



Local Government Performance Assessment

Kotido District

(Vote Code: 528)

Assessment	Scores
Accountability Requirements	%
Crosscutting Performance Measures	60%
Educational Performance Measures	71%
Health Performance Measures	77%
Water & Environment Performance Measures	56%

No.	Summary of requirements	Definition of compliance	Compliance justification	Compliant?
Annual performance contract				
1	<p>LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMA and LG Budget guidelines for the coming financial year.</p>	<ul style="list-style-type: none"> • From MoFPED’s inventory/schedule of LG submissions of performance contracts, check dates of submission and issuance of receipts and: <ul style="list-style-type: none"> o If LG submitted before or by due date, then state ‘compliant’ o If LG had not submitted or submitted later than the due date, state ‘non- compliant’ • From the Uganda budget website: www.budget.go.ug, check and compare recorded date therein with date of LG submission to confirm. 	<p>The MoFPED records on submission of Annual Performance Contracts for FY 2018/19, indicated that Kotido District Local Government submitted on 9th July, 2019 which was within the agreeable calibrated timelines of 30th August, 2018 by OPM.</p>	Yes
Supporting Documents for the Budget required as per the PFMA are submitted and available				
2	<p>LG has submitted a Budget that includes a Procurement Plan for the forthcoming FY by 30th June (LG PPDA Regulations, 2006).</p>	<ul style="list-style-type: none"> • From MoFPED’s inventory of LG budget submissions, check whether: <ul style="list-style-type: none"> o The LG budget is accompanied by a Procurement Plan or not. If a LG submission includes a Procurement Plan, the LG is compliant; otherwise it is not compliant. 	<p>Kotido District Local Government submitted a Budget that incorporated the LG Procurement Plan for the forthcoming FY (2019/2020) on 9th July, 2019. This implies that the submission of the Budget was within the stipulated timelines.</p>	Yes
Reporting: submission of annual and quarterly budget performance reports				

3	<p>LG has submitted the annual performance report for the previous FY on or before 31st July (as per LG Budget Preparation Guidelines for coming FY; PFMA Act, 2015)</p>	<p>From MoFPED's official record/inventory of LG submission of annual performance report submitted to MoFPED, check the date MoFPED received the annual performance report:</p> <ul style="list-style-type: none"> • If LG submitted report to MoFPED in time, then it is compliant • If LG submitted late or did not submit, then it is not compliant 	<p>Kotido District Local Government submitted the Annual Performance Report for the previous FY 2018/2019 on 29th July, 2019 which is within the stipulated date in the PFMA Act, 2015.</p>	<p>Yes</p>
4	<p>LG has submitted the quarterly budget performance report for all the four quarters of the previous FY by end of the FY; PFMA Act, 2015).</p>	<p>From MoFPED's official record/inventory of LG submission of quarterly reports submitted to MoFPED, check the date MoFPED received the quarterly performance reports:</p> <ul style="list-style-type: none"> • If LG submitted all four reports to MoFPED of the previous FY by July 31, then it is compliant (timely submission of each quarterly report, is not an accountability requirement, but by end of the FY, all quarterly reports should be available). • If LG submitted late or did not submit at all, then it is not compliant. 	<p>Kotido District Local Government did submit all its quarterly budget performance reports for all the four Quarters to the Permanent Secretary MoFPED copied to the Permanent Secretaries of the Offices of the Prime Minister (OPM) and Ministry Of Local Government (MoLG) not later than the required regulatory timeline of 30th June i.e. by end of the Financial Year 2018/2019</p> <p>Submission dates for quarterly performance were as follows:</p> <ul style="list-style-type: none"> 1st Quarter report, on 5th November, 2018 2nd Quarter on 21st January, 2019 3rd Quarter on 8th may, 2019 4th Quarter on 29th July, 2019 <p>This implies that the DLG submitted the Quarter four report within the due date.</p>	

5	<p>The LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and the Auditor General's findings for the previous financial year by end of February (PFMA s. 11 2g). This statement includes actions against all findings where the Internal Auditor and the Auditor General recommended the Accounting Officer to take action in lines with applicable laws.</p>	<p>From MoFPED's Inventory/record of LG submissions of statements entitled "Actions to Address Internal Auditor General's findings",</p> <p>Check:</p> <ul style="list-style-type: none"> • If LG submitted a 'Response' (and provide details), then it is compliant • If LG did not submit a 'response', then it is non-compliant • If there is a response for all –LG is compliant • If there are partial or not all issues responded to – LG is not compliant. 	<p>The LG did not submit the response by the deadline of 28th February 2019. The LG provided information to the PS/ST on the status of implementation of Internal Auditor General findings on the financial statements for the year ended 30th June 2018. The Chief Administrative Officer Mr. Uma Charles wrote to the Auditor General dated 7th March 2019 ref. CR/251/2 on the responses to management letter on audit of the accounts of Kotido District for the FY 2017/18 as per received stamped by Auditor General. The LG did not submit responses to PS/ST by 28th February 2019, therefore non-compliant.</p>	<p style="text-align: center;">No</p>
6	<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.</p>		<p>The audit opinion by the Auditor General to Parliament for FY 2018/19 communicated an Unqualified opinion for Kotido DLG, therefore compliant.</p>	<p style="text-align: center;">Yes</p>

528 Crosscutting
Kotido Performance
District Measures 2019

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

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

Maximum 4 points for this performance measure.

Evidence that a district/ municipality has:

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

The following officers were appointed to the District Physical Planning Committee as evidenced in the letter dated 19th September, 2016 under Ref No. CR/214/8.

1. Mr. Uma Charles, The CAO who is the Chairman of the DPPC.
2. Mrs. Asekenye Susan, District Physical Planner who is the Secretary to the Committee
3. Dr. Oming George William, District Natural resource Officer
4. Dr. Achar Cerino, District Health Officer
5. Mr. Okuda Robert Kenned, district Production Officer
6. Mr. Lowari Angello, Ag. district Education Officer.
7. Mr. Kedi John Paul District Water Officer.
8. Mr. Ajusi Fedrick Ochaya,, Roads supervisor.
9. Mr. Egutu Emmanuel, District Staff Surveyor.
10. Mrs. Lukiru Christine, Senior Environmental Officer
11. Mr. Ogwaria Lawrence. Ag. District Community Development Officer
12. Mrs. Negaga Irene, Ag. Town Clerk Kacheri TC
13. Mrs. Igena Ann, Ag. Town Clerk Lokiteleyabu Town Council

Kotido District Physical Planning Committee however, fell short of the legal validity requirements because it was lacking a Physical Planner in private practice

The assessment team saw minutes of the sittings of the DPPC in FY 2018/19 which was proof of functionality, and the issues presented included:

The first meeting held on 17th July, 2018, the committee presented and discussed Land Application Files from the KDLG in the same meeting under Minute No. 05/KDPPC/07/2018.

The second meeting was held on 13th November, 2018, for Consideration of Land Application Files and site plan display under Minute No. 10/KDPPC/11/2018.

The third meeting was held on 20th November, 2018, where the Physical planner presented a report of the District Physical Planning subcommittee for the site visit of proposed Panyangara Seed Secondary School, under minute No. 15/KDPPC/11/2018.

The fourth meeting was held on 19th March, 2019, on presentation and consideration of development applications, under Minute No. 21/KDPPC/03/2019.

1

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

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

There was evidence to show that the DPPC had submitted the 4 sets at MoLHUD office.

According to the letter dated 28th June, 2019, Ref No. CR/214/18, the submissions were made by the District Physical Planner on the following dates (17th July, 2018, 13th November, /2018, 20th November,2018 and 19th march, 2019), and MoLHUD confirmed receipt of the minutes on the 28th June, 2019.

Maximum 4 points for this performance measure.

1

1

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

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

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

Maximum 4 points for this performance measure.

0

1

0

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

• Action area plan prepared for the previous FY: score 1 or else 0

Kotido District Local Government did not have an action area plan derived in the Physical Development plan FY the previous financial year FY2018/2019, because there is no Physical Development in place.

Maximum 4 points for this performance measure.

2

2

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

• Evidence that priorities in AWP for the current FY are based on the outcomes of budget conferences: score 2.

There was evidence that the Priorities in AWP were based on outcomes of the budget conference held on 4th October, 2018. The priorities in the AWP for the current FY included:

- Education: plan for dormitories in Kacheri SS as students are sleeping in Kokuam P/S (stated on page. 7 of the Budget conference, and on page.70 of AWP FY 2019/2020).
- Administration: construction of council block (cited on page. 3 of the Budget Conference and on page 33 of the AWP)
- Health: Construction of plant clinic (page.3 of the budget conference corresponds with page.47 of the AWP)
- Water: Borehole rehabilitation and drilling (page.2 of the Budget Conference is aligned to page 92 of the AWP).
- Water: design of Rikitac piped water system (stated on page.2 of the Budget Conference and on page 93 of the AWP).

Maximum 5 points on this performance measure.

2

1

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

budget conferences and

have project profiles

Maximum 5 points on this performance measure.

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

There was evidence that the Annual Work Plan 2019/2020 and Budget Estimates 2019/2020 were approved by Council on 28th May 2018 under Minute 36/COU/05/2019.

There was also evidence that the Five- year Development Plan was approved by Council on 10th March, 2015 under the subject of motion to approve the District Development Plan under minute 24/KDLG/COU/2015.

The capital investments in the AWP for the current FY were derived from the approved 5 year development plan, included the following:

- Construction of District council chambers (cited page. 33 AWP, and on page.119 of the DDP II 2015/2016-2019/2020).
- Establishment of plant clinic (indicated on page. 47 AWP and on page 232 of the DDP II 2015/2016-2019/2020).
- Construction of pit latrines in Lokiding P/S, Rengen P/S, Napumpum P/S and Losakucha P/S (stated on page. 67 AWP and on page 120 of the DDP II 2015/2016- 2019/2020).
- Supply of furniture to 14 P/S (specified on page. 48 AWP and on page 121 of the DDP II 2015/2016-2019/2020).
- Drilling of boreholes (itemized on page.92 AWP and on page 122 of the DDP II 2015/2016-2019/2020).

2

0

The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year

development plan, are based on discussions in annual reviews and

budget conferences and

have project profiles

Maximum 5 points on this performance measure.

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

According to the DLG, the project profiles were developed during the time of preparing the static 5-year development plan. However, there was no TPC minute presented as evidence for discussion of the project profiles. The justification was that they developed once in a static 5-year development plan 2015/2016-2019/2020

The Project profiles include inter alia: Works and Technical services, Education, Production, Community Based Services, Health, Administration, Statutory bodies and Natural Resources

The project profiles in the Kotido District Local Government Development Plan were prepared as per the LG planning guidelines of 2014 of page.66, appendix iii.

The project profiles were stated on pages 179 to page 200 of the 5-year DDP2, 2015/2016-2019/2020.

3

1

Annual statistical abstract developed and applied

Maximum 1 point on this performance measure

• Annual statistical abstract, with gender-disaggregated data has been compiled and presented to the TPC to support budget allocation and decision-making- maximum score 1.

There was evidence that the statistical abstract with gender disaggregated data for FY 2019/2020 were compiled and approved in the TPC meeting held on 28th January 2018, and discussed under minute Min 60/DTPC/JAN/2018: preparation of the statistical Abstract 2018/2019.

Statistical data. Population Growth Rate

Kotido's population growth rate is estimated at 3.15 percent per annum higher than the national average of 3.0 as per the last Population and Housing Census (2014).

Population size and sex distribution for the FY 2018/2019 is currently estimated at (male 95,800 and female 107,500).

The total population of Kotido District was estimated to be 203,300 people.

Source: Planning Department-Kotido DLG, 2019.

4

2

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

Maximum 6 points on this performance measure.

• Evidence that all infrastructure projects implemented by the LG in the previous FY were derived from the annual work plan and budget approved by the LG Council: score 2

There was evidence that all investment projects implemented in FY 2018/19 were derived from the AWP and approved budget performance report. Sampled projects included:

• Statutory bodies: construction of the Council block at 144,707,000/- (stated on page.4 of the AWP and page. 57 of the of the Annual performance report)

• Finance: Renovation of the 3rd commercial block at 66,823,000/- (specified on page.37 of the AWP and page. 52 of the of the annual performance report)

• Renovation of the production office block at 8,650,000/- (indicated on page.48 of the AWP and page. 63 of the of the annual performance report)

• Production: completion of cattle Dip in Nakapelimoru at 30,000,000/- (itemized on page.51 of the AWP and page.64 of the of the annual performance report)

• Health: 5 stance latrine construction at Apalopus HCII at 30,064,000/- (detailed out on page.58 of the AWP and page.71 of the of the annual performance report)

• Health: OPD construction phase (1) at Apalopus HCII at 132,206,000/- (cited on page.59 of the AWP and page. 72 of the of the annual performance report)

• Education: classroom construction and rehabilitation at Kanair P/S at 60, 00,000/- (mentioned on page.62 of the AWP and page. 76 of the of the annual performance report)

Investment activities in the previous FY were implemented as per AWP.	<ul style="list-style-type: none"> • Evidence that the investment projects implemented in the previous FY were completed as per work plan by end for FY. 	<p>There was evidence investment projects implemented in the previous FY were completed as per work plan by end for FY. This accounts for 100% completion rate. The source of evidence was performance reports and completion certificates.</p>
Maximum 6 points on this performance measure.	<ul style="list-style-type: none"> o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	<p>The projects completed of 2018/2019 FY include:</p> <ul style="list-style-type: none"> • Statutory bodies: construction of the Council block at 144,707,000/- (100%) (stated on page.4 of the AWP and page. 57 of the of the annual performance report) • Finance: Renovation of the 3rd commercial block at 66,823,000/- (95) (specified on page.37 of the AWP and page. 52 of the of the annual performance report) • Renovation of the production office block at 8,650,000/- (123%) (indicated on page.48 of the AWP and page. 63 of the of the annual performance report) • Production: completion of cattle Dip in Nakapelimoru at 30,000,000/- (98%) (itemized on page.51 of the AWP and page.64 of the of the annual performance report) • Health: 5 stance latrine construction at Apalopus HCII at 30,064,000/- (100%) (detailed out on page.58 of the AWP and page.71 of the of the annual performance report) • Health: OPD construction phase (1) at Apalopus HCII at 132,206,000/- (65%) (cited on page.59 of the AWP and page. 72 of the of the annual performance report) • Education: classroom construction and rehabilitation at Kanair P/S at 60, 00,000/- (100%) (mentioned on page.62 of the AWP and page. 76 of the of the annual performance report)

