



**Ministry of Education and Sports**

**Poverty Action Fund (PAF) Programmes**

# **School Facilities Grant (SFG) for Primary Schools**

*Planning and Implementation Guidelines for District and Urban Councils*



*Building for a Brighter Future*

**July 2000**

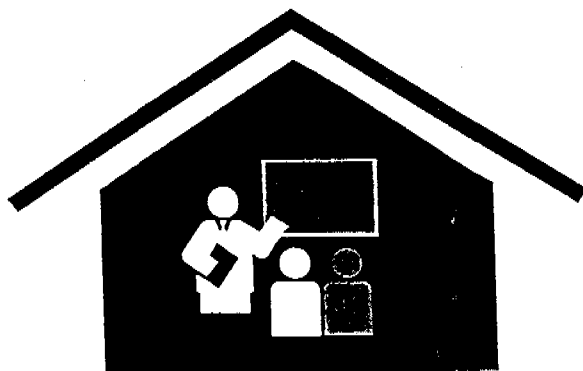


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July 2000

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# SFG Planning and Implementation Guidelines

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## 1.0 BACKGROUND

1.1 Primary Education is one of the key sectors identified in Government's Poverty Eradication Action Plan (1997), to benefit from the Poverty Action Fund (PAF) resources which include the School Facilities Grant (SFG).

1.2 The School Facility Grant (SFG) is to assist the most needy school communities to complete unfinished classrooms and build new classrooms where these classrooms are required to achieve the classroom: pupil ratio of 1: 55

It provides a demand driven decentralised financing mechanism through which the school communities can access resources to improve on Primary School Facilities.

1.3 This grant is channeled to the districts as a conditional grant and will be utilised strictly in accordance with the Poverty Action Fund (PAF) General Guidelines for Planning and Operation for conditional grants issued by the Ministry of Finance Planning and Economic Development.

## A. PLANNING AND BUDGETING PHASE (NOVEMBER – JUNE)

### 2.0 INTRODUCTION

2.1 The new PAF process requires that between November to June, districts undertake a structured process of planning for the use of SFG funds as summarised hereunder:

- a) The MoES communicates the SFG district budget ceilings in November.
- b) Districts prepare an activity based SFG annual workplan between January and April within the budget ceilings provided.

#### Planning and Budgeting Phase

ACTIVITY	TIMEFRAME	RESPONSIBILITY
Communication of SFG district ceilings	November	MoES (EPD)
SFG promotional activities	January - February	District (DFO/MEO)
Field Appraisal	March	District (DEO/MEO & DE/ME)
Preparation, review, approval and submission of the Draft District Annual SFG workplan/budget	April	District (District SFG Committee & District Council)
Approval of the district annual SFG workplan/budget.	May/June	MoES (EPD)
Signing a letter of understanding between the district and the MoES	June	MoES & District (PS/MoES & CAO)

2.2 It is important that only the eligible activities for SFG are identified, quantified, costed and time frame specified in workplan. This annual workplan is required before the district can access the first release of SFG in July.

### 3.0 SFG PROMOTIONAL ACTIVITIES (JANUARY – FEBRUARY)

3.1 The district will inform government aided primary schools, lower local councils, NGOs about the SFG availability and how to access it.

3.2 **Standard Documents:** Form 1 SFG promotional leaflet ;

Form 2 SFG School Application

### 3.3 Promotional Activities and Responsibilities

- a). The **District/Municipal Education Officer (DEO/MEO)**, assisted by the **District/Municipal Inspector of Schools (DIS/MIS)**, will inform all government-aided primary schools, lower Local Councils and NGOs about the existence and procedures of SFG.
- b). The DEO/MEO will distribute and explain the SFG promotional leaflet, Application Form, eligible activities for SFG funding, procedures for accessing/utilising the grant.
- c). SMC and the lower local councils should be made aware that every sub-county or LCIII is responsible for:
  - i) preparing a three year sub-county Primary School Construction Programme;
  - ii) preparing an annual sub-county Primary School Construction Programme extracted from the three year programme if selected to benefit from SFG;
  - iii) identifying priority school communities to benefit first from SFG which will be required to prepare Application Forms .
  - iv) preparing sub-county SFG quarterly workplans/budgets and progress reports
  - v) procuring the services of a contractor following the SFG guidelines<sup>1</sup>;
  - vi) assisting with on-site supervision;
  - vii) receiving facilities on completion of contract;

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<sup>1</sup> To guarantee rapid implementation of the programme, the District Tender Boards are encouraged to delegate the procurement of the Local (Petty) Contractors to the responsible School Management Committees (SMCs).

- viii) maintaining facilities after completion of contract; and
  - ix) ensuring equitable access to all facilities for boys, girls and disabled children.
- d) DEO/MEO will receive the sub-county three year Primary School Construction Plan and the prioritised SFG school Applications Forms from the sub-county/ LCIII not later than 1<sup>st</sup> March.
- e) The District SFG Committee<sup>2</sup> will review the subcounty three year Primary School Construction Plans and the **prioritised** sub-county SFG School Application Forms using the current School Mapping Data. This committee should :
- Verify the subcounty three year Primary School Construction Plan is consistent with the budget ceilings over the plan period;
  - Verify that the prioritised subcounty SFG School Application Forms have been correctly completed and all the required documents attached;
  - Check if an Application has been submitted for the same school for inclusion in another Development Fund;
  - Assess the prioritised subcounty SFG School Applications and determine if they conform with the SFG eligibility criteria;
  - Check the identification code of the subcounty SFG School Applicant (*use only the MoES official school serial code transmitted to the DEO by the MoES*)
- f) Owing to resource constraints it may not be possible for every subcounty to benefit from the grant this financial year hence the need for the district to prioritise subcounties according to need. Subcounties not considered this financial year should be prioritised in the following financial year.
- g) While there is need to address the issue of teachers accommodation and water supply in disadvantaged areas, there is currently no budgetary provision for these components. Districts should consider possible alternative sources of funding to provide teachers accommodation and water tanks.

#### 3.4 Eligible Beneficiaries

The eligible beneficiaries are **Government-aided Primary Schools**.

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<sup>2</sup>The District SFG Committee is composed of the CAO, DEO/MEO, DIS/MIS, District / Municipal Engineer, CFO, District Planner, Chief Internal Auditor, LCV Secretary for Education, a Co-opted member.

### 3.5 Eligible Activities

#### a). Classroom completion

This will cover completion of minimum **TWO**, maximum **EIGHT** classrooms per school if:

- i) the classrooms are already completed by the community up to the wall-plate,
- ii) the buildings are safe and of an acceptable technical standard.
- iii) the school is not still included in another ongoing program (e.g. TDMS) which is due to complete the facilities;

#### b). New Classroom construction

- i) This will cover construction of minimum **TWO**, maximum **FOUR** new classrooms plus a store/Headteachers office per school.

#### c). Latrines, classroom furniture

In addition to classroom completion or new classroom construction at selected school sites, SFG will fund:

- i) the construction of a – 5 stance latrine
- ii) classroom furniture (Eighteen 3- seater desks per classroom) including a teachers table and chair
- iii) storage facilities for Instructional Materials.

### 3.6 Community contribution for New Classroom Construction

- a) Community contributions are not compulsory and should be determined by the socio-economic status within the districts as well as the community's ability/willingness to contribute. The possible areas communities may make contribution includes:

- i) provision of school land
- ii) school site clearance
- iii) any other school facility not financed under SFG e.g. planting trees and school fence, constructing a playground, etc.
- iv) day to day supervision of the contractor

- v) maintenance of existing and new school facilities after completion
- vi) other legitimate costs over and above the standard SFG contribution
- vii) ensuring equitable access to all facilities for boys, girls and disabled children.

- b) Where the local community contributes locally available building materials and services e.g. sand, stones, bricks, unskilled labour etc, the local contractor must pay for the same. The proceeds realised will be invested in other school projects not financed under SFG.

### 3.7 Transparency and Accountability at school level

- a) SMC will ensure public displays of all incomes (including community contributions where applicable) and expenditures for SFG construction/completion activities.
- b) The SMC is accountable to the parents (and community) and in (three) monthly General Meetings presents its accounts to the "open for all" school meeting which must be minuted.

### 3.8 Promotions and Outreach

The districts will give support and encourage partner organisations to assist subcounties/LCIIIs which have problems in preparing project proposals due to lack of capacities or resources.

## 4.0 FIELD APPRAISAL (MARCH)

- 4.1 The District Appraisal Team will visit the schools prioritised by the District SFG Committee and selected as such within the district budget ceilings to firm up information about these schools and appraise the sites and structures for completion

### 4.2 Standard Documents Form 3

### 4.3 Responsibilities and activities

- a) DEO/MEO and the District/Municipal Engineer constitute the field appraisal team.  
The field appraisal applies only to the schools prioritised by the District SFG Committee and recommended as such within the annual district budget ceiling.
- b) The DEO/MEO will check on school data / information on pupil enrolment, teachers, SMC, land availability etc.



