Mapping of the Social Protection Management Information Systems (MISs) in Uganda

Final Report

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ACRONYMS

ALREP	Northern Uganda Agriculture Livelihoods Recovery Programme
CCT	Conditional Cash Transfer
CT-OVC	Cash Transfer for Orphans and Vulnerable Children (Kenya)
DFID	Department for International Development
ESP	Expanding Social Protection Programme
GBV	Gender Based Violence Programme
GoU	Government of Uganda
HMIS	Health Management Information System
ICT	Information Communication Technology
IFMS	Integrated Financial Management System
ILO	International Labour Organisation
IMIS	Integrated Management Information System
KALIP	Karamoja Livelihoods Programme
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MFPED	Ministry of Finance, Planning and Economic Development
MGLSD	Ministry of Gender, Labour and Social Development
MoICT	Ministry of Information Communication Technology
MIS	Management Information System
MOU	Memorandum of Understanding
MoLG	Ministry of Local Government
MoPS	Ministry of Public Service
NIMES	National Integrated Monitoring and Evaluation Strategy
NIN	National Identification (ID) Number
NIRA	National Identification and Registration Authority
NITA-U	National Information Technology Authority
NSSF	National Social Security Fund
NUSAF	Northern Uganda Social Action Fund[1]
OPM	Office of the Prime Minister
OVC	Orphans and Vulnerable Children
PPI	Programme Plan of Interventions
PSPS	Public Service Pensions Scheme
PWDs	Persons with Disabilities

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[1] There are two programmes with the title NUSAF. One is a World Bank supported programme managed by the Office of the Prime Minister, also referred to as the Third Northern Uganda Social Action Fund (NUSAF3). The other programme is a World Food Programme supported programme, also referred to as the Assets for Work Programme.

QA	Quality Assurance
RDBMS	Relational Database Management Information System
SAGE	Social Assistance Grant for Empowerment
SP	Social Protection
ToRs	Terms of Reference
UAT	User Acceptance Test
UBOS	Uganda Bureau of Statistics
URSB	Uganda Registration Services Bureau
USAID	United States Agency for International Development
USH	Ugandan Shillings
USPP	Uganda Social Protection Policy
VPN	Virtual Private Network
WEP	Women's Entrepreneurship Programme
WFP	United Nations World Food Programme
YLP	Youth Livelihood Programme

1   INTRODUCTION

In November 2015, the Government of Uganda approved the National Social Protection Policy (NSPP) along with the Programme Plan of Interventions (PPI). The NSPP overarching goal is to promote effective coordination and implementation of relevant social protection interventions and is an integral part of the Uganda Vision 2040 which underscores the importance of social protection in addressing risks and vulnerabilities. According to the National Social Protection Policy (NSPP), social protection – in the Ugandan context – refers to **public and private interventions to address risks and vulnerabilities that expose individuals to income insecurity and social deprivation, leading to undignified lives**. The social protection system comprises of two pillars, namely: social security and social care and support services.

The PPI, which is effectively a costed strategy for implementing NSPP, aims to improve the delivery of social protection services in Uganda by pursuing the following objectives:

  i.   To expand the scope and coverage of contributory social security;

  ii.   To expand provision of direct income support to vulnerable individuals and households;

  iii. To enhance provision of holistic social care and support services to individuals and families at the risk of social exclusion, neglect or abuse; and

  iv.   To strengthen the institutional framework for coordinated social protection service delivery.

The social protection policy and Programme Plan of Interventions explicitly identify the need for a tool – which is commonly referred to as a "Single Registry" for social protection programmes - that would be used to harmonise and coordinate information management across the social protection sector. As part of determining the appropriate approach to harmonising and coordinating information management within the social protection sector, the Government of Uganda, the Expanding Social Protection Programme (ESP) – with support from DFID/UKAID, Irish Aid and UNICEF – and the World Bank supported Northern Uganda Social Action Fund (NUSAF 3) – commissioned a consultant (Development Pathways) in January 2017 to assess the status of the existing social protection management information systems (MIS) in the country with the aim of setting a foundation for the design and development of the Single Registry.

The consultants working closely with the Single Registry committee were tasked to deliver on three work streams:

  1. **Assessment of Management Information Systems.** This work stream entails undertaking comprehensive assessment of management information systems with specific focus on elements such as business processes, hardware, software and brainware.

  2. **Proposal for Designing and Developing Single Registry**. Building on interviews and consultations with stakeholders, this work stream aims to develop a proposal/strategy for the design and development of the Single Registry. The proposal includes detailed and practical steps (including specific models) for establishment of the Single Registry for Social Protection based on the assessment of existing SP MISs and understanding of the objectives of the Single Registry in Uganda.

  3. **Management Information System Guidelines**. To ensure that programme Management Information Systems can link up with the Single Registry, some standard functional, as well as, technical information management specifications must be adhered to by all stakeholders

within social protection sector. The output of this work stream is therefore a document setting out the technical and operational standards that each social protection management information system must comply with.

The methodology for the assessment consisted of four main tasks:

i.   **Document review:** Over 9 documents provided by MGLSD and were analysed to better understand Social Protection Policy, MGLSD and other SP stakeholders. In addition to the national documents, international literature was also analysed to inform high level architectural models (functional and technical) of the Single Registry for Social Protection. A list of all the documents reviewed is outlined in Annex 3 of the report.

ii. **Stakeholder consultations**: Meetings, both in focused group and one-to-one sessions, were held with Single Registry Technical Working Group, MGLSD staff, and other stakeholders in relevant MDAs, where information flows, current MIS needs, and available infrastructure and capacity were assessed. Annex 2 provides a full list of all the meetings and focused group discussions held during the 3 in country scoping missions undertaken over a 3-month period.

iii. **Assessment of Programme MISs**: For each MIS, the rapid assessment focused on its operational processes, information requirements, software application, hardware architecture, reporting and information usage, staffing and capacity, and governance and institutional challenges. A detailed description of the assessment criteria is provided in the introduction to chapter 2 while a detailed check list is set out in Annex 4.

iv. **Validation Workshop**. In addition to the meetings, a validation workshop was set up with all SP stakeholders to present and validate preliminary findings of the report. The list of workshop participants is presented in Annex 7.

The report is broken down as follows:

–   **Chapter 1** introduces the report, explains the expected outputs, based on the terms of reference and provides the background to the Social Protection in Ugandan context;

–   **Chapter 2** is an analysis of the characteristics of the social protection management information systems in Uganda based on the detailed assessment;

–   **Chapter 3** presents a report on proposed model of Single Registry and outline of high level requirements (functional and technical) and associated risks, assumptions and dependencies;

–   **Chapter 4** presents conclusion and key recommendations;

–   **Annex 1** is a detailed report for each social protection MIS assessed;

–   **Annex 2** is a list of consultations meetings at inception and during assessment;

–   **Annex 3** is a list of literatures reviewed;

–   **Annex 4** is a check list and methodology that was used to review the SP MISs;

–   **Annex 5** is the proposed Single Registry hardware specifications;

–   **Annex 6** is the proposed Single Registry software specifications; and

–   **Annex 7** is a list of participants who attended the report validation workshop.

2   STATE OF SOCIAL PROTECTION MANAGEMENT INFORMATION SYSTEMS IN UGANDA

There is growing recognition that Management Information Systems (MIS) can play a pivotal role in the implementation of social protection programmes. In fact, MISs are increasingly viewed as a central plank that underpins a social protection scheme's processes. The key processes of a social protection programme – as described in Box 2-1 – are supported by the MIS functions (modules) and form the basis of how the existing SP MISs operate. They also play an important role in facilitating and supporting programme monitoring.

Box 2-1: Key functions and processes commonly supported by SP programmes

Registration of Applicants   Applicants Assessment   Beneficiary Management   Disbursements and Transfers   Case Management   Reporting and Analytics

- Selection and registration of recipients;

- Vulnerability assessment;

- Enrolment of recipients;

- Member and household information maintenance;

- Monitoring of compliance with conditions;

- Transaction management of transfers or service provisions;

- Production of payment lists;

- Integration to payment service provider;

- Reconciliation of payment lists;

- Workflow to manage service (updates) request;

- Grievance / complaints mechanism;

- Exits from programme OR graduation into other schemes;

- Provision of management information reporting; and

- Monitoring of programme performance.

2.1   ASSESSMENT CRITERIA

To deliver on the objectives of the Single Registry for Social Protection, an assessment was carried out on the social protection programmes in Uganda and how their information is managed. By understanding the current state of the MISs for SP programmes, along with their operational constraints, efficiencies and effectiveness, we can establish how it can map to the single registry and fulfil the requirements for integrated information management for social protection in Uganda. The assessment of the current state of SP MIS also reveals the preparedness of the programme MIS to integrate – from a technical, operational, governance and capacity perspective – with the single registry. The assessment of the SP MISs was conducted based on the following criteria:

    i.   Operational assessment
        a. Operational processes
        b. Information requirements
        c. Governance and institutional arrangement
   ii.   Systems assessment
        a.   Software applications
        b. Web service integration experience
        c. Hardware infrastructure
  iii.   Staffing and capacity assessment

Across the different categories and criteria for assessment, a RAG (Red-Amber-Green) status – indicated in Box 2-2 – was used to evaluate and comment on the ability and preparedness of the SP programme MIS to integrate with the single registry.

Box 2-2: RAG status for MIS assessment

RED	Significant effort to transform systems, process or people
AMBER	Moderate level of transformation required OR unable to validate level of change / preparedness
GREEN	Existing systems, process and people are well equipped to make changes required
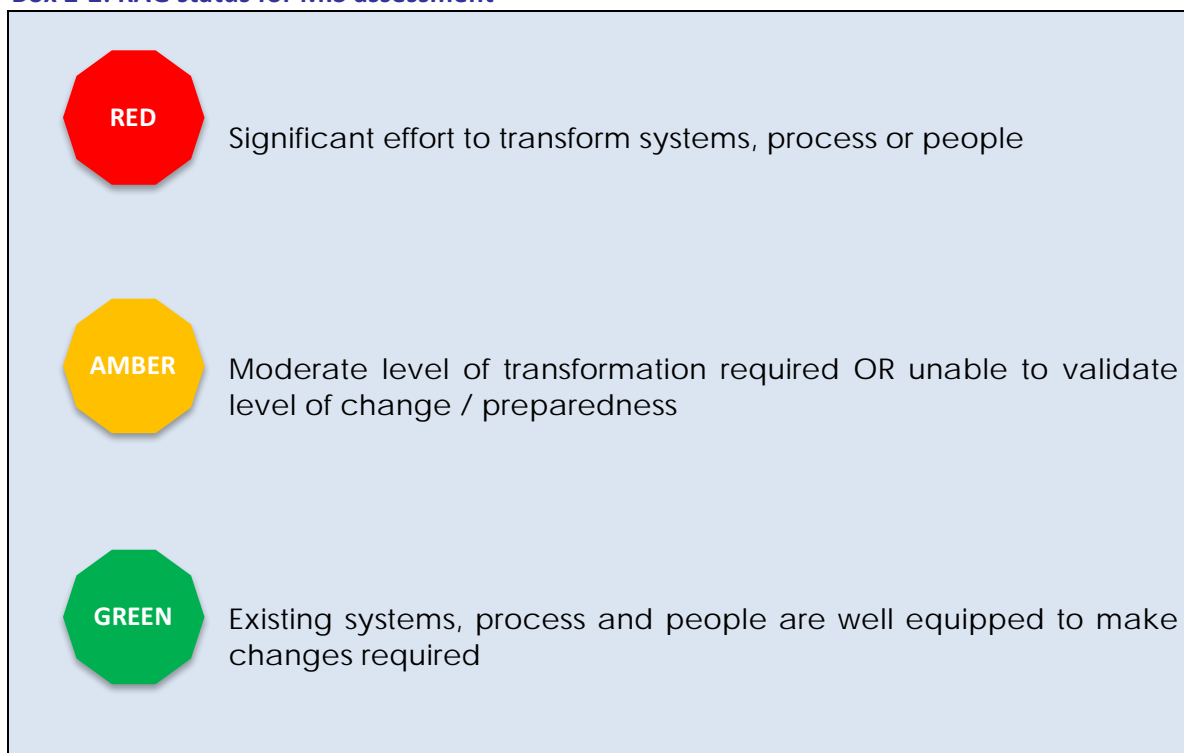
2.1.1   *Operational Assessment*

SP MISs were assessed based on the efficiency of the key operational process as identified in Box 2-1. Key factors that were considered include:

- **Processes and functions** implemented at each administrative level of government i.e. community, sub-county, district and national level.
- **Roles** played by different actors involved in the implementation of different processes at different government administrative levels, including identifying key governance and institutional arrangements
- **Information flow**. It should be noted that MIS can be broadly construed as systems that enable information flow from one level to another. Therefore, social protection MISs were

also assessed on how data is transmitted between different levels of government with specific focus on flow of data from village level to the national level.

- **Information storage**. Format in which the information is kept.
- **Operational manuals**. Existence and use of detailed operational guidelines that cover the end-to-end process of the programme, including sample forms and exceptions handling.

Considering that MISs underpin administration of social protection programmes, the assessment of MISs also included assessment of **reporting and information requirements / usage**.

2.1.2   Systems Assessment

SP MIS are defined as broad systems that enable the flow and management of information within SP programmes. It should be noted nonetheless that a functional SP MIS can range from a purely paper-based system to a highly digital one – an MIS does not need to be fully computerised. However, the more computerised it is, the higher the chance that the system is more transparent, contains more checks-and-balances – reduces the risk of fraud – and is more efficient. For instance, an MIS is not advanced merely because it has web capability; if the information is transferred in paper from data capture source to be inputted at the national level, then the web architecture is not fully utilised.

Social protection programmes were assessed on how well they **utilise appropriate software technology** to support the programmes' information management functions. This meant reviewing the degree to which these MISs support the automation of programme processes as opposed to basic computerisation (in other words, turning paper-based processes into electronic records). The software used to run the Programme MISs were also assessed for performance and change management protocols. In other words, could these MISs be easily upgraded whenever there are changes on information requirements.

The infrastructure and application architecture, including databases and **web service integration experience**, were assessed on their ability to be scaled up, security protocols, support measures, and documentation aspects. The design and architecture of the MIS were also assessed in terms of their preparedness to meet the MIS guidelines for single registry integration.

2.1.3   Staffing and Capacity Assessment

Efficiently and effectively administrating and implementing a program based MIS requires sufficient personnel dedicated to these tasks. Therefore, one key element that was considered for assessment was **staffing and capacity**. Based on the responsibilities defined within the institutional agreements, a clear organisational structure and units should be established for the MIS. Identifying personnel who can administer a program MIS and formalising their roles and responsibilities is a precondition for structured and timely information management.

The assessment of capacity covers the ability to maintain current operation, support any upgrades of MIS platform and operations to integrate with the single registry, and subsequent operational maintenance of any upgraded solution.

2.2   MAPPING OF THE NATIONAL SOCIAL PROTECTION POLICY THEMATIC AREAS

The Uganda National Social Protection Policy framework is illustrated in Figure 2-1 and provides the scope of assessment for programme MIS.

Figure 2-1: Uganda NSPP - A framework for comprehensive social protection provision
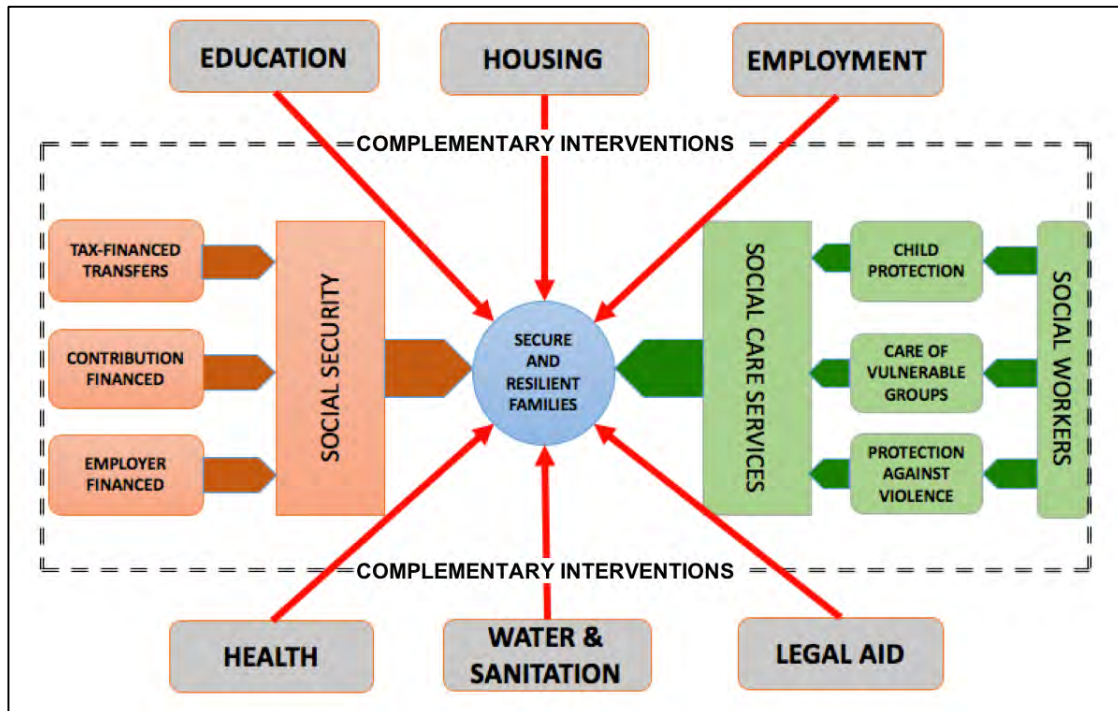
The National Social Protection Policy defines the scope of Uganda's social protection system, comprising two pillars, namely:

I.   **Social security:** *protective and preventive interventions to mitigate income shocks – retirement, ill-health, unemployment, old age, disability or disasters.*

The social security pillar has two components:
   a. **Direct Income Support** – non-contributory cash and in-kind transfers that provide relief from deprivation to vulnerable groups. Programmes include Senior Citizen grants and Public Works Scheme.
   b. **Social Insurance** – contributory schemes targeting the working population that seek to mitigate shocks arising from ill-health, retirement and disability. Programmes include the National Social Security Fund, Public Service Pensions Scheme and health insurance.

II. **Social care and support services:** *providing care, support, protection and empowerment to vulnerable individuals who are unable to fully care for themselves.*

Programme examples include:
   ▪ resettlement of abandoned and street children;
   ▪ care and protection of children in conflict with the law; institutional support to vulnerable children, PWDs and older persons;
   ▪ care and support to gender-based violence victims and survivors, community-based rehabilitation for PWDs; and

- community-based care and support for older persons.

III.   **Complementary services:** In addition to the two pillars, there are complementary interventions which are critical to social protection beneficiaries to overcome risks and shocks. These include interventions articulated in policies for agriculture, health, education, employment and finance sectors.

2.3   SOCIAL PROTECTION PROGRAMME MIS ASSESSMENT

The Government of Uganda is managing various social protection interventions across the policy framework. The current state SP MIS assessment focussed on some key programmes to determine the mapping and requirements of the single registry for the policy thematic areas:

1.   Direct Income Support
     a.   The Social Assistance Grants for Empowerment (SAGE)
     b.   Food for Assets Programme (WFP)
     c.   Northern Uganda Social Action Fund (NUSAF3)
     d.   Disability Grant

2.   Social Insurance
     a.   National Social Security Fund
     b.   Public Service Pensions Scheme

3.   Social care and support services
     a.   Orphans and vulnerable children (OVC)
     b.   Gender based violence (GBV)
     c.   Child Helpline (Sauti)

4.   Complementary interventions
     a.   Youth Livelihood Programme (YLP)
     b.   Women Entrepreneurship Programme (WEP)

2.3.1   Current state assessment of Direct Income Support MIS

The policy defines direct income support as regular, predictable transfers to vulnerable groups. A detailed assessment of the Direct Income Support programme operations, MIS platforms, staffing and associated risks / recommendations is included in Annex 1.

The Social Assistance Grants for Empowerment (SAGE) programme under the Expanding Social Protection (ESP) Programme provides a Senior Citizens Grant targeted at older persons in Uganda. It is designed to reduce old age poverty by providing a minimum level of income security to older people. The information management process and systems for SAGE demonstrated an opportunity to scale up the existing senior citizens grant to facilitate other direct transfer social protection interventions. SAGE currently operates an MIS platform that supports most of the operational processes of the programme. An upgrade of the platform is planned as part of the ESPII Programme that will also scale-up the programme. The assessment concludes that the e**xisting operations, systems and people are well equipped to make changes required for mapping and integration to the Uganda single registry for social protection.**

The Assets for Work programme managed by WFP and the Third Northern Uganda Social Action Fund (NUSAF3) programmes support public works components being implemented in the country, particularly Northern Uganda. The objectives of the public works include creation of community assets, provision of food items to households affected by famine and transfer of cash to poor households with labour capacity. Both programmes are undergoing considerable development / upgrades of their MIS platforms and will need to incorporate the MIS guidelines as part of their upgrade implementation plans to integrate with the single registry. The Assets for Work programme has also initiated a **Community Registration Database** to support capturing and maintaining household data in Karamoja (Northern Uganda) and the functionality / capability may be shared with other programmes to support common targeting and registration processes and information. The public works programmes also contain livelihood interventions as part of their scope of services, but these are currently identified as complementary interventions. Given that both programmes are undergoing significant change and upgrade to MIS platforms, the assessment concludes that a **moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection.**

The Disability programme supports the Persons with Disability Act (2006) by providing for comprehensive protection of PWDs against all forms of discrimination and equalisation of opportunities. The programme was determined to have two components: a) social grant to groups of disabled persons; and b) community based rehabilitation services. As the social grant is provided to a group of beneficiaries, a regular and predictable transfer cannot be facilitated and the assessment concludes that it should be mapped to the NSPP complementary services in its current form. The community based rehabilitation services should be mapped the Social Care and Support services thematic area. Furthermore, assessment of the existing operations, systems and capacity of the programme indicate considerable effort and redesign required to follow the MIS guidelines. The assessment concludes that **significant effort to transform systems, process or people required for mapping and integration to the Uganda single registry for social protection**.

2.3.2   Current state assessment of Social Insurance MIS

Social security enables people to continue living lives of dignity after retirement or when a calamity that could adversely affect their income befalls them by providing an effective mechanism to access social security funds. The purpose is to ensure that workers are guaranteed a decent life upon retirement. A detailed assessment of the Social Insurance programme operations, MIS platforms, staffing and associated risks / recommendations is included in Annex 1.

The National Social Security Fund (NSSF) is the largest social security scheme in Uganda, but is limited to the formal sector and covers employees who work in firms employing a minimum of five (5) workers. The NSSF programme provides an age benefit, survivor's benefit, withdrawal benefit, invalidity benefit and an emigration benefit. The detailed assessment disclosed a mature operating model and concluded that the e**xisting operations, systems and people are well equipped to make changes required for mapping and integration to the Uganda single registry for social protection.**

The Public Service Pensions Scheme (PSPS) is currently a non-contributory, defined pay-as-you-go retirement benefit scheme financed from the Consolidated Fund. The scheme provides benefits to Government employees / traditional civil servants, primary and secondary school teachers, police officers, prison officers, doctors and public employees in the judiciary. A member will be entitled to pensions or benefits payable on termination of service for a variety of reasons. Benefits include a survivors' benefit and an array of other gratuities such as contract gratuities, short term gratuities,

and marriage gratuities. Given the dependency on external consultants to build the integration services with the single registry, it was concluded that a **moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection**. However, recent investment and focus to upgrade the systems indicate that adopting the MIS guidelines will be feasible.

Other social insurance interventions, such as Workers Compensation and Health Insurance were not captured in this assessment, but may be assessed and on-boarded onto the single registry when feasible.

2.3.3   Current state assessment of Social Care and Support Services MIS

Existing formal social care and support services include resettlement of abandoned and street children, care and protection of children in conflict with the law, institutional support to vulnerable children, PWDs and older persons, care and support to gender-based violence victims/survivors, community-based rehabilitation for PWDs, community-based care and support for older persons.

