



Local Government Performance Assessment

Mbale District

(Vote Code: 536)

Assessment	Scores
Accountability Requirements	50%
Crosscutting Performance Measures	47%
Educational Performance Measures	62%
Health Performance Measures	50%
Water Performance Measures	73%

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 19th/9/2018. 	<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 19th/9/2018 which was past the due date of July 31st. The others were submitted on the following dates: <p>Quarter I report: 14th/12/2017</p> <p>Quarter II report: 16th/03/2018</p> <p>Quarter III report: 18th/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 not availed information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General's findings for the previous financial year 2016/2017 as demanded by the manual, instead the evidence provided were submissions (jointly) for the financial years (2013/14, 2014/2015 & 2015/16) dated and signed by CAO on 13/6/2017 and received by MOFPED on 23/3/2018. 	<p>No</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>

536 Mbale 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 said to have been constituted but letters of appointment were not availed. However letter by the unit dated 25th/03/2013 giving technical guidance to CAO on establishment of the Committee and invitations for PPC meetings indicated that the Committee lacked a Physical Planner in Private practice. • Building plan register was in place with first entry dated 19th/04/2017 and PPC had held meetings on 17th/10/2017, 12/12/2017, 8th/02/2018, 15th/03/2018 and 26th/06/2018. • Though some building plans had been approved within 30days of submission e.g. for Onduri Isaac that had been submitted on 17th/01/2018 and considered on 8th/02/2018 some others had been considered after 30 days of submission e.g. Paul Wanyoto's plan that had been submitted on 16th/05/2018 had been considered on 26th/06/2018. • LG projects for FY 2018/19 had not yet been presented for approval of the PPC. 	<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"> • 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 submitted only 2 sets of minutes of the Physical Planning Committee for meetings of 17th/10/2017 and 12th/12/2017 to MoLHUD both on 24th/05/2018. 	<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"> • 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) in place thus it was not possible to ascertain consistency of infrastructure investments with the PDP. 	<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 not prepared any Action Area plan. • The following LG/LLGs had Structure plans: Municipal Council (2008-2018) and Nakaloke Town Council (2012-2022) 	<p>0</p>
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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"> • Evidence that priorities in AWP for the current FY are based on the outcomes of budget conferences: score 2. 	<p>Report for the Budget conference held on 6th/12/2017 prepared by the Senior Planner set forth the following priorities that were also contained in the AWP FY 2018/19:</p> <ul style="list-style-type: none"> • Provision of fingerlings, bee hives and demonstration material for plant clinics to farmers (AWP pg.42-50) • Construction of OPDs in Lwasso and Bamusikye, Ambulance sheds and placenta pit; Maternity ward repair; and, connection of piped WSSS to HC (AWP pg. 57- 58) • Classroom and latrine construction & rehabilitation, furniture provision in PSs; Construction of classrooms, laboratory, library, latrines in Bubenstye SSS (AWP pg.62-64) • Maintenance of roads and road equipment, complete construction of Musola-Naloka rd bridge; Maintenance of 3 office buildings; construction of waterborne toilet in Malukhu play grounds (AWP pg.70- 76) • Construction of public latrines in Nyondo & Nakaloke SCs; Rehabilitation of 26 boreholes; and, Construction of Budwale GFS and extension of Wanale GFS (AWP pg.77-83) • Restoration of wetlands and riverbanks; Integrated land management (AWP pg. 87-90) • Support to special interest groups (AWP pg. 92-98)
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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"> • 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 capital investments in the AWP FY 2018/19 were derived from the DDP FY 2015/16-2019/20, except two projects under Education sector which were not contained in the DDP, that is, Construction of laboratory and of library in Bubenstye SSS, but had been approved by Council in meeting of 30th/05/2018 under Min. COU.79/05/2018. Those drawn from the DDP included:</p> <ul style="list-style-type: none"> • Provision of fingerlings, bee hives and demonstration material for plant clinics to farmers (AWP pg.42-50, DDP pg. 113-114) • Construction of OPDs, Ambulance sheds and placenta pit; Maternity ward repair; and, connection of piped WSSS to HC (AWP pg. 57- 58, DDP pg.115-116) • Classroom and latrine construction & rehabilitation, furniture provision in PSSs; Construction of classrooms, latrines in Bubenstye SSS (AWP pg.62-64, DDP pg. 116-117) • Maintenance of roads and road equipment, complete construction of Musola-Naloka rd bridge; Maintenance of 3 office buildings; construction of waterborne toilet in Malukhu play grounds (AWP pg.70- 76, DDP pg.117-119) • Construction of public latrines in Nyondo & Nakaloke SCs; Rehabilitation of 26 boreholes; and, Construction of Budwale GFS and extension of Wanale GFS (AWP pg.77-83, DDP pg. 118) • Restoration of wetlands and riverbanks; Integrated land management (AWP pg. 87-90, DDP pg. 119-120) • Support to special interest groups (AWP pg. 92-98, DDP pg. 119) 	
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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"> Though project profiles had been developed and presented in TPC meeting of 5th/03/2018 under Min. 05/DTPC/05/03/2018 there was no evidence that they were discussed. 	0
<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"> Though Annual Statistical Abstract 2017/18, with gender disaggregated data e.g. population by sex and age on pg. 27, had been developed there was no evidence of discussion of the Annual statistical Abstract by TPC to support budget allocation and decision making. 	0

<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 infrastructure projects implemented by the LG in FY 2017/18 had been derived from the approved AWP and budget for the said year:</p> <ul style="list-style-type: none"> • Construction of Ambulance sheds in Bunapongo, Buwangwa, Budwale and Naiku HC IIIs (Q4/Annual report pg. 60, AWP pg.82) • Completion of OPD at Muruba HC II (Q4/Annual report pg. 60, AWP pg.82) • Completion of Classroom construction in Burukuru, Bubenstye PSs (Q4/Annual report pg. 65, AWP pg.85) • Latrine constriction & rehabilitation in Masaba, Bumalunda, Bufooto, Lwangoli, Mooni and Nauyo PSs (Q4/Annual report pg. 65, AWP pg. 85) • 34km out of 22 km of district reads periodically maintained; 218 km out of 267 km of district roads routinely maintained (URF) (Q4/Annual report pg. 72, AWP pg. 86-87) • Bridge on Naloka-Musola road repaired (Q4/Annual report pg. 72, AWP pg. 87) • Construction of 2 public pit latrine stances in Bumbobi and Namanyonyi SCs spent 18,871,000= against budget of 18,871,000= (Q4/Annual report pg. 76, AWP pg. 88) • Drilling of 9 boreholes Namabasa, Bungokho, Bumboobi, Busoba, Busiu, Bumasikye, Lukohoje and Lwasso SCs spent 180,000,000= against budget of 180,000,000= (Q4/Annual report pg.77, AWP pg. 87) • Construction of 1 GFS in Budwale SC –phase 3 (Q4/Annual report pg.77, AWP pg.87) • Extension of 1 GFS in eastern region (Q4/Annual report pg.77-78, AWP pg. 87) 	<p>2</p>
<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. <p>o 100%: score 4</p> <p>o 80-99%: score 2</p>	<p>Review of the annual/Q4 cumulative performance report FY 2017/18 indicated that 76.4% (94 out of 123) of the projects implemented in the said year were completed as per workplan.</p> <ul style="list-style-type: none"> • (2 projects) Provision of improved planting materials for irish potatoes 118 50kg bags; Provision of fish fingerlings; training of 12 Farmer groups (Q4/Annual report pg. 51-52, AWP pg. 80-81) • Provision of 52 bee hives and 20 bee suites; conducted 12 Farmer trainings (Q4/Annual report pg. 	<p>0</p>

o Below 80%: 0

52, AWP pg.81)

