



Local Government Performance Assessment

Kumi District

(Vote Code: 529)

Assessment	Scores
Crosscutting Minimum Conditions	56%
Education Minimum Conditions	100%
Health Minimum Conditions	70%
Water & Environment Minimum Conditions	65%
Micro-scale Irrigation Minimum Conditions	0%
Crosscutting Performance Measures	67%
Educational Performance Measures	65%
Health Performance Measures	62%
Water & Environment Performance Measures	76%
Micro-scale Irrigation Performance Measures	0%

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	<p>Service Delivery Outcomes of DDEG investments</p> <p>Maximum 4 points on this performance measure</p>	<ul style="list-style-type: none"> • Evidence that infrastructure projects implemented using DDEG funding are functional and utilized as per the purpose of the project(s): • If so: Score 4 or else 0 	<p>The infrastructure projects as evidenced by the sampled below, were functional and utilized:</p> <ol style="list-style-type: none"> 1. Construction of a 2 in one Teachers' House in Katilekkori P/s in Kanyimun Sub county was completed as on page 75 of the Annual Quarterly Budget Performance Reports. 2. Construction of a 5-stance Pit Latrine in Obure P/s in Atatur Sub county was functional and utilized as on page 75 of the Annual Quarterly Budget Performance Reports 3. Construction of a Maternity Ward in Kanyimun HCIII in Kanyimun Sub county Phase 1 of slabbing was completed as on page 66 of the Annual Quarterly Budget Performance Reports 	4
2	<p>Service Delivery Performance</p> <p>Maximum 6 points on this performance measure</p>	<p>a. If the average score in the overall LLG performance assessment increased from previous assessment :</p> <ul style="list-style-type: none"> o by more than 10%: Score 3 o 5-10% increase: Score 2 o Below 5 % Score 0 	Not Applicable	0

Service Delivery
Performance

Maximum 6 points on
this performance
measure

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

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

The LG planned to implement 9 (nine) DDEG funded projects/activities all of which were completed representing 100% as evidenced in the Annual QBPR.

Example;

1. Construction of a 2 in 1 Teachers House in Katilekori P/s in Kanyum Sub county budgeted at Shs. 136,000,000 but actual spent was Shs. 111,790,000, completed as on page 76 of the Annual QBPR with a Substantial Completion Certificate dated 17th/6/2020.

2. Construction of a 5-stance pit latrine in Obure P/s in Atatur Sub county budgeted at Shs. 20,000,000 but actual spent was Shs. 16,000,000 completed as on page 75 of the Annual QBPR with a Substantial Completion Certificate dated 10th/6/2020.

3. Construction of a Maternity Ward PHASE I (Slab) in Kanyum HCIII in Kanyum Sub county budgeted at Shs. 49,924,051 but actual spent was Shs. 31,941,000 completed as on page 69 of the Annual QBPR with a Substantial Completion Certificate dated 18th/5/2020.

4. Fencing of Kumi Administration Block budgeted at Shs. 51,105,000 but actual spent was Shs. 49,000,000 completed as on page 40 of the Annual QBPR .

Substantial Completion was not availed for assessment.

5. Fencing of Works Yard budgeted at Shs. 36,983,400 but actual spent was Shs. 34,000,000 completed as on page 86 of the Annual QBPR . Substantial Completion Certificate was not availed at the time of assessment.

Investment
Performance

Maximum 4 points on
this performance
measure

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

Score 2 or else score 0.

The LG budgeted and spent all the DDEG for the previous FY on the 9 (nine) eligible projects/activities in accordance with the DDEG grant guidelines, budget and implementation guidelines as evidenced below:

1. Construction of a 2 in 1 Teachers House in Katilekpori P/s in Kanyum Sub county budgeted at Shs.136,000,000 but actual spent was Shs. 135,135,136,057 and complied with eligibility requirements in section 6.1.1 pages 16-18 of the DDEG guidelines.

2. Fencing of Kumi Administration block budgeted at Shs. 51,105,000 but actual spent was Shs.45,973,990 and complied with eligibility requirements in section 6.1.1 pages 16-18 of the DDEG guidelines.

3. Fencing of Works Yard Phase II budgeted at Shs. 36,983,400 but actual spent was Shs. 35,914,162 and complied with the eligibility requirements in section 6.1.1 pages 16-18 of the DDEG guidelines.

4. Construction of a 5-Stance lined pit latrine at Obule P/s budgeted at Shs.20,000,000 but actual spent was Shs.19,215,710 and complied with eligibility requirements in section 6.1.1 pages 16-18 of the DDEG guidelines.

5. Construction of A Maternity Ward in Kanyum HC III in Kanyum Sub county.

6. Supply of KTB Hives and Protective gear to Production department budgeted at Shs.7,120,000 but actual spent was Shs. 7,119,200 and complied with the eligibility requirements in section 6.1.1 pages 16-18 of the DDEG Guidelines.

7. Supply of Cassava cuttings to Atuturu Sub county budgeted at Shs. 6,975,000 but actual spent was Shs.4 ,045,000 and met the requirements in section 6.1.1 pages 16-18 of the DDEG guidelines.

8. Supply of Furniture to Planning Unit Lot 2 budgeted at Shs.13,800,000 and actual spent was Shs. 13,800,000 and met the eligibility requirements in section 6.1.1 pages 16-18 of the DDEG guidelines.

9. Supply of 2 (two) Motor cycles to Education department budgeted at Shs. 9,700,000 and actual spent was Shs. 9,700,000 and met the eligibility requirements in Section 6.1.1 pages 16-18 of the DDEG guidelines.

Investment
Performance

Maximum 4 points on
this performance
measure

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

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

1. Engineer's Estimate for construction of a 2 in One Teacher's House at Katilekori Primary school was 136,000,000 and contractor's price was 135,136,057. Variation of Shs. 864,963, was within +20% of LG Engineer's estimate.

2. Engineer's Estimate for Construction of a 5 Stance Latrine at Mukongoro Township Primary School was 20,000,000.

Contractor's Price was 19,026,107

Variation of 973,893 was within 20% of the Engineer's estimate.

3. Engineer's for Construction of a maternity Ward at Kanyumu HC 111 was estimated at 55,000,000.

Contractor's Price was 53,402,363.

Variation of 1,596,637 was within 20% of the Engineer's estimate.

Performance Reporting and Performance Improvement

Accuracy of reported information

Maximum 4 points on this Performance Measure

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

Information on positions filled in LLGs as per minimum staffing standards was accurate evidenced from the three LLGs sampled. The sampled LLGs included: Kumi sub county, Ongino and Nyero Sub county.

According to the staff list obtained from HRM, Ongino sub county had 18 staff such as Aiyo Susan (SAS), Acam Florence (CDO), Lisa Augustine (Agriculture Officer) Koloro Julius (P/C), Echaat Kokas (P/C etc

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

Sample two was collected from Kumi sub county Sub county. According to the staff list obtained from HRM, the Sub county had 11 staff such as Akello Deborah (Ag. Senior Assistant CAO), Okello Emmanuel (P/C), Osairo Samuel (CDO), Akol Simon (P/C) etc

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

Sample three was collected from Nyero Sub county .

According to the staff list obtained from HR Nyero had 15 staff such as Okiria Innocent Ben (SAS), Adeke Esther (Sub Accountant), Ecumu Francis (Agriculture Officer), Akia Betty (P/c) etc

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

4	<p>Accuracy of reported information</p> <p>Maximum 4 points on this Performance Measure</p>	<p>b. Evidence that infrastructure constructed using the DDEG is in place as per reports produced by the LG:</p> <ul style="list-style-type: none"> • If 100 % in place: Score 2, else score 0. <p>Note: if there are no reports produced to review: Score 0</p>	<p>The infrastructure constructed using the DDEG were existent as per monitoring reports on the 3 sampled projects evidenced below:</p> <ol style="list-style-type: none"> 1. A monitoring report dated 16th/5/2020 on construction of 2 in 1 Teachers house and 2-stance pit latrine at Katilekori P/s in Kanyum Sub county. 2. A monitoring report dated 16th/5/2020 on construction of a Maternity Ward Phase 1 at Kanyum HC III in Kanyum Sub county. 3. A monitoring report dated 26th/9/2019 on construction of a new 5-stance pit latrine at Obule P/s in Atatur Sub county. <p>Issues raised in the monitoring reports included:</p> <ol style="list-style-type: none"> 1. Contractors to restore the environment by removing debris from the sites. 2. Retention not to be paid to contractors unless environmental and Social mitigations have been undertaken. 3. Water user Committees to be trained on their roles and responsibilities. 4. The District Engineer to involve the Environment Officer in specifying the kind of environmental mitigation measures to be in the BOQs. 	2
5	<p>Reporting and Performance Improvement</p> <p>Maximum 8 points on this Performance Measure</p>	<p>a. Evidence that the LG conducted a credible assessment of LLGs as verified during the National Local Government Performance Assessment Exercise;</p> <p>If there is no difference in the assessment results of the LG and national assessment in all LLGs</p> <p>score 4 or else 0</p>	Not Applicable	0
5	<p>Reporting and Performance Improvement</p> <p>Maximum 8 points on this Performance Measure</p>	<p>b. The District/ Municipality has developed performance improvement plans for at least 30% of the lowest performing LLGs for the current FY, based on the previous assessment results.</p> <p>Score: 2 or else score 0</p>	Not Applicable	0

5	Reporting and Performance Improvement Maximum 8 points on this Performance Measure	c. The District/ Municipality has implemented the PIP for the 30 % lowest performing LLGs in the previous FY: Score 2 or else score 0	Not Applicable	0
---	---	--	----------------	---

Human Resource Management and Development

6	Budgeting for and actual recruitment and deployment of staff Maximum 2 points on this Performance Measure	a. Evidence that the LG has consolidated and submitted the staffing requirements for the coming FY to the MoPS by September 30th of the current FY, with copy to the respective MDAs and MoFPED. Score 2 or else score 0	The LG submitted the staffing requirements for the coming FY 2021/22 to the MoPS vide submission letter dated 7th May 2020 and received by MoPs and MoLG on 5th June 2020	2
---	--	---	---	---

7	Performance management Maximum 5 points on this Performance Measure	a. Evidence that the District/Municipality has conducted a tracking and analysis of staff attendance (as guided by Ministry of Public Service CSI): Score 2 or else score 0	The DLG had a staff attendance register in place in which the staff signed in and out. From this register the HRM obtained the data, analyzed it and tracked staff attendance. Evidenced with an analysis and tracking report for the months July to August 2019 submitted to the CAO	2
---	--	--	---	---

7	<p>Performance management</p> <p>Maximum 5 points on this Performance Measure</p>	<p>i. Evidence that the LG has conducted an appraisal with the following features:</p> <p>HODs have been appraised as per guidelines issued by MoPS during the previous</p> <p>FY: Score 1 or else 0</p>	<p>Only 6 out of 9 HoDs (had performance reports on file such as</p> <ul style="list-style-type: none"> • Okaali Joseph Substantive District Planner performance report signed on 30th July 2020. • Ogogoa Rajab substantive District Production Officer performance report signed on 9th July 2020 • Onoria Alex okirigi Substantive DCDO performance report signed on 6th Nov 2017 • Onone Justine Caretaking DE performance report signed on 8th July 2020 • Imalingat Christine caretaker DNRO performance report signed on signed on 20th July 2020. • Olupot Thomas More caretaker District Commercial Officer no performance report. • Wandera Peter CFO no performance report on file • Otai John michael (DEO) performance report on file signed on 28th July 2020 • Okoth Obbo (DHO) no performance report on file 	0
7	<p>Performance management</p> <p>Maximum 5 points on this Performance Measure</p>	<p>ii. (in addition to “a” above) has also implemented administrative rewards and sanctions on time as provided for in the guidelines:</p> <p>Score 1 or else 0</p>	<p>There was no evidence of implementation of administrative rewards and sanctions</p>	0
7	<p>Performance management</p> <p>Maximum 5 points on this Performance Measure</p>	<p>iii. Has established a Consultative Committee (CC) for staff grievance redress which is functional.</p> <p>Score 1 or else 0</p>	<p>The was no evidence of an established and functional Consultative Committee</p>	0
8	<p>Payroll management</p> <p>Maximum 1 point on this Performance Measure or else score 0</p>	<p>a. Evidence that 100% of the staff recruited during the previous FY have accessed the salary payroll not later than two months after appointment:</p> <p>Score 1.</p>	<p>The DLG did not conduct any recruitment in FY 2019/20 due to COVID 19 pandemic whereby large gatherings were prohibited.</p> <p>The DLG had advertised in the Monitor Newspaper dated Friday March 13th 2020 but due to the pandemic the recruitment was halted</p>	0

9	Pension Payroll management	a. Evidence that 100% of staff that retired during the previous FY have accessed the pension payroll not later than two months after retirement:	Only 3 out of the 25 retirees accessed payroll within two months after retirement such as Apio Christine IPPs 856220 retired on 28th November 2019 and assessed the payroll on 1st Dec 2019	0
	Maximum 1 point on this Performance Measure or else score 0	Score 1.		

Management, Monitoring and Supervision of Services.

10	Effective Planning, Budgeting and Transfer of Funds for Service Delivery	a. If direct transfers (DDEG) to LLGs were executed in accordance with the requirements of the budget in previous FY:	<p>The District received 3 quarterly DDEG releases of Shs. 288,109,624 per quarter all totaling to Shs. 864,328,872 from MoFPED during the previous FY which was transferred on quarterly basis direct to the LLGs/Sub counties bank accounts as detailed below:</p> <p>Quarterly transfers to LLGS.</p> <p>1. Atatur: Shs. 34,958,694 on A/c No. 0140052092101</p> <p>2. Kanyum : Shs. 56,530,042 on A/c No. 0140052085501.</p> <p>3. Kumi: Shs. 30,718,173 on A/c No. 0140052092501.</p> <p>4. Mukongoro: Shs.61, 968,971 on A/c No. 0140052089101.</p> <p>5. Nyero: Shs. 47,219,332 on A/c No. 0140052099101.</p> <p>6. Ongim: Shs. 56,714,412 on A/c No. 0140052090101.</p> <p>Total Transferred: Shs. 288,109,624.</p> <p>These DDEG transfers were the same in Q1, Q2 and Q3 as evidenced by the respective LLGs acknowledgement receipts attached on the District transfer documents dated 9th/8/2019, 17th/10/2019 and 27th/1/2020 for Q1, Q2 and Q3 respectively.</p>	2
	Maximum 6 points on this Performance Measure	Score 2 or else score 0		

10	<p>Effective Planning, Budgeting and Transfer of Funds for Service Delivery</p> <p>Maximum 6 points on this Performance Measure</p>	<p>b. If the LG did timely warranting/ verification of direct DDEG transfers to LLGs for the last FY, in accordance to the requirements of the budget: (within 5 working days from the date of receipt of expenditure limits from MoFPED):</p> <p>Score: 2 or else score 0</p>	<p>The LG timely warranted DDEG transfers as evidenced below:</p> <p>Q1 Cash limits were loaded on 24th/7/2019 and warranted on 31st /7/2019 7 days later than the recommended 5 days.</p> <p>Q2 Cash limits were loaded on 10th/10/2019 and warranted on 15th/10/2019 within the recommended 5 days.</p> <p>Q3 Cash limits were loaded on 14th/1/2020 but warranted on 23rd/1/2020 9 days later than the recommended 5 days.</p>	2
10	<p>Effective Planning, Budgeting and Transfer of Funds for Service Delivery</p> <p>Maximum 6 points on this Performance Measure</p>	<p>c. If the LG invoiced and communicated all DDEG transfers for the previous FY to LLGs within 5 working days from the date of receipt of the funds release in each quarter:</p> <p>Score 2 or else score 0</p>	<p>The LG invoiced DDEG transfer for Q1 13 days later than the recommended maximum of 5 days as evidenced below:</p> <p>Q1 DDEG of Shs. 288,109,624 was warranted on 31st/7/2019 but was invoiced on 12th/8/2019 13 days later than the recommended 5 days.</p> <p>In addition, notification of DDEG releases for Q1 to LLGs was also untimely i.e. Warranting was done on 31st/7/2019 but notification was made on 9th/8/2019 (10 days later than the recommended maximum of 5 days).</p> <p>Q2 DDEG of Shs. 288,109,624 was warranted on 15th /10/2019 within the recommended maximum of 5 days.</p> <p>Warranting was done on 15th/10/2019 and notification was made timely on 17th/10/2019 within the recommended maximum of 5 days.</p> <p>Notification was made on 17th/10/2019 within the recommended 5 days.</p> <p>Q3 DDEG of Shs. 288,109,624 was warranted on 23rd/1/2020 and invoiced timely on 27th/1/2020.</p> <p>Notification was also made timely on 27th/1/2020.</p>	0

11	<p>Routine oversight and monitoring</p> <p>Maximum 4 points on this Performance Measure</p>	<p>a. Evidence that the District/Municipality has supervised or mentored all LLGs in the District /Municipality at least once per quarter consistent with guidelines:</p> <p>Score 2 or else score 0</p>	<p>The District mentored LLGs on quarterly basis as evidenced below:</p> <p>Q1 mentoring was done on 30th/8/2019.</p> <p>Q2 mentoring was done on 16th/12/2019</p> <p>Q3 mentoring was done on 24th/3/2020.</p> <p>Q4 mentoring was done on 25th/5/2020.</p> <p>Mentoring of LLGs in the four quarters of the previous FY centered on Planning and Budgeting, Accountability and Reporting, Roles and responsibilities of Parish Development Committees, Data collection techniques and data required for planning purposes.</p>	2
11	<p>Routine oversight and monitoring</p> <p>Maximum 4 points on this Performance Measure</p>	<p>b. Evidence that the results/reports of support supervision and monitoring visits were discussed in the TPC, used by the District/ Municipality to make recommendations for corrective actions and followed-up:</p> <p>Score 2 or else score 0</p>	<p>Results /Reports of support supervision and monitoring visits were discussed in the TPC meetings held on 16th/7/2019, 27th/2/2020 and 19th/5/2020 and the following recommendations were made:</p> <ol style="list-style-type: none"> 1.Launching, monitoring and commissioning should always be done with adequate preparation involving availability of facilitation tools and ensuring preparation of reports on monitoring activities. 2. The contractor for the Seed Secondary School in Kumi Sub county who had abandoned the site at the time of monitoring was to be directed by CAO to resume work by 30th/5/2020. 3. The District should ensure that the contractors rectify environmental issues before retention is paid. 4. CAO, DE & SEO were to ensure that the incomplete works on fencing the District Administration block and Works Yard under DDEG including environmental issues were done. 	2

Investment Management

12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>a. Evidence that the District/Municipality maintains an up-dated assets register covering details on buildings, vehicle, etc. as per format in the accounting manual:</p> <p>Score 2 or else score 0</p> <p>Note: the assets covered must include, but not limited to: land, buildings, vehicles and infrastructure. If those core assets are missing score 0</p>	<p>The District maintained an Assets Register (un numbered pages) with only the Register of Land and Buildings complying with the prescribed format in the Local Government Accounting Manual 2007 as on pages 167 & 168.</p> <p>Motor Vehicles and Heavy Plants as well as Assets General were all include but infrastructure projects were not included.</p>	0
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>b. Evidence that the District/Municipality has used the Board of Survey Report of the previous FY to make Assets Management decisions including procurement of new assets, maintenance of existing assets and disposal of assets:</p> <p>Score 1 or else 0</p>	<p>The District had an Annual Board of Survey Report for FY 2019/2020 in place.</p> <p>The Board of Survey Report had 3 major recommendations on page 121 namely:</p> <ol style="list-style-type: none"> 1. Pieces of land i.e. Area accommodating Special Needs Offices, Former PPO's House, Weather Station and Former Judiciary Residence should be registered and titled. 2. The recommended plots e.g. 1-19 Malera Road, 2-20 Osekeny Road, 5/7 Government Road etc should be disposed off to expedite development since the District did not have immediate capacity to do so. 3. Moveable Assets such as Motor Vehicles, Plants and Motor cycles should be verified on Bi-Annual Basis to ensure their security and ownership. <p>Action taken by the District include survey of the recommended pieces of plots for registration and titling whose files were submitted to MoLHUD – ZONAL OFFICE on 29th/7/2020 for titling.</p> <p>Disposal of the recommended plots awaits guidance from PS MoLG on the same as per his circular to all Accounting Officers dated 8th/6/2020.</p>	1

12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>c. Evidence that District/Municipality has a functional physical planning committee in place which has submitted at least 4 sets of minutes of Physical Planning Committee to the MoLHUD. If so Score 2. Otherwise Score 0.</p>	<p>The District had a functional Physical Planning Committee in place with at least 4 (four) sets of minutes of Physical Planning Committee to the MoLHUD as evidenced below:</p> <p>1st set of PPC minutes held on 23rd/9/2019 submitted to MoLHUD on 2nd/10/2020 Ref. CR 214/4</p> <p>2nd set of PPC minutes held on 2nd/10/2019 submitted to MoLHUD on 2nd/10/2020 Ref.CR 214/4</p> <p>3rd set of PPC minutes held on 9th/1/2020 submitted to MoLHUD on 2nd/10/2020 Ref.CR 214/4.</p> <p>4th set of PPC minutes held late on 6th/7/2020 due to COVID-19 pandemic submitted to MoLHUD on 30th/11/2020 Ref. CR. 214/4.</p> <p>The Physical Planning Committee comprised of 12 (twelve) legitimate members with only Surveyor missing.</p> <p>The LG did not have a Physical Development Plan but had a Registration book for submission of plans for approval.</p>	2
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>d.For DDEG financed projects;</p> <p>Evidence that the District/Municipality has conducted a desk appraisal for all projects in the budget - to establish whether the prioritized investments are: (i) derived from the third LG Development Plan (LGDP III); (ii) eligible for expenditure as per sector guidelines and funding source (e.g. DDEG). If desk appraisal is conducted and if all projects are derived from the LGDP:</p> <p>Score 2 or else score 0</p>	<p>No evidence was availed at the time of assessment</p>	0
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>For DDEG financed projects:</p> <p>e. Evidence that LG conducted field appraisal to check for (i) technical feasibility, (ii) Environmental and social acceptability and (iii) customized design for investment projects of the previous FY:</p> <p>Score 2 or else score 0</p>	<p>No evidence was availed at the time of assessment</p>	0

12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>f. Evidence that project profiles with costing have been developed and discussed by TPC for all investments in the AWP for the current FY, as per LG Planning guideline and DDEG guidelines:</p> <p>Score 1 or else score 0.</p>	<p>Costed Project profiles for FY 2020/2021 were availed but no evidence of discussion in the TPC as required</p>	0
12	<p>Planning and budgeting for investments is conducted effectively</p> <p>Maximum 12 points on this Performance Measure</p>	<p>g. Evidence that the LG has screened for environmental and social risks/impact and put mitigation measures where required before being approved for construction using checklists:</p> <p>Score 2 or else score 0</p>	<p>From the screening forms signed by the Environmental Officer and CDO there was evidence that the LG had screened for environmental and social risks/impact and put mitigation measures were required before being approved for construction using checklists: as mentioned below;</p> <ol style="list-style-type: none"> 1. From the screening form dated 6th March 2020, the LG screened construction of 5 stance pit latrine in Township P/S in Mukongora village, Mukongora Parish in Mukongora S/C. <p>Mitigation</p> <p>Clearing of the site by removing debris, sensitizing of the workers on HIV/AIDSs, provision of the workers with protective gears like boots and helmets, fencing of the construction site, leveling of the hipped soli at the site, replacing of the trees.</p> <ol style="list-style-type: none"> 2. From the screening form dated 19th May 2020, the LG screened fencing of a chine link at the maternity ward in Kanyum HCIII in Kanyum village, Kanyum Parish in Kanyum S/C. <p>Mitigation</p> <p>Clearing of the site by removing debris, sensitizing of the workers on HIV/AIDSs, provision of the workers with protective gears like boots and helmets, fencing of the construction site, leveling of the hipped soli at the site, replacing of the trees.</p> <ol style="list-style-type: none"> 3. From the screening from dated 4th February 2020, the LG screened drilling of a deep borehole in Obotia village, Totolim Parish in Ongino S/C <p>Mitigation</p> <p>Clearing of the site by removing debris, sensitizing of the workers on HIV/AIDSs, provision of the workers with protective gears like boots and helmets, fencing of the construction site, leveling of the hipped soli at the site, replacing of the trees.</p>	2

13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>a. Evidence that all infrastructure projects for the current FY to be implemented using the DDEG were incorporated in the LG approved procurement plan</p> <p>Score 1 or else score 0</p>	<p>DLG had evidence that all infrastructure projects for the FY 2020/2021 were incorporated in the LG Procurement Work Plan approved by District Council under minute 30/KDC/05/2020 signed by Innocent Okiria Clerk to council dated 22/05/2020.</p> <p>Some of these Projects were as follows:</p> <ol style="list-style-type: none"> 1. Procurement of Furniture and Fixtures Pg 1. 2. Construction of staff Houses in Primary Schools. Pg 2 3. Construction of other structures for staff in Primary Schools and Energy installation Pg 2. 4. Construction of a 5 stance drainable Pit Latrine in Okouba Primary School. Pg 2. 5. Construction of roads and Bridges. Pg 2 6. Purchase of a Boat. Pg 2. 	1
13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>b. Evidence that all infrastructure projects to be implemented in the current FY using DDEG were approved by the Contracts Committee before commencement of construction: Score 1 or else score 0</p>	<p>There was evidence that all projects to be implemented in FY 2020/2021 using DDEG funds were approved by District Contracts Committee before implementation. Evaluation meetings were held and minutes recorded for the following 3 projects:</p> <ol style="list-style-type: none"> 1. Procurement of Furniture and Fixtures for Primary Schools was recorded and approved by DLG Council under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 2. Construction of staff Houses in Primary Schools was recorded and approved by DLG Contracts committee under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 3. Construction of other Structures for Staff in Schools was recorded and approved by the District Council under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 	1
13	<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>c. Evidence that the LG has properly established the Project Implementation team as specified in the sector guidelines:</p> <p>Score 1 or else 0</p>	<p>There was no evidence of Properly established PIT by LG.</p>	0

<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>d. Evidence that all infrastructure projects implemented using DDEG followed the standard technical designs provided by the LG Engineer:</p> <p>Score 1 or else score 0</p>	<p>LG had evidence of some Projects implemented using DDEG funds having followed the standard technical designs provided by the LG Engineer.E.g.</p> <p>1.Construction of a 5 Stance Latrine at Mukongoro Township Primary School.Ref: KUMI529/Wrks/19-20/00030. byTOJOWA ENTERPRISESLtd was certified by District Engineer in a completion report dated 15/02/2020.</p> <p>2.Construction of a 2 in one Teacher's House in Katilekori in Kanyumu Sub county Ref: KUMI 529/Wrks/19-20/00001. bySIMPIO TECH (U)Ltd was certified by DLG Engineer in a completion report dated 24/02/2020.</p> <p>3.Construction of a maternity Ward at Kanyumu HC 111Ref: KUMI529/Wrks/2019/2020/00005 by Manjiya Boys (U) Limited was certified by Engineer in a completion report dated 24/02/2020.</p> <p>In all the above sampled Projects, technical designs were followed during implementation e.g. Gauge 28 Prepainted Galvanized iron sheets for roofing.</p>
---	--	---

Procurement, contract management/execution
Maximum 8 points on this Performance Measure

e. Evidence that the LG has provided supervision by the relevant technical officers of each infrastructure project prior to verification and certification of works in previous FY. Score 2 or else score 0

The DLG implemented various projects with close supervision from joint team consisting of District Engineer, Environment Officer, DEO, DHO and CDO as follows:

1.Construction of a 5 Stance Latrine at Mukongoro Township Primary School. Ref: KUMI529/Wrks/19-20/00030. by TOJOWA Enterprises Ltd was certified by District Engineer in a completion report dated 15/02/2020.