5	<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p>	<ul style="list-style-type: none"> Evidence that all investment projects in the previous FY were completed within approved budget – Max. 15% plus or minus of original budget: score 2 	<p>There was evidence that all investment projects in the previous FY were completed as per the approved budget.</p> <p>Five sampled projects include:</p> <ul style="list-style-type: none"> Education: classroom construction and rehabilitation (completion of a 3 classroom block at Kanair P/S) under Procurement Ref No. KOTI 528/Wrks/18-19/00006, contracted to Iwon Pei General Hardware Ltd on 26th November, 2018 at Actual Cost.UGX.52,990,245/=, Estimated Cost.54,870,000/= (96%) Health: 5 stance latrine construction at Apalopus HCII. Under Procurement Ref No. KOTI 528/Wrks/18-19/00011, contracted to Arigos Agro imput Agency on 26th November, 2018 at Actual Cost. UGX.29,710,643/=, Estimated Cost. UGX.30, 064,486/= (98%) Completion of administration block at Panayangara S/C Hqtrs. under Procurement Ref No. KOTI 528/Wrks/18-19/00004, contracted to Omax General Services Ltd on 26th November, 2018 at Actual cost UGX.60,000,000/=, Estimated cost UGX.60,000,000/= (100%) Renovation of a teacher's house at Nampumpum P/S. under Procurement Ref No. KOTI 528/Wrks/18-19/00005, contracted to Wakivan Enterproses Ltd on 26th November, 2018 at Actual Cost. UGX.19,981,038/=, Estimated Cost UGX.20,000,000/=(99.9%) Renovation of a teacher's house at Nakoreto P/S. under Procurement Ref No. KOTI 528/Wrks/18-19/00019, contracted to Omax General Services Ltd on 26th November, 2018 at Actual Cost UGX.19,482,540/=, Estimated Cost. UGX.20,000,000/=(97%) Construction of two stance lined latrine with urinal at Kacheri HCIII. Under Procurement Ref No. KOTI 528/Wrks/18-19/00007, contracted to Richan (U) Ltd on 26th November, 2018 at Actual Cost UGX.11,463,114/=, Estimated Cost UGX. 11,500,000/= (99.7%) <p>Therefore, all investment projects sampled were completed within Max. 15% plus or minus the original budget</p>	2
	<p>Maximum 4 points on this Performance Measure.</p>			
5	<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p>	<ul style="list-style-type: none"> Evidence that the LG has budgeted and spent at least 80% of the O&M budget for infrastructure in the previous FY: score 2 	<p>There was no verifiable information to confirm that the LG had budgeted and spent at least 80% of O&M budget for infrastructure in the previous FY 2018/2019. The LG did not have an O&M plan, or register of assets in need of maintenance and the associated budget and expenditures.</p>	0
	<p>Maximum 4 points on this Performance Measure.</p>			

Human Resource Management

6	<p>LG has</p>		0
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substantively recruited and appraised all Heads of Departments

Maximum 5 points on this Performance Measure

- Evidence that the LG has filled all HoDs positions substantively: score 3

The Kotido District Staff Structure was approved by the PS Ministry of Public Service through letter ARC/135/306/01 from the PS to CAO Kotido district dated 30th August, 2017. The letter was in response to the CAO's letter dated 19th June, 2017, Ref.No.CR/151/1 in respect of "Request for Approval of the Costed and Adopted Staff Structure for Kotido District".

The costed and approved staff structure provided for nine (9) Heads of Department (HoD) Positions that included:

1. Chief Finance Officer
2. District Planner
3. District health Officer
4. District Education Officer
5. District Engineer
6. District Commercial Officer
7. District Production and Marketing Officer
8. District Natural Resources Officer
9. District Community Development Officer

By the time of the assessment, 4 out of the 9 positions of Heads of Departments were filled substantively, while 5 positions were filled by officers appointed by the CAO in acting capacity on assignment of duty. Details of officers holding the positions and the status of appointment was as indicated below:

- 1.Chief Finance Officer; Ms Akello Hilda- CR/D/10146, substantively appointed as directed by DSC meeting of 30th-31st October, 2007, minute No. 47/2007 and by letter dated 10th December, 2007 Ref. No. CR/D/156/3 .
2. District Planner; Ms. Diiko Anna Regina; substantively appointed as directed by DSC Min.No. 49 DSC/KTD/2018 (429) on 24th July 2018 by letter CR/D/156/7.
3. District Health Officer; Dr. Achar Cerino; substantively appointed as directed by the DSC Min. No. 18/DSC/KTD/2017 (05) and by appointment letter dated 28th April 2017, Ref. No. CR/D/156/1.
4. District Natural Resources Officer: Mr. Owing George William: CR/D/10005 was substantively appointed as directed by DSC Min. No. 35/ DSC/KTD/2006 on 28th September, 2007, through letter Ref. No. CR/D/10,
5. Acting District Education Officer: Mr. Lowali Angello Max: CR/D/10778, substantively a Principal Education Officer, was assigned the duties of Acting Education Officer as directed by DSC minute No. 495/DSC/KTD/2018 (204) (ii) and by letter from the CAO dated 24th July, 2018 Ref. No. CR/159/7 /7.
6. Acting District Engineer: Mr. Logole Paul Betrad Lotyang; CR/D/11350, a substantive Senior Civil Engineer, was assigned duties of an acting District Engineer as directed by DSC minute number 495/DSC/KTD/2018 (398) (ii), and by letter dated 27th July 2018, Ref. No. CR/D/159/7
7. District Commercial Officer: No staff was assigned the duties of

acting District Commercial Officer; however, Mr. Munia Tadeo Lodioki CR/ D/11351, a substantive Commercial Officer, was assigned by CAO, the duties of a Vote Controller by letter dated 1st July 2019; Ref. CR/103/18

8. Acting District Production and Marketing Officer: Mr. Okuda Robert Kennedy; CR/D/10396, a substantive Senior Agricultural Officer, was appointed on assignment of duty as acting District Production and Marketing Officer, as directed by the DSC minute number 495/DSC/KTD/2018 (056) (ii) and by appointment letter dated 24th July, 2018, CR/D/159/7.

9. District Community Development Officer: Mr. Ogwaria Lawrence Karnoth; CR/D/10829, a substantive Principal Community Development Officer, was assigned duties of acting Community Development Officer, as directed by DSC minute number 495/DSC/KTD/2018 (415) (2ii) and as per appointment letter dated 24th July 2018, CR/D/156/7

LG has substantively recruited and appraised all Heads of Departments

Maximum 5 points on this Performance Measure

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

The Chief Administrative Officer had, by the time of conducting the assessment, appraised 6 out of the 9 heads of department. While the District Planner had not yet been appraised, the District Commercial Officer and the District Natural Resources Officer were not yet due for appraisal as they were appointed later during the FY.

The HoDs were appraised on key areas including:

- Key targets/outputs
- Finance and Human Resource management
- Crosscutting initiatives and innovations
- Areas of improvement and Action Plans were drawn.

The Assessor reviewed personal files of all the HoDs and confirmed that for staff that were appraised, their Performance Agreements and Reports were on file and endorsed by the CAO as indicated below:

1. Chief Finance Officer: CR/D/10146; Performance Agreement was signed on 15th August, 2018 and Performance Report was endorsed by the CAO on 5th August, 2019.
2. District Planner: CR/D/10029; Not yet appraised.
3. District Health Officer: CR/D/11344; Performance Agreement was signed on 31st July, 2018 and the Performance Report was endorsed by the CAO on 30th July, 2019
4. District Education Officer: CR/D/10778; Performance Agreement was signed on 1st August 2018, while the Performance Report was endorsed by CAO on 30th July, 2019.
5. District Engineer: CR/D/100/11350: Performance Agreement was signed on 27th May, 2019 and the Performance Report was endorsed by the CAO on 14th August, 2019.
6. District Commercial Officer: CR/D/11351: Not yet due for appraisal. Appointed on 1st July 2019.
7. District Production and Marketing Officer: CR/D/10396: Performance Agreement was signed on 18th July, 2018 and Performance Report was endorsed by the CAO on 30th July, 2019
8. District Natural Resources Officer: CR/D/10005. Not yet due for appraisal (was on suspension from 30th July 2018 to 5th December, 2018)
9. District Community Development Officer: CR/D/10829; Performance Report was signed on 13th August, 2018 and the Performance Report was endorsed on 31st July 2018.

7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of staff submitted for recruitment have been considered: score 2 	<p>The DSC considered all the submission made by the CAO for recruitment of staff.</p> <p>The CAO made a declaration to the DSC for 12 vacant positions as per letter dated 22nd January, 2019 Ref. No. CR/D/ 214. Some of the key positions declared vacant included; Cold Chain Technician, Clinical Officer, Laboratory Technician and Assistant Inventory Management Officer.</p> <p>The DSC considered the submissions during the 188th meeting held from the 9th to 15th April 2019 as per minute number 10/DSC/KTD/2019. Forty four (44) candidates were shortlisted for the 12 positions.</p> <p>Interviews were conducted during the DSC meeting held from the 23rd to 30th April as per DSC minute number 18/DSC/KTD/2019. All the 44 shortlisted candidates turned up for the interviews and 12 successful candidates were selected. During the same DSC sitting, minute extracts were made (serialized from minute No. 01-012) and sent to CAO directing him under minute extract 18/DSC/KTD/2019 (A) (07) to issue instruments of appointment to the successful candidates.</p> <p>The CAO issued appointment letters to the successfully interviewed candidates as directed by the DSC minute No. 18/DSC/KTD/2019 (A) (07) with serialized minute extracts from 01 to 12. Individual appointment letters were issued to the 12 successful candidates on 3rd May, 2019, under reference number CR/156/7. Examples of candidates that were issued with appointment letters included:</p> <ul style="list-style-type: none"> • Napuyo Grace Lonya: CR/D/11427- Education Assistant • Layet Florence: CR/D/11427- Assistant Inventory Management Officer • Mwenyi Noah: CR/D/11419: Cold Chain Technician • Leperes Frederick: CR/D/11420: Clinical Officer • Look Agnes: CR/D/11422: Enrolled Midwife
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7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for confirmation have been considered: score 1 	<p>The CAO made 12 submissions to the Secretary to the DSC on 22nd January 2019, for confirmation of staff. The DSC sat from the 30th of July to 1st August 2018 during the 178th sitting, to consider the submissions. The 12 staff were confirmed under minute number 57/DSC/KTD/2018. Minute extracts of the confirmed staff were serialized from minute No. 01-12. Examples of the confirmed staff included:</p> <p>Dengel Paul- Parish Chief,</p> <p>-Amwony Grace- Enrolled Midwife</p> <p>-Alina Franco- Education Assistant</p> <p>-Akello Caroline-Enrolled Midwife,</p> <p>- Munia Tadeo Lodioki- Commercial Officer</p> <p>- Lomoe Alinachi Ali- Plant Operator.</p>	1
7	<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100 % of positions submitted for disciplinary actions have been considered: score 1 	<p>The CAO made one submission to the DSC dated 13th July 2018, Ref CR/D/214/11; involving staff accused of “Negligence of Duty, Absenteeism, Insubordination, excessive consumption of Alcohol and Improper Conduct”</p> <p>The case was resolved during the DSC sitting of the 30th of July, to 1st August 2018 and recommended the “lifting of Interdiction” that was put on the officer during the previous FY as a punishment. The DSC resolved under minute No. 58/DSC/KTD/2018 to reprimand the officer, to be closely monitored, counseled and supported to reform.</p>	1
8	<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment: score 3 	<p>Not all staff that were recruited (12 staff) during FY 2018/19 accessed the salary pay roll not later than two months. Nine (9) staff managed to access the pay roll while three (3) failed due to delays in submission of their TIN numbers to the HRM office for onward transmission to the Ministry of Public Service and MoFPED for E-registration for the issuance supplier numbers</p>	0

8	Staff recruited and retiring access the salary and pension payroll respectively within two months	<ul style="list-style-type: none"> Evidence that 100% of the staff that retired during the previous FY have accessed the pension payroll not later than two months after retirement: score 2 	No staff retired during the Financial Year. The Assessor, with the guidance of the HRO reviewed the staff list in an effort to identify staff that were due for retirement (through ascertaining their appointment dates and dates of birth) and confirmed that no staff was due for retirement in FY 2019.	2
	Maximum 5 points on this Performance Measure.			

Revenue Mobilization

9	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)	<ul style="list-style-type: none"> If increase in OSR (excluding one/off, e.g. sale of assets) from previous FY but one to previous FY is more than 10 %: score 4. If the increase is from 5% - 10 %: score 2. If the increase is less than 5 %: score 0. 	The LG didn't not increase its revenue in the FY 2018/19.The LG collections in the FY 2018/19 was less than that of FY 2017/18. The total of OSR for FY 2017/2018 Shs.157,323,941 (from audited Accounts-page 7) and total of OSR for FY 2018/2019 Ugx. 118,973,772 (from Draft Final Accounts-page 8). Decrease Shs.38,350,169 (FY18/19 - FY 17/18).Computation: $38,350,169/157,323,941 \times 100\% = -24\%$.Percentage decrease was -24%. The was no increment of collections in collections in FY 2018/19.	0
	Maximum 4 points on this Performance Measure.			
10	LG has collected local revenues as per budget (collection ratio)	<ul style="list-style-type: none"> If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realisation) is within +/- 10 %: then score 2. If more than +/- 10 %: Score 0. 	The LG's collection ratio was below 10%. The decrease was Ugx.42,449,228. The total Local Revenue Planned/Budgeted (Original not Revised budget-page 14) for FY 2018/2019 Ugx.161,423,000. The Actual Total Local Revenue collected during FY 2018/2019 Ugx.118,973,772 (Draft final accounts, page 8).Computation; $42,449,228/161,423,000 \times 100\% = 26\%$.Performance was percentage -26% is more than the -10%, therefore non-compliant.	0
	Maximum 2 points on this performance measure			
11	Local revenue administration, allocation and transparency	<ul style="list-style-type: none"> Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2 	The LG didn't remit the 65% of the revenue share. Local Revenue collections subjected to sharing with LLGs was Ugx.19,881,823. The 65% to be remitted was supposed to be Ugx. 12,923,185, but the amount of local revenue remitted to LLGs was Ugx. 6,675,000. The remittance was as follows; 1.Kachen Ugx. 2,475,000. 2.Kotido Ugx. 4,200,000.Computation; $6,675,000/19,881,823 \times 100\% = 34\%$.There was no compliance since the LG only remitted only 34% which was below the 65%.	0
	Maximum 4 points on this performance measure.			

