



DRAFT HARMONIZED TARGETING METHODOLOGY FOR THE NATIONAL SAFETY NET PROGRAMME

**MINISTRY OF LABOUR, SOCIAL SECURITY AND
SERVICES¹**

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List of Abbreviations and Acronyms

AAC	-	Area Advisory Council
ADL	-	Activities of Daily Life
ASAL	-	Arid and Semi-Arid Lands
AIHD	-	African Institute for Health and Development
BWC	-	Beneficiary Welfare Committee
CBS	-	Community-Based Screening
CBT	-	Community-Based Testing
CBV	-	Community-Based Validation
CRA	-	Commission for Revenue Allocation
CC	-	County Coordinator
CCCS	-	County Coordinator for Children's Services
CSACs	-	Constituency Social Assistance Committees
CT-OVC	-	Cash Transfer for Orphan and Vulnerable Children
CT-PWSD	-	Cash Transfer for People with Severe Disability
DGSDO	-	District Gender and Social Development Officer
DGSDC	-	District Gender and Social Development Committee
GIS	-	Geographic Imaging System
GSD	-	Gender and Social Development
HH	-	Household
HIV	-	Human Immunodeficiency Virus
HLCS	-	Household Living Conditions Survey
HSNP	-	Hunger Safety Net Programme
ICT	-	Information and communications technology
ID	-	Identity Card
KES	-	Kenya Shillings
KIHBS	-	Kenyan Integrated Household Budget Survey
KNBS	-	Kenya National Bureau Survey
LCS	-	Living Conditions Score
LC	-	Location Committee
LOC	-	Location OVC Committee
LPG	-	Liquid Petroleum Gas
MCA	-	Member of the County Assembly
MIS	-	Management Information System
MLSSS	-	Ministry of Labour, Social Security and Services
MP	-	Member of Parliament
NGO	-	Non-Governmental Organization
NSNP	-	National Safety Net Programme
OPCT	-	Cash Transfer for Older Persons
OVC	-	Orphans and Vulnerable Children
PCA	-	Principal Component Analysis
PMT	-	Proxy Means Testing
PSC	-	Poverty Score Card
RC	-	Rights Committee
SCCO	-	Sub-County Children's Officer
SL	-	Sub Location
TA	-	Technical Assistance
TV	-	Television
VIP	-	Ventilated Improved Pit

1. GENERAL CONSIDERATIONS

The Ministry of Labour Social Security and Services (MLSS) is in the process of transforming the National Safety Net Programme (NSNP) into a responsive programme that effectively and efficiently meets the needs of poor and vulnerable Kenyans through establishing measures for a more coherent approach, including harmonization of the targeting of beneficiary households. Most importantly, it intends to establish common means of communicating with communities, develop and implement tools and procedures for targeting and carrying out the targeting process, in addition to developing a common approach to recertification, collecting and responding to complaints and grievances, and monitoring programme implementation.

The NSNP currently consists of four cash transfer programmes: the Cash Transfer for Orphans and Vulnerable Children (CT-OVC), the for Older Persons Cash Transfer (OPCT), the Cash Transfer for People with Severe Disability (CT-PWSD) and the Hunger Safety Net Programme (HSNP). The specific objectives of the NSNP are to: (i) create more robust systems for targeting, beneficiary registration, payments and monitoring, among others, in order to strengthen the overall governance of these programmes; (ii) increasingly harmonize the four cash transfer programmes to improve the coherence of the sub-sector; and (iii) expand the coverage of the four cash transfer programmes in a coordinated manner and progressively realize the right to safety net support.

After several years of implementation, cash transfer programmes in Kenya have been recognized as an important anti-poverty tool in the short and long run. For instance, several evaluations of the CT-OVC have documented the effects of this programme on children's human capital development and household consumption (Jagero, 2011; Njuga, 2013; Taylor, 2012; The Kenya CT-OVC Evaluation Team, 2012)². Cash transfers are relevant for households in poverty in the sense that the additional income can be used for better education prospects for children and a higher adult investment in productive assets and inputs, such as livestock, seeds and fertilisers.

Targeting is a key aspect in the implementation of antipoverty cash transfer programmes. It determines the enrolment of beneficiaries in the intervention and facilitates the delivery of the transfers to the beneficiary households. Two basic elements can be considered as part of the targeting process:

- i. The identification and selection of eligible individuals or households: identification and selection imply that, according to the programme's objectives, individual or households are classified as poor or non-poor and are eligible or ineligible. This is commonly done by the employment of means or proxy means tests (PMT), community targeting or self-targeting; and

²Jagero, N., 2011. An analysis of social costs of secondary education in Kenya after the introduction of subsidised secondary education in 2008. *International Journal of Education Economics and Development* 2, 213–224. doi:10.1504/IJEED.2011.042402

Njuga, E.M., 2013. Unicef cash transfer programme for orphans' and vulnerable children: a case study of its effectiveness in Kilifi County, Kenya. (Thesis). University of Nairobi.

The Kenya CT-OVC Evaluation Team, 2012. The impact of the Kenya Cash Transfer Program for Orphans and Vulnerable Children on household spending. *Journal of Development Effectiveness* 4, 9–37. doi:10.1080/19439342.2011.653980

- ii. The enrolment of eligible individuals or households determine who finally receives the benefits/transfers depending on the instrument.

Some programmes operate with a continuous registration window in which households access the cash transfer on demand. Other programmes open a one-off registration process in a given village or location, where eligible households have a single opportunity to enrol in the programme. At the end, the targeting process is concerned about how the transfers are designed and finally delivered to eligible individuals or households. A broad aspect of current targeting criteria used by the four cash transfer programmes is detailed in Table 1:

Table 1: Targeting methods in cash transfer programmes

Programme	Programme objective	Targeting
CT-OVC	To provide regular cash transfers to families living with OVC to encourage fostering and retention of children and to promote their human capital development.	The identification of priority locations is followed by a two-stage survey to identify beneficiaries. During the first survey, Form 1, local community members identify households that are poor with OVC. The second survey, Form 2, is used to gain information from households so that potential beneficiaries can be subjected to a PMT.
OPCT	To strengthen the capacities of older persons and improve their livelihood while alleviating integrated poverty through sustainable social protection mechanisms. This is to be achieved by providing regular and predictable cash transfer to vulnerable older persons in identified households and building the capacities of beneficiaries in order to improve their livelihoods	Extreme poor households with members 65 years of age and above, not enrolled in other cash transfer programme, a non-recipient of pension, has resided in a particular location for more than a year and must be a Kenyan citizen. Similar to the CT-OVC, the OPCT combines community selection (barazas) with PMT.
CT-PWSD	To support persons with Severe Disabilities who require permanent care, they continue to depend on parents, care givers and well-wishers.	Categorical targeting based on the definition of a person with severe disability (requiring 24-hour care) in every constituency. Community targeting is used at household level. The community prepares a list of potential beneficiaries that can apply for the programme. Public drives inform potential beneficiaries to register.
HSNP-II	To deliver unconditional cash transfers aimed at reducing poverty, food insecurity and malnutrition, and promote asset retention and accumulation.	In order to determine the allocation of total HSNP resources for each of the 4 selected counties, a modified version of the Commission for Revenue Allocation (CRA) formula was applied. During the initial registration process for HSNP-II, all households were also required to take part in a wealth ranking exercise. This was in order to establish the households' and communities' own perception of their wealth/poverty status, as distinct from that ascribed by the PMT model. These wealth ranking processes were referred to as community based targeting (CBT). Beneficiary selection was carried out using the information collected during registration analysed using a hybrid PMT/CBT model. The PMT data were used to rank all households registered in wealth order. Household scores were then combined with their CBT (wealth ranking) categories into which households had put themselves. The combination of these two rankings provides an overall ranking.

Source: with information from GIZ (2013)³ and operation manuals.

The main objective of the proposed integration of the four cash transfer programmes is the generation of synergies that would combat poverty with the same criterion for every beneficiary household. As it can be noted from Table 1, the targeting criteria employed by these programmes are clearly shaped by their objectives in the selection of individual recipients (e.g. children or the elderly). However, in the basic identification and selection framework the main focus is placed on households in moderate or extreme poverty. While other levels of selection are determined by categorical criteria, the main quantitative approach is based on the identification of households in moderate or extreme poverty through the implementation of community screening strategies and proxy means tests. Therefore, the integration and harmonisation of the targeting criteria of these programmes is focused on the identification of households in poverty.

This document presents: (i) the review of current targeting tools and processes used by the CT-OVC, CT-PWSD/OPCT and HSNP; (ii) the development of a new targeting methodology that accounts for the needs and views from each programme, and the harmonisation of the tools for the implementation of the NSNP; and (iii) the generation and evaluation of a new PMT formula by using the available data from household surveys and national census. In specific terms, this report identifies the strengths and challenges of existing targeting methodology, the development of a new targeting questionnaire and the generation of a new PMT formula that integrates the targeting needs of each intervention in the NSNP with a plausible consistency with the community-based screening (CBS).

2. REVIEW OF EXISTING TARGETING TOOLS AND PROCESSES

This section reviews the current awareness and sensitization, registration, CBS, household questionnaire, PMT and community validation of the four cash transfer programmes. It is notable that each programme of the NSNP has its own targeting processes apart from the OPCT and CT-PWSD that use the same approach. It is notable that all the programmes have relied on the development of a PMT formula for the final selection of beneficiaries. The specific formulas have been developed mainly from household consumption statistics contained in the latest version of the household expenditure survey known as Kenya Integrated Household and Budget Survey (KIHBS) 2005/2006. Despite the fact that the latest KIHBS was carried out over a decade ago, it may still be valid for the development of a PMT that attempts to predict household consumption, since consumption patterns, especially for the poor and the poorest, barely change in a dramatic manner over time.

2.1 AWARENESS, SENSITIZATION AND REGISTRATION

Community awareness and sensitization are important components of the targeting process. This is because these processes allow for sharing of information with community members resulting in active participation in decision making leading to ownership and sustainability of programmes in the long run. Registration refers to the process of recording a households' details by using a

³ GIZ, 2013. Identification of the Poor: An Overview of Current Targeting Approaches and their Applicability in Developing Countries with a Focus on Kenya. GIZ Health Sector Program in Kenya. NSNP Harmonized Targeting Methodology (2015)

household registration software or an agreed upon process for the respective programme. The registration process for each of four programmes is described below.

2.1.1 CT-OVC

The County Coordinator for Children's Services (CCCS) and the Sub-County Children's Office (SCCO) are informed by the CT-OVC Secretariat when locations in their County or Sub-County have been selected for inclusion in the programme or for an expansion in beneficiary number. After the selection of locations in a Sub-County the following start-up activities are implemented:

- i. Sensitization of the Area Advisory Council (AAC) including the SCCO on programme objectives, which Locations have been selected, and their key roles and responsibilities;
- ii. Conducting a community *baraza* in which sensitisation and awareness raising of the community are conducted;
- iii. Election of Location OVC Committee (LOC) members and identification of community guides who will assist them (during the above community *baraza*⁴); and
- iv. The training of LOC members or beneficiary welfare committee (BWC) members (where applicable) in the targeting procedures and the administration of the targeting form (Form 1).

Once key structures are in place and initial awareness raising has been undertaken, the initial identification of potential beneficiary households is conducted. This involves:

- i. The identification of all households with orphans and vulnerable children by LOC members⁵ who visit and enlist potential beneficiary households using the above eligibility criteria and enter the relevant information in Form 1 (including National ID numbers⁶);
- ii. The LOCs, with the help of the community guides mentioned above, map the location of these households. The mapping also facilitates further visits by enumerators in the third stage of the targeting process.

2.1.2 HSNP

Sensitization and awareness creation are conducted through public meetings before field-based enumerators initiate the process of household registration whereby each household is allocated a unique reference number. Once the registration team arrives, there is an initial meeting with the assistant chief, elders and Rights Committee (RC) members to explain the process and map out all villages in the sub-location (SL). The team leader agrees on a schedule for team members to register each village, conduct *barazas* to explain the process and start house to house registration. The registration teams re-group every day to discuss progress and challenges. Following

⁴In the event of a scale-up in an existing programme location, the already existing BWCs will undertake the role of the LOCs.

⁵In Locations where the programme is already operational, this initial identification will be done by the Beneficiary Welfare Committee

⁶In the event that no-one in the household has a National ID, the caregiver must be strongly advised that they urgently need to obtain a National ID to be enrolled on the programme, and told that they can register to obtain this with the Civil Registration Service.

completion of registration, the teams have a debrief meeting with the assistant chief and clarify any discrepancies between the estimate and actual number of households registered. At this point, it is important to screen out any households that are from other SLs and also establish whether any households have been missed and what arrangements can be made to capture them. The information generated is then uploaded into the HSNP management information system (MIS). The information collected includes details of the household’s location (including GIS coordinates), the names, gender and ages of all household members, and their national ID numbers (where applicable). In addition, a range of other information is collected to support the PMT process used to carry out beneficiary selection.

2.1.3 OPCT/CT-PWSD

The County Coordinator (CC) for Gender and Social Development (GSD) and the District Gender and Social Development Officer (DGSDO) inform and train community members on the targeting plans and facilitate them to call a *baraza* to sensitise community. At the *baraza*, the community leadership introduces the programme and register eligible households using the Targeting Form 1 (T1 form). The DGSDO reviews T1 form for accuracy. If there is missing data or errors, the DGSDO follows up with the LOCs to fill in the missing information or correct the erroneous information. In urban areas, the DGSDC, Ex-officials⁷ and LOC make efforts through home visits, phone calls, market visits to inform all community members about the programme and that registration will occur at certain locations (e.g. schools, churches, etc.) on specific days. There should be a two week window for registration. Communication of the programme, in the urban areas, could also happen via radio slots or through the posting of fliers / posters. LOC members register households during the registration window using T1 Form. Additional registration period is also undertaken under the facilitation of the by LOCs. At the close of the two week period, the LOCs must deliver the T1 Forms to the DGSDO. The Programme for Social Protection headquarters enters T1 form data into the MIS.

The programme uses a Poverty Score Card (PSC) to determine which of the eligible households best fit the programme definition of ‘extremely poor and vulnerable.’ The Poverty Score Card assigns each registered household a poverty and vulnerability score based on the answers to a series of questions. The households with the highest scores are considered the poorest and vulnerable and thus most eligible for the programmes. The Poverty Score Card analysis categorizes assessed households into three groups: ‘Not Poor’, ‘Poor’ and ‘Extremely Poor’. Only those households with a score falling into the extremely poor category are eligible for the programme. Table 2 presents some of the key challenges with the current awareness, sensitization and registration processes.

Table 2: Challenges with the current registration systems

Programme	Challenge
CT-OVC	<ul style="list-style-type: none"> Completing Form 1 and 2 separately is time consuming and expensive (there are efforts to have only one form). Reliance on local structures to generate lists of households with orphans and vulnerable children has potential for abuse.
HSNP	<ul style="list-style-type: none"> Cost of the registering all the households The length of time required to undertake a census exercise. Accountability and linkages between the different partners involved (for instance, the

⁷ These are local leaders who, given their position and understanding of the community, are involved in the programmes at the local level

	partners that implement registration may not necessarily be the ones involved in targeting).
OPCT/CT-PWSD	<ul style="list-style-type: none"> • Transition between registration, targeting and validation if not well managed has the potential to raise questions among the community members. • The process depends on ranking by community leadership which can result in households being categorized in the ‘wrong group’. • The process is open to abuse depending on the foreseen benefits from the programme • Lack of clarity between this process, targeting and PMT.

2.2 COMMUNITY BASED TARGETING (CBT)

2.2.1 CT-OVC

The first stage of the CBT obeys to some extent the categorical selection criteria of the programmes. The CT-OVC suggests to the Local OVC Committee (LOC) the use of the following household identification criteria with the completion of the so-referenced "Form 1":

- i. Households with an OVC as a permanent member aged 0 to 17, defined as:
 - A child who is a single/double orphan;
 - A child living in a child-headed household whose carer is aged between 15 and 23 due to orphanhood;
 - A child who is chronically ill or who has a caregiver who is chronically ill;
 - A child who has special needs such as autism, downs syndrome, cerebral palsy, loco-motor impairment, maladjusted children, and children with multiple disabilities.
- ii. Households that live in extreme poverty:
 - Caregiver is unemployed or does not have regular income;
 - Adult members in the household are experiencing difficulties in finding casual employment;
 - No house/land ownership;
 - No heads of cattle, pigs, chicken and/or goats or hogs;
 - No access to safe drinking water;
 - Floor, roof and walls made of mud/cow dung/grass/sticks/makuti;
 - The household lacks any assets besides a place to sleep;
 - Children of the household not attending school because of lack of materials/uniforms or are helping parents/caregivers to meet daily food needs;
 - The family members wear very tattered clothes;
 - The health condition of household members is evidently very poor;
 - The sanitary conditions of the household are very poor;
 - Number of meals per day is 1 or less hence hard-core poor; and
 - Any other reason identified (to be specified).
- iii. Households not participating in other similar cash transfer programmes.

An advantage of this approach is that the CBT is highly linked to the questions collected in the individual questionnaire (Form 2). If the LOC follows these criteria, the role of the PMT would be the validation of the information taken into consideration for the CBT, with very few changes to the final beneficiary list. On the other hand, while the first categorical selection criterion based on the identification of households with OVC is highly convenient for the objectives of the programme, it leads to a limited opportunity to harmonise the CBT with other programmes.

2.2.2 HSNP

The CBS for the HSNP is not as specific as that considered by the CT-OVC. There is no checklist with which community members use to determine the poverty status of the household. Instead, the CBS addresses poverty with a relative-poverty rule by facilitating the households to self-identify with any of the four categories: Very Poor; Poor; Middle; or Better Off (apart from Marsabit County). However, this process has been found to be problematic with many of the households wanting to place themselves within the poor or very poor categories, as evidenced through a review undertaken by the HSNP:

- i. In Marsabit County – in every village the enumeration teams facilitated households to put themselves in wealth order from poorest to wealthiest. Normally this was done by groups of approximately 50 households. Their ranking from 1-50 was noted on paper and the respondents were given cards with the households' wealth rank number to provide to the enumerator and then they were formally registered on the computer.
- ii. In all other Counties – households in all villages were asked to put themselves in one of four wealth groups; Very Poor; Poor; Middle; or Better Off. The household respondents were given colour-coded cards that corresponded with each wealth group and there were handed to the enumerators who entered the corresponding code (1-4) in the database.

One advantage of this approach is that the social costs of the targeting process could be minimised by the fact that each household is free to place itself in a community-based welfare ranking. However, as the PMT follows the CBS, there is a high likelihood that a different ranking could result from the PMT. Consequently, several conflicts could arise from the entire process as people classified as poor with the CBS might easily end up classified as non-poor by the PMT. Ideally, a CBS should be closely aligned to the PMT formula in order to avoid different results or to minimise complaints and grievances that are difficult to dispute given the lack of clear-cut CBS selection criterion. In an evaluation of this CBS approach, some opinions were collected that allude to these problems:

“Nearly everybody wanted to be in the very poor and poor groups. The elders/committee even had a hard time as most of the community members rejected being placed in a higher wealth group. In one of the sub-locations in Mandera, there was an instance where registration had to be suspended due the disagreement, since every HH wanted to be placed in the Very Poor or Poor categories contrary to what the committee was saying.” (Fitzgibbon, 2014, p. 26).

The discrepancies between the CBS and PMT are evident thus:

“We don't want a computer to pick our poorest, we know better than anyone else who is needy here and we should be able to identify them” (Fitzgibbon, 2014, p. 37).

2.2.3 OPCT/CT-PWSD

The CBT for the OPCT and CT-PWSD are similar in the sense that both programmes pursue a categorical selection of beneficiaries based on the presence of older persons and persons with severe disabilities. The LOCs and local leaders are facilitated to identify households with members that correspond to the criteria that are poor and vulnerable. For the older persons the

criteria is anyone above 65 years of age while for the persons with severe disability, are those households with a person with disability requiring 24-hour care.

