

**REPUBLIC OF UGANDA**



**Office of the Auditor General**

**VALUE FOR MONEY AUDIT REPORT ON INSPECTION OF PRIMARY SCHOOLS  
BY THE MINISTRY OF EDUCATION AND SPORTS**



**MARCH 2010**

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## **LIST OF ABBREVIATIONS:**

ACI	Assistant Chief inspector
AG	Accountant General
BTVET	Business Technical Vocational Education Training
CAO	Chief Administrative Officer
CCT	Centre Coordinating Tutors
DED	District Education Directorates
DEO	District Education Officer
DIS	District Inspector of Schools
DES	Directorate of Education Standards
ESA	Education Standards Agency
FY	Financial Year
HQs	Headquarters
INTOSAI	International organization of supreme Audit Institutions
MC	Municipal Council
MOES	Ministry of Education and Sports
MoH	Ministry of Housing
MoW	Ministry of works
MOLG	Ministry of Local Government
MOPS	Ministry of Public Service
NEMA	National Environmental Management Authority
OAG	Office of the Auditor General
PS	Permanent Secretary
P&PE	Primary and Pre primary Education
SEC	Secondary Education
SI	Senior Inspector
SMC	School Management Committee
SNE	Special Needs Education
TE	Technical Education
Ug. Shs	Uganda Shillings

## **EXECUTIVE SUMMARY**

This Value for Money audit was motivated by the declining standards in schools in the country. The Primary Leaving Examination results indicate that the failure rate increased from 17% in 2005 to 22% in 2008. Parliament, while debating the Education Bill expressed concern that education standards in rural areas had greatly declined due to “poor inspections.” [www.parliament.go.ug](http://www.parliament.go.ug) (October 2008).

The audit was conducted on the Ministry of Education and Sports, focusing on inspection of schools over three financial years (2005/06 to 2007/08).

The audit was conducted to establish if inspections are conducted efficiently and effectively so as to help enhance the standard of education in schools and make recommendations to help improve the effectiveness of the system.

## **FINDINGS:**

### **1. Legal Mandate of ESA**

The inspection function by MOES was being conducted by ESA as an autonomous agency during the period under review. However, ESA did not have an enabling legal framework approved by an Act of Parliament but operated under a cabinet directive, which was irregular. Absence of a strong legal framework meant that ESA could not perform as an independent arm of Government.

However, the Education Act, 2008 transformed ESA into a Directorate of Education Standards in MOES; with this Act in place, the legal status of DES is now defined and clear.

### **2. Staffing levels**

The Directorate had a staffing level of only 46% of the approved establishment. The resultant high inspector – school ratio at the national and regional levels made it

practically impossible for ESA inspectors to regularly inspect all the schools, monitor and coordinate the district inspections.

### **3. Inspections**

The handbook for school Inspectors (Monitoring and Supporting Policy) requires 4 types of inspections to be carried out on each school. These are full inspection-once a year; short/routine inspections- once a term, flying visits- adhoc and follow-up inspections- within 18 months from when an inspection was done.

It was noted that schools were not regularly inspected and this was attributed to low staffing levels of inspectors, inadequate supervision and monitoring of inspectors and inadequate provision of logistics to carry out inspections. This resulted into laxity in attendance by both teachers and pupils thus high absenteeism among the teachers and pupils, conflicts in schools, teachers' underperformance and low syllabus coverage hence poor performance in schools.

### **4. Dissemination of Inspection findings and reporting frequency**

An inspector is required to make a summary of observations immediately an inspection is carried out and to leave a copy at the school. The Education Officer In-charge of Education in the Local Government is supposed to prepare and provide quarterly inspection reports which are consolidated into half-yearly and annual reports and disseminated to the Chief Executive and Council standing committees on Education. The Chief Executive Officer is supposed to give out copies to ESA Headquarters, ESA regional offices and MOES. These reports are intended to provide input to policy formulation and planning at national level and data to the inspection data bank.

Districts and municipalities did not adequately prepare annual and quarterly reports on the inspections carried out. This was attributed to Inspectors' failure to carry out any inspections, thus making it impossible to prepare reports, and lack of awareness on the requirement to prepare these reports. In the absence of these reports, MOES may formulate policies on schools without adequate information from the majority of the schools.

**5. School Improvement Plan**

Inspections are supposed to culminate into the production of a School Improvement Plan (SIP). It is the responsibility of the CAO, DEO, CCT, in liaison with DIS and head teachers, to assist schools in developing and implementing improvement plans aimed at addressing the issues raised in the inspection report.

None of the schools visited had prepared a School Improvement Plan; this was because head teachers lacked the skills to prepare them and, additionally, they had not been guided by the inspectors. In the absence of a SIP, the follow-up on the recommendations becomes difficult.

**6. Monitoring and Evaluation of inspectors**

District and Municipal Councils are required to develop an action plan for districts and municipal councils to monitor and evaluate the performance of inspectors annually.

Although some of the DEOs and chief executives stated that the inspectors' performance was evaluated through a review of inspection reports, there was no evidence to confirm that inspectors were monitored and evaluated. This was caused by lack of awareness on what is required of DEOs and CAOs to enable the enforcement of such procedures. In the absence of proper monitoring and evaluation, the weaknesses in the inspection process remained undetected.

**7. Inspection work plans**

District Inspectors should develop annual and quarterly work plans to ensure that every school receives one short inspection per term.

Inspection Work plans were not consistently prepared by the district inspectors. 64% of the Districts and Municipal Councils visited had prepared annual work plans while 36% had not. 29% of those with annual work plans had not broken down their work plans

into quarters. Inspections could, therefore, not be carried out in a planned manner in the absence of approved work plans.

