



LGPA 2017/18

Accountability Requirements

Kumi District

(Vote Code: 529)

Assessment	Compliant	%
Yes	3	50%
No	3	50%

Summary of requirements	Definition of compliance	Compliance justification	Compliant?
Assessment area: Annual performance contract			
<p>LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMAA and LG Budget guidelines for the coming financial year.</p>	xxx	<p>Kumi District Local Government submitted a Draft Performance Contract for FY 2017/2018 on 30th May 2017 and issued with a receipt (No. 0638) by the Ministry of Finance, Planning and Economic Development (MoFPED); and the Final Performance Contract for FY 2017/2018 was submitted on 3rd July 2017 (<i>as per Submission Schedule in MoFPED</i>).</p> <p>The submission was done AFTER the mandatory deadline of 30th June 2017.</p>	No
Assessment area: Supporting Documents for the Budget required as per the PFMA are submitted and available			
<p>LG has submitted a Budget that includes a Procurement Plan for the forthcoming FY (LG PPDA Regulations, 2006).</p>	xxxxx	<p>Kumi DLG submitted a Budget (approved by District Council on 30th April 2017) that included a Procurement Plan for FY 2017/2018.</p>	Yes
Assessment area: Reporting: submission of annual and quarterly budget performance reports			
<p>LG has submitted the annual performance report for the previous FY on or before 31st July (as per LG Budget Preparation Guidelines for coming FY; PFMA Act, 2015)</p>	xxxxx	<p>The district submitted the Annual Budget Performance Report for FY 2016/2017 on 11th August 2017 (Receipt No. 4549) issued by MoFPED.</p> <p>The submission was made after the deadline of 31st July 2017.</p>	No

<p>LG has submitted the quarterly budget performance report for all the four quarters of the previous FY; PFMA Act, 2015)</p>	<p>xxxxxx</p>	<p>The district submitted all the four Quarterly Budget Performance Reports for FY 2016/2017 to MoFPED as follows:</p> <ul style="list-style-type: none"> • Quarter One submitted on 18th November 2016 (Receipt No. 0085) issued by MoFPED. • Quarter Two submitted on 15th February 2017 (Receipt No. 0353) issued by MoFPED. • Quarter Three submitted on 30th May 2017 (Receipt No. 0776) issued by MoFPED. • Quarter Four submitted on 11th August 2017 (Receipt No. 4549) issued by MoFPED. <p>All quarterly reports were submitted late. The requirement is that quarterly reports should be submitted by the end of the following month after the end of the each quarter.</p>	<p>No</p>
<p>Assessment area: Audit</p>			
<p>The LG has provided information to the PS/ST on the status of implementation of Internal Auditor General or Auditor General findings for the previous financial year by April 30 (PFMA s. 11 2g). This statement includes actions against all findings where the Auditor General recommended the Accounting Officer to take action (PFMA Act 2015; Local Governments Financial and Accounting Regulations 2007; The Local Governments Act, Cap 243).</p>	<p>xxxxxx</p>	<p>Status report on the implementation of Auditor General queries for FY 2015/16 dated 10th March 2017 was submitted to PS/ST on 12th March 2017. Among the queries which were responded to included; i) Unauthorized excess expenditure, ii) Under staffing; and iii) under collection of local revenue.</p> <p>Therefore, compliant.</p>	<p>Yes</p>
<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer</p>	<p>xxxxxx</p>	<p>Unqualified audit opinion for FY 2016/17 as per Auditor General Report of December 2017. Therefore, compliant.</p>	<p>Yes</p>



LGPA 2017/18

Crosscutting Performance Measures

Kumi District

(Vote Code: 529)

Score 68/100 (68%)

No.	Performance Measure	Scoring Guide	Score	Justification
Assessment area: Planning, budgeting and execution				
1	<p>All new infrastructure projects in: (i) a municipality; and (ii) all Town Councils in a District are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<p>Evidence that a municipality/district has: • A functional Physical Planning Committee in place that considers new investments on time: score 2.</p>	0	<p>There is a functional Physical Planning Committee, and it has been holding regular meetings. Furthermore, there are two registration books (one for building plans and the other for Land lease).</p> <p>However, it was not possible to ascertain whether the Physical Planning Committee considers new investments on time (i.e. within 28 days). This is because in the Registration Book, there are no columns for the 'Date of Submission of Plan' and 'Date of Approval of Plan'</p>
		<p>• All new infrastructure investments have approved plans which are consistent with the Physical Plans: score 2.</p>	0	<p>There is no Physical Development Plan for the whole district. Therefore, the consistency of the plans of all new infrastructure investments with the Physical Development Plans could not be ascertained as some investments are outside areas that have Physical Development Plans.</p> <p>However, there are Local Physical Development Plans for the trading centres of Kumi, Nyero, Kanyum, Mukongoro, Atatur, Ongino, Chek Chek, and Kapolin.</p>

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

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

2

The priorities in the Annual Work Plan (AWP) for FY 2017/2018 are based on the outcomes of the Kumi DLG Budget Conference held during the 6th – 7th November 2017. For example, the projects under:

- Water in the Kumi District Local Government Work Plans and Budget Estimates for FY 2017/2018 - Section C: Detailed Estimates of Expenditure (Pages 27 - 29).
- Health in the Kumi District Local Government Work Plans and Budget Estimates for FY 2017/2018 - Section C: Detailed Estimates of Expenditure (Pages 15 - 18).
- Education in the Kumi District Local Government Work Plans and Budget Estimates for FY 2017/2018 - Section C: Detailed Estimates of Expenditure (Pages 19 - 23).

• 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 different, justification has to be provided and evidence that it was approved by Council. Score 2.

2

The capital investments in the Approved Annual Work Plan for 2017/2018 were derived from the approved Five-Year Development Plan (2015/2016 – 2019/2020). Refer to Kumi DLG – Five-Year Development Plan 2015/2016 – 2019/2020: Volume Two [Costed Investment Plan]].

• Project profiles have been developed and discussed by TPC for all investments in the AWP as per LG Planning guideline: score 1.

1

Project profiles were developed and discussed by the District Technical Planning Committee for all investments in the AWP as per LG Development Planning Guidelines (refer to Kumi DLG – Five-Year Development Plan 2015/2016 – 2019/2020: Volume Two [Costed Investment Plan]].

3	<p>Annual statistical abstract developed and applied</p> <p>Maximum 1 point on this performance measure</p>	<ul style="list-style-type: none"> Annual statistical abstract, with gender disaggregated data has been compiled and presented to the TPC to support budget allocation and decision-making- maximum 1 point. 	1	<p>The Annual statistical abstract for FY 2016/2017 is in place. Minutes of DTPC where wider issues relating to Statistics were presented – Min. 7/07/2017 (Meeting held on 10th July 2017); and Min. 8/08/2016 (meeting held on 8/08/2016).</p>
4	<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that all infrastructure projects implemented by the LG in the previous FY were derived from the annual work plan and budget approved by the LG Council: score 2 	2	<p>The infrastructure projects implemented during FY 2016/2017 (as given in the Quarter Four Performance Progress Report for FY 2016/2017) were derived from the respective AWP and Budget. For instance, under:</p> <ul style="list-style-type: none"> Water, the projects implemented (on Page 102 of the Quarter Four Performance Progress Report 2016/2017) were derived from the Work Plans and Budget Estimates FY 2016/2017 (Pages 110 - 112). Education, the projects implemented (Pages 92 - 94 of the Quarter Four Performance Progress Report 2016/2017) were derived from the Work Plans and Budget Estimates FY 2016/2017 (Pages 100 - 101).
		<ul style="list-style-type: none"> Evidence that the investment projects implemented in the previous FY were completed as per work plan by end for FY. <ul style="list-style-type: none"> o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	4	<p>All investment projects implemented (at district-level) in FY 2016/2017 were completed as per work plan by end of FY 2016/2017.</p>

5	The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects and assets during the previous FY	<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 	2	Fifty-three (53) investment projects implemented during FY 2016/2017. All these projects were completed within approved budget of UGX 738,057,082. The overall expenditure was UGX 716,449,699. This is 97.1% of the approved budget.
	Maximum 4 points on this Performance Measure.	<ul style="list-style-type: none"> Evidence that the LG has budgeted and spent at least 80% of O&M budget for infrastructure in the previous FY: score 2 	2	<p>The total budget for O&M (for all departments) for FY 2016/2017 was UGX 147,340,000, while the actual expenditure was UGX 250,743,000.</p> <p>This was 170.2% of the budget for O&M (Fourth Quarter Performance Progress Report for FY 2016/2017 (Cumulative Department Work Plan Performance - Pages 68 - 115).</p>

Assessment area: Human Resource Management

6	LG has substantively recruited and appraised all Heads of Departments	<ul style="list-style-type: none"> Evidence that HoDs have been appraised as per guidelines issued by MoPS during the previous FY: score 2 	2	<ul style="list-style-type: none"> The heads of department were appraised and reports were presented in a temporary file from CAOs office
	Maximum 5 points on this Performance Measure.	<ul style="list-style-type: none"> Evidence that the LG has filled all HoDs positions substantively: score 3 	0	<ul style="list-style-type: none"> The district has only four substantive heads of department. I.e. DCAO, DCDO, CFO, PLANNER Staff structure ref: CR 151 /1. MINUTE NO. 32/KDC/5/2017

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

Maximum 4 points on this Performance Measure

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

2

- Minutes of the 2nd meeting of Kumi District service commission held on 10th , 11, 12th, 17th, 18th 19th January 2016

- Minutes of the 3rd meeting of Kumi DSC held on 14th , 15th, 16th, 19th, 20 21st December 2016

- Minute proceedings of the 3rd meeting of Kumi DSC held on 6th and 7th march 2017

- Minute proceedings of 4th meeting of Kumi DSC held on 31st march 2017

- Minute proceedings of the 5th meeting of Kumi DSC held on 11th 12th 13th April 2017

- Minute proceedings of the 6th meeting of Kumi district service commission 16th may 2017

The staff submitted for recruitment were considered.