It is therefore notable that if the four programmes are going to use the same processes to identify the poor and vulnerable in the respective locations and/or sub-locations it is important that there is a common understanding on how poverty is defined. What is critical to note is the fact that ‘poverty’ is the basis of selection for the four programmes with the categorical components being used to identify potential beneficiaries for the CT-OVC, OPCT and CT-PWSD.

2.3 PROXY MEANS TEST (PMT)

The four programmes rely on the collection of a household questionnaire that is used for the construction of a selection score in a second targeting stage (see Appendix 1). When the CBT registers the households, enumerators collect the information following programme-specific questionnaires that are then digitalised and converted into a welfare indicator with a defined cut-off point. The PMT formulas of the CT-OVC, HSNP and a proposed “recertification tool” for the OPCT and CT-PWSD were designed to predict household per capita consumption with the aim of ranking households and identifying those below the poverty line. The prediction of the household consumption was achieved by linear regression and by employing household micro-data from the KIHBS 2005/2006.

Table 2 details the PMT approach currently in use with the major issues found during their review. Five elements were taken into account to revise the PMT questionnaires and formulas for this assignment:

- i. The questionnaires use the source of the formula in an appropriate manner. This implies that questions are administered preserving their integrity from the primary source;
- ii. Questions are sensible - the questionnaires are easy to understand and implement by the enumerators and respondents.
- iii. The administration of the questionnaire is straightforward and time-limited;
- iv. The resulting PMT formula makes correct use of econometric techniques; and
- v. The PMT formula makes use of relevant information collected by the PMT questionnaire.

Table 3: Summary of PMT tools

Programme	Features	Assessment
CT-OVC	<p>- PMT approach: PMT from linear regression analysis Distinguishes between Nairobi, urban and rural</p> <p>- Data source: KIHBS 2005/2006</p> <p>- PMT questionnaire: 27 questions</p> <p>- Shared with others: 19 questions.</p>	<p>1. KIHBS identifies the head of the household while the CT-OVC programme identifies the "caregiver"</p> <p>2. Weights from the PMT formula are based on the existence of the household head but are applied to the "caregiver"</p> <p>3. The PMT formula captures information on employment based on the activity in the past 7 days, but the questionnaire refers to "currently" or "in the last month"</p> <p>4. Options for ROOF, FLOOR and WALLS materials are changed from the KIHBS to the questionnaire (e.g. Mud and cow dung is not an option for roof materials in KIHBS)</p>

		5. The questionnaire contains questions that are not used in the PMT formula (e.g. number of acres, number of pigs). This can make the administration of the questionnaire longer than expected
HSNP	<p>- PMT approach: PMT from linear regression analysis. Distinguishes between urban and rural</p> <p>- Data source: KIHBS 2005/2006</p> <p>- PMT questionnaire: 34 questions</p> <p>- Shared with others: 21 questions</p>	<p>1. KIHBS identifies the head of the household while the HSNP programme identifies the "Main provider"</p> <p>2. Question 18 of the questionnaire then asks for the number of spouses of the "head of the household" without identifying it.</p> <p>3. The questionnaire asks for assets that could not be sensible, such as the ownership of frying pans, towels, mosquito nets, cellular handsets, animal carts and radio. These assets actually are in the PMT formula</p> <p>4. Question 29 of the questionnaire asks for the number of cultivated acres of up to 3 crops, while the KIHBS asks for every crop</p> <p>5. The PMT formula is composed of 78 and 62 different parameters for urban and rural areas, respectively</p> <p>6. Only 34 parameters in the rural PMT formula are statistically significant, this means that the rest does not have any valid predictive capacity</p> <p>7. Only 19 parameters in the urban PMT formula are statistically significant, this means that the rest does not have any valid predictive capacity. This makes that parameters like owning cows, donkeys or crops result relevant to the urban formula</p>
OPCT / CT-PWSD	<p>- PMT approach: PMT from analytical construction</p> <p>- Data source: None</p> <p>- PMT questionnaire: 101 questions</p> <p>- Shared with others: 15 questions</p>	<p>1. The questionnaire contains a significant number of questions that are not taken into account in the PMT and may hold up the work of the enumerator</p> <p>2. The selection of the parameters and the weights in the PMT formula were derived on a subjective basis and lack statistical validity</p> <p>3. Unclear whether the PMT formula distinguishes between rural and urban areas</p>
Proposed recertification tool	<p>- PMT approach: PMT from linear regression analysis. Distinguishes between Nairobi, urban and rural</p> <p>- Data source: KIHBS 2005/2006</p> <p>- PMT questionnaire: 25 questions</p> <p>- Shared with others: 19 questions</p>	<p>1. While the KIHBS refers to household head, this questionnaire asks for the "beneficiary"</p> <p>2. While question 48 of the questionnaire refers to "main source of water", KIHBS specifies between source of water for cooking, drinking, livestock, etc</p> <p>3. The questionnaire asks for assets that could not be sensible, such as the ownership of frying pans, towels, mosquito nets, cellular handsets, animal carts and radio. This assets actually are contained in the PMT formula</p> <p>4. Question 52 is unfeasible in logistic terms. It contains a wide category of job occupations that are difficult to deal with in the field. It also refers to the CAREGIVER, while it identifies the BENEFICIARY</p> <p>5. The PMT formula has been estimated with some parameters referring to the head of the household but they are applied to the BENEFICIARY or CAREGIVER</p>

Source: Author from programmes' operation manuals and questionnaires.

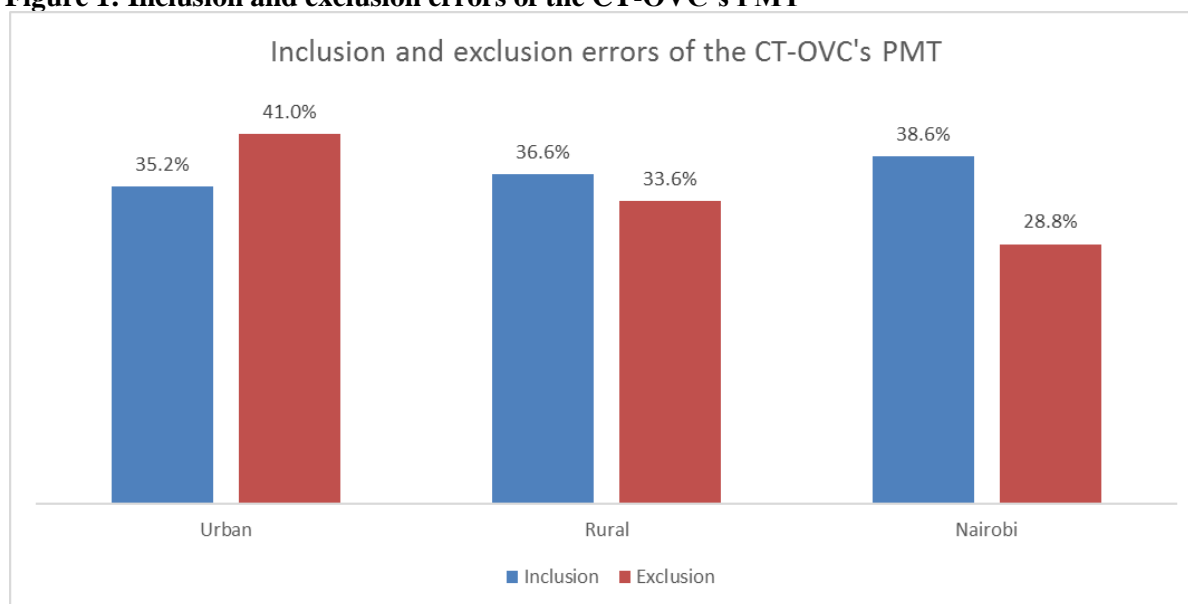
2.3.1 CT-OVC

As shown in Table 2, the CT-OVC generates a PMT from 27 questions taken from the KIHBS 2005/2006, 19 of which are shared with the PMT from other programmes. Several points are worth noting from this PMT:

- i. It does not preserve the definition of household head as specified by the KIHBS but, instead, it changes the household structure in relation to the main "caregiver." This leads to the fact that some weights from the PMT formula that were estimated for the household head are applied to the "caregiver," mixing two different definitions.
- ii. The questions from the KIHBS and those from the PMT questionnaire (Form 2) refer to two different time periods in terms of the economic activities of the members of the households.
- iii. The options for the dwelling materials are altered from the KIHBS to the PMT questionnaire, which can make the enumerator choose a different answer from a different set of options.

The inclusion and exclusion errors of the CT-OVC's PMT has been obtained by replicating the regression algorithm which predicts household consumption. The predicted household consumption is then compared with the actual consumption and poverty levels. Inclusion errors are defined as *'the proportion of predicted poor households that are not actually poor.'* In this case, the inclusion errors are between 35.2%-38.6% in the three areas, as shown in Figure 1. This implies that more than one third of those households that would be selected by the PMT would not be actually poor.

Figure 1: Inclusion and exclusion errors of the CT-OVC's PMT



Calculations based on KIHBS 2005/2006 data by author

Similarly, Figure 1 shows the exclusion errors, that is, the proportion of actual poor households that would not be selected by the PMT. In this case, exclusion errors can be 41% in urban areas, 33.6% in rural areas and 28.8% in Nairobi.

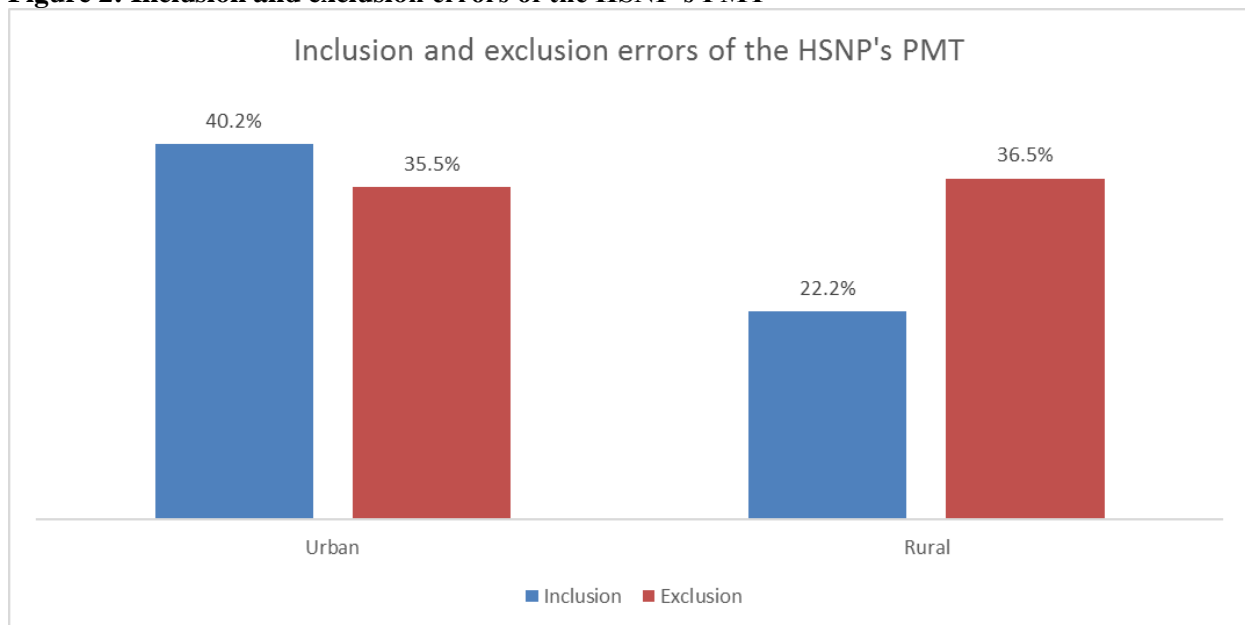
2.3.2 HSNP

The PMT questionnaire for HSNP administers 34 questions and is also based on the KIHBS 2005/2006. In this case the questionnaire also alters the definition and identification of the head of household by asking about the "Main Provider." However, some questions refer to the head of the household, a concept that is mixed with the "Main Provider." The questionnaire also includes questions that may seem unnecessary, like the ownership of towels or frying pans that are actually included in the PMT formula.

In econometric terms, the PMT formula includes 78 and 62 parameters in urban and rural areas, respectively. However, only 34 and 19 of these parameters are statistically significant in urban and rural areas, respectively. This means that the PMT formula contains parameters that are not relevant to the household consumption but are made to play an important role in its prediction with an ambiguous consequence. For instance, the number of adults working is a non-significant parameter in the PMT formula, which has positive sign in urban areas but a negative sign in rural areas – working adults increase urban household consumption in urban areas but reduce it in rural areas. The negative sign of this parameter in rural areas apparently is inconsistent with the prediction of household consumption, which is an embedded error in the PMT formula.

A similar exercise was done to examine the inclusion errors in the HSNP PMT. In this case, Figure 2 shows that this PMT leads to inclusion errors of 40.2% and 22.2% in urban and rural areas, respectively. Exclusion errors are similar in both areas, implying that more than one third of poor households would be excluded by the PMT.

Figure 2: Inclusion and exclusion errors of the HSNP's PMT



Calculations based on KIHBS 2005/2006 data by author

2.3.3 OPCT/CT-PWSD

The PMT questionnaires and formulas of the OPCT/CT-PWSD are divided in two. The first one consists of the PMT tool that is being actually employed. The questionnaire and PMT formula were derived from an analytical exercise with no specific reference to the prediction of household consumption and the employment of any household survey. The questionnaire is composed of 101 questions, which make it the longest questionnaire among the programmes. The weights of the PMT formula were assigned without a clear criterion and apparently without distinction between urban and rural areas.

The fourth PMT questionnaire and formula is referred to here as "the recertification tool" which has not been used yet. It is derived from the micro-data from the KIHBS 2005/2006 with 25 questions. This PMT tool has the issue that it also changes the concept of household head referring now to "beneficiary." Some questions are also altered from their original version in the KIHBS, such as source of water, while some other parameters do not seem sensible, such as ownership of towels, frying pans and radio. A question on the employment displays a significant number of options (18 options) that may be hard to define by the enumerator. This question also refers to the "caregiver" with no previous identification of this type of household member. The PMT formula also contains non-significant parameters, which can lead to inconsistent estimates and misleading effects on household consumption, i.e. an increase in household head's wage decreases household consumption.

2.4 COMMUNITY VALIDATION AND APPEALS

Validation refers to the process of going back to communities with lists of potential beneficiaries for community verification. The list of beneficiaries should be interrogated and the complaints

and grievances mechanisms activated to facilitate community members to channel feedback and changes made to the lists accordingly.

2.4.1 CT-OVC

The CT-OVC programme holds two validation exercises at the community level. The first follows the finalization of the CBT during which the names of households listed as poor on Form 1 are read out. Any household that has been excluded in the first targeting step, can be incorporated at this stage. This is a key opportunity for targeting appeals since appeals after this date cannot easily be corrected.

The second validation is conducted when the list of potential beneficiaries is generated following the completion of the PMT ranking. The list is presented at a community validation baraza. During the baraza, any households included on the potential beneficiary list inappropriately may be removed at the request of the community. The LOC and Constituency Social Assistance Committees (CSACs) then review the requests to determine whether the affected households are eligible or not. In addition, during the baraza, the community members are informed that it is possible that the programme would not be able to enrol all those eligible for the programme because of resource constraints. The rest of those households that qualify but are not selected are stored on the pending list.

2.4.2 HSNP

Once village level lists are generated using the PMT they should go through a process of community based validation (CBV). This is essential in order to enable the community to cross check any major inaccuracies in the PMT generated lists. Primarily, communities are required to review the lists for inclusion errors i.e. households on the list that are not actually poor, vulnerable or eligible for HSNP (see eligibility criteria below). Once communities have identified those households that should be excluded from the programme they can then identify replacement households using the eligibility criteria. Given the limited resources the communities are informed that not all households who meet the eligibility criteria can be enrolled on the HSNP programme i.e. there will be exclusion errors. In selecting the replacement households, the community must decide which households are more deserving than others in very similar circumstances. To support this process, communities are provided with lists of non-beneficiary households ranked in wealth order from the HSNP MIS.

Communities are expected to undertake CBV in two main ways: (i) village level *baraza* (meetings); and (ii) posting of the names of the selected beneficiaries in every village for at least one week. Communities manage the process with the support from HSNP county-based staff (including registration teams). *Barazas* are organised by the Assistant Chiefs at the SL and elders from each village. Rights Committee (RC) members support the process as independent observers and receive comments and questions during the posting periods.

2.4.3 OPCT/CT-PWSD

The targeting outcome is communicated to beneficiaries in an enrolment meeting. The DGSDO informs community structures that beneficiaries have been selected and instructs them to call a validation *baraza*. The *baraza* occurs at sub-location level and is facilitated by two officials,

including members from the LOC, DGSD Committee or an Ex-Official. Community validates final list of beneficiaries at the *baraza*. The communities are given an opportunity to complain about the process to the programme teams, CSACs, LOCs, BWCs and local leadership structures.

The official facilitating the *baraza* should go through the list of selected beneficiaries ensuring there is overall general agreement of the selection. Any disagreements should try to be resolved during the *baraza*, if not, the person with the disagreement should submit a formal appeal. After the validation process, community members are given one week to formally file an appeal. In urban areas, members of the LOC, Ex officials, DGSD Committee spread the word across the community that the beneficiaries have been selected. These groups should visit schools, churches, etc. reading out the lists. Radio programmes advertise that the lists are available at various locations for review and discussion with LOC members. Any households who disagree with the list should file a formal appeal with the DGSDO or LOC member. Community members are given 2 weeks to file an appeal. The DGSDO summarises outcomes of validation and appeals process, confirming final list.

In summary, the cash transfer programmes under the NSNP employ various approaches in registering potential households as well as conducting validation for selected households. In terms of registration, it is evident that CT-OVC and OPTC/CT-PWSD only register eligible household that meet the given project selection criterion. For example, for CT-OVC, only households with orphans and vulnerable children are registered. However, for HSNP all households that volunteer to be registered are registered. Validation for all the four programmes is done through public forums (*barazas*).

Further, it is notable that these programmes employ CBT and PMT to the selection of beneficiaries. The CBT of the CT-OVC is defined by a range of household characteristics, while the CBT of the HSNP relies on a relative and subjective ranking of households in the selected communities. The PMT questionnaires and formulas of the programmes are based on the micro-data from the KIHBS (2005/6). The PMT formulas attempt to predict household consumption in order to rank households according to their predicted consumption. Major issues were found during the review, which are common among PMT questionnaires and formulas. These are mainly the mistaken adaptation of KIHBS questions and the inclusion of parameters in the formulas that are not statistically significant.

3. NEW TARGETING TOOLS FOR THE NSNP

This section presents the new targeting tools that are suggested to be used by the programmes belonging to the NSNP. To date, several poverty definitions are being used by all the interventions. The CBT apparently is not equipped with clear instructions on how poverty is understood by each programme (except for CT-OVC), while the PMTs do not follow the same understanding of poverty. Without clear instructions on how to carry out the CBT, the current approach is based on varying community-based definitions of poverty. The latter, although important in giving the communities a voice in the programmes, is not socially reliable given the fact that the PMTs are based on the prediction of household consumption. Thus, the objective of this section is to develop new targeting tools that provide consistent definition of poverty from the community-based screening (CBS) to the PMT.

The following principles have been taken into account in new developing the new targeting tools:

- i. They take advantage of existing approaches and address the issues presented in the previous section;
- ii. The four programmes share the same algorithm to measure poverty and to rank households from the poorest to the wealthiest;
- iii. The CBS is consistent with the PMT in the way it addresses poverty;
- iv. Integrated targeting tools that allow the programmes to keep their categorical selection criteria;
- v. The new targeting tools make consistent use of the community-based approach based on observable characteristics and minimise the mismatch between the CBS and PMT selections;
- vi. A single questionnaire that can be used for all the interventions while meeting the needs of each of the four programmes; and
- vii. The tools are based on the most suitable data source from household surveys or national census.

