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**FACTORS UNDERMINING THE EFFECTIVENESS OF SOCIAL
PROTECTION PROGRAMMES AS A POVERTY ERADICATION
MECHANISM IN KENYA**

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MDF / 102363



**A RESEARCH DISSERTATION SUBMITTED IN PARTIAL FULFILLMENT
FOR THE DEGREE OF MASTER OF SCIENCE IN DEVELOPMENT FINANCE**

STRATHMORE UNIVERSITY BUSINESS SCHOOL

OCTOBER, 2021

DECLARATION

I declare that this work has not been previously submitted and approved for the award of a degree by this or any other University. To the best of my knowledge and belief, the thesis/dissertation (use as appropriate) contains no material previously published or written by another person except where due reference is made in the thesis/dissertation itself.

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ABSTRACT

Social protection has become a fundamental focus of governments and policymakers to eradicate poverty. They are key in protecting vulnerable and marginalized population from sinking into absolute poverty and thus evolved from emergency and disaster interventions to long-term policies for social and economic inclusion, human development, and poverty eradication. To this end, the Kenyan government has made significant investments in this agenda, but poverty remains prevalent in the economy. Hence the objective of the study was to investigate the factors undermining the effectiveness of social protection programs as a poverty eradication mechanism in Kenya. The study used a mixed-method research design to conduct the study. Feedback was sought from key informant interviewees who were experts in their field. The findings indicated that there was still insufficient coverage of the social protection programs due to the skewed dispersion of the programs. This can be attributed to insufficient targeting mechanisms and designs. ASAL region is among the worst affected due to the logistical challenges of reaching them to create awareness. The findings also indicated that despite the programs role to create a safety net, the amount offered is insufficient and unreliable. Amongst the recommendations shared is scaling up of social protection programs using robust targeting mechanisms as well as sustainable investments of the social protection funds to increase its reliability and effectiveness in helping to combat poverty.

Keywords: *Social protection, safety net, non-contributory, poverty eradication, marginalized and vulnerable groups,*

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LIST OF ABBREVIATIONS

CCI	Comprehensive Community Initiative
CT-OVC	Cash Transfer for Orphans and Vulnerable Children
EU	European Union
GDP	Gross Domestic Program
HDI	Human Development Index
HSNP	Hunger Safety Net Programme
KIHBS	Kenya Integrated Household Budget Survey
KNBS	Kenya National Bureau of Statistics
NGEC	National Gender and Equality Commission
NGO	Non-Governmental Organization
NSNP	National Safety Net Program
OECD	Organization of Economic Corporation Development
OPCT	Older Persons Cash Transfer
PASGR	Partnership for African Social and Governance Research
PSNP	Productive Safety Net Program
PWSD-CT	Persons with Severe Disabilities Cash Transfer
SID	Society for International Development
SDGs	Sustainable Development Goals
SP	Social Protection
SSN	Social Safety Net
SDSP	State Department of Social Protection
SSNPs	Social Safety Net Programs
UNDP	United Nations Development Programme

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DEDICATION

I would like to dedicate the project to the unending support from family, friends, and colleagues. The encouragement and cheerful support were a motivation to finish the program.



DEFINITION OF KEY TERMS

Social Protection

These are public or private initiatives that provide income or consumption status and rights for the marginalized, with the overall objective of reducing the economic and social vulnerability of poor, vulnerable, and marginalized groups.

Poverty

The deprivation in the well-being, comprising several dimensions such as low income, inability to acquire the essential goods and services necessary for survival with dignity.

Contributory:

Term used to describe social protection programs where the beneficiaries financially contribute towards the scheme. They include social insurance interventions such as pension schemes (e.g., NSSF) and health insurance schemes (e.g. NHIF)

Non-Contributory:

Term used to describe social protection programs offered by government and Non-Governmental Organizations to the poor and vulnerable groups without contribution to benefit. They are provided either in cash or in-kind and intended to support the beneficiary households exposed to idiosyncratic and covariate risks and lack sufficient coping mechanisms or resources to mitigate the impacts.

CHAPTER ONE

INTRODUCTION TO THE STUDY

This chapter presents the introduction to the study. It contains the study's background, a brief on the main components of the study, the statement of the problem, the research objectives, research questions, scope, and significance of the study.

1.1 Background to the study

The World Bank defines poverty as: "Deprivation in well-being comprising of many dimensions including; low incomes, inability to acquire the basic goods and services necessary for survival with dignity." Absolute poverty, therefore, is a condition characterized by severe deprivation of basic human needs, including food, safe drinking water, sanitation facilities, health, shelter, education, and information. It depends not only on income but also on access to services (UNDP, 1995). Sustainable Development Goal (SDG1) is the end of extreme poverty in all its manifestations globally by 2030. However, 401 million people in Sub-Saharan Africa live below \$1.90 per day, considered the poverty threshold (Kose & Ohnsorge, 2021). The gravity of this problem necessitated a global cause to eliminate poverty and accord a universal basic minimum standard of living. At the heart of the establishment of the SDGs was a firm commitment to eradicating poverty in all its forms (UNDP, 2017). However, by 2019 the UNDP report indicated that despite the continued decline of extreme global poverty, the pace had slowed. The slow progress was an indication that the world was not on track to achieve its optimistic target of reducing it to less than 3 percent only of the world living in extreme poverty by 2030.

While there has been progressing improvement of socioeconomic conditions, poverty and vulnerability remain pervasive in Africa. This is because of high population growth; the indigent poor rose from about 280 million to 390 million between 1990–2013 despite the falling poverty rate (Beegle, Honorati & Monsalve, 2018). The extreme statistics highlight the critical challenge facing efforts to reduce poverty and share prosperity in Africa. Minor household shocks might have a catastrophic impact if they are harmful and would likely sink families into extreme poverty if they were close to the poverty line (Dang & Dabalén, 2018).

Social protection programs are considered the primary tools for combating poverty by both government and development partners. Devereux and Wheeler (2004) define social protection as “All public and private initiatives that provide income or consumption transfers to the poor, protect the vulnerable against livelihood risks and enhance the social status and rights of the marginalized; with the overall objective of reducing the economic and social vulnerability of poor, vulnerable and marginalized groups. “They can either be contributory or non-contributory. Non-contributory benefits are provided either in cash or in-kind and intended to support the poor and the vulnerable households exposed to idiosyncratic and covariate risks and lacking sufficient coping mechanisms or resources to mitigate the impacts. The contributory schemes include social insurance, such as pensions and health insurance, and labor market policies and programs where the beneficiaries contribute towards the program (Beegle et al., 2018).

The World Bank social protection strategy framework (2012-2022) highlights the broad objectives of social safety nets as improving resilience, equity, and opportunities of households (World Bank, 2012). Resilience is achieved if well-designed and well-implemented social safety nets help individuals insure against risks (such as illness and natural disasters) and avoid negative coping strategies like child labor. The equity objective of social safety nets aimed to ensure that even the most vulnerable and poorest households reach a minimum level of consumption and cover their basic needs. Some social safety net programs, such as public works, have been designed to promote income-generating opportunities and create productive links within local economies (Fiszbein, Kanbur, & Yemtsov, 2014). However, according to UNDP (2019), social protection is still limited to the vast majority of the world’s population. In 2016, 55% of the world population was not covered by any social protection program. A further breakdown of this statistic indicated that 87% of the population in Sub-Saharan Africa was without coverage compared to only 14% non-coverage in Europe and Northern America.

1.1.1 Social Protection and Poverty Eradication in the Kenyan Economy

According to Kenya Integrated Household Budget Survey (KIHBS, 2016), the overall poverty headcount rate for individuals at the national level was 36.1 percent in 2015/16, implying that 16.4 million individuals lived in overall poverty. The highest overall poverty incidence was in rural areas, where 40.1 percent of the residents were considered as overall poor compared to 27.5 percent

in semi-urban and 29.4 percent in core-urban areas (WorldBank, 2019). Further analysis indicates that 27.4 percent of households lived in overall poverty. At the national level, the hardcore poverty headcount rate for individuals was 8.6 percent in 2015/16. This implies that 3.9 million people lived in conditions of abject poverty and were unable to afford the minimum required food consumption basket. Rural areas recorded the highest incidence of extreme poverty, 11.2 percent representing 3.2 million individuals (World Bank, 2018).

Kamerman and Gabel (2007) account that most OECD and EU countries provide a diverse spectrum of non-contributory social protection measures, including cash or tax benefits and services for families, cash benefits for those with minimum income programs, subsidized housing, special cash and tax benefits for single parents, benefit maintenance for child support, employment-related benefits, such as minimum wages or tax benefits, credit targeting pensioners, child care benefits, child trust funds among others. The range of social protection programs is broad and advanced for developed economies. However, most of the recent upspring of social safety net programs (SSNPs) have occurred in Africa (Cirillo & Tebaldi, 2016). Mauritius was the first country in Africa to introduce a social safety net program, in 1950, in the form of disability pensions and basic noncontributory allowances for widows and guardians of orphans. The number had risen to 18 countries by 2000, then to 32 by 2008 at the onset of the economic crisis, to 36 in 2010, and to 45 in 2017 (World Bank, 2018).

The World Bank report (2018) on the state of social safety nets indicated that developing and transition economies spend 1.5% of GDP on SSNPs, translating to US\$ 16 per citizen annually. In Kenya, the government has made social protection a priority in its policy and programming, rolling out initiatives through programs such as cash transfers (conditional and unconditional cash transfers). Conditional cash transfers aim to reduce poverty by making welfare programs conditional upon actions by the beneficiary, where beneficiaries attest to improved household food security, retention of children in schools, access to basic health care, enhanced social support networks, self-esteem, and dignity. Unconditional cash transfers do not require beneficiaries to perform any specific actions to be eligible for the benefit. However, these programs may require beneficiaries to meet specific criteria or have a certain status to be eligible; for example, a household must be below a poverty threshold for a poverty-targeted benefit.

In most developing economies, public works have been the most dominant in targeting long-term economic impacts. Like other safety net programs, public works offer income support and smooth consumption in the short term; additionally, it creates productive assets such as infrastructure that contribute to improved economic standards over the long term (Beegle et al. 2018). The most extensive public works programs in developing countries include the Productive Safety Net Program (PSNP) in Ethiopia, the Employment Guarantee Scheme in Maharashtra, and the National Rural Employment Guarantee Act in India. In Africa, 29 of the 48 countries implement public works, though not necessarily on a large scale (Subbarao, Del Ninno, Andrews & Rodríguez-Alas, 2013). In these programs, the beneficiaries are expected to work to earn, and thus they participate in developing local economies by building roads, schools, irrigation schemes, housing plans as they earn their livelihoods. These initiatives have more sustained long-term impacts than the mere cash transfers, which are more or less considered handouts and, in some instances, encourage laziness. Blattman and Ralston (2015) further emphasize that the public works programs can effectively stimulate failing local economies and tap on potential high-risk groups, such as unemployed youth. Such initiatives include the Kazi Kwa Vijana program in Kenya. However, Khan and Arefin (2013) observe that these programs in developing economies tend to be short-term and sometimes prove unreliable.

Before the 2010 constitution, Kenya's social security structure was lacking, especially the non-contributory schemes. Instead, several separate laws without clear, centrally coordinated policy locus was made over the years since independence covering special categories of people and some aspects of social security (Hakijamii Trust, 2007). However, it changed with the promulgation of the new constitution, where social protection is widely regarded as a means of poverty eradication and human capital development. The Constitution of Kenya (CoK, 2010) under Article 43 (1) delineates a person has the right; “to the highest attainable standard of health, which includes the right to health care services including reproductive health care,” “to be free from hunger, and to have adequate food of acceptable quality,” the right “to social security,” and the right “to education.” It further emphasizes that the state must provide appropriate social security to people who cannot support themselves and their dependents, which is accomplished through the social protection framework.

Social pensions such as National Social Security Fund (NSSF) provide social security protection to formal and informal workers in the form of lump-sum payments upon retirement. Other government programs include the social health insurance programs like the National Health Insurance Fund (NHIF) that subsidizes the health cost for its members; non-governmental social protection programs assume different forms such as cash-for-work, food-for-work, food-for-training, or food-for-assets. They are supplemented by Emergency programs that also provide support in terms of cash in kind, food, and clothing in the event of natural shocks and calamities such as drought, floods, war, food crises, and economic downturns. The impact of these programs has extended not only to new coverage like the school feeding and subsidy programs for orphans and vulnerable children, but also persons with severe disabilities and older persons that form part of social protection (PASGR, 2017). NSSF which is the largest social insurance scheme in Kenya was created in 1965 by an Act of Parliament Cap 258 of the laws of Kenya but has been amended severally, with the latest amendment incorporated in 2013. Under the scheme, both the self-employed and employed and their respective dependents qualify as contributing members. However, participation by both employees and employers is mandatory. NSSF has set two funds, i.e., provident, pension funds, and the investment portfolio, including equities, fixed income (bonds), and real estate, which generate income to pay out benefits (NSSF, 2019).

According to World Bank (2015) progress report on the safety net programs, Kenya's main cash transfer programs are encapsulated in the National Safety Net Program (NSNP) established in 2013. The transfers include Older Persons Cash Transfer (OPCT): The OPCT program aimed to strengthen the capacity of older people and improve their livelihoods. The program targets impoverished households that include a member aged 65 or older who does not receive a pension. Cash Transfer for Orphans and Vulnerable Children (CT-OVC): The CT-OVC program aims to improve the welfare of poor households caring for orphans and vulnerable children (OVCs) and reduce poverty among the poorest segments in society. The program's main activity is providing cash payments to poor households caring for OVCs for their upkeep and education. Persons with Severe Disabilities Cash Transfer (PWSD-CT): The PWSD-CT program aims to provide immediate relief from extreme poverty to people with severe disabilities while enhancing their fundamental rights by providing regular cash transfers. The program targets people with severe disabilities who are unable to look after themselves and require a caregiver. The Hunger Safety

Net Programme (HSNP): The HSNP aims to reduce poverty in the drought-prone arid and semi-arid regions of northern Kenya by delivering regular cash transfers to impoverished households. It is important to note that the Urban Food Subsidy (UFS) program was closed from 2014/2015 to prioritize the other cash transfer programs.

According to a Devereux (2011) study on safety net programs implemented in South Africa, social safety nets can reduce chronic poverty in two ways. First, safety nets can contribute to the capital formation (asset creation) in several ways (i) by improving the nutritional standards of the beneficiaries, thus contributing to improving their labor productivity; (ii) by building human capital through investing in education. Mariara (2013) conducted a study on cash transfers, and the findings indicated that the program positively influenced asset accumulation by women and enhanced children's school enrolment. However, there are challenges in the implementation and reach of the programs, with none of them attaining universality. The success of the program penetration indicates that social assistance programs, mainly in the form of cash transfers, have reached about 813,381 households nationwide and distributed from the National Social Security Fund with 4.6 million members and the National Health Insurance Fund that covers approximately 2.7 million contributory members (KNBS, 2020).

1.1.2 Factors Undermining Effectiveness of Social Protection Programs

The ILO (2019) affirms that while there have been significant advances in the adoption of social protection programs around the world, at least 55% of the world population do not have access to at least one social protection benefit. In Europe and Central Asia, social protection access reaches about 84% of the population. However, in Latin America, only 64% of the population can access effective social protection programs, 39% in North Africa, 37% in Asia and the Pacific, and 17% in Africa (ILO, 2019). Enriques (2020) attributes this difference to their designs, the capacity of the states implementing them, and the context in which they operate. This implies that different states will always have different rates of penetration and that country dynamics are essential considerations when designing and implementing social protection programs.

In Vietnam, Duong, Linh, and Thao (2016) argued that migrants were excluded from social programs due to a lack of adequate policies and institutional programs addressing social protection inclusion for migrants. In the Lao People's Democratic Republic (Lao PDR), the health protection

programs face the challenge of poor accountability and lack of professional program managers. According to the Street Action report (2010), although social welfare services have a noble goal, they often fall short of meeting their goals since some of the services provided are not well-coordinated, monitored, or evaluated for quality. Skhosana, Schenck, and Botha (2014) found out that social welfare delivery was hindered by lack of sufficient funds/resources, lack of stable workforce, insufficient collaboration with and support from government departments of social development, and ineffective enforcement of legal provisions. In Nigeria, Tormusa and Idom (2016) established that corruption was a significant impediment to the delivery of health services. Corruption led to increased cost of programs, acquisition of sub-standard medicines and equipment, incompetent employees, and violation of individual rights. In Indonesia, Kwon and Kim (2015) determined that politicians took advantage of cash transfer programs to mobilize political support for themselves; redirecting funds to populist zones to gain political favor was associated with reduced coverage and misallocation of funds. Otero (2014) asserts that while the government and donors provide the funds to run social protection programs, the amount of aid available is lost before getting to intended beneficiaries leading to donor frustrations. The situation has been worsened by the widening fiscal deficits experienced in developing countries which make these program to have monetarily competing interest with other government projects

Okungu, Chuma, Mulupi, and McIntyre (2018) reported that Kenyan universal health coverage had been hampered by the measures to increase mandatory prepaid policies in an economy where a large section of the employment is in the informal sector. Poor governance culture was also associated with the negative performance of UHC goals. From the above review, it is clear that various factors affect the effectiveness of social protection services. This study will adopt variables from Gray's (2016) handbook of social work and social development in Africa. These include the extent of social services coverage, targeting policies, financing mechanisms, and program design. It will also assess measures for facilitating sustainable social services work which includes but are not limited to strengthening policy and institutional frameworks, improved monitoring and evaluation practices, and enhanced human resource capacity.

1.1.2.1 Coverage

For the various programs implemented around the world, the issue of coverage and impact is crucial (Nizar & Rasheed, 2016). Coverage is defined by the diversity of the programs, geographical outreach, and actual beneficiaries from these programs. On the other hand, Impact is determined by the number of people who have been able to reduce their susceptibility in reality as an outcome of the programs (Selwaness & Messkoub, 2019). High levels of coverage and actual benefit levels translate to reduced incidence of poverty and vulnerability. On the contrary, low coverage levels paired with low levels of benefits lead to negligible results in reducing poverty and inequality (World Bank, 2018). The study further asserts that coverage of the poor is typically greater in areas with widespread general population coverage. In low-income countries, SSNPs cover only 18% of the poorest quintile, while the average transfer covers only 13% of the lowest quintile's consumption. This low level of coverage has jeopardized the programs' efforts to combat poverty. According to Dau (2003), Kenya has made significant strides with the contributory social insurance cover (National Social Security Fund), which covers about 10.6 percent of the population. However, the non-contributory schemes, e.g., cash transfers, remain largely fragmented and poorly coordinated with different implementation arrangements, leading to various inefficiencies and low coverage.

