European Commission

Towards the development of a common ECHO-DEVCO **guidance package** on

"Shaping **social protection** as an effective short and long-term response to **multivariate shocks, protracted crises and displacemen**t"

International
Cooperation
and Development

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About the initiative

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List of Acronyms

AFD	French Development Agency (France)
ASiST	(EC) Advisory Service in Social Transfers
ASP	Adaptive Social Protection
BMZ	Federal Ministry for Economic Cooperation and Development (Germany)
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
CaLP	Cash Learning Partnership
CODI	Core [Systems] Diagnostic Instrument
CoP	Community of Practice
DEVCO	(EC) Directorate-General for International Cooperation and Development
DFID	Department for International Development (UK)
DRC	Democratic Republic of Congo
EC	European Commission
ECHO	(EC) European Civil Protection and Humanitarian Aid Operations
EEAS	European External Action Service
EFTA	European Free Trade Association
EMPL	(EC) Directorate-General of Employment, Social Affairs and Inclusion
EoI	Expression of Interest
ERC	Enhanced Response Capacity
EU	European Union
EUTF	European Union Trust Fund
FAO	(UN) Food and Agriculture Organisation
GIZ	German Corporation for International Cooperation
GPGC	(EC) Global Public Goods and Challenges
IDP	Internally Displaced Person
ILC	International Labour Conference
ILO	(UN) International Labour Organisation
ISPA	Inter-agency Social Protection Assessment
JHDF	Joint Humanitarian Development Framework
LDC	Least Developed Country
LRRD	Linking Relief, Rehabilitation and Development
MDG	Millennium Development Goal
MDTF	Multi-Donor Trust Fund
MIC	Middle Income Country
MOOC	Massive Open Online Course
MKS	(EC) Methodological and Knowledge Sharing Support Programme
MS	(EU) Member State
M&E	Monitoring and Evaluation
NEAR	(EC) Directorate-General for Neighbourhood and Enlargement Negotiations
NGO	Non-Government Organisation
ODI	Overseas Development Institute
OECD	Organisation for Economic Cooperation and Development
OPM	Oxford Policy Management

PCM	Programme Cycle Management
PSNP	Productive Safety Nets Programme
RIMA	Resilience Index Measurement and Analysis
SDG	Sustainable Development Goal
SGBV	Sexual and Gender-Based Violence
SOCIEUX+	(EC) EU Expertise in Social Protection, Labour and Employment
SOP	Standard Operating Procedure
SP	Social Protection
SPF	Social Protection Floor
SPIAC-B	Social Protection Inter-Agency Cooperation Board
SPS	(EU) Social Protection Systems
TA	Technical Assistance
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations International Children's Emergency Fund
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
USAID	United States Agency for International Development
WB	World Bank
WFP	(UN) World Food Programme
WHS	World Humanitarian Summit

1　Introduction

1.1　Background

In May 2016, the World Humanitarian Summit brought international attention to the growing frequency, significance and complexity of shocks, humanitarian crises and emergencies. There is a clear consensus that responses to crises of such magnitude require to be organized and prepared in an efficient and effective manner between humanitarian and development actors with a vision of creating long-term and sustainable response mechanisms and prospects of decent livelihoods for crisis-affected populations, including those in protracted displacement. The robust and yet widely flexible delivery mechanisms of social protection make this policy instrument attractive as it allows the rapid channelling of funding to people most in need. While the agenda around building national social protection systems has largely been developmental in nature, the humanitarian community could play an important role in aligning with and complementing these efforts where appropriate and consistent with humanitarian principles.

In December 2016, the EC tasked a team of consultants to lead and facilitate the preparation of a common DEVCO-ECHO guidance package on 'Shaping social protection as an effective short and long-term response to multivariate shocks, protracted crises and displacement' for dissemination to staff working in EC Headquarters, EU Delegations and ECHO Field offices.[1] The guidance package is expected to make use of various media formats to reach different audiences. Its objective is as much to help raise awareness as to formulate practical recommendations and guidance on how, on the one hand, the EC can encourage and support, whenever feasible and appropriate, the use of social protection mechanisms to mitigate, respond to and recover from crises, and how, on the other hand, humanitarian interventions can contribute to the progressive building of sustainable national social protection systems. A first complete version of the guidance package is expected by the end of 2017.[2]

