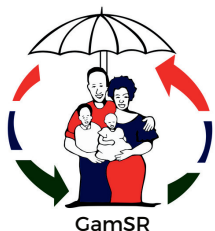




National Social
Protection Secretariat

THE GAMBIA SOCIAL REGISTRY IMPLEMENTATION HANDBOOK



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**Gambia Social Registry - GamSR
Handbook**

ACRONYMS

| | |
|-----------------|--|
| OVP | Office of the Vice President |
| NSPS | National Social Protection Secretariat |
| SP | Social Protection |
| GBoS | Gambia Bureau of Statistics |
| NaNA | National Nutrition Agency |
| DCD | Department of Community Development |
| DSW | Department of Social Welfare |
| MoICI | Ministry of Information & Communication Infrastructure |
| CAPI | Computer Assisted Personal Interview |
| CRVS | Civil Registration and Vital Statistics |
| SR | Social Registry |
| GAMSR | Gambia National Social Registry |
| SRIS | Social Registry Information System |
| M&E | Monitoring & Evaluation |
| CAPI | Computer Assisted Personal Interviews |
| PAPI | Paper and Pencil Interviewing |
| EA | Enumeration Area |
| GPS | Global Positioning System |
| HH | Household |
| IHS | Integrated Household Survey |
| IT | Information Technology |
| M&E | Monitoring and Evaluation |
| MIS | Management Information System |
| SRIS | Social Registry Information System |
| MoU | Memorandum of Understanding |
| PIC | Public Information Campaign |
| PMT | Proxy Means Test |
| SIM Card | Subscriber Identity/Identification Module Card |
| ToR | Terms of Reference |
| VPN | Virtual Private Network |

GLOSSARY

- **Appeal**
 - A formal request to re-assess poverty status assigned in the Social Registry.
- **Computer Assisted Personal Interviewing (CAPI)**
 - A surveying technique that uses a computer-based Questionnaire. As an alternative to paper questionnaires, CAPI seeks to improve the efficiency and quality of data collected.
- **Complaint**
 - A formal request made by a household or citizen against the service being provided by The Gambia Social Registry or any person or firm hired or sub-contracted by them.
- **Eligibility Criteria**
 - Conditions or parameters to be met by households and their members in order to be eligible for inclusion in a specific social protection programme.
- **Eligibility Cut Off Point**
 - The benchmark established by a specific social protection programme in order to be eligible for inclusion.
- **Global Positioning System (GPS)**
 - A global navigation satellite system that provides geolocation and time information to a GPS receiver anywhere on or near the Earth where there is an unobstructed line of sight to four or more GPS satellites. The GPS system operates independently of any telephonic or internet reception, though these technologies can enhance the usefulness of the GPS positioning information.
- **Household**
 - A person living lone or a group of two or more people (either related or not) who habitually live under the same roof – whether it is fully or partially occupied, and who cook and eat from the same pot. It excludes guests, visitors, or family members living abroad.
- **Head of Household**
 - In most instances, s/he is the principal supplier of the household. In some cases, a household may recognize a senior member as the head irrespective of his/her contribution to the household's income.
- **Update**
 - An adjustment (addition or subtraction) to the information already obtained and inputted in the social registry system arising from a request by a household member to include additional and/or missing information about them.

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PREFACE

Considering the current nature of social protection implementation in the country, the government recognized the need to improve the coordination mechanism of the sector. Through a cabinet directive, the Office of the Vice President was mandated to oversee the coordination of the implementation of the National Social Protection Policy. To facilitate and strengthen the coordination mechanism, a social registry is necessary to provide platform for inclusion in social protection initiatives and improve information system on beneficiaries and benefits to provide better coordination and synergy among sectors.

The Gambia Social Registry (GAMSR) manual is a thorough well thought-out guide for the development and implementation of the Social Registry. The Social Registry is a key component in the World Bank funded Social Safety Nets Project and it aims to provide robust data on key household characteristics to facilitate common assessment and eligibility determination for social assistance programs. Decision makers and coordinating bodies such as the National Social Protection Steering Committee (NSPSC) will be able to make informed decisions on the sectors using this registry. It is anticipated that a functional and updated social registry will serve as a platform to improve coordination and reduce fragmentation among programmes.

This manual was drafted by members of the Technical Working Group from several Government Ministries, Departments and Agencies, the United Nations and the World Bank. The Manual comprised of six chapters; ranging from the Design parameters of the GAMSR, Stakeholders and their Roles, the Public Information Campaign, Data Collection Implementation Process, Monitoring and Evaluation Mechanisms, Grievance Redress Mechanism and Data Updates and Social Registry Information System. It is intended for the use of all implementing partners in the sector and it is written in a user-friendly manner. The manual will guide the processes involved in the implementation of the social registry.

Mr Muhammed Lamin Jaiteh

.....

Permanent Secretary

Office of the Vice President

ACKNOWLEDGEMENT

The Office of the Vice President (OVP) would like to offer its sincere appreciation to the Social Registry Technical Working Group (TWG) for their immense contributions to the development of the Social Registry Handbook. The Technical Working Group applied considerable expertise, professionalism and dedication to ensure that this handbook reflects the true realities on the ground and provides a clear guidelines for all stakeholders in the establishment and maintenance of the Social Registry in The Gambia.

Similarly, the OVP recognized the invaluable contribution of Mr. Johnson Mwebaze, the Senior Technical Consultant hired by the World Bank for the technical guidance accorded to the TWG during the entire development process of this handbook.

The commitment, dedication and contributions of a plethora of stakeholders and partners towards the development and finalization of the Social Registry Handbook are also acknowledged. Specifically, I would like to thank the National Nutrition Agency, under the Office of the Vice President, for their excellent coordinating role and technical contribution in the development of the Social Registry Handbook. Equally, sincere thanks are also extended to The Gambia Bureau of Statistics (GBoS), the Ministry of Information, Communication and Infrastructure (MOICI) through its ICT Directorate and the Department of Information Services (DOIS), the Department of Community Development (DCD), the Department of Social Welfare (DSW), the Women's Bureau (WB), and the Ministry of Health (Registry of Births and Deaths and the Directorate of Health Promotion and Education) for nominating highly committed and technical experts who contributed to the development of manual.

The development of the Social Registry Handbook would not have been possible without the technical and financial support of the World Bank Team both within and outside The Gambia. The commitment and the UN mantra of 'one family' 'one objective' has been amply demonstrated during the entire development process, as UNICEF and the World Food Programme were ably represented in the TWG. To all the institutions and individual that participated in the validation of the manual, we thank you for your valuable contributions for making the document better.

Finally, my sincere thanks and esteemed appreciation goes to all Individuals and Institutions who have not been singled out but contributed immensely to the development of the Social Registry Handbook.

A. INTRODUCTION

In February 2016, the Government of The Gambia approved the National Social Protection Policy (NSPP). The policy defines a comprehensive and cross-cutting social protection (SP) agenda and proposes a set of priority actions to guide the gradual establishment of an integrated and equitable social protection system in The Gambia.

The NSPP is accompanied by a Social Protection Implementation Plan (SPIP), which defines a set of activities to guide the implementation of the NSPP across four (4) results areas/goals;

- i. Establish and strengthen the NSPP leadership, coordination and implementation mechanisms;
- ii. Increase coverage of social protection policies and programmes to meet the NSPP objectives;
- iii. Strengthen the social protection system for effective planning, delivery and monitoring of social protection programmes; and
- iv. Develop a sustainable financing strategy and mechanism to fund the implementation of the NSPP and specific programmes.

Many initiatives are underway to support the NSPP and SPIP, but they are fragmented. It is important to develop strategies to improve programmes' design, including modalities for identifying and registering the intended beneficiaries. While the NSPP promotes universal coverage for various target populations, there is insufficient fiscal space to put this in practice and so there is a need for targeting of social protection programmes to prioritize coverage of the poorest and most vulnerable in order to make social spending more efficient.

Based on the aforementioned challenges, the development of The Gambia Social Registry (GAMSR) has been identified as a key priority as part of the third results area of the SPIP. GAMSR can provide a gateway for inclusion in social protection initiatives and an improved information system on beneficiaries and benefits to promote better coordination and synergies among programmes.

B. OBJECTIVES AND USE OF THE HANDBOOK

The handbook is prepared as the main reference document to be used by personnel involved in the implementation of The Gambia Social Registry to ensure uniformity in understanding, interpreting and applying policies, protocols and guidelines.

The objectives of this handbook are as follows:

- i. Enable stakeholders to understand the scope, content, organization and activities of the GAMSR;
- ii. Organize and describe thoroughly the design parameters and the GAMSR Life Cycle;
- iii. Indicate the guidelines to follow in each process that constitute the GAMSR Life Cycle;
- iv. Ensure that the requirements for transparency, equity, compliance and accountability are met; and
- v. Guide the operations of the functions to be performed under the GAMSR to ensure privacy, consistency, timeliness, relevance and accuracy.

C. ORGANIZATION AND REVISION OF THE DOCUMENT

The Technical Working Group (TWG) with inputs from the World Bank and other stakeholders developed this handbook.

The policies and procedures set forth in this handbook are subordinate to the existing laws of the state or hereafter amended. It is the duty of the National Social Protection Secretariat (NSPS) to update this document continuously based upon requirements by the law or the observations and suggestions by all stakeholders involved in the process as well as the results of evaluations and lessons learned. The National Social Protection Steering Committee (NSPSC) will approve any revisions made to this handbook.

The handbook is organized into six sections and annexes as follows;

- i. Section 1 presents the design parameters of the GAMSRS;
- ii. Section 2 presents stakeholders and their roles;
- iii. Section 3 presents the data collection implementation process;
- iv. Section 4 presents the monitoring & evaluation mechanisms;
- v. Section 5 presents the Grievance Redress Mechanisms, and
- vi. Section 6 presents the Social Registry Information System.

Five (5) additional documents which provide detailed procedures and directions for critical implementation areas shall be referenced to this handbook as follows;

- i. Public Information Campaign (PIC) Strategy;
- ii. Household Questionnaire;
- iii. Data collection enumeration guide
- iv. SRIS Handbook;
- v. Data Sharing Protocols.

All the above documents should to be submitted to the NSPS that should share with all relevant stakeholders

1. DESIGN PARAMETERS OF THE GMSR

1.1 RATIONALE FOR THE GAMBIA NATIONAL SOCIAL REGISTRY (GMSR)

The purpose of building the GMSR is to consolidate into a single common database, structured and organized key information about current and potential beneficiaries¹ of social programmes, in order to create a single entry point for the main social protection programs to access information about potential beneficiaries.

The NSPS will host the GMSR, and will comply with the following key functionalities:

- i. The GMSR database shall comprise of households' demographic and socio-economic data. Based on this information, different social programs can apply their own inclusion criteria to screen potential eligible beneficiaries. Therefore, being included in the registry does not automatically guarantee inclusion in a program as the database will include non-poor, poor and extremely poor households;
- ii. Facilitate rapid identification of beneficiaries for programs that are scaling up or trying to create synergies with complementary interventions to enhance their impact;
- iii. Ability to receive feedback on household information from different programs, which facilitates information updating;
- iv. Capability to be linked to other databases, when these databases become automated. For example, the National ID Database, Civil Registry and Vital Statistics (CRVS);
- v. Capacity for regular quality control to ensure data verification, validation and update of information; and
- vi. Capacity to generate monitoring reports and descriptive statistics about the population in the GMSR.

1.2 KEY ACTIVITIES TO BE IMPLEMENTED

¹ It is important to note that the determination of potential eligibility is a distinct phase from enrolment decisions. Determination of potential eligibility involves aggregating and analysing categorical and socio-economic information gathered in the Social Registry to assess individuals' and families' needs and conditions vis-à-vis basic eligibility criteria. Enrolment decisions involve the formal inclusion of eligible individuals or families in a specific program. However, not everyone who is deemed "potentially eligible" based on those criteria would be enrolled in a particular program. There are several reasons for this, including (a) budgetary limitation that can limit space and coverage in the particular program; or (b) additional criteria guiding enrolment decisions, beyond the socioeconomic information produced by the Social Registry. Moreover, the institutional jurisdiction of these phases can differ: enrolment decisions are typically the jurisdiction and legal responsibility of the user programs, not the Social Registry, particularly in cases in which the Social Registry is used for multiple programs.

A. PUBLIC INFORMATION CAMPAIGN (PIC)

To inform the public about the registration process, the PIC will be undertaken prior to the beginning of the data collection to make communities aware of the purpose of the data collection. Its implementation will involve different stakeholders including the media, interpersonal communicators, Government officials, NGOs and various community groups and structures.

B. THE GAMBIA HOUSEHOLD QUESTIONNAIRE

The NSPSin consultation with key stakeholders and development partners developed The Gambia Social Registry Questionnaire (referred to as the questionnaire throughout the handbook). The questionnaire was designed to provide all social protection actors with the essential information on households and individuals they would need to;

- i. Take decisions on household and individual eligibility;
- ii. Define geographical priorities, avoiding duplications; and
- iii. Build program complementarities.