Supervision visit was conducted by a joint team of key sector heads on 08/05/2020 and upon recommendation from DEO as Project manager, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.

2.Construction of a 2 in One Teacher's House in Katilekori Primary School Ref: KUMI529/Wrks/2019/2020/00022 by SIMPIO TECH (U) Limited was certified by Engineer in a completion report dated 24/02/2020.

Supervision visit was conducted by a joint team of key sector heads on 08/05/2020 and upon recommendation from DEO as Project manager, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.

3.Construction of a maternity Ward at Kanyumu HC111. Ref: KUMI 529/Wrks/19-20/00048. by Manjiya Boys (U) Ltd was certified by DLG Engineer in a completion report dated 24/02/2020 issued a certificate of work completion dated 24/02/2020.

<p>Procurement, contract management/execution</p> <p>Maximum 8 points on this Performance Measure</p>	<p>f. The LG has verified works (certified) and initiated payments of contractors within specified timeframes as per contract (within 2 months if no agreement):</p> <p>Score 1 or else score 0</p>	<p>The LG had evidence of Certified works and payments initiated within timeframes as follows:</p> <p>1.Construction of a 5 Stance Latrine at Mukongoro Township Primary School. Ref: KUMI529/Wrks/19-20/00030. by TOJOWA Enterprises Ltd was certified by Engineer in a completion report dated 24/02/2020. Engineer issued Certificate of completion Number 2 on 24/02/2020 and Subsequent payment of 56,036,501 to the contractor was initiated and timely paid on 04/02/2020 upon recommendation by DEO.</p> <p>2.Construction of a 2 in One Teacher's House in Katilekori Primary School Ref: KUMI529/Wrks/2019/2020/00022 by SIMPIO TECH (U) Limited was certified by DLG Engineer in a completion report dated 09/05/2020 issued a completion certificate and Subsequent payment of 49,943,571to the contractor was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p> <p>3.Construction of a maternity Ward at Kanyumu HC111. Ref: KUMI 529/Wrks/19-20/00048. by Manjiya Boys (U) Ltd was certified by District Engineer in a completion report dated 15/02/2020.</p> <p>Engineer issued certificate of work completion dated 08/05/2020. and Subsequent payment of 59,026,078 was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p>
---	---	---

Procurement, contract management/execution	g. The LG has a complete procurement file in place for each contract with all records as required by the PPDA Law:	There was evidence that DLG had a complete procurement files in place for each contract as required by the PPDA Law. The following among other contracts sampled in the register were complete:
Maximum 8 points on this Performance Measure	Score 1 or else 0	<p>1.The copy of a bid document issued on 06/09/2019 for construction of a 5 Stance Pit Latrine at Mukongoro Township Primary School was evaluated on 07/10/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to TOJOWA Enterprises Ltd Ref: KUMI529/Wrks/19-20/00030, at 19,996,780 in award letter under minute 05/KDC/07-1/2019-2020 dated 06/11/2019. The completion date of the work was 20/02/2020.</p> <p>2. The copy of a bid document issued on 25/08/2019 for construction of a 2 in One teachers' House at Katilekori Primary School was evaluated on 6/09/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to SIMPIO TECH (U) Ltd Ref: KUMI529/Wrks/19-20/00022, at 19,996,780 in a letter under minute 05/KDC/11/07-1/19-20. dated 09/09/2019. The completion date of the work was 20/01/2020.</p> <p>3. The copy of a bid document issued on 25/08/2019 for construction of a Maternity Ward at Kanyumu HC111 was evaluated on 6/09/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to Manjiya Boys (U) Ltd Ref: KUMI529/Wrks/19-20/00018, at 19,996,780 in a letter under minute 05/CC/11/2019-2020 dated 06/11/2019. The completion date of the work was 20/02/2020.</p>

Environment and Social Safeguards

Grievance redress mechanism operational.	a. Evidence that the District/Municipality has i) designated a person to coordinate response to feed-back (grievance /complaints) and ii) established a centralized Grievance Redress Committee (GRC), with optional co-option of relevant departmental heads/staff as relevant.	The District had designated a person to coordinate response to feed-back by the names of Ms. Akello Mary appointed vide appointment letter dated 28th May 2019 A centralized Grievance Redress Committee (GRC) was in place and the chairperson was the CAO.
Maximum 5 points on this performance measure	Score: 2 or else score 0	

14	Grievance redress mechanism operational. Maximum 5 points on this performance measure	b. The LG has specified a system for recording, investigating and responding to grievances, which includes a centralized complaints log with clear information and reference for onward action (a defined complaints referral path), and public display of information at district/municipal offices. If so: Score 2 or else 0	The LG had in place a register labeled Kumi Local Government Complains and Cases 2019/2020 for recording. investigating and responding to grievances.	2
14	Grievance redress mechanism operational. Maximum 5 points on this performance measure	c. District/Municipality has publicized the grievance redress mechanisms so that aggrieved parties know where to report and get redress. If so: Score 1 or else 0	There was on evidence that the LG had published the grievance redress mechanisms although central register book and suggestion box were in place .	1
15	Safeguards for service delivery of investments effectively handled. Maximum 11 points on this performance measure	a. Evidence that Environment, Social and Climate change interventions have been integrated into LG Development Plans, annual work plans and budgets complied with: Score 1 or else score 0	The Environmental, Social, and Climate change interventions were integrated in the DG Development Plan, AWP and Budget as evidenced below: 1.Environmental interventions were captured in the Development Plan on page 89 while they were captured on page 53 with Shs.2,000,000 in the AWP and Shs. 2,000,000 provided on page 53 of the Budget Estimates. 2.Social and Climate change interventions were integrated in the LG Development Plan on 52, 55, 84 and 89 under Education, Water, Health and Production Sectors respectively. Social and Climate change interventions were captured on page 131 with Shs. 4,625,000 in the AWP and Shs. 4,625,000 in the Budget Estimates as on page 56.	1
15	Safeguards for service delivery of investments effectively handled. Maximum 11 points on this performance measure	b. Evidence that LGs have disseminated to LLGs the enhanced DDEG guidelines (strengthened to include environment, climate change mitigation (green infrastructures, waste management equipment and infrastructures) and adaptation and social risk management score 1 or else 0	The LG disseminated to LLGs the enhanced DDEG guidelines through a TPC meeting attended by Heads of, Heads of Sectors and LLGs staff held on 10th/12/2019 Agenda 5 Min. No.5/12/19. The District Planner informed TPC members that the program priority areas were Livelihood support interventions and 65% of the DDEG resources go directly to LLGs and 35% remain at HLG level.	1

15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>(For investments financed from the DDEG other than health, education, water, and irrigation):</p> <p>c. Evidence that the LG incorporated costed Environment and Social Management Plans (ESMPs) into designs, BoQs, bidding and contractual documents for DDEG infrastructure projects of the previous FY, where necessary:</p> <p>score 3 or else score 0</p>	<p>There was evidence that the LG had incorporated costed Environment and Social Management Plans (ESMPs) as mentioned below;</p> <p>completion of head quarter fence for Kumi District, allow funds for environmental restoration, planting of trees and removal of debris as directed by the engineer at cost 358,000/=, clearing of the site are grabbing all trees and bush for fencing and providing clean water for worker at cost 300,000/=.</p>	3
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>d. Examples of projects with costing of the additional impact from climate change.</p> <p>Score 3 or else score 0</p>	<p>There was no evidence that the LG had projects with costing of the additional impact from climate change.</p>	0
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>e. Evidence that all DDEG projects are implemented on land where the LG has proof of ownership, access, and availability (e.g. a land title, agreement; Formal Consent, MoUs, etc.), without any encumbrances:</p> <p>Score 1 or else score 0</p>	<p>There was no evidence that all projects implemented had proof of land ownership by the LG.. from the sampled projects such as construction of a 2 in One teachers' House at Katilekori Primary School no proof of land ownership was availed.</p>	0
15	<p>Safeguards for service delivery of investments effectively handled.</p> <p>Maximum 11 points on this performance measure</p>	<p>f. Evidence that environmental officer and CDO conducts support supervision and monitoring to ascertain compliance with ESMPs; and provide monthly reports:</p> <p>Score 1 or else score 0</p>	<p>There was no evidence that the LG Environmental Officer and CDO conducted support supervision and monitoring to ascertain compliance with ESMPs and no monthly report was availed to the assessor by the time of assessment.</p>	1

15	Safeguards for service delivery of investments effectively handled. Maximum 11 points on this performance measure	g. Evidence that E&S compliance Certification forms are completed and signed by Environmental Officer and CDO prior to payments of contractors' invoices/certificates at interim and final stages of projects: Score 1 or else score 0	There was evidence that the LG had certification form for the projects implemented signed by the Environmental Officer and CDO as mentioned below; 1. From the certification form dated 12th June 2020, the LG certified construction of 5 stance pit latrine in Township P/S in Mukongora village, Mukongora Parish in Mukongora S/C. 2. From the certification form dated 19th May 2020, the LG certified fencing of a chine link at the maternity ward in Kanyumu HCIII in Kanyumu village, Kanyumu Parish in Kanyumu S/C. 3. From the certification from dated 9th April 2020, the LG certified drilling of a deep borehole in Obotia village, Totolim Parish in Ongino S/C.	1
----	--	---	---	---

Financial management

16	LG makes monthly Bank reconciliations Maximum 2 points on this Performance Measure	a. Evidence that the LG makes monthly bank reconciliations and are up to-date at the point of time of the assessment: Score 2 or else score 0	The LG made monthly bank reconciliations and were up to-date at the time of assessment as evidenced in the 3 sampled bank accounts below: 1.Global Fund Account: General Ledger Cash account Balance as at 30th/6/2020 was Shs. 67,850 Adjusted Bank Statement Balance as at 30th/6/2020 was Shs.67, 850. General Ledger Cash account Balance as at 31st/7/2020 was Shs.32,200 Adjusted Bank Statement Balance as at 31st/7/2020 was Shs.32, 200. General Ledger Cash account Balance as at 31st/8/2020 was Shs. 19,550 Adjusted Bank Statement Balance as at 31st/8/2020 was Shs.19, 550. General Ledger Cash account Balance as at 30th/9/2020 was Shs. 6,900 Adjusted Bank Statement Balance as at 30th/9/2020 was Shs.6, 900. General Ledger Cash account Balance as at 31st/10/2020 was Shs. 0 Adjusted Bank Statement Balance as at 31st/10/2020 was Shs.0. 2.UWEP Recovery Account: General Ledger Cash account Balance as at 30th/6/2020 was Shs. 1,914,835	2
----	---	--	--	---

Adjusted Bank Statement Balance as at
30th/6/2020 was Shs.1, 914,835.

General Ledger Cash account Balance as at
31st/7/2020 was Shs. 1,879,185

Adjusted Bank Statement Balance as at
31st/7/2020 was Shs.1, 879,185.

General Ledger Cash account Balance as at
31st/8/2020 was Shs. 1,866,535

Adjusted Bank Statement Balance as at
31st/8/2020 was Shs.1, 866,535.

General Ledger Cash account Balance as at
30th/9/2020 was Shs. 2,206,885

Adjusted Bank Statement Balance as at
30th/9/2020 was Shs.2, 206,885.

General Ledger Cash account Balance as at
31st/10/2020 was Shs. 11,380,085

Adjusted Bank Statement Balance as at
31st/10/2020 was Shs.11, 380,085.

3.YLP Revolving Fund Account:

General Ledger Cash account Balance as at
30th/6/2020 was Shs. 129,765

Adjusted Bank Statement Balance as at
30th/6/2020 was Shs.129, 765.

General Ledger Cash account Balance as at
31st/7/2020 was Shs. 494,115

Adjusted Bank Statement Balance as at
31st/7/2020 was Shs.494, 115.

General Ledger Cash account Balance as at
31st/8/2020 was Shs. 1,081,465

Adjusted Bank Statement Balance as at
31st/8/2020 was Shs.1, 081,465.

General Ledger Cash account Balance as at
30th/9/2020 was Shs. 1,268,815

Adjusted Bank Statement Balance as at
30th/9/2020 was Shs. 1,268,815.

General Ledger Cash account Balance as at
31st/10/2020 was Shs. 1,456,165

Adjusted Bank Statement Balance as at
31st/10/2020 was Shs.1, 456,165

17	<p>LG executes the Internal Audit function in accordance with the LGA Section 90</p> <p>Maximum 4 points on this performance measure</p>	<p>a. Evidence that LG has produced all quarterly internal audit (IA) reports for the previous FY.</p> <p>Score 2 or else score 0</p>	<p>The LG produced all the quarterly internal audit reports for the previous FY addressed to District Speaker as evidenced below:</p> <p>1st Quarter Internal Audit Report produced on 25th/10/2019 Ref. CR AUD/252/1</p> <p>2nd Quarter Internal Audit Report produced on 27th1/2020 Ref. CR AUD/252/1</p> <p>3rd Quarter Internal Audit Report produced late on 27th/7/2020 due to COVID-19 pandemic Ref. AUD/252/1.</p> <p>4th Quarter Internal Audit Report produced late on 25th/10/2019 due to COVID-19 pandemic Ref. CR AUD/252/1</p>	2
17	<p>LG executes the Internal Audit function in accordance with the LGA Section 90</p> <p>Maximum 4 points on this performance measure</p>	<p>b. Evidence that the LG has provided information to the Council/ chairperson and the LG PAC on the status of implementation of internal audit findings for the previous FY i.e. information on follow up on audit queries from all quarterly audit reports.</p> <p>Score 1 or else score 0</p>	<p>The LG through the Quarterly Internal Audit Reports under "Outstanding issues from previous audits" as on pages 2,4,3 and 3 of 1st ,2nd,3rd and 4th quarter internal audit reports respectively, provided information to Council and LGPAC on the status of implementation and follow up of internal audit findings for the previous FY.</p>	1

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

Maximum 4 points on this performance measure

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

Score 1 or else score 0

The internal audit reports for the previous FY were all submitted to both CAO and LG PAC as evidenced below:

1st Quarter Internal Audit Report submitted to CAO and LG PAC on 4th/11/2019 Ref. CR AUD/252/1

2nd Quarter Internal Audit Report submitted to CAO and LG PAC on 30th/1/2020 Ref. CR AUD/252/1

3rd Quarter Internal Audit Report submitted to CAO and LG PAC on 29th/7/2020 Ref. CR AUD/252/1

4th Quarter Internal Audit Report submitted to CAO and LG PAC on 29th/7/2020 Ref. CR AUD/252/1

The LGPAC reviewed all the 4 (four) Quarterly Internal Audit Reports for the previous FY and followed up as evidenced in their reports submitted to Council below:

1. LGPAC report to Council dated 28th/1/2020 Ref.COU 214/4 on 1st Quarter Internal Audit Report.

2. LGPAC report to Council dated 17th/7/2020 Ref.COU 214/4 on 2nd Quarter Internal Audit Report.

3. LGPAC report to Council dated 31st/8/2020 Ref.COU 214/4 on 3rd Quarter Internal Audit Report.

4. LGPAC report to Council dated 29th/7/2020 Ref.COU 214/4 on 4th Quarter Internal Audit Report.

All the queries raised the 4th Quarter Internal Audit Report on unaccounted for funds were dropped by LGPAC as per their report to Council dated 31st/8/2020 pages 1-15.

Local Revenues

18	<p>LG has collected local revenues as per budget (collection ratio)</p> <p>Maximum 2 points on this performance measure</p>	<p>a. If revenue collection ratio (the percentage of local revenue collected against planned for the previous FY (budget realization) is within +/- 10 %: then score 2 or else score 0.</p>	<p>The budgeted (original budget) local revenue in the previous FY was Shs. 492,683,230 as on page 13 of the AFS for FY 2019/2020.</p> <p>Actual collected was Shs. 260,516,612 as on page 13 of the AFS.</p> <p>The budget realization was -47.1%</p> <p>Workings:</p> $260,516,612/492,683,230*100=52.9\%-100\%=-47.1\%$ <p>This low budget realization was largely attributed to COVID-19 pandemic as markets were closed and restriction on movement.</p>	0
19	<p>The LG has increased LG own source revenues in the last financial year compared to the one before the previous financial year (last FY year but one)</p> <p>Maximum 2 points on this Performance Measure.</p>	<p>a. If increase in OSR (excluding one/off, e.g. sale of assets, but including arrears collected in the year) from previous FY but one to previous FY</p> <ul style="list-style-type: none"> • If more than 10 %: score 2. • If the increase is from 5% -10 %: score 1. • If the increase is less than 5 %: score 0. 	<p>The LG registered an increase in local revenue collections on comparing the previous FY with the previous FY but one as evidenced below:</p> <p>Actual local revenue collected in FY 2019/2020 was Shs.239, 690,272 (excluding sale of assets) as on page 13 of the AFS.</p> <p>Actual local revenue collected in FY 2018/2019 was Shs. 223,774,697(excluding sale of assets) as on page 14 of the AFS registering an increase of Shs. 15,915,575 representing 7.1% increase.</p> <p>Workings:</p> $15,915,575/223,774,697*100=7.1\%$ <p>This increase was due to more LST collected in FY 2019/2020 (Institutions inclusive). The LG budgeted Shs. 103,005,000 and collected Shs.83, 750,489 representing 81.3%.</p>	2

Local revenue administration, allocation, and transparency

a. If the LG remitted the mandatory LLG share of local revenues during the previous FY: score 2 or else score 0

The LG realized Shs. 17,705,000 being LST deductions to the LLGs for the period July – September 2019 which was transferred from the District TSA Account to the respective LLGs bank accounts as evidenced by their acknowledgement revenue receipts attached on the District transfer documents dated 24th/9/2019.

Maximum 2 points on this performance measure.

In addition, the LG realized a sum of Shs 69,757,466 being revenue realized from MoFPED during the previous FY in 4 (four) quarterly releases of Shs. 17,686,916 for Q1, Shs. 12,747,764 for Q2, Shs. 18,402,402 for Q3 and Shs. 20,920,384 for Q4 which was accordingly shared with LLGs and a total of Shs. 44,641,589 was transferred direct to the LLGs bank accounts as evidenced by their respective acknowledgment revenue receipts attached on the District Quarterly transfer documents.

Transparency and Accountability

21

2

LG shares information with citizens

a. Evidence that the procurement plan and awarded contracts and all amounts are published: Score 2 or else score 0

Publicity of the LG assessment results and implications was evidenced on the Notice boards.

Maximum 6 points on this Performance Measure

The LG overall performance was 88% ranked the 4th at National level as on page 103 of the LG Assessment Report for 2019.

21

2

LG shares information with citizens

b. Evidence that the LG performance assessment results and implications are published e.g. on the budget website for the previous year: Score 2 or else score 0

The LG conducted a series of discussions with the public to provide feed-back on status of activity implementation as evidenced below:

Maximum 6 points on this Performance Measure

1. The LG conducted community dialogue on Local Economic Growth Support Mobilization & Sensitization with the community of Kjamaka Rice Bulking and Processing Centre held on 23rd/6/2020 in Kanyum Sub county Headquarters.

