

Part 3 - Evaluation

Scoring
Assessors to complete after on-site visit

Question	Asset Management Section	Awareness			
		Basic	Elementary	Progressing	Advanced
		1	2	3	4
Understanding and Defining Requirements					
1	Asset Inventory Data	The local government understands the need to collect asset data and may have started to collect it.	Basic physical information (e.g. location, size, type) is recorded manually or electronically in a spread sheet. The date and time of collection, who it was collected by and how is also recorded. All assets are valued by historical book value.	In addition to physical information, information such as replacement costs, approximate age, asset land value, etc is also gathered. Assets are classified by groups, classes, service provided, by holder or a combination thereof. The asset inventory should specify where land holds natural resources, monitor condition and design and implement plans for protection, inspection and maintenance of natural assets. There is a clear person responsible for overseeing	Complete and accurate data is available for all assets, including new assets. Data is easily accessible to all who require it. There is a high level of confidence in critical asset data. Valuation of all assets is based on market value, in-use value or replacement cost. Data validation is undertaken on a defined, periodic basis.
2	Asset Performance	Asset condition and performance are understood may not be quantified or documented.	Asset condition, use, and/or suitability data and information are gathered and used to monitor asset performance.	Condition and performance information is used to plan maintenance and renewals over the short term.	Condition and performance information is used to estimate future demand and long term needs.
3	Levels of Service	The local government recognises the benefits of defining levels of service but they may not be documented or quantified.	Basic levels of service have been defined and agreed. Customer needs are understood for critical assets. Measures are taken to ensure equal access for all.	Levels of service and appropriate performance measures are in place covering a wide range of services for most assets. Customer needs are analysed and levels of service determined on a needs, gender and affordability basis..	The cost associated with meeting higher level of service is understood and used in financial planning.
4	Forecasting Demand	Future demand is considered but may not be documented or quantified.	Estimates of future demand are based on staff experience and knowledge.	Estimates of future demand are documented based on historic trends and population growth estimates.	Estimates of future demand are used in asset management planning to best meet future needs.

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Lifecycle Decision Making					
5	Decision Making	Asset management decisions are based largely on staff judgement and vary with the individual manager.	Formal decision making techniques (e.g. using cost/benefit analysis) are used by some managers.	Formal decision making techniques (e.g. using cost/benefit analysis) are used and consistently applied to major projects and programs.	Community planning and strategic priorities of the local and national government are incorporated into decision making and considered by all managers.
6	Operational Planning	Operating and maintenance decisions are made by each individual manager on an as-needed basis.	Operating procedures are established and documented for critical assets and specific staff are assigned to manage the operations.	Operating procedures are established and documented for all major asset categories, with accountable staff in place.	Operating procedures are established, staff is assigned, and operations are tracked to ensure service levels are met.
7	Capital Planning	Most capital investments are done on an as-needed basis and funds are available.	Capital investment projects are identified during an annual budget process.	There is a schedule of the major proposed capital projects and associated costs for the next 3-5 years, based on staff judgement of future requirements.	There is a complete schedule of proposed capital projects for the next 3-5 years. A prioritisation framework is used to rank the importance of capital projects.
8	Financial Planning	Financial resources are hard to identify and predict, and vary a lot from year to year so the current financial focus is on current operations rather than long term planning and asset values. Accounting is 'cash-based'.	Financial planning is largely done through an annual budget process based on previous experience and broad assumptions about the future. Accounting is 'accrual-based' and corresponds to national regulations and international standards.	In addition to an annual budget, 3-5 year financial forecasts of asset revenue, costs and expenses are made. The financial reporting fully compatible with the asset inventory system. The financial management and reporting transparent and timely.	Financial forecasts (3-5 years) are done based on well-reasoned assumptions/reliability factors. Managers know what resources they have available to operate and upgrade the assets under their control. Audits occur annually and include the financial management and reporting of municipal assets.

