

# ANNEX 1 CASE STUDIES

## Case study 1: Brazil<sup>68</sup>

**Name:** Cadastro Único (translated as Unified Registry; formerly translated as Single Registry)

**Overall classification:** social registry

**Data collection approach:** combination of on-demand registration (with home visits when needed) and occasional census surveys in selected areas

**Breadth of integration:** integrates data collection and eligibility determination across selected social assistance programs (but does not receive data back from all, so does not enable comprehensive overview of beneficiaries across programs); provides some linkage to other social sectors; does not integrate social insurance; does not have direct link to national ID system

**Depth of integration:** integration with external databases primarily used for data verification

**Number of individuals registered:** 26.8 million (43 per cent of population)

Brazil's Cadastro Único para Programas Sociais do Governo Federal (translated as Unified Registry for Social Programs; known as Cadastro Único) is possibly the most famous of social registries internationally, setting standards for many other countries embarking on a process of integration across the social protection sector. Cadastro Único's main role is to support the identification and socioeconomic characterisation of low-income<sup>69</sup> Brazilian households in order to support the selection of beneficiaries for social assistance programs run by the federal government. Cadastro Único's database currently contains information on 26.8 million households (2015), some 43 per cent of the country's population, and supports over 30 programs at national level, including the flagship Bolsa Família cash transfer, as well as several decentralised programs.

### Background

Cadastro Único was established by Decree No. 3,877 in July 2001. At that time, the federal government had a diverse set of targeted cash transfer initiatives for poor families — including the Bolsa Escola (School Grant), Auxílio-Gas (Cooking Gas Aid), Bolsa Alimentação (Food Grant) and Child Labour Eradication Program (PETI) — all of which used different registries to identify and select their beneficiaries, making it difficult to coordinate initiatives and provide services.

Only in 2003, with the creation of the Bolsa Família Program (PBF), with legislation establishing Cadastro Único as the instrument for identification and selection of beneficiaries, did the registry begin to consolidate as a social inclusion tool for low-income families. Over time, an increasing number of programs started using Cadastro Único data for their selection of beneficiaries, while new decrees and ministry ordinances further regulated its functions and use.<sup>70</sup> Currently, Cadastro Único — which is in its v7 software iteration — has been defined as an essential tool for Brazil's Unified Social Assistance System, and plays a strategic role in the Brazil without Extreme Poverty

68 The main sources for the information provided are the comprehensive World Without Poverty (WWP) series on Cadastro Único, available on the WWP website, together with the conference proceedings from Brazil's 2016 international workshop on integrated data and information management (WWP 2016), and the UNDP-IPC 2016 paper on Cadastro Único (Direito et al. 2016). Much of the information used for this case study is also based on discussions and inputs from Jeniffer Carla de Paula, Denise do Carmo Direito, Natalia Massaco Koga and Elaine Cristina Licio, whom I warmly thank for their collaboration.

69 Families that survive on a monthly income of up to one half of a minimum wage per person or on a total of three minimum wages per family.

70 See for example Decree 6,135/2007 (regulates the Unified Registry); MDS Ordinance 177/2011 (defines procedures for the management of the Unified Registry); MDS Ordinance 10/2012 (disciplines the criteria and procedures for the provision and use of information contained in the Unified Registry).

(Brasil Sem Miséria) Plan. Specifically, Cadastro Único has five core objectives:

- » Identify and characterise the most socially vulnerable segments of the population Families that survive on a monthly income of up to one half of a minimum wage per person or on a total of three minimum wages per family.
- » Foster the building of a social promotion and protection network that links existing policies
- » Be used as a planning tool for public policies geared towards low-income families
- » Allow for the creation of indicators that can reflect the poverty and vulnerability dimensions of the different territories
- » Converge efforts in order to prioritise the offer of services to families in vulnerable situations.