1.1.2.2 Targeting

Closely related to coverage is the aspect of targeting, where in most countries, low coverage of the vulnerable population is a result of inadequate targeting mechanisms. According to Holzmann, Robalino, and Takayama (2009), targeting non-contributory social protection programs is concerned with who is to be reached, why they are selected, and what approaches are used to do poverty assessment and social categorization. Devereux (2011), in a study on social transfers in South Africa, concluded that despite improved efforts in social welfare initiatives, the social assistance schemes covered only 22 percent of the most impoverished persons in households with children. Similar findings related to the problem of targeting were found by Gassmann and Notten (2008), where poor households often fail the means test (based on income, property, consumption, or a combination of all three requirements), leading to the exclusion of the disadvantaged population deserving of social assistance and inclusion errors of those not so deserving.

1.1.2.3 Financing

Whether economic or developmental, finances contribute to the quality of projects by enabling access to qualified personnel, relevant technology, appropriate materials, and community support (Barrientos, 2013). Secure financing goes hand in hand with managing program costs and budgets throughout the project's phases to ensure that expected results and benefits are yielded within the predetermined resource constraints. Program funders tend to prefer financing short-term specific issue projects since they have a higher impact; however, effective aid usually requires core unrestricted funding over a longer period to strengthen local institutions (Holzmann et al., 2007). According to a World Bank report (2015), African countries spend an average of around 1.2 percent of GDP on social safety nets, compared with a global average of 1.6 percent in the developing world. This represents about 4.6 percent of total government expenditure. Like their developed nations counterparts, African governments acknowledge that expanding the scale of social safety nets to cover most of the poor and vulnerable requires a solid commitment to prioritize social safety nets in national budgets to realize allocative and administrative efficiency gains. However, this is not translated to the devolved units like county governments with comparatively limited resources and greater difficulty accessing funding sources.

1.1.2.4 Program Design

Alam and Hossain (2016) assert that program design is a critical factor in the implementation of social protection programs as it provides the structure of the programs and presents what has to be achieved in terms of goals of the program, how it is to be implemented and the means of verifying progress. As highlighted by Barrientos and Hulme (2008), most of the social safety net programs in Africa have been designed to be short-term measures that have proved to be unsustainable and have a minimal long-term impact on human economic development. The interventions are majorly disaster responses in humanitarian assistance such as food aid and famine relief. On the same wavelength, most education-oriented social protection programs are oriented towards the attainment of school enrolment but have little focus on the quality of education. These countries have made tremendous progress in reducing the gap with developed countries in terms of minimum school attainment. However, Hanushek (2013) warns that focus should shift from quantitative to qualitative aspects of education since it is only through improving knowledge, skills, and human

capital capacity that we would see long-term economic development. The programs need to extend their objectives from the attainment of minimal education to offering skills and training programs that can enable participants to absorb and adapt to the fast-evolving economy quickly. Evidence has it that social assistance programs can be not only efficient responses to vulnerabilities but also an investment in development if properly designed, carefully selected from the set of possible social protection approaches, and tailored to specific needs (Grosh et al.2008).

1.1.3 Measures of Enhancing Social Protection Programs

Human challenges in the 21st century are evolving, and it is necessary to design comprehensive social protection strategies that can strongly support proactive measures to avoid, minimize and address the complex, long-term impacts of poverty on human health, livelihoods and inequality. According to Aleksandrova (2019), to improve the effectiveness and extend the coverage of existing social protection systems, it is necessary to integrate climate concerns into national social protection frameworks, integrate social protection with broader climate and development policies and strategies, and develop innovative and transformational approaches to social protection. Medvedeva and Shimanovskaya (2020) report that the qualities, knowledge, and skills of a service institution's managers are key to improving the effectiveness of social service since they form the basis for implementing state social policy. Terziev (2019) prepared an assessment tool that could assess the effectiveness of social programming and noted the importance of assessing the quality of human resources involved with the execution of social policy goals, noting that their planning and coordination, coupled with population knowledge, were key to improving the effectiveness of social services.

In Burkina Faso, a study by Diasso, Doudou, Levrak, Sedutto, and Savadogo (2021) determined that the country's Multi-Sector Nutrition Plan could be enhanced by improving the distribution of qualified technical agents to cover all villages within the municipalities since the transfer of nutrition technical competencies rely on agent actions. Inadequate skills resulted in a lack of expansion of social services such as water and sanitation, health, agriculture, and livestock. Okungu, Chuma, and McIntyre (2017) reported that a tax-funded system would be less costly and more sustainable in the long-term than an insurance scheme approach to provide quality and equitable health services and protect populations from impoverishing health care costs. The study

noted that the sustainability of healthcare programs could be improved through formulating and implementing alternative funding mechanisms.

1.2 Statement of the Problem

The Kenyan government has made significant budgetary allocations towards social protection programs, and specifically, the expenditure on safety nets has risen rapidly in recent years. A review of Kenya's Budget from the national treasury (2005-2019) data indicates that between 2005 and 2010, total spending on safety nets increased from Sh 11.9 billion to Shs.20.5 billion (KNBS, 2020). In the 2017/2018 budget, Sh 24.2 billion was earmarked for social protection programs, accounting for 2% of the overall budget. There have been increasing investments towards poverty alleviation over the years. However, according to Kenya Integrated Household Budget Survey (2015/16 KIHBS), the overall poverty headcount rate for individuals at the national level was 36.1 percent in 2015/16, implying that 16.4 million individuals lived in overall poverty. A survey done by Afro Barometer on lived poverty index, which is a measure of the frequency with which people experienced shortages in basic needs, indicated that up to 2015, Kenya was making steady progress in improving the living standards of the poor but has since declined. It had increased between 2015-2019; a trend matched by consumption-based estimates of poverty by the World Bank. According to the survey, "lived poverty" is once again on the rise, diminishing progress made so far. Kenya's financial year 2014/2015 recorded a lived poverty index of 0.93 out of a crest of 2; however, three years later, in the financial year 2018/2019, Kenya's lived poverty index had shot to 1.03 (Mattes, 2020). Despite the increased investment in social protection programs, we are experiencing a slowly increasing trend in lived poverty.

Social protection interventions in poverty alleviation appear to correlate with increased investment in social protection and poverty reduction positively. Khaleque, Bubarna and Baqui (2008); Arjona, Ladaique, and Person (2003); Holzmann and Grosh (2008); Banerjee et al. (2018); Devereux (2011) recognizes social safety net programs as good public policies that assist households and communities in managing their risks better and supporting the critically vulnerable. Mariara (2013) investigated the role of social protection on the welfare of vulnerable groups in Kenya with a further analysis of the impact on children's education and asset accumulation by women. The study concluded that cash transfers positively influenced asset accumulation by women and enhanced children's school enrolment though not adequately. Owele

(2013) discussed the contributions of contributory social insurance schemes (NHIF and NSSF) on national economic development and concluded that there are so many uninsured risks and inequality that there is a need to adjust policy frameworks and sought other alternatives in making factor markets work for the poor. The conclusions of these studies point out that social protection programs face certain limitations when it comes to poverty eradication. This is the gap that this study aimed to fill; to explore factors undermining the effectiveness of social protection programs as a poverty eradication mechanism in Kenya and come up with recommendations for possible solutions.

1.3 Research Objectives

1.3.1 Main Objective of the Study

The broad objective of this study is to find out the factors undermining the effectiveness of social protection programs as a poverty eradication mechanism in Kenya.

1.3.2 Specific Objectives

- i. To explore factors undermining the effectiveness of noncontributory social protection programs in Kenya.
- ii. To analyze the measures of enhancing noncontributory social protection programs and provide recommendations.

1.4 Research Questions

The study sought to answer the following research questions:

- i. What are the factors undermining the effectiveness of noncontributory social protection programs in Kenya?
- ii. What are the measures of enhancing noncontributory social protection programs?

1.5 Scope of the Study

The study focused on non-contributory social protection programs in Kenya. As part of the initiatives to enhance and integrate non-contributory social protection in the country, the government established the National Safety Net Program (NSNP) in 2013, overseen by the

National Social Protection Secretariat. The NSNP plays an integral role in spearheading the government's efforts in reducing poverty and the population's vulnerability to economic, social, and natural shocks and stresses. It is the single most extensive social assistance program with an annual budgetary allocation. Programs encapsulated include cash transfer programs: cash transfers for orphans and vulnerable children, old persons' cash transfer, persons with disabilities cash transfers, and hunger safety net program.

1.6 Significance of the Study

1.6.1 Policy Makers

This study would add value to policymakers and implementers by providing more insight and understanding of the challenges facing the implementation of social protection programs, thereby informing policy adjustments that can be made to enhance the effectiveness of the programs to have more robust outcomes.

1.6.2 Government

By analyzing and conceptualizing stakeholder perceptions and feedback, the study's findings can assist government agencies in rethinking long-term strategies for fighting poverty. The study would provide insight into whether continuous periodic transfers are the best method for uplifting the livelihoods of vulnerable and marginalized groups or whether there are more effective mechanisms for accomplishing this goal.

1.6.3 Researchers

The study opens up other areas of research in the field of social protection. Scholars can further research the most effective solutions to these problems by highlighting the challenges to foster socio-economic independence.

1.6.4 Theoretical contribution

This study contributes to theory by affirming the Program Theory's assertions that program success is dependent on how they are designed, how the main proponents address its goals, benefits, and involved players. This study also affirms that there exists a significant relationship between program design, financing and coverage and its success or failure rate.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The literature review provides a systematic and critical analysis of relevant information relating to the role and implementation of social protection in poverty eradication. The chapter is structured in different parts, including a theoretical literature review, an empirical literature review, and a further contextualized summary of the literature.

2.2 Theoretical Literature

Theoretical literature provides the foundation upon which the study is based. It introduces and describes the theories that explain why the research problem under study exists and the relevance of each theory to this study. Hence the theories discussed herein provide the framework upon which social protection is established, implemented and limitations in their execution.

2.2.1 Kaldor-Hicks Compensation Criterion

The theory was propounded by Nichola Kaldor and J.R Hicks in 1939 as a basis for adopting an efficient welfare criterion. The theory hinges on changes in economic conditions that occur, making some individuals better off while a different group becomes worse off. If it occurs, then an increase in social welfare would occur if the gainers in welfare compensate the losers to an extent. This theory was developed from the Pareto optimality principle, where one individual cannot be made better off without making another worse off. Hicks presents the same criterion in a little different way, thus: “If A is made so much better off by the change that he could compensate B for his loss, and still have something left over, then the reorganization is an unequivocal improvement.”

Thus the Kaldor Hicks criterion implies that if an economic change leads to the production of more goods and services, they can be so distributed as to make some people better off and none worse off. The government has the responsibility of ensuring social protection to its citizenry. It ensures that it efficiently plays the resources redistributive role. Social protection programs have operationalized this concept such that public expenditure on the social welfare of the poor is a

redistribution mechanism. However, it does not directly take away from the affluent and give the poor; instead, the government takes from the relatively unorganized citizenry, including the general taxpayers and consumers. It then invests in the more organized vulnerable groups, which include the elderly, marginalized communities, orphans, and vulnerable children, unemployed youth, and women who, in the end, become more productive and can participate in the labor market, thus contributing to the economy (Lee, 2008).

The government has an extensive reach through social protection programs, and they can be instrumental in eradicating poverty in the country. The vulnerable members of the society can be protected from falling into extreme poverty by using these programs. The evaluations of social protection programs such as the cash transfers have indicated a positive influence on household production whereby there are shifts to agricultural high-value crop production that is sometimes commercialized as well increased consumption (World Bank, 2018). This would mean social protection programs benefit both the poor and the rich through the compensation criterion.

Arjona et al. (2003) assert that increasing income alone is not sufficient; hence investments in programs that enhance human development such as education and nutrition of vulnerable children would have long-term effects on their social and intellectual development. In conclusion, through the compensation criterion, social protection promotes a more inclusively empowered society that can take part in the market economy, tapping on the potential of the presumably left out bottom of the pyramid faction of the society. Hence this theory forms the basis for examining public expenditure on social protection programs, thus addressing financing and goal realization of social protection programs.

2.2.2 Program Theory

The theory was propounded by Bickman (1987) and provided a framework for understanding a program's success or failure. It provides the underlying assumptions that explain why planned activities should achieve the desired impact. The program hypothesis has been utilized to manage assessment for a long time; it demonstrates the program's ability to fix an issue by tending to the requirements in the need appraisal. It additionally offers instruments to decide territories of effect in assessment.

According to Shearn et al. (2017), program theory manages an assessment by distinguishing key program components and articulating how these components are relied upon to identify with one another. The critical stage for developing program theory is the conceptual stage when setting out the program. This forms the foundation upon which intermediate and final outcomes are determined. It is highly recommended to develop a program theory before the start of any program. However, this is often not the case hence undermining the effectiveness of programs' implementation. Therefore, developing a program theory is necessary when determining why a program is succeeding or failing and which areas of improvement can be done. Lack of developing program theory at the beginning or even during the program operation is precedence for failure.

Ladhani and Sitter (2018) account that specifying a program theory to funders, planners, staff, and evaluators will assist them in carrying out their duties since they know what is expected of them. It explains how funding is being utilized and focuses on the outcomes as it clarifies the program's perspective upon which monitoring and evaluation can be based. A detailed description of the process or mechanisms of the program theory includes information about the critical steps, links, and phases of the expected transformation process and some implementation issues. The output should specify the nature, expected timing, side effects, and pattern of change, as well as interrelationships among outcomes (Chen, 1990).

The government comes with social protection programs as means to protect its citizens from deteriorating living standards. The social protection programs have to be effective if the government is going to implement them. The government, therefore, reviews the effectiveness of the social protection program before their implementations. This ensures that upon rollout, these programs can have the intended outcome envisaged before their rollout. The programs highlight the program activities or input as well as the expected outcomes from the programs. Along these lines, the program hypothesis is characterized by assessment practice as developing a conceivable and reasonable model of how a program should function and recommendations regarding how the programs should be executed.

While many institutions fail to outline the program theory in line with their programs, it explains the challenges that they continue to face in clearly determining the kind of impact they create. The social protection programs from the government and private sector need to be well crafted and

provide a clear roadmap to the number of individuals they help evade poverty. Well, thought-through programs effectively eradicate poverty as they understand the pain points of the vulnerable in society (Ouma & Adésínà, 2018). This theory informs the other variables associated with program design which captures aspects of targeting, coverage, and supporting policies and regulations that enhance program execution through facilitating monitoring and evaluation.

2.3 Empirical Review

2.3.1 Factors Undermining the Effectiveness of Social Protection Programs

Nations recognize that poverty is a multi-dimensional phenomenon that can only be tackled by various solutions ranging from multi-faceted, complex programs to more simple ones like cash transfers (Hanna & Karlan, 2016). The choice of combination of policy interventions that countries choose to implement will significantly depend on their social goals, institutional capabilities, and resources. According to Norton, Conway, and Foster (2001), there is growing interest in implementing social protection programs, and to a large extent, it is a global reaction to various forms of the economic or financial crisis over the 1990s. The proliferation and sustainability of social protection programs to deal with poverty and inequality depend on various factors such as program coverage, targeting, transfer level, and the subsequent benefits accrued, and policymakers need to pay attention to the interaction of these factors when designing the programs (Khaleque et al., 2008).

2.3.1.1 Coverage of the Social Protection Programs

Schmitt (2020) analyzed social protection programs in 100 low and middle-income countries to examine the determinants of inclusiveness of social protection programs. The study was premised on explaining the variation witnessed in the inclusion and coverage of retirement benefits schemes, noting that retirement benefit constitutes the only source of income for old people in many low-income countries. Due to a lack of reliable data on social protection coverage rates, a cross-sectional analysis was conducted. The review noted that there is inadequate literature on why there is a large variation in social programs' coverage. However, it was evidenced that non-contributory systems are more inclusive than contributory ones, especially in countries with high levels of poverty, large informal markets, and low industrialization. The study noted that non-contributory social protection was pronounced in democratic countries with low levels of corruption, while contributory social benefits were expanded by autocratic political leaders. This study did not

investigate whether social protection is an effective instrument for reducing poverty and social inequality.

Ulrichs (2016) carried out a literature review with the aim of investigating the barriers to effective social protection coverage among women, with a particular focus on coverage inclusion for migrant women. The study aimed to develop a way for policy makers to design more flexible social protection schemes that adjust to the particular needs of women in informal work. The analysis revealed that in some cases countries, the problems women face are rooted in the nature of informality, and in other cases, they are gender-specific and addressing the issues needs consideration of these factors. The study affirmed that women immigrants were challenged with low contributory power since they are mostly unemployed, face socio-cultural barriers (marriage, religious barriers, traditions), lack awareness of social help programs, and are faced with administrative barriers. The study noted that addressing these barriers would increase the participation of women, especially migrant women, in social protection programs.

In Mexico, Leslie, Doubova, and Pérez-Cuevas (2019) affirmed that effective coverage estimates combine data on the needs of the population to enable a full assessment of the level of performance of the health system. The study noted the importance of effective assessment of ongoing health coverage estimation, asserting that through effective coverage assessment, health systems can be uniquely placed to identify the regions with the most burdensome disease outcomes and disparity in the distribution of health coverage programs. This study argued that coverage reports in Mexico cater to the needs of more than 62 million beneficiaries and that having an effective coverage monitoring system is key to ensuring equitable and appropriate distribution of social protection programs. Further, effective coverage systems were key in the planning and execution of emergency health support programs.