Therefore, the questionnaire includes both questions about the Proxy Means Test (PMT)² variables and questions that could be helpful to identify eligible beneficiaries in other social protection programs. The revised version was presented in a validation workshop in October 2018, where consensus among the key stakeholders was reached on the format and content.

When developing the questionnaire, attention was paid to its consistency with the original source of poverty correlation, the IHS 2015/16. While aiming to capture information that is essential and useful for stakeholders in future social protection programs, priority has been given to keep the questionnaire simple, to a reasonable size and focused on the essential information (observable, relevant over time). In order to ensure consistency with the original source of poverty correlation, household and household head definitions were kept mostly consistent with the IHS 2015/16. However, the concept of household was slightly revised in order to include household members that are temporarily absent (e.g., students residing outside the household; workers that temporarily moved to other locations).

The questionnaire is structured around four (4) main areas as follows;

- i. The identification panel aims at identifying the household members and obtaining the household consent to the interview. A national identity document (ID card, passport, voter's card or an attestation from an Alkalo) will be used as the unique identifier.
- ii. The questionnaire captures information on the household composition and human capital (demographics, health, education and employment). This information is collected for

² A Proxy Means Test is a set of variables on household characteristics that are statistically correlated with poverty that are used in an algorithm to estimate household poverty.

- household members depending on their ages.
- iii. The questionnaire dwells on household physical living conditions, distance from services and household endowment of assets (possession of TV, refrigerator, car, motorcycle, etc.).
- iv. The last part explores household income sources, agricultural activities, ownership of livestock and shock-related issues.

C. IMPLEMENTATION OF COMPUTER ASSISTED INTERVIEWING (CAPI)

Computer Assisted Interviewing (CAPI) shall be used for data collection. CAPI has proven to reduce the amount of effort required for data analysis post-data collection. The use of CAPI provides several advantages. These include:

- i. Ability to display different sets of questions to household members with a skip logic;
- ii. Contain validation functionalities that would prevent enumerators from entering values outside a given range which reduces the number of data collection errors;
- iii. Ability to show error reports and point enumerators to where the errors are;
- iv. Flexibility in the arrangement and structure of the questionnaire and ability to reflect changes on enumerator devices. This feature allows the technical team to be able to make quick updates and correction of errors;
- v. Ability to collect different types of data, such as GPS coordinates, which is required for GAMSR;
- vi. Online/Offline capabilities. Once a household is interviewed, the data gathered will be synchronized and sent to the central server's database using internet data connectivity provided by telecom networks or through WiFi for areas with limited connectivity. The data will be synced to the central server at the end of each day, or once the interviewer has reached an area with connectivity; and
- vii. Improved feedback loop between interviewers and the central backstop team than with paper questionnaires.

One key component of developing the data collection software is the digitizing of questionnaires for the survey. Each question within these questionnaires will be captured in the data collection software with their corresponding validations. These validations will aid in reducing error entries from enumerators during field data collection.

GBoS shall develop and provide an enumeration handbook that thoroughly explains and describe each question on the questionnaire. This handbook will then be used to facilitate training sessions for the data collection team and presented to them for us as a form of reference whiles on the field.

D. HOUSEHOLD REGISTRATION (FIELD DATA COLLECTION)

The questionnaire will be administered using a census approach. The enumeration team will visit, interview and register every household members in a community. Implementation of household registration will be phased.

The table below shows the districts that will be covered in the first phase of data collection.

| S/N | LGA | DISTRICT |
|-----|--------------------------|----------------------|
| 1 | Brikama Area Council | Foni Brefet |
| | | Foni Bintang Karanai |
| | | Foni Kansala |
| | | Foni Bondali |
| | | Foni Jarrol |
| 2 | Mansakonko Area Council | Kiang West |
| | | Kiang Central |
| | | Kiang East |
| | | Jarra West |
| | | Jarra Central |
| 3 | Kerewan Area Council | Jarra East |
| 4 | Janjanbureh Area Council | Sabach Sanjal |
| | | Niamina Dankunku |
| | | Niamina West |
| | | Niamina East |
| | | Lower Fuladu West |
| | | Upper Fuladu West |
| 5 | Basse Area Council | Janjanbureh |
| | | Jimara |
| | | Basse |
| | | Tumana |
| | | Kantora |
| | | Wuli West |
| | | Wuli East |
| 6 | Kuntaur Area Council | Sandu |
| | | Lower Saloum |
| | | Upper Saloum |
| | | Nianija |
| | | Niani |
| | | Sami |

E. HOUSEHOLD ASSESSMENT

The GAMSRS will contain information on all registrants, whether or not they are deemed eligible for or enrolled in selected social protection programmes. It is important to note that having household characteristics recorded in the GAMSRS is distinct from being targeted and enrolled into a social protection programme. GAMSRS registrants are not always or automatically enrolled in a particular programme due to budgetary limitations and/or additional criteria guiding enrolment decisions beyond poverty status such as geographic prioritization or other categorical risk factors. The measures of poverty in the GAMSRS combined with other criteria would guide social protection programmes to select the vulnerable registrants that need social assistance according to the programme rules and government priority areas.

A household evaluation mechanism based on a PMT model will be used to classify all registered households as non-poor, poor, and extremely poor. This classification will be made available to social protection programs, and may be used to identify eligible households.

F. SOCIAL REGISTRY INFORMATION SYSTEM (SRIS)

Social Registries do not function in isolation as “just a database” without complementary software applications and business logic. Operationally, Social Registries are information systems. The main “inputs” to these systems include various types of information needed to determine potential eligibility for social programmes which typically includes identification information, socio-economic information, information on housing and assets, and other types of information depending on the purpose of the Social Registry.

SRIS make use of a variety of system elements namely; data and information, software, database management; and ICT infrastructure, as well as institutional aspects (people, documentation & procedures) to transform data into standardized formats that permit assessment of needs and conditions against programme eligibility criteria and also support other business functions of the social registry.

The operational requirements of the GMSR as stipulated in this handbook will guide the development of the SRIS. For the development of the SRIS, a competent firm will be identified and contracted following required procurement procedures.

G. LINKAGE WITH CIVIL REGISTRATION AND VITAL STATISTICS

Integrating the Social Registry and CRVS has many advantages. Developing each system goes through more or less the same process. During the capture of data for the social registry, the identification and demographic questions will enable the creation of an electronic birth registry database. Additionally, the variables specific to the CRVS have been included on the Gambia Household Questionnaire.

The Civil Registry and Social Registry will share an IT platform that would allow for instantaneous information flow and update of both systems leading to significant efficiencies and greater effectiveness. For example, a new birth registered in the Civil Registry would be attached to a Household whose details already appear in the Social Registry.

H. GRIEVANCE REDRESS MECHANISM (GRM)

A GRM shall be incorporated to be part of the GMSR as a way of resolving grievances/cases from the population. The GRM will be supported with a module which is part of the SRIS that will provide a secure login where approved users will be able to:

- i. Enter new grievances into the system;
- ii. View grievances;
- iii. Classify grievances;
- iv. Update what action has been or is being taken, or

- v. Close/resolve grievances.

I. DATA PROTECTION

Given that GAMSRS shall involve significant amounts of personal identifying and socio-economic information, legislation, protocols, and tools are critical to support information security and protection of this information. This is very critical for credibility and trust of the GAMSRS. The implementation of the GAMSRS shall be articulated around the concept of digital governance, including access to information, cybersecurity, data security, data confidentiality, privacy standards, and personal data protection. The implementing agencies shall adhere to existing (or planned) national laws/policies on data privacy and protection such as the ICT Act 2009, Statistics Act 2005, Birth and Marriage Act 1990 and also on international data sharing and information privacy standards and protocols, such as those established by the Organisation for Economic Co-operation and Development (OECD) Guidelines for Fair Information Practices and Protection of Privacy and Trans-border Flows of Personal Data, and the EU's Data Protection Directive and the Council of Europe's Convention for the Protection of Individuals with regard to Automatic Processing of Personal Data.

The design of the social registry has taken consideration of the key principles for personal data protection, and these shall be adhered to all times during the life-cycle of the social registry. These principles appear in various sections in this handbook, and other shall be incorporated in the data-sharing handbook. The key principles include the following:

- i. **Consent:** Individuals (or household representatives) shall be informed about the institution responsible, the planned uses and users of the data, and their right to respond and to oppose use of their data. They should also sign or otherwise endorse consent for the collection and use of information in the GAMSRS, including for use by multiple programs.
- ii. **Use and proportionality:** Data shall only be collected for specific ends, only if they are necessary for such ends (collection is proportional to needs).
- iii. **Data quality:** Data should be accurate, complete, and kept updated to the extent possible, for the ends for which they are collected
- iv. **Confidentiality and safety safeguards:** GBoS and OVP shall take all necessary measures to ensure data is not manipulated, damaged, or illegally accessed by others.
- v. **Responsible transmission and data sharing:** Data transmission and sharing shall respect the core principles of confidentiality, proportionality and safety, under the guidance of documented data sharing and transmission agreements (e.g., with user programs).
- vi. **Right to access, correct, and oppose data:** Those whose personal data are collected have a right to obtain information on their data and treatments applied; and to correct, oppose, supplement, update, lock or suppress incorrect, incomplete, ambiguous or outdated data.
- vii. **Accountability:** The NSPS should be accountable for complying with these principles, with clear accountability for any breaches.

2. KEY STAKEHOLDERS AND THEIR ROLES

2.1 NATIONAL SOCIAL PROTECTION SECRETARIAT- OFFICE OF THE VICE PRESIDENT –

NSPS under the OVP is the lead coordinating body for Social Protection and responsible for all aspects of the development and operation of the GAMSRS. NSPS will be responsible for the ongoing management of the Social Registry, which includes ensuring that grievances are resolved and stakeholders concerned are informed of progress. There will continue to be a need for sub-committees or technical working groups (TWG) to consider specific issues in smaller fora. Membership of the TWG will change during the lifecycle of the implementation of the Social Registry. Technical specialists might be nominated to TWG on specific issues as appropriate. TWGs will report progress periodically to the NSPS.

2.2 NATIONAL NUTRITION AGENCY (NaNA)

NaNA is the fiduciary agent for the grant provided by the World Bank Social Safety Net project. It will be responsible for all procurement and financial management tasks (including payments and financial reporting) related to the use of project funds to implement GAMSRS, with the exception of the funds transferred to GBoS for data collection (non-consultancy services) which will be covered by a separate MoU between OVP and GBoS. The detailed financial and procurement procedures are found in the Project Administration and Finance Manual.

2.3 GAMBIA BUREAU OF STATISTICS (GBoS)

Gambia Bureau of Statistics (GBoS) will carry out all field activities related to data collection for the Social Registry. GBoS will be the lead agency for data collection for GAMSRS, including structure listing, piloting the instrument, and training of field staff and coordinate the data collection exercise. GBoS will manage project funds received to cover the costs of data collection activities in accordance with its own established financial management procedures, and work with NaNA on the procurement of equipment and consultancy services as required, in accordance with the terms of an MoU between GBoS and OVP.

2.4 DEPARTMENT OF COMMUNITY DEVELOPMENT (DCD)

DCD operates at ward and community level with decentralized staff across the country. DCD in collaboration with other stakeholders shall be the channel of communication with households and communities during the awareness creation and advocacy of the project (PIC) and with regards to case management issues, (including missed households, appeals against inclusion or exclusion and complaints about quality of service). DCD will ensure that grievances are documented and passed to NSPS for resolution and ensure DSW is abreast of the grievances that arise in the communities.

2.5 DEPARTMENT OF SOCIAL WELFARE (DSW)

DSW is the lead agency responsible for delivering social welfare services in The Gambia. It has a team of social workers across the country. DSW will play an active part in community outreach and sensitization activities of the social registry. DSW officers will be responsible for maintaining oversight of progress on grievance resolution in their respective regions, and ensuring that grievances are satisfactorily resolved. DSW officers will share information on grievances with the NSPS to be included in the Registry.

2.6 WOMEN'S BUREAU

The Women's Bureau, the lead agency responsible for gender mainstreaming in all government policies and plans through its Information, Education and Communication Unit, will play an active part, will collaborate with NSPS alongside DCD and DSW, in communicating with and mobilizing communities and ensuring that all the tools in the GAMSRS are gender sensitive.

2.7 MINISTRY OF INFORMATION AND COMMUNICATION INFRASTRUCTURE (MOICI)

The ICT directorate, under its mandate will provide technical support in the preparation, tendering and management of any contracts for the development of software or procurement of equipment required for GAMSRS. In addition, the directorate shall supervise the software development process, testing and quality assurance conformance in close liaison with GBoS and NaNA. **stopped**

The Department of Information Services will lead the preparation of a PIC strategy, the design, production, implementation and monitoring of the PIC.

2.8 MINISTRY OF HEALTH

The Registry of Births and Deaths will play a part during the enumeration phase of the project, in facilitating the registration and issuance of birth certificates where required. The Ministry will support the development of data-hosting solutions for GAMSRS, and in particular the integration of the Social Registry with the proposed CRVS (Civil Registration and Vital Statistics) platform.