2. Community engagement on construction of Aduka Fish Bulking Centre in Ongino Sub county was also held on 25th/6/2020.

3. A community meeting in Agule Parish on formation Community Project Management Committee was held on 22nd/6/2020

21	<p>LG shares information with citizens</p> <p>Maximum 6 points on this Performance Measure</p>	<p>c. Evidence that the LG during the previous FY conducted discussions (e.g. municipal urban fora, barazas, radio programmes etc.) with the public to provide feed-back on status of activity implementation: Score 1 or else score 0</p>	<p>The LG conducted a series of discussions with the public to provide feed-back on status of activity implementation as evidenced below:</p> <ol style="list-style-type: none"> 1. The LG conducted community dialogue on Local Economic Growth Support Mobilization & Sensitization with the community of Kjamaka Rice Bulking and Processing Centre held on 23rd/6/2020 in Kanyum Sub county Headquarters. 2. Community engagement on construction of Aduka Fish Bulking Centre in Ongino Sub county was also held on 25th/6/2020. 3.A community meeting in Agule Parish on formation Community Project Management Committee was held on 22nd/6/2020 	1
21	<p>LG shares information with citizens</p> <p>Maximum 6 points on this Performance Measure</p>	<p>d. Evidence that the LG has made publicly available information on i) tax rates, ii) collection procedures, and iii) procedures for appeal: If all i, ii, iii complied with: Score 1 or else score 0</p>	<p>No evidence of publicity for availability of available information on tax rates, collection procedures and procedures for appeal was availed for assessment.</p>	0
22	<p>Reporting to IGG</p> <p>Maximum 1 point on this Performance Measure</p>	<p>a. LG has prepared a report on the status of implementation of the IGG recommendations which will include a list of cases of alleged fraud and corruption and their status incl. administrative and action taken/being taken, and the report has been presented and discussed in the council and other fora. Score 1 or else score 0</p>	<p>The LG did not register any cases of alleged fraud and corruption in the previous FY thus no IGG issues for assessment.</p>	1

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	<p>Learning Outcomes: The LG has improved PLE and USE pass rates.</p> <p>Maximum 7 points on this performance measure</p>	<p>a) The LG PLE pass rate has improved between the previous school year but one and the previous year</p> <ul style="list-style-type: none"> • If improvement by more than 5% score 4 • Between 1 and 5% score 2 • No improvement score 0 	<p>The LG PLE pass rate improved between the previous school year but one and the previous year.</p> <p>2018 UPE results for 1, 2, 3 grades. $196+1,218+1,234=2,648/4,038*100=66\%$</p> <p>2019 UPE results for 1, 2, 3 grades. $143+1,697+1,287=3,127/4,417*100=71\%$</p> <p>$71\%-66\%=5\%$ improvement.</p>	2
1	<p>Learning Outcomes: The LG has improved PLE and USE pass rates.</p> <p>Maximum 7 points on this performance measure</p>	<p>b) The LG UCE pass rate has improved between the previous school year but one and the previous year</p> <ul style="list-style-type: none"> • If improvement by more than 5% score 3 • Between 1 and 5% score 2 • No improvement score 0 	<p>The LG UCE pass rate improved between the previous school year but one and the previous year.</p> <p>2018 UCE results for 1, 2, 3 grades. $43+259+494=796/1,945*100=41\%$</p> <p>2019 UCE results for 1, 2, 3 grades. $43+297+593=933/2,097*100=44\%$</p> <p>$44\%-41\%=3\%$</p>	2
2	<p>Service Delivery Performance: Increase in the average score in the education LLG performance assessment.</p> <p>Maximum 2 points</p>	<p>a) Average score in the education LLG performance has improved between the previous year but one and the previous year</p> <ul style="list-style-type: none"> • If improvement by more than 5% score 2 • Between 1 and 5% score 1 • No improvement score 0 	Not applicable	0

<p>Investment Performance: The LG has managed education projects as per guidelines</p> <p>Maximum 8 points on this performance measure</p>	<p>a) If the education development grant has been used on eligible activities as defined in the sector guidelines: score 2; Else score 0</p>	<p>Education development grant was used on eligible activities as defined in the sector guidelines.</p> <p>Local Government Guidelines for Education Sector – May 2019 Page 12, under area (Development grant item code 321470), the activities eligible for the development grant under education are listed. For instance:</p> <ul style="list-style-type: none"> - construction and rehabilitation of existing infrastructure and facilities including supply of furniture. - New school constructions - construction of seed secondary schools, etc. <p>The DLG Approved work plan FY 2019/2020 showed the planned activities as follows:</p> <p>Output 078182; construction of teacher house construction and rehabilitation for Kongil and Kanapa.</p> <p>Output 078183 provision of furniture to primary schools. Kachaboi (36), Okemer (36), Aakum (30), Kajamaka New (30), Oladot (30). Pg. 93.</p> <p>KumiDLG 4th Quarterly Performance Report FY 2019/2020, showed construction of teacher houses and construction of lined pit latrines. Desks were not supplied as planned.</p> <p>Output 078181 Latrine construction, 5 stances for Kalapata P/S and 5 stance latrine at Mukongoro Township P/S have been completed. Pg.4 (extract of performance 4th quarter report for Education).</p> <p>Output 078182 Teacher houses construction and rehabilitation. A twin teacher house at Katilekori P/S was completed. Pg.5. (extract of performance 4th quarter report for Education).</p> <p>In the report desks were not supplied and also planned teacher house constructions were not reported.</p>
--	--	--

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

Maximum 8 points on
this performance
measure

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

The DEO, Environment Officer and CDO
certified the works on Education construction
projects implemented in the previous FY prior
to payment of contractors as evidenced below:

1.M/s Simpjo Tech (U) Ltd requested for
payment of Shs. 84,846,521 on 1st/6/2020 for
construction of a 2 in 1 Staff House at
Katilekori P/s of which Certificate NO. 2 dated
3rd/6/2020 was certified and recommended for
payment by DEO on 17th/6/2020 (14 days
after date of certificate) and by both the
Environment Officer and CDO 12th/6/2020
and was paid on 25th/6/2020 vide PV No.
30486351.

2. M/s Tajowa Enterprises requested for
payment of Shs.16,849,948 on 15th/5/2020 for
construction of a 5-stance lined pit latrine at
Mukongoro Town ship P/s of which Certificate
NO. 1 dated 20th/5/2020 was certified and
recommended for payment by DEO on
20th/5/2020 (same date of certificate) and by
both the Environment Officer and CDO
15th/5/2020 and was paid on 20th/5/2020 vide
PV No. 30029700.

3. M/s Cecilia Electricals Ltd requested for
payment of Shs.59,692,783 on 21st/2/2020 for
construction of a 2 classroom block at
Akolitorum P/s in Ongino Sub county of which
Certificate NO. 1 dated 17th/6/2020 was
certified and recommended for payment by
DEO on 17th/6/2020 (same date of certificate)
and by both the Environment Officer and CDO
16th/6/2020 and was paid on 25th/6/2020 vide
PV No. 30486462.

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

Maximum 8 points on
this performance
measure

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

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

1. Engineer's Estimate for construction of a
Teacher's House at Katilekori Primary school
was 136,000,000 and contractor's price was
135,136,057. Variation of Shs. 863,943, was
within +20% of LG Engineer's estimate.

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

Contractor's Price was 58,398,200

Variation of 1,601,800 was within 20% of the
Engineer's estimate.

3. Engineer's Estimate for Construction of a 5
Stance Pit Latrine at Ogoosoi Primary School
was 20,000,000.

Contractor's Price was 19,903,060

Variation of 96,940 was within 20% of the
Engineer's estimate

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

Maximum 8 points on this performance measure

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

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

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

1. Construction of a 5 Stance Pit Latrine at Ogoosoi Primary School Ref: KUMI529/Wrks/2019/2020/00032 by SURUBELO INVESTMENTS (U) Limited was certified by Engineer in a completion report dated 24/02/2020. Engineer issued Certificate of completion Number 2 on 24/02/2020 and Subsequent payment of 19,903,060 to the contractor was initiated and timely paid on 04/05/2020 upon recommendation by DEO.

2. Construction of a 2 in One Teacher's House at Katilekori Primary School by SIMPIO TECH (U) Ltd Ref: KUMI529/Wrks/19-20/00022. was Certified by Engineer in a completion report dated 24/04/2020 and payment of 135,136,057 to the contractor was and timely paid on 04/05/2020 upon recommendation from DEO.

3. Construction of a 2 classroom Block in Kanyamutamu Primary School. Ref: KUMI529/Wrks/19-20/00030. by Manjiya Boys (U) Ltd was certified by District Engineer in a completion report dated 15/04/2020.

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

Achievement of standards: The LG has met prescribed school staffing and infrastructure standards

Maximum 6 points on this performance measure

a) Evidence that the LG has recruited primary school teachers as per the prescribed MoES staffing guidelines

- If 100%: score 3
- If 80 - 99%: score 2
- If 70 – 79% score: 1
- Below 70% score 0

The total teacher ceiling was 1339

Total number of teacher n post was 739

Giving a percentage of 55.1

Achievement of standards: The LG has met prescribed school staffing and infrastructure standards

Maximum 6 points on this performance measure

b) Percent of schools in LG that meet basic requirements and minimum standards set out in the DES guidelines,

- If above 70% and above score: 3
- If between 60 - 69%, score: 2
- If between 50 - 59%, score: 1
- Below 50 score: 0

Schools in KumiLG met basic requirements and minimum standards set out in the DES guidelines.

The LG had a copy of the Basic Requirements and Minimum Standards for schools 2010.

UPE – Asset Register 2020 showed 75 P/S that met the guideline. This also indicated those that needed rehabilitation and the required.

$$75/75*100=100\%$$

Total number of UPE schools being 75.

USE – Asset Register 2020 showed 6 schools that met the guideline.

$$6/6*100=100\%.$$

Total number of USE schools is 6.

This was consistent from 2018.

Performance Reporting and Performance Improvement

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

Maximum 4 points on this performance measure

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

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

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

In Kumi DLG, there was no staff list displayed on the notice board of the DEO's office.

KumiDLG staff list 2019/2020 (PBS), showed the deployment of 764 teachers (in post). The following schools were sampled:

1. Kapokina P/S - 11
2. Kamaca P/S - 13
3. Mukongoro Rock P/S - 15

3 same schools were visited and AT found the following:

1. Kapokina P/S had a staff list 2019/2020 of 11 (6 male and 5 female) teachers deployed. This was the same in both records.

For further verification, Akiriat Peninnah, lateral transfer dated 31st/1/2020, Ref. CR/161/2, from Agurut P/S, to Kapokina P/S. signed by Olaboro Franco - CAO

Acom Joyce, posting instructions dated 13th/7/2011, Ref. CR/161/2, posting to Kapokina P/S as Education Assistant II. Signed by Bateriganya – CAO.

Osire Nathan, lateral transfer instructions dated 24th/1/2016, Ref. CR/161/2. From Omatenga P/S to Kapokina P/S. signed by

Wotunya Henry Peter – Ag. CAO.

2. Kamaca P/S had 13 (9 male and 4 female) teachers deployed as seen in their staff list 2020 displayed. This was same from both records.

Further verification,

Amoding Ruth, Lateral transfer letter dated 17th/1/2019, Ref CR/61/2. Transfer from Katilekor P/S to Kamaca P/S. signed by Wotunya Henry Peter – Ag. CAO.

Odongo Moses, transfer letter dated 29th/1/2013, Ref.CR/161/2. Transfer from Aukot P/S to Kamaca P/S. signed by Charles Okol– ForCAO.

Other files were not presented.

3. Mukongoro Rock P/S had 15 (9 male and 6 female) teachers deployed as seen in their staff list 2020 displayed on the wall. Both records had the same information.

For further verification,

Okwerede Stephen, Lateral transfer letter dated 23rd/1/2017, Ref.CR/161/2. Transfer from Ojie P/S to Mukongoro Rock P/S
Wotunya Hery Peter – CAO.

Other files requested were not presented.

$3/3*100=100\%$

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

Maximum 4 points on this performance measure

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

- If the accuracy of information is 100% score 2

- Else score: 0

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

3 schools were visited and found the following:

KapokinaP/S in the LG asset register reported the following;

- 10 classrooms

- 9 stance pit latrine

- 1 staff houses

- 157 desks.

The same numbers were found at school and in the school asset register.

KamacaP/S in the LG asset register reported:

- 9classrooms

- 13 stance pit latrine

- 4 staff houses

- 148 desks

This was found in the school asset register.

Mukongoro Rock P/S in the LG asset register reported:

- 7 classrooms

- 15 stance pit latrine

- 7 staff houses

- 295 desks.

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

School compliance and performance improvement:

Maximum 12 points on this performance measure

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

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

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

Kumi DLG education Department had a file of school reports submitted by head teachers. The reports included, attachments of annual budgets and work plans. Some schools had not submitted.

62 submitted

$62/75 \times 100 = 82\%$

sampled schools:

1. Mukongoro Rock P/S submitted annual budget estimates and work plan dated 22nd/1/2020. This was signed and stamped by Head teacher, SMC chairperson and PTA Chairperson.

2. Kamaca P/S submitted annual budget 2020 and work plan dated 18th/2/2020. This was signed by the Head teacher and the SMC chairperson. Submission was made late.

3. Kapokina P/S submitted a report dated 27th/2/2020. The report included summary expenditure of the UPE release of term 3, budget and work plan. Signed by the head teacher and the SMC chairperson. Submission was made late.

School compliance and performance improvement:

Maximum 12 points on this performance measure

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

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

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

Schools have been supported to prepare the SIPs by the CCTs.

3 schools sampled:

Kapokina P/S had a School Implementation plan for 2020/2025 displayed on the head teacher's office wall. Some of the activities included were on going and others completed like;

-provision of solar lights for the office

- Borehole repaired

- midday meals for both pupils and the teachers.

Roofing the pit latrine.

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

- construction of a pit latrine by PTA

- construction of a kitchen

- midday meal for teachers and porridge for the pupils.

Mukongoro P/S had SIP 2016/2020 displayed in the staff room. The activities listed in the plan were almost all implemented.E.g.

-teachers house constructed by UNRA

- Pupils pit latrine 5 stance and 2 stances for teachers by PTA

- PTA and SMC functionality

- teaching children to read which they are able now.

School compliance and performance improvement:

Maximum 12 points on this performance measure

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

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

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

Kumi DLG had a total of 75 primary schools and 6 secondary schools in their Enrolments data sheet 2019/2020 and MoES schools with Enrolment showed 75 primary schools and 6 secondary schools.

$$75/75*100=100\%$$

$$6/6*100=100\%$$

Sample names of the schools in both records seen:

- Kamaca P/S
- Mukongoro RockP/S
- Mukongoro Town ship P/S
- Kapokina P/s
- Kanyumu P/S
- Mukongoro High SS
- Nyero SSS
- Nyero Rock High School.

Human Resource Management and Development

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

Maximum 8 points on this performance measure

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

Score 4 or else, score: 0

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

Kumi DLG had budgeted for UGX 5,382.160,000 for the FY 2020/2021 as seen in Kumi DLG Budget Estimates FY 2020/2021. Pg.29

777 teachers for 75 primary schools in the current FY 2020/2021 as indicated in the Kumi DLG Approved work plan FY 2020/2021, Pg.79

$$777/75=10$$

777 teachers for 75 schools gives an average of 10 teachers per school.

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

Maximum 8 points on this performance measure

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

Score 3 else score: 0

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

Kumi DLG Staff List 2020(PBS) showed a total of 777 teachers for 75 schools.

3 schools were visited and the following was found:

1. Kapokina P/S had 11 (6 male and 5 female) government paid teachers and in the daily attendance of 25th/11/2020, 8 teachers were in attendance and 3 had personal problems to attend to, however, one has gone blind.

- Akiriat Peninah

- Achom Joice

- Osire Nathan

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

2. Kamaca P/S had 13 (9 male and 4 female) teachers and in their daily attendance of 22nd/11/2020, they had 10 teachers in attendance and 3 were absent with reasons.

Sample names of the teachers in both records.

- Odongo Moses

- Opolot B Okiror

- Amoding Ruth

3. Mukongoro P/S had 15 (9 male and 6 female) government paid teachers. In the daily attendance of 27th/11/2020, 13 teachers attended. 2 were didn't appear that day.

Sample names of the teachers in both records.

- Ecaat Stephen

- Okwerede Stephen

- Acakara Perpetua

7	<p>Budgeting for and actual recruitment and deployment of staff: LG has substantively recruited all primary school teachers where there is a wage bill provision</p> <p>Maximum 8 points on this performance measure</p>	<p>c) If teacher deployment data has been disseminated or publicized on LG and or school notice board, score: 1 else, score: 0</p>	<p>The teachers' deployment data was disseminated or publicized on school notice boards.</p> <p>Kumi LG did not have their Staff List 2020 displayed on the DEO's Office notice board.</p> <p>Kapokina P/S had their staff list 2020 of 11 teachers displayed on the wall of head teachers' office.</p> <p>Kamaca P/S had staff list 2020 of 13 government aided teachers displayed on head teacher's office.</p> <p>Mukongoro P/S had staff list 2020 of 15 government aided teachers displayed on the head teacher's office wall.</p>	1
8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>a) If all primary school head teachers have been appraised with evidence of appraisal reports submitted to HRM with copt to DEO/MEO</p> <p>Score: 2 or else, score: 0</p>	<p>Only 53 out of 79 performance reports for primary school head teachers were availed</p>	0
8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>b) If all secondary school head teachers have been appraised by D/CAO (or Chair BoG) with evidence of appraisal reports submitted to HRM</p> <p>Score: 2 or else, score: 0</p>	<p>Performance reports for secondary school head teachers not availed</p>	0

8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>c) If all staff in the LG Education department have been appraised against their performance plans</p> <p>score: 2. Else, score: 0</p>	<p>All the four staff in the LG Education department were appraised as below;</p> <p>Otai John ((DEO) performance report signed on 28th July 2020</p> <p>Adongo Sarah (senior inspector of school) appraisal signed on 6th July 2020</p> <p>Okia Kesiron (inspector of School) appraisal signed on 13th July 2020.</p> <p>Oselle Bernard (inspector of School) appraisal signed on 5th March 2018</p>	2
---	--	---	--	---

8	<p>Performance management: Appraisals have been conducted for all education management staff, head teachers in the registered primary and secondary schools, and training conducted to address identified capacity gaps.</p> <p>Maximum 8 points on this performance measure</p>	<p>d) The LG has prepared a training plan to address identified staff capacity gaps at the school and LG level,</p> <p>score: 2 Else, score: 0</p>	<p>There was no evidence presented to indicate that the LG prepared a training plan to address identified staff capacity gaps at the school and LG level</p>	0
---	--	--	--	---

Management, Monitoring and Supervision of Services.

9	<p>Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.</p> <p>Maximum 8 points on this performance measure</p>	<p>a) The LG has confirmed in writing the list of schools, their enrolment, and budget allocation in the Programme Budgeting System (PBS) by December 15th annually.</p> <p>If 100% compliance, score:2 or else, score: 0</p>	<p>The LG confirmed in writing the list of schools, enrolment and budget allocation in programme Budgeting system (PBS).</p> <p>In the MoES school list, 75UPE primary schools with 64,056 total enrolments and list of schools was the same in Kumi DLG Enrolment data sheet 2020.</p> <p>In the MoES School list, 6 USE with total enrolment of 4,002 secondary schools and the list of schools was the same as Kumi list of schools.</p> <p>Total number of schools confirmed in writing with enrolments and budgets are 75+6=81.</p> <p>$81/81*100=100\%$</p>	2
---	---	---	--	---

9	<p>Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.</p> <p>Maximum 8 points on this performance measure</p>	<p>b) Evidence that the LG made allocations to inspection and monitoring functions in line with the sector guidelines.</p> <p>If 100% compliance, score:2 else, score: 0</p>	<p>There was evidence that the LG made allocations to inspection and monitoring functions in line with the sector guidelines.</p> <p>Sector guideline was disseminated by MoES and hard copy presented for assessment in the DEO's office.</p> <p>Management and inspection functions are included in the work plan (PBS extract 2019/2020).Pg.66</p> <p>Total budget for inspection was UGX 101,063,000.</p> <p>In the Kumi DLG quarterly performance report (4th quarter) 2019/2020, showed UGX 69,276,000 spent. Pg.9 (Education department extract)</p> <p>$69,276,000/101,063,000 \times 100 = 69\%$</p>	2
9	<p>Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.</p> <p>Maximum 8 points on this performance measure</p>	<p>c) Evidence that LG submitted warrants for school's capitation within 5 days for the last 3 quarters</p> <p>If 100% compliance, score: 2 else score: 0</p>	<p>The LG submitted warrants for schools capitation for the previous 3 quarters during FY 2019/2020 as follows::</p> <p>Q1 Cash limits were loaded on 24th/7/2019 but Schools capitation was warranted on 31st/7/2019 7 days later than the recommended 5 days.</p> <p>Q3 Cash limits were loaded on 10th/1/2020 but Schools capitation was warranted on 19th/1/2020 which was 9 days later than the recommended 5 days.</p> <p>Q4 Cash limits were loaded on 11th/4/2020 but Schools capitation were warranted on 21st/4/2020 10 days later than the recommended 5 days.</p>	0
9	<p>Planning, Budgeting, and Transfer of Funds for Service Delivery: The Local Government has allocated and spent funds for service delivery as prescribed in the sector guidelines.</p> <p>Maximum 8 points on this performance measure</p>	<p>d) Evidence that the LG has invoiced and the DEO/ MEO has communicated/ publicized capitation releases to schools within three working days of release from MoFPED.</p> <p>If 100% compliance, score: 2 else, score: 0</p>	<p>There were delays in invoicing Schools capitation and no evidence of notification to schools about capitation releases was availed for assessment as evidenced below:</p> <p>Q1 Schools capitation grant of Shs. 299,670,000 was warranted on 31st/7/2019 but was invoiced on 2nd/9/2019 33 days later than the recommended maximum of 5 days.</p> <p>Q3 Schools capitation grant of Shs. 299,670,000 was warranted on 19th/1/2020 but was invoiced on 28th/1/2020 9 days later than the recommended maximum of 5 days.</p> <p>Q4 Schools capitation grant of Shs. 299,670,000 was warranted on 21st/4/2020</p>	0

but was invoiced on 20th/5/2020 30 days later than the recommended maximum of 5 days.

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

3 sampled schools.

Mukongoro Rock P/S;

Q4 voucher 25318943 dated 2/6/2020 UGX 4,114,000

Q3 voucher 27776907 dated 3/2/2020 UGX 4,114,000

Q1 UGX 1,500,000.

The signed acknowledgement form and the receipts were attached.

Kamaca P/S.

Q3 voucher 29795140 dated 2/6/2020 UGX 5,302,000.

Q4 voucher 27776937 dated 3/2/2020 UGX 5,302,000.

Q1 UGX 1,500,000 (had other releases)

Signed acknowledgements and receipts from school was attached.

Kapokina P/S.

Q3 voucher 29795088 dated 2/6/2020 UGX 2,278,000.

Q4 voucher 27776909 dated 3/2/2020, UGX 2,278,000.

Q1 UGX 1,500,000. Signed Acknowledgements and receipts were attached.

All the school releases were displayed on the walls of the head teacher's office.

10	<p>Routine oversight and monitoring</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>a) Evidence that the LG Education department has prepared an inspection plan and meetings conducted to plan for school inspections.</p> <ul style="list-style-type: none"> • If 100% compliance, score: 2, else score: 0 	<p>There was evidence that Kumi LG Education Department prepared inspection work plan and meetings conducted to plan for school inspections.</p> <p>Kumi DLG Education work plan for FY 2018/2019 covering term I, 2019 work plan.</p> <p>Kumi DLG Education work plan for FY 2019/2020 covering term 2 and 3, 2019</p> <p>The plans covered both the private licensed schools and government aided schools – primary and secondary. It also included responsible people for inspection and the time frame.</p> <p>All the three terms of 2019 were planned for.</p> <p>Planning meetings were held to allocate the schools to the inspectors.</p> <p>$3/3 \times 100 = 100\%$</p>	2
10	<p>Routine oversight and monitoring</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>b) Percent of registered UPE schools that have been inspected and monitored, and findings compiled in the DEO/MEO's monitoring report:</p> <ul style="list-style-type: none"> • If 100% score: 2 • Between 80 – 99% score 1 • Below 80%: score 0 	<p>Kumi DLG had 75 government aided schools.</p> <p>Term 1, 2019 Support supervision report dated 14th/5/2019. Inspections were conducted in 75 UPE schools. Report prepared by Adongo Sara – District Inspector of Schools.</p> <p>Term 2, 2019 Support supervision report dated 9th/9/2019. Inspections were done in 75 UPE. Prepared by Adongo Sarah - DIS.</p> <p>Term 3, 2019 Support Supervision report dated 16th/12/2019. Inspections were done in 75 UPE schools. Prepared by Adongo Sarah - DIS.</p> <p>Issues arising in all reports;</p> <ul style="list-style-type: none"> -Teacher arrival and attendance - Classroom environment is not conducive in some schools -Quality of financial management - Quality of management of resources. - classroom infrastructure - hygiene and sanitation <p>$3/3 \times 100 = 100\%$ inspection done.</p>	2

Routine oversight and monitoring

Maximum 10 points on this performance measure

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

Score: 2 or else, score: 0

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

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

Follow up inspection meeting for term 2, 2019 held at DIS office on 21st/10/2019 and attended by 6 members. Min III/10/2019; Discussing findings. Signed by Oselle Bernard – IS.

Follow up Inspection meeting for term 1, 2019 held at DIS office on 8th/7/2019, attended by 6 members. Min. III/7/2019; discussing findings. Signed by Okia Kesiron – Inspector of schools.

Issues

-inadequate accommodation for teachers

- Sanitation in most schools was not good

- Teacher – pupil arrival and attendance was an issue.

- supervision of teachers was inadequate.

3 sample schools.

All the sampled schools did not show the inspection reports. 2019 1st to 3rd term reports were missing in their files. Kapokina P/S, Kamaca P/S and Mukongoro Rock P/S.

Minutes.

SMC routine meeting minutes were seen in all the schools but could not establish discussion of inspection recommendations.

Routine oversight and monitoring

Maximum 10 points on this performance measure

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

There was evidence that the DIS and DEO had presented findings to respective schools and submitted reports to DES.

Acknowledgement letter dated 17th/6/2019 for inspection report Term 1,2019. Delivered by Adongo Sarah – DIS and received by Okiror John Robarts – Ag A/C

Acknowledgement letter dated 10th/9/2019 for the submission of inspection report term 2, 2019. Delivered by DIS and received by Ag A/C – Okiror John Robarts.

Acknowledgement letter dated 15th/1/2020 for the submission of inspection report term 3, 2019. Delivered by DIS and received by Okiror John Robarts.

DES records showed submission of reports only.

Routine oversight and monitoring

Maximum 10 points on this performance measure

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

Kumi DLG Social Services Committee Meeting held on 4th/10/2019 at the Administrative Board room, attended by 9 people both the departmental heads and the Councilors. Min 03/KDC/SS/10/2019: Consideration of reports, Education;

-Training of senior women and men and some church leaders.

- Support supervision by use of integrated inspection system.

- Registration of the candidates and handling of indiscipline cases. Signed by Hon. Achom Janet Leah – Chairperson and Opio Damiano – Secretary.