**8. Monitoring quality of service provided by District Inspectors**

District Inspectors should work in partnership and collaboration with ESA. In addition, ESA had the responsibility to monitor the quality of service provided by Inspectors at District level and build their capacity as provided for by the Local Government Act of 1997, section 97 and 98.

There was limited supervision or monitoring by ESA in the Local Governments during the period under review. Evidence availed showed that there was very limited formal interaction between the ESA and the District Inspectors in form of workshops, joint inspections or meetings during the period. This was attributed to lack of monitoring capacity by ESA, in terms of personnel, funding and logistics. Limited partnership and collaboration between ESA and District Inspectors affected the quality of service in inspections. The benefits that would have been derived from the joint efforts could not be realized.

To address the above challenges, the audit recommends that:-

**1. Staffing levels**

- With the increasing number of schools, MOES should consider increasing the number of inspectors to adequately carry out planned inspections.
- MOES should put systems in place to motivate and retain the inspectors.

**2. Inspection**

- DES should regularly conduct workshops and seminars for all its staff, District Inspectors and administrators to remind them of their roles in improving education standards so that planning and carrying out inspection on schedule becomes a norm.
- The Directorate should prepare and have a strategic plan for school inspections which should be properly costed.

**3. Dissemination of Inspection findings and reporting frequency**

- Inspectors should provide immediate feedback shortly after inspection to every school inspected through an inspection report.
- A strict reporting mechanism should be set up; one that compels each inspection unit to submit reports monthly, quarterly, biannually or annually.

**4. School Improvement Plan**

Head teachers should be trained and guided by the inspectors on how to develop SIPs.

**5. Monitoring and evaluation of Inspectors**

- DES should train and equip district administrators with the skills of measuring the performance of inspectors.
- The evaluation and monitoring of inspectors should be done regularly and properly documented.

**6. Inspection Work plans**

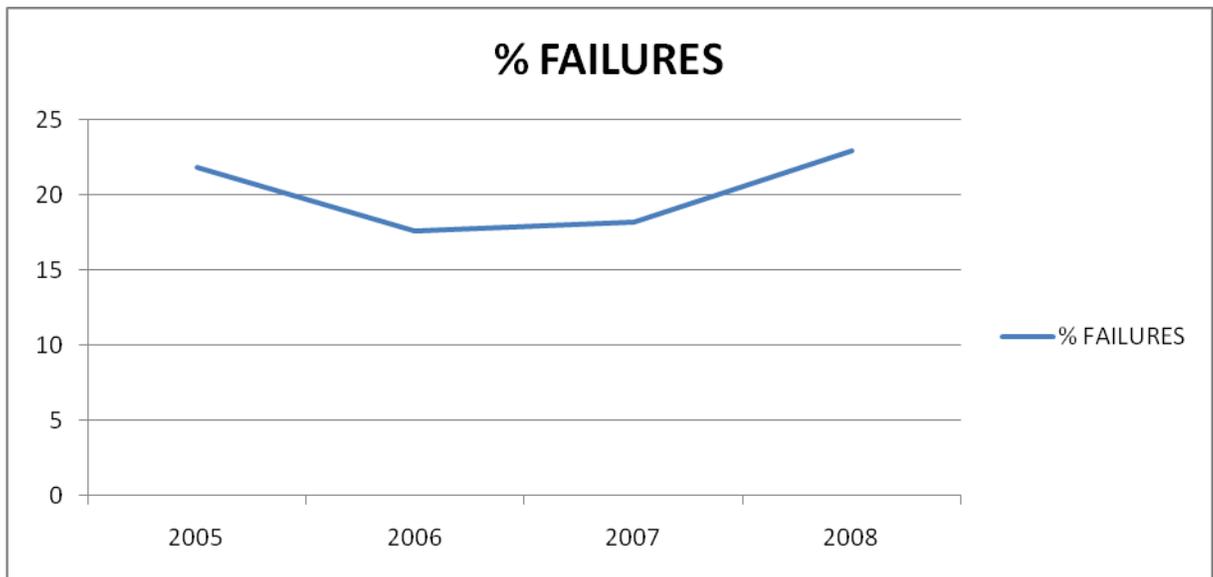
Work plans should be prepared to provide a basis for the release of funds for inspections.

## CHAPTER 1

### **INTRODUCTION**

#### **1.1 Motivation**

This audit was motivated by the declining standards in schools in the country. The Primary Leaving Examination results indicate that the failure rate increased from 17% in 2006 to 22% in 2008. Legislators, while debating the Education Bill, expressed concern that education standards in rural areas had greatly declined due to “poor inspections.” [www.parliament.go.ug](http://www.parliament.go.ug) (October 2008).



**Source:- UNEB released results.**

#### **1.2 Statutory Mandate**

The MOES has the mandate to develop the standards to be used as a measure of performance in all schools in the country and to inspect regularly to ensure that these standards are adhered to. This is in accordance with the provisions in the Education Act 1970 which has now been repealed by the Education Act 2008.

In July 2001, an independent agency, the Education Standards Agency (ESA), was formed to carry out school inspection activities. The agency was expected to operate as

an autonomous body, but the enabling legislation was never presented to Parliament for approval. In July 2008, following the enactment of the Education Act 2008, ESA was transformed into the Directorate of Education Standards (DES) in the MOES.

### **1.3 Vision**

The MoES Vision is: "*Quality Education and Sports for All.*"

### **1.4 Mission statement of ESA**

"To provide a rational system of setting, defining and reviewing standards and quality of education and sports and to monitor the achievement of such standards and quality to ensure continually improved education and sports in Uganda.'

### **1.5 Objectives of ESA**

The objectives of ESA are to:

- a) Develop guidelines for operations in educational institutions.
- b) Develop instruments and quality indicators for assessing standards.
- c) Inspect and support supervision.
- d) Report on the state of education and provide expert advice on education achievements.
- e) Develop learning competencies for lower primary.
- f) Develop quality indicators for School Management Committees, and Boards of Governors.