The Ministry of Health's Directorate of Health Promotion and Education will contribute to outreach and sensitisation activities.

3. THE PUBLIC INFORMATION CAMPAIGN

A key activity for the success of the registration process is an elaborate PIC to create awareness about the GAMSRS and help explain the registration process that will lead to universal registration of households. At the local level, it is necessary to implement community outreach and inform the public about the registration process. Outreach fosters basic awareness and understanding about the roles and functions of the Social Registry and its relation to social programmes. A key aspect of the outreach involves communication, to inform the intended population about the social registry and processes for registering in the Social Registry.

The Department of Information Services (DOIS) under the Ministry of Information and Communication Infrastructure will be in charge of the development of the PIC and coordinate the implementation of the PIC strategy. DOIS will also be involved in implementing the PIC Strategy along with different stakeholders including the Directorate of Health Promotion & Education; Women's Bureau; Department of Community Development; Department of Social Welfare, the TACs, MDFTs, CCPCs, women's groups, youth groups, religious leaders, national and international NGOs, CBOs, VDCs, and WDC. Technical oversight of the PIC will be provided by the TWG led by DOIS. DOIS will put in place mechanisms for closely monitoring and evaluating PIC's effectiveness in a timely manner as to make necessary changes and adaptations along the way.

The overall objectives of the strategy are to:

- a) Build GAMSRS's image as an efficient and reliable information tool that could potentially create opportunities for vulnerable populations to be included in the socio-economic programme
- b) Provide information and respond to queries about what GAMSRS is, what it does, and how it operates, as well as on its implementation progress and all relevant future developments related to the tool to mitigate negative perceptions and encourage registration
- c) Strengthen the capacity of communication stakeholders for improved and accurate message dissemination

The PIC shall clearly emphasize that simply registering is no guarantee of eligibility or enrolment for a programme or set of programmes. In addition, the PIC shall clearly explain the processes involved in the social registry, including the registration process (interview, home visit, and questionnaire), the type of information and documentation that would be needed, how data shall be stored and used, the processes for notification of potential eligibility or enrolment in social programmes, processes for grievances and appeals among others.

4. DATA COLLECTION IMPLEMENTATION PROCESS

The implementation process comprises of three (3) stages:

- i. Planning;
- ii. Data Collection Process; and
- iii. Data processing and cleaning.

4.1 PLANNING STAGE

A. SETUP INSTITUTIONAL ARRANGEMENTS

A number of ministries, departments, agencies and other institutions of the Government of The Gambia have undertaken to collaborate closely on the implementation of social registry. NSPS will develop an MoU whose purpose is to confirm the agreement of the participating bodies to:

- i. Collaborate actively on the tasks necessary to establish the GAMSRS, respecting the roles and responsibilities outlined in this handbook;
- ii. Commit the staff time and other available resources required to ensure timely implementation of the project; and
- iii. Take part in and share information with the TWG.

B. DEVELOP AN MOU WITH GBoS FOR DATA COLLECTION

OVP/NSPS and GBoS shall sign an MoU. This MoU is aimed at establishing the terms and conditions for collaboration and coordination between the OVP/NSPS and the GBoS in supporting the successful implementation of activities related to survey and data collection. The project shall benefit from knowledge and experience of the GBoS in the design and implementation of massive data collection effort, as well as for the monitoring and quality assurance of the process.

C. PROCUREMENT OF HARDWARE AND PREPARATION OF MATERIALS

At least, two (2) months before field staff are deployed to the field, NaNA and GBoS shall undertake the following:

- i. NaNA to complete the procurement of tablets and data collection equipment and its accessories and take delivery of all equipment at least 8 weeks ahead of the commencement of the data collection;
- ii. GBoS to ensure the availability of software for the data collection in the field;
- iii. GBoS to organize the production and printing of forms and manuals to be used during the data collection exercise. These include monitoring forms, data collection and listing manuals;

- iv. GBoS to provide maps which will be used to ensure inclusion of all households and grouping communities and assist in placing new communities identified during structure listing in to an existing enumeration area;
- v. GBoS to demarcate the Enumeration Areas (EAs) and assign field staff to the EAs;
- vi. GBoS to assemble all logistics for fieldwork e.g. vehicle, routers, tablets, printers, modems, among others.

D. DETAILS OF FIELD STAFF AND RECRUITMENT STRATEGY

GBoS will be responsible for selecting and hiring the field staff for the data collection exercise. The field staff will be temporary personnel for GBoS. The number of personnel to be recruited will be based on an estimate of households to be covered taking into account the estimated productivity per field staff. GBoS will contract the field staff for the duration of the exercise. GBoS shall use their internal mechanisms & policies for the recruitment of the field staff. Below is the ideal criteria for the recruitment of enumerators:

- i. Completion of secondary education;
- ii. Experience in household surveys;
- iii. Familiarity with the use of handheld electronic tools (e.g. Tablets, smart phones);
- iv. Fluency in English and at least one local language; and
- v. Willingness and ability to travel and work away from home during the data collection exercise.

GBoS will make every attempt to recruit previous survey enumerators who have undertaken any data collection exercise. Below is the criteria for the recruitment of supervisors:

- i. Minimum Senior Secondary School Certificate or equivalent;
- ii. Previous supervision and/or team leadership experience in household surveys; and
- iii. Willingness to travel and work away from home during the data collection exercise.

E. TRAINING MATERIALS

Fieldwork manuals will be developed by GBoS to help guide the enumerators and supervisors during the data collection. These manuals will be based on the Integrated Household Survey (IHS) and other household surveys training manuals. The manuals will be in English and shall include; screenshots, photographs or similar to illustrate the critical elements and cover the following elements:

- i. Tablet operation;
- ii. Survey protocol;
- iii. Troubleshooting and error reporting;
- iv. Meaning and implications behind each question in the surveys;
- v. Interview guide - how to enter a household, ethical considerations and return procedures;
- vi. Troubleshooting advice and frequently asked questions; and
- vii. Contact list.

GBoS shall share Fieldwork manuals with the NSPS before the commencement of the training exercise for comments.

F. TRAINING OF FIELD STAFF

The training exercise for the field staff will be in two phases. The first phase will be the training for the listing exercise, which will last for five (5) days and will be followed by the training for the main fieldwork, which will last for ten (10) days. A detailed outline of the training shall be prepared by GBoS with a detailed training schedule, qualification and experience of the trainers, the training venue will be shared with the NSPS. Supervisors shall participate in the same training as interviewers to provide them with a clear understanding of the questionnaires and the use of the tablets. In addition, supervisors shall undergo additional training module that clearly define the role of the field supervisors, and enable them to use the data and case management tools they will be using in the field.

The training process shall involve the several stages:

- i. Prepare/design the training (including training materials);
- ii. Train the trainers;
- iii. Deliver the training to field staff; and
- iv. Monitor and evaluate the training.

The content of the training shall include the following among others:

- i. The background, objectives and rationale of the GMSR;
- ii. General Overview of the Methodological Framework of the Data Collection;
- iii. Familiarization with the CAPI and PMT Questionnaire;
- iv. The Role and Conduct of the Field Personnel and the Reporting Structure;
- v. Feedback report from the pilot survey;
- vi. Detailed training on the paper PMT questionnaire;
- vii. Detailed training on the CAPI PMT Questionnaire;
- viii. Field exercise and feedback from the pre-test;
- ix. Complaints Procedure; and
- x. Field logistics and support.

A pre-test will be conducted for two (2) days following the training. The pre-test will be conducted for both paper based personal interviewing (PAPI) and CAPI. After the pre-test, there will be debriefing for the field staff to share experiences and any challenges they have encountered during the pre-test.

This will allow the survey coordinators to identify enumerators who are having problems or not reaching the required standards and address these before it affects the data collection. This will also enable the coordinating team to do the necessary adjustments on the questionnaire and data collection software. A report will be provided to the NSPS documenting the training outcomes, any adjustments made on the tool or the data collection software and any effects on the timeline.

G. DEVELOPMENT OF HOUSEHOLD SURVEY TOOLS

GBoS will implement a complete solution for undertaking household registration. A customized version of the questionnaire in Census and Survey Processing System (CSPPro) will be used for the data collection. Below shall be the key features of the proposed CAPI survey tool:

- i. It shall contain validation functionalities that would prevent enumerators from entering values outside a given range which reduces the number of data collection errors. It shall have the capability to show error reports and points enumerators to where the errors are.
- ii. It shall enable technical team to be able to make quick updates and correction of errors. The dynamic nature of the software should enable the team get the most value from the field testing, as changes can be made real-time based on feedback from the field.
- iii. It shall include functionality that allows supervisors to view and check completed household information as soon as the enumerators post them.
- iv. All household information transmitted between interviewers, supervisors and the coordinators shall be encrypted.
- v. The ability to display different sets of questions or to skip sections based on previous responses to save time.
- vi. The software supports the gathering of different types of data, such as Geographic Positioning System (GPS) coordinates, which is required in this exercise.
- vii. The application shall have an intuitive interface and that is easy to navigate.
- viii. The application shall provide multi-media assistance and displays alerts or warnings for error prone data fields and provides audio-visuals for such fields, assisting the operator and/or the member to make a correct decision on the required data.

The registration data shall be encrypted and secured with the industry best practices before transferring it to the data collection servers. The registration data will be saved on the memory of the device and on the Memory Card on the device to ensure complete backups and prevent loss of data at any point.

H. SYSTEM TESTING AND PILOT SURVEY

After developing the CAPI questionnaire (the survey tool), it shall be uploaded to the tablets and tested. Testing will include checking that:

- i. The flow of the questionnaire is as it should be;
- ii. The validation conditions and enabling conditions are all working;
- iii. The text is legible and of sufficient size;
- iv. Dropdown menus are fully operable and navigable; and
- v. Assess conditions and dashboards are working.

A pilot survey will be conducted. The pilot will be conducted in settlements that are not part of the districts identified for the exercise. The pilot survey will assess overall feasibility and operability with the objectives of:

- i. Testing of the questionnaires in the field under realistic conditions;
- ii. Identifying implementation and training problems;
- iii. Testing data connectivity and identify practicable remedial actions; and
- iv. Identifying procedural changes or alterations to the survey tool as required.

During the pilot survey, GBoS will review activities and prepare a report on the pilot survey on a daily basis. This is to provide sufficient information about any issues to be addressed and questionnaires or procedural functionalities that may need to be re-tested. Following the completion of the pilot survey, a debriefing will be organized for the field staff to discuss challenges encountered during the

pilot. Identify common issues and problems and to crowd-source solutions. Following the pilot survey, an evaluation will be undertaken by GBoS, to identify errors, lessons learned, and finalise the data collection instrument and implementation procedures. A report shall be prepared and shared with NSPS.

I. SUPERVISION PLAN

The management of GBoS will draw from its monitoring experience and implement a proactive and effective approach for the data collection. The team from GBoS will include, Field Coordinators, Secondary editors, Technicians, and Data Processing Personnel. The Survey Manager will be in charge of the overall coordination and implementation of the survey. The field coordinators will be responsible for the field deployment of the field staff and overall supervision of the data collection exercise.

Monitoring will be carried out weekly to ensure that data collection activities are executed as planned and the field staff adhere to protocols agreed for the data collection exercise. This is to ensure strict adherence to the programme objectives, and to monitor the effectiveness of the data collection.

J. STRUCTURE LISTING PLAN & PROTOCOLS

For any data collection exercise adopting census approach, the first activity to be carried out before the main field activity, is to identify the households to be included in the survey. This process is called structure listing. The listing operation represents one of the most important bias correction procedures in censuses and GBoS shall operationalize this method. The listing operation provides complete and recent information on number of residential households, households occupied, and households that are vacant.

GBoS will develop a work plan for the implementation of the listing exercise and keep track of the activities in a well-organized manner. The outcome of the listing exercise is expected to produce a comprehensive geo-database on the structures in the selected Local Government Areas (LGAs) for the first phase of the exercise. The database should show the geographical location of the structures and their attributes as required for the social registry process. This will be mapped within the delineated Enumeration Areas (EAs) to update the 2013 census maps. The updated maps will be produced to guide the enumerators in locating the structures and ensuring no structure is omitted or duplicated. This would also enhance effective monitoring and supervision of the teams.

The work plan will include the following:

- i. File structuring, storage & sharing formats;
- ii. Assessing the 2013 Census EAs and updating with 2015/16 IHS survey;
- iii. Developing listing forms;
- iv. Training – developing training modules or slides;
- v. Listing Procedure;
- vi. Field coordination – teaming and monitoring; and
- vii. Database Development and Management.

4.2 DATA COLLECTION

A. STRUCTURE LISTING AND UPDATING / PREPARATION OF LAYOUT MAPS

The Structure listing and numbering will involve identifying all structures (residential and non-residential) in the community and assigning each one of them a unique number. The exercise will be coordinated and overseen by two (2) listing coordinators. GBoS will recruit and train listers to undertake the listing exercise. A team of listers will be assigned a supervisor and a mapper, who will guide the listers during the listing.

