HANDBOOK FOR JOINT TRAINING MODULE 3:
FIGHTING CORRUPTION IN LOCAL GOVERNMENT SERVICE DELIVERY

Office of the Auditor General

INSPECTORATE OF GOVERNMENT

PUBLIC PROCUREMENT AND DISPOSAL OF PUBLIC ASSETS AUTHORITY

HANDBOOK FOR JOINT TRAINING MODULE 3: FIGHTING CORRUPTION IN LOCAL GOVERNMENT SERVICE DELIVERY

Contents

Acronyms

AFLI	Africa Leadership Institute
CSOs	Civil Society Organisations
DEI	Directorate for Ethics and Integrity
GIZ	The Deutsche Gesellschaft für Internationale Zusammenarbeit
GoU	Government of Uganda
IG	Inspectorate of Government
MDA	Ministries, Departments and Agencies
NDP	National Development Plan
OAG	Office of the Auditor General
PPDA	Public Procurement and Disposal of Public Assets Authority
SAC	Strengthening Accountability Component
TAAC	Transparency, Accountability and Anti-Corruption
LGs	Local Government
PEAP	Poverty Eradication Action Plan
ENR	Environment and Natural Resources
MoFPED	Ministry of Finance Planning and Economic Development
URA	Uganda Revenue Authority
MTEF	Medium Term Expenditure Framework
BFP	Budget Framework Paper
LGBFPs	Local Government Budget Framework Papers
IPFs	Indicative Planning Figures
HoDs	Heads of Department
LLG	Lower Local Governments
LGDP	Local government Development Plan
HRBA	Human Rights Based Approach
M&E	Monitoring and Evaluation
OWC	Operation Wealth Creation
CAO	Chief Administrative Officer
CBMS	Community Based Monitoring System
PETS	Public Expenditure Tracking Surveys
CSC	Community Score Card
CMG	Community Monitoring Group
FGD	Focus Group Discussion
RDC	Resident District Commissioner

Acknowledgments

The Handbook

This is one of the four (4) Joint Training Handbooks that has been consultatively developed as reference material for facilitators to train Civil Society Organizations (CSOs) in Uganda on Transparency Accountability and Anti-Corruption (TAAC). The Handbook contains detailed material for the facilitator's reference for **Module 3** in the Joint CSO Training Manual on TAAC developed for the same purpose. The handbook can also be used for training other CSOs in similar contexts.

The handbooks consolidate all topics relevant to the work of all anti-corruption agencies four documents. However, each handbook can be used independently as may be needed for each module. After the delivery of every topic the facilitators can refer learners to the handbook obtain more or detailed information in the topic. Each Module has a handbook for more detailed and comprehensive information on the topics.

Handbook Structure

This Handbook has seven (7) topics of Module 3 in the main Joint CSO Training Manual on TAAC.

Topic 1: Local Government Budgeting and Financing

Topic 2: Social Accountability

Topic 3: Community Monitoring of Service Delivery

Topic 4: Public Expenditure Tracking Survey

Topic 5: Community Scorecard

Topic 6: Report Writing and Recommendations

Topic 7: Follow-Up Recommendations of Assessment of Service Delivery

Instructions to users

This handbook brings together 7 topics and how they address the issue of corruption. Please use this handbook as a reference to the training instructions in **Module 3** of the **Joint CSO Training Manual on Transparency, Accountability and Anti-Corruption (TAAC).**

Introduction: This gives background information to the topic.

Presentation: This is the content or subject matter of the topic and can be presented in form of a PowerPoint or notes

3.0 MODULE 3: FIGHTING CORRUPTION IN LOCAL GOVERNMENT SERVICE DELIVERY

Introduction

Service delivery refers to a relationship between policy makers, service providers, and consumers of those services, and encompasses both services and their supporting systems. The ability of a local government to meet national service delivery needs is a source of credibility on their part. At the Centre of service delivery is accountability, value for money, efficient and effective use of resources, improved communication and decision-making processes. Effective service delivery is about providing the services that meet the needs of the users in the most efficient and effective ways.

International Principles guiding effective service delivery include; Availability: A service should Dependability; Usability; Usefulness; Credibility; Authenticity: A service should be delivered in such a way that entitles it to be Responsive and flexible; Sustainability and Expandability. These guiding principles are cornerstones in guiding monitoring of service delivery and in fighting corruption in local governments. The topics in this module include:

Topic 1: Local Government Budgeting and Financing

Topic 2: Social Accountability

Topic 3: Community Monitoring of Service Delivery

Topic 4: Public Expenditure Tracking Survey

Topic 5: Community Scorecard

Topic 6: Report Writing and Recommendations

Topic 7: Follow-Up Recommendations of Assessment of Service Delivery

Photo Credit: UNDP Guide to corruption-free Local Government

3.1 TOPIC 1: LOCAL GOVERNMENT BUDGETING AND FINANCING

3.1.1 Introduction

Topic one entails understanding how local governments are financed/funded and the local government budgeting process. It is intended to increase knowledge and awareness of the budget process and appreciation of the roles of different institutions and stakeholders that are critical to the process at the central and local government levels

3.1.2 Learning Objectives

After study materials in the topic, participants should be able to:

1. Understand how local governments are financed /funded.

2. Be able to understand the local government budget process.

3. Be able to utilize the knowledge acquired to track the budget process and promote transparency in service delivery in local governments.

3.1.3 What is a budget?

The budget of government is a statement of the revenues the Government expects to collect over the next 12 months, and how it plans to spend those revenues. The main purpose of the budget is to:

- Help in increasing the production of goods and services so that the average standard of living improves rapidly and poverty is correspondingly reduced (economic growth).

- Macroeconomic Management – promote economic order and stability by encouraging competitive efficiency and controlling inflation

- Provide services that are vital to our country and which only Government can do best, namely; security, law and order, infrastructure, and disease control (service delivery)

3.1.4 The Legal Framework for the Budget Process

The legal framework for the budget process is enshrined in the Uganda Constitution 1995, the Local Government Act 1997, the Budget Act 2001 and the Public Finance and Accountability Act 2003. Articles 155-158, Chapter 9 of the Constitution of the Republic of Uganda, 1995 provide the legal basis for the preparation and approval of the national budget. Articles 190-197 on the other hand provide for the finances of the Local Governments. The Local Governments Act, Cap 243 provides the legal basis for the local government budget process. This is supported by the Local Government Financial and Accounting Regulations 2007. The Budget Act, 2001 on the other hand provides for and regulates the budget procedure. It explicitly spells out the roles of

Parliament, Executive as well as other stakeholders and stipulates the budget calendar and the requisite documentation.

