

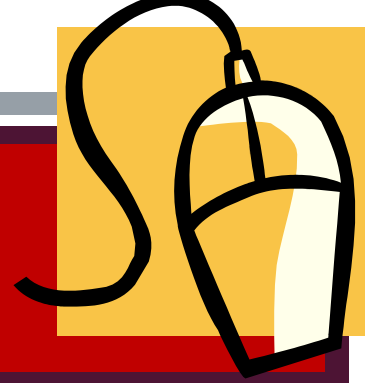


**WORLD BANK GROUP**  
Social Protection & Labor

# SOCIAL REGISTRY INFORMATION SYSTEM FOR SOCIAL ASSISTANCE

Core course SSN The World Bank  
*Phillippe Leite,- April 28*

## CLICKER QUESTION



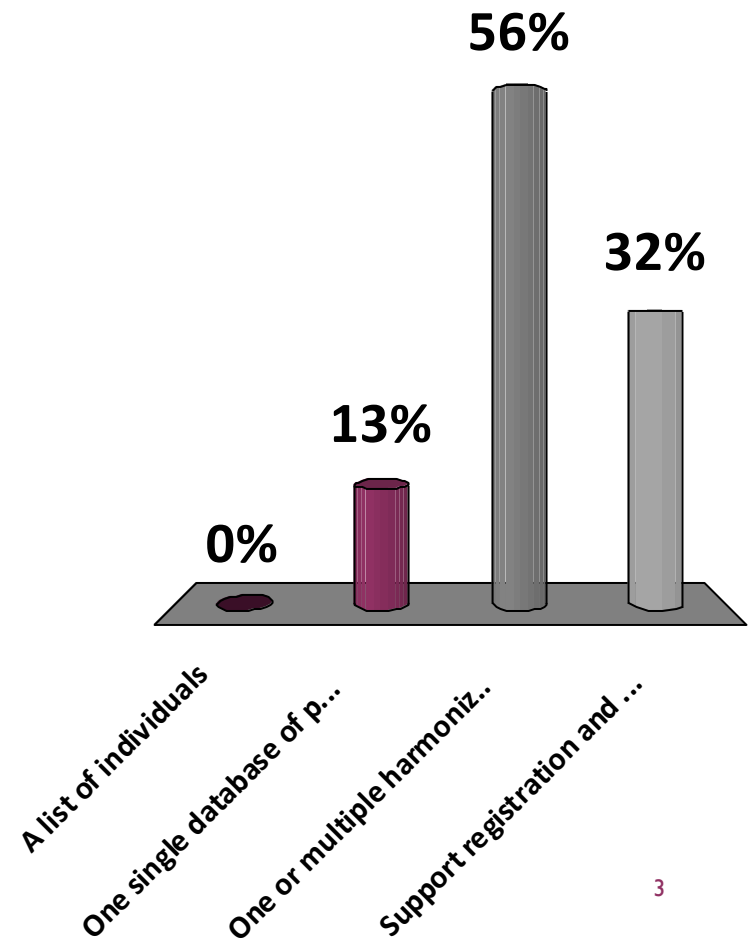
### ■ **“What is the Social Registry:**

Your answers:

- (a) A list of individuals
- (b) One single database of potential beneficiaries
- (c) One or multiple harmonized and integrated databases of potential beneficiaries
- (d) Support registration and eligibility determination for social programs

# WHAT IS THE SOCIAL REGISTRY

- (a) A list of individuals
- (b) One single database of potential beneficiaries
- (c) One or multiple harmonized and integrated databases of potential beneficiaries
- (d) Support registration and eligibility determination for social programs



## CLICKER QUESTION



### ■ “Why is it important:

Your answers:

- (a) Provides accurate and transparent information on potential beneficiaries for social assistance programs;
- (b) Allows linkages among multiple programs for which the potential beneficiaries **can be** eligible;
- (c) Allows articulation, coordination, harmonization and complementarities of social programs
- (d) None of the above
- (e) All of the above

## WHY IS IT IMPORTANT:

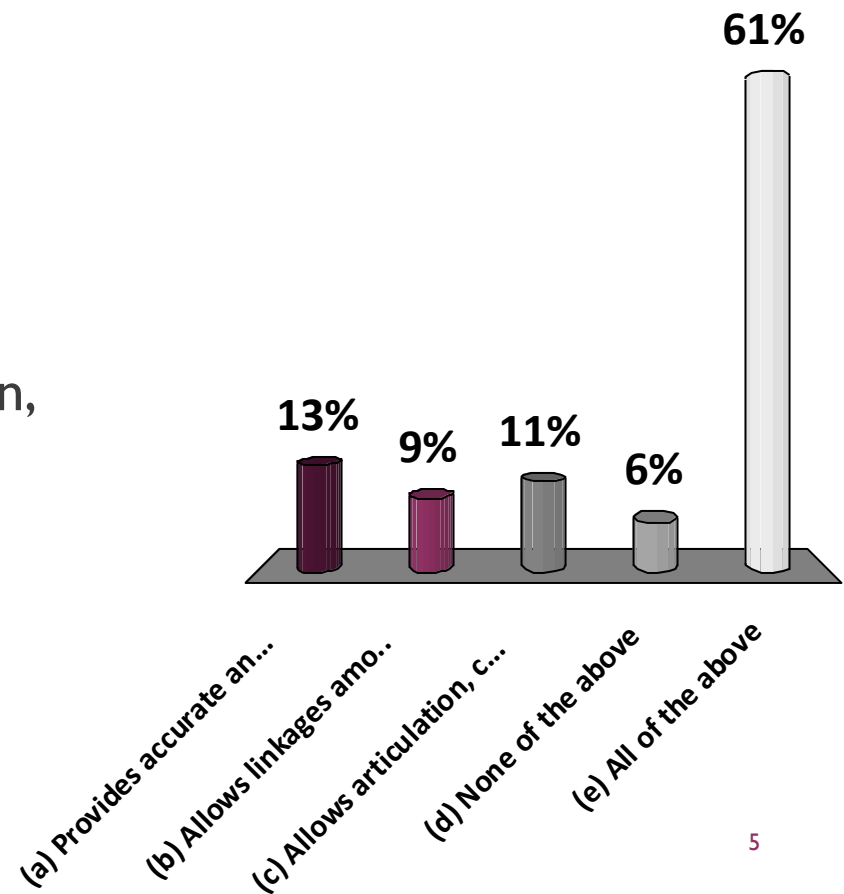
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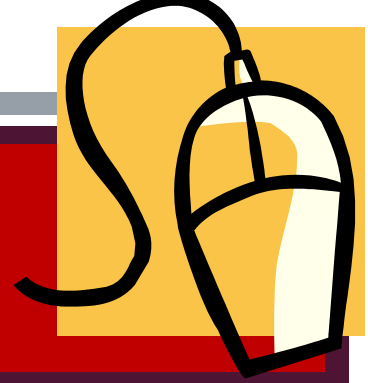
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## CLICKER QUESTION



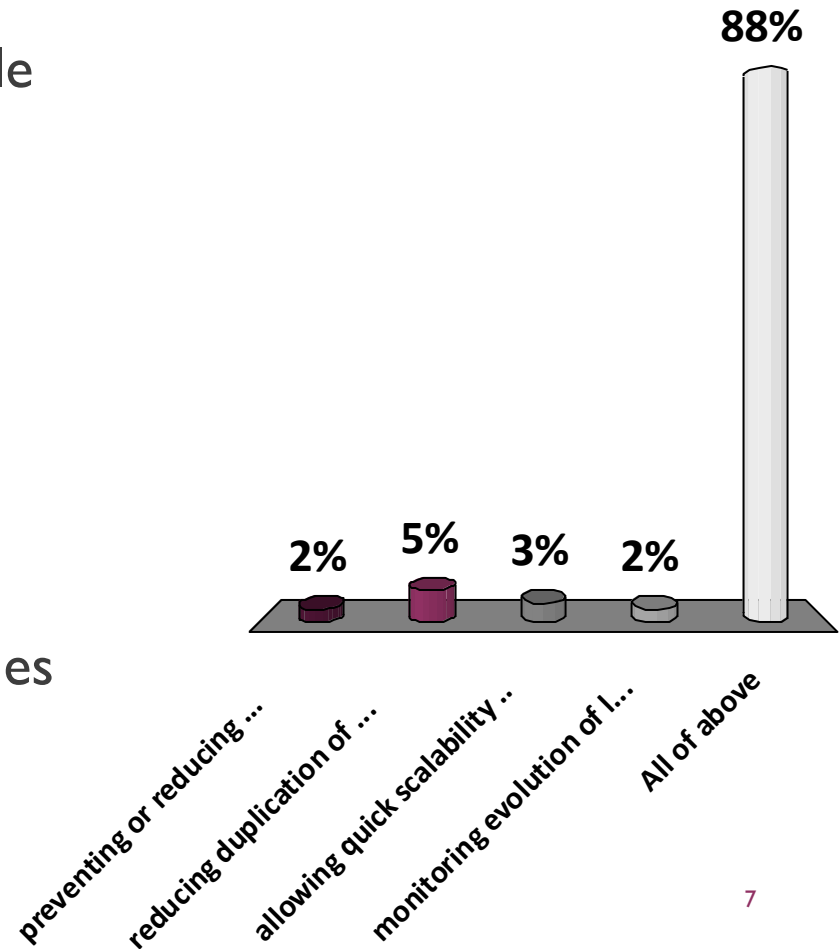
### ■ **What do we expect:**

Your answers:

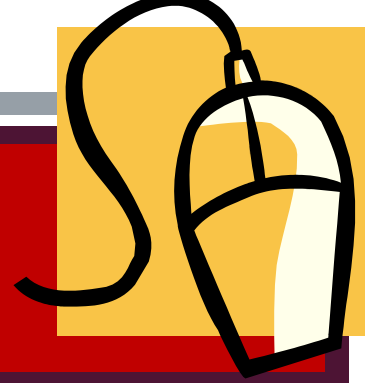
- (a) preventing or reducing undesirable duplication of benefits
- (b) reducing duplication of administrative costs across programs
- (c) allowing quick scalability of social programs in times of crisis or shocks to mitigate its impact
- (d) monitoring evolution of living conditions of potential beneficiaries over time
- (e) All of above

# WHAT DO WE EXPECT:

- (a) preventing or reducing undesirable duplication of benefits
- (b) reducing duplication of administrative costs across programs
- (c) allowing quick scalability of social programs in times of crisis or shocks to mitigate its impact
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## CLICKER QUESTION



### ■ **My country :**

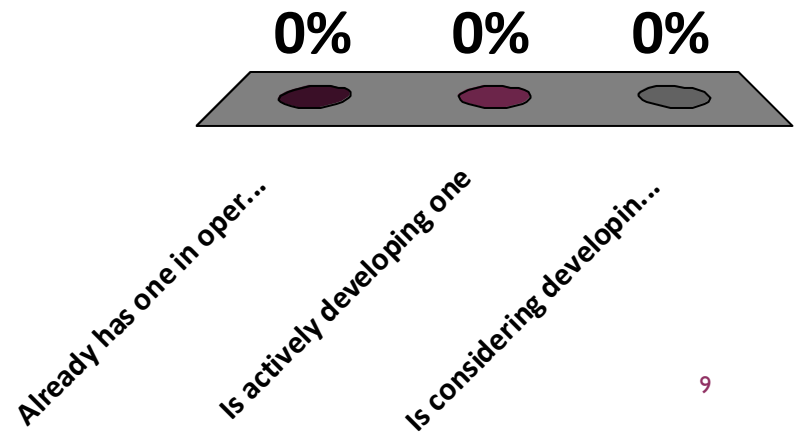
Your answers:

- (a) Already has one in operation
- (b) Is actively developing one
- (c) Is considering developing one

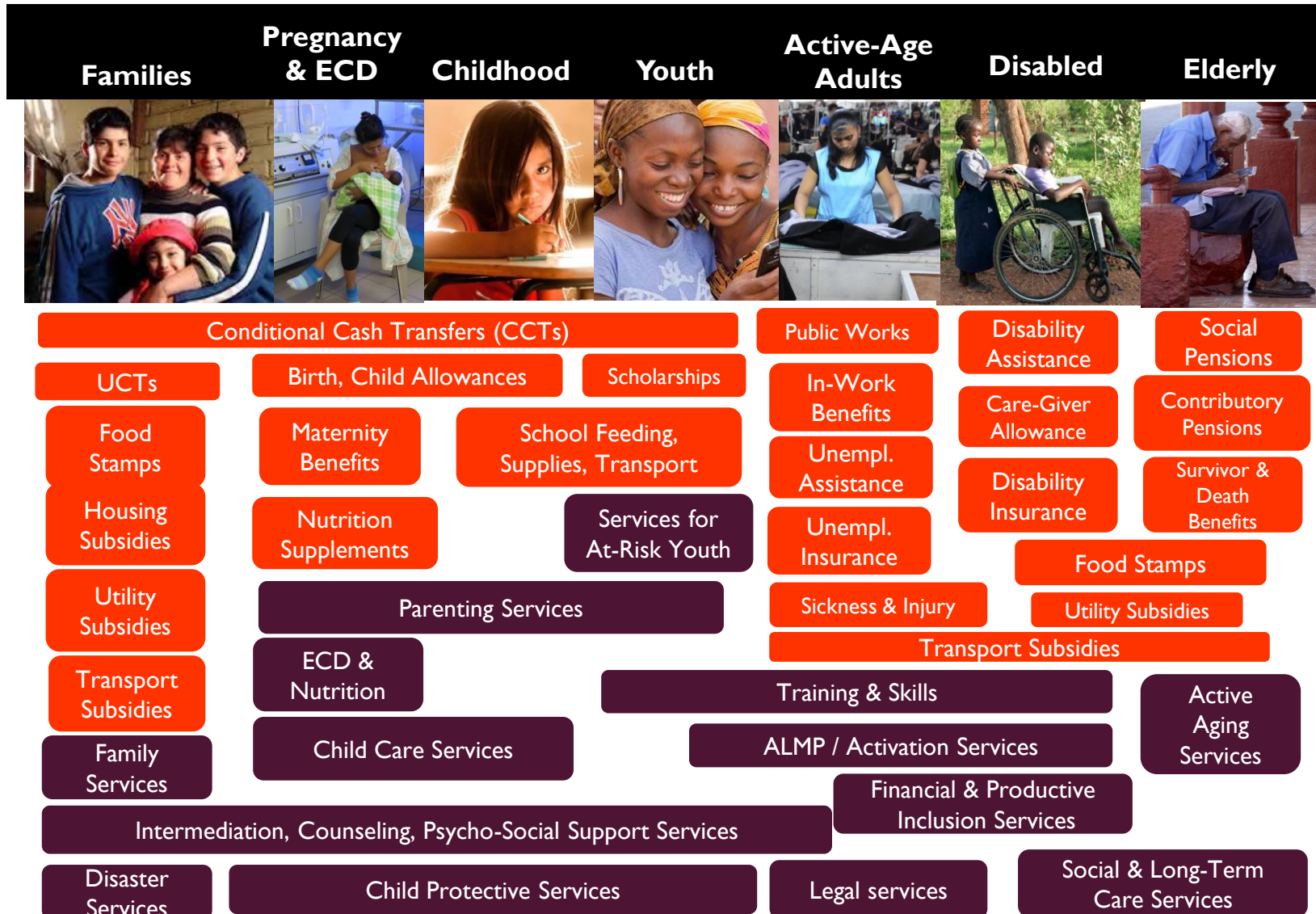


## MY COUNTRY :

- A. Already has one in operation
- B. Is actively developing one
- C. Is considering developing one



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



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

Many

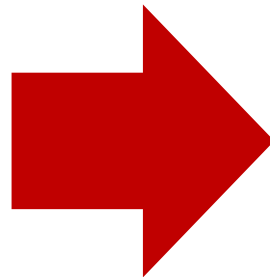


- ◆ Separate programs delivered in “silos”
- ◆ Sharing common target population
- ◆ Lack of coordination to take advantage of synergies
- ◆ With separate management and delivery by different institutions, sectors and administration levels.
- ◆ Each intervention with its own requirements, operating rules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

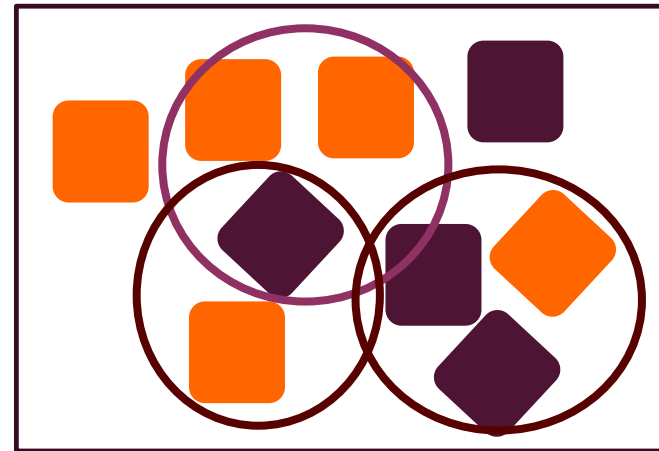
=> Many agencies, many programs, and lots of resources, but not enough results on improving well-being of the poor and vulnerable.

