

HSNP: Evaluation Component

Approach and methodology



Oxford Policy Management



Vision for the evaluation

- The evaluation of HSNP phase 1 provided robust evidence that the HSNP works effectively as a safety net, particularly for the very poorest
- The evaluation of HSNP2 will build on, rather than replicate, our previous work.
- The core second phase evaluation instruments and technical approaches will be designed such that they can be used as a basis for extending the scope of the programme's own routine M&E and policy development processes



The HSNP

- HSNP is a GoK cash transfer programme supported by DfID and Australia DFAT
- An unconditional CT that focusses on people living in extreme poverty in four counties in Northern Kenya: Marsabit, Mandera, Turkana and Wajir
- The transfer is worth KES 2,450 and is paid bi-monthly straight into recipient's bank accounts
- Covers 27% of the population of households with routine payments
- Has the facility to scale-up payments to a wider tranche of the population (up to 75%) in emergency drought situations



The HSNP

- Targeted using a combination of a Proxy Means Test (PMT) and Community-Based Wealth Ranking (CBWR)
- A Programme Implementation and Learning Unit (PILU) sits within NDMA and is responsible for running the HSNP and managing the implementing partners
- HelpAge International are responsible for leading the Rights component
- Financial Sector Deepening Trust (FSD) and Equity Bank are responsible for leading the payments component
- An independent M&E component is led by OPM



Objectives of the evaluation

- Provide independent evidence on programme impact and performance



- Inform current and future decision-making
- Provide accountability for funding
- Disseminate information to national and international social protection community



Evaluation activities

- In order to deliver this vision and answer the questions set out in the ToR the Evaluation will comprise four workstreams:
 - Workstream 1: Impact Evaluation
 - Workstream 2: Operational Monitoring
 - Workstream 3: Policy analysis
 - Workstream 4: Communications and learning

Impact Evaluation

- Objectives of the workstream
 - Investigate the wider effects of the HSNP cash transfers on the local economy through the use of a Local Economy Wide Impact Evaluation (LEWIE)
 - Assess the effects of the cash transfers at the beneficiary level using a mixed methods impact evaluation
 - Conduct a special study on the Arid Lands Support Programme (ASP) to look at:
 - interaction of HSNP with of a package of complementary activities to support livelihoods
 - contribution the ASP makes to county planning and budgeting



Impact evaluation

- LEWIE

- Key research questions the LEWIE will answer:



- What kind of multiplier effect does the HSNP produce in the local economy?
- Who benefits from any multiplier effects and how?

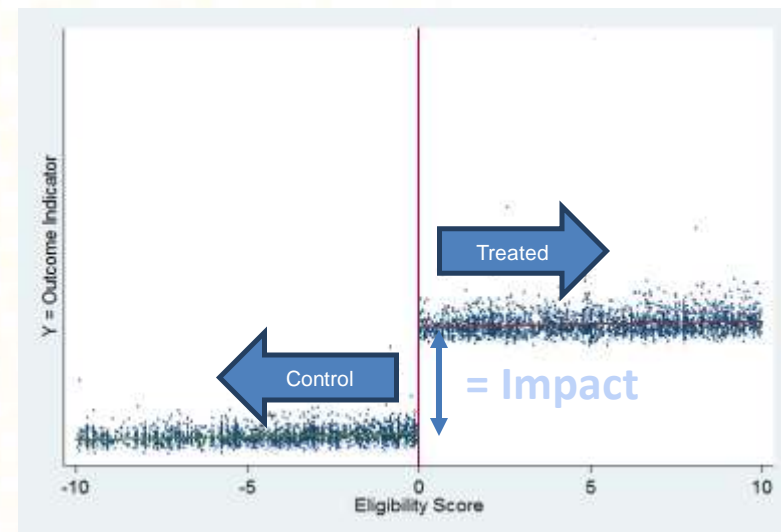
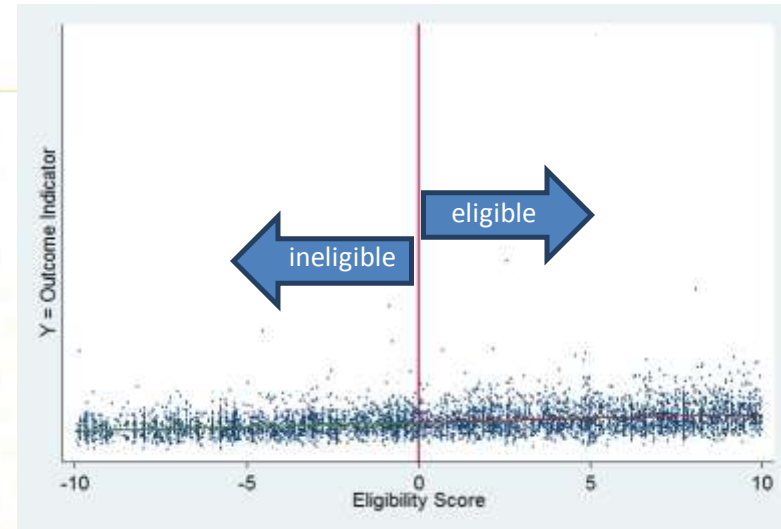
Impact Evaluation

