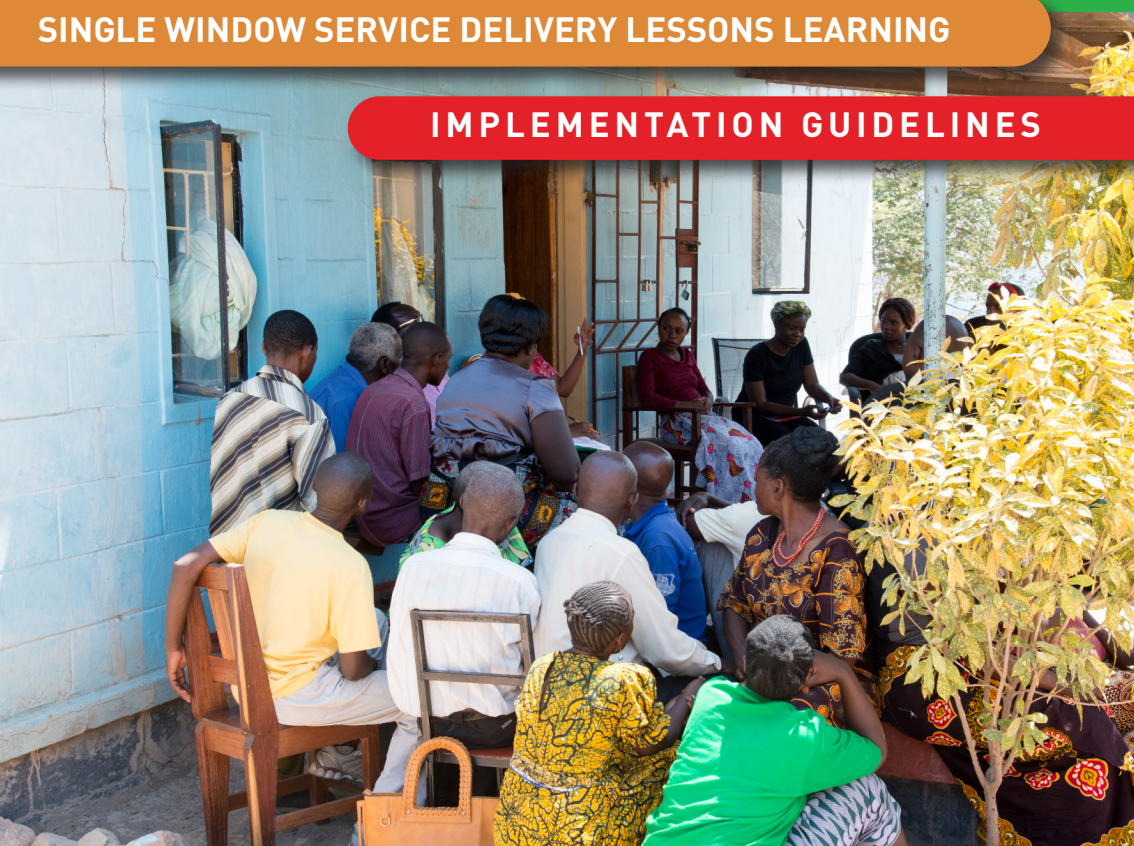


SINGLE WINDOW SERVICE DELIVERY LESSONS LEARNING

IMPLEMENTATION GUIDELINES



REPUBLIC OF ZAMBIA
MINISTRY OF COMMUNITY
DEVELOPMENT AND SOCIAL SERVICES

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Foreword



Enhanced coordination in the implementation of Social Protection programmes and service delivery is pivotal to reducing poverty and vulnerability. It is for this reason that, the Government of the Republic of Zambia has prioritised to address the fragmentation in the implementation Social Protection programmes so that services could be delivered in a more coordinated manner using initiatives such as the Single Window Service (SWS) Delivery. This approach is as evidenced in the Seventh National Development Plan's (7NDP) cluster-based programming.

In this regard, the ministry is spearheading the SWS delivery system in an effort to enhance coordination of social protection programming and service delivery. The SWS not only forms part of the targets under the Poverty and Vulnerability Reduction Cluster of the 7NDP but also for the International Training Programme 322 – Social Protection for Sustainable Development's Change Programme. The Change Programme aims at providing integrated services to the poor and vulnerable persons through the SWS. The delivery of social protection services through the SWS approach entails that services are brought closer to the people as they are hosted in Government's decentralised structures through the local councils, thereby leading to effectiveness and efficiency in programme implementation.

Through the SWS a number of challenges will be addressed in the implementation of Social Protection programmes ranging from improved coherence, linkages and referrals resulting in maximising on existing resources as well as reducing programming gaps. It is envisaged that the implementation of the SWS guidelines will lead to enhanced coordination at District and Community Levels which will result in delivery of integrated quality and effective social protection services.



It is my sincere hope therefore that this process will receive unwavering commitment from all relevant stakeholders ranging from Government, Development Partners, Civil Society Organisations, and Non-Governmental Organisations involved in the social protection programming to realise the set vision.

Doreen Mwamba (Mrs.), MP.
Minister of Community Development and Social Services

Acknowledgement



The Ministry of Community Development and Social Services recognises that social protection requires the participation and coordination of stakeholders at all levels for increased efficiency and sustainability. The Single Window Service (SWS) initiative is therefore aimed at improving coordination and efficiency of all Social Protection Programmes including service delivery, and it is with this background that the initiative was introduced.

The Ministry has received overwhelming support towards the implementation of the Single Window Service. Therefore, I would like to thank all line Ministries/Institutions from National, Provincial and District levels that participated in the development of these guidelines. I wish to express my profound gratitude especially to the Cluster Advisory Group II which were involved in the process of developing the Single Window initiative.

The Ministry further extends its appreciation to all Development Partners such as, the United Nations agencies (UNICEF, ILO, WFP), the Swedish Government, the World Bank, Foreign Commonwealth and Development Office (FCDO), the Civil Society Organizations and Id-insight who have been very instrumental in supporting Social Protection Service delivery mechanisms and systems in general by providing both technical and financial support. Special thanks to the Consultant, Mr. Marcel Van Driel for the support rendered to the process.

