased LG own source revenues in the last financial year compared to the one before the previous financial year (last FY year but one)</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • If increase in OSR (excluding one/off, e.g. sale of assets) from previous FY but one to previous FY is more than 10 %: score 4. • If the increase is from 5% - 10 %: score 2. • If the increase is less than 5 %: score 0. 	<p>Total of OSR for FY 2017/2018 = UGX 130,065,734 page 8 of the Audited final accounts</p> <p>Total of OSR for FY 2018/2019 = UGX 149,254,765 Page 13 draft Final Accounts</p> <p>Increase= 149,254,765-130,065,734= UGX 19,189,031</p> <p>Percentage= 19,189,031 /130,065,734 x 100= 15%.</p>	4
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10	<p>LG has collected local revenues as per budget (collection ratio)</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realisation) is within +/- 10 %: then score 2. If more than +/- 10 %: Score 0. 	<p>Total Local Revenue Planned/Budgeted = UGX 149,794,000</p> <p>Actual Total Local Revenue collected during FY 2018/2019 = UGX 149,254,765</p> <p>Performance=149,254,765/149,794,000 X 100= 99%</p>	0
11	<p>Local revenue administration, allocation and transparency</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2 	<p>Local Revenue collections subjected to sharing with LLGs:</p> <p>Local Service Tax = UGX 38,495,960+ Market dues= UGX 54,910,000</p> <p>Total = UGX 93,405,960</p> <p>Amount of local revenue remitted to LLGs as per payment vouchers and receipts from LLGs=33,343,360</p> <p>Status of compliance: 33,343,360/93,405,960 x 100=36% against 65%.</p> <p>Examples of transfer:</p> <p>1-Transfer to Ogor S/C</p> <p>Voucher No. 0419</p> <p>Cheque No. 927</p> <p>Amount: 1,774,890</p> <p>Payment date:19th December, 2018</p> <p>Source of revenue: Tender for market</p> <p>2-Transfer to Okwang S/C</p> <p>Voucher No. 0427</p> <p>Cheque No. 000985</p> <p>Amount: UGX 1,629,822</p> <p>Payment date:17th January, 2019</p> <p>Source of revenue: LST</p> <p>3-Transfer to Otuke T/C</p> <p>Voucher No. 0422</p> <p>Cheque No. 000978</p> <p>Amount: UGX 4,000,000</p> <p>Payment date:7th January, 2019</p> <p>Source of revenue: LST</p>	0

11	Local revenue administration, allocation and transparency	<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: UGX 18,495,000 Annex iii Trial balance</p> <p>Basing on Local Government Act CAP 243, First schedule, Section 4:</p> <p>Computation: $18,495,000/130,065,734 = 14\%$</p> <p>Examples of payments relating to the above:</p> <p>1-Payment of full Council meeting.</p> <p>Voucher No.1017</p> <p>Cheque No.1309-1320</p> <p>Amount: UGX 2,016,000</p> <p>Payment date: 29th May, 2019</p> <p>2-Payment of full Council meeting.</p> <p>Voucher No.0825</p> <p>Cheque No.1254</p> <p>Amount: UGX 2,016,000</p> <p>Payment date: 5th March, 2019</p> <p>3-Payment of full Council meeting.</p> <p>Voucher No.0468</p> <p>Cheque No.1142</p> <p>Amount: UGX 2,016,000</p> <p>Payment date: 18th December, 2019</p>	2
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Procurement and contract management

12	The LG has in place the capacity to manage the procurement function	<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 DLG had filled the position of a Senior Procurement Officer(Achiro Juliet Ekut) who was appointed substantively on 1st February 2018 as directed by DSC Min 87(I)2018,CR/214/3 signed by CAO on 23 January 2019.</p> <p>The DLG had filled the position of a Procurement Officer(Ojok Bernard Benjamin) who was substantively appointed on 1st February 2019 as directed by DSC Min 87(II)2018,CR/214/3 signed by CAO on 23rd January 2019.</p>	2
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The LG has in place the capacity to manage the procurement function

Maximum 4 points on this performance measure.

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

The TEC produced and submitted reports to the Contracts Committee. The appointed Evaluation Committees for the different procurements during FY 2018/2019 produced evaluation reports with technical and clear recommendations to the Contracts Committee for instance;

• The Evaluation report for Procurement, Construction of a 4-classroom block at Anyalima Primary school Ref No: OTUK586/WRKS/18-19/00005 was produced and endorsed by the evaluation members on 22nd November 2018. The Evaluation Committee recommended M/s Jenaco as the best evaluated bidder

• The Evaluation report for Procurement, Partial Construction of administration block Ref No: OTUK586/WRKS/18-19/00001 was produced and endorsed by the evaluation members on 22nd November 2018. The Evaluation Committee recommended M/s Bygon Enterprises Ltd as the best evaluated bidder.

• The Evaluation report for Procurement, Construction of ogwette administration block Ref No: OTUK586/WRKS/18-19/00002 was produced and endorsed by the evaluation members on 22nd November 2018. The Evaluation Committee recommended M/s Amen Enterprise Ltd as the best evaluated bidder.

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

Maximum 4 points on this performance measure.

- Evidence that the Contracts Committee considered recommendations of the TEC and provide justifications for any deviations from those recommendations: score 1

The Contracts Committee (CC) considered the recommendations of the TEC during the award of contracts during the FY 2018/19. There were no deviations from those recommendations, for examples;

- The TEC recommended to the CC that M/s Jenaco Limited as the best evaluated bidder and therefore be awarded the Contract for completion of a 4 classroom block at Anyalima P/S Ref No :OTUK586/WRKS/18-19/00005 at UGX 55,536,840. The contract was awarded during its meeting held on 29th January 2018 under min 29TH/11/2018 MIN 5CC.
- The TEC recommended to the CC that M/s Bygon Enterprises Ltd as the best evaluated bidder and therefore be awarded the Contract for partial construction of Administration block phase III, Ref No: OTUK586/WRKS/18-19/00001 at UGX 108,725,670. The contract was awarded during its meeting held on 29 January 2018 under min 29TH/11/2018 MIN 5CC.
- The TEC recommended to the CC that M/s Amen Enterprises Limited as the best evaluated bidder and therefore be awarded the Contract for construction of Ogwette administration Block, Ref No: OTUK586/WRKS/18-19/00002 at UGX 119,070,305. The contract was awarded during its meeting held on 29 January 2018 under min 29TH/11/2018 MIN 5CC
- The TEC recommended to the CC that M/s Ebowa Investment Ltd as the best evaluated bidder and therefore be awarded the Contract for Drilling and installation of 5 boreholes, Ref No: OTUK586/WRKS/18-19/00003 at UGX 92,465,250. The contract was awarded during its meeting held on 29 January 2018 under min 29TH/11/2018 MIN 5CC.

The LG has a comprehensive Procurement and Disposal Plan covering infrastructure activities in the approved AWP and is followed.

Maximum 2 points on this performance measure.

- 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

a) The procurement and disposal plan covers all infrastructural projects for the current FY 2019/20 in the annual work plan and signed by CAO on 1st August 2019. Some of the infrastructural projects included;

- i. Construction of a 5 stance drainable at Orum primary school s on page 2 of the PDP and page 61 of the AWP
- ii. Renovation of staff house at Atangwata HC III appears on page 1 the PDP and on page 50 of the AWP
- iii. Completion of 3 classroom block at Anyalima primary school appears on page 1 of the PDP and page 60 of the AWP

b) The LG also made procurements in previous FY as per plan submitted to the Executive Director PPDA Kampala signed by CAO received by PPDA on 5th October 2018. Procurements include;

Completion of a 4 classroom block at Anyalima P/S, appears on page 3 of the PDP and page 138 of the AWP

Completion of Martenity ward at Ogwette HC III appears on Page 2 of the PDP FY 2018/19 and 132 of the AWP

Construction of 5 stance drainable latrine at Aliwang primary school at appears on page 3 of PDP and page 138 of the AWP

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

Maximum 6 points on this performance measure.

- For current FY, evidence that the LG has prepared 80% of the bid documents for all investment/infrastructure by August 30: score 2

By 30th August, 2019, the PDU had not prepared 80% of the bid documents for all the infrastructure projects for FY 2019/20 instance;

15 infrastructural projects were initiated on 7th August 2018 by user departments, 11 projects awaiting approvals, and 1 project had started for instance, Partial construction of Administration block phase IV at UGX 221,789,300 funded by DDEG on Page 1 of the procurement plan.

Therefore the LG for the current year had prepared 73% of all investments, infrastructure by 30th August 2018 that were awaiting approval from the Contracts Committee. The term of the contracts committee had expired and was awaiting renewal from CAO.

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

Maximum 6 points on this performance measure.

- For Previous FY, evidence that the LG has an updated contract register and has complete procurement activity files for all procurements: score 2

The updated contract register for previous FY for procurement activities was not seen by the assessor.

The contract register had been taken to the external auditors in Kampala and could not be accessed by the assessment team

14	<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects): score 2. 	<p>For previous FY, the LG adhered to procurement thresholds ie above UGX 50,000,000 for open domestic bidding and UGX Below 50,000,000 for selective bidding. For works; as it undertook various procurements;</p> <p>Completion of a 4-classroom block at Anyalima P/S Ref no: OTUK586/WRKS/18-19/00005 at UGX 55,536,840. This project was procured through the open domestic bidding method as selected by the CC on 22 November 2018 under min 06/10/2018 and advertised in the New vision Newspaper on 16th October 2018</p> <p>Partial construction of Administration block phase III Ref no: OTUK586/WRKS/18-19/00001 at UGX 108,725,670. This project was procured through the open domestic bidding method as selected by the CC on 22 November 2018 under min 06/10/2018 and advertised in the New vision newspaper on 16th October 2018</p> <p>Construction of Ogwette administration Block at Ogwette Sub county, Ref No: OTUK586/WRKS/18-19/00002 at UGX 119,070,305. This project was procured through the open domestic bidding method as selected by the CC on 22 November 2018 under min 06/10/2018 and advertised in the New vision newspaper on 16th October 2018</p> <p>Drilling and installation of 5 boreholes, Ref No: OTUK586/WRKS/18-19/00003 at UGX 92,465,250. This project was procured through the open domestic bidding method as selected by the CC on 22 November 2018 under min 06/10/2018 and advertised in the New vision newspaper on 16th October 2018</p> <p>Construction of a 5-stance drainable latrine at Alangi primary school, Ref No: OTUK586/WRKS/18-19/00009 at UGX 21,881,979. This project was procured through the selective bidding method as selected by the CC on 22 November 2018 under min 06/10/2018 and advertised in the New vision newspaper on 16th October 2018</p>	2
15	<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all works projects implemented in the previous FY were appropriately certified – interim and completion certificates for all projects based on technical supervision: score 2 	<p>There were no certified interim and completion certificates availed to the assessor during the assessment.</p>	0

15	<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all works projects for the current FY are clearly labelled (site boards) indicating: the name of the project, contract value, the contractor; source of funding and expected duration: score 2 	<p>There was one project running for the current FY, under implementation/construction. E.g. Partial construction of Administration block phase IV. The project had a sideboard showing name of project, contractor, and source of funding but lacked contract value clearly labelled on sideboard.</p>	0
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Financial management

16	<p>The LG makes monthly and up to-date bank reconciliations</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG makes monthly bank reconciliations and are up to-date at the time of the assessment: score 4 	<p>The district uses a computerized IFMS accounting system for preparation of the bank reconciliation statements.</p> <p>Reviewed bank reconciliation statements clearly printed out.</p> <p>October reconciliation:</p> <p>A/C Name: Otuke district Treasury Single Account.</p> <p>A/C No. 005860528000000</p> <p>Bank: Bank of Uganda.</p> <p>General Ledger date: 30th October,2019</p> <p>Closing balance = 0</p> <p>Reconciliation was done for the month of October only because the Cashier had not made entries to the IFMIS for July, August & September</p>	0
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The LG made timely payment of suppliers during the previous FY

Maximum 2 points on this performance measure

• 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.