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9	Sustainability	The need for sustainable service delivery is understood by policy makers but may not be considered in decision making by local government staff.	The need for sustainable service delivery is understood by policy makers and local government staff consider it in decision making.	Policies (such as a climate change adaptation, sustainable development) are in place related to sustainable service delivery for critical assets, but decisions are not always consistent with the policies. Measures are in place that recognize the importance of natural resources (municipal forests, lakes, river basins) for municipal climate change adaption and mitigation.	Sustainable practices are a high priority for both staff and policy makers. Policies adopted by local government are widely understood and provide clear direction on how the local government will achieve sustainable service delivery. Policies are a regular reference for guiding decisions.

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Asset Management Enablers					
10	Asset Management Leadership and Teams	The local government recognises the benefits of an asset management function within the local government, but has yet to implement a structure to support it.	The local government recognises the benefits of an asset management function within the local government, and are working towards implementing a structure to support it.	Asset Management functions are performed by some departments and roles reflect asset management responsibilities, e.g. position descriptions and duties for operations staff.	There is ownership and support of asset management by local government leaders. Asset management responsibilities are co-ordinated across the organisation.
11	Asset Management Policy and Process	The local government has an awareness of the need to formalise asset management policies and processes.	Policies and processes are in place for management of critical assets.	Asset Management Plans containing basic information on assets, service levels, planned works and financial forecasts (3-5 years), and future improvements are being developed.	Asset management policies, processes and plans are aligned to community needs, financial plans and resources.
12	Asset Management Information Systems	Asset information is stored but not systematically or easily accessible.	Asset information is tracked systematically, either manually or in a spreadsheet. The local government has the intention to use the data to support decision making.	The asset management information system can record core asset data, e.g. size, material, location, age, etc. Asset information reports can be generated for various needs.	The asset management information system also captures performance data and enables some standardised electronic reporting.-There may be additional cpabilites such as a spatial relationships (GIS).
13	Service Procurement	Individual manager procures services based on their individual best judgement.	Standard processes are in place for procuring services across key departments.	Procurement policy in place. Competitive tendering practices are applied to some services.	Risks, benefits and costs of various outsourcing options have been considered and determined. Competitive tendering practices applied with integrity and accountability.
14	Transparency	The local government is committed to transparency in its operations.	Some local government information is accessible to the public.	Local government information including decisions, audited financial statements, policies and processes, etc are accessible to the public but may not be current.	There is community involvement in decision making and consistent application of asset management policies and procedures. Local government information including decisions, audited financial statements, policies and processes, etc are current and easily accessible to the public.

Part 3 - Evaluation

Scoring
Assessors to complete a

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		Comments	Assessor Score	Target Score	Reason for scores	Evidence to support score
Understanding and Defini						
1	Asset Inventory Data	Approximately 80% of assets have been entered - this was done by a consultant but there was no data QC or QA. Condition inspections done by engineering but no evidence of data being entered into Asset Management system at this point. There is motivation to use Asset Management system.			Basic data is collected and recorded including: asset value & depreciated value, year of construction, location using the new Asset Management system. It was previously collected manually and logged into the Fixed Assets Register. The purchase cost or cost of construction is used for the asset value not the market value. Asset Management system has a data structure that allows for asset classification and reporting options.	Review of Asset Management system and Asset Registers Inventories provided
2	Asset Performance	Assets are valued every three years but inspections only conducted when work is required.			No inspection process - reactive not proactive and thus not used to inform future work.	Discussions in meeting, review of Asset Management system
3	Levels of Service	Garbage trucks were identified as a critical asset. Garbage collection twice/week for fee. Levels of services defined by the government for health and education e.g. student/teacher ratio - difficult to meet due to lack of funds to build more classrooms.			LOS defined for three categories of assets, only one of which is under control of the city. Importance of garbage collection identified in strategic overview (Part 1) but no evidence of incorporating user needs e.g. why is it 2 days/week?	Government documents. No evidence seen of LOS for garbage collection or assessment of customer needs.
4	Forecasting Demand	There has been some thought on this. Do have goals from national Vision 2025. Are establishing a satellite town to deal with demands for services but do not have figures to back up or understand what demand is - understanding and projection is based on experience.			There is no use of data e.g. population growth, historic demand for services, to back up demand or understand what it may be. The city is aware of tourism impact - it is limited.	Limited evidence to support other than copy of Vision 2025.