- Mixed methods impact evaluation
 - Key research questions for the mixed methods impact evaluation:
 - What are the impacts of the HSNP on households and individuals in terms of consumption, poverty, nutrition, assets and financial inclusion?
 - For which sub-groups are the impacts most pronounced?
 - How does regularity and size of payments affect the impacts the programme has?
 - Do the cash transfers empower women?
 - Does HSNP impact community relations?
 - Do routine and emergency cash transfers build people's resilience to climate variability?



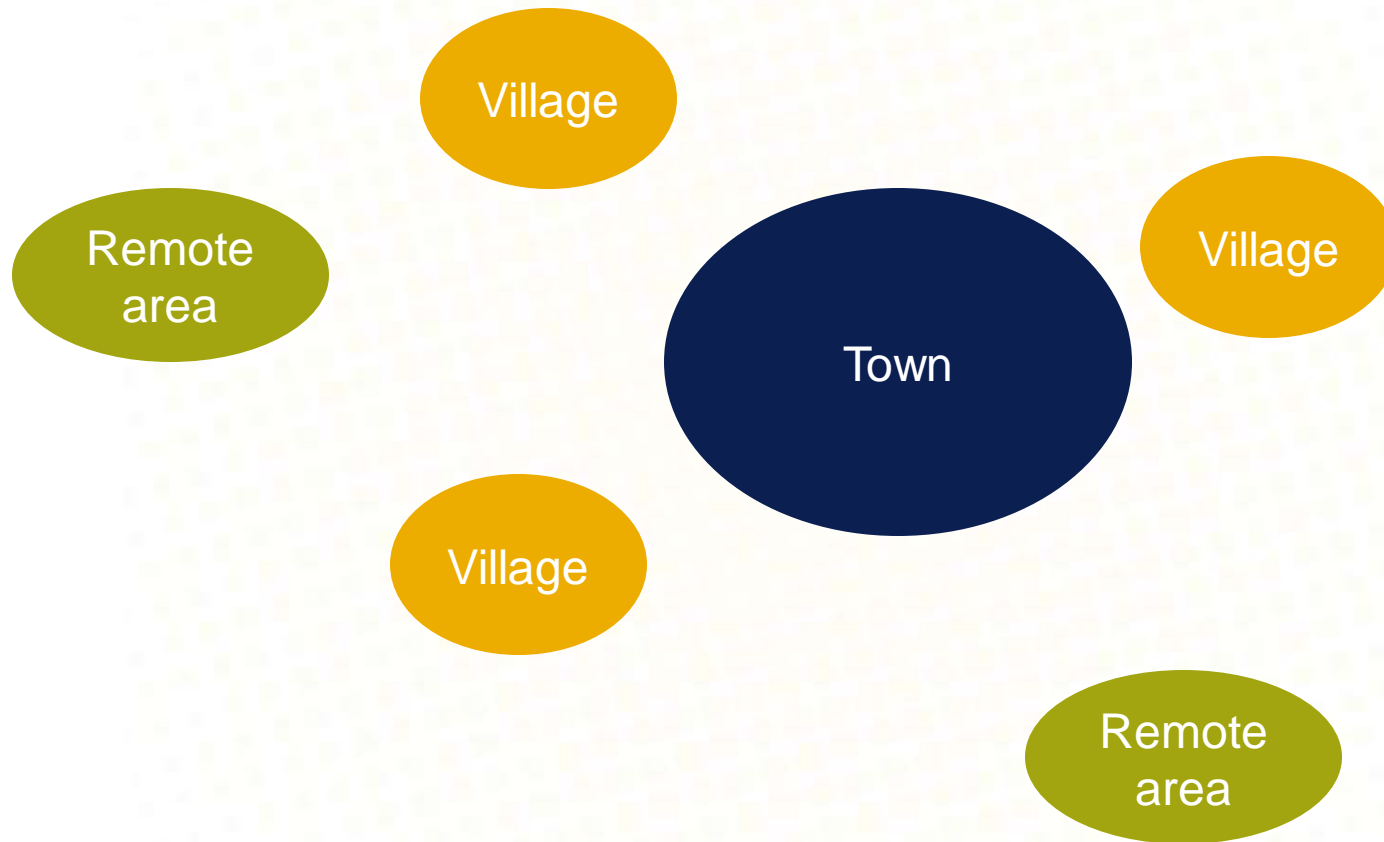
Impact Evaluation

- Mixed methods quantitative component
 - Robust estimate of programme impact generated using quasi-experimental methodology known as Regression Discontinuity (RD)
 - Experimental approach (Randomised Controlled Trial) not possible in this context due to roll-out plan of HSNP
 - RD normally designed as ex post approach so contains some risk. The sample is thus designed to enable an alternative method for estimating impact based on Propensity Score Matching should the assumptions underpinning the RD approach not hold