- (4 projects) Construction of Ambulance sheds in Bunapongo, Buwangwa, Budwale and Naiku HC IIIs (Q4/Annual report pg. 60, AWP pg. 82)
- Completion of OPD at Muruba HC II (Q4/Annual report pg. 60, AWP pg.82)
- Completion of Classroom construction in Burukuru, Bubenstye PSs (Q4/Annual report pg. 65, AWP pg. 85)
- (6 projects) Latrine construction & rehabilitation in Masaba, Bumalunda, Bufooto, Lwangoli, Mooni and Nauyo PSs (Q4/Annual report pg. 65, AWP pg. 85)
- Furniture provision in PS (Q4/Annual report pg.65, AWP pg. 85)
- 34km out of 22 km of district roads periodically maintained; (Q4/Annual report pg. 72, AWP pg. 86-87)
- Bridge on Naloka-Musola road repaired (Q4/Annual report pg. 72, AWP pg. 87)
- (2 projects) Construction of 2 public pit latrine stances in Bumbobi and Namanyonyi SCs (Q4/Annual report pg. 76, AWP pg.88)
- (9 projects) Drilling of 9 boreholes Namabasa, Bungokho, Bumboobi, Busoba, Busiu, Bumasiye, Lukohoje and Lwasso SCs (Q4/Annual report pg.77, AWP pg. 87)
- Construction of 1 GFS in Budwale SC –phase 3 (Q4/Annual report pg.77, AWP pg. 87)
- Extension of 1 GFS in eastern region (Q4/Annual report pg.77-78)
- 20 new connections on existing 2 GFS and rehabilitation of 4 GFS in Eastern region (Q4/Annual report pg.78)
- Establishment of 2 (Ha) of trees under FIFOC2 (Q4/Annual report pg. 81, AWP pg. 92)
- Restoration and river banks of Nalukhkhhu wetland (Q4/Annual report pg. 84-85, AWP pg. 91)
- (21 projects) 21 Youth groups supported (Q4/Annual report pg.92, AWP pg. 90)
- (38 projects) Support to NUSAF3 groups (Q4/Annual report pg. 97, AWP pg. 93)

Partially achieved:

- Established 8 out of 12 demonstration pilot sites on sustainable forest management, climate change

mitigation and sustainable land management in Nyondo & Wanale SCs (Q4/Annual report pg. 83)

- 218 km out of 267 km of district roads routinely maintained (URF) (Q4/Annual report pg. 72)
- Support to UWEP projects spent (Q4/Annual report pg. 93)

Projects not implemented:

- (2 projects) Renovation of district stores and Commercial building; Construction of 3 block flat, parking yard and washing bay (Q4/Annual report pg. 43)
- Installation of (3) mobile and fixed irrigation systems (Q4/Annual report pg. 51)
- Procurement and installation of 1 milk cooler for Farmers in Budwale and Wanale SCs; procurement of liquid nitrogen for artificial insemination (Q4/Annual report pg. 53, AWP pg. 80)
- (21 projects) Construction of 20 medical waste pits; refurbishment of 40 ft container for Office space (Q4/Annual report pg. 60)
- Maintenance of District Council H/Q and other office buildings (Q4/Annual report pg. 72-73)

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 investment projects (excluding roads and water) whose total expenditure was 802,070,000= against a total budget of 762,008,000=, representing a variance of +5.3%, the LG had spent within the approved budget:

- Provision of improved planting materials for irish potatoes 118 50kg bag spent 97,749,000= against budget of 81,526,000= (Q4/Annual report pg. 51)
- Provision of fish fingerlings; training of 12 Farmer groups spent 10,762,000= against budget of 10,762,000= (Q4/Annual report pg. 51-52)
- Provision of 52 bee hives and 20 bee suites; conducted 12 Farmer trainings spent 10,725,000= against budget of 10,762,000= (Q4/Annual report pg. 52)
- Construction of Ambulance sheds in Bunapongo, Buwangwa, Budwale and Naiku HC IIIs spent 43,456,000= against budget of 40,000,000= (Q4/Annual report pg. 60)
- Completion of OPD at Muruba HC II spent 128,833,000= against budget of 109,000,000= (Q4/Annual report pg. 60)
- Completion of Classroom construction in Burukuru, Bubenstye PSs spent 315,456,000= against budget of 388,336,000= (Q4/Annual report pg. 65)
- Latrine constriction & rehabilitation in Masaba, Bumalunda, Bufooto, Lwangoli, Mooni and Nauyo PSs spent 115,348,000= against budget of 101,622,000= (Q4/Annual report pg. 65)
- Furniture provision in PS spent 79,741,000= against budget of 20,000,000= (Q4/Annual report pg.65)

<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 not systematically reviewed, costed, budgeted and spent at least 80% of O&M budget for infrastructure in the FY 2017/18:</p> <ul style="list-style-type: none"> • Though Board of survey report for FY 2016/17 contained inventory of assets and infrastructure in all sectors giving status/condition but did lacked specific recommendation on the management of each of the assets stated to be in fair, bad/poor condition. Only gave general recommendations e.g. implementation of policy allowing the tenants to do repairs using six months' rent district staff residential buildings, reallocation of some assets from sectors that have in surplus to more needy LLGs that shall repair and use instead of buying new ones. • Though LG had planned for O&M of some administration blocks e.g. district stores & Commercial building and Council, Q4/Annual report FY 2017/18 indicated that these projects were not implemented in the said FY. • LG Annual Final Accounts for FY 2017/18, Note 7. Pg 67 Goods and services – maintenance, indicated an expenditure of 107,260,776,000=against budget of 695,021,646,000=, representing 15.4% only. 	<p>0</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>The approved and adopted staff structures for Mbale DLG provides for nine departments as of July 3, 2017. 50% (4 out of 8) of the approved positions of HoDs had been substantively filled. The CFO, DNRO, DCDO, & DPO were appointed under the following DSC Minutes 196/2017 (a); 202/2017 (a); 39/2009; and 63/2014 (b) respectively. Three positions are filled with staff in acting capacity (DE, DEO, and DHO). While the position of the District Commercial Officer is still vacant with no assigned staff.</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 43 % (3 out of 7) HoDs (substantively appointed and administratively assigned responsibilities) had been appraised during FY 2017/18. The annual performance reports (FY 2017/18) for DCDO, Ag.DHO and Ag.DEO were on file and signed by CAO. The DNRO was last appraised in FY 2016/17. A copy of MoPS appraisal guidelines 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>In FY2017/18, 89% (109 out of 122) of submitted posts had been considered by DSC as per the minute extract of DSC meeting held on 18/5/18 under Min.013/2018 (a-d) and Min.14/2018; and extracted minutes of the 280th meeting of DSC held on April 26-30, 2018 and May 2-9, 2018 dated 10/5/18 under Min.004-10/2018 (a-e).</p> <p>A total of (122) posts were submitted to DSC for filling by the CAO as per the submission letters dated 22/11/17 28/11/17, 23/4/18, 15/12/17 and 14/6/18 respectively.</p> <p>Currently the DSC has no substantive Secretary hence poor records filing system.</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 positions submitted for confirmation have been considered: score 1 	<p>In FY 2017/18, 80% (75 out of 94) of the submitted staff for confirmation had been considered by DSC as evidenced by the following minute extracts of the meeting of DSC held on Oct 12-13, 2017 and 2/6/18 under Min.160-167/2017; and Min.018-24/2018 respectively.</p> <p>The CAO submitted (94) files for confirmation of staff in appointment as per the vacancy declaration letters dated 14/5/18, 10/4/18, 7/9/18, 19/7/17 and 26/9/17 respectively.</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 positions submitted for disciplinary actions have been considered: score 1 	<p>In FY 2017/18, there had been no staff submitted for disciplinary action for consideration by DSC.</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 the list of LG staff recruited in FY2017/18, it was found that 69% (66 out of 95) of staff recruited in FY 2017/18 had accessed the salary payroll within two months after appointment. For example, (66) staff (IPPS nos. 1026840, 1026779, 1028898, 1028713, 1028482, 1028964, etc.) appointed on 22/05/18 had accessed the payroll in July 2018. However, (7) staff (IPPS nos.1031735, 1028376, 1028386, 1028373, etc.) appointed on 22/05/18 had accessed the payroll in September 2018. Refer to Uganda Government Payslip for (1) Jul 2018 and (3) Sep 2018, vote: 536 Mbale DLG.</p> <p>Failure to access payroll on time was attributed to delayed submission of HR data capture forms, uploading of Navyo TC structure by MoPS and non-existing titles on the establishment hierarchy report, etc.</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>In Mbale DLG, only 15% (5 out of 34) LG staff who retired in FY 2017/18 had accessed the pension payroll within (2) months after retirement (refer to: IPPS nos.179566, 176052, 180178, 179616, and 818321.</p> <p>Failure to access the pension payroll by a big number of pensioners was partly attributed to delayed processing at MoPS.</p>	<p>0</p>

