



REPUBLIC OF KENYA
MINISTRY OF LABOUR AND SOCIAL
PROTECTION

SINGLE REGISTRY DATA SHARING
PROTOCOLS



ACKNOWLEDGEMENT AND RELEASE NOTICE

The government has made great strides in implementing social assistance programmes as part of the implementation of the broader protection policy. Notable achievements include the strengthening and scaling up of the social assistance and putting in place institutional frameworks for their coordination. A case in point is the establishment of the Single Registry (SR). In this respect, the government has already established linkages with the SR and other services providers, including the National Health Insurance Fund (NHIF), providing support to a sub-set of the National Safety Net Programme (NSNP) beneficiaries and the Food-for-Assets Programme, funded by the World Food Programme (WFP).

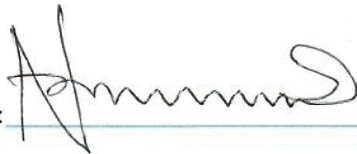
National Social Protection Secretariat (NSPS) is currently making efforts to explore the ways in which linkages with other categories of social protection (i.e. social security, productive inclusion etc.) can be strengthened, coordination between the different categories of social protection can be improved, and appropriate graduation strategies from social assistance can be established. Part of the strategy is coordination and partnerships with different service providers for delivery of broader social protection services to NSNP beneficiaries for improved welfare and economic self-sufficiency.

As part of ensuring that there is a systematic coordination with service providers, the NSPS has developed a complementary module in the SR to analyse the characteristics of NSNP beneficiaries who may be eligible for complementary services provided by other service providers. The development of the additional module is part of the Government of Kenya and World Bank agreed Disbursement Linked indicators to strengthen social protection sector. This module will therefore complement the on-going efforts by the Government of Kenya to map complementary services relevant for beneficiaries in the SR and will build the foundation for wider use of SR data usage as a common platform for poverty and vulnerability based social protection programs in the country.

To support the implementation of the SR complementary module, the Data Sharing Protocols have been revised. The original version was developed in 2016. This version 2.0 of the Single Registry Data Sharing Protocols therefore aims to ensure that principles of data privacy and confidentiality underpin the implementation of the social protection complementary services. NSPS acknowledges the support provided by Development Pathways consultants in preparation of this document on a contract arrangement with WFP.

This report is a managed document. For identification and amendments each page contains a version number and page number. This version 2 replaces the version 1 that is in circulation. Recipients should therefore remove superseded versions from circulation and adopt this signed version.

ACCEPTED: _____



(for release)

Mr. Nelson Marwa,
Principal Secretary,

DATE: _____

12. 3. 2019.

GENERAL INFORMATION

Document Owner:	National Social Protection Secretariat
------------------------	--

Document Change Control

Version	Date	Comment	Author
1	6 - May - 2016	Initial version	NSPS and Development Pathways Consultants
2	28 - Nov - 2018	Second version to include complementary services	NSPS and Development Pathways Consultants

Table of Contents

ACKNOWLEDGEMENT AND RELEASE NOTICE.....	2
GENERAL INFORMATION.....	3
1.0 Introduction.....	7
1.1 Warehousing and Complementary Services.....	7
Figure 1: Structure of the Single Registry.....	8
Figure 2: Business Processes of the Single Registry Complementarity Service.....	10
1.2 Institutional Set up.....	11
1.3 Information Usage.....	12
1.4 Data Variables.....	13
2.0 Purpose and objectives.....	14
3.0 Legal Framework.....	15
3.1 Purpose and disclosure.....	15
3.2 Consent.....	15
3.3 Notice.....	16
3.4 Storage of information.....	16
3.5 Distribution of information.....	16
3.6 Information Processing.....	16
3.7 Security.....	16
3.8 Access.....	16
4.0 Operational Procedures.....	17
4.1 Application.....	17
4.2 Assessment.....	18
4.3 Authorisation.....	20
4.4 Use, Retention, Feedback on Usage and Disposal.....	20
Annex 1: Single Registry Data Request Form.....	22
Annex 2: Single Registry Data Request Cover Letter.....	29
Annex 3: Data Protocols Monitoring Form.....	30
Annex 4: Beneficiary Data Sharing Consent Form.....	31
Annex 5: References.....	32

Acronyms

Abbreviation	Description
CFA	Cash for Assets
CTM	Cash Transfer Module
CT-OVC	Cash Transfer for Orphans and Vulnerable Children
DCS	Department of Children Services
DFID	Department of Foreign Affairs and Trade
DFAT	Department for International Development
DSD	Department of Social Development
DSD MIS	Department of Social Development Management Information System [housing the programs: OPCT, People with Severe Disability Cash Transfer (PwSD-CT) & Urban Food Subsidy Program Cash Transfer (UFSP-CT)]
GFD	General Food Distribution
HSNP	Hunger Safety Net Program
IPRS	Integrated Population Registration Service
MoLSP	Ministry of Labour and Social Protection
MIS	Management Information System
NDMA	National Drought Management Authority
NGO	Non-Governmental Organisation
NSPS	National Social Protection Secretariat
OPCT	Older Persons Cash Transfer
PwSDCT	Persons with Severe Disability Cash Transfer Programme
SP	Social Protection
SR	Single Registry
UNICEF	United Nations Children's Emergency Fund
WFP	World Food Programme

Glossary of Terms

Data Subject. This is the person who is the subject of personal data;

Electronic Record. This means a record generated in digital form by an information system, which may be transmitted within an information system or from one information system to another and stored in an information system or other medium;

Person. Has meaning assigned to it under Article 260 of the Constitution of Kenya.