### **1.6 Financing**

ESA was funded mainly by the Uganda Government under MOES and through the 5% UPE capitation dedicated to primary school inspections at local Government level. In the three Financial Years under audit (2005/06 to 2007/08), the following amounts were expended by MOES and ESA.

**Table 1: Funding for inspection of schools for the period 2005/06 to 2007/08**

<b>Financial year</b>	<b>Expenditure of MoES (Ug Shs Billion)</b>	<b>Funding of ESA by MoES (Ug Shs Billion)</b>	<b>5%of UPE funds spent on inspection of schools (Ug Shs Billion)</b>	<b>Amount spent on inspection as a percentage of total MOES expenditure</b>
2005-2006	60.6	0.8	1.6	3.96%
2006-2007	109.7	0.7	1.5	2.01%
2007-2008	140.4	0.8	1.5	1.64%
<b>Total</b>	<b>310.6</b>	<b>2.2</b>	<b>4.6</b>	

**Source:** - Audited final Accounts, 2005/06 to 2007/08.

- UPE Capitation releases extracted from MOES planning section.

From Table 1, it was noted that there was a decline in the funding of inspection activities in the period under review, when compared to the trend of financing of the MoES. **Appendix A.** However, effective from FY 2008/09, the provision of the 5% UPE deducted for inspections ceased and the sector now has a shs.2.5 billion inspection fund for district inspection activities. These funds will be provided to the Districts in form of technical support and managed by the PS MOES.

## **1.7 Organizational Structure**

### **Headquarters**

The Ministry of Education and Sports is directly responsible for the setting of education standards and monitoring whether these standards are met as required. The body that managed this function for pre primary, primary, secondary and Business, Technical, Vocational Education and Training (BTNET) was ESA, for the period under review. The Director ESA reported to the Permanent Secretary. ESA had its headquarters at Kyambogo.

## **Regional Offices**

ESA had 4 Regional Offices situated at Mbale for the Eastern Region, Gulu for the Northern Region, Mbarara for the Western Region) and Mpigi for the Central Region. Each region was headed by a Chief Principal Inspector and had 10-12 specialized inspectors of languages, social sciences, mathematics, special needs and sports. The overall coordination of the Agency's operations, in terms of programs, advice and transmission of collated reports was done at the centre (HQ).

## **District Inspectors**

Each District has its own staffing establishment of School Inspectors. They are employed by the Local Government and report directly to the District Principal Inspector of schools, who, in turn, reports to the District Education Officer and Chief Administrative Officer(CAO). The Local Government Act 1997, section 97 and 98 and the Education Act, require District Inspectors to report to the MOES periodically.

### **1.8 Audit Scope**

#### **1.8.1 Audit objective**

The audit was conducted to establish if inspections are carried out and whether they help enhance the standard of education in schools and make recommendations to address the challenges.

#### **1.8.2 Audit Scope**

The audit was conducted on the Ministry of Education and Sports, with specific reference to the inspection of primary schools covering three financial years (2005/06 to 2007/08). The audit covered the DES headquarters at Kyambogo, the Regional DES Offices of Mpigi, Mbarara, Mbale and Gulu, Districts of Mpigi, Wakiso, Kayunga, Mbale, Mbarara, Bushenyi, Gulu, Masaka DA, Jinja, Gulu MC, Masaka MC and 49 schools within these districts.

## **CHAPTER 2**

### **2.0 METHODOLOGY**

The audit was carried out in accordance with the International Organization of Supreme Audit Institutions (INTOSAI) Auditing Standards and Guidelines as set out in the VFM Audit Manual of the Office of the Auditor General. Those standards require that the audit should be planned, in a manner, which ensures that an audit of high quality is carried out in an economic, efficient and effective way and in a timely manner.

Documentary reviews, interviews and field visits were used to collect data for the audit.

### **2.1 Documentary Reviews**

Documents were reviewed with the objectives of understanding the structures, systems, roles and responsibilities, funding, mandate, activities and functions of ESA and District Education Departments. It also helped to ascertain the extent of the inspections conducted so far.

The documents reviewed included:-

- i. Education Act, 1970
- ii. Education Act, 2008
- iii. Audited final accounts for FY 2005/06, 2006/07, 2007/08
- iv. ESA Consultancy report , 2000
- v. Handbook for school Inspectors
- vi. Guidelines for Stakeholders (Monitoring and Supporting Policy) 2005
- vii. Framework for school inspection
- viii. Local Government Act 1997 (Section 96 and 97)
- ix. Ministerial Policy Statements for FY 2005/06, 2006/07, 2007/08

## 2.2 Interviews

97 Interview sessions were held with the following officials:-

<b>Officers</b>	<b>Number</b>
Permanent Secretary MOE&S	1
Director of Education MOE &S	1
Commissioners	4
Assistant Commissioners	2
Director ESA	1
ESA staff	2
Chief Administrative Officers	11
District Education Officers	11
District Inspector's of Schools	11
Principal Inspector (Region)	4
Schools (Head-Teachers)	49
<b>Total</b>	<b>97</b>

The purpose of the interviews was to gather evidence on the type, scope, reporting mechanism and frequency of the inspections conducted.

## 2.3 Field visits

89 Field visits were carried out with the objective of confirming that inspections by districts and ESA were conducted; how often this was done and if the procedures laid down in the work plans and work sheets (including the draft manuals) had been followed. Field visits were also conducted to find out whether schools had implemented the recommendations made by Inspectors and whether the Inspectors made a follow-up on the implementation of the recommendations.