Revenue Mobilization			
<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 349,999,438 in the FY 2016/2017 to shs 430,554,254 in the FY 2017/2018, up by shs 80,554,816 representing an increase of is 23% compared to the year 2016/2017.</p> <p>This percentage increase is more than 10% compared to the year 2016/2017.</p>	4
<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 not within the acceptable variance of +/- 10% against the budget as required by the manual as demonstrated below:</p> <p>Total Local Revenue Planned/Budgeted for FY 2017/2018 was Shs 1,184,563,359 (original budget), whereas the total actual local revenue collected was shs 430,554,254, representing a percentage of local revenue collected against planned for the FY 2017/2018 of 36.3% i.e. $(430,554,254/1,184,563,359) \times 100\% = 36.3\%$.</p> <p>The uncollected portion was shs 754,009,105 representing 63.7%, which exceeds the required deviation of +/- 10%</p> <p>Issues raised by the district:</p> <ul style="list-style-type: none"> • The rental fees from Bugema army barracks was not collected during the FY 2017/2018 as planned. • Land fees was not collected because the land board membership expired and it took long to put in place another board 	0

<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 District had 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 128,604,900, out of which shs 59,272,750 was remitted to LLG (representing 41.1%), this is below the mandatory 65%. However, the unremitted balance of 23.9% was due to collections received from employees whose residences were yet to be identified (especially employees from the District LG H/Qtrs) and preparations were underway to identify and remit them accordingly, and as soon as possible.</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 LG had used more than mandatory 20% of OSR on council allowances and emoluments (including from all sources), as demonstrated below:</p> <p>Total expenditure on council allowances (including from all other sources) during FY 2017/2018 was Shs171,240,000, whereas total actual local revenue collected was shs 430,554,254, the expenditure on council allowances and emoluments of shs171,240,000 represented 39.8% of OSR instead of the expected 20%(shs 86,110,850). This is more than the mandatory 20% of OSR recommended by the manual.</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 LG has the position of Senior Procurement Officer and Procurement Officer substantively filled.</p> <p>Ariko Opaire Samuel, Senior Procurement Officer, recruited to the position of SPO under Min No. 32/2012(b), letter on this matter is dated 25th July 2012</p> <p>Masaba George, Procurement Officer, Confirmed as Procurement Officer under Min No. 011/2016 (3). Letter on this matter is dated 15th February 2016</p>	<p>2</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. For instance;</p> <p>(a) The Contracts Committee meeting of 23/10/2017 had an agenda item-143.0 Mbal/CC00008/11/17-18 – request to approve evaluation report for construction of Budwale GFS in Budwale S/C</p> <p>(b) The Contracts Committee meeting of 23/10/2017 had an agenda item-116.0 Mbal/CC 00007/10/17-18- request to approve the evaluation report for construction of a 5 stance lined pit latrine at Wokukiri P/S in Bumasikeye S/C</p> <p>(c) The Contracts Committee meeting of 26/3/2018 had an agenda item- 331.0 Mbal CC 00013/3/17-18- request to approve evaluation report for rehabilitation of Springs in Namakole and Nalumenya in Namanyonyi S/C</p>	<p>1</p>
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<p>The LG has in place the capacity to manage the procurement function</p> <p>Maximum 4 points on this performance measure.</p>	<ul style="list-style-type: none"> • Evidence that the 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 without deviations. For instance;</p> <p>(a) The Contracts Committee meeting of 23/10/2017 awarded the construction of a 5 stance lined pit latrine at Wokukiri P/S to FG Enterprises at a cost of 19,484,514/= as recommended by the TEC that sat on 25/9/2017;</p> <p>(b) The Contracts Committee meeting of 10/11/2017 awarded the contract for the construction of Budwale GFS to Bau Technical Services at a Contract Price of UGX 288,325,094/= as recommended by TEC that sat on 17/10/2017</p> <p>(c) The Contracts Committee meeting of 10/11/2017 awarded the contract for the construction of a 4 classroom block in Bukingala P/S to Nami Hardware at a contract price of 125,528,666/= as recommended by the TEC that sat on 17/10/2017</p> <p>(d) The Contracts Committee meeting of 26/3/2018 awarded the contract of rehabilitation of springs in Namakole and Nalumenya in Namanyonyi S/C to Nami Hardware LTD at a contract price of 4,031,706/= as recommended by TEC that sat on 6/3/2018</p> <p>(e) The Contracts Committee meeting of 12/12/2017, awarded the construction of the Motor-bike Ambulance Shade in Bunapongo HC III in Bungkhko S/C and Budwale HC III in Budwale S/C to Buyobo General Traders LTD at a contract price of 15,746,452/= as recommended by the TEC that sat on 20/10/2017</p>	<p>1</p>
<p>The LG has a comprehensive Procurement and Disposal Plan covering infrastructure activities in the approved AWP and is followed.</p> <p>Maximum 2 points on this performance measure.</p>	<ul style="list-style-type: none"> • a) Evidence that the procurement and Disposal Plan for the current year covers all infrastructure projects in the approved annual work plan and budget and b) evidence that the LG has made procurements in previous FY as per plan (adherence to the procurement plan) for the previous FY: score 2 	<p>The Procurement Plan for 2018/2019 is in place and endorsed by CAO on 14/8/2018 and endorsed by MOLG, MOFPED and PPDA on 31st August 2018. The plan covers all infrastructure projects in the approved annual work plan and budget.</p> <p>The LG adhered to the Procurement plan of 2017/2018. Sampled projects are captured in the Contracts Register 2017/2018 with matching contract prices as those in the Procurement plan of 2017/2018</p>	<p>2</p>

<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>At the time of assessment, the LG had registered 33 infrastructure projects to be implemented in 2018/2019 i.e. 4 for Health, 14 for Education, 5 for Water and 9 from LLGs.</p> <p>By August 30th, bid documents of 21/33 of these projects had been prepared. This translates into 63%</p>	<p>0</p>
<p>The LG has prepared bid documents, maintained contract registers and procurement activities files and adheres with established thresholds.</p> <p>Maximum 6 points on this performance measure.</p>	<ul style="list-style-type: none"> • For Previous FY, evidence that the LG has an updated contract register and has complete procurement activity files for all procurements: score 2 	<p>The LG has an updated Contracts Register captured under Procurement reference No, date of award, Provide, Address/Tel, Contract Price, Commencement date, Completion date, Retention</p> <p>The procurement activity files were complete as is required by the key records to check on the procurement file designed by PPDA, April 2008</p>	<p>2</p>
<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</p>	<ul style="list-style-type: none"> • For previous FY, evidence that the LG has adhered with procurement thresholds (sample 5 projects): score 2. 	<p>For 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;</p> <p>(a) The construction of a 5-stance lined pit latrine at Wokukiri P/S in Bumasikeye S/C was awarded at 19,484,514/= under selective bidding. The Contracts Committee meeting of 22/8/2017 approved selective bidding as the method under Min 58.0 Mbal/CC 00004/07/17-18</p> <p>The bid for this investment was developed under selective bidding and is dated 23rd August 2017</p>	<p>2</p>

<p>measure.</p>		<p>(b) The construction of Budwale GFS was awarded at 283,325,094/= under the open bidding method. The Contracts Committee Minute approving the method is 42.0 Mbal/CC 00003/08/17-18</p> <p>The advert for this bid was posted in the New Vision Newspaper of 14/9/2017</p> <p>The bid for this investment developed according to the Standard bid documents for works under the open bidding method is dated 14/9/2017</p> <p>(c) The construction of a 4 classroom block at Bukingala P/S was awarded at 125,528,666/= under the open-bidding method. The Contracts Committee meeting of 22/8/2017 approved the open-bidding method for this investment under Min 64.0 Mbal/CC 00004/07/17-18</p> <p>The advert for this bid was posted in the New Vision Newspaper of 14/9/2017</p> <p>The bid for this investment developed according to the Standard bid documents for works under the open bidding method is dated 14/9/2017</p> <p>(d) Construction of Motor-bike Ambulance Shades in Bunapongo HC III in Bungokho S/C and Budwale HC III in Budwale S/C was awarded at 15,746,452/= under the selective bidding method. The Contracts Committee meeting of 13/09/2017 approved the method for this investment under Min 85.0 Mbal/CC00005/09/17-18</p> <p>The bid document for this investment, under selective bidding is dated 27/9/2017</p> <p>(e) The rehabilitation of springs in Namakole and Nalumenya in Namanyonyi S/C was awarded at 4,031,706/= under selective bidding. The Contracts Committee meeting of 6th February 2018, approved the method for this investment under Min 284.0 Mbal/CC 00011/12/17-18</p> <p>The bid document for this investment, under selective bidding is dated 20/2/2018</p>	
<p>The LG has certified and provided detailed project information on all investments</p> <p>Maximum 4 points on this</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:</p>	<p>The works projects implemented in the previous FY were appropriately certified. For instance;</p> <p>(a) For the construction of a 5-stance lined pit latrine at Wokukiri P/S in Bumasikye S/C, an interim valuation certificate 1 worth 16,701,012/= was issued on June 11th 2018 and thereafter a substantial certificate of completion was issued.</p> <p>In the inspection report of 7th June 2018, the Engineer,</p>	<p>2</p>