Personal Data. Information about a person including:

- i. Information relating to race, gender, sex, pregnancy, marital status, nationality, social or ethnic origin, colour, age, physical or mental health, wellbeing, disability, religion, conscience, belief, culture, language and birth of an individual;
- ii. Information relating to education, medical, criminal or employment history of the person or information relating to financial transactions in which the person has been involved in;
- iii. An identifying number, symbol, or other particular assigned to an individual;
- iv. The finger prints or blood type of a Person; and
- v. Contact details including telephone number of a Person.

Processing. means automatic, logic or arithmetic operations on data.

Programme Management Information Systems. Management Information Systems (MISs)¹underpin effective social protection schemes, ensuring high-quality delivery of the key operational processes such as registration, enrolment, payments, and grievances. They also play an important role in facilitating and supporting programme monitoring. MISs for social protection programmes can be seen as a reflection of the operational processes of a programme, predicated upon appropriate technology.

Single Registry. This is a warehouse of information linking together social protection sector schemes to provide social protection performance data and reports to programme implementers and policy makers. This policy tool also provides interlinkages to the programme MISs and external databases such as disability, tax and civil registration.

1.0 Introduction

Historically, social protection programmes in Kenya were not well coordinated, programmes were fragmented, presenting duplications and inconsistencies, and led by different agencies – resulting in a lack of efficiency. Over time, there was growing recognition that there should be a systematic approach to data and information management across the sector.

Kenya's Social Protection Policy, gazetted in 2012, comprehensively addressed policy coordination including the institutional framework and management information systems

¹The term **Management Information System (MIS)** is used to refer to application software that perform a range of basic functions that enable the flow and management of information for key processes within social protection schemes including (i) Identification of applicants and beneficiaries through targeting and registration (ii) Compliance with conditions in conditional cash transfer (CCT) and public works schemes (iii) Management of appeals and grievance processes (iv) Exit and graduation of beneficiaries (v) Production of payment lists (vi) Reconciliation of payments.

needed to make it happen. The policy also envisioned the country's Single Registry as playing a central role in establishing a coherent and scalable approach to social protection, "The Government recognizes the need to establish a management information system (MIS) for social protection in Kenya"². This vision was also reflected in the Medium Term Plan (MTP) of Kenya's Vision 2030 and was envisioned to be led by the National Council for Social Protection and Social Protection Secretariat.

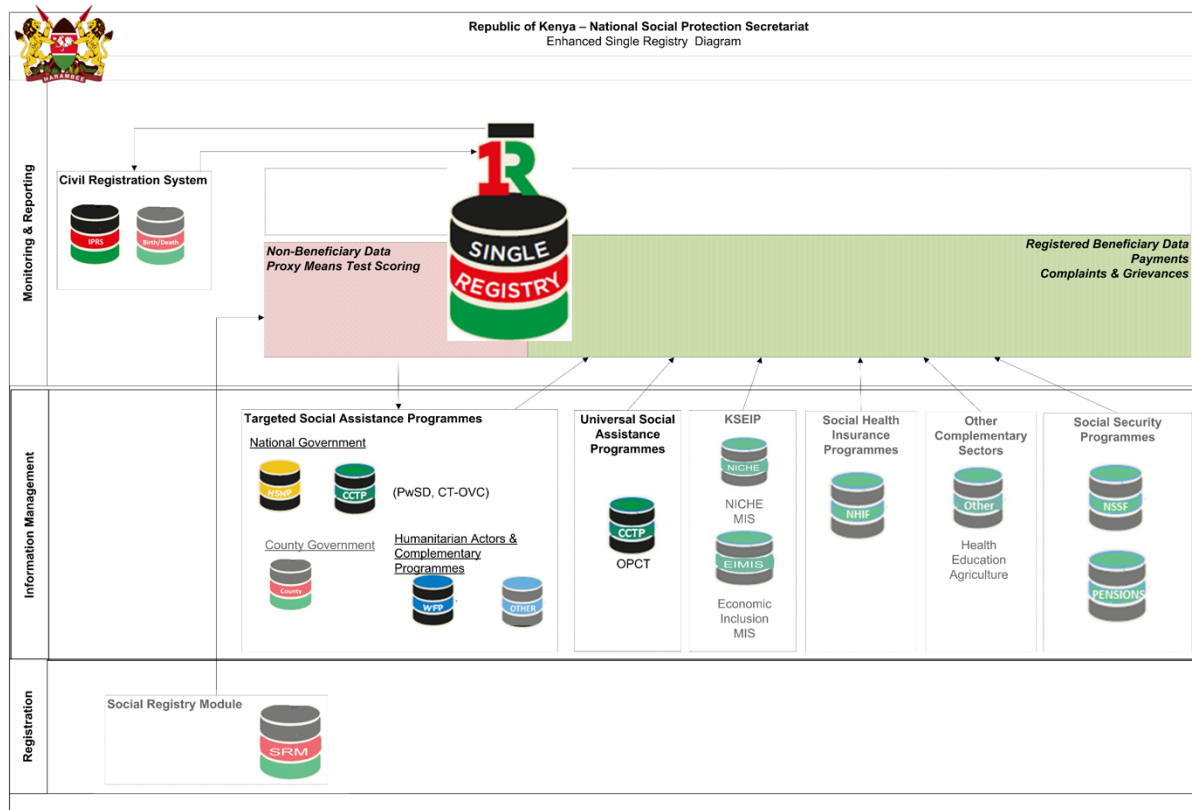
In 2011, the process to achieve such integration was not clear. Some of the programmes that were going to be integrated didn't have an electronic database or related MIS. None of the existing databases could speak to each-other and no standardisation of data existed across databases (for example there wasn't use of standard geographic locations across programmes. To tackle these problems, Working Group was established in 2011 with members from the Country's five core cash transfer programmes to start the discussion on standardisation of systems. Recommendations adopted on the basis of ongoing assessments led to a first achievement, with government-led cash transfer MISs harmonised in 2013. With technical assistance from WFP, full integration across programmes was achieved in 2014-2015, including integration with the Country's Civil Registration Authority. The new Single Registry platform was officially launched on the 14th of September 2016.