3.1.5 Financing of local governments

The Budgets of Local Governments (LG) in Uganda are funded through central government grants, local revenue collections, and in some cases borrowing and/or donations from development partners either directly to the Local Governments or indirectly through the sectors. Central Government Grants (Transfers) constitute the major source of revenues to Local Governments. Central Government transfers comprise conditional grants, unconditional grants and equalization grants. For locally-raised revenues the LGs identify their own local revenue sources through enumeration, registration and assessment before carrying out local revenue collections. Central Government grants to LGs contribute over 85% of financing to LG budgets with more than 90% of this funding coming in form of conditional grants. This heavy reliance on Central Government for financing has left LGs with very marginal opportunities for local fiscal autonomy and discretion in resource allocation decisions.

3.1.6 The Planning Framework

The national budget was previously guided by the Poverty Eradication Action Plan (PEAP) which was Uganda's national development framework and medium-term planning tool since 1997. The PEAP was revised and independently evaluated in June 2008 and was replaced by the NDP in 2009. Today the budget is guided by the achievement of the NDP 111 which is a comprehensive plan that articulates clearly the planned strategic interventions of all sectors of the economy. The local government budgets are an integral part of the National budget geared towards achieving the NDP and Vision 2040.

NDP III Planning Framework replaces the Sector Working Group Consultations (December)

The NDP III framework responded to the need to break down the silo approach to planning, budgeting, and implementation. Planning and implementation of government programs has been largely confined within sectors and MDAs, along sectoral/MDA mandates. As a result, the synergies and complementarities that could be derived from a more holistic approach were often forfeited. Under NDP III, the program-based approach to planning has been adopted. A total of 18 programs have been designed to address the identified development challenges inhibiting growth. These programs address the different aspects of an identified development challenge along the value chain systematically and comprehensively.

The programs include:

1)   Agro-Industrialization;

2)   Mineral-based Industrialization;

3) Petroleum Development;

4) Tourism Development;

5) Water, Climate Change and ENR Management;

6) Private Sector Development;

7) Manufacturing;

8) Digital Transformation;

9) Integrated Transport Infrastructure and Services;

10) Sustainable Energy Development;

11) Sustainable Urban and Housing Development;

12) Human Capital Development;

13) Community Mobilization and Mindset Change;

14) Innovation, Technology Development and Transfer;

15) Regional Development;

16) Governance and Security;

17) Public Sector Transformation; and

18) Development Plan Implementation.

3.1.7 The Budget Process

The budgeting process for local governments is not an isolated activity of local governments. Therefore, in this module, both the National Budget Process and the Local government budget calendar are presented. As earlier mentioned, the Local government budget is an integral part of the national budget.

The budget is prepared through an open and transparent and widely participatory process. The objective of the consultative process is to solicit the views of all stakeholders in the preparation of the Budget and consequently ensure that the national budget reflects the views, aspirations, and priorities of all stakeholders.

The budget process is undertaken at the following four key levels:

1) The Ministry of Finance, Planning and Economic Development (MoFPED),

2) Sector Working Groups, Line Ministries and Local Governments,

3) Cabinet, and

4)   Parliament.

According to the Budget Cycle, the budget process starts in September each year and has seven key stages, namely:

1)   Setting the Macro-economic Framework

2)   Setting National Priorities and Sector Ceilings

3)   Budget Consultations (Political and Technical)

4)   Preparation of the Budget Estimates

5)   Presentation and Approval of the Budget

6)   Budget Implementation

7)   Budget Monitoring and Evaluation.

The budget development process involves several detailed steps by mandated institutions. The steps include;

(a)   Determining the Resource Envelop

The Directorate of Economic Affairs within the Ministry of Finance Planning and Economic Development is responsible for determining the resources envelop in consultation with other government institutions such as the URA and Bank of Uganda.

(b)   Setting National Priorities and Sector Ceilings

Once the resource envelop has been determined, the broad allocation of Government resources between sectors is then determined based on: Priorities that have a direct bearing on poverty and growth; The party manifesto, and; Constraints faced during implementation. The Sector ceilings for GoU resources are set as follows: The current financial year is used as a base.

(c)   Budget Consultations:

The budget consultations include:

Cabinet Retreat in October.

The Budget process commences with a Cabinet Retreat held during the month of October. The retreat provides an opportunity for the Minister to present the Budget Strategy Paper that spells out the major economic developments and re-casts Government priorities that need to be addressed in the following year. The retreat is meant to guide on; the Budget Strategy and Priorities for the next financial year; the Indicative Medium Term Fiscal Framework (MTFF) and Medium-Term Expenditure Framework (MTEF); and Budget implementation issues for the current financial year.

First Budget Call Circular (October):

Once Cabinet has approved the Budget Strategy and Priorities, the agreed MTEF is communicated to sectors in October through the First Budget Call Circular. The main objective of the Circular is to communicate the budget strategy for the following financial year and request Sectors to prepare and submit their Budget Framework Papers (BFP). The specific objectives of the Circular are to: Communicate the Budget Strategy, Priorities and Indicative five year Medium Term Expenditure ceilings, the first year of which is the basis for allocations of the expenditure estimates for the next financial year; Emphasize the policy and administrative guidelines for the development of the budget for the coming financial year; and Request the Sectors to prepare their Budget Framework Papers, clearly linking sector ceilings to sector priorities and their vote functions.

National Budget Conference (Sept):

The first Budget Consultative Workshop is held to officially launch the beginning of the budget preparation process. The key participants at this workshop include Cabinet Ministers, Members of Parliament, technical officials from the Central Agencies, Local Government Officials, Development Partners and Civil Society, and Private Sector Organisations. The specific objectives of the Workshop are to: Communicate the economic outlook for the country and the challenges encountered in budget execution, Discuss the Budget Strategy and Priorities in light of the poverty eradication targets, Discuss the Medium-Term Expenditure Framework; and Disseminate the Budget Guidelines for the preparation of the Budget for the next Financial Year.

Local Government Budget Workshops (Sept/Oct):

The Local Governments' Budgets and Plans form an integral part of the National Budget. A series of local government consultative workshops are held to launch the preparation of the Local Government Budget Framework Papers (LGBFPs). The workshops which are facilitated by the Ministry together with representatives from relevant sectors are attended by political leaders and heads of departments from the local governments. The purpose of these workshops is to: Disseminate Government priorities for the next financial year, Disseminate the Indicative Planning figures for Central Government transfers to local governments, and identify and discuss policy issues that affect the operations of local governments.

