



Local Government Performance Assessment

Busia District

(Vote Code: 507)

Assessment	Scores
Accountability Requirements	67%
Crosscutting Performance Measures	54%
Educational Performance Measures	52%
Health Performance Measures	55%
Water Performance Measures	55%

Summary of requirements	Definition of compliance	Compliance justification	Compliant?
Annual performance contract			
<p>LG has submitted an annual performance contract of the forthcoming year by June 30 on the basis of the PFMAA and LG Budget guidelines for the coming financial year.</p>	<ul style="list-style-type: none"> • From MoFPED's inventory/schedule of LG submissions of performance contracts, check dates of submission and issuance of receipts and: <ul style="list-style-type: none"> o If LG submitted before or by due date, then state 'compliant' o If LG had not submitted or submitted later than the due date, state 'non-compliant' • From the Uganda budget website: www.budget.go.ug, check and compare recorded date therein with date of LG submission to confirm. 	<ul style="list-style-type: none"> • LG submitted to MoFPED Annual Performance contract for the FY 2018/19 on the 26th/7/2018. 	Yes
Supporting Documents for the Budget required as per the PFMA are submitted and available			
<p>LG has submitted a Budget that includes a Procurement Plan for the forthcoming FY by 30th June (LG PPDA Regulations, 2006).</p>	<ul style="list-style-type: none"> • From MoFPED's inventory of LG budget submissions, check whether: <ul style="list-style-type: none"> o The LG budget is accompanied by a Procurement Plan or not. If a LG submission includes a Procurement Plan, the LG is compliant; otherwise it is not compliant. 	<ul style="list-style-type: none"> • LG submitted to MoFPED Budget that included Procurement Plan for the FY 2018/19 on the 26th/7/2018. 	Yes
Reporting: submission of annual and quarterly budget performance reports			

<p>LG has submitted the annual performance report for the previous FY on or before 31st July (as per LG Budget Preparation Guidelines for coming FY; PFMA Act, 2015)</p>	<p>From MoFPED's official record/inventory of LG submission of annual performance report submitted to MoFPED, check the date MoFPED received the annual performance report:</p> <ul style="list-style-type: none"> • If LG submitted report to MoFPED in time, then it is compliant • If LG submitted late or did not submit, then it is not compliant 	<ul style="list-style-type: none"> • LG submitted to MoFPED the Annual Performance Report for FY 2017/18 on the 14th/8/2018, which was past the due date of July 31st 2018. 	<p>No</p>
<p>LG has submitted the quarterly budget performance report for all the four quarters of the previous FY by end of the FY; PFMA Act, 2015).</p>	<p>From MoFPED's official record/inventory of LG submission of quarterly reports submitted to MoFPED, check the date MoFPED received the quarterly performance reports:</p> <ul style="list-style-type: none"> • If LG submitted all four reports to MoFPED of the previous FY by July 31, then it is compliant (timely submission of each quarterly report, is not an accountability requirement, but by end of the FY, all quarterly reports should be available). • If LG submitted late or did not submit at all, then it is not compliant. 	<ul style="list-style-type: none"> • Though the LG submitted to MoFPED the Budget Performance Reports for all four Quarters FY 2017/18 the Performance Report for Quarter 4 was submitted on 14th/8/2018 which was past the due date of July 31st 2018. The others were submitted on the following dates: <p>Quarter I report: 2nd/01/2018</p> <p>Quarter II report: 9th/02/2018</p> <p>Quarter III report: 11th/05/2018.</p>	<p>No</p>
<p>Audit</p>			

<p>The LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and the Auditor General's findings for the previous financial year by end of February (PFMA s. 11 2g). This statement includes actions against all findings where the Internal Auditor and the Auditor General recommended the Accounting Officer to take action in line with applicable laws.</p>	<p>From MoFPED's Inventory/record of LG submissions of statements entitled "Actions to Address Internal Auditor General's findings",</p> <p>Check:</p> <ul style="list-style-type: none"> • If LG submitted a 'Response' (and provide details), then it is compliant • If LG did not submit a 'response', then it is non-compliant • If there is a response for all –LG is compliant • If there are partial or not all issues responded to – LG is not compliant. 	<ul style="list-style-type: none"> • The LG had provided information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General's findings for the previous financial year 2016/17. <p>Reference is made to the submission letter dated 12/4/2018, (The mandatory deadline for submission was 30th April 2018 (PFMAs 11'2g)), addressed to the chairperson District Local Government Public Accounts Committee, Kampala in a letter titled "Management Action Taken On Auditor General's Report For The Financial Year Ended 30th June 2017", ref: CR/252/1, signed by CAO (Iriama Walter) and copied to:</p> <p>(i) Directorate of Internal Audit acknowledged on 4/5/2018.</p> <p>(ii) PS/ST MOFPED Kampala acknowledged on 4/5/2018</p> <p>(iii) PS MOLG acknowledged on 4/5/2018.</p> <p>(iv) RDC Busia</p> <p>. Therefore, the LG was compliant as far as deadline is concerned.</p>	<p>Yes</p>
<p>The audit opinion of LG Financial Statement (issued in January) is not adverse or disclaimer.</p>		<ul style="list-style-type: none"> • The audit opinion of LG Financial Statement was not adverse or disclaimer. 	<p>Yes</p>

507 Busia District Crosscutting Performance Measures 2018

Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution			
<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<p>Evidence that a district/ municipality has:</p> <ul style="list-style-type: none"> • A functional Physical Planning Committee in place that considers new investments on time: score 1. 	<ul style="list-style-type: none"> • Physical Planning Committee (PPC) was constituted by CAO's letter dated 11th/08/2016. It lacked a Physical Planner in Private practice. • PPC had held meetings on 9th/8/2017, 29th/9/2017 and 12th/06/2018 during which building plans were considered e.g. under Min. 5 of 12th June 2018 all the 7 building plans were approved e.g for Taka Claire, but timeliness of their consideration could not be ascertained because the building plan register had not captured dates of submission. • Building plans for LG projects for FY 2018/19 had not been approved by the Committee at time of assessment. 	0
<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that district/ MLG has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD score 1. 	<ul style="list-style-type: none"> • LG had not submitted minutes of the Physical Planning Committee to MoLHUD as at time of assessment. 	0

<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> • All infrastructure investments are consistent with the approved Physical Development Plan: score 1 or else 0 	<ul style="list-style-type: none"> • LG did not have a Physical Development Plan (PDP) thus consistency of infrastructure investments with the PDP could not be established. 	<p>0</p>
<p>All new infrastructure projects in: (i) a municipality / (ii) in a district are approved by the respective Physical Planning Committees and are consistent with the approved Physical Plans</p> <p>Maximum 4 points for this performance measure.</p>	<ul style="list-style-type: none"> • Action area plan prepared for the previous FY: score 1 or else 0 	<ul style="list-style-type: none"> • LG had Busia Boarder Master Plan seated on 62.42 Ha of land in Masafu SC (drawn in 2017 –validity period not specified) that had been prepared with support of Ministry of Trade industry and Cooperatives. No developments had commenced yet except for surveying, site board installation and fencing of the area. Submitted to PPC on 07th/09/2017 and was approved in PPC meeting of 28th/09/2017 under Min. 4. 	<p>1</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

Maximum 5 points on this performance measure.

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

Report of the Budget conference held on 26th/10/2017 prepared by the Senior Planner set forth the following priorities which were also contained in the AWP FY 2018/19:

- Construction of latrine and urinal in HCs, construction of chain link fences with security houses and gates, construction of medical waste pits HC IIs and renovation of OPDs and Health Staff houses
- Classroom construction and rehabilitation and supply of school furniture
- Maintenance of roads and equipment
- Construction of public buildings
- Construction pit latrine in RGCs (Namungodi TC and Siboni)
- Support to community groups under NUSAF3 and special interest groups

<p>The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year development plan, are based on discussions in annual reviews and budget conferences and have project profiles</p> <p>Maximum 5 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the capital investments in the approved Annual work plan for the current FY are derived from the approved five-year development plan. If differences appear, a justification has to be provided and evidence provided that it was approved by the Council. Score 1. 	<p>All the following capital projects in the AWP for FY 2018/19 had been derived from the approved DDP 2015/16-2019/20:</p> <ul style="list-style-type: none"> • Construction of latrine and urinal in Buwembe, Majanji, Lumino, Buteba, Masafu and Buwumba HCs; Construction of chain link fences with security houses and gates at Majanji H/C II, and Buwembe H/C II. – Construction of medical waste pits at Majanji H/C II and Buwembe H/C II; Health Staff house renovation at Buwembe, Majanji and Busime HC IIs; Renovation of OPD in Buwembe, Majanji, Buwumba and Hasyule HC IIs (AWP pg. 57-59, DDP pg.146-147) • Classroom construction and Rehabilitation in Syaule, Busime, Makunda, Buyimini, Sibiyirise, Makina and Busitema PS; Supply of Desks and Teachers tables Plus chairs to Bubo, Busime, Syaule, Bukobe, Majanji, Buyanga, Bulengi and Bubwibo PS; Classroom construction in Secondary schools (AWP pg. 64-67, DDP pg.146) • 502 km of district roads routinely maintained (manually); 154.2 km district roads maintained by machines; Rehabilitation of Bugunduhira -Sikuda - Habuleke Road (10.1km); Spot improvement of Hukemo - Mundidi – Omenya Road; Spot improvement of Buhobe - Buwembe Road; Spot improvement of Kenya Road (AWP pg. 73-74, DDP pg. 145) • Construction of public buildings (AWP pg. 75, DDP pg.145-146) • Construction 2-stance lined pit latrine with urinal in Namungodi TC and Siboni (AWP pg. 79, DDP pg.146) • 37 community groups funded to produce cassava, opening and grading of access roads - NUSAF3 (AWP pg. 84, DDP pg.171) • Supportive investments to special interest groups (AWP pg. 90-93, DDP pg.109-110) 	
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<p>The prioritized investment activities in the approved AWP for the current FY are derived from the approved five-year development plan, are based on discussions in annual reviews and budget conferences and have project profiles</p> <p>Maximum 5 points on this performance measure.</p>	<ul style="list-style-type: none"> • Project profiles have been developed and discussed by TPC for all investments in the AWP as per LG Planning guideline: score 2. 	<ul style="list-style-type: none"> • Profiles for investments to be implemented in FY 2018/19 had been prepared and discussed in TPC meeting of 15th/03/2018 under Min. 3 TPC 15/3/2018. There was need to improve on project justification which seemed to have been generalised .e.g under health except for purchase of assorted medical equipment, the same justification had been stated for all investments regardless of type –OPD renovation, staff house construction and rehabilitation, maternity, fence and gate. 	2
<p>Annual statistical abstract developed and applied</p> <p>Maximum 1 point on this performance measure</p>	<ul style="list-style-type: none"> • Annual statistical abstract, with gender-disaggregated data has been compiled and presented to the TPC to support budget allocation and decision-making- maximum score 1. 	<ul style="list-style-type: none"> • An Annual Statistical Abstract 2016/17, with gender disaggregated data e.g. on table 5.2: school going children by age and gender, was presented in the TPC meeting of 30th/01/2018 under Min. 6/ TPC/30/1/2018 to inform decision making and budget allocation. For example Bugunduhira -Sikuda – Habuleke road had been identified as being in poor condition and was considered for rehabilitation, and Lumino and Buhehe SCs had highest number of broken down boreholes and were considered for borehole rehabilitation. 	1

