

# Social Assistance Grants for Empowerment (SAGE)



## Implementation Guidelines

*February 2012*

**Implementation Guidelines**

**for the**

**Social Assistance Grant for  
Empowerment Programme**

**(SAGE)**

**Senior Citizen's Grant**

**And**

**Vulnerable Families Support Grant**

# TABLE OF CONTENTS

<b>INTRODUCTION TO THIS MANUAL</b> .....	<b>X</b>
<b>1. OVERVIEW OF SAGE</b> .....	<b>1</b>
1.1 The Rationale for Expanding Social Protection in Uganda .....	1
1.2 Summary of the Different Programme Elements .....	3
<b>2. MANAGEMENT &amp; COORDINATION</b> .....	<b>17</b>
2.1 National-level Management and Oversight .....	17
2.2 Roles and Responsibilities .....	18
2.3 District & Sub-county Level Management .....	22
2.4 Roles and responsibilities in detail .....	26
2.5 Contracted Service Providers .....	33
2.6 Cooperating Partners.....	34
<b>3. PRELIMINARY BIRTH REGISTRATION</b> .....	<b>37</b>
<b>4. TARGETING FOR THE SENIOR CITIZEN GRANT</b> .....	<b>39</b>
4.1 SAGE targeting approach .....	40
4.2 Targeting for the Senior Citizens' Grant (SCG) .....	40
4.3 SCG targeting Model A: automated registration .....	41
4.2 Step-by-step guide to automated SCG registration .....	41
4.4 SCG targeting model B: community registration .....	43
4.5 Step-by-step guide to SCG community registration .....	43
<b>5. TARGETING FOR THE VULNERABLE FAMILY SUPPORT GRANT</b> .....	<b>46</b>
4.1 Approach to targeting .....	46
5.2 Targeting for the Vulnerable Families Support Grant (VFSG).....	47
<b>6. CHANGE MANAGEMENT IN THE SENIOR CITIZEN'S GRANT</b> .....	<b>53</b>
6.1 Managing Household Changes in Automated Registration Sub-Counties .....	53
<b>7. CHANGE MANAGEMENT IN THE VULNERABLE FAMILIES SUPPORT GRANT</b> .....	<b>56</b>
7.1 Managing Household Changes .....	56
7.2 How household changes affect eligibility for the VFSG .....	58
<b>8. ENROLMENT &amp; PAYMENT DELIVERY</b> .....	<b>59</b>
8.1 Transfer Amount.....	59
8.2 Transfer recipient .....	61
8.3 Payment Delivery Mechanism .....	63
8.4 Beneficiary enrolment procedures .....	66
8.4 Security arrangements.....	72
<b>9. GRIEVANCES</b> .....	<b>74</b>
9.1 Rights of Beneficiaries .....	75
9.2 Grievance typologies .....	76
9.3 Complaints to the payment service provider .....	77
9.4 Complaints to Parish Chiefs and Sub-County CDOs .....	77
9.5 Step-by-step guide to Complaints Management .....	79
9.6 Appeals in the Senior Citizen's Grant (automated registration model) .....	82
9.7 Appeals in the Senior Citizen's Grant (community- registration model) .....	83
9.8 Appeals in the Vulnerable Families Support Grant.....	83

9.9	The role of community members and civil society in grievance management .....	84
9.10	Grievance submission through political representatives .....	84
9.11	Integration / Compatibility with Other Accountability Mechanisms .....	85
9.12	Wider accountability mechanisms.....	85
9.13	Checks and Balances.....	85
<b>10.</b>	<b>FINANCIAL MANAGEMENT .....</b>	<b>87</b>
10.1	Overview of the Costs of the SAGE Scheme.....	87
10.2	Budget control.....	88
10.3	District-level budget management .....	89
10.4	Disbursement and Flow of SAGE Funds .....	90
10.5	Funds requests and financial reporting process.....	93
10.6	Activity allowances.....	94
10.4	Accounting for Cash Transfer Disbursements .....	95
10.5	Checks and Balances.....	96
<b>11.</b>	<b>INFORMATION MANAGEMENT .....</b>	<b>98</b>
11.1	MIS Overview.....	98
11.2	Information to be captured .....	99
11.3	Technical Requirements.....	100
11.4	MIS Data Flows.....	101
11.5	Management Arrangements.....	102
11.6	Security Measures.....	102
11.7	Integration/Compatibility with other MIS .....	104
11.8	Linkages to Education and Health .....	104
11.9	Data management in SAGE implementation.....	104
11.10	Filing System.....	105
11.9	Checks and Balances.....	106
<b>12.</b>	<b>PROCESS MONITORING .....</b>	<b>108</b>
12.1	Process Monitoring Indicators.....	109
12.2	Special or Case Studies .....	111
12.3	Management Arrangements.....	112
12.4	Data Quality .....	113
12.5	Checks and Balances .....	115
<b>13.</b>	<b>EVIDENCE .....</b>	<b>118</b>
13.1	Objectives .....	118
13.2	Process.....	118
13.3	Impact Issues to be examined.....	120
13.4	Management Arrangements.....	121
<b>14.</b>	<b>TRAINING STRATEGY .....</b>	<b>122</b>
14.1	Overview of the SAGE Training Strategy .....	122
14.2	SAGE Training Strategy in detail.....	124
14.3	Roll-out of SAGE Training Activities.....	127
<b>15.</b>	<b>SAGE COMMUNICATIONS STRATEGY .....</b>	<b>128</b>
15.1	Overview .....	128
15.2	Objectives .....	129
15.3	Approach .....	129
15.4	Key SAGE target audiences .....	130
15.5	Proposed Channels .....	132
15.6	Key Messages .....	133
15.7	Management Arrangements.....	133
15.8	Action Plan .....	135

<b>16. GETTING STARTED .....</b>	<b>139</b>
16.1 National operations .....	139
16.2 District SAGE operations .....	139
<b>ANNEX I. ROLES AND RESPONSIBILITIES IN THE SAGE IMPLEMENTATION CYCLE .....</b>	<b>141</b>
<b>ANNEX II: REQUEST FOR VILLAGE COUNCIL MEETING .....</b>	<b>150</b>
<b>ANNEX III: AUTOMATED SCG TARGETING CONFIRMATION FORM .....</b>	<b>151</b>
<b>ANNEX IV: SCG REGISTRATION FORM (SIDE 1) .....</b>	<b>152</b>
<b>ANNEX V: VILLAGE COUNCIL MEETING MINUTES .....</b>	<b>154</b>
<b>ANNEX VI: ANNEX TO VILLAGE COUNCIL MEETING MINUTES.....</b>	<b>155</b>
<b>ANNEX VII: BNF LIST SUBMISSION LETTER FROM S/C CHIEF.....</b>	<b>159</b>
<b>ANNEX VIII: SCG BENEFICIARY DEATH NOTIFICATION FORM.....</b>	<b>160</b>
<b>ANNEX IX: SCG BENEFICIARY DEPARTURE FORM .....</b>	<b>162</b>
<b>ANNEX X: SAGE VILLAGE DISABILITY NOTIFICATION FORM .....</b>	<b>164</b>
<b>ANNEX XI: SAGE PARISH DISABILITY NOTIFICATION FORM .....</b>	<b>166</b>
<b>ANNEX XII: VFSG RELOCATION &amp; REASSIGNMENT FORM.....</b>	<b>168</b>
<b>ANNEX XIII: SAGE COMPLAINTS FORM.....</b>	<b>170</b>
<b>ANNEX XIV: PSP SERVICE LEVEL AGREEMENT .....</b>	<b>172</b>
<b>ANNEX XV: CALENDAR OF NATIONAL HISTORICAL EVENTS.....</b>	<b>173</b>
<b>ANNEX XVI: SCG APPEAL ADJUDICATION AND ENROLMENT REQUEST FORM.....</b>	<b>174</b>
<b>ANNEX XVII: VFSG APPEALS ADJUDICATION AND ENROLMENT REQUEST FORM (SIDE 1) .....</b>	<b>176</b>
<b>ANNEX XVII: VFSG APPEALS ADJUDICATION AND ENROLMENT REQUEST FORM (SIDE 2) .....</b>	<b>177</b>
<b>ANNEX XVIII: SUB-COUNTY GRIEVANCE TRACKING FORM.....</b>	<b>178</b>
<b>ANNEX XIX: RESIDENT’S ID CARD REQUEST FORM .....</b>	<b>180</b>
<b>ANNEX XXII: DT7 – GUIDELINES FOR PARISH CHIEFS IN COMMUNITY REGISTRATION SCG COMMUNITIES.....</b>	<b>186</b>
<b>ANNEX XXIII: DT7 – GUIDELINES FOR PARISH CHIEFS IN AUTOMATED SCG COMMUNITIES.....</b>	<b>190</b>
<b>ANNEX XXIV: DT7 – GUIDELINES FOR PARISH CHIEFS IN VFSG COMMUNITIES.....</b>	<b>195</b>
<b>ANNEX XXV: EVIDENCE TOOL .....</b>	<b>199</b>
<b>ANNEX XXVI: MONITORING AND EVALUATION FRAMEWORK .....</b>	<b>200</b>

## TABLE OF TABLES

Table 1: SAGE District Roll-out Plan (indicative figures) .....	13
Table 2: Detailed SAGE roll-out plan 2011-2012 (indicative).....	15
Table 3: Overview of SP Secretariat roles and reporting lines .....	21
Table 4: Roles at District, Sub-county, Parish and Village Levels .....	29
Table 5: Information requirements for Payment Service Provider .....	72
Table 8: Common Complaints within Social Transfer Programmes .....	77
Table 7: Process Monitoring Indicators .....	109
Table 8: Household Impact Issues to be examined .....	120
Table 9: Community Impact Issues to be examined.....	120

## TABLE OF FIGURES

Figure 1: Position of the Social Protection Secretariat within MoGLSD .....	18
Figure 2: Dual Strands within the SP Secretariat .....	19
Figure 3: SP Secretariat Staffing Structure.....	20
Figure 4: SAGE Pilot District and Sub-county Level Structures.....	24
Figure 5. Management of sub-county process monitoring.....	115
Figure 6: Quality Assurance Schedule for key SAGE processes.....	116

## ACRONYMS

<b>ACDO</b>	Assistant Community Development Officer
<b>BDR</b>	Birth and Death Register
<b>CAO</b>	Chief Administrative Officer
<b>CDO</b>	Community Development Officer
<b>CSO</b>	Civil Society Organisation
<b>DCDO</b>	District Community Development Officer
<b>DFID</b>	Department for International Development (UK)
<b>DLSP</b>	District Livelihoods Support Programme
<b>DSP</b>	Directorate of Social Protection
<b>EOI</b>	Expression of Interest
<b>GoU</b>	Government of Uganda
<b>GPRS</b>	General Radio Packet Service
<b>GSM</b>	Global System for Mobile
<b>IGG</b>	Inspector General of Government
<b>VILLAGE COUNCIL</b>	Local Council 1
<b>LCV</b>	Local Council 5
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MGLSD</b>	Ministry of Gender, Labour and Social Development
<b>MIS</b>	Management Information System
<b>MoES</b>	Ministry of Education and Sports
<b>MoFPED</b>	Ministry of Financial Planning and Economic Development
<b>MoH</b>	Ministry of Health
<b>MoLG</b>	Ministry of Local Government
<b>MOPS</b>	Ministry of Public Service

<b>MSP</b>	Maxwell Stamp PLC
<b>NDP</b>	National Development Plan
<b>NGO</b>	Non Government Organisations
<b>SCG</b>	Senior Citizen's Grant
<b>OJEU</b>	Official Journal of the European Union
<b>OPM</b>	Office of the Prime Minister
<b>PDC</b>	Parish Development Committees
<b>POS</b>	Point of Sale Device
<b>PSP</b>	Payment Service Provider
<b>SAGE</b>	Social Assistance Grant for Empowerment
<b>SP</b>	Social Protection
<b>TPC</b>	Technical Planning Team
<b>UBOS</b>	Uganda Bureau of Statistics
<b>UPE</b>	Universal Primary Education
<b>USE</b>	Universal Secondary Education
<b>VPN</b>	Virtual Private Network
<b>VFSG</b>	Vulnerable Families Support Grant

## GLOSSARY

<b>Household</b>	A household is defined as a number of people who live in the same dwelling and eat from the same pot.
<b>Social Protection</b>	<i>Definition of Social Protection in Uganda: - to be defined.</i>
<b>Vulnerability targeting</b>	A form of targeting that identifies those households with the most vulnerable members (e.g. disabled, old, young, etc).
<b>Vulnerability Score</b>	A composite score that identifies the vulnerability of a household.
<b>Beneficiary</b>	The beneficiary is defined as the individual for whose benefit the payment is made in a social protection programme. Beneficiaries may nominate a proxy recipient to collect payments on their behalf if they are unable to collect it in person. In household grants, the beneficiaries are all the members of the household receiving the grant.
<b>Recipient</b>	The recipient is the individual who receives the payment; this person may also be the beneficiary. For example an adult may receive the payments for a number of child beneficiaries or an elderly or disabled beneficiary may nominate a proxy recipient to collect payments on their behalf. Reasons for nominating a recipient include in the beneficiary is too infirm to go and collect the payment herself or if he does not have the appropriate documents to identify himself. (The requirement for ‘account holders’ to be identified, is to meet the Bank of Uganda’s ‘Know your customer’ rule, different banks have their own internal process to meet this requirement.)

---

## INTRODUCTION TO THIS MANUAL

---

This Implementation Manual has been compiled by the Ministry of Gender, Labour and Social Development's (MGLSD) Social Protection Secretariat to provide guidance to all partners involved in the design, implementation, monitoring and evaluation of the Social Assistance Grants for Empowerment (SAGE) programme. In providing a clear allocation of roles and responsibilities for individuals and organisations involved in programme implementation, it is also intended to serve as the foundation for effective accountability within the programme. It therefore forms a key component of the Memoranda of Understanding (MoU) between the Ministry of Gender, Labour and Social Development (MGLSD) and Local Government Authorities (LGAs). Finally, the Manual is intended to be a living document which will be regularly revised as implementing partners gain experience and generate learning. As such, the on-going development of this Implementation Manual is intended to play a key role in achieving the SAGE pilot's learning objectives.

[Chapter 1](#) provides an overview of the concept of social grants and sets out the rationale and how it ties in with the overall social protection strategy for Uganda. [Chapter 2](#) describes in detail the management responsibility at different levels, the roles and responsibilities of stakeholders as well as coordination mechanisms. [Chapter 3](#) outlines the relationship between SAGE and an exercise to update the national civil registry. [Chapter 4](#) outlines the eligibility criteria and how targeting is organized. Chapter 5 deals with managing changes in households' eligibility and whether they qualify for the pilot or graduate. Chapter 6 sets out the transfer amount, payment system and who is entitled to collect the money on behalf of the household focuses on how household changes are managed. Chapter 7 spells out the grievance procedures in case the existing structures are not reactive to problems and complaints. [Chapter 8](#) gives detailed instructions for planning, budgeting and accounting. [Chapter 9](#) informs stakeholders about the reporting requirements and lays out how information is processed and analysed with the help of the Management Information System as well as how documents are filed. Chapter 10 details the internal monitoring mechanisms to capture and react to problems in the programme while [Chapter 11](#) describes how evidence is produced through an external monitoring and evaluation system. [Chapter 12](#) explains the SAGE communications strategy and provides detailed information on where, when and how different training activities will take place. Chapter 13 explains the SAGE communications strategy. Chapter 14 provides a step-by-step guide to setting up SAGE in each district. Annexes include forms that are used in the scheme.

Readers of these guidelines should also familiarise themselves with the following related documents:

- Expanding Social Protection Programme Document, Ministry Of Gender, Labour And Social Development
- Memorandum of Understanding between the Ministry of Gender, Labour and Social Development, the Ministry of Local Government and District Local Governments for the Implementation of the Social Assistance Grants for Empowerment Programme, including Annex I Financial Management.
- Instructions for Parish Chiefs & Facilitators for the Social Assistance Grant for Empowerment Programme (SAGE)
- Expanding Access to Birth and Death Registration: Implementation Manual.

---

# 1. OVERVIEW OF SAGE

---

This chapter describes the rationale for social grants and locates them within the wider social protection context. It furthermore gives a short summary of the main elements of the scheme and maps out the way forward.

## **In Summary**

- Despite Uganda's impressive growth record, 7m Ugandans remain in chronic poverty and excluded from national development processes.
- Older people, children, people with disabilities and widows are particularly vulnerable.
- In a large number of countries in Africa and elsewhere, social grants form a key component of national development strategies and have been shown to improve a range of indicators including: child nutrition; access to health and education services; and local economic development.
- The National Development Plan (2009) requires the MGLSD to initiate social grants programmes to promote poverty reduction and contribute to national social, economic and human development processes.
- SAGE is a pilot programme designed to generate evidence on the impact of social grants in Uganda as well as provide an opportunity to learn how social grants programmes can be most effectively implemented in the Ugandan context.

## **1.1 The Rationale for Expanding Social Protection in Uganda**

Poverty levels in Uganda have fallen dramatically since 1990, but around 26% of Ugandans continue to experience chronic poverty. Many more Ugandans are vulnerable to shocks that can push them back into poverty. Uganda's impressive growth over the past 20 years has been unequal, benefiting urban areas, central and western regions more than other areas, and benefiting the wealthiest most of all.

Social Protection can be defined as “all initiatives from the public, private and informal sectors that support individuals, households, and communities in their efforts to prevent, mitigate, manage and overcome a defined set of risks and vulnerabilities” (MGLSD, 2006). More specifically, Social Protection interventions can be divided into: Social Assistance, Social Insurance, Social Equity and Social Welfare Services. Although progress is being made in developing certain elements of a national social protection system, these measures are often fragmented, inefficient, and under-resourced. It is

noteworthy, also, that existing social protection interventions are not focused on the chronically poor: cash for work programmes are not appropriate for households with minimal labour capacity while the social insurance institutions which are focused on formal sector workers are not intended to reach the extreme poor, whose livelihoods come from informal and agricultural activities. Similarly, anti-poverty programmes supporting income generation activities are largely focused on the moderately poor with work capacity, or on emergency and post-conflict rehabilitation and reconstruction. Finally, national-scale social assistance schemes are completely absent. As a result, the majority of Ugandans are not covered by any formal social protection system, and the existing formal mechanisms (civil service pensions and National Social Security Fund) only reach those in formal employment. There is no clear national policy framework or strategy.

In response to this situation, the MGLSD (in partnership with the UK Department for International Development (DFID), Irish Aid and UNICEF), has launched the Expanding Social Protection (ESP) programme to embed a national social protection system that benefits the poorest as a core element of Uganda's national planning and budgeting processes. Implementation of the pilot Social Assistance Grants for Empowerment (SAGE) programme is a key component of this initiative and is designed to generate evidence on the impact, and experience in the delivery, of large-scale social grants schemes. The SAGE programme will specifically target labour-constrained individuals and households (i.e. people who are at increased vulnerability to poverty due to their reduced ability to engage in productive activity). Should the pilot prove successful, it is anticipated that it will be scaled-up using a combination of Government and Development Partner support. Ultimately, the objective is for social assistance to be fully and sustainably funded from domestic funding sources.

## **The Role of Social Grants**

The 2005 Uganda Chronic Poverty Report argued that households in chronic poverty show a range of deficits that include deficient consumption and malnutrition, limited access to health and education, and limited voice and influence. For many of these households social exclusion reinforces their disadvantage. The named deficits are responsible for pushing these households deeper into poverty, and for keeping them in poverty.

Social grants reduce the impact of key deficits affecting chronically poor households, through supplementing household purchasing power which enables an immediate improvement in nutrition and consumption and long term investment in schooling and health. Regular and reliable transfers have been shown to improve the resilience of chronically poor households in the face of health and other shocks. They can facilitate a small measure of saving, and possibly improve access to credit. Regular income supplements could also reduce social exclusion in so far as beneficiary households cease to be

perceived as a burden on their extended household and communities. Social grants not only reduce the financial burden and in this way free up resources for other activities of other community members but they furthermore stimulate local markets and lead to significant multiplier effects.

## **The role of the Senior Citizen's Grant (SCG)**

Senior Citizen's Grants – otherwise known as *Social Pensions* or *Non-Contributory Pensions* are a key component of national social protection systems all over the world. Indeed, in many countries SCGs have served as the starting point for developing comprehensive social protection systems as they are affordable, easy to implement and popular. SCGs are different from other types of pension in that they are financed from general taxation rather than contributions. SCGs recognise that it is unrealistic to expect many poor people – particularly women – to save enough money in pension contributions to provide themselves with an adequate income in old age. Instead, SCGs recognise the taxes and other contributions that older people have made to the development of the nation throughout their lifetimes.

SCGs are designed to reduce old age poverty by providing a minimum level of income security to all older people. However, SCGs are not only about older people. SCGs have been shown to increase access to health and education services amongst older people and their families and have also been shown to have a significant impact on child nutrition and development as older people tend to invest a portion of their entitlements in meeting their grandchildren's needs. Where older people are able to continue working, SCGs are also intended to support them by providing the necessary investments to start small businesses.

## **1.2 Summary of the Different Programme Elements**

### **Management & Coordination**

The lead institution for the management of the SAGE Project is the Ministry of Gender, Labour and Social Development (MGLSD) working through the Directorate of Social Protection. The Directorate is supported by a Social Protection (SP) Secretariat which leads on policy, influencing and management of the SAGE pilot. To enhance coordination with the different stakeholders, a multi-sectoral, multi-level institutional framework is being developed and strengthened at the national level. This framework includes the ESP Steering Committee, the national Social protection Sub-Committee, the forum of Permanent Secretaries and Cabinet. The Chairpersons of identified Parliamentary Sessional and Standing Committees including those of Gender, Labour and Social Development and Finance and Planning will participate in

these leadership forums so as to enhance accountability of the SAGE programme.

At the district level, SAGE will be mainstreamed within the local government system as far as possible. Accountability for programme resources and results is held by the Chief Administrative Officer (CAO). Funds for SAGE operations will be disbursed by the MGLSD and approval will be sought from district Councils to incorporate into district budgets. The District Community Development Department – led by the District Community Development Officer (DCDO) - is responsible for implementation of the programme at district level. A Senior DCDO will be nominated to manage day-to-day programme activities and will be supported by three newly recruited staff employed by the Social Protection Secretariat: the District SAGE Technical Officer, District SAGE M&E Officer and District SAGE MIS Officer.<sup>1</sup> Together with the Senior CDO, these staff shall constitute the District SAGE Unit and will report to the DCDO. It is anticipated that those positions initially filled by externally contracted staff will gradually be filled by staff employed directly by district local governments. District level oversight and coordination will be provided by the District Technical Planning Committee (DTPC) and the Social Services Committee of the District Council.

At the sub-county level, the Sub-County Chief shall play a lead oversight role and report to the CAO. Day-to-day activities will be handled by sub-county-level CDOs or ACDOs. Parish and community-level implementation will be led by Parish Chiefs, Parish Development Committee members and village council chairpersons, or their delegates.

## **Preparatory Work – Updating Birth Registration Data**

The SAGE programme is intended to specifically target labour-constrained individuals and households (i.e. people who are at increased vulnerability to poverty due to their reduced ability to engage in productive activity). The programme will therefore need access to information on the age, sex, disability and orphanhood status of potential beneficiaries. In order to maximise efficiency, scalability and to reduce the risk of deliberate mis-reporting of this data, the SAGE programme's beneficiary selection processes will draw on data collected as part of a preliminary birth registration exercise conducted by the Uganda Bureau of Statistics (UBOS) and the Uganda Registration Services Bureau (URSB) using a newly developed electronic birth and death registration (BDR) system. In order to minimise the risk of deliberate mis-reporting of data

---

<sup>1</sup> The staffing model described here is based on the inclusion of 8 districts in the pilot phase of SAGE. SAGE currently lacks the resources to provide the full staff compliment in newly created districts and the precise staff allocation will be determined in partnership with these districts based on the availability of local government staff, the scale of programme operations (number of beneficiaries in the district) and budget availability. It is also possible that externally financed staff could be scaled down in newer districts once the targeting exercise has been completed.

affecting the accuracy of targeting, this exercise will be undertaken in the months prior to targeting in each community rather than as part of the targeting exercise itself.

In addition to electronic birth certificate requests, disability and orphanhood status will be recorded create a comprehensive electronic data-set for each community in URSB's electronic birth and death register which will later be used to automate beneficiary selection and exit decisions. More information on this important exercise can be found in Chapter 2 (Management and Coordination) in the 'cooperating partners' section, Chapter 3 (Preliminary Birth Registration), Chapter 8 (Information Management) and the *Guidelines for Implementation of Universal Birth Registration*.

Where it is not possible to undertake the preliminary birth registration exercise, the Senior Citizen's Grant will be implemented using a simplified, community-based registration mechanism.

## Targeting

Since 'poverty targeting' is extremely difficult and expensive to do with any reasonable degree of accuracy and also tends to create poverty traps and stigma, SAGE will use simple proxies for poverty which tend to be more easily implemented, understood and accepted at all levels. The SAGE programme will therefore consist of two components – a *Senior Citizen's Grant* and a *Vulnerable Families Support Grant* – which will allow the MGLSD to generate evidence on the effectiveness of different approaches to reaching the chronically poor at national scale. Both targeting mechanisms are expected to reach approximately 15% of households in targeted communities.

- **Senior Citizen's Grant:** In most districts, older persons above 65 years of age are registered onto the programme. The number of beneficiaries in a specific district and/or community therefore depends on the age profile. Nationally, people aged 65 and above constitute 3.2% of the population and are represented in around 14% of households. However, the age of eligibility in Karamoja will be 60 years in recognition of the fact that the extreme poverty in the region and the subsequent reduced life expectancy.<sup>2</sup> In lowering the age threshold for Karamoja it is expected that the proportion of households reached by the programme will be similar across all districts.

All older people aged 65 years or above (60 in Karamoja) will be enrolled in July each year. Older people due to cross the age threshold in that financial year will also be enrolled at the start of the year.

---

<sup>2</sup> According to the 2002 Census, the proportion of the population aged 65 years and above in Moroto/Napak and Nakapiripirit/Amudat is 2.1% and 1.6% respectively compared with 3.2% nationally. The proportion of the population aged 60 years and above in Moroto/Napak and Nakapiripirit/Amudat is 3.2% and 2.4% respectively.

- **Vulnerable Families Support Grant (VFSG):** Numerical scores are allocated to key demographic indicators of vulnerability such as disability, old age, young age and orphan hood and different total scores awarded to individual households based on their composition and the characteristics of their members. A numerical targeting threshold is set for each district – based on data from the UNHS 2009/10 – which is designed to ensure that approximately 15% of all households are targeted in each district<sup>3</sup>. This allows the distribution of programme beneficiaries to reflect differences in scale and depth of vulnerability between sub-counties within the district.

Retargeting in VFSG sub-counties will be conducted every 24-36 months and newly eligible beneficiaries (i.e. households which, due to changes in composition, score higher than other households on the beneficiary list) will be enrolled. An automated waiting list system – incorporated within the SAGE MIS - will identify households to be enrolled. In the case of the VFSG, new entrants will be enrolled households on a priority basis, depending on their vulnerability scores.

## Payment

Beneficiaries receive a monthly transfer of 23,000 UGX [2011 value]. This represents more than 20% of the monthly household consumption of the poorest decile of Uganda’s population—the main target group of the cash transfer. The amount is also sensitive to what is fiscally affordable at national scale. The benefit level also reflects a normative sense of social acceptability. The amount has been subject to broad stakeholder consultations, and is low enough that it does not shift a median lowest decile household above the median of the next decile in the overall household consumption distribution for Uganda. The transfer amount is also pegged to an index related to the consumer price index and will be updated at the start of each financial year.

If present in a beneficiary household, adult women will be selected by the programme to be the physical recipient of transfers under the VFSG. In the case of the Senior Citizen’s Grant, the transfer is given to the individual older person enrolled – irrespective of sex. The programme will also make provision for beneficiaries to authorise alternate recipients to be able collect the transfer in cases where the recipient is sick, infirm or where it is simply more convenient for another person to physically collect the cash.

One or more Payments Service Providers (PSPs) has been selected to deliver transfers based on their capacity to deliver payments in a cost-effective,

---

<sup>3</sup> The pilot’s finite resources necessitate limiting district quotas to 15% of the total number of households. As more funding becomes available, this coverage rate could be increased and households with lower scores incrementally enrolled in the programme.

accessible, reliable and secure manner. Social grant payments will be delivered to recipients in an electronic store-of-value that can readily be converted into cash at a network of agents located in all sub-counties and trading centres within SAGE districts.

## **Managing Changes**

In SCG communities, next of kin and village chairpersons will be required to report the deaths of any SAGE beneficiaries so that payments can be terminated. Bereaved families would however receive a final SAGE Transition Support Grant equivalent to 4 months of SAGE payments.

Since changes in household composition will affect eligibility for the VFSG component of the programme, Village Chairpersons in VFSG communities are required to register all new births and deaths using the electronic birth and death registration system operated by Village Health Teams (VHTs), Parish Development Committee (PDC) members and health centres equipped with specially-enabled mobile telephones or computers. In addition, a more proactive biannual update of the electronic birth and death register will be completed in each community by VHTs working with the support of local government, URSB and UNICEF. All cases of household splits will be reported by the village chairperson as will cases of permanent disablement.

In the case of the VFSG, changes in composition or location may mean that a household is no longer eligible. However, to avoid households moving in and out of the programme over time, there will be a minimum enrolment period of 24 months. In order to facilitate their transition out of the programme, exiting households will be referred to other programmes where available and/or receive a SAGE Transition Support Grant. Households which leave SAGE districts will be considered ineligible from the time of departure and no transition support grant will be payable.

## **Grievance Mechanism**

SAGE will adopt an overtly rights- and service-oriented approach across all operational areas. This will be guided by a *Programme Service Charter* which will be used to foster downwards accountability. Simple programme management and decision-making fora at sub-county and district level will create space for addressing complaints and other public feedback. In addition, the SAGE programme makes provision for a complaints and appeals process managed by the sub-county CDO working through Parish Chiefs. Accessibility of the grievance mechanism to the most vulnerable is promoted by building the capacity of existing community-level advocacy structures. The accountability of these structures to the community will be emphasised throughout. Finally, the participation of civil society, law enforcement agencies and other constitutional accountability provisions will be encouraged through their membership of national and district-level committee structures.

## **Financial Management**

The SAGE Unit of the SP Secretariat is responsible for managing the overall programme budget including personnel costs, technical assistance and implementing partners, SAGE operational costs and evaluation activities. The SP Secretariat prepares annual budgets and advises MGLSD on disbursements to local government authorities to finance local-level SAGE operations. Local government authorities will account to the MGLSD. A management agent is responsible for pre-financing the social grants during the pilot phase. Extensive control systems will be set-up to reduce fiduciary risk.

## **Information Management**

The SAGE operations will be coordinated by a Management Information System (MIS) housed within the SP Secretariat. District SAGE officials – particularly the District MIS Officer – will have access to the MIS using an on-line VPN connection. The MIS will enable the programme to keep track of registered households, calculate and reassess vulnerability scores for targeting options 1 and 2, generate beneficiary waiting lists, generate payroll lists for the payment service provider, reconcile payments data and generate monitoring reports.

## **Operational Monitoring**

Given the learning objectives of the SAGE pilot, operational monitoring will be a key activity and will be conducted by staff from Community Development Department staff at district and sub-county level as well as MGLSD's SP Secretariat. In addition, a District Monitoring Team led by the CAO will undertake quarterly monitoring missions. Monitoring missions will chart progress on activities and achieving the outputs, as well as identify challenges with implementation. It will be undertaken against agreed annual work plans.

Three times a year, lessons learned and issues arising will be documented as case studies, to help improve project performance and feed into broader policy work. The findings will be shared at national level workshops with key stakeholders and widely disseminated. Monitoring data will be fed into the MIS by District MIS Officers using information supplied by sub-county CDOs and other agencies.

## **Evidence and Advocacy**

The pilot will generate lessons on the effectiveness, cost and time efficiency and appropriateness of the different targeting methods and delivery mechanisms. It will also measure the impact of social grants at the household and community levels and in generating evidence for up-scaling social assistance nationally.

An independent evaluation contractor will undertake a baseline survey and impact assessments after the second and third year of implementation. Linkages will be established with national monitoring systems (e.g. NIMES) and making use of information collected by UBOS.

The lessons will be fed into national policy fora on social protection, facilitated by the Policy Unit of the Social Protection Secretariat. A Communication and Advocacy Strategy will be developed targeting both government and the general public.

### **Training strategy**

Roll-out of the SAGE programme will be supported by a clearly defined, cascade training strategy structured according to 8 district trainings (DTs). Each district SAGE Unit will develop, with the support of the SP Secretariat a roll-out workplan and training schedule for all necessary training activities. Budgets for implementing each DT will be provided by the SP Secretariat and funds managed by local government authorities.

### **Communications**

The SAGE communication strategy is part of a wider ESP Communication strategy which is designed to improve understanding of and commitment to social protection among policy makers and the public. The ESP communications strategy therefore focuses on stimulating and articulating public demand for social protection as a key precursor to the generation of the political will required developing and implementing a national social protection framework. The wider communication strategy also recognises the importance of strengthening citizen-state relations and increasing the responsiveness of Ugandan public services to the needs of the poorest and most vulnerable. A communication approach that is dynamic and facilitates two-way flows of communication between citizen and state is therefore proposed to contribute to strengthening dialogue between citizen and state.

The main purpose of the SAGE communication strategy is specifically to ensure that the target beneficiaries and all the stakeholders are well informed, participate in the programme and provide the necessary support for its successful implementation. The successful programme implementation articulated through evidence and 'testimonies' of the beneficiaries in turn will support advocacy for social protection agenda in Uganda.

### **1.3 SAGE roll-out strategy**

#### **District selection and scaling-up beyond the Pilot**

The selection of pilot districts is based a scoring system developed by MGLSD which ranks all districts per sub-region. Since SAGE aims to be a national programme, selection was also dependent on having a representative selection of districts across all sub-regions in the country. Due to the higher incidence of poverty in Northern and Eastern Uganda one additional pilot district has been proposed for each of these two regions.

In order to provide an opportunity for testing and refining programme design prior to roll-out across the 14 SAGE pilot districts, a short pre-pilot will be conducted in 6 sub-counties in 3 districts which have better payments infrastructure and staff at district and sub-county levels. We also present here the criteria used for sequencing the 6 districts.

#### **SAGE district selection**

Using data from the 2002 Uganda Population and Housing Census ranked districts according to their share of specific demographic groups as well as on health and education criteria<sup>4</sup> :

- 1) share of children in the entire population,
- 2) share of elderly persons in the entire population,
- 3) share of orphans and vulnerable children in the child population
- 4) share of risky births,
- 5) proportion of households living more than 5 km from health facilities, and
- 6) share of children (6-12 years) not attending school.

Each district was then awarded a composite score by summing up the share of children and elderly persons in the entire population; share of orphans and vulnerable children in the children population; share of risky births and proportion of households living more than 5kms from the health facilities; and share of children (6-12 years) not attending school for each district. The probability of a district being a pilot district increases with score index. The score ranges from 125 to 277.7 (see details in Table A31).

Based on this analysis, the 6 pilot districts were selected by region including Kiboga in Central region, Katwaki and Kaberamaido in Eastern region, Kyenjojo in Western region and Nebbi and Apac in Northern region. In 2010, the MGLSD also took the decision to add two districts in Karamoja that had

---

<sup>4</sup> Sarah Ssewanyana, ANNEX 8: Options for targeting and simulations of the poverty effectiveness of alternative types of transfers, Final Cash Transfer Design Report, March 2007

been left out of the original design due to challenges in the region. This brought the total number of districts to 8.

In 2010, the Government of Uganda sub-divided some of the original 8 SAGE districts. The MGLSD subsequently decided to include those newly created districts which lie within the original geographic boundaries of the original 8 SAGE districts. Therefore the districts of Kole, Zombo, Amudat, Napak, Kyegwa and Kyankwanzi were added to the SAGE pilot roll-out plan bringing the total number of districts to 14.

Table A 31: Composite Score for Selection of District <sup>5</sup>

District	Children <18 yrs	Elderly 60yrs +	Risky births	Net primary enrolment rates 6-12 yrs	Children not in school 6-12yrs	Prop. Households with 5kms from health facility	Prop. Households more than 5kms from health facility	Prop. Orphans and vulnerable children	Composite score	Ranking
<b>Central</b>										
Kiboga	56.6	5.3	56.3	86.6	13.4	56.9	43.1	23.6	198.3	1
Nakasongola	57.8	4.5	55.2	91.7	8.3	56.4	43.6	28.0	197.4	2
Sembabule	57.1	4.9	54.2	84.6	15.4	56.4	43.6	21.8	197.0	3
Mubende	57.8	5.2	55.3	87.3	12.7	67.4	32.6	24.2	187.8	4
Kayunga	59.3	5.8	58.1	89.5	10.5	74.2	25.8	25.6	185.1	5
Luwero	58.5	5.6	55.3	91.3	8.7	71.9	28.1	27.6	183.8	6
Mpigi	60.0	5.8	57.3	91.6	8.4	73.1	26.9	24.9	183.3	7
Mukono	55.8	4.9	53.3	88.8	11.2	69.4	30.6	21.1	176.9	8
Kalangala	34.0	2.8	41.0	83.2	16.8	48.4	51.6	30.5	176.7	9
Rakai	56.8	5.5	52.4	88.6	11.4	78.9	21.1	26.7	173.9	10
Masaka	58.2	5.6	51.5	89.7	10.3	78.9	21.1	24.7	171.4	11
Wakiso	52.8	3.6	48.6	90.2	9.8	85.3	14.7	25.8	155.3	12
Kampala	45.6	1.8	36.0	89.7	10.3	94.3	5.7	25.6	125.0	13
<b>Eastern</b>										
Katakwi	55.5	5.5	55.4	85.4	14.6	43.7	56.3	21.5	208.8	1
Kaberamaido	57.5	5.7	60.7	89.3	10.7	58.9	41.1	18.0	193.7	2
Kamuli	59.1	5.4	60.6	87.3	12.7	61.6	38.4	14.7	190.9	3
Mayuge	58.9	4.4	61.2	87.6	12.4	68.2	31.8	18.5	187.2	4
Soroti	56.5	5.0	57.6	87.8	12.2	65.8	34.2	18.6	184.1	5
Bugiri	58.3	4.2	61.0	88.9	11.1	73.0	27.0	18.6	180.2	6
Pallisa	58.3	5.8	62.5	85.7	14.3	81.8	18.2	21.1	180.2	7
Tororo	56.4	5.4	59.1	87.0	13.0	79.0	21.0	17.7	172.6	8
Mbale	55.1	5.5	56.1	91.0	9.0	77.9	22.1	22.8	170.6	9
Kumi	55.6	6.6	55.4	90.1	9.9	74.9	25.1	17.4	170.0	10
Busia	56.9	4.8	58.0	90.9	9.1	82.2	17.8	20.8	167.4	11
Iganga	59.6	5.1	60.5	90.5	9.5	85.4	14.6	17.0	166.3	12
Kapchorwa	57.3	4.4	52.1	91.8	8.2	82.3	17.7	25.1	164.8	13
Sironko	54.7	6.9	57.0	92.2	7.8	82.0	18.0	20.3	164.7	14
Jinja	55.5	3.8	55.4	90.6	9.4	96.5	3.5	20.3	147.9	15
<b>Northern</b>										
Moroto	51.3	3.2	49.2	20.2	79.8	65.3	34.7	59.5	277.7	1
Nakapiripirit	56.3	2.5	53.5	18.5	81.5	45.4	54.6	26.5	274.9	2
Nebbi	56.2	4.8	53.7	79.2	20.8	82.1	17.9	57.9	211.3	3
Apac	57.7	4.7	58.9	80.2	19.8	55.4	44.6	25.6	211.3	4
Pader	54.9	3.4	54.5	80.6	19.4	53.5	46.5	30.7	209.4	5
Lira	56.7	4.3	58.2	79.2	20.8	60.5	39.5	26.5	206.0	6
Kitgum	55.1	4.3	53.8	84.5	15.5	58.0	42.0	30.4	201.1	7
Yumbe	59.0	2.7	49.3	85.5	14.5	51.0	49.0	23.8	198.3	8
Gulu	54.7	4.0	52.3	81.0	19.0	68.3	31.7	29.1	190.8	9

<sup>5</sup> Sarah Ssewanyana, ANNEX 8: Options for targeting and simulations of the poverty effectiveness of alternative types of transfers, Final Cash Transfer Design Report, March 2007

District	Children <18 yrs	Elderly 60yrs +	Risky births	Net primary enrolment rates 6-12 yrs	Children not in school 6-12yrs	Prop. Households with 5kms from health facility	Prop. Households more than 5kms from health facility	Prop. Orphans and vulnerable children	Composite score	Ranking
Adjumani	57.6	2.7	46.7	81.0	19.0	86.6	13.4	44.0	183.4	10
Arua	55.3	3.9	50.1	83.1	16.9	75.6	24.4	22.4	173.0	11
Moyo	55.4	2.8	43.0	86.6	13.4	89.5	10.5	25.1	150.2	12
Kotido										13
<b>Western</b>										
<b>Kyenjojo</b>	<b>58.0</b>	<b>4.8</b>	<b>55.7</b>	<b>78.8</b>	<b>21.2</b>	<b>55.5</b>	<b>44.5</b>	<b>22.9</b>	<b>207.1</b>	<b>1</b>
Kamwenge	57.0	4.0	53.5	81.1	18.9	50.2	49.8	19.6	202.8	2
Kibaale	58.6	4.1	54.5	81.9	18.1	57.7	42.3	24.8	202.4	3
Masindi	55.8	4.2	56.8	83.7	16.3	67.4	32.6	24.9	190.6	4
Hoima	55.3	4.8	53.7	83.7	16.3	72.7	27.3	27.8	185.2	5
Mbarara	54.7	4.3	49.0	86.8	13.2	65.6	34.4	27.4	183.0	6
Kabarole	55.9	5.1	53.4	84.5	15.5	82.1	17.9	31.2	179.0	7
Kisoro	58.6	5.5	48.7	80.1	19.9	78.1	21.9	24.1	178.7	8
Kasese	57.5	3.5	56.2	87.3	12.7	81.9	18.1	28.0	176.0	9
Kanungu	56.6	4.4	49.8	85.9	14.1	72.6	27.4	23.4	175.7	10
Budibugyo	55.9	3.9	56.9	85.4	14.6	80.7	19.3	24.3	174.9	11
Ntungamo	56.1	4.7	48.7	89.8	10.2	78.2	21.8	25.1	166.6	12
Bushenyi	57.2	4.8	47.2	89.5	10.5	76.5	23.5	23.0	166.2	13
Rukungiri	57.1	5.2	43.5	91.0	9.0	77.8	22.2	29.0	166.0	14
Kabale	55.9	5.3	44.9	88.5	11.5	83.4	16.6	24.5	158.7	15
Uganda	56.1	4.5	53.6	85.8	14.2	73.3	26.7	24.3	179.4	

Source: UBoS (2006), 2002 Uganda Population and Housing Census, Analytical Report – Abridged Version

## Sequencing of the 6 pilot districts

In order to ensure successful implementation, SAGE will be rolled out first in districts that have the strongest institutional capacity in terms of staff. This will allow lessons to be learnt and design refined in a more conducive operational environment prior to expansion to more challenging areas. The original 6 districts were therefore ranked according to numbers of existing CDO staff in position at the district and sub-county levels. This sequencing will allow SAGE to make a quicker start in district which are better established and provide more time to find alternative arrangements in districts with poorer infrastructure and local government presence.

The table below summarises the CDO staffing levels across the 8 original pilot districts.

District	No of Town councils	DCDOs Filled	DCDOs Vacant	No of S/counties	Subcounty Required		Subcounty Filled		Subcounty Vacant	
					CDOs	A/CDOs	CDOs	A/CDOs	CDOs	A/CDOs
Apac	1	0	1	14	15	15	2	15	13	0
Kaberamaido	1	1	0	8	9	9	2	9	7	0
Katakwi	1	0	1	9	10	10	0	3	10	7
Kiboga	1	1	0	14	15	15	6	8	11	7
Kyenjojo	1	1	0	13	14	14	10	4	4	10
Nebbi	3	1	0	16	19	19	7	12	12	7

Source: 2008 data compiled by MGLSD (August 2009)

In addition, existing payment infrastructure was also factored in the ranking<sup>6</sup>. The scoring system is presented in the table below.

DCDO		S/C CDO		S/C ACDO		Payment Infrastructure	
1	Yes	1	All positions filled	1	All positions filled	1	50,001-100,000 ratio population per access point
0	No	% filled	partially filled	% filled	partially filled	0.66	100,001-200,000 ratio population per access point
		0	none	0	none	0.33	200,001 - 500,000 ratio population per access point
						0	No service points

The results across the 6 districts are presented below. The SAGE pre-pilot will start in Kyenjojo, Kiboga and Kaberamaido, followed by Nebbi, Apac and Katakwi, Napapiripirit and Moroto.

	District CDO	Sub-county CDO	Sub-county Assistant CDO	Payment Infrastructure	TOTAL	Rank
Kyenjojo	1	0.71	0.29	1	3.00	1
Kiboga	1	0.40	0.53	1	2.93	2
Kaberamaido	1	0.22	1.00	0.66	2.88	3
Nebbi	1	0.37	0.63	0.66	2.66	4
Apac	0	0.13	1.00	0.33	1.46	5
Katakwi	0	0.00	0.30	0	0.30	6

In order to provide adequate time for filling the required posts, implementation in the newly created districts (Kyegewa, Kyankwanzi, Zombo, Kole, Amudat and Napak) will be delayed until April 2012.