The district made timely payments of suppliers during FY 2018/2019 without overdue bills beyond 2 months. Sampled payments are:

1-Payment for the construction of a 5 stance latrine at Amackide P/S by Amaju Plumbing & Engineering Works Ltd at UGX 22,287,427.

Contract date: 27th December,2018

Payment certificate date: 9th April,2019

Payment date: 9th April,2019

Voucher Sn. 0310

Cheque No. 000436

Amount: UGX 21,017,043

2-Payment for the supply of soya bean seeds, Rice, Fertilizers, Tape measures, Planting lines, Rhizobia by Ogoloso Co. Ltd at UGX 28,502,000

Contract date: 11th March,2019

Delivery Note date:25th April,2019

GRN Sn. 0408

Payment date: 6th May,2019

Cheque No. 0006000

Amount: UGX 26,791,880

3-Payment for completion of 4 class room block at Anyalima P/S by Jenaco Co. Ltd at UGX 55,536,840.

Contract date: 27th December,2018

Payment certificate date: 3rd April,2019

Payment date: 10th April,2019

Voucher No. 0309

Cheque No. 000439

Amount: UGX 43,923,939

18	<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG has a substantive Senior Internal Auditor: 1 point. • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>The district has a substantive District Internal Auditor (Senior) in the names of: Kamala Francis.</p> <p>File No: CR/D/10224</p> <p>DSC minutes No.57(11)/2018</p> <p>Appointment date: 1st November,2018 as per CAO's stamp</p> <p>Ref: CR/214/3</p>	1
18	<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>All the 4 quarterly Internal Audit reports were presented during assessment. These are per dates below, referenced as CR/250/3</p> <p>Quarter 1 14th November,2018</p> <p>Quarter 2 14th February,2019</p> <p>Quarter 3 24th May,2019</p> <p>Quarter 4 28th August,2019</p>	2

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

Maximum 6 points on this performance measure.

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

All the above reports were referenced as CR/250/3 were produced as indicated below;

Quarter 1 16th November,2018

Quarter 2 14th February,2019

Quarter 3 24th May,2019

Quarter 4 30th August,2019

Copies of the reports were submitted to the following offices as per delivery book.

i) Chairperson of Council;

ii) Internal Auditor General;

iii) RDC;

iv) OAG;

v) Chairperson LG PAC;

vi) Chairperson of Finance Committee;

vii) CAO;

CFO;

Status of implementation:

1- District Internal Auditor letter dated 29th April,2019; 23rd January,2019; 30th October,2019; cc CAO & file to all Heads of departments, Head Teachers, Senior Assistant Secretaries, Sub- County Chiefs demanding for response to audit queries.

2-Letter of response to audit query by the district Surveyor on unaccounted Ref: CR/551/2 dated 9th September,2019, received and cleared by the District Internal Auditor on 11th September,2019

3- Letter of response to audit query by the district Physical Planner on unaccounted Ref: CR/202/2 dated 10th September, 2019, received and cleared by the District Internal Auditor on 11th September, 2019.

4-Response to audit queries for Q3 & Q4 dated 10th September, 2019 by the Senior Community Development Officer, received and cleared by the District Internal Auditor on 11th September,2019.

18	<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that 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>Information were provided to Council & LG PAC on Internal Audit Queries raised during FY 2018/2019 and PAC actions as follows:</p> <p>1-PAC report for siting held on 19th December,2018 discussed report for Q1 and some of the queries dropped are:</p> <p>-Voucher No. 1854 amount UGX 510,000</p> <p>Voucher No. 1095 amount UGX 2,058,300</p> <p>Voucher No. 1915 amount UGX 2,000,000</p> <p>Voucher N0. 859 amount UGX 2,200,000</p> <p>2-PAC sitting from the 11th -13th September 2019 that handled report for quarter 3 & 4 also dropped the following queries among others:</p> <p>Voucher No. 875 amount UGX 18,710,000</p> <p>Voucher No. 1431 amount UGX 4,447,000</p> <p>Voucher No. 1370 amount UGX 3,690,000</p> <p>PAC also recommended that the money on voucher No.836 & 840 should be deposited in the DLG bank A/C by the responsible offices and proof provided.</p>	1
19	<p>The LG maintains a detailed and updated assets register 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>Although the DLG maintained a manual Assets registers, a review of the registers revealed that not all the details were recorded in the register as required.</p> <p>Examples;</p> <p>1-Motor vehicle No. LG0173-26.</p> <p>2- UAJ 9624 has no records of its Engine and Chassis Nos.</p>	0
20	<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>The annual audit report by Auditor General to Parliament for FY 2018/19 communicated an Unqaulfied opinion on for Otuke DLG.</p>	4

Governance, oversight, transparency and accountability

21	<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>The Council met and discussed service delivery related issues. This was evidenced by the minutes of the District Council meeting as follows:</p> <p>Council meeting held on 6th September, 2018, under Minute No.(6a)/9/2018. The district chairperson highlighted the activities/achievements, and challenges in all key sectors/departments including issues of peace, security and conflict mitigation vital for stability of the community.</p> <p>Issues of low revenue collection, lack of incentives and capacity to enhance local revenue and completion of phase II construction of the main district administration block. among others.</p> <p>Council meeting held on 12th March, 2019, under minute No.6 (a)/12/03/2019. The council chairperson presented draft budget for FY 2019/2020, with emphasis on transport, health and education among others. The budget priorities for 2019/2020 included: Education 36.4%, administration 18.7%, health 15.6%, production 9.5%, Roads 7.0% and Community Based Services 5.4% among others.</p> <p>Council meeting held on the 29th May, 2019 under minute No. 6(b)/29/5/2019. Council presented and discussed which revolved on to increase planning information (awareness) by 50% by 2020, and increase to family planning services by 30% BY 2020 among others.</p> <p>under minute No.7/29/5/2019, council presented and discussed approval of the draft budget estimates for 2019/2020</p> <p>Council meeting held on 2nd October, 2019 under minute No.v6(a)/02/10/2019, the district chairperson highlighted that:</p> <p>The District is now under IFMS and no more use of cheques, Staffing levels raised from 46.2% to 62.4% for LG staff and to 84.4% for health and primary education sector, and the decentralization of pension processing to the district was completed on 21st August, 2019.</p>	2
22	<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that LG has designated a person to coordinate response to feed-back (grievance/complaints) and responded to feedback and complaints: score 1. 	<p>There was evidence of a Letter dated 2nd July, 2018 Ref No. CR/210/1. Assigning Mr. Otim Alex, Assistant Chief Administrative officer/ Ag. Principal Assistant Secretary as the person in charge of grievance handling, and Other duties; handle legal matters, coordinating local courts, peace and conflict resolutions, human rights and disaster management in all departments/ Lower Local Government.</p> <p>His office had not received any complaint so far.</p>	1

22	<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • The LG has specified a system for recording, investigating and responding to grievances, which should be displayed at LG offices and made publically available: score 1 	<p>There was no verifiable evidence presented by the DLG to show that they had specified system of recording, investigating and responding to grievances. What the focal person mentioned was that some cases were resolved verbally through counseling while others were sometimes referred to the relevant authorities to handle the cases.</p>	0
23	<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>Evidence that the LG has published:</p> <ul style="list-style-type: none"> • The LG Payroll and Pensioner Schedule on public notice boards and other means: score 2 	<p>There was a payroll and pension schedule displayed/pinned on the public notice board and also in the record files for the month of November: Dated 25th November, 2019 (1st November, 2019-25th November, 2019) was displayed..</p>	2
23	<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that the procurement plan and awarded contracts and amounts are published: score 1. 	<p>There was evidence of a procurement plan and awarded contracts and amount presented by the DLG. For example, the procurement plan dated 7th August, 2018 submitted to PPDA on 13th August, 2018. The planned projects among others include;</p> <ul style="list-style-type: none"> • Partial Construction of administrative block phase III, Proc No. OTUK586/WRKS/18-19/00001 under open domestic bidding at contract price UGX 108,000,000 contracted to M/s Bygon Enterprise Ltd. • Construction of Ogwete administrative block, Proc No. OTUK586/WRKS/18-19/00002 under open domestic bidding at contract price UGX 119, 070,305 contracted to M/S Amen Enterprise Ltd. 	1
23	<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>There was no evidence to be verified as to whether the results were published for public view and access.</p> <p>he DLG however did present the local government performance assessment 207/18 report Card of Otuke District signed on 27th June, 2018 by Hon. Mary Karooro Okurut (MP). Minister in charge general duties office of the prime minister. A copy was found in the records file.</p>	0

24	<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>There was no sufficient evidenced reviewed by the assessor that LG communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY. The DLG score zero because the assessor expected to at least verify a minimum of 3 Circulars</p> <p>There was only one Circular that was verifiable as evidenced by:</p> <p>The letter dispatched to the LLGs, dated 16th July, 2019, Ref No. DSC/194/2019/01: Circular Letter No. 1 of 2019: Guidance on interdiction of employees of the town councils and town boards.</p>	0
24	<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that LG during the previous FY conducted discussions (e.g. municipal urban fora, barazas, radio programmes etc.) with the public to provide feed-back on status of activity implementation: score 1. 	<p>The LG adduced evidence to show that they conducted discussions with the public to provide feed-back on status of activity implementation. For example:</p> <p>There was a meeting held as per the letter dated 5th May, 2019, Ref No. CR/202/6, at the district main council hall. On discussion of Youth Livelihood Programme (YLP) and Uganda women entrepreneurship programme (UWEP), and in attendance were the community members and various key stakeholders that included:</p> <ul style="list-style-type: none"> • The Minister for Gender Labour and Social Development • The District Chairperson • The District vice chairperson • The Secretary Community Based Services • Uganda women empowerment programme- MGLSD • The, YLP-MGLSD among others. <p>Report dated 8th February, 2019. No. CR/D/10319 at Otuke Town Council hall (campaign for children to go back to school, retention of children at school and completion of the primary cycle, and to improve performance in PLE). Participants included: RDC, CAO, DHO DAO, DEO, DISTRICT-ENGINEER, Sub county chiefs, parish chiefs, religious, public LCs the Community.</p> <p>Similar meeting was held on 12 February, 2019 under Ref No. CR/D/10319 at Okwongo primary school Adwari Subcounty.</p>	1

Social and environmental safeguards

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

Maximum 4 points on this performance measure.

• Evidence that the LG gender focal person and CDO have provided guidance and support to sector departments to mainstream gender, vulnerability and inclusion into their activities score 2.