### Programs supported by Cadastro Único

The federal government uses the information contained in Cadastro Único to identify and select beneficiaries for over 30 national social programs belonging to different categories. This includes:

- » Benefits: Bolsa Família; <sup>71</sup> Auxílio Emergencial Financeiro (emergency financial aid); PETI (child labour eradication); Bolsa Verde (Green Grant); Programa de Fomento as Atividades Produtivas Rurais (support to rural productive activities)
- » Discounts to taxes and contributions: Tarifa Social de Energia Elétrica (Social Tariff for Energy); Carteira do Idoso (Senior Citizen ID); fee waiver for civil service tests; Telefone Popular (Popular Telephone Program); etc.
- » Discounts on credit taxes: Minha Casa Minha Vida (My House, My Life) and other housing programs (Ministry of Cities); Programa Nacional de Crédito Fundiário; etc.
- » Social technology and infrastructure: Água Para Todos (Water For All); Programa Cisternas (Cistern Program); etc.
- » Social services: Brasil Carinhoso (Affectionate Brazil creches); Brasil Alfabetizado (Literate Brazil); Mais Educação (More Education); National Program for Access to Vocational Training and Employment (Pronatec); etc.

The use of Cadastro Único is compulsory for all federal social programs geared to the low-income population, with the exception of social security and the Continuous Cash Benefit (BPC) program, for which use is optional. BPC and a number of other national initiatives (e.g. the national registry of people with disabilities) use data from Cadastro Único for their routine monitoring. States and municipalities are also encouraged to use the Cadastro Único database to implement local social programs.

### Institutional arrangements for Cadastro Único<sup>72</sup>

Given Brazil's decentralised governance, Cadastro Único shares efforts and responsibilities between the federal government, states, federal districts and municipalities. The three levels of government work together to strengthen and consolidate the registry as the main instrument to combat poverty and social inequality.

Within the federal government, the implementation of activities related to Cadastro Único is under the responsibility of the National Secretariat of Citizenship Income (Senarc) of the Ministry of Social Development and Fight against Hunger (MDS). Its main responsibilities are to coordinate, monitor and supervise the implementation and execution of the registry, continuously assessing the quality of the information it provides and defining strategies for its improvement. MDS is also responsible for drafting regulations, rules and instructions to guide the work of states, municipalities and the Federal District. The federal government provides financial support to municipalities and the Federal District through the transfer of funds calculated via the innovative Municipal Decentralized Management Index — IGD-M (see also Box 8 in the main report). These funds are used to support ongoing registration, update existing entries and maintain the quality of the data.

Also at the federal level, Caixa Econômica Federal (Caixa), operating agent of Cadastro Único, supports its development, processes personal information and assigns a social identification number (NIS) for each registered

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71 Now almost 14 million beneficiary households.

72 This section is primarily based on the World Without Poverty publication 'Stakeholders Responsible for Managing the Unified Registry' (WWP 2016c).

person, and coordinates with municipalities for training and other functions. Caixa is on a performance-based contract with MDS.

State governments provide technical support to municipalities that need to manage Cadastro Único at their level. Their responsibilities include developing strategies for access to civil documentation, conducting training; supporting the improvement of municipal infrastructure; identifying, monitoring and supporting solutions to problems faced by the municipalities in the management of the registry; and supporting the identification and registration of the extremely poor under the 'active search' strategy.

Brazil's 5570 municipalities are the forefront players in the management of Cadastro Único. Their main activities include identification of areas where low-income families live; collection of data from families through home visits, task forces or fixed service stations (there were 9413 centres in the country in 2016); inclusion of new families and updating of existing family data in the Cadastro Único system, as well as verification of registration inconsistencies; continuous training of interviewers, data entry technicians and all professionals involved in managing the registry (in partnership with state governments); maintenance of adequate infrastructure in their service area; and dissemination of information on social programs for low-income families. Many of these actions are managed by a municipal manager.

## How Cadastro Único is structured in practice

This section analyses how Cadastro Único is structured in practice: its data sources, how data is collected, how data is transferred, how information is used, and data security and privacy.

