Social Registry Information Systems for Social Assistance (and Beyond):

Framework, Definition, Typology, and Trajectories

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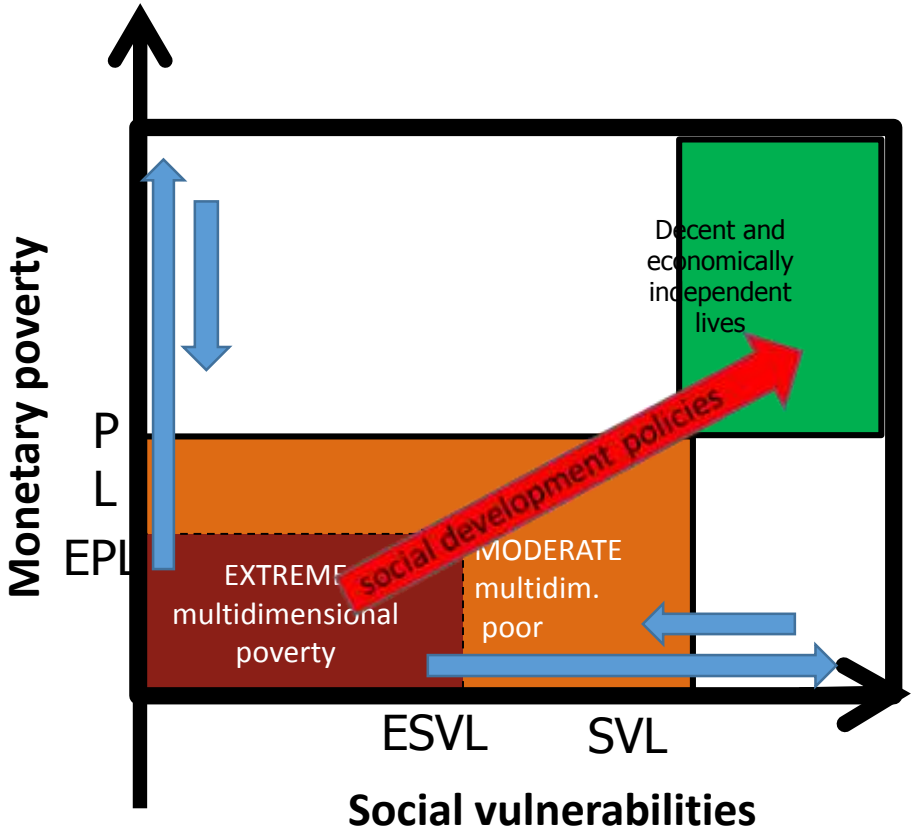
Social Safety Nets Core Course
Washington D.C., March 9, 2017

Phillippe Leite & Tina George

Social Protection Strategy within a multidimensional poverty framework



- **Social policies aims to protect the poor, prevent poverty, build resilience and build economic empowerment**
- **Equity and Efficiency**

<u>Supporting systems to implement social development interventions</u>

- Social Registry
- Case Management System

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As such, most countries offer a myriad of social benefits & services to common target populations

Conditional Cash Transfers (CCTs)

UCTs

Food Stamps

Housing Subsidies

Utility Subsidies

Transport Subsidies

Family Services

Birth, Child Allowances

Scholarships

Maternity Benefits

School Feeding, Supplies, Transport

Nutrition Supplements

Services for At-Risk Youth

Parenting Services

ECD & Nutrition

Child Care Services

Public Works

In-Work Benefits

Unempl. Assistance

Unempl. Insurance

Sickness & Injury

Training & Skills

ALMP / Activation Services

Disability Assistance

Care-Giver Allowance

Disability Insurance

Food Stamps

Utility Subsidies

Transport Subsidies

Social Pensions

Contributory Pensions

Survivor & Death Benefits

Active Aging Services

Financial & Productive Inclusion Services

Intermediation, Counseling, Psycho-Social Support Services

Disaster Services

Child Protective Services

Legal services

Social & Long-Term Care Services

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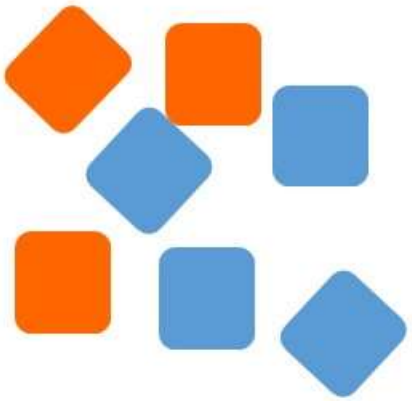
But the delivery of multiple benefits and services by numerous agencies can result in fragmentation

Many

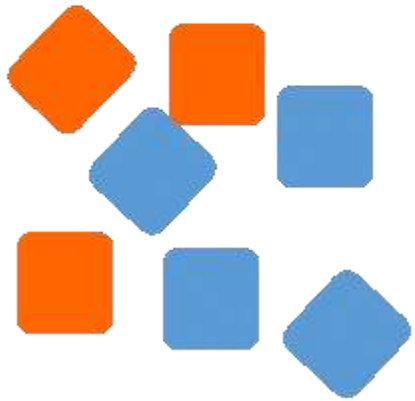


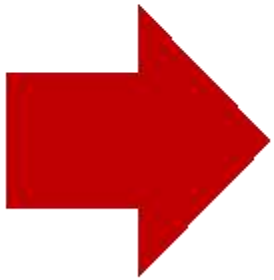
- Separate programs delivered in “silos”
- Sharing common target population
- Lack of coordination to take advantage of synergies
- With separate management and delivery by different institutions, sectors and administration levels.
- Each intervention with its own requirements, operating rules and implementing mechanisms.

=> Many agencies, many programs, and lots of resources, but not enough results on improving well-being of the poor and vulnerable.

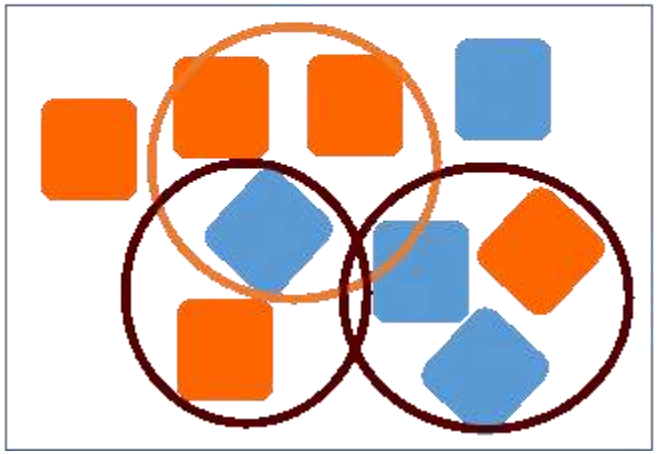
As such, many countries are shifting from separate programs to “integrated systems”

Many separate social programs





Integrated Systems



From Programs to Systems for Effectiveness and Efficiencies

For Effectiveness
Of Programs

- The poor and vulnerable have multiple needs & vicious circles require joint actions
- Synergies from “bundling” or coordinating benefits & services – with fewer duplications of programs
- Improved service delivery, responsiveness
- More equitable access via common “gateway” for eligibility based on objective information

For Efficiencies
In Processes & Service Delivery

- Lower burden to *applicants* of navigating complex processes
- Lower burden to staff & agencies from duplication of business processes and redundancy in information (less paperwork!)
- More transparency and accountability; facilitate oversight, monitoring, detection & prevention of fraud and double-dipping
- More effective for emergency response

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What are Social Registries?

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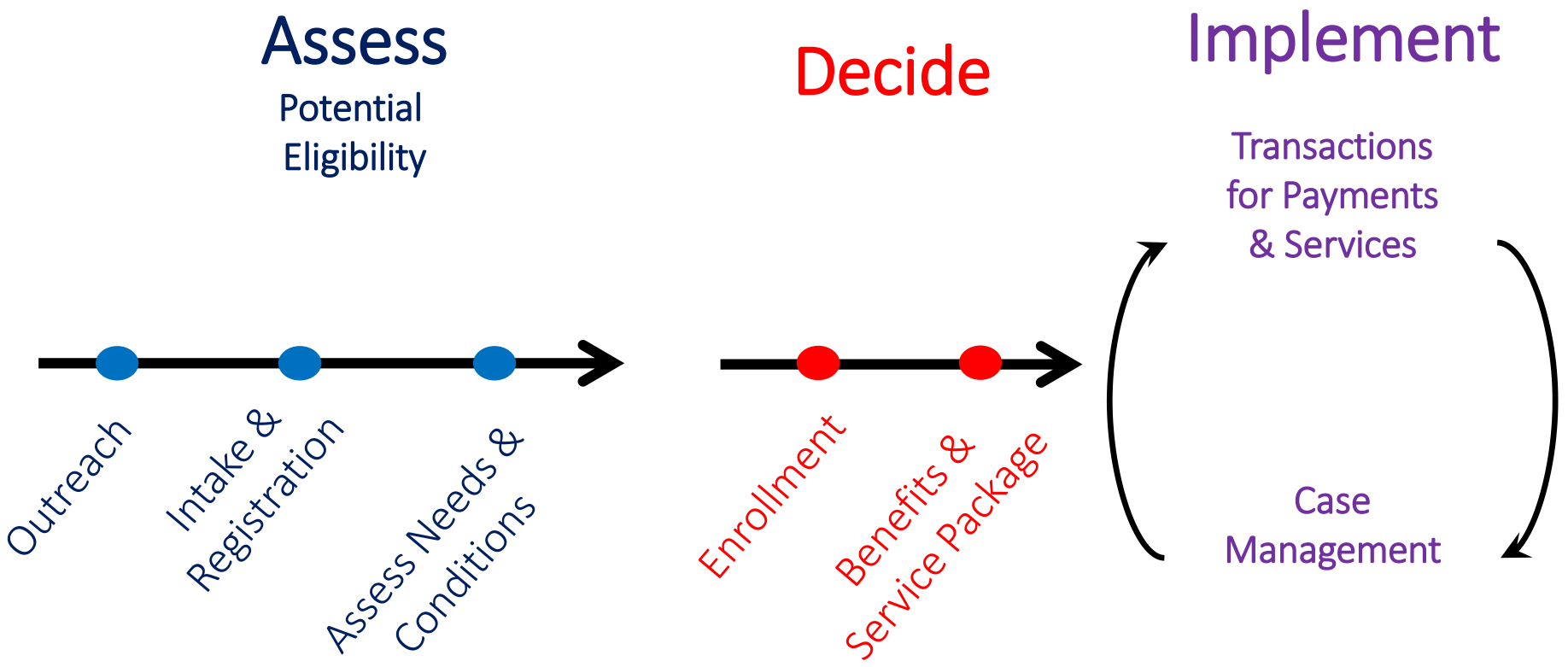
Most social programs pass through similar implementation phases or "business processes" along the Delivery Chain