The SCDO/ Gender focal person, and CDO provided guidance and support to sector departments to mainstream gender through the following;

- Report on supportive guidance to the HODs and CDOs on gender mainstreaming into the sector plans conducted on 13th December, 2018 and signed by gender officer (Odongo Moses Okwir) on 14th December, 2018, 34 participants were in attendance including 6 Females.
- Annual progress report 2018/2019, community based services dated 4th July, 2019 issues raised were; affirmative action be taken to ensure competent women participate in active leadership position, compiled by DCDO.
- Report on dissemination of gender mainstreaming guidelines to primary schools dated 24th May, 2019.
- Report on commemoration of 16 days of activism against Gender based Violence (GBV) from 25th November to 10th December, 2018, addressed raising awareness at the local level about GBV, mobilizing resources for action to address GBV/HIV/AIDS signed by DCDO.

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

Maximum 4 points on this performance measure.

• Evidence that the gender focal point and CDO have planned for minimum 2 activities for current FY to strengthen women's roles and address vulnerability

and social inclusions and that more than 90 % of previous year's budget for gender activities/ vulnerability/ social inclusion has been implemented: score 2.

The CDO and Gender Focal person had planned activities for current FY 2019/20 which included;

- Workshop on gender budgeting and planning for DPTC and gender focal point persons page 6 Otuke LG AWP and budget FY 2019/20.
- Community mobilisation and sensitisation in reproductive health and HIV/AIDS
- Gender mainstreaming meetings and response to GBV Issues on page 6 of the Otuke LG AWP and budget FY 2019/20.

100% of previous year's budget (UGX 1,324,000) was spent for activities/vulnerability and social inclusion for activities and operation funds such as;

- Payment for support guidance to HODs and GFP persons ,voucher No 001246,amount UX 1,324,000 dated 11th December, 2018

26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that 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>There was environmental screening or EIA carried out for activities, projects and plans and mitigation measures were planned in the LG for instance;</p> <ul style="list-style-type: none"> • Drilling and installation of deep borehole at Neniwangi village, Anepmoroto parish, orum sub county signed and stamped by senior environment officer on 22nd March 2019 • Drilling and installation of deep borehole at Aparako village, Amugo parish, ogwette sub county signed by senior Environment Officer on 14th March 2019 • Drilling and installation of deep borehole at at Okwii B Village, Olwonga parish, Okwang sub county signed on 19 March 2019. <p>However, there were no screening forms under health and education department.</p> <p>There was environmental and social management plan (ESMP) showing project phase, negative environmental and social impact, mitigation measure, implementing agency, monitoring agency frequency cost</p>	1
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG integrates environmental and social management and health and safety plans in the contract bid documents: score 1 	<p>There were no environmental and social management plans and health and safety plans cited in the contract bid documents for instance;</p> <p>Construction of staff houses at Alango Health Center II</p> <p>Partial Construction of administration block/council block phase III</p> <p>Construction of 5 stance drainable latrine at Alangi PS</p>	0
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all projects are implemented on land where the LG has proof of ownership (e.g. a land title, agreement etc.): score 1 	<p>There was no proof of ownership of land by the LG through land titles or land agreements availed to the assessor for instance;</p> <p>Partial Construction of administration block/council block phase IV</p> <p>Construction of 5 stance drainable latrine at Alangi PS</p> <p>Construction of staff houses at Alango HC III</p> <p>Construction of 4 stance VIP latrine at Otuke market</p>	1

26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO: score 1 	<p>Environmental and Social Mitigation Certification forms were signed by the environment officer without the CDO for instance;</p> <ul style="list-style-type: none"> • Drilling and installation of deep borehole at Neniwangi village, Anepmoroto parish, orum sub county signed by Senior Environment Officer on 5th may 2019 • Drilling and installation of deep borehole at Aparako village, Amugo parish, ogwette sub county signed by senior environment officer on 5 may 2019 	0
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the contract payment certificated includes prior environmental and social clearance (new one): Score 1 	<p>The contract payment certificates including prior environmental and social clearance was not seen by the Assessment team for instance;</p> <p>Drilling and installation of deep borehole at Neniwangi village, Anepmoroto parish, orum sub county</p> <p>Construction of staff houses at Alango HC III</p> <p>Construction of 5 stance drainable latrine at Alangi PS</p> <p>Construction of 4 stance VIP latrine at Otuke market</p>	0
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. Score: 1 	<p>Monthly report, including (a) completed checklists (b) deviations signed by environmental officer could not be traced during time of assessment by the assessment team.</p>	0

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management				
1	<p>The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has budgeted for a Head Teacher and minimum of 7 teachers per school (or minimum a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>A review of the final approved work plan for Otuke DLG vote 586, FY 2019/20, page 28, (generated on 18/7/2019) indicated a wage bill provision of UGX 3,410.822,000, budgeted for 527 P/S teachers for 45 primary schools with enrolment of 37,067 pupils. Implying that Otuke LG education department had planned and budgeted for a head teacher per school and a teacher per class. i.e. 45 head teachers, and 482 teachers.</p>	4

The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)

Maximum 8 for this performance measure

- 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

The District has deployed a minimum of a head teacher and a teacher per class as per the minimum requirement.

A review of the staff deployment list in DEOs office as at 1st July, 2019 for FY 2019/2020, revealed evidence that the department operated with a teaching staff of 546 teachers, in 45 schools, i.e. 45 head teachers, and 501 teachers. For example;

Aliwanga P.7 school had a head teacher and 19 teachers.

Aleri P.7 school had a head teacher, and 11 teachers.

Orum P.7 school had a head teacher and 14 teachers.

Amin-tengo P.7 school had a head teacher and 15 teachers.

Okum P.7 school had a head teacher 11 teachers.

Anepmoroto P.7 school had a head teacher and 16 teachers.

Alangi P7 schools had a head teacher and 12 teachers, among others.

In addition, the assessor sampled 5 schools for visiting to verify whether all schools had a teacher per class and a head teacher per school as was reviewed in the staff lists. The results indicated compliance to the minimum standards as verified (on the ground).

Aliwanga P.7 school had a head teacher and 19 teachers with enrolment of 1113 pupils

Anepmoroto P.7 school had a head teacher and 15 teachers with enrolment of 1370 pupils

Alangi P.7 school had a head teacher and 11 teachers with enrolment of 762 pupils.

Okum P7 school had a head teacher and 11 teachers with enrolment of 854 pupils.

All results above confirm that the district had deployed 45 head teachers and 501 teachers.

2	<p>LG has substantively recruited all primary school teachers where there is a wage bill provision</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has filled the structure for primary teachers with a wage bill provision <ul style="list-style-type: none"> o If 100%: score 6 o If 80 - 99%: score 3 o If below 80%: score 0 	<p>The structure for Primary schools' teachers for Otuke LG with a wage bill provision of UGX 3,410,821,544 provides for 527 teachers, however, the actual number of teachers filled was 546 which constitute 103% of the teachers recruited.</p> <p>On analysis; $(546/527) * 100 = 103\%$, implying that the education department is operating with a wage deficit of 3%</p>	6
3	<p>LG has substantively recruited all positions of school inspectors as per staff structure, where there is a wage bill provision.</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has substantively filled all positions of school inspectors as per staff structure, where there is a wage bill provision: score 6 	<p>The structure for Primary schools' teachers for Otuke LG with a wage bill provision of UGX 3,410,821,544 provides for 527 teachers, however, the actual number of teachers filled was 546 which constitute 103% of the teachers recruited.</p> <p>On analysis; $(546/527) * 100 = 103\%$, implying that the education department is operating with a wage deficit of 3%</p>	6
4	<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • Primary Teachers: score 2 	<p>There was evidence at the department for submitting the recruitment plan for 2019/2020 to CAO on 3rd May, 2019. The plan indicated 1 vacant post of inspector of schools, 2 vacant posts of Head teacher, 45 vacant posts of deputy head teachers, and 59 posts of education assistants, and 4 posts of senior education assistants.</p>	2
4	<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • School Inspectors: score 2 	<p>Only one positions of Inspector of schools is now filled up as per the approved structure due to lack of wage as mentioned above (PM.3).</p>	0

Monitoring and Inspection

5	<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p> <p>Maximum 6 for this performance measure</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • 100% school inspectors: score 3 	<p>The Inspectors of Schools at Otuke district was appraised by the DEO during FY 2018/19. A review of the personal file of Mr Akwar Markdonald- File No. CR/214/3- the Inspector of Schools; indicated that the Inspector was appraised on 30th July, 2019 using the PS Form 5. The Performance Assessment Form was endorsed by the CAO on the same date.</p>	3
5	<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p> <p>Maximum 6 for this performance measure</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • Primary school head teachers <ul style="list-style-type: none"> o 90 - 100%: score 3 o 70% and 89%: score 2 o Below 70%: score 0 	<p>There are 45 primary Schools in Otuke District. The Assessor was presented with 45 personal files of Head teachers from which he took a sample of 10 files for review to ascertain whether all Head teachers sampled were appraised for Calendar year 2018.</p> <p>The review revealed that out of the 10 files sampled, 9 (constituting 90%) heads teachers were appraised by the sub-county chiefs in witness of the Chairmen school management committee during the previous Calendar Year. While some files contained appraisal documents for calendar year 2018, others were missing and had no Appraisal Reports for Calendar year 2017 as well. Details of appraisal are indicated below:</p> <ol style="list-style-type: none"> 1. Ejang Berna: CR/D/10832-Arimitenyo Primary School was appraised by the Subcounty Chief in witness of the Chairman School Management Committee on 22nd January, 2019. Appraisal Report was endorsed by the DEO on 23rd January, 2019. 2. OKuk Abal Emma: CR/D/10834- Alirang Primary School, was appraised by the Subcounty Chief, witnessed by the Chairman School Management Committee on 22nd January, 2019. The Appraisal Report was endorsed by the DEO on 5th March 2019. 3. Okullo Martin: CR/D/10830- Ikwee Primary School, was appraised on 11th February, 2019 by the Sub county Chief witnessed by the Chairman School Management Committee. Appraisal Report was signed by the DEO on 11th February, 2019. 4. Odong Tom Felix: CR/D/10770- Okeremamoni Primary School, No appraisal documents were on file for Calendar year 2018. 5. Odinga Jasper- Ocio Primary School was appraised on 21st December, 218 by the Sub county Chief in witness of the Chairman School Management Committee. The Appraisal Report was endorsed by the DEO on 21st December, 2018 6. Achen Joyce.O.N.: CR/D/10845 was appraised on 2nd 	3

February, 2019 Sub county Chief in witness of the Chairman School Management Committee. The Appraisal Report was endorsed by the DEO on the same date.

7. Ogal Moses: CR/D/10891- Olilim Primary School was appraised on 24th September, 2019 and the Appraisal Report was endorsed by the DEO on the same date

8. Ogwal Charles: CR/D/ 1085- Amon Primary school was appraised by the Sub county Chief witnessed by the Chairperson School management Committee on 11th February, 2019 and the Appraisal Report was endorsed by the CAO 23rd February 2019.

9. Omach Faustine: CR/D/10848- Oget Primary school, was appraised on 8th January, 2018 by the Sub county Chief, witnessed by the Chairman School Management committee. The Appraisal Report was endorsed by the DEO on the same date.