**Table 1: SAGE District Roll-out Plan (indicative figures)**

		2011	2012	2013	2014	2015
Kyenjojo	Sub-counties	5	10	10	10	10
	Bnfs	5200	12200	12600	13100	13500
Kiboga	Sub-counties	4	7	7	7	7
	Bnfs	3000	5500	5700	5900	6100
Kaberamaido	Sub-counties	4	9	9	9	9
	Bnfs	2300	5800	6000	6100	6300
Moroto	Sub-counties	2	8	10	10	10
	Bnfs	1100	5600	7300	7500	7700
Nakapiripirit	Sub-counties	2	7	7	7	7
	Bnfs	850	4300	4400	4500	4700
Nebbi	Sub-counties	2	8	12	12	12
	Bnfs	1400	7500	10800	11200	11600
Apac	Sub-counties	2	8	10	10	10
	Bnfs	2100	8800	11200	11600	11900
Katakwi	Sub-counties	2	8	9	9	9
	Bnfs		4800	5800	6000	6200
Amudat	Sub-counties		3	3	3	3
	Bnfs		2800	2900	3000	2900
Kyegewa	Sub-counties		5	5	5	5

<sup>6</sup> see map of payment infrastructure in Annex O

	Bnfs		4900	5000	5200	5400
Kyankwanzi	Sub-counties		5	7	7	7
	Bnfs		3900	6100	6300	6500
Zombo	Sub-counties		5	7	7	7
	Bnfs		5000	7400	7800	7900
Kole	Sub-counties		5	5	5	5
	Bnfs		5600	5800	6000	6200
Napak	Sub-counties					
	Bnfs					
<b>Cumulative districts</b>		<b>3</b>	<b>14</b>	<b>14</b>	<b>14</b>	<b>14</b>
<b>Cumulative sub-counties</b>		<b>23</b>	<b>88</b>	<b>110</b>	<b>110</b>	<b>110</b>
<b>Cumulative bnfs</b>		<b>17,900</b>	<b>76,700</b>	<b>91,100</b>	<b>94,000</b>	<b>96,700</b>

## Sequencing sub-county roll-out within districts

In each district beneficiaries from a new sub-county will be enrolled every two months until all sub-counties are covered by the programme. Sequencing of sub-counties will be undertaken by the MGLSD Social Protection Secretariat. Sequencing decisions will be based on randomisation requirements of the impact evaluation as well as the level of progress made in the birth/household registration exercise.

## Funding

Initially, SAGE will be funded jointly by Government of Uganda, DFID, Irish Aid and UNICEF. The Secretariat will develop a transition plan during the start-up phase which would spell out the gradual shift from an externally managed to a wholly GoU managed SAGE programme. This will include provisions for funding operational tasks and recurrent costs. In addition a basket fund will be established into which government and development partners could make contributions to financing continuity and scale-up.

The broader “Expanding Social Protection in Uganda” programme – funded by DFID and Irish Aid – will work with the Ministry of Finance to explore options for long-term funding of a national SAGE programme. In addition, a Social Protection Performance and Expenditure Review will be conducted as part of the broader ESP programme with a view to identifying potential domestic funding sources for SAGE.

**Table 2: Detailed SAGE roll-out plan 2011-2012 (indicative)**

		2011					2012											
		Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec
<b>Kyenjojo</b>		2279	2279	2279	2279	2279	2279	3728	3728	5240	5335	7279	7352	9382	9382	10764	10764	11568
	Sub-counties	2	2	2	2	2	2	3	3	5	5	6	6	7	7	8	8	9
<b>Kiboga</b>	Households	1517	1517	1517	1517	1517	1517	2025	2025	3073	3171	4208	4208	4833	4833	5545	5545	5545
	Sub-counties	2	2	2	2	2	2	3	3	4	4	5	5	6	6	7	7	7
<b>Kabaramaido</b>	Households	1480	1480	1480	1480	1480	1480	1980	1980	2570	2652	3342	3342	3852	3852	4612	4612	5652
	Sub-counties	2	2	2	2	2	2	3	3	4	4	5	5	6	6	7	7	8
<b>Moroto</b>	Households	0	0	701	701	701	701	701	701	1113	1149	1560	1560	2376	2989	2989	3419	3419
	Sub-counties	0	0	1	1	2	2	3	3	4	4	5	5	6	6	6	6	6
<b>Nakapirpirit</b>	Households	0	0	441	441	441	441	441	441	842	869	941	941	2425	2425	3064	3064	3360
	Sub-counties	0	0	1	1	2	2	3	3	4	4	5	5	6	6	7	7	8
<b>Nebbi</b>	Households	0	0	582	582	582	582	582	582	1420	1420	3125	3225	3909	3909	4796	4796	5642
	Sub-counties	0	0	1	1	2	2	3	3	4	4	5	5	6	6	7	7	8
<b>Apac</b>	Households	0	0	980	980	980	980	980	980	2070	2136	3040	3040	3967	3967	5452	5452	6842
	Sub-counties	0	0	1	1	2	2	3	3	4	4	5	5	6	6	7	7	8
<b>Katakwi</b>	Households	0	0	485	485	485	485	485	485	1548	1598	1883	1883	2471	2471	3283	3283	3829
	Sub-counties	0	0	1	1	2	2	3	3	4	4	5	5	6	6	7	7	8
<b>Amudat</b>	Households	0	0	0	0	0	0	0	0	927	927	927	927	927	927	2141	2141	2785
	Sub-counties	0	0	0	0	0	0	0	0	1	1	2	2	3	3	3	3	3
<b>Kyegegwa</b>	Households	0	0	0	0	0	0	0	0	863	863	863	863	863	863	1730	1730	2147
	Sub-counties	0	0	0	0	0	0	0	0	1	1	2	2	3	3	4	4	5
<b>Kyankwanzi</b>	Households	0	0	0	0	0	0	0	0	1105	1105	1105	1105	1105	1105	1602	1602	2051
	Sub-counties	0	0	0	0	0	0	0	0	1	1	2	2	3	3	4	4	5
<b>Zombo</b>	Households	0	0	0	0	0	0	0	0	957	957	957	957	957	957	1896	1896	3011
	Sub-counties	0	0	0	0	0	0	0	0	1	1	2	2	3	3	4	4	5
<b>Kole</b>	Households	0	0	0	0	0	0	0	0	1152	1152	1152	1152	1152	1152	1817	1817	3526
	Sub-counties	0	0	0	0	0	0	0	0	1	1	2	2	3	3	4	4	5
<b>Napak</b>	Households	0	0	0	0	0	0	0	0	701	701	1113	1113	1511	1511	2301	2301	2895
	Sub-counties	0	0	0	0	0	0	0	0	1	1	2	2	3	3	4	4	5
<b>ALL</b>	HHs	5276	5276	8465	8465	8465	8465	10921	10921	23580	24033	31496	31669	39729	40342	51992	52423	62273
	Sub-counties	6	6	11	11	16	16	24	24	39	39	53	53	67	67	79	79	90
	Approx Parishes	35	35	65	65	94	94	142	142	230	230	313	313	395	395	466	466	531
	Approx Villages	312	312	571	571	831	831	1246	1246	2025	2025	2752	2752	3479	3479	4102	4102	4673

**Table 2: Detailed SAGE roll-out plan 2013-2015 (indicative)**

		2013												2014												2015	
		Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb
<b>Kyenjojo</b>		11568	12277	12277	12277	12670	12670	12670	12670	12670	12670	12670	12670	12670	12670	12670	12670	13075	13075	13075	13075	13075	13075	13075	13075	13075	13075
	Sub-counties	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9
<b>Kiboga</b>	Households	5545	5545	5545	5545	5722	5722	5722	5722	5722	5722	5722	5722	5722	5722	5722	5722	5906	5906	5906	5906	5906	5906	5906	5906	5906	5906
	Sub-counties	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7
<b>Kabaramaido</b>	Households	5652	5766	5766	5766	5950	5950	5950	5950	5950	5950	5950	5950	5950	5950	5950	5950	6140	6140	6140	6140	6140	6140	6140	6140	6140	6140
	Sub-counties	8	9	9	10	10	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11
<b>Moroto</b>	Households	4318	4318	5558	5558	7076	7076	7266	7266	7266	7266	7266	7266	7266	7266	7266	7266	7498	7498	7498	7498	7498	7498	7498	7498	7498	7498
	Sub-counties	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
<b>Nakapiririt</b>	Households	3360	4294	4294	4294	4432	4432	4432	4432	4432	4432	4432	4432	4432	4432	4432	4573	4573	4573	4573	4573	4573	4573	4573	4573	4573	4573
	Sub-counties	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8
<b>Nebbi</b>	Households	5642	6855	6855	7518	7759	8301	8301	9305	9305	9908	9908	10865	10865	10865	10865	10865	11212	11212	11212	11212	11212	11212	11212	11212	11212	11212
	Sub-counties	8	9	9	10	10	11	11	12	12	12	12	12	12	12	12	12	12	12	12	12	12	12	12	12	12	12
<b>Apac</b>	Households	6842	8362	8362	8793	9074	10129	10129	11203	11203	11203	11203	11203	11203	11203	11203	11203	11561	11561	11561	11561	11561	11561	11561	11561	11561	11561
	Sub-counties	8	9	9	10	10	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11	11
<b>Katakwi</b>	Households	3829	4281	4281	4751	4903	5796	5796	5796	5796	5796	5796	5796	5796	5796	5796	5982	5982	5982	5982	5982	5982	5982	5982	5982	5982	5982
	Sub-counties	8	9	9	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
<b>Amudat</b>	Households	2785	2785	2785	2785	2874	2874	2874	2874	2874	2874	2874	2874	2874	2874	2874	2874	2966	2966	2966	2966	2966	2966	2966	2966	2966	2966
	Sub-counties	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
<b>Kyegegwa</b>	Households	2147	3735	3735	4871	5027	5027	5027	5027	5027	5027	5027	5027	5027	5027	5027	5188	5188	5188	5188	5188	5188	5188	5188	5188	5188	5188
	Sub-counties	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
<b>Kyankwanzi</b>	Households	2051	2577	2577	3898	4023	5335	5335	6088	6088	6088	6088	6088	6088	6088	6088	6088	6283	6283	6283	6283	6283	6283	6283	6283	6283	6283
	Sub-counties	5	6	6	7	7	8	8	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9
<b>Zombo</b>	Households	3011	3957	3957	5021	5182	6240	6240	7434	7434	7434	7434	7434	7434	7434	7434	7434	7672	7672	7672	7672	7672	7672	7672	7672	7672	7672
	Sub-counties	5	6	6	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7
<b>Kole</b>	Households	3526	4593	4593	5606	5786	5786	5786	5786	5786	5786	5786	5786	5786	5786	5786	5786	5971	5971	5971	5971	5971	5971	5971	5971	5971	5971
	Sub-counties	5	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
<b>Napak</b>	Households	2895	3312	3312	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812	3812
	Sub-counties	5	6	6	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7
<b>ALL</b>	HHs	63172	72657	73897	80495	84289	89150	89340	93364	93364	93967	93967	94924	94924	94924	94924	94924	97839	97839	97839	97839	97839	97839	97839	97839	97839	97839
	Sub-counties	90	98	98	105	105	109	109	111	111	111	111	111	111	111	111	111	111	111	111	111	111	111	111	111	111	111
	Approx Parishes	531	578	578	620	620	643	643	655	655	655	655	655	655	655	655	655	655	655	655	655	655	655	655	655	655	655
	Approx Villages	4673	5088	5088	5452	5452	5659	5659	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763	5763

---

## 2. MANAGEMENT & COORDINATION

---

This chapter specifies the management arrangement of SAGE at different levels and describes in detail the roles and responsibilities of all actors in SAGE. It provides an insight into how different stakeholders coordinate at different levels in implementing SAGE and in linking social grants effectively with other social protection interventions.

### **In Summary**

- The programme will be overseen by a Social Protection Secretariat based within the Ministry of Gender, Labour and Social Development.
- At District level, SAGE will be integrated into local government systems and Chief Administrative Officers will be accountable for programme delivery and funds.
- A District SAGE Unit will be established comprising a Senior Community Development Officer (CDO), a SAGE Technical Officer, SAGE MIS officer and SAGE M&E officer. The SAGE Unit will report to the District Community development Officer (DCDO).
- At the sub-county level, the programme will be coordinated by the Sub-county Community Development Officer (CDO)

### **Responsibilities of the Sub-County Chief**

- Chair monthly SAGE programme coordination meetings.
- Ensure Parish Chief's fulfil requirements.
- Signs-off on some management form submissions.

### **Responsibilities of the Sub-County (A)CDO**

- Secretary of monthly SAGE programme coordination meetings.
- Responsible for workplanning and sending instructions to Parish Chiefs.
- Counter-signs some management forms prior to submission to District SAGE Unit.

### **Responsibilities of Parish Chiefs and Parish Facilitators**

- Primary interface between SAGE and communities.
- Coordination of Parish Development Committee members (PDCs)
- Attendance at monthly sub-county SAGE coordination meetings
- Counter-sign and transfer management forms between community and sub-county.

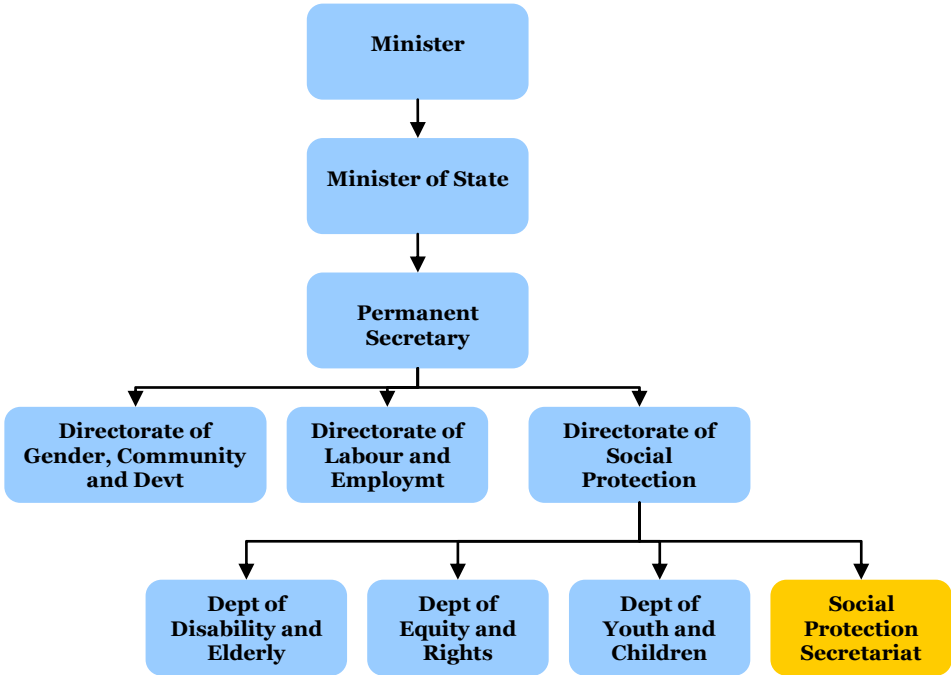
## **2.1 National-level Management and Oversight**

SAGE will be managed by the Ministry of Gender, Labour and Social Development (MGLSD) working through the Directorate of Social Protection (DSP). The MGLSD has been identified as the lead institution given its constitutional mandate for social development and protection of vulnerable groups.

In order to address current capacity challenges within the Ministry, a Social Protection Secretariat has been established in the MoGLSD to support the DSP and lead on policy, advocacy and communication influencing and the implementation of the SAGE pilot. The Secretariat will draw from existing staff in the MGLSD where the necessary skills are available and contract external experts to meet capacity gaps in the short run.

Multi-sectoral oversight of SAGE and linkages with national social protection policy processes will be established through the establishment of a Social Protection Sub-Committee. SAGE will also be overseen by the wider ESP programme Steering Committee comprised of senior representatives from relevant Ministries, development partners and civil society organisations.

**Figure 1: Position of the Social Protection Secretariat within MoGLSD**



**2.2 Roles and Responsibilities**

**The Social Protection Sub-Committee**

The Social Protection Sub-Committee is a multi-stakeholder forum established at the national level to provide technical and policy input into ongoing social protection reforms, to provide guidance to the Directorate of Social Protection on issues such as the wider Social Protection Policy Framework and to build alliances across government.

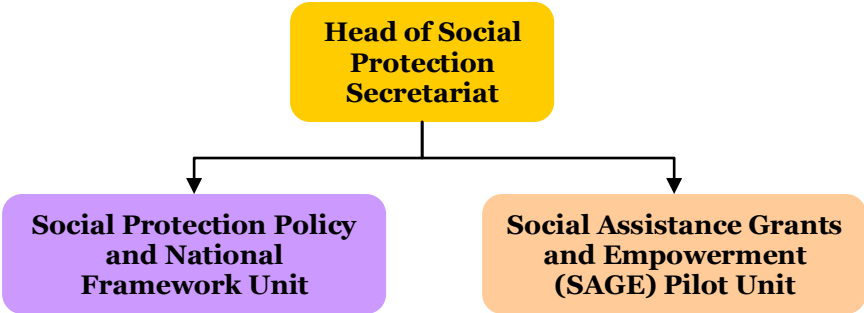
The SP Sub-Committee is comprised of representatives from government, development partners, CSOs, and independent accountability institutions such as the Inspectorate of Government and the Uganda Human Rights Commission. The Sub-Committee meets quarterly.

The SP Sub-Committee will be supported by the SP Secretariat through the provision of technical inputs to relevant sector working groups, provision of expert advice on integration of Social Protection in national processes such as the National Development Plan and budgetary processes, and supply of SAGE M&E data.

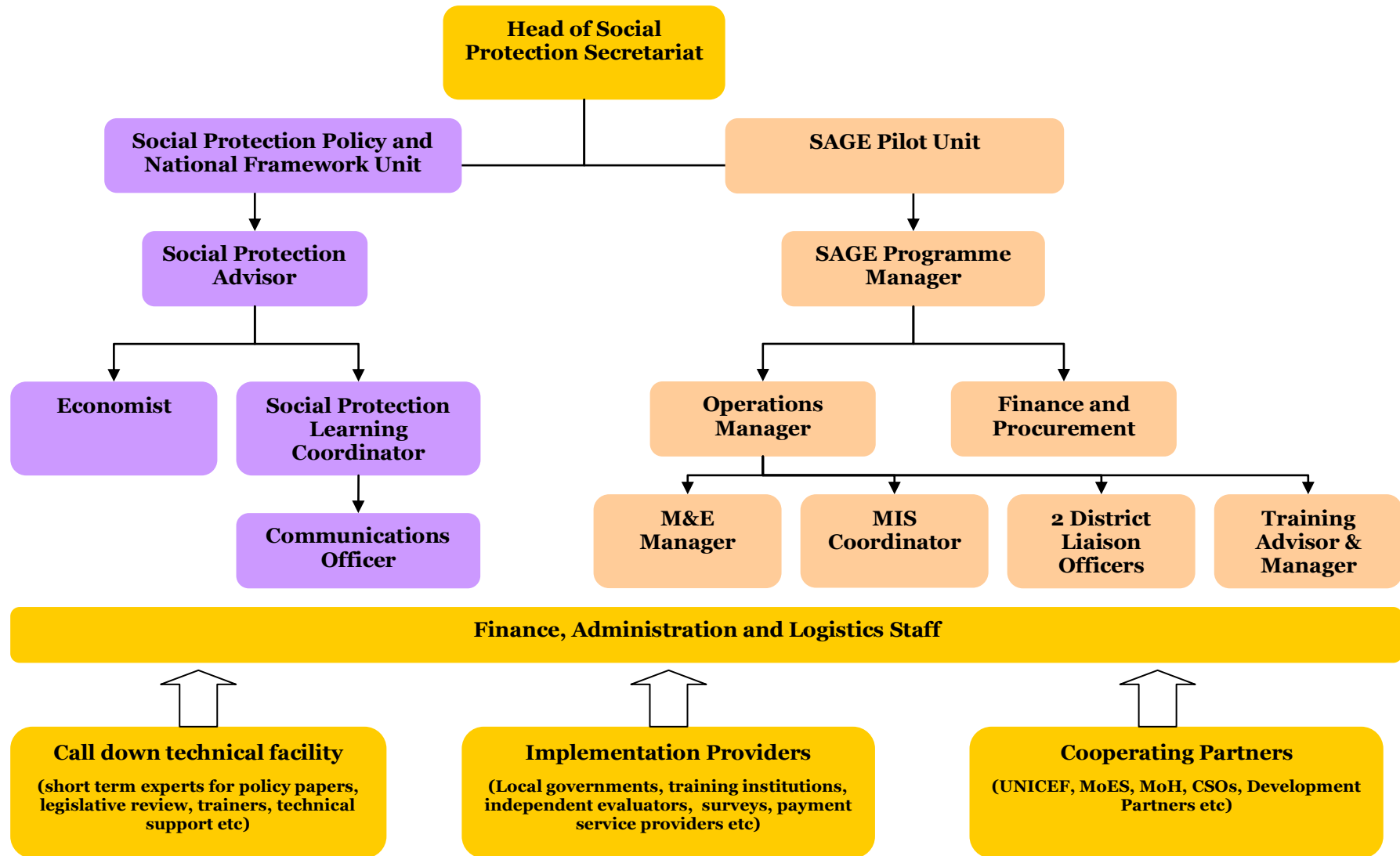
### **Social Protection Secretariat of MGLSD**

The SP Secretariat provides Social Protection Policy and Technical expertise on one hand and Programme Management capacity on the other. The Secretariat is headed by a senior MGLSD official who is responsible for the delivery of the programme according to the Programme Memorandum and for coordinating the two teams under the SP Secretariat. See figures 2 and 3 for detailed structures. Table 3 summarises roles and reporting lines within the SP Secretariat.

**Figure 2: Dual Strands within the SP Secretariat**



**Figure 3: SP Secretariat Staffing Structure**



**Table 3: Overview of SP Secretariat roles and reporting lines**

<b>Proposed Position</b>	<b>Role</b>	<b>Reports to</b>
1. Head of Social Protection Secretariat	<ul style="list-style-type: none"> <li>Responsible for the delivery of the ESP programme and its deliverables according to the Programme Memorandum</li> <li>Manages the two teams under Social Protection Secretariat</li> </ul>	Director of Social Protection
<b>SP Policy Team</b>		
2. Social Protection Adviser	<ul style="list-style-type: none"> <li>Contributes to formulating SP policy and national SP framework</li> <li>Leads on SP policy at national level across ministries</li> <li>Contributes to reforming national SP initiatives</li> <li>Interim leadership until Head of Social Programme position filled</li> </ul>	Head of SP Secretariat
3. Social Protection Learning Manager	<ul style="list-style-type: none"> <li>Organises and manages independent baseline survey, monitoring and evaluation/impact assessment contractors</li> <li>Generates lessons from pilot and ensures its dissemination at national and international level</li> <li>In charge of knowledge management</li> <li>Leads the content of the SP Secretariat section of the MGSLD website</li> <li>Organises learning conferences and workshops</li> </ul>	SP Adviser
4. Economist	<ul style="list-style-type: none"> <li>Works with SP Learning Coordinator to define ToRs for baseline survey and external evaluation contractors</li> <li>Analyses evidence generated by SAGE pilot on economic growth and human development</li> <li>Leads analysis of affordability for upscaling pilot at national level</li> <li>Quality assures Cost Benefit Analysis and cost-effectiveness studies of the pilot</li> <li>Quality assures Social Protection Performance Expenditure Review</li> </ul>	SP Adviser
5. Communications Officer	<ul style="list-style-type: none"> <li>Liaises with MGLSD website officer to update SP Secretariat website section</li> <li>Leads updates the blog and stories on the website</li> <li>Develops communications products</li> <li>PR and public communication campaigns</li> <li>Liaises with media</li> </ul>	SP Learning Co-ordinator
<b>SAGE Pilot</b>		
6. SAGE Programme Director	<ul style="list-style-type: none"> <li>Responsible for managing the SAGE pilot according to logframe and Programme Memorandum</li> <li>Responsible for ensuring accountable SAGE delivery mechanisms</li> <li>Spokesperson for SAGE</li> <li>Procurement and management of Payments and Impact Evaluation service providers.</li> <li>Training of district stakeholders and staff</li> <li>Programme quality assurance.</li> <li>Manages SAGE Operations Manager and M&amp;E Manager.</li> <li>Link between SAGE and Policy Unit</li> </ul>	Head of SP Secretariat
7. Operations Manager	<ul style="list-style-type: none"> <li>Deputises Programme Manager when s/he is away</li> <li>Responsible for all SAGE operational tasks according to timeframe and budget</li> <li>Coordinates staff at national and local levels</li> </ul>	SAGE Programme Manager

<b>Proposed Position</b>	<b>Role</b>	<b>Reports to</b>
	<ul style="list-style-type: none"> <li>• Manages grievance mechanism feedback</li> <li>• Responsible for staff contracts</li> <li>• Training of District stakeholders and staff</li> <li>• Quality assurance of programme operations.</li> </ul>	
8. Finance and Procurement Manager	<ul style="list-style-type: none"> <li>• Responsible for overall programme budget</li> <li>• Responsible for setting up control systems against fiduciary risk</li> <li>• Prepares programme budget forecasts and reconciliation expenditures</li> <li>• Generates financial reports against budget and forecasted annual spend</li> <li>• Prepares invoices to DFID for refund of pre-financed activities by Maxwell Stamp</li> <li>• Responsible for Procurement of services, supplies and goods.</li> <li>• Delivery of training on finance procedures and reporting.</li> <li>• Audit and financial systems development.</li> </ul>	Head of SP Secretariat
9. M&E Manager	<ul style="list-style-type: none"> <li>• Responsible for process monitoring of all pilot activities (inputs/outputs)</li> <li>• Generates monitoring reports to against performance indicators</li> <li>• Coordinates District M&amp;E Officers</li> <li>• Coordinates M&amp;E service provider.</li> <li>• Leads learning and documentation work.</li> </ul>	SAGE Director
10. MIS/IT Coordinator	<ul style="list-style-type: none"> <li>• Coordinates the MIS and ensuring that all data is correct</li> <li>• In charge of all hardware and software equipment of pilot</li> <li>• Troubleshooting and maintenance of software and hardware</li> <li>• Technical management of the MIS database and overall data management</li> <li>• Coordinates District MIS Officers</li> <li>• Quality assurance and technical support to change management and MIS-level targeting processes</li> </ul>	Operations Manager
11. Training Advisor	<ul style="list-style-type: none"> <li>• Leads development of training strategy for SAGE</li> <li>• Coordinates all capacity building and training components relevant to pilot operations</li> <li>• Responsible for quality control of training</li> </ul>	SAGE Programme Manager
11. Training Manager	<ul style="list-style-type: none"> <li>• Coordinates all capacity building and training components relevant to pilot operations</li> <li>• Responsible for quality control of training</li> </ul>	SAGE Programme Manager
12. District Field Liaison Officers	<ul style="list-style-type: none"> <li>• Coordinates with District Technical Officer in overseeing targeting, registration, payment, grievance mechanisms</li> <li>• On-going technical support to districts.</li> <li>• Quality assurance.</li> </ul>	Operations Manager

## **2.3 District & Sub-county Level Management**

SAGE will be fully integrated with the local government system with the Chief Administrative Officer (CAO) having oversight and management accountability for the programme at district level. Direct oversight will be provided by the

District CDO, who will report to the CAO. The District CDO will engage with and keep informed the district Social Services Committee.

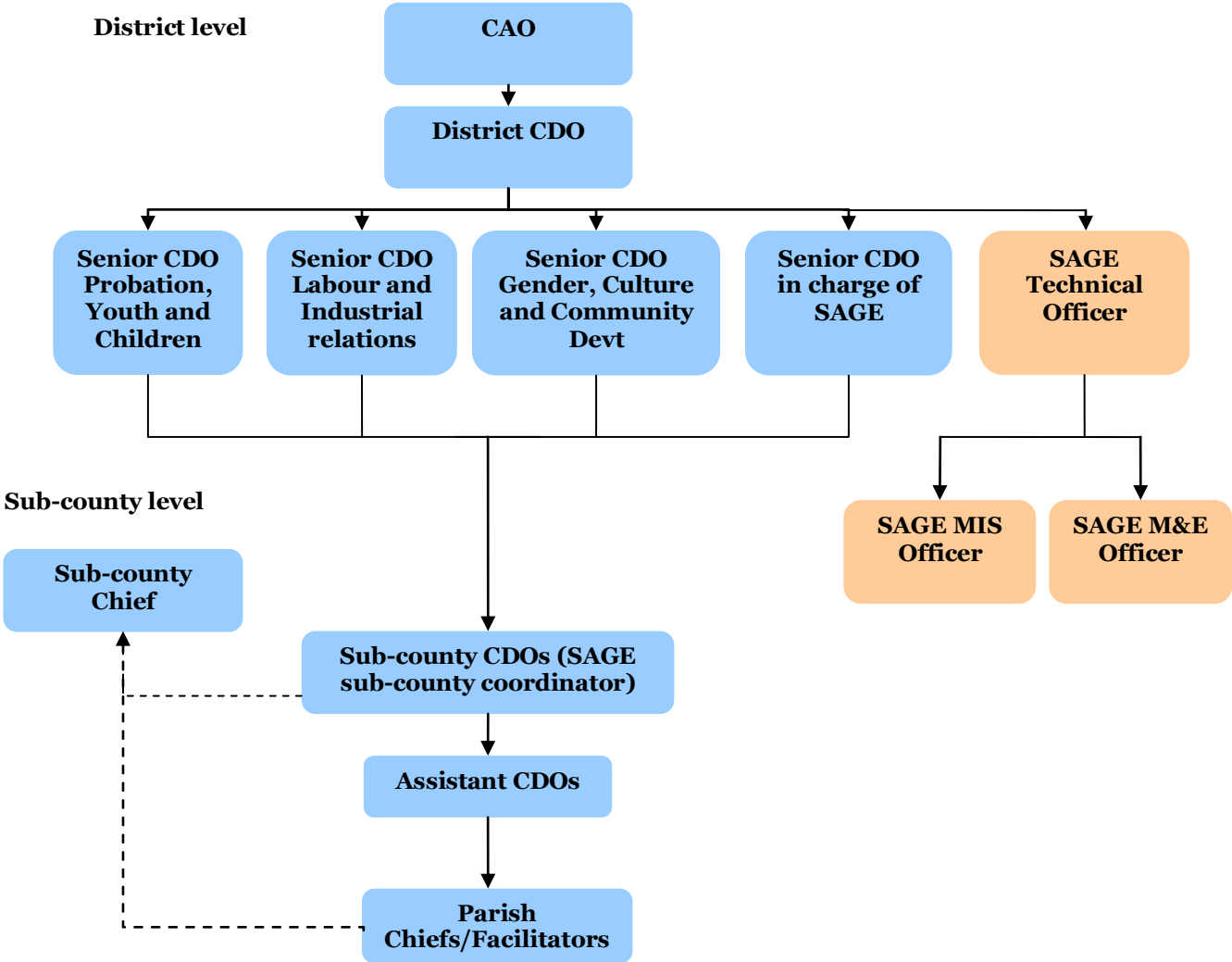
The MGLSD will sign MoUs with the respective CAOs (witnessed by the Ministry of Local Government) highlighting clear goals, targets, responsibilities, communication and reporting lines. Day-to-day district-level programme management will be provided by a District SAGE Unit led by a Senior CDO who will report to the District CDO. Local governments will be required to nominate and allocate a Senior CDO to be responsible for SAGE. Given the intensity of the workload expected, this may involve reallocation of the existing responsibilities of the nominated Senior CDO amongst other members of the Community Development Department.

In addition, a management agent will recruit three external staff to support roll-out of SAGE: a district SAGE Technical Officer, a district SAGE MIS Officer and a district SAGE M&E Officer. The SAGE Technical Officer will serve as a counterpart to the Senior CDO responsible for SAGE and will co-report to the DCDO and the SAGE Operations Manager. The SAGE M&E and MIS Officers will report to the SAGE Technical Officer but will also receive technical line management and support from the National M&E and MIS Managers respectively. In the longer-term it is expected that these functions will either be mainstreamed within existing local government staffing structures or new GoU positions will be created. The pilot phase will be used to determine what the most appropriate long-term approach will be.

At the sub-county, parish and Village level, the programme will work through existing structures wherever possible. The Sub-County CDO will coordinate day-to-day programme operations including liaising with Parish Chiefs, Parish Development Committees (PDCs) and village council chairpersons. Although the sub-county CDO will report directly to the Senior CDO responsible for SAGE on operational matters, oversight of Sub-County operations will be provided by the Sub-County Chief who will also support programme implementation by coordinating with relevant administrative structures such as the Parish Chiefs. Sub-County Chiefs will also play a major role in managing a birth registration exercise prior to programme implementation. This may involve managing a data entry clerk for electronic birth registration (see Section 3).

It should be noted that the management structure set out above is an ideal model. In cases where positions are vacant, tasks will need to be allocated to other staff that may be required to work across more than one administrative unit. For example, where sub-county positions are vacant, existing sub-county CDOs may be required to coordinate implementation in more than one sub-county and district-level staff may be required to support sub-county-level implementation. Where Parish chief positions are vacant, Parish Development Committee chairpersons or other relevant individuals may be requested to fulfil the functions of the Parish Chief in SAGE operations.

**Figure 4: SAGE Pilot District and Sub-county Level Structures**



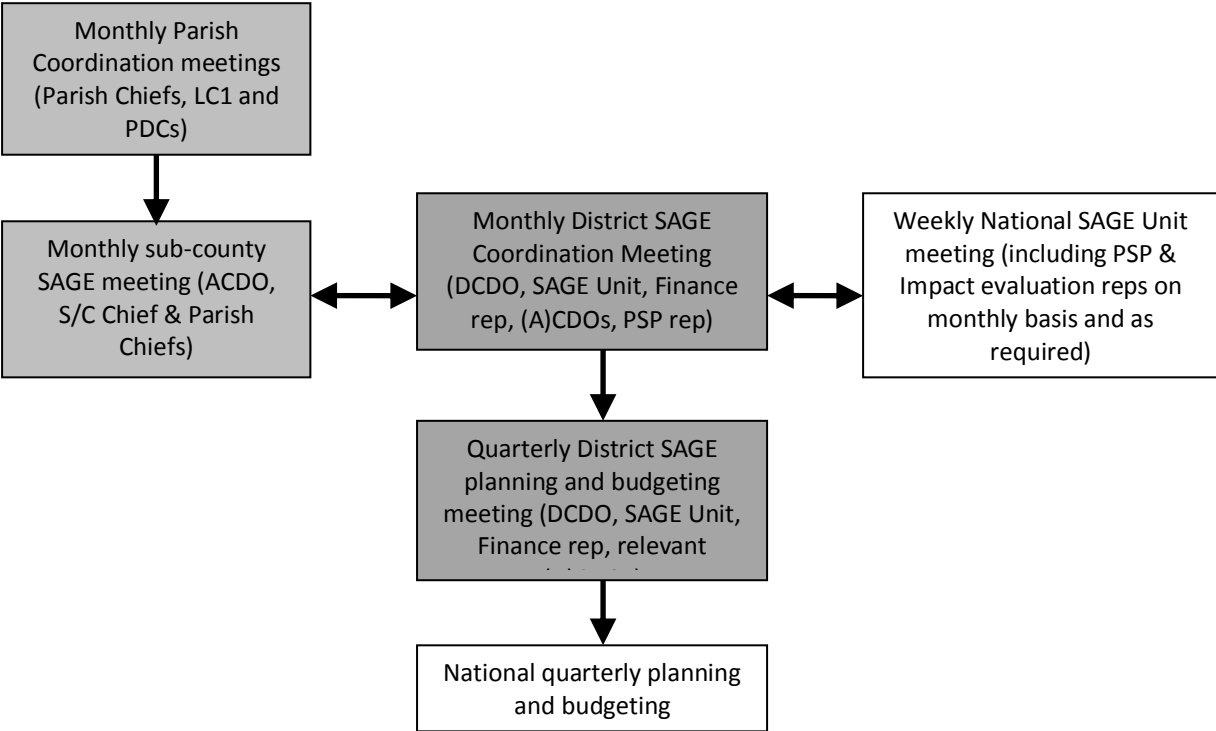
**The role of Sub-County and District Programme coordination meetings**

On a day-to-day basis, district, sub-county, parish and village level officials will communicate with each other to coordinate activities, request and provide guidance, and inform each other of progress made and challenges encountered. However, it is important that a formal communication structure is implemented for proper documentation of decisions and communication of decisions. To this end, monthly sub-county and district-level programme coordination meetings will be convened. These meetings will adopt fixed agenda and written minutes will be submitted to the CAO in the case of the district meetings and to the Senior CDO responsible for SAGE in the case of the sub-county meetings. The DCDO and Sub-County Chief will chair the district and sub-county meetings respectively. Since the sub-county meeting

should feed into the district meeting, it is important that the sub-county meeting is scheduled to take place immediately before the district meeting every month. The table below summarises the proposed attendees and agenda:

Attendance	Draft Fixed Agenda
<b>Monthly sub-county coordination meeting</b>	
<ul style="list-style-type: none"> <li>• Sub-County Chief (chair)</li> <li>• (A)CDO</li> <li>• Parish Chiefs</li> </ul>	<ol style="list-style-type: none"> <li>1. Communication from the District SAGE Unit</li> <li>2. Review of previous minutes</li> <li>3. Progress up-date</li> <li>4. Passing on of management forms;</li> <li>5. Grievance tracking and resolution;</li> <li>6. Plans for the month</li> <li>7. Allowance payments</li> </ol>
<b>Monthly District coordination Meeting</b>	
<ul style="list-style-type: none"> <li>• DCDO (chair)</li> <li>• Senior CDO responsible for SAGE (secretary)</li> <li>• SAGE Technical Officer (alternate secretary)</li> <li>• SAGE M&amp;E Officer</li> <li>• SAGE MIS Officer</li> <li>• Accounts Assistant responsible for SAGE</li> </ul>	<ol style="list-style-type: none"> <li>1. Communications from the Secretariat;</li> <li>2. Review of previous minutes</li> <li>3. Progress up-date</li> <li>4. Passing on of management forms;</li> <li>5. Grievance tracking and resolution;</li> <li>6. Plans for the month</li> <li>7. Logistics</li> <li>8. Review of budget (quarterly)</li> <li>9. AOB (admin, district issues)</li> </ol>

**Figure 5: relationship between monthly coordination meetings and planning processes**



## **2.4 Roles and responsibilities in detail**

### **District level**

#### **Chief Administrative Officer (CAO)**

The CAO is ultimately responsible SAGE programme funds and results and for ensuring that all local government staff fulfil their roles effectively. The CAO leads quarterly missions by the District Executive Committee (DEC) and submits all quarterly narrative and financial reports to the P.S. MGLSD and SP Secretariat.

#### **District Community Development Officer (DCDO)**

As head of the Community Development Department, the DCDO would will oversee the entire SAGE Unit but will have direct line management responsibility for the Senior CDO responsible for SAGE as well as the SAGE Technical Officer. The DCDO is responsible for submitting monthly narrative reports and quarterly consolidated narrative and financial progress reports simultaneously to the SAGE Operations Manager at the Social Protection Secretariat and to the P.S. MGLSD via the CAO. The DCDO ensures that all information on SAGE is communicated on time to the administrative as well as political structures of the district through the regular district meetings such as the meetings of the Social Services Sub-Committee of the TPC. The DCDO is responsible for ensuring that SAGE is on-budget, included in the district development plans and well-coordinated with other interventions. S/he would support the coordination of SAGE with other social protection-type programmes in the district. The DCDO will be a signatory to the SAGE Project Specific Account (if delegated by the CAO). The DCDO would be responsible for undertaking regular field monitoring missions and quality assuring the work of district and sub-county-level structures as per the SAGE monitoring framework (annex I). The DCDO convenes and chairs monthly programme coordination meetings at district level. The DCDO is also responsible for the management of SAGE programme assets such as the programme vehicle.

#### **Senior CDO responsible for SAGE**

A Senior CDO will be allocated by the Community Development Department to manage the day-to-day activities of the SAGE programme. This includes delivering training to sub-county staff, managing targeting and change management activities and undertaking regular monitoring missions as per the SAGE monitoring framework (annex I). Where sub-county level positions are vacant, the Senior CDO may have to deliver sub-county-level activities directly. Since this will involve on-going, frequent and regular field work, most of the Senior CDO's current responsibilities will need to be reallocated amongst other members of the Community Development Department. The Senior CDO responsible for SAGE convenes weekly SAGE Unit meetings and liaising with local representatives of the Payments Service Provider. The Senior CDO responsible for SAGE reports directly to the DCDO but is also in direct contact

with the SAGE Operations Manager and District Liaison Officer at the SP Secretariat as necessary.

### **District SAGE Technical Officer**

The ESP Managing Agent will recruit a District SAGE Technical Officer to work in partnership with the Senior CDO responsible for SAGE in implementing training of sub-county staff, targeting, change management and grievance management processes. The position provides extra human resource capacity to cater for the needs of the intensive roll-out phase of SAGE in each district. The District SAGE Technical Officer serves as an assistant to the Senior CDO in implementing targeting, change management and grievance procedures and monitoring payment delivery. Where sub-county level positions are vacant, the District SAGE Technical Officer may have to deliver sub-county-level activities directly. The District SAGE Technical Officer will undertake regular monitoring missions as per the SAGE monitoring framework (annex I).

### **District SAGE M&E Officer**

The ESP Managing Agent will recruit a District M&E Officer to monitor training, targeting, training, change management, grievance management and payments processes. The M&E Officer will undertake regular and frequent monitoring trips according to the SAGE monitoring framework (annex I) and compile regular reports which will feed into monthly and quarterly reports. The M&E Officer will be responsible for ensuring that process and impact data is collected and ensuring that experience in programme implementation is communicated to the national SAGE M&E Manager to support the on-going review and amendment of programme design and procedures. The M&E Officer also coordinates closely with the MIS Officer to ensure that SAGE performance data is entered into the SAGE MIS. The M&E Officer will work with the national M&E Manager to ensure quality of SAGE performance data

### **District SAGE MIS Officer**

The ESP Managing Agent will recruit a District MIS Officer to manage the data transfer requirements of targeting, change management, grievance management and payments processes. The District MIS Officer will be responsible for: providing technical support in management of the MIS at sub-county level; ensuring the quality of data submissions by sub-county CDOs; generating sub-county beneficiary lists; supporting the birth registration data entry exercise where necessary; and providing regular programme performance indicator reports as requested.

## **Sub-County Level**

### **Sub-County Chief**

The Sub-County Chief oversee implementation at sub-county level. S/he chairs the monthly Sub-County SAGE Coordination Meetings, works with the (A)CDO to deliver training, oversees the work of Parish Chiefs and takes

particular responsibility for issuance of birth certificates (in VFSG and automated SCD sub-counties). The Sub-County Chief also supports payments procedures by issuing Resident's ID cards to beneficiaries that lack a voters card (enabling them to enrol with the Payments Service Provider) and undertaking a final verification of eligibility of all beneficiaries prior to enrolment.

### **Community Development Officer (CDO) & Assistant CDO**

The Sub-County CDO and/or ACDO is responsible for coordinating SAGE implementation at sub-county level and overseeing implementation at Parish and community level. This to include delivery of training to Parish Chiefs, Parish Development Committee (PDC) members and village council chairs, receiving, recording and adjudicating on grievances and disputes, undertaking eligibility verification prior to enrolment, monitoring payments delivery by the local PSP agent, and processing monthly change management forms either directly into the SAGE MIS using a sub-county terminal or by submitting forms to the District SAGE MIS Officer.

### **Parish Chiefs**

Parish chiefs coordinate all SAGE activities at the Parish and Village level and ensuring effective and timely communication between the Village and sub-county level. Parish Chiefs deliver training to Parish Development Committee (PDCs) and village council chairs. Parish Chiefs also ensure that change management procedures are followed by village council chairpersons. Where the Parish Chief position is vacant, the Sub-County Chief will appoint a Parish facilitator (usually the PDC Chairperson). Appointments shall be approved by the CAO.

### **Parish Development Committee (PDCs) members**

PDCs support delivery of community orientation and provide a channel for complaints and other feedback from community- to Parish-level. PDCs support communications and sensitisation activities. They also help ensure that change management procedures are followed by village council chairpersons and members of participating communities. Where the PDC is not functional, the Parish Chief will identify appropriate Village facilitators (e.g. an active VHT member) with the approval of the Sub-County Chief.

### **Village Chairpersons**

Village chairpersons and other members are responsible for community mobilisation and supporting effective up- and downward communication to the Parish level. Village council is responsible for ensuring change management procedures are followed at community level and for communicating such changes to the Parish Chief. The village council receives and informs Parish Chief of any grievances received and refers individuals concerned to higher level dispute resolution processes as necessary. Village council chairpersons will play a key role in the distribution of birth certificates.

### Village Health Team (VHT) members

Where the MobileVRS system has been implemented, VHTs are required to support change management procedures by registering all births and deaths in their communities. Where the MobileVRS system is not in place, VHTs are responsible for ensuring that all births and deaths are made known to the village council chairperson and/or PDCs.

A summary of roles and responsibilities of district, sub-county, parish and Village level structures is provided in the table below.