3.1 AWARENESS, SENSITIZATION AND REGISTRATION

Community awareness is key to ensuring local buy-in for a robust cash transfer programme. It is clear that the NSNP needs to develop an awareness and sensitization strategy that covers all the programmes and ensures that the communities understand the objectives of the cash transfers including the selection criteria. All programme teams should be involved in the sensitization process. In addition, there is a need to engage political/administrative leadership for buy-in and support at the county, constituency and location levels – MPs, chiefs, assistant chiefs, County officials – members of county assembly (MCAs), ward and religious leaders. To ensure a smooth process, efforts should be made to strengthen and work with the existing structures at the community level: CSACs, LOCs, BWCs among others. Furthermore, depending on the vastness of the location, the awareness and sensitization meetings should be conducted at different levels - location, sub-location or village.

Good communication is key to ensuring clarity and reducing confusion at the community level. To ensure effective communication at the community level, programme teams should make use of multiple channels of communication, such as radio, schools/religious institutions/interest groups and text/voice messaging (this is currently being piloted by HSNP), to ensure wider/broader reach especially for beneficiaries who may not be able to attend community barazas. It is also important to reach out to the persons with disabilities by ensuring that ICT materials and other communication materials are presented in accessible formats and are user friendly. For this to be effectively done, the NSNP should develop a Communication Strategy that would guide the work of the four programme teams. During the initial sensitization forums, the community members should also be informed about their roles in the programmes.

Joint awareness and sensitization activities should be conducted by the NSNP programme teams for efficiency and to minimize confusion at the community level. The programme teams should agree on their movement and the approach beforehand to ensure that the messages communicated are consistent. The following process is proposed for ensuring appropriate community awareness creation and sensitization:

- i. Hold meetings with community leadership at the County level. Ensure that the local political and administrative leadership is engaged at the initial stage of the programme roll-out or expansion;
- ii. Working with the local structures, inform the community leaders of the selected location or sub-location about the programme expansion or roll-out and provide other details including date of community barazas, etc;
- iii. Identify other avenues of disseminating information – religious institutions, community-based organizations, schools and other interest groups that would increase the reach to those that may not participate in a community meeting;
- iv. Hold community meetings during which the members are informed about the objectives of the exercise and the need for accurate local information;
- v. During this meeting, inform the community about the objectives of the programme or programmes indicating in detail the expectations: general registration of poor and vulnerable people, categories of potential beneficiaries, etc;
- vi. Provide information on when sub-locations and villages will be visited for the registration exercise if working at lower levels than the location.

For urban areas, a wide range of channels to reach the people should be used including chiefs (through community barazas), Nyumba kumi, schools, religious institutions, interest groups and text/voice messaging. Close links should be created with structure/house owners to document all structures and their numbers including the current tenants for ease of location of households during the administration of the questionnaire.

The following recommendations are made to ensure effective awareness/sensitization, communication and registration:

- (i) allocate adequate time for this process;
- (ii) develop communication guidelines that can be applied across the programmes;
- (iii) explore the establishment of a consolidated fund for joint activities; and
- (iv) strengthen the *Branding and Communication Committee* to ensure synergies in communication.

The key challenges to harmonized community awareness and sensitization include: (i) limited resources to facilitate joint planning and implementation; (ii) programmes get their funds at different times thereby limiting their capacity to execute joint plans; (iii) limited capacity of the various programmes and community structures; (iv) poor infrastructure in some areas; (v) team dynamics among the county officers and actors that may hinder effective planning and implementation; and (vi) timeliness of the activities – sometimes funds are released late forcing programme teams to rush through the processes. It is critical that resources are made available, under the NSNP, to ensure that such joint activities are implemented in a timely manner.

3.1.1 Registration of households

This should also be done jointly as much as possible.⁸ Although the ideal situation would be the registration of all households in the location or sub-location (similar to what has been done in HSNP counties), the NSNP should endeavour to generate a list of all poor and vulnerable households in a particular location/sub-location. Given this approach, the following steps are proposed:

- i. Following the awareness creation and sensitization, the programme teams, should hold a community meeting and facilitate the communities to generate lists of people considered poor and vulnerable. This could be done village by village to ensure that no household is left out.
- ii. The list of households, per village, should be shared/disseminated to community members through a community *baraza*, to validate accuracy and completeness before the CBS is initiated. This list should then be updated during subsequent visits or when expanding on the programme reach.

3.2 CONDUCTING A COMMUNITY BASED SCREENING (CBS)

To facilitate an appropriate consistency between the CBS and the PMT, it is important that there is an effort to use some known parameters that define poverty at the community level (similar to the approach used by CT-OVC). The local committees (taking into consideration urban, rural and pastoralist communities/ASAL areas) should at least consider the following characteristics of household poverty in determining poverty and vulnerability:⁹

- i. struggles to survive;
- ii. adopts negative coping mechanisms (such as eating wild foods, begging for food from neighbours, neglecting own fields in favour of piecework);
- iii. has less than 3 meals a day;
- iv. has no house or lives in indecent shelter;
- v. wears tattered clothing;
- vi. limited access to education and health;
- vii. has no livestock (or has lost livestock due to disease, drought or floods);
- viii. has many older people and children; and
- ix. has only irregular and insufficient support.¹⁰

It should be noted that a household must not meet all these conditions but these characteristics should be taken into consideration in order to resolve disputes among registered households selected by the use of the Living Conditions Score (LCS) (described in detail further below).

⁸The key challenge identified by the programme teams is the fact that programmes receive their resources at different times and this can affect their capacity to plan and implement joint activities.

⁹Comments from programmes were to the effect that the communities should be allowed to define its poor. The characteristics identified are therefore aimed at ensuring that the factors considered can be applied across different communities.

¹⁰A similar approach has been successfully used in Zambia in supporting the communities to identify the poor amongst them. This approach will be piloted in 2016 and necessary changes effected.

3.3 A NEW PROXY MEANS TEST

A new PMT to be used by the NSNP programmes must account for the previous limitations and strengths of the CBS and PMTs. In this sense, previous PMTs (examined earlier) are based on the prediction of household consumption. Several discrepancies arise when using a PMT with a consumption-based approach and a CBS at the same time:

- i. Communities do not rank or select households in poverty according to their observed consumption;
- ii. The definition and construction of the household consumption from a household survey obey scientific criteria that are not observed by the community, such as imputations (value of the rent of own or provided dwellings or own consumption) and adult equivalences from statistical agencies. Similarly, household consumption contains items that are acquired on a yearly or weekly basis but the final measure is fetched on a monthly basis. As these facts are not observed by the community, while household consumption is consistent with the measure of national poverty headcount, its combined use with the community participation in a targeting process can lead to higher social costs, including grievances and rejection of the selection of beneficiary households.
- iii. The estimations of household consumption based on linear regressions are endowed with a constant term that assigns a floor of consumption that prevents the programmes from reaching the very poor households that are identified by the communities.

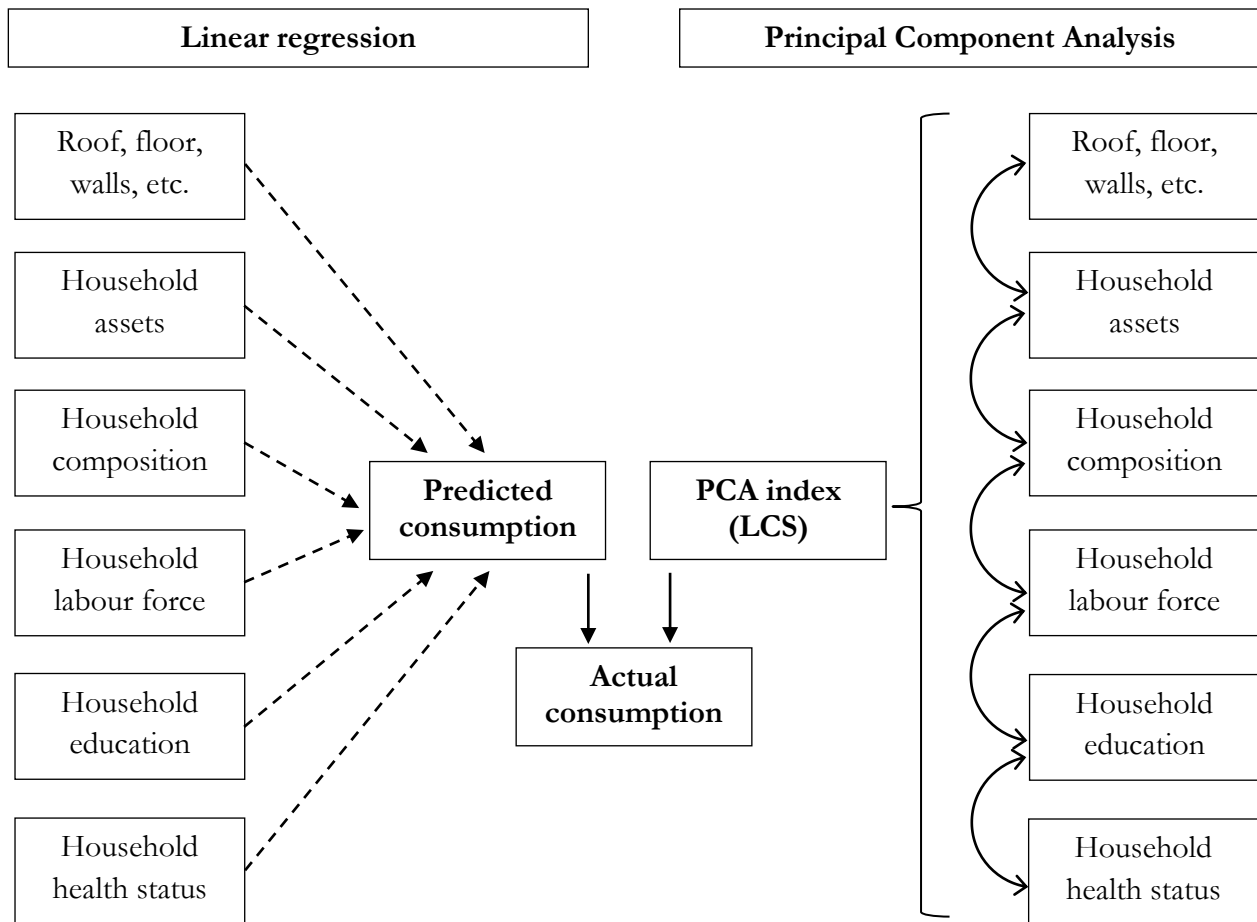
Therefore, the proposed new PMT is not based on the direct prediction of household consumption, but on the generation of a selection score that denotes the living conditions of all households consistent with the CBS stage of the targeting process.

The new selection score has a significant number of attractive features since it is equipped with similar discriminating power between poor and non-poor households but instead of relying on linear regression it is calculated from a Principal Component Analysis (PCA).¹¹ Unlike linear regression, this method does not directly predict household consumption, does not set a constant term that implies the calculation of a minimum consumption and does not depend on a parametric algorithm that yields significant or non-significant parameters of variables. Figure 3 illustrates the differences between the existing PMT method based on linear regression and the proposed one based on PCA. It shows that:

- i. Linear regression is based on the correlation of each household characteristic and household consumption. The PCA is based on the relation between each household characteristic and the rest of characteristics.
- ii. Linear regression yields the predicted household consumption based on a linear formula with a constant term from which household consumption deviates depending on the household characteristics. The PCA yields an index based on the correlation among household characteristics, no constant term is involved.
- iii. The predicted consumption and the PCA are correlated with actual household consumption: low predicted consumption and low PCA index are related to low actual consumption.

¹¹See mathematical and technical details in Johnson and Wichern (2002).
NSNP Harmonized Targeting Methodology (2015)

Figure 3: Comparison between the use of linear regression and PCA



Two micro-data sources are suitable for the development of a new PMT tool:

- i) The KIHBS 2005/2006 contains the information that is needed to complete this analysis with several modules that capture information on households' living conditions, human capital endowment and labour market participation. However, several downsides dominate the generation of a new PMT from the KIHBS, namely:
 - a) It is representative only at an aggregate level which does not allow the construction of variables at geographic levels below the county level; and
 - b) It is based on a sampling method with sampling errors;
 - c) The current KIHBS was conducted over a decade ago which makes it unreliable for some practitioners.

- ii) The 2009 Census is also a suitable micro-data source for the development of a new PMT. The 2009 Census disaggregates up to the sub-location level, therefore, a richer geographic discrimination is possible for the generation of a PMT. While the Census does not contain the same number of question modules as the KIHBS, it is endowed with the relevant and sufficient characteristics to develop a PMT tool. As a consequence, since the new PMT is not interested in the prediction of the household consumption, the 2009 Census (with more than 44 million observations) outweighs

the KIHBS 2005/2006 (with nearly 66,000 observations) in the sense that no sampling errors are implicit in the analysis, and any geographic disaggregation is possible at any level.¹²

3.3.1 A new PMT questionnaire

To generate a new PMT for the NSNP, the first step is the definition of a new PMT questionnaire, which is referred to as the 'Household Living Conditions Survey (HLCS)'. This new questionnaire should be administered by any of the programmes belonging to the NSNP after the CBS stage has been completed. The HLCS is aimed at capturing information on:

- i. Household physical living conditions, such as dwelling materials and the provision of water, sewage, electricity and the cooking fuel;
- ii. Household endowment of assets like TV, refrigerator (essential for food preservation), car or motorcycle (as a means of transportation and work) and tuk-tuk as a source of income. This section has dismissed the inclusion of assets that are considered not sensible in the generation of a PMT formula (towels, frying pans, animal carts, etc.);
- iii. Relevant to rural areas and some regions, the ownership of relevant livestock is captured by the survey. Although in some regions the ownership of some animals is not highly relevant, the questionnaire should include all of them regardless of the region it is administered;
- iv. The questionnaire includes questions that may be irrelevant to the PMT formula but help the flow of the questions, while the respondent may feel that these are the ones defining programme participation; and
- v. Household composition and human capital. The PMT questionnaire includes questions that will help in establishing the structure of each household and the identification of several nuclear families within the household. Starting from the head of the household, the questionnaire determines the education attainment of each member, as well as his/her health status at the time of the survey. These questions contribute to understanding the health and education endowments of the household in terms of human capital, while the household composition helps to characterise the basic social capital endowment (number adults, old members and children, and economic activity).

The suggested new questionnaire structure is annexed in Appendix 3 and its manual in Appendix 5. It is composed of five parts ordered from the easiest to the hardest questions. It identifies the programme that is collecting the information, the identification of the household and the observable living conditions following literally the questions of the 2009 Census.

The questionnaires should be pre-coded in the "Form No.____" field for ease of data processing. The dwelling and household module (module II) collects information on the dwelling construction materials, access to water and the ownership of some assets and livestock. This module also records information on the number of births and deaths in the last 12 months as an indication of health and demographics within the household. It also asks for the respondent's impression of the household status and food security. Finally, this module collects information on the participation of the household in other social transfer programmes.

¹²It is important to note that the range of questions used in the new PMT will also be contained in the KIHBS thus allowing a revision of the PMT when the next KIHBS data become available in 2017.

The household demographics module (module III) records information on every member of the household in relation to the household head (as implemented by the 2009 Census). For every child, this module identifies main caregiver and whether his/her parents are still alive. In addition, persons with disabilities or chronically ill are identified and their education and work status are recorded. The last questions ask for each member's earned income that is not used in the PMT but works as a distraction for those households interested in cheating during the questionnaire administration.

3.3.2 A new PMT formula

To develop a new PMT formula, the analysis is based on the available information that can be captured by the HLCS and the capacity of the resulting questions to identify households with the worst living conditions.

In this sense, the information from the HLCS allows for the identification of 177 variables or parameters to be included in a Living Conditions Score (LCS) that will range between 0 and 100, with 0 denoting the poorest household and 100 the wealthiest. As indicated before, the methodology to obtain the weights for the PMT formula is not based on linear regression but on a Principal Components Analysis (PCA).¹³ Instead of predicting household consumption, the PCA provides a score, the LCS, based on the correlation of each variable or parameter with the rest of variables included in the analysis. The correlations among the 177 variables or parameters are summarized in one single number on a scale 0 - 100 with different scales in Nairobi, urban and rural areas.

The variables or parameters in the PCA, that lead to the LCS (the new PMT score), are not directly associated with the prediction of household consumption, but rather, they are correlated with the rest of parameters that lead to the definition of the LCS. For example, existing PMT tools based on linear regression show that having towels or frying pans can predict high levels of household consumption. According to the previous experience, the community component of the targeting process makes it difficult to harmonize the selection of household with such PMTs and the CBS. A PMT score consistent with a CBS needs to be based on the correlation among the parameters (what the community observes) rather than their prediction of household consumption.

Table A1 in Appendix 2 shows the 177 variables taken into account in the PCA that can be drawn from the HLCS or external sources. The fact that this analysis is based on the 2009 Census allows the inclusion of variables at the sub-location level which strengthen the discriminating capacity of the analysis across communities within the same region or county (previous PMTs had been able to include aggregate variables but at the county level). These variables are grouped by:

¹³Other countries using PCA for their cash transfer programmes include: Mexico with their cash transfer (see document: <http://www.ncbi.nlm.nih.gov/pmc/articles/PMC2779574/>); Ecuador's cash transfer (see document <http://elibrary.worldbank.org/doi/pdf/10.1596/1813-9450-3930>); Dominican Republic for several programmes (see document <http://www.worldbank.org/content/dam/Worldbank/Event/social-protection/De%20La%20Briere%20-%20Targeting.pdf>); and Colombia for the whole welfare system (see document <http://siteresources.worldbank.org/SOCIALPROTECTION/Resources/0529.pdf>).

- i. Region: defined by the county of residence of the household. These are excluded from the Nairobi LCS;
- ii. Geographic characteristics at the sub-location level: these include population, deaths and birth rates. Also the precipitation and elevation data are included as indicators of the conditions of the terrain. Precipitation rates can determine food production, while elevation accounts for weather (it is not the same living in a house with poor construction materials in the coast or in the mountains);
- iii. Dwelling conditions and services: these comprise the tenure of the dwelling, main construction materials, human waste disposal and cooking and lighting fuels;
- iv. Household assets: ownership of durable assets and those associated with transportation and income generation (tuk tuk);
- v. Livestock: number of animals owned by the household (especially in rural areas). These are excluded from the Nairobi LCS;
- vi. Household characteristics: household members' age and education composition, presence of orphans, older persons or chronically ill members;
- vii. Labour force: labour conditions of the head and spouse of the household, proportion of workers among adults and presence of child workers; and
- viii. Labour force (sub-location): characteristics of the labour force at the sub-location level.

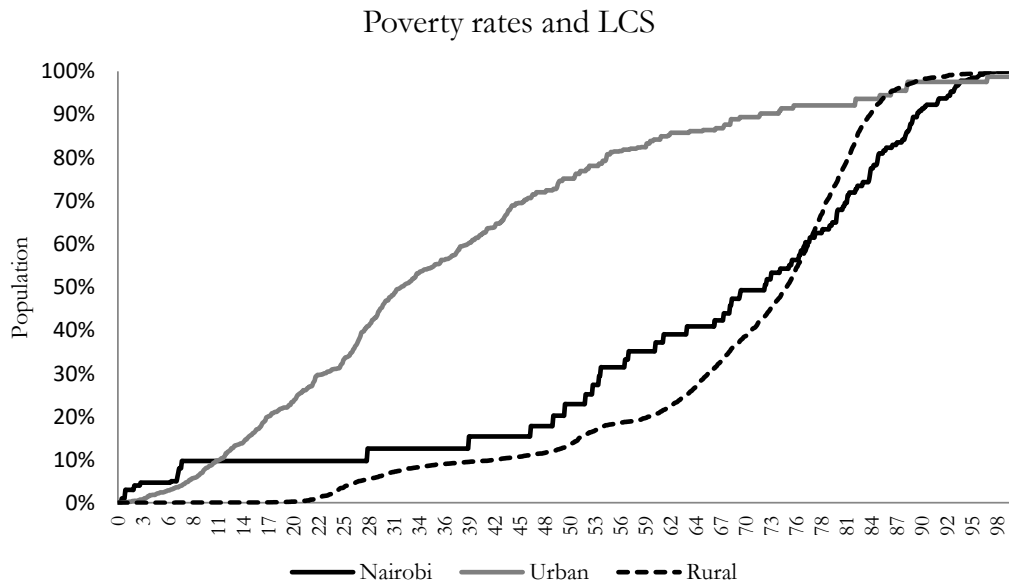
Appendix 6 shows the results of the PCA that provide the weights for the calculation of the LCS. Continuous variables are accompanied by their average and standard deviation, which will allow the calculation of the LCS with the HLCS on a scale from 0 to 100. The weights (also known as scoring coefficients) are small or large according to their contribution to the final score. As it can be seen, unlike the regression analysis previously used for the calculation of the PMT score, the presence of variables in the PCA is not determined by their significance in the prediction of household consumption but by the extent to which they contribute to the LCS. For instance, the PMT of the CT-OVC only considers the wall materials of stone and wood, while the others are excluded because they have low prediction power. Instead, in the PCA that leads to the LCS all construction materials are in the formula ordered according to their relevance. Therefore, the new LCS is a PMT considered more consistent with a CBS as: (i) none of the household characteristics are omitted from the formula; and (ii) household consumption, which is not directly observed by the community, is not predicted.