It is my sincere hope that these Single Window Service Delivery Implementation Guidelines will be put to good use. This can be done through constant referencing to them for a more harmonized and standardized approach and to sharpen the implementation and scaling up of the SW to many other Districts in a bid to reduce poverty and vulnerability amongst the Zambian people.

A handwritten signature in black ink, appearing to read 'A. Kawandami'.

Angela Chomba Kawandami (Ms)
Permanent Secretary,

Ministry of Community Development and Social Services



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Abbreviations and acronyms

7NDP	Seventh National Development Plan
CDF	Constituency development Fund
CWAC	Community Welfare Assistance Committee
DDCC	District Development Coordinating Committee
DCCDT	District Council Community Development Team
DPU	District Planning Unit
DSPC	District Social Protection Committee
DSPCT	District Social Protection Core Team
FBO	Faith-Based Organisation
FCDO	Foreign Commonwealth and Development Office
GRZ	Government of the Republic of Zambia
ICT	Information Communication Technology
ILO	International Labour Organisation
LGSC	Local Government Service Commission
MCDSS	Ministry of Community Development and Social Services
NGO	Non-Governmental Organisation
NRC	National Registration Card
PCDO	Provincial Community Development Office / Officer
PDCC	Provincial Development Coordinating Committee
PDIA	Problem-Driven Iterative Approach
PSWO	Provincial Social Welfare Office / Officer
PTA	Parents Teachers Association
SDC	Social Development Committee
SPC	Social Protection Committee (Kafue)
SPPCC	Social Protection Programmes Coordinating Committee
SWC	Single Window Committee
SWIT	Single Window Implementation Team
WDC	Ward Development Committee
ZANIS	Zambia News and Information Services

1.0 Introduction.

The Government of the Republic of Zambia, through the Ministry of Community Development and Social Services (MCDSS), has identified and prioritised social protection as a key strategy in response to reducing high poverty rates, exclusion of vulnerable groups, malnutrition and deprivation among the majority of the Zambian population. This has resulted in increased support for, and investment in, various social protection programmes. The Government has continued with its efforts to scaling up the social protection sector as evidenced by increased funding through annual budgetary allocations over the years through national treasury as well as its Development Cooperating Partners (DCPs). Adequate coordination of planning and implementation of social protection programmes is required. At the same time, the implementation of the Zambian Decentralisation Policy, through the Decentralisation Implementation Plan, has gained more traction in recent years, which enables the decentralised approach in the coordination of social protection initiatives. For example, various Ministries have continued to have existing departments at district level.

In February 2018, the kick-off workshop for the 'Social Protection Single-Window Service Delivery' took place. During this workshop, six participating districts, including Local Authorities began the pilot of the Single Window Service Delivery Initiative (SWSD). These districts were later referred to as the 'Champion' districts and they include Samfya, Mpulungu, Mambwe, Kafue, Lunga, and Mongu. Each of these districts developed a problem-analysis. Based on the problem analyses among these districts, work plans consisting of key initiatives and activities were developed and subsequently implemented under the guidance of the MCDSS, with support of its Development Cooperating Partners such as ILO, UNICEF, and the World Bank.

After collation of the results and experiences in a comprehensive lesson learning workshop, a second learning phase took off in 2019, which incorporated and additional eleven districts, commonly referred to as the "Replication Districts". At the end of this phase, a second lesson learning workshop was conducted to enable these new districts to learn from the experiences, successes and challenges of the champion districts, as we as benefit from their recommendations.



Based on the results and experiences under the two lesson learning processes, a list of eight result areas have been developed which provided model/structure for implementation of the Single Window Initiative at district level. Under each of the result areas, best practices and success stories were identified and documented. In addition, many tools were developed. The best practices and tools were further refined in the second lesson learning workshop and have now formed part of these guidelines.

These guidelines are developed to aid districts in the planning, implementation and monitoring of their Single Window Initiative. Each sub-chapter under 3.0 describes the result areas, the best practices under these result areas as well the implementation methodology and tools. Most of the methodologies and tools can be considered as 'minimum requirements'. As an example: for the development of a database, under key result area 5, the minimum required data is indicated. Districts are at liberty to add more information where it is deemed relevant.

2.0 Guidance Note.

These guidelines are intended to be used to guide districts through the process of planning, implementation and monitoring of the Single Window implementation and progress. The document does not contain rules. The users are free to utilise any recommendations from these guidelines, including the tools therein. However, the documented experiences of the champion districts provide a solid basis (captured in this document) for the planning and implementation of the single window initiative in every district of Zambia as they have been proved to yield success across various districts.

The best practices were extracted from these document tangible success stories based on the experiences of the champion districts. In some cases, different approaches and strategies were employed, however, the most effective and efficient approaches have found their way into this document. In some cases, an approach was literally taken from one district, in other cases, the experiences from several districts have been consolidated. The same methodology is applied to the tools. For example, by examining the different contents for the database under result area 5, a final overview emerged which contained all the information deemed necessary to store. This 'examining' was done by participants of the second lesson learning workshop in March 2021, in groups representing different districts.

Most of the tools adopted have hardly been applied and tested by other districts. They did, however, receive the approval of the participants at the second lesson learning workshop held in Kabwe in March, 2021. Under the third lesson learning iteration of the Single Window Initiative, the identified best practices including their implementation methodologies and tools will be put to the test. The experiences will then inform the finalisation of the Single Window National Blueprint.

2.1 TRANSFORM - Leadership and Transformation Learning Package on Building and Managing Social Protection Floors in Africa.

TRANSFORM training is the first and mandatory step to support the implementation of the SWS delivery system as it gives district officials and other stakeholders an opportunity for capacity development for enhancement of coordination efforts across different Social Protection programmes. The TRANSFORM training package is an innovative learning package, whose prime objective is to build critical thinking and capacities of policy makers and practitioners at national and decentralized levels to improve the design, effectiveness and efficiency of social protection systems. TRANSFORM aims at imparting state-of-the-art knowledge appropriate



for challenges faced by countries and encourages learners to take leadership on the change and transformation of nationally defined social protection systems. TRANSFORM is organised in a modular structure reflecting the key elements of building a holistic and interdependent social protection system.