<ul style="list-style-type: none"> • Evidence that 100 percent of staff submitted for confirmation have been considered: score 1 	<p>1</p>	<ul style="list-style-type: none"> • Minutes of 1st meeting of kumi DSC held on 5th January 2016. • Minutes of the 2nd meeting of Kumi District service commission held on 10th , 11, 12th, 17th, 18th 19th January 2016 • Minutes of the 3rd meeting of Kumi DSC held on 14th , 15th, 16th, 19th, 20 21st December 2016 • Minute proceedings of the 3rd meeting of Kumi DSC held on 6th and 7th march 2017 • Minute proceedings of 4th meeting of Kumi DSC held oon 31st march 2017 • Minute proceedings 8th meeting of Kumi district service commission held on 22nd June 2017 <p>The staff submitted for confirmation were considered</p>
<ul style="list-style-type: none"> • Evidence that 100 percent of staff submitted for disciplinary actions have been considered: score 1 	<p>1</p>	<ul style="list-style-type: none"> • Minutes of the 2nd meeting of Kumi District service commission held on 10th , 11, 12th, 17th, 18th 19th January 2016 • Minutes of the 3rd meeting of Kumi DSC held on 14th , 15th, 16th, 19th, 20 21st December 2016 • Minute proceedings of the 6th meeting of Kumi district service commission 16th may 2017 • Minute proceedings 8th meeting of Kumi district service commission held on 22nd June 2017 <p>The disciplinary actions were considered</p>

8	<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment: score 3 	3	<ul style="list-style-type: none"> • The recruited staff accessed the pay roll those recruited in May 2017 were on pay roll for July 2017
		<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 	0	<p>The staff retiring 2016/17, have not accessed the pension payroll because of delays from MOPS. These were cross checked with the pension pay roll</p>
Assessment area: Revenue Mobilization				
9	<p>The LG has increased LG own source revenues in the last financial year compared to the one before the previous financial year (last FY year but one)</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • If increase in OSR from previous FY but one to previous FY is more than 10% : score 4 points • If the increase is from 5 -10% : score 2 point • If the increase is less than 5% : score 0 points. 	4	<p>Own Source Revenue collection in FY 2015/16 was UGX 242,823,693 which increased to UGX 332,704,322 in FY 2016/17. The increase was UGX 89,880,629 which is equivalent to 37%. This is more than 10% hence maximum score of 4.</p>
10	<p>LG has collected local revenues as per budget (collection ratio)</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realisation) is within +/- 10% : then 2 points. If more than +/- 10% : zero points. 	0	<p>Own Source Revenue was budgeted at UGX 442,874,000 in the FY 2016/17 and the actual collection was UGX 332,704,322. This translates into negative variance of UGX 110,169,678 equivalent to -24.9%. This is more than -10% hence, zero score.</p>

11	Local revenue administration, allocation and transparency Maximum 4 points on this performance measure	<ul style="list-style-type: none"> Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2 	0	<ul style="list-style-type: none"> While Kumi District received local revenue (Local Service Tax from MoFPED) totalling UGX 55,633,910 in the FY 2016/17, there was no evidence that 65% was remitted to LLGs. This is contrary to Section 85 (4) of the Local Governments Act, CAP 243, and Regulation 39(2) of the Local Governments (Financial and Accounting Regulations) 2007. <p>Therefore, zero score.</p>
		<ul style="list-style-type: none"> Evidence that the LG is not using more than 20% of OSR on council activities: score 2 	2	<ul style="list-style-type: none"> UGX 33,551,000 was spent on council activities in FY 2016/17 which is less than 20% of actual local revenue of FY 2015/16 (UGX 48,564,739). Total local revenue in FY 2015/16 was ugx 242,823,693 with 20% being UGX 48,564,739. First Schedule of the Local Governments Act, CAP 243, requires that expenditure on council activities should not be more than 20% of the total local revenue collection of the previous financial year. <p>Therefore, maximum score of 2 points.</p>

Assessment area: 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 	2	<ul style="list-style-type: none"> Positions of Senior Procurement officer (confirmation letter dated 6th Nov 2017) and Procurement are present.
		<ul style="list-style-type: none"> Evidence that the TEC produced and submitted reports to the Contracts Committee for the previous FY: score 1 	1	<ul style="list-style-type: none"> TEC minutes are presented in the works project files of the subsequent project and bids and Contracts committee reports (19 No) are also presented

		<ul style="list-style-type: none"> • Committee considered recommendations of the TEC and provide justifications for any deviations from those recommendations: score 1 	1	<ul style="list-style-type: none"> • Minutes are present and there is a deviation where service providers to markets were requested to reduce the price of contracted to them and already signed by the CAO. This was working against other bidders and the TORs. This was disagreed. Dated 7th Nov 2017. • Another deviation was when C.C learnt that a contract by the names MAA was contracted to drill boreholes but unfortunately one borehole failed to take off. The proposal is to directly source a contractor to drill the borehole in Komolo village since the money was not paid to MAA. C.C approved sourcing a contractor directly but also invited KLR to quote as well. If it rejected because of small money then other local companies could also be contracted. Dated 25th Jan 2017
13	<p>The LG has a comprehensive Procurement and Disposal Plan covering infrastructure activities in the approved AWP and is followed.</p> <p>Maximum 2 points on this performance measure.</p>	<ul style="list-style-type: none"> • a) Evidence that the procurement and Disposal Plan for the current year covers all infrastructure projects in the approved annual work plan and budget and b) evidence that the LG has made procurements in previous FY as per plan (adherence to the procurement plan) for the previous FY: score 2 	0	<ul style="list-style-type: none"> • AWP 2017/18 is not presented. • Procurement plan for current FY is still in draft form and includes 7 works projects that have passed the bidding process. • More projects are yet to be included in the near future because the bidding notice has just been uploaded on the notices board dated 8th Jan 2018.

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

Maximum 6 points on this performance measure

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

0

- Advert newspapers presented for the current year bidding was dated 13th Oct 2017 beyond the 30th Aug.

- Invitation of bids for provision of works projects was on the bid Notice board on 8th Jan 2018 far beyond the required 30th August.

- Some works projects advertised in the 13th Oct 2017 bid were still not fully signed by all the parties by 31st Jan 2018 including Renovation of Atatur Hospital Phase III Kumi529/wrks/17-18/00016, siting drilling and construction of 5 boreholes in selected sites of Kumi Kumi529/wrks/17-18/00015, construction of 2 classroom block at Kachaboi P/S Kumi529/wrks/17-18/00013, construction of 2 classroom block at Okemer P/S Kumi529/wrks/17-18/00012.

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

2

- The Contracts register is fully updated plus the current FY projects that are on-going are also included in the current contracts register.

		<ul style="list-style-type: none"> For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects): score 2. 	<p>LG follows the procurement thresholds see below:-</p> <ul style="list-style-type: none"> Rehabilitation of Kanyum-Atatur Malema road Kumi529/wrks/16-17/00006 contract value 472,852,627 (open bidding) Construction of 3 slaughter slabs Kumi, Mukongoro and Kanyum sub counties Kumi529/wrks/16-17/00017 contract value 23,959,782 (selective bidding) Construction of 2 stance lined pit latrine at Olupe cattle market Kumi529/wrks/16-17/00022, contract value 12,415,300 (selective bidding) Construction of 3 spring wells lot 1 Kumi529/wrks/16-17/00020, contract value 14,130,423 (selective bidding) Construction of 2 classroom block at Okemer P/S Kumi529/wrks/17-18/00012, contract value 74,863,837 (open bidding)
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 	<ul style="list-style-type: none"> Interim certificates presented in terms of payment certificate records of projects examples are construction of a 2 in 1 teachers house, kitchen and 2 stance VIP dated 02 Jan 2017, fencing of Kumi administration block phase II 30th May 2017, low cost seal of Kanyum-Atatur Malera rd dated 12 Dec 2016, 14th June 2017 Completion certificates presented example is the construction of a 2 in 1 teachers house, kitchen and 2 stance VIP dated 26th May 2017 Fencing of the Kumi district administration offices dated 26th May 2017 • low cost seal of Kanyum-Atatur Malera rd dated 19th June 2017

		<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 	0	<ul style="list-style-type: none"> No site boards available for this current year.
Assessment area: 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 	4	<ul style="list-style-type: none"> There is evidence of bank reconciliations up to 31st December 2017 for all departments. All reconciliations are properly reviewed and approved in line with Regulation 73 (2) of LGFARs 2007. <p>Therefore a maximum score of 4 points.</p>
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. 	2	<p>There are no overdue bills, the UGX 10 million outstanding commitments as at the end of June 2017 were retentions on construction and all cleared after the 6 months mandatory period.</p> <p>Therefore, a score of 2.</p>

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

Maximum 6 points on this performance measure.