The assessment of the OVC MIS demonstrated a centrally hosted web based platform to capture the diverse set of social care and support services being provided, but it was dependent on various service providers managing the operations of those social care interventions on separate paper based or spreadsheet solutions. In its current state, the OVC MIS is a consolidated reporting tool of the various care services related to orphans and vulnerable children and does not provide access to the information management of beneficiaries. The Child Helpline (Sauti) and Gender-based Violence programmes are supported by workflow management solutions that capture details of cases where care and support has been needed and provided for vulnerable children and gender based violence victims / survivors. The NSPP has already noted the lack of an integrated and comprehensive management information system for social care and support services in the country as a major constraint to proper planning and resource mobilisation for social care services. An assessment of the information management for OVC, Child Helpline, and GBV confirms the need for a coordinated approach to capture and manage registration, beneficiary, and service provision information and concludes that **significant effort to transform systems, process or people required for mapping and integration to the Uganda single registry for social protection**.

2.3.4   Current state assessment of Complementary Services MIS

The Youth Livelihood Programme (YLP) and Women Entrepreneurship Programme (WEP) are two complementary interventions based on group-based provision of revolving funds for livelihood support. Both programmes are undergoing considerable investment in developing a new MIS platform that will be rationalised for functionality and management so that they may be shared across the two programmes. A key dependency will be to ensure that the SP monitoring and evaluation (M&E) framework identifies the relevant information and indicators that will be required to be passed to the single registry so that the programmes can map to the requirements of the single registry. As the platforms are in development, but being built with appropriate web service integration architecture in mind, the assessment has concluded that a **moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection**.

Other social protection interventions with livelihood components or managing group based beneficiaries will be assessed for on-boarding to the single registry as required.

2.4 KEY CONSIDERATIONS AND FINDINGS FOR MAPPING TO THE SINGLE REGISTRY

The following is a list of key findings during the assessment that cut across the policy framework and will influence the potential model for the Uganda single registry.

▪ **National Identification and Registration Authority (NIRA) ID missing for many programmes.** NIRA facilitates civil registration, which is an important component for effective implementation of social protection programmes and their beneficiary information. The MIS guidelines identify National ID as a pre-requisite for integration with the single registry, but all but one programme – the Public Service Pensions Scheme (PSPS) – have identified this as a gap in their information maintenance. While it is best to have the National ID collection as part of the beneficiary registration process, existing records will need to be updated with the support of NIRA. The Public Service Pensions Scheme (PSPS) and NIRA have recently undertaken this process to add National ID numbers to their beneficiary databases.

▪ **Lack of an integrated and comprehensive MIS for end-to-end processes for Social Care and Support Services**. Various processes for social care and support are provided through service providers with varying maturity levels of MIS platforms. The centrally managed OVC MIS provides a consolidated reporting framework, but only at a summary level. The relevant MIS programmes need to be reviewed to incorporate the relevant indicators required by the upcoming M&E framework. To integrate with the single registry, the development of a centralised MIS for social care and support, or a separate monitoring service layer that incorporates the wide variety of service provisions with relevant beneficiary and operations data, is required. The case management solutions supported by the Child Helpline and GBV could then also integrate with the social care monitoring MIS solution.

▪ **Pressure on capacity at the district level with the level of change and new MIS platforms being on-boarded**. Uganda runs a decentralised governance structure; thus, districts and sub counties perform an important role in the implementation of SP schemes. The assessments revealed existence of new platforms, upgrades of existing platforms, and scale-up of operations across many of the programmes. There is therefore a need to address any concerns related to district staff to take on change and the new solutions. In many cases, there will be brand new systems with differing functionality, and risks additional strain being placed on the current operations of existing programmes. A long-term vision for capacity as a core activity is required in conjunction with the NITA-U mandate / objective to rationalise systems where relevant.

▪ **Processes at the sub-county level are mainly manual / paper based**. Community engagement and registration processes are exposed to risk of human error / data fraud / delays before they reach data entry stage at district level. Standards in operational processes should therefore be reviewed across the programmes to ensure appropriate risk management. Consideration should be given to processes that may be digitised to increase efficiency and reduce errors – in the medium to short term. Mobile / tablet solutions for data capture and validation are becoming less costly to implement and greatly reduce data

integrity and quality issues. Consideration should also be given to consolidating operations, and where appropriate, sharing hardware infrastructure and office space to avoid duplication and wastage of scarce resources. Given that paper based and spreadsheet solutions will remain for sub-county processes, appropriate document management solutions should be considered as part of the risk management activities.

- **MIS platforms are being developed in silos**. An opportunity exists to increase efficiencies and gain economies of scale by rationalising systems and functionality where relevant. Within Ministries, it is reasonable to enhance existing systems within the social protection policy thematic areas (i.e. direct income, public works, social care) instead of building new systems.

- **Very little web service integration experience**. The current platforms have not needed to deliver web service integration solutions to date, as many processes have been retained within the one MIS platform and still dependent on several paper-based processes. The assessment has determined that most platforms are built on appropriate technology architecture that will be able to facilitate integration with the single registry. While technology architecture may be appropriate, there is inadequate resource capability / capacity to meet integration requirements as many systems are still managed by external consultants. NITA-U is building an enterprise service layer to manage integrations between government systems that may be of relevance to the programmes, but that solution may not be proposed (as per initial scope) for integration with the single registry.

- **Payments functionality / processes are a common issue among programmes**. While some programmes may have invested in integration with a payment service provider, the solution is not considered robust and fully automated. For example, some programmes need to manually verify all payment and reconciliation files before they can close the payment cycle process. There is a Payment Gateway service being developed / proposed by NITA-U and the single registry could provide a gateway to this service if required – linking up SP programmes with the NITA-U programme gateway. If well implemented, a payment gateway could provide beneficiaries with opportunity to choose payment services, but consideration would be needed on how to handle complaints and grievances, contracting, and accessibility of the payment services, especially in remote locations.

- **Data quality and accuracy for policy reporting is an issue**. Consider putting in place protocols for data quality assurance, certifications and audits using existing government institutions such as UBOS. Data level integration with external verification services and data providers may also increase data quality and accuracy, such as obtaining geographic master lists from UBOS and triangulating the SP data against the census.

3   PROPOSED SINGLE REGISTRY MODEL IN UGANDA

3.1   INTERNATIONAL MODEL

In many developing countries, there is a growing interest in linking together the MISs of individual schemes into a national Integrated MIS (often known as a Single Registry). Key drivers for a Single Registry include the need for greater harmonisation and coordination within the social protection sector. The use of appropriate levels of technology aligned to the local circumstances of each country could significantly increase the efficiency of many of the operational processes within social protection systems.

Figure 3-1: Typical model of Integrated MIS set-up
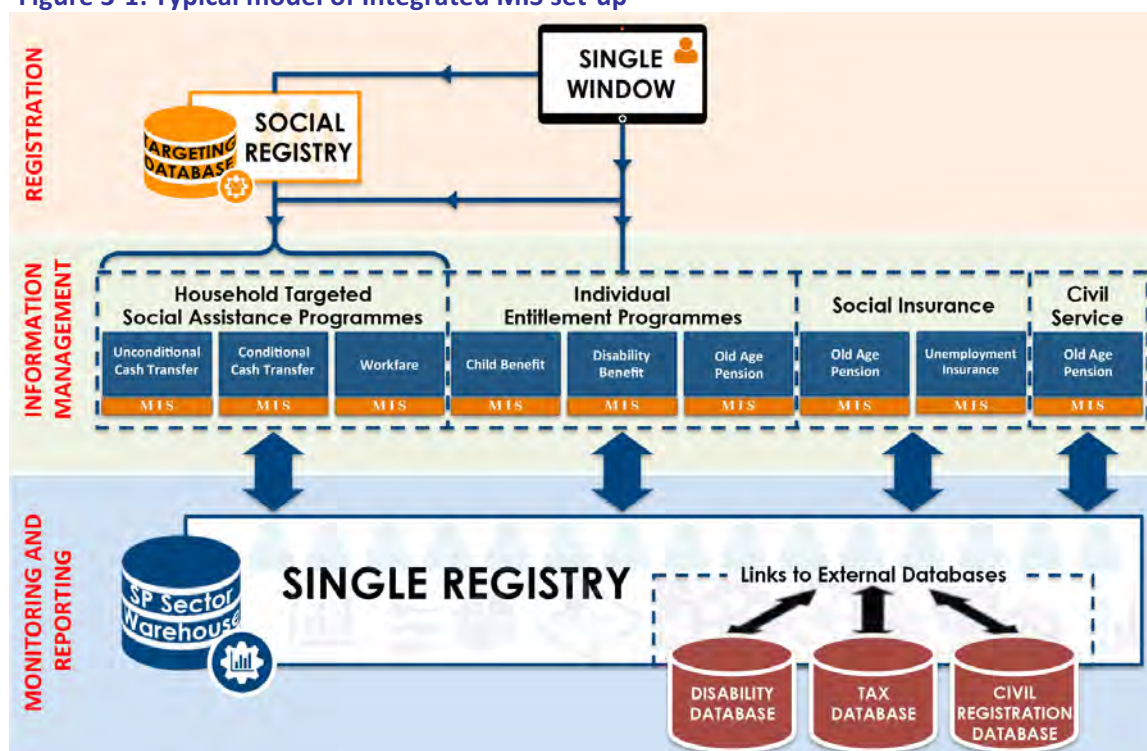
As illustrated in Figure 3-1, international evidence points to four key elements for integrating data and information within social protection:

i.   **Programme Management Information Systems**. Management Information Systems (MISs)[2] underpin effective social protection schemes, ensuring the high-quality delivery of the key operational processes, such as registration, enrolment, payments, and grievances. They also play an important role in facilitating and supporting programme monitoring. MISs for social protection programmes reflects the operational processes of a programme, predicated upon appropriate technology.

ii. **Single Registry.** This is a warehouse of information linking together social protection sector schemes to provide social protection performance reports to policy makers as exemplified

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[2] The term **Management Information System (MIS)** is used to refer to application software that perform a range of basic functions that enable the flow and management of information for key processes within social protection schemes including (i) Identification of applicants and beneficiaries through targeting and registration (ii) Compliance with conditions in conditional cash transfer (CCT) and public works schemes (iii) Management of appeals and grievance processes (iv) Exit and graduation of beneficiaries (v) Production of payment lists (vi) Reconciliation of payments.

by Kenya's Single Registry. This policy tool also provides interlinkages to the programme MISs and external databases such as disability, tax and civil registration.

iii.   **Single Windows.** These are platforms of shared services e.g. payments, complaints and grievances, and registration.

iv.   **Unified Targeting Databases**. Several countries (e.g. Brazil, Indonesia and Pakistan) have set up large targeting databases with the aim of creating and maintaining a list of poor households. The outcome of this type of database is a uniform targeting index for selecting households of social assistance schemes. They are not used for the more common individual, entitlement based lifecycle social protection schemes.

It is worth emphasising that a country is not required to build all these components all at once. There will be contexts in which it is not necessary to have Single Windows linked directly to Programme MISs. And, it is common for targeting to be undertaken effectively on a programme by programme basis, without the need for one harmonised targeting mechanism. Therefore, contextual opportunities and constraints should be considered as the roadmap to constructing an integrated SP MIS is being developed.

3.2   ANALYSIS OF CONTEXTUALISED MODEL

Figure 3-2: Proposed Uganda Single Registry Model
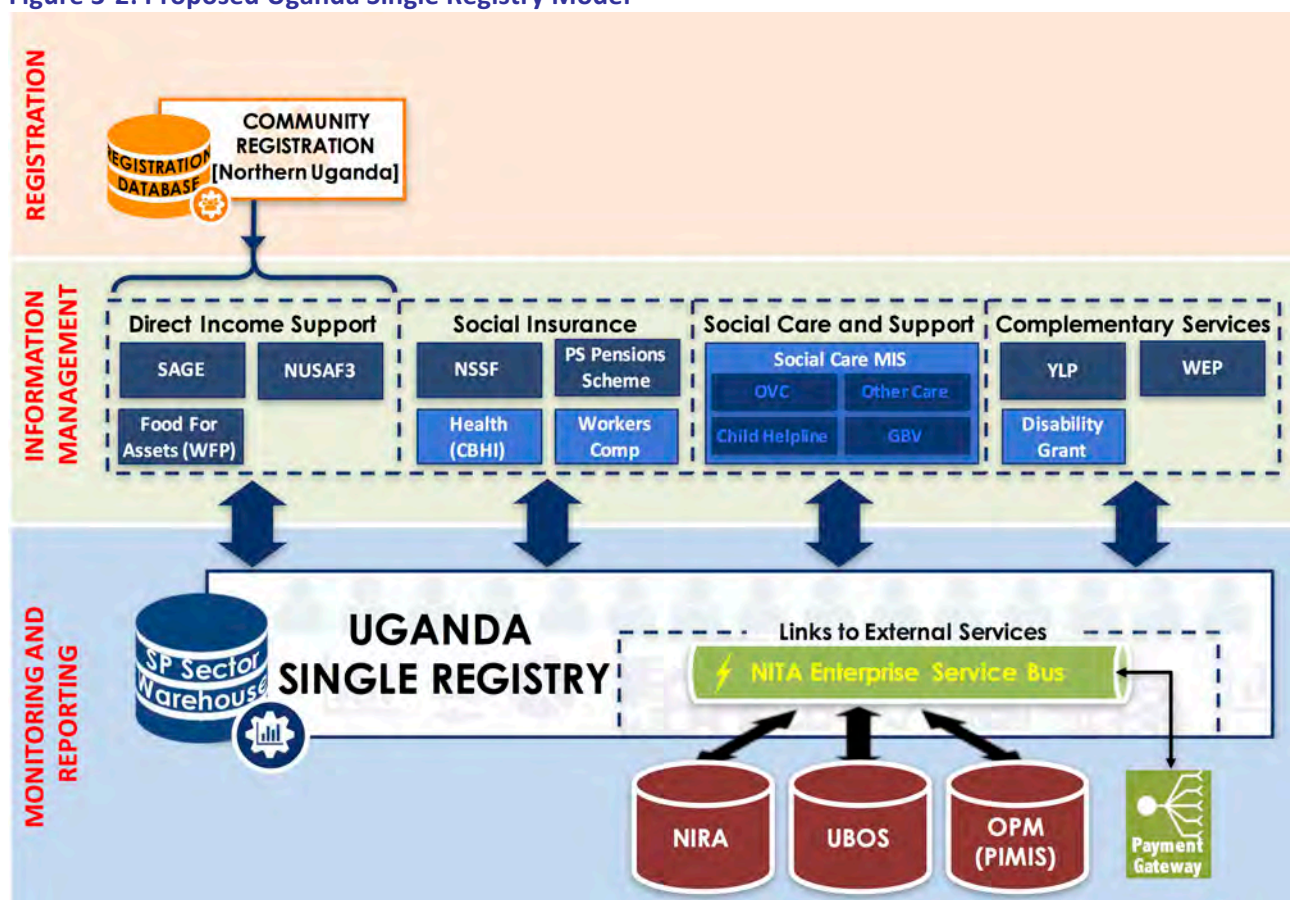
As illustrated in Figure 3-2, the vision for an integrated SP MIS framework in Uganda is underpinned by four building blocks:

    i.   ***Community Registration Database***, a baseline database meant to enhance and coordinate implementation of humanitarian and social protection interventions;

    ii.   ***Programme MISs*** within the definition of NSPP;

    iii.   ***Single Registry*** interlinking and holding all SP sector programmes; and

    iv.   ***Linkages to external databases*** such as:
        a.   NIRA, a national Identification database;
        b.   UBOS, a National Statistical Bureau;
        c.   OPM, a repository of sector-wide M&E indicators; and
        d.   NITA-U, a host to electronic service bus and Payments Gateway.

These four building blocks are described below.

3.2.1   Community Registration Database

World Food Programme is piloting the Community Registration Database in Karamoja. The purpose of the database is to enhance coordination of the multiple humanitarian interventions in line with the objectives set out on the NSPP. The baseline registration will initially cover seven districts in Karamoja. The pilot in the two districts was divided into two phases:

    i.   *First phase*, which covered two pilot districts – Moroto and Napak – started in November 2016 and was completed in February 2017. During the first phase, a total of 60,000 households were registered in the two pilot districts: 23,000 and 36,000 in Moroto and Napak respectively. The data is currently being cleaned by de-duplicating the fingerprints[3]. Plans are also underway to cross check data with NIRA.

    ii.   *Second phase*, entails coordination using data and supporting programmatic interventions. During this phase, the community registration data will be used at both national and district level to inform decision making and development of policies on how to coordinate the humanitarian interventions in Karamoja region. Some of the primary users of data are WFP public works and livelihood programmes as well as the third phase of NUSAF.

Currently, WFP plans to undertaken a comprehensive review of the pilot with the aim of incorporating the lessons into the operational design before rolling out the pilot to five additional districts. The key areas for review include:

    i.   Review of the information requirements to include a vulnerability check list and adoption of Washington Group methodology of assessing disability. The disability assessment is currently subjective and forces enumerators to pass judgement on the complex disability issue which is typically done by qualified medical practitioners;

    ii.   Assessment of the registration application to improve data accuracy and validation controls. For instance, the double capture of the national ID and use of UBOS geographical location list to ensure compliance with the National Single Registry;

    iii.   Quantitative analysis of the registration data and triangulation against the Uganda Bureau of Statistics Data;

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[3] Fingerprints of two household proxies are biometrically collected

iv. Verification of the ID numbers with the NIRA database;

v. Technical analysis of practical options – comprehensive analysis of advantages and trade-offs – of eliminating potentially inflated household sizes which may be created by historical perverse incentives introduced by humanitarian organisation that have pegged support on household sizes over many years. Options include capturing of fingerprint biometric of all adult household members and potentially collecting iris biometrics for the children.

vi. Resolution of policy and operational design issues such as frequency of update of data, long term data hosting, data ownership, data protection and sharing protocols, maintenance costs of the solution, branding, software warranty etc.

vii. Setting up an external data audit and quality assurance protocols. UBOS provides such services.

3.2.2 *Programme MISs*

MISs are the backbone of social protection schemes' operational processes helping to automate key functions such as registration, targeting, enrolment, payments, compliance with conditions, complaints & grievances, exit and programme monitoring. More importantly, the model of integrated SP MIS in Uganda is a warehouse that is fed by information from the programme MISs. Therefore, by design, the **Single Registry will rely on accurate and timely update of the programme databases**. However, the assessment of Programme MISs – see details in Annex 1 – indicates that majority of the social protection MISs do not fully computerise all the business processes of the programme and are not therefore ready to be linked up to the Single Registry. Therefore, key recommendations set out in section 4 should be implemented to ensure that programme MISs can link to the Single Registry.

3.2.3 *Single Registry for Social Protection Programmes*

Single Registry in the Ugandan context is defined as a database of information that details socio-economic information about individual beneficiaries (or households) of a social protection programme. In terms of architecture, Uganda's Single Registry is effectively a software platform where common and essential information across social protection programmes are stored, analysed and reported for the benefit of the stakeholders.

3.2.3.1 Objectives of the Single Registry

The proposed single registry for Uganda is intended to provide accurate and transparent information on potential or actual beneficiaries for social protection programmes and allow among multiple programmes for which the potential beneficiaries may be eligible. It will also allow articulation, harmonisation and complementarities among social protection programmes. specific objectives of the Single Registry in Uganda and how it supports the social protection are outlined in

Table 3-1.

Table 3-1: Objectives of Uganda's Single Registry

Objective/Rationale	Measure of Success
1. Increased accountability and transparency	▪ Public reporting interface – commonly referred to as dashboards – that reports summary statistics on beneficiaries, disbursements and complaints;
2. Obtain reliable information for evidence-based decision making	▪ Deliver reporting and analytics based on approved harmonised performance indicators set out in the M&E framework;
3. Improved targeting (geographical quotas and beneficiary selection)	▪ Provide analytical reports that compare enrolled beneficiaries against planned expansion plans; ▪ Deliver dashboards that compare beneficiaries enrolled against geographical quotas where relevant;
4. Planning and better coordination across programmes for management of beneficiaries and their benefits	▪ Report on the agreed sector-wide monitoring indicators; ▪ Provide dashboards on the performance of each social programmes against annual targets; ▪ Support production monitoring outputs – social development indicators – to be submitted to the Office of the Prime Minister;
5. Identify and prevent benefit fraud	▪ Produce reports on beneficiaries receiving multiple benefits; ▪ Provide an interface where social protection programmes can validate their potentially beneficiaries before enrolling them;
6. Enable transition between schemes (including graduation) where appropriate	▪ Data sharing protocols to enable sharing of data and provision of complementary support;
7. Assess the effectiveness, impact and sustainability of social protection interventions	▪ Provide a consolidated database of social protection interventions. ▪ A database with appropriate data sharing protocols, is therefore a useful resource for research on social protection;

3.2.3.2   Information captured by the Single Registry

The Single Registry will capture critical data on beneficiaries' enrolment details, the number and type of programme each household is benefitting from, the accuracy of beneficiary details, timelines of payments, complaints resolved within established time frames, and consolidated programme costs. Table 3-2 below summarises essential information that should be captured on the Single Registry:

Table 3-2: Information to be kept by Single Registry

Beneficiary	Application	Payments/Services	Complaints	Exit
▪ Name, ▪ Date of birth/age, ▪ Sex, ▪ Address (with District, Sub-County, Parish, village etc.), ▪ NIN, ▪ Photo Biometrics	▪ Date applied ▪ Status of application ▪ Date decision made ▪ Result of decision (yes/no) ▪ Date registered ▪ Reason for rejection ▪ Type of benefit (cash/in-kind)	▪ Transfer amount, ▪ Frequency of payment, ▪ Expected dates of payment ▪ Dates of actual payment ▪ Amount paid, ▪ Reasons for difference between scheduled and paid amounts, ▪ Name of proxy recipient, ▪ Date of birth/age of proxy ▪ Sex of proxy ▪ NID number of proxy, ▪ Relationship of proxy to recipient ▪ Payment Service Provider ▪ Status of payment (successful or failed)	▪ Date of submission of grievance, ▪ Reason for complaint, ▪ Stage in process (and date), Date of resolution, Decision on initial appeal, Date applicant informed, ▪ Confirmation of action taken ▪ Date of submission of further appeal ▪ Stage in process, ▪ Date of resolution ▪ Decision on further appeal ▪ Date when applicant was informed of decision, Confirmation of action taken and date	▪ Date exited programme, ▪ Reason for exiting programme

3.2.3.3 Users of the Single Registry

The roles of the stakeholders of the Single Registry stakeholders is enumerated in Table 3-3:

Table 3-3: Role of Single Registry Stakeholders

Stakeholder	Role
Ministries, Departments, and Ministries (MDAs) and Local Governments	- Provide policy and technical guidance; - Facilitate capacity building of key actors; - Set operating standards; - Conduct awareness creation and advocacy; - Mobilize resources for maintenance of the Single Registry; - Monitor the performance of the Registry; - Participate in data collection/verification, processing and reporting; - Support registration of the citizens with the National NIRA for the purposes of ensuring maintenance of common unique ID number; - Operations and maintenance of the Single Registry (MGLSD); and - Institute MoUs and data sharing agreements.
Social Protection Programmes	- Collect data on beneficiaries and associated transactions; - Maintain individual programme MISs; - Upgrade individual programme MISs to facilitate linkages to the Single Registry; - Upload/Synchronize data for integration into the Single Registry; - Build capacity of staff to operate programme MISs; and - Ensure accuracy of beneficiaries' data by validating with communities and verifying with the National Civil Registries;
Civil Society	- Participating in monitoring and evaluation; and - Create awareness creation and advocacy on the usage of the Single Registry data.
Academic and Research Institutions	- Research on the operations of the Single Registry; - Support capacity building activities; and - Providing consultancy services in monitoring and evaluation of the social protection sector based on Single Registry data.
Private Sector	- Participate in monitoring and evaluation; - Provide consultancy services; and - Supply goods and provide non-consultancy services.
Media	- Dissemination of information and knowledge sharing (awareness creation among the public); and - Advocacy campaigns for promotion of the Single Registry.
Target Communities	- Providing personal data and household data during national registration and enrolment for social protection programmes; - Participating in data validation exercises; and - Participating in monitoring and evaluation.

3.2.4 Linkages to External Databases

Uganda's Single Registry will act as nexus of information enabling linkages between programme MISs within social protection sector and external databases. The key external databases that Uganda's Single Registry shall be designed to link to include (i) NIRA (ii) UBOS (iii) OPM and (iv) NITA.

