



Local Government Performance Assessment

Serere District

(Vote Code: 596)

Assessment	Scores
Crosscutting Minimum Conditions	60%
Education Minimum Conditions	100%
Health Minimum Conditions	80%
Water & Environment Minimum Conditions	85%
Micro-scale Irrigation Minimum Conditions	0%
Crosscutting Performance Measures	67%
Educational Performance Measures	67%
Health Performance Measures	61%
Water & Environment Performance Measures	62%
Micro-scale Irrigation Performance Measures	0%

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	Service Delivery Outcomes of DDEG investments Maximum 4 points on this performance measure	<ul style="list-style-type: none"> • Evidence that infrastructure projects implemented using DDEG funding are functional and utilized as per the purpose of the project(s): • If so: Score 4 or else 0 	<p>The infrastructure projects implemented in the previous FY using DDEG funding were functional and utilized as per the purpose as evidenced in the 3 sampled projects below:</p> <p>1. Building Construction Building Costs – 209 – Finance Block Completion completed on 9th/1/2020 as per the last date of payment was utilized and fully occupied by Finance department staff.</p> <p>2. Periodic Maintenance on Kasilo Market to Kongolo P/s Road completed on 25th/5/2020 as per last date of payment was utilized and motorable.</p> <p>3. Phase II construction of Serere HCIV General Ward completed on 23rd/6/2020 as per last date of payment was functional and utilized.</p>	4
2	Service Delivery Performance Maximum 6 points on this performance measure	<p>a. If the average score in the overall LLG performance assessment increased from previous assessment :</p> <ul style="list-style-type: none"> o by more than 10%: Score 3 o 5-10% increase: Score 2 o Below 5 % Score 0 	Not Applicable	0

Service Delivery Performance

Maximum 6 points on this performance measure

b. Evidence that the DDEG funded investment projects implemented in the previous FY were completed as per performance contract (with AWP) by end of the FY.

- If 100% the projects were completed : Score 3
- If 80-99%: Score 2
- If below 80%: 0

All the 11 (eleven) DDEG funded projects/activities implemented in the previous FY were completed representing 100% as evidenced below:

1. Procurement of Council Furniture and filing cabinets planned at Shs.35,000,000, spent 35,000,000 completed and in use as on page 11 of the Annual Performance Contract..
 2. Construction of Finance blocked planned at Shs. 72,000,000 and was spent. Works completed and office block in use as on page 12 of the Annual Performance Contract.
 3. Procurement of Solar pump for Owil irrigation Demo planned at Shs. 28,000,000 and all was spent. Pump procured as on page 15 of the Annual Performance Contract.
 4. Building construction Materials – 237 under Production department planned at Shs.20, 000,000. Works completed as on page 15 of the Annual Performance Contract.
 5. Assorted materials and supplies -1163 for Production department planned at Shs. 21,000,000. Works completed as on page 15 of the Annual Performance Contract.
 6. Construction of General Ward at Serere HCIV planned at Shs. 388,000,000, all was spent, works completed and in use as on page 16 of the Annual Performance Contract.
 7. Periodic maintenance on Kasilo Market to Kongoto P/s Road planned at Shs.25,000,000, all was spent , works executed and in use as on page 20 of the Annual Performance Contract.
 8. Procurement of ICT –Laptop (Note book computer) for Natural Resources Department planned at Shs.5,000,000, all was spent, completed and in use as on page 22 of the Annual Performance Contract.
 9. Furniture and fixtures – Boardroom Furniture -631 for Planning Unit planned at Shs.13,609,073, all was spent, completed and in use as on page 24 of the Annual Performance Contract.
 10. Furniture and fixtures – Executive Chairs -638 for Planning Unit planned at Shs.2, 400,000 all was spent, completed and in use as on page 24 of the Annual Performance Contract.
 10. Furniture and fixtures -Office Desk-646 for Planning Unit planned at Shs.6, 000,000 all was spent, completed and in use as on page 24 of the Annual Performance Contract.
- 100% of planned projects were completed.

Investment Performance

Maximum 4 points on
this performance
measure

a. If the LG budgeted and spent all the DDEG for the previous FY on eligible projects/activities as per the DDEG grant, budget, and implementation guidelines:

Score 2 or else score 0.

All the 11 (eleven) DDEG prioritized projects/activities as listed below were derived from Budget Conference held on 30th/10/2019, and LGDP 2015/2016-2019/2020 as evidenced on page 181. These projects/activities were:

1. Procurement of Council furniture for Shs. 35,000,000.

2. Construction of Finance Block - 209 for Shs. 72,000,000.

3. Procurement of Solar pump for Owil Irrigation Demo - 1920 for Shs.28, 000,000.

4. Building Construction under Production and Marketing department – 237 for Shs.20,000,000

5. Materials and Supplies under Production and Marketing department – Assorted Material – 1163 for Shs. 21,000,000.

6. Construction of General Ward in Serere HCIV for Shs. 388,000,000.

7. Periodic maintenance on Kasilo Market to Kongoto P/S Road for Shs.25,000,000.

8. Procurement of Laptop (Note Book Computer) – 779 for Natural Resources department for Shs.5, 000,000.

9. Procurement of Boardroom Furniture for Planning Unit for Shs.13, 609,073.

10. Procurement of Executive Chairs for Planning Unit for Shs.2, 400,000.

11. Procurement of Office Desk for Planning Unit for Shs.5, 000,000.

They were also compliant with DDEG eligibility requirements as on slide 13-15 of the Enhanced DDEG guidelines FY 2019/2020 hence all the DDEG financing was on eligible projects/activities.

Investment Performance

Maximum 4 points on
this performance
measure

b. If the variations in the contract price for sample of DDEG funded infrastructure investments for the previous FY are within +/-20% of the LG Engineers estimates, score 2 or else score 0

Variations in the contract Price for DDEG projects were as follows:

1. Engineer's Estimate for construction of a 2 classroom Block at Akoboi Primary school was 60,000,000 and contractor's price was 56,036,501. Variation of Shs. 3,963,499, was within +20% of LG Engineer's estimate.

2. Engineer's Estimate for Construction of a 2 classroom Block at Lemtom Primary School was 60,000,000.

Contractor's Price was 59,026,078

Variation of 973,922 was within 20% of the Engineer's estimate.

3. Siting, Drilling and casting 6 boreholes at various villages was estimated at 115,000,000.

Contractor's Price was 113,402,363.

Variation of -1,597,637 was within 20% of the Engineer's estimate.

Performance Reporting and Performance Improvement

Accuracy of reported information

Maximum 4 points on this Performance Measure

a. Evidence that information on the positions filled in LLGs as per minimum staffing standards is accurate, score 2 or else score 0

Information on positions filled in LLGs as per minimum staffing standards was accurate evidenced from the three LLGs sampled. The sampled LLGs included: Bugodo sub county, Olio S/c and Serere T/C

According to the staff list obtained from the HRM, Bugondo sub county had 17 staff who included Otai Francis (Senior Asst Sec), Orone John justine (A.A.O), Otim Micheal (A.Veterinary Officer) Emunot Samson CDO), Akelo Harriet (Accounts Assistant) ,Achom Immaculate (P/C- ogera), Erwau Andrew (Parish Chief- Bugonda), etc

Staff list was compared with the daily attendance in the register book and the names were matching. TPC meetings held and minutes on file.

Sample two was collected from Olio Sub county. according to the staff list obtained from HR, the Sub county had 14 staff such as (Esabu Peter (Senior Assistant Secretary), Aguti Roselyn (Accounts assistant), Kiyai Deborah (CDO), Odyany George Wilson (PC) Okolong Micheal (PC), among others.

Staff list was compared with the daily attendance in the register book and the names were matching. TPC meetings

Sample three was collected from Serere Town council . according to the staff list obtained from HR the town council had 29 staff such as ; Okaria Francis (Senior Assistant Town Clerk), Ogalo Benard (Assistant Town Clerk) , Akiteng Rhoda (CDO,) Apolot Ziporah (Senior Accounts Assistant) etc

Staff list was compared with the daily attendance in the register book and the names were matching. TPC meetings held and minutes on file.

Accuracy of reported information

Maximum 4 points on this Performance Measure

b. Evidence that infrastructure constructed using the DDEG is in place as per reports produced by the LG:

• If 100 % in place: Score 2, else score 0.

Note: if there are no reports produced to review: Score 0

The 3 sampled infrastructure projects were:

1. Construction of Finance block.
2. Construction of General Ward in Serere HCIV.
3. Road maintenance on Kasilo Market – Kangoto P/s Road.

The only report availed for assessment was the 4th Quarter Monitoring Report FY 2019/2020 dated 22nd/7/2020 which captured status of implementation on the 3 sampled infrastructures above thus confirmed that they were existent.

5	Reporting and Performance Improvement Maximum 8 points on this Performance Measure	a. Evidence that the LG conducted a credible assessment of LLGs as verified during the National Local Government Performance Assessment Exercise; If there is no difference in the assessment results of the LG and national assessment in all LLGs score 4 or else 0	Not applicable	0
5	Reporting and Performance Improvement Maximum 8 points on this Performance Measure	b. The District/ Municipality has developed performance improvement plans for at least 30% of the lowest performing LLGs for the current FY, based on the previous assessment results. Score: 2 or else score 0	Not applicable	0
5	Reporting and Performance Improvement Maximum 8 points on this Performance Measure	c. The District/ Municipality has implemented the PIP for the 30 % lowest performing LLGs in the previous FY: Score 2 or else score 0	Not applicable	0

Human Resource Management and Development

6	Budgeting for and actual recruitment and deployment of staff Maximum 2 points on this Performance Measure	a. Evidence that the LG has consolidated and submitted the staffing requirements for the coming FY to the MoPS by September 30th, with copy to the respective MDAs and MoFPED. Score 2 or else score 0	The LG had not submitted the staffing requirements for the coming FY 2021/22 to the MoPS	0
7	Performance management Maximum 5 points on this Performance Measure	a. Evidence that the District/Municipality has conducted a tracking and analysis of staff attendance (as guided by Ministry of Public Service CSI): Score 2 or else score 0	Each department at the LG had an attendance register which registers added up to 7 from which the HR obtained the data, analyzed it and tracked staff attendance. Monthly analysis were on file for instance through a letter dated 30th october 2020 reference CR/157/3 the Human Resources officer submitted a the analysis and tracking report for the month of December 2019.	2

7	Performance management Maximum 5 points on this Performance Measure	i. Evidence that the LG has conducted an appraisal with the following features: HODs have been appraised as per guidelines issued by MoPS during the previous FY: Score 1 or else 0	Only 2 out of 9 performance reports for HoDs were availed to the team	0
7	Performance management Maximum 5 points on this Performance Measure	ii. (in addition to "a" above) has also implemented administrative rewards and sanctions on time as provided for in the guidelines: Score 1 or else 0	The LG administrative rewards and sanctions committee implemented rewards and sanctions for instance in a meeting held on 30th June 2020, under Minute 04/07/2020, Mr.Okiria Sam (Nursing Officer)(HC IV) was forwarded to the committee because he absconded from duty. He was informed the committee that the in charge knew about his absence and they had resolved the issue with the DHO.	1
7	Performance management Maximum 5 points on this Performance Measure	iii. Has established a Consultative Committee (CC) for staff grievance redress which is functional. Score 1 or else 0	There was no evidence of existence of a Consultative Committee to handle staff grievances.	0
8	Payroll management Maximum 1 point on this Performance Measure or else score 0	a. Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment: Score 1.	No recruitment was done in FY 2019/20 mainly because of the pandemic where by large gathering were banned. Before the pandemic the LG had planned to recruit and through an advert in the New vision dated 17th march 2020 the DLG had advertised some posts for filling such as one health inspectors, two clinical officers etc. but when a lock down was imposed and large gatherings banned the process was put on hold	0
9	Pension Payroll management Maximum 1 point on this Performance Measure or else score 0	a. Evidence that 100% of staff that retired during the previous FY have accessed the pension payroll not later than two months after retirement: Score 1.	In FY 2019/20 , all 12 retirees accessed t he pension payroll not later than two month s after retirement Such as James Enyamu Oluca who retired on 2nd January 2020 and accessed in february 2020	1

Management, Monitoring and Supervision of Services.

10	<p>Effective Planning, Budgeting and Transfer of Funds for Service Delivery</p> <p>Maximum 6 points on this Performance Measure</p>	<p>a. If direct transfers (DDEG) to LLGs were executed in accordance with the requirements of the budget in previous FY:</p> <p>Score 2 or else score 0</p>	<p>The DDEG to LLGs were executed in accordance with the budgetary requirements in the previous FY as evidenced below;</p> <p>Quarter 1 DDEG budget for 12 LLGs (8 Sub counties and 4 Town councils) was Shs. 390,320,978 all of which was transferred to LLGs as evidenced by their respective acknowledgement General Receipts.</p> <p>Quarter 2 DDEG budget for 12 LLGs (8 Sub counties and 4 Town councils) was Shs. 390,320,978 all of which was transferred to LLGs as evidenced by their respective acknowledgement General Receipts for instance, Kadungulu TC received their 2nd Quarter DDEG transfer of Shs. 5,932,212 on 4th/11/2019 vide General Receipt No.40504.</p> <p>Quarter 3 DDEG budget for 12 LLGs (8 Sub counties & 4 Town councils) was Shs. 390,320,978 all of which was transferred to LLGs as evidenced by their respective acknowledgement General Receipts e.g. Kadungulu TC received their 3rd Quarter DDEG transfer of Shs. 5,932,212 on 5th/2/2020 vide General Receipt No.40506.</p>	2
10	<p>Effective Planning, Budgeting and Transfer of Funds for Service Delivery</p> <p>Maximum 6 points on this Performance Measure</p>	<p>b. If the LG did timely warranting/ verification of direct DDEG transfers to LLGs for the last FY, in accordance to the requirements of the budget:</p> <p>Score: 2 or else score 0</p>	<p>The LG timely warranted DDEG transfers to LLG for the previous FY as evidenced below:</p> <p>1st Quarter Cash limits were loaded on 2nd/8/2019 and DDEG of Shs. 390, 320,978 warranted for LLGs on 4th/8/2019 within 2 days.</p> <p>2nd Quarter Cash limits were loaded on 16th/10/2019 and DDEG of Shs. 390, 320,978 warranted for LLGs on 18th/10/2019 within 2 days.</p> <p>3rd Quarter Cash limits were loaded on 22nd/1/2020 and DDEG of Shs. 390, 320,978 warranted for LLGs on the same day.</p>	2

10	<p>Effective Planning, Budgeting and Transfer of Funds for Service Delivery</p> <p>Maximum 6 points on this Performance Measure</p>	<p>c. If the LG invoiced and communicated all DDEG transfers for the previous FY to LLGs within 5 working days from the date of funds release in each quarter:</p> <p>Score 2 or else score 0</p>	<p>The LG invoiced all the DDEG transfers for the previous FY but lacked notifications to LLGs as evidenced below;</p> <p>Quarter 1 DDEG transfers to all the 12 LLGs (8 Sub counties & 4 TCs) of Shs. 390,320,978 was invoiced on 5th/8/2019 but no evidence of notification to LLGs was availed to the assessment team.</p> <p>Quarter 2 DDEG transfers to all the 12 LLGs (8 Sub counties & 4 TCs) of Shs. 390,320,978 was invoiced on 28th/10/2019 but no evidence of communication to LLGs was availed at the time of assessment.</p> <p>Quarter 3 DDEG transfers to all the 12 LLGs (8 Sub counties & 4 TCs) of Shs. 390,320,978 was invoiced on 23rd/1/2020 but no evidence of notification to LLGs was availed to the assessment team.</p>	0
11	<p>Routine oversight and monitoring</p> <p>Maximum 4 points on this Performance Measure</p>	<p>a. Evidence that the District/Municipality has supervised or mentored all LLGs in the District /Municipality at least once per quarter consistent with guidelines:</p> <p>Score 2 or else score 0</p>	<p>The District carried out quarterly supervision or mentoring to all LLGs as evidenced by the activity reports below:</p> <p>Quarter 1 supervision or mentoring was conducted on 23rd/10/2019.</p> <p>Quarter 2 supervision or mentoring was conducted on 4th /11/2019.</p> <p>Quarter 3 supervision or mentoring was conducted on 2nd/3/2020.</p> <p>Quarter 4 supervision or mentoring which focused on up to-date posting of books of accounts, National standards on water coverage, late submission of procurement requests to District Planning Unit and lack of Contract Managers was conducted on 27th/7/2020.</p>	2

11	<p>Routine oversight and monitoring</p> <p>Maximum 4 points on this Performance Measure</p>	<p>b. Evidence that the results/reports of support supervision and monitoring visits were discussed in the TPC, used by the District/ Municipality to make recommendations for corrective actions and followed-up:</p> <p>Score 2 or else score 0</p>	<p>The results of support supervision and monitoring conducted in the previous FY were discussed in the TPC and used by the District to make recommendations for corrective action and follow-up as evidenced below;</p> <p>Quarter 1 Monitoring report was discussed in the TPC meeting held on 23rd/10/2019 Agenda 5 Min.33/DTPC/10/2019.</p> <p>Q2 Monitoring report was discussed in the TPC meeting of 4th/11/2019 Agenda 7 Min. 41/DTPC/11/2019.</p> <p>Q3 Monitoring report was discussed in the TPC meeting held on 2nd/3/2020 Agenda 8 Min. 66/DTPC/3/2019.</p> <p>Q4 Monitoring Report was discussed in the TPC held on 22nd/7/2020 Agenda 7 Min.07/DTPC/07/2020.</p> <p>Issues discussed included completed projects at site but with no corresponding Completion Certificates on file in offices, environmental safeguards on projects under implementation not well communicated to the overseers posing a challenge to proper implementation of projects.</p>	2
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Investment Management

12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>a. Evidence that the District/Municipality maintains an up-dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual:</p> <p>Score 2 or else score 0</p> <p><i>Note: the assets covered must include, but not limited to: land, buildings, vehicles and infrastructure. If those core assets are missing score 0</i></p>	<p>The LG maintained an IFMIS generated Assets Register with a system format different from that prescribed in the Local Government Accounting Manual, 2007.</p> <p>Although assets like Land, Buildings, Motor vehicles/Motorcycles, Furniture and Fittings, Office Equipment were categorized in the Register but infrastructure projects were missing.</p>	0
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>b. Evidence that the District/Municipality has used the Board of Survey Report of the previous FY to make Assets Management decisions including procurement of new assets, maintenance of existing assets and disposal of assets:</p> <p>Score 1 or else 0</p>	<p>The Annual Board of Survey Report for FY 2019/2020 was in place dated 5TH/8/2020 Ref.CR/108/1.</p> <p>Amongst the recommendations of the Board of Survey was engraving of assets which CAO had started implementing as evidenced by his communication to Senior Assistant Secretaries, all the Town Clerks and all Heads of Department dated 1st/7/2020 Ref.CR/167/4</p>	1

Planning and budgeting for investments is conducted effectively

Maximum 12 points on this Performance Measure

c. Evidence that District/Municipality has a functional physical planning committee in place which has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD. If so Score 2. Otherwise Score 0.

The District had a functional Physical Planning Committee in place which submitted at least 4 (four) sets of minutes to MoLHUD as evidenced below:

PPC Minutes of 25th/7/2019 were submitted to MoLHUD on 30th/9/2019 Ref.CR/214/46

PPC Minutes of 12th/9/2019 were submitted to MoLHUD on 30th/9/2019 Ref.CR/214/46

PPC Minutes of 27th/2/2020 were submitted to MoLHUD on 5th/3/2020 Ref.CR/214/13

PPC Minutes of 25th/9/2020 were submitted to MoLHUD on 10th/11/2020 Ref.CR/214/13

The PPC was comprised of 12 (twelve) members as listed below, short by the Physical Planner in private practice:

1. Ofwao Justine – Staff Surveyor
2. Emesu Simon Peter – Ag. District Engineer.
3. Eregu Michael – District Education Officer.
4. Ikodet Caroline – District Agricultural Officer.
5. Okolimong Daniel Joseph – District Water Officer.
6. Okalebo Echodu Samuel – District Community Development Officer.
7. Dr. Odeke Francis Engemu – District Health Officer
8. Asio Sarah – AG. Town Clerk – Kasilo TC.
9. Okiria Francis – Ag. Town Clerk – Serere TC.
10. Ereu Simon Peter – Ag. Town Clerk Kidetok TC.
11. Achamun Peter – Ag. Town Clerk Kadungulu TC.
12. Opio Sam – Senior Environment Officer.

The District did not have a Physical Development Plan but had a Building Plan Register for plans submitted for approval.

12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>d. For DDEG financed projects;</p> <p>Evidence that the District/Municipality has conducted a desk appraisal for all projects in the budget - to establish whether the prioritized investments are: (i) derived from the LG Development Plan; (ii) eligible for expenditure as per sector guidelines and funding source (e.g. DDEG). If desk appraisal is conducted and if all projects are derived from the LGDP:</p> <p>Score 2 or else score 0</p>	<p>The District conducted a desk appraisal for all prioritized projects in the budget to confirm inclusion in the LG DP and eligibility for expenditure as per sector guidelines. This was done jointly in the DTPC of 11th/9/2019 Agenda 7 Min No. 29/DTPC/09/2019 For instance the following DDEG prioritized projects were derived from the LG Development Plan:</p> <ol style="list-style-type: none"> 1. Construction of Finance Block as on page 217 of the LG Development Plan. 2. Construction of General Ward in Serere HC IV as on page 181 of the LG Development Plan. 3. Road maintenance on Kasilo Market to Kongoto P/s Road as on page 188 of the LG Development Plan. 4. Procurement of Furniture and Fittings for Planning Unit as on page 202 of the LG Development Plan. 5. Procurement of Furniture and Fittings for Administration department as on page 175 of the LG Development Plan. 	2
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>For DDEG financed projects:</p> <p>e. Evidence that LG conducted field appraisal to check for (i) technical feasibility, (ii) Environmental and social acceptability and (iii) customized design for investment projects of the previous FY:</p> <p>Score 2 or else score 0</p>	<p>The District failed to avail proper field appraisal reports covering the three aspects of field appraisal and admitted this as a performance gap.</p>	0
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>f. Evidence that project profiles with costing have been developed and discussed by TPC for all investments in the AWP for the current FY, as per LG Planning guideline and DDEG guidelines:</p> <p>Score 1 or else score 0.</p>	<p>The LG had not prepare Project Profiles for the current FY as at the time of assessment</p>	0

Planning and budgeting for investments is conducted effectively	g. Evidence that the LG has screened for environmental and social risks/impact and put mitigation measures where required before being approved for construction using checklists:	Evidenced from the screening forms signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO the LG carried out screening of environmental, social and climate as per sampled projects as below;;
Maximum 12 points on this Performance Measure	Score 2 or else score 0	<p>1. From the screening the screening form dated 9th December 2019, the LG screened the construction of a pit latrine in Oburin HCIII in Oburin village, Oburin Parish in Olio S/C. To provide protective gears to worker, sensitization of worker on HIV/AIDs, clearing of the site by removing debris, leveling and replanting of the grass, back filling of the site, planting of trees like mango trees. Proper labeling of the sign post for both men and women, live fencing of the site.</p> <p>2. From the screening form dated 20th November 2019, the LG constructed a sanitary facility in water office in Kiliota Village, Osugaro Ward in Serere T/C. To provide protective gears to worker, sensitization of worker on HIV/AIDs, clearing of the site by removing debris, leveling and replanting of the grass, back filling of the site, planting of trees like mango trees. Proper labeling of the sign post for both men and women, live fencing of the site.</p> <p>3. From the screening form dated 9th December 2019, the LG constructed of two classroom block in Kagwara seed secondary school in Kabulabula Village, Kadungula Parish in Kadungula S/C.</p> <p>To provide protective gears to worker, sensitization of worker on HIV/AIDs, clearing of the site by removing debris, leveling and replanting of the grass, back filling of the site, planting of trees like mango trees. Proper labeling of the sign post for both men and women, live fencing of the site.</p>

13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>a. Evidence that all infrastructure projects for the current FY to be implemented using the DDEG were incorporated in the LG approved procurement plan</p> <p>Score 1 or else score 0</p>	<p>DLG had evidence that all infrastructure projects for the current FY were incorporated in the LG current Procurement Work Plan approved by District Council under minute 19/03/DC/3/2020 signed by Otiira Gabriel Chairman Clerk to council dated 16/03/2020.</p> <p>Some of these Projects were as follows:</p> <ol style="list-style-type: none"> 1.Rehabilitation of a maternity Ward in Kadungulu HC11 Pg 1. 2.Construction of Four Stance Pit Latrine in Alos Primary School. Pg 2 3.Renovation of a staff House in Kanyangan Primary School Pg 2. 4.Construction of a 5 stance drainable Pit Latrine in Obutet Primary School. Pg 4. 5. Renovation of a maternity Ward in Atiira Sub county. Pg 5 6. Construction of a one drainable Pit Latrine in Kasilo Trading Centre. Pg 8. 7.Construction of a 2 drainable Pit Latrine in Kidetok Trading Centre Pg 8. 	1
13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>b. Evidence that all infrastructure projects to be implemented in the current FY using DDEG were approved by the Contracts Committee before commencement of construction:</p> <p>Score 1 or else score 0</p>	<p>There was evidence that all projects to be implemented in FY 2020/2021 using DDEG funds were approved by District Contracts Committee before implementation. Evaluation meetings were held and minutes recorded for the following 3 projects:</p> <ol style="list-style-type: none"> 1. Renovation of a staff House in Kanyangan Primary School was recorded and approved by DLG Contracts committee under minute 48/CC/06/2020-2021 dated 22nd June, 2020. 2. Construction of a Drainable Pit Latrine in Obutet Primary School was recorded and approved by DLG Contracts committee under minute 48/CC/06/2020-2021 dated 22nd June, 2020. 3.Rehabilitation of a maternity Ward in Kadungulu Health Centre 11 was recorded and approved by Contracts committee under minute 48/CC/06/2020-2021 dated 22nd June, 2020. 	1
13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>c. Evidence that the LG has properly established the Project Implementation team as specified in the sector guidelines:</p> <p>Score 1 or else 0</p>	<p>There was no evidence of Properly established PIT by LG.</p>	0