<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that all infrastructure projects implemented by the LG in the previous FY were derived from the annual work plan and budget approved by the LG Council: score 2 	<p>All the following projects implemented in FY 2017/18 were derived from the approved AWP for the said year:</p> <ul style="list-style-type: none"> • Maternity ward construction in Majanji HC II; 3 placenta pits at Namungodi, Buwumba & Bumunji HC IIs; renovation of medical stores at Masafu Hospital; Renovation of Hasyule and Namasyolo HC II OPDs and Maternity units (Q4/Annual report pg. 61-62, AWP pg.48-49) • Construction of classrooms in Nasweswe and Bubo PSs; Renovation of classrooms in Busiabala and Dabani Boys PS; Construction of 45 latrine stances at Buduli, Nanyuma, Lwanikha, Namasyolo, Busitema College, Mawero Islamic, Buhehe, Nanyoni and and Maduwa PSs; Construction of Admin block, Laboratory, 8 Classrooms in Majanji SSS (Q4/Annual report pg. 61-69, AWP pg. 53-54) • Maintenance of 120km out of 120km of community access roads; Maintenance (routine- URF) of 260km out of 502km of district roads <p>(Q4/Annual report pg. 75, AWP pg.58); 11 out of 12 km of roads rehabilitated and spot improved. (Q4/Annual report pg.74-75, AWP pg.58-59)</p> <ul style="list-style-type: none"> • Construction of Masinya SC Admin block –phase 1; Contruction of 2- stance latrine in Buyanga SC H/Q; Construction of Buyanga SC Admin block –phase III (Q4/Annual report pg.76, AWP pg. 59-60) • Construction of 2-stance latrine at Habuleke Trading centre and Nalyoba landing site; Drilling of 19 out of 19 boreholes; rehabilitation of 24 out of 24 boreholes. (Q4/Annual report pg.81-82, AWP pg. 65-66) 	<p>2</p>
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<p>Investment activities in the previous FY were implemented as per AWP.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the investment projects implemented in the previous FY were completed as per work plan by end for FY. <ul style="list-style-type: none"> o 100%: score 4 o 80-99%: score 2 o Below 80%: 0 	<p>50 out 52 (96.2%) investment projects implemented in FY 2017/18 were completed by the end of the FY. They were:</p> <ul style="list-style-type: none"> • (5 projects) Marternity ward construction in Majanji HC II; 3 placenta pits at Namungodi, Buwumba & Bumunji HC IIs; renovation of medical stores at Masafu Hospital. (Q4/Annual report pg. 61-62, AWP pg. 48-49) • (2 projects) Renovation of Hasyule and Namasyolo HC II OPDs and Marternity units (Q4/Annual report pg. 62, AWP pg.49) • (4 projects) Construction of classrooms in Nasweswe and Bubo PSs; Renovation of classrooms in Busiabala and Dabani Boys PS. (Q4/Annual report pg. 61-62, AWP pg. 53) • (10 projects) Construction of 45 latrine stances at Buduli, Nanyuma, Lwanikha, Namasyolo, Busitema College, Mawero Islamic, Buhehe, Nanyoni and and Maduwa PSs.(Q4/Annual report pg.67, AWP pg.53) • (3 projects) Construction of Admin block, Laboratory, 8 Classrooms in Majanji SSS (Q4/Annual report pg. 69, AWP pg. 54) • Maintenance of 120km out of 120km of community access roads (Q4/Annual report pg.74, AWP pg.58) • (3 projects) Construction of Masinya SC Admin block –phase 1; Contruction of 2- stance latrine in Buyanga SC H/Q; Construction of Buyanga SC Admin block – phase III (Q4/Annual report pg.76, AWP pg. 59-60) • (2 projects) Construction of 2-stance latrine at Habuleke Trading centre and Nalyoba landing site (Q4/Annual report pg.81, AWP pg.65) • (20 projects) Drilling of 19 out of 19 boreholes; rehabilitation of 24 out of 24 boreholes. (Q4/Annual report pg.82 , AWP pg. 65-66) <p>Partial achievement was realised for:</p> <ul style="list-style-type: none"> • Maintenance (routine- URF) of 260km out of 502km of district roads <p>(Q4/Annual report pg. 75, AWP pg.58)</p> <ul style="list-style-type: none"> • 11 out of 12 km of roads rehabilitated and spot improved. (Q4/Annual report pg.75, AWP pg.59) 	
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The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY

Maximum 4 points on this Performance Measure.

• Evidence that all investment projects in the previous FY were completed within approved budget – Max. 15% plus or minus of original budget: score 2

Based on the following sample of projects (excluding roads and water) whose total expenditure was 1,117,840,000= against a budget of 1,244,628,000=, representing -10.2% variance, the district completed projects within the approved budgets:

- Maternity ward construction in Majanji HC II; 3 placenta pits at Namungodi, Buwumba & Bumunji HC IIs; renovation of medical stores at Masafu Hospital. Spent 114,311,000= against budget of 82,280,000= (Q4/Annual report pg. 61-62, AWP pg. 48-49)
- Renovation of Hasyule and Namasyolo HC II OPDs and Maternity units. Spent 18,495,000= against budget of 31,998,000= (Q4/Annual report pg. 62, AWP pg.49)
- Construction of classrooms in Nasweswe and Bubo PSs; Renovation of classrooms in Busiabala and Dabani Boys PS. Spent 137,392,000= against budget of 167,850,000= (Q4/Annual report pg. 61-62, AWP pg. 53)
- Construction of 45 latrine stances at Buduli, Nanyuma, Lwanikha, Namasyolo, Busitema College, Mawero Islamic, Buhehe, Nanyoni and and Maduwa PSs. Spent 131,447,000= against budget of 171,000,000= (Q4/Annual report pg.67, AWP pg.53)
- Construction of Admin block, Laboratory, 8 Classrooms in Majanji SSS Spent 624,695,000= against budget of 700,000,000= (Q4/Annual report pg. 69, AWP pg. 54)
- Construction of Masinya SC Admin block –phase 1; Construction of 2- stance latrine in Buyanga SC H/Q; Construction of Buyanga SC Admin block –phase III Spent 91,500,000= against budget of 91,500,000= (Q4/Annual report pg.76, AWP pg. 59-60)

<p>The LG has executed the budget for construction of investment projects and O&M for all major infrastructure projects during the previous FY</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG has budgeted and spent at least 80% of the O&M budget for infrastructure in the previous FY: score 2 	<p>LG had reviewed assets and infrastructure that required O&M and had budgeted, implemented and spent 87.2% of O&M budget on infrastructure in FY 2017/18, that is, spent 92,079,080= against total budget of 105,582,080= as evidenced below:</p> <ul style="list-style-type: none"> • LG Board of survey report for FY 2016/17 indicated status of assets and infrastructure and made recommendations on maintenance. • 5,389,310= was spent against budget of 5,389,310= on maintenance –civil (pg.7 of Trial balance of Annual Final Accounts 2017/18, AWP 2017/18 pg 19-20) • 18,495,000= against budget of 31,998,000= was spent on renovation of Hasyule and Namasyolo HC II OPDs and Marternity units (Q4/Annual report pg. 62, AWP pg.49,97) • 20,000,000= was spent against budget of 20,000,000= for renovation of medical store at Masafu Hospital (Q4/Annual report pg 62/Project commissioning report pg.8) • 48,194,770= was spent against budget of 48,194,770= for renovation of classrooms in Busiabala and Dabani Boys PS spent (Q4/Annual report pg. 61-62/Project commissioning report pg.5-6, AWP pg. 53) 	<p>2</p>
<p>Human Resource Management</p>			
<p>LG has substantively recruited and appraised all Heads of Departments</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG has filled all HoDs positions substantively: score 3 	<p>There are (10) departments as per the approved and adopted structure for Busia DLG dated 30/8/17. 80% (8 out of 10) positions of HoDs had been substantively filled as per the following DSC minutes; DE-11/2017; DEO-05/2015; DHO-10/2017; DCDO-12/2018;CFO-96 (iii)/2005 & DPO-10/2017</p> <p>The positions of DNRO and District Commercial Officer are not substantively filled.</p>	<p>0</p>

<p>LG has substantively recruited and appraised all Heads of Departments</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> Evidence that HoDs have been appraised as per guidelines issued by MoPS during the previous FY: score 2 	<p>Only 20% (2 out of 8) of HoDs (substantive and in-acting capacity) had been appraised during FY 2017/18. The annual performance reports for the District Engineer and Planner were on file, duly filled and signed. The annual performance reports (FY 2017/18) for DEO, DHO, DCDO, DPO, Ag.DNRO and Ag.CFO were not seen.</p>	<p>0</p>
<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> Evidence that 100 % of staff submitted for recruitment have been considered: score 2 	<p>122% (72 out of 59) posts submitted for filing had been considered by DSC in FY 2017/18 as per the minute extracts of 2nd and 4th DSC meetings held September 25th to October 6th ,2017 and 8/2/18; under DSC Min.12/2017(37) and Min.7/2018 (35) respectively.</p> <p>Submission list for (13) posts was missing at DSC at the time of the assessment</p> <p>A total of (59) posts were submitted to DSC for filling by the CAO as per the (4) submission letters dated 15/8/17(1), 4/10/17 (13), 29/1/18 (43) and 31/5/18 (2) respectively.</p>	<p>2</p>
<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> Evidence that 100 % of positions submitted for confirmation have been considered: score 1 	<p>100% (All the 53) of the staff submitted for confirmation had been considered by DSC as per the extracted minutes of 2nd , 3rd , 4th and 6th meetings under the following DSC minutes; 9/2017 (7), 4/2017 (10), 5/2018 (20) and 10/2018 (16) respectively.</p> <p>However, submission lists for all (53) confirmation files from the CAO were missing at DSC and this was confirmed in writing by Sec/DSC on 27/9/18.</p>	<p>1</p>

<p>The LG DSC has considered all staff that have been submitted for recruitment, confirmation and disciplinary actions during the previous FY.</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> Evidence that 100 % of positions submitted for disciplinary actions have been considered: score 1 	<p>No disciplinary cases were submitted to DSC by CAO in FY 2017/18. This was confirmed in writing by the Sec/DSC (Ms.Simo Catherine Omari) on 27/9/18.</p>	<p>1</p>
<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment: score 3 	<p>From a list of staff recruited in FY 2017/18 (signed & stamped by Ag.PHRO on 27/9/18), it was found that 48% (37 out of 77) new staff had accessed the salary payroll within the required timeframe of two months after appointment.</p> <p>For example, (33) staff appointed on 15/02/18 accessed the payroll in April 2018.</p> <p>Refer to the Uganda Government Payslip for the period (10) Apr 2018, Vote (507) Busia DLG.</p>	<p>0</p>
<p>Staff recruited and retiring access the salary and pension payroll respectively within two months</p> <p>Maximum 5 points on this Performance Measure.</p>	<ul style="list-style-type: none"> Evidence that 100% of the staff that retired during the previous FY have accessed the pension payroll not later than two months after retirement: score 2 	<p>Only 19% (3 out of 16) LG staff who retired in FY 2017/18 had accessed the pension payroll not later than 2 months after retirement as per the list of retirees for FY 2017/18 signed/stamped by Ag.PHRO on 27/9/18.</p> <p>The IPPS numbers for the 3 staff who had accessed the pension payroll are: 482244, 482164 and 482260.</p>	<p>0</p>
<p>Revenue Mobilization</p>			

<p>The LG has increased LG own source revenues in the last financial year compared to the one before the previous financial year (last FY year but one)</p> <p>Maximum 4 points on this Performance Measure.</p>	<ul style="list-style-type: none"> •• If increase in OSR (excluding one/off, e.g. sale of assets) from previous FY but one to previous FY is more than 10 %: score 4. • If the increase is from 5% -10 %: score 2. • If the increase is less than 5 %: score 0. 	<p>The LG had increased LG own source local revenues from shs 208,419,170 in the FY 2016/2017 to shs 320,531,920 in the FY 2017/2018, up by shs 112,112,750 representing an increase of 53.8% compared to the FY 2016/2017.</p> <p>This percentage increase is more than 10% compared to the FY 2016/2017.</p>	<p>4</p>
<p>LG has collected local revenues as per budget (collection ratio)</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realisation) is within +/- 10 %: then score 2. If more than +/- 10 %: Score 0. 	<p>The LG local revenue collection ratio was +17.45% against the budget of FY 2017/2018.</p> <p>This is demonstrated below:</p> <p>Total Local Revenue Budgeted for FY 2017/2018 was Shs 272,916,000 (original budget), whereas the total actual local revenue collected was shs 320,531,920 therefore, the percentage of local revenue collected against planned for the FY 2017/2018 was 117.45% i.e. $(320,531,920/272,916,000) \times 100\% = 117.45\%$.</p> <p>The collected portion above the budget was shs 47,615,920 representing 17.45%, which exceeded the required standard deviation of +/- 10%.</p>	<p>0</p>
<p>Local revenue administration, allocation and transparency</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the District/Municipality has remitted the mandatory LLG share of local revenues: score 2 	<p>The LG has remitted the mandatory LLG share of local revenues of 65%.</p> <p>Total revenue collected from Local Service Tax (LST) subject to sharing was shs 104,113,000 out of which shs 41,494,050 was remitted to LLG (representing 39.9% of total collection), this is below the expected mandatory 65%, which should have been shs 67,673,450. The unremitted portion amounted to shs 26,179,400 i.e. shs $(67,673,450 - 41,494,050)$ to be remitted soon after determining the correct residences of the tax payers involved.</p>	<p>2</p>