11	Local revenue administration, allocation and transparency Maximum 4 points on this performance measure.	<ul style="list-style-type: none"> Evidence that the total Council expenditures on allowances and emoluments- (including from all sources) is not higher than 20% of the OSR collected in the previous FY: score 2 	The LG used more than 20% of the local revenue. OSR collected was Ugx.118,973,772 implying 20% should have only used Ugx.23,794,754 local council allowances but total expenditure on council allowances and emoluments during FY 2018/2019 amounted to Shs.61,680,000 seen by the assessor on extraction from the IFMS system. Local revenue realized during FY 2018/2019 excluding sales of assets amounted to shs.118,973,772 (Draft accounts page 8).Computation: $61,680,000/118,973,772 \times 100\% = 52\%$.They used 52% on local allowances which was beyond the 20%, therefore non-compliant.	0
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Procurement and contract management

12	The LG has in place the capacity to manage the procurement function Maximum 4 points on this performance measure.	<ul style="list-style-type: none"> Evidence that the District has the position of a Senior Procurement Officer and Procurement Officer (if Municipal: Procurement Officer and Assistant Procurement Officer) substantively filled: score 2 	The DLG had substantially filled the position of a Senior Procurement Officer (Ojuk Denis) that was substantively filled and the officer was appointed on 1st May 2017 as directed by DSC Min 18/DSC/KTD/2017 signed by CAO on 28 April 2017 The DLG had the position of a Procurement Officer(Aridi Lillian Noel) that was substantively filled and the officer was appointed on 1st January 2018 as directed by DSC Min 51/2007 signed by CAO on 24th July 2018.The officer is a procurement officer and was retained in service vide Min No 49/DSC/KTD/2018(033) with effect on 22nd December 2017	2
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<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the TEC produced and submitted reports to the Contracts Committee for the previous FY: score 1 	<p>The TEC produced and submitted reports to the Contracts Committee. The appointed Evaluation Committees for the different procurements during FY 2018/2019 produced evaluation reports under Min No CC/4/5/2018 with technical and clear recommendations to the Contracts Committee for instance;</p> <ul style="list-style-type: none"> • The Evaluation report for Procurement, Construction of council Block Phase 2, Ref No Koti528/wrks/18-19/00001 was produced and endorsed by the 4 evaluation members on 8th November 2018 and was submitted to the Contracts Committee with clear recommendations at UGX 343,810,132 by wide builders constructors/suppliers . • The Evaluation report for Procurement, completion of Administration block at Panyagara sub county HQ , Ref No Koti528/wrks/18-19/00004 was produced and endorsed by the 4 evaluation members on 8th November 2018 and was submitted to the Contracts Committee with clear recommendations at UGX 52,990,245 by Omax General services • The Evaluation report for Procurement, construction of 5 stance pit latrine at Apolopus Sub county HQ , Ref No Koti528/wrks/18-19/00011 was produced and endorsed by the 4 evaluation members on 8th November 2018 and was submitted to the Contracts Committee with clear recommendations at UGX 29,710,643 by Arigos Agro Input Agency . • The Evaluation report for Procurement, Completion of Block of three classrooms at Kanair Primary school , Ref No Koti528/wrks/18-19/00006 was produced and endorsed by the 4 evaluation members 8th November 2018 and was submitted to the Contracts Committee with clear recommendations at UGX 52,990,245 by Iwon Pei general hardware Ltd . • The Evaluation report for Procurement, renovation of teachers house at Napumpum primary school , Ref No Koti528/wrks/18-19/00018 was produced and endorsed by the 4 evaluation members on 8th November 2018 and was submitted to the Contracts Committee with clear recommendations at UGX 19,981,038 by Wakivan enterprise Ltd. • The Evaluation report for Procurement, construction of a cattle crush at lubanya in Kacheri sub county , Ref No Koti528/wrks/18-19/00020 was produced and endorsed by the 4 evaluation members on 8th November 2018 and was submitted to the Contracts Committee with clear recommendations at UGX 8,000,000 by Oleez Mechanic Enterprise.
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The LG has in place the capacity to manage the procurement function

Maximum 4 points on this performance measure.

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

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

The TEC recommended to the CC that M/s Wide Builders constructors/suppliers as the best evaluated bidder and therefore be awarded the Contract for Construction of council Block Phase 2, Ref No Koti528/wrks/18-19/00001 at UGX 343,810,132 The contract was awarded during its meeting held on 26 November 2018 under min No CC/4/4/5/2018(1)

The TEC recommended to the CC that M/s Omax General services Ltd as the best evaluated bidder and therefore be awarded the Contract for completion of Administration block at Panyagara subcounty HQ , Ref No Koti528/wrks/18-19/00004 at UGX 52,990,245 The contract was awarded during its meeting held on 26 November 2018 under min No CC/4/4/5/2018(3)

The TEC recommended to the CC that M/s Arigos Agro input Agency Ltd as the best evaluated bidder and therefore be awarded the Contract for for construction of 5 stance pit latrine at Apolopus HC II, Ref No Koti528/wrks/18-19/00011 at UGX 29,710,643. The contract was awarded during its meeting held on 26 November 2018 under min No CC/4/4/5/2018(8)

The TEC recommended to the CC that M/s Iwon pei general hardware Ltd as the best evaluated bidder and therefore be awarded the Contract for Completion of Block of three classrooms at Kanair Primary school , Ref No Koti528/wrks/18-19/00006 at UGX 52,990,245. The contract was awarded during its meeting held on 26 November 2018 under min No CC/4/4/5/2018(5)

The TEC recommended to the CC that M/s Wakivan enterprises Ltd as the best evaluated bidder and therefore be awarded the Contract for renovation of teachers house at Napumpum primary school , Ref No Koti528/wrks/18-19/00018 at UGX 19,981,038. The contract was awarded during its meeting held on 26 November 2018 under min No CC/4/4/5/2018(13)

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

Maximum 2 points on this performance measure.

- a) Evidence that the procurement and Disposal Plan for the current year covers all infrastructure projects in the approved annual work plan and budget and b) evidence that the LG has made procurements in previous FY as per plan (adherence to the procurement plan) for the previous FY: score 2

The procurement and disposal plan covered all infrastructural projects for the current FY 2019/20 in the annual work plan seen and signed by Senior Procurement Officer, CAO and LCV Chairman on 3rd October 2019. The Procurement and Disposal Plan (PDP) for FY 2019/20 covered all infrastructure projects in the FY 2019/20 in the consolidated work plan, for instance;

- Under health department, Completion of OPD Block at Apalopus HC II Phase II at UGX 130,000,000 under DDEG funding appeared on page 1 on Procurement and Disposal Plan (PDP) and on page 47 of the AWP.

- Under education department construction of a dormitory at Kacheri SS at UGX 96,242,000 under DDEG funding appeared on page 2 on Procurement and Disposal Plan (PDP) and on page 70 of the AWP.

- under water sector, drilling of boreholes at Kotido Sub county(Rom parish,Komaruk-Kopus,Kanyate II Nayan) at UGX 44,640,550.70 funding by DWSCG appeared on page 4 on Procurement and Disposal Plan (PDP) and on page 92 of the AWP.

The LG made procurements in previous FY as per plan Procurements include:

- On page1 of the Kotido district local government procurement workplan the project for Contract for construction of 5 stance pit latrine at Apolopus Subcounty HQ , Ref No Koti528/wrks/18-19/00011 at UGX 30,064,486 appeared in the Procurement and Disposal Plan for FY 2018/2019 and on page 58 of the AWP.
- On page 3 of the Kotido district local government procurement work plan the project for Contract for Completion of Block of three classrooms at Kanair Primary school, Ref No Koti528/wrks/18-19/00006 at UGX 54,870,000 appeared in the Procurement and Disposal Plan for FY 2018/2019 and on page 62 of the AWP.

The consolidated PDP work plan Current FY was not seen. The Assessment team was informed that it had been taken to Kampala at the time of assessment

14	<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p>	<ul style="list-style-type: none"> • For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects): score 2. 	<p>For previous FY, the LG adhered to procurement thresholds ie above UGX 50,000,000 for open domestic bidding and below UGX 50,000,000 for selective bidding for works; as it undertook various procurements;</p> <ul style="list-style-type: none"> • Construction of Council Block Phase II Ref no KOTI528/WRKS/18-19/00001, Min CC/4/4/5/2018(1) contract price for UGX 343,810,132 This project was procured through the open domestic bidding method as selected by the CC on 26 November 2018 and was advertised on the New vision newspaper of 27 September 2018 • Renovation of teachers house at Napumpum primary school Ref No KOTI528/WRKS/18-19/00005 ,Min CC/4/4/5/2018(13) contract price for UGX 19,981,038 This project was procured through the selective bidding method as selected by the CC on 26 November 2018 . • Construction of 5 stance pit latrine at Apolopus HC II Ref No KOTI528/WRKS/18-19/00011 ,Min CC/4/4/5/2018(8), contract price for UGX 30,064,486 This project was procured through the selective bidding method as selected by the CC on 26 November 2018 . • Completion of Block of three classrooms at Kanair Primary school , Ref No Koti528/wrks/18-19/00006, Min CC/4/4/5/2018(5) contract price for UGX 54,870,000 This project was procured through the open bidding method as selected by the CC on 26 November 2018 and was advertised on the New vision newspaper of 27 September 2018 • Renovation of teachers house at Napumpum primary school , Ref No Koti528/wrks/18-19/00018, Min CC/4/4/5/2018(13) contract price for UGX 19,981,038 This project was procured through the selective bidding method as selected by the CC on 26 November 2018. 	2
15	<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all works projects implemented in the previous FY were appropriately certified – interim and completion certificates for all projects based on technical supervision: score 2 	<p>Work projects were implemented for previous FY 2018/19 for instance;</p> <ul style="list-style-type: none"> • Completion of Block of three classrooms at Kanair Primary school , Ref No Koti528/wrks/18-19/00006 • Renovation of teachers house at Napumpum primary school , Ref No Koti528/wrks/18-19/00018 <p>However the assessment team could not access the certified interim and completion certificates at the time of assessment. The completion certificates were not attached to procurement files.</p>	0

15	<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> Evidence that all works projects for the current FY are clearly labelled (site boards) indicating: the name of the project, contract value, the contractor; source of funding and expected duration: score 2 	<p>There were no projects for the current FY, under implementation/construction. There were no ongoing projects for the previous FY</p>	2
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Financial management

16	<p>The LG makes monthly and up to-date bank reconciliations</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the LG makes monthly bank reconciliations and are up to-date at the time of the assessment: score 4 	<p>The assessor sampled five months of reconciliations that were prepared from June-October 2019. The evidence was exhibited by copies of bank reconciliations up to 31st October 2019 as per print-outs from the IFMS system. The following accounts were balances as at 31st October 2019; General Fund-9030005641011, Ugx.198,329,830; Kotido District Pastoral Livelihoods Resilience Project-9030012335104, Ugx.632,649; NUSAF 3 Operations-9030012288459, Ugx.1,147; UNICEF, Ugx.29,065. The reconciliation is supported and confirmed by submission of Board of survey report ref. CR/220/2 dated 29th August 2019 ref. CR/108/2 to CAO.</p>	4
17	<p>The LG made timely payment of suppliers during the previous FY</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> If the LG makes timely payment of suppliers during the previous FY – no overdue bills (e.g. procurement bills) of over 2 months: score 2. 	<p>The district made timely payments of suppliers during FY 2018/2019 without overdue bills beyond 2 months. Sampled payments in all sectors indicated compliance resulting in no overdue bills beyond two months, examples are; Ms. East African Boreholes Limited, Procurement no. KOTI528/WRKS/18-19/00002, for sub-sitting and drilling production boreholes in Kotido District. Submission and requisition for payment was made on 24th June 2019 and certified and recommended for payment on 24th June 2019 by DWO. Paid on 25th June 2019, EFT 24335189, Ugx.57,185,423; Ms. XTRI Trust Ltd-Procurement no. KOTI528/Wrks/17-18/00019, for rehabilitation of 18 boreholes in the following sub-counties and number of boreholes per district ; i) Rengen 4, ii) Nakapelimoru 3, iii) Kotido 4, iv) Panyangara 4, v) Kacheri 3; Submission and requisition for payment on 5th June 2019 and certified and recommended for payment on 05/06/2019. Payment for retention fee by EFT No. 24335189, Ugx.2,515,400. Ms. IWON PEI General Hardware Ltd, Procurement no. KOTI528/WRKS/18-19/00006, for completion of 3 classroom block at Kanair p/s. Submission and requisition for payment on 20th February 2019 and certified and recommended for payment on 11th April 2019 by DEO and District engineer. Paid on 11th April 2019 by EFT. 226762313, Ugx. 24,261,195 and another repayment certified and recommended on 28th May 2019 and paid on 22nd June 2019 by EFT. 24294636, Ugx. 24,514,766.</p>	2

18	<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p>	<ul style="list-style-type: none"> • Evidence that the LG has a substantive Senior Internal Auditor: 1 point. • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>The district has a principal Internal Auditor in the names of David Aleper whose appointment was communicated to him by the CAO vide letter under reference CR/157/7 dated 27th May 2015. The District Internal Auditor's letter was through the District Service Commission authority minute reference number Min.22/DSC/KTD/20165(2) December, 2009.</p>	1
	<p>Maximum 6 points on this performance measure.</p>			
18	<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p>	<ul style="list-style-type: none"> • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>The LG produced all the four quarterly reports for the fyr 2018/19 were produced in time dated, Q1-16 /10/2018, Q2-22/02/2019, Q3-15/05/2019 and Q4-10/07/2019.</p>	2
	<p>Maximum 6 points on this performance measure.</p>			

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

Maximum 6 points on this performance measure.

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

The LG provided information to Council and LG PAC on the status of implementation of internal audit findings FY 2018/19 as seen by the assessor as confirmed with evidence of receipt of internal audit quarterly reports with date-stamps duly received and stamped as table below and final letter, ref.CR/252/4 dated 10th July 2019. However, there was no evidence available on the implementation of audit findings by LG PAC.

Date of report-	Date of receipt by LG PAC	Reference
Q1: 16/10/18	01/02/19	AUD/1st/2018/19
Q2: 22/ 01/19	07/02/19	AUD/2nd/2018/19
Q3: 15 /05/19	15/05/19	AUD/3rd/2018/19
Q4: 10/07/19	10/07/19	AUD/4th/2018/19

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

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

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

Maximum 6 points on this performance measure.

• Evidence that internal audit reports for the previous FY were submitted to LG Accounting Officer, LG PAC and LG PAC has reviewed them and followed-up: score 1.

The internal audit reports for FY 2018/19 were submitted to the LG PAC, but there were no minutes or report from LG PAC availed to the assessor to confirm the PG PAC reviewed the internal audit reports. The status of the queries were as follows; Nature and total number of queries raised 201, Nature and total number of queries cleared 0 and Nature and total number of queries pending 201.