10. Obot James: CR/D/10841- Aleri Primary School, was appraised on 15th January, 2019 by the Sub county Chief witnessed by the Chairman School Management Committee The Appraisal Report was endorsed by the DEO on the same date.

$$9 \times 100$$

$$10 = 90\%$$

6

The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools

• 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

There was no evidence availed during the time of assessment that LG Education department had explained and communicated circulars guidelines, and policies, issued by the national level in FY 2018/2019 to schools

0

Maximum 3 for this performance measure

6

The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools

• 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

There was no evidence to the LG Education department held meetings with primary school head teachers explain and sensitize on the guidelines, policies, circulars issued by the national level

0

Maximum 3 for this performance measure

The LG Education De- partment has effectively inspected all registered primary schools ²	<ul style="list-style-type: none"> • Evidence that all licenced or registered schools have been inspected at least once per term and reports produced: 	<p>Evidence adduced from reviewing inspection reports indicated that the district operates 45 government aided schools, and 17 private and community registered P/schools, totalling to 62 schools.</p> <p>Term I, inspection reports on 22nd March, 2019 indicated 51 out 62 schools were inspected.</p> <p>Term II 2019 indicated 51 out of 62 schools inspected. (this report was not yet printed but viewed as a soft copy from the laptop)</p> <p>Term III 2018, indicated 51 out of 62 schools inspected</p> <p>The Analysis on average: $(51/62)*100 = 82\%$</p> <p>Therefore, the inspection reports indicated 82% coverage; while, results from schools visited to verify Inspection, indicated the following results;</p> <ol style="list-style-type: none"> 1. Aliwang P/S Term 1 on 4th February 2019; term 2 was inspected on 17th July, 2019; and Term III on 29th September, 2018 = 3/3 2. Anepmoroto P/S Term 1 was inspected on 25th February 2019; Term 2 inspected on 17th July, 2019; Term 3 was inspected on 22nd October 2018 = 3/3 3. Alangi P/S Term 1, was inspected on 20th February, 2019; Term 2 was inspected on 29th May, 2019; Term 3 was inspected on 24th October 2018; = 3/3 4. Okum P. school term 1, was inspected on 4th April, 2019; then term 2 was inspected on 9th July 2019; while term 3 inspection was on 15th September 2018 = 3/3 <p>Inspection analysis (3/3, 3/3, 3/3, 3/3) implied that 4 out of 4 schools visited were inspected at least once per term = $4/4*100=100\%$</p> <p>Therefore was 82% inspection coverage from reports and 100% inspection coverage from sampled schools visited.</p> <p>Overall average is = 91%</p>
Maximum 12 for this performance measure	<ul style="list-style-type: none"> o 100% - score 12 o 90 to 99% - score 10 o 80 to 89% - score 8 o 70 to 79% - score 6 o 60 to 69% - score 3 o 50 to 59 % score 1 o Below 50% score 0. 	

LG Education department has discussed the results/ reports of school inspec- tions, used them to make recommendations for corrective actions and fol- lowed recommendations	<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>There was evidence that school inspection reports were discussed and used to make recommendations for corrective actions at the education department as was observed below;</p> <p>A review of School inspection report dated 12th March, 2019, highlighted general findings about the weakness in Otuke P/schools as follows:</p> <p>- English language was not spoken in many schools.</p>
Maximum 10 for this performance		

measure

- 50% of the pupils could not do word problems in mathematics.

- 50% were unable to read and interpret sentences.

- Some schools do not cover termly curriculum.

Evidence on follow up for corrective measures indicated the department staff meeting that was organized by DEO and DIS on 18th April, 2019, Min.4/4/2019: to discuss issues of inspection findings, and the meeting resolved that:

1) Head teachers should carry out regular support supervision with timely feedback to teachers.

2) Schools should form and revive debates and English speaking clubs

3) Teachers should prepare and teach objectively to cover the syllabus.

In addition, another round of follow up was done as revealed in the report dated 4th June, 2019, to ascertain the implementation of the school inspection recommendations for term 1. The report highlighted the following findings:

Lesson planning and schemes of work were being well prepared.

Head teachers were enforcing weekly supervision and checking on teachers' lesson schemes of work and plans.

Drills to promote the mastering of English language were on going.

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

• 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

The LG Education Department availed evidence for submission of inspection reports to DES indicating term 1 and term 2 were submitted to Gulu regional office on 23rd August, 2019.

While, term 3 inspection report was submitted and acknowledged by DES on 3rd December 2018.

Maximum 10 for this performance measure

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

Maximum 10 for this performance measure

• Evidence that the inspection recommendations are followed- up: score 4.

There was evidence that inspection recommendations were being followed up in schools that were visited. This was evidenced by a review of reports on inspection feedback and comments that were made by the inspectors, Associate assessors, and CCTs as indicated below:

1. The inspector of schools visited Anepmoroto P/S in term III on 22nd October, 2018 and commented on the inability of pupils to use English; and also on inadequate regular assessments of learners.

The review of the head teacher's staff meeting report for corrective actions that were taken. The opening of term report indicated a staff meeting held on 5th February, 2019, Min. 6/2/2019; discussed on the subject; Academic improvement activities: The head teacher introduced the measure to enforce English speaking by the use of keys passed on to non speakers; also the staff agreed to have weekly tests to assess learners; in addition, heads of department were encouraged to enhance teachers supervision, and debating should be every Friday.

2. At Okum P/S on 26th June, 2019, the inspector found out low enrolment and attendance caused by children's absence and escaping of learners from schools, due to irresponsible parents.

To follow up on the issue, the head teacher addressed the problem by convening a staff meeting on 20th September, 2019, Min. 3b/2019: Discussed on the dropping enrolment and reduction in number of learners in classes, due to absenteeism and escaping from school; the meeting resolved to employ "Go Back to school Campaign"

The head teacher addressed the challenge by involving the authorities i.e. Parish chief, LC I&II chairpersons, and mobilized parents to send and keep their children in schools. The head teacher stated; 'The Go back to school campaign has increased the enrolment from 854 to 975 by closure of term II 2019'.

9	<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as</p> <p>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>The Assessment Team saw evidence that accurate and consistent PBS list of 45 Primary schools data listing all government aided Primary Schools in Otuke District had been submitted dated 10th April, 2019 and was acknowledged on 11th April, 2019 by office of the Commission Ministry Of Education and Sports.</p>	5
9	<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as</p> <p>per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<p>Evidence that the LG has submitted accurate/consistent data:</p> <ul style="list-style-type: none"> • Enrolment data for all schools which is consistent with EMIS report and PBS: score 5 	<p>The PBS enrollment data reviewed at the DEO's office was not consistent with the MoES-EMIS data obtained from the Planning and Budgeting Department. At the DEO's office, the enrollment indicated 37,067 students yet the reviewed MoES-EMIS report indicated 36,439.</p>	0

Governance, oversight, transparency and accountability

10	<p>The LG committee responsible for education met, discussed service delivery issues and pre-sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the council committee responsible for education met and discussed service delivery issues including inspection, performance assessment results, LG PAC reports etc. during the previous FY: score 2 	<p>There was evidence that sector committee responsible for education met and discussed service delivery issues. This was evidenced committee meetings held :</p> <p>On the 30th August, 2018 in the district council hall, under minute No.5/30/8/2018. The District Education Officer presented the following achievements: Athletics competition held at various levels at Apac Boma grounds and medals were won, 10 Primary School teachers recruited to fill the staffing gaps and MDD held at district and regional levels among others.</p> <p>On the 7th May 2019 under minutes No. 4/07/05/2019: Min. 4(c). for Scrutiny of Education Budget for FY 2019/2020.</p> <p>The committee also recommended that money be budgeted for procurement of school desks and tree planting schools to overcome wind challenges</p>	2
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10	<p>The LG committee responsible for education met, discussed service delivery issues and pre-sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the education sector committee has presented issues that require approval to Council: score 2 	<p>There was evidence that the education sector committee presented issues that required approval to Council. This was evidenced by:</p> <p>Council meeting held on 6th September, 2018, under minute No. 8/6/9/2018. The committee chairperson noted that the role of parents, teachers and pupils is very vital for success in education. He also decried poor performance in government schools compared to private schools.</p> <p>Council meeting held on the 21st December, 2018 under minute No.21/12/9/2018. The committee members raised the following issues of concern:</p> <p>The land wrangles around Okere P/S caused by the foundation bodies causing insecurity in schools. Council resolved for district leaders and security team meet the community of Okere P/S</p> <p>The issues of errant staff, disciplinary action was recommended by rewards and sanction committee.</p> <p>council meeting held on the 12th March, 2019 under minute No. 8/12/03/2019. council presented the draft budget for the department for 2019/2020 for approval.</p>	2
11	<p>Primary schools in a LG have functional SMCs</p> <p>Maximum 5 for this performance measure</p>	<p>Evidence that all primary schools have functional SMCs (estab- lished, 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 to indicate that SMCs were in place; DEOs letters of approval for appointment to confirm establishment were on file.</p> <p>There was evidence on functionality of SMCs in sampled schools visited: (Alangi, Aliwang, Orum, Anepmoroto, and Okum Primary schools)</p> <p>The evidences for whether the SMCs held 3 mandatory meetings, at least once each term and discussed resource issues are indicated as below.</p> <ol style="list-style-type: none"> 1. Orum P/S held SMC meetings on 3rd April 2019; Min.3A/4/2019: discussed protecting and demarcating school land. Term I and term II were missing. (1/3) 2. Aliwanga P/S SMC meetings were held on: 1st September, 2018; Min.7/III/smc/2018: Discussed UPE budget approval. Term II was held on 13th June, 2019, Min.5/2019: Discussed and presented UPE budget for approval. Term I (without dates) Min. 5/2019: discussed UPE budget approval.(3/3) 3. Alangi P/S SMC meetings were held on: 20th September, 2018; Min.5/III/ 2018: Approval of term III budget. Term II was held on 6th June 2019; Min.5/2019: Approval of UPE budget. Term I, meeting was held on 	3

4. Okum P/S SMC meetings were held on; Term III, on 10th December 2018; Min.4a/ 2018: Discussed approval of UPE budget. Term I was held on 23rd March, 2019; Min. 5/2019: Discussed draft budget for approval. Term II was held on 20th June, 2019; Min. 4/2019: Budget approval.(3/3)

5. Anepmoroto P/S SMC meetings were held on 27th august, 2018; Min.4/2018: Approval of UPE budget. Term I meeting was held on 18th February, 2019; Min.5/2019: UPE budget. Term II meeting was held on 13th June 2019; Min.5/2019: Reading draft budget(3/3)

On analysis four schools out of five held the three mandatory meetings as witnessed below: (1/3, 3/3, 3/3, 3/3, 3/3) = $\frac{4}{5} \times 100 = 80\%$

Thus, the reviewed Otuke LG SMCs files evidence indicates 80% of the mandatory meetings sittings in FY 2018/19.

12

The LG has publicised all schools receiving non- wage recurrent grants

Maximum 3 for this performance measure

Evidence that the LG has publicised all schools receiving non-wage recurrent grants e.g. through posting on public notice boards: score 3

There was no evidence to show that UPE schools receiving non-wage recurrent grants were displayed on notice boards, because the notice board was scraped off the wall and the assessor could not establish, and there was no correspondence of the same on file.

While the schools sampled and visited, to verify whether UPE capitation releases were displayed, proved non-compliant as indicated below; (selected term two 2019 releases as evidence)

- Aliwang PS, had not displayed
- Anepmoroto PS received 4,215,026
- Alangi PS had not displayed
- Okum P/S received 2.598,000.