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

Many separate social programs



Integrated Systems



# FROM PROGRAMS TO SYSTEMS

## For Effectiveness Of Programs

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

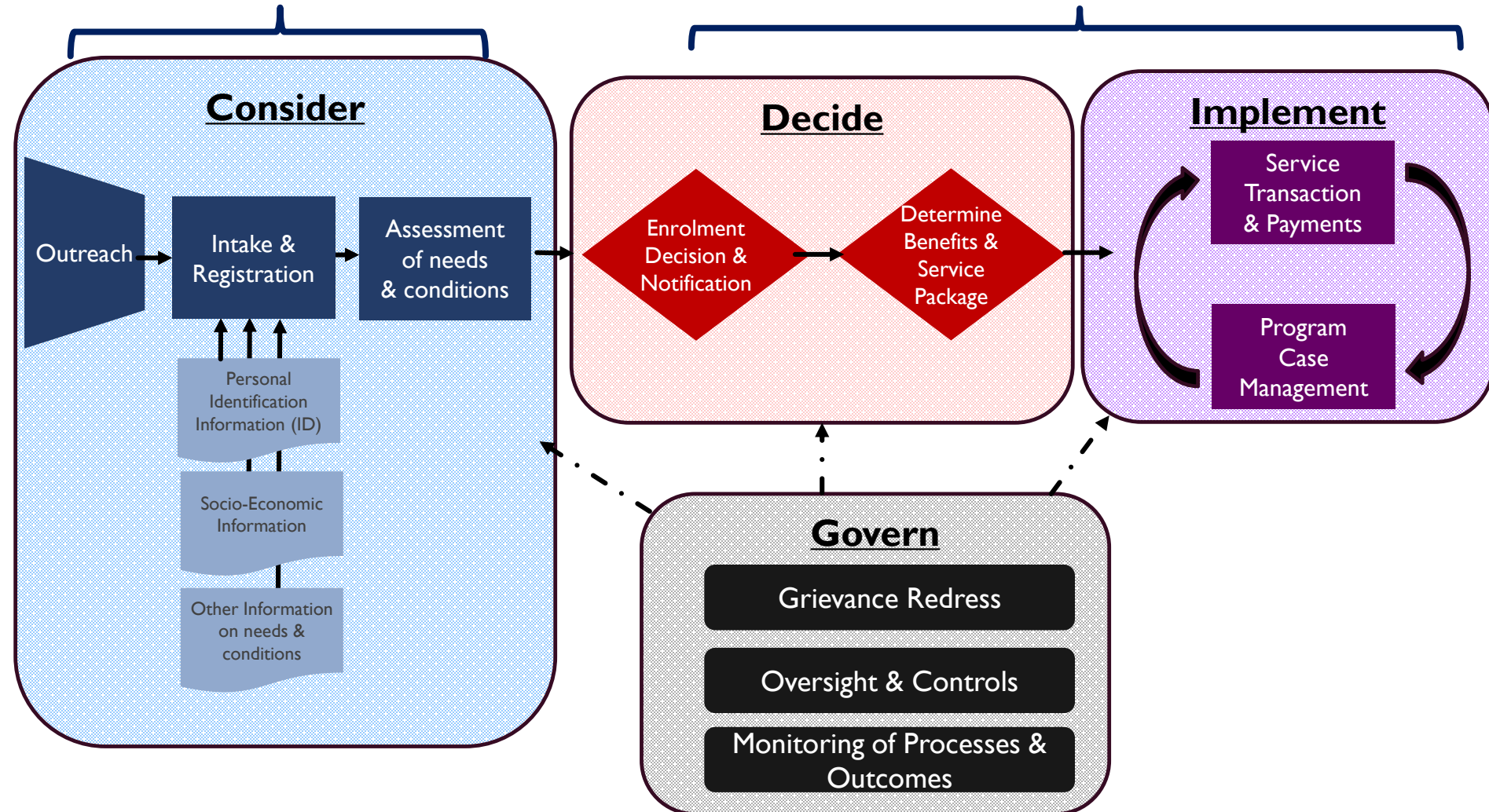
## For Efficiencies In Processes & Service Delivery

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

# Delivery Chain: Most social programs pass through similar implementation phases or “business processes”

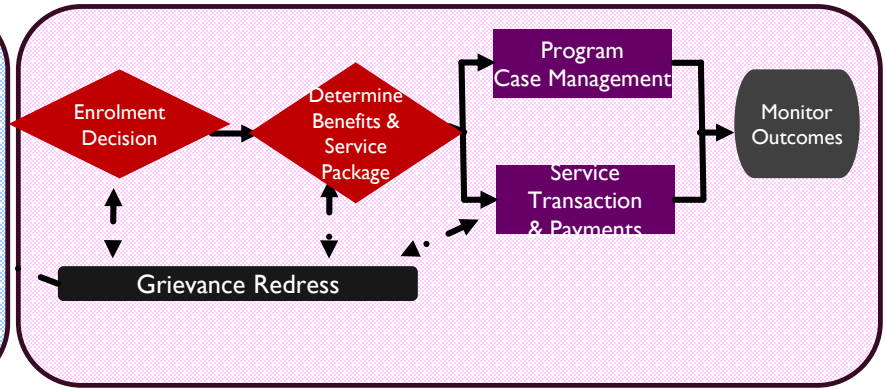
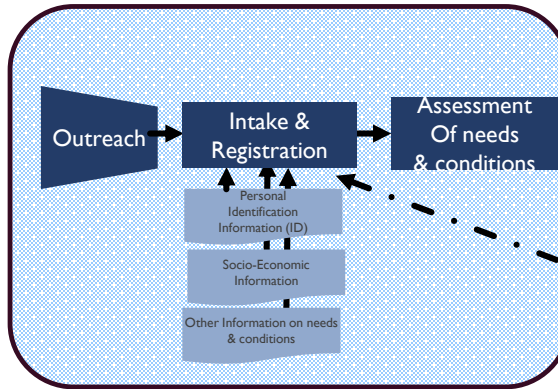
## Business Processes for Determining Eligibility (Population = all clients / potential beneficiaries)

## Business Processes for Program Delivery (Population = beneficiaries)

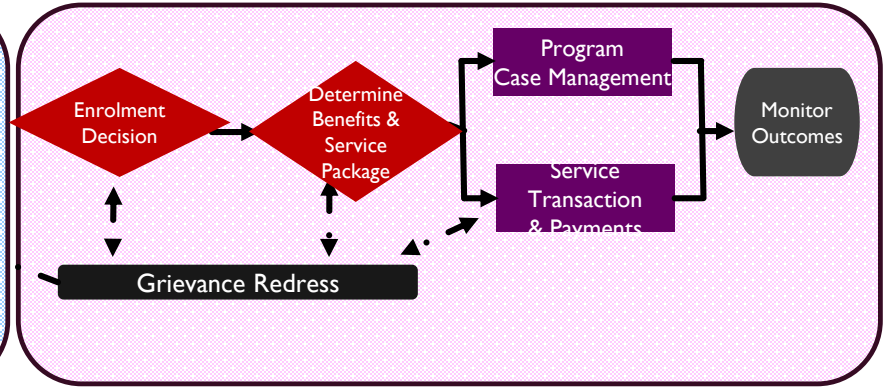
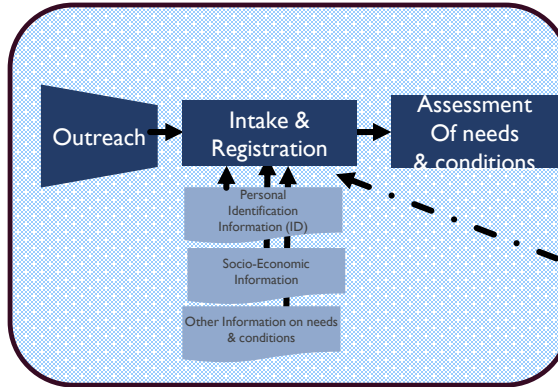


# Instead of operating in a parallel & fragmented manner, these commonalities can present opportunities for “Integration”

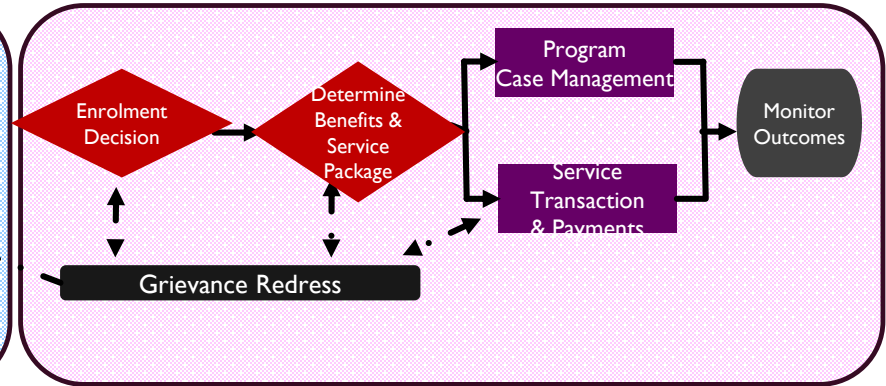
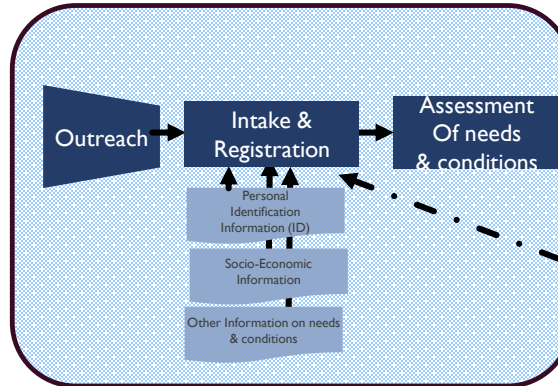
**Program 1**



**Program 2**



**Program 3**



# WHAT **ARE** SOCIAL REGISTRY INFORMATION SYSTEMS?

- **Social Registries are full information systems**
- SRIS support registration and eligibility determination for social programs.
  - More specifically, they underpin the implementation phases of outreach, intake & registration, and assessment of needs and conditions for the purposes of determining potential eligibility for enrolment in selected social programs.
  - Such programs can be targeted to the poor and vulnerable and/or made universally available to categorical groups of the population, such as children, elderly, disabled and widows.