Responsibilities of the supervisor

- i. Obtain base maps for all enumeration areas;
- ii. Assign EAs to team;
- iii. Ensure that all listing materials (manual for mapping and household Listing, mapping and listing forms) are obtained before going to the field;
- iv. Plan and organize fieldwork logistics (e.g. arranging for transport, identifying and contacting local officials and village elders in each EA to inform them about the listing operation and to obtain their cooperation);
- v. Receive and review duly completed listing forms and base maps and ensure that they are safely submitted at the central office;
- vi. Ensure that each enumeration area has been fully covered and listed; and
- vii. Monitor and verify that the quality of work is acceptable.

Responsibilities of the listing team

- i. Identify the boundaries of the enumeration area;
- ii. Draw a detailed sketch map showing the location of the EA and of all the structures it contains;
- iii. List all the structures and households in the EA in a systematic manner;
- iv. Complete all listing forms;
- v. Transfer all completed forms/data to the supervisor;
- vi. When possible mark the structure number on the entrance of the structures within the enumeration areas; and
- vii. Communicate to the supervisor problems encountered in the field if any and follow his/her instructions.

Responsibilities of the mapper

- i. The mapper with the listers will first identify the EA boundaries; and
- ii. The mapper prepares the location and sketch map.

TYPE OF HOUSES/STRUCTURES

A structure can be described fundamentally as anything that has the resemblance of a wall and a roof. A *house or compound* is a structurally separate and independent place of abode. The essential features are separateness and independence. These two features **MUST** hold for a structure to be given its own number (listed):

- i. Separate means the structure stands alone and can be identified as distinct from other structures in the community/locality.

- ii. Independent means the structure has its own facilities (toilet, bathroom, cooking area).

They may include but not limited to:

- i. **Detached Houses:** Each detached house should be assigned a separate number.
- ii. **Semi-detached Houses:** Each semi-detached house should be assigned a separate number.
- iii. **Block of Flats:** Each block should be assigned only a separate number.
- iv. **Compound Houses:** Each of the houses in a compound shall be given a separate number.

A *compound* is not necessarily surrounded by a wall, fence or a hedge. For example, a house, kitchen and toilet may constitute one compound whether or not they are surrounded by a wall, etc. It is important to note that a house or compound may contain one or more households. Any house or compound structure used as living quarters, e.g., a hut or a group of huts, containers and kiosks must be listed.

LISTING PROCEDURE

Prior to listing of structures in a community/locality, listers must be provided with Structure Listing Form/tools. The key features on the form/tool include:

- i. EA: The EA the lister is representing and undertaking listing of structures.
- ii. Name of Lister: The Name of Lister representing the community and who is undertaking the structure listing.
- iii. Structure Number: This is where the number the lister assigns to the structure is recorded.
- iv. Structure Type: Indicate whether the structure is Residential (R), Non-Residential (N) or both (R+N).
 - “R” = Residential (Structures for residential purposes i.e. inhabited by individual or a household as their daily sleeping or living abode)
 - “N” = Non-residential (This will cover all structures that are used for other purposes other than residential. It may be for commercial, storage, institutional etc. Examples include: container shops, schools, clinic/CHIPS compound, restaurants, hotels, school dormitories etc.)
 - “R+N” = Both (Non- residential structures which is partly used for residential purposes. e.g. drug store the owner sleeps in, drinking spot hosting the owner and family etc.)
- v. Description of Structure: Give direction to the location of the structure if residential and if non-residential, indicate the use of the structure. Examples;
 - Lamin’s house near the Alkalo’s compound
 - Lamin’s House behind the D.A Primary school.
 - Lamin’s House near the Africell mast(pole)

In listing or providing numbers to structures in a community, the following must be followed by the lister:

- i. Every house/structure in the community must be visited and provided a code.
- ii. The serial number must be written in chalk on the front door or on the wall near the front door or at any visible spot on the building where the rain will not wash it off. Every house/structure in the community must be visited.
- iii. This code together with other information is then recorded on the listing form provided as indicated on the wall or door post.
- iv. After writing on the walls or door post, copy the code into the listing form.

The listing operation must be carried out systematically. Where houses are built haphazardly, the structures in such cases shall be to divide the area into segments. The lister shall complete one segment before moving on to the next segment until all segments are completed.

FILE STRUCTURING, STORAGE & SHARING FORMATS

This will be implemented by the GIS and Cartography Unit of GBoS as part of the coordination and data management process during the listing exercise. The files to be generated should be kept at central storage with a common structure and format. This is to ensure efficient file management and sharing within the unit. After the listing, exercise shape files will be generated but also maps shall be exported in PDF and JPEG (picture) format. All files shall include metadata to give a brief description of the files.

GBoS shall assess the 2013 Census EAs, and update it with 2015/16 IHS survey. This will involve crosschecking that the entire census PDFs conform to the correct EA label or settlement and to check that the Geo Code tables match with the EA details. Although, such cases are rare, however if unnoticed until deployment may cause delays or even listing the wrong EA in the field. The EAs shall be updated using recent listing data from the 2015/16 IHS to produce maps prior to the deployment of the teams.

EA maps will be produced based on the output of the listing exercise. These maps will be used for the data collection exercise. The ID fields generated from the listing exercise will be linked to the main data collection.

B. FIELD DATA COLLECTION (HOUSEHOLD REGISTRATION)

The household survey shall be conducted electronically using a customized version of CSPro software made up of a web and android application. The mobile application shall be an android/windows application that is deployed on tablets/phones and support the android & windows operating systems. The mobile application shall support both offline and online modes, hence, allowing field agents in very remote areas where there could be no cell/data connectivity to still use the application. The feature of offline functionality allows collected data to be saved locally on a mobile device. The mobile application serves as data collection tool, that shall be used for all household registration activities and post registration updates.

Field enumerators will conduct face-to-face interviews to capture data from households including biographics and photos from all members in a process called Computer Assisted Personal Interview (CAPI). There will be in-line validations on the tablet to manage errors at the field level. Errors found at this level will not be allowed to be sent to the server until they are corrected. Again, there will be a local deduplication service deployed on the tablet to avoid households registering more than once with the same enumerator.

Completed interviews will be sent electronically via the CAPI device to the central data processing center where the data would be checked against quality assurance processes. Enumerators will be required to send all completed household data to their supervisors at the end of each working day when feasible. Supervisors will then perform a first-level validation check on the received data before transmitting it to the central site.

In the first phase of the data collection, a total of 120 enumerators and 20 supervisors are expected to be deployed for the data collection exercise. The listing team will gather information on the density of communities in each district from the community mapping and enumeration maps. From this information, a specific number of enumerators will be assigned to each district and will stay in the same area throughout the enumeration period to work in one or several communities. This will ensure familiarity of the district and communities and to reduce inter-district travels and avoid the use of interpreters.

Field staff will be allocated tasks based on the most fluent language spoken. At the central level, all teams will be required to complete an equal number of enumeration areas. At the team level, the supervisor may use their discretion in the allocation of tasks to team members.

Prior to deployment to the field, the coordinating team at the central office must ensure distribution of all required materials in the field (tablets, route maps, stationary, name tags, mobile phone cards, spare batteries for the tablets etc.) is done in a timely and efficient manner.

PROTOCOLS FOR REPORTING ERRORS AND CORRECTING ERRORS IN THE FIELD

Supervisors shall review the data from the enumerators while the team is still in the EA. Any errors detected in the data will then be discussed with the enumerator and if necessary, the enumerator will be required to return to the household to correct the errors.

QUALITY CONTROL DURING DATA COLLECTION

Supervisors, field coordinators and M&E teams will be required to conduct spot checks in randomly selected households. These spot checks will be based on selected critical modules and/or questions that will be programmed in the tablets for the supervisors and coordinators and they will be conducting interviews on these same modules and/or questions to compare with the data that is collected by the enumerators.

Regular checks will be conducted regarding how the teams are implementing all the protocols enshrined in the training manuals as well as how the field staff are complying with the rules set out for them. This will be done by M&E team during their spot-checking visits.

The data quality assessment will be done through field check tables, which will be generated on a regular basis to assess how consistent the data collected are. Constant contact will be established with the teams and the coordinators will be closely monitoring the field staff during the entire exercise. Where there is need, continuous content guidance will be provided to the teams in a timely manner.

Additional household checks will be performed within two (2) weeks after the original questionnaire has been submitted. To enable appropriate check-backs, a subset of questions that are highly unlikely to change over a two-week period, such as house construction material, will be constructed and administered to respondents. Any discrepancies will then be flagged and appropriate action taken.

QUALITY CONTROL BY THE DATA PROCESING TEAM

All complete interviews that gets to the server level shall go through another set of validations. This is to ensure that, all data sets conform to the acceptable formats and do not contain errors that cannot be detected by the system. At this level, risks are mitigated with additional layer of manual checks to compliment risk mitigation strategies implemented on the device and at the server levels. This system shall allow the data processing personnel to push errors back onto the registration device and push successful responses to be stored for further processing.

DEVICES MANAGEMENT

GBoS will develop protocols for assignment and management of devices, to ensure appropriate use and security of the devices. During the data collection activities, each field staff will be responsible for the handling of the devices allocated to them. The return of the device in a reasonable condition will be a condition for final payment of each field staff and will be indicated in the contract. All devices must be handed over to the supervisor, who ensures all devices are in good condition. The supervisor then hands over the devices to the coordinating team who will confirm the condition of the devices. Following the completion of the data collection, all devices will be stored at NSPS and will be made available for use in case there is need for a field revisit.

DATA TRANSMISSION AND SECURITY MEASURES

Data shall be transferred from the CAPI devices to data collection_servers over internet connectivity. Each CAPI device will have GSM data SIM card that allows data transmission. Data Collection servers shall be hosted in GBoS in their data center. The transmission of data from CAPI device to GBoS servers must be secured from attackers.

To achieve security of data from CAPI devices to Data Collection servers, GBOS will use Secure Sockets Layer (SSL) for all its data transmissions. SSL is the standard technology for keeping an internet connection secure and safeguarding any sensitive data that is being sent between two systems preventing criminals from reading and modifying any information transferred, including potential personal details. It does this by making sure that any data transferred between the two systems remain impossible to read. It uses encryption algorithms to scramble data in transit, preventing hackers from reading it as it is sent over the connection.

FRAMEWORK FOR DATA COLLECTION

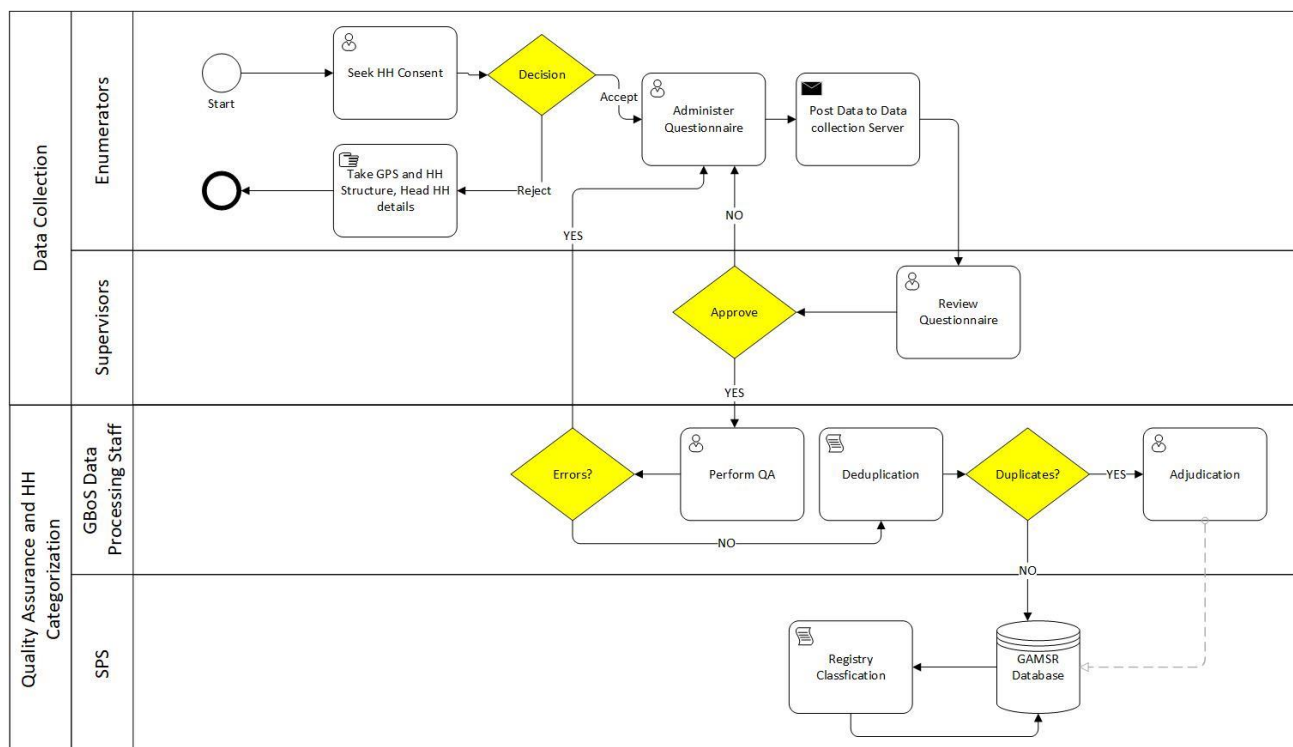


Figure 1: Data Collection Process

The framework for Data Collection and processing is as follow:

- i. *Household Consent*
 - The enumerator shall establish rapport with the respondent, this is very important, as this first impression of the enumerator will influence the respondent's willingness to participate in the survey.
 - Enumerators shall introduce themselves as set out at the start of the questionnaire and as set out at the start of the household questionnaire, reads out the consent statement to the respondent. The respondent will either agree or refuse to be interviewed.
- ii. *Take Geocode and picture of the household structure (Applies to all cases regardless if the respondent refuses to be interviewed)*
 - Using the Geocode and camera features on the tablet, the enumerator will record the geocode of the household and take a photo of the front side of the household.
- iii. *Record Head of Household Details (Applies to all cases regardless if the respondent refuses to be interviewed)*
 - Using the CAPI, the enumerator will collect the information of the head of the household (name, last name, date of birth, etc.). In cases where the head of the household refuse to be interviewed, the enumerator must indicate the reason for refusal.

iv. *Administer Questionnaire (From this step onwards, only applies to households that have agreed to be interviewed)*

- An adult household representative 18 years and above should provide the information required by the enumerator
- The enumerator conducts the interview. The interview starts with core household location details and the complete roster.
- Complete name and photograph must be taken for members present above the age of 15 years.
- Pictures of ID cards and/or birth certificates presented must be taken for each individual.
- Once the interview is completed, the enumerator verifies the summary of the information gathered before saving the interview.

v. *Post Data to Data Collection Server*

- After interview is completed, the enumerators will synchronize the data gathered and send it to the data collection server using the data connectivity provided by the tablets SIM cards or where Wi-Fi has been setup for data collection purposes through the supervisor.
- For areas with limited connectivity, the data should be synced to the data collection server at the end of each day, or once the data collection team has reached an area with connectivity.
- Data Collection server shall provide login credentials and VPN connectivity for secure transfer.
- Data syncing process will be initiated at the community and will work automatically at the data processing center/GBoS Data Center.
- Data must be kept for at least 48 hours after SUCCESSFUL POSTING before deletion from tablets. The deletion of the data will be controlled by the Data Processing Manager through the Survey Software. It is also a mandatory design decision for data security and also because the tablets may not have enough storage

vi. *Supervisor Checks*

- When data from interviews is submitted by enumerators to the data collection servers, the supervisors shall receive completed interviews from the enumerators
- They shall review information in completed interviews and leave comments; and may approve or reject the submitted data.
- Rejected data shall be returned to the enumerators tablet for correcting.

vii. *Perform Quality Assurance*

- The data processing team shall review the data submitted per household for errors and inconsistencies. This is to ensure that, all data sets conform to the acceptable formats and do not contain errors that can be detected by the system.
- The data processing team will set interviews to “invalid” to qualify it as an error. Once changes are made and saved, interviews will be marked as reviewed. Saved errors will be pushed back to enumerators to fix in the field. A typical use case for this scenario is when an enumerator captures a male picture in place of a female, the CAPI is not able to validate

this error. The data processing team during validations will set this profile to an error state, and it is automatically pushed back to the CAPI for the picture to be recaptured by the enumerator.

- Where a number of enumerators across teams are making the same errors, correction of the errors will be communicated to supervisors who will take the necessary steps to address the issue through improved training for new staff and retraining of existing staff.
- Where an enumerator is making the same error repeatedly every after re-training, he/she should be suspended from the data collection team.

viii. *Return data to the Enumerator*

- This system shall allow the data processing personnel to push errors back onto the CAPI device that collected the data for the enumerator to be corrected.
- The corrected data will come through the same channel as the freshly collected data.

ix. *Transmit error-free data to the Deduplication System*

- The data received is packaged for transmission to the deduplication service
- The service will log all the transactions involved with the data transfer including errors encountered
- The dashboard will show the number of households transmitted, number received by the deduplication service and the errors encountered

x. *Deduplication*

- For a valid, high-quality database, it is important that there be no duplication, meaning that no one is registered more than once. The household data is de-duplicated by the software, and matches are sent into the adjudication service.

xi. *Adjudication*

- The data processing staff will review all data that has been marked as potential duplicates to confirm if indeed they are duplicates.
- Staff from the GBoS & NSPS will be able to quickly judge potential duplicate records detected by the Data collection Software and give a feedback of decision into the system.
- The software-assisted adjudication process enables a review and validation of potential duplicates. The adjudication software, which shall be part of the data collections software, shall allow for visual side-by-side comparisons of biographic data, including facial with rated scores to assist the reviewer from the GBoS & NSPS
- Confirmed duplicates may be flagged as duplicates and approved for deletion by the Data Collection Coordinator

xii. *Transmit De-duplicated and clean Data to GAMSR*

- Once the data has passed the QA test and deduplicated, the households and household member(s) will be assigned GAMSR unique household and member IDs respectively
- This is passed onto the Social Registry Database for Categorization.

xiii. *Report on Data received*

- Data Processing Office of GBoS, together with the M&E Staff of NSPS will be responsible for data submission and review reports on deduplicated data, review data quality, daily progression and area wise segregation with complete audit trail of each entry.

xiv. *Registry Poverty Classification*

- The NSPS calculates the PMT score for each household that is received from the deduplication service

4.3 DATA PROCESSING AND CLEANING

The key to ensuring data quality during this survey will be; (a) ensuring the households are actually visited and the survey is conducted appropriately; and (b) responses are valid, complete and consistent. Whilst tablet-side validation and enabling conditions can, and do, improve data quality, some database-side analysis is still needed.

The data quality control will be largely built into the questionnaires and therefore reduce the need for post-data collection cleaning processes, providing a far cleaner dataset from the submission of the data. Cleaning will still be required as enumerator and respondents may submit what they determine as realistic responses, but final data quality and data cleaning procedures will be documented and confirmed with the NSPS following the implementation of the pilot survey.

Post-collection data cleaning and quality assurance concerns identifying, flagging and amending where data is found to be incorrect, incomplete or/and duplicated data within the database. With the use of CAPI and integrated validation and enabling conditions within the questionnaire post-collection cleaning times are generally reduced as much of the traditional validation work undertaken in the office post-collection can now be done automatically in the field and corrected. This reduces final errors and allows issues to be flagged and clarifications/corrections to be made in the field, thus significantly limiting the need to dispose of surveys which previously would have been incorrectly completed.

The data will be field-validated as far as possible and then fully cleaned by analysts at GBoS using data cleaning code prepared using a statistical package. The following checks will be performed.

Data consistency. Data consistency checks will focus on the key variables in the data set and those variables where similar or same responses are likely to be made and variables for which incompatible responses are likely, for example a household with no electricity supply uses a refrigerator. Whilst most of these will be flagged on the tablet side, backward validation issues will require some post-collection cleaning and potentially follow-up phone calls or visits.

Backward validation. CAPI software performs poorest with tablet based backward validation. Backward validation on CAPI means that a future response will validate past responses in a questionnaire. This requires the enumerator to find and return to the previous response that is now flagged as an error and can lead to routing errors. Whilst this is normally avoided with ensuring the flow of the questionnaire is correct, in some cases it is impossible to avoid e.g. where there are two

people indicated as head of household. Therefore, these are normally better cleaned at the server side where the analyst can pick up these responses and amend the data as necessary.

Duplicates. Similar to backward validation, duplication of responses is difficult to detect in real time on the tablet side. Duplication of responses of surveys often require communication with the server to confirm what has been previously uploaded by all tablets in the area. This is not always possible and therefore response duplication or survey duplication need to be identified during desk based data cleaning activities and not on the tablet.

Missing Variables/values. It is possible that the enumerator will accidentally skip a question and complete a section. Whilst tablet-based checks can flag to the enumerator that they have not completed a question, it could be possible that the respondent refused to answer that question. GBoS will build checks on the tablet side but a refusal is still possible.

Outlier Response. The team will identify, through statistical and visual means, outliers within the data set and amend, correct or remove these so as not to affect the main dataset. Many of the outlier responses should be controlled by the data validation commands, however using a soft validation with override approach means these can still enter the dataset and need to be cleaned.

5. MONITORING AND EVALUATION MECHANISMS

Monitoring and Evaluation (M&E) at all levels of the project is crucial to ensure the successful implementation of the GAMSR. Effective M&E system will enhance transparency, accountability, public confidence and enable corrective measures to be put in place to improve upon program performance. Monitoring tools shall be developed by NSPS and shared with all implementing partners through the TWG for their input.

The following activities shall be monitored:

- i. PIC Monitoring: MoICI in collaboration with all implementing partners shall monitor and report on the execution of the Public Information Campaign.
- ii. Data Collection Monitoring: NSPS with the assistance of the TWG and Process Evaluation Consultant shall conduct spot checks to monitor all aspects of data collection.
- iii. MIS Monitoring: Data transmission and validations during implementation of data collection in an operational area will be tracked using agreed upon tools designed in collaboration with GBoS.
- iv. Grievances and data updates monitoring: The GAMSR will keep track of complaints and updates associated with the project. The Grievances and Update Officer, through the GRM will keep records on grievances reported and their resolution status. A report on status of resolution and pending grievances will be generated and communicated on a monthly basis by the Grievances and Update Officer.

Information produced from the various levels of implementation will be made available to NSPS and GBoS to redefine and respond to activities on the field or adjust processes as lessons are learned. The following matrix presents a broad results chain for assessment of progress and results of the implementation of the GAMSR. Indicators set for these results levels must be tracked using an MIS system. Graphical dashboards depicting the figures (progress) on these indicators with tabular presentation of results will be displayed to serve as a means of reporting on the indicators. This framework can be modified according to the needs and requirements identified in the course of implementation.

| Activities | Outputs | Outcomes |
|--|--|--|
| <ul style="list-style-type: none"> • Undertake Public Information Campaigns • Undertake Stakeholder Engagements • Recruit and train field staff for data collection • undertake household registration • Perform Quality assurance tests • Establish comprehensive GRM | <ul style="list-style-type: none"> • Publicity and awareness on GAMSAR created • Stakeholders engagements carried out • Household registered and synced • field staff recruited and trained • Quality measures applied on household data received • Accessible channels for reporting complaints and updates established | <ul style="list-style-type: none"> • Stakeholders' knowledge on GAMSAR enhanced • Registered Households categorised based on PMT score • National database on poor and vulnerable established • Cleaned and quality household data shared with SP programs • complaints and updates managed |

5.1 PIC MONITORING

The PIC will be monitored as defined in the communication strategy annexed

5.2 DATA COLLECTION MONITORING

Internal Monitoring will be coordinated by OVP/NSPS, specifically by the M&E Officer. Electronic-tools shall be developed for monitoring. The e-tools shall be linked to the SRIS, where all the indicators to be monitored shall be visualised on an M&E Dashboard.

Internal monitoring shall be utilized to learn about the registration progress and serves as a warning system to identify any shortcomings with regard to the delivery of inputs and development of activities, so that corrective measures can be undertaken in time. This will include monitoring all activities involved during data collection.

