



ID4D

Country Diagnostic: Peru

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About ID4D

The World Bank Group's Identification for Development (ID4D) initiative uses global knowledge and expertise across sectors to help countries realize the transformational potential of digital identification systems to achieve the Sustainable Development Goals. It operates across the World Bank Group with global practices and units working on digital development, social protection, health, financial inclusion, governance, gender, legal, among others.

The mission of ID4D is to enable all people to access services and exercise their rights, by increasing the number of people who have an official form of identification. ID4D makes this happen through its three pillars of work: thought leadership and analytics to generate evidence and fill knowledge gaps; global platforms and convening to amplify good practices, collaborate and raise awareness; and country and regional engagement to provide financial and technical assistance for the implementation of robust, inclusive and responsible digital identification systems that are integrated with civil registration.

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To find out more about ID4D, visit worldbank.org/id4d.

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Acronyms

AFIS	Automatic Fingerprint Identification System
ANPDP	Autoridad Nacional para la Protección de Datos Personales (National Authority for Personal Data Protection)
AUS	Acceso Universal a la Salud (Universal Health Insurance)
CCT	Conditional Cash Transfer
CUI	Código Único de Identificación (Unique Identification Code)
CONADIS	Consejo Nacional para la Integración de Personas Discapacitadas (National Council for the Integration of Persons with Disabilities).
ESSALUD	Seguro Social de Salud (Social Health Insurance)
DNA	Deoxyribonucleic acid
FIPs	Fair Information Practices
FONCODES	Fondo de Cooperación para el Desarrollo Social (Fund for Social Development)
GIZ	German International Cooperation
IADB	Inter-American Development Bank
ICT	Information Communications Technology
INEI	Instituto Nacional de Estadísticas Económicas (National Institute for Economic Statistics)
DNI	Documento Nacional de Identidad (National Identity Document)
MCLCP	Mesa de Concertación para la Lucha Contra la Pobreza
MEF	Ministerio de Economía y Finanzas (Ministry of Economy and Finance)
MINSA	Ministerio de Salud (Ministry of Health)
MININTER	Ministerio del Interior (Ministry of Interior)
MIMDES	Ministerio de la Mujer y del Desarrollo Social (Ministry for Women and Social Development)
MMM	Marco Macroeconómicos Multianuales (Macroeconomic Multiannual Frameworks)
OECD	Organization for Economic Co-operation and Development
ONPE	Oficina Nacional de Procesos Electorales (National Office of Electoral Processes)
PIR	Programa Integral de Reparaciones (Integral Reparations' Program)
PKI	Public Key Infrastructure
RENIEC	Registro Nacional de Identificación y Registro Civil (National Civil Registry and Identification Registry)

RUV	Registro Único de Víctimas (Unique Registry of Victims)
SIS	Sistema Integrado de Salud (Integral Health Insurance)
SISFHO	Sistema de Focalización de Hogares (Household Targeting System)
SPA	Social Protection Assessment
SPARCS	Social Protection Assessment for Results and Country Systems
UNICEF	United Nations Children's Fund

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1. Background

1. This report presents the context and findings emerging from the application of a new assessment tool for identification and was progressively developed as part of a multi-actor platform, including dedicated reference and technical working groups.
2. In particular, the tool was applied to the case of Peru where there have been major advances over the last decade both institutionally and in terms of the strategy and processes for identification. This paper examines the key challenges in identification as described in the “What Matters” section of the assessment tool. It draws from field visits, interviews with practitioners and secondary material.
3. Underpinning this collaborative initiative is a set of principles, including the following:
 - *Ensure country ownership.* The tool is intended to be a vehicle to support governments in enhancing their delivery systems in line with national priorities and approaches.
 - *Set out a common system-oriented platform.* The tool can be a powerful mechanism to highlight performance in different areas, foster a shared understanding of challenges and opportunities among actors, and identify areas for possible further improvement and collaboration.
 - *Promote dynamic and collaborative learning.* The tool is developed in consultation and collaboration with international agencies active in the social protection field as well as other experts as the need arises.
 - *Provide a simple, practical and rapid assessment.* The tool is meant to offer a rapid and practical approach that typically can gather the relevant information within 7-10 days of reviews and field work, and then subsequently updated in future reviews as appropriate.
 - *Be context-sensitive.* Although it can be used in different contexts, the tool should be interpreted in the light of the specificities that characterize a given setting, including in terms of factors and constraints that affect design and implementation.
 - *Do not reinvent the wheel.* The tool would not seek to duplicate efforts, but instead to identify, systematize and synthesize large volumes of information on both process and performance that may be scattered and fragmented.
4. The report is organized as follows. After this background, the next section reviews major contextual factors, including the recent evolution of the identification and civil registry policies in Peru. Section 3 explains the assessment’s methodology and process, while section 4 presents key findings based on answers to the structured questionnaire as well as additional information obtained through a series of interviews. Finally, section 5 highlights options that may be explored to improve the systems in question.

2. Context

5. The provision of national identification cards (*Documento Nacional de Identidad, DNI*) to its citizens is considered a state priority in Peru. The DNI is the document that recognizes the identification of all Peruvians, ensuring that they have documented identities that enable access to social, economic and political rights and opportunities. From a rights perspective, it allows Peruvians to exercise their full citizenship, with all its rights and duties; from a social inclusion point of view, it helps to guarantee their access to public services and social programs (RENIEC 2012).
6. Recognizing the importance of the issue, the Peruvian government created, in 1995, the *National Identification and Civil Registry of Peru (Registro Nacional de Identificación y Registro Civil, RENIEC)*¹. RENIEC is an autonomous entity, with constitutional independence, whose main mission is to register the identity and changes in the civil status of the Peruvian population; participate in the Electoral System; and promote the use of digital identification and certification, as well as social inclusion from an intercultural perspective. The institution is responsible for issuing birth, marriage and death certificates, and other civil registry services, in addition to the national identity document. Prior to RENIEC, municipal governments were the only entities responsible for Civil Registry functions; and the identification system was part of the country's electoral system, as in the case of many other Latin American countries.
7. The two decades of political violence experienced by the country from the 1980s until 2000s had a significant impact on Peruvian's identification and registry system. The conflict between the Peruvian army and the Shining Path and Tupac Amaru Revolutionary Movement led to approximately 70,000 deaths and disappearances and left thousands of people undocumented. Many of those who were directly affected by the political violence, mostly in rural areas, did not have a DNI due to their economic situation, lack of access to information or to the urban areas, and also due to the destruction of civil registry offices and documents during the conflict. According to RENIEC, the violence led to the destruction of civil registry records, loss or deterioration of civil registry books, omission of birth registrations, and poor civil registration². The Peru Truth and Reconciliation Commission also estimates that approximately 600,000 people were displaced because of the conflict. Many of them did not carry their documents and had to register themselves in other offices of civil registry, which also led to the problem of duplicated identities³.
8. In addition to efforts made to address the impacts of the political violence on identification, over the past decade several measures and reforms have granted even more importance to the issue of identification, making the Peruvian identification system quite unique when compared to its neighbors in the region. This emphasis given by the State to the issue of identification came as part of a process of increasing State focus on targeted social programs, which started in the early 2000s, and on the need to improve the targeting system to control for inclusion errors. It was also a response to the need of ensuring that the most vulnerable populations would have access to those programs – especially rural and indigenous communities, more isolated due to geographic, cultural and economic barriers. As a consequence, the DNI became a key element of the national government's social strategy, resulting in a unique series of policy measures involving RENIEC, the central government, subnational governments and the support of civil society organizations and international cooperation agencies.

1 RENIEC was created by Law N° 26497 approved July 12th, 1995.

2 According to RENIEC, most of the undocumented victims of the political violence period were women who gave birth to those now known as “sons of the violence”, who were a product of rape or sons of fathers who were either executed or disappeared (RENIEC 2012, 72-73).

3 RENIEC 2012, p. 72-73; Truth and Reconciliation Commission of Peru - Final Report - General Conclusions. Available at <http://ictj.org/our-work/regions-and-countries/peru> (Accessed on January 20th, 2014).

9. In 2001 the government launched the National Identification Document for Children, making it mandatory that all children have DNIs as well, and creating yet another particularity of Peru's identification system. In RENIEC words, this initiative had two main objectives: first, it aimed at combating child abuses like trafficking, sexual exploitation and child labor by providing and requesting children's DNI's for most social services and traveling (within and outside of the country). Second, to improve the targeting system of government programs, ensuring that the most vulnerable children would not be excluded from social services because of lack of reliable information about them⁴. This initiative granted RENIEC first place at the United Nations Public Service Award (UPSA) for the Latin America and Caribbean Region, in 2013.
10. Consistent with its leading role in the identification of Peruvians and its mandate of reaching out the poorest sectors of population, RENIEC approved the establishment of GRIAS as the office responsible for formulating and implementing the National Plan for Assisting the Undocumented Population. A plan oriented towards promoting the right to identification and supporting community outreach.
11. In 2005, law No 28592 created the Integral Reparations Program (*Programa Integral de Reparaciones*, PIR) to support people affected by the political violence. Article 5 of this regulation established the documentation of the victims as one of the modalities of reparation and human rights restitution. The program authorized municipalities and Civil Registry and Electoral Offices to accept applications and reapplications to nonexistent or destroyed DNIs with minimum requirements (e.g. witnesses of birth, doctor's note, baptismal certificate, etc., hence not all the standard documentation required to process a DNI). In 2009, more than 52,000 people were registered in the program's Victims' Unique Registry (*Registro Único de Víctimas*, RUV)⁵.
12. Also in 2005, the government launched the "National Plan for the Restitution of Identification: Documenting Undocumented Persons from 2005 to 2009" (*Plan Nacional de Restitución de la Identidad Documentando a las Personas Indocumentadas 2005-2009*). The main objectives of this plan were to: establish legal procedures that would make the process of acquiring identification more flexible, especially for children; assign special resources to RENIEC to implement activities related to the issuance of birth certificates and DNI to the most vulnerable populations; and ensure that public authorities and civil society understood the relevance of ensuring the identification of all Peruvians.
13. The plan had specific targets and indicators for its main goals and, according to RENIEC, was successful in achieving more than 85% of them. One of its main achievements was the decrease in the number of undocumented people. Between 2005 and 2010, the number of adults without a DNI fell from approximately 1.5 million (9% of the Peruvian adult population) to 129,000 (0.68%), and the number of children without DNI from 10,445,705 (97.66% of all minors) to 4,719,961 (42.72%)⁶. Another key result of the implementation of the Plan was the inclusion of the identification issue in several public policies. Questions related to identity were included in the national census, and the DNI started to be requested for all beneficiaries applying to social programs. Finally, several measures implemented by the Plan contributed to reduce the political, administrative, legislative, economic and geographic barriers that prevented the most vulnerable populations from accessing their identity rights, as it will be described in the following sections.
14. In 2005, all birth certificates also started to require a Unique Identification Code Number (CUI), which is then passed to the DNI and becomes the person's unique number for his/her entire life cycle, facilitating the integration of the overall identification system. This is a key mechanism to close the loop between the civil registration process and the coverage of the national ID and is especially important for the identification of children.