- Evidence that the LG has a substantive Senior Internal Auditor and produced all quarterly internal audit reports for the previous FY: score 3.

3

- Kumi District has a substantively appointed Principal Internal Auditor effective 2005 all quarterly internal audit reports for FY 2016/17 were produced. Therefore a maximum score of 3 points.

- The reports were produced as follows;

i. 4th Quarter – date 17th August 2017, submitted to PS/ST on 11th September 2017

ii. 3rd Quarter – dated 5th May 2017, date of submission not indicated

iii. 2nd Quarter – dated 27th February 2017, date of submission not indicated

iv. 1st Quarter – dated 19th December 2016, date of submission not indicated

Therefore, a score of 3.

- 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: score 2.

0

There is no evidence that the LG provided information to council and LG PAC on the status of implementation of internal audit findings for FY 2016/17 as these issues were not indicated in the minutes of business discussed during the Finance, Planning, Management, and Administration Committee meetings held on 24th November 2016 and 22nd April 2017. The same were not discussed in any of the District Executive Committee meetings.

Therefore, zero score

		<ul style="list-style-type: none"> • Evidence that internal audit reports for the previous FY were submitted to LG Accounting Officer, LG PAC and LG PAC has reviewed them and followed-up: score 1 	<p>i. There is evidence that internal audit reports were submitted to CAO and LG PAC as follows;</p> <ul style="list-style-type: none"> • 4th Quarter – date 17th August 2017, was delivered to CAO and LG PAC on 11th September 2017 • 3rd Quarter – dated 5th May 2017, was delivered to CAO and LG PAC on 8th May 2017 • 2nd Quarter – dated 27th February 2017, was delivered to CAO and LG PAC on 20th March 2017 • 1st Quarter – dated 19th December 2016, was delivered to CAO and LG PAC on 21st December 2016 <p>ii. There is also evidence that the LG PAC reviewed all internal audit reports for FY 2016/17 through their quarterly reports as follows;</p> <ul style="list-style-type: none"> • 1st Quarter was reviewed on 23rd November 2016 • 2nd Quarter was reviewed on 10th January 2017 • 3rd Quarter was reviewed on 10th April 2017 • 4th Quarter was reviewed on 10th July 2017 <p>Therefore, score 1.</p>
19	<p>The LG maintains a detailed and updated assets register</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG maintains an up-dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual: score 4 	<ul style="list-style-type: none"> • There is an up to date assets register and maintained as per LGAM 2007 format; i) Land and Buildings; ii) Motor vehicles and heavy plant; and iii) Other Assets - General. • The latest transaction was 29th December 2017. <p>Therefore, a score of 4.</p>

20	<p>The LG has obtained an unqualified or qualified Audit opinion</p> <p>Maximum 4 points on this performance measure</p>	<p>Quality of Annual financial statement from previous FY:</p> <ul style="list-style-type: none"> • unqualified audit opinion: score 4 • Qualified: score 2 • Adverse/disclaimer: score 0 	4	<p>Unqualified audit opinion for FY 2016/17 as per Auditor General Report of December 2017. Therefore, score of 4.</p>
Assessment area: Governance, oversight, transparency and accountability				
21	<p>The LG Council meets and discusses service delivery related issues</p> <p>Maximum 2 points on this performance measure</p>	<p>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>	2	<p>Kumi District Council met and discussed service delivery related issues as follows:</p> <ul style="list-style-type: none"> • MIN. 36/KDC/6/2017 & MIN. 37/KDC/6/2017 (Minutes of District Council meeting held 30th June 2017). • MIN. 31/KDC/5/2017 (Minutes of District Council meeting held 19th May 2017). • MIN. 27/KDC/03/2017 (Minutes of District Council meeting held 30th March 2017). • MIN. 23/KDC/12/2016 (Minutes of District Council meeting held 21st December 2016). • MIN. 15/KDC/07/2016 (Minutes of District Council meeting held 21st July 2016).
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 feedback (grievance /complaints) and responded to feedback and complaints: score 2. 	0	<p>There is no person designated to coordinate response to feedback (grievance / complaints).</p> <p>Nonetheless, complaints have usually been taken to the District Chairperson, Resident District Commissioner, and Chief Administrative Officer.</p>

23	The LG shares information with citizens (Transparency)	Evidence that the LG has published: • The LG Payroll and Pensioner Schedule on public notice boards and other means: score 2	0	Information received from the Principal Personnel Officer (PPO) was that the LG Payroll and Pensioner Schedule were last displayed on the public notice boards in September 2017.
	Total maximum 4 points on this Performance Measure	• Evidence that the procurement plan and awarded contracts and amounts are published: score 1	1	Information on the awarded contracts was displayed on the public notice board in the Administration Block (Block A) at Kumi District Headquarters.
		• 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.	0	Not Applicable. The Central Government did not conduct the Annual Performance Assessment for LGs in 2016/2017. Notably, however, Kumi District has an operational website (www.kumi.go.ug). This has been used to publish information for use by stakeholders. Notice Boards have also been utilised to disseminate information.
24	The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens	• Evidence that the HLG have communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY: score 1	1	The district has been communicating and explaining to LLGs guidelines, circulars and policies issued by the national level. For example: • Invitation from CAO to Sub-County Chiefs for a 'Meeting with the Ministry Officials to Guide on Customisation of Civil Service Structure' – dated 14th September 2016 (CR151/1). • Forwarding by CAO to Sub-county Chiefs of the 'Scheme of Service for the Procurement Cadre in the Uganda Public Service' – dated 14th November 2016.
	Maximum 2 points on this performance measure	• Evidence that LG during previous FY has 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.	1	The district has been working in partnership with the Teso Anti-Coalition (TAC). Community meetings have been held where district officials have been called upon to provide the required information / feedback on implementation of activities.
Assessment area: 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 has provided guidance and support to sector departments to mainstream gender into their activities score 2. 	2	<p>Guidance is present in the Gender sector including among others the following</p> <ul style="list-style-type: none"> • Report on capacity building for women councils and PWD presented dated 23rd June 2016 • Report on capacity building integration of crosscutting issues for gender, environment and HIV and AIDS presented dated 27th June 2016 • Minutes of women councils dated 7th March 2016, 30th May 2016 • Reports on UWEP presented 19th June 2016, 26th June 2016, 10th April 2017, and 30th Jan 2017.
		<ul style="list-style-type: none"> • Evidence that gender focal point has planned activities for current FY to strengthen women's roles and that more than 90% of previous year's budget for gender activities has been implemented: score 2. 	0	<ul style="list-style-type: none"> • No current activities for current year presented • Only activities of UWEP have been presented • Budget expenditures for previous years focus on only UWEP activities
26	<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that environmental screening or EIA where appropriate, are carried out for activities, projects and plans and mitigation measures are planned and budgeted for: score 2 	0	<ul style="list-style-type: none"> • No EIA reports presented • No EMP reports for projects presented • No screening reports for projects presented • The available EIA brief short reports presented are for schools • Review report for EIS for ATC Uganda base transceiver station dated 31st March 2017 • Review report for EIS for shine energy petrol station in Boma ward dated 4th Aug 2017 • Environmental compliance and monitoring reports /certificates are for only road works and taken from UNRA works and dated 2012/2013

	<ul style="list-style-type: none"> • Evidence that the LG integrates environmental and social management plans in the contract bid documents: score 1 	1	<ul style="list-style-type: none"> • The presented works and infrastructure projects all integrated ESMP involving tree planting, and environmental restoration present in the BOQs of bids.
	<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 	1	<ul style="list-style-type: none"> • Land agreements were presented from the water department. These included a village form for water source application, letter of consent and memorandum of understanding. Dated 21st Oct 2016, 24 Nov 2017, 13 June 2017, 28th Sept 2017
	<ul style="list-style-type: none"> • Evidence that all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer: score 2 	0	<ul style="list-style-type: none"> • No completed Environmental Certificate form were presented



LGPA 2017/18

Educational Performance Measures

Kumi District

(Vote Code: 529)

Score 30/100 (30%)

No.	Performance Measure	Scoring Guide	Score	Justification
Assessment area: Human Resource Management				
1	<p>The LG education department has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has budgeted for a Head Teacher and minimum of 7 teachers per school (or minimum a teacher per class for schools with less than P.7) for the current FY: score 4 	0	<p>According to the LG Performance Contract 2017/2018, the district has a wage provision of 4,877,942,000/= for Primary Teachers which caters for all teachers including those that are due to be recruited on replacement i.e. Head Teacher (1) Deputy Head Teacher (1), Senior Education Assistant (2)</p> <p>Even after the recruitment, 18 schools will still not have substantive Head Teachers in 2017/2018.</p>
		<ul style="list-style-type: none"> Evidence that the LG has deployed a Head Teacher and minimum of 7 teachers per school for the current FY: score 4 	0	<p>From OBT 2017/2018 and school assessment data found in the Department, the LG has deployed at least 7 teachers per school except for 1 school i.e. Omateng P/S,</p> <p>Also, 19 schools do not have a substantive Head Teacher. This gap will be reduced to 18 when one Head Teacher is recruited on replacement.</p>
2	<p>LG has substantively recruited all primary school teachers where there is a wage bill provision</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has filled the structure for primary teachers with a wage bill provision o If 100% score 6 o If 80 - 99% score 3 o If below 80% score 0 	6	<p>From HR, the ceiling for teachers within the wage bill provision is 764 teachers and there are 764 teachers on the payroll. This translates to 100%</p>