3.2.4.1   National Identification Registration Authority (NIRA)

NIRA was established with the objective of creating, managing, maintaining and operationalising the National Identification Register (NIR) by:

  i.   Registering all citizens of Uganda;
 ii.   Registering non-citizens of Uganda who are lawfully residents in Uganda;
iii.   Registering births and deaths;
 iv.   Assigning a unique National Identification Number to every person registered; and
  v.   Issuing National Identification Cards and Aliens' Identification Cards to all registered persons.

Currently, the NIR contains records of 17 million Ugandans aged 16 years and above. Starting May 2017, NIRA will start registering children above 6 years of age. The key information that is kept in NIR is set out in Table 3-4 below.

Table 3-4: Information collected on NSIS - Mass - enrolment form

Applicants Information	Spouse Details	Father's Details	Mother's Details	Guardian's Details
▪ Names, ▪ Date of birth/age ▪ Sex, ▪ Address (email, home phone number and mobile number) ▪ Occupation ▪ Disabilities (blind, deaf, physical) ▪ Place of residence (country, district, county, sub-county, Parish/ward, village, plot/house No.) ▪ Place of birth (county, district, sub-county, parish/ward, city/town, health facility) ▪ Place of origin (county, district, county, sub-county, parish/ward, village, indigenous community/tribe, clan) ▪ Citizenship type (birth, registration, presumption, naturalisation and dual) ▪ Passport information (passport number, file number) ▪ Marital Status (married, single, divorced, widowed, separated)	▪ Names ▪ National ID Number (NIN) ▪ Citizenship type (birth, registration, presumption, naturalisation and dual) ▪ Place of marriage ▪ Date of marriage ▪ Type of marriage (civil, religious, cultural) ▪ Place of Marriage ▪ Marriage Certificate Number ▪ Other spouses	▪ Names ▪ National ID Number (NIN) ▪ Citizenship type (birth, registration, presumption, naturalisation and dual) ▪ Place of marriage ▪ Place of residence (Country, county, district, sub-county, Parish/Ward, Village, Street, Plot/House No) ▪ Citizenship type (birth, registration, presumption,	▪ Names ▪ National ID Number (NIN) ▪ Citizenship type (birth, registration, presumption, naturalisation and dual) ▪ Place of marriage ▪ Place of residence (Country, county, district, sub-county, Parish/Ward, Village, Street, Plot/House No) ▪ Citizenship type (birth, registration, presumption,	▪ Names ▪ National ID Number (NIN) ▪ Citizenship type (birth, registration, presumption, naturalisation and dual) ▪ Place of marriage ▪ Place of residence (Country, county, district, sub-county, Parish/Ward, Village, Street, Plot/House No) ▪ Citizenship type (birth, registration, presumption,

		naturalisation and dual) ▪ Living Status (Alive, Deceased and Unknown)	naturalisation and dual) ▪ Living Status (Alive, Deceased and Unknown)	naturalisation and dual) ▪ Living Status (Alive, Deceased and Unknown)

Internationally, it is recognised that civil registration is an important component to effective implementation of social protection programmes. In Uganda context, there are principally five main benefits establishing linkage between NIRA and Single Registry:

i. Provide **online, cost-effective, verification of authenticity** of social protection beneficiaries;
ii. Complement **financial inclusion** initiatives and enable access to services and reduce the costs of the financial services;
iii. Lead to **social inclusion** through identification recognition of vulnerable groups or persons as well as empowerment of beneficiaries;
iv. Aid targeting and delivery of services by enabling **integration of** different programs; and
v. Facilitates an **audit** trail down to the recipient of a social protection service thus increasing transparency and accountability while **reducing potential fraud.**

Since the NIN will effectively act as unique number for **establishing linkages among programme MISs and other external databases**, SP sector should put in place strategies to ensure that vulnerable households that do not have National IDs are supported to enrol with NIRA. Failure to do so, may potentially create **grouping** of population i.e. those who have IDs verses those who do not have identification documents. In fact, depending on how the ID rollout was undertaken, the segments of the society who are vulnerable and poor may not see importance in applying for ID and thus lead to **exclusion**.

3.2.4.2   Uganda Bureau of Statistics (UBOS)

UBOS is the principal data collecting, processing, analysing and disseminating agency responsible for coordinating and supervising the National Statistical System. It is official provider of government statistics in Uganda. The Single Registry will establish linkages with the UBOS for the following purposes:

i. **Social Protection Planning Data**. UBOS maintains census Master Data, which was recently conducted in 2014. This Master Data is useful statistics for planning and setting targets for social protection registration and targeting especially when setting baselines and targets. In addition, this Master Data is useful for triangulation of social protection registration projects such as the Karamoja Community Registration Database, currently being piloted with support from WFP in Napak and Moroto districts.
ii. **Geographical Master List**. As part of Census 2014 Master Data, UBOS maintains a standard geographical master list of all the administrative structures in Uganda. These include districts, counties, sub-counties, parishes and villages. This geographical database will be used by the Single Registry and each of the programme MISs to ensure standardisation of reporting.

iii. **Quality Assurance**. UBOS have a dedicated quality assurance unit that conduct data audits and provide certification of compliance. Once populated with data, the Single Registry database would need to be subjected to data quality audits and certifications on a regular basis. UBOS could therefore undertake this role.

3.2.4.3   Office of the Prime Minister (OPM)

Office of the Prime Minister (OPM) is responsible for coordination and implementation of Government Policies across Ministries, Departments and other Public Institutions. The mandate of the OPM is fourfold:

  i. Lead Government Business in Parliament;
 ii. Coordinate the Monitoring and Evaluation of the implementation of Government Policies and Programmes;
iii. Coordinate the implementation of Government Policies, Programmes and Projects under a National Institutional Framework;
 iv. Coordinate the implementation of the National Development Plan (NDP);
  v. Coordinate and provide public relations to ensure good Government image, effective coverage of national events, communication of policies/practices and defining the ideal National Character and Values for Development;
 vi. Coordinate development of capacities for prevention, preparedness, and response to natural and human induced Disasters and Refugees; and
vii. Coordinate and monitor the implementation of Special Government Policies and programmes for Northern Uganda, Luwero-Rwenzori, Karamoja, Bunyoro and Teso Affairs.

To implement its functions regarding the coordination, monitoring and evaluating government policies and programmes, the OPM has clustered government sectors into 16, out of which social development is one of them. The Single Registry will therefore establish linkages with the proposed OPM's PIMIS for the following purposes:

  i. Consolidate SP indicators – based on agreed SP M&E framework – that feed into the social development sector indicators; and
 ii. Provide performance outputs relevant to social protection, a sub-set of social developments.

3.2.4.4   National Information Technology Authority – Uganda (NITA-U)

The National Information Technology Authority-Uganda (NITA-U) is an autonomous statutory body established under the NITA-U Act 2009, to coordinate and regulate Information Technology services in Uganda. The mandate of NITA-U is to coordinate, promote and monitor Information Technology (IT) developments in Uganda within the context of National Social and Economic development.

NITA-U is in the processes of implementing two projects that are relevant to the Social Protection sector:

  i. **Payments Gateway:** Conceptualised as a shared payment platform for Government services. It is intended to accelerate the role out of sector specific e-services hence increasing efficiency in service delivery. Even though a business case should be developed for the SP sector considering the type of clients it handles – vulnerable persons – the payments

gateway could potentially provide social protection sector with choices in terms of payment service providers.

ii. **Enterprise Service Bus.** The Single Registry is currently designed to link up to several external agencies. The implementation of this linkages will technically mean: (i) establishing MOUs (ii) set up of the Virtual Private Networks (VPNs) (iii) programming of Application Programming Interfaces. The proposed E-Service Bus will ensure that the linkages between SP sector programme MISs and external database – such as NIRA - through Single Registry can be efficiently managed by connecting through the 'NITA-U Bus'.

3.3   HIGH LEVEL FUNCTIONAL AND TECHNICAL REQUIREMENTS

Based on detailed analysis, the scope and functionality presented in the following sections is an outline of the high level functional and technical requirements as well as associated constraints, assumptions, and dependencies. The detailed Single Registry design specifications will be developed during the design and implementation phase building on these high-level requirements. The following requirements will also serve as a guide in the development of Terms of Reference (TORs) for the resultant project.

3.3.1   Functional and Technical Requirements

Ref	Requirement
S1	**Build a social protection sector data warehouse**
S1.1	The data warehouse will be built with relevant standing data, including detailed geographic level data to the village level
S2	**Integration Service**
S2.1	Build an integration service that facilitates receiving programme and beneficiary information
S2.2	A Web Service API will be exposed for data communication between the Single Registry and social protection programmes. An appropriate secure connection will be implemented to facilitate this integration capability Appropriate Web Service API documentation will be produced to facilitate the MIS platforms being able to consume the service, including details on the exceptions and error handling
S3	**Integration with National Identification Registration Authority (NIRA)**
S3.1	The Single Registry will integrate with the NIRA service to verify the beneficiary record received from the SP programmes
S3.2	Support SP programmes and NIRA to validate the national IDs for all initial data to be loaded to the SR as part of implementation
S4	**Reporting and analytics**
S4.1	The Monitoring and Evaluation framework and indicators will structure the monitoring service for the single registry and guide all reporting requirements
S4.2	A list of reports will be produced based on the SP programme data across the sector and may be filtered by defined reporting indicators. Reports may be exported to appropriate file formats.

S4.3	Dashboard screen views will be designed to present the SP sector data in summarised form, including thematic areas and indicators based on the M&E framework Dashboards may include visual charts, summary tables and geo-spatial mapping.
S4.4	A level of aggregation may be presented on pre-defined reports and dashboards, including geographic location, SP policy thematic areas and other indicators based on the M&E framework
S4.5	Reporting and dashboard views may apply generic query filters to restrict the data set presented
S4.6	Reports will facilitate coordination and performance requirements from SP programmes
S5	**Scaling up the single registry**
S5.1	Process and guidelines created to add other SP programmes for integration on to the single registry
S5.2	An initial data migration / load will be facilitated for all programmes being on boarded on to the single registry
S6	**A user roles and profiles matrix will be implemented to segregate responsibilities and access to the single registry.** **Access to the single registry data and interface may be provided to any interested parties and groups in accordance with operational processes, protocols and approval of the steering group where required.**
S7	**Comprehensive audit controls will be implemented to ensure there is an appropriate record of access and changes to the single registry**
S8	**A robust security model will be defined and implemented for the single registry and be available for independent verification / audit**
S9	**Development Framework and Environment**
S9.1	The development framework and integration mechanisms will be in line with international best practice for information management in social protection, and will comply, where appropriate, with Ministry of ICT standards
S9.2	Configuration management and code versioning tools will be used to facilitate development team management and for source code handover
S9.3	Appropriate development, testing and production environments will be configured to manage development, testing and post production support
S9.4	Appropriate infrastructure and hosting to be designed and setup for the implementation and maintenance of the single registry
S10	**Quality Assurance**
S10.1	A quality assurance (QA) strategy will be defined to manage the quality assurance activities on the project, including test plans, scenarios, defect management and test execution for the following phases: ▪ System testing (quality assurance for modules of development) ▪ System integration testing (quality assurance for an integrated environment of modules) ▪ Handover and support of User Acceptance Testing (UAT) ▪ Production verification tests (for quality assurance of the production environment post deployment)

S10.2	Use "dummy" data during quality assurance to prevent unauthorized access to sensitive data
S10.3	Simulate data through a test harness for integration testing in the absence of an integrated test environment with MIS platforms from the social protection programmes
S11	**Capacity Development Approach and Plan**
S11.1	An appropriate capacity development approach and plan will be reviewed and agreed upon, including local developer resource integration within the team
S11.2	Where local IT resources exist OR already sourced by Government, candidates may be interviewed to be included on team to deliver various activities and/or act as "shadow" resources to learn and support lead developer / analyst / test team member
S12	**Training**
S12.1	A training plan will be generated, including the following training deliverables: ▪ Single registry introduction ▪ Single registry system set up ▪ Train the trainer ▪ End-user training ▪ Technical training
S12.2	Training manuals / materials will be produced in accordance with the training plan
S13	**Production Support handover**
S31.1	A production support handover pack will be compiled of project documentation, systems manuals and technical design documentation (updated after final changes have been implemented), including: ▪ Environment and configuration details ▪ List of known defects ▪ Common errors ▪ Exceptions handling guide for functional and integration objects
S14	**Application Maintenance**
S14.1	Provision for an additional release up to 4 weeks after go-live to resolve any outstanding issues
S14.2	A maintenance arrangement may be agreed, including: ▪ Planned periodic enhancement releases (i.e. quarterly) ▪ Maintenance support period over 12 months (to be confirmed)
S15	**Public access to single registry information and knowledge / content management of social protection programmes in Uganda**

3.3.2   *Constraints*

Ref	Constraint	Owner
C1	Automated platform to platform integration will be the ONLY mechanism option for SP programmes to integrate with the single registry (i.e. no manual file based upload mechanism provided to SP programmes)	SR Steering

C2	No bulk NIRA checking service will be available. Only individual record NIRA authentication / verification / data retrieval may be applied through the single registry	NIRA

3.3.3   Assumptions

Ref	Assumptions	Owner
A1	Existing data from SP programmes MISs will be migrated onto the single registry	SR Steering
A2	Any changes to operational processes for the individual programmes because of the single registry will be managed / implemented by those programmes	SP Programmes
A3	Data sharing protocols and processes will be in place to manage access to household information, including personally sensitive data. The data sharing protocols will give due consideration to and address the data privacy of beneficiaries and any other impacted parties	SR Steering

3.3.4   Dependencies

Ref	Dependencies	Contact
D1	NIRA common data sharing web service to be built and integration guidance documentation to be shared	NIRA
D2	NITA common shared authentication service (via the e-service bus) to be built and integration guidance documentation to be shared	NITA-U
D3	Monitoring and Evaluation framework and indicators completed and approved for single registry monitoring and reporting framework	ESP
D4	Institutional arrangements between parties to facilitate integration with the single registry	SR Steering to assign

3.4   MIS GUIDELINES

The assessment of the programme MISs in chapter 2, indicates different levels of their preparedness to link to the Single Registry. There is therefore a need to address how other social protection MISs can be assessed or developed in manner that they can link to other SP sector MISs on one hand and Single Registry, on the other. This section, therefore, sets out the minimum functional, technical and other requirements necessary to ensure effective and efficient inter-operability of the various MISs within SP sector.

3.4.1   Objectives of MIS Guidelines

These guidelines are developed to address the following objectives:

i.   Provide detailed guidance to the SP stakeholders to develop their programme based MISs;

ii.   Ensure new program MISs are based on specifications that allow them to communicate with each other, with existing MISs, and with Single Registry;

iii.   Ensure that modifications and upgrades of existing MISs enable them to communicate with each other and with Single Registry; and

iv.   Provide a foundation for building of the Single Registry.

3.4.2   Institutional Requirements and Decentralisation

Uganda is a decentralised country with governance responsibilities shared by the national government and sub-national governments. There is a very clear roles and responsibilities for the sub-national structures. The districts, counties, sub-counties, parishes and villages have coordinating functions with clear upward reporting lines. To ensure efficient and effective operation of their programmes, SP actors should work closely with these established government structures. When it comes to the set-up of the MISs, the minimum requirements set out in Box 3-1 should be adhered to.

Box 3-1: Minimum SP MIS institutional and decentralisation requirements

- **Ensure strong coordination** MIS functions activities and where possible support rationalisation to avoid duplication hardware, software and staffing resources;
- Strengthen MIS functions at the sub-national level with the **district** as the focal point;
- **Maintain paper-based MIS** – supported by proper filing at district – at sub-county, parish and village levels and where appropriate (if electricity, solar charges, equipment maintenance plans, Internet) test out electronic data capture;
- **Divide functions based on programme operations**. For instance, National level could handle eligibility assessment, data verification and validation while the district level could manage data capture and submission;
- Put in place **clear MIS/M&E roles and responsibilities** for different actors or establish a Memorandum of Understanding (MOU) between the national and local governments, where appropriate.

3.4.3   Staffing and Capacity Building Requirements

MIS do not merely consist of hardware and software elements. Staffing is a critical component which is often overlooked. In fact, most MIS projects fail because of lack of comprehensive training and capacity building plan. As SP sector in Uganda work towards building the Single Registry, underpinned by functional programme MISs, it is important to ensure that the staffing and capacity requirements set out in Box 3-2 below are fully implemented.

Box 3-2: Minimum SP MIS staffing and capacity building requirements

- Adopting long term vision for capacity development and training;
- Sufficient and competent staff, especially at local level (capacity, training, retention etc.);

> - Identify key champions (staff with interest on MIS) and train them on operations of MIS;
> - Define capacity as critical and budget for it;
> - Ensure capacity transfer in consultant contracts etc.;
> - Perform a capacity assessment upfront to analyse strengths and weaknesses to be addressed; and
> - Develop good practice workshops and sharing within programmes and across social protection sector.

3.4.4 Operational Functions

As illustrated and explained in chapter 2, MISs underpin SP operations. Typical operational functions include:

i. Registration of applicants, using either a census or on-demand method for targeting and registration;
ii. Identification and enrolment of those accepted onto a programme (i.e. the beneficiaries);
iii. Management and monitoring of a grievance process;
iv. Identifying those who should be removed from a programme when no longer eligible or because they have died;
v. Producing lists of those who should receive payments and the level of payment that should be given;
vi. Identifying those beneficiaries who have been paid and those who have not;
vii. Notifying programme managers when different processes have happened or should happen e.g. when a payment is due or when beneficiaries are due to exit; and
viii. Monitoring of conditions.

The following section outlines the requirements for these functional requirements and the essential information that should be captured by a programme MIS.

3.4.4.1 Minimum Operational Requirements

Table 3-5: Minimum requirements for operational processes and functions

Requirement	Description
Household/Beneficiary Registration and Management	- Function to maintain/update a unique household/beneficiaries account
Targeting	- Functionality to record programme specific criteria which shall be applied to the household/beneficiaries based on the criteria provided to the indicators and/or based on the programme rules
Enrolment	- Functionality to generate list of registered households in the predefined format (enrolment format) for any change or edits required in the household/beneficiary information.
Funds flow management	- Capture the flow of funds within the respective SP programmes with an aim to effectively monitor and manage the budget allocations, distributions and actual payments made to the eligible beneficiaries in each of the programmes.

Payments and reconciliation	▪ Functionality to define payment rules based on the respective programme business criteria and link them while generating beneficiaries list for payment. ▪ Ability to update or upload feedback information (reverse feed) on payments according to the payments made (payment reconciliation);
Graduation/Exit	▪ Ability to maintain the exit/graduation criteria for each program under various program schemes and automatically identify and enlist the beneficiaries/households that matches the program exit/graduation criteria.
Grievance Management	▪ Ability to provide electronic forms for each type of Grievance and complains and track them through it using unique case number
Monitoring and Reporting	▪ Extensive functionality to generate various kinds of MIS reports based on the data available and user-defined input parameters selected by the user.
Administration	▪ MIS should provide a single sign on mechanism to access a unified MIS platform whereby an authorised user can navigate to various modules of the MIS based on the user access rights and privileges to perform their respective business functions

3.4.4.2 Information Requirements

Information collected on registration forms and modules can be classified as either *essential* or *monitoring*. "Essential information" is the data needed to run a social protection programme. "Monitoring information" is not essential to routinely operate a social protection programme but may be required for programme administration. However, inclusion of monitoring information on registration forms comes with a cost. Indeed, monitoring information such as household socio-economic characteristics change frequently and require to be updated for the information to remain relevant. It should be emphasized that the complexity or simplicity of the programme MISs can be determined by the volume of the information that is kept by the MIS. Each information kept by the MIS requires budgeting for data entry time as well as enumeration costs. Table 3-6 below, therefore, sets out the minimum information requirements for the social protection programmes.

Table 3-6: Social Protection Minimum Information Requirements

Beneficiary	Application	Payments/Services	Complaints	Exit
▪ Name, ▪ Date of birth/age, ▪ Sex, ▪ Address (with District, Sub-County, Parish, village etc.), ▪ NIN, ▪ Photo Biometrics	▪ Date applied ▪ Status of application ▪ Date decision made ▪ Result of decision (yes/no) ▪ Date registered ▪ Reason for rejection ▪ Type of benefit	▪ Transfer amount, ▪ Frequency of payment, ▪ Expected dates of payment, ▪ Dates of actual payment, ▪ Amount paid, ▪ Reasons for difference between scheduled and paid amounts, ▪ Name of proxy recipient,	▪ Date of submission of grievance, ▪ Reason for complaint, ▪ Stage in process (and date), ▪ Date of resolution, ▪ Decision on initial appeal, ▪ Date applicant informed, ▪ Confirmation of action taken,	▪ Date exited programme, ▪ Reason for exiting programme

	(cash/in-kind)	- Date of birth/age of proxy, - Sex of proxy, - NID number of proxy, - Relationship of proxy to recipient - Service Provider; - Status of payment (successful or failed	- Date of submission of further appeal, - Stage in process, - Date of resolution, - Decision on further appeal, - Date when applicant was informed of decision, Confirmation of action taken and date	

3.4.5   Technical Requirements

Besides the functional requirements, the SP MIS must meet the following technical requirements:

3.4.5.1   Data Security and User Interface Requirements

Table 3-7: Data Security and User Interface Requirement Details

Requirement	Description
Data Security, Access and Authentication	▪ Username/password validation, implementation of SSL and two-factor authentication, user names and passwords should be stored in encrypted format
System audits for data security	▪ Maintain an audit trail of any changes or updates made in any information that are considered vital and if made should maintain the audit log with information
Data Exchange Protocol and data exchange mechanism through Application Programming Interfaces (APIs)	▪ Functionality to exchange data with other relevant databases in other external institutions such as NIRA, NITA, OPM, URSB, UBOS in a most secure environment through a standardized data exchange protocol designed, developed and implemented.
User Interface requirements	▪ The main system shall be a Brower based application (web based) that should work in both online and offline modes.
Electronic Document Management	▪ Functionality to upload scanned images and maintain the history for future retrieval. For instance, the user should be able to upload photograph of a beneficiary/household or any other relevant supporting document (such as electoral id card, birth registration certificate, etc.)
Security Matrix	▪ Level of administration (e.g. access to selected district data) and functionality to limit access to access specific modules
Work Flow	▪ Registration, enrolment and payments should be linked through a work flow functionality with a marker & checker approval rules
Online portal	▪ Functionality to broadcast general information and announcements using MIS portal.
Query and advanced search	▪ Provide simple and advanced query and search facilities to all users or the system. The access privileges of user and group the user belongs to must govern the scope of the information permitted by query and limited in the search results.
Hardware	▪ Conduct a hardware and networking need assessment during the system requirement study phase of the project and deliverable the following: (i) Hardware and Networking Need assessment report (ii) List of hardware to be procured and their full specifications (iii) Bills of Quantity based on the requirements (iv) RDBMS, Operating System licenses and/or any third-party licenses
Data backup and Recovery	▪ Implement the required backup solution for real time / scheduled /automatic backups which should be monitored and reported

3.4.5.2 Data Protection Protocols

Table 3-8: Data Protection Protocols and Provisions

Principle	Provisions
Notice	▪ People should be given notice when their data are being collected.
Purpose and disclosure	▪ Personal information should only be used for the purpose for which it has been proposed.
Consent	▪ The information should not be disclosed without the knowledge and consent of the person to whom it relates.
Security	▪ The information should be kept secure from any potential abuse.
Access	▪ Subjects should be allowed to access their personal information and to correct any inaccuracies.
Accountability	▪ Those who collect and manage the information are in an ethical-legal relationship with the subjects of that information, to whom they should be transparent and accountable.

3.4.5.3 Technology Platform Requirements

Table 3-9: Technology Platform Specifications

Requirement	Description
Architecture	Web-based
Backend	MS SQL/MYSQL/Oracle or equivalent enterprise level RDBMS
Frontend	Dot net/PHP/Java/ or its equivalent
Application Server	Internet Information Services/apache or its equivalent
Operating System	Windows Server/Linux or its equivalent
Browser	Compatible with Mozilla/Internet Explorer/Google chrome or its equivalent

3.4.6 System Development Approach and Source Code Requirements

3.4.6.1 System Development Approach

SP MISs should be developed using an *iterative prototyping methodology*. The approach is an improvement to the traditional waterfall model of system development cycle where specifications are fully documented before MIS is developed. Instead, a **prototype is built and iterated** several times with the users and stakeholders. Based on the feedback, customisation is undertaken before the MIS is implemented.