4 RENIEC 2012, p. 70.

5 This program was very important especially for populations in rural and remote areas. Almost 5,800 communities were registered as collective beneficiaries of PIR, including 80% located in rural areas and concentrated in only six departments (out of 24) of Peru. The six departments that concentrated most of the communities affected by the political violence are: Ayacucho, Huánuco, Junín, San Martín, Apurímac and Huancavelica. Ayacucho had the majority of the individual victims registered in the program (37%), followed by Huancavelica (19%), Junín (10%) and Huánaco (9%) (RENIEC 2012, 72).

6 Our own estimates based on RENIEC 2012, p. 39 and 111.

15. In 2008, RENIEC's mandate was further strengthened by the implementation of the Results Based Budget (*Presupuesto por Resultados*), a new budgeting approach adopted by the Ministry of Economy and Finance (MEF), initially implemented for a set of strategic programs, including identification. The Results Based Budget assigned an amount of resources to RENIEC linked to the achievement of an agreed goal related to the reduction of identification gaps among the poorest sectors of the population. The fact that RENIEC's DNI program was selected by the government as one of its strategic programs shows the priority assigned to identification by the Peruvian government. With these additional resources complementing those from its own revenues, RENIEC was able to provide the DNI free of charge for the most vulnerable populations and to carry out campaigns in the most remote areas where these populations could be reached⁷. Since then, all Multiannual Macroeconomic Frameworks (*Marco Macroeconómico Multianuales* of 2009-2011, 2010-2012 and 2011-2013 and 2013-2015) included access to DNI as one of its economic policy measures⁸.
16. RENIEC asserts that the increased DNI coverage of the population assisted by the social protection programs has contributed to improve their targeting systems reducing leakages, duplication and coverage gaps. Furthermore, this process has been key in the development of Peru's identification system as it integrated RENIEC's objectives to the broader political agenda and improved the articulation of its activities with the social programs. Concomitantly, the social protection programs claim to have contributed with RENIEC by promoting the issuance of DNI to their beneficiaries. For instance, the Conditional Cash Transfer (CCT) program *Juntos* assigned specific resources to pay for the DNI of its beneficiaries, and coordinated efforts with RENIEC to identify undocumented adults and children.
17. The DNI for Children initiative also incited the support of the central government in many respects. In 2010, the President of Peru launched a national campaign to provide DNI free of charge to all children under 14 years old. An additional allocation of resources through the Results Based Budget to finance the issuance of 4 million DNI complemented the campaign. That same year, the government issued a decree providing financial incentives to local governments to meet certain goals related to registering children under 5 years old in key social programs. Early DNI issuance featured among those goals⁹.
18. Article 12th of the National Budget Law of 2011 also established that, from that year on, all new beneficiaries of social protection programs and other types of targeted support from the government would be required to have DNIs¹⁰. The same law established that the provision of DNI to the Peruvian population was a priority for all national, regional and local governments.
19. Since 2006, RENIEC and the Ministry of Health have signed several agreements to implement Auxiliary Registry Offices (ORA)¹¹ in hospitals to support the provision and data integration of birth certificates by allowing children to obtain this documentation, already with a CUI number, in the same place where they are born, thereby starting the process to get their DNI.
20. Finally, in 2011 the "2011-2015 - Peru National Plan Against the Lack of Documentation" (*Plan Nacional Peru Contra la Indocumentación*) was launched, providing specific new measures to address the gaps in the provision of birth certificates and DNIs, specifically to the most vulnerable populations.

7 On July 25th, 2010 the government also approved a special decree (Urgency Decree No 044-2010) recommending that the DNI for children 0-14 years old in rural and urban areas be issued free of charge until the end of 2011. Prior to the Results Based Budget, RENIEC's budget was composed entirely of resources coming from the services it sells (i.e. fees for issuance of DNI, registry fees of other documents, access to registry of databases, etc.).

8 The *Marco Macroeconómico Multianual*, or MMM, is the most important document produced by the government of Peru related to economic policies. It provides estimates and projections for the following three years and analyses the necessary measure that need to be taken by the following administration (Ministerio de Economía y Finanzas de Peru, http://www.mef.gob.pe/index.php?view=items&cid=1%3Apolitica-economica-y-social&id=24%3A01-ique-es-el-marco-macroeconomico-multianual-mmm&option=com_quickfaq&Itemid=100006 - accessed on January 20th, 2014).

9 In 2013, RENIEC won a United Nations Public Service Award for providing national identity documents to undocumented children, placing first among Latin American and Caribbean countries in the award category "Improving Delivery of Public Services."

10 RENIEC 2012, p. 28.

11 ORA are RENIEC offices established in hospitals of the Ministry of Health or of the Public Health Insurance entity EsSALUD with the role of registering births and deaths, as well as kicking off the process for the issuance of the children's DNI.

The Plan includes a series of activities and procedures to facilitate that process, establishing specific commitments and responsibilities for different institutions, and also revising the target goals established by the previous plan. It also has a significant gender focus, implementing specific and transversal measures to reduce and prevent discrimination against women and gender inequality, especially in rural areas (RENIEC 2012)¹².

The Peruvian exception

21. When compared to other countries in the region, there are some features that are very particular to the Peruvian national identification system. First, the institutional nature of RENIEC is quite unique. In most countries, civil registries entities are part of ministries (e.g. Chile, Mexico, Uruguay), or of the electoral system (e.g. Bolivia, Colombia, Costa Rica, Panama, El Salvador)¹³. RENIEC, as explained above, is an autonomous entity, with a specific assigned budget, and its mandate is currently one of the government's political priorities. It also enjoys a high level of public recognition and acceptance¹⁴.
22. Second, the Peruvian civil registry system was decentralized until recently. Civil registry services were run by municipal offices, and the local governments were responsible for keeping the records. It was not until 1995, with the creation of RENIEC, that the national civil registry became the superior registry authority. However, most local registration offices still depend administratively on the municipalities. Moreover, it was only after 2007 that RENIEC required all civil registries to send their registration books to its central storage and processing point¹⁵. This process of starting with a decentralized system and moving towards integration is quite unique to Peru as well, since most countries in the region have followed the opposite process (starting with a centralized system and moving towards a more decentralized one).
23. Third, the provision of DNI for children is also, as already mentioned above, a distinct feature of the Peruvian system. The high coverage of child DNI achieved so far reflects the centrality of this initiative in the identification policy and government priorities. Although civil registries in other countries in the region also provide national IDs to children, they are typically not mandatory to travel inside the country and to access social protection benefits, and do not form part of a national policy priority.
24. Fourth, it is worth mentioning that, for most of its existence, RENIEC had prioritized the provision of DNI, giving much less importance to its civil registries services, while in most countries it tends to happen the other way around. It was not until the current administration, and its recognition that the civil registry is the backbone of the identification system, that the institution would start putting more emphasis on its civil registry services and promoting the integration described above.
25. Finally, simultaneous political will and support to DNI issuance and coverage from the central government, civil society and the international cooperation also distinguishes the Peru's experience in this area. Understood as a basic right to citizenship, the issue of identification has been present in the discourse of different presidents over the past decade. The role played by the Ministry of Economy and Finance, emphasizing this issue as a crucial pillar in the government's economic strategy, has been key to ensure the sustainability of increased efforts to improve the national identification system (Reuben and Cuenca, 2009). The role played by the social programs promoting the demand for DNI and facilitating its possession, and the involvement of civil society organizations and the press in national and local campaigns also created a unique supportive environment.

12 The Plan has two main strategic objectives: (i) to make the most vulnerable populations aware of the importance of identification to exercise their rights and (ii) to have the State adequately attending all the undocumented population (RENIEC 2012, 84-85).

13 Exceptions include Guatemala, India and Pakistan which also have sole-purpose agencies dedicated to identification.

14 A survey in 2006 found that Peruvians trusted RENIEC more than other institutions including the Catholic church (Harbitz and Boekle (2009)).

15 RENIEC started the implementation of a national plan to support the integration of local civil registries in 2012. It contemplates different venues to ensure the centralization of civil registry documents, including on-line registration, electronic registration and digitalization of physical documents received in Lima.

3. Methodology

26. The assessment pilot was conducted based on an instrument including a questionnaire with structured and open-ended questions and supplemented by in-depth interviews. The instrument includes sub-section focusing on different dimensions of the identification and civil registration process ranging from the use of technology to legal and regulatory issues. These issues are described along with the rationale for the assessment criteria in the “What Matters” section of the identification module (which, in turn, is the first of a planned series of ‘delivery modules’).
27. The tool was field tested in Peru in October, 2013. The team included Robert Palacios (World Bank) and William Reuben (consultant). The team also interacted with Volkmar Blum from GiZ, Gonzalo Deustua from the Inter-American Development Bank (IADB), Sheila Gruden from the World Food Program and Pilar Contreras from HelpAge International¹⁶.
 - *The assessment involved consultations with government officials, including a series of meetings with the main institution responsible for the national ID and civil registry, RENIEC including most senior staff and the General Manager.* Presentations and meetings covered a wide array of policy and technical matters. These meetings yielded a number of modifications to the instrument and questionnaire (translated into Spanish) as well as additional questions that are now being included in the revised tool.
 - *Field visits to RENIEC’s headquarters in Lima and to field offices and municipal registries in Apurimac.* These visits provided the team the opportunity to watch the DNI production and delivery processes in different setups, as well as the way it is used by social protection and health services.
 - *Stocktaking and review of published literature, reports, guidelines and assessments.* The team collected and analyzed publications and reports produced by RENIEC.
 - *Final consultation and debriefing with government counterparts.* The completed instrument translated into Spanish was shared with government officials and the team received detailed comments and went through each question. Many suggested changes were subsequently made to the pilot instrument.

16 The IADB in particular, has provided significant support through its Department of Institutional Capacity.

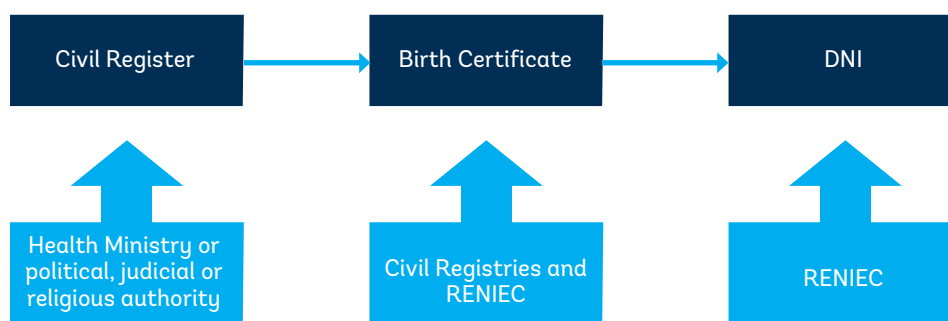
4. Findings

28. The assessment below is based on responses provided by RENIEC officials to the questionnaire included in Annex 2 and through interviews carried out in Lima in October 2013.