13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>d. Evidence that all infrastructure projects implemented using DDEG followed the standard technical designs provided by the LG Engineer:</p> <p>Score 1 or else score 0</p>	<p>1</p> <p>LG had evidence of some Projects implemented using DDEG funds having followed the standard technical designs provided by the LG Engineer.Example;.</p> <p>1.Construction of a 2 classroom Block in Lemtom Primary School. Ref: SERE596/Wrks/19-20/00008. by HOLY HANDS GENERAL AGENCIES Ltd was certified by District Engineer in a completion report dated 15/02/2020.</p> <p>2.Completion of a Finance Office Block at Serere District Headquarters. Ref: SERE 596/Wrks/19-20/00001. By Homeland Technical Services Ltd was certified by DLG Engineer in a completion report dated 24/02/2020.</p> <p>3.Construction of a 2 Classroom Block in Akoboi Primary School Ref: SERE596/Wrks/2019/2020/00005 by Bugoma Construction and Supplies CO. Limited was certified by Engineer in a completion report dated 24/02/2020.</p> <p>In all the above sampled Projects, technical designs were followed during implementation example Gauge 28 Pre-painted Galvanized iron sheets for roofing.</p>
13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>e. Evidence that the LG has provided supervision by the relevant technical officers of each infrastructure project prior to verification and certification of works in previous FY. Score 2 or else score 0</p>	<p>2</p> <p>The DLG implemented various projects with close supervision from joint team consisting of District Engineer, Environment Officer, DEO, DHO and CDO as follows:</p> <p>1.Construction of a 2 classroom Block in Lemtom Primary School. Ref: SERE596/Wrks/19-20/00008. by HOLY HANDS GENERAL AGENCIES Ltd was certified by District Engineer in a completion report dated 15/02/2020.</p> <p>Supervision visit was conducted by a joint team of key sector heads on 08/05/2020 and upon recommendation from DEO as Project manager, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.</p> <p>2.Construction of a 2 Classroom Block in Akoboi Primary School Ref: SERE596/Wrks/2019/2020/00005 by Bugoma Construction and Supplies CO. Limited was certified by Engineer in a completion report dated 24/02/2020.</p> <p>Supervision visit was conducted by a joint team of key sector heads on 08/05/2020 and upon recommendation from DEO as Project manager, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.</p> <p>3.Completion of a Finance Office Block at Serere District Headquarters. Ref: SERE 596/Wrks/19-20/00001. by Homeland Technical Services Ltd was certified by DLG Engineer in a completion report dated 24/02/2020 issued a certificate of work completion dated 24/02/2020.</p>

<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>f. The LG has verified works (certified) and initiated payments of contractors within specified timeframes as per contract (within 2 months if no agreement):</p> <p>Score 1 or else score 0</p>	<p>The LG had evidence of Certified works and payments initiated within timeframes as follows:</p> <p>1.Construction of a 2 Classroom Block in Akoboi Primary School Ref: SERE596/Wrks/2019/2020/00005 by Bugoma Construction and Supplies CO. Limited was certified by Engineer in a completion report dated 24/02/2020.Engineer issued Certificate of completion number 2 on 24/02/2020 and Subsequent payment of 56,036,501to the contractor was initiated and timely paid on 04/02/2020 upon recommendation by DEO.</p> <p>2.Completion of a Finance Office Block at Serere District Headquarters. Ref: SERE 596/Wrks/19-20/00001. by Homeland Technical Services Ltd was certified by DLG Engineer in a completion report dated 09/05/2020 issued a completion certificate and Subsequent payment of 49,943,571to the contractor was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p> <p>3.Construction of a 2 classroom Block in Lemtom Primary School. Ref: SERE596/Wrks/19-20/00008. by HOLY HANDS GENERAL AGENCIES Ltd was certified by District Engineer in a completion report dated 15/02/2020.</p> <p>Engineer issued certificate of work completion dated 08/05/2020. and Subsequent payment of 59,026,078 was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p>
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Procurement, contract management/execution	g. The LG has a complete procurement file in place for each contract with all records as required by the PPDA Law:	There was evidence that DLG had a complete procurement files in place for each contract as required by the PPDA Law. The following among other contracts sampled in the register were complete:
Maximum 8 points on this Performance Measure	Score 1 or else 0	<p>1. The copy of a bid document issued on 12/08/2019 for construction of a 2 Classroom Block at Ogera Primary School was evaluated on 12/08/2019. The contracts committee approved recommendations of Evaluation committee report to award a contract to Amunonut Contractors and Suppliers Ltd Ref: SERE596/Wrks/19-20/00006.at 57,997,590 in a letter under minute 05/CC/11/2019-2020 dated 06/11/2019.</p> <p>2.The copy of a bid document issued on 12/08/2019 for construction of a 2 in one staff House at Kyere Agule Primary School was evaluated on 26/08/2019.The contracts committee approved the recommendations of Evaluation committee report to award a contract to Hellen's Drug Shop Eastern Ltd Ref: SERE596/Wrks/19-20/00004 at Shs.58,505,544 .in award letter dated 08/09/2019 under minute 05/CC/11/2019-2020 of the same date.</p> <p>3.The copy of bid document issued on 12/08/2019 for construction of a two classroom Block at Otirono Primary School was evaluated on 26/08/2019. The contracts committee approved recommendations of Evaluation committee report to award a contract to Letsom Investments Limited.</p> <p>Ref: SERE596/Wrks/2019/2020/00007.at Shs. 55,259,400 in award letter under minute 05/CC/11/2019-2020 dated 06/11/2019.</p>

Environment and Social Safeguards

Grievance redress mechanism operational.	a. Evidence that the District/Municipality has i) designated a person to coordinate response to feed-back (grievance /complaints) and ii) established a centralized Grievance Redress Committee (GRC), with optional co-option of relevant departmental heads/staff as relevant.	The LG had designated a person to coordinate response to feed-back by the names of Mr. Otiira Gabrud through appointment letter dated 11th June 2018. and a centralized Grievance Redress Committee in place chaired by the CAO and heads of departments as other members.
Maximum 5 points on this performance measure	Score: 2 or else score 0	

14	<p>Grievance redress mechanism operational.</p> <p>Maximum 5 points on this performance measure</p>	<p>b. The LG has specified a system for recording, investigating and responding to grievances, which includes a centralized complaints log with clear information and reference for onward action (a defined complaints referral path), and public display of information at district/municipal offices.</p> <p>If so: Score 2 or else 0</p>	<p>Serere had a centralized complaints register with clear information and reference for onward action for recording, investigating and responding to grievances named Serere Complains and Grievances Register in a counter book format and labelled as Serere Complains and Grievance Register 2019/2020</p> <p>Serere had a centralized complaints register with clear information and reference for onward action for recording, investigating and responding to grievances named Serere Complains and Grievances Register which was a counter book and on its cover it was named as Serere Complains and Grievance Register 2019/2020</p>	2
14	<p>Grievance redress mechanism operational.</p> <p>Maximum 5 points on this performance measure</p>	<p>c. District/Municipality has publicized the grievance redress mechanisms so that aggrieved parties know where to report and get redress.</p> <p>If so: Score 1 or else 0</p>	<p>The LG used the notice board and grievance desk for publicizing the grievance redress mechanisms.</p> <p>The LG also used suggestion boxes as a tool to encourage the aggrieved parties submit suggestions, comment and complain.</p>	1
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>a. Evidence that Environment, Social and Climate change interventions have been integrated into LG Development Plans, annual work plans and budgets complied with: Score 1 or else score 0</p>	<p>Integration of Environment, Social and Climate Change interventions in the LGDP, AWP and Budget was complied with as evidenced below;</p> <p>1. Environment interventions were integrated into the LGDP as on pages 109-111 and Social and Climate change on pages 113-115.</p> <p>2. Environment interventions were integrated into the AWP as on page 89 and Social and Climate change on pages 104-111.</p> <p>3. Environment interventions were provided for in the budget estimates with Shs.43, 000,000 as on page 50 while Social and Climate change was provided with Shs.68, 591,000 as on pages 53-56.</p>	1
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>b. Evidence that LGs have disseminated to LLGs the enhanced DDEG guidelines (strengthened to include environment, climate change mitigation (green infrastructures, waste management equipment and infrastructures) and adaptation and social risk management</p> <p>score 1 or else 0</p>	<p>The LG disseminated the Enhanced DDEG guidelines to LLGs through TPC meeting attended by LLG staff held on 2nd/3/2020 Agenda No. 5 Min. No.63/DTPC/03/2020.</p>	1

15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>(For investments financed from the DDEG other than health, education, water, and irrigation):</p> <p>c. Evidence that the LG incorporated costed Environment and Social Management Plans (ESMPs) into designs, BoQs, bidding and contractual documents for DDEG infrastructure projects of the previous FY, where necessary:</p> <p>score 3 or else score 0</p>	<p>There was evidence the LG incorporated costed Environment and Social Management Plans (ESMPs) into designs as below;</p> <p>As evidenced from the construction of finance office block in kitiota cell at the District head Quarter.</p> <p>Costed ESMP included</p> <p>Land leveling for grass planting in selected institute at cost 100,000/=, land opening for tree planting in selected institute at 150,000/=.</p>	3
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>d. Examples of projects with costing of the additional impact from climate change.</p> <p>Score 3 or else score 0</p>	<p>There was no evidence that the LG had Examples of projects with costing of the additional impact from climate change</p>	0
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>e. Evidence that all projects are implemented on land where the LG has proof of ownership, access, and availability (e.g. a land title, agreement; Formal Consent, MoUs, etc.), without any encumbrances:</p> <p>Score 1 or else score 0</p>	<p>1 Out of 3 sampled projects project had proof of land ownership by the LG as mentioned below;</p> <p>Application for freehold tenure dated 24th January 2018, for Oburin HCIII, the land is approximately to 16 Acres, located in Akonyakinei Village, Oburin Parish, Olio S/C, Serere County in Serere District.</p>	0
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>f. Evidence that environmental officer and CDO conducts support supervision and monitoring to ascertain compliance with ESMPs; and provide monthly reports:</p> <p>Score 1 or else score 0</p>	<p>There was no evidence that the LG Environmental officer and CDO conducted support supervision and monitoring to ascertain compliance with ESMPs and monthly reports were not availed to assessor.</p>	0

15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>g. Evidence that E&S compliance Certification forms are completed and signed by Environmental Officer and CDO prior to payments of contractors' invoices/certificates at interim and final stages of projects:</p> <p>Score 1 or else score 0</p>	<p>There was evidence that the LG had certification forms signed by the Environmental Officer and CDO as below;</p> <p>1. From the environmental and socioills compliance certification form dated 29th June 2020, the LG certified the construction of a pit latrine in Oburin HCIII in Oburin village, Oburin Parish in Olio S/C.</p> <p>2. From the certification form dated 4th May 2020, the LG certified the construction of a sanitary facility in water office in Kiliota Village, Osugaro Ward in Serere T/C.</p> <p>3. From the certification form dated 23rd June 2020, the LG certified construction of two classroom block in Kagwara seed secondary school in Kabulabula Village, Kadungula Parish in Kadungula S/C.</p>	1
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Financial management

16	<p>LG makes monthly Bank reconciliations</p> <p>Maximum 2 points on this Performance Measure</p>	<p>a. Evidence that the LG makes monthly bank reconciliations and are up to-date at the point of time of the assessment:</p> <p>Score 2 or else score 0</p>	<p>The LG made monthly bank reconciliations and were up to -date at the point of time of assessment as evidenced in the 3 sampled bank accounts below:</p> <p>1.District General Fund Account:</p> <p>Opening Balance as at 1st/6/2020 was Shs. 8,722,166.</p> <p>Closing Balance as at 30th/6/2020 was Shs.4,025,460</p> <p>Opening Balance at 1st/7/2020 was Shs.4,025,460</p> <p>Closing Balance as at 31st/7/2020 was Shs.82,792,666</p> <p>Opening Balance as at 1st /8/2020 was Shs. 82,792,666.</p> <p>Closing Balance as at 31st/8/2020 was Shs.42, 712,621.</p> <p>Opening Balance as at 1st/9/2020 was Shs. 42,712,621.</p> <p>Closing Balance as 30th/9/2020 was Shs.16,543,364</p> <p>2.District ACDP Account:</p> <p>Opening Balance as at 1st/6/ 2020 was Shs. 10,200 ,975</p> <p>Closing Balance as at 30th/6/2020 was Shs.114,150</p> <p>Opening Balance as at 1st/7/2019 was 114,150.</p> <p>Closing balance as at 31st/7/2020 was Shs.50, 325.</p> <p>Opening Balance as at 1st/8/2019 was Shs. 50,325</p> <p>Closing balance as at 31st/8/2020 was Shs.50, 325.</p> <p>Opening Balance as at 1st/9/2019 was Shs. 50,325</p> <p>Closing balance as at 30th/9/2020 was Shs.50, 325.</p>	2
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Opening Balance as at 1st/10/2020 was Shs. 16,543,364

Closing balance as at 30th/9/2020 was Shs.20, 93894.

3.UWEP Account

Opening Balance as at 1st/6/2020 was Shs. 106,132

Closing balance as at 30th/9/2020 was Shs.106, 132.

Opening Balance as at 1st/7/2020 was Shs.16,537,250

Closing Balance as at 31st/7/2020 was Shs. 16,537,856.

Opening Balance as at 1st/8/2020 was Shs.16, 537,250.

Closing Balance as at 31st/8/2020 was Shs.16, 682,856.

Opening Balance as at 1st/9/2020 was Shs.16,537,250

Closing Balance as at 30th/9/2020 was Shs.20, 953,193.

Opening Balance as at 1st/10/2020 was Shs.16,537,250

Closing Balance as at 31st /10/2020 was Shs. 17,159,588

17	LG executes the Internal Audit function in accordance with the LGA Section 90 Maximum 4 points on this performance measure	a. Evidence that LG has produced all quarterly internal audit (IA) reports for the previous FY. Score 2 or else score 0	The LG produced all the quarterly internal audit reports for the previous FY as evidenced below: 1st Quarter Internal Audit Report addressed to District Speaker was produced on 29th/11/2019. 2nd Quarter Internal Audit Report addressed to District Speaker was produced on 27th/1/2020 3rd Quarter Internal Audit Report addressed to District Speaker was produced on 2nd/6/2020 4th Quarter Internal Audit Report addressed to District Speaker was produced on 9th/9/2020.	2
17	LG executes the Internal Audit function in accordance with the LGA Section 90 Maximum 4 points on this performance measure	b. Evidence that the LG has provided information to the Council/ chairperson and the LG PAC on the status of implementation of internal audit findings for the previous FY i.e. information on follow up on audit queries from all quarterly audit reports. Score 1 or else score 0	The LG provided information to the Council and LGPAC on status of implementation of internal findings for the previous FY but only in the 1st Quarterly Internal Audit Report addressed to the District Speaker through a clause captured as "Outstanding Audit issues from the Previous Audits".	1

LG executes the Internal Audit function in accordance with the LGA Section 90

Maximum 4 points on this performance measure

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

Score 1 or else score 0

The Internal Audit Reports for the previous FY were submitted to CAO and LGPAC as evidenced

below:

1st Quarterly Internal Audit Report for FY 2019/2020 was submitted to both CAO and LGPAC on 10th/12/2019.

2nd Quarterly Internal Audit Report for FY 2019/2020 was submitted to both CAO and LGPAC on 6th/3/2020.

3rd Quarterly Internal Audit Report for FY 2019/2020 was submitted to both CAO and LGPAC on an unspecified date.

4th Quarterly Internal Audit Report for FY 2019/2020 was submitted to both CAO and LGPAC on 15th/9/2020.

Local Revenues

LG has collected local revenues as per budget (collection ratio)

Maximum 2 points on this performance measure

a. If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realization) is within +/- 10 %: then score 2 or else score 0.

The LG local revenue budget (original budget) in FY 2019/2020 WAS Shs.795,312,432 as on page 4 in the budget estimates an page 11 in the Draft AFS.

Actual local revenue collected was Shs.511, 190,262 as on page 11 of the Draft AFS.

The budget realization was -35.8%

Workings:

$511,190,262/795,312,432 \times 100 = 64.2\% - 100\% = -35.8\%$.

Low local revenue collection was attributed to taking over of landing sites (major source of revenue) by Fisheries Protection Unit.

In addition COVID-19 pandemic which led to closure of markets also contributed to low collection.

19	<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 2 points on this Performance Measure.</p>	<p>a. If increase in OSR (excluding one/off, e.g. sale of assets, but including arrears collected in the year) from previous FY but one to previous FY</p> <ul style="list-style-type: none"> • If more than 10 %: score 2. • If the increase is from 5% -10 %: score 1. • If the increase is less than 5 %: score 0. 	<p>The LG collected Shs. 249,248,474 of OSR (excluding Sale of Assets) in FY 2018/2019 as on page 6 of the AFS whereas Shs. 511,190,262 was collected in FY 2019/2020 registering an increase of Shs. 261,941,788.</p> <p>The percentage increase was 105%.</p> <p>Workings:</p> $261,941,788/249,484,474 \times 100 = 105\%$ <p>The big percentage increase was due to bumper harvest of cash crops such as Maize, Sim sim, and Oranges which translated into more revenue in form of taxes collected.</p> <p>The LG also registered high turn-over from sale of tender bids which fetched Shs. 158,000,000 in FY 2019/2020.</p>	2
20	<p>Local revenue administration, allocation, and transparency</p> <p>Maximum 2 points on this performance measure.</p>	<p>a. If the LG remitted the mandatory LLG share of local revenues during the previous FY: score 2 or else score 0</p>	<p>The LG was rolled on IFMIS in the previous FY and did not know that the advance revenue from the centre was sharable with LLGs as MoFPED had not communicated to them thus Shs. 198,000,000 received in 1st Quarter FY 2019/2020 was not subjected to sharing as required.</p> <p>The LG did not receive further revenues from BOU in 2nd and 3rd quarters as it had not fully paid back Shs. 198,000,000 advanced in 1st quarter.</p> <p>Fourth Quarter release of was Shs 75,503,241 of which Shs. 55,477,813 was transferred to LLGS as evidenced by the acknowledgement receipts from LLGS.</p> <p>Bugondo Sc: Shs.16,492,763</p> <p>Labori Sc: Shs. 5,992,045</p> <p>Pingire Sc: Shs. 1,337,700</p> <p>Kateta Sc: Shs. 15,373,305</p> <p>Kadungulu Sc: Shs. 1,625,000</p> <p>Olio Sc: Shs. 780,000</p> <p>Kadungulu TC: Shs. 2,227,000</p> <p>Serere TC: Shs. 9,800,000</p> <p>Kasilo TC: Shs. 1,850,000</p> <p>TOTAL: Shs. 55,477,813</p>	2

Transparency and Accountability

21	<p>LG shares information with citizens</p> <p>Maximum 6 points on this Performance Measure</p>	<p>a. Evidence that the procurement plan and awarded contracts and all amounts are published: Score 2 or else score 0</p>	<p>DLG had evidence of information regarding award of contracts being published as follows:</p> <ol style="list-style-type: none"> 1. Construction of a 2 Classroom Block in Akoboi Primary School Ref: SERE596/Wrks/2019/2020/00005 was awarded to Bugoma Construction and Supplies CO at 56,036,501. was certified by Engineer in a completion report dated 24/02/2020. 2. Completion of a Finance Office Block at Serere District Headquarters. Ref: SERE 596/Wrks/19-20/00001. Was awarded to Homeland Technical Services Ltd at 49,943,571 Engineer issued a completion report dated 09/05/2020 3. Construction of a 2 classroom Block in Lemtom Primary School. Ref: SERE596/Wrks/19-20/00008. Was awarded to HOLY HANDS GENERAL AGENCIES Ltd at 59,026,078 was certified by District Engineer in a completion report dated 15/02/2020. 	2
21	<p>LG shares information with citizens</p> <p>Maximum 6 points on this Performance Measure</p>	<p>b. Evidence that the LG performance assessment results and implications are published e.g. on the budget website for the previous year: Score 2 or else score 0</p>	<p>The LGPA results for the previous year were publicized as evidenced on the LG Notice board dated 5th/5/2020 CR/161/1.</p> <p>The results were:</p> <p>Accountability Requirements: 67%</p> <p>Cross cutting Measures: 74%</p> <p>Education Sector Performance Measures: 79%</p> <p>Health Sector Performance Measures: 41%</p> <p>Water Sector Performance Measures: 66%</p>	2
21	<p>LG shares information with citizens</p> <p>Maximum 6 points on this Performance Measure</p>	<p>c. Evidence that the 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 or else score 0</p>	<p>The LG claimed to have provided feed-back to the public on status of activity implementation but lacked explicit documentary evidenced.</p>	0
21	<p>LG shares information with citizens</p> <p>Maximum 6 points on this Performance Measure</p>	<p>d. Evidence that the LG has made publicly available information on i) tax rates, ii) collection procedures, and iii) procedures for appeal: If all i, ii, iii complied with: Score 1 or else score 0</p>	<p>The LG lacked documentary evidence of publicity made on tax rates, collection procedures and appeal procedures.</p>	0

Reporting to IGG

Maximum 1 point on
this Performance
Measure

a. LG has prepared an IGG report which will include a list of cases of alleged fraud and corruption and their status incl. administrative and action taken/being taken, and the report has been presented and discussed in the council and other fora. Score 1 or else score 0

The LG did not have cases of alleged fraud and corruption reported to IGG in the previous FY thus no report on IGG issues was in place.

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	<p>Learning Outcomes: The LG has improved PLE and USE pass rates.</p> <p>Maximum 7 points on this performance measure</p>	<p>a) The LG PLE pass rate has improved between the previous school year but one and the previous year</p> <ul style="list-style-type: none"> • If improvement by more than 5% score 4 • Between 1 and 5% score 2 • No improvement score 0 	<p>The LG PLE pass rate improved between the previous school year but one and the previous year.</p> <p>2019 UPE results for 1, 2, 3 grades.</p> $76+2,200+1,783=4,059/6,129*100=66\%$ <p>2018 UPE results for 1, 2, 3 grades.</p> $152+1,572+1,563=3,287/5,460*100=60\%$ <p>66%-60%=6% improvement.</p>	4
1	<p>Learning Outcomes: The LG has improved PLE and USE pass rates.</p> <p>Maximum 7 points on this performance measure</p>	<p>b) The LG UCE pass rate has improved between the previous school year but one and the previous year</p> <ul style="list-style-type: none"> • If improvement by more than 5% score 3 • Between 1 and 5% score 2 • No improvement score 0 	<p>The LG UCE pass rate improved between the previous school year but one and the previous year.</p> <p>2018 UCE results for 1, 2, 3 grades.</p> $49+215+449=713/2,118*100=34\%$ <p>2019 UCE results for 1, 2, 3 grades.</p> $27+246+560=833/2,272*100=37\%$ <p>37%-34%=3%</p>	3
2	<p>Service Delivery Performance: Increase in the average score in the education LLG performance assessment.</p> <p>Maximum 2 points</p>	<p>a) Average score in the education LLG performance has improved between the previous year but one and the previous year</p> <ul style="list-style-type: none"> • If improvement by more than 5% score 2 • Between 1 and 5% score 1 • No improvement score 0 	Not applicable	0

Investment
Performance: The LG
has managed
education projects as
per guidelines

Maximum 8 points on
this performance
measure

a) If the education development grant
has been used on eligible activities
as defined in the sector guidelines:
score 2; Else score 0

Education development grant was used on eligible
activities as defined in the sector guidelines.

Local Government Guidelines for Education Sector –
May 2019 Page 12, under area (Development grant
item code 321470), the activities eligible for the
development grant under education are listed. For
instance:

- construction and rehabilitation of existing
infrastructure and facilities including supply of
furniture.

- New school constructions

- construction of seed secondary schools, among
others.

The DLG Approved work plan FY 2019/2020 showed
the planned activities as follows:

Output 078180 classroom construction and
rehabilitation under UPE;

4 classroom blocks constructed in Agurur, Otirono,
Akoboi and Ogera primary schools. Pg.66.

Output 078183 provision of furniture to primary
schools. Pg.66.

Serere DLG 4thQuarterly Performance Report FY
2019/2020, showed construction of classrooms,
construction of seed school and supply of desks.

4th Quarter report showed Output: 078180 –
Classroom construction and rehabilitation.

(4) classroom blocks constructed in Agurur P/S,
Otirono P/S, Akoboi P/S, and Ogera P/S. Pg. 68.

Output 078183 – Provision of furniture to primary
schools.

(7) primary schools receiving furniture (3 seater
desks);

Akoboi P/S,

Agurur P/S,

Otirono P/S

Ogera P/S

Ajoba P/S

Pingire P/S

Bugondo P/S

Sapir P/S

And Oburin P/S,

Owing, Agule, Kamurojo, Kakor, Agule Kyere. Pg.68.

Investment
Performance: The LG
has managed
education projects as
per guidelines

Maximum 8 points on
this performance
measure

b) If the DEO, Environment Officer
and CDO certified works on
Education construction projects
implemented in the previous FY
before the LG made payments to the
contractors score 2 or else score 0

The DEO certified works on Education construction
projects implemented in 2019/2020 before the LG
made payments to the contractors.

Serere DLG Agreement for an Admeasurement
contract dated 26th /11/2019, Ms Holy Hands General
Agencies Ltd, No. Sere/596/WRKS/2019/2020/00008,
for the construction of a two classroom block at
Lemtom P/S, worth UGX 59,026,078. Signed by
Atama Gabriel Richard – CAO, Eregu Michael – DEO
and Contractor – Ojulla Samuel.