<p>Local revenue administration, allocation and transparency</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the total Council expenditures on allowances and emoluments- (including from all sources) is not higher than 20% of the OSR collected in the previous FY: score 2 	<p>The total council expenditures on allowances and emoluments (including from all sources), exceeded the mandatory 20% of the LG own source revenue collected as demonstrated below:</p> <p>Total actual local revenue collected was shs 320,531,920, therefore, expected 20% should have been shs 64,104,354, but instead was Shs 93,739,467, which exceeded by shs 29,635,113 i.e shs (93,739,467- 64,104,354).</p>	<p>0</p>
<p>Procurement and contract management</p>			
<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the District has the position of a Senior Procurement Officer and Procurement Officer (if Municipal: Procurement Officer and Assistant Procurement Officer) substantively filled: score 2 	<p>The district has the position of Senior Procurement Officer substantively filled by Mr. Olowo Yoga Apollo who was confirmed into the position under Minute No.38/2015. The confirmation letter is dated 8th May 2015</p> <p>The LG does not have a substantive Procurement Officer</p> <p>The Unit is supported by Ms. Anyango Harriet, Assistant Inventory Management Officer and Ms. Erumbi Allen, Assistant Procurement Officer</p> <p>Ms. Anyango Harriet was assigned the duties of Procurement Officer in a letter dated 17th December, 2014 and another dated 20th March 2017.</p> <p>Ms. Erumbi Allen was confirmed to the position of Assistant Procurement Officer under Minute 18/2013 in a letter dated 18th March 2013</p>	<p>0</p>

<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the TEC produced and submitted reports to the Contracts Committee for the previous FY: score 1 	<p>TEC met, produced and submitted reports to the Contracts Committee as evidenced by Contracts Committee Meeting minutes. For instance;</p> <p>(a) The Contracts Committee meeting of 6/7/2017 had an agenda item (3) on consideration for approval of evaluation committee reports (from 3 technical evaluation committees) and recommendations for Procurement Notice 1 for FY 2017/2018;</p> <p>(b) The Contracts Committee meeting of 23/10/2017 had an agenda item (3) on consideration for approval of evaluation committee reports (from 2 technical evaluation committees) and recommendations for Procurement Notice 2 on Selective and Direct Bidding for FY 2017/2018</p> <p>(c) The Contracts Committee meeting of 5/3/2018 had an agenda item (3) on consideration for award of Contracts for the construction of Majanji Seed Secondary School in 3 Lots under SFG and supply of goats for Bulumbi Sub-County under DDEG (Procurement Notice 4)</p> <p>The reports in all the examples above were TEC reports submitted to the Contracts Committee</p>	<p>1</p>
<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the Contracts Committee considered recommendations of the TEC and provide justifications for any deviations from those recommendations: score 1 	<p>The Contracts Committee considered recommendations of TEC. For instance;</p> <p>(a) The Contracts Committee meeting of 6th July 2017, under Min 03-IDCC/6/7/2017-2018 awarded the contract for the construction of an administration office block at Masinya Sub-County under DDEG to Ms Lit General Agencies at a contract price of UGX 57,656,250/= as recommended by the TEC that sat from 22nd-30th June 2017</p> <p>(b) The Contracts Committee meeting of 13th November,2017 under Min 03-5DCC/13/11/2017-2018 awarded the contract for construction of the maternity ward at Majanji Health Centre (phase 1) under PRDP to MS Nafito General Constructors LTD at the evaluated bid amount of UGX 49,477,792 (VAT inclusive) as recommended by the TEC that sat from 25th October-30th October 2017</p> <p>(c) The Contracts Committee meeting of 28/11/2017 under Min 04-6DCC/28/11/2017-18, awarded the contract for the supply of 4 in-calf 75% purity Friesian, 21/2-3 years old and weigh 350-450 kg for Buyanga Sub-County under DDEG to Muza General Enterprises</p>	<p>1</p>

LTD at UGX 12,320,000 (Unit Price of UGX 3,080,000/= per-in calf.

The recommendation of TEC that sat from 25th October -30th October 2017 on this procurement was that the contract be awarded to MS Bronus (U) LTD at an evaluated amount of UGX 11,400,000/= (at unit price of UGX 2,850,000/= per-in calf).

The Contracts Committee deviated from that position because MS Bronus (U) LTD had been discovered to have forged the attached Stanbic bank payment slips for non-refundable fees for all bids submitted as confirmed by both banks at Busia and Forest Mall. The Contracts Committee thereafter awarded the contract to the next bidder MS Muza General Enterprises LTD

(d) The Contracts Committee meeting of 5th March 2018, under Min 3-9DCC/5/3/2017-18 awarded the construction of Administration Block, 2 units of 5-stance lined VIP Latrines for Majanji Seed Secondary School Lot 2 under (Transitional Grant) SFG to MS Spot Contractors LTD at the corrected bill amount of UGX 213,229,540/= as recommended by the TEC that sat from 22nd February -1st March 2018

(e) The Contracts Committee meeting of 13th November 2017, under Min 03-5DCC/13/11/2017-18, awarded the renovation of a 2 classroom block at Dabani Boys Primary School under SFG to MS Spot Contractors LTD at the evaluated bid amount of UGX 18,941,980/= (VAT Inclusive) as recommended by TEC that sat from 25th-30th October 2017

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

Maximum 2 points on this performance measure.

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

The Procurement Plan for 2018/2019 is in place and endorsed by CAO, Iriama Walter on 28/3/2018. The LG indicated that the Plan has also submitted to PPDA on line.

The Procurement Plan 2018/2019 captures infrastructure projects in the AWP of 2018/2019.

For instance;

(a) the construction of sanitation facilities in Rural Growth Centres is estimated at 14,229,634/= in the Procurement Plan and estimated at 14,230,000/= in the AWP

(b) Deep well drilling, casting and Hand Pump installation at 20 sites is estimated at 349,600,000/= in the Procurement Plan and estimated at 377,629,000/= in the AWP

(c) Completion of Masinya S/C Administration Block is

estimated at 83,776,000/= in the Procurement Plan and estimated at 75,790,690/= in the AWP (was awarded at a contract price of 70,790,690/=)

(d) Latrine construction and rehabilitation in 7 schools is estimated at 133,000,000/= in the Procurement Plan and 133,000,000/= in the AWP

The LG adhered to the Procurement Plan of the previous FY. 52 investments in the AWP were procured and are captured in the contract register. For instance;

(a) The 2 classroom block at Dabani P/S under SFG was procured at 18,941,980/= and is captured in the Contracts Register 2017/2018 as No.15, CPA-00136

(b) The construction of an Administration Block, 2 units of a 5 stance lined VIP Pit latrine and 1 unit of a 2 stance lined VIP latrine for Majanji Seed Secondary School Lot-2 under (Transitional Grant) SFG was procured at 213,229,540/= and is captured in the Contracts Register 2017/2018 as No.28, CPA-00149

(c) The construction of the Maternity Ward at Majanji Health Centre II (Phase 1) under PRDP was procured at 49,477,792/= and is captured in the Contracts Register 2017/2018 as No.27, CPA-00148

(d) The construction of an administration block at Masinya S/C under DDEG was procured at an amount of 57,656,250/= and is captured in the Contracts Register 2017/2018 as No.3, CPA-00123

(e) The construction of Buyanga S/C administration block was procured at 18,894,932/= and is captured in the Contracts Register 2017/2018 as No.9, CPA-00130

<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • For current FY, evidence that the LG has prepared 80% of the bid documents for all investment/ infrastructure by August 30: score 2 	<p>The Procurement Plan 2018/2019 indicates that the LG is due to implement 41 Infrastructure projects as follows; Health- 20, Water-4, Education-14, Works-1, Administration 2</p> <p>11 of these are due to be procured under the Open-Bidding method while 30 will be procured under the Selective Bidding method. At the time of assessment, all bid documents were ready.</p> <p>However by August 30th, 2018, only 11 bids (issued 26th June 2018) under the Open Bidding method had been prepared which translates into 27% of the bid documents prepared.</p> <p>The 30 bids prepared under Selective Bidding were issued on 14th September 2018. At the time of assessment, there was no evidence produced to show that these particular bids were ready by August 30th 2018.</p>	<p>0</p>
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The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.

Maximum 6 points on this performance measure.

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

The LG has an updated Contracts Register which captures the items of procurement for 2017/2018 under; Reg. No, Date, Contractor/ Supplier, Contract Agreement Number, Contract Amount, Contract Requisition reference, Amount Committed, Amount Paid.

The procurement activity files were complete as is required by the key records to check on the procurement file designed by PPDA, April 2008. For instance;

(a) The procurement file for the project on the construction of a 2 classroom block at Dabani P/S under SFG had the following; a procurement requisition dated 12/6/2017, Bid document dated 26/9/2017, The TEC recommendation on the project derived from the meeting that sat from 25th-30th October 2018, the letter of award dated 9/12/2017, acceptance from the contractor dated 12/12/2017, the contract agreement signed 15/12/2017,

(b) The procurement file for the construction of an Administration Block, 2 units of a 5 stance lined VIP Pit latrine and 1 unit of a 2 stance lined VIP latrine for Majanji Seed Secondary School had the following; Bid document dated 20/2/2018, the TEC recommendation of the project derived from the TEC meeting of 22nd-28th February 2018, the letter of award dated 22/3/2018, clearance of the contract by Solicitor General- because the price was above 200m dated 22/3/2018, acceptance from the contractor dated 23/3/2018, contract agreement dated 26/3/2018,

(c) The procurement file on the construction of the Maternity Ward at Majanji Health Centre II (Phase 1) has a bid document dated 26th September, 2017, TEC recommendation on the project derived from the TEC meeting that sat from 25th-30th October 2017, Award letter dated 9/12/2017, acceptance from contractor dated 20/12/2017, contract agreement dated 22/12/2017

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

Maximum 6 points on this performance measure.

• For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects):
score 2.

For the previous FY, the LG adhered with procurement thresholds i.e. for procurement's over 50m, the LG used the Open Bidding method and the Selective Bidding Method for procurement's below 50m. For instance;

(a) The construction of a 2 classroom block at Dabani P/S under SFG was procured at 18,941,980/= under selective bidding

The bid for this investment was developed under selective bidding and was issued on 26/9/2017, the published notice for this procurement is dated 26/9/2017

(b) The construction of an Administration Block, 2 units of a 5 stance lined VIP Pit latrine and 1 unit of a 2 stance lined VIP latrine for Majanji Seed Secondary School Lot-2 under (Transitional Grant) SFG was procured at 213,229,540/= under Open Bidding method.

The bid for the investment was an open-bidding document that was issued on 30/1/2018. The advert for this bid was posted in the Daily Monitor of 30/1/2018

(c) The construction of the administration office block (phase 1) at Masinya S/C under DDEG was procured at 57,656,250/= under the Open Bidding method

The bid for this investment was posted in the Daily Monitor of 24th May 2017

(a) The construction of the maternity ward at Majanji HC II (Phase 1) was procured at 49,477,792/= under the Selective Bidding method

The bid for this investment was developed under selective bidding, was posted on 26/9/2017 and is dated 26/9/2017

(b) The construction of Buyanga Sub-County block was procured at 18,894,932/= under Selective Bidding method

The bid for this investment was developed under selective bidding, was posted on 26/9/2017 and is dated 26/9/2017

<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all works projects implemented in the previous FY were appropriately certified – interim and completion certificates <p>for all projects based on technical supervision: score 2</p>	<p>The works projects implemented in the previous FY were not appropriately certified.</p> <p>Although the projects were certified, the supervision of some of the projects was not done by the Engineer. For instance;</p> <p>(a) The construction of the 2 classroom block at Dabani P/S- contract value 18,941,980/= (Commencement date 15/12/2017, Completion date 15/02/2018) was certified once with an interim certificate dated 27/2/2018 worth 17,035,704/=</p> <p>The verification report for this project dated 28/2/2018 was compiled and endorsed by the District Planner, Ag CFO, Ag PIA. The Engineer who is the technical officer on works did not make an input</p> <p>(b) The construction of the maternity ward at Majanji HC II (Phase II) – contract value- 49,477,792/= (Commencement date 15/1/2018, Completion date 15/4/2018)</p> <p>The project was certified once with an interim certificate dated 10/5/2018 worth 44,586,548/=</p> <p>A project monitoring report on the project dated 12/4/2018 was written to the DHO by an official from the Health Department. The Engineer who is the technical officer on works did not make an input into the report</p> <p>(c) The construction of the administration office block (phase 1) at Masinya S/C – contract at 57,656,250/= (Commencement date 17/8/2017, Completion date 17/11/2017)</p> <p>For this investment, only one interim certificate dated 1/11/2017 and worth 36,841,240/= was seen</p> <p>The verification report dated 7th November 2017 was compiled and endorsed by the District Planner, Ag CFO and Ag PIA. The Engineer who is the technical officer on works did not make an input into the report</p>	
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The LG has certified and provided detailed project information on all investments

Maximum 4 points on this performance measure

• 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

The LG has started implementation of some projects for FY 2018/2019. At the time of assessment, two project labels were provided. One of them was not labelled as is required. Labeling was as follows;

(a) The construction of a 2 classroom block at Syaule Primary School is labelled correctly as follows;

MINISTRY OF EDUCATION AND SPORTS

PROJECT: Construction of a 2 Classroom Block

SITE: Syaule Primary School

UNDER: SFG 2018/2019

CONTRACTOR: Time Traders& Transporters LTD

SUPERVISOR: Busia District Engineer

PRICE: 54,785,200/=

SUB-COUNTY: BUSITEMA SUB-COUNTY

(b) Construction of Maternity Ward is labelled as follows;

GOVERNMENT OF UGANDA

PROJECT: Construction of Maternity Ward

CONTRACT NAME: Construction of Maternity Ward at Sikuda HC II

CONTRACT NO: 01/BUSI507/WRKS/2018-2019/00119

FUNDING BODY: Busia District Local Government under PHC Devt Grant 2018/2019

EXECUTING AGENCY: Busia District Local Government

SUPERVISOR: Government District Engineer

CONTRACTOR: Spot Contractors (U) LTD

This label lacked a contract value

Financial management

The LG makes monthly and up to-date bank reconciliations

Maximum 4 points on this performance measure.

