

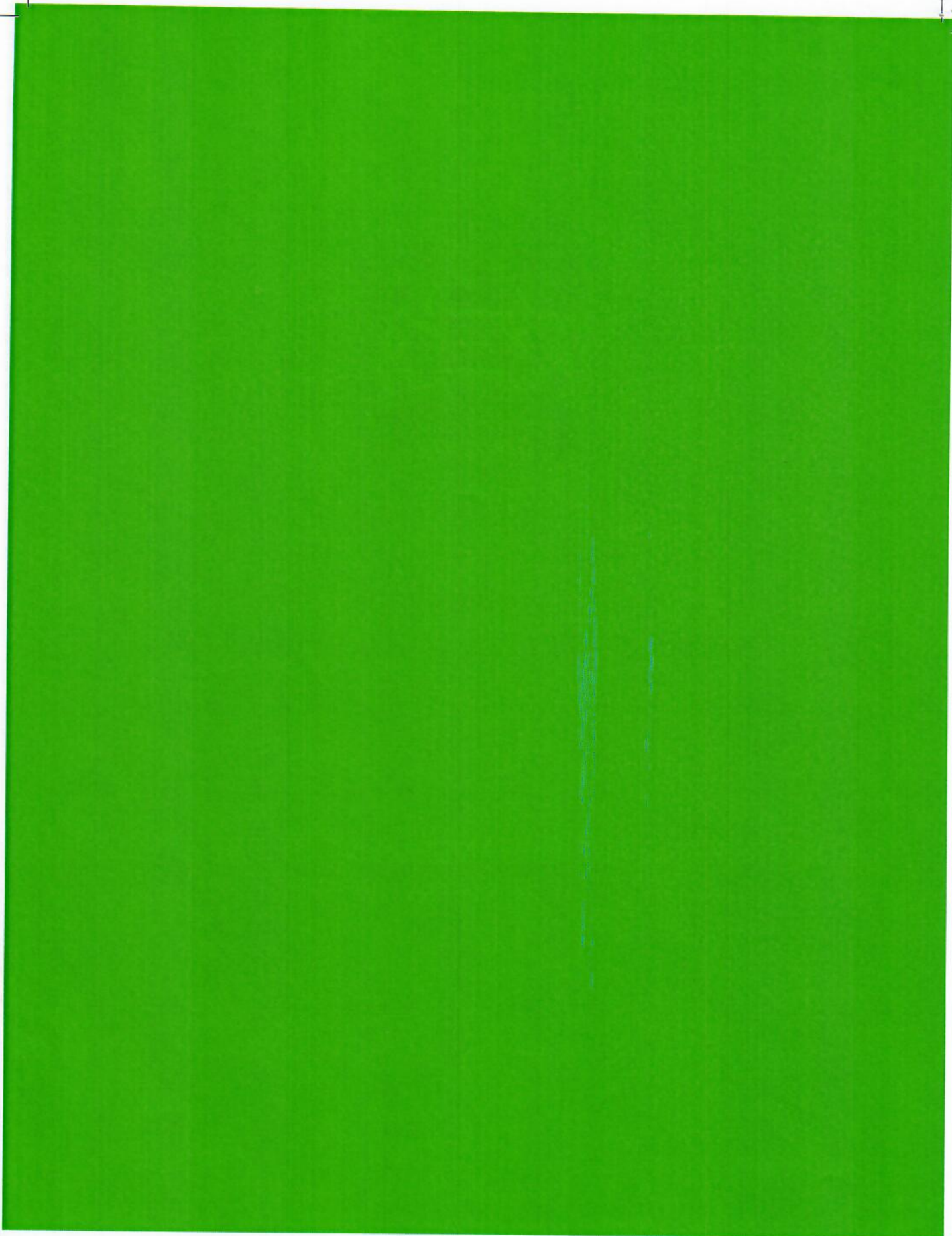


REPUBLIC OF KENYA

MINISTRY OF LABOUR AND SOCIAL PROTECTION  
STATE DEPARTMENT OF SOCIAL PROTECTION

STRATEGY FOR THE ENHANCEMENT OF THE SINGLE  
REGISTRY

June 2020



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**List of Abbreviations**

CT-OVC	Cash Transfer Orphans and Vulnerable Children
DCS	Department of Children's Services
DSD	Department of Social Development
ESR	Enhanced Single Registry
HSNP	Hunger Safety Net
HTT	Harmonized Targeting Tool
IPRS	Integrated Population Registry Services
KIHBS	Kenya Integrated Household Budget Survey
KNBS	Kenya National Bureau of Statistics
MIS	Management Information System
MLSP	Ministry of Labour and Social Protection
NDMA	National Drought Management Authority
NHIF	National Health Insurance Fund
NIP	National Investment Program
NSNP	National Social Safety Net Program
OPCT	Older Persons Cash Transfer
PwSD	Persons with Severe Disabilities
SAU	Social Assistance Secretariat
SPS	Social Protection Secretariat
SR	Single Registry
UHC	Universal Health Coverage

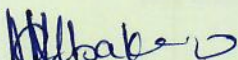
## Acknowledgement

The Ministry of Labour and Social Protection (MLSP) acknowledges with gratitude the efforts made by the teams that tirelessly worked on this Strategy for the Enhancement of the Single Registry. Under the able facilitation and guidance of the State Department for Social Protection led by the Cabinet Secretary MLSP Simon Chelugui, the team did all there was within their experience, expertise and networks to devise a way for strengthening linkages with other social protection stakeholders and programmes as an overall framework.

I would, therefore, like to pay tribute and convey sincere gratitude to all those who spared their time to assist the National Social Protection Secretariat with information, advice and comments that have shaped this strategy. Above all, I would like to thank the members of the Secretariat and the consultants collectively and individually for their hard work, patience and dedication to the strategy development process.

Special appreciation goes to the entire State Department for Social Protection for their priceless support and dedication, the Ministry of Health (MoH), National Hospital Insurance Fund (NHIF), World Bank, UNICEF, World Food Programme (WFP), NDMA and Kenya National Bureau of Statistics (KNBS) for their resourcefulness.

As we move forward to implement the strategy, I seek support of all Kenyans and other people of goodwill to ensure that the strategy is successfully implemented to promote the welfare of all Kenyans.



Cecilia Mbaka

**Head, National Social Protection Secretariat**

# Strategy For The Enhancement of The Single Registry

## Foreword

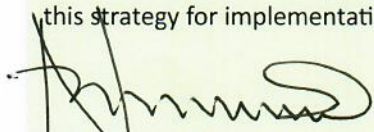
As part of ensuring systematic coordination of social protection in the country, during the 2019/2020 fiscal year, the National Social Protection Secretariat (NSPS) under the State Department for Social Protection, Ministry of Labour and Social Protection (MLSP) prepared a strategy to strengthen linkages with other social protection stakeholders and programmes as an overall framework for the Enhancement of the existing Single Registry for social protection.

The Strategy for the Enhanced Single Registry (ESR) will facilitate creation of a social policy tool that will forthwith become an integral part of enhanced systems for the delivery of social protection to the poor and vulnerable. The ESR will have the overarching objective of improving welfare of households, persons in poverty and with other vulnerabilities and marks a major step forward in the management and monitoring of social protection in Kenya. The ESR is a tool that will transition the Government of Kenya from a model of individual beneficiary life-cycle databases, with few connections with each other, to a model of an integrated registry of persons within households. The broader idea is to bring on board potential beneficiaries for social protection, but also establish linkages with other components of the social protection system such as the National Health Insurance Fund (NHIF), the National Social Security Fund (NSSF), and all public and private social assistance programmes

Unlike before, the ESR seeks to mainstream a multi-sector response to address multiple determinants of vulnerability and poverty. It will contain rich, reliable and updated standardized data on actual and potential beneficiaries that can be selected by programs. Data will include that of individual and household characteristics, actual and potential beneficiaries that can be selected by programs, linkages to other programs including non-cash assistance and also present effective analysis and reporting functions. By integrating existing as well as collecting new data on this population and making it accessible to programs for eligibility assessments and enrolment procedures, ESR will function as a selection mechanism and will add more value to government and partner programs by coupling an analytical layer of comparing its data with other socio-economic data sets.

Extensive consultations with key stakeholder in the social protection sector were undertaken when preparing this strategy. The strategy is a live document and will be reviewed periodically to ensure that stakeholder needs are effectively addressed. It is my considered view that the ESR will provide stakeholders a source of credible and quality data for enhanced service provision. It will enable evidence building on social protection interventions, facilitate effective monitoring and reporting and thus contribute to improved livelihoods among poor and vulnerable populations in the country.

On behalf of the State Department for Social Protection, it is with pleasure therefore that I sign off this strategy for implementation.



Nelson Marwa, Sospeter (EBS)  
**PRINCIPAL SECRETARY**

## Introduction

1. The Ministry of Labour and Social Protection (MLSP) is in the process of transforming the National Safety Net Programme (NSNP) into a more responsive program that effectively and efficiently meets the needs of poor and vulnerable Kenyans through a more coherent approach, including the harmonization of targeting of beneficiary households. Through the MLSP, the government of Kenya started and has expanded cash transfers as well as social services to the more vulnerable. The launch of the Cash Transfer to Orphans and Vulnerable Children (CT-OVC) in 2004 was a landmark, followed by the Older Persons Cash Transfer (OPCT) in 2005, and the Persons with Severe Disability cash transfer (PwSD) in 2011. These transfers have scaled-up coverage and kept their real value. Since 2008, the Hunger Safety Net Program (HSNP) under the Ministry of Devolution and ASAL areas' National Drought Management Authority (NDMA) continues to tackle poverty in four arid counties. Finally, in 2017/2018 the government launched the "70 +" universal cash transfer. Table 1 shows the social assistance cash transfer coverage in the country.

