KINGDOM OF LESOTHO

TECHNICAL ASSISTANCE TO THE GOVERNMENT OF LESOTHO
FOR CAPACITY BUILDING, SKILLS TRANSFERS, SCALE UP AND
TRANSITIONAL ARRANGEMENTS UNDER THE LESOTHO CHILD
GRANTS PROGRAMME

INTEGRATED SOCIAL SAFETY NETS PILOT
OPERATIONS MANUAL

DECEMBER 2014

PREPARED FOR:
THE GOVERNMENT OF LESOTHO AND UNICEF

PREPARED BY:
AYALA CO
## ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>CC</td>
<td>Community Council</td>
<td></td>
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<tr>
<td>ISSN</td>
<td>Child Grants Programme</td>
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<tr>
<td>ED</td>
<td>Electoral Division</td>
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<td>EU</td>
<td>European Union</td>
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<td>GoL</td>
<td>Government of Lesotho</td>
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<td>HHs</td>
<td>Households</td>
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<tr>
<td>ICO</td>
<td>Information and Communications Officer</td>
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<td>IEC</td>
<td>Information Education and Communication</td>
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<tr>
<td>ISSN</td>
<td>Integrated Social Safety Net</td>
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<tr>
<td>IT</td>
<td>Information Technology</td>
<td></td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<tr>
<td>MIS</td>
<td>Management Information System</td>
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<tr>
<td>MOSD</td>
<td>Ministry of Social Development</td>
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<td>MRT</td>
<td>Mobile Researcher Technology</td>
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<tr>
<td>NISSA</td>
<td>National Information System for Social Assistance</td>
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<tr>
<td>OM</td>
<td>Operations Manual</td>
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<tr>
<td>OAP</td>
<td>Old Age Pension</td>
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<tr>
<td>OVC</td>
<td>Orphans and Vulnerable Children</td>
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<td>PA</td>
<td>Public Assistance</td>
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<td>PIC</td>
<td>Public Information Campaign</td>
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<td>PMT</td>
<td>Proxy Means Test Formula</td>
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<td>PO</td>
<td>Partner Organization</td>
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<td>TOR</td>
<td>Terms of Reference</td>
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<tr>
<td>TOT</td>
<td>Trainer of Trainers</td>
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<tr>
<td>SSN</td>
<td>Social Safety Net</td>
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<tr>
<td>SP</td>
<td>Social Protection</td>
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<tr>
<td>UNICEF</td>
<td>United Nations Children’s Fund</td>
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<tr>
<td>VAC</td>
<td>Village Assistance Committee</td>
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I. INTRODUCTION

A. BACKGROUND

Lesotho has one of the highest adult HIV/AIDS prevalence rates in the world. The pandemic has already had a considerable effect in Lesotho and has increased the development challenges experienced by the country. The current complex humanitarian crisis in Lesotho is attributed to poverty, drought and the HIV/AIDS epidemic. With an HIV/AIDS prevalence rate of 23.6% among adults aged 15-49 and a total population of around 1.8 million, the death of thousands of productive members of society as a result of HIV/AIDS has compounded the impact of poverty on children and youth. There are over 230,000 orphaned children, of which an estimated 130,000 have lost their parents due to HIV/AIDS.

Poverty, the HIV/AIDS pandemic and food insecurity are currently the biggest threats to the survival, care, protection and development of children in Lesotho. In this context, the opportunity for children to survive and thrive depends upon the twin pillars of protection and provision of basic services. Social safety nets (SSNs) are designed to reduce poverty and protect the poor and vulnerable from unpredictable shocks and are an important component of effective development strategies.

Responding to those challenges, UNICEF and the Government of Lesotho (GoL) introduced a child grant geared towards orphans and vulnerable children (OVC), funded by the European Union (EU). The Lesotho Child Grant Programme (ISSN) is a component of a larger OVC project, which seeks to respond to the particular risks faced by children in the high HIV/AIDS and poverty context of Lesotho.

The Government of Lesotho (GoL) is in the process of consolidating its Social Protection (SP) System to improve the lives of vulnerable HHs within the Kingdom of Lesotho. The current SP package in Lesotho is primarily focused around various social assistance programmes, some of which are managed and implemented by the Ministry of Social Development (MOSD). As part of the process of strengthening the SP System, the GoL has decided to pilot an Integrated Social Safety Nets (ISSN) system for two (2) years.

The objectives of the ISSN Pilot are to: i) establish, test and demonstrate the capacity and the ability of the GoL to deliver social safety nets ii) develop the tools needed for
integration; and iii) increase the efficiency of each program to reduce costs, improve coverage, and foster transparency.

The ISSN Pilot will include Lesotho’s four (4) main cash transfer programmes, namely the Child Grants Programme (ISSN), the Old Age Pension (OAP), Orphans and Vulnerable Children (OVC) Bursary and the Public Assistance (PA) Programme. These specific programmes were chosen as they share similarities in design.

This manual describes the institutional arrangements, design parameters and processes for ISSN to use as expansion progresses. It is divided into six (6) chapters. Chapter I introduces a short outline of the programme. Chapter II presents then illustrates the organizational structure needed for the implementation of ISSN Pilot. Chapter III provides the ISSN design parameters and Chapter IV goes over each step of implementation – the process cycle. Chapter V explains how monitoring and evaluation should be carried on during all stages of the ISSN Pilot. Chapter VI, the conclusion briefly summarizes the main aspects of the ISSN Pilot.