19	The LG maintains a detailed and updated assets register Maximum 4 points on this performance measure.	<ul style="list-style-type: none"> • Evidence that the LG maintains an up- dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual: score 4 	The LG maintains an up-dated the assets register covering details on of Land, motor vehicles, motor cycles, heavy machinery, computers, printers, photocopiers, CPUs, furniture as per format in the accounting manual and as was guided by the Accountant-General, MOFPED. The register shows all assets displayed in a columnar form; no., description, asset category class, asset category sub-class, cost, vote, department, section and physical location. The assets register was up dated up to 31st October, 2019 as evidenced by printed copies at the time of the assessment of the district.	4
20	The LG has obtained an unqualified or qualified Audit opinion Maximum 4 points on this performance measure	<p>Quality of Annual financial statement from previous FY:</p> <ul style="list-style-type: none"> • Unqualified audit opinion: score 4 • Qualified: score 2 • Adverse/disclaimer: score 0 	The annual audited report by the Auditor General to Parliament for FY 2018/19 communicated an Unqualified opinion for Kotido DLG.	4

Governance, oversight, transparency and accountability

21	The LG Council meets and discusses service delivery related issues Maximum 2 points on this performance measure	<ul style="list-style-type: none"> • Evidence that the Council meets and discusses service delivery related issues including TPC reports, monitoring reports, performance assessment results and LG PAC reports for last FY: score 2 	<p>The Council met and discussed service delivery related issues. This was evidenced by the minutes of the District Council meetings held as follows:</p> <p>On the 29th March, 2019, under Minute No.26/COU/03/2019. The council discussed on the issue of corruption at Kotido Secondary School, regarding Kotido SS bus which was claimed to have been procured at UGX.250,000,000 by a loan from Post Bank.</p> <p>On 5th October, 2018, under minute No.05/COU/10/2018. Council chairperson presented the District Executive Committee (DEC) report and discussed on: Nomination of Kotido Municipal Council member to LGPAC.</p> <p>On 21st December, 2018, under minute No.03/COU/12/2018. Council approved DDP II Mid Term Review Report & the District Nutrition Action Plan.</p> <p>On the 31st May, 2019, under minute No.36/COU/05/2019. Council presented, discussed and approved: the draft budget estimates, the work plans, capacity building plan and Procurement Plan FY 2019/2020. The expected incomes and planned expenditures for FY 2019/2020, included: (UCG – WAGE UGX. 385,495,000, UCG – N/WAGE UGX. 110,067,000, Pension UGX. 259,437,000, Gratuity UGX. 344,288,000, Pension arrears UGX. 58,001,000, Locally raised revenue UGX. 68,736,000, DDEG UGX. 60,499,000, Other Central Government transfers UGX. 4,875,349,000 (NUSAF 3).</p>	2
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22	<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that LG has designated a person to coordinate response to feed-back (grievance/complaints) and responded to feedback and complaints: score 1. 	<p>According to the reviewed Schedule of duties for FY 2018/2019, dated 1st July, 2018 under Ref No: CR/153/1, the Deputy Chief Administrative Officer Mr. Wambi Richard, was assigned the duty of Public Relations and also as the designated person to handle and coordinate response to feed-back (grievance /complaints).</p>	1
22	<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • The LG has specified a system for recording, investigating and responding to grievances, which should be displayed at LG offices and made publically available: score 1 	<p>Much as, the LG had a well explained and articulated commitments, to serve its community as specified in the DLG client charter. In reference to section 10.0 (Feedback mechanism) of the client charter in page 12. The feedback may be provided in different ways for example through face to face interaction, suggestion box or through mail among others. however, this was not evident enough to proof that LG had a specified system for recording, investigating and responding to grievances.</p>	0
23	<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>Evidence that the LG has published:</p> <ul style="list-style-type: none"> • The LG Payroll and Pensioner Schedule on public notice boards and other means: score 2 	<p>There was evidence of display of Payroll and Pension Schedule on the notice board by the DLG. For instance the salary list for the month of October was displayed on the notice board on 15th October, 2019. There was also pension and gratuity arrears list displayed on the notice board for 24th October, 2019.</p>	2
23	<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that the procurement plan and awarded contracts and amounts are published: score 1. 	<p>There was evidence reviewed of a procurement plan for FY 2018/2019, dated 26th June, 2019, Ref No. CR/105/7 (Submission of Amended Work plan for FY 2018/2019) and receipt acknowledged by PPDA on 1st July, 2019. At the assessment time, there was display of a list of prequalified firms for FY 2019/2020 on the noticeboard, as at 12th September, 2019. The advertised projects include:</p> <ul style="list-style-type: none"> • Construction, rehabilitation and renovation of buildings • Construction and rehabilitation of pit latrines • Construction and completion of fencing 	1

23	The LG shares information with citizens (Transparency)	<ul style="list-style-type: none"> Evidence that the LG performance assessment results and implications are published e.g. on the budget website for the previous year (from budget requirements): score 1. 	The DLG explained that they had publish the LG performance assessment results and implications in the district website (www.kotido.go.ug). The DLG also discussed the previous performance assessment results FY 2017/2018 in the TPC meeting. However, there was no evidence presented to confirm the explanation. Because the assessor went ahead and logged into the DLG website, but the LG performance results were not reflected.	0
Total maximum 4 points on this Performance Measure				
24	The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens	<ul style="list-style-type: none"> Evidence that the HLG have communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY: score 1 	There was evidenced reviewed by the assessor that LG communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY. This was evidenced by:	1
Maximum 2 points on this performance measure				
			The letter dated 22nd October, 2019, Ref No. CR/212/2 pinned on the Administration notice board inviting various staff including the Senior Assistant Secretaries to a dissemination meeting for Kotido District Education Ordinance.	
			Another Circular was dated 31st October, 2018, Ref No. CR/651/2, on allocation of Heifers to the youths and selected farmers to all sub county chiefs. A communication from Ministry of Agriculture in a letter dated 24 November, 2018 under Ref No. NAADS/LG/048.	
			There was another letter dispatched to Senior Assistant Secretaries, dated 5th February, 2019, Ref No. CR/400/2, inviting them to attend a District Disaster Management Committee meeting on registration of the most vulnerable households to benefit from relief food.	
			Letter dated 3rd October, 2018, dispatched to all Heads of Department and all Senior Assistant Secretaries on Key Human Resource Out puts for FY 2018/2019, in reference to communication from Ministry of Public service letter dated 23rd august, 2018 Ref No. PMD80/80/01.	
			Also, letter dated 7th December, 2018 Ref No CR/210/17 to all Town Clerks and Senior Assistant Secretaries on the subject of NUSAF 3 IPFs for Disaster Risk Financing. To provide effective income support and build resilience of the poor and vulnerable households in Northern Uganda.	
			Declaration of quarter 2 central government releases for FY 2019/2020 and quarterly allocation to the lower Health centres, displayed on notice board on 25th October, 2019. (Under DDEG) .	

The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens

Maximum 2 points on this performance measure

• Evidence that LG during the previous FY conducted discussions (e.g. municipal urban fora, barazas, radio programmes etc.) with the public to provide feed-back on status of activity implementation: score 1.

The LG adduced evidence to show that they conducted discussions with the public to provide feed-back on status of activity implementation. For instance, evidence reviewed at the time of assessment included:

The DLG held Radio talk shows that were scheduled monthly. This was reviewed in the DLG Departmental Radio talk show schedule for FY 2018/2019.

Some of the issues discussed so far according to each department included:

Health; on 7th July, 2018 discussed issues on HIV/AIDS action plan, Presidential Track Initiative and the panelist were HIV focal officer, Communications officer and UAC.

Community Development; on 14th September, 2018 discussed issue of Youth Livelihood Programme and the panelist were Youth Livelihood Programme focal officer

Education; on 7th December, 2019, discussed issues on Retention, school attendance, Girl child education, roles of parents in UPE, education Kotido Ordinance 2018, panelist were DEO and DSO.

LED: on 4th January, 2019 discussed issues on Local Tourism Potential, MIS and the panelist were commercial officer and the communication officer.

Note, after panel discussions, people were invited to make calls and ask question or seek for clarifications from the panel.

A Baraza was also conducted according to the letter dated 3rd May, 2019, Ref No CR/212/9 folio 44. Where CAO was invited for land governance accountability dialogue meeting (Baraza) which was conducted in Potongor Parish, Nakapelimoru sub county on 29th may, 2019.

Social and environmental safeguards

25	<p>The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the LG gender focal person and CDO have provided guidance and support to sector departments to mainstream gender, vulnerability and inclusion into their activities score 2. 	<p>The LG gender focal person and CDO had provided guidance and support to sector departments to mainstream gender. However, the following activities were implemented;</p> <ol style="list-style-type: none"> Activity report on assessment and follow up of Gender based violence (GBV) dated 14 December 2018 signed by CDO-Gender, this was in Kotido, Panyagara, Rengen, Kacheri, Nakapelimoru. A total of 144 cases reported and action taken by Police Activity report on the orientation of the CDOs on the importance of Gender and advocacy for integration on GBV in development plans dated 14 December 2018 signed by CDO Gender. Objectives of the training was to strengthen existing synergy in fight against and prevention of GBV. 16 CDOs attended representing sub counties i.e. Rengen, Kotido, Kacheri. Follow up of GBV cases. A total of 35 cases investigated and action taken. 10 CDOs in attendance from Panyagara, Napumpum and Kacheri. Activity report on orientation of the sub county CDOs on Gender Action learning systems dated 24 October 2018 signed by SCDO-Gender. The activity took place at district conference Hall on 23 October 2018 	2
25	<p>The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the gender focal point and CDO have planned for minimum 2 activities for current FY to strengthen women's roles and address vulnerability and social inclusions and that more than 90 % of previous year's budget for gender activities/ vulnerability/ social inclusion has been implemented: score 2. 	<p>The CDO and Gender Focal person had planned activities for current FY 2019/20 which include;</p> <ul style="list-style-type: none"> Gender and other crosscutting issues on Sexual Reproductive Health (SRH), GBV and HIV/Aids GBV data analysed collected and reported in National GBV database Gender mainstreaming and coordination of GBV, SRHR Data collection and analysis which appears on page 44 of the AWP <p>85% of previous year's budget was spent for activities/vulnerability and social inclusion for activities such as;</p> <ul style="list-style-type: none"> Orientation of sub counties on GALS, voucher No 19339186 dated 3 October 2018 at UX 500,000 GBV prevalence strategy in communities and way forward, voucher No 23691146 dated 8 June 2018 at UGX 701,000. Follow up on GBV cases in the district, voucher No 22664399 dated 24 April 2019 at UGX 500,000 <p>Out of the budget of UGX 2,000,000 allocated for gender mainstreaming in the LG approved budget estimates, 85% of budget was utilised.</p>	0

LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition

Maximum 6 points on this performance measure

- Evidence that environmental screening or EIA where appropriate, are carried out for activities, projects and plans and mitigation measures are planned and budgeted for: score 1

There was evidence that screening was carried out for projects and mitigation measures planned for the following projects:

- Construction of OPD Block at Apolopus HC II ,area 25m2, screening form was signed by environment officer on 22nd May 2015
- Completion of toilet system at Kotido SC HQ ,area 5M2 screening form was signed on 27th November 2018 by environment officer
- Renovation of teachers twin staff house Rengen at Nakoreto primary school screening form was signed on 23rd may 2019
- Renovation of health staff house at Losakoche HC III, Area 15M2 signed on 24 may 2019-11-14 completion of admin block at Panyagara sub county signed on 22 May 2019 screening form was signed by environment officer

ESMPs for construction of market shade at Rengen Sub county mitigation cost at UGX 300,000

Construction of loading ramp at cattle market ,mitigation cost was UGX 100,000

LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition

Maximum 6 points on this performance measure

- Evidence that the LG integrates environmental and social management and health and safety plans in the contract bid documents: score 1

The LG integrated environmental and social management plans and health and safety plans in the contract bid documents for the following projects;

- Renovation of teachers house at Napumpum primary school Ref No KOTI528/WRKS/18-19/00018,environment concerns were budgeted at UGX 100,000
- Construction of 5 stance pit latrine at Apolopus HC II Ref No KOTI528/WRKS/18-19/00011, environment concerns were budgeted at UGX 300,000 until Defects Liability period(DLP)
- Completion of Block of three classrooms at Kanair Primary school , Ref No Koti528/wrks/18-19/00006,environment concerns budgeted for UGX 10,000, Safety health and welfare for workers was budgeted at UGX 1,500,000

26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p>	<ul style="list-style-type: none"> • Evidence that all projects are implemented on land where the LG has proof of ownership (e.g. a land title, agreement etc.): score 1 	<p>There was evidence of proof of land ownership (e.g. a land title, agreement in the LG such as;</p> <ul style="list-style-type: none"> • Lokiding Primary school-Certificate of Title KOTDLB11 area 9.7100 hectares block(road)4 plot 58 at Lokiding Kacheri, dated 17 June 2019 • Lokwichia primary school-certificate of Title KOTDLB11, Area 11.410 hectares, block (road) 4 plot 51 at Nasiriamamoru, Losakuchia Kacheri dated 17 June 2019. • Kacheri Primary school-Certificate of Title KOTDLB/04 Block(road)4 plot 45 at Nasinyan,Kacheri, area 8.450 hectares dated 17 June 2019 • Apolopus HC II ,acreage 17.297 acres-An application for submission/consolidation of lands and buildings applicants submitted to land Board name, Kotido DLG at Panyangara sub county signed by CAO on 19 March 2019 	1
	<p>Maximum 6 points on this performance measure</p>			
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p>	<ul style="list-style-type: none"> • Evidence that all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO: score 1 	<p>The LG had completed projects that Environmental and Social Mitigation Certification was done, However they were signed by Environmental Officer without the CDO which included;</p> <ul style="list-style-type: none"> • Construction of 5 stance pit latrine at Apolopus HC II Ref No KOTI528/WRKS/18-19/00011 ,certificate No 049,signed on 10 June 2019 by environment officer • Renovation of teachers house at Napumpum primary school Ref No KOTI528/WRKS/18-19/00018 certificate No 049, signed on 2 June 2019 by environment officer • Renovation of office block at Kacheri TC signed on 10 June 2019 by environment officer 	0
	<p>Maximum 6 points on this performance measure</p>			

26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p>	<ul style="list-style-type: none"> • Evidence that the contract payment certificated includes prior environmental and social clearance (new one): Score 1 	<p>The contract payments lacked environmental and social clearance certificates for instance;</p> <p>Construction of Council Block Phase II Ref no KOTI528/WRKS/18-19/00001</p> <p>Construction of OPD Block at Apolopus HC II Ref no KOTI528/WRKS/18-19/00003</p> <p>Renovation of teachers house at Napumpum primary school Ref No KOTI528/WRKS/18-19/00018</p>	0
	<p>Maximum 6 points on this performance measure</p>			
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p>	<ul style="list-style-type: none"> • Evidence that environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. Score: 1 	<p>There were no monthly reports that included completed checklists, deviations observed with pictures and corrective actions taken and signed by environmental officer and CDO</p>	0
	<p>Maximum 6 points on this performance measure</p>			

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management				
1	<p>The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<p>• Evidence that the LG has budgeted for a Head Teacher and minimum of 7 teachers per school (or minimum a teacher per class for schools with less than P.7) for the current FY: score 4</p>	<p>A review of the performance contract/ budget estimates shows that the LG education department had budgeted for a head teacher and a minimum of 7 teachers per school as evidenced below.</p> <p>The final approved work plan and Budget for Kotido DLG vote 528, FY 2019/20, page 64-65, (generated on 9/7/2019) indicated a wage bill provision of UGX 1,708,363,000, planned and budgeted for 179 P/S teachers for 14 primary schools. i.e 12 staff. The assessor cross examined with staff registers and confirmed that the schools met the minimum standards of a teacher per class and a head teacher per school.</p>	4
1	<p>The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<p>• Evidence that the LG has deployed a Head Teacher and minimum of 7 teachers per school (or minimum of a teacher per class for schools with less than P.7) for the current FY: score 4</p>	<p>The district has deployed a minimum of a head teacher for every school and a teacher per class as per the minimum requirement.</p> <p>A review of the staff deployment list from DEOs office for 2019/2020, revealed evidence that the department operates with a teaching staff of 135 teachers, in 14 schools, with enrolment of 12,374, i.e. $135/14 = 10$; hence meets the minimum requirement of a teacher per class and head teacher. for example; a scan through the deployment list was done, and results from the staff list indicated:</p> <p>Nakoreto P.7 school had 10 staff, Including a head teacher.</p> <p>Rengen P.7 school had 11 staff, including a head teacher.</p> <p>Napompum P.7 school had 9 staff including a head teacher.</p> <p>Karosarich P.7 school had 9 staff including a head teacher.</p> <p>Kanair P.7 school had 9 staff including a head teacher.</p> <p>Lokiteleabu P.7 school had 9 staff including a head teacher.</p> <p>The assessor sampled schools for visiting to verify whether all schools had 7 teachers and a head teacher as indicated in the staff lists.</p> <p>Rengen P.7 school had 11 staff including a head teacher, with enrolment of 891 pupils</p> <p>Nakoreto P.7 school had 10 staff, including a head teacher with enrolment of 1088 pupils</p> <p>Napompum P.7 school had 9 staff, including a head teacher with enrolment of 868 pupils</p>	4