<p>performance measure</p>	<p>score 2</p>	<p>noted what the contractor had to improve during the retention period</p> <p>(b) For the construction of the motor-bike ambulance shades at Bunapongo and Budwale HCIIIs, an interim valuation certificate 1 worth 14,134,158/= was issued on May 22nd 2018 and thereafter a substantial certificate of completion was issued.</p> <p>Inspections on these works was done on 18th and 21st May and the Engineer, noted what the contractor had to improve during the retention period</p> <p>(c) For the construction of a 4 classroom block at Bukingala P/S, an interim valuation certificate 1 worth 48,072,891/= was issued on January 11th 2018</p> <p>Inspections of the works on 10th January 2018, indicated that 90% of the sub-structure work was complete and superstructure works were in progress</p> <p>Another interim valuation certificate 2 worth 33,680,268/= was issued against these works on March 2nd 2018.</p> <p>Inspection on these works undertaken on 1st March noted that works were at finishing level</p> <p>Another Interim valuation certificate 3 worth 55,491,213/= was issued against these works on June 22nd 2018 and a Substantial Certificate of Completion issued on 22nd June 2018</p> <p>Inspection of these works done on 21st May and 21st June noted the defects in the works and guided the contractor on what to do in the retention period</p> <p>(d) For the rehabilitation of springs in Namakole and Nalumenya in Namanyonyi S/C, an interim valuation certificate 1 worth 3,816,535/= was issued on 14th May 2018 and thereafter a Substantial Certificate of Completion</p> <p>A joint inspection of these works was done on 10th May 2018</p> <p>(e) For the construction of Budwale GFS, an interim valuation certificate worth 259,490,036/= was issued and thereafter a Substantial Certificate of Completion.</p> <p>A project completion report for the GFS dated June 2018 has been compiled</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

At the time of assessment, implementation of works projects had not commenced meanwhile some of the projects that were completed last year, were not appropriately labelled. For instance;

A 5 stance latrine constructed at Bukingala Primary School was labelled as follows;

BUKINGALA PRIMARY SCH

PROGRAMME: SFG FY 2017/2018

CONTRACT NO: MBL 536/WKS/17-18/000015

CONTRACTOR: NAMI HARDWARE LTD

REP BY: MUGOYA SAFIYI WADADA NAMANDA

PROPERTY OF THE GOVERNMENT OF UGANDA

This particular label lacked; the name of the project, the contract value and expected duration

A motor-bike ambulance shade at Bunapongo HCIII was labelled as follows;

MBALE DISTRICT LOCAL GOVERNMENT

CONSTRUCTION OF MOTOR-BIKE

AMBULANCE SHADE, BUNAPONGO HCIII

FUND DDEG

CONTRACTOR BUYOBO GENERAL TRADERS LTD

This label lacked; the contract value and expected duration

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 prepared monthly bank reconciliations, and were up-to-date at the time of this assessment on 25/9/2018. The manual demanded that, the LG should have made monthly bank reconciliations up-to-date at the time of this assessment, the LG was therefore compliant as far as monthly bank reconciliations are concerned.

The district operated a single bank account with Bank of Uganda, and the reconciliation was as shown below:

BOU a/c 00536052800000, in the names of " Mbale District Treasury Single Account (TSA) ", was last reconciled and approved on 25/9/2018 (time of assessment), with balances as per cash account and adjusted bank statement of shs "5,907,459,211" and shs "5,896,101,628" respectively.

All other bank accounts had been reduced to a single account where all transactions take place under the IFMS.

<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 verified included;</p> <p>(1) Payment voucher No.(EFT) 18378557, dated 28/6/2018,of shs 756,000, LPO. 00021665/6 dated 18/6/2018, in the names of Shell Elgon service station, for supply of fuel, certified by CAO/CFO on 21/6/2018, date of supply/requisition for payment by the supplier was 18/6/2018.</p> <p>Duration between delivery and payment was 3 days i.e 18/6/2018 to 21/6/2018.</p> <p>The mandatory requirement is that the delay period should not exceed 2 months, therefore LG certification for payment was timely.</p> <p>(2) . Payment voucher No.(EFT) 18378559, dated 28/6/2018,of shs 1,500,000, LPO. 00005374/5 dated 22/6/2018, in the names of Shell Elgon service station, for supply of fuel, certified by CAO/CFO on 22/6/2018, date of supply/requisition for payment by the supplier was 22/6/2018.</p> <p>Duration between delivery and payment was nil i.e 22/6/2018 to 22/6/2018.</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 DSC .appointment minute ref: DSC/192/2017(e), effective date of appointment was, 1/2/2018 as per the appointment letter ref. No. CR/156/2, in the names of Eseuk Eric Julius, for the post of Senior Internal Auditor, with a salary scale U3 and signed by Adongo Roselin Luhani (CAO) on 2/2/2018.</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 and remitted to MOFPED all quarterly Internal Audit Reports for FY 2017/2018, except 4th quarter which is still being responded to by the relevant sectors. Details of the report are as indicated below:</p> <ul style="list-style-type: none"> • Quarters 1 & 2 internal audit reports were combined and dated 17/5/2018, ref: AUD/123, submitted to MOFPED/MOLG on 13/7/2018. • Quarter 3 internal audit report was dated 14/6/2018, ref: AUD 213 , submitted to MOFPED on 13/7/2018, same day with quarters 1 &2. • Quarter 4 internal audit report was dated 22/8/2018,ref: AUD/213, but responses are yet to be finalised by the relevant sectors. 	<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 through quarterly internal audit reports submitted to the clerk to council who also doubled as the secretary to PAC and council. Every quarterly report incorporated the status of implementation of the previous quarter recommendations. The quarterly reports were submitted to the clerk to council as indicated below:</p> <ul style="list-style-type: none"> • Quarter 1 & 2 was submitted LG PAC and council on 17/5/2018, ref: AUD/213 • Quarter 3 was submitted LG PAC and council on 14/6/2018, ref: AUD/213 • Quarter 4 was not yet submitted by the time of this assessment with information on status of quarter 3, because responses were yet to be concluded by the relevant sectors. 	<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>The internal audit reports for the previous FY were submitted to LG Accounting Officer, LG PAC and LG PAC has reviewed them and followed up. Reference is made to quarterly reports from PAC addressed to Mbale District council for 1st, 2nd, & 3rd quarters titled "Public Accounts Committee Report on Internal Audit Report for Mbale DLG for FY 2017/2018"</p> <p>The quarterly reports were reviewed by PAC and reported to Mbale District Council on the following dates;</p> <ul style="list-style-type: none"> • 1st & 2nd quarters were discussed and submitted to District Council through a submission letter, (not referenced), dated 20/4/2018. • 3rd quarter was discussed and submitted to District Council through a submission(not referenced) letter dated 4/7/2018. • 4th quarter was yet to be discussed and submitted to District Council. 	<p>1</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 maintained a fixed assets register in place covering all the details on land and buildings, motor vehicles, etc. and as per the format in the accounting manual, but was not up-dated.</p> <p>For example; the following items picked from the assets register had no values attached to them:</p> <p>(1) From Land & buildings register;</p> <ul style="list-style-type: none"> • House No.49 Nogwere road, 3 bedrooms • Busiu sub-county, page 30, not surveyed/valued. • Namanyonyi sub-county, page 33, not surveyed/valued. • Bufumbo sub-county, page 35, not surveyed/valued. <p>(2) From General register;</p> <ul style="list-style-type: none"> • Ford Ranger(NUSAF) Reg. No.UG 0466Z • Dump Truck(New Fuso) Reg. No.UG 262000 • Mitsubishi D/cabin reg. UG 3205R,page 562 • Nissan Hard Body reg. UG 01-06-30 Finance Dept, page 553. 	<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>Though Council meetings were held on 18th/10/2017, 31st/10/2017, 21st/12/2017, 22nd/03/2018, 26th/04/2018 and 30th/05/2018 during which some service delivery issues were considered, the Council did not discuss LG PAC reports and performance assessment results for FY 2017/18. Examples of issues discussed included:</p> <ul style="list-style-type: none"> • Status of land given to Mt. Elgon Hospital was discussed in special sitting of 31st/10/2017 • State of District affairs was discussed in meeting of 21st/12/2017 and 5th/01/2018 under Min.CO.U.48/10/2017 – e.g. Budwale being a hard to reach SC should have a Maternity constructed in the existing HC III • Approval of workplan and budget for FY 2018/19 and revised Budget FY 2017/18 both under Min. COU.79/05/2018 in meeting of 30th/05/2018. Also approved structure for Nauyo-Bugema TC. <p>Though Standing Committee reports were to have been discussed under Min. COU/67/03/2018 of 22nd/03/2018 they were only presented but discussion was differed. It was noted with concern that apart from the recommendations related to AWP 2018/19 discussed in Council meeting of 30th/05/2018, Council had not discussed any other Standing Committee reports to a logical conclusion in FY 2017/18.</p>	<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"> LG had not designated a person to coordinate response to feedback as at time of assessment. It was not evident that any community complaints had been responded to. 	0
<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"> The LG had not specified, displayed and made publically available a system for recording, investigating and responding to grievances. Though system was said to have been prescribed in the Client charter section 6, 'managing complaints and appeals', copy of the document that was availed during assessment was outdated, that is, 2013/14-2015/16. 	0
<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 August 2018 had been published on the noticeboard at the district H/Q but Pensioner schedule was not on display 	0
<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"> The procurement plan 2018/19 had been displayed at the district headquarters together with the best evaluated pre-qualified bidders for FY 2018/19 (notice dated 22nd/08/2018). 	1