3	<p>LG has substantively recruited all positions of school inspectors as per staff structure, where there is a wage bill provision.</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has substantively filled all positions of school inspectors as per staff structure, where there is a wage bill provision: score 6 	0	<p>The approved structure of the LG (titled Customised staff establishment for Kumi District Local Government dated 14th June 2017) has 2 positions of school inspector. The position of Senior Inspector of Schools is not filled but has been advertised. The position of inspector of schools (1) is filled</p> <p>Meanwhile the internal advert dated 27th December indicates that an extra inspector of schools is due to be recruited</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 Primary Teachers: score 2</p>	2	<p>According to the OBT 2017/2018, the LG Education Department made an input into the recruitment plan of the district. The plan presents the intention to recruit teachers.</p> <p>In the internal advert of the district dated 27th December 2017, the LG advertised positions of Head Teacher (1) Deputy Head Teacher (1), Senior Education Assistant (2)</p>
		<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of School Inspectors: score 2</p>	2	<p>According to the OBT 2017/2018, the LG Education Department made an input into the recruitment plan of the district. The plan presents the intention to recruit school inspectors.</p> <p>In the internal advert of the district dated 27th December 2017, the LG advertised positions of Senior Inspector of Schools (1) and Inspector of Schools (1)</p>

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 appraised school inspectors during the previous FY • 100% school inspectors: score 3</p>	3	<ul style="list-style-type: none"> • Has one inspector of schools. Was appraised. File no CR11319.
		<p>Evidence that the LG Education department appraised head teachers during the previous FY. • 90% - 100%: score 3 • 70% - 89%: score 2 • Below 70%: score 0</p>	0	<ul style="list-style-type: none"> • 19 out the 74 primary school head teachers appraisal reports were seen the others were not presented.

Assessment area: Monitoring and Inspection

6	<p>The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools</p> <p>Maximum 3 for this performance measure</p>	<p>• Evidence that the LG Education department has communicated all</p>		<p>The evidence that the LG had communicated all guidelines, policies and circulars issued by the national level in 2016/2017 to schools could not be ascertained.</p> <p>Meanwhile, the circulars presented at assessment were as follows;</p> <ul style="list-style-type: none"> • Mass registration of learners in all Primary, Secondary and Post Primary institutions in Uganda from 29th May 2017 dated 25th April 2017 from MOES; • Primary Schools National Kids Athletics and SNE Championships from 8th-17th May 2017 at Rock View Primary School, Tororo Municipality dated 10th April 2017 from MOES; • Updated lists of educational schools/institutions dated 10th March 2017 from MOES; • Comprehensive Education and Sports Data Collection Exercise dated 10th March 2017 from MOES; • Registration Guidelines of candidates for PLE 2017 dated 1st March 2017 from MOES;
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<p>guidelines, policies, circulars issued by the national level in the previous FY to schools: score 1</p>	<p>0</p>	<ul style="list-style-type: none"> • Primary Teachers recruitment exercise 2016/2017 dated 29th September 2016 • Press Statement /2017; Closure of Private Schools without valid licence and registration certificates <p>The circulars found at 2/3 schools visited were;</p> <p>Ngero P/S</p> <ul style="list-style-type: none"> • National registration of learners in all schools and institutions aged 5 years and above dated 13th October 2017 from Ministry of Local Government; • Study on enrolment and parental attitudes and knowledge about pre-primary education dated 11th July 2016; <p>Moru Ikara P/S</p> <ul style="list-style-type: none"> • Registration Guidelines of candidates for PLE 2017 dated 1st March 2017 from MOES; <p>The Head Teacher of Auruku Ominai P/S could not trace any circular from the national level</p>
<ul style="list-style-type: none"> • Evidence that the LG Education department has held meetings with primary school head teachers and among others explained and sensitised on the guidelines, policies, circulars issued by the national level, including on school feeding: score 2 	<p>2</p>	<p>The minutes of the Head Teachers meetings seen are dated; 30th March 2017, 28th April 2017 and 8th June 2017.</p> <p>The meeting of 28th April 2017 discussed E-registration of candidates for 2017 (drawn from the circular on Registration Guidelines of candidates for PLE 2017)</p> <p>The meeting of 8th June 2017 discussed Mass registration of Learners</p>

7	<p>The LG Education Department has effectively inspected all private and public primary schools</p> <p>Maximum 12 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that all private and public primary schools have been inspected at least once per term and reports produced: <ul style="list-style-type: none"> o 100% - score 12 o 90 to 99% - score 10 o 80 to 89% - score 8 o 70 to 79% - score 6 o 60 to 69% - score 3 o 50 to 59% score 1 o Below 50% score 0. 	6	<p>Inspection was undertaken and reports were produced;</p> <p>In the 4th Quarter, for 2016/2017, inspection was done and a report dated 28th July 2016 was produced. 64 schools were visited;</p> <p>For the 3rd Quarter, the inspection report was dated 14th June. 50 schools were visited;</p> <p>For the 2nd Quarter, the inspection report is dated 21st October 2016. 75 schools were visited;</p> <p>For the 1st Quarter, the inspection report is dated 17th November 2016, 70 schools were visited.</p> <p>This translates into 79% (this is drawn from a whole of 75 Government Schools (OBT 2017/2018) and 7 Private Schools (EMIS)</p> <p>NB* There are more private schools but the LG dealt with only those that are registered</p>
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 Education department has discussed school inspection reports and used reports to make recommendations for corrective actions during the previous FY: score 4 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 	0	<p>There were no minutes to indicate that the Department had held meetings to discuss school inspection reports</p> <p>The Directorate of Education Standards (DES) requires each LG to submit 4 Quarterly inspection reports each FY.</p> <p>Kumi DLG submitted the 3rd Quarter report 2016 to DES on 28th June 2017 and the 1st and 2nd Quarter reports on 14th March 2017.</p> <p>Evidence of submission of the 4th Quarter report was not seen</p>

		<ul style="list-style-type: none"> • Evidence that the inspection recommendations are followed-up: score 4 	0	At the time of assessment, evidence on follow up of inspection recommendations for the period 2016/2017 was not provided
9	<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has submitted accurate/consistent data: o List of schools which are consistent with both EMIS reports and OBT: score 5 	0	<p>The list of schools in the LG Education Department is inconsistent with EMIS and OBT.</p> <p>The list of schools in the Department titled; An update on the number of schools and learners in the district dated 29/8/2017 lists 76 Government schools in Kumi. EMIS also lists 76 Government schools in the district. However OBT lists 75 schools.</p> <p>Then, the list of schools in the Department lists 75 Private schools while EMIS data lists only 7 Private schools</p>

		<p>Evidence that the LG has submitted accurate/consistent data: • Enrolment data for all schools which is consistent with EMIS report and OBT: score 5</p>	0	<p>The enrolment data in the Department has minimal discrepancies with EMIS and OBT enrolment data for some of the schools;</p> <p>For instance, the enrolment data in the Department presents 459 pupils for Akalabai P/S. EMIS also presents 459 for the same school but OBT presents 497 pupils for that school</p> <p>Akulony P/S has 1107 pupils as per the list in the Department. For the same school, EMIS also presents 1107 for the same school. However OBT presents 1085 pupils for this school</p> <p>On the list from the Department, Kalangar P/S has 525 pupils which is similar to the figure presented under EMIS. Meanwhile under OBT, the enrolment data for this school is 531</p> <p>However, some schools such as Ariet and Atutur have consistent enrolment data for the three data sources. Ariet has 588 pupils on the three data sources while Atutur has 1035 pupils on the 3 data sources</p>
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Assessment area: Governance, oversight, transparency and accountability

10	<p>The LG committee responsible for education met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<p>• 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>	0	<p>One copy of the Minutes of the Social Services Committee meeting held on 25th November 2016 was presented to the Assessor. Under MIN. 4/KDC/SS/11/2016), the committee discussed service delivery issues.</p> <p>HOWEVER, the minutes did not bear the signature of the Chairperson of the Committee, much as the Secretary had signed.</p>
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		<ul style="list-style-type: none"> Evidence that the education sector committee has presented issues that requires approval to Council: score 2 	0	The Clerk to Council presented one copy of 'Social Services Committee Recommendations to Council on 19th May 2017'. The copy did not bear any signature of the Committee Chairperson or any other member of the committee.
11	<p>Primary schools in a LG have functional SMCs</p> <p>Maximum 5 for this performance measure</p>	<p>Evidence that all primary schools have functional SMCs (established, meetings held, discussions of budget and resource issues and submission of reports to DEO) • 100% schools: score 5 • 80 to 99% schools: score 3 • Below 80% schools: score 0</p>	0	There were no files containing minutes of School Management Committees (SMCs) in the office of the DEO, therefore the functionality of the SMCs. could not be ascertained.
12	<p>The LG has publicised all schools receiving non-wage recurrent grants</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has publicised all schools receiving non-wage recurrent grants e.g. through posting on public notice boards: score 3 	3	<p>At the time of assessment, the LG had posted IPFs for 2017/2018 for all schools receiving non-wage recurrent grants on the district notice board.</p> <p>Also, the 3 schools that were visited i.e. Moru Ikara P/S, Auruku Ominai and Ngero P/S, had posted the non-wage recurrent grants in the Head Teachers Office</p>
Assessment area: Procurement and contract management				