- c) District/Municipal Engineer will check the site, soil and building conditions, especially the safety and the durability of the unfinished buildings to be completed.
- d) The DEO/MEO and the District/Municipal Engineer will determine with the SMC the scope of the project and the costs.
- e) The District/Municipal Engineer will set up all drawings and information on site necessary to estimate the project cost. All costs will be based on the standard SFG schedule of rates and the technical specifications of the SFG technical handbook.
- f) The District/Municipal Engineer will assess the availability of building materials, skilled and unskilled labour; transportation, contractors.

## 5.0 PREPARATION, REVIEW AND APPROVAL OF THE DISTRICT ANNUAL SFG WORKPLAN/BUDGET (APRIL)

- 5.1 Districts are required to prepare an annual SFG workplan and budget which must be consistent with PAF General Guidelines, realistic and achievable. Districts should be able to adjust their workplans according to the budget ceilings communicated by the MoES.
- 5.2 **Standard Documents: District Annual Workplan/Budget (Form 4A) and Letter of Understanding (Form 4B)**
- 5.3 **Responsibilities and activities**
  - a) The field appraisal team (DEO/MEO & District/Municipal Engineer) prepare a draft District Annual SFG Workplan and Budget based on the field appraisal by completing **Form 4 A**.
  - b) The District SFG Committee will review and recommend the draft district SFG workplan and budget to the District Executive Committee which will approve and recommend it to the District Council or its delegated committee for approval.
  - c) The District Council or its delegated committee will at the same time approve the conditions pertaining to the use of SFG which include these implementation guidelines.
  - d) *The district must sign a Letter of Understanding (Form 4B) with the MoES by the beginning of the financial year.*

*Two copies of the draft District SFG Workplan /Budget and a signed Letter of Understanding is forwarded to the MoES for final approval by the end of April. This district submission must be copied to MoFPED*

  - e) The MoES checks the draft District SFG Workplan and Budget and assesses whether SFG procedures have been properly followed.

- f) In the event that the MoES is dissatisfied with the submission, it will be referred back to the district for revision along with advice on how to improve the workplan. The district should then revise and resubmit the workplan and a signed Letter of Understanding within two - three weeks of receipt of feedback from the MoES.
- g) If the workplan is satisfactory, the MoES will sign the Letter of Understanding and refer one copy of the submission to the district.

## **B. IMPLEMENTATION PHASE (JULY – JUNE)**

### **6.0 INTRODUCTION**

6.1 The implementation phase includes the following activities:

- a) Procurement of a suitable qualified Local Contractor/Supplier of furniture to perform the work
- b) Building works/supply of furniture, supervision and payments
- c) Release of funds, accounting and reporting
- d) Monitoring and evaluation.

6.2 The number of sites to be started in any one quarter should be determined by the budget ceiling and the capacity of the district to adequately supervise and monitor construction work.

### **7.0 PROCUREMENT OF CONTRACTOR/SUPPLIER OF FURNITURE (JULY)**

- 7.1 a) The SMC is ready to begin the contracting process once it has received approval in July
- b) All buildings and furniture shall conform to the standard technical specifications of SFG.

7.2 **Standard forms:** Form 4C Contract Agreement;

Form 4D Letter of Agreement between the District and the School Community,

Standard schedule of rates, SFG technical handbook,

### 7.3 Responsibilities and activities

- a) The contracting body is the SMC and the contractor will be community/ village based or district based.
- b) The sub-county/LCIII will delegate the responsibility of procuring a Local Contractor/Supplier of furniture to the responsible SMC and Headteacher. The SMC identifies and selects a suitable qualified contractor<sup>3</sup> who accepts to perform works based on unit costs given in the schedule of works.
- c) The District Tender Board must be kept informed of the entire process of selecting the Local Contractor.
- d) The District/Municipal Engineer assists with the preparation of the contract documents, technical specifications, schedule of works based on SFG standard documents and costs. He supports the SMC in the identification and appraisal of a qualified local contractor/supplier of furniture
- e) SFG contribution to each type of work shall never exceed the maximum standard cost indicated by MoES for the district. The rates and prices given in the schedule of rates shall not be subject to adjustment during the performance of the contract.
- f) In the event that a district is able to construct / complete classrooms at costs below the standard rates indicated by the MoES, the savings realised will be used for additional new classroom constructions and / or completions.
- g) The procurement shall be for the **whole works**: The contractor shall provide building equipment and materials, transport and labour.
- h) The Supplier of furniture will not necessarily be the Local Contractor for civil works.

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<sup>3</sup> The following bidders/contractors are ineligible: Non district-based firms, a firm/individual that is associated, or has been associated in the past, directly or indirectly, with the District Officials and Councillors, a firm/individual that in the opinion of the District Engineer lacks the necessary technical competence to complete the works to a satisfactory standard.

i) The following percentages should be paid for each stage of work:

**i) For new classrooms, the % of work for each stage is fixed at:**

- Mobilisation(Advance Payment): 10%
- Foundation/sub-structure: 20%
- Walling including beams and gables : 25%
- Roofing including roof sheets: 25%
- Finishing (plastering, flooring, carpentry): 15%
- Retention for defects period (6 months): 5%

**ii) For completion of classrooms<sup>4</sup>, the % for each stage is fixed at:**

- Mobilisation: 15%,
- ring beam: 20%
- roofing: 35%
- finishes including floor slab and screed: 25%
- Retention: 5%.

**iii) For Latrines, the % of work for each stage is fixed at:**

- Foundation/sub-structure: 30%
- Walling: 20%,
- Roofing: 25%
- Finishing (flooring, carpentry): 20%,
- Retention: 5%

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<sup>4</sup> Buildings should be first completed by the community up to the wall plate. SFG will finance a standard cost contributing to construction of ring beam, roof structure and roof sheets, windows and door frames, internal and external plasters, flooring. **Building with finished roofs are not eligible.**

**iv) For Furniture, the % of work for each stage is fixed at:**

- Advance for purchase of materials: 50%
- Delivery of complete furniture on site: 50%

- j) The Local Contractor/Supplier of furniture will be paid through a distinct SFG school bank account which must be subjected to the same accountability and signatory procedures as for the UPE grant. **If a school finds it difficult to open a distinct SFG bank account, the District can be requested to pay the contractor directly.**
- k) The contract is signed between the school and local contractor/supplier of furniture, witnessed by the Chairperson of the LCIII.
- l) At the same time, the Letter of Commitment is signed between LCIII and District. The LCIII Chairperson and SMC Chairperson sign on behalf of LCIII; the CAO and the DEO on behalf of the District.
- m) The Chief Internal Auditor reviews the contract documentation and certifies that procurement procedures have been properly followed.

## **8.0 BUILDING , SUPERVISION AND PAYMENTS**

8.1 The building project/procurement of furniture can start on an agreed date

### **8.2 Standard Documents**

- a) **Form 8: Certificate of works for civil works/furniture.**
- b) **Form 9: Certificate for District monitoring expenditure.**

### **8.3 Responsibilities and activities**

- a) The School Management Committee (SMC), or the Building Committee of the School assigned by the SMC, is responsible for the day to day supervision of works. It will ensure that no material is lost, the contractor attends the site regularly and the works are done satisfactorily.
- b) The District/Municipal Engineer, is responsible for visiting the site at least at the stages of works considered for the payments. He will control the quality and progress of work, give the necessary instructions to the contractor and issue the certificate of works (**Form 8**). The certificate shall be issued in the School and signed by the SMC and the Sub-County Chairperson.

- c) SFG monitoring and supervision expenses are fixed at *Ushs 400,000 per site*. This is to cover district expenses for technical monitoring and supervision of SFG implementation such as allowances for District Technical Supervisors<sup>5</sup> and fuel. Payments for district monitoring expenses must be supported by the payment authorisation certificate (**Form 9**)
- d) Other expenses related to SFG implementation such as monitoring by the District Political Leadership<sup>6</sup>, stationery, photocopying, bank charges, etc will be met from a new conditional grant to the CAOs office for enhancing monitoring and accountability of PAF programmes. The release of these funds is conditional on submission of district workplans/budgets for monitoring activities to MoFPED.