4.1 Description of the ID ecosystem

29. Peru's general ID program is part of an explicit national plan or strategy that aims at: (i) ensuring that all Peruvians are identified and reducing gaps in coverage, (ii) ensuring an integrated national system of identification, (iii) establishing an integrated and unified registration system, (iv) reducing leakages in social protection programs, (v) and reducing exclusion risks of social protection programs.
30. The country also has a specific communications strategy to promote the ID system and policy. This strategy is implemented both through temporary awareness and dissemination campaigns as well as through a permanent system of dissemination of information. This strategy involves providing specific incentives for people to obtain their identification, such as having access to benefits from Juntos, the Conditional Cash Transfer Program or other targeted social programs such as the non-contributory pension (Pension 65) and health insurance (Integral Health Insurance system, SIS). It is also adapted to the country's different languages and cultural backgrounds, and is implemented through regional and local networks that place a strong emphasis on human rights, gender and intercultural issues.
31. The national identification cycle follows a process that starts at birth, with the issuance of the Live Born Certificate (*Certificado de Nacido Vivo*)¹⁷, which is provided by public and private health institutions, authorized by the Ministry of Health. This document is then used for obtaining the birth certificate with RENIEC, and its auxiliary offices (including those in hospitals), and Local Civil Registries. Birth certificates include a Unique Code Identification Number (CUI) that is used in the DNI and becomes a person's key number for his/her entire life cycle. The implementation of the CUI in the birth certificates, which started in 2005, has helped to improve the integration of the civil registry and ID systems. Since 2009 (law No 29462), birth certificates are free of charge and shall be obtained at RENIEC offices or Local Civil Registries up until 60 days after the actual birth (prior to the law the maximum was

Diagram 1: Peru's Documentation Cycle



¹⁷ In compliance with its innovation role and in agreement with the Ministry of Health, RENIEC is implementing the electronic Live Born Certificate, linking hospital platforms with RENIEC's Auxiliary Offices. This initiative aims at reducing the registration time of minors. Also, as soon as children get their CUI they can have immediate access to SIS coverage and benefits.

30 days), and until 90 days for people residing in more remote areas¹⁸. When the registration of the child outruns the deadline it has to follow a special registration process involving the presentation of additional documentation and witnesses.

32. RENIEC has been issuing the current format of the DNI since 2005. The DNI shows the following information on its front face: Unique identification number (CUI), name, sex, civil status, birth date, place of birth, photo, signature of the holder, registration date, date of issue, expiration date and the International Civil Aviation (ICAO) code, as shown in the image below. The back face shows: proof of vote, place of vote, home address, organ donation preference, fingerprint, signature of RENIEC’s Chief, barcode containing CUI information, and biodimensional barcode containing biometrical information of fingerprint. RENIEC is also currently issuing an Electronic DNI.

33. The national ID number or CUI has 8 digits, which follow a sequential order. The DNI has to be renewed

Figure 1: Example of Peru’s National Identification Document (DNI)



Source: RENIEC (sample)

Figure 2: Peru Electronic DNI



Source: RENIEC (sample)

18 RENIEC 2012, p. 26.

every 8 years. Citizens need to pay approximately US\$ 10 (29 Nuevo Soles) for an adult ID and US\$ 5.5 (16 Nuevo Soles) for a minor's ID, with the exception of vulnerable populations that are exempt from the fee. The electronic ID is more expensive and costs approximately US\$ 14 (40 Nuevo Soles). DNI issuance usually takes 9 business days, 3 days for repositions, 7 days to renew it, and 7 days to rectify information. In rural areas, all these processes take twice as long: 15 business days for new IDs, 7 days for duplicates, and 12 days for rectifications and renewals. To request the ID, it is necessary to present a birth certificate, fee payment receipt (when applicable), recent picture (passport size), and utility bill in the urban areas or residency declaration in rural areas. In main cities, RENIEC is utilizing advance digital technology packages for real-time registration. They capture pictures and biometric data and simultaneously process online ABIS authentication¹⁹.

34. In 2012, RENIEC issued 7,254,672 DNI's. In 2015, the number decreased to about 5,605,300, of which 26% were either repositions or renewals. According to RENIEC, this decreasing trend in DNI issuance responds to the diminishing documentation gap.
35. For adults, the ID is used and required to: open a bank account, obtain credit or loans, provide information to the fiscal authorities, obtain a marriage certificate, obtain a private health insurance, registry with the social security system, receive benefits from any social protection program (money transfer, food, etc.), obtain a cellular telephone account, obtain a passport, obtain a driver's license, vote, registry a vehicle, buy or registry properties and land, and follow judicial claims. For minors, the ID is only required for medical services and traveling. The IDs for minors are also used for other activities such as school registration (although it is not a requirement) and to be registered in the non-contributory health insurance program (SIS).
36. There are specific guidelines determining what information available in the ID database can be used by other government agencies. Since 2013, with the approval of the bylaws of the Data Protection Law, RENIEC is adapting its data sharing practices to comply with the new framework (see Section 4.7).

19 These packages enable digital registration and online data transfers permitting immediate biometric authentication (picture and fingerprints) vis-à-vis the institutional ABIS database.

37. Table 1 summarizes the key elements and indicators of the Peruvian ID Ecosystem and Program ID:

Table 1. Description of ID Ecosystem and Program ID Key indicators

Indicator	Description
Estimated coverage of foundational ID(s) where relevant	<ul style="list-style-type: none"> • Adults: 99.2 % • Minors: 98.1 % (2015)
Estimated coverage of program ID	<ul style="list-style-type: none"> • All social programs use the foundational ID or National Identification Document (DNI).
Type of ID and functional use	<ul style="list-style-type: none"> • Card with barcode - conventional ID; • Smart Card - Electronic ID (optional and low coverage). • The conventional ID is required for most transactions: to (i) open a bank account, (ii) obtain credit or loans, (iii) provide information to the fiscal authorities, (iv) obtain a marriage certificate, (v) obtain a private health insurance, (vi) registry with the social security system, (vii) to receive benefits from any social protection program (money transfer, food, etc.), (viii) to obtain a cellular phone account, (ix) to obtain a passport, (x) to obtain a driver's license, (xi) to vote, (xii) to registry a vehicle, (xiii) to buy or registry properties and land, (xiv) to follow judicial claims. • The electronic ID uses PKI (Public Key Infrastructure), which enables secure digital authentication and signing, and biometric match-on. It will gradually replace the conventional ID.
Biometrics captured (none, fingerprints (#), iris, other)	<ul style="list-style-type: none"> • Fingerprints • Picture • For Electronic ID, digital certificate and signatures are incorporated in the chip.
Medium and centralization of ID database (paper/electronic, decentralized/centralized)	<p>Centralized electronically at RENIEC. The centralization and digitization of the historic paper records originally stored by the local civil registry offices is being centralized in a process that will take approximately 5 years.</p>
Whether the ID is unique to an individual	<p>Yes, there is an ABIS (fingerprints and picture) used for deduplication and there is a Unique Identification Code Number (CUI).</p>
Form of verification of ID by program at point of transaction	<p>Presentation of the National Identification Document.</p> <p>(All social protection programs use the National Identification Document as the single source of identification of their</p>

4.2 Detailed description of program ID (if applicable)

38. Not Applicable: All social programs in Peru use the Foundational or National Identification Document (DNI) to identify their beneficiaries.

4.3 Detailed description of institutional arrangements related to ID issuance

39. The *Registro Nacional de Identificación y Estado Civil*, RENIEC, is the only agency that can issue the National ID. Created in 1995, RENIEC is an autonomous entity with a constitutional mandate in charge of issuing national ID and providing civil registry services. In 2015 RENIEC's authorized adjusted annual-budget was of 345,153,404 Nuevos Soles (approximately US\$ 108 million²⁰) of which 69.7% came from revenues generated by DNI issuance and replacement, and identification registry services sold to private agencies such as banks, cellular phone providers, and notary offices; 29.4% from ordinary resources, and 0.9% from donations and other transferences. Since the DNI program became one of the strategic programs of the Results Based Budget in 2010, RENIEC received resources from the central government to reduce the identification gap among the most vulnerable sectors of the population.

40. RENIEC has 3936 employees and 433 offices nationwide. Among these offices, 433 issue the national ID; 52 offer permanent support to the population on ID related issues; 20 offer temporary support; and 149 offer auxiliary support in the issuance of birth certificates (see Table 2 below).

Table 2. Type of RENIEC Offices and Services Provided

Type of RENIC Office	Quantity	Birth Certificate	ID
Registry Office	53	x	x
Agency	92	-	x
Permanent support center	119		
Temporary support center	20		
Auxiliary Registry Office	149	x	
TOTAL	433		

Source: Information provided by RENIEC officials.

20 At the 2015 average exchange rate of 3.19

41. As mentioned above, the civil registry system in Peru is still highly decentralized. In addition to the auxiliary registry offices, there are 6,515 decentralized civil registry offices. Most of them are located in districts and communities (centros poblados), but also in consulates outside the country (see Table 3 below).

Table 3. Quantity and Type of Decentralized Civil Registry Offices (2015)

Location/type of Civil Registry Offices	Quantity
Provinces	196
Districts	1,670
Native Communities	2663
Communities (Centros Poblados)	1783
Consulates	200
TOTAL	6,515

Source: Information provided by RENIEC officials.

42. Up until recently, there was little coordination at the central level or articulation with RENIEC’s civil registry services, which were offered by local offices administratively dependent on municipalities. These municipal offices did not necessarily transfer their records to RENIEC. This lack of articulation between decentralized registry offices and RENIEC represents one of the most compelling challenges for RENIEC. The absence of a consistent and constant flow of vital information from local civil registries to the central database affects the reliability of identification records and authentication processes.
43. This problem started to be corrected in 2011, when the government enacted a law that allowed RENIEC to require that the local registry offices send the registry records to their central office in a timely manner. To further support these efforts, in 2012 the Ministry of Economy and Finance (MEF) launched the Incentives for the Municipal Modernization Plan. The Plan included transfer of additional resources to the municipalities linked to the fulfillment of a given set of goals. The MEF built into the Plan a goal related to the fulfillment of RENIEC’s requirement by municipal registries. RENIEC also created an office entirely dedicated to the integration process. This office collects the books from the municipal offices, which have been receiving technological and capacity building support, and digitizes them into one database. The goal is to have all records online and integrated in one larger and centralized database. In spite of current efforts, a large number of local civil registries still do not have the human resources and technical infrastructure to cope with their registry functions and tasks.