Kumi DLG Social Service Committee meeting held on 6th/12/2019 at the Administration Board room, attended by 16 members both Councilors and technical heads. Min. 08/KDC/SS/12/2019: Reports.

Under Education;

-Classroom construction at Mukongoro Rock P/S had not come through yet.

- AGMS were conducted in all the schools

- the issue of Acting head teachers to be resolved. Signed by Achom Janet Leah – Chairperson and Okiria Innocent Ben – Secretary.

Meeting held on 27th/2/2020 at the Administration Board room, attended by 14 people both the Councilors and the heads of department. Min 13/KDC/SS/12/2020: Budget performance reports.

Education, reported on the – Unconditional grant, sector conditional grant, conditional grant wage received and local revenue in amounts. Signed by Achom Janet Leah – Chairperson and Okiria Innocent Ben – Secretary

<p>Mobilization of parents to attract learners</p> <p><i>Maximum 2 points on this performance measure</i></p>	<p>Evidence that the LG Education department has conducted activities to mobilize, attract and retain children at school,</p> <p><i>score: 2 or else score: 0</i></p>	<p>There was evidence that Kumi LG Education department had conducted activities to mobilize, attract and retain children at school.</p> <p>Radio talk show at Etop Radio FM on 12th/10/2019. Discussion points included;</p> <ul style="list-style-type: none"> -Learners attendance - Teacher attendance - Parents roles and responsibilities in keeping children at school - Learners roles and responsibilities both at home and school. - Preparation for end of year primary leaving Examinations and other exams. This was presented on free airtime offered to the district. <p>Radio talk show at Continental FM on 15th/4/2020. Discussion points were:</p> <ul style="list-style-type: none"> -Parents and Guardians - Learners Standard Operating Procedures. <p>Annual General meetings conducted in schools were also a big opportunity for mobilization.</p> <p>Mukongoro Rock Annual General meeting held on 12th/11/2019 attended by 90 parents in Min 8/2019, remarks from the DIS, encouraged parents to give their children a chance to in education and keep at school. Signed by Head teacher- secretary.</p> <p>Kamaca Annual General meeting held on 27th/11/2019, attended by 132 parents, in min 10/11/2019, speeches from Inspector of Schools. Parents were encouraged to take of children and provide the necessary scholastic materials for them. Signed by the secretary.</p>
---	---	---

Investment Management

12	Planning and budgeting for investments	a) Evidence that there is an up-to-date LG asset register which sets out school facilities and equipment relative to basic standards, <i>score: 2, else score: 0</i>	There was evidence that an up to-date LG assets register which sets out school facilities and equipment relative to basic standards was submitted. Kumi DLG had asset register titled, "KumiDLG Asset Register 2020" is in the format prescribed by MoES. For instance, it includes: name of school, EMIS No., No. of permanent teacher houses, No. of class rooms, desks, No. of latrines (includes all infrastructure and Facilities). As stipulated in the Sector guidelines for MoES Pg. 49. Kapokina P/S had School Asset Register 2020, updated with 10 classrooms, 9 stance pit latrines, 1 staff house and 157 desks, 5 tables, 11 chairs, 2 cup boards. KamacaP/S had asset register 2020 where all infrastructure and equipment are recorded. For instance, 4 staff houses, 13 stance pit latrines, 9 classrooms and 148 desks, 14 chairs, 8 tables, 14 cup boards including other items. Mukongoro Rock P/S had Asset Register 2020 in counter book whereschool items are recorded. For instance, 295 desks, 15 stance pit latrine, 7 teacher houses, 7 classrooms, 16 chairs, 4 tables and 3 cupboards.	2
	<i>Maximum 4 points on this performance measure</i>			
12	Planning and budgeting for investments	b) Evidence that the LG has conducted a desk appraisal for all sector projects in the budget to establish whether the prioritized investment is: (i) derived from the LGDP III; (ii) eligible for expenditure under sector guidelines and funding source (e.g. sector development grant, DDEG). If appraisals were conducted for all projects that were planned in the previous FY, <i>score: 1 or else, score: 0</i>	No evidence was availed at the time of assessment	0
	<i>Maximum 4 points on this performance measure</i>			
12	Planning and budgeting for investments	c) Evidence that the LG has conducted field Appraisal for (i) technical feasibility; (ii) environmental and social acceptability; and (iii) customized designs over the previous FY, <i>score 1 else score: 0</i>	No evidence was availed at the time of assessment	0
	<i>Maximum 4 points on this performance measure</i>			

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>a) If the LG Education department has budgeted for and ensured that planned sector infrastructure projects have been approved and incorporated into the procurement plan, <i>score: 1, else score: 0</i></p>	<p>There was evidence that all Sector projects to be implemented in FY 2020/2021 were approved by District Contracts Committee before implementation. Evaluation meetings were held and minutes recorded for the following 3 sampled sector projects:</p> <ol style="list-style-type: none"> 1. Procurement of Furniture and Fixtures for Primary Schools was recorded and approved by DLG Council under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 2. Construction of staff Houses in Primary Schools was recorded and approved by DLG Contracts committee under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 3. Construction of other Structures for Staff in Schools was recorded and approved by the District Council under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 	1
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>b) Evidence that the school infrastructure was approved by the Contracts Committee and cleared by the Solicitor General (where above the threshold) before the commencement of construction, <i>score: 1, else score: 0</i></p>	<p>There was evidence that all Education infrastructure projects were approved by District Contracts Committee before implementation. Evaluation meetings were held and minutes recorded for the following 3 projects:</p> <ol style="list-style-type: none"> 1. Procurement of Furniture and Fixtures for Primary Schools was recorded and approved by DLG Council under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 2. Construction of staff Houses in Primary Schools was recorded and approved by DLG Contracts committee under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. 3. Construction of other Structures for Staff in Schools was recorded and approved by the District Council under minute 30/KDC/05/2020-2021 dated 22nd May, 2020. <p>Thresholds were duly adhered to in all sampled projects.</p>	1
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>c) Evidence that the LG established a Project Implementation Team (PIT) for school construction projects constructed within the last FY as per the guidelines. <i>score: 1, else score: 0</i></p>	<p>There was no evidence of a fully established appointed PIT for school construction Projects as per guidelines at the time of assessment.</p>	0

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>d) Evidence that the school infrastructure followed the standard technical designs provided by the MoES</p> <p><i>Score: 1, else, score: 0</i></p>	<p>LG had evidence of infrastructure Projects implemented having followed the standard technical designs provided by the DLG Engineer. Among the sampled include:The DLG supervised the Education projects with team consisting of District Engineer, Environment Officer, DEO and CDO as follows:</p> <ol style="list-style-type: none"> 1. Construction of a 5 Stance Pit Latrine at Ogoosoi Primary School Ref: KUMI529/Wrks/2019/2020/00032 by SURUBELO INVESTMENTS (U) Limited was certified by Engineer in a completion report dated 24/02/2020. Engineer issued Certificate of completion Number 2 on 24/02/2020 and Subsequent payment of 19,903,060 to the contractor was initiated and timely paid on 04/05/2020 upon recommendation by DEO. 2. Construction of a 2 in One Teacher's House at Katilekori Primary School by SIMPIO TECH (U) Ltd Ref: KUMI529/Wrks/19-20/00022. was Certified by Engineer in a completion report dated 24/04/2020 and payment of 135,136,057 to the contractor was and timely paid on 04/05/2020 upon recommendation from DEO. 3. Construction of a 2 classroom Block in Kanyamutamu Primary School. Ref: KUMI529/Wrks/19-20/00030. by Manjiya Boys (U) Ltd was certified by District Engineer in a completion report dated 15/04/2020. <p>Engineer issued certificate of work completion dated 08/05/2020. and Subsequent payment of 59,026,078 was initiated and timely paid on 13/05/2020 upon recommendation by DEO.</p>	1
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>e) Evidence that monthly site meetings were conducted for all sector infrastructure projects planned in the previous FY <i>score: 1, else score: 0</i></p>	<p>There was no evidence of quarterly site meetings held in three quarters for infrastructure projects.</p>	0
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>f) If there's evidence that during critical stages of construction of planned sector infrastructure projects in the previous FY, at least 1 monthly joint technical supervision involving engineers, environment officers, CDOs etc ..., has been conducted <i>score: 1, else score: 0</i></p>	<p>There was evidence that one technical supervision meeting involving Engineer, DEO, Environment Officer and CDO was held during critical stages of construction of a 2 in One Teacher's House in Katilekori Primary School. Ref: KUMI529/Wrks/19-20/00022 dated 09/05/2020.</p>	1

13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>g) If sector infrastructure projects have been properly executed and payments to contractors made within specified timeframes within the contract, <i>score: 1, else score: 0</i></p>	<p style="text-align: right;">1</p> <p>The sector infrastructure projects were properly executed and contractors paid within the specified timeframes as evidenced below:</p> <p>1.M/s Simpjo Tech (U) Ltd requested for payment of Shs. 84,846,521 on 1st/6/2020 for construction of a 2 in 1 Staff House at Katilekori P/s of which Certificate No.2 dated 3rd/6/2020 was recommended for payment by DEO on 17th/6/2020 (14 days after date of certificate) and paid on 25th/6/2020 vide PV No. 30486351.</p> <p>2. M/s Tajowa Enterprises requested for payment of Shs. 16,849,948 on 15th/5/2020 for construction of a 5-stance lined Pit latrine at Mukongoro Town ship P/s of which Certificate No.1 dated 20th/5/2020 was recommended for payment by DEO on 20th/5/2020 (same date of the certificate) and paid on the same day vide PV No. 30029700.</p> <p>3. M/s Cecilia Electricals Ltd requested for payment of Shs. 59,692,783 on 21st/2/2020 for construction of a 2-Classroom block at Akolitorom P/s of which Certificate No.1 dated 17th/6/2020 was recommended for payment by DEO on 17th/6/2020 (same date of the certificate) and paid on the same day vide PV No. 30486462.</p>
13	<p>Procurement, contract management/execution</p> <p><i>Maximum 9 points on this performance measure</i></p>	<p>h) If the LG Education department timely submitted a procurement plan in accordance with the PPDA requirements to the procurement unit by April 30, <i>score: 1, else, score: 0</i></p>	<p style="text-align: right;">1</p> <p>DLG had evidence that all Education infrastructure projects for the current FY were incorporated in the LG current Procurement Work Plan approved by District Council under minute 30/KDC/05/2020 signed by Innocent Okiria Clerk to council dated 22/05/2020.</p> <p>The List of these Education Projects was as follows:</p> <p>1.Procurement of Furniture and Fixtures Pg 1.in the consolidated Procurement Plan.</p> <p>2.Construction of staff Houses in Primary School.Pg 2 in the consolidated Procurement Plan.</p> <p>3.Construction of other structures for staff in Primary Schools and Energy installation Pg 2.in the consolidated Procurement Plan.</p> <p>4.Construction of a 5 stance drainable Pit Latrine in Okouba Primary School. Pg 2.in the consolidated Procurement Plan.</p>

Procurement, contract management/execution

Maximum 9 points on this performance measure

i) Evidence that the LG has a complete procurement file for each school infrastructure contract with all records as required by the PPDA Law score 1 or else score 0

There was evidence that DLG had a complete procurement file in place for each contract as required by the PPDA Law. The following among other contracts sampled in the register were complete:

1. The copy of a bid document issued on 06/09/2019 for construction of a 5 Stance Pit Latrine at Mukongoro Township Primary School was evaluated on 07/10/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to TOJOWA Enterprises Ltd Ref: KUMI529/Wrks/19-20/00030, at 19,996,780 in award letter under minute 05/KDC/07-1/2019-2020 dated 06/11/2019. The completion date of the work was 20/02/2020.

2. The copy of a bid document issued on 25/08/2019 for construction of a 2 in One teachers' House at Katilekori Primary School was evaluated on 6/09/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to SIMPIO TECH (U) Ltd Ref: KUMI529/Wrks/19-20/00022, at 19,996,780 in a letter under minute 05/KDC/11/07-1/19-20. dated 09/09/2019. The completion date of the work was

20/01/2020.

3. The copy of a bid document issued on 25/08/2019 for construction of a Maternity Ward at Kanyumu HC111 was evaluated on 6/09/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to Manjiya Boys (U) Ltd Ref: KUMI529/Wrks/19-20/00018, at 19,996,780 in a letter under minute 05/CC/11/2019-2020 dated 06/11/2019. The completion date of the work was 20/02/2020.

Environment and Social Safeguards

Grievance redress: LG Education grievances have been recorded, investigated, and responded to in line with the LG grievance redress framework.

Maximum 3 points on this performance measure

Evidence that grievances have been recorded, investigated, responded to and recorded in line with the grievance redress framework, score: 3, else score: 0

There was no evidence that the LG recorded, Investigated, responded to any grievance in line with the grievance redress framework

15	<p>Safeguards for service delivery.</p> <p><i>Maximum 3 points on this performance measure</i></p>	<p>Evidence that LG has disseminated the Education guidelines to provide for access to land (without encumbrance), proper siting of schools, 'green' schools, and energy and water conservation</p> <p><i>Score: 3, or else score: 0</i></p>	<p>The guidelines were in place but no proof of date when they were disseminated</p>	0
16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>a) LG has in place a costed ESMP and this is incorporated within the BoQs and contractual documents, <i>score: 2, else score: 0</i></p>	<p>There was evidence that LG had costed ESMP and was incorporated in BoQ;</p> <p>BoQ item C, allow funds for environmental restoration; planting of fruit trees five timber trees and five shade trees (ever green). Well protected and watered including removal of the debris from the site as directed by engineer at cost of 148,000/=.</p> <p>This was applied to all education projects.</p>	2
16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>b) If there is proof of land ownership, access of school construction projects, <i>score: 1, else score:0</i></p>	<p>Out of the three sampled projects only one project had proof of land ownership as mentioned below;</p> <p>construction of 5 stance pit latrine in Township P/S in Mukongor village, Mukongor Parish, Mukongor S/C</p> <p>Plot 84, Block 3, Sheet 53/2/18, Scale 1:10,000, I/S P/2/0375, dated 2nd June 2018.</p>	0
16	<p>Safeguards in the delivery of investments</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>c) Evidence that the Environment Officer and CDO conducted support supervision and monitoring (with the technical team) to ascertain compliance with ESMPs including follow up on recommended corrective actions; and prepared monthly monitoring reports, <i>score: 2, else score:0</i></p>	<p>There was no evidence that the LG Environmental Officer and CDO conducted support supervision, no monthly monitoring reports were prepared.</p>	0

Safeguards in the delivery of investments

Maximum 6 points on this performance measure

d) If the E&S certifications were approved and signed by the environmental officer and CDO prior to executing the project contractor payments

Score: 1, else score:0

The E&S certifications were approved and signed by the Environmental Officer and CDO as mentioned below;

1. From the certification form dated 6th March 2020, the LG certified construction of 5 stance pit latrine in Township P/S in Mukongor village, Mukongor Parish, Mukongor S/C

2. From the certification form dated 18th March 2020, the LG certified construction of two classroom block in Agule P/S in Agule village, Agule Parish in Kumi S/C

3. From the certification form dated 17th March 2020, the LG certified construction of two classroom block in Akoltorom P/S in Akoltorom village, Akoltorom Parish in Ongino S/C.

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	<p>Outcome: The LG has registered higher percentage of the population accessing health care services.</p> <p>Maximum 2 points on this performance measure</p>	<p>a. If the LG registered Increased utilization of Health Care Services (focus on total OPD attendance, and deliveries.</p> <ul style="list-style-type: none"> • By 20% or more, score 2 • Less than 20%, score 0 	<p>The LG did not attain the required 20% increase in Health Services utilization.</p> <p>OPD attendance increased by only 12.06% while Deliveries increased by only 13.7% for the three sampled facilities namely Atatur Hospital, Kamaca HCIII and Nyero HCIII.</p> <p>The total OPD attendances for the 3 sampled facilities in the FY 2018/2019 was 108354 (Atatur Hospital 74670, Kamaca HCIII 18687, Nyero HCIII 14997), while in 2019/2020 it was 121422 (Atatur Hospital 74149, Kamaca HCIII 27094, Nyero HCIII 20179)</p> <p>(Working % increase in OPD attendance $121422 - 108354 / 108354 \times 100 = 12.06\%$)</p> <p>Total deliveries for the FY 2018/2019 was 2230 (Atatur Hospital 1579, Kamaca HCIII 354, Nyero HCIII 297). The total deliveries in the FY 2019/2020 was 2535 (Atatur Hospital 1668, Kamaca HCIII 329, Nyero HCIII 538)</p> <p>(Working $2535 - 2230 / 2230 \times 100 = 13.7\%$)</p>	0
2	<p>Service Delivery Performance: Average score in the Health LLG performance assessment.</p> <p>Maximum 4 points on this performance measure</p> <p>Note: To have zero wait for year one</p>	<p>a. If the average score in Health for LLG performance assessment is:</p> <ul style="list-style-type: none"> • Above 70% and above; score 2 • 50 – 69% score 1 • Below 50%; score 0 	Not Applicable	0

2

Service Delivery Performance: Average score in the Health LLG performance assessment.

Maximum 4 points on this performance measure

Note: To have zero wait for year one

b. If the average score in the RBF quality facility assessment for HC IIIs and IVs previous FY is:

- 75% and above; score 2
- 65 – 74%; score 1
- Below 65; score 0

The average assessment score for the 8 facilities participating in RBF in the last quarter of 2019/2020 FY was 92.4%. (Nyero HCIII 95%, Kanyum HCII 93%, Mukongoro HCIII 94.4%, Kumi NGO Hospital 96.7%, Atatur Hospital 75%, Ongino HCIII 96.7%, Omatenga HCIII 92.1%)

(Working, $95+93+95+94.4+96.7+98.1+92.1+75/8=92.4\%$)

2

3

Investment performance: The LG has managed health projects as per guidelines.

Maximum 8 points on this performance measure

a. If the LG budgeted and spent all the health development grant for the previous FY on eligible activities as per the health grant and budget guidelines, score 2 or else score 0.

The LG Health department development budget for the previous FY was Shs.53,824,000 as on page 15 of the Annual QBPR.

Actual spent was Shs. 47,961,000 representing 89.1% as on page 15 of the Annual QBPR.

The expenditure was on Construction of Maternity Ward in Kanyum HCIII and Retention on Completion of Nyera Maternity Ward.

0

3

0

Investment performance: The LG has managed health projects as per guidelines.

Maximum 8 points on this performance measure

b. If the DHO/MMOH, LG Engineer, Environment Officer and CDO certified works on health projects before the LG made payments to the contractors/suppliers score 2 or else score 0

The DHO and LG Engineer certified works on health projects prior to payment as evidenced below:

1. M/s Kumi Workers' Enterprises Ltd requested for payment of Shs. 48,456,942 on 31st/4/2020 for Construction of a Maternity Ward in Kanyum HCIII of which Certificate No. 1 dated 18th/5/2020 was certified by DHO and DE on 4th/6/2020 and was paid on 25th/6/2020 vide PV No. 30486404.

However, certification by the Environment Officer and CDO was not availed for assessment.

2. M/s Kaba General Hardware Ltd requested for payment of Shs.6,314,180 on 24th/6/2020 for fencing of Kanyum HCIII in Kanyum Sub county of which Certificate No.1 dated 24th/6/2020 was recommended for payment by DHO and DE on the same day and paid on 25th/6/2020 vide PV No. 30486406.

However, certification by the Environment Officer and CDO was not evidenced.

3. M/s Kaba General Hardware Ltd requested for payment of Shs. 14,645,885 on 16th/6/2020 for Fencing Kanyum HCIII in Kanyum Sub county of which Certificate No.1 was certified by DHO and DE on 19th/6/2020 and was paid on the same day vide PV No. 30486406.

However, certification by the Environment Officer and CDO was not availed for assessment.

3

2

Investment performance: The LG has managed health projects as per guidelines.

Maximum 8 points on this performance measure

c. If the variations in the contract price of sampled health infrastructure investments are within +/- 20% of the MoWT Engineers estimates, score 2 or else score 0

Variations in the contract Price for Health projects was as follows:

1. Engineer's Estimate for Construction of a Maternity Ward at Kanyumu Health111 Phase 1 was 49,924,051 and contractor's price was 48,456,942 Variation of Shs. 1,457,109 was within +20% of LG Engineer's estimate.

2. Engineer's Estimate for Fencing of Agaria HC11 Phase 3 was 15,500,000 and Contractor's Price was 15,465,080.

Variation of Shs. 34,920 was within 20% of LG Engineer's estimate.

3	Investment performance: The LG has managed health projects as per guidelines.	d. Evidence that the health sector investment projects implemented in the previous FY were completed as per work plan by end of the FY	The DLG supervised the health projects with team consisting of District Engineer, Environment Officer, DHO and CDO as follows:	2
	Maximum 8 points on this performance measure	<ul style="list-style-type: none"> • If 100 % Score 2 • Between 80 and 99% score 1 • less than 80 %: Score 0 	<p>1.Construction of Kanyumu Health Centre 111 Phase 1 Ref: KUMI529/Wrks/2019-2020/00048. Supervision visit was conducted on 27/05/2020 and upon recommendation from DHO, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.</p> <p>2.Fencing of Agaria Health Centre 11 Phase111 Ref: KUMI529/Wrks/19-20/00027.Supervision visit was conducted on 27/05/2020 and upon recommendation from DHO, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/05/2020.</p>	
4	Achievement of Standards: The LG has met health staffing and infrastructure facility standards	a. Evidence that the LG has recruited staff for all HCIIIs and HCIVs as per staffing structure	HCIIIs staffing level was 64%. Out of the 114 approved vacancies for the 6 HCIIIs, 73 were filled (working $73/114 \times 100 = 64\%$).	0
	Maximum 4 points on this performance measure	<ul style="list-style-type: none"> • If above 90% score 2 • If 75% - 90%: score 1 • Below 75 %: score 0 	Ongino, Kanyum and Omatenga HCIII had 63.2%% (12/19) each Kamaca HCIII 73.7% (14/19), Nyero HCIII 68.4% (13/9) and Mukongoro HCIII 56.6% (10/19). The had no HCIV	
4	Achievement of Standards: The LG has met health staffing and infrastructure facility standards	b. Evidence that the LG health infrastructure construction projects meet the approved MoH Facility Infrastructure Designs.	LG had evidence of Health infrastructure Projects implemented having followed the standard technical designs provided by the DLG Engineer. Among the sampled include:	2
	Maximum 4 points on this performance measure	<ul style="list-style-type: none"> • If 100 % score 2 or else score 0 	<p>1.Kanyumu Health Centre 111 Ref: KUMI529/Wrks/19-20/00048 awarded to Kumi Workers Enterprises Ltd at 48,456,942. had MoH technical designs of ramps and rails attached to supervision report dated 26/09/2020</p> <p>The certificates for this Health infrastructure project were issued by DLG Engineer on 26/09/2020.</p> <p>2.Fencing of Agaria Health Centre 11 Ref: KUMI529/Wrks/19-20/00027 awarded to Grace Developers Ltd at 15,465,080. had MoH technical designs attached to Engineer's supervision report dated 26/09/2020</p> <p>The certificates for this Health infrastructure project were issued by DLG Engineer on 26/09/2020.</p>	

5	<p>Accuracy of Reported Information: The LG maintains and reports accurate information</p> <p>Maximum 4 points on this performance measure</p>	<p>a. Evidence that information on positions of health workers filled is accurate: Score 2 or else 0</p>	<p>The staff on the lists obtained from the Human resource for the 3 sampled facilities (Atatur Hospital, Kamaca HCIII, Kanyum HCIII) were found to be the same staff on the list at the facilities and were working at those facilities. For Example, Kanyum HCIII had all the 12 staff on the list working at the facility(1 CO, 2 Nursing Officers, 3E/Nurses, 2 Midwives, 1 N/Assistant 1Health information Assistant, 1 Lab Assistant, 1 H/Assistant)</p> <p>Atatur Hospital also had all the 103 staff on list at the facility and working. Kamaca HCIII also had all the 14 staff on the list at the facility and working.</p>	2
5	<p>Accuracy of Reported Information: The LG maintains and reports accurate information</p> <p>Maximum 4 points on this performance measure</p>	<p>b. Evidence that information on health facilities upgraded or constructed and functional is accurate: Score 2 or else 0</p>	<p>The list had phased construction of Maternity ward at Kanyum HCIII. 49,924,000/= ugx (Vote. 529)was budgeted for the construction of the Maternity (page 28 of the approved AWP). The PBS report showed construction of the said Maternity up to beam level the at same costas output number 088182 (page 8 of the PBS).</p>	2
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p> <p>Maximum 14 points on this performance measure</p>	<p>a) Health facilities prepared and submitted Annual Workplans & budgets to the DHO/MMOH by March 31st of the previous FY as per the LG Planning Guidelines for Health Sector:</p> <p>• Score 2 or else 0</p>	<p>None of the three sampled facilities (Atatur Hospital, Kamaca HCIII and Mukongoro HCIII submitted the 2019/2020 annual work plan within the required time frame (By 31st March).</p> <p>Atatur Hospital submitted on 23/5/2019.</p> <p>Kamaca HCIII submitted on 26/07/2020.</p> <p>Date of submission of the Mukongoro HCIII work plan was not indicated.</p>	0

6

0

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

b) Health facilities prepared and submitted to the DHO/MMOH Annual Budget Performance Reports for the previous FY by July 15th of the previous FY as per the Budget and Grant Guidelines :

- Score 2 or else 0

None of the three sampled facilities namely AtaturHospital, Kanyum HCIII and Kamaca HCIII submitted the annual Budget performance report to the DHO

Maximum 14 points on this performance measure

6

2

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

a) Health facilities have developed and reported on implementation of facility improvement plans that incorporate performance issues identified in monitoring and assessment reports

- Score 2 or else 0

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

Ongino HCIII prepared the PIP on 10/07/2020, it was endorsed by the HUMC C/person on the same day, forwarded by the DHO on 29/10/2020 and approved by the CAO on the same date. Some of the areas to improve on were, Increasing annual under 5 OPD attendance from 3899 to 4060, Annual 1st ANC attendance within the first trimester from 419 to 1005, annual ANC 4th attendance from 621 to 1005, annual Health facility deliveries from 673 to 975.