Impact Evaluation

- Quantitative component sample size and strategy



Total 21 sub-counties
across 4 counties

Clusters per sub-county:
1 Town (all towns)
4 Villages
4 Remote areas



Impact Evaluation

- Quantitative component sample size and strategy
 - Household sample size per cluster by type

Beneficiary status	IE - LEWIE sample range	Towns	Villages	Remote Areas
Non-beneficiary	Without IE (Treatment)	7	4	3
Non-beneficiary	Within IE (Treatment)	20	16	7
Beneficiary	Within IE (Control)	20	16	7
Beneficiary	Without IE (Control)	7	4	3
Total		54	40	20

- Total sample size by household type and cluster type

Beneficiary status	IE - LEWIE sample range	Towns	Villages	Remote Areas	TOTAL
Non-beneficiary	Without IE (Treatment)	154	352	264	770
Non-beneficiary	Within IE (Treatment)	440	1408	616	2464
Beneficiary	Within IE (Control)	440	1408	616	2464
Beneficiary	Without IE (Control)	154	352	264	770
Total		1188	3520	1760	6468



Impact Evaluation

- Quantitative sampling approach allows us to:
 - Analyse local economy multiplier effects across different population groups
 - Measure heterogeneity of impact across different household types (large vs small, poor vs less poor, etc.)
 - Conduct targeting and simulation analyses (see policy analysis workstream)
 - Implement alternative IE approach if required

Impact Evaluation

- Mixed methods qualitative component
 - Provide understanding of the context within the HSNP operates, and how this affects and is affected by the CTs
 - Understand experiences and processes that produce outcomes of interest
 - Enable assessment of impacts that are (methodologically) difficult to cover via the quantitative survey (social cohesion, inter and intra-household relations)
 - Generate data to triangulate, validate and give nuance and depth to quantitative findings
 - Enable an assessment of impact for both routine and emergency payments
 - Develop understanding of interaction between the HSNP and other livelihoods support programme such as the ASP



Impact Evaluation

- Three rounds of qualitative research
 - 1st round includes focus on contextual information with findings feeding into quantitative survey design
 - 2nd round includes investigation of results from quantitative IE and LEWIE
 - 3rd round focusses on long-term impacts



Impact Evaluation

- Qualitative instruments
 - Qualitative Household Panel Studies (QHPS)
 - Focus Group Discussions (FGDs)
 - Key Informant Interviews (KIIs)
 - Structured observation
 - Participatory photography
- Range of participatory tools to be used in FGDs (social mapping, wellbeing ranking, and household income and expenditure analysis, and livelihood ranking)

Impact Evaluation

- Qualitative sampling approach
 - Purposive sampling of 3 HSNP sub-locations within each county
 - Cover range of contexts including geographical (urban and rural), socio-economic (livelihood, poverty level...) and programme related issues (remoteness)
 - 108 QHPS sampled randomly and stratified by characteristic (e.g. household size, welfare status, gender of household head...)
 - FGD respondents sampled in field purposively and consistently across sub-locations to ensure coverage of relevant population groups (male and female beneficiaries and non-beneficiaries, young people, casual workers, ethnic minorities etc.)
 - KII undertaken with relevant people in communities, service providing institutions (e.g. schools, health centres), national government and civil society