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

The LG had prepared up-to date monthly bank reconciliations at the time of the assessment, in line with the recommendations of the assessment manual, therefore, the LG was compliant as far as monthly bank reconciliations were concerned.

The following examples of reconciliations were verified and used to demonstrate the findings above:

(1) Equity Bank a/c 1008200745731, in the names of " Busia District YLP Operation Account ", was last reconciled and approved on 31/8/2018, with balances as per cash account and bank statement of shs "233,396285" and shs "233,396285" respectively.

(2) Stanbic Bank a/c 9030009304621, in the names of " Busia District Local Gov't General Fund Account ", was last reconciled and approved on 31/8/2018, with balances as per cash account and bank statement of shs "18,386,655" and shs "18,386,655" respectively.

(3) Stanbic Bank a/c 90300012312856, in the names of " Busia District NUSAF 3 Operations Account ", was last reconciled and approved on 31/8/2018, with balances as per cash account and bank statement of shs "27,122,614" and shs "27,122,614" respectively.

(4) DFCU Bank a/c 90300012312937, in the names of " Busia District NUSAF 3 Projects Account ", was last reconciled and approved on 31/8/2018, with balances as per cash account and bank statement of shs "7,385,249" and shs "7,385,249" respectively.

(5) DFCU Bank a/c 01983501006267, in the names of " Women Enterprise Fund Account ", was last reconciled and approved on 31/8/2018, with balances as per cash account and bank statement of shs "74,204,514" and shs "74,204,514" respectively.

<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 <ul style="list-style-type: none"> – no overdue bills (e.g. procurement bills) of over 2 months: score 2. 	<p>The LG certified timely payments to suppliers.</p> <p>Examples of payments to suppliers verified included;</p> <p>(1) Payment voucher No.PV-PN 01278, dated 11/8/2017,of shs 470,000, LPO. 00190099 dated 31/10/2017, in the names of La Palm Suites and SPA Ltd, for supply of meals during Diso handover, certified by CAO & CFO on 31/10/2017, date of supply/requisition for payment by the supplier was 28/8/2017.</p> <p>Duration between delivery of service and payment was 60 days i.e 28/8/2017 to 31/10/2017.</p> <p>The mandatory requirement is that the delay period, if necessary, should not exceed 2 months, therefore LG certification for payment was timely.</p> <p>(2) . Payment voucher No PV-AD01641, dated 20/12/2017,of shs 781,798, LPO. 001901641 dated 18/12/2017, in the names of J'KENO BUSINSS ENTERPRISE, for supply of fuel to CAO &CFO, certified by CAO/CFO on 1/8/2017, date of supply/requisition for payment by the supplier was 29/7/2017.</p> <p>Duration between delivery and payment was 2 days i.e 29/7/2017 to 1/8/2017.</p> <p>The mandatory requirement is that the delay period, if any, should not exceed 2 months, therefore LG certification for payment was timely.</p>	<p>2</p>
<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG has a substantive Senior Internal Auditor: 1 point. • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>The LG had a substantive senior internal auditor, as per the District Service Commission .appointment minute ref: 96/2013(ii),together with appointment letter ref. No. CR/156/1 dated 17/6/2013, for the post of Principal Internal Auditor/District Internal Auditor, with a salary scale U2 and signed by CAO (Okumu Christopher).</p>	<p>1</p>

<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • LG has produced all quarterly internal audit reports for the previous FY: score 2. 	<p>The LG had produced all quarterly Internal Audit Reports for FY 2017/2018. Details of the report are as indicated below:</p> <ul style="list-style-type: none"> • Quarters 1 Internal Audit Report for FY 2017/2018 was produced dated 5/12/2017, addressed to the chairperson and copied to DPAC and CAO. • Quarter 2 Internal Audit Report was produced dated 7/2/2018, addressed to the chairperson and copied to DPAC and CAO. • Quarter 3 Internal Audit Report was produced dated 7/5/2018, addressed to the chairperson and copied to DPAC and CAO. • Quarter 4 Internal Audit Report was produced dated 8/8/2018, addressed to the chairperson and copied to DPAC and CAO. 	<p>2</p>
<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<p>Evidence that the LG has provided information to the Council and LG PAC on the status of implementation of internal audit findings for the previous financial year i.e. follow up on audit queries from all quarterly audit reports: score 2.</p>	<p>The LG had provided information to the council and LG PAC on the status of implementation of internal audit findings. Reference was made to the internal audit reports of 2nd & 3rd Quarters ref: AUD/252/1, dated 7/2/2018 & 7/5/2018 respectively, page 3, paragraph one, titled "Follow up on previous reports", addressed to the District Chairperson, reminding PAC that it has not examined internal audit reports over the years.</p> <p>This is because PAC had not been sitting to review the reports since FY 2015/2016.</p>	<p>2</p>

<p>The LG executes the Internal Audit function in accordance with the LGA section 90 and LG procurement regulations</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that 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>Although the internal audit reports for the previous FY 2017/2018 were submitted to LG Accounting Officer, LG PAC, LG PAC had neither reviewed nor followed up.</p> <p>This issue was raised by the internal audit department in the 2nd & 3rd quarter internal audit reports addressed to the District Chairperson, ref: AUD/252/1, dated 7/2/2018 & 7/5/2018 respectively, page 3, paragraph one titled "Follow up on previous reports"., reminding PAC that it had not examined internal audit reports over the years.</p> <p>This is sufficient evidence that internal audit reports for the previous FY were submitted to LG PAC, but never reviewed.</p>	<p>0</p>
<p>The LG maintains a detailed and updated assets register</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG maintains an up- dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual: score 4 	<p>The LG had a fixed assets register in place, and as per format in the accounting manual covering all the details on land and buildings, motor vehicles, etc., but not up-dated with the details provided for in the format mentioned above. For example;</p> <p>(1) Land & buildings register was not recorded anywhere in the register availed for assessment.</p> <p>(2) The following assets were recorded with no values attached:</p> <ul style="list-style-type: none"> • Motor cycle reg: UDX 885Y(NAADS) acquired on 20/2/2014, located at Busitema sub-county • Motor cycle reg: UG4742M YAMAHA DT 125, located at Buteba HCIII. • Dell Desk Top Computer, located at Community Based Services, with senior probation officer. • SAKAI ROLLER, MODEL SV520, acquired on 22/2/2018 located at Engineering department. 	<p>0</p>

<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 	<ul style="list-style-type: none"> • The LG Financial Statement 2017/2018 had unqualified audit opinion.. 	<p>4</p>
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Governance, oversight, transparency and accountability

<p>The LG Council meets and discusses service delivery related issues</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the Council meets and discusses service delivery related issues including TPC reports, monitoring reports, performance assessment results and LG PAC reports for last FY: score 2 	<p>Review of seven (7) sets of minutes of Council for meetings held on 22nd/09/2017, 27th/9/2017, 5th/12/2017, 29th/01/2018, 28th/03/2018, 29th/05/2018 and 29th/06/2018 affirmed that though some service delivery issues had been considered, performance assessment results for FY 2017/18 and LG PAC reports had not been discussed. Performance assessment results 2017/18 had only been presented by Ag. District Chairperson in meeting of 29th/06/2018 under Min. COU/127/6/2018 but not discussed.</p> <p>Examples of issues discussed included:</p> <ul style="list-style-type: none"> • Child protection bill No.1 2017 under Min. COU/79/09/2017 of 22nd/09/2017 • Supplementary budgets for roads, OWC and facilitation of Agricultural extension workers; and another worth 69,148,000= for repair of x-ray machine, pit latrine construction, water harvesting system, operationalization of newly created TCs and retreat for Councillors, in meeting of 5th/12/2017 and 29th/06/2018, respectively. • Establishment of SMART village project under public-private arrangement in meeting of 28th/03/2018 • Committee reports and recommendations on workplans and budgets for 2018/19 under Min. COU/120/5/2018 in meeting of 29th/05/2018. 	<p>0</p>
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<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that LG has designated a person to coordinate response to feed-back (grievance /complaints) and responded to feedback and complaints: score 1. 	<ul style="list-style-type: none"> • The LG had not designated a person to coordinate response to feedback. Though LG had a Complaints box at district H/Q it was not evident that the box was being regularly opened and that issues raised had been followed up. • However some responses to feedback had been made in FY 2017/18 e.g. radio announcements dated 16th/01/2018 had been made giving clarifications in response to rumours that government intended to mark and take over indigenous trees, and another (not dated) in response to alleged solicitation of bribe in the human resource management function (for an officer to be confirmed, given appointment, for access to pension or gratuity) 	<p>0</p>
<p>The LG has responded to the feedback/ complaints provided by citizens</p> <p>Maximum 2 points on this Performance Measure</p>	<ul style="list-style-type: none"> • The LG has specified a system for recording, investigating and responding to grievances, which should be displayed at LG offices and made publically available: score 1 	<ul style="list-style-type: none"> • LG had not specified system specified and displayed/ publicised. • However a Civil Society Organisation, Women of Uganda Network, had put in a place a platform through SMS for reporting and giving feedback on complaints by community members. 	<p>0</p>
<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<p>Evidence that the LG has published:</p> <ul style="list-style-type: none"> • The LG Payroll and Pensioner Schedule on public notice boards and other means: score 2 	<ul style="list-style-type: none"> • LG Payroll July 2018 and Pensioner schedule had been displayed. 	<p>2</p>

<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that the procurement plan and awarded contracts and amounts are published: score 1. 	<ul style="list-style-type: none"> • Though Procurement notice no. 3 FY 2018/19 (bid solicitation) had been displayed, the Procurement plan for FY 2018/19 was not on display 	<p>0</p>
<p>The LG shares information with citizens (Transparency)</p> <p>Total maximum 4 points on this Performance Measure</p>	<ul style="list-style-type: none"> • Evidence that the LG performance assessment results and implications are published e.g. on the budget website for the previous year (from budget requirements): score 1. 	<ul style="list-style-type: none"> • LG performance assessment results for FY 2017/18 and implications had not been published on the notice boards at H/Q. 	<p>0</p>
<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the HLG have communicated and explained guidelines, circulars and policies issued by the national level to LLGs during previous FY: score 1 	<p>The HLG (district) had communicated and explained guidelines and circulars to LLGs in FY 2017/18 as evidenced by:</p> <ul style="list-style-type: none"> • Letter by CAO to SASs under CR/210/14 dated 19th/06/2017 giving guidance on implementation of DDEG –PRDP interventions and another under CR/213/3 dated 26th/02/2018 communicating the 2nd Budget Call Circular for FY 2018/19. • Report of review meeting of DDEG held on 17th/10/2017 which affirmed that DDEG guidelines and First Budget Call Circular FY 2018/19 had been explained to the LLGs under section 2 and 3. 	<p>1</p>