The TRANSFORM training package includes the standard introductory curriculum, tailored modules such as the 5-day TRANSFORM Introductory module tailored for districts level, the 2.5 days TRANSFORM training package for policy makers. The in-depth modules include the 2.5 days governance and coordination, the 3 days selection and identification, the 3-Day Management Information System and the Financing and financial management course (currently under development at the time of the development of these guidelines). The prescribed transform training package for district staff earmarked for Single Window training, is the standard five (5) days training. It must be mentioned however, that there have been exceptions where Single Window inceptions have been conducted ahead of transform training due to certain logistical challenges, but the best practice from the evidence that has emerged from these circumstances is that Transform should come first, then Single Window inceptions follow after.

2.2 Logical Steps in the Design, Planning and Implementation.

Before designing, planning and implementing the SWSD, ensure that you carefully read through these guidelines. It is highly recommended that new districts establish a core team or task force which will be responsible for the establishment of the SWS delivery in the district.

Once the core team is in place, the next step would be for the core team to go through the result areas and decide the most logical chronological sequence for the result areas and the various activities based on the coordination deficiencies in a particular district.

Having completed the preceding recommended steps, the core team is expected to lead the process of developing a district annual workplan working in collaboration with all social protection stakeholders. A template for the annual workplan is available in Annex 1 of this document. The monitoring template which can be utilised to monitor implementation progress is also included in Annex 2.

3.0 Result Areas.

Under the first two learning iterations of the SWSD, eight district teams (including Senanga and Katete) have gained experience in the process of setting up and implementing a single window system for the coordination of social protection programmes in their respective areas. This process included the identification of best practices in strategy and implementation as well as the development of tools which are now available to new districts that embark on a similar process.

In the next sections (3.1 – 3.8) the result areas are presented. The order of presentation for each key result area will start with the best practice statement followed by an elaboration. Thereafter, the methodology of implementation is described, using a step-by-step approach. Finally, for each result area the useful tools are listed and included.

The result areas are not necessarily presented chronologically. The choice on how to sequence the implementation of the result areas lies with the district team (see next section). In addition, some activities from different result areas can be combined. For example, the meeting to develop a stakeholder matrix (result area 1) can be combined with the first activity under result area 2.

There is need to acknowledge a ninth result area: “Establishment of a task force”. In line with the decentralisation process, most districts have elected the local authority (District Councils) as the secretariat to coordinate all Single Window Service delivery processes, as well as house single entry points. This is evident from the resolutions during the kick-off workshop for the SWS delivery in 2018. The decision to select the Local Authorities as the the entity that coordinates the process of establishing the structures, systems etc. aligns perfectly well with the decentralization policy aspirations. Therefore, it is highly recommended that a task force is set up and assigned to plan, prepare and guide various processes in line with establishing a very effective Single Window Service delivery at district level. Ideally, this task force includes members from relevant departments, including DSWO and DCDO. Secretariat of the Task Team/Core Team is preferably the Planning Unit of the Local Authority.

3.1. Stakeholder Mapping.

3.1.1 Best Practice.

Development of a stakeholder matrix through a joint meeting with all social protection service providers in the district.



Improved coordination of the implementation of social protection programmes is impossible without having an overview of which service providers offer which social protection services and where to find them (location/Ward). Having this overview, gives the coordinating entity at district level the possibility to keep track of services that are available to the people in each of the wards. Stakeholder mapping enables districts to collect relevant information which provides data on where social protection services are found and where they are absent. This can inform decisions on where to scale up efforts or where to roll out future programmes based on need.

3.1.2 Methodology.

The team, tasked with the implementation of the Single Window Initiative will conduct the following activities as minimum requirements:

1. Establish a list/database of all the social protection service providers in the district. This list should include:
 - All the government departments at district level that provide social protection services.
 - All the Civil Society Organisations [CSO] (Non-Governmental Organisations [NGO], Faith-Based Organisations [FBOs], etc) that provide social protection services in the district.
2. Organise a meeting and invite all the service providers. This meeting serves two purposes:
 - To sensitize stakeholders/social protection service providers single window initiative.
 - The service providers provide data on their services, contact details and areas of operation/focus for the development of the stakeholder matrix.

It is important that prior to the meeting, the core team undertakes a due diligence of the Social Protection (SP) service providers in the District. During the first sensitization meeting, the Core Team must present a draft stakeholder matrix for consideration by the identified SP providers. The matrix should be presented during the meeting and preferably one of the governmental departments can already include some content as example. During the meeting, the service providers can add their information to the matrix, ensuring that at the end of the meeting, the matrix is complete.

3. Finalise matrix.

The matrix is then finalised and sent to all service providers. In addition, all service providers are requested to submit any updates and changes.

Tools available under this result area:

1-A STAKEHOLDER MAPPING TOOL.

STAKEHOLDER MATRIX.

Serial Number	NAME STAKEHOLDER	NAME AND CONTACT DETAILS OF FOCAL POINT PERSON	SOCIAL PROTECTION PROGRAMME	AREA OF OPERATION	DURATION OF PRO- GRAMME	TYPE OF BENEFICIARY	PARTNER ORGANISA- TION

3.2. Stakeholder Engagement.

3.2.1 Best Practice.

Full engagement and involvement of all the stakeholder in planning, implementation and monitoring. Joint development of a Multi-sectoral plan and joint quarterly monitoring meetings are highly recommended to be conducted.

Effective coordination of social protection in the district is not possible without involving the all relevant and key SP service providers in the process. Experience has shown that the higher the level of involvement, the higher the level of cooperation in implementation. Thus the higher the level of engagement, the more the pooling of resources and joint programme implementation ensues, which results in efficient and effective utilization of resources.

The engagement of the social protection service providers, here referred to as stakeholders starts with the development of the stakeholder matrix (see previous result area). Thereafter, several meetings may be required to ensure their engagement in the single window process.

3.2.2 Methodology.

1. During the first meeting, the Single Window concept is presented for appreciation by all stakeholders. During this meeting, buy-in from the stakeholders is sought, after which all vital stakeholder information is obtained for the purpose of developing a stakeholder matrix. In addition, the District Social Protection



Committee (DSPC) and the District Social Protection Core Team (DSPCT) are recommended to be established, though not mandatory.

*Note: the decision whether to have both Committee and Core Team in place is up to the district. Choosing either or merging them in one committee or core team are viable options as well.