Bacil and Silva (2020) affirmed the importance of appropriate coverage measurement tools in their book on the development of a social protection coverage toolkit. According to the report, social security coverage is a multidimensional concept with three dimensions; its scope, extent, and level of advocacy. The scope covers the number and types of social security branches or functions accessible to the populations, extent encompasses the number of people covered by the programs, while level shows the adequacy of coverage by particular social protection programs. To this

extent, the researcher affirms coverage planning as an essential component of successful program execution since it enables the program planners to determine the type of protection program needed, who needs it, where these persons are most concentrated, and in what volume the beneficiaries are. The study also associated coverage indicators as essential to monitoring and evaluation committees since the data contained in the coverage reports is used in the preparation of monitoring reports. The report concluded that coverage evaluation toolkits highlight specific needs of different groups and existing protection gaps, enabling the implementation of evidence-based policies that strengthen the national social protection system.

2.3.1.2 Targeting of the Social Protection Programs

Winkler, Bulmer, and Mote (2017) assert that costs and capacity requirements of designing and implementing targeting models that rely on the formal means-testing of households or embody significant conditionality are likely to be prohibitively costly for many countries in Sub-Saharan Africa. Hence, they rely on simplistic proxy or informal assessments such as community-based assessments to base their targeting criteria where sometimes the neediest groups are not reached. Additionally, Wheeler (2018) affirms that proper targeting requires cash transfers to the poor and an assessment of which activities can help the poor transition into a productive economy. This is because the heterogeneity in household type, location, and population group means that a one-size-fits-all social protection program is unlikely to work, especially in targeting eligible households and identifying those able to exit or graduate from a program. Assumptions about similarities within a target group can be misplaced, leading to inappropriate provision for some households and premature graduation for others. Different households need diverse types of support for different lengths of time. A “leave-no-one-behind” agenda requires that a social protection policy sought to coordinate and deliver the appropriate combination of interventions to different population groups in different contexts to ascertain effectiveness in poverty eradication.

Cuesta et al. (2021) reported a lack of development of a comprehensive program for social assistance in urban areas in their study on urban social assistance in Ghana. The study reviewed empirical evidence from multiple countries and identified unique urban vulnerabilities, targeting, and payment levels are the key elements that social assistance planners have to understand to design effective social programs. The study noted that designing social safety programs with rural poverty and vulnerabilities in mind negatively impacts their effectiveness. The urban poor faced

unique challenges such as unemployment, increased food insecurity, and increasing costs of living compared to the rural poor. Further, while social protection programs in rural areas are designed to target smallholder farmers or agricultural laborers, the poor in urban centers are mainly informal workers such as street traders. In urban centers, geographical targeting was noted to be ineffective due to the varying spatial geographies of urban poverty and vulnerabilities. Further, estimating income was ineffective since the informal poor do not have a stable source of income. Community-based targeting was also ineffective due to limited social connectedness between households. Multi-level marketing was also considered ineffective if it contained elements of the challenges of geographical, self, and community-based targeting. The researcher concluded that improved targeting requires an urban-specific targeting policy that incorporates different indicators to identify more accurately the circumstances of Ghana's urban poor.

Cirillo and Tebaldi (2016) carried out an analysis on African social protection programs with the aim of understanding the continent's adoption of social protection interventions and their main design choices and features. To carry out an adequate mapping of African protection programs, the researchers focused on non-contributory programs that target poor and vulnerable households and implemented by governments, at times in partnerships and with technical and financial support from international organizations or non-governmental organizations (NGOs). The analysis revealed that the most frequently implemented program components are unconditional cash transfers, followed by cash-for-work programs, conditional cash transfers, and social support services. Other programs included aspects of food-for-work activities, microfinance programs that aim to relax liquidity constraints to promote income-generating activities, asset input transfers (provision of seeds, farming tools, or fertilizers), and educational fee waivers. The analysis revealed that targeting was a key aspect affecting the delivery of protection programs. Programs were able to apply targeting strategies to reach out to the elderly, sick, women, those with children, and those living with disabilities.

Gentilini (2015) investigated safety net programs in middle- and low-income countries with the aim of detailing the urbanization process, the features of urban poverty, and emerging experiences with urban safety net programs. The study reviewed multidisciplinary literature to examine household survey data and present various case studies from middle- and low-income countries' 'first generation' of welfare programs. According to the findings, urban poor have unique sets of

challenges, thus presenting new opportunities for designing social protection programs in urban centers. Kenya's Urban Safety Net Programme's first geographic targeting was largely unsuccessful since the poor are not distributed along administrative borders. The effectiveness of the program was also hindered by a lack of adequate data on the ideal number of possible/genuine beneficiaries. Another identified challenge is the benefit level. The government allocated similar funding for the rural and urban poor, despite the urban poor facing unique challenges and accounting for 32% more according to the country's official food poverty line. Further, since the poor in urban slums are highly concentrated, the quality of malnutrition programs (hygiene, sanitation, and care) remained unsatisfactory. The study showed the importance of establishing effective targeting to ensure that the welfare programs reach the people that need them the most.

2.3.1.3 Financing of the Social Protection Programs

Finances and capital resources form the epicenter of any program's success or failure, be it social, and they are primarily dependent on support from the central government; have low-income sources from the tax revenue streams at the county level; considering social protection programs are designed to help the poor, remote households, they are best implemented by the devolved units (Gardner et al. 2020). These units have limited innovation in sourcing for more funds, inadequate budget control system, rely on non-experienced personnel, and lack economies of scale in their operations. This, in turn, has affected their operations, quality of delivery, and effectiveness of implemented programs (Schmitt, 2020).

Limited financial resources largely affect the programs in terms of low coverage, operational inefficiencies, and subsequently minimal impact on target groups (Schmitt, 2020). Holzmann and Grosh (2008) also observed that the majority of developing countries face difficulties implementing sound programs due to a lack of control over the source of financial resources. In cases where development partners fund the programs, complete financial control is the only way to ensure that projects meet specified objectives and have long-lasting and sustainable effects on the beneficiaries (Barca, 2016). In the past, most successful poverty eradication programs have multiple funding sources to reinforce certainty and contingency planning for times of shifting priorities. It makes financial sense to try and raise money elsewhere when the primary source becomes unavailable (Kirera, 2012). This requires that every program have sufficient and stable financial resources to achieve the intended goals.

Song and Imai (2019) carried out research examining the long-term and short-term impacts of Kenya's Hunger Safety Net Programme (HSNP). To measure the impact of program participation on the household Multidimensional Poverty Index (MPI), difference-in-difference and propensity score matching estimations were utilized. The analysis showed that participating in the program reduced MPI in a significant way. The study affirmed the important role played by the government in the institutionalization of social protection. However, the short-term focus of the projects and lack of adequate long-term financial planning were reported as the factors that undermined the potential of the program.

Welteji, Mohammed, and Hussein (2017) looked into the contribution of Productive Safety Net Programs in food security on rural homes in the Southeastern part of Ethiopia. The study specifically selected three districts that had been experiencing chronic food shortages for a few years. Logistic regressions were used in analyzing the determinants of food insecurity. From the analysis, it was determined that the program improved food consumption, accumulation of assets and improved the living standards of the poorest members of the districts. The study associated program successes with the age and level of education of the head of the household. However, the program experienced challenges in the form of low provision of funds, limited awareness of beneficiaries who really need the provisions, and poor monitoring and evaluation techniques. The study advocated for increased training in financial management, development of community infrastructures, engagement of beneficiary households in diversified asset-building livelihood strategies, proper targeting to ensure access and exclusion, and increased monitoring.

Nizar and Rasheed (2016) sought after the challenges facing electricity subsidies, health insurance, pensions, and food subsidies instituted by the Maldives government. Specifically, the study sought justification for the increasing expenditure on social protection programs. The study analysis showed that the government may have been too ambitious and had implemented too many radical changes within a short time period. The schemes were too large and lacked proper targeting policies. This led to significant increases in the cost of the projects, threatening the sustainability of the programs. Further, some of the subsidy schemes do not have value to some of the poorest members of the society, highlighting the need for reforms, especially in the essence of expert stakeholder involvement in the whole process of planning, financing, and monitoring to ensure that the beneficiaries receive the subsidies that they really need.

2.3.1.4 Program Design of the Social Protection

Reyes, Tabuga, and Asis (2018) assessed social insurance schemes in the Philippines with the aim of providing insights for the effective design of social safety programs for both genders. The study sought to investigate the profile of beneficiaries, examine factors that prevented the inclusion of some potential beneficiaries to propose a new mechanism for promoting social services coverage. The study determined that in the agricultural and service sectors, men were more likely to access social services nets. However, women had more access to the industry sector than men. Further, married women were identified to have low access to social insurance. Access to remittances was associated with reduced chances to access social assistance for both genders. This study determined that social insurance programs have to be designed with the aim of ensuring that those who have low access to the services but are in dire need of them can have easier access; and these include the less educated, the poor, those reliant on the agricultural sector, and those with informal contracts.

Ghalib, Malki, and Imai (2015) investigated the influence of microfinance programs on the reduction of poverty among Pakistani households. The study collected empirical data from more than 1000 households, and propensity score matching was carried out to select the final sample. The study determined that programs designed by microfinance firms such as savings and training, information provision, financial inclusion, among others, improved household standards. Participating households showed increased access to healthcare services, increased spending on food, education, and clothing. Further, spending was on household improvements such as water supply, roofing, and quality walls. The study implies the strategies adopted by microfinance institutions, such as increasing financial access and providing essential capabilities training and development, were effective in reducing poverty and dependence on financial aid. This study provides national development program designers with a model that can be adopted to enhance the sustainability of social protection programs.

Lemma and Cochrane (2020) investigated social protection programs to determine enablers and constraints of project implementation of Ethiopia's safety net program. The study conducted a household survey in assessing factors that households perceive to support or contain the country's efforts in facilitating the delivery of social protection services, acknowledging that Ethiopia has Africa's second-largest safety net. The analysis revealed that it was paramount that the programs

be designed to ensure that they add value to the community. Other enablers of the program were coordination and synergy among the main players, timely payment of financial support, targeting deserved beneficiaries, and strong institutional capacity. The study, however, reported politics and human interference were limiting the effectiveness of the social support program by locking certain sections of the population away from food distribution programs. The study noted the importance of involving the community in project planning to promote its success since the beneficiaries of these programs are not uniformly distributed, and the issues that need addressing vary significantly.

Beegle, Honorati, and Monsalve (2018) investigated program design across African countries in a paper examining the effectiveness of social safety nets in reaching Africa's poorest and most vulnerable. The study classified social safety net programs into cash transfer programs, school feeding programs, public works programs, education and health interventions, emergency programs, food-based programs, and social pensions. From the analysis, the researcher was able to determine that although all African countries had invested in at least one social safety net program, the problem of increasing poverty was still inadequately addressed. Most programs were targeted at children, the elderly, and rural area residents, with little focus on designing programs that can adequately address the needs of marginalized populations and those in urban centers. However, the researcher reported a significant change in the design of social safety nets in Africa, with the use of cash benefits becoming predominant. Further, the objectives of the programs are also shifting, with the programs expanding to respond to climate change effects and human shocks. The programs are also focusing on developing the capacity of individuals and entire households to enhance self-dependence within beneficiaries. Most countries have also developed tools and systems that can improve the efficiency and coordination of the programs.

2.3.2 Measures of Enhancing Social Assistance Programs

The effectiveness of the programs faces a plethora of issues that undermine the impact that they can have in lifting people out of poverty. As such, this section sought to evaluate the measures of enhancing social assistance programs.

2.3.2.1 Strengthen Policy and Institutional Framework

Widespread evidence on implementation indicates that social protection programs, once adopted, are not implemented as envisioned and do not always achieve the intended outcomes, undermining their effectiveness in eradicating poverty. The problems associated with policy implementation gaps have been widely attributed to several factors, ranging from problematic legislation to flawed program designs and lack of proper governance structure. Developing countries continue to experience these problems in their bid to translate policy into outcomes with poverty persisting (Brooks et al., 2010). According to ILO (2017), effective implementation of noncontributory social protection programs requires a robust policy and institutional framework. However, despite the legal provisions in the constitution entitling the poor and vulnerable to social protection, many developing countries face serious problems in effectively reaching the poor population. This has been primarily attributed to gaps in the policy and institutional frameworks. Weak institutional and policy frameworks have ripple effects on outreach, payments processes, management of information systems, and monitoring and evaluation, negatively affecting the programs' effectiveness.

According to Devereux and White (2010), social protection policies and mechanisms are derived in various ways, but they are most importantly informed and influenced by current socio-political and donor interests. This means that as government and donor interests and priorities shift, the focus of public social assistance may also shift, potentially undermining the objectives of established programs. Further, the policies adopt a top-down approach, which has proved to limit participation and input of beneficiaries, sometimes leading to a wrong fit of social assistance intervention. According to a study conducted in Kenya by the National Gender and Equality Commission (NGEC), only 30% of vulnerable groups had received training on their rights and entitlements, implying that the majority are unaware of social protection policies. The majority of beneficiaries were unaware that they were identified as beneficiaries, and some had no idea how much they were supposed to receive or how often they were supposed to receive it. The study concluded that the lack of sensitization programs to the beneficiaries on the fundamental aspects of the social protection programs accounted for low levels of participation hence limiting feedback to inform policy adjustments (NGEC, 2014). There is a need to link policy formulation,

programming, and implementation such that the policies formulated are informed by evidence to align the needs to the interventions administered.

Desai and Rudra (2019) sought to investigate the effect of trade shifts on social protection allocation to the poor. The study carried out an examination into the depth and coverage of social protection using cross-national, time-series data. This data was sought from reports from 150 developing countries. These reports were for the period 2000 - 2010. From the analysis, it was determined that governments were more incentivized to invest in social protection programs if they were dealing with high volumes of agricultural exports. Social protection programs were less applied in countries with manufacturing trade surpluses. According to the findings, the status of a government is a key predictor of its inclination to support the poor. However, while coverage was noted to be positive in these environments, there were no recorded changes to the volume of support afforded to the poor. Recommendations were for agriculture-exporting to increase social protection since agricultural liberalization in lower- and middle-income countries exposes the poorest to higher risk and uncertainties. Manufacturing-driven economies were advised to increase efforts to expand pro-poor social protections.

Selwaness and Messkoub (2019) sought to provide an overview and assessment of the coverage levels and the benefits adequacy of social insurance (SI) and social assistance (SA) systems in Egypt. The analysis determined that a large section of the informal sector population is completely uncovered by social welfare programs. This is because, during the economic instability in Egypt, the informal sector employment accounted for 75 percent of private sector wage employment and around 85 percent of non-wage employment, with the youth being the main victims. Most of these are not enrolled into the social security system and will not receive any form of pension when they grow old. The failure of social assistance programs has also impacted the level of social insurance. Social assistance was also reported to be highly inadequate, covering less than 10% of the poor and very poor. Further, an inflationary wave that hit the Egyptian economy eroded the value of pensions and increased the headcount poverty rate. The study called for increased focus on developing a comprehensive policy reform that would include most of the poor population segments.

Kaltenborn, Abdulai, Roelen, and Hague (2017) investigated the influence of policy and legal frameworks on the development of national social protection systems. The study collected secondary data from Ghanaian government records. The study considers policy and legal frameworks to be crucial for the creation and implementation of social protection systems. While national policies and strategies help in institutionalizing social protections, legal frameworks serve to formalize the rights base for social protection. The review analysis showed that policy and legal frameworks had a context-specific role to play and that the development of protection systems is iterative rather than linear and sequenced. The study reported that while policy frameworks can act as a catalyst for building social protection programs, they offer no assurance for success, meaning that the institutions focus on the process and put little emphasis on the outcomes. The analysis showed that in Ghana, social protection policies and interventions are driven by a rights-based approach and are generally framed through a bottoms-up approach. The study noted that it would be paramount to have a clear understanding of the influence of legal and policy frameworks on social protection systems through careful consideration of specific political contexts.

Ouma and Adésínà (2018) investigated power relations in the adoption of social protection policies in Kenya. The study was explanatory in nature and sought after power and how it directs social relations. The study focused on two cases of cash transfer programs. From the review, during the policy formulation stage, power was exercised in three main ways. Agents of policy formulation controlled the agenda by ensuring the involvement of experts, by excluding political players through de-politicization of the process, and by influencing the preference of beneficiaries and local actors through social learning, demonstrating that policy development is key to determining the type of social protection policies and its beneficiaries.

2.3.2.2 Strengthening Monitoring and Evaluation

Monitoring and evaluation have been identified to be essential aspects of the implementation of social protection programs. The terms monitoring and evaluation (M&E) are distinct yet complementary (UNICEF, 2017). Monitoring measures and assesses program inputs, outputs, and outcomes hence providing the basis for reducing schedule and cost overruns while ensuring that required quality standards are achieved in program implementation. According to Supplee et al. (2015), it is an integral tool for improving the quality of program management, and to ensure the continued effectiveness of social protection programs, evidence-based approaches are required that

channel relevant experience into ongoing program improvements and provide funding stakeholders with the necessary monitoring and evaluation to ascertain whether the program objectives are met. Moreover, to improve performance information, good baseline data combined with ongoing consultation with beneficiaries provide a firm basis upon which to make judgments about appropriate and timely interventions, and later about the achievement of significant development objectives thus in order to evaluate the impact the project has on the lives of beneficiaries, you have to be familiar with the situation of the beneficiaries before project implementation (Hassan, 2017). It can be inferred from the foregoing that monitoring is a detective tool, continuously generating information that enables program managers to make adjustments during the implementation phase. According to UNDP (2019), collecting feedback can be time-consuming and expensive, which has been why most program implementers shy away from executing proper monitoring and evaluation activities. Additionally, if the feedback is to be used for performance monitoring and accountability, then it is essential that the mechanism is fully understood by those who provide feedback and that there are adequate incentives to provide unbiased and timely information.

On the other hand, if the feedback is used for learning, it is important to design a mechanism that offers enough perspective on the existing or potential of past activities and different reactions to intended changes. Finally, if the feedback is for the design of new programs, the process should probably prioritize comprehending the experiences and obstacles inherent in the system for which the future output is intended (Wanyama, 2017). On the same breadth, Mathiu (2012) observes that the mechanisms and structures for M&E in the Kenyan social protection space are weak, and minimal resources are allocated to these functions; hence there is inadequate justification for redesigning and strengthening of the programs, advocacy for additional resources and project control.

