



THE REPUBLIC OF UGANDA

THE UGANDA PUBLIC SERVICE REWARDS AND SANCTIONS FRAMEWORK

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**Ministry of Public Service
P.O. Box 7003
Kampala**

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Preface

The Ministry of Public Service under CSI No. 1 of 2011, issued the Rewards and Sanctions Framework to guide the Service in managing the process of rewarding excellence and sanctioning under performance.

The Rewards and Sanctions Framework, 2019, is a revision of the previous Framework, aimed at promoting and supporting a strict Performance Management regime that espouses accountability, responsiveness and service excellence in the Public Service. The Framework is designed to promote positive attitude and appropriate behavior amongst Public Officers, and motivate full effort to the achievement of the intended objectives, hence, enhancing productivity.

The Public Service has overtime been criticized for having a weak Performance Management regime. This Framework provides guidance on Rewards Management and application of Sanctions in the Public Service. It is aimed at addressing the challenges in the application of Rewards and Sanctions, with the intention of establishing a basis for rewarding exemplary performance, administering sanctions for poor performance, and upholding the image of the Public Service.

This Framework has been developed through a consultative process involving Public Officers and Stakeholders both in the Central Government Ministries and Local Governments.

As Responsible Officers you are enjoined to ensure that Public Officers conform to this Framework. They are also urged to plan, and make Budgetary provision for the implementation of the Framework. This is brought to the attention of the Public Officers under their jurisdiction.



Catherine Bitarakwate Musingwiire (Mrs.)
PERMANENT SECRETARY

Operational Definitions

For purposes of this Framework; and; unless the context otherwise requires, the following Words, Phrases or Terms will have the meaning shown against them: -

Accounting Officer	“Accounting Officer” means a person who is— (a) designated or appointed in writing, as Accounting Officer, by the Secretary to the Treasury, to be responsible for a vote; or (b) appointed as Accounting Officer under an Act of Parliament or under an instrument of appointment made under an Act of Parliament, to be responsible for a vote;
Culpable behavior	Negative behavior which an employee is in control of, and for which s/he may be held responsible.
Committee	The Rewards and Sanctions Committee.
Framework	The Rewards and Sanctions Framework.
Government	The Government of Uganda.
Interdiction	Temporary removal of a Public Officer from exercising the duties of his or her Office while investigations over a particular misconduct are being carried out.
National Rewards and Sanctions Committee	A Rewards and Sanctions Committee appointed by the Head of Public Service.

Non-culpable Behavior	Negative behavior which an employee is not in control of; and; for which s/he may not be held responsible.
Public Service	Service in a Civil Capacity of the Central Government or of a Local Government, emoluments of which are drawn from the Consolidated Fund.
Public Officer	Any person holding or acting in an Office in the Public Service.
Public Office	An Office in the Public Service.
Reward	Something given in recognition of a service rendered, good or desired behavior, merit earned, or attainment of required targets.
Sanction	A penalty or punishment for unworthy behavior, or measures taken to enforce adherence to established Systems, Procedures, Rules or Conduct.
Service Commission	A Commission established by the Constitution or by law, for purposes of carrying out the delegated functions of the Appointing Authority.

Responsible Officer: The Permanent Secretary of a Ministry or a Department under which the Officer is serving; or Head of Department as defined in the Public Service Act, or Chief Administrative Officer or Town Clerk of a Local Government.

The Responsible Permanent Secretary: The Permanent Secretary of the Ministry responsible for the Public Service

Acronyms/ Abbreviations

CAO	Chief Administrative Officer
CSI	Circular Standing Instruction
LG	Local Government
LLG	Lower Local Government
MDA	Ministry, Department or Agency
MOLG	Ministry of Local Government
MOPS	Ministry of Public Service
OAG	Office of the Auditor General
PFMA	Public Financial Management Act
PS	Permanent Secretary
PSST	Permanent Secretary/ Secretary to the Treasury
ROM	Results Oriented Management
R&S	Rewards and Sanctions
TC	Town Clerk

CHAPTER ONE

1.0 INTRODUCTION AND BACKGROUND

The Government of Uganda has over time implemented various Public Service reforms aimed at providing efficient and effective services to the citizens of Uganda. Key among the reform initiatives in the Public Service was the introduction of Performance Management Systems based on Results Oriented Management (ROM) and the subsequent supporting initiatives which include; Performance Agreements, Open Performance Appraisals, Rewards and Sanction Framework, 2011; and; Framework on the Management of Absenteeism. All the above initiatives were aimed at establishing a performance management regime and promoting accountability in the Public Service.

The implementation of the above Performance Management Initiatives experienced challenges related to poor enforcement mechanism, incapacity, lack of Senior Management commitment in MDA/LGs among others. In order to successfully implement the Performance Management Initiatives in the Public Service, there is need to restore Public Service core values and create behavioral change.

This calls for strengthening the capacity of the various Institutions to effectively execute their mandates and improve compliance with the Policy and Legal Regime/Framework.

Maintenance of a robust performance management culture in the Public Service calls for a deliberate mechanism to ensure continuous improvement which does not only address performance gaps through training and non-training interventions, but also

implements a Rewards Management System and application of Sanctions that motivate Public Officers to work harder and deter undesirable behavior in the service respectively.

The Reward and Sanctions Framework is premised on the Constitution of the Republic of Uganda, 1995; as amended, the Public Service Act, 2008, the Employment Act, 2006, the Anti-corruption Act, 2009, the Public Financial Management Act, 2015, the Whistle Blowers Act, 2010, the Uganda Public Service Standing Orders, 2010; and; the Code of Conduct and Ethics for the Uganda Public Service.