The assignment was jointly initiated by DEVCO B3, DEVCO C1 and ECHO B1. Its implementation was envisioned in two successive phases:

- A first phase (December 2016 to February 2017) that would include mapping what selected organisations do in this area, developing a framework of the role of social protection in humanitarian contexts, suggesting criteria for the selection of a number of country case studies to be undertaken in Phase 2, and proposing an outline of the guidance package;

- A second phase (March 2017 to February 2018) that would include conducting the selected country case studies, developing the guidance package in the agreed formats, making the different components of the package accessible, and delivering an initial 4-5-day EC staff seminar on the subject for 30-40 participants late 2017, to be repeated early 2018 as an EU seminar with EUMS representatives.

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[1]　The initiative is jointly coordinated by DEVCO B3, DEVCO C1 and ECHO B1, in collaboration with DEVCO C1's ASiST advisory service and DEVCO 06's Methodological and Knowledge Sharing (MKS) support programme.

[2]　The guidance package is envisioned as a set of living products.

1.2 Phase 1 of the initiative

During the first phase of the assignment, the team focused on: collecting relevant materials, policies, guidance, tools and instruments developed by the EC and other international actors; consulting with other actors and exploring options for strategic collaborations; providing an initial framework for considering the role of social protection in humanitarian contexts; developing a long-list of potential case studies to be undertaken in the second phase, with suggested criteria for selecting between them; and outlining the envisaged topics and specific media formats to be encompassed in the guidance package. Below is an overview of the main activities conducted:

- A **mapping** of what a few international actors have been doing in this area was compiled based on a series of interviews and document review. This analysis focused on:
  - Selected EU Member States (MS): United Kingdom (DFID) (Annexe 5) Germany (GIZ and BMZ) (Annexe 6) and Ireland (IrishAid) (Annexe 7);
  - Selected United Nations agencies: the ILO (Annexe 9), UNICEF (Annexe 10), the FAO (Annexe 11) and the WFP (Annexe 12);
  - The World Bank (Annexe 13).

- A **consultative session** with EU MS representatives covering social protection and humanitarian aid issues was organised on 18 January 2017 in Bonn, back-to-back with the EU MS meeting on Social Protection in Development Cooperation. It gathered a dozen representatives from Germany, Finland and France. The aim of the session was to exchange on strategies, experiences, challenges and insights into the role of social protection in fragile and conflict-affected environments in addressing multivariate shocks, crises and forced displacements, and in building resilience. Main points are presented in Annexe 8.

- An **online survey** of EC staff members was conducted between 1 and 14 February 2017. It was an opportunity to raise awareness of the initiative across the organisation (DEVCO, ECHO and NEAR headquarters and delegation/field staff), to assess interest in the initiative, to get an initial idea of needs, to identify EC staff with experience in the area of social protection in humanitarian situations, and to collect suggestions for valuable case studies. Annexe 2 presents the questionnaire of this survey. A total of 24 responses were collected. Results are summarised in Annexe 3.

- A restricted **working meeting** was organised on 30-31 January 2017 in Brussels. It was an opportunity to bring together the study team members and five DEVCO and ECHO staff members behind the initiative, and collectively elaborate on the expected outputs of phase 1.

- A **participatory workshop** with an extended group of EC staff members from DEVCO, ECHO, NEAR and the EEAS was organised on 14 February 2017 in Brussels. Over 30 persons joined in. It was an opportunity to hear the experience and expectations of colleagues from other sectors, geographical desks and delegations, to identify real-life case studies as a vehicle for learning, and to connect with a group of Brussels-based EC staff interested in the topic.