2	<p>LG has substantively recruited all primary school teachers where there is a wage bill provision</p>	<ul style="list-style-type: none"> • Evidence that the LG has filled the structure for primary teachers with a wage bill provision o If 100%: score 6 o If 80 - 99%: score 3 o If below 80%: score 0 	<p>The structure for LG government Primary schools' teachers for Kotido LG with a wage bill provision of UGX 1,708,363,000 caters for 179 teachers; However, the actual number of teachers filled and deployed according to DEOs staff lists for government aided schools was 135 at closure of term two.</p> <p>On analysis $(135/179) \times 100 = 75.42\%$ which constitutes 75% utilisation of wage</p>	6
<p>Maximum 6 for this performance measure</p>				
3	<p>LG has substantively recruited all positions of school inspectors as per staff structure, where there is a wage bill provision.</p>	<ul style="list-style-type: none"> • Evidence that the LG has substantively filled all positions of school inspectors as per staff structure, where there is a wage bill provision: score 6 	<p>The department substantively filled the two positions of Inspector of Schools as evidenced in the approved recommended staff costed establishment for LG by MoPS. The two positions are filled by :</p> <ol style="list-style-type: none"> 1) Senior Inspector of schools- Mr Otim Karlmax, Appointed on 1st July, 2018 Ref. CR/D/ 157/1: DSC min. 49/DSC/KTD/2018 (205) 2) Inspector of schools Mr. Katyanga Benson Boing appointed on 2nd May, 2019, Ref. CR/156/7. Min.19/DSC/KTD/2019 	6
<p>Maximum 6 for this performance measure</p>				
4	<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • Primary Teachers: score 2 	<p>There was evidence at the department for submitting the recruitment plan to CAO on 30th October, 2018. The plan indicated 1 vacant post of inspector of schools, (now filled in May 2019) and 3 vacant posts of Head teacher.</p>	2
<p>Maximum 4 for this performance measure</p>				

4	<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • School Inspectors: score 2 	<p>Both positions for Inspector of schools are now filled up as per the approved structure as mentioned above (PM.3).</p>	2
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Monitoring and Inspection

5	<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p> <p>Maximum 6 for this performance measure</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • 100% school inspectors: score 3 	<p>Moroto district has 14 Government aided schools with two inspectors of Schools. Senior Inspector of Schools; Mr. Otim Care Max –CR/D/10719 and Inspector of Schools Mr. Katyango Benson Boring- CR/D/1095.</p> <p>Both inspectors were appraised by the DEO using Performance Appraisal Ps Form 5 as indicated below:</p> <ol style="list-style-type: none"> 1. Senior Inspector of Schools – CR/D/ 10719 was appraised by the DEO on 30th June 2019 and the CAO endorsed the appraisal form on the 10th July 2019. 2. Inspector of Schools- CR/D/10975 had been appraised as a Headteacher by the Subcounty Chief in the presence of the Chairman SMC on 28th November, 2018 . The DEO endorsed the PS Form 5 on 30th January 2019. The officer was later appointed as Inspector of schools on 2nd May 2019, by letter Ref. No. CR/156/7 and by DSC minute number 19/DSC/KTD/2019. By the time of the assessment, the Inspector was not yet due for appraisal as an Inspector of Schools.. 	3
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The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.

Maximum 6 for this performance measure

Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY

- Primary school head teachers

- o 90 - 100%: score 3

- o 70% and 89%: score 2

- o Below 70%: score 0

The 14 Head Teachers were all appraised (for calendar year 2018) by their respective sub county chiefs witnessed by the Chairmen School Management Committees. Performance Assessment Plans and Appraisal Reports were available on their respective personnel files. The assessor took a sample of 8 files and confirmed the status of appraisal as indicated below:

1. Akello Secondina- CR/D/10884, Kalosanich PS, was appraised on the 10th January 2019, and the Performance Report was endorsed by the DEO on 30th January, 2019.

2. Akot Susan- CR/D/10574-Rengen PS, was appraised on 20th January 2019 and the Performance Report was endorsed by the DEO on 2nd February, 2019

3. Anina Santuna- CR/D/10733; was appraised on 15th December 2018 and the Performance Report was endorsed by the DEO on 23rd January, 2019.

4. Akullo Molly Teddy-CR/D/11182; Lopuyo PS, appraised on 5th March 2019. The Performance Report was signed by the DEO on 26th March, 2019

5. Achayo Ruth Grace- CR/D/10819, Lokiding PS, appraised on 7th January 2019, Performance Report was signed by DEO on 23rd January, 2019

6. Alewa Christine Ochan-CR/D/10898; NakwakwaPS, was appraised on 6th December 2019 and the Performance Report was signed by the DEO on 31st January, 2019

7. Alano Mercy- CR/D/10908; Kanair PS, was appraised on 10th December 2018, and the Performance Report was signed by the DEO on 23rd January, 2019.

8. Akello Jean Onyono; Nampumpum PS, was appraised on the 25th January 2019; the performance Report was signed by the DEO on 28th January, 2019.

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

• Evidence that the LG Education department has communicated all guidelines, policies, circulars issued by the national level in the previous FY to schools: score 1

There was evidence that Kotido LG Education department received some circulars and guidelines, policies, issued by the national level in FY 2018/2019 to schools.

For instance;

A Circular banning buying examination from commercial bureaus, Guidelines on World teachers day celebrations, Circular on teacher's management information systems was issued by DEO on 15th March 2019.

Maximum 3 for this performance measure

The assessor sampled some schools to established whether the guidelines had been communicated by DEO, results were as follows;

1. Rengen P/s, had 3 circulars found available (Banning buying of examinations from commercial bureaus, Guidelines on e-registration, School calendar.
2. Napumpum PS, had circulars on Ban on buying of examinations, and Verification of teachers presence in public schools.
3. Nakoreto P/S had was unable to retrieve but consistently admitted receipt through head teachers meeting.

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

• Evidence that the LG Education department has held meetings with primary school head teachers and among others explained and sensitised on the guidelines, policies, circulars issued by the national level: score 2

Review of minutes of DEOs meetings with head teachers held on 6th&7th April 2019 under Min.7/2/19; Communication from CAO; The CAO Kotido emphasized the relevancy of teacher management information system and reminded teachers to register on the E-system before the set deadline (31st December 2019). DEO also sensitized head teachers to desist buying examinations from secretarial bureaus due to the ban by MoES.

In addition, a circular on Uganda National primary schools performing arts syllabus was communicated by DEO during a meeting with head teachers held on 25th January 2019 as evidenced under Min 6/1/19; Remarks from DEO. The DEO sensitized all schools to participate in games and sports.

Maximum 3 for this performance measure

The LG Education De- partment has effectively inspected all registered primary schools²

Maximum 12 for this performance measure

- Evidence that all licenced or registered schools have been inspected at least once per term and reports produced:
- o 100% - score 12
- o 90 to 99% - score 10
- o 80 to 89% - score 8
- o 70 to 79% - score 6
- o 60 to 69% - score 3
- o 50 to 59 % score 1
- o Below 50% score 0.

Evidence was adduced from reviewing inspection reports indicated that the district operated 14 government aided schools, and 11 private and community schools, totaling to 25 schools.

Term I, inspected reports showed 14 out 25 schools were inspected

Term II- 2019, had 20/25 schools inspected

Term III 2018, had 14/25 schools inspected.

Analysis: $(14/25+20/25+14/25)*100= 64\%$

The inspection reports indicate 64% coverage; While, Inspection results from schools visited indicated;

1. Nakoreto P/S Term 1 on 6th March 2019; term 2 of 2019 on 14th August, 2019; and Term III 20th November = 3/3

2. Rengen P/S Term 1 of on 28th February 2019; Term 2 of 2019 on 26th July, 2019; Term 3 of 2018 on 16th October 2018= 3/3

3. Napompum P/S Term 1, 2019 on 24th April, 2019; Term 2 of 2019 on 17th June, 2019; Term 3 of 2018 13th October 2018; = 2/3

On analysis, 2 out 3 schools had the 3 mandatory inspection; $(3/3, 3/3, 2/3) = 2/3*100\% = 67\%$

There was 64% inspection in reports and 67% inspection coverage in sampled schools.

Overall average is =65%

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

Maximum 10 for this performance measure

- Evidence that the Education department has discussed school inspection reports and used reports to make recommendations for corrective actions during the previous FY: score 4

There was evidence that school inspection reports were discussed and used to make recommendations for corrective actions at the education department as was observed below;

A review of School inspection findings on 17th – 27th June, 2019, the report observed that teacher's schemes of work were inadequate.

The DEO responded to this by convening a meeting with head teachers held on 1st October 2019. The DEO emphasized head teachers and deputies should ensure that schemes or work; lesson plans should follow the curriculum and time table.

8	<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has submitted school inspection reports to the Directorate of Education Standards (DES) in the Ministry of Education and Sports (MoES): Score 2 	<p>The LG Education Department availed evidence for submission of inspection reports to DES using e-inspection however, the document claimed to be evidence lacked authentic proof of DES receipt, and no evidence proof for terms 1&2 as well.</p>	0
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8	<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the inspection recommendations are followed- up: score 4. 	<p>There was evidence of inspection recommendations being followed up in schools sampled. This was evidenced by a review of reports on inspection findings and comments that were made by the inspectors, Associate assessors, and CCTs as indicated below:</p> <ol style="list-style-type: none"> 1. The inspector of schools visited Nakoreto P/S on 21st June 2019 and commented on inadequate learning in classrooms due to lack of instructional materials, schemes of work and sequence of lesson planning. <p>The assessor reviewed a feedback report on supervision for the meeting held on 16th October 2019; Min, 3/2019; The head teachers stressed teachers to cause their classroom environment educative to the learners, and should also have logical and systematic lesson planning.</p> <ol style="list-style-type: none"> 2. Evidence of corrective measure were availed to the assessor on 13th August 2018 at Rengen P/S, on the inspector assessment on the quality of teaching and learning in a classroom environment, and scored P.2 teacher 2 out of 4. <p>The assessor reviewed on the corrective actions to build and improve P.2 teacher's capacity, and the head teacher tasked P.3 EGRA teacher to support P/2 teacher using CAM forms (continuous assessment method)</p>	4
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9	The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES	<ul style="list-style-type: none"> Evidence that the LG has submitted accurate/consistent data: List of schools which are consistent with both EMIS reports and PBS: score 5 	<p>There was evidence in the DEOs office on PBS list of schools in Kotido district indicating 14 schools and the number was consistent with that reflected in the MoES EMIS of 14 schools.</p> <p>LG submitted accurate/consistent data to the relevant authorities. Number of schools in both EMIS and PBS submitted were fourteen (14) that were; KANAIR P.S., NAKWAKWA P.S, KACHERI P.S, LOOKOROK P.S, KALOSARICH P.S, NAPUMPUM P.S, RENGEN P.S, NAKAPELIMORU P.S, LOSAKUCA P.S, LOKITELAEBU P.S, LOPUYO P.S, NAKORETO P.S, LOKIDING P.S and MAARU P.S</p>	5
	Maximum 10 for this performance measure			

9	The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES	<p>Evidence that the LG has submitted accurate/consistent data:</p> <ul style="list-style-type: none"> Enrolment data for all schools which is consistent with EMIS report and PBS: score 5 	<p>There was inconsistency in PBS data at the DEO's office and the MoES-EMIS data.</p> <p>The primary school enrollment data for the department FY 2019/20 in DEO's office as indicated in the PBS stands at 12,347 which is contrary to the MoES-EMIS enrollment data stands at 10, 869 obtained from the Department of Planning and Budgeting MoES.</p>	0
	Maximum 10 for this performance measure			

Governance, oversight, transparency and accountability

10	The LG committee responsible for education met, discussed service delivery issues and presented issues that require approval to Council	<ul style="list-style-type: none"> Evidence that the council committee responsible for education met and discussed service delivery issues including inspection, performance assessment results, LG PAC reports etc. during the previous FY: score 2 	<p>There was evidence that sector committee responsible for education met and discussed service delivery issues. This was evidenced the committee meetings held:</p> <p>On the 12th – 13th September, 2018, under minute No.04/09/SSC/2018. The committee discussed the fourth quarter Departmental Reports FY 2017/2018, the issues discussed included the following: Absenteeism by Head teachers of Maaru, Lopuyo and Lokiding and construction of a twin classroom on finishes at Lopuyo P/S and staff house be finished at Kacheri S.S.S, among others.</p> <p>On the 7th May, 2019 under minute No.08/SSC/05/2019. The committee chairperson presented Departmental Budget Scrutiny for FY 2019/2020 as follows: Development Grant SFG: UGX. 977,634,374 and Rengen Seed Secondary School: UGX. 692,750,650.</p> <p>On the 14th August, 2019 under minute No. 04/FATC/08/2019. The committee discussed fourth quarter departmental reports FY 2018/2019, on the need for teachers to strictly follow up the Education Ordinance.</p>	2
	Maximum 4 for this performance measure			

<p>The LG committee re- sponsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council</p>	<ul style="list-style-type: none"> • Evidence that the education sector committee has presented issues that require approval to Council: score 2 	<p>There was evidence that the education sector committee presented issues that required approval to Council. This was evidenced council meetings held:</p> <p>On the 28th May, 2018. under minute No.37/COU/05/2018, the committee chairperson presented the following recommendations: Joint monitoring of Alternative Basic Education for Karamoja (ABEK) and Functional Adult Literacy (FAL) classes, the Committee also recommended that UGX 40,000,000/= out of the UGX 200,000,000/= planned for the procurement of the Minibus (coaster) for Education Department.</p> <p>On 5th October, 2018, under minute No. 05/COU/10/2018. Committee Chairperson presented the Education sector budget for Seed School Construction of two classrooms Block (Kacheri SS, UGX. 874,455,890 and completion of a classroom Block at Kanair Primary School (SFG UGX. 106,000,000).</p> <p>On 5th March, 2019. under minute No. 19/COU/03/2019. The chairperson informed the august house of the Education Ordinance that was approved for enforcement.</p> <p>On the 31st May, 2019, under minute 35/COU/05/2019. The Committee recommended that all the three sectors of Education, Health and Community Based Services be allocated committee members in pairs so as to enhance quarterly monitoring visits.</p>
<p>Maximum 4 for this performance measure</p>		

<p>Primary schools in a LG have functional SMCs</p> <p>Maximum 5 for this performance measure</p>	<p>Evidence that all primary schools have functional SMCs (established, meetings held, discussions of budget and resource issues and submission of reports to DEO/MEO)</p>	<p>There was evidence to indicate that SMCs were in place, functional: for example (Napumpum, Karosarich, Kenair, Rengen, and Nakoreto Primary schools)</p> <p>The evidence for whether the SMCs held 3 mandatory meetings, at least once each term and discussed resource issues are indicated as below.</p> <ol style="list-style-type: none"> 1. Napumpum P/S held two SMC meetings on 15th October, 2018; then sat on 21st June 2019, and Term 1, 2019 is missing. (2/3) <ul style="list-style-type: none"> - SMC meeting minutes that discussed resource related issues Min. 4/10 2. Nakoreto P/S SMC meetings was held on: 3rd April, 2019; Then sat 6th August, 2019; and Term 3 SMC meeting was held on 9th November 2018.(3/3) <ul style="list-style-type: none"> - SMC meetings minutes that discussed resource issues min.4/4/2019; Min. 4/8/19, and min. 2/11/2018: discussed budget approval, and UPE accountabilities 3. Rengen P/S SMC meetings were held on: 15th January, 2019; then sat on 3rd July, 2019; and 18th October 2018. (3/3) <ul style="list-style-type: none"> - SMC meetings min.4/4/2019; Min. 4/8/19, and min. 2/11/2018: discussed budget approval, and UPE accountabilities 4. Kenair P/S SMC meetings were held on 15th February 2019; then sat on 24th July 2019; and on 4th October 2018. (3/3) <ul style="list-style-type: none"> - SMC meetings minutes which discussed resource issues; all meetings discussed approval of UPE funds 5. Karosarich P/S SMC meetings held on Term III 2018 sitting was missing. (2/3) <ul style="list-style-type: none"> - SMC meetings minutes that discussed resource issues: Min. 4/6/19, and Min. 5/3/19. Approval of budget estimates. <p>There was evidence of PBS list of schools/pupils enrollment in the MEO's office for FY 2019/20 which indicated 8,195 pupils in 7 primary schools. The number was inconsistent with MoES EMIS of 7528 pupils. /2018 & 4/6/2019; approval of UPE finance committee budget.</p> <p>On analysis (2/3, 2/3, 3/3, 3/3, 3/3)=3/5*100=60%. i.e, There was three out of five schools reviewed from Kotido LG SMCs files; The evidence indicated that 60% held the 3 mandatory meeting sittings in 2018/19</p>
<ul style="list-style-type: none"> • 100% schools: score 5 	<ul style="list-style-type: none"> • 80 to 99% schools: score 3 	
<ul style="list-style-type: none"> • Below 80 % schools: score 0 		

12	The LG has publicised all schools receiving non- wage recurrent grants	Evidence that the LG has publicised all schools receiving non-wage recurrent grants e.g. through posting on public notice boards: score 3	There was evidence that the LG publicized and displayed a list of all schools receiving non-wage recurrent grants during FY2019/20. Evidence of posting of UPE releases were as indicated below; Quarter 1, 2019/2020 for was released on 16th August, 2019, for 14 schools totaling to 49, 766,000	3
	Maximum 3 for this performance measure		The schools sampled and visited, to verify whether UPE capitation releases were displayed, indicate evidences as below; (selected term two 2019 releases as evidence)	

- Nakoreta PS displayed receipt of UGX. 2, 481,121.
- Rengen PS displayed receipt of 1, 700,000.
- Napumpum PS displayed receipt 3.600,000.