Table 1 – Social Assistance Cash Transfers in Kenya

Social Assistance Cash Transfers	Number of Assisted Households
CT-OVC	365,232
OPCT	320,636
PwSD-CT	41,374
70+	500,000
ML&SP subtotal	1,227,242
HSNP	101,630
Cash for Assets	54,061
NDMA subtotal	155,691
Total HHs w. Cash Transfers	1,382,933
Total HHs in Kenya	11,415,000
% of Total HHs	12%

Sources: 2017 Social Protection Sector Review, Social Protection Secretariat (SPS) for 70+ and Kenya Integrated Household Budget Survey (KIHBS) 2015/2016 for household data.

2. Processes of putting in place ever larger protections for marginalized populations often seek to offer state support for situations of dependency, such as disease, disability, old-age or childhood and additionally include policies to tackle the risk of falling into poverty. The MLSP intends to establish common means to communicate with communities and further develop and implement standardized tools and procedures for carrying out the targeting process, which have the potential for broader use within the social protection sector and beyond.

3. In parallel, progress on norms and policies that shape the current vision of social protection continue to guide the MLSP. Having the 2010 Constitution and the resulting devolved Governments as the backdrop, other developments that continue to guide the sector include the 2011 National Social Protection Policy, the 2012 Development Strategy for Northern Kenya and Other Arid Lands, the Kenya Health Policy 2014-2030 that plans to achieve Universal Health Coverage (UHC) and more recently, the "Big Four Agenda" of government.

4. **Broadly, the strategy for social protection in Kenya incorporates three main approaches including (i) An Inclusive lifecycle approach** that is meant to address core challenges faced by citizens across their lives from childhood to old age. This is through supporting households in need due to dependency and or economic factors, (ii) **Structured shock-responsive social protection** to strengthen the capacity of persons and households to cope with emergencies caused by droughts, floods, livestock deaths, crop disease, disease, epidemics, pest infestation, sudden rise in food prices as well as death of family members through timely responses, and (iii) **Expansion of complementary social protection programmes** by linking actual and potential beneficiaries to policies such as education/skills training, universal primary school meals, productive assets and National Hospital Insurance Fund (NHIF) coverage. These, from new or existing policies and other long-term development strategies and mechanisms that reduce vulnerabilities. The basis to these approaches being to mainstream a multi-sector response in addressing multiple determinants of vulnerability and poverty.

5. **Recently in Kenya, each of the programs feeding into the Single Registry has been performing their own registration processes.** This approach by the programs resulted in overlapping activities with possibilities of collecting data from persons living in households already registered by another program. This often resulted in community fatigue, inefficient use of resources and a lack of standardized data. The rationale for the ESR is that as social protection coverage grows, integrating and harmonizing data collection efforts can achieve greater efficiency gains. In line with this, the government of Kenya has taken steps to harmonize and integrate its policy tools.

6. **Two recent positive developments include the development and implementation of the Single Registry (SR), under the NSPS within the MLSP and the development of the first harmonized questionnaire to register and target persons in need of social protection through the Harmonized Targeting Methodology (HTM).** The SR combines data from the 4 main non-contributory social protection programs (CT-OVC, OPCT, PwSD and HSNP), while the Harmonized Targeting Questionnaire is already in use for data collection in the 4 existing HSNP counties after the piloting of the questionnaire and the methodology across all the government cash transfer programmes in 2017. The HTM will further be applied in the HSNP counties to select beneficiaries for all the GoK cash transfer programs. The HTM will be adopted under the ESR; the harmonized questionnaire along with the ranking formula is annexed to this strategy. ESR Operational guidelines for data collection, verification and targeting are being developed to guide implementation. These are informed by experiences from the HTM pilots undertaken in Turkana, Kilifi and Nairobi by the NDMA/HSNP and the MLSP, as well as experience from the re-registration

<sup>1</sup>Available at <file:///C:/Users/Dell/Downloads/v2030%20development%20strategy%20for%20asals.pdf>

<sup>2</sup>Available at <http://publications.universalhealth2030.org/uploads/kenyahealthpolicy2014to2030.pdf>

<sup>3</sup>Source: Kenya Integrated Household Budget Survey (KIHBS) 2015/2016. Shock is defined as an event that may trigger a decline in the wellbeing of an individual, a community, a region, or even a nation. Severity is a ranking exercise in the four HSNP counties and other relevant lessons from the cash transfer programmes. These steps are in line with integrating the collection, storage and use of data within the social protection sector.



7. **These opportunities serve to enhance Kenya’s Single Registry, by enabling it grow beyond its current functions to effectively serve as a tool to integrate social protection policies, as well as link social protection actual and potential beneficiaries with other social policies.** This strategy lays out the approach to building an Enhanced Single Registry (ESR). The strategy was prepared through consultative processes, and the final draft was validated by stakeholders in a workshop on March 11-13, 2020. The workshop was attended by representatives for the Ministry of Health, the National Treasury, and the Red Cross, also representing the Kenya Cash Working Group, the National Drought Management Authority (NDMA) and County and Sub- County Officials from the SDSP.

## Objective of the ESR

8. **Data collected under the ESR underpins the strategic direction of social protection in Kenya. Collecting data for all household members allows promotion of policies that link individuals to different protection interventions along the life cycle.** Moreover, it allows for the analysis and protection of collective risks at the household level. A life cycle approach to social protection proposes to tackle specific dependencies and lack of autonomy throughout life that are related to the age of individuals, offering continuous support to all household members. The ESR will collect data on all household members as a means to assess not only individual vulnerability, but also the collective vulnerability related to life cycle events such as the birth of a child. The lifecycle approach accounts for the protection of chronic illness and disability, not only as health issues, but also as constraints to the economic autonomy of self, and of others who provide care. With the ESR, the Government of Kenya will move from a model of individual beneficiary life-cycle databases, with few connections with each other, to a model of an integrated registry of persons within households.

9. **Kenya has a history of environmental imbalances; The KIHBS 2015/2016 reveals that 61.9% of households (over 7 million) experienced a shock in the 5 years prior to the survey.** Shocks are more frequent in rural households. Such shocks may include households experiencing shocks from food price increases, the death of a family member among other social and climatic related shocks. Table 2 below shows the percentage of households that experienced severe shocks by level of severity and type - 5 years prior to KIHBS 2015/2016.

<sup>3</sup>Source: Kenya Integrated Household Budget Survey (KIHBS) 2015/2016. Shock is defined as an event that may trigger a decline in the wellbeing of an individual, a community, a region, or even a nation. Severity is a ranking mechanism from the respondent’s perception to assist in determining the degree of effect of the shock. The first severe shock has the most debilitating effect to the household economic or welfare status. Specifically households were asked if “over the past 5 years was your household affected negatively by and of the following events”, a list of 25 possibilities, plus an option of responding “other”. Then the household respondent was asked to rank the main 3 shocks experienced according to the order of severity.

**Table 2: Percentage of HHs that experienced severe shocks**

Top 5 Severe Shocks	Level of Severity			Total % HHs
	First	Second	Third	
Large rise in price of food	11.0	16.4	22.4	30.1
Droughts or floods	13.7	14.2	12.2	27.3
Death of other family member	15.1	6.8	5.4	21.5
Livestock died	8.9	12.6	8.7	20.1
Crop disease or crop pests	6.7	8.5	8.7	15.4

**10. The possibility of households and individuals to adequately respond to shocks is constrained by the economic, health and environmental contexts in which they live.** Governments can work both to mitigate the shock itself, through a more systemic approach, and to increase the ability of vulnerable households and individuals to cope with the shock. To strengthen households' ability to respond to shocks, the ESR offers the advantage of ready-to-use information, enabling timely action by the Government. The ESR enables roll out of specific responses to particular emergency situations in specific counties and geographical locations. With adequate data, the channels and institutional capacities in place can be set in motion to:

- i. Boost the resilience of actual social protection beneficiaries;
- ii. Expand the beneficiary base as many households fall into poverty;
- iii. Avoid duplication of beneficiaries, targeted by government and non-government organizations; and
- iv. Offer additional vulnerable households, that are currently not targeted, support from other programs/interventions.

**11. In order to target new beneficiaries for social protection interventions in a timely manner, especially in the event of shocks, the ESR needs to collect data for potential beneficiaries (in addition to existing beneficiaries) of social protection.** Indeed, as part of a shock responsive mechanism, it is important that data on the entire household is collected as households are more or less vulnerable to shocks depending on their dependency ratio. The number and ages of household members and whether the household is female headed and so forth. Another useful feature to respond to shocks is to collect information on the household's environmental, productive and housing features. The ESR administrative data would also include exact location, telephone number, IDs and birth registration numbers. In some areas it may be important to include information on the bank account, as HSNP does in the counties where the program operates. The ESR may also need to accommodate potential delivery of non-cash assistance, which may be the preferred form of assistance where cash may not be suitable. Shock response is one of the policy objectives that make it desirable for the ESR to go beyond programs' actual combined beneficiary base to cover a greater proportion of the vulnerable. The ESR can be used to define needs in an objective way and to justify financial requirements.