## CHAPTER 3

### 3.0 **SYSTEM DESCRIPTION AND INSPECTION PROCESS**

#### 3.1 **Roles and Responsibilities of Key Players**

- i. Permanent Secretary- Is the Accounting Officer and overall overseer of the implementation of Government policies- The permanent secretary ensures that the inspection function of the Ministry is functioning as designed and has a positive impact in improving the education standards in the country.
- ii. Director ESA - Responsible for setting, defining, monitoring and reviewing education standards for continually improved quality of education and sports provision in the country.
- iii. Directors and Commissioners MoES- These are the implementers and also ensure compliance at the national level.
- iv. Chief Administrative Officer- Accounting Officer and overall overseer of the implementation of Government policies in the District. The Chief Administrative Officer ensures that the inspection unit in the District is established and is functioning to help improve the quality of education in the District.
- v. District/Municipal Education Officer - The Head of Education Department in the District/ Municipal council and ensures that the inspection unit draws up plans for periodic activities and implements them to help improve the quality of education in schools in the District.
- vi. Governing Bodies – These include the school management committees, and the Board of Governors. They take a leading role in developing the school, by helping in governing the institutions ( monitoring all aspects of school finances) and ensuring compliance with the set standards. They also work with inspectors during school visits, as well as promote parental involvement in school activities.
- vii. Community leaders include LCs and religious leaders – They contribute by advocating for the importance of education, attending school meetings, requiring

accountability for government funds as well as liaising with inspectors on emerging issues in education.

- viii. Head Teachers - Heads of Schools and the implementers of the recommendations from the School inspectors.
- ix. Inspector of Schools - Makes work plans; Inspects the institutions; makes recommendations and follows up to check on responses to the recommendations. They also prepare reports on all work done.

Other roles of the inspector include the following:-

- a) To ensure the provision of quality education through inspection and monitoring.
- b) To assist in planning activities at district and regional level.

### **3.2 Inspection Process**

The purpose of inspection is to provide an independent and external evaluation of the quality of education being provided. The Inspection focuses on both the negative and positive aspects of the school performance. Inspectors also have a responsibility to identify, and disseminate models of good practice within a school and from one school to another.

The Inspection process includes:-

- planning for the inspection. This is whereby priorities for the inspection are set and inspection tools formulated;
- execution of the plan. This is whereby field visits are conducted to gather evidence on the extent to which standards have been met;
- reporting the findings from the field and making recommendations to assist schools make improvements.

The process description is detailed here below:-

#### **3.2.1 Planning**

Before inspectors go to the field they consider: setting objectives; selecting/sampling schools that are to be inspected; mobilizing and identifying resources; analyzing existing

data to assist them in planning, for example: previous years inspection reports and different schools' performance, drafting work plan. This is done before the various types of inspections described below are conducted.

## **TYPES OF INSPECTIONS**

Inspections are conducted at four different levels, as described below:-

### **i. National/ Full Inspection**

This is a comprehensive assessment of the teaching, learning, management and governance processes in an institution. It covers inputs, processes, outputs and outcomes. It is normally conducted by at least three people and may last for 7 days. The MoES is supposed to carry out National school inspections after every two years.

A full inspection report will be comprehensive and comments on all aspects of the school as a place of learning, namely: the state of the school, the state of the teachers, the physical facilities, the learning environment, the availability and use of instructional materials, the curriculum offered, the quality of teaching and learning process, the quality of leadership and management, the quality of school governance, the quality of community participation and support. These are set out in the ESA Handbook for inspection.

### **ii. Routine/ Short Inspections**

The routine inspections are partial inspections that focus on a limited number of predetermined aspects of a school. Each school should receive one short/routine inspection per term. They are conducted in small teams or by individual inspectors. These normally require specific focus data gathering instruments. The focus will often be dictated by the need to monitor new policy priorities, for example, Guidance and Counseling. It may also be motivated by a particular area of concern that has been identified. For instance, financial management, sanitation or/and literacy teaching.

**iii. Flying Visits**

A flying visit inspection is an adhoc / impromptu visit to a school that may last for less than an hour. An individual may stop at a school to make a quick initial investigation of a situation, for instance a collapsed building. 'Flying Visits' will normally not result in a detailed report but the inspector may draft a memo for immediate action. However, all these visits still have to be documented. An inspector will normally leave a note regarding the visit, in the school's visitor's book.

**iv. Follow up inspections**

This is normally a short inspection aimed at monitoring the implementation of the recommendations to a previous more extensive inspection and should be conducted within 18 months from the previous inspection. It is carried out in order to check compliance with recommendations.

**3.2.2 Execution of Inspection**

**i. Field Work**

During execution, evidence is gathered on the extent to which standards have been met. Evidence is gathered systematically from a variety of sources. Inspectors carefully gather sufficient data to ensure that their judgments are valid and representative of a school as a whole. Evidence is gathered in a way that is supportive and non-threatening. The evidence is based on an established set of quality indicators that reflects expected standards.

**ii. Making Judgments**

Before making a judgment, inspectors make sure that gathered evidence is sufficient. They weigh the evidence and decide which information is most relevant. As a general principle, the evidence most likely to impact directly on learning and performance is given a greater weight. The evidence gathered is compared against stated aims and descriptions of expected practice.

### **3.2.3 Reporting and Recommendations**

An inspection results in a written report. It outlines what a school is doing well and what it must do to improve. The report is an instrument by which an institution may be held accountable for its quality of delivery. An inspection is expected to make recommendations and advise regarding how to correct the identified weaknesses. The recommendations can then form the basis of a School Improvement Plan. Inspectors provide feedback immediately to the school management. Good practices are praised and criticisms are accompanied by recommendations for improvement.

After inspection the main form of documented feedback received by a school is the inspection report. An inspection report will be issued within the term when the inspection is completed. Where inspection has been carried out by Inspectors from the District Education Offices, the report is addressed to the District Education Officer (DEO) and copied to key stakeholders, including, among others: Governing bodies, Parents Teachers Associations (PTA) and the Head Teachers. If an inspection has been carried out by ESA, it is addressed to the Director ESA and copied to key stakeholders in Local Government and to individual schools.