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Lifecycle Decision Making						
5	Decision Making	Decision making is grassroots based or reactive with Council having final say. No formal methods in place. Not many major community driven projects are undertaken based on OSR due to limited funds. PO-RALG does provide some direction on national projects and will 'fence' funding accordingly.			Grassroots approach is part of culture. Limited funds within Council control i.e. not targeted from national level. There is room for improvement within the current system.	No documented process or guidance.
6	Operational Planning	Operational planning is reactive with the exception of vehicles where they try to follow recommended maintenance schedules. No documented roles & responsibilities or operational plans for any assets.			Current level is basic - no plans or budgets. Asset Management system has the potential to help in this area with maintenance module. Garbage trucks are new (TSCP funded) so there is incentive to keep them in good condition.	Discussions in meeting, review of Asset Management system
7	Capital Planning	Budgeting is always done on an annual basis from the grassroots for community assets and from user departments for Council assets.			Capital planning is annual exercise. Challenge is getting community to think long term. There is potential to try capital planning with Council assets such as vehicles. This links to operational planning - if this can be done at a basic level then the data can be used to support capital planning. Perhaps schools can be used as a trial within the community to understand how to project classroom demand and capital requirements.	No annual plans or budgets were presented.
8	Financial Planning	There appears to be an longer term 3-5 year financial plan but this was not shown (we didn't ask to see it) that is based on educated guesses for revenue forecast. Budget from OSR is allocated into capital expenditures, women & youth and current (operations) expenditures. Capital grants (national government) are conditional and ca not be counted on for amount requested.			Financial planning done through annual budget process. Asset Management system and LGRCIS are tools that can be used to track local revenue and thus provide data that can be used for financial planning. This is an area where improvement should be easier to achieve.	Asset Management system tool was reviewed but budget was not provided.

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9	Sustainability	There are no initiatives.			Given other needs, this is a lower priority and needs thought to identify simple sustainable initiatives that will not draw resources away from other key initiatives.	Nothing needed.

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Asset Management Enablement						
10	Asset Management Leadership and Teams	There is limited awareness - asset management is viewed as a financial exercise to value assets and track them.			Despite limited awareness, there is a willingness and basic understanding of the potential. Simple measures can be taken to start promoting an asset management culture within the city.	Nothing needed.
11	Asset Management Policy and Process	There are no policies & processes			Despite limited awareness, there is a willingness and basic understanding of the potential. Simple measures can be taken to define asset management beginning with creating a simple asset management policy that defines what asset management is, what comprises an asset, basic responsibilities.	Nothing needed.
12	Asset Management Information Systems	Asset Management system has been developed for use under the TSCP. Roads and other assets have their own systems. Assets were being tracked in registers previously. There are challenges with Asset Management system as the data quality has not been verified and there are no controls on entering new asset categories that mirror existing categories.			All of assets have been entered into Asset Management system but use is limited to the inventory function at the moment. Reports can be generated. Asset Management system is not being used to its capacity and there are major issues with data QA and QC.	Asset Management system tool was reviewed.
13	Service Procurement	The system as presented is quite thorough and appears transparent.			National procurement policy and act. Evidence of competitive tendering.	National Procurement Act
14	Transparency	Monthly reports (e.g. financial) are produced but no evidence of website. Councillors disseminate information through Ward system to community Townhalls. What is available is accessible to the public & community is involved in decision making.			There is evidence of transparency or attempts at transparency. Could not find website without great difficulty. www.supertown.ug	No reports were shown.