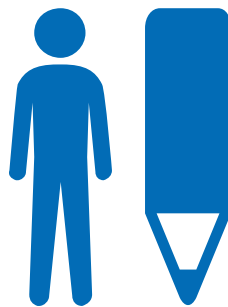


# DiRECT: DIRECT RESPONSE THROUGH EMERGENCY CASH TRANSFERS

## SET UP: TARGETING AND REGISTRATION FOOD INSECURITY



**Namwala and Sesheke Districts  
Zambia**

***For: Project Coordinator; District Project Coordinators;  
PSO; DWAC; DSWO; CWAC***

*NOTE: Registration under DiRECT is free: no beneficiary should ever  
have to pay to be eligible for the programme.*



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This project is funded with UK aid from the British people

## PROJECT OVERVIEW

<p><b>What?</b></p>	 <p>Temporary cash transfers to support food insecure households in meeting their basic food and essential non-food needs without resorting to negative coping strategies.</p>  <p>Grants and business skills training to local retailers to enable them to restock and prepare for an increase in demand.</p> <p>To inform the future scale up of the national Social Cash Transfer programme in response to future food insecurity emergencies.</p>
<p><b>How?</b></p>	 <p>ZMW 90 will be provided to registered household per month for 6 months. Transfers will be provided through either mobile money, smart cards or manually via agents.</p> <p>A grant of ZMW 500 will be provided to selected retailers alongside business skills training.</p>
<p><b>Where?</b></p>	 <p>Five drought-affected districts in Zambia's Southern and Western Provinces: Namwala, Pemba, Sinazongwe, Limulunga and Sesheke. Districts were targeted following a national vulnerability assessment and agreed with the Ministry of Community Development and Social Welfare (MCDSW) and the National Disaster Management and Mitigation Unit (DMMU).</p>
<p><b>When?</b></p>	 <p>Household transfers will be provided once a month for 6 months between December 2016 and April 2016. Two payments will be made in December (covering November and December).</p> <p>Grants to traders will be provided as one-off lump sum on completion of initial business skills training and no later than the 1<sup>st</sup> cash transfer.</p>
<p><b>Who?</b></p>	 <p>Household cash transfer: 25,680 food insecure households. In districts receiving the SCT, assistance will be provided to households with a pregnant woman/girl or with a child under the age of 2 and who are not recipient of the SCT. Whilst in districts not receiving SCT, targeting will be based on food insecurity. In both districts households must have been living in the District for 6 months + to be eligible.</p> <p>Grant to traders: 200 retailers, 60 from the main Boma market and significant rural markets in 3 of the 5 districts.</p>

## ACRONYMS

AFSC	Area Food Security Committee
CD	Country Director (Concern Worldwide)
CDF	Community Development Facilitator (Concern Worldwide)
CRM	Complaints Response Mechanism
CWAC	Community Welfare Assistance Committee
CWW	Concern Worldwide (Implementation partner)
DCDO	District Community Development Officer
DDG	Digital Data Gathering
DFID	UK, Department for International Development
DMMU	Disaster Management and Mitigation Unit
DPC	District Project Coordinator (Concern Worldwide)
DWAC	District Welfare Assistance Committee
DSWO	District Social Welfare Officer
IFRC	International Federation of the Red Cross
NRC	National Registration Card
PD	Programmes Director (Concern Worldwide)
PM&E	Planning, Monitoring and Evaluation
PSO	Project Support Officer (Concern Worldwide)
SCI	Save The Children International (Implementation partner)
SCT	Social Cash Transfers
SWO	Social Welfare Officer

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The purpose of this document is to provide programme teams with a step-by-step guide to how to set up the DiRECT project in districts who **are not** currently receiving the national Social Cash Transfer. There is a separate guide for those districts who are receiving the Social Cash Transfer.

It covers the **selection of households** who will receive cash transfers to meet food and essential non-food needs and not the selection of traders who are also to be supported by the project.