Nyero HCIII prepared the PIP on 16/11/2020, it was endorsed by the C/person HUMC on the same date, forwarded by the DHO to the CAO on 8/11/2020 and approved by the CAO on the same day. Some of the actions to be undertaken included increasing annual Health facilities deliveries from 489 to 500, annual short term family planning acceptors from 379 to 400, annual 6 weeks postnatal care attendances from 454 to 554

Kamaca HCIII prepared the PIP on 5/10/2020 which was endorsed by the C/person HUMC on the same day, forwarded by the DHO on 5/10/2020 and approved by the CAO on the same day. Areas of improvement included, increasing annual under 5 OPD attendances from 6909 to 7318, annual ANC mothers receiving 2 doses of Fansider from 510 to 642, annual new long term Family planning users from 240 to 366, annual facility deliveries from 6909 to 87318.

Maximum 14 points on this performance measure

6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p>	<p>d) Evidence that health facilities submitted up to date monthly and quarterly HMIS reports timely (7 days following the end of each month and quarter) If 100%, • score 2 or else score 0</p>	<p>All the 3 Health facilities sampled (NyeroHCIII, Atatur Hospital, and Kamaca HCIII) attained 100% timeliness submission of monthly and quarterly reports. E.g. Atatur Hospital submitted HMIS 105 on 7th August, 6th Sept, 7th Oct, 7th Nov, 6th Dec, 7th Jan, 7th Feb, 6th March, 7th April, 7thMay, 5th June and 7th July for the reports of July, August, Sept, Oct, Nov, Dec, Jan, Feb, March, April, May and June respectively). The same facility submitted the Q1 report on 7th Oct, Q2 report on 7th Jan, Q3 report on 7th April and Q4 report on 7th July. The other two facilities Nyero HCIII and Kamaca HCIII also submitted around the same dates.</p>	2
	<p>Maximum 14 points on this performance measure</p>			
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p>	<p>e) Evidence that Health facilities submitted RBF invoices timely (by 15th of the month following end of the quarter). If 100%, score 2 or else score 0 Note: Municipalities submit to districts</p>	<p>All the 3 facilities sampled namely Omatenga HCIII, Kamaca HCIII and Nyero HCIII had submitted their RBF invoices for the last quarter on time (by the 15th of the month following the end of the quarter. Omatenga HCIII submitted on 10/10/2020. Kamaca HCIII submitted on 8/10/2020. Nyero HCIII submitted on 6/10/2020.</p>	2
	<p>Maximum 14 points on this performance measure</p>			
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p>	<p>f) If the LG timely (by end of 3rd week of the month following end of the quarter) verified, compiled and submitted to MOH facility RBF invoices for all RBF Health Facilities, if 100%, score 1 or else score 0</p>	<p>The LG submitted the consolidated RBF invoices for the facilities to MOH on time (by end of 3rd week of the month following end of the quarter) to MOH for the last quarter. It submitted on 19/10/2020 a consolidated invoice worth 116,146,700/= Ugx</p>	1
	<p>Maximum 14 points on this performance measure</p>			

6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p>	<p>g) If the LG timely (by end of the first month of the following quarter) compiled and submitted all quarterly (4) Budget Performance Reports. If 100%, score 1 or else score 0</p>	<p>The health department timely submitted QBPRs to Planning unit for consolidation as evidenced below: Q1 QBPR was submitted on 15th/10/2019 Ref. Med 213/2 Q2 was submitted on 16th/1/2020 Ref. Med/213/2 Q3 was submitted on 20th/4/2020 Ref. Med 213/2 Q4 was submitted on 17th/7/2020 Ref. Med 213/2.</p>	1
<p>Maximum 14 points on this performance measure</p>				
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p>	<p>h) Evidence that the LG has: i. Developed an approved Performance Improvement Plan for the weakest performing health facilities, score 1 or else 0</p>	<p>The LG developed performance improvement plans for weak facilities which were compiled by facilities in charges, endorsed by the chairperson HUMCs, forwarded by the DHO and approved by the CAO. The facilities for which PIPs were developed include, Omatenga HCIII compiled on 11/6/2019, Ongino HCIII compiled on 18/6/2019, Mukongoro HCIII compiled on 18/06/2019, Kanyum HCIII compiled on 27/6/2019, Nyero HCIII compiled on 18/6/2019 and Kamaca HCIII compiled on 28/06/2020. The plans were approved on 28/6/2019 by the CAO.</p>	1
<p>Maximum 14 points on this performance measure</p>				
6	<p>Health Facility Compliance to the Budget and Grant Guidelines, Result Based Financing and Performance Improvement: LG has enforced Health Facility Compliance, Result Based Financing and implemented Performance Improvement support.</p>	<p>ii. Implemented Performance Improvement Plan for weakest performing facilities, score 1 or else 0</p>	<p>Implementation of performance improvement plans were evidenced by reports from the DHT on progress of implementation of action points developed. The reports are done quarterly incorporated in the quarterly support supervision reports. Quarter 1 report was made on 17/07/2019, quarter 2 report on 13/12/2019, quarter 3 report on 17/2/2020 while quarter 4 report was made on 27/5/2020.</p>	1
<p>Maximum 14 points on this performance measure</p>				

7

Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines (at least 75% of the staff required).

a) Evidence that the LG has:
i. Budgeted for health workers as per guidelines/in accordance with the staffing norms score 2 or else 0

According to the kumi LG work plan for the FY 2019/2020, the LG budgeted for the health workers as per guidelines. Ugx 2,732,598,000/= was budgeted for staff salaries (page 14, Vote 529)

Maximum 9 points on this performance measure

7

Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines (at least 75% of the staff required).

a) Evidence that the LG has:
ii. Deployed health workers as per guidelines (all the health facilities to have at least 75% of staff required) in accordance with the staffing norms score 2 or else 0

The overall staffing level was 54.5%. The total filled vacancies for the Health facilities in the LG was 200 out of the 367 approved vacancies, this gives the percentage staffing level of 54.5% (200/367 x100).

Atatur Hospital had 54.7% (103/188).

Ongino HCIII had 63.2% (12/19).

Mukongoro HCIII had 56.6% (10/19).

Kanyum HCIII had 63.2% (12/19).

Kamaca HCIII had 73.7% (14/19).

Omatenga HCIII had 63.2% (12/19).

Nyero HCIII had 68.4% (13/19).

Agurut HCII had 44.4% (4/9).

Akide HCII had 55.6% (5/9).

Agaria HCII had 55.6% (5/9).

Osera HCII had 22.2% (2/9).

Ogooma HCII had 44.4% (4/9) and

Kakures HCII had 44.4% (4/9).

Maximum 9 points on this performance measure

0

7

Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines (at least 75% of the staff required).

Maximum 9 points on this performance measure

b) Evidence that health workers are working in health facilities where they are deployed, score 3 or else score 0

From the sampled health facilities (Atatur Hospital, Kamaca HCIII and Kanyum HCIII), there was evidence that health workers were working for the Health facilities where they were deployed.

A comparison was made between the staff list and the daily attendance registers at the health facilities to prove that the Health workers were working where they are deployed.

Atatur Hospital had all the 103 staff on the list working.

Kamaca HCIII had all 14 working and KanyumHCIII also had all the 12 on the list working.

3

7

Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted for, recruited and deployed staff as per guidelines (at least 75% of the staff required).

Maximum 9 points on this performance measure

c) Evidence that the LG has publicized health workers deployment and disseminated by, among others, posting on facility notice boards, for the current FY score 2 or else score 0

All the three facilities sampled (Atatur Hospital, Kanyum HCIII and Kamaca HCIII) had updated staff lists hanged on their notice boards. The lists were endorsed and stamped by the facility in charges. The Atatur Hospital list was dated 1/07/2020, Kanyum HCIII list was dated 8/07/2020 and Kamaca HCIII was dated 3/7/2020.

2

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

Maximum 6 points on this performance measure

a) Evidence that the DHO/MMOHs has:

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

From the 10 sampled files for health workers only 8 out of 10 had performance reports on file as below

1. Kongai Catherine in charge of Oseera HC II no appraisal on file

2. Amutuje Harriet in charge of Kakure HC II was appraised on the 7th August 2020

3. Isiman Betty incharge of Agurut HC III was appraised on 6th July 2020,

4. Ikilai Jane incharge of Akide H/C II was appraised on 7th June 2020

5. Oluka Simon in charge of Atatur hospital no appraisal

6. Alupo helen in-charge of MUKongoro H/C II was appraised on 30th July 2020

7. Ojangole Simon Peter in-charge of Ongino appraised on 7th August 2020

8. Okanya Fancis in-charge of Kanyin H/C III appraised on 22nd September 2020

9. Nalukwago Veronica in-charge of Kamacha H/C II appraised on 1st July 2020

10. Okolmong Martin in-charge of Atatur H/C II appraised on 6th July 2020.

8

1

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

Maximum 6 points on this performance measure

ii. Ensured that Health Facility In-charges conducted performance appraisal of all health facility workers against the agreed performance plans and submitted a copy through DHO/MMOH to HRO during the previous FY score 1 or else 0

All the 10 sampled health facility workers had been appraised as below;

1. Akia Marie Lucy an enrolled midwife at AtaturHospital was appraised on 30th July 2020
2. Asire Sandra an enrolled nurse at Omatenga H/c III was appraised on the 30th July 2020
3. Opio John a Nursing officer at Mukongoro HC II was appraised on the 30th July 2020
4. Akurut Immaculate a Nursing assistant at Mukngoro H/C was appraised on 7th Aug 2020
5. Asonyu Charles an enrolled Nurse at Mukongoro HC III was appraised on 30th July 2020
6. Akello Ruth an enrolled Midwife at Omatenga HC II was appraised on 30th July 2020.
7. Okaali Robert a Clinical officer at Atatur Hospital was appraised on 10th sept 2020
8. Obore Hospital a pharmacist at Atatur Hospital was appraised on Atatur Hospital.
9. Etidau Joseph senior health inspector at Mukongoro H/c III was appraised on 30th July 2020.
10. Ayebba jesca anNursing Officer at Atatur Hospital was appraised on 2nd September 2020.

8

0

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

Maximum 6 points on this performance measure

iii. Taken corrective actions based on the appraisal reports, score 2 or else 0

There was no evidence of corrective action taken based on the appraisal reports

8	<p>Performance management: The LG has appraised, taken corrective action and trained Health Workers.</p> <p>Maximum 6 points on this performance measure</p>	<p>b) Evidence that the LG:</p> <p>i. conducted training of health workers (Continuous Professional Development) in accordance to the training plans at District/MC level, score 1 or else 0</p>	<p>The LG conducted training for Health workers in different technical areas. Some of the trainings that were conducted include</p> <p>1-Adolescent and Youth Reproductive Health from 7th to 13th July 2019, attended by 25 participants from different Health facilities</p> <p>2-Infection and prevention control and Covid-19 on 20/05/2020, attended by 5 participants</p> <p>3-Training of District based trainers on Covid-19 on 28th to 29th May 2020. A total of 36 trainers were trained.</p> <p>4-Onsite orientation of Health facility staff on Covid-19 from 8th to 12 June 2020. A total of 5 Doctors, 13 Lab personnel, 90 nurses, 3 Health Assistants, 2 Dispensers, 5 Records Assistants, 18 VHTs, 2 Theatre Assistants, 5 Linkage Facilitators and 2 Ophthalmic Clinical Officers were trained.</p> <p>5-Malaria in pregnancy on 30/6/2020, attended by 11 participants from 3 facilities.</p>	1
---	--	--	--	---

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

Management, Monitoring and Supervision of Services.

9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>a. Evidence that the CAO/Town Clerk confirmed the list of Health facilities (GoU and PNFP receiving PHC NWR grants) and notified the MOH in writing by September 30th if a health facility had been listed incorrectly or missed in the previous FY, score 2 or else score 0</p>	<p>The LG had no copy of a letter from CAO to MOH confirming the list of Health facilities accessing PHC NWR grants</p>	0
---	--	---	---	---

9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>b. Evidence that the LG made allocations towards monitoring service delivery and management of District health services in line with the health sector grant guidelines (15% of the PHC NWR Grant for LLHF allocation made for DHO/MMOH), score 2 or else score 0.</p>	<p>The budget for PHC NWR grant in the previous FY was Shs. 489,724,000 as on page 26 of the budget estimates.</p> <p>The LG made allocations towards monitoring service delivery and management of District health services of Shs. 189,000,000 as on page 28 of the budget estimates representing 38.6% above the recommended minimum of 15% of the PHC NWR grant.</p> <p>Workings:</p> <p>$189,000,000/489,724,000*100=38.6\%$</p>	2
---	--	---	--	---

9	<p>Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum 9 points on this performance measure</p>	<p>c. If the LG made timely warranting/verification of direct grant transfers to health facilities for the last FY, in accordance to the requirements of the budget score 2 or else score 0</p>	<p>There was evidence of delays in warranting Q1 and Q3 PHC NWR grant.</p> <p>Q1 Cash limits were loaded on 24th/7/2019 and PHC NWR grant of Shs.113,809,324 was warranted on 31st/7/2019 within 7 days later than the recommended maximum of 5 days</p> <p>Q2 Cash limits were loaded on 10th/10/2019 and PHC NWR grant of Shs.114, 689,039 was warranted on 15th/10/2019 within 5 days.</p> <p>Q3 Cash limits were loaded on 14th/1/2020 but PHC NWR grant of Shs. 113,804,336 was warranted on 23rd/1/2020 9 days later.</p> <p>Q4 Cash limits were loaded on 11th /4/2020 but PHC NWR grant of Shs. 112,943,616 was warranted on 21st/4/2020 10days later.</p>	0
---	--	---	--	---

Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.

Maximum 9 points on this performance measure

d. If the LG invoiced and communicated all PHC NWR Grant transfers for the previous FY to health facilities within 5 working days from the day of receipt of the funds release in each quarter, score 2 or else score 0

The LG delayed in Invoicing PHC NWR grant transfers for the previous FY as evidenced below:

Q1 PHC NWR grant was warranted on 31st/7/2019 but invoiced on 7th/8/2019 8 days later the recommended 5 days.

Q2 PHC NWR grant was warranted on 15th/10/2019 but invoiced on 22nd/10/2019; this was 7 days later the recommended 5 days.

Q3 PHC NWR grant was warranted on 23rd/1/2020 but invoiced on 2nd/2/2020 ; This was 10 days later the recommended 5 days.

Q4 PHC NWR grant was warranted on 21st/4/2020 but invoiced on 7th/5/2019 17 days later the

recommended 5 days.

No evidence of notification of PHC NWR grant transfers to health facilities was availed for assessment.

Planning, budgeting, and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.

Maximum 9 points on this performance measure

e. Evidence that the LG has publicized all the quarterly financial releases to all health facilities within 5 working days from the date of receipt of the expenditure limits from MoFPED- e.g. through posting on public notice boards: score 1 or else score 0

The LG had letters from CAO indicating release of PHC funds to health facilities. Copies of these letters were also given to facility in charges.

Q1 release letter was dated 10/08/2019, ref No CR/106/1 with a total amount of 113,812,324/=Ugx for the 17 facilities

Q2 release letter was dated 23/10/2019, ref No CR/106/1 with a total amount of 113,812,324/=Ugx for the 17 facilities

Q3 release letter was dated 29/01/2020, ref No CR/106/1 with a total amount of 113,812,324/=Ugx for the 17 facilities

Q4 release letter was dated 27/4/2020, ref No CR/106/1 with a total amount of 113,812,324/=Ugx for the 17 facilities

10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>a. Evidence that the LG health department implemented action(s) recommended by the DHMT Quarterly performance review meeting (s) held during the previous FY, score 2 or else score 0</p>	<p>Evidence of implementation of actions of recommendations from the DHMT Quarterly performance review meetings of the previous FY were in minutes of the Quarterly performance review meetings of each next quarter. The minutes also show comparisons between the performance of the quarter under review and the previous quarter. The meetings were held on 14/10/2019, 15/01/2020, and 15/04/2020 for Q1, Q2 and Q3 respectively.</p> <p>Q4 meeting was not conducted due to observance of Covid-19 SOPs.</p>	2
10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>b. If the LG quarterly performance review meetings involve all health facilities in charges, implementing partners, DHMTs, key LG departments e.g. WASH, Community Development, Education department, score 1 or else 0</p>	<p>The LG conducted performance review meetings for all the quarters. The meetings were attended by all Health Facility in Charges, DHMT, and partner's representatives from TASO & RHITES-E) plus some District leaders including CAO and Sec for Health and Education.</p> <p>Q1 meeting was held on 14/10/2019, attended by 50 participants.</p> <p>Q2 was held on 15/01/2020, attended by 49 participants.</p> <p>Q3 was held on 15/04/2020, attended by 23 participants</p>	1
10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p> <p>Maximum 7 points on this performance measure</p>	<p>c. If the LG supervised 100% of HC IVs and General hospitals (including PNFPs receiving PHC grant) at least once every quarter in the previous FY (where applicable) : score 1 or else, score 0</p> <p>If not applicable, provide the score</p>	<p>The DHT conducted all the 4 quarterly support supervision in all the facilities</p> <p>Q1 support supervision was carried out from 13th to 17th July 2019</p> <p>Q2 supervision was conducted from 9th to 13th December 2019</p> <p>Q3 supervision was done from 27th to 30th April 2020.</p> <p>Q4 Supervision was carried out from 25th June to 27th May 2020.</p>	1

Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.

Maximum 7 points on this performance measure

d. Evidence that DHT/MHT ensured that Health Sub Districts (HSDs) carried out support supervision of lower level health facilities within the previous FY (where applicable), score 1 or else score 0

• If not applicable, provide the score

All the three facilities sampled (Atatur Hospital, Kamaca HCIII and Kanyum HCIII) had evidence of support supervision visits with findings and recommendations recorded in the support supervision books by DHT members who conducted the support supervision.

Atatur Hospital had support supervision visits on 19/07/2019, 06/08/2019, 23/09/2019, 13/12/2019, 21/01/2020, 25/5/2020 and on 16/6/2020, all documented in the Hospital support supervision book.

Kamaca HCIII had support supervision visits on 6/8/2019, 23/08/2019, 2/09/2019, 24/10/2019 21/11/2019, 27/01/2020, 25/02/2020, 11/03/2020 and on 16/06/2020, all documented in the facility support supervision book.

Kanyum HCIII had integrated support supervision visits on 6/8/2019, 11/9/2019, 16/10/2019, 19/11/2019, 13/12/2019, 25/2/2020, 9/4/2020, 26/5/2020 and on 16/6/2020, all documented in the facility support supervision book.

Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.

Maximum 7 points on this performance measure

e. Evidence that the LG used results/reports from discussion of the support supervision and monitoring visits, to make recommendations for specific corrective actions and that implementation of these were followed up during the previous FY, score 1 or else score 0

The three facilities sampled (Atatur Hospital, Kamaca HCIII and Kanyum HCII) had recommendations by the supervision team recorded in the support supervision books.

There was mention of achievements made from the previous actions developed among the findings recorded in the supervision books by the DHT who conducted the supervisions. The support supervision reports are also discussed in quarterly performance review an evidence that the results are utilized. The DHT quarterly performance review meetings were held on 14/10/2019, 15/01/2020, and 15/04/2020 for Q1, Q2 and Q3 respectively.

Atatur Hospital had its support supervision book recorded in on 19/07/2019, 06/08/2019, 23/09/2019, 13/12/2019, 21/01/2020, 25/5/2020 and on 16/6/2020

Kamaca HCIII had its support supervision book recorded in on 6/8/2019, 23/08/2019, 2/09/2019, 24/10/2019 21/11/2019, 27/01/2020, 25/02/2020, 11/03/2020 and on 16/06/2020.