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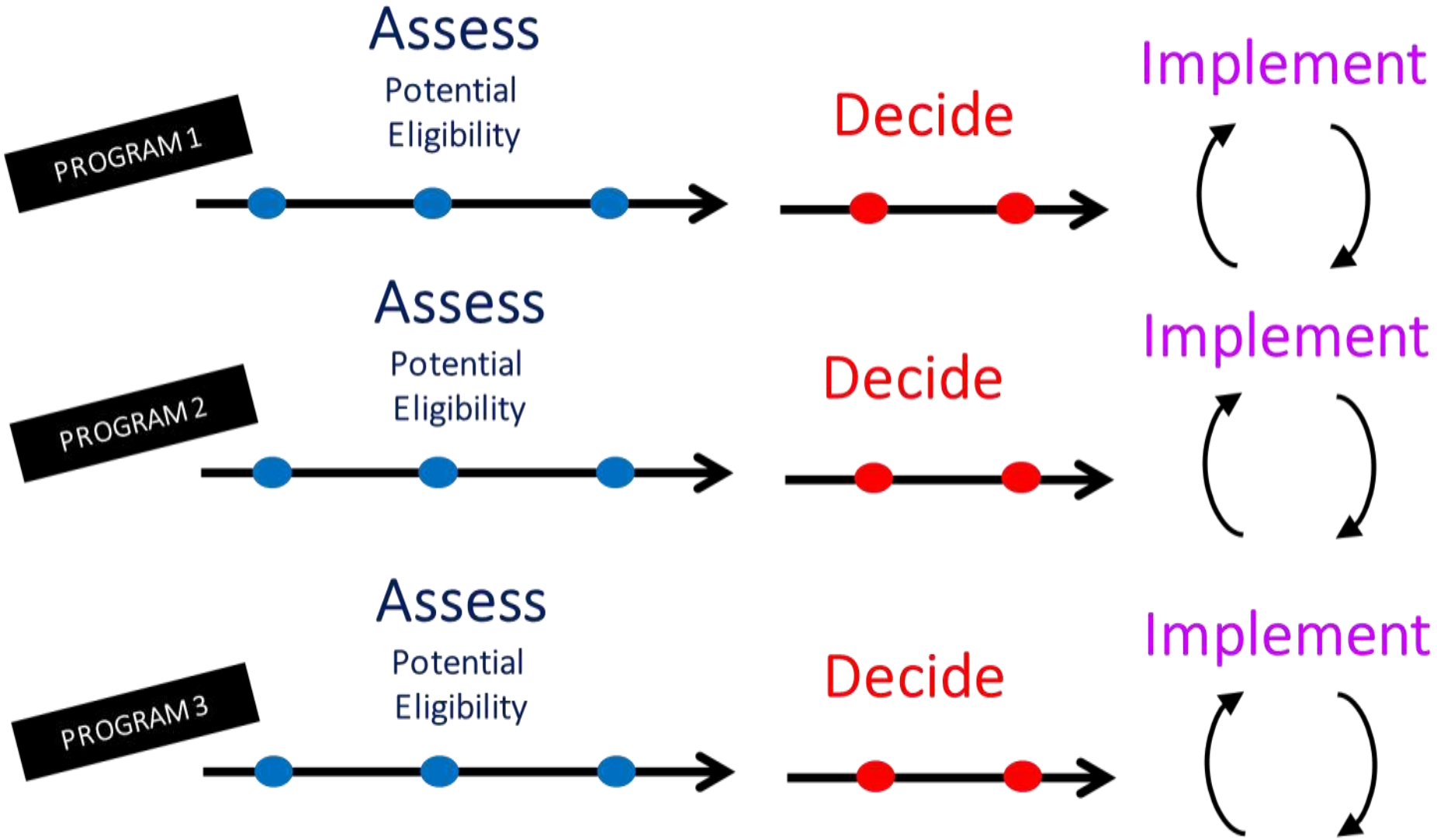
With multiple programs this can get complex



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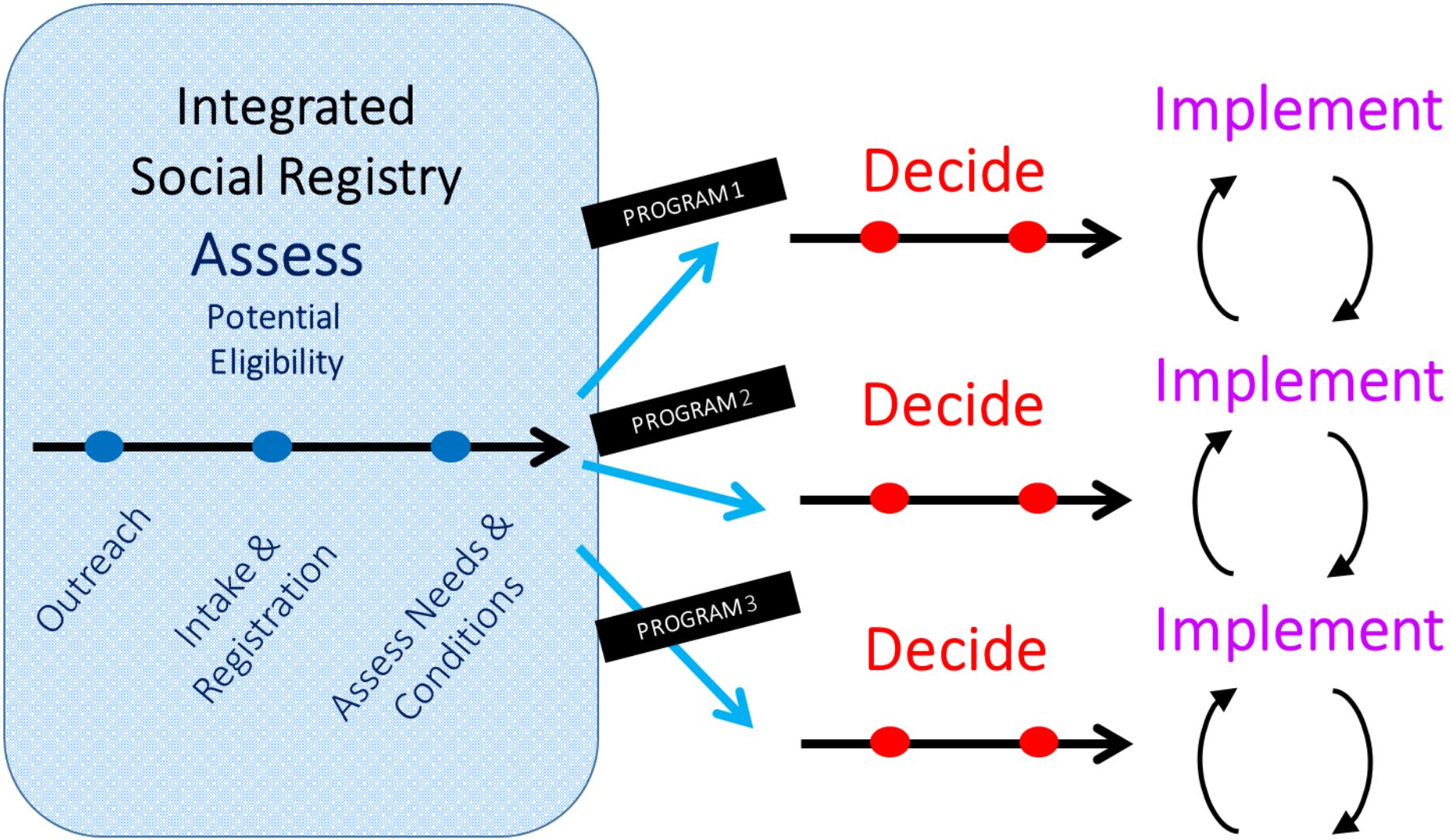
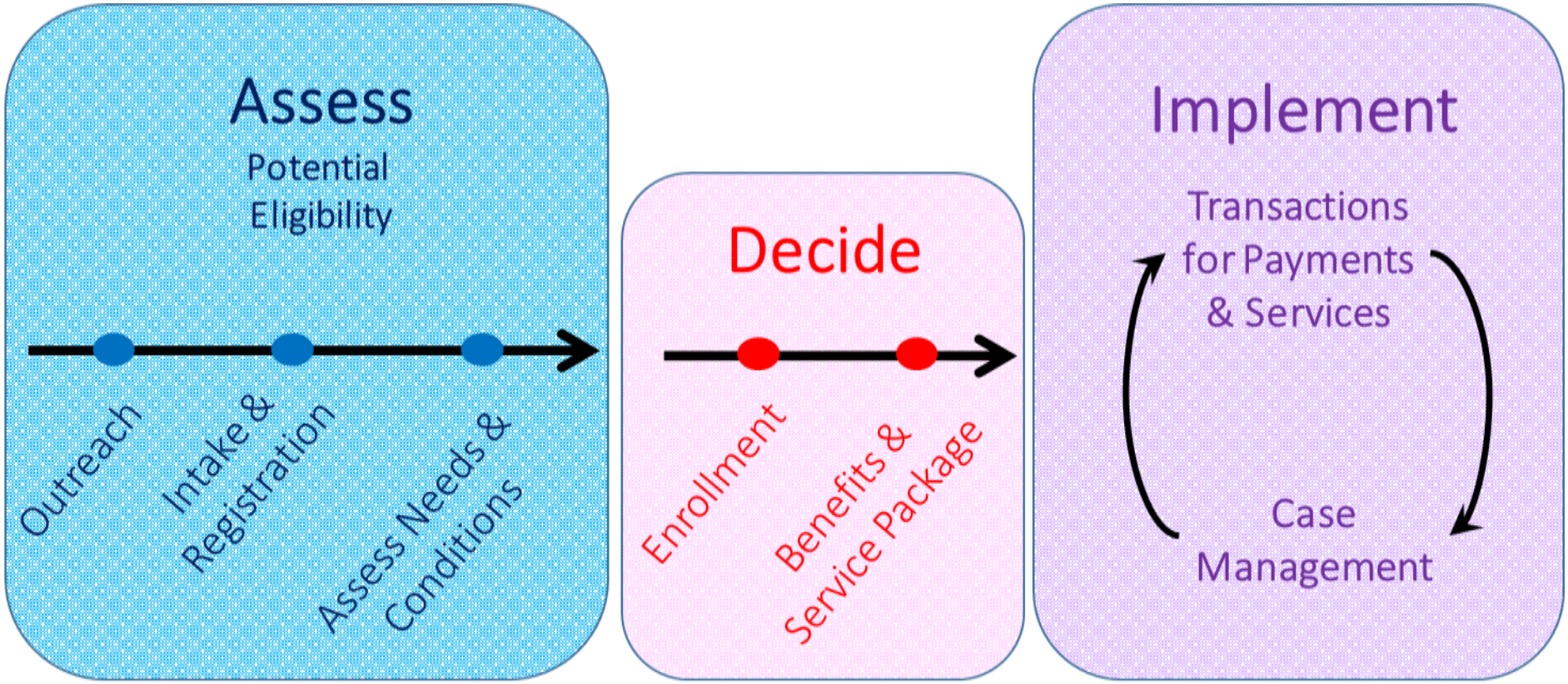
What if there were a way to reduce this complexity? Opportunity to reduce fragmentation and inefficiencies via Integrated Social Registries



Social Registries support the functions of Outreach, Intake & Registration, and Assessment of Needs & Conditions to determine Potential Eligibility for Social Programs



Intended Population → All Applicants → Potentially Eligible Applicants → Beneficiaries

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What are Social Registries?