Voucher No, 30312839 dated 26th/6/2020 to Ms. Holy
Hands General Agencies Ltd - Serere worth UGX
29,119,729 for the construction of a two classroom
block at Lemtom P/S. certificate No.2 dated
17th/6/2020 worth UGX 29,119,729. signed by Emesu
Simon Peter- District Engineer, CAO and DEO.

Serere DLG Agreement for an Admeasurement
contract, dated 26th /11/2019. No.
Sere/596/WRKS/2019-2020/00006, worth UGX
57,997,590 to Ms. Amunonut Contractors and
Supplies for the construction of a two classroom block
at Ogera P/S -SFG. Signed by Atama Gabriel Richaeld
- CAO, Eregu Michael – DEO and Contractor – Eyabu
Oluga George.

Voucher No. 29863394 dated 25rd/5/2020 to Ms.
AMUNONUT CONTRACTORS AND SUPPLIERS,
worth UGX 10,306,267 for the construction of a two
classroom block at Ogera P/S – SFG. Certificate No.2
dated 26st /5/2020 worth UGX 10,306,267. Signed by
District Engineer – Emesu Simon Peter, CAO, DEO.

Serere DLG Agreement for an Admeasurement dated
26th/11/2019, No. Sere/596/WRKS/2019-20/00004.
To Ms. Hellen's Drug shop Olup Eastern Ltd,
Construction of a two classroom block at Agule-Kyere
P/S, worth UGX 58,505,544. Signed by Atama Gabriel
Richard - CAO, Eregu Michael – DEO and Contractor
– Ekojait Paul.

Voucher No. 29731059 dated 4rd/ /6/2020 to Ms.
Hellen's Drug Shop Olup Eastern Ltd for the
construction of a two classroom block at Agule-Kyere
P/S, worth UGX 16,031,313. Certificate No.3 dated
14th/5/2020 signed by District Engineer, CAO and
DEO.

Serere DLG Lumpsum contract for supply of 3 seater
Desks to lower primary Lot 1. No.
Sere/596/SUPP/2019-2020/00024, dated
24th/10/2019 to Ms. Rwanzekuhunga Engineering
Consultants to Agule-Kyere P/S, Akoboi P/S, Ogera
P/S, Sapir P/S, Lemtom P/S, Otirono P/S and
OburinP/S, worth UGX 123,000 per desk. Signed by
CAO, DEO and Contractor.

Voucher No. 28795161, dated 14th/4/2020 worth UGX
29,136,240, for the supply of 252 desks to Agule-
Kyere P/S, Akoboi P/S, Ogera P/S, Sapir P/S, Lemtom
P/S, Otirono P/S and OburinP/S,

Investment
Performance: The LG
has managed
education projects as
per guidelines

Maximum 8 points on
this performance
measure

c) If the variations in the contract price
are within +/-20% of the MoWT
estimates score 2 or else score 0

Variations in the contract Price for Education projects
were as follows:

1. Engineer's Estimate for construction of a 2
classroom Block at Akoboi Primary school was
60,000,000 and contractor's price was 56,036,501.
Variation of Shs. 3,963,499, was within +20% of LG
Engineer's estimate.

2. Engineer's Estimate for Construction of a 2
classroom Block at Lemtom Primary School was
60,000,000.

Contractor's Price was 59,026,078

Variation of 973,922 was within 20% of the Engineer's
estimate.

Investment
Performance: The LG
has managed
education projects as
per guidelines

Maximum 8 points on
this performance
measure

d) Evidence that education projects
were completed as per the work plan
in the previous FY

- If 100% score 2
- Between 80 – 99% score 1
- Below 80% score 0

The DLG supervised the Education projects with team
consisting of District Engineer, Environment Officer,
DEO and CDO as follows:

1. Construction of a 2 Classroom Block in Akoboi
Primary School Ref:
SERE596/Wrks/2019/2020/00005 by Bugoma
Construction and Supplies CO. Limited was certified
by Engineer in a completion report dated 24/02/2020.
Engineer issued Certificate of completion Number 2
on 24/02/2020 and Subsequent payment of
56,036,501 to the contractor was initiated and timely
paid on 04/05/2020 upon recommendation by DEO.

2. Construction of a Classroom Block in Ogera Primary
School by Amunonut Contractors and Suppliers Ltd
Ref: SERE596/Wrks/19-20/00006. was Certified by
Engineer in a completion report dated 24/04/2020 and
payment of 57,997,590 to the contractor was and
timely paid on 04/05/2020 upon recommendation from
DEO.

3. Construction of a 2 classroom Block in Lemtom
Primary School. Ref: SERE596/Wrks/19-20/00008. by
HOLY HANDS GENERAL AGENCIES Ltd was
certified by District Engineer in a completion report
dated 15/04/2020.

Engineer issued certificate of work completion dated
08/05/2020. and Subsequent payment of 59,026,078
was initiated and timely paid on 13/05/2020 upon
recommendation by DEO.

4	<p>Achievement of standards: The LG has met prescribed school staffing and infrastructure standards</p> <p>Maximum 6 points on this performance measure</p>	<p>a) Evidence that the LG has recruited primary school teachers as per the prescribed MoES staffing guidelines</p> <ul style="list-style-type: none"> • If 100%: score 3 • If 80 - 99%: score 2 • If 70 – 79% score: 1 • Below 70% score 0 	<p>Teachers in post or recruited were 1196</p> <p>Teachers ceiling was 1620</p> <p>Giving a percentage of 74%</p>	1
4	<p>Achievement of standards: The LG has met prescribed school staffing and infrastructure standards</p> <p>Maximum 6 points on this performance measure</p>	<p>b) Percent of schools in LG that meet basic requirements and minimum standards set out in the DES guidelines,</p> <ul style="list-style-type: none"> • If above 70% score: 3 • If between 60 - 69%, score: 2 • If between 50 - 59%, score: 1 • Below 50 score: 0 	<p>Schools in Serere LG met basic requirements and minimum standards set out in the DES guidelines.</p> <p>The LG had a copy of the Basic Requirements and Minimum Standards for schools 2010.</p> <p>UPE – Asset Register 2019/2020 showed 97 P/S that met the guideline. This also indicated those that needed rehabilitation and the required.</p> <p>$97/97 \times 100 = 100\%$</p> <p>Total number of UPE schools being 97.</p> <p>USE – Asset Register 2019/2020 showed 14 schools that met the guideline.</p> <p>$14/14 \times 100 = 100\%$.</p> <p>Total number of USE schools is 14.</p> <p>This was consistent from 2018.</p> <p>The newly constructed classrooms were not included in the register because they are yet to be commissioned.</p>	3

Performance Reporting and Performance Improvement

Accuracy of reported information: The LG has accurately reported on teaching staff in place, school infrastructure, and service performance.

Maximum 4 points on this performance measure

a) Evidence that the LG has accurately reported on teachers and where they are deployed.

- If the accuracy of information is 100% score 2
- Else score: 0

There was evidence that LG had accurately reported on teachers' deployment.

Serere DLG Department of Education Teacher data/Staff List 2020, showed the deployment of 1,196 teachers (in post). The following schools were sampled:

1. Olio P/S - 12
2. Okulonyo P/S - 11
3. Bugondo P/S - 14

3 same schools were visited and found the following:

1. Olio P/S had a staff list of 12(6 male and 6 female) teachers deployed. This was the same in both records.

For further verification, Okia Fred's personal file was picked. 'Lateral Transfer letter' dated 21st/1/2013. Transferred from Kongoto P/S to Olio P/S. Signed by Agum Moses – CAO Serere.

Iyara Veronica, posting instructions to Olio P/S, dated 16th/1/1997. Signed by DEO.

2. Okulonyo P/S had 11 (6male and 5 female) teachers deployed as seen in their staff list displayed. This was same reflection of the names from both records.

Further verification,

Eneru Samuel, posting instructions dated 27th/5/2015 to Okulonyo as Deputy Head Teacher. Ref CR/161/6. Signed by Agum Moses – CAO.

Alinga Mary, posting instructions dated 27th/5/2015 to Okulonyo P/S as Education Assistant II. Ref. CR/161/6. Signed by Agum Moses – CAO.

3. Bugondo P/S had 14 (10 male and 4 female) teachers deployed as seen in their staff list displayed on the wall. Both records had the same information.

For further verification,

Ojur Peter, Lateral transfer letter dated 27th/1/2020, Ref. CR/161/6. Transfer from Apapai Kasilo P/S to Bugondo P/S as Education Assistant. Signed by Atama Gabriel Richard – CAO.

Emasu Samson, Lateral transfer letter dated 27th/1/2020, Ref. CR/161/6. Transfer from Kateta Model P/S to Bugondo P/S as Deputy Head Teacher. Signed by Atama Gabriel Richard – CAO.

Ojuu John, Lateral transfer letter dated 2nd/2/2017 from Otirono P/S to Bugondo P/S as Education Assistant II. Signed by Agum Moses – CAO.

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

Accuracy of reported information: The LG has accurately reported on teaching staff in place, school infrastructure, and service performance.

Maximum 4 points on this performance measure

b) Evidence that LG has a school asset register accurately reporting on the infrastructure in all registered primary schools.

- If the accuracy of information is 100% score 2

- Else score: 0

There was evidence that LG had a school asset register accurately reporting on the infrastructure in all registered primary schools.

3 schools were visited and found the following:

OlioP/S in the LG asset register reported for instance;

- 11 classrooms
- 5 stance pit latrine
- 4 staff houses
- 108 desks.

The same numbers were found at school and in the school asset register. However, there was a difference in stance, school had reported 6.

Okulonyo P/S in the LG asset register reported:

- 8classrooms
- 4 stance pit latrine
- 10 staff houses
- 160 desks

This was found at school and in the school asset register. Except the staff houses which showed 4 staff houses.

BugondoP/S in the LG asset register reported:

- 10 classrooms
- 5 stance pit latrine
- 4 staff houses
- 177 desks.

This was found at school and included in the school asset register.

School compliance and performance improvement:

Maximum 12 points on this performance measure

a) The LG has ensured that all registered primary schools have complied with MoES annual budgeting and reporting guidelines and that they have submitted reports (signed by the head teacher and chair of the SMC) to the DEO by January 30. Reports should include among others, i) highlights of school performance, ii) a reconciled cash flow statement, iii) an annual budget and expenditure report, and iv) an asset register:

- If 100% school submission to LG, score: 4
- Between 80 – 99% score: 2
- Below 80% score 0

Serere LG ensured that all registered primary schools complied with MoES annual budgeting and reporting guidelines and submitted reports.

Serere DLG education Department had a file of school reports submitted mostly in December, 2019. The reports included, accountabilities, asset registers, annual work plans (including SIP) and other updates from each school.

sampled schools:

1. Okulonyo P/S submitted a report dated 18th/12/2019 titled, 'End of year report' and it included; school enrolments, expenditure, school performance and Asset register.

2. Bugondo P/S submitted a report dated 12/12/2019; titled 'End of year Report' which included asset register, expenditure and school performance.

3. Olio P/S submitted a report dated 29th/11/2019. The report included summary expenditure of the UPE release of term 3, asset register and the enrolments.

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

School compliance and performance improvement:

Maximum 12 points on this performance measure

b) UPE schools supported to prepare and implement SIPs in line with inspection recommendations:

- If 50% score: 4
- Between 30– 49% score: 2
- Below 30% score 0

UPE schools were supported to prepare and implement SIPs in line with inspection recommendations.

Schools have been supported to prepare the SIPs.

3 schools sampled:

Olio P/S had a School Implementation plan for 2017/2021 displayed on the head teacher's office wall. Some of the activities included were on going and others completed like;

- connecting electricity to the office, - midday meals for both learners and the teachers.

- construction of one teacher house by parents was on going.

Okulonyo P/S had SIP 2015/2020 in place and displayed on the wall of the head teacher's office. Some of the activities completed in the plan included:

-construction of 2 teacher houses

- kitchen was built

- Midday meals for both learners and the teachers was on going and the remedial classes.

Bugondo P/S had SIP 2020/2021 displayed in the staff room. The activities listed in the plan had not been implemented except the ongoing provision of meals for both the teachers and the learners.

School compliance and performance improvement:

Maximum 12 points on this performance measure

c) If the LG has collected and compiled EMIS return forms for all registered schools from the previous FY year:

- If 100% score: 4:
- Between 90 – 99% score 2
- Below 90% score 0

SerereLG collected and compiled EMIS return form for all registered schools 2019/2020.

Serere DLG had a total of 97 primary schools and 14 secondary schools in their List of schools and Enrolments 2019/2020 and MoES schools with Enrolment showed 97 primary schools and 14 secondary schools.

$$97/97*100=100\%$$

$$14/14*100=100\%$$

Sample names of the schools in both records seen:

- Olio P/S
- OkulonyoP/S
- Bugondo P/S
- Kagwara P/s
- Akudam P/S
- Kyere SS
- Kamod SS
- Kadungulu SS.

Human Resource Management and Development

Budgeting for and actual recruitment and deployment of staff: LG has substantively recruited all primary school teachers where there is a wage bill provision

Maximum 8 points on this performance measure

a) Evidence that the LG has budgeted for a head teacher and a minimum of 7 teachers per school or a minimum of one teacher per class for schools with less than P.7 for the current FY:

Score 4 or else, score: 0

There was evidence that the LG had budgeted for a Head Teacher and minimum of 7 teachers per school or a minimum of one teacher per class for schools with less than P.7.

Serere DLG had budgeted for UGX 8,398,579,000 for the FY 2020/2021 as seen in Serere DLG Budget Estimates FY 2020/2021. Pg.25

1,500 teachers for 97 primary schools in the current FY 2020/2021 as indicated in the Serere DLG Approved work plan FY 2020/2021, Pg.65

$$1,500/97=15$$

1,500 teachers for 97 schools gives an average of 15 teachers per school.

Budgeting for and actual recruitment and deployment of staff: LG has substantively recruited all primary school teachers where there is a wage bill provision

Maximum 8 points on this performance measure

b) Evidence that the LG has deployed teachers as per sector guidelines in the current FY,

Score 3 else score: 0

There was evidence that the LG deployed teachers as per sector guidelines in the current year 2020/2021.

Serere DLG Education and Sports Department School Staff List 2020 showed a total of 1,196 teachers for 97 schools.

3 schools were visited and the following was found:

1.Olio P/S had 12 (6 male and 6 female) government paid teachers and in the daily attendance of 18th/11/2020, 10 teachers were in attendance.2 were out for a burial.

- Okia Fred

- Amuge Juliet

- Iyara Veronica

Appeared in both records of DLG Staff List and school staff list.

2.Okulonyo P/S had 11 (6 male and 5 female) teachers and in their daily attendance of 20th/11/2020, they had full attendance of teachers.

Sample names of the teachers in both records.

- Enenu Samuel

- Alinga Margaret

- Ekoyu Stephen

3.Bugondo P/S had 14 (10 male and 4 female) government paid teachers. In the daily attendance of 19h/11/2020, 12 teachers attended. The two did not sign but were present at school.

Sample names of the teachers in both records.

- Emasu Samson

- Ojuu John

- Ojur Peter.

Budgeting for and actual recruitment and deployment of staff: LG has substantively recruited all primary school teachers where there is a wage bill provision

Maximum 8 points on this performance measure

c) If teacher deployment data has been disseminated or publicized on LG and or school notice board,

score: 1 else, score: 0

The teachers' deployment data was disseminated or publicized on school notice boards.

Serere LG did not have their Staff List displayed on the DEO's Office notice board.

Olio P/S had their list displayed on the wall of head teachers' office showing the names of 12 government aided teachers.

Okulonyo P/S had staff list of 11 government aided teachers displayed on head teacher's office.

Bugondo P/S had staff list of 14 government aided teachers displayed on the head teacher's office wall.

8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>a) If all primary school head teachers have been appraised with evidence of appraisal reports submitted to HRM with copy to DEO/MEO</p> <p>Score: 2 or else, score: 0</p>	<p>All 79 performance reports for primary school head teachers were availed such as</p> <p>Abenyan Moses H/T of Kanyangan P/S appraised on 14th Jan 2020 .</p> <p>Echemu Justis H/T of Nananga P/S appraised on 14th Jan 2020</p> <p>Elwayu Abraham H/T of Nyasana Community P/S appraised on 14th Jan 2020</p>	2
8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>b) If all secondary school head teachers have been appraised with evidence of appraisal reports submitted by D/CAO (or Chair BoG) to HRM</p> <p>Score: 2 or else, score: 0</p>	<p>Performance reports for all secondary school head teachers not availed to the assessment team. `</p>	0
8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>c) If all staff in the LG Education department have been appraised against their performance plans</p> <p>score: 2. Else, score: 0</p>	<p>All the staff of the LG Education department had been appraised as below;</p> <p>-Eregu Michael(DEO) appraised on 14th July 2020</p> <p>-Icuman Annet (Senior inspector of schools – appraised on 8th July 2020</p> <p>- Omoding Francis (inspector of schools) appraised on 21st July 2020.</p>	2

8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>d) The LG has prepared a training plan to address identified staff capacity gaps at the school and LG level,</p> <p>score: 2 Else, score: 0</p>	<p>No evidence presented that indicated that the LG to address identified staff capacity gaps at the school and LG level over the previous year.</p>	0
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Management, Monitoring and Supervision of Services.

9	<p>Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.</p> <p>Maximum 8 points on this performance measure</p>	<p>a) The LG has confirmed in writing the list of schools, their enrolment, and budget allocation in the Programme Budgeting System (PBS) by December 15th annually.</p> <p>If 100% compliance, score:2 or else, score: 0</p>	<p>The LG confirmed in writing the list of schools, enrolment and budget allocation in programme Budgeting system (PBS).</p> <p>In the MoES school list, 97UPE primary schools with 85,332 total enrolments which was the same in Serere DLG list of schools and enrolments 2020.</p> <p>In the MoES School list, 14 USE with total enrolment of 6,306 secondary schools same as Serere DLG list of schools and enrolment.</p> <p>Total number of schools confirmed in writing with enrolments and budgets are $97+14=111$.</p> <p>$111/111*100=100\%$</p>	2
9	<p>Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.</p> <p>Maximum 8 points on this performance measure</p>	<p>b) Evidence that the LG made allocations to inspection and monitoring functions in line with the sector guidelines.</p> <p>If 100% compliance, score:2 else, score: 0</p>	<p>There was evidence that the LG made allocations to inspection and monitoring functions in line with the sector guidelines.</p> <p>Sector guideline was disseminated by MoES and hard copy presented for assessment in the DEO's office.</p> <p>Management and inspection functions are included in the work plan (PBS extract 2019/2020). Total budget for inspection was UGX 89,301,00.</p> <p>In the Serere DLG quarterly performance report (4th quarter) 2019/2020, showed UGX 122,149,000 spent.</p> <p>$89,301,000/122,149,000*100=137\%$</p>	2

Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.

Maximum 8 points on this performance measure

c) Evidence that LG submitted warrants for school's capitation within 5 days for the last 3 quarters

If 100% compliance, score: 2 else score: 0

The LG submitted warrants for school's capitation within 5 days as required as evidenced below:

1st Quarter Cash limits were loaded on 2nd/8/2019 and warranted on 4th/8/2019 within 2days only.

3rd Quarter Cash limits were loaded on 22nd/1/2020 and warranted on the same day.

4th Quarter Cash limits were loaded on 22nd/4/2020 and warranted on 23rd/4/2020 within one day.

Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.

Maximum 8 points on this performance measure

d) Evidence that the LG has invoiced and the DEO/ MEO has communicated/ publicized capitation releases to schools within three working days of release from MoFPED.

If 100% compliance, score: 2 else, score: 0

There was evidence that LG invoiced and DEO communicated, publicized capitation releases to schools within three working days' release from MoFPED

UPE Releases for quarter 3 and 4 2019/2020 and Q1 2020/2021 were publicized on the DEO's notice board. Invoices from the CFO's office.

3 sampled schools.

Olio P/S invoices;

Q4 invoice no. 528100 dated 12th/5/2020 UGX2,606,000.

Q3 invoice 528100 dated 6th/2/2020 UGX 2,606,000

Q1 invoice 32174135 dated 17th/11/2020, UGX 566,157.

Okulonyo P/S invoices.

Q3 invoice 528099 dated 6th/2/2020, UGX 4,262,000.

Q4 invoice 528099 dated 12th/5/2020, UGX 4,262,000.

Q1 invoice 32174230 dated 17th/11/2020 UGX 566,157.

Bugondo P/S invoices.

Q3 invoice 528046 dated 12th/5/2020, UGX 4,246,000.

Q4 invoice 528046 dated 6th/2/2020, UGX 4,246,000.

Q1 invoice 32168395 dated 9th/11/2020, UGX 566,157.

10	<p>Routine oversight and monitoring</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>a) Evidence that the LG Education department has prepared an inspection plan and meetings conducted to plan for school inspections.</p> <ul style="list-style-type: none"> • If 100% compliance, score: 2, else score: 0 	<p>There was some evidence that Serere LG Education Department prepared an inspection plan and meetings conducted to plan for school inspections.</p> <p>Serere DLG work plan for school Inspection and budget 2019/2020 for term 3,2019. Plan prepared by District Inspector of Schools.</p> <p>Serere DLG work plan for school Inspection and Budget 2019/2020 for term 2, 2019. Prepared by District Inspector of schools.</p> <p>$2/3 \times 100 = 67\%$</p>	0
10	<p>Routine oversight and monitoring</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>b) Percent of registered UPE schools that have been inspected and monitored, and findings compiled in the DEO/MEO's monitoring report:</p> <ul style="list-style-type: none"> • If 100% score: 2 • Between 80 – 99% score 1 • Below 80%: score 0 	<p>SerereDLG had 97 government aided schools and 14 secondary schools.</p> <p>Mostly government aided schools were inspected for the three terms.</p> <p>Term 1, 2019 inspection report dated 20th/2/2019. Inspections were conducted in 97 UPE schools. Report prepared by Olupot Samuel – DIS.</p> <p>Term 2, 2019 inspection report dated 19th/8/2019, inspections were done in 176 UPE and private licensed schools and 35 secondary schools both USE and private. Prepared by Olupot Samuel.</p> <p>Term 3,2019 inspection report dated 10/2019, inspections were done in 97 UPE schools and 14 USE schools. Report prepared by Olupot Samuel.</p> <p>Issues arising in all reports;</p> <ul style="list-style-type: none"> -quality of staff deployed and their development - quality of access, equity and cross cutting issues - management of resources and equipment in schools. - keeping clean environment in all schools - record keeping in schools is still a challenge - good relationship between the learners and the teachers. - construction of teacher houses. - feedback forms to be left at schools after inspections. <p>100% inspection done.</p>	2

Routine oversight and monitoring

Maximum 10 points on this performance measure

c) Evidence that inspection reports have been discussed and used to recommend corrective actions, and that those actions have subsequently been followed-up,

Score: 2 or else, score: 0

There was scanty evidence that inspection reports were discussed and used to recommend corrective action and subsequent follow up at LG level.

At DEO's office, the following minutes were reviewed.

Departmental meeting held on 17th/2/2020 at DIS office, attended by 8 people and in minute 5 'School Mapping and Review of term 3, 2019 inspection report. The following was pointed out:

- Assessors inspected all the 97 schools
- Head teachers to balance the deployment in all classes both upper and lower primary.

Teachers to follow the time tables.

Head teachers to supervise the scheming. Signed by DIS as chairperson.

Minutes of the meeting on school inspection held on 24th/6/2019 at Education department term two 2019. Minute 3/S1/06/2019: communication from the district inspector of schools. She introduced the new tool to the Associate Assessors and requested that some Assessors will continue using the hard copies while others will use the tablets. Members were urged to do their work well by inspecting all-round the schools. Members were asked to write reports clearly such that information can be captured. Meeting was attended by 12 members. Signed by Olupot Samuel.

3 schools were visited and found the following:

OlioP/S had inspection report for term 1, 2019 dated 27th/2/2019. Conducted by Christine Magaret- Associate Inspector.

Term 2 and term 3 inspection reports were not seen.

No minutes were presented discussing inspection reports.

OkulonyoP/S had no inspection report for all the three terms for 2019.

SMC minutes reviewed for term 1 and 2 did not show any discussion on inspections.

Bugondo P/S term 3, 2019 inspection report was conducted on 24th/9/2019, by Olupot Samuel.

Term 2, 2019 inspection report was conducted on 12th/8/2019 by Ojoo Joseph -Associate Assessor.

There were no minutes discussing the reports presented.

Routine oversight and monitoring

Maximum 10 points on this performance measure

d) Evidence that the DIS and DEO have presented findings from inspection and monitoring results to respective schools and submitted these reports to the Directorate of Education Standards (DES) in the Ministry of Education and Sports (MoES): Score 2 or else score: 0

There was no evidence that the DIS and DEO had presented findings to respective schools and submitted reports to DES.

Serere DLG had no acknowledgement letters from the DES and in the DES records Serere had not submitted work plans, reports and accountabilities in 2019.

Routine oversight and monitoring

Maximum 10 points on this performance measure

e) Evidence that the council committee responsible for education met and discussed service delivery issues including inspection and monitoring findings, performance assessment results, LG PAC reports etc. during the previous FY: score 2 or else score: 0

Serere DLG Community Based Services Committee Meeting Held on 16th/9/2019 in the Council Board Room. Attended by 15 people both Council members and Departmental heads.

Minute. 05/1SSCM/09/2019: Discussion of the Departmental 1ST Quarter Reports for 2019/2020.

-Co-curricular activities in schools.

- Development Projects in Kagwara Seed SS that may take 3 years.

- Recruitment of teachers.

Minutes approved by Hon. Olupot Sam – Chairperson and Otiira Gabriel – Clerk to Council.

Minutes of Community Based and Social Services Committee meeting held at the Council Board Room, dated 4th/12/2019. This was attended by 12 members both the Council members and the departmental heads. Min. 10/2SSCM/12/2019: Departmental 2nd quarter reports.

-discussed on examinations for schools

- support supervision conducted in all government and community/S.