Selection of households will be done in 8 steps, each which involve a number of activities:

<b>Step 1:</b>	<b>Awareness raising</b>
<b>Step 2:</b>	<b>District level coordination (DWACs, DDMC)</b>
<b>Step 3:</b>	<b>Community level training (CWACs, SDMCs)</b>
<b>Step 4:</b>	<b>Feedback and accountability</b>
<b>Step 5:</b>	<b>Listing potentially eligible households</b>
<b>Step 6:</b>	<b>Validation</b>
<b>Step 7:</b>	<b>Formal registration</b>
<b>Step 8:</b>	<b>Communication</b>

Each step sets out:

- **what** activities are required;
- **who** is responsible;
- **how long** it is likely to take and **when** it should take place (if possible);
- what **inputs** are needed (information required), and
- what (if any) **outputs** are expected.

Please use this document alongside the detailed DiRECT workplan

## STEP 1: Awareness raising

**Objective:** To introduce the DiRECT project to Provincial, District and Ward stakeholders and provide information on the eligibility criteria and the identification process.

**Activity 1.1:** Hold an inception workshop with key Provincial and District stakeholders

<b>Who?</b>	CD; PD; DPC; SCI; DMMU
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Tasks	Timing
Sensitise Provincial and District stakeholders on the DiRECT project: <ul style="list-style-type: none"> <li>• General project overview</li> <li>• Vulnerability criteria</li> <li>• Set up: targeting and registration</li> <li>• Draft plans for implementation</li> <li>• Humanitarian principles</li> </ul>	Opening activity; likely to take one day. To take place simultaneously in each Province (Western; Southern)

*Information required:*

- DiRECT Training Guide
- Workshop agenda and participant list
- Approximate target numbers per Ward
- Vulnerability criteria
- Implementation plans

*Output(s):*

- Workshop feedback
- Agreement on vulnerability criteria and relevant district thresholds

### CHECK!

- ✓ Do Provincial and District stakeholders understand how DiRECT will be managed and the different roles and responsibilities of Concern Worldwide and SCI.
- ✓ Do Provincial and District stakeholders understand and agree with how recipients will be identified and selected?

### Activity 1.2: Publicize the project on community radio

<b>Who?</b>	Advocacy Adviser
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Tasks	Timing
Finalise radio script	To begin following Community level training (Step 3).
Contact community radio stations	
Secure message slots	

#### Information required:

- Final radio script
- Radio contact details

#### Output(s):

- Live radio schedule in targeted Wards



### Activity 1.3: Disseminate DiRECT project posters and leaflets

<b>Who?</b>	PSO
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Tasks	Timing
Finalise leaflets	Opening activity. To monitor and repeat throughout the project if necessary.
Finalise posters	
Translate the leaflets/posters	
Distribute leaflets and posters at key locations within the District focusing on targeted Wards (schools, health centres, churches, local government buildings)	

#### Information required:

- General project overview
- Community feedback mechanism (CRM)

#### Output(s):

- DiRECT project leaflets are displayed within targeted Wards
- DiRECT project posters are displayed within targeted Wards

**At this stage the vulnerability criteria, against which households will be assessed for eligibility, should not be published to prevent any fraudulent claims**

## STEP 2: District level coordination

**Objective:** To raise awareness of DiRECT and ensure that the necessary structures to implement the project are in place in targeted districts.

### Activity 2.1: Meet with the DSWO and DWAC in Namwala and Sesheke District

<b>Who?</b>	DPC; DSWO; DWAC; DMMU
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Tasks	Timing
Sensitize the DDMC and DWAC (and possible the Community Development Agents) on: <ul style="list-style-type: none"> <li>• General project overview</li> <li>• Vulnerability criteria</li> <li>• Set up: targeting and registration</li> <li>• Humanitarian principles</li> </ul>	One and a half days per District (one day for training and half a day working)
Review geographical targeting and priority wards identified in the ZVAC report.	
Identify the community structures to be used, which need to be reactivated and map their catchment area.	
Agree approximate target numbers per CWAC/SDMC catchment.	
Discuss vulnerability criteria and agree on any relevant thresholds for each district.	
Gather key contacts/focal points at district and ward level, including Traditional leaders, CWAC	

Chair and Vice Chair.	
Agree role and responsibility of the DWAC.	
Agree on location of CRM boxes	

#### Information required:

- DiRECT Training Guide
- DMMU 2016 Food Security Atlas
- Approximate target numbers per Ward
- Vulnerability criteria

#### Output(s):

- Workshop feedback
- Final list of Wards to prioritised
- List of approximate target numbers per Ward
- List/map of CWAC catchment areas
- Project contact list
- Formal agreement between the DiRECT project and DWAC on roles and responsibilities.