**Table 4: Roles at District, Sub-county, Parish and Village Levels**

Staff	Responsibilities	Reports to
<b>DISTRICT LEVEL</b>		
District Executive Committee	<ul style="list-style-type: none"> <li>• Oversight</li> <li>• Undertake quarterly monitoring missions</li> </ul>	
Chief Administrative Officer (CAO)	<ul style="list-style-type: none"> <li>• Final responsibility for programme funds and deliverables at district level.</li> <li>• Leads quarterly three-person District Monitoring Team missions (including Planning Unit)</li> </ul>	Permanent Secretary, MGLSD and Head of SP Secretariat
Social Services sub-committee	<ul style="list-style-type: none"> <li>• Maintains oversight of the programme at district level.</li> <li>• Promote linkages with complementary social protection interventions at district level.</li> </ul>	CAO
District CDO (DCDO)	<ul style="list-style-type: none"> <li>• Oversees the programme at district level</li> <li>• Final resort for resolution of grievance not resolved at the sub-county or community level.</li> <li>• Promotes linkages with complementary social protection interventions at district level.</li> <li>• Monitors the programme through scheduled and on the spot field visits.</li> <li>• Prepares reports and forwards to the SP Secretariat</li> <li>• Manages Senior CDO responsible for SAGE and the SAGE Technical Officer.</li> <li>• Supports on-going review of SAGE design</li> <li>• Chairs district SAGE coordination meetings</li> </ul>	CAO

<b>District SAGE Unit</b>	Senior CDO in charge of SAGE	<ul style="list-style-type: none"> <li>• Leads the District SAGE Unit.</li> <li>• Coordinates targeting, registration, payment, grievance and monitoring activities</li> <li>• Coordinate sub-county level staff and operations.</li> <li>• Supports on-going review of SAGE design.</li> <li>• Delivers training to sub-county partners.</li> <li>• Quality assures and supports implementation of training of Parish Chiefs, village council chairpersons and monitors grievance mechanism implementation.</li> <li>• Secretary of the district SAGE coordination meeting.</li> <li>• Spot checks lower local government activities.</li> </ul>	District CDO
	District SAGE Technical Officer	<ul style="list-style-type: none"> <li>• Counterpart to Senior CDO responsible for SAGE and deputises in his/her absence.</li> <li>• Supports targeting, registration, payment and grievance activities.</li> <li>• Coordinate sub-county level staff and operations.</li> <li>• Supports design and pilot processes.</li> <li>• Delivers training to sub-county partners</li> <li>• Manages SAGE MIS and M&amp;E Officers.</li> <li>• Quality assures and supports implementation of training of Parish Chiefs, village council chairpersons and monitors grievance mechanism implementation.</li> </ul>	DCDO and SAGE Operations Manager in Secretariat
	District SAGE M&E Officers	<ul style="list-style-type: none"> <li>• In charge of process monitoring at district and sub-county level</li> <li>• Collects programme performance data for entry into SAGE MIS.</li> <li>• Compiles regular M&amp;E reports.</li> <li>• Delivers training to sub-county partners in M&amp;E systems.</li> <li>• Quality assures SAGE performance data, training and implementation at sub-county and Parish levels</li> </ul>	SAGE Technical Officer
	District SAGE MIS Officer	<ul style="list-style-type: none"> <li>• Generates beneficiary lists.</li> <li>• Enters approved beneficiary lists into MIS for community registration version of SCG.</li> <li>• Compilation and entry of programme performance indicator data.</li> <li>• Hard and software maintenance.</li> <li>• Establishment and management of soft- and hard-copy filing systems.</li> <li>• Technical support to birth and death data entry at sub-county level.</li> </ul>	SAGE Technical Officer

<b>SUB COUNTY LEVEL</b>		
Sub-county Chief	<ul style="list-style-type: none"> <li>• Programme oversight at sub-county level.</li> <li>• Working with the CDO or ACDO to coordinate activities and report on progress to the CAO.</li> <li>• Enhance linkages between SAGE and complementary programmes at the sub county level.</li> <li>• Oversee the work of the Parish Chiefs (community orientation and grievance mechanism).</li> <li>• Issues birth certificates and Sub-County Residents ID Cards</li> <li>• Trains Parish Chiefs with ACDO.</li> <li>• Approves nomination of Parish Facilitators where necessary.</li> <li>• Verifies eligibility at enrolment point.</li> <li>• Chairs sub-county SAGE coordination meetings.</li> </ul>	Senior CDO responsible for SAGE and CAO
(Assistant) Sub-county CDOs	<ul style="list-style-type: none"> <li>• Work with the sub-county chief to coordinate activities at the sub county level</li> <li>• Report regularly on progress and challenges to the Senior CDO responsible for SAGE.</li> <li>• Enhance linkages between SAGE and complementary programmes at the sub county level.</li> <li>• Receive and process complaints and adjudicate on targeting appeals.</li> <li>• Supervises distribution of SIM cards to beneficiaries</li> <li>• Submits monitoring data to District M&amp;E Officer</li> <li>• Trains Parish Chiefs</li> <li>• Verifies eligibility at enrolment point.</li> <li>• Consolidates monthly change management forms before submission to District MIS Officer.</li> <li>• Adjudicates on appeals</li> </ul>	Senior CDO responsible for SAGE and Sub-County Chief.
<b>PARISH LEVEL</b>		
Parish Chiefs (or Parish Facilitators where no Parish Chief)	<ul style="list-style-type: none"> <li>• Oversees work of the Parish Development Committee.</li> <li>• Oversee implementation of the programme at the parish level</li> <li>• Supports preliminary BDR exercise and maintenance including distribution of birth certificates.</li> <li>• Delivers community and beneficiary orientations</li> <li>• Meets with village chairpersons on a monthly basis to receive SAGE management forms and any complaints and feedback on complaints resolution.</li> <li>• Receives, documents and passes on details of all complaints to the sub-county (A)CDO.</li> <li>• Posts beneficiary lists at community level</li> </ul>	Sub County Chief

	<ul style="list-style-type: none"> <li>• Ensure change management procedures are followed.</li> </ul>	
Parish Development Committees (or Village Facilitators where no PDC)	<ul style="list-style-type: none"> <li>• Train community committees</li> <li>• Provide feedback to the CDOs and sub-county chiefs on quality of targeting process and payments services.</li> <li>• Prepare regular reports on beneficiaries - status and outcomes. Refer grievances to Parish Chief and ACDOs.</li> <li>• Serve as a connection between the communities and the parishchief and sub-county (A)CDO.</li> <li>• Support preliminary BDR exercise and maintenance</li> </ul>	Parish Chiefs
<b>VILLAGE LEVEL</b>		
Village chairpersons	<ul style="list-style-type: none"> <li>• Call community meetings on behalf of the programme.</li> <li>• Maintenance of birth and death registration systems at Village level.</li> <li>• Complete monthly SAGE management forms and submit to Parish Chief.</li> <li>• Support community-level dispute resolution</li> <li>• Takes minutes of village council meetings including results of automated SCG appeals adjudications.</li> <li>• Verifies targeting accuracy</li> <li>• Support distribution of birth certificates</li> </ul>	Parish Chief

### **Gap filling within local government structures**

Many key positions within the local government staffing structure may be vacant. Each district will therefore have to implement a clear strategy for filling the various gaps.

- Where a Sub-County CDO position is vacant, the CAO should appoint an acting Sub-County CDO.
- Where Parish Chief positions are vacant, the Sub-County Chief will appoint the Parish Development Committee chairperson or other appropriate individual to the role of Parish SAGE Facilitator.
- Where PDCs are inactive, the Parish Chief will appoint a Village SAGE facilitator in consultation with the village chairperson

All appointed individuals must be able to speak, read and write English and must be willing and able to undertake the tasks required of them. No one individual shall hold more than one position within the structure and all appointments shall be approved by the CAO.

## **2.5 Contracted Service Providers**

### **Technical Assistance, Management and Financing Services**

A management agent will be contracted to provide technical and management support services to the MGLSD SP Secretariat and local government authorities during the pilot phase of SAGE. The management agent is responsible for: pre-financing the SAGE pilot; procuring and managing payment delivery and impact evaluation service providers; delivery of training to MGLSD and local government staff; providing externally recruited staff and consultants; and ensuring that monitoring, documentation and dissemination of the pilot is done effectively. In the longer-term it is expected that all staff positions at both national and local level will be filled by government staff.

### **Payment Service Provider**

One or more Payment Service Providers (PSP) will deliver the social grant payments to the recipients electronically through pay-points. Recipients will be able to readily convert the transfer into cash. Each PSP will provide payments across one or more districts. The PSP's specific responsibilities are to:

- Establish a reliable and secure payment process;
- Coordinate with the SAGE Operations Manager and MIS Co-ordinator within the SAGE Pilot Unit to enrol the recipients into the payments process;
- Distribute payment tokens and educate recipients on their use and the payments process in general;
- Make the transfers electronically;
- Ensure adequate access to payments points;
- Create an automated link to download/upload information from/to the central registry (MIS);
- Carry out regular fiduciary risks analysis and adjust the payment system as necessary;
- Submit formal periodic reports; and
- Support beneficiaries and other community members in accessing other financial products – e.g. bank accounts, loans – that will be of use to them.
- Resolve payment related grievances

### **Impact Evaluation Contractor**

The evaluation contractor will be selected through competitive tendering process and is responsible for the baseline and the impact assessment of the SAGE programme.

## 2.6 Cooperating Partners

Cooperating partners include line ministries, development partners, local civil society organisations (CSOs) and technical assistance providers.

### **Partners in birth and death registration (URSB, UBOS and UNICEF)**

The SAGE programme's beneficiary selection processes will draw heavily upon household, birth and death registration systems. These registration systems are maintained by the village council chairperson and Sub-County Chiefs and will require verification and digitisation in all communities.<sup>7</sup> In order to minimise the risk of deliberate mis-reporting of data affecting the accuracy of targeting, this exercise will be undertaken in the months prior to programme launch rather than as part of the targeting process itself. This exercise will be undertaken by the Uganda Bureau of Statistics (UBOS) under the guidance of the Uganda Registration Services Bureau (URSB) and with the technical support of members of the Birth and Death Registration Task Force – particularly UNICEF. Further details on this process are provided in Chapter 3.

### **Ministries of Health and Education**

The ministries of Health and Education are implementing a range of social protection initiatives including Universal Primary and Secondary Education (UPE and USE), school-feeding, bursary schemes and free primary health care services. SAGE will establish clear linkages with these two Ministries to proactively promote access to and awareness of these complementary programmes amongst SAGE beneficiaries, including the need to send children to school and to access essential health services (such as vaccinations). These linkages will include representation on the national and district Social Protection Sub Committees. These fora will be used to address demand- and supply-side health and education service delivery constraints, plan sensitisation activities and initiate complementary programmes for SAGE beneficiaries.

Both Ministries will also support the SAGE M&E process's gradual integration of administrative school enrolment and attendance data as well as data from the Under-5 cards into the SAGE MIS, assessment of feasibility of linking pay points to health centres and piloting a social work function to counsel beneficiaries who do not make use of education and health services in selected sub-counties.

---

<sup>7</sup> For the purposes of this exercise, the SAGE programme will adopt the definitions of key concepts (such as 'household' and 'head of household') contained within the *Compendium of Statistical Concepts and Definitions used in the Uganda Statistical System and Services* (Uganda Bureau of Statistics, 2001).

If, after a period of 2 years, M&E data demonstrates that the desired health and education outcomes have not been achieved, new measures will be considered. Incentives could be provided in form of positive incentives through bonuses for sending children to school, for attending antenatal check-ups or for taking children for regular growth monitoring or in the form of negative incentives through reducing the social assistance received by non-compliant households. Should any of these options be considered, systems integration between SAGE and the two Ministries will need to be more fully explored.

Cash transfers can only react to monetary shortcoming but cannot respond to the psycho-social or informational needs that vulnerable households have. SAGE will therefore pilot a programme to strengthen community social work services to offer counselling and referral services in a small number of sub-counties, in particular to help those beneficiary families who do not access education and health services. The CDOs and ACDOs at sub-county level already assume some social work and will be further trained together with an assistant at Parish level to also offer psycho-social counselling.

### **Non Governmental Organisations (NGOs)**

NGOs will participate on the SP sub committees at national and district levels. NGOs would be expected to:

- Advocate for the expansion of SAGE if it proves effective;
- Advocate for the rights of vulnerable groups in Uganda to access social protection systems through legal reform and fiscal planning;
- Coordinate their social protection activities with SAGE at district and national level;
- Support the implementation of SAGE in districts where government infrastructures are not fully functional;
- Offer supplementary training and counselling services to SAGE beneficiaries;
- Channel grievances to the approved grievance handling mechanisms.
- Independently monitor activities of SAGE; and
- Engage in policy dialogue on the social protection framework.

### **Development Partners**

Development partners will participate on the ESP Steering Committee and SP Sub-Committee and would be expected to:

- Commit to supporting the long-term development of social protection mechanisms;
- Move towards establishing a basket fund with government for financing the expansion of social protection in Uganda;
- Finance SAGE transfers and invest in capacity development measures, a lesson learning agenda and any experimental design features; and

- Engage in policy dialogue on the Social Protection Framework.

---

### 3. PRELIMINARY BIRTH REGISTRATION

---

Social protection systems need strong civil registration to protect them from fraudulent claims based on residency (either localized or international), age, citizenship etc. As such strong civil registration systems are key for ensuring credibility of social protection schemes and ensuring sustainability. On the other hand, efforts to institutionalize civil registration are most likely to succeed when civil registration services are actively demanded by the public. This demand can be generated when civil registration documents are required to access to social protection entitlements, exercise civil rights and conduct economic activity.

Given the importance of civil registration to the longer-term success of social protection in Uganda, SAGE is designed to promote the institutionalisation of Uganda's birth and death registration systems. At the same time, by increasing access to birth certificates, SAGE hopes to enable beneficiaries to exercise wider civil rights and access economic opportunities by providing an recognised form of identification. Finally, by integrating SAGE targeting mechanisms with a digital birth and death registration system being rolled-out by the Uganda Registration Services Bureau (URSB), SAGE will be able to automate beneficiary selection and thereby maximise operational efficiency and scalability.

Preparation for SAGE implementation (in VFSG and SCG sub-counties implementing automated registration only) will therefore start with a large-scale birth registration exercise in participating communities. In communities implementing the VFSG, this will cover the entire population. In Senior Citizen's Grant communities, birth certificates may only be issued to everyone over the age of 55 years (although only those aged over 65 years will be enrolled in the programme). In order to minimise the risk of deliberate mis-reporting of data affecting the accuracy of targeting, this exercise will be undertaken in the months prior to programme launch rather than as part of the targeting exercise itself. UBOS will be responsible for managing the data collection exercise working in partnership with local government authorities and paid village-level enumerators. Birth registration data will be entered electronically into a URSB's national register of births and deaths using a decentralised system with data entry points at sub-county level managed by the Sub-County Chief. Back-up data entry capacity will also be provided at national level by UBOS. At the same time, disability assessments will be conducted and orphanhood status will be recorded to create a comprehensive electronic data-set for each community which will later be used to inform beneficiary selection and exit decisions in the VFSG.

During this exercise dates of birth will be verified with reference to other forms of official documentation such as the household registers, voter's cards and baptism certificates. Where these are lacking, age verification will be

completed through an alternative mechanism involving collecting credible and corroborating evidence from a variety of sources including interviews with the individual and village council chairperson. Reported life events can also be checked for consistency against historical records and documents. The accuracy of age verification procedures will be evaluated as part of the programme's monitoring and evaluation exercise and amendments made accordingly.

The digital birth and death register will be maintained over the longer-term through a mixture of the existing paper-based system and the newly developed MobileVRS system managed by Sub-County Chiefs, Village health teams (VHTs), Parish development Committees, clinics and hospitals. Given challenges associated with timely death registration, SAGE will incentivise use of the death registration system by paying funeral benefits to bereaved families previously benefitting from the Senior Citizen's Grant (details of how this will be implemented are provided in Chapter 5).

For more information on the preliminary birth registration exercise, see *Implementation Manual for Universal Birth and Death Registration*.

---

## 4. TARGETING FOR THE SENIOR CITIZEN GRANT

---

This chapter sets out the programme's eligibility criteria and details the different steps involved in selecting beneficiaries for the Senior Citizen's Grant (SCG).

### **Targeting in the Senior Citizen's Grant: Summary**

- Where possible, targeting for the SCG will be automated based on national civil registration datasets. Where this data is not available eligibility will be verified using available forms of official identification (e.g. voter's cards) or by Village Councils.
- Verification of eligibility will also be undertaken at the point of enrolment by the Sub-County Chief and (A)CDO.
- In most districts, all older people aged 65 and above will be targeted for the SCG.
- In Karamoja the eligibility threshold for the SCG will be 60 years in recognition of the extreme poverty present and the reduced life expectancy of the population. With this lower age of eligibility in Karamoja coverage rates are expected to be similar to the rest of Uganda.
- The Senior Citizen's Grant is expected to reach approximately 15% of households in each district although coverage within each sub-county may vary slightly due to changes in demographic structure.

### **Responsibilities of Sub-County CDO and Sub-County Chief**

- Conduct spot checks of Village Council meetings to monitor annual SAGE SCG beneficiary registration exercises.
- Verify eligibility of any dubious applicants prior to enrolment.

### **Responsibilities of Parish Chiefs and Parish Facilitators**

- Facilitate annual Village Council meetings to introduce SAGE and verify beneficiary lists.

### **Forms to be used:**

- *Automated SCG Targeting Confirmation Form (Annex X)*
- *SCG Registration Form (Annex X)*
- *Village Council Meeting Minutes Template (Annex X)*
- *Annex to the Minutes of the Village Council Meeting on SCG Registration (Annex X).*

## **4.1 SAGE targeting approach**

Since ‘poverty targeting’ is extremely difficult and expensive to do with any reasonable degree of accuracy and also tends to create poverty traps, social conflict and stigma, SAGE will use simple demographic proxies for poverty and vulnerability which can be more easily implemented, understood and accepted at all levels, in particular by communities. The SAGE programme will pilot two different sub-components to generate empirical evidence on the strengths and weaknesses of different approaches to providing social protection to the chronically poor at national scale. The Vulnerable Families Support Grant (VFSG) will employ composite indicators of vulnerability (sex, age, disability and orphanhood status) – which are linked to the labour capacity and dependency burden in households – while the Senior Citizen’s Grant uses a single indicator (age).

The two programmes are very different in nature. The VFSG is a household transfer while the Senior Citizen’s Grant is an individual entitlement, although there is strong evidence internationally that such individual grants are shared among family members, including children.

In theory the two programmes could be implemented in parallel. However, given resource limitations associated with the pilot phase, as well as the needs of the impact evaluation exercise, the SCG and VFSG will be implemented in different sub-counties. Allocation of the targeting mechanisms to different sub-counties will be done on a randomised basis by the MGLSD Social Protection Secretariat according to the requirements of the impact evaluation methodology.

## **4.2 Targeting for the Senior Citizens’ Grant (SCG)**

In most districts, older persons above 65 years of age are registered onto the programme. The number of beneficiaries in a specific district and/or community therefore depends on the age profile. Nationally, people aged 65 and above constitute 3.2% of the population and are represented in around 14% of households. However, the age of eligibility in Karamoja will be 60 years in recognition of the fact that the extreme poverty in the region and the subsequent reduced life expectancy.<sup>89</sup> In lowering the age threshold for Karamoja it is expected that the proportion of households reached by the programme will be similar across all districts. International precedent exists for reducing the age of eligibility for Senior Citizen’s Grants in disadvantaged regions.

---

<sup>8</sup> According to the 2002 Census, the proportion of the population aged 65 years and above in Moroto/Napak and Nakapiripirit/Amudat is 2.1% and 1.6% respectively compared with 3.2% nationally. The proportion of the population aged 60 years and above in Moroto/Napak and Nakapiripirit/Amudat is 3.2% and 2.4% respectively.

<sup>9</sup> An eligibility threshold for the SCG in Karamoja of 60 years and above was agreed by the Expanding Social Protection Programme Steering Committee in May 2011.

Selection of beneficiaries will be undertaken in one of two ways in sub-counties benefitting from the SCG. In sub-counties where a preliminary birth registration exercise has taken place, beneficiary selection will be automated using the civil registration dataset. In sub-counties where no preliminary birth registration has taken place, Parish Chiefs will be responsible for compiling beneficiary lists and verifying eligibility based on available documentation (e.g. voter's cards) or testimony received and verified by Village Councils.

### **4.3 SCG targeting Model A: automated registration**

Data collected during the preliminary birth registration exercise is exported into the SAGE MIS at national level and all older persons above the age threshold are identified. In most districts, older persons above 65 years of age are registered onto the programme. The number of beneficiaries in a specific district and/or community therefore depends on the age profile. Nationally, people aged 65 and above constitute 3.2% of the population and are represented in around 14% of households. However, the age of eligibility in Karamoja will be 60 years in recognition of the fact that the extreme poverty in the region and the subsequent reduced life expectancy.<sup>1011</sup> In lowering the age threshold for Karamoja it is expected that the proportion of households reached by the programme will be similar across all districts.

Village-level beneficiary lists are then generated and presented by the parish chief to the Village council for verification and at the point of enrolment. During enrolment, the CDO will use his/her discretion to halt a clearly erroneously included beneficiary from enrolling until a final decision is taken. The parish chief documents any emerging issues and forwards them to the sub-county CDO.

## **4.2 Step-by-step guide to automated SCG registration**

### **Process**

---

**Step 1:** Within the SAGE MIS, all older people aged 65 years and above (or 60 years and above in the case of Karamoja) are identified as beneficiaries. Individuals whose 65/60<sup>th</sup> birthday falls in the current year are included.

---

<sup>10</sup> According to the 2002 Census, the proportion of the population aged 65 years and above in Moroto/Napak and Nakapiripirit/Amudat is 2.1% and 1.6% respectively compared with 3.2% nationally. The proportion of the population aged 60 years and above in Moroto/Napak and Nakapiripirit/Amudat is 3.2% and 2.4% respectively.

<sup>11</sup> An eligibility threshold for the SCG in Karamoja of 60 years and above was agreed by the Expanding Social Protection Programme Steering Committee in May 2011.

- Step 2:** The MIS will generate a beneficiary list of all older people aged 65 years and above. -
- Step 3:** Village-level beneficiary lists are generated by the SAGE MIS Officer at District level and sent to Sub-County CDOs and Parish Chiefs.
- Step 4:** A message is conveyed to the Village Chairperson by the Parish Chief requesting a Village Council meeting to be convened on a specified time and date. At least one week's notice will be provided.
- Step 5:** A Village Council meeting is facilitated by the Village Chairperson and Parish Chief to introduce the Senior Citizen's Grant and explain eligibility criteria, the targeting process, the benefits to be received, payment process, grievance procedures and enrolment date. The beneficiary list is publicly announced, displayed and explained.
- Step 6:** During the Council meeting the Parish Chief will explain to beneficiaries and local leaders that older persons with mobility difficulties can nominate a recipient of their choice. In such cases the beneficiary will be required to sign a letter authorising the nominated person to act as a recipient on their behalf for presentation to the Payment Service Provider. The parish chief will then read out the sample of the *recipient authorisation form* and emphasise the responsibilities of the authorised recipient. Following the community meeting, the Village chairperson should sign a SCG targeting confirmation form (Annex X) confirming that the selection of older people is accurate which is then transmitted to the Sub-County (A)CDO via the Parish Chief.
- Step 7:** If any individual believes that they have been incorrectly excluded from the beneficiary list they should raise their appeal during the community meeting for adjudication by the Village Council. Procedures for appeal adjudication are provided in Chapter 10. All appeals are documented by the Village Chairperson in the minutes of the meeting and sent to the Sub-county CDO with a recommendation. The sub-county CDO will verify the information and send it to District SAGE MIS Officer for inclusion in the beneficiary list.
- Step 8:** All beneficiaries or authorised recipients or both are required to travel to an enrolment point. Beneficiaries are required to produce birth certificates at the enrolment point and the name and ID number (voters card/birth certificate/baptism certificate/Sub-County Resident ID card) number is checked against the beneficiary list.
- Step 9:** Beneficiaries or nominated recipients are enrolled by the payment service provider. The authorised recipients have to produce an

approved recipient authorisation form. This form is submitted to the SCDO for onward transmission to the SAGE district Unit.

On an annual basis, lists of newly eligible older people will be generated by the District SAGE MIS Officer and sent to the Parish chief. The Parish Chief will publicly display these beneficiary lists at an appropriate place at community level and Village Chairpersons will be responsible for informing new beneficiaries of the enrolment date and location.

#### **4.4 SCG targeting model B: community registration**

Parish Chiefs will, with the support of Village Chairpersons, facilitate Village Council meetings in participating communities to identify eligible older people. Applicants for the pension must present an official form of ID such as a voter's card, birth certificate or baptism certificate. In the absence of such documentation, Village Councils will be asked to verify the eligibility of individual applicants based on reference to local or national historical events.

Village-level beneficiary lists are then generated by the Parish Chief and submitted to the Sub-County CDO for onward transfer to the District SAGE Unit. The District SAGE MIS Officer is responsible for entering the beneficiary list into the MIS after which the beneficiary list is sent to the Payment Service Provider for enrolment. Prior to enrolment with the PSP, the CDO may use his/her discretion to halt any clearly erroneously included beneficiary from enrolling until a final decision is taken.

#### **4.5 Step-by-step guide to SCG community registration**

##### **Process**

---

- Step 1:** At DT6 (training of Parish Chiefs, PDCs and Village Chairpersons) a letter (Annex X) is issued to each Village Chairperson requesting them to:
- a) Convene a village council meeting, provide *SCG Registration Forms* (Annex X) to all eligible older people in their communities and support them to complete them prior to the Village Council meeting.
  - b) Instruct all applicants for the SCG to attend the Village Council meeting and bring their ID with them. Applicants without ID should also be advised to attend for their application to be verified.

- c) Convene a Village Council meeting to orient the community on the SCG and allow the community and Parish Chief to verify the eligibility of SCG applicants.

**Step 2:** Eligible older people complete *SCG Registration Forms* (Annex X) and submit them to the Village Chairperson. Where possible, applicants should provide the serial number of an official form of identification which confirms their age.

**Step 3:** Parish Chiefs and Village Chairpersons convene a Village Council meeting (DT7) to introduce the Senior Citizen's Grant, explain eligibility criteria and verify applications for the SAGE SCG. The roles and responsibilities of the Village Council in verifying applications are explained.

**Step 4:** Each *SCG Registration Form* is reviewed in turn and the Village Council is asked to verify that the applicant is:

- a) a permanent resident of the community for at least one year prior to the Village Council meeting.

**Step 5:** Where the Village Council verifies that the applicant meets the programme's residency requirements, the applicant is invited to present his/her ID to the Parish Chief for age verification.

**Step 5:** Once the Parish Chief has verified the ID of the applicant, the Village Chairperson should complete a row of Table A (Applicants WITH official identification) on the form *Annex to Village Council Meeting Minutes* (Annex X). This includes recording the type of document presented and its serial number. Approved Identification documents are limited to: Voters Cards, Birth Certificates, Baptism Certificates, Driving Permits.

**Step 6:** In the event that an applicant lacks an official form of identification, the Village Council is requested to verify their eligibility with reference to the official calendar of national historical events (Annex X) or other locally relevant events and information.

**Step 7:** Once the Village Council has confirmed the eligibility of an applicant without ID to the satisfaction of the Parish Chief, the Village Chairperson should complete a row of Table B (Applicants WITHOUT official identification) on the form *Annex to Village Council Meeting Minutes* (Annex X). This includes recording the rationale presented by the Village Council.

**Step 8:** In the event that an older person who has been deemed eligible by the Village Council was unable to attend the Council meeting in person, the Village chairperson and Parish Chief should visit the homestead of the individual to confirm their eligibility based on

authentic documents presented. Once the Parish Chief is satisfied that the applicant is eligible, a row on Tables A or B (depending on whether the individual has official ID) on the form *Annex to Village Council Meeting Minutes* (Annex X) is completed by the Village Chairperson.

- Step 9:** At the end of the registration verification exercise, the Village Chairperson signs the *Annex to Village Council Meeting Minutes* (Annex X) and submits it to the Parish Chief for countersigning.
- Step 10:** The Parish chief submits the following documentation to the Sub-County CDO for counter-signing and onward transfer to the District SAGE Unit for entry into the SAGE MIS:
- All completed *SCG Registration Forms*
  - Minutes of the Village Council meeting with the *Annex to Village Council Meeting Minutes* form attached.
- Step 11:** The SAGE MIS Officer enters the details from the *Annex to Village Council Meeting Minutes* form into the SAGE MIS and generates beneficiary lists for public display and use during enrolment.
- Step 12:** A copy of the final beneficiary list is posted in a public place in the community.

On an annual basis, any newly eligible individuals complete *SCG Registration Forms* and their application is verified by village council and Parish Chief. The Parish Chief will publicly display these revised beneficiary lists at an appropriate place at community level and Village Chairpersons will be responsible for informing new beneficiaries of the enrolment date and location.

---

## 5. TARGETING FOR THE VULNERABLE FAMILY SUPPORT GRANT

---

This chapter sets out the programme's eligibility criteria and details the different steps involved in selecting beneficiaries for the two sub-components of SAGE – the Senior Citizen Grant (CSG) and Vulnerable Families Support Grant (VFSG).

### Targeting in the Vulnerable Families Support Grant: Summary

- The two SAGE sub-components (the VFSG and the Senior Citizen's Grant) will be implemented in separate sub-counties.
- Both components are expected to reach approximately 15% of households in each district although coverage within each sub-county may vary slightly due to changes in demographic structure.
- The VFSG is designed to target poor and vulnerable households which have extreme labour capacity deficiencies and high dependency ratios.
- As such the VFSG is intended to reach households containing a high proportion of older people, children and people with disabilities.
- Given the prioritisation of support for orphans in Uganda, orphans and their caregivers are also prioritised by the programme.
- Targeting for the VFSG is conducted by applying numerical scores to the members each household according to the age, sex, disability and orphanhood status. Aggregate household scores are then calculated automatically in the SAGE MIS.
- An eligibility threshold will be set for each district based on analysis of the UNHS 2009/10. Only those households scoring above the threshold will be targeted.
- Re-targeting will be done every 2-3 years in each sub-county.

### Forms to be used:

- *VFSG Registration Form (Annex X)*

### 4.1 Approach to targeting

Since 'poverty targeting' is extremely difficult and expensive to do with any reasonable degree of accuracy and also tends to create poverty traps, social conflict and stigma, SAGE will use simple demographic proxies for poverty and vulnerability which can be more easily implemented, understood and accepted at all levels, in particular by communities. The SAGE programme will pilot two different sub-components to generate empirical evidence on the strengths and weaknesses of different approaches to providing social protection to the chronically poor at national scale. The Vulnerable Families Support Grant (VFSG) will employ composite indicators of vulnerability (sex, age, disability

and orphanhood status) – which are linked to the labour capacity and dependency burden in households – while the Senior Citizen’s Grant uses a single indicator (age).

The two programmes are very different in nature. The VFSG is a household transfer while the Senior Citizen’s Grant is an individual entitlement, although there is strong evidence internationally that such individual grants are shared among family members, including children.

In order to render the process transparent and manageable for community members, the number of criteria used in the VFSG is restricted and only simple weights are used. When compared to some other forms of targeting, the selection of beneficiaries in the VFSG should appear fairer and more understandable to communities – although there may be less clarity near the cut-off point – and has the significant advantage of ensuring that programme management have greater control over the selection of households.

In theory the two programmes could be implemented in parallel. However, given resource limitations associated with the pilot phase, as well as the needs of the impact evaluation exercise, the SCG and VFSG will be implemented in different sub-counties. Allocation of the targeting mechanisms to different sub-counties will be done on a randomised basis by the MGLSD Social Protection Secretariat according to the requirements of the impact evaluation methodology.

## **5.2 Targeting for the Vulnerable Families Support Grant (VFSG)**

Data collected during the preliminary birth registration exercise is exported into the SAGE MIS at national level and numerical scores are allocated to each individual according to their age, sex, disability and orphan-hood status. Positive scores of different values are awarded to people with disabilities, older people, children and orphans whereas negative scores are allocated to working age, able-bodied adults. Household numbers are used to identify members of the same households and aggregate household scores are calculated by the MIS. The highest scoring 15% of households in each district are identified and Village level beneficiary lists generated. This allows the distribution of programme beneficiaries to reflect differences in scale and depth of vulnerability, labour capacity and poverty across the country. The list of potential beneficiaries is then provided by the parish chief to the Village council who validate it and consent. The parish chief attending the council meeting will document any emerging issues and forward them to the sub-county CDO.

### **How is the VFSG scoring system developed?**

In December 2010 a stakeholder consultation meeting was convened involving local government officials, MGLSD staff and other stakeholders to identify the

priority types of households and individuals for the VFSG. This consultation identified the following priorities and rationale:

<b>Priority group</b>	<b>Rationale</b>
Pre-school children:	<ul style="list-style-type: none"> <li>• Early years are a critical time for children’s development.</li> <li>• Malnutrition and ill-health during this stage causes irreversible damage to children’s development</li> <li>• Participants felt that children in this age group should be prioritised over other age groups in the context of limited resources.</li> </ul>
Older women and (to a lesser extent) older men	<ul style="list-style-type: none"> <li>• Those over 65 face severe labour capacity constraints, particularly those living without the support of working-age adults.</li> <li>• Older women particularly vulnerable as less likely to control assets such as land.</li> </ul>
People with severe disabilities:	<ul style="list-style-type: none"> <li>• Severely disabled working-age adults are, by definition, severely constrained in terms of their own labour capacity.</li> <li>• They are also likely to have higher health care costs, as are the elderly living with severe disabilities.</li> <li>• Children with severe disabilities are likely to place significant additional requirements on carers, thereby reducing the labour capacity of the working-age adults in the household in addition to their higher health care needs.</li> </ul>
Double orphans:	<ul style="list-style-type: none"> <li>• Children whose parents have both died are more vulnerable than children with one or both living parents.</li> <li>• Even where double orphans are not more likely to live in poor households, they are likely to have lower investments in their health and education, requiring further support to ensure their development.</li> </ul>

In terms of household size, the consultation exercise revealed a clear need to prioritise larger households with high numbers of dependents. Using this information, analysis of the UNHS 2009/10 was undertaken to develop a scoring system which delivered a beneficiary profile in line with the guidance received. The final scores are as follows:

	<b>single orphan</b>	<b>double orphan</b>	<b>Not orphan</b>	<b>partial disability</b>	<b>severe disability</b>	<b>No disability</b>
Age 0 to 2 years	5	10	2	5	5	2
Age 3 to 5 years	5	10	2	5	5	2
Age 6 to 10 years	5	10	2	5	5	2
Age 11 to 15 years	5	10	2	5	5	2
female 65 years +				15	35	15
male 65 years +				15	35	15
female 16 to 64				15	35	-10
male 16 to 64				15	35	-10

### Anticipated coverage of vulnerable groups by the VFSG

Table X presents the anticipated coverage rates of different vulnerable groups disaggregated by age, sex, disability and orphan hood status. For example, coverage of elderly women with severe disabilities is expected to be 94%, elderly men with severe disabilities of 80%, and working-age women with severe disabilities of 92%. Working-age men with disabilities are covered somewhat less, at 69%. Adults with partial disabilities are also well covered, ranging from 56%-66%. The elderly with no disability are also generally well covered, with 50% of men and 61% of women without disabilities over 65 in targeted households.

Children overall have lower coverage rates, with 12-17% of non-orphans covered. Double orphans in the 0-2 range are, however, covered 100%, while double orphans of other ages are also covered 54% or more. Single orphans are also fairly well covered (36-46%), as are children with partial disabilities (37-41%).

**Table 1: Percentage of individuals with different characteristics who are targeted in Option 1<sup>12</sup>**

	single orphan	double orphan	Not orphan	partial disability	severe disability	No disability
age 0 - 2 years	40%	100%	12%			
age 3 - 5 years	46%	58%	14%	40%	24%	16%
age 6 - 10 years	39%	63%	16%	37%	18%	18%
age 11 - 15 years	36%	54%	17%	41%	58%	20%
female 65 years +				64%	94%	61%
male 65 years +				56%	80%	50%
female 16 - 64				64%	92%	13%
male 16 - 64				66%	69%	9%

It is also possible to simulate coverage by household size and composition. This helps us understand whether those individuals who are excluded are excluded because they live in households with high labour capacity or not. As table X illustrates, 100% of households with elderly adults on their own are covered, as are households with children and older adults only. This implies that the 40-50% of elderly not targeted live in households with working-age adults. Similarly, coverage levels are much higher for households with children, middle-age, and older adults (51%) as these households are expected to have higher dependency ratios, compared to households with middle-age adults and children or middle-age adults only.

<sup>12</sup> Since disability amongst children aged under 2 years is not collected as part of the UNHS, it is impossible to simulate the likely coverage rates amongst disabled infants. However, MGLSD has arranged for disability assessments to be done for these children as part of the preliminary birth/household registration exercise and they will receive scores as per table X above. It is therefore expected that they will have similar coverage rates to children aged 3-5 years with disabilities.

The only group that appears to be worryingly left out are child-headed households of 2-3 people, as only 70% of these are covered, and none of the child-headed households with 1 person are covered. However, in practice, only 0.8% of children live in child-headed households and so the programme will incorporate a categorical rule to ensure that all child-headed households are included.

**Table 2: Percentage of household size and type that are targeted in Option 1**

Household size	Only middle-age adults	Middle-age adults and children	Middle-age and older adults	Children, middle-age and older adults	Older adults only	Children and older adults	Child-headed: children only	Total
>10		22%		45%				26%
7 to 9 pax	0%	11%	0%	61%		100%		15%
4 to 6 pax	0%	8%	20%	49%		100%	100%	12%
2 to 3 pax	1%	3%	20%	25%	100%	100%	70%	9%
1 pax only	6%				100%		0%	21%
<b>Total</b>	<b>2%</b>	<b>11%</b>	<b>18%</b>	<b>51%</b>	<b>100%</b>	<b>100%</b>	<b>65%</b>	<b>15%</b>

### Anticipated beneficiary profile

Instead of looking at coverage of different groups, it is also possible to look at the profile of beneficiary households (in other words, only those households that are targeted), as in Table X below. Here we can see that the vast majority (59%) are households with middle-age adults and children. However, most of these are households with 7 or more people. This is because, although coverage rates of these households with working-age adults and children (11%) are much lower than other household types, they are a much larger percentage of the population overall, meaning they are therefore a larger percentage of beneficiaries as well. Another 29% of beneficiary households are children, working-age, and older adults, while 6% are children and older adults and 3% older adults only, despite the fact that these groups have the highest levels of coverage.

It is also notable that the majority of beneficiary households overall are those with 7 or more members (60%).

**Table 3: Beneficiary profile for Option 1**

Household size	Only middle-age adults	Middle-age adults and children	Middle-age and older adults	Children, middle-age and older adults	Older adults only	Children and older adults	Child-headed: children only	Total
>=10	0.0%	19%	0%	8%	0%	0%	0.0%	27%
7 to 9 pax	0.0%	21%	0%	12%	0%	0%	0.0%	33%
4 to 6 pax	0.0%	18%	0%	9%	0%	2%	0.2%	30%
2 to 3 pax	0.1%	1%	1%	0%	1%	3%	0.2%	6%
1 pax only	0.7%	0%	0%	0%	2%	0%	0.0%	3%
<b>Total</b>	<b>1%</b>	<b>59%</b>	<b>1%</b>	<b>29%</b>	<b>3%</b>	<b>6%</b>	<b>0.4%</b>	<b>100%</b>

#### **4.2.1 Step-by-step guide to targeting for the Vulnerable Families Support Grant: *Labour Capacity and Dependency (LCD) Targeting***

##### **Process**

---

- Step 1:** A district LCD scoring threshold is determined for each district based on analysis of the UNHS 2009/10 data. This threshold will be set in order to target approximately 15% of households in each district.
- Step 2:** Within the SAGE MIS, the LCD scoring system is applied to the data collected during the preliminary birth registration exercise.
- Step 3:** Using the unique household numbers, aggregate scores are calculated for each household and all those scoring above the District eligibility threshold are identified. In the event that households have the same score, the MIS will automatically give preference to single-headed households – by age of head – and after that preference will be based on the age of household heads.
- Step 4:** The MIS will automate the preliminary identification of a recipient for each household. Where present, adult women aged 18-70 will be selected as the recipient. Otherwise adult men or, in the case of child headed households or extremely old people living with children, the eldest child will be selected as recipients.
- Step 5:** Village-level beneficiary lists (complete with lists of pre-identified secondary recipients) are generated by the SAGE MIS Officer at District level and sent to Sub-County CDOs and Parish Chiefs.
- Step 6:** A message is conveyed to the Village Chairperson by the Parish Chief requesting a Village Council meeting to be convened on a specified time and date. At least one week’s notice will be provided.
- Step 7:** A Village Council meeting is facilitated by the Village Chairperson and Parish Chief to introduce the VFSG and explain eligibility criteria, the targeting process and grievance procedures. The beneficiary list is publicly announced, explained and displayed in an appropriate location in the community. The parish chief records any appeals and refers them to the Sub-County (A)CDO. Beneficiaries are provided with the opportunity to authorise an alternative recipient to enrol on their behalf. Beneficiaries are informed of the enrolment date. Once residency has been verified by the Village Council, *VFSG Registration Forms* are completed by the beneficiaries for use at the enrolment point. See Annex X for detailed guidelines for how this meeting will be conducted.
- Step 8:** Sub-County Residents ID cards are issued to any beneficiary without a voters card by the Sub-County Chief.

**Step 9:** All beneficiaries or their nominated recipients are required to travel to an enrolment point. Beneficiaries are required to produce *VFSG Registration Forms*, ID (voters cards/birth certificates/baptism certificates/Residents ID Cards) at the enrolment point and the name and ID reference number is checked against the beneficiary list.

**Step 12:** Beneficiaries and recipients are enrolled by the payment service provider (see next chapter for details).

---

## 6. CHANGE MANAGEMENT IN THE SENIOR CITIZEN'S GRANT

---

This chapter explains how changes in the circumstances of beneficiaries and potential beneficiaries of the SAGE SCG effect eligibility and how to deal with these changes.

### **In Summary**

- Heads of household or next of kin are responsible for reporting any changes in household composition which may affect eligibility (i.e. deaths, or permanent arrival or departure) to the village chairperson.
- Village chairpersons are responsible for ensuring that any changes are communicated to the sub-county CDO for data entry purposes.
- In the event of the death of an older person, households benefitting from the SCG will cease to be eligible immediately.
- All households exiting the programme due to the death of the SCG beneficiary will receive a SAGE Transition Support Grant to support their transition out of the programme.
- Enrolment of newly eligible individuals will take place once a year in each sub-county.

### **Responsibilities of Sub-County CDO and Sub-County Chief**

- Check and counter-sign death and departure notification forms submitted by Parish Chiefs.

### **Responsibilities of Parish Chiefs and Parish Facilitators**

- Check and counter-sign Beneficiary Death and Departure Notification Forms submitted by Village Chairpersons and submit to Sub-County CDO.

### **Forms to be used**

- *SCG Beneficiary Death Notification Form (Annex X)*
- *SCG Beneficiary Departure Form (Annex X)*

## **6.1 Managing Household Changes in Automated Registration Sub-Counties**

The following section outlines how a range of household changes will affect SAGE entitlements and how these changes will be managed by the programme. SAGE change management forms will be prepared by the Village Chairpersons every month and passed through the sub-county CDO where they will either be entered into the SAGE MIS through the sub-county MIS terminal or sent to the SAGE District MIS officer who will make any necessary changes to the MIS. In

SCG communities only the *Relocation and Reassignment Form* will be necessary.

**Permanent arrivals:** Older people who move into communities benefitting from the SAGE SCG will only be eligible after they have been resident in the community for at least 1 year. Such individuals will either be registered through the annual registration exercise completed by the Parish Chief.

**Deaths:** The death of a registered beneficiary of the SCG will result in termination of payments. Death of a beneficiary must be reported by the next of kin to the Village Chairperson as soon as possible and an *SCG Beneficiary Death Notification Form* (Annex X) should be completed by the next of kin with the support of the village chairperson. This form will be submitted to the Parish chief for onward transfer to the Sub-County CDO and District MIS Officer for data entry purposes. Arrangements will be made with the Payment Service Provider to allow the next of kin of the beneficiary to access the SAGE Transition Support Grant and any remaining balances on the beneficiary's account. On an annual basis, village chairpersons will be proactively contacted to ensure that all deaths have been recorded.

**Permanent Departures of beneficiaries<sup>13</sup>:** In the event that an SCG beneficiary permanently relocates out of the SAGE pilot districts, the beneficiary will no longer be considered eligible and payments will be terminated immediately. No SAGE Transition Support Grant will be payable. However, if the beneficiary moves to a new location within the same Sub-County, the transfer will be continued although the designated pay-point may have to change.

Village Chairpersons will therefore be responsible for reporting permanent departures of SAGE SCG beneficiaries to the Sub-County CDO using the *SCG Beneficiary Departure Form* (Annex X). Amendments to the SAGE MIS are then made either using a Sub-County MIS terminal or by the District MIS Officer.

**Age:** In Automated SCG registration sub-counties, the SAGE MIS will automatically determine when individuals have crossed the relevant age thresholds which are relevant to the SCG and VFSG targeting systems. In community-based SCG registration sub-counties, annual registration events will be managed by Parish Chiefs to identify newly eligible older people.

---

<sup>13</sup> An individual or household should be considered as a permanent arrival if they have spent 6 months continuous residence in a community participating in SAGE. An individual or household shall be considered as permanently departed if they are continuously absent for more than 3 months. Occasional visits to family members shall not qualify someone to be resident of the community. However, this provision excludes those children absent from the community due to being in boarding schools as well as individuals who have been hospitalized. Such individuals shall continue to be considered resident of the community

## **Checks and Balances**

- PDCs and Village Chairpersons are charged with ensuring birth and death registers are updated and sub-county CDOs are informed of relevant household changes.
- Every year the village beneficiary list will be reviewed by the Parish Chiefs to ensure that all deaths, permanent arrivals and departures have been reported.

---

## 7. CHANGE MANAGEMENT IN THE VULNERABLE FAMILIES SUPPORT GRANT

---

This chapter gives instructions as to how to deal with changes at household level and how to include new households and exit those that no longer qualify for the programme. It also describes the retargeting process and explains how households will graduate over time.

### In Summary

- Heads of household or next of kin are responsible for reporting any changes in household composition which may affect eligibility (i.e. births, deaths, disablement or permanent departure) to the village chairperson.
- Village chairpersons are responsible for ensuring that any changes are communicated to the sub-county CDO for data entry purposes.
- Eligibility of VFSG households will be reassessed automatically through the SAGE MIS every 2 years.
- All households exiting the programme will receive a ‘SAGE Transition Support Grant’ to support their transition out of the programme.
- Enrolment of newly eligible households will take place once a year in each sub-county.
- It is possible for households to change their additional proxy recipient.

### Forms to be used

- SAGE Village Disability Notification Form (Annex X)
- SAGE Parish Disability Notification Form (Annex X)
- VFSG Relocation and Reassignment Notification Form (Annex X)

### 7.1 Managing Household Changes

Since the targeting mechanism for the VFSG relies exclusively on information about the demographic characteristics of household members, it is critical that all changes at household level are reported and factored in to allow a re-targeting process to be conducted every 2-3 years. In order to achieve this, SAGE change management forms will be prepared by the Village Chairpersons every month and passed through the Parish Chief and sub-county CDO where they will either be entered into the SAGE MIS through the sub-county MIS terminal or sent to the SAGE District MIS officer who will make any necessary changes to the MIS. In VFSG communities, these will include *Relocation and Reassignment Forms and Village Disability Notification Forms* (Annexes X and X).

**Births and permanent arrivals:** Where Village Health Teams (VHTs) and clinics have been trained and equipped to implement the MobileVRS birth registration system, data on new births and permanent arrivals will be captured in this manner and birth certificates issued accordingly. On an annual basis, village chairpersons will be proactively contacted by the Parish Chief to ensure that all births have been recorded.

**Deaths:** Where Village Health Teams (VHTs) and clinics have been trained and equipped to implement the MobileVRS birth registration system, data on deaths will be captured in this manner and death certificates issued accordingly. On an annual basis, village chairpersons will be proactively contacted to ensure that all deaths have been recorded.

**Disablement:** Village Chairpersons are responsible for informing Sub-County CDOs through Parish Chiefs of any new cases of permanent disablement using the SAGE Village Disability Notification Form (Annex X). The Parish Chiefs will conduct a full disability assessment using the SAGE disability assessment form and submit a completed SAGE Parish Disability Notification Form (Annex X) to the Sub County CDO. Amendments to the SAGE MIS are then made either using a Sub-County MIS terminal or by the District MIS Officer.

**Age:** The SAGE MIS will automatically determine when individuals have crossed age thresholds which are relevant to the VFSG targeting system.

**Permanent Departures of entire households or household members<sup>14</sup>:** Village Chairpersons will be responsible for recording any permanent departures on the Relocation & Reassignment Form (Annex XII) which is then submitted to the Sub-County CDO. Amendments to the SAGE MIS are then made either using a Sub-County MIS terminal or by the District MIS Officer.