- conduct joint monitoring visits.

- meetings and workshops were conducted. Signed by Hon. Iloot Silver – C/P and Otiira Gabriel – Clerk to Council.

Minutes of Community Based and Social Services Committee meeting held at the Council Board Room, dated 9th/3/2020. Attended by 15 members both Council and Departmental heads. Minute 20/3SSCM/03/2020: 3rd quarter department reports for 2019/2020.

-Received PLE results

- School Inspection and Monitoring conducted.

- Development projects - - implemented in Ogera, Otirono, Akoboi, Agule-Kyere and Lemtom primary schools. Signed by Olupot Sam – C/P and Otiira Gabriel – Clerk to Council.

Minutes of Community Based and Social Services Committee meeting held at the Council Board room, dated 15th/5/2020. Attended by 13 members. Minute 27/4SSCM/05/2020: Discussion of 4th quarter departmental reports 2019/2020.

-classroom construction is ongoing.

- Distributed materials to learners.

- challenges were Covid 19, no registration at any level for national exam among other issues was discussed. Signed by Olupot Sam – C/P and Otiira Gabriel – Clerk to Council.

11	<p>Mobilization of parents to attract learners</p> <p><i>Maximum 2 points on this performance measure</i></p>	<p>Evidence that the LG Education department has conducted activities to mobilize, attract and retain children at school,</p> <p><i>score: 2 or else score: 0</i></p>	<p>There was no evidence that Serere LG Education department had conducted activities to mobilize, attract and retain children at school.</p> <p>Annual General Meeting for Kagwara P/S held on 29th/11/2019. Attended by 79 people. Minute 8, communication from DIS Serere district.</p> <p>In his speech he encouraged parents to keep children at school and take care of children while they are at home. That children are exposed to so many things while at home especially girl child.</p> <p>- parents to support children with scholastic materials to keep them at school.</p>	0
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Investment Management

12	<p>Planning and budgeting for investments</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>a) Evidence that there is an up-to-date LG asset register which sets out school facilities and equipment relative to basic standards, <i>score: 2, else score: 0</i></p>	<p>There was evidence that an up to-date LG assets register which sets out school facilities and equipment relative to basic standards was submitted.</p> <p>Serere DLG had asset register titled, "Serere DLG Education Department Asset Register for Secondary and Primary Schools 2020" is in the format prescribed by MoES. For instance, it includes: name of school, EMIS No., No. of permanent teacher houses, No. of class rooms, desks, No. of latrines (includes all infrastructure and Facilities). As stipulated in the Sector guidelines for MoES Pg. 49.</p> <p>Olio P/S had School Asset Register 2020, updated with 11 classrooms, 5 stance pit latrines, 4 staff houses and 108 desks. It also includes names of text books, purchases made of counter books, pens, 16 chairs, 3 cupboards and 3 tables in the school.</p> <p>OkulonyoP/S had asset register 2019/2020 (counter book) where all infrastructure and equipment are recorded. For instance, 10 staff houses, 10 stance pit latrines, 8 classrooms and 160 desks, 4 tables, 2 cup boards including other items.</p> <p>Bugondo P/S had Asset Register 2020 in a counter book and copy in a file, school items are recorded. For instance 177 desks, 5 stance pit latrine, 4 teacher houses, 10 classrooms, 4 tables, 9 chairs and 2 cupboards..</p>	2
12	<p>Planning and budgeting for investments</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>b) Evidence that the LG has conducted a desk appraisal for all sector projects in the budget to establish whether the prioritized investment is: (i) derived from the LGDP; (ii) eligible for expenditure under sector guidelines and funding source (e.g. sector development grant, DDEG). If appraisals were conducted for all projects that were planned in the previous FY, <i>score: 1 or else, score: 0</i></p>	<p>Although the LG Education Sector did not have any DDEG funded project in FY 2019/2020, it had SFG funded projects like Construction of a 2 classroom block at Akoboi P/s, and Ogera P/s in Olio and Bugomba Sub counties respectively.</p> <p>The Education Sector lacked documentary evidence of desk appraisal on those projects at the time of assessment.</p>	0

12	<p>Planning and budgeting for investments</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>c) Evidence that the LG has conducted field Appraisal for (i) technical feasibility; (ii) environmental and social acceptability; and (iii) customized designs over the previous FY, score 1 else score: 0</p>	<p>The LG failed to avail evidence of field appraisal conducted to establish technical feasibility, environmental and social acceptability and customized designs on Education Sector projects implemented in the previous FY as at the time of assessment.</p>	0
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>a) If the LG Education department has budgeted for and ensured that planned sector infrastructure projects have been approved and incorporated into the procurement plan, score: 1, else score: 0</p>	<p>The DLG had the following Education infrastructure projects approved by the Contracts Committee and incorporated into the DLG Procurement plan under minute 48/CC/06/2020-2021 dated 22nd June, 2020.</p> <ol style="list-style-type: none"> 1. Construction of a 4 stance Pit Latrine in Alos Kateta page 2 in the consolidated Procurement Plan dated 22/06/2020. 2. Construction of a one Drainable Pit Latrine at Kasilo Trading Centre page 8 in the consolidated Procurement Plan dated 22/06/2020. 3. Construction of a two stance drainable Pit Latrine in Kidetok Trading Centre page 8 in the consolidated Procurement Plan dated 22/06/2020. 4. Renovation of a maternity Ward in Atiira Sub County Page 5 in the consolidated Procurement dated 22/06/2020. 5. Construction of a 5 Stance Pit Latrine in Obutet Primary School page 4. 6. Renovation of a Staff House in Kanyangan Primary School Page 2. 7. Rehabilitation of a maternity Ward in Kadungulu sub county page 1 	1

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>b) Evidence that the school infrastructure was approved by the Contracts Committee and cleared by the Solicitor General (where above the threshold) before the commencement of construction, <i>score: 1, else score: 0</i></p>	<p>The DLG had the following Education infrastructure projects approved by the Contracts Committee and incorporated into the DLG Procurement plan under minute 48/CC/06/2020-2021 dated 22nd June, 2020.</p> <ol style="list-style-type: none"> 1. Construction of a 4 stance Pit Latrine in Alos Kateta page 2 2. Construction of a one Drainable Pit Latrine at Kasilo Trading Centre page 8. 3. Construction of a two stance drainable Pit Latrine in Kidetok Trading Centre page 8. 4. Renovation of a maternity Ward in Atiira Sub County Page 5. 5. Construction of a 5 Stance Pit Latrine in Obutet Primary School page 4. 6. Renovation of a Staff House in Kanyangan Primary School Page 2. 7. Rehabilitation of a maternity Ward in Kadungulu sub county page 1 <p>Thresholds were duly adhered to in all sampled projects.</p>	1
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>c) Evidence that the LG established a Project Implementation Team (PIT) for school construction projects constructed within the last FY as per the guidelines. <i>score: 1, else score: 0</i></p>	<p>There was no evidence of a fully established appointed PIT for school construction Projects as guidelines.</p>	0

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>d) Evidence that the school infrastructure followed the standard technical designs provided by the MoES</p> <p><i>Score: 1, else, score: 0</i></p>	<p>LG had evidence of infrastructure Projects implemented having followed the standard technical designs provided by the DLG Engineer. Among the sampled include:</p> <ol style="list-style-type: none"> 1. Construction of a 2 Classroom Block in Akoboi Primary School Ref: SERE596/Wrks/2019/2020/00005 by Bugoma Construction and Supplies CO. Limited was certified by Engineer in a completion report dated 24/02/2020. Engineer issued Certificate of completion Number 2 on 24/02/2020 and Subsequent payment of 56,036,501 to the contractor was initiated and timely paid on 04/02/2020 upon recommendation by DEO. 2. Completion of a Finance Office Block at Serere District Headquarters. Ref: SERE 596/Wrks/19-20/00001. by Homeland Technical Services Ltd was certified by DLG Engineer in a completion report dated 09/05/2020 issued a completion certificate and Subsequent payment of 49,943,571 to the contractor was initiated and timely paid on 13/05/2020 upon recommendation by DEO. 3. Construction of a 2 classroom Block in Lemtom Primary School. Ref: SERE596/Wrks/19-20/00008. by HOLY HANDS GENERAL AGENCIES Ltd was certified by District Engineer in a completion report dated 15/02/2020. <p>Engineer issued certificate of work completion dated 08/05/2020. and Subsequent payment of 59,026,078 was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p> <p>On field review visit during assessment, it was noted that designs providing large windows without shutters in Ogera Primary School for aeration.</p>	1
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>e) Evidence that monthly site meetings were conducted for all sector infrastructure projects planned in the previous FY <i>score: 1, else score: 0</i></p>	<p>There was no evidence of quarterly site meetings held in three quarters for infrastructure projects.</p>	0
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>f) If there's evidence that during critical stages of construction of planned sector infrastructure projects in the previous FY, at least 1 monthly joint technical supervision involving engineers, environment officers, CDOs etc ..., has been conducted <i>score: 1, else score: 0</i></p>	<p>There was evidence that one technical supervision meeting involving Engineer, DHO, Environment Officer and CDO was held during critical stages of construction of Oburin Health Centre 111. Ref: UgIFT/Wrks/19-20/00002 dated 20/05/2020.</p>	0

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>g) If sector infrastructure projects have been properly executed and payments to contractors made within specified timeframes within the contract, <i>score: 1, else score: 0</i></p>	<p>1. Construction of a 2 Classroom Block in Akoboi Primary School Ref: SERE596/Wrks/2019/2020/00005 by Bugoma Construction and Supplies CO. Limited was certified by Engineer in a completion report dated 24/02/2020. Engineer issued Certificate of completion Number 2 on 24/02/2020 and Subsequent payment of 56,036,501 to the contractor was initiated and timely paid on 04/05/2020 upon recommendation by DEO.</p> <p>2. Completion of a Finance Office Block at Serere District Headquarters. Ref: SERE 596/Wrks/19-20/00001. by Homeland Technical Services Ltd was certified by DLG Engineer in a completion report dated 09/05/2020 issued a completion certificate and Subsequent payment of 49,943,571 to the contractor was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p> <p>3. Construction of a 2 classroom Block in Lemtom Primary School. Ref: SERE596/Wrks/19-20/00008. by HOLY HANDS GENERAL AGENCIES Ltd was certified by District Engineer in a completion report dated 15/04/2020.</p> <p>Engineer issued certificate of work completion dated 08/05/2020. and Subsequent payment of 59,026,078 was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p>	1
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>h) If the LG Education department timely submitted a procurement plan in accordance with the PPDA requirements to the procurement unit by April 30, <i>score: 1, else, score: 0</i></p>	<p>DLG had evidence that all infrastructure projects for the current FY were incorporated in the LG current Procurement Work Plan approved by District Council under minute 19/03/DC/3/2020 signed by Otiira Gabriel Chairman Clerk to council dated 16/03/2020. The List of these Education Projects was as follows:</p> <p>1. Construction of a 4 stance Pit Latrine in Alos Kateta P/S page 2 in the consolidated Procurement Plan dated 22/06/2020.</p> <p>2.Construction of a 5 Stance Pit Latrine in Obutet Primary School page 4.</p> <p>3.Renovation of a Staff House in Kanyangan Primary School Page 2.</p> <p>incorporated into the DLG Procurement plan under minute 48/CC/06/2020-2021 dated 22nd June, 2020.</p>	0

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>i) Evidence that the LG has a complete procurement file for each school infrastructure contract with all records as required by the PPDA Law score 1 or else score 0</p>	<p>There was evidence that DLG had a complete procurement files in place for each contract as required by the PPDA Law. The following among other contracts sampled in the register were complete:</p> <ol style="list-style-type: none"> 1. Evaluation committee report for construction of a Classroom Block in Ogera Primary School by Amunonut Contractors and Suppliers Ltd Ref: SERE596/Wrks/19-20/00006. was approved by contracts committee dated 06/11/2019 under min: 05/CC/11/2019-2020 . 2. Evaluation committee report for Construction of a Two in One Staff House at Kyere Agule Primary School by Hellen's Drug Shop Eastern Ltd. <p>Ref: SERE596/Wrks/19-20/00004.</p> <p>was approved by contracts committee dated 08/09/2019 under min: 05/CC/11/2019-2020.</p> <ol style="list-style-type: none"> 3. Evaluation committee report for Construction of a Two Classroom Block at Otirono Primary School by Letsom Investments Limited. <p>Ref: SERE596/Wrks/2019/2020/00007.</p> <p>was approved by contracts committee dated 06/11/2019 under min: 05/CC/11/2019-2020.</p>	1
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Environment and Social Safeguards

14	<p>Grievance redress: LG Education grievances have been recorded, investigated, and responded to in line with the LG grievance redress framework.</p> <p><i>Maximum 3 points on this performance measure</i></p>	<p>Evidence that grievances have been recorded, investigated, responded to and recorded in line with the grievance redress framework, score: 3, else score: 0</p>	<p>There was no evidence that the LG had grievances recorded, investigated, responded to and recorded in line with the grievance redress framework for the FY 2019/2020.</p>	0
15	<p>Safeguards for service delivery.</p> <p><i>Maximum 3 points on this performance measure</i></p>	<p>Evidence that LG has disseminated the Education guidelines to provide for access to land (without encumbrance), proper siting of schools, 'green' schools, and energy and water conservation</p> <p>Score: 3, or else score: 0</p>	<p>There was no evidence that the LG had disseminated the Education guidelines to provide for access to land, proper siting of schools, 'green schools and energy and water conservation.</p>	0

16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>a) LG has in place a costed ESMP and this is incorporated within the BoQs and contractual documents, <i>score: 2, else score: 0</i></p>	<p>Only 2 out of the 3 sampled projects had costed ESMP and</p> <p>Incorporated within the BoQs and contractual documents as below;</p> <p>Construction of two classroom block in Akoboi P/S in Akoboi village'</p> <p>BoQ item C planting of 10 trees at 150,000/=.</p> <p>Construction of two classroom block in Otirono P/S in Okulukulun village.</p> <p>BoQ item C replanting of 10 trees at 100,000/=.</p>	0
16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>b) If there is proof of land ownership, access of school construction projects, <i>score: 1, else score:0</i></p>	<p>There was no evidence that the LG had proof of ownership of land on which school projects were constructed.</p>	0
16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>c) Evidence that the Environment Officer and CDO conducted support supervision and monitoring (with the technical team) to ascertain compliance with ESMPs including follow up on recommended corrective actions; and prepared monthly monitoring reports, <i>score: 2, else score:0</i></p>	<p>There was no evidence that the LG Environment Officer and CDO conducted support supervision and monitoring to ascertain compliance with ESMPs. The monthly reports were no availed to the assessor</p>	0
16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>d) If the E&S certifications were approved and signed by the environmental officer and CDO prior to executing the project contractor payments</p> <p><i>Score: 1, else score:0</i></p>	<p>There was evidence that the LG carried out environmental, Social and Climate Change where by the screening forms were signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO as mentioned below;</p> <p>1. From the Certification form dated 23rd June 2020, the LG certified construction of two classroom block in Kagwara seed secondary School in Kabulabula village, Kdungulu Parish in Kadungulu S/C payment dated 24th June 2019</p> <p>2. From the Certification form dated 11th May 2020, the LG certified construction of two classroom blocks in Akoboi P/S in Akoboi village in Olio S/C payment dated 17th June 2020</p> <p>3. From the Certification form dated 11th May 2020, the LG certified the construction of two classroom blocks in Otirono P/S in Okulukulu Village, Iruko Parish in Kaduwgulu S/C payment dated 17th June 2020</p>	1

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	<p>Outcome: The LG has registered higher percentage of the population accessing health care services.</p> <p>Maximum 2 points on this performance measure</p>	<p>a. If the LG registered Increased utilization of Health Care Services (focus on total OPD attendance, and deliveries.</p> <ul style="list-style-type: none"> • By 20% or more, score 2 • Less than 20%, score 0 	<p>The LG registered less than 20% increase in utilization of Health care service. OPD attendance increased by 16.9% and deliveries increased by only 14.1% for the three sampled facilities namely Apapai HCIV, Kyere HCIII and Kyere mission HCIII.</p> <p>The total OPD attendances for the 3 sampled facilities in the FY 2018/2019 was 34872(Apapai HCIII 19643, Kyere HCIII 13327, Kyere Mission HCIII 1902), while in 2019/2020 it was 40751 (Apapai HCIV 22287, Kyere HCIII 16007, Kyere Mission HCIII 2457)</p> <p>(Working % increase in OPD attendance $40751-34872/34872 \times 100 = 16.9\%$)</p> <p>Total deliveries in the FY 2018/2019 was 2167 (Apapai HCIV 836, Kyere HCIII 834, Kyere Mission HCIII 497). The total deliveries in the FY 2019/2020 was 2473 (Apapai HCIV 940, Kyere HCIII 892, Kyere Mission HCIII 641)</p> <p>(Working $2473-2167/2167 \times 100=14.1\%$)</p>	0
2	<p>Service Delivery Performance: Average score in the Health LLG performance assessment.</p> <p>Maximum 4 points on this performance measure</p> <p>Note: To have zero wait for year one</p>	<p>a. If the average score in Health for LLG performance assessment is:</p> <ul style="list-style-type: none"> • Above 70%; score 2 • 50 – 69% score 1 • Below 50%; score 0 	Not applicable	0
2	<p>Service Delivery Performance: Average score in the Health LLG performance assessment.</p> <p>Maximum 4 points on this performance measure</p> <p>Note: To have zero wait for year one</p>	<p>b. If the average score in the RBF quarterly quality facility assessment for HC IIIs and IVs is:</p> <ul style="list-style-type: none"> • Above 75%; score 2 • 65 – 74%; score 1 • Below 65% ; score 0 	<p>The average assessment score for the 9 facilities participating in RBF in the last quarter of 2019/2020 FY was 89.65%. (Serere HCIV 91.78, Atiira HCII 88.24%, Pingire HCIII 84.14%, Bugondo HCIII 89.13%, Kyere HCIII 91.95%, Kyere Mission HCIII 89.9%, Kidetok HC III 90.72%, KatelaHCIII 87.45%, Apapai HC IV 93.5%)</p> <p>I(Working, $91.78+88.24+84.14+89.13+91.95+89.9+90.72+87.45+93.5/9=89.65\%$)</p>	2

3	Investment performance: The LG has managed health projects as per guidelines. Maximum 8 points on this performance measure	a. If the LG budgeted and spent all the health development grant for the previous FY on eligible activities as per the health grant and budget guidelines, score 2 or else score 0.	The LG Health department development budget was Shs, 1,166,980,000 as on page 16 of the Annual QBPR for FY 2019/2020. Actual spent on eligible projects/activities was Shs. 1,160,543,000 as on page 16 of the Annual QBPR. The Contractors who executed the works were paid against measurement of works done and the balance of Shs. 6,437,000 was returned to the consolidated fund.	2
3	Investment performance: The LG has managed health projects as per guidelines. Maximum 8 points on this performance measure	b. If the DHO/MMOH, LG Engineer, Environment Officer and CDO certified works on health projects before the LG made payments to the contractors/ suppliers score 2 or else score 0	The Health sector implemented only two projects namely Construction of a General Ward in Serere HCIV and Upgrading of Oburin HCII to HCIII. Certification of works under Certificate No.1 dated 3rd/2/2020 for construction of a General Ward in Serere HCIV was made by DHO on 5th/2/2020 and by LG Engineer on 3rd/2/2020. Certification by both Environment Officer and CDO was not availed to the assessment team. Certification of works under Certificate No. 1 dated 12th/3/2020 for Upgrading of Oburin HCII To HCIII was made by DHO on 18th/3/2020 and LG Engineer on 12th/3/2020. The Environment Officer and CDO's certification was not availed for assessment.	0
3	Investment performance: The LG has managed health projects as per guidelines. Maximum 8 points on this performance measure	c. If the variations in the contract price of sampled health infrastructure investments are within +/-20% of the MoWT Engineers estimates, score 2 or else score 0	Variations in the contract Price for Health projects was as follows: 1. Engineer's Estimate for Upgrade of Oburin Health Centre 11 to HC 111 was 640,000,000 and contractor's price was 647,679,694. Variation of Shs. -7,679,694, was within +20% of LG Engineer's estimate.	2
3	Investment performance: The LG has managed health projects as per guidelines. Maximum 8 points on this performance measure	d. Evidence that the health sector investment projects implemented in the previous FY were completed as per work plan by end of the FY • If 100 % Score 2 • Between 80 and 99% score 1 • less than 80 %: Score 0	The DLG supervised the health project with team consisting of District Engineer, Environment Officer, DHO and CDO as follows: Ref: UglFT/Wrks/2019-2020/00002. Joint Supervision visit was conducted on 27/05/2020 and upon recommendation from DHO, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.	2

4	<p>Achievement of Standards: The LG has met health staffing and infrastructure facility standards</p> <p>Maximum 4 points on this performance measure</p>	<p>a. Evidence that the LG has recruited staff for all HCIIIs and HCIVs as per staffing structure</p> <ul style="list-style-type: none"> • If above 90% score 2 • If 75% - 90%: score 1 • Below 75 %: score 0 	<p>HCIVs and HC IIIs staffing level was 69.05%. Out of the 210 approved vacancies for the 6 HC IIIs and 2 HC IVs, 145 were filled (working $145/210 \times 100 = 69.05\%$).</p> <p>Apapai HC IV had a staffing level of 79.16% (38/48), Serere HCIV 97.92% (47/48), Atiira HCIII 36.84% (7/19), Bugondo HCIII 42.11% (8/19), Kadungulu HCIII 47.37% (9/19), Kateta HCIII 63.16% (12/19), Kyere 57.89% (11/19), and Pingire HCIII had 68.42% (13/19).</p>	1
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4	<p>Achievement of Standards: The LG has met health staffing and infrastructure facility standards</p> <p>Maximum 4 points on this performance measure</p>	<p>b. Evidence that the LG health infrastructure construction projects meet the approved MoH Facility Infrastructure Designs.</p> <ul style="list-style-type: none"> • If 100 % score 2 or else score 0 	<p>LG had evidence of Health infrastructure Projects implemented having followed the standard technical designs provided by the DLG Engineer. Among the sampled include:</p> <p>1. Upgrage of Oburin Health Centre 11 to Centre III Ref: UgIFT/Wrks/19-20/00002 awarded to M/S CAB (U) Ltd at 647,697,694. had MoH technical designs attached to Engineer's certificates.</p> <p>The certification certificates for this Health infrastructure project were issued by DLG Engineer on 26/09/2020.</p>	2
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Performance Reporting and Performance Improvement

5	<p>Accuracy of Reported Information: The LG maintains and reports accurate information</p> <p>Maximum 4 points on this performance measure</p>	<p>a. Evidence that information on positions of health workers filled is accurate: Score 2 or else 0</p>	<p>The staff on the lists obtained from the Human resource for the 3 sampled facilities (Serere HCIV, Bugondo HCIII, and Oburin HCII) were found to be in place. For example</p> <p>Bugonda HCIII had all the 8 staff on the list working at the facility (1CO, 3E/Nurses, 1Health information Assistant, 1 Lab Assistant, 1 N/Assistant, 1 Health Assistant,)</p> <p>Oburin HCII had all the 3 staff on the list working (1 E/nurse, 1 Nursing Assistant, 1 Askari)</p>	2
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5	<p>Accuracy of Reported Information: The LG maintains and reports accurate information</p> <p>Maximum 4 points on this performance measure</p>	<p>b. Evidence that information on health facilities upgraded or constructed and functional is accurate: Score 2 or else 0</p>	<p>The list had the following</p> <p>1-Up grading of Oburin HCII to HCIII which included Construction of maternity ward, a Staff house, 5 stance VIP Latrine, Placenta pit, Medical waste pit budgeted at 640,846,00/=Ugx (page 6 of the AWP). BPS report showed the phased construction of the above structures at cost of 171,062,573/=ugx output 088182 on page 59</p> <p>2-Up grading of Aarapoo HCII to HCIII which included completion of Maternity ward, 5 stance VIP Latrine, with a shower, Placenta pit, Medical waste pit and OPD. These were budgeted at 129,333,000/=ugx. BPS report showed 129,333,000/= was spent on completion of the above structures (page 59)</p> <p>3-Up grading of Kagwara HCII to HCIII which included completion of Maternity ward, 4 stance VIP latrine, with a shower, placenta pit, Medical waste pit and OPD. These were budgeted at 491, 265, 197/=Ugx. PBS report showed construction of the above structures at the budgeted cost output No 088182 (page 60)</p>	2
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>a) Health facilities prepared and submitted Annual Workplans & budgets to the DHO/MMOH by March 31st of the previous FY as per the LG Planning Guidelines for Health Sector:</p> <p>• Score 2 or else 0</p>	<p>Bugonda HCIII submitted the annual Budget/work plan late on 15/10/2019. The other two sampled facilities Kateta Moru HCII and Oburin did not indicate the date of submission of their annual workplan/Budget, hence it was not clear whether they submitted on time or not</p>	0
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>b) Health facilities prepared and submitted to the DHO/MMOH Annual Budget Performance Reports for the previous FY by July 15th of the previous FY as per the Budget and Grant Guidelines :</p> <p>• Score 2 or else 0</p>	<p>All the three sampled facilities namely Bugonda HCIII, Kateta HCIII and Serere HCIV did not submit the annual Budget performance report to the DHO</p>	0

Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and Performance Improvement support.

Maximum 14 points on this performance measure

- a) Health facilities have developed and reported on implementation of facility improvement plans that incorporate performance issues identified in monitoring and assessment reports
- Score 2 or else 0

All the three sampled facilities (Kyre Mission HCIII, Kyere HCIII and Kateta HCIII) submitted their performance improvement plans (PIP) for the current FY to the CAO endorsed by the Chairperson HUMC through the DHO.