### **3.2.4 Reporting Frequency**

An inspector is required to make a summary of observations immediately an inspection is done on the school. A copy of the summary of observations is left at the school. An individual school's report is prepared and sent to the school by the inspector detailing the observations made, the methodology used and the recommendations. At the end of the month each inspector makes a consolidated report of all schools inspected in the month to DIS, in the case of Local Governments inspectors, and to the Regional Head, in the case of DES inspectors.

The DIS and the Regional Principal Inspectors consolidate the individual inspector's monthly reports and submit to DEO for Local Governments, and to DES headquarters, respectively.

At the end of every quarter, DEOs, DISs and Regional Principal Inspectors consolidate the monthly reports into a quarterly report and submit them to the CAO, Social Service Standing Committee, for Local Governments and to DES headquarters, respectively.

At the end of the year, the DEOs, and the Regional Principal Inspectors consolidate the quarterly reports into annual reports and submit them to CAOs, Social Service Standing Committees, MOES, DES, for Local Governments and to DES headquarters, respectively.

DES headquarters consolidates monthly regional reports into quarterly and annual reports and submits them to MOES and other relevant stakeholders.

### **3.2.5 Schools Improvement Plan**

The responsibility of the inspector does not end with the delivery of the inspection report. Inspectors also have a responsibility to assist schools in developing and implementing development plans aimed at addressing the issues raised in the inspection report. A school improvement plan is a practical document that defines those activities which will be prioritized / focused on to make a direct impact on the quality of teaching and learning. Inspectors are required to make 'follow-up' inspections in order to assess progress and offer further assistance.

## CHAPTER 4

### 4.0 **FINDINGS**

The audit observations are outlined below:-

#### 4.1 **Legal Mandate of ESA**

ESA was expected to be the lead Agency in ensuring the delivery of quality education services nationally.

The inspection function by the MOES was being conducted by ESA during the period under review. ESA was intended to be an autonomous agency responsible for carrying out inspections independently and reporting its findings to the Permanent Secretary of MOES for approval and follow-up on issues raised. The agency was established in 2001 with the objective of developing guidelines and assessing standards for operations in educational institutions. ESA was, however, not given adequate mandate. The legal and operational status of the ESA remained undefined and the enabling legislation was never presented to Parliament for approval. We noted further that the ESA consultancy report of 2000 that was to help to establish the entity was never approved and the management only selected a few of the recommendations made to guide its operations. Consequently, in July 2008 (after the amendment of the Education Act 2008); ESA was re designated as one of the Ministry Directorates and its name changed from Education Standards Agency (ESA) to Directorate of Education Standards (DES).

The failure to give ESA autonomy was attributed to the improper procedures followed to give autonomy to the agency, which would require an Act of Parliament; but instead, a cabinet directive was used as a basis to form the agency.

In the absence of an Act of Parliament, the enabling laws and regulations to help the operationalisation of the entity were not developed thus weakening its performance as an independent Inspectorate arm of Government.

## **4.2 Staffing Levels**

ESA had an authorized establishment of 68 inspectors in 2007. However, at the time of audit in 2008, 37 posts (54%) were vacant. Details of vacant posts are shown in **Appendix B**.

Interviews with key stakeholders revealed that the problem of understaffing was caused by the inability of ESA to motivate and retain its staff.

The resultant high inspector – school ratio at the national and regional levels made it practically impossible for ESA inspectors to regularly inspect all the schools, monitor and coordinate the district inspections.

## **4.3 Inspections in Primary Schools**

### **i. Full Inspections**

The Handbook for School Inspectors (Monitoring and Supporting Policy), requires a full inspection to be carried out once a year in every school.

### **ii. Short/Routine Inspections**

The Handbook for School Inspectors (Monitoring and Supporting Policy), also requires that District Inspectors should develop a plan of action to ensure that every school receives one short inspection per term.