1.3 About this report

Findings and orientations emerging from Phase 1 are captured and summarised in this report that, once validated, will guide the development of the guidance package in the second phase of the assignment. Specifically, this end-of-phase-1 report provides:

- A preliminary framework for comprehending the role of social protection in humanitarian contexts as well as opportunities and challenges of providing social protection across the humanitarian-development nexus (Section 2);

- A brief overview of what a few key international actors have been doing in this area along with an initial analysis of emerging gaps and suggestions for strategic collaborations (Section 3);

- An outline of the envisioned guidance package, including main foreseen topics and target-group specific media formats (Section 4);

- Proposed way forward, including suggested criteria for the selection of country case studies to be undertaken in phase 2 (Section 5).
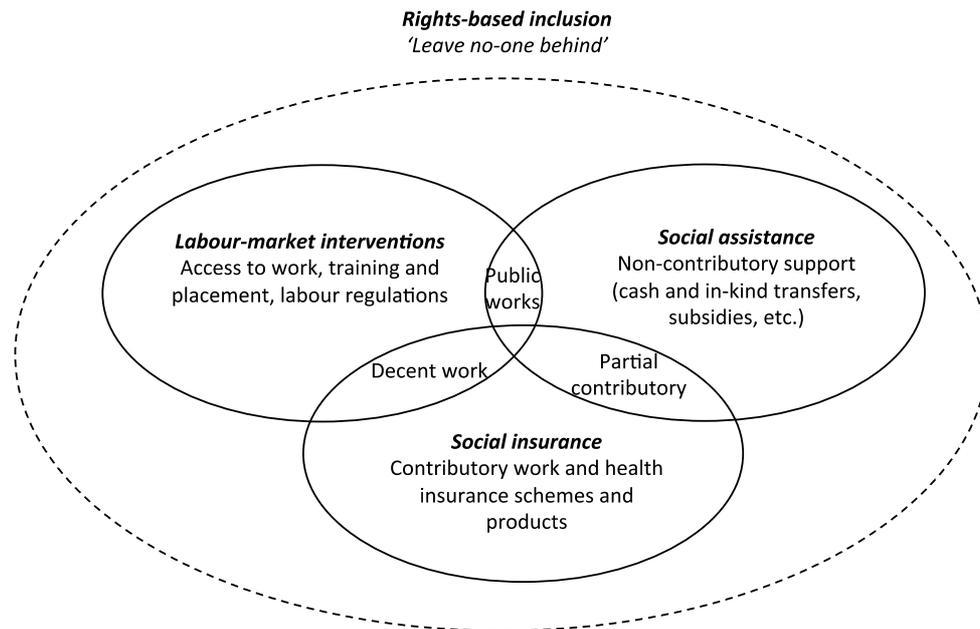
2   Preliminary framework

2.1   An introduction to social protection

Social protection may be broadly defined as policies and actions that: enhance the capacity of all people, but notably poor and vulnerable groups, to escape from poverty, or avoid falling into poverty, and better manage risks and shocks; and aim at providing a higher level of social security through income security and access to essential services (in particular, health and education) throughout active and inactive periods and periods of need throughout the life-cycle.[3] Social protection instruments include a range of both contributory and non-contributory schemes, and the term encompasses a range of public, and sometimes private, poverty reduction mechanisms, such as in-kind and cash transfers, insurance schemes, public works programmes, active labour market programmes, subsidies, programmes facilitating access to social services and associated developmental measures to promote livelihoods or financial inclusion, among others.[4] Social protection measures may be financed nationally out of general taxation, contributions, through aid/external financial assistance or in any mix thereof. Financing sources have important implications for social protection policy design, implementation, impact and sustainability. Increasingly, agencies are applying a rights-based approach across all social protection measures that guarantees access for all, including for groups that have been traditionally marginalised and discriminated against by the national system. This is at the heart of the 'Leave no-one behind' principle of the Sustainable Development Goals (SDG) and the Social Protection Floors (SPF) Recommendation as adopted at the 2012 International Labour Conference (ILC).

Although the understanding of social protection has reached a substantial level of convergence among agencies, the particular emphasis is still placed differently within the spectrum of minimalist or 'residualist' approaches, which view social protection as the set of policy instruments that provide a safety net of last resort primarily targeting the poor, and those approaches embracing a wider set of instruments and policy objectives to include income/consumption support and smoothing and to guarantee access to social services over the course of people's lifetimes. The first approach relies more heavily on means-testing and on notions of poverty relief. Political economy concerns are that narrowly targeted support may lead to weak public support for policy and lower budgetary availability compared with more universalistic systems. The second approach is of more universalistic nature and recognises the 'dynamics' of wellbeing in a lifecycle perspective. For the purpose of this assignment, a broad definition of social protection is adopted, one that encompasses the wide range of social protection instruments and objectives, as shown in Figure 1. This crucially includes social assistance programmes, social insurance schemes and labour-market measures.