To obtain the LCS for Nairobi, Urban and Rural areas, the following steps must be followed (see Appendix 5):

- i. Each continuous response of the HLCS must be standardised by subtracting the mean and dividing it by the standard deviation and then multiplied by its coefficient;
- ii. For categorical responses, no standardization is needed and each coefficient must be multiplied by each categorical response of the HLCS;
- iii. Once these multiplications are completed, we consolidate in one single scalar, which is called the PCA, the raw living conditions score;
- iv. Finally, to obtain the LCS score on the scale 0 to 100 the following formula must be applied to the PCA: $LCS = ((PCA - PCA_{min}) * 100) / (PCA_{max} - PCA_{min})$. The PCA_{min} and the PCA_{max} are constant number shown in the bottom of the table in Appendix 4; and
- v. Information from external sources (precipitation, elevation, labour indicator, etc.) can be downloaded from this link: <http://bit.ly/1OU2NWx>

Figure 4 shows the poverty estimates of the LCS for each geographical area. As it can be seen, the poverty headcount of Nairobi and Rural LCS increases more slowly than the one in Urban areas. However, make no mistake: these three scores are not comparable. One advantage of the LCS is that there is no fixed cut-off point. In fact, the cut-off point for the selection of potential beneficiaries is determined by the defined coverage of each programme. For instance, to cover 50 per cent of the population, the cut-off score should be 72.1 in Nairobi, 31.6 in Urban areas and 74.5 in Rural areas.

Figure 4: Population below the LCS

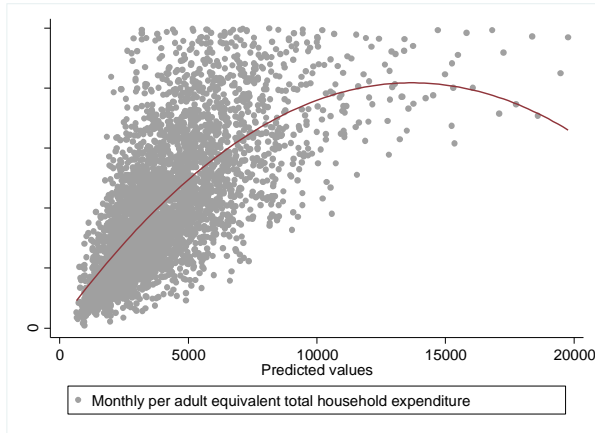


Source: Author with data from 2009 Census.

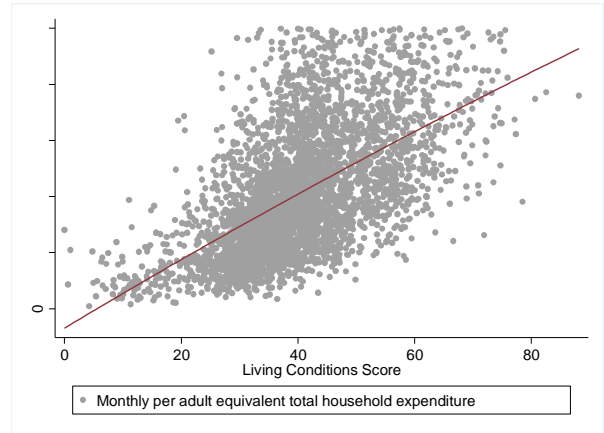
An additional exercise is to compare the PMT obtained from a linear regression (existing method) and the LCS. The KIHBS 2005/2006 is used in order to compare both methods. Figures 5 and 6 show the actual household consumption on the vertical axis against the predicted consumption from a conventional linear regression (like the one currently used by the programmes) and the new LCS adapted in the KIHBS 2005/2006 (this is a reduced version from the one obtained from the 2009 Census). The LCS has a better fit to the observed consumption data than the prediction obtained from a linear regression, allowing for a better dispersion and more targeting efficiency: the concentration of households around the origin (close to zero) of the predicted income leads to higher exclusion errors, this is not the case with the LCS.

Figure 5: Actual household consumption vs. predicted consumption.

Figure 6: Actual consumption vs. an adapted version of the LCS in the KIHBS



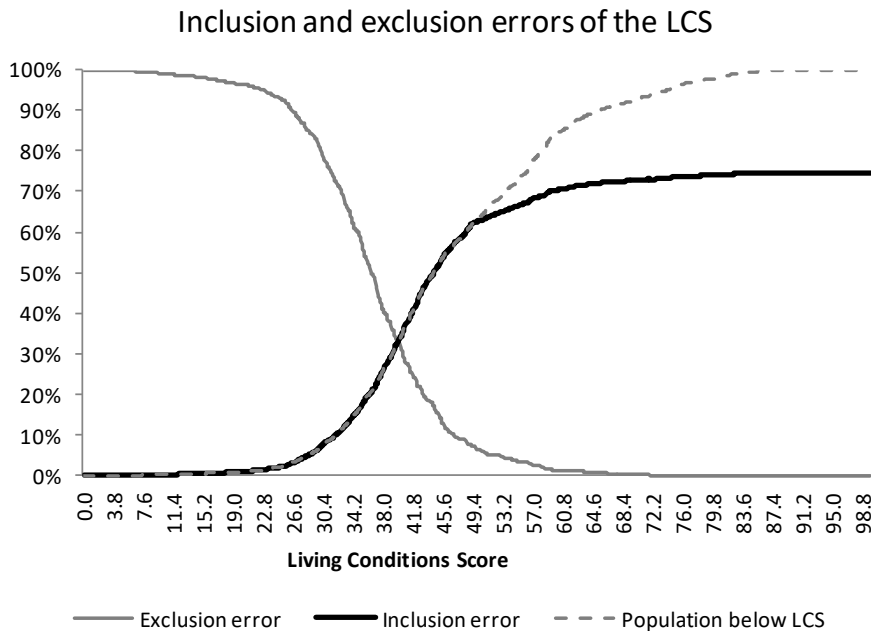
Source: Author with data from KIHBS 2005/2006.



Source: Author with data from KIHBS 2005/2006.

To quantify the exclusion and inclusion errors of the LCS according to a poverty definition depending on household consumption, we have calculated the proportion of actual poor households classified as non-poor (exclusion errors) and the proportion of predicted or classified poor households that are non-poor (inclusion errors) at each point of the LCS. Figure 7 illustrates a stylised fact of targeting efficiency: diminishing exclusion errors occurs at the expense of higher inclusion errors. In this example derived from the KIHBS 2005/2006 the exclusion and inclusion errors are minimised at the score of 40, where they are both 33.1 per cent. If we were to allow exclusion errors to become zero, the inclusion errors would be 71.6 per cent at the score of 63.6. Therefore, the higher the coverage of the NSNP, the lower the exclusion errors and the higher the inclusion errors.

Figure 7: Inclusion and exclusion errors (LCS - urban)



Source: Author with data from KIHBS 2005/2006.

In sum, this section has presented the development of a new PMT that attempts to improve on the PMTs currently being used by the NSNP programmes. The 2009 Census was used instead of the usual KIHBS 2005/2006, since the Census facilitates the use of richer data with disaggregation at the sub-location level. Instead of the use of a linear regression-based approach, the methodology has relied on a PCA that accounts for a higher number of household characteristics. While the PMT questionnaire presented here is consistent with the 2009 Census and the operative requirements of the NSNP, the suggested CBS is based on and consistent with the community characterisation of households.

3.4 COMMUNITY VALIDATION AND APPEALS

Following the completion of the registration, CBS and PMT, the programme teams jointly or independently should engage the communities in validating the lists of potential beneficiary households. During this process, there is need to create awareness and empower communities for active participation in identifying the poor among them; this could be done by dealing with fears among community members and political interference of the process.

There should be two levels of community validation: (i) after registration of poor and vulnerable households and implementation of the CBS; and (ii) after the selection of the final beneficiaries using the PMT. Programme teams should make use of existing local structures including the CSACs, LOCs, BWCs and Rights Committees in ensuring the transparency and accountability of the community level processes. More time needs to be allocated to the validation process to ensure that communities have adequate time to identify the poor among them, as well as lodge any complaints and grievances to the programme teams at the different stages of beneficiary selection.

The proposed process, which builds on the current structures, should address some of the transparency concerns that tend to form a bulk of the complaints and grievances with the existing programmes.

(i) Community level forums

These forums should be organised by the Chief and Assistant Chief at the sub-location level and elders from participating villages. During these meetings the community members should be informed that the programme may not enrol all those eligible because of resource constraints but they would be put on a waiting list.

- i. Before the meeting, the programme teams should have prepared a list of the potential beneficiaries to be read out to the community members;
- ii. The people at the meeting should be provided an opportunity to comment on the names during the meeting and/or after;
- iii. Acknowledging that it is sometimes difficult for community members to voice their concerns in public forums, there is a need to create alternative mechanisms for them to provide feedback.

(ii) Avail the list of selected beneficiaries at the community level

The list of potential beneficiaries should be made available in every village for at least two weeks –at the chief’s and assistant chief’s offices, social halls, schools, mosques, churches or other easily accessed venues. This process should be managed with the support of county staff

and programme specific staff (e.g. those working for the HSNP). The Rights Committee (RC) members or members of the complaints and grievance groups should support the process as independent observers and receive comments and questions during the posting periods.

(iii) Determine replacement households

The LOCs/CSACs/BWCs and programme teams should then review the feedback from the community members to determine whether the particular household in question is eligible or not. It should be noted that it is easier to replace a household following CBS but after the PMT, the process requires a re-run of the PMT, a process that might take time. Once replacement households have been determined, the list should also be made available to the communities for their input.

(iv) Finalizing the list of beneficiaries

This final list should be reviewed jointly by the programme/County teams and the local structures (CSACs, LOCs, BWCs and RCs) and endorsed for authenticity. Where possible, the LOC/CSAC/BWC should be facilitated to sign off the final list.

It is critical that all the programmes ensure that this process is followed because it will stem some of the complaints and grievances that tend to bog down programmes during the initial stages of implementation. It is notable that the validation and appeals process could involve multiple programme teams so as to avoid several visits to the communities. The communication during the public *barazas* could also address multiple programmes or a specific programme based on the context of the validation. Most importantly, it is critical that all the activities are allocated adequate time to allow for all the due processes to be followed. A list of key risks and mitigations measures is presented in Annex 7.

APPENDICES

Appendix 1: Glossary of terms

Community: The dictionary definition of a community is a social group of any size, whose members reside in a specific locality, share government, and often have a common cultural and historical heritage.

Consolidation: For the purpose of the NSNP, consolidation entails putting in place a coordinated approach to implementing cash transfers and other forms of safety nets in the country. The process, whose main aim is to improve efficiency, will be progressive with measures outlined for the short, medium and long-term.

Harmonization: The dictionary definition of harmonization is ‘to bring into harmony, accord or agreement’ or to ‘harmonize approaches within a new context.’ It can also be defined as ‘the process of creating common standards across safety net programmes, which would involve building on existing programme strengths while adjusting differences and inconsistencies among different measurements, methods, procedures, schedules, specifications or systems to make them uniform or mutually compatible.’

Household: A household is a person or group of persons who reside in the same homestead/compound but not necessarily in the same dwelling unit, have same cooking arrangement, and are answerable to the same household head. There are three important questions used to identify a household:

- a) Do the persons reside in the same compound? (i.e., the persons in the household may reside under same roof or several roofs in the same compound).
- b) Are they answerable to the same head? (i.e., persons in a household are answerable to a person they recognise to have authority).
- c) Do they have the same cooking arrangement? (i.e., members of a household cook together).

If the answer to each of the above criteria is “YES”, then you have adequately identified a household. If the answer to one or more of these criteria is “NO”, then there are more than one household.

Household Head: This is the most responsible/respectable member of the household who makes key decisions of the household on a day-to-day basis and whose authority is recognized by all members of the household. It could be the father, the mother or a child, or any other responsible member of the household depending on the status of the household.

Poor:

Absolute poor: People who are unable to meet their basic needs, both food and non-food. KIHBS (2005/6) defines the overall poverty lines for rural and urban Kenya as: KES 1,562 and KES 2,913, respectively in 2005/6.

Food poor: People who are unable to meet their minimum food needs. KIHBS 2005/6 defines food poverty lines in monthly adult equivalent terms of KES 988 and KES 1,474 for rural and urban Kenyans, respectively.

Hard core poor: People who are unable to meet their minimum food needs even if they use up all of their expenditure on food.

Recertification: This is a process used to reassess the characteristics of existing beneficiaries/households to determine whether the eligibility, in terms of the targeting criteria, has changed. In addition, it determines whether the beneficiaries should continue benefitting from the programmes. The tools used for initial targeting are administered during recertification to ensure that the same measurements are applied for determining the suitability of the households. The process of recertification requires collaboration among all the implementers to ensure that the objectives are well understood and to stem any political interests and fall-out that might derail the process.

Sustainability: From a social protection perspective, sustainability is a process of ensuring the existence of sound economic, social and environmental conditions for continued implementation of the NSNP.

Targeting: Targeting is a process used to identify individuals or households that are eligible for a safety net programme according to a specific criteria. Targeting is a process that entails registration of the households, administering the household questionnaire, applying the PMT (as appropriate) and community validation.

Vulnerability: This is the exposure to contingencies and difficulty in coping with them. Vulnerability has two sides: an external side consisting of risks, shocks, and stresses to which an individual or household is exposed to; and an internal side which is defencelessness, meaning a lack of means to cope without experiencing damaging loss. The World Bank defines vulnerability as *'the likelihood that a shock will result in a decline in well-being.'* In this NSNP, vulnerability is used to imply *'the likelihood of suffering from future deteriorations in standard of living, which may result in socially unacceptable outcomes such as state of poverty, or inability to meet basic needs such as food.'*

Appendix 2: Table A1: Variables in the PCA

Variable(s)	Description	Source
Regions		
Central	Binary variable for Central region	HLCS - 1.01 = 201 - 205
Mombasa	Binary variable for Mombasa region	HLCS - 1.01 = 301
Coastal	Binary variable for Coastal region	HLCS - 1.01 = 302 - 306
Upper Eastern	Binary variable for Upper Eastern region	HLCS - 1.01 = 401 - 402
Mid-Eastern	Binary variable for Mid-Eastern region	HLCS - 1.01 = 403 - 405
Lower Eastern	Binary variable for Lower Eastern region	HLCS - 1.01 = 406 408
North Eastern	Binary variable for North Eastern region	HLCS - 1.01 = 501 - 503
Nyanza	Binary variable for Nyanza region	HLCS - 1.01 = 601 - 606
North Rift	Binary variable for North Rift region	HLCS = 701 - 703
Central Rift	Binary variable for Central Rift region	HLCS - 1.01 = 704 - 710
South Rift	Binary variable for South Rift region	HLCS - 1.01 = 711 - 714
Western	Binary variable for Western region	HLCS - 1.01 = 801 - 804
Geographic characteristics		
Population (sub-location)	Number of inhabitants at the sub-location level	Externally provided (2009 Census)
Death rate (sub-location)	Number of deaths/1000 inhabitants at sub-location level	Externally provided (2009 Census)
Birth rate (sub-location)	Number of births/1000 inhabitants at sub-location level	Externally provided (2009 Census)
Mean precipitation (sub-location)	Mean annual precipitation rate (ml) at sub-location level	Externally provided (Satellite data)
Mean elevation (sub-location)	Mean elevation (mts) at sub-location level	Externally provided (Satellite data)
Dwelling conditions and services		
Dwelling tenure	Tenure status of the dwelling unit	HLCS - 2.02
Other form		HLCS - 2.02 = 10
Individual		HLCS - 2.02 = 8
Government		HLCS - 2.02 = 4
Local authority, Parastatal, Private company, Faith based org. /NGO		HLCS - 2.02 = 5 - 9
Constructed		HLCS - 2.02 = 2
Inherited		HLCS - 2.02 = 3
Purchased		HLCS - 2.02 = 1
Household size (members)	Number of household members	HLCS - 3.01
Rooms per persons	Number of habitable rooms per persons	HLCS - 2.01
Wall construction material	Dominant construction material of the walls	HLCS - 2.04

Variable(s)	Description	Source
Other		HLCS - 2.04 = 9
Grass/Reeds		HLCS - 2.04 = 7
Tin		HLCS - 2.04 = 8
Corrugated iron		HLCS - 2.04 = 6
Mud/Wood		HLCS - 2.04 = 3
Wood only		HLCS - 2.04 = 5
Wood/cement		HLCS - 2.04 = 4
Brick/block		HLCS - 2.04 = 2
Stone		HLCS - 2.04 = 1
Roof construction material	Dominant construction material of the roof	HLCS - 2.03
Other		HLCS - 2.03 = 9
Grass/Mud/Dung		HLCS - 2.03 = 5, 8
Makuti		HLCS - 2.03 = 6
Tin		HLCS - 2.03 = 7
Corrugated iron		HLCS - 2.03 = 1
Asbestos sheets		HLCS - 2.03 = 4
Concrete		HLCS - 2.03 = 3
Tiles		HLCS - 2.03 = 2
Floor construction material	Dominant construction material of the floor	HLCS - 2.05
Other		HLCS - 2.05 = 5
Earth		HLCS - 2.05 = 4
Wood		HLCS - 2.05 = 3
Cement		HLCS - 2.05 = 1
Tiles		HLCS - 2.05 = 2
Main source of water	Main source of water (for all purposes)	HLCS - 2.07
Other		HLCS - 2.07 = 15
River/pond/stream/Dam/Lake		HLCS - 2.07 = 1 - 4
Unprotected spring		HLCS - 2.07 = 6
Protected spring		HLCS - 2.07 = 5
Unprotected well		HLCS - 2.07 = 8
Protected well		HLCS - 2.07 = 7
Borehole		HLCS - 2.07 = 9
Jabia/Rain/harvested		HLCS - 2.07 = 12 - 13
Water vendor		HLCS - 2.07 = 14
Piped		HLCS - 2.07 = 11
Piped into dwelling		HLCS - 2.07 = 10
Main mode of human waste disposal	Main source of human waste disposal	HLCS - 2.08
Other		HLCS - 2.08 = 9
Bush		HLCS - 2.08 = 8
Bucket latrine		HLCS - 2.08 = 7
Pit latrine uncovered		HLCS - 2.08 = 6