#### CHECK!

- ✓ Do DDMC and DWAC understand and agree with how recipients will be identified and selected?
- ✓ Do we know the main project contact points at a District and Ward level?
- ✓ Do we know how the eligibility criteria relates to the current state of food security in the district and what thresholds can be applied to enable effective targeting?
- ✓ Do we know what role the DWSO and DWAC will play in the set up and implementation of DiRECT?

## STEP 3: Community level coordination and training

**Objective:** To raise awareness of DiRECT and ensure that the necessary structures to implement the project are in place in targeted Wards and are trained.

**Activity 3.1:** Contact traditional leaders and CWACs (or SDMCs or AFSC where CWACs are not available and can't be reactivated) and arrange trainings in the community

<b>Who?</b>	DPC; DSWO
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Tasks	Timing
Call CWAC focal points and traditional leaders to make initial contact	One day; Follows meeting with DWAC
Update project contact list (if necessary)	
Convene meetings with CWAC/groups of CWAC depending on proximity.	

*Information required:*

- Project contact list

*Output(s):*

- Meeting schedule including dates, times and locations

**Activity 3.2:** Meet with selected CWAC members and traditional leaders the priority wards in Namwala and Seheke Districts and train CWAC members on DiRECT project set-up

<b>Who?</b>	PC; DPC; PSO; PM&E Officer; CDF, DSWO; DCDO,
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Tasks	Timing
Sensitise CWAC/SDMC members and traditional leaders on the DiRECT project <ul style="list-style-type: none"> <li>• General project overview</li> <li>• Vulnerability criteria</li> </ul>	Half a day/One day depending on the total number of meetings required
Agree role and responsibility of the CWAC	
Train CWAC/SDMC members on: <ul style="list-style-type: none"> <li>• Set up: targeting and registration</li> <li>• Fraud prevention</li> <li>• Validation</li> <li>• Humanitarian principles</li> <li>• PM&amp;E</li> </ul>	
Ensure CWAC/SDMC members understand the next steps in project Set Up and Implementation	
Agree on when the initial recipient list will be collected	
Inform CWAC/SDMC of CRM process and location of the CRM boxes and agree on the role of CWACs in the CRM process	
Identify and agree on the role of CWAC/SDMC in the CRM process: <ul style="list-style-type: none"> <li>- Sensitization</li> </ul>	

<ul style="list-style-type: none"> <li>- Development of the draft beneficiary list based on the set criteria</li> <li>- Support the physical verification process</li> <li>- Contribute to addressing feedback</li> </ul>	
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*Information required:*

- DiRECT Training Guide for Community Structures
- Communication materials
- Preliminary CRM process (covering Set Up)
- Materials required to developing initial recipient lists.

*Output(s):*

- Workshop feedback
- Formal agreement between the DiRECT project and CWAC on roles and responsibilities (including role in CRM)
- Agreement on when initial recipient list will be collected

**Activity 3.3: Meet with Chiefs at Chiefdom Level (where applicable)**

<b>Who?</b>	DPO; PSO; CWAC/ SDMCS/AFSC
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Tasks	Timing
Community focal points to make arrangements	Short courtesy visit; possibility to do a number of visits in one day during on locality.
Update project contact list (if necessary)	
Sensitise Chiefs on the DiRECT project <ul style="list-style-type: none"> <li>• General project overview</li> <li>• Eligibility criteria (P and HH &gt;2); food security weighting</li> </ul>	

*Information required:*

- DiRECT Training Guide for Community Structures
- Project contact list
- Communication materials

*Output(s):*

- Meeting schedule including dates, times and locations

**CHECK!**

- ✓ Do CWAC's understand and agree with how recipients will be identified and selected?
- ✓ Do we know what role the CWAC will play in the set-up of DiRECT?
- ✓ Have we provided CWAC's with the materials they need to develop the initial recipient list?
- ✓ Do we have an agreed date for collecting the initial recipient list?
- ✓ Do CWAC members know that colleagues from SCI will be leading on implementation?