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[3]   COM(2012) 446, p. 3.

[4]   European Commission (2015) "Supporting Social Protection Systems", Tools and Methods Series, Concept Paper N° 4.

Rights-based inclusion
'Leave no-one behind'

Labour-market interventions
Access to work, training and
placement, labour regulations

Public
works

Social assistance
Non-contributory support
(cash and in-kind transfers,
subsidies, etc.)

Decent work

Partial
contributory

Social insurance
Contributory work and health
insurance schemes and
products

Source: Authors.

Figure 1   An Overview of the Scope of Social Protection

The intent is to focus on the primary *function* of social protection, which is to ensure that all people at all times have physical and economic access to essential goods and services, and consider the many different alternatives to deliver it to crisis-affected vulnerable populations. This can be achieved through protective, preventive, promotive and/or transformative social protection measures.[5] Transformative measures, such as protective legislation for women's access to land, would address causes of vulnerability at a deeper level than protective measures, such as cash transfers in the aftermath of a shock. Thus, they present a higher potential to bring positive and sustainable changes over the long run. In the short term, protective measures may still be needed to mitigate most damaging effects, such as child malnutrition, that would jeopardise future development. A mix of political, economic, socio-cultural and technological factors informs the choice of measures that are (to be) adopted.

Intervening in challenging and resource-constrained environments and targeting difficult caseloads invite very pragmatic rather than dogmatic approaches. As such, attention should go beyond solely state-led social protection measures and encompass, for instance, informal or solidarity mechanisms, humanitarian interventions and pro-vulnerable private sector initiatives (such as, insurance products or refugee-prioritised business promotion). As illustrated in Figure 2, these different forms of support (that appear in green) can operate in synergy to help deliver the basic function of social protection, and contribute to humanitarian and development outcomes, particularly

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[5]   "Protective measures provide relief from deprivation. […] Preventive measures seek to avert deprivation. […] Promotive measures aim to enhance real incomes and capabilities, which is achieved through a range of livelihood-enhancing programmes targeted at households and individuals, such as microfinance and school feeding. […] Transformative measures seek to address concerns of social equity and exclusion, such as collective action for workers' rights, or upholding human rights for minority ethnic groups." (Devereux and Sabates-Wheeler 2004, p. 10).

where the State lacks capacity or the willingness to include all people. As a result, it is useful not to limit reflections to one specific instrument (such as cash transfers) or set of instruments (such as social safety nets or non-contributory social transfers). Likewise, it is useful to consider a range of social protection providers, and not to limit thinking to state-provided social protection. In low-income countries and fragile and conflict-affected states, it is reasonable to consider that national social protection system will take years if not decades to reach maturity. In the meantime, populations will remain in need of shock-related assistance, with indicators regularly beyond the humanitarian intervention thresholds. In such a context, it makes sense to envision hybrid systems encompassing different social protection providers (state actors, international humanitarian actors, private sector actors, and community actors). Figure 2 also illustrates that social protection measures need to be carefully articulated with humanitarian assistance (that aims for saving lives and livelihoods outcomes) and with actors strengthening the national social service systems upon which the social protection system relies upon. That is, investments in humanitarian assistance, social protection mechanisms and other services for socio-economic development should be carefully aligned for maximum efficiency and impact.
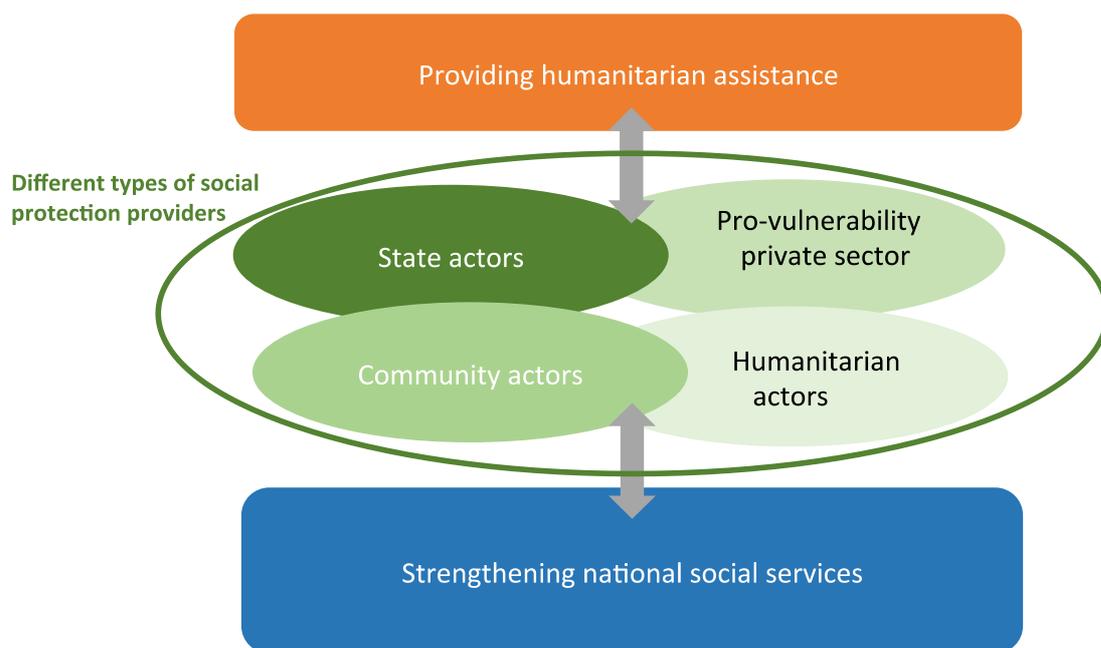
Note: In green are different types of social protection providers that, through various mechanisms, can contribute to deliver the basic set of social protection.