# BASIC CONCEPTS

- Because “Social Registries” contain the term “registry,” they are often mistakenly interpreted as “just lists” or “just a database.”
- However, it is a dynamic system for registration and eligibility determination requires a full business process system of a delivery chain including system that includes:
  - (a) business process management (e.g. registering applicants, determining potential eligibility and processing grievances);
  - (b) information processing (e.g. data collection, storage, transformation, verification, validation, update, and exchange); and
  - (c) analytical support (e.g. queries, monitoring and reporting).
- “Social Registries” are dynamics systems that evolve over time, with diverse trajectories

# Dynamic Social Registry Systems



## The Challenge of Static programs:

- Eligibility based on a static “list” of beneficiaries – often for many years
- Potential new beneficiaries can’t apply for benefits
- Lack of mechanisms for grievances and appeals
- Inadequate mechanisms to monitor and exclude ineligible and make room for newly eligible
- Not agile to respond to changing circumstances (adaptability)

## Developing Dynamic Systems:

- Principle of continuous access for dynamic inclusion
- Tools for on-demand entry with active outreach
- Protocols and tools for active updating and regular recertification
- Capabilities and protocols for appeals, grievances
- Strengthened tools for oversight, controls, and monitoring
- Agile to respond to crises (adaptability)

# BASIC CONCEPTS

- Social Registries can be used for single or multiple social programs.
  - There are many advantages to using “Unified” Social Registries for multiple user programs, including enhancing effectiveness and synergies of programs, improving efficiency and reducing the costs of registration and eligibility (both for providers and for applicants), and promoting social policy coordination.
- Social Registries are distinct from Beneficiary Registries.
  - Social Registries contain information on all applicants (eligible or not) for the purposes of determining potential eligibility for social programs – with no guarantee that application or inclusion in the Social Registry would provide any entitlement to any program. In contrast, Beneficiary Registries track information on beneficiaries of specific programs based on program enrolment decisions.

# Information Systems support key Business Processes all along the Delivery Chain for Social Programs

Client Information Systems  
(Transactions)

Data Analytics,  
Monitoring, Reporting

## Social Registry Information System (SRIS)

### Objectives:

Intake, eligibility,  
coordination, monitoring

### Population

= all applicants

## Beneficiary Registry

### Objectives:

Track beneficiaries & benefits  
Support payments,  
Monitoring,  
Coordination to detect  
duplications, gaps;  
NOT for eligibility  
determination

Population = beneficiaries  
of specific programs

## Information Systems To Support Implementation & Case Management

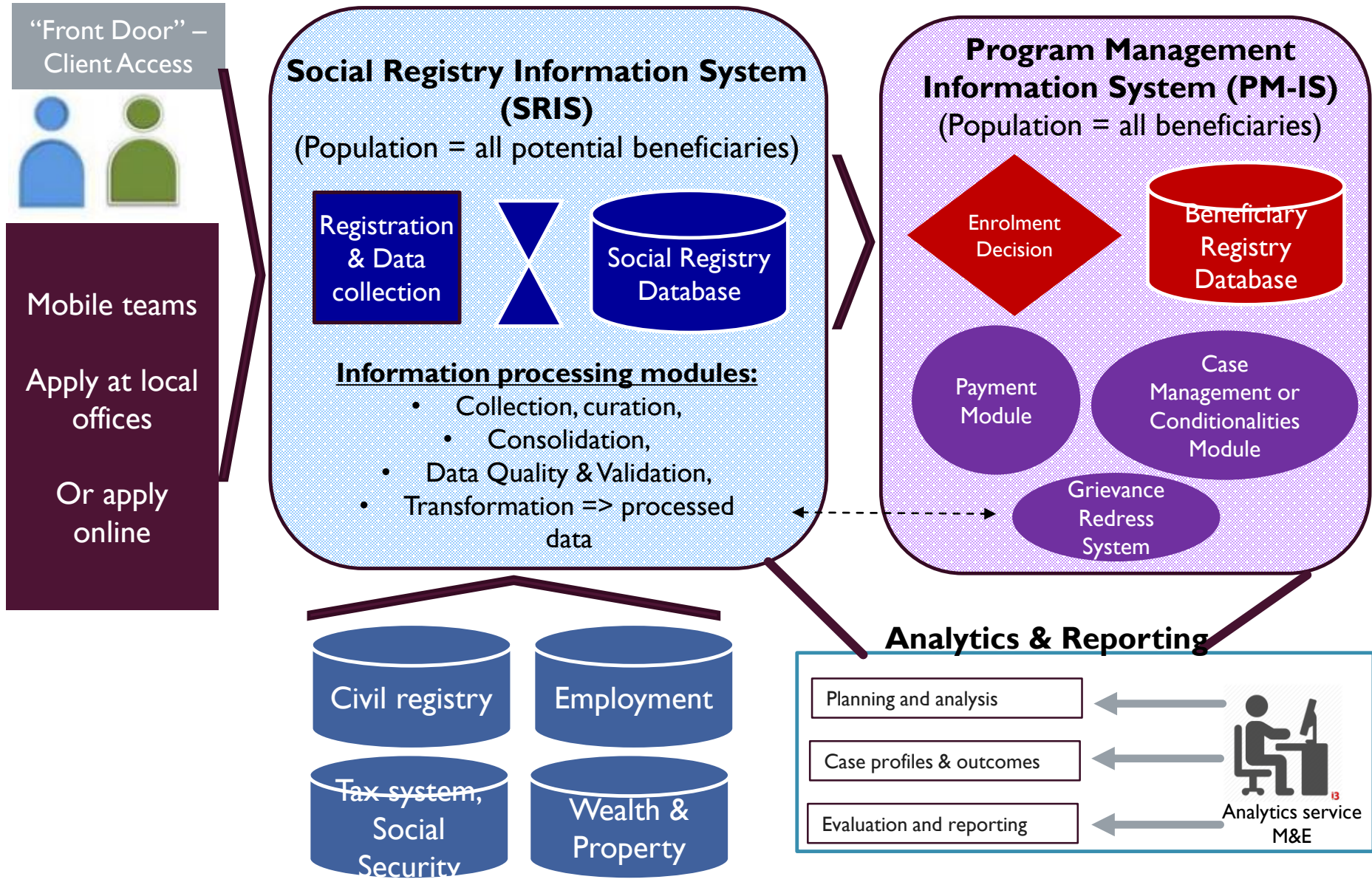
### Objectives:

Payments  
Conditionalities monitoring  
Case Management

### Population

= beneficiaries, depending on  
level of complexity

# SRIS: Basic Architecture



# SRIS GATHER DIFFERENT TYPES OF INFORMATION NEEDED TO ASSESS APPLICANTS FOR NEEDS AND CONDITIONS, SUCH AS:

## Identifying Information

- Individual information for household members such as name, birth date, gender
- Relationship with the head, marital status, (sometimes) race
- Possession and number of ID

## Socio-Economic Information

- Self-reported and/or verified information on incomes for each member
- Education, health and Employment status of each individual

## Information on housing & Household Assets

- Housing characteristics such as type of housing, material of housing, connection to services (water, electricity) ...
- Self-reported and/or verified information on assets

## Other Information

- These can include the following (though sometimes this information is collected outside the SRIS)
- Disability of household members
  - Registration with employment agencies (when relevant and/or separate)
  - Distance to services (schools, health centers...)
  - Food security status

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

# Social Registries to serve as a “gateway” for multiple programs

Single Window  
for Client  
Access



Are visited by  
mobile teams

Or apply at  
local offices

Or apply  
online



## Unified Social Registry Information System (U-SRIS)

(Population = all potential beneficiaries)

Registration  
& Data  
collection



Social Registry  
Database

### Information processing modules:

- Collection, curation,
  - Consolidation,
- Data Quality & Validation,
- Transformation => processed data