Social Registries are information systems that support the intake, registration, and determination of potential eligibility for one or more social programs

Social Registries *are Inclusion Systems & Information Systems*

Social Registries are "Inclusion Systems" (social policy role)

- They provide a "gateway" for people (individuals, families), to be considered for inclusion in one or more social programs based on an assessment of their needs and conditions

Social Registries are "Information Systems" (operational role). The basic architecture includes:

- Data & information (core input and output of SRs)
- Software applications
- Database management
- ICT Infrastructure

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Social Registries as Inclusion Systems

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Social Registries as Inclusion Systems

- Provide a **"*gateway*" for inclusion in one or more social program(s)** based on an assessment of their needs and conditions

- Support the implementation phases of **outreach, intake & registration, and assessment of needs and conditions** to determine potential eligibility for inclusion in selected social program(s)

- Population includes data on **all applicants** (not just beneficiaries)

And here are some important points to consider…

- **Mistakenly interpreted as "just lists" or "a mere database."**
- **Eligibility is not the same as Enrollment**
  - Determination of eligibility involves assessing needs and conditions vis-à-vis basic eligibility criteria for social program(s)
  - Enrollment decisions involve formal inclusion of eligible individuals or families in a specific program
  - Eligible applicants are not automatically enrolled in a particular program due to:
    - Budgetary limitations => first-come-first served waiting lists
    - Additional criteria guiding enrollment decisions.
  - Institutional jurisdiction: enrollment decisions are the jurisdiction and legal responsibility of the user program(s) not the Social Registry. **This is particularly important if the Social Registry is managed by a host institution that is different from the user program(s)**
- **Dynamic system versus static system for intake, registration and eligibility assessment**

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Social registries gather different types of information needed to assess applicants for needs and conditions, such as:

Identifying Information	• Individual information for household members such as name, birth date, gender • Relationship with the head, marital status, (sometimes) race • Possession and number of ID
Socio-Economic Information	• Self-reported and/or verified information on incomes for each member • Education, health and Employment status of each individual
Information on housing & Household Assets	• Housing characteristics such as type of housing, material of housing, connection to services (water, electricity) … • Self-reported and/or verified information on assets
Other Information	These can include the following (though sometimes this information is collected outside the SRIS) • Disability of household members • Registration with employment agencies (when relevant and/or separate) • Distance to services (schools, health centers…) • Food security status

Notice that the specifics of the data collected will vary depending on national definitions of poverty and vulnerability, characteristics of intended target populations, and eligibility of user programs - and they need to be reviewed and revised from time to time

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Social registries depend on the most updated information for data quality, integrity, accuracy

Kinds of Information Collected

- **No updates needed:** Some types of data never need to be updated (such as name of your parents or your permanent ID number)
- **Requires ongoing updates:** Some types of data need to be updated on an on-going basis if there are changes (such as address, household / family composition, births, deaths - or employment status)
- **Less frequent updates required:** Some types of data get updated less frequently - but information can not be "old"/outdated.

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As Social Registries mature, the principle of dynamic inclusion becomes key to progressive realization of universality

Principle of dynamic inclusion in Social Registries:

- Registration is open and continuous
- Anyone can register at any time (with no guarantee of eligibility for benefits)
- Relevant for progressive realization of universality: *anyone who needs social protection can access it at any time*
- Other human rights principles also relevant: non-discrimination, transparency and access to information, accountability and social accountability

Contrast with Fixed-List Systems

- Many countries operate registries with "fixed lists" of applicants and beneficiaries
  - Often via *en masse* registration waves every 4-5 years
  - Registration "closed" in interim years
- This is a common "starting point" given limited capacity
- But as systems mature, principle of dynamic inclusion becomes important – especially with integrated gateways for multiple programs

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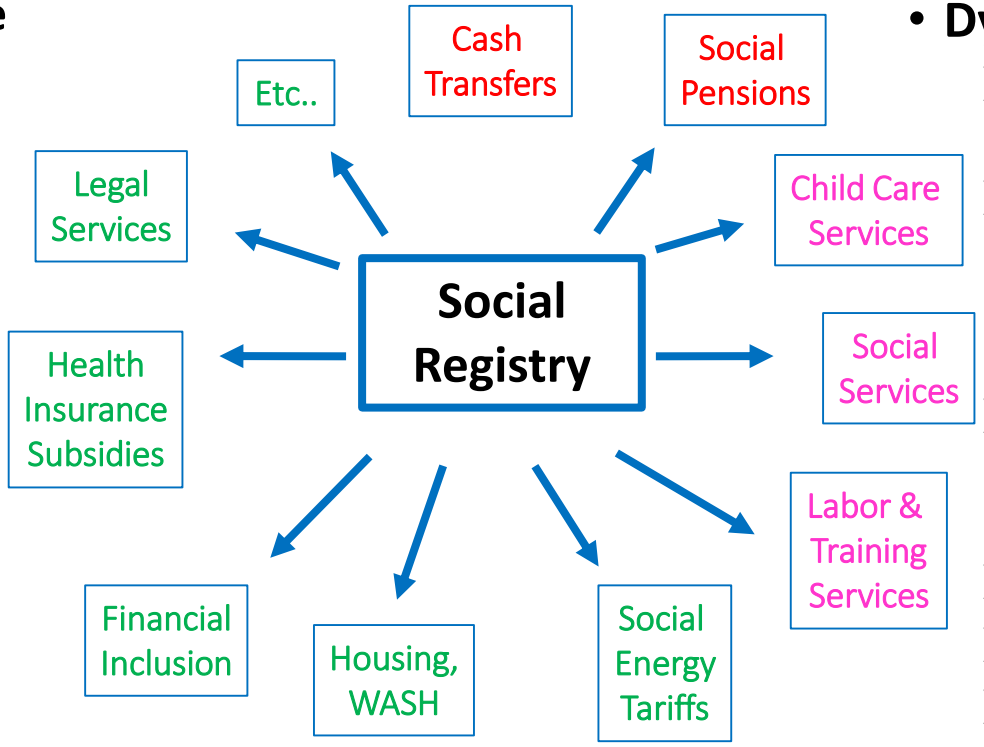
As Inclusion systems, Social Registries serve as Integrated Gateways for multiple programs

- **Gateway for Multiple Programs**
  - Covering all applicants for all programs
  - Harmonized eligibility concepts (definition of family, elderly, disabled, children, multi-dimensional socio-economic assessment)
  - Single application and point of entry
  - Unique ID #
  - Data exchange



- **Dynamic inclusion**
  - Principle of inclusion
  - Continuous access for inclusion (not only every few years)
  - On-demand entry with active outreach
  - Updating
  - Recertification
  - Appeals & Grievance redress capabilities

- **Coordination, Monitoring & Reporting**
  - "Living Census" of the poor and vulnerable
  - Helps monitor the "demand" for social programs for planning, budgeting, coordination
  - Tool for transparency & accountability

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Some questions on institutional issues to keep in mind…

- **Intake & Registration:** Which institution is responsible? Who will collect the information?
- **Operations & Management**: Which institution is responsible? Who will be custodian of the information?
- **Recertification**: Which institution is responsible? How often should this information be updated?
- **Legal Framework**: Is there a legal framework that enables the exchange of information between the institutions involved?
- **Institutional arrangements**: What kinds of policy and service delivery arrangements are needed to support these processes?

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Social Registries as Information Systems