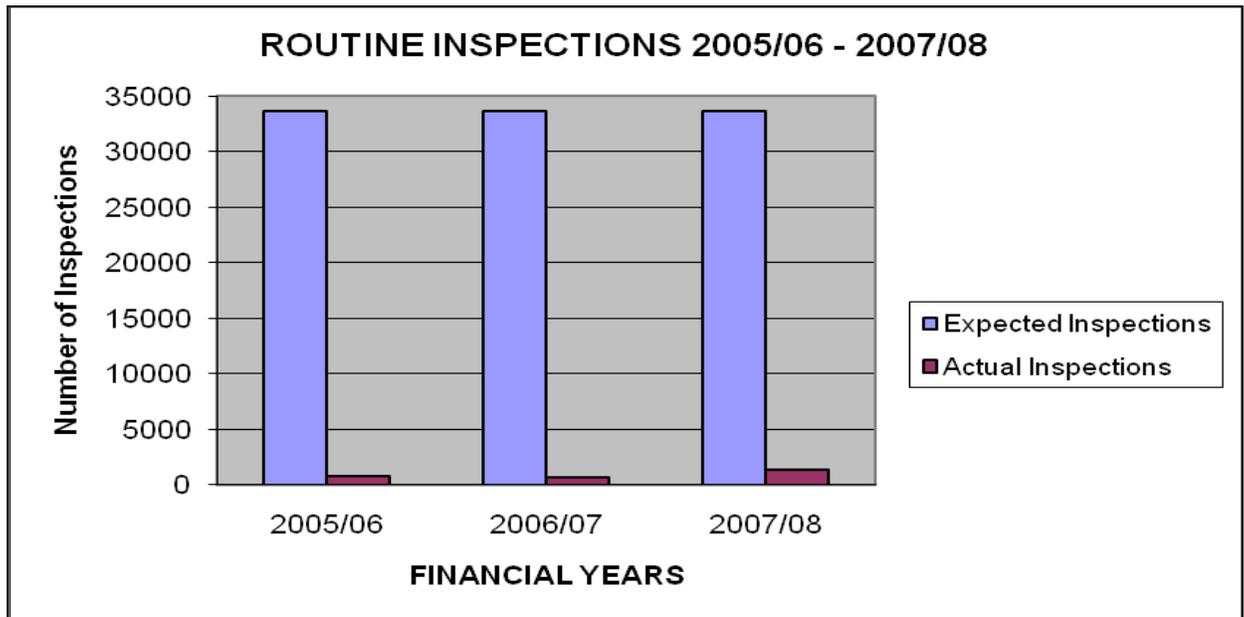
### **iii. Follow-up Inspections**

As a follow-up initiative, the Handbook requires that once an inspection has been conducted, inspectors should conduct follow-up visits within 18 months to assist schools in implementing the recommendations and monitor their progress.

The audit revealed that short inspections were conducted in only 11% of the 49 schools visited. Furthermore, the districts visited had a total of 3,740 primary schools as shown in **Appendix C**. Using the criteria of having 3 inspections per year per school, there should have been 33,660 inspections conducted per year. However, the review of

individual, quarterly and annual reports in those districts revealed that 787(2%) inspections were made in 2005/2006, 657(2%) in 2006/07 and 1366(5%) in 2007/2008. A graphical presentation is shown in Graph 1.

**GRAPH 1- EXPECTED AND ACTUAL ROUTINE INSPECTIONS**



**Source: OAG analysis of routine inspection reports**

In regard to follow-up and full inspections, we noted that no such inspections were carried out in all the 9 districts visited.

Furthermore, of all the 49 schools inspected, we found that despite 185 routine inspections and 134 flying visits having been carried out in these schools during the period under review, inspection reports were not presented for verification. The only entities which had reports were Gulu Municipal Council which had 18 routine inspection reports i.e. (9.73%) and 22 flying visits (inspection) reports (16.42%) and Jinja district whose inspectors had 33 flying inspection reports.

Irregular inspections were attributed to low staffing levels of inspectors, inadequate supervision and monitoring of inspectors and also inadequate provision of logistics to carry out the inspections.

Respondents from the interviews conducted indicated that inadequate inspections resulted into laxity in attendance by both teachers and pupils resulting in high levels of absenteeism among the teachers and pupils, conflicts in schools, teachers' underperformance and low syllabus coverage hence poor performance in schools.

#### **4.4 Dissemination of Inspection Findings and Reporting Frequency**

An inspector is required to make a summary of observations immediately an inspection is carried out and to leave a copy at the school. From this, a consolidation of reports is made into monthly, quarterly and annual inspection reports which are distributed to stakeholders.

According to the School Inspectors' Handbook, the Education Officer In-charge of Education in the Local Government is supposed to prepare and provide quarterly inspection reports which are consolidated into half-yearly and annual reports and disseminated to the Chief Executive and Council standing committees on Education.

The Chief Executive Officer is supposed to give out copies to ESA Headquarters, ESA regional offices and MOES. These reports are intended to provide input in policy formulation and planning at national level and data to the inspection data bank.

Districts and municipalities did not adequately prepare annual and quarterly reports as required above. Mbale district, having prepared 3 annual reports and 8 quarterly reports (2, 2 and 4 in 2005-2006, 2006-2007 and 2007-2008 respectively), is the only district out of 11 districts and municipal councils visited that prepared all annual and some quarterly reports on the inspections carried out, representing 9% of the districts and municipal councils visited. Details of inspection reports from all districts are shown in **Appendix D**. Only two of the eleven districts and Municipalities visited (18%) prepared annual reports to the executive over the period under review. These were Mbale (3 annual reports) and Mbarara (2 annual reports). No DES regional office prepared quarterly reports.

This was attributed to Inspectors' failure to carry out any inspections thus making it impossible to prepare reports when inspections have not been done; and lack of awareness of the requirement to prepare these reports.

In the absence of these reports, MOES may formulate policies on schools without adequate information from the majority of the schools.

#### **4.5 School Improvement Plan**

According to the Framework for School Inspectors developed by ESA, inspections are supposed to culminate into the production of a School Improvement Plan (SIP). It is the responsibility of the CAO, DEO, CCT, in liaison with DIS and Head teachers to assist schools in developing and implementing improvement plans aimed at addressing issues raised in the inspection report.

In all the schools visited, none had prepared a School Improvement Plan.

Schools had not prepared school improvement plans because head teachers lacked the skills to prepare them and, in addition, they had not been guided by the inspectors. 73% of the schools visited, reported that inspectors had not guided them on how to prepare SIP at the end of the inspection process.

In the absence of a SIP, the follow-up on recommendations becomes difficult.

#### **Management response**

**According to DES, one of the major steps in the development of a SIP is evaluation (both internal and external) in order to identify key areas of strength and weakness; and what needs to be done for improvement. While external evaluation is provided by inspection, internal evaluation is done by the school community (DES developed and disseminated Self – Evaluation Tools to this effect). There are also other responsibility centers e.g. CCT, DEO, DIS, and Head teachers who should also be held accountable.**

#### **4.6 Monitoring and Evaluation of Inspectors**

The Handbook for School Inspectors (Monitoring and Supporting Policy), requires District and Municipal Councils to develop an action plan for districts and municipal councils to monitor and evaluate the performance of inspectors annually.

Although 48% of DEO's and chief executives interviewed stated that inspector's performance was evaluated through a review of inspection reports, there was no evidence to confirm that inspectors were monitored and evaluated.

This was caused by lack of awareness on what is required of DEOs and CAOs to enable the enforcement of such procedures.