3.1.8 The Local Government Budget Process

A Local Government budget is the detailed costed plan of how a local government plans to allocate and utilize available resources in line with its objectives, needs, and priorities. Local Governments have discretionary planning and budgeting powers, but their plans and budgets need to be aligned to national priorities and policies. Consequently, the local government budget cycle has to fit into the national budgeting cycle, and starts in October and ends in June. The local government budgeting process takes the following steps:

Table 1. Local Government budget calendar

	Activity	Date
1	Regional Budget Consultative Workshops with Local Governments, discussing • Draft Grant and Budget Requirements; and • LG Planning and Budgeting Guidelines	20 August
2	Local Government negotiations with sectors to agree on grant conditions and allocation formulae.	10 September
3	MOFPED issues the first Budget Call Circular, accompanied by the: • IPFs to local governments; • Final Grant and Budget Requirements communicated to LGs	30 September
4	Budget Desk prepares the first Local Government Budget Call Circular and shares with HoDs and LLGs. This includes: • Allocations to LLGs. • Allocations to Departments.	5 October
5	Departments and LLGs prepare inputs for the LG BFP and draft LG DPs and submit them to Budget Desk, including. • Identification of Investments for inclusion in LG Budget. • Preliminary Budget estimates and Annual Workplans.	20 October
6	LG Planning and Budget Conference to discuss. • LLG and Department Annual Workplans for the forthcoming budget. • Identification of Investments for inclusion in LG Development Plans.	31 October
7	Budget Desk Compiles LG BFP and LG DPs	5 November
8	Review of the draft LG BFP and LG DPs by the Technical Planning Committee and the LG Executive Committee.	10 November
9	**Approval by LG Executive Committee and Submission of the LG BFP to the MoFPED and Council**	**15 November**
10	National Consultative Budget Conference.	30 November
11	Discussion of the draft BFP by the Standing Committees of Council.	31 December
12	Submission of the National BFP to Parliament Incorporating • Grant allocations in the MTEF. • Grant allocation formulae and Information	31 December

	Activity	Date
13	Review of LGBFPs by the central government to assess compliance with overall and sector budget requirements.	1 February
14	National BFP Approved by Parliament.	1 February
15	MoFPED Issues the Second Budget Call Circular, incorporating • Final IPFs, • Feedback on compliance with budget requirements	20 February
16	Budget Desk prepares Second LG Budget Call Circular communicating: • Revised IPFs for Departments and LLGs • Instructions to address feedback on compliance with budget requirements.	28 February
17	Draft Departmental Budget Estimates and Annual Work Plans submitted to Budget Desk.	10 March
18	Budget Desk Compiles Draft Budget Estimates and Annual Work Plans.	15 March
19	Review of LGBFPs by Central Government to assess compliance with overall and sector budget requirements.	30 March
20	Review of the Budget Estimates and Annual Work plans by the Technical Planning Committee and the LG Executive Committee.	25 March
21	**Laying of the Budget before LG Council and Submission of draft Performance Contract to MOFPED** • The submission includes a response as to how adjustments have been made to ensure budget requirements have been met.	**1 April**
22	MoFPED Lays the National Budget before Parliament	1 April
23	**Approval of the Budget by Council**	**31 May**
24	Approval of the National Budget by Parliament	31 May
25	Central Government reviews draft performance contracts and budgets to assess compliance with sector budget requirements.	31 May
26	Presentation of the National Budget Speech in Parliament	15 June
27	Budget Execution Circular issued by MOFPED	15 June
28	**Submission of Final Performance Contract to MOFPED**	**15 June**

Source: Budget preparation guidelines for local governments for the financial year 2016/2017.

3.1.9 Good Governance in the Budget Process

The budget process may be judged on the four pillars of good governance in public sector management which includes

- Accountability – capacity to call public officers to task for their actions

- Transparency – low-cost access to relevant information

- Predictability – laws, and regulations that are clear, known in advance, and uniformly and effectively enforced, and;

- Participation – generate consensus, supply reliable information, and provide a reality check for Government actions.
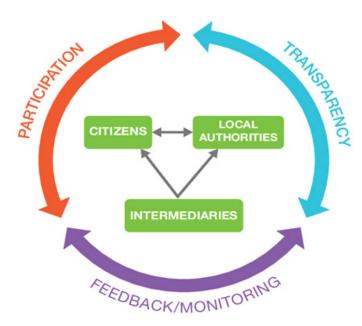
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1. A guide to the budget process: Ensuring that Uganda's national budget reflects the views and priorities of citizens (2009)

2. Financing of local governments in Uganda through Central Government Grants and Local Government Revenue: A report of the Auditor General (2016).

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3.2   TOPIC 2: SOCIAL ACCOUNTABILITY

3.2.1   Introduction

This topic is about the social accountability concept and practice as applied in enhancing accountability in services delivery by various entities. It is aimed at unpacking social accountability; why is it important; its core features; key applications; and the factors that underpin its success.

Source: E-Governance and Rural-Urban Continuum, 2015

3.2.2   Learning Objectives

At the end of the Topic, participants should be able to:

1.   Understand the social accountability concept, theory and practice.

2.   Be able to apply the social accountability theory in real practice in promoting Transparency and accountability in services delivery at community level.

3.2.3   What is social accountability?

To understand social accountability, one needs to first understand the meaning of accountability. Accountability can be defined as the obligation of power-holders to account for or take responsibility for their actions. "Power-holders" refers to those who hold political, financial or other forms of power and include officials in government, private corporations, international financial institutions and civil society organizations.

Social accountability is defined as an approach towards building accountability that relies on civic engagement, i.e., in which it is ordinary citizens and/or civil society organizations that participate directly or indirectly in exacting accountability. In a public sector context, social accountability refers to a broad

range of actions and mechanisms that citizens, communities, independent media and civil society organizations can use to hold public officials and public servants accountable. These include, among others, participatory budgeting, public expenditure tracking, monitoring of public service delivery, investigative journalism, public commissions and citizen advisory boards. These citizen-driven accountability measures complement and reinforce conventional mechanisms of accountability such as political checks and balances, accounting and auditing systems, administrative rules and legal procedures.

While the range of social accountability mechanisms is wide and diverse, key common building blocks include obtaining, analysing and disseminating information, mobilizing public support, and advocating and negotiating change.

3.2.4 The role of Social Accountability

Social accountability mechanisms are intended both to complement and enhance conventional mechanisms of accountability. "Internal" (state) and "external" (social) mechanisms of accountability can and should be mutually reinforcing. It has been argued that impact is greatest and most sustainable when social accountability mechanisms are "institutionalized" or when the state's own "internal" mechanisms of accountability are rendered more transparent and open to civic engagement. This can lead to what some scholars have termed "transversal", "hybrid" or "diagonal" accountability (Goetz and Jenkins,2001).

There are four main arguments underlying the importance of social accountability and they are discussed below:

1) Good governance: Accountability of public officials is the cornerstone of good government and a prerequisite for an effective democracy. Social accountability mechanisms allow ordinary citizens to access information, voice their needs, and demand accountability between elections. Emerging social accountability practices enhance the ability of citizens to move beyond mere protest toward engaging with bureaucrats and politicians in a more informed, organized, constructive and systematic manner, thus increasing the chances of effecting positive change.