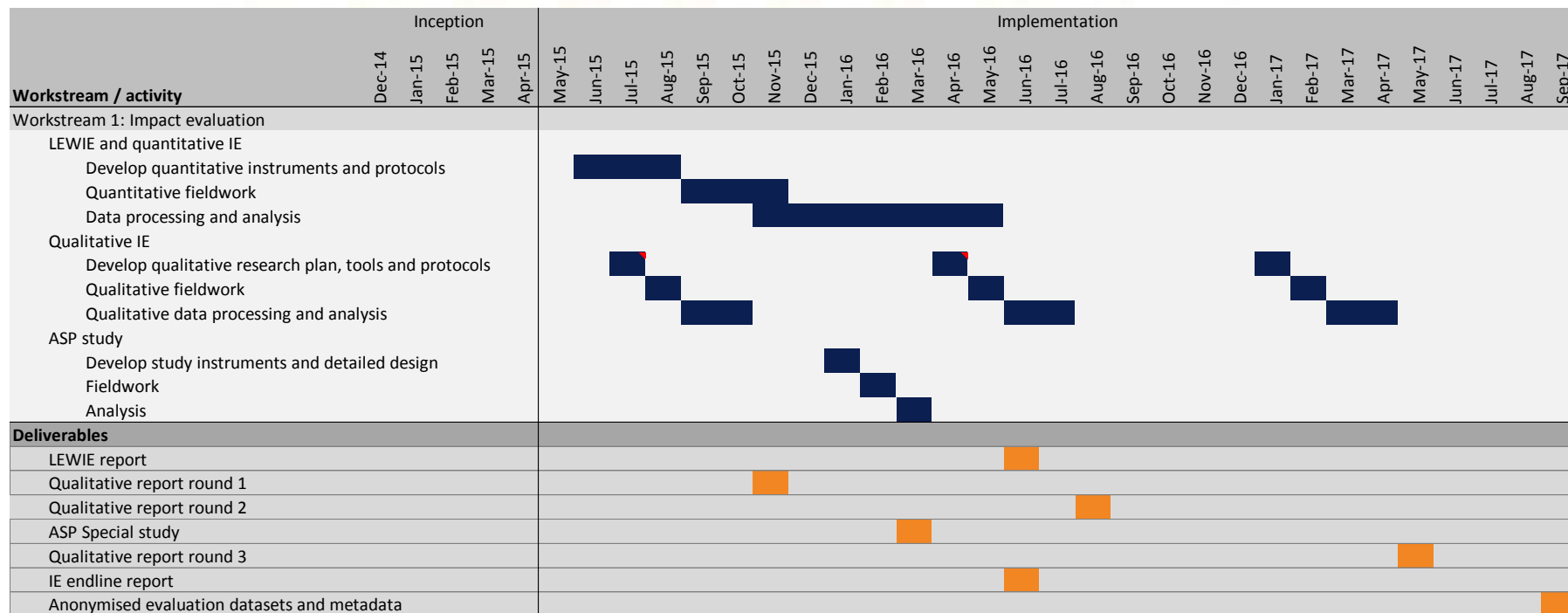


Impact Evaluation

- Special study on ASP
 - Does the combination of cash transfers and wider livelihoods activities open up new livelihoods opportunities/ income generating activities for poor households?
 - How?
 - How effective is the work with NGOs to understand how communities respond to shocks under ASP?
 - Does this get reflected in county plans?
 - Study conducted using mix of FGDs, KIIs and document review



Impact evaluation timeline



Operational Monitoring

- Objectives of the workstream
 - Feed live data to on-going programme implementation monitoring
 - Assess how well the HSNP is being managed and implemented by its implementing partners
 - Highlight best practice and offer recommendations for improvement
 - Consider implications of operational processes for the programme's overall efficiency and value for money



Operational Monitoring

- Process and institutional capacity assessment
 - What is the effectiveness of HSNP management structures and processes?
 - How is HSNP intended to operate?
 - How, where and why do operations vary in practice?
 - How does the human resourcing of the programme (both staff and non-staff) reflect the tasks to be delivered?
 - How do the levels of physical and financial resources reflect the tasks to be delivered?
 - How are programme operations affected by organisational capacity?
 - What is the capacity of NDMA to deliver HSNP in the future?

Respondents for the capacity assessment

NAIROBI

- NDMA
- the PILU
- DFID
- Social Protection Secretariat
- FSD
- HelpAge International
- Equity Bank

LOCAL LEVEL

- NDMA staff at county level (drought resilience officer / county drought coordinator)
- HSNP programme manager / programme officers
- Equity Bank staff responsible for HSNP at the branch, and their local agents
- a selection of rights committees
- programme volunteers
- local chiefs



Operational Monitoring

- Costing study
 - How much has it cost to deliver HSNP regular and emergency payments?
 - What is the pattern of expenditure over time / by funding source / by funding agent (who spends the money) / by line item / by activity?*

	Proposed code	DFID cost-reporting category	Stage of the HSNP operations cycle as per operations manual
01	PROGRAMME DESIGN	Start-up	n/a
02	REGISTRATION	Rollout	Step 1 - Registration
03	TARGETING	Rollout	Step 2 - Beneficiary selection Step 3 - Community validation Step 6 - Notification, targeting complaints
04	ENROLMENT	Rollout	Step 4 - Identification of recipient Step 5 - Preparation of bank accounts Step 7 - Bank account opening and distribution
05	PAYMENT	Ongoing operations	Step 8 - Payment and reconciliation
06	CASE MANAGEMENT	Ongoing operations	n/a (Dealing with complaints and updates)
07	MONITORING / REPORTING	Ongoing operations	n/a (Monitoring implementation)
08	MANAGEMENT / COORDINATION	Ongoing operations	n/a (Linkages with other programmes & authorities, committee meetings, recruitment, general admin)
09	EMERGENCY SCALE-UP	Start-up	n/a (Design of the emergency scale-up mechanism)
		Ongoing operations	n/a (Implementation of the scaled-up mechanism in the event that it is triggered)
00	NON-HSNP ACTIVITY	n/a	n/a