In the absence of proper monitoring and evaluation, weaknesses in the inspection process remained undetected.

#### **4.7 Inspection Work Plans**

The Handbook for School Inspectors (Monitoring and Supporting Policy), requires District Inspectors to develop annual and quarterly work plans to ensure that every school receives one short inspection per term.

We noted that 64% of Districts and Municipal Councils visited had prepared the annual work plans while 36% had not. 29% of those with annual work plans had not broken down their work plans into quarters . Details shown in **Appendix E**.

The explanation given by the Inspectors for failure to prepare work plans was that inspection activities depend more on the amount of money made available by Local Governments and ESA regional offices. However, from our point of view, failure to prepare annual and quarterly work plans was due to the laxity of inspectors.

Inspections could, therefore, not be carried out in a planned manner in the absence of approved work plans.

### **Management Response**

**However, according to the Ministry of Education and Sports, whereas it was a big challenge during the period under review, the MOES registered marked improvement since the financial year 2008/09. With the institution of the “ Inspection Cycle” and new Guidelines, the MOES hopes for a better performance.**

#### **4.8 ESA Monitoring Quality of Service Provided by District Inspectors**

The Handbook for School Inspectors (Monitoring and Supporting Policy), required District Inspectors to work with ESA in partnership and collaboration. In addition, ESA had the responsibility for monitoring the quality of service provided by Inspectors at District level and building their capacity as provided by the Local Government Act of 1997, section 97 and 98.

There was limited supervision or monitoring by ESA in the Local Governments during the period under review. In addition, the evidence availed shows that there was very limited formal interaction between the ESA and the district inspectors in form of workshops, joint inspections or meetings during the period.

This was attributed to lack of monitoring capacity by ESA in terms of personnel, funding and logistics to enable the monitoring to reach the desired levels.

Limited partnership and collaboration between ESA and District Inspectors has affected the quality of service in inspections. The benefits that could have been derived from the joint efforts could not be realized and, therefore, the policies made by ESA for national development may not consider the findings from the district inspections.

### **Management response**

**DES attributed these shortcomings to the challenges stemming from inadequate authority to deal directly with the District/Municipal Inspectors of schools in accordance with the Local Government Act 1997. ESA, however,**

**conducted capacity building activities and joint inspections, where Local Government Inspectors are brought on board using the Associate Assessors Model. ESA also instituted a District Focal Officer System for ease of coordination, partnership and collaboration.**

**According to DES, Primary Education is a decentralized service (Local Government Act 1997). Whereas DES has a role to play, the biggest responsibility lies mainly on the Local Government Inspectors of Schools.**

## CHAPTER 5

### 5.0 **CONCLUSIONS**

#### 5.1 **The Legal Mandate of ESA**

The absence of the enabling law at the time had a negative impact on the strategies designed to achieve the vision, mission and objectives of ESA which may have led to the decline in the education standards in primary schools.

#### 5.2 **Staffing Levels**

With a low staffing level, the operations of the Unit could not have been conducted at desired levels since a number of schools were not inspected thus leading to poor education standards in schools.

#### 5.3 **Inspections In Primary Schools**

The objectives of the inspections could not be attained in the event of inadequate inspections.

#### 5.4 **Dissemination and Frequency of Reporting Inspection Findings**

In the absence of monthly, quarterly, half yearly and annual inspection reports, policy makers at the national level lacked the input of such reports from local governments to provide an input in planning and policy formulation.

#### 5.5 **School Improvement Plan**

In the absence of SIP, subsequent inspections will have no basis of measuring the improvements made and the schools' administrations may fail to mitigate the ever increasing challenges; and thus decline in the overall standards in schools.

## **5.6 Evaluation and Monitoring of Inspectors**

In the absence of the required level of awareness of the evaluation process, the identification of weaknesses and strengths in the inspection process, which is critical in planning, implementation and reporting by inspectors cannot be done. The quality of the inspections done may therefore not measure up to the desired standards. The quality of education in the country and the minimum standards in schools would continue to be poor.

## **5.7 Inspection Work Plans**

Coordinated and comprehensive inspections are not possible in the absence of approved work plans.

## CHAPTER 6

### **RECOMMENDATIONS**

#### **6.1 The Legal Mandate of ESA**

- It is noted that the Education Act 2008 transformed ESA into a Directorate of Education Standards in the MOES. The legal status of the directorate is now defined and clear.

#### **6.2 Staffing Levels**

- For effectiveness in service delivery, DES should request to carry out a comprehensive human resource audit to meet the requirements from the ever increasing number of schools in the country. The current establishment is based on the 2001 consultant's report whose considerations could have been overtaken by events. The MoLG, MoES and DES through the Ministry of Public Service, and the districts should advocate for the recruitment of adequate inspectors to ensure that the number of inspectors is in tandem with the population of schools.
- In addition, MOES should put systems in place to motivate and retain the inspectors.

#### **6.3 Inspections in Primary Schools**

- DES should regularly conduct workshops and seminars for all its staff, district inspectors and administrators to remind them of their roles in improving education standards so that planning and carrying out inspection on schedule becomes a habit. This would also enable continuous professional development of the inspectors.
- The Directorate should prepare and have a strategic plan for school inspections which should be properly costed. The strategic plan should have short, medium and long term strategies on improving inspections in schools in the country. Once

the strategic plan is adapted, it should be reviewed annually and action points drawn to enable the achievement of the strategy.

#### **6.4 Dissemination and Frequency of Reporting Inspection Findings**

- Inspectors should provide an immediate feedback to every school inspected and an inspection report shortly after inspection.
- DES should compile and disseminate regular reports on the quality of education and the state of education standards to relevant stakeholders. This is the core objective for which the department exists therefore efforts should be made to ensure that the information given out is comprehensive and represents the population.
- DES should make it mandatory for inspectors at all levels (district, regional offices and DES headquarters) to prepare monthly, quarterly, bi-annual and annual inspection reports. These reports should be consolidated at the regional level as well as at the headquarters. Cross-cutting issues and those demanding the action or the attention of the stakeholders should be clearly highlighted in these reports.
- DES should create a data bank for all its inspection reports for easy storage and retrieval.