1.1 The Current Situation

The overall objective of the Rewards and Sanctions Framework, 2011 was to create a competitive work environment that supports a culture of continuous search for improvements in performance, productivity, innovation and service delivery in the Public Service. The Framework would; inter alia; enhance consistency, transparency and objectivity in the application of Rewards and Sanctions; promote innovation and better performance; introduce financial Rewards and increase the value of Rewards and application of Sanctions for culpable behavior in the Public Service

Under the Framework, Rewards and Sanctions were categorized into reputational, financial and operational. The framework also required that;

1. A Corporate Rewards and Sanctions Committee be appointed by the Head of Public Service. This committee would on an annual basis determine the level of performance of MDAs/ LGs and recommend appropriate Rewards and Sanctions;
2. Each MDA/ LG constituted this Committee to replace the Disciplinary Committees;
3. Each MDA/ LG submitted Quarterly Reports on Absenteeism Cases and Summary Reports on performance against set targets;

Despite the registered achievements, namely; constitution and functionality of these Committees in most MDA/ LGs and compliance with the requirement for submission of Quarterly Returns on Absenteeism Cases, implementation of the Framework has faced challenges and constraints which include:

- a) An imperfect link of performance assessment to the Rewards and Sanctions, due to absence of an explicit description of particular Rewards or Sanctions for the different performance levels;
- b) The Committees usually recommend inappropriate Sanctions for most cases of indiscipline;
- c) Underutilization of the Committees, leading to handling of staff disciplinary matters in an ad-hoc manner;
- d) Inadequate technical and legal capacity to interpret different laws and regulations in addition to a limited understanding of the roles and responsibilities of Committee Members;
- e) Changes in the Policy and Regulatory Framework necessitating updates to the Framework;
- f) Use of Ad-hoc Committees to process nominations of best performers instead of using Rewards and Sanctions Committees;
- g) Delays and procrastination in concluding Disciplinary Cases through submissions to the Appointing Authorities for appropriate decision and conclusion;
- h) The size of the Committee is not adequate for some votes with many Departments and a big workforce.
- i) The tenure of Office for Committee Members is not stated in the current Framework; hence; the Members are likely to become complacent due to their undefined term of office on the Committee;

- j) Disciplinary Cases for prosecution in Court take long to be concluded and yet the disciplinary process is silent on how to handle such cases;
- k) Lack of financial support for the implementation of the Framework. The activities of the Committees are usually not prioritized in resource allocation; hence; no facilitation for members to carry out their duties in most entities;
- l) Lower Local Governments are not represented on the Committees, yet most cases originate from Lower Local Governments
- m) Management of Absenteeism for Field Officers who do not sign the Arrival Register/ Clock In and claim that they go straight to the Field, which makes it difficult to monitor their Attendance to Duty;
- n) Untimely handling of submitted Disciplinary Cases, causing back log;
- o) Lack of clear regulations on Officers who appear several times before the Committees on Small Offences;

It is against this background that the Rewards and Sanctions Framework has been reviewed.

1.2 Objectives of the Framework

The overall goal of the revised Rewards and Sanctions Framework is to strengthen organizational as well as employee performance, promote accountability and ultimately improve productivity in the Public Service.

The Specific Objectives of the revised Framework are to:

- (i) Provide descriptive Rewards and Sanctions for achievements and offences, respectively;
- (ii) Link Rewards and Sanctions to Measurable Performance;
- (iii) Provide criteria for identifying best performers;
- (iv) Promote publicity for Rewards and Sanctions;

- (v) Encourage competitiveness in service delivery;
- (vi) Promote positive attitude and appropriate behavior;
- (vii) Promote innovation and creativity in service delivery;
- (viii) Motivate full effort from employees to achieve intended objectives.

1.3 Applicability

This Framework is applicable to;

- a) Ministries, Departments, Agencies and Local Governments;
- b) Teams, which shall include; Departments, Divisions, Sections, Units and any Committees set up to accomplish the required tasks;
- c) Individual Officers in the Public Service.

The Framework will cover both monetary and non-monetary Rewards and Sanctions aimed at improving performance in the Public Service.

1.1 Guiding Principles

1.3.1	Accountability:	A Public Officer shall hold Office in public trust and shall be personally responsible for his/her actions or inactions.
1.3.2	Affordability:	Reasonably priced Rewards that are within the financial means of the Institutions shall be implemented.
1.3.3	Gender inclusiveness	Rewards and Sanctions shall not be unfairly administered to Public Officers based on Gender, Age, Religion and Ethnicity.

1.3.4	Impartiality:	A Public Officer shall in the performance of his or her duties give fair and unbiased treatment to all clients, irrespective of Gender, Race, Religion, Disability or Ethnic Background.
1.3.5	Natural Justice:	In handling Disciplinary Cases, a Responsible Officer or Public Officer, shall ensure that employees are given a fair hearing and are not unfairly victimized.
1.3.6	Responsiveness:	A Responsible Officer or employee entrusted with the duty of managing other employees shall act promptly to complaints and shall keep the complainant informed throughout the process.
1.3.7	Timeliness:	Disciplinary Cases brought to the attention of the Responsible Officer or Public Officer or Designated Committee shall be attended to and disposed of in a timely manner.
1.3.8	Transparency:	In handling Rewards and Sanctions, there shall be open and clear mechanisms or systems which shall be communicated to all parties.

CHAPTER TWO

2.0 REWARDS MANAGEMENT IN THE PUBLIC SERVICE

In order to address the implementation challenges in managing Rewards and ensure that the Rewards Management is in line with the reigning Legal Framework, this Framework has been developed to provide for:

1. A descriptive application of the Rewards vis a vis the achievement to guide implementation of Rewards Management in Public Service;
2. Introduction of new categories of Rewards in addition to existing categories under CSI No. 1 of 2011 as detailed here below:
 - Luncheons;
 - Employee of the Month Award
 - Employee of the Year Award;
 - Employer of the Year Award;
 - Bonus Payment or Thirteenth Month;
 - Paid Vacations;
 - Distinguished Long Service Award.
3. In a bid to strengthen the responsibilities of the Rewards and Sanctions Committees in enforcing this Framework, the Ministry of Public Service shall issue implementation guidelines from time to time.