Indicators

- Alpha ratio (share of transfers in total expenditure)
- Cost-transfer ratio (amount spent on administration for every \$1 disbursed)

* Group 1 payments only; account detail is not available for Group 2 payments



Operational Monitoring

- Emergency payments process review
 - HSNP emergency scale-up payments have been piloted twice (April and May 2015)
 - Experience of these two pilots needs to be documented and lessons learned in order to refine operational processes and guide future design of the emergency payments system
 - Review will provide an independent and systematic account of implementers' experiences in the implementation of the emergency payments
 - Impact of emergency payments and experience of beneficiaries covered under workstream 1

Respondents for the Emergency payments study

NAIROBI

- PILU
- NDMA
- DFID
- Catherine Fitzgibbon
- FSD
- Equity Bank
- NGOs and other donors in the humanitarian and ASAL sectors

LOCAL LEVEL

- NDMA staff at county level (drought resilience officer / county drought coordinator)
- HSNP programme managers and officers



Operational Monitoring

- Regular operational monitoring
 - Are implementing agents fulfilling the requirements of their service level delivery agreements?
 - What are beneficiary perceptions of service delivery?
 - What are implementing agents' perceptions of programme operations?
 - How well does the rights and grievances process work?
 - Does the new payment platform and expansion of financial services provide benefits for beneficiaries and non-beneficiaries?