4.4 Assessment of inclusiveness of overall or program-specific ID

44. Peru's ID program has today an overall coverage of 99.2% of its adult population and of 98.1% of all minors, representing a total of 21,084,354 adults and 10,404,271 children and adolescents²¹. Most of the undocumented Peruvians are vulnerable populations and minority groups, such as Indigenous peoples, migrant workers and women in rural areas, who still face administrative, cultural, geographic and economic barriers to access their identity rights²².
45. The "2011-2015 – Peru National Plan against the Lack of Documentation" establishes several measures to address these gaps. National regulations provide a different treatment for registration and issuance of birth certificates and DNI according to the citizen's economic situation and place of residence. Poor populations, identified by the Poverty Map elaborated by the Cooperation Fund for Social Development (FONCONDES), are allowed the DNI free of charge²³. Between 2005-2009, more than 1.8 million Peruvians were able to obtain their DNI without having to pay any fees²⁴. By 2013 RENIEC issued 3 million DNI free of charge, and by 2015 almost half of them to minors. Law No 29462 of 2009 also extended to a maximum of 90 days the issuance of a birth certificate for those who live in remote areas (native communities and communities in the country's borders) and simplified the administrative process by making the documentation requirements more flexible. RENIEC's - *Gerencia de Restitución de la Identidad y Apoyo Social*, the Department responsible for supporting the access of these vulnerable groups to identification, organizes registration and ID issuance drives and promotes educational and information campaigns through national and local media.
46. To support the provision of identification services to these vulnerable populations and expand the ID coverage throughout the country, RENIEC has established partnerships with different entities in the public sector, civil society and international donors. For example, the People's Ombudsman (*Defensoría del Pueblo*) implemented an Identity and Citizenship Program and supported RENIEC in the implementation of 34 documentation campaigns in the ten departments that have been more affected by the political violence. The Ministry of Women and Social Development (MIMDES) has also carried out awareness campaigns about identification, explaining the need and existing resources for obtaining identification documents, and has provided workshops for local governments' staff and local registry officials and to process the DNI and birth certificates.
47. The Ministry of Health (MINSA) allowed 85% of its hospitals and health centers to provide birth certificates free of charge for institutional births, and approved a decree (NO 024-2005) that established the DNI as its basic standard to identify beneficiaries of health services. The Ministry of Education also supported these efforts by developing training materials related to the right to identity and by helping to register undocumented students. The Ministry of Interior (MININTER) has carried out

21 The National Household Survey (ENAHU) and the Demographic and Family Health Survey (ENDES) show a bit higher gaps for the same year: 1.3% for the adult population and 2.9% of children. RENIEC figures are based on census projections.

22 Some of the most important barriers mentioned in the literature include: (i) administrative and normative: lack of staff capacity, with full knowledge of the different legislations related to registry services, to carry out registration tasks appropriately (e.g. without charging for services that by law should be free for some groups, and without committing errors or leaving missed information), and to ensure specialized attention to most vulnerable populations; lack of documentation and dissemination material adapted to the different languages and cultural realities, especially in rural areas; (ii) political: state and local governments not prioritizing the issue, despite its status as a national government priority; (iii) geographic: difficulties for rural and Andean populations to access local registry offices; (iv) cultural: lack of staff ability and sensitiveness to deal with cultural differences of different ethnic groups (i.e. lack of knowledge of their different native languages, which can lead to mistakes in the documents, discrimination, disrespect against their customs, etc.) Indigenous and peasant communities represent approximately 15% of the Peruvian population (RENIEC 2012, p.64).

23 According to the 2013 Technical Report on Poverty Evolution (Informe Técnico Evolución de la Pobreza), in 2012 25,8% of the Peruvian population was poor. The majority (53%) of this total were residents of rural areas. That same year, extreme poverty reached 6% of the population, in which 19.7% of the rural population were extreme poor (INEI 2013, p. 28-29; 33-34).

24 RENIEC 2012, p. 118.

hundreds of informational and training workshops on the right to identity with officials of the judicial system and leaders of community organizations. The National Roundtable Against Poverty (Mesa de Concertación para la Lucha Contra la Pobreza, MCLCP), a space that brings together state agencies and civil society groups to coordinate efforts to fight poverty, has also supported the execution of awareness campaigns and was key in the inclusion of questions related to identity in the national census. Finally, international donors like the United Nations Children's Fund (UNICEF), the German International Cooperation (GIZ), the Inter-American Development Bank (IADB), and the World Bank have provided analytical, technical and financial support to reduce documentation gaps²⁵.

48. It should be noted that immigrants are not serviced by RENIEC, since they do not have DNI. They use an ID provided by the Ministry of Interior.

The Child DNI initiative

49. Peru's identification program also includes the provision of a DNI for children, as briefly explained in the first section of this report. This initiative began in 2001 with the main objective of increasing the identification coverage to ensure children's access to different public social services and safeguard their legal security.
50. To put this initiative forward, several strategies were adopted, and many of them were also carried out together with RENIEC key partners in the public, private and international cooperation sectors, at the national, regional and local levels. There were thousands of awareness campaigns and itinerant registration services (especially to remote areas). Also, registration procedures were simplified and it was established that the Children DNI would be free of cost in poor and remote areas; and there was a specific allocation of public budget for this initiative. Concurrently, technical innovations and training were introduced at Civil Registry Offices, and Auxiliary Registry Offices were installed in hospitals to help process birth certificates and Children DNI immediately after a child's birth and at that same location. Today, 98.1% of Peruvian Children possess a DNI.
51. The Peruvian Children DNI initiative therefore provides another good example of efforts to expand inclusion and prioritize populations that face greater barriers to access social services. However, despite the apparent progressiveness of this initiative, aimed at avoiding leakages in social programs, and fighting child trafficking and labor, the requirement of a Child DNI to access some social programs, could also have an exclusionary effect on those children whose parents are not able to process their DNI. Actually, when the above mentioned 2011 Budget Law requiring the possession of a Child DNI to children in order to register as beneficiaries of social programs was enforced, the registration of newborns in the non-contributive health system (SIS) experienced a dramatic fall from 11,759 in 2011 to 966 in 2012. Although this drop in early child registration cannot only be attributed to this requirement, because the SIS implemented interim measures to allow children without a DNI to register temporally, it is likely that mothers may have refrained from registering their children unaware of this transitory provision²⁶. As discussed below, the fact that the Child DNI gap primarily focuses on the poorest rural families, the potential impact of this early registration gap on timely access to preventive health, and nutrition checks and counseling could be significant.
52. Also, it is still not clear to what extent the requirement of a Children ID for traveling has helped to avoid child trafficking and labor. This issue will be further discussed in the Options section of this report.
53. According to Reuben and Cuenca (2009), some of the most important initiatives led by the Peruvian State and civil society organizations to reduce identification gaps, and specifically among children

²⁵ RENIEC 2012, p.120-124.

²⁶ During the same period, targeting policies and procedures experienced important changes that could have also affected early child registration in the SIS. The Ministry of Social Development (MIDIS) is making an assessment to identify the causes of this drop-in order to fix it.

Box 1. Children DNI and ICT improving targeting and efficiency of Juntos Program

The benefits of the Children DNI digital registry to social protection programs targeting can be seen in the case of *Juntos* Conditional Cash Transfer Program (CCT). *Juntos* was launched in 2005 to help reduce poverty in the short term, by providing cash transfers to the most vulnerable households; and to break the intergenerational transmission of poverty in the long term by promoting human capital through improvements in access to education and health services. The program aims to achieve these objectives through the provision of a monthly cash transfer of S/. 100 (Peruvian Nuevos Soles) to eligible households. In order to receive this payment, beneficiaries need to comply with a number of responsibilities, such as attending regular health checks (children, lactant and pregnant women) and at least 85% of the school year (children between 6-14 years).

To improve the transfer of information from the intervention areas of *Juntos*, and strengthen and streamline operational procedures in the identity, nutrition, health, and education services, the government piloted an innovative intervention in the District of Fiúra, Piura Region. Using a the combination of the DNI database, fingerprint pads and smart cell phones to verify the compliance of 7,611 beneficiaries with their responsibilities, the program was able to reduce gaps in child identification (coverage in identification of children beneficiary of *Juntos* went from 76.19% to 94.52% in six months) and optimize the time and accuracy of information (e.g. fingerprint to verify school attendance reduced in 70.6% the time necessary to registry children and, according to school directors, generated an increased sense of responsibility and punctuality among children and parents). The online identification and information about children's nutrition also allowed for a quicker response to cases that needed immediate attention. The combination of DNI digital registry and Information Communications Technology ICT also allowed for the immediate flow of information from the field to the servers of RENIEC and of other institutions working with *Juntos*. Finally, a cost benefit analysis showed that, although at first the implementation of ICT tools may raise the costs of the program, in the longer term the timeliness and quality of the information flows allow for better responsiveness.

and adolescents, include: the implementation of the CUI and its inclusion in the new birth certificates; the inclusion of the issue of identification in the strategic programs of the Results Based Budget; the issuance of free DNI for beneficiaries of the Conditional Cash Transfer program *Juntos*; the coordination mechanisms implemented to improve targeting of social protection programs; and the awareness campaigns organized to bring attention to the issue of child identification.

Remaining gaps

54. Despite all the efforts by RENIEC and the support from other government and non-governmental agencies, some Peruvians still remain undocumented and therefore excluded from access to several public services. In 2013, approximately 277,000 adult Peruvians, representing about 1.3% of the country's adult population, did not have DNI. Among the population under 18 year, the gap in 2013 was 5.5%, representing about 1 million children.
55. Although the coverage has notably improved since 2010, when more than 15% of the children did not have a DNI, the substantial reduction of the gap should not lead to overoptimistic conclusions. The DNI gap widens when looking at the younger cohorts in the population. The gap for children under 12 rises to 25% and of babies less than 2 months to 34%. It is likely that these gaps would further increase among children in rural areas and in regions showing the highest poverty rates, augmenting the risk of exclusion for those who more urgently need access to social assistance and early nutrition services²⁷.

²⁷ RENIEC estimates that in 2010 about 60% of the rural population under 18 did not have DNI, in comparison to 40% of the same cohort in marginal urban areas. In Amazonian regions like Madre de Dios, Loreto and Amazonas the average of rural children without DNI was above 70% (Plan Nacional Peru Contra la Indocumentacion 2011-2015, p. 42).

4.5 Assessment of robustness of overall or program-specific ID

56. The Peruvian ID system has provisions to ensure the uniqueness and authenticity of the document it issues. Digital ID registries have physical backups, which RENIEC keeps safely in its centralized archives in Lima and Arequipa. However, there are not explicit norms safeguarding the privacy of the information stored in the ID registries.
57. Three units of RENIEC's Identification Registry Department perform updating, de-duplication, authenticity and clearance functions.
58. As explained above, the DNI includes three main sources of information that are used to verify the identity of the holder: the DNI holder's picture, signature and fingerprint. To make sure that new or late entries into the Unique Identification Registry are unique and authentic, RENIEC carries out the following procedures: automatic fingerprint identification (AFIS), which validates a fingerprint against the millions stored in the database; and dactylographic and facial recognition checks.
59. This Department makes regular checkups with the civil registry to cancel DNI's of deceased people. It is also responsible for running positive identification procedures to verify that official documents match the identity of the citizen. It also carries out ex-post evaluations and controls to identify irregularities and further clear the Unique Identification Registry and cancel false or duplicated DNIs.