B. OBJECTIVES OF THE OPERATIONAL MANUAL

This Operations Manual (OM) describes the detailed operations of the ISSN Pilot. Its general objective is to provide all operational and implementation guidelines for smooth, effective and efficient delivery of services under the ISSN Pilot.

The specific objectives of the OM are to:

- Serve as a reference document for all stakeholders and enable them to understand the process, approach, implementation, design, and activities under the Programme;
- Propose implementation arrangements for Programme operation;
- Guide the Programme operation, especially the functions to be performed by each stakeholder.

This OM and its Annexes (each of which provide more details on a single process or parameter of the ISSN Pilot) will regulate and provide guidance for the ISSN Pilot. However, if any adjustments or modifications are required during the course of
implementation, the ISSN Pilot will incorporate such changes in consultation with the SP Manager and key Programme stakeholders.

C. OM USERS
The OM is written for ISSN team members and other stakeholders who directly or indirectly participate in the implementation, financing and/or administration of the ISSN Pilot. The OM is intended to provide detailed instruction on all topics related to management, operations and organizational structure of the ISSN Pilot. The OM aims to provide a user-friendly foundation and context for understanding the ISSN Pilot.

D. KEY COMPONENTS OF THE OM
The OM consists of a main document (this document), which provides a general overview over the programme as a whole, including the major design parameters and project cycle. The main document is supported by Technical Annexes, each of which deals solely with a particular parameter or process in depth.

The OM has six (6) Annexes that contain specific, detailed, comprehensive guidelines describing a specific process or parameter, and detailing its complete work processes and materials. The six (6) Annexes are:

- Annex B: Enrolment Manual
- Annex C: Payments Manual
- Annex D: Case Management Manual
- Annex F: Exit Policy

Each Annex may contain multiple Sub-Annexes, which are additional technical documents including guidelines for specific staff involved in a due process, procedures to complete forms, and how to carry out the implementation of ISSN Pilot at the field level.
II. STAKEHOLDERS ROLES

This chapter provides a comprehensive overview of the institutions involved in the implementation of the ISSN Pilot. The organizational structure is the hierarchical framework within which lines of authority and allocation of rights and duties are explained. Structure determines the manner and extent to which roles, power, and responsibilities are delegated, controlled, and coordinated. Also, it defines the flow of information between levels of management.

The organizational structure of the ISSN Pilot is displayed in the following figure. The structure differentiates between three (3) levels: Central, District, Community Council (CC)Level. Besides the internal institutions involved, it also includes external actors that are involved in implementation or service delivery without being directly involved in the management of the ISSN Pilot.

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1 The MOSD is currently undergoing a reform process. This Manual presents the new structure, but will still refer to the previous structure’s roles at District Level, where the new structure has yet to be implemented.
Additionally, in the figure below is the functional organizational structure of the ISSN Pilot incorporating the other ministries involved in the process and implementation of the Pilot.

Figure 2: Functional Organizational Structure

A. CENTRAL LEVEL
1. Ministry of Social Development
The MOSD has undergone a number of structural changes which has seen the ISSN Unit being dissolved and its management being placed within the Social Protection Services Department together with other Social Assistance programs like Public Assistance and OVC Bursary. Other implementation responsibilities of these programmes are done by other departments within the Ministry.

For purposes of this manual, a focus will be made on the core departments which support the implementation of the ISSN Pilot, namely the SP Services Department, the Department of Planning and Information (DPI), the IT Department and the Community Development (CD) Department.

a) Social Protection Services Department

Within the SP Services department, the following staff are responsible for the implementation of the ISSN Pilot:

i. Director SP Services
   - Provide oversight to implementation of the ISSN;
   - Coordinate delivery of the ISSN;
   - Develop and manage ISSN partnerships.

ii. SP Manager
   - Provides overall management and leadership of all processes related to the implementation of the ISSN;
   - Supervises and coordinates ISSN work with Districts and CCs;
   - Ensures that ISSN is being implemented in line with the set processes and in line with the overall SP strategy.

iii. SSN Manager
    The SSN Manager plays a fundamental role in the implementation of the ISSN Pilot. For the pilot’s purposes, the SSN Manager coordinates, leads, and manages most activities, under the supervision of the SP Manager.

iv. Senior SP Officer (Payments – ISSN)
    - Responsible for the timely delivery of payments to all beneficiaries;
· Handles payment complaints at all levels, in coordination with the CD Officer responsible for CM;
· Liaises with the payment agencies;
· Prepares annual and detailed quarterly payment schedules and requests for transfers for submission to the SP Manager;
· Conducts monitoring exercises during payment;
· Responsible for beneficiary payment reconciliations.

v. Senior SP Officer (ISSN)
· Responsible for all day-to-day operational activities of the ISSN;
· Trains different levels in ISSN processes;
· Supervising and monitoring field work;
· Prepares budgets for various activities in the ISSN implementation cycle.

vi. NISSA Unit
The NISSA Unit is responsible for the NISSA MIS, and the implementation of processes within NISSA. This Unit is fully responsible for the entire ISSN Data Collection aspect of the Targeting Process and its design and implementation.

b) Department of Planning and Information
This department provides support to the ISSN mainly in the areas of M&E and IEC activities as follows:

i. M&E Officer
· Responsible for all M&E activities pertaining to the ISSN;
· Facilitate the execution of all external evaluation exercises;
· Analyse Program data provided by the MIS;
· Conduct regular visits to the field to monitor activities;
· Generate monitoring reports from the MIS.