Key messages:



## UTILISATION OF MONEY

The cash provided to households under the DiRECT project is **unconditional** meaning that households are free to use this money for anything they wish. It is however, intended to support households in meeting their **basic food and essential non-food needs** therefore, there is certain spend that we would advise to and other spend we would advise against.

### Spend advised



### Spend advise against



**Money is meant for the entire households therefore should not be used by only one member**

## STEP 4: Feedback and accountability

**Objective:** To provide recipients and non-recipients with a channel to ask questions, provide feedback and put forward complaints in order to help us ensure the quality of project set-up and implementation.

### Activity 4.1 Operationalise Complaints Response Mechanism

<b>Who?</b>	DPC; PSO; CDF
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Tasks	Timing
Develop a CRM process document which covers the set-up period	One day; dependent on the final number of Wards/CWAC catchment areas.
Meet with District Education Officer and District Medical Officer to decide on where CRM boxes should be located.	
Distribute community CRM boxes	
Put up posters next to CRM boxes with vulnerability criteria	

#### Information requirements:

- CRM process document
- CRM boxes and accompanying materials<sup>1</sup>

<sup>1</sup> CRM boxes should be accompanied by DiRECT project which set out eligibility criteria; target numbers for assistance per Ward and how people can ask questions, provide feedback or submit complaints.

#### Outputs:

- CRM boxes installed in Wards
- Accompanying material displayed



#### CHECK!

- ✓ Are CRM boxes available in every targeted Ward/CWAC catchment area?
- ✓ Are CRM boxes accompanied by DiRECT project posters?
- ✓ Do we know how requests for information, feedback and complaints will be managed and by whom during set-up?

## STEP 5: Listing potentially eligible households

**Objective:** To create an initial recipient list based on the vulnerability criteria which considers a household's food security/insecurity.

Activity 5.1: CWAC/SDMC to develop an initial recipient list for their catchment area

<b>Who?</b>	CWAC, SDMC
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Tasks	Timing
Develop a list of households who meet vulnerability criteria (number to be within target for Ward)	One week for developing list and two days for publishing list.
Publish initial list for validation from community	
Submit initial list to CDF for validation	

### Information requirements:

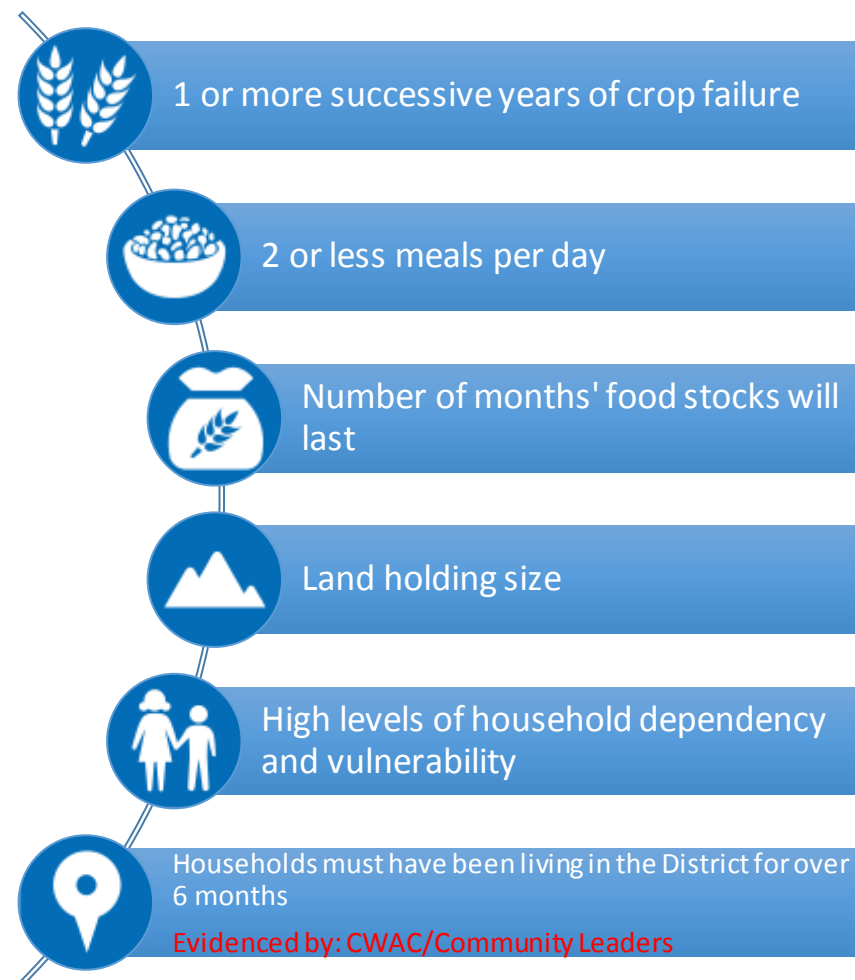
- Vulnerability criteria defined for District
- Form for capturing initial recipient list (provided in Step 3)