According to Barca (2016), a grievance mechanism allows beneficiaries to provide feedback regarding their satisfaction with service and enables the implementers to respond. The study noted that grievance mechanisms were an important aspect of successful program implementation. Grievance mechanisms were reported to increase the accountability within actors, improve citizens' trust and involvement in program design, execution, and evaluation, enable timely addressing of operational issues, thus reducing the costs associated with making late changes, and

hold authorities accountable at all levels of implementation. Application of grievance mechanisms across different programs was also noted to improve standardization of the social programs, resulting in improved goal realization.

Abalang (2016) investigated the performance of monitoring & evaluation systems in South Sudan's Caritas Torit. Specifically, the study sought after the tools and methods used for M&E, the influence of management on M&E, the effect of employee training on M&E, and stakeholder involvement in M&E systems effectiveness. A descriptive survey design was adopted, with a purposive sampling procedure being used in the selection of 146 respondents. The study determined that the development program considers project monitoring and evaluation to be among the crucial ingredients of good project performance. The analysis determined that the directors of the program, a Catholic-funded project are accountable for planning and implementation, and have employed a system that provides accountability, demonstrates transparency, and facilitates organizational learning through documenting lessons learned in project implementation. The lessons learned were then incorporated into subsequent project plans. This study established E&M as essential to improving project performance through facilitating knowledge sharing. Employee training improved the use of M&E tools and stakeholder involvement in project M&E all improved performance of social programs under the institution's flagship.

Valle (2016) assessed the effectiveness of social health programs by assessing the impact of monitoring and evaluation practices on Mexico's social programs outreach. The study investigated two public policies that are concerned with monitoring and evaluation of Mexico's outreach programs. The study identified Prospera and Seguro Popular as the main M&E policies. The analysis determined that M&E plays an important role in promoting social health access by identifying opportunities that can be improved upon in designing future social programs. The first M&E policy, Prospera, was concerned with the evaluation of direct effects on health, nutrition, education, and income. However, Seguro Popular has monitored the reduction of health inequalities and inequities by evaluating how the target population's financial status improved. The study also noted that effective monitoring was only possible with cooperation from regulatory evaluation agencies under the national government, which provides a framework for institutionalizing monitoring and evaluation of social programs.

In Zimbabwe, Sammon et al. (2015) report that the country has adopted a quality assurance tool designed to support child protection providers to deliver quality services for children within a multi-agency child protection system. The researchers reported M&E systems are designed to provide information that stakeholders can use to track project development and promote downward accountability to children. Zimbabwe's monitoring and evaluation system is known as Promising Quality. Since it is designed for programs that promote children's welfare, it promotes meaningful participation of children in the monitoring and evaluation process. Through the involvement of children, the system has been able to identify improvements that can be made in programming, policy advocacy, and investment. Conclusions were that Promising Quality and similar programs are essential to increasing the effectiveness of social assistance programs.

2.3.2.3 Enhancing Human Resource Capacity

Professional empowerment among healthcare workers is key to improving social services outcomes among mental health patients, according to a report by Cui, Mao, Rose, and Newman (2019). The study that was carried out in Sidney and Hong Kong tried to determine the relationship between client empowerment and professionals' perceived facilitators and barriers to their empowerment practices. A two-factor model was generated, revealing that social workers in Sidney were more centered towards relationship-oriented empowerment, while Hong Kong health care workers preferred resource-oriented relationships. This study revealed ecological socio-structural determinants of the relationship between social workers and their beneficiaries. The study noted the importance of social workers' empowerment through training and support, affirming that social workers' perceived sense of capability will determine their ability to empower beneficiaries of social services.

Diasso, Doudou, Levrak, Sedutto, and Savadogo (2021) looked into Burkina Faso's Multi-Sector Nutrition Plan 2020-2024 to investigate the Nutrition organizational capacities at the municipal level to support the scaling up of interventions within the National Multi-Sector Nutrition Plan. The study adopted a qualitative survey design and used the UN secretariat's framework for assessing the organizational capacity dimension. The study involved representatives from 22 municipalities consisting of mayors, councilors, technical agents, village committee members, and other stakeholders. The study revealed an unequal distribution of limited technical agents, which impacted strategy execution and the much-needed skills transfer. Further, a non-existent

organizational capacity dimension had a negative impact on budget management and allocation. The study noted a need to professionalize the collaboration and participators of social services to promote accountability, coordination, equal distribution of quality agents, and improve integration of national policies into rural populations.

Amarashingham, Xie, Karam, Nguyen, and Kapoor (2018) investigated the effect of community partnerships in integrating social services for patients with high-need specialized care. The study works with the affirmation that the healthcare system is not yet well equipped to effectively manage patients with multiple chronic diseases and complex social needs such as food, housing, or substance abuse services. The study adopted a mixed-methods approach, collecting data through literature reviews, surveys, semi-structured interviews with program leaders, and consultation with expert panels. The study concluded that lack of technical expertise, lack of timely and accurate measurement of return on investment, poor financial management, and lack of comprehensive frameworks to reach those with special needs were the main challenges impacting social service delivery. The study noted the need for increased involvement of stakeholders through engaging them as partners since they are a source of technical information that informs the performance of social development programs. The study also recommended significant changes in payment reforms to increase transparency and improve coverage across multiple spheres.

Chetta, Soufivand, and Bivona (2014) assessed the factors determining success within public-private partnerships that target social services delivery with the aim of identifying gaps that could be improved upon. System Dynamics was used to qualitatively analyze the service delivery system. The study reported that advancements in information technologies necessitated the recruitment of IT capable staff whose skills and competencies are essential in fostering effective communication among actors to facilitate information sharing and to improve the synergy between associated partners in delivering food and nutrition services. The study ascertained that facilitating such an environment improves board efficiency and facilitates local innovation to achieve commonly identified goals-this would ensure optimal and sustainability in operations.

Obasi (2017) carried out a study with the aim of evaluating the state of social services at the Local Government levels in Abia State, Nigeria (2007-2014). The study specifically sought after the impact of elected officials on service delivery to identify complementary bodies in the social

service delivery sector and identify the challenges that these bodies and organizations have encountered. The study adopted a descriptive survey design. From the analysis, it was determined that although NGOs, Federal and State public agencies, local communities, and philanthropists had combined their efforts to improve service delivery, local governments were still lacking adequate coordination to address the needs of the needy in the society. The study associated the challenges experienced at the local level with poor competencies of the operators at the local level. Most of the local chairmen appointed were corrupt, had different allegiances, the structure employed was top-down, nepotism, among other human-resource-related complications. The study ascertained that it was necessary to find another means of selecting local representatives whereby the local populations get a decision and to improve monitoring efforts to increase transparency and ethical resource distribution and service delivery.

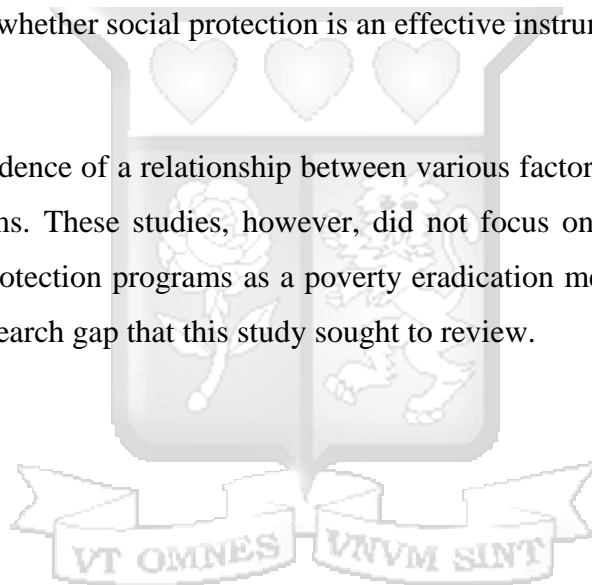
2.4 Summary of Literature Reviewed and Knowledge Gaps

Many of the reviewed studies in this chapter have been conducted in developed countries whose approaches to factors undermining the effectiveness of social protection programs are different from that of Kenya. This presents the gap in exploring this field of study in Kenya. Further, the studies conducted in Kenya failed to discuss the factors undermining the effectiveness of noncontributory social protection programs, which is the focus of this study. Wanyama and McCord (2017) looked at the politics of scaling up social protection in Kenya, and the findings highlighted the challenges of policy and institutional framework. Migwi (2017) established the role of cash transfer programs in promoting sustainable development goals for the poor urban woman in Nairobi. Abdi (2015) assessed the factors influencing the successful implementation of the Hunger Safety Net Programme in the vulnerable livelihoods in Northern Kenya. Roopnaraine, Pozarny, and Estruch (2016) conducted a study to determine the qualitative impacts of social protection programs on decent rural employment. Finally, Mariara (2013) investigated the role of social protection on the welfare of vulnerable groups in Kenya, further analyzing the impact on children's education and asset accumulation by women.

In Zimbabwe, Sammon et al. (2015) established a positive effect of quality assurance monitoring and evaluation tools on social support programs' success. In a similar study on M&E systems, Valle (2016) determined that M&E systems are key to identifying gaps that exist in social development programs, allowing policy makers to improve in the future to address emerging social issues.

Beegle, Honorati, and Monsalve (2018) showed that it was paramount that social protection programs' planners carry out extensive beneficiary analysis before designing the assistance programs since this was associated with increased goal realization. Reyes, Tabuga, and Asis (2018) affirmed that in the Philippines, the design of the programs was key to ensuring that the safety nets instituted by the government were key to promoting targeting, which increases the coverage of specific segments of the population, such as the elderly, children or women. The Kaltenborn, Abdulai, Roelen, and Hague (2017) study noted the importance of effective policy formulation to validate social safety programs and enforce legally binding commitments, thus promoting accountability. By assessing programs coverage, Schmitt (2020) determined that the political environment was key in determining the type and success of social protection programs. This study did not investigate whether social protection is an effective instrument for reducing poverty and social inequality.

These studies present evidence of a relationship between various factors and the effectiveness of social assistance programs. These studies, however, did not focus on factors undermining the effectiveness of social protection programs as a poverty eradication mechanism in Kenya. This, therefore, presented a research gap that this study sought to review.



2.5 Conceptual Framework

A conceptual framework illustrates what you expect to find through your research. It defines the relevant variables for your study and maps out how they might relate to each other. The study used an analytical framework where the variables are predominantly underscored from the literature review, including; coverage, targeting, financing, and program design. Strengthened policy and institutional framework, strengthened monitoring and evaluation framework, and enhanced human resource capacity were some of the measures assessed for improving social protection programs

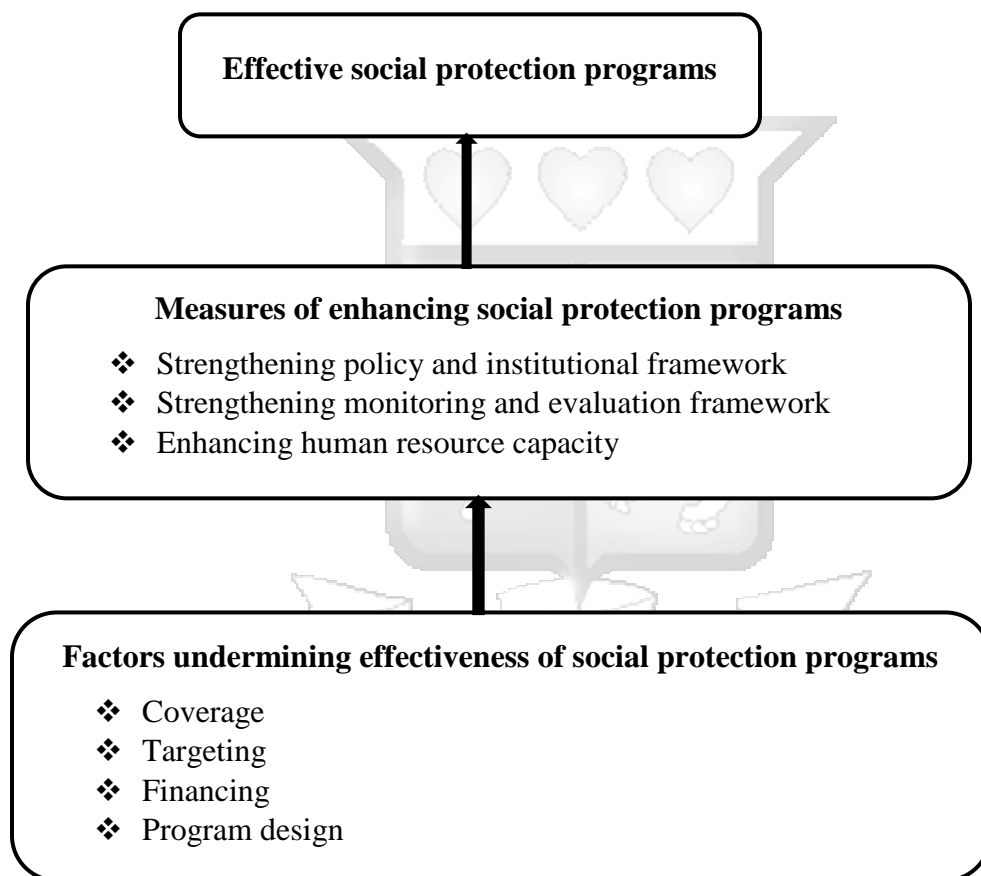


Figure 2. 1 Conceptual Framework source

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

The section reviews the research methodology, data collection, analysis, and the ethical consideration considered in the study. The ethical consideration is reviewed to ensure respondents' privacy is adhered to.

3.2 Research Philosophy

The study sought to review primary data collected through interviews corroborated with secondary data. With the interview guide being predominantly in narrative form, the findings were mostly qualitative. The study, therefore, adopted an interpretivism research philosophy in the review of the study objectives. According to Creswell & Poth (2016), in the interpretivism paradigm, the reality is constructed by social actors, and their experiences influence the perception of reality. Events are understood through the mental processes of interpretation that are influenced by interaction with social contexts. To obtain understanding, the researcher and the respondents must interact to create a personal mode of collecting data. The interpretivist paradigm was adopted because the research goal was to gain an in-depth understanding of the factors that undermine the effectiveness of social protection programs rather than an explanation of the phenomenon under study. It, therefore, justified the adoption of a qualitative approach where the researcher closely interacted with the respondents.

3.3 Research Design

Research design is the systematic arrangement of elements, measures, and tools to be used in data gathering and analysis to attain the desired goals of the study in the most effective and efficient means possible (Bryman & Bell, 2015). The study is an exploratory research design in an attempt to answer the research questions. Exploratory design investigates the research problem in order to gain a better understanding and insight in an area of study through breakdown of specific phenomena as it is in the present condition (Saunders, 2011). This research design is chosen due to its adequacy to fulfill the research objectives which are to gain in-depth comprehension about the factors undermining the effectiveness of social protection programmes as a poverty eradication

mechanism in Kenya. The research also relied on secondary data sources from the Department of Social Protection, Kenya National Bureaus of Statistics reports, and National Treasury reports to augment the primary data collected through Key Informant Interviews (KIIs).

3.4 Population and Sampling

According to Creswell and Clark (2017), a population refers to an entire group of individuals, events, or objects with a common observable characteristic. Kumar (2019) described the target population as the entire set of units for which the study data was used to make inferences. The study's target population comprised 23 respondents who were distributed across the management for the central bodies charged with oversight of non-contributory social protection programs as well as program implementers from the specific programs under study. The targeted respondents were considered experts in their field following the years of running the programs over the years. The researcher opted to interview members of the secretariat, the steering committee, and program implementers to get a holistic view of the programs. The management team is divided into the National Social Protection Secretariat (NSPS) and Social Protection Technical Steering Committee (SPTSC) well as program implementers. NSPS facilitates integration, coordination, and harmonization of social protection programs in Kenya, while SPTSC is responsible for providing policy and operational oversight and mobilizing personnel and resources towards strengthening Social Protection policy frameworks.

Table 3.1 Target Population

Categories	Population
Senior management Social Protection Secretariat	7
Senior management Technical Steering Committee	6
Program Implementers	10

The study employed purposive sampling in selecting the respondents to allow the research to collect expert opinions and sampled 17 of the 23 respondents which is 74% of the population. The study chose to conduct key informant interviews by interviewing the key personnel responsible

for the different programs. Given the nature of the study, where information is collected from crucial personnel (program administrators and coordinators), this sampling technique is most suitable since the population is minimal (Sekaran and Bougie, 2016).

3.5 Data Collection Methods

Data collection is the process of gathering data on specific variables from the target population (Fowler 2013). The study relied on both secondary and primary sources of data. The collection of primary data was executed through key informant interviews; the researcher obtained an introduction letter from the university that was presented to each respondent. Key informant interviews are qualitative in-depth interviews with personnel who have vast knowledge in the field of study (USAID, 2004). According to Maxwell (2012), interviews are essential in collecting insightful data for exploratory studies. The interview guide was structured using questions that addressed the study objectives. Due to the limitations on time and financial resources, the top management was targeted for data collection as they presented the organizations' views considering their routine in overseeing the social protection programs. Program implementers were also selected as they had experience working on the ground with beneficiaries. Primary data were supplemented by data obtained from secondary sources through document reviews.

3.6 Data Analysis

Data analysis refers to the tools and techniques used to assess and interpret the collected data from the key informant interviews as well as secondary data (Roller, 2019). The open-ended questions were analyzed using conceptual content analysis and presented in prose. Content analysis allows for the evaluation of interview responses by taking notes on the main impressions, thoughts, and responses and then presenting the findings using identified themes related to the factors under investigation. The responses from the KIIs were collected and coded into different themes related to the study topic. Following the supervisor's review, these themes were then curated and presented to respond to the study objectives. The thematic synthesis of the findings provided good insight into the complex processes and factors affecting the effectiveness of the programs.

3.7 Research Quality

To ensure research quality, the researcher sought direction from the supervisor to improve on the interview guide. The researcher was also independent and did not change any of the variables or findings from the study

3.7.1 Validity of the Research Instrument

Validity is the ability of an instrument to measure what it is intended to measure (Mohajan, 2015). The tool's validity was determined by first going through it and comparing it to the established objectives to ensure that it met the study's questions and objectives. The instruments were then given to the supervisor to evaluate the adequacy of the data collection tool in fulfilling the objectives of the study based on content and face validity. This helped to ensure that the questions in the interview guide captured the objectives of the study.