<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"> Though LG performance results for FY 2017/18 had been discussed in TPC meeting of 27th/08/2018 under Min. 04/DTPC/27/08/2018 the results had not been published/displayed. 	0
<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 	<ul style="list-style-type: none"> The LG had communicated and explained guidelines and circulars from the national level to LLGs as evidenced by acknowledgement receipt of DDEG guidelines by SASs on 24th/10/2017 contained in the delivery book of Planning unit and Min.05/DTPC/30/10/2017 of extended TPC meeting of 30th/10/2017. 	1
<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. 	<ul style="list-style-type: none"> Mbale DLG did not provide any evidence to affirm that discussions with the public had been held in FY 2017/18. 	0
Social and environmental safeguards			

<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 gender focal person trained TPC at District and LLG on gender mainstreaming on 23/3/2018. The presentation she made was titled; "Gender Mainstreaming: A practical guide to different methods of gender mainstreaming in Local Governments"</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 implement-ted: score 2. 	<p>The gender focal point and CDO planned several activities for 2018/2019 to strengthen women's roles and address vulnerability and social inclusion. These include; Training CDO's in gender mainstreaming, facilitating meetings for Women, Youth, PWD and Elderly Councils, Holding and or participating in National/ International Days, Conducting participatory planning in LLGs, Implementing UWEP and YLP, Conducting FAL Classes, registering CBOs and monitoring NGO activities,</p> <p>Others activities are; disbursing the SAGE Grant to PWD beneficiaries, sensitising stakeholders on issues of elderly persons and implementing OVC activities in Sub-Counties</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 181,082,753/= and the actual was 102,453,024/=. This translates into 57% 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, there was evidence that the LG had screened projects implemented due to be implemented in 2018/2019. The LG provided the screening forms along with the mitigation plans for investments in Education, Water, and Production (under NUSAF). Investments from the Health Department are being screened currently.</p>	<p>1</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>There is evidence that the LG has attempted to integrate environmental, health and safety issues into the bid documents but it is not clear how the issues of social management have been integrated into the bid documents.</p> <p>Also, the environment officer indicated that the department is not consulted when the bid documents are being developed</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>The LG has made commendable progress in securing land on which projects are being implemented. The LG has an inventory of Government land (2018). Meanwhile, for the sampled projects, it could not be ascertained whether all the land was secured either through a title or an agreement. For instance the Budwale GFS has pipes that goes through private land. For this investment, there are no agreements with the land owners</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>All completed projects did not have Environmental and Social Mitigation Certification signed by the Environmental Officer and 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 the contract payment certificated includes prior environmental and social clearance (new one): Score 1 	<p>All contract payment certificates availed did not have environmental and social clearance</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. Score: 1 	<p>There is no evidence that the Environmental Officer and the CDO are making monthly reports on environmental matters</p>	<p>0</p>

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>There is evidence in the performance contract that each school in Mbale LG has a head teacher and over 7 teachers all budgeted within a wage bill of UGX 10,274,815,075/= for in the current FY 2018/19. The updated list of schools dated 30th of August 2018, consists of 104 government-aided primary schools in Mbale 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>In the list of 104 schools obtained from the office of the DEO, each school has a head teacher and at least 7 teachers deployed for the current FY 2018/19. The number of teachers in the five (5) selected primary schools in the district include:</p> <ol style="list-style-type: none"> Busui PS has 25 teachers Makhai PS has 21 teachers Bumuluya PS has 18 teachers Namanyonyi PS has 22 teachers Madarasa Najjah PS has 18 teachers <p>It was also established that there are 89 substantive head teachers and only 15 others in acting position.</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 o If 100%: score 6 o If 80 - 99%: score 3 o If below 80%: score 0 	<p>Mbale LG has a total ceiling of 1,658 primary teachers; of which, 1615(97%) of the structure for teachers with a wage bill provision of 10,274, 815, 075/=. This is inconformity with the staff lists for primary schools at the office of Human Resource Management.</p>	<p>3</p>
<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>Mbale Local Government approved and adopted structure as dated on 3rd of July 2017 indicates that the district has 1 position of Senior Inspector of Schools and 3 positions of Inspectors of Schools, and 2 of which are currently filled and 2 are not yet. The DEO was not aware of the adjusted positions of inspectors of schools. The evidence of unawareness of the structure is visible in the 'status report on education sector human resource as at 30th July, 2018' forwarded to CAO on 13th of August, 2018. The filled position was under Min.029/2017 on January 4, 2018.</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 was submitted to the HRM for the current FY 2018/19, indicating the need to fill 20 senior education assistants</p>	<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 submitted to the HRM for the current FY 2018/19, indicating 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>50% (1 out of 2) of Inspectors of Schools had been appraised during FY 2017/18.</p> <p>There are (4) inspectors of schools as per the approved structure namely Senior Inspector (1) and (3) inspector of schools. 2/4 positions of inspectors are substantively filled.</p> <p>a) The annual performance report for Mr. Khaukha Paddy (appointed as inspector of schools under Min.No.199/2017) was filled on 26/4/18 and signed by Ag.DEO on 30/6/18.</p> <p>b) The annual performance report for Ms.Musungu Lydia (appointed as Senior Inspector of Schools under DSC Min.No199/2017) was not on file. She was last appraised during FY 2016/17.</p>	<p>0</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"> • Primary school head teachers o 90 - 100%: score 3 o 70% and 89%: score 2 o Below 70%: score 0 	<p>Only 6% (6 out of 98) of head teachers (HTs) had been appraised for calendar year 2017. Mbale DLG has a total of (104) Government aided Primary schools. It has (98) substantive (HTs) and (6) Caretakers. Annual performance reports for (6) HTs were on file, duly filled and signed by DEO (i.e. Bufumbo P/S, Namalogo P/S, Namatala P/S, Bubirabi P/S, Mbale P/S & Bugema Quran P/S.</p> <p>However, signed performance agreement forms for 2017 were not on file.</p>	<p>0</p>
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<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>The Education department has evidence that they received some circulars and policy documents from the national level in the previous FY 2018/19 and communicated to the schools in the district.</p> <p>The following documents received were noted in the education department:</p> <ol style="list-style-type: none"> (1) Unlicensed/registered schools received 12/2/18 (2) Dear Day – Circular was received on 14/2/18 (3) Teachers’ Attendance and Time on Task received on 12/2/18 (4) Primary School National and SNE learners Championship received on 20th /3/18 <p>It was observed by headteachers in sample schools that these documents are communicated to school through various means; phone call, SMS and written circulars to explain the documents. Some of the circular found in school included:</p> <ol style="list-style-type: none"> (1) Term 1 operation guiding circular 2018 (2) Expiry of School Management Committee (3) Collection of money from parents (4) Guideline of school feeding and nutrition (5) BALL GAMES Program 	<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>According to the DEO, the circulars and guideline received are always shared and discussed with the Headteachers. For instance, she highlighted that: unlicensed and unregistered schools received on 12th February 2018 and discussed with headteachers on 13th, February 2018, Teachers Attendance and Time on Task received on 12th February 2018 and discussed with headteachers on 27th February 2018 and Primary Schools National Kids and SNE learners Championship received and discussed on 29th March 2018.</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: 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>The total number of schools in the district is 161(G&P). The schools inspections, both in public and private primary schools in term two 2018, term three 2017 and term two 2017 indicated that 440 inspection were conducted out of 483 expected in 161 schools, thus representing a coverage of 91 percent .</p> <p>The number of inspections FY 2018/19 in sampled schools include:</p> <ol style="list-style-type: none"> (1) Busui PS was inspected 2 of 3 times (2) Makhai PS was inspected 3 of 3 times (3) Bumuluya PS was not evidence of inspection at school. (4) Namanyonyi PS was inspected 3 of 3 times (5) Madarasa Najjah PS was inspected 2 of 3 times. <p>School inspection coverage as per sampled schools = $(13/15) * 100 = 87\%$</p> <p>Overall inspection coverage $(91 + 87)/ 2 = 178/2 = 89\%$</p>	<p>8</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 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 errant staff. There was evidence that meetings were held in February 2018; August 2018 and December 2017. The key recommendations in the reports were:</p> <ul style="list-style-type: none"> - Functional departmental rewards and sanction to discipline 8 teachers for absenteeism; for example, on August 16, 2018, three(3) Education Assistants II were invited to appear before the Rewards and Sanctions Committee. - The LG education department recommended school feeding program in all schools; some schools had started to encourage the parents to contribute for the feeding of the children. In the school visited, there was evidence that Bumuluya PS and Makhai PS had meetings with parents to discuss midday meals. 	<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 evidence that submissions to DES have been made on quarterly basis , for example , acknowledgement on dated on 15 August 2017 and 29th of May 2018.</p>	<p>2</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>DES reports for FY 2018/18 indicate that inspection recommendations are usually followed up: for instance school feeding committees were inducted, parents' meeting were held to encourage the parents to contribute for the feeding of the children. In the school visited, there was evidence that Bumuluya PS and Makhai PS had meetings with parents to discuss midday meals.</p> <p>On August 16, 2018, three(3) Education Assistants II were invited to appear before the Rewards and Sanctions Committee.</p> <p>There was evidence , headteachers were informed to form new SMC, in all the selected schools for visiting , new SMCs had been formed and approved.</p>	<p>4</p>