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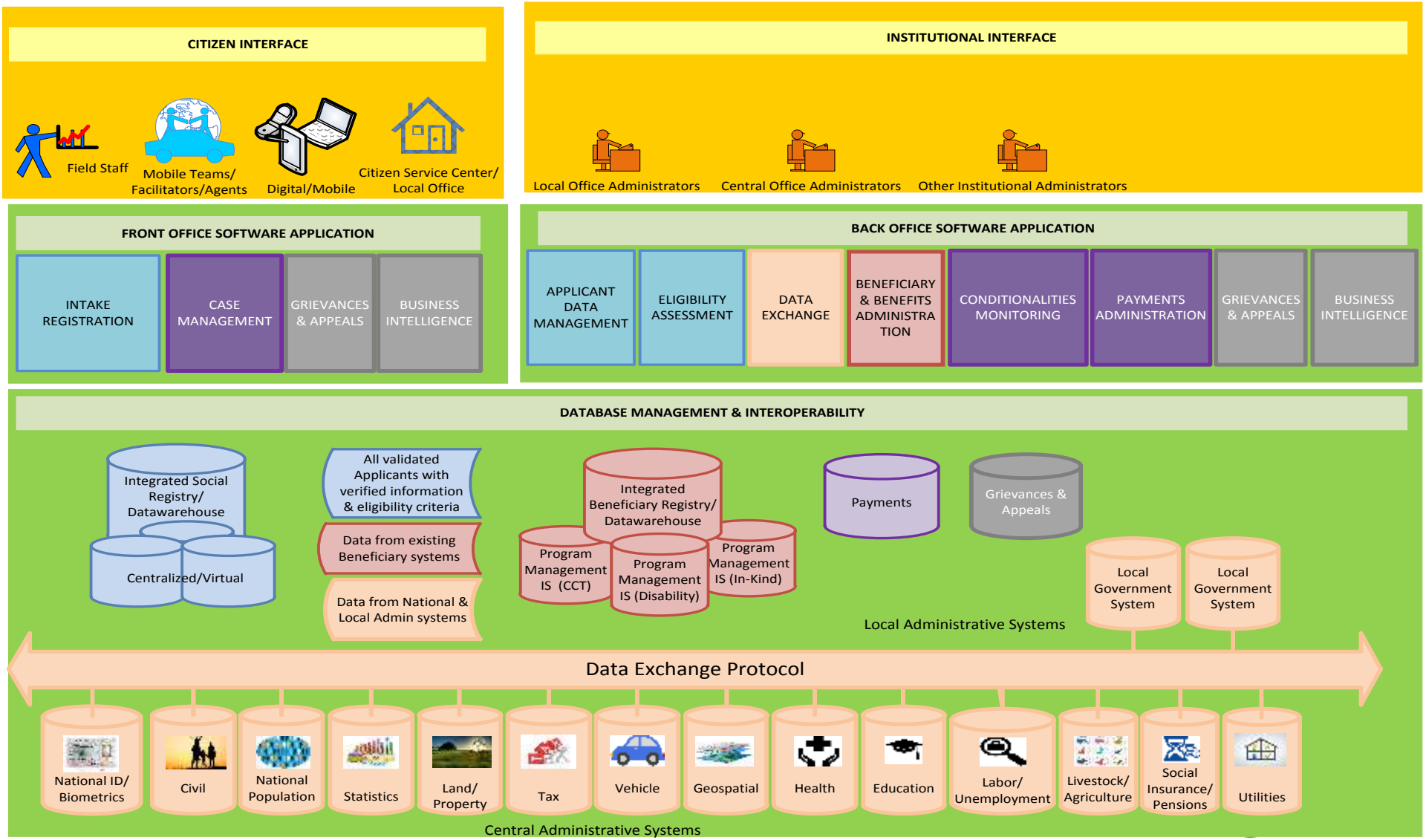
Social Registries as Information Systems

- Social Registries are a component of an Integrated Social Protection System
- Basic Information Systems Architecture includes four layers:
  - **Data & information**
  - **Software applications**
  - **Database management**
  - **ICT infrastructure**
- Terminology confusion – Social Registries vs. “MIS”

Social Registries are a Component of an Integrated Social Protection System

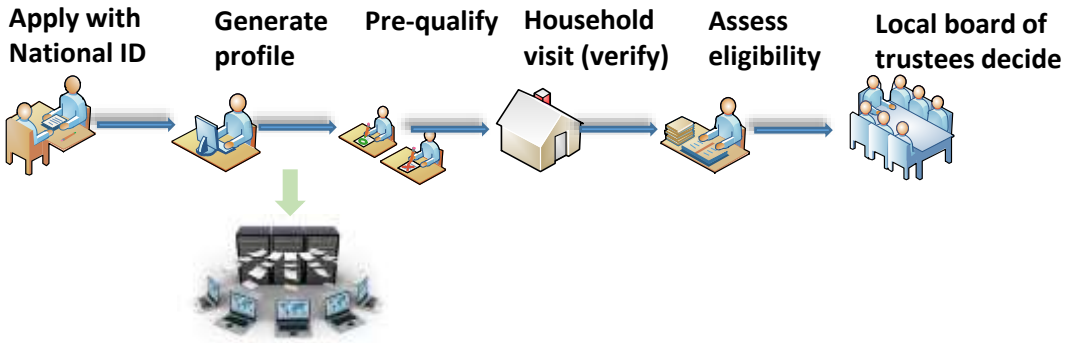


Data: Intake, Exchange and Protection

Jordan: Data Intake at Local Office
WB Mission Visit, March 2017

- Data Intake
  - Field Teams
  - Self Service
  - Offline-to-Online
  - Local Offices
- Data Exchange
  - Cross-check applicant data
  - Source directly from administrative systems
  - Importance of National Digital ID
- Data Protection
  - Principles of Consent, Use and proportionality, Data quality, Confidentiality and safety safeguards, Responsible transmission and data sharing, Right to access, correct, and oppose data, Accountability principle.

Database Management & Interoperability



Social Assistance Information	Demographic & Social Security Information	Education & Healthcare Information	Wealth Information
Foundations Directorate General	Population & Citizenship Affairs D.G.	Child Services D.G.	Land Registry & Cadastre D.G.
ISKUR D.G. (Unemployment)	Social Security Institution	Ministry of Health	Revenues Administration
Social Assistance D.G.		Higher Education Loans & Dormitories D.G.	Ministry of Agriculture & Rural Affairs
Provinces Administration D.G.		Ministry of National Education	

Turkey: Whole-of-government approach

Chile: Protocols for data sharing

Montenegro: Whole-of-government approach

- DB Management Models
  - Single Database
  - Multiple Databases
  - Federated/Virtual Database
- Interoperability
  - Whole of Government Architecture
  - Protocols for Data Sharing
  - Legal frameworks or MoUs.

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A whole-of-government approach to data exchange allows for dynamic inclusion, data quality, integrity, efficiency

CITIZEN INTERFACE (Front Office)

Fill in application form (digital) on-demand

Update health data

Update education data

Update data on business registration, land etc.

Uses most current data update. Stores both dated and most current data. Frontline staff ask citizen to confirm which data point is most current to be considered by the social registry for eligibility assessment.

Data Exchange Protocol

Facilitates most current information updates from any frontline agency

Social registry

Health

Education

Property/ Vehicle/ Land

INSTITUTIONAL SYSTEMS (Back Office)

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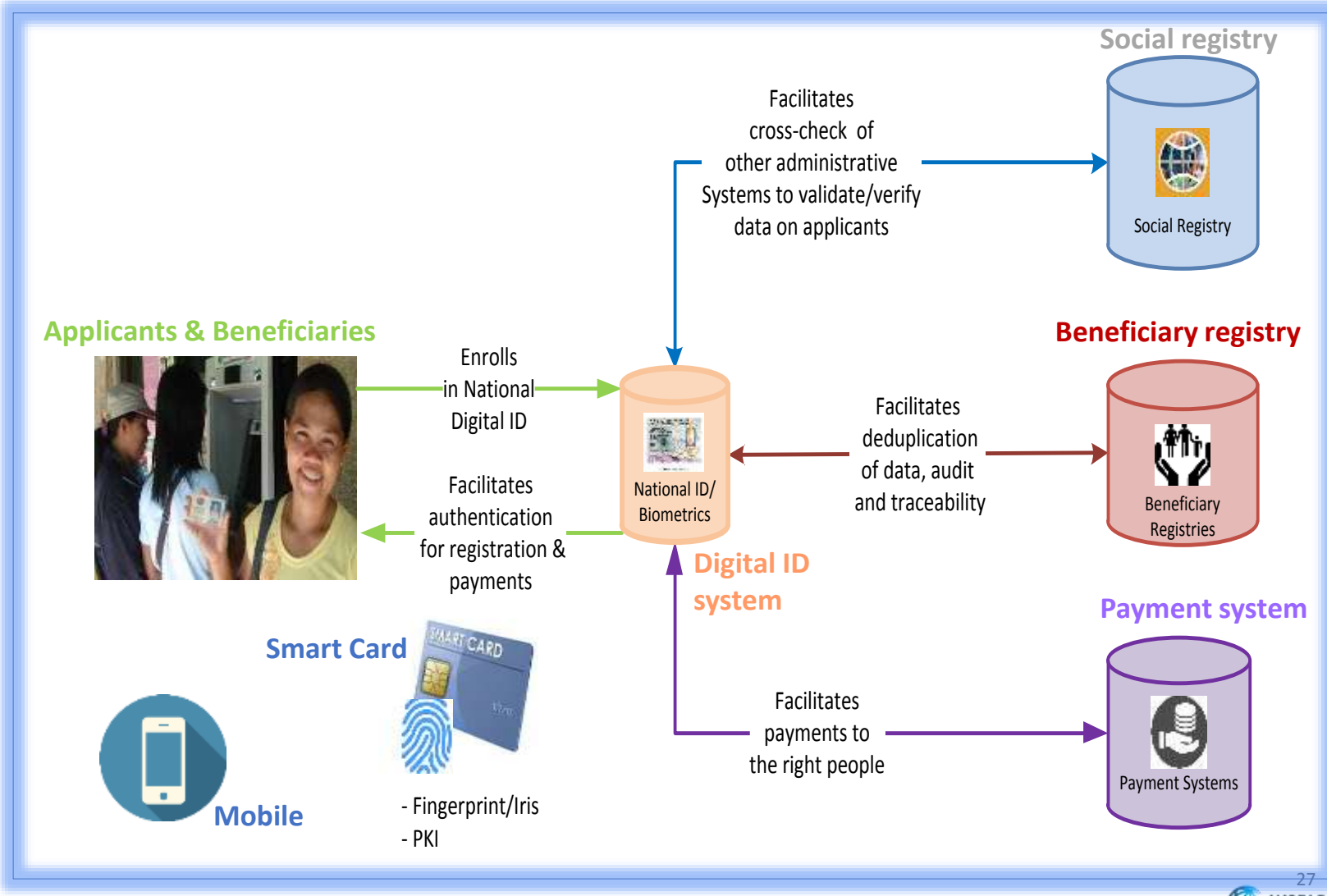
National Digital ID systems linked to Social Registries, Beneficiary Registries & Payment Systems



Source: Authors, based on presentation by Dr. Unho Choi, UNHCR, 'Multipurpose Smart ID Card with PKI'