1.1 Warehousing and Complementary Services

As illustrated in Figure 1, the Kenyan Single Registry consolidates information from five of its main safety net schemes' MIS into a Single Registry (Integrated Registry of beneficiaries and non-beneficiaries). The programmes include: (i) the Hunger Safety Net Programme (HSNP) (ii) Persons with Severe Disability Programme (PwSDCT) (iii) Older Persons Cash Transfer (OPCT) (iv) Orphans and Vulnerable Children Programme (CT-OVC) (v) World Food Programme Cash for Assets Programme.

²National Social Protection Policy, page 22

Figure 1: Structure of the Single Registry



The key programmes currently linked to the Single Registry are described below:

- **Orphans and Vulnerable Children Programme (CT-OVC).** This is a programme with the objective of improving the welfare of poor households with orphans and vulnerable children to mitigate against HIV/AIDS. OVCs are defined, for the purposes of the programme, as children who have lost one or both parents, are chronically ill or who have a caregiver who is chronically ill; and/or live in child headed households due to orphan hood.
- **Hunger Safety Net Programme (HSNP).** A programme designed to respond to the growing levels of chronic food insecurity in Kenya’s arid lands. Is an unconditional cash transfer programme that aims to reduce poverty in northern Kenya, by delivering regular cash transfers extremely poor households in four districts of Northern Kenya: (i) Turkana (ii) Wajir (iii) Marsabit and (iv) Mandera
- **Older Persons Cash Transfer (OPCT).** The programme targets extremely poor households that include a person aged 65 or older who is not already receiving a pension. Designed in recognition of the fact that older persons constitute a sizeable poor population and are often poorer than other age groups. The programme aims to strengthen the capacities of older persons and improve their livelihood. It targets extremely poor households that include a member aged 65 or older who is not already receiving a pension.

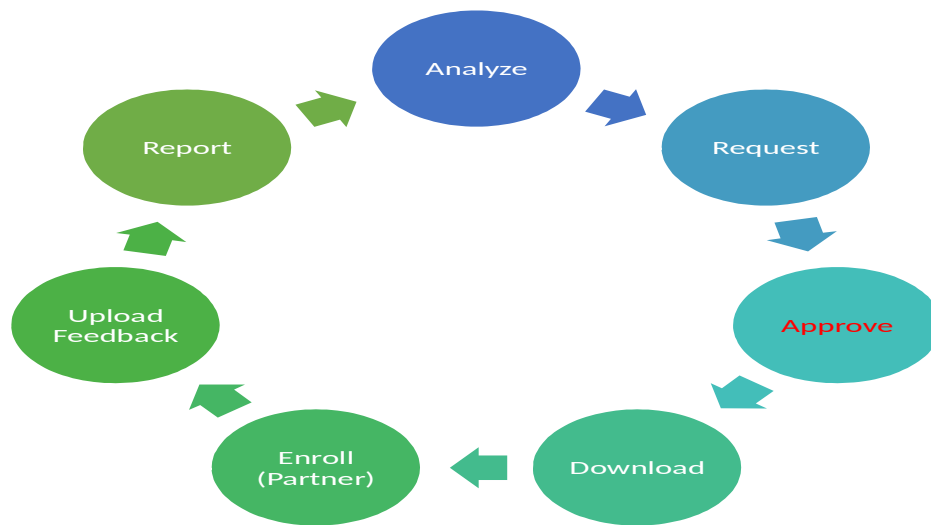
- **Persons with Severe Disability Programme and Old Persons Cash Transfer (PwSD-CT).** The programme is created to provide immediate relief from extreme poverty to people with severe disabilities who are unable to look after themselves and require permanent care. Aims to provide support to people with severe disabilities that are unable to look after themselves and require constant attention of caregivers. The objective of the programme is to provide immediate relief to persons with severe disabilities from extreme poverty while enhancing their basic rights.
- **WFP's Jenga Jamii MIS.** Stores data and automates operations for all of WFP's cash transfer programmes.

There are also plans to link the Single Registry to the databases such as:

- NICHE and Economic inclusion databases as part of the Kenya Social and Economic Inclusion Project (KSEIP);
- Social Health Insurance sector databases;
- Social Security sector database;
- A social registry module for harmonized registration of targeted social assistance scheme; and
- A generic County SP MIS for use by counties for implementation of the social protection interventions at the county level.

NSPS with support from development partners has been enhanced to address the complementarity services. Therefore, a module has been developed in the Single Registry to analyse the characteristics of the NSNP beneficiaries data who may be eligible for complementary services provided by other service providers. The module will complement the on-going efforts by the Government to map complementary services relevant for NSNP beneficiaries in the Single Registry and will build the foundation for wider use of SR data as a common platform for poverty and vulnerability based social protection programmes in the country.

Figure 2: Business Processes of the Single Registry Complementarity Service



As illustrated in figure 2, the complementary module consists of the following processes:

- **Analysis of Single Registry Data:** A sub-module access through the Single Registry public portal which allows the partners to analyse and produce summary data based on available beneficiary characteristics
- **Request for Registration and data for complementarity service:** A sub-module that allows the partners to be registered and approved by NSPS. After registration, the partners can electronically submit formal request with specified beneficiary characteristics for approval to NSPS for the data.
- **Download of data for use:** A sub-module that enables the partners to download data once request has been approved by the NSPS. For aggregate data, the partner can download the data without making special request for approval. However, the module will track all the data usage by logging in those who have accessed the module and downloaded the data.
- **Enrolment of beneficiaries on a complementary programme.** The module allows tracking of registered beneficiaries enrolled for complementary services by the partner.
- **Upload and Feedback.** The sub-module enables the partner to upload for verification the enrolled beneficiaries receiving the complementary services. The module allows the synching of registered beneficiaries receiving the complementary service through the Single Registry portal.
- **Reporting.** The sub-module provides complementary statistics through dashboards and standard reports.