The table below shows a selection of the M&E performance indicators to assess the progress and results of the data collection process. These indicators will be modified according to the needs and requirements identified during the GAMSAR implementation.

| S/n | Variables | Indicators | Data Collection Period | Formula |
|-----|--|---|------------------------|--|
| 1 | Number of publicity strategies implemented by type | This indicator measures means GAMSAR used in reaching out and creating awareness on the project to stakeholders | Monthly | Count the different strategies adopted by GAMSAR for publicity |

| | | | | |
|---|---|--|--|--|
| 2 | Data collection for Social Registry in selected districts completed | Number of districts registered | Monthly during the collection | Total number of districts covered |
| 3 | Coverage by LGA | Percentage of LGAs covered by registration process | Monthly during the collection | Total LGAs Covered/Total LGAs *100 |
| 4 | Coverage by Household | Percentage of households to which the Questionnaire has been applied (disaggregated by Region, district and community) | Weekly during the data collection process and the end of the process | No. of households to which the Questionnaire has been applied/Total households that the Questionnaire should be applied *100 |
| 5 | Households that Declined Interviews | Percentage of HHs that refused to give their consent to be interviewed (disaggregated by Region, district and community) | Weekly during the data collection process and the end of the process | Total households that refused to give their consent to be interviewed / total number of households visited for interview*100 |
| 6 | Households Covered but Not Categorized | Percentage of Households with incomplete information = unable to run the PMT (disaggregated by Region, district and community). | At the end of the data collection process | Total households with incomplete information/Total households to which the PMT Questionnaire has been applied *100 |
| 7 | Categorized Households | Percentage of households Categorized based on the PMT (disaggregated by Region, district and community). | At the end of the data collection process | Total households Categorized based on the PMT / Total households to which the PMT Questionnaire has been applied *100 |
| 8 | Percentage of households categorized (Extreme poor, poor and Non-Poor) based on the PMT by type | Proportion of households classified as poor, vulnerable or non poor after all quality checks have been carried out on household data received from GBoS. | Biannual | Count number of HHs classified after PMT scoring and divide by total number of HHs whose data passed all quality checks. The results will be multiplied by 100 |

| | | | | |
|----|--|---|------------|--|
| 9 | Households Appealed | Percentage of non-poor households that appeal after PMT application | Bi-monthly | Total of non-poor households that appeal after PMT application / Total non-poor households after PMT application *100 |
| 10 | Households that Have Appealed and their Categorization Changed | Percentage of non-poor households that appeal after PMT application and after reapplying the PMT questionnaire their categorization changed to poor | Biannually | Total of household their categorization changed to poor after reapplying the PMT questionnaire / Total of non-poor households that appeal after PMT application *100 |
| 11 | Household Information Update Request | Percentage of households that submit an information update request | Annually | Total of households that submit an update request/Total households to which the PMT Questionnaire has been applied *100 |
| 12 | Household Information Updated in GAMSR Database | Percentage of households that submit an information update request and the information was updated in GAMSR Database. | Annually | Total households that submit an information update request and the information was updated in Database / Total of households that submitted an update request *100 |
| 13 | Data Sync/Pulled | Number of households transmitted from tablets. | Daily | Total Number of households synced with the data collection servers |
| 14 | Number of household data received for QA | Households registered by enumerators and their | Daily | Count the number of households |

| | | information transferred for quality checks | | transferred for quality checks |
|----|--|---|--------|---|
| 15 | Percentage of registered households to which the QA has been applied | Households that has passed through the GAMSRS quality checks | Daily | Count the number of households that quality assurance test has been applied to and divide by the total number of households received. The result is multiplied by 100 |
| 16 | Percentage of Households that passed QA tests | Percentage of registered households successfully taken through the quality assurance test | Daily | Count the number of registered households that QA has passed through divided by the total number of registered households. The results is multiplied by 100 |
| 17 | Cleaned Data | Percentage of cleaned Household data | Weekly | Total Number of cleaned households / Total number of households *100 |
| 18 | Complaints associated with the data collection | Percentage complaints received and resolved during data collection | Weekly | Total number of complaints resolved/Total Number of complaints received |

5.3 EXTERNAL MONITORING AND EVALUATION

GAMSRS will benefit from having a well-designed error, fraud and corruption (EFC) free process that includes good oversight and controls for addressing data quality. Fraud occurs when the applicant at the time of registration provides wrong information intentionally, while error occurs when it is unintentional. Corruption occurs when the staff intentionally changes information of applicants for its own benefit without applicant consent. NSPS shall put in place control mechanisms to deter error, fraud and corruption. These can be achieved by carefully designing appropriate external monitoring activities. External monitoring also includes qualitative and quantitative evaluations of the entire data collection process through spot checks and process evaluations.

The Spot Checks will provide the quantitative side of the evaluation to verify that GBoS has implemented the questionnaire in an accurate and consistent manner. The process evaluation will provide qualitative insights on the effectiveness of the fieldwork implementation, taking into account different implementation aspects such as training, logistics and communications.

The process evaluation and spot checks will be outsourced to a Spot checks and Process Evaluation Consultant/Firm with the purpose of:

- i. Assessing whether GBoS is implementing the registration process following the methodology described in the Operations Manual.
- ii. Evaluating the quality of the fieldwork conducted by GBoS, as well as their overall performance during the Registration Process.
- iii. Validating the accuracy of the information received by OVP with respect to original fieldwork carried out GBoS
- iv. Assessing if the registration methodology is producing the outputs expected from the registration process.
- v. Reviewing the implementation approach recommended in the Operations Manual and provide evidence-based advice on which improvements may be incorporated in the GAMSR registration process.

Process Evaluation activities will include the following:

- i. Verify that the data collection firm/organization has appropriately conducted standardized training on the data collection process for all staff;
- ii. Verify that the Public Information Campaign follows the guidelines established by SP Secretariat;
- iii. Confirm that the design of the logistics plans is in line with the guidelines and in accordance with the agreed fieldwork methodology;
- iv. Hold regular meetings with SP Secretariat to provide timely feedback for appropriate changes and corrections to be made by the data collection and software solution firm;
- v. Monitor and confirm that all registration activities have been carried out in accordance with the rollout procedures;
- vi. Submit an evaluation report at least one week after the data collection and software solution firm have concluded the process in a particular area;
- vii. Provide timely feedback to the SP Secretariat on observed activities and recommendations for corrective actions based on field observations.

The aim of spot checks is to verify the quality of information collected by GBoS during the fieldwork. Specific tasks include the following:

- i. Verify the information collected by GBoS through the questionnaires in selected areas of an LGA;
- ii. Collect information on a sample of households in an LGA and calculate their score;
- iii. Make a comparison between scores resulting from the evaluated sample and the scores provided by GBoS;

- iv. In case of any significant discrepancy in the two scores, inform GBoS, through SP Secretariat Unit to improve its data collection;
- v. Submit the analysis report to SP Secretariat in case discrepancies persist.

The mechanisms for collecting the information may include but are not be limited to: key informant interviews, focus group discussions, questionnaires, sample surveys, systematic observation and data analysis. The Firm/consultants shall elaborate the methodology in their proposals, which can best answer the evaluation questions and measure proposed indicators. The proposal should also include the sampling methodology for appropriate qualitative and quantitative data.

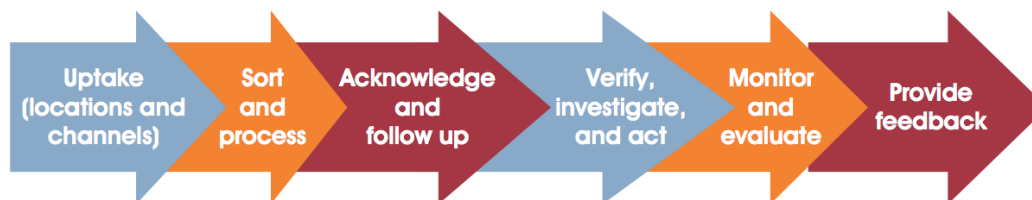
6. GRIEVANCE REDRESS MECHANISM AND DATA UPDATES

The Grievance Redress Mechanism (GRM) will provide the platform for receiving and addressing social registry complaints and concerns, including potential issues that may arise during the implementation of the GAMSRS. The GRM shall include multiple mechanisms that allow the public to file complaints about any activities being implemented for the development of the GAMSRS. These activities include the public information campaigns, household listing, household registration and assessment, and perceived categorization errors. The SRIS will include a module for the GRM, which will provide functionality for electronic grievance registration, workflows for grievance resolution, and functionality of data updates.

The GRM shall include series of preventive and forward-looking measures to enhance efficiency and credibility of the grievance resolution process. These include:

- **Involving the public in the design:** Engagement of the communities to (i) identify potential disputes that could arise during the operational cycle, (ii) household preferences on ways to raise concerns, (iii) existing community procedures for resolving complaints, and (iv) the availability of local institutional resources for resolving disputes and conflicts.
- **Creating easy accessibility:** A mechanism that is accessible to all citizens. Multiple points of entry will be available, including face-to-face, written complaints, phone, web or e-mail.
- **Widening the scope of issues:** The GRM is designed to capture wide range of concerns including operationally centred ones (described above) and those arising from perceptions. Attention to perceived concerns may help pre-empt 'hazards' before they materialize into actual grievances.
- **Reporting back to the community:** NSPS will provide quarterly feedback to relevant stakeholders to clarify expectations about what the mechanism does and does not do; to encourage people to use the mechanism; to present results; and to gather feedback to improve the grievance system. Information reported back might include types of grievances and how they were resolved, and the way the grievance has influenced the policies, procedures, operations, and the grievance mechanism itself.
- **Using a grievance log to monitor grievances:** A grievance log (or register) will be used to register grievances and all actions done to resolve them. The community will be provided with paper-based forms. Once completed, these shall be submitted to the GRM & updates officer for inclusion into the GRM Database (part of the SRIS).
- **Evaluating mechanism to improve the system:** NSPS will periodically conduct an internal audit of the GRM system to evaluate and improve its effectiveness. Important elements of this evaluation will include: general responsiveness of the mechanism; whether it is used and by whom; the types of issues addressed; the ability of the mechanism to resolve conflicts early and constructively; the actual outcomes (impacts on operations, management systems, and citizens); timeliness; and, most fundamentally, the ability to accomplish its stated purpose and goals. At certain times, the NSPS will also solicit and include the views of stakeholder representatives to see how the mechanism is proving effective in practice.

The GRM is divided into six steps shown in the figure below, which allocates responsibilities to relevant program-related staff and structures, establishes deadlines for actions of both the program and the aggrieved party, and explains mechanisms for communicating the whole process, particularly at community level



6.1 UPTAKE (LOCATIONS AND CHANNELS)

The following table presents the different uptake locations and channels available and the specific grievance receiver for each channel;

| S/n | Uptake location | Uptake channel | Receiver |
|-----|---|--|---|
| 1 | Community | Grievance forms; interpersonal communication. Anonymous grievance can be submitted to trusted persons | Village development committees; MDFTS, community leaders, youth leader, women leader, religious leaders |
| 2 | Wards | Help-desks Complaint boxes (anonymity) | MDFTS |
| 3 | Regional offices of community development | Help-desks (project information points) Hotline (text and phone calls) (anonymity) | CDOs |
| 4 | Regional level | Referral to the TAC | CDOs |
| 5 | Regional social welfare offices | Referrals to the TAC sub committee | Regional SW officers |
| 6 | NSPS | Hotline (phone / sms) /email (anonymity) | Grievances and updates officer/SUB-COMMITTEE ON GRM |

Village Development Committees, MDFTs, CDOs, will be trained and equipped to register grievances on behalf of households or other stakeholders. They will be trained on types of grievances, how to register the grievances and record the details using a paper tools and e-tools where applicable. Any member of the VDC and/or CDO will be able to lodge a complaint on behalf of households or other stakeholders, or can report problems that they directly observe based in the communities. Regional SW officers will be trained on data collection/household registration. This is useful for grievances that require households to be revisited for data collection.

VDCs, MDFTs will be required to:

- i. Review grievances, determine the source of the problem and take action where required to ensure their resolution and to then provide feedback to the complainant on how their issue was resolved.
- ii. Report to the Regional SW officers & GRM and Updates Officer on complaints, resolution, functioning of the committee and all other GRM related issues on a weekly basis.
- iii. On a weekly basis, send logbooks to the GRM and Updates Officer who will then insert the information into the SRIS database
- iv. Forward/refer all grievances that require database changes/updates of the GRM and Updates Officer for resolution.
- v. Conduct preliminary inquiry into quality of service cases and if required, forward to the Regional SW officers and NSPS for further investigation or support.
- vi. Support in communicating outcomes of cases to complainants as appropriate

Required tools for the implementation of the GRM:

- i. Paper based Household Survey Questionnaire.
- ii. Paper Based Tool for grievance recording (Grievance Form).
- iii. Mobile handset with programmed grievance tools.
- iv. Informational materials on the GRM.
- v. Grievance reporting format and electronic recording mechanisms / tools as appropriate.
- vi. GRM dashboard database for recording grievances.

The Grievances and Updates officer of NSPS shall:

- i. Receive complaints related GAMSRS via telephone hotlines or in person complaints. Where they are GAMSRS related, record them on paper using the correct reporting format and update the electronic GAMSRS GRM database.
- ii. Coordinate work and liaise regularly with VDCs, MDFTs, Regional Social Welfare Officers, and on a routine basis.
- iii. Review GRM database on a daily basis to review incoming complaints, and ensure they are being followed up or resolved by the relevant officers.
- iv. Respond to information requests related to reported grievances (for example queries about household assessment) or other information requests, for example raised by the public on the Social Registry
- v. Receive, analyse and consolidate reports on the national level for grievance redress and information clarification / queries on a quarterly basis and report to NSPS any outstanding problems or issues

6.2 SORTING AND PROCESSING

After receiving a grievance, the receiving officer shall categorize the grievance, first based on its admissibility (i.e., if the grievance has merit), then on its classification.

- **Admissibility:** Some grievances fall within the scope of the GRM, others not. Admissible grievances are those that concern the social registry and fall within the scope of issues that this mechanism can handle

- Inadmissible complaints include those that are not social registry-related or are not within the GRM’s mandate (e.g. complaints that relate to enrollment decisions of the social protection programs). Grievances that cannot be handled should be logged and referred to relevant structures. Social cases, for instance, should be referred to the social welfare. If the complaint is rejected, the aggrieved party should be informed of the decision and the reasons for it.