0

Procurement and contract management

The LG Education department has submitted input into the LG procurement plan, complete with all technical requirements, to the Procurement Unit that cover all items in the approved Sector annual work plan and budget

Maximum 4 for this performance measure

- 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

There was no evidence of submitting procurement plan for the department projects to PDU for the FY 2019/2020, BUT promised to send the details when DEO was back in office from a workshop in Mityana; until at the time of reporting nothing had been received.

Financial management and reporting

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

Maximum 3 for this performance measure

Evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: score 3.

The LG Education departments timely (as per contract) certified and recommended suppliers for payment:

Examples:

1-Payment for the construction of Ogor Seed SSS to M/s Wangi General Enterprises (U) Ltd at UGX 1,966,824,950.

Contract signing date: 15th May,2019

payment certificate date: down payment as per contract

Payment date: 28th June,2019

Voucher Sn. 0306

Payment by RTGs No.FT19186NTN1D

Amount: UGX 259,440,000

2- Payment for the construction of 5 stance drainable latrine at Alangi P/S to Richden services Ltd at 21,881,979.

Contract signing date: 27th December,2018

Payment certificate date: 12th February,2019

Payment date: 12th February,2019

Voucher Sn.0088

Cheque No.000424

Amount: UGX 19,885,763.

3-Payment for the construction of 5 stance drain-able latrine at Aliwang P/S to Oyere Investment Ltd at UGX 21,905,759.

Contract signing date: 27th December,2108

Payment certificate date: 12th February,2019

Payment date: 12th February,2019

Voucher Sn. 0090

Cheque NO. 000426

Amount: UGX 19,953,213

15	<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>While the education department submitted to the planner the annual and four quarterly performance reports for the previous FY for consolidation, the dates of submission of the quarterly reports were not availed to the Assessor, and the explanation presented was that they input the information directly into PBS so they were not able to retrieve the dates once the validation is done</p>	0
16	<p>LG Education has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year <ul style="list-style-type: none"> o If sector has no audit query score 4 o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 2 o If all queries are not responded to score 0 	<p>Action on queries raised by the Internal Auditor on the Education Sector during FY 2018/2019:</p> <p>-Although the sector had provided response to the queries raised, PAC sitting from 11th to 13th, September 2019 deferred UGX 52,840,500 out of the unaccounted for funds UGX 105,430,981 to the next sitting.</p> <p>-Poor construction of a girls' dormitory at Adwari SSS to M/s Otolomoi Investments Ltd at UGX 412,000,000 had not been resolved.</p> <p>Therefore not all the issues raised in the audit had been implemented.</p>	0

Social and environmental safeguards

17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department in consultation with the gender focal person has disseminated guidelines on how senior women/men teachers should provide guidance to girls and boys to handle hygiene, reproductive health, life skills, etc.: Score 2 	<p>There was evidence that the department consulted gender department on dissemination of gender guidelines to schools. A review of the reports indicated that on 16th March, 2019, the department organized a training workshop on reproductive health, life skills and hygiene for boys and girls. The gender focal person pledged to visit and support senior women and men teachers in schools on issues of hygiene in schools.</p>	2
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17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that LG Education department in collaboration with gender department have issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools: score 2 	<p>There was evidence availed to the assessor in form of a circular disseminated to schools on management of sanitation for girls and PWDs in schools highlighting key areas to be addressed in schools. The circular highlighted the following:</p> <ul style="list-style-type: none"> - Education office in collaboration with gender had issued out guidelines on how schools need to have adequate sanitary pads and should be budgeted for in all schools. - Senior women and men teachers should train girls to make reusable sanitary pads and ensure continuity. - All classroom doors and latrines should have ramps for PWDs 	2
17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the School Management Committee meets the guideline on gender composition: score 1 	<p>There was evidence at the schools visited indicating that the School Management Committees were gender sensitive as per the Education ACT 2008. The sampled schools met the gender requirement as indicated below:</p> <ul style="list-style-type: none"> - Aliwanga PS. has 3/6, (names: Pascal Elem, Mary Akello, and Sophia Achola) - Anepmoroto PS- 2/6. (by names: Brenda Apero and Suzan Ogwanga) - Alangi PS - 3/6 (Lillian Ongom and AgutiAdrine) - Okum P/S – 2/6 (Jane anyeki and Lilian Acheng) 	1
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that 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 review of evidence whether the department collaborated with Environment office on issues of guidelines on school environmental management were as below:</p> <p>The environmental officer disseminated a circular on greening of school's environment, and advocacy for school woodlots. The department also volunteered to supply seedlings to schools at subsidized costs.</p>	1

18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all school infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: <p>Score 1</p>	<p>The environmental officer admitted that there was no screening that was done on the projects under education, due to lack of funding,</p>	0
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: <p>Score 1</p>	<p>There was no joint monitoring that was carried out by environment and DCDO to check on social and environmental compliance during the implementation of projects under education FY 2018/19.</p>	0

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management				
1	<p>LG has substantively recruited primary health care workers with a wage bill provision from PHC wage</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that LG has filled the structure for primary health care with a wage bill provision from PHC wage for the current FY</p> <ul style="list-style-type: none"> • More than 80% filled: score 8 • 60 – 80% - score 4 • Less than 60% filled: score 0 	<p>Otuke district health department has a staffing norm of 215 staff. Out of these, 153 (71.6%) were in post with a staffing gap of 62 health workers.</p> <p>According to the district approved budget FY 2019/2020 (Generated on 18/07/2019 12:43 Page 22), PHC wage allocation was UGX 1,455,150,540 /=. PHC wage requirement for health workers in post for FY 2019/2020 was UGX 1,458,405,152 /=. The percentage wage provision (posts filled for primary health care workers with a wage bill provision) = 100%</p> <p>Therefore, the LG had filled the structure for primary health workers with a wage bill provision from PHC wage for the current FY 2019/2020 to a tune of 100% with a wage bill deficit of UGX 3,254,612/=. The PHRO explained that the anticipated deficit will be covered using a supplementary budget provided by the Ministry of finance, planning and economic development through Quarterly releases.</p>	8
2	<p>The LG Health department has submitted a comprehensive recruitment plan for primary health care workers to the HRM department</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that Health department has submitted a comprehensive recruitment plan/re- quest to HRM for the current FY, covering the vacant positions of primary health care workers: score 6</p>	<p>Recruitment plan for health workers was submitted by DHO to CAO (Reference CR/350/3) on 16th September, 2019 and was received on the 24th September, 2019. Vacant positions for primary health care workers in the recruitment plan were Assistant DHO (MCH/N), Senior Environmental Health Officer, Ophthalmic clinical officer, and Anaesthetic Assistant.</p>	6

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

Maximum 8 points for this performance measure

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

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

Otuke District has 15 health facilities. The Assessor was presented with all the 15 files of health facility In- charges from which he took a sample of 9 files for review to ascertain whether all the in-charges were appraised during the previous FY. The review revealed that all the in-charges were appraised by the Sub-county chiefs using the PS Form 5. Appraisal agreements and the Appraisal Reports were duly endorsed by the DHO. Details of appraisal of the sampled In-charges were as indicated below:

1. Dr.Olum James Senior Medical Officer): CR/D/10070- Orum HC IV, was appraised by the DHO on 16th July, 2019.

2. Ocwi Peter: CR/ABM/01321- Okwang HC III, was appraised on 30th June, 2019, and the Appraisal Report was endorsed by the DHO on 30th August, 2019.

3. Achal Denis; CR/D/10289- TangwaraHC III, was appraised 30th June, 2019 and the Appraisal Report was endorsed by the DHO on 12th July, 2019.

4. Awor Molly: CR/D/10111- Anep Moroto HC III, was appraised on 30th June, 2019. The DHO endorsed Performance Report on 12th July, 2019.

5. Obang Isaac: CR/D/10274- was appraised on 9th July, 2019 and the DHO endorsed the Performance Report on 12th July, 2019.

6. Onyong John: CR/D/10121- Okwong HC III, was appraised on 5th September, 2019. Performance Report endorsed by the DHO 12th September, 2019

7. Ocheo Zadock: CR/D/10288- Banjobi HC III, was appraised 7th July, 2019. Appraisal Report endorsed by the DHO 12th July, 2019

8. Ogwang Isaac: CR/D/1036- Alango HC II, was appraised on 18th July 2019. Appraisal Report signed by the DHO on 12th July, 2019.

9. Egwar Charles: CR/D/10049- Olilim HC III, was appraised on 8th August, 2019. Appraisal Report was endorsed by the DHO on 9th August, 2019

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

Maximum 4 points for this performance measure

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

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

The assessment team reviewed the approved staff list and compared it with the actual numbers of health workers at the health facilities. The assessment team sampled the following facilities:

- Orumu HC IV, 38 staff was deployed out of the 48 staffing norm.
- Olilimi HC III 15 staff were deployed out of the 19 staffing norm
- Okwongo HC III: 12 staff were deployed out of the 19 staffing norm
- Alango HC II: 7 staff were deployed out of the 9 staffing norm
- Anep Moroto HC II: 5 health workers were deployed out of the 9 required staffing norms.

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

Monitoring and Supervision

5

0

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

Maximum 6 for this performance measure

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

The only Ministry of Health (MOH) prioritized guideline was the "Sector grant and Budget guidelines for local governments 2019/2020". There was evidence that the DHO's office communicated the above guidelines to the health facility in charges on 9th July, 2019 through a non-official communication channel (whatsapp platforms). The assessment team traced the prioritised guideline in the sampled health facilities and confirmed that Copies of the above guidelines were available with in-charges although these were in softcopies.

- Orumu HC IV,
- Olilimi HC III
- Alango HC II
- Okwongo HC III:
- AnepMoroto HC II

The assessment team, however, established that the LG used a non-official channel (Whatsapp) as per Government standing orders to communicate the prioritized guideline. In addition, the guideline was communicated in the current FY (On 9th July, 2019 yet the assessment criteria required communication in the previous FY (2018/2019) hence justifying the score 0.

5	<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>	<ul style="list-style-type: none"> Evidence that the DHO/MHO has held meetings with health facility in-charges and among others explained the guidelines, policies, circulars issued by the national level: score 3 	<p>The DHT together with health unit in-charges held a meeting on 29th July, 2019 at District Works department resource centre and among issues discussed was the discussion of Sector grant and Budget guidelines for local governments 2019/2020 under minute 4 (Update from MOH planning guideline).</p>	3
	Maximum 6 for this performance measure			
6	<p>The LG Health Department has effectively provided support supervision to district health services</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>There was 1 HC IVs but no district hospital in otuke district. The available HC IV was Orum HC IV. The assessment team evidenced that the DHT had conducted 4 quarterly integrated technical support supervision visits to the health centre IV. Support supervision reports were submitted on the following dates.</p> <ul style="list-style-type: none"> Quarter 1: Support supervision conducted on 22nd September, 2018 and report submitted and received by CAO on 25th October, 2018. Quarter 2: Support supervision of Orum HC IV was conducted on 21st December, 2018. Quarter 3: Support supervision conducted on 28th February, 2019 and report submitted and received by CAO on 25th March 2019. <p>Quarter 4: Support supervision Conducted on 9th April, 2019 and report submitted and received by CAO on 21st May 2019.</p> <p>This corroborated with the findings from the review of the supervision log book at Orum HC IV. Therefore, the DHT conducted all the 4 mandatory technical support supervision visits to the Orum HC IV (at least once each quarter) during financial 2018/2019.</p>	3
	Maximum 6 points for this performance measure			

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

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

One HSD quarterly technical support supervision reports were available with the HSD in charge at Orum HC IV. The report indicated that quarterly support supervision visits had been conducted between 29th March to 3rd April 2019.