1.2 Institutional Set up

The National Social Protection Policy vests the National Council for Social Protection with the overall strategic direction for social protection. Support and coordination is provided by

Social Protection Secretariat, located within the Ministry of Labour and Social Protection (MoLSP). Because Kenya’s Single Registry is essentially a warehouse, holding information on all the beneficiaries of the National social protection system, data collection and updating is undertaken by individual programme MISs. Therefore, the individual programmes play an important role in the collection and updating of data. Table 1 lists the institutions that are responsible for managing the existing social assistance programmes, all of which have been configured to automatically populate the Single Registry.

Table 1: Institutional roles and responsibilities on the update of Single Registry

Institution	Function	Programmes
MoLSP – Social Assistance Unit	<ul style="list-style-type: none"> • Data collection • Data updating 	<ul style="list-style-type: none"> • Older Persons Cash Transfer Programme • Persons with Severe Disability Programme • Orphans and Vulnerable Children Programme
National Drought Management Authority (NDMA)	<ul style="list-style-type: none"> • Data collection • Data updating 	<ul style="list-style-type: none"> • Hunger Safety Net Programme
World Food Programme (WFP)	<ul style="list-style-type: none"> • Data collection • Data updating 	<ul style="list-style-type: none"> • Cash Transfer Module (CTM) Programme
MOLSP – Social Protection Secretariat	<ul style="list-style-type: none"> • Data consolidation • Data warehousing • Reporting; • Data sharing • Data collection and updating 	<ul style="list-style-type: none"> • National Safety Net Programme

To ensure that data on the Single Registry and programme MISs is accurate, the Single Registry is also linked to IPRS (department in the Ministry of Interior and Coordination that maintains 30 million plus citizens in the National Population Register) using an automated software mechanism (web services). It is worth emphasizing that the registration of potential beneficiaries for safety net programmes in Kenya was historically conducted by recording personal information from manual forms of identification, including national identity cards and passports. The integration of Single Registry and IPRS enables NSNP to verify details of their beneficiaries and authenticity of potential beneficiaries before enrolling them.

1.3 Information Usage

The Single Registry through its MIS platform is used for organising and managing the data for social protection programs in Kenya. It enables the flow and management of information

within and between social protection programmes and in some instance, other sectors. The information is utilised by local and national government, policymakers, social safety net programs designers and managers. Kenya’s Single Registry responds to the following stakeholder issues:

- **Prevention Error/Fraud.** Information in the Registry is run against data on 30 million IPRS’ National Population Register, enabling programme managers to be sure that beneficiaries’ details are accurate/verified.
- **Programme Efficiency and Effectiveness.** Cross-check is made whether beneficiaries enrolled in a programme are on the payroll, and whether the number of beneficiaries scheduled to be paid equals those actually paid.
- **Monitoring Programme Implementation.** Single Registry supports programme monitoring and has a specific report that allows monitoring of the selected indicators across programmes.
- **Planning Expansion of Social Protection Programmes.** The expansion plan of the National Safety Net Programme has been integrated with the Single Registry so that users can cross-reference attainment against objective for any programme.
- **Foundation for Establishment of Common Delivery Systems.** With a consolidated payroll of beneficiaries from existing cash transfer schemes, the Single Registry is a key resource for creating other common delivery systems, including payment systems, which will reduce the costs associated with delivering benefits.
- **Basis for Emergency Response.** HSNP sub-registry contains bank account details for households in four poorest counties (Turkana, Wajir, Mandera and Marsabit) enabling emergency response in case of drought.

Since February 2016, SP Secretariat also provides open web access to the data on key performance indicators of the NSNP. Put together, the five social assistance programmes (four Government programmes and one WFP’s social assistance scheme) maintain a beneficiary registry of 947, 692. The number of applicants and beneficiary households for each programme that forms the Single Registry is set out in table 2.

Table 2: Number of Enrolled Beneficiary Households as at November 2018

Programme	Beneficiary Households
CT-OVC	359, 770
OPCT	345, 314
PWSDCT	51, 890
HSNP	98, 818
WFP’s Asset Creation Programme	91, 900
Total	947,692

1.4 Data Variables

The Single Registry and programme databases contain information on livelihood bio-data which can aid targeting of development efforts across a range of activities and sectors. Some information includes personal data such as names, mobile number, birth certificate number, National ID number, sex, date of birth, orphan hood, chronic illness, family relationships, address (county, district, division, location, sub location, village, school grade and reasons for leaving school. The broad data set of information on Single Registry and programme database is set out in table3.

Table 3: Information kept at Single Registry

Registration	Members	Characteristics	Payments	Complaints
>>County >>District >>Division >>Location >>Ward >>Sub Location >>Village >>Physical >>Address >>Land Mark >>GPS Coordinates	>>ID number >>Names >>Sex >>Relationship to head of household >>Birth Certificate >>Age >>Orphan hood >>School attendance >>Grade >>Disability >>Chronic illness >>Occupation >>Marital Status	>>Dwelling characteristics >>Assets >>Flag whether household >>Benefits from other programmes >>Type of programme >>Real-estate >>Ownership >>Employment terms >>Business ownership >>Income >>Expenditure >>Meals	>>Transfer amount >>Frequency of payment >>Dates of actual payment >>Amount paid	>>Date of submission of complaint >>Reasons for complaint >>Stage in process (and date) >>Confirmation of action taken >>Date of resolution

2.0 Purpose and objectives

The purpose NSNP data sharing protocols are to:

- Provide a framework for the **secure and confidential sharing of information**;
- Ensure **personal information** is handled in a sensitive manner and only disclosed on need-to-know and need-to-use basis;
- Provide a basis where **anonymised data** about an individual beneficiary or member can be shared without consent in a form where the identity cannot be recognised;
- Create a **transparent procedure to increase usage** of the National Safety Net Programme (NSNP) data to layer additional services to cash transfer beneficiaries; and
- Ensure that the rights of programme beneficiaries especially their privacy is not infringed as enshrined on the Kenyan Constitution and other International conventions.