**12. Further, the ESR data on all household members will facilitate linkages to pertinent complementary services, including support for household members with disabilities.** This contributes to people's livelihoods, social and economic inclusion, adaptation to climate change and resilience. Cash transfer programs that support poor or vulnerable persons can facilitate access to other services, such as education, training and health, which can raise economic welfare. Registration in the ESR itself will facilitate access to complementary services by "recognizing" poor households. In addition to giving access to social protection interventions, the ESR will help assess and promote other social and employment policies.

**13. The foremost objective of the ESR is to help programs to select and provide services to beneficiaries.** The ESR will go beyond a collection of integrated beneficiary databases because it will contain rich and updated standardized data on actual and potential beneficiaries that can be selected by programs. Data quality is key, to be facilitated by automating the registration process and checking against the IPRS at the beginning of the process. In order to fulfil its objectives, the design of the ESR will need to provide for the following:

- i. The individual and household characteristics, including household composition, and references that most programs need to select and serve beneficiaries (depth);
- ii. The number of households and individuals that most programs and policies plan to cover (extension/scalability);
- iii. Reliable and updated data, particularly related to individuals' "uniqueness", avoiding duplicity, and "proof of existence", avoiding deceased or inexistent individuals (quality);
- iv. A system that is adaptable, flexible to accommodate interfaces/linkages to other programs including non-cash assistance; and
- v. Effective analysis and reporting functions.

#### **Enhanced Single Registry Functions**

**14. The ESR will have several functions once it is fully rolled-out. First and foremost, the ESR will be an integral part of the delivery of social protection and social policy to the poor and vulnerable.** By integrating existing as well as collecting new data on this population and making it accessible to programs for eligibility assessments and enrolment procedures, it will function as a selection mechanism.

**15. Second, the ESR will build on the SR current reporting, monitoring and query function.** The idea is to expand this to accommodate more databases, more analytical layers and, most importantly, integrate administrative databases by matching procedures. The ESR will add more value to client programs as well as other government clients by coupling an analytical layer of comparing its data with other socio-economic data sets. The most important requirement to add analytical layers using KIHBS data is to harmonize territorial, household and poverty concepts and measures.

**16. Third, through the data sharing function, the ESR would include a collection of integrated beneficiary databases.** This is a straightforward integration feature that synchronizes different sources, consolidates a complete list of matching criteria, and attributes to every uniquely identified entry a marker of program participation. If an entry has one or more program markers, meaning it was found in one or more data sources, this means that the person is a beneficiary of the program(s). To ensure that data sharing goes both ways, from and to the ESR, the NSPS will include in the formal agreements established the schedules and procedures for client programs to share their data.

**17. Another function of the ESR is data matching. To be able to integrate databases and, ultimately programs and policies, the ESR needs to constantly match an external entry with the ones already hosted within the ESR.** The ESR should allow client programs and other users to find persons across databases. Therefore, ESR will have to develop ways to match persons by a matching criterion or a composition of criteria, called match code. Currently, the most used criterion for database matching is the ID document number. However, the issuance of ID is limited, especially for children and the poor. Thus collection and linkages with other databases should also include matching algorithms that contain the birth certificate numbers. This procedure will promote individual uniqueness and quality within the ESR, rendering it more useful to client programs and enhancing its credibility. Connecting with other databases may require enhancements in the functionality of IT systems (including inter-operability) and the elaboration of specific inter-agency agreements.

#### **Target group of the ESR**

**18. The definition of the ESR target group considers several factors including data collection operations, the risks of falling into poverty in Kenya, reduction of exclusion errors and international experience.** The starting point to identify the target group is those classified as “overall poor” by the 2015/2016 KIHBS, that is, 27.4% of Kenyan households, 3.1 million households. However, a larger share of the population has a high risk of falling into poverty. A recent analysis estimated that slightly over half of the population has a probability of over 50 percent of being below the poverty line at some point within the next two years. Likewise, an inclusive approach for data collection in order to reduce exclusion errors implies working with a target greater than the number of overall poor. For example, to reduce exclusion errors for data collection, outreach strategies of data collection such as census sweeps, and en-masse campaigns should be utilized in highly vulnerable and poor territories. This implies registering more households than the “overall poor” headcount, at least in these localities. Although this means greater registration costs, the upside of an enlarged target is that vulnerable households that are in greater risk of falling into poverty due to shocks or income volatility will be included in the ESR and therefore has the potential of being targeted for social protection interventions.

**19. For these reasons the ESR target group will be minimum population coverage of 50% (5.7 million households).** This target group will need to be translated into a welfare measure easily communicated to localities, communities and individuals. This would be a notional eligibility criterion for persons to register in the ESR, such as an income level in urban settings or a looser vulnerability definition in rural settings. A notional target headcount would be set at the national and county level to inform data collection and institutional capacity planning.

#### **Clients of the Enhanced Single Registry**

**20. The ESR as a registry is expected to feed into the implementation process of programs, informing them of potential beneficiary characteristics.** Planning, monitoring, evaluation and research are essential by products of a good registry. In collaboration with key actors, the NSPS will be responsible for identifying and negotiating with programs on use of ESR data, including selecting beneficiaries in compliance to agreed protocols. This would also include checking eligibility, planning expansions, ensuring quality and updating of their own data. Depending on the nature and objective of the program, enrolment may be household (for example, HSNP) or individual-based (for example, 70+ and bursaries).

**21. Immediate potential clients of the ESR are the four cash transfers within the MLSP, OVC-CT, PwSD-CT, OPCT and 70+.** These programs can both feed the ESR with beneficiary (and ex-beneficiary) data and select potential beneficiaries from it. Another immediate client is the HSNP which operates in 4 counties: Marsabit, Mandera, Turkana and Wajir. The HSNP plans to expand to another 4 counties (Garissa, Isiolo, Samburu and Tana River). Finally, the NHIF is keen to cover as many poor households as possible, be it under the Universal Health Coverage plan or through the negotiated subsidy for 70+, CT-OVC, PwSD, OPCT and HSNP beneficiaries. Other potential clients include government ministries, county governments, UN Agencies, NGOs (local and international) and the private sector. In addition, the ESR has potential to support other social protection interventions, including for example, food security, nutrition programs and subsidies, in the Ministry of Agriculture, feeding programs and bursaries in the Ministry of Education and subsidies for people with disabilities and health waivers among others.

### Social Registry Module

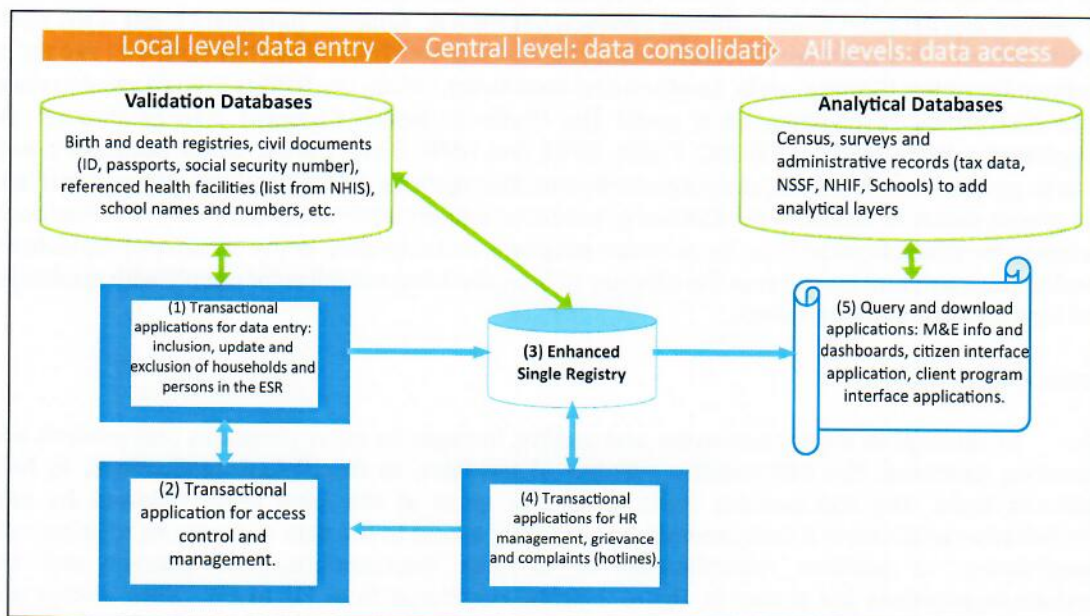
**22. To accomplish depth, extension and quality, linkages to other programs and analysis and reporting functions, the ESR needs a number of modules, or interlinked applications, to fulfil different tasks.** The ESR process starts with data entry at the local level, followed by data consolidation at the central level, and finishes by giving access to the data to programs to select new beneficiaries, to perform recertification or to plan interventions. This process and the modules/applications are shown in Figure 2 below numbered from (1) to (5). Data privacy and security protocols are of utmost importance and should be part of the ESR from the start, including those already in place for the Single Registry. For example, references to the Data Protection Act in data sharing protocols and the signing of confidentiality agreements by those who have access to the data. Only non-personalized data is provided for research purposes. These would be enhanced and improved for the social registry module.