DATA

Program Management  
Information System



DATA

Program Management  
Information System



DATA

Program Management  
Information System



DATA

Program Management  
Information System



DATA

Program Management  
Information System



DATA

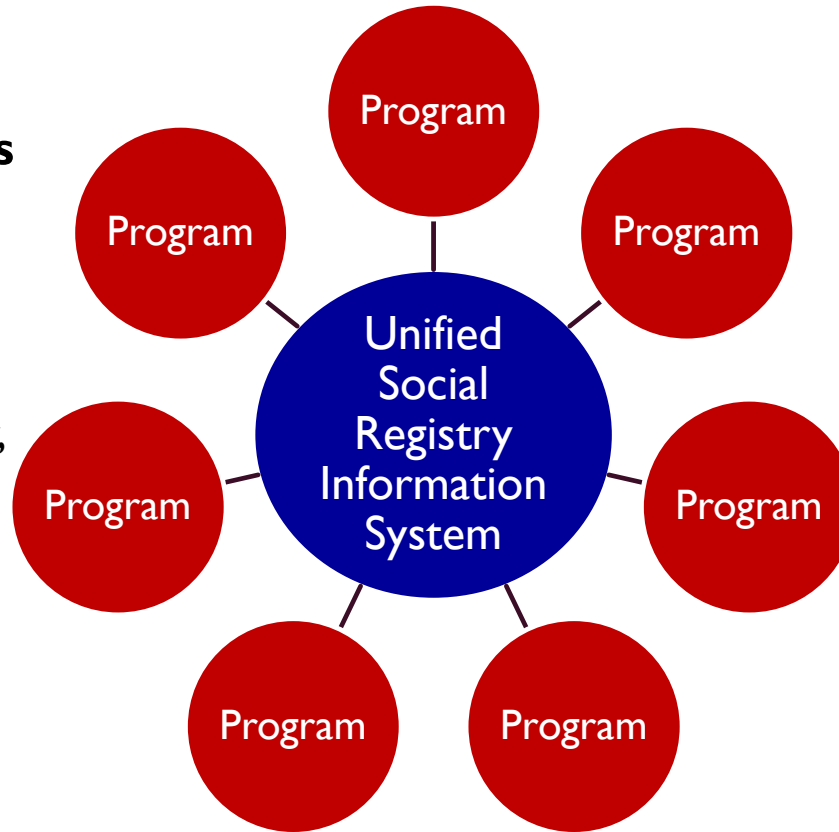
Program Management  
Information System



# PRINCIPLES OF A DYNAMIC UNIFIED SOCIAL REGISTRY INFORMATION SYSTEM

## • Gateway for Multiple Programs

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



## • Coordination, Monitoring & Reporting

- “Living Census” of the poor and vulnerable
- Helps monitor the “demand” for social programs for planning, budgeting, coordination
- Tool for transparency & accountability

## ■ Dynamic System

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



# Inherent Tensions: Culture of Information Sharing vs Information Confidentiality, Security

## Principles:

- Culture of sharing and joint problem-solving for integration & interoperability
- Combined with principles of “minimal sharing” (need-to-know basis)) needed to achieve objectives
- Plus clear rules and protocols for authorization, access, updating, confidentiality, privacy and security

Information  
Sharing &  
Interoperability

Information  
Confidentiality  
& Security

## Concrete Tools:

- National legal policy, legislation, and regulatory framework for information security (access, use, content, encryption, standards, emergency management & backup)
- MOUs and data sharing protocols for access, use, content, etc.
- Implementing Strong Access Restrictions: Levels of access (need-to-know basis); assign and track all access to computers and data systems within the ID environment; and Restrict physical access to all data.
- Network security: Install and maintain a firewall configuration to protect data; and Implement an encryption standard for data both in transit and at rest

# THE IMPORTANCE OF UPDATING INFORMATION

## By Type of Information Collected

- **No Updating Needed:** Some types of data never need to be updated (such as name of your parents or your permanent ID number)
- **On-Going Updating Needed:** Some types of data need to be updated on an on-going basis if there are changes (such as address, household / family composition, births, deaths - or employment status)
- **Less Frequent Updating:** Some types of data get updated less frequently - but information can not be "old"/outdated.
  - Some countries require very frequent updating (e.g., ECA)
  - Other countries update infrequently (such as every 4-5 years with census survey sweep (Philippines, Pakistan, Indonesia))
  - Others require people to come recertify every two years, recognizing the chronic nature of poverty such as Brazil BFP and Cadastro Unico.
  - Some also make adjustments by type of target group depending on how frequently their socio-economic status would change (e.g., US food stamps)

## By Source or Method of Data Collection

- Increasingly, systems /programs are allowing for (inviting) online updates, which can be more frequent
- When the source of data is "data exchange" with other info systems, updating CAN be more frequent:
  - If the info in those other systems is updated regularly and with accuracy.
  - If that is the case, then the updating is dependent on the frequency of updates by type of data - e.g., monthly (salary, employment info), quarterly, annually (tax), etc.

# What do we mean by “Integration” and “Interoperability?”

- In Social Policy, **“Integration”** can have many meanings and “degrees:”
  - “Consolidating” or “Unifying” programs or systems, for example:
    - Fully merging multiple programs into a single program (as was the case when four programs were consolidated into one, to create the Bolsa Familia Program in 2003)
    - Fully unifying systems into a single common system (such as the creation of a Unified Social Registry as a common gateway for registration and eligibility for multiple programs)
  - “Linking or connecting” of people to multiple programs or of systems to each other, for example:
    - Adopting an “Integrated Approach” to social policy by connecting people to multiple benefits and services (e.g., via referrals, integrated service centers, etc.)
    - Connecting processes, components or systems for coordinated service delivery
- **“Inter-operability”** is the ability of two or more independent systems to communicate and function together by sharing information and using that information to make better decisions
  - Inter-operability recognizes that the entities are separate
  - But requires clear “rules of the game” and tools for operating together

# As such, many countries have developed Unified Social Registries to serve as a “gateway” for multiple programs

Single Window  
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Access



Are visited by  
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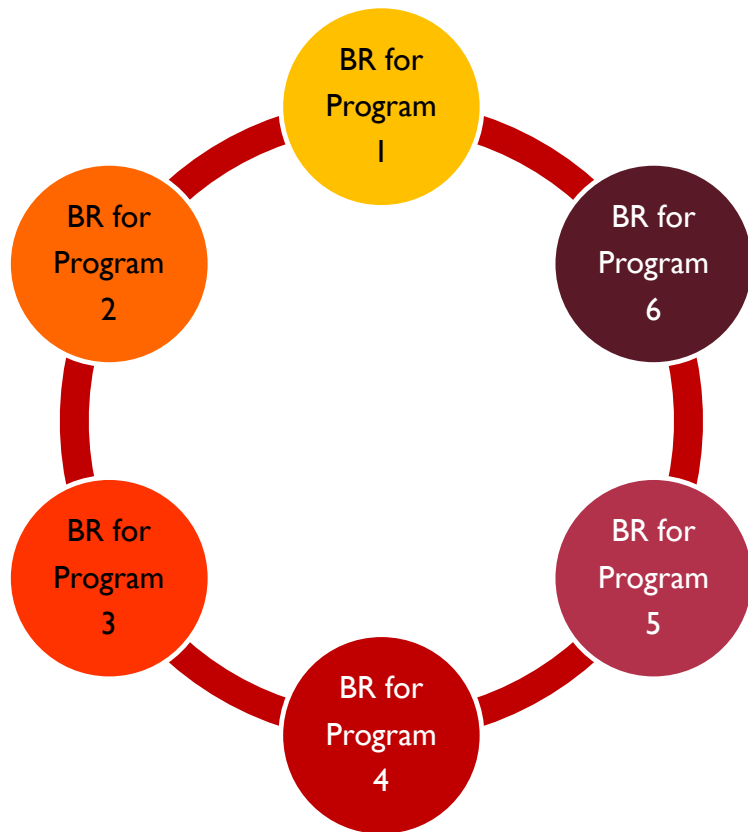


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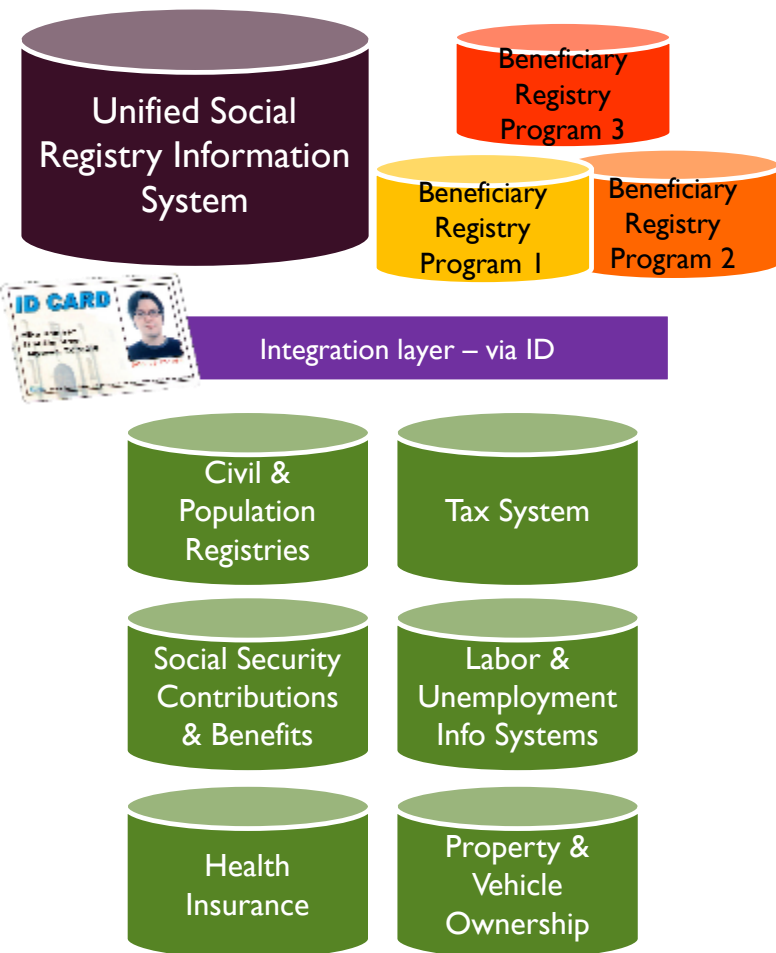


# Countries also “link” beneficiary registries across programs for the purposes of coordination



- Linking “back-office” administrative information on beneficiaries and benefits across programs (and agencies)
- This facilitates coordination, monitoring, and tracking of receipt of multiple benefits and services across programs
- This type of Interoperability requires:
  - Linking via unique identifier (unique ID or alternate identifiers)
  - IT systems that can communicate with each other
  - Data sharing protocols between agencies
- Need a “culture of sharing” ... but also principle of sharing “minimal” information across programs – intersection only and with consent

# Interoperability of social information systems with other information systems (data exchange ~ linking information systems)



Etc.

