



# Senior Citizens Grant (SCG)

## Operational Manual



July 2016



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## Acronyms

CAO	Chief Administrative Officer
CDO	Community Development Officer
CSO	Civil Society Organisation
DCDO	District Community Development Officer
DfID	Department for International Development
DIO	District Information Officer
DSP	Directorate of Social Protection
DSST	District SAGE Support Team
GoU	Government of Uganda
ESP	Expanding Social Protection Program
FM	Financial Manager
LG	Local Government
MGLSD	Ministry of Gender Labour and Social Development
NGO	Non-Governmental Organization
OC	Operations Coordinator
PBU	Post Bank Uganda
PMU	Program Management Unit
PPT	Power Point Presentation
RTSU	Regional Technical Support Unit
SAGE	Social Assistance Grants for Empowerment
SCG	Senior Citizens Grant
SPO	Seniors Program Officer
TOT	Training of Trainers
UNICEF	United Nations Children's Fund



## 1. Introduction

Since 2006, the Ministry of Gender Labour and Social Development (MGLSD) championed efforts to promote a coordinated approach to social protection in Uganda. These efforts culminated in the design of the Expanding Social Protection (ESP) programme to be implemented by the GoU under the MGLSD with financial and technical support from GoU, DFID, Irish Aid and UNICEF. The 5-year programme was formally approved by the Cabinet in June 2010. Its goal was to reduce chronic poverty, and improve life chances for poor men, women and children in Uganda. The purpose is to embed a national social protection system, including social assistance for the poorest and most vulnerable, as a core element of Uganda's national planning and budgeting processes.

ESP I was designed around two components:

- Policy support focusing on strengthening leadership on social protection across government, developing a national social protection policy, generating evidence on the impacts of social protection, and building government commitment and investment in social protection; and
- The implementation of a cash transfer pilot (Social Assistance Grants for Empowerment – SAGE).

The specific objectives of the programme are summarised as follows:

**Output 1:** Increased GoU capacity to develop social transfer policy and implement social transfer programmes

**Output 2:** Viable policy and fiscal framework for social protection approved

**Output 3:** Delivery of effective social transfers, through scalable systems, that generate evidence of feasibility and impact

**Output 4:** Increased commitment to social transfers

The programme aimed at achieving its purpose through a comprehensive approach to social protection (SP) by strengthening cross-governmental leadership structures on SP, while building MGLSD capacity to support these structures. A key output of this strengthened leadership was the development of a SP vision for Uganda, setting out a national strategic framework and key legislation translated into budgetary commitments.

The Expanding Social Protection programme was essentially an influencing programme. It sought to influence the GoU and other relevant stakeholders to mainstream a national social protection system in Uganda's policy, planning and budgeting processes. To achieve this, a process of clearly communicating relevant information to influential people to make decisions in favour of social protection was required. Key stakeholders include political leaders, technical civil servants, civil society and the general public. The programme has been supporting the Ugandan government in taking forward specific SP interventions, while



piloting a cash transfer programme in 15 districts – the Social Assistance Grants for Empowerment (SAGE) – under which beneficiaries receive a regular Grant

ESP II commenced in 2016 with the Government’s commitment to scale up the SCG to 20 new districts, with the programme reaching 35 districts in total. The implementation modality changed from district-based delivery supervision to Regional Technical Support Units (RTSU). Over the next 5 years, the SAGE programme will extend to an additional 40 districts moving to the RTSU modality for the supervision of the SCG, a new targeting modality and engaging a new payment service provider (PSP) for delivery of beneficiary payments. The specific improvements to the programme include:

- Enhancement and decentralisation of the Management Information System which will fundamentally change and automate programme operations
- Payment system transition from MTN mobile money to a banking solution delivered by Post Bank Uganda (PBU) through crediting beneficiary bank accounts paid through PBU mobile units
- New targeting system in the pilot expansion by selecting the oldest 100 people rather than selection of all people over the age of 60 years

## 2. Objective of the Manual

The operational manual summarizes the entire project cycle of the SCG mainly covering: implementation structure, communications, training, identification and verification, targeting, registration, payments, monitoring and evaluation, change management and grievances. Specific guidelines have been developed for each area and contain further detail on tools, processes and roles and responsibilities both at the central and local levels. An important caveat is that this operational manual combines current and proposed processes due to the transitional nature of the programme. CHECK Annex 1 provides a table with key outputs and accountability for each operational area, Annex 2 provides a summary of the processes of the entire operational cycle for the MIS and Annex 3 depicts a flow chart.

## 3. Implementation Structure

SAGE is managed by the MGLSD’s Directorate of Social Protection (DSP). The MGLSD is the lead institution given its constitutional mandate for social development and protection of vulnerable groups. Multi-sectoral oversight of SAGE and linkages to the National Social Protection Policy (NSPP) exist through the establishment of a Social Protection Sub-Committee (SPSC). Additional oversight is also provided by the ESP Steering Committee which is comprised of relevant ministries, development partners and civil society organisations.

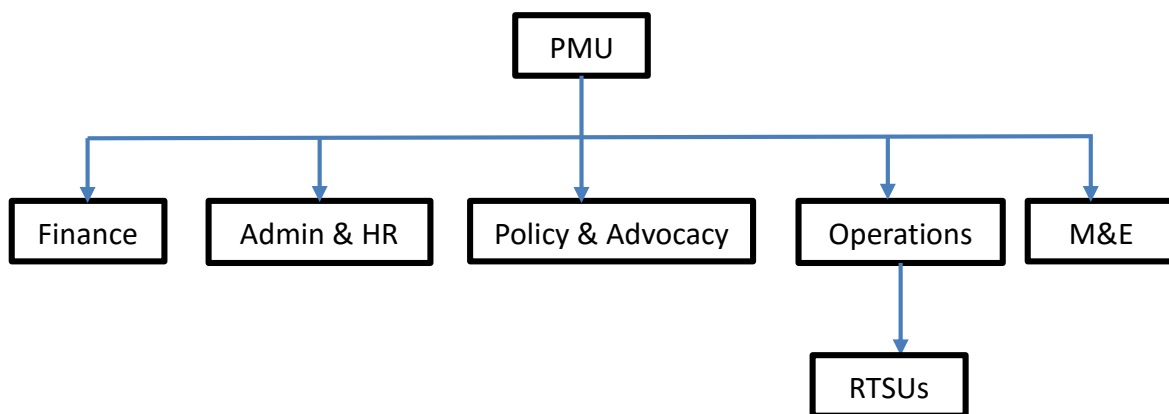


Within the DSP, a Programme Management Unit (PMU) has been established to support the DSP and to lead on policy, advocacy and communications while implementing the SAGE programme. The PMU provides technical expertise and programme management. The team includes key staff who manage operations, finance and administration, manage information systems and M&E. The PMU is headed by a MGLSD Senior Officer at level Assistant Commissioner and above appointed by the Permanent Secretary. Seven new Regional Technical Support Units (RTSU) are being set up at the regional level and each will cover several districts to **support and oversee** implementation. The Local Governments through the department community development, composed of the DCDOs, SCDOs, Sub –Country CDOs and Parish Chiefs are in charge of **direct implementation** of SCG. The CAOs provide overall technical oversight at the District level while the Sub County Chiefs and Town Clerks provide overall leadership at the Sub County and Town Councils respectively.

### **PMU Structure**

The PMU is in charge of managing the program at the national level and oversees overall implementation. The PMU has the following units: Finance, Administration and HR, Policy and Advocacy, Operations and M&E. Graph 1 depicts the PMU structure.

Graph 1: PMU structure

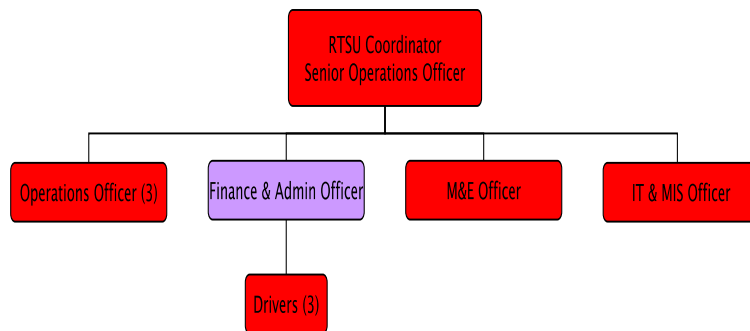


### **RTSU Structure**

The Regional Technical Support Units (RTSU) will cover several districts to support and oversee implementation. The RTSU will be in charge of other operations such as complaints and monitoring, for which further processes description and specific roles are mapped out and clearly described in the corresponding guidelines. Graph 2 depicts the RTSU structure.



Graph 2: RTSU structure



RSTU Communications will be managed by RSTU Coordinator while District Communications will be managed by DIO where they exist and DCDOs under the guidance of the CAO.

### ***District Local Government***

The District Local Government is headed by the CAO (Chief Administrative Officer), who oversees all Government programs. The LG officers who will be responsible for SAGE implementation are:

- CAO: Chief Administration Officer, who is the technical head of the district (in charge of all government programs)
- DIO: District Information Officer (in charge of communications and public awareness)
- DCDO: District Community Development Officer (in charge of community development)
- SAGE SCDO: Senior Community Development Officer- SAGE
- Sub county chiefs/ Town Clerks (in charge of all government programs in the Sub County/ Town Councils)
- Sub County CDOs (support SCG implementation)
- Parish chiefs (support SCG implementation)

The DCDO will be in charge of operations, supported mainly by the SCDO, DIO, sub-county CDOs and parish chiefs. The village chairpersons and the executive committee of the older persons have an important role in targeting activities (identification and verification) as well as mobilization of beneficiaries. In addition, there is a DSST (District Sage Support Team) appointed by the CAO, composed of: DCDO (lead), SAGE SCDO, DIO and 3 sub-county CDOs, who are mainly in charge of identification and selection activities including arranging and attending the village council meetings for verification purposes. They have a temporary role, which will stop once beneficiaries are enrolled for payments.



## 4. Communications

The SPO Communications and Communications Advisor at the PMU are in charge of developing and implementing the sub National Communications Strategy. The objective of the Sub National Communications Strategy is to ensure stakeholders and beneficiaries at district, sub -county, parish and village levels are well informed about the SCG Programme. The strategy aims at increasing accessibility, accountability and transparency to reduce the scope for exploitation, abuse, conflict and/or negative publicity Key messages are developed and disseminated through selected channels on implementation modalities and the rights and responsibilities of various stakeholders. As per the strategy, the main messages to be transmitted are:

- Programme rationale, objectives and eligibility criteria
- Programme processes for registration, enrolment, payment delivery and complaints
- The rights and responsibilities of RTSU staff and local authorities, PBU staff and beneficiaries

The main channels of communication are:

- MGLSD letters (policy communication) to CAO, copied to District Heads which can also be translated upon CAO's approval and published in local places
- Local government structures
- Older persons committees
- Radio broadcasts (FM)
- Print materials (in national and local languages)
- Meetings/orientation trainings/ briefing workshops
- Short Messaging Services (SMS)
- Religious institutions
- CSOs/NGOs
- Local councils
- Cultural institutions
- TV

All communication content and planning is developed at the PMU level while translations in local languages will be done at the district levels. Execution and monitoring of the plans are done at district (and lower) levels. The PMU will develop key communication messages to be passed to the village local councils. Village Chairpersons and chairpersons of the



executive committee of the older persons will be responsible for orienting their village local councils and the communities.

## 5. Trainings

SCG employs a clearly defined cascade training approach as the strategy where various implementation levels are responsible for conducting different trainings. All program trainings are led by Operations unit. Annex 4 provides a summary of the training plan.

Initially, the PMU will provide a one-day briefing to all local leaders: CAOs, District councillors, sub county chiefs, sub county chairpersons, older persons committee (district level) and civil society. Afterward, the PMU will organise 5 day training for the RTSU and DSST members on identification, verification, registration, change management and grievances<sup>1</sup>. The focus of the training will be to ensure they understand their roles and responsibilities in the process. Consequently, the RTSU and DSST will organise a two-day orientation of the sub-county CDOs and parish Chiefs at their respective district headquarters. The DSST will be in charge of briefing sub-county councillors and sub-county executive committees of older persons. The sub-county CDOs and parish chiefs will then be responsible for planning an orientation of the Village Chairpersons and the chairpersons of the executive committee of the village older person's committee. The focus of the orientation will be on their roles and responsibilities in the identification and verification process. Parish Chiefs, Village Local Council chairpersons and the village Chairpersons of the executive committee of older persons will plan for Village orientation meetings to brief the community on the program. The PMU shall also train RTSU officers the management of the MIS. Material to be distributed during the training include: operational manual, updated guidelines (depending on the type of training) and power point presentations with visuals.

## 6. Identification and Verification

The purpose of the verification exercise is to verify identity, age, place of residency and status of the older persons. All verification meetings will take place at the parish level. The national identity card will be the primary Identification document used for age verification of all older persons in the programme, however other identification documents are also accepted to verify identity and age. The national ID will be required to be registered into the program. The eligibility criteria for SCG are:

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<sup>1</sup> The DSST will be in charge of briefing and training other officers, such as parish chiefs, village chairperson, and older person's committee members



- Be above 65 years or above 60 years for Karamoja
- A resident in the area for over one year (12 months)
- Ugandan by Citizenship
- Persons not on/not due for government pension scheme

Other type of identification documents accepted by the program are:

- Voters Card
- Long birth Certificate
- Passport
- Drivers Permit
- Baptism certificate
- Marriage certificate

To initiate the identification and verification process, the Chief Administrative Officer (CAO) will appoint the DSST. The team will be trained on the whole operational process of identification, verification, targeting, registration, change management and grievances in the SCG programme<sup>2</sup>. The team will be comprised of:

- DCDO (Team Leader)
- SCDO SAGE
- 3 Sub - County CDOs
- DIO

The terms of reference for the DSST are:

- Planning for all field verification exercises
- Ensuring that the venue and time for registration is well organized, and communicated in advance to the community
- Verification of potential beneficiaries
- Management of provisional lists
- Register eligible beneficiaries after verification in the supplementary register
- Leading the home visits for absent or infirm persons to be verified and be registered

The programme will use two approaches for identification and verification of older persons which include: provisional lists (persons above 60 years old) created from data sent by NIRA and a supplementary register for people not registered in NIRA and thus do not have a

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<sup>2</sup> the DSST will be in charge of briefing and training other officers, such as parish chiefs, village chairpersons, and older people committee members. (TOT approach)



national ID. SCG, using the MIS, will generate provisional lists for all new SCG sub counties based on national ID data which will be used in parish level meetings for verification.

During the verification meeting at the parish level, the DSST will brief the community on the program eligibility criteria, selection of beneficiaries and roles and responsibilities of LG staff. Consequently, persons in the provisional list will be verified identity and residency (either through national id, other id or the older person committee) and status (alive, dead, pensioner), and if not present, they will be verified via a home visit. Finally, the SCG will also register older persons above 60 years' old who are not on the provisional list, in a supplementary register, which will be processed in the MIS in order to obtain a complete older persons database. Any older person who is absent at the meeting can be nominated to be included in the supplementary list and will also be verified via a home visit. The executive committee of the older persons at parish level will support the age verification for people who not have any ID, but do not make decisions on eligibility. They will also support community mobilisation for the registration of the program and enrolment into PBU.

Once all persons on the provisional list and supplementary register have been verified during the meeting, the team should explain to the community that the programme will target the **100 oldest persons in the sub-county in the first year**. New beneficiaries will be added as more funding becomes available.

Once the verification meetings and the home visits are done, the DSST, with a report approved by the CAO, will forward the verified provisional lists and the supplementary registers to the RTSU. The RTSU operations officer and coordinator will review the information and forms and instruct the MIS officers to conduct data entry. Once the data entry is done, the RTSU coordinator will inform the OC for final review and approval. The older person's database is created in the MIS using information from the verified provisional lists and supplementary registers.

## 7. Targeting

The targeting of beneficiaries will be conducted by selecting the 100 oldest persons by sub-county using the older person's database in the MIS. Once the targeting is done and beneficiaries list are created, SAGE team will coordinate and organize with PBU the registration into the program and the enrolment with PBU. Both registration and enrolment will take place on the same day, for which PMU and PBU will coordinate closely at central and regional/branch levels. The names of the oldest 100 beneficiaries will be communicated to all sub-counties through the Sub County CDOs and parish chiefs and lists will be publicized in several locations.



## 8. Registration into the Program

The registration into the program and the enrolment in the PBU will take place at the same event on the same day. PMU will hold registration planning and briefing meetings with RTSUs and SCDOs -SAGE together with PBU. Each district will then agree on the dates for each Sub County. The PMU will coordinate with the RTSU so that beneficiary lists can be printed for distribution, radio spots messages can be conducted and parish chief meetings will take place to notify beneficiaries on the location, time and date of the events. The messages should notify the requirement documentation beneficiaries need to bring, and in case of an alternative recipient, s/he must also attend the event and bring his/her documentation.

The PMU will pre-print serialized registration forms, which include the information on the beneficiaries, and send them to the RTSU for distribution. In addition, the sub-county and parish chief should support to reach and mobilize people. The DSST, with assistance from the RTSU, will organize the mobilization of infirm beneficiaries to be registered.

During the registration event, beneficiaries will be briefed and given information (brochure) on the right and responsibilities of the program. Please see annex 5. Beneficiaries will be verified one more time during this time (i.e. they are alive, not a pensioner and provide national ID). Then the DSST will complete the registration forms which are signed by the beneficiary, parish chief or sub-county CDO, village chairperson and the tear off portion to be provided to the beneficiary is signed by the DSST member. In case there is an alternative recipient, s/he will need to fill out the form and present his/her national id.

A confirmation register will also be filled out and signed by the beneficiary, parish chief or sub-county CDO, village chairperson and DSST representative. Once the beneficiary or alternative recipient is register, s/he will continue to be enrolled with PBU. All registration forms and confirmation registers will be taken to the RTSU by the DSST. The RTSU will review the information and forms and send them to the OC at PMU for review and approval and s/he will instruct the MIS SPO to conduct updates in the MIS.

## 9. PBU Enrolment

The PBU will enrol beneficiaries into the program by opening accounts for each beneficiary, registering their biometric information and providing a card. The PMU will liaise with the PBU management to agree on requirements and plan for the training and enrolment with PBU. The RTSU will also liaise with the PBU regional teams to share the plan for field enrolment. The registration of beneficiaries to the SCG program and the enrolment with PBU may be done on the same or different day and location. PBU will provide basic training



to the beneficiaries on how they will be paid and issue a Post Bank Card. The key training areas to be covered will include;

- a) Introducing Post Bank Uganda- who are they?
- b) How the beneficiaries will be paid?
- c) What beneficiaries will do to be paid?
- d) Where beneficiaries will be paid from?
- e) When and how often beneficiaries will be paid?

If a beneficiary appoints an alternative recipient to receive his/her entitlement on their behalf, then the alternative recipient will attend the registration and enrolment exercise. Note that the alternative recipient should also have a national ID card to be registered.

## 10. Payments

The first payment cycle starts with the registered beneficiary lists. The subsequent payment cycles start with beneficiary data updates and changes, including: name, national ID number, and address, change of alternate recipient, death reporting and next of kin nomination, which should be done on a regular basis. The PMU will generate the payroll based on the updated information to be sent to the PBU for each payment cycle.

Before sending the payroll to the PBU, the PMU/MIS should conduct the following pre-payroll checks:

- exclude beneficiaries whose accounts have been marked closed due to death or some other reasons
- exclude beneficiaries whose accounts have been declared inactive for some reason
- exclude beneficiaries who received their cash transfers through alternate recipients for 6 cycles
- exclude accounts that were never successful based on past reconciliations
- check if there is any account which was made part of the last payroll but for some reason (any of the above) cannot be made part of the current payroll
- check for any duplicate account numbers, ID numbers/names of account holders that are used for more than one account and make sure that the account and ID information of beneficiaries are verified against the PBU enrolment data

Once the checks are done, the payroll can be generated. The information of beneficiaries that should be made part of the payroll file include:

- name of the beneficiary
- ID number
- SCG ID
- father/mother name
- DOB



- age
- bank account number
- contact number
- alternate recipient name (if to be paid through him/her)
- alternate recipient ID number (if any)
- current cash transfer value
- current withdrawal value
- arrear amounts
- amount to be paid (sum of cash transfer value, arrears and withdrawal money).

Once the payroll is generated, there are also a number of post payroll checks. The MIS should be able to compare the payroll entries with the last cycle payroll for the same cohort that was generated and implemented by the program. The comparisons include:

- number of districts included
- total number of beneficiaries being paid
- number of beneficiaries not being paid this time
- number of beneficiaries continuing
- number of beneficiaries exited
- number of alternate recipients authorized
- number of updates made
- number of new enrolments (being paid first time)
- number of beneficiaries with arrears
- entitlement amount
- withdrawal amount
- arrear amount

Once the final payroll is checked and approved by the Operations Coordinator of the PMU, it should be sent to the Finance and Accounting Coordinator. The Finance Manager will review the payroll to prepare the funds request depending on Donor and Government funded districts. Once the funds requests are approved and available, the PMU will coordinate with the PBU so payments can be made. The data communication is electronic and should be supported by PMU/MIS in terms of having a common interface. The PBU corresponding officer will receive and review the payroll to check for any inconsistencies and will make sure the funds are available for making payments. The PBU will make the arrangements to conduct the payments using the mobile vans ensuring there is enough liquidity for completing all payments. RTSU staff and LG staff (SAGE-CDO, sub-county CDOs and parish chiefs) will make sure beneficiaries are aware of the payment date, time and venue. Moreover, RTSU staff should conduct spot checking at the pay points on a randomly basis to check if beneficiaries are being served properly and there are no issues with the payment process. During the payments, the beneficiary should receive a payment receipt.

Once payments are done by PBU, there will be two types of outputs: 1) successful transactions and 2) failed transactions. The PBU should send to the PMU a complete reconciliation file including successful transactions, failed transactions and reasons for failure with details on names of beneficiaries, account numbers and amounts. The



PMU/MIS should be able to read the reconciliation file shared by PBU and update beneficiary information in the database with status of their transactions (success, failure) against their payroll information, so the Operations Coordinator can review this information.

Once all reconciliation reports have been reviewed and approved by the PMU, the PBU will send its invoice for payment of service charge which should be based on the successful transactions. The service charge should be calculated by multiplying the number of successful transactions for a particular cycle by the amount of service charge per successful transaction. The OC at the PMU will check the invoice against the number of beneficiaries who were paid as per the reconciliation file and will instruct the Finance and Accounting Coordinator to pay for the service charge. The invoices should also be sent to the MSP UK or MGLSD for their approval. Once approved, the PMU can pay the PBU.

## 11. Monitoring and Evaluation (M&E)

M&E is an essential management tool that regularly supplies information on how well the SCG is working so that management can take corrective measures to improve the program's implementation. Monitoring is an ongoing process that takes place throughout a program's life and is an integral component of the program. On the other hand, evaluation includes specific reviews, assessments or evaluations of the program in specific areas at a certain point in time. Several reporting tools are used to ensure the programme is implemented in an efficient, effective and transparent manner to ensure delivery of satisfactory services to beneficiaries. Monitoring includes the following type of reports: administration, program, payment and management. Evaluation includes beneficiary cases and impact evaluation. The following is a list of the reports produced by SCG by category:

The following reports are currently monitored by the PMU M&E Unit:

### 1. Administration Reports

- RTSU Monthly Reports
- RTSU Quarterly Reports
- RTSU Support Supervision

### 2. Program Reports

Include beneficiary statistics reports on registration, payments, change management and grievances by geographic area and gender.

### 3. Payments Reports

- Pay Point Monitoring Reports



- Pay Point Exit Survey
- Beneficiary Transaction Audits (Beneficiary transaction Monitoring)

#### 4. Management Reports

- Quarterly Program Performance Report/Dashboard indicators
- Annual Review/Performance Report DFID

#### 5. Evaluation Reports

- Beneficiary case studies
- Program Impact Evaluation

**Spot Checks.** SAGE will conduct spot checks, which are rapid monitoring instruments that seek to assess the quality, effectiveness and efficiency of the program. Quarterly spot checks will be conducted by the PMU and RTSU to provide information about the implementation of the different processes of the program including identification and verification, registration, payments, complaints and change management. Findings/results of the spot checks will indicate which aspects of the program are working well, how much programme management varies across locations and where changes in procedures may be required. They will be used to improve the internal quality control and ensuring program processes are implemented as per the design and guidelines.

**Learning:** In addition, the ESP Programme has a built-in learning and evidence-building agenda to assess the benefits of the programme and support the Government of Uganda (GoU) to build greater coherence into its broader social protection interventions, within the context of a national Social Protection Framework, while also committing to invest in scaling-up the SCG programme nationally. Documenting learning from ESP (both SCG program and policy) is one of the many ways to generate evidence that feeds into the broader evidence agenda. Lessons are generated at all levels in program implementation and in all units of the ESP program.

At RTSU/district levels, SGC implementers will document lessons learned as part of their monthly and quarterly reporting. Quarterly learning meetings will be held within the PMU to share lessons from the respective program units at PMU level. Every six months learning meetings will be held at regional level to share implementation issues, lessons and challenges. Lessons generated from these will be incorporated in the general program learning report.

**Research:** For the Research area, SAGE has conducted numerous studies to inform policy and program improvements. SAGE studies range from large studies conducted by external



consultants to small rapid assessments to inform program improvements and the roll out. The section for research will continuously be updated as new research areas come in.

## 12. Change Management

Change management refers to changes or updates on beneficiaries' status in the program due to deaths or change of alternative recipients. A death of a beneficiary leads to termination of entitlements and replacement with a new eligible person. The change of alternative recipient involves given authorization to a third party to collect the cash on behalf of the beneficiary. Managing changes requires completion of program forms by the responsible duty bearers. All program forms are held and managed by parish chiefs. The parish chiefs will be responsible for reporting all changes on the beneficiary status to CDOs for onward reporting to SCDO-SAGE and up to RTSUs.

The death of a beneficiary should be reported to the parish chief by the deceased relatives, village chairpersons or the chairperson of the executive committee of older persons of the village. It should be noted that delayed death reporting with intention to defraud the program is a criminal offence punishable by law. Once the death is reported, the parish chief will confirm the death and fill out the Death Notification Form (DNF), s/he will also need to fill out a Family Resolution Form so the family can appoint the next of kin to collect any remaining balances on the beneficiary account. The forms will be submitted to the sub-county CDO, and to the SAGE CDO to be delivered to the RTSU. The information will be updated in the MIS so the entitlements can be stopped for that beneficiary, and the information on the next of kin will be sent to PBU so the person will be able to collect any remaining balances through a trustee account.

The PMU will then select the next oldest beneficiary in that sub-county from the older persons' database and inform the RTSU so the person can be visited for verification and registration into the program. During the home visit, an alternative recipient can be appointed, and the respective form should be filled out. Once the person is registered, the form will be delivered to the RTSU via sub-county CDO and SAGE-CDO so the information can be entered and updated into the MIS. The new beneficiary or alternative recipient will be able to enrol into the PBU during the next payment cycle at the mobile van and will be able to collect the benefit regularly.

If a beneficiary wants to change an alternative recipient, s/he will need to ask the parish chief to fill out a form. The form will be submitted to the sub-county and SAGE-CDO for delivery to the RTSU. Once the information is updated into the MIS, the PMU will inform the PBU so the new person can be enrolled during the next payment cycle at the mobile van.