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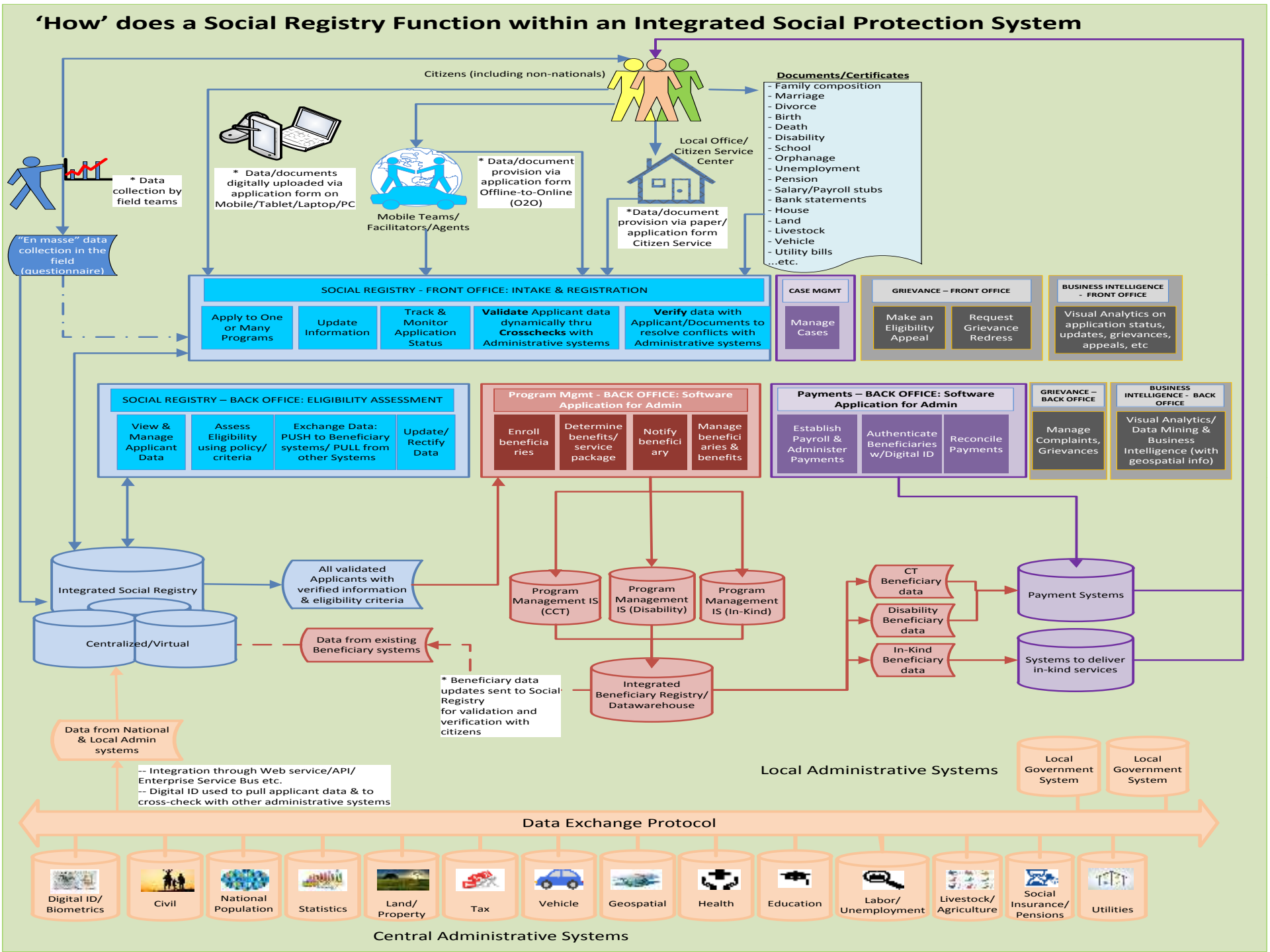
‘How’ does a Social Registry Function within an Integrated Social Protection System



Evolution & Country Examples

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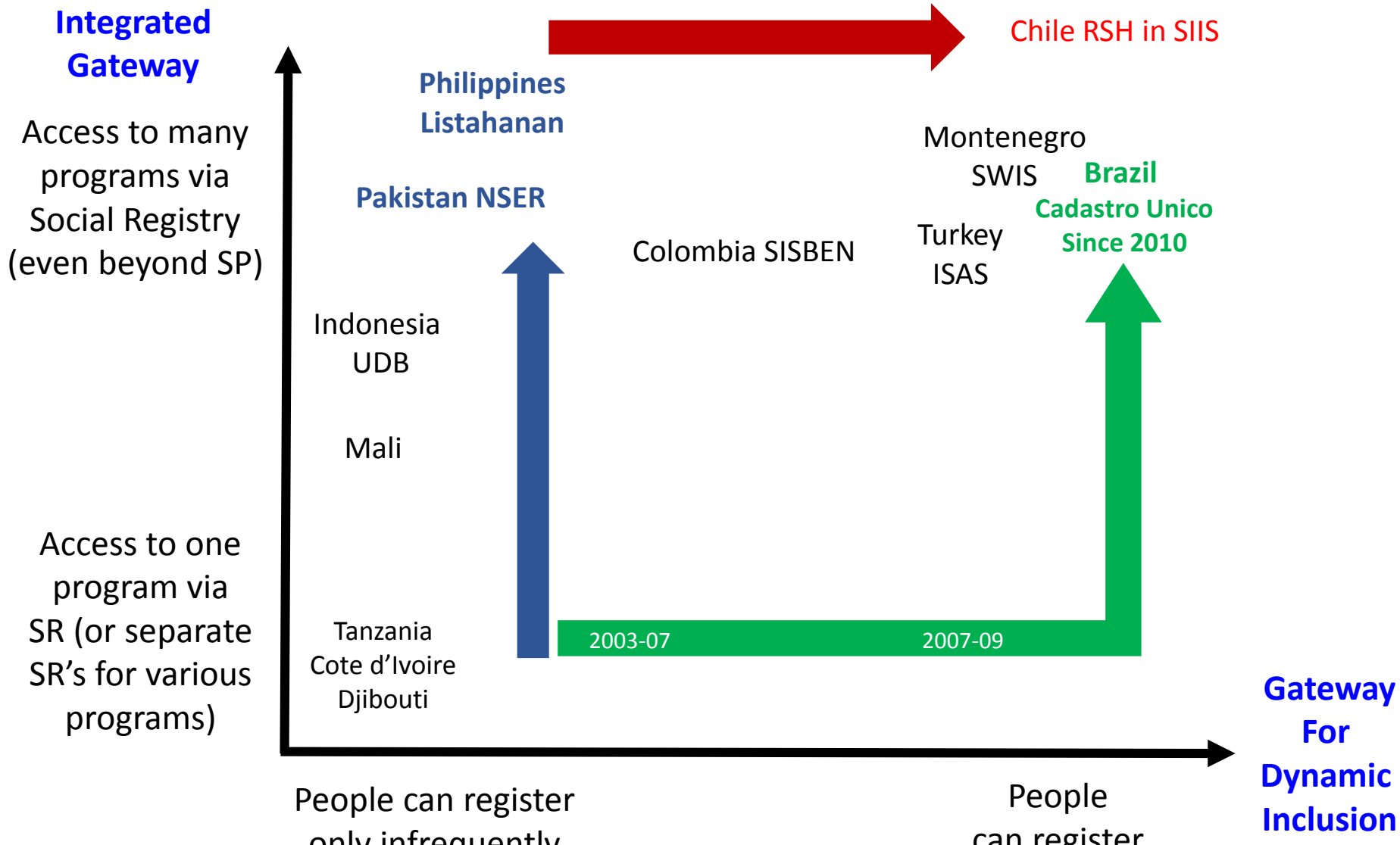
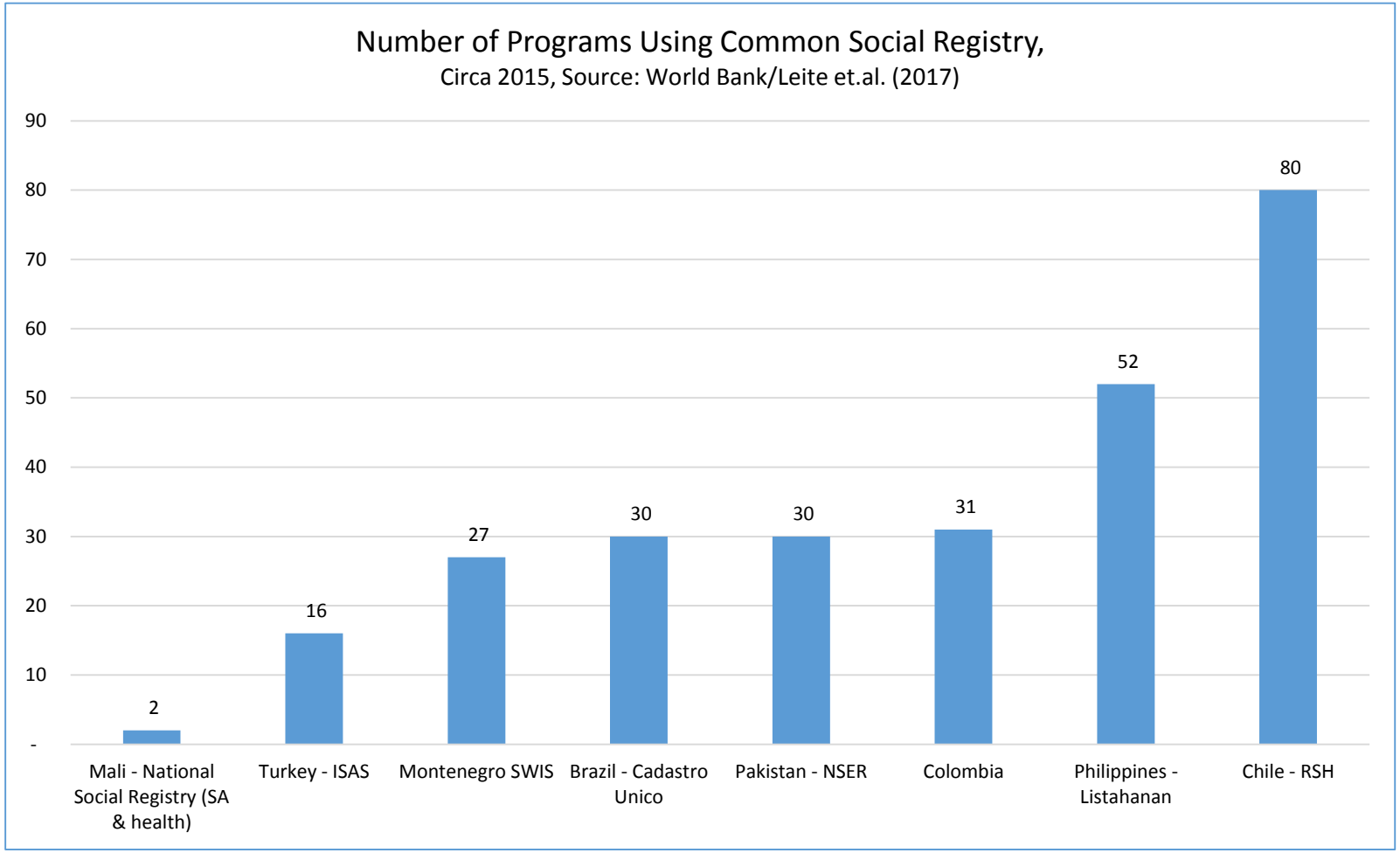
Different Typologies and Trajectories of Social Registries