Kyere Mission HCIII prepared the PIP on 10/09/2020, it was endorsed by the HUMC C/person on the same day, forwarded by the DHO on 13/09/2020 and approved by the CAO on 29/09/2020. Some of the areas to improve on were,

Increasing annual under 5 OPD attendance from 1087 to 1363, 1st ANC attendance within 1st trimester from 261 to 318, ANC 4th attendance from 419 to 500.

Kyere HCIII prepared the PIP on 06/08/2020, it was endorsed by the C/person HUMC on the same date, forwarded by the DHO to the CAO on 1/10/2020 and approved by the CAO on 2/10/2020. Some of the actions to be undertaken included increasing long term Family planning acceptors from 472 to 480, Family planning short term acceptors from 569 to 600, Health facility deliveries from 807 to 900, children under 1 year fully immunized from 45 to 980.

Kateta HCIII prepared the PIP on 29/09/2020 which was endorsed by the C/person HUMC on the same day, forwarded by the DHO on 29/09/2020 and approved by the CAO on the same day. Areas of improvement included, increasing under 5 OPD attendance from 2341 to 2458, first ANC attendance from 379 to 1486, 4th ANC attendance from 555 to 567, health facility deliveries from 904 to 950.

Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and Performance Improvement support.

Maximum 14 points on this performance measure

- d) Evidence that health facilities submitted up to date monthly and quarterly HMIS reports timely (7 days following the end of each month and quarter) If 100%,
- score 2 or else score 0

All the 3 Health facilities sampled (Apapai HCIV, Kyere HCIII and Kyere mission HCIII) attained 100% timeliness submission of monthly reports. However apart from Kyere mission HCIII which submitted all the quarterly reports on time (by 7th of the month following the end of the quarter) Apapai HCIII and Kyere HCIII submitted some of the quarterly reports beyond the recommended time of by 7th of the month following the end of the quarter.

Apapai HCIV submitted Q2 report on 10/01/2020 and Q3 report was submitted on 8/4/2020.

Kyere HCIII submitted Q2 report on 14/01/2020 and the Q3 report was submitted on 8/4/2020.

6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>e) Evidence that Health facilities submitted RBF invoices timely (by 15th of the month following end of the quarter). If 100%, score 2 or else score 0</p> <p>Note: Municipalities submit to districts</p>	<p>All the 3 sampled facilities namely Serere HCIV, Atiira HCIII and Pingire HCIII submitted RBF invoice of the previous quarter in time (before the 15th of the month October).</p> <p>Serere HCIV submitted on 08/10/2020 an Invoice worth 43,644,500/=ugx. Atiira H CIII submitted on 07/10/2020 an invoice worth 9,999,250/=ugx.</p> <p>Pingire HCIII submitted on 07/10/2020, an invoice worth 11,8835,000/=ugx</p>	2
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>f) If the LG timely (by end of 3rd week of the month following end of the quarter) verified, compiled and submitted to MOH facility RBF invoices for all RBF Health Facilities, if 100%, score 1 or else score 0</p>	<p>The LG timely (by end of 3rd week of the next quarter) verified, compiled and submitted to MOH facility RBF invoices for all the 9 RBF health Facilities representing 100%.</p> <p>The last quarter consolidated RBF invoices (for 9 facilities) worth 157,752,300/=ugx was submitted to MOH on 12/10/2020.</p>	0
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>g) If the LG timely (by end of the first month of the following quarter) compiled and submitted all quarterly (4) Budget Performance Reports. If 100%, score 1 or else score 0</p>	<p>The LG Health department submitted all Quarterly Budget Performance Reports to Planning Unit for consolidation but as timely as required as evidenced below:</p> <p>1st QBPR was submitted to Planning Unit on 5th/11/2019 at 10:14 am.</p> <p>2nd QBPR was submitted to Planning Unit on 28th/1/2020 at 8:58 am.</p> <p>3rd QBPR was submitted to Planning Unit on 2nd/5/2020 at 8:36 am.</p> <p>4th QBPR was submitted to Planning Unit on 25th/7/2020 at 10:53 am</p>	1

6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>h) Evidence that the LG has:</p> <p>i. Developed an approved Performance Improvement Plan for the weakest performing health facilities, score 1 or else 0</p>	<p>The LG developed performance improvement plans for weak facilities which were compiled by facilities in charges, endorsed by the chairperson HUMCs, forwarded by the DHO and approved by the CAO .</p> <p>The facilities for which PIPs were developed include,</p> <p>Atiira HCIII compiled on 01/07/2019, Pingire HCIII compiled on 17/6/2019, Kateta HCIII compiled on 21/06/2019, Apapai HCIV compiled on 24/6/2019 and Serere HCIV compiled on 2/07/2020. The plans were approved on 02/07/2020 by the CAO.</p>	1
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>ii. Implemented Performance Improvement Plan for weakest performing facilities, score 1 or else 0</p>	<p>Implementation of performance improvement plans were evidenced by reports from the DHT on progress of implementation of action points developed. The reports are done quarterly incorporated in the quarterly support supervision reports. Quarter 1 report was made on 11/09/2019, quarter 2 report on 9/01/2019, quarter 3 report on 24/3/2020 while quarter 4 report was made on 30/6/2020.</p>	1

Human Resource Management and Development

7	<p>Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines</p> <p>Maximum 9 points on this performance measure</p>	<p>a) Evidence that the LG has:</p> <p>i. Budgeted for health workers as per guidelines/in accordance with the staffing norms score 2 or else 0</p>	<p>According to the Serere LG budget performance contract for the FY 2019/2020, the LG budgeted for the health workers as per guidelines. Ugx 2,638,739000/= was budgeted for staff salaries (Vote 565, page 16).</p>	2
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7	<p>Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines</p> <p>Maximum 9 points on this performance measure</p>	<p>a) Evidence that the LG has:</p> <p>ii. Deployed health workers as per guidelines (all the health facilities to have at least 75% of staff required) in accordance with the staffing norms score 2 or else 0</p>	<p>The overall staffing level for facilities was 63.6%. The total filled vacancies for the Health department in the LG was 168 out of the 264 approved vacancies, this gives the percentage staffing level of 63.64% (168/264 x100).</p> <p>Apapai HCIV had a staffing level of 79.2% (38/48).</p> <p>Serere HCIV had 97.9% (47/48).</p> <p>Atiira HCIII had 36.8%% (7/19).</p> <p>Bugondo HCIII had 42.1% (8/19).</p> <p>Kadungulu HCIII had 47.4% (9/19).</p> <p>Kateta HCIII had 63.2% (12/19).</p> <p>Kyere HCIII had 57.9% (11/19).</p> <p>Pingire HCIII had 68.4% (13/19)</p> <p>Kagwara HCII had 66.7% (6/9).</p> <p>Kamod HCII had 44.4% (4/9).</p> <p>Kasamula HCII had 55.6% (5/9).</p> <p>Katetamoru HCII had 22.2% (2/9).</p> <p>Obwin HCII had 33.3% (3/9).</p> <p>Omogoro HCII had 33.3% (3/9).</p>	0
7	<p>Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines</p> <p>Maximum 9 points on this performance measure</p>	<p>b) Evidence that health workers are working in health facilities where they are deployed, score 3 or else score 0</p>	<p>From the sampled health facilities (Bugondo HCIII, Serere HCIV and Oburin HCII), there was evidence that health workers were working for the Health facilities where they were deployed.</p> <p>A comparison was made between the staff list and the daily attendance registers at the health facilities to prove that the Health workers were working where they are deployed.</p> <p>For Example</p> <p>Bugondo HCIII had all the 8 staff on the list working and Oburin HCII had all the 3 staff on the list working.</p>	3
7	<p>Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines</p> <p>Maximum 9 points on this performance measure</p>	<p>c) Evidence that the LG has publicized health workers deployment and disseminated by, among others, posting on facility notice boards, for the current FY score 2 or else score 0</p>	<p>All the three facilities sampled (Serere HCIV, Bugondo HCIII and Oburin HCII) had updated staff lists hanged on their notice boards. The lists were endorsed and stamped by the facility in charges.</p> <p>The Serere HCIV list was dated 2/07/2020, Bugondo HCIII list was dated 1/07/2020 and Oburin HCII list was dated 14/11/2020.</p>	2

Performance management: The LG has appraised, taken corrective action and trained Health Workers.

Maximum 6 points on this performance measure

a) Evidence that the DHO/MMOHs has:

i. Conducted annual performance appraisal of all Health facility In-charges against the agreed performance plans and submitted a copy to HRO during the previous FY score 1 or else 0

9 out 10 health facility in-charges were appraised evidenced from the appraisal documents availed to the Assessment Team.

List of health facility in-charges and there date of appraisals

1. Ogwal Daniel incharge of Serere HC IV was appraised on the 25th day of September 2020

2. Dr. Omait Denis Dickson in charge of Apapai HC IV was no appraisal on file

3. Omulei Micheal in-charge of Akoboi H/C II apprised on 3rd Aug 2020

4. Aturo Naume incharge of Kateta H/c III was appraised on the 28th day of July 2020,

5. Egadu John Moses incharge of Kyere H/C III was appraised on the 21st day of Aur 2020

6. Omoding joseph in charge of Kamod H/C II appraised on 1st day of July 2020.

7. Apolot David in-charge of Kagwa H/C II was appraised on the 11th day of August 2020.

8. Aligo Esther in-charge of Araapoo H/C II was appraised on the 16th day of July 2020.

9. Okoout Joseph in-charge of Atiira H/C III was appraised on the 10th day of July 2020.

10. Edingu Tom in-charge of Bugondo H/C III was appraised on the 5th day of Aug 2020.

8	<p>Performance management: The LG has appraised, taken corrective action and trained Health Workers.</p> <p>Maximum 6 points on this performance measure</p>	<p>ii. Ensured that Health Facility In-charges conducted performance appraisal of all health facility workers against the agreed performance plans and submitted a copy through DHO/MMOH to HRO during the previous FY score 1 or else 0</p>	<p>9 out of 10 health facility workers were appraised evidenced from the appraisal documents available to the Assessment Team.</p> <p>List of health facility workers and their date of appraisals</p> <ol style="list-style-type: none"> 1. Chemutai Justine an enrolled Midwife at Kadungulu HC III was appraised on 15th day of June 2020 2. Ibia Susan an enrolled Midwife at Seere HC IV was appraised on the 21st day of Aug 2020 3. Audo Hellen an Enrolled midwife at Kyera HC III was appraised on the 11th day of Aug 2020. 4. Amongin Margert a Senior Nursing officer at Apapai H/c IV no appraisal on file 5. Alero Winnifred a senior clinical officer at Serere HC IV was appraised on 10th August 2020 6. Echuru John Moses Enrolled Nurse at Kamod i HC II was appraised on the 3rd day of Aug 2020. 7. Anyago Kolostica an enrolled Nurse at Serere HC IV was appraised on the 17th day of July 2020 8. Adong Immaculate an enrolled Nurse at Serere H/C IV was appraised on the 17th day of July 2020. 9. Atapo Stella Harriet an enrolled nurse at Atiira HC III was appraised on the 4th day of Aug 2020. 10. Adeke Chritine Merabu an enrolled Nurse at Bugodo H/C III was appraised on the 4th day of Aug 2020. 	0
8	<p>Performance management: The LG has appraised, taken corrective action and trained Health Workers.</p> <p>Maximum 6 points on this performance measure</p>	<p>iii. Taken corrective actions based on the appraisal reports, score 2 or else 0</p>	<p>There was no evidence of corrective action taken based on appraisal report.</p>	0
8	<p>Performance management: The LG has appraised, taken corrective action and trained Health Workers.</p> <p>Maximum 6 points on this performance measure</p>	<p>b) Evidence that the LG:</p> <p>i. conducted training of health workers (Continuous Professional Development) in accordance to the training plans at District/MC level, score 1 or else 0</p>	<p>There was no evidence produced by the LG to indicate that the LG conducted training of health workers.</p> <p>It was only to produce some continuous medical education minutes for Amuria Hospital</p>	0

8	<p>Performance management: The LG has appraised, taken corrective action and trained Health Workers.</p> <p>Maximum 6 points on this performance measure</p>	<p>ii. Documented training activities in the training/CPD database, score 1 or else score 0</p>	<p>The LG had no documentation of training activities. It lacked a training/CPD database</p>	0
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Management, Monitoring and Supervision of Services.

9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>a. Evidence that the CAO/Town Clerk confirmed the list of Health facilities (GoU and PNFP receiving PHC NWR grants) and notified the MOH in writing by September 30th if a health facility had been listed incorrectly or missed in the previous FY, score 2 or else score 0</p>	<p>The LG had no copy of a letter from CAO to MOH confirming the list of Health facilities accessing PHC NWR grants</p>	0
9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>b. Evidence that the LG made allocations towards monitoring service delivery and management of District health services in line with the health sector grant guidelines (15% of the PHC NWR Grant for LLHF allocation made for DHO/MMOH), score 2 or else score 0.</p>	<p>The budget for PHC NWR grant in the previous FY was Shs 281,454,000 as on page 16 of the Annual QBPR.</p> <p>Allocation towards monitoring service delivery and management of District health services was Shs. 59,187,000 as on pages 64-65 of the Annual QBPR representing 21% above the recommended minimum of 15%.</p>	2
9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>c. If the LG made timely warranting/verification of direct grant transfers to health facilities for the last FY, in accordance to the requirements of the budget score 2 or else score 0</p>	<p>The LG timely warranted PHC NWR grant transfers to health facilities for the previous FY as evidenced below:</p> <p>1st Quarter Cash limits were loaded on 2nd/8/2019 and PHC NWR grant warranted for health facilities on 4th/8/2019 within 2 days.</p> <p>2nd Quarter Cash limits were loaded on 16th/10/2019 and PHC NWR grant warranted for health facilities on 18th/10/2019 within 2 days.</p> <p>3rd Quarter Cash limits were loaded on 22nd/1/2020 and PHC NWR grant warranted for health facilities on the same day.</p> <p>4th Quarter Cash limits were loaded on 22nd/4/2020 and PHC NWR grant warranted for health facilities on 23rd/4/2020 within 1 day.</p>	2

9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>d. If the LG invoiced and communicated all PHC NWR Grant transfers for the previous FY to health facilities within 5 working days from the day of funds release in each quarter, score 2 or else score 0</p>	<p>The LG invoiced all the PHC NWR grant transfers for the previous FY but lacked notifications to health facilities as evidenced below;</p> <p>Quarter 1 PHC NWR grant transfers to all the health facilities was invoiced on 5th/8/2019 but no evidence of notification to health facilities was availed to the assessment team.</p> <p>Quarter 2 PHC NWR grant transfers to all the health facilities was invoiced on 28th/10/2019 but no evidence of communication to health facilities was availed at the time of assessment.</p> <p>Quarter 3 PHC NWR grant transfers to all the health facilities was invoiced on 23rd/1/2020 but no evidence of notification to health facilities was availed to the assessment team.</p> <p>Quarter 4 PHC NWR grant transfers to all the health facilities was invoiced on 23rd/4/2020 but no evidence of notification to health facilities was availed to the assessment team.</p>	0
9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>e. Evidence that the LG has publicized all the quarterly financial releases to all health facilities within 5 working days from the date of receipt of the expenditure limits from MoFPED- e.g. through posting on public notice boards: score 1 or else score 0</p>	<p>The LG had no letters from CAO indicating release of PHC funds to health facilities.</p>	0
10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>a. Evidence that the LG health department implemented action(s) recommended by the DHMT Quarterly performance review meeting (s) held during the previous FY, score 2 or else score 0</p>	<p>Evidence of implementation of actions of recommendations from the DHMT Quarterly performance review meetings of the previous FY were in minutes of the Quarterly performance review meetings of each next quarter. The minutes also show comparisons between the performance of the quarter under review and the previous quarter. The meetings were held and minuted on 22/09/2019, 02/12/2019, 06/05/2020 and 22/06/2020 for Q1, Q2, Q3 and Q4 respectively.</p>	2
10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>b. If the LG quarterly performance review meetings involve all health facilities in charges, implementing partners, DHMTs, key LG departments e.g. WASH, Community Development, Education department, score 1 or else 0</p>	<p>The LG conducted performance review meetings for all the quarters. The meetings were attended by all Health Facility in Charges, DHMT, and partner's representatives from TASO and RHITES-E) plus some District leaders including CAO and Sec for Health and Education.</p> <p>Q1 meeting was held on 22/09/2019.</p> <p>Q2 was held on 02/12/2020.</p> <p>Q3 was held on 06/05/2020</p> <p>Q4 was held on 22/6/2020.</p>	1

10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>c. If the LG supervised 100% of HC IVs and General hospitals (including PNFPs receiving PHC grant) at least once every quarter in the previous FY (where applicable) : score 1 or else, score 0</p> <p>If not applicable, provide the score</p>	<p>The DHT conducted all the 4 quarterly support supervision in all the facilities</p> <p>Q1 support supervision was carried out from 8th to 11th September 2019 and covered all the 18Health facilities.</p> <p>Q2 supervision was conducted from 7th to 9th January 2019 and all 18 HFs were covered</p> <p>Q3 supervision was done from 21st to 24th March 2020 and also all 18 HFs were covered</p> <p>Q4 Supervision was carried out from 1st to 3rd June 2020 and all the 18 facilities were covered</p>	1
10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>d. Evidence that DHT/MHT ensured that Health Sub Districts (HSDs) carried out support supervision of lower level health facilities within the previous FY (where applicable), score 1 or else score 0</p> <p>• If not applicable, provide the score</p>	<p>All the three facilities sampled namey Serere HCIV, Bugonda HCIII and Oburin HCII had evidence of support supervision visits with findings and recommendations recorded in the support supervision books by DHT members who conducted the support supervision.</p> <p>Serere HCIV had support supervision visits on 23/03/2020, 20/05/2020, 23/06/2019, all documented in the Hospital support supervision book.</p> <p>BugondoHCIII had support supervision visits on 14/08/2019, 28/09/2019, 24/09/2019, 31/10/2019, 29/01/2020, 1 28/02/2020, and on 24/03/2020. All documented in the facility support supervision book.</p> <p>Oburin HCII had support supervision visits on 2/10/2020, 29/1/2020, 28/02/2020, 24/3/2019 and on 21/04/2020, all documented in the facility support supervision book.</p>	1
10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>e. Evidence that the LG used results/reports from discussion of the support supervision and monitoring visits, to make recommendations for specific corrective actions and that implementation of these were followed up during the previous FY, score 1 or else score 0</p>	<p>The three facilities sampled (Serere HCIV, Bugonda HCIII and Oburin HCIV) had recommendations by the supervision team recorded in the support supervision books.</p> <p>There was mention of achievements made from the previous actions developed among the findings recorded in the supervision books by the DHT who conducted the supervisions.</p> <p>Serere HCIV had its support supervision book recorded in on the 23/03/2020, 20/05/2020, 23/06/2019</p> <p>Bugonda HCIII had its support supervision book recorded in on. 14/08/2019, 28/09/2019, 24/09/2019, 31/10/2019, 29/01/2020, 1 28/02/2020, and on 24/03/2020.</p> <p>The support supervision book for Oburin HCII was recorded in on 2/10/2020, 29/1/2020, 28/02/2020, 24/3/2019 and on 21/04/2020</p>	1

10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>f. Evidence that the LG provided support to all health facilities in the management of medicines and health supplies, during the previous FY: score 1 or else, score 0</p>	<p>The LG conducted quarterly SPARS support supervision to all the facilities. There was evidence in the reports that recommendations were made to facility in charges on secure, safe storage and disposal of medicines and health supplies. In Q1 supervision was conducted between 9/9/2019 and 11/9/2019.</p> <p>Q2 supervision was done from 7th to 9th January December 2019.</p> <p>Q3 supervision was conducted from 21st to 31st March 2020. While the Q4 supervision was carried out from 1st to 3rd June 2020.</p> <p>The supervision visits also looked at prescribing quality, dispensing quality, stock management plus reporting and ordering quality</p>	1
11	<p>Health promotion, disease prevention and social mobilization: The LG Health department conducted Health promotion, disease prevention and social mobilization activities</p> <p>Maximum 4 points on this performance measure</p>	<p>a. If the LG allocated at least 30% of District / Municipal Health Office budget to health promotion and prevention activities, Score 2 or else score 0</p>	<p>The DHO's budget in FY 2019/2020 was Shs. 354,640,000 as on page 16 of the Annual QBPR.</p> <p>Allocation to health promotion and prevention activities was Shs. 102,878,000 as on page 16 of the Annual QBPR representing 29% less than the recommended 30%.</p>	0
11	<p>Health promotion, disease prevention and social mobilization: The LG Health department conducted Health promotion, disease prevention and social mobilization activities</p> <p>Maximum 4 points on this performance measure</p>	<p>b. Evidence of DHT/MHT led health promotion, disease prevention and social mobilization activities as per ToRs for DHTs, during the previous FY score 1 or else score 0</p>	<p>DHT led health promotion, disease prevention and mobilization activities were evidenced by quarterly progress reports on Uganda Sanitation Fund submitted to MOH.</p> <p>Q1 progress report was submitted on 10th October 2019, ref CR/213/2.</p> <p>Q2 report was submitted on 07/01/2020, ref CR/213/2</p> <p>Q3 report was submitted on 20/04/2020, ref CR/213/2.</p> <p>Q4 report was submitted on 10/06/2020, ref CR/213/2.</p>	1

11	<p>Health promotion, disease prevention and social mobilization: The LG Health department conducted Health promotion, disease prevention and social mobilization activities</p> <p>Maximum 4 points on this performance measure</p>	<p>c. Evidence of follow-up actions taken by the DHT/MHT on health promotion and disease prevention issues in their minutes and reports: score 1 or else score 0</p>	<p>The LG had DHT Health promotion and Disease prevention quarterly review meetings which discussed actions taken on previous recommendations on health promotion and disease prevention. Review meetings were conducted per quarter on the dates indicated below</p> <p>Q1 meeting was conducted on 27/09/2019.</p> <p>Q2 meeting was on 16/01/2020.</p> <p>Q3 meeting was on 15/04/2020.</p> <p>Q4 meeting was on 13/06/2020. The Uganda Sanitation Quarterly Progress reports to MOH also highlighted actions taken on Health Promotion and Disease prevention issues. The reports were submitted on 10/10/2019, 07/01/2020, 20/04/2020 and 10/06/2020 for Q1, Q2, Q3, Q4 respectively.</p>	1
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Investment Management

12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p> <p>Maximum 4 points on this performance measure</p>	<p>a. Evidence that the LG has an updated Asset register which sets out health facilities and equipment relative to basic standards: Score 1 or else 0</p>	<p>The LG did not have updated asset register for facilities.</p>	0
12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p> <p>Maximum 4 points on this performance measure</p>	<p>b. Evidence that the prioritized investments in the health sector for the previous FY were: (i) derived from the LG Development Plan; (ii) desk appraisal by the LG; and (iii) eligible for expenditure under sector guidelines and funding source (e.g. sector development grant, Discretionary Development Equalization Grant (DDEG)): score 1 or else score 0</p>	<p>The District conducted a joint desk appraisal of prioritized DDEG investments for the previous FY in the TPC held on 11th/9/2019 Agenda 7 Min. 29/DTPC/09/2019 where provision in the LGDP and eligibility for expenditure under sector guidelines were confirmed.</p>	1

12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p> <p>Maximum 4 points on this performance measure</p>	<p>c. Evidence that the LG</p> <p>has conducted field Appraisal to check for: (i) technical feasibility; (ii) environment and social acceptability; and (iii) customized designs to site conditions: score 1 or else score 0</p>	<p>Evidence of field appraisal conducted to check on technical feasibility, environmental and social safeguards as well as customized designs on health sector projects was not availed at the time of assessment.</p>	0
12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p> <p>Maximum 4 points on this performance measure</p>	<p>d. Evidence that the health facility investments were screened for environmental and social risks and mitigation measures put in place before being approved for construction using the checklist: score 1 or else score 0</p>	<p>Evidenced from the screening forms signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO</p> <p>the LG carried out screening of environmental, social and climate as below;</p> <p>From the screening the screening form dated 9th December 2019, the LG screened the construction of a pit latrine in Oburin HCIII in Oburin village, Oburin Parish in Olio S/C.</p> <p>Mitigation measures</p> <p>provide protective gears to worker, sensitization of worker on HIV/AIDs, clearing of the site by removing debris, leveling and replanting of the grass, back filling of the site, planting of trees like mango trees. Proper labeling of the sign post for both men and women, live fencing of the site.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>a. Evidence that the LG health department timely (by April 30 for the current FY) submitted all its infrastructure and other procurement requests to PDU for incorporation into the approved LG annual work plan, budget and procurement plans: score 1 or else score 0</p>	<p>The following Health infrastructure projects were approved by the Contracts Committee and incorporated into the DLG Procurement plan under minute 48/CC/06/2020-2021 dated 22nd June, 2020.</p> <ol style="list-style-type: none"> 1.Rehabilitation of a maternity Ward in Kadungulu HC11 Pg 1. 2. Renovation of a maternity Ward in Atiira Sub county. Pg 5in the consolidated Procurement Plan dated 22/06/2020. 3. Construction of a one Drainable Pit Latrine at Kasilo Trading Centre page 8 in the consolidated Procurement Plan dated 22/06/2020. 	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>b. If the LG Health department submitted procurement request form (Form PP5) to the PDU by 1st Quarter of the current FY: score 1 or else, score 0</p>	<p>Submission of approved District Procurement for FY 2020/2021 Plan to PPDA was prepared and signed by CAO on 10/10/2020.</p>	1