Procurement and contract management

13	The LG Education department has submitted input into the LG procurement plan, complete with all technical requirements, to the Procurement Unit that cover all items in the approved Sector annual work plan and budget	• Evidence that the sector has submitted procurement input to Procurement Unit that covers all investment items in the approved Sector annual work plan and budget on time by April 30: score 4	There was a procurement plan for department projects for 2019/2020, BUT submitted to PDU late on 3rd May, 2019. The projects included: (sampled four projects): Construction of head teacher and deputy staff houses at Panyangar P/S, worth 18M. Construction of two stance latrine for teachers at Lokiding P/S worth 14M. Supply of 48 P/S desks worth 8.2M. Construction of Panyangara seed S.S library worth 91.1 M	0
	Maximum 4 for this performance measure		All the projects planned for procurement were selected from AWP and budget estimates for Kotido LG 2019/2020, and the plan was submitted and received to PDU on 3rd May, 2019	

Financial management and reporting

14	The LG Education department has certified and initiated payment for supplies on time	Evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: score 3.	The LG Education departments timely (as per contract) certified and recommended suppliers for payment: Ms. Elisado Investments Co. Ltd., Procurement no. KOTI528/Supls/18-19/00018 for supply of 54 school desks, 3 office tables and 3 office chairs to Kanair P/s on the 16th February 2019. Submission and requisition for payment was on 21st February 2019 and certification and recommendation for payment was on 16th February 2019. Paid on 10th April 2019 by EFT;22673622, Ugx.4,630,000 and Shs.6,500,000; Ms. Iwon Pei General Hardware Ltd, Procurement no. KOTI528/WRKS/18-19/00006, for completion of 3 classroom block at Kanair PS. Submission and requisition was on 21st February 2019 and certification and recommendation for payment on 24th January 2019. Paid on 11th April 2019 by EFT.22676213, Ugx.24,261,195 and paid on 22nd June 2019 by EFT.24294636, Ugx.24,514,766.	3
	Maximum 3 for this performance measure			

15	<p>The LG Education department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the department submitted the annual performance report for the previous FY (with availability of all four quarterly reports) to the Planner by 15th of July for consolidation: score 4 	<p>There was evidence that education department submitted to the planner the annual and four quarterly performance reports for the previous FY for consolidation to the planner by mid-July as follows:</p> <p>Quarter one (1): on 12th October, 2018.</p> <p>Quarter two (2): on 13th January, 2019.</p> <p>Quarter three (3): on 11th April, 2019.</p> <p>Quarter four (4): on 14th July, 2019.</p>	4
16	<p>LG Education has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year <ul style="list-style-type: none"> o If sector has no audit query score 4 o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 2 o If all queries are not responded to score 0 	<p>There were no audit queries raised by the Internal Auditor on the Education Sector during FY 2018/2019 as per report by internal auditor ref. CR/252/4 dated 10th July 2019.</p>	4

Social and environmental safeguards

17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department in consultation with the gender focal person has disseminated guidelines on how senior women/men teachers should provide guidance to girls and boys to handle hygiene, reproductive health, life skills, etc.: <p>Score 2</p>	<p>There was no evidence that the department consulted gender department on dissemination of guidelines.</p>	0
17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that LG Education department in collaboration with gender department have issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools: <p>score 2</p>	<p>There was no evidence availed to the assessor, that the Education department convened a meeting with Head teachers to explain guidelines for girls and boys to handle hygiene, reproductive health, life skills</p>	0
17	<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the School Management Committee meets the guideline on gender composition: score 1 	<p>There was evidence at the schools visited that the School Management Committees were gender sensitive as per the Education ACT 2008. The sampled schools met the gender requirement as indicated below:</p> <ul style="list-style-type: none"> - Nakoreto PS had 2/6, (names: Santino Anna and NamoeMaria .) - Rengen PS had 2/6. (by names: Angeo Christine and Nachana Madalena.) - Napompum PS had 3/6 (Angura Veronica, AmoniMadalena, and AmoePerina .) 	1

18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department in collaboration with Environment department has issued guidelines on environmental management (tree planting, waste management, formation of environmental clubs and environment education etc.): <p>score 1:</p>	<p>The review of evidence about whether the department collaborated with Environment office on issuing of guidelines on school environmental management were indicated as below:</p> <p>The district forest officer with the environmental officer consulted DEO on schools to receive tree seedlings. In addition, on 9th January 2019, Min.2/01/19; DEO communicated on the importance of environmental conservation in schools by planting trees.</p>	1
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all school infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: Score 1 	<p>There was evidence that Education department infrastructure projects were screened before approval for construction, as indicated below;</p> <p>The renovation of teacher staff house at Napompum P/S was screened on 11th October, 2018.</p> <p>Renovation of teacher's house at Rengen P/S was screened by EO on 23rd May 2019.</p> <p>There was evidence of environment and social safe guard screening report for 4thquarter 2018/2019, dated on 5th July 2019 for all projects in the district</p>	1
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • The environmental officer and community development officer have visited the sites to checked whether the mitigation plans are complied with: Score 1 	<p>There was joint monitoring reports observed on compliance to environmental and social safe guards in the 5 sub counties of Kotido district – signed by both the CDO and EO.</p>	1

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management				
1	<p>LG has substantively recruited primary health care workers with a wage bill provision from PHC wage</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that LG has filled the structure for primary health care with a wage bill provision from PHC wage for the current FY</p> <ul style="list-style-type: none"> • More than 80% filled: score 8 • 60 – 80% - score 4 • Less than 60% filled: score 0 	<p>Approved primary health care workers in Kotido DLG were 185 of which 124 were in post (67%) with a staffing gap of 61.</p> <p>According to wage IPFs for the FY 2019/20 as in the performance contract 2019/20 (Generated on 09/07/2019 4:47, Page 15), there were 185 positions of health worker with a wage bill provision for the FY 2019/20 (UGX 1,411,396,420/=)</p> <p>Wage analysis for the current financial year conducted by the Principle Human Resource Officer (PHRO) on the 12th November, 2019 revealed that the anticipated wage utilization of UGX 1,321,743,720/= hence a surplus of UGX 89,652,700/=</p> <p>Therefore, the local government had filled the structure for primary health workers with a wage bill provision from PHC wage for the current FY 2019/2020 to a tune of 93.6% hence justifying the score 8.</p>	8
2	<p>The LG Health department has submitted a comprehensive recruitment plan for primary health care workers to the HRM department</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that Health department has submitted a comprehensive recruitment plan/request to HRM for the current FY, covering the vacant positions of primary health care workers: score 6</p>	<p>Recruitment plan to cover the staffing gap was submitted by DHO on 10th June 2019 (letter not referenced) and was received by CAO on the same day of on the same day.</p> <p>The department targeted to recruit ADHO MCH/N, ADHO Environmental Health, Senior Clinical Officers (3), Health assistants (12), Porters (20) and Askaris (12).</p>	6

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

Maximum 8 points for this performance measure

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

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

Kotido district has 14 health facilities (5 HC III and 9 HC II). All the health facility in-charges were appraised during the previous FY.

The assessor took a random sample of 10 files of the in-charges and confirmed that the staff were appraised by the Subcounty chiefs and the forms were signed off by the DHO and as in the details below:

1. Mwotuk Martin- CR/D/11099; Apolapam HC II. Appraised on 1st July 2019, CAO endorsed form on the same date.
2. Achiro Sunday Faith- CR/D/112293; Losakucha HCII, was appraised on 1st July 2019. Form was endorsed by the D/CAO on 15th August, 2019
3. Logiel Robert- CR/D/112293- Nampumpum HC III was appraised on 30th June, 2019. Form was endorsed by the D/CAO on 1st July, 2019
4. Akongo Catherine- CR/D/10566; Rikita HC II- was appraised on 30th June 2019. Form was endorsed by the D/CAO on 15th July, 2019 .
5. Lochoro Moses Dedeng- CR/D/11163- Lokiding HC II, appraised on 30th June 2019; form signed by D/CAO on 15th July 2019 .
6. Moding Celestino- CR/D/10236- Kacheri HC III, was appraised on 16th July 2019; D/CAO signed the form 15th July, 2019 .
7. Achieng Charity Grace- CR/D/11286- Nankwankwa HC II, was appraised on 28th June 2019. D/CAO signed the form on 30th June 2019 .
8. OjokJiponi- CR/D/11286- Nakaperimori HC III, was appraised 28th June 2016. D/CAO signed the form on 30th June 2019.
9. Latigi Everlyn- CR/D/11095- Lapuyo HC II was appraised on 30th June, 2019. D/CAO endorsed the form on 30th June 2019
10. Ojer John Micheal- CR/D/11095- Aparlopus HC II was appraised on 30th June, 2019. The form was endorsed by the D/CAO on the same date.

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

Maximum 4 points for this performance measure

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

The LG deployed health workers in line with lists submitted with the budget for FY 2019/2020 in PBS system dated 1st July 2019

Four facilities were sampled as follows:

- Napumpum HCIII; 13 staff were deployed out of 19 staffing norm.
- Rengen HC III ; 15 staff were deployed out of 19 staffing norm.
- Nakwakwa HC II; 4 staff were deployed out of 9 staffing norm.
- Lokitelaebu HC III; 14 staff were deployed out of 19 staffing norm.

At each facility, the staff list matched with the deployment list at DHO's office thus justifying the score of 4.

Monitoring and Supervision

5

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

Maximum 6 for this performance measure

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

The MOH issued one guideline in the FY 2018/2019 ("Sector grant and Budget guidelines for local governments 2019/2020"). There was evidence that the DHOs office communicated the above-mentioned guideline as evidenced by the existence of guideline distribution list dated 2nd July 2018 where 13 health facility in-charges had signed for the prioritized guideline.

Copies of the 'Sector grant and Budget guidelines for local governments 2019/2020' was traced and found available in the sampled health facilities: The visited health facilities were;

- Napumpum HCIII
- RengenHc III
- NakwakwaHC II
- Lokitelaebu HC III

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

3

5

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

Maximum 6 for this performance measure

• Evidence that the DHO/ MHO has held meetings with health facility in-charges and among others explained the guidelines, policies, circulars issued by the national level: score 3

DHMT monthly and quarterly meetings' report and Quarterly DHT supervision reports presented to the assessment team did not show any evidence that recommended guideline from Ministry of Health (Sector grant and Budget guidelines for local governments 2019/2020) was explained to the health facility in charges. There was no evidence at the visited health facilities that issued guideline had been explained or discussed to the health facility in-charges at any other fora.

0

6	<p>The LG Health Department has effectively provided support supervision to district health services</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that DHT/MHT has supervised 100% of HC IVs and district hospitals (including PNFPs receiving PHC grant) at least once in a quarter: score 3</p>	<p>Kotido local government does not have HC IVs and district hospitals under its management. The available HC IV (Kotido HC IV) was managed by Kotido Municipality. However, the assessment team looked at evidence that confirmed that DHT had conducted 4 quarterly integrated technical support supervision visits to Kotido HC IV. The quarterly support supervision reports indicated that Kotido HC IV was supervised as follows:</p> <p>Quarter 1 report: 28th August 2018</p> <p>Quarter report 2: 18th November 2018</p> <p>Quarter 3: 27th March 2019</p> <p>Quarter4: 12th June 2019</p> <p>From the MOH support supervision book, there was evidence that Kotido health centre IV had been visited on the above mentioned dates by the DHT.</p>	3
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6	<p>The LG Health Department has effectively provided support supervision to district health services</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that DHT/MHT has ensured that HSD has supervised lower level health facilities within the previous FY:</p> <ul style="list-style-type: none"> • If 100% supervised: score 3 • 80 - 99% of the health facilities: score 2 • 60% - 79% of the health facilities: score 1 • Less than 60% of the health facilities: score 0 	<p>Kotido Local government/ Jie county does not have a health sub-district (HSD). The available HSD in the district located at Kotido HC IV is under the mandate of Kotido Municipality.</p>	3
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The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up

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

There was evidenced availed to confirm that, all the 4 support supervision reports were discussed by DHT and recommendations made for corrective actions during the FY 2018/2019.

• Quarter 1: DHT meeting held on 10th September 2018 under Min 5: Key Issues from the Q1 FY 2018/2019 Monitoring and supervision exercise noted that during supervision, expired drugs were still available in some health facility stores. It was recommended that the district stores officer retrieves all those drugs that had expired from the facilities.

• Quarter 2: DHT meeting held on 5th December 2018 under Min 5: Key Issues from the Q2 support supervision findings. It was noted that during Q2 support supervision, gas for the cold chain was used up and vaccines had been moved to facilities with functional fridges. It was recommended that UNEPI was to be informed of the shortage of gas in the facilities.

• Quarter 3: DHT meeting held on 18th April 2019 under Min 5: Key Issues from the Q3 supervision findings and actions. The DHT noted that some facilities receiving PHC funds were sharing bank accounts to access PHC funds. The DHT recommended that all those facilities with no bank accounts were to be followed up and made to open their own accounts.

Quarter 4: DHT meeting held on 12th July 2019 under Min 5: Feedback on the Q4 FY 2018/2019 supervision. During supervision, the DHT established that, absenteeism was still a problem. The DHT recommended, having a management meeting to handle cases of absenteeism and indiscipline among staff.