ii. IEC Officer
· Responsible for public and media relations within the ISSN;
• Prepares Communication Campaign Strategies in coordination with the Senior SP Operations Officer (ISSN);
• Leads the design process of all ISSN audio, visual and print material.

c) IT Department
The IT Department mainly supports the ISSN in regards to the ISSN-MIS and its linkages to NISSA. The department supports the ISSN team in these specific tasks:
• Responsible for the administration, performance, integrity and security of the ISSN Beneficiary database;
• Supports data entry;
• Collaborates with ISSN staff to discuss, analyse or resolve usability issues;
• Advises the SP Manager of any necessary system upgrades to the ISSN MIS;
• Responsible for updates to the ISSN MIS;
• Applies required operational procedures to ensure continued operation of ISSN database environment;
• Ensures storage, archiving, backup, cross-checks;
• Integrates databases of other programs as required.

d) Community Development Department
The CD Department provides Case Management Support for the ISSN. The Senior Community Development Officer is the officer mainly responsible for Case Management related activities such as:
• Supervising District Offices in CM;
• Handles Updates, Appeals and Complaints;
• Analyzing Case Management data provided by the MIS;
• Produces Case Management reports.

2. MINISTRY OF FINANCE
As owners of the OAP, the MoF’s role is to share information with MOSD as well as to liaise with the Department of SP in the planning and implementation of the pilot as it relates to OAP.

B. DISTRICT LEVEL
At District Level, implementation of the ISSN is mainly carried out by the MOSD District Officers. The Officers who are responsible for ISSN activities are:

- Manager District
- Child Protection Officer
- Social Assistance Officer

These Officers carry out the following tasks for ISSN:

- Overseeing field operations;
- Secure coordination between all Community Council Offices in the District;
- Ensuring equal quality of service delivery across the District;
- Mediates in case of any arising conflicts amongst beneficiaries and or non-beneficiaries;
- Provides support during ISSN processes such as Validation and Enrolment;
- Provides CM support.

C. COMMUNITY LEVEL

The two main parties responsible for the ISSN at Community Level are:

1. Social Service Assistant

   - Carry out Community Mobilisation (*in liaison with POs where required*);
   - Acts as the main link between the district level and the community;
   - Communicate proposed solutions from Central / District level to the beneficiaries
   - Carry out home visits to monitor beneficiaries;
   - Provide input for planning and logistics at CCLevel;
   - Supports all ISSN Processes: Targeting, Enrolment, Payments and CM.

2. Village Assistance Committees

The Village Assistance Committees (VACs) play an incomparable role in the ISSN. As residents of the community, they know the Villages best, and able to provide ample local

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2 Known as the District Child Welfare Officer (DCWO) in the previous structure.
3 Known as the Auxiliary Social Welfare Officer (ASWO) in the previous structure.
knowledge on households and terrain. Their support is needed in most ISSN Processes – Targeting, Enrolment, CM, and Payments. One VAC is comprised of the following:

- The Village Chief, representing the Village;
- 1 Community Councillor, representing the local government;
- 1 District Social Service Assistant representing MOSD;
- 2 other respected members of the local community.
III. DESIGN PARAMETERS

This chapter describes the design parameters for the ISSN Pilot including objectives of the Programme, eligibility criteria, targeting, enrolment, case management along with procedures for filing of appeals, updates, requests and complaints, payment levels and criteria, and exit strategy.

A. OBJECTIVES OF THE ISSN PILOT

The overall objective of the ISSN Pilot is to break the inter-generational transmission of poverty through investments in the human capital development of beneficiary HH’s children, elder especially in health and education and to alleviate current poverty through a monetary transfer.

The specific objectives of the ISSN Pilot, within the MOSD’s SP strategy are the following:

1. Support the efforts of the GoL to enhance the effectiveness of spending on non-contributory social assistance programmes;
2. Improve the efficiency of SP System by targeting important social assistance programmes to promote poverty reduction and human capital development;
3. Increase effectiveness of each programme to reduce costs, improve coverage, and foster transparency; and
4. Strengthen the capacity of the MOSD to deliver several cash grants at the same time to HHs by developing the tools needed for integration.
5. Providing a common entry point for integrated systems.

B. ELIGIBILITY CRITERIA

Eligibility Criteria are certain specified qualifications which determine whether a HH is eligible for participation in each SSN programme. In order to be selected for the ISSN Pilot, HHs must meet a series of eligibility criteria, based on HH composition and poverty level. Table 1 below illustrates the eligibility criteria for each programme within the ISSN Pilot.
### Table 1: Eligibility Criteria per Programme

<table>
<thead>
<tr>
<th>Eligibility Criteria per Programme</th>
<th>CGP</th>
<th>OAP</th>
<th>OVC</th>
<th>PA</th>
</tr>
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<tbody>
<tr>
<td>NISSA 1 and 2</td>
<td>70 years and over</td>
<td>NISSA 1 and 2</td>
<td>NISSA 1 and 2</td>
<td></td>
</tr>
<tr>
<td>Caring for at least one child under 18 yrs</td>
<td>Not receiving Civil Servants Pension</td>
<td>Enrolled in Secondary School</td>
<td>Without any children</td>
<td></td>
</tr>
<tr>
<td>Approved by the VAC</td>
<td>Approved by the VAC</td>
<td>Approved by the VAC</td>
<td>Approved by the VAC</td>
<td></td>
</tr>
<tr>
<td>Living within an ISSN selected area</td>
<td>Citizen of Lesotho</td>
<td>Be aged 12-17 years old</td>
<td>Living within an ISSN selected area</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Living within an ISSN selected area</td>
<td>Living within an ISSN selected area</td>
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#### C. TARGETING

Data Collection is the first stage of the Targeting Process. The ISSN Data Collection Process incorporates capturing data for HHs missing from the NISSA Database as well as HHs who believe that they did not take part in the NISSA HH Survey. Specifically, this process covers the gaps in areas covered by NISSA, therefore ensuring maximum coverage.