13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>c. Evidence that the health infrastructure investments for the previous FY was approved by the Contracts Committee and cleared by the Solicitor General (where above the threshold), before commencement of construction: score 1 or else score 0</p>	<p>The LG had one Health Sector infrastructure project approved by Contracts committee before commencement of construction in FY 2019/2020:</p> <p>1. Construction for Upgrade of Oburin Health Centre 11 to Health1V Lot 2 Ref: UglIFT/Wrks/19-20/00002 awarded to M/S CAB (U) Ltd at 647,679,694. The Project was cleared by Solicitor General on 20/11/2019 and actual commencement of work was 26/11/2019.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>d. Evidence that the LG properly established a Project Implementation team for all health projects composed of: (i) : score 1 or else score 0</p> <p>If there is no project, provide the score</p>	<p>There was no evidence of appointment of a properly established PIT for DLG infrastructure Projects.</p>	0
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>e. Evidence that the health infrastructure followed the standard technical designs provided by the MoH: score 1 or else score 0</p> <p>If there is no project, provide the score</p>	<p>DLG Engineer's Progress and supervision reports for Oburin Health Centre 1V project site including;</p> <p>1. Upgrade of Oburin Health Centre 11 to Health 1V Ref: UglIFT/Wrks/19-20/00002 awarded to M/S CAB (U) Ltd at 647,679,694 all had MoH technical designs attached to Engineer's certificates.</p> <p>The certification certificates for these Health infrastructure project were issued by DLG Engineer on 26/08/2020.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>f. Evidence that the Clerk of Works maintains daily records that are consolidated weekly to the District Engineer in copy to the DHO, for each health infrastructure project: score 1 or else score 0</p> <p>If there is no project, provide the score</p>	<p>There was a consolidated site report prepared by Clerk of Works and addressed to DLG Engineer issued on 27/06/2020 for Oburin Health Centre 111.</p>	1

13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>g. Evidence that the LG held monthly site meetings by project site committee: chaired by the CAO/Town Clerk and comprised of the Sub-county Chief (SAS), the designated contract and project managers, chairperson of the HUMC, in-charge for beneficiary facility , the Community Development and Environmental officers: score 1 or else score 0</p> <p>If there is no project, provide the score</p>	<p>There was evidence of quarterly site meetings held once in quarter 4 as follows:</p> <p>1. Fourth quarter meeting with Engineer's monitoring report for Oburin Health Centre 111 held on 27/05/2020 under MIN: 04/05/2019-2020.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>h. Evidence that the LG carried out technical supervision of works at all health infrastructure projects at least monthly, by the relevant officers including the Engineers, Environment officers, CDOs, at critical stages of construction: score 1, or else score 0</p> <p>If there is no project, provide the score</p>	<p>The DLG supervised the health project with team consisting of District Engineer, Environment Officer, , DHO and CDO as follows: Ref: UglFT/Wrks/2019-2020/00002. Joint Supervision visit for Oburin HC 111 was conducted on 27/05/2020 and upon recommendation from DHO , Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>i. Evidence that the DHO/MMOH verified works and initiated payments of contractors within specified timeframes (within 2 weeks or 10 working days), score 1 or else score 0</p>	<p>1.Upgrade of Oburin Health Centre 11 to Health Centre 111.Ref: SERE596//Wrks/19-20/00002</p> <p>Supervision visit to the site was conducted by a joint team of key sector heads on 08/01/2020.Engineer issued Certificate of completion Number 2 on 20/01/2020 and Subsequent payment of 20,038,825 was initiated and timely paid on 24/01/2020 upon recommendation by DHO.</p>	1

13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>j. Evidence that the LG has a complete procurement file for each health infrastructure contract with all records as required by the PPDA Law score 1 or else score 0</p>	<p>The DLG had the following Health infrastructure projects approved and incorporated into the Procurement plan for FY 2019/2020.</p> <p>3. Evaluation committee report dated 26/08/2019 for Upgrade of Oburin Health Centre 11 to HC 111 by M/S CAB (U) Investments Limited.</p> <p>Ref: UgIFT/Wrks/2019/2020/00002.</p> <p>was approved by contracts committee dated 06/11/2019 under min: 05/CC/11/2019-2020. The contract was signed with the contractor on 26/11/2019 as work was to start the same date of signing the agreement.</p>	1
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Environment and Social Safeguards

14	<p>Grievance redress: The LG has established a mechanism of addressing health sector grievances in line with the LG grievance redress framework</p> <p>Maximum 2 points on this performance measure</p>	<p>a. Evidence that the Local Government has recorded, investigated, responded and reported in line with the LG grievance redress framework score 2 or else 0</p>	<p>There was no evidence that the LG had recorded, investigated, responded and reported in line with the LG grievance redress framework</p>	0
15	<p>Safeguards for service delivery: LG Health Department ensures safeguards for service delivery</p> <p>Maximum 5 points on this performance measure</p>	<p>a. Evidence that the LG has disseminated guidelines on health care / medical waste management to health facilities : score 2 points or else score 0</p>	<p>There was evidence that the LG had disseminated guidelines on health care / medical waste management to health facilities</p> <p>Evidenced by the distribution list of guidelines dated 11th June 2020</p>	2
15	<p>Safeguards for service delivery: LG Health Department ensures safeguards for service delivery</p> <p>Maximum 5 points on this performance measure</p>	<p>b. Evidence that the LG has in place a functional system for Medical waste management or central infrastructures for managing medical waste (either an incinerator or Registered waste management service provider): score 2 or else score 0</p>	<p>The LG had employed the services of a Registered waste management service provider know as Green Label LTD.</p> <p>Well Labeled waste colored bins were also in place at the health facilities.</p> <p>A functional incinerator for burning medical waste was also found at Serere Hc IV.</p>	2

15	<p>Safeguards for service delivery: LG Health Department ensures safeguards for service delivery</p> <p>Maximum 5 points on this performance measure</p>	<p>c. Evidence that the LG has conducted training (s) and created awareness in healthcare waste management score 1 or else score 0</p>	<p>There was no evidence that the LG had conducted training (s) and created awareness in healthcare waste management.</p>	0
16	<p>Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments</p> <p>Maximum 8 points on this performance measure</p>	<p>a. Evidence that a costed ESMP was incorporated into designs, BoQs, bidding and contractual documents for health infrastructure projects of the previous FY: score 2 or else score 0</p>	<p>There was no evidence that the LG had costed ESMP and incorporated into designs, BoOs, bidding and contractual documents for health infrastructure projects of the previous FY.</p>	0
16	<p>Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments</p> <p>Maximum 8 points on this performance measure</p>	<p>b. Evidence that all health sector projects are implemented on land where the LG has proof of ownership, access and availability (e.g. a land title, agreement; Formal Consent, MoUs, etc.), without any encumbrances: score 2 or else, score 0</p>	<p>There was evidence that the LG had proof of land ownership as mentioned below.</p> <p>Application for freehold tenure dated 24th January 2018, for Oburin HCIII, the land was approximately to 16 Acres, located in Akonyakinei Village, Oburin Parish, Olio S/C, Serere County in Serere District.</p>	2
16	<p>Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments</p> <p>Maximum 8 points on this performance measure</p>	<p>c. Evidence that the LG Environment Officer and CDO conducted support supervision and monitoring of health projects to ascertain compliance with ESMPs; and provide monthly reports: score 2 or else score 0.</p>	<p>There was no evidence that LG Environment Officer and CDO conducted support supervision and monitoring of health projects to ascertain compliance with ESMPs, no monthly reports were availed to the assessor by the time of assessment.</p>	0

<p>Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments</p> <p>Maximum 8 points on this performance measure</p>	<p>d. Evidence that Environment and Social Certification forms were completed and signed by the LG Environment Officer and CDO, prior to payments of contractor invoices/certificates at interim and final stages of all health infrastructure projects score 2 or else score 0</p>	<p>There was evidence of certification form signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO;</p> <p>From certification form dated 29th June 2020, the LG screened construction of a pit latrine in Oburin HCIII in Oburin village, Oburin Parish in Olio S/C 3rd July 2020</p>
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No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	Water & Environment Outcomes: The LG has registered high functionality of water sources and management committees <i>Maximum 4 points on this performance measure</i>	a. % of rural water sources that are functional. If the district rural water source functionality as per the sector MIS is: o 90 - 100%: score 2 o 80-89%: score 1 o Below 80%: 0	Percentage of rural water sources that are functional in the current FY 2020/21= 94%	2
1	Water & Environment Outcomes: The LG has registered high functionality of water sources and management committees <i>Maximum 4 points on this performance measure</i>	b. % of facilities with functional water & sanitation committees (documented water user fee collection records and utilization with the approval of the WSCs). If the district WSS facilities that have functional WSCs is: o 90 - 100%: score 2 o 80-89%: score 1 o Below 80%: 0	Percentage of facilities with functional water & sanitation committees in the current FY 2020/21 =98%	2
2	Service Delivery Performance: Average score in the water and environment LLGs performance assessment <i>Maximum 8 points on this performance measure</i>	a. The LG average score in the water and environment LLGs performance assessment for the current. FY. If LG average scores is a. Above 80% score 2 b. 60 -80%: 1 c. Below 60: 0 (Only applicable when LLG assessment starts)	Not applicable	0

Service Delivery
Performance: Average
score in the water and
environment LLGs
performance
assessment

*Maximum 8 points on
this performance
measure*

b. % of budgeted water projects
implemented in the sub-counties with safe
water coverage below the district average in
the previous FY.

o If 100 % of water projects are
implemented in the targeted S/Cs: Score 2

o If 80-99%: Score 1

o If below 80 %: Score 0

Percentage of implemented projects = 50%.

The LG planned to implement six(6) new deep
boreholes and four(4) borehole rehabilitations in
the district.

Water access in the district was as follows;

Kateta at 80%

Kyere at 72%

Laberi at 79%

Olio at 95%

Pingire at 92%

Bugondo at 89%

Atiira at 95%

Kadungulu at 69%

The average safe water coverage was 83%

Sub counties below the district average were as
follows;

Kateta at 80%

Kyere at 72%

Laberi at 79%

Kadungulu at 69%

Projects implemented = 6 new deep boreholes
and 4 borehole rehabilitation

Total projects implemented = 10

Projects implemented in the sub counties below
the average = 5 (1 new borehole and 1
rehabilitation to kyere S/C , 1 new borehole and
1 rehabilitation to Labori S/C , 1 new borehole to
Kadungulu S/C)

Percentage of implemented projects = 50%

Service Delivery
Performance: Average
score in the water and
environment LLGs
performance
assessment

*Maximum 8 points on
this performance
measure*

c. If variations in the contract price of
sampled WSS infrastructure investments for
the previous FY are within +/- 20% of
engineer's estimates

o If within +/-20% score 2

o If not score 0

Percentage variations in the contract price of
sampled WSS infrastructure investments for the
previous FY = 1.7%

Rehabilitation of four (4) boreholes (Ref No;
Sere 596/Wrks/2019-20/00024) completed on
1st/03/2020

Contract sum =41,860,500/=

Estimated cost = 42,517,000/=

Contract variation = 656,500/= equivalent to -
1.54%

Drilling of 6 boreholes (Ref No; Sere
596/Wrks/2019-20/0002) completed on
3rd/05/2020

Contract sum =126,017,963/=

Estimated cost = 127,300,000/=

Contract variation = 1,282,037/= equivalent to -
0.1%

Construction of a water closet toilet (Ref No;
Sere 596/Wrks/2019-20/00009) completed on
19th/06/2020

Contract price = 15,029,000/=

Estimated cost = 10,000,000

Contract variation = 5,029,000/=

Total contract price for all the three projects =
182,907,463/=

Total estimated cost for all the three projects =
179,817,000/=

Total variation in the contract sum = 3,090,463/=

Total percentage variation = 1.7%

Service Delivery
Performance: Average
score in the water and
environment LLGs
performance
assessment

*Maximum 8 points on
this performance
measure*

d. % of WSS infrastructure projects
completed as per annual work plan by end
of FY.

o If 100% projects completed: score 2

o If 80-99% projects completed: score 1

o If projects completed are below 80%: 0

The percentage of WSS infrastructure projects
completed as per annual work plan by end of
FY = 100%.The LG planned for 3 projects as
above and completed three (3) on the
respective dates stated above giving the
percentage of completed project = 100%

3	<p>Achievement of Standards: The LG has met WSS infrastructure facility standards</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>a. If there is an increase in the % of water supply facilities that are functioning</p> <p>o If there is an increase: score 2</p> <p>o If no increase: score 0.</p>	<p>There was no increase in the % of water supply facilities that are functional between the FY 2018/19 and 2019/20 instead there was a decrease</p> <p>Percentage of functional water sources by FY 2018/19 = 95.89%</p> <p>Percentage of functional water sources by FY 2018/19 = 86.39%.</p> <p>The decrease as stated by the DWO during the assessment was due to the policy shift by MOFPED on conditional grant guideline reducing investment in rehabilitation of water sources and software expenditures</p>	0
3	<p>Achievement of Standards: The LG has met WSS infrastructure facility standards</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>b. If there is an Increase in % of facilities with functional water & sanitation committees (with documented water user fee collection records and utilization with the approval of the WSCs).</p> <p>o If increase is more than 5%: score 2</p> <p>o If increase is between 0-5%: score 1</p> <p>o If there is no increase: score 0.</p>	<p>There was no increase in the % of facilities with functional water a sanitation committee between the FY 2018/19 and 2019/20 instead there was a decrease.</p> <p>Percentage of facilities with functional water a sanitation committees in the FY 2018/19 = 95.2%</p> <p>Percentage of facilities with functional water a sanitation committees in the FY 2019/20 = 94.23%.</p> <p>The same reason for the decrease as stated above</p>	0

Performance Reporting and Performance Improvement

Accuracy of Reported Information: The LG has accurately reported on constructed WSS infrastructure projects and service performance

Maximum 3 points on this performance measure

The DWO has accurately reported on WSS facilities constructed in the previous FY and performance of the facilities is as reported:
Score: 3

List of constructed projects was on page 33 to 34 of the annual performance report dated 10th/09/2020 and they include;

- Siting, design, drilling and installation of 8 deep borehole in Bugondo S/C (4 boreholes), Kadungulu s/c (1 borehole), Kyere s/c (1 borehole) Labori s/c (1 borehole) and Olio s/c (1 borehole).
- Construction of a water closet toilet in the water office.
- Rehabilitation of 4 boreholes in Labori S/C, Pingire s/c, Kyere S/C and Atiira S/C

A toilet and two boreholes one in Bugondo S/C (DDEG funded) and olio S/C (W&E grant) were visited.

All the three facilities visited were constructed and functional as evidenced below;

The field visit made to each of these three projects had the following findings;

The boreholes had good water yield, good quality water, Alwa borehole was not fenced at all, tree planting by the water committee around the borehole was still ongoing, well protected borehole recharge catchment area, well operating hand pump and properly constructed apron.

The toilet was properly constructed as per the standard specifications and drawings provided to the contractor; the toilet and WHB (Wash Hand Basin) was properly installed, doors and windows were well fixed.

Therefore the three projects were functional and utilized as per the purpose.

5	<p>Reporting and performance improvement: The LG compiles, updates WSS information and supports LLGs to improve their performance</p> <p><i>Maximum 7 points on this performance measure</i></p>	<p>a. Evidence that the LG Water Office collects and compiles quarterly information on sub-county water supply and sanitation, functionality of facilities and WSCs, safe water collection and storage and community involvement): Score 2</p>	<p>The DWO presented all the four submitted quarterly reports for the previous financial year as follows;</p> <p>Quarter 1 was submitted on 06/11/2019 and the information on sub-county water supply and sanitation, functionality of facilities and WSCs and safe water collection was obtained on page 7-19</p> <p>Quarter 2 report was submitted on 07/2/2020 and the information on sub-county water supply and sanitation, functionality of facilities and WSCs and safe water collection was obtained on page 6-17.</p> <p>Quarter 3 was submitted on 15/03/2020 and the information on sub-county water supply and sanitation, functionality of facilities and WSCs and safe water collection was obtained on page 7-15.</p> <p>Quarter 4 was submitted on 10th /09/2020 and the information on sub-county water supply and sanitation, functionality of facilities and WSCs and safe water collection was obtained on page 14-21</p>	2
5	<p>Reporting and performance improvement: The LG compiles, updates WSS information and supports LLGs to improve their performance</p> <p><i>Maximum 7 points on this performance measure</i></p>	<p>b. Evidence that the LG Water Office updates the MIS (WSS data) quarterly with water supply and sanitation information (new facilities, population served, functionality of WSCs and WSS facilities, etc.) and uses compiled information for planning purposes: Score 3 or else 0</p>	<p>There was evidence that the DWO updates the MIS with water supply and sanitation information as it was seen from quarter 2 report page 15, quarter 1 report page 13 and quarter 4 page 20, the pages of the quarterly reports given above had changes as new data on new facilities and functionality of WSCS and WSS facilities were recorded.</p> <p>The annual software report was also last updated on 7th/08/2020 With new water supply and sanitation information being entered.</p>	3
5	<p>Reporting and performance improvement: The LG compiles, updates WSS information and supports LLGs to improve their performance</p> <p><i>Maximum 7 points on this performance measure</i></p>	<p>c. Evidence that DWO has supported the 25% lowest performing LLGs in the previous FY LLG assessment to develop and implement performance improvement plans: Score 2 or else 0</p> <p><i>Note: Only applicable from the assessment where there has been a previous assessment of the LLGs' performance. In case there is no previous assessment score 0.</i></p>	<p>Not applicable</p>	0

Human Resource Management and Development

6	<p>Budgeting for Water & Sanitation and Environment & Natural Resources: The Local Government has budgeted for staff</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>a. Evidence that the DWO has budgeted for the following Water & Sanitation staff: 1 Civil Engineer(Water); 2 Assistant Water Officers (1 for mobilization and 1 for sanitation & hygiene); 1 Engineering Assistant (Water) & 1 Borehole Maintenance Technician: Score 2</p>	<p>According to the staff list the DWO had budgeted for 1 Civil Engineer (Water), one assistant engineering officer but had not budgeted for a borehole maintenance technician, Assistant Water Officers for sanitation</p>	0
6	<p>Budgeting for Water & Sanitation and Environment & Natural Resources: The Local Government has budgeted for staff</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>b. Evidence that the Environment and Natural Resources Officer has budgeted for the following Environment & Natural Resources staff: 1 Natural Resources Officer; 1 Environment Officer; 1 Forestry Officer: Score 2</p>	<p>According to the staff list the Environment and Natural Resources Officer had budgeted for a Environment Officer;</p> <p>And Forestry Officer but the post of Natural Resources Officer was vacant.</p>	0
7	<p>Performance Management: The LG appraised staff and conducted trainings in line with the district training plans.</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>a. The DWO has appraised District Water Office staff against the agreed performance plans during the previous FY: Score 3</p>	<p>Only one out of three District Water Office staff was appraised</p> <p>Okolimong Daniel Joesph (civil engineer water) no appraisal on file</p> <p>Aruga Rebecca (Assistant Engineering officer) appraisal not on file.</p>	0
7	<p>Performance Management: The LG appraised staff and conducted trainings in line with the district training plans.</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>b. The District Water Office has identified capacity needs of staff from the performance appraisal process and ensured that training activities have been conducted in adherence to the training plans at district level and documented in the training database : Score 3</p>	<p>There was no evidence availed that indicated that the District Water Office has identified capacity needs of staff from the performance appraisal process</p>	0

Management, Monitoring and Supervision of Services.

Planning, Budgeting and Transfer of Funds for service delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.

Maximum 6 points on this performance measure

- a) Evidence that the DWO has prioritized budget allocations to sub-counties that have safe water coverage below that of the district:
-
- • If 100 % of the budget allocation for the current FY is allocated to S/Cs below the district average coverage: Score 3
- • If 80-99%: Score 2
- • If 60-79: Score 1
- • If below 60 %: Score 0

The DWO allocated 336,380,000/= equivalent to 80% of the total budget to the sub counties that were below the district average.

The following sub counties were below the district average (80%) as per the financial year 2019/20;

Kadungulu was at 51.76% access

Labori was at 55.58% Access

Bugondo was at 65%

Kyere was at 66.87%

Budget allocation to these 4 sub counties as per the financial year 2020/21 were as follows;

Kadungulu had 84,000,000/=

Labori had 39,000,000/=

Bugondo had 67,000,000/=

Kyere had 140,380,000/=

Total allocation = 336,380,000/=

Total budget = 416,307,000/=

Percentage allocation = 80%

Planning, Budgeting and Transfer of Funds for service delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.

Maximum 6 points on this performance measure

b) Evidence that the DWO communicated to the LLGs their respective allocations per source to be constructed in the current FY:
Score 3

There was evidence that the DWO communicated to the LLGS their respective allocations for the facilities to be constructed in the current FY.

The communication was made on 1st/07/2020 and the allocations were as follows;

Bugondo S/C with 2 new deep borehole drilling equivalent to 54,000,000/=

Atiira S /C with 1 new deep borehole and 1 borehole rehabilitation equivalent to 39,000,000/=

Labori S/C with 1 new deep borehole and 1 borehole rehabilitation equivalent to 39,000,000/=

Olio S/C with 2 new deep boreholes equivalent to 54,000,000/=

Kyere S/C with 3 new deep boreholes and 2 borehole rehabilitations equivalent to 140,380,000/=

Kadungulu S/C and TC with 2 deep Boreholes equivalent to 54,000,000/=

Kateta s/c with 1 deep borehole equivalent to 27,000,000/= and

Pingire s/c with 1 deep borehole and 1 rehabilitation equivalent to 39,000,000/=

Routine Oversight and Monitoring: The LG has monitored WSS facilities and provided follow up support.

Maximum 8 points on this performance measure

a. Evidence that the district Water Office has monitored each of WSS facilities at least quarterly (key areas to include functionality of Water supply and public sanitation facilities, environment, and social safeguards, etc.)

- If more than 95% of the WSS facilities monitored quarterly: score 4

- If 80-99% of the WSS facilities monitored quarterly: score 2

- If less than 80% of the WSS facilities monitored quarterly: Score 0

The DWO presented the filled form 4 data collection sheets that was used for monitoring of water sources.

The LG had 37 protected springs, 292 shallow wells, 667 deep boreholes, 33 rainwater harvesting tanks, 3 dam and 1038 piped water system/tap stands which totals to 2068 water sources

Number of WSS projects visited in all the 4 quarters of the previous FY = 2036

Percentage of WSS projects monitored = $2036/2068 \times 100 = 98.4\%$

9	<p>Routine Oversight and Monitoring: The LG has monitored WSS facilities and provided follow up support.</p> <p><i>Maximum 8 points on this performance measure</i></p>	<p>b. Evidence that the DWO conducted quarterly DWSCC meetings and among other agenda items, key issues identified from quarterly monitoring of WSS facilities were discussed and remedial actions incorporated in the current FY AWP. Score 2</p>	<p>The LG had only one meeting in the whole of the FY due to the change in the sector guidelines where the money that was allocated for software activities was not enough to hold all the four meetings in the FY that's to say;</p> <p>The meeting held from 15th/04/2019 to 16th/04/2019. The keys issues from monitoring was discussed under minute MIN 16/DWSCCM/9/2019.</p>	2
9	<p>Routine Oversight and Monitoring: The LG has monitored WSS facilities and provided follow up support.</p> <p><i>Maximum 8 points on this performance measure</i></p>	<p>c. The District Water Officer publicizes budget allocations for the current FY to LLGs with safe water coverage below the LG average to all sub-counties: Score 2</p>	<p>The DWO publicized the budget allocations for the current FY to LLGS below the district average through notices dated 1st/July/2020 and the allocations were as below;</p> <p>Kadungulu s/c was allocated 54,000,000/=</p> <p>Labori s/c was allocated 39,000,000/=</p> <p>Bugondo s/c was allocated 54,000,000/=</p> <p>Kyere s/c was allocated 140,380,000/=</p>	2
10	<p>Mobilization for WSS is conducted</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>a. For previous FY, the DWO allocated a minimum of 40% of the NWR rural water and sanitation budget as per sector guidelines towards mobilization activities:</p> <ul style="list-style-type: none"> • If funds were allocated score 3 • If not score 0 	<p>The DWO allocated 36,000,000/=(Page 120 of the Local Government Quarterly Performance Report FY 2019/20) for community mobilization activities equivalent to 61% of the total NWR budget which was 59,220,000/= (Page 84 of the Local Government Quarterly Performance Report(quarter 4) for the FY 2019/20</p>	3
10	<p>Mobilization for WSS is conducted</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>b. For the previous FY, the District Water Officer in liaison with the Community Development Officer trained WSCs on their roles on O&M of WSS facilities: Score 3.</p>	<p>The district water officer in liaison with the community development officer established the WSCS and they were trained on their roles on O &M of WSS facilities, the training was conducted on 14th/July/2019 and was funded by Pentecostal Assembly of God (PAG). The committee was composed of 9 members elected by the communities from all the beneficially villages and these include;</p> <p>Agule In Pingire s/c, Obululun and Owil in Bugondo s/c, Okulukulun and Omoyo in Kadunguru s/c, Ojetenyenga in Kateta s/c, Abuket in kyere s/c, Okulonyo in olio s/c, Mulondo in Labori s/c and Adupala in Atiira s/c.</p>	3