There are currently four Government programmes – in addition to WFP’s Asset Creation programme - implemented by three institutions and coordinated by National Social Protection Secretariat. Table 4 sets out three legal entities that manage existing cash transfer data sources.

Table 4: Organisations

Organisation	Data Resource
Ministry of Labour and Social Protection (MoLSP)	<ul style="list-style-type: none"> • Single Registry Database • Older Persons Cash Transfer Database • Persons with Severe Disability Database • Orphans and Vulnerable Children Database
National Drought Management Authority (NDMA)	<ul style="list-style-type: none"> • Hunger Safety Net Programme Database
World Food Programme	<ul style="list-style-type: none"> • Cash Transfer Module (CTM) Database

These data sharing protocols are designed to ensure that the data owners (institutions set out in table 4) share data in a systematic manner with interested parties. Examples of parties to the data sharing protocol include:

- Other Social Protection Programmes;
- Other national government institutions e.g. Parliament;
- County Governments;
- Implementation partners e.g. Payment Service Providers;
- Donor organizations i.e. DFID, DFAT, World Bank, UNICEF, WFP;
- International NGOs; and

- National NGOs.

3.0 Legal Framework

These data sharing protocols are anchored on Kenyan and International data sharing laws and guidelines set out below:

- **Kenya Constitution:** Article 31 of the new constitution of Kenya protects individual privacy, including people's right not to have information relating to their family or private affairs unnecessarily revealed or their communications privacy infringed.
- **Kenya's Data Protection Act, 2013;**
- **Council of Europe's Convention:** for the Protection of Individuals with regard to the Automatic Processing of Personal Data;
- **United Nations Guidelines:** Concerning Computerized Personal Data Files;
- **OECD Guidelines:** on the Protection of Privacy and Trans-Border Flows of Personal Data; and
- Universal Declaration of Human Rights.

It is important to note that these data sharing protocols will not affect existing programme operational procedures. For example, there may be need to produce the beneficiaries list at specific location and not publicise them nationally. For these specific programme operations, the principles outlined on these data sharing protocols will still be applicable.

Outlined below, is the set of standards for data sharing under the Single Registry on the basis of Kenya's Data Protection Act 2013. The framework defines responsibilities of data sharing, the scope of the information sharing, notice and consent of data subjects, protocols for storage, distribution and processing, measures needed to protect data and right of access by subjects to their personal information.

3.1 Purpose and disclosure

Information shall be collected or stored if it is necessary for or directly related to a lawful, explicitly defined purpose and shall not intrude on the privacy of the data subject to an unreasonable extent.

3.2 Consent

Information shall be collected directly from or with consent of the data subject. Going forward, NSNP shall obtain explicit consent to share Personal Data from programme beneficiaries. A format of informed beneficiary consent form is presented in Annex 4 of these protocols.

3.3 Notice

Data Subject shall be informed of the purpose of any collection of information, and of the intended recipients of the information, at the time of collection.

3.4 Storage of information

The information shall not be kept for a longer period than is necessary for achieving the purpose for which it was collected. Paper records should be destroyed by using methods that do not allow future retrieval, such as burning. Electronic records should be destroyed with the advice and involvement of an IT Officer: Simply deleting records from a database or deleting files from the computer does not fully remove the data, therefore more sophisticated techniques need to be employed.

3.5 Distribution of information

Information shall be distributed in a manner that is incompatible (legally inappropriate) with the purpose for which it was collected, with the consent of the person, and subject to any notification that would attract objection.

3.6 Information Processing

Reasonable steps shall be taken to ensure information processed is accurate, up-to-date and complete.

3.7 Security

Appropriate technical and organisational measures shall be taken to safeguard the data subject against unauthorised access, modification, tampering, unlawful destruction, accidental loss, improper disclosure or undue transfer.

3.8 Access

Data subjects have a right of access to their personal information and a right to demand correction if such information is inaccurate.

4.0 Operational Procedures

Each application for data sharing follows shall follow three steps:

- i. Application;
- ii. Assessment;

- iii. Authorisation; and
- iv. Use, retention, feedback on usage and disposal;

These steps are described in the following sections:

4.1 Application

Each applicant that desires to receive data must download an application form (set out in Annex 1). The application form contains the following sections:

- **Section A:** Applicant (organisation/individual) details. The applicant must provide the names, type of organisation, address, telephone number (office and mobile) and email addresses. Individual applicants must also provide National ID number and attach a copy of the same.
- **Section B:** Purpose and objectives of request. An applicant can choose among a number of pre-defined set of objectives including:
 - Provide cash benefit (State location, transfer amount, target group and programme name).
 - Provide in-kind support (State location, target group and length of the programme).
 - Research (State purpose and specific coverage e.g. Adolescent girls school dropout in Wajir).
 - Other reasons should be outlined on the comments box.
- **Section C:** Data requirements are categorised into four:
 - **Geographical location** (county, sub-county, division, location, sub-location, village and village Geographical Positioning System (GPS) coordinates).
 - **Household Characteristics** (Household number, community-based rank, wealth group, poverty score (e.g. Proxy Means Test), Is provider resident in household, Is household polygamous, children under 15 on settlement, children under 15 outside settlement, spouses on settlement, spouses outside settlement, household status, beneficiary?), recipient of WFP's GFD, recipient of orphan's cash transfer, recipient of disability cash transfer).
 - **Household Members** ("Personal Data") (Birth Certificate number, National ID No, Bank Account, Names, Relationship to main provider, Sex, Age, Date of birth, Father Alive, Mother Alive, School Attendance, Highest grade, Reasons for dropping out of school, Occupation during registration and Chronic illness, Disability).
 - **Household dwelling characteristics and assets** (Rooms of household structure, wall material, type of toilet, source of water, source of lighting, source of cooking, assets (cattle, boats etc), land acreage, livestock, occupation of main provider, fishing items).
 - **Format of Analysis.** The applicant should choose between two options: (i) Summary data aggregated by parameters such as age, geographical area or

sex. (ii) Listed data e.g. List of recipients of beneficiary households in Turkana County. Any format that does not fit within the two categories must be described further.