13	<p>The LG Education department has submitted procurement requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has submitted procurement requests to PDU that cover all investment items in the approved Sector annual work plan and budget on time by April 30: score 4 	0	<p>The Education Department made late submissions to PDU as follows;</p> <ul style="list-style-type: none"> • Construction of 2 Classroom block in Okemer P/S at 75,000,000/= submitted to PDU on 14/8/2017 • Construction of a 2 in 1 Teacher House in Atutur P/S at 107,000,000/= submitted to PDU on 14/8/2017 • Construction of a 2 Classroom block in Kachabai P/S at 75,000,000/= submitted to PDU on 14/8/2017 • Construction of a 3 stance lined pit latrine at Oladot P/S at 13,000,000/= submitted to PDU on 14/8/2017 • Construction of a 5 stance lined pit latrine at Omatenga P/S at 20,000,000/= submitted to PDU on 14/8/2017
14	<p>The LG Education department has certified and initiated payment for supplies on time</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education departments timely (as per 		<p>There are no delays in certification, recommendation, and payment of suppliers in the education sector for example, some of the major contracts in the sector during the year were handled as follows;</p> <ol style="list-style-type: none"> Name of Contractor – Alfao General Enterprises Ltd Nature of Contract – Construction of 5 stance pit latrine at Akide Primary School Award date – 22nd February 2017 Contract amount – UGX 19,255,736 Contract signed – 9th March 2017 Payment request – 30th May 2017 Certificate – 16th June 2017 Payment approval – 21st June

		<p>contract) certified and recommended suppliers for payment: score 3 points</p>	3	<p>2017</p> <p>h. Payment date – 22nd June 2017</p> <p>ii. Name of Contractor – Simpio Tech (U) Ltd</p> <p>a. Nature of Contract – Construction of 2 in 1 Teachers’ House at Kajamaka Dam Primary School</p> <p>b. Award date – 5th August 2016</p> <p>c. Contract amount – UGX 108,854,823</p> <p>d. Contract date – 26th October 2016</p> <p>e. Payment request – 28th December 2016</p> <p>f. Certificate – 3rd January 2017</p> <p>g. Payment approval – 3rd January 2017</p> <p>h. Payment date – 1st February 2017</p> <p>Therefore, score 3.</p>
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Assessment area: Financial management and reporting

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 mid-July for consolidation: score 4 	0	<p>The Education Department submitted OBT Baby Files of the Annual Performance Report for 2016/2017 (as well as all four quarterly reports) to the Planner.</p> <p>However, given that there has not been any recording schedule for submission, it could not be established whether the submission was done by mid-July 2017.</p>
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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 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 points o If all queries are not responded to score 0 	2	<ul style="list-style-type: none"> 2nd Quarter 2016/17 internal audit report raised a query concerning shoddy work during construction of Ongino Primary School by Agaya Investment Limited. The issues were that the structure developed many defects like; i) timber used for roofing was decaying as a result of insects; ii) the plaster work was poorly done; and iii) fixing rain water gutters was incomplete. Therefore, it was recommended that the DEO and District Engineer contact the contractor for corrective measures. The contractor did not respond to requests to put right the issues therefore, using retention money, the defects were put right. This action earned the LG a score of 2 points.
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Assessment area: 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 teacher should provide guidance to girls and boys to handle hygiene, reproductive health, life skills etc...: Score 2 	0	<p>There is no evidence of dissemination of guidelines on how senior women/men teacher should provide guidance to girls and boys to handle hygiene, reproductive health, life skills</p>
		<ul style="list-style-type: none"> Evidence that LG Education department in collaboration with gender department have issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools: score 2 	0	<p>There is no evidence of issue and explanation of guidelines on how to manage sanitation for girls and PWDs in primary schools.</p>

		<ul style="list-style-type: none"> • Evidence that the School Management Committee meet the guideline on gender composition: score 1 	1	<p>The requirement of the gender composition as per the 2nd Schedule of the Education Act 2008 is at least 2 women on the Foundation Body which has a total of 6 people.</p> <p>All the three schools that were visited i.e. Moru Ikara P/S, Auruku Ominai and Ngero P/S had 2 women and 4 men each on the Foundation Body of the SMC which is consistent with the guideline on gender composition for the SMC.</p>
18	<p>LG Education department has ensured that guidelines on environmental management are disseminated</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department in collaboration with Environment department has issued guidelines on environmental management (tree planting, waste management, formation of environmental clubs and environment education etc.): score 3: 	0	<p>There is no evidence of issue of guidelines on environmental management to the schools by the Education Department in collaboration with the Environment Department</p>



LGPA 2017/18

Health Performance Measures

Kumi District

(Vote Code: 529)

Score 52/100 (52%)

No.	Performance Measure	Scoring Guide	Score	Justification
Assessment area: Human resource planning and management				
1	<p>LG has substantively recruited primary health workers with a wage bill provision from PHC wage</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that LG has filled the structure for primary health workers with a wage bill provision from PHC wage for the current FY • More than 80% filled: score 6 points, • 60 – 80% - score 3 • Less than 60% filled: score 0</p>	3	<ul style="list-style-type: none"> • DHO presented an analysis of the present staffing level where by the structure demand staffing norms 369 and have filled 221, gap 148 meaning have achieved 60%
2	<p>The LG Health department has submitted a comprehensive recruitment plan to the HRM department</p> <p>Maximum 4 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 health workers: score 4</p>	4	<ul style="list-style-type: none"> • DHT presented a copy of Kumi district consolidated recruitment plan for year 2017/18 dated 5th May 2017. The plan includes a component of PHC grant wage recruitment plan for the health department that outlines the vacant posts
3	<p>The LG Health department has ensured that performance appraisal for health facility in charge is conducted</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that the health facility in-charge have been appraised during the previous FY: o 100%: score 8 o 70 – 99%: score 4 o Below 70%: score 0</p>	8	<ul style="list-style-type: none"> • The hospital in charge was appraised. Report dated 4/08/2017 (Atutui kumi district hospital. the health center iv was transferred to the municipality)

4	<p>The Local Government Health department has equitably deployed health workers across health facilities and in accordance with the staff lists submitted together with the budget in the current FY.</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Health department has deployed health workers equitably, in line with the lists submitted with the budget for the current FY: score 4 	0	<ul style="list-style-type: none"> • The recruitment processes are currently in progress. The DHO presented a copy of a monitor advert dated 28Th November 2017 for Job vacancies for gaps health workers.
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Assessment area: Monitoring and Supervision

5	<p>The DHO has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to health facilities</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the DHO has communicated all guidelines, policies, circulars issued by the national level in the previous FY to health facilities: score 3 	0	<ul style="list-style-type: none"> • No evidence was provided to this assessment to justify that the district at any one time made an official communication to health facilities regarding issuing of guidelines, policies, circulars.
		<ul style="list-style-type: none"> • Evidence that the DHO has held meetings with health facility in-charges and among others explained the guidelines, policies, circulars issued by the national level: score 3 	0	<ul style="list-style-type: none"> • No evidence was presented to this assessment

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 has supervised 100% of HC IVs and district hospitals: score 3</p>	3	<p>Similarly The DHO presented four reports of support supervision for FY 2016/17 dated 3rd Oct 2016 for quarter 1, Q2 dated 30th Dec 2016 and Q3 3rd April 2017 and Q4 ,3rd July 2017. The 4 reports indicate that Kumi Health Centre 4 was 100% supervised.</p>
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		<p>Evidence that DHT has supervised lower level health facilities within the previous FY: • If 100% supervised: score 3 points • 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>	3	<ul style="list-style-type: none"> The office of health department presented the four reports of support supervision for FY 2016/17 dated 3rd Oct 2016 for quarter 1, Q2 dated 30th Dec 2016 and Q3 3rd April 2017 and Q4 3rd July 2017. The 4 reports indicate that 17 health facilities were fully supervised and additional facilities which report on DHIS2 such as Olimai HC, police and prisons were also supervised
7	<p>The Health Sub-district(s) have effectively provided support supervision to lower level health units</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that health facilities have been supervised by HSD and reports produced: • If 100% supervised score 6 points • 80 - 99% of the health facilities: score 4 • 60 - 79% of the health facilities: score 2 • Less than 60% of the health facilities: score 0</p>	0	<ul style="list-style-type: none"> The District has no HSD level. The HSD which was Kumi HCIV was covered off from Kumi District to create a municipality. The HCIII are not yet upgraded to HCIVs
8	<p>The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up</p> <p>Maximum 10 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the reports have been discussed and used to make recommendations for corrective actions during the previous FY: score 4 Evidence that the recommendations are followed – up and specific activities undertaken for correction: score 6 	4 6	<p>The quarterly report and health facility supervision book at Nyero indicates that the DHT discusses issues of supervision focusing on stock outs at health facilities and made followups in next visits.</p> <ul style="list-style-type: none"> Several recommendation on drug stock outs and HIMS were followed - up and actions were clearly followed up as outlined in the 4 quarterly progress and performance reports for the year 2016/17