## 9.0 RELEASE OF FUNDS, ACCOUNTING AND REPORTING:

9.1 **Standard Documents** : Form 5 Workplan/Budget Request for the forthcoming quarter

Form 6 Progress Report for the previous quarter

Form 7 Cumulative Progress Report

9.2 **Central Government: SFG Releases**

- a) *The PS/MoES advises PS/ST/MoFPED on releases for the SFG to the districts depending on a satisfactory district annual SFG workplan, the submission of quarterly progress reports and quarterly workplan/budget requests.*
- b) Releases will be twice in every quarter
  - i) One twelfth (1/12<sup>th</sup>) of the annual budget will be released in the first month of the quarter to cover implementation during the first month when the district is compiling the required reports for submission to MoES.

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<sup>5</sup> The District Technical Supervisors include the Chief Administrative Officer, District/Municipal Engineer, District /Municipal Education and Chief Internal Auditor

<sup>6</sup> The District Political Leadership includes the Chairperson LCV and the Secretary for Education LC V.

- ii) The amount requested in the district Budget Request Form less the amount released in the first month will be released in the second month of the quarter.
- c) Where the release is less than that requested by the district, the MoES will give reasons for the same.

### 9.3 Local Government: Financial Management Responsibilities

- a) District Governments are responsible for controlling the District SFG Bank Account, receiving conditional grant transfers from central Government and making and accounting for all payments to schools.
- b) The Chief Administrative Officer (CAO) is accountable for the safe keeping and proper expenditure of all SFG grants to the District.

### 9.4 Local Government: SFG Accounting and Reporting

- a) The normal accounting and reporting procedures for all other conditional grants from the central Government to districts will be applied for the SFG grant.
- b) The District will open a dedicated non-interest bearing SFG Bank account into which SFG conditional grant shall be credited and from which payments to schools shall be debited.

The signatories to the SFG Bank Account will be the CAO, CFO and the DEO. As with all District bank accounts, there will be a dedicated cash book for the SFG Bank Account, and a general ledger control account.

- c) SFG conditional grant transfers from central Government to the districts must first be paid into one account; "the Government Grants Collection Account" and then transferred by direct bank transfer or cheque, to the SFG Bank Account.

### 9.5 Local Government: SFG Accounting Procedures

- a) The district will open a new SFG Account at the beginning of the financial year which must be closed not later than three months after the end of the financial year.
- b) All payments to schools, contractors, and for district monitoring must be supported by either **Form 8** certificate of works, or **Form 9** certificate for District monitoring expenditure. Both forms must also be checked and authorised by the Chief Internal Auditor (CIA) before they can be further processed.
- c) Payments will only be made to a contractor directly where the school has failed to pay the contractor regularly and promptly.

- d) The District financial and monitoring documents for the previous quarter must be audited at District headquarters to ensure that:
  - i) the summary financial sheets have been properly extracted and balanced;
  - ii) payments are appropriately authorised and supported for the intended purpose ;
  - iii) approved and ongoing projects meet the eligibility / priority and the unit costs criteria determined by SFG.

#### 9.6 Local Government: Request for release of funds

- a) Release of funds to the districts will be on a quarterly basis using the procedures that are in line with the PAF General Guidelines.
- b) The district submits to MoES, with copies to MoFPED, the following three reports on or before the 15<sup>th</sup> working day of the month after the close of the quarter:

##### i) Workplan/Budget Request for the forthcoming quarter (Form 5)

This will cover:

- activities to be implemented during the forthcoming quarter including those activities in the previous quarters workplan but were not completed.
- The corresponding budget required to implement these activities
- The budget request which takes into account the balance of unspent SFG funds at the district

These activities should be based on the annual workplan and the corresponding budget will approximately equate to one quarter of the annual budget.

##### ii) Progress Report for the previous quarter (Form 6)

This will cover:

- The activities and budget planned for the previous quarter
- The actual activities carried out and the funds spent / committed for the previous quarter



### iii) Cumulative Progress Report (Form 7):

This will cover cumulative progress in activities over the financial year and will include:

- The annual workplan activity
- The annual budget for each activity
- The actual achievement and funds spent for each activity to date

## 9.7 Financial Management at Schools

- a) The School SFG Bank Account shall be opened and administered by the SMC (chair person and head teacher). Payments received from the Districts and payments to the contractors shall be made through this bank account.
- b) The essential accounting record that will be required for SFG is an SFG cash book to support transactions on the School Bank Account. The layout of the payments section of the cash-book should ideally follow that of **Form 10**. The bank account statement should be reconciled to the cash book on a regular basis.
- c) The school will be required to submit copies of these reconciliations with supporting documents each quarter to the District (DEO), where they will be audited and certified by the CIA before being filed in the school SFG File.
- d) The Sub-Accountants from the Sub-County administration will have a key role to play in assisting SMCs in setting up and operating cash books, and preparing reconciliations and submissions to the District.

## 9.8 Mandatory Public Notices

- a) MoES must publish in the public media the quarterly SFG grant transfers to each District.
- b) Districts must publicly display:
  - i) Full list of schools receiving the grant and amounts of the grant allocated
  - ii) List of selected Local Contractors/Suppliers of furniture against each beneficiary school
  - iii) SFG funds disbursed to each beneficiary school

This information must be displayed on the noticeboard of the District Administration Headquarters, District Council Halls, Subcounty Headquarters, etc

c) Schools must publicly display:

- i) SFG grant allocated and received from the district,
- ii) Up to date amounts paid out to the Local Contractor/Supplier of furniture
- iii) Amount and accountability of local community contribution towards school construction (where applicable)

Schools must display this information on noticeboards easily accessible by parents, residents of the area, pupils etc

## 10.0 MONITORING AND EVALUATION

10.1 Monitoring & evaluation systems will:

- a) provide information on the progress of the SFG programme,
- b) identify problems at an early stage, enabling prompt remedial actions to be taken.

10.2 Responsibilities and activities

- a) The central Ministries (MoES, MoFPED and MoLG) are responsible for the monitoring & evaluation of SFG implementation at the national level.
  - i) The MoES will visit the district at-least every two months to:
    - Verify compliance of activities to the SFG implementation guidelines and the Technical Handbook;
    - Appraise the district progress in SFG implementation
    - provide or arrange support to the Districts where this is necessary to overcome problems.
    - enlighten the district officers on SFG technical and financial procedures.
  - ii) The MoES will enhance its decentralised monitoring capacity by subcontracting monitoring tasks to private firms. The private firm personnel will be trained by and work under the co-ordination of MoES.

- iii) The Treasury Inspectorate (MoFPED), the Inspectorate Department (MoLG) will carry out periodic monitoring visits, whilst the Auditor General will carry out half yearly value for money audits
- b) **District Governments** are responsible for monitoring and evaluating the performance of schools and contractors in implementing SFG at district level.
- c) **LCIIIs** are responsible for monitoring and evaluating construction, with LCII, LCI, school and community support.
- d) **The School Management Committees** are responsible for the daily management and supervision of works and payments.

10.3 The MoES will evaluate the overall performance and impact of SFG implementation in terms of:

- a) Expansion of equitable access:
- b) Capacity building within districts and the local communities,
- c) Poverty alleviation:

## 11.0 PENALTIES FOR NON COMPLIANCE WITH SFG GUIDELINES

### 11.1 Non compliant / Defiant schools

- (a) Districts will closely follow up non compliant / defiant schools and provide support as deemed necessary (contingency for this can be built in the District annual work plans for monitoring visits).
- (b) If this is not sufficient to solve the problem, the district will submit its report without further delay to the MoES, in order to avoid other schools suffering from the default of one or a few. The report will identify faulty schools and explain measures being taken to correct the situation.
- (c) Disciplinary action should be taken against the defaulting SMCs, Head teachers.

### 11.2 Non compliant / Defiant districts

- (a) MoES will advise MoFPED to withhold any further releases to non-compliant or defiant districts and all the key stakeholders will be informed accordingly.

- (b) MoES will ensure that the general public is directly informed of the situation, e.g. through the media. The general public can access the Ministry's 'hot line' (041 349435) to inform the Ministry about what and where they think is the problem.
- (c) MoES will closely follow up the non-compliant District.
- (d) The Appointing Authority should take disciplinary action against the defaulting District Officials.

### 11.3 Non compliance by the MoES

- a) If the MoES fails to provide the necessary support to the districts or fails to process Budget Requests in a timely manner, without due reason, the MoFPED will withhold the release of PAF funds for monitoring and accountability to the MoES headquarters.
- b) If the MoES continues to fail in its aforementioned responsibilities, the Poverty Action Committee will consider reducing or withholding release of funds to the non wage recurrent budget of the MoES until the such a time it honours its responsibilities
- c) The Appointing Authority should take disciplinary action against the defaulting Ministry Officials.