Community Validation is the final stage of the Targeting Process. Community Validation incorporates local knowledge and adds a humanistic dimension to the overall process. This process asks the VACs to verify which HHs are amongst the poorest of the poor and which are not. Ultimately, this process leads to the actual selection of beneficiaries (*HHs that meets the eligibility criteria of the ISSN Pilot are identified by matching results from the Community Validation Process against data and results from the NISSA Database*) for various SSNs that exist within Lesotho.

#### D. APPLIATION OF QUOTAS

Quotas are applied within each SSN if the funds allocated for that programme are not sufficient to cover all eligible HHs. After review of the number of eligible HHs the MOSD and MOF must determine how many HHs they can financially cater for. Quotas can be applied the District or Community Council. When quotas are applied, HHs are chosen from the top of the priority ranking list, which is made according to ranking system as defined in *Annex A: Targeting Manual*. 
E. ENROLMENT
Eligible HHs are identified through a dual process comprised of two (2) ‘tests’ of eligibility, both of which must be met by the HH in order for them to be considered eligible:

**QUANTITATIVE PROCESS**
(NISSA) + **QUALITATIVE PROCESS**
(VACs) = **ELIGIBLE**

**QUANTITATIVE PROCESS**
(NISSA) + **QUALITATIVE PROCESS**
(VACs) = **INELIGIBLE**

**QUANTITATIVE PROCESS**
(NISSA) + **QUALITATIVE PROCESS**
(VACs) = **INELIGIBLE**

**QUANTITATIVE PROCESS**
(NISSA) + **QUALITATIVE PROCESS**
(VACs) = **UNKNOWN**

**QUANTITATIVE PROCESS**
(NISSA) + **QUALITATIVE PROCESS**
(VACs) = **INELIGIBLE**

Under the quantitative process, the programme makes use of the NISSA MIS, to identify HHs that meet the eligibility criteria. The programme then makes use of a community-based tool (Community Validation) whereby trained VACs identify eligible HHs based on their personal knowledge of the HH.

Only those HHs that are identified as eligible by both NISSA and the community are called for Enrolment.

Once HHs are entered into the NISSA MIS and categorized (NISSA 1, 2, 3, 4 and 5), an automatic ranking occurs placing the HHs in order from most eligible to least eligible.
1. Ranking of Households

Once HHs meet the eligibility criteria for the ISSN Pilot, the MIS automatically ranks these HHs from most eligible to least eligible. The ranking process considers the following variables for each programme within the ISSN Pilot.

a) CGP

For CGP, HHs are ranked in descending order from most vulnerable to least vulnerable according to their NISSA category and CGP Score. The MIS will calculate the HH’s score by adding together the number of children under the age of 12, the total number of HH members, the number of orphans under the age of 18, and the number of HH members with a disability. The HH with the highest CGP Score in NISSA 1 will be ranked as number 1 and thereafter all HHs belonging to the same category will be listed in order of descending scores. The same process applies to all HHs classified as belonging to NISSA 2. Regardless of CGP Score, HHs in NISSA 1 are given priority and thus ranked higher than HHs in NISSA 2.

b) OAP

HHs eligible for this programme have a universal right and thus, are not ranked.

c) OVC Bursary

For OVC Bursary, HHs are ranked based on poverty status, HH composition and orphan status. These variables are based in order of priority. Figure 7 below illustrates the order in which each variable is applied.

Figure 3: Ranking for OVC Bursary Beneficiary Selection
As illustrated above, poverty (*NISSA 1 and or NISSA 2*) is the first variable applied for the ranking of OVC Bursary eligible HHs. If two (2) HHs have the same status, the second variable (Doubled Orphan) is applied. If the both HHs have doubled orphans then the third variable (Disabled Child) is applied and so on. In the event that one (1) out of the two (2) HHs have a doubled orphan and the second HH has a disabled child, the HH with a doubled orphan is of higher priority based on vulnerability than that of the HH with the disabled child.

These five (5) variables are used in order to select which of the two (2) HHs will move forward in the next stage of the Targeting Process.

*N.B:* Regardless of the priority ranking applied, OVC Bursary HHs categorized in NISSA 1 are given priority.

d) PA

HHs that are found to be eligible for PA, are ranked based on poverty status.

2. Application of Quotas

Quotas are applied within each SSN if the funds allocated for that programme are not sufficient to cover all eligible HHs. After review of the number of eligible HHs the MOSD and MOF must determine how many HHs they can financially cater for. Quotas can be
applied the District or Community Council (CC). When quotas are applied, HHs are chosen from the top of the priority ranking list, which is made according to ranking system.