Variable(s)	Description	Source
Pit latrine covered		HLCS - 2.08 = 5
VIP pit latrine		HLCS - 2.08 = 4
Cess pool		HLCS - 2.08 = 3
Septic tank		HLCS - 2.08 = 2
Main sewer		HLCS - 2.08 = 1
Main type of cooking fuel	Main type of cooking fuel	HLCS - 2.09
Other		HLCS - 2.09 = 8
Firewood		HLCS - 2.09 = 5
Charcoal		HLCS - 2.09 = 6
Paraffin		HLCS - 2.09 = 2
Biogas		HLCS - 2.09 = 4
LPG		HLCS - 2.09 = 3
Electricity		HLCS - 2.09 = 1
Solar		HLCS - 2.09 = 7
Main type of lighting fuel	Main type of lighting fuel	HLCS - 2.10
Other		HLCS - 2.10 = 8
Fuel wood		HLCS - 2.10 = 6
Gas lamp		HLCS - 2.10 = 5
Tin lamp		HLCS - 2.10 = 4
Lantern		HLCS - 2.10 = 3
Pressure lamp		HLCS - 2.10 = 2
Electricity		HLCS - 2.10 = 1
Solar		HLCS - 2.10 = 7
Household assets		
TV	Household or any household member owns a TV	HLCS - 2.11
No		HLCS - 2.11 = 2
Yes		HLCS - 2.11 = 1
Motorcycle	Household or any household member owns a motorcycle	HLCS - 2.12
No		HLCS - 2.12 = 2
Yes		HLCS - 2.12 = 1
Car	Household or any household member owns a car	HLCS - 2.13
No		HLCS - 2.13 = 2
Yes		HLCS - 2.13 = 1
Refrigerator	Household or any household member owns a refrigerator	HLCS - 2.14
No		HLCS - 2.14 = 2
Yes		HLCS - 2.14 = 1

Variable(s)	Description	Source
Tuk tuk	Household or any household member owns a tuk tuk	HLCS - 2.15
No		HLCS - 2.15 = 2
Yes		HLCS - 2.15 = 1
Livestock		
Number of exotic cattle	Number of exotic cattle	HLCS - 2.16
Number of Indigenous cattle	Number of Indigenous cattle	HLCS - 2.17
Number of sheep	Number of sheep	HLCS - 2.18
Number of goat	Number of goat	HLCS - 2.19
Number of camel	Number of camel	HLCS - 2.20
Number of donkeys	Number of donkeys	HLCS - 2.21
Household characteristics		
Male head	Head of the household is a male	HLCS - 3.02, 3.03
No		HLCS - 3.02 = 1 & 3.03 = 2
Yes		HLCS - 3.02 = 1 & 3.03 = 1
Spouse in the household	Spouse of the head of the household lives in the household	HLCS - 3.02
No		HLCS - 3.02 = .
Yes		HLCS - 3.02 = 2
Monogamous head marriage	Head of the household is monogamously married	HLCS - 3.05 = 2
No		
Yes		
Proportion of male members	Number of males / household size	HLCS - 3.03 = 1 / 3.01
Age of head of the household	Age of the head of the household	HLCS - 3.02 = 1 & 3.04
Mean age of the household	Sum of all members' age / household size	HLCS - 3.01 & 3.04
Age of spouse	Age of head's spouse	HLCS - 3.02 = 2 & 3.04
Dependency ratio	Number of members under 15 and over 65 / members between 15 and 65 years of age	HLCS - (3.04 < 15 & 3.04 > 65) / (3.04 > 15 & 3.04 < 65)
Proportion of children under 6	Number of children under 6 / household size.	HLCS - 3.04 < 6 / 3.04
Orphan in the household	Whether there is an orphan child in the household (mother or father not alive)	HLCS - 3.04, 3.07, 3.08
No		HLCS - 3.04 < 18 & 3.07 = 2 & 3.08 = 2
Yes		HLCS - 3.04 < 18 & 3.07 = 1, 3.08 = 1
Proportion of children under 12 attending school	Number of children under 12 attending school / total number of children under 12	HLCS - (3.04 < 12 & 3.12 = 1) / 3.04 < 12
Head's education	Education level of the head of the household	HLCS - 3.02, 3.13

Variable(s)	Description	Source
Pre-primary, Standard (incomplete) none, don't know, other		HLCS - 3.02 = 1 & 3.13 = 0, 96, 99
Standard 1		HLCS - 3.02 = 1 & 3.13 = 1
Standard 2		HLCS - 3.02 = 1 & 3.13 = 2
Standard 3		HLCS - 3.02 = 1 & 3.13 = 3
Standard 4		HLCS - 3.02 = 1 & 3.13 = 4
Standard 5		HLCS - 3.02 = 1 & 3.13 = 5
Standard 6		HLCS - 3.02 = 1 & 3.13 = 6
Standard 7		HLCS - 3.02 = 1 & 3.13 = 7
Standard 8		HLCS - 3.02 = 1 & 3.13 = 8
Form 1		HLCS - 3.02 = 1 & 3.13 = 9
Form 2		HLCS - 3.02 = 1 & 3.13 = 10
Form 3		HLCS - 3.02 = 1 & 3.13 = 11
Form 4		HLCS - 3.02 = 1 & 3.13 = 12
Form 5		HLCS - 3.02 = 1 & 3.13 = 13
Form 6		HLCS - 3.02 = 1 & 3.13 = 14
Incomplete post-secondary		HLCS - 3.02 = 1 & 3.13 = 15
Complete post-secondary		HLCS - 3.02 = 1 & 3.13 = 16
Incomplete Undergraduate or (in)complete literacy/ Polytechnic		HLCS - 3.02 = 1 & 3.13 = 17
Complete undergraduate		HLCS - 3.02 = 1 & 3.13 = 18
Incomplete master/PhD		HLCS - 3.02 = 1 & 3.13 = 19
Complete master/PhD		HLCS - 3.02 = 1 & 3.13 = 20
Spouse's education	Education level of the head's spouse (if more than one spouse, pick the highest)	HLCS - 3.02, 3.13
Pre-primary, none, don't know, other		HLCS - 3.02 = 2 & 3.13 = 0, 96, 99
Standard 1		HLCS - 3.02 = 2 & 3.13 = 1
Standard 2		HLCS - 3.02 = 2 & 3.13 = 2
Standard 3		HLCS - 3.02 = 2 & 3.13 = 3
Standard 4		HLCS - 3.02 = 2 & 3.13 = 4
Standard 5		HLCS - 3.02 = 2 & 3.13 = 5
Standard 6		HLCS - 3.02 = 2 & 3.13 = 6
Standard 7		HLCS - 3.02 = 2 & 3.13 = 7
Standard 8		HLCS - 3.02 = 2 & 3.13 = 8
Form 1		HLCS - 3.02 = 2 & 3.13 = 9
Form 2		HLCS - 3.02 = 2 & 3.13 = 10
Form 3		HLCS - 3.02 = 2 & 3.13 = 11
Form 4		HLCS - 3.02 = 2 & 3.13 = 12
Form 5		HLCS - 3.02 = 2 & 3.13 = 13
Form 6		HLCS - 3.02 = 2 & 3.13 = 14
Incomplete post-secondary		HLCS - 3.02 = 2 & 3.13 = 15

Variable(s)	Description	Source
Complete post-secondary		HLCS - 3.02 = 2 & 3.13 = 16
Incomplete Undergraduate or (in)complete literacy/ Polytechnic		HLCS - 3.02 = 2 & 3.13 = 17
Complete undergraduate		HLCS - 3.02 = 2 & 3.13 = 18
Incomplete master/PhD		HLCS - 3.02 = 2 & 3.13 = 19
Complete master/PhD		HLCS - 3.02 = 2 & 3.13 = 20
Maximum education of any member	Maximum education of any member, including head and spouse	HLCS - 3.02, 3.13
Pre-primary, none, don't know, other		HLCS - 3.02 = . & 3.13 = 20
Standard 1		HLCS - 3.02 = . & 3.13 = 20
Standard 2		HLCS - 3.02 = . & 3.13 = 20
Standard 3		HLCS - 3.02 = . & 3.13 = 20
Standard 4		HLCS - 3.02 = . & 3.13 = 20
Standard 5		HLCS - 3.02 = . & 3.13 = 20
Standard 6		HLCS - 3.02 = . & 3.13 = 20
Standard 7		HLCS - 3.02 = . & 3.13 = 20
Standard 8		HLCS - 3.02 = . & 3.13 = 20
Form 1		HLCS - 3.02 = . & 3.13 = 20
Form 2		HLCS - 3.02 = . & 3.13 = 20
Form 3		HLCS - 3.02 = . & 3.13 = 20
Form 4		HLCS - 3.02 = . & 3.13 = 20
Form 5		HLCS - 3.02 = . & 3.13 = 20
Form 6		HLCS - 3.02 = . & 3.13 = 20
Incomplete post-secondary		HLCS - 3.02 = . & 3.13 = 20
Complete post-secondary		HLCS - 3.02 = . & 3.13 = 20
Incomplete Undergraduate or (in)complete literacy/ Polytechnic		HLCS - 3.02 = . & 3.13 = 20
Complete undergraduate		HLCS - 3.02 = . & 3.13 = 20
Incomplete master/PhD		HLCS - 3.02 = . & 3.13 = 20
Complete master/PhD		HLCS - 3.02 = . & 3.13 = 20
Any member 15-65 with disability	Any member in working age with disability	HLCS - 3.11
No		HLCS - 3.11 = 0
Yes		HLCS - 3.11 > 1
Proportion of household members dead in the last 12 months	Number of deaths in the last 12 months / household size	HLCS - 2.23 / 3.01
Proportion of household members born in the last 12 months	Number of live births in the last 12 months / household size	HLCS - 2.22 / 3.01
Labour force		
Head works	Head of the household worked in the last seven days	HLCS - 3.02, 3.14

Variable(s)	Description	Source
No		HLCS - 3.02 = 1 & 3.14 > 8
Yes		HLCS - 3.02 = 1 & 3.14 < 7
Spouse works		HLCS - 3.02, 3.14
No		HLCS - 3.02 = 2 & 3.14 > 8
Yes		HLCS - 3.02 = 2 & 3.14 < 7
Proportion of working members 15-65	Number of members between 15-65 years of age who worked in the last seven days/Number of members 15-65 years of age	HLCS - (3.04 > 15 & 3.04 < 65 & 3.14 < 7) / (3.04 > 15 & 3.04 < 65)
Proportion of working children 6-15	Number of members between 15-65 years of age who worked in the last seven days/Number of members 6-15 years of age	HLCS - (3.04 > 6 & 3.04 < 15 & 3.14 < 7) / (3.04 > 6 & 3.04 < 15)
Labour force (sub-location)		
Proportion of wage workers (sub-location)		Externally provided (2009 Census)
Proportion of agricultural workers (sub-location)		Externally provided (2009 Census)
Proportion of self-employed (sub-location)		Externally provided (2009 Census)

Source: Author based on the HLCS.

Appendix 3: A review of PMT questionnaires used by the cash transfer programmes (shadowed questions are shared among programmes)

Programme	From KIHBS	KIHBS #	In PMT	Not in KIHBS	In PMT
CT-OVC	20. What is the full names of all the members of the household?	B02	YES	21. What is the relationship of THIS PERSON to the caregiver?	YES
	22. Sex	B04	NO	23. Does THIS PERSON have a birth certificate or ID?	NO
	24. What is date of birth of THIS PERSON? If known	B06	YES	30. Does THIS PERSON have any disability?	NO
	25. Is the biological father OF THIS PERSON alive?	B14	YES	31. Is THIS PERSON currently working?	NO
	26. Is the biological mother OF THIS PERSON alive?	B15	YES	32. What was the main occupation during the last month?	NO
	27. Has THIS PERSON ever attended school or currently attending?	C03, C10	NO	41. Do you own real state property here or elsewhere?	NO
	28. Highest or current class attended	C04, C12	YES	47. Other poverty characteristics the household may have and are identified by the enumerator	NO
	29. Does THIS PERSON suffer from a chronic illness?	D27	NO		
	33. What is the major construction material of the WALLS? (THE WALLS OF THE MAIN DWELLING ARE PREDOMINANTLY)	G12	YES		
	34. What is the major construction material of the FLOOR? (THE FLOOR OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G14	YES		
	35. What is the major construction material of the ROOF? (THE ROOF OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G13	YES		
	36. What type of TOILET does this household have? (What is the main toilet facility for this household?)	H13	YES		
	37. What is the main source of drinking water used?	H01-H05	YES		
	38. What is the household's main source of LIGHTING fuel? (What are the HH TWO main sources of lighting fuel?)	H18A	YES		

39. What is the household's main source of COOKING fuel?	H18	YES
40. How many farming acres of land does this household own? (What is the size of the parcel? LAND AREA IN ACRES (one decimal place).	N05	
42. How many cattle does this household own?	p03	YES
43. How many goats does this household own?	p03	YES
44. How many sheep does this household own?	p03	YES
45. How many pigs does this household own?	p03	NO
47. How many camels does this household own?	p03	YES

Programme	From KIHBS	KIHBS #	In PMT	Not in KIHBS	In PMT
HSNP	1. What is the full name of all the members of the household?	B02	YES	2. What is the relationship of THIS PERSON to the main provider?	NO
	3. Sex	B04	NO	4. Does THIS PERSON HAVE A Birth Certificate?	NO
	5. Age	B06	YES	15. Is this INFANT currently receiving F100 or Plumpy'nut as part of a therapeutic feeding programme?	NO
	6. Is the biological father OF THIS PERSON alive?	B14	NO	16. Does this day-school going-child receive any meal at school?	NO
	7. Is the biological mother OF THIS PERSON alive?	B15	NO	17. Are there any ADULTS from this household that are currently registered to a Cash-for-Work or Food-for-Work Programme?	NO
	8. Has this person ever attended school or currently attending?	C03, C10	NO	31. Which best describes the household members' residency status	NO
	9. Highest or current class attended	C04, C12	YES	32. Is this household currently registered and receiving a general food distribution?	NO
	10. Why did NAME stop or never attend school?	C11	NO	33. How many of these fishing items do you have for your household? Skipped unless is fishing livelihood zone.	NO
	11. What was NAME mainly doing in the past 7 days?	E03	YES	Q3. What was the main reason nobody was consulted for this illness or injury?	NO
	12. Does THIS PERSON suffer from a chronic illness?	D27	YES		

13. How long have NAME suffered from this illness (these illnesses)?	D29	NO
14. Is NAME physically or mentally handicapped in any way, which limits or prevents activities or work?	D19	NO
18. How many spouses does HEAD of Household have who are residing outside of this household?	B23	NO
19. Ask HH head or any HH responsible member: How many children aged under 15 years who are either children of an adult in this household and live outside household, or children of a co-wife of the HH head and are supported by this household but not living in this household?	B24	NO
20. How many habitable rooms does this HH occupy?	G09	YES
21. What is the major construction material of the WALLS? (THE WALLS OF THE MAIN DWELLING IS PREDOMINANTLY)	G12	YES
22. What is the major construction material of the ROOF? (THE ROOF OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G13	
23. What is the major construction material of the FLOOR? (THE FLOOR OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G14	YES
24. What type of TOILET does this household have? (What is the main toilet facility for this household?)	H13	YES
25. What is the main source of drinking water used?	H01-H05	YES
26. What is the household's main source of LIGHTING fuel? (What is HH TWO main sources of lighting fuel?)	H18A	YES
27. What is the household's main source of COOKING fuel?	H18	YES
28. Does your household own any [ITEM]?	M01	YES
29. What is the total area of land (acres, hectares, taps or basins) cultivated during the last 12 months	O04	YES
30. How many cattle does this household own?	p03	YES

30. How many goats does this household own?	p03	YES
30. How many sheep does this household own?	p03	YES
30. How many camels does this household own?	p03	YES
34. Describe MAIN PROVIDER employed occupation if worked in the last 7 days. If MAIN PROVIDER did not work during the last 7 days but worked during last 12 months give main occupation during last 12 months.	E15	YES
Q1. Was NAME sick or injured in the last 4 weeks, other than a pre-existing chronic sickness or injury?	D03	NO
Q2. What kind of health provider did NAME visit?	D12	NO
During the last 7 days, how many days did your household members consume?	I01	NO

Programme	From KIHBS	KIHBS #	In PMT	Not in KIHBS	In PMT
OPCT/PWSD	35(a). Does the household have a person(s) in any of the following categories?			31. How long have you lived in this sub-location?	
	39. On weekly basis how much does your household spend on food at home and away from home?			32. Is any member of this household in any formal employment?	
	40. On monthly basis what is the value in Kshs of food consumed by your household?.....			33. Is any member of this household receiving Pension?	
	44. Please list the names of persons who live and feed from the same pot in this household (in the Household composition table overleaf) starting with the oldest.	B02		34 (a). Is the household under cash transfer program?	
	46. Please indicate the date of birth for each member of the household.	B06		(b). If NO to Q 32-34) what are your coping mechanisms?	
	47. Please indicate the sex of each member of the household.	B04		36. If a person with disability is mentioned in Q35 (a) ask	
	48. What is the relationship between each person to head of household?	B03		37. Does the household have any adult 18 to 60 years who is in good health and can be engaged in employment or business?	
	49. What is the highest level of education for each member of the household?	C04, C12		38. On a daily basis how much does your household spend on food at home and away from home?	

53. What is the marital Status of the adult members of households?	B19	42. DIVIDE THE MONTHLY HOUSEHOLD CONSUMPTION (Q40) BY THE ADULT EQUIVALENT HOUSEHOLD SIZE (Q41) AND WRITE THE PER ADULT EQUIVALENT CONSUMPTION AMOUNT
55 b. What are the reasons for the children not going to school?	C11	45. Please provide the identity card numbers for those above 18 years.
57. What is the major construction material of the WALLS? (THE WALLS OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G12	50. What is the extent of Severity of the members with disability?
58. What is the major construction material of the FLOOR? (THE FLOOR OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G14	52 (a). Are there any children below 18 years who have lost one or both parents in the household?
59. What is the major construction material of the ROOF? (THE ROOF OF THE MAIN DWELLING IS PREDOMINANTLY MADE OF WHAT MATERIAL?)	G13	54. What is the Nick name of the house hold head if any?
60. What type of TOILET does this household have? (What is the main toilet facility for this household?)	H13	56. No. of persons the household supports who do not live and feed in the household?
61. What is the main source of drinking water used?	H01-H05	67. Which of the following describes your household main source of livelihood?
62. What is the household's main source of LIGHTING fuel? (What is HH TWO main sources of lighting fuel?)	H18A	68 (a). Which of the following best describes the employment status of the household member with highest paying occupation?
63. What is the household's main source of COOKING fuel?	H18	68(b). What is his / her Job designation?
64. Does your household own any [ITEM]?	M01	68. (c) what is his/her monthly gross payment?
65.(a) Do you own the house that you are living in?	G01	
65.(b) If No, how much rent do you pay per month?	G07	
65. 'How many habitable rooms does this HH occupy?	G09	
67. Please indicate the number of farm animals you have	p03	
69. List types of business you engaged in?	Q03	
80. On monthly basis, how much does your household spend on the following?		

81. On monthly basis how much money does your household get from the sources shown in table below?

Source: Programmes' operation manuals.