## SFG STANDARD DOCUMENTS

- 1 SFG Promotional Leaflet
- 2 Application Form for Primary Schools
- 3 Field Appraisal Form
- 4A District Annual Workplan and Budget
- 4B Letter of Understanding between the Ministry of Education and Sports and the District Local Government
- 4C Contract Agreement
- 4D Letter of Agreement between District and School Community
- 5 Budget Request Form
- 6 Quarterly Progress Report Form
- 7 Cumulative Progress Report Form
- 8 Certificate of Works
- 9 Certificate for District Monitoring Expenditure
- 10 Cash Book Payment Register
- 10a SFG Ledger - School Account

# How does the SFG work?

## 1 Information.

The Districts will inform government aided primary schools, lower local councils, NGOs about the Grant's availability and the kind of project eligible. The subcounty/LCIII will be given a budget ceiling for classroom construction within which they will prepare a Three year Primary School Construction Plan; an annual classroom construction work-plan. The annual workplan/budget and the prioritised subcounty SFG School Applications should be submitted to the District/Municipal Education Officer by 1<sup>st</sup> March.

## 2 Field Appraisal

The district will visit the schools identified in subcounty draft SFG workplan and selected as such within the budget ceiling to firm up data/information about the proposed beneficiary schools and appraise site and buildings.

## 3 Approval

After field appraisal, a consolidated draft District SFG Annual Workplan/Budget is prepared and submitted to the District Council for approval by end of April.

## 4 Procurement

A school/community approved to benefit from SFG is responsible for procuring the services of a suitable qualified contractor to perform the work. The District will supply the drawings and the technical documents. The contractors will be responsible for providing material and works. The District will review the procurement documents and the qualifications of contractor.

A contract will then be entered into between SFG, the applicant and the contractor.

## 6 Building

The building project can start on agreed date.

## 7 Supervision

The school supported by the subcounty/LCIII, LCII, LCI is responsible for the day to day supervision of works. It will ensure that no material is lost, the contractor attends the site regularly and the works are performed to the highest quality. The District Engineer will check the sites periodically and issue the certificates of work for each stage of work.

## 8 Payments

For each stage of work completely and satisfactorily done, payments are made by the District to the school bank account. The School Management Committee is responsible for paying the contractors immediately and according to the instructions of the District Engineer. If the school has no bank account or fails to pay the contractor, the District will pay the contractor directly.

## 9 Maintenance

When the project is finished with the full approval of the District SFG Committee, the school buildings will be handed to the School Management Committee. It is now the school's responsibility to maintain it, to keep it tidy, to ensure that boys, girls and disabled children have equal access to all the facilities.

We are working for a better future with educated women and men.

# Form 1: SFG Promotional Leaflet

## 1. What is School Facilities Grant (SFG)?

The SFG was established by GoU in 1998 following the launching of UPE to improve and expand the Primary School Facilities.

SFG is to assist the school communities to complete unfinished classrooms and build new classrooms where these classrooms are required to achieve the classroom : pupil ratio of 1 : 55

SFG is channeled to the districts as a conditional grant under the Poverty Action Fund (PAF) Programmes. This grant will be utilised strictly in accordance with the SFG Planning and Implementation Guidelines.

## 2. Eligible beneficiaries of SFG

Only Government Aided Primary Schools can benefit from SFG.

## 3. How to access SFG?

The DEO/MEO informs all Government Aided Primary Schools, Lower Local Councils, NGOs about the existence and procedures of accessing SFG in November/December

The subcounty/LCIII prepares a Three Year Primary School Construction Plan from which an Annual Subcounty SFG Workplan & Budget is prepared. The Sub county Annual SFG Workplan which must be consistent with the budget ceiling; as well as prioritised Subcounty SFG Primary School Applications are submitted to DEO/MEO for approval. **Deadline for submission is 1<sup>st</sup> March**

## 4. Community contribution

Community contributions are not compulsory. The possible areas communities may contribute include:

- Provision of land
- Site clearance
- Plantations in the yard, fences, playground
- All amounts exceeding the standard SFG contribution
- Any other facility not financed under SFG
- Ensuring that boys, girls and the disabled have equal access to the school facilities
- Maintenance of existing and new facilities

## 5. The scope of SFG Programme:

### a) Completion of unfinished classrooms started by communities

SFG aims at helping the communities to complete suitable unfinished classrooms built up to wall plate level.

*The structures for completion should be safe, technically suitable, durable and without any other source of funding to complete.*

Applicants should check if their unfinished buildings comply with the following requirements:

- The foundations must be on stone or concrete, at least 40cms large and 50cms deep
- The walls must be built on burnt clay bricks or on cement blocks with no visible cracks
- The thickness of the load bearing walls is at least 20cms for brick walls and 15cms for cement blocks
- The height of the wall is at least 2.5 meters above the foundation (wall plate level)
- The interior measures of each room are at least 5.5 meters by 6 meters ( the classroom should hold at least 40 pupils)
- The building is needed by the school to reach a target pupil classroom ratio of 55 : 1

**SFG will finance the completion of a minimum of two and maximum of eight classrooms per school.**

The District/Municipal Engineer will appraise the safety and durability of the buildings to be completed.

### b) Construction of new classrooms

The number of new classrooms to be constructed is limited to a **minimum of two** and a **maximum of four** per school including store/Headteachers office.

### c) Latrines, classroom furniture, water tanks.

At selected schools SFG will fund the construction of a first class latrine, classroom furniture and storage facilities Instructional Materials.

2

Application Form for PRIMARY SCHOOLS

PART A : INFORMATION ON EXISTING SCHOOLS. year 1999

To be completed by the Head Teacher

1. Identification

School: .....	Year started: .....	Is your school: <input type="checkbox"/> Govt-aided <input type="checkbox"/> partly Govt-aided <input type="checkbox"/> Private
District: .....	Foundation body: <input type="checkbox"/> Govt <input type="checkbox"/> Parents <input type="checkbox"/> Other: .....	
County: .....		Is your school a primary school? .....
Sub-County: .....		
Parish: .....	Population of the Parish: .....	
Co-ordinating centre: .....		
Identification Code: .....		

2. Number of pupils

	1997	1998	1999
Girls			
Boys			
Total			

3. Number of teachers

	1997	1998	1999
Trained			
Un-trained			
Total			

4. Number of pupils, streams, teachers in 1999

	pupils	streams	teachers
P1			
P2			
P3			
P4			
P5			
P6			
P7			
TOTAL			

5. Number of Classrooms-used

Type of classroom	Number by building condition				Classrooms with furniture		
	Good shape	Repairable	Very bad shape	Total	Furnished	Partly furnished	Un-furnished
No. of Permanent complete classrooms							
No. of Permanent incomplete classrooms							
No. of Temporary classrooms (1)							
TOTAL classrooms used							

(1) Temporary structures, not the classes under trees

6. Number of classrooms used in double shift if any : .....

(Double shift = same classroom used 2 times a day by 2 different streams)

7. No of Permanent incomplete classrooms not ready for use .....

8. No of classes under trees .....

9. Type of Permanent incomplete classrooms (used or not used)

Level of completion	With flo	Without floor	Total	Number of classrooms to be completed (see explanation)			Total classrooms with good foundations, wall and size
				clr. good foundation	clr. good walls	clr. good size	
Completed at foundation level							
Completed under window level							
Completed at wall plate without roof							
Roof completed without plaster, windows							

Good foundation:

The foundations are on stone or on concrete. They are at least 40 cm large and 50 cm deep, when checked at 3 places.

Good walls: The walls are on cement blocks with 15 cm thickness or on burned bricks with 20 cm thickness. They have no cracks and are completed up to wall plate.

Good size: The interior measures of each classroom are at least 5.5 meters by 6 meters.

10. Water sanitation

No. permanent Latrines : .....

No. temporary Latrines : .....

Number and type of water sources: .....

11. Number of permanent Staff rooms/offices .....

12. Number of staff houses: .....

13. Name and distance of the nearest schools (within 8 km):

1 Name: ..... Distance to your school: .....Km in Parish.....

2 Name: ..... Distance to your school: .....Km in Parish.....

3 Name: ..... Distance to your school: .....Km in Parish.....

14. Distance of your school to the district head quarters: ..... Km

15. Is your school accessible during the wet season?  Yes  No



**16. Previous assistance**

Has your school received assistance for school building/repair /furniture from the Government or the District or an international agency or any other donations within the last two years?  
If yes please attach a report outlining the type of assistance.

Yes  No

**PART B: PROPOSED PROJECT**

To be completed by the School Management and Building Committees

1 How many classrooms should the school have?

Total classroom needs	Total pupils this year	=	
	55		

The total number of existing permanent cl.rooms in good shape or repairable plus the total of classrooms requested (new, completion) should not exceed this number.