**Split Households:** Village Chairpersons are responsible for recording all cases of split households on the *Relocation and Reassignment* Form (Annex XII). A new unique household identification number will then be assigned to the members of the newly formed household unit by the Sub-County CDO or District MIS Officer.

**Household dissolution:** Village Chairpersons are responsible for recording all cases of household dissolution using the *Relocation and Reassignment* Form (Annex XII) which will be used to record whether

---

<sup>14</sup> An individual or household should be considered as a permanent arrival if they have spent 6 months continuous residence in a community participating in SAGE. An individual or household shall be considered as permanently departed if they are continuously absent for more than 3 months. Occasional visits to family members shall not qualify someone to be resident of the community. However, this provision excludes those children absent from the community due to being in boarding schools as well as individuals who have been hospitalized. Such individuals shall continue to be considered resident of the community.

household members have joined another household or whether they have relocated out of the district. The information will be sent on by the Sub-County (A)CDO to the District MIS officer who will then record the information on the MIS.

Payments will cease immediately to the original household. In the event that members of one household join another household, this will affect the eligibility of the second household at the time of retargeting.

## **7.2 How household changes affect eligibility for the VFSG**

**VFSG:** Scores for all households are automatically recalculated by the SAGE MIS every 24 months to incorporate all changes made through either the MobileVRS system (for births and deaths) or the SAGE MIS (for household splits, relocation and dissolution). All households above the district eligibility threshold will be identified. However, existing beneficiaries who no longer score above the district eligibility threshold will only be removed from the beneficiary list if they have been enrolled for a minimum of 24 months. A list of no-longer-eligible households who have been enrolled for at least 24 months will be generated by the District SAGE MIS Officer and distributed to sub-county CDOs and Parish Chiefs. Households that are no longer eligible for the programme will then be informed that they will no longer receive benefits, and cash will be withdrawn after 4 months. Newly eligible households will enrol in the programme in the normal manner. Opportunities for enrolment of new beneficiaries will be provided on an annual basis at Sub-County level.

### **Checks and Balances**

- A semi-automated process based on an initial comprehensive household registration exercise.
- PDCs and Village Chairpersons are charged with ensuring birth and death registers are updated and sub-county CDOs are informed of relevant household changes.
- Annual spot checks will be carried out against a sample of the beneficiary list in each community to ensure that all household changes have been reported.

---

## 8. ENROLMENT & PAYMENT DELIVERY

---

This chapter provides details of the transfer amount and how it was arrived at. It explains how money is delivered to beneficiaries and what happens if the beneficiary household is unable to collect the transfer for her/himself.

### **In Summary**<sup>15</sup>

- Beneficiaries are entitled to a monthly transfer of 23,000 UGX in 2011, which is adjusted on an annual basis for inflation.
- Payments will be delivered through the MTN *MobileMoney* service.
- In the case of the VFSG, the primary payment recipient will be the adult woman in the household if she is agreeable.
- Every beneficiary has the right to appoint an additional transfer recipient that can collect the transfer on his/her behalf.

### **Responsibilities of the Sub-County Chief and (A)CDO**

- Issue Resident's ID Cards to any beneficiaries lacking a photographic form of ID prior to enrolment.
- Verifies eligibility and checks individuals off enrolment list.
- Communicate with Parish Chiefs to ensure that any missing beneficiaries are contacted.

### **Responsibilities of the Parish Chief / Parish Facilitators**

- Explain enrolment requirements, dates and locations to beneficiaries.
- Communicate annual changes in SAGE transfer values to beneficiaries.
- Explain the selection of primary and secondary recipients to beneficiaries.
- Support community mobilisation for enrolment.
- Checks, counter-signs *Resident's ID Request Forms* and *Alternate Recipient Authorisation Forms* and submits to Sub-County Chief.

### **Forms to be used:**

- *Resident's ID Card Request Form* (Annex X)
- *SCG Alternate Recipient Authorisation Form* (Annex X)
- *VFSG Alternate Recipient Authorisation Form* (Annex X)

## **8.1 Transfer Amount**

### **Basis for Transfer Amount**

---

<sup>15</sup> The payment section cannot be finalized at present. It will be revised once the payment provider has been selected and procedures for payment have been established. This chapter sets out the principles that will be used in the payment process.

Three considerations have to be taken into account when determining the value of a social transfer: 1) adequacy with respect to achieving the intended poverty reduction impacts; 2) affordability in terms of fiscal space and donor commitments; and 3) social acceptability given the existence of non-eligible groups in society whose situation might only be slightly better-off.

Beneficiaries will receive a monthly transfer of 22,000 UGX [2011 value]. This represents more than 20% of the monthly household consumption of the poorest decile of Uganda's population—the main target group of the cash transfer. The benefit level also reflects a normative sense of social acceptability. The amount has been subject to broad stakeholder consultations, and is low enough that it does not shift a median lowest decile household above the median of the next decile in the overall household consumption distribution for Uganda. The amount is also sensitive to what is affordable at national scale and is in line with similar cash transfers in Sub-Saharan Africa. The impact evaluation will consider whether the benefit level is appropriate; if so, it could be increased in a national scale-up.<sup>16</sup>

### **Updating of Transfer Amount**

The benefit level will be indexed to a retrospective consumer price index that approximates the inflation rate facing the poor. This indexing will prevent a long-term decline in the purchasing power of the transfer and offset the impact of short-term price inflation.<sup>17</sup> When updating the transfer value, the amount will be rounded off to a value of UGX 1,000 in order to simplify the physical payment process.

### **Frequency of the Transfer**

One payment will be made to each SAGE recipient every payment cycle. The length of the payment cycle is likely to be bi-monthly. Payment Service Providers usually make a charge per payment delivered therefore paying every two months halves the number of payments made and hence the cost of delivering these payments. A two-month payment cycle also gives time for any checks and reports to be completed before the start of the next payment cycle. This is especially important at the beginning of a pilot phase when procedures have not been fine-tuned.

### **SAGE Transition Support Grant and Referrals**

---

<sup>16</sup> Beginning with a relatively low benefit level is sensible as it can be easily increased if it is seen to be too low to have an impact. It is much more difficult to reduce a benefit level that is set too high initially.

<sup>17</sup> For calculation of the programme budget, an annual inflation rate of 5% has been set and a contingency budget (10% of total cash transfer value) has been set aside to finance transfer indexing. IMF World Economic Outlook (2009) quotes annual percent change in inflation for Sub-Saharan Africa excluding South Africa and Nigeria to vary between 6.8% in 2010 and 4.3% in 2014 (Table B4 in Annex B).

All households that exit the programme (with the exception of those who relocate out of the programme catchment area) are provided with SAGE Transition Support Grant equivalent to 4 months of transfers. This payment is intended to incentivise reporting of household changes to the village chairperson and facilitate their transition out of the programme. In the case of the SCG, payment of the SAGE Transition Support Grant is dependent upon timely reporting of death. Deliberate failure to report death (and fraudulent claiming of the SCG payments) may result in cancellation of the SAGE Transition Support Grant payment to the next of kin.

In those sub-counties in which the social work function of the CDOs is trialled, the CDOs will work with families to maximize returns on the SAGE Transition Support Grant by offering counselling services and referring households to complementary services such as micro-credit, income-generating activities, training and sensitization initiatives.

## **8.2 Transfer recipient**

### **Selection of recipients**

Any individual or household enrolled in the programme is entitled to authorise an alternative recipient to collect payments on their behalf. This can be more convenient for the beneficiary but is also necessary in the event that the original recipient is infirm, does not meet the age requirement for holding an account with the payment service provider, or lacks the necessary identification documentation. However, the procedures for identifying recipients differ between the VFSG and SCG as follows.

### **Vulnerable family Support Grant**

---

In the case of the VFSG – where the entire household is the beneficiary - the SAGE MIS will pre-select the recipient for each household as below:

- First choice: Any woman aged 18-70 (oldest to be selected)
- Second choice: Eldest male 18-70
- Third choice: Youngest woman aged 70+
- Fourth choice: Youngest man aged 70+
- Fifth choice: Eldest child

### **Senior Citizen's Grant**

---

In the case of the Senior Citizen's Grant, the eligible older person is registered as the primary recipient irrespective of age or sex.

#### **8.2.1 Authorising an alternate recipient**

In the event that the selected beneficiary/recipient is unwilling or unable to travel to the enrolment point or collect the payment themselves, they may authorise an alternative recipient to enrol and collect payments on their behalf. In such cases the beneficiary should complete an *Alternate Recipient Authorisation Form* (Annex X) with the support of the Village Chairperson. This form should be presented at the enrolment point. If the authorised recipient lacks a photographic form of identification a Resident's ID card will be issued by the Sub-County Chief prior to enrolment with the Payment Service Provider.as follows.

### **8.2.2 Step-by-step guide to authorising an alternative recipient**

**Step 1:** Once all applications for the SCG have been verified at the DT7 Village Council Meeting, the Parish Chief will explain to beneficiaries and local leaders that older persons with mobility difficulties can nominate a recipient of their choice. The parish chief will then read out the sample of the *Alternative Recipient Authorisation Form* (Annex X) and emphasise the responsibilities of the authorised recipient.

**Step 2:** *Alternative Recipient Authorisation Forms* are distributed to any individual who wishes to collect one and spares are left with the Village Chairperson.

**Step 3:** Beneficiaries complete the *Alternative Recipient Authorisation Form* and get them counter-signed by the Village Chairperson and Parish Chief before handing them to their designated Authorised Recipient along with a copy of their ID. In cases where the applicant does not have an official form of ID, they must request the LC1 Chairperson to issue a letter confirming their identity and pass this on to the Alternate Recipient.

**Step 4:** In the event that the Alternate Recipient does not possess an official form of photographic ID such as a voters card, they should apply for a Resident's ID card from the Sub-County Chief prior to enrolment.

**Step 5:** Authorised recipients are required to travel to the enrolment point where they will be required to produce the following prior to being allowed to enrol:

- a) The *SCG Registration Form* countersigned by LC1 and Parish Chief.
- b) The ID (or letter from the LC1 Chairperson) of the actual beneficiary.
- c) A completed *Alternative Recipient Authorisation Form*.
- d) An official form of photographic identification (e.g. voter's card, Resident's ID card, Driving permit or passport)

**Step 6:** The name and serial number of the beneficiary's ID is checked against the beneficiary list and the authorised recipient is enrolled by the payment service provider.

## **8.3 Payment Delivery Mechanism**

### **8.3.1 Summary of SAGE payments delivery mechanism**

SAGE payments will be delivered direct to recipients through the MTN *MobileMoney* service. *MobileMoney* is an instant e-money transfer service and, in the case of SAGE, will involve bulk payments initiated by the MGLSD Social Protection Secretariat. Each beneficiary shall be issued with SAGE beneficiary ID card and then registered according to the standard *MobileMoney* registration process. Each beneficiary will be given a SIM card to enable them to complete a *MobileMoney* payment transaction. Each beneficiary shall choose a unique, five digit Personal Identification Number (PIN) which will allow them to withdraw cash from their *MobileMoney* account at their nearest agent. SAGE beneficiaries will be provided with one free withdrawal per month although any subsequent withdrawals will attract MTN's standard fees. If they so wish, SAGE beneficiaries may also store a portion of their transfer funds electronically. No minimum balances are required. Management of the PSP will be guided by an agreed Service Level Agreement which is provided in Annex X.

### **8.3.2 Payment Agents**

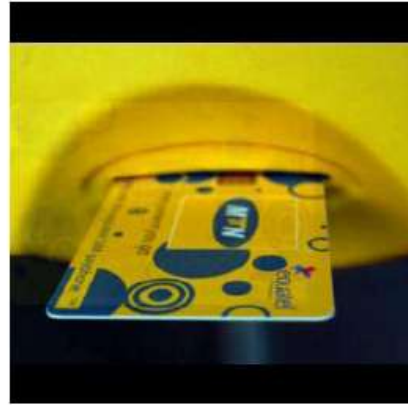
Payments will be made to SAGE beneficiaries through a network of MTN *MobileMoney* agents located in sub-county centres and other trading centres. The SAGE programme and MTN commits to ensuring that the average beneficiary will travel no more than 10-12km to access a paypoint and no beneficiary will be required to travel more than 15km.

### **8.3.3 Payment Technology**

SAGE beneficiaries will be issued with a SIM card containing a chip and MTN "Easy Talk" (ET) phones will be installed at every SAGE paypoint. These ET phones allow individuals who do not have access to a mobile phone to use the *MobileMoney* service. When a beneficiary inserts the SIM card into the ET phone, the phone provides the user with exactly the same functionalities of a mobile phone, personalising all the user's communications the way a mobile phone works. On removing the card, the phone is available for another user.



ET payphone



inserting card

### **Procedures for transfer of funds to beneficiary accounts**

1. The national SAGE MIS Manager generates a beneficiary list from the SAGE MIS as a csv. file and submits it to the SAGE Operations Manager.
2. The SAGE Operations Manager checks the list and submits it to the MTN Account Manager.
3. The SAGE Operations Manager submits a request for transfer of funds for the upcoming payment cycle to the MobileMoney Escrow account.
4. The MTN Account Manager arranges for SIM cards to be assigned to each individual on the beneficiary list and the telephone number to be added to the beneficiary list csv. file.
5. The MTN Account Manager returns the amended csv.file to the SAGE Operations Manager.
6. The SAGE Programme Manager or SAGE Operations Manager uses the MTN web-based portal to credit e-payments to SAGE beneficiary MTN MobileMoney accounts.

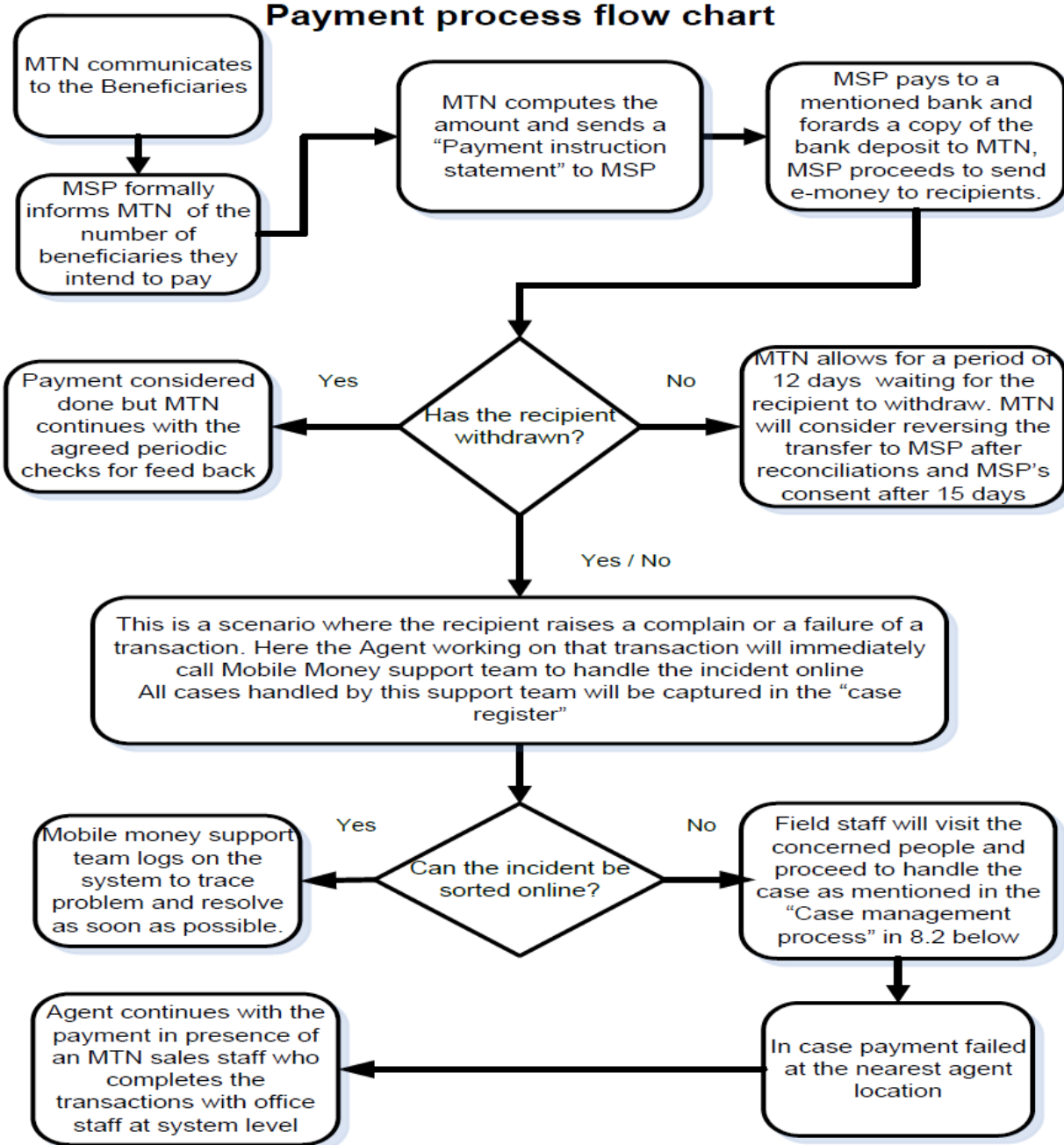
### **Payments process**

Every month payment of SAGE beneficiaries will be completed within the first week of the month. However, in order to avoid the payment agent becoming overwhelmed, payments to beneficiaries in any one sub-county may be staggered by dividing beneficiaries in each sub-county into groups with each group's starting payment date being on a different day of the week. Groups will be determined by clustering the beneficiaries from a number of Parishes together.

On the designated pay-day (or any day thereafter) beneficiaries will be required to travel to a designated *MobileMoney* agent and present their MobileMoney SIM card to the agent for the agent's record and approval before mobile money cash withdrawal transaction begins. All payments shall be recorded in the agent's *transaction cash payment book* and counter-signed by the beneficiary / recipient.

### Contingency measures & payments in hard-to-reach areas

In the event that technological failure or GPRS network interruptions mean that it is not possible to implement the standard payment procedures, *MobileMoney* agents will be able to proceed with manual payments in presence of an MTN Trade Development Representative (TDR). MTN will then reconcile these records with the *MobileMoney* database. All records for this alternative payment method shall securely be kept by the agent. A list of all the beneficiaries that have been paid through this alternative method shall be copied to the Social Protection Secretariat with an explanation.



## 8.4 Beneficiary enrolment procedures

Enrolment is the process by which eligible individuals register with the Payment Service Provider to enable them to receive SAGE payments. Enrolment comprises of two main steps:

- I. Training on payment services by the Service Provider
- II. Verification by Sub-County CDO, registration for a MobileMoney account and distribution of SIM card

### I. Training on payment services by the Service Provider

- MTN will provide written notification of the time, date and location
- of training to the District SAGE Unit at least 7 days in advance.
- The District SAGE Unit will forward these details to the Sub-County CDO for onward communication to Village Chairpersons via Parish Chiefs.
- Beneficiaries and/or their authorised recipients travel to the enrolment point and are checked-off against the beneficiary list.
- MTN Sales Staff that will first train a team of the competent local people then split the trainees into groups for the trained local people to handle manageable numbers.
- Beneficiaries receive training in the following areas;
  - ✓ SIM card storage
  - ✓ How to use the SIM card
  - ✓ Using the Easy Talk Phone to make a call, send SMS and access SAGE payments.
  - ✓ SIM card PIN management (entering, confidentiality and changing).
  - ✓ Reporting incidents (to Customer toll free numbers or the agents, the TDRs)
- ✓ Beneficiaries are instructed to return to the enrolment point on a set time and date to register for *MobileMoney* and receive their SIM card

## II. Verification by Sub-County CDO, registration for a MobileMoney account and distribution of SIM card

Process	Procedures
<b>Step 1</b>  <b>Preparations</b>	<ul style="list-style-type: none"> <li>• SAGE Unit to agree enrolment dates and times with MTN. MTN to confirm these in writing at least 7 days prior to the enrolment data. SAGE Unit to forward these details to the Sub-County CDOs for onward communication to beneficiaries.</li> <li>• SAGE Unit to print the ‘eligible beneficiary lists’ (2 copies for each enrolment point) and hand these over to the Sub-County Chief and CDO and MTN along with an electronic copy (file to be password protected). If more than one enrolment point in a sub-county, the beneficiary list should be printed by Parish to avoid confusion between people with similar names at different enrolment points.</li> <li>• Sub-county staff to organise at least one table for each enrolment point.</li> <li>• MTN to provide 2 MTN staff for each enrolment point and at least 1 laptop at each enrolment point pre-loaded with the SAGE beneficiary list.</li> </ul>
<b>Step 2:</b> <b>Verification of Eligibility by Sub-County Chiefs and CDOs</b>	<ul style="list-style-type: none"> <li>• Applicants for the SCG or VFSG present themselves to the Sub-County Chief or CDO.</li> <li>• Sub-County Chief or CDO reviews the <i>SCG/VFSG Registration Form</i> and confirm it is completed correctly.</li> <li>• Sub-County Chief or CDO inspects the applicant’s Voters Card, Birth certificate or Baptism certificate and satisfied themselves that the applicant is eligible. The ID reference number should match the ID reference number provided on the Enrolment List.</li> <li>• If the Sub-County Chief/CDO is satisfied that the applicant is eligible he/she countersigns and stamps the <i>SCG/VFSG Registration Form</i>.</li> <li>• Sub-County Chief/CDO records the status of the applicant on the appropriate column of the Enrolment List (tick = cleared for enrolment, cross = ineligible or query eligibility. Any comments should be added (e.g. Query – ID tampered with)</li> <li>• Applicant directed to MTN for enrolment.</li> </ul>
<b>Step 2</b> <b>Verification of Beneficiaries by MTN staff</b>	<ul style="list-style-type: none"> <li>• Applicants should present their countersigned and stamped <i>VFSG/SCG Registration Form</i> to the MTN staff for verification.</li> <li>• In automated SCG and VFSG sub-counties, beneficiaries should present their birth certificate and Voters Card and/or Resident’s ID card to the MTN representative. In community registration SCG sub-counties, beneficiaries should present any photographic form of ID.</li> <li>• Authorized Alternate Recipients must present a completed Alternate Recipient Authorisation Form, the birth certificate of the beneficiary <i>and</i> their own Voters Card or Resident’s ID card.</li> <li>• MTN staff match the individual to a record on the ‘eligible beneficiary list’ with reference to the name and serial number on the applicant’s identification.</li> </ul>

	<ul style="list-style-type: none"> <li>• If the person is on the beneficiary list the MTN staff member should:             <ol style="list-style-type: none"> <li>a) <b>Check whether any query exists on their nationality in column N</b> of the beneficiary list. If so, the MTN staff should refer the individual to the Sub-County chief for verification of nationality prior to enrolment.</li> <li>b) If they are on the list (and there is no nationality query or Ugandan nationality has been verified), place a ‘tick’ in the right-hand status column on the beneficiary list.</li> <li>c) If they are not on the list, inform the beneficiary that according to your information they are not eligible. If they disagree they should submit a formal appeal to the Parish Chief.</li> </ol> </li> <li>• In the event of a query on nationality, the Sub-County Chief must verify eligibility with reference either to a Voters Card or a completed <i>Appeals Adjudication and Enrolment Request Form</i>. Non-Ugandans should be told that they are unable to register at present and that confirmation will be provided shortly. Please apologise for any inconvenience. If they are not Ugandan ‘non Ugandan’ should be entered by the MTN staff in Column O of the electronic copy of the eligible beneficiary list.</li> <li>• If either beneficiaries or authorized recipients lack the necessary documentation they should be instructed to return on a given time/date. They should be informed that they will receive backpayments to cover any missed payments once they successfully enrol.</li> </ul>
<p><b>Step 3</b>  <b>Registration of beneficiary for MTN MobileMoney and distribution of SIM cards</b></p>	<ul style="list-style-type: none"> <li>• MTN staff to ask the individual enrolling whether they are a beneficiary or an Authorised Representative.</li> <li>• If enrolling individual is an authorized alternate recipient, the details of the authorized recipient should be typed into columns E, F and G on the electronic beneficiary list as per the <i>Alternate Recipient Authorisation Form</i>. If the recipient does not have a birth certificate then record their voters card or Resident’s ID card number in column G on the electronic beneficiary list.</li> <li>• Photocopy voters card or resident’s ID card of beneficiary or the authorised recipient.</li> <li>• Record necessarily details as required by MTN registration procedures. The beneficiary’s information is entered into <i>MobileMoney</i> system using a mobile phone. The beneficiary also submits their chosen PIN number.</li> <li>• Handover a SIM card to the beneficiary.</li> <li>• Record the SIM telephone number in column H on the electronic beneficiary list.</li> </ul>

## Account management procedures

Should the beneficiary wish to make any changes to their MobileMoney account once they have been enrolled, the following procedures and service levels shall apply:

Change management process	Process details	Service level
Change of authorised alternate recipient	<ol style="list-style-type: none"> <li>1. Beneficiary completes <i>Alternate Recipient Authorisation Form</i> and gets it counter-signed by Village Council Chairperson.</li> <li>2. Authorised recipient approaches MTN staff at paypoint and presents the SIM card, ID of beneficiary, their own ID and a completed <i>Alternate Recipient Authorisation Form</i>.</li> <li>3. MTN amend the registration forms and register the newly identified alternate recipient.</li> </ol>	
Change of PIN request	TBC	Instantaneous
Blocking and replacing lost/damaged SIM cards	<ol style="list-style-type: none"> <li>1. Recipient notifies MTN's TDR or Field staff or service centre or agent.</li> <li>2. Contacted person in the MTN distribution network contact the appropriate team at office to carry out a swap</li> <li>3. For blocked SIM, unblocking is instantly handled.</li> <li>4. For lost SIM, the beneficiary gets a police letter confirming loss and the beneficiary purchases a new SIM from the agent re-assigning the new card the same number.</li> <li>5. For damaged SIM, The agent or nearest Service center swaps the SIM in the system and issues a new SIM card.</li> </ol>	SIM card blocking- Same day the agent call toll-free number New SIM card replaced in less than 48 hours by the local MM Agent

## MTN Complaints procedures

### Complaint submission

- SAGE beneficiaries will be able to submit any complaints relating to payments to MTN using the toll free numbers 122 and 123. Alternatively, complaints can be submitted to agents, TDRs or MTN sales team members.

- All customer complaints will be logged into MTN’s electronic “Incident Management System”. The application tracks every query logged and generates reports on status of each.
- The customer advisor on the system assigns the incident to the rightful person that can attend to it.
- MTN will, in addition to the above mentioned option, create a separate “SAGE Complaints Register” that shall be shared with MSP on monthly basis.

### **Complaint resolution**

- All incidents that do not require field visits must be cleared within 24 working hours.
- Incidents that required field visits must be sorted in not more than 4 days.
- Online cases i.e. when the customer is asked to hold on the line, are sorted instantly.
- For those where the advisor needs some time the customer is advised to expect a call from MTN within the next 24 hrs.
- The MTN Sales Team will be responsible for visiting every sub-county on a monthly basis to address any complaints that cannot be resolved remotely.

### **Special procedures for complaints relating to fraud**

Fraudulent cases are forwarded to the MobileMoney Manager –Fraud who handles that case according to its nature and recommends the penalty to be applied. See summary of the applicable “Agent penalties” attached.

### **Roles and responsibilities in payment delivery**

SAGE Operations Manager	<ul style="list-style-type: none"> <li>• Approval of SAGE monthly payroll.</li> <li>• Reviewing PSP reports relating to payment delivery, account management and complaints resolution.</li> </ul>
SAGE Finance & Procurement Manager	<ul style="list-style-type: none"> <li>• Deposits monthly transfer funds into MTN bank account.</li> <li>• Credits beneficiary <i>MobileMoney</i> accounts using the MTN web-based portal.</li> </ul>
MTN HQ	<ul style="list-style-type: none"> <li>• Sending monthly pay-day reminder SMS’s to SAGE beneficiaries 7 days before pay day.</li> <li>• Submit monthly reports to SP Secretariat.</li> <li>• Manage procurement</li> </ul>
Regional and Corporate Account Managers (RAMs)	<ul style="list-style-type: none"> <li>• Coordinate all field operations (enrolment etc)</li> <li>• Manage Sales Teams</li> <li>• Recruit, train and deploy Direct Sales Teams (DSTs)</li> <li>• Liaise with District SAGE Units and attend monthly programme coordination meetings</li> <li>• Manage enrolment process including division of</li> </ul>

	<p>beneficiaries into enrolment clusters.</p> <ul style="list-style-type: none"> <li>• Reconcile any manual payments with the MTN database and submit reports on these manual payments to MTN HQ.</li> <li>• Calling and/or sending SMS to all agents in project areas to put up notices on their premises on pay days.</li> </ul>
MTN Sales Team members	<ul style="list-style-type: none"> <li>• Recruit and manage MTN Agents in SAGE sub-counties.</li> <li>• Recruit and train trainers of beneficiaries at sub-county level.</li> <li>• Support distribution of SIM cards to beneficiaries.</li> <li>• Oversee all manual payments.</li> <li>• Meet with each TDR on a monthly basis to receive account management requests and complaints.</li> <li>• Meet with Agents on a monthly basis to check transaction cash payment books and receive account management requests and complaint submissions <i>or</i></li> <li>• Receive monthly change management requests from SAGE staff</li> </ul>
Super agents	<ul style="list-style-type: none"> <li>• Dealer in cash and e-float to ensure cash availability at agents.</li> </ul>
MobileMoney Agents	<ul style="list-style-type: none"> <li>• Make monthly payments.</li> <li>• Record all payments in transaction cash payment books.</li> <li>• Receive and log complaints and account management requests.</li> <li>• Recruit and train Direct Sales Teams (DSTs)</li> </ul>
MTN Trade Development Representatives (TDRs)	<ul style="list-style-type: none"> <li>• Train beneficiaries in using the <i>MobileMoney</i> service in vernacular languages where necessary.</li> <li>• Receiving complaints and account management requests from SAGE beneficiaries and forwarding to MTN Sales Team members on a monthly basis.</li> </ul>
MTN Direct Sales Teams (DSTs)	<ul style="list-style-type: none"> <li>• Communicate payment availability to SAGE beneficiaries</li> <li>• Train beneficiaries in using the <i>MobileMoney</i> service</li> <li>• Receiving complaints and account management requests from SAGE beneficiaries and forwarding to <i>MobileMoney</i> agents on a monthly basis.</li> </ul>
Beneficiaries & Secondary Recipients	<ul style="list-style-type: none"> <li>• Present themselves and their nominated recipient at the enrolment point.</li> <li>• Generate and safeguard their PIN</li> <li>• Travel to the paypoint on the allocated day of the month.</li> <li>• Present their Payment tokens and Identification document for the agent to confirm and pay</li> <li>• Acknowledge receipt of payment by signing or inserting a thumb print in the transaction book</li> </ul>

## Management Arrangements

PSP(s) will be managed through a regular reporting system supplemented by spot checks and feedback through the grievance mechanism. Table 5 provides an indication of the type of information that PSP(s) will be required to provide and will be updated following completion of the PSP(s) competitive selection process.

**Table 5: Information requirements for Payment Service Provider**

Phase	Description	Data type	Frequency
Setup	Infrastructure (Paypoints) e.g agent + POS	Quantitative: # payment points established Qualitative: recruitment of agents, training, branding of paypoints, communication messages	Monthly
Setup	Payment token e.g card + PIN	# recipients tokens requested # tokens personalised # distributed # uncollected # re-carding	Monthly
Ongoing	Payment service	# payments completed # failed transactions # agents making payments # and list of locations where payments being made # of savings made and break down of behaviour actual and average Use of other financial services	Each payment cycle
Ongoing	Case Management	# cards to be replaced # categories of complaints	Each payment cycle
Ongoing	Invoicing	Specific layout and process	Each payment cycle
Ongoing	Qualitative Reporting	Field work being carried out, progress against implementation timetable and security incidents or risks	

## 8.4 Security arrangements

### Key fiduciary risks

The key fiduciary risks facing the SAGE payments mechanism are as follows:

1. Agents may tell a recipient that the transaction has failed yet it has been successful and money has been transferred from the recipient account to the Agent account.
2. Agents telling beneficiaries that they do not have cash available and offering payment in-kind (goods or services) instead.
3. Beneficiary divulging PIN to agents or other third parties.

### Risk management arrangements

- Beneficiaries will be trained to keep their PIN number secret – particularly from agents.

- The *MobileMoney* system is fully auditable and traceable.
- MTN's system allows tracing of mobile numbers used to withdraw funds from *MobileMoney* accounts and also give the details of Agent location where money has been withdrawn. Any un-authorized withdrawals shall be penalised according to the appropriate penalty provision.
- District SAGE Unit staff will conduct their own independent monitoring of Agents on a monthly basis.
- Complaints about payment delivery can be submitted directly to Parish and Sub-County level staff in the event that the payment service provider proves unresponsive.
- Movements on the bank accounts of beneficiaries will be monitored to identify any anomalies such as non-collection of funds over a long period or exclusive withdrawal of money by a proxy recipient who is not a household member.

---

## 9. GRIEVANCES

---

This chapter describes how grievances are reported and followed up at different levels.

### **In Summary**

- The SAGE programme is governed by a programme *Service Charter* which sets out the rights of participants.
- The SAGE grievance mechanism includes provision for complaints about service delivery as well as appeals against targeting decisions.
- The payment service provider is responsible for receiving and responding to complaints about payment-related issues. However, if these complaints are not resolved in a timely manner then complaints can be submitted to the Parish Chief – potentially via the village chairperson – or directly to the sub-county CDO.
- Complaints on non-payment related issues can be submitted to the Parish Chief, directly at quarterly community meetings, via the village chairperson on an on-going basis or at the Parish Office. Complaints can also be submitted directly to the sub-county CDO.
- Upon submission of a formal complaint, complainants will be issued with a receipt and informed of the likely time-scale for redress.
- Sub-County CDOs are responsible for passing on details of all resolved complaints and complaints which require guidance from the district or national level to the District SAGE Unit on a monthly basis. The district SAGE Unit is responsible for taking up any complaints with the Payment Service Provider or other stakeholders as necessary.
- Potential beneficiaries of both the VFSG and SCG will be able to appeal against their exclusion if they believe they have been incorrectly excluded. Appeals will be adjudicated by the Village Council in the case of the SCG and by the Parish Chief in the case of the VFSG.
- Anonymous complaints will not be accepted so as to reduce the scope for malicious complaints.
- The status of all complaints and appeals is monitored at sub-county and district programme coordination meetings and tracked through the SAGE MIS by the SAGE Operations Manager.

### **Role of the Sub-County Chief**

- Oversee grievance management procedures and support dispute resolution as necessary.

### **Role of the Sub-County CDO**

- Review the Sub-County Grievance Tracking Sheet on a monthly basis.
- Check and counter-sign *Appeals Adjudication and Enrolment Request Forms* prior to submission to District SAGE Unit.

### **Role of the Parish Chief and Parish Facilitators**

- Undertake at least quarterly visits to every community to receive complaints.
- Oversight of SCG appeals adjudication by village councils.
- Passing on completed *Complaints Forms* and *Appeals Adjudication and Enrolment Request Forms* to Sub-County CDOs at monthly SAGE coordination meetings.
- Communicating grievance resolution back to communities.

**Forms to be used:**

- SAGE Complaints Form (Annex X)
- Payment Service Provider Service Level Agreement (Annex X)
- SCG Appeals Adjudication And Enrolment Request Form (Annex X)
- Calendar of national historical events (Annex X)
- VFSG Appeals Adjudication And Enrolment Request Form (Annex X)
- Sub-Country Grievance Tracking Sheet (Annex X)
- District grievance tracking sheet (a report from the MIS)

## 9.1 Rights of Beneficiaries

Social protection is not just about poverty reduction – it is also about empowerment, justice and citizenship. However, the most vulnerable households rarely have a strong understanding of their rights and often lack the ability to voice their concerns effectively. Under these conditions, downward accountability of service providers to service users is weak and scope for manipulation and abuse increases. This in turn not only threatens to undermine the objectives of the programme but also serves to delegitimize the programme and threaten its political sustainability.

In order to minimise the risks set out above, SAGE will seek to adopt a rights-based approach. Programme service delivery is guided by a set of principles laid out in a *Programme Service Charter*. The programme will seek formal ratification of this charter by relevant bodies such as the Equal Opportunities Commission, Uganda Human Rights Commission and IGG. The Charter will form the basis of a rights education programme to be delivered as part of programme roll-out by Parish Chiefs, Parish Development Committee members, CDOs/ACDOs and any relevant local NGOs. The SAGE Service Charter emphasises the following rights of members of the public in participating communities:

1. The right to accessible information about the programme and to make informed decisions.
2. The right to be treated with respect and to be free from discrimination based on sex, age, ethnicity, religion or ability.
3. The right to access an independent appeal process (in the event of exclusion during targeting/registration)
4. The right to access programme registration and payments facilities irrespective of sex, age, educational attainment or disability.

5. The right to full and timely payment of grant payments.
6. The right to complain and receive timely redress in the event that the programme fails to uphold the above.

## **9.2 Grievance typologies**

The term grievance covers both ‘complaints’ about programme service delivery as well as official ‘appeals’ against programme decisions relating to household or individual eligibility for enrolment in either the SCG or VFSG. The SAGE programme grievance mechanism can be expected to encounter a range of different complaints although some are likely to be encountered far more frequently than others. The table below provides an indicative list of grievances grouped according to anticipated frequency of submission.

**Table 8: Common Complaints within Social Transfer Programmes**

High Frequency	Medium Frequency	Low Frequency
<ul style="list-style-type: none"> <li>• Enrolment exercises inaccessible leading to exclusion.</li> <li>• Appeals against eligibility decision based on: poor targeting, definition/ composition of household; age determination etc.</li> <li>• Appeals against graduation decisions.</li> <li>• Inadequate provision for timely case management.</li> <li>• Accessibility restrictions faced by older people and people with disabilities.</li> </ul>	<ul style="list-style-type: none"> <li>• Households missed in preliminary UNICEF-led registration exercise.</li> <li>• Boundary disputes associated with geographical targeting.</li> <li>• Failed payment (either due to lack of funds at paypoint or systems failure).</li> <li>• Incomplete payment.</li> <li>• Breach of due process within targeting/ registration procedures.</li> <li>• Payment services inaccessible.</li> <li>• Disputes between beneficiaries and their nominated representatives.</li> <li>• Inadequate consultation and information dissemination.</li> </ul>	<ul style="list-style-type: none"> <li>• Local price inflation caused by programme.</li> <li>• Compulsory purchase at payment agents (payment in kind).</li> <li>• Politically motivated discrimination against individuals and sub-sections of communities.</li> <li>• Inclusion errors and abuse of office by local officials.</li> </ul>

### 9.3 Complaints to the payment service provider

As set-out in Chapter 5, the payment service provider will commit to a range of service standards for resolving a range of service delivery and access issues such as replacing lost payment tokens, renewing PIN number and actioning changes of secondary recipients. Where these service commitments are not met, beneficiaries can submit complaints directly to the Payment Service Provider by telephone and/or via their local Payment Agent. These complaints will be logged, and a complaints receipt issued to the beneficiary. Complaints should be resolved and the means of resolution should be communicated in writing to the beneficiary – potentially via the Parish Chief - by the Payment Service Provider within X weeks of complaint submission.

### 9.4 Complaints to Parish Chiefs and Sub-County CDOs

Where the Payment Service Provider fails to provide adequate or timely resolution of complaints received, or where problems are repetitive in nature, or where complaints emerge on matters un-related to payments, members of the public can submit formal complaints to the Parish Chief and/or sub-county CDO using the *SAGE Complaints Form* (Annex X). Opportunities for submission of complaints will be provided by the Parish Chief at community level on a quarterly basis and at the Parish Office on an on-going basis. In

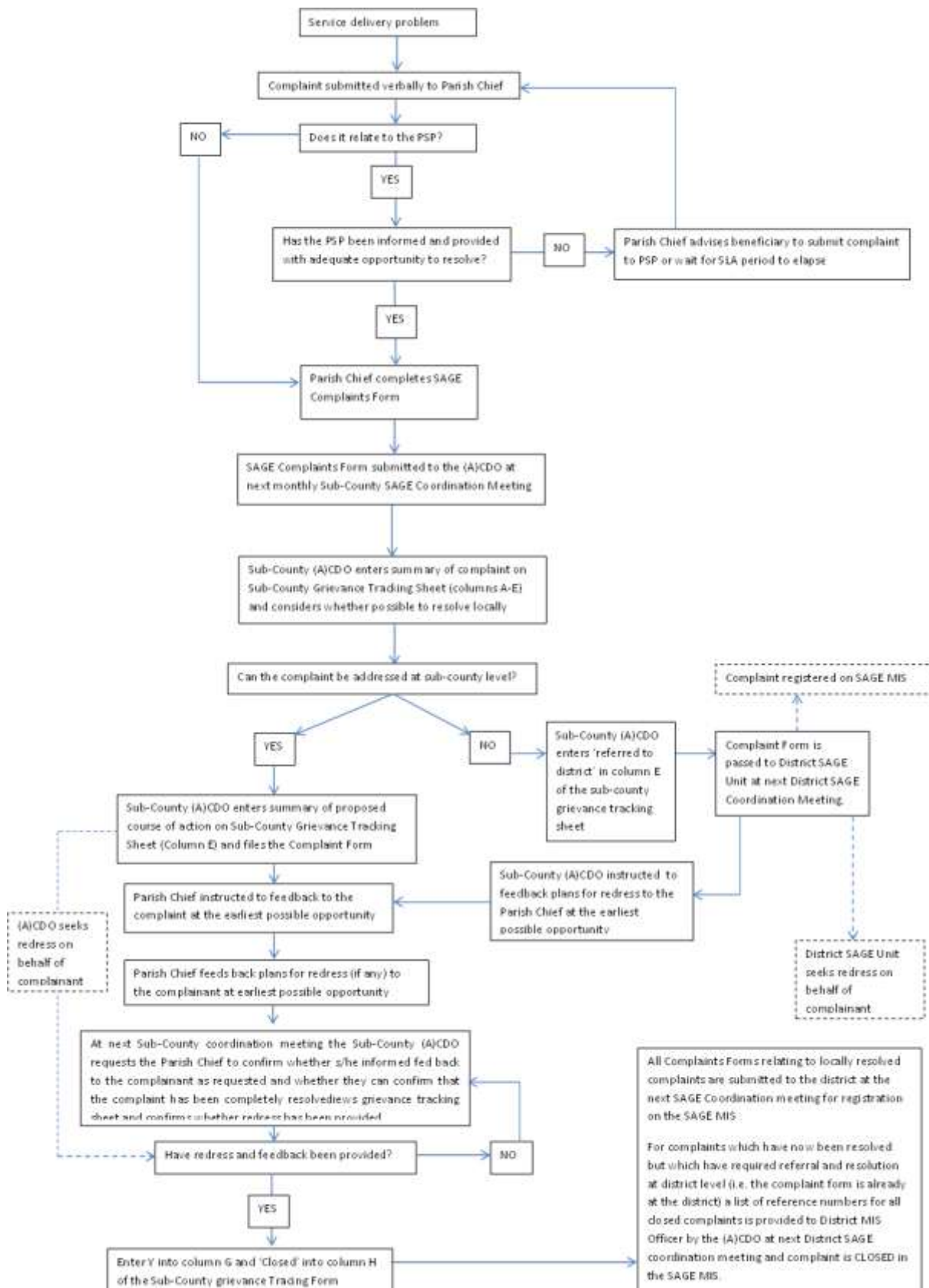
addition, Sub-County CDOs will incorporate SAGE complaints into their regular complaints and dispute resolution sessions. Parish Chiefs will record all complaints received and report them to the CDO at monthly sub-county coordination meetings.

Receipt, investigation and resolution of complaints will be tracked in a systematic manner at monthly sub-county level programme coordination meetings and reported to the Senior CDO responsible for SAGE for review at district programme management and review meetings. Feedback on all formal complaints will be provided by the Parish Chief – potentially via the village chairperson – based on reports prepared by the CDO/ACDO – at quarterly meetings with each targeted community. Where local-level dispute resolution is impossible (perhaps due to the need for programme policy guidance), issues can be referred to the SAGE Operations Manager

Where the payment service provider is not aware of the problem or has not been given adequate time to resolve it, the complainant will be advised to submit a formal complaint using the PSP's procedures and report back to the Parish Chief/CDO. If the complaint is not resolved within the period of time specified in the PSP's service level agreement a formal complaint can then be registered by the Parish Chief for onward communication to the Sub-County CDO and Senior CDO responsible for SAGE who will be responsible for taking up the issue on the complainant's behalf with the PSP's local representatives. If a district programme coordination meeting is scheduled for reasonably close to complaint submission, the complaint can then be raised with the PSP at this meeting. Otherwise an ad hoc meeting can be arranged. In either case, the nature of the complaint and any agreements reached should be documented in the meeting minutes by the Senior CDO responsible for SAGE.

Where evidence of corruption and mal-practice emerge, the DCDO should be informed and the issue referred to relevant disciplinary procedures and/or law enforcement agencies via the CAO.

## 9.5 Step-by-step guide to Complaints Management



## COMPLETING THE COMPLAINTS FORM FOR COMPLAINTS WHICH ARE RESOLVED AT SUB-COUNTY LEVEL

### Parish Chief

Parish Chief receives verbal complaint. If the complaint relates to Payments and has not yet been submitted to the PSP the complainant should be advised to do so. If the complaint has been submitted to the PSP but has taken too long to resolve, the Parish Chief should advise the complainant to submit a formal complaint.

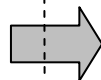
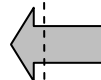
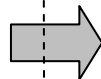


Parish Chief provides complainant with a copy of the complaints form. Complainant (with guidance from the Parish Chief) completes **section 1 & 2 only** of the **SAGE Complaints Form**. Parish Chief removes bottom section of the form and gives to the complainant.



Parish Chief submits complaints form to (A)CDO at next sub-county coordination meeting

Parish Chief feeds back plans to address the complaint to the complainant at the earliest opportunity and monitors whether the complaint has been resolved or not.



### Sub-County

(A)CDO enters summary of complaint onto **Sub-County Grievance Tracking Sheet** (columns A-E) and determines whether the complaint can be resolved locally or requires referral to the district. In cases where it can be resolved locally the (A)CDO informs Parish Chief of plans to resolve the problem and the proceeds to resolve the complaint (for example by engaging with the PSP local representative)

At next sub-county SAGE coordination meeting the (A)CDO updates the meeting on actions that have been taken to resolve the problem and requests the Parish Chief to confirm whether the complaint has been resolved or not.



The complaint status remains open until it has been resolved and feedback provided to the complainant and is repeatedly reviewed at the sub-County Coordination meeting until it is either resolved. If the complaint has been resolved and the Parish chief confirms that the complainant has been fully informed of the resolution, the (A)CDO completes **section 3** of the Complaints Form.