Source: Authors.

Figure 2 Main Building Blocks of Social Protection in Humanitarian Contexts

2.2   A typology of humanitarian contexts

Social protection is by essence meant to protect people in all circumstances, including in the event of a shock, be it the death of a breadwinner in the household (idiosyncratic shock) or global recession (covariant shock). The case of covariant shocks present specific challenges for a social protection system. It implies that an extra number of individuals are in need of social protection benefits at the same time (or the same

number of individuals are in need of extra benefits) while, at the same time, the consequences of the shock may limit the capacity of the system to deliver. This is even more critical in fragile and conflict-affected environments where few social protection mechanisms are in place. In the context of this assignment, primary attention is put on situations where major and possibly recurrent or cyclical covariant shocks and stresses affect a large share of the population and result in a 'crisis situation' that is to trigger an international humanitarian response.

Social protection in humanitarian contexts
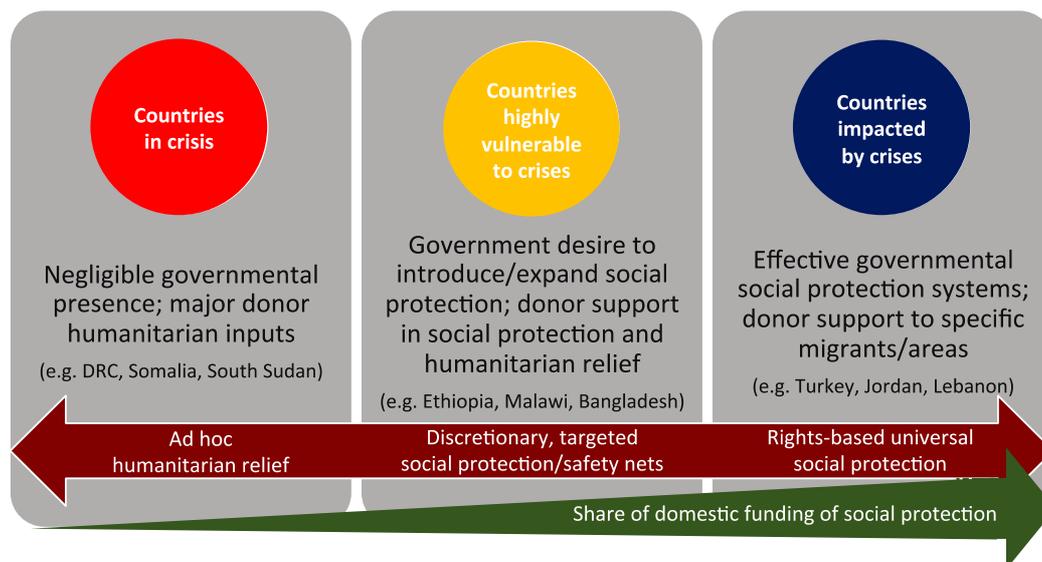
Source: Authors.