3. Enrolment Methods
There are two methods which can be used to Enrol HHs into the ISSN Pilot. These are:

   a) Enrolment Events
Enrolment Events are the main method through which Enrolment will be carried out for the ISSN Pilot. These Events are held at a central point within a Community Council. Each Potential Beneficiary HH is invited to the Enrolment Event.

   b) Continuous Enrolment
Continuous Enrolment caters for HHs which were either unable to attend an Enrolment Event, or are invited once MOSD has determined that they are able to add on more HHs to the programme.

F. PAYMENTS
The Payments Process is the mechanism through which beneficiaries of the ISSN Pilot are entitled to receive their cash transfer payments. This crucial process will be carried out quarterly for beneficiaries of ISSN, OVC and PA, and monthly for beneficiaries of OAP. The Payment Process entails the following:

   - Informing beneficiaries about their rights and responsibilities in the Payment Process;
   - Procedures for the disbursement of cash transfers;
   - Special cases and their resolutions; and
   - Payment software and other technology used in the process.

G. CASE MANAGEMENT
CM is the mechanism used to address Beneficiary issues that may arise, such as complaints and appeals; and to update a beneficiary’s information due to change of address or HH composition. Case Management ‘cases’ can be of two types: i) Demand-side: initiated by Households; or ii) Supply-side: initiated by the Programme.
1. Demand-Side Cases

a) Updates in Household Information

Used to report any changes household structure, usually essential in the determination of eligibility, communications with the HH, or payment delivery. Can occur due to either normal changes over time or to data collection errors. The types of updates are:

- Update of Household Member Information
- Addition of New Household Member
- Exit of Household Member
- Change of Household Head
- Change of Payee Information (New Payee or updating information of the Payee)
- Update of the Education Facility used by OVC Bursary Beneficiary Children
- Change of Address
- Change of Payment Site
- Voluntary Exit from ISSN Programme(s)

b) Payment Claim

Used to report a problem with payment, either because the amount paid was incorrect or never received. This can occur because of a process error, fraud, or a misunderstanding.

c) Quality Complaints

Used to complain about the quality of services provided by any MOSD staff, VACs, Payment Agencies and any other relevant entity involved in the ISSN Pilot. This can occur because of corruption, poor quality of service, poor planning of communication/mobilization, or refusal to accept Enrolment or CM form.

a) Appeals

Used by non-beneficiary HHs who feel they are eligible to participate in any of the ISSN programmes. The most common occurrences of appeals are: (i) HH was not interviewed for NISSA; (ii) HH conditions have changed; (iii) dispute of restriction or removal; (iv) HH moved back to his original ISSN CC area (where he was living when s/he started receiving the ISSN payments) after having moved out of it (not for OAP); (v) HH moves from a selected ISSN CC to another selected ISSN CC or to a non-ISSN area which has the programme its members are enrolled in (not for OAP).
d) Denouncements
Used by any individual, ISSN-associated or not, to report to the MOSD staff if they think that a beneficiary HH is ineligible to participate in the ISSN Pilot or if they feel that a beneficiary HH is violating the regulations of the programme(s) they are enrolled into. Some of the reasons for filing a denouncement are: (i) misuse of the ISSN / OVC Bursary / PA benefits; (ii) being wrongfully selected by the VAC; (iii) moving out of the area; (iv) conditions improved and no longer needs the benefits; (v) thought to be non-poor and / or not care for children; (vi) beneficiary of OAP deceased but not reported.

e) Requests for Replacement of MOSD Payee ID and/or Payment Book
Used to request a replacement for the beneficiary’s MOSD Payee ID and/or Payment Book in case these are missing or unusable.

f) Request for Exemption from Compliance with Conditionalities (for the OVC Bursary recipients):
Used when a OVC Bursary beneficiary HHs feel they have compelling reasons (e.g. the school did not receive the funds therefore the child could not attend full year) for exempting one or more of their children from compliance with the programme’s rules.

2. Supply-Side Cases
Supply-side cases are cases identified by the MIS that may imply a change in HH’s eligibility status or payment parameters (i.e. possible removal from the programme, change in payment amount, etc.). There are three main types of supply side cases:

a) Alerts
Notices generated by the MIS of circumstances that could change a a HH’s status such as: (i) reminders for HHs to present birth certificates; (ii) warnings to HHs that missed one or two consecutive payments; and (iii) notifications to HHs who will be removed from the programme.
b) Restrictions

Restrictions are when beneficiaries are automatically restricted from the programme if they no longer meet criteria, such as no longer have children in the HH (in the case of CGP), having children in the HH (in the case of PA), or failing the academic year (in the case of OVC Bursary). This is monitored by the MIS through the Payments Module. If a beneficiary’s circumstances change and they meet the programme criteria at a later point in time will are automatically reactivated in the programme.

c) Exits

Exits refer to when beneficiaries are permanently removed from the programme and can only be reactivated through case management. When exiting HHs from the programme, the MIS generates a letter that should be printed and delivered to the HH.

H. EXIT POLICY

In the ISSN there are several reasons one can exit or be restricted from the programme, some common to multiple programmes and some specific to one. Beneficiaries from all SSNs are exited due to:

- **Relocation:**
  If the HH moves to an area not covered by ISSN or is not a selected ISSN Community Council (CC), this HH will be removed from the programme. However, if the HH moves to another area (covered by ISSN), this HH will be handled by MOSD on a case-to-case basis. It is important to note that even though this situation is treated in this manner, based on the resolution of this case, the HH could be removed from the programme.