2) Increased development effectiveness: This is achieved through improved public service delivery and more informed policy design. In many countries, especially developing ones, the government fails to deliver key essential services to its citizens due to problems such misallocation of resources, leakages/corruption, weak incentives or a lack of articulated demand. Similarly, governments often formulate policies in a discretionary and non-transparent manner that goes against the interests and actual priorities of the poor. By enhancing the availability of information, strengthening citizen voice, promoting dialogue and consultation between the three groups of actors and creating incentives for improved performance, social accountability mechanisms can go a long way toward improving the effectiveness of service delivery and making public

decision-making more transparent, participatory and pro-poor.

3) Empowerment, particularly of poor people: While there is no single definition of empowerment, at its broadest, it can be understood as the expansion of freedom of choice and actions. Research shows that poor people's dissatisfaction with government relates largely to issues of responsiveness and accountability. By providing critical information on rights and entitlements and soliciting systematic feedback from poor people, social accountability mechanisms provide a means to increase and aggregate the voice of disadvantaged and vulnerable groups. This enhanced voice empowers the poor and increases the chance of greater responsiveness on the part of the state to their needs.

4) Social Accountability as a Human Right: Social accountability is closely related to rights-based approaches to development which obligates public officials (duty bearers) to account to rights holders (Citizens). It promotes the Human Rights Based Approach (HRBA) principles of participation and transparency. Social accountability mechanisms have proved particularly useful in the context of decentralization, helping to strengthen links between citizens and local-level governments and assisting local authorities and service-providers to become more responsive and effective.

3.2.5 Social Accountability: Building Blocks

As described above, social accountability encompasses an extremely broad array of actions that citizens can potentially take to hold government officials and bureaucrats accountable. These actions may be carried out by a wide range of actors (e.g., individual citizens, communities, parliamentarians, CSOs, media), occur at different levels (e.g., local to national), address a variety of different issues (e.g., public policy, political conduct, public expenditures, service delivery) and use diverse strategies (e.g., research, monitoring, participatory planning, civic education, media coverage, coalition building. They normally comprise several (and, ideally, all) of the following key elements or 'building blocks'.

(a)   Mobilizing around an entry point

The first step of almost any social accountability initiative is the identification of an entry point and the development of a strategy whereby a priority problem can be addressed. The problem may be of a specific or general nature and may be identified at a local, regional or national level. For example, in the case of poor health service delivery, potential entry points might include national health budget allocations, corruption/inefficiencies within the national distribution system or the performance of local service providers or village health management committees.

(b)   Building an information/evidence base

Accessing or generating relevant information and building a credible evidence

base that will serve to hold public officials accountable is a critical aspect of social accountability. Social accountability initiatives often involve obtaining: (i) "supply-side" data/information (from government and service providers) and (ii) "demand-side" data/information (from users of government services, communities and citizens).

In accessing "supply-side" information (e.g., policy statements, budget commitments and accounts, records of inputs, outputs and expenditures, audit findings, etc.), the transparency of government and its capacity to produce and provide data and accounts are crucial. With regard to "demand-side" information, a wide variety of participatory methods and tools (e.g., community scorecards, citizen report cards, participatory monitoring and evaluation techniques) have been developed to generate data, while simultaneously serving to raise awareness and promote local-level mobilization and organization.

(c) Going public

Bringing information and findings into the public sphere and generating public debate around them are a key element of most social accountability initiatives. Be it budget details, the findings of public expenditure reviews, audits or project evaluation results, this information takes on new significance and impact when made accessible to the public at large, serving both to inform and to create an impetus for action.

Effective communication strategies and mechanisms are, therefore, essential aspects of social accountability. These may include the organization of public meetings and events as well the strategic use of both modern and traditional forms of media. Transmitting relevant information to government officials who are in a position to act on it (and, ideally, interacting directly with those decision-makers on an on-going basis) is also an essential aspect of social accountability.

(d) Rallying support and building coalitions

Informing citizens of their rights and responsibilities, engaging their interest and mobilizing them to build coalitions and partnerships with different stakeholders (like bureaucrats, media, parliamentarians, etc.) is a core aspect of social accountability. Ideally, every step of a social accountability initiative contributes to informing/engaging citizens and mobilizing support. The ability of citizens to organize for collective action and the capacity of CSOs to facilitate and support such mobilization are crucial to the success of social accountability initiatives. Again, reaching out to poor and marginalized segments of the population requires specific effort and remains a principal challenge.

3.2.6 Social Accountability: Applications and Tools

A variety of strategies and methods (comprised of some or all of the above elements) have been developed to promote social accountability. The following is a brief description of such selected social accountability methods

that have been used as entry points at different stages of the public policy and public expenditure management cycle:

(a) Participatory policy and budget formulation

This involves direct citizen/CSO participation in formulating public policy and budgets (i.e., in proposing projects and allocating funds). Participatory policy formulation has become an increasingly common trend, particularly with the introduction of the poverty reduction strategies at the national level and community driven development initiatives at the local level.

(b)   Participatory policy and budget analysis

Here, CSOs review budgets in order to assess whether allocations match the government's announced social commitments. This may involve analysing the impact and implications of budget allocations, demystifying the technical content of the budget, raising awareness about budget-related issues and undertaking public education campaigns to improve budget literacy. At the local level, whether or not citizens have participated in budget formulation, efforts to publicize and encourage debate around the contents of local budgets can serve to enhance public understanding of budget issues and constraints and encourage civic engagement in its implementation and monitoring. CSOs also play a key role in reviewing, critiquing and building public awareness about policies in key areas such as poverty reduction, gender equity, environmental protection, employment and social services.

(c)   Participatory public expenditure/input tracking

This involves citizen groups tracking how the government actually spends funds, with the aim of identifying leakages and/or bottlenecks in the flow of financial resources or inputs. Typically, these groups employ the actual users or beneficiaries of government services (assisted by CSOs) to collect and publicly disseminate data on inputs and expenditures. This approach often involves the triangulation of information received from disbursement records of finance ministries, accounts submitted by line agencies and information obtained from independent enquiry (using, for example, tools like social audits). Information is disseminated through the use of media, publications and public meetings. The participatory tracking of primary education expenditures in Uganda and the social audit techniques used under Bolivia's social monitoring initiative are examples of such an approach.

(d)   Participatory performance monitoring and evaluation

This entails citizen groups or communities monitoring the implementation and performance of public services or projects and evaluating their impact, often according to indicators they themselves have selected. This is achieved through the use of participatory monitoring and evaluation tools (such as community scorecards) and, at a more macro level, through the use of public opinion surveys, public hearings or citizens' report cards, for example, as carried out

in India and the Philippines. The findings of participatory M&E exercises are presented at interface meetings (where users and service providers come together to discuss the evidence and seek solutions) or, as in the case of citizen report cards, are publicly disseminated and presented to government officials to demand accountability and lobby for change

3.2.7 The Case of the Ghost Fish Pond Project

Operation Wealth Creation (OWC) gave money to a District Local Government in Uganda to support farmers to rear fish to increase incomes and improve nutrition among the population in the district. After a year an official of OWC wrote a letter informing the CAO that their team was visiting the district to check the progress of the Fish Pond Project.