Appendix 4: Draft new PMT questionnaire (the Household Living Conditions Survey)

REPUBLIC OF KENYA - NATIONAL SOCIAL SAFETY NET PROGRAMME HOUSEHOLD LIVING CONDITIONS SURVEY											
FORM NUMBER:	<input type="text"/>	PROGRAMME:	<input type="checkbox"/> CT-OVC	<input type="checkbox"/> HSNP	<input type="checkbox"/> OP-CT	<input type="checkbox"/> PWSD-CT	<input type="checkbox"/> UFS-CT	<input type="checkbox"/> OTHER:	<input type="text"/>	Form _____ of _____	
I. GEOGRAPHIC IDENTIFICATION											
(1.01) COUNTY: _____			(1.02) SUB-COUNTY: _____			(1.03) WARD: _____					
(1.04) CONSTITUENCY: _____			(1.05) LOCATION: _____			(1.06) SUB-LOCATION: _____					
(1.07) VILLAGE: _____			(1.08) PHYSICAL ADDRESS: _____			(1.09) DURATION OF RESIDENCE IN THIS PLACE: _____ YEARS and _____ MONTHS					
(1.10) NEAREST CHURCH/MOSQUE: _____			(1.11) NEAREST SCHOOL: _____			(1.12) AREA TYPE: <input type="checkbox"/> 1. URBAN <input type="checkbox"/> 2. RURAL <input type="checkbox"/> 3. NAIROBI					
II. DWELLING AND HOUSEHOLD											
(2.01) How many habitable ROOMS does this dwelling unit contain? <input type="text"/>	(2.02) TENURE status of the dwelling unit <i>If owner occupied, state whether:</i> 1. Purchased 2. Constructed 3. Inherited <i>If rented/provided, state whether:</i> 4. Government 5. Local Authority 6. Parastatal 7. Private Company 8. Individual 9. Faith based organization/NGO 10. Other form		(2.07) Main source of WATER: <input type="text"/> 1. Pond 2. Dam 3. Lake 4. Stream/River 5. Protected spring water 6. Unprotected spring water 7. Protected well 8. Unprotected well 9. Borehole 10. Piped into dwelling 11. Piped 12. Jabia 13. Rain/Harvested 14. Water vendor 15. Other/None	(2.10) Main type of LIGHTING FUEL: <input type="text"/> 1. Electricity 2. Pressure lamp 3. Lantern 4. Tin lamp 5. Gas lamp 6. Fuel wood / Firewood 7. Solar 8. Other/None		(Questions 2.22-2.30 to be asked of the head or any other responsible person) (2.22) How many LIVE BIRTHS occurred in this household in the last 12 months? <input type="text"/>					
Dominant CONSTRUCTION MATERIAL of the main Dwelling unit (2.03) ROOF <input type="text"/> 1. Corrugated iron sheets 2. Tiles 3. Concrete 4. Asbestos sheets 5. Grass 6. Makuti 7. Tin 8. Mud/dung 9. Other/None		(2.04) WALL <input type="text"/> 1. Stone 2. Brick/Block 3. Mud/Wood 4. Mud/Cement 5. Wood only 6. Corrugated iron sheets 7. Grass/Reeds 8. Tin 9. Other/None	(2.08) Main mode of HUMAN WASTE DISPOSAL: <input type="text"/> 1. Main sewer 2. Septic tank 3. Cess pool 4. VIP pit latrine 5. Pit latrine covered 6. Pit latrine uncovered 7. Bucket Latrine 8. Bush 9. Other/None	Does the household OWN any of the following items? (2.11) Television <input type="checkbox"/> 1. Yes 2. No (2.12) Motorcycle <input type="checkbox"/> 1. Yes 2. No (2.13) Tuk-Tuk <input type="checkbox"/> 1. Yes 2. No (2.14) Refrigerator <input type="checkbox"/> 1. Yes 2. No (2.15) Car <input type="checkbox"/> 1. Yes 2. No		(2.23) How many DEATHS occurred in this household in the last 12 months? <input type="text"/> (2.24) Currently, the CONDITIONS of your household are: 1. Poor 2. Fair 3. Good 4. Very good					
(2.05) FLOOR <input type="text"/> 1. Cement 2. Tiles 3. Wood 4. Earth 5. Other		(2.06) The dwelling unit is at RISK of: <input type="text"/> 1. None 2. Landslide 3. Flooding 4. Fire 5. Other		(2.09) Main type of COOKING FUEL: <input type="text"/> 1. Electricity 2. Paraffin 3. LPG (Liquefied Petroleum Gas) 4. Biogas 5. Firewood 6. Charcoal 7. Solar 8. Other/None/Doesn't cook		How many of each of the following livestock are currently owned by this household? (2.16) Exotic cattle <input type="text"/> (2.20) Camels <input type="text"/> (2.17) Indigenous cattle <input type="text"/> (2.21) Donkeys <input type="text"/> (2.18) Sheep <input type="text"/> (2.19) Goat <input type="text"/>		(2.25) In the past 7 days, did anyone in this household cut the size of the meals or skip meals because of the lack of enough money? 1. Yes 2. No PARTICIPATION OR BENEFITS FROM OTHER PROGRAMMES (2.26) Is anyone in this household participating or receiving benefits from other SOCIAL PROGRAMMES or EXTERNAL SUPPORT? 1. Yes <input type="checkbox"/> (2.27) 2. No <input type="checkbox"/> (3.01) (2.27) Name of the PROGRAMME: <input type="text"/> (2.28) What type of BENEFIT do you receive? 1. Cash <input type="checkbox"/> (2.29) 2. In-kind <input type="checkbox"/> (2.30) 3. Other <input type="checkbox"/> (2.30) (2.29) How MUCH was the benefit in the last receipt? Ksh _____ (3.01) (2.30) Specify KIND of benefit: _____			

III. HOUSEHOLD DEMOGRAPHICS																		
LINE NUMBER	(3.01) Starting from the head, what are the NAMES of the members of this household? <small>(Head of the household: the most responsible/respectable member of the household who makes key decisions of the household on a day to day basis and whose authority is recognized by all members of the household)</small> <small>(List members of the household by nuclear family; starting with the head and his wife and children, beginning with the eldest and working down to the youngest)</small>			(3.02) What is <NAME>'s relationship to the head of this household? 1. Head 2. Spouse 3. Son/Daughter 4. Grandchild 5. Brother/Sister 6. Father/mother 7. Nephew/Niece 8. In-Law 9. Grandparent 10. Other relative 11. Non-relative 98. DK	(3.03) What is <NAME>'s sex? 1. MALE 2. FEMALE	(3.04) What is the date of birth of <NAME>? DOB DD MM YYYY	(3.05) What is <Name>'s marital status? 1. Never married 2. Married monogamous 3. Married Polygamous 4. Widowed 5. Divorced 6. DK	(3.06) Does <NAME>'s spouse live in this household? <small>(if YES write the line number of <NAME>'S spouse, if NO, continue with next question)</small>	(3.07) Is <NAME>'s father alive? 1. YES 2. NO 9. DK	(3.08) Is <NAME>'s mother alive? 1. YES 2. NO 9. DK	(3.09) (Check 3.04 (DOB), if AGE is between 0 and 17, ask) Who is <CHILD'S NAME>'s main CARE GIVER?	(3.10) Does <NAME>'s suffer from a chronic illness 1. YES 2. NO 9. DK	(3.11) What type of disability does <NAME> have? 1. Visual 2. Hearing 3. Speech 4. Physical 5. Mental 6. Self-care 7. Others 8. None <small>(List no more than three)</small>	(3.12) What is the school or learning institution attendance status of <NAME>? 1. At school or learning institution 2. Left school or learning institution 3. Never went to school or learning institution 9. DK <small>(for all members aged 3 and older)</small>	(3.13) What is the highest Std/Form/Level reached by <NAME>? 96. Pre primary (ECD) or NONE 1. Standard 1 (incomplete) 2. Standard 2 3. Standard 3 4. Standard 4 5. Standard 5 6. Standard 6 7. Standard 7 8. Std 8 9. Form 1 10. Form 2 11. Form 3 12. Form 4 13. Form 5 14. Form 6 15. Incomplete post-secondary 16. Complete post-secondary 17. Incomplete undergraduate or (in)complete literacy/Polytechnic 18. Complete undergraduate 19. Incomplete master/PhD 20. Complete master/PhD 99. Other	(3.14) What was <NAME>'s mainly doing during the last seven days? (for all aged 5 and older) 1. Worked for pay 2. On leave 3. Sick leave 4. Worked own or at family agriculture 5. Apprentice/Intern 6. Volunteer 7. Seeking work 8. No work available 9. Retired 10. Homemaker 11. Full-time student 13. Incapacitated 14. Other	(3.15) Does <NAME> have an ID number? Type: National identity card Registration of birth Passport Other: 99. None ID No.	
	First Name	Middle Name	Surname			DD	MM	YYYY	LINE NUMBER			LINE NUMBER	DISABILITIES					
1																		
2																		
3																		
4																		
5																		
6																		
7																		
8																		
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20																		

Enumerator: _____ Supervisor: _____ Sub-county or local officer: _____	This interview is for: <input type="checkbox"/> NEW HOUSEHOLD <input type="checkbox"/> RECERTIFICATION	Date of interview 1: DD MM YYYY Date of interview 2: DD MM YYYY Date of interview 3: DD MM YYYY	Result of interview: (Check one option) <input type="checkbox"/> 1. Completed <input type="checkbox"/> 2. Incompleted <input type="checkbox"/> 3. Rejection <input type="checkbox"/> 4. No one at home <input type="checkbox"/> 5. Cannot find household	RESPONDENT'S DECLARATION "I declare that all the information contained in this interview to be true and correct" Signature: _____ Line number: <input type="text"/>
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Appendix 5: PMT enumerators' manual

REPUBLIC OF KENYA
NATIONAL SAFETY NET PROGRAMME
HOUSEHOLD LIVING CONDITIONS SURVEY (HLCS)
ENUMERATOR MANUAL ♦
(Version 2.0 – December 2015)

1. Introduction

This manual presents the basic concepts and details to collect the Household Living Conditions Survey (HLCS) for the National Safety Net Programme (NSNP). The enumerator is expected to study this manual and to have it at hand when administering the survey at each household.

2. Objectives of the Household Living Conditions Survey

The objectives of this survey are to:

- A. collect information on the living conditions of households that possibly will benefit from social transfer programmes;
- B. screen households that should not be considered as potential beneficiary of the NSNP; and
- C. collect individual characteristics to document the demand for NSNP across the country.

3. Confidentiality of the information

The information you obtain is confidential. You are not permitted to discuss or share the information with anyone who is not an authorized officer within the NSNP and programmes engaged in cash transfers. Make all entries on the questionnaire yourself. On no account should you allow any unauthorized persons to fill any part of the questionnaire. Do not leave your questionnaires lying around where unauthorized persons may have access to them.

4. Role of the enumerator

The enumerator's role is central to the success of the implementation of the NSNP. It is important therefore that all enumerators carefully follow the laid down procedures. Your duties and responsibilities include:

- A. Attending all days of training;
- B. Locating all structures and visiting every household in the area assigned to you;
- C. Ensuring that you have all the necessary materials to be used during the exercise;
- D. Asking all questions and recording particulars for persons who belong to each household. You **MUST MAKE** every effort to obtain complete and accurate answers and record them correctly;
- E. Being polite, patient, presentable and tactful at all times so as to win the respondent's cooperation, which is critical to the success of the Household Living Conditions Survey;

♦This manual is an adaptation of the national 2009 Census. It was made possible through the support of the African Institute for Health and Development (AIHD). Contact: Mary Nyamongo - mnyamongo@aihdint.org

- F. Checking the completed questionnaire to be sure that all questions have been asked and responses have been neatly and legibly recorded before you leave the household;
- G. Making call-backs on respondents who could not be interviewed during earlier visits;
- H. Preparing debriefing notes for the supervisor on any problems/noteworthy issues observed/encountered; and
- I. Forwarding to the supervisor all questionnaires (used and unused), notebooks and any other materials provided to you as directed.

5. How to handle interviews

- A. The enumerator and the respondents might be strangers to each other and therefore one of the main tasks for the enumerator is to establish rapport with the respondent. The respondent's first impression of you will influence his/her willingness to cooperate on the HLCS. Make sure that you are presentable and friendly at all times.
- B. Act as though you expect friendly cooperation and behave so as to deserve it. Start interviewing only when you have observed the following: exchanged proper greetings; identified yourself; explained the purpose of your visit; and have answered any questions and/or clarified issues about the HLCS that the people may ask. However, do not spend too much time asking and/or answering unnecessary questions. You may avoid such questions by indicating that you would not want to take too much of the respondent's time. You are advised to avoid long discussions on issues which are not related to the Household Living Conditions Survey and which may consume a lot of your time.
- C. After building rapport with the respondent, ask questions slowly to ensure the respondent understands what he/she is being asked. After you have asked a question, pause and give the respondent time to think and respond. If the respondent feels rushed or is not allowed to form his/her opinion, he/she may respond with "I don't know" or give an inaccurate answer. Ensure that the information given is correct by keeping the respondents focused on the questions.
- D. Always stress the confidentiality of the information you obtain from the respondent. Never share a completed questionnaire with other interviewers or the supervisor in front of a respondent or any other person. This will automatically erode the confidence the respondent has in you.
- E. The following guidelines will assist you to handle interviews appropriately.
 - Ensure that you understand the exact purpose of the HLCS and each question. This will help you to know if the responses you are receiving are adequate.
 - Ask the questions exactly as they are written. Small changes in wording can alter the meaning of a question.
 - Ask the questions in the same order as they are given in the questionnaire.
 - Do not change the sequence of the questions.
 - Ask each question, even if the respondent answers multiple questions at once.
 - Help your respondents to feel at ease, but make sure you do not suggest answers to them. During the interview, let people take their time to answer. Do not ask leading questions. Do not accept at once any statement you believe to be incorrect. Tactfully ask further questions to obtain the correct answers, i.e. you need to probe.
 - Remain neutral throughout the interview. Please note that most people are usually polite especially to strangers. They tend to give answers that they think will please

the interviewer. It is therefore extremely important that you remain absolutely neutral. Do not show any surprise, approval or disapproval of the respondent's answer by your tone of voice or facial expression.

- Do not rush the interview. Give the respondent time to understand the question.
- Do not leave any question unanswered unless you have been instructed to skip it.
- Record answers immediately the respondent gives you the responses. Do not write answers in a notebook for transfer to the questionnaire later.
- Check the whole questionnaire before you leave the household to be sure it is completed correctly.
- Always remember to thank the respondents for their cooperation before leaving the household.
- It may happen that someone refuses to answer your questions. This is mostly because of misunderstanding. Remain courteous. Stress the importance of the Household Living Conditions Survey and that the information is confidential; that no one outside the NSNP will be allowed access to the records; that details of individual people are never released for any other purpose whatsoever other than for NSNP use; and that Household Living Conditions Survey results are not published. You should be able to clear any misunderstanding. Otherwise, if the respondent declines, report the incident to your supervisor or any other responsible survey official at the first opportunity.
- Check your work before you leave the household to make sure that you have filled the questionnaire accurately and fully in order to avoid being sent back to correct errors.

6. KEY CONCEPTS

Homestead:

It is an isolated compound with one or more structures, and may be inhabited by one or more households. In most cases fences, hedges, walls, etc. will surround homesteads. A homestead may contain, for example, a hut or a group of huts. A manyatta will thus be considered a homestead. However, a wall/fence or hedge need not necessarily surround a homestead. For instance, boys' quarters, garage, kitchen, etc. may be part of a homestead whether or not they are surrounded by a fence/wall, etc. During enumeration, you will visit homesteads and identify the structures that have dwelling units and households in them.

Household:

A household is a person or group of persons who reside in the same homestead/compound but not necessarily in the same dwelling unit, have same cooking arrangement, and are answerable to the same household head. There are three important questions used to identify a household:

- a) Do the persons reside in the same compound? (i.e., the persons in the household may reside under same roof or several roofs in the same compound).
- b) Are they answerable to the same head? (i.e., persons in a household are answerable to a person they recognise to have authority).
- c) Do they have the same cooking arrangement? (i.e., members of a household cook together).

If the answer to each of the above criteria is "YES", then you have adequately identified a household. If the answer to one or more of these criteria is "NO", then there are more than one household.

Household Head:

This is the most responsible/respectable member of the household who makes key decisions of the household on a day-to-day basis and whose authority is recognized by all members of the household. It could be the father, the mother or a child, or any other responsible member of the household depending on the status of the household.

Respondent:

This is the person who answers the HLCS questions during enumeration. This maybe the head of household or any other member of the household who can provide most if not all the information about the household members at the time of the interview as per the questionnaire requirements.

Dwelling Unit:

This is a place of abode or residence occupied by one or more households with a private entrance. There can be many dwelling units within a structure.

7. How to fill in the main questionnaire

- Complete the questionnaire yourself.
- Keep it clean.
- Write legibly in capital letters using only the pencil/pen provided by the Programme.
- Code strictly in the boxes provided on the questionnaire.
- Start each household on a separate questionnaire.
- If you make a mistake, make two strikes across the error and record the correct response.
- If there are more than twenty people in the household, you must go to the header of the questionnaire (page 1) and write “Continuation ___ of ___ “. For example, if there are 25 people in a household, you would document the first questionnaire as being “Continuation 1 of 2“ and the second questionnaire you would document as being “Continuation 2 of 2“. Make sure to transfer the identification information in the first questionnaire to the subsequent continuation questionnaire.

8. Layout of the questionnaire

The HLCS questionnaire is divided into six sections:

- A. HEADER: The header of the questionnaire captures information of the programme that will be implemented with the collected information. Make sure you check the corresponding programme. Please leave in blank the "Form number" and specify if this a “Continuation 1 of 1 “or other.
- B. I. PHYSICAL IDENTIFICATION: the identification of the household refers to the information needed to locate the household and to determine whether the household is located in a rural, urban area or in Nairobi County.
- C. II. DWELLING AND HOUSEHOLD: Questions 2.01 - 2.30 are household physical characteristics and must be answered by the household head or any other responsible person. Try to observe the dwelling unit, especially to answer questions 2.03-2.06.
- D. III. HOUSEHOLD DEMOGRAPHICS: This section collects detailed individual information for all household members, starting from the head of the household. Questions 3.01-3.015 must be asked entirely and do not anticipate the answer. Try not to

guess answers, such as sex (some names can suggest that a member is male or female, do not rely on this and ask to the respondent all the questions even though they might seem redundant).

- E. **SURVEY CONTROL**: This section must be filled at the end of the interview according to its result.
- F. **DECLARATION**: This section is to make the main respondent certify that the provided information is accurate, real and has not been made up by the enumerator.

9. HLCS questions

II. DWELLING AND HOUSEHOLD

- Question **2.01**: Habitable Rooms.
 - Record the number of habitable rooms available in all the dwelling units that belong to a household.
 - Habitable rooms are rooms in the dwelling units that are used mainly for living and exclude stores, granaries, offices, toilets and garages.
 - A kitchen, under normal circumstances, should not be counted as a habitable room. However, if the household uses the kitchen for eating and/or sleeping purposes, or even for purposes of entertaining guests, then it should be counted with the habitable rooms. The same applies to a store.
- Question **2.02**: Tenure status of main dwelling unit.

This question seeks information on status of tenure i.e. whether the dwelling unit is owner occupied or rented by the household. Ask the head of the household or any other responsible person whether the main residential/ dwelling unit is owned or rented by him/her or any other member of the household. You are supposed to code the answers using the categories provided.

 - Owner occupied:
 - Purchased: Means that a member of the household has bought the structure or is in the process of paying for the structure and household members are living in it.
 - Constructed: Means that a member of the household has built the structure they are living in.
 - Inherited: Means that a member of the household received the building by right of succession or by a will. However in this case, do not ask for proof. Accept what the respondent says.
 - Rented/provided/donated:

Under rented/provided are listed dwelling units either provided by the employer of a member of the household, rented by a member of the household or donated to a member of the household. This includes:

 - Government: Covers all houses rented or provided by the Government of Kenya (both at the national or local level).
 - Local Authority: Covers all houses rented or provided by local authorities.
 - Parastatal: Covers organizations like Kenya Railways, Kenya Power & Lighting Co., Universities, KNBS, etc.
 - Private Company: Covers private firms and foreign governments.
 - Individual: Covers private individuals only.