<p>The LGs communicates guidelines, circulars and policies to LLGs to provide feedback to the citizens</p> <p>Maximum 2 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that LG during the previous FY conducted discussions (e.g. municipal urban fora, barazas, radio programmes etc.) with the public to provide feed-back on status of activity implementation: score 1. 	<p>LG had conducted discussions with the public to provide feedback on status of implementation of activities during FY 2017/18, for example:</p> <ul style="list-style-type: none"> • Baraza had been conducted on 7th/12/2017 in Buyanga SC at Buyanga P.S as evidenced by report dated 11th/12/2017 prepared by the Information Officer. • Radio talk shows had been held by various departments including Production, Planning unit, Works and Community Based Services on Jogo FM e.g. Works department on 20th/12/2017 –discussed achievements of FY 2016/17 and projections for FY 2017/18 as evidenced by report prepared by the Information officer. 	<p>1</p>
<p>Social and environmental safeguards</p>			
<p>The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the LG gender focal person and CDO have provided guidance and support to sector departments to mainstream gender, vulnerability and inclusion into their activities score 2. 	<p>The DCDO/ Gender focal person made a presentation of National Priority Gender Equity Indicators to Senior Management Team, DTPC and Sector Heads in the LG at a DTPC meeting of 28th September 2017.</p> <p>The activity was intended to support the DTPC and Sector Heads of the LG to generate sector specific gender equity indicators for inclusion into their respective plans</p>	<p>2</p>

<p>The LG has mainstreamed gender into their activities and planned activities to strengthen women's roles</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> Evidence that the gender focal point and CDO have planned for minimum 2 activities for current FY to strengthen women's roles and address vulnerability and social inclusions and that more than 90 % of previous year's budget for gender activities/ vulnerability/ social inclusion has been implemented: score 2. 	<p>The DCDO/Gender focal person has planned several activities for 2018/2019 to strengthen women's roles and address vulnerability and social inclusion.</p> <p>These include; Women Council Activities-4,959,040/=, implementing UWEP- 221,000,000/=, Gender mainstreaming in Sector Plans by members of DTPC – 1,000,000/=, facilitating meetings of Older Persons Councils at District level- 2,000,000/=, Implementing YLP-426,622,453, DDEG Programme- transfers to LLGs to support IGA's-376,936,134/=, Support to PWD's for referrals and meetings- 3,099,400/=, Conducting Functional Adult Literacy classes- 12,397,600/=</p> <p>According to the Financial Statement of the LG for the FY ended 30th June 2018, the approved budget for the Community Based Services Department was 947,020,080 and the actual was 649,183,458. This translates into 69% of the budget implemented</p>	<p>0</p>
<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> Evidence that environmental screening or EIA where appropriate, are carried out for activities, projects and plans and mitigation measures are planned and budgeted for: score 1 	<p>At the time of assessment the LG had some screening forms for projects undertaken in 2017/2018. For instance, the screening form and Environmental plan for the construction of Majanji HC II (Phase 1) was availed. The screening form is dated 24/7/2018 and is prepared by the Environment Officer</p> <p>Also, the screening form and Environmental plan for the construction of the office block at Masinya S/C was seen. The screening form is dated 14/6/2018 and is prepared by the Environment Officer</p> <p>However, out of a sample of 5 projects, only the above two could be traced which means that environmental screening was not done for all projects</p>	<p>0</p>

<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG integrates environmental and social management and health and safety plans in the contract bid documents: score 1 	<p>At the time of assessment, there was no evidence produced to prove that there was deliberate integration of environmental and social management, health and safety issues into the bid documents</p>	<p>0</p>
<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all projects are implemented on land where the LG has proof of ownership (e.g. a land title, agreement etc.): score 1 	<p>In a sample of 5, only one project was implemented on land that was secured with a title- that is the administration block constructed in Buyanga Sub-County (Certificate of Title: Free Hold, Volume HQT1631, Folio 16)</p> <p>(a)The construction of the 2 classroom block at Dabani P/S, built on Catholic Church Property- arrangement with Government in this regard not known</p> <p>(b) The construction of an Administration Block, 2 units of a 5 stance lined VIP Pit latrine and 1 unit of a 2 stance lined VIP latrine for Majanji Seed Secondary School- Ownership of land not clarified at the time of assessment</p> <p>(c) The construction of the Maternity Ward at Majanji Health Centre II- On Government land but not yet titled</p> <p>(d) The construction of the administration office block (phase 1) at Masinya S/C- Government land but status not provided at the time of assessment</p>	<p>0</p>

<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all completed projects have Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO: score 1 	<p>Environmental and Social Mitigation Certification Form completed and signed by Environmental Officer and CDO were not produced at the time of assessment</p>	<p>0</p>
<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the contract payment certificated includes prior environmental and social clearance (new one): Score 1 	<p>There was evidence that the LG had produced certificates of compliance with environmental obligations e.g. for the construction of a latrine at Buyanga S/C, dated 13/6/2018 and endorsed by the District Environment Officer. However, this certificate lacked the social dimension and was not endorsed by the CDO</p>	<p>0</p>

<p>LG has established and maintains a functional system and staff for environmental and social impact assessment and land acquisition</p> <p>Maximum 6 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that environmental officer and CDO monthly report, includes a) completed checklists, b) deviations observed with pictures, c) corrective actions taken. <p>Score: 1</p>	<p>No monthly reports of this nature were produced at the time of assessment</p>	<p>0</p>
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Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management			
<p>The LG education de- partment has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has budgeted for a Head Teacher and minimum of 7 teachers per school (or minimum a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>In the performance contract for FY 2018/19, the budget of UG shillings 8,618,427,685 /= was approved to pay 1306 teachers in 117 schools, with each school having a headteacher and minimum of seven teachers. Currently, 1292(99%) teachers are in post. According to staff of affairs report , September 2018, the staff ceiling for primary teachers is 1600 for Busia district.</p>	4
<p>The LG education de- partment has budgeted and deployed teachers as per guidelines (a Head Teacher and minimum of 7 teachers per school)</p> <p>Maximum 8 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has deployed a Head Teacher and minimum of 7 teachers per school (or minimum of a teacher per class for schools with less than P.7) for the current FY: score 4 	<p>The current staff list from the office of DEO, show that all 117 primary schools have a headteacher and a teacher per class. According to the DEO 2 of the 117 are primary six level school, for example, Bulengi PS . The staff lists checked during the visit to the following schools; Bukwekwe PS has 17 teachers , Masafu PS has 17 teachers , Dabani Girls' PS has 15 teachers , Buhobe PS has and Namugonda PS has 18 teachers. All in compliance with deployment condition. Of the 117 headteachers , 102 are substantive and 15 are in the acting positions</p>	4
<p>LG has substantively recruited all primary school teachers where there is a wage bill provision</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has filled the structure for primary teachers with a wage bill provision <ul style="list-style-type: none"> If 100%: score 6 If 80 - 99%: score 3 If below 80%: score 0 	<p>Busia LG has a staff ceiling of 1,600 primary teachers. In the FY 2018/19, a total of 1306 of the structure for teachers have a wage bill provision of 8,618,427,685 /=. The staff lists from the office of the DEO indicate that 1292 teachers are in post , representing 99% filled post within approved wage bill.</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 	<p>Busia Local Government approved and adopted structure under ref ARC135/306/01 as dated on 30th of August 2017 indicates that the district has 1 position of Senior Inspector of Schools and 2 positions of Inspectors of Schools, and 1 position of Inspectors of schools are filled and 2 are not yet filled or advertised.</p>	<p>0</p>
<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • Primary Teachers: score 2 	<p>The recruitment plan for the current FY 2018/19 submitted to the central registry on 2nd July 2018, indicating the following positions to be filled:</p> <ul style="list-style-type: none"> - 9 head teachers ; - 78 Deputy Head teachers - 43 senior education assistants; - 313 Education Assistant 	<p>2</p>
<p>The LG Education department has submitted a recruitment plan covering primary teachers and school inspectors to HRM for the current FY.</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the LG Education department has submitted a recruitment plan to HRM for the current FY to fill positions of</p> <ul style="list-style-type: none"> • School Inspectors: score 2 	<p>The recruitment plan for the current FY 2018/19 submitted to the central registry on 2nd July 2018, indicating the following positions to be filled: 1 Senior Inspector of Schools and 1 Inspector of schools</p>	<p>2</p>
<p>Monitoring and Inspection</p>			

<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p> <p>Maximum 6 for this performance measure</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • 100% school inspectors: score 3 	<p>The Inspector of Schools (Mr.Wanyama Lumumba-appointed under DSC Min.102/2006) had been appraised during FY 2017/18. The annual performance report was on file, duly filled and signed by DEO on 30/6/18, and this translates to 100% of appraised inspectors of schools.</p> <p>The approved and adopted staff structure for Busia DLG dated 30/8/17 provides for (3) positions of Inspectors of Schools. Only one position is substantively filled.</p>	3
<p>The LG Education department has conducted performance appraisal for school inspectors and ensured that performance appraisal for all primary school head teachers is conducted during the previous FY.</p> <p>Maximum 6 for this performance measure</p>	<p>Evidence that the LG Education department has ensured that all head teachers are appraised and has appraised all school inspectors during the previous FY</p> <ul style="list-style-type: none"> • Primary school head teachers o 90 - 100%: score 3 o 70% and 89%: score 2 o Below 70%: score 0 	<p>Busia DLG has (117) Government aided primary schools. There are (104) substantively appointed head teachers and (13) HTs on assignment.</p> <p>45% (53 out of 117) HTs had been appraised during calendar year 2017. For example;</p> <ul style="list-style-type: none"> a) Wanyama Alex-Bwanikha P/S, Busime S/C was appraised on 28/4/18 b) P.Adengero-Nakoola P/S, Sikuda S/C was appraised on 26/2/18 c) P.Wafula-Mrehenyi P/S, Masaba S/C, was appraised on 1/6/18 by DEO d) Nehumye Rose-Budandu P/S, Masafu S/C was appraised on 30/3/18 e) Etc. 	0

<p>The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has communicated all guidelines, policies, circulars issued by the national level in the previous FY to schools: score 1 	<p>According to the DEO, some of the guidelines, circulars and policy documents received from the national level in the previous FY 2017/18 were communicated to the schools.</p> <ul style="list-style-type: none"> - Teachers' support supervision received on 2nd July 2017 - School feeding program received on 22nd June 2018 - Ensuring teacher presence in schools received on 13th July 2017 - Registration of Learners from 5year age received on 6th of December 2017 - Enforcement of the standard operating procedure for private schools in Uganda received on 20th February 2018 <p>In a circular letter dated 8th August 2017, under ref CR/305/1, the DEO informed all the headteachers of education institutions to ensure that teachers are in school during working hours.</p> <p>In a circular letter, date 12th July 2017, the DEO reminded the headteachers to sensitize parents on the school feeding program.</p>	<p>1</p>
<p>The LG Education Department has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to schools</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has held meetings with primary school head teachers and among others explained and sensitised on the guidelines, policies, circulars issued by the national level: score 2 	<p>Generally, the LG education hold meetings on term basis with headteachers to inform them about education policies and new programs as received from the centre. For example, there was evidence that 14th November 2017, headteachers and DEO had a meeting to discuss issues pertaining academics, MDD , games and Sports and ECD. On 16th March 2018, another meeting of headteachers with LG education was held to discuss to issues relating co-curricular activities in schools</p>	<p>2</p>

<p>The LG Education De- partment has effectively inspected all registered primary schools2</p> <p>Maximum 12 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all licenced or registered schools have been inspected at least once per term and reports produced: <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. 	<p>There are 172 schools(G & P) under Busia LG, and $172 \times 3 = 516$ inspections were expected as requirement in 3 terms FY 2017/18</p> <p>The schools inspections, both in 117 government aided and 52 private primary schools were conducted:</p> <ul style="list-style-type: none"> - Term II 2017: 117 government schools and 42 Private schools - Term III 2017: 117 governments aided and no evidence of inspection of private schools in the report submitted to MoES. - Term 1 2018: 117 government schools and 25 private schools. <p>Average school inspection coverage as per report = $(428/516) \times 100 = 83\%$</p> <p>Sample school inspection coverage, there was evidence of feedback report in 3 academic terms that</p> <ul style="list-style-type: none"> (1) Masafu PS was inspected 3 times out of 3(100%) (2) Namungodi PS was inspected 3 out of 3(100%) (3) Bukwekwe PS was inspected 0 out of 3 (0%) (4) Buhobe PS was inspected 0 out 3 (0%) (5) Dabani Girls PS was inspected 3 out of 3 (100%) <p>Sample school inspection coverage $(100 + 100 + 100 + 0 + 0 + 100)/5 = 60\%$</p> <p>Overall school inspection coverage = $(60 + 83)/2 = 72\%$</p>	<p>6</p>
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<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the Education department has discussed school inspection reports and used reports to make recommendations for corrective actions during the previous FY: score 4 	<p>There was evidence that reports were discussed and follow-ups on inspection reports were made in the last FY 2018/17 and meetings held that generated further recommendations for corrective action on the following dates:</p> <ul style="list-style-type: none"> - 15th August 2017 - 12th August 2017 - 29th November 2017 - 8th March 2018 - 30th April 2018 - 19th April 2018 - 29th March 2018 <p>The keys discussed were: the need to intensify support supervision , provided midday meals and ensure parents to attend and participate in schools activities such meetings.</p>	<p>4</p>
<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department has submitted school inspection reports to the Directorate of Education Standards (DES) in the Ministry of Education and Sports (MoES): Score 2 	<p>There was no evidence that inspection report was submitted to DES.</p>	<p>0</p>