<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"> o List of schools which are consistent with both EMIS reports and PBS: score 5 	<p>The list of schools in the office of DEO recorded 104 government-aided schools as per PBS and EMIS list from MoES. These lists were accurate and consistent.</p>	<p>5</p>
<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>The EMIS report 2017/2018 indicate that 41036 male pupils and 42868 females were recorded in government , and other 6719 male pupils and 7075 female pupils were recorded in private schools. This also included 747 male and 912 female teachers (1659). This was consistent with PBS but this was inconsistent with EMIS report that indicated 35921 male and 37765 female pupils</p>	<p>0</p>
<p>Governance, oversight, transparency and accountability</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 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 the four (4) sets of minutes of Health and Education Committee for meetings held on 28th/09/2017, 22nd/11/2017, 28th/02/2018 and 9th/05/2018 indicated 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"> • Education department report in meeting of 28th/09/2017 under Min. H&E.35/09/2017 - recommended continued training of HUMCs, football pitches be considered as priority coming FY, renovation of Bumasikeye and Burukuru PSs, assessment of schools to benefit from latrines in the next budget, and in meeting of 22nd/11/2017 discussed absenteeism in schools, promotion of school feeding and publicization of quota system. • Education department workplan and budget for FY 2018/19 was discussed in meeting of 9th/05/2018 under Min. H&E.45/05/2018 	<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>Health and Education Committee had presented to Council issues that required approval, for example:</p> <ul style="list-style-type: none"> • In Council meeting of 22nd/03/2018 Committee report and recommendations were presented for approval e.g recommended that community SSS e.g. Bufumbo, Bukonde, Namanyonyi, Nmawanga, Namabasa, Bumasikeye, Naiku, Lumbuku, Moni, Lwasso, and Bubetsye SSS be taken up by government and that budget for co-curricular activities be increased in next FY. • In Council meeting of 30th/05/2018 under Min. COU.79/05/2018 Committee presented Education sector workplan and budget for FY 2018/19 for approval. 	<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 schools has received a new approved SMCs, following the communication dated 24th May 2018 from the office of DEO. Accordingly, there was evidence that the SMCs were functioning, and all schools randomly sampled had presented the minutes of their meetings per term as the guidelines in the Education Act 2008. The randomly sampled schools, from the office of the DEO to check the submissions of included: Bulweta PS, Bkingala PS , Madarasa Najjah PS , Lwagoli PS and Bumangeni Army PS. All had submitted 3 sets of minutes of the mandatory meetings, and in each set of minutes , there was evidence of discussion of budget in every school , by SMC</p> <p>Additions , all schools that were visited for check, had minutes of SMC. These schools included: Busui Primary School SMC; Makhai Primary School; Bumuluya Primary School; Namanyonyi Primary School; and Madarasa Najjah Primary School.</p>	<p>5</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>Lists of all schools receiving non-wage recurrent grants (UPE) posted on public notice boards as required.</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>The Education Department made input into the District Procurement Plan in a document titled "Submission of Education Department Procurement Plan for 2018/2019" on 13/3/2018</p>	<p>4</p>
<p>Financial management and reporting</p>			

<p>The LG Education department has certified and initiated payment for supplies on time</p> <p>Maximum 3 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the LG Education departments timely (as per contract) certified and recommended suppliers for payment: score 3. 	<ul style="list-style-type: none"> The LG Education department timely certified and recommended suppliers for payment as per the contract terms and conditions. <p>Examples of contracts verified included:</p> <p>(1)-Procurement Ref:MBAL536/wrks/17-18/00018 by Noki Investments Ltd, for construction of 5 stance pit latrine at Mooni p/school in Bungokho mutoto sub-county, with a contract price of shs 19,311,521, date of completion and requisition for payment 26/4/2018, date of certification by CAO for payment 21/6/2018, date of actual payment 22/6/2018,payment voucher no.PV-E18351255,LPO No. 00004280/1, amount paid shs 8,140,498.</p> <p>Delay period was 60 days (2 months) i.e (25/4/2018 up-to 21/6/2018).</p> <p>The delay period did not exceed the recommended 2 months limit, therefore, certification by LG was timely.</p> <p>(2)-Procurement Ref:MBAL536/wrks/17-18/00019 by M/S Tsandexi Investments Ltd, for construction of 5 stance lined pit latrine at Bufumbo p/school in Busiano sub-county, with a contract price of shs 20,961,402, date of completion and requisition for payment 16/3/2018, date of certification by CAO for payment 18/5/2018, date of actual payment 7/6/2018,payment voucher no.PV-17734744,LPO No. 00021593/4, amount paid shs 18,837,856.</p> <p>Delay period was 60 days (2 months) i.e (16/3/2018 up-to 18/5/2018).</p> <p>The delay period did not exceed the recommended 2 months limit, therefore, certification by LG was timely.</p>	<p>3</p>
<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 	<ul style="list-style-type: none"> Though the PBS administrator message confirmed submission on the 23rd/11/2017 of quarter I Education report FY 2017/18 to planning unit for consolidation, the submission dates for the annual/Q4 cumulative performance report, quarter II and III reports could not be ascertained. 	<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 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 had provided information to the internal audit on the status of implementation of all audit findings for the previous financial year .This was evidenced in a submission letter from DEO addressed to CAO, dated 16/4/2018 ref: EDUC/AUDIT/04/18 and copied to CFO & District Chairmam, titled " Response to Audit Queries FY 2016/2017- 13,090,000".</p>	<p>2</p>
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Social and environmental safeguards

<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 education department were in consultation with the gender focal point to disseminate guidelines on how senior women/men teachers should provide guidance to girls and boys on various issues.</p>	<p>0</p>
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<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>Since guidelines were not formulated, it implied that there was nothing explain. Thus, 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>The guideline on the gender composition of SMCs is fully met. All the schools have SMCs with at least 3 women in the committee.</p>	<p>1</p>
<p>LG Education department has ensured that guide- lines on environmental management are dissemi- nated 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>There is no evidence that the LG Education Department in collaboration with Environment Department has issued guidelines on environmental management</p>	<p>0</p>