### Output(s):

- Initial recipient list for validation
- Initial list published in the Ward to allow for feedback

## Vulnerability Criteria

(Thresholds to be defined for each District during Step 2)



## DEVELOPING INITIAL RECIPIENT LISTS

CWACS members are likely to have to employ a number of methods in order to develop initial recipient lists. Examples of various methods are provided below and will depend on the CWAC/SDMC catchment area itself; the proximity and integration of community members and the length of time available.

### Refer to existing knowledge

In many CWAC/SDMC catchment areas, it is expected that CWAC/SDMC members will already be familiar with the wider community members and the conditions within which they live. CWAC/SDMC members therefore might be able to rely on their existing knowledge to develop the initial recipient list.

### Visit households

Where CWAC/SDMC members are less familiar with household conditions within the catchment area, perhaps the catchment area is large then visiting households is one way to find out. If CWAC/SDMC members do conduct household visits, it is important that they do not inform households of the vulnerability criteria at this stage to avoid fraudulent claims.

### Hold community meetings

Where catchment areas are small, it might be possible for CWAC/SDMC members to bring community members together to collectively identify who should receive assistance based on the vulnerability criteria.

In this instance it would be more appropriate to discuss vulnerability criteria as community members are likely to self-police any individual claims at the time.



## STEP 6: Validation

**Objective:** To verify and finalise the list of DiRECT recipients

### Activity 6.1: Review Initial Lists

<b>Who?</b>	PSO; CDF	
<b>Tasks</b>		<b>Timing</b>
Ensure numbers match the target numbers by Ward		One day; To be undertaken during a visit to the Ward

#### Information requirements:

- Initial draft recipient lists from CWAC
- Approximate target numbers per Ward

### Activity 6.2: Undertake a physical verification

<b>Who?</b>	PSO; CDF	
<b>Tasks</b>		<b>Timing</b>
Physically visit a sample of listed households to verify that they meet the eligibility criteria		One day; in accordance with activity 6.1

#### Information requirements:

- Initial recipient lists from CWAC
- IFRC sampling tool (to identify sample numbers where feasible)
- List of households to be targeted including physical location

#### Outputs:

- Feedback from verification exercise

ICRC Economic Security Unit

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## SURVEY SAMPLE SIZE CALCULATOR (v.2.4)

This tool was developed to determine sample size feasibility (both probabilistic and non-probabilistic) and sample size requirements (for probabilistic sampling). This tool does not select the sampling units (e.g. cluster, household, person, etc.).

**PLANNING**  
survey resources and feasibility

This tool can be used in survey design to calculate the feasible number of interviews given the information requirements, resources and time available. This tool can also be used for planning on the resources required for a certain sample size one wishes to achieve.

**SAMPLE SIZE**  
basic formula

This tool can be used to calculate the sample size required for a statistically relevant (probabilistic) sample using the basic formula for proportions.

**SAMPLE SIZE**  
comparison formula

This tool can be used to calculate the sample size required for a statistically relevant (probabilistic) sample for comparison surveys (e.g. either analysing the evolution of an indicator, comparing sub-groups, etc.) using the formula for proportions.