2 How many permanent classrooms should be completed?

3 How many classrooms should be built new?

4 How many latrines should be built?

5 How many classrooms should be supplied with furniture?

6 Land availability : Do you have enough land for the permanent establishment of the school (min. 25 m2 per pupil)?

Yes  No

**7 Community Contributions**

If you meet the eligibility criteria , you will have to make some contributions of your own to help to improve your school. Is the School(SMG) committed to make the following contributions?

7a: Common to the whole country:	Yes	No
1 Assist with the site preparation (clearing out the construction site)	<input type="checkbox"/>	<input type="checkbox"/>
2 Repair or build a water source	<input type="checkbox"/>	<input type="checkbox"/>
3 Plant at least 25 trees in the compound	<input type="checkbox"/>	<input type="checkbox"/>
4 Repair or build the school fence	<input type="checkbox"/>	<input type="checkbox"/>
5 Ensure regular maintenance of facilities	<input type="checkbox"/>	<input type="checkbox"/>
6 Supervise the works	<input type="checkbox"/>	<input type="checkbox"/>

**8 Documents to be attached**

**VERY IMPORTANT:**

Make sure you have you attached the following documents:

	Yes, attached
1 A site plan of the school indicating the location of all existing and proposed buildings, wells and latrines.	<input type="checkbox"/>
2 The most recent teachers payroll.	<input type="checkbox"/>
3 A brief description of your school and the proposed project.	<input type="checkbox"/>
4 A map locating the village and the nearest road.	<input type="checkbox"/>
5 A letter indicating the availability of land for the school.	<input type="checkbox"/>

Other documents attached:

**APPLICATION DECLARATION**

We the undersigned declare that all of the information contained in this application is correct and true. We certify to contribute to the project as mentioned above and to participate in the supervision of this project. Finally we shall ensure that the facilities in this project are on authorised land for permanent implementation of the school and will be satisfactorily maintained after the completion.

**School Management Committee:**

1. Chair Person

Name: .....

Signature: .....

Date: .....

2. Head Teacher

Name: .....

Signature: .....

**Local Government (LC):**

1. Chair Person of LCII (Parish)

Name: .....

Signature: .....

Date: .....

Application received at District by DEO:

Name: .....

Signature: .....

Registration receipt issued to:

Name: .....

Signature: .....

Date: .....

3

FIELD APPRAISAL FORM

To be completed by the district engineer and DEO

MINISTRY OF EDUCATION AND SPORTS  
SCHOOL FACILITIES GRANT  
SFG 1999

Copy to be transmitted to MoES

When going to the school for field appraisal, you will need to take the following documents with you:

1. School's application form with all the annexes.
2. School's Registration/ranking form.
3. Sufficient copies of the standard schedule of works in order to quantify the works for unfinished classrooms.

District: ..... Sub-County: ..... Parish: .....  
School: ..... School Identification Code: .....

- 1 We the undersigned declare that all of the information in the application form and attachments was verified on the field.
- 2 That all necessary corrections were brought to the application and ranking forms.
- 3 That after these corrections, the school remains eligible  yes  no  
the school remains a high ranked priority  yes  no
- 3 When the school has remained eligible and a priority, we certify that the district engineer has proceeded to the technical appraisal of the site and the buildings.

4 For classroom completion, we have chosen ..... buildings to complete, comprising ..... classrooms (max. 8).  
(ATTENTION: You can not complete half a building).

All selected buildings are already at wall plate, or will be brought to wall plate by the community within 3 weeks of today, meaning ..... / ..... / ..... (day/month/year), the latest.

We certify that these buildings are safe and suitable for completion. They have the following technical requirements:

Good foundations: The foundations are on stone or on concrete. They are ..... cm large and ..... cm deep, and comply with the soil condition and, if applicable, the earthquake resistance requirements.

Good walls: The load-bearing walls are on ..... with ..... cm thickness,

ground beams if any are on .....; columns in any are on ..... X ..... cm

Walls have no cracks and are (or will be) completed up to wall plate, meaning 2.5 meters above foundations level.

Good size: The interior measures of each classroom are ..... x ..... in average and comply with the minimum classroom size (at least 5.5 meters by 6 meters long).

5 For new classrooms (if applicable), we have identified the needs for ..... New classrooms (maximum 4).

6 Therefore, the total classroom completion + total new classroom + total existing permanent classrooms is = .....

When we divide the total number of pupils being ..... by this total number of classroom, we obtain the Pupil per total classrooms ratio ..... which is at least 50.

7 In conclusion, the scope and the cost of the works to be implemented in this school are as follows.

Description of Final project	Total Quantity	Standard SFG Unit cost	TOTAL SFG contribution User	TOTAL community contribution if any
1 classrooms to be completed (currently without floor)				
2 classrooms to be completed (currently with floor)				
3 new classrooms to be built				
4 classrooms to be supplied by furniture				
5 Block of 5 stance latrine to be built				
TOTAL COST				

8 All the above-mentioned costs comply with SFG standard costs and SFG standard community contribution in the district.

9 In addition to the above-mentioned contribution, the community certifies to make the following contributions before receiving the last tranche of SFG payments

- |   |                              |                                    |                              |
|---|------------------------------|------------------------------------|------------------------------|
| 1 Assist with the site preparation (clearing out the construction site) | <input type="checkbox"/> yes | 1 Repair or build the school fence | <input type="checkbox"/> yes |
| 2 Repair or build a water source  | <input type="checkbox"/> yes | 2 Ensure regular maintenance       | <input type="checkbox"/> yes |
| 3 Plant at least 25 trees in the compound                               | <input type="checkbox"/> yes | 3 Supervise the work               | <input type="checkbox"/> yes |

**For the School Management Committee:**

1. Chair Person

Name: .....

Signature: .....

Date: .....

2. Head Teacher

Name: .....

Signature: .....

**For the District:**

1. On behalf of DEO

Name: .....

Signature: .....

Date: .....

1. Engineer

Name: .....

Signature: .....

Field appraisal carried out by:

1. DEO

Name: .....

Signature: .....

Date: .....

2. District Engineer

Name: .....

Signature: .....

Date: .....



LETTER OF UNDERSTANDING  
BETWEEN

THE MINISTRY OF EDUCATION & SPORTS  
AND

-----DISTRICT LOCAL GOVERNMENT

FOR THE USE OF FUNDS IN THE -----GRANT

FOR THE FINANCIAL YEAR-----

This memorandum is made this .....day of .....20.....

BETWEEN

THE GOVERNMENT OF THE REPUBLIC OF UGANDA, represented by the Ministry of  
----- (hereinafter referred to as "the Central Government")

AND

-----DISTRICT LOCAL GOVERNMENT, -----represented by the  
Chief Administrative Officer on the other part. (Hereinafter referred to as "the District")

1.0 INTRODUCTION

- 1.1 WHEREAS Central Government is alleviating Poverty through the funding of the Implementation of the Poverty Eradication Action Plan and is providing funds to the District through the Poverty Action Fund for the implementation of core elements of the PEAP.
- 1.2 WHEREAS Central Government, through the Poverty Action Fund, is providing funds to the District specifically for the \_\_\_\_\_ sector in the form of the \_\_\_\_\_ Grant (hereinafter referred to as "the Grant"), the specific objectives of which are set out in the Guidelines for the Planning & Operation of the \_\_\_\_\_ Grant (herein referred to as "the Grant Guidelines")
- 1.3 WHEREAS Central Government has examined the District Annual Workplan for the Grant, which forms Annex 1 to this letter of understanding (hereinafter referred to as the Workplan).
- 1.4 WHEREAS Central Government confirms that the Workplan has been prepared in correspondence with the Grant Guidelines, adequately addresses the objectives of the Grant as set out in the Grant Guidelines and the needs of the District, is realistic and achievable, is in line with Government of Uganda Policy, and is within the budget ceilings provided by Central Government.
- 1.5 WHEREAS Central Government agrees to provide funds for the implementation of the activities identified in the Workplan.
- 1.6 WHEREAS Central Government has attempted to ensure that the budget ceilings provided accurately project the level of funding that will be available to the District in the \_\_\_\_\_ Government of Uganda Budget.