Kanyum HCIII had its support supervision book recorded in on 6/8/2019, 11/9/2019, 16/10/2019, 19/11/2019, 13/12/2019, 25/2/2020, 9/4/2020, 26/5/2020 and on 16/6/2020

10	<p>Routine oversight and monitoring: The LG monitored, provided hands -on support supervision to health facilities.</p>	<p>f. Evidence that the LG provided support to all health facilities in the management of medicines and health supplies, during the previous FY: score 1 or else, score 0</p>	<p>The LG conducted quarterly SPARS support supervision to all the facilities. There was evidence in the reports that recommendations were made to facility in charges on secure, safe storage and disposal of medicines and health supplies. In Q1 supervision was conducted between 10/7/2019 and 23/8/2019.</p> <p>Q2 supervision was done from 5th to 23rd October 2019.</p> <p>Q3 supervision was from 25th to 31st March 2020. While the Q4 supervision was carried out from 4th May to 30th June 2020.</p> <p>The supervision visits also looked at prescribing quality, dispensing quality, stock management plus reporting and ordering quality</p>	1
	<p>Maximum 7 points on this performance measure</p>			
11	<p>Health promotion, disease prevention and social mobilization: The LG Health department conducted Health promotion, disease prevention and social mobilization activities</p>	<p>a. If the LG allocated at least 30% of District / Municipal Health Office budget to health promotion and prevention activities, Score 2 or else score 0</p>	<p>The LG Health department budget excluding salaries was Shs. 1,224,495,635 as per Budget estimates for FY 2019/2020.</p> <p>Total allocation to Health Promotion and Preventive activities was Shs. 27,886,283 as in the Annual QBPR representing only 2.28% below the recommended minimum of 30%.</p> <p>Workings:</p> <p>$27,886,283/1,224,495,635*100= 2.28\%$</p>	0
	<p>Maximum 4 points on this performance measure</p>			

11	<p>Health promotion, disease prevention and social mobilization: The LG Health department conducted Health promotion, disease prevention and social mobilization activities</p>	<p>b. Evidence of DHT/MHT led health promotion, disease prevention and social mobilization activities as per ToRs for DHTs, during the previous FY score 1 or else score 0</p>	<p>DHT led health promotion, disease prevention and mobilization activities were evidenced by quarterly progress reports on Uganda Sanitation Fund submitted to MOH through the DHO and CAO by the ADHO-EH.</p> <p>Q1 progress report was submitted on 15th January 2020, ref CR/210/1</p> <p>Q2 report was submitted on 15/01/2020, ref CR/210/1</p> <p>Q3 report was submitted on 30/04/2020, ref CR/210/1.</p> <p>Q4 report was submitted on 20/08/2020, ref CR/210/1.</p> <p>Some of the Health promotion activities activities conducted include</p> <p>1-Radio talk show (AISA FM) on Hygiene and sanitation conducted on 10/09/2019.</p> <p>2- Home visits to sensitize families on improving hygiene and sanitation, conducted between 8th to 11th September 2019</p> <p>3-Training of teachers to implement mass drug administration of Pyriziquental to children for treatment and prevention of Bilhazia</p> <p>4- WASH/IPC audit at facilities on 22nd to 26th June 2020</p>	1
	<p>Maximum 4 points on this performance measure</p>			
11	<p>Health promotion, disease prevention and social mobilization: The LG Health department conducted Health promotion, disease prevention and social mobilization activities</p>	<p>c. Evidence of follow-up actions taken by the DHT/MHT on health promotion and disease prevention issues in their minutes and reports: score 1 or else score 0</p>	<p>The LG had DHT quarterly review meetings which discussed actions taken on previous recommendations on health promotion and disease prevention. Review meetings were conducted per quarter on the dates indicated below</p> <p>Q1 meeting was conducted on 14/10/2019.</p> <p>Q2 meeting was on 15/01/2020.</p> <p>Q3 meeting was on 15/04/2020.</p> <p>The quarterly USF Progress reports to MOH also highlighted actions taken on Health Promotion and Disease prevention issues. The reports were submitted on 15/01/2020, 15/01/2020, 30/04/2020 and 20/08/2020 for Q1, Q2, Q3, Q4 respectively.</p>	1
	<p>Maximum 4 points on this performance measure</p>			

Investment Management

12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p>	<p>a. Evidence that the LG has an updated Asset register which sets out health facilities and equipment relative to basic standards: Score 1 or else 0</p>	<p>The LG had updated asset register in soft copy for all the facilities on HMIS 101 (physical inventory) and HMIS 102 Equipment inventory)</p>	1
	<p>Maximum 4 points on this performance measure</p>			
12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p>	<p>b. Evidence that the prioritized investments in the health sector for the previous FY were: (i) derived from the third LG Development Plan (LGDP III); (ii) desk appraisal by the LG; and (iii) eligible for expenditure under sector guidelines and funding source (e.g. sector development grant, Discretionary Development Equalization Grant (DDEG));</p>	<p>No evidence was availed at the time of assessment</p>	0
	<p>Maximum 4 points on this performance measure</p>	<p>score 1 or else score 0</p>		
12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p>	<p>c. Evidence that the LG has conducted field Appraisal to check for: (i) technical feasibility; (ii) environment and social acceptability; and (iii) customized designs to site conditions: score 1 or else score 0</p>	<p>No evidence was availed at the time of assessment</p>	0
	<p>Maximum 4 points on this performance measure</p>			

12	<p>Planning and Budgeting for Investments: The LG has carried out Planning and Budgeting for health investments as per guidelines.</p> <p>Maximum 4 points on this performance measure</p>	<p>d. Evidence that the health facility investments were screened for environmental and social risks and mitigation measures put in place before being approved for construction using the checklist: score 1 or else score 0</p>	<p>From the screening forms signed by the Environmental Officer and CDO the health facility investments were screened for environmental and social risks and mitigation measures put in place before being approved for construction using the checklist as mentioned below;</p> <p>1. From the screening form dated 18th February 2020, the LG screened fencing of a chain link at Kanyum HCII in Kanyum village, Kanyum Parish in Kanyum S/C, Clearing of the site by removing debris, sensitizing of the workers on HIV/AIDs, provision of the workers with protective gears like boots and helmets, fencing of the construction site, leveling of the hipped soli at the site, replacing of the trees.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>a. Evidence that the LG health department timely (by April 30 for the current FY) submitted all its infrastructure and other procurement requests to PDU for incorporation into the approved LG annual work plan, budget and procurement plans: score 1 or else score 0</p>	<p>DLG had evidence that Health infrastructure projects for the current FY were incorporated in the LG current Procurement Work Plan approved by District Council under minute 30/KDC/05/2020 signed by Innocent Okiria Clerk to council dated 22/05/2020.</p> <p>Some of these health Projects were as follows:</p> <p>1.Construction of a General Wardat Kumi HC1V Phase2 Pg 1.in the consolidated Procurement Plan dated 22/05/2020.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>b. If the LG Health department submitted procurement request form (Form PP1) to the PDU by 1st Quarter of the current FY: score 1 or else, score 0</p>	<p>Submission of approved District Procurement for FY 2020/2021 Plan to PPDA was prepared and signed by CAO on 10/10/2020.</p>	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>c. Evidence that the health infrastructure investments for the previous FY was approved by the Contracts Committee and cleared by the Solicitor General (where above the threshold), before commencement of construction: score 1 or else score 0</p>	<p>The LG had the following Health Sector infrastructure project approved by Contracts committee before commencement of construction in FY 2019/2020:</p> <p>1.Construction of a Maternity Ward at Kanyumu HC 111 Ref: KUMI529/Wrks/19-20/00048 awarded to KUMI Workers Enterprises Ltd at 48,456,942.</p> <p>2.Fencing of Agaria Health Centre 11 Ref: KUMI529/Wrks/19-20/00027 awarded to Grace Developers Ltd at 15,465,080. had MoH technical designs attached to Engineer's</p>	1

13	Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines	d. Evidence that the LG properly established a Project Implementation team for all health projects composed of: (i) : score 1 or else score 0	There was no evidence of appointment of a properly established PIT for DLG infrastructure Projects.	0
	Maximum 10 points on this performance measure	If there is no project, provide the score		
13	Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines	e. Evidence that the health infrastructure followed the standard technical designs provided by the MoH: score 1 or else score 0	DLG Engineer's Progress and supervision reports for 2Health Centre project sites included; 1.Kanyumu Health Centre 111 Ref: KUMI529/Wrks/19-20/00048 awarded to Kumi Workers Enterprises Ltd at 48,456,942. had MoH technical designs of ramps and rails attached to supervision report dated 26/09/2020	1
	Maximum 10 points on this performance measure	If there is no project, provide the score	The certificates for this Health infrastructure project were issued by DLG Engineer on 26/09/2020.	
			2.Fencing of Agaria Health Centre 11 Ref: KUMI529/Wrks/19-20/00027 awarded to Grace Developers Ltd at 15,465,080. had MoH technical designs attached to Engineer's supervision report dated 26/09/2020	
			The certificates for this Health infrastructure project were issued by DLG Engineer on 26/09/2020.	
13	Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines	f. Evidence that the Clerk of Works maintains daily records that are consolidated weekly to the District Engineer in copy to the DHO, for each health infrastructure project: score 1 or else score 0	There was no evidence of consolidated site reports from Clerk of Works.	0
	Maximum 10 points on this performance measure	If there is no project, provide the score		

13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p>	<p>g. Evidence that the LG held monthly site meetings by project site committee: chaired by the CAO/Town Clerk and comprised of the Sub-county Chief (SAS), the designated contract and project managers, chairperson of the HUMC, in-charge for beneficiary facility , the Community Development and Environmental officers: score 1 or else score 0</p>	<p>There was no evidence of quarterly site meetings for health infrastructure projects in FY 2019/2020.</p>	0
	<p>Maximum 10 points on this performance measure</p>	<p>If there is no project, provide the score</p>		
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p>	<p>h. Evidence that the LG carried out technical supervision of works at all health infrastructure projects at least monthly, by the relevant officers including the Engineers, Environment officers, CDOs, at critical stages of construction: score 1, or else score 0</p>	<p>The DLG supervised the health project with team consisting of District Engineer, Environment Officer, , DHO and CDO as follows: Ref: KUMI529/Wrks/2019-2020/00048. Joint Supervision visit was conducted on 27/05/2020 and upon recommendation from DHO, Environment officer and CDO, DLG Engineer issued certificate of work completion dated 08/06/2020.</p>	1
	<p>Maximum 10 points on this performance measure</p>	<p>If there is no project, provide the score</p>		

13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>i. Evidence that the DHO/MMOH verified works and initiated payments of contractors within specified timeframes (within 2 weeks or 10 working days), score 1 or else score 0</p>	<p>The DHO verified works and initiated timely payment of contractors as evidenced below:</p> <ol style="list-style-type: none"> 1. M/s Kumi Workers Enterprises requested for payment of Shs. 48,456,942 on 31st/4/2020 for Construction of a Maternity Ward in Kanyum HCIII of which Certificate No.1 dated 18th/5/2020 was certified and recommended for payment by DHO on 4th/6/2020 (17 days after date of certificate) and paid on 25th/6/2020 vide PV No. 30486404. 2. M/s Kaba General Hardware Ltd requested for payment of Shs. 6,314,180 on 24th/6/2020 for Fencing of Kanyum HCIII in Kanyum Sub county of which Certificate No.1 dated 24th/6/2020 was certified and recommended for payment by DHO on 24th /6/2020 (same date of certificate) and paid on 25th/6/2020 vide PV No. 30486406. 3. M/s Kaba General Hardware Ltd requested for payment of Shs. 14,645,885 on 16th/6/2020 for Fencing of Kanyum HCIII in Kanyum Sub county of which Certificate No.1 dated 19th /6/2020 was certified and recommended for payment by DHO on 19th/6/2020 (same date of certificate) and paid on 25th/6/2020 vide PV No. 30486405. 	1
13	<p>Procurement, contract management/execution: The LG procured and managed health contracts as per guidelines</p> <p>Maximum 10 points on this performance measure</p>	<p>j. Evidence that the LG has a complete procurement file for each health infrastructure contract with all records as required by the PPDA Law score 1 or else score 0</p>	<p>The DLG had the following Health infrastructure project approved and incorporated into the Procurement plan for FY 2019/2020.</p> <ol style="list-style-type: none"> 1. The copy of a bid document issued on 25/08/2019 for construction of a Maternity Ward at Kanyumu HC 111 was evaluated on 6/09/2019. The contracts committee approved recommendations of Evaluation committee report for award of a contract to Kumi Workers Enterprises Ltd Ref: KUMI29/Wrks/19-20/00048, at 48,456,942 in award letter under minute 03/KDC/07-1/2019-2020 dated 07/11/2019. The completion date of the work was 20/02/2020. 	1

Environment and Social Safeguards

14	Grievance redress: The LG has established a mechanism of addressing health sector grievances in line with the LG grievance redress framework Maximum 2 points on this performance measure	a. Evidence that the Local Government has recorded, investigated, responded and reported in line with the LG grievance redress framework score 2 or else 0	There was no evidence that the LG recorded, investigated, responded and reported in line with the LG grievance redress framework.	0
15	Safeguards for service delivery: LG Health Department ensures safeguards for service delivery Maximum 5 points on this performance measure	a. Evidence that the LG has disseminated guidelines on health care / medical waste management to health facilities : score 2 points or else score 0	There was no evidence that LG had disseminated guidelines on health care / medical waste management to health facilities	0
15	Safeguards for service delivery: LG Health Department ensures safeguards for service delivery Maximum 5 points on this performance measure	b. Evidence that the LG has in place a functional system for Medical waste management or central infrastructures for managing medical waste (either an incinerator or Registered waste management service provider): score 2 or else score 0	There was evidence of a functional incinerator, waste management bins well colored and a registered waste management company in the names of Green Label Service LTD	2
15	Safeguards for service delivery: LG Health Department ensures safeguards for service delivery Maximum 5 points on this performance measure	c. Evidence that the LG has conducted training (s) and created awareness in healthcare waste management score 1 or else score 0	There was evidence of a report dated 28th to 29th May 2020; the training was basically on infection prevention and control on covid-19.	1

16	Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments	a. Evidence that a costed ESMP was incorporated into designs, BoQs, bidding and contractual documents for health infrastructure projects of the previous FY: score 2 or else score 0	There was evidence that the LG had costed ESMP was incorporated into designs, BoOs, bidding and contractual documents for health infrastructure projects of the previous FY, Fencing of a chain link at Kanyum HCII in Kanyum village, Kanyum Parish in Kanyum S/C. BoQ Element No 13 item A, allow funds for environmental restoration , planting trees, pass palm well protected and watered at cost 350,000/=.	2
	Maximum 8 points on this performance measure			
16	Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments	b. Evidence that all health sector projects are implemented on land where the LG has proof of ownership, access and availability (e.g. a land title, agreement; Formal Consent, MoUs, etc.), without any encumbrances: score 2 or else, score 0	There was evidence that the LG had proof of land ownership on which the health project was implemented as follows; Fencing of a chain link at Kanyum HCII in Kanyum village, Kanyum Parish in Kanyum S/C. Application for free hold land for Kanyum HCIII dated 15th November 2018	2
	Maximum 8 points on this performance measure			
16	Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments	c. Evidence that the LG Environment Officer and CDO conducted support supervision and monitoring of health projects to ascertain compliance with ESMPs; and provide monthly reports: score 2 or else score 0.	There was no evidence that LG Environmental Officer and CDO conducted support supervision and monitoring of health projects to ascertain compliance with ESMPs.	0
	Maximum 8 points on this performance measure			

Safeguards in the Delivery of Investment Management: LG Health infrastructure projects incorporate Environment and Social Safeguards in the delivery of the investments

Maximum 8 points on this performance measure

d. Evidence that Environment and Social Certification forms were completed and signed by the LG Environment Officer and CDO, prior to payments of contractor invoices/certificates at interim and final stages of all health infrastructure projects score 2 or else score 0

There was evidence that the LG had certification forms signed by the Environmental Officer and CDO as mentioned below;

1. From the certification form dated 18th May 2020, the LG certified fencing of a chain link at Kanyum HCII in Kanyum village, Kanyum Parish in Kanyum S/C.

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Local Government Service Delivery Results				
1	Water & Environment Outcomes: The LG has registered high functionality of water sources and management committees <i>Maximum 4 points on this performance measure</i>	a. % of rural water sources that are functional. If the district rural water source functionality as per the sector MIS is: o 90 - 100%: score 2 o 80-89%: score 1 o Below 80%: 0	From the Ministry MIS the percentage of functional rural water sources was 87%	1
1	Water & Environment Outcomes: The LG has registered high functionality of water sources and management committees <i>Maximum 4 points on this performance measure</i>	b. % of facilities with functional water & sanitation committees (documented water user fee collection records and utilization with the approval of the WSCs). If the district WSS facilities that have functional WSCs is: o 90 - 100%: score 2 o 80-89%: score 1 o Below 80%: 0	From the Ministry MIS the percentage of facilities with functional water and sanitation committees was 99%	2
2	Service Delivery Performance: Average score in the water and environment LLGs performance assessment <i>Maximum 8 points on this performance measure</i>	a. The LG average score in the water and environment LLGs performance assessment for the current. FY. If LG average scores is a. Above 80% score 2 b. 60 -80%: 1 c. Below 60: 0 (Only applicable when LLG assessment starts)	Not applicable	0
2	Service Delivery Performance: Average score in the water and environment LLGs performance assessment <i>Maximum 8 points on this performance measure</i>	b. % of budgeted water projects implemented in the sub-counties with safe water coverage below the district average in the previous FY. o If 100 % of water projects are implemented in the targeted S/Cs: Score 2 o If 80-99%: Score 1	The LG implemented 100% projects in sub counties below the district average. Two Sub counties were below the district average (82% access) in the FY 2018/2019 and these include; Mukongoro s/c at 66% access	2

measure

o If below 80 %: Score 0

Kanyum s/c at 72% access

Budgeted projects implemented in the previous financial year were as follows;

1. Siting,drilling and installation of 3 deep boreholes (6 boreholes planned) in Kanyum s/c (1), Mukongoro s/c (1) and Ongino s/c (1).

2. Construction of 10 protected spring wells in Mukongoro s/c (3), Kanyu S/C (3), Atatur S/C (2), Ongino S/C (1) and Nyero S/C (1).

3. Extension of piped water supply system to kiosk in Atatur s/c.

4. Design and construction of piped water supply system to Tisai Island in Ongino s/c

5. Construction of a 3 stance latrine in Nyero s/c.

6. Rehabilitation of 28deep boreholes in kanyu s/c (4), mukongoro s/c (6),

Ongino s/c (4), Atatur s/c (4), Kumi s/c (4), Nyero s/c (6)

Percentage of budgeted water projects implemented in sub counties below the district average = 10 rehabilitations +6 spring wells + 2 deep borehole drilling = 18 equivalent to 100% as all the 18 projects were implemented.

(Note: 11 borehole rehabilitations and 6 new deep boreholes were initially planned for but due to covid-19 pandemic, the ministry in line with the preventive measures given by H.E issued a letter dated 31st/03/2020to all LGS advising them to prioritize borehole rehabilitations to increase water access, therefore the money for 3 deep boreholes were diverted to rehabilitation of more 17 boreholes giving a total of 28 borehole rehabilitations.)

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

*Maximum 8 points on
this performance
measure*

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

o If within +/-20% score 2

o If not score 0

All contract variations for the three
sampled contracts were within +/-
20%.

Drilling of 6 deep boreholes (Proc Ref:
KUMI 529/WRKS/2019-2020/00024)

Contract sum = 112,800,208/=

Estimated cost = 131,688,000/=

Contract price variation = -18,887,792
= -17%

Construction of 3 stance lined pit
latrine at Kashlik rural growth Centre,
Nyero s/c (Proc Ref: KUMI
529/WRKS/2019-2020/00043)

Contract price = 17,941,835/=

Estimated cost = 18,000,000/=

Contract variation = 58,165 = -0.32%

Extension of piped water supply
system in Atatur s/c (proc ref :kumi
529/wrks/2019-2020/00042)

Contract price = 22,986,400/=

Estimated cost = 23,000,000/=

Contract variation = 13600 = 0.06%

2	<p>Service Delivery Performance: Average score in the water and environment LLGs performance assessment</p> <p><i>Maximum 8 points on this performance measure</i></p>	<p>d. % of WSS infrastructure projects completed as per annual work plan by end of FY.</p> <ul style="list-style-type: none"> o If 100% projects completed: score 2 o If 80-99% projects completed: score 1 o If projects completed are below 80%: 0 	<p>Percentage of completed projects = 90%.</p> <p>Number of projects planned = 30 (10 spring wells +11 borehole rehabilitations +2 piped water supply system +1 three(3) stance lined latrine + 6 deep bore hole drilling)</p> <p>Number of planned, implemented and completed projects = 27</p> <p>(10 spring wells +11 borehole rehabilitations +2 piped water supply system +1 three(3) stance lined latrine+3 deep bore hole drilling)</p> <p>Percentage of projects completed as per the AWP = $27/30 \times 100 = 90\%$.</p> <p>(Note that the amount for the 3 deep borehole drilling was diverted to rehabilitation of more 17 boreholes to make 28 borehole rehabilitations for the reason given in 2b above)</p>	1
3	<p>Achievement of Standards: The LG has met WSS infrastructure facility standards</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>a. If there is an increase in the % of water supply facilities that are functioning</p> <ul style="list-style-type: none"> o If there is an increase: score 2 o If no increase: score 0. 	<p>There was no increase in the percentage of functional water supply facilities between the FY 2018/19 and 2019/20.</p> <p>Percentage of functional water supply facilities in the FY 2018/19 = 87%</p> <p>Percentage of functional water supply facilities in the FY 2019/20 = 87%</p>	0
3	<p>Achievement of Standards: The LG has met WSS infrastructure facility standards</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>b. If there is an Increase in % of facilities with functional water & sanitation committees (with documented water user fee collection records and utilization with the approval of the WSCs).</p> <ul style="list-style-type: none"> o If increase is more than 5% score 2 o If increase is between 0-5%, score 1 o If there is no increase : score 0. 	<p>There was an increase of 3% in the Percentage of facilities with functional water and sanitation committee between the FY 2018/19 and 2019/20.</p> <p>Percentage of facilities with functional water and sanitation committee in the FY 2018/19 = 96%</p> <p>Percentage of facilities with functional water and sanitation committee in the FY 2019/20 = 99%</p> <p>Percentage increase = 3%</p>	2

Performance Reporting and Performance Improvement

4	Accuracy of Reported	The DWO has accurately reported on WSS	List of constructed projects	3
---	----------------------	--	------------------------------	---

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

Maximum 3 points on this performance measure

facilities constructed in the previous FY and performance of the facilities is as reported:
Score: 3

1. Siting, drilling and installation of 3 deep boreholes in Kanyum s/c (1), Mukongoro s/c (1) and Ongino s/c (1).

2. Construction of 10 protected spring wells in Mukongoro s/c (3), Kanyu S/C (3), Atatur S/C (2), Ongino S/C (1) and Nyero S/C (1).

3. Extension of piped water supply system to kiosk in Atatur s/c.

4. Design and construction of piped water supply system to Tisai Island in Ongino s/c

5. Construction of a 3 stance latrine in Nyero s/c.

6. Rehabilitation of 28 deep boreholes in kanyu s/c (4), mukongoro s/c (6),

7. Ongino s/c (4), Atatur s/c (4), Kumi s/c (4), Nyero s/c (6).

Projects visited included;

- Ourukai Deep borehole in Mukongoro s/c, Osodotoit village (DWD 78022), date completed 02nd/05/2020

- Kamunyumbi Deep borehole in Kanyum s/c Kamunyumbi village, Ojie parish (DWD 78019),

Date of completion; 04th/05/2020

- Constructed Aererespring well in Atatur s/c, Ariet village in Ariet parish ,Source Number: Kumi529/SP/2019-20/DWSG/041

Date of completion; 10th/03/2020

All the facilities were in place and functional as reported

The boreholes had good water yield and quality, boreholes was well fenced, and tree planting by the water committee around the borehole was still ongoing, well protected borehole recharge catchment area, well operating hand pump and properly constructed apron.

The spring was well protected with water yield and clear and relatively clean water

5	<p>Reporting and performance improvement: The LG compiles, updates WSS information and supports LLGs to improve their performance</p> <p><i>Maximum 7 points on this performance measure</i></p>	<p>a. Evidence that the LG Water Office collects and compiles quarterly information on sub-county water supply and sanitation, functionality of facilities and WSCs, safe water collection and storage and community involvement): Score 2</p>	<p>There was evidence that the LG Water Office collects and compiles quarterly information on sub-county water supply and sanitation, functionality of facilities and WSCs, safe water collection and storage and community involvement.</p> <p>The DWO presented all the quarterly reports with Form 4/software reports attached to each quarterly report and all the reports and form 4s were submitted to the ministry for approval and for MIS update.</p> <p>Quarter 1 report was approved on 28th/10/2019</p> <p>Quarter 2 report was approved on 10th/01/2020</p> <p>Quarter 3 report was approved on 22nd/04/2020 and quarter 4 / annual progress report was approved on 24th/07/2020</p>	2
5	<p>Reporting and performance improvement: The LG compiles, updates WSS information and supports LLGs to improve their performance</p> <p><i>Maximum 7 points on this performance measure</i></p>	<p>b. Evidence that the LG Water Office updates the MIS (WSS data) quarterly with water supply and sanitation information (new facilities, population served, functionality of WSCs and WSS facilities, etc.) and uses compiled information for planning purposes: Score 3 or else 0</p>	<p>There was evidence that the LG Water Office updates the MIS (WSS data) quarterly with water supply and sanitation information.</p> <p>The DWO presented all the Form 1 water source collection data sheets for all the water sources constructed in the previous FY that was submitted to the ministry for MIS update on 24th/July/2020 since all projects were executed in the 4th quarter. The submitted water sources include; 10 springs, 3 boreholes and 2 piped water supply systems</p>	3
5	<p>Reporting and performance improvement: The LG compiles, updates WSS information and supports LLGs to improve their performance</p> <p><i>Maximum 7 points on this performance measure</i></p>	<p>c. Evidence that DWO has supported the 25% lowest performing LLGs in the previous FY LLG assessment to develop and implement performance improvement plans: Score 2 or else 0</p> <p><i>Note: Only applicable from the assessment where there has been a previous assessment of the LLGs' performance. In case there is no previous assessment score 0.</i></p>	<p>Not applicable</p>	0

6	<p>Budgeting for Water & Sanitation and Environment & Natural Resources: The Local Government has budgeted for staff</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>a. Evidence that the DWO has budgeted for the following Water & Sanitation staff: 1 Civil Engineer(Water); 2 Assistant Water Officers (1 for mobilization and 1 for sanitation & hygiene); 1 Engineering Assistant (Water) & 1 Borehole Maintenance Technician: Score 2</p>	<p>The DWO had budgeted for only the Civil Engineer (Water) and Engineering Assistant (Water)</p>	0
6	<p>Budgeting for Water & Sanitation and Environment & Natural Resources: The Local Government has budgeted for staff</p> <p><i>Maximum 4 points on this performance measure</i></p>	<p>b. Evidence that the Environment and Natural Resources Officer has budgeted for the following Environment & Natural Resources staff: 1 Natural Resources Officer; 1 Environment Officer; 1 Forestry Officer: Score 2</p>	<p>The Environment and Natural Resources Officer budgeted for only the position of Forestry Officer</p> <p>The positions of, Forestry Officer was substantively filled by Opio Moses</p>	0
7	<p>Performance Management: The LG appraised staff and conducted trainings in line with the district training plans.</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>a. The DWO has appraised District Water Office staff against the agreed performance plans during the previous FY: Score 3</p>	<p>The DWO had appraised the Assistant Engineering Officer Imem Deo evidenced by the appraisal signed on 24th August 2020</p>	3
7	<p>Performance Management: The LG appraised staff and conducted trainings in line with the district training plans.</p> <p><i>Maximum 6 points on this performance measure</i></p>	<p>b. The District Water Office has identified capacity needs of staff from the performance appraisal process and ensured that training activities have been conducted in adherence to the training plans at district level and documented in the training database : Score 3</p>	<p>The DWO identified capacity needs of staff from the performance and submitted the identified gaps to the HR through a letter dated 25th July 2020 reference 752/1</p> <p>The DWO recommended that the engineering assistant enrolls for a Material laboratory technician course</p>	3

Management, Monitoring and Supervision of Services.