**PROPORTIONATE**  
stratification

This tool can be used to break up a sample over a number of different locations or populations types using proportionate stratification.

Feedback, questions or comments welcome to [liberty@icrc.org](mailto:liberty@icrc.org).

**Any significant deviation would mean reviewing the whole process**

Activity 6.3: Review any questions, feedback or complaints posted in the CRM boxes

<b>Who?</b>	PSO; CDF, CWAC/SDMC
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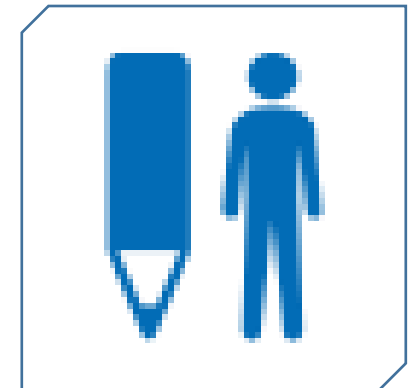
<b>Tasks</b>	<b>Timing</b>
Open CRM boxes in accordance to CRM process document	One day; in accordance with activities 6.1 and 6.2
Review submissions and take necessary action in accordance to CRM process document	Timing in accordance to CRM process document

*Information requirements:*

- CRM process document
- CRM submissions

*Outputs:*

- Necessary action on questions, feedback and complaints is taken in accordance to CRM process document
- Final list of households to be registered



**CHECK!**

- ✓ Do recipient numbers match the target numbers by Ward/District?
- ✓ Did the physical verification confirm that the eligibility criteria had been applied correctly?
- ✓ Have all questions, feedback and complaints been responded to in accordance to the CRM process document

## STEP 7: Formal registration

**Objective:** To collect registration information from final list of recipients

**Activity 7.1:** Develop a list of households who meet eligibility criteria

<b>Who?</b>	Enumerators; PM&E Officer; DP; DPC
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Tasks	Timing
Train enumerators on how to conduct the registration surveys using DDGs	Two days; to take place during inception
Arrange enumeration schedule and arrange logistics	To take place during inception
Register final recipients using survey on DDG and submit final lists to SCI for implementation phase	One week; enumerators will be recruited at District level and enumeration will take place subsequently across districts in each province.
Data cleaning and analysis	One day

*Information requirements:*

- Final recipient list
- Final list of Wards to be targeted and CWAC catchment areas
- Registration form on DDG

*Outputs:*

- Database of registered households





## STEP 7: Communication of eligible households

**Objective:** To communicate the final recipient list to relevant stakeholders at Ward, District and Provincial level; get sign off and move forward to implementation

### Activity 6.2: Formally register lists

<b>Who?</b>	DPC
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Tasks	Timing
Submit final recipient lists to relevant Provincial (DMMU Regional Area Coordinator, Provincial SW Officer) and District (DC, DSWO, DDMC) officials	As soon as the final recipient list has been produced

### Activity 6.1: Communicate final lists at community level

<b>Who?</b>	PSO; CDF
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Tasks	Timing
Post final lists at Ward level	As soon as the final recipient list has been signed off
Inform recipient households of the way forward (Implementation)	As soon as the final recipient list

	has been signed off
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*Information requirements:*

- Final recipient list

*Output(s):*

- Final approval to move forward to implementation

## GLOSSARY

### What is a household?

A household is a group of people eating from the same pot

### What is a household head?

A household head is a status given by household members; it is likely to be the key decision maker or characterised by one of the following: the person who generates the majority of household income; the eldest household member; the oldest male household member etc.

### What is a main recipient?

The main recipient is the person who will collect the cash if the households is enrolled in the programme. It must be a female member, unless there are none, and over 18.

### What is a deputy household member?

A deputy household member is a second member of the household who would be able to collect on behalf of the main recipient if they are unable to do so. Recipients must nominate a deputy household member. It must be a female member, unless there are none, and over 18.

*NOTE: Registration under DiRECT is free: no beneficiary should ever have to pay to be eligible for the programme.*



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