Investment Management

11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>a. Existence of an up-to-date LG asset register which sets out water supply and sanitation facilities by location and LLG:</p> <p>Score 4 or else 0</p>	<p>There was existence of an updated asset register with new facilities constructed in the FY 2019/20 that include)</p> <p>(6) Deep boreholes drilled in Opunoi-Ocawoi, Ojomai, Olupe - Okum, Mukura, Alwa la and Madoch Villages.</p> <p>The LG had 37 protected springs, 292 shallow wells, 667 deep boreholes, 33 rainwater harvesting tanks, 3 dam and 1038 piped water system/tap stands which totals to 2068 water sources. The DWO also presented the form 1 data collection forms/ sheets that was submitted to the ministry for update on 10th/9/2020 .</p>	4
11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>b. Evidence that the LG DWO has conducted a desk appraisal for all WSS projects in the budget to establish whether the prioritized investments were derived from the approved district development plans and are eligible for expenditure under sector guidelines (prioritize investments for sub-counties with safe water coverage below the district average and rehabilitation of non-functional facilities) and funding source (e.g. sector development grant, DDEG). If desk appraisal was conducted and if all projects are derived from the LGDP and are eligible:</p> <p>Score 4 or else score 0.</p>	<p>The District conducted a joint desk appraisal of prioritized DDEG investments for the previous FY in the TPC held on 11th/9/2019 Agenda 7 Min. 29/DTPC/09/2019 where provision in the LGDP and eligibility for expenditure under sector guidelines were confirmed.</p>	4
11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>c. All budgeted investments for current FY have completed applications from beneficiary communities: Score 2</p>	<p>The DWO presented a file of over 15 applications for the current FY.</p> <p>Some of the sampled applications include; Request for 3 boreholes by Acilo village community in Atiira s/c dated 7th/09/2020.</p> <p>Application for a deep borehole in Ojulai village in Kyere sub county dated 13th/08/2020.</p> <p>Application for a deep borehole repair in Asilang village of Atiira s/c dated 31st/07/2020</p> <p>Request for a borehole in Akmei village dated 10th/07/2020</p>	2
11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>d. Evidence that the LG has conducted field appraisal to check for: (i) technical feasibility; (ii) environmental social acceptability; and (iii) customized designs for WSS projects for current FY. Score 2</p>	<p>The DWO did not present the water resource report, the field appraisal reports and the feasibility study report for the current FY projects. What was available was the siting report for the boreholes which was not enough evidence that field appraisals were conducted</p>	0

11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>e. Evidence that all water infrastructure projects for the current FY were screened for environmental and social risks/ impacts and ESIA/ESMPs prepared before being approved for construction - costed ESMPs incorporated into designs, BoQs, bidding and contract documents. Score 2</p>	<p>There was evidence that all water infrastructure projects for the current FY were screened for environmental and social risks/ impacts. The DWO/Environment officer presented a file of filled environmental and social screen forms and costed ESMP, three forms were sampled and they include;</p> <p>Obur deep borehole drilling screen form dated 22nd/04/2020.</p> <p>Obit deep borehole drilling dated 22nd/04/2020</p> <p>Aminit deep borehole drilling screen form dated 22nd/04/2020</p> <p>The environment and social management plan was also presented and involves mitigation actions like planting trees around the source</p>	2
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p> <p>.</p>	<p>a. Evidence that the water infrastructure investments were incorporated in the LG approved: Score 2 or else 0</p>	<p>DLG had evidence that all infrastructure projects for the current FY were incorporated in the LG current Procurement Work Plan approved by District Council under minute 19/03/DC/3/2020 signed by Otiira Gabriel Chairman Clerk to council dated 16/03/2020.</p> <p>Some of these Projects were as follows:</p> <p>Drilling, casting, Testing Pumping and installation of 6 boreholes on the several villages of :Okum(1),Alwala(1),Opunoi(1),Ocawoi-Mukura(1),Ojomai(1),Madoc(1) Page 2 of the procurement Plan.</p>	2
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p> <p>.</p>	<p>b. Evidence that the water supply and public sanitation infrastructure for the previous FY was approved by the Contracts Committee before commencement of construction Score 2:</p>	<p>The water supply and public sanitation infrastructure for the previous FY were approved by the Contracts Committee under minute number one for the meeting held on 6th/11/2019</p> <p>MIN 05/CC/11/2019-2020 item g, h, l and k</p> <p>6 boreholes drilled in the Villages of Olupe-Okum(1),Alwala(1),Opunoi(1),Ocawoi-Mukura(1),Ojomai(1),Madoc(1) under Minute 05/CC/11/2019/2020 was duly forwarded to CC for approval and Signatures on 06/11/2019.</p>	2

12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p> <p>.</p>	<p>c. Evidence that the District Water Officer properly established the Project Implementation team as specified in the Water sector guidelines Score 2:</p>	<p>The PDU did not present the list of project implementation team and hence the DWO did not establish the project implementation team</p>	0
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p> <p>.</p>	<p>d. Evidence that water and public sanitation infrastructure sampled were constructed as per the standard technical designs provided by the DWO: Score 2</p>	<p>There was evidence that water and public sanitation infrastructure sampled were constructed as per the standard technical designs provided by the DWO. The three sample projects include;</p> <ol style="list-style-type: none"> 1. Construction of the water closet toilet in Serere district water office (completed on 19th/06/2020) 2. Deep borehole sitting and drilling in Alwa village Bugondo sub county (Borehole NO: DWD 75426) completed on 20th/01/2020. 3. Deep borehole siting ,drilling and installation in Mukura village olia S/C (DWD 75428) <p>The DWO and contractor adopted the design A for Mukura borehole and design B for Alwa borehole, the specifications given by the LG for the toilet and boreholes were the same as those in the contracts for the contractors.</p> <p>The field visit made to each of these three projects had the following findings;</p> <p>The boreholes had good water yield, good quality water, Alwa borehole was not fenced at all, tree planting by the water committee around the borehole was still ongoing, well protected borehole recharge catchment area, well operating hand pump and properly constructed apron.</p> <p>The toilet was properly constructed as per the standard specifications and drawings provided to the contractor; the toilet and WHB (Wash Hand Basin) was properly installed, doors and windows were well fixed.</p> <p>Therefore the three projects were functional and utilized as per the purpose.</p>	2

12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p> <p>.</p>	<p>e. Evidence that the relevant technical officers carry out monthly technical supervision of WSS infrastructure projects: Score 2</p>	<p>The DWO presented only a supervision report for the solar piping system dated 20th/06/2020 and the contract management plan dated 24th/08/2020 with only the District Engineer and DWO but without Environmental Officer and community developmental officer (CDO). There was only minutes of site meetings of one project presented at the time of assessment;</p> <p>Site meeting at Apoker village for solar water pipe system held on 30th/05/2020 and issues discussed under minute MIN730/05/2020 page 13 of minutes.</p> <p>The site meeting held on 27th/05/2020 for the construction of a mini solar scheme in Apoker B village and work progress discussed under MIN 810/03/2020</p>	0
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p> <p>.</p>	<p>f. For the sampled contracts, there is evidence that the DWO has verified works and initiated payments of contractors within specified timeframes in the contracts</p> <p>o If 100 % contracts paid on time: Score 2</p> <p>o If not score 0</p>	<p>There was evidence that the DWO verified works and initiated payments of contractor for the 3 sampled water project contracts.</p> <p>The 3 sampled contracts include;</p> <p>The 4 borehole rehabilitation contract</p> <p>Payment request date was 4th/03/2020</p> <p>Payment certification by DWO and DE was on 12th/03/2020</p> <p>The second contract was the siting, design, drilling and installation of 6 boreholes</p> <p>Payment request was made on 15th/06/2020</p> <p>Payment certification by DE was made on 16th/12/2019</p> <p>Payment certification by DWO was made on 15th/06/2020</p> <p>The third sampled contract was the construction of water closet toilet at the district water office</p> <p>Payment request was made on 15th/06/2020</p> <p>Certification by the DWO and DE was on 17th/06/2020</p>	2

Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements

g. Evidence that a complete procurement file for water infrastructure investments is in place for each contract with all records as required by the PPDA Law:

Score 2, If not score 0

Maximum 14 points on this performance measure

There was evidence that a complete procurement file for water infrastructure investments is in place for each contract with all records as required;

Complete procurement file for the drilling, pumping test, apron casting and installation of 6 boreholes, procurement file no was SERE 596/WRKS/19-20/00002.

Key documents

Evaluation report approved on 8th/11/2019 under minute no MIN5/CC/11/2019

Minutes of contract committee decisions was in place (MIN5/CC/11/2019) and contract works documents.

The second contract was rehabilitation of 4 boreholes

Procurement Ref No: SERE596/WRKS/2019-2020/00001

Key documents

Contract agreement signed On 26th/11/2019

Approved evaluation report for works dated 25th/10/2019

Submissions of contract committee

Letter of bid acceptance dated

Works contract

Contract committee decision.

The third contract was the construction of a water closet toilet in the water office

Procurement file no: SERE596/WRKS/19-20/00009

Key documents

Contract agreement dated 6th/03/2020

Letter of bid acceptance dated 5th/03/2020

Bill of quantities dated 3rd/03/2020

Minutes of contract decision 23/cc/01/2019-2020 and dated 21st/09/2020

Environment and Social Requirements

13	<p>Grievance Redress: The LG has established a mechanism of addressing WSS related grievances in line with the LG grievance redress framework</p> <p><i>Maximum 3 points this performance measure</i></p>	<p>Evidence that the DWO in liaison with the District Grievances Redress Committee recorded, investigated, responded to and reported on water and environment grievances as per the LG grievance redress framework:</p> <p>Score 3, If not score 0</p>	<p>There was no evidence that the LG and DWO had recorded, investigated, responded to and reported a water and environment grievances as per the LG grievance redress framework.</p>	0
14	<p>Safeguards for service delivery</p> <p><i>Maximum 3 points on this performance measure</i></p>	<p>Evidence that the DWO and the Environment Officer have disseminated guidelines on water source & catchment protection and natural resource management to CDOs:</p> <p>Score 3, If not score 0</p>	<p>Evidence from a report dated 13th December 2019, the dissemination was on the; implementation of hygiene and sanitation, gender mainstreaming in operation and maintenance of water and sanitation facilities, roles and responsibilities of various stakeholder in water and sanitation management, safe water chain as one of the encouraging topics to be conducted so as to reduce contamination of water by the containers, advocating finance and management, prevent maintenance and troubleshooting as evidence of poor operation and maintenance issues.</p>	3
15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>a. Evidence that water source protection plans & natural resource management plans for WSS facilities constructed in the previous FY were prepared and implemented: Score 3, If not score 0</p>	<p>There was no evidence provide by LG during assessment time that water source protection plans and natural resource management plans for WSS facilities constructed in the previous FY were prepared and implemented.</p>	0
15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>b. Evidence that all WSS projects are implemented on land where the LG has proof of consent (e.g. a land title, agreement; Formal Consent, MoUs, etc.), without any encumbrances:</p> <p>Score 3, If not score 0</p>	<p>There was no evidence that the LG had proof of land ownership on which the water projects were implemented</p>	0
15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>c. Evidence that E&S Certification forms are completed and signed by Environmental Officer and CDO prior to payments of contractor invoices/certificates at interim and final stages of projects:</p> <p>Score 2, If not score 0</p>	<p>There was evidence that the LG had certification forms signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO as mentioned below;</p> <ol style="list-style-type: none"> 1. From the certification form dated 4th May 2020, the LG certified construction of a sanitary facility in water office in Kiliota Village, Osugaro Ward in Sere T/C payment dated 15th June 2020 2. From the certification form dated 22nd April 2020, the LG certified the drilling of a deep borehole in Obit village, Asilang Parish in Atira S/C 15th June 2020 3. From the certification form dated 22nd April 2020, the LG certified the drilling of a deep borehole in Aminit village, Kangodo Parish in Kyere S/C 15th June 2020 	2

Safeguards in the Delivery of Investments	d. Evidence that the CDO and environment Officers undertakes monitoring to ascertain compliance with ESMPs; and provide monthly reports:	There was no evidence that the LG CDO and environmental Officers undertook monitoring to ascertain compliance with ESMPs.
Maximum 10 points on this performance measure	Score 2, If not score 0	

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	Outcome: The LG has increased acreage of newly irrigated land Maximum score 4 Maximum 20 points for this performance area	a) Evidence that the LG has up to-date data on irrigated land for the last two FYs disaggregated between micro-scale irrigation grant beneficiaries and non-beneficiaries – score 2 or else 0	Not applicable	0
1	Outcome: The LG has increased acreage of newly irrigated land Maximum score 4 Maximum 20 points for this performance area	b) Evidence that the LG has increased acreage of newly irrigated land in the previous FY as compared to previous FY but one: • By more than 5% score 2 • Between 1% and 4% score 1 • If no increase score 0	Not applicable	0
2	Service Delivery Performance: Average score in the micro-scale irrigation for the LLG performance assessment. Maximum score 4	a) Evidence that the average score in the micro-scale irrigation for LLG performance assessment is: • Above 70%; score 4 • 60 – 69%; score 2 • Below 60%; score 0 Maximum score 4	Not applicable	0
3	Investment Performance: The LG has managed the supply and installation of micro-scale irrigations equipment as per guidelines Maximum score 6	a) Evidence that the development component of micro-scale irrigation grant has been used on eligible activities (procurement and installation of irrigation equipment, including accompanying supplier manuals and training): Score 2 or else score 0	Not applicable	0

3	Investment Performance: The LG has managed the supply and installation of micro-scale irrigations equipment as per guidelines Maximum score 6	b) Evidence that the approved farmer signed an Acceptance Form confirming that equipment is working well, before the LG made payments to the suppliers: Score 1 or else score 0	Not applicable	0
3	Investment Performance: The LG has managed the supply and installation of micro-scale irrigations equipment as per guidelines Maximum score 6	Evidence that the variations in the contract price are within +/-20% of the Agriculture Engineers estimates: Score 1 or else score 0	Not applicable	0
3	Investment Performance: The LG has managed the supply and installation of micro-scale irrigations equipment as per guidelines Maximum score 6	d) Evidence that micro-scale irrigation equipment where contracts were signed during the previous FY were installed/completed within the previous FY • If 100% score 2 • Between 80 – 99% score 1 • Below 80% score 0	Not applicable	0
4	Achievement of standards: The LG has met staffing and micro-scale irrigation standards Maximum score 6	a) Evidence that the LG has recruited LLG extension workers as per staffing structure • If 100% score 2 • If 75 – 99% score 1 • If below 75% score 0	Not applicable	0
4	Achievement of standards: The LG has met staffing and micro-scale irrigation standards Maximum score 6	b) Evidence that the micro-scale irrigation equipment meets standards as defined by MAAIF • If 100% score 2 or else score 0	Not applicable	0
4	Achievement of standards: The LG has met staffing and micro-scale irrigation standards Maximum score 6	b) Evidence that the installed micro-scale irrigation systems during last FY are functional • If 100% are functional score 2 or else score 0	Not applicable	0

5	<p>Accuracy of reported information: The LG has reported accurate information</p> <p>Maximum score 4</p>	<p>a) Evidence that information on position of extension workers filled is accurate: Score 2 or else 0</p>	<p>Not applicable</p>	0
5	<p>Accuracy of reported information: The LG has reported accurate information</p> <p>Maximum score 4</p>	<p>b) Evidence that information on micro-scale irrigation system installed and functioning is accurate: Score 2 or else 0</p>	<p>Not applicable</p>	0
6	<p>Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans</p> <p>Maximum score 6</p>	<p>a) Evidence that information is collected quarterly on newly irrigated land, functionality of irrigation equipment installed; provision of complementary services and farmer Expression of Interest: Score 2 or else 0</p>	<p>Not applicable</p>	0
6	<p>Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans</p> <p>Maximum score 6</p>	<p>b) Evidence that the LG has entered up to-date LLG information into MIS: Score 1 or else 0</p>	<p>Not applicable</p>	0
6	<p>Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans</p> <p>Maximum score 6</p>	<p>c) Evidence that the LG has prepared a quarterly report using information compiled from LLGs in the MIS: Score 1 or else 0</p>	<p>Not applicable</p>	0

6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans Maximum score 6	d) Evidence that the LG has: i. Developed an approved Performance Improvement Plan for the lowest performing LLGs score 1 or else 0	Not applicable	0
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6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans Maximum score 6	ii. Implemented Performance Improvement Plan for lowest performing LLGs: Score 1 or else 0	Not applicable	0
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Human Resource Management and Development

7	Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted, actually recruited and deployed staff as per guidelines Maximum score 6	a) Evidence that the LG has: i. Budgeted for extension workers as per guidelines/in accordance with the staffing norms score 1 or else 0	Not applicable	0
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7	Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted, actually recruited and deployed staff as per guidelines Maximum score 6	ii Deployed extension workers as per guidelines score 1 or else 0	Not applicable	0
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7	Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted, actually recruited and deployed staff as per guidelines Maximum score 6	b) Evidence that extension workers are working in LLGs where they are deployed: Score 2 or else 0	Not applicable	0
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7	Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted, actually recruited and deployed staff as per guidelines Maximum score 6	c) Evidence that extension workers deployment has been publicized and disseminated to LLGs by among others displaying staff list on the LLG notice board. Score 2 or else 0	Not applicable	0
8	Performance management: The LG has appraised, taken corrective action and trained Extension Workers Maximum score 4	a) Evidence that the District Production Coordinator has: i. Conducted annual performance appraisal of all Extension Workers against the agreed performance plans and has submitted a copy to HRO during the previous FY: Score 1 else 0	Not applicable	0
8	Performance management: The LG has appraised, taken corrective action and trained Extension Workers Maximum score 4	a) Evidence that the District Production Coordinator has; Taken corrective actions: Score 1 or else 0	Not applicable	0
8	Performance management: The LG has appraised, taken corrective action and trained Extension Workers Maximum score 4	b) Evidence that: i. Training activities were conducted in accordance to the training plans at District level: Score 1 or else 0	Not applicable	0
8	Performance management: The LG has appraised, taken corrective action and trained Extension Workers Maximum score 4	ii Evidence that training activities were documented in the training database: Score 1 or else 0	Not applicable	0

Management, Monitoring and Supervision of Services.

9	Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines. Maximum score 10	a) Evidence that the LG has appropriately allocated the micro scale irrigation grant between (i) capital development (micro scale irrigation equipment); and (ii) complementary services (in FY 2020/21 100% to complementary services; starting from FY 2021/22 – 75% capital development; and 25% complementary services): Score 2 or else 0	Not applicable	0
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9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>b) Evidence that budget allocations have been made towards complementary services in line with the sector guidelines i.e. (i) maximum 25% for enhancing LG capacity to support irrigated agriculture (of which maximum 15% awareness raising of local leaders and maximum 10% procurement, Monitoring and Supervision); and (ii) minimum 75% for enhancing farmer capacity for uptake of micro scale irrigation (Awareness raising of farmers, Farm visit, Demonstrations, Farmer Field Schools): Score 2 or else score 0</p>	Not applicable	0
9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>c) Evidence that the co-funding is reflected in the LG Budget and allocated as per guidelines: Score 2 or else 0</p>	Not applicable	0
9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>d) Evidence that the LG has used the farmer co-funding following the same rules applicable to the micro scale irrigation grant: Score 2 or else 0</p>	Not applicable	0
9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>e) Evidence that the LG has disseminated information on use of the farmer co-funding: Score 2 or else 0</p>	Not applicable	0
10	<p>Routine oversight and monitoring: The LG monitored, provided hands-on support and ran farmer field schools as per guidelines</p> <p>Maximum score 8</p>	<p>a) Evidence that the DPO has monitored on a monthly basis installed micro-scale irrigation equipment (key areas to include functionality of equipment, environment and social safeguards including adequacy of water source, efficiency of micro irrigation equipment in terms of water conservation, etc.)</p> <ul style="list-style-type: none"> • If more than 90% of the micro-irrigation equipment monitored: Score 2 • 70-89% monitored score 1 Less than 70% score 0 	Not applicable	0

10	Routine oversight and monitoring: The LG monitored, provided hands-on support and ran farmer field schools as per guidelines Maximum score 8	b. Evidence that the LG has overseen technical training & support to the Approved Farmer to achieve servicing and maintenance during the warranty period: Score 2 or else 0	Not applicable	0
10	Routine oversight and monitoring: The LG monitored, provided hands-on support and ran farmer field schools as per guidelines Maximum score 8	c) Evidence that the LG has provided hands-on support to the LLG extension workers during the implementation of complementary services within the previous FY as per guidelines score 2 or else 0	Not applicable	0
10	Routine oversight and monitoring: The LG monitored, provided hands-on support and ran farmer field schools as per guidelines Maximum score 8	d) Evidence that the LG has established and run farmer field schools as per guidelines: Score 2 or else 0	Not applicable	0
11	Mobilization of farmers: The LG has conducted activities to mobilize farmers to participate in irrigation and irrigated agriculture. Maximum score 4	a) Evidence that the LG has conducted activities to mobilize farmers as per guidelines: Score 2 or else 0	Not applicable	0
11	Mobilization of farmers: The LG has conducted activities to mobilize farmers to participate in irrigation and irrigated agriculture. Maximum score 4	b) Evidence that the District has trained staff and political leaders at District and LLG levels: Score 2 or else 0	Not applicable	0

Investment Management

12	Planning and budgeting for investments: The LG has selected farmers and budgeted for micro-scale irrigation as per guidelines Maximum score 8	a) Evidence that the LG has an updated register of micro-scale irrigation equipment supplied to farmers in the previous FY as per the format: Score 2 or else 0	Not applicable	0
12	Planning and budgeting for investments: The LG has selected farmers and budgeted for micro-scale irrigation as per guidelines Maximum score 8	b) Evidence that the LG keeps an up-to-date database of applications at the time of the assessment: Score 2 or else 0	Not applicable	0
12	Planning and budgeting for investments: The LG has selected farmers and budgeted for micro-scale irrigation as per guidelines Maximum score 8	c) Evidence that the District has carried out farm visits to farmers that submitted complete Expressions of Interest (EOI): Score 2 or else 0	Not applicable	0
12	Planning and budgeting for investments: The LG has selected farmers and budgeted for micro-scale irrigation as per guidelines Maximum score 8	d) For DDEG financed projects: Evidence that the LG District Agricultural Engineer (as Secretariat) publicized the eligible farmers that they have been approved by posting on the District and LLG noticeboards: Score 2 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	a) Evidence that the micro-scale irrigation systems were incorporated in the LG approved procurement plan for the current FY: Score 1 or else score 0.	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	b) Evidence that the LG requested for quotation from irrigation equipment suppliers pre-qualified by the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF): Score 2 or else 0	Not applicable	0

13	<p>Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines</p> <p>Maximum score 18</p>	c) Evidence that the LG concluded the selection of the irrigation equipment supplier based on the set criteria: Score 2 or else 0	Not applicable	0
13	<p>Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines</p> <p>Maximum score 18</p>	d) Evidence that the micro-scale irrigation systems was approved by the Contracts Committee: Score 1 or else 0	Not applicable	0
13	<p>Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines</p> <p>Maximum score 18</p>	e. Evidence that the LG signed the contract with the lowest priced technically responsive irrigation equipment supplier for the farmer with a farmer as a witness before commencement of installation score 2 or else 0	Not applicable	0
13	<p>Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines</p> <p>Maximum score 18</p>	f)Evidence that the micro-scale irrigation equipment installed is in line with the design output sheet (generated by IrriTrack App): Score 2 or else 0	Not applicable	0
13	<p>Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines</p> <p>Maximum score 18</p>	g) Evidence that the LG have conducted regular technical supervision of micro-scale irrigation projects by the relevant technical officers (District Agricultural Engineer or Contracted staff): Score 2 or else 0	Not applicable	0

13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	h) Evidence that the LG has overseen the irrigation equipment supplier during: i. Testing the functionality of the installed equipment: Score 1 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	ii. Hand-over of the equipment to the Approved Farmer (delivery note by the supplies and goods received note by the approved farmer): Score 1 or 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	i) Evidence that the Local Government has made payment of the supplier within specified timeframes subject to the presence of the Approved farmer's signed acceptance form: Score 2 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	j) Evidence that the LG has a complete procurement file for each contract and with all records required by the PPDA Law: Score 2 or else 0	Not applicable	0

Environment and Social Safeguards

14	Grievance redress: The LG has established a mechanism of addressing micro-scale irrigation grievances in line with the LG grievance redress framework Maximum score 6	a) Evidence that the Local Government has displayed details of the nature and avenues to address grievance prominently in multiple public areas: Score 2 or else 0	Not applicable	0
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14	Grievance redress: The LG has established a mechanism of addressing micro-scale irrigation grievances in line with the LG grievance redress framework Maximum score 6	b) Micro-scale irrigation grievances have been: i). Recorded score 1 or else 0 ii). Investigated score 1 or else 0 iii). Responded to score 1 or else 0 iv). Reported on in line with LG grievance redress framework score 1 or else 0	Not applicable	0
14	Grievance redress: The LG has established a mechanism of addressing micro-scale irrigation grievances in line with the LG grievance redress framework Maximum score 6	b) Micro-scale irrigation grievances have been: ii. Investigated score 1 or else 0 iii. Responded to score 1 or else 0 iv. Reported on in line with LG grievance redress framework score 1 or else 0	Not applicable	0
14	Grievance redress: The LG has established a mechanism of addressing micro-scale irrigation grievances in line with the LG grievance redress framework Maximum score 6	b) Micro-scale irrigation grievances have been: iii. Responded to score 1 or else 0 iv. Reported on in line with LG grievance redress framework score 1 or else 0	Not applicable	0
14	Grievance redress: The LG has established a mechanism of addressing micro-scale irrigation grievances in line with the LG grievance redress framework Maximum score 6	b) Micro-scale irrigation grievances have been: iv. Reported on in line with LG grievance redress framework score 1 or else 0	Not applicable	0

Environment and Social Requirements

15	Safeguards in the delivery of investments Maximum score 6	a) Evidence that LGs have disseminated Micro- irrigation guidelines to provide for proper siting, land access (without encumbrance), proper use of agrochemicals and safe disposal of chemical waste containers etc. score 2 or else 0	Not applicable	0
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15	Safeguards in the delivery of investments Maximum score 6	b) Evidence that Environmental, Social and Climate Change screening have been carried out and where required, ESMPs developed, prior to installation of irrigation equipment. i. Costed ESMP were incorporated into designs, BoQs, bidding and contractual documents score 1 or else 0	Not applicable	0
15	Safeguards in the delivery of investments Maximum score 6	ii. Monitoring of irrigation impacts e.g. adequacy of water source (quality & quantity), efficiency of system in terms of water conservation, use of agro-chemicals & management of resultant chemical waste containers score 1 or else 0	Not applicable	0
15	Safeguards in the delivery of investments Maximum score 6	iii. E&S Certification forms are completed and signed by Environmental Officer prior to payments of contractor invoices/certificates at interim and final stages of projects score 1 or else 0	Not applicable	0
15	Safeguards in the delivery of investments Maximum score 6	iv. E&S Certification forms are completed and signed by CDO prior to payments of contractor invoices/certificates at interim and final stages of projects score 1 or else 0	Not applicable	0