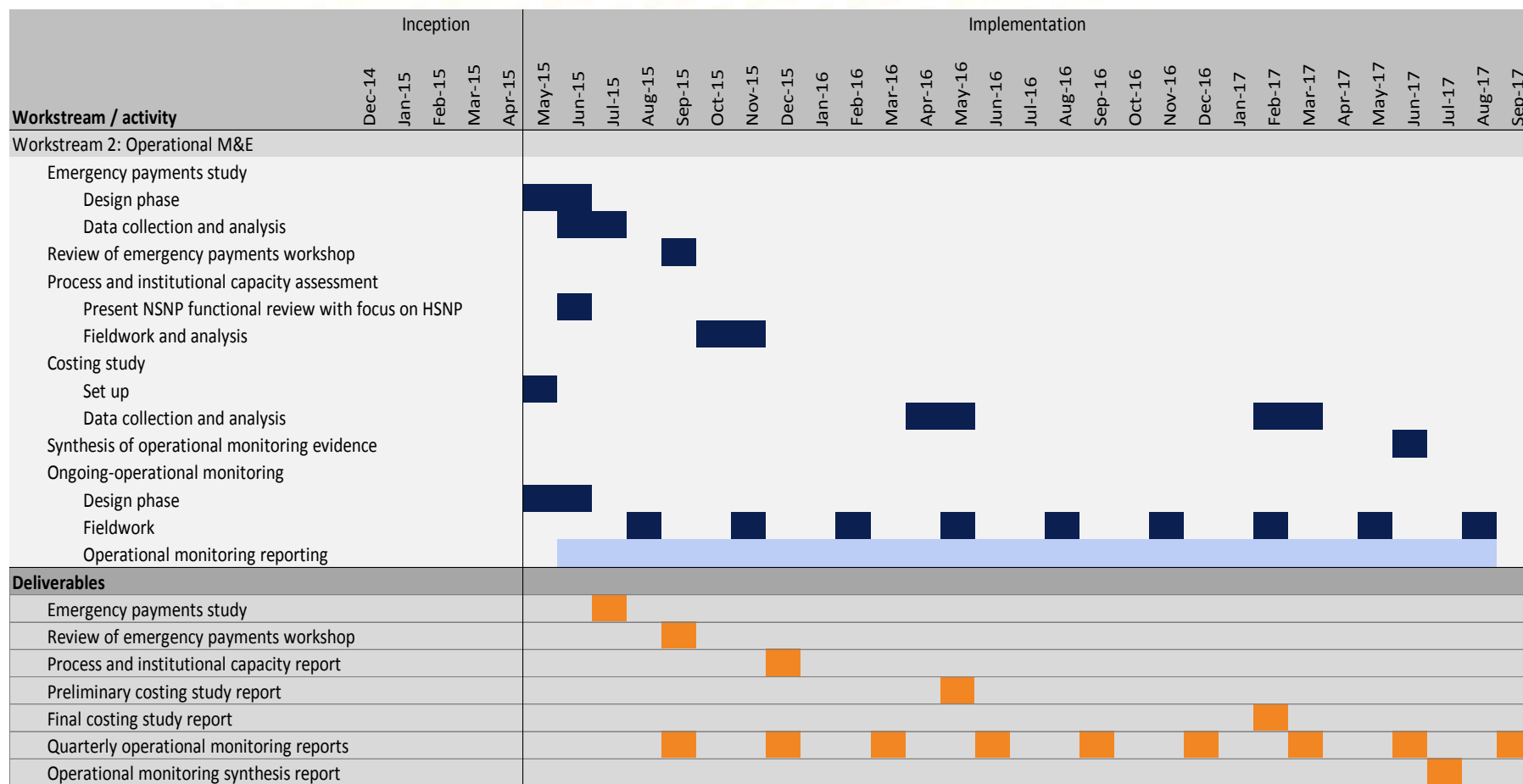


Operational Monitoring

- Regular operational monitoring
 - Based on combination of quantitative paypoint beneficiary survey and qualitative KIIs with implementing agents and other stakeholders
 - Paypoint survey samples 36 paypoints each quarter (roughly 9 per county) using Probability Proportional to Size based on numbers of beneficiaries served
 - Pay agents plus 8 beneficiaries will be interviewed per paypoint using stepwise sampling, thus building a representative sample of 324 payment agents and 2,592 beneficiary responses by the end of the evaluation period
 - Regular monitoring reports will feed into programme operations working group meetings to improve on-going performance



Operational monitoring timeline



Policy analysis

- Objectives of the workstream
 - Alongside impact and operational effectiveness we consider issues of sustainability and relevance
 - Assess how well the HSNP targeting approach reaches poor and vulnerable households
 - Explore potential costs and impacts of different programme design options, including emergency payments
 - Review and redesign the HSNP registration instrument to ensure it is optimised for both targeting and M&E purposes and aligned with future needs of NSNP
 - Conduct a strategic policy review to assess the overall objectives of the HSNP and its place in relation to the NSNP and broader social protection agenda in Kenya



Policy analysis

- Targeting study
 - Key questions the study will answer:
 - What are the characteristics of beneficiary households from a poverty and welfare perspective?
 - How do beneficiary households compare to non-beneficiary households in this regard?
 - How do phase 2 beneficiaries compare to phase 1 beneficiaries?
 - To what extent did the PMT and CBWR elements of the phase 2 targeting process select the same households, and to what extent were the poorest and/or most food insecure selected?
 - Assessed via analyses of the HSNP MIS, phase 2 and phase 1 impact evaluation data



Policy analysis

- Micro-simulation analyses
 - Key questions the study will answer:
 - What are the costs associated with different programme design options and coverage scenarios?
 - What are the poverty impacts associated with different programme design options and coverage scenarios?
 - What are the local economy impacts (multiplier effects) associated with different programme design options and coverage scenarios?
 - These questions will be answered in relation to both the core programme and the emergency scale-up component
 - Assessed via analysis of the quantitative survey data and building directly on the LEWIE model



Policy analysis



- HSNP registration instrument review
 - HSNP targeting approach requires registration data on all households across the 4 counties in order to:
 - identify the subset of the population that is eligible to receive HSNP routine payments (i.e. the poorest households as identified via a combination of PMT and CBWR)
 - identify the additional segment of the population eligible to receive HSNP emergency scale-up payments
 - utilise the MIS (and accompanying payments infrastructure) to target other interventions, including the other national cash transfer programmes under the NSNP



Policy analysis

- HSNP registration instrument review and design
 - Moving forward there is thus a need to ensure that the registration instrument captures only the data that is absolutely necessary, but at the same time is fit for its multiple purposes and robust within the evolving context of the NSNP
 - This component will thus:
 - Conduct a data quality assessment of the current MIS data with a view to identifying any gaps in the data and data quality
 - Redesign the PMT to optimise its efficiency and effectiveness for future rounds of HSNP and other programme targeting
 - Redesign the registration instrument for future phases based to ensure it is fit for purpose (including targeting of HSNP routine and emergency payments plus other NSNP programmes), as well as optimised for future M&E