**23. For data entry, a transactional application, supporting online and offline data collection, is needed to record data collected from households.** This is software that digitizes the Harmonized Targeting questionnaire and performs a number of internal and external validations. These procedures are used to avoid errors, promote completeness and facilitate the work of data collection personnel. This application would support the inclusion of households into the social registry, the update of their information, and removal of households or household members from the social registry in specific circumstances such as death or relocation from the country. To maintain quality and protect data privacy the ESR will perform two major operations. First, the data entry application (1) can perform a number of external validations and updates through crosschecks with government databases. Examples include checking online the birth certificate, ID or passport number, Huduma number, as it is keyed in, to avoid errors or including people that do not exist. A more sophisticated feature would be to check through the birth certificate authority database, if a new-born that was not previously accounted for by the ESR now exists for a certain mother's ID. This could automatically update the ESR, be it at the moment of data entry (1) or at the central level in data consolidation (3). A feature to automatically update a recent death of a household member could be integrated in (1) and (3). To enable these operations to take place it is proposed to establish intergovernmental agreements, e.g. with the Ministry of Interior and National Government Coordination which hosts the IPRS. Repeat surveys will also be undertaken to randomly check selected households of enumerators and serve as a validation check.

*<sup>4</sup>Households registered will be asked in their interview to provide their informed consent for these cross-checks and similar operations. Databases mentioned in Figure 2 for external validation are indicative and would need to be reviewed to determine their potential and feasibility for use in practice. The agencies responsible for these databases will be identified in order to reach agreements with them.*

## Strategy For The Enhancement of The Single Registry

Figure 2 – ESR Basic Information Technology Process: modules/applications (1) to (5)



24. **Second, the data entry application has to control user access to the system and track changes (2).** This will give different access levels to different personnel and partners, recording the details of time, place, duration and identity of access and alterations, so that changes can be traced and citizens' data protected. This is an important feature in order to ensure security.

25. **After data is entered, it will be consolidated at the central level. The consolidation process involves a number of operations (3).** It includes system-based checks for the internal consistency of data, accommodating it within the existing dataset, registering its temporality, calculating information, such as validity and completeness of new data, and rates of duplication in the consolidated dataset. Moreover, the data stored in the consolidated dataset of the ESR will be complemented, updated or checked, on a frequent schedule for external consistency with other databases and systems such as crosschecking with other databases to confirm, for example, documentation details and validity. Data can also be automatically updated by crosschecking with new information on documents, deaths and births, etc. Depending on the type of data and administrative arrangements, cross-checks could happen in real time, or on a periodic basis. The value added by the ESR is to ensure uniqueness (assuring that programs will not make payments to beneficiaries that do not exist).

26. **Application (3) will determine how ESR data will be stored and retrieved.** This will be carefully planned, taking into account the current users' demands and future demands that can be foreseen. Such include for example if historical data needs to be available, how far back, with which frequency and in which way. These are some of the questions that need to be carefully thought of while planning this structure. The system should have features to allow storage and access to any data that is available in the ESR with specific filters on dates, types of data etc. Decisions on how the data will be stored and retrieved are central for future performance and accountability.

**27. The consolidated ESR at the central level includes complementary applications that would manage the HR resources (4) involved in data collection, to monitor data collection, manage courses and training, and calculate productivity and performance in terms of quality of data and costs.** This can also feed into the access control application (2), as a means of certifying and limiting public agents that can perform data entry or alteration. Another important application would manage and follow-up grievances and complaints by registering hotline inputs and outputs, and register and follow-up documentation flow for resolution. This should link to the HR management application and to the consolidated ESR, so that grievances and complaints can be thoroughly investigated on a timely basis, and escalated if necessary.

**28. Finally, the IT processes will support the ESR IT to perform its main functionalities of serving as a selection mechanism and as an integrated query and reporting tool by setting up applications of data access (5).**The Single Registry is today an application of this type. It performs data query, listing, downloads and formats them in dashboards to give access to the data to different clients. The most important clients to be taken into account are the programs that use the ESR to select beneficiaries. They should have tailored applications and links to access the ESR data automatically to feed into their own systems, such as web services and programmed, and encrypted, batch data transfers. As part of (5), standard reports will be automatically generated for programme managers.

**29. At this point, depending on the client, analytical layers can be added to the application through the integration of other databases.** The ESR data will be very useful for social protection planning if it is able to import, match and make available data from the Census and household surveys. In this manner, coverage gaps and exclusion errors can be monitored. Furthermore, in the future, ESR will deliver M&E indicators and dashboards to high level management regarding social transfers and protection pillars. This means integrating data from the NSSF, income taxes, NHIF, and other sources.

#### **Questionnaire/Harmonized Targeting Tool**

**30. The questionnaire used for data collection is important: it contains the ESR data requirements.** Specifying the tool for data collection and the concepts behind the questions is key to ensure data quality and relevance. The rationale for the data requirements is data to serve the implementation of social protection interventions, including a tool to rank or target households in the social registry. This includes:

- i. Data to identify persons, households and their contacts: names, relatives, IDs, birth/death documents, address, constituency, county, telephone number, email;
- ii. Data to measure socio-economic characteristics, harmonized with the KIHBS so that comparisons can be made, and
- iii. These also include data that serve the specific needs of programs (access to sewage, access and type of water supply, etc.)

**31. The ESR should produce relevant data that satisfies the needs of stakeholders:** advance consultation with current and future ESR clients for careful planning of data needs is paramount. Rounds of negotiation with client programs to agree on the minimum requirements for the data to be collected will need to be concluded as soon as possible and well before data collection starts. At the same time, it is important to keep in mind that the questionnaire cannot include all the data needed by specific client programs. Otherwise it will become a huge unmanageable dataset, making it difficult to ensure high quality during data collection and to update. The goal is to link the vulnerable population with relevant government policies and programs. Standardization is significant. In order to link and consolidate data for analysis, the data should be standardized. There needs to be a common set of data requirements: all household members should be included and everyone should present at least one personal document (id, birth registration). Concepts such as who should be counted as the head of household also need to be standard and determined in cooperation with KNBS. The registration instrument needs to be a common tool and platform that collects most of the information needed to assess program eligibility. The Harmonized Targeting Tool (HTT) as part of the HTM serves this critical function.

**32. The Harmonized Targeting Tool (HTT), Annex 1 will be used for ESR data collection.** The HTT is updated and takes into account the KIHBS 2015/6 data and adopts “Regression” (Proxy Means Instrument) analytical approach for targeting, a shift from the previously used Principal Components Analysis approach. Consultations have been on-going with key ESR potential clients (NHIF, for example) to agree on any additional variables (nearest health and education facility, for example) to be added to the instrument. This process would be completed well before the anticipated start of data collection. The HTT includes sign-off of permission to use the data provided by respondents. This provision would be strengthened for the ESR drawing from the experience of HSNP and to be consistent with the Section 29 provision. The HSNP introduced a section within the tool that explains why the data is being collected and asking respondents if they approve sharing of the data with other programs that may offer services. ESR is to rank all the registered households as a value added service for client programs.

#### **Enhanced Single Registry Growth Plan**

**33. Two principles order the priorities for populating the ESR: immediate client program needs at county and national level to register or recertify beneficiaries for social protection interventions and the number of “overall poor” at the county level.** The plan encompasses two phases. Phase 1 is harmonization with current and planned registration activities and Phase 2 comprises the ESR data collection planning and operation from July 2020 to 2024. This will guide implementation of a social registry that targets around 40% of the population, ensuring coverage of the “overall poor” and the population vulnerable to risks and consumption volatility.

#### **Phase 1 – July 2020 to July 2021: Harmonization with Current and Planned Registration Activities**



**34. NSPS will coordinate and be responsible for the collection of data of potential beneficiaries for the ESR.** Efforts will be combined with the SDSF officers in the Department of Children Services (DCS) and Department of Social Development (DSD), the National Council for Persons with Disabilities (NCPWD) as well as NDMA officers in HSNP, the source for the current beneficiary registry. The idea is to expand the HSNP approach (collecting data for both beneficiaries and potential beneficiaries) for the country.

**35. As part of Phase 1, efforts will be made to harmonize planned registration activities as there is potential for overlaps, both in terms of the HHs to be covered, as well as the institutional capacities required at the central and local levels.** Key of the activities to be leveraged upon includes the following:

- i. The Inua Jamii Universal 70+ programme
- ii. The HSNP re-registration exercise to be undertaken in the counties of Turkana, Wajir, Marsabit, Mandera
- iii. Expansion of CTs supported by the NSNP under the NEDI programme in 6 counties
- iv. The Rectification and Replacement of Cash Transfer Beneficiaries under the NSNP and the
- v. The KSEIP counties for social and economic inclusion activities expected to be undertaken in 4 counties of Kisumu, Murang'a, Makueni and TaitaTaveta

### **Phase 2: Enhanced single registry (ESR) roll-out: July 2020-June 2024**

**36. As part of Phase 2 ESR data collection planning and operation from July 2020 to 2024 will take place and targets around 50% of the population, and shall ensure coverage of the "overall poor" and populations vulnerable to risks and consumption volatility in all the counties.** It is estimated to cover up to 5.7 million HHs.