Rewards Management shall be guided by the following;

1. Public Officers who exhibit good ethical conduct or exceed the required levels of performance shall be rewarded and recognized.
2. Rewards and Sanctions Committees shall recommend appropriate Rewards to the Responsible Officer for implementation.

3. Responsible Officers shall ensure that Rewards Management is handled frequently, at least on a Quarterly basis, as opposed to the current situation where Rewards are given at the End of the Year.
4. Responsible Officers shall ensure that all Officers in Public Service undertake timely Performance Assessment, which shall be the key basis for determining who is eligible for Rewards. An annual Assessment of Institutions shall be carried out by the Ministry responsible for Public Service to establish achievement of Outputs at Institutional Level.
5. Responsible Officers will be required to publicize the Rewards given to Institutions and Individuals. Photographs of the Employee of the Year will be displayed at the Institutional Notice Boards/ Board Rooms.
6. The Best and Worst Performing Institutions/ Teams/ Departments will be publicized in the Media and Institutional Notice Boards.
7. Training shall not be used as a Reward but shall be carried out to address performance gaps in the Performance Improvement Plans.
8. Responsible Officers shall ensure that they budget for Rewards in each Ministry, Department, Agency or Local Government.
9. A standard procedure for identifying Public Officers eligible for the Rewards shall be derived from the guidelines for implementation of this Framework.

2.1 Levels of Application of Rewards in the Public Service

Rewards in the Public Service will be applicable at the following levels:

- (i) Institutional Rewards- These shall be given at Ministry,

- Department, Agency or Local Government Level;
- (ii) Departmental/ Division/Section or Unit Level;
- (iii) Team Level and;
- (iv) Individual Level

2.2 Application of Institutional Rewards

This shall constitute the highest level of Rewards/ Awards granted through Annual Assessment or Auditor General and Inspection Reports on the performance of the Institution.

2.3 Categorization of Awards at Institutional Level

Under this Framework, the Awards for Institutions, Departments, Sections, Units and Teams have been categorized and the targeted recipients at different levels are indicated in the table below:

SN	CATEGORY OF AWARD	TARGET
	Presidential Award	Best Ministry, Department or Agency.
	Minister of Public Service Award	2 nd and 3 rd Ministry, Department or Agency.
	Minister of Local Government Award	Best performing Local Government(s).
	Minister of Education Award	Top 10 Education Institutions.
	Minister of Health Award	Top 10 Health Facilities/ Institutions.
	Mayor/ District Chairperson Award	Best performing Department/ Sub County/Town Council/ Municipal Division/School/Health facility in the Local Government.
	Minister's Award	Best Department at the Ministry, Department or Agency

Employer of the Year Award	Institution with the highest attraction and retention rate of critical staff.
Head of Public Service Award	Best Performing Permanent Secretary.
Team Awards	Best performing Teams in an MDA/ LG.

Types of Institutional Rewards

An Institution or Team which attains excellent performance may be considered for any or a combination of the following:

- i) Verbal Commendation or Open Praise;
- ii) Letters of Commendation;
- iii) Certificate of Recognition;
- iv) Gifts, Trophies and Plaques;
- v) Luncheons;
- vi) Increased Budget Allocation;

Conditions for Rewards at Institutional Level

Institutional Rewards/ Awards shall consider the following conditions:

- i. Achievement of 80% of the Performance Targets outlined in the Institutional Performance Plans;
- ii. Achievement of 80% of the Key Service Standards outlined in the Client Charter, and meeting the commitments therein;
- iii. Sponsorship of an innovation at Institutional level that results in efficiency and effectiveness;
- iv. Ability to attract and retain at least 70% of Staff in critical positions in the Institution;
- v. At least 80% of the clients satisfied with service delivery in Ministries, Departments, Agencies and Local Governments;

- vi. Meeting at least 80% of the minimum conditions for a Government entity to be considered functional, as will be defined under the Assessment Criteria.
- vii. Surpassing Revenue Targets;
- viii. Completing all Projects on schedule;
- ix. Attracting no Audit Query by the OAG.

Types of Rewards at Departmental/ Division/Unit/Team Level

A Department/Division/Unit/team which attains excellent performance may be considered for any or a combination of the following:

- i. Verbal Commendation or Open Praise;
- ii. Letters of Commendation;
- iii. Certificates of Recognition;
- iv. Gifts, Trophies and Plaques;
- v. Luncheons;

2.4 Conditions for Rewards at Departmental/ Division/Unit/ Team Level

Departmental/ Division/ Unit or Team Rewards/ Awards shall be based on the following conditions:

- i. Achievement of at least 80% of the Performance Targets outlined in the Departmental/Division/Unit Performance Plans;
- ii. Achievement of 80% of the Key Service Standards outlined in the Client Charter, and meeting the commitments therein;
- iii. Sponsorship of an innovation that improves work practices and results in efficiency and effectiveness;

2.4.1 Rewards for Public Officers at Individual Level

A Public Officer may be considered for a Reward upon excellent performance or when he/she exhibits exemplary conduct.

2.4.2 Types of Individual Rewards

An employee who attains excellent performance may be considered for any or a combination of the following Rewards:

- i. Verbal Commendation or Open Praise;
- ii. Letters of Commendation;
- iii. Certificate of Recognition;
- iv. Gifts, Trophies and Plaques;
- v. Empowerment and assignment of additional duties, usually done at a higher level;
- vi. Nominations to attend high level Meetings and Conferences;
- vii. Luncheons;
- viii. Employee of the Month Award
- ix. Employee of the Year Award;
- x. Bonus Payment or Thirteenth Month;
- xi. Paid Vacations;
- xii. Distinguished Long Service Awards;

2.4.3 Conditions for Rewards at Individual Level

Rewards at individual level shall be based on the following conditions:

- i. A Public Officer who demonstrates a high standard of performance and achieves more than 80% of the Planned Outputs;
- ii. A Public Officer who consistently attends to duty, reports and leaves after official working hours;
- iii. A Public Officer with good customer relations;
- iv. A Public Officer who fosters an innovation in the MDA/ LG that promotes efficiency and effectiveness in service delivery;