#### **6.5 School Improvement Plan**

Head teachers should be trained and guided by the inspectors on how to develop SIPs.

#### **6.6 Evaluation and Monitoring of Inspectors**

- DES, through the Ministries of Education and sports, and of Local Governments should develop operational guidelines for evaluating and monitoring inspectors. This will be in line with the Local Government Act of 1997, section 97 and 98 which gives powers to the DES to monitor and evaluate inspectors of districts.
- DES should train and equip district administrators with the skills of measuring the performance of inspectors.

- Evaluation and monitoring of inspectors should be done at specified intervals and should be properly documented. These intervals should be regular to improve inspector's performance.
- Other key players in the primary school inspection system should be held accountable for their omissions or commissions. The directorate should liaise with District authorities to adapt results oriented methods of management.

### **6.7 Inspection Work Plans**

The Directorate, together with the District inspectors, should develop annual and quarterly work plans to ensure that every school is inspected during the term and put control measures to ensure that work plans are prepared.

John F. S. Muwanga  
**AUDITOR GENERAL**

**KAMPALA**  
**26<sup>TH</sup> MARCH 2010**

## APPENDICES

### APPENDIX A: UPE Capitation releases :

Financial year	Releases (Ug. Shs)	5% UPE Equivalent for monitoring (Ug. Shs)
2005/06	32,498,445	1,624,922.25
2006/07	30,761,651	1,538,082.55
2007/08	30,262,462	1,513,123.10

**Source: MOES Planning unit**

### APPENDIX B: Establishment of ESA staff

Post	Establishment	Filled	Vacant
Principal Inspector	04	03	01
Senior Inspector	04	02	02
Senior inspector TE	04	00	04
Senior inspector BTVET	04	02	02
Senior inspector Special Needs Education.	04	01	03
Senior inspector Career Guidance & Counseling	04	01	03
Senior inspector Physical Education	04	01	03
Senior inspector Languages	04	01	03
Senior inspector Maths & Computer	04	04	00
Senior inspector Social Sciences	04	00	04
Senior inspector Science	04	02	02
Senior inspector Arts	04	01	03
Senior inspector English Language & Literature	04	03	01
Inspector Secondary	16	10	06
Clerical officer	04		04
Secretaries	04		04
Drivers	08		08
Office Attendant	04		04
<b>Total</b>	<b>88</b>	<b>31</b>	<b>57</b>

**Establishment for inspectors = 68**

**Filled posts for inspectors = 31**

**Vacant posts for inspectors = 37**

\*Source: The establishment as in the status report on education standards Agency (ESA) 2007

### APPENDIX C

**A table showing short inspections done by district inspectors in primary schools for the period 2005/06- 2007/08**

	District	Primary schools in the district	Expected inspections (no of schools *3times per year) *3 terms a year.)			Schools inspections made		
			JUNE-2008	2005/06	2006/07	2007/08	2005/06	2006/07
<b>1</b>	<b>Mpigi</b>	519	4671	4671	4671	5	0	19
<b>2</b>	<b>Wakiso</b>	1044	9396	9396	9396	0	16	53
<b>3</b>	<b>Kayunga</b>	277	2493	2493	2493	0	0	35
<b>4</b>	<b>Mbale</b>	149	1341	1341	1341	71	56	78
<b>5</b>	<b>Mbarara</b>	320	2880	2880	2880	142	165	441
<b>6</b>	<b>Bushenyi</b>	586	5274	5274	5274	200	214	101
<b>7</b>	<b>Gulu</b>	117	1053	1053	1053	328	77	199
<b>8</b>	<b>Gulu mun.</b>	37	333	333	333	36	31	37
<b>9</b>	<b>Masaka DA</b>	425	3825	3825	3825	0	73	348
<b>10</b>	<b>Jinja</b>	213	1917	1917	1917	0	0	35
<b>11</b>	<b>Masaka MC</b>	53	477	477	477	5	25	20
	<b>TOTAL</b>	<b>3740</b>	<b>33660</b>	<b>33660</b>	<b>33660</b>	<b>787</b>	<b>657</b>	<b>1366</b>

**APPENDIX D****Inspection reports to CAO and council.**

<b>District</b>	<b>Annual</b>	<b>Quarterly</b>		
		<b>2005-2006</b>	<b>2006-2007</b>	<b>2007-2008</b>
<b>Mbale</b>	3	2	2	4
<b>Mbarara</b>	2	0	0	0
<b>Bushenyi</b>	0	0	0	0
<b>Gulu</b>	0	0	0	0
<b>Gulu MC.</b>	0	0	0	0
<b>Masaka DA</b>	0	0	0	0
<b>Jinja</b>	0	0	0	0
<b>Masaka MC</b>	0	0	0	0
<b>Mpigi</b>	0	0	0	0
<b>Wakiso</b>	0	0	0	0
<b>Kayunga</b>	0	0	0	0

## APPENDIX E

### Districts with Inspection work plans for the entities audited.

District	Annual	Quarterly			%age Coverage
		2005-2006	2006-2007	2007-2008	
Mbale	3	4	4	4	64%
Mbarara	3	4	4	4	
Masaka	3	4	4	4	
Jinja	3	4	4	4	
Wakiso	3	4	4	4	
Gulu	3	0	0	0	29%
Kayunga	3	0	0	0	
Mpigi	0	0	0	0	36%
Masaka MC	0	0	0	0	
Gulu MC	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	
Bushenyi	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	