- **Voluntary Exit:**
  This applies in the event the HH decides, for any reason, to voluntarily abandon the programme.

The other reasons for exiting is explained below for each SSN:
1. OAP
   Death
If a beneficiary passes away he/she is immediately exited from the programme.

2. PA
   New Children:
If a PA beneficiary HH has children it migrates to CGP if resources allow.

   Absence in three consecutive payment cycles:
If a beneficiary HH has not attended three (3) consecutive payments$^4$, the HH will not receive future payments and therefore will be exited from the programme.

3. OVC Bursary
   Failure to pass a grade:
If a beneficiary does not pass the academic year, he/she is restricted from OVC Bursary.

   Two consecutive fails:
If a beneficiary fails the grade two (2) years in a row, he/she is exited from the programme.

   Graduation
If a beneficiary graduates from secondary school he/she exits the programme.

4. CGP

$^4$In this case payments refers to payment events, not payment cycles because sometimes two payment cycles can occur at the same time (double payment).
No more children
This condition is applied to HHs in which all previously eligible children have turned 18 years old and there are no more children eligible according to the programme. In this case, the HH has the option of migrating to PA if resources allow.

Failure to provide birth certificates
In the event that a HH has not submitted any birth certificates, this HH is given two warnings, one generated (at the generation of payments) to inform HHs, two (2) payments in advance and the second warning one payment in advance, to submit at least one birth certificate for children residing in the HH in order to remain a beneficiary. In the event that the HH still has not submitted any birth certificates at the generation of the third payment, the HH is informed that they have been restricted from the programme.

Missed Payments
If a beneficiary HH has not attended three (3) consecutive payments transfer and missed in total three consecutive payments, the HH will not receive future payments and therefore exited from the programme.

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5In this case payments refers to payment events, not payment cycles because sometimes two payment cycles can occur at the same time *(double payment)*
IV. PROCESS CYCLE

This chapter outlines the process cycle of the ISSN Pilot. The process cycle is the chain through which the programme evolves. The ISSN programme cycle is summarized below in Figure 3. All processes included in this chain will be described in this section.

**Figure 2: ISSN Pilot Process Cycle**

The ISSN Pilot process cycle is composed of four main phases: Beneficiary Selection, Enrolment, Payments and Case Management. During the cycle beneficiaries might interact with each ISSN Programme by updating their data, filing Appeals in case of non-selection and filing of Complaints on any ISSN Programme performance – all those processes are part of the Case Management system. The whole cycle is overseen through monitoring activities that closely follow implementation phases and quality of service delivery. Likewise, evaluations will be carried out routinely to assess the programme against its objectives and unintended and/or negative changes which are experienced while the implementation is taking place.

A. DATA COLLECTION AND BENEFICIARY SELECTION

Data Collection is the first stage of the Targeting Process. This stage incorporates capturing data for HHs missing from the NISSA Database as well as HHs who believe that they did not take part in the NISSA Survey.

The Beneficiary Selection Process uses a series of steps to accurately isolate and rank eligible households, who can be covered by available resources. A summary of this process...
is presented here, while full details are provided by the Beneficiary Selection section in *Annex A: Targeting Manual*.

**Figure 3: Targeting Process Cycle**

1. **Data Collection Process**
   Data Collection includes the following activities:

   a) **Planning and Preparatory Activities**  
   Preparatory activities include all activities that are carried out before validation takes place in the field. Efficient functioning of data collection requires thorough planning and execution of related activities as well as the adherence to dates, procedures and protocols established by programme authorities. Planning and preparatory activities are carried out prior to the Data Collection Event, and executed by MOSD staff and community officers. This stage includes the development of a logistics plan, contracting a service provider, recruitment of staff, cross-checking existing beneficiaries within the NISSA Database and launching community mobilization activities.
b) Fieldwork
At this stage of the Targeting Process, data will be collected by way of a Data Collection Event. However, for the HHs that could not be present at the Data Collection Event, a door-to-door data collection will also be organized.

c) Data Import and Analysis
This is the final stage of the Data Collection aspect of the Data Collection Process which comprises of importing/entering the data of the missing HHs captured in the field into the NISSA MIS. Once entered, this data is analysed through the use of the PMT Formula and thereafter classified. Data entry and or import are dependent on the data collection tool used.

2. Beneficiary Selection Process
Beneficiary Selection includes the following activities:

a) Planning and Preparatory Activities
This includes all activities that are carried out prior to fieldwork. It encompasses the preparation of a Logistics Plan, the Preparation of Materials, Procurement, Setting up Appointments, and Training.

b) Validation
Validation is a fundamental step which allows for community involvement in the selection of beneficiaries for the ISSN Pilot. This event seeks input stemming from local knowledge and adds a humanistic dimension to the overall process. Together, this helps create a sense of transparency and equitability. Validation is carried out by VACs using Validation Lists. Once the validation lists are printed from the MIS and delivered to the district office, the Senior DCWO after reviewing the lists, forwards them to the trained District Officers who are responsible for managing the Validation Process.

c) Data Entry and Analysis
The data entry and analysis stage is the final component of beneficiary selection, resulting in a list of potential beneficiary households. As validation is completed, the lists are taken back to the District Office for data entry into the MIS. Once HHs meets the eligibility criteria for the ISSN Pilot, the MIS automatically ranks these HHs from most eligible to least eligible. The ranking process considers the specific variables for each programme within the ISSN.
Pilot. Further information about the specificities of each programme variables, please refer to the Annex A: Targeting Manual.