The CAO panicked and personally visited a progressive fish farmer five kilometres from the district head-office. In a meeting with the farmer, the CAO told him that there was an urgent problem. The problem was that senior officials of OWC were visiting the district to monitor the progress of the fish project the district was supposed to support farmers to implement. Unfortunately, the district had not yet supported the farmers to implement the project because of limited time given the many activities the district was involved in. They requested the OWC officials to postpone their visit for one month when they would be ready but they had refused. The CAO concluded that the district was stuck and in trouble because the OWC officers will find no project on the ground when they come.

The CAO then asked the farmer to allow the district bring the officers to his 50 fish ponds and tell the officers that his 50 fish ponds were developed with financial support from the district. The CAO continued that he would pay the farmer Uganda Shillings 20 million if he rescued them from the situation.

The OWC officials visited the district and they were taken to the fish ponds of the progressive farmer. After inspecting the fish ponds, they were amazed at the project. The fish ponds contained fish at different levels of growth from fingerlings to the size suitable for harvest. Indeed, the officers found a lot of fish being harvested with nets and being sold to buyers from all over the district. Several pick-ups had lined waiting to pack fish. Many people were obtaining income at different stages of the fish chain namely suppliers of fingerlings, 30 employees in the fish ponds, suppliers of fish feeds, buyers of fish at the ponds at wholesale, retailers selling at the market, fish cleaners in the market and market authorities themselves among others. The OWC officers congratulated the fish farmer, CAO and her officials for collaborating in bringing income and better nutrition to people in the community.

Question: Assess the extent to which the objectives of the fish project have been achieved?

3.2.8 Conclusion

A growing body of evidence shows that social accountability efforts on the part of citizens and civil society organizations can serve to create new effective vertical mechanisms of accountability and to strengthen existing horizontal ones. This in turn will result in better governance, improved public service delivery and enhanced development effectiveness.

References

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3.3 TOPIC 3: COMMUNITY MONITORING OF SERVICE DELIVERY

3.3.1 Introduction

In Uganda poor delivery of public services remains a serious problem. The quality of service provided in hospitals or schools is low. Training on community monitoring of service delivery has the objective of enhancing Civil Society actors and the public involvement in holding the government accountable for service delivery in relation to the resources spent.

3.3.2 Learning Objectives

After studying materials in this Topic, participants should be able to:

1. Understand the concept of community-based monitoring of service delivery

2. Be able to understand the Community monitoring tools their use in fighting corruption.

3. Understand the challenges in service delivery in Uganda

3.3.3 What is Community-Based Monitoring?

"An organized way of collecting on-going or recurring information at the local level to be used by local governments, national government agencies, non-government organizations, and civil society, for planning, budgeting and implementing local development programs, as well as for monitoring and evaluating their performance" CBMS Network. The potential added value of the Community-Based Monitoring (CBM) processes is framed within the definition of social accountability. Fundamentally, Community-Based Monitoring Systems are "a tool for improved local governance and participatory decision making that promotes greater transparency and accountability in resource allocation".

The backbone activities of CBM in various domains may be characterized as:

(a) *Community mapping:* Gathering information about the community to create knowledge on basic needs, aspirations, and perceptions on

policies and fulfilment of electoral promises; creation of indicators that can translate discourse elements into quantitative/ qualitative evidence; Creation of datasets to provide both citizens and decision-makers knowledge-based opportunities to articulate their needs and future goals.

(b) **Mobilization:** The groups and individuals involved in CBM help coordinators to strengthen participation, designing appropriate training and monitoring programs that are sensitive to local cultures.

(c) **Capacity building:** Partnerships and synergies with the community to use the data collected and increase the enthusiasm, awareness of rights, and resources of participants. This step is essential in creating more resilient individuals and strengthened social networks in the community.

(d) **Information dissemination:** A key and transversal activity throughout all the steps of a CBM process – the quality, accessibility, and understanding of information can result in effective capacity-building phases; the ability of citizens to assess their needs and monitor policies or evaluate the performance of services; Better awareness of the policy needs of Citizens; and the empowerment of citizens in the decision-making arenas.

Community services delivery monitoring tools

Community based monitoring employs a number of tools to achieve the intended purpose. In this section, the facilitator presents examples of community monitoring tools that various actors can use in monitoring service delivery at community level.

1) **The Public Expenditure Tracking Survey (PETS):** The Public Expenditure Tracking Surveys (PETS) is used to analyze resources that were planned for the development of services in the districts. The methods to be used include focus group discussions, interviews, community meetings, field visits and PETS. The budget process in districts mirrors the process at the national level. The budget process starts in September and ends in June with the reading and approval of budget. Knowledge of the budget process is important if budget allocation and expenditure is to be tracked by communities to assess its performance. It is expected that trainees will get budget information during the budget process because most technocrats protect public information not to be accessed by the public which contravenes with the Access to information Act, 2005.

2) **Field Visit:** In planning for the visit, an appropriate site and time should be chosen, field contacts established, appropriate itinerary designed and logistical arrangements namely budget and transport made. The objectives of the visit will be developed, Information collection methods will be selected such as interviews, focus group discussion, observations and photographing. On return from the field, findings discussed and refined to draw conclusions and findings are made public through a report.

3) **Community Score Cards (CSC):** The Community Score Card (CSC) process

is a powerful tool to monitor services, empower citizens, and improve the accountability of service providers. The scoring exercises provide citizens the opportunity to analyse services such as health services or education based on their personal perceptions. Citizens can provide encouragement for good work or express dissatisfaction. In a common collaboration between rights holders and duty bearers, the provision of services can sustainably change for the better.

The purpose of a Community Score Card process is to improve the quality, efficiency and accountability of services at community level. It is a two-way and ongoing participatory process which seeks to strengthen the mutual understanding between service providers and service users to ensure collaborative actions and overcome gaps. It helps you to: Identify how services are experienced by the users and the providers; Establish a feedback mechanism between users and providers; Ensure informed decision making and dialogue between service providers and users; Track if services and programmes are progressing well and compare the performance of services across facilities; Report on the quality of services to a district executive committee or assembly; and Strengthen community empowerment and citizen's voice.