2.4.4 Descriptive Narrative of Rewards at Individual Level

To qualify for the different types of Rewards, an individual must meet the conditions stipulated in the table below:

S/ No.	TYPE OF REWARD	CONDITIONS	OFFICER TO ADMINISTER REWARDS
1.	Verbal Commendation or Open Praise	Timely completion of day to day assignments; Observance of Routine Procedures; Any form of good conduct.	Supervisors
2.	Letters of Commendation	Timely completion of an assignment or achievement of targets by Teams /Individuals; Observance of Core Values and Ethical Code of Conduct; Ensures safety of Government property; Performance and accomplishment of extra special duties beyond expectation.	Heads of Departments
3.	Certificate of Recognition	Regular Attendance to Duty and timely arrival; Adherence to the public service dress code; Courteous to clients; Relates well with Team Members, Peers and all Staff;	Responsible Officers Heads of Departments Team Leaders
4.	Gifts, Plaques and Trophies	Timely completion of special assignments	Responsible Officer Heads of Department

5.	Empowerment and assignment of additional duties usually done at a higher level	<p>Good Teamwork; Good people relations and communication skills; Ability to design and influence Policy Formulation; Ability to plan, organize and coordinate service delivery; Uses power and authority fairly, demonstrates credible leadership and champions new initiatives; Ensures that tangible assets are maintained in an efficient manner and safeguarded against loss, damage and abuse; Loyal and obedient.</p>	<p>Responsible Officers Heads of Department</p>
6.	Nominations to attend high level Meetings and Conferences	<p>Ability to design and influence Policy Formulation; Shows initiative and is persistent in addressing problems; Good communication skills (both oral and written), and provides timely briefs when delegated.</p>	Responsible Officer
7.	Luncheons;	Timely completion of special assignments by Public Officers.	Head of Department Responsible Officer
8.	Employee of the Month Award	<p>Punctual, committed and attends to duty for the entire Month; Possesses a high level of productivity, dependable and has performed beyond the set targets in the Month Enthusiastic and willingness to take up more initiatives and tasks consistently regular on duty; Timely reporting and attending to clients courteously; Teamwork and good customer relations;</p>	Responsible Officer

9.	Employee of the Year Award	<p>High level of commitment to duty, high level of productivity, and performance beyond the set targets during the Financial Year;</p> <p>Enthusiastic and willing to take up more initiatives and acceptance of tasks willingly;</p> <p>Arrives on and leaves after official working hours, consistent, dependable and regular on duty;</p> <p>Teamwork and good customer relations;</p> <p>sponsoring an innovation that facilitates efficiency and effectiveness in service delivery</p>	Responsible Officer
10.	Bonus Payment or Thirteenth Month	Being Employee of the Year	Responsible Permanent Secretary
11.	Paid Vacations	<p>Involvement in an activity that positively promotes the image of the Public Service beyond Uganda, or;</p> <p>Fosters an innovation that promotes efficiency and effectiveness in service delivery;</p> <p>Surpasses Revenue Collection Targets.</p>	Responsible Officers
12.	Distinguished Long Service Awards	Any Public Officer due for retirement and has served for more than 20 years, without a break in service and has not had any adverse reports during his/her service.	Responsible Officers

2.5 Selection of the Employee of the Year

- i. In selecting the Employee of the Year, Responsible Officers shall use a number of approaches which will include;
 - Review of Annual Performance Appraisal Reports;
 - Undertaking Client Satisfaction Surveys;
 - Review of Institutional Reports and Minutes of different Committees;
 - Review of Attendance to Duty Reports;
- ii. After engaging all the criteria identified in (i) above, a Public Officer who emerges the best shall be the Employee of the Year in the respective Institution.
- iii. Responsible Officers are advised to develop a Tool/ System to capture the information above and ensure that the data is frequently updated and the information easily availed when required for decision making.

2.6 Payment of Bonus/ Thirteenth Month

- i. Payment of the Thirteenth Month for the Employee of the Year will be effected on the December Payroll and shall be based on assessment conducted during the previous Assessment Period.
- ii. Responsible Officers shall forward names of the Employees of the Year to the Responsible Permanent Secretary for clearance by October.

CHAPTER THREE

3.0 APPLICATION OF SANCTIONS IN THE PUBLIC SERVICE

In order to address the implementation challenges in managing Sanctions and ensure that their management is in line with the reigning Legal Framework, this Rewards and Sanctions Framework has been developed to provide;

- i. A descriptive application of the Sanctions vis a vis the conditions of non-adherence, and the Managerial level to implement the Sanctions;
- ii. Re- introduction of Suspension as a Sanction to be applied in the Public Service.
- iii. Use of information from Whistle Blowers to facilitate investigations in Public Service.
- iv. Penalties in Resource Allocation to non-performing Institutions and Teams

3.1 Suspension in the Public Service

As a disciplinary action, a Public Officer may be suspended from duty. In circumstances where this Sanction is applied, the Officer shall not be suspended on full pay for more than 15 days, within any period of 6 months.

The period of suspension shall be Pension earning but will not be considered when determining Seniority of a Public Officer.

If a Public Officer is suspended thrice but doesn't reform, he or she will be considered for dismissal.

3.2 Whistle Blowers

- i. In order to support the implementation of the Framework, information on corrupt officers, neglect of duty or any other unlawful conduct may be obtained from Whistle Blowers.
- ii. Responsible Officers shall ensure that Whistle Blowers are protected and the process handled in accordance with the Whistle Blowers Act. 2010.
- iii. Responsible Officers shall upon receiving information from Whistle Blowers institute investigation before taking action against the Public Officer. In doing so, Responsible Officers shall exercise a high degree of confidentiality to protect the image of the affected employee, until facts requiring disciplinary action are adduced by the body investigating the matter at hand.