### **Principles to Order Priorities by County and Locality**

**37. The immediate needs of client programs are the best drivers of ESR registration. This strategy suggests starting the ESR expansion in the counties where there is a need for programs to collect data on households in poverty or collect further data on household members and characteristics of current CT-OVC, OPCT and PwSD beneficiaries.** The data collected by HSNP in the counties identified for HSNP expansion (Garissa, Samburu, Tana River, and Isiolo) as well as that already collected in the four original HSNP counties would be the start of the Social Registry. The data already links with the Single Registry and will transition to the ESR. These counties are labelled as "Priority 0" in Table 5 below.

**38. The planned expansion for CT-OVC and PwSD in the NEDI counties will be prioritized in the ESR expansion if not covered already in the HSNP counties (Lamu and West Pokot). Together with the counties included in NICHE if not covered already (Kilifi and Kitui) these would comprise Priority 1. For programs like NICHE and Economic Inclusion, the aim is to complement cash transfers with top-ups and services. These programs will need better data on current beneficiaries. Priority 2 counties will include the counties for Economic Inclusion, as well as the rest of the ASAL counties (also a likely focus of interventions)**

**39. A second principle to prioritize ESR expansion, applied after the first principle is exhausted, is to rank counties by the absolute overall poverty headcount. Since there is a goal to collect data of all the overall poor in 5 years by mid- 2024, it is important to start in larger poverty pockets as soon as possible. KIHBS 2015/16 small area poverty estimates updated with recent census data is used for poverty estimates and will be used as a benchmark for the ESR. These priorities could be adjusted depending on the needs of programs and if certain counties have a particular interest.**

Table 5 – Enhanced Single Registry Expansion Priorities

Priority Rationale	Priority 0 HSNP and Expansion	Priority 1 Rest of NEDI and NICHE	Priority 2 Rest of Economic Inclusion and ASAL	Priority 3 All other counties	Total
Number of Counties	8	4	13	22	47
Poor Households (%)	14%	8%	22%	57%	100%
	Marsabit Turkana Mandera Wajir Garissa Samburu Tana River Isiolo	West Pokot Lamu Kilifi Kitui	Makueni Taita Taveta Kisumu Muranga Kajiado Kwale Meru Baringo Narok Laikipia Embu Nyeri Tharaka Nithi	Nairobi Kakamega Nakuru Busia Bungoma Kiambu Kisii Uasin Gishu Migori Bomet Homa Bay Trans Nzoia Siaya Machakos Mombasa Nandi Kericho Vihiga Nyandarua Nyamira Elgeyo Marakwet Kirinyaga	

#### Approaches for Populating the ESR (Data Collection)

40. Two registration approaches are planned for the ESR expansion: i) active search through

census and en masse registration campaigns including sensitization in accessible areas for the poor and **on-demand**, in which it is up to the household to seek enrolment in the registry at an office or mobile unit; and ii) **registration by active search** in which it is up to the ESR operating partners/agents to identify and call upon households. Another outreach approach is to establish channels and procedures for NGOs, community leaders and others to notify the ESR operating partner/agents of people and households who fit the ESR criteria. The approach of en masse registration campaigns is similar to the experience of the SDSP for program registration, for example, the recent efforts for the 70+. The census and en masse approaches are periodic exercises, while on-demand is continuous.

41. The census approach generates the highest quality and most comprehensive data in a defined geographic area since all households are likely to be registered. The poor are more likely to be reached because entry barriers are reduced. Information often doesn't reach the poor and vulnerable. The on-demand approach, in particular, requires good communication and sensitization strategies. These strategies will need to send the correct message that being in the ESR does not guarantee program participation and that it contains information on potential beneficiaries.

42. In the case of the ESR, the proposed criteria for choice of data collection strategy would be to use the door-to-door census approach in a constituency if the overall poverty headcount is greater than 50%. If the constituency has an overall headcount between 30% and 50%, then en masse registration through touch points such as public primary schools or community centres will be used. On-demand would be used when the overall constituency poverty headcount is below 30%. In cooperation with KNBS, small area poverty estimates incorporating census information will guide these decisions. Both the en masse registration and on-demand approaches would have a two-step process: listing followed by doorstep data collection.

**43. Based on the priorities for populating the ESR and the criteria for choice of data collection strategy, a detailed implementation timeline is contained in Annex 2.** It includes the estimated number of targeted households by county as well as an indicative budget for data collection. It is worth noting that it is likely that approaches will be refined during implementation, informed by local knowledge and consultations. For example, even in a county where the above criteria indicate that data collection would be 100% on-demand, in practice the approach may be complemented by selective en-masse points to take into account local constraints to get to on-demand registration places and/or census in high poverty pockets. Also, it may be feasible to roll out the on-demand approach earlier with the aim to install that capacity in all counties eventually. In the early stages of implementation, it will be important to try different methods to find out what works best.

**44. Finally, recent developments in social assistance in Kenya have shown that there is great value in engaging community leaders and representatives in the critical steps of communication and outreach prior to the data collection process.** This builds on MLSP experience and promotes local social cohesion.

**45. The ESR data collection steps can be seen together with the harmonized targeting methodology and Questionnaire being applied as below:**

- i. Stakeholder engagement and sensitization on the registration process and getting their ownership and support for the exercise;
- ii. Localized communication and mobilization of household representatives for their listing/registration in areas of registration;
- iii. Household listing using on demand desks at program offices and/or en mass registration points in non-census constituencies;
- iv. Doorstep data collection of listed households for verification of observable indicators;
- v. Census sweep in constituencies where poverty is more than 50%;
- vi. Application of poverty targeting formula for ranking of households – (ESR system), and
- vii. Generation of potential beneficiary lists for all NSNP CTs and other SP programs

### Guiding principles for data collection

**46. Data collection for the ESR is an inclusive process and therefore, will pay special attention to entry barriers.** As an example, if ESR on demand registration in a certain locality only takes place in a Children's Services Office, it should be open at times that are accessible to the population that wishes to register. If the most vulnerable population mostly works during weekdays, a good idea would be to open the offices one weekend per month, or stay open during lunch hour, to open temporary sites in alternate locations, etc. There will be Grievance and Case Management procedures specifically for the ESR. Data collection should also be gender-sensitive and ensure the engagement of women in the target group for the ESR.

**47. In addition, it is important to ensure that the population can register or update their information at any office, as this reduces time and displacement costs to a minimum.** Many people find it more convenient to go to an office near their workplace, for instance, in city centres, than near their home. This alternative should be provided to minimize registration costs for citizens. With a web based transactional system for data collection and update, there is no reason for the registering activity to be geographically limited. If it is more convenient for people to register in a neighbouring jurisdiction, this also should be possible as long as they provide accurate residence information.

**48. The active search strategy reduces the possibility of omitting the most vulnerable persons and households.** However, updating information and adding to the ESR those households which recently moved to an area is more difficult. This means that, although census sweep will be undertaken in many constituencies, there should always be a mixed strategy in place, in this case, with either Children and Social Development offices or alternative units permanently offering ESR data collection and update.

### Data Updating: Preliminary Considerations

**49. A 4-year maximum is proposed for updating the first round of the ESR taking into account the structural aspect of vulnerability and poverty in Kenya and limited capacity at the local level.** In the last year of the coverage expansion of the ESR, that is, in 2024, the re-registration of the first households covered in year 1 will start. On-demand registration would always be possible, allowing new or households that just entered poverty to be readily registered to potentially benefit from social protection programs.

**50. Additionally, even though the general rule is to update the data only every 4 years,** it is important to follow-up cases of households that became substantially better-off, as they might now count on other social protection mechanisms or need other kinds of support and complementary programs. The ESR will establish frequent crosschecks with the administrative databases it assembles. If feasible, the ESR could also pull in updates from program databases.

**51. Because households were first included at different times within the 5-year expansion plan, there will be continuous ESR updating activities taking place.** Besides, there will be a requirement for households to report major events that could affect their poverty status through ongoing, on demand updating protocols for households and persons. With the right sensitization households should understand in what circumstances they are required to update certain information such as demographic changes and do so either in an office or online.

52. The communication strategy for ongoing, on demand data update by households in the ESR would focus on important events such as birth, death, household composition alteration, caregiver alteration, change of address and phone numbers since these are vital to deliver relevant and pertinent protection. A procedure should be developed to accommodate this need as changes are likely to occur with time. It is important to note that for updating purposes, the data collection tool should be the HTT questionnaire, as many other household and individual characteristics and references might have been altered.

### **Implementation Arrangements**

#### **Institutional Roles and Responsibilities**

53. A National Steering Committee to oversee the ESR will be created. Membership would include MLSP, NDMA, KNBS, National Treasury, Ministry of ICT, State Department of Interior, and Agriculture, among others. Technical sub-committees or working groups would be formed as needed to handle specific issues and bring in additional stakeholders, including NGOs. A unit within the NSPS would host and administer the ESR, including the registry now held by HNSP, provide strategic direction and enforce minimum standards and updating requirements through the preparation of policies and manuals. It would manage and coordinate all ESR activities, including its Information System. The ESR unit within the NSPS would manage data collection and processing, with data collection undertaken through the DCS, DSD and NCPWD officers at the county and sub-county levels, in collaboration with NDMA officers responsible for HSNP at the county level and respective county government officers involved in social protection. These arrangements should be supported by legislation.