Maximum 10 points for this performance measure

7

0

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

• Evidence that the recommendations are followed up and specific activities undertaken for correction: score 6

DHT meeting minutes and supervision reports for FY 2018/2019 were reviewed by the assessment team. It was established that some but not all recommendations were followed up and specific activities were undertaken for correction.

Kotido HC IV had been visited 4 times (once in each of the four quarters 1, 2, 3 and 4). The following recommendations had been made by the supervising team.

- Quarter 1: List of services offered by the facility and signage was to be translated in Ngakarimojong. By the time of assessment, no action/follow up had been made by DHT.
- Quarter 2: The DHT recommended Staff meetings to be held monthly. In this regard, follow up was made and staff monthly meeting minutes were seen on file at the facility by the assessment.
- Quarter 3: The DHT recommended working with Municipal council leadership to have the PHC fund management audited. However, no evidence of the follow up was presented to the assessment team.
- Quarter 4: The DHT recommended developing a schedule for self-assessment of staffs. However, the assessment team did not access evidence to confirm if this recommendation had been followed up with and specific activities were undertaken.

Since evidence availed indicated that only two recommendations made during supervision Kotido HC IV in FY 2018/2019 were followed up and action is taken, then this does not justify any other score other than score 0.

Maximum 10 points for this performance measure

8

10

The LG Health department has submitted accurate/consistent reports/data for health facility lists receiving PHC funding as per formats provided by MoH

• Evidence that the LG has submitted accurate/consistent data regarding:
o List of health facilities receiving PHC funding, which are consistent with both HMIS reports and PBS: score 10

Kotido DLG had 8 health facilities that benefit from PHC in FY 2018/2019. All 8 health facilities receiving PHC funding listed in the performance contract for 2019/20 (Generated on 09/07/2019 4:47) were consistent with the list of health facilities submitting HMIS reports as indicated in the report for HMIS 105 reporting rate for July to September 2019.

Maximum 10 for this performance measure

Governance, oversight, transparency and accountability

9

2

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

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

Maximum 4 for this performance measure

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

On the 12th-13th September under minute No.03/SSC/10/2018. The committee discussed issues that included: expired drugs retrieved by NMS, Pockets of stock outs of essential medicines including anti-TB drugs, and Some facilities had not yet opened 24/7 to provide services including weekends.

On the 7th May, 2019 under minute No. 08/SSC/05/2019. The committee chairperson presented departmental budget scrutiny for FY 2019/2020, as follows: The DHO presented the projection of the total population of 209,500 with 98,500 males and 111,000 females (Life expectancy), and Specific Budget allocation as follows (completion of construction of OPD 90,000, DDEG, completion of fencing Napumpum H/C II 24,000 DDEG and construction of OPD Block at Lookorok 50,000 DDEG LLG).

9

2

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

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

Maximum 4 for this performance measure

There was evidence that the Health sector committee presented issues that required approval to Council. This was evidenced by the council meetings held:

On the 28th May, 2018 under minute No. 37/COU/05/2018. The Committee recommended: that PHC support be extended to Nakapelimoru 405 Brigade Health Centre II and the Health facility should equally be entered into the District Database, procurement and installation of solar batteries in Eight Health facilities among others.

On the 5th October, 2018 under minute No. 05/COU/10/2018, The District Chairperson raised the issue of the health budget reduction (The Health Grant of UGX 430,000,000 which was reduced to UGX.400,000,000, hence affected the Health Sector Budget.

On the 31st May, 2019 under Minute no. 35/COU/05/2019. The Committee recommended the incorporation of other sector members in the quarterly monitoring visits.

10	The Health Unit Management Committees and Hospital Board are operational/functioning	Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):	<p>The assessment team visited four sampled health facilities and established that HUMC's sat as indicated below:</p> <p>Lokitelaebu HC III: HUMC sat four times as follows (26th October 2018, 11th January 2019, 16th April 2019, 14th June 2019) However, Budget and resource issues were not discussed.</p> <p>Napumpum HC III: HUMC sat thrice as follows (17th January 2019, 29th March 2019, and 30th June 2019). However, Budget and resource issues were not discussed.</p> <p>• Regen HC III; HUMC sat in all quarters as follows (28th September 2018, 12th December 2018, 28th Match 2019 and 24th June 2019). Budget and resource issues were only discussed during the Quarter 4 Meeting held on 24th June 2019.</p> <p>Nakwakwa HC II; HUMC sat in all quarters as follows; 5th July 2018, 12th December 2018, 22nd March 2019, 24th June 2019. However, Budget and resource issues were not discussed.</p> <p>In the 4 health facilities visited, Three (3) out of four (4) facilities held the 4 mandatory HUMC meetings translating into 75%. However, the assessment team observed that budget and resource issues were not discussed in some HUMC meetings. The assessment team cautioned the health facility in-charges against omitting discussion of budgets and resource issues during HUMC meetings.</p>	0
Maximum 6 points	<ul style="list-style-type: none"> • If 100% of randomly sampled facilities: score 6 • If 80-99 %: score 4 • If 70-79: %: score 2 • If less than 70%: score 0 			
11	The LG has publicised all health facilities receiving PHC non-wage recurrent grants	Evidence that the LG has publicised all health facilities receiving PHC non-wage recurrent grants e.g. through posting on public notice boards: score 4	A list of health facilities that benefited from PHC recurrent non-wage was displayed at the district health notice-board, signed by DHO dated 12th August 2019. There was also display of PHC non-wage recurrent grants received by each respective facility on the public notice board at the , Lokitelaebu HC III, Nakwakwa HC II, Napumpum HC III and Rengen HC III. The displayed list matched with health facilities that are in the PBS system hence a score of 4.	4
	Maximum 4 for this performance measure			

Procurement and contract management

12	The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget	<ul style="list-style-type: none"> Evidence that the sector has submitted input to procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time by April 30 for the current FY: score 2 	<p>The procurement plan containing 12 items for the health department for the FY 2019/2020 was submitted to PDU on 26th June 2019, outside the recommended deadline of 30th April of FY 2019/2020.</p> <p>Some of the items included in the procurement plan were; (1) Completion of District health office, (2) Supply of assorted office stationery, furniture, printing, photocopying and binding, (3) Vehicle and motorcycle maintenance, (4) Construction of a 5 stance latrine at Nakwakwa HC II, and (5) Rehabilitation of OPD block at Lokiding HC II among others. Submission of the plan outside (26th June 2019) the recommended deadline of 30th April of FY 2019/2020 justified the score 0.</p>	0
	Maximum 4 for this performance measure			
12	The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget	<ul style="list-style-type: none"> Evidence that LG Health department submitted procurement request form (Form PP5) to the PDU by 1st Quarter of the current FY: score 2. 	There was a copy of procurement request form (Form PP1) with a subject of procurement - construction of 5-stance latrine at a contract sum of UGX 30,064,486/= and Construction of OPD block at a contract sum of UGX 95,000,000/= all at Apolopus HC II submitted by DHO to the PDU on 12th September 2018. It was confirmed by CAO on the same day.	2
	Maximum 4 for this performance measure			
13	The LG Health department has certified and initiated payment for supplies on time	<ul style="list-style-type: none"> Evidence that the DHO/ MHO (as per contract) certified and recommended suppliers timely for payment: score 4. 	<p>The LG Health department timely (as per contract) certified and recommended suppliers for payment as follows; Ms. Lina Constructors and Supplies Ltd; Procurement no. KOTI528/WRKS/18-19/00003, for construction of Out Patients Department at Apalopus Health Centre II, Panyangar sub-county. Submission and requisition for payment was on 4th March 2019 and certification and recommendation for payment on 17th March 2019 by DHO and District engineer. Paid on 11th April 2019, EFT no.22676214 Ugx.43,979,355; Ms. Afrigos Agro-Input Agencies-KOTI528/WRKS/18-19/00011, for construction of five stance pit latrine and urinal at Apalopus Health Centre II. Submission and requisition for payment was on 11th June 2019 and certified and recommended for payment by DHO on 11th June 2019. Paid on 20th June 2019 by EFT.24256642, Ugx.25,135,204.</p>	4
	Maximum 4 for this performance measure			

Financial management and reporting

14	The LG Health department has submitted annual reports (including all quarterly reports) in time to the Planning Unit	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 4 	<p>The LG Health department submitted the annual and four quarterly performance reports for the previous FY to the planner for consolidation by mid-July as follows:</p> <p>Quarter one (1): on 13th October, 2018.</p> <p>Quarter two (2): on 14th January, 2019.</p> <p>Quarter three (3): on 11th April, 2019.</p> <p>Quarter four (4): on 14th July, 2019.</p>	4
15	LG Health department has acted on Internal Audit recommendation (if any)	<p>Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year</p> <ul style="list-style-type: none"> If sector has no audit query: Score 4 If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: Score 2 points If all queries are not responded to: Score 0 	<p>The LG Health department did not provide information on the status of implementation of audit findings for FY 2018/19. There was no report available to the assessor to the findings by internal audit report ref.CR/252/4, dated 10th July 2019. The findings in the report were on the following; Unaccounted for PH activities- Loido John Bosco-, Ugx.1,650,00 dated, 03/04/19; Acheng Charity-Ugx.800,000 dated 03/04/19; Wari Joh, Ugx.100,000 dated 05/06/19 and Ojok Jiponi-Ugx.1,472,000 dated 05/06/19. Akong Catherine, dated, 14/06/19, Ugx.540,000; Ongom Alex, dated 14/06/19, Ugx.1080,000; Logiel Robert dated, 14/06/19, Ugx.1,080,000.</p>	0

Social and environmental safeguards

16	Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.	<ul style="list-style-type: none"> Evidence that Health Unit Management Committee (HUMC) meet the gender composition as per guidelines (i.e. minimum 30 % women: score 2 	<p>All the following sampled health facilities had the required 30% (and above) of female composition on HUMC:</p> <p>Nakwakwa HC II 3 out of 4 =75%</p> <p>Rengen HC III 2out of 6 =33.3%</p> <p>Lokitalaebu HC III 3 out of 7 =42.8%</p> <p>Napumpum HC III 2 out of 5 =40%</p>	2
16	Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.	<ul style="list-style-type: none"> Evidence that the LG has issued guidelines on how to manage sanitation in health facilities including separating facilities for men and women: score 2. 	<p>It should be noted that there were no new guidelines issued by the LG regarding how to manage sanitation in health facilities. The assessment team visited the following facilities;</p> <ul style="list-style-type: none"> Nakwakwa HC II Rengen HC III Lokitalaebu HC III Napumpum HC III <p>It was established that sanitation guidelines were adhered to among the visited facilities including the presence of separate sanitary facilities for both men and women</p>	2
17	LG Health department has ensured that guidelines on environmental management are disseminated and complied with	<ul style="list-style-type: none"> Evidence that all health facility infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: Score 2 	<p>During FY 2018/2019, the health department undertook two infrastructure projects: Construction of 5 stance latrine and Construction OPD block all at Apolopus HC II.</p> <p>The contract agreement for the Construction of 5 stance latrine at Apolopus HC II was signed on 1st January 2019 while that of construction of OPD block at Apolopus HC II was signed on 14th January 2019. Screening for environmental safeguards for both projects was carried out on the 5th March 2019 as evidenced by the screening checklists. Therefore, there was evidence that health facility projects were screened before approval for construction.</p>	2
	Maximum 4 points for this performance measure			

17	<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p>	<ul style="list-style-type: none"> The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: Score 2 	<p>There was no evidence to confirm whether the environmental officer and community development officer visited the sites to check whether the mitigation plans were complied with , since there was no site visit report presented to the assessment team.</p>	0
	<p>Maximum 4 points for this performance measure</p>			
18	<p>The LG Health department has issued guidelines on medical waste management</p>	<ul style="list-style-type: none"> Evidence that the LG has issued guidelines on medical waste management, including guidelines (e.g. sanitation charts, posters, etc.) for construction of facilities for medical waste disposal2: score 4. 	<p>All health facilities visited during the assessment period (Lokitelaebu HC III, Nakwakwa HC II, Napumpum HC III, Rengen HC III) had charts and posters in place on the management of medical waste.</p>	4
	<p>Maximum 4 points</p>			

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution				
1	<p>The DWO has targeted allocations to sub-counties with safe water coverage below the district average.</p> <p>Maximum score 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has targeted sub-counties with safe water coverage below the district average in the budget for the current FY: <ul style="list-style-type: none"> o If 100 % of the budget allocation for the current FY is allocated to S/Cs below average coverage: score 10 o If 80-99%: Score 7 o If 60-79: Score 4 o If below 60 %: Score 0 	<p>The district safe water coverage average is 81% and three sub-counties ((Kacheri – 73%; Nakapelimoru – 74% and Rengen – 76%) have safe water coverage below the district average. Based on the AWP and Budget (received and stamped by the PS Ministry of Water on 13th August, 2019) the DWO has allocated 51% of the budget to sub-counties with safe water coverage below the district average. The DWO planned for the following:</p> <ul style="list-style-type: none"> • Siting, drilling of 5 hand pump boreholes at the cost of 122500000 (2 hand pump boreholes in Kotido S/C; 2 hand pump boreholes in Panyangara S/C and 1 hand pump borehole in Nakapelimoru S/C). • Design of piped-water system at Rikitae in Nakapelimoru S/C at cost of 65,000,000 • Rehabilitation of 11 boreholes at the cost of 40,150,000 (4 in Panyangara S/C, 4 in Nakapelimoru S/C, 3 in Kachari S/C) 	0