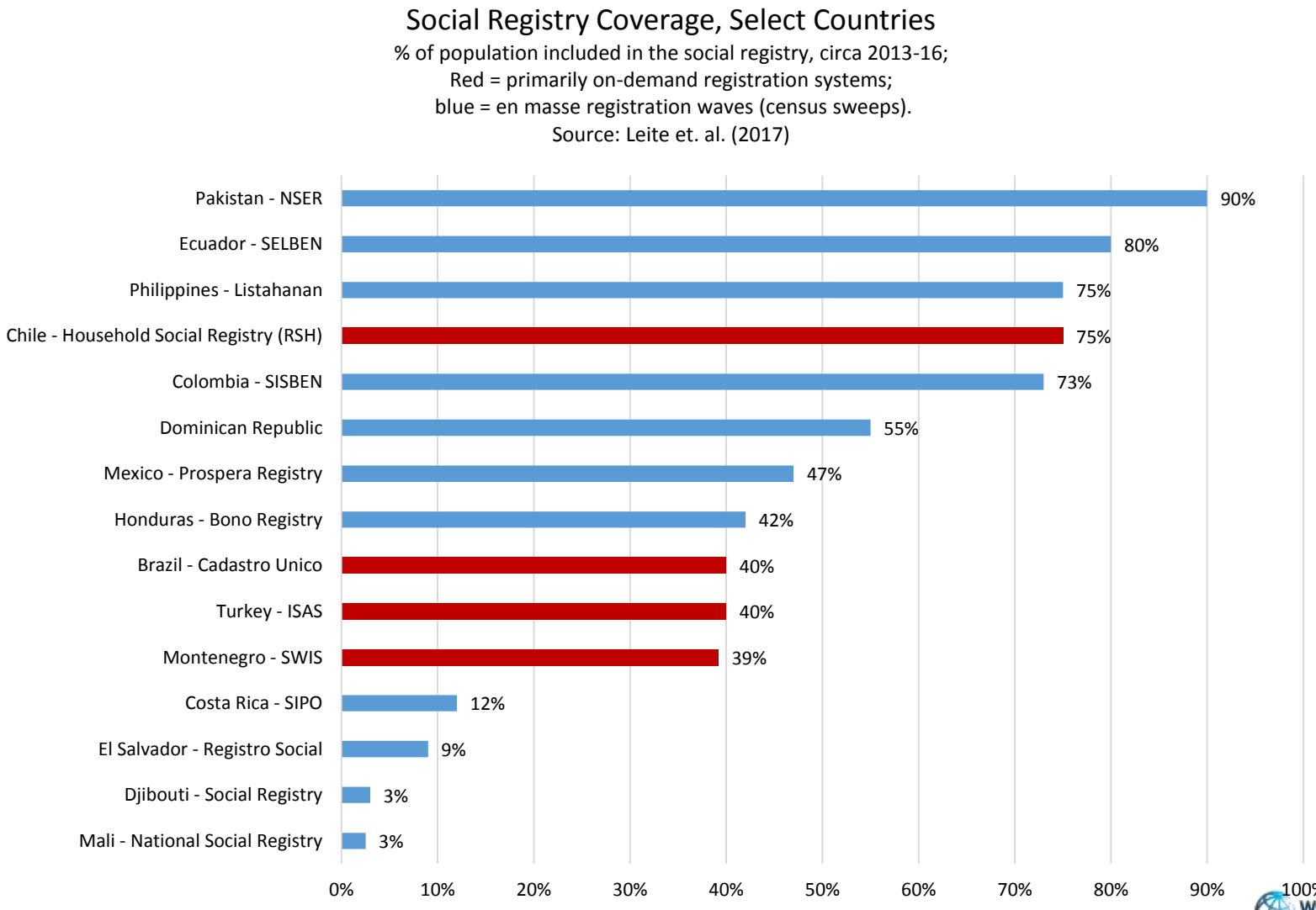


Social Registries as "Integrated Gateways" for multiple social programs

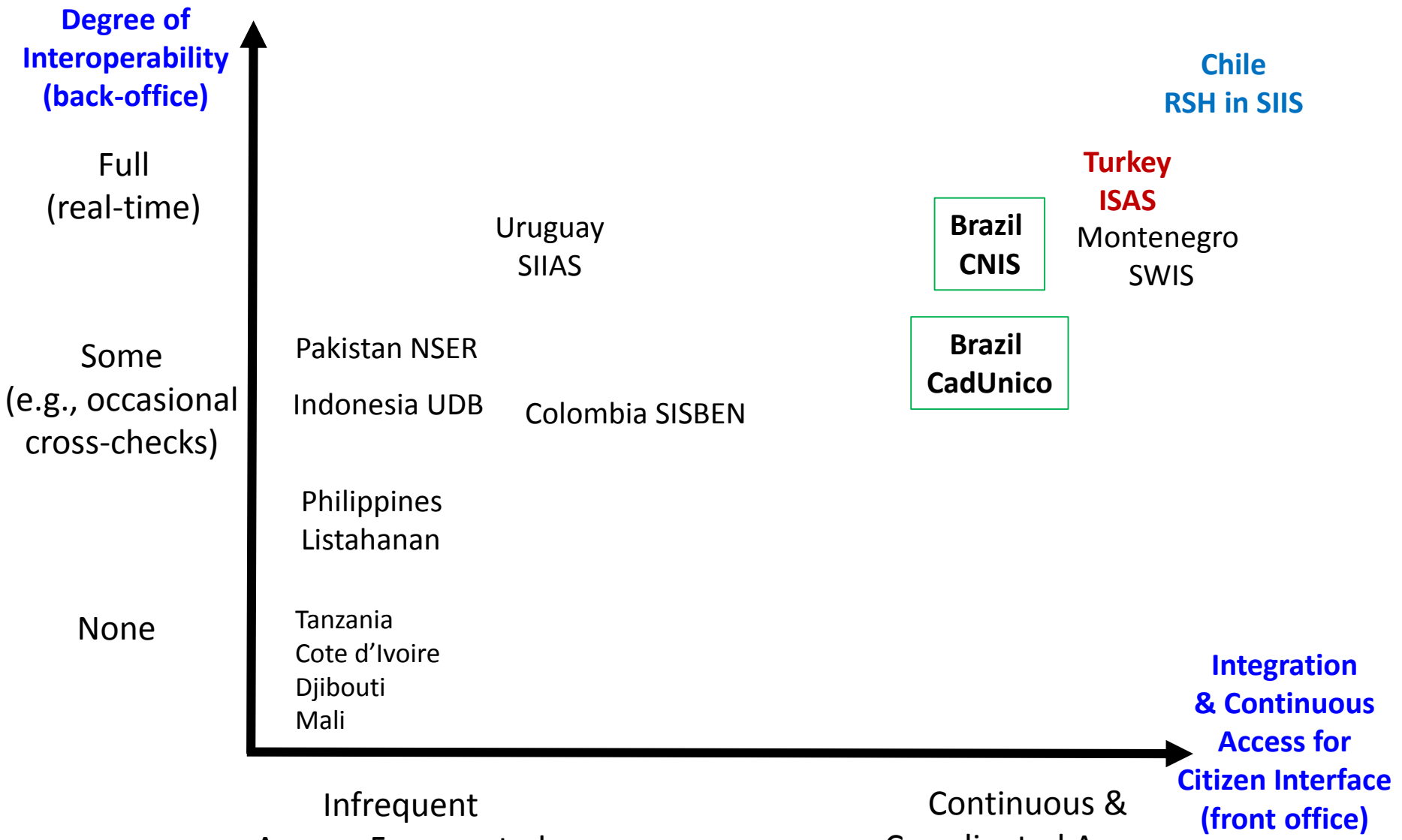


Source: World Bank / Leite et. al. (2017 forthcoming)

Population Coverage of Social Registries … but not all allow for dynamic inclusion

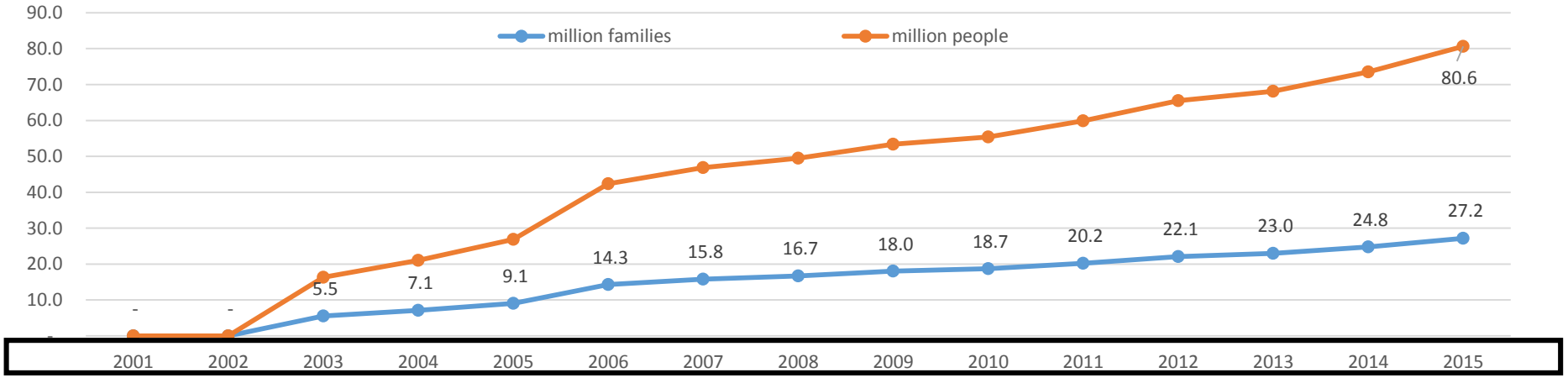


Capabilities of Social Registries as Information & Delivery Systems: Typology



Example of Brazil's Cadastro Unico (Social Registry)

Cadastro Único
Conhecer para incluir



Established by Law

Initial Design

Merger of registries with "data quality challenges"

Municipal agreements & financial incentives

First External Cross-Checks with Labor Info System

Nationwide Updating

New Intake Questionnaire Form

Version 6.0 of Data Entry New IT System Designed

Large-scale legislative & normative review + Process audits

Cross-Checks against tax-payer registry (CPF)