3.7.2 Reliability of the Research Instrument

Reliability refers to the consistency, stability, or dependability of the data. A researcher measures a variable to be sure that the measurement provides dependable and consistent results. To ensure the reliability of the questionnaire, the researcher used the test-retest method where the selected respondents were given the interview twice, with the second administration coming a week after the first. The reliability of the research was also proven by sending the interview to the supervisor to check the reliability before the final work was ready to be sent to the respondents. The reason for the pre-test was to check that the information was appropriate for the research.

3.8 Ethical Considerations

Ethics are norms governing human conduct which have a significant impact on human welfare. It involves making a judgment about right and wrong behavior. Bryman (2012) states that the researcher's responsibility is to assess the possibility of harm to research participants carefully and eliminate the extent possible. The researcher recognized the sensitivity of the subject under review, and therefore, there was a need to protect the identity of the respondents as much as possible. In that case, the responses obtained were not tagged to the respondents' names or details that might reveal their identity. The researcher also obtained a letter from the university allowing the

undertaking of the study and an introductory letter explaining the purpose of the study, and confidentiality was upheld for all respondents. Further, informed consent from the participants in the study was necessary to gain their trust and confidence in the study's objectives, which were purely academic in nature.



CHAPTER FOUR

PRESENTATION OF RESEARCH FINDINGS

4.1 Introduction

Social protection addresses absolute deprivation and vulnerabilities of the poorest, as well as the need for the currently non-poor to have security in the face of shocks and life-cycle events. The literature reviewed in the course of the production of this paper provided various rationales for the development of social protection. Therefore, this study sought to establish the factors undermining the effectiveness of social protection programs as a poverty eradication mechanism in Kenya. This chapter presents the findings to achieve the goal and objectives of the research.

4.2 Response Rate

The researcher sought to interview 17 respondents distributed among senior management, middle-level managers, and program implementers. 14 respondents were successfully reached to provide feedback, indicating an 82.4% response rate. This was considered a significant response rate for statistical analysis as prescribed by Creswell and Clark (2011). The respondents provided an overview of the impact of both the public and private sectors. As indicated in chapter 3, the researcher sought to seek views of senior management and program implementers as they had a grasp of the program's working mechanisms. Based on the representative institutions and the designation of the respondents, the collected data was deemed sufficient for conducting analysis.

4.3 Interview Participants Analysis

This section enabled the researcher to establish the respondent's attributes to determine whether the respondents are the targeted ones and whether or not the researcher is gathering the information they are effectively seeking. 42.6 % (6 members) of the interviewees were from the social protection secretariat, while 35.7% (5 members) were from the steering committee, and 21.4% (3 members) were program implementers. A review of the respective periods that the respondents had worked with their organizations indicated that the average time spent working for the organizations was 3-4 years. The analysis indicated that 35.71% (5 members) had worked with their respective organization for over 5 years, 42.6% (6 members) of the interviewees indicated that they had worked for 3-4 years, and 21.4% (3 members) had worked for 1-2 years. This shows

that the majority of the respondents worked with the social protection programs in Kenya long enough to comprehend the program's activities and give reliable and accurate information on the subject under study.

4.4 Thematic Analysis

A thematic approach was used to analyze the data collected from the interviews. A theme is a pattern that captures something significant or interesting about the data and/or research question and it is characterized by its importance. The themes are analyzed and interpreted showing the relationship of the findings with the research questions and objectives of this study. The themes and sub-themes were derived from the interview questions. The following table outlines the various themes and their respective sub-themes utilized in this research;

Table 4.1 Themes of Analysis

Theme	Sub-theme
Factors Undermining Effectiveness of Social Protection	Coverage Financing Program Design Targeting
Measures of enhancing social assistance programs	Strengthening policy and institutional framework Strengthening monitoring and evaluation framework Enhancing human resource capacity

Source: Research Data (2021)

4.5 Objective I: Analysis of Factors Undermining Effectiveness of Social Protection

The factors undermining effectiveness of social protection was theme 1 which attempted to answer the question: What are the factors undermining the effectiveness of noncontributory social protection programs? This theme has three subthemes; coverage, targeting, financing and program design.

4.5.1 Coverage

In assessing the influence that the social programs' coverage had on poverty eradication, the researcher queried the respondent on factors that directly influenced the level of coverage. The study sought to interview respondents on the coverage levels of non-contributory social protection programs, the impact of population growth, and the influence of coverage on the effectiveness of social protection programs in Kenya. The World Bank report (2016) defines coverage for social protection programs as the percentage of households of a given geographic unit enrolled in social protection schemes.

The main reason behind establishing the social protection program was to shelter the vulnerable groups from falling into extreme poverty. According to the respondents, the programs provide social protection to as many people as the programs can hold and protect them from further deterioration of their household living conditions. The main theme under this objective was the spread of the existing program across the country. Nine respondents (64.3%) indicated that the coverage was insufficient and more needed to be done to extend the coverage. Five of the respondents (35.7%) indicated that the social program's coverage was adequate to have a wide-scale impact in eradicating poverty. The coverage area was expected to be directly proportional to the population shielded from falling into extreme poverty.

Geographic coverage of the non-contributory social protection programs is strongly correlated with relative measures of poverty rates nationwide, according to 4 respondents. According to the statistical report from the state department of social protection, the estimated share of households registered onto one of the programs ranges from a low of 2 percent in Nairobi to a high of 54 percent in Turkana. There are 26 counties with coverage below 10 percent. Therefore, households living in arid lands are three times more likely to receive social assistance than the rest of the country. Eleven respondents indicated that program coverage was more impactful in the arid areas

and significantly impacted those members' arid areas. Three members differed with this opinion indicating the need for individuals retiring from service in urban centres as the ones the program had the most impact on. A review of the relationship between coverage and poverty from the state's department official record indicated that most households living below the poverty line were from arid areas. The social protection programs, therefore, were expected to have more impact on securing household livelihoods. The proportion of the households that are recipients of the main social assistance programs have had an inclination towards arid areas. The national coverage is placed at 10%, while the arid areas had 35% coverage. The semi-arid areas enjoy a 12% household coverage KSPC (2017).

In terms of geographical dispersion, the emerging theme among the respondents was that social assistance programs have been directed to areas with the highest poverty rates, though not necessarily to those counties with the most significant numbers of people in poverty. As a result, households in arid lands are three times more likely to be registered for social assistance schemes than the rest of the country. Among the challenges that seem to affect the program's effectiveness is the ease with which households in the rural centers can be included. As quoted by one respondent:

“While we have a challenge in extending our network to the arid areas, we have barely covered sufficient ground with rural households. We continue to see cases of households' living standards deteriorate due to a lack of support from these programs. We know that if we can sufficiently cover them, then we can shield so many households from Poverty and allow them a decent living.”

Further, the respondents seem to converge to the fact that despite the government initiating some social protection programs to address poverty, most of them are focused on the rural areas, and few cover the urban areas. The vulnerable members of the society are in rural areas influencing the need to protect the poor. One of the respondents quoted;

“In some areas, coverage gaps are exacerbated by logistical challenges in reaching sparsely populated poor and vulnerable populations dispersed across vast geographical areas, especially in the ASAL region, which has a broad landmass and sparsely distributed people.”

Respondents from program implementation reiterated the need to ensure that the social protection programs extend their coverage in the urban centers. Despite having a broader coverage in rural areas in comparison to urban areas, there was an indication that there was still more to be done. One of the respondents from the steering committee highlighted

“You know that despite free primary education’s (FPE) national coverage, access by children in urban slums is still limited by structural and policy issues. Specifically, the inadequate number of public schools to serve the slum populations has led to the mushrooming of private schools registered as non-formal schools within the Ministry of Education and hence not eligible for government support under the FPE policy.”

Insecurity in some regions appeared to be a common theme when reviewing coverage. All the respondents cited insecurity as one of the main reasons for the restricted roll out of the program to some regions. As one respondent had stated;

“Insecurity has complicated the outreach of social protection programs such as the HNSP due to instability. The most remote areas of the country are in most cases the most in need of social assistance, and if they cannot be reached, then this undermines the effectiveness of social protection programs.”

Improved coverage of cash transfer programs was widely lauded, with the programs covering an increasing number of beneficiaries over time. The cash transfer programs have continued to increase coverage levels over time. According to State Department of Social Protection (SDSP), 2020; the coverage levels of the 4 programs have increased from 798,625 beneficiaries in 2015/2016 to 1,196,371 beneficiaries in 2019/2020. The individual programs included are

Table 4.2: A summary of the cash transfer programs over the last 4 years is a below

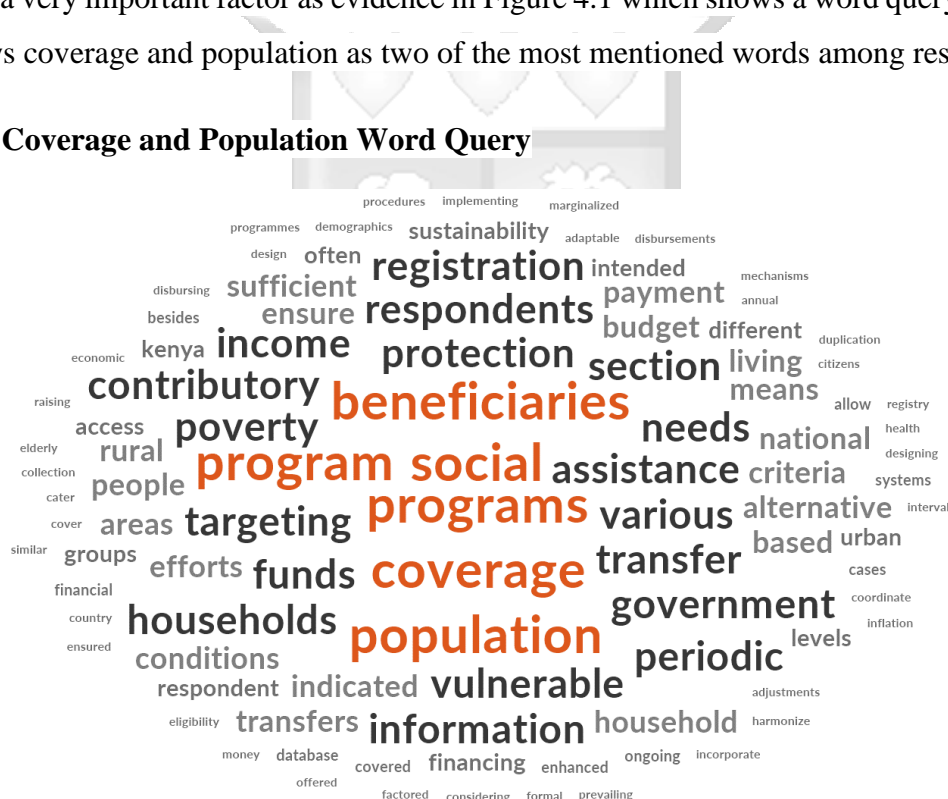
Year	2015/16	2016/17	2017/18	2018/19	2019/20
Programme					
CT-OVC	351,650	352,000	349,778	340,416	295,307
OPCT	310,223	314,504	792,268	797,411	764,644
PWSD-CT	47,460	46,917	43,884	42,851	34,094
HSNP	89,292	100,000	101359	101425	102326

Total Beneficiaries	798,625	813421	1,287,289	1,282,103	1,196,371
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Source: State Department of Social Protection

However, more needs to be done. Based on the 2019 population census, above statistics indicate that the coverage was still low. The number of people living with a disability was 918,270, and only 3.7% benefit from social assistance, showing how they have remained vastly underserved. According to Kenya Aids Indicator Survey (KAIS), approximately 3.6 million children below 18 years have been orphaned or vulnerable, and only 8.2% are covered by CT-OVC as per 2019/2020, signifying low coverage. According to all the respondents, coverage and population was considered a very important factor as evidence in Figure 4.1 which shows a word query. This word query shows coverage and population as two of the most mentioned words among respondents.

Figure 4.1 Coverage and Population Word Query



The researcher sought to look at the diversity of programs and what the respondents indicated were that disabled people are still discriminated against. It was fueled by cultural and traditional values as expressed by two respondents.

The first respondent asserted that;

“When we are at the field trying to recruit people, people with disabilities are shunned as shameful and regarded as a "curse" on the culture. Therefore, they are bullied, which scares them from showing up for registration or seeking help from others. The situation is desperate for already disadvantaged groups, such as women and girls who are also disabled.”

The second respondent indicated that;

“It is not unusual to see a woman or girl with disabilities who has multiple children as a result of serial abuse. While they should be one’s seeking support from the social protection programs, they are the ones we end reaching last. The programs are being reviewed to allow for extensive coverage with equal attention to the special need groups.”

The responses above indicated the gap that is existing in addressing the special needs groups that need social protection due to their vulnerability. The special needs groups are economically vulnerable since their economic activities are constrained. The inclusion of these groups into the social protection programs allows them to be protected from sinking into poverty.

Seven respondents lauded government efforts to improve coverage of the Old people in the society. According to (KNBS, 2019) the population of those 65 years and above is 1,492,680, and 51% is covered by the OPCT, which can be attributed to the government’s increased efforts to cover the old population. The introduction of the Inua Jamii Senior Citizens’ Programme was the first initiative to include the missing middle class in social protection, as all citizens of Kenya are guaranteed a minimum income in their old age.

Four respondents considered age as a significant factor in determining whom they will reach out to include first. It was informed by the continued growth in population that sees people's demand for social protection increase. As the population grows, households appear more cautious and are interested in social protection when they feel vulnerable. According to one respondent who was an implementer;

“A majority of the population is still unable to access social protection, which has a negative effect on their welfare and socio-economic growth in the country. A high proportion of the population on middle incomes can also not access benefits that are attributable to social protection despite experiencing insecure livelihoods.

The researcher sought to find out the frequency of updating beneficiaries to incorporate the new and graduated beneficiaries. One respondent indicated that the national database of beneficiaries indicated that they were automating their process to allow instantaneous updates. The respondent indicated;

“Until early 2015, the transfer of data from program MISs to the Single Registry was not automatic. This meant that data had to be moved manually, and the process did not guarantee up-to-date data at the Single Registry. Recently, the country uses data exchange using web services and automatic replication using Microsoft SQL tools for automatic transfer of data between individual MISs and the Single Registry”.

All the respondents indicated that they were not directly responsible for the systems updates and that the ICT departments did the systems update. On further enquiry; four respondents indicated that the databases were yet to be automated to reflect current numbers. A quote from the respondent was;

“We have a team that is responsible for the data entry and updating. We conduct outreach activities to attract new members who write their names and share their details. These details have to be entered manually into our system for record-keeping and tracking. The team responsible for data entry also helps us with tracking sharing with the management team periodic reports. We are finalizing on the automation.”

Two respondents acknowledged the need for periodic update of the database as information kept changing. The respondents expressed concerns on challenges the cash transfer programs had in providing consistent information .One respondent quoted;

“Some beneficiaries provide falsified information just to benefit from the supposedly “free cash.” This presents a challenge especially given that there is no foolproof means of validating this information. Whenever household information changes there is always a lag in updating this information. This poses challenges to the timely delivery of the cash to the beneficiaries. Other times we hardly even know whom to contact when the information available is unverified.”

This was followed by another respondent indicating that automation would allow them to access information with ease and allow for easier tracking of the progress that they are making in terms of coverage.

“The frequent updates of the database allow for efficient tracking of the impact of the programs. The automatic update of a single registry makes it easy to establish the coverage levels.”

However, the dashboard is inaccessible to national, county, and sub-county officers (at present, it is only accessible to the single registry administrator). This means other stakeholders are unable to track the efforts made in terms of coverage levels. This is a major challenge.

4.5.2 Targeting

The second sub theme sought to determine the targeting mechanisms for the various non-contributory programs and how this affects their effectiveness.

Table 4.3 Word Query

Word	Length	Count	Weighted Percentage (%)
programs	8	65	3.75
social	6	38	2.19
coverage	8	26	1.50
cash	4	23	1.33

beneficiaries	13	21	1.21
various	7	20	1.15
population	10	19	1.10
protection	10	19	1.10
targeting	9	19	1.10

A common theme among all the respondents was the centrality of the demographic characteristics of their targeted members. The elderly and those past retirements were quoted as the most likely target. As quoted by one respondent;

“We are mostly concerned in enrolling the elderly and those beyond their retirement age. These groups are susceptible to income shocks as they are less active economically. The support from the program supplements their income and allows them decent living when their economic conditions change.”

Another respondent indicated that part of the targeting was done through finding individuals who lacked health covers. Medical bills were shared as a significant factor when it comes to the erosion of lifetime savings. According to the respondent, the elderly experience more health shocks, which varied in magnitude. Severe shocks have the likelihood of eroding a household's life savings. The elderly are targeted to be protected from the harsh economic reality that medical bills visit upon them. As quoted by one of the respondents;

“There are concerns over minimal social assistance initiatives that cover the health of the poor and vulnerable population. This is due to the narrow coverage provided for in the current legal framework, which is largely limited to formal sector and salaried workers. We are trying to ensure that our targeting is facing the informal sectors. They are the most affected since they are not registered under one body that can look after them.”

The researcher established that the programs are being reviewed to allow for specific targeting of the needful households. A respondent indicated the need for having a robust criterion that allows for specific targeting of the right individuals. In high-income countries, targeting is often achieved by means-testing: households bring proof of income or unemployment to a benefits office or receive transfers through tax systems, such as through the United States Earned Income Tax Credit.

However, in low-income countries, a lack of formal labour markets with a paper trail of income and employment status, coupled with underdeveloped tax systems, results in limited data to verify income (Hanna & Karlan, 2016). Three respondents from the secretariat indicated that low-income country's governments can also conduct income or consumption censuses. However, such surveys are time-consuming and require specific skills since one needs to map out all the different income components. As one cited;

“Without a formal mechanism to cross-check data, there is often nothing stopping surveyed populations from lying if they know that a cash prize is attached to their answers.”