B. ENROLMENT

Enrolment is the process through which beneficiaries are officially enlisted to participate in the ISSN Pilot. The objective of enrolment is to:

- Familiarize beneficiaries with each ISSN programme – especially with regards to its objectives, rules, complaint mechanisms, exit policy, and their beneficiary rights and responsibilities;
- Answer questions and address beneficiary concerns;
- Officially enrol beneficiaries into the ISSN Pilot;
- Update, verify, and/or correct HH member information and/or geographical location and/or contact information; and
- Identify the payee.

The figure below depicts the Enrolment process cycle and lists the main activities which are carried out:

**Figure 4: Enrolment Process Cycle**

1. **Preparatory Activities**
   - Logistics
   - Procurement
   - Configuration of MRT
   - Community Mobilisation
   - Production & Distribution of Materials
   - Training

2. **Fieldwork**
   - Enrolment

3. **Data Entry, Import & Analysis**
   - Data Entry
   - Data Analysis
This includes all activities that are carried out before field work can be run. It encompasses the preparation of a Logistics Plan, Procurement, Community Mobilisation, the Production and Distribution of Materials and Training.

2. **Enrolment Event**

The Enrolment Event can be seen as a series of various activities, with the main objective being to complete *Enrolment Form*. HHs go through a ‘circuit’ which is illustrated in the figure below.

**Figure 4: Enrolment Event**

The steps of the enrolment circuit are as follows:

a) **Screening**

Upon arrival, the Screening Officer will first organize HHs by villages. He/she will then take attendance and verify that each HH is in fact on the Call for Enrolment List and that they have brought their signed Certification Letter with them. The Screening Officer helps keep the crowd organized, moving people from one section of enrolment to another by village.

b) **Training**

HHs are familiarized with the programme’s objectives, rules, how payment works and how they can make inquiries/complaints.

c) **Enrolment**

The Enrolment Officer will complete the Enrolment Form with the HH Head or HH representative in an interview style, updating and verifying the pre-printed information /
pre-programmed information, and registering an individual as the payee for the HH (the person authorized by the HH Head to collect payment). The Enrolment Form can be completed using a mobile device or a paper form. Paper forms are used in the instance where mobile devices are not available or are unable to connect to the internet for the downloading of pre-programmed forms onto the device.

3. Data Import, Entry and Analysis
Once the fieldwork is finished, data must be imported and or entered into the MIS. Once in the MIS, the data is analysed to determine who proceeds to become an ISSN beneficiary and whose enrolment was incomplete and who is no longer eligible.

a) Import Data
After Enrolment is complete, the data collected is exported to a central server and then imported to the MIS electronically.

b) Generate Results
Once the data is imported into the MIS, results based on enrolment can be generated. The HHs can be classified as follows:

- **Enrolled**: The HH was successfully enrolled and is now a beneficiary
- **Restricted**: The HH will not become a beneficiary at this time because no longer meet the criteria for the ISSN Pilot.
- **Incomplete**: The HH’s status remains as potential beneficiary because their enrolment form was not completed, either because they did not attend enrolment or because the form was erroneously filled out.

C. PAYMENTS
Payment refers to the actual delivery of the cash to beneficiaries. The Payment Process for ISSN, OAP and PA consists of three (3) main stages, namely planning and preparatory activities, the payment event and reconciliation. Each of these stages constitutes a number of activities which are illustrated in Figure 6. Detailed description of the payment process can be found in AnnexC: Payments Manual.

Figure 6: ISSN, OAP AND PA Payments Process Cycle
1. Preparatory Activities

Effective functioning of the ISSN Payment Process requires thorough planning and execution of related activities as well as the adherence to dates, procedures and protocols established by programme authorities. Planning and preparatory activities are carried out prior to Payment Events, and executed by MOSD staff and payment agencies. This stage includes the generation and distribution of materials, request of services, training of programme staff, and launching community mobilization activities.

2. Payment Event

Upon completion of all preparatory activities, on the indicated dates, the beneficiary HHs must attend the Payment Event in order to receive their cash payments. The Payment Event is held at payment sites designated by the programme.
Payment takes place in person at designated pay points on designated dates on a regular schedule that is communicated with HHs in advance. It is comprised of the following stages:

- **Document Checking:** The payment agency designates a Payment Officer who verifies the ID of each payee (Passport, voter’s card or ISSN ID) and their corresponding payment book;

- **Payment:** If the payee ID is correct, the Payment Officer directs the payee to the payments desk, where the Payment Officer completes the beneficiary receipt.

- The Payment Officer scans the ID barcode on the payment book (or enters it manually), and cross-checks the information from the software window opened by the scan with the hardcopy of the payment list.

- The Payment Officer identifies the payment amount to the payee and puts a barcode sticker in the payment book and the sticker duplicate on the payment list. It is imperative that the Payment Officer stamps the barcode sticker in the payment book. The Payment Officer fills in the current date in the payment list and payment book and scans the payment amount barcode sticker in the payment list.

- The Payment Officer opens the money envelope in front of the payee, who confirms the amount paid out by signing the payment list. The Payment Officer hands over the money to the payee, who counts it in front of the Payment Officer and compares the amount to the amount on their beneficiary receipt. Discrepancies must be reported there. The Payment Officer confirms in the software and the program saves the beneficiary information.