<p>LG Education department has ensured that guide- lines on environmental management are dissemi- nated 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>School infrastructure projects for 2018/2019 have been screened and the forms include mitigation actions</p>	<p>1</p>
<p>LG Education department has ensured that guide- lines on environmental management are dissemi- nated and complied with</p> <p>Maximum 3 points for this performance measure</p>	<ul style="list-style-type: none"> • The environmental officer and community development officer have visited the sites to checked whether the mitigation plans are complied with: Score 1 	<p>There is evidence that the environmental officer has visited these sites and has prepared a report titled " Report on Environmental Assessment of District Projects in Your Sector". The report is dated 17th September 2018 and addressed to the District Education Officer, and copied to CAO and the District Engineer. Meanwhile the CDO did not make an input to this report 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>From the approved annual work plan 2018/19 FY, the PHC wage bill provision is UGX 5,251,054,273 and the wage bill for staff in post is UGX 5,225,900,304 leaving a balance of UGX 25,153,966 unutilised. Out of 651 positions in the approved structure, 423 positions are filled (65%) i.e. between 60% and 80%.</p>	4
<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 15/6/2018 was obtained on file. The District recruitment plan includes the positions from the health department.</p>	6

<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>Mbale DLG has (2) HCIVs namely Busiu and Bufumbo.</p> <p>None (0%) of (2) health facility in-charges had been appraised for FY 2017/18.</p> <p>The annual performance reports (2017/18) for Dr.Maumbe Bernard (assigned duty as in-charge for Busiu HCIV on 1/6/2015) and Dr.Wanyera Peter (in-charge for Bufumbo HCIV) were not on respective files.</p>	<p>0</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 matches with the actual staff deployed at the health facilities as per the list obtained from the sampled facilities. The three cases identified were due to transfers effected after the list in the performance contract was developed i.e two at Namakole HCIII and one at Namanyonyi HCIII</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 e.g. the PHC guidelines via email to all facility in charges dated 5/6/2018 as well as the quality of care assessment tool/guideline via email dated 12/2/2018.</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>Review meetings were held with facility in-charges under RHITES-E project support on the following dates; 15/12/2017, 16/2/2018, 6/6/2018 and 31/8/2018. However, there is no clear evidence to show that the guidelines were explained during the above meetings.</p>	<p>0</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 no Hospital and has two (2) HCIVs. Reports on file at DHO's office indicate there was no supervision in Q1 though a supervision report titled July to September was done dated but 10/12/2017. In addition, from the supervision log book at Busiu HCIV, both Q1 and Q2 indicate no supervision was done. This is contrary to the requirement of at least once a quarter as per the indicator.</p>	<p>0</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 supervised lower level health facilities within the previous FY:</p> <ul style="list-style-type: none"> If 100% supervised: score 3 80 - 99% of the health facilities: score 2 60% - 79% of the health facilities: score 1 Less than 60% of the health facilities: score 0 	<p>Support supervision was done by the HSD to the lower facilities as per the supervision log books obtained from the sampled facilities (Namanyonyi HCIII done for all quarters, Makhai HCII for 3 quarters and Nakaloke HCIII for all quarters) i.e 2/3 facilities supervised all quarters (66.7%).</p>	<p>1</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>There was no evidence to show discussion of support supervision reports in the review meetings minutes obtained at DHO's office hence no recommendations were made.</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>No discussions took place hence no actions were available for follow up.</p>	<p>0</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>All the 60 reporting facilities submitted HMIS forms 105 and 108 for July and August as per hard copies at DHO's office. The list of facilities was consistent with the PBS (Performance contract).</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 the four (4) sets of minutes of Health and Education Committee for meetings held on 28th/09/2017, 22nd/11/2017, 28th/02/2018 and 9th/05/2018 indicated 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 28th/09/2017 under Min. H&E.35/09/2017 - recommended continued training of HUMCs, submission of staff Health staff due for promotion be submitted to DSC for consideration as a form of motivation; football pitches be considered as priority next FY renovation of Bumasikeye and Burukuru PSs, identify all schools without latrines to benefit in the next budget., and in meeting of 22nd/11/2017 under Min. H&E.39/11/2017 recommended the establishment of health centres in Sub Counties without any government facility, recommended that CAO writes to SASs over proper management of motorcycle ambulances. Health department workplans and budgets for FY 2018/19 under Min. H&E.45/05/2018 of 9th/05/2018. 	0
<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>Health and Education Committee had presented issues that required approval to Council, for example:</p> <ul style="list-style-type: none"> In Council meeting of 22nd/03/2018 Committee presented report and recommendations for Council approval under Min. COU/67/03/2018 e.g. recommended mandatory contributions towards O&M by users of the motorcycle ambulance, DHO to hold training of Health staff in the area of leadership, governance and administrative skills. In Council meeting of 30th/05/2018 under Min. COU.79/05/2018 Committee presented Health sector workplan and budget for FY 2018/19 	2

<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>Four (4) of the five (5) facilities had all the four mandatory quarterly meetings (Bumulisha HCII). One (1) i.e. Makhai HCII held only one HUMC meeting on 22/9/2017 i.e. 4/5= 80% (between 80% and 99%).</p>	<p>4</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 publicised all health facilities receiving PHC non-wage as per the notice on DHO notice board dated 25/5/ 2018 showing the facility and corresponding allocations for FY 2018/19.</p>	<p>4</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 9/3/2018.</p>	<p>2</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 3/4 procurement requests (PPform 1) i.e.</p> <p>OPD Construction at Bumasikeye dated 9/7/2018, Construction of Placenta Pit at Bunapongo HC III dated 9/7/2018 and Construction of Ambulance Shades at Bufumbo HC IV and Siira HC III dated 9/7/2018</p>	<p>0</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 included:

(1)-Procurement Ref:MBAL536/wrks/17-18/00024 by Nami Hard Ware Ltd, for construction of motor bike ambulance shed at Naiku HCIII in Bumbobi sub-county and Buwangwa HCIII in Busiano sub-county, with a contract price of shs 15,700,112, date of completion and requisition for payment 31/5/2018, date of certification by CAO for payment 21/6/2018, date of actual payment 21/6/2018, payment voucher no.PV-E18351241, LPO No. 00021661/2, amount paid shs 5,596,489.

Delay period was 48 days i.e (3/5/2018 up-to 21/6/2018).

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

(2)-Procurement Ref:MBAL536/wrks/17-18/00018 by M/s Birime Construction Co. Ltd, for construction of OPD HC II Muruba in Nyondo sub-county, with a contract price of shs 229,120,839, date of completion and requisition for payment 2/10/2017, date of certification by CAO for payment 2/11/2017, date of actual payment 12/2/2018, payment voucher no.15673587, LPO No. 00009252/3, amount actually paid shs 114,380,144

Delay period was 30 days i.e (2/10/2017 up-to 2/11/2017).

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

<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>Though the PBS administrator messages confirmed that Health department had submitted quarter I and II reports for FY 2017/18 to planning unit for consolidation on time, the quarter 4/Annual performance report had been submitted later than mid-July, as follows:</p> <ul style="list-style-type: none"> Quarter I: 21st/11/2017 Quarter II: 26th/02/2018 Quarter IV/Annual: 8th/8/2018 <p>The date for submission of quarter III report could not be ascertained.</p>	<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 had not provided information to the internal audit on the status of implementation of all audit findings for the previous financial year. This issue was raised in the exit meeting after the assessment exercise where the DHO admitted the weakness and promised to improve on it</p>	<p>0</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>All the five (5) sampled health facilities met the gender requirement of 30% females on the HUMC i.e. Busiu HCIV HCIV has 5 females out of 11 (45.5%) , Bufumbo HCIV has 3 females out of 9 (33.3%), Makhai HCII has 3 females out of 5 (60%), Namanyonyi HCIII and Nakaloke HCIII has 4 females each out of 7 (57%).</p>	<p>2</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>Four (4) of the five (5) sampled facilities has clearly marked sanitation facilities for male and female. No evidence of guidelines i.e. Not fully compliant with the requirement.</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>No evidence of environmental screening form on file.</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"> The environmental officer and community development officer have visited the sites to check whether the mitigation plans are complied with: Score 2 	<p>No evidence of any report by the environment officer and Community Development Officer on file.</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>Mbale district water coverage stands at 64.38%.</p> <p>Sub counties above the district average included wanale/budwale at 93.07%, busoba/nyondo at 80.98% and busano at 79.13%</p> <p>All sub counties below the district safe water coverage were covered under FY 2018/19 budget; Bukonde – UGX. 17,061,000, Busui – UGX. 34,122,000, bungokho - UGX. 34,122,000 , Bukiende – UGX 17,061,000, Nakaloke – UGX 34,122,000.</p> <p>DWO Total budget FY 2018/19 was UGX. 314,756,140.</p> <p>FY 2018/19 Budget allocated to sub counties below district safe water coverage was UGX. 280,634,140</p> <p>Thus 90% of 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. 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>All projects below the district average were implemented 100% as par quarter four reports.</p> <p>Eight boreholes in seven sub counties of namabasa, bungokho, bumboi, busui, bumasikye, lukhonge and Lwasso, were drilled and are operational.</p> <p>Fourteen boreholes were rehabilitated in nine sub counties below district average and are operational.</p> <p>Two gravity flow schemes were rehabilitated in sub counties of bumbobi and bukiende and are operational.</p> <p>Moni GFS was constructed in bungokho.</p> <p>Two public pit latrines were constructed in sub counties of bukonde and bumasikye and are operational.</p>	<p>15</p>
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Monitoring and Supervision