9	<p>The LG Health department has submitted accurate/consistent reports/date for health facility lists as per formats provided by MoH</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has submitted accurate/consistent data regarding: <ul style="list-style-type: none"> List of health facilities which are consistent with both HMIS reports and OBT: score 10 	10	<ul style="list-style-type: none"> The DHO presented quarterly performance reports for the period April-June 2017 as one report (July - Sept 2016, Oct-Dec 2016 and Jan-March 2017) and others for other quarters. In the report there are summaries containing outputs of performance indicators per facility. The data for each indicator was found to having been extracted from DHS2 and DHS2 data was extracted from HMSI reports from health facilities and this was consistent in reporting. In addition, HMIS data for deliveries for Atatur Hospital was found to have been accurately extracted from HMS to OBT Data.
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Assessment area: Governance, oversight, transparency and accountability

10	<p>The LG committee responsible for health met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the council 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 	0	<p>One copy of the Minutes of the Social Services Committee meeting held on 25th November 2016 was presented to the Assessor. Under MIN. 4/KDC/SS/11/2016), the committee discussed service delivery issues.</p> <p>HOWEVER, the minutes did not bear the signature of the Chairperson of the Committee, much as the Secretary had signed.</p>
		<ul style="list-style-type: none"> Evidence that the health sector committee has presented issues that require approval to Council: score 2 	0	<p>The Clerk to Council presented one copy of 'Social Services Committee Recommendations to Council on 19th May 2017'. The copy did not bear a signature of the Committee Chairperson or any other member of the committee.</p>
11	<p>The Health Unit Management Committees and Hospital Board are operational/functioning</p> <p>Maximum 5 points</p>	<p>Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):</p> <ul style="list-style-type: none"> If 100% of randomly sampled facilities: score 5 If 80-99% : score 3 If 70-79%: : score 1 If less than 70%: score 0 	3	<ul style="list-style-type: none"> This assessment visited Nyero HCIII which has a Health management committee of 12 members. The committee meets at some occasions but not regularly. It met on 22nd Dec 2017 and among issues discussed included some elements of allocations of PHC and discussions of disbursements.

12	<p>The LG has publicised all health facilities receiving PHC non-wage recurrent grants</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has publicised all health facilities receiving PHC non-wage recurrent grants e.g. through posting on public notice boards: score 3 	0	<ul style="list-style-type: none"> The DHO noticeboard has no display of PHC allocations to all health facilities
Assessment area: Procurement and contract management				
13	<p>The LG Health department has submitted procurement requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the sector has submitted procurement requests 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>Evidence that LG Health department submitted procurement request form (Form PP5) to the PDU by 1st Quarter of the current FY: score 2</p>	0	<p>The DHO presented a procurement plan which was submitted on 25th July 2017 containing only procurement of office supplies</p> <p>The request was presented on the same date 25 July 2017. He explained that this situation came about because of challenges the DHO faced in late disbursement of fund that was meant for procurements in previous year. Procurement fund were disbursed 22nd May 2017 and 28th June 2017.</p>
14	<p>The LG Health department has supported all health facilities to submit health supplies procurement plan to NMS</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG Health department has supported all health facilities to submit health supplies procurement plan to NMS on time: <ul style="list-style-type: none"> 100% - score 8 70-99% – score 4 Below 70% - score 0 	0	<ul style="list-style-type: none"> No evidence presented although DHO said that the activity was conducted twice a year to support facilities to determine the kits. He also noted that there are challenges in budgets that the funds are fixed and allocations cannot be adjusted. The supplies do not match the planned kits. Normally NMS sends less drugs and supplies with missing items not equal to amounts budgeted.
15	<p>The LG Health department has certified and initiated payment for supplies on time</p>			<p>There are no delays in certification, recommendation, and payment of suppliers/contractors in the health sector as confirmed in 3 contracts executed in FY 2016/17 as follows;</p>

Maximum 2 for this performance measure

• Evidence that the DHO (as per contract) certified and recommended suppliers timely for payment: score 2 points

2

i. Name of Contractor – Ms Okude Construction Services Ltd

a. Nature of Contract – Renovation of Atatur Hospital

b. Award date – 1st August 2016

c. Contract date – 28th October 2016

d. Contract amount – UGX 238,276,456

e. Amount requisitioned – UGX 43,499,520

f. Payment request – 29th May 2017

g. Certificate date – 14th June 2017

h. Payment approval – 16th June 2017

i. Payment date – 22nd June 2017

ii. Name of Contractor – Cecilia Electricals Limited

a. Nature of Contract – Repair of Solar Systems – Lot 2

b. Award date – 22nd February 2017

c. Contract date – 9th March 2017

d. Contract amount – UGX 19,457,669

e. Certificate date – 9th May 2017

f. Payment approval – 30th March 2017

g. Payment date – 1st June 2017

iii. Name of Contractor – Quality Solar Enterprises

a. Nature of Contract – Repair of Solar System at DHO and Lower Health Units

b. Award date – 22nd February 2017

c. Contract date – 9th March 2017

d. Contract amount – UGX 22,583,763

e. Payment request – 5th April 2017

f. Certificate date – 19th April 2017

g. Payment approval – 2nd May 2017

				<p>h. Payment date – 31st May 2017</p> <p>Therefore, all works and contracts were recommended for payment and paid within 60 days. This earned the LG 2 points</p>
Assessment area: Financial management and reporting				
16	<p>The LG Health department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 4 	0	<p>The Department submitted OBT Baby Files of the Annual Performance Report for 2016/2017 (as well as all four quarterly reports) to the Planner.</p> <p>However, given that there has not been any recording schedule for submission, it could not be established whether the submission was by mid-July 2017.</p>
17	<p>LG Health department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>			<p>4th Quarter 2016/17 internal audit reports raised a query on unaccounted for funds as follows;</p> <p>i. UGX 66,800,750 under various activities. The following were affected officers, amount unaccounted for, and the accountabilities to resolve the query.</p> <ul style="list-style-type: none"> o Akello Florence – UGX 25,884,000 for follow up Open Defecation Free (ODF) villages – PAYMENT SHEETS DATED 26TH JULY 2017 WERE PRESENTED o Oonyu Moses – UGX 2,110,000 for Supervision – RECEIPT NO. 2323 FOR UGX 1,260,000 FOR FUEL. THE BALANCE OF UGX 900,000 WAS SDA FOR DHO, DHI AND THE DRIVER. o Akiai Alice – UGX 1,470,000 for verification of ODF by Sub-counties – VERIFICATION REPORT WAS PRODUCED FOR ACCOUNTABILITY PURPOSES. o Oonyu M – UGX 1,100,000 for talk shows and jingles – RECEIPT AND REPORT WERE PRODUCED.

Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year • If sector has no audit query score 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

2

o Ongeje James – UGX 1,195,000 for Quarterly review meetings – ATTENDANCE SHEETS AND PAYMENT SHEETS DATED 13TH SEPTEMBER 2017 FOR CASH DRAWN ON 15TH JUNE 2017.

o Oonyu Moses – UGX 2,817,950 for VHT and LLG meetings – ATTENDANCE LISTS AND PAYMENT SHEETS DATED 3RD JULY WERE PRESENTED.

o Oumo G – UGX 1,567,000 for Sub-county debriefing on ODF – ATTENDANCE LISTS AND PAYMENT SHEETS DATED 26TH JULY 2017 WERE PRESENTED

o Oculi Sam – UGX 10,756,800 for correction of defects in phase 1 renovations - RECEIPT NO. 1477 – UGX 6 MILLION FOR DOORS, FRAMES, HINGES, HANDLES AND LOCKS INCLUDING FIXING. MANY OTHER RECEIPTS FOR SMALL EXPENSES ON NOS. 023, 333, 23790, 331, 332, 13233, 5572 TOTALING UGX 2MILLION WHILE BALANCE UGX 2M WAS FOR LABOUR, SUPERVISION, TRANSPORT AND FUEL

ii. Omongot Alex – UGX 21M – procurement of fixtures and fittings phase 1 renovations of Atatur Hospital. The following accountabilities were presented;

o Receipt No. 1476 – UGX 12 million for doors, frames, hinges, handles and locks

o Receipt No. 1399 – UGX 7,050,000 for air conditioner

o Receipt No. 4833 – UGX 750,000 for solator 4mm cable

o Other payment acknowledgements for labour, transport, etc

Therefore, this earned the LG the score of 2.