## 13. Complaints



The grievance and complaints system helps to improve program administration by identifying and rectifying errors, improving effectiveness and incorporating valid suggestions and recommendations from beneficiaries and the public to allow the SCG programme to address issues on a timely manner. SCG Complaints and Complaints procedures will be implemented by the RTSU with support of Local Government staff and the resolution coordinated by the PMU SPO Grievance. Parish Chiefs and Sub-County CDOs are the first point of contact for submission of complaints. The forms will be collected by the SAGE SCDO who will deliver them to the RTSU. There will be several channels for lodging complaints including paper based forms through the Local Government channels and hotlines which will be instituted after feasibility research.

**Type of complaints.** There are 2 types of complaints, mainly program and payments. The following are program related complaints:

1. Targeting (Exclusion error: not on the NIRA list)
2. Wrong death notification
3. Death not reported (beneficiary died and somebody is collecting the benefit)
4. Verified but not in the registration list (was verified on the provisional lists but not in the final registration list) due to information management errors
5. Registered in the program but not in the payroll list
6. Delay in updating alternative recipient
7. Complaint about unresolved payment complaint
8. Local Government officers' mistreatment and corruption complaints

The following are payment related complaints:

1. Not enrolled by Bank Staff
2. Biometrics Failure
3. Underpayment (illegal fees charged, liquidity issues)
4. Late payment
5. No payment (van left early, liquidity issues)
6. Quality of service
7. Alternative recipient not being provided
8. Trustee account not opened for next of kin

PMU will be in charge of managing program related complaints while the PBU will manage payment related complaints. The PMU will, however monitor payment complaints, for which the PBU will present regular reporting. PBU will have a hotline, paper based forms and a complaint register. Complaints can be lodged either at the van during the pay day or at the local branch.

**Process:** The MIS is the main tool to be used for complaints. SCG complaint forms will be serialized in the MIS and pre-printed. The PMU will send the forms to the RTSU for



distribution in their respective districts and sub counties. The forms should be available from the parish chief or sub-county CDOs at the payment point on pay date or at any other opportunity. When a person or beneficiary wants to file a complaint, s/he will approach the Parish Chief or sub-County CDO to request a form to be filled out. The Parish Chief or the sub-County CDO records all the complaint details in the form including information about the person or beneficiary. The complainant is given a tear off from the original copy. A complaint register should also record the complaint for monitoring purposes.

The parish chief will submit the forms to the sub-county CDO who in turn will forward them to the SAGE SCDO so they can be delivered to the RTSU for data entry into the MIS. Once the information is entered into the MIS, the RTSU operations officer will review every case, and provide recommendations to the SPO grievances at the PMU for action. Once the program related complaint has been resolved, the RTSU will make arrangements to notify the complainant on the resolution. The maximum time of resolution should be 30 days once the complaint has been registered into the MIS. The PMU should have report mechanisms (to be agreed) on the payment related cases to be discussed with PBU on a weekly basis.

In case of serious grievances regarding fraud, corruption or unethical behaviour, SCG will have a process where beneficiaries or the public can submit the grievance in writing to the Expanding Social Protection Programme (ESP), which will be resolved according to the established guidelines and in accordance with the laws of Uganda. Anybody will be free to seek redress from other government agencies mandated to investigate such cases such as the police.



### Annex 1. Key Outputs and Accountability by Operational Area

Main Process	Communications	Training	Beneficiary Selection	Payments	M&E/change mgmt	Grievances
Who documents the process and makes sure is updated in the guideline and in the training materials?	PMU Comm. SPO	PMU Training SPO	PMU OC	PMU OC/Finance and Accounting Coordinator	PMU M&E SPO	SPO Grievances
Who conducts the process?	-PMU Comm. SPO -PMU Training SPO -RTSU Officers -DIO -SAGE CDO -Sub County CDO -Parish chiefs -Village chairman	-PMU Training SPO -RTSU Officers -DSST	DSST	PMU, PBU	M&E SPO at PMU and RTSU levels	Parish chiefs sub county CDO, SAGE, SCDO, RTSU officer, Grievances SPO
Who reviews the process?	PMU Comm. SPO RTSU Coordinator	PMU Training SPO	DCDO RTSU Coordinator	PBU, PMU	PMU M&E SPO	RTSU officer
Who approves the process?	PMU Comm. SPO	PMU Training SPO	PMU OC	PMU, PBU	PMU M&E SPO	Grievances SPO
Who is accountable for the process?	PMU Comm. SPO	PMU Training SPO	PMU OC	PMU, PBU	PMU M&E SPO	Grievances SPO
Key output	-Key messages for the public -Orientation to LG officers -Rights and responsibilities for beneficiaries	-Training for implementation officers -Training materials -Operational Manual -Updated Guidelines	Beneficiary Lists	Payments Lists and Reconciliation Reports	M&E statistics and reports	Resolved grievances



## Annex 2: SCG Project Cycle Processes Summary

### Communications

- PMU/COM develops material and prepares communication plans
- Some materials are translated at District level and signed off by CAO
- RTSU/DCDO/DIO: delivers key messages to communities on eligibility, rights and responsibilities using guidelines and material

### Training

- CAO appoints DSST
- PMU briefs 1 day: CAOs, District Councillors, sub-county chiefs, sub-county chairpersons, older persons committee and civil society.
- PMU provides 5-day training to DSST and RTSU
- RTSU and DSST trains 2 day: sub country CDOs and parish chiefs
- DSST briefs sub-county councillors and sub-county executive committee of older persons
- Sub-county and parish chiefs brief village chairpersons and village executive committee older persons committee

### Beneficiary Identification and Selection

- NIRA sends national ID information
- PMU MIS generates provisional lists (>60 years old) per sub county
- RTSU prints lists for distribution
- Messages are sent out to mobilize community
- DSST conducts parish level meeting for verification
- Provisional list persons are verified through national ID, other ID or older person committee
- Additional older persons are registered in supplementary register after being verified
- Not present older persons can be nominated
- DSST conducts home visits for absent people
- Provisional lists and supplementary lists sent to RTSU for review and data entry into MIS
- RTSU coordinator informs OC for final review and approval and sends forms to PMU for archiving
- Targeting: MIS SPO prepares beneficiary lists: 50-100 oldest persons by sub-county



## Program Registration

- PMU OC reviews and approves beneficiary lists
- PMU and PBU organize program registration and PBU enrolment dates, location and times
- PMU pre-prints serialized registration forms with beneficiaries' information
- DSST informs beneficiaries through radio spot messages, mobilization lists and parish chief
- DSST organizes mobilization for infirm beneficiaries
- During registration: beneficiaries are brief on rights and responsibilities and verified one more time
- Registration/alternative recipient forms are completed and signed
- Confirmation registers are filled out and signed
- Beneficiaries/alternative recipients can enrol with PBU
- Forms and registers are sent to RTSU for review and then forward to the OC at PMU for final review and approval
- PMU/MIS updates information in the MIS

## Payments

- Ongoing beneficiaries' information updates in MIS
- PMU/MIS conducts pre payroll checks
- PMU/MIS produces payroll
- PMU/MIS conducts post payroll checks
- PMU/OC review and approves payroll and sends to FM
- FM reviews and makes funds requests (donor or Government)
- PMU shares payroll and transfer funds to PBU
- PBU makes payments
- Beneficiary receives receipt
- PBU prepares successful and failure transaction lists and reconciliation report and sends to PMU with invoice for successful transactions
- PMU OC review and approves
- OC informs FM to pay services charges
- PBU in charge of payment complaints, reports on a periodic basis to PMU



## M&E

M&E officers conduct:

- Monitoring on administration, program, payment and management reports
  - Evaluation/impact reports
  - Spots checks for operational processes
  - Learning (mainstream lessons learned into the program) and research activities to inform policy and ESP program
- Document case studies for the program

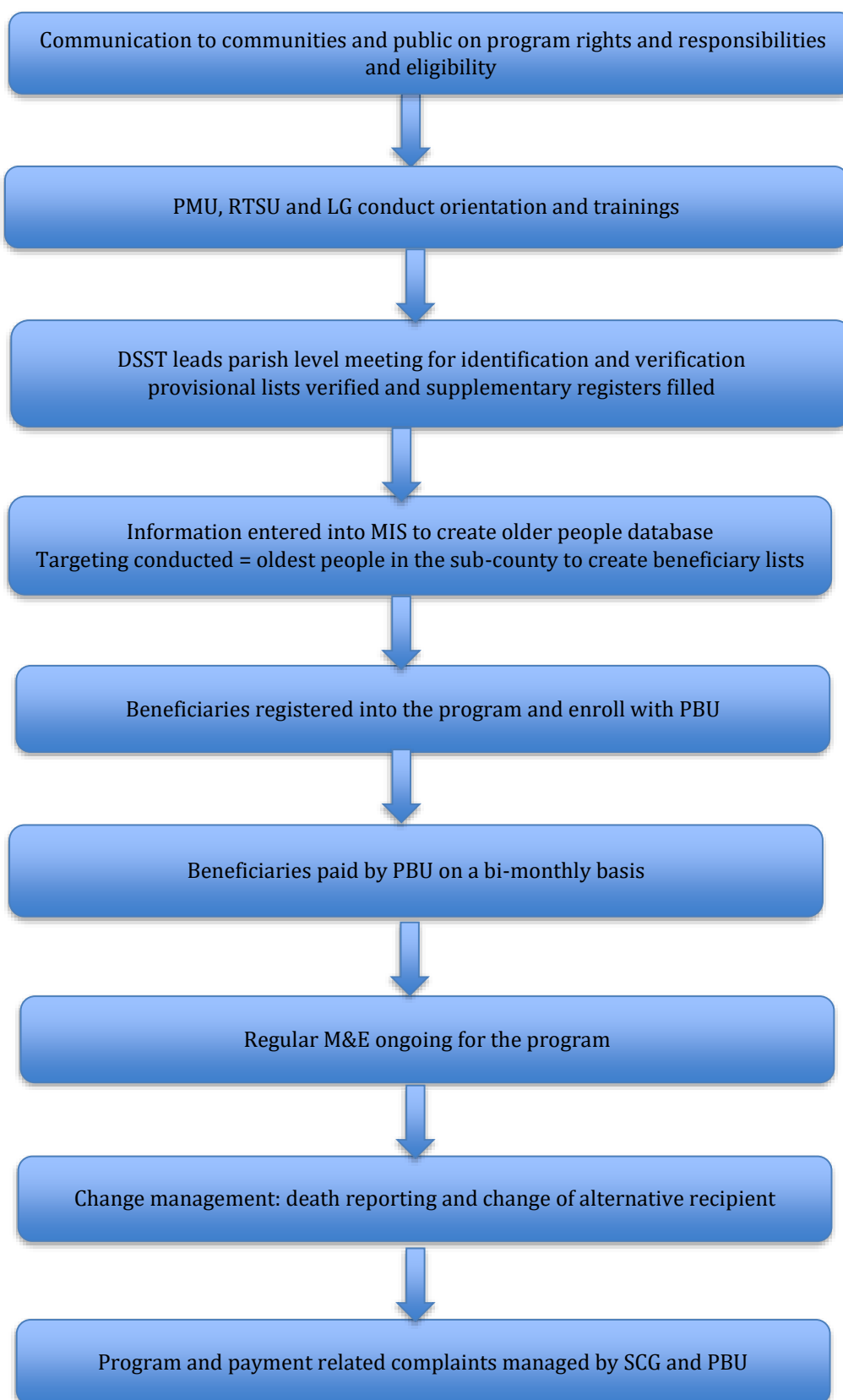
## Change Management

- Parish chief/sub-county CDO fill out death notification form, family resolution forms and/or change of alternative forms
- Parish chief submits forms to sub-county CDO
- SAGE SCDO in charge of collecting forms and submits to RTSU for data entry
- RTSU officer reviews forms and updates information in the MIS
- RTSU approves information and submits to OC
- OC reviews, approves and informs MIS SPO to update information in the MIS
- MIS SPO updates information for the payroll
- OC informs PBU on next of kin (in case of death)
- Next oldest person in database will become new beneficiary
- RTSU and LG will make arrangements to register new beneficiary

## Complaints

- Parish chief/sub-county CDO will have complaint forms
- S/he assists complainant to fill out form
- Parish chief submits forms to sub-county CDO
- SAGE SCDO in charge of collecting forms and submits to RTSU for data entry
- RTSU officer reviews complaints and provides recommendation to SPO
- Grievances
- Grievance SPO manages and resolves complaints using MIS and informs RTSU
- After resolution, communication is sent out by RTSU to complainant via letter or SMS

### Annex 3: Project Cycle Process Flow Chart





## Annex 4. Training Plan

Type	Trainer	Trainees	No Trainees	No days	Topics	Material
DT1	PMU/training team	RTSU and DSST -DCDO -SAGE SCDO -DIO -3 sub county CDOs	6	5	Program implementation <ul style="list-style-type: none"> <li>• all processes</li> <li>• tools: forms and reports</li> <li>• roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• operational manual</li> <li>• all guidelines</li> <li>• PPTs</li> <li>• work plans</li> </ul>
DT2	PMU/training team	-District Councillors -CAO -Sub county chiefs -Sub county chairpersons -Older persons committee (district level) -civil society	100	1	Orientation <ul style="list-style-type: none"> <li>• program overview</li> <li>• roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• operational manual</li> <li>• PPTs</li> </ul>
DT3	RTSU/DSST	- Sub-county CDOs -parish chiefs	40	2	Program implementation <ul style="list-style-type: none"> <li>• identification and verification processes</li> <li>• tools: forms and reports</li> <li>• roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• operational manual</li> <li>• identification and verification guidelines</li> <li>• M&amp;E guidelines</li> <li>• complaints guidelines</li> <li>• PPTs</li> <li>• work plans</li> </ul>
DT4	DSST	-Sub-county councillors - Sub-county executive committee of older persons	25	1	Orientation <ul style="list-style-type: none"> <li>• program overview</li> <li>• roles and responsibilities</li> </ul>	
DT5	Sub-county CDO with parish chief support	-Village chairman's -village executive committee of older persons	50	1	Orientation <ul style="list-style-type: none"> <li>• program overview</li> <li>• roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• identification and verification guidelines</li> <li>• PPTs</li> </ul>
DT6	Refresher trainings	PMU	tbd	tbd	tbd	tbd

PPT: power point presentation



## Annex 5: Senior Citizens Grant

**Eligibility:** SCG is a grant provided to Ugandan senior citizens 65 years or above, who do not receive a pension and are not eligible to receive one. A national ID card/number is required to register into the program.

**Payment:** The grant is UGX 25,000/month which may be paid on a bi-monthly basis. Post Bank Uganda is the payment service provider. There are no additional fees charged to collect the benefit. A designated alternative recipient can receive the benefit. S/he needs to be registered into the program and the PBU, and must have a national ID card/number.

**Beneficiary Selection:** Beneficiaries were selected using the national ID database, and were verified during a parish level meeting. Only people verified on identity, age and place of residency, through the national identity card were selected.

**Complaints:** If there is an issue with the payment, you can file a complaint through the PBU. If there is an issue with the program, you can file a complaint with the parish chief, who will have complaints forms available.



## Chapter 2: Introduction

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### Chapter Summary

This chapter provides an overview of the SCG. It sets out the rationale for the programme, provides an overview of the SCG and its operations, and sets out the SCG implementation schedule.

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#### Section A

Rationale for the SCG

#### Section B

Overview of the SCG

#### Annex 1

Summary of impacts of SAGE

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## Section A: Rationale for the SCG

### Country context

Uganda has achieved sustained economic growth over the last two decades and a significant reduction in the poverty head-count: GDP has grown at over 7 per cent annually while the incidence of poverty has more than halved, from 56 per cent in 1992 to 24.5 per cent in 2010 and 19.7 per cent in 2013. Despite this progress, high levels of poverty and vulnerability remain. According to the Uganda Bureau of Statistics, 19.7 per cent of the population (7 million people) remained below the national poverty line in 2012/13, down from 38.8 per cent in 2002/3.

Poverty in Uganda is closely associated with lack of labour capacity and high dependency ratios. Old age and disability are closely correlated with poverty. Child poverty rates are also high. Around 71 per cent of households with an older person are either in extreme poverty or are highly vulnerable to falling into extreme poverty with even a small shock to their income. Decreasing health and increasing levels of disability mean that older people, particularly those over 75, become more and more dependent on others for care. Yet older persons continue to bear the burden of care for 60 per cent of Uganda's orphans and vulnerable children: it is estimated that over 3 million children are under the care of older persons. Around 22 per cent of households in Uganda contain someone aged 60 years and above and 14 per cent contain someone aged 65 years and above. Globally, old age is associated with reduced income-earning capacity and therefore increased vulnerability to poverty.

Historically, families and communities cared for older persons in Uganda. However, persistent poverty, rapid modernisation, changing attitudes, urbanisation and issues such as HIV and AIDS have put these traditional social protection mechanisms under strain. Access to formal social security is extremely limited with only 7 per cent of older persons able to access formal social security schemes like the National Social Security Fund (NSSF) and Public Service Pension Scheme. As a result, many older persons experience extreme poverty, social exclusion and discrimination. Furthermore, traditional ways of coping with poverty in old age, such as withdrawing children from school in times of hardship, have significant consequences for human capital development. It is therefore critical that households with both older persons and children gain more secure incomes to tackle the intergenerational transmission of poverty.

### The Role of Direct Income Support

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.



Direct Income Support reduces 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 support has been shown to improve the resilience of chronically poor households in the face of health and other shocks. It 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. Direct Income Support not only reduces 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 Senior Citizens' Grants**

Senior Citizens' Grants (SCGs) – 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 are 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. SCGs have been shown to increase access to health and education services amongst older people. But the benefits of SCGs extend beyond the aged. SCGs 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. Further, they contribute to social cohesion and are effective at reaching other vulnerable groups, e.g. persons with disabilities and orphans. Where older people are able to continue working, SCGs are also intended to support them by providing the necessary investments to start small businesses. They also boost rural employment through the stimulus additional cash brings the local economy and through the hiring of youth by recipients to work on their land.

## **Evolution of Uganda's Senior Citizens' Grant under ESP I**

In 2010, the Government of Uganda (GoU), supported by DFID, Irish Aid and UNICEF, launched the Expanding Social Protection Programme (ESP I). The goal of ESP I was to reduce chronic poverty and improve life chances for poor men, women and children in Uganda. Its purpose was to embed a national social protection system, including social assistance for the poorest and most vulnerable, as a core element of Uganda's national planning and budgeting processes.



The programme was designed around two components: a) policy support focusing on strengthening leadership on social protection across government, developing a national social protection policy, generating evidence on the impacts of social protection, and building government commitment and investment in social protection; and b) the implementation of a cash transfer pilot (Social Assistance Grants for Empowerment – SAGE) to generate evidence of impact and establish and test delivery systems for a national system of direct income transfers. SAGE piloted two cash transfers – a Senior Citizens Grant to people aged 65 years and over (60 years in Karamoja), and a Vulnerable Families Grant that targeted labour constrained households.

During the pilot, SAGE provided direct income support of UGX 25,000 per month via the MTN Mobile Money service to around 113,000 direct beneficiaries in 15 pilot districts. The Senior Citizens Grant (SCG) enjoyed widespread popular support during the pilot period. The GoU funded the addition of a 15<sup>th</sup> district – Yumbe – into the SCG pilot, and the President instructed the MoGLSD and the Ministry of Finance, Planning and Economic Development (MoFPED) to draw up a national roll out plan for the SCG, demonstrating the GoU's strong commitment to the programme. While the VFG showed positive changes in the lives of beneficiaries, it failed to garner strong support across the public, Government and other stakeholders and faced implementation challenges and higher costs.

Under ESP I there were positive indications that SAGE has improved the welfare of older persons and their families through increased:

- Food security and nutrition
- Uptake of education services among children living with older persons.
- Uptake of health services
- Participation of older persons, particularly older women, in community affairs
- Ability to hire labour and purchase implements to tend their farms
- Access to credit for investment and in times of hardship
- Access to other government services, community support and harmony within households.

Annex 1 summarises key impacts attributed to SAGE during ESP I.

Through ESP I, the GoU also made good progress to embed social protection in national policies, plans and budgets. A national Social Protection Policy with a costed Programme Plan of Interventions for Implementation (PPI) was prepared, and is awaiting submission to and approval by Cabinet. Implementation of the SCG is included in the PPI.

ESP I was supported by DFID (£51.5 million), Irish Aid (£7 million) and the GoU (£3.51 million, mainly via in-kind contributions including office space and staff time). UNICEF provided initial in-kind support to household registration in SAGE pilot districts. The GoU is committed to financing an increasing proportion of the cost of SAGE cash transfer payments. The GoU budgeted UGX 2 billion in 2013/14 and the same amount in 2014/15. The GoU has allocated UGX 9 billion for FY 2015/16.



## Legal and policy framework

The Constitution of the Republic of Uganda enjoins the State to give the highest priority to the enactment of legislation and establishment of measures to protect and enhance the rights of all people to access social services and have equal opportunities in the development process.

The Uganda Vision 2040 envisages a social protection system that includes a universal pension for older persons, public works schemes for vulnerable unemployed persons and social assistance to vulnerable children, persons with disabilities and the destitute.

The National Development Plan 2015/16 – 2019/20 highlights social protection as a key strategy for transforming Uganda to a modern and prosperous middle-income country. It recognizes that social protection contributes to human capital development by promoting inclusive growth.

The new National Social Protection Policy, developed under ESP I, will guide the gradual evolution and strengthening of the national social protection system and delivery of social protection services in order to: increase access to social security; enhance care, protection and support for vulnerable people; and strengthen coordination of social protection services. The Social Protection Policy will be implemented through a costed Programme Plan of Interventions for Implementation (PPI), which makes provision for implementation of the SCG as a key direct income support instrument.

The SCG also contributes to the implementation of several other relevant policies, including the National Orphans and Other Vulnerable Children Policy (2004); the National Policy on Disability (2006); the National Policy for Older Persons (2009); the Uganda Gender Policy (2007); the Special Needs and Inclusive Education Policy (2012); and the National Food and Nutrition Policy (2003). It is also consistent with key national legislation, including the Pensions Act and the National Social Security Fund Act.

## Regional and international frameworks

Uganda has endorsed the Ouagadougou Declaration and Plan of Action on Employment and Poverty Alleviation in Africa (2004). The Plan calls for improvement and strengthening of existing social protection schemes and extending them to excluded workers and their families. Uganda is a signatory to the Livingstone Call to Action (2006), which obliges African states to put in place costed plans to implement Direct Income Support (DIS) programmes. The African Union Social Policy Framework (2008) calls on member States to recognize social protection as a state obligation, provided for through national legislations.

The Universal Declaration of Human Rights (1948) enshrines the right to social security and to an adequate standard of living for all. Other relevant international instruments include the International Covenant on Economic Social and Cultural Rights (1966), the Convention on the Elimination of all forms of Discrimination against Women (1979), the Convention on



the Rights of the Child (1989), the Convention on the Rights of Persons with Disabilities (2006), the ILO Convention on Employment Policy No. 122 (1976), the ILO Convention on Public Contracts, and the ILO Convention on the Prohibition of the Worst Forms of Child Labour No. 182 (1999) and the ILO Recommendation no. 202 on national floors for social protection (2012).

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## Section B: Overview of the Senior Citizens' Grant (SCG)

The main elements of the SCG are summarised below.

### Target population

The SCG will provide a regular grant to all Ugandan citizens aged over 65 years of age (over 60 years of age in Karamoja region) who have been resident in selected districts for at least one year and who are not eligible to receive benefits under the Public Service Pension Scheme.

### Geographical roll-out

During ESP I, the SCG was piloted in the 15 districts of Kyenjojo, Kyegegwa, Kiboga, Kyankwanzi, Apac, Kole, Katakwi, Kaberamaido, Moroto, Napak, Nakapiripirit, Amudat, Nebbi, Zombo and Yumbe. Full coverage in the 15 pilot districts will continue, including roll out of the SCG in all sub-counties yet to receive the SCG<sup>1</sup>.

From 2016 to 2020, the SCG will roll out 40 additional districts not covered by the SAGE pilot, covering all sub-counties in the district. In 2015/16, 20 new districts will be added, with five new districts added every subsequent year for the remaining four years of ESP II. The oldest 100 eligible senior citizens in each sub-county will be enrolled in the first five years, with coverage increasing within sub-counties between 2021 and 2025 to achieve full national coverage. To maximise the impact of the SCG among areas disproportionately affected by poverty, climate change and other post conflict challenges, enrolment within five districts in the Acholi, Karamoja and Lango sub-regions will be accelerated over the next 5 years, increasing by 100 people a year to achieve coverage of the oldest 500 senior citizens in each sub-county by 2020.

The pilot districts were selected based on a vulnerability index. The 40 additional districts for roll out were selected based on a composite vulnerability and poverty index, complemented with further consideration of regional balance to ensure political and social acceptability.

Figure 1 below presents a map for SCG roll-out across Uganda in the next five years.

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<sup>1</sup> 25 sub-counties in these districts currently receive the Vulnerable Families Grant (VFG) instead of the SCG. The VFG will be phased out in 2015 and the SCG introduced to all these sub-counties in 2016.





## Benefit size

In 2015, SCG recipients will receive UGX 25,000 per month, to be paid every two months. The size of the benefit will be adjusted annually based on increases in national inflation.

## Selection of SCG recipients

The National ID Card data will be the primary and preferred source of identity verification for SCG eligibility and registration. Community registration and verification will be conducted for those who are not registered for either of these cards using alternate identification (i.e. passport, birth certificate) or through locally developed calendars of events.<sup>2</sup> Over time, the programme hopes to transition to using only the National ID Card to verify potential SCG recipients.

## Registration of SCG recipients

To correctly identify the oldest 100 SCG beneficiaries in each sub-county, it is necessary to develop a registry of all senior citizens aged 65 years and over (60 years in Karamoja) and rank them by age. To do this, a national SAGE Older Persons Database is being developed to initially include the 20 new SCG districts and sub-counties where the VFG is being phased out, with additional districts to be added as the programme rolls out. The provisional database draws on National Identification (ID) Card.

A mass verification of all persons on the provisional SAGE Older Persons Database, and eligibility verification of omitted persons, is held in each parish where the SCG will be rolled out by a District Older Persons Verification Team, supported by the various committees of the older persons' councils at the parish and village level.

The District Older Persons Verification Team will physically verify each person listed on the provisional list. Community members 65 years and above (60 years in Karamoja) who produce a passport, a driving permit and/or a long birth certificate that are considered to have authentic information on age will be briefly verified and added to the register and require to obtain a national identity card in order to be registered in the program (if eligible). Others who wish to be considered for the database will be verified through community processes, using a locally developed calendar of events and through examination of supporting documentation such as marriage certificates, tax records and others to support their claim where possible.

In sub-counties where the SCG is only being rolled out to the eldest 100 beneficiaries, older persons on the database will be ranked according to age and will accordingly be registered into the SCG and enrolled with the payment service provider. When one of the 100 SCG beneficiaries dies, the next person on the older persons database will be registered and enrolled to start receiving the SCG. This change management process will be ongoing.

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<sup>2</sup> Calendars of events are a normal means of assessing age of people without identity documents. See McPherson (2011) for more details.



Any appeals against this process will be considered during annual SAGE older persons database updates, with potential beneficiaries encouraged to register for the National ID Card to facilitate their later inclusion on the database.

### **De-registration of SCG recipients**

Recipients of the Senior Citizen's Grant will be removed from the recipients' database and subsequently payrolls upon their death. The death of a recipient will be reported to the Parish Chief, who will in turn report to the DCDO via the SAGE SCDO and sub-county CDO.

### **Payment of SCG benefit**

During the SAGE pilot, payments were made every two months through MTN mobile money at supervised pay points.