It is recommended that the Core team be spear-headed by the district Planning Unit of the Local Authority for easy coordination.

2. During the second meeting, an annual joint work plan should be developed. This is a multisectoral workplan, based on the various workplans of the stakeholders. In addition, quarterly monitoring meetings are planned both for the DSPC and the DSPCT if in place.
3. After formal approval of this Multisectoral Workplan by all stakeholders and the full council, implementation starts.
4. Every quarter, monitoring meetings take place in which implementation progress is discussed.

3.2.3 Tools available under this result area:

- 2-A District Social Protection Committee Terms of reference (if established).
- 2-B District Social Protection Core Team.
- 2-C Multisectoral Annual Work Plan.
- 2-D Monitoring Tool.

Tool 2-A District Social Protection Committee Terms of Reference.

Background.

- In order to improve coordination amongst institutions/organizations that provide social protection services, there is need to have a coordination platform. Districts are urged to establish the District Social Protection Committee.
- The District committee through the SWS delivery aims at ensuring that there is enhanced levels of harmonization and coordination of social protection programmes and services as a means of fostering a multi-sectoral approach and inter-ministerial cooperation. Therefore, these terms of reference are for the District Social Protection Committee.

Objectives.

- Ensure social protection issues are not only elevated in the DDCC but concrete action on issues that affect vulnerable households are taken up by the highest policy making body of the DDCC through the poverty and vulnerability sub sector as provided for in Pillar two of the 7NDP and the Economic Recovery Plan (ERP) Pillar 5.
- To promote and facilitate coordination of social protection programmes in the district.
- To create a forum for discussion on issues pertaining to policy and service delivery for vulnerable people.
- To compile a consolidated district plan across all institutions/organizations that provide social protection services.
- To share lessons learnt and experiences regarding working on social protection program delivery.
- To create an effective referral and feedback mechanism for beneficiaries in the district.
- To create an optimal and appropriate grievance mechanism in the district
- To provide checks and balances on the commitment of the institutions/ organizations offering social protection services in the district.
- To optimize the utilization of limited and scarce resources meant for social protection.
- To collect, collate and disseminate widely, all information on social protection programming.
- To monitor implementation of policies, legislation and service standards for social protection.

Membership.

- The District Social Protection committee shall be comprised of GRZ line Ministries, Private Sector, CSOs, NGOs, FBOs and CBOs (Community-Based Organisations) implementing social protection programs.
- Secretariat will be the District Planning Unit (DPU)

DSPC Operational Guidelines.

- Facilitate development of District Social Protection multi-sectoral joint work plan for all stakeholders working and or supporting SP beneficiaries.
- Consolidate service level registry for stakeholders implementing social protection programs.
- Mapping stakeholders and available services under social protection.



- Submit quarterly reports to the Human and Social Development Cluster.
- Hold quarterly district review meetings.
- Participate in important/commemorative days like the social protection week.
- Act as a focal point for Cooperating Partners' or new social protection stakeholders entering into the district to implement social protection programs.
- Facilitate sensitization to ensure that social protection programs are implemented in a coordinated manner.
- Monitor and submit reports on the SWSD to inform management for decision making.

Tool 2-B District Social Protection Core Team Terms of Reference.

Background.

The District Social Protection Core Team (DSPCT) shall be a Social Protection Executive of the District Social Protection Sub-Committee (DSPC) which shall focus mainly on the formulation of the overall social protection strategies.

Objectives.

The objective of the (DSPCT) is to facilitate implementation of policy guidelines on the planning and implementation of the SWI principles and ideologies.

Specific Tasks.

The tasks of the (DSPCT) shall be as follows:

- Ensuring that the Problem Driven Iterative Adaptation (PDIA) action plan is implemented.
- Identifying and prioritizing social protection issues requiring cross-sector and cross-service intervention strategies.
- Developing overall strategies and district welfare plan and promoting the well-being of the district having regard to the needs and priorities formulated.
- Promoting cross-sector and cross-service coordination in the district and enhancing the interface between different service delivery systems in the district.
- Ensuring effective and efficient utilization of funds according to the laid down procedures.
- The team shall report to the District Social protection sub-committee.
- Collective handling of grievances and providing timely feedback.
- Provide technical support to single-entry points.
- Advocate for integration, awareness and increased collaboration on Single window implementation among all the players.

- Ensure that the implementation plan is operationalised in alignment with social protection policies and other existing national policies.
- Propose policy options and related guidelines for effective Single Window implementation.

Membership.

The SWSD shall use a multi-sectoral approach. In view of this, the (DSPCT) membership shall be comprised of key government ministries and other relevant non-state actors in various sectors who have some stake in the transformation of rural communities.

- Ministry of Community Development Social Services - DSW & DCD
- Ministry of Local Government and Rural Development- Council (DPO's Office, Treasury Office, Procurement)
- Ministry of Health - Public Health Office
- Ministry of Commerce
- Ministry of Chiefs and Tradition Affairs.
- Ministry of Education - Planning Department
- Ministry of Water Development and Sanitation
- Ministry of Agriculture - Extension Office
- Ministry of Fisheries and Livestock
- Ministry of Home Affairs - ZP/ VSU
- CSO/ NGOs/ FBOs/ - CSO representative
- Ministry of Information and Broadcasting-ZANIS

Chair of the (DSPCT) shall be the District Planning Office (Local Authority).

Secretariat of the (DSPCT) should either be the Department of Community Development of the Department of Social Welfare both under (MCDSS).

DSPCT Operational Guidelines.

- Frequency of Meetings: DSPCT will meet quarterly two weeks before DSPC and hold ad hoc meetings as and when necessary.
- Quorum: A quorum will be half of the membership of the DSPCT. A quorum is empowered to make decisions in order to move the work agenda of the DSPCT forward. Either the Chairperson or Secretariat must be present.
- Circulation of Meeting Minutes: The Department of Community Development will circulate meeting minutes to all DSPCT members. It is expected that DSPCT members will share those minutes with their heads of department/supervisors.