### Data sources and linkages

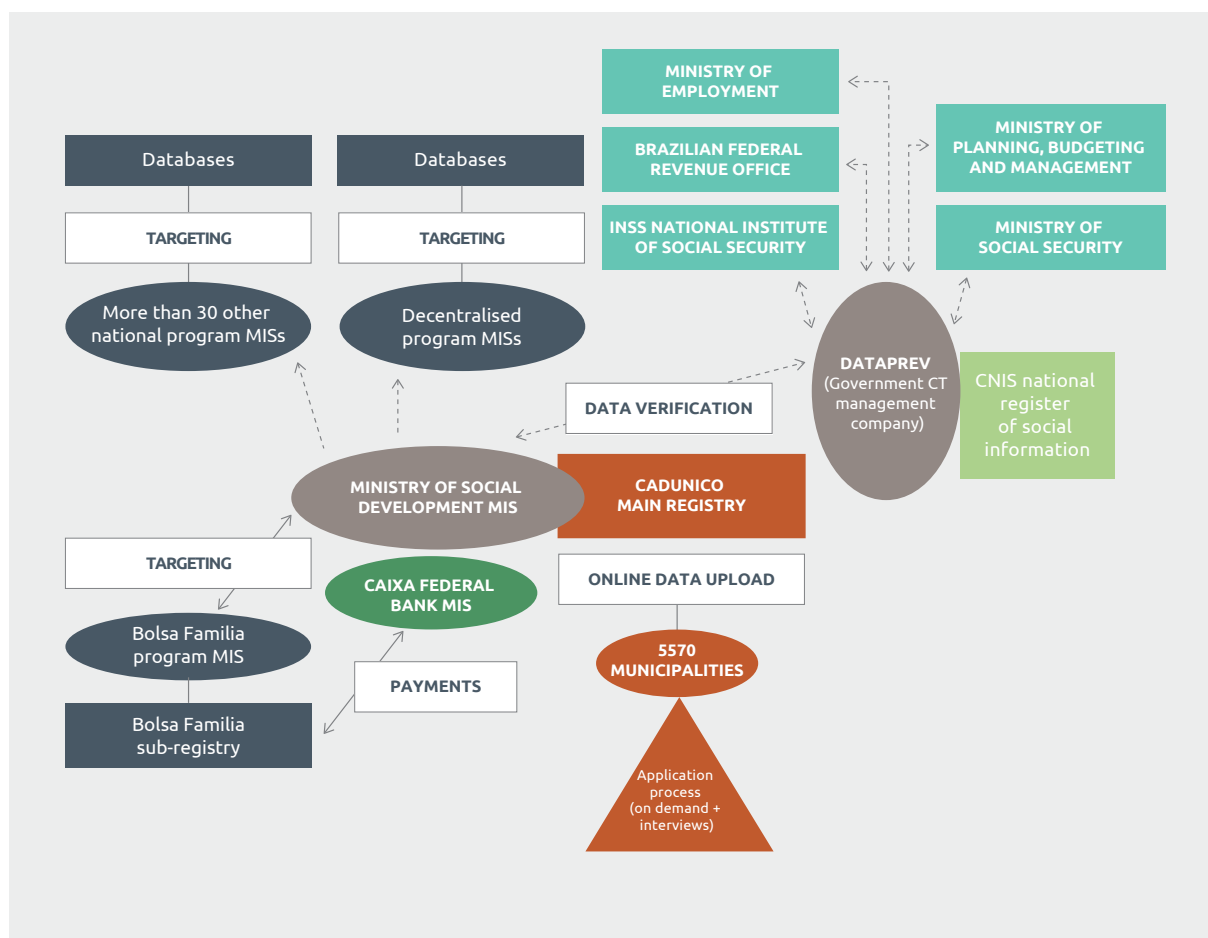
The main data source for Brazil's Cadastro Único is the data collected by the Cadastro Único itself (see below). The registry's data entry system (managed at municipal level) performs instant automatic validation checks (duplication, documentation, completeness, etc.). However, the Ministry of Social Development runs periodic cross-checks with other data sources to ensure accuracy of data: comparison with death certificates, formal workers' incomes and receipt of contributory policies. This is mainly interfaced through the National Register of Social Information (CNIS),<sup>73</sup> managed by DATAPREV (government-owned ICT company for management of social security). Importantly, as there is no common national identification number (there are multiple sources and registries of personal data), linkages between databases are currently made through 'match keys' (name, mother's name, birthdate, and codes from key documents).