During 2016, the PMU signed a contract with Post Bank Uganda who will be the payment services provider. This new service provider will provide a more cost effective, efficient, accessible and secure system for the reliable delivery of regular cash transfer payments to SAGE recipients nation-wide across Uganda.

As a transitional measure, initial payments in the 20 new SCG districts will be made through manual payment processes by PBU.

### **Management information system**

Information management is a critical component of the SAGE programme in supporting operational process across the SCG programme cycle. The MIS plays an important role in the effective implementation and management of the programme through collecting, transferring, and managing information across the different processes including selection and registration of recipients, enrolment of beneficiaries, monitoring, production of payrolls with amounts to be paid, reconciliation of payments, management and monitoring of grievance complaints, and change management. During the first phase, the MIS was developed and housed the PMU level.

During the second phase, the MIS is being improved and enhanced to improve the efficiency and effectiveness of the process. The MIS will continue to be housed at the PMU at the national level, but the introduction of the RTSU at the regional level will allow the MIS to become decentralized to improve quality of implementation and the monitoring and evaluation of activities at the district and sub-county levels.

All functions will be moved to a web-based system with restrictions on different user profiles at the national and regional levels.

Consultations between the PMU and the Post Bank Uganda must be made in relation to how data will be exchanged in relation to programme implementation. This refers to data exchange of beneficiary information, change management, payroll updates and reconciliation and payment complaints.



## Transparency and accountability

The SCG is not only about poverty, vulnerability and inequality—it is also about empowerment, justice and citizenship. SCG implementation and service delivery is guided by a set of principles laid out in a SAGE Programme Service Charter. The Service Charter emphasises the following rights of members of the public in participating communities:

- i. The right to access information about the programme and to make informed decisions.
- ii. The right to be treated with respect and to be free from discrimination based on sex, age, ethnicity, religion or ability.
- iii. The right to access an independent appeal process (in the event of exclusion during targeting/registration)
- iv. The right to access programme registration and payments facilities irrespective of sex, age, educational attainment or disability.
- v. The right to full and timely payment of grant payments.
- vi. The right to complain and receive timely redress in the event that the programme fails to uphold the above.

In the event that these service standards are not met, beneficiaries may complain using dedicated complaints mechanisms.

## Grievance and complaints system

The grievance and complaints system helps to improve program administration by identifying and rectifying errors, improving effectiveness and incorporating valid suggestions and recommendations from beneficiaries and the public to allow the SCG programme to address issues on a timely manner. Grievance systems can also act as a deterrent to those planning to engage in unethical and criminal behaviours such as fraud, theft, corruption and abuse, since they are aware that anyone could potentially raise a complaint against them.

The SCG programme encourages members of the public or any other concerned individuals to submit complaints and grievances directly about any aspect of the SCG programme delivery using the right complaint channels. SCG acknowledges its responsibility to ensure that complaints are resolved in an appropriate and timely manner.

The SCG Complaint procedures will be implemented by the RTSU with support of Local Government staff and supervised by the SPO Grievance and complaints. Sub-County CDOs and Parish Chiefs are the first point of contact for submission of complaints. The forms will be collected by the SAGE SCDO who will deliver them to the RTSU. The DCDO, SCDO and Parish Chiefs are expected to integrate SCG complaints management into their day-to-day community development work, including and receiving, reporting and submitting of complaints forms to the resolution centres.



## Monitoring and evaluation

Regular monitoring and evaluation of the SCG implementation are undertaken according to annual work plans. Lessons learned and issues arising are documented periodically as case studies, to help improve project performance and feed into broader policy work. Findings are shared at national level workshops with key stakeholders and widely disseminated. Monitoring data is fed into the MIS by RTSU MIS Officers using information supplied by the SCDO SAGE and other agencies.

An independent evaluation contractor will carry out periodic assessments during the ESP II period. The ESP programme also commissions special studies on issues of particular importance. Once the payment mechanism for the SCG is finalised, methods to collect data on the impact of the programme on beneficiaries as well as its operational effectiveness will be developed.

## Communications

The ESP II Communication strategy is designed to improve understanding and foster commitment to social protection among policy makers and the public. The ESP communications strategy therefore focuses on articulating public demand for social protection as a key precursor to the generation of the political commitment required for developing and implementing a national social protection system. 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 sub-national communication strategy sits within this broader strategy and focuses on programme communication to facilitate implementation of the SCG.

The purpose of the sub-national communication strategy is to ensure that SCG beneficiaries and stakeholders are well informed, participate in the programme and provide necessary support for its successful implementation. Successful implementation articulated through evidence and 'testimonies' of the beneficiaries in turn supports advocacy for social protection in Uganda.

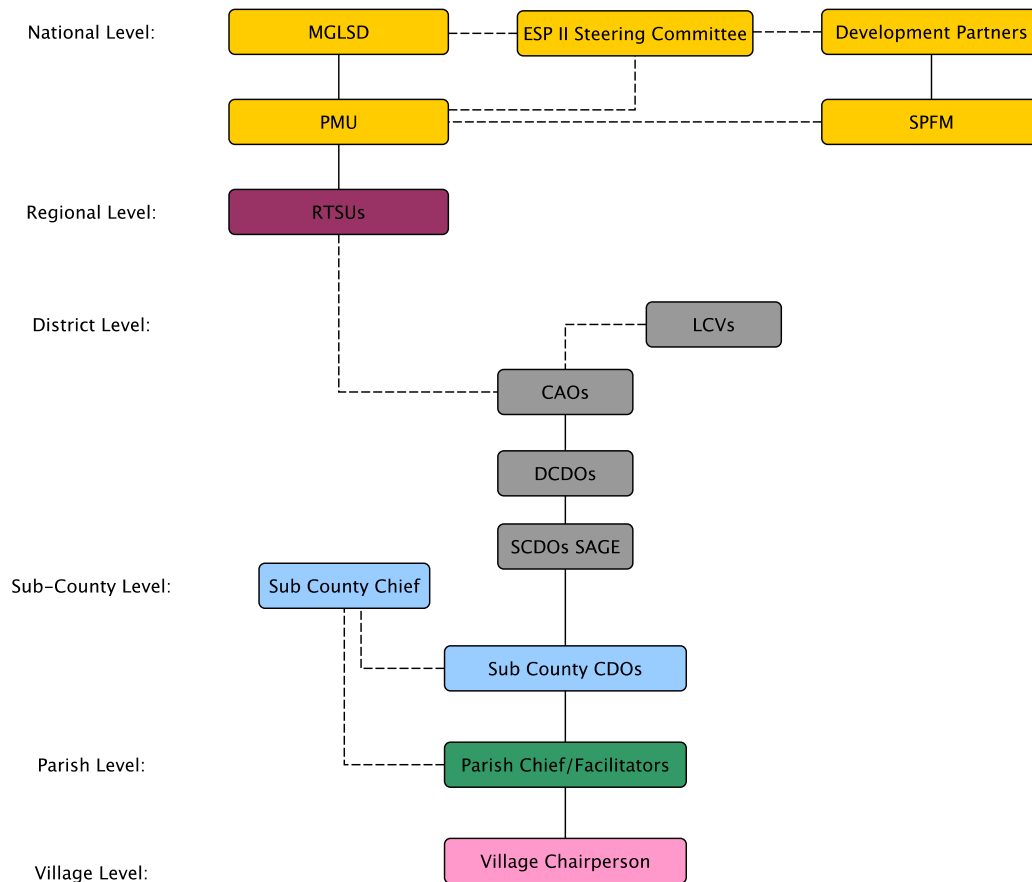
## Management arrangements

The Ministry of Gender, Labour and Social Development manages the SCG through the Expanding Social Protection (ESP) Programme Management Unit (PMU). The SCG is largely implemented through community development offices at the regional, district and sub-county level, with support from parish chiefs and village leaders. A Social Protection Fund Manager (SPFM) manages development partner contributions to the SCG and provides technical assistance.



The ESP II Steering Committee is chaired by the PS, MGLSD and has representatives from key stakeholders. The Steering Committee provides management oversight of the SCG programme as part of its remit.

Figure 2 SCG Institutional arrangements



## Financing arrangements

The SAGE Operations Unit of the PMU is responsible for managing the overall programme budget including personnel costs, technical assistance and implementing partners, SAGE operational costs and evaluation activities. The PMU prepares annual budgets and will disburse funds centrally and through the RTSUs to finance local-level SCG operations. The SPFM is responsible for financing SCG operational support costs in all SCG districts and for financing SCG payments in 14 pilot districts. MGLSD is responsible for financing payments in Yumbe and all new rollout districts. Between 2016/17 and 2019/20, MGLSD will gradually take over the financing of payments in the 14 pilot districts. Extensive control systems have been set up to reduce fiduciary risk.



## Annex 1: Summary of impacts of SAGE

The MGLSD has documented the lessons and impact of the programme on direct beneficiaries as well as the wider community and economy throughout the pilot period. This has been done through an independent impact evaluation, commissioned research and pay point exit surveys. Key findings are that SAGE has improved the welfare of older persons and their families through increased:

- i. Food security and nutrition
- ii. Uptake of education services among children living with older persons.
- iii. Uptake of health services
- iv. Participation of older persons, particularly older women, in community affairs
- v. Access to credit for investment and in times of hardship
- vi. Access to other government services, community support and harmony within households.

### **Nutrition and food security**

The majority of the beneficiaries spend the largest portion of their SAGE transfers on food. As a result, SAGE is achieving notable improvements in food security including increased accessibility and availability of food in the markets; increased frequency, quantity and quality of meals eaten by beneficiary households; and an anticipated increase in the production of foodstuffs as communities are growing more food stuffs in anticipation of the market that has been created by SAGE. Increased consumption of food and improved food security is likely to have significant long term effects on the nutritional status of household members as well as positive in terms of enabling children to learn better at school and improving their health status. Indeed, beneficiaries consistently report that because of the availability of quality food, children are now happy to go to school, are able to stay in school longer and learn better.

### **Access to education**

Paying school fees and purchase of scholastic materials has also been reported as one of the key areas where the beneficiaries spend their money on. As a result, of the 74% of exit point survey respondents who lived with children, 90% reported improved school attendance. This was attributed to the ability of the households to pay school fees, buy scholastic materials, uniforms and food. Indeed, according to the UNHS report of 2010/, less than 7 out of 10 children from the poorest households are enrolled in school compared to more than 9 out of 10 from the wealthiest households. One of the older persons in Inomo sub-county, Apac district said this about the grant: *'my grandchildren in lower primary can now carry food stuffs to school for at least two weeks from the time the payment is made, they are now willing to go to school since they have packed food'*.

### **Access to health care**

The second most frequent use of SAGE transfers reported by beneficiaries is medical care. 52% of the respondents report having spent some of their previous month's payment on medical care. Providing direct income support to poor households enables them to access basic social services, which create gains for government investment in health and education



facilities. According to the UNHS report of 2010/11, 31% of the people cited financial constraints as being the main reason why they did not access medical services.

Evidently, there appears to be large financial barriers to the uptake of education and health services with implications for Uganda's long-term social and economic development. This is particularly so in the case of the 60% of orphans and vulnerable children currently in the care of older people in Uganda. Failure to provide additional support to older people and the children in their care risks fundamentally undermining their future life chances and perpetuating the intergenerational transmission of poverty.

### **Increased productivity of beneficiary households**

Through:

- i. Investment of grants in purchase of livestock, farming and the establishment of small businesses. A beneficiary survey confirmed that around 30 per cent of SAGE beneficiaries are regularly saving a portion of their grants to cover emergencies, to support productive investments, cultivation and meeting the education and scholastic needs of their children/grandchildren.
- ii. Widespread use of grant funds by older persons to hire day-labourers to open up idle agricultural land
- iii. Increased savings and investment. To-date, over 15,000 beneficiaries have formed savings and loan groups, saving on a weekly or monthly basis and then disbursing the accumulated savings on a rotational basis at agreed intervals.

### **Boost to local economic activity**

Increased purchasing power among SAGE beneficiary households has increased demand for local goods and services. This has resulted in the establishment of new business and markets to supply essential commodities such as soap, salt, sugar and paraffin and food stuffs – particularly on SAGE paydays.

### **Increased social inclusion and empowerment**

SCG beneficiaries, especially women, consistently report improved participation in community affairs, increased self-esteem and empowerment. Older persons report feeling less discriminated against in their communities and more valued by their families on account of their ability to make social contributions to community-based social support mechanisms which are based on reciprocity (funerals, weddings etc.).

### **Strengthened social cohesion, social contract and visibility of government to communities**

The Senior Citizens Grant (SCG) has been well received by beneficiaries and the general public across the political divide as it: reflects Ugandan values of support for the elderly; builds social cohesion; and delivers services directly to beneficiaries. Indeed, the programme has been described by some beneficiaries as “one of the best government programmes that directly reaches out and touches the people”. Strong evidence is also emerging that SCG has significantly reinvigorated local level service delivery by promoting contact between different levels of government and the community, improving



coordination of service delivery, accountability and the relevance and visibility of government.

### **Access to other development programmes**

The SCG registration and monthly payment process provide unique opportunities for local governments and other development agents to come into regular contact with large numbers of older people and their families. This has enabled government to reach out to people who have been ‘invisible’ thus far. This is a great opportunity for community development and social mobilisation as well as expanding the reach of complimentary services such as age care services, public health and nutrition programmes, agricultural advisory services, rural financial services etc.

### **Impacts on poverty**

Analysis based on the Uganda National Household Survey 2009/10, confirms that national roll-out of the SCG would:

- i. Deliver a basic level of income security to around 1.2 million older persons
- ii. Lift at least 1.3 million older persons and their household members out of extreme poverty.
- iii. Improve economic security for an additional 1.7 million persons who are highly vulnerable to falling into poverty.
- iv. Benefit 3 million of Uganda’s most vulnerable children.

However, this analysis is limited only to the immediate impacts of the SCG benefits on household incomes. As outlined above, the emerging evidence from the SAGE pilot compliments international evidence of the impact of social protection on poverty reduction, nutrition and food security, access to services, and productive livelihoods. The flow of an average of Shs 20 million monthly into every sub-county is stimulating local businesses that are benefitting from increased demand for basic goods and services.

At national scale, such a flow of resources right down to village level would have a major economic impact that would benefit the entire population, not just SCG beneficiaries. Indeed research from Kenya has shown significant multiplier effects; with each shilling spent generating returns as high as 1.7 to 2 shillings (i.e. 200 per cent). Similar studies in other countries have detected returns higher than 200 per cent.

A national Senior Citizen Grant scheme will therefore help prevent the inter-generational transmission of poverty and contribute to building of the human capital necessary for Uganda’s long term productivity.



## Chapter 3: Institutional Arrangements and Governance

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### Chapter Summary

This chapter sets out the institutional arrangements and governance structures for the SCG at different levels and describes the roles and responsibilities of all actors in the SCG. It explains how different stakeholders coordinate at different levels in implementing the SCG and in linking social grants effectively with other social development interventions.

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#### Section A

Overview of institutional arrangements and governance of the SCG

#### Section B

Responsibilities of key institutions involved in implementing the SCG

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Relationship between the Technical and Political Structures in the SAGE implementation at the District level

#### Section D

District and sub-county institutional roles and responsibilities

#### Section E

Operations Coordination at District Level

#### Annex 1

Proposed RTSU locations and staffing for SAGE districts 2015/16

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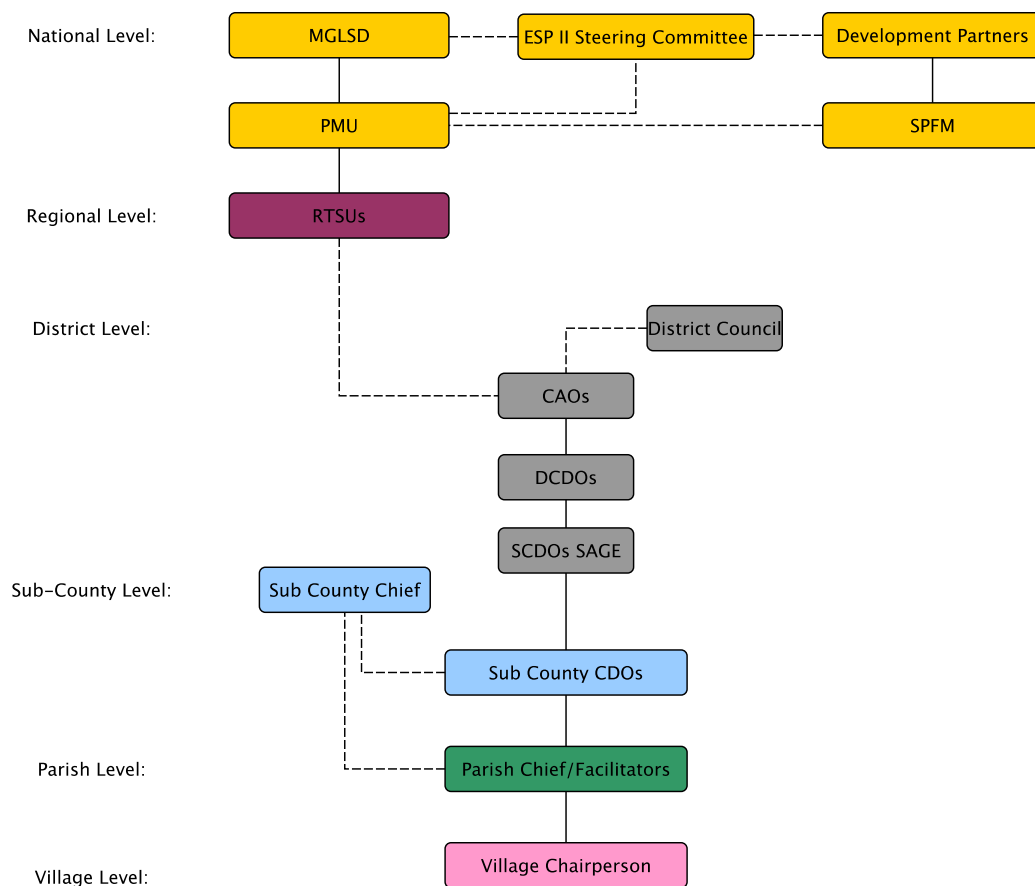
## Section A: Overview of institutional arrangements and governance of the SCG

The SCG is implemented by the MGLSD's Social Protection Secretariat working in partnership with District and Lower Local Governments. A Programme Management Unit (PMU) has been established within MGLSD to lead on SCG and other key social protection initiatives.

SAGE implementation is a partnership between structures at the national, district and sub-county levels, with activities being conducted in a coordinated and planned manner.

The overall institutional arrangements of the scheme are set out in Figure 1 and described below.

**Figure 1: Institutional Arrangements of the SCG**



District implementation arrangements are supported by SAGE Regional Technical Support Units (RTSUs). RTSUs are part of the PMU structure. Seven RTSUs are to be established across the country to support the SCG rollout. Each RTSU comprises: a RTSU coordinator; 1-3 operations officers; an M&E officer; an MIS and IT officer; an Administration Officer; and 2-3 drivers. The RTSU Coordinator reports directly to the SPO Operations at the PMU. The Administration Officer administratively reports to the RSTU coordinator and technically to the Human Resources and Administration Coordinator at the PMU.



At District level, SAGE implementation is managed by the District Community-based Services Department. The CAO appoints a senior Community Development Officer to manage SCG (SCDO-SAGE) implementation, including to serve as a liaison point between the District and the RTSU, and to support coordination of activities at the Sub-County level.

At the sub-county level, the programme is coordinated by the Sub-County Community Development Officer (CDO) working with Parish Chiefs.

Scheduled programme management and coordination meetings allow for effective planning, coordination and information sharing.

ESP II is funded by DFID and Irish Aid, and is supported by a Social Protection Fund Manager (SPFM) that is contracted by DFID to manage donor contributions to ESP II and to provide technical assistance to priority work areas, including for SAGE operations.

Post Bank Uganda is the payment service provider contracted for delivering payments to recipients. The Payment Service Provider is contracted by the Government of Uganda. Donor funds are channelled through this contract through a Service Level Agreement with the SPFM.

Oversight of the SCG is through the Expanding Social Protection Steering Committee, which meets quarterly and is chaired by the Permanent Secretary of the Ministry.

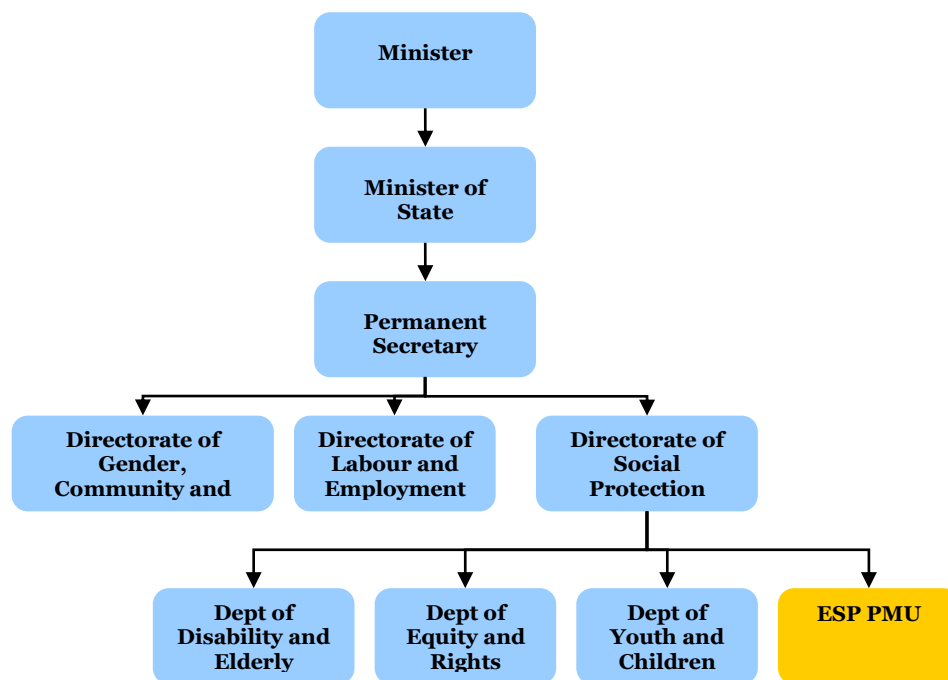
The main responsibilities of the various institutions involved in the SCG are set out below. They are also described in more detail throughout the Operations Manual and guidelines for each operational area.



## Section B: Responsibilities of key institutions involved in implementing the SCG

### Ministry of Gender, Labour and Social Development

Within the structure of the Ministry, an Expanding Social Protection Programme Management Unit (PMU) has been established to lead on policy, advocacy and communication and the implementation of the SCG.



The PMU is headed by a senior MGLSD official who is responsible for the delivery of the programme according to the Programme Memorandum and for coordinating all activities under ESP, including SCG implementation.

The PMU will coordinate and oversee delivery of the SCG, primarily through the SAGE Operations Unit with support from the Finance and Accounting Unit, the Administration and HR Unit, and the Monitoring, Evaluation, Learning and Reporting Unit. Figure 3 shows the organogram for the PMU. For more detail on the PMU organogram, please refer to the ESP Job Descriptions Manual, available through the RTSUs and the PMU. District Local governments and Post Bank Uganda (PBU) will deliver the SCG. Regional Technical Support Units (RTSUs), to be established by the PMU, will provide support and quality assurance to SCG implementation.

Key responsibilities of the PMU in implementing the SCG include:

- planning and managing SCG operations;
- designing and regularly reviewing SCG business processes;
- Updating operational guidelines
- managing partnerships with district local governments;
- monitoring and evaluation;
- capacity building of local governments and other technical training;

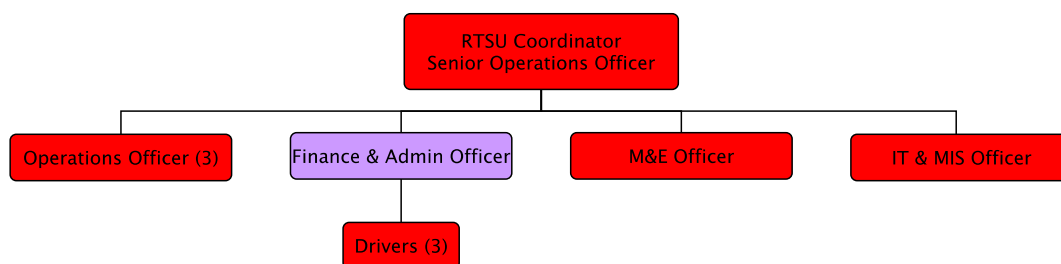


- public communications relating to SCG implementation;
- SCG risk management;
- maintaining complaints and grievance mechanisms; and
- Management of the MIS.

### **Regional Programme Technical Support Units**

One of the major institutional changes envisaged to support scale-up of the SCG under ESP II is the shift of SAGE technical support from district administrative units to regional programme technical support units, a move that will make national roll out more affordable and sustainable. During the SCG pilot, the programme maintained an administrative unit of four SAGE staff in each pilot district to oversee delivery of SAGE. The new regional model will streamline SAGE support, with seven regional offices each supporting SAGE implementation in up to eight districts to be established under ESP II. The purpose of the RTSUs is to provide technical and logistical assistance to district implementation of SAGE, which will be led by districts themselves. Each regional office will have up to 10 staff, with the scope for staffing levels to be reduced depending on need and availability of financial resources. Figure 2 below represents the regional staffing structure, while Figure 3 includes the total RTSU staffing as part of the PMU structure. Regional units will support implementation of SAGE across the districts for which they are responsible.