AND

- 1.7 WHEREAS the District has developed the Workplan in accordance with the Grant Guidelines, and with Central Government Policy, and the District has ensured that the Workplan addresses the needs of the poor citizens in the District.
- 1.8 WHEREAS the District has prepared the workplan within the budget ceilings provided by central government.
- 1.9 WHEREAS the District agrees only to implement the activities in the Workplan, using the funds provided by Central Government.
- 2.0 RESPONSIBILITIES OF THE DISTRICT
- 2.1 The District will make every reasonable effort to implement all the activities set out in the Workplan.
- 2.2 The District will implement the Workplan, plan and report on the use of funds, monitor activities and post public notices in accordance with the Grant Guidelines, and the General Guidelines for the Planning and Operation of Conditional Grants under the Poverty Action Fund (Hereinafter referred to as the "General Guidelines").
- 2.3 The District will submit a Quarterly Progress Report, Cumulative Progress Report and Budget Request to Central Government by the end of the first month after the close of the quarter to qualify for release of funds for that quarter, as specified in the Grant Guidelines and General Guidelines.
- 2.4 If the District encounters problems in implementation of the Workplan, it will seek technical assistance from Central Government or any other party in a position to provide the necessary support. On receipt of technical assistance, the District will act on this assistance, and make efforts to overcome any problems in implementation. If the District does not act on technical advice from Central Government it must give reasons for the same.
- 2.5 **Minor Changes in the Workplan**
- 2.5.1 In the event of differing circumstances and priorities, the District may reallocate up to 10% of funds within the annual budget of the Grant to different activities without seeking the prior approval of Central Government.
- 2.5.2 In the event of a change of less than 10% in the annual budget for the Grant, the District can change activities up to the value of the change in the annual budget without seeking approval prior of Central Government.
- 2.5.3 The District will write to Central Government (to the Permanent Secretary \_\_\_\_\_, copied to the Permanent Secretary, MoFPED) informing it of all changes in the Workplan.
- 2.5.4 Once successive changes to the Workplan have resulted in a cumulative shift in resources of more than 10% within the annual budget of a conditional grant, districts will write to Central Government (to the Permanent Secretary, \_\_\_\_\_, copied to the Director Budget, MoFPED) requesting confirmation of the acceptability of the changes before further minor changes in the Workplans can be enacted.
- 2.5.5 If under clause 2.5.4 no response has been received in writing from Central Government within 30 days from the respective line ministries, districts may undertake further minor changes to Workplans.

2.6 Major Changes in the Workplan

- 2.6.1 If the District requires to make changes in activities within a workplan which require a reallocation of resources greater than 10% within the Grant it will, before implementing the changes, write to Central Government (to the Permanent Secretary, \_\_\_\_\_, copied to the Director Budget, MoFPED) seeking authority to implement the changes. Only major shifts in the priorities of the District due to external factors (e.g epidemics, drought) will result in alterations being approved.
- 2.6.2 If there is a change in the annual budget greater than 10%, the District shall make changes to the Workplan and, before implementing the changes, it will write to Central Government (to the Permanent Secretary, \_\_\_\_\_, copied to the Director Budget, MoFPED) seeking authority to implement the changes. Only major shifts in the priorities of the District due to external factors (e.g epidemics, drought) will result in alterations being approved.
- 2.6.3 If under clauses 2.5.1 or 2.5.2 no response has been received in writing from the line ministry within 30 days from the respective line ministries, districts may commence implementation of the changed activities.

3.0 RESPONSIBILITIES OF CENTRAL GOVERNMENT

- 3.1 Central Government will fund the implementation of activities identified in the Workplan, and the implementation of any other activities resulting from changes in the Workplan, provided that the District has followed the procedures for altering the Workplan set out under clauses 2.4 and 2.5 of this Letter of Understanding and has acquired the necessary authority.
- 3.2 Provided that Central Government has received the required reports on time, as set out in the General Guidelines, Central Government will ensure that release of funds is made on time.
- 3.3 Central Government will not release funds if the required reports set out in 2.3 are not received.
- 3.4 Central Government will analyse all progress reports and Budget Requests submitted by the District. Each Budget Request will be considered on its own merit and if the funds released are below the Budget Request, Central Government must give reasons for the same in writing to the District.
- 3.5 Central Government will provide the District with technical assistance, given any reasonable request from the District within 30 days of receipt of the request.
- 3.6 Central Government will monitor the activities of the District, and provide the District with technical advice on the basis of observations from the monitoring.
- 3.7 Central Government will provide technical assistance for the preparation of workplans for next Financial Year (\_\_\_\_\_, \_\_\_\_\_)
- 3.8 Central Government will inform the District of any relevant changes in policy, Guidelines and budget allocations.
- 3.9 If the Ministry of \_\_\_\_\_ fails to provide technical assistance, or fails to process Budget Requests in a timely manner, without due reason, the Ministry of Finance, Planning & Economic Development will withhold release of the PAF funds for monitoring and accountability to the Ministry of \_\_\_\_\_. If the Ministry of \_\_\_\_\_ continues to fail in its aforementioned responsibilities, the Poverty Action Fund Committee, at the subsequent Poverty Action Fund Quarterly Meeting, will consider reducing or withholding release of funds to the non

wage recurrent budget of the Ministry of \_\_\_\_\_ until such time as it honours its responsibilities under this agreement.

3.10 Changes to the Workplan

3.10.1 Central Government will consider each request for authority to make changes to the Workplan on its own merit.

3.10.2 If the Central Government does not find proposed changes in a workplan acceptable, it must give reasons for the same, and suggest viable alternatives to the District.

3.10.3 Central Government will reply to any request for authority within 30 days of receipt of the same from the District. If there is no reply received within this time frame the District can enact the changes without authority from Central Government.

4.0 VALIDITY OF LETTER OF UNDERSTANDING

4.1 This letter of Understanding is valid from the date of signing until such time as Central Government has both received the Verified Cumulative Annual Progress Report for the Grant and any unspent funds, on the Bank Account for the Grant have been returned to Central Government in accordance with the Grant Guidelines and the General Guidelines.

4.2 Any modification to this Letter of Understanding shall be by mutual agreement of both parties.

For Central Government

For the District

\_\_\_\_\_  
Permanent Secretary

\_\_\_\_\_  
Chief Administrative Officer

Ministry of \_\_\_\_\_

\_\_\_\_\_ District

In the Presence of \_\_\_\_\_

In the Presence of \_\_\_\_\_



4C

CONTRACT AGREEMENT

DISTRICT: .....

CONTRACT NUMBER: ..... /.....  
(SCHOOL IDENTIFICATION CODE) / (SERIAL SFG PROJECT NUMBER AT DISTRICT)

This agreement is made on (day, month, year) : ..... Between

The SMC of ..... Primary School, identification code: .....

located at : Parish ..... Sub-county ..... , Bank account number: .....

AND (name, address, registration number, signature):

herein after called « The Contractor » . VAT number if any: ....., Bank account number: .....

1 Contract scope

1.1 The contractor hereby agrees to undertake and complete the execution of following works in accordance with the standard SFG technical specifications, drawings and schedule of rates, attached to the present contract:

	Unit Cost Ush	Total Cost Ush	Maximum SFG contribution	Estimated Community Contribution
Completion of: ..... Classrooms	.....	.....	.....	.....
Construction of: ..... Classrooms	.....	.....	.....	.....
Construction of: ..... Latrines	.....	.....	.....	.....
Furniture for : ..... Classrooms	.....	.....	.....	.....
<b>TOTAL</b>				

1.2 The Contribution of SFG shall not exceed the total amount of: ..... Uganda Shillings only

1.3 Every other cost of the Project, which is not financed by SFG shall be financed by the School Management Committee in the form of works accomplished and materials supplied.

1.4 Date of commencement of works shall be .....

1.5 Date of Practical completion shall be .....

1.6 Penalty rate for delay of Practical completion date shall be Ushs..... per day delayed.

1.7 The Construction/completion programme shall be:

- a) Foundations/ sub-structure walls / floor slab: ..... weeks
- b) Walling: walls, columns, ring beams, gable ends : ..... weeks
- c) Roofing: Roof trusses, purlins, roof sheets/ ridges: ..... weeks
- d) Finishing: Plastering, flooring, carpentry (doors and windows): ..... weeks
- e) Furniture ..... weeks from the Date: .....



**8. Termination of the contract**

- 8.1 The School has the right to terminate the contract without further payment if work is unsatisfactory, below standard, irregularly attended, delayed, or in any way not complying with the terms of the contract.
- 8.2 The Contractor has the right to terminate the contract on failure by the School to effect payment due within one month of the date of certificate of works for each stage.

**9. Supervision - certificate of works**

- 9.1 At any time during the period of contract works, the School shall be allowed to inspect the work. The School Building Committee or its authorised representatives shall inspect the works daily. The District Engineer or Supervisor of works, on behalf of the School, will inspect the works at every stage of work. He issues the certificate of works, approved by the School Management Committee, and gives instructions for the satisfactory execution of works. The signed records of these supervision meetings and certificate of works shall be considered binding and part of the Contract

Four copies of this contract agreement are to be signed by the Contractor, and the School Management Committee in the presence of the District authorities.