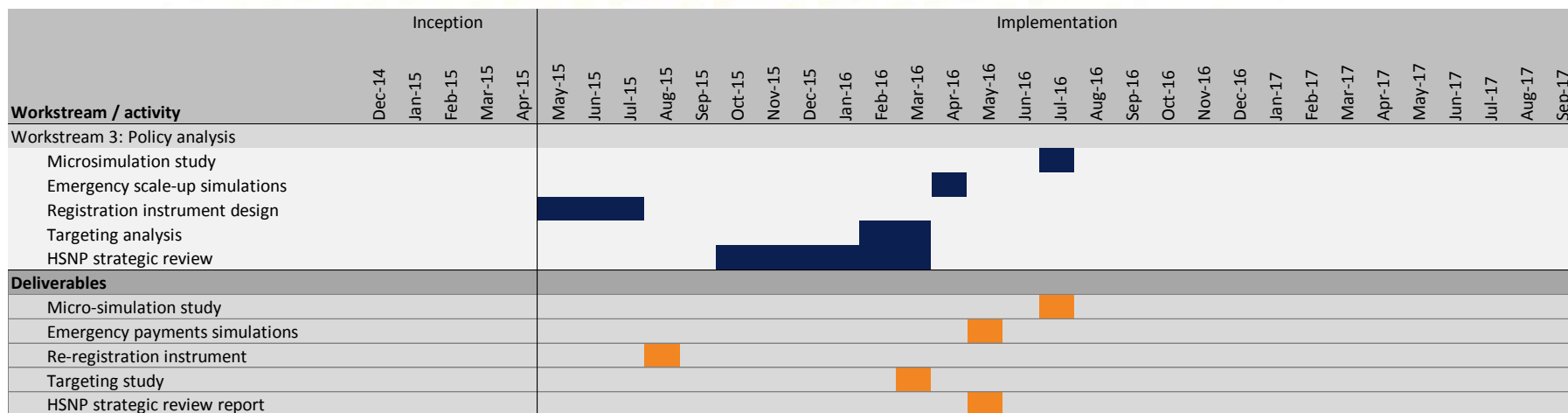


Policy analysis

- HSNP strategic policy review
 - Key questions the policy review will answer:
 - Has the HSNP been successfully designed and implemented in line with its objectives, and the degree to which these objectives are aligned with the national social protection strategy and other social protection programmes?
 - To what extent does national, regional and institutional level policy dialogue contribute to changes in policy coherence, budget allocations of GoK, and upscaling of the programme?
 - Has the combination of targeted cash transfers, additional emergency payments and support to livelihoods been an appropriate policy response in the four HSNP counties?
 - To what extent is the future design of HSNP aligned with the NSNP, and in particular the plans for rolling out the other three key social protection programmes in the four HSNP counties?
 - Document review, KIIs, stakeholder survey, stakeholder workshop