3.3 Management of Sanctions

Management of Sanctions shall be guided by the following;

- i. Public Officers who perform below the required standards as a result of culpable behavior or exhibit unethical conduct shall be sanctioned.
- ii. Responsible Officers shall ensure that Public Officers are fully aware of the nature of complaints made against them, and consequences of any proceedings taken against them thereafter.
- iii. Responsible Officers shall ensure that proper Disciplinary Procedures are followed when handling Sanctions.
- iv. Responsible Officers shall ensure that disciplinary cases are acted upon within 15 days, from the date they are reported.
- v. Proper Records Management and documentation of

disciplinary cases shall be done by Responsible Officers and all parties involved in handling the disciplinary cases.

- vi. Disciplinary cases shall be handled by the Rewards and Sanctions Committees before onward submission to the Appointing Authority for logical conclusion.
- vii. Responsible Officers will be required to publicize the Sanctions through Naming and Shaming of poor performers.
- viii. Interdiction shall not be used as a Sanction but as a disciplinary procedure to allow investigations be instituted against suspects.
- ix. In cases involving termination of appointment or dismissal from Service, the Responsible Officer shall ensure that adequate explanation is given to the employee on the decision to terminate or dismiss him/her from the Service.
- x. In cases where Sanctions are to be instituted, a Public Officer shall be accorded a fair hearing, in line with the Constitution of the Republic of Uganda, 1995.

3.4 Levels of Application of Sanctions in the Public Service

Sanctions in the Public Service will be applicable at the following levels:

- i) Institutional Sanctions - These shall be given at Ministry, Department, Agency or Local Government level;
- ii) Departmental/ Division/Section or Unit Sanctions;
- iii) Team Sanctions and;
- iv) Individual Sanctions

3.5 Application of Institutional Sanctions

Institutional Sanctions shall be applied through Annual Assessment or Auditor General and Inspection Reports on the performance of the Institution. An Institution or Team which fails to perform to the expected standards shall be sanctioned.

3.6 Categorization of Institutional Sanctions

Under this Framework, the Sanctions for Institutions have been categorized and the Office to administer the Sanction at different levels indicated in the table below:

S/No.	TARGET	OFFICE TO ADMINISTER SANCTION
1.	Worst performing MDA.	Prime Minister.
2.	5 Worst performing Local Governments.	PS/MoLG.
3.	10 Worst Performing Education Institutions.	PS/ Ministry of Education.
4.	10 Worst Performing Health Facilities/ Institutions.	PS/ Ministry of Health.
5.	Worst Performing Departments in MDAs	PS of the MDA
6.	Worst Performing Department/ Sub County/Town Council/ School/Health Facility in the Local Government.	CAO or TC in case of a Municipal Council.
7.	Worst Performing Department in MDAs	Minister of the MDA
8.	Worst Employer of the Year Award.	Responsible Permanent Secretary.
9.	Worst Performing Permanent Secretary.	Head of Public Service.
10.	Worst performing Team.	Responsible Officer.

3.6.1 Types of Institutional Sanctions

An Institution or Team which fails to perform to the expected standards shall be sanctioned. Below are the Sanctions for Institutions:

- i. Naming and Shaming of poorly performing Institutions;
- ii. Caution letters from Ministry of Public Service or Head of Public Service to any MDA/LGs;
- iii. Caution letter from Line Ministries to LGs;
- iv. Penalties in resource allocation at Budgeting Level;

3.6.2 Conditions for Sanctions at Institutional Level

Institutional Sanctions shall be based on the following circumstances: -

- i. Failure to achieve 60% of the Performance Targets outlined in the Institutional Performance Plans without justifiable reasons;
- ii. Failure to achieve 60% of Key Service Standards outlined in the Client Charter, and the commitments therein;
- iii. Failure to attract and retain at least 60% of Staff in critical positions;
- iv. Having less than 50% of clients are satisfied with Service Delivery in MDAs/ LGs;
- v. Failure to meet at least 60% of the minimum conditions for a Government entity to be considered functional;
- vi. Failure to comply with set deadlines for Budgeting, Recruitment, Payment of Salary and Retirement Benefits;
- vii. Failure to absorb Funds released to implement approved activities in the respective Ministerial Policy Statements and District Development Plans.

3.6.3 Types of Sanctions at Departmental/ Division/ Section or Unit Level

- i. Verbal warnings;
- ii. Written warnings;
- iii. Surcharge or refund or making good of loss or

- damage of Public property by the Team Members;
- iv. Naming and Shaming;
- v. Penalties in Resource Allocation at Budgeting Level.

3.6.4 Conditions for Sanctions at Department/ Division/ Section or Unit Level

Department/ Division/Section/ Unit Sanctions shall be based on the following circumstances: -

- i. Failure to achieve at least 60% of the Performance Targets outlined in the Department/ Division/ Unit or Team Plans;
- ii. Failure to achieve at least 60% of Key Service Standards outlined in the Client Charter and the commitments therein.

3.6.5 Sanctions for Public Officers at individual Level

To warrant a Sanction at Individual Level, there should be a record of poor performance arising out of culpable behavior or misconduct

3.6.6 Types of Sanctions at Individual Level

- i. Verbal warnings;
- ii. Written warnings;
- iii. Withdrawal of duties of Accounting Officer;
- iv. Severe Reprimand;
- v. Withdrawal of additional/duty assignments;
- vi. Withholding Salary Increments;
- vii. Deferring Salary Increments;
- viii. Surcharge or refund or making good of the loss or damage of public property/assets;
- ix. Extension of Probationary Period;
- x. Suspension;
- xi. Demotion;

- xii. Retirement in Public Interest
- xiii. Termination of Probationary Appointment;
- xiv. Termination of Contract Appointments;
- xv. Dismissal;

3.6.7 Conditions for Sanctions at Individual Level

Individual Sanctions shall be based misconduct. Misconduct shall include, but is not limited to, the following circumstances:

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- i. Gross negligence in performance of duty;
- ii. Acts that bring the Service into disrepute;
- iii. Disclosure of information in contravention of the law;
- iv. Acts involving turpitude e.g. theft, corruption, tribalism, nepotism etc.;
- v. Negligence, causing loss to the Government;
- vi. Malicious damage to Government Property;
- vii. Perjury;
- viii. Financial embarrassment;
- ix. Inside Trading or dealing;
- x. Unauthorized use and possession of Government Property or facilities;
- xi. Intimidation;
- xii. Assault;
- xiii. Sexual harassment;
- xiv. Act or omission against public interest;
- xv. Using abusive language;
- xvi. Bullying;
- xvii. Holding more than one fulltime job concurrently;
- xviii. Unsatisfactory performance of duty;
- xix. Incitement with intent to c a u s e disobedience/strike or undermining Administration;
- xx. Use and Abuse of drugs or alcohol;
- xxi. Absence from duty without permission;
- xxii. Insubordination;
- xxiii. Reporting late for duty;

- xxiv. Refusal to comply with a Posting Instruction or Order;
- xxv. Falsification of records or documents;
- xxvi. Making false statements;
- xxvii. Working or Driving under the influence of liquor or stupefying drug;
- xxviii. Failure to appropriately appraise employees under an Officer's jurisdiction or refusal to be assessed without a valid reason;
- xxix. Physical fighting in office;
- xxx. Consistent failure to accomplish assigned responsibilities/ tasks;
- xxxi. Incompetence;
- xxxii. Misappropriation of Funds;
- xxxiii. Failure to complete a study or course duly approved by the Institution;
- xxxiv. Acting in contravention of the Laws of Uganda;
- xxxv. Intentional breach of health and safety rules endangering safety and lives of others.

3.7 Descriptive Narrative of Sanctions at Individual Level

S/No.	TYPE OF SANCTION	CONDITIONS	OFFICE TO ADMINISTER SANCTIONS
1.	Verbal warnings	Light offence committed for the first time; Absenteeism without permission for 2 days; Late coming; Poor Customer Care; Inappropriate dressing; Failure to meet targets; Acts involving turpitude e.g. tribalism, nepotism, use of rude, abusive or obscene language, intimidation.	Immediate Supervisors

2.	Written warning (reprimand) letters	<p>Repetitive offences committed after verbal warnings have been given;</p> <p>Insubordination;</p> <p>Refusal to comply with a Posting Instruction or Order;</p> <p>Intentionally refusing to assess a subordinate or to be assessed;</p> <p>Absenteeism from duty for 6 to 10 days without permission;</p> <p>Irregular Attendance to Duty;</p> <p>Persistently exhibition of poor Customer Care;</p> <p>Divulgence in; or; publication of Official information without permission;</p> <p>Failure to consistently meet targets</p>	<p>Supervisors</p> <p>Heads of Departments, Divisions, Sections or Units</p>
3,	Refund of Salary for days not worked	Absenteeism from duty for 3 weeks without permission;	Responsible Officer
4.	Withdrawal of duties of Accounting Officer	A Responsible Officer who according to a report from the Internal Auditor General, or Auditor General, fails to Account for Public resources or assets of a Vote for a Financial Year	PSST

5.	Severe Reprimand	<p>Offences for which an Officer has received three written warnings;</p> <p>Conflict of Interest;</p> <p>Inside Trading;</p> <p>Financial embarrassment</p> <p>Incitement with intent to cause disobedience/strike; or; undermining Administration;</p> <p>Failure to provide by the due date, any Official information required by any relevant party;</p> <p>Influence peddling;</p> <p>Misuse of Government property;</p> <p>Engaging in Political activities;</p>	Appointing Authority
6.	Withdrawal of additional duty assignments	<p>Failure to meet required Targets and Standards;</p> <p>Receiving a severe reprimand;</p> <p>Poor attitude and failure to promote teamwork;</p> <p>Poor people relations;</p>	<p>Responsible Officers</p> <p>Heads of Department</p>
7.	Deferring Salary Increments	<p>Deliberate failure to assess or be assessed</p> <p>Absenteeism;</p> <p>Late coming;</p>	Appointing Authority
8.	Withholding Salary Increments	An Officer whose increments are differed three times.	Appointing Authority

9.	Suspension	<p>Receiving three severe reprimands;</p> <p>An Officer whose increments are withheld three times;</p> <p>Malicious damage and deliberate loss of Government property</p> <p>Falsification of records or documents;</p> <p>Unauthorized diversion of Public Resources;</p> <p>Disclosure of Official Information without express permission;</p> <p>Influence peddling;</p> <p>Incitement with intent to cause disobedience/strike;</p> <p>undermining Administration;</p> <p>Refusal to comply with a Posting Instruction or Order;</p> <p>Intoxication (alcohol or drugs, other than prescribed drugs) at work;</p> <p>Failure to consistently meet targets;</p> <p>Continued non-adherence to the Official Dress Code;</p> <p>Abuse of office;</p> <p>Physical fighting or assault in Office.</p>	Responsible Officers
10.	Surcharge/ re-fund or making good of the loss or damage of public property/ assets	<p>Negligence and Intentionally causing financial loss;</p> <p>Deliberate destruction, damage or loss of Government property;</p> <p>Failure to provide accountabilities.</p>	Responsible Officers

11.	Extension of Probationary Period	<p>An Officer who is rated below good, in any set of Performance Appraisal Reports during the 1st six months of his Probationary Appointment;</p> <p>Failure to sit or pass an examination required for Confirmation</p>	Appointing Authority
12,	Termination of Probationary Appointment	<p>Failure to improve performance after extension of Probationary Period;</p> <p>Refusing to be assessed during the Probationary Period.</p>	Appointing Authority
13.	Demotion	<p>Failure to consistently meet targets</p> <p>Gross negligence in performance of duties;</p> <p>Abuse of Office;</p> <p>An Officer who is surcharged three times.</p>	Appointing Authority
14.	Retirement in Public Interest	<p>Any acts that bring disrepute to the Service;</p> <p>Continued Conflict of Interest during performance of duties;</p> <p>Perjury;</p> <p>Financial embarrassment and bankruptcy;</p> <p>Continued abuse of drugs or alcohol;</p> <p>Holding more than one fulltime employment concurrently;</p> <p>Persistent use of abusive language.</p>	Appointing Authority