Data Updated Every Two Years (responsibility of registrants)

Online V7 of CadUnico

All municipalities have migrated to V7

Cross-checks for investigative purposes regulated

Initiate cross-checks with pension system

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Philippines – Evolution of Listahanan "National Targeting System"

2007-08

Initial registration for Pantawid CCT program pilot

6,000 Households

2009-12

"National Household Targeting System for Poverty Reduction (NHTSPR)

National Household Targeting Office Established

Coverage expanded
Use by Multiple programs

10.9 million households in 2011 (55% of population) o/w 5.3 mn = poor

2013-2014

Rebranding to Listahanan

Listahanan
Use by Multiple Programs (e.g., Pantawid CCT, Sustainable Livelihoods, Public Health Insurance)

2015

Numerous users: 24 programs, 15 central govt agencies + numerous sub-national agencies

Nationwide Recertification (on-going)

15.3 million HH (77% of pop) but may exceed this (2015)

Source: DSWD 2015

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Philippines Listahanan: Gateway for Multiple Programs (examples)

Social Pension (DSWD)

Pantawid Pamilyang Pilipino Program

Subsidized Health Insurance (DOH)

Sustainable Livelihoods (DSWD)

Listahanan
TALAAN NG PAMILYANG NANGANGAILANGAN

Food Assistance Typhoon Yolanda

15.3 mn Households In Listahanan (2015)

Rural Electrification (DOE)

Employment, Training, Internships (DOLE)

Shelter Housing (NHA)

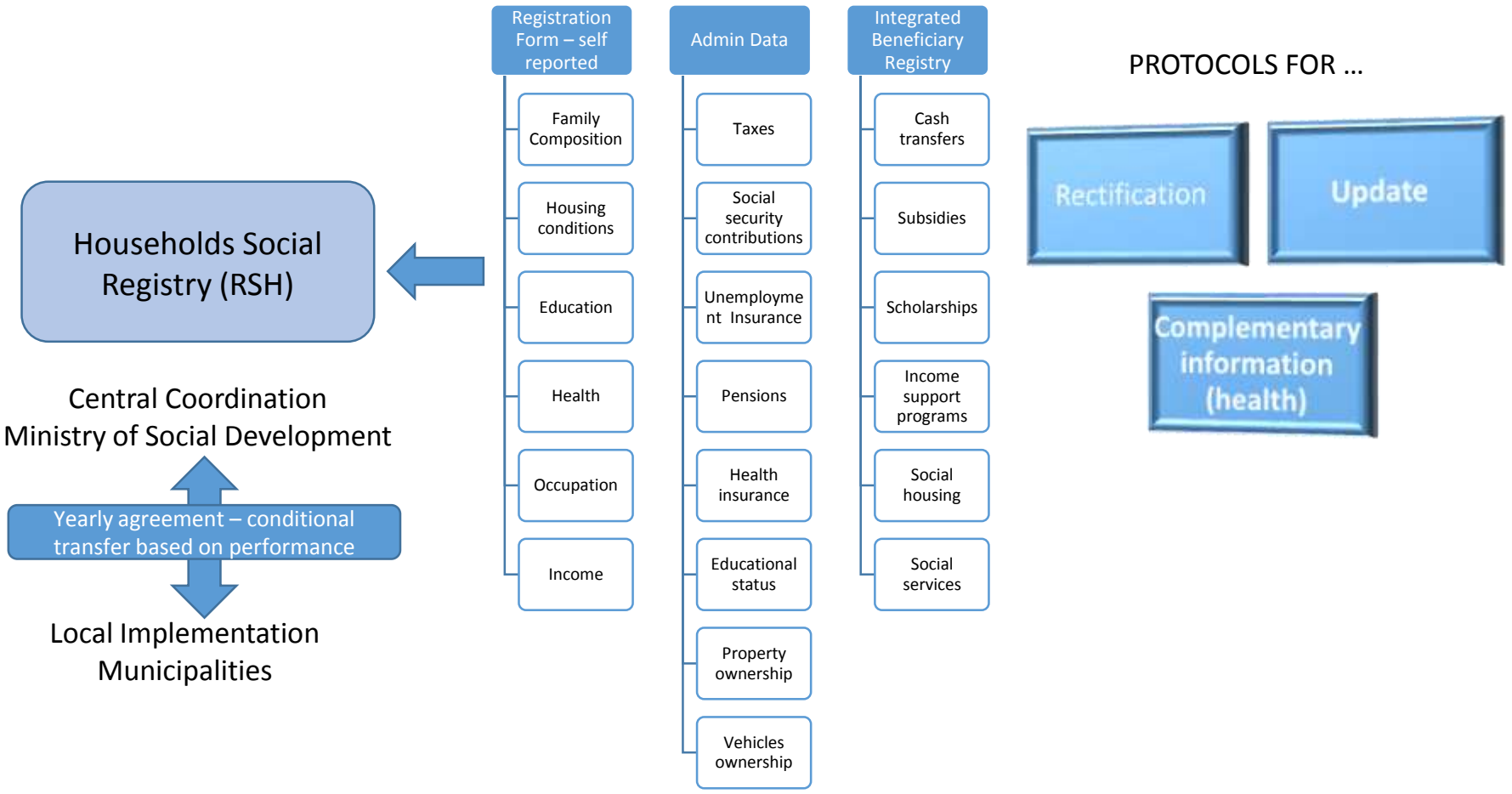
Sub-National Agencies

Student Grants (CHED)

Special Training for Employment Program (STEP/TESDA)

Source: DSWD March 2015

Chile's social registry of households (RSH)



Source: Veronica Silva Villalobos

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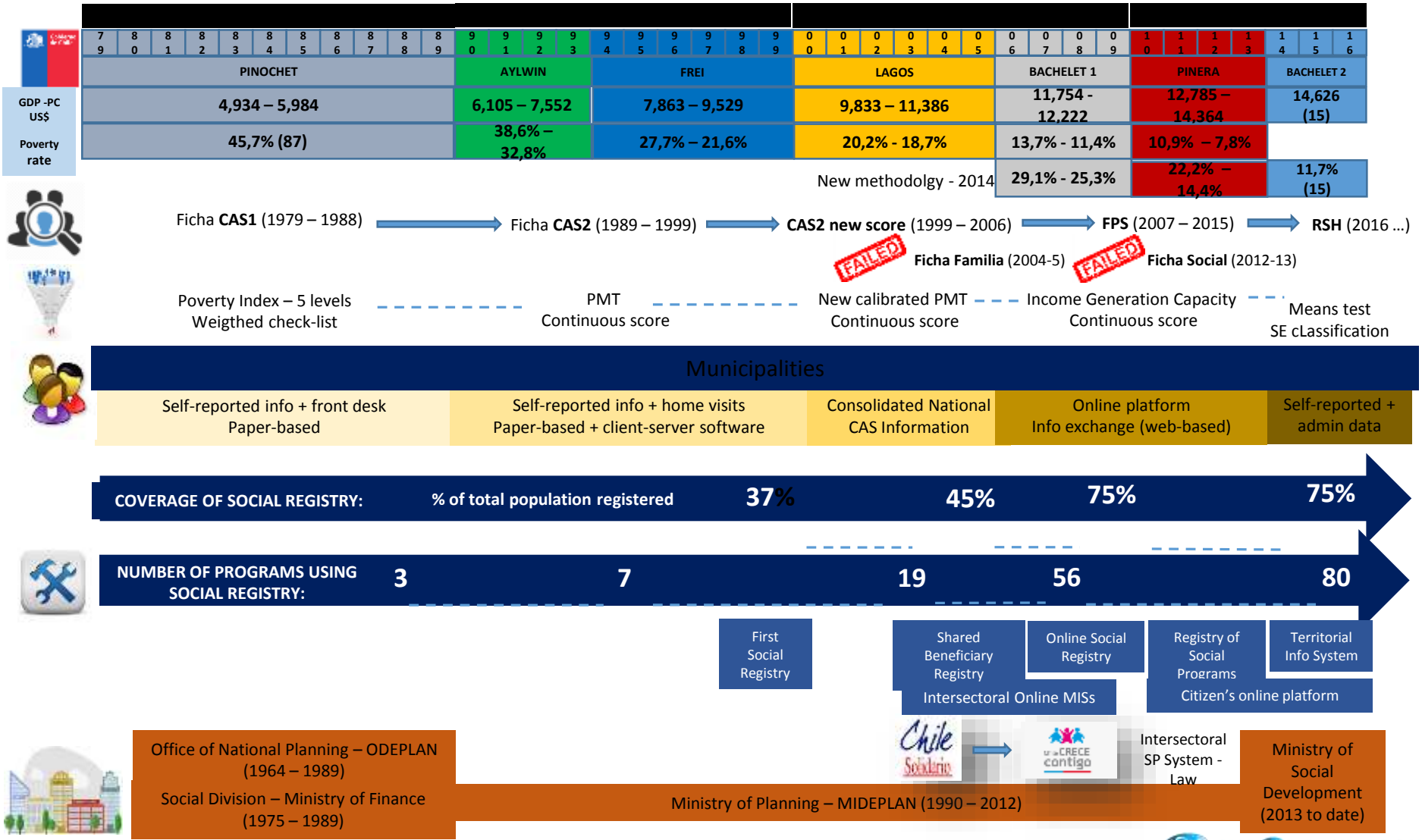
Trajectory of Chile's Social Registry & Integrated Beneficiary Registry Systems over Time



Source: Veronica Silva Villalobos (October 2016)

Multi-Program Information Systems: Different Starting Points, Different Trajectories

The Philippines

Starting point = pilot CCT Program & Registry covering 6,000 Households

2007-08 → 2015

National registration & eligibility system for multiple programs. Recertification with census sweep (2015) >15.3 million households or >77% of pop

Brazil

Starting point = Establishment of Unified Registry (2001) + 4 CT programs Consolidated into Bolsa Familia Program (2003)

2001-03 → 2015

National registration & eligibility system for multiple programs. On-demand entry. 24.8 million households, Covering 54% of population

Chile

1980s & 90s → 2000-10 → 2015

Starting point = National Registration & eligibility form & system (Ficha CAS / SPF)

Development of integrated Beneficiary Registry & Linked Program MISs => SIIS

Integrated Social Information System (SIIS) 12.6 million unique registrants Covering 74% of pop