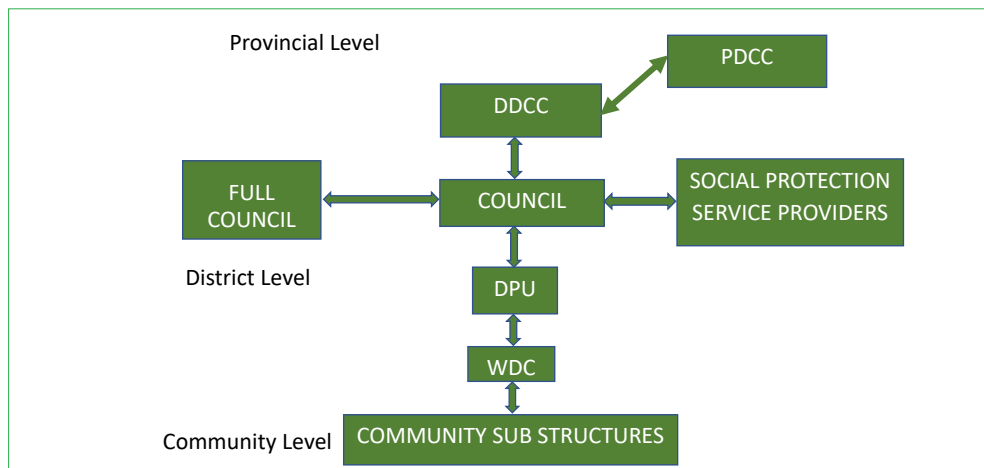


In the case of ministries, it is expected that minutes will be shared with respective Permanent Secretaries via directors and Provincial Officers, as well as with the Chief Planner of the Ministry of Community Development and Social Services.

- Urgent Matters: Any urgent issue arising which call for DSPCT attention should be brought immediately to the attention of the Chairperson.
- It is within the prerogative of the Chairperson to call for emergency meetings of the DSPCT if needed.
- Attendance of DSPCT meetings by proxy: Alternate DSPCT members may attend meetings along with their primary DSPCT members on occasion to stay abreast of the DSPCT's agenda and ensure continuity of knowledge and progress. The DSPCT will determine the frequency of allowing proxy members to attend along with the primary member.

3.3 Coordination System

A reporting system which facilitates reporting from the ward level single entry points (WDCs) and the district level single entry points (DSWO) or (DCDO), via the (DPU) to the DDCC and the full council.



The coordination system is a system through which reports are being generated and submitted. These reports flow from the community level (single-entry points) to district level and serve to collect data on the implementation of social protection programmes in the district. This data informs decision making for future planning.

Both ward and district level reporting should be conducted monthly via the reporting template. This form is submitted to the District Planning Unit (DPU). The reporting template contains the same data as the database. The shall DPU enter the data from the reporting templates into the database and generate input for reports to the full council and the DDCC.

3.3.1 Community level reporting.

The Ward Development Committee (WDC) shall capture clients and receive grievances through various SP sub-committees such as Community Welfare Assistant Committees (CWACs), Parents Teachers Associations (PTAs), etc.

WDCs shall serve as the vertical link between SP community structures/district front desk.

WDCs shall generate reports and referrals and submit to the DPU.



3.3.2 District level reporting.

The DPU shall be the front desk at district level and shall comprise of the core team and shall hold the chairmanship.

The DPU shall receive reports from WDCs, the DCDO and DSWO, and capture data into the database and generate reports to the Full Council and DDCC.

The full council shall deliberate on the reports' findings (and possibly recommendations) from the DPU and, where possible, make necessary decisions.

The DDCC shall deliberate on the reports from the DPU for action and transmission to PDCC.

3.3.3 Provincial Level reporting.

The PDCC shall deliberate on the reports from the DDCC for action.

3.3.4 Methodology.

1. During single window team meetings, participants shall discuss the available tools and determine what changes need to be made to ensure they suit the district's needs.
2. Participants shall also provide each single-entry point with sufficient copies of the reporting format.

Tools available under this result area:

**SOCIAL PROTECTION SINGLE - WINDOW PILOT INITIATIVE.
REPORTING TEMPLATE FOR WDC TO THE DISTRICT.
PART 1: REPORT IDENTIFICATION DETAILS.**

Ward				
Report date	Year:			
Reporting Period (circle an applicable quarter)	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Report compiled by: Name; Position; Contact No.;				

[illegible]



Part 2: Coordination

2.1 How many multisectoral or joint meetings were held on social protection:

.....

2.2 Which structures/committees/organisations attended the meetings:

.....

.....

.....

2.3 What resources were allocated for service provision in the various community based social protection structures (e.g. Transport, funding, manpower)

.....

.....

2.4 How many community-based organisations/structures undertook social protection activities and programs in your ward during the reporting quarter?

.....

.....

2.5 How many referrals did you make to the district during the reporting quarter?

.....

.....

.....

2.6 How many referral feedbacks did you receive from the district?

Referral cases recorded: Male.....

Female.....

Referral cases pending Male Female

Part 3: Appeals And Compliants.

3.1 How many complaints regarding social protection programs and services did you receive?

.....

.....

3.2 How many cases were resolved and not resolved?

No. of cases resolved..... No. of cases pending.....

Comments:

.....

END**3.4 Case Management.****3.4.1 Best Practice.**

Cases are registered at the single-entry points and from there referred to either the local service providers or escalated to the district level single-entry points for referral to district level service providers. From the service providers, feedback to actions on the referral are fed back following the same route.