Cadastro Único is also linked with the payment systems of some of its programs. Specifically, three programs have direct access to Cadastro Único data and use it for payments, through Caixa (Bolsa Família Program, Bolsa Verde Program, and Rural Productive Activities Program). Most other programs access information on demand for targeting and monitoring purposes. None of these share information (e.g. on their beneficiaries) back with Cadastro Único.

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73 This database contains more than 230 million records of individuals and over 35 million legal entities (companies or institutions), documenting the development of employment contracts, payroll, and contribution amounts for each registered individual. It is the main registry that allows Brazilians to receive pensions, social insurance in cases of illness or disability, and several other types of pensions and social benefits.

**Figure 11 Overall structure of Brazil's Cadastro Único**



Source: Discussions with ministry staff (2016); and Oxford Policy Management Brazil poster (2015a).

Note: Boxes indicate databases; circles indicate MISs; lines indicate direct link (e.g. web service access); dotted lines indicate indirect link (batch process, CDs etc.). Arrows indicate where information flows in one direction or two directions. In Brazil, two-way flow of information is only achieved between Cadastro Único and Bolsa Família. All other programs receive data through ad hoc links and do not share their beneficiary lists back.

### How data is collected and updated

Registration with Cadastro Único is free, and families provide the required information through an interview, using a standard Cadastro Único form.<sup>74</sup> Data collection is performed in any of the following ways:

- » Fixed service stations: ongoing on-demand registration at any of 9413 centres across the country, many of which (5123, or 54 per cent) are Centros de Referência de Assistência Social (Social Assistance Reference Centres)
- » Home visits to families
- » Mobile service stations, including registration task forces (occasional census surveys in specific pre-identified areas).

By law, registered information must be updated every 24 months (from the date of last interview) or whenever there is a change in the family's composition, address or socioeconomic conditions. Every year Cadastro Único manages some 14.4 million updates and/or new entries, equivalent to 25 per cent of the national population.

74 An example of the 2016 data collection form is available at [wpp.org.br](http://wpp.org.br).

## How data is transferred

The current Cadastro Único system is 100 per cent online, and all Brazil's municipalities have access to the internet. From the time the data is entered in the system it can be viewed in the national database by all the operators that use the system.

## How Cadastro Único information is used<sup>75</sup>

Cadastro Único is a powerful source of information for research and other public policies aimed at improving the quality of life of the most vulnerable segments of Brazil's population. However, only recently have large efforts been made to ensure that Cadastro Único data can easily be consulted and used. Before 2012 it was not possible to generate detailed reports for the managers of social policies, and information could not be easily accessed by the states, municipalities and other partner agencies of the MDS.

In 2012, the MDS requested the Secretariat for Evaluation and Information Management (SAGI) to create a Cadastro Único data visualiser: the Information Consultation, Selection and Extraction Tool (CECAD). In under a year the tool was operational, enabling managers to identify previously undetected problems resulting from unsystematic use of the database. Currently it receives around 500,000 visits and a total of over 2 million queries a month by, among others, researchers; federal, state and municipal managers; the electricity utilities; and the National Social Security Institute.

The CECAD makes it possible to tabulate the data of enrolled families based on a single variable, or by cross-referencing two variables (e.g. details of income, education, family members). CECAD data are extracted monthly from the Cadastro Único database and the PBF payroll. Access to the data is granted based on the user profile (e.g. municipal managers can only view their municipal data) and is password secured.

SAGI has also developed an application known as the Cadastro Único Data Tabulator (TabCad). This password-free application allows free access to the tabulator, the simple frequency and the summary features of CECAD.