<p>LG Education department has discussed the results/ reports of school inspections, used them to make recommendations for corrective actions and followed recommendations</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the inspection recommendations are followed- up: score 4. 	<p>The School Inspection reports for FY 2018/17 had the following recommendations are usually followed up:</p> <ul style="list-style-type: none"> In letter dated 1st March 2018, DEO directed the head teacher of Lwanikha P/S, to meet the parents so that they provide uniform and midday meals to the children. In letter dated 30th March 2018, DEO directed the Inspectorate department to conduct a comprehensive inspection on the teaching and learning process in Bright way primary school. 	4
<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has submitted accurate/consistent data: <ul style="list-style-type: none"> List of schools which are consistent with both EMIS reports and PBS: score 5 	<p>List of schools which are not consistent with both EMIS reports and PBS. While EMIS from MoES contained 115 government aiged primary schools , the school list from LG education had 117 schools</p>	0
<p>The LG Education department has submitted accurate/consistent reports/date for school lists and enrolment as per formats provided by MoES</p> <p>Maximum 10 for this performance measure</p>	<p>Evidence that the LG has submitted accurate/consistent data:</p> <ul style="list-style-type: none"> Enrolment data for all schools which is consistent with EMIS report and PBS: score 5 	<p>Enrolment data for all schools which is consistent with EMIS report and PBS. For example in EMIS from MoES the enrollment data as per 2017, AMONIKAKINEI P.S recorded 1318 with a deviation of 1 , BUTEBA P.S recorded 759 with no deviation and KAYORO P.S recorded 1040 with a deviation of 150 pupils.</p>	0
Governance, oversight, transparency and accountability			

<p>The LG committee re- sponsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the 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>Review of three (3) sets of minutes of the Social Services committee for the meetings of 5th/09/2017, 7th/11/2017 and 15th/02/2018 indicated that though some service delivery issues had been considered, the committee had not discussed performance assessment results and LG PAC reports. Examples of issues discussed included:</p> <ul style="list-style-type: none"> • Education department report in meeting of 5th/09/2017 e.g. hailed department for absorbing all funds released for the previous FY, nominated representatives of Council to B.o.Gs for Tiira SS and Majanji SS and Busia Teachers College. • Performance of pupils in PLE and inspection of schools in meeting of 15th/02/2018. 	<p>0</p>
<p>The LG committee re- sponsible for education met, discussed service delivery issues and pre- sented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the education sector committee has presented issues that require approval to Council: score 2 	<p>Education, Health and Community Based Services Committee presented Q4 2017/18 report and recommendations for Council approval in meeting of 27th/9/2017 under Min. COU/86(a)/9/2017. e.g recommended provision of washrooms and changing rooms in schools for girls and sensitisation of parents to provide school meals for the pupils; and, in Council meeting of 29th/05/2018 Committee presented workplans and budgets for 2018/19 for Council approval under Min. COU/120(a)/5/2018</p>	<p>2</p>

<p>Primary schools in a LG have functional SMCs</p> <p>Maximum 5 for this performance measure</p>	<p>Evidence that all primary schools have functional SMCs (established, meetings held, discussions of budget and resource issues and submission of reports to DEO/ MEO)</p> <ul style="list-style-type: none"> • 100% schools: score 5 • 80 to 99% schools: score 3 • Below 80 % schools: score 0 	<p>The following school files were randomly sampled and reviewed:</p> <p>(1) Buyinde PS had submitted 3 sets of minutes of SMC in term 1 2018 , term II 2018 and term III 2017 , with evidence of budget discussion .</p> <p>(2) Bukoba PS had submitted minutes of SMC but authentic because of no signature by the chairperson of the meeting(probably score 3/3)</p> <p>(3) Dabani PS had submitted all sets of minutes (score 3/3)</p> <p>(4) Namugondi PS had submitted all sets of minutes (score 3/3)</p> <p>(5) Buhobe PS had no functional SMC and not submitted(score 0/3)</p> <p>Percentage score= $(3+3+3+3+0)/15 = (12/15)= 80\%$</p> <p>Generally, the functionality of SMCs in school can be rated as 80%.</p>	<p>3</p>
<p>The LG has publicised all schools receiving non- wage recurrent grants</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has publicised all schools receiving non-wage recurrent grants <p>e.g. through posting on public notice boards: score 3</p>	<p>There was evidence of display of UPE grants on the notice board of the LG for public view.</p>	<p>3</p>
<p>Procurement and contract management</p>			

<p>The LG Education department has submitted input into the LG procurement plan, complete with all technical requirements,</p> <p>to the Procurement Unit that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has submitted procurement input to Procurement Unit that covers all investment items in the approved Sector annual work plan and budget on time by April 30: score 4 	<p>There was no evidence that the sector has submitted procurement input to Procurement Unit that covers all investment items in the approved Sector annual work plan and budget on time by April 30</p>	<p>0</p>
<p>Financial management and reporting</p>			

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

Maximum 3 for this performance measure

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

• The LG Education department timely certified and recommended suppliers for payment as per the contract terms and conditions.

Examples of contracts verified are:

(1)-Procurement Ref:08/BUSI 507/wrks/2017-2018/01219 by MS Ziba Contractors Ltd, for construction of 2 classroom block, head teacher's office and store at Makina p/school phase 1, contract price of shs 49,500,000 date of completion and requisition for payment 11/1/2018, date of certification by CAO for payment 22/1/2018, date of actual payment 29/1/2018,payment voucher no.PV-ED01343, amount paid shs 44,737,636.

Delay period was 11 days i.e (11/1/2018 up-to 29/1/2018).

The delay period did not exceed the maximum 2 months limit, therefore, certification by LG was timely.

(2)-Procurement Ref:04/BUSI 507/wrks/2017-2018/00219 by MS Spot Contractors (u) Ltd, for construction of 2 classroom block, at Naswere p/school in Bulumbi sub-county, contract price of shs 53,557,020 date of completion and requisition for payment 13/9/2017, date of certification by CAO for payment 22/9/2017, date of actual payment 6/10/2017,payment voucher no.PV-ED01337, amount paid shs 32,991,946.

Delay period was 9 days i.e (13/9/2017 up-to 22/9/2017).

The delay period did not exceed the maximum 2 months limit, therefore, certification by LG was timely.

<p>The LG Education department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the department submitted the annual performance report for the previous FY (with availability of all four quarterly reports) to the Planner by 15th of July for consolidation: score 4 	<p>PBS System Administrator messages confirmed that though the Education department had submitted annual performance report for the FY 2017/18, including all the four quarterly reports, to the planning unit for consolidation the Q4/Annual report was submitted late – past 15th July. Submission dates were:</p> <ul style="list-style-type: none"> • Quarter I: 22nd/12/2017 • Quarter II: 5th/02/2018 • Quarter III: 11th/05/2018 • Quarter IV/Annual: 11th/08/2018 	<p>0</p>
<p>LG Education has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year <ul style="list-style-type: none"> o If sector has no audit query score 4 o If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: score 2 o If all queries are not responded to score 0 	<p>The sector did not have any audit queries for the previous FY, therefore, there were no recommendations to be acted on by the sector in respect of status of implementation.</p> <p>This is evidenced in all quarterly internal audit reports produced and submitted to the District Chairperson, CAO and PAC.</p>	<p>4</p>
<p>Social and environmental safeguards</p>			

<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department in consultation with the gender focal person has disseminated guidelines on how senior women/men teachers should provide guidance to girls and boys to handle hygiene, reproductive health, life skills, etc.: Score 2 	<p>There is no evidence that the LG Education Department in consultation with the gender focal point had disseminated guidelines on how senior women/men teachers should provide guidance to girls and boys on various issues</p>	<p>0</p>
<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that LG Education department in collaboration with gender department have issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools: score 2 	<p>There is no evidence that the LG Education Department in collaboration with the Gender Department have issued and explained guidelines on how to manage sanitation for girls and PWDs in primary schools</p>	<p>0</p>
<p>LG Education Department has disseminated and promoted adherence to gender guidelines</p> <p>Maximum 5 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the School Management Committee meets the guideline on gender composition: score 1 	<p>There was evidence that the School Management Committee meets the guideline on gender composition as per Education Act 2008. For instance, each of the SMCs of Buyinde PS , Bukoba PS , Dabani PS and Namugondi PS has at least two women appointed by the school foundation body.</p>	<p>1</p>

<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Education department in collaboration with Environment department has issued guidelines on environmental management (tree planting, waste management, formation of environmental clubs and environment education etc.): score 1: 	<p>The Education Department in collaboration with the Environment Department developed School Environment Protection Guidelines dated November 2017. These have been issued to 60 Head Teachers so far. The distribution list was availed</p>	<p>1</p>
<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that all school infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: Score 1 	<p>There was evidence that the LG had screened projects but in a sample of five projects, two education projects had not been screened which was an indicator that not all school infrastructure projects were screened.</p>	<p>0</p>
<p>LG Education department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: Score 1 	<p>The Environment officer had visited some of these sites and even issued environmental clearance for completed projects in relation to the level of implementation of mitigation measures. However there is no evidence that the CDO did the same as is required-</p>	<p>0</p>

Summary of requirements	Definition of compliance	Compliance justification	Score
Human resource planning and management			
<p>LG has substantively recruited primary health care workers with a wage bill provision from PHC wage</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that LG has filled the structure for primary health care with a wage bill provision from PHC wage for the current FY</p> <ul style="list-style-type: none"> • More than 80% filled: score 8 • 60 – 80% - score 4 • Less than 60% filled: score 0 	<p>The performance contract 2018/19 FY, indicates the PHC wage bill provision of UGX 3,162,257,000 and the wage bill for staff in post of UGX 1,908,760,764 leaving a balance of UGX 1,253,496,236 unutilised.</p> <p>From the approved annual work plan, the staffing level stands at 51% i.e below 60%.</p>	0
<p>The LG Health department has submitted a comprehensive recruitment plan for primary health care workers to the HRM department</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that Health department has submitted a comprehensive recruitment plan/request to HRM for the current FY, covering the vacant positions of primary health care workers: score 6</p>	<p>Submission letter dated 26/9/2018 was obtained on file at DHO's office after the performance contract was done months earlier hence it did not inform the District recruitment plan.</p>	0

<p>The LG Health department has conducted performance appraisal for Health Centre IVs and Hospital In-charge and ensured performance appraisals for HC III and II in-charges are conducted</p> <p>Maximum 8 points for this performance measure</p>	<p>Evidence that the all health facilities in-charges have been appraised during the previous FY:</p> <ul style="list-style-type: none"> o 100%: score 8 o 70 – 99%: score 4 o Below 70%: score 0 	<p>Busia DLG has only a general hospital –Masafu General Hospital. The health facility in-charge (Dr.Tusiime Emmanuel-appointed under DSC Min.133/2013 as Medical Officer) was appraised for FY 2017/18. The annual performance report was on file, duly filled on 16/8/18 and signed by PAS on 29/8/18. This translates into 100% of health facility in-charges appraised for FY 2017/18</p>	<p>8</p>
<p>The Local Government Health department has deployed health workers across health facilities and in accordance with the staff lists submitted together with the budget in the current FY.</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG Health department has deployed health workers in line with the lists submitted with the budget for the current FY, and if not provided justification for deviations: score 4 	<p>The staff list submitted with the budget for 2018/19 matches with the actual staff deployed at the health facilities as per the list obtained from the sampled facilities. Two cases of mismatch identified were explained i.e Mr Barasa Daglas transferred from Masafu Hospital to Bulumbi HCIII and Buluma Prisca from Lumino HCIII to Lunyo HCII</p>	<p>4</p>
<p>Monitoring and Supervision</p>			
<p>The DHO/MHO has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to health facilities</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the DHO/ MHO has communicated all guidelines, policies, circulars issued by the national level in the previous FY to health facilities: score 3 	<p>The DHO communicated guidelines/circulars e.g. the circular on HPV vaccination dated 3/4/2018, Circular standing instruction No.4 of 2017 communicated to all in charges on 3/4/2018, referral guidelines for cancer communicated in a letter dated 27/9/2017.</p>	<p>3</p>