#### **County Governments**

54. Counties' collaboration to the ESR will be twofold. First, they are immediate users of the data for vulnerability assessments and for identifying beneficiaries for their own social protection programs. An immediate collaboration can take place by sharing the current Single Registry with the county level officers, giving them access to all the reporting tools and individual and ID list queries. A training workshop for selected county social protection officials could be a good initiative to kick-off this relationship, giving all counties the same chance to understand and access the national ESR. A second possible collaboration with county governments would be for data collection activities such as the sensitization and mobilization of communities and citizens. The Council of Governors should play an important role to facilitate collaboration with the counties on the ESR.

#### **Capacity Strengthening Requirements**

55. In order to run the ESR and fulfil the functions outlined previously (beneficiary selection, reporting and monitoring, data sharing, and data matching), the NSPS will need to strengthen its capacity in several areas. Although the NSPS will work with the SDSP departments and agencies at national and local levels to carry out registration, there might still be need to engage enumerators or field supervisors, particularly during en masse registration or for other intense engagement/tasks.

**56. The capacities needed to run the ESR are derived from the main functional requirements for the ESR, and broadly include operations management and information system management, Staff and budget to formulate the strategy, manage and coordinate data collection. These activities require the ability to engage the operating parties/agents, supervise, and support their work. Specifically, institutional capacity is needed to:**

- i. Prepare and update operating manuals and communication strategies;
- ii. Prepare and update norms and guidelines to guide specific procedures to engage with the community and citizens and collect and enter data for the ESR;
- iii. Elaborate and update training materials;
- iv. Engage and coordinate internal and external stakeholders in implementing data collection and other ESR processes, including the provision of technical assistance;
- v. Manage the data collection operation;
- vi. Build capacity of teams involved in ESR operations at national and local levels and provide technical assistance to ;
- vii. Prepare and update a monitoring and supervision strategy, including a tool to monitor enumerator productivity and data quality.

**57. Strengthened ICT staff, infrastructure, budget (including the costs of internet) and technology access to plan and implement the information systems and internet requirements to support data entry, data transmission, data consolidation, data quality, data matching, data analysis/beneficiary lists generation, data query and reporting.** The NSPS has a reasonable ICT capacity, but they will require additional technical assistance to enable the development of the current Single Registry and the in-house system development capacity needs to be enhanced to ensure that the NSPS can carry out its own development in future. ICT activities will become a great deal more diversified for the ESR to:

- i. Assess data operations needed by client programs;
- ii. Support data entry and transmission, including decentralization of ICT hardware and access to applications (servers and applications should remain centralized);
- iii. Assure data quality and matching, including links with administrative databases;
- iv. Consolidate data; and
- v. Data sharing portal/platform

**58. Staff to perform data analysis and data quality activities.** The credibility and consolidation of the ESR depends to a great extent on the NSPS's ability to monitor data quality and produce meaningful analysis. Multiple mechanisms are needed for data quality checks. For this, a specialized activity has to be fostered, with the help of staff with the knowledge to undertake the following:

- i. apply methods of database matching;
- ii. monitor duplicity, completeness, actuality and other indicators of data quality;
- iii. monitor exclusion and inclusion errors;
- iv. monitor registration activity in real time;
- v. monitor client programs' overlaps, complementarities and gaps;
- vi. apply PMT scores or other multidimensional poverty measures; and
- vii. Produce reports on indicators.

**59. Ability to lobby programs to use the ESR and to ensure that its importance is recognized.** Personnel are needed to negotiate and coordinate with client programs at all levels by:

- i. Promoting the use of the ESR across line ministries, county governments and other potential clients;
- ii. Managing demand of potential users and their use of ESR, including requirements for access;
- iii. Designing agreements, protocols and joint communication strategies;
- iv. Exploring relevant partnerships such as Huduma centres and county governments, and
- v. Local level Institutional Capacity Strengthening.

**60. The registration activity for the ESR expansion will demand more local effort than that employed under the current programs, as it plans to reach a total of 5.7 million households in the next 5 years.** The current programs under the MLSP have covered roughly 1.23 million households since 2004, that is, over 14 years. This is a great challenge, but it also has the potential to help to build permanent local capacities. In order to strengthen institutional capacity at the local level, three parallel strategies to support census, en masse and on demand data collection are envisioned:

- i. Strengthen the existing personnel and ICT structure within the DCS and DSD to support the ESR expansion effort, but also
- ii. outsource data collection and
- iii. Engage dedicated program staff to ensure adequate capacity for registration and ensure that routine activities of the NSNP and other activities are not negatively affected.

**61. This proposal builds on the experience of the HSNP engagement with local level NDMA personnel and the HTT pilot.** Contract local enumeration services, beyond MLSP regular decentralized officers during registration. Leverage and strengthen community level structures and linkages for the ESR; and Pilot partnerships with county governments.

**REPUBLIC OF KENYA - NATIONAL SAFETY NET PROGRAMME**  
HOUSEHOLD LIVING CONDITIONS SURVEY

FORM NUMBER:           PROGRAMME  CT-OVC  HSNP  CP-CT  PWSO-CT  DTREF  Form \_\_\_\_\_ of \_\_\_\_\_

**I. GEOGRAPHIC IDENTIFICATION (This section is not answered by the respondent)**

(1.01) COUNTY \_\_\_\_\_ (1.03) CONSTITUENCY \_\_\_\_\_  
 (1.02) SUB-COUNTY \_\_\_\_\_ (1.04) SUB-LOCATION \_\_\_\_\_  
 (1.05) VILLAGE \_\_\_\_\_  
 (1.06) PHYSICAL ADDRESS \_\_\_\_\_ (1.07) DURATION OF RESIDENCE IN THIS PLACE \_\_\_\_\_ YEARS and \_\_\_\_\_ MONTHS (1.08) NEAREST CHURCH/MOSQUE \_\_\_\_\_  
 (1.09) NEAREST SCHOOL \_\_\_\_\_ (1.10) AREA TYPE  1. URBAN  2. RURAL  3. NAIROBI

**II. DWELLING AND HOUSEHOLD**

(2.01) How many habitable ROOMS does this dwelling unit contain?

(2.02) TENURE status of the dwelling unit and/or surrounding land (If owner occupied, state whether):  
 Purchased  
 Conceded  
 Inherited  
 Rented/provided state whether:  
 4. Government  
 5. Local Authority  
 6. Parastatal  
 7. Private Company  
 8. Individual  
 9. Faith based organization/NGO  
 97. Other \_\_\_\_\_

(2.03) ROOF (Domestic CONSTRUCTION MATERIAL of the main Dwelling unit)  
 1. Corrugated iron sheets  
 2. Tiles  
 3. Concrete  
 4. Asbestos sheets  
 5. Grass  
 6. Makuti  
 7. Tin  
 8. Mud/dung  
 97. Other \_\_\_\_\_

(2.04) WALL   
 1. Stone  
 2. Brick/Block  
 3. Mud/Wood  
 4. Mud/Cement  
 5. Wood only  
 6. Corrugated iron sheets  
 7. Grass/Reeds  
 8. Tin  
 97. Other \_\_\_\_\_

(2.05) FLOOR (The dwelling unit is at RISK of):  
 1. Cement  
 2. Tiles  
 3. Wood  
 4. Earth  
 97. Other \_\_\_\_\_

(2.06) How many habitable ROOMS does this dwelling unit contain?

(2.07) Main source of WATER:  
 1. Pond  
 2. Dam  
 3. Lake  
 4. Stream/River  
 5. Protected spring  
 6. Unprotected spring  
 7. Protected well  
 8. Unprotected well  
 9. Borehole  
 10. Piped into dwelling  
 11. Piped  
 12. Juba  
 13. Rain/Harvested  
 14. Water vendor  
 97. Other \_\_\_\_\_

(2.08) Main mode of HUMAN WASTE DISPOSAL:  
 1. Man sewer  
 2. Septic tank  
 3. Cess pool  
 4. VIP pit latrine  
 5. Pit latrine covered  
 6. Pit latrine uncovered  
 7. Bucket Latrine  
 8. Bush  
 97. Other \_\_\_\_\_

(2.09) Main type of COOKING FUEL:  
 1. Electricity  
 2. Paraffin  
 3. LPG (Liquefied Petroleum Gas)  
 4. Biogas  
 5. Firewood  
 6. Charcoal  
 7. Solar  
 97. Other \_\_\_\_\_

(2.10) Main type of LIGHTING FUEL:  
 1. Electricity  
 2. Pressure lamp  
 3. Lantern  
 4. Tin lamp  
 5. Gas lamp  
 6. Fuel wood / Firewood  
 7. Solar  
 97. Other \_\_\_\_\_

(2.11) Television  (2.12) Motorcycle  (2.13) Taxi/Tuk  (2.14) Refrigerator   
 1. Yes 2. No 1. Yes 2. No 1. Yes 2. No 1. Yes 2. No

(2.15) Car  (2.16) Mobile phone  (2.17) Bicycle   
 1. Yes 2. No 1. Yes 2. No 1. Yes 2. No

(2.18) E-vote cable  (2.19) Indigenous cattle  (2.20) Sheep  (2.21) Goats   
 (2.22) Cattle  (2.23) Donkeys  (2.24) Pigs  (2.25) Chicken

(2.26) How many LIVESTOCK are currently owned by this household?  
 (2.27) How many DEATHS occurred in this household in the last 12 months?