Maximum 6 points for this performance measure

- 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

While visiting the sampled health facilities, the assessment team established that technical support supervision visits had been conducted by the HSD as indicated below:

- Alango HC II: No evidence of supervision by HSD.
- Okwong HC III: Supervised once on 6th February, 2019
- AnepMoroto: No evidence of supervision by HSD.
- Olilim HC III: No evidence of supervision by HSD.

Evidence was traced from the Red book (MOH support supervision book) at each health unit. Therefore, there was no evidence that DHT had ensured that HSD has supervised lower-level health facilities within the FY 2018/2019.

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

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

There was evidence that some but not all quarterly DHT support supervision reports were discussed to make recommendations.

For example;

During support supervision for quarter 3 (report dated 28th February, 2019), the supervising team found out that Orum HC IV did not have a dispensing book ACT register and general log. The DHT during their quarter 4 review meeting which held on 21st June, 2019 under Min 4 advised all in charges to make requisitions of materials in time.

Maximum 10 points for this performance measure

Although discussion of Quarter 2 support supervision findings appeared on agenda for DHT meeting held on 4th January, 2019, review of the content of the minutes, indicated that supervision findings were merely reproduced and not discussed to make recommendations.

There was no evidence that the other quarterly reports had all been discussed and used to make recommendations

7	<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>The DHT meeting minutes did not explicitly show a link between support supervision findings and discussion of all supervision reports. There was no special report or meeting to show that recommendations following support supervision had been addressed.</p> <p>Therefore, there was no evidence that support supervision findings were followed and recommendations were undertaken in Otuke district.</p>	0
8	<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>All 15 health facilities receiving PHC funding listed in the performance contract for 2019/2020 (Generated on 18/07/2019 12:43) are consistent with the list of health facilities submitting HIMS reports as indicated in the report for HMIS 105 reporting rate for July to September, 2019.</p>	10

Governance, oversight, transparency and accountability

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

- 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

Maximum 4 for this performance measure

There was evidence that sector committee responsible for education met and discussed service delivery issues. This was evidenced by committee meetings held:

On 30th August, 2018, under minute No. 5/30/8/2018. The Sector Heads, presented the contained completed activities: staff attendance to duty at health units was monitored, Quarterly monitoring of health activities facilitated, Medicines were supplied and Health Department Staffing level was at 65%.

On the 17th December, 2018, under minute No.5/17/12/2018, the district Health Officer, presented the reported that contained issue on: Status of health staffing thus 6 staff were recruited and further recommended for health staff to be recruited on replacement, transfers of few staff would be done to improve on service deliveries and the issue absenteeism by staff, among others.

On the 7th May, 2019, under minute No.4(c), the committee scrutinized Health Budget for FY 2019/2020 with the Development Revenues (Sector Development Grant: UGX. 530,913,000/= and External Financing: UGX.418,943,000). The committee also recommended that IPFs be forwarded to the Ministry and upgrade of Ating Health centre II to Health III in FY 2019/2020.

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

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

There was evidence that the education sector committee presented issues that required approval to Council. This was evidenced by:

Council meeting held on the 21st December, 2018 under minute No. Min. 8/6/9/2018 the council chairperson Committee requested that the Ddistrict Hhealth Oofficer and CAO needed to expedited the files for the two doctors in Orum H/C IV and other staff that were being worked on by the Ddistrict Sservice Commission.

Maximum 4 for this performance measure

Council meeting held on 6th September 2018, under minute No. 8/6/9/2018, the District Chair reported to council that Otuke DLG had a total of 17 functional health centers in the district (1 HCIVs, 6HC IIIs and 7 HCIIIs), District had planned to upgrade Ogwette HC II to HCIII in FY 2018/2019 at a cost of Ushs.500 million. He also highlighted key achievements in the health sector in 2017/18.

Other recommendation included: Recruitment, staff retention strategy and training policy and continuous lobbying for improved funding.

Council meeting held on 12th March, 2019 under minute No. Min. 8/12/03/2019. Council deliberated on the following issues: replacement of the 06 batteries for Blood Fridge, the UNICEF vehicle that was donated for Marternal Child Health and now being used by other District officers, the repair of ambulances of Olilim H/C III, Orum H/C IV and Okwang H/C III so to serve communities, among others.

10	<p>The Health Unit Management Committees and Hospital Board are operational/functioning</p> <p>Maximum 6 points</p>	<p>Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):</p> <ul style="list-style-type: none"> • If 100% of randomly sampled facilities: score 6 • If 80-99 %: score 4 • If 70-79: %: score 2 • If less than 70%: score 0 	<p>The assessment visited 5 sampled health facilities and established that HUMC's sat as indicated below;</p> <ul style="list-style-type: none"> • Orum HC IV: HUMC sat in 3 quarters as follows; 12th December, 2018, 28th March, 2019, 1st April, 2019. The HUMC did not seat in 1st Quarter because apparently the chairperson was hospitalised in Lira regional referral hospital. • AnepMoroto HC II: HUMC sat once on 10th April 2019. They reported that they did not have funds to facilitate the other meetings. • Alango HC III; HUMC sat in only 3 quarters as follows; 5th July 2018, 4th January, 2019 and 24th April 2019 • Olilim HC III: HUMC sat in only 3 quarters as follows; 13th August, 2018, 1st March 2019 and 26th June 2019. • Okwongo HC III; HUMC sat in only 3 quarters as follows; 11th January 2019, 8th March 2019 and 2nd May, 2019. <p>In the 5 sampled health facilities, No facility complied with the requirement for HUMC to hold at least 4 mandatory meetings (At least one meeting per quarter) hence justifying the score 0</p>	0
11	<p>The LG has publicised all health facilities receiving PHC non-wage recurrent grants</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has publicised all health facilities receiving PHC non-wage recurrent grants e.g. through posting on public notice boards: score 4 	<p>A list of health facilities that benefit from PHC recurrent non-wage for July -September 2019 was displayed at the district health notice-board, signed and stamped by CFO but not dated. There was a display of PHC non-wage recurrent grants received by each respective facility for July -September 2019 on the public notice board at the Orum HC IV, AnepMoroto HC II, Alango HC III, Olilim HC III and Okwongo HC III.</p>	4

Procurement and contract management

12	<p>The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has submitted input to procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time by April 30 for the current FY: score 2 	<p>The procurement plan for the health department for the current FY 2019/20 was submitted on 2nd July 2019, and was received by PDU on the same day. Some of the prioritised items included on the plan were;</p> <p>(1) Repair of staff house at Atangwata HC III, (2) Solar system installation at maternity ward at Banjobi HC III, and (3) Construction of a placenta pit at Ogwete HC II.</p>	2
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12	<p>The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <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 procurement request form PP1 for the health department for the FY 2018/2019 was submitted on 21st May 2019, and was received on the same day before. Services to procure included:</p> <ul style="list-style-type: none"> Construction of 2 stance VIP Latrine at Acane HC II , at a contract sum of; 7,241,500/= Renovation of theatre block at Orum HC IV (Plumbing and electric connection) ,at a contract sum of ;3,850,500/= <p>It should be noted that the form PP1 was submitted later than September 30,2018 thus score 0</p>	0
13	<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>Example:</p> <p>Payment for the upgrading of Ogwette Health Center II to Health Center III to M/s Otada Construction Co. Ltd at UGX 499,986,091.</p> <p>Contract signing date: 19th February,2019</p> <p>Payment certificate date: 27th June,2019</p> <p>Payment date: 28th June,2019</p> <p>Voucher Sn. 1374</p> <p>Fund transfer request (RTGS) Sn.141066.</p> <p>Amount: UGX 76,953,799.</p> <p>NB Health had only one project.</p>	4

Financial management and reporting

14	<p>The LG Health department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <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>While the health department submitted to the planner the annual and four quarterly performance reports for the previous FY for consolidation, the dates of submission of the quarterly reports were not availed to the Assessor, and the explanation presented was that they input the information directly into PBS so they were not able to retrieve the dates once the validation is done.</p>	0
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LG Health department has acted on Internal Audit recommendation (if any)	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	Action taken on queries raised by the Internal Auditor during FY 2017/2018.
Maximum 4 for this performance measure	<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 	All the pending queries for the sector were responded to when PAC sat and handled reports for quarter 3 & 4 from the 11th to 13th September, 2019. queries handled were unaccounted for funds on voucher No.195 UGX 1,549,500 and voucher No.1370 =UGX 3,690,000.

Social and environmental safeguards

Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.	<ul style="list-style-type: none"> Evidence that Health Unit Management Committee (HUMC) meet the gender composition as per guidelines (i.e. minimum 30 % women: score 2 	Not all the following sampled health facilities had the required 30% (and above) of female composition on HUMC: <ul style="list-style-type: none"> Orum HC IV: 3 out of 9 were female=33.3% Olilim HC III: 1 out of 8 were female =12.5% Alango HC II: 2 out of 5 were female=40% Okwongo HC III: 2 out of 7were female =28.5% Anep Moroto HC II: 2 out of 5 were female =40%
Maximum 4 points		

Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.	<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. 	The MOH did not issue new guidelines on how to manage sanitation in health in FY 2018/2019. However, all the five sampled facilities had latrines separated for men and women. Charts titled "Segregation of medical wastes" were seen by the assessment team pinned in the laboratories of Orum HC IV, Olilim HC III and Okwongo HC III.
Maximum 4 points		

17	<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: <p>Score 2</p>	<p>There was no evidence availed to the assessment team to confirm whether all the health facility infrastructure projects were screened before approval for construction using the checklist for the screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions.</p>	0
17	<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> The environmental officer and community development officer have visited the sites to checked whether the mitigation plans are complied with: <p>Score 2</p>	<p>There were no site visit reports provided to the assessment team to confirm whether all health facility infrastructure projects had been monitored to check whether mitigation plans had been complied with.</p>	0
18	<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: <p>score 4.</p>	<p>There were charts on medical waste segregation found at Orum HC IV, Olilim HC III and Okwongo HC III, AnepMoroto HC II and Alango HC II.</p>	4