Figure 3-3: Recommended MIS Development Phases and Outputs
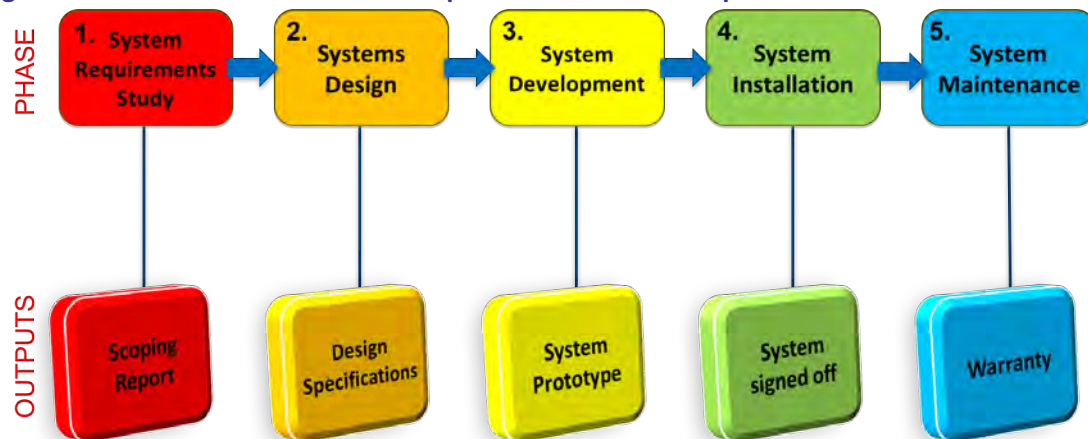
As illustrated in Figure 3-3, the iterative MIS design approach is meant to ensure that the development of the MIS is fully responsive to the requirements and objectives of programme. This approach consists of five main processes (superimposed by iterative prototyping) that consists of several sub-processes:

- **System requirements study**. This entails documentation of existing process flows, gaps and proposed process improvements. Some of the issues to be discussed, agreed upon and documented in this phase include the processes to collect, capture and report on data, including key M&E questions and the indicators to be monitored.
- **Systems Design**. At this stage, the functional and technical requirements are described in terms of the system architecture, business process, interfaces and data models.
- **Systems Development.** Iteration of the application development process. Users are provided with opportunity to review and provide quick comments on the progress made during this phase. A detailed quality assurance phase that ensures adherence to requirements and design will be enacted as part of the development process.
- **System Installation.** Entails training of users and installation of the MIS at National (online version) and District (offline version) level.
- **System Maintenance and Support**. Maintenance involves enhancing system functionality to cater for changing user requirements. Support involves rectifying any system bugs, anomaly and system errors caused by any over-sight during development or general software malfunction.

3.4.6.2   Source Codes

In computing, **source code** is any collection of computer instructions, possibly with comments, written using a human-readable programming language, usually as ordinary text.

As standard practice the following guidelines should be adhered to:

  i.   The Government MDAs should fully own the MIS platform with full access to the source code without any preconditions or whatsoever;
 ii.   For any other proprietary third party software used, shall provide perpetual and valid license for at least period of 5 (five) years; and
iii.   For licenses that are being procured by government under enterprise agreement, the Ministry shall obtain licenses from NITA-U.

4   CONLUSION AND RECOMMENDATIONS

The assessment of social protection management information systems and subsequent mapping to the proposed model for the Uganda single registry provides a strategic and feasible plan to capture and disseminate information needs for social protection in Uganda and to facilitate coordination, harmonisation and implementation of social protection interventions. Several recommendations have already been made across the length and breadth of this report on the gaps and issues identified during assessment, but the following points have been consolidated and prioritised for attention and to influence planning for the implementation phase of Uganda's Single Registry for Social Protection.

4.1   DELIVERY OF THE PROPOSED INTEGRATED MODEL FOR SP INFORMATION MANAGEMENT

Mapping of the social protection management information systems in Uganda has generated the following proposed model for integrated information management to support Uganda's national social protection policy (previously presented in figure 3-2) and the subsequent points of recommendations.
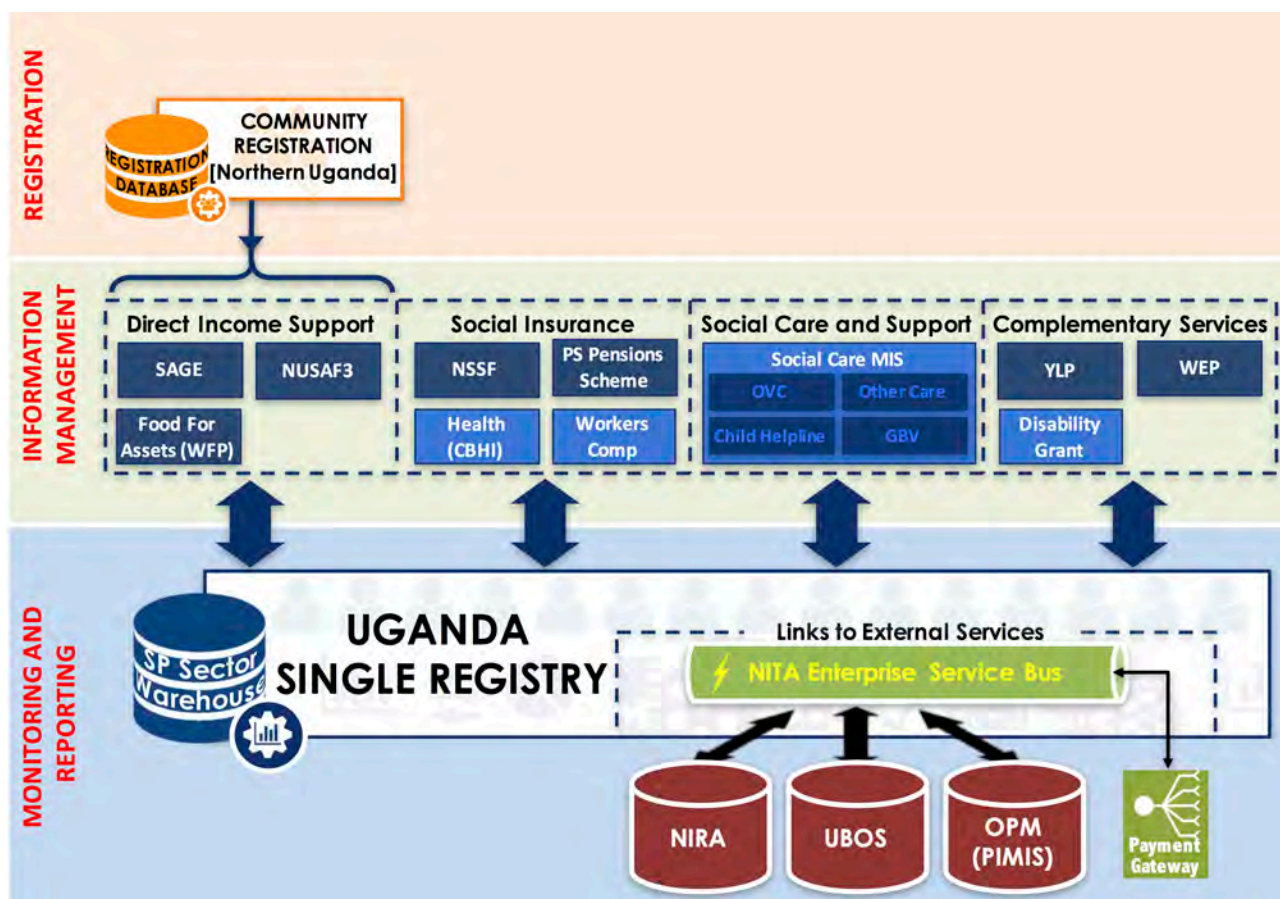
- The following **social protection programmes have been mapped to the single registry** – with the MIS assessment reports indicating a **minimal to moderate level of change / transformation required to integrate with the single registry**:

  a) Direct Income Support
     - The Social Assistance Grants for Empowerment (SAGE)
     - Food for Assets Programme (WFP)

– Northern Uganda Social Action Fund (NUSAF3)

b) Social Insurance

– National Social Security Fund (NSSF)
– Public Service Pensions Scheme (PSPS)

c) Complementary Interventions

– Youth Livelihood Programme (YLP)
– Women Entrepreneurship Programme (WEP)

▪ **Produce a work plan for all relevant programmes to make any necessary changes to their MIS platforms to meet the MIS guidelines** and assessment recommendations – in alignment with the Single Registry delivery roadmap. Programme stakeholders and Single Registry Steering / TWG should **confirm scope of programmes that will integrate with single registry as part of initial delivery**.

▪ **Ensure appropriate staffing and capacity of programmes** for implementation of MIS Single Registry guidelines and subsequent operational maintenance, including for the number of new MIS platforms currently being developed by the in-scope programmes (to be used by district level staff). Build long term vision for capacity development and training as a core activity and ensure budget for it.

  o **Perform a capacity assessment on the MIS and operations of the programme** to analyse strengths and weaknesses. The plan should detail level of resources (sufficiency and competency), training, retention strategies, best practice workshops and sharing across social protection sector.
  o **Develop and implement a capacity development plan**– especially for staff at district and more local levels – to assess strengths, weaknesses and opportunities for improvement
  o **Identify key champions** for MIS, M&E, and operations of MIS
  o Where external consultants are used, ensure **capacity transfer provisions are included on consultant contracts**

▪ **MIS Programmes will need to hold NATIONAL IDs associated with all their beneficiary records** – as it will be a prerequisite for integrating with the single registry

▪ **A key deliverable for integrating to the Single Registry will implementing the relevant web-service integration component** as per MIS guidelines. Recommend early feedback on the feasibility for the programmes to meet the guidelines and to flag any issues and/or request additional support at earliest opportunity.

4.1.1   Consolidated Information Management for Social Care and Support Services

The assessment of the MIS platforms within the Social Care and Support services SP pillar revealed that they do not map to the single registry in their current state. There is a lack of an integrated and comprehensive MIS for end-to-end processes across Social Care and Support Services, mainly due to the many service providers engaged at community levels without common standards and practices for information management. The current MIS platform for OVC provides a consolidated reporting framework (but only for summary data) and the Child Helpline and GBV function as case management / service request workflow systems.

▪ **Develop an approach and plan for implementing a rationalised / consolidated MIS platform for social care services**

▪ **A social care MIS platform will be dependent on the policy objectives for the social care and support services** and the ensuing operations required to manage the social care interventions. Before the MIS solution can be developed, the programme needs to develop an action plan to transform operational processes and consider what social care and support services should be consolidated for information management, such as resettlement of abandoned and street children, care and protection of children in conflict with the law, institutional support to vulnerable children, PWDs and older persons, care and support to gender-based violence victims/survivors, community-based rehabilitation for PWDs, community-based care and support for older persons.

▪ **The M&E framework needs to incorporate the monitoring and reporting indicators required for the social care and support policy pillar** to ensure the resultant social care MIS and single registry can jointly deliver on them

▪ **Integrate the case management information being captured by the Child Helpline and Gender-based Violence services** onto the resultant Social Care MIS platform

4.1.2   *Ensure Detailed Operations Manuals are Maintained and Upgraded as Necessary*

The success of the single registry will be dependent on having a clear understanding of how information is managed through the operations lifecycle – enabling the single registry to consolidate the information from the various programmes and facilitate coordination and sector-wide monitoring. As such, **the maintenance of operations manuals across the programmes are critical to ensure they can be used as a key reference for all social protection sector stakeholders**, including Single Registry operational teams. The manual of procedures should cover the end-to-end processes of the programme and ensure they can be used as a succinct toolkit for relevant functions / modules. Each of these modules should be supported by annexes that set out the forms and additional field guidelines e.g. interview guidelines.

4.1.3   *Plan and Initiate Use of NITA-U Payment Gateway Service where Required*

As many programmes may require enhancements to their operations or systems to integrate payment / service transfer information to the Single Registry, it is recommended that programmes assess the MIS guidelines for payments information requirements. **If gaps persist in fulfilling the payment services and information requirements, engage NITA-U with the Single Registry team to consider, validate and plan for use of the proposed Payment Gateway service that may be exposed**.

4.1.4   *Monitoring and Evaluation Framework Will Provide the Basis for Single Registry Monitoring Service*

The Monitoring and Evaluation (M&E) framework and indicators will structure the monitoring service for the single registry and guide all reporting requirements.

▪ **Manage dependency on the M&E framework to define the approved indicators required for the single registry monitoring and reporting framework**

- **The M&E framework should align with the scope of programmes and information supported by the Single Registry.** These will include programme level, thematic / policy pillar level (**Direct income support, social insurance, social care and support and complementary interventions**) and social protection sector wide level performance indicators

4.1.5   Manage Dependencies on Data and Web Integration Services

- Ensure institutional arrangements – Memorandum of Understanding where appropriate - between external parties / Ministries are in place to facilitate integrate with the single registry

- Ensure data sharing protocols and processes are in place to manage access to data, including personally sensitive data. The data sharing protocols will give due consideration to and address the data privacy of beneficiaries and any other impacted parties

- Manage dependency of NIRA common validation service. Integration guidance document to be shared before build can commence on the link with NIRA.

- Manage any dependency on NITA-U for access to services via the enterprise service bus integration layer. Integration guidance document to be shared before build can commence on any relevant link to the service

4.1.6   Maintain Focus on Data Quality and Accuracy as a Core Principle

Data quality and integrity is not a one-off process, but needs to be built into the operational management of the Single Registry and the SP Programme MISs for the foreseeable future.

- The operational manuals of the programmes need to ensure data quality is a central objective and principle of MIS functions, including manual and automated verification / reconciliation steps where required and exceptions handing procedures.

- Adhere to the minimal requirements of the MIS guidelines, including insistence of NATIONAL IDs being passed from the programme MIS.

- Consider additional protocols for data quality assurance, such as independent QA verifications, regular certification maintenance, and audit processes from government partner institutions, such as UBOS, or non-governmental partners.

- Build in reference data and exceptions reporting as part of the regular single registry operations

Where possible, explore the opportunity to triangulate the social protection data against external data sources, such as the Census.

4.2   APPROACH AND NEXT STEPS FOR SINGLE REGISTRY DEVELOPMENT

The assessment and recommendations included in this report are to be reviewed by the Single Registry Steering Committee and appropriate approval procedures should be discussed and acted upon accordingly.

The sign off of this report – along with any conditions and feedback attached to the sign off – will enable the Steering Committee to initiate the Single Registry Development phase of the project, based on the approach outlined in the following sections.

4.2.1 Work Plan and Milestones

In reference to the detailed scope outlined above, the overall work plan that sets out the structure and timings of implementation is presented below and will serve to guide the ToRs for the resultant project.

The Single Registry Development team will deliver the following milestone outputs across the different phases of the project – a project start date of June 2017 is assumed to help interpret the work plan.

Table 4-1: Single Registry Development Phases and Milestone Outputs

Plan Ref	Activity	Details	Period
2	PHASE 0 (INCEPTION)	Inception Activities / Project Kick-Off	Jun 2017 – Jul 2017
2.7	MILESTONE	Project kick-off meeting, including walkthrough of Inception Report	Jul 2017
3	PHASE 1	System Requirements: Overall Single Registry Analysis and Design Specifications	Jul 2017 – Dec 2017
3.11	MILESTONE	Sign off Single Registry Design specifications and QA strategy	Dec 2017
4	PHASE 2	Systems Design and Development: Detailed Design, Development and Quality Assurance of the Single Registry	Nov 2017 – Jan 2019
4.20	MILESTONE	Sign Off User Acceptance Test of Single Registry	Nov 2018
4.27	MILESTONE	Launch of Single Registry	Jan 2019
5	PHASE 3	System Installation: National Rollout	Feb 2019 – Jan 2020
5.5	MILESTONE	Comprehensive training of Single Registry users	Sep 2018
5.11	MILESTONE	Warranty Phase Initiated	Jan 2020
6	PHASE 4	System Maintenance and Support Assumption: 12 months of warranty	Jan 2020 – Dec 2020

It is proposed that monthly progress reports will be produced with more regular check point meetings during critical phases of the plan – approaching milestone deadlines.

A detailed work plan is presented below in Table 4-2. The work plan will be confirmed during the initial inception period and kick of the project. The work plan is presented in a Gantt chart format in

Table 4-3 to illustrate the project schedule.

Table 4-2: Indicative Work Plan

NO.	ACTIVITY	SPECIALISTS	START DATE	END DATE
1	*MAPPING OF SINGLE REGISTRY - SCOPING AND APPROVAL OF SINGLE REGISTRY CONCEPT*			
1.1	*Completed Quarter 1 2017. Await approval to initiate Single Registry Project based on plan below*	TL, SMA	Jan-2017	Mar-2017
1.2	*Sign off of the Single Registry Mapping Document*	TL, SMA		Apr-2017
2	INCEPTION ACTIVITIES / PROJECT KICK-OFF		Jun-2017	Jul-2017
2.1	Mobilisation of team	TL	Jun-2017	Jun-2017
2.2	Clarify terms of reference and expectations	TL	Jun-2017	Jun-2017
2.3	Clarify and document detailed scope, functionalities, quality criteria and approach	TL, SMA	Jun-2017	Jun-2017
2.4	Revise implementation plan based on stakeholder inputs	TL, SMA	Jun-2017	Jun-2017
2.5	Write Detailed Project Inception Report	TL, SMA	Jun-2017	Jun-2017
2.6	Sign Off Detailed Project Inception Report	TL, SMA	Jun-2017	Jul-2017
2.7	Project kick-off meeting, including walkthrough of Inception Report	TL, SMA		Jul-2017
3	SYSTEM REQUIREMENTS: OVERALL SINGLE REGISTRY ANALYSIS AND DESIGN SPECIFICATIONS		Jul-2017	Dec-2017
3.1	Development of sector-wide Reporting Framework (based on M&E framework)	TL, SMA	Jul-2017	Aug-2017
3.2	Support and ensure SP Programme readiness to meet MIS guidelines - review SP programme work plans as required	TL, SMA	Jul-2017	Aug-2017
3.3	Conduct review of SP Programme Operations and M&E systems	SMA, SSD	Aug-2017	Sep-2017
3.4	Scope out document management / knowledge management components	TL, SMA, SSD, KME	Sep-2017	Oct-2017
3.5	Review / validate infrastructure design and plan	SSD, SA, HNS	Sep-2017	Sep-2017
3.6	Define the user profiles and role types, including the segregation of duties and access for the UBR	SMA, SD	Oct-2017	Oct-2017
3.7	Define high level user administration processes	SMA, SD, SD&QA	Oct-2017	Nov-2017
3.8	Develop replication strategy	TL, SSD, SA	Dec-2017	Dec-2017
3.9	Detailed functional specifications	SDA, SD&QA	Oct-2017	Dec-2017
3.10	Quality assurance strategy (approach and plan)	SD&QA	Nov-2017	Dec-2017
3.11	Sign off Single Registry specifications and QA strategy	TL		Dec-2017
4	SYSTEMS DESIGN AND DEVELOPMENT: DETAILED DESIGN, DEVELOPMENT AND QUALITY ASSURANCE OF THE SINGLE REGISTRY		Nov-2017	Jan-2019
4.1	Set up of the Single Registry Development Framework	TL, SSD, SA, HNS	Nov-2017	Jan-2018
4.2	Set up prototype, development and collaboration environments	SSD, SA, SD, SD&QA, HNS	Jan-2018	Jan-2018
4.3	Development team familiarisation and process workshop	SSD, SA, SD, SD&QA	Jan-2018	Jan-2018
4.4	Detailed design framework of Single Registry (including user interface and experience)	SMA	Jan-2018	Feb-2018
4.5	Develop test coverage / scenarios and cases for QA of Single Registry	SD&QA	Jan-2018	Mar-2018
4.6	Document database model, requirements and design	TL, SSD	Feb-2018	Mar-2018
4.7	Develop the relational database module	SSD, SD	Feb-2018	Mar-2018
4.8	Review and Sign Off Database Module	TL, SSD	Mar-2018	Mar-2018
4.9	Prepare mapping requirements	SA, GIS, SMA	Mar-2018	Apr-2018
4.10	Develop mapping components	GIS, SA	Apr-2018	May-2018
4.11	Develop Single Registry integration components / API	SA, SSD, SD	Mar-2018	May-2018
4.12	Document the Single Registry API technical and integration design protocols	SA, SD	May-2018	Jun-2018
4.13	Develop a test harness to simulate the data sharing functionality	SA, SD	Jun-2018	Jun-2018
4.14	Develop Analytics Interface, Reporting Module, Admin & Security Modules	SSD, SD	May-2018	Aug-2018
4.15	System testing of Single Registry modules / components	SSD, SD&QA	Jul-2018	Aug-2018
4.16	System Integration testing of Single Registry via test harness	SD, SA, SD&QA	Jul-2018	Sep-2018
4.17	End to end testing of the Single Registry	SD&QA	Aug-2018	Sep-2018
4.18	Handover to User Acceptance Testing (UAT)	SMA, SD&QA	Sep-2018	Sep-2018
4.19	UAT execution	SD&QA	Oct-2018	Nov-2018
4.20	Sign Off UAT of Single Registry	Tl, SMA, SD&QA		Nov-2018

4.21	Baseline code for production release	SSD	Nov-2018	Nov-2018
4.22	Documentation of Single Registry System (User Guides and Detailed Design / Technical documentation)	SD&QA	Oct-2018	Dec-2018
4.23	Establish Single Registry links to Programme MIS / External systems	SD, SD&QA	Nov-2018	Dec-2018
4.24	Capacity needs assessment of Single Registry System Administrators	SD&QA	Dec-2018	Dec-2018
4.25	Training of Single Registry System Administrators	SD&QA	Dec-2018	Jan-2019
4.26	Implementation plan to deploy Single Registry	SSD, SD&QA, HNS	Dec-2018	Jan-2019
4.27	Launch of Single Registry	TL		Jan-2019
5	**SYSTEM INSTALLATION: NATIONAL ROLLOUT**		Feb-2019	Jan-2020
5.1	Development of Data Sharing Protocols	SMA	Feb-2019	Mar-2019
5.2	Conducting user training needs assessment	SMA, SSD, SD&QA	Apr-2019	May-2019
5.3	Conducting data sharing needs assessment	SMA, SSD	May-2019	Jul-2019
5.4	Developing training materials	SSD, SD, SD&QA	Jul-2019	Jul-2019
5.5	Comprehensive training of Single Registry users	SSD, SD, SD&QA	Jul-2019	Sep-2019
5.6	Implementation of Data Sharing Framework	TL, SMA, SSD	Oct-2019	Nov-2019
5.7	Development of framework of addressing support issues	SMA, SSD, SD&QA	Nov-2019	Nov-2019
5.8	Handover of the Single Registry (Source codes and documentation) to Single Registry IT Team	SMA, SSD, SD&QA	Oct-2019	Dec-2019
5.9	Post implementation review / lessons learned	TL, SMA	Dec-2019	Dec-2019
5.10	Produce roadmap for Single Registry platform development in line with strategy / policy guidance	TL, SMA	Dec-2019	Dec-2019
5.11	Warranty Phase Initiated	TL		Jan-2020
6	**SYSTEM MAINTENANCE AND SUPPORT (12 Months Warranty)**		Jan-2020	Dec-2020
6.1	Plan Single Registry enhancement release schedule (i.e. quarterly)	TL, SMA, SSD, SD, SD&QA, HNS	Jan-2020	Dec-2020
6.2	Support integration with other programme MIS platforms	SSD, SD, SD&QA	Jan-2020	Dec-2020
6.3	Update systems documentation / production and operational support pack	SSD, SD, SD&QA, HNS	Jan-2020	Dec-2020

M - Milestone

Completed

SPECIALISTS:

TL - Team Leader

SMA - Senior MIS Advisor

SA- Systems Architect

SSD - Senior Software Developer & Database Designer

SD - Software Developer

SD&QA - Software Developer and Quality Assurance Expert

HNS - Hardware & Network Specialist

GIS - Geographical Information System Specialist

KME - Document/knowledge Management Systems Expert

Table 4-3: Indicative Project Schedule

ELAPSED TIME SCHEDULE>>>

NO.	Year 1												Year 2												Year 3												Year 4											
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D
1	**PHASE 0 – *MAPPING OF SINGLE REGISTRY - SCOPING AND APPROVAL OF SINGLE REGISTRY CONCEPT* [completed]**																																															
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3	**PHASE 2 – SYSTEM REQUIREMENTS: OVERALL SINGLE REGISTRY ANALYSIS AND DESIGN SPECIFICATIONS**																																															
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4	**PHASE 3 – SYSTEMS DESIGN AND DEVELOPMENT: DETAILED DESIGN, DEVELOPMENT AND QUALITY ASSURANCE OF THE SINGLE REGISTRY**																																															
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5	**PHASE 4 – SYSTEM INSTALLATION: NATIONAL ROLLOUT**
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6	**PHASE 5 – SYSTEM MAINTENANCE AND SUPPORT (12 Months Warranty)**
6.1	
6.2	
6.3	

4.2.2   Resourcing

The details of the proposed staff and the roles and responsibilities required to execute the project are set out in Table 4-4.