(2.28) Currently, the CONDITIONS of your household are:  
 1. Poor  
 2. Fair  
 3. Good  
 4. Very good

(2.29) In the past 7 days, did anyone in this household cut the size of the meals or skip meals because of the lack of enough money?  
 1. Yes  
 2. No

**BENEFITS FROM SOCIAL ASSISTANCE PROGRAMMES**  
 (2.30) Is anyone in this household receiving benefits from any of the following National Safety Net Programmes?  
 1. CT-OVC 2. PWSO-CT 3. All Record up to 3  
 4. HSNP 5. CPCT 6. None

(2.31) Is anyone in this household receiving benefits from any other Social Assistance Programme or any other external support?  
 1. Yes (2.32)   
 2. No (3.01)

(2.33) Name of the PROGRAMME(S)   
 (2.34) What type of BENEFIT do you receive?  
 1. Cash (2.34)  
 2. In-kind (2.35)  
 3. Other (2.35)  
 (2.34) How MUCH was the benefit in the last receipt? Ksh \_\_\_\_\_ (3.01)  
 (2.35) Specify IN-KIND of benefit: \_\_\_\_\_



III. HOUSEHOLD DEMOGRAPHICS																
(3.01)	(3.02)	(3.03)	(3.04)	(3.05)	(3.06)	(3.07)	(3.08)	(3.09)	(3.10)	(3.11)	(3.12)	(3.13)	(3.14)	(3.15)	(3.16)	(3.17)
Starting from the head, what are the NAMES of the members of this household?	Does <NAME> have an ID number?	What is <NAME>'s relationship to the head of this household?	What is <NAME>'s sex?	What is the date of birth of <NAME>?	What is <NAME>'s marital status?	Does <NAME>'s spouse live in this household?	Does <NAME>'s mother live?	Does <NAME>'s father live?	Does <NAME> suffer from a chronic illness?	What type of disability does <NAME> have?	Does <NAME>'s disability require 24-hour care?	(CHECK 3.05 (DC) What is the school (AGE is between 0 and 17 OR older than 65, AND check 3.12 if inst is YES, then ask check 3.12 if inst is YES, then ask.)	What is the highest Std Form/Lev reached by <NAME>? (Pre primary (ECD) or NONE last seven days?)	What was <NAME>'s main activity during the last seven days? (for all aged 5 and older)	Does <NAME> work in the formal sector?	
1. Head 2. Spouse 3. Son/Daughter 4. Grandchild 5. Brother/Sister 6. Father/mother 7. Nephew/Niece 8. In-Law 9. Grandparent 10. Other relative 11. Non-relative 12. Employee 98 DK	Type 1. National ID card 2. Registration of birth 3. Passport 97 Other 99 None	1. Head 2. Spouse 3. Son/Daughter 4. Grandchild 5. Brother/Sister 6. Father/mother 7. Nephew/Niece 8. In-Law 9. Grandparent 10. Other relative 11. Non-relative 12. Employee 98 DK	1. MALE 2. FEMALE	DD MM/YY	1. Never married 2. Married monogamous 3. Married Polygamous 4. Widowed 5. Divorced or separated 98 DK	1. YES 2. NO 98 DK	1. YES 2. NO 98 DK	1. YES 2. NO 98 DK	1. YES 2. NO 98 DK	1. Visual 2. Hearing 3. Speech 4. Physical 5. Mental 6. Self-care 97 Others 98 DK	1. YES 2. NO 98 DK	1. At school or learning inst- 2. Left school or learning inst- 3. Never went to school or inst- 4. Complete post-secondary 5. Incomplete post-secondary 6. Polytechnic 7. Complete undergraduate 8. Incomplete undergraduate 9. Complete master/PHD 10. Incomplete master/PHD 11. Complete master/PHD 12. Complete master/PHD 13. Other	1. Worked for pay 2. On leave 3. Sick leave 4. Worked own or at family business or at family agricultural 5. Apprenticeship 6. Volunteer 7. Seeking work 8. No work available 9. Retired with pension 10. Homemaker 11. Full-time Student 12. Part-time student 13. Incapacitated 97 Other	1. YES 2. NO 98 DK		
LINE NUMBER	First Name	Middle Name	Surname	ID No	DOB	LINE NUMBER	LINE NUMBER	LINE NUMBER	LINE NUMBER	DSABILITIES	LINE NUMBER	LINE NUMBER	LINE NUMBER	LINE NUMBER	LINE NUMBER	LINE NUMBER
1																
2																
3																
4																
5																
6																
7																
8																
9																
10																
11																
12																
13																
14																
15																
16																
17																
18																

Enumerator	Date of interview 1 DD MM YYYY			Date of interview 2 DD MM YYYY			Date of interview 3 DD MM YYYY			Result of interview 1. Completed 4. No one at home (Check one option) 2. Incomplete 5. Cannot find household 3. Rejection		
Supervisor	RESPONDENT'S DECLARATION											
Sub-county or local officer	I declare that all the information contained in this interview is true and correct. Signature _____ Line number: _____											

• **Proxy Means Test (PMT)**

The regression-based proxy means test (PMT) approach is used to estimate consumption based on actual consumption data from the Kenya Integrated Budget Household Survey (KIHBS) in 2015/16. As this survey records both household characteristics and consumption, multiple regression analysis can be used to estimate the relationship between household characteristic variables and the monetary value of household consumption. Given the likely differences in the relationships between household characteristics and consumption across different areas, three separate models are estimated:

- All rural areas
- All urban areas except Nairobi
- Nairobi

The possible household characteristic variables are modelled using the available information collected in the Harmonized Targeting Tool registration questionnaire. For each of the three models the potential variables go through a selection process, which first keeps variables which are correlated with log consumption. Secondly, the correlated variables are included in a backward stepwise regression model, which removes variables that do not have a significant statistical relationship with log consumption. Finally, variables with variance inflation factors, which checks for multicollinearity, from the stepwise regression greater than 10 are also excluded. The remaining variables are those that are included in the PMT models. From the estimated PMT regression model, PMT scores for each observation can be calculated, which estimates log consumption. These scores can be normalized across the three models and used to order households based on their estimated consumption. The coefficients for each of the PMT models can be found below and can be used to produce PMT scores. The PMT model and coefficients are recommended to be updated once new household budget survey data becomes available.

• **PMT Formula – Nairobi**

Variable	Definition	Efficient	Coef
Hh_TV_proxy	Does the household own a TV? 0 – No, 1 – Yes	1	0.13
Owens_fridge	Does the household own a refrigerator? 0 – No, 1 – Yes.	7	0.25
Hh_size	Household size	0.121	-
Hh_rooms_proxy	Number of rooms per person.	6	0.28
Hh_wall_proxy	0 = No walls, other. 1 = Cane/Palm/Trunks, Grass/Reeds. 2 = Corrugated Iron Sheets. 3 = Mud, Bamboo with Mud, Uncovered Adobe. 4 = Wood Planks/Shingles, Plywood, Cardboard, Reused Wood. 5 = Cement, Cement Blocks, Stone with Lime/Cement. 6 = Bricks, Covered Adobe. 7 = Stone with Mud.	88	0.05
Owens_car	Does the household own a car?	8	0.53
Hh_toilet_proxy	0 = other, flush to somewhere else, flush to unknown place/not sure/dk where, composting toilet, hanging toilet/hanging latrine. 1 = No facility/bush/field. 2 = Bucket toilet. 3 = Pit latrine without slab/open pit. 4 = Pit latrine with slab. 5 = Ventilated improved pit latrine. 6 = Flush to pit (latrine). 7 = Flush to septic tank. 8 = Flush to piped sewer system.	04	0.02
Hh_eduhead_	Completed education level of the household head. 0 – None. 1 – Primary. 2 – Secondary. 3 – Tertiary.	36	0.09
Constant		3	8.84