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution				
1	<p>The DWO has targeted allocations to sub-counties with safe water coverage below the district average.</p> <p>Maximum score 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has targeted sub-counties with safe water coverage below the district average in the budget for the current FY: <ul style="list-style-type: none"> o If 100 % of the budget allocation for the current FY is allocated to S/Cs below average coverage: score 10 o If 80-99%: Score 7 o If 60-79: Score 4 o If below 60 %: Score 0 	<p>In FY 2019/20, the entire budget for water development was planned for target sub-counties with safe water coverage below the district average of 69.7% as the following findings indicate.</p> <p>Otuke District Local Government at the beginning of FY 2019/20 had eight administrative units including seven sub-counties and one town council, including: Ogor, Adwari, Alango, Olilim, Ogwette, Orum, Okwang sub-counties and Otuke Town Council</p> <p>The Annual Work Plan and Budget FY 2019/20, dated 1st August 2019, signed and stamped by CAO submitted to PS_MWE on 13th August, 2019 stated that the safe water average coverage is 69.7%. From soft copy reports, the safe water coverage in the different administrative units was as follows: Ogor S/C at 96.6%, Adwari S/C at 62.8%, Alango S/C at 68.8% , Olilim S/C at 62.5%, Ogwette S/C at 66.2%, Orum S/C at 66.7%, Okwang S/C at 61.5% and Otuke T/C at 92.7%</p> <p>The AWP FY 2019/20 had a water and sanitation development budget of UGX 197,752,753, of which water development including the following below:</p> <ul style="list-style-type: none"> • Drilling of 5 boreholes : (each UGX 26,250,000) _for UGX 131,250,000/- • Construction of public latrines at RGC- for UGX 14,000,000/- at Otuke T/C market <p>The targeted sub-counties for the planned boreholes included:</p> <p>Adwari S/C: Akwach East</p> <p>Alango S/C: Amonomito</p> <p>Olilim S/C: Namugono</p> <p>Ogwette S/C: Oringoker</p> <p>Okwang S/C: Wangaomaki</p> <p>Therefore, the total budget for water infrastructure development for FY 2019/20 in Otuke DLG was UGX 131,250,000, for Drilling, casting and installation of five boreholes in target sub-counties with safe-water coverage below the district average; therefore 100% of water infrastructure development was budgeted for the target sub-counties.</p>	10

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

Maximum 15 points for this performance measure

- Evidence that the district Water department has implemented budgeted water projects in the targeted sub-counties with safe water coverage below the district average in the previous FY.
- o If 100 % of the water projects are implemented in the targeted S/Cs:
- Score 15
- o If 80-99%: Score 10
- o If 60-79: Score 5
- o If below 60 %: Score 0

In FY 2018/19, the entire water development budget of UGX 116,017,894/- was implemented in five target sub-counties with safe water coverage below the district average of 69.7% as findings below indicate.

At the beginning of FY 2018/19, according to soft copy report presented at the Budget Conference on 2nd November, 2018, the district average safe water coverage was 69.7% with the sub-county safe water coverage as follows: Ogor at 96.6%, Adwari at 62.7%, Otuke TC at 92.6%, Alango at 64.6%, Olilim at 62.5%, Ogwette at 63.2%, Orum at 62.2% and Okwang at 62.6%

The Annual Work Plan and Budget (AWP) for FY2018/19, dated 30th July, 2018, signed and stamped by the CAO on 30th July 2018, submitted to PS-MWE on 6th August, 2018, the safe water coverage was not stated because at the time it was not well known. However, it was reported that access to water was 95% and functionality of water points was 80%.

From the first quarter sector performance report dated 30th October, 2018, signed by CAO and submitted to PS_MWE 6th November, 2018, the total annual budget for development was UGX 188,799,057/- with the following items planned:

- 5 boreholes had been planned for UGX 130,000,000/-
- Construction of latrine for UGX 14,600,000/- at Ogwette market (RGC)

According to the approved Budget dated 4th July 2018, all the five boreholes were planned for target sub-counties with safe water coverage below district average as follows:

Olilim S/C : Owniyo village

Ogwette S/C Aparako village

Adwari S/C: Owangokado village

Orum S/C: Ongweo village

Okwang S/C Okwii Central village

Two contracts together worth UGX 116,017,894/- were implemented for water development namely:

- Drilling, Casting and Installation of 5 deep boreholes, for a revised contract amount of UGX 101,267,894/- (from UGX 92,465,250/-). With the Contractor M/s Ebowa Investments Limited. The contract signing date was 27th December, 2018
- Design, Siting and Construction Supervision of 5 boreholes by Consultant M/s Water Resources and Environment Consultants for UGX 14,750,000/-. The contract was signed on 27th December 2018

For sanitation, a single contract with the following details was implemented:

- The Construction of a 4-stance VIP latrine at Ogwette Market, for UGX 13,683,750/-, by the contractor M/s Arima Enterprises Ltd. The contract was signed on 27th December, 2018

The total amount on water development was UGX 116,017,894/-, targeting only the sub-counties with safe water coverage below average.

Monitoring and Supervision

3

15

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

Maximum 15 points for this performance measure

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

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

There was evidence that all 415 boreholes, 259 rain water harvesting tanks, spring wells and 3 valley tanks under construction were monitored at least once in FY 2018/19, as findings below indicate.

According to monitoring report dated 27th March 2019, Otuke DLG has 415 boreholes, 259 rain water harvesting tanks, spring wells, and 3 valley tanks currently under construction. This report was submitted to the CAO on 29th March, 2019 according to the attached cover letter. Also attached to the report were copies of Form 4s indicating monitoring findings of the older water sources.

A monitoring report dated 22nd January, 2019 was submitted to CAO by the Ass DWO for monitoring the 259 rain water harvesting tanks which were under construction. The report highlights different beneficiary villages/sub counties.

4

5

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

Maximum 10 for this performance measure

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

According to project supervision reports dated 15th January 2019 and 9th March, 2019, the following boreholes were successfully drilled and constructed in the FY 2018/19 and submitted to the MWE as completed water supply facilities as reported in the fourth quarter sector performance report. Below are the details of the reported water facilities constructed in FY 2018/19.

Sub County Planned B/H Village Successful B/H Village

Olilim S/C	Owniyo	Owniyo
Ogwette	Aparako	Aparako
Adwari	Owangokado	Owangokado
Orum	Ongweo	Neniwangi
Okwang	Okwii Central	Okwii B

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

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

Four out of the five boreholes were captured both on PBS and MIS. One borehole, in Ogwagokado (Adwari S/C) was captured on PBS but not MIS as findings below indicate.

According to the records of MIS for FY 2018/19 the following boreholes records were captured as follows on MIS.

Sub County	Completed B/H Village	MIS Status
Olilim	Owiniyo	
Captured		
Ogwette	Aparako	
Captured		
Adwari	Owangokado	Not
captured		
Orum	Neniwangi	
Captured		
Okwang	Okwii B	Captured

Maximum 10 for this performance measure

Procurement and contract management

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

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

The department submitted input to PDU for Procurement plan dated 18th April 2019, signed and stamped by PDU on 18th April 2019 to confirm receipt. The items under water and sanitation development include:

- Construction of four stance VIP latrine at Okutu T/C at UGX 14,000,000/-
- Siting and Supervision of borehole construction – (Akwac East, Amonomito, Namugono, Oringoker and Wangaomaki) each at UGX 12,500,000/-
- Drilling, casting and installation of 5 boreholes at UGX 110,000,000/-

Maximum 4 for this performance measure

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

- 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

Maximum 8 points for this performance measure

The evidence provided indicated that one project had no contract management plan prepared; while there was evidence of monthly supervision for both projects.

The CAO appointed Mr. Obong James Lawrence (DWO) as the Contracts Manager for the *Construction of the 4 stance latrine at Ogwete Market* and the *Construction of 5 boreholes* in FY 2018/19, among other projects according to appointment letter dated 11th December 2018.

The contract management plan for *Drilling and Construction of Boreholes* was dated 28th December, 2018 prepared by the contracts manager. The contract management plan for the *Construction of 4 Stance Latrine at Ogwete Market* was not availed to the assessors for review.

The DWO made the following monthly supervision reports.

Construction of 4-stance Latrine at Owette Market :

A supervision report dated 25th April, 2019, written by Mr. Okello Joel (Project Supervisor), compiled the project supervision photographs of the site from the site excavations stage to the practical completion. The photos indicated regular site supervision, conducted at different stages of the construction.

Drilling, Casting and Installation of 5 boreholes:

A Siting Report was written by the supervision consultant, WREC, dated February 2019 to the client.

A supervision report dated 15th January 2019, written by Ass DWO to the CAO, reported that drilling activities were completed on all borehole sites; pending works included pumping and casting installations.

Another supervision report dated 9th March 2019, written by Ass DWO to the CAO reported that pump testing, casting and installation works were completed at all sites.

6	<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> • If water and sanitation facilities constructed as per design(s): score 2 	<p>The water facilities inspected including the boreholes at Owinyi (Olilim S/C) and Neniwangi (Orum S/C) were both well constructed according to contract specifications, for example, the designs of the boreholes required deep boreholes fitted with hand pumps of U2 specifications.</p> <p>Field observation revealed that the two boreholes sampled had their required U2 hand pumps fitted on pedestals and they had spouts from which good quality water flowed when pumped.</p> <p>In addition, the VIP latrine block at Ogwette Market was constructed as required, with 4 stances, one dedicated to PWDs and the other three dedicated to females .</p>	2
6	<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 of marked completion and handover as evidenced by the following:</p> <p>Practical Completion Certificate for Construction of 4 stance latrine was dated 18th July 2019 issued to contractor by the DWO. The certificate confirmed that the contract amount was UGX 13,683,750/-.</p> <p>For the Drilling, Casting and Installation of 5 boreholes a Practical Completion was issued on 18th July 2019 by the DWO indicating that the contract amount was UGX 92,465,250/-.</p>	2

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

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

Maximum 8 points for this performance measure

The certificates on the two sampled projects issued were either wrongly dated or their certification was delayed. In addition, for the drilling of boreholes contract, it appeared that the mandatory retention amount of 5% was not retained on the certificate which had been issued. Below are the details of the findings.

Borehole Siting Design and construction supervision:

Fee Note 1: Request for payment was dated 1st February 2019 by invoice indicating an invoice amount of UGX 7,764,400/-. Payment voucher dated 19th February 2019 for UGX 7,764,400/- and the Consultant's undated receipt confirmed payment of UGX 7,764,000/-

Fee Note II: Request was dated 6th March 2019 for UGX 6,100,600/- and Consultant receipt dated 22nd March 2019 confirmed payment of UGX 6,100,600/-

Construction of 4-stance Lined pit latrine at Ogwette

IPC 1: Request was made but the date had been rubbed by ink of pen, so that it was not legible:

IPC 1 issued certifying UGX 12,468,781/- after deduction of 5% retention. The certificate was issued on 26th April 2019 but certified a month later by CAO on 22nd May 2019. A payment voucher was dated 22nd May 2019 confirmed payment.

Drilling, Casting and Installation of 5 boreholes

IPC1: request for payment was dated 5th March 2019, IPC was not reviewed but the attached measurement sheet indicated gross completed works worth UGX 101,267,894/- (this was a revised contract amount from UGX 92,465,250). A payment voucher dated 12th March 2019 confirmed for payment of 101,267,894/-. The Contractor's receipt dated 19th March 2019 confirmed receipt of UGX 101,267,894/-. This means that payments were effected without deductions of retention amount or local taxes.

The district Water department has certified and initiated payment for works and supplies on time

Maximum 3 for this performance measure

- Evidence that the DWOs timely (as per contract) certified and recommended suppliers for payment: score 3 points

The LG Water departments timely (as per contract) certified and recommended suppliers for payment:

Examples:

1-Payment for the supply of Borehole parts to M/s Mastak Investments Ltd at UGX 20,296,000.

Contract signing date: 27th may,2019

Delivery Note date: 4th June,2019

GRN date: 5th June,2019

Payment date: 13th June,2019

Cheque No. 001037

Amount: UGX 20,297,000

2-Payment for drilling, casting and installation of 5 deep boreholes to M/s Ebowa Investments Ltd at UGX 92,465,250.