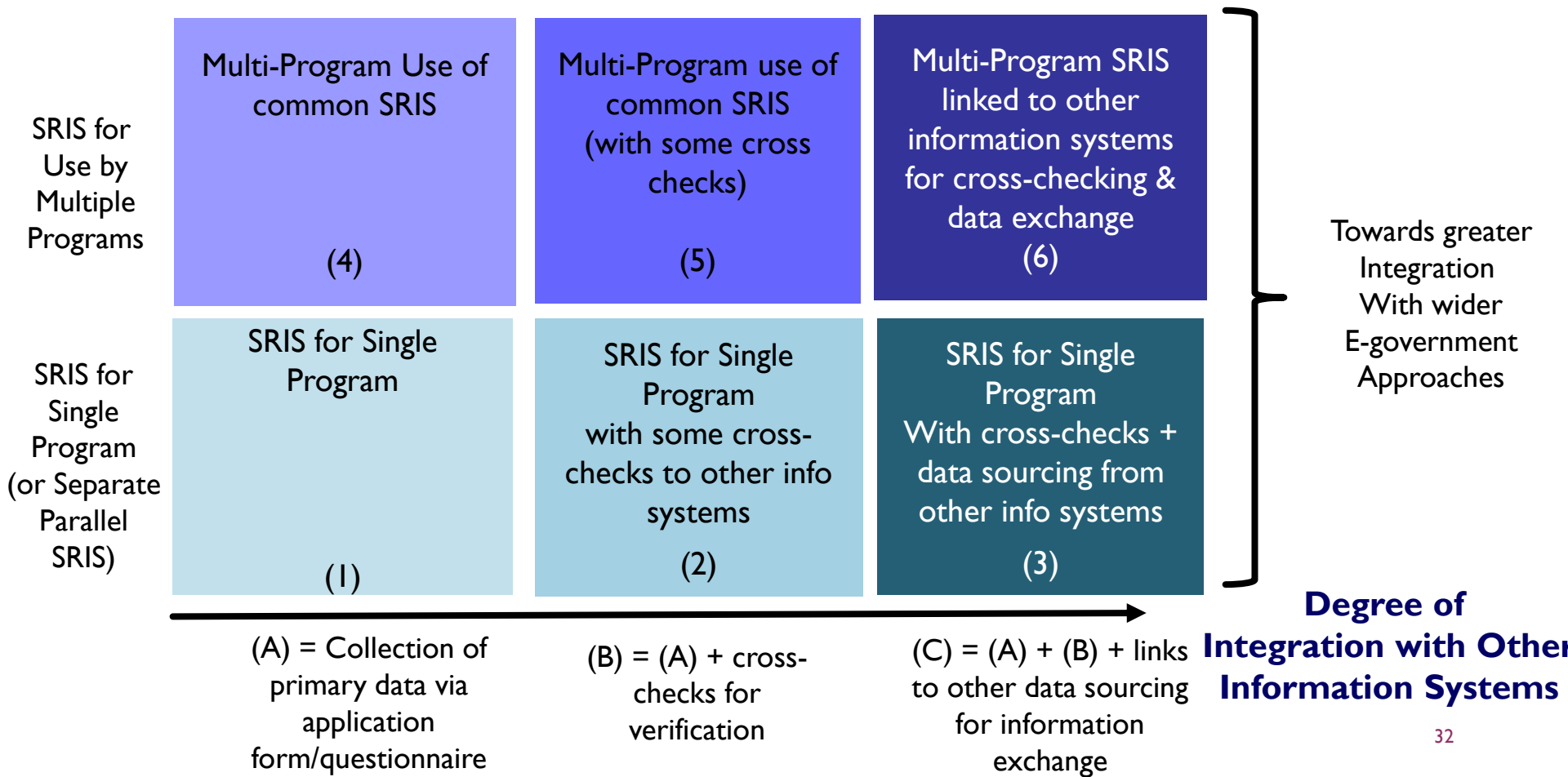
- This facilitates:
  - Authentication (ID)
  - Quality of information (cross-checks, verification)
  - Data sourcing ... and reducing the amount of information that must be provided by applicants
  - Analytics, coordination, broader policy view
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# The challenge of interoperability across information systems in the absence of a Unique ID



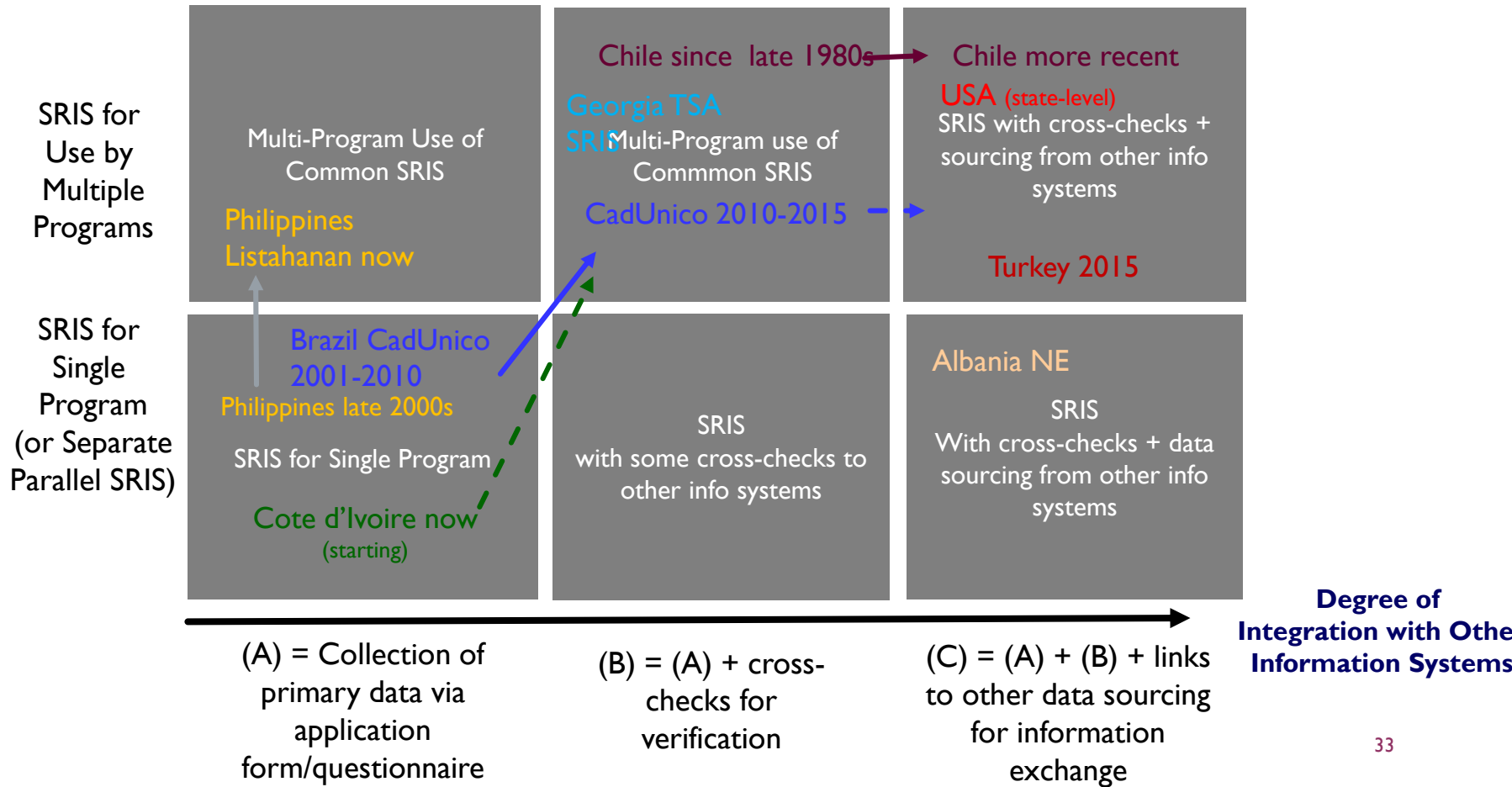
- Many countries lack a national “Unique ID” (foundational ID)
  - Within a single program – or a single system (such as a unified social registry), the “workaround solution” has been to assign a functional ID to individuals and families.
    - This isn’t ideal, but it works – and many countries with fairly advanced systems have been using this “workaround” solution
    - Albeit with imperfect ability to authenticate and ensure uniqueness, which can result in fraud and errors – as well as the multiplicity of costs of assigning and distributing numerous ID cards
  - The limitations of not having a national Unique ID become even more apparent when trying to link information across separate information systems, i.e., with interoperability.
    - Unique ID is really the KEY to unlocking the system in terms of linking data across information system
    - Workaround solutions – such as crossing data with multiple “alternate identifiers” are suboptimal
- There are many advantages to having a Unique ID: interoperability across info systems, ensuring uniqueness, efficient authentication, increased outreach for coverage of the poor, potential for continuous updating based on frequent data exchange, lower overall costs of identification in the long-run