4.6 Assessment of integration of overall or program-specific ID

60. As mentioned above, the DNI is used for most formal public and private transactions and has been increasingly integrated into the delivery systems of Peru's social protection and health programs. The adoption of the DNI and the unique identification number by all social programs has allowed the exchange and sharing of information among them. The use of DNI and access to the Unique Identification Registry has expedited identification checks at transaction points and has reduced leakages and duplications. The national targeting system (SISFOH) uses the CUI and DNI registry information as the main link to integrate information to screen eligibility to targeted social protection benefits. Increasingly, transaction points of key social protection programs such as *Juntos*, Pension 65, SIS, AUS, and ESSALUD are connected online to the DNI database.
61. The health sector is also using the CUI as its sole identification code and the DNI as the unique identification document for its transactions. This integration allows instant checks with the health insurance programs. RENIEC has also benefited from this partnership with the health sector. As mentioned above, it has established auxiliary civil registry offices in hospitals, therefore expediting the delivery of the newborn certificate and initiating the process to issue their DNI. Health centers are now also reporting children without a DNI to RENIEC, so that its regional agencies or itinerant registration campaigns can easily reach their households to process their birth certificates and DNIs.
62. More recently, the Ministry of Finance, the Ministry of Health, local governments and the RENIEC established an alliance to build the Padron Nominal Homologado, a database of children under 6 years old that integrates information from health centers, municipal civil registries and the national identification registry to improve early registration of children by the health and nutrition services and RENIEC. So far, the Padron Nominal has helped to identify 53 thousand children that do not have the DNI (2015). RENIEC is already reaching out to their households to process their identification documents.

4.7 Assessment of personal data protection

63. In 2011, the Congress of the Republic of Peru approved the Personal Data Protection Law, number 29733. Two year later, in March 2013 it approved its bylaws, giving due course to the implementation of the Law and the establishment of the National Authority for Personal Data Protection (ANPDP), as a body of the Ministry of Justice and Human Rights²⁸. The Introduction and Definitions Section of the Law explicitly lists the internationally accepted personal data protection principles and standards established by OECD's Fair Information Practices (FIPs)²⁹. The National Register of Personal Data Protection which keeps a public record of all the data processors and the type of data being collected was also created as a consequence of the Law and the bylaws.
64. The Law regulates (i) personal data collection and processing; (ii) the transfer and sharing of sensitive data; (iii) data quality, security and confidentiality; and (iv) the subject's rights over her personal information: the right to access her information, the right to have her personal information updated, rectified or eliminated, the right to oppose or prevent her data from being supplied, and the right to appeal and claim proper compensations. The bylaws provide detailed regulations and guidance for the implementation and enforcement of the Law, including sanctions and fines that go from 0.5 Tax Units (S./ 190 or approx. US\$ 67) to 100 Tax Units (S./ 380,000 or approx. US\$ 135,000) based upon the magnitude of the violation. They also define the administrative and jurisdictional channels that allow the filing of claims, and enforce the rights of the individuals when they are violated by the processing of personal data.
65. The execution and enforcement of the Law has met some resistance and constraints on its early implementation phase. The strive for attaining universal DNI coverage that has characterized the identification policies in Peru for the last two decades has prevailed over privacy protection concerns amongst government, political and civil society stakeholders. Key entities in the promotion of human rights, like the Ombudsperson' Office, and main civil rights' organizations have given full support to the DNI coverage in hope of improving transparency and access to social benefits, including reparations to the population affected by the political violence of the 90's. Privacy and data protection have not been at the core of their concerns and activities.
66. The enforcement of the Law, a primary responsibility of the ANPDP, is facing political, financial and human resources constraints. By being attached to the Ministry of Justice and Human Rights, the ANPDP might have access to political influence, through the Minister of Justice, as well as to the Ministry's infrastructure and resources. However, it deprives it of the autonomy enjoyed by some of the institutions it is bound to regulate, like RENIEC and others that hold critical personal databases. This makes it difficult for the ANPDP to accomplish its mandate. It also affects its credibility and its power to negotiate. Additionally, progress in the implementation of the National Registry of Personal Data Protection is slow. So far, the Registry has enrolled only 400 out of an estimate of 1 million databases containing personal information in Peru. With a staff of 18 officials, the Registry does not have the capacity to fulfill its goal. The harmonization of the Data Protection Law and its bylaws with other legal frameworks through inter-institutional agreements and protocols is another strategic role of the Authority that advances at a very slow pace, since it does not have the required professional staff.
67. Given the embryonic state of the implementation of the Law and its slow progress, personal data protection significantly relies on the extent to which RENIEC, as the manager of National Civil Registry and the ID Registry, has been able to mainstream privacy and identity protection measures into its policies and everyday business. RENIEC has the legal mandate to protect the privacy of individuals registered (inserts j and k of Article 7 of its Organic Law). The institution has made outstanding

28 An English translation of the Law is available online at [http://web.ita.doc.gov/ITI/itiHome.nsf/1dd3c7c4faeeff0585256ccb00657bab/112a1a2f4d01989c85257a78004dd2ec/\\$FILE/Peru%20Data%20Protection%20Law%20July%2028_EN.pdf](http://web.ita.doc.gov/ITI/itiHome.nsf/1dd3c7c4faeeff0585256ccb00657bab/112a1a2f4d01989c85257a78004dd2ec/$FILE/Peru%20Data%20Protection%20Law%20July%2028_EN.pdf)

29 See: SPARCS' What Matters in Identification: Annex 4.

progress in the implementation of safeguards to protect personal data against such risks as loss or unauthorized access, destruction, use, modification or disclosure of data. High standards (included in ISO/IEC 27002) for initiating, implementing, maintaining and improving information security management policies are being applied. However, RENIEC still faces relevant challenges regarding security management of personal data at the bottom of its decentralized civil registry system. Weak or inexistent controls and lack of accountability at the Municipal Registries (OREC) make them vulnerable to all sorts of security breaches that have led to unauthorized disclosure, modification and destruction of personal data. Problems like these should be dealt with as the digitalization and integration process of the civil register reaches its final stage.

68. RENIEC also makes sure that personal information being recorded and shared is reliable, accurate and up to date. It has standardized procedures through which individuals can correct or update their personal data
69. Although RENIEC has guidelines and protocols regulating data collection, disclosure and sharing, in practice, the institution apply the Peruvian 'legal framework and it does not follow standards adopted by other countries in this matter, such as those related to data-collection restraint and data-use limitation. For example, RENIEC requires and registers the actual home-address of adults to issue their DNI, in compliance with current legislation. There is no automatic report to the incumbent when its records are consulted by a third party. That only happens when the person in question explicitly request that information to RENIEC. The registration according to the Peruvian law is public, so any private entity or individual can obtain civil and identification registry information through a certificate that RENIEC issues for a charge of a S./ 17 fee. The DNI also shows the individual's home address on the backside of the document, as well as the educational level of the subject, a practice that can also expose the DNI holder to job refusal and other discriminatory practices. The latter is also a practice prescribed by the current legislation.
70. In the case of disable people, RENIEC also registers and uses a specific code to signal this condition in the DNI, at the request of the individual or her family. However, the inclusion of this information in the DNI was mandatory and not voluntary for mentally disable people until 2011, as a measure to identify those individuals who were excluded from their right to vote. Testimonies of people with different types of disabilities collected by Human Rights Watch in Peru, illustrate the stigmatization and discrimination risks that the practice may trigger for these persons and suggest that their right to prevent this condition. from being annotated in their registry files.³⁰. Currently this practice is not obligatory any more.
71. Since its inception, RENIEC has focused its main attention on other key institutional mandates, such as achieving full DNI coverage, improving its robustness, and responding to information demands from public and private institutions. The inclusion of addresses and disabilities as part of the information registered and shown on the ID database and document responds to institutional demands posed to RENIEC by the National Office of Electoral Processes (ONPE), with the intention of generating the voter's rolls of the local ballot centers, improving accessibility of disable people to them, and waving their obligation to vote and pay the no-show fee. Both provisions constitute vivid examples of the difficult coexistence of information sharing and integration practices that forward social inclusion and transparency, with the protection of the identity and privacy of registered individuals.
72. Sharing personal data with the police and the judiciary is an ordinary activity of the RENIEC. It is a mandated established in its Organic Law, and is permitted by the Personal Data Protection Law, which establishes the exception to the subject's consent principle for personal data sharing in those cases in which the information is provided to the police, the judiciary and other public institutions for the specific fulfillment of their mandates (Article 14, numeral 1). RENIEC's interoperability with the police and the judiciary follows internationally accepted standards and practices.

30 Human Rights Watch (2012).

73. The tension between complying with data protection standards and making use of identification information to meet transparency and social inclusion purposes reaches a critical level in the delivery of social protection services. Social programs have access to the identification database and require the possession of a DNI to grant access to their services. Eligibility and enrolment criteria are based on ID data plus indicators like income, home address and other personal conditions (i.e. disabilities, victims of violence, number of children, etc.). In principle, these databases should follow stringent confidentiality standards because they contain highly sensitive personal information that, in some cases, may elicit stigmatization and other discriminatory practices or expose beneficiaries to personal security risks. Yet, although this is not RENIEC's responsibility, it is worth mentioning that targeted social programs frequently publish their beneficiary rolls in order to improve transparency, reduce leakages and expand their coverage. For example, the CCT program *Juntos* openly displays the list of beneficiaries at some payment centers. Being included in the list implies that a person belongs to a low-income group. Being excluded from the list implies that this family did not comply with the obligations of the program, if the name of the beneficiary appeared in the list in previous occasions. These procedures may lead to stigmatization and discrimination. (esto no es un tema del RENIEC, si desean poner que es discriminatorio ponerlo en ese contexto de otros Programas Sociales pero no en el contexto RENIEC)
74. The ID for people with disabilities (*Carnet de Acreditación de Discapacidad*) issued by the National Council for the Integration of Persons with Disabilities (CONADIS) raises similar concerns regarding privacy protection. With the support of the DNI database, CONADIS is building a registry of people with disabilities as to identify its actual and potential beneficiaries and target the benefits and services it provides to the disable population. Currently the database covers about 10% of the estimated universe of 1.5 million disable people. The CONADIS issues the certificates and IDs that are a requisite for disable individuals or their families to have access to specific programs and benefits. When the individual has a DNI showing the code confirming that this person has a disability, the DNI can replace the disability ID or certificate. Both identification procedures may give ground to stigmatization and/or discrimination processes, although they also help the holder, who has voluntarily accepted the inclusion of the code in her DNI, to access some specific benefits.
75. Aware of this tension and complexity, the National Authority for Data Protection and the MIDIS have crafted an agreement and issued the Directive 001-2014-JUS-DGPDP creating a framework that defines the guidelines and procedures for the administration, use and sharing of personal data by the social programs. Time is yet too short to assess the effect that this framework and its implementations may have on personal data protection.
76. Supervising data access and sharing agreements subscribed by RENIEC with the private sector is another area in which there is room for improvement. RENIEC does not disclose to the public what information it shares with private entities, such as financial institutions and ICT companies, nor does it systematically audit the use that those entities give to identification information. ID data sharing and authentication is a standard practice of civil and identification registries, and an important source of revenue. However, this business should be carried out following stringent data protection rules and principles. Limited-use, specification-of-purpose, transparency and accountability principles must be enforced.
77. Currently, there are at least six initiatives in the country to advance in the use of DNA as a source of identification. They count with support of different groups and sectors. For example, the Public Prosecutor's Office, forensic services and stakeholders associated with making reparations to the victims of past political violence have expressed their public support to those initiatives. A major challenge for the country and the aforementioned initiatives will be to reconcile the benefits of advanced identification biometrics, such as DNA, and the risks they pose in terms of protecting the privacy and integrity of individuals.