The following are the classifications of grievances expected:

- i. **Missed out/excluded households:** Households that were not interviewed by GBoS or were missed out due to any reason, such as: declined to be interviewed, were not at the community at the time of the information gathering process, etc. can also appeal through the GRM.
- ii. **Inclusion of non-poor households:** community members may lodge a complaint against households categorized as poor by the GAMSRS, but the community feels the household is non-poor.
- iii. **Exclusion of non-poor households:** Households which were declared non-poor, and therefore ineligible for poverty-targeted social protection interventions, but who consider themselves poor.
- iv. **Information update request:** occurs when the head of the household or any of the partners requests a household information update because there have been significant changes in household structure and/or composition, due to births, deaths, move to new housing and infrastructural changes. Information updates may also be required due to erroneous and/or incomplete information captured during the information gathering process such as address, names, date of birth, Scorecard fields.
- v. **Complaints about Quality of Services:** Occurs when any one complains about the general quality of the service provided by GBoS and/or any partner organizations.

After categorization, grievances should be logged (in the grievance form, grievance logbook or SRIS) and assigned for follow up and resolution. Grievances that cannot be resolved at one level of the system are reassigned to actors at higher levels. For example complaints that cannot be resolved on the spot by the Village Development Committees (VDCs) should be directed to a higher level, either to the MDFT, CDOs or the GRM and Updates officer at NSPS. The decision on whether the issue can be resolved on the spot or needs to be referred elsewhere requires some judgment on the part of the VDC.

6.3 ACKNOWLEDGEMENT AND FOLLOW-UP

Once the complaint is admissible and has been categorized, the person receiving the grievance should: acknowledge its receipt in a communication that outlines the grievance process; provide contact details and, if possible, the name of the contact person responsible for handling the grievance; and indicate how long grievance redress is likely to take. A grievance identification number shall be automatically generated from the SRIS once the grievance has been submitted to the SRIS. The complainant shall be provided with the grievance identification number, which shall be

used for follow-up. It is expected that all grievances shall be resolved within 30 working days from the date of receipt.

6.4 VERIFICATION, INVESTIGATION AND ACTION

This step involves gathering information about the grievance to determine its validity, and resolving the grievance. The merit of grievances should be judged objectively against clearly defined standards. Detailed procedures for handling each type of grievance have been provided below.

A. PROCEDURE FOR HANDLING MISSED OUT/EXCLUDED HOUSEHOLDS GRIEVANCES

This refers to situations where households were not interviewed or missed during the data collection exercise. These households may appeal to be interviewed and would need to be interviewed. The procedure for handling this type of grievance will be as/is as follows:

- i. A missed/excluded household at the community level should channel their grievance through the VDC.
- ii. A VDC member, upon receipt of any complaint, will examine it and forward to the MDFT, who will in turn examine it for necessary action.
- iii. If the MDFT agree that the complaint has a merit, they will refer it to the CDO/SWO. Where the CDO/SWO confirms that the complaint is genuine, they will forward it to the National Social Protection Secretariat for final examination and the inclusion of the household in the Social Registry.
- iv. Once the complaint is received by Grievances and Updates Officer, the officer shall confirm if the household is missing in the SRIS, after which an interview request will be generated and sent to Regional Social Welfare offices who will plan and coordinate a new visit to this household to apply the PMT questionnaire. In case the household exists in the SRIS, the household shall be informed accordingly
- v. After the PMT questionnaire has been applied and the information available at the -SRIS, the system will run the PMT formula to the household and a PMT score will be obtained. Based on the positioning of the score with relation to the cut off points the household will be categorized as poor, non-poor or extremely poor.
- vi. The household will be notified via the VDC about the result of the process.

B. PROCEDURE FOR HANDLING INCLUSION ERRORS

This refers to instances where particular households are categorized as poor or extreme poor by the GAMSR; but individuals or groups from the community submit a complaint challenging the inclusion of such households arguing that the said households are non-poor. The procedure for handling this type of grievance will be as/is as follows:

- i. Complaints may apply by filling out a Grievance Form. The Form should be signed by all complainants and include the list of households they want to have excluded for not being poor.
- ii. The VDC/ MDFT will review and validate the form and provide assistance to the groups/individuals in case the form has errors. MDFT will conduct an

- investigation/assessment of the case presented and will transfer the grievance to NSPS/ Grievances and Updates Officer to be processed if the grievance has merit.
- iii. The Grievances and Updates Officer will check on the GAMSAR Database and verify that all household submitted are on the GAMSAR database and are categorized as poor or extreme poor.
 - iv. A re-interview request will be generated and sent to Regional Social Welfare offices who will plan and coordinate a new visit to this household to apply the PMT questionnaire.
 - v. After the questionnaire has been completed, it shall be transferred to NSPS for further processing. Information from the Form shall be submitted to the SRIS, and the system will run the PMT formula on the household(s). A new PMT score will be obtained and the household shall be categorised accordingly.
 - vi. In the event that the new categorization qualifies the household as poor or extremely poor, the system will maintain the original status.
 - vii. In the case that the new categorization qualifies the household as non-poor (different status than previously had) the system will assume the new score as current, change the status to non-poor. The previous score will be stored in the historical record of the household.
 - viii. Regardless of the score, the affected household and the group of people from the community that made the request will be notified through the VDCs

C. PROCEDURE FOR HANDLING EXCLUSION ERRORS

This refers to households that were declared non-poor but who consider themselves to be poor or extreme poor and **assert that incorrect information was collected from them during the data collection process**. The procedure for handling this type of grievance will be as/is as follows:

- i. Complainants may apply by filling out a Grievance Form.
- ii. The VDC/ MDFT will review and validate the form and provide assistance to the groups/individuals in case the form has errors. MDFT will conduct an investigation/assessment of the case presented and will transfer the grievance to NSPS/ Grievances and Updates Officer to be processed if the grievance has merit.
- iii. Once the Grievances and Updates Officer receives the complaint, s/he shall review the case and crosscheck with the GAMSAR to verify households and claims made by the household.
- iv. A re-interview request will be generated and sent to Regional Social Welfare offices/NSPS Regional officers who will then plan and undertake a new interview of household using the PMT questionnaire.
- v. Based on the information provided through PMT questionnaire and entered in the SRIS, the system will run the PMT formula on the household and a second PMT score for the household will be obtained.
- vi. If the new categorization qualifies the household as poor or extremely poor, the system will automatically change the status of the household.
- vii. If the new categorization confirms the household as still non-poor, the system will assume the second score as current score and the previous score will be stored in the historical record of the household.
- viii. The household will be notified via the VDC about the result of the process.

D. PROCEDURE FOR HANDLING REQUEST FOR INFORMATION UPDATE

This is when the head of household or representatives of social protection programmes requests household information update resulting from significant changes in household structure, i.e new born, death, migration, or change of residential structure and locations. This also includes requests for rectifying erroneous or incomplete information that may have been entered during the initial data collection process.

Depending on the type of update needed, the household may be required to submit supporting documentation to check the accuracy of the information. Some types of updates could also require a household visit to re-apply the questionnaire because the information update could lead to changes in the PMT score. This would for instance apply to errors in the PMT scorecard fields or when the household moves to new housing.

The procedure for handling information update request grievances is as follows:

- i. The Household Head fills out an Information Updates Form and submits it in person to the VDC.
- ii. The VDC/MDFT will review and validate the form and an assessment will be done to determine if the household needs to be revisited to re-apply PMT Questionnaire, or whether additional documentation is necessary.
- iii. The form shall be transferred to the NSPS for further processing

Where the household does not need to be revisited:

- i. The Grievances and Updates Officer at NSPS will compare the data on the Form with the data in the SRIS to crosscheck proposed changes with the existing data. The officer may accept/reject the proposed changes.
- ii. If the requested changes are valid and accepted, the officer will indicate reason for the change, which shall be one of the following:
 - *Data collection mistake*: When the information on the form is different from the information provided by the household.
 - *Data validation mistake*: When the information on the form is the same as the information provided by the household.
 - *Complete information*: When missing information is provided by the household.
 - *Data Update*: When information has changed since the data collection process, such as inclusion and/or exclusion of household members.
- iii. If the requested change is rejected, the Grievances and Updates Officer shall provide the reason.
- iv. Once this process is completed, the *National coordinator and Secretary to NSPSC*, as a first authority for these issues, must approve the changes or refusals.

Where the household needs to be revisited, the process is as follows:

- i. An interview request will be generated and sent to Regional Social Welfare Offices/Regional NSPS officer who will plan and coordinate a new visit to this household to apply the PMT questionnaire.
- ii. After the questionnaire has been completed, it shall be transferred to NSPS for further processing
- iii. Information from the Form shall be submitted to the SRIS, and the system will run the PMT formula on the household(s). A new PMT score will be obtained and the household shall be categorised accordingly.

E. PROCEDURE FOR HANDLING COMPLAINTS ABOUT QUALITY OF SERVICES & ADMINISTRATIVE GRIEVANCES

These complaints occur when a complainant complains about the quality of the service provided by NSPS and, its consultants and partner organizations. Examples of such complaints could include: unprofessional conduct by staff, negligence of staff to solve a request, corruption by any of the involved stakeholders; and mistreatment by any of the involved stakeholders.

The complaints can be made: i) in person to the VDC, (ii) by phone to the SPS, and (iii) through the means available that shall complainer shall feel comfortable with. Depending on the nature of the complaints, the complainant may be required to provide supporting documentation to check the accuracy of the information.

The procedure for handling grievances is as follows:

The complainant goes through any of the mechanisms available in order to fill out the Grievance Form.

- i. If the complaints are related to GBoS staff, the request will be sent to Statistician General of GBoS, who will be in charge of the case.
- ii. The Statistician General of GBoS will first review the information entered, investigate the issues and will solve grievances under his/her competency.
- iii. The unresolved grievances will be sent to the SPS Director, as a second authority decision level for these issues. The SPS Director will coordinate with other relevant staff to make sure that quality of service is improved or resolved.
- iv. A response to a complaint is sent in writing to the complainant, via VDCs, indicating the actions to be taken.

If the complaint was about the service provided by any partner organization, the case shall be forwarded to the respective organization for management.

- i. The Partner Organization will review the complaint and should solve it following their internal procedures in a period of no more than two (2) weeks.
- ii. Partner Organization will forward the resolution to Grievances and Updates Officer. S/He will review the grievances solved and will approve them and update the complaints status in GRM.

6.5 GRM MONITORING AND EVALUATION

Monitoring and evaluation are critical to the success of any GRM. Monitoring refers to the process of tracking grievances and assessing the extent to which progress is being made to resolve them. The GRM database will be used to monitor cases and improve the project processes. Good-quality documentation minimizes the risks of grievances being raised again and of subsequent complaints about the resolution. Tracking of the physical location of the source of the grievance will permit to spatially analyze grievance patterns, to help identify particular problems and solutions.

Reports on grievance data and trends (e.g. average time to resolve grievances, percentage of complainants satisfied with action taken, number of grievances resolved at first point of contact) will be submitted by the GRM and Updates Officers on a Monthly basis to SPS and on quarterly basis to the NSPSC. The NSPSC should monitor grievance resolution data and grievance trends in their progress review meetings and should get feedback on whether the GRM is functioning effectively.

The Grievance and Updates officer will develop a systematic monitoring framework and/or tools to assist in monitoring activities of all officers involved in the GRM processes as well as lead the analysis of data collected.

6.6 PROVIDING FEEDBACK

Once the grievances have been resolved, the aggrieved party and the public at large shall be informed about the results of investigations and the actions taken. This is done in order to enhance the visibility of the GRM among public and increase users' trust in the SPS/Social Registry. SPS will produce aggregated public reporting of GRM operations, such as quarterly reports on the number of grievances, their nature, and statistics on how they have been resolved.

7. SOCIAL REGISTRY INFORMATION SYSTEM

The SRIS will be an information system with Database Architecture to house, process and query data on all households in The Gambia. The SRIS includes modules to provide functionality and features to support the operations of the GAMSR and ensure security and integrity of data.

All issues/matters relating to data protection, privacy and cybercrime, including data collection, processing, retention/retention period, how data should be kept and who should access what shall be addressed by the IC Act 2009 or any other national legal instrument dealing with data protection, privacy and cybercrime.

The SRIS can also use international legal instrument such as the General Data Protection Rules (GDPR), Convention 108 and Protocols etc., as a guideline when dealing with data protection, privacy and cybercrime.

All third party request for data related to the GAMSR shall be directed to the SPS and handled according to Data Sharing Protocols annexed to this Handbook.