**Figure 2 Indicative RTSU organisational structure**



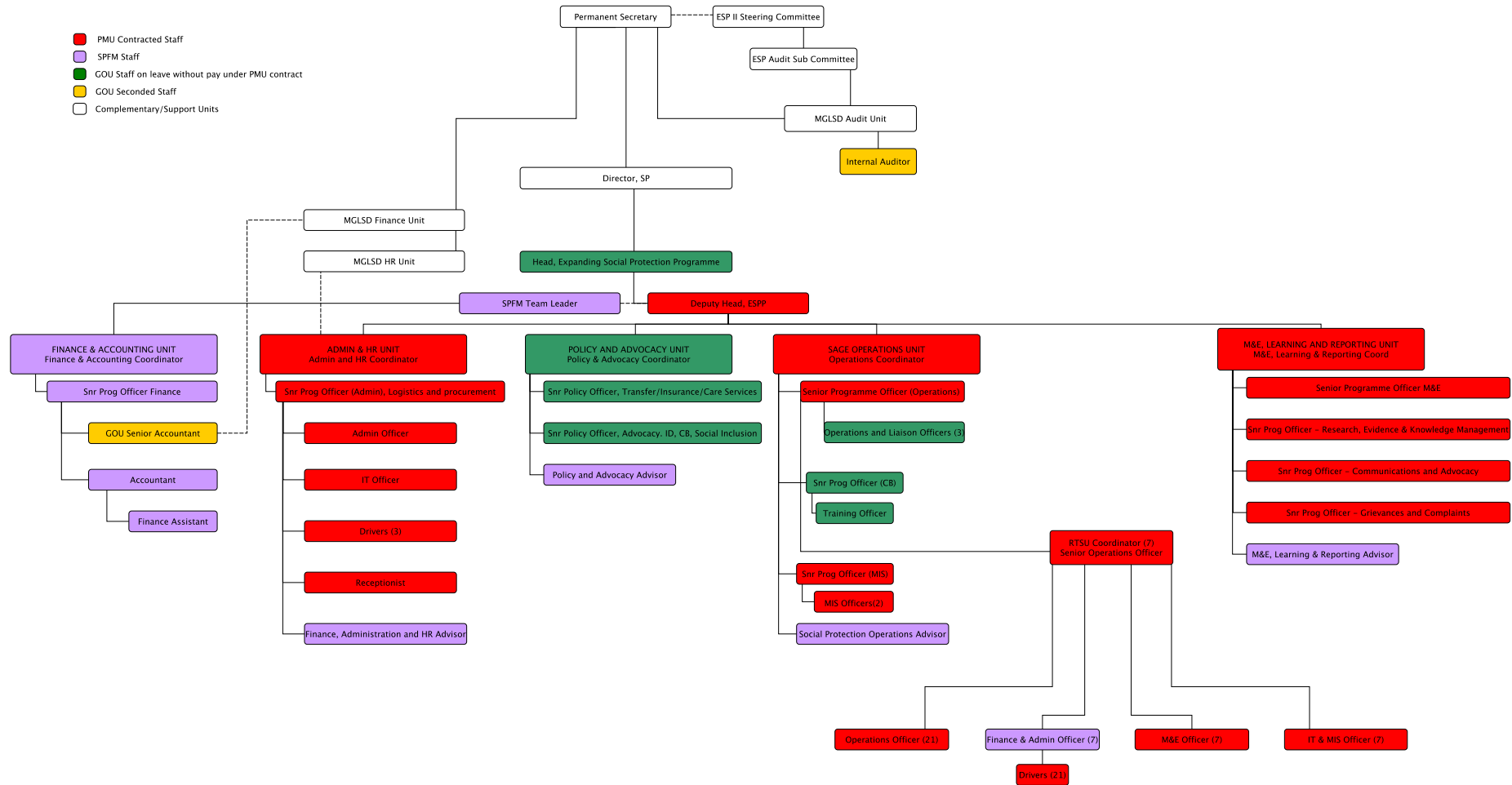
At full national scale (from FY 2020/21 onwards), 10 RTSUs will be required across the country. In the interim, the ESP Secretariat has identified locations for 7 RTSUs required by 2015/16, namely: Moroto, Gulu, Kaberamaido, Kamuli, Kyenjojo, Kiboga and Nebbi. Each RTSU will serve the surrounding neighbouring districts as per the table below. These RTSUs require minimal investment in terms of office setup in order for them to support the 2015/2020 national rollout plan, and will be established with support from the development partners under ESP II. Annex 1 details the location and coverage of RTSUs.

### **Key Issues for RTSU district selection**

1. The regional office will have the required infrastructure to ensure efficiency in operations such as reliable power, transport, road network, Internet, network, banking and pay agents, office equipment (computers, MIS, printer, mobile phones)
2. The regional office can easily reach the other districts in the region
3. Each Operations Officer will support at most 3 districts initially.



**Figure 3. ESP PMU organisational structure**





## District level local government

District level local governments will continue to support programme activities including:

- delivery of training to lower local governments;
- community mobilisation;
- beneficiary coordination and communication;
- supporting verification of applicants' eligibility; and
- monitoring of payment delivery and receiving and resolving complaints.

It is expected that district governments will dedicate one Senior Community Development Officer (SCDO) to coordinate SAGE support. The MoGLSD signed Memorandums of Understanding (MoUs) with all Local Governments for this purpose. These MoUs will be approved by the Solicitor General and witnessed by the Ministry of Local Government. The planned MoUs will include provisions relating to the specific roles and mandates of the PMU and district level local governments; provisions and obligations for local government staffing, office space, equipment, and obligations of all parties; management of assets; financial procedures; coordination mechanisms; and reporting lines. The signing of this MoU is witnessed by the Ministry of Local Government. The SCG Implementation Guidelines are annexed to the MoU and form part of the agreement.

The partnership between the Expanding Social Protection PMU and the District Local Governments will be managed through a District SAGE Programme Management Meeting which shall be convened on a quarterly basis.<sup>1</sup> This meeting will be chaired by the Chief Administrative Officer (CAO) and attended by the District Community Development Officer (DCDO), the SCDO SAGE, a representative of the RTSU, and a national-level representative of the PMU. The CAO will be responsible for reporting on the deliberations of these meetings to the District Executive Committee and District Council while the DCDO will be responsible for reporting to the District Technical Planning Committee of the District council (DTPC).

A Senior CDO assigned by the CAO supports day-to-day management of programme activities and works in partnership with the RTSU and sub-county implementers. It is expected that the workload will require a dedicated SCDO for SAGE.

At the sub-county level, day-to-day activities are handled by sub-county-level CDOs or ACDOs. Parish and community-level implementation is led by Parish Chiefs or, where Parish Chief posts are vacant, Parish Facilitators nominated by Sub-County CDOs and approved by the CAO. These staff report to the SCDO SAGE on matters relating to SAGE operations, who will be responsible for communicating and supporting the coordination of Sub-County-level activities on a day-to-day basis. The SCDO SAGE will update the RTSU on SAGE matters regularly.

Although the Sub-County CDO reports directly to the Senior CDO responsible for SAGE on operational matters, oversight of Sub-County operations is provided by the Sub-County

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<sup>1</sup> It should be noted that the quarterly District SAGE Programme Management Meeting is referred to as the District SAGE Steering Committee Meeting in the MoUs between the MGLSD and DLGs.



Chief who also supports programme implementation by coordinating with relevant administrative structures such as the Parish Chiefs.

### **Social Protection Fund Manager (SPFM)**

A Social Protection Fund Manager (SPFM), contracted by DFID and funded by DFID and Irish Aid, provides technical assistance and management support to the SCG under the auspices of ESP II. The SPFM is responsible for managing and overseeing donor funding to the SCG rollout, including SCG beneficiary payments in pilot districts and funding for operations in the other districts. The SPFM also delivers technical support to the SCG.

The SPFM is co-located with the PMU and works closely with PMU staff in an advisory and support role. It is led by an appointed SPFM Team Leader, who reports to development partners and to the Head of the PMU.

### **Payment Service Provider(s)**

Post Bank Uganda is the payment service provider. PBU reports directly to MGLSD who act on behalf of the Government of Uganda. The purpose of the new PSP is to provide a more cost effective, efficient, accessible and secure system for the reliable delivery of regular cash transfer payments to SCG recipients across Uganda.

The PSP's specific responsibilities are to:

- Establish a reliable and secure payment process
- Coordinate with the PMU to enrol the recipients into the payments process including capturing of biometric data
- Open accounts, distribute payment cards and educate recipients on their use and the payments process in general
- Make timely SCG transfers electronically and, where necessary, manually
- 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
- Resolve payment related grievances

### **ESP Steering Committee**

The ESP Steering Committee provides oversight to all aspects of ESP II, including SCG implementation. It comprises:

- Ministry of Gender, Labour and Social Development (chair);
- Ministry of Local Government;
- Ministry of Public Service;
- Ministry of Finance, Planning and Economic Development;



- Office of the Prime Minister;
- Uganda Retirement Benefits Regulatory Authority;
- UK Department for International Development (DFID);
- Irish Aid;
- Social Protection Fund Manager;
- Civil society representatives;
- Representation from the lead NGOs implementing the SPA;
- Others invited by MGLSD

The Steering Committee is chaired by the Permanent Secretary, MoGLSD and meets quarterly. The Steering Committee may agree the establishment of Sub-Committees to assist ESP II in specific thematic areas. For example, an Audit Sub-Committee will be established under the ESP II Steering Committee to oversee ESP II audit functions. The PMU will provide administrative support to the Steering Committee.

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## **Section C: Relationship between the Technical and Political Structures in the SAGE implementation at the District level**

### **Coordination with District Political Leadership**

As part of the political leadership's role in overseeing and supporting development activities within their district, SAGE engages political leaders for both advocacy purposes and to request their support in carrying out monitoring activities. The RTSU will also share regular programme performance reports with the District leadership through the Quarterly Inter-District Coordination Committee, in which LCVs, CAOs, DCDOs and SCDOs SAGE are all represented. Work plans, budgets and minutes of the quarterly SAGE Programme Management Meeting are also to be copied to the District Chairperson and the Social Services Committee of the District Council. Limited facilitation is provided to the District Executive Committee and Sub-County Executive Committee for monitoring SAGE implementation on a quarterly basis.



## Section D: District and sub-county institutional roles and responsibilities

Positions/ committees	Responsibilities
<b>DISTRICT LEVEL</b>	
<b>District Executive Committee</b>	<ul style="list-style-type: none"> <li>Political oversight</li> <li>Undertake quarterly monitoring missions and report findings to CAO</li> </ul>
<b>District Technical Planning Committee (DTPC)</b>	<ul style="list-style-type: none"> <li>Receive and review quarterly work plans for the purpose of coordination of SAGE with other district activities.</li> <li>Promotion of linkages between SAGE and other district programmes.</li> </ul>
<b>District SAGE Programme Management Meeting</b>	<ul style="list-style-type: none"> <li>Receive and discuss quarterly reports</li> <li>Receive and discuss quarterly work plans and budgets</li> <li>Develop solutions to implementation challenges and make recommendations to the PMU on strategic issues</li> <li>Report on SAGE implementation to the District Executive Committee (DEC) and District Council</li> </ul>
<b>Chief Administrative Officer (CAO)</b>	<ul style="list-style-type: none"> <li>Organises quarterly District Monitoring Team missions</li> <li>Ensures compliance with guidelines among District and Lower Local Government staff.</li> <li>Promote linkages with complementary social development interventions at district level</li> <li>Chairs District SAGE Programme Management Meeting</li> <li>Monitors compliance of District and Lower Local Government staff with financial management guidelines</li> <li>Liaises with the district political leadership on all matters regarding SAGE operations in the District</li> <li>Approves assignment of local government staff to supporting SAGE operations.</li> <li>Reviews quarterly work plans and budgets</li> </ul>
<b>Social Services sub-committee</b>	<ul style="list-style-type: none"> <li>Promote linkages with complementary social development interventions at district level</li> </ul>
<b>District Community Development Officer (DCDO)</b>	<ul style="list-style-type: none"> <li>Supervision and performance management of Senior CDO responsible for SAGE</li> <li>Supervision and performance management of Sub-County CDOs including compliance of Sub-County-level staff with financial management guidelines</li> <li>Monitors SAGE through scheduled and spot field visits</li> <li>Chairs monthly district SAGE coordination meetings</li> <li>Engages in key implementation activities such as training and monitoring as set out in agreed work plans</li> <li>Reviews all annual beneficiary lists prior to submission to the CAO.</li> <li>Reviews all cash requisitions and accountabilities submitted by Sub-County CDOs</li> <li>Promotes linkages with complementary SP activities in district</li> </ul>



Positions/ committees	Responsibilities
<b>Senior CDO in charge of SAGE</b>	<ul style="list-style-type: none"> <li>• Liaises between the DLG, Sub-County CDOs and the District SAGE Support Team (DSST)</li> <li>• Supports DSST by coordinating activities at Sub-County level</li> <li>• Forward all management forms received from the Sub-County to the DSST</li> <li>• Sits on the Sub-County Late Registration Panel.</li> <li>• Engages in key implementation activities such as training and monitoring as set out in agreed work plans</li> <li>• Quality assures and supports implementation of training of Parish Chiefs, Village Chairpersons and monitors grievances</li> <li>• Spot checks lower local government activities</li> <li>• Compiles program related complaints and submits to RTSI operations officer</li> </ul>
<b>SUB COUNTY LEVEL</b>	
<b>Sub-county Executive Committee</b>	<ul style="list-style-type: none"> <li>• Provide oversight of programme at sub-county level</li> <li>• Conduct quarterly monitoring exercises and reports feedback to Sub-County CDO.</li> <li>• Support conflict resolution arising from SAGE implementation</li> <li>• Contribute to SAGE awareness-raising and advocacy efforts</li> </ul>
<b>Sub-county Chief</b>	<ul style="list-style-type: none"> <li>• Programme oversight at sub-county level</li> <li>• Performance management of Parish Chiefs and (A)CDOs</li> <li>• Working with the CDO or ACDO to coordinate activities and report on progress to the CAO</li> <li>• Promote linkages between SAGE and complementary programmes at the sub county level</li> <li>• Issues Sub-County Resident ID Cards</li> <li>• Assigns Parish Facilitators where necessary</li> <li>• Sits on Sub County Late Registration Panel</li> <li>• Supports conflict resolution</li> <li>• Liaise with local security authorities as required</li> </ul>
<b>(Assistant) Sub-county CDOs</b>	<ul style="list-style-type: none"> <li>• Coordinate activities at the sub county level</li> <li>• Chair monthly Sub-County SAGE Coordination Meeting</li> <li>• Attend monthly District SAGE Coordination Meeting and reports on progress and challenges</li> <li>• Report on Parish Chief performance in relation to SAGE to the Sub County Chief, DCDO and DSST.</li> <li>• Nominate Parish Facilitators where Parish Chief positions are vacant</li> <li>• Trains and coordinates Parish Chiefs</li> <li>• Verify eligibility for all applicants at Parish Verification Meeting</li> <li>• Develops plans for convening Sub-County Late Registration Panels</li> <li>• Supervises distribution of SIM cards to beneficiaries</li> <li>• Monitor pay point services and support pay point administration</li> <li>• Consolidates monthly Pay point Monitoring Reports for onward submission to DSST.</li> <li>• Consolidates change management forms before submission to Senior CDO responsible for SAGE</li> <li>• Enhance linkages between SAGE and complementary programmes at the sub county level</li> <li>• Reviews program related complaints and forwards to SCDO SAGE</li> </ul>
<b>PARISH LEVEL</b>	



Positions/ committees	Responsibilities
<b>Parish Chiefs (or Parish Facilitators where no Parish Chief)</b>	<ul style="list-style-type: none"> <li>• Monitor pay point services and submit Pay point Monitoring Reports</li> <li>• Oversee implementation of the programme at the parish level</li> <li>• Delivers community and beneficiary orientations</li> <li>• Meets with village chairpersons to receive death notification forms and beneficiary departure forms</li> <li>• Communication link between Sub-County CDO and beneficiaries and village chairpersons</li> <li>• Ensure death notification procedures are complied with.</li> <li>• In charge of filling out program related complaints</li> </ul>
<b>VILLAGE LEVEL</b>	
<b>Village chairpersons</b>	<ul style="list-style-type: none"> <li>• Call community meetings on behalf of the programme</li> <li>• Support community-level dispute resolution</li> <li>• Attend pay points to support beneficiary identification</li> </ul>
<b>Village Council Secretaries</b>	<ul style="list-style-type: none"> <li>• Takes minutes of village council meetings</li> </ul>
<b>Regional Technical Support Unit (RTSU)</b>	
<b>RTSU Coordinator</b>	<ul style="list-style-type: none"> <li>• Ensure compliance to SAGE guidelines and policies by the implementing team</li> <li>• Delivery training to LG staff, quality assurance of training activities at lower levels and providing inputs for improving based on documented field experiences.</li> <li>• Works closely with the DCDO and Senior CDO SAGE in ensuring clear performance management of all LG duty bearers in delivering SAGE.</li> <li>• Ensure timely, high-quality and complete submission of work plans, quarterly and annual reports, financial reports, and any other reports required</li> <li>• Participate in regular District Local Government activities such as staff meetings and give technical update sessions to popularise the programme with the Local Government, Civil Society Organizations and the general public.</li> <li>• Ensure establishment and maintenance of healthy relationships with the districts within the region.</li> <li>• Ensuring that MIS is regularly updated and actively used with timely submission of reports.</li> <li>• Responsible for performance management of all SAGE staff at the regional level.</li> <li>• Ensuring the M&amp;E activities are carried out on a regular basis and reporting is on time and of high quality.</li> <li>• Ensures that programme resources and assets in the district are put to sensible and optimal use as the accounting officer.</li> <li>• Oversee the performance of the PSP agents and ensure compliance to payment guidelines for SAGE beneficiaries.</li> <li>• Ensures PSP and district local government coordinate to provide efficient and transparent payment delivery and service</li> </ul>



Positions/ committees	Responsibilities
<b>RTSU Coordinator</b>	<ul style="list-style-type: none"> <li>Responsible for reporting and bring to the attention of ESP PMU any fraud related to use operational funds and beneficiary payments as per the fraud policy.)</li> <li>Coordinates the regional communication /public information campaign in consultation with the SPO (Communications and advocacy).</li> </ul>
<b>RTSU Operations Officer</b>	<ul style="list-style-type: none"> <li>In collaboration with local government oversee the registration and verification of eligible Beneficiaries.</li> <li>In collaboration with the PSP, Oversee the enrolment of clients into the programme including the capture of biometrics or photographs</li> <li>Support the capacity of regions to fulfil their roles in supporting programme implementation.</li> <li>Monitor service delivery to ensure quality, accountability and systems improvement;</li> <li>In coordination with MIS, enable systematic and efficient data collection, updates, sharing of best practices and lessons learnt;</li> <li>Facilitate the writing of evaluation reports and documented best practices for ESP internal reference;</li> <li>Ensuring that pay point monitoring reports from all pay points in the district are immediately submitted and captured at the end of each payment cycle</li> <li>Responsible for ensuring a good working relationship between the regional and district level implementation structures of SAGE.</li> <li>Liaise with the RTSU Coordinator on provision of logistics and administration services.</li> <li>Conduct periodic district reviews and visits to ensure proper coordination and delivery of services including partnership with the PSP</li> <li>Provide support for activities in the periodic reviews and evaluations, as well as planning exercises</li> <li>Contribute to the production of RTSU reports and work plans</li> <li>Coordinate submission of relevant reports by districts and ensure timely information sharing and provision of feedback to districts. Relaying information on operations and grant disbursements.</li> </ul>



Positions/ committees	Responsibilities
<b>RTSU M&amp;E Officer</b>	<ul style="list-style-type: none"> <li>• Extract any relevant data for monitoring from the MIS and use it for analysis, planning and decision-making.</li> <li>• Prepare reports on the process monitoring indicators, detailing progress against work plan, challenges and recommendations.</li> <li>• Provide inputs to various review meetings at district level where lessons learned are discussed, improvements for the design and operations are proposed and strategies on how lessons learned can be applied.</li> <li>• Plan and provide on the job training, coaching and guidance on monitoring instruments to the district local government staff</li> <li>• Ensuring that pay point monitoring reports from all pay points in the district are immediately submitted and captured at the end of each payment cycle.</li> <li>• Train and supervise the SCDO SAGE and Sub-county CDOs in undertaking pay point exit surveys on a quarterly basis.</li> <li>• On a monthly basis, undertake beneficiary transaction audit as will be determined by sample transactions provided by ESP PMU. The audit will majorly focus on high balances, large transactions, out of time transactions and any other audits that will be deemed necessary.</li> <li>• Track and compile information on programme coordination meetings at district level and share feedback with the respective districts.</li> <li>• Lead the planning, implementation and documentation of findings of monitoring visits.</li> <li>• Provide inputs, information and statistics for quarterly, annual and other reports to SPO M&amp;E and the PMU staff.</li> <li>• Manage beneficiary database containing information on enrolment, payments, grievance and complaints. Participate in documentation and resolution of beneficiary complaints in line with complaint management and resolution guidelines and share this with the SPO Complaints and Grievance Officer.</li> </ul>
<b>RTSU IT and MIS Officer</b>	<ul style="list-style-type: none"> <li>• Generates and prints beneficiary lists</li> <li>• Enters approved beneficiary lists into MIS for SCG</li> <li>• Compilation and entry of performance indicators data</li> <li>• Hard and software maintenance</li> <li>• Establishes and manages of soft- and hard-copy filing systems</li> <li>• Managing data exchange with Secretariat regarding targeting, enrolment and payments</li> </ul>
<b>RTSU Administration Officer</b>	<ul style="list-style-type: none"> <li>• Supervise drivers and support staff</li> <li>• Manage all fleet</li> <li>• Office security management</li> <li>• Support procurements at RTSU</li> <li>• HR focal person at the RTSU</li> <li>• Manage assets and update records</li> </ul>



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## Section E: Operations Coordination at District Level

To ensure the long-term sustainability of the SAGE programme, it is important where possible to integrate SAGE management, coordination and accountability within existing district local government processes. For example, SCG implementation should be a regular agenda item on relevant district coordination or management meetings. Where existing processes do not exist, specific meetings should be called as follows:

### Management, Coordination and Accountability Structures

#### a) Quarterly District SAGE Coordination Meeting

This meeting is intended to strengthen the relationship between key stakeholders and implementers of the SCG. The meeting is strategic and consultative in nature. The meeting will review status of recommendations of the previous meeting, progress against the previous quarterly work plan, review budgets and work plans for the coming quarter and agree joint approaches to addressing any implementation challenges in the district. The meeting will be attended by: DCDOs, the SCDO-SAGE the RTSU Operations Officer and Coordinator The DCDO will be responsible for reporting on the deliberations of these meetings to the CAO.

#### b) Monthly District SAGE Coordination Meeting

This is the SAGE programme's main district-level operations coordination structure. The meeting brings together all the Sub-County CDOs, SCDO SAGE, and the DCDO to discuss progress and plans related to SAGE. RTSU staff will attend this meeting. Sub-County CDOs present their individual reports and also receive feedback from the district. Progress on resolving grievances and complaints will be reported by the SCDO SAGE. The meeting happens every month after all the SAGE field payments are completed and is chaired by the DCDO or his designate. The Chair shall appoint a minute taker (usually the SCDO). Minutes shall be verified by the Chairperson within one (1) week of the meeting and copies retained by the CAO and DCDO and sent electronically to the RTSU. The DCDO is responsible for reporting on the deliberations of these meetings to the CAO and District Technical Planning Committee (DTPC). The CAO is in turn responsible for reporting monthly to the District Council. Copies of the minutes shall be submitted electronically to the National SAGE Operations Coordinator by the RTSU.

#### c) Monthly Sub-County SAGE Coordination Meeting

This is the sub-county level operations coordination meeting held in the second week of every month. This is the meeting between the Senior Assistant Secretary (SAS), Sub-County CDO and all the Parish Chiefs. In the meeting, Parish Chiefs present their reports and also submit any management forms from the parishes. Progress on resolving grievances and complaints will be reported by the Sub County CDO. The meeting is chaired by the SAS or the Sub-County CDO in absence of the SAS. The Chair shall appoint a minute taker who will complete the minutes template provided. Minutes shall be verified by the Chairperson immediately upon closure of the meeting, with issues arising being communicated to the



DCDO or SCDO SAGE either immediately or at the next District SAGE Coordination Meeting depending on the urgency of the matter. Minutes shall be filed in the Sub-County CDO's offices and a copy sent to the SCDO SAGE, who will scan and send the minutes to the RTSU.

**d) Monthly reporting by Village Chairpersons to the Parish Chiefs**

Parish Chiefs must take responsibility for ensuring that they meet with all the Village Chairpersons in their Parish during every payment period. In this meeting, the Village Chairpersons submit any management forms (death notifications, departure forms) to the Parish Chief. Progress on resolving grievances and complaints will be reported by the Parish Chief. The Parish Chiefs also communicate any feedback from the Sub-County CDO.

**e) Semi-annual Inter-District SAGE Learning Meeting**

This meeting is intended to strengthen the relationship between the RTSU and the district leadership, to promote accountability from the RTSU to the districts that they support, and to facilitate lessons learned and sharing of good practice for SCG implementation. The meeting is strategic in nature with a focus on sharing experiences and collaborative problem-solving. The RTSU will report on programme implementation and performance, and the meeting will address any strategic trends emerging across SCG districts. The meeting will also exchange lessons learned and good practices, and will identify any strategic issues that need to be communicated to the PMU. The RTSU M&E Officer will be responsible for reporting on the deliberations of these meetings to the PMU. The RTSU shall take minutes of the meeting, which will be circulated to all members for comment within one (1) week of the meeting. Scanned copies of the signed-off minutes shall be submitted to the PMU and the SCDO SAGE for filing and district level distribution respectively.

Below are the agendas to be adopted by the various structures:

<b>Attendees</b>		<b>Draft Fixed Agenda</b>	
<b>Monthly Village chairperson's reporting (this meeting should happen during every pay period)</b>			
<ul style="list-style-type: none"> <li>• Parish Chief (chair)</li> <li>• Village Chairpersons</li> </ul>		<ol style="list-style-type: none"> <li>1. Communication from the Sub-County SAGE Coordination meeting</li> <li>2. Passing on of management forms (such as Death Notification or Beneficiary Departure forms)</li> <li>3. Beneficiary issues</li> <li>4. Feedback on grievance and complaints</li> <li>5. Plans for the month</li> <li>6. AOB</li> </ol>	
<b>Monthly Sub-County SAGE coordination meeting (this meeting should happen during the second week of every month)</b>			
<ul style="list-style-type: none"> <li>• Senior Assistant Secretary (chair)</li> </ul>		<ol style="list-style-type: none"> <li>1. Communication from the Chair</li> <li>2. Review of previous minutes and action points</li> </ol>	



<ul style="list-style-type: none"> <li>• (A)CDO (in absence of SAS)</li> <li>• Parish Chiefs</li> </ul>	<ol style="list-style-type: none"> <li>3. Passing on of Death Notification and Relocation Forms</li> <li>4. Beneficiary issues</li> <li>5. Feedback on grievance and complaints</li> <li>6. Plans for the month</li> <li>7. AOB</li> </ol>
<b>Monthly District SAGE Coordination Meeting (this meeting should happen during the week following the above sub-county coordination meeting)</b>	
<ul style="list-style-type: none"> <li>• DCDO (chair)</li> <li>• Senior CDO responsible for SAGE</li> <li>• Sub-County CDOs</li> <li>• RTSU (as needed)</li> </ul>	<ol style="list-style-type: none"> <li>1. Communications from the Chair</li> <li>2. Review of previous minutes and action points</li> <li>3. Sub-County Reports and Management Form Submission</li> <li>4. Beneficiary issues</li> <li>5. Feedback on grievance and complaints</li> <li>6. Finance Report</li> <li>7. Plans for the month</li> <li>8. Logistics</li> <li>9. AOB</li> </ol>
<b>Quarterly District SAGE Steering Committee Meeting (this meeting should happen quarterly)</b>	
<ul style="list-style-type: none"> <li>• CAO (Chair)</li> <li>• Deputy CAO</li> <li>• DCDO</li> <li>• District Planner</li> <li>• District Chairperson</li> <li>• Social Protection platform representative (if available)</li> <li>• District support supervision team</li> <li>• All sub county CDOs</li> <li>• All SAS (sub-county chiefs)</li> <li>• CDO responsible for SAGE</li> <li>• RTSU representative</li> <li>• Representative of the MGLSD's ESP PMU</li> </ul>	<ol style="list-style-type: none"> <li>1. Overview of the Meeting—DCDO</li> <li>2. Opening Remarks—CAO</li> <li>3. Review of Status of Recommendations and action points</li> <li>4. Support Supervision Team leader</li> <li>5. Performance reports for the reporting quarter – SCDO SAGE</li> <li>6. Financial Accountability-responsible RTSU operations officer</li> <li>7. Next Quarterly plan</li> <li>8. Actions to be taken and recommendations-CAO</li> <li>9. Closure-CAO</li> </ol>
<b>Quarterly Inter-District SAGE Coordination Committee (this meeting should happen quarterly)</b>	
<ul style="list-style-type: none"> <li>• CAO from all districts in the region</li> </ul>	<ol style="list-style-type: none"> <li>1. Welcome and opening Remarks—LCV</li> <li>2. Overview of the Meeting—M&amp;E Officer</li> </ol>



<ul style="list-style-type: none"><li>• DCDO from all districts in the region</li><li>• SCDO SAGE from all districts in the region</li><li>• RTSU technical staff, led by M&amp;E Officer</li><li>• PMU representative</li><li>• The LCV from the host district should be invited to open the meeting</li></ul>	<ol style="list-style-type: none"><li>3. Performance report from the RTSU – SOO</li><li>4. Management of strategic and operational issues – lessons learned and best practices – M&amp;E Officer</li><li>5. Key messages to the PMU – PMU representative</li><li>6. Closure – SOO</li></ol>
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## Annex 1: Proposed RTSU locations and staffing for SAGE districts 2015/16

RTSU HQ LOCATION	DISTRICT	REGION	DISTRICT ID	NO. CARS	NO. STAFF
Kaberamaido	Amuria	Eastern	New	2	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 1 Operations Officer</li> <li>• 2 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Kaberamaido	Eastern	OLD		
	Katakwi	Eastern	OLD		
	Amolatar	Northern	New		
Moroto	Kween*	Eastern	New	3	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 2 Operations Officer</li> <li>• 3 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Abim	Northern	New		
	Amudat	Karamoja	OLD		
	Kaabong	Northern	New		
	Kotido	Northern	New		
	Moroto	Karamoja	OLD		
	Nakapiripirit	Karamoja	OLD		
	Napak	Karamoja	OLD		
Kamuli	Kamuli	Eastern	New	2	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 1 Operations Officers</li> <li>• 2 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Mayuge	Eastern	New		
	Namayingo	Eastern	New		
	Pallisa	Eastern	New		
Kyenjojo	Bundibugyo	Western	New	2	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 1 Operations Officer</li> <li>• 2 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Kibaale	Western	New		
	Kyegewa	Western	OLD		
	Kyenjojo	Western	OLD		
	Kisoro	Western	New		
Gulu	Apac	Northern	OLD	3	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 2 Operations Officers</li> <li>• 3 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Kole	Northern	OLD		
	Agago	Northern	New		
	Gulu	Northern	New		
	Lamwo	Northern	New		
	Pader	Northern	New		
Nebbi	Koboko	West Nile	New	2	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 1 Operations Officer</li> <li>• 2 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Nebbi	West Nile	OLD		
	Yumbe	West Nile	OLD		
	Zombo	West Nile	OLD		
Kiboga	Kiboga	Central	OLD	2	<ul style="list-style-type: none"> <li>• 1 RTSU coordinator</li> <li>• 1 Operations Officer</li> <li>• 2 drivers</li> <li>• 1 Finance and admin. Officer</li> <li>• 1 IT Officer</li> <li>• 1 M&amp;E Officer</li> </ul>
	Kyankwanzi	Central	OLD		
	Kayunga	Central	New		
	Nakasongola	Central	New		
<b>7 RTSUs</b>	<b>35 districts</b>			<b>16 cars</b>	<b>49 staff</b>



## Chapter 4: Identification and Verification Guidelines for the Senior Citizens Grant (SCG)

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### Chapter Summary

This Chapter describes the identification and verification process of the SCG potential beneficiaries. Annex 1 provides a summary of the process and Annex 3 depicts a flow chart. The national identity card will be the primary Identification document used for age verification of all older persons in the programme, however other identification documents are also accepted to verify identity and age as described in this guideline. Registration with the National Identification and Registration Authority (NIRA) will be a prerequisite for enrolment into the program.