4.8 Color-coded status

78. Based on the discussion in previous sections and using the typology found in the ‘What Matters’ section of the pilot instrument, Table 4 summaries key assessment results in a color-coded system³¹.

Table 4. Summary of performance by dimension

Dimension	Performance
Inclusiveness	Orange
Robustness	Orange
Integration	Green
Personal data protection	Orange

79. The system was designed to illustrate the current status of each particular module and offer a general indication against which future reviews may analyze potential progress and challenges. See Annex 1 for an overview and guidance.

31 A red color highlights that significant attention needs to be paid to a particular dimension; orange signals that a dimension requires vigilance, elements for effective performance are in place, but significant gaps or constraints persist; yellow indicates moderately satisfactory performance, with most of the elements showing satisfactory parameters; finally, green indicates well-performing practice, with broad-based success in the examined elements.

5. Options for consideration

80. The Peruvian identification system has made substantial improvements since the creation of RENIEC. As Table 4 shows, it has achieved a high-performance status in terms of its inclusiveness, robustness and integration. However, there is room for improvement in some critical ways. This assessment suggests a set of policy options to address some identified concerns regarding: (i) the social exclusion risks associated to the Children DNI; (ii) the centralization vs. decentralization tradeoffs of the civil registry system; and (iii) RENIEC's autonomy and financial sustainability.

5.1 Managing the social exclusion risks of the Children DNI

81. As discussed in the previous sections of this report, Peru stands as one of the countries in the world that has made one of the most extraordinary efforts to provide a DNI to all children. Thanks to this effort, which has brought together RENIEC, the national government, the private sector and international donors, the country has achieved outstanding results in terms of its coverage and integration with social protection services. However, this assessment also identified exclusion risks associated to the use of the Children DNI to tackle duplication and inclusion error in targeted social programs. The provision of the 2012 Budget Law, requesting that every child must have her or his DNI in order to be eligible for the benefits of social programs, becomes a risk factor for children in their early age living in poor rural districts, which bear a lower propensity to have DNI than those children from urban districts. This is particularly true for social programs like the SIS that finances access of poor families to health services. In those cases, it is very likely that the costs of exclusion from primary health services resulting in chronic malnutrition and contagious diseases considerably exceed those of inclusion errors.
82. One option is that, instead of requesting the DNI as the only option to register children less than 6 years of age in SIS and similar social programs like Juntos, the eligibility system could request the child's birth certificate linked to the mother's DNI, while they obtain the DNI³². The Children DNI also offer a link with the parents DNI and is more portable and durable than the birth certificate. Available data show that the DNI gap narrows to almost zero for children above 6 years of age.
83. The requirement of the possession of the child's DNI to be registered in a social program works as an incentive to the household to process it in her early age. However, this incentive could be replaced by a bonus that the conditional cash transfer program could provide to those eligible households who process their children's DNI in a timely manner.

32 In small children, footprints and the picture do not work as identifiers since footprints patterns and facial features substantially change in children of that age range.

5.2 Centralization vs. Decentralized Approaches to Civil Registry Integration

84. One of the most crucial challenges that the ID system faces in Peru is the national integration of the civil registry system. As explained above, it was only after 2007 that RENIEC required all civil registries to send their registration books to its central storage and processing point. With this measure, the registry system started its integration process. Such a process possesses two important aspects: The integration of the civil registry information into the national civil registry, and the integration of the national civil registry into the DNI registry as its backbone, by providing a consistent and constant flow of vital information from the former to the latter.
85. This process has shown to be thorny and slow. Most of the local registry information (the current and the historical) is kept in physical records; many of those records are in bad condition or contain registration errors. In some cases the books entail a lengthy process in reaching the processing point in Lima. Processing and digitalizing the information also takes time, and often involves correcting faulty records or sending them back to the local registry. In the last few years, RENIEC has taken action to address these issues in order to improve the integration process. It included two options: (i) turning towards a more centralized system by revoking municipal registries and establishing RENIEC's own offices at the provincial level, and auxiliary offices in hospitals; and (ii) strengthening municipal registries while improving their connectivity and capacity to do online registration (hence, strengthening Peru's decentralized registry system).
86. RENIEC's previous administration opted for the first option. The current one is blending both options: In specific cases it revokes the municipal registry when it presents insurmountable weaknesses; but in most cases opts for integrating the municipal registry into the system by building local capacity and connectivity, while it continues to open auxiliary offices in hospitals and other birth/delivery facilities.
87. There are powerful reasons to believe that the second approach is more effective: First, it preserves the extensive network of municipal and community registries to reach out to distant rural households, while continuing to open new RENIEC offices in strategic points to facilitate the registration of children born in birth/delivery institutions. A study found that distance from the household to the registry office strongly correlates with the occurrence of young children without a birth certificate (Reuben and Cuenca 2009). Therefore, revoking local registries in distant areas and replacing them by RENIEC's provincial or auxiliary offices can work against child registration coverage and timeliness. Second, when a municipal registry is revoked, the municipality usually reacts against it. Local governments perceive the provision of civil registry services to the population as one of their vital functions and as a source of income. When RENIEC retorted to revocation as the main integration strategy, mayors lobbied against it, giving origin to a political obstacle to the reform.

5.3 RENIEC's autonomy and financial sustainability

88. One of the main institutional characteristics of RENIEC is its autonomy. It brings political independence and legitimacy to the national civil registry. In the past, this constitutional status was backed by its financial self-reliance. Almost all its expenditures were financed by its own revenues. However, three recent developments have substantially increased RENIEC's expenditures: (i) the campaign to close the DNI gap in the adult population; (ii) the deployment of the Children DNI initiative; and (iii) the integration of the national civil registry system. All those developments are positive and necessary. However, as they are subsidized, they pose tremendous pressure on the financial sustainability of the institution.
89. As explained above, RENIEC has so far been able to cover increasing expenditures with the support of ordinary resources allocated by the central government through specific budget programs. But these

budget allocations have been the result of negotiations with the MEF or specific line ministries which, under exceptional circumstances not controlled by RENIEC, could limit its independence to determine its priorities. It is true that the costs of closing the DNI and Children DNI gaps diminish as they get closer to zero. However, maintaining the flow to ensure high coverage in the future will require the generation of additional resources in order to avoid RENIEC's financial dependency on the central government.

90. A two-prong strategy to increase revenues without compromising RENIEC's autonomy could be adopted. Firstly, it could advocate the allocation of ordinary resources from the national budget through a constitutional mandate. This is a standard financial practice in many countries for autonomous institutions that, for the nature of their function or the services they provide, cannot generate all the resources they need to operate. Secondly, there is room for improving the quality and variety of the valuable information services that it sells to the private sector, without compromising the privacy of citizens. This option entails a subtle balancing act, which requires the right combination of cutting-edge information sharing policies and practices, and a robust legal framework safeguarding privacy and confidentiality.

5.4 Personal data protection, transparency and integration

91. The potential tension between protecting personal data stored in ID documents and Civil Registries, and the need to respond to information sharing demands for the operation of public interest services and enhanced transparency can be dealt with. The observance of data protection principles should not become an obstacle for the establishment of agile and effective interoperation agreements and information disclosure practices.
92. The reduction of unnecessary confidential information in the DNI may be a reasonable way to improve the protection of the individual against use of data by a third party, which could hinder a person's integrity and privacy. One point in question by this study has been the inclusion of the holder's exact address in the DNI, which is a practice not followed any more by other countries. However, RENIEC authorities argue that the inclusion of the home address in the DNI is mandated by the Law to control for the so call "voto golondrino", that is to say, the possibility that one person could vote more than one time in different ballot centers. In addition to the electoral tribunal, the police and the judiciary also make frequent use of the address information in the DNI for their diligences. However, those entities should bear in mind that nowadays the address information changes frequently, making the DNI obsolete or inaccurate before the expiration date, and therefore requiring those entities to create or have access to other sources of information, because, as stated above, the address registered on the DNI or its database might not be reliable if the holder do not update his or her home address.
93. It is advisable to review RENIEC ID certificate issuance procedure. Data included in the certificate should be limited to: ID code; person's name and surname; place and date of birth; sex; civil status, and vote group. Similar terms should apply to online information services provided to private entities, upon signature of a due agreement. Access to the person's photograph and signature should be limited and only granted under strict security norms. As in the former recommendation, this suggestion acknowledging that the procedure follows the current legislation, and therefore its modification depends on a decision made by the National Congress and not by RENIEC. Currently, RENIEC strictly follows what is in its Organic Law and the Personal Data Protection Law.
94. Personal information of beneficiaries of the social programs should not be published or exhibited. It should be reserved to their authorized staff. The exhibition of Juntos' payrolls at payment centers to convene the beneficiaries could be replaced by text messages in a country that enjoys high levels of mobile coverage, including poor households in rural areas.