3.3.4 The case of a Primary School Renovation in Uganda

The President of the Republic of Uganda was travelling along a main highway within the country. He noticed a school whose roof had been blown off by wind leaving all the classrooms exposed to rain and wind making it impossible for pupils to learn. Pupils are only able learn when there was no rain, but when it starts raining, they have to crowd at corners of buildings that had some iron sheets. Half of the classrooms whose walls had collapsed due to strong winds and floods could not be used. This made half of pupils initially leaning in these classrooms to shift to learn under trees.

The President held a brief meeting with the Deputy Head-teacher and some teachers and discussed the challenges facing the school. He promised that he would send Three Hundred Million Uganda Shillings (UGX 300,000,000) to rehabilitate the school. Indeed, after three months, he sent the money to the District Local Government through a senior official from his office. While receiving the money, the District Chairperson promised to ensure that the primary school is rehabilitated within record time.

One year down the road, the school had not been rehabilitated and the challenges of learning in the school became unbearable to the extent that three quarters of the pupils decided to stay at home. The community's complaint to the District Local Government to do something to save the school fell on death ears. This led to a huge protest against the Local Government that involved community members carrying placards and marching to the district head-office. State House Anti-Corruption Unit got the information about the community protest and made an abrupt visit to the district.

The Anti-Corruption Unit gathered the community of the school and the District Local Government Authorities for a meeting. The Senior officials of the Unit

asked the District Chairperson to explain to the community why the primary school has not yet renovated the school. The Chairperson replied that the district had recently received the money and they were making arrangements to start the rehabilitation work. The senior official replied that Chairperson was telling a lie because he personally sent the money one year ago. The CAO ask for forgiveness and promised to ensure that the rehabilitation of the school would be complete within six months. The official gave the Local Government time and said he would return to check on progress of rehabilitation of the school in six months' time.

This situation prompted the Anti-Corruption Unit to task the Community Monitoring Group (CMG) in the Parish to prepare to monitor the construction of the classrooms of the primary school and give his office a report with copies to the relevant stakeholders.

Questions:

1. What type of corruption are illustrated in the case, contributing factors and consequences on society?

2. What procedure would you follow in monitoring the construction of the primary school.

References

1. Integrity Watch. Basic principles of Community-Based Monitoring. CBM Toolkit, 2013

2. Governance and Social Development resource Centre. Helpdesk Research Report: Community Monitoring of Service Delivery 28.02.08.

3. The Global Fund. Community-based monitoring: An Overview May 2020

4. Julia Escher. Community Score Cards - a powerful tool to improve public services Jan 17, 2018 https://www.civilsocietyacademy.org/post/community-score-cards-a-powerful-tool

3.4   TOPIC 4: PUBLIC EXPENDITURE TRACKING SURVEY

3.4.1   Introduction

This topic is intended to support in enhancing the capacity of CSOs on how to monitor the use of public resources. It acts as a guide for CSOs interested in monitoring government spending processes. It is designed to guide the CSO trainers in leading users from the very definition of what PETS are, their significance or benefits and some of the basic steps followed in conducting them. It is an approach that empowers citizens to hold service providers accountable for their actions.

Source: Using PETS to Monitor Projects and Small-Scale Programs, World Bank, 2010

3.4.2   Learning Objectives

At the end of studying this Topic, participants should be able to:

1. Develop a shared understanding of what PETS are and how to develop them for monitoring service delivery

2. Explain the link between expenditure tracking or following your money as

is popularly known and the development of the country.

3.4.3   What are PETS?

The first thing to do is to get participants to appreciate the concept of PETS. The facilitator needs to get participants to understand that PETS have been defined and understood differently but for purposes of this training, this is how PETS are widely known.

Pioneered in Uganda, PETS are important investigative tools that are used to evaluate the flow of public funds from the centre to their intended destination. They are basically about comparing budgetary allocations to their actual spending. PETS examine the flow of funds from national treasuries to check whether these funds reached their final destination where they are supposed to be spent and or whether there were 'spills' along the way or not.

3.4.3.1   What are some of the characteristics of PETS?

- They are mostly conducted in areas where public accounting systems function poorly or are unreliable

- It is hinged on simplicity; -They are a very practical, direct tool and user-friendly tools on how well a system of financial transfers works in terms of getting the money to where it is supposed to be going.

- Uses statistics and averages, however, it must be based on statistically significant representative samples.

Methodology

1. *Uses both qualitative and quantitative data collections tools (expert inputs, informal discussions, FGDs, etc).*

2. *Captures the bottom-up view of the programme focusing on flow of expenditure and its accountability effects.*

3.4.3.2   Why PETS are important/Benefits?

1. They have proven useful tools for identifying and addressing leakage of funds, corruption, inefficiencies, among others in a bid to improve service delivery.

2. Increases transparency and accountability in funds distribution and management and reduces corruptive practices.

3. PETS can help identify unexpected weaknesses in the system & provide recommendations on how to solve them.

4. Access to expenditure data gives citizens as rights' holders the ability to engage government on issues of public spending.

5. It creates an incentive for governments to be vigilant in their financial management practices.

6. They help in establishing whether expenditures are consistent with the budgetary allocations and whether transfers/services are effectively reaching the intended beneficiaries.

3.4.3.3   *Steps taken to conduct PETS*

1. Determine the scope and purpose of the PETS

    • Purpose could be a key challenge in a particular sector e.g., Corruption, inefficiency, etc in the health sector for example.

    • Scope-is it an entire sector or say a particular geographical area you want to focus.

2. Identify partners and key stakeholders

    • PETS are expensive, there is need for able and credible partners on board, include gov't & identified primary beneficiaries of PETS data

3. Design the research or survey

    • Do a literature review, to get initial data available, in order to help gauge efforts required to access the rest-say how a particular sector is structured & how funds are allocated & distributed, etc

    • PETS uses a sample survey method and only a sampled population is interviewed

    • Sample must be adequately representative

    • Actual questionnaire design

4. Implementation/actual data collection and analysis

    • Select and train data collectors/enumerators

    • Pre-test, actual data collection & supervision

    • Analysis can be done by the survey team or consultant

    • Reporting

5. Dissemination of findings & advocating for change / impact

    • Findings & results must be widely disseminated in order to attract debate and garner support for change

3.4.3.4   *Challenges that may be encountered while conducting PETS*

- Success of the PETS will depend on cooperation of government & key stakeholders in implementing the desired changes/recommendations made...

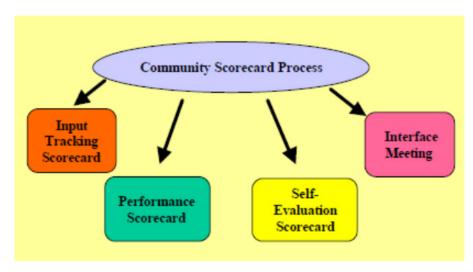- Obtaining access to relevant accounts and financial reports may be challenging...