The eligibility of SCG is:

- Be aged 65 years and above
- A resident in the area for over one year (12 months)
- Ugandan by Citizenship
- Persons not on/not due for government pension scheme

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Preparation for identification and verification

#### Section B

Parish identification and verification meetings

#### Section C

Home visits for verification

#### Section D

Management of field returns

#### Section E

Tips on verification and roles

#### Section F

Roles and responsibilities

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## Section A: Preparation for identification and verification

The programme will require detailed planning and preparation for the identification and verification exercise. The following steps will be involved in the planning process leading to verification.

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### Step 1. Appointment of the District SCG Support Team (DSST)

The Chief Administrative Officer (CAO) will appoint the DSST. The team will be trained on the whole operational process of identification, verification, targeting, registration, change management and grievances in the SCG programme.<sup>1</sup> The team will be comprised of:

- DCDO (Team Leader)
- SAGE SCDO
- 3 Sub - county CDOs
- DIO

The DSST will ensure smooth implementation of the various processes stipulated in the implementation guidelines.

The terms of reference for the DSST are:

- Planning for all field verification exercises
- Ensuring that the venue and time for registration is well organized, and communicated in advance to the community
- Management of provisional lists and supplementary register
- Verification of potential beneficiaries
- Register eligible beneficiaries after verification in the supplementary register
- Leading the home visits for absent or infirm persons to be verified

The significance of this exercise requires the DSST to be fully committed. The following should be considered by the CAO while appointing the team:

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<sup>1</sup> The DSST will be in charge of briefing and training other officers, such as CDOs, parish chiefs, village chairpersons, and older people committee members



1. The CAO should appoint accountable, committed and result oriented persons. CAO should instruct sub-county CDOs, sub-county Chiefs and parish chiefs to support the process.
2. The DSST should commit FULL time to the exercise for the entire period and any new instructions should be with the approval of the CAO.
3. The DCDO ensures compliance and accountability in the process. Delegation of his/her authority should be in writing, approved by the CAO and a copy sent to the head PMU.

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## **Steps 2. Orientation of District Local Government Leaders & other stakeholders**

A one-day orientation for local government political and technical leaders will be delivered by the staff from the PMU. The political Leaders include all District councillors, RDCs and DISOs, CSO representatives, FBO representatives, DPCs. The Technical leaders to be oriented will be all heads of departments at the district level.

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## **Steps 3. Regional Training of the District SCG Support Team (DSST)**

The PMU will organise five-day training for the DSST members on identification, verification, registration, change management and grievances.<sup>2</sup> The focus of the training will be to ensure they understand their roles and responsibilities in the process. During the training, a work plan for the cascade trainings at the district and sub-counties will be developed.

During the training of the DSST, a detailed work plan will be developed for sub-county level identification and verification meetings. These plans should indicate the venue, date and time for the exercise, as well as developing a calendar of events that happened 60 years ago, developing a mobilisation and communication strategy and plan for logistical requirements. The RTSU will support the planning process and the subsequent field exercises. The plans should be communicated to the sub county CDOs during their orientation.

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## **Step 4. Orientation of sub-county CDOs and Parish Chiefs at the district level**

After the regional training, the DSST will organise a two day orientation of the sub-county CDOs and parish Chiefs at the respective district headquarters. The sub-county CDOs and parish chiefs will then be responsible for planning and orientation of the Village Chairpersons and the chairpersons of the executive committee of the village older person's council.

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### **Step 5. Public information campaigns for identification and verification**

The PMU will forward to each district a communication plan for public announcements that must be put on local radio stations (and run as frequently as possible) as a means of announcing the start of the exercise, informing citizens of the requirements especially related to identification documents, date and venue for meetings. Additionally, districts should hold 1-2 radio talk shows. The CAO, DCDOs, District Information Officer (DIO) and SCDO-SAGE will lead the talk shows with support of the staff from the Regional Technical Support Unit. Translated radio spots will also take place.

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### **Step 6. Orientation of Village Chairpersons and the older person's executive committee at parish level**

The Sub-county CDOs will brief all the Village Chairpersons and the village chairpersons of the executive committee of older person's council. This orientation will take place at parish level. The focus of the orientation will be on their roles and responsibilities in the identification and verification process. Parish Chiefs, Village Local Council chairpersons and the village Chairpersons of the executive committee of older persons will plan for Village orientation meetings to brief the community on the program. The plans will be shared with the CDO and used by Village Chairpersons to conduct mobilisation. The critical role of the Village Chairpersons and the village chairpersons of the executive committee of the older person's council is first to inform the community on the program, and second, to conduct community mobilisation. The PMU will develop key communication messages to be passed to the village local councils. Village Chairpersons and chairpersons of the executive committee of the older persons will be responsible for orienting their village local councils. The parish chiefs will monitor the village local council meetings.

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### **Step 7. Orientation of the Village local Council**

The Village chairpersons shall convene a village council meeting for the purpose of introducing the programme to the community. Village local councils will be targeted for information sharing and mobilisation for the parish verification meeting. The village local council meetings will be facilitated by the Local Council Village chairpersons and the village chairperson of the executive committee of the older persons.

Some of the important questions to be answered are:

- a. Who is an older person according to the older persons Policy (2009)?
- b. Why is government identifying older persons aged 60 years and above and of what benefit is it?
- c. How will older persons be identified?

- d. Who is eligible for identification?
- e. Who is not eligible?
- f. How will the absent older persons be identified and verified?
- g. What key documents are required for this identification and verification?
- h. What other documents can one use to prove his/her age?
- i. What should one do if they have no identification documents?
- j. What is the role of the older persons' executive committee in the process?
- k. What are the consequences of fraudulent acts?
- l. What are the next steps after identification and verification?
- m. Who is funding the programme and for how long?
- n. Where can one get further information about the programme?

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## Step 8. Communications

The PMU develops key messages for communities and sends communications plan to RTSU. The RTSU operations officers will be responsible for forwarding the messages and communication plan to their respective districts. The CAO, DIO, DCDO and SAGE-SCDO will lead talk shows to inform the communities on eligibility, ID documents required, alternative recipients' information, as well as using translated radio spot messages. In addition, the parish chief, village chairperson and village older persons committee representative will conduct community program sensitization meeting to inform the community about the program.

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### Section B: Parish identification and verification meetings

The programme will use two approaches for identification and verification of older persons. The two approaches include: Use of the provisional list from the National ID data and a supplementary registration for people not registered with NIRA and thus do not have a national ID. It should be noted that the outcome of this process is not a registration list for SCG beneficiaries but a list of potential older persons eligible for targeting. There are 2 main tools used for this exercise: the provisional list and the supplementary register.

#### Tool 1: The provisional list

- NIRA data is the primary source for older person's identification. The PMU/MIS will develop a national database of people 60 years and above who have national id numbers called the provisional SCG Older Persons database.
- The PMU MIS will generate provisional lists for all new SCG sub counties.



- The operations coordinator (OC) at the PMU will review and approve the provisional lists and inform the RTSU coordinator.
- The RTSU will print copies of the provisional lists for every sub county to be used for verification.
- The RTSU will also provide material to the DSST including pens, wrapping material, plastic bags, and boxes.
- The provisional list format is indicated in table 1.
- The PMU/MIS will also generate mobilization lists (with only the names from the provisional list) by parish level to be printed at the RTSU<sup>3</sup> level and pinned in district and sub county notice boards, other public places. These lists are also given to the village chairperson for mobilizing people.
- The PMU/MIS will also generate a list for the CAO (with only the names from the provisional list), which is attached to a cover letter signed by the head of the PMU.

## ii) Tool 2: Supplementary register of older persons.

The Programme will provide a register for older persons who are not on the provisional list. This process of identification and verification of other older persons will be done during the same meeting as the verification of persons on the provisional list. Persons who have been duly verified should be recorded on the supplementary register. Any older person who is absent at the meeting can be nominated and a preliminary opinion on his/her age given by the executive committee of the older persons at the parish level. Verification of the relevant identification documents will then be confirmed during the home visits. Any person on government pension or eligible for government pension shall not be registered. Supplementary registers can also be printed at the RTSU.

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### Step 1. Briefing of the parish level meeting on the verification process by the DSST

The purpose of the verification exercise is to verify identity, age, place of residency and status of the older persons. All verification meetings will take place at the parish level. The followings steps will be involved in conducting SCG verification. The team leader of the DSST (DCDO or SAGE DCO) shall announce the start of the *Verification Meeting*, and highlight the following issues:

- a) Introduce the DSST members and the role of the executive committee of the older persons council at the parish level

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<sup>3</sup> The RTSU will have access to the MIS for printing provisional lists and supplementary registers.

- b) Orient the community members on the programme objectives and eligibility criteria. Communicate the identification documents required.
- c) Explain that the purpose of the exercise is to develop an older person's database to support the SCG for the next 10 years.
- d) Clarify that not all people on the Older Persons Lists will be eligible to receive the SCG entitlement: only the 100 oldest beneficiaries will be targeted for the SCG entitlement in FY15/16 and subsequently increased in the next years as new funding is realized or approved.
- e) Explain the process of verification: (1) Verification of individuals on the provisional list and (2) Supplementary registration of people who are not on the provisional list since they do not have national ID.
- f) Clarify that the persons on the supplementary register will be required to register for national identity card to be considered for the programme.
- g) Caution the community on any fraudulent acts as this is criminal and jeopardizes the future of the programme. The programme will pursue criminal prosecution in all proven cases of fraud.
- h) Re-emphasize and clarify any other issues that could have emerged in the meetings.

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## Step 2. Role of the parish executive committee of older persons

The executive committee of older persons at parish level will support the age verification for people who not have any ID. The role of this committee will be to verify identity, age and place of residency. This will involve using the knowledge of the older person to complement the team's assessment based on the calendar of events. This is a one off role that ceases immediately after the verification meeting.

The committee should be informed that they are not responsible for confirming eligibility. They will be requested to respond to specific questions by the DCDO/Team leader.

It is important that the committee and the community understand that the DCDO is mandated to make a final decision based on his/her judgment of the evidence and information provided.

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## Step 3. Verification of persons on the provisional list

The DSST should explain that the purpose of this exercise is to have a physical confirmation of all the persons listed on the provisional list. The Verification will focus on confirming:

- i. Possession of a **National Identity Card**
- ii. Possession of '**OTHER**' approved identification document as per guidelines



iii. The status of the individuals

If the person is on the provisional list, but does not have a national ID card, s/he must be referred to NIRA at the district level to obtain the actual card.

The DSST will read out the names of all persons on the provisional list and the individuals are requested to confirm presence at the meeting before proceeding to present their identification documents. If the name of the person is misspelled or the national ID number is wrong, the person will be referred to NIRA at the district level to make the correction. They will be considered verified and considered eligible for the programme.<sup>4</sup>

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<sup>4</sup> For these cases, the programme will utilize the information as provided in the provisional list (i.e. information from NIRA)



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Table 1. Provisional SCG Older Persons Register

PROVISIONAL SCG OLDER PERSONS REGISTER																			
SerialNo	FirstName	MiddleName	LastName	DateOfBirth	Age	IdNumber	District	SubCounty	Parish	Village	Status	Meeting (Tick Where Applicable)				Home Visit (Tick Where Applicable)			
												ID Verified	Verified No ID	Verified Other ID	Not Verified	ID Verified	Verified No ID	Verified Other ID	Not Verified
1	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
2	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
3	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
4	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
5	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
6	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
7	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
8	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
9	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
10	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
11	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
12	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
13	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
14	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
15	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
16	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
17	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
18	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
19	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
20	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
21	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
22	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
23	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
24	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
25	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
26	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
27	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
28	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
29	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
30	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
31	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
32	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
33	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
34	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
35	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
36	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
37	A	N	OTHER	12-08-1950		251465	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
38	A	N	OTHER	01-05-1966		245698	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
39	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
40	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
41	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
42	A	N	OTHER	02-03-1946		123654	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
43	A	N	OTHER	03-06-1930		985687	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									
44	A	N	OTHER	02-01-1960		256745	KIBOGA	KIBIGA	DEGEYA	KIRYANKOZI									

Status Key: Dead (DD), Not Known (NK), UnderAge (UA), Pensioner (PEN), Non Resident (NR), Duplicate (DUP)



## A. Recording findings on the provisional List

Status column: This will be recorded for all persons on the provisional list. This will be based on the documents presented or information from the executive committee of the older persons at the parish level. The status options will be recorded as follows:

- 1) Under Age (UA) - The person is below 60 years. Such a person will not be eligible. Age below 60 years is the **ONLY** criteria for marking this status. This should be a very clear case that will not be contested and this decision should be supported by the executive committee of the older person's council at the parish level.
- 2) Not Resident (NR)- The person is known but not a resident of that community
- 3) Not Known (NK)- The person is not Known
- 4) Duplicate (DUP)- The name of person appears twice on the list (*Probably because of errors*) Dead (DD) - The person is deceased.
- 5) Pensioner (PEN) - Persons on or due for government pension scheme. The DSST will use the list of pensioners obtained in advanced from the CAO's office to verify this status.

Only **ONE** appropriate status should be included for every case.

## B. Verification of identification documents

This applies for people who are resident and known in the village. This involves the verification and recording of the documents possessed and presented by the persons on the provisional list. The following identification documents will be considered for verification of names, place of residence and age on the list:

### Official document as listed on the database.

- a) National ID Card (It is important to cross check the Name and national ID card number recorded in the provisional list). The other identity documents will serve only to confirm the name and the age, there are not to be recorded or listed in the provisional list.

### 'OTHER ID' as per programme guidelines.

- a) Voters Card
- b) Long birth Certificate
- c) Passport
- d) Drivers Permit
- e) Baptism certificate
- f) Marriage certificate



The corresponding columns will be ticked for the individuals based on the various cases verified as follows:

**C. Completing the Meeting columns in the provisional older persons list**

- a) **Verified with ID**- This column is ticked if the person is **verified** at the parish meeting by presenting their **National Identity Card**.
- b) **Verified NO ID**- This column is ticked if the person is **verified** at the parish meeting but did not present their national identification card or other identification documents.
- c) **Verified Other ID**- This column is ticked if the person is verified at the parish meeting and presented other identification documents as per programme guidelines.
- d) **NOT Verified**- This column is ticked if the person was not physically verified OR SEEN at the meeting.

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**Step 4. Verification and recording of older persons on the supplementary register.**

This process is conducted immediately after verification of **ALL** persons on the provisional list.

**A. Verification on the supplementary register**

The team will request any older persons aged 60 years and above who was not on the provisional list to come forward and present identification documents for verification to be registered. If a person does not have any documents then he/she should be verified using available information, for example the calendar of events, any documents presented or opinion of the executive committee of the older persons. Those who successfully get verified shall be recorded on the supplementary register. Older persons are encouraged to present any relevant documents that may not have been listed to enable the DSST to verify their age. Table 2 shows the supplementary register format.



**Table 2. Supplementary Older Persons Register**

SUPPLEMENTARY OLDER PERSONS REGISTER																	
First Name	Middle Name	Last Name	Nominated By: (Name)	Date of Birth	District	Sub County	Parish	Village	National ID No.	MEETING (Tick Where Applicable)				Home Visit (Tick Where Applicable)			
										Verified No ID	Verified Other ID	ID Number:	Not Verified	National ID No.	Verified No ID	Verified Other ID	Not Verified
1										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
2										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
3										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
4										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
5										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
6										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
7										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
8										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
9										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
10										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
11										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
12										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
13										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
14										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
15										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
16										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
17										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
18										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
19										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
20										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
21										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
22										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
23										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
24										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
25										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
26										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
27										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
28										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
29										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
30										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
31										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
32										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
33										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
34										<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>

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The corresponding columns on the supplementary register should be ticked for verified persons as follows:

#### **B. Completing the columns on the supplementary register**

- I. **NID No-** This column is recorded with the national ID number if the person was at the meeting and presented his or her national ID for verification. Clearly record serial number.
- II. **Verified NO ID-** This column is ticked if the person was at the meeting and had no form of identification as per guidelines. These cases should be carefully verified with support of the executive committee of the older person's council at the parish level.
- III. **Verified Other ID-** This column is ticked if the person was at the meeting but presented other identification documents as per programme guidelines
- IV. **Nominated** - This column is ticked if the person was nominated at the parish meeting in absentia but not physically verified.

#### **C. Instructions for recording the date of birth when partial information is provided**

For all cases where the older persons will not be able to recall their exact date or provide evidence of their date of birth the following should be recorded.

*a) Age reference*

The programme will consider individuals who are 60 years at the time of registration. The year and month of reference is February 1956.

*b) The older person can recall only year of birth*

Record the 30th of June as the day and month of birth. For example, Mucugunzi can only recall he was born in 1949. Record date of birth as 30<sup>th</sup> June 1949.

*c) The older person can recall year and Month of birth*

Record the 15<sup>th</sup> of that month as the date of birth. For example, Lokii can only recall he was born in May, 1930. Record date birth as 15<sup>th</sup> May 1930.

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#### **Step 5. Closure of the verification exercise**

- a) Once all persons on the provisional list and supplementary register have been verified, the team should explain to the community that the programme will target the **100 oldest persons in the sub-county in the first year.** New beneficiaries will be added as more funding becomes available.

- b) The names of the oldest 100 beneficiaries will be communicated to all sub-counties within a period of not more than two months and communication urging everybody to check the names which will be publicize.
- c) The oldest 100 beneficiaries will undergo the final verification during the registration into the programme. The verification for registration will also include confirmation if the person is on the government pension scheme or eligible for the government pension scheme.
- d) In case anyone dies, the next oldest person (101th person) will be verified and enrolled.
- e) Persons without a national Identity card will be required to register with NIRA and obtain a national ID.
- f) At this time, the DSST should confirm the dates for the home visits in consultation with the parish chiefs, village chairpersons, the chairperson of the older person's executive committee and sub-county CDOs. The village local council chairperson and the chairperson of the village executive committee of the older persons should ensure efficient and effective mobilisation of the people using all available opportunities in the period. The community is encouraged to advise any infirm persons nominated to be at home on the planned dates to facilitate their verification.

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### **Section C: Home visits for verification**

Older persons in the provisional list and supplementary register (nominated) who were absent at the parish meetings will be verified from their homes (marked not VERIFIED). The DSST should confirm with the village chairperson and the older persons committee that the persons are indeed alive before visiting them. Home visits will be conducted after the parish meeting but should be completed before the team proceeds to another sub-county. The DSST member should bring the provisional list to verify and record the status and the supplementary register to record the person's information.

The Parish Chief and sub-county CDO will be responsible for leading the DSST to the homes of these persons with support of the Village Local Council Chairpersons check. The DSST is fully responsible for the outcome of the process including the lists to be filed and wrapped in plastic bags in case of bad weather and subsequent delivery to the RTSU.

#### **Recording outcomes during Home Visits:**

##### **i. Persons on the provisional list**

- a) **Verified Home Visit with ID-** This column is ticked if the person is verified at their homes and presented their National Identification Card.
  - b) **Verified Home Visit with NO ID-** This column is ticked if the person is verified at their homes and did not present their national identification card or other identification documents as per programme guidelines.
  - c) **Verified Home Visit with Other ID-** This column is ticked if the person is verified at their homes and showed other identification documents as per programme guidelines
  - d) **NOT Verified-** This column is ticked if the person was not physically verified OR SEEN during the home visit (this means both the meeting and home visits sections of not verified are ticked).
- ii. **Persons on the Supplementary Register**
- a) **National ID number-** This column is filled with the national ID number if the person is verified at home and presented his or her national ID.
  - b) **Verified Home Visit with NO ID-** This column is ticked if the person is verified at home but had no form of identification as per guidelines.
  - c) **Verified Home Visit with Other ID-**This column is ticked if the person is verified at home and presented 'other' identification documents as per guidelines.
  - d) **NOT Verified-** This column is ticked if the person was not physically verified or seen during the home visit. This will be the case for those nominated at the meetings.

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## Section D. Management of field returns

At the end of the identification and verification exercise the DSST should organise all records for submission.

Verification Outputs
1. Verified provisional lists
2. Completed Supplementary registers

Once the verification meetings and the home visits are done, the DCDO, with a report approved by CAO, will forward the verified provisional lists and the supplementary registers to the respective RTSU operations officer. The DCDO is the custodian of the all the forms and registers, s/he must ensure that they are filled out, signed and properly stored for transportation.

The RTSU operations officer will review the provisional lists and supplementary registers and submit to the RTSU coordinator for approval, and s/he will in turn instruct the MIS officers to conduct data entry. Once data entry is completed, the RTSU coordinator will review the information and send it electronically via the MIS to the OC for final approval of the provisional lists and the supplementary registers. The older person's database is created in the MIS using information from the verified provisional lists and supplementary registers. The District Liaison Officers are in charge of supporting daily activities to the RTSU staff.

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## Section E: Tips on verification and roles

### 1. Useful tips in verifying identification documents

- a) Is the identification document recognized by the programme?
- b) Is the identification document authentic? Check size, colors, security features etc?
- c) Has the identification document been deliberately tampered? Note especially the field relating to age and others. Rubbing, overwriting and white washing are some examples.
- d) Has the identification document been newly acquired? If so this may reinforce any suspicions you may have about the eligibility of the individual. In these circumstances additional documents should be requested to back up the age verification.

### 2. Useful tips dealing with challenges in the field

- a) Some individual may contest the Age and Nationality of others especially for the oldest 100 in a sub-county. The programme is not responsible for national Identity card registration. The DSST team should restrict itself to the underage cases (below 60 years) only. Any appeals related to the ID data should be referred to the National Identification and Registration Authority.
- b) **Applicants without any documents** are asked if they know their date of birth or any historical events surrounding their date of birth. Where possible the applicant can make reference to other applicants at the same meeting with official documents, noting if they are contemporaneous.

### c) **Presentation of Fraudulent Identification Documents**



New registrants may present fraudulent identification documents like suspect fraudulent ID card, newly issued birth certificates, documents that have been tampered with (i.e. altered dates to make them appear 60 years or older for purposes of registration). The DSST Team should refer to the executive committee of the older persons at parish level or other documents presented for an opinion and make a decision.

**d) Lack of Convincing Documents for Identification**

In cases where the applicant lacks clear documents for identification and verification, the DSST Team should refer to the executive committee of the older persons at the parish or other documents presented for an opinion and make a decision.

**e) Executive committee of the older persons at the parish disagrees with DSST**

If the executive committee of the older person disagrees with the DSST, the DSST decision takes precedence.