- During the payment, special cases may arise which cannot be handled by the normal process. Payment Officers refer these households to the case management desk set up at payments.

3. **Reconciliation**

After payment has taken place, reconciliation is carried out. The Payment Officer scans first the pre-printed ID barcode on the payment list, then the payment amount barcode stickers. Where it was not possible to scan barcodes during payment, the payment list with ID barcodes and payment barcode stickers are scanned by the payment agency.
The payment agency forwards the payment software files as well as the signed payment lists to MOSD headquarters. The Senior SP Payments Officer (ISSN) uploads the file into the MIS, which serves to generate the reconciliation report and filing reports as well as payments lists.

**D. CASE MANAGEMENT**

As Case Management is an ongoing process, its operational cycle is also continuous. The steps involved in carrying out case management are summarized below.

1. **Training**

Key stakeholders involved in the case management process, including the Senior Community Development Officer, district offices, and VACs will receive training to perform their corresponding functions. The Case Management Coordinator will receive training to become the Master Trainer, and will then carry out the other trainings. These trainings will cover:

- General process of case management;
- Functions of each stakeholder;
- Filling out of appeals, claims, complaints and update forms.

2. **Production and Distribution of Materials**

Aside from training material, the implementation of day-to-day case management requires the production and distribution of materials, mainly, case management forms. These forms are to be generated and printed at the district office as needed.

3. **Receive Cases**

Beneficiary HHs will be able to submit appeals, complaints, claims and updates in person at the District Office, Central Office, or at the Payment Events. In order to receive information about their requests, beneficiaries will need to provide their programme ID card, in all cases except for appeals.

4. **Resolve Cases**

Forms are entered into the MIS at the District level and resolved by both District and Central level, depending on the type of case and its severity. All cases should be resolved
within 10 weeks. Once a case is solved and closed in the MIS, the appropriate notification letter should be delivered to the HH.
V. MONITORING AND EVALUATION

The ISSN Pilot will establish a Monitoring and Evaluation (M&E) System to ensure a high quality of service delivery to beneficiaries. It is essential for the continuous improvement of the Integrated Social Safety Nets (ISSN) Pilot and its operational processes. The Results-Based M&E System is a key component of the basic architecture of the programme. While monitoring describes records of activities and their results and whether and what type of problems occur during programme implementation, evaluation measures whether the programme met objectives and explains what accounts for its performance.

A. MONITORING

Monitoring can be conducted focusing on different levels which provide different results. These levels are:

- **Inputs:** Monitoring inputs refers to the recording of any financial and human resources which are provided for the program to be run / implemented. This is mainly done by financial auditing.
- **Outputs:** Monitoring outputs means recording the transformation of the inputs and other resources into goods and services.
- **Processes:** Monitoring of processes refers to the monitoring of implementation and fieldwork as it is happening.

ISSN monitoring can be carried out through both Internal and External Monitoring. Internal Monitoring is a strategy utilized by MOSD officials while External Monitoring is carried out by hired consultants.

The following tools are utilised to achieve these levels:

<table>
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<tr>
<th>MONITORING TOOLS</th>
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<tbody>
<tr>
<td><strong>Checklists</strong></td>
<td>A checklist is an Internal Process Monitoring tool administered to supervise the manner in which a given activity is being carried out in order to ensure that all arrangements have been made prior to field work.</td>
</tr>
<tr>
<td><strong>Spot Checks</strong></td>
<td>Spot checks are both and Internal and External Process Monitoring tool used to validate if processes are being carried out correctly by different service providers and stakeholders involved</td>
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</table>
in the programme.

<table>
<thead>
<tr>
<th>Output Indicators</th>
<th>The measuring of ISSN Outputs is done using Output Indicators which are found within the MIS. These indicators serve to monitor all processes that are entered into the MIS.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit</td>
<td>Financial auditing should be done at least once a year. It serves to verify the expenditures made for ISSN activities and the disbursement made to the institutions and the beneficiary during the payments process.</td>
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</table>

**B. EVALUATION**

The ISSN Pilot carries out Evaluations to assess each programme against its objectives and unintended and negative changes which were experienced. It is usually carried out by external consultants / firms hired by MOSD and ISSN stakeholders and informs on whether the ISSN objectives have been met and explains what accounts for the programme’s performance.

The ISSN Pilot can be evaluated as follows:

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<tr>
<th>EVALUATION PARAMETERS</th>
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<tr>
<td><strong>Process Evaluation</strong></td>
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<td><strong>Outcomes</strong></td>
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<td><strong>Rapid Assessment</strong></td>
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stakeholders, interviews, focus groups, case studies as well as make use of all the secondary data that is available.
VI. CONCLUSION

This concludes the main document of the Integrated Social Safety Nets (ISSN) Pilot Operations Manual. After reviewing this document users should have obtained an overall understanding of the ISSN Pilot in terms of objectives, design parameters, project cycle, and M&E system. The Annexes, Sub-Annexes and Appendices of this document provide exhaustive details on each design parameter and the individual stages of the ISSN Pilot process cycle, and should be likewise reviewed in detail by relevant staff before the processes are executed. The Annexes and their attachments also provide brochures and guidelines which can be printed and taken to the field to be used for quick reference. As a living document, this OM and its attachments should be adjusted and updated as required and with the proper consultations and approvals.