The (A)CDO enters 'Yes' into column G and 'CLOSED' into column H of the Sub-County Grievance Tracking Form.



The (A)CDO submits the complaints form to the District SAGE Unit at the next District SAGE Coordination Meeting for registration in the MIS.

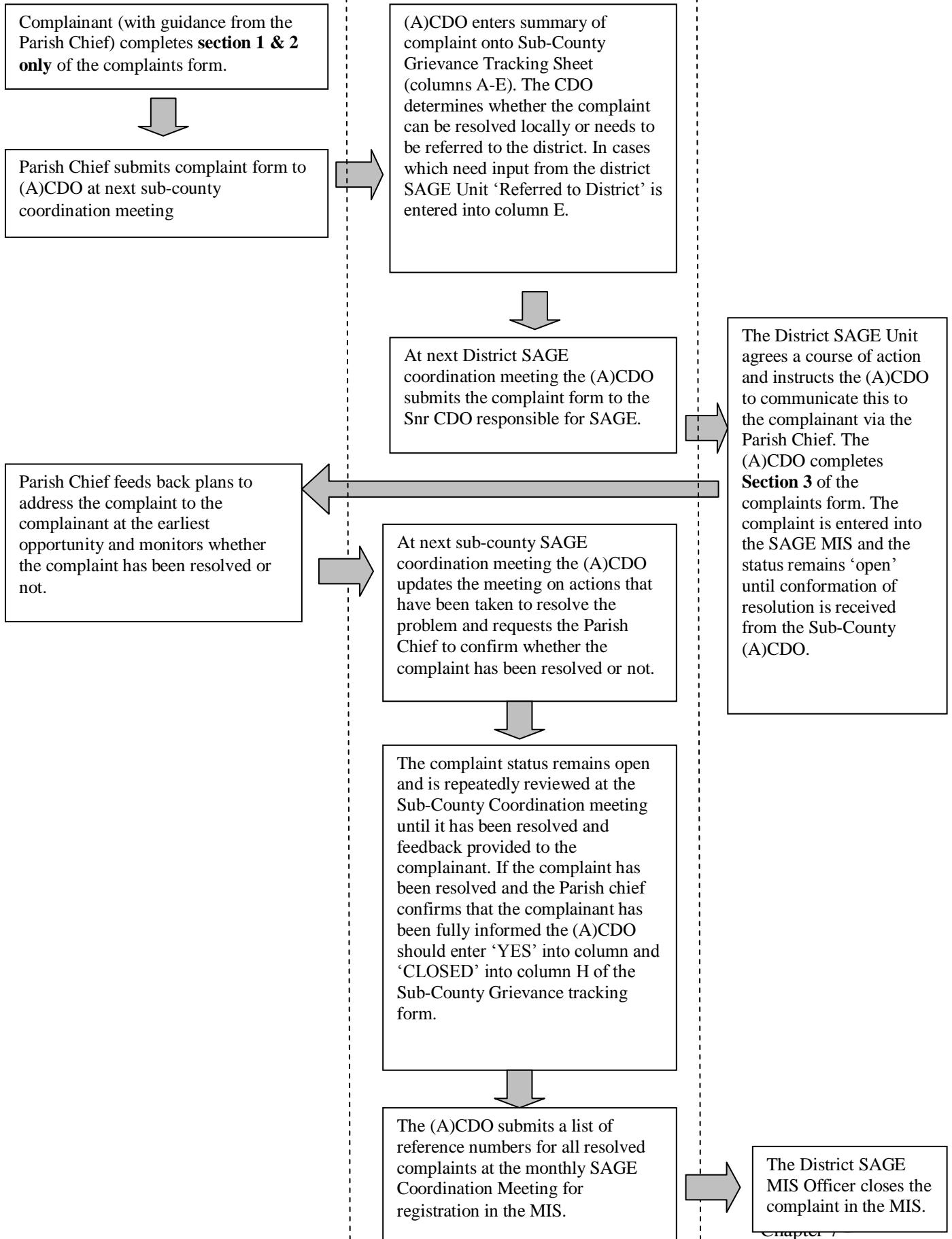
# COMPLETING THE COMPLAINTS FORM FOR COMPLAINTS WHICH ARE RESOLVED

## AT DISTRICT LEVEL

### Parish Chief

### Sub-County

### District SAGE Unit



## **Dealing with submission of duplicate complaints**

One challenge likely to be experienced is the simultaneous submission of complaints through more than one channel (Parish Chief, Sub-County CDO and Payment service Provider) or submission of complaints to Parish Chiefs/CDOs prior to submission to the Payment Service Provider. To avoid simultaneous submissions, Sub-County CDOs and Parish Chiefs will record the birth certificate number of the complainant (or other unique identifier such as voter's card number) at the time of complaint submission for cross-reference. Parish Chiefs and Sub-County CDOs should also always check that a complaint has been first registered with the Payment Service Provider and that the specified time for resolving the complaint has elapsed prior to registering an official complaint.

## **9.6 Appeals in the Senior Citizen's Grant (automated registration model)**

Under the Senior Citizen's Grant (automated registration model), the SAGE programme makes provision for considering appeals from people who were either not registered at all during the preliminary birth registration exercise or who claim that their age was recorded erroneously during the registration exercise. Appeals can be received in the first instance during the Village Council Meeting at which the beneficiary list is first announced (DT7). The Village Council is responsible for adjudicating on the appeal and the Parish Chief is responsible for overseeing this exercise and ensuring that it is conducted appropriately. The Village Chairperson should take minutes of the meeting and record the rationale for all appeals adjudicated in the appellant's favour. Examples of acceptable rationales include

- Reference to an existing form of identification or documentation which confirms age as 65 or above such as a baptism certificate or voter's card
- Reference to year of birth and local historical event.

An *Appeals Adjudication And Enrolment Request Form* (Annex X) should then be completed by the Village Chairperson and forwarded to the Sub-County CDO via the Parish Chief and at the next sub-county programme coordination meeting. The appellant's details are then added to the SAGE beneficiary list either by the sub-county CDO or District SAGE MIS Officer. The appellant then enrolls with the payments service provider as normal.

## **9.7 Appeals in the Senior Citizen's Grant (community-registration model)**

Under the SCG (community registration model) component of SAGE, individuals can appeal if they claim to have been unfairly discriminated against by the Village Council when verifying the eligibility of applicants without ID. Such case could relate to the age, nationality or residency status of the appellant.

Appeals should be submitted to the Parish Chief who is responsible for investigating and making an adjudication recommendation to the Sub-County CDO. In the event that the Parish Chief's investigations suggest that the appellant is eligible, the Parish Chief should complete an *Appeals Adjudication And Enrolment Request Form* (Annex X) and forward it to the Sub-County CDO at the next sub-county programme coordination meeting. The appellant's details are then added to the SAGE MIS by the District SAGE MIS Officer. The appellant then enrolls with the payments service provider as normal.

## **9.8 Appeals in the Vulnerable Families Support Grant**

Under the VFSG component, the SAGE programme makes provision for considering appeals from people who were either missed during the preliminary birth registration exercise or who have experienced the death of the breadwinner, severe permanent disablement or been orphaned in the time since birth/household registration was completed. Appeals can be received in the first instance during the Village Council Meeting at which the beneficiary list is first announced (DT7). The Village Council is responsible for verifying the whether the information provided by the appellant is correct. The Village Chairperson should take minutes of the meeting. The Parish Chief should then re-calculate the vulnerability score of households referred to him/her by the Village Chairperson using the *VFSG Appeal Adjudication Matrix* (Annex X). If the vulnerability score is higher than the threshold for the sub-county then the *Appeals Adjudication And Enrolment Request Form* (Annex X) should then be completed by the Village Chairperson and forwarded to the Sub-County CDO via the Parish Chief and at the next sub-county programme coordination meeting.

However, where large numbers of households have been excluded from the preliminary birth/household registration exercise (e.g. an entire Village) the SAGE programme will organise for a separate birth registration exercise to be undertaken for that Village at the earliest available opportunity. Any households which score above the eligibility threshold for the sub-county will then be enrolled in the programme.

## 9.9 The role of community members and civil society in grievance management

Community-level advocates (e.g. Parish Development Committees, Human Rights Ambassadors, Functional Adult Literacy Instructors, Integrated Women’s Development Programme volunteers, religious leaders, CSO staff, DLSP ‘mentors’ and beneficiaries themselves) will be empowered by the programme to refer complaints and appeals onto Parish Chiefs and Sub-County CDOs and for monitoring timely resolution.

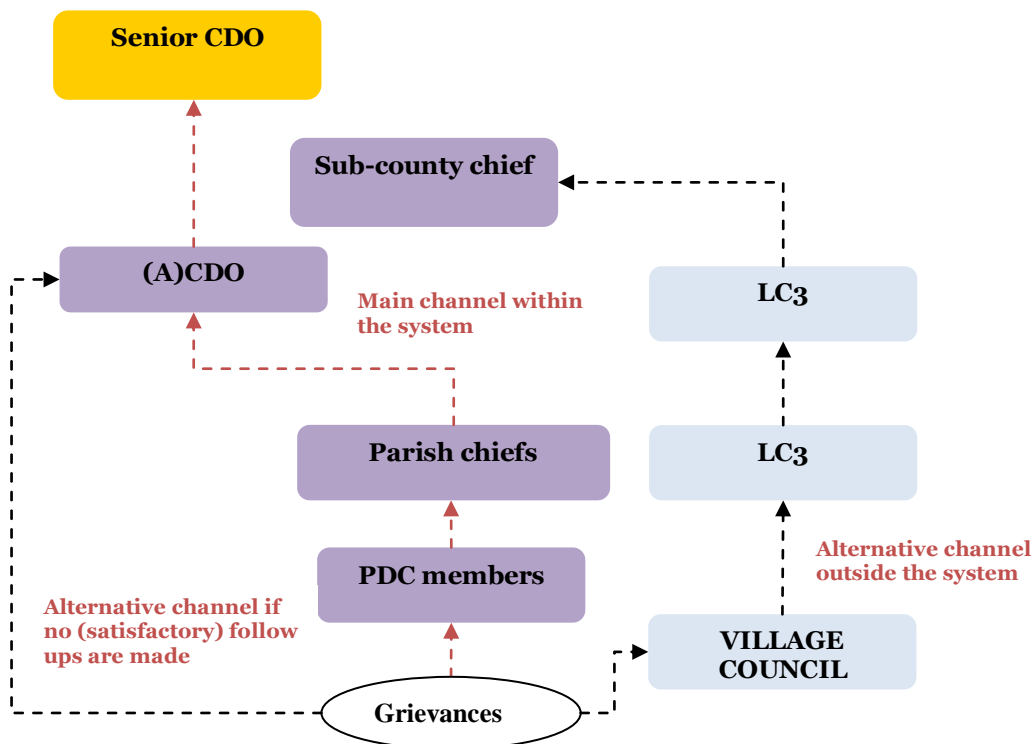
### Management Arrangements

Table 9 presents the roles and responsibilities of the various participants in the grievance mechanism.

## 9.10 Grievance submission through political representatives

If beneficiaries or other community members are reluctant to submit grievances through the official structures, or if official structures provide unresponsive, grievances can also be submitted to the local council 1 executive. The Village Council Executive is responsible for taking these complaints up with the Parish Chief or – where necessary - referring complaints upwards through the political structures.

**Figure X: The SAGE grievance mechanism at sub-county level**



## **9.11 Integration / Compatibility with Other Accountability Mechanisms**

The SAGE programme grievance mechanism will build on a number of existing complaints, dispute resolution and public service delivery accountability mechanisms:

- At community-level this will include incorporation of the village chairpersons (often the first point of contact for people with disputes and complaints about government service delivery) and the sub-county level CDO dispute resolution function.<sup>18</sup>
- The National Social Protection Sub-Committee and District-level Social Services Sub-Committee provide a formal means of engagement with constitutional provisions such as the Equal Opportunities Commission, Uganda Human Rights Commission, the office of the IGG, civil society organisations and law enforcement agencies.

## **9.12 Wider accountability mechanisms**

In order to foster accountability and public trust in SAGE, transparency and accountability will be pursued through:

- a) Quarterly progress reports to the ESP Steering Committee
- a) Regular progress reports to District Councils by the DCDOs.
- b) Regular progress reports to the District Technical Planning Committee and Social Services Sub-Committee
- c) Publishing of programme performance data on the ESP website.
- d) Quarterly feedback to and engagement with communities through the Parish Chief.
- e) Regular feedback to and engagement with local and national civil society organisations.

## **9.13 Checks and Balances**

Key fiduciary risks to the SAGE programme include (but are not limited to):

- High inclusion and exclusion errors caused either by: incompetence or mal-practice amongst programme officials; inaccessibility of registration exercises; manipulation by local elites; discrimination; poor transparency/inadequate dissemination of information.
- Incomplete and/or irregular payments to beneficiaries caused by corruption, abuse of office or systems problems.

---

<sup>18</sup> The programme will explore integration with the proposed 'baraza' local accountability mechanism which is in the process of being revitalised to promote greater accountability of local government authorities and service providers.

- High private costs incurred by programme beneficiaries by poor quality programme implementation and service delivery.
- Weak accountability of local government and other service providers to service users. This is exacerbated by high illiteracy rates and poor understanding amongst citizens of their rights.
- Inadequate oversight of programme operations at local level due to weak integration with existing service delivery and management structures.

To mitigate these risks, the SAGE programme will adopt an overtly rights- and service-oriented approach across all operational areas. This will be guided by the *SAGE Service Charter* which will be used to foster downwards accountability. Simple programme management and decision-making systems at sub-county and district level will create specific space for addressing complaints and other public feedback.

In addition, the SAGE programme makes provision for an independent complaints and appeals process managed by the sub-county CDO, and by the SAGE programme co-ordinator at District level. Accessibility of the grievance mechanism to the most vulnerable is promoted by building the capacity of existing community-level advocacy structures. The accountability of these structures to the community will be emphasised throughout. Finally, the participation of civil society, law enforcement agencies and other constitutional accountability provisions will be encouraged through their membership of national and district-level committee structures.

---

## 10. FINANCIAL MANAGEMENT

---

This chapter gives an overview of the costs of the scheme. It outlines the budgeting process at different levels and gives guidance on how and when financial reports and receipts have to be produced. Further details are provided in the Financial Procedures Annex of the Memorandum of Understanding between MGLSD and local government authorities.

### **In Summary**

- Budgets for national-level operations will be developed and managed by the SP Secretariat.
- Annual budgets for district-level operations will be prepared by the SP Secretariat and communicated to MGLSD Finance Department and Local Government Authorities.
- The District CAOs will make applications to PS MGLSD for the release of funds on a quarterly basis in accordance with a workplan and budget which will be copied to the Head of the Social Protection Secretariat
- MGLSD will disburse funds for district-level operations to Local Government Authorities on a quarterly basis.
- District Councils will be asked to approve the inclusion of funds for district-level SAGE operational funds in District budgets.
- District operational funds will be transferred into a Project Specific Account. Signatories on the account will include the CAO, CFO and DCDO.
- CAOs will account for all expenditure to the P.S MGLSD on a quarterly basis.

### **Forms to be used:**

- Quarterly disbursement request form (Annex X)

### **10.1 Overview of the Costs of the SAGE Scheme**

The costs associated with the SAGE pilot include the following budget headings<sup>19</sup>:

- Start up investment costs – these include MIS application development, equipment for the Secretariat and SAGE District Units and tendering costs.
- Birth registration - to be carried out by URSB and UBOS before the targeting process begins in any district and on an on-going basis by Sub-County Chiefs and PDCs and VHTs (with support of District MIS officer where necessary).

---

<sup>19</sup> A detailed budget is provided in Annex K of the Programme Memorandum.

- Training costs – training of national and local-level government staff, community and beneficiary orientations.
- Administrative costs – these include transportation, field allowances for SAGE and local government staff and office running costs.
- Targeting and change management - this includes transportation, incentives and allowances for district and sub-county counterparts.
- Grievance activities - this includes transportation, incentives and allowances for district and sub-county counterparts.
- MIS maintenance – this includes internet access charges, printer/photocopier replacement parts, GPRS data transfer costs.
- Process Monitoring activities – this includes transportation and allowances for district and sub-county counterparts.
- Payment Service Provider fees.
- Pre-financing costs incurred by the management consultant for pre-financing the Payment Service Provider in disbursing cash transfers.
- Cash transfers budget adjusted for population growth and inflation.
- SAGE Transition Support Grant payments for those exiting the programme.
- Baseline data collection and impact evaluation
- Audit and Review for expenses of programme annual Audit and reviews.

The cost effectiveness of the programme is primarily driven by the number of cash transfers distributed. This ratio is expected to improve greatly if additional funding is made available for cash transfers by other development partners and GoU, and if programme management can be mainstreamed within local government systems and structures.

## **10.2 Budget control**

The SAGE scheme is implemented by the MGLSD with the support of local government authorities. In addition, DFID has contracted Maxwell Stamp PLC to provide technical and management support to the MGLSD and local governments. Budgets for the most national operations are managed by Maxwell Stamp Plc while district operational budgets are managed by MGLSD and disbursed to local governments. District Councils will be asked to approve the inclusion of funds for district-level SAGE operational funds in District budgets and MGLSD will disburse funds for district-level operations on a quarterly basis.

Cash transfers to beneficiaries will be effected through one or more payment services providers contracted by Maxwell Stamp PLC. MSP will transfer funds for cash transfers directly to the payment service providers.

Procurement of equipment, vehicles and furniture to be used at the Social Protection Secretariat, at Districts and at Sub Counties has been contracted out by DfID to a procurement agent, Crown Agents.

Annual SAGE workplans and budgets will be prepared by the SAGE Operations Manager in consultation with the Finance and Administration Manager.

### **10.3 District-level budget management**

Annual budgets for district-level operations will be prepared by the SP Secretariat and communicated to P.S. MGLSD.

#### **10.3.1 Designated District SAGE Project Bank Accounts**

Dedicated bank accounts for SAGE activities are opened by the Districts with authorisation from the accountant general. The accounts are operated at District level.

#### **10.3.2 Authorised signatories to the account**

- The Chief Administrative Officer (CAO) is the Principal signatory
- The Chief Finance Officer (CFO) and the District Community Development Officer (DCDO) are the Co-signatories to SAGE Account.
- The CAO as the principal will sign cheques along with the CFO as the first Co-signatory.
- In the absence of the CFO, the DCDO as the second co-signatory will sign in place of CFO

#### **10.3.3 Budgeting**

A detailed budget for each district has been drawn up for anticipated expenditures at district, sub-county and parish levels. The unit cost of each activity has been estimated in detail. Budget allocations depend largely upon the speed at which SAGE programme is expected to be rolled out in a district, the numbers of sub counties and parishes etc.

The budget has been summarised into 10 main activities which will be monitored using the GoU Expenditure Codes which have been modified slightly as follows:

SAGE Activity	GoU Expense Code Description	GoU Expense Codes (modified)
District & Sub County Office Renovations	Maintenance – civil	228001-1
Training / Workshop Activities	Workshop & seminars	221102-1
SAGE District Monitoring / Implementation Expenses	Allowances	211103-1
GoU District Monitoring / Implementation Expenses	Allowances	211103-2
Sub County Monitoring / Implementation Expenses	Allowances	211103-3
Parish Monitoring / Implementation	Allowances	211103-4

Expenses		
LC1's Monitoring / Implementation Expenses	Allowances	211103-5
District Level SAGE Operating & Admin Expenses	General Supply of Goods & services	224002-1
District Level LGA Operating & Admin Expenses	General Supply of Goods & services	224002-2
Sub County Level Operating & Admin Expenses	General Supply of Goods & services	224002-3

The budget expenditures are based upon annual budgets and work plans which were prepared at the Secretariat, examples of which are set out in the annexes.

We could allow a 10% variance on individual budget lines provided the overall budget was within the ceiling. It might be best to see how it works out in different districts to find out whether the budget is really enough, my feeling is that it will cover most expenses.

## **10.4 Disbursement and Flow of SAGE Funds**

### **10.4.1 Ministry of Gender, Labour & Social Development (MGLSD) level**

The MGLSD makes a quarterly submission to DfID Uganda supported by detailed budgets and workplans to request funds from DfID for the following quarter

On approval of the request funds are transferred from DfID UK to a dedicated ESP Bank Account operated by the MGLSD at the Bank of Uganda

On approval of quarterly requests from districts, funds are transferred by the Principal Accountant MGLSD from the ESP Bank of Uganda Account to District General Fund Bank Accounts

These funds should be immediately transferred by the District CAO to the dedicated District SAGE bank Account maintained by the District for the SAGE Programme

### **10.4.2 MGLSD and District SAGE Accounts**

1. The District CAO will address a letter to Permanent Secretary MGLSD (c/o the Head of the Social Protection Secretariat) requesting the transfer of funds for the District SAGE programme to the District General Fund Account (for immediate onward transmission to the District SAGE Bank Account) for the following quarter at least one month in advance. The letter will state:

- the amount of funds requested
- what the funds will be used for (can refer to attached workplan)

- a named budget period (e.g. October-December 2011)
2. The letter should also refer to three attachments which should accompany the letter:
    - a workplan for the quarter for which funds are being requested
    - a funds request form
    - an accountability report for funds spent in the previous quarter, (approved by District internal Auditor)
  3. The funds request form should show a summary quarterly budget by activity and is:
    - Prepared by the DCDO
    - Reviewed by the CFO and
    - Approved by the CAO
  4. The letter should include the following District General Fund Account Bank details:
    - Bank Account name
    - Bank Account Number
    - Bank Name
    - Branch address
  5. The Letter and attachments should be sent directly to the Head of the Social Protection Secretariat who will review the district funding requests and prepare a submission to the PS MGLSD advising on the transfers.
  6. PS MGLSD will authorise the Principal Accountant MGLSD to make transfers from the MGLSD ESP Account to the District General Fund Account. On making the transfer, the PA MGLSD will write to the District CAO (and copy to the H/SPS) with the following information
    - The date that the transfer has been made
    - The amount transferred
    - The relevant budget period
  7. When funds have been received in the District General Fund Account the CAO will
    - confirm in writing to the PS MGLSD that the funds have been received
    - provide an official receipt
    - confirm the date and amount of funds transferred to the District SAGE Bank Account

#### **10.4.3 Disbursement of funds for Sub County and Parish Activities**

Funds for Sub County, Parish and LC1 related budget lines are withdrawn from the District SAGE Project Account to fund activities at these levels in accordance with the District workplan and budget

#### **10.4.4 District SAGE Funds Approval and Payment Processes**

As a general rule, disbursements should be made in accordance with standard GoU/District procedures, in addition to which they should be:

- Based on the District Workplan and Budget
- Requested by the District Community Development Officer
- Reviewed by the District Chief Financial Officer
- Approved by the District Chief Administrative Officer

Funds for all activities will be managed through the District SAGE Project bank Account. The procedure for incurring expenditure will vary according to the type of expenditure and the level at which expenditure is incurred. The budget lines fall into two broad categories.

- Expenditures managed directly by District based staff
- Expenditures managed by staff based at lower levels of government

The following budget lines cover expenditures managed directly by District based staff

- District & Sub County Office Renovations
- Training / Workshop Activities (including parish level etc)
- SAGE District Monitoring / Implementation Expenses
- GoU District Monitoring / Implementation Expenses
- District Level SAGE Operating & Admin Expenses
- District Level LGA Operating & Admin Expenses

The Expenditures managed by staff at lower levels of government are:

- Sub County Monitoring / Implementation Expenses
- Parish Monitoring / Implementation Expenses
- LC1's Monitoring / Implementation Expenses
- Sub County Level Operating & Admin Expenses

Expenditure should only be incurred if it fits into one of the budget headings in the District Workplan and Budget and is necessarily incurred in the implementation of the SAGE programme. Expenditures falling outside of these categories need to be pre-approved by the Head of the Social Protection Secretariat.

#### **10.4.5 Payment process for Sub County and Parish level Activities**

Funds for activities carried out at Sub County and parish level will also be channelled through the District SAGE Project bank account managed by Districts. To fund these activities cash should be disbursed from Districts in advance against a monthly requisition based on the District SAGE workplan.

Again disbursements should be made in accordance with standard GoU/District procedures, but it is suggested that cash advances can be made on a monthly (quarterly?) basis provided they are:

- Based on the District Workplan and Budget
- Signed by the Sub County Community Development Officer and Sub County Chief
- Reviewed by the District Community Development Officer
- Reviewed by the District Chief Financial Officer
- Approved by the District Chief Administrative Officer

## **10.5 Funds requests and financial reporting process**

### **10.5.1 Funds request for District SAGE Operations**

The recommended procedures for accessing SAGE funds from the MGLSD are as follows:

Districts should send 4 funding requests to the MGLSD each year as per the table below. Please note that there is a time lag between receiving funds and submitting financial and performance reports. The funding request on December 1 should include a request for funds for the following period (January-March) while submitting financial and performance reports for the previous period (July-September)

Submission Date	Includes Funding Requests for the period	Includes Financial Report for the period	Includes Performance Report for the period
June 1	July-September	January-March	January-March
September 1	October - December	April – June	April – June
December 1	January – March	July – September	July – September
March 1	April – June	October - December	October - December

For sub counties, a request for a cash disbursement should be accompanied by a report prepared by the sub county accountant on expenditures and signed by the Sub County Chief and made from funds previously drawn down and supported by appropriate accountability documents.

### **10.5.2 Financial Reporting**

Districts are requested to appoint a dedicated accountant from their finance units to support the implementation of the SAGE programme which should be subject to standard District internal and external audit processes.

A complete set of supporting documents for all SAGE expenditures should be maintained at District level and filing systems maintained as per the standard GoU procedures

## 10.6 Activity allowances

Transportation costs, safari day and overnight allowances will be provided to national, district, sub-county, parish and Village-level local government staff involved in the targeting, registration, grievances and change management processes. These allowances will be paid in accordance with the GoU Allowance Circular upon completion of required field activities and upon presentation of a completed field trip report. Allocations for each staff member will be regularly reviewed by the SP Secretariat based on workload and performance.

In addition, SAGE will work with existing local voluntary structures where available (e.g. Parish Development Committees). However it is recognised that local structures often lack resources to participate. In recognition of this, SAGE will provide a small amount of compensation to voluntary structures involved in targeting, registration, grievances and change management processes.

The allowance schedule for staff involved in SAGE is as follows:

Staff member/partner	Max. Safari-day/month	Max. Overnight/month
<b>SP Secretariat Staff (SAGE Unit only)</b>		
Programme Manager	0	4
Operations Manager	0	8
District Liaison Officers	0	12
M&E Manager	0	12
MIS Coordinator	0	5
Fin. & Procurement Mngr	0	2
SAGE Senior Accountant	0	10
Logistics and Admin. Officer	0	5
<b>District Staff</b>		
District Monitoring Team (CAO + 2 pax)	4	
DCDO	3	2
Senior CDO responsible for SAGE	12	3
District SAGE Tech. Officer	12	3
District SAGE M&E Officer	10	2
District SAGE MIS Officer	4	0
<b>Sub-County Staff</b>		
Sub-County Chief	5	0
(A)CDO	9	0
<b>Parish Staff/Partners</b>		
Parish Chief	3	0
PDC members	1	0

Village Staff		
Village chairpersons	1	0

**The above allocations are however indicative and deviations may be necessary depending on allocations of roles and responsibilities within monthly district SAGE Unit workplans.**

Activity-related allowances will become payable upon commencement of SAGE implementation at each level. E.g. District allowances payable immediately after implementation of District Training 2. Sub-county allowances are payable immediately after completion of District Training<sup>5</sup> (see Chapter 12 for more details on the District Training plan). **Allowances should only be paid for the actual number of days spent on any activity and payment should always be evidenced by the signature of the recipient.**

## 10.4 Accounting for Cash Transfer Disbursements

The management consultant company will set-up a dedicated project account which will be set aside for cash transfers. A pre-financing facility will be available to pre-finance up to £1 million cash transfers per month. If additional funds are made available for cash transfers, an alternative arrangement will need to be sought as a management consultant is unlikely to be able to carry the risks of such a large financial operation.

The management agent will sub-contract the management of the payment process to one or more payment service providers (PSP) which may be a mobile telecoms operator providing mobile money services or an accredited banking institution. The PSP(s) will be authorised to draw down on this account following authorisation procedures.

Once the PSP(s) has established the payments infrastructure required, payments can start. (For further details of the payments process, please refer to section 4.3.). Firstly, the PSP(s) will make a request to the management consultant company for funds to cover the value of SAGE grants to be disbursed in one payment cycle. The request will be checked against the payment payroll generated by the SAGE MIS.

After the delivery of the payments has been made, and the information has been fed back into the MIS, the PSP will deliver an invoice to the SP Secretariat on the basis of the number of payments successfully completed. Verification of this will be managed through a process of checks, including monitoring complaints.

Cash transfers disbursed under one payment cycle will need to be accounted for by the PSP (whether it is a monthly or bi-monthly payment cycle) and before the next payment cycle amount is released. Payments data will be

reconciled against the actual amount of cash transfers made available to beneficiaries and the PSP service fees.

The management agent will prepare monthly invoices to DFID for reimbursement of the pre-financed cash transfers and PSP fees.

## **10.5 Checks and Balances**

Fiduciary risk is the risk that funds might be used for purposes other than those stated in the programme objectives or the use of funds without proper consideration to the principles of cost-effectiveness and efficiency.

As the management agent is responsible for pre-financing cash transfer disbursements to the PSP, the company bears the risks associated with cash transfers being improperly accounted for and runs the risk of not being reimbursed by DFID. Some of the potential fiduciary risks associated with cash transfers include ghost beneficiaries, cash amounts being extorted from beneficiaries by pilot staff or other implementation partners.<sup>20</sup> The Finance and Procurement team will therefore put in place a robust system of preventive measures and control systems to reduce fiduciary risk to the management consultant, DFID and ultimately to ensure that the right amount of benefit reaches the right beneficiaries:

- Disbursements of cash transfers need to take place in a controlled manner, where the identity of the recipient can be checked – this will be achieved by using two factor identification. This can be a combination of a SIM card and PIN number or fingerprint readings and other biometric data which can be checked at paypoints;
- Identify and reduce any conflict of interest and incentive structure in the pilot which may be conducive to increased fiduciary risk;
- Monitor service providers and staff against performance benchmarks and include these in their contracts;
- Water-tight financial reporting requirements (including the use of transaction records and document trail) will be designed to ensure that the PSP(s) provides all the necessary evidence that cash transfers have been made available to the right beneficiaries on time.

---

<sup>20</sup> The management agent will not be responsible for any fiduciary risks associated with the targeting process. Clear responsibilities for fiduciary risks will be set out during the set-up period of the programme, and many of these will be with recipients. However, all cash transfer programmes include errors so a reasonable and proportionate response to fiduciary risk will be adopted. The management agent will be responsible for ensuring that the correct amount of cash – in line with the pay-roll list – is delivered to the PSP(s) and that all reasonable checks and balances are in place.

- Spot audit checks by the Finance team to the district units, paypoints, and beneficiaries.
- All expenditures should be supported by appropriate documentation

---

# 11. INFORMATION MANAGEMENT

---

This chapter describes which information is captured in the MIS and explains the management, functionality and use of the MIS. It equally outlines which information different levels need to file in hard-copy.

## **In Summary**

- A comprehensive household data-set is collected using the MobileVRS birth registration system prior to targeting and transferred into the SAGE Management Information System (MIS).
- Household vulnerability scores are calculated automatically for the VFSG and then validated at community level.
- Identification of eligible older people (aged 65 years+) is also automated.
- Consistency checks are carried out at both district and national levels by MIS specialists.
- Programme payrolls are generated by the MIS and forwarded to Payment Agents.
- Payments data is reconciled on a monthly basis.

## **11.1 MIS Overview**

The design and development of the SAGE MIS system is aligned to current and future programme requirements and is designed to interact with the MobileVRS birth registration system and the Payment Service Provider's systems. A robust and cutting-edge technology solution involving a mobile communication system among other platforms will be deployed to ensure faster data transfer and efficiency in operational management.

Key features of the SAGE MIS make provision for:

- Scheduled synchronisation/file exchange with the URSB MobileVRS birth and death registration system.
- Decentralised (district and sub-county-level) data entry for change management.
- Automated calculation of vulnerability scores for the VFSG and identification of older people eligible for the SCG.
- Generation of beneficiary lists and waiting lists at sub-county level
- Automated data consistency checks and payments reconciliation.
- Production of programme performance indicator reports.

- Scheduled synchronisation/file exchange with the Payment Service Provider and monthly reconciliation.
- Clearly defined maintenance guidelines, policies, standards, and procedures.

## 11.2 Information to be captured

The key determinants of the information needs of a social grant programme include the *targeting methodologies*, *payment systems* and *monitoring and grievance* approaches.

Targeting is the process of identifying programme beneficiaries based on pre-defined criteria. The two SAGE targeting approaches – SCG and VFSG - will require the following demographic characteristics to be specified either during the initial birth registration exercise and on an on-going basis as part of the change management procedures:

- Name
- Household number
- Birth certificate number
- Age / Date of Birth
- Sex
- Disability status (Not Disabled/Moderately disabled/Severely Disabled)
- Orphanhood (Not Orphaned, Single and Double)
- Mobile Phone Number (Where applicable)
- Village
- Parish
- Sub-County
- District

The MIS will also make provision for tracking submission and resolution of official grievances (complaints and appeals). Likely data requirements include:

- Date of grievance submission.
- Name, sex, age and location of person submitting complaint.
- Nature of grievance.
- Case history and redress commitments made by relevant service provider.
- Recommendation for escalation to district/national level dispute resolution processes.
- Status of grievance case – open/closed.

Operational and performance monitoring data requirements are specified in the relevant section of this manual.

## 11.3 Technical Requirements

The MIS will have the following architecture:

- Nationally, the system is installed on a *Server* (high capacity and specification computer) within the MGLSD SP Secretariat.
- At the District level, the system will be accessed via the VPN using desktop computers and laptops through a web browser
- At the Sub-County level desktops will be used and printers provided.
- The MIS information is also captured in a range of predefined paper-based forms such as those used in change management, tracking grievance resolution and for monitoring uptake of health and education services.

BDR process is essential to SAGE targeting exercise. BDR registration is automated using mobile VRS system. Mobile VRS uses unstructured supplementary service data (USSD<sup>21</sup>) protocols to ensure that registration information is transferred from community level to URSB servers. At the same time, web based and offline interfaces will be used where convenient to capture the data to the URSB servers. The dataset is imported - centrally at SAGE secretariat - to SAGE MIS from the URSB servers using csv format and thereafter eligible beneficiaries are computed automatically and a payroll produced. Further change management processes – deaths, new births, permanent migration, household splits and household dissolutions – are managed by direct data input at district.

The MIS is also to be linked with PSP system. A key interface is with the Payment Service Provider's financial management system. A standard interface is to be developed in extensible mark-up language (xml) or any other format requested by the PSP to facilitate the data importation to the PSP's system. An encryption standard is to be agreed between the MIS developer and the PSP to secure the electronic data transfer.

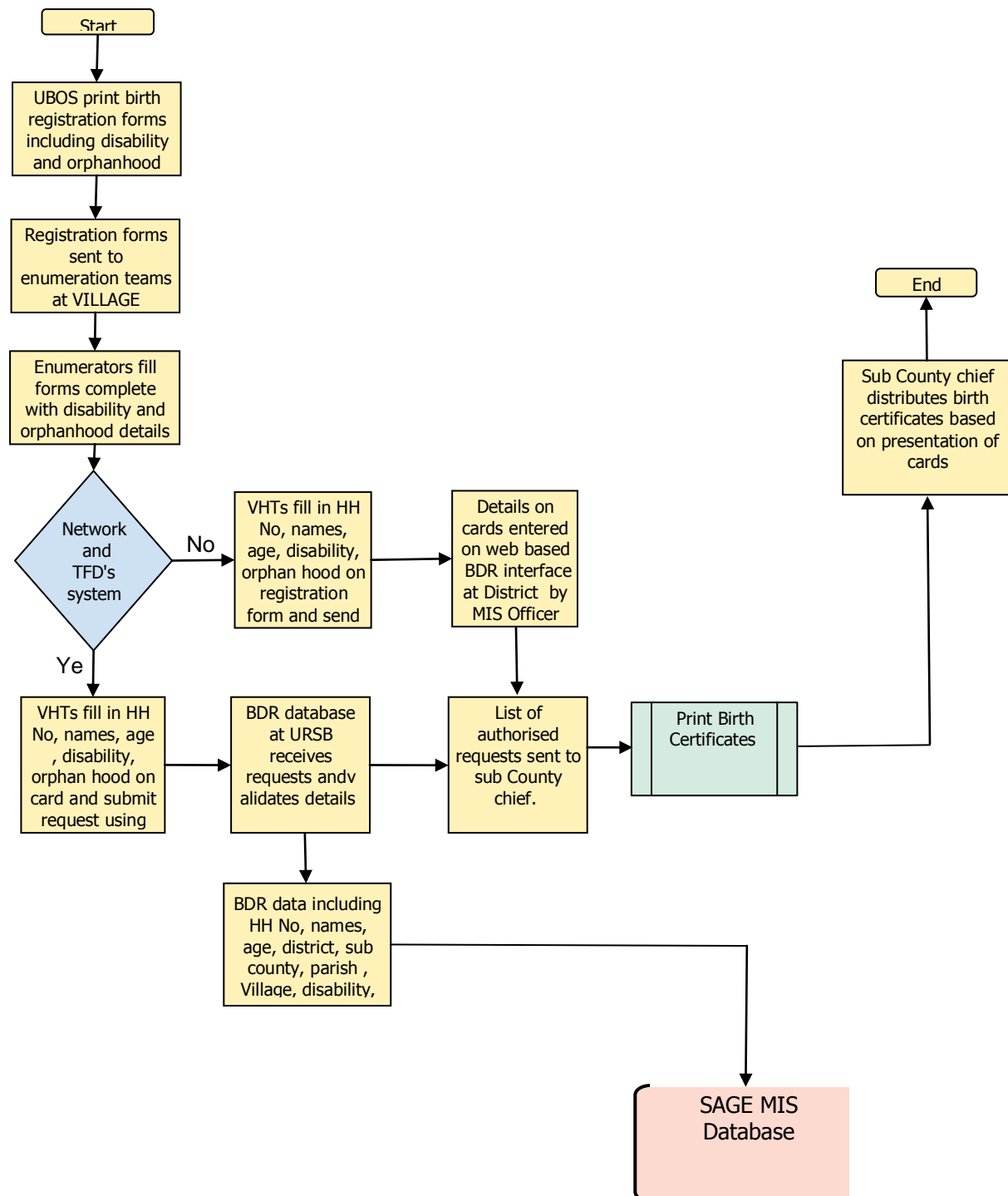
---

<sup>21</sup> **Unstructured Supplementary Service Data** (USSD) is a protocol used by GSM cellular telephones to communicate with the service provider's computers. USSD can be used for WAP browsing, prepaid call-back service, location-based content services, menu-based information services, and as part of configuring the phone on the network

## 11.4 MIS Data Flows

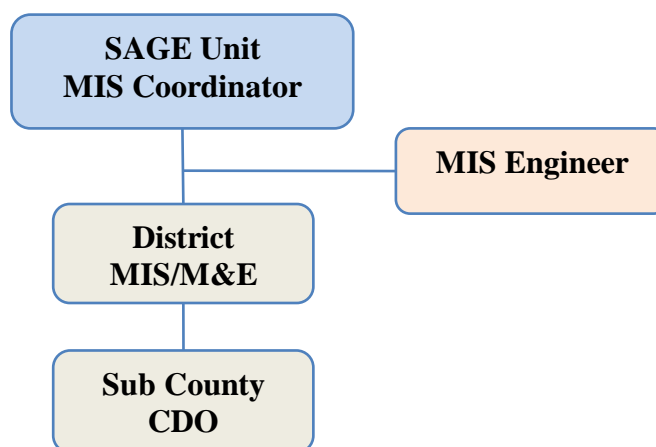
Figure 9 demonstrates the Data Flows within the MIS System for SAGE.

**Figure9: Data Flows within the SAGE MIS**



## 11.5 Management Arrangements

**Figure 10: Organogram of MIS Management Arrangements**



The SAGE MIS is managed through three administrative units:

- Centrally, the overall administrator and coordinator of all the MIS functions is the MIS Co-ordinator based at the SAGE unit of the Secretariat. The role of this position is to ensure smooth operation of the MIS functions in all the pilot districts. The preparation of the beneficiary payrolls also falls under his jurisdiction. The MIS Co-ordinator will be able to call up a consultant MIS engineer who should be technically versed with database management. The engineer reports to the coordinator and resolves all the technical issues related to the MIS, including through provision of technical support to District MIS officers.
- The District MIS unit is managed by a District MIS officer. S/he is responsible for data consolidation from each sub county. S/he also verifies data and does spot checks to ensure consistency online through the virtual connection to SAGE MIS system. The data verification process involves extracting the data from the pre-defined exception reports in the MIS. Spot checks will allow district MIS officers to detect any data errors for correction prior to data transfer to the national level.
- The MIS activities such as registration of beneficiaries and transfer of data to and from the sub county are coordinated and managed by the sub-county CDO.

## 11.6 Security Measures

Security for Management Information Systems is broadly categorised into the following:

- **Physical Security:** It is necessary to ensure that the SAGE Server Room is well secured. Doors will use biometrics to prevent any unauthorised personnel from accessing the MIS Server. District computers will be password protected and additional physical security measures will put in place where necessary. All SAGE IT equipment will be provided with power back-up devices to protect data entry and processing procedures against power cuts.
- **Data Security:** The SAGE MIS system has a distributed structure that ensures that if one of the nodes fails then data can be recreated from the source. The source MIS is MobileVRS birth registration system that is used for preliminary registration of beneficiaries. The setup of a Virtual Private Network (VPN) ensures that, data is backed up at national servers – on site and offsite.
- **Security Matrix:** To ensure that all risks are addressed, a SAGE MIS security matrix is implemented. Table 6 shows the potential risks in the implementation of the MIS and controls to mitigate them.

**Table 6: Potential Risks to MIS and Security Measures**

<b>Risk</b>	<b>Probability (Scale 1-3)</b>	<b>Impact</b>	<b>Controls</b>	<b>Responsibility</b>
<b>Infrastructure</b> (Failure of Servers, Personal Digital Assistant, Desktops)	<b>1</b>	Programme credibility is affected. Operational delays.	Insurance Spare Devices Paper Trail	Maxwell Stamp (Insurance, Spare Devices)
<b>Data integrity</b> (corruption, errors, omissions)	<b>3</b>	Delay in programme operations dents programmes image	Segregation of duties Backup plans Disaster Recovery Plans Application controls	Developer of MIS (Design of Security Plans) MIS Coordinator (Implementation of Security Plans)
<b>Information availability</b> (Fire, Flood, Power Outage, Theft)	<b>1</b>	Disruption of programme operations	Off site back-ups Distributed databases	MoGLSD (Securing Buildings) MIS Coordinator (Backups, Server Security)
<b>Information access</b> (confidentiality violation)	<b>2</b>	Information for transaction purposes becomes unreliable	Three layers of application security Encryption of data before they are transferred Segregation of duties for	MIS developer (Application Security) MIS Coordinator (Security Implementation and monitoring)

			management of programme functions	
--	--	--	-----------------------------------	--

## 11.7 Integration/Compatibility with other MIS

The SAGE MIS allows integration with other systems. The key system that is integrated with SAGE MIS is the national electronic Birth and Death Register.

SAGE MIS is also designed to facilitate sharing of information with other Government programmes and systems. The information is extracted through a flexible reporting engine that facilitates the export of data in multiple formats such as extensible mark-up language format (xml), access, excel and text.

## 11.8 Linkages to Education and Health

To monitor the impacts the programme is having on the beneficiaries, the programme will test how best to input information on health and education attendance and service usage into the MIS. This will be taken forward during the first 2 years of the programme. Possibilities include:

- On education, the SAGE MIS could generate pre-defined forms which could be sent to schools to evaluate school enrolment and attendance. The information is keyed into the MIS system at the District level.
- Information on health monitoring may be collected using predefined forms from the health facilities. The data collected would be keyed into the MIS at the District level by the MIS Officer

## 11.9 Data management in SAGE implementation

### Community SCG ‘eligible beneficiaries list’

The list of all individuals confirmed as eligible for the SAGE SCG at the DT7 Village Council meeting plus any successful appeals.

- Created by the District MIS Officer by entering data from all completed *Annex to Village Council Meeting Minutes* Forms into an excel spreadsheet.
- Sent to the MTN Regional Account Manager in both hard and soft-copy for use during enrolment.

### Automated SCG ‘eligible beneficiaries list’

The list of all individuals deemed as eligible for the SAGE SCG based on birth registration data.

- Created by the National MIS Manager using birth registration data sets.

- Disaggregated by village and sent to the Parish Chief via the District SAGE Unit for verification by the Village Council at DT7 Village Council meeting.
- Sent to the MTN Regional Account Manager in both hard and soft-copy for use during enrolment.

### **Enrolled beneficiary list**

- Created by the MTN staff at the enrolment point by adding the following details to the electronic copy of the 'eligible beneficiaries list':
  - SIM card number
  - Details of any authorised alternate recipient.
- Sent to the National MIS Manager after enrolment for execution of payments to SIM cards.

### **Failed transaction list**

- Created by the National MIS Coordinator based on a report of failed attempts to credit the beneficiary SIM cards provided on the 'enrolled beneficiary list'.
- Sent to the District SAGE MIS Officer for onward communication to Sub-County CDOs, Parish Chiefs and beneficiaries.
- Also sent to MTN for purposes of organising re-enrolment.

## **11.10 Filing System**

The MoGLSD utilises the GoU filing systems under which the data/documents are centrally filled. SAGE will work with the Ministry of Public Service (Dept of Records and Information Management) which is mandated to oversee records management countrywide to develop/streamline procedures for records management and train staff of registries in the relevant ministries and districts in record management under the programme. The types of data to be filled will include (but not be limited to):

### **• SP Secretariat:**

- Various manuals including targeting, operational manuals
- MIS data on beneficiaries
- Financial records, procurement records
- Reports- management reports, studies, Reviews/ lesson learning,
- Policy documents
- Correspondences
- Minutes of meetings for the various forums
- Terms of reference
- Contracts for staff

### **• Sub County/ District**

- MIS Data on Beneficiaries
- Signed/ thumb prints of payouts
- Correspondences (internal and external with the Secretariat)
- District information regarding demographics, categorisation and disaggregation of data
- Minutes of monthly programme management meetings

#### • **Community/ Village Level**

- Data base of all households in the community (for VFSG)
- Data base of all older people aged 50 years + (for SCG)
- Data base of all beneficiaries

## 11.9 Checks and Balances

To ensure integrity and completeness of information, the SAGE MIS is implemented with the following controls:

- **Data completeness:** The SAGE MIS is designed to capture necessary information needed by the programme. The data-base fields are designed not to accept nulls or blanks. If the SAGE MIS application interface posts blank information, an error message is returned warning the user of unacceptability of blank values.
  - **Data accuracy:** The SAGE MIS is developed with accuracy controls such as checks on beneficiary and recipient details to ensure consistency in information such as names, gender, ages and location. A logical check is also developed for accuracy measures for each targeting methodology. For the Senior Citizen's Grant, the key accuracy control on information keyed in is that the age that should be greater than 65 years.
1. **Non-ambiguous:** The SAGE MIS guards against duplicity by ensuring that household numbers are not repeated in the system. A check is also made at the District level and National level against duplicity of household numbers to avoid a beneficiary registering multiple times in multiple sub counties or districts.
  2. **Formats:** A data dictionary is built for known key fields such as household numbers and names. The contents and formats of information in SAGE MIS such as names and identification numbers conform to a defined data dictionary. The length of fields and content structure is standardized for aggregation and reporting.
  3. **Functionality:** Functional specifications of the SAGE programme requirements are documented at the outset to ensure that all user and technical requirements are provided for. The functionality of the SAGE MIS is aligned to programme requirements.