All respondents interviewed stated that the cash transfer programs use community based targeting, where the communities are responsible for identifying the most vulnerable individuals and households as they utilize the personal knowledge that community members have of each other. Three respondents from the steering committee indicated that the programs had designed a matrix to screen for individuals introduced into the program.

“One of the tools they use is the poverty scorecard calculated using pre-determined weights on the household information collected by enumerators and entered in the programs' management information systems (MIS). Households are then ranked based on their poverty score, and those that are below the cut-off for being considered 'extremely poor' are added to the program.”

The eligibility criteria for being a beneficiary of cash transfer programs entails being vulnerable and in need of social assistance. In this case, one had to be an orphan, elderly, pregnant mother, disabled, or destitute households that could not sustain themselves. As one respondent indicated:

Implementation of the program requires that the state can identify and render legible citizens, which requires identification and documentation of its citizens, and to have physical access to the structures of the state for registration to occur.

However, two respondents noted that ineligible individuals were included in the NSNP and that some beneficiaries received benefits from multiple programs. The committees were working on reviewing the programs to be clean and have only the right beneficiaries. This meant the efforts of

social assistance programs were not benefitting those who need it the most, and it points to the loopholes in targeting mechanisms. It was noted that the programs were continually being reviewed to match with their targeted impact while protecting the deprived citizens.

Among the targeting challenges raised by the respondents, six respondents noted that while the NSPP emphasizes that social protection in Kenya was aimed at assisting the poor and vulnerable, it should not be interpreted to mean that bulk of the programs will be directed at them. It was noted that programs with universal or high coverage are much more effective in reaching the poor and vulnerable than programs targeted at those living in poverty. As such, adjustments need to be made on the targeting criteria to incorporate more people even those living just above the poverty line and can easily slip into the poverty trap.

Another theme that emerged was the logistical challenges that face the programs when it comes to targeting. Seven respondents confirm that their effectiveness is highly constrained by the data collection challenges. As one of the program implementers shared;

“It is costly for us as an organization to send registration clerks to the field, so we instead ask chiefs and assistant chiefs to mobilize their communities and collect names for the registration. This leads to cases of favoritism, and in some cases, we might even not end up with the right beneficiaries.”

Four respondents agreed on the need for enhanced fairness in vetting the households who qualify to receive the government cash transfers to ensure that the funds are directed to the intended recipients. It provides an easier way to protect the elderly and vulnerable from sliding into extreme poverty.

Another constraint to the effective running of the program is the presence of child-headed households, especially in ASAL. Two program implementers indicated that where parents have been killed due to cattle rustling and other hostilities, children became the head of the household. The challenge brought to the fore was that the children do not have caregivers and have not attained 18years; hence do not have national identity documents. These households face severe economic conditions since the child cannot go to work. Social assistance support was suggested as the most likely tool to prevent these child-headed households from sinking into poverty.

A respondent from the HSNP highlighted that targeting polygamous families that live together is difficult since they are considered one household. However, since a household is described as all those eating from the "same pot," a polygamous household might not all be eating from the "same pot," which necessitates further investigation. Similar complexities were expressed in the case of OPCT where only one person per household can be targeted, which is usually the man, but this has since changed with the implementation of the universal pension.

4.5.3 Financing

The study sought to ascertain the funding levels of social protection programs, their amounts and disbursement intervals, and how this impacts poverty eradication efforts. The central theme here was sufficiency of government funding. All the respondents acknowledged the existence of more room to provide more finance. According to the World Bank report (2018), social assistance expenditure in Kenya is lower than most world economies, at only 0.4% of the GDP. The government of Kenya was the largest source of financing to social protection in Kenya (55%), followed by financing support from development partners (22%) and members of contributory schemes (22%).

Four respondents from the secretariat asserted that as much as investment in social protection should be majorly grounded on public financing, there should be additional funding besides public expenditure. The annual budgetary allocation may not be sufficient to cover the needs of the vulnerable population over the long run as shared by a respondent. The respondent said;

“Besides domestic funding, the sustainability of the ongoing cash transfer programs would be ascertained by increased external resources such as donor funds. As it is, we are limited on the people we can serve in any given financial year, making us defer some cases needing help.”

However, one respondent warned that there is a need for a balance between public and private expenditure and that social assistance programs need not be excessively dependent on donor funding. The respondent argued that:

“There’s need for a balance between public and private expenditure and that social assistance programs need not to be excessively dependent on donor funding. When the

donor pulls out, then the program suffers and gains made would be lost. ”

Increased investment in social protection programs means increased investments in the country’s human capital and economic growth. Thus increased financing of social protection programs is directly correlated with poverty eradication measures. Based on this premise, there has been a continuous rise in budgetary allocations towards Social Safety Net Programs (SSNPs). A look at the Kenyan budgetary allocation on SSNPs exhibits this upward trend for the past 3 fiscal years. According to data from the National treasury, In the Fiscal year 2016/2017, the allocation towards NSNP was 19.01 Billion shillings, there was a 35.8% increase in allocation for in the fiscal year 2017/2018. In the fiscal year 2018/2019, the allocation was further increased by 2.4% to Ksh 33.01 Billion

Table 4.4: Trends in spending on SSNPs

Fiscal year	Allocations towards NSNPs	% Increase
2016/2017	19.01 Billion	
2017/2018	25.82 Billion	35.8%
2018/2019	33.01 Billion	2.4%

Source: National Treasury

However, the program implementers interviewed asserted that despite the government’s increased investment in noncontributory social protection programs, there are concerns about the adequacy and benefit levels of the actual cash transfers to the beneficiaries. One was quoted;

“The payments made to the beneficiaries have been constant over the past 5 financial years, yet living standards have stagnated. Members ask for more cash than we are able to give”

While the programs are useful in protecting the vulnerable, the amounts need to be adjusted to accommodate the needs of the beneficiaries. A review of the transfer values for the cash transfer programs supported these claims. Data from the National Social Protection Secretariat (2021), indicate the monthly transfer value for cash transfer programs was Ksh 2,000 in three of its programs ; CT-OVC, OPCT and PWSD-CT. The Monthly transfer value however for HSNP was Ksh 5,400, almost triple the amount allocated to other programs.

The Consumer Price Index (CPI) has been increasing over the years with an average of 6.6% annual increase. Data from the Economic survey (2020) indicate that while taking February 2009 as the base Year, there was an increase in CPI from 2015 to 2019. In 2015, the CPI was 159.6 increasing to 183.2 in 2017. In 2019, the CPI had shot to 201.8. This means over time the purchasing power of the beneficiaries has been reducing considering the transfer values have been constant. Further, the average minimum wage over this period has also been increasing and is way higher than the transfer values. According to the Economic Survey data (2020) the minimum monthly was stagnant at Ksh 7,284 between 2015 and 2016. The government provided a relief which later increased the amount to Ksh 8,585 which was 17.9% increase in the minimum wage. A Year later, it was further increased to Ksh. 9,014 which was a 5% increase.

Table 4.5: Trend of CPI index

	2015	2016	2017	2018	2019
CPI(Feb 2009=100)	159.6	169.7	183.2	191.8	201.8

Source: Economic Survey 2020

Table 4.6: Minimum wage in Kenya

	2015	2016	2017	2018	2019
Minimum Monthly Wage	7,284	7,284	8,585	9,014	9,014

Source: Economic Survey 2020

All the respondents were in agreement that, indeed, the monthly cash transfers are significantly low compared to the income required to afford decent living conditions. They expressed concerns on the increased inflation. As one senior member of the secretariat indicated:

“The beneficiaries' purchasing power has continued to decrease with the increased cost of living, meaning the financing structure of the cash transfer programs is not sufficient to elevate the target population out of poverty.”

Furthermore, the programs implementers expressed concerns for the beneficiaries, particularly in remote areas, who spend close to half of the cash transfer amount to pay for travel costs to the

nearest payment point and sometimes informal payments to the chief or payment provider. This further diminishes the benefit value of the cash transfers

Another common theme that came out was that: timeliness and predictability of the transfers as keys for financial planning by the beneficiaries. Five respondents from the secretariat argued that occasional delays of the release of funds by the exchequer affect the implementation of the programs, thus its effectiveness. As asserted by one respondent:

“These delays hurt the welfare of the recipient households as they cannot rely on having funds by a particular date which makes household financial planning very difficult.”

The population's needs cannot wait, and any delays in payments mean a beneficiary's health, survival, education, livelihood is compromised. One observation that stood out on this theme was the difficulties encountered at the start of the fiscal year.

“Paying the first payment of the financial year on time has always been a struggle for the programs as there is often a delay in the release of treasury allocations to the programs. The ministries and programs are actively seeking ways to resolve these delays, including by establishing a regular dialogue with the treasury to find ways to prevent future delays in receiving financing.”

For non-contributory schemes, administrative costs emerged as a factor that influences the effectiveness of social protection programs. High administrative costs meant whatever is spent on administration is not available for benefits - potentially limiting the number of program beneficiaries. According to five respondents, the recourse suggestions around this were optimizing or reducing costs by; doing periodical spending reviews, procurement optimization, and digitization. Further the respondents from program implementation suggested that more personnel should be allocated to the ground for program implementation and there's need for expanded use of data and advanced analytics to make decisions. Also, three respondents from the steering committee suggested that any financial savings in the programs should be directly ploughed back to the beneficiaries. This would result in most benefits accruing to the target population rather than to the programs' staff.

The respondents also acknowledged that the cost of running the programs are rather prohibitive. According to three respondents, amongst the measures the secretariat has been working to put in place included ensuring that the social protection funds are invested in sustainable investment to allow for continuity. The country has fluctuating monetary needs, which some of the respondents indicated is a challenge facing the programs.

As quoted from a respondent;

“Sustainability is a key problem as many households are ready to receive when we do not have the funds in place. The secretariat has been looking for means to invest the funds sustainably.”

On the issue of intervals of disbursing funds, the respondents indicated that the funds were disbursed for the various cash transfer programs on a bi-annual basis.

“With technology advancements, most beneficiaries electronically receive the cash by using payment service providers like Equity Bank and Kenya Commercial Bank.”

However, program implementers raised concern about financial service providers' accessibility to beneficiaries. This means those who lack access to financial institutions and intermediaries would be unable to participate in the programs and would stay impoverished. As one program implementer cited:

“With the introduction of financial services providers to facilitate the disbursement of funds, some beneficiaries cannot be reached as they do not have access to the financial systems. This problem is further complicated with low literacy levels of the intended beneficiaries; hence the introduction of modern payment modes becomes a challenge.

Another respondent indicated that:

“Many households have been unable to open bank accounts because of various operational and technical challenges and therefore have been unable to receive their payments.”

Inquiry into how funds were utilized established that beneficiaries largely use the funds to meet basic needs i.e. food, clothing, shelter, and education. The respondents added that the caregivers

were the ones who were given the money because they were the ones who could easily access the finances and plan for what was needed in the household that would be essential in taking care of the beneficiary. However, two respondents noted that beneficiaries appear to be overly reliant on cash transfers for immediate necessities, resulting in an inability to use them to improve their overall socio-economic situation. When beneficiaries use the cash to fulfill daily basic necessities without saving to increase their participation in the product market, then they perpetually depend on the monthly stipends to subsist and are unlikely to graduate to be self-sufficient. This undermines effectiveness of the programs.

4.5.4 Program Design

According to Beegle et al. (2018), program designs vary across the regions. Sub-Saharan Africa has often designed programs focused on cash transfers, public works, or school feeding; however, as programs grow in number and size, design features have also evolved. Notable shifts include more cash programs designed to respond to climate change, a concentration on productive capacity and resilience, and programs promoting human capital development.

The National Social Protection Policy (NSPP) in Kenya has the explicit objective of moving toward a more inclusive lifecycle approach to social protection. Indeed, the Kenyan constitution guarantees all citizens the right to social security and declares the government's responsibility to meet the needs of society's most vulnerable groups, such as children, people with disability, the elderly, women, and other marginalized groups. However according to five respondents; due to resource constraints, social transfer programmes are designed as household benefits, rather than individual entitlements. This affects the programmes effectiveness to achieve universality and inclusivity and ultimately achieving SDG 1. As indicated by one of the respondents, they are designed to address the needs of the target vulnerable and poor population.

“The programs are designed to address the needs of the target vulnerable and poor population. The floors must ensure the number of people reached and the amount of the benefits must be sufficient to meet the unique needs of different individuals.”

The main theme emerging from the designs of the non-contributory social protection programs was that the programmes designs are addressing the symptoms and not the underlying causes of poverty and vulnerability amongst these groups. As a result, the beneficiaries are perpetually

reliant on cash transfers to survive, rather than the government implementing systematic measures that empower the population to rise out of poverty.

When queried on the criteria of designing and implementing a social assistance programs, six respondents shared that at the inception stage the program designers must establish the motive of the intervening program. One respondent indicated that

“In Kenya there are four broad categories based on the underlying objectives i.e. income redistribution purposes; lack of insurance market given the many risks facing the poor such as unexpected health crisis, food and agricultural damages; market failures preventing asset accumulation and lastly there may be behavioral or household bargaining constraints that influence the choices of low income households, and perpetuate poverty hence necessitating conditional transfers.”

However two respondents differed with this basis indicating that given the dynamic nature of household incomes and consumptions, policy analysts should avoid the trap of believing that countries have fixed categories of 'poor' and 'non-poor' citizens, hence poverty lines should be used to track a country's progress in addressing poverty but not as the primary input into the design of social policies. Due to the highly dynamic nature of income and consumption, a sizable proportion of the population is likely to spend some years below the poverty line and others slightly above.

One respondent further emphasized each country may determine its own poverty line and the assumptions used to calculate the poverty rate. As a result, when countries are compared, the results can be counter-intuitive. He quoted:

“While Kenya has a 36 percent national poverty rate, Uganda which economically is a much poorer country records a 21 percent national poverty rate. Indeed, just by altering the assumptions used in the analysis of Kenya's household survey, a different poverty rate could be computed. For instance, if Kenya used the same assumptions as Indonesia in terms of equivalence scales, the poverty rate would be 60 per cent which is a significant increase.”

Therefore, when developing social protection policies, it is necessary to conduct more in-depth and extensive analysis in order to determine who truly requires social protection and how best to reach them

Another common theme among the respondents when it comes to program design was the prominence of cash transfer programs. Other alternative social assistance programs such as the public work programmes (e.g. cash or food for work); training (for instance, skills development programmes linked to public work or cash transfer schemes); and programmes that facilitate access to agricultural inputs or to other services (e.g. non-contributory health insurance, shelter, psychosocial support and birth registrations) have not given as much attention in the National Safety Net Program. This has largely left out a majority of the vulnerable and deprived population who do not fall into the listed categories hence undermining efforts of the programmes to eradicate poverty. 3 respondents however indicated that they are reviewing and widening the scopes of non-contributory social protection programs to be more inclusive. As one quoted,

“We are having monthly meetings to review the programs and see how we can enhance them and incorporate more vulnerable Kenyans in the social safety nets.”

4.6 Objective II: Analysis of the Measures Enhancing Social Protection Programs

The measures enhancing social protection programs was theme II which attempted to answer the question; What are the measures of enhancing noncontributory social protection programs and provide recommendations? This theme has three subthemes; Policy and institutional framework, Monitoring and evaluation framework and Human resource capacity.

4.6.1 Strengthening Policy and Institutional Framework

The key to implementing any program is the policy and institutional framework upon which the program is anchored. As enshrined in the Kenyan Constitution (CoK, 2010), Social protection has been provided for under article 43 (1). The social assistance Act of 2013 is meant to breathe life into the article and allow for the enforcement of the policies. The Act is anchored on meeting two main objectives: establishing the National Social Assistance Authority (NSAA) and providing social assistance to persons in need (RoK, 2013). The Act also provides for social assistance in the

form of financial assistance and social services. Its overarching aim is to ensure that people are on the right footing when it comes to social-economic development.

Table 4.7 Policy and Government Word Query

Word	Length	Count	Weighted Percentage (%)
cash	4	23	1.33
beneficiaries	13	21	1.21
government	10	15	0.87
policy	3	15	0.87
efforts	7	11	0.63
funds	5	11	0.63
budget	6	10	0.58
criteria	8	10	0.58
information	11	10	0.58

However according to one respondent; the government has been cautious in enforcing the Act as it contradicts the National Social Protection Policy (NSPP) of 2011, which is arguably the anchor policy in Kenya’s social protection space. The contradictions manifest in the management and oversight of social protection programs. Whereas the policy puts the administration and management of SP programs under the National Social Protection Council (NSPC), comprising of representatives of the government ministries involved in social protection such as the private sector, employers, workers, development partners, community groups, and voluntary organizations; the Act proposes the establishment of a National Social Assistance Authority (NSAA) which is relatively autonomous with a management board chaired by a competitively recruited person that is appointed by the minister in charge of social security and services.

As quoted by one respondent from the secretariat;

“NSAA has the power to establish its branches in the country and raise funds for SP. At the same time, the policy stipulates the management structure that runs from the NSPC and a social protection secretariat hosted by the ministry in charge of social security and services to administrators and committees at county and sub-county levels.”

The main theme here was that overlap and inconsistency in the management of social protection has slowed down the implementation of social protection programs in Kenya. While social protection measures are a constitutional right, structures to implement legal frameworks are still weak; major requirements and provisions of the laws and policies have not been fully enforced.

Another emerging sub-theme was the extent to which Kenya's safety net policies and legal frameworks were not aligned with the changing socio-economic and political circumstances. The fact that specific sectors and actors are driving the development of various legal frameworks tends to limit sectoral policymakers' ability and/or willingness to cross-reference legislation in other sectors. As one respondent would point out:

“Poverty among the elderly and child vulnerability are inextricably linked to the point that, in areas where poverty is widespread, children who survive a lifetime of poverty often face a later life of worsening poverty. However some of these intertwined relationships are overlooked when formulating regulations.”

On the same breadth, another respondent observed that poverty rates are higher for older persons in countries with a high prevalence of HIV. In particular, high mortality among young adults means not only that many older persons have lost potential family support from adult children, but have now also assumed greater responsibility for generating adequate income as well as to care for grandchildren, yet this is not sufficiently recognized in the current legislation.