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**Section F: Roles and responsibilities**

<p><b>ROLE OF Programme Management Unit</b></p> <ul style="list-style-type: none"> <li>• PMU/Com will develop program key messages for the public and for the districts</li> <li>• PMU/Com will coordinate with RTSU on how to deliver messages</li> <li>• The PMU/MIS will generate provisional lists for each sub-county by parish</li> <li>• The OC at the PMU will review and approve provisional lists and will inform the RTSU coordinator</li> <li>• Update the database of older persons based on the field returns from the field</li> </ul>
<p><b>ROLE OF RTSU</b></p> <ul style="list-style-type: none"> <li>• RTSU coordinator will organize communications</li> <li>• Oversee all identification and verification activities at the districts and conduct spot checks</li> <li>• Provide support to all districts and ensure they have the right and adequate resources and materials for the DSST for the verification exercise</li> <li>• Receive provisional lists and supplementary registers for review and approval from the districts</li> <li>• Send provisional lists and supplementary registers to the PMU</li> </ul>
<p><b>ROLE OF CAO</b></p> <ul style="list-style-type: none"> <li>• Appoint the DSST district team</li> <li>• Oversee the performance of the DSST</li> </ul>
<p><b>ROLE OF DCDO</b></p>

- Team leader of the DSST district team
- Manage all individuals in the DSST team
- Custodian of all forms, in charge of field returns

#### **ROLE OF THE DSST**

- Plan for all field activities
- Implement all field activities related to identification and verification
- Manage all the field materials for the districts

#### **ROLE OF SCDO FOR SAGE**

- Support the DCDO in managing the identification and verification process including managing all materials for the field exercise at the district
- Ensure participation of sub-county CDOs in the process

#### **ROLE OF SUB-COUNTY CDO**

- Support the mobilization of all older persons in the community
- Be present in all identification and verification activities at the district
- Lead home visits of infirm applicants

#### **ROLE OF EXECUTIVE COMMITTEE FOR OLDER PERSONS (PARISH LEVEL)**

- Support the verification of age of older persons
- Support verification of residence of older persons

#### **ROLE OF THE PARISH CHIEF**

- Mobilization of older persons through the Village Chairpersons
- Be present in all identification and verification activities at the district

#### **ROLE OF THE VILLAGE CHAIRPERSONS / VILLAGE SECRETARIES**

- Mobilize all the older persons in the village for the parish meeting
- Confirm residence of older persons

#### **ROLE OF OLDER PERSONS**

- Attend the parish meetings
- Carry along all relevant identification documents
- Present themselves to the DSST

## Annex 1: Identification and Verification Processes Summary for MIS

### DSST

-CAO appoints team: DCDO, SAGE SCDO, 3 sub-county CDOs

### Training

-1 day orientation: PMU briefs District Councillors, RDCS, DISOs, CSO representatives, FBO representatives, DPCs  
-5 day training: PMU trains DSST on identification, verification, registration, change mgmt. and grievances  
-2 day training: DSST will train sub-county CDOs and parish chiefs  
-1 day orientation: DSST will brief sub-county political leaders, CSOs  
-1 day training: sub -county CDO will train sub-county political leaders and CSOs at parish level  
-orientation meeting: parish chief will brief Village Local Council leaders and village older person's council

### Communications

-PMU/COM develops key messages for communities and sends communications plan to RTSU  
-CAO, DIO, DCDO and SAGE-SCDO will lead talk shows to inform on eligibility, ID documents required, alternative recipients' information, using translated radio spot messages  
-parish chief, village chairperson and village older committee representative conduct community program sensitization meeting

### Identification & Verification Lists

-NIRA sends national information to PMU  
-PMU MIS conducts data quality controls and generates provisional list of people >60 years old by sub-county in the MIS  
-PMU OC reviews and approves lists and informs RTSU coordinator  
-RTSU prints provisional lists and supplementary registers and forwards to DCDO  
-RTSU provides material: pens, plastic bags



## Verification Meeting Planning

- DCDO leads meeting with DSST to develop work plan for verification including: calendar of events that happened 60 years ago, logistics needs, and obtain pensioners lists from CAOs officer
- sub-county CDO informs parish chief on the meeting details
- parish chief and village chairperson inform people of the venue, date and time for verification meeting
- DCDO coordinates radio spot messages
- older person's committee in charge of mobilizing people

## Verification Meeting: Provisional List

- DCDO or SAGE SCDO leads parish level meeting for verification
- people are called out to be verified in the provisional list
- status of the person is written in the provisional list
- the pensioners' lists are used to check if person is pensioner
- person identity, age and place or residence is verified via: national ID, other ID or older person's committee
- if person is not present, its marked not verified

## Verification Meeting: Supplementary Register

- DCDO or SAGE SDO leads parish level meeting for verification who are not in the provisional list
- people are called out who are 60 years or above to be verified and registered in the supplementary register
- identity, age and place of residence is verified via: national ID, other ID or older person committee
- information on the person is written in the supplementary register
- older persons not present can be nominated

## Verification Meeting: Home Visits

- DSST prepares a home visit plan with the sub-county CDO, parish chiefs and village chairperson
- DSST member the sub-county CDO and the parish chief will visit infirm persons both from the provisional lists and supplementary registers (nominated)



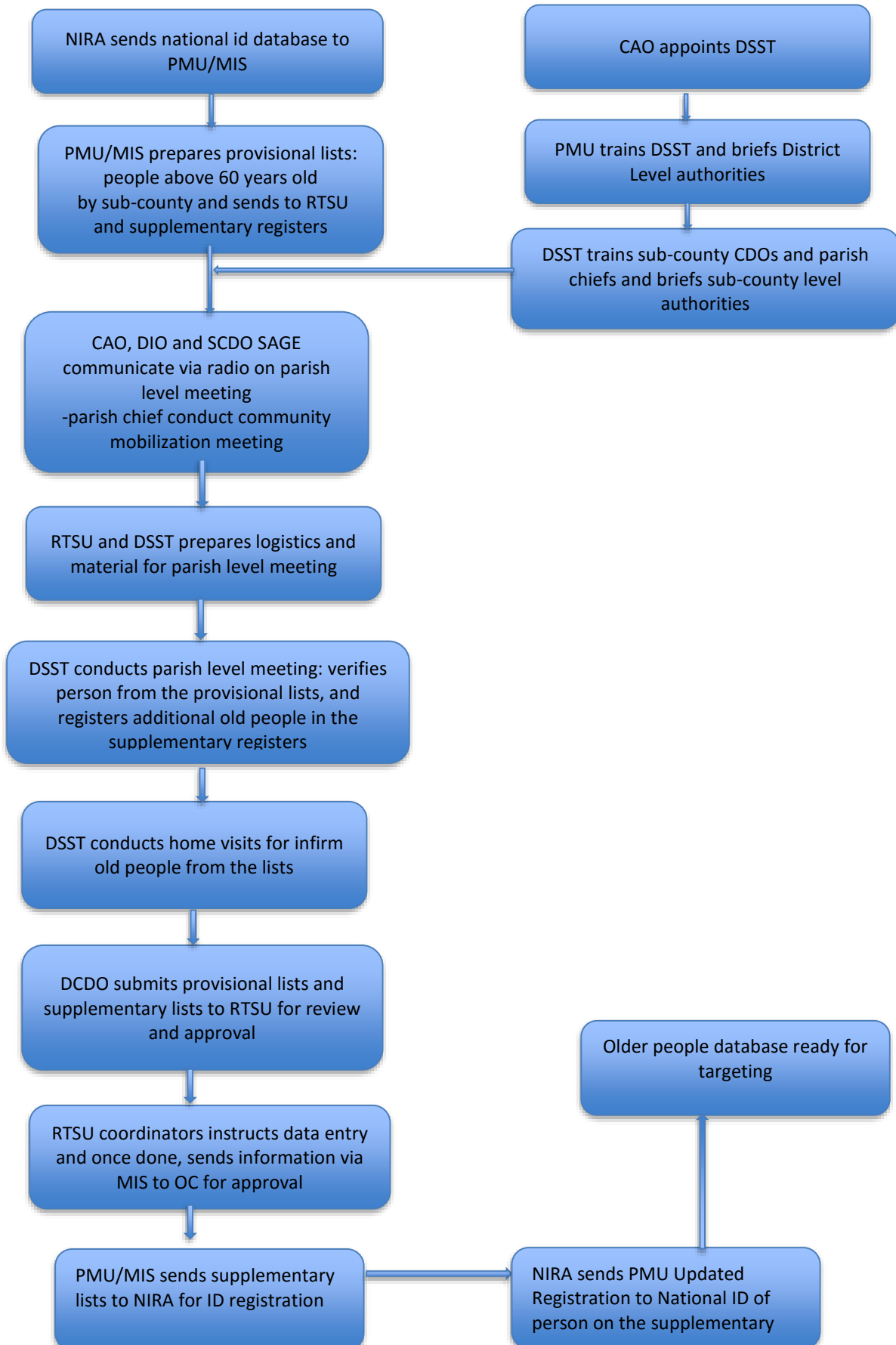
## Field Returns

- DCDO, with approval from CAO, forwards verified provisional lists and the supplement register to RTSU operations officer
- RTSU operations officer reviews and the RTSU coordinator approves verified provisional lists and supplementary registers
- RTSU coordinator instructs MIS officer to conduct data entry
- RTSU sends information electronically via MIS to OC at PMU
- OC at PMU approves the provisional lists and supplementary registers entered into the MIS
- MIS SPO prepares the lists for targeting

## Supplementary list for NIRA

- MIS SPO supervises entering information of the supplementary register into the MIS to prepare the list of older people above 60 years old to be sent to NIRA so they can obtain a national ID
- PMU OC reviews and approves the list
- MIS SPO sends the list to NIRA
- PMU OC follows up with NIRA when can national id numbers can be obtained
- NIRA sends the supplementary list with the national ID numbers
- MIS SPO update the national older person's database

## Annex 2: Identification and Verification Process Flow Chart





## Chapter 5: Targeting Guidelines for the Senior Citizens Grant

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### Chapter Summary

This Chapter describes how the program will target the approved number of oldest persons per sub-county as provisional beneficiaries to be verified. Annex 1 provides a summary of the processes and Annex 2 depicts a flow chart.

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#### Section A

Processes for targeting

#### Section B

Targeting Complaints

#### Section C

Roles and responsibilities

#### Annex 1

Targeting Processes Summary for the MIS

#### Annex 2

Targeting Process Flow Chart

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## Section A: Process for targeting

The targeting for the senior citizens grant will be automated in the MIS using the older person's database at the PMU. The eligibility criterion is people above 65 years old (60 in Karamoja). The prioritization (or ranking) will be based on age, where the oldest approved number of persons will be targeted (or selected) to get the benefit. The following steps will be involved.

---

### Step 1. Older person's database

The older person's database is updated with all the returns (provisional lists and supplementary registers) from the districts. The provisional lists status will be updated in the MIS and the information from the supplementary registers will be entered in to the MIS.

Data entry will be done by the operations officers at the RTSU. The program officers (Liaison) will coordinate and supervise this exercise. The PMU MIS Officer will establish data quality controls to all data entry processes and ensure the data is reliable for targeting. A data entry report will be submitted to the SPO Operations by the RTSU coordinator.

---

### Step 2. Targeting of the approved number of oldest beneficiaries

Using the MIS, a list of the number of approved oldest persons per sub-county will be prepared as the beneficiary list to be registered into the program. The targeting module will use the date of birth of the older persons to select the oldest beneficiaries per sub-county. The OC will review and approve the beneficiary lists and will inform the RTSU the lists are ready. Mobilization lists and CAO lists will also be printed to be pinned in public places.

---

### Step 3. Printing and distribution of the provisional beneficiary lists for registration

The provisional beneficiary lists will be available to the RTSU for printing for each sub-county to be used in the final verification and registration of beneficiaries on to the SCG program. The Operations officers at the RTSUs will be responsible for managing the beneficiary lists for their respective districts and will coordinate the distribution of the lists through the SCDO-SAGE. The CAO of the respective districts will be availed with a complete set of the provisional beneficiary lists. In the meantime, the OC will send the beneficiary list to the PBU for account opening, prior to field enrolments.

---

## Section B: Targeting Complaints

Members of the community can complain about the program and have a right to do so. The program will develop an elaborate complaints and grievance management system that will be implemented to address any issues that may arise. The details will be in a separate chapter.



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For complaints related to targeting and with specific reference to the national identification data, the individuals should be referred to the National Identification and Registration Authority office in their district. The program is not responsible for any omissions, errors and has no mandate or authority to alter or query the data from NIRA.

---

### **Section C: Roles and Responsibilities**

PMU	<ul style="list-style-type: none"><li>• Updating the older persons database using returns from NIRA as per supplementary registration at the districts</li><li>• Establish data quality controls for all data entry processes</li><li>• Conduct targeting of beneficiaries for each sub county</li></ul>
RTSU	<ul style="list-style-type: none"><li>• Print the beneficiary lists for final verification and registration</li><li>• Distribute the beneficiary lists to the district</li></ul>



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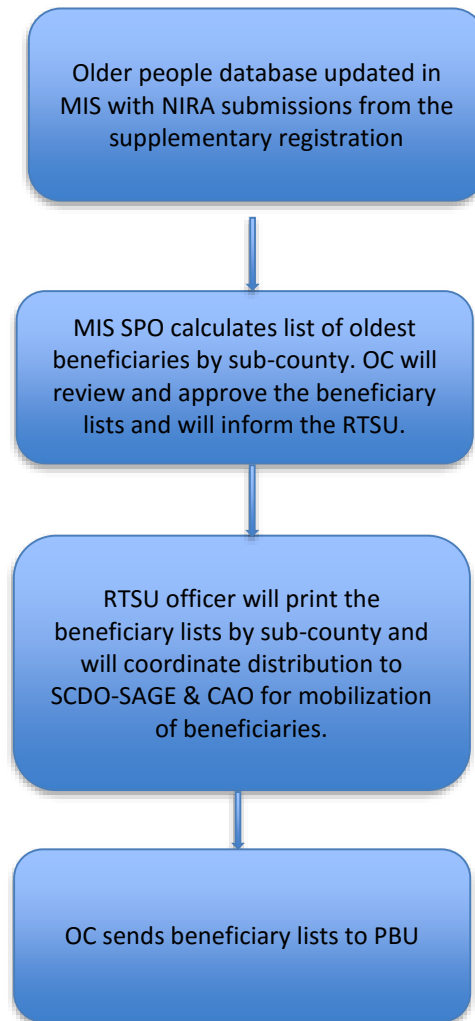
## ANNEX 1: TARGETING PROCESSES SUMMARY FOR MIS

### Targeting

- PMU MIS officer will establish data quality controls for all data entry processes
- Oldest approved number of people is automatically done by the MIS
- The OC will review and approve the provisional beneficiary lists and will inform the RTSU coordinator
- The RTSU coordinator will instruct the RTSU MIS officer to print the following: beneficiary lists, mobilization lists, CAO lists
- The RTSU operations officer will coordinate the distribution of the lists through the SCDO-SAGE, and provide the CAO list with a complete set.
- The OC at the same time will send the beneficiary list to the PBU for account opening, prior to field enrolments.



## Annex 2: Targeting Process Flow Chart





## Chapter 6: Registration Guidelines for the Senior Citizens Grant Program

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### Chapter Summary

This chapter explains how beneficiaries are registered into the SCG programme. Annex 4 provides a summary of the processes and Annex 5 depicts a flow chart. The oldest number of selected senior citizens per sub-county will be eligible to receive the grant. Registration and enrolment of all beneficiaries will be done at the parish level.

Selected beneficiaries who die prior to registration will not be registered either in the program or with PostBank Uganda (PBU). A beneficiary is entitled to a monthly SCG grant of UGX 25,000; this is the only entitlement provided by the program. The monthly SCG grant is paid after a beneficiary is registered onto the SCG programme and enrolled with PBU.

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#### Annex 3

SCG Beneficiary Registration and Enrolment Confirmation Register

#### Annex 4

Program Registration Process Summary for MIS

#### Annex 5

Registration Process Flow Chart

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## Section A: Planning for the Registration

The Operations Coordinator (OC) at the PMU must develop registration plan for the registration and enrolment with PBU in advance. The OC will notify the plan to the RTSU coordinator. Once the date is known for a sub-county, the RTSU operations officer and the DCDO will convene a meeting with the various sub-county CDOs to prepare the logistics and communications for the registration into the program and enrolment with PBU.

The operations officers at the RTSUs will print and deliver copies of the final lists of beneficiaries selected for registration to their respective districts. The CAOs' lists (including the names of beneficiaries by sub-county) will be handed over to the chief administrative officers (CAOs). A copy of the beneficiary list will be pinned on the sub-county notice board and other places such as places of worship for public viewing. The CDOs will work with parish chiefs, village chairpersons and the executive of Committee of the Older Persons at the parish level to mobilise all beneficiaries to be registered into the SCG.

Radio spot messages will also be used, which will include the timing and location of the SCG registration and enrolment in each sub county. The communication will also emphasise that the beneficiary needs to come along with their identification document(s) to be presented at the time of registration. In addition, the beneficiaries must be informed that in order to appoint an alternative beneficiary, s/he must attend the enrolment and must bring the national ID card.

The PMU will send through the MIS pre-filled registration forms with data from the national ID database to the RTSU. This information will include a serial number (beneficiary unique number), the name of the person and the national ID number. These forms will be printed for distribution to the districts. The DSST teams will be in charge of managing the forms. The RTSU will also provide material to the DSST including pens, plastic bags, and file boxes. The DSST will plan how to organize mobilizing infirm beneficiaries during the registration day.

---

## Section B: Parish Registration of SCG beneficiaries

At the registration day, the DSST will meet the beneficiaries at the parish level. The DSST will brief the beneficiaries on the rights and responsibilities of the program before the person is registered into the program. The program will develop brochures containing key messages for distribution. The following steps will be undertaken during the registration process:

---

### Step 1. Verifying beneficiary documents.

The DSST will verify the beneficiary identification documents by cross checking with what was captured in the final beneficiary list.



The final verification will:

- a) Confirm if the person is still alive at the time of registration
- b) Exclude any pensioner
- c) Verify and confirm information of the beneficiaries to be registered

---

## Step 2. SCG Registration Form

Once the beneficiary is verified, the DSST and the sub-county CDO will support the applicant in completing and signing the form. Annex 1 includes the registration form.

In case a beneficiary intends to authorise an alternative recipient, he/she should be present and possess a national identity card. The details of the authorised alternative recipient will be recorded on the “Alternative Recipient Authorization Form” and will be signed by both the beneficiary and the alternative recipient. Annex 2 includes the registration form.

Authorising an alternative recipient is **OPTIONAL FOR BENEFICIARIES** and beneficiaries should make informed decisions based on their relationship with the person. No local leader, LG staff, Program staff or post bank staff will impose or force a beneficiary to authorise an alternative recipient. DLG staff must sensitise the beneficiaries on the implication of the authorisation in order to help the beneficiary make a decision.

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## Step 3. Confirmation register

1. All registered beneficiaries or their alternative recipients (i.e. for infirm beneficiaries) will be required to sign the SCG registration confirmation register upon completion of the SCG registration form. Annex 3 includes the registration form.
2. The Parish chief or Sub-county CDO and Village chairperson will sign as witnesses to the registration confirming the correct beneficiary is registered.
3. The DSST supervisor will sign against each of the names registered and the date of registration

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## Section C: Enrolment with Post Bank Uganda

The PMU will liaise with the PBU management to agree on requirements and plan for the training and enrolment with PBU. The RTSU will also liaise with the PBU regional teams to share the plan for field enrolment. The registration of beneficiaries to the SCG program and the enrolment with PBU may be done on the same or different day and location. PBU will provide basic training to the beneficiaries on how they will be paid and issue a Post Bank Card. The key training areas to be covered will include;

- a) Introducing Post Bank Uganda- who are they?
- b) How the beneficiaries will be paid?



- c) What beneficiaries will do to be paid?
- d) Where beneficiaries will be paid from?
- e) When and how often beneficiaries will be paid?

If a beneficiary appoints an alternative recipient to receive his/her entitlement on their behalf, then the alternative recipient will attend the registration and enrolment exercise. Note that the alternative recipient should also have a national ID card to be registered.

---

#### **Section D: Infirm Beneficiaries Registration**

Infirm beneficiaries who are not be able to come to the registration and enrolment points will be mobilized by the parish chiefs and village chairperson at the nearest point to their homes that can be accessed by the DSST and PBU enrolment team. The infirm beneficiaries will go through the normal verification, registration and enrolment exercise. Infirm beneficiaries who wish to appoint an alternative recipient will be allowed to do so at the time of registration and enrolment; the alternative representative needs to be present and have a national ID.

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#### **Section E: Management of Field Returns**

At the end of the SCG registration and enrolment exercise, the DSST should organise all the forms and registers for submission. The DCDO is the custodian of the all the forms and registers, s/he must ensure that they are filled out, signed and properly stored for transportation.

<b>Verification Outputs</b>
1. The completed and signed registration forms
2. The completed and signed alternative recipient forms
3. The confirmation register

The DCDO, with a report approved by CAO, will forward the registration forms to the RTSU operations officer. The RTSU operations officer will review and approve the forms and will submit them to the RTSU coordinator for review. Once reviewed, the RTSU coordinator will send the forms to the SPO operations at the PMU who will review them and submit to the OC for approval. The OC will review and approve the forms and instruct the SPO MIS to update and correct any information from the registration forms and enter information from



the alternative beneficiary forms. It is suggested that the records are scanned and filed electronically but also archived in the PMU registry

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## Section F: Roles and responsibilities

<p><b>ROLE OF Programme Management Unit</b></p> <ul style="list-style-type: none"> <li>• The PMU with PBU will plan and coordinate registration and enrolment dates</li> <li>• The OC at the PMU will review and approve the beneficiary lists and will inform the RTSU coordinator</li> <li>• Supply all materials for new registration of other older persons identified at the districts to the RSTUs</li> <li>• Update the database of older persons based on the field returns from the field</li> </ul>
<p><b>ROLE OF RTSU</b></p> <ul style="list-style-type: none"> <li>• RTSU coordinator will organize communications</li> <li>• Oversee all registration activities at the districts and conduct spot check</li> <li>• Provide support to all districts and ensure they have the right and adequate resources and materials for the registration</li> <li>• RTSU will print beneficiary lists for distribution</li> </ul>
<p><b>ROLE OF CAO</b></p> <ul style="list-style-type: none"> <li>• Review beneficiary list</li> </ul>
<p><b>ROLE OF DCDO</b></p> <ul style="list-style-type: none"> <li>• Team leader of the DSST district team</li> <li>• Manage all individuals in the DSST team</li> <li>• Custodian of all forms, in charge of field returns</li> </ul>
<p><b>Role of the DSST</b></p> <ul style="list-style-type: none"> <li>• Implement all field activities related to registration</li> <li>• Manage all the field materials for the districts</li> <li>• Plan for all field activities</li> </ul>
<p><b>Role of Senior CDO for SAGE</b></p> <ul style="list-style-type: none"> <li>• Support the DCDO in managing the registration process including managing all materials for the field exercise at the district</li> <li>• Ensure participation of sub-county CDOs in the process</li> </ul>
<p><b>Role of Sub-County CDO</b></p> <ul style="list-style-type: none"> <li>• Publicize the lists in district and sub-county notice boards and other places</li> <li>• Assist in mobilizing beneficiaries for registration into the program</li> <li>• Be present in all registration activities at the district</li> </ul>



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<b>Role of the Parish Chief</b>
<ul style="list-style-type: none"><li>• Mobilization of older persons through the Village Chairpersons</li><li>• Be present in all registration activities at the district</li></ul>
<b>Role of the Village Chairpersons / Village Secretaries</b>
<ul style="list-style-type: none"><li>• Mobilize all the older persons in the village for the registration</li></ul>
<b>Role of Older persons</b>
<ul style="list-style-type: none"><li>• Attend the registration (SCG) and enrolment (PBU) events</li><li>• Carry along all relevant identification documents</li></ul>



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ANNEX 1: SCG Grant Registration Form



SENIOR CITIZENS GRANT REGISTRATION FORM



Serial No: (Pre-printed)

Date of registration: \_\_\_/\_\_\_/\_\_\_

Part A:- beneficiary details;

I, .....(M / F)hereby solemnly confirm that: My date of birth is ...../...../..... I am ..... years old, and my National ID No. is.....I also possess the following documentation which supports my application(Tick One)

Table with 2 columns and 3 rows for documentation types: Voter's Card, Baptism certificate, Passport, Long Birth certificate, Drivers permit, Other Specify.

I am a permanent resident of:

.....(Village/Cell) .....(Parish/Ward)
.....(Sub-county/Town Council) .....(District)

PART B: Declaration of Pension Status

I also hereby confirm that am not a Pensioner or Eligible for Government of Uganda pension: I understand that deliberate declaration of false information and/or forgery of official documentation is considered a criminal offence.

Signature .....

Village Chairperson (Should Append Stamp)

Review by Parish Chief/Ward Chief/S/C. CDO (Should Append Stamp)

.....(name)

.....(name)

.....(signature)

.....(signature)

.....(date)

.....(date)



SCG REGISTRATION FORM TEAR OFF FORM

Serial No: (Pre-printed Same as Above)

Date of registration: \_\_\_/\_\_\_/\_\_\_

Beneficiary Name:.....

Name of Other Recipient.....

DSST Name.....

DSST Signature.....

Senior Citizen Grant Registration Form-Jan 2016



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## Annex 2: SCG Alternative Recipient Authorisation Form



### SENIOR CITIZENS GRANT ALTERNATIVE RECIPIENT AUTHORISATION FORM



PART A: DECLARATION AND APPROVAL	
Date .....	District .....
Beneficiary details	Alternative recipient details
Surname .....	Surname .....
Other name .....	Other name .....
Serial No .....	Relationship .....
Village .....	ID type .....
Parish .....	ID number .....
Sub-County .....	.....

I ..... (Beneficiary name) hereby authorize the above-named to be enrolled as the alternative recipient of my SCG entitlement. I understand that neither the Ministry of Gender, Labour and Social Development nor Post bank Uganda are responsible for the actions of my authorized representative.....(Beneficiary signature).

I .....(Alternative recipient name) accept to be the above-named beneficiary's authorized representative and promise to hand-over the full SAGE SCG payments to the beneficiary Immediately. I understand that failure to remit these funds to the beneficiary is a criminal offence.....(Alternative recipient signature).