15.	Dismissal	<p>Conviction in any Court on Criminal Charges including;</p> <p>Theft, corruption and bribery;</p> <p>Sexual harassment, etc.</p> <p>Driving an Official vehicle under the influence of intoxicating liquor or stupefying drug;</p> <p>An Officer who is demoted but continues to perform poorly;</p> <p>Holding two jobs at any point in time (moonlighting), and or drawing two Salaries from Government Payrolls;</p> <p>Impersonation and forgery;</p> <p>Falsification of records or documents;</p> <p>Abuse of office;</p> <p>An Officer who is suspended thrice but does not reform.</p>	Appointing Authority
16.	Termination of Contract Appointments	<p>Violation of conditions stipulated under the Contract;</p> <p>Any of the conditions stated in 14 and 15 above</p>	Appointing Authority

3.8 PROCEDURE FOR HANDLING DISCIPLINE

3.8.1 General Rules for Handling Disciplinary Cases in the Public Service

- i) Government should not be deprived of the right to exercise disciplinary control by intimation of early retirement, resignation, transfers or mandatory retirement. Responsible officers shall ensure that disciplinary proceedings are concluded before any of the above exit methods are approved.

- ii) If Criminal Proceedings are instituted against an Officer or where an Officer has been acquitted of a Criminal Charge in a Court of law, the Responsible Officer shall not be prevented from instituting Disciplinary Proceedings or otherwise punishing him or her on any other charge arising out of his conduct in the matter.

- iii) Where an officer has been charged with Abandonment of Duty, the letter commencing Disciplinary Proceedings shall be addressed to the address declared by the Officer in his or her Personal Record Form.

- iv) Disciplinary Procedures shall take regressive Approach.

Where a Public Officer is involved in minor misconduct, the procedure below shall apply:

- i. Misconduct and allegations against a Public Officer shall be reported to his/her immediate Supervisor without delay.

- ii. The immediate Supervisor shall inform the Officer of the nature of the misconduct. Investigations into the matter shall be commenced and the Officer shall be given an opportunity to respond to the allegations of misconduct.

- iii. If it is established that an offence was committed, the Supervisor shall issue a Verbal Warning to the Officer. The Supervisor shall note the warning.

- iv. If the Officer commits the offence again, he shall be given a written warning. If the offence is repeated, he/she shall be forwarded to the Reward and Sanctions Committee for consideration and appropriate action.

- v. Where an Officer denies the allegation of misconduct, the immediate Supervisor shall immediately investigate the matter and obtain evidence to determine whether in his or her opinion, the public Officer committed the offence.
- vi. If the immediate Supervisor finds that the Officer committed the offence, he or she shall recommend to the Rewards and Sanctions Committee for appropriate action.

Where a Public Officer is involved in Gross misconduct, the procedure below shall apply:

- i. Misconduct and allegations against the Public Officer shall be reported to the immediate Supervisor of that Officer with immediate effect.
- ii. The Supervisor shall immediately prepare a write up to the Responsible Officer stating all the facts in the case.
- iii. The Public Officer shall be asked to submit a written defense and show cause why disciplinary action should not be instituted against him/her. This shall form a basis of whether there is a case to answer and subsequent need for investigation. Nothing shall at this stage deter the Responsible Officer from interdicting the Officer if the gravity of the matter dictates so. In which case, the Officer concerned shall provide the necessary defense from outside the office.
- iv. In circumstances where the Responsible Officer finds it appropriate to first ask the Officer to show cause why disciplinary action should not be taken against him/her, but eventually establishes the need for investigation, the Responsible Officer shall immediately interdict the Officer

and submit the case to the Committee or other Government investigating Agencies as appropriate within 10 working days.

- v. Upon conclusion of the hearing, the Committee shall decide whether or not the Officer is guilty of gross misconduct as charged and make recommendations to the Responsible Officer. The Committee shall issue its written recommendation within a period of one month from the commencement of the hearing.

CHAPTER FOUR

4.0 INSTITUTIONAL ARRANGEMENTS

4.1 Roles of Key Players

For the successful implementation of the Framework, different players will have different key roles as indicated below:

4.1.1 Head of Public Service

- i. Submit Nominees of the Best Performing Institutions to H.E the President, Ministers of Public Service, and Local Government;
- ii. Give Awards and Institute Sanctions to the Best and Worst Performing Permanent Secretaries respectively;
- iii. Appoint Members to the National Rewards and Sanctions Committee;
- iv. Host the Ceremony for the Award of the Best Performing Permanent Secretary;
- v. Supervise and assess performance of Permanent Secretaries;
- vi. Submit the Worst Performing Permanent Secretaries to the National Rewards and Sanctions Committee;
- vii. Publicize Best and Worst Performing Permanent Secretaries;
- viii. Prepare and submit reports on implementation of the Framework to the Minister for Public Service.

4.1.2 Ministry of Public Service

- i. Oversee the implementation of the Rewards and Sanctions Framework;
- ii. Provide support, monitor and offer technical guidance on implementation of the Rewards and Sanctions Framework;

- iii. Review and approve proposals for Officers who have been recommended for the 13th Month Salary;
- iv. Induct, orient and sensitize the Rewards and Sanctions Committees;
- v. Receive and analyze Quarterly and Annual R&S Committee Reports and summary Performance Reports from Ministries, Departments and Local Governments;
- vi. Prepare Annual Report on the implementation of the Rewards and Sanctions Framework in Ministries, Departments and Local Governments;
- vii. Prepare and issue implementation guidelines;
- viii. Conduct Institutional Performance Assessment of MDAs and LGs;
- ix. Publicize the Best and Worst Performing Ministries, Departments and Agencies;
- x. Review the Rewards and Sanctions Framework;
- xi. Support the implementation of the activities of the National R&S Committee;
- xii. Secretariat to the Corporate Rewards and Sanctions Committee;
- xiii. Produce Annual Performance Report for the Uganda Public Service.