Table 4-4: Single Registry Development Team Resource Profiles

Position	Role
Team Leader (TL)	▪ Responsible for oversight and delivery of the project outputs ▪ MIS architecture, strategy and best practice guidance to team and wider stakeholders ▪ Provide technical leadership and quality control over the development and implementation of the system ▪ Mobilisation of team and subsequent resource management – all specialist resources will be accountable to the Team Leader ▪ Ensure right resources are available to deliver the selected technology solutions ▪ Post implementation review of the project with stakeholders and support the client in determining future MIS development options
Senior MIS Adviser (SMA)	▪ Responsible for ensuring stakeholders are aligned with and aware of the strategy, vision, capability and constraints of the Single Registry platform and operating model ▪ Responsible for ensuring requirements and design adhere to scope and objectives ▪ User experience, user interface design and information architecture of the Single Registry ▪ Communication of functional design and quality criteria to the development team ▪ Focal point for queries / issues related to system functionality through all phases of the project
Systems Architect (SA)	▪ Design, development, test and maintain the integration architecture between Single Registry and external MISs and databases ▪ Support the Senior Software and Database Developer to design and implement the appropriate architecture and development framework to meet the requirements ▪ Build a pre-production environment with test harness to simulate data from external platforms to facilitate and support testing
Senior Software and Database Developer	▪ Design and set up the development and quality assurance environment / framework for the project ▪ Lead a Familiarisation workshop with development team members – to agree on development environment and how programmers collaborate and work together ▪ Design, develop, test and deploy the database module in accordance with scope, technical specifications and design documentation ▪ Design, develop, test and deploy the targeting module in accordance with the targeting rules within scope, technical specifications and design documentation ▪ Support the GIS specialist for the implementation of the data geographic mapping module to ensure alignment with requirements specifications ▪ Support the System Architect to design, develop, test and deploy the data sharing (integration) module, including relevant API and integration protocols, in accordance with the technical specifications and design documentation

	- Design, develop, test and deploy the data analysis and reporting module in accordance with the scope, technical specifications and design documentation - Manage deployment of the Single Registry into production environment - Support team in providing relevant documentation for production and operational support handover - Mentoring of the other programmers and code review of their outputs - Allocation of tasks to the other programmers to ensure all development tasks are delivered on time and to quality
Software Developer (SD)	- Shadow the Senior Software Developer and act as a backup across all modules of the Single Registry - Develop core functions on the standard development framework in line with International Best Practices of Software Development - Support the Senior MIS Adviser to undertake systems analysis and building understanding of the Single Registry requirements - Train key staff identified by stakeholders on operation and maintenance of the Single Registry - Document the high-level administration and maintenance processes for the Single Registry - Support implementation planning and operational handover plans / documentation
Software Developer & Quality Assurance (SD&QA)	- Support the Senior Support Developer for build of Single Registry modules - Prepare Quality Assurance test scripts and be responsible for QA from system test through to managing UAT - Prepare test plans for unit and integration testing - Undertake comprehensive unit and integration testing based on the test plans; - Prepare test plans and environment for external user acceptance test by UBR's Technical Working Group; - Conduct System Integration Testing to facilitate integration and ensure UBR can communicate with external platforms - Conduct a training needs assessment and prepare subsequent training plan - Conduct training for taskforce, users and stakeholders - Document the solution with the following manuals: (i) user guides (ii) technical manuals and (iii) training manuals
Hardware and Network Specialist (HNS)	- Responsible for setting up the development and quality assurance environments based on the selected development framework - Support design of a robust security model for the Single Registry - Conducting a rapid MIS hardware needs assessment and development of a costed equipment procurement and installation plan - Set up the live production environment infrastructure and control access to it based on the security model - Developing all hardware and network documentation to ensure appropriate - Design appropriate monitoring and issue resolution solutions and processes for the application in the live environment - Design and implement production support processes, including enabling access to database administration tasks as required - Support execution of the implementation / deployment plan during launch of the solution

Geographical Information Systems Specialist (GIS)	▪ Support the development team to ensure GIS functionality is incorporated into: system specifications; database design; software development framework and implementation work plan ▪ Develop a spatial database (consisting of shape files on roads, schools, health centres, towns, Payment agents/branches, registered and enrolled households) based on an appropriate mapping tool / solution ▪ Produce interactive spatial maps of Social Protection dashboard indicators in an appropriate mapping format and support programmers to embed them on the Single Registry ▪ Provide advice on GIS related issues on call down basis.
Document / Knowledge Management Systems Expert (KME)	▪ Development of prototype for delivery of Single Registry content management and communications requirements, including public access content and document sharing functionality

ANNEXES

ANNEXES

ANNEX 1   DETAILED MIS ASSESSMENT REPORTS

A1.1   SAGE MIS Assessment Report

1. Assessment Particulars:
Date of assessment: 30 January 2017 **Location:** ESP Office **Participants / interviewees:** <u>MIS / IT TEAM MEMBERS:</u> Moses Odoch (Moses.Odoch@socialprotection.go.ug) Peter Ndeda (Peter.Ndeda@socialprotection.go.ug) <u>OPERATIONS / MANAGEMENT TEAM MEMBERS:</u> None
2. Programme Details:

Programme full name: Social Assistance Grants for Empowerment
 	
Brief Description:
The Social Assistance Grants for Empowerment (SAGE) Scheme under the Expanding Social Protection (ESP) Programme provides a Senior Citizens Grant targeted at older person in Uganda. It is a direct income support programme – one of the core pillars of the national social protection programme and provides a regular and reliable transfer of money. It is designed to reduce old age poverty by providing a minimum level of income security to older people.
 	
SAGE was initially rolled out to 15 districts – starting in 2010 – and has since rolled out to a further 20 plus 5 districts.
 	
Plans are in progress to scale up and expand SAGE to all remaining districts in Uganda.
 	
NSPP Mapping:
Direct Income Support
 	
Key Governance and Institutional Arrangements:
The SAGE programme is managed by the ESP Programme as part of the Ministry of Gender, Labour and Social Development (MGLSD) working through the Directorate of Social Protection and the Social Protection Secretariat. At the district level, SAGE is mainstreamed within local governments led by a dedicated SAGE Unit within the Community Services Department. Sub-County CDOs are responsible for gathering the beneficiary registration and passing on details of all resolved complaints and complaints which require guidance from the district or national level to the programme district team.
 	
Key Information Areas (Modules) for Management:
    1.   **Registration of members**
        Standard operational process / forms are in place – detailed in programme operational manuals – to appropriately capture the registration details. Hard copy forms captured at sub-county level,

which are then entered onto excel files at district level. The hard copy registry forms are eventually brought back to national level by field staff.

2. **Targeting (Provisional Lists)**
   Soft copy provisional list The Provisional Lists of members (pre-enrolment) are recorded as hard copy files. These hard copy files are sent to the national level for scan / storage.

3. **Beneficiary Management**
   Beneficiary lists are generated by the MIS program for the payment service provider

4. **Payments**
   Payroll lists are generated by the MIS for the payment service provider

5. **Case Management / Complaints**
   Case management records are available on the MIS, but the actual workflow or complaint registration or management is not captured by a structure IT solution

6. **Monitoring and Reporting**
   Quarterly reports are required to be generated and distributed to Ministry stakeholders

3. Operational Process Assessment

OVERALL RATING		**Overall / General Observations:**
		The key operational processes appear well defined and are stated to be captured by detailed operational manuals. All core processes are covered and provides a complete view of the beneficiary lifecycle on the programme. This will be further validated and recommendations of changes to be provided upon obtaining / reviewing relevant operations manual documentation.
		The key information at the registration-assessment-enrolment business processes are constrained by paper based approach at sub-county level, which then leads to spreadsheet based data entry and upload to the MIS.
		The programme is undergoing planning for a significant scale-up to expand to all remaining districts. Inefficiencies in the payments process need to be addressed as a result, along with foreseeing / preventing any manual data entry errors in the registration-assessment-enrolment process.

Mapping to MIS Modules

1. **Registration of Applicants**		NIRA outstanding for Initial 15 districts. Concern raised around ensuring we maintain data integrity when trying to fix this gap. Paper-based, but standardised forms used for registration at sub-county level
2. **Applicants Assessment**		Data captured on paper during the registration process is imported to MIS via a spreadsheet import where an eligibility assessment process can be run on the data to produce provisional lists of beneficiaries
3. **Beneficiary Management**		Enrolment of beneficiaries includes household information and NIRA.
4. **Disbursements and Transfers**		Manual verification process for payments producing delays. Moving to 2 monthly payment cycles as a result.
5. **Case Management**		Operational processes are in place for grievance management and updates.

6. Reporting and Analytics		Monthly data exchange of information from district level. Quarterly reports are produced on beneficiary and payment information among others.

4. Systems Assessment

OVERALL RATING		**Overall / General Observations:** An MIS platform is in place that supports most of the operational processes of the programme. An upgrade of the platform is planned as part of the ESPII Programme that will also scale-up the programme. The architecture of the platform is web-browser based, and separated into modules similar and align well with the MIS mapping assessment modules: 1. Monitoring and Dashboards High level management information on enrolment, payments and complaints 2. Queries Search and retrieve records from the database across the information areas / modules on the MIS 3. Registration Upload of registration files, eligibility assessment and creation of provisional beneficiary lists 4. Enrolment Import enrolment data and manage list of beneficiaries 5. Case Management Case updates and grievances 6. Payments Payment lists, pre-payroll checks, reconciliation 7. Reports Management reports on enrolment payments and complaints 8. Security and Administration Improvements in the payment process and payment integration functionality should be considered / investigated into as part of upgrades / enhancements. Form data capture functionality (with data validation) can also be considered to enhance the functionality of certain modules. The development architecture of the platform will be scalable to meet upgrade and integration requirements. General feedback received that the design / usability (UX / UI) can be improved. **Integration Experience:** No existing integration for the current platform – only file based upload / download mechanisms. However, the architecture of the platform enables the required integration with the Single Registry, and the IT development partners responsible for upgrading the SAGE MIS have considerable experience **Hardware / Infrastructure Assessment:** Hosted at the ESP office. A separate test environment is available to facilitate. Further information required on the infrastructure design to

		understand security, performance, integration, back-up and DR for the platform. The current hosting arrangement does not take advantage of a centralised and robust data centre set-up.
Mapping to MIS Modules		
1. **Registration of Applicants**		Paper based data capture, opportunity to consider requirement / investment in form capture /validation for data entry
2. **Applicants Assessment**		Provisional lists can be produced for assessment on the MIS platform
3. **Beneficiary Management**		Beneficiary lists can be produced on the MIS platform
4. **Disbursements and Transfers**		No payment integration with the payment service provider
5. **Case Management**		Complaints are generated / captured by email mechanism. No workflow / case management – only case status is captured
6. **Reporting and Analytics**		While quarterly reports are produced by the operations team, the reporting functions on the MIS are available for supplementary information. Limited feedback received from users as to effectiveness of the new reporting / dashboards. There are plans to investigate the use of GIS mapping tools as part of the reporting framework, but would need requirements validation.
4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** A team of 4 MIS staff with an operations coordinator to support manage the MIS operations. Additional staff at operations number 5 out of 30 national level staff supporting the SAGE programme. Adequate staffing and resource support is available for the MIS currently, but MIS / operations staff are working long hours during payment cycles due to current inefficiencies. Scale-up of the programme will need to have an associated resource plan to address any additional processing support required.
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		
		Existing operations, systems and people are well equipped to make changes required for mapping and integration to the Uganda single registry for social protection **Risks / Recommendations:** - NIRA references need to be included for the 15 districts missing national id - Payment processing / MIS functions need to be reviewed and improved to address any inefficiencies - Upgrade to MIS platform should consider form capture or workflow functionality to enhance modules **Next steps / Follow-ups / Additional information required:** - Review operations manual

A1.2   Public Works (WFP) MIS Assessment

1. Assessment Particulars:

Date of assessment: 2 February 2017

Location: WFP Kampala Office

Participants / interviewees:
MIS / IT TEAM MEMBERS:
Christopher Nambale (Christopher.Nambale@wfp.org)

OPERATIONS / MANAGEMENT TEAM MEMBERS:
Patience Masika (Patience.Masika@wfp.org)

2. Programme Details:

Programme full name: Public Works

Brief Description:
The WFP Public Works programme operates out of Northern Uganda targeting individuals / households who can meet their basic food and nutrition needs but require increased incomes to become fully food secure. The Public Works activities include construction and rehabilitation of market infrastructure, support to the warehouse receipts system, training in post-harvest management and the purchase of smallholder farmers' produce.

The Public Works component provides support to over 38,000 households.
12 percent of the public works household members also benefit from a livelihoods programme and 5000 households receive cash / food support for agricultural post-disaster harvest recovery. Additionally, 2 hot meals are provided to schools supporting children across 7 districts.

NSPP Mapping:
Direct Income Support (Public Works)
Sub-components for Livelihoods, school meals, etc. to be confirmed

Key Governance and Institutional Arrangements:
The Public Works program operates in Karamoja as part of the safety nets and resilience unit. The Programme is aligned to the Government's Second Northern Uganda Social Action Fund (NUSAF 2), the Nutrition Action Plan and the National Agriculture Policy. Various service providers / implementing partner support WFP, including UNCEF, FAO, World Vision, and NGOs.

Key Information Areas (Modules) for Management:
1. **Registration and Enrolment**
    Standard operational process / forms are in place – detailed in programme operational manuals – to appropriately capture the registration and enrol beneficiaries. The details are stored on excel files – entered from paper.
2. **Updates Management**
    Spreadsheets manage conditionality where relevant for food and cash assistance and for attendance list management. Updates to spreadsheets are not centrally managed / controlled, so there may be multiple versions of spreadsheets.

3. Disbursements Detailed operational processes and manuals ensure capture of all relevant payment information, including payment collection and receipt process. The information is currently stored / accessed on spreadsheets. **4. Reporting** Monthly summary reports are compiled.		

3. Operational Process Assessment		
OVERALL RATING		**Overall / General Observations:** The end-to-end operational processes are well defined, for the disbursements and transfers processes. The key risks remain the management of the data and updates process to the beneficiary data due to being managed on multiple spreadsheets. No NIRA validation is currently in place

Mapping to MIS Modules		
1. Registration of Applicants		No NATIONAL ID capture or validation in place.
2. Applicants Assessment		Processes in engaging with potential beneficiaries and the assessment process is dependent on various service providers. Processes are nonetheless appeared well structured with appropriate validation in place.
3. Beneficiary Management		Various data sets of the beneficiary data maintained, and thus data integrity issues arise between different spreadsheets and the new platform that will be implemented. The 38,000+ households have actually been uploaded onto the proposed new platform, but they are not being maintained there for any updates.
4. Disbursements and Transfers		Payment processes are well defined and account for payment collection, receipt verification, and reconciliation processes.
5. Case Management		Effective processes are in place, but issue remains information management on multiple spreadsheets. Complaints are managed effectively by the complaints desk at WFP and facilitated by another CRM system – appropriately joined up with programme operations.
6. Reporting and Analytics		Monthly summary reports captured from Comet system, including ability to determine overall payments collected, as well as a level of disaggregation to understand who received how much in a particular district.

4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** A new Beneficiary Management Information System is planned to be configured and implemented to meet the operational processes and functional requirements for the programme. The new platform, previously also referred to as "Scope" is currently available for use by WFP Uganda, but needs to be configured / customised to fit the operational model and requirements of the programme.

		The new platform is already active and holds an instance of the beneficiary data, but are not being updated with any operational changes – and as such would already be outdated.

Currently, separate solutions are being used for complaints management: Sugar CRM; Reporting: Comet.

Unable to view a demo of the platform due to key personnel not being on site. An associate – currently based outside of Uganda – is managing the development for the platform changes required.

The new platform is perceived to have a strong capability to configure (as opposed to customise / develop code) changes to create or amend data entry forms with basic validation and simple logic based functionality. These changes are perceived to be able to implement in a quick time frame. This perceived flexibility would address modules for a) Registration and Enrolment; and b) Updates Management. Unclear on out-of-the-box capability the platform has for workflow management, web services integration, and reporting.

Follow-up also required to understand what the support and maintenance model will look like for the new platform.

Integration Experience:
None, but assumed that the platform is built on an adequate development architecture and can call on relevant experiences and WFP resources from outside Uganda.

Hardware / Infrastructure Assessment:
It is assumed that the new platform can be hosted locally, but it is unclear if that was for a test environment or production live. Current server / rack space is available within the WFP Kampala office, but enhancements and overall governance of the platform resides outside Uganda. Enhancements, governance and support queries of the platform will require the local team to reach out to Nairobi associates, who will then, in turn, engage with Thailand based associated for platform enhancements. |
Mapping to MIS Modules		
1. **Registration of Applicants**		Current paper-excel based process. Unable to verify new platform existing functionality / capabilities
2. **Applicants Assessment**		Current paper-excel based process. Unable to verify new platform existing functionality / capabilities
3. **Beneficiary Management**		Beneficiary lists have been loaded on new platform, but updates / management of attendance / etc. are not being captured. Updates to excel files continue to be the standard operational process.
4. **Disbursements and Transfers**		Unable to verify existing functionality / capabilities of the new platform
5. **Case Management**		Complaints are currently managed by a CRM platform, SugarCRM. It is unclear whether SugarCRM will continue to manage complaints workflow

		and integrate with the new platform OR if the new platform will take on the functionality
6. Reporting and Analytics		Another system named Comet is currently managing reporting outputs. It is assumed that Comet will continue to operate as the reporting module. In that case, it would need to seamlessly integrate with the new platform. The data visualisation tool, Tableau software, is also part of the application stack and is assumed to be included in the implementation plan for the Beneficiary MIS – but unsure if Tableau will be integrated with Comet or the new platform.

4. People (staffing / capacity) Assessment

OVERALL RATING		**Overall / General Observations:** The programme operations are well supported. The new platform team has a good support operating model around it, with change requests to be submitted to a Nairobi support team and platform customisations to be further escalated to a Thailand based team. While operational support will need to be planned as part of the platform upgrade, the concern is whether an appropriate dedicated project team will be available to follow through on the platform development plan. The key resource set to manage the plan is based in a different country and not dedicated to the project.

OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION

		Moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection **Risks / Recommendations:** ▪ Obtain / review the development plan for the configuration of the new platform solution ▪ Need decision from MIS working group on scope / mapping of non-public works components of the programme, i.e. livelihoods, school meals, etc. **Next steps / Follow-ups / Additional information required:** ▪ Need to schedule a platform demo of the new Beneficiary MIS (previously referred to as "Scope")

A1.3   NUSAF3 MIS Assessment

1. Assessment Particulars:
Date of assessment: 2 February 2017 **Location:** **Participants / interviewees:** MIS / IT TEAM MEMBERS: Doreen Nalwanga (naljuliane@gmail.com) OPERATIONS / MANAGEMENT TEAM MEMBERS: Operations Head
2. Programme Details:
Programme full name: Third Northern Uganda Social Action Fund **Brief Description:** The objective of NUSAF3 is to provide effective income support to and build the resilience of poor and vulnerable households in Northern Uganda. NUSAF3 is comprised of 4 components: 1. Labour intensive public works and disaster risk financing 2. Livelihood investment support 3. Transparency, accountability, and anti-corruption 4. Safety net mechanism and project management For the purposes of mapping the social protection services to the Uganda single registry, the Labour intensive public works programme will management information on beneficiaries from poor and vulnerable households that receive seasonal transfer (from accumulating a daily wage) in return for their participation in the public works programme. The public works component has been established to also scale-up public works activities to existing beneficiaries or to extend courage during and after climactic or other related disasters. The livelihood investment support component increases incomes through the provision of revolving cash transfer funds (as opposed to grants) to community savings groups. The sustainable livelihoods programme will be supported by comprehensive skills development training, provision of livelihood grants and follow up mentoring support. NUSAF3 is currently engaging / confirming a third party to develop an MIS platform – development of the new platform has not begun, but current planning assumption is that the new platform will be operational by 2018. **NSPP Mapping:** Direct Income Support (Public Works) Livelihoods to be confirmed. **Key Governance and Institutional Arrangements:** NUSAF3 is housed / implemented / managed by the Office of the Prime Minister (OPM).

NUSAF3 is mainstreamed into the existing structures at the national and local government levels.

At the national level, a Technical Support Team (TST) within the OPM will effectively manage the operations of the programme and oversight will be provided by the Technical Working Group (TWG) comprised of representatives from key sector ministries, donor groups, the various service providers and other relevant stakeholders. Specifically, for the Labour Intensive Public Works Programme, a LIPW Technical Working Group is co-chaired by the OPM and the MGLSD and comprises all relevant Government and non-Government stakeholders, including WFP, international and local NGOs / service providers. The LIPW-TWG will assess developments in rolling out the National Labour Intensive Public Work Guidelines, share progress and resolve challenges.

At the district, sub-district and community levels, the existing frameworks will be used to support NUSAF3. Additionally, A NUSAF3 Desk Officer will support operations and liaise with stakeholders at district level and a Community Watershed Committee (CWC) to support effective implementation at the community level.

Key Information Areas (Modules) for Management:
The following information requirements are the requirement modules that are expected to be implemented by the new platform that will be developed.
1. **Beneficiary Registry Module**
   Details of the beneficiaries for each subproject within NUSAF3. It is intended that this category of information will satisfy the integration requirements for the single registry.
2. **Public Works Component (LIPW and DRF) Module**
   This module contains the general approval and implementation of the public works sub-projects. The approval information includes the subproject proposal submission and subsequent approval by the district and OPM, before recording details of funds disbursed to beneficiaries, implementation of the subproject, and monitoring and evaluation. For the implementation of the subproject, the watershed area is recorded as well as the relevant beneficiary details attached to the sub-project.
3. **Livelihood Component (LIS) Module**
   Information about the community beneficiary groups, members, business plan and funding details, business output details, and reporting for the relevant programmes. Detailed operational processes and manuals ensure capture of all relevant payment information, including payment collection and receipt process. The information is currently stored / accessed on spreadsheets.
4. **Grievance Handling**
   Complaints information, including status, resolution and associated beneficiary impacted.
5. **District Operations Fund**
   Statement of expenditure of the operations funds disbursed to a district and the sub-counties within the district.

3. Operational Process Assessment

OVERALL RATING		**Overall / General Observations:**
		NUSAF3 operations are based on watershed development and planning approach, whereby the watershed plan can provide a roadmap of systematic and sustainable integrated development in a watershed. Public works subprojects planned in the multi-year watershed plan will be scaled up rapidly by DRF resources in the event of a shock. For both the public works and livelihoods components, there are detailed steps outlined in the operational manual associated with guiding principles.