References:

1. World Bank e-Library: https://elibrary.worldbank.org/doi/epub/10.1596/978-0-8213-8519-7

2. C. Malena; Expenditure tracking; CIVICUS

3. M.Sohail and S.Cavil; Combating corruption in infrastructure services: a tool kit

4. Integrity Watch. Basic principles of Community-Based Monitoring. CBM Toolkit, 2013

3.5 TOPIC 5: COMMUNITY SCORECARD

3.5.1 Introduction

This topic will cover the concept of the Community Scorecard as a methodology, it's purpose and or benefits to both service users i.e., citizens and service providers such as governments, etcetera. Its overall aim is to positively influence the quality, efficiency and effectiveness of public services. It will be a guide for building participant's capacity on how to apply this participatory tool to empower citizens on how to monitor and evaluate public services, in order to improve the quality of services.

3.5.2 Expected learning outcomes

At the end of studying materials in the Topic, the participants should be able to gain the following learning outcomes:

1. Develop a clear understanding of what the Community Scorecard methodology is, its purpose or benefits and how it can be applied within a particular context.

2. Have the basic knowledge and skills on how to apply this participatory tool to empower citizens, as well as plan, monitor and evaluate public services provided in the community.

3. Mobilize and sensitize citizens as rights' holders on their rights and entitlements and influence them to demand for accountability from service providers.

3.5.3 The concept of Community Scorecard (SC)?

The first thing to do is to get participants to understand what the community Scorecard methodology is. At this point, the facilitator needs to get participants to understand that there are various definitions of what a community scorecard is. However, for the purpose of this Manual, some of the very common definitions of a Community Scorecard are:

A CS is a two-way participatory community-based monitoring and evaluation tool that empowers citizens as service users to monitor and evaluate the quality, access, efficiency and effectiveness of public services and projects such as roads, health centres, schools, in their locality.

What are the main characteristics of a CS?

1. Takes a community as a unit of analysis

2. Information is generated through group discussions

3. Provides feedback to service providers from service user

4. Provides an opportunity for dialogue between users and providers

What can it be used for and who can use it?

SC can be used to monitor and evaluate a public service scenario. So, it can be used by the community to provide feedback for a particular service to the provider. It can also be used by service providers to receive feedback on what is working and what areas need improvement.

3.5.4 Purpose and benefits of a Community Scorecard

1. It promotes dialogue and improves the relationship between service users and service providers.

2. It can expose and curb corruption and improve the behaviour of users, which can assist in improving service delivery

3. It promotes accountability, transparency, and responsiveness from service providers

4. It promotes a common understanding of issues and development of solutions to problems.

5. Empowers service users to become change agents within their communities and in turn creates ownership of projects.

6. It enhances oversight among service users.

7. It enables service providers to learn directly from communities about what they feel regarding the quality of services, particularly which services are working well, and which are not. This feedback will enable decision makers to make informed decisions and to consider policy choices in order to provide improved services that respond to citizens' rights, needs and preferences.

8. It facilitates the tracking of public assets or public expenditure e.g., availability of medicines at health centres.

9. It provides vital information that can enable people make more efficient

use of resources through monitoring of a particular service or a particular project.

3.5.5 Challenges

1. Requires time

2. May not be easily welcomed and can lead to conflicts if not well planned and managed.

3.5.6 The Community Scorecard Process:

This are the different phase or processes the people or groups will undergo to implement the concept of a Community Scorecard. Steps highlighted in each process can be used as a guide and the facilitator can encourage participants to pick what applies to them and or develop others based on their context.

1)   Planning and preparation:

- Identification of the scope and intended geographical coverage e.g., a district or sector

- Identification of the service input for that sector, etc

- Identification of the community e.g.by gender, by use of service delivery, etc

- Developing a workplan and budget

- Making logistical arrangements such as travel plans, etc.

- Mobilization of the community identified, to secure their participation.

2)   Developing the Scorecard with the community: Under this section, there are two stages involved-a) organizing community members and b) developing an input tracker

a)   organizing community members

- Explain the CS methodology to participants

- Divide participants into groups e.g., women, men, youth, community leaders, PWDs, etc. Ensure that the sample is representative of the area.

- Assign a facilitator to each group

- Brainstorm on the performance criteria (should be done by community members in their groups, this can be development of indicators of what they perceive as quality, access, efficiency, and effectiveness, etc)

- Brainstorm the scoring criteria (facilitator must explain to participants that

they should come up with a scale of scoring performance)

- Members convene and evaluation suggested scores by each group and come up with a final i.e., indicators and scores, etc

b)   Developing an input tracker

- Track inputs-these are resources allocated to a particular service to facilitate its delivery to the end user.

Explain to the members the purpose of tracking inputs of particular service such as availability of teachers in a school, etc

- Identify & arrange issues identified in order of importance

- Develop indicators for tracking these priority issues.

- Develop a matrix for scoring the priority issues identified

- Come up with a community scorecard for the locality being assessed.

3)   Developing the scorecard with service providers:

- Mobilize service providers for a meeting

- Divide them into groups & identify a facilitator to guide each group

- Orient them about the CS methodology

- Develop indicators (should be done by service providers themselves)

- Performance scoring (should be done by service providers)

- Conduct a joint meeting to evaluate the Scores suggested by members

4)   Interface meetings and action planning:

- Mobilize both teams-service users and service providers to secure their participation

- Explain the purpose of the meeting & SC methodology

- Share results-each group should share their results including recommendations for improvements, etc.

- Allow members to constructively dialogue

- Joint action planning- (includes recommendations for improvements) i.e., members agree on the final indicators to be used and so on.

5)   Implementation of the joint action plan, and M & E

- Actual implementation of the joint plan

- Continuous monitoring of progress

- Evaluation of the plan after an agreed period, say 6months to 1year

- Communication of feedback to both groups-users and service providers and plan for repeat of the entire process

3.5.7 Conclusion:

1. It is important to note that this tool uses the community as unit of analysis and enables members of a particular community to analyse the services they receive from government, etcetera based on their personal feelings, as to whether they are satisfied or dissatisfied with them.

2. It is important to note that CS methodology works best in a context where service users or citizens are aware of their rights and entitlements. Because it is empowered rights' holders that are in a better position to demand for accountability and responsiveness from the service providers.

References/Online tools:

1. https://www.civilsocietyacademy.org/post/community-score-cards-a-powerful-tool

2. https://www.civilsocietyacademy.org/post/community-score-cards-a-powerful-tool

3. Care International Scorecard tool kit,2013

4. https://www.betterevaluation.org/sites/default/files/community_scorecard_process_worldbank03.pdf

4.6   TOPIC 6: REPORT WRITING AND RECOMMENDATIONS

4.6.1   Introduction

In this session participants will study writing report of assessment of service delivery and development projects in Local Government, its importance to effective services delivery and development interventions in Local Government. In addition, participants will be able to write an assessment report based on a case and provide feedback by presenting the report to the Local Government. It is expected that participants will develop skills in report writing and providing feedback on services and projects assessed to the Service Providers with the aim of improving services and project performance and benefits.