<p>The district Water department has implemented budgeted water projects in the targeted sub-counties (i.e. sub-counties with safe water coverage below the district average)</p> <p>Maximum 15 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has implemented budgeted water projects in the targeted sub-counties with safe water coverage below the district average in the previous FY. <ul style="list-style-type: none"> o If 100 % of the water projects are implemented in the targeted S/Cs: <p>Score 15</p> <ul style="list-style-type: none"> o If 80-99%: Score 10 o If 60-79: Score 5 o If below 60 %: Score 0 	<p>In the previous FY (2018/2019), the safe water coverage for Kotido was at 81%. Of the five sub-counties, three were below the district average of 81% (Kacheri 72%, Nakapelimoru 75%, Rengen 78%)</p> <p>Based on the AWP and budget of FY 2018/2019 the district planned to:</p> <ul style="list-style-type: none"> • Siting, drilling and installation of 9 hand pump boreholes at the cost of 162,841,000 • Siting, drilling and installation of 2 deep borehole (production well) at the cost of 70,000,000 • Design of 1 mini piped-water supply scheme at the cost of 19,540,080 • Rehabilitation of 9 boreholes at the of 25,157,715 <p>However, a council meeting (evidence: minute dated 30th April, 2019 and stamped by PS of MWE on 30th May, 2019) resolved that allocation for drilling of 9 boreholes be re-directed for rehabilitation of 14 hand pump boreholes.</p> <p>Also the allocation for siting, drilling and installation of 2 production was not awarded (evidence: revised AWP/budget 2018/19, stamped by PS of MWE on 20th May, 2019).</p> <p>An annual progress report for FY 2018/2019 was not availed however an inspection report dated 17th June, 2019 was availed. The inspection report had in it the following implemented rehabilitation of 14 boreholes at the cost of 39,134,223:</p> <ul style="list-style-type: none"> • 3 boreholes in Nakapelimoru S/C (Lomogol borehole, Kitiroi borehole, Lamakatala borehole) • 3 boreholes Kotido S/C (TesioNaligoi borehole, Lokurukuroi borehole and Kaputh valley borehole). • 3 boreholes Rengen S/C (Morueoloit borehole, Kaletha borehole and Nakalio borehole) • 3 boreholes Kacheri S/C (Nagera borehole and Makal borehole, Nangololangatuk borehole) • 2 boreholes in Panyangara S/C (Moruanadou borehole, Lolito borehole) <p>The location of the implemented design of the mini piped system is Kacheri, this information was extracted from the design report submitted by Mak and P Enterprises Ltd. It was received by DWO on the 12th June, 2019.</p> <p>Based on the availed evidences the DWO planned to rehabilitate 9 boreholes and design a mini-piped system in sub-counties with safe water coverage below the district. There are evidences to show that the DWO implemented all (100%) of the projects planned for sub-counties with safe water coverage lower than the district.</p>
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3	<p>The district Water department carries out monthly monitoring of project investments in the sector</p>	<p>Evidence that the district Water department has monitored each of WSS facilities at least annually.</p>	<p>Fourteen (14) WSS facilities were being implemented. There was evidence that 100% (14 out of 14) of WSS projects were monitored at least once a year. The following supervision/monitoring report was availed:</p>	15
	<p>Maximum 15 points for this performance measure</p>	<ul style="list-style-type: none"> • If more than 95% of the WSS facilities monitored: score 15 • 80% - 95% of the WSS facilities - monitored: score 10 • 70 - 79%: score 7 • 60% - 69% monitored: score 5 • 50% - 59%: score 3 • Less than 50% of WSS facilities monitored: score 0 	<p>Supervision/Monitoring report submitted to CAO on 17th June, 2019 for boreholes rehabilitation by Kal Bros – Bros Company Limited. This a report on rehabilitation of 14 hand pump boreholes.</p> <p>Nakapelimoru S/C – (Watakau parish: Kaileny (Lomogol borehole), Kitiroi borehole, Lamakatala borehole): Kotido S/C – Kanawat parish; TesioNaligo borehole: Lokitelaebu parish; Lokurukuroi borehole and Kaputh valley borehole.</p> <p>Rengen S/C – Nakwakwa parish; Morueoloit borehole: Lopuyo parish; Kaletha borehole and Nakalio borehole.</p> <p>Kacheri S/C – Kacheri parish; Nagera borehole and Makal borehole</p> <p>Lokidong parish; Nangololangatuk borehole.</p> <p>Panyangara S/C – Rikitae parish; Moruanadou borehole: Loposa parish; Lolito borehole.</p>	
4	<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p>	<ul style="list-style-type: none"> • Evidence that the district has submitted accurate/consistent data for the current reports/ data lists of water facilities as per formats provided by MoWE 	<p>The MIS report of FY 2018/2019 for Kotido has the following data:</p> <ul style="list-style-type: none"> • Siting, drilling and installation of 9 deep boreholes • Design of 1 piped-water supply system • Rehabilitation of 14 boreholes <p>However, the DWO did not provide the performance contract/PBS for FY 2018/2019 for comparison. DWO provided performance appraisal of his subordinates instead of performance contract.</p>	0
	<p>Maximum 10 for this performance measure</p>			
4	<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p>	<ul style="list-style-type: none"> • List of water facility which are consistent in both sector MIS reports and PBS: score 5 	<p>The MIS report of FY 2018/2019 for Kotido has the following data:</p> <ul style="list-style-type: none"> • Siting, drilling and installation of 9 deep boreholes • Design of 1 piped-water supply system • Rehabilitation of 14 boreholes <p>However, the DWO did not provide the performance contract/PBS for FY 2018/2019 for comparison</p>	0
	<p>Maximum 10 for this performance measure</p>			

Procurement and contract management

5

0

The district Water department has submitted input for district's procurement plan, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget

Maximum 4 for this performance measure

Evidence that the sector has submitted input for the district procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time (by April 30): score 4

The DWO made a late submission (submitted on 11th October, 2019) of

the following requisitions to PDU:

- Design of piped water supply scheme at Rikitare trading centre
- Siting, drilling, pump testing, casting and installation of 4 (four) hand pump boreholes
- Rehabilitation of 12 (twelve) hand pump boreholes
- Renovation of water office block
- Supply of stationery, pens, box files, cartridge, staples, stickers (as per the attached list)
- Supply of lap top computer – DELL
- Supply of metallic book shelves
- Vehicle maintenance
- Maintenance of office equipment

Supply of fuel and lubricants

6

0

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

Maximum 8 points for this performance measure

• If the contract manager prepared a contract management plan and conducted monthly site visits for the different WSS infrastructure projects as per the contract management plan: score 2

A letter signed by CAO appointing the contract manager was not available.

The following supervision/monitoring report was available:

• Supervision/Monitoring report submitted to CAO on 17th June, 2019 for boreholes rehabilitation by Kal – Bros Company Limited. This was a report on rehabilitation of 14 hand pump boreholes; Nakapelimoru S/C – (Watakau parish: Kaileny (Lomogol borehole), Kitiroi borehole, Lamakatala borehole); Kotido S/C – Kanawat parish; Tesio- Naligoi borehole: Lokitelaebu parish; Lokurukuroi borehole and Kaputh valley borehole.

Rengen S/C – Nakwakwa parish; Morueoloit borehole: Lopuyo parish; Kaletha borehole and Nakalio borehole.

Kacheri S/C – Kacheri parish; Nagera borehole and Makal borehole

Lokidong parish; Nangololangatuk borehole.

Panyangara S/C – Rikitae parish; Moruanadou borehole: Loposa parish; Lolito borehole.

6	<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p>	<ul style="list-style-type: none"> • If water and sanitation facilities constructed as per design(s): score 2 	<p>For the FY 2018/2019 the District of Kotido did not execute new water facilities hence three rehabilitated hand pump boreholes were sampled and visited:</p> <ul style="list-style-type: none"> • Panyangara S/C – Loposa parish; Lolito borehole. (No DWD Number) • Kotido S/C – Lokitelaebu parish; Lokurukuroi borehole (No DWD Number) • Kotido S/C – Kanawat parish; Tesio-Naligoi.(No DWD Number) <p>The sampled boreholes were all constructed as per design. These were established by measuring the diameter of the outer parts of the pipes.</p>	2
	<p>Maximum 8 points for this performance measure</p>			
6	<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p>	<ul style="list-style-type: none"> • If contractor handed over all completed WSS facilities: score 2 	<p>No hand over report from the contractor was availed.</p>	0
	<p>Maximum 8 points for this performance measure</p>			
6	<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p>	<ul style="list-style-type: none"> • If DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2 	<p>No completion certificate was given to the contractor however the DWO availed payment certificate which was stamped by CAO on 29th June, 2019 confirming payment of 39,134,200 shillings to Kal – Bross Company Limited for the rehabilitation of the 14 boreholes.</p> <p>Also the DWO filed completion report</p>	2
	<p>Maximum 8 points for this performance measure</p>			

7	<p>The district Water department has certified and initiated payment for works and supplies on time</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the DWOs timely (as per contract) certified and recommended suppliers for payment: score 3 points 	<p>The LG water department timely (as per contract) certified and recommended suppliers for payment as follows; Ms. Reddys Borehole and Technical Services, Procurement no. KOTI528/WRKS/18-19/00004, for drilling, pump-testing and installation of 9 deep boreholes LOT 2. Certification and recommendation for payment by DWO and district engineer on 6th February 2019. Paid on 10th April 2019 by EFT. 22673616, Ugx. .47,339,747. Ms. XTRI Trust Ltd. Procurement no. KOTI528/WRKS/18-19/00019. Rehabilitation of 18 boreholes at 18 sub-counties in the district. Certified and recommended for payment on 05/06/19. Paid retention fee on 19/06/19 by EFT.23625838, Ugx.2,515,400. Ms. East African Boreholes Ltd, Procurement No. KOTI528/WRKS/18-19/00002. Sub-sitting and drilling 2 production boreholes in Kotido. Certified and recommended for payment on 25/06/19. Paid on 24/06/19 by EFT. NO. 24335189 Ugx.57,185,43.</p>	3
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Financial management and reporting

8	<p>The district Water department has submitted annual reports (including all quarterly reports) in time to the Plan- ning Unit</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 5 	<p>There was evidence that District Water department submitted the annual performance and all four quarterly reports to the Planner for consolidation by mid-July, as follows:</p> <p>Quarter one (1): on 15th October, 2018.</p> <p>Quarter two (2): on 13th January, 2019.</p> <p>Quarter three (3): on 11th April, 2019.</p> <p>Quarter four (4): on 14th July, 2019.</p>	5
9	<p>The District Water Department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year o If sector has no audit query score 5 o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 3 If queries are not responded to score 0 	<p>There were no audit queries raised by the Internal Auditor on the water Sector during FY 2018/2019 as per internal audit report ref.CR/252/4 dated 10/07/19</p>	5

Governance, oversight, transparency and accountability

10	The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council	<ul style="list-style-type: none"> Evidence that the council committee responsible for water met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports and submissions from the District Water and Sanitation Coordination Committee (DWSCC) etc. during the previous FY: score 3 	<p>There was evidence that district committee responsible for water met and discussed service delivery issues. This was evidenced by the minutes of the sector committees meetings held:</p> <p>On the 23rd-24th November 2018, under minute No.04/TSAC/11/2018. The committee raised and discussed issues that included: The Water sector had planned for 136,199,091 but finally received up to 166,195,198, the sector spent 220,000 on office operations, drilled 16 boreholes and rehabilitation of 15 boreholes across the district.</p>	3
Maximum 6 for this performance measure				
10	The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council	<ul style="list-style-type: none"> Evidence that the water sector committee has presented issues that require approval to Council: score 3 	<p>There was evidence that the water sector committee presented issues that required approval to Council as evidenced by:</p> <p>The meeting held on 5th/10/2018 under minute No. 05/COU/10/2018. The council chairperson deliberated on behalf of the Water sector the issue of desilting Kalongolemuge dam, among others</p> <p>On the 31st May, 2019 under minute No. 35/COU/05/2019, the committee recommended the District Engineer takes Council to visit the motorized water pump in Panyangara Sub County, and under minute No.36/COU/05/2019, the council committee allocated UGX = 502,589,000 for the Water and Sanitation sector.</p>	3
Maximum 6 for this performance measure				
11	The district Water department has shared information widely to the public to enhance transparency	<ul style="list-style-type: none"> The AWP, budget and the Water Development grant releases and expenditures have been displayed on the district notice boards as per the PPDA Act and discussed at advocacy meetings: score 2. 	<p>Kotido District office has a notice board and displayed the following notices on grant releases and expenditures:</p> <ul style="list-style-type: none"> Declaration of quarter two FY 2019/2020 central government grants releases dated 24th October, 2019 signed and stamped by the CAO. Quarterly allocation to lower health facilities for quarter two FY 2019/2020 dated 25th October, 2019 signed and stamped by the DHO 	2
Maximum 6 points for this performance measure				

11	<p>The district Water department has shared information widely to the public to enhance transparency</p>	<ul style="list-style-type: none"> All WSS projects are clearly labelled indicating the name of the project, date of construction, the contractor and source of funding: score 2 	<p>For the FY 2018/2019 the District of Kotido did not execute new water facilities hence three rehabilitated hand pump boreholes were sampled and visited:</p> <ul style="list-style-type: none"> Panyangara S/C – Loposa parish; Lolito borehole. DWD: Kotido S/C – Lokitelaebu parish; Lokurukuroi borehole. DWD Kotido S/C – Kanawat parish; Tesio-Naligoi. DWD. 	0
	<p>Maximum 6 points for this performance measure</p>		<p>They were all labeled showing name of project, date of construction, the contractor and source of funding but the DWD numbers were not engraved in all of the facilities.</p>	
11	<p>The district Water department has shared information widely to the public to enhance transparency</p>	<ul style="list-style-type: none"> Information on tenders and contract awards (indicating contractor name /contract and contract sum) displayed on the District notice boards: score 2 	<p>There was no evidence to show that the district of Kotido displayed information on tenders and contract awards.</p>	0
	<p>Maximum 6 points for this performance measure</p>			
12	<p>Participation of communities in WSS programmes</p>	<ul style="list-style-type: none"> If communities apply for water/ public sanitation facilities as per the sector critical requirements (including community contributions) for the current FY: score 1 	<p>The DWO was unable to satisfactorily convince the assessment team that communities applied for water/public facilities in the current FY. Only one filled form was availed at the time of the assessment (A filled form from Morukere village for deep borehole, signed and stamped by the LC 1 chairperson on 30th October, 2018</p>	0
	<p>Maximum 3 points for this performance measure</p>			

12	<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Water and Sanitation Committees that are functioning evidenced by either: i) collection of O&M funds, ii) carrying out preventive maintenance and minor repairs, iii) facility fenced/protected, or iv) they an M&E plan for the previous FY: score 2 <p>Note: One of parameters above is sufficient for the score.</p>	<p>There was no evidence of either the collection of O&M funds, carrying out preventive maintenance and minor repairs or M&E plan for previous FY by water and sanitation committees</p> <p>Also based on the three sampled boreholes visited there was no evidence of facility being fenced or protected.</p>	0
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Social and environmental safeguards

13	<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that environmental screening (as per templates) for all projects and EIAs (where required) conducted for all WSS projects and reports are in place: score 2 	<p>There was no evidence availed to show that the district conducted any environmental screening for the FY 2018/2019. The EIA report for FY 2018/2019 was also not availed.</p>	0
13	<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that there has been follow up support provided in case of unacceptable environmental concerns in the past FY: score 1 	<p>There is no evidence that any follow-up has been carried out on any unacceptable environmental concerns.</p> <p>In the BoQ submitted by the Kal – Bross Company Limited there was provision for EIA/Screening however the screening forms and EIA report for the rehabilitated boreholes were not availed.</p>	0

13	<p>The LG Water department has devised strategies for environmental conservation and management</p>	<ul style="list-style-type: none"> Evidence that construction and supervision contracts have clause on environmental protection: score 1 	<p>There was evidence that construction and supervision contracts have clause on environmental protection.</p> <p>This was seen in the bid document of Kal-Bros Company limited for the rehabilitation of 14 boreholes</p>	1
	<p>Maximum 4 points for this performance measure</p>			
14	<p>The district Water department has promoted gender equity in WSC composition.</p>	<ul style="list-style-type: none"> If at least 50% WSCs are women and at least one occupying a key position (chairperson, secretary or Treasurer) as per the sector critical requirements: score 3 	<p>There was no evidence to show that the DWO has formed any WSCs. Also, there was no evidence to show that the sampled and visited water sources had WSCs formed.</p>	0
	<p>Maximum 3 points for this performance measure</p>			
15	<p>Gender and special needs-sensitive sanitation facilities in public places/</p>	<ul style="list-style-type: none"> If public sanitation facilities have adequate access and separate stances for men, women and PWDs: score 3 	<p>The following public sanitation facilities were sampled:</p> <ul style="list-style-type: none"> Kotido District Office Sanitation Facility. It had separate access for men and women but no separate access for PWDs Kitodo district water office Sanitation facility. It had separate access for men and women and had no ramp for access for PWDs 	0
	<p>RGCs provided by the Water Department.</p>			
	<p>Maximum 3 points for this performance measure</p>			