Mapping to MIS Modules		
1. Registration of Applicants		Currently a paper based / excel process. The district will select the sub-county and community based on poverty and vulnerability of areas
2. Applicants Assessment		The poorest and most vulnerable households shall be selected through community-based targeting. Beneficiaries will further be classified as households with or without able-bodied adult men and women. Furthermore, using the watershed-based approach, an assessment will be conducted through a participatory socioeconomic survey and a biophysical survey.
3. Beneficiary Management		Beneficiary details are captured and maintained alongside registering details for the publics works or livelihoods components.
4. Disbursements and Transfers		Payments are currently made manually – disbursed by the community watershed committee (CWC). No current process appropriately validates payment collection and the reconciliation mechanism
5. Case Management		The public works and livelihoods components have detailed workflow steps documented into operations manuals, with a view to the workflow capability to be implemented by the new MIS platform.
6. Reporting and Analytics		Monitoring indicators are in place to facilitate participatory monitoring and regular reporting. A comprehensive set of reporting requirements are addressed in the operations manual, requiring operational monitoring and financial / accounting reports to be prepared for the OPM monthly. Currently, simple reporting mechanisms are supporting the reporting requirements (i.e. via excel reports), but a more robust and regular approach will be followed when the new platform is implemented.
4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** A new platform will be built to manage information for NUSAF3. A vendor has been approved and a process is underway to on-board the vendor so that development can be initiated in the near future. Logical architecture of the platform will not follow a typical MIS modular approach, but the system will customise single modules for the different components under NUSAF3. For example – instead of having a common application assessment or case management or reporting module to be used by all subcomponents, the NUSAF3 platform will customise the public works and livelihood components separately to include these functions within the one module. This indicates a highly-customised solution adequate for the requirements, but additional work / effort may be required (i.e. transformations for integration) when adding additional services or to rationalise functionality with other systems. **Integration Experience:** None, as system not yet built, but the new development firm is aware of the need to integrate beneficiary, disbursements and related data to the

		single registry. The integration service to be built for the new platform may require additional effort to aggregate the data **Hardware / Infrastructure Assessment:** The new NUSAF3 MIS platform and its servers will be hosted at OPM / NUDC. An automated regular backup of the database to be setup at an OPM refugee site. A cloud backup is also being considered.
Mapping to MIS Modules		
1. **Registration of Applicants**		New platform currently not in place. Expected that separate functionality will be built for Public Works and Livelihood components, although there may be an opportunity to consolidate the functionality (by first consolidating the operational processes).
2. **Applicants Assessment**		New platform currently not in place. Expected that separate functionality will be built for Public Works and Livelihood components, although there may be an opportunity to consolidate the functionality (by first consolidating the operational processes).
3. **Beneficiary Management**		Beneficiary details will be kept centrally on the new platform – separate from the public works and livelihoods components – and it is assumed that the information associated with this module will integrate with the single registry
4. **Disbursements and Transfers**		Integration with payment service provider will be required when volumes require it.
5. **Case Management**		The Public Works and Livelihood component operational processes require considerable workflow management functionality and the new platform will customise the workflow for each component in separate modules – ensuring requirements are met. The case (or workflow) management of the platform is intended to be the focal use case / capability for the new platform. Grievances will be handled in a separate module – where complaints for both components are managed together and supported by workflow management functionality that enable a complaints management lifecycle approach to be followed.
6. **Reporting and Analytics**		The reporting and analytics components of the platform can be a key differentiator in provider value to NUSAF3 and their stakeholders. It is unknown what solutions, and any associated tools, the platform development consultants will employ, but the use case / requirements / dataset enable a sophisticated and rich reporting and analytics solution with the ability to aggregate and disaggregate information, monitor performance against targets and data visualisation solutions, including GIS mapping to complement the watershed planning approach.
4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** A resource planning / capacity development approach has been in place and being managed / enhanced as required for the scale up of NUSAF3. The operational support of the programme will need to be managed as a result, but there is good governance and escalation paths available to resolve issues as they arise.

The MIS / IT department is supported by 2 full time staff to support and manage the development of the new MIS platform. An additional 2 staff will be recruited to support implementation and subsequent operations of the platform. The two areas of resource constraints for the implementation of the new platform are:

- **Quality assurance** of the platform solution, including sufficient resource to plan and validate testing from an M&E perspective
- **Maintenance and support** approach of the new platform solution to ensure integration support will be maintained by the vendor or handed over to the OPM.

OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION

Moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection

Risks / Recommendations:

- A solution to integrate with a payment service provider is not in place – investigate feasibility of using a common shared payment gateway being considered for implementation by NITA-U
- Ensure NIRA validation / link is integrated into the platform build development approach and plan
- Need decision from MIS working group on scope / mapping of the livelihood components of the of the programme
- Current modular approach of separating out the Public Works and Livelihoods sub components results in requirements being met – but may add additional time / effort for enhancements and integration. Consider where operations requirements – and as a result, MIS functionality – can be consolidated and shared.

A1.4   NSSF MIS Assessment

1. Assessment Particulars:

Date of assessment: 7 February 2017

Location: Workers House, One Pilkington Road, Kampala

Participants / interviewees:
MIS / IT TEAM MEMBERS:
Solomon Muganwa

OPERATIONS / MANAGEMENT TEAM MEMBERS:
None

2. Programme Details:

Programme full name: National Social Security Fund

Brief Description:
The National Social Security Fund is a state create fund established in 1985 as a national saving scheme to provide social security services to employees in Uganda. The NSSF is a defined contribution scheme and is financed largely by contributions from employers and employees. The total contribution is equal to 15 percent of an employee's gross salary, with the employer contributing 10 percent and the employee 5 percent.

This money is invested in portfolios like land, properties, treasury bills and equities where interest is generated and then the following benefits are paid out to members where applicable:

- **Old Age Benefit:** Paid to all contributing members who have reached the retirement age (regardless of whether they are still in active employment or not). Processes are in place to pay members before the retirement age if they have been unemployed for a period.
- **Invalidity Benefit:** Paid to a member who can no longer (incapable to) work
- **Survivors Benefit:** Paid to the dependent survivor of a member
- **Emigration Grant:** Paid to contributing members who have been working within the country, but are leaving the country permanently (can also include foreign nationals that were members)
- **Exempted Employment:** Paid to contributing members who join employment categories that have received exemption from the Ministry in charge of Social Security.

NSPP Mapping:
Social Insurance.

Key Governance and Institutional Arrangements:
The National Social Security Fund (NSSF) is National Saving Scheme mandated by Government through the National Social Security Fund Act, Cap 222 (Laws of Uganda) to provide social security services to employees in Uganda. A Board of Directors appointed by the Minister of Finance is act in the best financial interest of the Fund's beneficiaries and to exercise the highest standard of care.

The key regulatory and approval authority with respect to integrate with the single registry is the Uganda Retirement Benefits Regulatory Authority.

The operational processes and systems are also audited on a regular basis by KPMG.

Key Information Areas (Modules) for Management:
1. **Register Members**
   Member registration is done at several branch centres for the NSSF
2. **Contributions Management**
   Three services provide the necessary information for contributions management:
   - **Contributions** are invested in a portfolio in accordance with the URBRA Act 2011
   - **Interest computation** ensures 2 interest points above inflation
   - **Funds** for investments based on investment guidelines
3. **Benefit payments**
   Key information gathered surrounds the validation of collected payments

3. Operational Process Assessment		
OVERALL RATING		**Overall / General Observations:** Operations are set and tested over many years. Only issue that was highlighted by NSSF was registration and member updates that still needed physical presence by member at a NSSP branch office. NSSP branch offices over the entire country with 19 branches, including 6 in Kampala. Various self-service options are available to members, including pre-registration, e-statements, and various queries, but for changes and where the member identity should be confirmed, they must take the transaction reference to their closes branch for biometric verification. NSSF are assessing solution options, including integration with NIRA to address this inefficiency. A call centre operates for interaction with the members and appropriate CRM (customer relationship management) business processes are in place to manage the service requests that arise Key operational request from NSSF was that URBRA was made aware and authorised / requested the integration with the single registry.
Mapping to MIS Modules		
1. **Registration of Applicants**		Only issue remains the need for members to visit the branch for ID verification and to prevent fraud. A simpler yet secure process is needed, including with NIRA link / validation.
2. **Applicants Assessment**		These processes are largely automated in the back-office processing for assessment and enrolment
3. **Beneficiary Management**		Beneficiary details are managed by self-service functionality that is STP (straight through processed) for all back-office processes, including statement or letter generation.
4. **Disbursements and Transfers**		Payments process checks are put in place to prevent fraud, particularly for survivor benefit payments, when a branch centre visit is also required.
5. **Case Management**		The call centre is used for all case management requests, including complaints, updates / changes, fraud reports, other queries or service

		requests. The call centre processes are integrated with the end-to-end operations. A subset of these processes is also made available via the self-service member portal.
6. **Reporting and Analytics**		Reporting on members and their payments are produced monthly, although data can be interrogated on any given day. Summarised reports are made available for the regulatory authorities on a quarterly basis.

4. Systems Assessment

OVERALL RATING		**Overall / General Observations:** Several separate systems and platform solutions have been embedded into the NSSF application architecture to manage the various modules, but they have been tightly integrated and rigorously tested. Oracle database solutions suite along with the JD Edwards ERP solution comprise the primary back-end product and workflow engine to manage the NSSF. For front-office / customer facing applications Aquila software solutions is used to manage all user interface and functional design elements – effectively building a portal platform. Visual Basic and Java based customisations have been executed on the platform. Microsoft Dynamics is the CRM in place at the call centre and performs workflow management functionality as well. There are various other supporting applications for administration, management, database, document and file management. All applications are internal to the NSSF. It was agreed that there is a risk to managing such many applications, and there is a process of consolidation that has happened over the past few years and continues to be looked at to optimise the technology architecture of the NSSF. **Integration Experience:** Because of the extensive integration between applications within the NSSF architecture, there is general confidence in meeting the integrations requirements for the single registry – including the capability to consume an exposed API service with valid security authentication. This still need to be validated during the design phase, as integration will be external to their environment. **Hardware / Infrastructure Assessment:** Hosted internally at NSSF with appropriate disaster recovery / back-up to an offsite location. Specific hardware specifications and infrastructure / networking details can be made available during project implementation as needed.

Mapping to MIS Modules

1. **Registration of Applicants**		Self-service (portal) capability exists as well as ability to directly process on core systems. Biometric integration has been implemented.

2. Applicants Assessment		Assessment workflow coded for automation. Even when member should visit the branch with verification documents – the existing case can be called and updated
3. Beneficiary Management		All applications – Oracle / JD Edwards, Microsoft Dynamics CRM, Aquila software all maintain member details
4. Disbursements and Transfers		Payments disbursed are reflected on statements, including e-statements that can be accessed by the member
5. Case Management		Microsoft Dynamics CRM provides a single view of the members' cases / services, including complaints
6. Reporting and Analytics		Oracle analytics is used to meet the necessary data mining and analytics requirements.
4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Out of the 300 operational / management staff that work on managing the NSSF, there are also adequate staffing to support the MIS / IT platforms, with up to 40 associates supporting MIS and M&E functions. These 40 staff manage the development, maintenance, enhancement, administration and MI requirements for the NSSF applications – there is no external dependencies. There are 3 production DBAs to support reviewing, monitoring and maintaining the optimal performance of the databases.
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		
		Existing operations, systems and people are well equipped to make changes required for mapping and integration to the Uganda single registry for social protection **Risks / Recommendations:** ▪ Review approach / solution to get National identifier onto member registration process / modules **Next steps / Follow-ups / Additional information required:** ▪ Engage URBRA to get confirmation / feedback of NSSF inclusion into the Single Registry scope

A1.5   Public Service Pensions Scheme MIS Assessment

1. Assessment Particulars:

Date of assessment: 7 February 2017

Location: Plot 12, Nakasero Hill Road

Participants / interviewees:
MIS / IT TEAM MEMBERS:
None

OPERATIONS / MANAGEMENT TEAM MEMBERS:
As. Commissioner Victor Leku (buavctr@yahoo.com)

2. Programme Details:

Programme full name: Public Service Pensions Scheme

Brief Description:
The Public Service Pensions Scheme provides benefits to Government employees / traditional civil servants primary and secondary school teachers, police officers, prison officers, doctors and public employees in the judiciary. A member will be entitled to pensions or benefits payable on termination of service for a variety of reasons. A survivors' benefit and an array of other gratuities such as contract gratuities, short term gratuities, and marriage gratuities.

The Human Resources team within the relevant government departments (i.e. at District level) are responsible for administering, managing and approving employee details on the Integrated Personnel and Payroll System (IPPS).

NSPP Mapping:
Social Insurance.

Key Governance and Institutional Arrangements:
The Public Service Pensions Scheme is managed by the Department of Compensation, which was created in 1946 when the Pensions Act was established within the Ministry of Public Service.

The scheme is supported by the Ministry of Finance and the Integrated Financial Management System (IFMS) to facilitate payments and manage budgets / accounting of the funds.

Key Information Areas (Modules) for Management:
The IPPS is a wide-ranging HR management system that covers a broad set of functions. The following information areas are functions that are relevant to management information for the pensions scheme.
1. **Member details**
2. **Salary / Payroll**
3. **Pensions**

3. Operational Process Assessment

OVERALL RATING		**Overall / General Observations:** Processes are embedded into the HR functions at district level and the HR officers are well equipped to handle all employee related matters including supporting employees with the setup and registration of their pensions, review their current pensions position and subsequent benefit payments. Various self-service functions available, including ability to review their pensions position Rigorous processes in place to validate updates (to manage potential risks or human error or fraud) whereby certain changes or provisions of benefits must be approved at the national level by the Department of Compensation at the Ministry of Public Service – a manually intensive process. A separate activity has incorporated NIRA validation / IDs onto existing records via a joint initiative with NIRA – a model that can be followed by other MIS programmes looking to integrate with the Single Registry. Payments are an area of concern due to the lack of a payment gateway interface to IFMS, managed by the Ministry of Finance – payment detail information is captured monthly as a result.
Mapping to MIS Modules		
1. **Registration of Applicants**		Registration of the members are handled as per normal HR processes when they start employment with the Government.
2. **Applicants Assessment**		NIRA link with member details already established via a separate activity. Normal assessment processes are built into the HR business processes
3. **Beneficiary Management**		Member details are managed by the IPPS and self-service process enable the member to view their own pension position.
4. **Disbursements and Transfers**		Payments fulfilment is processed through IFMS, but the lack of an interface to IFMS means that the payment detail information is not captured at point of payment / collection.
5. **Case Management**		Changes to member records that are already receiving benefits are not easily allowed as part of operations of the pension scheme due to potential for fraud – i.e. in the case of "name dropping" where a family member imitates the member who has died to try and continue receiving their pension payments. Changes need to be manually verified at national level and manual adjusted at that point.
6. **Reporting and Analytics**		Reporting on payments are received once a month. Monthly reports are produced for the program management staff to study and quarterly reports are prepared for the PS and other high level stakeholders
4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** The IPPS modules cover the end to end functionality, including scanning of government records to HR management. The following functional modules are supported: ▪ Leads ▪ Performance management ▪ Self Service

		▪ Training and development ▪ Pensions management ▪ Salary / Payroll ▪ Succession Planning Payments are fulfilled by IFMS, but the lack of interface is a weakness of the solution in being able to reconcile and monitor the integrated payment functionality (processed by 12 data centres). The system has been built / customised by Free Balance, a Canadian company that specialises in government financial software and they (or an appropriate development partner familiar with the systems) needs to be engaged. The IPPS is a platform with various elements of legacy and old data attached to it. Performance issues have been a source of frustration from the user community. Appropriate review of the infrastructure / application architecture / database design needs to be done to determine the root cause of the performance issues. Audit trails are in place to monitor user activity and changes to member records. **Integration Experience:** Limited integration experience available within the application architecture of the Public Service Pensions Scheme. For example, with the integration with IFMS, they are dependent on Free Balance or another third party to help deliver integration deliverables. **Hardware / Infrastructure Assessment:** The infrastructure / hosting setup of the systems supporting the scheme was not readily accessible to the interviewee.
Mapping to MIS Modules		
1. **Registration of Applicants**		The IPPS system records the employment record / file for the member, which in turn creates a pension profile on the platform.
2. **Applicants Assessment**		Links to NIRA recently established will enable member details to be validated via another layer in addition to the Government HR processes.
3. **Beneficiary Management**		Self-service functionality and HR administration access facilitates reviewing the member pensions position. Limited changes are required to the member information on file due to risk of fraud – so any change in details will need to be reviewed at national level
4. **Disbursements and Transfers**		IFMS manages payment fulfilment, but an interface to IFMS is missing and therefore the Department of Compensation is unable to monitor the integrated payment functionality (processed by 12 data centres).
5. **Case Management**		A robust workflow management solution is missing – hence a manually intensive operational business processes is required to manage changes that need validation at national level.
6. **Reporting and Analytics**		Reporting outputs are adequately met, with monthly reporting produced for the Department and quarterly summary reporting that is presented to the Ministry of Public Service and other stakeholders.

4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Operational staff for managing the operations of the scheme. At the district level, the scheme is supported by HR staff – thus not relying on the administrators that will be supporting all other programmes (and their MIS platforms) integrating with the single registry. For the maintenance and enhancement of the systems to meet the MIS guidelines however, there is a lack of expert systems architects, developers, administrations and analysts available to support the platform changes. Currently, the performance of the systems need to be investigated as well. A dedicated IT manager for the management scheme – if not already available – would be a valuable resource. NOT USING DISTRICT STAFF
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		
		Moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection **Risks / Recommendations:** ▪ Review payment gateway solutions being considered by NITA-U to understand if there is an opportunity to leverage future solutions **Next steps / Follow-ups / Additional information required:** ▪ Need to obtain detailed application and infrastructure documentation to assess ability to meet MIS guidelines for integration with single registry

A1.6   Orphans and Vulnerable Children MIS Assessment

1. Assessment Particulars:

Date of assessment: 3 February 2017

Location: Ministry of Gender, Labour and Social Development

Participants / interviewees:
MIS / IT TEAM MEMBERS:
Obadiah Kashemeiri (kashameire.obadiah@gmail.com)

OPERATIONS / MANAGEMENT TEAM MEMBERS:
Commissioner Kaboggoza Ssematya James (kaboggozass@gmail.com)

2. Programme Details

Programme full name: Orphans and Vulnerable Children

Brief Description:
The Orphans and Vulnerable Children focus at the Ministry of Gender, Labour and Social Development is to achieve the goals of the National Strategic Program Plan of OVC Interventions (NSPPI). The OVC National Implementation Unit (OVCIU) in the Ministry coordinates the national effort for OVC. Over 4,000 non-government, civil society, faith based and community organisations support this effort by providing care and support for OVC.

The assessment of OVCMIS revealed a central hub for managing OVC information with a view to monitor OVC implementation, measure progress and evaluate performance to ensure effective implementation of National OVC Policy (NOP) and NSPPI. The OVCMIS – it is important to note – does not manage the operations of registering beneficiaries and provision of the social care service. The day to day operations of the care and support provisions are managed by the service providers who operate at the district levels where they operate. At the national level, OVCMIS registers details of these service providers and obtains reporting information from the service providers.

NSPP Mapping:
Social Care and Support Services.
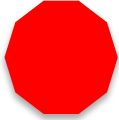
Key Governance and Institutional Arrangements:
OVCMIS is housed within MGLSD and is coordinated by OVC National Implementation Unit (NIU). The OVC-MIS may be used by any Government or Non-Government organisation working with OVC. Users of the OVCMIS include Local Government, Donors, Development Partners, CSOs, FBOs, NGOs, and other stakeholders. Service providers need to register on the OVCMIS to operate at the district level on OVC care services.

Key Information Areas (Modules) for Management:
OVCMIS is a management reporting tool to support a high-level view of OVC activities.
1.   **Service Provider Details**
2.   **Services summary**
3.   **Number of children**

4. Social care monitoring indicators (including Health indicators)		
3. Operational Process Assessment		
OVERALL RATING	 	**Overall / General Observations:** The core operational processes to provide social care provisions to OVC are managed separately by service providers who are engaged at community level. The service providers are permitted to use any standards and systems for their information management, but are required to register their services and provide a OVCMIS quarterly report
Mapping to MIS Modules		
1. **Registration of Applicants**	**N/A**	Not managed by OVCMIS – these processes are operated by the service provider
2. **Applicants Assessment**	**N/A**	Not managed by OVCMIS – these processes are operated by the service provider
3. **Beneficiary Management**	**N/A**	Not managed by OVCMIS – these processes are operated by the service provider
4. **Disbursements and Transfers**	**N/A**	Not managed by OVCMIS – these processes are operated by the service provider
5. **Case Management**	**N/A**	Not managed by OVCMIS – these processes are operated by the service provider
6. **Reporting and Analytics**	 	The service provider completes quarterly reports, which captures summary service and beneficiary information at the sub-county and district level. The forms are standardised and submitted electronically. The District OVC Focal Person will collect all the reporting forms from the various sub-counties (completed by service providers) and perform online data entry. While the reports are requested quarterly, the data received is at the summary level only and it is difficult to reconcile true position of any change in numbers of beneficiaries or services given the inconsistency of timely / regular capture of the reports.
4. Systems Assessment		

OVERALL RATING	 	**Overall / General Observations:**
		The application's purpose has two purposes:
		  a. identification and management of service providers for social care services; and
		  b. b) summarised quarterly reporting on number of people impacted and summarised indicators (i.e. health).
		
		The system is web based and accessible to the service providers and any other stakeholders interested
		The system does not hold the appropriate data on beneficiaries to be able to integrate with the single registry.
		
		Integration Experience:

		While no web-service integration exists to date, the platform is built on open web-enable architecture. **Hardware / Infrastructure Assessment:** Hosted by the MGLSD, specific hardware and infrastructure specifications are available from the head of IT at the ministry.
Mapping to MIS Modules		
1. **Registration of Applicants**	N/A	Not provided by the OVCMIS platform – information management system solutions for this process is managed by the service providers
2. **Applicants Assessment**	N/A	Not provided by the OVCMIS platform – information management system solutions for this process is managed by the service providers
3. **Beneficiary Management**	N/A	Not provided by the OVCMIS platform – information management system solutions for this process is managed by the service providers
4. **Disbursements and Transfers**	N/A	Not provided by the OVCMIS platform – information management system solutions for this process is managed by the service providers
5. **Case Management**	N/A	Not provided by the OVCMIS platform – information management system solutions for this process is managed by the service providers
6. **Reporting and Analytics**		OVCMIS is a monitoring and reporting tool across all OVC interventions. The platform can generate various reports and dashboards of the summary information captured, including GIS spatial mapping representation of reporting information. The reporting information is also available in the public domain – accessible without a login.
4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** There is one primary MIS operational staff for managing the platform, with additional 6 staff available in the wider team to support. The platform was developed by an external consultant. Capacity assessment for integration to the single registry is however not currently relevant as there is a significant gap in mapping to the requirements of the single registry in current state.
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		
		Significant effort to transform systems, process or people for mapping and integration to the Uganda single registry for social protection **Risks / Recommendations:** ▪ The OVCMIS doesn't contain detailed registration, beneficiary, service transfer and case management (complaints) data as they are managed separately by the service provider and the OVCMIS provides oversight monitoring. In current state, the OVC MIS does not map to the Single Registry. ▪ An opportunity to develop the OVCMIS to capture additional data across all social care interventions that incorporates all the relevant social care service provider activities (i.e. remand homes, street children, etc.) that then integrates with the single registry ▪ Additionally, recommended to build a rationalised Social Care MIS to capture any interventions that are not delivered via service providers

Next steps / Follow-ups / Additional information required:
- Need to obtain steering advice on mapping / scope of the OVC data for single registry
- Assuming mapping issues are resolved, need to obtain detailed application and infrastructure documentation to assess ability to meet MIS guidelines for integration with single registry

A1.7   Youth Livelihoods Programme MIS Assessment

1. Assessment Particulars:

Date of assessment: 2 February 2017

Location: Ministry of Gender, Labour and Social Development

Participants / interviewees:
MIS / IT TEAM MEMBERS:
NGOBI ALEX (angobi@yahoo.com)

OPERATIONS / MANAGEMENT TEAM MEMBERS:
Namulondo Elizabeth (nnamulondo@live.com)

2. Programme Details

Programme full name: Youth Livelihood Programme

Brief Description:
The Youth Livelihood Programme (YLP) is designed as one of the interventions to address high unemployment rate and poverty among the youth in the country.

The YLP provides capital to youth groups based on a revolving fund after a proposal for a viable income generating enterprise chosen by the youth group. Investment Options include, Dairy production, high value crops, poultry/egg production, piggery, aquaculture, animal traction, agro-forestry, post-harvest handling, value addition, trade, service sector projects, etc.

The revolving fund requires payment on flexible terms with a repayment period up to 3 years. The Youth Interest Group (YIGs) comprises 10 to 15 persons.