4.6.2   Learning Objectives

By the end of the reading materials in this Topic participants will be able to:

1)   Understand the importance of report writing to community monitoring of service delivery

2)   Know the key components of a report

3)   Internalize report writing

4.6.3   Presentation

Community monitoring and assessment of service delivery refers to service users assessing the effectiveness, equity, accessibility and impact of services

which they receive. It includes any type of monitoring and assessment led by communities; however, a key principle is that communities decide what to monitor and act upon the data collected. Advocacy for services delivery based on the evidence and observations gathered and communicated is an essential outcome of community-based monitoring initiatives. Communities may use several tools to monitor or track progress of services delivery in District Local Governments. These include community scorecards, public expenditure tracking survey, patient satisfaction surveys, complaint and grievance mechanisms and social audits.

Community monitoring undertaken through mechanisms that, depending on the specific objectives of the monitoring, service users and communities gather quantitative and qualitative data and observations to assess the availability, accessibility, acceptability, equity, and quality of services they receive and uses that information to hold service providers and decision makers accountable. Once data has been gathered, the results are produced in a report and communicated to the District Local Government with recommendations to improve the adequacy, quality and timeliness of services delivery. Copies of the report are submitted to Department responsible for the services assessed and the Resident District Commissioner, responsible for supervision of the District Local Government to make them know that an assessment of services was made in the district with recommendation to enable them support the community in ensuring that identified gaps in services are addressed.

4.6.4 Importance of a report to services delivery:

1. Reporting or communicating results of community monitoring provide information/data which can be used to advocate for improved services and better align them towards the needs of local people.

2. The community (services users) will know the adequacy and quality of services provided to them users.

3. The community can check the flow of resources to a particular service and compare with the quantity of services provided.

4.6.5 Components of a Service Delivery Assessment Report

1. Introduction: Indicates the subject of the report, its context, and the structure of the report.

2. Problem Analysis: spells out the undesirable situation that created the services delivery assessment

3. Objectives and Purpose of the assessment report: Objectives is what the assessment intends to achieve while purpose is the use to which the report will be put.

4. Methods of assessment: Describes the tools or methods used to conduct the assessment.

5. Results and Recommendations: Results are the findings of the assessment in the form of statistical data or narrative; and recommendations are suggestions made by the author to improve services delivery.
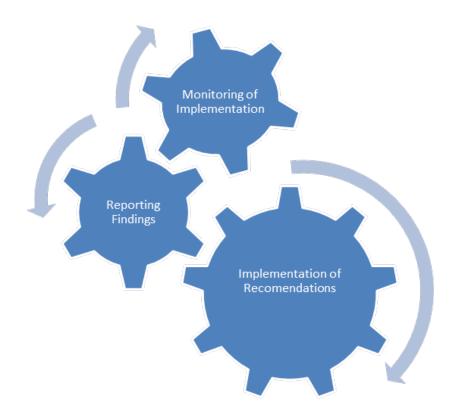
References

Community Based Monitoring, Reporting and Verification Workshop Report, DRC, 2017.

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4.7 TOPIC 7: FOLLOW-UP RECOMMENDATIONS OF ASSESSMENT OF SERVICE DELIVERY

4.7.1 Introduction:

This session discusses the importance of monitoring the extent to which recommendations made after the assessment of services and projects are being implemented. It a number of cases recommendations made are not implemented resulting in services not being improved. Monitoring whether the feedback by communities to Local Government is being implemented or not puts the Service Providers on their toes and ensures that services or projects are being improved as recommended in the community assessment report.

4.7.2 Learning Objectives

By the end of reading materials in this topic participants will be able to:

1. Understand the importance of monitoring implementation of recommendations of services and projects improvement

2. Know how to prepare for follow-up implementation of recommendations for services improvement

3. Effectively participate in a meeting to discuss services improvement

4. Know how to handle grievances arising out of corruption

4.7.3 Importance of a follow-up on implementation of recommendation

- Makes Service Provider strive to delivery adequate and quality services.

- Puts pressure on Service Provider to improve services delivery and project performance and benefits.

- Makes Services Providers take Community Monitors seriously.

- Raises the importance of community monitoring generating value for money in services delivery and project performance.

4.7.4 Preparation for making a follow-up of implementation of services improvement

- Agree with a Service Provider on a date for follow-up of services improvement as recommended in the Community Monitors in their Report.

- Agree on participants to the meeting that may include the District Local Government, department responsible for the services assessed, the RDC, NGOs/CSOs providing similar services, representatives of services users among others.

- Hold meeting where Service Provider outlines improvements made on services and identify areas that require still further improvement.

- Discussion of the report.

- Develop plan of action to address service gaps.

4.7.5 Handling of grievances arising out of corruption in the community

Steps for Receiving and Handling grievances

There are grievances that can be handled and managed administratively, locally within the community, while others that are criminal in nature have to be referred and handled by higher authorities.

Some of these steps are outlined here below:

Step 1 Document the Grievance

- Provide the community with the grievance register for recording all grievances related to ongoing projects.

- Record the name of the complainant, date, the project name and the details of the grievance in the register.

- Receive the grievance at a central contact point for example at the project site or at the home of the beneficiary.

- Attend to simple grievances immediately using open discussion, dispute resolution and mediation.

Step 2: Assess the seriousness of the grievance

- Acknowledge receipt of a grievance made by a beneficiary or a community member and explain the steps that will be followed.

- Record the verbal grievance or written grievance in the register.

- Assess the seriousness of the grievance. If the grievance is serious in nature (a breach of the law) such as fraud in procurements involving government officials or embezzlement of project funds, then refer it t the authorities at the district such as the IG. Grievances such as group disputes and grievances about project inputs (quality etc) should be handled by members of the Community Monitoring Group (CMG).

Step 3: Refer Serious grievances

- Refer the case to the relevant authority and inform the project Officer about the case.

- Ensure that all the relevant information about the grievance is submitted in a letter that is dated. Sign the letter and submit copies of any other information that you may have collected in relation to the grievance. Provide a copy of the letter and any accompanying documents to the Project Officer.

Step 4: Follow up and close the grievance

- Monitor and follow up the handling of the grievance within two weeks.

- Confirm that the complainant is satisfied with the process and outcome(s)

References

1. Community Responsibility to Enhance Transparency and Accountability (CRETA), Strengthening Accountability and Anti- Corruption (STAAC), Training Manual (NUSAF 3) 2017, Inspectorate of Government, Uganda.

2. National Mechanisms for Reporting and Follow-up, A Practical Guide to Effective State Engagement with International Human Rights Mechanisms, New York and Geneva, 2016

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