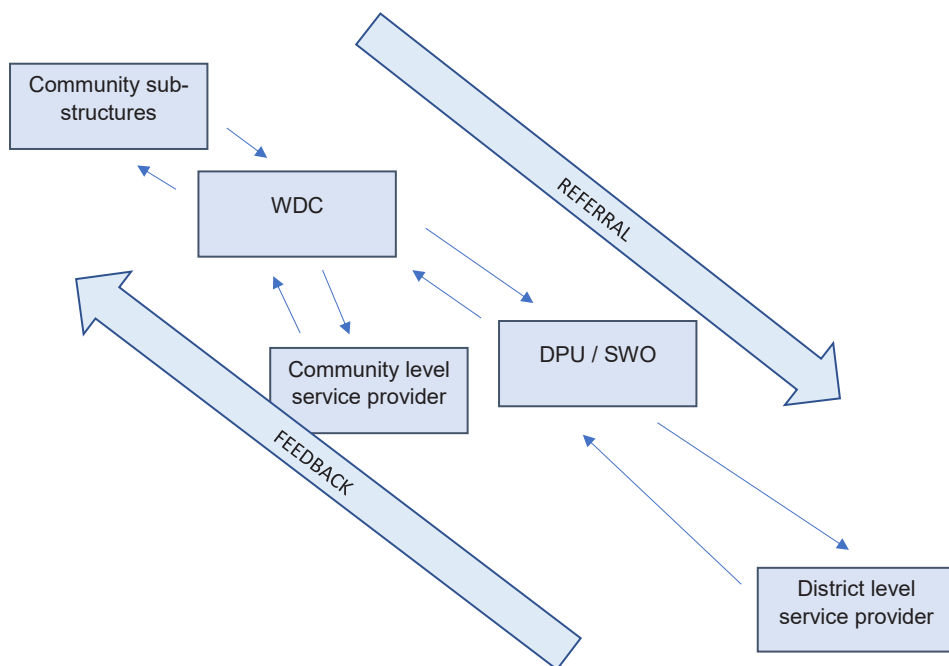


Figure 2: Case management system.

Case management is a system through which the client accesses the most suitable social protection service or services. Case management consists of assessing client needs, advising clients, registering social protection cases, referring cases to service providers and providing feedback on case progress.

For case management to be successful, an entry point should be available in the ward where the client lives. This Single-Entry Point shall be set up at the ward level comprising of WDCs (and possibly its sub-committees and action groups). At District



level this can either be set up at the local authority through the district planning unit preferably, or can be hosted by the District Social Welfare Office or the District Community Development Office as is the case in some champion districts.

The single-entry point provides the following social protection services to the client:

- Receiving the (potential) client and assessing the exact social protection needs via the assessment form.
- Advising on which social protection services are available in the district and in the ward.
- Registering the client and their social protection needs in the case management register and referring the client's case to the local (sub-district level) service provider via the referral form.
- Registering the client and their social protection needs and referring the client's case to the district level single entry point via the referral form, from where the case is referred to the district level service provider.
- Receiving feedback on the referred cases from the service providers (via the referral section on the referral form) and informing the client.
- Helping the client filling in the grievance management form if applicable and submitting this form to the district level single entry point.

3.4.2 Referral and Feedback Forms – Case Management.

The case management system, which includes advising clients, registration and referral of cases as well as the provision of feedback needs to be clear and subscribed to by all stakeholders to make the case management system work. In addition, they must be made familiar with the referral tool and the referral section.

Further, the stakeholders need to understand the grievance mechanism and the grievance form and feedback section.

Finally, all stakeholders need to understand their part in the coordination structure which brings together all the data on social protection in the district via the reporting format.

To collect and assess data and make informed decisions about the implementation of social protection programmes, quarterly meetings are planned and held in which all the stakeholders take part. At the end of each implementation year, an annual evaluation meeting should be conducted during which the implementation data is analysed and a multi-sectoral plan for the next year is developed. This will guide the planning and implementation of social protection programmes.

3.4.3 Methodology.

3. In a single window team meeting, participants shall discuss the various available tools and determine what changes need to be made to ensure they suit the district's need. For example, the case number in the top right corner of the referral form needs to be unique. These numbers need to reflect a code for each ward, to ensure every case has a unique number. If every ward numbers their cases 1, 2, 3, etc, there will be as many cases numbered 1 as there are many wards in the district.
4. Provide each single-entry point with sufficient copies of each of the four available forms.

Tools Available under this result area:

- 4-A Assessment form
- 4-B Referral form
- 4-C Grievance management form
- 4-D Case management register



Tool 4-A Record form

REPUBLIC OF ZAMBIA

MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

DISTRICT

CWAC/ZONE/WDC Record FORM 1

LOCATION:.....

CONSTITUENCY:

WARD/WDC:

ZONE:.....

CWAC:

BIODATA

NAME OF CLIENT:

NRC #:.....

DATE OF BIRTH:

AGE:

SEX:

VILLAGE:

CHIEF:

PHONE NO:

NEXT OF KIN:

FOR CWAC/ZONAL USE

PROBLEM/PROJECT DESCRIPTION:

DATE THE CASE/PROJECT WAS REPORTED:

NATURE OF THE CASE/PROJECT:

WHAT HELP/ INTERVENTION HAS THE CWAC/ZONE PROVIDED?

FOR WDC USE ONLY

FORM RECEIVED BY:

DATE:

WHAT HELP/ INTERVENTION HAS THE WDC PROVIDED?

NB: PLEASE NOTE: IF THE CASE IS REFRRD, AN ASSESSMENT FORM SHOULD BE ATTACHED

4-B Referral form

REPUBLIC OF ZAMBIA
MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT
SINGLE WINDOW INITIATIVE REFERRAL FORM

Case No:

DISTRICT:

DATE:

WARD:**FOR WDC USE ONLY**

Emergency..... Routine:

PERSONAL INFORMATION OF CLIENT

Name: Gender: Age:

Address/ Village: Religion: Nationality :

Date of referral: Contact Number :

Name of referring officer:

Designation:

Signature: Ward SPC Contact Number:

Reasons for referral

1.....

2.....

3.....

Referral to:

..... (Community level service provider, CONTINUE SECTION A)

..... (District level single entry point, CONTINUE SECTION B)

SECTION A**COMMUNITY LEVEL SERVICE PROVIDER**

Case No: Date of Receipt:

Name of Receiving Officer:



Designation:

Signature: Contact Number:

Type of social protection assistance needed:

.....

.....

SECTION B

ESCALATED TO DISTRICT LEVEL

FOR DISTRICT SINGLE ENTRY POINT USE ONLY

Case No: Date of Receipt:

Name of Receiving Officer:

Designation:

Signature: Contact Number:

Service Provider referred to:

Referral Date:

Type of social protection assistance needed:

.....

.....

FOR RESPONSIBLE INSTITUTION USE ONLY

Case No: Date of Receipt:

Name of Receiving Officer: Contact#:

Designation: Date case Closed:

Signature:

Type of Social Protection Assistance Given:

.....

.....

.

Case Status: (Closed/ Pending) ; Notes:

.....