18	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: score 2 	2	<ul style="list-style-type: none"> • This assessment visited Nyero HCIII. The centre has 12 members of health management committee 5 of which are women and 7 are men
	Maximum 4 points	<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 	0	<ul style="list-style-type: none"> • There was no evidence presented to this assessment
19	The LG Health department has issued guidelines on medical waste management	<ul style="list-style-type: none"> • Evidence that the LGs has issued guidelines on medical waste management, including guidelines for construction of facilities for medical waste disposal : score 2 points. 	2	On May 10th 2017 DHO issued a communication as guideline on health care waste management
	Maximum 2 points			



LGPA 2017/18

Water & Environment Performance Measures

Kumi District

(Vote Code: 529)

Score 66/100 (66%)

No.	Performance Measure	Scoring Guide	Score	Justification
Assessment area: 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 LG Water department has targeted sub-counties with safe water coverage below the district average in the budget for the current FY: score 10 	10	<ul style="list-style-type: none"> According to the Annual work plan and budget for water and sanitation activities for the current financial year 2017/2018, Kumi district local government has average rural safe water coverage of 68.2%. Kumi DLG is comprised of 6 sub counties with rural safe water coverage as seen here under; <ul style="list-style-type: none"> Atatur sub county 71% Nyero sub county 68% Kumi sub county 62% Ongino sub county 75% Mukongoro sub county 69% Kanyum sub county 65% The OBT vote 529 highlights drilling and construction of 5 boreholes in four sub counties three of which having safe water coverage below district average as Kanyum, Kumi, and Nyero plus Mukongoro which is slightly above district average by 1%. This shows that Kumi DLG, Water and sanitation department planned to increase water facilities in sub counties with safe water access below district average.
2	<p>The LG Water department has implemented budgeted water projects in the targeted sub-counties (i.e. sub-</p>			<ul style="list-style-type: none"> 4th Quarter progress report for water and sanitation conditional grant for the previous financial year 2016/2017 dated 31/7/2017 highlights implementation of water projects in sub counties

counties with safe water coverage below the district average)

Maximum 15 points for this performance measure

• Evidence that the LG Water department has implemented budgeted water projects in the targeted sub-counties with safe water coverage below the district average in the previous FY: score 15

15

below district average as seen here under;

- Otisa community borehole DWD59781 in Kanyum sub county at an investment cost of 19,847,231/=
- Oduke spring well in Kanyum sub county at an investment cost of 4,710,141/= under DWSCG grant
- Matani spring well in Ajuket village in Kanyum sub county at an investment cost of 4,809,798/= under DWSCG grant
- In Kanyum Sub County also the
 - 4th quarter report highlights rehabilitation of Omuranga borehole DWD27445, Okanyakure borehole, PCU borehole and Olumot community borehole. This was intended to boost safer water access in Kanyum sub county with safe water coverage of 65% below district average of 68.2%
 - In Kumi sub county a number of water projects were under taken to increase safe water access for community members.
- Construction of Olelia spring well Kum/sp/2016-17/DWSCG/0026 at estimated investment cost of 4,710,141/=
- Rehabilitation of a number of deep boreholes namely; Agule P/S borehole, Owaya borehole, Agule community borehole, and Omatenga HCIII borehole.

This was done to ensure increased safe water access by community members in Kumi sub county whose safe water

			<p>coverage of 62% is below district average of 68.2%.</p> <ul style="list-style-type: none"> In Nyero sub county a number of water projects were under taken to boost safe water access to community members as seen here under; Achikit spring well, Aereyere sprin well, and Ocokei spring well Also in Nyero Sub County a number of boreholes were rehabilitated to increase safe water access for community members whose safe water average is below district average. These included Olilim borehale, Omatakiria- Abongin borehole, Agurut Health unit borehole, Angod borehole, Morukapesur borehole and Emorut borehole. <p>All these water investment projects in sub counties with safe water access below district average were meant to uplift safe water access in these sub counties hence an indication that DWO planned to raise safe water access in lower local councils with safer water below district average</p>
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Assessment area: Monitoring and Supervision

3	<p>The LG Water department carries out monthly monitoring and supervision of project investments in the sector</p> <p>Maximum 15 points for this performance</p>		<ul style="list-style-type: none"> According to the annual progress report for the previous financial year 2016/2017 a number WSS facilities were monitored at least annually as either new source points or rehabilitated. Under DDEG 15 boreholes were rehabilitated and monitored, namely PCU borehole, Agod borehole, Morukapesur borehole, Emorut
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measure

Evidence that the LG Water department has monitored each of WSS facilities at least annually. • If more than 95% of the WSS facilities monitored: score 15 • 80 - 95% of the WSS facilities - monitored: score 10 • 70 - 79%: score 7 • 60 - 69% monitored: score 5 • 50 - 59%: score 3 • Less than 50% of WSS facilities monitored -score 0

15

borehole, Atatur Hospital borehole, Kalifornial borehole, Agule communing borehole, Omalenga HCIII borehole, Aguya borehole, Akworo NUSAF borehole, Olumot borehole, Madang borehole, Mukongoro Rock P/S bore hole and Kangoku borehole.

(Rehabilitation report of 15 deep boreholes and supply of installation parts under DDEG 2016/2017 dated 14/6/2017).

- Supervision report for the construction of 03 spring wells LOT 2 by simpio Tech (U) ltd in FY 2016/2017 dated 5/5/2017
- Monitoring / supervision report for the construction of 03 spring wells LOT 1 by Zion Logistics (U) ltd FY 2016/2017 date 5/5/2017
- Supervision report for the construction of 05 spring wells by Kumi workers enterprises FY 2016/2017 dated 5/5/2017.
- Rehabilitation of 12 boreholes and supply of installation parts in FY 2016/2017 under DWSCG dated 12/6/2017by simpio Tech (U) ltd
- Supervision report of VIP construction of 2 stance latrine in Olupe market by Manjiya Boys (U) ltd FY 2016/2017 dated 5/5/2017
- Supervision report of construction of 4 new deep boreholes by KLR (U) ltd dated 18/1/2017. Namely; Kanyamutamu deep borehole DWD59782, Otisai deep borehole DWD59781, Atatur community borehole DWD59780, and Kachelakweny deep borehole DWD59783.
- Completion report for Mukongoro water supply system dated 19/12/2016

			<p>It worth to note that all the planned WSS projects were implemented and supervision reports obtained at DWO as shown above hence justification for the allocated score.</p>
4	<p>The LG Water department has submitted accurate/consistent reports/data lists of water facilities as per formats provided by MoWE</p> <p>Maximum 10 for this performance measure</p>		<ul style="list-style-type: none"> • According to the annual progress report for the previous financial year 2016/2017 a number WSS facilities were monitored at least annually as either new source points or rehabilitated. • Under DDEG 15 boreholes were rehabilitated and monitored, namely PCU borehole, Agod borehole, Morukapesur borehole,Emorut borehole, Atatur Hospital borehole, Kalifornial borehole, Agule communing borehole, Omalenga HCIII borehole, Aguya borehole, Akworo NUSAF borehole, Olumot borehole, Madang borehole, Mukongoro Rock P/S bore hole and Kangoku borehole. <p>(Rehabilitation report of 15 deep boreholes and supply of installation parts under DDEG 2016/2017 dated 14/6/2017).</p> <ul style="list-style-type: none"> • Supervision report for the construction of 03 spring wells LOT 2 by simpio Tech (U) ltd in FY 2016/2017 dated 5/5/2017 • Monitoring / supervision report for the construction of 03 spring wells LOT 1 by Zion Logistics (U) ltd FY 2016/2017 date 5/5/2017 • Supervision report for the construction of 05 spring wells by Kumi workers enterprises FY 2016/2017 dated 5/5/2017. • Rehabilitation of 12 boreholes and supply of installation parts in FY

• Evidence that the LG has submitted accurate/consistent data for the current FY: o List of water facility which are consistent in both sector MIS reports and OBT: score 10

10

2016/2017 under DWSCG dated 12/6/2017 by simpio Tech (U) ltd

- Supervision report of VIP construction of 2 stance latrine in Olupe market by Manjiya Boys (U) ltd FY 2016/2017 dated 5/5/2017
- Supervision report of construction of 4 new deep boreholes by KLR (U) ltd dated 18/1/2017. Namely; Kanyamutamu deep borehole DWD59782, Otisai deep borehole DWD59781, Atatur community borehole DWD59780, and Kachelakweny deep borehole DWD59783.
- Completion report for Mukongoro water supply system dated 19/12/2016

It worth to note that all the planned WSS projects were implemented and supervision reports obtained at DWO as shown above hence justification for the allocated score.

- According to water source mapping data obtained at DWO, list of water facilities were consistent in both sector MIS reports as per the formats provided by MoWE.

For example water source mapping in Kanyum sub county was consistent and similar to what exists at the ministry of water and environment website.

The data was presented as serial number, source name, parish, technology, functionality and remarks.

- For example;
 - Ajuket (NUSAF) source name

Ajuket parish,

Technology, Borehole,

Functionality, F

Remarks, WSC is functional

- Kamacha H/C-source name

Parish Kamacha

Technology , RWHT

Functionality, F

Remarks, it's in good state

- Apeleun source name,

Ajuket parish

Technology PS

Functionality F

WSC does not exist

- Kodocha DWD24653 source name,

Ajuket parish

Technology, Bore hole

Functionality, F

Remarks, Not fenced

- Oule source name

Ajuket parish,

Technology, PS

Functionality, F

Remarks, Leakage in the basement area

- This data is consistent with what exists at MoWE MIS report hence justification for the score.