- **Surveys.** NSNP programmes also aspire to enrich existing database with additional research material building on shared data. Any organisation doing further research should therefore indicate the nature of the research. NSNP programmes may request for information from research to enrich its database.
- **Section D:** Data confidentiality agreement.
- **Section E:** Signature that all the information provided in the application form is accurate.

The applications forms shall be submitted to the NSPS using the following email address info@socialprotection.or.ke . It is worth noting that there are programme specific data sharing forms. These protocols shall supplement broader NSNP protocols. These are specified in table 5.

Table 5: Programme Specific Data Sharing Forms

Organisation	Web Address	Email Address
National Drought Management Authority	http://www.hsnap.or.ke/images/downloads/hsnp%20data%20request%20form.pdf	info@hsnp.or.ke or data@hsnp.or.ke
World Food Programme	http://www.wfp.org/	Kenya.feedback@wfp.org

4.2 Assessment

To avoid confusion in the processing of the application, each application shall be checked for completeness, immediately it is received. Each application should be accompanied by a duly signed cover letter. Individual applicants should provide reference materials e.g. letter from sponsoring institutions. The template for the cover letter is provided in Annex 2 below. Any inconsistency in the application form e.g. applicants indicating they require summary beneficiary details and providing contradictory field parameters e.g. names and ID numbers (implying they are actually in need of detail listing) should be quickly clarified. Once this is done, the manual (printout) form should be stamped with a date of receipt. In case of multiple clarifications (as a result of incomplete information), the date of acknowledgement of formal receipt should be considered as the last date of correctly filled application form.

For each request received, four rule criteria shall be applied as set out in table 6:

Table 6: Criteria for technical assessment

Rule	Description
First Rule	Because summary data is anonymous, any request with clear purpose of this nature should be recommended for authorisation.
Second Rule	In case of multiple and complex research questions (needing more time to analyse) but with clear purpose, the request may be granted but, the programme reserves the right to provide the information in anonymised format. As a matter of rule, NSNP shall aim to provide the request in anonymous format. For example, detailed listing of household level characteristic may be provided (without specifying the names) and household member's characteristics (without listing the names).
Third Rule	Personal data (like names and address of registered programme applicants or beneficiaries) should only be shared out on - "need to know basis" and must be restricted to only the information necessary to meet the purpose of the access request. The organisation must have a clearly indicated purpose aimed at performing an activity of humanitarian or protection nature i.e. provide additional support to NSNP beneficiaries or humanitarian course. The best interest of the beneficiary must be considered paramount to the evaluation criteria, to ensure their safety, dignity and rights are preserved. Overall, the beneficiaries' best interest takes precedence even when a request is legitimate because of the sensitivity and security of personal information. Applicant's organisation should have the capability to implement appropriate technical and organisational measures to ensure confidentiality, privacy, availability, accuracy and security of Personal Data and safeguard it from unauthorised or unlawful manner and shall not use it for other purposes or in any other manner except with express prior written consent of NSNP data custodians (NDMA, MoLSP or WFP).
Fourth Rule	A data subject should be allowed access to their own Personal Data. Effectively a beneficiary of cash transfer scheme who requests access to the programme MIS or Single Registry with aim of verifying their data should be allowed access without any conditions.

At the technical level, the application may be rejected because of the following reasons:

- Individual applicant requesting for Personal Data;
- Purpose of use of information is not in furtherance of objectives of NSNP programmes i.e. humanitarian course, checks for double dipping or provision of complementary services;
- Purpose of using the information is not in the best interest of the beneficiary and may lead to, intentional or unintentional, culturally inappropriate situations, exclusion, harm or bias; and
- Organisation background check indicates that it is not a briefcase NGO, or it is not a well-established organisation.

All information shared for the purposes prescribed in the Single Registry should be accurate and current.

The quantity and coverage of data shared should be directly related to the purpose of sharing, and not excessive.

After assessment, the technical officer shall either recommend or reject the data sharing form. Date and signature of the officer and reasons for recommendation for approval or rejection shall be provided under section “E” of the application set out in Annex 1.

4.3 Authorisation

The requests must be authorised by a senior official in the Head of National Social Protection Secretariat. Access will be available for no later than 15 days on receipt of request, subject to approval and compliance with this protocol. Feedback shall be provided to the applicant by way of email indicating the status of the application. The Head of NSPS shall prepare a report on a monthly basis to the Principal Secretary of the data requests processed by NSPS based on summary data request monitoring form set out in Annex 3.

4.4 Use, Retention, Feedback on Usage and Disposal

If the application is approved, then the applicant will have access to use the data according to the terms of application. The data will be retained by the applicant for the length stipulated on the application form. During the retention period, the applicant is expected to implement appropriate technical and organisational/individual measures to ensure confidentiality, privacy, availability, accuracy and security of Personal Data and safeguard it from unauthorised or unlawful manner and shall not use it for other purposes or in any other manner except with express prior written consent of NSPS.