X _____

FEED BACK SLIP

Case Number:.....

CLIENT DETAILS

Name: Gender: Age:

Address/ Village: Religion: Nationality:

Date of Feedback: Contact Number:

REFERRAL OFFICER

Name of officer:

Designation:

Signature: Contact Number:

Response to the referral

1.....

2.....

3.....



4-C Grievance management form

REPUBLIC OF ZAMBIA

MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

District:

CWAC/ZONE/WDC GRIEVANCE/COMPLAINT (GRM) FORM 3

LOCATION:

CONSTITUENCY:

WARD/WDC:

ZONE:

CWAC:

Complaint NO:

BIODATA: PERSONAL DETAILS ARE OPTIONAL HERE

NAME OF CLIENT:

NRC #:

DATE OF BIRTH:

AGE:

SEX:

VILLAGE:

CHIEF:

PHONE NO:

NEXT OF KIN:

GRIEVANCE/COMPLAINT DESCRIPTION

NATURE OF GRIEVANCE/COMPLAINT:

REASON FOR COMPLAINT/GRIEVANCE:

DATE GRIEVANCE WAS LAUNCHED:

SIGNATURE OR THUMB PRINT:

APPEAL

NUMBER OF TIMES THE COMPLAINT WAS REPORTED:

LEVEL OF SATISFACTION

DATE:

FOR OFFICIAL USE ONLY

FORM RECEIVED BY:

RESPONSIBLE INSTITUTION:

ACTION TAKEN BY RESPONSIBLE DEPARTMENT:

NAME OF RESPONSIBLE OFFICER:

DATE:

DATE STAMP:

4-D Case management register



REPUBLIC OF ZAMBIA
MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

Number		
Date		
Household details	First name	
	Surname	
	Other names	
	H. H. sex	
	H. H. date of birth and age	
	H.H. ID#	
	HH size	
	No. of females	
Location	No. of males	
	Province	
	District	
	Constituency	
	Ward	
	Chiefdom	
	Village	
Programme	Zone	
	Programme name	
	Programme type (pillar)	
	Service provider	
Beneficiary details	Implementing partner	
	First name	
	Surname	
	Other names	
	Sex	
	Date of birth and age	
	Disability?	
	Beneficiary I.D. #	
Time frame	Relationship with H.H.	
	Start date programme	
	End date programme	



3.5 Data Base / Registry.

3.5.1 Best Practice.

An excel based database is developed and managed by the DPU. Consideration can be given to an online database to facilitate consulting possibilities to service providers.

At the District Planning Unit at the Council building, it is recommended that a database is developed containing all the social protection programmes and individual beneficiary cases. This database should be managed by the Local Authority, and should allow limited access to other key stakeholders depending on their assigned roles. This database is meant to receive data from the reports from the single-entry points, both at ward and at district levels. From the data in the database, reports on social protection services provided can be generated and submitted both to the Full Council and the District Development Coordinating Committee.

3.5.2 Methodology.

Set up the database on a specific computer, local network, or, even better: to a dedicated online platform (such as google drive).

Monthly reports from the single-entry points, both at ward ad district level are captured in the database.

Tools Available under this result area:

6-A Terms of reference for single-entry points.

Terms of reference for single-entry points at district level (DSWO / DCD0).

Maintaining the beneficiary registry.

Case management.

Updating the stakeholder matrix.

Hold monthly meetings.

Submission of reports to the DDCC.

Terms of reference single-entry points at ward level (WDC).

Hold monthly meetings.

Quarterly meetings.

Quarterly submission of the reports to the DSPC /local government.

Monitoring of social protection.

Coordination.



Sensitization of the community.
Case management.
Making referrals to the district level and to local service providers.

Terms of reference single-entry points at sub-ward level (sub-structures).
Hold monthly meetings.
Quarterly submission of the reports to the WDCs.
Monitoring of social protection.
Ensure coordination.
Sensitization of the community.
Case management.
Making referrals to the WDCs.
Develop duty rota.
Generating beneficiary register.

3.6 Single-Entry Points.

3.6.1 Best Practice.

The single-entry points at ward level are the WDCs (and, need be, their sub-structures).

The single-entry points at district level are the DPU, the DSWO or the DCDO.

The single-entry points for access to social protection services are the most important entities in the Single Window structure for the district. This is the access point for the citizens.

Single-entry points are to be established at every ward in the district, to provide easy access to various social protection programmes. The -(WDC) form the single-entry points at ward level. However, in wards which are geographically large, the WDC sub-structures such as Community Welfare Assistance Committees (CWACs), Village Action Groups etc can be identified and used as single-entry points. However, from these sub structures, every case and report must go through the WDC.

3.6.2 Methodology.

1. To ensure the broader buy-in and consent, the first step is to engage the traditional and civic leaders. They will be important in ensuring community awareness and participation in the Initiative.



2. To establish the single-entry points at ward level, an orientation meeting should be conducted in each of the wards. During this meeting, the concept of the single window initiative is presented and the role and tasks of the WDC as the single-entry point are explained. Where required (for example in geographically large wards) representatives of the sub structures are invited to this meeting.

Tools Available Under this result aArea:

6-A Terms of reference for single-entry points.

Terms of reference for single-entry points at district level (DSWO / DCD0):

- i. Maintaining the beneficiary registry.
- ii. Case management.
- iii. Updating the stakeholder matrix.
- iv. Hold monthly meetings.
- v. Submission of reports to the DDCC.

Terms of reference for single-entry points at ward level (WDC).

- i. Hold monthly meetings.
- ii. Quarterly meetings.
- iii. Quarterly submission of the reports to the DSPC /local government.
- iv. Monitoring of social protection.
- v. Coordination.
- vi. Sensitization of the community.
- vii. Case management.
- viii. Making referrals to the district level and to local service providers.

Terms of reference single-entry points at sub-ward level (sub-structures).

Hold monthly meetings.

Quarterly submission of the reports to the WDCs.

Monitoring of social protection.

Coordination.

Sensitization of the community.

Case management.

Making referrals to the WDCs.

Develop duty rota

3.7 Capacity Development Single-Entry Points.

3.7.1 Best Practice.

A full training must be conducted for all single-entry point members in social protection, the single window concept and full case management which includes referrals and addressing grievances.