6. Lessons learned from the pilot

95. This report is the result of a pilot assessment of a country ID system as a module of SPARCS. In this regard, the initial set of questions and the methodology of the module changed as the team learned from its implementation experience. The constructive dialogue with RENIEC authorities and staff, and the fruitful confrontation of the initial framework of the pilot with the Peruvian reality, made evident the need to adapt it as its implementation moved forward. The following are the main changes and lessons learned from this pilot:
96. **Including the civil registry as a key dimension of the assessment.** The initial framework of the assessment had a strong focus on the ID. If it is true that the ID plays an important role in the identification of individuals for the delivery of social protection services, the civil registry is a fundamental piece of the identification system and can be a standalone information resource to improve the early identification of children. Therefore the team found out that it was important to strengthen this dimension in the assessment. It did this by including a civil registry module in the questionnaire, and establishing a section in the report dedicated to assess the civil registry integration in regards to the identity and social protection systems.
97. **Strengthening the institutional dimensions of the identification system.** The institutional framework of the ID system is a fundamental aspect that needs a deeper assessment. There were some key elements of this framework that required attention and were not included in the initial assessment, such as the financial arrangements and sustainability of the system, alliances, and the legal context. The team included additional questions in the questionnaire and to the discussion agenda of the field visit to address this gap.
98. **Paying more attention to incentives and risks.** Incentives to the population for the registration and request of their ID, as well as incentives for the social protection programs to promote the use of the ID to improve their targeting objectives and coverage, demanded more analytical attention. As part of this analysis, it was important to make an assessment of the risks linked to those incentives, as in the case of the 2012 Budget Law in Peru, which might have increased the risk of excluding poor young children from timely health services, as it created an incentive to process their ID.
99. **History matters.** The evolution of the ID system and its relationship with the social protection programs is essential to understand its current arrangements and characteristics, and the type of changes it can adopt for its improvement. For example, it was not possible to understand the Peru ID system without taking into consideration the decentralized nature of the civil registry, the destruction of records during the violence period, and the lack confidence of large segments of the population in governmental institutions due to a long history of social exclusion and corruption. This consideration led the team to include a longer and more exhaustive background section in the report.
100. **Complementing the questionnaire with field work and dialogue.** The questionnaire is a useful tool to collect standardized information that makes possible comparing assessments across different countries. Its current version covers an important range of critical topics that provide a substantive body of information that allows for the identification of gaps, weaknesses and areas that require attention for improvement of a country ID system. However, the Peru experience showed the value of field work, which gave place to a close dialogue and engagement with the local counterparts. When possible, it is therefore advisable to complement the application of the questionnaire with a field visit of the assessment team.

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Annex 1: Color-Coded Matrix Of Practices

Dimension				
<p>Inclusiveness</p> <ul style="list-style-type: none"> Coverage Access and timeliness <p>Updating and link with civil registries</p>	<p>Minority of population has an accepted ID; Poor generally excluded; acquiring ID costly in relative terms. Civil registry unreliable or inaccessible.</p>	<p>Majority of population covered; acquiring ID less costly but government policy can be onerous; civil registry functional but coverage deficient, records decentralized and with significant delays after birth passive enrolment approach.</p>	<p>Almost universal coverage with isolated pockets not covered; civil registry captures majority of births in central registries with minimal delays; obtaining ID not costly and proactive efforts to enroll in progress.</p>	<p>Universal coverage (including non-citizens); cost of acquiring ID minimal in relative terms. Good links with centralized civil registry for updates; children issued unique numbers in timely fashion in full coordination between ID agency and civil registry.</p>
<p>Robustness</p> <ul style="list-style-type: none"> Uniqueness Security Data access <p>Authentication</p>	<p>Official IDs are easily falsified and weak enforcement; government and donor programs use proprietary ID to fill gap; No institutional capacity to monitor ID database; ad hoc mechanisms for privacy and data access.</p>	<p>Some control of ID issuance, quality control and database maintenance; Mostly paper based recordkeeping; Minimal protocols in place for data access and privacy.</p>	<p>Modern technologies employed for ID security features; basic data access and privacy protocols in place and enforced; mostly digital information on individual records; Basic authentication processes.</p>	<p>All IDs de-duplicated and in electronic format; very difficult to produce fraudulent IDs. Good authentication standards applied; good privacy and data access rules in place and enforced; full portability of program benefits across country</p>
<p>Integration</p> <ul style="list-style-type: none"> Ubiquity Interoperability <p>Common transaction standards</p>	<p>Little or no database linkages across programs; high dependence on local knowledge (e.g., community) and references for verifying identity.</p>	<p>A few major programs use a common identification platform; Benefits tied to particular locale and not portable.</p>	<p>Some private and public transactions can be done with single ID; most program MIS linked; authentication standards exist but are weak and vary across programs.</p>	<p>Most private and public transactions can be done with single ID at national level; Same advanced authentication standards used across programs. Vast majority of government MIS can be linked by unique ID.</p>
<p>Legal framework/ Personal data protection</p>	<p>Ad hoc or non-existent mechanisms for privacy and data access.</p>	<p>Minimal protocols in place for personal data protection and privacy. Government agency designated as responsible</p>	<p>Government agency designated as responsible but lacking resources for implementation and limited capacity. Most of the internationally accepted personal data protection standards and protocols are followed; mostly digital information on individual records</p>	<p>Government agency designated as responsible and well resourced, good capacity. Full compliance with internationally accepted personal data protection guidelines;</p>

Annex 2: Questionnaire

Background information

1. Name of country
2. Date survey filled out
3. Name of person filling out survey
4. Employer or agency with whom associated
5. Counterpart Government Agency

Part I: National level civil registration and identification ecosystem

National ID

6. Does a national level ID exist? Yes/no (If 'no', skip to question 60)
7. What is the title of the legislation that establishes and defines this form of identification? _____
8. If yes, is it intended to cover
 - a. All residents
 - b. All citizens
 - c. All adult citizens or voters
 - d. Other, please specify _____
9. What is the name of the most prevalent national level ID?
10. What other national level IDs exist? If so, please specify.
 - a. Tax identifier
 - b. Voter ID
 - c. Social security number
 - d. Other, specify _____
 - e. There is only one national level ID
11. What percentage of the population is estimated to have the most prevalent ID listed above?
12. When was this ID, in its current form, first issued?
13. What is the estimated number of undocumented or illegal residents or non-citizen refugees?

Issuing agency

14. What is the name of the agency that is responsible for issuing this ID?
15. Is this an independent agency (ie., not part of another agency or ministry)?
16. If no, to what Ministry or other government entity does it report?

17. What is the annual budget of this entity?
18. How many branch offices does it have?
19. How many employees/staff?

Information captured for the ID and other characteristics of the ID

20. What information is captured in the ID database for those enrolled?
 - a. Name
 - b. Date of birth
 - c. Sex
 - d. Address
 - e. Ethnicity
 - f. Religion
 - g. Political affiliation
 - h. Information on parents or other family members
 - i. Other, please specify
21. Is a photo captured at the time of enrolment?
 - a. Yes
 - b. No
 - c. Other
22. What biometric information, if any, is captured at enrolment?
 - a. None
 - b. Fingerprints
 - c. Iris
 - d. Digital facial image
 - e. Other, please specify
23. Are biometrics used to ensure that new ID numbers are not issued for people already in the database (i.e., deduplication)? Yes/no
24. How many IDs were issued last year?
25. How many IDs have been issued to date (cumulative figure)?
26. What proportion of these are deduplicated?
27. How many IDs are estimated to be held by individuals today (IDs issued net of deceased ID holders)?
28. What kind of ID is issued?
 - a. None
 - b. Paper
 - c. Bar card
 - d. Mag strip
 - e. Smart card

29. What information is printed on the face of the card?
- ID number
 - Name
 - Address
 - Age
 - Sex
 - Ethnicity
 - Political affiliation
 - Religion
 - Other, specify
30. What information is stored on the card that is not visible but machine-readable?
- ID number
 - Name
 - Address
 - Age
 - Sex
 - Ethnicity
 - Political affiliation
 - Religion
 - Other, specify
31. Are biometrics stored on the card? Yes/no
32. What external security features are on the card?
- Holograms
 - Microprinting
 - UV printing
 - Other, specify
33. How many digits are in the ID number?
34. Is there 'logic' in the number? Yes/no
35. How often must the ID be replaced?
- Never
 - Less than every five years
 - More than every five years
36. How much does the ID cost to produce and issue?
37. How much is the individual enrolled charged for this ID?
38. Is there a cost to the individual for replacing a lost or stolen ID? Yes/no

39. If so, what is the cost of replacement to the individual?
40. What is the estimated number of days that it takes to issue a new card in the following cases:
- New ID
 - Renewal
 - Lost or stolen
 - Other, specify
41. What documents are required to apply for this ID?
- None, issued at birth along with birth certificate
 - Birth certificate
 - Community verification/affidavit
 - Verification of another individual or individuals
 - Other
42. What is the age requirement for obtaining this ID?
- None
 - Voting age
 - Age considered as an adult
 - Other, specify
43. If yes, what age?
44. Are there particular categories of the population that face geographic, cultural, economic or legal barriers that prevent them from obtaining this ID?
- Yes, migrants
 - Yes, indigenous people
 - Yes, women
 - Yes, other groups, specify
 - No
45. Is there a mechanism for changing information on the ID? Yes/no
46. How many requests for such changes are processed annually?

Transactional uses of the ID

47. Is the national level ID used commonly for any of the following purposes?
- Opening a bank account
 - Obtaining credit or loans
 - Reporting to the tax authority
 - Obtaining marriage certificate
 - Obtaining private health insurance
 - Enrolling in social insurance programs
 - Qualifying for cash transfers, food or other safety net programs

- h. Getting a cell phone account
- i. Obtaining a passport
- j. Getting a drivers' license
- k. Voting
- l. Registering a vehicle
- m. Purchasing property
- n. Other, specify

48. In which of these databases would the national ID number be included?

- a. Social insurance programs
- b. Social assistance programs
- c. Income tax records
- d. Vehicle registration
- e. Drivers license
- f. Voter registration rolls
- g. Credit rating agency records
- h. Bank records
- i. Utility billing records
- j. Criminal records
- k. Passport records
- l. Formal employment records
- m. Private insurance records
- n. Other, specify _____

Inter-agency information flows, interoperability and privacy

49. Does the ID agency use IDs to help other government entities to cross-check databases? Yes/no

50. If yes, what kind of cross-checking is done?

- a. Social insurance and social assistance
- b. Social assistance and income tax data
- c. Social insurance and income tax data
- d. Property/assets and income tax data
- e. Public employment status
- f. Other, specify

51. How many government agencies issue their own forms of ID?

- a. 1
- b. 2
- c. 3-5
- d. 6-10
- e. 10+

52. Are there formal coordination mechanisms between government ID issuers? Yes/no
53. Are there explicit rules and regulations as to how government agencies can link their databases using the national ID? Yes/no
54. Is there an explicit list of government agencies that are allowed to access the national level ID database? Yes/no
55. Is there a standard format for MOUs between the ID issuing agency and other government agencies? Yes/no
56. Is there legislation on privacy or protection of personal data that delimits the access and use of data in the national ID database? Yes/no
57. Has a “privacy impact assessment” ever been conducted? Yes/no
58. Does the legislation establishing the national level ID clearly establish protection of privacy of data? Yes/no
59. If yes to 58, are there ambiguities or broad exceptions to this protection that could be abused? Yes/no
60. Is the public reporting of exceptional cases of accessing data (e.g., based on national security threats) required? Yes/no
61. Is there a supervisory body within government responsible for monitoring compliance with privacy and data protection rules? Yes/no
62. Are the penalties for violation of the privacy rules clearly established and appropriate? Yes/no
63. Is the process for grievance redress for individuals who claim their privacy was violated clear? Yes/no
64. Is the information that must be provided for obtaining the national level ID the minimum required for the purposes of this ID? Yes/no
65. Are there standards for data formats and fields that apply across the major government databases?
 - a. Yes, but only for a subset of government agencies/programs
 - b. Yes, and widely applied
 - c. No
66. Are there common ID authentication standards for transactions in different programs?
 - a. Yes, for most transactions there is a single authentication mechanism
 - b. Yes for some transactions there is single authentication mechanism
 - c. No
67. How many of the major government programs require some form of electronic authentication using this ID?
 - a. 1
 - b. 2
 - c. 3
 - d. 4
 - e. 5 or more