7.1 SRIS MODULES

a. Dashboards will display tables, chats, maps, and metafiles with aggregated statistics by different geographical levels on the status of the data collection activities: The dashboard shall provide ways to display spatial and spatial-temporal data on a map. For example, locations of households, extreme poor households, etc. The map should render some of these as locations as coloured pushpins on the maps. Each pushpin shall be augmented with additional information so that when clicked, a small window pops up with this information. Other than pushpins, the module should support making locations with other symbols circles that are color-coded to convey magnitude and scaled according to statistic being presented/analysed. A user should be able to easily filter the view of the data by hiding/removing locations based on some criteria. It should be able for a user to zoom in and rotate the maps to get a closer look at the features and/or data of the points marked by the pinholes/circles/. When zooming in, data that is more detailed is displayed and additional features, such as terrain and other boundaries, roads, rivers, and buildings, come into focus and the pushpins appropriately scale to the new view.

b. Data Collection Interface: The Interface receives household data from the tablets and/or GBoS data collection servers from ongoing data collection activities, validates them and insert or update household data as required.

c. Data Quality Control Module: It is expected that the Data Quality Control module shall automatically perform additional checks on the data before data is finally committed into the registry.

d. Household Categorization Module: A poverty classification based on the basic and socio-economic characteristics of the household. This classifies households into poverty categories depending on their score and according to cut-off points established.

e. Data analytics: The SRIS will include the implementation of a tool that allows the administration of reports and multidimensional analysis of information. This module will provide Business intelligence and analytics functionality to allow the transformation, generation, aggregation, analysis, and visualization of data into meaningful and useful information for social policy analysis **and** strategic decision support for social programs. Techniques such as data visualization, data mining, reporting, time series analysis (including predictive techniques), online analytical processing, statistical analysis shall be used to data analytics.

f. Data Sharing Module: The module will allow the exchange of information between programs and also with the requesting institutions (e.g. public entity, private company, NGO, international organization or individual person). To accomplish this information data sharing protocols will be designed as a way to guarantee the confidentiality and appropriate use of the information. In addition, the data-sharing module will allow the information update of the GAMNR by participating programs that will provide programs specific updates. This module will comprise guidelines, schedules and the format in which the data has to be sent in order to be processed and updated, and will be developed under the implementation phase.

Data / Information may broadly be divided into different categories for sharing and information awareness perspective as below:

- a. **Information Summaries:** Information summaries shall be publicly available to increase the awareness about GAMSR's available data. This will maximize the benefits that can be reaped from the use of the system and available data by different organizations in the country. Examples of such summaries are:
 - Poverty groups by geographical distribution
 - Uneducated population concentration with different poverty levels
 - Livestock concentrated areas
 - Population age-wise disaggregation
- b. **Custom Analysis:** Multidimensional, hierarchical and variable analysis. Since the GAMSR has multivariable data, this could be analysed using different dimensions simultaneously based on specific program requirements.
- c. **Application Programmable Interface (API):** Different Programs that may be interested in real-time field enrolments can ask for live access to GAMSR. Since GAMSR continually gets updated through the GRM on real time basis, this type of requests shall be very handy for programs, which may want to use GAMSR data on continuous basis.
- d. **Households Data subsets [lists]:** These types of reports include provision of Selected Group based on identified LGA, PMT score range and members type. Such reports shall include following: i) Selected Household members (e.g. Adults / Children) ii) Complete address iii) Poverty Level.

- e. **Households Data subsets with selected dimension(s):** External stakeholders may ask addition of some dimension check on the requirements stated in 4 above. For example: Detailed Subsets but only for households with a member who is disabled or households not living under solid structure.
- f. **Recertification:** This module will be responsible of handling the recertification process, which aims to verify whether the socio-economic conditions of the registered households have changed and, based on it, assigning them a new category in the GAMSr if necessary.
- g. **Settings Module:** This module provides all the settings of SRIS to be included in the system, including users, data collection tools, reports, statistics and graphics for analysis and evaluation, exchange files.
- h. **Access Management Module:** Access Management involves: A) Authentication to ensure secure access to the registry and the SRIS. B) Authorizations to guarantee user’s entitlements for accessing the particular resource. Authorization will be implemented through role based access control. C) Audit and reporting to provide tools to monitor access management events and changes to data objects, such as: user activities, access violations, authentication events, authorization events and changes to database. Access will be controlled by SPS according to the data sharing protocols.

7.2 SECURITY FEATURES FOR SR, SRIS AND IT INFRASTRUCTURE

Knowing what changes are made to the data collection servers, who made those changes, and when those changes were made are important steps in maintaining the confidentiality, integrity of the data. To assist in this effort, an audit trail of system activity shall be maintained for each server, for each type of user, including system administrators. This information shall be reviewed regularly to make sure there are no surprises. Systems Logs shall be streamed continuously to an external Logging and Alerting system to notify key staff over SMS, email, and Slack notifications when alerting thresholds are met. Access to the data collection servers shall be managed using Access Control List.

A. DATA SECURITY FRAMEWORK:

The General Security Framework to be adopted by the Social Registry Information System and the SCT Integrated System is shown in the table below:

| Element | Principle | Data protection procedures and features |
|---------------------------|--------------------------------------|---|
| Controls in program roles | Role-based access and authentication | Different levels of data access and writing privileges Cryptographic protocols used for authentication |
| | Logging and auditing | Audit log to ensure accountability and facilitate supervision Records are securely stored with controlled access |
| | Consent protocols | Informed consent for data collection |

| | | |
|--|------------------------------|---|
| Controls in Beneficiary data | | Beneficiary may request access, correction, or deletion of data Data is only accessible through the internal database on a “need-to-know” basis |
| | Data storage and encryption | Personal identifying information and other sensitive data are stored securely Data at rest and in transmission is encrypted Data integrity via no-overwrite scheme |
| | Export controls | Role based data export Transmitted data is encrypted |
| | Backup and disaster recovery | Periodic data backups Deployment and data recovery automated |
| Protected infrastructure (external and internal) | Active monitoring | Active alerting system built to contact system administrators and management personnel when the system stops operating or indicators move out-of-bounds External monitoring implemented to assure uptime |
| | Network security | Data encrypted (e.g. internally stored passwords) Confidentiality & Integrity over the network by using SSL or VPNs and Hash Mechanisms for data integrity |

B. FIREWALLS FOR DATABASE SERVERS

The database (virtual) server will be located behind a firewall with default rules to deny all traffic and opened only to specific application or web servers, and firewall rules will not allow direct client access. If the development environment cannot meet this requirement, then restricted data should not be stored in the development database server and mock data is made up for development. Data obfuscation of production data is not sufficient.

Firewall rule change control procedures must be in place and notification of rule changes are distributed to MIS officers. Firewall rules for database servers should be maintained and reviewed on a regular basis by MIS officer. Also, to regularly test machine hardening and firewall a rule via network scans should be developed. Each database shall be secured with username and password and an audit trail to monitor and track changes on the database. Database servers reside on different

servers from the application servers and are only accessible the service provider's 'local' network within Rackspace.

GBoS shall always maintain a replicated database to ensure database availability during data collection. GBoS shall also maintain one master database and at least one replica database as a slave in the database architecture. This will ensure that when one node fails, the remaining node will still make the application available.

C. DATABASE SOFTWARE

Database software must be patched to include all current security patches. Provisions have to be made to maintain security patch levels in a timely fashion.

D. APPLICATION / WEB SERVERS / APPLICATION CODE

Destination systems (application/web servers) receiving restricted data must be secured in a manner commensurate with the security measures defined in the data security framework. All servers, applications and tools that access the database must be documented, as well as configuration files and source code must be locked down and only accessible to required operating system accounts.

Application code should be reviewed for SQL injection vulnerabilities, and No "Spyware" must be allowed on the application, web or database servers.

E. USER/CLIENT WORKSTATIONS

If users are allowed to have restricted data on their workstations, then client workstations should meet the minimum-security standards. The following are the suggested workstation security requirements:

- i. The workstation must be protected against unauthorized access to a session by deploying screen savers. Users must understand the requirement to lock their workstations when leaving the station.
- ii. The workstation should require an individual login and password.
- iii. No "Spyware" is allowed on the client workstations.
- iv. Restricted data on the client workstation must be encrypted by the workstation's operating system.

Restricted data should not be stored on transportable devices. Also restricted data should never be sent via email, either in the body or as an attachment, by either users or as an automated part of the system.

MIS officer should understand their responsibility for reviewing all requested script and database changes to ensure the security of the system is not compromised.

The accounts with system administration capabilities must be provided to as few individuals as is practical, and only as needed to support the application. Similarly, all Developers, Vendors, & Contractors must have signed a non-disclosure agreement.

The operating system accounts used by MIS officer to login to the data server machines for administrative duties must be individual accounts, and not a shared group account. Data server processes that operate in the background must not be allowed to directly login.

Database accounts used by the staff for administrative duties must be individual accounts, and not a shared group account. Only group account that will be permitted for running automated DB maintenance and monitoring jobs, such as backups.

Passwords for all DB operating system accounts and database accounts must be strong passwords, and should be changed when administrators/contractors leave positions.

F. USER DATABASE ROLES / PERMISSIONS / PASSWORDS / MANAGEMENT & REPORTING

Secure authentication to the database must be used and the procedure for provisioning and reviewing access to the database should be documented.

Only authorized users will have access to the database, and users are granted the minimal permissions necessary for their job function in the database. Permissions must be managed through roles or groups, and not by direct grants to user IDs where possible.

Strong passwords in the database have to be enforced when technically possible, and database passwords should be encrypted when stored in the database or transmitted over the network.

The applications must require individual database login/password and roles/grants when possible. When not possible, application accounts may be utilized. However, the login ID and password must be secured in this case, and this information should not exist on the client workstation.

All accounts and resources must be protected by passwords which meet the following requirements, which must be automatically enforced by the system:

- i. Must be at least eight characters long.
- ii. Must NOT be dictionary or common slang words in any language, or be readily guessable.
- iii. Must include at least three of the following four characteristics, in any order: upper case letters, lower case letters, numbers, and special characters, such as *!@#\$\$%^&*.
- iv. Must be changed at least once every 6 months.

Applications should manage user permissions and auditing to meet the Data Proprietors requirements. In the same way, user database objects with restricted data should not have public grants when possible. Document any public grants if needed in databases with restricted data.

Non-database (DB)accounts should not allow the granting of roles or permissions in any environment with restricted data (QA, Production, and Development).

The Database accounts are locked after at most five failed logins.

Procedure to address inactive users must be documented and approved by the GAMSR Manager. Also the DB Administrator on a quarterly basis must provide a report of elevated database permissions to the GAMSR Manager. The DB Administrator on a regular basis must provide a report of all access rights for users to the MIS Manager. Twice a year is the recommended interval.

G. RESTRICTED DATA

- i. Only the restricted data required for the business function of the GAMSR must be kept within the database. When possible, historical information should be purged when no longer required as stipulated in all national Acts.
- ii. The redundancy of restricted data should be eliminated throughout the system, and shadowing of restricted data outside the system of record should be avoided wherever possible. Hashing functions have to be applied to restricted data elements before storing if the data is only required for matching purposes. If possible, disassociate restricted data from personally identifiable information and should be keep offline until needed. If data transfers are required for other applications, must notify them of restricted data and its security requirements.
- iii. Restricted data in non-production environments must be held to the same security standards as production systems. In cases where non-production environments are not held to the same security standard as required in production, data in these non-production environments must either be encrypted using industry-standard algorithms, or else test data must be made up for these systems.
- iv. The restricted data elements within the database should be documented, and the restricted data should never be used as a key in a table.

H. DATABASE AUDITING

- i. All logins to operating system and database servers, successful or unsuccessful must be logged. These logs should be retained for at least one year.
- ii. Database objects with restricted data should have auditing turned on where technically possible.
- iii. Accounts that must be locked due to maximum database login failures trigger an automatic notification of the security administrator(s) responsible for this system.
- iv. Monitor the database for possible intrusions. For example, monitor and alert when multiple invalid login attempts occur. Intrusion detection protects the database server from attacks from both sides of the firewall (e.g., internal network, WAN, or Internet)

I. DATABASE BACKUP & RECOVERY

- i. The backup and recovery procedures must be documented and meet data GAMSR requirements. Also, the backup and recovery procedures must be periodically tested.
- ii. Backup retention intervals should be documented and sufficient to meet the business resumption requirements and expectations.
- iii. Implement transaction logging so recovery of original data is possible and protect the transaction log. Transaction logging records activity on the database and can be used to roll back a transaction.
- iv. Protect the transaction log through access control and backup. Only the database should be writing to the transaction log. All other access should be read only.
- v. The transaction log should be located on a separate physical disk if possible.

J. DATABASE ENCRYPTION & KEY MANAGEMENT

- i. Restricted data should be encrypted during transmission over the network using encryption measures strong enough to minimize the risk of the data's exposure if intercepted.
- ii. If database-level encryption for restricted data is implemented, procedures for secure key management must be documented.
- iii. For data subject to disclosure that is encrypted at storage, the means to decrypt must be available to more than one person and approved by the SRIS manager.
- iv. Backup tapes store backups of the database in an encrypted format, and the tapes should not be stored the plain text encryption keys necessary to decrypt the backups.
- v. Key management procedures for decrypting backups must be documented, available to more than one person and approved by the SRIS manager.

K. INTEROPERABILITY

Interoperability is the ability of diverse systems to work together (inter-operate). The interfaces of SRIS should be properly exposed to make it interoperable. The proposed architecture of SRIS shall be built around the web services standard and adopts open standards for interacting with various applications to address the interoperability requirement. SRIS is envisaged to deliver the services to social protection programmes and other stakeholders through various delivery channels. Hence it must be interoperable within diverse networks to enable users to easily locate the content and services that meet their needs. To achieve this SRIS should be compatible with most commonly available devices, operating systems, web browsers etc.