<p>The DHO/MHO has effectively communicated and explained guidelines, policies, circulars issued by the national level in the previous FY to health facilities</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the DHO/ MHO has held meetings with health facility in- charges and among others explained the guidelines, policies, circulars issued by the national level: score 3 	<p>Guidelines and circulars were explained to in charges as per the review meetings with facility in charges held on the following dates; 25/5/2018 , 25/9/2017 as well as during extended DHMT meetings held on 30/11/2017, 30/12/17 and 30/3/2018.</p>	<p>3</p>
<p>The LG Health Department has effectively provided support supervision to district health services</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that DHT/MHT has supervised 100% of HC IVs and district hospitals (including PNFPs receiving PHC grant) at least once in a quarter: score 3</p>	<p>The District has two Hospitals and no HCIVs i.e. Masafu General Hospital and Daban Hospital (PNFP). Support supervision was done for all quarters covering all facilities including hospitals as per supervision reports dated as follows; Q1- 3/10/2017, Q2- 5/1/18, Q3-4/4/2018 and Q4- 4/7/2018.</p>	<p>3</p>
<p>The LG Health Department has effectively provided support supervision to district health services</p> <p>Maximum 6 points for this performance measure</p>	<p>Evidence that DHT/MHT has ensured that HSD has super- vised lower level health facili- ties within the previous FY:</p> <ul style="list-style-type: none"> If 100% supervised: score 3 80 - 99% of the health facilities: score 2 60% - 79% of the health facilities: score 1 Less than 60% of the health facilities: score 0 	<p>During the FY 2017/18, support supervision was done for 13 facilities by one of the HSD (Musafu General Hospital). The other 14 facilities under Dabani Hospital as a HSD were not supervised at all allegedly due to lack of funds i.e 13/27= 48.1% (below 60%)</p>	<p>0</p>

<p>The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up</p> <p>Maximum 10 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that all the 4 quarterly reports have been discussed and used to make recommendations (in each quarter) for corrective actions during the previous FY: score 4 	<p>Three of the quarterly reports were discussed as per the DHMT meetings held on the following dates; Q1- 30/9/2017, Q2- 30/12/2017 and Q3- 30/3/2018. During the meetings some recommendations were made e.g. instituting arrival/departure book, maintaining record of immunization tally sheets, orientation of staff on HMIS etc. Q4 report was never discussed.</p>	<p>0</p>
<p>The LG Health department (including HSDs) have discussed the results/reports of the support supervision and monitoring visits, used them to make recommendations for corrective actions and followed up</p> <p>Maximum 10 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the recommendations are followed – up and specific activities undertaken for correction: score 6 	<p>Some of the recommendations were followed up as per the minutes of Q3 dated 30/3/2018 e.g orientation of staff on HMIS, new staff were mentored by the biostatistician, duty rosters were put in place etc.</p>	<p>6</p>
<p>The LG Health department has submitted accurate/consistent reports/data for health facility lists receiving PHC funding as per formats provided by MoH</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG has submitted accurate/consistent data regarding: <ul style="list-style-type: none"> List of health facilities receiving PHC funding, which are consistent with both HMIS reports and PBS: score 10 	<p>The list of facilities is consistent with PBS (performance contract. All the reporting facilities (including facility under the municipality) submitted HMIS forms 105 (100%) and 108 (100%) for both July and August 2018. Form 012 was submitted 100% for July and 90% for august 2018.</p>	<p>10</p>

Governance, oversight, transparency and accountability

<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 LG committee responsible for health met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports etc. during the previous FY: score 2 	<p>Review of three (3) sets of minutes of the Social Services committee for the meetings of 5th/09/2017, 7th/11/2017 and 15th/02/2018 affirmed that though some service delivery issues had been discussed the committee had not considered performance assessment results for FY 2017/18 and LG PAC reports. Examples of issues discussed included:</p> <ul style="list-style-type: none"> Health department report in meeting of 5th/09/2017 -recommended that delivery beds be purchased for Buteba and Mbehenyi HCs, on 7th/11/2017 -recommended roll out of the voucher system (for pregnant mothers) to Lumino HC IV, commended Health department for containing the cholera outbreak (in Namayingo district from spreading to Busia district) and in meeting of 15th/02/2018 discussed use of uniforms by all health workers and reports of Masafu General Hospital and Dabani Hospital. 	<p>0</p>
<p>The LG committee responsible for health met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the health sector committee has presented issues that require approval to Council: score 2 	<p>Education, Health and Community Based Services Committee presented Q4 2017/18 report and recommendations for Council approval in meeting of 27th/9/2017 under Min. COU/86(b)/9/2017. e.g recommended recruitment of more health staff and repair of the CD4 and X-ray machines; and in Council meeting of 29th/05/2018 Committee presented workplans and budgets for 2018/19 for Council approval under Min. COU/120(a)/5/2018.</p>	<p>2</p>

<p>The Health Unit Management Committees and Hospital Board are operational/functioning</p> <p>Maximum 6 points</p>	<p>Evidence that health facilities and Hospitals have functional HUMCs/Boards (established, meetings held and discussions of budget and resource issues):</p> <ul style="list-style-type: none"> • If 100% of randomly sampled facilities: score 6 • If 80-99 %: score 4 • If 70-79: %: score 2 • If less than 70%: score 0 	<p>Two (2) of the five (5) facilities had all the four mandatory quarterly meetings i.e Namungodi HCIII and Musafu general Hospital. The other 3 had less than 4 mandatory meetings as follows; Lumino HCIII held 3 meetings (Q1 meeting not held), BulumbiHCIII held 3 meetings (Q4 was missed) and Dabani Hospital held 1 meeting in Q4 i.e. 2/5= 40% (below 60%).</p>	<p>0</p>
<p>The LG has publicised all health facilities receiving PHC non-wage recurrent grants</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the LG has publicised all health facilities receiving PHC non- wage recurrent grants e.g. through posting on public notice boards: score 4 	<p>The LG did not publicise health facilities receiving PHC non-wage. i.e. no evidence on the on health department notice board as well as the district notice board.</p>	<p>0</p>
<p>Procurement and contract management</p>			
<p>The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the sector has submitted input to procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time by April 30 for the current FY: score 2 	<p>Submission of Health Department Procurement Plan for 2018/2019 was done in a letter to PDU dated 13/8/2018 much later than 30th April deadline.</p>	<p>0</p>

<p>The LG Health department has submitted input to procurement plan and requests, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that LG Health department submitted procurement request form (Form PP5) to the PDU by 1st Quarter of the current FY: score 2. 	<p>At the time of assessment, the Health Department had submitted procurement requests (PPform 1) .e.g.</p> <p>Maternity ward Construction at Bujanji HCII, Construction of OPD at Hasyule HCII and construction of placenta pit at Buwumbe HCII dated 14/8/2017. i.e. Submissions were done by end of 1st quarter.</p>	<p>2</p>
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The LG Health department has certified and initiated payment for supplies on time

Maximum 4 for this performance measure

- Evidence that the DHO/ MHO (as per contract) certified and recommended suppliers timely for payment: score 4.

- The LG Health department timely certified and recommended suppliers for payment as per the contract terms and conditions.

Examples of contracts verified are:

(1)-Procurement Ref:02/BUSI 507/wrks/2017-2018/ 00519 by MS Nafito General Contractors Ltd, for up- grading of Majanji HCIII by Construction of Maternity Ward(phase 2), contract price of shs 49,477,792 date of completion and requisition for payment 24/4/2018, date of certification by CAO for payment 14/6/2018, date of actual payment 14/4/2018,payment voucher no.PV-HE01177, amount paid shs 44,586,547.

Delay period was 50 days i.e (24/4/2018 up-to 14/6/2018).

The delay period did not exceed the maximum 2 months limit, therefore, certification by LG was timely.

(2)-Procurement Ref:05/BUSI 507/wrks/2017-2018/ 00919 by MS Muzak Enterprises Ltd, for renovation of OPD , at Namasyolo HCII, contract price of shs 18,986,494 date of completion and requisition for payment 15/2/2018, date of certification by CAO for payment 6/3/2018, date of actual payment 28/3/2018,payment voucher no.PV-HE01308, amount paid shs 17,112,312.

Delay period was 21 days i.e (15/2/2018 up-to 6/3/2018).

The delay period did not exceed the maximum 2 months limit, therefore, certification by LG was timely.

Financial management and reporting

<p>The LG Health department has submitted annual reports (including all quarterly reports) in time to the Planning Unit</p> <p>Maximum 4 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 4 	<p>PBS System Administrator messages confirmed that though the Health department had submitted annual performance report for the FY 2017/18, including all the four quarterly reports, to the planning unit for consolidation the Q4/Annual report was submitted late – past 15th July. Submission dates were:</p> <ul style="list-style-type: none"> Quarter I: 22nd/12/2017 Quarter II: 5th/02/2018 Quarter III: 11th/05/2018 Quarter IV/Annual: 11th/08/2018 	<p>0</p>
<p>LG Health department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year</p> <ul style="list-style-type: none"> If sector has no audit query: Score 4 If the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year: Score 2 points If all queries are not responded to Score 0 	<p>The Health sector did not have any audit queries for the previous FY, therefore, there were no recommendations to be acted on by the sector in respect of status of implementation.</p> <p>This was evidenced in all quarterly internal audit reports produced and submitted to the District Chairperson, CAO and PAC.</p>	<p>4</p>
<p>Social and environmental safeguards</p>			
<p>Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.</p> <p>Maximum 4 points</p>	<ul style="list-style-type: none"> Evidence that Health Unit Management Committee (HUMC) meet the gender composition as per guidelines (i.e. minimum 30 % women: score 2 	<p>Two (2) of the five (5) sampled health facilities met the gender requirement of 30% females on the HUMC i.e. Masfu Hospital has 4 females out of 10 members (40%) and Namungodi HCII has 2 females out of 6 members (33.3%). The other three fall short of the gender requirement i.e Daban hospital has 3 females out of 12 members (25%), Bulumbi HCIII has 2 females out of 7 members (28.6%) and Lumino HCIII has 1 female out of 7 members (14.3%).</p>	<p>0</p>

<p>Compliance with gender composition of HUMC and promotion of gender sensitive sanitation in health facilities.</p> <p>Maximum 4 points</p>	<ul style="list-style-type: none"> Evidence that the LG has issued guidelines on how to manage sanitation in health facilities including separating facilities for men and women: score 2. 	<p>One (1) of the five (5) sampled facilities has clearly marked sanitation facilities for male and female i.e. Daban Hospital. No evidence of labelling for females and males on the other four facilities.</p>	<p>0</p>
<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that all health facility infrastructure projects are screened before approval for construction using the checklist for screening of projects in the budget guidelines and where risks are identified, the forms include mitigation actions: Score 2 	<p>Infrastructure projects for the health sector were screened as per the screening forms filled and on file e.g. construction of maternity wards for Majanji HCII and Busime HC II on 20/7/2018, Bumunji HCII on 28/7/2018 and Sikuda HCII on 31/7/2017.</p>	<p>2</p>
<p>LG Health department has ensured that guidelines on environmental management are disseminated and complied with</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: Score 2 	<p>The Environment officer had visited some of these sites and even issued environmental clearance for completed projects in relation to the level of implementation of mitigation measures. However there is no evidence that the CDO was involved as is required.</p>	<p>0</p>
<p>The LG Health department has issued guidelines on medical waste management</p> <p>Maximum 4 points</p>	<ul style="list-style-type: none"> Evidence that the LG has issued guidelines on medical waste management, including guidelines (e.g. sanitation charts, posters, etc.) for construction of facilities for medical waste disposal: score 4. 	<p>All the five (5) sampled health facilities in the District had medical waste management facilities in form of charts for segregation and bins of different colours</p>	<p>4</p>