Figure 3 A Typology of Humanitarian Contexts

The simple typology presented in Figure 3 identifies three major categories of countries in which there may be a need for humanitarian interventions, categorising them according to the state of existing social protection systems in the country. Clearly these types entail the delimitation of arbitrary boundaries along what is in reality a continuum, but, broadly, they may be characterised as follows:

- **Countries in crisis**: with no, or very limited, government capacity, often fragile or conflict-affected states, with no existing social protection mechanisms, and where humanitarian assistance (either ad hoc or in the form of safety nets) is delivered substantially by donors and non-governmental organisations. The challenge in these countries is to deliver such assistance in a manner that lays the foundations for more systematic, government-owned social protection as legitimacy and capacity are established.

- **Countries highly vulnerable to crises**: with some existing social protection interventions, usually underpinned by some kind of social protection or food security strategy, with at least some funding provided by government; but where such systems are either inadequate or are regularly overwhelmed by shocks that require substantial donor-funded, NGO-implemented humanitarian assistance. The challenge here is to establish how the humanitarian and development assistance

can be better integrated and spent more effectively to bolster national social protection.

- **Countries impacted by crises**: with robust and comprehensive national social protection guarantees and systems in place, underpinned by legislation and funded substantially by government, but where conflict or forced displacement requires specific humanitarian assistance to particular regions or groups. The challenge here is to assess the extent to which national systems can be adapted as a vehicle to deliver external humanitarian assistance in a way that respects operational needs and political sensibilities.

Similar categorisations emerge broadly from the existing literature. For example, The CaLP/USAID guidance note on "Working with Cash-based Safety Nets in Humanitarian Contexts" similarly defines three such contexts:

- **Basic**: Contexts where cash based social assistance does not exist, or is extremely weak, and humanitarian agencies implement cash based safety nets;

- **Intermediate**: Where at scale cash based social assistance systems exist, but they are not designed and tested for shock responsiveness; and

- **Advanced**: Contexts where cash based social assistance is responsive to shocks.

The SPIAC-B statement to the World Humanitarian Summit again identifies three situations where "linking social protection and humanitarian action can bridge the development-humanitarian divide":

- **Extreme Fragility and Protracted Crises**—Humanitarian interventions can be used as a window of opportunity to trigger investments in the development of 'nascent' safety nets or social assistance structures. The longer-term aim is to progressively move chronic humanitarian caseloads into social protection systems where possible.

- **Managing Disasters Differently**—As a component of a comprehensive government-driven framework for predictable response to shocks and protracted crises, social protection can contribute to build capacity at individual, household, community and national levels to effectively withstand the negative impact of shocks while contributing to promote sustainable management of resources.

- **Forced Displacement**—Social protection can be incorporated as a cornerstone of any strategy to address the displacement, including IDPs and refugees.

In others, they are further subdivided, but the overall pattern is nonetheless discernible. The OPM/ODI work on shock-responsive social protection identifies six categories as follows: (i) non-existent, (ii) internationally led (which broadly map to the first category above); (iii) state-led interest, (iv) state-led commitment (which broadly map to the second); and (v) state-led expanding and (vi) state-led mature (which broadly map to the third).

The World Bank provides an interesting sub-classification of just the first category, that of fragile states, categorising them using two key variables, capacity and enabling