PART B: TO BE COMPLETED BY LOCAL GOVERNMENT STAFF			
	Name	Date	Signature
Witnessed by Village chairperson			
Reviewed by Parish chief			
Approved by Sub county CDO			

PART C: TO BE COMPLETED BY REGIONAL TECHNICAL SUPPORT UNIT			
	Name	Date	Signature
Data entered by M & E Officer			
Reviewed by Operations Officer			

**This form should be stamped by the Sub county CDO**



### Annex 3: SCG Beneficiary Registration and Enrolment Confirmation Register for Sub-County XYZ In ABC District

SCG BENEFICIARY REGISTRATION AND ENROLLMENT CONFIRMATION REGISTER FOR SUBCOUNTY XYZ IN ABC DISTRICT															
To Be Completed During Registration													To be Completed During Enrollment		
Ben Serial No	Ben Name	Date Of Birth	Gender	Parish	Village	Date Of Registration	SCG Registration Form No.	Beneficiary Signature	Registered Alternative Recipient Name	Registered Alternative Recipient Signature	Sub County CDO / Parish Chief Signature	Village Chairperson Signature	DSST Representative Signature	Date Of Enrollment with Post Bank	DLG Officer Signature
1	PETER MUHWEZI	3/2/1940	M	DEGEYA	KIRYANKOZI	3/22/2016									
2	JAMES OMEK	3/4/1930	M	DEGEYA	KIRYANKOZI	3/22/2016									
3	CLEMENT OKENY	5/2/1949	M	DEGEYA	KIRYANKOZI	3/22/2016									
4	ESTHER APIO	6/2/1950	M	DEGEYA	KIRYANKOZI	3/22/2016									
5	JOSEPH APALIA	7/2/1927	M	DEGEYA	KIRYANKOZI	3/22/2016									
6	JULIUS OMONA	4/2/1930	M	DEGEYA	KIRYANKOZI	3/22/2016									
7	TOM OMARA	6/2/1966	M	DEGEYA	KIRYANKOZI	3/22/2016									
8	JOSEPH APALIA	3/2/1946	M	DEGEYA	KIRYANKOZI	3/22/2016									
9	FRED WANDABWA	6/3/1930	M	DEGEYA	KIRYANKOZI	3/22/2016									
10	SIMON SSEBAGALA	1/2/1960	M	DEGEYA	KIRYANKOZI	3/22/2016									
11	MOSES ODOCH	8/12/1950	M	DEGEYA	KIRYANKOZI	3/22/2016									
12	MICHAEL OCERO	5/1/1966	M	DEGEYA	KIRYANKOZI	3/22/2016									
13	SHEM MWESIGWA	3/2/1946	M	DEGEYA	KIRYANKOZI	3/22/2016									
14	GRACE WANIYE	6/3/1930	F	DEGEYA	KIRYANKOZI	3/22/2016									
15	JESCA BAGALANA	1/2/1960	F	DEGEYA	KIRYANKOZI	3/22/2016									
16	CHARLES OKIDI	8/12/1950	M	DEGEYA	KIRYANKOZI	3/22/2016									



## Annex 4: Program Registration Process Summary for MIS

### Registration Planning

- the OC will have a planning meeting with PBU to agree on the registration and enrolment dates
- the OC will inform the RTSU coordinator on the calendar so the RTSU operations officer can communicate the DSST on the dates
- PMU develops beneficiary information brochure for registration to be distributed through the RTSU
- PMU pre-prints serialized registration forms with beneficiary unique number, name of the person, national ID number and sends to RTSU for corresponding distribution
- RTSU distributes registration forms, as well as pens, plastic bags, and boxes
- RTSU will print beneficiary lists by parish to be pinned in places for public viewing, CAO list sent to CAO
- DCDO leads meeting with sub county CDOs to plan for the registration into the program and enrolment into PBU
- DSST organizes mobilization of infirm beneficiaries for the registration day
- CDOs work with parish chiefs, village chairpersons and the executive committee of the older persons to mobilize people for registration

### Communications

- DCDO coordinates radio spot messages to notify people on venue, date and time and to bring required identification documents and if alternative recipient, bring the person, as well as his/her ID documents
- parish chief and village chairman inform people of the venue, date and time for registration meeting



## Registration Day

- Registration is done at parish level
- DSST brief beneficiaries on the program and rights and responsibilities and provides a brochure
- Final verification is done before registering into the program, which includes: person is alive, pensioners/eligible for Govt. pension, confirm beneficiary information
- Registration forms are signed by the beneficiary, parish chief or sub county CDO, village chairperson, and DSST member (only sign the tear off which is give to be the beneficiary)
- in case there is an alternative recipient, the DSST member will clearly explain the implications of this and will request the alternative recipient national ID
- the DSST member completes the recipient authorization form, which is signed by the parish chief and sub county CDO, village chairperson, and DSST member
- the conformation register is also signed by the beneficiary, alternative recipient, Parish Chief or Sub-county CDO, Village Chairperson, and DSST member
- Once the beneficiaries are registered into the program, they can proceed to be enrolled with PBU

## Infirm beneficiaries registration

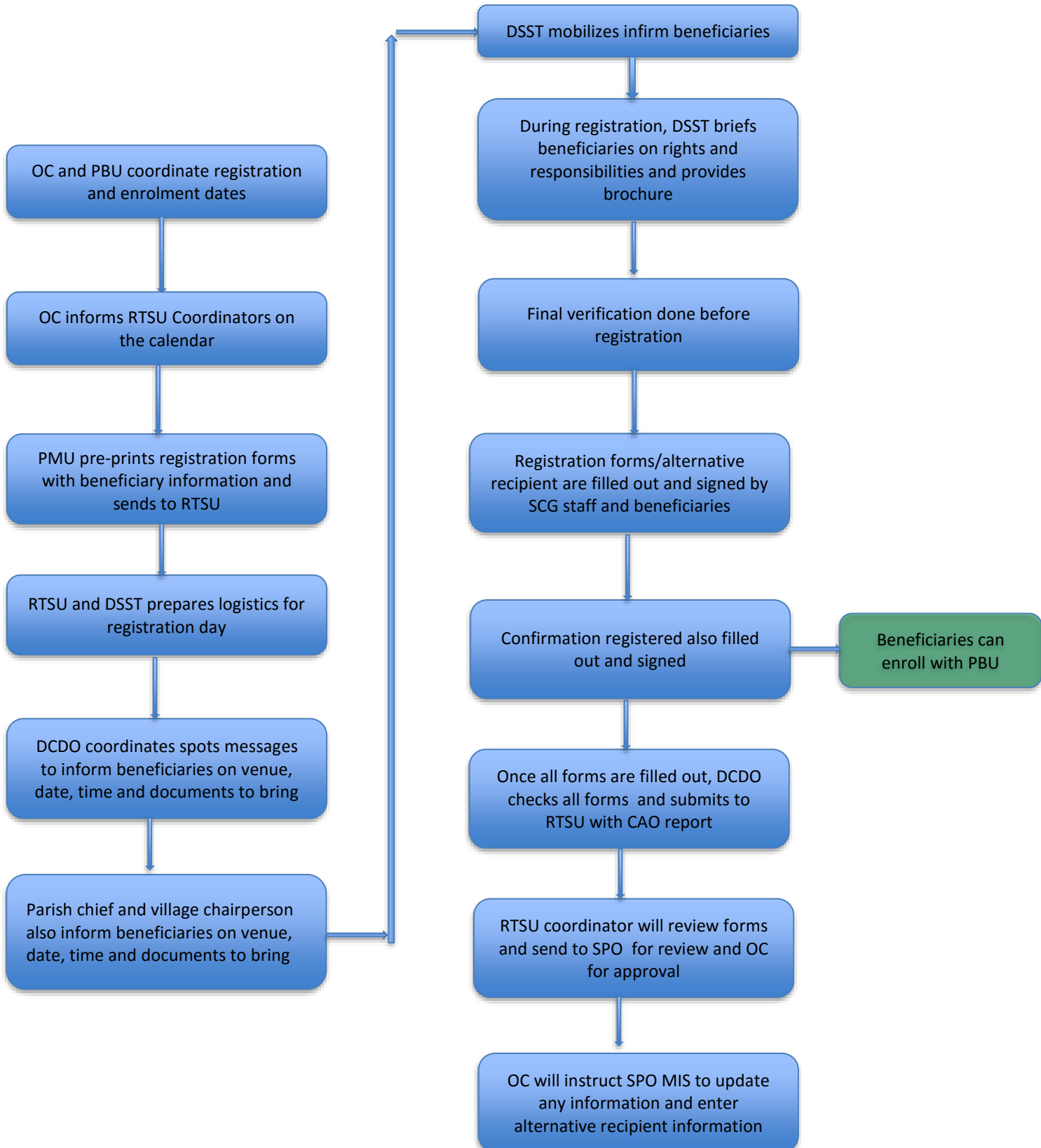
- DSST will be in charge of bringing infirm beneficiaries to the registration venue to be registered into the program and to be enrolled into PBU
- DSST should plan in advance the mobilization to provide for transport and other logistics

## Field Returns

- Once registration is done, the DCDO checks all forms are filled out, signed and properly stored for transportation
- DCDO, with a report approved by the CAO, forwards the forms and registers to the operations officer who will review the forms and confirmation registers and forward to the RTSU coordinator
- The RTSU coordinator will review and approve the forms and will send to the SPO operations at the PMU, who will review and submit to the OC
- The OC at the PMU will review and approve the forms and instruct the MIS SPO to correct and update any information from the registration forms and enter the information from the alternative recipients' forms



## Annex 5: Registration Process Flow Chart





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## Chapter 7: Change Management Guidelines for the SCG

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### Chapter Summary

Change management refers to changes or updates on beneficiaries' status in the program due to deaths or change of alternative recipients.

A death of a beneficiary leads to termination of entitlements and replacement with a new eligible person. The change of alternative recipient is also important since it involves authorizing a third party to collect the cash on behalf of the beneficiary.

Managing changes requires completion of program forms by the responsible duty bearers. All program forms are held and managed by parish chiefs. The parish chiefs will be responsible for reporting all changes on the beneficiary status. The relatives, next of kin of the deceased beneficiary, village chairpersons and the chairperson of the village executive committee of older persons can notify the death of a beneficiary to the parish chief. Annex 5 provides a summary of the MIS change management process and Annexes 6 and 7 include flow charts.

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#### Section A

Beneficiary Deaths and Reporting

#### Section B

Verification, Registration and Enrolment of a New Beneficiary

#### Section C

Change of a Beneficiary's Alternate Recipient

#### Annex 1

SCG Death Notification Form

#### Annex 2

SCG Family Meeting Resolution Form

#### Annex 3

SCG Registration Form

#### Annex 4

SCG Alternative Recipient Authorisation Form

#### Annex 5

Change Management Processes Summary for MIS

#### Annex 6

Death Notification, Family Resolution and New Beneficiary Process Flow Chart

#### Annex 7

Alternative Recipient Change Process Flow Chart

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## Section A: Beneficiary Deaths and Reporting

The death of a SCG beneficiary will result in termination of entitlements. The death of a beneficiary should be reported to the parish chief by the deceased relatives, village chairpersons or the chairperson of the executive committee of older persons of the village. Once the death is confirmed, the parish chief will fill out a Death Notification Form (DNF).

It should be noted that delayed death reporting with intention to defraud the program is a criminal offence punishable by law.

---

### Step 1. Completion of SCG Death Notification Form

- When a SCG beneficiary dies, his/her family, relatives, village chairperson or the chairperson of the village executive committee of older persons, should immediately inform the parish chief who will complete a *Death Notification Form (DNF)*. See *annex 1*
- The DNF is signed by the notifier of the death, the village chairperson, and the Parish chief
- The parish chief submits the completed and signed form to the Sub-County CDO, who approves and signs it
- The Sub-County CDO submits all completed forms to the SAGE SCDO
- The SAGE-SCDO then submits to the respective operations officers at RTSU for review and data entry.
- After data entry by the operations officer in the MIS, s/he will inform the RTSU coordinator and send the forms to the operations OC for archiving.
- The OC will approve the change in the MIS and will instruct the MIS SPO to update the payroll so payment into that beneficiary account can be stopped.
- An updated payroll will be send to the PBU on the next payment cycle. It is important to note that the PMU is in charge of updating the payroll on a regular basis and send the updated payroll to the PBU.

---

### Step 2. Family Resolution meeting: appointment of the next of kin to collect benefit

- Following the death of a beneficiary notification, the family should have a meeting to appoint the next of kin to receive any remaining balances on the beneficiary account (if any) at the time of death. The meeting should be attended by the Village chairperson. If the beneficiary already had an alternative recipient at the time of death, the family should be advised to maintain the same person as the next of kin unless the family meeting resolves otherwise. This will avoid the delays that may be caused by enrolling the next of kin with the PBU in order to collect the benefit.
- The family should complete a Family Resolution Form (FRF) which is signed by the appointed person, village chairperson and parish chief. See annex 2.



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- All forms will be collected by the sub-county CDO who will review and sign them, and will submit them to the SAGE-SCDO who will review them and deliver to the RTSU operations officer.
- The RTSU operations officer will review the forms and enter the information in the MIS, inform the RTSU coordinator and then submit them to the OC for approval.
- The OC will approve updating payrolls for the next payment cycle and will notify the MIS SPO.
- The family resolution is used to update the MIS to enable the appointed next of kin receive the money on a one-time basis.
- The OC will prepare instructions to be signed by the Head PMU or his/her designate to PBU to pay the appointed next of kin. The same information will be sent to RTSU Operations officers to be delivered to the DCDO as notice of termination of payments.
- The PBU will designate a trustee account, and the next of kin may be required to enrol with PBU.
- The parish chief and sub-county CDO will inform the next of kin on the requirement documentation to bring (national id) to enrol with PBU and collect the benefit.

---

## Section B: Verification, Registration and Enrolment of a New Beneficiary

- Following the removal of the deceased beneficiary from the beneficiary register and payroll, the next oldest beneficiary in the sub-county, will be identified by the PMU/MIS.
- The PMU will submit the name (s) of the potential beneficiary (s) for verification and registration to the RSTU coordinator who will review the information and submit to the RTSU operations officer for action. The verification and registration will be done by RTSU operations officer and the SAGE-SCDO, supported by the Sub-county CDO.
- The SAGE-SCDO and/or the sub-county CDO will visit the new beneficiary with the parish chief to verify the status of the new beneficiary (alive, not a pensioner, resident) and fill out a registration form (see annex 3) and an alternative recipient form if required (see annex 4).
- Once verified, the SAGE-SCDO/sub-county CDO will send the form to the RTSU operations officer for review and update in the MIS and the RTSU coordinator for approval, who will in turn submit to the OC through the MIS for approval so that the payroll can be updated.
- The OC will inform the PBU so the new beneficiary can be enrolled during the next payment cycle.
- The parish chief will work with the village chairperson to contact the potential beneficiary and communicate to the beneficiary to visit the pay point during the next payment cycle to be enrolled with PBU.
- The new beneficiary will be able to enrol with PBU during the next payment cycle at the pay point.
- The parish chief and sub-county CDO will inform the new beneficiary on the requirement documentation to bring (national id), and what are the requirements in case an alternative recipient will be appointed.



- Upon being enrolled, the new SCG beneficiary will be immediately entitled to collect the payment every payment cycle.

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### Section C: Change of a Beneficiary's Alternate Recipient

**Alternative recipient:** This is a person authorised by the beneficiary to receive the cash on their behalf due to inability of the beneficiary to reach the pay point due to infirmity. Authorised recipients are authorised by the beneficiary in the presence of the parish chief and must complete an Alternative Recipient Authorisation Form. See Annex 4.

If a beneficiary wants to propose an alternative recipient or change an alternative recipient, the following process needs to take place:

- The beneficiary will inform the parish chief, s/he wants to appoint or change the alternative recipient
- The parish chief will assist the beneficiary to fill out a recipient authorization form, which is witnessed by the village chairman
- All forms will be collected by the sub-county CDO who will review the forms, and submit them to the SAGE-SCDO who will review and deliver them to the RTSU operations officer.
- The RTSU operations officer will review and update the forms through the MIS and submit them to the OC at PMU for approval
- The OC will approve the updating and notify the MIS SPO, so payrolls can be updated for the next payment cycle.
- The OC will inform PBU so that the new alternative recipient can be enrolled into PBU during the next payment cycle at the pay point. The PBU will ensure due diligence is done in the process.
- The parish chief and sub-county CDO will inform the alternative recipient on the required documentation (national id).



**EXPANDING  
SOCIAL  
PROTECTION**

**Annex 1: SCG Death Notification Form**



**SENIOR CITIZENS GRANT DEATH  
NOTIFICATION FORM**



<b>PART A: TO BE COMPLETED BY FAMILY MEMBER / LOCAL LEADER</b>			
<b>Dead beneficiary details</b>		<b>Notifier details</b>	
Surname		Surname	
Other name		Other name	
Serial No		Designation / Relationship	
Village		Signature	
Parish		<b>Reviewed by Village Chairperson</b>	
Sub-County			(Name)
District			(Signature)
Date of death	/ /		(Date)

<p><b>PART B: TO BE COMPLETED BY PARISH CHIEF</b></p> <p>I, ..... (Name), being Parish Chief confirms the above death and that the notification is correct.</p> <p>..... (Signature) Parish Chief</p> <p>..... / ..... / ..... (Date)</p>	<p><b>PART C: TO BE COMPLETED BY SUB-COUNTY CDO</b></p> <p>REVIEWED AND APPROVED BY:</p> <p>..... (Name)</p> <p>..... (Signature/Stamp) Sub-County CDO</p> <p>..... / ..... / ..... (Date)</p>
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<b>PART D: TO BE COMPLETED BY REGIONAL TECHNICAL SUPPORT UNIT</b>			
(I) Data Entry	Name	Date	Signature
Data entered by M & E Officer		/ /	
Reviewed by Operations Officer		/ /	

<b>(II) Balance Verification</b>			
Amount	Date of statement	Person reporting	Signature
	/ /		

Senior Citizens Grant Death Notification Form — Jan 2016



EXPANDING  
SOCIAL  
PROTECTION

### Annex 2: SCG Family Meeting Resolution Form



## SENIOR CITIZENS GRANT FAMILY MEETING RESOLUTION FORM



PART A: TO BE COMPLETED AT THE FAMILY MEETING	
Date .....	District .....
<b>Dead beneficiary details</b>	<b>Appointed recipient details</b>
Surname .....	Surname .....
Other name .....	Other name .....
Serial No .....	Relationship .....
Village .....	ID type .....
Parish .....	ID number .....
Sub-County .....	Signature .....

We the undersigned appoint the above person to access and receive any outstanding balances on the deceased's SAGE SCG account.

Name	Relationship with Deceased	Signature
	Chairperson of meeting	

PART B: TO BE COMPLETED BY LOCAL GOVERNMENT STAFF			
	Name	Date	Signature
Witnessed by Village Chairperson		/ /	
Reviewed by Parish Chief		/ /	
Approved by CDO		/ /	
Ben Account No		Ben Serial No	

Senior Citizens Grant Death Notification Form — Jan 2016



EXPANDING SOCIAL PROTECTION

Annex 3: SCG Registration Form



SENIOR CITIZENS GRANT REGISTRATION FORM



Serial No: (Pre-printed)

Date of registration: \_\_\_/\_\_\_/\_\_\_

Part A:- beneficiary details;

I, \_\_\_\_\_ (M / F) hereby solemnly confirm that: My date of birth is \_\_\_/\_\_\_/\_\_\_ I am \_\_\_\_\_ years old, and my National ID No. is \_\_\_\_\_. I also possess the following documentation which supports my application (Tick One)

Table with 2 columns and 3 rows for documentation types: Voter's Card, Baptism certificate, Passport, Long Birth certificate, Drivers permit, Other Specify.

I am a permanent resident of:

\_\_\_\_\_(Village/Cell) \_\_\_\_\_(Parish/Ward)
\_\_\_\_\_(Sub-county/Town Council) \_\_\_\_\_(District)

PART B: Declaration of Pension Status

I also hereby confirm that am not a Pensioner or Eligible for Government of Uganda pension: I understand that deliberate declaration of false information and/or forgery of official documentation is considered a criminal offence.

Signature \_\_\_\_\_

Village Chairperson (Should Append Stamp)

Review by Parish Chief/Ward Chief/S/C CDG (Should Append Stamp)

\_\_\_\_\_(name)
\_\_\_\_\_(signature)
\_\_\_\_\_(date)

\_\_\_\_\_(name)
\_\_\_\_\_(signature)
\_\_\_\_\_(date)



SCG REGISTRATION FORM TEAR OFF FORM

Serial No: (Pre-printed Same as Above)

Date of registration: \_\_\_/\_\_\_/\_\_\_

Beneficiary Name: \_\_\_\_\_

Name of Other Recipient: \_\_\_\_\_

DSST Name: \_\_\_\_\_

DSST Signature: \_\_\_\_\_

Senior Citizen Grant Registration Form-Jan 2016



**EXPANDING  
SOCIAL  
PROTECTION**

**Annex 4: SCG Alternative Recipient Authorisation Form**



**SENIOR CITIZENS GRANT ALTERNATIVE  
RECIPIENT AUTHORIZATION FORM**



PART A: DECLARATION AND APPROVAL			
Date .....		District .....	
Beneficiary details		Alternative recipient details	
Surname	_____	Surname	_____
Other name	_____	Other name	_____
Serial No	_____	Relationship	_____
Village	_____	ID type	_____
Parish	_____	ID number	_____
Sub-County	_____		_____

I ..... (Beneficiary name) hereby authorize the above-named to be enrolled as the alternative recipient of my SCG entitlement. I understand that neither the Ministry of Gender, Labour and Social Development nor Post bank Uganda are responsible for the actions of my authorized representative..... (Beneficiary signature)

I ..... (Alternative recipient name) accept to be the above-named beneficiary's authorized representative and promise to hand-over the full SAGE SCG payments to the beneficiary immediately. I understand that failure to remit these funds to the beneficiary is a criminal offence..... (Alternative recipient signature)

PART B: TO BE COMPLETED BY LOCAL GOVERNMENT STAFF			
	Name	Date	Signature
Witnessed by Village chairperson			
Reviewed by Parish chief			
Approved by Sub county CDO			

PART C: TO BE COMPLETED BY REGIONAL TECHNICAL SUPPORT UNIT			
	Name	Date	Signature
Data entered by M & E Officer			
Reviewed by Operations Officer			

**This form should be stamped by the Sub county CDO**



## Annex 5: Change Management Processes Summary for MIS



### Death reporting

- family, relative, village chairperson or the village executive committee chairman of older persons notifies the death to the parish chief
- parish chief fills out the death notification form which includes: details of the death person and the details and signature of the notifier
- the form is signed by the notifier, village chairman and parish chief
- the parish chief submits the form to the sub-county CDO who approves and signs the form and sends it to the SAGE SCDO
- the SAGE CDO consolidates the forms and submits to the RTSU operations officer
- the RTSU operations officer will review and enter the information in the MIS, inform the RTSU coordinator and then submit to the OC for approval
- the OC will approve updating the payrolls for the next payment cycle and notify the MIS SPO so payments can be stopped
- an updated payroll will be send to the PBU for the next payment cycle.

### Family resolution meeting: appointment of next of kin

- if the beneficiary did not register an alternative recipient, the family resolution form needs to be filled out by the parish in consultation with the family to assign a next of kin to collect any remaining balances
- the form includes details of the dead beneficiary, the appointed recipient and it's signed by the village chairperson and the parish chief
- the sub-county CDO will review and sign the form, and deliver it to the SAGE CDO
- the SAGE CDO consolidates the forms and submits to the RTSU operations officer
- the RTSU operations officer will review, enter the information in the MIS, inform the RTSU coordinator and submit the forms to the OC for approval.
- the OC will approve updating the payrolls and inform the MIS SPO to updated the payroll lists so payment can be made to the next of kin
- the OC will prepare instructions to be signed by the Head of the PMU for PBU to pay the appointed next of kin
- PBU will designate a trustee account, and the next of kin may be required to enrol with PBU
- the parish chief and sub county CDO will inform the next of kin on the requirement documentation to bring



## New beneficiary

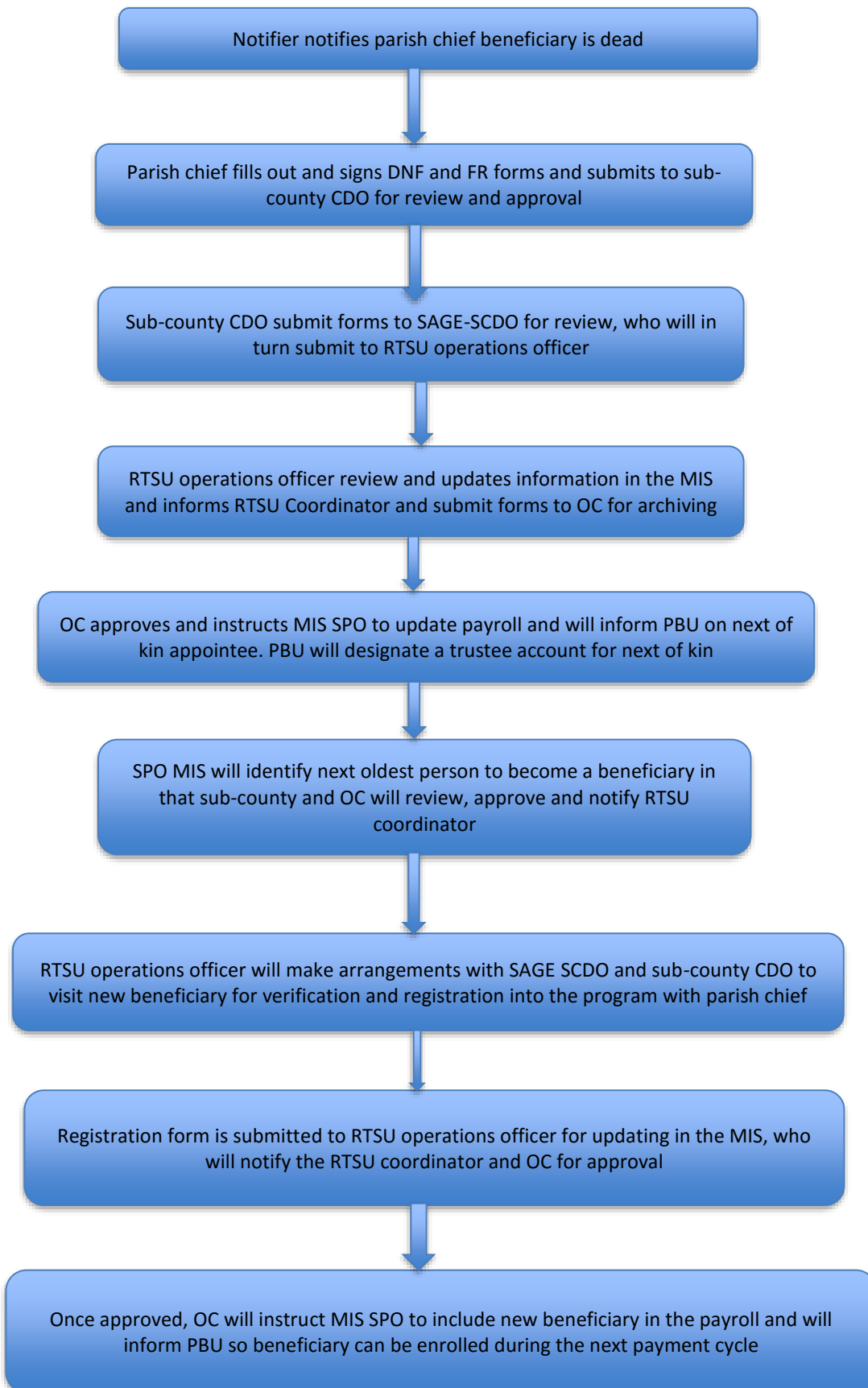
- the next oldest person in the sub-county will become the next beneficiary
- the MIS SPO will obtain the person's name and notify to the OC, who will review and approve
- s/he will inform the RTSU coordinator that the new beneficiary needs to be registered into the program
- the RTSU operations officer makes arrangements with the SAGE CDO and sub-county CDO to visit the new beneficiary for verification and registration with the parish chief
- during the visit a registration form and alternative recipient form (if required) will be filled out
- the SAGE CDO will submit the forms to the RTSU operations officer, who will review and submit to the RTSU coordinator for approval
- Once approved, s/he will send the form to the SPO operations who will review and submit the forms to the OC for approval
- the OC will ask the MIS SPO to include the name on the payroll lists
- the OC will inform the PBU so the new beneficiary can be enrolled into PBU during the next payment cycle at the pay point

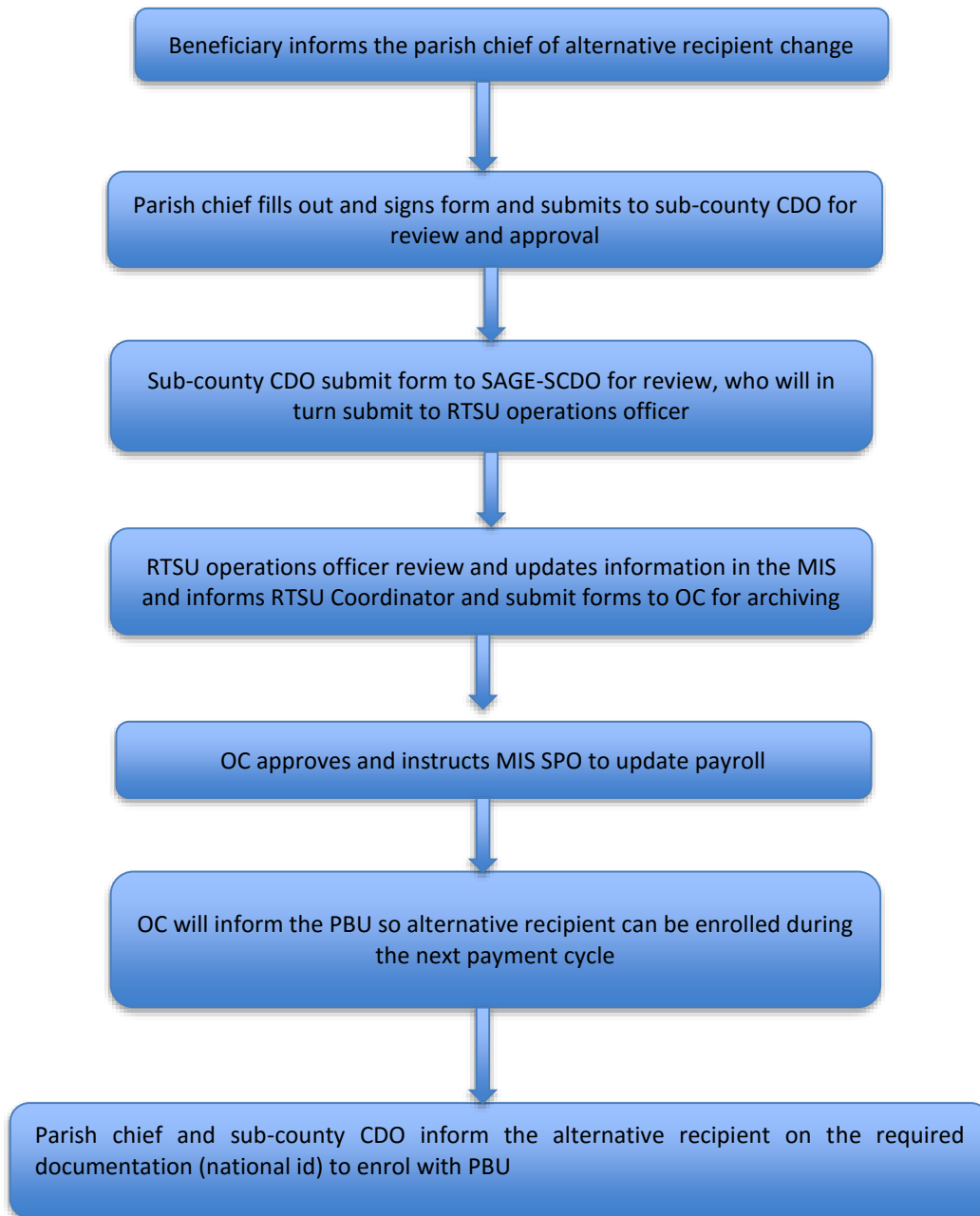
## Alternative recipient change

- the beneficiary will inform the parish chief, s/he wants to appoint or change the alternative recipient
- the parish chief will assist the beneficiary to fill out a recipient authorization form, which is witnessed by the village chairman
- all forms will be collected by the sub-county CDO who will review them, and submit them to the SAGE-SCDO who will in turn review the forms and deliver them to the RTSU operations officer
- the RTSU operations officer will review the forms and submit them to the RTSU coordinator for review and approval and will send them to the SPO operations at PMU
- the SPO operations will review and submit the forms and a report to the OC for approval so the information can be entered into the PMU/MIS, and payrolls can be updated for the next payment cycle
- the OC will inform the PBU so the new alternative recipient can be enrolled into PBU during the next payment cycle at the pay point
- the parish chief and sub-county CDO will inform the alternative recipient on the required documentation (national id).