Signed and agreed on (date)/: .....

the CONTRACTOR

(full name and signature)

AND, on behalf of the School Management Committee:

by

Head teacher

(full name and signature)

ChairPerson of the School Management Committee

(full name and signature)

Approved by:

Chief Administrative Officer

District Education Officer

District Engineer

Copy 1: School Copy 2: Contractor

Copy 3: District Copy 4: Ministry of Education and Sports - CCU - audit.

**ANNEX 1 attached and bound to the letter of agreement/contract: Scheduled stages of construction to be considered for the payments**

**Completion of ..... classrooms**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Implementation	15%			
2. Ring beams, gable ends	20%			
3. Roofing: Truss, purlin, roof sheet, roof ridge	35%			
4. Finishing: Plastering, floor lab and screed, openings, paintings	25%			
5. Retention for defects period (six months)	5%			
<b>TOTAL</b>	<b>100%</b>			

**New Construction of ..... classrooms**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Implementation	10%			
2. Foundation/ sub-structure, floor slab	20%			
3. Walling: walls, columns, ring beams, gable ends	25%			
4. Roofing: Truss, purlin, roof sheet, roof ridge	25%			
5. Finishing: Plastering, floor screed, openings, paintings	15%			
6. Retention for defects period (six months)	5%			
<b>TOTAL</b>	<b>100%</b>			

**Construction of ..... Block of 5 stances latrines**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Foundations/ sub-structure	30%			
2. Walling	20%			
3. Roofing: structure/roof sheet	25%			
4. Finishing	20%			
5. Retention for defects period	5%			
<b>TOTAL</b>	<b>100%</b>			

**Supply of Furniture for ..... classrooms**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Advance purchase of materials	50 %			
2. Delivery of complete furniture	50 %			
<b>TOTAL</b>	<b>100 %</b>			

monitored on girls attendance and completion rates by the District Education Officer and by the Ministry of Education.

- 4.9 The School Management Committee shall allocate separate latrines in sufficient numbers to the girls specially those in P3 to P7.

## 5. Other contributions of the School Management Committee

- 5.1 As agreed during the field appraisal, the Community, represented by the School Management Committee will contribute to the improvement of the school by implementing the following works:

- Assistance with site clearance
- Plantation of at least 25 trees
- Repair or supply of a water source
- Repair or building of the school fence

- 5.2 These works should be achieved within 6 months of the end of the Construction Project. They will be inspected by the DEO and the District Engineer. The release of the retention guarantee (5% of the total contract amount) shall be on approval by the District Engineer that the works are satisfactorily completed.

## 6. Obligations of the District

- 6.1 The District government reimburses to the School Management Committee, by crediting the School Bank account, within one week of presentation of the Certificate of works for each stage of work, and according to the schedule herewith attached (see annexe 1). The Inspector of Education informs the School, the Parish and the Contractor of the date and amount of payments.
- 6.2 If necessary, the District will assist the School Management Committee to find a competent contractor and organise a cluster of contractors who will carry out the whole construction and /or supply of furniture. However, the responsibility of the final choice of the contractors is taken by the School Management Committee.
- 6.3 The District will appoint a District Engineer or Supervisor of works, to assist the School with the supervision of works. The District Engineer or Supervisor of works will inspect the works at every stage. He issues the certificate of works, approved by the School Management Committee, and gives instructions for the satisfactory execution of works. The signed records of these supervision meetings and certificate of works shall be considered as justification of payments.
- 6.4 In case of dispute between the School Management Committee and the contractor, The District will assist with the arbitration if a local arrangement by Local governments LCI, II, III could not be achieved.

**Three copies of this letter of agreement are to be signed by the District and the School Management Committee, in the presence of the ChairPerson of Parish. (Copy 1: School, Copy 2: District)**

Signed and agreed on (date):

On behalf of the District by:

Chief Administrative Officer

District Education Officer

on behalf of the School Management Committee by:

Head teacher

ChairPerson of the SMG

Witness

Chair Person of the Parish

(LCII)

**ANNEX I attached and bound to the letter of agreement/contract: Scheduled stages of construction to be considered for the payments**

**Completion of ..... classrooms**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Implementation	15%			
2. Ring beams, gable ends	20%			
3. Roofing: Truss, purlin, roof sheet, roof ridge	35%			
4. Finishing: Plastering, floor lab and screed, openings, paintings	25%			
5. Retention for defects period (six months)	5%			
<b>TOTAL</b>	<b>100%</b>			

**New Construction of ..... classrooms**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Implementation	10%			
2. Foundation/ sub-structure, floor slab	20%			
3. Walling: walls, columns, ring beams, gable ends	25%			
4. Roofing: Truss, purlin, roof sheet, roof ridge	25%			
5. Finishing: Plastering, floor screed, openings, paintings	15%			
6. Retention for defects period (six months)	5%			
<b>TOTAL</b>	<b>100%</b>			

**Construction of ..... Block of 5 stances latrines**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Foundations/ sub-structure	30%			
2. Walling	20%			
3. Roofing: structure/roof sheet	25%			
4. Finishing	20%			
5. Retention for defects period	5%			
<b>TOTAL</b>	<b>100%</b>			

**Supply of Furniture for ..... classrooms**

Number of stage, name of stage	% of Total	Total Project Cost Ush	Total SFG standard Contribution	Total Community Contribution
1. Advance purchase of materials	50 %			
2. Delivery of complete furniture	50 %			
<b>TOTAL</b>	<b>100 %</b>			

4D

**SCHOOL FACILITIES GRANT (SFG)  
LETTER OF AGREEMENT BETWEEN  
DISTRICT AND SCHOOL COMMUNITY**

**LETTER NUMBER:** ..... /.....  
(SCHOOL IDENTIFICATION CODE) (SERIAL SFG PROJECT NUMBER AT DISTRICT)

This agreement is made on (day, month, year): ..... Between

The District of: ..... and

The SMC of ..... Primary School, identification code: .....

located at : Parish ..... Sub-county ..... , Bank account number: .....

Authorised signatories of the bank account (Name , Position, specimen of signatories):

Chair Person of the School Management Committee                      Head Teacher

**1. Subject of agreement**

1.1 This letter of agreement fixes the modalities and condition under which SFG-PRISFAC will finance the improvement of the above-mentioned school's facilities.

1.2 The School Management Committee agrees to initiate the project from date:

..... and bring about its completion within a period of not more than  
..... months from the commencement of the project

1.3 The project, to be implemented according to SFG standard technical handbbook, consists of:

	Unit Cost Ush	Total Cost Ush	Maximum SFG contribution	Estimated Community Contribution
Completion of: ..... Classrooms	.....	.....	.....	.....
Construction of: ..... Classrooms	.....	.....	.....	.....
Construction of: ..... Latrines	.....	.....	.....	.....
Furniture for : ..... Classrooms	.....	.....	.....	.....
<b>TOTAL</b>				

2 The Contribution of SFG shall not exceed the total amount of: .....  
Uganda Shillings only

Every other cost of the Project, which is not financed by SFG shall be financed by the School Management Committee in the form of works accomplished and materials supplied.

### 3 Mode and stages of payments

- 3.1 It is agreed that payments will only be made for a stage of construction/supply that has been satisfactorily completed and approved by the Certificate of works.
- 3.2 The District will credit the School Bank Account with the amount authorised by the Certificate of works. The School Bank Account during the whole Project Duration is:

Account number : .....

opened in the Bank of.....

- 3.3 The scheduled stages of construction to be considered for the payments, attached in annexe 1, are bound to the letter of agreement. Without this annex, the letter of agreement is considered nil.

### 4. Obligations of the School Management Committee

- 4.1 The School Management Committee shall engage a competent contractor for construction of the said Project, and sign a SFG-PRISFAC Contract Model with the contractor. This Contract shall be approved by the District.
- 4.2 The School Management Committee shall promptly reimburse the Contractor when the School Bank Account is replenished by the District for each stage of work. Delay or failure of payments to the Contractor will result in immediate reimbursement of funds to the District and direct payment to the contractor by the District.
- 4.3 Every financial transaction related to the Project should be authorised by all current authorised signatories of the school bank account used by the Project. All payments to the Contractor must be evidenced by receipts. Every transaction should be recorded in the School book of account on the very same day the transaction occurred. The originals of receipts and bank documents are filed. The PRIMARY SCHOOL ACCOUNTING REGULATIONS will be strictly respected.
- 4.4 The Head teacher has responsibility for recording all financial transactions under the authority of the School Management Committee. The accounts of the School will be audited by the District and an independent auditor.
- 4.5 The School Management Committee shall take full responsibility for daily supervision of works, for checking the quantity and quality of works and materials provided on the site and for approving the Certificate of Works issued by the District Engineer.
- 4.6 The School Management Committee is co-responsible with the contractor for the storage, security and preservation of all construction materials and equipment on the site for the whole period of the contract works. Any misappropriation, damage or loss of materials shall be immediately notified to the ChairPerson of the Parish who will arbitrate the responsibilities. The responsible(s) will cover the loss and damages. The District shall be informed of the proceedings. The District will arbitrate if an arrangement could not be achieved at local level.
- 4.7 The School Management Committee agrees to take full responsibility for keeping the facilities tidy and assuring the regular maintenance of the facilities.
- 4.8 The School Management Committee agrees to assure equal access to the facilities for the boys, girls and disabled children. The number of girls enrolled each year shall, in as far as possible, never be below 48% of the total enrolments at the beginning and at the end of the year. The school will particularly assess, with the community, the reasons for which the girls drop out. It will take appropriate measures and incentives to bring the girls to the school and assure their regular attendance until the completion of P7. The beneficiary Schools will be



**MINISTRY OF EDUCATION AND SPORTS : SCHOOL FACILITY GRANT (SFG)**  
**SFG Budget Request Form 5**

DISTRICT:..... FY:..... BUDGET REQUEST FOR QUARTER:.....