• PMT Formula – Urban

• Variable	• Definition	• Coefficient	• Coef
• hh_TV_proxy	• Does the household own a TV? 0 – No, 1 – Yes	• 5	• 0.16
• Owns_motorcycle	• Does the household own a motorcycle? 0 – No, 1 – Yes.	• 5	• 0.11
• Hh_edumax_proxy1	• Maximum completed education level for the household. 0 – None. 1 – Primary. 2 – Secondary. 3 – Tertiary.	• 24	• 0.04
• Hh_lighting_proxy	• 0 = Other, Generator, Candles, Biogas, Battery Lamp/Torch. 1 = Fuel Wood. 2 = Gas Lamp. 3 = Paraffin Tin Lamp. 4 = Paraffin Lantern. 5 = Paraffin Pressure Lamp. 6 = Electricity Connection from mains. 7 = Solar Energy.	• 03	• 0.02
• Own_fridge	• Does the household own a refrigerator? 0 – No, 1 – Yes.	• 8	• 0.14
• Hh_male	• Proportion of male members.	• 0.107	• -
• Hh_size	• Household size.	• 0.0720	• -
• Hh_children6	• Proportion of the household that are children under 6.	• 5	• 0.17
• Hh_headage	• Age of the household head.	• 0.00332	• -
• Hh_malehead	• Male household head.	• 8	• 0.16
• Hh_spouse	• Household has a spouse.	• 0.201	• -
• Hh_rooms_proxy	• Number of rooms per person.	• 6	• 0.14
• Hh_roof_proxy	• 0 = Other. 1 = Dung/Mud. 2 = Grass/Thatch/Makuti. 3 = Tin Cans. 4 = Corrugated Iron Sheets. 5 = Asbestos Sheets. 6 = Tiles/Concrete.	• 93	• 0.07
• Hh_floor_proxy	• 0 = Other, dung. 1 = Earth/Sand. 2 = Wood planks/Shingles, Palm/Bamboo, Parquet or polished wood. 3 = Cement. 4 = Ceramic Tiles, Vinyl or Asphalt Strips, carpet.	• 06	• 0.06
• Owns_car	• Does the household own a car?	• 8	• 0.29
• Hh_toilet_proxy	• 0 = other, flush to somewhere else, flush to unknown place/not sure/dk where, composting toilet, hanging toilet/hanging latrine. 1 = No facility/bush/field. 2 = Bucket toilet. 3 = Pit latrine without slab/open pit. 4 = Pit latrine with slab. 5 = Ventilated improved pit latrine. 6 = Flush to pit (latrine). 7 = Flush to septic tank. 8 = Flush to piped sewer system.	• 05	• 0.03
• Hh_cooking_proxy	• 0 = Other, Straw/shrubs/grass, animal dung, agricultural crop residue. 1 = Firewood. 2 = Charcoal. 3 = Kerosene. 4 = Biogas. 5 = Liquefied Petroleum Gas. 6 = Electricity	• 33	• 0.05
• Region_mombasa	• From Mombasa. 0 – No. 1 – Yes.	• 96	• 0.08
• Region_coastal	• From Kwale, Kilifi, Tana River, Lamu, TaitaTaveta. 0 – No. 1 – Yes.	• 9	• 0.13
• Hh_eduhead_proxy1	• Completed education level of the household head. 0 – None. 1 – Primary. 2 – Secondary. 3 – Tertiary.	• 95	• 0.05
• Hh_spouseworked_proxy	• Working spouse. 0 – No. 1 – Yes.	• 69	• 0.04
• Hh_PWSD1564	• Any member 15-65 with disability. 0 – No. 1 – Yes.	• 0.0631	• -

• PMT Formula – Rural

Variable	Definition	Coef
Region_mid_eastern	Meru, Tharaka-Nithi, Embu. 0 – No. 1 – Yes.	0.11
Sheep	Number of sheep owned.	0.00
Region_north_western	Kitui, Machakos, Makueni, Kakamega, Vihiga, Bungoma, Busia, Siaya, Kisumu, Homa Bay, Migori, Kisii, Nyamira. 0 – No. 1 – Yes.	0.0493
Region_north_rift	Turkana, West Pokot, Samburu. 0 – No. 1 – Yes.	0.259
Hh_tv_proxy	Does the household own a TV? 0 – No, 1 – Yes	0.15
Owns_motorcycle	Does the household own a motorcycle? 0 – No. 1 – Yes.	0.12
Exo_cattle	Number of exotic cattle owned.	0.02
Hh_edumax_proxy1	Maximum completed education level for the household. 0 – None. 1 – Primary. 2 – Secondary. 3 – Tertiary.	0.07
Hh_lighting_proxy	0 = Other, Generator, Candles, Biogas, Battery Lamp/Torch. 1 = Fuel Wood. 2 = Gas Lamp. 3 = Paraffin Tin Lamp. 4 = Paraffin Lantern. 5 = Paraffin Pressure Lamp. 6 = Electricity Connection from mains. 7 = Solar Energy.	0.02
Hh_headworked_proxy	Working household head. 0 – No. 1 – Yes.	0.03
Owns_fridge	Does the household own a refrigerator? 0 – No, 1 – Yes.	0.17
Hh_dependent	Dependency ratio – Under 15s & Over 65's divided by individuals between 15 and 65.	0.0165
Hh_male	Proportion of male members.	0.0866
Hh_size	Household size.	0.0698
Hh_children6	Proportion of the household that are children under 6.	0.33
Hh_headage	Age of the household head.	0.00363
ind_camel	Number of camels owned.	0.01
Owns_mobile	Household owns a mobile. 0 – No. 1 – Yes.	0.12
Owns_bicycle	Household owns a bicycle. 0 – No. 1 – Yes.	0.05
Hh_malehead	Male household head.	0.15
Hh_spouse	Household has a spouse.	0.161
Hh_dwelling_proxy	0 = House gifted, bartered for, or other mode of acquiring, rent paid directly to company, rent paid through an agent, rent paid to other, squatting. 1 = Rent paid to individual directly, rent paid to an individual through	0.02

Hh_dwelling_proxy	0 = House gifted, bartered for, or other mode of acquiring, rent paid directly to company, rent paid through an agent, rent paid to other, squatting. 1 = Rent paid to individual directly, rent paid to an individual through an agent, no rent with consent of owner. 2 = Rent paid to national government. 3 = Rent paid to county government or parastatal. 4 = Constructed with cash, constructed with a loan, constructed with cash and a loan. 5 = Inherited. 6 = Purchased cash, purchased with a loan, purchased with cash and loan.	09	0.02
Hh_rooms_proxy	Number of rooms per person.		0.12
Hh_wall_proxy	0 = No walls, other. 1 = Cane/Palm/Trunks, Grass/Reeds. 2 = Corrugated Iron Sheets. 3 = Mud, Bamboo with Mud, Uncovered Adobe. 4 = Wood Planks/Shingles, Plywood, Cardboard, Reused Wood. 5 = Cement, Cement Blocks, Stone with Lime/Cement. 6 = Bricks, Covered Adobe. 7 = Stone with Mud.	79	0.02
Hh_roof_proxy	0 = Other. 1 = Dung/Mud. 2 = Grass/Thatch/Makuti. 3 = Tin Cans. 4 = Corrugated Iron Sheets. 5 = Asbestos Sheets. 6 = Tiles/Concrete.	95	0.02
Hh_floor_proxy	0 = Other, dung. 1 = Earth/Sand. 2 = Wood planks/Shingles, Palm/Bamboo, Parquet or polished wood. 3 = Cement. 4 = Ceramic Tiles, Vinyl or Asphalt Strips, carpet.	9	0.01
Owms_car	Does the household own a car? 0 - No. 1 - Yes.	6	0.25
Hh_toilet_proxy	0 = other, flush to somewhere else, flush to unknown place/not sure/dk where, composting toilet, hanging toilet/hanging latrine. 1 = No facility/bush/field. 2 = Bucket toilet. 3 = Pit latrine without slab/open pit. 4 = Pit latrine with slab. 5 = Ventilated improved pit latrine. 6 = Flush to pit (latrine). 7 = Flush to septic tank. 8 = Flush to piped sewer system.	3	0.01
Hh_cooking_proxy	0 = Other, Straw/shrubs/grass, animal dung, agricultural crop residue. 1 = Firewood. 2 = Charcoal. 3 = Kerosene. 4 = Biogas. 5 = Liquefied Petroleum Gas. 6 = Electricity	29	0.07
Constant		6	7.95

ESR STRATEGY IMPLEMENTATION PLAN				
Area	Broad Activity (Major Task)	Sub-activity / task	Timeline	Resp.
ESR Strategy	Dissemination and implementation of the ESR Strategy	Launch of strategy	Aug 2020	NSPS
		Share ESR Strategy to stakeholders	Aug 2020	NSPS
		Periodic assessment/ Review of ESR Strategy implementation	Bi annual	NSPS
Enhance single Registry system	Finalize & Operationalize the ESR system	Provide maintenance and users' support for ESR system, including upgrading	Continuous	NSPS
		Maintain ESR data Centre infrastructure	Annually	NSPS
		Facilitate ESR linkages with key databases	Continuous	NSPS
		Develop and rollout the Social Registry module	Dec 2020	NSPS, DPs WFP
		Strengthen ESR unit	Dec 2020	SDSP, NDMA
		Develop ESR Operational Manual, including data collection procedures	Dec 2020	NSPS & WB
		Train stakeholders on the ESR Operational Manual, including data collection procedures	Jan 2021	NSPS
Populate the ESR	Manual	Undertake spot checks and process evaluation	Continuous	NSPS & WB
		Establish a National coordinating Committee for data collection	Aug 2020	SDSP, NDMA, DPs, KNBS, CoG
		Define SDSP requirements related to data collection for Priority 1 counties including HR, training and other logistics	Aug 2020	NSPS & WB
		Initiate Start-up activities to Populate the ESR under phase 1 counties	Dec 2020	NSPS
		Undertake data collection under phase 1 counties	June 2021	NSPS
		Finalize design of ESR communications strategy and implementation plan	Dec 2020	NSPS & WB
		Review of ESR Strategy	July 2021	NSPS
		Define SDSP requirements related to data collection for Priority 1 counties including HR, training and other logistics		
		Initiate Start-up activities to Populate the ESR under phase 2 counties		
		Undertake data collection under phase 2 counties	June 2022	NSPS
Start-up activities to Populate the ESR under phase 3 counties	Refine the rollout plan for populating the ESR under phase 3 counties	Review of ESR Strategy	July 2022	NSPS
		Define SDSP requirements related to data collection for Priority 1 counties including HR, training and other logistics		
		Initiate Start-up activities to Populate the ESR under phase 3 counties	June 2023	NSPS