Upon expiry of the data use contract, the applicant is expected to dispose the data in a professional manner. It should be understood that when a file is deleted, the operating system does not completely remove the file from the disk. Rather, the file deletion removes only the reference to the file from the file system table. The following guidelines should be adhered to:

- When disposing electronic data, IT professionals should supervise the process to ensure appropriate cleaning (i.e. sanitisation) of the hard drive or other media by performing a data wipe or over-write, or to physically destroy the hard drive or other media before it is passed on to its next owner or destination.
- When disposing manual printouts of the Personal Data, applicant should ensure that they are properly shredded. Shredding should be cross-cut, diamond-cut, or confetti-cut shredding, not simply continuous single-strip shredding, which can be reconstructed.

- When engaging an external agency to destroy records or electronic media, a background reference check should be conducted accompanied by a signed contract spelling out the terms of the engagement. It is advisable that, applicant should visit the destruction site and require that a certificate of destruction be issued upon completion.

Applicant shall submit an email confirming disposal of the data to NSNP within 15 days after expiry of retention period. NSNP shall monitor the compliance of the data sharing protocols using data protocols monitoring forms set out in Annex 3.

Annex 1: Single Registry Data Request Form



Republic of Kenya

Ministry of Labour and Social Protection

National Social Protection Secretariat (NSPS)

Single Registry Data Request and Confidentiality Form

A. Applicant's Details

5. Name of Applicant:

--

6. Name of Organisation:

--

7. Address (P.O. Box and Physical location):

--

8. Telephone (Office No):

9. Mobile No:

--	--

10. Email Address:

--

Website:

--

B. Purpose/Objectives

11. What will the information be used for?

☐ Provide cash benefit (State location, transfer amount, target group and programme name)

--

--

⊟ Research (State purpose and specific coverage e.g. Adolescent girls school dropout in Wajir)

⊟ Others (Provide details on the drop box below)

12

⊟ Soft Copy

Specify the format (e.g. excel, access, others) _____

⊟ Direct Access to Single Registry Private Reports

Specify the preferred username (Credentials will be emailed, if the request is approved)

User name: _____

13. What is the timeframe for information use?

Start Date: |_|_| / |_|_| / |_|_|_|_| End Date: |_|_| / |_|_| / |_|_|_|_|

C. Format of Data and Information Variables

14. Choose information parameters below. Please note that data will be presented in list format enumerating the selected variables/parameters.

a) Geographic Location

- | | | | |
|-------------------|---|-----------------------------|---|
| (i). County | ⊟ | (ii). Sub County (District) | ⊟ |
| (iii). Division | ⊟ | (iv). Location | ⊟ |
| (v). Sub Location | ⊟ | (vi). Village | ⊟ |

b) Household Characteristics

- | | | | |
|---|---|---|---|
| (i) Household Number | ⊟ | (ii). Community based rank | ⊟ |
| (iii). Wealth group | ⊟ | (iv) Poverty Score (PMT) | ⊟ |
| (v). Is provider resident in household? | ⊟ | (vi) Is household Polygamous? | ⊟ |
| (vii). Children under 15 on settlement | ⊟ | (viii) Children under 15 outside settlement | ⊟ |

(ix). Spouses on settlement ≍ (x) Spouses outside settlement ≍

(xi). Household Status (Beneficiary?) ≍ (xii) Recipient of WFP's GFD ≍

(ix). Recipient of orphan's cash transfer ≍ (x) Recipient of disability cash transfer ≍

c) Household Members ("Personal Data")

(i). Birth Certificate number ≍ (ii). National ID No ≍

(iii). Bank Account ≍ (iv). Names ≍

(v). Relationship to main provider ≍ (vi). Sex ≍

(vii). Age ≍ (viii). Date of birth ≍

(ix). Father Alive ≍ (x). Mother Alive ≍

(xi). Attended school? ≍ (xii). Highest grade ≍

(xiv). Reasons for dropping out of school ≍ (xv). Occupation during registration ≍

(xvi). Chronic illness ≍ (xvii). Disability ≍

d) Household dwelling characteristics and assets

(i). Rooms of household structure ≍ (ii). Wall Material ≍

(iii). Roof material ≍ (iv). Type of Toilet ≍

(v). Source of water ≍ (vi). Source of lighting ≍

(vii). Source of Cooking ≍ (viii). Assets (cattle, boats etc) ≍

(ix). Land Acreage ≍ (x). Livestock ≍

(xi). Occupation of main provider ≍

15. Choose summary options below. Data will be analysed in summary format and aggregated based on the following.

a) Gender: (i) Male ≍ (ii) Female ≍

a) Proxy: (i) Beneficiary ≍ (ii) Caregiver ≍

b) Age (in years): (i) Minimum Maximum

c) Function/process (i) Beneficiaries ≍ (ii) Payments ≍ (ii) Complaints ≍

d) Location (i) County ≡ (ii) Constituency ≡ (ii) Location ≡

e) Period (month & year): (i) From To

16. Please provide additional information in support of your data requests if not covered in (14 or 15)

17. Are you conducting your own additional survey(s)? If so, please specify the kind of data collected and geographic scope?

D. Data Confidentiality Agreement

NSPS shall process applicants' request – hereinafter referred to as “Applicant” - for data and may share Personal Data on the basis of the following terms and conditions:

- Personal Data shall be used for **very specific purposes aimed at performing an activity of humanitarian or protection nature such as cash transfers, humanitarian or development work** and may not be used for any other purpose that is incompatible with the request purpose;
- Personal Data is **owned by NSPS**. Applicant is therefore restricted from transferring Personal Data outside Kenya except if required by law and you receive prior written consent from NSPS;
- Applicant shall **implement appropriate technical and organisational/individual measures** to ensure **confidentiality, privacy, availability, accuracy and security of Personal Data** and safeguard it from unauthorised or unlawful manner, and shall not use it for other purposes or in any other manner except with express prior written consent of **NSPS**;
- Applicant shall regard the Personal Data as **confidential and not disclose such data to any person other than to persons to whom disclosure is necessary** for the performance of the data management and processing responsibilities;
- After expiry of the **Data Retention Period**, the applicant shall dispose the data using professionally acceptable procedures (overwriting the media, magnetic erasure of the media or physical destruction of the media) and shall provide confirmation to NSNP by way of email of the completion of the **Data Disposure**.
- Applicant shall **comply with request from NSPS to amend, transfer or delete Personal Data** and provide copy of all or specified Personal shared with you in a format or media specified by the NSPS in reasonable timeframe;
- Applicant shall **indemnify and keep indemnified NSPS and defend at its expense against all costs, claims, damages or expenses incurred** for which it may become liable due your failure to comply with data protection laws and regulations;
- Applicant shall **bear LIABILITY**, if Personal Data is disclosed to any person other than persons to whom disclosure is necessary without prior written consent from **NSPS**. If Applicant knowingly or otherwise breaches the terms of this agreement, the Applicant shall be denied any further access to Personal Data and **NSPS** may seek legal recourse;
- NSPS reserves the right to reject application that are incomplete or do not meet the objectives of the protocols;

18. Any amendment or variation to this Agreement shall be in writing and will require the written consent of both parties. Such consent shall not be unreasonably withheld.

19. The Agreement terminates in the event of **non-compliance or upon the expiry of timeframe for information use (set out in clause 13 of application form) or by way of NSPS written notification**. Should new use for the data set arise thereafter, a written approval must be sought from **NSPS**.20. Neither party will be liable for any act, omission nor does failure to fulfil its obligations under this Agreement if and to the extent that such omission act or failure arise from any cause reasonably beyond its control.

21. This confidentiality agreement is governed by the Kenyan and International laws and data protection protocols, guidelines and conventions listed below:

- **Kenya Constitution:** Article 31 of the new constitution of Kenya protects individual privacy, including people's right not to have information relating to their family or private affairs unnecessarily revealed or their communications privacy infringed;
- **Kenya's Data Protection Act, 2013**
- **Council of Europe's Convention** for the Protection of Individuals with regard to the Automatic Processing of Personal Data;
- **United Nations** Guidelines for the Regulation of Computerized Personal Data Files adopted by General Assembly resolution 45/95 of 14 December 1990
- **OECD Guidelines** on the Protection of Privacy and Trans-Border Flows of Personal Data

F. Signature and Date

24. I, the undersigned, hereby certify to the best of my knowledge that all the information provided in this application form is accurate. I also certify that I have read, understood and shall abide by **Data Confidentiality Agreement (all clauses in section D above)**

Date (dd/mm/yyyy): |_|_| / |_|_| / |_|_|_|_|

Name of Applicant: _____

Signature: _____

Name of the Organisation: _____

G. For Official Use Only (NSPS shall aspire process request within 15 working days)

25. **NSPS** has assessed the requests based on the Data Sharing Protocols and recommends approval of request:

Coordinator's Name or Representative: _____

Signature: _____

Date (dd/mm/yyyy): |_|_|/|_|_|/|_|_|_|_|

Coordinator's Comments:

26. **NSPS** authorises sharing of the data with the applicant:

Head of NSPS or Representative's Name:

Signature: _____

Date (dd/mm/yyyy): |_|_|/|_|_|/|_|_|_|_|

Head of NSPS Comments:

[P.O. Box],
[Physical Address],
[City, Zip Code],
April 23, 2019

The Head,

National Social Protection Secretariat,

ACK Parking Silo,
Opp. NSSF Building 9th Floor
Phone: 2723011, 0772092971, 0735564408
P.O. Box 16936-00100 GPO, NAIROBI
E-mail: info@socialprotection.or.ke

Dear Madam,

Re: Single Registry Data Request

Based on the data request and confidentiality protocol set out on National Social Protection Secretariat site, << applicant/organisation>> would like to request for data on <<beneficiaries of programme>>.

We intend to use the information for the following purposes

- <<aa>>
- <<bb>>
- <<cc>>

We have dully completed the application form enclosed. We look forward to your favourable feedback.

Yours Faithfully,

[Your Name]
Enclosed (Data Request and Confidentiality Form)

Annex 4: Beneficiary Data Sharing Consent Form

1. We will only use your Personal Data to do the following:
 - get the programme benefits to you;
 - stop the money being stolen;
 - verify accuracy of the data provided against other government databases;
 - learn how to make the programme better; and
 - include other benefits;
2. We will share your Personal Data with payment service providers e.g. bank or mobile network to get the cash payment to you.
3. When we share your personal data with these others, they will be obliged to obey these rules. They are only allowed to use your Personal Data to give benefits to you. You can always ask us with whom we have shared your information.
4. We will try our best to look after your Personal Data so that no one else can use it except for those with whom we share it. Everyone who gets your Personal Data from us must try their best to look after it.
5. There is a risk that someone else could get your Personal Data from us by doing wrong.
6. We might have to give your Personal Data to other government agencies if required by laws.
7. If you think that we or someone that we have shared your Personal Data with has got it wrong, then you can tell us to make it right.
8. If some of your Personal Data changes you can get us to change it.
9. If you think that we or someone that we have shared your Personal Data with has broken the rules you can complain to us.
10. Now that you have heard these rules about what we do with your Personal Data, do you agree to give us your Personal Data?

Yes No

If Yes, please provide signature or Thumb print

Annex 5: References

- Council of Europe's Convention for the Protection of Individuals with regard to the Automatic Processing of Personal Data;

- Government of Kenya (2013) The Data Protection Bill, 2013;
- OECD Guidelines on the Protection of Privacy and Trans-Border Flows of Personal Data;
- The Cash Learning Partnership (2013) Protecting Beneficiary Privacy: Principles and operational standards for the secure use of personal data in cash and e-transfer programmes, CALP;
- The Constitution of the Republic of Kenya;
- United Nations Guidelines: Concerning Computerized Personal Data Files;
- Universal Declaration of Human Rights;