Assessment area: Procurement and contract management

5	<p>The LG Water department has submitted procurement requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the sector has submitted procurement requests to PDU that cover all investment items in the approved Sector annual work plan and budget on time (by April 30): score 4</p>	0	<ul style="list-style-type: none"> While submission reports on procurement were obtained at DWO they were not authentic due to lack of official stamp and date. This applied to all procurement requests for water and sanitation projects. As such review of submissions to DPU from water office and then from DPU submissions to DWO was not done.
6	<p>The DWO has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If the DWO prepared a contract management plan and conducted monthly site visits for the different WSS infrastructure projects as per the contract management plan: score 2 	0	<ul style="list-style-type: none"> The contract management records obtained for WSS infrastructure didn't contain BOQs/specifications for each project implemented. Secondly there were no minutes of site meeting obtained to establish if the agreed actions between DWO and the contractor /consultant were implemented by the contractor. Therefore a sample of 5 WSS projects wasn't done to validate findings from the files.
		<ul style="list-style-type: none"> If water and sanitation facilities constructed as per design(s): score 2 	2	<ul style="list-style-type: none"> Construction designs of borehole and spring wells was obtained in completion reports of water and sanitation projects at district water office

		<ul style="list-style-type: none"> • If contractor handed over all completed WSS facilities: score 2 	2	<ul style="list-style-type: none"> • Hand over reports for the protection of 3 spring wells under DWSCG for the financial year 2016/2017 was obtained. Namely; Aereyere spring well, Okubo spring well and Olupe spring well dated 5/5/2017 • Contract management records obtained weren't authentic and so were the interim certificates observed at DWO
		<ul style="list-style-type: none"> • If DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2 	0	<ul style="list-style-type: none"> • Contract management records obtained weren't authentic and so were the interim certificates observed at DWO
7	<ul style="list-style-type: none"> • Evidence that the DWOs timely (as per contract) certified and recommended suppliers for payment: score 3 points 			<p>There are no delays in certification, recommendation, and payment of suppliers/contractors in water sector as confirmed in 3 contracts executed in FY 2016/17 as follows;</p> <p>i. Name of Contractor – Simpjo Tech (U) Ltd</p> <p>a. Nature of Contract – Construction of 12 borehole platforms and supply of installation parts</p> <p>b. Award date – 22nd February 2017</p> <p>c. Contract date – 9th March 2017</p> <p>d. Contract amount – UGX 38,381,742</p> <p>e. Payment request – 6th June 2017</p> <p>f. Certificate date – 12th June 2017</p> <p>g. Payment approval – 16th June 2017</p>

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

3

h. Payment date – 20nd June 2017

ii. Name of Contractor – Okomolo Enterprise

a. Nature of Contract – Completion of Mukongolo Rural Growth Centre

b. Award date – 2nd August 2016

c. Contract date – 8th August 2016

d. Contract amount – UGX 47,990,600

e. Payment request – 13th October 2016

f. Certificate date – 19th December 2016

g. Payment approval – 2nd January 2017

h. Payment date – 6th January 2017

iii. Name of Contractor – Kumi Workers Enterprises Ltd

a. Nature of Contract – Repair of 15 borehole platforms

b. Award date – 5th June 2017

c. Contract date – 6th June 2017

d. Contract amount – UGX 49,646,140

e. Payment request – 12th June 2017

f. Certificate date – 14th June 2017

g. Payment approval – 21st June 2017

h. Payment date – 22nd June 2017

Therefore, LG gets maximum score of 3 points.

Assessment area: Financial management and reporting				
8	<p>The LG Water department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 5 	0	<p>The Water Department submitted OBT Baby Files of the Annual Performance Report for 2016/2017 (as well as all four quarterly reports) to the Planner.</p> <p>However, given that there has not been any recording schedule for submission, it could not be established whether the submission was by mid-July 2017.</p>
9	<p>LG Water Department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year <ul style="list-style-type: none"> If sector has no audit query score 5 If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 3 If queries are not responded to score 0 	3	<ul style="list-style-type: none"> 2nd Quarter 2016/17 internal audit report raised a query on unaccounted for funds in the sector totalling UGX 32,021,000. The following were affected officers, amount unaccounted for, and the accountabilities to resolve the query; <ul style="list-style-type: none"> Meresa Simon – UGX 1,583,000 for training Water User Committees – no activity report, no list of participants. LSIT OF PARTICIPANTS AND REPORT DATED 20TH DECEMBER 2016 WERE PRODUCED AS ACCOUNTABILITY TO RESOLVE THE QUERY. Mawanga P.P – UGX 2,164,000 – water quality testing – UGX 572,000 not accounted for, no activity report. ACCOUNTABILITY REPORTS DATED 15TH NOVEMBER 2016 WERE PRODUCED TO RESOLVE THE QUERY. Mawanga P. P – UGX 2,350,000 – advocacy for councillors – no list of participants, no activity report. ATTENDANCE LIST AND ACTIVITY REPORT DATED 22ND DECEMBER 2016 WERE PRODUCED FOR

			<p>ACCOUNTABILITY TO RESOLVE THE QUERY</p> <p>o Meresa Simon – UGX UGX 2,700,000 – monitoring and inspection of water sources – no activity report. REPORT DATED 20TH DECEMBER 2016 WAS PRODUCED FOR ACCOUNTABILITY.</p> <p>o Meresa Simon – UGX 1,874,000 – proposed site to fill 6 critical requirements – no activity report. THE REPORT WAS PRODUCED AS ACCOUNTABILITY TO RESOLVE THE QUERY.</p> <p>• Therefore, the sector earned 3 points for providing status on audit queries.</p>
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Assessment area: Governance, oversight, transparency and accountability

10	<p>The LG committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the council committee responsible for water met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports and submissions from the District Water and Sanitation Coordination Committee (DWSCC) etc. during the previous FY: score 3 	<p>0</p> <p>One copy of the Minutes of the Works and Technical Services, Production and Natural Resources Committee meeting held on 23rd November 2016 was presented to the Assessor. Under MIN. 4WPN/KDC/11/2016), the committee discussed service delivery issues.</p> <p>Nonetheless, the minutes did not bear the signature of the Chairperson of the Committee, much as the Secretary had signed.</p>
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		<ul style="list-style-type: none"> • Evidence that the water sector committee has presented issues that require approval to Council: score 3 	0	<p>The Clerk to Council presented one copy of 'The Recommendations for Works and Technical Services, Production and Natural Resources Committee to Council for Budget Approval on 19th May 2017'. The copy did not bear a signature of the Committee Chairperson or any other member of the committee.</p>
11	<p>The LG Water department has shared information widely to the public to enhance transparency</p>	<ul style="list-style-type: none"> • The AWP, budget and the Water Development grant releases and expenditures have been displayed on the district notice boards as per the PPDA Act and discussed at advocacy meetings: score 2 	0	<ul style="list-style-type: none"> • No information on the AWP, Budget and water development grant releases and expenditure was displayed on district notice boards and district website as per the PPDA Act.

Maximum 6 points for this performance measure

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

2

• From a sample of 5 WSS projects obtained they were clearly labelled indicating the name of the project, date of construction, the contractor and source of funding as seen here under;

- Loupe spring well

Source of funding: DWSCG

Contractor: Simpjo Tech (U) ltd

10/4/2017

- Atatur borehole

Contractor: KLR (U) ltd

Source of funding: DWSCG

6/10/2016

- Oswapai borehole

Contractor: Simpjo Tech (U) ltd

Source of funding: DWSCG

03/05/2017

- Akalebai borehole

Contractor: Kumi workers enterprises ltd

Source of funding: DDEG

19/05/2017

- Kanyum Presbyterian church of Uganda borehole

Source of funding: DDEG

Contractor: Kumi workers enterprises ltd

22/5/2017

		<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 	0	<ul style="list-style-type: none"> No Information on tenders and contract awards (indicating contractor name /contract and contract sum) was displayed on the District notice boards. Besides the district website didn't have this information as well.
12	<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If communities apply for water/public sanitation facilities as per the sector critical requirements (including community contributions) for the current FY: score 1 	1	<ul style="list-style-type: none"> Community applications for water and sanitation facilities was obtained at DWO as seen here under; <ul style="list-style-type: none"> Kalapata community bore hole application dated 15/11/2017 Okanyapuro borehole application dated 20/11/2017 Omatakiria village application for rehabilitation of borehole dated 27/11/2017 Asinge village application for deep borehole dated 29/11/2017
		<ul style="list-style-type: none"> Number of water supply facilities with WSCs that are functioning evidenced by collection of O&M funds and carrying out preventive maintenance and minor repairs, for the current FY: score 2 	0	<ul style="list-style-type: none"> Sector MIS reports do not show number of water supply facilities with WSCs that are functioning evidenced by collection of O&M funds and carrying out preventive maintenance and minor repairs, for the current financial year 2017/2018. This was not obtained either in community meeting minutes for they weren't obtained at DWO.
Assessment area: 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 Evidence that there has been follow up support provided in case of unacceptable environmental concerns in the past FY: score 1 Evidence that construction and supervision contracts have clause on environmental protection: score 1 	0	<ul style="list-style-type: none"> There was no evidence of environmental screening (as per templates) for all projects and EIAs (where required) conducted for all WSS projects and reports were in place at both DWO and ENR office No evidence of follow up support provided in case of unacceptable environmental concerns in the past financial year No mitigation plans were obtained with evidence that construction and supervision contracts have clause on environmental protection
14	<p>The LG Water department has promoted gender equity in WSC composition.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If at least 50% WSCs are women as per the sector critical requirements: score 3 	0	<ul style="list-style-type: none"> From the software progress reports obtained at DWO, there was no list of WSCs composition to show promotion of gender equity with at least 50% WSCs women as per the sector critical requirements
15	<p>Gender- and special-needs sensitive sanitation facilities in public places/RGCs.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If public sanitation facilities have adequate access and separate stances for men, women and PWDs: score 3 	3	<ul style="list-style-type: none"> Gender equity and special needs inclusion for PWDs for sensitive sanitation facilities in public places was observed as per the facilities visited here under; <ul style="list-style-type: none"> Olapade P/S Atutur seed secondary school Kajamaka new p/s Kadengele p/s Aukot p/s