<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>All projects below the district average were implemented 100% as par quarter four reports.</p> <p>Eight boreholes in seven sub counties of namabasa, bungokho, bumboi, busui, bumasikye, lukhonge and Lwasso, were drilled and are operational.</p> <p>Fourteen boreholes were rehabilitated in nine sub counties below district average and are operational.</p> <p>Two gravity flow schemes were rehabilitated in sub counties of bumbobi and bukiende and are operational.</p> <p>Moni GFS was constructed in bungokho.</p> <p>Two public pit latrines were constructed in sub counties of bukonde and bumasikye and are operational.</p>	<p>15</p>
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<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>MIS report FY 2017/2018 has been submitted, Mbale district safe water coverage; rural access is at 67%, and Mbale quarter 4 reports rural safe water coverage at 64.6%.</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>Water facilities in MIS and PBS are the same, nine borehole, two 2 stance pit latrine, sixteen borehole rehabilitation and thirty five tap stands.</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>District water department submitted the procurement plan to PDU on the 28th March 2018 together with all input requests.</p>	<p>4</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>The District Chief Administrative Officer appointed the contracts manager on the 23rd January 2017.</p> <p>On file there was evidence of monthly supervision of the water and sanitation facilities.</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 water and sanitation facilities constructed as per design(s): score 2 	<p>The drawings were filed, and the BOQs dated 4/10/2017 were on file for the nine boreholes. BOQs dated 6/11/2018 for the 2 stance drainable pit latrines. BOQs dated 24/10/2018, covered the GFS.</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>Interim completion certificates for the two stance pit latrines at namwami and lwaboba; commencement 2/12/2017, completion was set to 22/1/2018.</p> <p>interim certificate for GFS budwale phase 3, commencement 31/1/2018 and completion 30/5/2018.</p> <p>other projects are not catered for in this area.</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>At the time of the assessment, DWO had interim certificates for two projects, interim certificates for other projects were not availed.</p>	<p>0</p>

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:MBAL536/wrks/17-18/00012 by Buyobo General Traders Ltd, for rehabilitation of Mooni Gravity Flow Scheme, with a contract price of shs 19,776,800, date of completion and requisition for payment 2/2/2018, date of certification by CAO for payment 20/2/2018, date of actual payment 14/3/2018,payment voucher no.PV-16999763, actual amount paid shs 18,771,200, receipt no. 026 dated 10/4/2018.

Delay period was 18 days i.e (2/2/2018 up-to 20/2/2018).

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

(2)-Procurement Ref:MBAL536/wrks/17-18/00009 by Kabwangasi General Traders. Ltd, for construction of 2 stance lined pit latrine at Namwani and Lwababa RGCs, with a contract price of shs 16,082,094, date of completion and requisition for payment 22/1/2018, date of certification by CAO for payment 20/2/2018, date of actual payment 20/3/2018,payment voucher no.17012219 of shs 14,423,148 receipt no. 007

Delay period was 28 days i.e (22/1/2018 up-to 20/2/2018).

The delay period did not exceed the recommended 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 Planning Unit</p> <p>Maximum 5 for this performance measure</p>	<ul style="list-style-type: none"> Evidence that the department submitted the annual performance report for the previous FY (including all four quarterly reports) to the Planner by mid-July for consolidation: score 5 	<p>Though the PBS administrator messages confirmed that Water department had submitted quarter I report for FY 2017/18 to planning unit for consolidation on time on 20th/11/2017, the quarter 4/Annual performance report had been submitted on 13th/8/2018 which was later than deadline of mid-July.</p> <p>The dates for submission of quarter II and III reports could not be ascertained.</p>	<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 sector had provided information to the internal audit on the status of implementation of all audit findings for the previous financial year .This is evidenced in the submission letters from DWO addressed to CAO as follows:</p> <ul style="list-style-type: none"> On 13/11/2017 a response (no ref.) was submitted to CAO titled "Response to the Audit Query of unreported Micro Procurement" signed by Assistant Engineering officer/water (Wandera Simon Peter), and duly acknowledged by CAO as received with a rubber stamp. On 10/1/2017 a response (no ref.) was submitted to CAO titled "Response to the Audit Query For the period of April-June 2016" 4th quarter, signed by Health Inspector/Water (Kakai Esther), and duly acknowledged by CAO as received with a rubber stamp. 	<p>3</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, Production and Natural Resources Committee for meetings of 22nd/09/2017, 21st/11/2017, 27th/02/2018 and 10th/05/2018 affirmed that though some service delivery related issues had been considered, the Committee had not discussed performance assessment results for FY 2017/18, LG PAC reports and submissions from the DWSCC. Issues discussed included:</p> <ul style="list-style-type: none"> Water departmental report under Min. WPN.31/11/2017 of 21st/11/2017 – Rehabilitation of Namakhuyu GFS had been completed the previous Financial year –recommended for it to be commissioned, and, recommended reactivation of WUCs for sustainable management of water facilities; discussed community contribution towards O&M of water facilities under Min.WPN/36/2018 in meeting of 27th/02/2018 Water budget for FY 2018/19 was discussed and recommended for submission to Council for approval under Min.WPN.41/05/2018 of 10th/05/2018 - included e.g. drilling and rehabilitation of boreholes, construction of 2-stance latrine at Bumboobi and Namanyonyi SC, extension of Wanale GFS. 	<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 	<p>Works, Production and Natural Resources Committee had presented to Council issues that required Council approval, for example:</p> <ul style="list-style-type: none"> In Council meeting of 22nd/03/2018 Committee report and recommendations were presented under Min. COU/67/03/2018 e.g. need for timely procurement of service providers. In Council meeting of 30th/05/2018 under Min. COU.79/05/2018 Committee presented Water workplan and budget for FY 2018/19 for Council approval. 	<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>The AWP, Budget and water development grant releases and expenditures were not displayed on the district notice board as per the PPDA act.</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 four water facilities visited in bungokho, and sanitation facility in bukonde sub counties were labeled.</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 contracts awards was not displayed on the district notice board for all the projects by water department.</p>	<p>0</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>Application letters were filed,</p> <p>Application letter dated 7th march 2016 from bungokho s/c,</p> <p>Application letter dated 3/8/2018 with community borehole contribution of sh. 200.000 on receipt no. 80177 bungokho s/c, and application dated 28/12/2017 in bungokho s/c.</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>Three water sources out of five visited were fenced and three collected 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>Environmental screening was done by water department; a report on the extension of wanale & budwale GFS phase 2 in wanale and budwale s/c dated 24/8/2018.</p> <p>Environmental report dated 18/8/ 2.018 on proposed construction of 2 line stance pit latrine in bukonde and bumasikeye sub counties.</p> <p>Environmental assessment report dated 29/7/2018 on the proposed drilling of twelve and rehabilitation of 26 borehole drilling.</p>	<p>2</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>There were no unacceptable environmental concerns as per the environmental screening reports submitted, hence no follow up was taken.</p>	<p>1</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>There was no evidence provided to score this indicator.</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 WSC composition on gender equity balanced from the sampled water and sanitation facilities in Iwasso, Namabasa, Bungokho and Bukonde sub counties.</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>Two stance line pit latrine visited in Bumasikye sub counties had adequate access and separate stances for men and women and labeled.</p>	<p>3</p>