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	<p>Evidence that the LG has recruited or requested for secondment of staff for all critical positions in the District Production Office responsible for micro-scale irrigation</p> <p>Maximum score is 70</p>	<p>If the LG has recruited the Senior Agriculture Engineer score 70 or else 0.</p>	Not applicable	0
Environment and Social Requirements				
2	<p>Evidence that the LG has carried out Environmental, Social and Climate Change screening have been carried out for potential investments and where required costed ESMPs developed.</p> <p>Maximum score is 30</p>	<p>If the LG:</p> <p>a. Carried out Environmental, Social and Climate Change screening, score 15 or else 0.</p>	Not applicable	0
2	<p>Evidence that the LG has carried out Environmental, Social and Climate Change screening have been carried out for potential investments and where required costed ESMPs developed.</p> <p>Maximum score is 30</p>	<p>b. Carried out Social Impact Assessments (ESIAs) where required, score 15 or else 0.</p>	Not applicable	0

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	If the LG has recruited: a. 1 Civil Engineer (Water), score 15 or else 0.	The DLG had recruited a Civil Engineer (Water), by the names of Okolimong Daniel Joseph vide appointment letter dated 10th March 2020 DSC Minute No.9/2017	15
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	b. 1 Assistant Water Officer for mobilization, score 10 or else 0.	The DLG had recruited on contract basis an Assistant Water Officer for mobilization by the names of ogarima Richard through contract letter dated 6th july 2019 for a period of three years	10
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	c. 1 Borehole Maintenance Technician/Assistant Engineering Officer, score 10 or else 0.	The DLG had recruited an Assistant Engineering Officer by the names of Aruga Rebecca through appointment letter dated 27th June 2019 DSC Minute No.2/2019 (e)	10
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	d. 1 Natural Resources Officer , score 15 or else 0.	The LG had not recruited a Natural Resources Officer	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	e. 1 Environment Officer, score 10 or else 0.	The DLG had recruited an Environment Officer by the names of Eyoku Dennis vide appointment letter dated 16th July 2018 DSC Minute No.9/2018 (I)	10
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	f. Forestry Officer, score 10 or else 0.	The DLG had recruited a Forestry Officer by the names of Ocar Stephen vide appointment letter dated 10th March 2017 DSC Minute No.8/2017 (j)	10

Environment and Social Requirements

2	Evidence that the LG has carried out Environmental. Social and Climate Change screening/Environment and Social Impact Assessment (ESIAs) (including child protection plans) where applicable, and abstraction permits have been issued to contractors by the Directorate of Water Resources Management (DWRM) prior to commencement of all civil works on all water sector projects	If the LG: a. Carried out Environmental, Social and Climate Change screening/Environment, score 10 or else 0.	There was evidence that the LG had screening forms signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO as mentioned below; 1. From the screening form dated 20th November 2019, the LG screened construction of a sanitary facility in water office in Kiliota Village, Osugaro Ward in Sere T/C. 2. From the screening form dated 20th November 2019, the LG screened the drilling of a deep borehole in Obit village, Asilang Parish in Atira S/C. 3. From the screening form dated 20th November 2019, the LG screened the drilling of a deep borehole in Aमित village, Kangodo Parish in Kyere S/C .	10
2	Evidence that the LG has carried out Environmental. Social and Climate Change screening/Environment and Social Impact Assessment (ESIAs) (including child protection plans) where applicable, and abstraction permits have been issued to contractors by the Directorate of Water Resources Management (DWRM) prior to commencement of all civil works on all water sector projects	b. Carried out Social Impact Assessments (ESIAs) , score 10 or else 0.	The above mentioned projects were no subjected to Environmental Social Impact Assessment since the projects were in group B category	10
2	Evidence that the LG has carried out Environmental. Social and Climate Change screening/Environment and Social Impact Assessment (ESIAs) (including child protection plans) where applicable, and abstraction permits have been issued to contractors by the Directorate of Water Resources Management (DWRM) prior to commencement of all civil works on all water sector projects	c. Ensured that contractors got abstraction permits issued by DWRM, score 10 or else 0.	There was evidence that the contractor obtained a drilling permit as evidenced below; DP13266/DW 2019 MSR TECHNOLOGIES(U) LTD Dated 10 July 2019, signed by Egn. Kavutse Dominic DIRECTOR OF WATER DEVELOPMENT	10

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>If the LG has substantively recruited or formally requested for secondment of:</p> <p>a. District Health Officer, score 10 or else 0.</p>	<p>The position of . District Health Officer had been substantively filled by Odeke Engemu Joe Francis vide appointment letter dated 28th April 2011</p> <p>DSC Min No. 15/2011</p>	10
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>b. Assistant District Health Officer Maternal, Child Health and Nursing, score 10 or else 0</p>	<p>The position of an Assistant District Health Officer Maternal, Child Health and Nursing had been substantively filled by Akora Susan vide appointment letter dated 16th May 2016</p> <p>DSC Min No9(e) 1 of 2016</p>	10
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>c. Assistant District Health Officer Environmental Health, score 10 or else 0.</p>	<p>The LG had not substantively recruited an Assistant District Health Officer Environmental Health</p>	0
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>d. Principal Health Inspector (Senior Environment Officer) , score 10 or else 0.</p>	<p>The position of Principal Health Inspector had been substantively filled by Oonyu Thadeo Jerome vide appointment letter dated 3rd October 2017 DSC Min No. 25/2017(g)</p>	10

1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>e. Senior Health Educator, score 10 or else 0.</p>	<p>The DLG had not substantively recruited a Senior Health Educator</p>	0
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>f. Biostatistician, score 10 or 0.</p>	<p>The position of a Biostatistician had been substantively filled by Otwal Francis who was appointed vide appointment letter dated 18th June 2015 DSC Min No.30/2015 (d)</p>	10
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>g. District Cold Chain Technician, score 10 or else 0.</p>	<p>The LG had substantively recruited a District Cold Chain Technician by the names of Odeng Simon vide appointment letter dated 23rd May 2011</p> <p>DSC Min No. 19/2011</p>	10
1	<p>Evidence that the Municipality has in place or formally requested for secondment of staff for all critical positions.</p> <p><i>Applicable to MCs only.</i></p> <p><i>Maximum score is 70</i></p>	<p>h. If the MC has in place or formally requested for secondment of Medical Officer of Health Services /Principal Medical Officer, score 30 or else 0.</p>		
1	<p>Evidence that the Municipality has in place or formally requested for secondment of staff for all critical positions.</p> <p><i>Applicable to MCs only.</i></p> <p><i>Maximum score is 70</i></p>	<p>i. If the MC has in place or formally requested for secondment of Principal Health Inspector, score 20 or else 0.</p>		
1	<p>Evidence that the Municipality has in place or formally requested for secondment of staff for all critical positions.</p> <p><i>Applicable to MCs only.</i></p> <p><i>Maximum score is 70</i></p>	<p>j. If the MC has in place or formally requested for secondment of Health Educator, score 20 or else 0.</p>		

Environment and Social Requirements

2

15

Evidence that prior to commencement of all civil works for all Health sector projects, the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)

If the LG carried out:

a. Environmental, Social and Climate Change screening/Environment, score 15 or else 0.

There was evidence of one project which was implemented and screened by the LG for FY 2019/2020 and screening form signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO and Environmental Officer as mentioned below;

Maximum score is 30

From the screening form dated 9th December 2019 the LG screened construction of a pit latrine in Oburin HCIII in Oburin village, Oburin Parish in Olio S/C.

2

15

Evidence that prior to commencement of all civil works for all Health sector projects, the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)

b. Social Impact Assessments (ESIAs) , score 15 or else 0.

The above mentioned projects were not subjected to Environmental Social Impact Assessments (ESIAs) because they were category B projects.

Maximum score is 30

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	<p>Evidence that the LG has substantively recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Education Office namely:</p> <p><i>The maximum score is 70</i></p>	<p>If the LG has substantively recruited or formally requested for secondment of:</p> <p>a) District Education Officer/ Principal Education Officer, score 30 or else 0.</p>	<p>The position of District Education Officer was substantively filled by</p> <p>Eregu Micheal who was appointed vide appointment letter dated 20th Nov 2017</p> <p>DSC Min no. 29/2017(v)</p>	30
1	<p>Evidence that the LG has substantively recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Education Office namely:</p> <p><i>The maximum score is 70</i></p>	<p>If the LG has substantively recruited or formally requested for secondment of:</p> <p>b) All District/Municipal Inspector of Schools, score 40 or else 0.</p>	<p>According to the approved structure DLG should have two District Inspectors of Schools (an senior inspector and an inspector) which were substantively filled as follows;</p> <p>The district had a Senior inspector of schools by the names of Icuman Annet appointed vide appointment letter dated 10th March 2017 DSC Min No. 8/7/2020</p> <p>The district also had an inspector of schools by the names of Omoding Francis appointed vide appointment letter dated 10th March 2017 DSC Min No. 8/7/2020</p>	40

Environment and Social Requirements

Evidence that prior to commencement of all civil works for all Education sector projects the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)

If the LG carried out:

a. Environmental, Social and Climate Change screening/Environment, score 15 or else 0.

There was evidence that the LG carried out environmental, Social and Climate Change screening as evidenced by screening forms signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO as mentioned below;

1. From the screening form dated 9th December 2019, the LG screened construction of two classroom block in Kagwara seed secondary School in Kabulabula village, Kdungulu Parish in Kadungulu S/C.

2. From the screening form dated 29th December 2019, the LG screened construction of two classroom blocks in Akoboi P/S in Akoboi village in Olio S/C.

3. From the screening form dated 12th December 2019, the LG screened the construction of two classroom blocks in Otirono P/S in Okulukulu Village, Iruko Parish in Kaduwgulu S/C .

The Maximum score is 30

Evidence that prior to commencement of all civil works for all Education sector projects the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)

If the LG carried out:

b. Social Impact Assessments (ESIAs) , score 15 or else 0.

The above mentioned projects were not subjected from Environmental Social Impact Assessments(ESIAs) they are group B category.

The Maximum score is 30

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	a. Chief Finance Officer/Principal Finance Officer, score 3 or else 0	The DLG had not recruited a Chief Finance Officer nor requested for a secondment.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	b. District Planner/Senior Planner, score 3 or else 0	The position of . District Planner was substantively filled by Otutu Nathan appointed vide appointment letter dated 20th November 2017 referenced CR/D/10311 DSC Min No. 29/2017 (j)	3
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	c. District Engineer/Principal Engineer, score 3 or else 0	The DLG had not recruited a District Engineer nor requested for a secondment.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	d. District Natural Resources Officer/Senior Environment Officer, score 3 or else 0	The DLG had not recruited a District Natural Resources Officer nor requested for a secondment.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	e. District Production Officer/Senior Veterinary Officer, score 3 or else 0	The position of District Production Officer was substantively filled by Mr. Ogiro Vicent appointed vide appointment letter dated 20th November 2017 DSC Min No. 29/2017(h)	3

1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>f. District Community Development Officer/ Principal CDO,</p> <p>score 3 or else 0</p>	<p>The DLG recruited a DCDO known as Okalebo Echodu Samuel through appointment letter dated 5th May 2015 DSC Minute No. 5/2015 (b)</p>	3
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>g. District Commercial Officer/Principal Commercial Officer,</p> <p>score 3 or else 0</p>	<p>The DLG had not recruited a District Commercial Officer nor requested for a secondment.</p>	0
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>other critical staff</p> <p>h (i). A Senior Procurement Officer (Municipal: Procurement Officer)</p> <p>score 2 or else 0.</p>	<p>The DLG had not recruited a Senior Procurement Officer nor requested for a secondment.</p>	0
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>h(ii). Procurement Officer (Municipal Assistant Procurement Officer),</p> <p>score 2 or else 0</p>	<p>The position of Procurement Officer was substantively filled by Akello louy appointed vide appointment letter dated 12th Marc 2014</p> <p>DSC MIN No. 11/2014 (D)</p>	2
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>i. Principal Human Resource Officer,</p> <p>score 2 or else 0</p>	<p>The position of . Principal Human Resource Officer was substantively filled by Otamba Peter Adonyo appointed vide appointment letter dated 10th March 2017 DSC 8/2017(1)</p>	2
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>j. A Senior Environment Officer,</p> <p>score 2 or else 0</p>	<p>The position of . Senior Environment Officer was substantively filled by Opio Sam appointed vide appointment letter dated 16th July 2018</p> <p>DSC 9/2018 (1)</p>	2

1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>k. Senior Land Management Officer, score 2 or else 0</p>	<p>The position of . Senior Land Management Officer was substantively filled by Odongo Joseph appointed vide appointment letter dated 20th Nov 2017 DSC 29/2017 (k)</p>	2
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>l. A Senior Accountant, score 2 or else 0</p>	<p>The DLG had not recruited a Senior Accountant nor requested for a secondment.</p>	0
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>m. Principal Internal Auditor for Districts and Senior Internal Auditor for MCs, score 2 or else 0</p>	<p>The DLG had not recruited a Principal Internal Auditor nor requested for a secondment.</p>	0
1	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments.</p> <p>Maximum score is 37.</p>	<p>n. Principal Human Resource Officer (Secretary DSC), score 2 or else 0</p>	<p>The DLG had not recruited a District Principal Human Resource Officer (Secretary DSC),nor requested for a secondment.</p>	0

Evidence that the LG has recruited or formally requested for secondment of staff for all essential positions in every LLG

Maximum score is 15

If LG has recruited or requested for secondment of:

a. Senior Assistant Secretaries in all LLGS,

score 5 or else 0

The DLG had 8 operational sub-counties and 4 operational town council namely ; Kadungulu S/c, Bugondo S/c, Labori S/c, Olio S/c, Atiira S/c, Kyere S/c, ,Kateta S/c, and kidetok S/c

Town councils included: Kadungulu T/C, Okiria T/c, Kasilo T/c, Serere T/c and Kidetok T/c.

Only 6 out of 8 positions of Senior Assistant Secretaries were substantively filled as below;

Oguti Charles appointed SAS for Kadungulu Sub county vide appointment letter dated 3rd October 2017 DSC Min No. 25/2017 (f)

Otai Francis appointed SAS for Bugondo Sub county vide appointment letter dated 8th Feb 2019 DSC MIN No. 14/2018 (j)

Anguria Micheal appointed SAS for Labori Sub county vide appointment letter dated 2nd June 2015 DSC Min No. 18/2015 (b)

Edenyu Micheal appointed SAS for Atiira Sub county vide appointment letter dated 1st July 2007

DSC Min No. 32/207

Okwany Moses appointed SAS for kyere Sub county vide appointment letter dated 3rd October 2017

Min No 25/2017

Otekat Charles appointed SAS for Kateta Sub county vide appointment letter dated 6th July 2018

Min No 9/2018 (j)

All the four Town clerks were in acting positions

Evidence that the LG has recruited or formally requested for secondment of staff for all essential positions in every LLG

Maximum score is 15

If LG has recruited or requested for secondment of:

b. A Community Development Officer or Senior CDO in case of Town Councils, in all LLGS

score 5 or else 0.

All sub counties have a substantive CDOs posted at each station.

Unfortunately

Town councils were lacking senior CDOS they had only a CDO officer

The posted CDO's were as follows;

Nasambu Christine appointed CDO for kadungulu T/C vide appointment letter dated 16th July 2018 DSC Min No. 9/2018 (j)

Onyait Robert appointed CDO for kadungulu Sub county vide appointment letter dated 27th March 2018 DSC Min

No. 3/2018 (c)

Epechu John Robert appointed CDO for Kasilo Sub county vide appointment letter dated 27th March 2018

DSC Min No. 3/2018 (c)

Apio Christine appointed CDO for Serere district head quarters vide appointment letter dated 27th June 2019

DSC Min No. 1/2019(h)

Atuko stella appointed CDO for Kateta Sub county vide appointment letter dated 27th march 2018

DSC Min No. 3/2018

Omiat Betty Galiwa appointed CDO for Atiira Sub county vide appointment letter dated 27th June 2019

DSC Min No. 4/2019 (h)

Okwatum Sam appointed CDO for Labori Sub county vide appointment letter dated 27th June 2019

DSC Min No. 8/2019 (h)

Akello Angella Rose appointed CDO for Kidetok Sub county vide appointment letter dated 27th June 2019

DSC Min No. 9/2019 (h)

Ajeni Stephen appointed CDO for Kyera Sub county vide appointment letter dated 27th June 2019

DSC Min No. 7/2019 (h)

Opio Edward appointed CDO for Kidetok T/C vide appointment letter dated 27th June 2019

DSC Min No. 6/2019 (h)

Kiteng Rhoda appointed CDO for Serere T/C vide appointment letter dated 27th June 2019

DSC Min No. 3/2019 (h)

Evidence that the LG has recruited or formally requested for secondment of staff for all essential positions in every LLG

Maximum score is 15

If LG has recruited or requested for secondment of:

c. A Senior Accounts Assistant or an Accounts Assistant in all LLGS,

score 5 or else 0.

All positions of a Senior Accounts Assistant or an Accounts Assistant in all LLGS were substantively filled as follow;

- Ajaru Peter appointed as SAA for Serere sub county vide appointment letter dated 3rd October 2017 DSC Min No. 165/2

- Ajoket Kizito appointed as SAA attached to serere district head quarters vide appointment letter dated 27th March 2018 DSC MIN No. 3/2018 (a)

- Okille Timothy appointed as SAA Bugondo vide appointment letter dated 23rd April 2010 DSC Min No. 43/2010

- Akurut Merab appointed as SAA for Kidetok S/C vide appointment letter dated 20th November 2017 DSC Min No. 299/2017 (n)

- Ariong Joseph appointed as SAA Katete S/c vide appointment letter dated 16th July 2018 DSC Min 9/2018(i)

- Apolot Ziporah appointed as SAA Serere T/C vide appointment letter dated 20th November 2017 Min No. 29/2017

- Okot Ejele appointed as SAA Kidetok S/c vide appointment letter dated 20th November 2017 Min No. 43/2010

- Adima Joseph appointed as SAA Kadungulu S/c vide appointment letter dated 16th May 2016 Min No. 9(a)2 Of 2016

- Edyegu Charles appointed as SAA attached to Finance Serere District head quarters vide appointment letter dated 3rd October 2017 Min No. 25/2017 (g)

- Ikiring Judith appointed as SAA Atiira S/c vide appointment letter dated 20th Nov 2017 Min No. 29/2017 (n)

- Okwi Nelson appointed as SAA Kyera S/c vide appointment letter dated 27th March 2018 Min No. 3/2018

- Acedu Simon appointed as SAA Kadungulu S/c vide appointment letter dated 27th March 2018 Min No. 3/2018

Environment and Social Requirements

3

Evidence that the LG has released all funds allocated for the implementation of environmental and social safeguards in the previous FY.

Maximum score is 4

If the LG has released 100% of funds allocated in the previous FY to:

a. Natural Resources department,

score 2 or else 0

Total funds allocated to Natural Resources department in FY 2019/2020 were Shs. 126,437,259 as on page 11 of the draft AFS.

Actual funds released during the previous FY were Shs. 125,919,171 as on page 11 of the Draft AFS representing 99.6%.

The variance of Shs. 518,088 between warrants and actual released as at 30th/6/2020 was attributed to the following:

1. Shs. 500,000 was for travel abroad which was not spent due to COVID-19 restrictions on travelling.

2. Shs. 18,088 was for small balances on each line of expenditure

2

3

Evidence that the LG has released all funds allocated for the implementation of environmental and social safeguards in the previous FY.

Maximum score is 4

If the LG has released 100% of funds allocated in the previous FY to:

b. Community Based Services department.

score 2 or else 0.

Total funds allocated to Community Based Services department in FY 2019/2020 were Shs. 1,213,943,745 as on page 11 of the draft AFS.

Actual funds released during the previous FY were Shs. 1,212,601,618 as on page 11 of the Draft AFS representing 99.9%.

The variance of Shs. 1,342,127 between warrants and actual released as at 30th/6/2020 was attributed to the following:

1. Shs. 1,300,000 was for travel abroad which was not spent due to COVID-19 restrictions on travelling.

2. Shs. 42,127 was for small balances on each line of expenditure.

2

Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessments (ESIAs) and developed costed Environment and Social Management Plans (ESMPs) (including child protection plans) where applicable, prior to commencement of all civil works.

Maximum score is 12

a. If the LG has carried out Environmental, Social and Climate Change screening,

score 4 or else 0

Evidenced from the screening forms signed by Mr. Opio Sam SEO and Mr. Okalebo Echodu CDO the LG carried out screening of environmental, social and climate as below;

1. From the screening form dated 9th December 2019, the LG screened the construction of a pit latrine in Oburin HCIII in Oburin village, Oburin Parish in Olio S/C.

2. From the screening form dated 20th November 2019, the LG constructed a sanitary facility in water office in Kiliota Village, Osugaro Ward in Sere T/C.

3. From the screening form dated 9th December 2019, the LG constructed of two classroom block in Kagwara seed secondary school in Kabulabula Village, Kadungula Parish in Kadungula S/C.

Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessments (ESIAs) and developed costed Environment and Social Management Plans (ESMPs) (including child protection plans) where applicable, prior to commencement of all civil works.

Maximum score is 12

b. If the LG has carried out Environment and Social Impact Assessments (ESIAs) prior to commencement of all civil works for all projects implemented using the Discretionary Development Equalization Grant (DDEG),

score 4 or 0

From the report dated 17th March 2020 the LG carried out Environment and Social Impact Assessments and the impacts were;

Distraction of vegetation during exaction work, soil erosion during the rainy season, damping of the construction debris during construction leading accident to workers, domestic violence after payment of the labor, oil and petrol spills may happen when refueling or transportation, surface water downstream will be sited as a result of transportation of loose soil.

Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessments (ESIAs) and developed costed Environment and Social Management Plans (ESMPs) (including child protection plans) where applicable, prior to commencement of all civil works.

Maximum score is 12

c. If the LG has a Costed ESMPs for all projects implemented using the Discretionary Development Equalization Grant (DDEG);;

score 4 or 0

There was evidence that the LG had costed ESMPs for the projects implemented using the Discretionary Development Equalization Grant for the above 3 sampled projects and the ESMP cost was as follows;

Planting at list 10 tree seedlings including maintenance at 150,000/=, clearing of the construction site at 200,000/=, gender involvement of women at 200,000/= page 11.

Financial management and reporting

5	<p>Evidence that the LG does not have an adverse or disclaimer audit opinion for the previous FY.</p> <p>Maximum score is 10</p>	<p>If a LG has a clean audit opinion, score 10;</p> <p>If a LG has a qualified audit opinion, score 5</p> <p>If a LG has an adverse or disclaimer audit opinion for the previous FY, score 0</p>	<p>Awaits Auditor General's Opinion in January 2021.</p>	0
6	<p>Evidence that the LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General findings for the previous financial year by end of February (PFMA s. 11 2g). This statement includes issues, recommendations, and actions against all findings where the Internal Auditor and Auditor General recommended the Accounting Officer to act (PFM Act 2015).</p> <p>maximum score is 10</p>	<p>If the LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General findings for the previous financial year by end of February (PFMA s. 11 2g),</p> <p>score 10 or else 0.</p>	<p>The LG provided information to the PS/ST on the status of implementation of 4 (four) Internal Auditor General findings in FY 2018/2019 on 24th/2/2020 Ref. CR/252/2 in accordance with the recommended deadline of 28th/2/2020 as per PFM Act 2015 11 2g.</p> <p>The nature of queries raised included the following:</p> <ol style="list-style-type: none"> 1. Shortfall in release amounting to Shs. 1,924Bn. 2. Unspent balances of Shs. 0.132Bn. 3. Low recovery rate of only 26.5% of the funds disbursed in FY 2014/2015. 4. Non-functional Water Sources. <p>In addition, responses to PS/ST on 8 (eight) audit queries raised by Auditor General in FY 2018/2019 was made on 24th/2/2020 Ref. CR/251/2 in accordance with the recommended deadline of 28th/2/2020 as per PFM Act 2015 11 2g.</p> <p>The audit queries raised included:</p> <ol style="list-style-type: none"> 1. Shortfall in releases. 2. Salary arrears for Teachers and 176 employees. 3. Workers under UGIFT Structures. <p>Non-functional Water Sources.</p>	10
7	<p>Evidence that the LG has submitted an annual performance contract by August 31st of the current FY</p> <p>Maximum Score 4</p>	<p>If the LG has submitted an annual performance contract by August 31st of the current FY,</p> <p>score 4 or else 0.</p>	<p>The LG submitted the Annual Performance Contract to MoFPED on 11th/6/2020 at 2.44 pm through pbs@ifmis.go.ug to www.budget.go.ug.</p>	4

8

Evidence that the LG has submitted the Annual Performance Report for the previous FY on or before August 31, of the current Financial Year
maximum score 4 or else 0

If the LG has submitted the Annual Performance Report for the previous FY on or before August 31, of the current Financial Year,
score 4 or else 0.

The LG submitted the Annual Performance Report for the previous FY to MoFPED on 31st/8/2020 through pbs@ifmis.go.ug to www.budget.go.ug.

4

9

Evidence that the LG has submitted Quarterly Budget Performance Reports (QBPRs) for all the four quarters of the previous FY by August 31, of the current Financial Year
Maximum score is 4

If the LG has submitted Quarterly Budget Performance Reports (QBPRs) for all the four quarters of the previous FY by August 31, of the current Financial Year,
score 4 or else 0.

The LG submitted all the four Quarterly Budget Performance Reports during FY 2019/2020 to MoFPED through pbs@ifmis.go.ug to www.budget.go.ug as evidenced below:

1st QBPR was submitted on 26th/11/2019

2nd QBPR was submitted on 29th/1/2020

3rd QBPR was submitted on 3rd/5/2020

4th QBPR was submitted on 31st /8/2020.

4