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

Maximum 6 points on this performance measure

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

The DWO allocated only 41% of the water budget to sub counties below district average

The sub counties that were below the district average(82%) include;

Kanyum s/c at 73% access

Mukongoro s/c at 67%

Total budget = 588,300,000/=

Budget allocated to the two sub counties below district average was as follows;

83,200,000/= to Mukongoro s/c and 156,900,000/= to Kanyum s/c totaling to 240,100,000/=

Percentage allocation =

$240,100,000/588,300,000 * 100 = 41\%$

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

Maximum 6 points on this performance measure

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

There was evidence that the DWO communicated to the LLGs their respective allocations per source to be constructed in the current FY, the communication was made on 3rd/07/2020 by pinning the source allocations on the district and LLG notice boards.

Ongino s/c was allocated 3 new deep boreholes and 3 borehole rehabilitation, Nyero s/c was allocated 3 new deep boreholes, 4 spring protection and 4 borehole rehabilitations, Kanyum s/c was allocated 2 new boreholes, 4 borehole rehabilitations and 5 spring well protection.

Mukongoro s/c was allocated 2 new boreholes, 2 rehabilitations, 4 spring well protections, 1 piped water supply system and 1 lined pit latrine, Kumi s/c was allocated 2 new boreholes, 3 rehabilitations, 1 lined pit latrine, Atuturs/c was allocated 2 new boreholes, 2 rehabilitation, 1 lined pit latrine and 4 spring well protection. All totaling to 54 projects

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

Maximum 8 points on this performance measure

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

- If 95% and above of the WSS facilities monitored quarterly: score 4
- If 80-94% of the WSS facilities monitored quarterly: score 2
- If less than 80% of the WSS facilities monitored quarterly: Score 0

The DWO monitored more than 95% projects in only the fourth quarter.

The LG had a total of 1020 water and sanitation projects by the time of assessment.

The DWO monitored a total of 327 facilities in the 4th quarter of the previous and in the list of projects monitored were attached on the 4th quarter monitoring report dated 30th/12/2019

The DWO also presented monitoring report for the quarter 1 dated 27th/03/2020, quarter 3 monitoring report dated 28th/03/2020, monitoring report for the two spring wells in Mukongoro s/c dated 07th/04/2020

Quarter 2 monitoring report dated 30th/06/2020 and a

Monitoring plan dated 31st/08/2019.

Quarterly average water and sanitation projects = $1020/4 = 255$, the DWO monitored more than 95% projects in only the fourth quarter.

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

Maximum 8 points on this performance measure

b. Evidence that the DWO conducted quarterly DWSCC meetings and among other agenda items, key issues identified from quarterly monitoring of WSS facilities were discussed and remedial actions incorporated in the current FY AWP. Score 2

There was evidence that the DWO conducted quarterly DWSCC meetings as it was seen in the presented minutes of DWSCC meetings for the previous FY;

Minutes of DWSCC meeting held at the district water office board room on 6th/03/2020 with issues from monitoring reports discussed under item 4 of the minute

Minutes of DWSCC meeting held at the water office boardroom on 18th/06/2020 with issues that include rehabilitation of broken-down boreholes and allocating water sources to the water stressed areas being discussed under MIN 4/2019/2020 which was a recommendation by the DWO. The remedial actions were incorporated in the current FY AWP by prioritizing the drilling of new deep boreholes and rehabilitation of existing non-functional boreholes.

9	<p>Routine Oversight and Monitoring: The LG has monitored WSS facilities and provided follow up support.</p>	<p>c. The District Water Officer publicizes budget allocations for the current FY to LLGs with safe water coverage below the LG average to all sub-counties: Score 2</p>	<p>The District Water Officer publicized budget allocations for the current FY to LLGs on 3rd/07/2020 and the allocation was as follows;</p>	2
	<p><i>Maximum 8 points on this performance measure</i></p>		<p>Ongino s/c was allocated 3 new deep boreholes and 3 borehole rehabilitation amounting to 85,800,000/=, Nyero s/c was allocated 3 new deep boreholes, 4 spring protection and 4 borehole rehabilitations amounting to 116,900,000/=, Kanyum s/c was allocated 2 new boreholes, 4 borehole rehabilitations and 5 spring well protection amounting to 99,900,000/=</p>	
			<p>Mukongoro s/c was allocated 2 new boreholes, 2 rehabilitations, 4 spring well protections, 1 piped water supply system and 1 lined pit latrine amounting to 158,200,000/=, Kumi s/c was allocated 2 new boreholes, 3 rehabilitations, 1 line pit latrine amounting to 218,300,000/=, Atatur s/c was allocated 2 new boreholes, 2 rehabilitation, 1 lined pit latrine and 4 spring well protection amounting to 101,200,000/=</p>	
10	<p>Mobilization for WSS is conducted</p>	<p>a. For previous FY, the DWO allocated a minimum of 40% of the NWR rural water and sanitation budget as per sector guidelines towards mobilization activities:</p>	<p>The DWO allocated 16,344,723/= equivalent to 52.2% of the NWR budget (31,301,897/=) for community mobilization activities as seen on page 10 of the AWP for the previous FY.</p>	3
	<p><i>Maximum 6 points on this performance measure</i></p>	<ul style="list-style-type: none"> • If funds were allocated score 3 • If not score 0 		
10	<p>Mobilization for WSS is conducted</p>	<p>b. For the previous FY, the District Water Officer in liaison with the Community Development Officer trained WSCs on their roles on O&M of WSS facilities: Score 3.</p>	<p>The District Water Officer in liaison with the Community Development Officer trained WSCs on their roles on O&M of WSS facilities.</p>	3
	<p><i>Maximum 6 points on this performance measure</i></p>		<p>The WSCS was established on 15th/10/2019 and 15th/11/2019 at the respective water source locations and each source was composed of 9 members.</p>	
			<p>The first WSCS training was conducted from 18th -30th/06/2020.</p>	
			<p>The second training was conducted from 1st-17th/07/2020 at the respective water source locations</p>	

11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>a. Existence of an up-to-date LG asset register which sets out water supply and sanitation facilities by location and LLG:</p> <p>Score 4 or else 0</p>	<p>An up—to-date LG asset register which sets out water supply and sanitation facilities by location and LLG was in place and the last update was made on 30th/10/2020 by recording the new sources constructed in the previous FY that made the number of water supply and sanitation to increase from 1007 to 1020 (additional of 10 springs and 3 new boreholes)</p>	4
11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>Evidence that the LG DWO has conducted a desk appraisal for all WSS projects in the budget to establish whether the prioritized investments were derived from the approved district development plans (LGDP III) and are eligible for expenditure under sector guidelines (prioritize investments for sub-counties with safe water coverage below the district average and rehabilitation of non-functional facilities) and funding source (e.g. sector development grant, DDEG). If desk appraisal was conducted and if all projects are derived from the LGDP and are eligible:</p> <p>Score 4 or else score 0.</p>	<p>No evidence was availed at the time of assessment</p>	0
11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>c. All budgeted investments for current FY have completed applications from beneficiary communities: Score 2</p>	<p>The DWO presented a community application file for the current FY with 16 application letters for the water sources including rehabilitations and these include;</p> <p>Application for a borehole from Aputon community Apapai village dated 14th/08/2020</p> <p>Application for a borehole from Moru village, Ogora parish in Kumi s/c dated 25th/11/2020</p> <p>Request for repair of Ojie p/s borehole dated 12th/02/2020 among other applications</p>	2

11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>d. Evidence that the LG has conducted field appraisal to check for: (i) technical feasibility; (ii) environmental social acceptability; and (iii) customized designs for WSS projects for current FY. Score 2</p>	<p>There was evidence that the LG conducted field appraisal. The DWO presented field appraisal report dated 1st/07/2020 for all the 54 projects for the current FY including 14 new deep boreholes, 18 borehole rehabilitations, 17 spring well protection, 3 lined pit latrines and 1 pipe water system , all the projects were technically feasible and environmentally and socially acceptable.</p> <p>The activity was conducted by the CDO, environment officer and DWO.</p>	2
11	<p>Planning and Budgeting for Investments is conducted effectively</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>e. Evidence that all water infrastructure projects for the current FY were screened for environmental and social risks/ impacts and ESIA/ESMPs prepared before being approved for construction - costed ESMPs incorporated into designs, BoQs, bidding and contract documents. Score 2</p>	<p>There was evidence that all water infrastructure projects for the FY 2020/2021 were screened for environmental and social risks/ impacts as the DWO & Environment officer presented the filled environment and social screening forms for all the 14 new boreholes 3 lined pit latrine and 17 springs. The 3 sampled forms out of 34 forms include;</p> <p>Filled environment and social screen form for Abiong spring protection, Ariet village in Nyero s/c dated 8th/08/2020</p> <p>Filled environment and social screen forms for deep borehole drilling in Moru village Kumi sub county dated 4th/08/2020</p> <p>Filled environment and social screen form for deep borehole drilling in Olimai village Kanyum s/c dated 9th/07/2020</p> <p>The costed ESMPs was also incorporated into designs. BoQs, bidding and contract documents</p>	2
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p> <p><i>Maximum 14 points on this performance measure</i></p>	<p>a. Evidence that the water infrastructure investments were incorporated in the LG approved: Score 2 or else 0</p>	<p>The procurement plan was approved on 28th/05/2019 and all the water infrastructure were found incorporated on page 1 of the consolidated procurement plan</p>	2

12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p>	<p>b. Evidence that the water supply and public sanitation infrastructure for the previous FY was approved by the Contracts Committee before commencement of construction Score 2:</p>	<p>There was evidence that the water supply and public sanitation infrastructure for the FY 2019/2020 was approved by the Contracts Committee before commencement of construction.</p> <ul style="list-style-type: none"> • The construction on the 3 stance lined VIP latrine was approved by the contracts committee under minute MIN3/KDCC/12-1/19-20. • The deep borehole drilling project was approved under minute MIN3/KDCC/07-1/19-20 • The extension of the piped water supply system to Atatur s/c was approved under minute MIN3/KDCC/12-1/19-20 • The design of the piped water supply system in ongino s/c in Otasai island was approved under minute number MIN3/KDCC/12-1/19-20 • The construction of the spring wells and borehole rehabilitations was approved under the same minute number MIN3/KDCC/12-1/19-20 	2
	<p><i>Maximum 14 points on this performance measure</i></p>			
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p>	<p>c. Evidence that the District Water Officer properly established the Project Implementation team as specified in the Water sector guidelines Score 2:</p>	<p>The DWO properly established the project implementation team on 6th/02/2020.</p> <p>The team members included;</p> <p>Contract manager/project manager (Mr. Mawanga peter)</p> <p>Clerk of works (Mr.Imem Deo)</p> <p>Environment officer (Mr.Opio moses)</p> <p>CDO (Mr. Okirigi Alex)</p>	2
	<p><i>Maximum 14 points on this performance measure</i></p>			
12	<p>Procurement and Contract Management/execution: The LG has effectively managed the WSS procurements</p>	<p>d. Evidence that water and public sanitation infrastructure sampled were constructed as per the standard technical designs provided by the DWO: Score 2</p>	<p>For all hand pump borehole drilling, the DWO adopted the method design B and A of the standard technical manual depending on the soil formation of the area and for all the 3 project contracts sampled, the specification of the contract were in line with that provided by the DWO.</p> <p>The contractor also followed the design specifications and plans provided by the DWO for the spring</p>	2
	<p><i>Maximum 14 points on this performance measure</i></p>			

wells and latrine.

The 3 sampled projects/contracts include

1. The siting, drilling and installation of 6 deep boreholes (3 BHS not implemented)

Proc Ref: KUMI 529/WRKS/2019-2020/00024

2. Construction of 4 spring wells in Nyero and Kanyum sub counties

Proc Ref: KUMI 529/WRKS/2019-2020/00046

3. Construction of a 3 stance lined latrine in nyero s/c OLigoi parish.

Proc Ref: KUMI 529/WRKS/2019-2020/000324.

The 3 visited projects include;

- Deep borehole in Kamunyumbi village (Kamunyumbi borehole) in Kanyum s/c (DWD 78019) completed on 04th/05/2020

- Aerere spring well in Atatur s/c Ariet village in Ariet parish, source number; kumi529/SP/2019-20/DWSG/041

Completed on 10th/03/2020

- Ourukai borehole in Mukongoro s/c, Osodotoit village (DWD 78022), completed on 02nd/05/2020.

Date of completion; 10th/03/2020

All the facilities were in place and functional as reported

The boreholes had good water yield and quality, boreholes was well fenced, and trees planted by the water committee around the borehole, well protected borehole recharge catchment area, well operating hand pump and properly constructed apron.

The spring was well protected with water yield and clear and relatively clean water.

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

e. Evidence that the relevant technical officers carry out monthly technical supervision of WSS infrastructure projects: Score 2

Maximum 14 points on this performance measure

There was evidence that the relevant technical officers carry out monthly technical supervision of WSS infrastructure projects as indicated below;

The DWO also availed the joint supervision report for October dated 23rd/10/2019 for the spring wells construction, the supervision was carried out by; Dwo- MrMawanga Peter

CDO- MrOkingi Alex

District Engineer- Mr. Opio Moses and Labour Officer -Ms. Aboyo Catherine.

Supervision report for the month of September dated 27th/09/2019 for borehole rehabilitation project, all the above official were involved

The DWO presented the following minutes;

Minutes of site meeting for the construction a 3 stance pit latrine in Nyero s/c dated 10th/03/2020 with issues between DWO and contractor discussed under min7/1/latrine/1/2019

Minutes of site meeting for the drilling of 3 deep boreholes dated 18th/12/2020

Minutes of site meeting for spring well construction dated 25th/02/2020

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

f. For the sampled contracts, there is evidence that the DWO has verified works and initiated payments of contractors within specified timeframes in the contracts

o If 100 % contracts paid on time: Score 2

Maximum 14 points on this performance measure

o If not score 0

Payment requests by contractors who executed Water sector projects in the previous FY were certified and recommended by the DWO for payments as evidenced in the 3 samples below:

1. M/s Aoloko Investments SMC Ltd requested for payment of Shs. 17,941,835 on 5th/5/2020 for Construction of a 3-stance lined pit latrine at Kashalik Rural Growth Centre in Nyero Sub county of which Certificate No. 1 dated 11th/5/2020 was certified and recommended for payment by DWO on 11th/5/2020 (same date of certificate) and paid on 25th/6/2020 vide PV No. 30485970.

2. M/s Nyabuitai (Uganda) Ltd requested for payment of Shs. 19,935,510 on 25th/5/2020 for Construction of 4 Springs Wells in Nyero and Kanyum Sub counties Lot 1 of which Certificate No. 1 dated 26th/5/2020 was certified and recommended for payment by DWO on 28th/5/2020 (2 days after date of certificate) and paid on 25th/6/2020 vide PV No. 3048635.

1. M/s Kumi Workers Enterprises Ltd requested for payment of Shs. 49,682,720 on 11th/6/2020 for Supply of Bore hole Installation parts and Construction of Platforms which Certificate No. 1 dated 16th/6/2020 was certified and recommended for payment by DWO on 18th/6/2020 (2 days after date of certificate) and paid on 25th/6/2020 vide PV No. 30486404.

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

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

Score 2, If not score 0

Maximum 14 points on this performance measure

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

- Construction of a 3 stance latrine in Nyero s/c Oligoi parish Kashalik cattle market

Proc Ref: KUMI 529/WRKS/2019-2020/00043

Key records

Contract evaluation report approved 17th/12/2019 by the contracts

committee under minute
MIN3/KDCC/12-1/19-20

Contract committee decision

Contract advert made on 10th/10/2019
(selective bidding)

BOQS for the 3 stance latrine

Works contract

- Borehole rehabilitation contract

Proc Ref : KUMI529/WRKS/2019-
2020/00035

Key records

Contract evaluation report approved
by the contract committee on
17th/12/2019 under minute
MIN3/KDCC/12-1/19-20

Contract committee decision

Contract advert made on 10th/10/2019
(selective bidding)

Works contract

BOGS

- Siting, drilling and installation of 3 (6
planned but 3 drilled) Deep boreholes,
Proc Ref : KUMI529/WRKS/2019-
2020/00024

Key records

Evaluation report approved on
11th/07/2019 under minute
MIN3/KDCC/07-1/19-20

Advert made on 31st/may/2019 (Daily
Monitor)

Contract agreement made on
3rd/10/2019

Contract committee decision

- Construction of 4 Spring wells in
nyero s/c and kanyum s/c and 2 spring
wells in Mukongoro s/c and Kanyum
s/c, Proc Ref
numberKUMI529/WRKS/2019-
2020/00046 and
KUMI529/WRKS/2019-2020/00046
respectively

Key records

Contract evaluation report approved
by the contract committee on
17th/12/2019 under minute
MIN3/KDCC/12-1/19-20

Contract committee decision

Contract advert made on 10th/10/2019
(selective bidding)

Works contract

BOGS

• Design of piped water supply system
in Ongino s/c in Otasailsland

Proc Ref : KUMI529/SRVCS/2019-
2020/00041

Key records

Contract evaluation report approved
by the contract committee on
17th/12/2019 under minute
MIN3/KDCC/12-1/19-20

Contract committee decision

Contract advert made on 10th/10/2019
(selective bidding)

Works contract

Environment and Social Requirements

13	<p>Grievance Redress: The LG has established a mechanism of addressing WSS related grievances in line with the LG grievance redress framework</p> <p><i>Maximum 3 points this performance measure</i></p>	<p>Evidence that the DWO in liaison with the District Grievances Redress Committee recorded, investigated, responded to and reported on water and environment grievances as per the LG grievance redress framework:</p> <p>Score 3, If not score 0</p>	<p>There was no evidence that the LG DWO in liaison with the District Grievances Redress Committee recorded, investigated, responded to and reported a water and environment grievances as per the LG grievance redress framework.</p>	0
14	<p>Safeguards for service delivery</p> <p><i>Maximum 3 points on this performance measure</i></p>	<p>Evidence that the DWO and the Environment Officer have disseminated guidelines on water source & catchment protection and natural resource management to CDOs:</p> <p>Score 3, If not score 0</p>	<p>There was evidence of a letter dated 3rd July 2019, with attachment of water source & catchment protection and natural resource management guidelines communicating to CDOs proving that the DWO and the Environment Officer have disseminated guidelines on water source & catchment protection and natural resource management to CDOs</p>	3

15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>a. Evidence that water source protection plans & natural resource management plans for WSS facilities constructed in the previous FY were prepared and implemented: Score 3, If not score 0</p>	<p>There was evidence of water source protection plan and natural resource management plans for WSS facilities constructed in the previous FY dated 13th July 2019,</p> <p>Planting new trees, drainage channel, fencing of water sources, planting grass and removing debris</p>	3
15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>b. Evidence that all WSS projects are implemented on land where the LG has proof of consent (e.g. a land title, agreement; Formal Consent, MoUs, etc.), without any encumbrances:</p> <p>Score 3, If not score 0</p>	<p>There was evidence that the LG had proof of land ownership for WSS projects implemented as mentioned below;</p> <p>1. Land agreement dated 5th May 2020; Mr. Omale John offered part of his land to the community for drilling of a borehole in Totolim village witnessed by Tukie David Livingston, Orena Stella, Ajori David, Okia Francis.</p> <p>2. Land agreement dated 21st December 2019; Mr Ogwang Davide offered his land to the community for borehole drilling in Kanyumuyumbi village witnessed by Otim James, Alupo Rebecca, Akia Babra, Odeke Sam, Odong James.</p> <p>3. Land agreement dated 2nd Febuary 2020, Mr Imor John offered his land to the community for borehole drilling in Osoptoit villge witnessed by Omoding Aberi, Akuput Esther, Ongelee Joseph, Okiria Yason, Inyairo Hellen.</p>	3

15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>c. Evidence that E&S Certification forms are completed and signed by Environmental Officer and CDO prior to payments of contractor invoices/certificates at interim and final stages of projects:</p> <p>Score 2, If not score 0</p>	<p>There was evidence that the LG had certification Forms signed by the Environmental Officer and CDO as mentioned below;</p> <ol style="list-style-type: none"> 1. From the certification form dated 9th April 2020, the LG certified the drilling of a borehole at Totolim village. 2. From the certification form dated 9th April 2020, the LG certified the drilling of a borehole in Kanyumuyumbi village. 3. From the certification form dated 9th April 2020, the LG certified the drilling of a borehole in Osopotoit village 	2
15	<p>Safeguards in the Delivery of Investments</p> <p><i>Maximum 10 points on this performance measure</i></p>	<p>d. Evidence that the CDO and environment Officers undertakes monitoring to ascertain compliance with ESMPs; and provide monthly reports:</p> <p>Score 2, If not score 0</p>	<p>There was no evidence that the LG CDO and Environmental Officers undertook monitoring to ascertain compliance with ESMPs monthly.</p>	0

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

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

4	Achievement of standards: The LG has met staffing and micro-scale irrigation standards	b) Evidence that the installed micro-scale irrigation systems during last FY are functional • If 100% are functional score 2 or else score 0	Not applicable	0
	Maximum score 6			

Performance Reporting and Performance Improvement

5	Accuracy of reported information: The LG has reported accurate information	a) Evidence that information on position of extension workers filled is accurate: Score 2 or else 0	Not applicable	0
	Maximum score 4			

5	Accuracy of reported information: The LG has reported accurate information	b) Evidence that information on micro-scale irrigation system installed and functioning is accurate: Score 2 or else 0	Not applicable	0
	Maximum score 4			

6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans	a) Evidence that information is collected quarterly on newly irrigated land, functionality of irrigation equipment installed; provision of complementary services and farmer Expression of Interest: Score 2 or else 0	Not applicable	0
	Maximum score 6			

6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans	b) Evidence that the LG has entered up to-date LLG information into MIS: Score 1 or else 0	Not applicable	0
	Maximum score 6			

6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans Maximum score 6	c.Evidence that the LG has prepared a quarterly report using information compiled from LLGs in the MIS: Score 1 or else 0	Not applicable	0
6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans Maximum score 6	d) Evidence that the LG has: i. Developed an approved Performance Improvement Plan for the lowest performing LLGs score 1 or else 0	Not applicable	0
6	Reporting and Performance Improvement: The LG has collected and entered information into MIS, and developed and implemented performance improvement plans Maximum score 6	ii. Implemented Performance Improvement Plan for lowest performing LLGs: Score 1 or else 0	Not applicable	0

Human Resource Management and Development

7	Budgeting for, actual recruitment and deployment of staff: The Local Government has budgeted, actually recruited and deployed staff as per guidelines Maximum score 6	a) Evidence that the LG has: i. Budgeted for extension workers as per guidelines/in accordance with the staffing norms score 1 or else 0	Not applicable	0
---	--	---	----------------	---

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

8	<p>Performance management: The LG has appraised, taken corrective action and trained Extension Workers</p> <p>Maximum score 4</p>	<p>b) Evidence that:</p> <p>i. Training activities were conducted in accordance to the training plans at District level: Score 1 or else 0</p>	<p>Not applicable</p>	0
---	---	--	-----------------------	---

8	<p>Performance management: The LG has appraised, taken corrective action and trained Extension Workers</p> <p>Maximum score 4</p>	<p>ii Evidence that training activities were documented in the training database: Score 1 or else 0</p>	<p>Not applicable</p>	0
---	---	---	-----------------------	---

Management, Monitoring and Supervision of Services.