Five respondents shared that fragmentation and lack of coherent coordination mechanisms has resulted in missed opportunities for ensuring efficiency of the investments made. Consequently, duplication of effort and parallel implementation structures do not optimize the limited capacity or support a coherent approach to capacity building across the sector. The concerns are well noted, and the respondents from the secretariat acknowledged that they are being addressed. As one indicated:

“There’s continued review of the existing framework to allow for robustness in how we implement the programs. This would ensure that the most vulnerable population are protected from the catastrophic possibility of plunging in poverty.”

Additionally, respondents expressed concerns on the disparities of practices and standards among the entities that administer social protection programs and that there is a need to set clear guidelines for domains of social protection. The program implementers have proven useful in sharing feedback on how the program could be improved. While there are substantive efforts towards cohesion in practices amongst national-level partners, the coordination at the county level still requires strengthening. As quoted by a respondent;

“There are reasonable concerns around how NGOs and County governments go about targeting, feedback and grievances, graduation of beneficiaries, or setting transfer value(s) within their social protection programs. After collecting their data, they should share it immediately with National bodies to allow for compilation and further integration.”

Institutional framework guidelines, policy formulation, and protocols are instruments that facilitate quality initiatives and optimum outcomes, and it must be recognized that such guidelines can only be as successful as the determination to follow them. These policy structures are created at the national level. However, one of the respondents shared that there needs to be harmony to be cascaded to the local level, allowing different initiatives to be designed and executed tailored to the specific beneficiaries. Some of the services take a top-down approach and are one-size-fits-all, which means they can overlook some of the target population's unique needs.

Three respondents highlighted that the current framework provided limited room to cater for their line items like civic education, denying them to have a substantive budget for awareness creation. Their target beneficiaries are not aware of how the programs works and how they could benefit. A respondent statement captured this;

“There is a need for community involvement and empowerment to participate in solving their problems. Some beneficiaries and caregivers are also not aware of their rights and entitlements regarding cash transfers. Because of a lack of knowledge and facts, funds may be embezzled or siphoned by unscrupulous program coordinators.”

4.6.2 Strengthening Monitoring and Evaluation Framework

Social protection programs require robust monitoring and evaluation frameworks to assess whether the programs achieve their desired goals. The feedback from these programs would then help align the program objectives with their anticipated outcome. Eight respondents highlighted lapses in ensuring the existence of a robust measuring mechanism. A sample quote from one respondent was;

“The cash transfer programs are indeed helping in protecting the vulnerable population from economic shocks and risks. Just as we strive to improve coverage, we putting in measures to ensure we are able to measure impact on these programs on poverty eradication.”

The theory of change emerged as the main theoretical based evaluation approach that has become standard model used to explain how social assistance interventions are expected to lead to intended or observed impacts and utility. As one respondent indicated

“Theory of change is considered a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context.”

Another respondent added that

“Theory of change lays out the 'expected story' of the project in advance, thus provides an explicit framework for assessing the long-term results against.”

The theory holds that if these outcomes are achieved the overarching goal of social protection which is “to ensure that all Kenyans live in dignity and exploit their human capabilities for their own social and economic development” shall be on track to being achieved. However reliance on theory of change has flaws as it doesn’t address the gaps in causal attribution as well as missing feedback loops. According to Davies (2018) Articulating a theory of change at the outset and gaining agreement on it by all stakeholders reduces, but does not eliminate, problems associated with causal attribution of impact. A theory of change specifies, up front, how activities will lead to interim and long-term outcomes and identifies the contextual conditions that may affect them

however this does not eliminate all alternative explanations for a particular outcome. One senior member of the secretariat reiterated that

The presentations for theory of change are more or less circumscribed and intentional simplified generalizations that tend to have few linkages to the wider aspect of world surrounding.

Regarding quantitative evaluation processes, ten respondents pointed out that there are some challenges in administering a comprehensive M&E system for the social protection programs. The main theme was that the process of developing a robust system requires a high level of capacity building, political goodwill, and continuous implementation, which is resource-intensive. The respondents noted the government commitment to developing evaluation mechanisms into the institutional framework of social protection programs employing a harmonized approach and facilitating complementary programs to support social protection and broader development objectives. As one respondent would assert:

“The ministry has created a monitoring and evaluation framework that guides its vision between 2018 and 2022 and which outlines the outcomes we envision as an organization.”

However, two respondents expressed concern that the framework is set on paper, and there is a challenge in the accurate execution of the exact evaluations. Monitoring the existing programs was considered rather expensive, requiring intensive resources to track the beneficiaries for extended periods. A different respondent shared that;

“Even with the existing tools for data collection, it is a challenge tracing the beneficiaries. We also face the challenge of monitoring the use of the funds to ensure that the beneficiaries use the funds in ways that would improve their lives.”

In the absence of a comprehensive impact evaluation report, it is difficult to assess the effectiveness of social protection programs on human development and poverty eradication or even compare different schemes and better understand what works and why. Feedback is a major aspect of monitoring and evaluation; the secretariat has developed management information systems (MISs)

to monitor registration and complaints arising from the system. However 5 respondents expressed frustrations at the decentralized authorities who at times don't enter the feedback in MIS.

“The responsibility of updating the complaints and grievances into the MISs has been decentralized to the county level yet there no adequate trained personnel to carry out these tasks.”

Another respondent added that:

“As much as a help and grievances hotline has been set up the broader call center system is not fully operational because of staffing constraints.”

This demonstrates that the feedback mechanisms are insufficient thus the program implementers are unable to make structural adjustments nor build on the strengths of the various programs hence undermining their effectiveness to eradicate poverty. The feedback from the program's impact is equally useful in measuring the milestones reached in the implementation.

4.6.3 Enhancing Human Resource Capacity

Human resource capacity enhancement refers to continuous development of man power to constantly achieve the set vision and mission of any organization and encompasses training and development and the use of other human resource development initiatives aimed at improving the performance of individuals. It involves a planned approach to learning aimed at changes in knowledge, skills, understanding, attitudes and values in the behavior of a learner or group of learners (Bruwer & Rossouw, 2019)

According to the program implementers, for the programs to be effective the human resource has to be robust and well trained. As indicated by one of the respondents:

There's need for proper planning and various activities within the program assigned to a particular individual, department or organization that should have proven experience and the capacity to achieve the goals

The high rate of human resource turnover has proved to be a deterring factor in implementation quality, typically delaying implementation or increasing work load for others, while new staff are

hired and trained. As observed by two of the secretariat members: Staff turnovers has been a major challenge and in social work profession this seriously compromises the delivery of social services to the public.

As one respondent would observe

There's need for motivation and creating a conducive work atmosphere in order for us to keep our employees.

All respondents concurred that education and on job training for personnel was key to improving the delivery of the programs .This underscored importance of education and training as a human resource capacity enhancement in social work. One respondent from the steering committee however warned that training should be delivered in a systematic manner with consideration to the quality of the trainings, the demand, the gaps in the community, and sustainability strategy.

“Comprehensive training equips the workers for the challenges they should expect in their work and how to address them.”

The common theme here was that in order for programs to be effective, oversight groups must have competent employees. Additionally, respondents acknowledged that formal education does not always equip employees with the appropriate skills to thrive in an organization. On job training is crucial for satisfying the precise requirements for a program's success. As a senior member of the steering committee would assert

“The availability for all employees having access to training and development programs is critical in facilitating organizational growth, particularly with performance and technological improvements.”

All members of the technical committee confirmed that various social protection programs include on-the-job training designed to align individual performance with team and organizational objectives, maximize strengths, improve communication between managers and teams, assist individuals in taking ownership and responsibility for their behaviors and actions, and encourage individuals to stretch beyond their perceived constraints.

CHAPTER FIVE

DISCUSSIONS, CONCLUSIONS, AND RECOMMENDATIONS

5.1 Introduction

This chapter presents a discussion of the findings, conclusions, and recommendations. The chapter begins with discussing the findings in chapter four according to the study methodology before discussing the conclusions drawn from the specific objectives. The chapter concludes the study by providing recommendations for future research on the topic.

5.2 Discussions of the Findings

5.2.1 Analysis of Factors Undermining Effectiveness of Social Protection

5.2.1.1 Coverage

The study established that generally, Kenya still has low coverage of social assistance programs even though the government has launched several SP programs to combat poverty. Most of them have a rural focus, and few cover the urban areas. Regarding the noncontributory programs implemented, the social security and health insurance systems are not adequately covered. First, there is a need to strengthen and scale up existing social assistance programs while widening their geographical and demographic coverage. These sentiments are consistent with Schmitt (2020) who noted that expanding the social programs by combining both non-contributory systems and the more inclusive contributory ones will be critical to improving the coverage.

To ensure the extended coverage is sustainable and that those who have graduated from the programs don't fall back to the poverty traps, the government needs to connect beneficiaries of social assistance programs to other services to ensure complementarity across programs by establishing systems that would enable safety net beneficiaries to transition from safety net programs such as the CT-OVC to programs aimed at helping them to rise out of poverty and into productive employment such as youth employment programs. An important consideration in this respect will be how best to build stronger links between cash transfers and other services and programs such as health insurance, agriculture, and youth employment services to meet the wider needs of vulnerable people and communities. Similarly, Ulrichs (2016) noted that enhancing the policies guiding social protection programs will help in advancing the awareness, participation and

coverage of the programs. Leslie, Doubova, and Pérez-Cuevas (2019) in their study were also of the opinion that conducting routine assessment of the coverage programs will help in the identification of gaps in the project as well as widen the coverage scope.

There's need for social security sector reforms to strengthen the existing regimes while establishing comprehensive social security arrangements that will extend coverage to all workers, whether in the formal or informal sectors and their dependents. For example, the government needs to incorporate a non-contributory component in the NHIF program to enable coverage to be extended to the extremely poor population who cannot afford to pay. Additionally, mandated postretirement healthcare coverage is necessary, as the majority of retirees will be unable to afford the voluntary contribution to the NHIF required to ensure coverage. Consistent with this line of thought, Bacil and Silva (2020) contend that improving the planning for coverage measurement is critical to targetting and advancing the coverage of social protection programs. More so, incorporating better monitoring and evaluation tools will help identify protection gaps and support the formulation and implementation of evidence-based policies that strengthen the national social protection system.

5.2.1.2 Targeting

The study established that cash transfer programs employ community-based targeting, which introduces significant bias and results in relatively arbitrary selections. As a result, this may result in the exclusion of deserving poor households while including undeserving households. However, in their paper, Winkler, Bulmer, and Mote (2017) revealed that utilization of targeting models focused on formal-means testing of households will help drive the targeting criteria and reach the neediest groups in society. Additionally, the developed methodology for scoring the Propensity Meant Test (PMT) is complex and resource-intensive. There is a need to simplify the process and align it to the real administrative capacity of the government. The current PMT also relies on the 2015/2016 KIHBS, which may not present the updated poverty situation in certain regions.

It will be necessary to update the poverty criteria used when calculating PMT scores, and this can be done by involving the target groups in planning to get their support and promote cohesion. This equally applies when targeting deprived polygamous families, which has proven to be a challenge. To this end, it is crucial to have a common understanding amongst the project staff and potential

beneficiary households on who should be targeted and how. This is consistent with Wheeler (2018) who in their research concluded that proper targeting requires evidence based assessments. This will be key to ensuring that different households need diverse types of support for different lengths of time and ensure that heterogeneity can be achieved in the social protection programs.

The study noted that ineligible individuals were included in the NSNP or that some beneficiaries were receiving benefits from multiple programs. This means efforts of social assistance programs were not benefitting those who need it the most, and this can be attributed to the loopholes in targeting mechanisms. These results border Cuesta et al. (2021) who noted that poor development and implementation of the social safety programs led to lack of effectiveness and achievement of the desired benefits within the community. Cirillo and Tebaldi (2016) also revealed that to avert failures in the program there is need for firms to enhance the targetting mechanism for non-contributory programs. The researchers revealed that targeting was a key aspect affecting the delivery of protection programs. This points to the need for recertification of NSNP beneficiaries, including a need to ascertain the VMG status of beneficiaries and reregister them in the NSNP, as appropriate. In general, poverty targeting is used as one of the requirements for disbursing social assistance benefits within the country; however, high levels of vulnerability and poverty necessitate expanding coverage and moving away from targeted approaches in favor of universal coverage as enshrined in article 43 of the constitution. This assessment aligns to the findings of Gentilini (2015) who noted that establishing effective targeting to ensure that the welfare programs reach the people that need them the most was crucial to achieving the goals of the Kenya's Urban Safety Net Programme's.

5.2.1.3 Financing

Kenyan government is the primary funder of noncontributory social protection programs; however, there are competing priorities in spending by the government like the Big Four agenda. This has led to political focus that influence support towards specific public policies being minimal leading to the current inadequate level of funding for social protection goals. These findings mirror the observations by Gardner et al. (2020) there is need to consider social protection financing from the central government directly from the taxation revenue streams and ensure this is encouraged through the devolved units. Schmitt (2020) also noted that scaling up the level of financing for

these social protection programs will be critical to achieving effectiveness and quality of support delivery.

The study also noted, it's essential to optimize the resources available for social protection and to suggest strategies for widening the resource base, the scope of which will include discussions around synergies, efficiency, communicating impact, budget influencing, and the linkage to the Big Four Agenda. Further, the county governments, on their part, need to expand their outlays for social protection if they are to fill the gaps and raise the overall level of support. Social protection programs should be viewed as priority entitlements for public funding, and they, like all public goods and services, should benefit from fiscal space expansion. Holzmann and Grosh (2008) also advocated for governments to partner with development partners to drive the financing capacity for the social protection programs. This is in line with Kirera, (2012) who suggested that having contingency plans will ensure that the financial sustainability of the social protection programs is ensured.

On their part; the organizations in charge of overseeing social assistance programs must produce forecasts of the country's social security in the short, medium, and long term in order to promote capital mobilization planning, establish funding structures and refine the flow of funds to ensure predictable transfer payments to beneficiaries. Delays and sporadic payments erode the benefits of the NSNP and make it difficult for households to budget or plan ahead. It is recommended that the ministries and cash transfer programs have regular dialogue with the treasury to reduce the current delays in the fund transmission to the various programs. The administrators also need to work closely with payment service providers to address the problems preventing specific households from opening bank accounts or consult with the beneficiaries to provide alternative modes of payment. Barca (2016) in their examination revealed that improving control of the programs and ensuring that development partners are involved in the management of the programs will ensure there is long-lasting impact to the beneficiaries. Song and Imai (2019) further noted that poor long-term financial planning in Kenyans safety program has been highlighted as one of the key factors that undermined the potential of the program.

The study also established that the cash transfer values have been constant over the past 5 years despite rising inflation hence reducing the purchasing power of the cash transfers. The government

needs to index transfer values to inflation to prevent their purchasing power from diminishing. This would only involve checking the consumer price index once a year to determine whether the purchasing power of the transfer has been eroded and then adjusting the value of the transfer for the following year or setting the cash transfer according to the minimum wage or indexing it to a reasonable proportion of the minimum wage. Welteji, Mohammed, and Hussein (2017) also noted that of low provision of funds, limited awareness of beneficiaries who really need the provisions affected the effectiveness of the Productive Safety Net Programs.

5.2.1.4 Program Design

The study established that the social assistance program designs address the symptoms and not the underlying causes of poverty and vulnerability amongst these groups. As a result, the beneficiaries are perpetually reliant on cash transfers for their survival. The government and its development partners should formulate a strategy to economically and socially empower social protection recipients to wean themselves off social assistance schemes and become financially self-sufficient wherever possible. For Kenya to take a lifecycle approach to social protection, links between social assistance, social security, and health insurance should be established. Synergies created during the implementation of social protection programs will provide incentives (such as skills and start-up capital) for some beneficiaries, such as unemployed able-bodied individuals, to graduate from the programs. This is in line with Reyes, Tabuga, and Asis (2018) who noted that social protection programs should be effectively designed to ensure that in the long-term beneficiaries can be able to rely less on the programs and have a meaningful life.

The government needs to develop a Social Protection Floor (SPF) that includes the following elements: income security through family or child benefits; access to education and essential health services; disability benefits; unemployment benefits; and income security in old age, as recommended by the ILO (through both contributory and non-contributory pensions). Basic social services, such as education, water, and sanitation, and essential health care benefits, such as maternity benefits, will be available to poor and vulnerable households, all of which will be provided by the government. Additionally, social protection programs should be designed to be resilient and adaptable to emergencies and shocks. This enables the government and stakeholders to rapidly and effectively respond to emergencies through well-designed, established, and efficient institutional channels. Following the COVID 19 pandemic, social protection systems must contain

mechanisms that help those affected by risk-creating circumstances, such as unemployment or employment-related illnesses, in reintegrating into the labor market. For instance, proper return-to-work procedures should be incorporated into the framework for occupational injuries and illnesses, and labor market integration should be linked to unemployment insurance schemes. In the long run, this will result in savings because less compensation (benefits) will be required to be paid out at the same time maintaining high levels of economic productivity. This is consistent with results attained in survey in Ethiopia by Lemma and Cochrane (2020) who opined that enhancing the support of the programs through adding value to the community supported eradication of social poverty. Further, coordination with players through timely financing, better targetting of beneficiaries and improved institutional capacity is key to enhancing the welfare of the beneficiaries. Beegle, Honorati, and Monsalve (2018) also noted that changes in the design of the programs was key to improving the effectiveness of the safety net programs and limiting the dependence on the programs within the community.

5.2.2 Analysis of the Measures Enhancing Social Protection Programs

5.2.2.1 Strengthening Policy and Institutional framework

One of the primary challenges confronting policymakers and stakeholders in Kenya is program fragmentation, which has resulted in duplication and inconsistency in operation and implementation of social protection across the country. As a result, it is critical to streamline and coordinate this programming and bring stakeholders together in an effective partnership to agree on the next steps for social protection at both the national and county levels. These observations are in line with Brooks et al., (2010) who noted that most social protection programs fail as result of the lack of adherence to the envisioned project objectives and failure to achieve the goals intended. Further flawed program design and lack of an elaborate governance structure continuously fail the capacity of social protection programs to meet their outcomes. Ouma and Adésínà (2018) also noted that proper policy formulation, de-politicization of the process and involvement of the beneficiaries in the policy development stage will be vital to sustaining the social protection programmes.