Policy analysis timeline

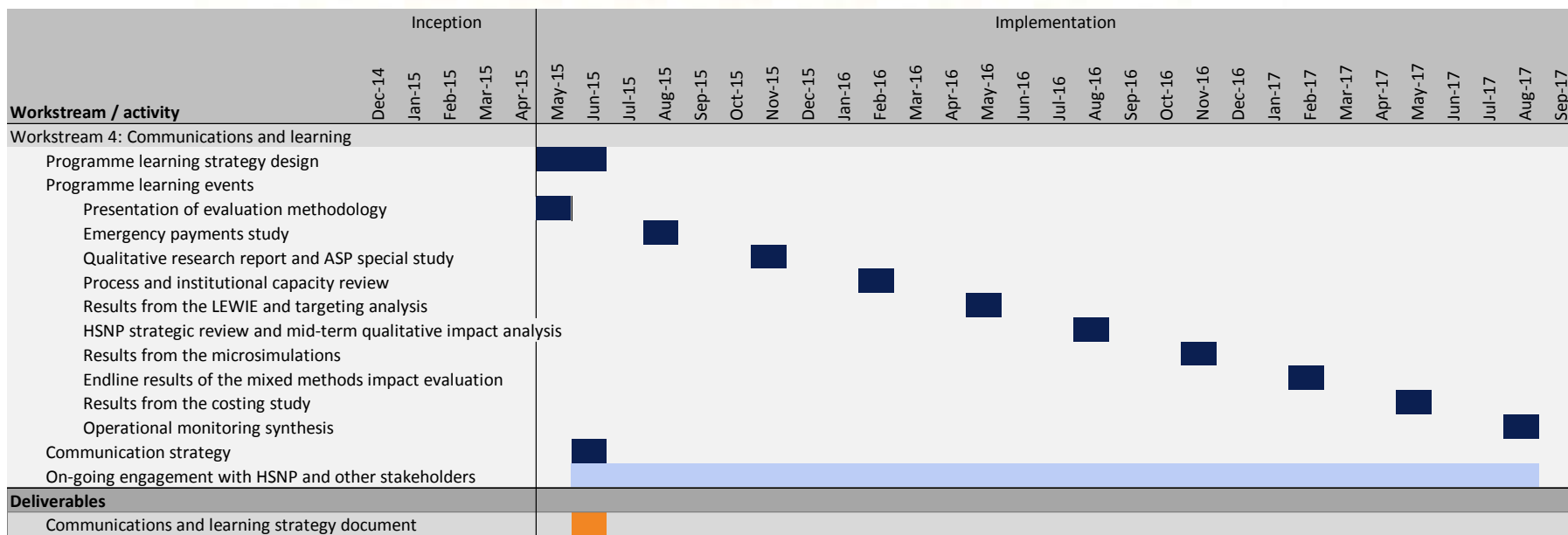


Communications and learning

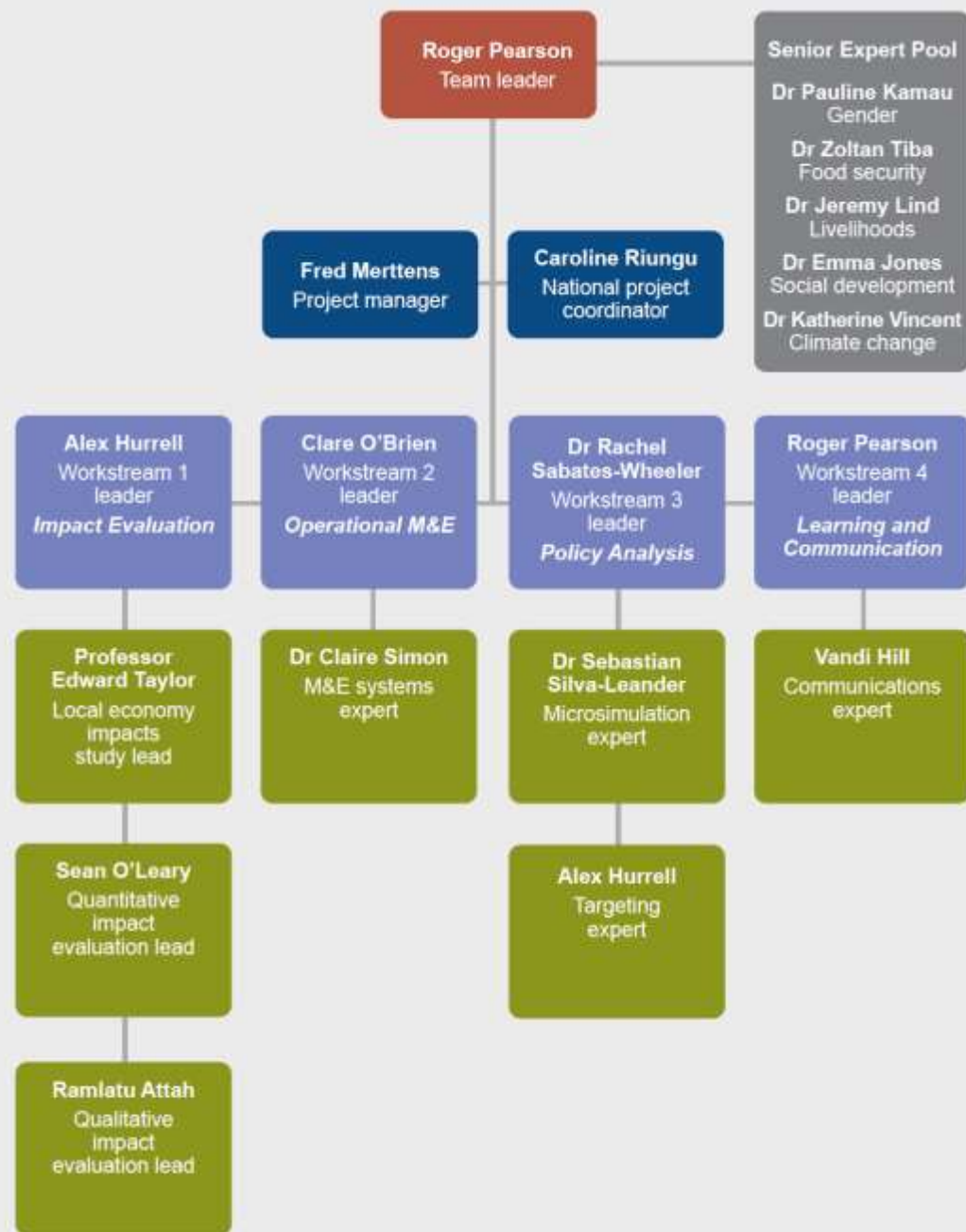
- Objectives of the workstream
 - To support the PILU to incorporate the evaluation instruments and approaches into the programme's M&E and policy development processes the evaluation will provide:
 - Ongoing engagement with NDMA and the PILU
 - Specifically tailored learning events to disseminate evaluation products and enable the HSNP implementers and stakeholders to utilise those findings
 - A communication strategy for the evaluation that is aligned and implemented in partnership with the HSNP communication strategy



Communications and learning timeline



Evaluation team



On-going work and next steps

- The evaluation is just about to complete its inception phase
- A draft evaluation inception report is currently being finalised which lays out the detailed design and approach for the evaluation and all its activities
- This presentation is part of a round of stakeholder consultation will occur to discuss the inception report and agree any final amendments
- Evaluation implementation phase will begin in the next few days!



Asante sana!