9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>a) Evidence that the LG has appropriately allocated the micro scale irrigation grant between (i) capital development (micro scale irrigation equipment); and (ii) complementary services (in FY 2020/21 100% to complementary services; starting from FY 2021/22 – 75% capital development; and 25% complementary services): Score 2 or else 0</p>	<p>Not applicable</p>	0
---	---	---	-----------------------	---

9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>b) Evidence that budget allocations have been made towards complementary services in line with the sector guidelines i.e. (i) maximum 25% for enhancing LG capacity to support irrigated agriculture (of which maximum 15% awareness raising of local leaders and maximum 10% procurement, Monitoring and Supervision); and (ii) minimum 75% for enhancing farmer capacity for uptake of micro scale irrigation (Awareness raising of farmers, Farm visit, Demonstrations, Farmer Field Schools): Score 2 or else score 0</p>	<p>Not applicable</p>	0
---	---	--	-----------------------	---

9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>c) Evidence that the co-funding is reflected in the LG Budget and allocated as per guidelines: Score 2 or else 0</p>	<p>Not applicable</p>	0
9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>d) Evidence that the LG has used the farmer co-funding following the same rules applicable to the micro scale irrigation grant: Score 2 or else 0</p>	<p>Not applicable</p>	0
9	<p>Planning, budgeting and transfer of funds for service delivery: The Local Government has budgeted, used and disseminated funds for service delivery as per guidelines.</p> <p>Maximum score 10</p>	<p>e) Evidence that the LG has disseminated information on use of the farmer co-funding: Score 2 or else 0</p>	<p>Not applicable</p>	0
10	<p>Routine oversight and monitoring: The LG monitored, provided hands-on support and ran farmer field schools as per guidelines</p> <p>Maximum score 8</p>	<p>a) Evidence that the DPO has monitored on a monthly basis installed micro-scale irrigation equipment (key areas to include functionality of equipment, environment and social safeguards including adequacy of water source, efficiency of micro irrigation equipment in terms of water conservation, etc.)</p> <ul style="list-style-type: none"> • If more than 90% of the micro-irrigation equipment monitored: Score 2 • 70-89% monitored score 1 Less than 70% score 0 	<p>Not applicable</p>	0

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

Investment Management

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

13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	b) Evidence that the LG requested for quotation from irrigation equipment suppliers pre-qualified by the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF): Score 2 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	c) Evidence that the LG concluded the selection of the irrigation equipment supplier based on the set criteria: Score 2 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	d) Evidence that the micro-scale irrigation systems for the previous FY was approved by the Contracts Committee: Score 1 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	e. Evidence that the LG signed the contract with the lowest priced technically responsive irrigation equipment supplier for the farmer with a farmer as a witness before commencement of installation score 2 or else 0	Not applicable	0
13	Procurement, contract management/execution: The LG procured and managed micro-scale irrigation contracts as per guidelines Maximum score 18	f) Evidence that the micro-scale irrigation equipment installed is in line with the design output sheet (generated by IrriTrack App): Score 2 or else 0	Not applicable	0

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

Environment and Social Safeguards

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

14	Grievance redress: The LG has established a mechanism of addressing micro-scale irrigation grievances in line with the LG grievance redress framework Maximum score 6	b) Micro-scale irrigation grievances have been: iv. Reported on in line with LG grievance redress framework score 1 or else 0	Not applicable	0
----	--	--	----------------	---

Environment and Social Requirements

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

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

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	If the LG has recruited: a. 1 Civil Engineer (Water), score 15 or else 0.	The position of Civil Engineer (Water) was substantively filled by Mawanga Peter Patience appointed vide appointment letter dated 30th April 2014 DSC Min no. 23/2014	15
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	b. 1 Assistant Water Officer for mobilization, score 10 or else 0.	The position of Assistant Water Officer for mobilization was vacant	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	c. 1 Borehole Maintenance Technician/Assistant Engineering Officer, score 10 or else 0.	The position of Assistant Engineering Officer was substantively filled by Imem Deo vide appointment letter dated 5th November 2015 DSC Min no. 55/2015	10
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	d. 1 Natural Resources Officer , score 15 or else 0.	The position of Natural Resources Officer was vacant	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	e. 1 Environment Officer, score 10 or else 0.	The position of Environment Officer was vacant	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions.	f. Forestry Officer, score 10 or else 0.	The position of Forestry Officer was substantively filled by Opio Moses appointed vide appointment letter dated 5th Nov 2015 DSC Min no. 562015	10

Environment and Social Requirements

Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessment (ESIAs) (including child protection plans) where applicable, and abstraction permits have been issued to contractors by the Directorate of Water Resources Management (DWRM) prior to commencement of all civil works on all water sector projects

If the LG:
a. Carried out Environmental, Social and Climate Change screening/Environment, score 10 or else 0.

From the screening forms signed by the Environmental Officer and CDO the LG Carried out Environmental, Social and Climate Change screening/Environment as mentioned below;

1. From the screening form dated 4th February 2020, the LG screened the drilling of a borehole at Totolim village, Obotia Parish in Ongino S/C

2. From the screening form dated 3rd February 2020, the LG screened the drilling of a borehole in Kanyumuyumbi village, Kanyumuyumbi Parish in Kanyum S/C

3. From the screening form dated 19th November 2019, the LG screened the drilling of a borehole in Osopotoit village, Osopotoit Parish in Osopotoit S/C

Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessment (ESIAs) (including child protection plans) where applicable, and abstraction permits have been issued to contractors by the Directorate of Water Resources Management (DWRM) prior to commencement of all civil works on all water sector projects

b. Carried out Social Impact Assessments (ESIAs) , score 10 or else 0.

The above mentioned projects were not subject to full scale Environment and Social Impact Assessment by their very nature/category /classification

Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessment (ESIAs) (including child protection plans) where applicable, and abstraction permits have been issued to contractors by the Directorate of Water Resources Management (DWRM) prior to commencement of all civil works on all water sector projects

c. Ensured that the LG got abstraction permits for all piped water systems issued by DWRM, score 10 or else 0.

There was evidence that the contractor had a drilling permit as mentioned below;

DP41345/DW 2019

MULTEC CONSUTS (U) LTD

P O Box 10936,
Kampala

Dated 3rd July 2019
signed by Eng. Kavutes
Dominic,

DIRECTOR OF WATER
DEVELOPMENT.

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>If the LG has substantively recruited or formally requested for secondment of:</p> <p>a. District Health Officer, score 10 or else 0.</p>	<p>The position of District Health Officer was substantively filled by Okoth Obbo appointed vide appointment letter dated 17th June 2019 DSC Min No. 41/2019 (i)</p>	10
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>b. Assistant District Health Officer Maternal, Child Health and Nursing, score 10 or else 0</p>	<p>The position of Assistant District Health Officer Maternal, Child Health and Nursing was substantively filled by Okwako Susan appointed vide appointment letter dated 3rd March 2020 DSC Min No. 54/2019 (Viii)</p>	10
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>c. Assistant District Health Officer Environmental Health, score 10 or else 0.</p>	<p>The position of Assistant District Health Officer Environmental Health was vacant</p>	0
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>d. Principal Health Inspector (Senior Environment Officer) , score 10 or else 0.</p>	<p>The position of Principal Health Inspector was vacant</p>	0

1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>e. Senior Health Educator, score 10 or else 0.</p>	<p>The position of Senior Health Educator was vacant</p>	0
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>f. Biostatistician, score 10 or 0.</p>	<p>The position of Biostatistician was substantively filled by Akiiso James appointed vide appointment letter dated 4th June 2018 DSC Min No. 38/2018 (a)</p>	10
1	<p>Evidence that the District has substantively recruited or formally requested for secondment of staff for all critical positions.</p> <p>Applicable to Districts only.</p> <p>Maximum score is 70</p>	<p>g. District Cold Chain Technician, score 10 or else 0.</p>	<p>The position of District Cold Chain Technician was substantively filled by Nalungu Ivan appointed vide appointment letter dated 5th March 2018 DSC Min No. 18/2018 (a) (V)</p>	10
1	<p>Evidence that the Municipality has in place or formally requested for secondment of staff for all critical positions.</p> <p><i>Applicable to MCs only.</i></p> <p><i>Maximum score is 70</i></p>	<p>h. If the MC has in place or formally requested for secondment of Medical Officer of Health Services /Principal Medical Officer, score 30 or else 0.</p>		
1	<p>Evidence that the Municipality has in place or formally requested for secondment of staff for all critical positions.</p> <p><i>Applicable to MCs only.</i></p> <p><i>Maximum score is 70</i></p>	<p>i. If the MC has in place or formally requested for secondment of Principal Health Inspector, score 20 or else 0.</p>		

1	<p>Evidence that the Municipality has in place or formally requested for secondment of staff for all critical positions.</p> <p><i>Applicable to MCs only.</i></p> <p><i>Maximum score is 70</i></p>	<p>j. If the MC has in place or formally requested for secondment of Health Educator, score 20 or else 0.</p>
---	--	---

Environment and Social Requirements

2	<p>Evidence that prior to commencement of all civil works for all Health sector projects, the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)</p> <p>Maximum score is 30</p>	<p>If the LG carried out:</p> <p>a. Environmental, Social and Climate Change screening/Environment, score 15 or else 0.</p>	<p>From the screening forms signed by the Environmental Officer and CDO the LG carried out Environmental, Social and Climate Change screening/Environment, as mentioned below;</p> <p>1. From the screening form dated 18th February 2020, the LG screened fencing of a chain link at Kanyum HCII in Kanyum village, Kanyum Parish in Kanyum S/C.</p>	15
2	<p>Evidence that prior to commencement of all civil works for all Health sector projects, the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)</p> <p>Maximum score is 30</p>	<p>b. Social Impact Assessments (ESIAs) , score 15 or else 0.</p>	<p>The above mentioned projects were not subject to Environment and Social Impact Assessment</p> <p>These were category B projects</p>	15

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	<p>Evidence that the LG has substantively recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Education Office namely:</p> <p><i>The maximum score is 70</i></p>	<p>If the LG has substantively recruited or formally requested for secondment of:</p> <p>a) District Education Officer/ Principal Education Officer, score 30 or else 0.</p>	<p>The position of District Education Officer was substantively filled by Otai John who was appointed vide appointment letter dated 10th June 2020 DSC Min 54/2019 (IX)</p>	30
1	<p>Evidence that the LG has substantively recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Education Office namely:</p> <p><i>The maximum score is 70</i></p>	<p>If the LG has substantively recruited or formally requested for secondment of:</p> <p>b) All District/Municipal Inspector of Schools, score 40 or else 0.</p>	<p>According to the approved structure DLG should have a senior inspector of schools and two District Inspectors of Schools</p> <p>These included the following;</p> <p>Adongo Sarah appointed senior inspector of schools vide appointment letter dated 4th April 2018 DSC Min No. 17/2018</p> <p>Okia Kesion appointed inspector of schools vide appointment letter dated 10th May 2012 DSC Min No. 4/2012</p> <p>Oselle Bernard appointed inspector of schools vide appointment letter dated 5th March 2018 DSC Min No. 18/2018 (a)</p>	40

Environment and Social Requirements

2	Evidence that prior to commencement of all civil works for all Education sector projects the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)	If the LG carried out: a. Environmental, Social and Climate Change screening/Environment, score 15 or else 0.	From the screening forms signed by the Environmental Officer and CDO the LG carried out: Environmental, Social and Climate Change screening/Environment as below; 1. From the screening form dated 6th March 2020, the LG screened construction of 5 stance pit latrine in Township P/S in Mukongor village, Mukongor Parish, Mukongor S/C 2. From the screening form dated 18th March 2020, the LG screened construction of two classroom block in Agule P/S in Agule village, Agule Parish in Kumi S/C 3. From the screening form dated 17th March 2020, the LG screened construction of two classroom block in Akoltorom P/S in Akoltorom village, Akoltorom Parish in Ongino S/C.	15
	The Maximum score is 30			

2	Evidence that prior to commencement of all civil works for all Education sector projects the LG has carried out: Environmental, Social and Climate Change screening/Environment Social Impact Assessments (ESIAs)	If the LG carried out: b. Social Impact Assessments (ESIAs), score 15 or else 0.	The above mentioned projects were not subjected to Environmental and Social Impact Assessment because they were not categorized for ESIA	15
	The Maximum score is 30			

No.	Summary of requirements	Definition of compliance	Compliance justification	Score
Human Resource Management and Development				
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	a. Chief Finance Officer/Principal Finance Officer, score 3 or else 0	The position of Chief Finance Officer was substantively filled by Mr. Wandera Peter appointed vide appointment letter dated 1st July 2011 DSC Min No. 126/2011	3
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	b. District Planner/Senior Planner, score 3 or else 0	The position of District Planner was substantively filled by Mr. Okaali Joseph appointed vide appointment letter dated 1st July 2014 DSC Min No. 30/7/2020	3
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	c. District Engineer/Principal Engineer, score 3 or else 0	The DLG had not recruited a District Engineer nor requested for a secondment.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	d. District Natural Resources Officer/Senior Environment Officer, score 3 or else 0	The DLG had not recruited a District Natural Resources Officer nor requested for a secondment.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	e. District Production Officer/Senior Veterinary Officer, score 3 or else 0	The position of District Production Officer was substantively filled by Mr. Ogogoi Rajab appointed vide appointment letter dated 26th July 2019 DSC Min No. 48/2019 (ii)	3

1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	f. District Community Development Officer/ Principal CDO, score 3 or else 0	The position of District Community Development Officer was substantively filled by Onoria Alex Okirigi appointed vide appointment letter dated 6thNov 2017 reference CR/156/1 DSC Minute No. 71/2017	3
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	g. District Commercial Officer/Principal Commercial Officer, score 3 or else 0	The position of District Commercial Officer was vacant.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	other critical staff h (i). A Senior Procurement Officer (Municipal: Procurement Officer) score 2 or else 0.	The position of Senior Procurement Officer was substantively filled by Mr. Okillan Henry appointed vide appointment letter dated 21st May 2015DSC Min No. 29/2015	2
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	h(ii). Procurement Officer (Municipal Assistant Procurement Officer), score 2 or else 0	The position of Procurement Officer was vacant.	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	i. Principal Human Resource Officer, score 2 or else 0	The position of Principal Human Resource Officer was vacant. Ever since the appointment of the substantively appointed staff (Mr. Okiria Stephen) was rescinded through letter dated 22nd June 2017 DSC Min No. 52/2017 th e position had never been substantively filled	0

1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	j. A Senior Environment Officer, score 2 or else 0	The position of a Senior Environment Officer was substantively filled by Okalang Emmanuel appointed vide appointment letter dated 21st May 2015 DSC Minute No. 35/2015	2
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	k. Senior Land Management Officer, score 2 or else 0	The position of a Senior Land Management Officer, was substantively filled by Imalingat Christine appointed vide appointment letter dated 1st July 2014 DSC Minute No. 36/2014	2
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	l. A Senior Accountant, score 2 or else 0	The position of a Senior Accountant was substantively filled by Opolot Agwang Consolate appointed vide appointment letter dated 30th April 2014 DSC Minute No. 16/2014	2
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	m. Principal Internal Auditor for Districts and Senior Internal Auditor for MCs, score 2 or else 0	The position of Principal Internal Auditor was Vacant. Since the substantively appointed staff had retired vide retirement letter dated 26th March 2020 Minute Number 6/2020 (XVI)	0
1	Evidence that the LG has recruited or formally requested for secondment of staff for all critical positions in the District/Municipal Council departments. Maximum score is 37.	n. Principal Human Resource Officer (Secretary DSC), score 2 or else 0	The position of Human Resource Officer (Secretary DSC) was substantively filled by Uguli John Michael appointed vide appointment letter dated 8th May 2017 DSC Min No. 49/2017	2

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

Maximum score is 15

If LG has recruited or requested for secondment of:

a. Senior Assistant Secretaries in all LLGS,

score 5 or else 0

The DLG had 6 sub-counties namely; Mukongoro S/c, Nyero S/c, Kanyum S/c, Ongino S/c, Atatur S/c, Kumi S/c.

One out of the 6 substantively appointed SAS was under interdiction therefore only 5 files were availed as below;

Oteeni Samuel appointed SAS for Mukongoro Sub county vide appointment letter dated 21st May 2015 DSC Min No. 30/215

Okiria Innocent Ben appointed SAS for Nyero Sub county vide appointment letter dated 24th Jan 2005 DSC Min No. 56/2004 (IV)

Okia Francis appointed SAS for Kanyum Sub county vide appointment letter dated 7th Nov 2008 DSC Min No. 33/2008 (i)

Aiyo Susan Aongat appointed SAS for Ongino Sub county vide appointment letter dated 2nd May 2005 DSC Min 56/2004

Opio Damiano appointed SAS at Atatur Sub county vide appointment letter dated 4th June 2018 DSC Min 39/2018 (a)

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

Maximum score is 15

If LG has recruited or requested for secondment of:

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

score 5 or else 0.

The DLG had 6 sub-counties namely; Mukongoro S/c, Nyero S/c, Kanyum S/c, Ongino S/c, Atatur S/c, Kumi S/c.

The DLG had 6 CDOs (two were posted to the District head quarters and the other four were posted to sub counties- (ongiono S/C, Kumi S/C, Mukongoro S/cand Kanyum S/c) therefore two sub counties lacked substantively appointed CDO's

Substantively appointed CDO's were as follow;

Aboyo Catherine appointed CDO vide appointment letter dated 21st May 2015 DSC Min No. 25/2015 stationed at district head quarters

Agwang Teddy appointed CDO vide appointment letter dated 1st Dec 2006 DSC Min No. 31/2006 stationed at district head quarters

Acan Florence appointed CDO vide appointment letter dated 12th Jan 1995 DSC Min No. 20/95 (a) stationed at Ongino S/c

Akello Deborah appointed CDO vide appointment letter dated 29th June 2007 DSC Min No. 30/2006 (iv) stationed at Kumi S/c

Alupo stella appointed CDO vide appointment letter dated 14th July 2010 DSC Min No. 43/2010 stationed at Mukongoro S/c

Ageta John Richard appointed CDO vide appointment letter dated 23rd April 2009 DSC Min No. 25/2009 stationed at Kanyum S/c

2	<p>Evidence that the LG has recruited or formally requested for secondment of staff for all essential positions in every LLG</p> <p>Maximum score is 15</p>	<p>If LG has recruited or requested for secondment of:</p> <p>c. A Senior Accounts Assistant or an Accounts Assistant in all LLGS,</p> <p>score 5 or else 0.</p>	<p>Only 5 out of 6 positions of Senior Accounts Assistant or an Accounts Assistant were substantively filled as follows;</p> <ul style="list-style-type: none"> • Okiria Henry appointed as SAA for Mukongoro sub county vide appointment letter dated 4th May 2015 DSC Min no. 6/2015 • Adeke Esther appointed as SAA Nyero and Kanyum Sub county vide appointment letter dated 10th may 2011 DSC Min no. 8/2011 (ii) • Okia Phoebe appointed as SAA Atatur vide appointment letter dated 42/2007 DSC Min no. 42/2007 • Apedo Harriet appointed as SAA Kumi Sub countyvide appointment letter dated 11th January 2001 DSC Min no. 105/2000 (5) 	0
---	---	--	---	---

Environment and Social Requirements

3	<p>Evidence that the LG has released all funds allocated for the implementation of environmental and social safeguards in the previous FY.</p> <p>Maximum score is 4</p>	<p>If the LG has released 100% of funds allocated in the previous FY to:</p> <p>a. Natural Resources department,</p> <p>score 2 or else 0</p>	<p>Warranted funds for Natural Resources department was Shs. 159,699,298 as on page 13 of the Draft AFS for 2019/2020.</p> <p>Actual warranted funds was Shs. 156,601,075 as on page 13 of the AFS for FY 2019/2020 representing $156,601,075/159,699,298 \times 100 = 98\%$</p>	0
3	<p>Evidence that the LG has released all funds allocated for the implementation of environmental and social safeguards in the previous FY.</p> <p>Maximum score is 4</p>	<p>If the LG has released 100% of funds allocated in the previous FY to:</p> <p>b. Community Based Services department.</p> <p>score 2 or else 0.</p>	<p>Warranted funds for Community Based department was Shs. 486,534,730 as on page 13 of the Draft AFS for 2019/2020.</p> <p>Actual warranted funds was Shs. 480,013,569 as on page 13 of the AFS for FY 2019/2020 representing $480,013,569/486,534,730 \times 100 = 98.67\%$.</p>	0

4	<p>Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessments (ESIAs) and developed costed Environment and Social Management Plans (ESMPs) (including child protection plans) where applicable, prior to commencement of all civil works.</p> <p>Maximum score is 12</p>	<p>a. If the LG has carried out Environmental, Social and Climate Change screening,</p> <p>score 4 or else 0</p>	<p>From the screening forms signed by the Environmental Officer and CDO there was evidence that the LG carried out Environmental, Social and Climate Change as mentioned below;</p> <p>1. From the screening form dated 6th March 2020, the LG screened the construction of 5 stance pit latrine in Township P/S in Mukongora village, Mukongora Parish in Mukongora S/C.</p> <p>2. From the screening form dated 19th May 2020, the LG screened fencing of a chine link at the maternity ward in Kanyum HCIII in Kanyum village, Kanyum Parish in Kanyum S/C.</p> <p>3. From the screening from dated 4th April 2020, the LG screened drilling of a deep borehole in Obotia village, Totolim Parish in Ongino S/C.</p>	4
4	<p>Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessments (ESIAs) and developed costed Environment and Social Management Plans (ESMPs) (including child protection plans) where applicable, prior to commencement of all civil works.</p> <p>Maximum score is 12</p>	<p>b. If the LG has carried out Environment and Social Impact Assessments (ESIAs) prior to commencement of all civil works for all projects implemented using the Discretionary Development Equalization Grant (DDEG),</p> <p>score 4 or 0</p>	<p>The mentioned above projects were not subjected to Environment and Social Impact Assessment(ESIA)</p> <p>They were group B category.</p>	4
4	<p>Evidence that the LG has carried out Environmental, Social and Climate Change screening/Environment and Social Impact Assessments (ESIAs) and developed costed Environment and Social Management Plans (ESMPs) (including child protection plans) where applicable, prior to commencement of all civil works.</p> <p>Maximum score is 12</p>	<p>c. If the LG has a Costed ESMPs for all projects implemented using the Discretionary Development Equalization Grant (DDEG);;</p> <p>score 4 or 0</p>	<p>There was evidence on page 264 of the Kumi Local Government Development Plan 2015/2016-2019/2020;</p> <p>Planting new trees at cost 250,000/=.</p>	4

Financial management and reporting

5	<p>Evidence that the LG does not have an adverse or disclaimer audit opinion for the previous FY.</p> <p>Maximum score is 10</p>	<p>If a LG has a clean audit opinion, score 10;</p> <p>If a LG has a qualified audit opinion, score 5</p> <p>If a LG has an adverse or disclaimer audit opinion for the previous FY, score 0</p>	<p>Awaits Auditor General's opinion in January 2021.</p>	0
6	<p>Evidence that the LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General findings for the previous financial year by end of February (PFMA s. 11 2g). This statement includes issues, recommendations, and actions against all findings where the Internal Auditor and Auditor General recommended the Accounting Officer to act (PFM Act 2015).</p> <p>maximum score is 10</p>	<p>If the LG has provided information to the PS/ST on the status of implementation of Internal Auditor General and Auditor General findings for the previous financial year by end of February (PFMA s. 11 2g),</p> <p>score 10 or else 0.</p>	<p>A response to PS/ST on queries raised by the Internal Auditor General in FY 2018/2019 was made on 10th/12/2020 within the recommended deadline of 28th/2/2020.</p> <p>The nature of quarries raised and cleared was:</p> <ol style="list-style-type: none"> 1. Unaccounted for funds; Shs.592, 790,062. 2.Doubtful accountabilities: SDhs.26,754,000 3.Irregular Expenditure: 43,045,315 4. Wasteful expenditure: 4,325,000. <p>In addition, responses to PS/ST on queries raised by Auditor General in FY 2018/2019 was made on 13th/2/2020 Ref. Cr/252/3.</p> <p>The 10 (ten) queries raised but cleared included:</p> <ol style="list-style-type: none"> 1. Shortfall in release amounting to Shs.1.49Bn representing 5.5%. <p>Works under UGIFT i.e. a 2-stance VIP latrine had not been erected yet funds had already been paid.</p>	10
7	<p>Evidence that the LG has submitted an annual performance contract by August 31st of the current FY</p> <p>Maximum Score 4</p>	<p>If the LG has submitted an annual performance contract by August 31st of the current FY,</p> <p>score 4 or else 0.</p>	<p>The LG submitted the Annual Performance Contract on 24th/6/2020 at 2:25 pm to www.budget.go.ug and received by MoFPED</p>	4

8	Evidence that the LG has submitted the Annual Performance Report for the previous FY on or before August 31, of the current Financial Year maximum score 4 or else 0	If the LG has submitted the Annual Performance Report for the previous FY on or before August 31, of the current Financial Year, score 4 or else 0.	The LG submitted the Annual Performance Report for the previous FY on 12th/8/ 2020 through pbs@ifmis.go.ug to www.budget.go.ug and received by MoFPED.	4
9	Evidence that the LG has submitted Quarterly Budget Performance Reports (QBPRs) for all the four quarters of the previous FY by August 31, of the current Financial Year Maximum score is 4	If the LG has submitted Quarterly Budget Performance Reports (QBPRs) for all the four quarters of the previous FY by August 31, of the current Financial Year, score 4 or else 0.	The LG submitted all the Quarterly Budget Performance Reports of the previous FY through pbs@ifmis.go.ug to www.budget.og.ug and received by MoFPED as evidenced below: Q1 Quarterly Budget Performance Reports submitted on 27th/11/2019 Q2 Quarterly Budget Performance Reports submitted on 29th/1/2020 Q3 Quarterly Budget Performance Reports submitted on 12th/5/2020 Q4 Quarterly Budget Performance Reports submitted on 12th/8/2020.	4