# SRIS take different forms (**Typology**) depending on whether they serve one or multiple programs and the degree of linkages with other information systems





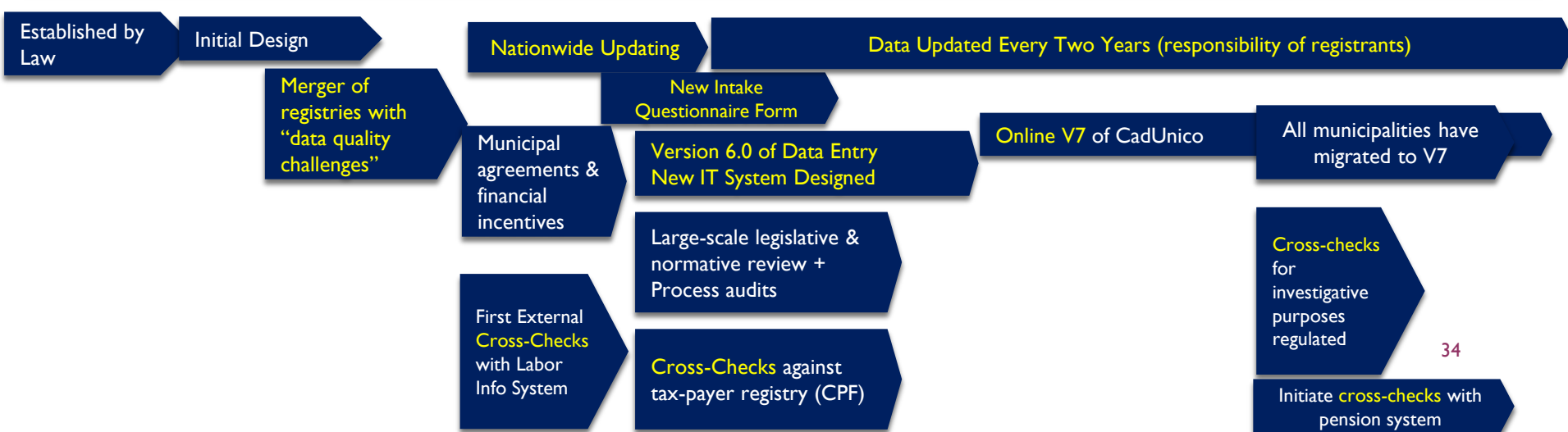
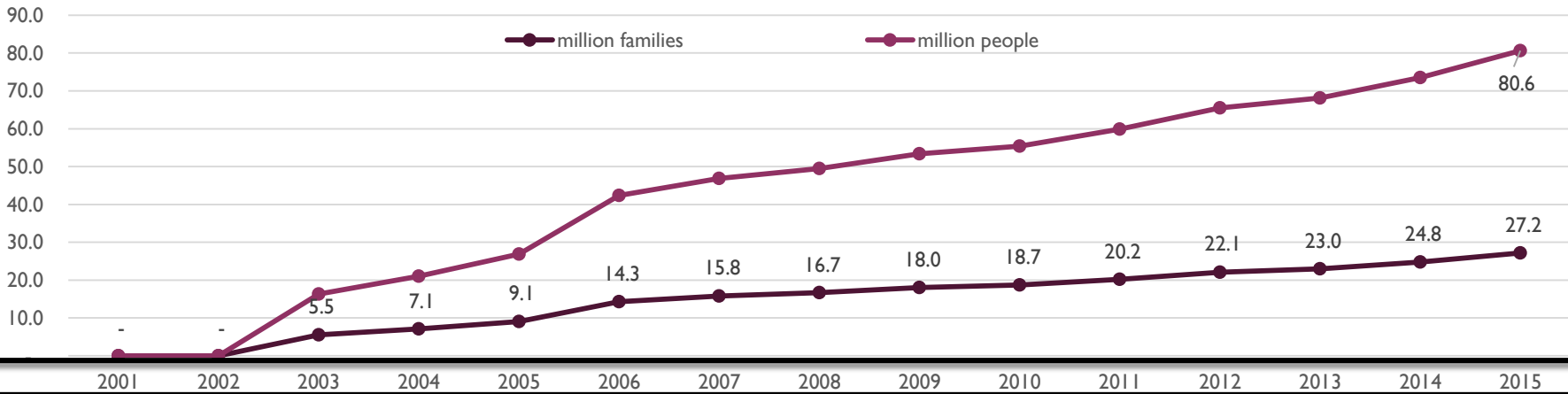
# And SRIS evolve over time (mapping of Trajectories)





# Evolution of SRIS: Example of Brazil's Cadastro Unico (Social Registry)

Coverage of the Cadastro Unico





# PHILIPPINES LISTAHANAN: GATEWAY FOR MULTIPLE PROGRAMS (EXAMPLES)

Social  
Pension  
(DSWD)



Pantawid  
Pamilyang  
Pilipino  
Program

Subsidized  
Health  
Insurance  
(DOH)

Sustainable  
Livelihoods  
(DSWD)



Food  
Assistance  
Typhoon  
Yolanda

Rural  
Electrification  
(DOE)

15.3 mn  
Households  
In Listahanan  
(2015)



Employment,  
Training,  
Internships  
(DOLE)

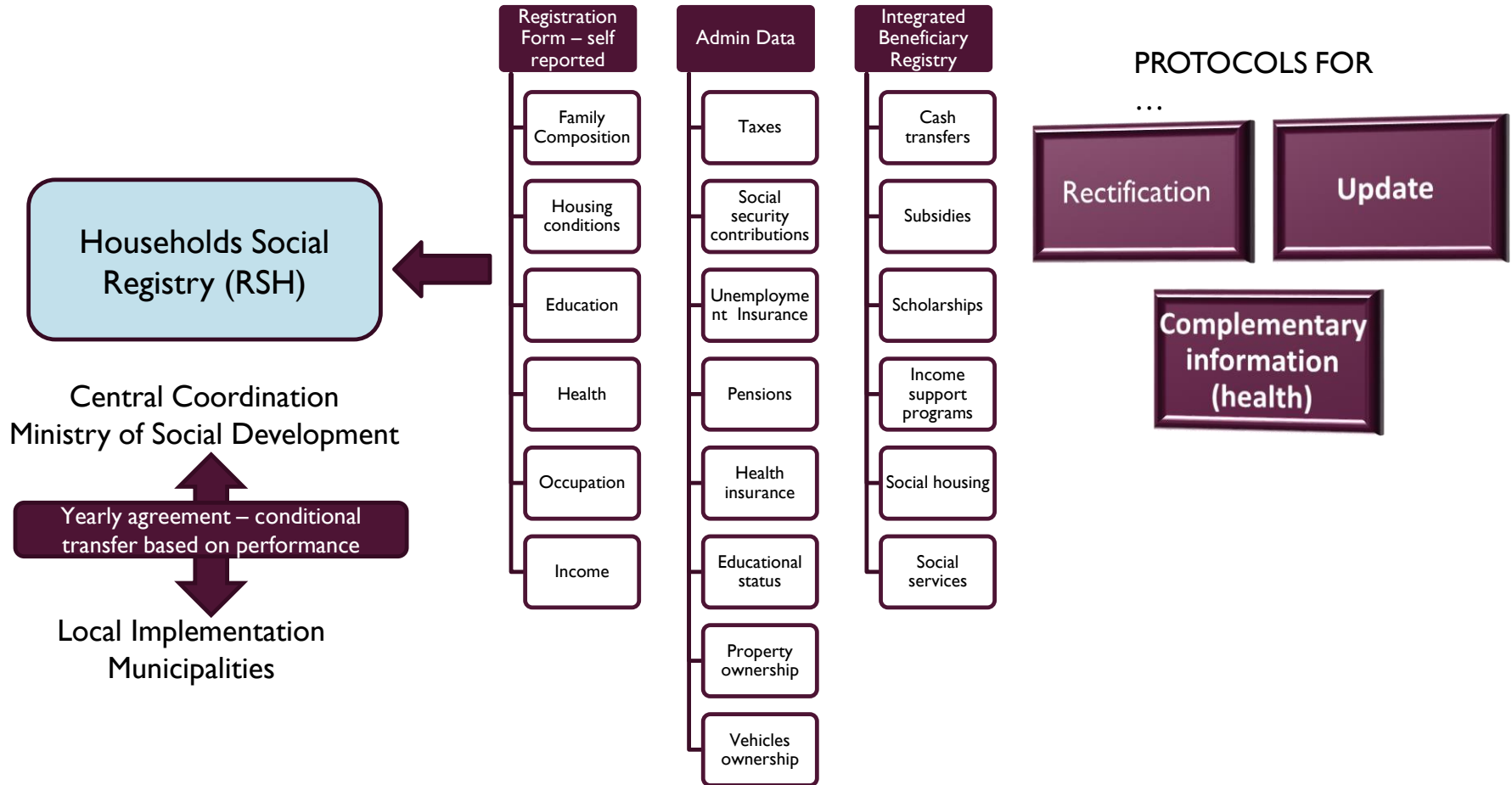
Shelter  
Housing  
(NHA)