## Annex 7: Alternative Recipient Change Process Flow Chart







## Chapter 8: Complaints Guidelines for the Senior Citizens Grant (SCG)

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#### Annex 5

Payment Complaints Process Flow Chart

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## Introduction

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. This 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 address the risks set out above, SAGE seeks to adopt a rights-based approach.

SAGE is guided by a set of principles, rights and responsibilities laid out in the SAGE Programme Charter, which includes the right to complain about breaches of the charter and timely redress.

### **The SAGE Charter emphasises:**

1. The right to accessible information on all aspects of 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 programme registration and payments facilities irrespective of gender, age, educational attainment or disability
4. The right to full and timely payment of grants
5. The right to complain and receive timely redress in the event that the programme fails to uphold the above

There are two aspects related to complaints and grievances. Complaints refer to concerns or expressions of discontent about the programme administration in areas such as targeting and payments. A grievance occurs when there has been a violation of a beneficiary's rights on the programme, and it refers to serious concerns and allegations on the program staff or payment services providers regarding extremes cases such as fraud, mistreatment to the beneficiaries or corruption.

Local political leaders and civil society organisations are expected to play an important role in monitoring programme delivery and supporting members of the public to hold the programme accountable. The programme will also proactively seek to ensure compliance with the rights and responsibilities set out in the Charter through its internal monitoring and audit systems.



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## Section A: SCG Complaints System Overview

The grievance and complaints system helps to improve program administration by identifying and rectifying errors, improving effectiveness and incorporating valid suggestions and recommendations from beneficiaries and the public to allow the SCG programme to address issues on a timely manner. Grievance systems can also act as a deterrent to those planning to engage in unethical and criminal behaviours such as fraud, theft, corruption and abuse, since they are aware that anyone could potentially raise a complaint against them.

The SCG programme encourages members of the public or any other concerned individuals to submit complaints and grievances directly about any aspect of the SCG programme delivery using the right complaint channels. SCG acknowledges its responsibility to ensure that complaints are resolved in an appropriate and timely manner.

The SCG Complaint procedures will be implemented by the RTSU with support of Local Government staff and supervised by the SPO Grievance and complaints. Sub-County CDOs and Parish Chiefs are the first point of contact for submission of complaints. The forms will be collected by the SAGE SCDO who will deliver them to the RTSU. The DCDO, SCDO and Parish Chiefs are expected to integrate SCG complaints management into their day-to-day community development work, including and receiving, reporting and submitting of complaints forms to the resolution centres.

Annex 2 provides a summary of program complaint processes, Annex 3 provides a summary of the payment complaints, Annex 4 and 5 depicts flow charts for both programme and payment related complaints.

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## Section B: Complaints Channels

The program should have several channels accessible to beneficiaries and the public to submit complaints. The following channels are will be available for lodging complaints:

- a) SCG forms for program complaints: This approach will use paper-based serialized MIS complaints forms through which individuals can file complaints at the parish level or at the pay point. These forms will available with the Parish Chief both at the pay point during payments or at any time at the Parish Office.
- b) PBU Payment Supervisor at pay point using the PBU complaint form and complaint register (please refer to payment guidelines)
- c) PBU complaints hotline (please refer to payment guidelines)

## Section C: Type of complaints: Programme, Payments and Corruption/Fraud

The programme foresees a number of complaints in the course of implementation of the programme and has categorised them into two groups namely programme and payment. The program will manage programme related complaints which are under its direct control whereas PBU will manage payment related complaints. However, the PBU will on a bi-monthly basis share with PMU status of the resolution of the payment related complaints. Since complaints will be managed at the RTSU level, the RTSU should also coordinate meetings to follow up on payment related complaints with the PBU regional branches.

### a) Programme Complaints

There are 7 types of program related complaints which will be handled by the SCG, which are as follows:

1. Targeting (Exclusion error: not on the NIRA list)
2. Wrong death notification
3. Death not reported (beneficiary died and somebody is collecting the benefit)
4. Verified but not on the registration list (was verified on the provisional lists but not in the final registration list) due to information management errors
5. Registered in the program but not in the payroll list
6. Delay in updating alternative recipient
7. Unresolved beneficiary payments
8. Mistreatment of corruption/fraud

### b) Payment Complaints

There are 8 types of program related complaints which will be handled by the SCG, which are as follows:<sup>1</sup>

1. Not enrolled by Bank Staff
2. Biometrics Failure
3. Underpayment (illegal fees charged, liquidity issues)
4. Late payment
5. No payment (van left early, liquidity issues)
6. Quality of service
7. Alternative recipient not being provided
8. Trustee account not opened for next of kin

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<sup>1</sup> Complaints as described in payments Manual prepared by payments consultant Naseer Khan, June 2016.



### c) Complaints relating to Corruption or Fraud

The SAGE programme has a policy of zero tolerance in cases of fraud, corruption and other serious unethical behaviour. Any complaint relating to fraud, corruption or serious unethical behaviour should be submitted in writing to the Head of the Expanding Social Protection Programme (ESP). The complainant has the right to bypass the programme management structure and take their complaint direct to the Permanent Secretary, MGLSD or other agencies mandated to investigate such cases such as the Police. The Permanent Secretary also has the right to refer the complaint back to the Head of the ESP Programme if he/she feels that the Head of the Unit, without any conflict of interest, can more appropriately investigate the complaint.

Complaints about corruption by government officials, including the local government officials involved in the implementation of SAGE, can be filed through the Public Service Commission. At the District level, the Rewards and Sanctions Committee meets monthly to discuss any cases brought against officials, and reports to the District Administrator, who is the head of the Public Service Commission at the District. At the Sub-County level, a Disciplinary Committee meets when needed to resolve a case. The Committee reports to the District Administrator on issues resolved locally, or escalate issues to that level.

For SAGE, while those comfortable reporting complaints against local officials can access these Public Service Commission oversight mechanisms, others who may not feel empowered to do so should be able to raise complaints through the SAGE complaints mechanism anonymously and have these forwarded to the Public Service Commission for follow-up and resolution.

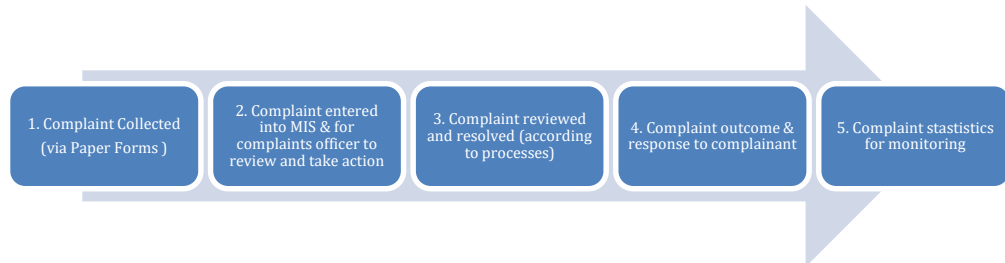
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## Section D: Programme Complaint Process

Grievance and complaints systems provide the opportunity to help the programme better understand interventions from the beneficiaries' or the public perspectives while gaining information that can help improve programme delivery. The SCG grievance and complaints mechanism seeks to develop a system to address risk and adverse impact on beneficiaries and communities, taking into consideration cultural appropriate ways, accessibility and understandability with a clear and known procedure to all stakeholders, and being able to

respond on a timely, efficient and effective manner. As presented in the grievance report,<sup>2</sup> the following operational model is proposed:

**Graph 1: Complaints Basic Operational Model**



The MIS is the main tool to be used for complaints. SCG complaint forms will be serialized in the MIS and pre-printed. The Program will send serialized complaint forms to the RTSU for distribution to the respective district implementers. The forms will be used by the Parish chief or sub-county CDOs at the payment point or at any other opportunity.

When a person or beneficiary wants to file a complaint, she/he will approach the Parish Chief to request for a form to be filled out (see Annex 1) at any point or at the pay point. The Parish Chief or the sub-County CDO records all the complaint details in the form including information about the person or beneficiary. The complainant is given a tear off from the original copy which will also include the serialized number so s/he can refer to it while following up on the complaint. The form will have a carbon copy for the program to keep and track down.

The parish chief will submit the forms to the sub-county CDO after payments, during the coordination meetings, mobilization meetings or other instances no later than the 10<sup>th</sup> of the month. The SCDO SAGE should collect the forms from the sub-county CDOs by the 20<sup>th</sup> of the month. The SCDO SAGE will deliver all forms to the Operations Officer at the RTSU for data entry into the MIS. All forms should be entered in the MIS by the end of the month.

Once the information is entered into the MIS, the SPO Grievance and Complaints reviews every case, and assigns for action to the various responsible officers at the PMU as per agreed mandate (Program Officers-Liaison, SPO-Operations and Operation Coordinator). Feedback to the RTSU Operations Officers will be done through the MIS. The SPO Grievance and Complaints will review progress on each case and will update the Operations Coordinator (OC) on a weekly basis when action is delayed. The OC will have a report on the payment related cases consolidated to be discussed with PBU on a weekly basis. There is a different action required by the parish chief, review by the M&E officer and

<sup>2</sup> Draft Report: Developing a Complaints Mechanism for the SAGE Program prepared by Sharlene Ramkissoon, Development Pathways, March 2016



recommendation to the PMU depending on the type of complaint. Table 1 provides this information.

**Table 1: Type of complaint, action, review and recommendation in the MIS**

No	Type of program complaint	Action required by parish chief	Review by RTSU M&E officer using MIS	Recommendation to PMU Grievance SPO in the MIS
1	Targeting exclusion error	none	If person was confirmed to be in the provisional list  If person was not confirmed to be in the provisional list	To be included in the older persons database and will be in succession list  The person will be referred to NIRA to check national ID status
2	Wrong death notification	Check if there is DNF  Need to visit person to confirm whether dead or alive  Form should be written by PC and reviewed by the SCDO	Based on form, make recommendations to RTSU coordinator  Ensure the necessary documentation is attached and sent to the PMU	To be included back in the payroll  Not to be included back in the payroll
3	Death not reported	Need to visit person to confirm whether alive or dead  If dead, DNF needs to be filled  Check whether the DNF were filled or not and submitted	If person was confirmed to be death  If person was confirmed to be alive	To be deleted in the payroll  To be kept in the payroll
4	Verified but not in the registration list	none	If person is in the provisional list but not on the registration list  If person is not on the provisional list	To be included in the payroll  Not to be included back in the payroll
5	Registered in the program but not in the payroll	none	If person is in the beneficiary list but not on the payroll	To be included in the payroll  Not to be included back in the



No	Type of program complaint	Action required by parish chief	Review by RTSU M&E officer using MIS	Recommendation to PMU Grievance SPO in the MIS
			If person is not in the beneficiary list	payroll
6	Delay in updating alternative recipient	none	If person was checked and is in the payroll  If person was checked and is not in the payroll	Notify that the alternative person is in the payroll  Check if recipient authorization form was submitted and the status of the form
7	Unresolved payment complaint	none	Check payment complaint status	Contact PBU complaint officer for follow up
8	Local Government officers mistreatment and corruption complaints	none	Summarize the specific type of complaint	Refer and follow up cases with the public service commission

For the second and third type of complaint (wrong death notification and death not reported), once the parish chief receives the form, s/he will need to conduct a home visit to verify the status of the beneficiary, i.e. still alive or death. For the wrong death notification, the parish chief will fill out the complaint form confirming that the person is indeed still alive. For the death not reported, the parish chief will fill out a death notification form and attach it to the complaint form.

Once the complaint has been resolved by the SPO Grievance at the PMU in the MIS, the RTSU coordinator and/or operations officer can have access to the complaint status to notify the results to the complainant either via SMS, letter or the local government channels (SAGE SCDO, sub-county CDO, parish chief). The maximum time of resolution should be 30 days once the complaint has been registered into the MIS. Using the MIS, the SPO Grievances can prepare statistics and trends reports for management action and corrective measures.

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### Section E: Payment Complaint Process<sup>3</sup>

Payment related complaints will be handled by PBU but monitored by the PMU through – bi-monthly reports submitted by the PBU. PBU has an existing customer service system which covers complaints and grievances, which they are currently strengthening. PBU also

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<sup>3</sup> Process as described in payments Manual prepared by payments consultant Naseer Khan, June 2016.



has a service charter which defines timeframes for complaint resolution and feedback; however, given that most beneficiaries live in rural areas these timeframes should be reconsidered and made more realistic for the mobile van.

The performance of the complaints resolution process is guided by the service level agreement (SLA). The service level agreement clarifies on lead times and performance benchmarks expected from PBU. The SLA provides timeframes for all complaints related to payment that should be resolved by PBU.

Based on the discussion with PBU, it was agreed that bank will use its existing sources of complaints data collection for Programme beneficiaries but the systems will be customized to the needs of Programme beneficiaries. The following are the different sources of complaints data collection which will be customized to serve Programme beneficiaries:

#### **a) Complaint Registration through Hotline**

PBU will make sure that ESP II Programme beneficiaries have a dedicated staff for registering and resolving their complaints against services of the bank. PBU will make sure that the beneficiaries who call on their hotline are served by agents who can speak in their local languages. Based on the complaint types mentioned in section C, PBU will make sure that the agents receiving calls of ESP II beneficiaries are able to register them in the system. PBU will develop a simple system for these agents to register beneficiary complaints as per the form proposed by the Programme.

Beneficiaries who are unable to make calls on the hotline of PBU themselves, can be facilitated by any other person in their area for registration of their complaints although the persons making calls on behalf of the beneficiaries will have to provide basic identification information of the beneficiaries so that the complaints can be specific, easily resolved and feedback can also be provided. For identification of beneficiaries through their representatives or themselves, the following types of documents will be used:

1. NIRA ID
2. SAGE ID
3. Account number

The caller will receive a complaint reference number on registration of a complaint and this reference number should be used by the beneficiary for making a follow up call or visit to the banking facilities.



## **b) Paper based complaint form**

The paper based complaint form will be made available to the beneficiaries during the van based payments and in future also when payments will be made through agents. The complaint form will have all the complaint types discussed above and beneficiaries or their representatives should be able to access these forms, fill them up and submit them to the bank staff either at their branches or vans. For registration of a complaint through paper based form, the following documents can be used for identification of the beneficiaries

1. NIRA ID
2. SAGE ID
3. Account number

The complaint form will have a tear off receipt section which should be filled by the bank staff while receiving the complaint from the beneficiary or the representative of the beneficiary. This receipt must include the complaint reference number before it is handed off to the beneficiary. The reference number on the receipt can then be used for making follow ups.

## **c) Complaint Register**

PBU indicated that in addition to the complaint form for individual beneficiaries, it will make sure that the van supervisors have complaint registration booklets where multiple complaints can be registered on a single page. The register will have pages with all the complaint types that are discussed for the hotline based registration system and the paper based personalized complaint form. The documents that will be used for identification of the beneficiary are:

1. NIRA ID
2. SAGE ID
3. Account number

The van supervisor should be able to write up a complaint receipt for the beneficiary by using a separate receipt booklet which should be filled by the bank staff after registering the complaint in the complaints register. This receipt must include the complaint reference number before it is handed off to the beneficiary. The reference number on the receipt can then be used for making follow ups.

At the moment, complaints can be registered when Vans are in the field or through branches. In the future, PBU should make it possible for the beneficiaries to register their paper based complaints through other channels also as agent based banking will be introduced and so registering complaints against agents through them will not be feasible



like it will be done for now through van supervisors during van based payments. In case of vans, since PBU will have van supervisors and local government representatives (i.e. Parish Chiefs and sub-county CDOs), the impartiality of the PBU supervisor can be trusted but when it comes to agent based banking model, things will need to be different as the availability of a payment supervisor from PBU at each and every pay point cannot be possible.

Programme staff/representatives should be able to take pictures of the pages of complaint register after payments are made on a day and complaints are registered by the van supervisor. These pictures will help the programme staff in monitoring some of the complaints and also making sure that the registers are not manipulated by the bank staff once they leave the payment site. The pictures of complaint forms should be sent to RTSUs where they should be downloaded to the computers of Programme staff and later sent by M&E officers at RTSUs to PMU. This information can also be used for making follow ups with the bank locally at regional level. In case it is difficult for Programme to manage picture based complaints data collection from field, it is recommended to PBU to have duplicate pages (carbon copy) in the complaint register and the complaint forms so that one copy can be handed over to Programme without the need for Programme staff to have smart phones.

RTSU operations staff will be able to meet bank branch staff in the region every month after payments are made although this frequency should also be increased by making it weekly. During these meetings, RTSU staff should be able to discuss planning of field operations (enrolment, payments, complaint management) and also follow up on complaints of beneficiaries.

PBU agreed on sharing the complaints data with Programme at national level at least once in a month but the frequency of data sharing should be increased by making it weekly. This will help Programme in monitoring the resolution of complaints as they are registered and be able to follow up with the beneficiaries before payments are made next time.

#### **d) Complaints Resolution**

The complaint resolution timelines will differ based on the nature of complaints. Some complaints can be resolved without registering them as they will need provision of information to the beneficiaries and so registration of complaints will not be required in such cases. Other complaints might be resolved within 48 hours of receiving especially if received via hotline. PBU will make all its efforts to resolve all such complaints once they are received at its facilities within 48 hours but some might take longer due to logistical issues especially the ones related to enrolment, payments (till agent based payments are not



implemented) as enrolment and payments currently take place once in a cycle. Resolution timelines for each and every complaint should be discussed with PBU and agreed.



**Annex 1: SCG Program: Program Complaints Form**



**SCG Program: Program Complaints Form**

**SECTION A: TYPE OF COMPLAINT (PLEASE CHECK BOX)**

- Targeting Exclusion error  Wrong Death Notification  Death not reported  Verified but not in registration list
- registered but not in the payroll  delay in updating alternative recipient  unresolved beneficiary payments  mistreatment or corruption (specify in comments box)

**SECTION B: GEOGRAPHICAL DETAILS OF PERSON MAKING COMPLAINT**

- a. Village \_\_\_\_\_ b. Parish \_\_\_\_\_
- c. Sub-County \_\_\_\_\_ d. District \_\_\_\_\_
- e. Pay Point Name \_\_\_\_\_

**SECTION C: DETAILS OF PERSON MAKING COMPLAINT**

- a. First Name \_\_\_\_\_ b. Last Name \_\_\_\_\_
- c. Beneficiary (Serial) Number \_\_\_\_\_ d. Beneficiary National ID Number \_\_\_\_\_
- f. Contact Number (if available): \_\_\_\_\_ f. Date (DD/MM/YYYY): \_\_\_\_/\_\_\_\_/\_\_\_\_
- e. I am the:  Primary Beneficiary  Alternate Recipient  Other: \_\_\_\_\_
- g. Signature \_\_\_\_\_

**SECTION D: COMMENTS (PLEASE WRITE ALL RELEVANT DETAILS):**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



FORM NUMBER: 1234567

SECTION D: TEAR OFF RECEIPT: THE PERSON MAKING THE COMPLAINT SHOULD PLEASE DETACH AND RETAIN THIS SECTION

**TYPE OF COMPLAINT (PLEASE CHECK SAME BOX AS SECTION A)**

- Targeting Exclusion error  Wrong Death Notification  Death not reported  Verified but not in registration list
- registered but not in the payroll  delay in updating alternative recipient  unresolved payment complaint  mistreatment or corruption (specify in comments box)
- Date Submitted (DD/MM/YYYY): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_\_



## Annex 2: Program Complaints Process Summary for MIS

### Paper based complaints

- grievances forms are serialized in the MIS, pre-printed and sent to the RTSU for distribution to the sub counties and parishes
- the parish chief/sub county CDO will have complaint forms available at any point and at the pay point
- parish chief assists complainant to fill out form
- parish chief submits forms to sub-county CDO by the 10<sup>th</sup> of the month
- SAGE SCDO in charge of collecting forms by the 20<sup>th</sup> of the month and submits to RTSU for data entry by the end of the month
- RTSU operations officer will review each complaint and provide recommendation for the SPO Grievances in the MIS
- SPO Grievances manages and resolves complaints using MIS
- after resolution, SMS or letter is sent out to complainant which can be delivered by the parish chief
- max time of resolution: 30 days after complaint has been registered into the MIS
- SPO Grievances through MIS can prepare statistics and trends reports for management action and corrective measures



### Annex 3: Payment Complaints Process Summary for MIS

#### Paper based complaints

- PBU paper based complaints forms are available at the van
- Beneficiary will fill out the form and submit to the bank staff at either the van or branch
- The following documents are used to identify beneficiaries: NIRA ID, SAGE ID, Account number
- The complaint form will have a tear off receipt for the beneficiary which is filled by bank staff which should include the complaint reference number for follow ups
- parish chief
- PBU will resolve the complaint within pre-established time frames and notify the beneficiary

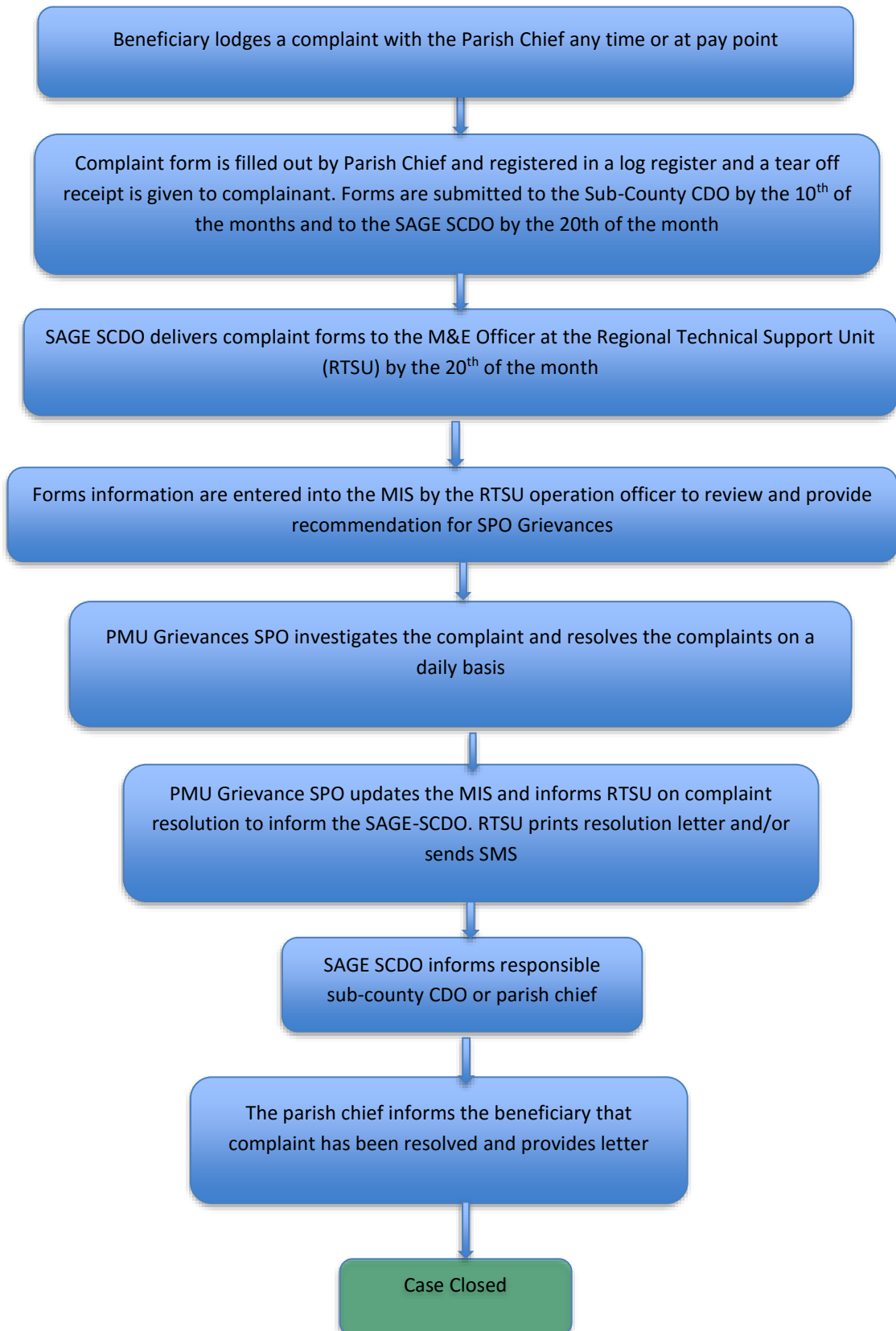
#### Complaint register

- PBU van supervisors will have complaint registration booklets including all type of payment complaints
- The following documents are used to identify beneficiaries: NIRA ID, SAGE ID, Account number
- Bank staff will fill out the complaint and provide a receipt to the beneficiary with the complaint reference number for follow up
- PBU will resolve the complaint within pre-established time frames and notify the beneficiary
- Programme staff should be able to take pictures of the complaint register for follow up purposes at the RTSU level

#### Hotline complaints

- PBU has dedicated staff for registering and resolving complaints in the local languages
- The following documents are used to identify beneficiaries: NIRA ID, SAGE ID, Account number
- PBU staff registers the call in the system and provides a complaint reference number to the beneficiary for follow up
- Some complaints might be resolved immediately (i.e. information related complaints)
- PBU will resolve the complaint within pre-established time frames and notify the beneficiary

#### Annex 4: Program Complaints Process Flow Chart



## Annex 5: Payment Complaints Process Flow Chart