4.1.3 Office of the Prime Minister

- i. Provide baseline data and information on the implementation of Government Programs in MDAs and LGs;
- ii. Monitor and evaluate implementation of Government Policies in the Public Service.

4.1.4 Ministry of Local Government

- i. Supervise and assess performance of Chief Administrative Officers;
- ii. Publicize the Best and Worst Performing Local Governments;
- iii. Reward the Best Performing Local Government and Chief Administrative Officers;
- iv. Supervise and monitor performance of R&S Committees in Local Governments;
- v. Prepare reports on implementation of the R&S Framework in the Local Governments.

4.1.5 Ministry of Finance, Planning and Economic Development

- i. Provide funds for implementation of the Framework;
- ii. Monitor Financial Performance of the Accounting Officers and Public Service Institutions;
- iii. Issue appointments of Accounting Officers and submit reports on their performance in that capacity.

4.1.6 Service Commissions

- i. Handle Disciplinary Cases of Public Officers forwarded to them.

4.1.7 National Rewards and Sanctions Committee

- i. Consider submissions of Rewards and Sanctions of Responsible Officers;
- ii. Submit Nominees to the Head of Public Service for consideration of Annual Rewards;
- iii. Support the Head of Public Service in the implementation of the Framework

4.1.8 Responsible Officers

- i. Ensure that effective Performance Management Systems

are in place in Ministries, Departments and Local Governments,

- ii. Supervise the implementation of the Rewards and Sanctions Framework;
- iii. Supervise and assess the performance of Heads of Department;
- iv. Undertake publicity of the Best and Worst Performers in the Institution;
- v. Forward to the Service Commissions cases that require action of the Appointing Authority;
- vi. Support and budget for the activities of the Committees;
- vii. Provide continuous sensitization to the Committees;
- viii. Disseminate this Framework;
- ix. Orient staff on their rights and obligations and Disciplinary Procedures in the Public Service;
- x. Appoint and communicate Terms of Reference of the Committee Members;
- xi. Enforce the Code of Conduct and Ethics for Public Officers;
- xii. Prepare Annual Reports on the implementation of the Framework and submit to the Responsible Permanent Secretary;
- xiii. Implement decisions of the Committees and Service Commissions.

4.1.9 Head of Human Resource Management in MDAs and LGs

- i. Play the role of Secretary to the Rewards and Sanctions Committee;
- ii. Coordinate the activities of the Rewards and Sanctions Committees;

- iii. Provide technical and advisory services to Employees, Supervisors and Managers on implementation of the Rewards and Sanctions Framework;
- iv. Ensure that approved Awards and Sanctions are properly processed and implemented in a timely manner;
- v. Coordinate the Awards Ceremonies;
- vi. Provide Counseling to employees whenever necessary.

4.1.10 Rewards and Sanctions Committees

- i. Receive, assess and review nominations and disciplinary cases for Rewards and Sanctions respectively;
- ii. Recommend appropriate Rewards and Sanctions and submit to the Responsible Officer nominees for appropriate action;
- iii. Recommend to the Responsible Officers appropriate interventions to improve performance and retain a skilled workforce;
- iv. Convene regularly; atleast once a Quarter to handle cases forwarded to the Committee.

4.1.11 Heads of Department

- i. Support and monitor the implementation of the Framework in Departments;
- ii. Document and communicate to the Responsible Officer all cases of indiscipline and Officers eligible for Reward in a timely manner
- iii. Identify Best Performers at Individual and Team Level in the Department;
- iv. Promote innovation and personal initiative;
- v. Support Heads of Divisions and Sections and staff in delivering to the expected Standards;
- vi. Ensure that staff are aware of their rights and obligations;

- vii. Provide Schedule of Duties to staff in the Department;
- viii. Provide Counseling to employees whenever necessary;
- ix. Monitor Attendance to Duty.

4.1.12 Supervisors, Line Managers

- i. Support and monitor the implementation of the Framework in Divisions, Sections, Units and Teams;
- ii. Address performance bottlenecks as shall be brought to their attention by their subordinates;
- iii. Document and communicate to the Heads of Department cases of indiscipline and Officers eligible for Reward in a timely manner;
- iv. Identify Best Performers at Individual and Team Level;
- v. Support Individuals and Teams to handle their outputs;
- vi. Supervise and assess performance of staff;
- vii. Monitor Attendance to Duty;
- viii. Provide Counseling to employees whenever necessary.

4.1.13 Individual Public Officers

- i. Observe and adhere to the Code of Conduct;
- ii. Perform duties diligently in line with their obligations under the Public Service Act;
- iii. Support innovations at Individual and Team Level;
- iv. Meet performance commitments as per the Performance Plans/ Agreements;
- v. Report to the supervisors any issues that may impede their performance for appropriate remedy in a timely manner

CHAPTER FIVE

5.0 Monitoring and Evaluation

Ministry of Public Service will periodically monitor the Framework to assess level of implementation, determine key results and identify implementation challenges, in order to ensure that the objectives of the Framework are met.

5.1 Data Collection, Analysis and Reporting

Data from MDAs and LGs on the implementation of the Framework will be obtained from periodic reports. These shall include;

- Quarterly returns on Absenteeism.
- Quarterly returns on application of Rewards and Sanctions in MDAs and LGs.
- Reports on implementation of ROM and Client Charters.

The reports will contain information on the performance of the Departments, explain any significant variation in expected performance, discuss challenges and issues encountered, lessons learnt and recommendations for additional support.

5.2 The Responsible Permanent Secretary will issue guidelines on implementation of this Framework from time to time.