The Programme targets unemployed and poor youth aged 18-30 years, including the following categories:

- Drop-outs from schools and training institutions.
- Youth who have not had the opportunity to attend formal education.
- Single parent youth.
- Youth with disability.
- Youth Living with HIV/AIDS.
- Youth who have completed secondary school or tertiary institutions (including University) but remain unemployed.

In addition to the Livelihood component, the programme also delivers a skills development service to support the development of marketable livelihoods skills that create opportunities for self–employment.

NSPP Mapping:
Under consideration

Key Governance and Institutional Arrangements:
YLP is mainstreamed into Government structures at the National and Local Government levels. Beneficiary selection is conducted through community participatory mechanisms (done in the community).

Key Information Areas (Modules) for Management:
1. **Financials / Fund Management (Disbursements, Allocation, Revolving Fund Management)**
2. **Enterprises summary**
3. **Beneficiary Management**
4. **Capacity Development and Coordination (complaints and case management)**

3. Operational Process Assessment		
OVERALL RATING		**Overall / General Observations** End-to-end operational processes well defined, documented and understood by MIS / operations staff, which is encouraging given a new platform build is underway with an external consultant. Good standard reporting exists today, including beneficiary details
Mapping to MIS Modules		
1. **Registration of Applicants**		The primary registration / proposal process is paper-based – through the completion of a project interest form
2. **Applicants Assessment**		The beneficiary selection process is a multi-verification step process that includes appraisal, approval between sub-county and district level and endorsement at national level. The assessment and verification steps are supported by checklists and process manuals
3. **Beneficiary Management**		Beneficiary details include some household details and processes are in place to manage updates. 15 vulnerability categories are captured and maintained for the beneficiaries, including HIV, education and single parent information. Processes are in place in preparation to capture National ID.
4. **Disbursements and Transfers**		The disbursement of the funds distributed to the group to specified accounts and are managed by separate budget files (and to be maintained in the Fund Management of the new platform). NATIONAL IDs are used as identification for fund collection. A disbursement schedule is used to manage and inform the Local Government staff. The funds disbursed are nor attributed to a particular member however.
5. **Case Management**		Complaints are a challenge to capture since engagement is usually at community level and engagement is not always with an individual – feedback on grievances are not maintained as a result. The pipeline of the enterprise is managed as a specific case for monitoring purposes to review level of debt – and to manage exits (status – closed) when the enterprise is debt free.
6. **Reporting and Analytics**		A comprehensive suite of reporting requirements are supported by the YLP with standard report formats implemented.

		Different level of reports are produced: weekly and monthly for reviewing beneficiaries, assets and capacity build; quarterly for reporting on the financial fund management. With the level of reporting being produced – the team stated, "reporting fatigue" which will be addressed by new platform. Information for reporting is communicated via email.
4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** New platform development in process – testing to commence shortly. Functionality and technology architecture are well suited to integrate with the single registry, but unable to validate / view the platform (due to technical issues). Functionality will include generic MIS modules that can onboard additional programmes as well as GIS mapping. Good functional architecture is planned for the platform with security and audit controls. The platform will be developed on Visual Studio – Ultimate version and SQL Server 2017 – and includes other supporting technology for business analytics. **Integration Experience:** None to date, but application architecture will be able to meet web service integration requirements **Hardware / Infrastructure Assessment:** To be confirmed.
Mapping to MIS Modules		
1. **Registration of Applicants**		New platform currently not in place.
2. **Applicants Assessment**		New platform currently not in place.
3. **Beneficiary Management**		New platform currently not in place.
4. **Disbursements and Transfers**		New platform currently not in place.
5. **Case Management**		New platform currently not in place.
6. **Reporting and Analytics**		New platform currently not in place, but YLP were able to demonstrate some functionality to show GIS Mapping components built and information categories to address the "reporting fatigue" felt by the team. The reporting function objectives have been to incorporate evidence based decision making, transparency and anti-corruption as guiding principles in producing indicators and report formats.

4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Good support from IT resource centre – and access to up to 16 tech support, but only 2 staff in MIS and 1 on M&E. The operations team is supported by a team of 5-6. The external consultant building the platform will be on a retainer for an additional year after implementation.
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		

		Moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection
		Risks / Recommendations:
		▪ Review YLP after new platform has been implemented to reassess integration with single registry
		▪ Need Single Registry steering guidance on how (policy thematic area) the YLP will map to the single registry. Options and feedback received to date are:
		   o Direct income support, but concern that the funds are not regular and predictable and must be repaid to a group format (and therefore doesn't align to thematic area according to the NSPP
		   o Social care and support services
		   o Complementary services
		   o Not mapped to any of the above (out of scope)
		▪ If the YLP is mapped to the single registry, the M&E framework will need to advise on the relevant monitoring and reporting indicators.
		Next steps / Follow-ups / Additional information required:
		▪ Demo of the platform in development – a demo was arranged, but due to technical issues with the deployed testing code, it did not eventuate
		▪ Get feedback on the infrastructure / hosting plans for the new platform

A1.8   Women Entrepreneurship Programme MIS Assessment

1. Assessment Particulars:

Date of assessment: 2 February 2017

Location: Ministry of Gender, Labour and Social Development

Participants / interviewees:
MIS / IT TEAM MEMBERS:
NGOBI ALEX (angobi@yahoo.com)

OPERATIONS / MANAGEMENT TEAM MEMBERS:
Namulondo Elizabeth (nnamulondo@live.com)

2. Programme Details

Programme full name: Youth Livelihood Programme

Brief Description:
The Youth Livelihood Programme (YLP) is designed as one of the interventions to address high unemployment rate and poverty among the youth in the country.

The YLP provides capital to youth groups based on a revolving fund after a proposal for a viable income generating enterprise chosen by the youth group. Investment Options include, Dairy production, high value crops, poultry/egg production, piggery, aquaculture, animal traction, agro-forestry, post-harvest handling, value addition, trade, service sector projects, etc.

The revolving fund requires payment on flexible terms with a repayment period up to 3 years. The Youth Interest Group (YIGs) comprises 10 to 15 persons.

The Programme targets unemployed and poor youth aged 18-30 years, including the following categories:

- Drop-outs from schools and training institutions.
- Youth who have not had the opportunity to attend formal education.
- Single parent youth.
- Youth with disability.
- Youth Living with HIV/AIDS.
- Youth who have completed secondary school or tertiary institutions (including University) but remain unemployed.

In addition to the Livelihood component, the programme also delivers a skills development service to support the development of marketable livelihoods skills that create opportunities for self–employment.

NSPP Mapping:
Under consideration

Key Governance and Institutional Arrangements:
YLP is mainstreamed into Government structures at the National and Local Government levels. Beneficiary selection is conducted through community participatory mechanisms (done in the community).

Key Information Areas (Modules) for Management:
5. **Financials / Fund Management (Disbursements, Allocation, Revolving Fund Management)**
6. **Enterprises summary**
7. **Beneficiary Management**
8. **Capacity Development and Coordination (complaints and case management)**

3. Operational Process Assessment		
OVERALL RATING		**Overall / General Observations** End-to-end operational processes well defined, documented and understood by MIS / operations staff, which is encouraging given a new platform build is underway with an external consultant. Good standard reporting exists today, including beneficiary details
Mapping to MIS Modules		
7. **Registration of Applicants**		The primary registration / proposal process is paper-based – through the completion of a project interest form
8. **Applicants Assessment**		The beneficiary selection process is a multi-verification step process that includes appraisal, approval between sub-county and district level and endorsement at national level. The assessment and verification steps are supported by checklists and process manuals
9. **Beneficiary Management**		Beneficiary details include some household details and processes are in place to manage updates. 15 vulnerability categories are captured and maintained for the beneficiaries, including HIV, education and single parent information. Processes are in place in preparation to capture National ID.
10. **Disbursements and Transfers**		The disbursement of the funds distributed to the group to specified accounts and are managed by separate budget files (and to be maintained in the Fund Management of the new platform). NATIONAL IDs are used as identification for fund collection. A disbursement schedule is used to manage and inform the Local Government staff. The funds disbursed are nor attributed to a particular member however.
11. **Case Management**		Complaints are a challenge to capture since engagement is usually at community level and engagement is not always with an individual – feedback on grievances are not maintained as a result. The pipeline of the enterprise is managed as a specific case for monitoring purposes to review level of debt – and to manage exits (status – closed) when the enterprise is debt free.
12. **Reporting and Analytics**		A comprehensive suite of reporting requirements are supported by the YLP with standard report formats implemented.

		Different level of reports are produced: weekly and monthly for reviewing beneficiaries, assets and capacity build; quarterly for reporting on the financial fund management. With the level of reporting being produced – the team stated, "reporting fatigue" which will be addressed by new platform. Information for reporting is communicated via email.
4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** New platform development in process – testing to commence shortly. Functionality and technology architecture are well suited to integrate with the single registry, but unable to validate / view the platform (due to technical issues). Functionality will include generic MIS modules that can onboard additional programmes as well as GIS mapping. Good functional architecture is planned for the platform with security and audit controls. The platform will be developed on Visual Studio – Ultimate version and SQL Server 2017 – and includes other supporting technology for business analytics. **Integration Experience:** None to date, but application architecture will be able to meet web service integration requirements **Hardware / Infrastructure Assessment:** To be confirmed.
Mapping to MIS Modules		
7. **Registration of Applicants**		New platform currently not in place.
8. **Applicants Assessment**		New platform currently not in place.
9. **Beneficiary Management**		New platform currently not in place.
10.**Disbursements and Transfers**		New platform currently not in place.
11.**Case Management**		New platform currently not in place.
12.**Reporting and Analytics**		New platform currently not in place, but YLP were able to demonstrate some functionality to show GIS Mapping components built and information categories to address the "reporting fatigue" felt by the team. The reporting function objectives have been to incorporate evidence based decision making, transparency and anti-corruption as guiding principles in producing indicators and report formats.

4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Good support from IT resource centre – and access to up to 16 tech support, but only 2 staff in MIS and 1 on M&E. The operations team is supported by a team of 5-6. The external consultant building the platform will be on a retainer for an additional year after implementation.
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		

		Moderate level of transformation required OR unable to validate level of change / preparedness required for mapping and integration to the Uganda single registry for social protection
		Risks / Recommendations:
		■ Review YLP after new platform has been implemented to reassess integration with single registry
		■ Need Single Registry steering guidance on how (policy thematic area) the YLP will map to the single registry. Options and feedback received to date are:
		   ○ Direct income support, but concern that the funds are not regular and predictable and must be repaid to a group format (and therefore doesn't align to thematic area according to the NSPP
		   ○ Social care and support services
		   ○ Complementary services
		   ○ Not mapped to any of the above (out of scope)
		■ If the YLP is mapped to the single registry, the M&E framework will need to advise on the relevant monitoring and reporting indicators.
		Next steps / Follow-ups / Additional information required:
		■ Demo of the platform in development – a demo was arranged, but due to technical issues with the deployed testing code, it did not eventuate
		■ Get feedback on the infrastructure / hosting plans for the new platform

A1.9   Disability Grant MIS Assessment

1. Assessment Particulars:
Date of assessment: 3 February 2017 **Location:** Ministry of Gender, Labour and Social Development **Participants / interviewees:** MIS / IT TEAM MEMBERS: OPERATIONS / MANAGEMENT TEAM MEMBERS: Agnes Nampeera (bulegaa@yahoo.com)

2. Programme Details

Programme full name: Disability Grant
 	
Brief Description:
The Department of Elderly and Disability at the Ministry of Gender, Labour and Social Development is responsible for management of the Disability Grant programme, which supports the National Policy on Disability (2006) that seeks to promote equal opportunities, care and support for the protection of Persons with Disability (PWD). The Persons with Disability Act (2006) provides for comprehensive protection of PWDs against all forms of discrimination and equalization of opportunities.
 	
The Disability Grant has two components:
   i.   social grant to groups of disabled persons to support socioeconomic development and employment opportunities
   ii.   community based rehabilitation
 	
The groups of persons with disability that receive the grants typically contains 10 to 15 members.
 	
NSPP Mapping:
Under consideration
 	
Key Governance and Institutional Arrangements:
The Ministry of Finance funds the grants – 3 billion shillings and
 	
Key Information Areas (Modules) for Management:
   1.   **Fund management reporting**

3. Operational Process Assessment		
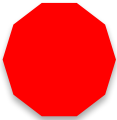
OVERALL RATING		**Overall / General Observations**
		End-to-end process is manual and recorded on various spreadsheets. Reporting from the field / districts is hand delivered in an ad-hoc / unplanned manner. It is a group based membership service (similar to the registration / beneficiary management of livelihood programmes). Information on

		type of disability for the members are also not appropriately managed / controlled.

Mapping to MIS Modules		
2. **Registration of Applicants**		The primary registration process is paper-based and manual, but not controlled with adequate operations manuals that demand standard and repeatable process, tools and forms. Paper documents are delivered by hand to the national level for storage, but they are not scheduled on a regular frequency / period.
3. **Applicants Assessment**		Processes is decentralised at the local government level, await reporting to reach national office to review applicant registration
4. **Beneficiary Management**		Beneficiary details are stored on paper applications and multiple spreadsheets. Beneficiary details include gender and age, but data not accurately capturing disability type.
5. **Disbursements and Transfers**		The disbursement of the funds distributed to the group are managed by the Ministry of Finance and their payment processes. The department does not get appropriate visibility / oversight of the payment process as they are managed externally and must wait for reporting from districts to be able to verify funds transfer.
6. **Case Management**		Managed at district levels via paper based process and spreadsheets on some occasions – so standard process being followed.
7. **Reporting and Analytics**		Quarterly reports are submitted to the national level and focus on amount and status of funds transfer. Receiving the reports are manual or by email, but are often delayed or not received at all. A suite of reports is produced on an annual basis by the department.

4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** No systems in place – and nothing planned for the moment. **Integration Experience:** N/A **Hardware / Infrastructure Assessment:** N/A

Mapping to MIS Modules		
1. **Registration of Applicants**	N/A	
2. **Applicants Assessment**	N/A	

3. Beneficiary Management	N/A	
4. Disbursements and Transfers	N/A	
5. Case Management	N/A	
6. Reporting and Analytics	N/A	

4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Up to 7 officers support the programme at the department within the Ministry. More than additional resources, an investment in process and systems is required.

OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		

		Significant effort to transform systems, process or people for mapping and integration to the Uganda single registry for social protection
		 Risks / Recommendations:
		 ▪ In current state, and without significant investment in process or systems, the programme will not be able to integrate with the single registry
		 ▪ Seek feedback and guidance from NSPP on relevance of the Disability Grant in its current state
		    o Are there changes planned as part of the Programme Plan of Interventions
		 ▪ Potential to consider adopting the YLP MIS if the programme remains providing social grants to a group of members
		 ▪ Need Single Registry steering guidance on how (policy thematic area) the programme will map to the single registry.
		    o Direct income support
		      ▪ Reason for: cash grant / not revolving fund
		      ▪ Reason against: group based transfer (akin to the livelihood projects)
		    o Complementary services
		    o Social care (also relevant for the community based rehabilitation component)
		 Next steps / Follow-ups / Additional information required:
		 ▪

A1.10 Child Helpline MIS Assessment

1. Assessment Particulars:

Date of assessment: 3 February 2017

Location: Kireka Rehabilitation Centre

Participants / interviewees:
MIS / IT TEAM MEMBERS:
Tonny Francis Lujaganya (tonnyfrancis@mglsd.go.ug)

OPERATIONS / MANAGEMENT TEAM MEMBERS:
Sarah Nahabi (nahsar2@gmail.com)

2. Programme Details

Programme full name: Uganda Child Helpline (Sauti)

Brief Description:
The Uganda Child Helpline (CHL) call seeks to be a medium through which
children's voices can be heard and relevant response given. The CHL provides support via the following services:
- Telephone helpline (116)
- Walk-ins
- Conventional and social media
- Community awareness raising campaigns

NSPP Mapping:
Social care and support services

Key Governance and Institutional Arrangements:
The CHL is part of the Department of Youth and Children Affairs within MGLSD. UNICEF Is the primary source of funding for the operations of the CHL and is also responsible for engaging / coordinating the initial development of the helpline. A number of service providers (local and international) have agreements in place to provide care and support at the community level for escalation and follow-up on cases.
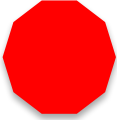
Key Information Areas (Modules) for Management:
1. **Call details**
2. **Database of cases**
3. **Case management process**

3. Operational Process Assessment

OVERALL RATING		**Overall / General Observations** Well defined process and operations in place to register call details and subsequent updates to the case. The case is generated after receiving the call (or walk-in), so it is not a planned and targeted social protection intervention. Detailed operations manuals are available to support the service. Appropriate categorisation of abuse types exists (aligned to UNCRC standards) to ensure the case can be managed via process triggers / hand-offs and allocations / escalation. Unique reference is currently the phone number being called from – National ID integration may need to be explored for integration to single registry. Currently, a process exists to enter case details onto OVC MIS where relevant.
Mapping to MIS Modules		
1. **Registration of Applicants**		Registration of details of the victim (or on behalf of the victim) is not initiated by the CHL, but by the individual themselves. A telephone number (for cases calling the toll-free line) is used as the unique identifier for the call and matches the call with any existing case. The call centre operator will be prompted to record specific details NATIONAL IDs are currently NOT used as the unique reference, but when child id's are established by NIRA, process changes should be considered to embed the ID more into the process.
2. **Applicants Assessment**	**N/A**	
3. **Beneficiary Management**		Beneficiary details captured during the call based on call prompts in addition to the training received by the staff.
4. **Disbursements and Transfers**	**N/A**	
5. **Case Management**		Business processes have been designed to ensure that appropriate workflow rules, triggers, alerts and escalation are built into the operations of the call centre and how a call is handled based on various case information gathered. The case workflow path is triggered by call type and the vulnerability or abuse category (for which standard UNCRC categories are used), previous case details, and call centre operator assessment of case, whereby cases are then appropriately forwarded / handed off for alert, escalation, wake-up schedule, or another workflow action. One workflow step includes updating (manually) case on to the OVC-MIS. Additional notes and comments can be attached on the case and they will be referred to when that individual initiates another call.

6. Reporting and Analytics		Comprehensive management reporting is available and accessible to authorised users. Reporting can be produced at regular frequency for stakeholders and do so currently on a monthly and quarterly basis, but there has been a lot of focus for producing insightful reports for annual reports on the initiative.
4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:** Custom built case / workflow management system caters for the end-to-end process requirements. Application functionality contains good form and service request data capture functionality, including validation, and navigation logic and tight coupling with the workflow management functionality. In addition to the case (workflow) management functionality, the platform has integrated call centre functionality, including CTI (automated computer-telephony integration) and CRM (customer relationship management) functionality. In addition, Voice-2-Data functionality is available. But the programme and solution is NOT an SP-MIS that manages the core modules of SP operations. The system is developed by an external consulting firm that was initially commissioned / funded by UNICEF. **Integration Experience:** Current integration initiatives already in progress and application architecture seems well suited to perform web service integration. **Hardware / Infrastructure Assessment:** Primary infrastructure hosted at the Child Helpline National Centre. Detailed infrastructure specifications need to be sought from Ministry IT Resource Manager.
Mapping to MIS Modules		
1. Registration of Applicants		CTI functionality in place for calls placed to the toll free 116 line with telephone number of caller used as a reference number to provide single view of cases to caller.
2. Applicants Assessment	N/A	
3. Beneficiary Management		Repeat caller details will be displayed automatically. Managed as part of the Workflow and CRM type functionality of the platform. Will need to incorporate NIRA child Id's at an appropriate time into the workflow of managing beneficiary details
4. Disbursements and Transfers	N/A	
5. Case Management		Core component of the solution. Workflow functionality appears flexible enough to configure to meet business process requirements (without IT development resource)

6. Reporting and Analytics		Reporting solutions are available for access to authorised users as well as ability to access the data store. Reporting output capability includes the following information areas and indicators: ■ No of cases ■ Source of cases ■ Case location ■ Call type ■ Abuse category ■ And ability to aggregate and disaggregate as required
4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Only 1 IT officer on site and dedicated to managing the platform at the CHL national centre. Need to understand the support arrangements from the consultant to validate sufficient support
OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION		
		Significant effort to transform systems, process or people for mapping and integration to the Uganda single registry for social protection **Risks / Recommendations:** ■ The platform accommodates good capability in case management and reporting functionality, but **does not map to all the SP processes / functions expected in a SP-MIS** – primarily because the CHL is a reactive service NOT a proactive / planned SP intervention ■ CBH is a social care support service providing case management functionality – should determine how it may fit into the potential wider plans for a social care MIS **Next steps / Follow-ups / Additional information required:**

A1.11 Gender Based Violence MIS Assessment

1. Assessment Particulars:

Date of assessment: 3 February 2017 / 4 February 2017

Location: Ministry of Gender, Labour and Social Development

Participants / interviewees:
MIS / IT TEAM MEMBERS:
Noel Komunda (noel.komunda@gmail.com)

OPERATIONS / MANAGEMENT TEAM MEMBERS:
Commissioner Maggie Kyomukama

2. Programme Details

Programme full name: Gender Based Violence (GBV)

Brief Description:
The Gender Based Violence intervention is to coordinate response to survivors of gender based violence, including psycho-social support, medical attention, justice for perpetrators. GBV acts upon incidents / cases reported from a variety of different sources and subsequently coordinates with various service providers across the country for provision of care.

The National Gender Based Violence Database (NGBVD) is a Government of Uganda initiative that enables actors in Uganda who are responding to Gender Based Violence (GBV) to safely collect, store and generate analysed reports in real time. The National Gender Based Violence Database (NGBVD) is a tool for Monitoring and Evaluating GBV interventions that involve compiling and monitoring reported GBV incidents.

The underlying rationale for the National Gender Based Violence Database (NGBVD) is to encourage survivors /victims to report GBV incidents. In addition to the incident management, the reporting and trends realised on the database facilitate preventative strategies and campaigns to be run and address inequalities and where women are more vulnerable.

NSPP Mapping:
Social care and support services

Key Governance and Institutional Arrangements:
The prevention of and response to GBV is a collaborative, multi-functional, inter-agency and community based approach. Partnerships are required to retrieve more incident related cases / dates in the field – such as law enforcement as a potential source.

Key Information Areas (Modules) for Management:
1. **Case Entry**
2. **Monitoring and analysis of data**

3. Operational Process Assessment

OVERALL RATING		**Overall / General Observations** Registration of beneficiaries of services are based on reported incidents. Many cases of gender based violence are not making it through to the programme, and new channels to obtain reports / cases are being sought. Shelter services are the exception where proactive (rather than reactive) social care support is provided Quarterly reports are produced, but operational processes and data are often managed and retained by service providers (similar to OVC). Key focus on operations is to maintain confidentiality of the survivors
Mapping to MIS Modules		
1. **Registration of Applicants**		Registration of details of the victim is not initiated by the WEP, but by the individual themselves to report a relevant incident (directly to the WEP or via the relevant partner / service provider) NATIONAL IDs are currently NOT used as a unique reference, as individual data is not captured / displayed to maintain privacy. Key issue and strategy for the programme is to obtain more relevant case reporting data from external sources, service providers and/or encourage self-reporting. There is no current way of understanding the level / percentage of cases being reported on vs number of actual gender based violence survivors
2. **Applicants Assessment**	**N/A**	
3. **Beneficiary Management**		Beneficiary details captured are not entered for display / sharing due to confidentiality.
4. **Disbursements and Transfers**	**N/A**	
5. **Case Management**		Case registration and updates functionality include the ability to select appropriate categorisation of the case, source details, service provider – hand off details for any care provision. A challenge to collect quality data from source of incidents and receiving back quality data on outcomes and feedback on care service provided.
6. **Reporting and Analytics**		The information architecture of the GBV data enables drawing various trends across the country – and disaggregated where necessary. GBV incident data are compiled to deliver monitoring and outcome based results for the GBV interventions. Quarterly reports are produced.
4. Systems Assessment		
OVERALL RATING		**Overall / General Observations:**

		The National Gender Based Violence Database (NGBVD) provides efficient and relevant information on case details and metrics, facilitated by good structure in in data setup and information architecture – keeping it simple with logical indicators that correspond well to the reporting requirements, number of abuse types in particular geographic locations. The solution is dependent on case status updates being provided by service providers. Like the child helpline, this is not a Programme MIS, but a case management system. Web based tool with secure login functionality to the data. NATIONAL IDs and Beneficiary personal details are not kept on the database for users due to confidentiality. **Integration Experience:** Not web service based integration functionality at present – but have capability to export data as required. **Hardware / Infrastructure Assessment:** Detailed infrastructure specifications need to be sought from Ministry IT Resource Manager.
Mapping to MIS Modules		
7. **Registration of Applicants**		NGBVD can capture the survivor details and set up an incident, but requires data to be available for entry from the service providers.
8. **Applicants Assessment**	**N/A**	
9. **Beneficiary Management**		NATIONAL ID and Beneficiary personal data not captured and not updated due to confidentiality
10. **Disbursements and Transfers**	**N/A**	
11. **Case Management**		Core registration and updates of cases are set up in a logical manner to enable delivery of reporting requirements.
12. **Reporting and Analytics**		Core component of the NGBVD that facilitates evidence based decision making. The reporting functionality is fit for purpose and provides access to the data to generate reporting on relevant indicators. Reporting solutions are available for access to authorised users.
4. People (staffing / capacity) Assessment		
OVERALL RATING		**Overall / General Observations:** Only 2 staff cover MIS and M&E functions, while other a total of 9 officers support the programme. Adequate MIS / M&E staff currently for the volume of data being managed, but may require additional support if data transformation and integration is required.