To reduce fiduciary risk, the following SAGE MIS controls are implemented:

- **Capacity Building:** Training is given to all CDOs, MIS Officers and MIS Coordinator on handling of data entry, data consolidation, data analysis and data reporting. The manuals for data entry, segregation of duties, control matrices, and operation guidelines are prepared to ensure that SAGE procedures and programme policies are followed.
- **Data Entry Checks:** The SAGE MIS application conforms to standard data checks such as format masks, drop down menus, data value parameters, warnings of repeated names, and cross reference checks.
- **Segregation of Duties:** A key audit tool to be designed as part of SAGE MIS tools is the segregation of functions in the control matrix. To limit the violation of security and misuse of MIS application, a clear security control matrix is developed that lays out the roles and privileges of each user of the MIS system. Such privileges are logged by the system and a complete audit trail is put in place.
- **Exceptional Reports:** Centrally, key exceptional reports that assist in monitoring the programme are developed. The reports assist in checking the enrolment information against impact analyses reports on health and education service use.

---

---

## 12. PROCESS MONITORING

---

This chapter describes the process monitoring activities which are carried out at all levels in order to ensure that the process of implementation has greater efficiency, effectiveness and transparency. The chapter also details process monitoring indicators that are used and the roles and responsibilities of key personnel who support process monitoring. The Monitoring & Evaluation Framework is presented in Annex 3.

### **In Summary**

- Process monitoring will be participatory and designed to generate learning on the necessary revisions to SAGE design and procedures.
- Process monitoring activities will chart progress on activities and achieving programme outputs, as well as identify challenges with implementation.
- Programme performance will be monitored by: District Monitoring Teams led by the CAO; the DCDO; District SAGE M&E Officer; officers from the SP Secretariat.
- Overall programme performance monitoring and documentation will be led by the National SAGE M&E Manager.
- Regular district and national-level workshops will be convened by the SP Secretariat to review programme performance and inform amendments to programme design and procedures.
- Monitoring data will be fed into the MIS by District MIS Officers using information supplied by sub-county CDOs and other agencies. The district level MIS will link online to the MIS housed at the SP Secretariat.
- Performance of the Payments Service Provider will be monitored through payment specific indicators agreed on in the PSP service level agreement supplemented by selected key indicators collected at district level and by site visits by district and national monitoring staff.
- In-depth, independent research and analysis will be commissioned where necessary to improve performance and/or document good practice.

### **Responsibilities of the Sub-County Chief and (A)CDO**

- Undertake spot checks according to monitoring schedule.
- Communicate feedback to District SAGE Unit at monthly coordination meetings.
- Deliver written reports on activities and any emerging issues.
- Contribute to discussions about how to improve programme design and implementation.

### **Responsibilities of the Parish Chief**

- Communicate community feedback to the Sub-County CDO at monthly coordination meetings.

- Deliver brief written monthly reports on activities and any emerging issues.
- Contribute to discussions about how to improve programme design and implementation.

**Forms to be used:**

- Evidence Tool (Annex X)

## 12.1 Process Monitoring Indicators

The process monitoring indicators consist of a set of indicators under the following eight broad categories i.e.

1. Household registration
2. Targeting
3. Payments
4. Grievances
5. Training
6. Change management
7. Financial management
8. SAGE MIS

The indicators will be tracked on a regular basis as specified in the SAGE Performance Data Management Plan (Annex X). The objective of the data management plan is to clearly indicate, the indicator, its definition, unit of measure, data source, method of data collection, frequency of data collection, responsibility for data collection and data use (report/ process in which data is used). In order to guide the implementation of the programme, life of programme targets for each indicator will be set. The set life of programme targets will be annualised or translated to a relevant regular basis, the annualised targets will serve as contrasts during implementation.

**Table 7: Process Monitoring Indicators**

Process	Indicators
Birth/House hold Registration	<ul style="list-style-type: none"> <li>• No of HHs registered by UBOS/URSB disaggregated by district and sub-county</li> <li>• No of individuals registered by UBOS/URSB who have been issued with birth certificates</li> <li>• No of sub-county registration exercises completed.</li> <li>• % of Village Chairpersons submitting monthly birth and death notifications on a regular basis (at least 50% of the time).</li> <li>• No. of MobileVRS terminals installed disaggregated by district and sub-county.</li> </ul>
Targeting	<ul style="list-style-type: none"> <li>• % of eligible beneficiaries excluded from the SCG</li> <li>• % of eligible beneficiaries excluded from the VFSG</li> <li>• % of severely disabled people reached disaggregated by SCG and VFSG</li> </ul>

Process	Indicators
	<ul style="list-style-type: none"> <li>• % of moderately disabled people reached disaggregated by SCG and VFSG</li> <li>• % of children reached disaggregated by SCG and VFSG and disaggregated by age (0-2, 3-5, 6-10, 11-15, 16-17)</li> <li>• % of single orphans reached disaggregated by SCG and VFSG</li> <li>• % of total orphans reached disaggregated by SCG and VFSG</li> <li>• % of female headed HHs reached disaggregated by SCG and VFSG</li> <li>• % of HHs reached by SCG and VFSG disaggregated by consumption by adult equivalent deciles</li> <li>• % of SCG and VFSG beneficiaries entitled to other pension income</li> <li>• % of SCG and VFSG beneficiaries actually receiving other pension income on a regular and reliable basis</li> <li>• % of SCG and VFSG beneficiary HHs exiting the programme</li> <li>• % of HHs benefiting from VFSG who become ineligible during the 3 year minimum enrolment period</li> </ul>
Payments	<ul style="list-style-type: none"> <li>• % of beneficiaries satisfied with the payment system disaggregated by district/sub county</li> <li>• Number of beneficiaries on the payroll not identified by PSP (MTN) during enrollment disaggregated by SCG, VFSG</li> <li>• Number of beneficiaries who have never made withdrawals from their accounts disaggregated by SCG, VFSG</li> <li>• Number of beneficiaries with saving on their accounts disaggregated by SCG, VFSG</li> <li>• Number of beneficiaries using their accounts for other financial transactions disaggregated by SCG, VFSG (incl. receiving funds from other sources such as family members)</li> <li>• No of beneficiaries accounts credited by PSP disaggregated by SCG, VSFSG</li> <li>• Total amount credited to beneficiaries disaggregated by SCG, VSFSG</li> <li>• Average no of days to receive payment by beneficiary (SCG &amp; VFSG)</li> <li>• Median no. of days to receive payment by beneficiary</li> <li>• Ave. cost incurred by beneficiary (SCG &amp; VFSG) to receive payment</li> <li>• Average distance to pay point disaggregated by SCG and VFSG</li> <li>• % of SCG beneficiary payments collected by a secondary recipient disaggregated by age</li> <li>• % of SCG beneficiaries who regularly opt for their payment to be collected by a secondary recipient disaggregated by age</li> <li>• % of VFSG payments collected by secondary recipient</li> <li>• % of requests for change of primary recipient for VFSG</li> <li>• % of requests for change of secondary recipient disaggregated by targeting mechanism</li> </ul>
Grievance	<ul style="list-style-type: none"> <li>• No. of grievances received &amp; registered at all levels disaggregated by category</li> <li>• No of grievances redressed at all levels disaggregated by category</li> <li>• No. of Appeals Adjudication and Enrolment Request Forms submitted disaggregated by SCG and VFSG.</li> </ul>

<b>Process</b>	<b>Indicators</b>
	<ul style="list-style-type: none"> <li>• Av time taken in days to close case by type</li> <li>• Median time in days taken to close case by type</li> <li>• % of grievances resolved in acceptable timeframe by level</li> </ul>
Change management	<ul style="list-style-type: none"> <li>• % of Villages submitting Monthly Change Management Forms</li> <li>• Number of immigrants to SAGE districts</li> <li>• Number of new households migrating into SAGE districts</li> <li>• Number of outward migrant individuals from SAGE district</li> <li>• Number of outward migrant households from SAGE district</li> <li>• No of dissolved households</li> </ul>
Training	<ul style="list-style-type: none"> <li>• % of planned trainings held</li> <li>• % of training in which objectives of the training were at least met by type of training (DT1, DT2 &amp; DT3)</li> <li>• % of sample of DT2 trainees who demonstrate understanding and applying skills acquired in training by type of training</li> <li>• No of people trained disaggregated by type</li> </ul>
Financial management	<ul style="list-style-type: none"> <li>• % of SAGE districts that timely received operational fund in the quarter</li> <li>• % of SAGE districts that timely retired funds released in the quarter</li> <li>• % of overall district expenditure to budget in a quarter</li> <li>• % of districts with repeat financial audit queries</li> <li>• % of expenditure covered by audit</li> </ul>
SAGE MIS	<ul style="list-style-type: none"> <li>• % of internet downtime in a month disaggregated by district</li> <li>• Average hours of SAGE MIS server downtime in a month</li> <li>• Average hours of SAGE mail server downtime in a month</li> <li>• Average response time for district support from MIS Coordinator</li> <li>• % of successful timely updates of SAGE MIS using URSB database</li> <li>• % of successful timely updates of MIS using PSP data</li> </ul>

## 12.2 Special or Case Studies

The National SAGE M&E Manager will undertake process monitoring reviews to assess the efficiency and effectiveness of the programme based on the process monitoring indicators collected as indicated in the SAGE performance data management plan. In circumstances where process monitoring data cannot support management decision and the subject matter does not follow under evaluation terms of reference, special or case studies to address specific management interest will be commissioned. The findings of such studies will be used to: a) improve the programme; b) promote the social protection agenda; c) feed into policy and legislation development; and, d) present appropriate models for when replication at the national level occurs.

Terms of reference for such studies will be drafted based both on these reviews and on issues affecting the programme that may need to be highlighted as may be deemed necessary by management.

It is expected that at least 3 major case studies will be written up during a year, in consultation with the SP Secretariat Policy and Learning Coordinator and that they will be used to disseminate information on implementation to government and other stakeholders and also to influence the drafting of national social protection frameworks, policy and legislation. The case studies will thus serve to generate lesson learning as well as contribute to understanding the comparative strengths and weaknesses of the three targeting options. Using both data generated by the MIS and field visits to selected sites, the case studies will primarily focus on the following issues:

- The speed and cost of implementation of the programme comparing the different options; indicators used for this comparison will include the number of communities where enumeration and targeting has taken place, the number of vulnerable households identified, the number of vulnerable households incorporated into the programme and receiving cash transfers, the cost of delivery – both to the agency and the beneficiary - of transfers per household and per monetary unit, the time taken between registration and receipt of the first payments, and the time taken to access regular monthly payments.
- The performance of the targeting options in terms of correctly identifying the most vulnerable households and incorrectly including less vulnerable households. Data gathered by the Impact Evaluation service provider will be used for analytical purposes supported by field visits to collect additional evidence.
- The time taken and cost incurred for receipt of transfers by recipients, the degree of financial inclusion and the advantages accruing to the payment provider.
- The satisfaction of beneficiaries regarding service quality, client constraints in accessing cash transfers, and responsiveness of project partners including government officials.

### **12.3 Management Arrangements**

Case studies and process monitoring will be undertaken by the National M&E Manager with the cooperation of District SAGE M&E Officers and CDOs. The SP Secretariat's Social Protection Knowledge and Learning Coordinator will disseminate the findings and to use them, along with best practice examples from outside Uganda, to inform the development of a social protection framework and policies, and related legislation.

A District Monitoring Team will be formed comprised of the District Executive Committee who will undertake quarterly monitoring missions. The consolidation and reporting of findings will be the responsibility of these

officers. At district level, all government staff members monitor the performance of the respectively lower government structures:

The sub-county chief monitors the overall performance of the parish chiefs as their direct supervisor. The SAGE district team, spearheaded by the M&E Officer, carries out spot-checks at parish, and community level and also monitors on a regular basis the performance of the CDO.

The parish chiefs regularly monitors the performance of the PDC members, the activities at community level and the satisfaction of beneficiary/community members with the programme and summarizes monitoring results in a monthly report to the CDO. The CDO carries out spot-checks at parish and community level but regularly monitors the performance of the parish chiefs in the area of SAGE, as delegated by the sub-county chief. The Sub-County CDOs reports on a monthly basis to the Senior CDO responsible for SAGE and/or SAGE District Technical Officer via the sub-county chief.

In line with overall roles and responsibilities, performance of government administration is furthermore monitored by the LC3 members who come from communities and have their information sources at different levels about the functioning on the programme. Council meetings provide a feedback mechanism for monitoring results and the minutes should reflect the monitoring activities carried out, the findings and the reaction of the administration to the findings.

In addition, regular monthly review meetings will be held at district level involving the CAO, District CDO, Senior CDO responsible for SAGE, district SAGE staff, sub-county CDOs and contracted service providers to discuss issues emerging and problems/constraints being encountered. The meetings will also take stock of progress being made using the overall work plan and annual work plan targets to assess performance. Meeting minutes and recommendations agreed will be documented and forwarded to relevant circles for information and action.

Similar forums would be held at the national level, initially on quarterly a basis, which would be attended by Secretariat staff, the SP Sub-Committee overseeing the programme at the national level, District SAGE Technical Officers and District SAGE M&E Officers. Again, the purpose would be to review progress being made against agreed targets, but at a national level, and discuss issues/problems emerging and recommendations on how to address them.

On a monthly basis, reports will be produced at the district level based on the data collected at the sub-county level. Data will be consolidated at the national level by the MIS unit in the secretariat.

## **12.4 Data Quality**

On a quarterly basis, the National SAGE M&E Manager and District SAGE M&E Officers undertake data quality assessment on sample data that is collected through payment service provider and other routine data collection exercises to ensure that the data collected and entered into the MIS meets the following five data quality criteria:

### **Validity**

Face validity – data is collected in line and definition of SAGE indicator measurement guidelines i.e. the data measures what it is supposed to measure.

Measurement errors: Originating from non-use of data collection instruments; transcription errors from one paper to the next; failure to “clean data” and catch errors before analysis and inappropriate analysis methods.

### **Reliability**

Consistency of data collection and analysis process -- data collection instruments changing between data collection period and definitional changes.

### **Precision**

Sufficiently detailed information based actual numbers rather than estimates. The data should be sufficiently specific about any change that occurred over the reporting period, e.g., 27 beneficiaries versus “a number of beneficiaries”.

### **Integrity**

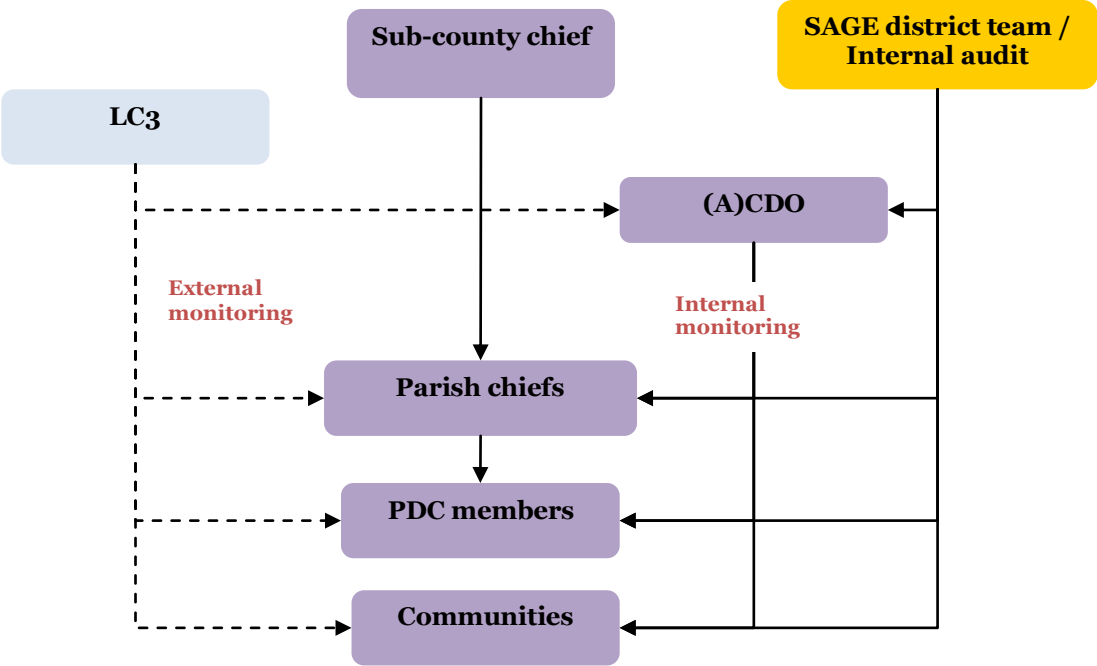
No evidence of deliberate manipulation or falsification of the data collected. The data collection process include measures aimed at minimizing data falsification or distortion by people from whom data was obtained

### **Timeliness**

Data collected on a timely basis and consistent with SAGE operational timelines e.g. payment cycle, quarter etc.

The data provided by the PSP as agreed on in the service level agreement suffers the limitation of self-reporting. The M&E Manager and District M&E Officers on a regular basis will compile data that will be used to undertake analysis to enable comparison with the data provided by PSP to ensure data quality and to also support SAGE management in enforcing PSP service level agreement.

**Figure 5. Management of sub-county process monitoring**



**12.5 Checks and Balances**

Since the preliminary BDR exercise will determine the effectiveness of targeting, the National BDR Task Force will be engaged to provide quality assurance of the work undertaken by UBOS.

District staff will monitor Sub-County, Parish and Village-level implementation according to a clearly defined monitoring workplan. Sub-County Chiefs will monitor Sub-County-level implementation.

Staff from the SP Secretariat will monitor district and sub-district-level implementation on a spot-checking basis.

Oversight by national and local level civil society organisations will be actively encouraged.

**Figure 6: Quality Assurance Schedule for key SAGE processes**

	Preliminary Birth registration exercise	Training Plan								Quarterly Grievance Management at Village level	Sub-county Grievance Management	Issue SAGE ID	Change Management data collection and entry	Payment delivery
		DT1	DT2	DT3	DT4	DT5	DT6	DT7	DT8					
<b>National level</b>														
SAGE Manager	QA	R	R	QA (20%)	QA	QA	QA							
Operations Manager	QA	R	R	R	QA	QA	QA							
District Liaison Officer		R	R	R	QA	QA	QA							
M&E Manager	QA			R	QA	QA	QA	QA	QA					
MIS Coordinator	QA			R									QA	
Finance & Procurement Manager				R										
Training Advisor		QA (50%)	QA (50%)	QA	QA	QA								
Training Manager		QA (50%)	QA (50%)	QA	QA	QA								
SAGE Accountant				R		QA								
<b>District level</b>														

	Preliminary Birth registration exercise	Training Plan								Quarterly Grievance Management at Village level	Sub-county Grievance Management	Issue SAGE ID	Change Management data collection and entry	Payment delivery
		DT1	DT2	DT3	DT4	DT5	DT6	DT7	DT8					
CAO		P	P	P	QA	QA	QA			QA	QA	QA	QA	QA
DCDO		P	P	P	QA	QA	QA	QA	QA	QA	QA	QA	QA	QA
Senior CDO		P	P	P	R	R	QA	QA	QA		QA	QA	QA	QA
SAGE T.Officer					R	R	QA	QA	QA		QA		QA	QA
SAGE MIS Officer						R						QA	R & QA	
SAGE M&E Officer						R	QA	QA	QA	QA	QA		QA	QA
<b>Sub-county level</b>														
Sub-County Chief							R	QA		QA	R		QA	
Sub-county (A)CDO							R	R	R	QA	R	R	R	
<b>Parish level</b>														
Parish Chief								R	R	R			QA	
PDC													QA	
<b>Village level</b>														
Village Chairperson													R	
VHTs													R	

Key: P = participant in activity  
R = responsible for delivery of activity  
QA = responsible for Quality Assurance of activity

---

## 13. EVIDENCE

---

This chapter outlines activities that will be undertaken in order to generate programme evidence and how the evidence thus generated will be disseminated to key stakeholders. The evidence will mainly be generated through the impact evaluation of the programme, evidence documented through implementation and case studies. Lessons on appropriateness, affordability and acceptability will be used to prepare for national up-scale. The dissemination of evidence will mainly be taken through the communication and advocacy strategy.

### **In Summary**

- The impact evaluation evidence will be generated through baseline and follow-up surveys by an externally contracted agency for greater transparency and objectivity.
- Programme implementation and case studies evidence will be documented through the evidence tool using key evidence questions
- Systematic dissemination of programme's achievements and lessons learnt will be achieved through the use of public events and other communication tools

### **13.1 Objectives**

The evidence generated will inform:

- Which targeting options and payment mechanism are most effective, cost and time efficient and would be appropriate for national upscale;
- Proposed policy framework and related legislation formulation;
- Whether social transfers are producing the intended changes at the household and community level;
- Improve programme implementation and decision making process based on evidence; and
- Feed into the national discussion on wider social protection issues

### **13.2 Process**

Impact evaluation exercises will be conducted at the beginning (baseline) and follow-up after the second and third year of implementation by an external

agency. A randomised treatment control methodology will be adopted by randomly assign specific households in the SAGE programme area to treatment and households in Non-SAGE programme area to control. The controls being outside the programme area will minimise the risk of ‘spillover’ of programme effects between beneficiary and control households and no ethical issues to deal since no beneficiary households will be used as controls.

The impact of the programme will be estimated by using the difference-in-difference estimates, a comparison of trends between the beneficiary households and comparable households that do not receive payments (controls) will be used to measure impact. The treatment and control groups will be compared both before the cash transfer programme begins, during and after the implementation of the programme. The “first” difference to be examined is how the treatment group varies from the control group, and the “second” difference which will be examined is how these differences vary during and after the programme has been implemented.

The evaluation will combine the use of qualitative and quantitative data. This will have several benefits both in terms of overall evaluation process and impact analysis. In terms of evaluation process the methods for gathering quantitative and qualitative data will be sequenced so that the findings from one can feed into the design and implementation of the other in an iterative manner.

Evidence gathering will be undertaken following the steps below.

- Defining and firming up evidence questions
- Develop Search Strategy & tools
- Collection & Analysis Methodology
- Interpret & Adapt Evidence
- Use of evidence

The National M&E Manager will lead the process of defining and firming up evidence questions, developing search strategy tools; and data collection and analysis methodologies.

Evidence will also be gathered by linking with national data collection and research organisations such as the Uganda Bureau of Statistics to:

- Build project-relevant questions into existing surveys where it proves feasible such as in UBOS’s National Household Survey
- Draw on the wealth of data that UBOS already possesses including its poverty mapping exercises, consumer price indices and the recently initiated qualitative elements in its surveys.

### 13.3 Impact Issues to be examined

At the household level, the effects of increased cash will be measured on both social and economic dimensions. Impacts to be assessed will include those set out in Table 10.

**Table 8: Household Impact Issues to be examined**

Topic	Issues to be examined
Income	Rises in income Use of income Increase in livestock and other assets
Diet	Number of meals Quality of diet Expenditure on food
Income generation	Initiation of new income generating ventures Expansion of existing income generating ventures Reduction of child labour (time and magnitude)
Financial inclusion	Access to safer storage Better access Access to additional financial products (savings, credit, insurance, remote transactions)
Education	(Disaggregated by gender) Enrolment, absenteeism, Meeting of costs of education such as travel, fees, books
Health	Malnutrition of children Vaccination rates Use of better medical services Expenditure on healthcare
Gender	Increased empowerment of women Greater commercial activity conducted by women

The infusion of cash into a community will have effects beyond the direct beneficiary households. At the community level, the impacts to be assessed are shown in Table 11

**Table 9: Community Impact Issues to be examined**

Topic	Issues to be examined
Increased commercial activity	Greater levels of spending and thus increased revenue witnessed by shopkeepers, transporters, traders, craftsmen etc., Greater import and export of the community
Other unintended impacts	Increase in prices of key commodities in local markets Disruption of informal transfer systems Social tensions, conflict, and insecurity
Impacts on non-beneficiaries	Increase in assets Increase in income

## **13.4 Management Arrangements**

Working with the support of the National M&E Manager, an external agency will be hired to undertake the baseline and follow-on impact evaluation studies. The agency will conduct the exercises independently, recruiting its own staff for survey design, data collection and analysis, and report production. It will be expected that the same firm will be retained throughout the project period, depending upon satisfactory completion of deliverables, to ensure consistency of survey execution and to build on historical knowledge.

The National M&E Manager and the District M&E Officers will take lead on documenting evidence resulting from programme implementation and the case studies using programme evidence tool (Annex XIV) that will be developed at the start of the programme. The SAGE Programme Manager will lead the process of identifying evidence questions that will be used in collecting and documenting evidence.

---

---

## 14. TRAINING STRATEGY

---

---

### **In Summary**

- SAGE will employ a clearly defined cascade training approach comprised of 8 district trainings (DTs).
- Training activities will need to be implemented according to a strict timeline to ensure that programme implementation stays on-schedule.

### **Responsibilities of the Sub-County Chief and (A)CDO**

- Participation in DT4 and 5 – Sub-County level training on SAGE implementation.
- Leadership of DT6 – training of Parish Chiefs, PDC representatives and Village Chairpersons.
- Provision of on-going support and refresher training to Parish Chiefs.

### **Responsibilities of the Parish Chief / Parish Facilitator**

- Participation in DT5 and DT6 – Sub-County level training on SAGE implementation.
- Leadership of DT7 – Community Orientation.
- Provision of on-going support and refresher training to Village Chairpersons and PDC members

### **14.1 Overview of the SAGE Training Strategy**

Roll-out of the SAGE programme will be supported by a clearly defined, cascade training strategy structured according to 8 district trainings (DTs). Each district SAGE Unit will develop, with the support of the SP Secretariat a roll-out workplan and training schedule for all necessary training activities. Budgets for implementing each DT will be provided by the SP Secretariat and funds managed by local government authorities. The following discussion provides an overview of each of the 8 DTs.

#### ***DT1: District SAGE Orientation***

A one-day orientation for local government and district SAGE Unit staff (approx. 55 participants) delivered by staff from the SP Secretariat and MGLSD Master Trainers.

#### ***DT2: District SAGE Team Training***

Five (5) day, district-level training for the district SAGE Unit and DCDO (9 participants) on SAGE implementation procedures delivered by staff from the SP Secretariat.

#### ***DT3: District Planning, Information and Finance (PIF) Training***

Two (2) days of issue specific training for District Accountants, District MIS Officers and other members of the district SAGE Unit (approx. 8 participants) on financial management arrangements, management of the MIS etc. To be delivered by staff of the SP Secretariat at Kampala level.

***DT4: Orientation of Sub-County Stakeholders***

A single day orientation training for Sub-County officials, LCIII councillors, Parish Chiefs, Parish Development Committee chairpersons and civil society stakeholders (approx. 40 participants) delivered at Sub-County level by the DCDO or Senior CDO responsible for SAGE. Timing of these orientations will depend on the sub-county rollout within each district.

***DT5: Implementation Training of Sub-County Partners***

Comprehensive implementation training lasting 5 days for Sub-County CDOs and Parish Chiefs - or Parish Facilitators where Parish Chief posts are vacant - (for a total of 9 participants). It will take place at the district level led by the District SAGE Team.

***DT6: Parish Chief and Village Facilitator Training***

This two (2) day training (of approx. 12-23 participants) will take place in two or three Parishes in every Sub-County with participants from 2-3 Parish attending each training. Participants will be Parish Chiefs and representatives of each Village (PDC members where they exist). The training will be led, ultimately, by the sub-county (A)CDO with the support of the Parish Chief.

***DT7: Community Orientation***

The first half of DT7 will be conducted as a community meeting which will take place at every Village and will be led by the Parish Chief. The second half will comprise a one-to-one meeting between the Parish Chief and the Village Chairperson.

***DT8: Beneficiary Orientation***

Orientation for all beneficiaries on payments, complaints and change management procedures. The session will be conducted as a public meeting followed by small group training, at the time when the Payment Service Provider conducts enrolment. Jointly delivered at sub-county level by the Sub-County CDO, Sub-County Chief and Payment Service Provider.

## 14.2 SAGE Training Strategy in detail

Objectives	Participants	Trainers	Location	Duration & Timing
<b><i>DT1: District SAGE Orientation</i></b>				
<ul style="list-style-type: none"> <li>• Build an understanding among senior district officials of social protection and how it can bolster GoU efforts to support its citizens</li> <li>• Help district departments to appreciate the value of a social protection programme as a cross-sectoral programme to support the most vulnerable citizens</li> <li>• Ensure that district officials are familiar with and can speak confidently about the SAGE pilot</li> <li>• Clarify the roles of district officials in SAGE implementation, as well as expectation for support of SAGE</li> </ul>	<p>Approximately 55 people, including:</p> <ul style="list-style-type: none"> <li>• CAO</li> <li>• Asst. CAO</li> <li>• District Council Chair</li> <li>• District Council (approx. 30 members)</li> <li>• Technical Planning Team (approx. 15 members)</li> </ul>	SP Secretariat	District HQ	1 day
<b><i>DT2: District SAGE Unit Training</i></b>				
<ul style="list-style-type: none"> <li>• Build the capacity of the 5-member core District SAGE Unit to lead the implementation throughout the district</li> <li>• Foster a sense of teamwork among the team members</li> <li>• Clarify role and responsibilities</li> <li>• Ensure a common understanding of SAGE operations</li> <li>• Provide an overview of SAGE's link to national policy and international experience</li> </ul>	<p>An estimated 9 people per district, including:</p> <ul style="list-style-type: none"> <li>• District SAGE Adviser</li> <li>• DCDO</li> <li>• Senior CDOs (est. 4)</li> <li>• SAGE MIS Officer</li> <li>• SAGE M&amp;E Adviser</li> <li>• colleague from Planning Unit (perhaps not Planning Officer, but Population Officer)</li> </ul>	SP Secretariat	District HQ	5 days

<b>Objectives</b>	<b>Participants</b>	<b>Trainers</b>	<b>Location</b>	<b>Duration &amp; Timing</b>
<b><i>DT3: District Planning, Information and Finance (PIF) Training</i></b>				
<ul style="list-style-type: none"> <li>• Focus on detailed aspects of SAGE implementation, such as the MIS database and financial operations, for District SAGE Team members and district colleagues</li> <li>• Build the capacity of district personnel to utilise new technologies to implement and monitor SAGE</li> <li>• Finalize operational processes to be used in SAGE implementation</li> <li>• Ensure that District SAGE Team members are able to clearly describe SAGE to others</li> </ul>	8 people per district, including: <ul style="list-style-type: none"> <li>• District SAGE Adviser</li> <li>• Senior CDO responsible for SAGE</li> <li>• SAGE M&amp;E Officer</li> <li>• SAGE MIS Officer</li> <li>• colleague from Planning Unit (perhaps not Planning Officer, but Population Officer)</li> <li>• Planning Officer</li> <li>• CFO or representative</li> <li>• Asst. CAO</li> </ul>	SP Secretariat (namely, Training Unit, Operations Manager, MIE Officer, M&E Officer and Finance rep, at least for first 3 districts)	Kampala	2 days
<b><i>DT4: Orientation of Sub-County Stakeholders</i></b>				
<ul style="list-style-type: none"> <li>• Provide an overview of Social Protection and SAGE to Sub-County leaders, including how it can bolster GoU efforts to support its citizens</li> <li>• Ensure that sub-county officials are familiar with and can speak about the SAGE pilot within their sub-counties</li> <li>• Clarify the roles of sub-county officials in SAGE implementation, as well as expectation for support of SAGE</li> </ul>	Approximately 40 people per sub-county, including: <ul style="list-style-type: none"> <li>• Sub-County Chief</li> <li>• Sub-County Chairperson</li> <li>• LC III Council members (est.20)</li> <li>• Sub-County CDO</li> <li>• Parish Chiefs (est. 6) / Parish Facilitators</li> <li>• Parish Development Committee Chairpersons (est. 6)</li> <li>• CSO/FBO reps (est, 5)</li> </ul>	Senior CDO or DCDO	Sub-County level	1 day
<b><i>DT5: Implementation Training of Sub-County Partners</i></b>				
<ul style="list-style-type: none"> <li>• Build the capacity of Sub-County partners</li> </ul>	Approximately 9 people per sub-county, including:	DCDO & Senior CDO & SAGE T.O	District HQ	Duration: 5 days

<b>Objectives</b>	<b>Participants</b>	<b>Trainers</b>	<b>Location</b>	<b>Duration &amp; Timing</b>
<ul style="list-style-type: none"> <li>to lead the implementation throughout the sub-county</li> <li>• Clarify role and responsibilities as related to sub-county operations</li> <li>• Ensure a common understanding of SAGE operations</li> </ul>	<ul style="list-style-type: none"> <li>• Sub-County Chief</li> <li>• Sub-County CDO</li> <li>• Sub-County (A)CDO</li> <li>• Parish Chiefs (est. 6) or Parish Facilitators</li> </ul>			It is expected that participants from 2 sub-counties can be brought together, perhaps to district level.
<b><i>DT6: Parish Development Committee (PDC) Training</i></b>				
<ul style="list-style-type: none"> <li>• Prepare Parish Chiefs for DT7 including developing strategies of describing SAGE to community members.</li> <li>• Ensure that PDC members have a clear understanding of SAGE aims and operations</li> <li>• Orient PDC members to SAGE monitoring and grievance processes</li> </ul>	<ul style="list-style-type: none"> <li>• Parish Chiefs (2-3)</li> <li>• Village chairperson (est.12-18)</li> <li>• One PDC member per village (est. 12-18)</li> </ul>	Sub-County CDO and Parish Chief	Parishes clustered into 2-3 trainings per Sub-County. Held at sub-county level.	Duration: 2 days  Timing to be determined to consider when it should take place in relation to the distribution of cash transfers in that parish.
<b><i>DT7: Community Orientation</i></b>				
<ul style="list-style-type: none"> <li>• Explain roles and responsibilities of the village chairperson</li> <li>• Provide community members an overview of SAGE, including the targeting and enrolment processes</li> <li>• Explain how SAGE contributes to the efforts of the GoU to support vulnerable citizens</li> <li>• Outline grievance processes to be used during implementation</li> </ul>	Carried out as a community meeting and as a one-to-one meeting with the village chairperson	Parish Chief	Community level	Duration: 1 day  Timing to be determined to consider when it should take place in relation to the distribution of cash transfers in that community.
<b><i>DT8: Beneficiary Orientation</i></b>				
<ul style="list-style-type: none"> <li>• Provide specific operational information to individuals who have been enrolled to receive SAGE grants, including the process and mechanisms for receiving payment</li> </ul>	Carried out as a public meeting and small group training	Payment Service Provider	Community level	This activity may be linked with enrolment verification in the SAGE pilot.

### **14.3 Roll-out of SAGE Training Activities**

SAGE training activities get underway in each district once the MoU has been signed between the MGLSD and the district, external advisers have been recruited, and the SAGE office has been established. As outlined above, the training programme begins with DT1, the District SAGE Orientation, and followed closely on with DT2, both conducted by representatives of the SP Secretariat. DT3 is conducted in Kampala, with districts sending particular individuals to attend the training. Subsequent training activities are then led by the district SAGE unit, and are scheduled in accordance with district's workplan and in coordination with the Payment Service Provider.

It is anticipated that districts will aim to roll-out in two sub-counties at a time, though this may be amended as necessary. Given the time necessary to collect baseline data information from targeted beneficiaries, all sub-county, parish and community level trainings (that is, DT4 – DT8) will need to be completed at least 2 months prior to the planned disbursement date of SAGE grant funds. It is estimated that a district SAGE unit will need approximately two months to carry out DT4 – DT8 in two sub-counties; hence, district SAGE unit planning will need to schedule three months in advance of the initial disbursement of SAGE funds in a sub-county.

The following table provides an indicative roll-out plan, showing the illustrative timing for training activities leading up to initial payments. Each participating district will have its own implementation plan, depending on the timing of initial activities.

---

## 15. SAGE COMMUNICATIONS STRATEGY

---

### **Communications In Summary**

- The purpose of the SAGE communications strategy is to ensure that beneficiaries and other stakeholders are well informed, participate in the programme and provide the necessary support to its implementation.
- Key messages have been developed which should be transmitted to key audiences at relevant opportunities.
- SAGE will make use of village chairpersons, radio transmissions, print materials, training events, religious institutions and CSOs/NGOs to ensure information and key messages reaches target audiences – including the most vulnerable.

### **Responsibilities of Sub-County Chiefs, (A)CDOs and Parish Chiefs / Parish Facilitators**

- Ensure that the rationale, objectives and implementation strategy for SAGE are understood by participating communities.
- Ensure effective transmission of key SAGE messages to communities.
- Facilitate community discussions on formal and traditional social protection.
- Ensure that vulnerable community members are able to access information about the programme.

### **15.1 Overview**

The SAGE communication strategy is part of a wider ESP Communication strategy which is designed to *improve* understanding of and commitment to social protection among policy makers and the public. The ESP communications strategy therefore focuses on stimulating and articulating public demand for social protection as a key precursor to the generation of the political will required developing and implementing a national social protection framework. The wider communication strategy also recognises the importance of strengthening citizen-state relations and increasing the responsiveness of Ugandan public services to the needs of the poorest and most vulnerable. A communication approach that is dynamic and facilitates two-way flows of communication between citizen and state is therefore proposed to contribute to strengthening dialogue between citizen and state.

The main purpose of the SAGE communication strategy is specifically to ensure that the target beneficiaries and all the stakeholders are well informed, participate in the programme and provide the necessary support for its successful implementation. The successful programme implementation

articulated through evidence and ‘testimonies’ of the beneficiaries in turn will support advocacy for social protection agenda in Uganda.

## **15.2 Objectives**

The main objectives of the SAGE communication strategy are to:

- (i) Improve accessibility to the programme by building its awareness among the target population in the 14 districts.
- (ii) Meet the information needs of SAGE target group who are likely to be illiterate, socially marginalized, older, disabled and female than the general population.
- (iii) Protect SAGE beneficiaries from exploitation and abuse by ensuring maximum understanding of their rights under SAGE and means of addressing grievances.
- (iv) Minimize local level politicization of the programme by ensuring maximum understanding of eligibility criteria, geographical targeting decisions among the general public and political actors.
- (v) Build support for the programme amongst the general population by ensuring maximum understanding of the programme rationale and objectives.
- (vi) Build the profile of the programme amongst local Government staff, civil society ensuring all stake holders are aware of their roles and responsibilities in SAGE implementation.

## **15.3 Approach**

The concept of cash transfers is a fairly new in Uganda and has not been discussed a lot in the public and in the media both at national, district and even local community levels. Besides, the target group for the two schemes under SAGE: the Senior Citizen’s Grant (SCG) and the Vulnerable Families Support Grant (VFSG) are difficult to reach since they are more likely to be illiterate, older, disabled, female and socially marginalized than the general population.

This means that they are at increased risk of failing to access information provided by the programme about their rights and responsibilities within the programme, of mis-understanding the objectives of the programme and may be unable to provide feedback which might be relevant to both programme managers and policy-makers. Vulnerable individuals and families therefore need to be specifically targeted with communication messages, media and channels that can reach them in a language they understand. Given the access challenges experienced by these primary target audiences, there is need for more strategic messaging and using appropriate channels of passing of information. This will be accompanied by a strategic identification of target

audiences to be reached. It also means that the target audiences will have to be reached via a multi-media mix.

Face to face communication through meetings and workshops will be the primary form of communication within the programme. Local government officials will receive specific training on this. SAGE will develop training curricula, cascading from the national, district right down to the local communities and this training will be one of the primary mechanisms for sending messages from national level down to communities.

Moreover, given that different people will need different information at different times during programme implementation, the SAGE communications strategy is based firmly on the programme cycle at district and sub-county level.

## **15.4 Key SAGE target audiences**

For the communication strategy to be effective, it is necessary to identify the most critical audiences to be reached with messages. The strategy broadly groups the audiences in two categories: Primary and Secondary. The secondary audiences in this case are the potential collaborators. These include care givers and neighbours of the aged and vulnerable families, religious leaders as well as NGOs, CBOs and other civil society organizations operating in the communities. It is essential for the implementers of this strategy to ensure that all primary and secondary audiences are reached systematically.

Primary audiences include: older people who are potential beneficiaries of the Senior Citizen's Grant (SCG) scheme, vulnerable families who may qualify for the Vulnerable Families Support Grant (VFSG), and others who are responsible for the implementation of SAGE at various levels of the district. These include: District and Urban Authority Local Governments, Sub county and Division Local Governments, Parish Chiefs, LC 1 Chairpersons and Parish Development Committees.

### **15.4.1 Primary Audiences**

#### **(i) Senior citizens**

These are people who are 65 years of age and above and are therefore primary beneficiaries of the SCG. They will need to know about the existence of this grant, the eligibility criteria, the geographical targeting and how to get enrolled into the programme. They need to know how and where to go for the cash grants as well as where to lodge their grievances in case they are dissatisfied with any aspects of the programme.

#### **(ii) Vulnerable Families**

Vulnerable Families who are potential beneficiaries (poor, disabled, with many young orphans and the elderly) of the VFSG need to be made aware of SAGE,

eligibility criteria for vulnerable families to be enrolled, and how, where and when to be enrolled. They also need to know the rights of beneficiaries and where and to whom to report any grievances they may have.

### **(iii) District Local Government officials**

The Chief Administrative Officer (CAO) at the district will have the overall responsibility for SAGE programme funds and results and for ensuring that the rest of the government staff assigned to SAGE carry out their roles effectively. The CAO is responsible for explaining and advocating for the SAGE programme to the other leaders at the district like the District Councilors and the Resident District Commissioner. The CAO will therefore need to be well acquainted with what SAGE is all about, the eligibility criteria, the geographical targeting, the grievance procedure, etc so that he/she can hold the SAGE officers accountable for effective implementation.

The Social Services Sub-committee at the district level is responsible for providing oversight to the implementation of SAGE at district level and therefore need to be kept well informed about all aspects of SAGE.

Other district officials who are critical in SAGE implementation include the District Community Development Officer, the District Planning Officer, the District Chief Financial Officer and the District Population Officer. They will need print materials like brochures and posters which they will use to disseminate information on SAGE to other stakeholders and interested parties at the district.

### **(iv) Sub-county level officials**

These include the Assistant Sub-county Community Development Officers and Sub-county Chiefs. They provide oversight and coordination of SAGE activities at parish level. They will need basic information about SAGE so that they can pass it on to those at the parish level and also be able to supervise the programme.

### **(v) Officials and leaders based at the Parish and Village levels**

The Parish Chiefs, Members of the Parish Development Committees and the Local Councils led by the Village Chairpersons are the ones who interface with SAGE beneficiaries and potential beneficiaries. They therefore need to be well-informed about SAGE so that they can explain it to the beneficiaries and potential beneficiaries. They are the first point of call for beneficiaries in terms of recruitment, follow up and the grievance process.

## **15.4.2 Secondary Audiences**

### **(i) Care givers and neighbours of target group**

The care givers and neighbors of the elderly and vulnerable families are important stakeholders since they can pass information or explain it further to potential beneficiaries and those registered in the SAGE programme. In most cases they are the primary sources of information to the vulnerable groups.

### **(ii) Religious leaders**

Religious leaders like the clergy, priests, pastors and Imams are usually trusted and have influence on the followers of their particular religions. They are also mainly concerned with the disadvantaged. Besides, they have a captive audience of members of their congregation every week. They will need to be brought on board to pass on information about SAGE to potential beneficiaries and actual beneficiaries.

### **(iii) NGOs, CBOs and other civil society organizations**

NGOs, CBOs and other civil society organizations that are operating in areas where SAGE is operating are important potential collaborators and stakeholders and will need to be brought on board. They are potential partners in creating awareness and encouraging qualified elderly and vulnerable families in their areas of operation to participate in the programme.

### **(iv) The Media**

The media at the district level, especially FM Radio stations are listened to by a lot of people, especially the news, announcements and talk shows. They need to be mobilized to inform and educate the public about SAGE as part of their corporate social responsibility.

## **15.5 Proposed Channels**

Preliminary analysis shows that the following constitute the main sources of information in SAGE district communities:

- The Local Council Chairman 1 is the main source of information to the people in the community.
- Radio Talk shows on the local FM stations provide a source of information and a good opportunity for discussions and dialogue on topical public issues in the community.
- Print materials (like posters and brochures) in the local languages for reference and also to be able to share information uniformly among various community members. Print materials also supplement and complement information given out in one-off events like meetings.
- Folk media (i.e. music, dance and drama) is very effective in mobilizing people from the rural communities.
- Face-to-face sensitization meetings/community *barazas* are effective in introducing new ideas and giving the community opportunity to discuss, ask questions and give answers.
- Religious leaders, cultural leaders, NGOs, CBOs, schools and health facilities are viable mobilization agents for the community.
- A combination of radio, print media and face-to-face meetings reinforces the campaign message among the target audiences (different approaches need to be used to reinforce the message).

These channels will be further confirmed by the Communications Baseline Survey that will be done by ESP.

## 15.6 Key Messages

More specific key messages will be developed to address the needs of the various audiences. However, they will attempt to give correct information and correct mis-representation:

- Cash transfers provide a minimum floor for the extremely poor in the communities to meet basic needs of life.
- Cash transfers are not just hand-outs - they are a development strategy. It is about the government sharing the burden of looking after the poor, to (partly) relieve people who look after them, to invest elsewhere.
- Cash transfers have been done in many countries around Africa with resounding success and impact on poverty; they will therefore work successfully in Uganda as well.
- Cash transfers support the work of Local Governments by giving the poorest and hard to reach population ability to participate thereby improving service delivery ratings of local governments.
- Cash transfers enable local leaders to reach out to the most disadvantaged in their communities.
- Cash transfers improve access and consumption of social services.
- Cash transfers reduce income poverty, improve access to social services and empower the poor to engage in more productive investment.
- Cash transfers improve purchasing power, stimulate demand for goods and services, thereby boosting local economies.
- Cash transfers –directly or indirectly-benefit everyone in the community
- In *Boona bagawale*; Prosperity for all. Cash transfers make Uganda's development all inclusive, they bring all to participate in national development and progress.
- Social grants are affordable and Uganda can sustain them.
- Cash transfer will improve performance of other social services such as education, health.
- Cash transfers rather than encourage laziness, empower disadvantaged people to initiate productive activities for themselves.