68. How many government programs require biometric verification of identity using this ID in order to receive a benefit?
- 1
 - 2
 - 3
 - 4
 - 5 or more
69. Are there any private transactions that use this ID to electronically verify identity at the point of the transaction? Yes/no

Strategic issues

70. Is there a national strategy for identification? Yes/no
71. Is there a coordination body or steering committee involving different government agencies and stakeholders that focuses on improving coordination of identification across sectors and programs? Yes/no
72. If yes, which of the following are objectives of this strategy?
- Reduce coverage gaps
 - An integrated national identification system
 - Establish a unified system of civil registration and identification
 - Reduce leakages in social protection programs
 - Reduce exclusion from social protection programs
 - Ensure identification for KYC for financial inclusion
 - Security and border control
 - Other, specify
73. Are there budgetary incentives in place base on results in terms of the coverage of civil registration and identification? Yes/no
74. Is there a national strategy for communication and awareness for the national level ID? Yes/no
75. What approach or approaches are taken for extending awareness?
- Periodic information campaigns at local level
 - Permanent process of advertisement and dissemination
 - Linking ID to specific incentives
 - Customizing awareness campaign to specific groups (e.g., indigenous)
 - Other - specify
76. Are there specific policies to address the most vulnerable population groups? Yes/no
77. If yes to question 73, please provide a description of this policy.
78. What barriers to civil registration and identification have been identified by the responsible agency (ies)?
- economic

- b. geographic
- c. cultural
- d. legal
- e. religious
- f. other, specify _____

79. Does the responsible agency provide free services for vulnerable groups of the population? Yes/no

80. If yes, how are these groups designated? (e.g., targeting mechanism or other criteria)

81. Does the responsible agency have formal cooperation arrangements with other agencies or organizations to improve inclusion and access to registration and identification documents?

- a. Yes, with other government agencies
- b. Yes, with the private sector
- c. Yes, with international agencies and donors
- d. Yes, with non-governmental organizations
- e. Yes, with other organizations, please specify _____
- f. No

Civil registry

82. What government entity is responsible for administering the civil registration system?

- a. Ministry of Interior
- b. National ID agency
- c. Specialized, autonomous agency (name)
- d. Other, please specify _____

83. Does the responsible agency (if not the same as the ID agency above) have formal cooperation arrangements with other agencies or organizations to improve inclusion and access to registration and identification documents?

- a. Yes, with other government agencies
- b. Yes, with the private sector
- c. Yes, with international agencies and donors
- d. Yes, with non-governmental organizations
- e. Yes, with other organizations, please specify _____
- f. No

84. How is the national level ID linked to birth and death registries?

- a. It is not
- b. Births and deaths are reported to the agency intermittently and updated
- c. Birth registration is regularly communicated to the ID agency
- d. Death registration is regularly communicated to the ID agency
- e. Birth registration is directly linked to the issuance of a new national level ID

85. What is the estimated percentage of births that take place in medical facilities (i.e., institutional births)?

86. What is the estimated percentage of actual births that are registered (i.e., issued birth certificates)?
87. How long is the process from the time of birth to the issuance of a birth certificate (number of days)?
88. Are there specific population groups that encounter obstacles to obtaining a birth certificate?
 - a. Yes, indigineous people
 - b. Yes, migrants and/or nomadic people
 - c. Poor people
 - d. Women
 - e. Other, please specify _____
89. Are birth registrations digitized, stored electronically? Yes/no
90. Is birth registration information centralized at the national level? Yes/no
91. Is there national legislation that makes the registration of births and deaths mandatory? Yes/no
92. Are there regulations or norms that oblige hospitals and clinics to report births and deaths to the Civil Registration authority in a prespecified period of time? Yes/no
93. What is the total number of offices that handle civil registry functions across the country including the decentralized or local offices? _____
94. What percentage of these offices are estimated to have the following infrastructure capacity?
 - a. Photocopiers
 - b. Telephone
 - c. Computers
 - d. Electronic forms
 - e. Capacity to transmit data by internet
95. Is there a mechanism for working with communities and community leaders for registration of non-institutional births? Yes/no
96. How is documentation about births and deaths from local and regional offices transferred to a central, national data repository?
 - a. On-line transfer in real time
 - b. Electronic transfer periodically
 - c. Physical files or copies periodically transferred
 - d. Documentation is not transfered and remains at the local agency
97. Is there a specified time frame for this transfer to occur?
 - a. n/a
 - b. no
 - c. yes, the time frame is _____
98. Can individuals request birth and death certificates in any civil registry office in the country independent of where the original registration took place? Yes/no
99. How long does it typically take to obtain a birth certificate?

100. Are there mobile units or kiosks that allow individuals to obtain these certificates without having to visit civil registry offices? Yes/no
101. How much does it cost for an individual to obtain a birth certificate at a civil registry office?
102. In the case of an individual that does not have a birth certificate but wishes to apply for a national ID, what is the process?
- There is no process defined or in place
 - Individual must obtain a birth certificate first by documenting his/her identity through multiple witnesses with notarization or some other legal certification process
 - Individual must obtain birth certificate first documenting his/her identity through witnesses recognized by the national ID agency without further legal process
 - Individuals can obtain both the birth certificate and national ID through the same enrolment process using witnesses
 - Other, please specify _____ -
103. What is the annual budget for civil registration (latest year available)?
104. Are those registered as dead removed or deactivated from the national ID database? Yes/no

Part II: Program specific ID (repeat the following questions for each program assessed)

105. What is the name of the program that uses this ID?
106. When was the current form of this ID first issued?
107. How many individual IDs were issued during the last year?
108. How many individual IDs have been issued cumulatively?
109. What type of program is this?
- Social insurance
 - Contributory pension
 - Health insurance
 - Social assistance
 - Public works
 - Social pension
 - Other, please specify
110. What is the total spending of this program (last year available and please specify year)?
111. Is the card used by individuals or on behalf of households?
112. How many individuals are direct beneficiaries of this program?
113. What type of benefit is provided by this program?
- Food (in kind)
 - Vouchers for food
 - Cash
 - Health care

- e. Access to public works employment
 - f. Educational scholarships or stipends
 - g. Subsidized non-food goods (fertilizer, fuel, other)
 - h. Other, please specify
 - i. Multiple benefits, please specify
114. What is the name of the agency/ministry that is responsible for issuing this ID?
115. What is the estimated annual budget directly related to issuing IDs?
116. How many employees/staff are directly involved in issuing IDs?
117. Is there an operations manual that documents the ID issuance process?
118. What information is captured in the ID database for those enrolled?
- a. Name
 - b. Date of birth
 - c. Sex
 - d. Address
 - e. Ethnicity
 - f. Religion
 - g. Political affiliation
 - h. Information on parents or other family members
 - i. Socio-economic variables (income, housing type etc.)
119. Is a photo captured at the time of enrolment? Yes/no
120. What biometric information, if any, is captured at enrolment?
- a. None
 - b. Fingerprints
 - c. Iris
 - d. Digital facial image
 - e. Other, please specify
121. Are biometrics used to deduplicate? Yes/no
122. What kind of ID card is issued?
- a. None (no card issued)
 - b. Paper
 - c. Bar card
 - d. Mag stripe
 - e. Smart card
123. What information is printed on the face of the card?
- a. ID number

- b. Name
- c. Address
- d. Age
- e. Sex
- f. Ethnicity
- g. Political affiliation
- h. Religion
- i. Other, specify

124. What information can be derived from the card that is not visible but machine-readable?

- a. ID number
- b. Name
- c. Address
- d. Age
- e. Sex
- f. Ethnicity
- g. Political affiliation
- h. Religion
- i. Other, specify

125. Are biometric data stored on the card? Yes/no

126. Are there transactions where the biometrics on the card are used to verify identity/authenticate? Yes/no

127. What security features (aside from smart encryption) are on the card?

- a. Holograms
- b. Microprinting
- c. UV printing
- d. Laser engraving
- e. tactile
- f. Other, specify

128. How many digits are in the ID number?

129. Is there 'logic' in the number? Yes/no

130. Are there clear rules for access to the data maintained by the program? Yes/no

131. How often must the ID be replaced?

- a. never
- b. Less than every five years
- c. More than every five years

132. How much does the ID cost to issue?

133. How much is the individual enrolled charged for this ID?
- Nothing
 - <US 1 dollar
 - 1-3 US dollars
 - 3+ US dollars
134. Is there a cost to the individual for replacing a lost or stolen ID? Yes/no
135. What documents are required to apply for this ID?
- None, issued at birth along with birth certificate
 - Birth certificate
 - ID from another government program
 - Tax ID
 - Drivers' license
 - National ID (voter or other type)
 - Community verification
 - Other
136. Are false IDs ever used to access program benefits? Yes/no
137. If yes, does this happen
- Frequently
 - Infrequently
 - rarely
138. What is the age requirement for obtaining this ID?
- None
 - Voting age
 - Age considered as an adult
 - Other, specify
139. If yes, what is the age?
140. Are there particular categories of the population that face geographic, cultural, economic or legal barriers that prevent them from obtaining this ID?
- Yes, migrants
 - Yes, indigenous people
 - Yes, women
 - Yes, other groups, specify
 - No
141. Is there a mechanism for changing information on the ID? Yes/no
142. How many requests for such changes are processed annually?

143. How is the ID linked to birth and death registries?
- It is not
 - Births and deaths are reported to the agency intermittently and updated
 - Birth registration is regularly communicated to the ID agency
 - Death registration is regularly communicated to the ID agency
144. Are the IDs of those registered as dead removed or deactivated? Yes/no
145. Is this ID used commonly for any of the following purposes?
- Opening a bank account
 - Obtaining credit or loans
 - Reporting to the tax authority
 - Obtaining marriage certificate
 - Obtaining private health insurance
 - Enrolling in social insurance programs
 - Qualifying for cash transfers, food or other safety net programs
 - Getting a cell phone account
 - Obtaining a passport
 - Getting a drivers' license
 - Voting
 - Registering a vehicle
 - Purchasing property
 - Other, specify
146. Does the program include the national ID number in its database? Yes/no
147. If yes, what proportion of beneficiaries have NID numbers in the database?
148. Does the program cross-check data with other programs using the NID? Yes/no
149. Is the ID used for authentication at the point of benefit delivery? Yes/no
150. If yes, which form of authentication is used:
- Biometric, off-line verification
 - Biometric, on-line verification
 - PIN-based, off-line verification
 - PIN-based, on-line verification
 - Photo
 - Match with other form of ID (like national ID number)

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