- Other forms of tenure: any other form of tenure not covered above.
- Question **2.03**: Dominant Construction Material of Roof for Main Dwelling Unit.
 - Code in the box the construction materials used to build the roof e.g. code “1” for roof with corrugated iron sheets, “4” for asbestos sheets, etc. Tiles include clay, wooden, fibre and cement tiles, etc.
- Question **2.04**: Dominant Construction Material of the Walls for Main Dwelling Unit.
 - Code in the box the construction materials used to build the walls e.g. code “3” for mud/wood etc. Consider the main material that bears the weight of the roof. Code “9” for mud/dung.
- Question **2.05**: Dominant Construction Material of the Floor for Main Dwelling Unit.
 - Code in the box the construction material used to build the floor e.g. code “1” for cement, “2” for tiles, “3” for wood, “4” for earth and “5” for other. Tiles include wooden tiles. Wood means wooden planks.
- Question **2.06**: Dwelling at risk.
 - Ask and code in the box whether the dwelling unit is at risk of landslides, flooding, avalanche or none.
- Question **2.07**: Main source of water (drinking, bathing, cooking).
 - Ask “What is the main source of water for this household?” You are required to code the main source of water. This is the source from which, for most part of the year, the household draws its water. For example, if during the wet season the household draws water from a tank but then the longer part of the year draws from a river, code “4” as main source of water.
 - Pond: A small area of still water. Usually this water collects after rain or through an underground drainage.
 - Dam: A reservoir formed by building a barrier across a river to hold back water and control its flow. A lot of these dams are built in dry areas of Kenya.
 - Lake: Usually bigger than a pond but has water collecting in it through rain, rivers etc. It is different from a dam in that it is not man-made.
 - Stream/river: This is a naturally flowing source of water.
 - Spring: This is a place where water springs or wells up from earth or underground.
 - Well: This is a manmade shaft dug in the ground from which water is obtained. Water is drawn using buckets.
 - Borehole: Same as the well as defined above but deeper than a well and has pump for drawing the water into a tank, buckets etc.
 - Piped: Means water drawn through pipes installed in a dwelling unit and originating in a central (public) source.
 - Jabia: (Provide a description)
 - Rain/Harvested: Rainwater harnessed from any catchment into a hole/tank and used for domestic purposes.

- Vendor: Refers to water purchased by households from mobile sellers or distributors. Examples of ferrying include cart, bicycle, individuals, truck etc. The source of the water may be known or not, by the households.
 - Other: Any source that is not mentioned above.
- Question **2.08**: Main Mode of Human Waste Disposal.
 - Ask, “Where do members of this household dispose of human waste?” Code the answers according to the categories given e.g. code 4 for Ventilated Improved Pit latrine (VIP), 3 for cesspool etc.
 - Main sewer: Means the sewage liquid waste from the structure is drained by pipes into a main trunk sewer line. This type of sewage disposal is common in main urban centres like Nairobi, Mombasa, etc.
 - Septic tank: This is a tank into which an individual household’s sewage is conveyed and remains there until it is emptied. Examples of septic tanks are found in urban areas, where the tank is often located within the compound where you find dwelling structures.
 - Bucket latrine: This is a bucket placed in a residential area used to collect human excreta. It is emptied occasionally. This type of waste disposal is now rare but can still be found in some urban residential estates and in North- Eastern towns.
 - Cess pool: This is a communal pool where liquid waste is drained into from the dwelling units until it is emptied.
- Question **2.09**: Main Type of Cooking Fuel.
 - Ask: “What is the main cooking fuel used in this household?”, note that some households may use electricity, paraffin, gas, and firewood, all at the same time. The answer required here is the fuel used most of the time. Code the appropriate answer in the box from the provided code list.
- Question **2.10**: Main Type of Lighting Fuel.
 - Code the answer according to the categories given. Tin lamps include plastic or bottle lamps, which may be known by various local names like koroboi, tamambul, tadoba, nyangile, ngwatira etc.

HOUSEHOLD ASSETS

- Questions **2.11 - 2.15**: Ask: “Does the household OWN any of the following items?”
 - Establish if any member of the household owns any of the following items and code accordingly. Household assets: TV, refrigerator, motorcycle, car and tuk-tuk.

LIVESTOCK OWNERSHIP

- Questions **2.14 - 2.21**: Ask: "How many of each of the following livestock are currently owned by this household?"
 - Establish the type and number of each type of livestock kept or managed by any member of the household.

- Question **2.22**: Ask: "How many LIVE BIRTHS occurred in this household in the last 12 months?"
 - Record here the number of live births in the last 12 months prior to the interview.
- Question **2.23**: Ask: "How many DEATHS occurred in this household in the last 12 months?"
 - Record here the number of deaths in the last 12 months prior to the interview.
- Question **2.24**: Ask: "Currently, the CONDITIONS of your household are:"
 - The objective of this question is to determine the respondent's impression on the current conditions of the household. Read the options and wait for an answer.
- Question **2.25**: Ask: "In the past 7 days, did anyone in this household cut the size of the meals or skip meals because there wasn't enough money?"
 - The objective of this question is to determine the food security of the household. Ask this question and wait for an answer.

PARTICIPATION OR BENEFITS FROM OTHER PROGRAMME(S)

The objective of questions **2.26 - 2.30** is to determine whether any member of the household is receiving benefits from any other social transfer programme.

- Questions **2.26 - 2.30**: Ask: "Is anyone in this household participating or receiving benefits from other SOCIAL PROGRAMME or receiving EXTERNAL SUPPORT?"
 - Ask this question and code yes (1) or no (2). Some programmes that might be recorded here are the Cash Transfer for Orphan and Vulnerable Children (CT-OVC), the Cash Transfer for Older Persons (OPCT), Cash Transfer for People with Severe Disability (CT-PWSD) and the Hunger Safety Net Program (HSNP).

III. HOUSEHOLD DEMOGRAPHICS

- Question **3.01**: Names
 - Identify the head of the household or any responsible person to help you make a list of all persons in the household, starting with the head of the household, if he/she was present, or the person in charge of the household at the time.
 - Write the names in line number order. Some people have many names. It is not necessary to write them all as long as you record the name(s) or names that the person is usually known by. Identifying members of the households with their correct names will help you not only in listing down all of them but will also come in handy when call-backs on certain members are to be made. It is important that you list at least two names, as shown on the questionnaire, of the persons in a set order so that you have a clear picture of the household from the very beginning.
 - List members of the household by nuclear family; starting with the head and his/her Spouse and children, beginning with the eldest and working down to the youngest. If the head has more than one wife living in the same household, list the first wife and her children followed by the second wife and her children, then other relatives and non-relatives in that order.
 - Very young children are sometimes forgotten or even deliberately left out as being unimportant. ALL PERSONS MUST BE ENUMERATED. Pay particular

attention to getting all babies counted. If the infant has no name, write ‘Baby of.... (Mother’s or father’s name)’.

- When you have written down all the names, read over the list, and ask, “Is that correct?” If not, correct the list.

· Question **3.02 - 3.03**: Relationship and Sex

- After you have written all-the names in column **3.01**, code relationship in column **3.02** and sex in column **3.03**. For example: for Head, code “1” in **3.02** and insert the appropriate code in **3.03** as far as sex is concerned. Then code the relationship of each person to the head, that is “2” for spouse (refers to the partner or wife or husband depending on who the household-head is), “3” for son/daughter, “4” for Grandchild, “5” for brother/sister, “6” for father/mother, “7” for “nephew/Niece” “8” for in-law, “9” for Grandparent, “10” for other relative not elsewhere classified , “11” for Non-Relative such as visitors, friends etc., and “98” for those who say “don’t know” relationship.
- You must probe to find out whether the children you have coded as sons and daughters are the head’s biological children. If they are not, establish further whether they should fall under “10” (other-relative) or “11” (non-relative). Note that relatives like stepson or stepdaughter, parent-in- law, son or daughter –in-law, adopted son or daughter will be treated as “other relative” and will fall under category “10”.
- There are several persons who may not be related by blood or marriage but constitute a household, mostly in urban areas. Without telling them code one of them as ‘head’ (code “1”) and the rest as ‘non-relative’ (code “11”).
- There are certain communities where women are culturally allowed to “marry” other women. For purposes of the Household Living Conditions Survey, marriage should involve only partners of opposite sex. Whenever you encounter such cases where one woman (supposedly the head of the household) claims that another woman is her “spouse”, code “10” (Other-relative) rather than “2” (spouse) in **3.02**.
- Make sure you understand the relationship well before you make any entry. In other words, relationship of each person is linked to the household head (person No. 1 on the list). For instance, the head’s relationship to himself/herself is code 01 (Head). Ensure that the entry is strictly and legibly written within the boxes provided. Check that the sex is compatible with relationship; do not assign “male” to persons shown as wives or daughters nor “female” for persons shown as sons or husbands. Take particular care to record the sex of very young children correctly. Often, you will not know whether a baby carried on its mother’s back is a boy or a girl. In such cases, you must ask - do not guess. **YOU SHOULD ENSURE THAT EVERYBODY’S SEX IS RECORDED.**

· Question **3.04**: Age

Age is one of the most important pieces of information to be sought in this survey. You must try as much as possible to record the correct age of the respondent. Under no circumstances should this column be left blank. You must probe to make sure that you get even a rough estimate.

- How old is <NAME>?
 - Always start by asking the person’s age and follow up with the question on the date of birth as a consistency check on the former. Write the person’s age in completed years - that is, the person’s age at his or her last birthday. For babies under one year of age, write “0”. Persons aged 95 years and over should be coded “95”. Make sure always that your writing is legible and within the appropriate box.
 - Be careful not to round ages up to the next birthday. A child who is aged four years and eleven months should, for example be entered as “4” and not “5”.
 - Many people do not know their ages. If a person’s age is not known, you must make the best estimate possible.
 - There are various ways in which you can estimate a person’s age. Sometimes, people have documents, such as baptismal certificates, which show the year of birth, in which case it is easy to calculate age.
 - Most people have identity cards showing when they were born. These ID cards may be grossly inaccurate for some of the older people. Avoid using the IDs as the sole means to estimate such a person’s age. However, for persons below 50 years of age the ID cards may generally give a more accurate representation of age. Generally, it is not so easy to estimate age for members of the household if all of them are ignorant of their ages. Concentrate first on establishing the age(s) of one or two persons in the household. One reliable age may help in working out the ages of others if it is known whether they are older or younger and by how many years.
 - It is sometimes possible to estimate a person’s age by relating his or her birth to some notable historical event. If the person can remember how old he/she was at the time of the event, you can work out the person’s age.
- **Question 3.05: Marital Status**
 - Is this person monogamously or polygamously married, widowed, divorced or separated, or never married?
 - Persons who have never married including young children should be coded “1” (never married).
 - People who regard themselves as husband and wife should be coded “2” or “3” regardless of whether or not they have been through any civil, religious or customary ceremonies. The Household Living Conditions Survey is not trying to find out who is legally married and who is not. Accept the answer as it is given to you.
 - If a person is widowed at the time of the Household Living Conditions Survey, he/she should be coded as “4”, i.e. widowed. If a person has been widowed but has since remarried, he/she should be coded as married (“2” or “3” as the case may be).
 - If people think of themselves as divorced or separated, code them as such. It does not matter whether they have been to court or gone through other formalities. Accept the answer as it is given to you.
 - Accept what people say about their marital status. Do not embarrass yourself or the respondent by inquiring into the nature of marriage or divorce.
- **Question 3.06: Spouse living in the household**

- For codes 2 and 3 in **3.05**, Ask whether <NAME>'s spouse lives in the household and record the LINE NUMBER of the spouse. If no spouse is present, leave in blank.
- **Question 3.07 - 3.08: Orphanhood**
Ask: Is <NAME>'s father/mother alive?
 - Enter the appropriate codes in column **3.07** and **3.08** in respect of the survival status of the respondent's biological father and mother, respectively. Note that at times destitute children are brought up or adopted at a very young age by relatives. Such foster parents should not be considered as the biological parents of the respondent. Please always probe to establish the reality of the situation.
 - In some cases, a child's father/mother may not be married or living with the mother/father. In this case the mother/father might report that she/he does not know whether the father/mother of her child is alive or dead. In this case code "9" for 'don't know'. You must always probe to ensure you obtain the most satisfactory answer.
- **Question 3.09: Care-giving**
 - For each child between 0 and 17 years of age ask who is the main caregiver or guardian (a household member or paid helper who regularly looks after the child). Record the LINE NUMBER of the caregiver and leave in blank if this question does not apply.
- **Question 3.10: Persons with Chronic Illness**
 - For each line or name ask whether the person suffers from a chronic illness. A chronic illness is one lasting 3 months or more. In other words, a person who has been persistently ill for at least three months and is both physical and socially incapable of working. Chronic illnesses generally cannot be prevented by vaccines or cured by medication, nor do they just disappear. Examples are: Tuberculosis, Alzheimer's disease, Cancer, Diabetes, Epilepsy, Heart Disease, Parkinson disease, HIV, etc.
- **Question 3.11: Type of disability**
 - The Disability Act 2003 defines disability as: physical, sensory, mental, or other impairment, including a visual, hearing or physical disability, which has a substantial long term adverse effect on a person's ability to carry out usual day to day activities. Disability is, therefore, viewed as a physical, mental, or psychological condition or impairment that substantially affects a person's daily activities or limits a person's ability to perform one or more basic life activities (referred to as Activities of Daily Life-ADL) such as caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, earning a living, or working and interacting with other persons. In this context, activities refer to a wide range of deliberate actions performed by an individual as opposed to particular body functions or structures. These are basic deliberate actions undertaken in order to accomplish a task such as dressing or feeding oneself.
 - Visual impairment: Visual impairment describes the various degrees of vision loss. A person is considered to have an eyesight or vision disability if he/she doesn't have normal vision even if he/she wears eyeglasses or contact lenses.

Visual impairments are caused by injury, disease, through accident, muscular degeneration or cataracts or are congenital. Congenital blindness could be noted at birth or within the first five years of life. Vision impairment can be treated by medicines and therapies though impairments caused by birth or accident are less likely to cure.

- Hearing impairment: Hearing impairment refers to complete deafness or partial hearing in one or both ears. Hearing impairment can be caused by birth or are due to inheritance. In some cases extremely high frequency sound waves may also cause hearing disability. Persons who are able to hear well with the aid of devices are not considered to be having this disability.
- Physical Disability: Physical or mobility impairment refers to difficulties in moving (i.e. walking, climbing stairs, using hands, sitting upright or standing). This disability restricts one's physical movement, say body movement, or paralysis of legs, hands, or the whole body. Persons with this type of disability can use assistive equipment and supportive devices that assist them to move around.
- Mental Disability: Mental disability affects people's ability to perform activities like other people of similar age groups. They may have difficulty in remembering things or concentrating on what he/she is performing. It includes many different functions such as our abilities to pay attention, learn and retain information, solve problems, and use language to express thoughts. This disability hampers clear thoughts in the mind. It also exhibits problems in comprehending any new ideas or opinions or finding solutions and therefore restrains a person from learning or even coordinating functions/activities.
- Self-care difficulties: This refers to difficulties in dressing, bathing, eating, grooming and hygiene, toileting or getting around the home or inside the home. The difficulties may have arisen as a result of other disabilities or impairments. These types of difficulties maybe present in most disabilities. It may be more pronounced in mental disabilities and severe physical disabilities. The question on self-care disability should be asked of all persons.
- Speech impairment: Speech and language disorders refer to problems in communication or difficulties in producing oral speech sounds or problems with voice quality. They might be characterized by an interruption in the flow or rhythm of speech, such as stammering. These delays and disorders range from simple sound substitutions to the inability to understand or use language. Some causes of speech and language disorders include hearing loss, brain injury, learning disability, substance abuse, physical impairments such as cleft lip (deformed lip) or palate, and vocal abuse or misuse. Persons with speech disabilities are often not able to communicate well with others.
- Other disabilities: This refers to any other disability not mentioned or covered above. These could be any of the following: albinism, epilepsy, autism, or chronic health conditions/ailments of more than six months etc. e.g. mental illnesses, cancer.

EDUCATION

Questions on education are applicable to persons aged 3 years and above and refer to formal, non-formal and other education. The categories under formal education

are; pre-primary, primary, secondary, middle level colleges and university. Non-formal education is any other form of education that does not follow the standard curriculum of the formal system but offers numeric and literacy skills e.g. adult education and youth/village polytechnic education. “Other” education refers to Madrassa and Duksis, etc.

- Question **3.12**: Ask: What is the school/learning institution attendance status of <NAME>?
 - Record “1” for persons attending school this year, “2” for persons who have left school, “3” for persons who have never been to school, and “9” for persons whose schooling status is not known. Leave the box blank if the respondent is below 3 years.

- Question **3.13**: Ask: What is the highest standard/form/level of education reached by <NAME>?
 - Code in column **3.13** the highest level of formal education the person has reached from the provided code list: For example, if a person reached standard 4 and dropped out of school before completing, he/she should be coded “4”. If a person is attending (but has not completed) an undergraduate program or is attending of completed literacy or polytechnic class he/she should be coded “17”. However, if the person is enrolled for standard 8 examinations in adult literacy centre then he/she should be coded “8”. If a person is attending a course in a youth polytechnic, he/she should be coded “17”, if the person has completed the youth polytechnic code “17” etc. If a person is attending a course in a middle level college (post-secondary education), he/she should be coded “15”, if the person has completed the Middle Level College code “16” etc. Code “99” if a person is attending madrassa/duksi, and “99” if the person has completed madrassa/duksi. If the person has pre-primary or no education, code "96".

LABOUR FORCE

- Question **3.14**: Ask: What was <NAME> mainly doing during the last seven days?
 - What the respondent was MAINLY doing will denote the activity that occupied most of the respondent’s time during the 7 days preceding the interview's day. The codes for the possible responses in column **3.14** are provided, and are defined here below:
 - Worked for Pay: This comprises persons who, during the 7 days preceding the interview's day, worked most of the time for wages, salaries, commissions, tips, contracts and paid in kind (especially in the rural areas where people who have rendered services may be paid using food or clothing).
 - On leave: This group comprises all those with formal attachments to a job or business/enterprise but were not working during the reference period. This includes people on any of the following type of leave: annual, maternity, paternity, terminal, compulsory leave etc. A person who is on leave such as a teacher but worked on family holding in the past 7 days preceding interview's day should be indicated as on leave.

- Sick leave: These are persons who during the reference period were sick and on leave with permission.
- Worked at own or at family business or at family agriculture: This category first comprises of self-employed persons who worked on own business or persons who worked on family business for family gain. It includes “jua-kali” artisans, mechanics, traders in farm produce, and family workers not on wage employment. Any member of the household working on the holding for pay will fall under code “1 “. Family agriculture in this case is the unit of land, farm or shamba which is owned or leased by the family and is used for purposes of cultivation or rearing livestock. All the members of the household who are working on family agriculture pay/profit will be coded “4” (i.e. working on Own/Family Agricultural Holding). Any member of the household working on the holding for pay will fall under code “1” (i.e. worked for pay). NB: You are to probe to find out whether unpaid family workers consider themselves as ‘seeking work’, etc. and code them accordingly. For example, if a young man helps his uncle to sell goods in a kiosk without receiving pay, probe whether he is ‘seeking work’ and code him appropriately; if he considers himself as working code him as “4”.
- Apprentice/Intern: An apprentice is a person whose training is done on the job for an agreed period of time. This includes students on attachment. This helps the apprentices learn their trade, in exchange for their labour. An intern on the other hand is one who works in a temporary position with an emphasis on on-the-job training rather than merely employment, making it similar to an apprenticeship. In most cases, an intern will have completed a certain level of education or training. Interns or apprentices are usually college or university students, but they can also be high school students or post graduate students seeking skills for a new career. Student internships/apprenticeship provide opportunities for students to gain experience in their field, determine if they have an interest in a particular career, create a network of contacts, or gain school credit. The person may be unpaid or partially paid (in the form of a stipend).
- Volunteer: This is a person who works for free in an organization primarily because they choose to do so. Many serve through a non-profit organization – sometimes referred to as formal volunteering, but a significant number also serve less formally, either individually or as part of a group. These people do not receive any compensation for services rendered other than reimbursement for out-of pocket expenses.
- Seeking Work: This refers to a person who, in the 7 days preceding the interview's day, was neither working nor holding a job, but was available to take up a job and was actively looking for work. It should only include persons who have no work at all and are looking for work. It includes only persons who are available full time for work and hence are actively looking for it. This category should not include the under-employed (i.e. those who have paid work but wish to leave for better opportunities). If a person is working on the family holding but is seeking work, he/she should be coded as “seeking work” and not as “working on family agriculture”.
- No Work Available: This is a person who is not working nor seeking for work because he/she is discouraged, but would usually take up a job when offered one.