## 15.7 Management Arrangements

The SAGE Manager – with the assistance of the Communications Officer – under the Social Protection Policy and National Framework Unit- is the overall in-charge of ensuring that the Programme is well understood for its successful implementation. The SAGE Manager with support of the communications officer ensures that information is packaged appropriately and communicated to the target audiences.

Conversely, it is the role of the Social Protection Learning Manager to ensure that evidence and information generated from implementation from the Monitoring & Evaluation is captured, appropriately packaged and used for driving the advocacy agenda.

The SAGE Manager, Policy Learning Manager and Communication officer works closely with the district staff to ensure that correct information is given out and also to document evidence to drive the policy agenda.

## 15.8 Action Plan

The following schedule shows what activities and events will be taking place at different times as a way of implementing the communication strategy.

<b>Time</b>	<b>Activity</b>	<b>Who's involved</b>
Early June 2011	<ul style="list-style-type: none"> <li>• ISSUES IDENTIFICATION WORKSHOP</li> <li>• An issues identification session will be organised to identify the varies issues in the different districts that would impact SAGE. Issues will be generated that will guide design and use communication messages to be used in IEC materials.</li> </ul>	<ul style="list-style-type: none"> <li>• ESP Secretariat</li> <li>• District SAGE Unit staff</li> <li>• District Population Officers</li> <li>• Communication Specialist.</li> </ul>
Late June 2011	<ul style="list-style-type: none"> <li>• Messages for IEC materials including posters, stickers, FAQs brochure will be developed.</li> </ul>	<ul style="list-style-type: none"> <li>• Ad Agency</li> </ul>
June 2011	<ul style="list-style-type: none"> <li>• Printing posters, stickers and FAQs brochures in English and the 8 languages spoken in the 14 target districts.</li> <li>• The quantity of the materials to be printed, the order and schedule for printing them in the different languages will depend on the roll out of the SAGE in the different districts starting with those where the exercise will start end ending with those where the exercise will take place a few years from now.</li> <li>• The first batch to be printed should be in Luganda for Kiboga, Rutoro for Kyenjojo and Kumam for Kaberamaido. These should accompanied by those in English for the 3 districts.</li> <li>• The posters and stickers should explain what SAGE is, who qualifies to participate, and how one can get registered and the roles and responsibilities of different players.</li> <li>• The order for printing the next batch of print materials for the next set of</li> </ul>	A printing press

	districts to be rolled out should be placed early enough. The next set if Akarimajong for Moroto and Napak, Pokoot for Nakapiripirit and Amudat, Alur for Nebbi and Zombo, Luo for Apac and Kole and Ateso for Katakwi.	
June 2011	<ul style="list-style-type: none"> <li>• Identify a radio advert company and sign a contract with them to develop scripts for jingles and spots messages, record them on CDs in English and the 8 different languages spoken in the 14 districts. Since Central Broadcasting Services (CBS) already has the scripts and CDs of the last Birth and Death Registration (BDR) campaign , they should be included among those to tender for this assignment.</li> <li>• It is recommended that 3 jingles and 3 spot messages should be produced.</li> <li>• These should be translated into the 8 languages spoken in the 14 districts. The order and schedule of translating them should be based on the BDR roll-out plan starting with Luganda for Kiboga(+Kyankwanzi later on), Rutoro for Kyenjojo(+Kyegegwa later on) and Kumam for Kaberamaido.</li> <li>• The next set of translations of jingles should be for the next set of districts to be rolled out. These are Akarimajong for Moroto (+Napak later on), Pokoot for Nakapiripirit (+Amudat later on) , Alur for Nebbi (+Zombo later on), Luo for Apac(+Kole later on) and Ateso for Katakwi.</li> <li>• Though the roll out in the district will not happen until some months later, it is recommended that the work of translating, and recording the jingles starts much earlier.</li> </ul>	A radio advert company
July 2011	<p><b>KYENJOJO:</b></p> <ul style="list-style-type: none"> <li>• Start playing jingles and spots in English and Rutoro on Kyenjojo FM, hold talk shows on Kyenjojo FM sensitizing the listeners on what SAGE is about and qualifies to register for it, etc. Start with jingles and spots 3 times a day for the first 4 weeks and twice a week for the rest of the life time of the project.</li> <li>• Distribute IEC print materials in English and Rutoro during SAGE training sessions at Sub County and Village levels to Village Chairpersons, head teachers of primary schools, health centre heads and representatives of CBOs and NGOs. The order of distribution should depend on the SAGE roll out in the different sub counties.</li> </ul>	<p>Kyenjojo FM Radio Kiboga Delta FM in Soroti</p> <p>CAO, LCV Chairperson, District SAGE Unit</p>

	<p><b>KIBOGA:</b></p> <ul style="list-style-type: none"> <li>• Start playing jingles and spots in English and Luganda on Radio Kiboga, hold talk shows on the same radio station</li> <li>• Start distribution of IEC materials starting with the sub counties and parishes based on the SAGE roll-out plan</li> </ul> <p><b>KABERAMAIDO:</b></p> <ul style="list-style-type: none"> <li>• Start playing radio jingles and spots with SAGE Messages on Delta FM in Soroti that has Kumam language and hold talk shows on the same station.</li> <li>• Start distribution of SAGE posters, stickers and Frequently Asked Questions brochures during training at sub county and parish levels.</li> </ul>	
July 2011	<ul style="list-style-type: none"> <li>• Identify a music composer in Kampala who will compose folk songs with popular tunes with SAGE messages and sign a contract with him/her to compose a song in English which will be translated and recorded on CDs into the 8 languages spoken in the 14 target districts. To cut down costs, two languages that are related can be combined in one song (1. Luganda-Rutoro, 2. Luo-Alur,3. Ateso-Kumam, and 4. Akarimajong-Pokoot). The order of translating the songs will depend on SAGE roll-out schedule starting with the languages spoken in the districts that will be started with i.e. Kyenjojo, Kiboga and Kaberamaido.</li> <li>• The CDs of this music will be distributed to different FM Radio Stations in the target districts and they will be requested to play it regularly. They will also be played at training sessions for awareness creation. Music shops in different trading centres in the districts will be requested to play this music regularly.</li> </ul>	Music composer
July 2011	<ul style="list-style-type: none"> <li>• SMS DATA BASE: request the CAO'S Office working with the District Community Development Officer to compile a mobile phone data base of all sub county chiefs, parish chiefs and Village Chairpersons. This list will be used to send bulk SMS messages at different times reminding the target audience to carry out SAGE registration.</li> </ul>	CAO's office, District Community Development Officer
Aug –Oct 2011	<ul style="list-style-type: none"> <li>• Start airing jingles and radio spots in the next set of districts for roll out: Moroto, Nakapiripirit, Nebbi, Apac and Katakwi.</li> <li>• After a week or so distribute the print materials alongside the training of sub county chiefs, parish chiefs and Local Councillors at Village level that will be</li> </ul>	LC5 Chairperson, District SAGE Units and the most listened to FM Radio station to in

	<p>involved in the SAGE exercise.</p> <ul style="list-style-type: none"> <li>• At least 4 talk shows per district should be held. The first 2 before the SAGE exercise begins and the next 2 during and after it has started.</li> <li>• SMS messages for reminding the sub county chiefs, parish chiefs and LC 1 Chairpersons to continue the SAGE exercise should be sent out at least every two weeks starting in October to the end of the project.</li> </ul>	Moroto, Nakapiripirit, Nebbi, Apac and Katakwi
Mar-April 2012	<ul style="list-style-type: none"> <li>• Start airing jingles and radio spots in the next set of districts for roll out: Amudat, Kyegegwa, Kyankwanzi, Zombo, Kole and Napak.</li> <li>• This should be followed by the distribution of print materials alongside the training of sub county chiefs, parish chiefs and Local Councillors at Village level that will be involved in the SAGE exercise.</li> <li>• At least 4 talk shows per district should be held. The first 2 before the SAGE exercise begins and the next 2 during and after it has started.</li> <li>• SMS messages reminding sub county chiefs, parish chiefs and Village Chairpersons to continue the SAGE exercise should be sent out at least twice a week till the end of the project.</li> </ul>	LC5 Chairperson, District SAGE Units and the most listened to FM Radio station to in Amudat, Kyegegwa, Kyankwanzi, Zombo, Kole and Napak
Jan 2012-Jan 2015	<ul style="list-style-type: none"> <li>• The campaign will be continued in all the 14 districts for the life time of the project.</li> <li>• The print materials like posters, stickers and FAQs brochures that have been included in the budget section should be apportioned and distributed over the life-time of the project since new officials are likely to be recruited during the life time of the project. IEC materials tend to fade with time. It is therefore necessary to have more copies distributed every year.</li> <li>• The jingles and spots will need to be intensified at the start of the campaign but the frequency can be reduced over time. It is recommended that the jingles and spots should run 3 times a day for the first 4 weeks and after that 2 times a week for the next 40 months.</li> <li>• For the radio talk show, one talk show per month for the first 3 months is recommended. After this there could be 1 talk show for every 3 months for the next 40 months so that the public can be regularly reminded about the importance of participating in SAGE.</li> </ul>	

---

---

## 16. GETTING STARTED

---

This chapter describes which investments and preparatory activities have to be undertaken for setting up SAGE. It highlights the different procurement, recruitment, office set-up, MIS testing, training required before the pilot can start in each of the districts.

### **In Summary**

- Preliminary birth registration
- Procurement
- Recruitment
- Account opening
- Training
- Sequencing of sub-counties and allocation of targeting mechanisms
- Set-up of payments agents

### **16.1 National operations**

The SAGE unit at the Secretariat will develop a number of key operational manuals including the finance and procurement manual and human resources manual. The proposed methodologies in the implementation manual will be tested at district level with local government and communities, refined and corresponding changes made to the manual. The pre-financing arrangement will be set-up by the managing consultant and fiduciary control guidelines set-up in advance of the payment service provider being contracted. The MIS database will be tested and piloted across all operational steps (targeting – registration – payments – change management – monitoring – reporting). Information campaigns and training materials will be prepared by the SP Secretariat in advance of these being rolled out at district level.

### **16.2 District SAGE operations**

- P.S. MGLSD and CAOs will sign an MoU witnessed by MoLG.
- SP Secretariat will provide annual SAGE budget and request incorporation into district budgets.
- SAGE will be incorporated into the agenda of the District Social Services Sub-Committee.
- CAO will request authorisation from MoFPED for the opening of a Project Specific Account.
- District project accountant will be nominated.

- P.S. MGLSD will authorise disbursement of first quarterly budget to district General Accounts.
- P.S. MGLSD will request CAOs to accommodate SAGE teams within Community Development Department offices.
- Districts will be provided with computer equipment, a vehicle, emergency power supply, office equipment and the SAGE MIS will be installed. Sub-counties will be provided with equipment and refurbishment grants.
- A joint recruitment exercise will be conducted between the SP Secretariat and the local government authorities for the 3 new district SAGE positions.
- New district staff will be inducted in Kampala
- New district staff posted to the districts – inception report to be written
- Implementation will start with DT1, DT2 and DT3.
- Sequencing of sub-counties and parishes agreed with UBOS and the M&E and Payments Service Providers.
- A workplan and communications strategy will be developed by the District SAGE Unit and sent for approval by the SAGE Operations Manager.
- Sub-county budgets will be communicated to Sub-County Chiefs.
- Agent recruitment plan shared by PSP

---

## ANNEX I. ROLES AND RESPONSIBILITIES IN THE SAGE IMPLEMENTATION CYCLE

---

### ***Step 1: Completing SCG Registration Forms***

After the completion of DT6 – Training of Parish Chiefs, PDCs and Village Chairpersons - village chairpersons return to their communities and convene a village council meeting to distribute *SCG Registration Forms* to all potential SCG beneficiaries in their village ready for review by the Parish Chief at the next Village Council meeting (also referred to as DT7).

#### **Role of the Village Chairpersons**

- Using local records and knowledge of community members, distribute *SCG Registration Forms* to all potential SCG beneficiaries, using the following criteria:
  - Each person must be a Ugandan citizen
  - Each person must reside in the community for at least one year
  - Each person must be 65 years or older (60 years in Karamoja), or be turning 65 during the current calendar year
- Support applicant to complete the *Village SCG Beneficiary Identification Form*.
- Publicly announce the date of the Village Council meeting that will review and finalize the SCG Beneficiary List (also known as DT7).
- Inform all Potential Beneficiaries of the need to provide proof of eligibility when necessary.

**Step 2: SAGE Community Orientation and Verification of SCG Beneficiary List**

A Village Council meeting is convened, facilitated by the Parish Chief, to explain the SAGE Senior Citizen’s Grant and verify the eligibility of applicants. Each application is publicly announced. Individual applicants are then verified by the Parish Chief and proof of eligibility recorded. In cases where individuals lack a form of identification, the Village Council verifies eligibility and letters confirming identity are issued. A final village SCG Beneficiary List is generated as an Annex to the Village Council meeting minutes and publically posted. NOTE: This process is repeated annually to ensure that all newly eligible older people are able to enrol.

Role of the Village Chairpersons	Role of the Parish Chief
<ul style="list-style-type: none"> <li>• Convenes the village council meeting on a date agreed with the Parish Chief and requests all SCG applicants to attend with their ID.</li> <li>• Distributes <i>SCG/VFSG Registration Forms</i> <b>free of charge</b> to applicants and counter-signs completed forms.</li> <li>• Takes minutes of the Village Council meeting and submits to the Parish Chief.</li> <li>• Issues and counter-signs a <i>Resident’s ID Card Request Form</i> <b>free of charge</b> to all beneficiaries or authorised recipients confirming their identity to allow them to apply for a Resident’s ID card.</li> <li>• Accompanies Parish Chief on any homestead visits to verify eligibility.</li> <li>• Completes the <i>Annex to the Village Council Meeting Minutes</i> which list all verified applicants.</li> <li>• Posts a copy of the final beneficiary list in a public place after the meeting.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensures quorum and participation of women, people with disabilities and older people in particular.</li> <li>• Explains the SAGE SCG and reads out a letter from the MGLSD.</li> <li>• Verifies the eligibility of all applicants by referring to official documentation (e.g. voters’ cards) and adds the serial number of the ID provided to column (f) of the <i>Village SCG Beneficiary identification Form</i>.</li> <li>• Oversees eligibility verification procedures conducted by the Village Council for applicants with no ID.</li> <li>• Completes Side 2 of the <i>SCG/VFSG Registration Form</i></li> <li>• Counter-signs the <i>Annex to the Village Council Meeting Minutes</i> which lists all verified applicants.</li> <li>• Visits the homestead of any older person deemed eligible by the Village Council who was unable to attend the Council meeting in person to confirm their eligibility.</li> <li>• Explains the roles and responsibilities of Alternative Recipients.</li> <li>• Communicates enrolment dates, location and procedures (need to bring ID) to beneficiaries.</li> <li>• Submits the following to the Sub-County CDO:               <ul style="list-style-type: none"> <li>- The Village Council Meeting minutes and the <i>Annex to the Village Council Meeting Minutes</i>.</li> </ul> </li> </ul>
<p><b>Role of Potential Beneficiaries</b></p>	
<ul style="list-style-type: none"> <li>• Completes SCG Registration Forms and seeks counter-signature by the Village Chairperson.</li> <li>• Attends the Village Council Meeting with any identification available.</li> </ul>	
<p><b>Role of Village Council</b></p>	
<ul style="list-style-type: none"> <li>• Verify applications of people who lack official documentation with reference to the official calendar of national historical events (Annex X) or other locally relevant events.</li> </ul>	

**Step 3: Issuing Resident’s ID cards to beneficiaries and recipients who do not have a Voter’s card**

All SAGE SCG beneficiaries (or their Authorised Alternate Recipient) will need a photographic ID in order to enroll with the Payment Service Provider. Any beneficiary that lacks a photo ID will therefore have to apply for a Resident’s ID card from the Sub-County Chief prior to the enrolment day. Sub-County Chiefs will require a signed letter from a Village Chairpersons confirming the identity of such individuals before they can issue a Resident’s ID card and applicants will also need to provide a photograph for the card.

<b>Role of Beneficiaries or Authorised Alternate Recipients</b>	<b>Role of the Parish Chief</b>
<ul style="list-style-type: none"> <li>• Requests Village Chairpersons to issue <i>Resident’s ID Request Form</i>.</li> <li>• Purchase a photograph of themselves from a local ‘cameraman’.</li> <li>• Travel to the Sub-County Chief’s office to collect a Resident’s ID card.</li> </ul>	<ul style="list-style-type: none"> <li>• Verifies that all <i>Residents ID Request Forms</i> are correctly completed.</li> </ul>
<b>Role of the Village Chairpersons</b>	<b>Role of the Sub-County Chief</b>
<ul style="list-style-type: none"> <li>• Completes <i>Residents ID Request Forms</i> (Annex VIII) for beneficiaries or Authorised Alternate Recipients who lack a voter’s card.</li> </ul>	<ul style="list-style-type: none"> <li>• Verifies and files Resident’s ID Card Request Forms</li> <li>• Issues Resident’s ID Cards</li> </ul>

#### **Step 4: Training by the PSP**

Prior to enrolment all targeted beneficiaries will travel to a nearby trading centre or sub-county headquarters at the agreed date and time to receive training on how to use the MTN MobileMoney service. Beneficiaries learn how to use the SIM card with the EasyTalk phones, how to change their PIN numbers and how to report problems to MTN. MTN staff will check off all trainees on the beneficiary list to ensure that all beneficiaries receive training and that the programme is able to provide supplementary training at the enrolment point to any beneficiaries that miss the main training day.

<b>Role of Beneficiaries or Authorised Alternate Recipients</b>	<b>Role of the Sub-County Chief</b>
<ul style="list-style-type: none"><li>• Travel to the training point on the agreed date and time.</li></ul>	<ul style="list-style-type: none"><li>• Communicate with Parish Chiefs to ensure that any missing beneficiaries are contacted and instructed to attend training.</li></ul>
<b>Role of the Village Chairpersons</b>	<b>Role of the Sub-County (A)CDO</b>
<ul style="list-style-type: none"><li>• Mobilise beneficiaries on the agreed date.</li></ul>	<ul style="list-style-type: none"><li>• Oversee the training events ensuring training is adequate and appropriate.</li><li>• Check participants off beneficiary list.</li><li>• Communicate with Parish Chiefs to ensure that any missing beneficiaries are contacted and instructed to attend training.</li><li>• Submit written progress report to District SAGE Unit on completion of training providing details of any beneficiaries who missed training as well as any other emerging issues.</li></ul>
<b>Role of the Parish Chief</b>	<b>Role of MTN staff</b>
<ul style="list-style-type: none"><li>• Attend the training day and support the organization of the event.</li><li>• Communicate with Village Chairpersons to ensure that any missing beneficiaries are contacted and instructed to attend training.</li></ul>	<ul style="list-style-type: none"><li>• Train beneficiaries.</li><li>• Check trainees off the Enrolment List and report back to District SAGE Unit on any missing trainees.</li></ul>

### **Step 5: Enrolment by the PSP**

Prior to receiving their first payment, all SAGE SCG beneficiaries must register as MTN MobileMoney customers, collect their SIM card and choose a PIN number.

<p><b>Role of Beneficiaries</b></p> <ul style="list-style-type: none"> <li>• Travel to the enrolment point on the agreed date and time, <i>or</i></li> <li>• Complete an <i>Alternative Recipient Authorisation Form</i> and get it countersigned by the Village Chairperson and Parish Chief.</li> <li>• Choose, memorise and safeguard a PIN number.</li> </ul>	<p><b>Role of the Sub-County Chief</b></p> <ul style="list-style-type: none"> <li>• Oversee the enrolment event.</li> <li>• Verifies eligibility and checks IDs prior to authorising enrolment.</li> <li>• Communicate with Parish Chiefs to ensure that any missing beneficiaries are contacted and instructed to attend training.</li> </ul>
<p><b>Role of Authorised Alternate Recipients</b></p> <ul style="list-style-type: none"> <li>• Travel to the enrolment point on the agreed time and date.</li> <li>• Present the ID of the beneficiary + their own ID + a completed Alternative Recipient Authorisation Form at the enrolment point.</li> </ul>	<p><b>Role of the Sub-County (A)CDO</b></p> <ul style="list-style-type: none"> <li>• Oversee the enrolment event and checks of applicants as they arrive at the enrolment point.</li> <li>• Verifies eligibility and checks registration forms and IDs prior to authorising enrolment.</li> <li>• Communicate with Parish Chiefs to ensure that any missing beneficiaries are contacted and instructed to attend training.</li> <li>• Submit written progress report to District SAGE Unit on completion of enrolment providing details of any emerging issues.</li> </ul>
<p><b>Role of the Village Chairpersons</b></p> <ul style="list-style-type: none"> <li>• Mobilise beneficiaries on the agreed date.</li> </ul>	<p><b>Role of MTN staff</b></p> <ul style="list-style-type: none"> <li>• Check VSVG/SCG Registration Forms have been authorised by the Sub-County Chief/CDO.</li> <li>• Issue a SIM card to each beneficiary and record the number on the electronic enrolment list.</li> <li>• Support beneficiaries/recipients to complete the MobileMoney registration form.</li> </ul>
<p><b>Role of the Parish Chief</b></p> <ul style="list-style-type: none"> <li>• Support the organization of the event.</li> <li>• Communicate with Village Chairpersons to ensure that any missing beneficiaries are contacted and instructed to attend enrolment.</li> </ul>	

### **Step 6: Monthly Payment Delivery**

Every month, UGX 23,000 will be credited to the account of each registered beneficiary after which beneficiaries/recipients will be free to withdraw their entitlement in one or multiple installments. Alternatively, a beneficiary may choose to save all or part of their monthly entitlement and withdraw it at a later stage – perhaps to pay for a larger expense such as school fees. When beneficiaries/recipients come to collect their payment they will need to travel to their nearest paypoint with their ID and MTN SIM card and use the EasyTalk phones as explained to them during training. Beneficiaries/recipients will also be required to sign the MTN agents Transaction Book to acknowledge receipt of payment.

<b>Role of Beneficiaries or Authorised Alternate Recipients</b>	<b>Role of Sub-County (A)CDO</b>
<ul style="list-style-type: none"> <li>• Travel to the paypoint at the correct date and time.</li> <li>• Bring SIM (and PIN) to the paypoint.</li> <li>• Take their ID (voter’s card or Resident’s ID card) to the paypoint.</li> <li>• Sign the Transaction Book to acknowledge payment.</li> <li>• Report any problems to MTN using the toll-free complaints number.</li> </ul>	<ul style="list-style-type: none"> <li>• Visit their Sub-County’s paypoints at least once every month to observe payments services.</li> <li>• Conduct spot checks of Transaction Books and interview beneficiaries on their experiences.</li> <li>• Submit written progress report to District SAGE Unit covering any emerging issues.</li> </ul>
<b>Role of the Village Chairpersons</b>	<b>Role of MTN Agents</b>
<ul style="list-style-type: none"> <li>• Report any problems which have been unresolved by MTN to the Parish Chief.</li> <li>• Ensure community members understand their rights.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure they have adequate float – in correct denominations - to make payments.</li> <li>• Ensure paypoint is open for business for at least 40 hours in the 5-day payment window.</li> <li>• Verify ID of recipient prior to payment.</li> <li>• Complete the Transaction Book for each payment</li> <li>• Report any equipment failures to MTN immediately.</li> <li>• Support any recipient to submit complaints or account management requests to MTN as necessary.</li> </ul>
<b>Role of the Parish Chief</b>	
<ul style="list-style-type: none"> <li>• Ensure they are available at appropriate times to receive complaints from any beneficiaries who experience problems at the paypoint.</li> <li>• Complete official complaints forms on behalf of beneficiaries as appropriate and pass them on to the Sub-County (A)CDO in a timely manner.</li> </ul>	

**Step 7: Monthly meetings between Parish Chiefs, Village Chairpersons and PDC members**

At least once a month a formal meeting will be held between the Parish Chief and each of the Village Chairpersons and PDC representatives in the Parish to review programme progress, identify challenges and communicate decisions. Prior to these meetings Village Chairpersons will complete all necessary management forms ready for submission to the Parish Chief. Any beneficiary experiencing problems with the programme should accompany their Village Chairperson to the meeting if they have not already submitted a direct complaint to the Parish Chief. These meetings will be held just prior to the monthly SAGE Sub-County Coordination Meeting.

<b>Role of the Village Chairpersons</b>	<b>Role of the Parish Chief</b>
<ul style="list-style-type: none"> <li>• Ensure they attend the meeting at the agreed time and place.</li> <li>• Ensure that any SAGE beneficiaries experiencing problems with SAGE service delivery who have not already submitted a complaint to the Parish Chief to submit formal complaints if necessary.</li> <li>• Complete any <i>Death Notification Forms</i> and submit to the Parish Chief.</li> <li>• Complete any <i>SCG Beneficiary Departure Forms</i> and submit to Parish Chief.</li> <li>• Communicate any information or decisions to SAGE beneficiaries after the meeting.</li> </ul>	<ul style="list-style-type: none"> <li>• Agree a regular timer and place for the meeting to take place with the Village Chairpersons.</li> <li>• Ensure they are present on the allocated time and date for the meeting.</li> <li>• Check correct completion and countersign all forms submitted by the Village Chairpersons.</li> <li>• Ensure that they have an accurate understanding of any emerging issues ready for discussion at the Sub-County Coordination Meeting.</li> <li>• Complete official complaints forms on behalf of any beneficiaries.</li> <li>• Communicate any decisions or information received from the Sub-County.</li> <li>• Payment of allowances to Village Chairpersons and PDC members (assuming satisfactory performance).</li> </ul>
<b>Role of PDC representatives</b>	
<ul style="list-style-type: none"> <li>• Ensure that the Village Chairperson is aware of all deaths or departures of SAGE SCG beneficiaries.</li> <li>• Support the Village Chairperson to complete any SAGE management forms as necessary.</li> <li>• Ensure that all complaints and other emerging issues are adequately understood by the Village Chairperson and communicated to the Parish Chief.</li> <li>• Communicate any information or decisions to SAGE beneficiaries after the meeting.</li> </ul>	

**Step 8: Monthly Sub-County Coordination Meetings**

Each month a meeting will be convened directly after the monthly SAGE payment period between the Sub-County CDO and all Parish Chiefs in the sub-county to review programme progress, discuss any problems or emerging issues and pass on any completed SAGE management forms. A *Sub-County Grievance Tracking Sheet* will be reviewed to ensure that all complaints are systematically recorded. The information received by the Sub-County CDOs will then be used to inform District SAGE Management Meetings. The Sub-County Coordination meetings will also be used to advance allowances to the Parish Chiefs and for the Parish Chiefs to submit accountabilities for previous payments.

Role of the Parish Chiefs	Role of the Sub-County (A)CDO
<ul style="list-style-type: none"> <li>• Communicate any information or decisions to SAGE beneficiaries, Village Chairpersons or PDC members after the meeting.</li> <li>• Ensure they attend on the allocated time and date for the meeting.</li> <li>• Submit any correctly completed <i>Death Notification</i> and <i>Departure Notification</i> Forms to the Sub-County CDO.</li> </ul>	<ul style="list-style-type: none"> <li>• Check correct completion and countersign forms submitted by the Parish Chiefs.</li> <li>• Ensure that they have an accurate understanding of any emerging issues ready for discussion at the District SAGE Management Meeting.</li> <li>• Review the <i>SAGE Sub-County Grievance Tracking Sheet</i> (Annex X) and add any newly submitted complaints in columns A-E.</li> <li>• Decides whether complaints can be resolved locally or requires referral to the District SAGE Unit.</li> <li>• Communicate any decisions or information received from the District SAGE Unit to Parish Chiefs for onward communication to beneficiaries.</li> <li>• Repeatedly reviews all ‘open’ complaints until they are finally resolved.</li> <li>• Pay allowances to Parish Chiefs including those for onward payment to Village Chairpersons and PDC representatives (assuming satisfactory performance) and collect accountabilities.</li> </ul>
Role of Sub-County Chief	
<ul style="list-style-type: none"> <li>• Chair the meeting.</li> <li>• Agree a mutually convenient, regular time and place for the meeting to take place with the Village Chairpersons.</li> </ul>	

### **Step 9: Quarterly Village Council Meetings**

Every three months Parish Chiefs will attend a Village Council meeting in every village in the Parish. In addition to providing an opportunity for the community to discuss local development plans, challenges and resolve disputes, the Village Councils will be encouraged to provide feedback to the Parish Chief on SAGE implementation. Parish Chiefs will also use the opportunity to receive any complaints and communicate any decisions or other information about the programme to the community.

<b>Role of Village Chairpersons</b>	<b>Role of the Parish Chiefs</b>
<ul style="list-style-type: none"><li>• Agree a convenient time for the meeting with the Parish Chief and ensure that all community members are provided with adequate advance warning of the meeting.</li><li>• Chair the meeting.</li><li>• Ensure that minutes of the meeting are taken.</li></ul>	<ul style="list-style-type: none"><li>• Ensure they attend the Village Council meeting on the allocated time and date.</li><li>• Complete any <i>Death Notification</i> and <i>Departure Notification</i> or <i>Complaints</i> Forms as necessary.</li><li>• In the case of the first quarterly Village Council meeting after annual targeting, hear any appeals and complete any necessary <i>Appeals Adjudication</i> and <i>Enrolment Request Forms</i> as necessary.</li><li>• Discuss any key emerging issues with the community and provide feedback on programme performance and learning.</li><li>• Communicate any information or decisions to SAGE beneficiaries, Village Chairpersons or PDC members.</li><li>• Submit a written report to the Sub-County CDO immediately after completion of all Village Council meetings outlining any impacts, challenges or emerging issues.</li></ul>

---

## ANNEX II: REQUEST FOR VILLAGE COUNCIL MEETING

---

Village Chairperson

..... Village  
..... Parish  
..... Sub-County  
..... District

Date:.....

### **REQUEST FOR SUPPORT IN CONVENING A VILLAGE COUNCIL MEETING ON .....**

I am pleased to be able to inform you that your village has been selected to participate in the Senior Citizen's Grant component of the Social Assistance Grants for Empowerment (SAGE) pilot programme. This programme will provide small, regular cash grants to all older people aged 65 years and above in your community to help meet their basic needs, maintain their health and support them to live active and dignified lives.

As the District prepares to roll-out the programme to your community, I request your support in the following areas:

- 1) Distribution of *SCG Registration Forms* to all older people aged 65 years and above. These must be provided free of charge. A village council meeting should be convened for this purpose.
- 2) Issuance of letters confirming the identity of older people or their alternate recipients in the event that they lack an official form of photographic ID such as a voters card. Again these should be issued free of charge.
- 3) Convening a Village Council meeting on ..... at ..... so that your Parish Chief may orient your community on the programme's objectives, eligibility criteria and implementation procedures. Please ensure that all older people understand the importance of attending this meeting and of bringing any available ID with them for verification of eligibility.

As the programme moves forward with the registration exercise, please ensure that all members of your community understand that deliberate declaration of false information may be considered a criminal offence.

Thank you for your cooperation on this matter.

District Community Development Officer

---

ANNEX III: AUTOMATED SCG TARGETING CONFIRMATION FORM

---

TO:

Sub-County Chief

.....(Sub-County)

.....(District)

Date:.....

I ..... being Village Chairperson for .....

Village, .....Sub-County, .....

District hereby confirm that targeting for the Senior Citizen's Grant has included all eligible individuals in my community.

Signature .....

Date .....

Village Chairperson

---

## ANNEX IV: SCG REGISTRATION FORM (SIDE 1)

---

District Community Development Officer  
Community Services Department

..... District

Date:.....

Dear Sir/Madam,

Please accept this letter as a formal request for registration in the SAGE Senior Citizens Grant scheme.

I, (Mr/Mrs/Ms).....hereby solemnly confirm that:

- My date of birth is ..... / I am ..... years old.

I possess the following documentation which supports my application:

- Voter's card no. ....
- Birth certificate *no.* ....
- Baptism certificate *no.* ....
- Employer's letter dated .....
- None of the above .....

- I am a permanent resident of:

Village: .....

Parish: .....

Sub-County: .....

I understand that deliberate declaration of false information and/or forgery of official documentation may be considered a criminal offence.

Signature .....

Name:.....

Date .....

*Application supported by:*

Signature: .....

Name: .....

Date .....

**Village Chairperson**

**TO BE COMPLETED BY THE PARISH CHIEF AND VERIFIED BY THE SUB-COUNTY CHIEF OR CDO**

District Community Development Officer  
Community Services Department  
..... District

Date:.....

**REVIEW OF APPLICATION FOR THE SAGE SCG/VFSG**

As Parish Chief/SAGE Parish Facilitator for the Parish of ..... I hereby confirm that I attended the Village Council meeting for ..... Village where the application overleaf was reviewed. I can confirm that the Village Council confirmed that the applicant was:

ELIGIBLE / NOT ELIGIBLE (delete as appropriate) for the following reasons:

Parish Chief to write summary of Village Council’s decision

**FINAL VERIFICATION BY SUB-COUNTY CHIEF OR CDO**  
  
I have reviewed the applicant’s Registration Form and ID and confirm that I am satisfied that the applicant is eligible for the SAGE SCG (Please sign and stamp).

Signature: .....

Name: .....

Date .....

**Parish Chief**

**Guidelines for Using this Form**

- 1. This form must be provided to applicants to the SAGE SCG free of charge. Imposition of fees may be considered an offence.**
2. This form should be completed by individual applicants for the SAGE SCG (community registration) and counter-signed by the Village Chairperson.
3. The form should be retained by the applicant and submitted for verification to the Sub-County Chief or CDO at the enrolment point.
4. Sub-County authorization should be checked by MTN prior to enrolment.
5. MTN staff should collect all registration Forms and submit to the District SAGE Unit.

---

## ANNEX V: VILLAGE COUNCIL MEETING MINUTES

---

Date of meeting: ...../...../20.....

Village name: ..... Parish: ..... Sub-County: .....

District: .....

**Agenda:**

1. Introduction to the Social Assistance Grants for Empowerment (SAGE) programme.
2. Communication from the Minister of Gender, Labour and Social Development.
3. Verification of eligibility of SAGE applicants.
4. Authorisation of alternative recipients

Quorum: The total number of participants in the meeting: .....

Total number of eligible beneficiaries verified: .....

Date set for training of beneficiaries by MTN: .....

Issues raised by Village Council requiring clarification or response from Sub-County Chief/CDO or District Community Services Department (to be continued overleaf if necessary):

Name: .....

Name: .....

Signature: .....

Signature: .....

Village Council Secretary

Village Chairperson

*Witnessed by:*

Signature: .....

Parish Chief





I.....being Village Chairperson for the Village of ..... in .....Parish,.....Sub-County hereby confirm that a Village Council meeting was convened on .....<date> and that this Council meeting verified that the following individuals without official identification are Ugandans aged 65 years or above, have been permanent residents of my community for at least one year and are therefore eligible for the SAGE SCG.

**TABLE B: Applicants WITHOUT official identification (page 1)**

Mr/Mrs/ Ms (a)	First Name (as on ID) (b)	Surname (as on ID) (c)	Sex (M/F) (d)	Date of birth (e)	Rationale provided by village council

**TABLE B: Applicants WITHOUT official identification (page 2)**

Mr/Mrs/ Ms (a)	First Name (as on ID) (b)	Surname (as on ID) (c)	Sex (M/F) (d)	Date of birth (e)	Rationale provided by village council

Verified by:

..... Name, Village Chairperson

..... Signature

..... Date

..... Name, Parish Chief

..... Signature

..... Date

**N.B. ALL PAGES OF THIS FORM MUST BE STAMPED BY THE SUB-COUNTY CHIEF PRIOR TO SUBMISSION**

---

## ANNEX VII: BNF LIST SUBMISSION LETTER FROM S/C CHIEF

---

...../...../.....

TO: District Community Development Officer  
..... District

THRU: Sub-County Chief  
..... Sub-County

### **SUBMISSION OF ANNUAL SUB-COUNTY SCG BENEFICIARY LIST**

Please accept this letter as formal submission of the approved beneficiary list for this Sub-County. Please find attached the Minutes to the Village Council meetings at which the eligibility of all applicants was verified by the village councils and the respective Parish Chiefs.

The total number of individuals to be enrolled from this sub-county is:  
.....

..... (name)

..... (signature)

Sub-County CDO

---

# ANNEX VIII: SCG BENEFICIARY DEATH NOTIFICATION FORM

---

Community Development Officer

..... Sub-County

..... District

.....(date)

**NOTIFICATION OF DEATH OF .....**

**BENEFICIARY'S MOBILEMONEY ACCOUNT NUMBER: .....**

I.....(name) being .....  
(state relationship to deceased) of .....  
(name of deceased) of .....(Village).....(Parish)  
.....(Sub-County) *hereby solemnly confirm* that the  
above-mentioned beneficiary of the SAGE Senior Citizen's Grant died on .....  
(date).

I therefore request that a SAGE Transition Support Grant is credited to the beneficiary account and that I am registered as the official recipient to allow me to access this final payment.

Signature .....

Name:.....

Date .....

Signature .....

Name:.....

Date .....

**Village Chairperson**

Signature .....

Name: .....

Date .....

**Parish Chief**

Signature .....

Name: .....

Date .....

**Sub-County Chief**

### **Guidelines for using this form**

1. This form must be completed by the next of kin immediately upon the death of a SAGE SCG beneficiary.
2. This form must be counter-signed by the Village Chairperson prior to submission to the Parish Chief.
3. The Parish Chief must submit the completed form to the Sub-County CDO at the earliest available opportunity.
4. The form **MUST** be provided free of charge.

---

## ANNEX IX: SCG BENEFICIARY DEPARTURE FORM

---

Community Development Officer

..... Sub-County

..... District

.....(date)

**NOTIFICATION OF DEPARTURE OF .....**

I.....(name) being .....  
Village Chairperson of .....(Village).....(Parish)  
.....(Sub-County) confirm that the above-mentioned  
beneficiary of the SAGE Senior Citizen's Grant permanently relocated out of this  
community on ..... (date).

Signature .....

Name:.....

Date .....

**Village Chairperson**

Counter-signed by:

Signature .....

Name: .....

Date .....

**Parish Chief**

Signature .....

Name: .....

Date:.....

**Sub-County Chief**

### Guidelines for using this form

1. This form must be completed by the Village Chairperson upon the departure of a SAGE SCG beneficiary.

- 
2. The form should be submitted to the Parish Chief at the earliest available opportunity.

---

**ANNEX X: SAGE VILLAGE DISABILITY NOTIFICATION FORM<sup>22</sup>**

---

I ..... being Village Chairperson for  
 ..... Village,  
 .....Sub-County, ..... District

*hereby confirm that:*

Name:		
Sex of Disabled:	M / F	Age:
Household Number:		Birth certificate number:
District:		County:
Sub-county:		Parish:
Village:		

has been a resident of this Village for at least 6 months and became  
 permanently disabled on .....(date) as a result of:

.....  
 .....

I hereby request you conduct a full disability assessment using the SAGE  
 disability assessment forms.

Signature .....

Date .....

Village Chairperson

---

<sup>22</sup> To be printed in booklet form in duplicate. The original to be sent to the parish chief and duplicate to be retained by the Village chairperson.

### **Guidelines for Using this Form**

1. This form should be completed in the event of the permanent disablement of any member of a community participating in the VFSG.
2. This form should be completed by the Village Chairperson and submitted to the Parish Chief at the earliest available opportunity.
3. Any deliberate false declaration may be considered a criminal offence.

---

## ANNEX XI: SAGE PARISH DISABILITY NOTIFICATION FORM<sup>23</sup>

---

I ..... being Parish Chief for  
 ..... Parish,  
 .....Sub-County, ..... District

*hereby confirm that:*

Name:		
Sex of Disabled:	M / F	Age:
Household Number:		Birth certificate number:
District:		County:
Sub-county:		Parish:
Village:		

has been a resident of this Village for at least 6 months and became  
 permanently disabled on .....(date) as a result of:

.....  
 .....

I have conducted a full disability assessment using the SAGE disability  
 assessment forms and confirm that the above-named individual qualifies as  
 MODERATELY / SEVERELY (please circle the appropriate answer) disabled.

I therefore request that the records of the above named individual are updated  
 at the earliest possible opportunity.

Signature:.....

Date .....  
 Parish Chief

---

<sup>23</sup> To be printed in booklet form in duplicate. The original to be sent to the district via the sub county and duplicate to be retained by the parish chief.

### **Guidelines for Using this Form**

1. This form should be completed in the event of the permanent disablement of any member of a community participating in the VFSG upon notification by the Village Chairperson
2. This form should be completed by the Parish Chief and then submitted to the Sub-County (A)CDO at the earliest available opportunity.
3. This form should be passed by the Sub-County (A)CDO to the District SAGE Unit at the earliest available opportunity.
4. Any deliberate false declaration may be considered a criminal offence.

## ANNEX XII: VFSG RELOCATION & REASSIGNMENT FORM<sup>24</sup>

### Section 1. Details of Notification:

Date of Notification:	Name of Notifier:
Village:	Parish:
Sub-County:	District:

### Section 2. Details of Beneficiaries Relocating:

*The following individuals...*

Particulars of Beneficiary	Individual 1	Individual 2	Individual 3	Individual 4	Individual 5
Name: Family					
Other					
Sex					
Birth Certificate No.					
Household Number					

*Have joined the following households in the same community:*

Household No:					
---------------	--	--	--	--	--

*Alternatively, if they have moved out of this community please tick the box below under the corresponding individual and provide details where possible:*

Tick					
------	--	--	--	--	--

I the undersigned declare that the information contained on this form is correct to the best of my understanding

Parish Chief Signature: .....	Village Chairperson Signature:.....
Parish Name:.....	Village Name:.....
Date:.....	Date:.....

<sup>24</sup> To be printed in booklet form in duplicate. The original to be sent to the district via the sub county, the duplicate to be retained by the parish chief and triplicate used by the Village chairperson to update register.

### **Guidelines for Using this Form**

1. This form should be completed in the event of the relocation of any household member within villages participating in the VFSG.
2. All completed forms shall be completed by the Village Chairperson and submitted to the Parish Chief on a monthly basis.
3. The Parish Chief shall submit all completed forms to the Sub-County (A)CDO at the next Sub-County SAGE Coordination Meeting.
4. This form should be passed by the Sub-County (A)CDO to the District SAGE Unit at the next available District SAGE Coordination Meeting.
5. Any deliberate false declaration may be considered a criminal offence.

# ANNEX XIII: SAGE COMPLAINTS FORM<sup>25</sup>

## **Section 1. Complainant Details:**

Type of complaint (tick)	Individual	household	Community
Date of submission			Reference Number:
Name of complainant:			
Sex of complainant:	M / F	Age of complainant <sup>26</sup> :	
Beneficiary household?	Yes / No	Beneficiary number:	
ID number:			District:
County:			Sub-county:
Parish:			Village:

## **Section 2. Grievance Details:**

Complaint details:

Name of Parish Chief \_\_\_\_\_ Signature \_\_\_\_\_

## **Section 3. Resolution Details** (to be completed by Sub-County CDO or District SAGE Unit):

Details of resolution:

---

Nature of resolution:

---

Category of complaint:

Date of Resolution \_\_\_\_\_ Title of Official \_\_\_\_\_

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

### **Complainant's Copy**

Date of submission: \_\_\_\_\_ Reference Number: \_\_\_\_\_

<sup>26</sup> If a complainant's age is uncertain use age groups (e.g. 50-60)

### **Guidelines for using this form**

3. This form should only be used for complaints about programme service delivery. It should **NOT** be used for submission of appeals against targeting decisions.
4. If the complaint relates to the Payment Service Provider, the Parish Chief should first ensure that the complaint has been submitted to the Payment Service Provider and that adequate time has elapsed to allow the Payment Service Provider to address the problem.
5. Sections 1 and 2 only of this form should be completed by the Parish Chief on behalf of a complainant.
6. Section 3 should be completed either by the Sub-County CDO if resolved locally or by the District SAGE Unit if resolved at district level.
7. The bottom section of the form should be removed and handed to the complainant as a receipt.
8. The form should be passed to the Sub-County CDO at the earliest available opportunity and reviewed at the next Sub-County SAGE Coordination Meeting.

---

**ANNEX XIV: PSP SERVICE LEVEL AGREEMENT**

---

---

## ANNEX XV: CALENDAR OF NATIONAL HISTORICAL EVENTS

---

<b>Year/Period</b>	<b>Event</b>	<b>Implied Age</b>
1914 – 1918	First World War	88 – 92
1939 – 1945	Second World War	61 – 67
1958	LEGCO elections	49
1962	Independence Day	44
	Obote becomes Prime Minister	44
1967	Republication Constitution	40
	Obote becomes President	40
1969	Pope Paul VI visited Uganda	38
1971	Obote overthrown by Amin	36
1972	Expulsion of Asians	35
1975	Uganda hosts OAU	32
1977	Murder of Archbishop Luwum	30
1979	Amin's regime overthrown	28
1980	Obote returns from exile	27
	1980 elections	27
1985	Obote overthrown by Gen Tito Okello	22
1986	Museveni becomes president	21
1994	CA elections	13

---

ANNEX XVI: SCG APPEAL ADJUDICATION AND ENROLMENT REQUEST FORM

---

I.....,..... being Village Chairperson for the  
Village of ..... in ..... Parish,  
.....Sub-County, .....District

*hereby solemnly confirm that:*

(Mr/Mrs/Ms).....(forename).....(surname)

has been a resident of this Village for at least 6 months and is aged .....  
years of age as evidenced by (please tick as appropriate):

Birth certificate       Baptism certificate       Voter's card   
Employer's letter   
Other  (if other please specify) .....

Reference number of selected document: .....

Or was confirmed as such by the Village Council at its meeting  
on..... (date dd/mm/yyyy) on the following rationale:

.....  
.....

I therefore recommend that the above named individual is enrolled on the Senior Citizen's Grant.

Signature .....

Signature .....

Date .....

Date .....

**Village Chairperson**

**Parish Chief**

---

I ..... being CDO for the Sub county of ..... have  
therefore request that the above named individual be enrolled on the Senior Citizen's  
Grant. I have verified and confirmed on.....the  
following.....

.....

Signature .....

Date .....