Contract signing date:27th December,2019

Payment certificate date: 6th March,2019

Payment date; 12th March,2019

Voucher No. 0867

Cheque No. 000979

Amount; UGX 101,267,894

Financial management and reporting

The district Water department has submitted annual reports (including all quarterly reports) in time to the Planning Unit

Maximum 5 for this performance measure

- 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

While the Water department submitted to the planner the annual and four quarterly performance reports for the previous FY, the Quarter 4 report was submitted late to the Planner for consolidation. The dates of submission of the quarterly reports were as indicated below:

- Quarter One was submitted on 12th October, 2018
- Quarter Two was submitted on 11th January, 2019
- Quarter Three was submitted on 15th April, 2019
- Quarter Four was submitted on 10th September,2019

The District Water Department has acted on Internal Audit recommendation (if any)	<ul style="list-style-type: none"> • Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year o If sector has no audit query score 5 o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 3 If queries are not responded to score 0 	<p>Action taken on queries raised by the Internal Auditor during FY 2017/2018:</p> <p>Pending query for Un accounted for funds on voucher No. 1111 UGX 700,000 and on voucher 276 UGX 3,000,000 were dropped by PAC when handling quarter 4 report. Refer to page 6 of the report.</p> <p>The sector therefore provided information on the status of implementation of audit findings.</p>
Maximum 5 for this performance measure		

Governance, oversight, transparency and accountability

10

3

The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council	<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 district committee responsible for water met and discussed service delivery issues.</p> <p>on 29th August, 2018, the Committee discussed the Water Sector report under minute No. 7/9/2018. The secretary presented the following: 05 Boreholes reported to be planned for drilling in five sub counties which were noted to be with Low water Coverage and Water harvesting tanks construction was still being done well with few complaints.</p> <p>Committee Recommended that Ministry of Water and Environment should be considerate in engaging the District Official in supervising and monitoring of Rain water harvesting tank construction.</p> <p>On the 18th December, 2018, under minute No. Min.5/18/12/2018. the sector head presented a summary of projects for FY2018/19 that were achieved under water which included:</p> <p>Sitting, drilling and installation of five deep boreholes at Owangokado, Aparako, Owinyo, Ongweo and Okwii B and procurement processes were completed, Rehabilitation of 5 deep boreholes for 3rd quarter and the District benefitted from 253 rain water harvesting tanks.</p> <p>on the 8th May 2019 under minute No. 4c/8/05/2019. The committed scrutinized the Water Sector Budget for FY 2019/2020., which entailed : (DUCG (Wage) for 2019/2020: UGX. 44,597,000, Sector Conditional grant (Non-Wage): UGX.33,003,000, Development Revenues: Sector Development Grant: UGX. 182,640,000)</p>
Maximum 6 for this performance measure		

10

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

Maximum 6 for this performance measure

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

There was evidence that the water sector committee presented issues that required approval to Council as evidenced by:

Council meeting held on 12th March, 2019 , under minute No. Min.6(c)/12/03/2019 on Laying of the Draft Budget for 2019/2020, the Water sector was allocated UGX.260,245,000 (1.7%)

During the council meeting held on 6th September, 2018, under minute No. Min. 8/6/9/2018 .The district chairperson highlighted the activities/achievements like the Rehabilitation of 35 boreholes.

District Executive Committee meeting held on the 3rd December 2018, under minute No.4(a)/31/08/2018, the Chairperson on the additional water sheds, identified (Amedo Dam-Odite Water Shed in Olilim Sub County)

3

11

The district Water department has shared information widely to the public to enhance transparency

Maximum 6 points for this performance measure

• 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.

An undated notice was observed on the district notice board titled Local Revenue Sources for First Quarter FY 2019/20. It showed a summary of releases for First Quarter FY 2019/20 as follows:

Wage

– 2,099,173,275

Non Wage recurrent

– 666,222,927

Non wage Development

– 928,932,717

Gratuity

– 101,421,694

Pension

– 37,249,808

Salary Arrears

– 12,846,005

Total

– 3,845,846,426

The notices on the notice board did not include expenditure information at the time of assessment.

2

The district Water department has shared information widely to the public to enhance transparency

- All WSS projects are clearly labelled indicating the name of the project, date of construction, the contractor and source of funding: score 2

All the sampled WSS projects were clearly labelled indicating the name of the project, the contractor and source of funding as indicated below:

Borehole Name: Neniwangi

Borehole No.: DWD 64437

Contractor: EBOWA Investments Ltd

Funding: DWSCG.

Maximum 6 points for this performance measure

Borehole Name: Owinyo

Borehole No.: DWD 64439

Contractor: EBOWA Investments Ltd

Funding: DWSCG.

4 Stance Latrine Ogwette Market

Contractor: Arima Enterprises Ltd

Funding: DWSCG.

The district Water department has shared information widely to the public to enhance transparency

- Information on tenders and contract awards (indicating contractor name /contract and contract sum) displayed on the District notice boards: score 2

Maximum 6 points for this performance measure

A number of notices providing information about tenders and contracts awarded were observed in the district files for first quarter FY 2019/20 including the following:

Construction of Business and Governance Center

Best Evaluated Bidder: Whimpy (U) Ltd

Contact Amount: UGX 220,362,920

Display Date: 20th September 2019

Removal Date: 3rd October 2019

Partial Construction of Administration Block

Best Evaluated Bidder: ByGon Enterprises Ltd

Contact Amount: UGX 223,594,950/-

Display Date: 20th September 2019

Removal Date: 3rd October 2019

Supply of 4 motor cycles

Best Evaluated Bidder: Nile Fishing

Contact Amount: UGX 34,000,000

Display Date: 20th September 2019

Removal Date: 3rd October 2019

Drilling and Installation of 5 deep boreholes

Best Evaluated Bidder: KLR (U) Ltd

Contact Amount: UGX 99,196,750

Display Date: 20th September 2019

Removal Date: 3rd October 2019

12	<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If communities apply for water/ public sanitation facilities as per the sector critical requirements (including community contributions) for the current FY: score 1 	<p>There was ample evidence that communities made written applications to the DLG requesting for water sources and made mandatory contributions of money as required. Below are some of the applications which were reviewed during the assessment.</p> <p>Namogono (Olilim S/C) made application for a borehole on 5th November 2018</p> <p>Neniwangi (Orum S/C) made application for borehole on 15th August 2018</p> <p>Okwi (Okwang S/C) made application for a borehole on 22nd January 2017 and made contribution of UGX 200,000 on 29th January 2019</p> <p>Aparoko (Ogwete S/C) made application for a borehole on 17th April 2017 and contributed UGX 200,000/- on 27th April 2018</p> <p>Owinyo Dwone (Olilim S/C) made application for borehole of 14th June 2017 and contributed UGX 200,000/- on 22nd January 2019</p> <p>Te-Obwolo (Orum S/C) made application for B/H on 14th January 2019</p> <p>Abongodero (Orum S/C) made application for B/H on 8th January 2019</p> <p>Agweng (Ogwete S/C) made application for a B/H on 19th November 2018 for 610 people, and they contributed UGX 200,000/-</p>	1
12	<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> Water and Sanitation Committees that are functioning evidenced by either: i) collection of O&M funds, ii) carrying out preventive maintenance and minor repairs, iii) facility fenced/protected, or iv) they have an M&E plan for the previous FY: score 2 <p>Note: One of parameters above is sufficient for the score.</p>	<p>The two water supply facilities (boreholes at Owinyi in Olilim S/C and Neniwangi in Orum S/C) inspected during assessment were well maintained, with clean compounds, fenced off which was evidence of functional WUC.</p> <p>The caretaker at Neniwangi village reported that each household collects a flat fee of UGX 5,000/- per household. However, the community had not placed hardcore into the sock away pit they had dug. As a result the pit was collection water which was potential breeding ground for mosquitoes.</p> <p>The latrine was maintained by the community at Ogwee market, it was in use mainly on market days.</p>	2

Social and environmental safeguards

13	<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>The DLG had screening forms and ESMPs for one project and none for another as details indicate below.</p> <p>The environment and screening forms as well as ESMPs were duly prepared for the <i>Drilling, Casting and Installation of 5 boreholes</i> as follows:</p> <p>Neniwangi (Orum S/C): 22nd March 2019</p> <p>Okwii B (Okwang S/C) :19th March 2019</p> <p>Aparako (Ogwette S/C): 14th March 2019</p> <p>Owang Kado (Awdari S/C) :13th March 2019</p> <p>Awinyo (Olilim S/C): 20th March 2019</p> <p>The projects were categorized as Cat B:</p> <p>Key issues highlighted included land acquisition, disturbance of natural vegetation, excess water pooling require soak away</p> <p>For the <i>Construction of 4-stance Latrine at Ogwette Market</i>, no environment and social safeguards screening forms or ESMPs were prepared.</p>	0
13	<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that there has been follow up support provided in case of unacceptable environmental concerns in the past FY: score 1 	<p>There was evidence that one project had environment and social safeguards monitoring and follow up, while the other assessed project had none.</p> <p>For the <i>Drilling, Casting and Installation of 5 boreholes</i>, the follow up on environment concerns was evidenced by the following:</p> <p>A monitoring was dated 4th April 2019 was written in which environment and social measures were implemented including the formation and training of WUCs to sustainably manage the facilities.</p> <p>In addition, an Environment Certificate of Compliance for all the 5 boreholes dated 5th May, 2019 .</p> <p>For the <i>Construction of 4-stance Latrine at Ogwette Market</i>, no environment monitoring reports or compliance certificates were issued.</p>	0

13	<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 evidence of environment and social safeguards provisions in the contracts sampled as indicated below:</p> <p>For the <i>Drilling, Casting and Installation of 5 boreholes</i>, the following item was included in the contract bills of quantities:</p> <p>Bill 1: Item 1.4: Allow for restoration of sites to an environmentally friendly state by planting grasses and five tree seedlings _ UGX 150,000/- by the contractor (M/s Ebowa Investments Ltd).</p> <p>For the <i>Construction of 4-stance Latrine at Ogwette</i>, no specific clause was captured in the contract specifications. However, some environment sustainability measures such as clearing site of all debris was included in the bills of quantities.</p>	1
14	<p>The district Water department has promoted gender equity in WSC composition.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If at least 50% WSCs are women and at least one occupying a key position (chairperson, secretary or Treasurer) as per the sector critical requirements: score 3 	<p>Based on the training report for the WUCs, carried out in February 2019, the composition of WUCs formed met the critical requirements as follows:</p> <p>Ogwango Kado (Adwari S/C) : 66.7% are women, two occupying the positions of Vice Chair person and Treasurer</p> <p>Okwii B (Okwang S/C) : 50% are women, two occupying the positions of Chairperson and Treasurer</p> <p>Owinyo (Olilim S/C): 55.6% are women, two occupying the positions of Vice Chair person and Secretary</p> <p>Aparakoo (Ogwette S/C): 62.5% are women three occupying the positions of Treasurer, Secretary and Vice Chairperson.</p>	3
15	<p>Gender and special needs-sensitive sanitation facilities in public places/</p> <p>RGCs provided by the Water Department.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If public sanitation facilities have adequate access and separate stances for men, women and PWDs: score 3 	<p>For the 4-stance latrine constructed, there was one stance for PWDs with a ramp and with width of just over 1m for ease in manoeuvre.</p> <p>The other three stances were separated and dedicated to females, which enhances gender segregation at the sanitation facility.</p> <p>The above design took into consideration of PWDs and gender segregation.</p>	3