The study also noted that to ensure coordination of social protection initiatives at the national, county, and sub-county levels, a framework for implementing social protection interventions throughout the country must be developed, followed by the appointment of independent regulators

and adjudicators to establish guidelines and enforce standards. This is supported by ILO (2017) who reported that developing a robust policy and institutional framework is critical to improving the effectiveness of the social protection programs. Further, improved adoption of better payment processes, management and information systems and effective M&E is vital to achieving the program objectives. Kaltenborn, Abdulai, Roelen, and Hague (2017) also opined that policy and legal frameworks were significantly crucial for the creation and implementation of social protection systems.

The study also established that Kenyan social protection programs take a top-down approach with little community involvement. To address this, the government must conduct a stakeholder analysis in order to facilitate institutional and policy development processes by accounting for and incorporating the needs of those with interest in social protection developments. Stakeholder analysis entails categorizing identified stakeholders based on their relationships with the proposed policy developments, programs, or plans and engaging them to solicit feedback on the policies. Similarly, Devereux and White (2010) observed that shift in the focus of government priorities should be accompanied by similar alignment of social safety programs policies through a top-down approach that will include supportive participation of the beneficiaries. NGECC (2014) also noted that driving sensitization among the beneficiaries and obtaining feedback on the social protection programs is key to achieving better results.

The policies and programs implemented as a result of community involvement are more likely to be appropriate to address the unique needs of the target population, and the approach is culturally appropriate and conducive to the beneficiaries' lives. Furthermore, the implementation of activities at the community level typically involves several partners who support the communities and whom the programs must identify, including their areas of focus, to leverage synergies during project implementation. NGECC (2014) also observed that ensuring the policies formulated are informed by evidence and aligned to the needs of the community and necessary interventions are administered will be vital to achieving the goals of the program.

5.2.2.2 Strengthening Monitoring and Evaluation

Monitoring and evaluation (M&E) is a major challenge in the social protection sector. This is because it is resource-intensive and time-consuming. At the same time, implementation of the laid-out framework has proven difficult. The first step should be for partners and agencies involved in implementing and supporting social protection to commit to a common set of performance, evaluation procedures, and reporting standards. There's a need for a sector-wide M&E framework that will include sector indicators, joint work plans, performance monitoring plans, reporting guidelines, reporting tools, and the results frameworks. As responsibilities for social protection delivery are gradually decentralized to county levels, a system for measuring results against agreed-upon benchmarks, setting performance and quality standards, and developing tools to monitor the delivery of benefits and services will be required. Similarly, information and data from evaluation reports must be compiled and shared with the appropriate stakeholders to compare program results over a specified period and against quantifiable baselines. Impact assessments will seek to ascertain any changes in beneficiaries' livelihoods. These sentiments are expressed in the study by Supplee et al. (2015) who called for the establishment of an evidence-based approach to ensure continued effectiveness of social protection programs. Mathiu (2012) observed that mechanisms and structures for M&E in the Kenyan social protection space are weak, and minimal resources are allocated to these functions, calling for increased investment in M&E structures as a means of promoting transparency and accountability, which ensured deserving beneficiaries receive the social protection services.

Another major monitoring challenge confronting the NSNPs is a lack of feedback from beneficiaries, which can be addressed by ensuring that beneficiaries know the existing complaint and grievance mechanisms. Beneficiary households must be aware of the complaints and grievances processes and understand how to file a complaint. To ensure the feedback mechanism is strengthened, implementers need to establish strong communication channels supported by capable staff and conduct vibrant outreach programs designed to make communities and beneficiaries aware of how to register a complaint and generally communicate within the programs. This would be facilitated by training and knowledge expansion of beneficiaries as well as programs' staff. In the study by Barca (2016), it was ascertained that establishing a grievance mechanism is key to effective social development programs since it allows beneficiaries to provide

feedback regarding their satisfaction with the implemented services. Abalang (2016) also reported that M&E factors improve project performance through facilitating information sharing which enables the identification of gaps that need to be improved upon. Vale (2016) also demonstrated that M&E had led to the creation of a new more inclusive protection program for poor residents in Mexico.

5.3 Conclusion

Based on the analysis of the study the research noted that coverage, financing, targeting and programmed design were among the main factors affecting the effectiveness of non-contributory social protection programs. The study findings established that the programs provide social protection to as many people as the programs can hold and protect them from further deterioration of their household living conditions. The researcher noted improving the geographical coverage of the non-contributory social protection programs was vital to enhancing the eradication of poverty within our communities. The study revealed that social safety programs have been directed to areas with the highest poverty rates, though not necessarily to those counties with the most significant numbers of people in poverty.

The study concludes that poor targeting was a key factor that undermined the effectiveness of non-contributory social protection programs to eradicate poverty. The findings revealed that the elderly and those past retirements were quoted as the most likely target. The study concluded that improved targeting and ensuring the program is consistent with the objectives of the safety net program was vital to providing assistance to the most vulnerable within the society. As such the study found out that adjustments need to be made on the targeting criteria to incorporate more people even those living just above the poverty line and can easily slip into the poverty trap.

The results also showed that insufficient government financing led to poor implementation of the social protection programs. The study also established that the sustainability of the ongoing cash transfer programs would be ascertained by increased external resources such as donor funds and other development partners to reduce the financing gaps. The study also concluded that due to resource constraints, social transfer programmes are designed as household benefits, rather than individual entitlements. This affects the programmes effectiveness to achieve universality and inclusivity and ultimately achieving SDG 1. As such, ensuring that the financing requirements of the program are met will be critical to the effectiveness of the social transfer programmes.

The study revealed that equally, there were gaps that needed to be addressed when it comes to the implementation of the programs, which include policy framework gaps, improper program designs, and inadequate monitoring and evaluation of various programs. The study established that for any social protection scheme to have the desired impact on poverty eradication, it needs to be implemented effectively no matter how well-designed it is on paper. Successful implementation requires a robust administration supported by sound policies and institutional arrangements and systems to manage information, finances, communications and outreach, and grievances, backed by regular monitoring and evaluation. The simpler the design of a scheme, especially in terms of eligibility, the more likely it is to reach all those it intends to reach and the easier it becomes to implement and manage.

The review revealed that main measures of enhancing the social protection programmes were rooted in strengthening the policy and institutional framework, building human resource capacity and enhancing the monitoring and evaluation. The study concluded that overlap and inconsistency in the management of social protection has slowed down the implementation of social protection programs in Kenya. Further, the review showed that safety net policies and legal frameworks were not aligned with the changing socio-economic and political circumstances thus limiting the effectiveness of the social protection programmes. The study also concluded there is need for a robust monitoring and evaluation programme to ensure that reviews and feedback from the process are integrated in the program to ensure there is sustainable attainment of the program objectives.

The study concluded that the government should play a central role in developing an evaluation mechanisms that is consistent with the institutional framework of social protection programs to ensure they can attain their goals. The study further affirms that improvement of the social skills of the community health workers and supporting their capabilities through empowerment programmes will be key to enhancing the effectiveness of social protection programs. Further, supporting community health workers through collaborations with health experts and donor agencies will help in developing of targeting mechanisms and supporting better financing and coverage of the programs. Furthermore, promoting accountability, coordination and equal distribution of quality agents will vital to improving integration of national policies into rural populations during the implementation of social protection programs.

Lastly, the study concluded that cash transfers form the bulk of the non-contributory social protection programs, and indeed, the payments have helped the targeted poor population survive harsh economic times. However, based on a mix of contributory and non-contributory schemes, sustainable social protection systems need to be grounded in the rights-based provisions of the constitution, which covers all men, women, and children throughout the lifecycle. In line with the country's commitments to build a social protection floor and uphold the right to social security, the government should extend social protection at least at a nationally defined minimum level to everyone and extend the depth of coverage over time.

5.4 Recommendations

5.4.1 Contribution to Knowledge

The current study adds to a growing body of literature on the topic of factors undermining the effectiveness of social protection programs as a poverty eradication mechanism in Kenya. These findings enhance our understanding of policies, practices, and guidelines that social protection programs have put in place to become effective. These findings could be used in practice by social protection program managers and planners to help develop better policies to ensure the programs' long-term viability. This study could also serve as a foundation for future research in the field of social protection.

5.4.2 Contribution to Policy

First, existing social assistance programs must be strengthened and scaled up while expanding their geographic and demographic reach through universal targeting. The social protection programs should also be designed to take a life cycle approach rather than the periodic payments to beneficiaries. The study suggests that enhanced and robust targeting mechanisms be implemented, as well as increased fairness in vetting households who qualify to receive the government cash transfers to ensure that the funds are delivered to the intended recipients. To avoid political sway, favoritism, clannism, and nepotism, specific criteria for vetting beneficiaries should be established, as these will jeopardize the achievement of the intended effects of such cash transfers.

The study recommends the need to increase social protection budget allocations and expand program reach. This can be accomplished by enlisting more funding partners and improving

allocative and logistical efficiencies so that most of the funds and benefits go to the beneficiaries rather than the operational costs. On cash transfers services, it is recommended that pay points be sufficiently accessible to recipients, especially those who have difficulties traveling, and those who are unable to open bank accounts should be allowed to provide alternative means of receiving payments.

The study found that there is limited coordination and fragmentation of programs resulting in scale diseconomies. It recommends that the various programs should be domiciled under one coordination body. This can be achieved by expanding the mandate of the Social Protection Secretariat and establishing an integrated sector-wide approach to data and information systems. The study proposes that there's a need to establish linkages between early warning systems and social protection systems to make them shock-responsive (e.g., inclusive targeting and registration, strengthening cash delivery mechanisms for timely scale-up, contingency budgeting at national and sub-national level to increase support for humanitarian assistance, climate change, and disaster risk reduction).

The study recommends the development of comprehensive monitoring and evaluation (M&E) systems to address complex issues and provide data on the effect of integrated policy responses. M&E should provide information about the structure and level of total social spending and performance metrics for the system's efficacy, reliability, population coverage, and benefit adequacy. There is a need to also develop an efficient feedback and communication structure where complaints, grievances, and even compliments can be recorded. This forms a major component of monitoring and evaluation.

5.6 Suggestions for Further Research

This study focuses on non-contributory social protection programs under the National Social Protection Program (NSNP). Future studies need to be extended to contributory and other forms of social protection programs to understand the factors undermining their effectiveness. A similar study needs to be done in economies with a more developed social protection framework where the factors highlighted in this study have been adequately addressed for a period of time in order to ascertain the validity of the findings obtained in this research. Aside from interview schedules,

different data collection and analysis models could be used on similar studies to gain a thorough understanding of the relationships between the variables being studied.

5.7 Limitations of the Study

The population of the study was the management personnel of the organizations overseeing social assistance programs. This limited the researcher to rely on responses provided, and on some aspects where inadequate data was provided, secondary data was utilized. As much as the sample size was representative of the target population, a bigger sample size could be used, including the Beneficiary Welfare committees, chiefs, local program implementers, and even beneficiaries, to give a broad and in-depth understanding of factors undermining the effectiveness of social protection programs. The researcher sought information from the top and highly knowledgeable representatives from the oversight organizations to address this limitation. Some of the respondents targeted in this study were reluctant to provide information, fearing that the information being sought would be used to intimidate them or print a negative image of their organization. The researcher handled this by sharing an introduction letter from the University to assure them that the information they provided was treated with confidentiality and was used purely for academic purposes.

Further, the reliability of primary data was limited to the extent to which the respondents were willing to provide accurate, objective, and reliable information. The researcher checked for consistency by augmenting the primary collected with the information collected from secondary sources and also given the knowledge and roles of the respondents in their organizations, the researcher inferred that the sourced information was sufficient in highlighting the most compelling factors undermining the effectiveness of non-contributory social protection programs to eradicate poverty.

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APPENDICES

Appendix I: Introduction Letter

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Cell: +254 703 4 1062, Tel: +254 20 505050
Email: info@bsbse.co.ke or vis. www.bsstrathmore.edu



Monday, 23 November 2020

**RE: FACILITATION OF RESEARCH OKOTH FRANKLINE MANYALA MDF
102363/17**

This is to introduce Okoth Frankline Manyala who is a Master of Science in Development Finance student at Strathmore University Business School, admission number MDF 102363/17. As part of our MDF Program, Frankline is expected to do applied research and undertake a project. This is in partial fulfilment of the requirements of the MDF course. To this effect, he would like to request for appropriate data from your organization.

Frankline is undertaking a research paper on "FACTORS UNDERMINING THE EFFECTIVENESS OF SOCIAL PROTECTION PROGRAMMES AS A POVERTY ERADICATION MECHANISM IN KENYA." The information obtained from your organization shall be treated confidentially and shall be used for academic purposes only.

Our MDF seeks to establish links with industry, and one of these ways is by directing our research to areas that would be of direct use to industry. We would be glad to share our findings with you after the research, and we trust that you will find them of great interest and of practical value to your organization.

We appreciate your support and shall be willing to provide any further information if required.

Yours sincerely,

A handwritten signature in blue ink, appearing to read "Veronica Munia".

**Veronica Munia,
Manager | Graduate Programmes, Strathmore University Business School**

Appendix II: Interview Guide

Section A: Participants details

1. Name (optional).....
2. Employer.....
3. Role in the organization.....
4. Period in the organization.....

Section B: Coverage

- i. What is the coverage level of non-contributory social protection programs: what's the percentage against the national need?
- ii. Does population growth affect the coverage levels of non-contributory SP programs?
- iii. What proportion of rural and urban population are covered by social assistance?
- iv. What are the efforts made to expand on the coverage of social assistance programs?
- v. How often is the national database of beneficiaries updated to incorporate the new and graduated beneficiaries?

Section C: Targeting

- i. What are the targeting mechanisms for various non-contributory social protection programs?
- ii. What is the eligibility criteria?
- iii. What are the registration and data collection procedures?
- iv. Are the programs adaptable to the various needs of different demographics?
- v. How can targeting be enhanced?

Section D: Financing

- i. What's the annual budget of social assistance programs offered by the government?
- ii. Are the periodic disbursements sufficient to cater for the needs of the marginalized and vulnerable population: is inflation factored in?
- iii. What are the alternative means of raising funds to supplement the government budget?
- iv. What is the periodic interval of disbursing funds for the various cash transfer programmes?
- v. How does is the mode of payment to beneficiaries; what is the intended use of the money?

Section E: Program Design

- i. What is the criteria of designing and implementing a social assistance program?
- i. How do you coordinate and harmonize various programs to ensure there is no duplication of efforts considering some NGOs also have similar programs?
- ii. How is the sustainability of the ongoing cash transfer programs ensured?
- iii. What are the alternative non-contributory SP programs used besides cash transfers?
- iv. How are adjustments made to programs based on prevailing conditions?

Section F: Policy and Institutional Framework

- i. What is the policy framework for noncontributory social protection framework?
- ii. How are the policies formulated? Who are involved in developing policies?
- iii. Which organizations or government levels are charged with implementing the policies?
- iv. What overlaps and gaps exist in enforcing policies?
- v. Are the policies aligned to the dynamic socio-economic conditions?

Section G: Monitoring & Evaluation

- i. What are some of the monitoring and evaluation tools used to measure the impact of the safety net programs?
- ii. How are the tools developed, tested and deployed?
- iii. How often does the organization do monitoring and evaluation?
- iv. What's incorporated in the annual progress reports?
- v. How is the feedback utilized?

Section G: Enhanced Human Resource

- i. Are the programs personnel adequate to implement the social protection programmes
- ii. Are program implementers professionals and are they academically qualified
- iii. Do staff undergo training?
- iv. What is the staff turnover?

Appendix III: Ethical Approval



4th June 2021

Mr Okoth Frankline
frankline.okoth@strathmore.edu

Dear Mr Okoth,

RE: Factors Undermining the Effectiveness of Social Protection Programmes as A Poverty Eradication Mechanism in Kenya

This is to inform you that SU-IERC has reviewed and approved your above SU-master's research proposal. Your application reference number is SU-IERC1015/21. The approval period is 4th June 2021 to 3rd June 2022.

This approval is subject to compliance with the following requirements:

- i. Only approved documents including (informed consents, study instruments, MTA) will be used
- ii. All changes including (amendments, deviations, and violations) are submitted for review and approval by SU-IERC.
- iii. Death and life-threatening problems and serious adverse events or unexpected adverse events whether related or unrelated to the study must be reported to SU-IERC within 48 hours of notification
- iv. Any changes, anticipated or otherwise that may increase the risks or affected safety or welfare of study participants and others or affect the integrity of the research must be reported to SU-IERC within 48 hours
- v. Clearance for export of biological specimens must be obtained from relevant institutions.
- vi. Submission of a request for renewal of approval at least 60 days prior to expiry of the approval period. Attach a comprehensive progress report to support the renewal.
- vii. Submission of an executive summary report within 90 days upon completion of the study to SU-IERC.

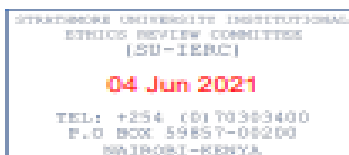
Prior to commencing your study, you will be expected to obtain a research license from National Commission for Science, Technology and Innovation (NACOSTI) <https://research-portal.nacosti.go.ke/> and also obtain other clearances needed

Yours sincerely,

A handwritten signature in black ink, appearing to read "Virginia Gichuru".


Dr Virginia Gichuru,
Secretary; SU-IERC


Cc: Prof Fred Were,
Chairperson; SU-IERC



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Appendix IV: NACOSTI Approval



REPUBLIC OF KENYA



**NATIONAL COMMISSION FOR
SCIENCE, TECHNOLOGY & INNOVATION**

Ref No: 242262 Date of Issue: 02/February/2021

RESEARCH LICENSE




This is to Certify that Mr.. Frankline Manyala Okoth of Strathmore University, has been licensed to conduct research in Nairobi on the topic: FACTORS UNDERMINING THE EFFECTIVENESS OF SOCIAL PROTECTION PROGRAMMES AS A POVERTY ERADICATION MECHANISM IN KENYA for the period ending : 02/February/2022.


License No: NACOSTI/P/21/8773

242262

Applicant Identification Number


Director General
**NATIONAL COMMISSION FOR
SCIENCE, TECHNOLOGY &
INNOVATION**

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