## **Guidelines for Using this Form**

1. This form should be completed at the end of the DT7 Village Council meeting once all appeals have been heard and adjudicated upon.
2. The top part of this form should be completed by the Village Chairperson with the support of the Parish Chief.
3. The Parish Chief should then submit the form to the Sub County CDO at the earliest available opportunity.
4. The Sub-County CDO should review the form, verify the information and complete the bottom section prior to submission to the District SAGE Unit.
5. Any false declaration may be considered a criminal offence.

---

# ANNEX XVII: VFSG APPEALS ADJUDICATION AND ENROLMENT REQUEST FORM (SIDE 1)

---

I..... being Parish Chief for the Parish of ..... in  
.....Sub-County, ..... District *hereby solemnly confirm that:*  
the household of (Mr/Mrs/Ms).....(forename).....(surname)  
submitted an appeal against their exclusion from the Vulnerable Family Support  
Grant at the Village Council meeting on .....(date) on the following  
rationale:

- Excluded from preliminary birth registration exercise
- Error in preliminary birth registration exercise
- Other  (if other please specify) .....

I have therefore conducted a household structure assessment as per the records  
overleaf. I therefore request that the above named household VFSG assessment be  
reviewed.

Signature .....

Signature .....

Date .....

Date .....

Village Chairperson

Parish Chief

---

I ..... being CDO for the Sub county of .....  
therefore request that the above named household be enrolled on the VFSG  
component of the Social Assistants Grants for Empowerment programme at the  
earliest possible opportunity. The vulnerability score for the household is .....

Signature .....

Date .....

Community Development Officer

# ANNEX XVII: VFSG APPEALS ADJUDICATION AND ENROLMENT REQUEST FORM (SIDE 2)

## Household Structure Record:

Household No.					
Particulars of Beneficiary	Individual 1	Individual 2	Individual 3	Individual 4	Individual 5
Name: Family					
Other					
Sex:					
Disability status	None / Moderate / Severe	None / Moderate / Severe	None / Moderate / Severe	None / Moderate / Severe	None / Moderate / Severe
Parent survival status (children only)	Both alive / one alive / both dead	Both alive / one alive / both dead	Both alive / one alive / both dead	Both alive / one alive / both dead	Both alive / one alive / both dead
Birth Certificate No.					
Age based on birth certificate					

Particulars of Beneficiary	Individual 6	Individual 7	Individual 8	Individual 9	Individual 10
Name: Family					
Other					
Sex:					
Disability status	None / Moderate / Severe	None / Moderate / Severe	None / Moderate / Severe	None / Moderate / Severe	None / Moderate / Severe
Parent survival status (children only)	Both alive / one alive / both dead	Both alive / one alive / both dead	Both alive / one alive / both dead	Both alive / one alive / both dead	Both alive / one alive / both dead
Birth Certificate No.					
Age based on birth certificate					

## Number of household members by age group, gender, orphan and disability status:

	single orphan	double orphan	Not orphan	partial disability	severe disability	No disability	TOTAL
Age 0 to 2 years	5	10	2	5	5	2	
Age 3 to 5 years	5	10	2	5	5	2	
Age 6 to 10 years	5	10	2	5	5	2	
Age 11 to 15 years	5	10	2	5	5	2	
female 65 years +				15	35	15	
male 65 years +				15	35	15	
female 16 to 64				15	35	-10	
male 16 to 64				15	35	-10	
<b>TOTAL:</b>							

### Guidelines for Using this Form

1. The top part of this form only should be completed by the Parish Chief in the event that any appeals arise during the DT7 Village Council meeting.
2. The Parish Chief should then submit the form to the Sub-County CDO at the earliest available opportunity.
3. The Sub-County CDO should review the form, verify the information and complete the bottom section prior to submission to the District SAGE Unit.
4. Any false declaration may be considered a criminal offence.

## ANNEX XVIII: SUB-COUNTY GRIEVANCE TRACKING FORM

Sub-county							
Reference Number (a)	Date complaint submitted (b)	Name of complainant (c)	Location (Village/parish) (d)	Nature of complaint (e)	Action taken (f)	Feedback to complainant confirmed? (Y/N) (g)	Status (open/closed) (h)

### **Guidelines for Using this Form**

- 1.** This form should be safely stored by the Sub-County CDO and reviewed in every monthly sub-county SAGE coordination meeting.
- 2.** All official complaints received by the Parish Chiefs should be registered on this form by completing columns A to F
- 3.** Once a complaint is registered on this form the Sub-County CDO should decide whether the complaint can be resolved locally or not.
- 4.** If the complaint can be resolved locally the proposed resolution should be entered into Column F.
- 5.** If the complaint cannot be resolved locally 'Referred to District' should be entered into Column F.
- 6.** Once it has been confirmed that the complaint has been resolved and that feedback has been provided to the complainant by the Parish Chief then 'YES" should be entered into Column G and 'CLOSED' into Column H.

---

## ANNEX XIX: RESIDENT'S ID CARD REQUEST FORM

---

TO: Sub-County Chief

.....(Sub-County)

.....(District)

Thru:- The Parish Chief

.....(Sub-County)

.....(District)

**Issuance Of Resident's ID Card To: (Mr/Mrs/Ms).....**

This is to confirm that the bearer of this letter is a true resident of .....

..... Village .....Parish. He/she has been

selected/authorized as a beneficiary /recipient in the SAGE program. His/her details are

Household Number (if any).....

He/she does not have any form of identification and I therefore recommend him/her to you to authorize an identification card for him/her in order to enroll for SAGE. Attached is his/her passport photo that I have signed on the back.

*Countersigned by:*

Signature ...../Stamp

Signature: .....

Name:.....

**Parish Chief**

Date .....

**Village Chairperson**

## **Guidelines for Using this Form**

1. This form should be completed by the Village Chairperson on request by the beneficiary.
2. The form should be submitted to the Sub-County Chief by the applicant.
3. The Sub-County Chief shall file this form safely for accountability purposes.
4. **Sub-County residents ID Cards must be issued free of charge. Imposition of fees may be considered an offence.**

## ANNEX XX: SCG ALTERNATIVE RECIPIENT AUTHORISATION FORM

<b>Primary recipient's details:</b>			
First name:		Surname:	
Other name:		Birth Certificate No.	
Village:		Parish:	
Sub-County:		District:	
<b>Authorised representative's details:</b>			
First name:		Surname:	
Other name:		ID No.	

*I .....(name) hereby confirm that the above named person is authorized to register with the SAGE programme payment service provider as my authorized representative. I understand that neither the Ministry of Gender, Labour and Social Development nor MTN are responsible for the actions of my authorized representative.*

*I .....(name) agree to act as the above-named primary recipient's authorized representative and promise to hand-over the full SAGE payments to the beneficiary as agreed. I understand that failure to provide these funds to the intended individual may be considered a criminal offence.*

..... (name of primary recipient)  
 ..... (signature)  
 .....(date)  
 ..... (name of representative)  
 ..... (signature)  
 .....(date)

Witnessed by:

.....(name)  
 .....(signature)  
 .....(date)  
 Village Chairperson  
 .....(name)  
 .....(signature)  
 .....(date)

Parish Chief

This section to be completed by the District MIS Officer

Date posted into SAGE MIS:	
Name of Officer:	
Signature	

## **Guidelines for completing this form**

- 1.** The beneficiary informs the village chairperson that they wish to change their nominated representative.
- 2.** The village chairperson meets both the beneficiary and the nominated authorized representative and explains the responsibilities of the authorized representative.
- 3.** The beneficiary and authorized representative complete the form.
- 4.** The Village Chairperson witnesses the agreement.
- 5.** The Village Chairperson submits the form to the Parish Chief.
- 6.** The Parish Chief counter-signs.
- 7.** The authorized recipient presents themselves at the enrollment point carrying:
  - The birth certificate of the beneficiary
  - Their own birth certificate
  - The completed authorization form
- 8.** The (A)CDO checks the beneficiary's birth certificate number and name against the beneficiary list and checks that the recipient authorization form is complete.
- 9.** The (A)CDO records the details of the authorized recipient and issues an ID card.
- 10.** The authorized recipient is enrolled on behalf of the beneficiary.

## ANNEX XXI: VFSG ALTERNATIVE RECIPIENT AUTHORISATION FORM

<b>Primary recipient's details:</b>			
First name:		Surname:	
Other name:		Birth Certificate No.	
Village:		Parish:	
Sub-County:		District:	
<b>Authorised representative's details:</b>			
First name:		Surname:	
Other name:		Birth Certificate No.	

*I .....(name) hereby confirm that the above named person is authorized to register with the SAGE programme payment service provider as my authorized representative. I understand that neither the Ministry of Gender, Labour and Social Development nor MTN are responsible for the actions of my authorized representative.*

*I .....(name) agree to act as the above-named primary recipient's authorized representative and promise to hand-over the full SAGE payments to the beneficiary as agreed. I understand that failure to provide these funds to the intended individual may be considered a criminal offence.*

..... (name of primary recipient)  
 ..... (signature)  
 .....(date)  
 ..... (name of representative)  
 ..... (signature)  
 .....(date)

Witnessed by:

.....(name)  
 .....(signature)  
 .....(date)  
 Village Chairperson  
 .....(name)  
 .....(signature)  
 .....(date)

Parish Chief

This section to be completed by the District MIS Officer

Date posted into SAGE MIS:	
Name of Officer:	
Signature	

**Explanation for Authorisation request:**

**Guidelines for completing this form**

1. The beneficiary informs the village chairperson that they wish to change their nominated representative.
2. The village chairperson meets both the beneficiary and the nominated authorized representative and explains the responsibilities of the authorized representative.
3. The beneficiary and authorized representative complete the form. This to include providing an explanation for the request on the back of the form.
4. The Village Chairperson witnesses the agreement.
5. The Parish Chief counter-signs the form.
6. The authorized recipient presents themselves at the enrollment point carrying:
  - The identity documentation of the beneficiary *or* a letter from the Village Chairperson confirming the identity of the beneficiary.
  - Their own photo identification (e.g. voters card or a Sub-County Resident's ID Card).
  - The completed alternative recipient authorization form
7. The (A)CDO checks the beneficiary's birth certificate number and name against the beneficiary list and checks that the recipient authorization form is complete.
8. The (A)CDO records the details of the authorized recipient and issues an ID card.
9. The authorized recipient is enrolled on behalf of the beneficiary.

---

# ANNEX XXII: DT7 – GUIDELINES FOR PARISH CHIEFS IN COMMUNITY REGISTRATION SCG COMMUNITIES

---

## **Guidelines for SCG DT7: Community Orientation/ Village Council meeting, Compiling the Beneficiary List and Appeals Adjudication**

The meeting is structured in four parts, and is expected to take approximately 2 hours:

- I. Introduction to the programme – including reading of the letter from MGLSD.
- II. Explanation of how the programme will work.
- III. Verifying applications and completing the village beneficiary list (the *Annex to the Village Council Meeting Minutes*)
- IV. Explanation of how beneficiaries can authorize an alternate recipient and procedures for enrolment.

### **I. Introduction to the programme**

- Ensure quorum before starting the meeting.
- Thank participants for attending.
- Ask anyone who has difficulty hearing – particularly older people – to come forward so they can hear.
- Explain that the CAO has requested each village in the district to convene a Village Council meeting to receive information about a new programme.
- Explain that you have been requested to read an official communication from the Permanent Secretary, Ministry of Gender, Labour and Social Development.
- Read the letter from the MGLSD.
- Explain that this sub-county has been selected to participate in the pilot Senior Citizen's Grant and that all older people aged 65 years and above will be enrolled.
- Explain that you are here today to collect the names of eligible older people, verify eligibility and explain how the programme will work.

### **II. Explanation of how the programme will work**

#### **Targeting**

- All Ugandan citizens who are aged 65 (60 in Karamoja) years and above (or will reach the age of 65 this year) who have been resident in this village for at least one year are eligible for the SCG.

- In order to register for the programme older people should prove that they are eligible by presenting an official form of identification today such as a voter's card, birth certificate or baptism certificate.
- In the event that an older person does not possess the necessary documentation, their eligibility must be verified by the Village Council today. Deliberate reporting of false information may be considered a criminal offence.

## **Payments**

- All beneficiaries will receive will receive a monthly grant of UGX 23,000.
- This figure may be increased slightly each year.
- If a beneficiary older person dies the bereaved household will receive a *SAGE Transition Support Grant* of UGX 92,000 to help with any expenses so long as they notify the Village Chairperson of the death as required by law.
- If an older person is unable to collect the cash themselves they may authorise someone else to collect the cash on their behalf. If any beneficiary wishes to do this, they must inform the Village Chairperson who will help them to complete the correct form.
- Alternate Recipients are responsible for passing the full funds to the beneficiary. Failure to do so may be considered theft.
- Beneficiaries may change their authorised recipient at any time.
- Payments will be made through the local MTN Mobile Money agent. Every beneficiary (or authorised recipient) will be required to verify their identity and register with MTN on .....(date) at .....(location). Beneficiaries will receive training on how to use the MobileMoney service.

## **Grievances**

- The Senior Citizen's Grant scheme is governed by a programme service charter which sets out the rights of people in participating communities.
- These rights are as follows:
  1. The right to accessible information about the programme and to make informed decisions.
  2. The right to be treated with respect and to be free from discrimination based on sex, age, ethnicity, religion or ability.
  3. The right to access an independent appeal process (in the event of exclusion during registration)
  4. The right to access programme registration and payments facilities irrespective of sex, age, educational attainment or disability.

5. The right to full and timely payment of grant payments.
  6. The right to complain and receive timely redress in the event that the programme fails to uphold the above.
- If any of these rights are not respected, beneficiaries can lodge a complaint.
  - However, if the complaint relates to your payments (perhaps your payment is late) then you must first submit this complaint to MTN. MTN will explain how to do this at the training of beneficiaries.
  - In addition, the Parish Chief will be visiting every village every three months to monitor programme implementation and receive any complaints.
  - Otherwise complainants can complain to the Village Chairperson who is responsible for passing on the complaint to the Parish Chief. Complainants may also submit complaints directly to the Sub-County CDO who is responsible for the programme in the Sub-County.
  - If anyone believes they are eligible but have been missed out they may submit an appeal.
  - Appeals will be adjudicated by the Village Council in the first instance (and we will hear any such appeals today).

### **III. Compiling the village beneficiary list**

- Review each of the *SCG Registration Forms* one by one and ask the Village Council to confirm that the applicants are permanent residents of the village for at least one year.
- If the Village Council confirms their permanent residency, ask each individual to come forward and present their identification for your inspection. Check the date of birth for eligibility.
- If the ID confirms their eligibility, add the applicant's details to Table A of the *Annex to the Village Council Meeting Minutes* form - ensure you add the applicants ID number (voters card preferred but birth certificate or baptism certificates are also acceptable).
- Complete the reverse side of the *SCG Registration Form* and counter-sign.
- In the event that an older person lacks an acceptable form of identification, ask the Village Council to verify the age of the applicant with reference to the *national calendar of historical events* or other locally relevant information.
- Where you feel adequate justification has been provided add the applicant's details to Table B of the *Annex to the Village Council Meeting Minutes* form.
- For all applications complete Side 2 of the *SCG Registration Form*. Where the Village Council has deemed the applicant NOT ELIGIBLE provide the reasons for this decision in the box provided. Where the Village Council deems an applicant who has no identification IS eligible also provide the rationale in the box provided.

- Ask whether anyone knows of any other eligible older person who has not yet been considered or who is not present at the meeting. You will need to visit any such cases in their homes to verify eligibility before leaving the community.
- Help the Village Chairperson to finalise and sign the *Annex to the Village Council Meeting Minutes* form.

#### **IV Explanation of alternate recipient authorization form and enrolment procedures**

- Explain that older people may, if they wish, nominate a trusted friend or family member to collect their payments as beneficiaries will be required to walk to the paypoint every month which may be difficult for some older people. Emphasise that it is NOT compulsory to authorize an alternate recipient.
- Read out the statements on the *Alternate Recipient Authorization Form* and emphasize the responsibility of the recipient in delivering the cash to the beneficiary and that the beneficiary takes responsibility for the choice and actions of his/her authorised recipient.
- Give a copy of the *Alternate Recipient Authorization Form* to every beneficiary and tell them they need to complete this if they want to nominate an alternate recipient.
- Explain that the village chairperson will need to counter-sign all forms and that this will be done free of charge.
- Inform all beneficiaries of the enrolment date and emphasize that they will need to bring their official identification with them to the enrolment point.
- Explain that any alternative authorized recipients should bring the following to enrolment:
  1. The completed *SCG Registration Form*.
  2. a completed *Alternate Recipient Authorization Form*
  3. the beneficiary's photo ID such as a voters card (or letter from the Village Chairperson in cases where people don't have IDs)
  4. their own photo ID (e.g. voters card)
- Explain that if either the beneficiary or an alternate recipient lack a photographic ID they may apply for a Resident's ID Card from the Sub-County Chief. This will be provided free of charge although beneficiaries will need to provide a photograph. Explain they will need this to enroll with MTN.

#### **Close the meeting**

**Return the a copy of the meeting minutes and the *Annex to the Village Council Meeting Minutes* to the Sub-County CDO.**

---

# ANNEX XXIII: DT7 – GUIDELINES FOR PARISH CHIEFS IN AUTOMATED SCG COMMUNITIES

---

## **Guidelines for SCG DT7: Community Orientation/ Village Council meeting, Introduction of Beneficiary List and Appeals Adjudication**

The meeting is structured in four parts, and is expected to take approximately half a day:

- I. Introduction to the programme – including reading of the letter from MGLSD.
- II. Explanation of how the programme will work.
- III. Announcement of the beneficiary list and hearing of any appeals.
- IV. Explanation of how beneficiaries can authorize an alternate recipient and procedures for enrolment.

### **I. Introduction to the programme**

- Ensure quorum before starting the meeting.
- Thank participants for attending.
- Ask anyone who has difficulty hearing – particularly older people – to come forward so they can hear.
- Explain that the CAO has requested each village in the district to convene a Village Council meeting to receive information about a new programme.
- Explain that you have been requested to read an official communication from the Permanent Secretary, Ministry of Gender, Labour and Social Development.
- Read the letter from the P.S., MGLSD.
- Explain that this sub-county has been selected to participate in the pilot Senior Citizen's Grant and that all older people aged 65 years and above will be enrolled.
- Explain that you are here today to announce the targeted older people, receive any appeals and explain how the programme will work.

### **II. Explanation of how the programme will work**

#### **Targeting**

- All older people aged 65 years and above who have been resident in this village for at least one year are eligible for the grant.
- The MGLSD has identified all eligible older people according to the national birth register and produced a computerised beneficiary list.
- Every year all older people who reach the age of 65 will be enrolled in the programme.

## Payments

- All beneficiaries will receive will receive a monthly grant of UGX 22,000.
- This figure will be increased slightly each year.
- If a beneficiary older person dies the bereaved household will receive a lump sum Transition Support Grant of UGX 88,000 to help with any expenses so long as they notify the Village Chairperson of the death as required by law.
- If an older person is unable to collect the cash themselves they may authorise someone else to collect the cash on their behalf. If any beneficiary wishes to do this, they must inform the Village Chairperson who will help them to complete the correct form.
- Alternate Recipients are responsible for passing the full funds to the beneficiary. Failure to do so may be considered theft.
- Beneficiaries may change their authorised recipient at any time.
- Payments will be made through the local MTN Mobile Money agent. Every beneficiary (or authorised recipient) will be required to verify their identity and register with MTN on .....(date) at .....(location). Beneficiaries will receive training on how to use the MobileMoney service.

## Grievances

- The Senior Citizen's Grant scheme is governed by a programme service charter which sets out the rights of people in participating communities.
- These rights are as follows:
  7. The right to accessible information about the programme and to make informed decisions.
  8. The right to be treated with respect and to be free from discrimination based on sex, age, ethnicity, religion or ability.
  9. The right to access an independent appeal process (in the event of exclusion during targeting/registration)
  10. The right to access programme registration and payments facilities irrespective of sex, age, educational attainment or disability.
  11. The right to full and timely payment of grant payments.
  12. The right to complain and receive timely redress in the event that the programme fails to uphold the above.
- If any of these rights are not respected, beneficiaries can lodge a complaint.

- However, if the complaint relates to your payments (perhaps your payment is late) then you must first submit this complaint to MTN. MTN will explain how to do this at the training of beneficiaries.
- In addition, the Parish Chief will be visiting every village every three months to monitor programme implementation and receive any complaints.
- Otherwise complainants can complain to the Village Chairperson who is responsible for passing on the complaint to the Parish Chief. Complainants may also submit complaints directly to the Sub-County CDO who is responsible for the programme in the Sub-County.
- If anyone believes they are eligible but have been missed out they may submit an appeal.
- Appeals will be adjudicated by the Village Council and we will hear any such appeals after I have announced the beneficiary list.

**Ask if there are any questions before you read out the beneficiary list**

### **III. Announcement of the beneficiary list and hearing of appeals**

- Read out the beneficiary list
- Ask whether the village council confirms that all those on the list are, to the best of their knowledge, aged 65 years or above.
- Ask whether anyone knows of any older person who has been excluded from the list. Explain the below process for reviewing such appeals (which must occur within one week after this meeting):
  - Any older person who feels they have been improperly excluded will to present official documentation to prove that they are 65 years or older.
  - If the older person does not have any documentation, explain that the Village Council will be responsible for verifying and certifying whether the older person is in fact 65 years or above. Explain they have a serious responsibility to provide accurate information. False information would put the continuation of the programme in danger.
  - If the older person is unable to travel the Village Council to the present their case, it should be adjudicated in their absence by the Village Council but the Parish Chief will visit their homestead to verify before leaving the community.
  - Once all appeals hearings have been completed by the Village Council (note that it is expected that the Parish Chief will participate in this appeals meeting), the Village Chairperson will complete SCG Appeals Adjudication and

Enrolment Request forms for all successful appellants and deliver them for submission to the Sub-County CDO directly or through the Parish Chief.

- The appeals hearing may also include those names on the beneficiary list that needed further review. In such cases, the person under review will need to present proper documentation at this Village Council appeals meeting to remain on the beneficiary list. If the Village Council determines that a name should be removed from the beneficiary list, this should be noted in the Council meeting minutes and an extract of those minutes must be submitted to the Sub-County CDO along with The SCG Targeting Confirmation Form and the SCG Targeting Confirmation Form.
- Once the appeals process is completed, the Parish Chief asks the Village Chairperson to complete an SCG Targeting Confirmation Form, verifying the beneficiary list for this community. The SCG Targeting Confirmation Form should be submitted to the Sub-County CDO, along with the Appeals Adjudication and Enrollment Request forms.
- Leave a copy of the beneficiary list with the Village Chairperson and ask him to post it somewhere public and visible.
- Inform the village of the time and date that you will be available to review documentation and complete appeals forms as appropriate. It is expected that the appeals will be handled within a week after the first village council meeting.

#### **IV Explanation of alternate recipient authorization form and enrolment procedures**

- Ask if any beneficiary is unable to travel to collect their money and would like to nominate a trusted family member or friend to collect it on their behalf.
- If so, read out the statements on the alternate recipient authorization form and emphasize the responsibility of the recipient in delivering the cash to the beneficiary and that the beneficiary actual takes responsibility for the choice and actions of his/her authorised recipient.
- Ask the village chairperson to support the process and counter-sign all forms.
- Inform all beneficiaries of the enrolment date and emphasize that they will need to bring their birth certificate and a photographic ID such as a voters card or resident's ID to register for the programme.

- Explain that any authorized recipients should bring their authorization form, the birth certificate of the original beneficiary and the recipient's photographic ID with them to the registration point.

**Close the meeting**

---

# ANNEX XXIV: DT7 – GUIDELINES FOR PARISH CHIEFS IN VFSG COMMUNITIES

---

## **Guidelines for VFSG DT7: Community Orientation, Introduction of Beneficiary List and Appeals Adjudication**

The meeting is structured in four parts, and is expected to take approximately half a day:

- I. Introduction to the programme – including reading of the letter from MGLSD.
- II. Explanation of how the programme will work.
- III. Announcement of the beneficiary list and hearing of any appeals.
- IV. Explanation of how beneficiaries can authorize an alternate recipient and procedures for enrolment.

### **I. Introduction to the programme**

- Ensure quorum before starting the meeting.
- Thank participants for attending.
- Ask anyone who has difficulty hearing – particularly older people – to come forward so they can hear.
- Explain that the CAO has requested each village in the district to convene a Village Council meeting to receive information about a new programme.
- Explain that you have been requested to read an official communication from the Permanent Secretary, Ministry of Gender, Labour and Social Development.
- Read the letter from the P.S., MGLSD.
- Explain that this sub-county has been selected to participate in the pilot Vulnerable Family Support Grant and that those households that have been identified as most vulnerable (using a computerized system based on household registration data) will be enrolled.
- Explain that you are here today to announce the targeted beneficiary households, outline the process of appeals and explain how the programme will work.

### **II. Explanation of how the programme will work**

#### **Targeting**

- The VFSG aims to support vulnerable households such as older people living alone, older people caring for orphans, households affected by disability and households with large numbers of dependents.
- Households are selected for the Vulnerable Family Support Grant by allocating marks to each household depending on the age, sex, disability

and orphanhood status of its members. SAGE has then calculated a vulnerability mark for each household in this community. Every household which has a mark above the eligibility threshold for this district will be enrolled.

- It is expected that approximately 15% of households in this district will receive the VFSG.
- We recognise that there are many vulnerable families in this community. However, the VFSG is unable to reach all of the poor and vulnerable and the government has prioritised families with older people, people with disabilities, orphans and larger households with many dependents and few working-age, able-bodied people. The government has tried to develop a targeting system which is likely to reach the poorest and is acceptable to communities because it targets the types of people who we all know are vulnerable.
- Re-targeting will be conducted every 2 years and we expect that some targeted households will exit the programme and new vulnerable households will be enrolled.

## **Payments**

- All beneficiaries will receive will receive a monthly grant of UGX 23,000.
- This figure will be increased slightly each year.
- Each beneficiary household will have one grant recipient.
- The Ministry of Gender, Labour and Social Development has decided that, where they are able, women should be the ones collecting the cash on behalf of their families as they are the ones who usually are responsible for meeting the needs of family members. The Ministry has therefore already selected which person will be enrolled on behalf of each household. Where adult women are not present in a household, other household members have been selected.
- If the recipient is unable to collect the cash themselves they may authorise someone else to collect the cash on their behalf. In order to do this, the recipient must inform the Village Chairperson who will help them to complete the correct form.
- Payments will be made through the local MTN Mobile Money agent. Every beneficiary (or authorised recipient) will be required to verify their identity and register with MTN on .....(date) at .....(location). Beneficiaries will receive training on how to use the MobileMoney service.

## **Grievances**

- The Vulnerable Family Support Grant scheme is governed by a programme service charter which sets out the rights of people in participating communities.
- These rights are as follows:
  13. The right to accessible information about the programme and to make informed decisions.
  14. The right to be treated with respect and to be free from discrimination based on sex, age, ethnicity, religion or ability.
  15. The right to access an independent appeal process (in the event of exclusion during targeting/registration)
  16. The right to access programme registration and payments facilities irrespective of sex, age, educational attainment or disability.
  17. The right to full and timely payment of grant payments.
  18. The right to complain and receive timely redress in the event that the programme fails to uphold the above.
- If any of these rights are not respected, beneficiaries can lodge a complaint.
- However, if the complaint relates to your payments (perhaps your payment is late) then you must first submit this complaint to MTN. MTN will explain how to do this at the training of beneficiaries.
- In addition, the Parish Chief will be visiting every village every three months to monitor programme implementation and receive any complaints.
- Otherwise complainants can complaint to the Village Chairperson who is responsible for passing on the complaint to the Parish Chief. Complainants may also submit complaints to the Sub-County CDO who is responsible for the programme in the Sub-County.
- As targeting is based on the household registration, appeals will be acceptable only on the ground of exclusion from registration or substantiated errors in registration.

**Ask if there are any questions before you read out the beneficiary list**

### **III. Announcement of the beneficiary list**

- Read out the beneficiary list
- Be willing to re-explain the above targeting process, emphasizing both that it is dependent on the GoU household registration information and uses a computerized system of determining potential vulnerability based on various individuals living in a household.
- If any households were missed during the birth registration exercise they should report this to the Parish Chief who will collect information on household members and assess whether the household is eligible.

- Once the reading of the beneficiary list has been done, ask the Village Chairperson to document the reading and complete the VFSG Targeting Confirmation Form which confirms that all targeted households are residents of his/her community. This form should be provided to the Parish Chief for onward transfer to the S-C CDO.
- Leave a copy of the beneficiary list with the Village Chairperson and ask him to post it somewhere public and visible.

#### **IV Explanation of alternate recipient authorization form and enrolment procedures**

- Ask if any of the selected recipients are unable to travel to collect their money and would like to nominate an alternative family member to collect it on their behalf.
- If so, read out the statements on the alternate recipient authorization form and emphasize the responsibility of the recipient in delivering the cash to the family and that the family takes responsibility for the choice and actions of his/her authorised recipient.
- Ask the village chairperson to support the process and counter-sign all forms.
- Inform all beneficiaries and authorized recipients of the enrolment date and emphasise that they will need to bring their birth certificate and a photographic ID such as a voters card or resident's ID to register for the programme.
- Explain that any authorized recipients should bring their authorization form, the birth certificate of the original beneficiary and the recipient's photographic ID with them to the registration point.

#### **Close the meeting**

---

## ANNEX XXV: EVIDENCE TOOL

---

**Evidence Question:**

Name	Contact Information	Organisation	Key Theme(s)	Key Findings	Comments/ Concerns/ Questions

# ANNEX XXVI: MONITORING AND EVALUATION FRAMEWORK

## SAGE Performance Data Management Plan

	Performance indicator	Definition	Unit of measure	Data source	Method of data collection	Frequency of data collection	Responsible for data collection	Data use
	<b>1.0 Household Registration/Coverage</b>							
1.1	No of HHs registered by UBOS/URSB disaggregated by district and sub-county	A count of HHs registered during HH registration exercise	Number	HH registration exercise report	Report review	Monthly	SAGE Operations Manager	Management
1.2	No of individuals registered by UBOS/URSB who have been issued with birth certificates	A count of individuals registered by UBOS/URSB who have been issued with birth certificates	Number	HH registration exercise report	Report review	Monthly	SAGE Operations Manager	Management
1.3	Number of sub counties covered by UBOS/URSB registration							
1.4	No of beneficiaries receiving SCG disaggregated by sub county	A count of beneficiaries receiving SCG		SAGE MIS	Report review	Monthl	SAGE Operations Manager	Management
	<b>2.0 Targeting</b>							
2.1	% of beneficiaries included in the SCG who do not met the inclusion criteria	Numerator: No. of beneficiaries included in the SCG who do not met the inclusion criteria  Denominator: Total no. of beneficiaries in the SCG programme	Percent	Post registration survey	Report review	Year 2 & 3 after start of grants	M&E Contractor	????
2.2	% of eligible beneficiaries excluded in the SCG	Numerator: No. of eligible beneficiaries excluded in the SCG  Denominator: No. of eligible beneficiaries included in the programme + No. of eligible beneficiaries/HHs excluded in the programme	Percent	Post registration survey	Report review	Monthly	M&E Officer	????
2.3	% of severely disabled people reached by SCG	Numerator: No of severely disabled people reached by SCG  Denominator: Total no of severely disabled people recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
2.4	% of moderately disabled people reached by SCG	Numerator: No of moderately disabled people reached by SCG  Denominator: Total no of moderately disabled people recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.5	% of older people (65+ years) reached SCG	Numerator: No of older people (65+ years) reached by SCG  Denominator: Total no of older people (65+ years) recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.6	% of children reached by SCG disaggregated by age (0-2, 3-5, 6-10, 11-15, 16-17)	Numerator: No of children reached by SCG  Denominator: Total no of children recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.7	% of single orphans reached by SCG	Numerator: No of single orphans reached by SCG  Denominator: Total no of single orphans recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.8	% of total orphans reached by SCG	Numerator: No of total orphans reached by SCG  Denominator: Total no of total orphans recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.9	% of female headed households reached by SCG	Numerator: No of female headed households reached by SCG  Denominator: Total no of female headed households recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.10	% of households reached by SCG disaggregated by consumption in adult equivalent deciles	Numerator: No of households reached by SCG  Denominator: Total no of households recorded during registration.	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence
2.11	% of SCG beneficiaries entitled to other pension income	Numerator: No of SCG beneficiaries entitled to other pension  Denominator: Total no of SCG beneficiaries reached by SAGE	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
2.12	% of SCG beneficiaries actually receiving other pension income on a regular and reliable basis	Numerator: No of SCG beneficiaries actually receiving other pension income on regular and reliable basis reached by SAGE  Denominator: Total no of SCG beneficiaries reached by SAGE	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence
2.13	% of SCG beneficiaries households exiting the programme	Numerator: No of SCG beneficiary households existing the programme  Denominator: Total no of SCG beneficiary on the MIS payroll.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Management
2.14	% of households benefiting from VFSG who become ineligible during the 3 year minimum enrolment period	Numerator: No of households benefiting from VFSG who become ineligible during the 3 year minimum enrolment period  Denominator: Total no of households benefiting from VFSG during enrolment period.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Management & Evidence
2.15	% of HHs included in the VFSG who do not met the inclusion criteria	Numerator: No. of HHs included in the VFSG who do not met the inclusion criteria  Denominator: Total no. of beneficiaries in the VFSG programme	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence
2.16	% of eligible HHs excluded in the VFSG	Numerator: No. of eligible HHs excluded in the VFSG  Denominator: No. of eligible HHs included in the VFSG programme + No. of eligible HHs excluded in the programme	Percent	Monthly Grievances Report (Sub county CDO, CDO, SAGE TO, Operations Manager)	Report review	Monthly	M&E Officer	???
2.17	% of severely disabled people reached by VFSG	Numerator: No of severely disabled people reached by VFSG  Denominator: Total no of severely disabled people recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.18	% of moderately disabled people reached by VFSG	Numerator: No of moderately disabled people reached by VFSG  Denominator: Total no of moderately disabled people recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
2.19	% of older people (65+ years) reached VFSG	Numerator: No of older people (65+ years) reached by VFSG  Denominator: Total no of older people (65 + years) recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.20	% of children reached by VFSG disaggregated by age (0-2, 3-5, 6-10, 11-15, 16-17)	Numerator: No of children reached by VFSG  Denominator: Total no of children recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.21	% of single orphans reached by VFSG	Numerator: No of single orphans reached by VFSG  Denominator: Total no of single orphans recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.22	% of double orphans reached by VFSG	Numerator: No of double orphans reached by VFSG  Denominator: Total no of double orphans recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.23	% of female headed households reached by VFSG	Numerator: No of female headed households reached by VFSG  Denominator: Total no of female headed households recorded during registration.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Reporting
2.24	% of households reached by VFSG disaggregated by consumption in adult equivalent deciles	Numerator: No of households reached by VFSG  Denominator: Total no of households recorded during registration.	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence
2.25	% of VFSG beneficiaries entitled to other pension income	Numerator: No of VFSG beneficiaries entitled to other pension  Denominator: Total no of VFSG beneficiaries reached by SAGE	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence
2.26	% of VFSG beneficiaries actually receiving other pension income on a regular and reliable basis	Numerator: No of VFSG beneficiaries actually receiving other pension income on regular and reliable basis reached by SAGE  Denominator: Total no of VFSG beneficiaries reached by SAGE	Percent	Impact Evaluation Report	Report review	Year 2 & 3 after start of grants	M&E Contractor	Evidence

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
2.27	% of households benefiting from VFSG who become ineligible during the 3 year minimum enrolment period	Numerator: No of households benefiting from VFSG who become ineligible during the 3 year minimum enrolment period  Denominator: Total no of households benefiting from VFSG during enrolment period.	Percent	SAGE MIS	Data process	Biennially	M&E Manager	Management & Evidence
<b>3.0 Payments</b>								
3.1	% of beneficiaries satisfied with the payment mechanism disaggregated by district/sub county	Numerator: no of beneficiaries surveyed who indicate that there are satisfied with payment system  Denominator: Total no of beneficiaries covered by the impact evaluation survey	Percent	Impact Evaluation Report	Survey	Year 2 & 3 after start grants	M&E Manager	Management
3.2	Number of beneficiaries on SAGE payroll not identified/enrolled by PSP (MTN)	A count of beneficiaries on SAGE payroll and not identified/enrolled by PSP (MTN)	Number	PSP Monthly Report	Report review	Monthly	MIS Manager	
3.3	Number of beneficiaries who have never made withdrawals from their accounts	A count of SAGE beneficiaries who have never made withdrawals from their accounts	Number	PSP Monthly Report	Report review	Monthly	MIS Manager	
3.4	Number of beneficiaries with savings on their accounts	A count of beneficiaries with balances on their accounts	Number	PSP Monthly Report	Report review	Monthly	MIS Manager	
3.5	Number of beneficiary account with other financial transactions	A count of beneficiaries with other financial transaction (other than grant transfers) on their accounts	Number	PSP Monthly Report	Report review	Monthly	MIS Manager	
3.6	No of beneficiaries accounts credited disaggregated by SCG, VSFG	A count of total beneficiary accounts credited by PSP	Payments	PSP report	Report review	Monthly	M&E Officer MIS Manager	Management
3.7	Total amount credited to beneficiary accounts disaggregated by SCG, VSFG	Total funds credited to beneficiary accounts in a month	Shillings	PSP report	Report review	Monthly	MIS Manager	Reporting & management
3.8	Average no of days to receive payment by beneficiary (SCG & VFSG)	Sum of no of days taken by beneficiaries who received payment divided by no of beneficiaries who received payment	Days	District Monthly Report	Report review		MIS Manager	Management
3.9	Median no. of days to receive payment by beneficiary	The 50th percentile of the frequency distribution of no of days for beneficiaries to receive payment	Days	District Monthly Report	Report review		MIS Manager	Management
3.10	Ave. cost incurred by beneficiary (SCG & VFSG) to receive payment	Sum of cost incurred by beneficiaries who received payment divided by no of beneficiaries who received payment	Shillings	Case Study Report	Report review	Year 2 & 3 after start of grants	M&E Manager	Management

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
3.11	Average distance to pay point disaggregated by SCG and VFSG	Sum of distances travelled by beneficiaries to pay point divided by no of beneficiaries who received payment	Km (miles)	Case Study Report	Report review	Year 2 & 3 after start of grants	M&E Manager	Management
3.12	% of SCG beneficiary payments collected by a secondary recipient disaggregated by age	Numerator: no of SCG beneficiaries whose payment is collected by a secondary recipient  Denominator: total no of SCG beneficiaries in the program	Percent	Change Management Report	Report review	Quarterly	M&E Manager	Management
3.13	% of SCG beneficiaries who regularly opt for their payment to be collected by a secondary recipient disaggregated by age	Numerator: no of SCG beneficiaries who regularly opt for their payment to be collected by a secondary recipient  Denominator: total no of SCG beneficiaries in the program	Percent	Change Management Report	Report review	Quarterly	M&E Manager	Management
3.14	% of VFSG payments collected by secondary recipient	Numerator: no of VFSG beneficiaries whose payment is collected by a secondary recipient  Denominator: total no of VFSG beneficiaries in the program	Percent	Change Management Report	Report review	Annual	M&E Manager	Management
3.15	% of requests for change of primary recipient for VFSG	Numerator: A count of VFSG beneficiaries requesting for change of primary recipient  Denominator: total no of VFSG beneficiaries	percent	Change Management Report	Report review	Pay cycle	M&E Manager	Management
3.16	% of requests for change of secondary recipient disaggregated by targeting mechanism	Numerator: A count of VFSG beneficiaries requesting for change of secondary recipient  Denominator: total no of VFSG beneficiaries	percent	Change Management Report	Report review	Pay cycle	M&E Manager	Management
<b>4.0 Grievances</b>								
4.1	No. of grievances received & registered at all levels <sup>27</sup> disaggregated by category	Total no of grievances received & registered at all levels	Number	Monthly Grievances Report	Report review	Monthly	M&E Officer	Management
4.2	No of grievances redressed at all levels <sup>28</sup> disaggregated by category	A count of grievances redressed at all levels	Number	Monthly Grievances Report	Report review	Monthly	M&E Officer	Management

<sup>27</sup> The levels of grievance registration include all channels and their respective hierarchies through which grievances can be reported.

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
4.3	Av time taken in days to close <sup>29</sup> case by type	Sum of time taken to close cases divided by no of cases closed	Days	Monthly Grievances Report	Report review	Monthly	M&E Officer	Management
4.4	Median time in days taken to close case by type	The 50th percentile of the frequency distribution of time taken to close cases	Days	Monthly Grievances Report	Report review	Monthly	M&E Officer	Management
4.5	% of grievances resolved in acceptable timeframe by level	Numerator: no of grievances resolved/redressed in acceptable timeframe  Denominator: total no of grievances resolved/redressed	Percent	Monthly Grievances Report	Report review	Monthly	M&E Manager	Management
<b>5.0 Training</b>								
5.1	% of planned trainings held	Numerator: No of planned trainings held  Denominator: total no of trainings planned	percent	Training Unit report	Training report review	monthly	Training Manager	Management
5.2	% of training in which objectives <sup>30</sup> of the training were at least met by type of training (DT1, DT2 & DT3)	Numerator: number of trainings in which participant evaluation rating was 3.0 or higher <sup>31</sup>  Denominator: total no of trainings held	Percent	Training evaluation form	Training report review	monthly	Training Manager	Management
5.3	% of sample of DT2 trainees who demonstrate understanding and applying skills acquired <sup>32</sup> in training by type of training	Numerator: No of DT2 trainees who demonstrate understanding and applying skills acquired  Denominator: total no of trainees pasted out in DT2	Percent	Training evaluation form  District training report	Report review	monthly	Training Manager  M&E Officer	Management
5.4	No of people trained disaggregated by type	No of people trained based on training attendance list	Number	Training attendance lists	Review	Monthly	Training Manager	Reporting
<b>6.0 Change Management</b>								

<sup>28</sup> The levels for grievance redress include sub county CDO, CDO, SAGE TO, CAO, SAGE District Liaison and SAGE Operations Manager

<sup>29</sup> Case closure refers grievance resolution and provision of feedback to the complainant

<sup>30</sup> Participants' expectations will be obtained from training participants' evaluation forms

<sup>31</sup> The participants' evaluation form requires the participants to rate the statement "The objectives of the training were met" on a scale of 1 to 5, with 5 indicating that they strongly agree

<sup>32</sup> To be based on training evaluation forms for DT4 training and ESP staff assessments (as observers in) of DT4

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
6.1	% of Villages submitting Monthly Change Management Forms	Numerator: No of Villages submit monthly change management forms  Denominator: total no of Villages registered in the HH registration exercise	Percent	Parish Development Committee	Review records	Monthly	PDC Chairperson	Management
6.2	No of births registered	A count of births reported and registered by URSB	Number	URSB database	Electronic transfer	Monthly	PDC Chairperson	Management
6.3	No deaths registered	A count death reported and registered by URSB	Number	URSB database	Electronic transfer	Monthly	PDC Chairperson	Management
6.4	Number of immigrants to SAGE districts	A count of individual immigrants to SAGE districts	Number	HH register	Review register	Monthly	PDC Chairperson	Management
6.5	Number of new households migrating into SAGE districts	A count of new household migrating into SAGE district	Number	HH register	Review register	Monthly	PDC Chairperson	Management
6.7	Number of outward migrant individuals from SAGE district	A count of migrating individuals from SAGE district	Number	HH register	Review register	Monthly	PDC Chairperson	Management
6.8	Number of outward migrant households from SAGE district	A count of migrating households from SAGE districts	Number	HH register	Review register	Monthly	PDC Chairperson	Management
6.9	No of dissolved households	A count of dissolved households	Number	HH register	Review register	Monthly	PDC Chairperson	Management
<b>7.0 Financial Management</b>								
7.1	% of SAGE districts that timely received operational funds in the quarter	Numerator: Number of SAGE districts that received fund on time in the quarter  Denominator: total no of SAGE districts that requested for funds in the quarter	Percent	Bank financial statement	Review	Quarterly	SAGE Technical Officer/ MGLSD	Management
7.2	% of SAGE districts that timely retired funds released in the quarter	Numerator: No of SAGE districts that time retired funds released to them in the quarter  Denominator: Total no of SAGE districts that received funds in the quarter	Percent	Quarterly expenditure /accountability report	Report review	Quarterly	MGLSD	Management
7.3	% of overall district expenditure to budget in a quarter	Numerator: Total operational expenditure for all SAGE districts in a quarter  Denominator: Total operational budget for all SAGE districts in a quarter	Percent	Quarterly expenditure /accountability report	Report review	Quarterly	MGLSD	Management

	<b>Performance indicator</b>	<b>Definition</b>	<b>Unit of measure</b>	<b>Data source</b>	<b>Method of data collection</b>	<b>Frequency of data collection</b>	<b>Responsible for data collection</b>	<b>Data use</b>
7.4	% of districts with repeat financial audit queries	Numerator: No of SAGE districts with repeat financial audit queries in a year  Denominator: Total no of SAGE districts that received funds in the year	Percent	Annual audit report	Report review	Annual	MGLSD	Management
7.5	% of expenditure covered by audit	Numerator: Total expenditure covered by audit  Denominator: Total expenditure by the SAGE districts	Percent	Annual audit report	Report review	Annual	MGLSD	Management
<b>SAGE MIS</b>								
8.1	Percentage of internet downtime in a month disaggregated by district	Numerator: No of hours of internet downtime in a month  Denominator: No of hours of internet use in a month	Percent	District MIS monthly report	Report review	monthly	MIS Officer	Management
8.2	Average hours of SAGE MIS server downtime in a month	Total hours of SAGE MIS server downtime in a month/ no of SAGE MIS server downtimes in a month	Number	Server log report	Report review	monthly	MIS Manager	Management
8.3	Average hours of SAGE mail server downtime in a month	Total hours of SAGE mail server downtime in a month/ no of SAGE mail server downtimes in a month	Number	Server log report	Report review	monthly	MIS Manager	Management
8.4	Average response time for district support from MIS Manager	Total response time for all districts MIS support by MIS Manager/ no of support calls to the districts by MIS Manager	Number	District MIS monthly report	Report review	monthly	MIS Officer	Management
8.5	Percentage of successful timely updates of SAGE MIS using URSB database	Numerator: no of successful timely updates of SAGE MIS using URSB database in a month  Denominator: total no of updates of SAGE MIS using URSB database in a month	Percent	MIS monthly report	Report review	monthly	MIS Manager	Management
8.6	Percentage of successful timely updates of MIS using PSP data	Numerator: no of successful timely updates of SAGE MIS using PSP data in a month  Denominator: total no of updates of SAGE MIS using PSP data in a month	Percent	MIS monthly report	Report review	monthly	MIS Manager	Management