No.	School Name	School Code	Subcounty	Stage of works at start of this quarter					Budget request for this quarter					Total amount requested	
				CC	NC	L	F	M	CC	NC	F	L	M		
1															
2															
3															
4															
5															
6															
7															
8															
9															
10															
11															
12															
13															
14															
15															
16															
17															
18															
19															
20															

*Note: Monitoring activities should be quantified in terms of number of monitoring visits to construction sites at the rate of shs 400,000 per site*

*Stage of works: Number of stage of works as indicated in the certificate of works e.g. Implementation : 1, Foundation: 2, .....*

Total Budget: Ushs .....

Balance Carried over: Ushs. ....

Total Budget request for the quarter (Total Budget minus Balance): Ushs .....

CAO/ Town Clerk:

Name : .....

Signature: .....

Date: .....

DEOMEQ:

Name : .....

Signature: .....

Date: .....

CFO:

Name : .....

Signature: .....

Date: .....

# MINISTRY OF EDUCATION AND SPORTS : SCHOOL FACILITY GRANT (SFG)

## SFG Quarterly Progress Report Form 6

DISTRICT:..... FY..... QUARTER:.....

No	School Name	School Code	Subcounty	Planned activities for the quarter					Budget for the quarter	Stage of works					Funds spent this quarter	Variance	Comments/Remarks			
				CC	NC	L	F	M		CC	NC	F	L	M						
1																				
2																				
3																				
4																				
5																				
6																				
7																				
8																				
9																				
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15																				
16																				
17																				
18																				
19																				
20																				

Note: Monitoring activities should be quantified in terms of number of monitoring visits to construction sites at the rate of shs 400,000 per site

Stage of works: Number of stage of works as indicated in the certificate of works e.g. Implementation : 1, Foundation: 2, .....

Balance at end of previous quarter: Ushs ..... Funds received this quarter Ushs----- Actual spending this quarter Ushs----- Balance on Account Ushs.....

CAO/Town Clerk:  
 Name :.....  
 Signature:.....  
 Date:.....

DEO/MEO:  
 Name :.....  
 Signature:.....  
 Date:.....

CFO:  
 Name :.....  
 Signature:.....  
 Date:.....



**MINISTRY OF EDUCATION AND SPORTS : SCHOOL FACILITY GRANT (SFG)**  
**SFG Cumulative Progress Report Form 7**

DISTRICT:..... FY.....REPORTING PERIOD (QUARTERS).....

No	School Name	School code	Subcounty	Annual workplan					Annual Budget	Funds released todate	Stage of works					Funds spent todate	Balance	Comments/Remarks
				CC	NC	L	F	M			CC	NC	F	L	M			
1																		
2																		
3																		
4																		
5																		
6																		
7																		
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18																		
19																		
20																		

Note: Monitoring activities should be quantified in terms of number of monitoring visits to construction sites at the rate of shs 400,000 per site

Stage of works: Number of stage of works as indicated in the certificate of works e.g. Implementation : 1, Foundation: 2, .....

Funds received todate: Ushs:.....

Actual spending todate: Ushs:.....

Balance on Account todate: Ushs:.....

CAO/Town Clerk:

DEO/MEO:

CFO:

Name :.....

Name :.....

Name :.....

Signature:.....

Signature:.....

Signature:.....

Date:.....

Date:.....

Date:.....

8

**CERTIFICATE OF WORKS  
FOR CIVIL WORKS/FURNITURE**

**MINISTRY OF EDUCATION AND SPORTS  
SCHOOL FACILITIES GRANT  
SFG 1999**

District: ..... Sub-county ..... Parish.....  
 School : ..... Contract No: .....  
 School code.: ..... Start-up date: .....  
 School Account number: ..... Expected completion date: .....

Certificate No: ..... serial number of certificate for the school

1. Visit number ..... to the school
2. Scope of work: ..... new classroom, ..... classroom completion, .....latrines, ..... classroom furniture
3. Quality of work:  Conforms to SFG standards  Does not conform
4. Instructions:

**5. Progress of work and Value of satisfactory work to be paid according to annex 1 of the contract**

	Progress of work			To be paid as per this certificate of works		
	Total number started	Number and name of stage of works according to annex 1	% annex 1	TOTAL stage Ush	SFG Contribution Ush	Community Contribution if any Ush
New Classrooms						
Classroom Completion						
Latrines						
Water supply						
		<b>TOTAL CIVIL WORKS</b>				
Cl.r. Furniture						
		<b>TOTAL CIVIL WORKS+ Furniture</b>				

6. Amounts previously certified :  
 7. Contractor's name and signature certifying reception of previous amounts:  
 Name: ..... Signature: .....

We the undersigned declare that the stages of works mentioned-above are executed completely, satisfactorily and conform to the technical and financial specifications of the contract. We ensure that all of the information contained in the certificate is correct and true. We understand that any false certificate will result in immediate cancellation of the Grant and the reimbursement of the previously-received-amounts to the Ministry of Finance.

1. District Engineer/Supervisor  
 Name: .....  
 Date: .....  
 Signature: .....

2. Chair Person of The School Management Committee  
 Name .....  
 Date: .....  
 Signature: .....

3. Chair person of LCII  
 Name: .....  
 Date: .....  
 Signature: .....

4. He  
 Name .....  
 Date: .....  
 Signature: .....

**PAYMENT AUTHORISATION  
for SFG contribution only**

DEO (date-signature) .....

CAO (date-signature) .....

CFO (date-signature) .....

CIA (date-signature) .....

Paid by check number: .....

To account number: .....

school  contractor

District: Sub-county Parish: School: Contract No: School code: Start-up date: School Account number: Expected completion:

Monitoring Certificate No:

Scope of work: new classroom, classroom completion, latrines, classroom furniture

- Quality of work: Conforms to SFG standards
Stage of progress of work: Implementation of buildings on the site under District Engineer Supervision
Roofing including roof structure, roof sheets, ridges

No of visits to the School: Field Appraisal Site supervision Other (explain motives of visits)

TOTAL

No of certificate of works attached:

Amount of District Monitoring expenditure as per this certificate: Ush Only

Amount of District Monitoring expenditure for this school previously certified: Ush

Amount of District Monitoring expenditure for this school previously received: Ush

We the undersigned declare that the stage of works mentioned-above is executed satisfactorily and conform to the technical specifications of SFG. We ensure that all of the information contained in this certificate is correct and true. We understand that any false certificate will result in immediate cancellation of the Grant and the reimbursement of the previously-received-amounts to the Ministry of Finance.

1. District Education Officer

2. District Engineer/Supervisor

Name: Date: Signature: Name: Date: Signature:

3. Chief Administrative Officer

2. CIA

Name: Date: Signature: Name: Date: Signature:

Data on transfer from District SFG Bank account to the District Bank account no.: Date: Cheque no. Bank statement no. CFO: Signature:

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SFG BANK ACCOUNT  
SFG CASH BOOK  
(PAYMENTS)

DISTRICT: .....

MINISTRY OF EDUCATION AND SPORTS  
SCHOOL FACILITIES GRANT  
SFG 1999  
COPY MONTHLY TRANSMITTED TO MoES

No.	Date	Cheque number	School name	School Code	number of stage of works				Total New cr Ushs	Total completion Ushs	Total Latrines Ushs	Total furniture Ushs	Grand Total Ushs	DISTRICT monitoring expenditure
					New cr	comple tion	furni- ture	Lat- rines						
					TOTALS brought forward									
					TOTALS ( carry forward)									

Stage of work: Number of stage of work indicated in the certificate 8. Example: new classroom implementation: 1, foundation 2, ....