Summary of requirements	Definition of compliance	Compliance justification	Score
Planning, budgeting and execution			
<p>The DWO has targeted allocations to sub-counties with safe water coverage below the district average.</p> <p>Maximum score 10 for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has targeted sub-counties with safe water coverage below the district average in the budget for the current FY: <ul style="list-style-type: none"> o If 100 % of the budget allocation for the current FY is allocated to S/Cs below average coverage: score 10 o If 80-99%: Score 7 o If 60-79: Score 4 o If below 60 %: Score 0 	<p>Busia District rural safe water coverage stands at 75% as par Uganda water atlas, and the district has fourteen sub counties.</p> <p>Two Sub counties were above district safe water coverage, they included bulumbi at 78.8% and masiya at 78.6%.</p> <p>Twelve sub counties below the district average were all budgeted for in the FY 2018/19. Sub counties below the district average included bulumbi, masinya, buhehe, lumino, masafu, dabani, majanji, masaba, sikuda, lunyo, buyanga, busitema, buteba, and busime.</p> <p>DWO total budget FY 2018/19 was UGX .523,765,634</p> <p>Of the total budget sum UGX. 447,833,817 was allocated to sub counties below district average.</p> <p>86% budget for FY 2018/19 was allocated to sub counties below district average.</p>	7

<p>The district Water department has implemented budgeted water projects in the targeted sub-counties (i.e. sub-counties with safe water coverage below the district average)</p> <p>Maximum 15 points for this performance measure</p>	<ul style="list-style-type: none"> • Evidence that the district Water department has implemented budgeted water projects in the targeted sub-counties with safe water coverage below the district average in the previous FY. <ul style="list-style-type: none"> o If 100 % of the water projects are implemented in the targeted S/Cs: <p>Score 15</p> <ul style="list-style-type: none"> o If 80-99%: Score 10 o If 60-79: Score 5 o If below 60 %: Score 0 	<p>Annual progress reports (2ND, 3RD, 4TH quarter) for the previous Financial 2017/18 that was submitted to MWE, all twelve sub counties below the district coverage were budgeted for;</p> <p>Twelve boreholes were drilled in the second quarter; six boreholes were drilled in the third quarter and finally one in the fourth quarter.</p> <p>The construction of 2 stance lined pit latrine in sub counties of nalyolba landing site in busime S/C and habuleke trading centre in busitema</p> <p>DWO total budget FY 2017/18 was UGX. 405,175,266.</p> <p>Of the total budget sum UGX. 357,808,306 was allocated to sub counties below district average</p> <p>DWO implemented FY 2017/18 budget allocation to sub counties below the district average 100%.</p>	<p>15</p>
<p>Monitoring and Supervision</p>			
<p>The district Water department carries out monthly monitoring of project investments in the sector</p> <p>Maximum 15 points for this performance measure</p>	<p>Evidence that the district Water department has monitored each of WSS facilities at least annually.</p> <ul style="list-style-type: none"> • If more than 95% of the WSS facilities monitored: score 15 • 80% - 95% of the WSS facilities - monitored: score 10 • 70 - 79%: score 7 • 60% - 69% monitored: score 5 • 50% - 59%: score 3 • Less than 50% of WSS facilities monitored: score 0 	<p>DWO did not avail the monitoring file at the time of assessment.</p>	<p>0</p>

<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the district has submitted accurate/consistent data for the current FY: Score 5 List of water facility which are consistent in both sector MIS reports and PBS: score 5 	<p>According to Uganda Water Atlas (MIS) status report, Busia district rural safe water coverage was at 79% and the District water office percentage rural coverage was 75%.</p>	<p>0</p>
<p>The district Water department has submitted accurate/consistent reports/ data lists of water facilities as per formats provided by MoWE</p> <p>Maximum 10 for this performance measure</p>	<ul style="list-style-type: none"> List of water facility which are consistent in both sector MIS reports and PBS: score 5 	<p>DWO in FY 2017/18, drilled nineteen boreholes, twenty four boreholes were rehabilitated and constructed 2 stance lined pit latrines which correspond in PBS and MIS data updates.</p>	<p>5</p>
<p>Procurement and contract management</p>			
<p>The district Water department has submitted input for district's procurement plan, complete with all technical requirements, to PDU that cover all items in the approved Sector annual work plan and budget</p> <p>Maximum 4 for this performance measure</p>	<p>Evidence that the sector has submitted input for the district procurement plan to PDU that cover all investment items in the approved Sector annual work plan and budget on time (by April 30): score 4</p>	<p>The district water department submitted the procurement plan to PDU on 10th May 2017.</p> <p>Deadline for submission was 30th April 2017.</p>	<p>0</p>

<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If the contract manager prepared a contract management plan and conducted monthly site visits for the different WSS infrastructure projects as per the contract management plan: score 2 	<p>Busia district CAO appointed the contracts manager on the date of 2/11/2017.</p> <p>But there was no contract management plan by assessment time.</p>	<p>0</p>
<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If water and sanitation facilities constructed as per design(s): score 2 	<p>The drawings and BOQs for all WSS were on filed.</p>	<p>2</p>
<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If contractor handed over all completed WSS facilities: score 2 	<p>There was no evidence documented to score this indicator</p>	<p>0</p>

<p>The district has appointed Contract Manager and has effectively managed the WSS contracts</p> <p>Maximum 8 points for this performance measure</p>	<ul style="list-style-type: none"> If DWO appropriately certified all WSS projects and prepared and filed completion reports: score 2 	<p>Completion reports for the 2 stance lined pit latrine dated 23rd May 2018 and final completion report for nineteen borehole drilling addressed to CAO dated 19th Dec 2018.</p>	<p>2</p>
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The district Water department has certified and initiated payment for works and supplies on time

Maximum 3 for this performance measure

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

- The LG water department timely certified and recommended suppliers for payment as per the contract terms and conditions.

Examples of contracts verified included:

(1)-Procurement Ref:06/BUSI 507/wrks/2017-2018/ 00132 by PMP HOLDINGS LTD, for Drilling, casting, pump testing and installation of 6 units of boreholes(lot 1), contract price of shs 101,279,993 date of completion and requisition for payment 24/1/2018, date of certification by CAO for payment 1/3/2018, date of actual payment 26/3/2018,payment voucher no.PV-WK01185, amount paid shs 84,969,389.

Delay period was 35 days i.e (24/1/2018 up-to 1/3/2018).

The delay period did not exceed the maximum 2 months limit, therefore, certification by LG was timely.

(2)-Procurement Ref:10/BUSI 507/wrks/2017-2018/ 00133 by MS LHM Ground Water Exploration and Geo mapping Services Ltd, for consultancy services for siting, design and drilling supervision of 19 boreholes to be executed, contract price of shs 38,000,000 date of completion and requisition for payment 4/1/2018, date of certification by CAO for payment 1/3/2018, date of actual payment 10/4/2018,payment voucher no.PV-WK01188, amount paid shs 33,610,414.

Delay period was 2 months i.e (4/1/2018 up-to 1/3/2018).

The delay period did not exceed the maximum 2 months limit, therefore, certification by LG was timely.

<p>The district Water department has submitted annual reports (including all quarterly reports) in time to the Plan- ning Unit</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 5 	<p>PBS System Administrator messages confirmed that though the Water department had submitted the annual performance report for the FY 2017/18, including all the four quarterly reports, to the planning unit for consolidation the Q4/Annual report was submitted late – past 15th July. Submission dates were:</p> <ul style="list-style-type: none"> Quarter I: 22nd/12/2017 Quarter II: 5th/02/2018 Quarter III: 11th/05/2018 Quarter IV/Annual: 11th/08/2018 	<p>0</p>
<p>The District Water Department has acted on Internal Audit recommendation (if any)</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the sector has provided information to the internal audit on the status of implementation of all audit findings for the previous financial year <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 	<p>The water sector did not have any audit queries for the previous FY 2017/2018, therefore, there were no recommendations to be acted on by the sector as far as status of implementation is concerned.</p> <p>This is evidenced in all quarterly internal audit reports produced and submitted to the District Chairperson, CAO and PAC.</p>	<p>5</p>
<p>Governance, oversight, transparency and accountability</p>			

<p>The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the council committee responsible for water met and discussed service delivery issues including supervision reports, performance assessment results, LG PAC reports and submissions from the District Water and Sanitation Coordination Committee (DWSCC) etc. during the previous FY: score 3 	<p>Review of four (4) sets of minutes of Works committee for the meetings held on 30th/08/2017, 7th/11/2017, 19-20th/02/2018 and 9-10th/05/2018 affirmed that though some service delivery issues had been considered the committee had not discussed performance assessment results for FY 2017/18, LG PAC reports and submissions from DWSCC. Examples of issues discussed included:</p> <ul style="list-style-type: none"> Water department progress report in meeting of 30th/08/2017 e.g. need to expedite repair of Butangasi borehole, and in meeting of 19-20th/02/2018 -recommended that contractors should drill deeper for higher water yield to be realised, and, to scale up efforts to raise the latrine coverage. In meeting of 9-10th/05/2018 discussed and recommended water workplan and budget 2018/19 worth 544,625,095= be submitted for Council approval. 	<p>0</p>
<p>The district committee responsible for water met, discussed service delivery issues and presented issues that require approval to Council</p> <p>Maximum 6 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the water sector committee has presented issues that require approval to Council: score 3 	<ul style="list-style-type: none"> Works and Technical Services Committee presented for Council approval in meeting of 27th/9/2017 under Min. COU/86(b)/9/2017 Q3 report and recommendations including for Water department e.g recommended that retention funds be withheld until the concerned contractors correct all the broken boreholes and Ms. K.L.R be suspended from executing any new contracts until the company rectifies the defects on previous projects; and, in Council meeting of 29th/05/2018 Committee presented workplans and budgets (including for Water department) for 2018/19 for Council approval under Min. COU/120(b)/5/2018 	<p>3</p>

<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</p>	<ul style="list-style-type: none"> The AWP, budget and the Water Development grant releases and expenditures have been displayed on the district notice boards as per the PPDA Act and discussed at advocacy meetings: score 2. 	<p>Information was not displayed on the notice board.</p>	<p>0</p>
<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</p>	<ul style="list-style-type: none"> All WSS projects are clearly labelled indicating the name of the project, date of construction, the contractor and source of funding: score 2 	<p>All projects were labeled indicating the name of the project, date of construction, the contractor and source funding.</p>	<p>2</p>
<p>The district Water department has shared information widely to the public to enhance transparency</p> <p>Maximum 6 points for this performance measure</p>	<ul style="list-style-type: none"> Information on tenders and contract awards (indicating contractor name /contract and contract sum) displayed on the District notice boards: score 2 	<p>Information on tenders and contract awards was displayed by procurement department.</p>	<p>2</p>

<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If communities apply for water/ public sanitation facilities as per the sector critical requirements (including community contributions) for the current FY: score 1 	<p>A file for the application was on table with several stamped applications from different villages, some with village minute meetings.</p> <p>community contributions came from buteba S/C; payment of sh.200,000 on receipt No. REC - 0117013 and one undre serial no. 0387582 also payment of UGX. 200.000, for two boreholes.</p>	<p>1</p>
<p>Participation of communities in WSS programmes</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> Water and Sanitation Committees that are functioning evidenced by either: i) collection of O&M funds, ii(carrying out preventive maintenance and minor repairs, iii) facility fenced/protected, or iv) they an M&E plan for the previous FY: score 2 <p>Note: One of parameters above is sufficient for the score.</p>	<p>Of the four water sources visited, three had active committees evidenced by fencing water sources and collection of O&M.</p>	<p>2</p>
<p>Social and environmental safeguards</p>			
<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that environmental screening (as per templates) for all projects and EIAs (where required) conducted for all WSS projects and reports are in place: score 2 	<p>Nineteen borehole drilling project was screened, the rest of the projects were not.</p>	<p>0</p>

<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that there has been follow up support provided in case of unacceptable environmental concerns in the past FY: score 1 	<p>No information was provided to score this area despite the recommendations made for the borehole drilling.</p>	<p>0</p>
<p>The LG Water department has devised strategies for environmental conservation and management</p> <p>Maximum 4 points for this performance measure</p>	<ul style="list-style-type: none"> Evidence that construction and supervision contracts have clause on environmental protection: score 1 	<p>No evidence was availed at the time of assessment.</p>	<p>0</p>
<p>The district Water department has promoted gender equity in WSC composition.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> If at least 50% WSCs are women and at least one occupying a key position (chairperson, secretary or Treasurer) as per the sector critical requirements: score 3 	<p>The gender issue was evidenced both at the DWO committee file and in the field. Women were elected treasurers and secretaries.</p> <p>All four water sources visited three women were committee treasurers.</p>	<p>3</p>

<p>Gender and special needs-sensitive sanitation facilities in public places/</p> <p>RGCs provided by the Water Department.</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none">• If public sanitation facilities have adequate access and separate stances for men, women and PWDs: score 3	<p>The public facility visited had adequate access and separate stances for men and women.</p>	<p>3</p>
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