OVERALL MAPPING ASSESSMENT AND KEY RISKS / RECOMMENDATION

<table>
<tr>
<td></td>
<td>Significant effort to transform systems, process or people for mapping and integration to the Uganda single registry for social protection
Risks / Recommendations:

The platform accommodates good capability for reporting functionality based on analysis of cases / incidents reported, but does not map to all the SP processes / functions expected in a SP-MIS
GBV is a social care support service providing case management and reporting functionality – should determine how it may fit into the potential wider plans for a social care MIS

Next steps / Follow-ups / Additional information required:</td>
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ANNEX 2 CONSULTATION MEETINGS

A2.1 INCEPTION CONSULTATION MEETINGS

Date	Time	Activity	Organisation	Email Addresses/Phone Numbers
17th Jan 2017	10 a.m.	Single Registry Committee	Ministry of Gender, Labour and Social Development	James Ebitu jamesebitu@gmail.com
	2 p.m.	Direct Income Support MIS	Ministry of Gender, Labour and Social Development	Stephen Kasaija Stephen.Kasaija@socialprotection.go.ug
18th Jan 2017	9.30 a.m.	Public Works Management Information Systems - Northern Uganda Social Action Fund (NUSAF), the Karamoja - Livelihoods Improvement Programme (I think this is KALIP, right? Also include Agricultural Livelihoods Recovery Programme	Office of the Prime Minister (DHL), Ruth Towers	Doreen Kigula 0752 613 657 naljuliane@gmail.com Ros Towers, 2nd Floor, Opposite NPA
	3.00 p.m.	Karamoja Productive Assets Programme	World Food Programme	Christine Wright 0772 287 002 christine.wright@wfp.org
	5.00 p.m.	NITA	Ministry of ICT	Julius Torach 0772 333 695 julius.torach@ict.go.ug
19th Jan 2017	11 a.m.	Institutional set up ICT functions	Ministry of Gender, Labour and Social Development	Kenneth Ayabazibwe 0774185458
20th Jan 2017	9 a.m.	NIRA	National ID Registration Authority	Chris Kantanta 0772 384 245
	11 a.m.	Debrief with Single Registry Committee	Ministry of Gender, Labour and Social Development	James Ebitu 0772517531
	2 p.m.	Karamoja Productive Assets Programme	World Food Programme	Cheryl Harrison 0772287000 Cheryl.harrison@wfp.org

A2.2 ASSESSMENT MEETINGS

Type	Institution/ Programme	Name	Email	Tel
MIS Programme Assessment	SAGE	Moses Odoch	Moses.Odoch@socialprotection.go.ug	
		Peter Ndeda	Peter.Ndeda@socialprotection.go.ug	
MIS Programme Assessment	Public Works (WFP)	Patience Masika	Patience.Masika@wfp.org	
		Christopher Nambale	Christopher.Nambale@wfp.org	
MIS Programme Assessment	NUSAF 3	Doreen Nalwanga	naljuliane@gmail.com	
MIS Programme Assessment	NSSP	Solomon Muganwa	_	0757585010
MIS Programme Assessment	Public Service Pensions Scheme	Victor Leku	_	0772386881
MIS Programme Assessment	Child Helpline (Sauti)	Tonny Francis Lujaganya	tonnyfrancis@mglsd.go.ug	0791760555
		Sarah Nahabi	nahsar2@gmail.com	
MIS Programme Assessment	Disability	Agnes Nampeera	bulegaa@yahoo.com	0772421745
MIS Programme Assessment	YLP	Elizabeth Namulondo	nnamulondo@live.com	0757615485
		Alex Ngobi	angobi@yahoo.com	0700435359
MIS Programme Assessment	WEP	Brian Masimbi	_	0782595799
MIS Programme Assessment	OVC	Obadiah Kashemei	kashemeire,obadiah@gmail.com	0772549125
MIS Programme Assessment	GBV (Gender based Violence)	Noel Komunda	noel.komunda@gmail.com	0779305070
General Consultation	Public Works (WFP)	Pedro Matos	Pedro.Matos@wfp.org	0772287012
General Consultation	Children Affairs	Commissioner Kaboggoza Ssematya James	kaboggozass@gmail.com	0776642079
General Consultation	Gender	Commissioner Maggie Kyomukama	_	
General Consultation	ESP	Stephen Kasaija	_	
General Consultation	NITA	Michael Newman Byamugisha	michael.byamugisha@nita.go.ug	0772540003
General Consultation	NIRA	Christopher Kantinti	ckantinti@yahoo.com; christopher.kantinti@nira.go.ug	
General Consultation	ESP Policy Unit	David Tumwesigye	David.Tumwesigye@socialprotection.go.ug	0772403507
General Consultation	ESP M&E	Mat Pritchard	mpritchard@maxwellstamp.com	

A2.3 FOCUSED GROUP DISCUSSIONS ON 13TH AND 14TH MARCH 2017

Type	Institution/ Programme	Name	Email	Tel
Focused group discussions	SAGE	Moses Odoch	Moses.Odoch@socialprotection.go.ug	
Focused group discussions	SAGE	Peter Ndeda	Peter.Ndeda@socialprotection.go.ug	
Focused group discussions	NIRA	Christopher Kantinti	ckantinti@yahoo.com	
Focused group discussions	ESP – Policy Unit	Zephaniah Ogen	Zephaniah.Ogen@socialprotection.go.ug	
Focused group discussions	NUSAF 3	Doreen Nalwanga	naljuliane@gmail.com	
Focused group discussions	MoICT	Julius Torah	julius.torach@ict.go.ug	
Focused group discussions	ESP – Policy	David Tumwesigye	David.Tumwesigye@socialprotection.go.ug	0772403507

ANNEX 3 LITERATURE REVIEWED

A3.1 National Literature

- National Social Protection Policy;
- Programme plan of interventions for the national social protection policy (fiscal years 2015/16 – 2019/20);
- SAGE Operational Manual;
- NUSAF 3 Operational Manual;
- ICT Policy;
- Second National Development Plan (NDPII) – 2015/16-2019/20
- Draft NSPP-PPI M&E Plan 01, 2017-01-17;
- TORs for development of NUSAF3 MIS; and
- Vision 2040.

A3.2 International Literature

- APSP (2014) Privacy of Information in Social Protection, Management of personal information in the Older Persons cash transfer programme in Kenya, Africa Platform for Social Protection, Nairobi
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- Chirchir R (2009). Brazilian Single Registry: Lessons Learned from the Brazilian Delegation. Unpublished report for DFID, Kenya.
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- South Africa Information Technology Agency, Establishment of a Social Security Information Centre: The comprehensive Social Security and Retirement Reform implications for IT, Government of South Africa, 2010.
- Taieb D& Schmitt V (2012), Good Practices on Single Window Services: Research on existing Single Window Services around the world, International Labour Organization publication.
- Tobias J (2013). The Development and Early Implementation of the Unified Database for Social Protection Programs. Draft working paper for TNP2K and AusAID.
- Veras F, Peres R & Guerreiro R. 'Evaluating the Impact of Brazil's Bolsa Família: Cash Transfer Programmes in Comparative Perspective', IPC evaluation note, 1. International Poverty Centre, Brasilia, 2007.
- Villalobos, VS, Blanco G & Bassett L (2010). Management Information Systems for Conditional Cash Transfers and Social Protection Systems in Latin America: A Tool for Improved Programme Management and Evidence based Decision-Making. Social Protection Unit, World Bank.
- WFP and Government of Kenya (2015) In Focus: The Single Registry, briefing from the Complementarity Initiative

ANNEX 4   MIS ASSESSMENT CHECKLIST

A4.1   Sub County Assessment Checklist

PROGRAMME NAME:

MIS assessment   **** QUESTIONNAIRE A ****   *Level: Sub County*

A1. Programme's name: _____	A4. Number of households in S/County: |__|__|__|
A2. District: _____	A5. Number of families in S/County: |__|__|__|__|
A3. S/County: _____	
A6. Date of Interview:|__|__| / |__|__| / |2|0|1|7|	A7. Name of interviewer: _____

1. Programme beneficiaries:
1.1 Number of applications |__|__|__|
1.2 Number of beneficiaries |__|__|__|
1.3 Number of waiting applications |__|__|__|
	2. What is the aim of the programme?
	    Social care service
	    Cash transfer
	    Public works
	    Other _____ (pls. specify)

3. Is the S/County office connected to electricity?
    Yes   No
	6. Are computers, if any, connected to Internet?
	    Yes No

4. Does the S/County office have computers? Yes No	
5. If S/County Office has computers, are they connected to Internet? Yes No	

7. What software do the computers run?
    MS Word   MS Excel   MS Access
    Other _____ (pls. specify)
	8. Are there any specialised application software?
	    Yes _____ (pls. specify)
	    No

9. How is information kept at S/County level?
 	
    Printed and stored on cabinets
    Kept electronically on computers
    No information is kept
	10. What information is collected by the programme?
	    Information about applicants/recipients
	    Information about application process
	    Information about complaints process
	    Information about payment process
	    Information about exit process

11. What format is the information sent to National level?	**12. How is the information on social protection transferred at S/County level to National level?** Transferred paper-based documents

Electronic reports based on pre-defined templates
Paper-based reports based on pre-defined templates
Other _____ (pls. specify)

Transferred via storage devices, including USB
Other _____ (pls. specify)

13. What reports are submitted to the relevant Ministry/Institution at National level?
_____ (pls. specify)
_____ (pls. specify)

14. What is the frequency of transfer of information?

Daily   Weekly   Monthly
Quarterly   Twice a year   Yearly

15. At S/County, how many …

15.1 Staff members work on social protection programme? |__|__|

15.2 Deployed on information management? |__|__|

16. Are there observable arithmetic errors in the processing of SP application of whatever nature at S/County level? (Please review and check sample forms)
Yes
No

17. Will the computerisation of the processing of SP programmes increase efficiency?
Yes, facilitates the management of information
Yes, makes processing fast
Yes, allows mitigating of benefit fraud
Yes, _____ (pls. specify)
Yes, _____ (pls. specify)
No, _____ (pls. specify)

18. What are the prerequisites for such a system to be implemented at S/County level?
Availability of qualified (trained) personnel
Computerisation (hardware & software)
Access to electricity
Access to the internet
Access to mobile phone networks
Other _____ (pls. specify)

A4.2   National MIS Assessment Checklist

PROGRAMME NAME:

MIS Assessment   *** QUESTIONNAIRE B ***   *Level: National*

A1. Institution: _____	A2. Head Quarters: _____
A3. Date of Interview: |__|__| / |__|__| / |2|0|1|7|	A4. Name of interviewer: _____

A5. Please provide a brief overview of the SP Programme

- Aside from the institution managing the programme, were there any other stakeholders or implementing   partners: _____

- How long has it been operational? _____
- What   are   the   benefits   /   support   services? _____

- Please give a brief overview of the programme lifecycle from an operational perspective:

A6. Please give an overview of the staff / organisation structure of the programme (incl. geographic / location breakdown):

1. How many …	**2. How many …**
a. **S/Counties** do the programme cover?	a. Staff members work on programme?
|__|__|	|__|__|
1.2 Staff members work at **S/County**?	2.2 Staff members work on MIS and M&E?
|__|__|	|__|__|

3. What is the use of the MIS at the national level?	4. How is information kept at National level? Printed and stored on cabinets Kept electronically on computers No information is kept
5. Does Ministry/Institution receive information/reports on social protection programme from S/County level? Yes No **[GOTO Question #10]**	6. How is the information on social protection programme transferred from S/County to National level? Transferred paper-based documents Transferred via storage devices, including USB Other _____ (pls. specify)
7. What essential information is reported on the social protection programme to the National level? Information about applicants/recipients Information about application process Information about grievance process Information about payment process Information about exit process Other _____ (pls. specify)	8. What format is the information received at National level? Electronic reports based on pre-defined templates Paper-based reports based on pre-defined templates Other _____ (pls. specify)
9. What is the frequency of transfer of information? Daily Weekly Monthly Quarterly Twice a year Yearly	10. Are computers, if any, at National level connected to Internet? Yes No
11. What software do the computers run? MS Word MS Excel MS Access Other _____ (pls. specify)	12. Are there any specialised application software? Yes _____ (pls. specify) No
13. Will the computerisation of the processing of social allowances at National level increase efficiency? Yes, facilitates the management of information Yes, makes processing fast Yes, allows mitigating of benefit fraud Yes, _____ (pls. specify) Yes, _____ (pls. specify) No, _____ (pls. specify)	14. What are the prerequisites for such a system to be implemented at National level? Availability of qualified (trained) personnel Computerisation (hardware & software) Access to electricity Access to the internet Access to mobile phone networks Other _____ (pls. specify)

15. Could such a system – computerised Management Information System for Social Protection - be operated at the National level? Yes No	**16. What are the prerequisites for such a system to be implemented at the National level?** Availability of qualified (trained) personnel Computerisation (hardware & software) Access to electricity Access to the internet Access to mobile phone networks Other _____ (pls. specify)
17. Additional observations (if any):	

A4.3 General Assessment Questionnaire

PROGRAMME NAME:

MIS Assessment   **** QUESTIONNAIRE C ****   *Level: All*

A1. Date of Interview: |_|_| / |_|_| / | 2 | 0 | 1 | 7 | A2. Name of interviewer: _____

Questions	Answers
What arrangements are in place to manage the program MISs?	
What is the application architecture for the MIS, including software, database, integration and database services? Is it centralised at national level or is it decentralised at Sub County or is it a mix of the two?	
What hardware infrastructure (servers and computers) are used to support the program MIS in terms of memory, hard disc and processing capacity?	

What is the data privacy and application security processes and tools put in place? Who has access to the production database?	
What is the level of data quality in the MIS? What are the main sources of data quality or integrity concerns? Are there any risk mitigation processes in place for data quality concerns?	
What capacity building plans have been put in place to ensure effective administration and maintenance of programme MIS?	
What is the data capture method (manual or electronic)? What data integration mechanisms do you currently employ? Can you export programme data?	

Are there defined operational documents and guidelines on functionality of the programme? Do the programme MIS have a documented user guidelines and technical guidelines? Are these documents readily available?	
What are the key strengths of the MIS?	
What are the key weaknesses of the MIS? Risks and Issues?	

ANNEX 5   PROPOSED SINGLE REGISTRY HARDWARE SPECIFICATIONS

Equipment		Quantity
1. Servers		
Gen9 Server		4
Processor	Intel® Xeon® E5-2670 v3 (12 core, 2.3 GHz, 30MB, 120W) Number of processors: 2 x 12 core	
Memory	64GB (4x16GB) RDIMM	
Storage	3x300GB, supporting up to (8) SFF SAS/SATA/SSD hot plug drives	
Storage Controller	Smart Array P440ar/2GB FBWC	
Network controller	1Gb 331FLR Ethernet Adapter 4 Ports per controller; 10Gb 533FLR-T Flex Fabric Adapter 2 Ports per controller	
Form factor	1U rack mountable	
OS	Windows Server 2012 R installed	
2. SAN Storage		
SAN Storage		2
Capacity (Maximum including expansion)	768TB	
Drive description (Maximum including expansion)	(199) SFF SAS/MDL SAS/SSD or (96) LFF SAS/MDL SAS	
Host Interface (Supported)	16 Gb/8 Gb Fibre Channel (4) Ports per controller, 1 GbE/10GbE iSCSI (4) Ports per controller, 12Gb/sec SAS (4) Ports per controller	
Storage Controller (Supported)	(2) MSA SAN Controller (2) MSA SAS Controller	
Storage expansion options	LFF Disk Enclosure or D2700 2.5-inch disk enclosure	
Clustering support	Windows, Linux, OpenVMS	
SAN backup support	Yes	
Compatible operating systems	Microsoft Windows Server 2012 Microsoft Windows 2008 Microsoft Windows Hyper-V Red Hat Linux SUSE Linux VMware ESXi 5.x VMware ESXi 6.x	
Form factor	2U Rack Mountable	

3. Catalyst Switch		
CISCO Catalyst 24 Port Data LAN Base		2
Product type	Switch - 24 ports – Managed	
Form Factor	1U rack mountable	
Switch ports	24 x 10/100/1000 Ethernet Ports Ethernet Ports	
Power Over Ethernet (PoE)	Yes	
Switching capacity	160 Gbps	
Power	2 X AC Power Cord for Catalyst 3K-X (Europe)	

4. SAN Switch		
SAN 12-port 16Gb Fibre Channel Switch		4
Port speed	16Gb	
Number of ports	(12) Fibre Channel	
Aggregate switch bandwidth	192 Gb/s, 12-ports enabled	
Form factor	1U rack mountable	

5. CISCO Firewall		
Cisco Next-Generation Firewall		2
VPN throughput (3DES/AES)	250 Mbps	
Firewall throughput	1.2Gbps	
Triple Data Encryption Standard/Advanced Encryption	250Mbps	
Nodes (users)	Unlimited	
Connection rate	15000 connections per second	
Firewall + intrusion prevention throughput	400 Mbps	
IPsec VPN peers	250	
SSL VPN peers	2	
Concurrent sessions	250000	
Virtual interfaces (VLANs):	100	
Security contexts: 2	2	
Virtual interfaces (VLANs)	100	
Form Factor	1U Rack mountable	
Ports Quantity	6	
Connectivity	Wired	
Data link protocol	Gigabit Ethernet	

4. Backup Disk		
6 Tera Byte Hard Disk		1
Support Hard Drive Type	3.5" Internal SATA Hard Drive	
Ports	1 x 10/100/1000 Gigabit Ethernet 1 x USB Print Server/UPS Monitoring Port	
Drive Management	Five Different Hard Drive Configurations (RAID 0, 1, 5, JBOD, Standard) Scandisk Drive Status with E-mail Alerts Drive Quotas Power Management	
Device Management	Internet Explorer® v6 or other Java-enabled Browsers	

5. Power Supply		
Smart-UPS 3000 RACK, 2.7kW-3000 VA		1
Form Factor	2U	
Input Power	CA 208/220/230/240 V	
Output Power	CA 230 V ± 5% (47 - 63 Hz)	

6. Rack	
42U Server Rack	1
- 22U Sever Rack Basic Frame - Front Glass Door - Rear Steel Door - Side Panels - Castors & Feet - M6 screw pack - 4 fans (added to fan top)	

ANNEX 6   PROPOSED SINGLE REGISTRY SOFTWARE SPECIFICATIONS

Equipment	Quantity
1. Virtualization: VMware Licenses	
VMware vSphere Enterprise 1 Processor 3year E-LTU	8
2. Windows Server License	
Windows Server 2012 R Standard Edition	1
- 64 bit - Full Windows Server functionality with unlimited virtual instance virtualization	
3. SQL Server License	
SQL Server 2014 Enterprise Edition: Core License + SA	1
- 2 x 12 core processors - Unlimited VMs - 64 bit	
4. SharePoint License	
SharePoint Enterprise CAL: xx users	1
- Business Connectivity Services Line of Business Web parts - (Office 2013) Business Connectivity Services Client Integration - Access Services - Enterprise Search - E-discovery and Compliance - InfoPath Forms Services - Excel Services, PowerPivot, Power View - Visio Services - PerformancePoint Services - Custom Analytics Reports Advanced Charting	
5. SSL Certificate	
Multi-Domain & WildCard SSL 3-year subscription	1

ANNEX 7   SINGLE REGISTRY SCOPING REPORT VALIDATION WORKSHOP

A7.1   Workshop Agenda

Time	Activities	Facilitator
9.00 a.m.	Registration	MGLSD
9.15 a.m.	Prayers and introductions	Mr. Kenneth Ayebazibwe
9.25 a.m.	Opening remarks	Permanent Secretary, MGLSD
9.40 a.m.	Objectives of the Single Registry and the vision for integrated social protection system in Uganda	Mr. James Ebitu, Director of Social Protection
9.55 a.m.	Social Protection in the Ugandan context	Mr. Stephen Kasaija, Head Expanding Social Protection Programme
10.25 a.m.	Presentation of the Findings on Assessment of Social Protection Management Information Systems	Mr. Richard Chirchir, Development Pathways
11.00 a.m.	**Tea/Coffee Break**	
11.30 a.m.	Feedback on the Social Protection Management Information System Assessment findings	Mr. Julius Torach, Commissioner, Ministry of ICT
12.00 p.m.	Presentation of the proposed Single Registry Model	Mr. Richard Chirchir, Development Pathways
12.30 p.m.	Feedback on the proposed Single Registry Model	Mr. Kenneth Ayebazibwe
1.15 p.m.	**Lunch**	
2.15 p.m.	Presentation of the MIS Guidelines	Mr. Richard Chirchir, Development Pathways
3.00 p.m.	Feedback on the MIS Guidelines	Mr. Julius Torach, Commissioner, Ministry of ICT
3.45 p.m.	Next Steps and Wrap up	Mr. James Ebitu, Director of Social Protection

A7.2 List of Single Registry Scoping Report Validation Workshop Participants

MINISTRY OF GENDER, LABOUR AND SOCIAL DEVELOPMENT - EXPANDING SOCIAL PROTECTION PROGRAMME

WORKSHOP TO VALIDATE THE NATIONAL SINGLE REGISTRY SCOPING REPORT

AT IMPERIAL ROYALE HOTEL, 16th MARCH 2017

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36.						

A7.3   Workshop Notes/Comments/Questions

1. Does the social registry hold household and not individual data?
2. How do we address issues of human rights accountability such as worker's compensation within Single Registry framework?
3. Who manages the Single Registry and who are the target users? Can the Single Registry be accessible by officers, say, from the office of the Prime Minister?
4. Did the assessment cover EMIS and HMIS?
5. OVC MIS is fed by data from services providers. The detail dataset is in electronic copy. The OVC MIS should therefore be re-classified as amber.
6. You mentioned that NSSF is ready to finance any upgrade of its MIS, did you apply this criteria across all SP MISs? We need that assessment included in the report.
7. What security measures are in place to ensure that the system is not hacked?
8. Within health and education sector, there are many sub-systems. Will the assessment include these?
9. Did we assess NIRA? How do we classify it?
10. You are proposing '*an animal without boundaries*'. This sounds like Community Information System that failed. What legal framework is in place to ensure sustainability of the Single Registry?
11. There are many private and non-state organisations involved in implementing social protection interventions? Did you include them on the assessment?
12. Many registries require unique number. Our NATIONAL ID does not have full coverage. How do we deal with the issue of unique ID?
13. What methodology have you used for this process? How would you ensure that future programmes can be assessed for preparedness to link to the Single Registry?
14. We need to strengthen the business case for the Single Registry.
15. Disability grant has two components: (i) social grant to groups of disabled persons not repayable (ii) community based rehabilitation which is part of social care
16. Workers compensation and juvenile justice should be classified under social care
17. WEP, YLP should be group under complementary service and reported by Single Registry;
18. How often will Single Registry be updated?

19. PSPS has evolved since the assessment. They are conducting biometrically enabled national census to update their beneficiary information.
20. The dependency of the Single Registry in terms of security should reference NITA security framework which consists of governance, Information security, Personal Security and Physical Security;
21. Information Requirements currently references payments information. Programmes such as OVC delivery services and not cash payments;
22. What provisions have been put in place to handle change management and support for the Single Registry.
23. Report should be done in 1 week.