Sub-  
National  
Agencies

Student Grants  
(CHED)

Special Training  
for  
Employment  
Program  
(STEP/TESDA)

# CHILE'S SOCIAL REGISTRY OF HOUSEHOLDS (RSH)



# MULTI-PROGRAM INFORMATION SYSTEMS: DIFFERENT STARTING POINTS, DIFFERENT TRAJECTORIES



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

## The Philippines

2007-08 → 2015

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

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

## Brazil

2001-03 → 2015



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

## Chile

1980s & 90s → 2000-10 → 2015

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

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

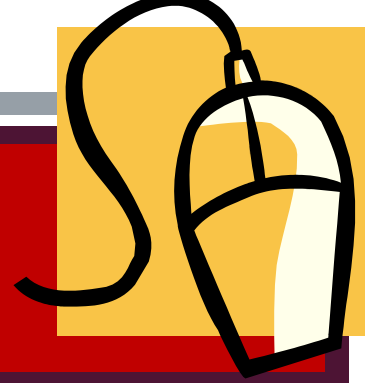


Integrated Social Information System (SIIS) 12.6 million unique registrants Covering 74% of pop

# Establish a Social Registry

- **Registration:** Which institution is responsible? Who will collect the information?
- **Management:** Which institution is responsible? Who will control the information?
- **Re-certification:** Which the institution is responsible? When should this information be updated?
- **Legal Framework:** Do we have a legal framework that enables the exchange of information between the institutions involved in the new system?
- **Institutional arrangements:** Which institutional framework is needed

## CLICKER QUESTION



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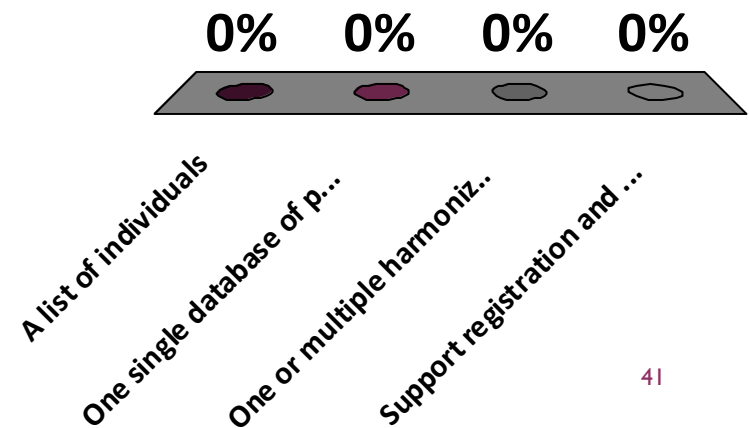
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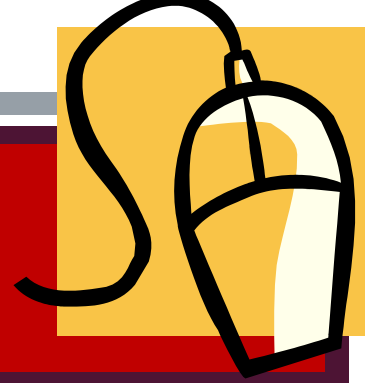


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- (b) Allows linkages among multiple programs for which the potential beneficiaries **can be** eligible;
- (c) Allows articulation, coordination, harmonization and complementarities of social programs
- (d) None of the above
- (e) All of the above

# WHY IS IT IMPORTANT:

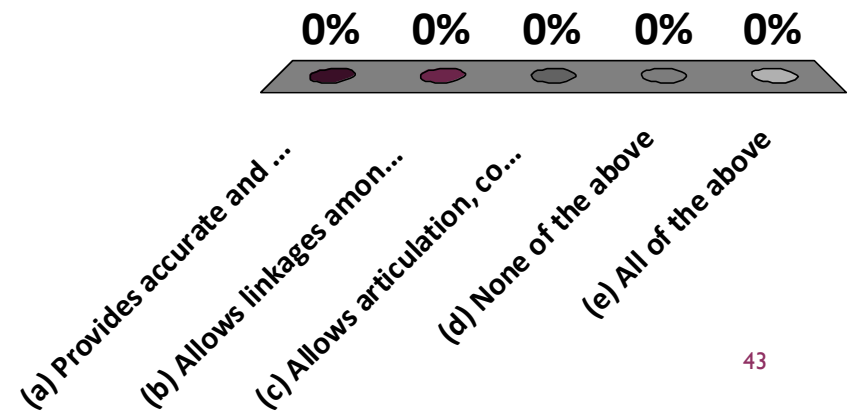
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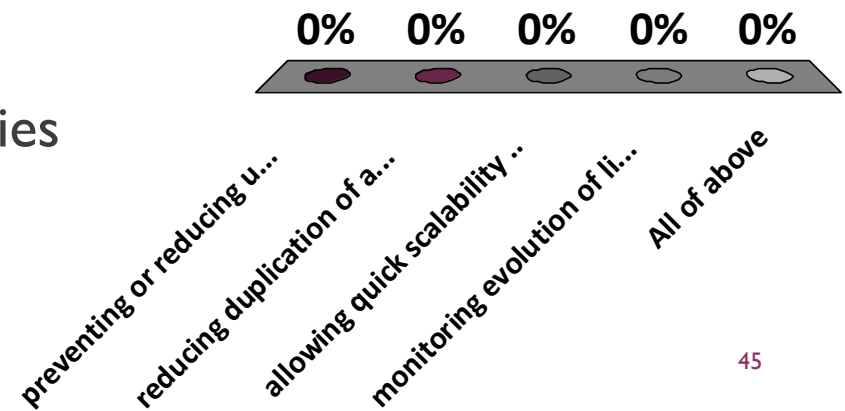
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Your answers:

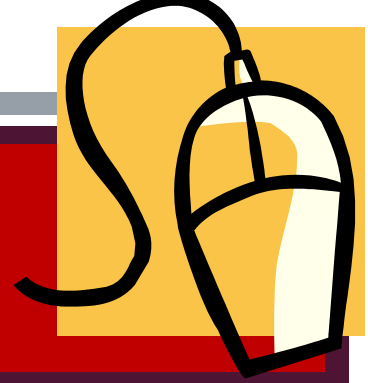
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- (b) reducing duplication of administrative costs across programs
- (c) allowing quick scalability of social programs in times of crisis or shocks to mitigate its impact
- (d) monitoring evolution of living conditions of potential beneficiaries over time
- (e) All of above

# WHAT DO WE EXPECT:

- (a) preventing or reducing undesirable duplication of benefits
- (b) reducing duplication of administrative costs across programs
- (c) allowing quick scalability of social programs in times of crisis or shocks to mitigate its impact
- (d) monitoring evolution of living conditions of potential beneficiaries over time
- (e) All of above



## CLICKER QUESTION



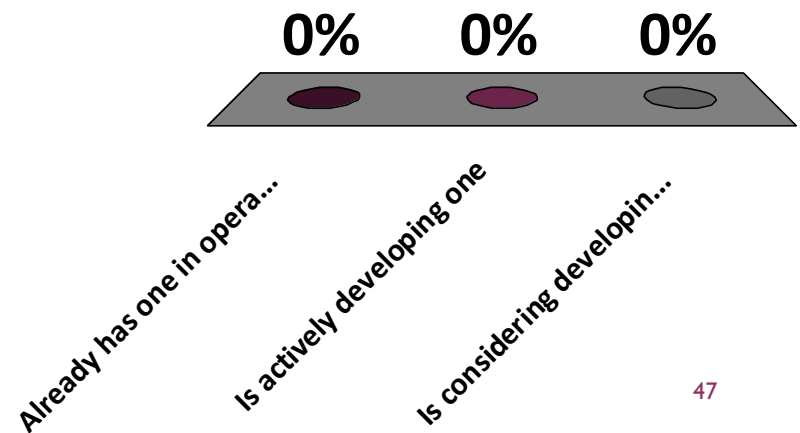
### ■ **My country :**

Your answers:

- (a) Already has one in operation
- (b) Is actively developing one
- (c) Is considering developing one

## MY COUNTRY :

- A. Already has one in operation
- B. Is actively developing one
- C. Is considering developing one



## CONCLUDING REMARKS:

1. Many countries seek to “Integrate” their social programs to improve effectiveness and efficiency – and reduce fragmentation
2. Most social programs (benefits and services) pass through similar implementation phases along the delivery chain
3. This provides opportunities for integration – either by sharing common processes and systems or by linking systems
4. In the area of social programs, there are many opportunities for interoperability of information systems, including the SRIS, which can be used by Single or Multiple Programs.



## CONCLUDING REMARKS:

5. SRIS are dynamic systems that evolve over time, and take time to mature.
6. The trajectory of this evolution and integration varies across countries.
7. Institutional Arrangements. Another aspect which differs significantly across countries is the institutional set-up for operating Social Registries.
8. Degree of Inter-Operability with Other Information Systems. Another key dimension that can characterize different types of Social Registries is their integration within a broader e-governance framework and the degree of inter-operability with other information systems.



THANK YOU