## Data security and privacy

Considering Decree 7,724/2012, which regulates Law 12,527 of 18 November 2011 (Access to Information Act), personal information relating to intimacy, private life and the 'honour and image' of citizens contained in administrative records maintained by the government is restricted and can only be disclosed if there are legal provisions for doing so or with consent of the persons to whom the data refer. Thus, bodies and entities of the government must ensure the protection of personal information that is of restricted access. Different levels of access apply.

- » Access is facilitated for public or private institutions legally responsible for the implementation of social programs.
- » Other institutions need to submit a formal request that clearly identifies the purpose of the use of such data.
  - If the request is from the judiciary or oversight bodies, it must be made by official letter, and the applicant must be informed of the restrictions and responsibilities regarding the use of the information.
  - International organisations, civil society organisations and private companies may have access to information from the registry via technical cooperation agreements.
  - Research institutes or autonomous researchers need to submit their research project to the institution managing Cadastro Único.
- » Non-personally identifiable information from persons and families may be granted upon a formal request that identifies the purpose of using Cadastro Único data.

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75 For detailed information on CECAD, see [wpp.org.br](http://wpp.org.br), the main source for this section.

## Budget

Funding for Cadastro Único is provided at the federal level, while municipalities and states also use their own resources for the management of Cadastro Único at the local level.<sup>76</sup> Between 2005 and 2010, the MDS also signed loan agreements with the World Bank and the Inter-American Development Bank.<sup>77</sup>

The goal of both projects was to support the MDS in strengthening its institutional activities, including strengthening the registry, developing a system for monitoring and evaluation, promoting training activities and giving support to complementary policies and programs. Currently, MDS is signing a second agreement with the World Bank for the implementation of a technical support project called 'Consolidation of the PBF and Support to the National Commitment for Social Development'.

## Main challenges and lessons learned

Over the years Cadastro Único has faced and solved several challenges, discussed in the sections above. This concluding section discusses the ongoing issues Cadastro Único is facing as it strives to increase integration across the social sectors:

- » Lack of a common national identification number (Brazil currently has multiple sources and registries of personal data) limits the extent of automatic integration with external databases.
- » Further development is needed to enable automatic and online database linkage with user programs (web services, database synchronisation/import). Currently Cadastro Único provides data to a wide range of programs but does not have an overview of who is receiving what as those programs do not share their beneficiary lists back (with the exception of Bolsa Família).
- » Linked to the above, policy programming could be further integrated to offer single-window access to all social assistance programs through the Cadastro Único database, while also integrating key operations (most importantly M&E and planning) and services — ultimately increasing inclusiveness and responsiveness of social policy and addressing households' changing vulnerabilities during the course of their lives.
- » Connectivity and technology gaps in several regions of the country, especially in the north, have created problems given that the whole system is managed online.
- » Reducing data collection efforts: the current questionnaire is very long and the burden on the individual applicant is high. Further integration with existing databases could help to streamline the process.

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76 To fund activities related to the Unified Registry at the federal level, there is Budget Provision 6414. The purpose of this provision is to fund the planning, coordination, monitoring, support and maintenance of the registration of families in Cadastro Único, ensuring the quality of information and the uniqueness of records. In addition, Budget Provision 6414 aims to support the collection, updating and maintenance of the information that makes up the Unified Registry; achieve integration with other registration databases; and encourage the use of the Unified Registry by social programs of the federal government. There are two other budgetary provisions directly related to the Unified Registry: Provision 6524, 'Concession, Arrangement, Maintenance, Payment and Termination Services for Direct Cash Transfer Benefits', which comprises the services agreement with Caixa; and Provision 8446, 'Support for the Decentralized Management of the Bolsa Família Program', which is to strengthen shared management with states and municipalities through the transfer of financial resources based on quality indicators for municipal and state management.

77 World Bank agreement 'Bolsa Família Program' and Inter-American Development Bank agreement 'Social Protection System Support Program'.