- Retired: This is a person who reports that he/she was not engaged in any economic activity because he/she had retired either due to age, sickness or voluntarily. If a person has retired and is doing some work/business he/she should be coded appropriately, either as “1” or “4”. If he/she has retired and is actively seeking work he/she should be coded as “7”.
- Homemaker: This is a person of either sex involved in household chores in his/her own home e.g. fetching water, cooking, babysitting etc., who did not work for pay or profit nor sought work. This category should not include houseboys/girls who fall under category “1”. If such a person worked on family business or agricultural holding they should be coded as “4” and not as “10”. Please probe.
- Full-time Student: This is a person who spent most of his/her time in a regular educational institution (primary, secondary, college, university etc.) and hence not available for work. If, for instance, a student was on holiday during the 7 days preceding the interview's day and may have been engaged in gainful employment, he/she should be given the appropriate code (i.e. worked for pay, worked on own, family business etc.).
- Incapacitated: This is a person who cannot work. Do not assume that all physically disabled persons cannot work. For example, a blind person who is in wage employment will fall under category “1” and not “13”. Similarly, lame/crippled persons working on the family business or agricultural holding should fall under category “4”. Please probe.
- Other: This category includes any other persons not mentioned above. NB: For persons aged below 5 years, leave column **3.14** blank. For respondents aged 5 years and above whose labour force participation status is not known or not stated, write “99”.

- Question **3.15**: Ask: Does <NAME> have an ID number?
 - Please ask whether all members have an ID number and type the number in the corresponding line.

 END OF THE MANUAL

Appendix 6: PMT parameters and weights

Scoring coefficients – LCS									
	Nairobi			Urban			Rural		
	Coefficient	Mean	Std. dev.	Coefficient	Mean	Std. dev.	Coefficient	Mean	Std. dev.
Regions									
Mombasa									
No				-0.04815					
Yes				0.24353					
Coastal							0.0061		
No				-0.00572			-0.053747		
Yes				0.05370					
Upper Eastern							0.018929		
No				0.00639			-0.403031		
Yes				-0.13671					
Mid-Eastern							-0.024088		
No				0.00089			0.166546		
Yes				-0.01139					
Lower Eastern							-0.014785		
No				0.00165			0.103932		
Yes				-0.01020					
North Eastern							0.043629		
No				0.01834			-0.466585		
Yes				-0.27308					
Nyanza							-0.01115		
No				0.02961			0.04177		
Yes				-0.12444					
North Rift							0.03369		
No				0.01360			-0.38752		
Yes				-0.25705					

Central Rift										
No				-0.02550				0.11377		
Yes				0.07634						
South Rift								-0.00797		
No				-0.01066				0.05296		
Yes				0.07685						
Western								-0.00771		
No				0.02346				0.03406		
Yes				-0.17936						
Geographic characteristics										
Population (sub-location)	-0.00845	50755.93	35762.81	-0.03874	1130.00	379.02	0.15947	7167.0	6633.8	
Death rate (sub-location)	-0.13025	5.8121	1.7671	-0.03862	1260.68	736.38	0.14263	7.2193	5.4274	
Birth rate (sub-location)	-0.11808	30.863	5.7163	0.15066	21948.6	20737.5	-0.00185	33.868	10.3169	
Mean precipitation (sub-location)	0.01261	859.557	91.987	-0.10603	6.514	3.357	-0.04625	1182.951	465.165	
Mean elevation (sub-location)	-0.01926	1637.09	178.931	-0.07298	31.85	7.051	-0.04087	1394.75	609.240	
Dwelling conditions and services										
Dwelling tenure										
Other form	-0.30921			-0.28342				-0.21799		
Individual	-0.04485			-0.08085				-0.13007		
Government	0.08492			-0.00213				-0.10011		
Local authority, Parastatal, Private company, Faith based org. /NGO	0.10579							-0.09442		
Constructed	0.13891			0.06409				0.00294		
Inherited	0.16233			0.13952				0.10831		
Purchased	0.22026			0.19282				0.14556		
Household size (members)	0.04654	3.1390	2.0279	0.10409	3.9130	2.5691	0.07995	5.12288	2.68708	
Rooms per persons	-0.01361	0.7342	0.6598	-0.05690	0.7869	0.7291	-0.08174	0.72682	0.69339	
Wall construction material										
Other	-0.71313			-0.61978				-0.54627		

Grass/Reeds	-0.64246	-0.48249	-0.38064
Tin	-0.55984	-0.43211	-0.31968
Corrugated iron	-0.24812	-0.35810	-0.30921
Mud/Wood	-0.11619	-0.19648	-0.09502
Wood only	-0.09950	-0.09861	0.08971
Wood/cement	-0.07901	-0.05431	0.14838
Brick/block	-0.02697	0.05189	0.24141
Stone	0.17452	0.25917	0.41828
Roof construction material			
Other	-0.73832	-0.67878	-0.62541
Grass/Mud/Dung	-0.66331	-0.45565	-0.28381
Makuti	-0.64357	-0.35253	-0.13732
Tin	-0.59155	-0.32507	-0.11950
Corrugated iron	-0.12434	-0.01539	0.08968
Asbestos sheets	0.09839	0.28229	0.39664
Concrete	0.18590	0.32518	0.42093
Tiles	0.39228	0.44411	0.51884
Floor construction material			
Other	-0.61668	-0.82719	-0.75188
Earth	-0.33525	-0.28826	-0.09412
Wood	-0.24251	-0.12604	0.17747
Cement	0.00832	0.09917	0.28074
Tiles	0.34799	0.52069	0.53142
Main source of water			
Other	-0.49700	-0.69064	-0.23297
River/pond/stream/Dam/Lake	-0.40191	-0.33099	-0.07933
Unprotected spring	-0.36563	-0.21965	-0.02018
Protected spring	-0.34816	-0.18788	-0.00334
Unprotected well	-0.33196	-0.15648	0.01499
Protected well	-0.31525	-0.12199	0.03096
Borehole	-0.24518	-0.06555	0.05309

Jabia/Rain/harvested	-0.20463	-0.03035	0.07007
Water vendor	-0.14614	0.00407	0.07486
Piped	-0.00083	0.12722	0.10060
Piped into dwelling	0.18402	0.34129	0.16296
Main mode of human waste disposal			
Other	-0.55222	-0.69181	-0.77540
Bush	-0.46889	-0.44494	-0.31046
Bucket latrine	-0.42652	-0.35984	-0.17415
Pit latrine uncovered	-0.27807	-0.23252	-0.09850
Pit latrine covered	-0.12235	-0.00126	0.12667
VIP pit latrine	-0.04762	0.17028	0.37613
Cess pool	-0.03892	0.19851	0.42292
Septic tank	-0.01446	0.23000	0.43024
Main sewer	0.15003	0.36417	0.53032
Main type of cooking fuel			
Other	-0.54444	-0.66980	-0.57060
Firewood	-0.43288	-0.24981	-0.03773
Charcoal	-0.25683	0.02239	0.23780
Paraffin	-0.02728	0.21189	0.28861
Biogas	0.11534	0.29118	0.30172
LPG	0.20597	0.34429	0.30887
Electricity	0.37196	0.41905	0.31547
Solar	0.49268	0.53032	0.38488
Main type of lighting fuel			
Other	-0.67679	-0.68802	-0.66019
Fuel wood	-0.59313	-0.57126	-0.41601
Gas lamp	-0.58281	-0.50933	-0.31845
Tin lamp	-0.37554	-0.26018	-0.10740
Lantern	-0.21041	-0.04000	0.16713
Pressure lamp	-0.15270	0.05173	0.32375
Electricity	0.10077	0.19598	0.35770

Solar	0.62067	0.51710			0.49414		
Household assets							
TV							
No	-0.28102	-0.15586			-0.07228		
Yes	0.17069	0.22650			0.36726		
Motorcycle							
No	-0.00785	-0.01003			-0.01715		
Yes	0.29169	0.15888			0.31399		
Car							
No	-0.07505	-0.03512			-0.02374		
Yes	0.50569	0.36049			0.44476		
Refrigerator							
No	-0.10226	-0.05122			-0.01945		
Yes	0.45821	0.42468			0.47916		
Tuk tuk							
No	-0.00545	-0.00878			-0.00869		
Yes	0.32082	0.24009			0.24634		
Livestock							
Number of exotic cattle		0.00238	0.1958	11.048	0.00145	0.4679	4.1544
Number of Indigenous cattle		0.01150	0.5000	6.0398	0.01042	2.7913	22.0285
Number of sheep		0.00738	0.4304	7.2222	0.01172	3.4227	28.9305
Number of goat		0.01133	0.7158	7.1633	0.01209	5.6564	40.1697
Number of camel		0.00302	0.0109	0.7129	0.01090	0.6121	8.6887
Number of donkeys		0.00072	0.0461	7.7761	0.00511	0.3725	7.6125
Household characteristics							
Male head							
No	-0.10355	-0.08335			-0.03705		
Yes	0.03140	0.03319			0.01833		

Spouse in the household									
No	-0.12352			-0.26688			-0.27057		
Yes	0.14095			0.26283			0.20136		
Monogamous head marriage									
No	-0.18080			-0.01939			-0.06639		
Yes	0.09007			0.00837			0.02509		
Proportion of male members	-0.09854	0.5646	0.3350	0.02850	0.5369	0.3049	0.01903	0.5033	0.2434
Age of head of the household	0.10567	34.997	10.761	-0.07164	38.093	13.577	-0.01365	43.289	15.480
Mean age of the household	-0.03996	25.653	9.7492	0.04607	24.345	10.486	0.05551	23.116	11.4830
Age of spouse	0.21433	14.137	16.529	-0.00750	15.852	18.044	0.02060	19.799	20.025
Dependency ratio	0.04045	0.1892	0.3235	-0.02977	0.2748	0.4107	-0.04655	0.3926	0.4791
Proportion of children under 6	0.07326	0.1226	0.1746	-0.08012	0.1607	0.1921	-0.05885	0.2136	0.2007
Orphan in the household									
No	0.12744			0.17108			0.10491		
Yes	-0.13314			-0.29631			-0.02527		
Proportion of children under 12 attending school	0.11345	0.2532	0.3983	0.18728	0.3325	0.4143	0.04111	0.3992	0.4024
Head's education									
Pre-primary, Standard (incomplete) none, don't know, other	-0.39732			-0.36468			-0.30112		
Standard 1	-0.32257			-0.25976			-0.14902		
Standard 2	-0.31775			-0.25409			-0.14107		
Standard 3	-0.30903			-0.24226			-0.12436		
Standard 4	-0.29362			-0.22258			-0.09817		
Standard 5	-0.27768			-0.20199			-0.07029		
Standard 6	-0.26278			-0.18186			-0.04166		
Standard 7	-0.22179			-0.13702			0.01591		
Standard 8	-0.13795			-0.05425			0.10753		
Form 1	-0.08701			-0.00163			0.16477		
Form 2	-0.07136			0.01503			0.18328		
Form 3	-0.05170			0.03600			0.20589		

Form 4	0.03024	0.11144	0.26679
Form 5	0.10925	0.18833	0.33022
Form 6	0.11344	0.19256	0.33374
Incomplete post-secondary	0.12587	0.20388	0.34095
Complete post-secondary	0.17054	0.24724	0.37172
Incomplete Undergraduate or (in)complete literacy/ Polytechnic	0.22856	0.30601	0.41632
Complete undergraduate	0.27661	0.34548	0.44002
Incomplete master/PhD	0.32557	0.37417	0.44963
Complete master/PhD	0.41217	0.46635	0.54778
Spouse's education			
Pre-primary, none, don't know, other	-0.17074	-0.07402	-0.11966
Standard 1	0.02935	0.01416	0.03511
Standard 2	0.03003	0.01486	0.03783
Standard 3	0.03121	0.01633	0.04347
Standard 4	0.03334	0.01887	0.05226
Standard 5	0.03615	0.02210	0.06319
Standard 6	0.04014	0.02657	0.07825
Standard 7	0.05056	0.03649	0.10857
Standard 8	0.09271	0.06085	0.16379
Form 1	0.13069	0.08048	0.20445
Form 2	0.14325	0.08653	0.21625
Form 3	0.15915	0.09408	0.23064
Form 4	0.22045	0.11770	0.26075
Form 5	0.28634	0.14258	0.28992
Form 6	0.28890	0.14338	0.29073
Incomplete post-secondary	0.29887	0.14650	0.29315
Complete post-secondary	0.34530	0.16073	0.30412
Incomplete Undergraduate or (in)complete literacy/ Polytechnic	0.40609	0.17838	0.31852

Complete undergraduate	0.44671	0.18637	0.32472
Incomplete master/PhD	0.48443	0.19072	0.32626
Complete master/PhD	0.58072	0.23212	0.39554
Maximum education of any member			
Pre-primary, none, don't know, other	-0.52981	-0.43899	-0.42625
Standard 1	-0.45040	-0.35890	-0.30822
Standard 2	-0.44278	-0.34837	-0.29394
Standard 3	-0.43162	-0.33342	-0.27444
Standard 4	-0.41306	-0.31173	-0.24763
Standard 5	-0.39352	-0.28784	-0.21678
Standard 6	-0.37432	-0.26134	-0.17995
Standard 7	-0.32809	-0.21343	-0.11694
Standard 8	-0.22077	-0.12134	-0.01220
Form 1	-0.15400	-0.06034	0.06175
Form 2	-0.13197	-0.03973	0.08972
Form 3	-0.10517	-0.01506	0.12165
Form 4	-0.00120	0.06451	0.20010
Form 5	0.09295	0.14078	0.27782
Form 6	0.09723	0.14446	0.28156
Incomplete post-secondary	0.11364	0.15669	0.29169
Complete post-secondary	0.16738	0.19829	0.32565
Incomplete Undergraduate or (in)complete literacy/ Polytechnic	0.23879	0.25842	0.38188
Complete undergraduate	0.30435	0.30625	0.42298
Incomplete master/PhD	0.36612	0.33663	0.43611
Complete master/PhD	0.47049	0.42191	0.53246
Any member 15-65 with disability			
No	0.02402	0.02208	0.00400
Yes	-0.00104	-0.00140	-0.04225

Proportion of household members dead in the last 12 months	-0.00080	0.0065	0.0691	-0.00255	0.0311	0.1349	-0.04625	7.2193	5.4274
Proportion of household members born in the last 12 months	0.00156	0.0290	0.1739	-0.00460	0.8708	0.3354	-0.00472	0.0347	0.1146
Labor force									
Head works									
No	-0.08974			-0.13632			-0.10149		
Yes	0.00854			0.01950			0.01631		
Spouse works									
No	-0.09965			-0.00252			-0.02401		
Yes	0.22719			0.00509			0.03074		
Proportion of working members 15-65	0.23254	0.7878	0.3032	0.05715	0.7315	0.3373	0.03642	0.7221	0.3487
Proportion of working children 6-15	-0.08173	0.0357	0.1632	-0.07926	0.0641	0.2079	-0.10500	0.1851	0.3205
Labour force (sub-location)									
Proportion of wage workers (sub-location)	0.16672	0.4680	0.0625	0.24715		0.3274	0.19473	0.1447	0.0964
Proportion of agricultural workers (sub-location)	-0.01751	0.0484	0.0141	-0.21699		0.1317	-0.07845	0.4034	0.1852
Proportion of self-employed (sub-location)	-0.13185	0.4428	0.0901	-0.24379		0.5470	-0.19444	0.7321	0.1304
Observations	976,727			1,847,292			4,530,595		
PCA min	-0.02126			-0.45534			-1.62088		
PCA max	0.01190			0.81298			0.77471		

Source: author (2015)

Appendix 7: Risks and mitigation measures

No.	Main issue	Key risks	Key concerns	Mitigation measures
1.	Financing	i. Timely release of resources	There are usually delays with funds released by the Government with serious implications on the scheduling of activities by programmes that depend on government funding	There is a need for the Government to ensure that the release of funds is aligned to programme activities and timelines
		ii. Adequate resources for the targeting process	For joint targeting to be effectively done, the government and partners will be expected to increase funding to the partners. There also may be a need to put the funds in a common pool for ease of planning	The NSNP should develop a budget and facilitate partners to put funds in a pool for the joint activities
		iii. Willingness of programmes to pool resources for joint activities	The current vertical management of programme activities may lead to a reluctance by some programmes to pool resources because it would mean central decision making by a team rather than an individual programme	At the County level, programme teams should be able to pool resources or share equipment and materials when involved in joint activities
		iv. Willingness of development partners to fund some of the activities jointly	Funding by development partners is often aimed at specific partners for specific activities, for instance, would HSNP/DFID be willing to fund activities in counties other than the four where it is currently implementing its activities?	NSNP to advocate to donors on the efficiencies of joint planning, funding and implementation of targeting
2.	Capacity	i. Capacity of the programme teams to implement all elements of targeting	The capacities of the programme teams vary greatly along the continuum from awareness raising, registration, CBS, household survey and validation. For harmonization to take place it is important that the capacity of each programme or the collective capacity of the teams is improved to increase on programme efficiency	Implement the proposals of the functional review, that include training and building capacity of staff in the various components of social protection programming
		ii. Capacity of the local structures to engage meaningfully and to provide leadership	The need to strengthen the local structures to implement their activities has been recognized in all assessments. There are new members in some committees that need orientation. In addition, they need to be inducted and trained on the harmonized approach	Conduct continued orientation and training of members of local committees
		iii. Availability of technical support for programme teams	Programmes will require technical support to streamline some of the activities. This support could be in the formulation of communication guidelines, implementing	The government and development partners should identify TA needs and avail the requisite support to the

No.	Main issue	Key risks	Key concerns	Mitigation measures
			the CBS and conducting the PMT	programmes
		iv. Willingness of staff to work together	The different programme team members have varied capacities and mandates. There is thus a potential for conflicts to emerge during the planning and/or implementation of joint targeting activities given the difference in group dynamics	Develop clear guidelines for the joint activities and allocate responsibilities to the programme teams. There is need to invest in conflict resolution frameworks/mechanisms
3.	Infrastructure	i. Availability of the necessary supplies and materials to facilitate all the elements of targeting	Access to equipment (computers, vehicles, printers) and supplies varies among programmes and across counties. The capacity of programme teams to pool resources will depend on what is available and their willingness to share	Implement the recommendations of the Functional review on infrastructure development
		ii. Access to some areas due to poor road network	Poor access to some remote communities continues to hinder the programmes from providing the necessary support to local structures and engaging meaningfully in programme activities	Train and equip local structures to implement some of the activities and provide monitoring and support supervision
4.	Political interference	i. Conflict of interest by political leadership in view of the allocation of beneficiary households	Although a large proportion of the beneficiary households are supposed to be allocated based on poverty levels, political expedience interferes with this at the location level	Enforce the agreed upon guidelines for beneficiary selection criteria Expose any malpractice to deter interference
		ii. Involvement of political leaders in CSACs which gives them power to influence activities at the location and sub-location levels	The role of politicians in CSACs is good for political goodwill and ownership of the process but they have been found not to respect the allocation of beneficiaries based on objectivity (poverty level)	Final decision-making should be vested in the programme teams and guided by the principles of beneficiary selection criteria
5.	Security	i. Insurgence in some areas of the country that would interfere with targeting	Some communities continue to be inaccessible due to conflict and insecurity	Close collaboration with local leadership in the implementation of the programme activities in these areas
		ii. Loss and/or damage of project property	In situations of conflict/insecurity, the main fear is on safeguarding the lives of the officers, equipment and programme materials	Invest in personnel safety, more so those who work in conflict/insecurity prone areas
6.	Integrity	i. Complicity of programme staff and local structures in the selection of beneficiaries	Local leaders and programme teams have been accused of impropriety in selecting beneficiary households	Conduct audits and implement sanctions among the offenders Program implementers/teams should sign a code of conduct
		ii. Misuse of programme resources by programme staff	Diversion of resources meant for project activities and lack of accountability	Enforce accountability measures and punish the offenders