Core Social Assistance Programs in Turkey

Type	Name	No of Household/No of Right Owner	No of Beneficiaries	Total Amount Allocated to the Program
Family	Food	658,681	2,442,599	180,708,088
	Coal	2,106,015	8,336,220	771,306,626
	Widow Woman	281,465	281,465	727,447,500
	Soldier Family	50,583	50,583	62,830,500
Education	Educ. Material	354,123	354,123	88,588,092
	CCT	861,389	1,965,633	512,806,600
Health	CCT	592,946	1,022,297	244,000,750
Law 2022	Old Age pension	632,407	632,407	1,009,016,428
	Disabled Pension (age 18+)	300,242	300,242	984,244,354
		225,457	225,457	1,089,338,255
	Disabled Pension (age <18)	64,445	64,445	241,627,546
Home Care	Home care support	425,928	425,928	3,497,476,226

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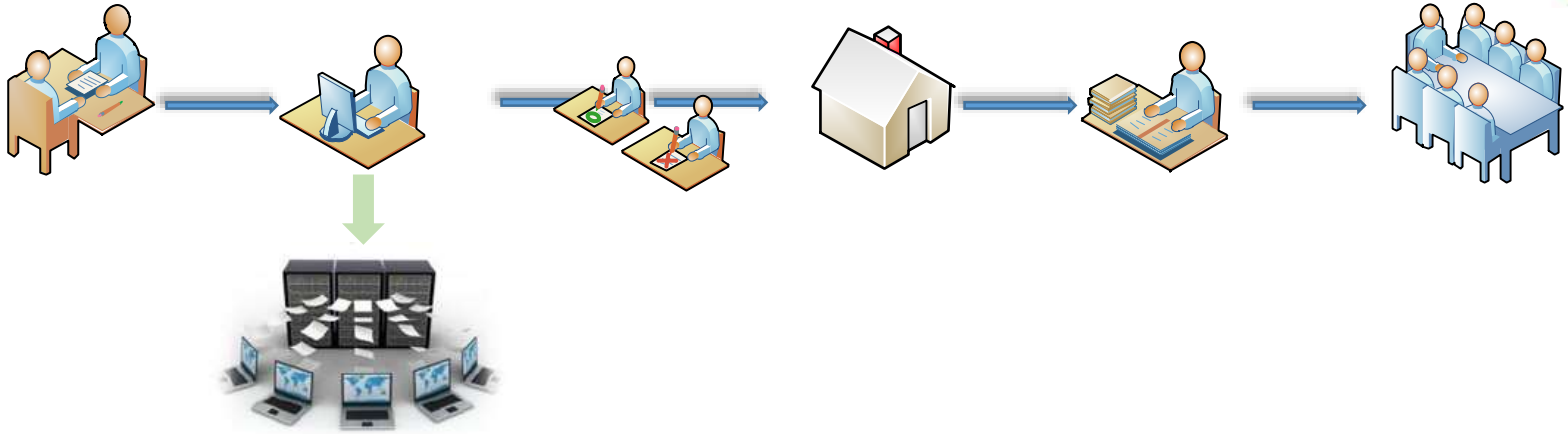
Turkey: Social Assistance Information System

- **What is it?**
  - **It is a system for end users to query in real time a large number of government databases to verify the status of HHs applying for social assistance.**
  - **It gives online access to 15 different government institutions and 28 databases through a web service system.**
- **What were the objectives?**
  - **To greatly improve the efficiency and timeliness of application for social assistance.**
  - **To reduce scope for error and fraud as well as cases of duplicate assistance begin provided.**

Turkey: Social Assistance Information System



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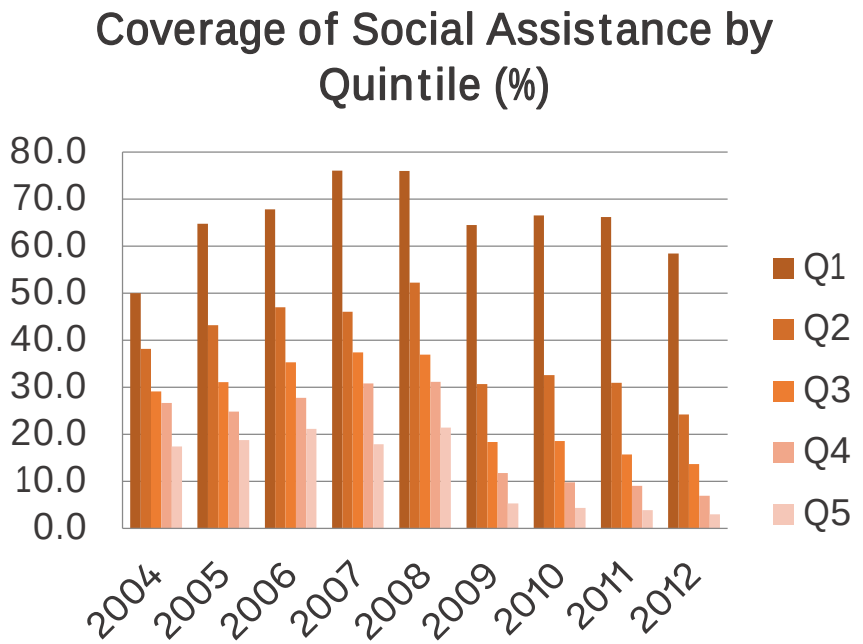
ISKUR D.G. (Unemployment)	Social Security Institution	Ministry of Health	Revenues Administration
Social Assistance D.G.		Higher Education Loans & Dormitories D.G.	Ministry of Agriculture & Rural Affairs
Provinces Administration D.G.		Ministry of National Education	

Turkey: Social Assistance Information System

- **What has been the impact?**
  - **Applicants for Social Assistance can now apply with one document- their national ID card.**
  - **A process that previously took 15-20 days now takes 1 minute.**
  - **Process of beneficiary selection has been strengthened.**
  - **Workload of the public administration significantly reduced.**



Turkey: Integrated Social Assistance Service System

- ISSAS is an IS system that manages all social assistance work-flow from intake and screening through to delivery of benefits and audit.
- Also created complete HH files, not individual based.
- To date managed system constraints records for 28 million people (≈35% of pop), 17.4 million payments worth US$ 8 billion
- Average of 4500 users across Turkey via secure connection.
- Cost of development ≈ US$12 million

Program Modules	ISAS Integration
Conditional Cash Transfer Module	2010
Social Assistance Module (Temporary Assistance Module)	2011
Accounting & Resource Management Module	2011
Human Resources Module	2012
General Health Insurance Module	2012
Cash Assistance for widowed	2012
Disabled and Elderly Salaries Module	2012
Home Care Module	2013
Cash Assistance for needy military families	2013
Project Assistance Module (Income generating and Social Service Projects)	2013
Fund Committee and Social Assistance General Directorate Module	2013
Employment Aid Module	2014
Inventory Stock Management and In-kind Aid Module	2014
External user & Communication module (e-government portal)	Ongoing
Central Risk Assessment and Inspection Module	Ongoing
Decision Support System Module	Ongoing
Case Referral Module	Ongoing

Cost

Colombia: The set-up cost was estimated at around USD 0.78 per person registered, of which USD 0.57 was the cost of collecting the household data.

SISBEN strategy requires (a) recollecting data among all applicants every 4/5 years, (b) adding new applicants on demand approach and 9c) rectifying data among applicants regularly as part of monitoring and evaluation activities.

SISBEN III cycle 2009-2011: we estimate a ratio of USD 2.39 per family for the three years period, or USD 0.80 per family per year.

- SISBEN IV cycle 2014-2016: we estimate a ration of USD 1.27 per family for the three years investment (or USD 0.42 per family per year).

Year	Budget*	Allocated to data collection		Number of families in SISBEN after validation
	USD	USD	%	
2007[1]	589,612			
2009[1]	12,322,239	10,252,103	83.2	9,268,881
2010[1]	7,187,106	5,397,517	75.1	7,075,809
2011[1]	1,079,463	593,705	55.0*	8,174,740
2014[2]	944,188			9,908,545
2015[2]	5,569,541			10,361,632

Cost

Brazil: While working on the consolidation of the four programs database (2004-2005), the estimated cost for case registered per family per year was around 0.30 USD per family per year. As the *Cadúnico* became more dynamic requiring more human and physical investment, the cost of *Cadúnico* per families increased to USD 0.65 in 2006 where large infrastructure investment was needed.
In 2010, Brazil started implementation of *Cadúnico* version 7 that has introduced online synchronization with the center, more investment was needed for the physical infrastructure, increasing the cost to about USD 0.60. Then, increasing number of families had no impact on the budget, pushing the cost down to USD 0.50 per family per year, which include maintenance, software development, office space, personnel...

Year	Budget allocated LOAS in USD[1]	Number of families enrolled in the Cadastro Único[2]	Ratio Cadastro Único vs Applicants
2003		5,500,000	
2004	2,076,125	7,100,000	0.292
2005	2,716,981	9,100,000	0.299
2006	9,302,274	14,300,000	0.651
2007	9,745,312	15,800,000	0.617
2008	10,169,492	16,700,000	0.609
2009	7,304,348	18,000,000	0.406
2010	11,363,636	18,700,000	0.608
2011	11,764,706	20,200,000	0.582
2012	12,154,696	22,100,000	0.550
2013	12,136,900	23,000,000	0.528

CLICKER QUESTION

- **A social registry is the same as:**

Your answers:

(a) Beneficiary registry

(b) Population registry

(c) Household registry

(d) None of the above

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CLICKER QUESTION

- **What is a Social Registry:**

Your answers:

(a) A list of individuals

(b) One single database of potential beneficiaries

(c) One or multiple harmonized and integrated databases of potential beneficiaries

(d) Supports intake, registration and eligibility assessment for social programs

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CLICKER QUESTION

- **What are the benefits of a Social Registry?**

Your answers:

(a) Provides accurate and transparent information on potential beneficiaries for social assistance programs;

(b) Allows linkages among multiple programs for which the potential beneficiaries **can be** eligible;

(c) Allows articulation, coordination, harmonization and complementarities of social programs

(d) None of the above

(e) All of the above

CLICKER QUESTION

- **What are other benefits of a Social Registry?**

Your answers:

(a) preventing or reducing undesirable duplication of benefits

(b) reducing duplication of administrative costs across programs

(c) allowing quick scalability of social programs in times of crisis or shocks to mitigate its impact

(d) monitoring evolution of living conditions of potential beneficiaries over time

(e) All of above

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CLICKER QUESTION

- **My country :**

Your answers:

(a) Already has one in operation

(b) Is actively developing one

(c) Is considering developing one

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Thank you

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