To enable the members of the WDC (and, possibly its sub-structures) to fully fulfil their roles and tasks as single-entry points, a training needs to be provided. This training needs to instil knowledge on social protection in general, as well as create awareness on various social protection programmes and services available in the community, ward and in the district. Further, the training must incorporate the entire case management cycle from initial contact with the client to providing feedback after referrals and conducting follow ups. Finally, the grievance mechanism as well as the reporting methodology needs to be taught. Districts must use existing Grievance and Redress mechanisms, unless where they do not exist.

3.7.2 Methodology.

1. A training manual needs to be developed which contains the minimum requirements as provided in the tool. The manual needs to be adjusted to the local situation, by including the available social protection programmes and its providers, among others.
2. The training is conducted depending on the size of the Ward. It may be possible to combine several committees in one training group. Ideally, during the training, it is important to use a couple of fictive cases/scenarios are conducted to practice with case management.

Tools Available Under this result area:

7-A Minimum requirement single-entry point training.

7-A Minimum requirements single-entry points training.

Single Window training manual for single-entry points at community and district level



Minimum required content for the training:

- Explanation of the Single Window Initiative.
- Awareness of social protection services provided (Change agent to demand for services).
- Data entry and management.
- Report writing.
- Case management.
- Grievance mechanism.
- Prevention of sexual exploitation and abuse and GBV.
- Client feedback on cases and grievances.
- The proper use of each of the tools under coordination system (reporting format and coordination model) and case management (assessment form, referral form, grievance management form, case management register).
- Channels of communication.

3.8 Community Sensitisation and Awareness

3.8.1 Best Practice.

Conducting community sensitisation meetings in combination with any other communication methodology which would suit the characteristics of the districts.

The people in each ward need to be made aware that they can access social protection services in their own ward. For this, the best practice is to conduct community sensitisation meetings. These meetings inform the community about what social protection is, what kind of support programmes are available and where they can access these services, without having to visit the district level government structures (the single-entry points). To enhance the impact of the meetings, various other means of communication can be introduced, such as handing out of flyers or brochures, hanging up posters, conducting radio shows, etc. The latter are influenced by the geographical character of the district.

3.8.2 Methodology.

1. There is need for each district to undertake quick surveys/studies to determine the best sensitization approaches most suitable to the population resident in the area.
2. Conduct a team meeting to decide what communication channels are to be rolled out in combination with community meetings. In this meeting, formulate key messages to be shared with the community (what information, how it will be shared and in which sequence it will be disseminated, etc).

3. Develop tools, suitable for the area, containing the required information.
4. Plan the community sensitisation meetings.
5. Engage the civic and traditional leaders to ensure their involvement and support and buy in from the community.
6. Conduct the community sensitisation campaigns.
7. It is recommended that a selective evaluation is conducted on a quarterly basis in a few wards to assess how well the provided information has been understood.

Tools Available Under This Result Area:

8-A Recommendations communication approaches.

Recommended content for community sensitisation:

- Define what Social Protection is.
- Present the Single Window Initiative.
- Provide list of social protection services being offered in the district.
- Describe the catchment area of services being provided in the district.
- Contact number for the Focal Point person should be indicated i.e District level.

Recommended approach for community sensitisation meetings:

Target groups will be segregated into two:

- Traditional leaders and Civic leaders.
- Community members.

WDCs to be part of the meetings.

Each stakeholder is expected to be on board during community sensitization to explain which Social Protection services they offer/catchment area i.e. NGOs, CBOs.

Possible methodologies for community sensitisation meetings:

- Drama performances.
- Poems.
- Use of church gatherings.



Brochures / flyers

- Community members can be availed with copies of brochures/ flyers.
- Sticking of posters in the community and entry point.
- Contact details for WDCs to be provided during meetings to community.

Recommended electronic sensitisation.

- Radio/ TV broadcasts.
- Define what social protection is and give an overview of available programmes.
- Stakeholder to talk about the services they provide in relation to SWSD.
- Play pre-recorded key messages on social protection.
- Usage of megaphones (together with ZANIS).

Annex 1: Single Window Lesson Learning Activity Planning Format

District Name:												
RESULT AREA	STRATEGY	OUTPUT	ACTIVITIES	TIME PLANNING FIRST FOUR QUARTERS				NEXT PERIOD	BUDGET (ZMK)			
				1	2	3	4		LOCAL RESOURCES	EXTERNAL RESOURCES		
1	STAKEHOLDER MAPPING											
								RESULT AREA TOTAL:	0	0	0	
								RESULT AREA TOTAL:	0	0	0	
	STAKEHOLDERS ENGAGEMENT											
								RESULT AREA TOTAL:	0	0	0	
4	CENTRAL REGISTRY / DATABASE											
								RESULT AREA TOTAL:	0	0	0	
5	SINGLE ENTRY POINTS											
								RESULT AREA TOTAL:	0	0	0	
6	CASE MANAGEMENT											
								RESULT AREA TOTAL:	0	0	0	
7	COMMUNITY SENSITISATION											
								RESULT AREA TOTAL:	0	0	0	
								PROJECT TOTAL:	0	0	0	



Annex 2: Single Window Lesson Learning Monitoring Sheet

	DISTRICT:									
	PERIOD OF REPORTING:									
	DATE OF SUBMISSION:									
	RESULT AREA	RESULT / OUTPUT	ACTIVITIES	PLANNED	ACTIVITY PLANNING PROGRESS	COMMENTS	PLANNED	ACTUAL	BUDGET (ZMK)	BALANCE
1	STAKEHOLDER MAPPING									
						RESULT AREA TOTAL:	0	0	0	0
2	STAKEHOLDER INVOLVEMENT									
						RESULT AREA TOTAL:	0	0	0	0
3	SINGLE ENTRY POINTS									
						RESULT AREA TOTAL:	0	0	0	0
4	CENTRAL REGISTRY / DATABASE									
						RESULT AREA TOTAL:	0	0	0	0
5	CASE MANAGEMENT									
										0
										0
						RESULT AREA TOTAL:	0	0	0	0
8	COMMUNITY SENSITISATION									
						RESULT AREA TOTAL:	0	0	0	0
						PROJECT TOTAL:	0	0	0	0

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