environment. As shown in Figure 4, the World Bank identifies five clusters separated according to two axes corresponding to the two variables.
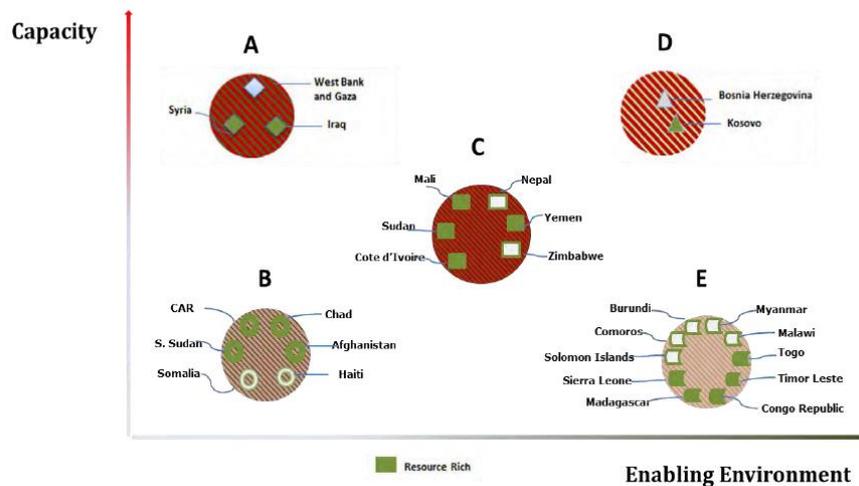
Source: World Bank (2015, p. 9)

Figure 4   A Classification of Fragile States

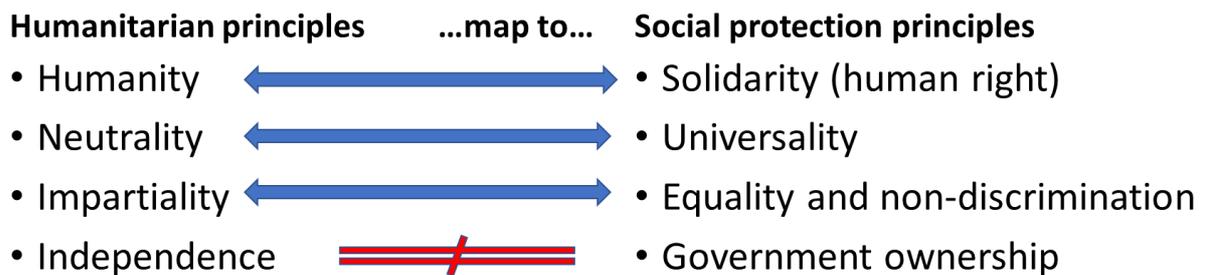## 2.3   An overview of opportunities and challenges of providing social protection across the humanitarian-development nexus

In theory, the underlying principles and operational objectives of humanitarian assistance map very well to those of social protection, with two important exceptions. In terms of underlying principles, as shown in Figure 5, the first three of the accepted four humanitarian principles (humanity, neutrality and impartiality) map respectively to three of the fundamental principles of social protection, namely solidarity (rights-based), universality, and equality/non-discrimination. But a fourth key principle of social protection, namely that it should be government-led, is diametrically opposed to the fourth humanitarian principle of independence. However, agencies are starting to work around this by either working with local government or using stepping stones (such as informal systems/community-led efforts and the private sector) to connect people up to national systems over the medium- to long-term. Similarly with their commonly-cited objectives: as Figure 6 shows, the majority of objectives map very closely between the two. But again there has traditionally been one important area of inconsistency, that of the timeframe: while a key of humanitarian response has always been immediacy, social protection aims to expand coverage progressively over years or even decades.

Until recently, these two areas of dissonance between social protection and humanitarian response have meant that they have operated in entirely different universes: separate funding channels, separate organisational structures, separate implementing partners, separate counterparts in national government, and so on. But there is a growing recognition that this is unnecessary, inefficient and counterproductive: the multiple areas of potential complementarity between them are more significant than the two areas of difference. It has also been accepted in all aid communities that protracted humanitarian crises and displacement (where people require support for basic needs over many years) require a mix of humanitarian, peace-building and development instruments. With so many common principles and objectives, it is clearly more efficient to try to resolve the

two issues of differing degrees of government involvement and of timeframe, than to be defeatist about them and to instead perpetuate parallel structures. Recent experience in the Philippines, Kenya, and Ecuador, for example, has demonstrated the benefits of a more enlightened approach where humanitarian actors adopt a longer-term perspective, and where development actors recognise the potential for social protection systems to channel rapid humanitarian response. This exercise is an attempt to support this process.

Humanitarian principles	…map to…	Social protection principles
• Humanity	⟷	• Solidarity (human right)
• Neutrality	⟷	• Universality
• Impartiality	⟷	• Equality and non-discrimination
• Independence	⧧	• Government ownership

Source: Authors.

Figure 5   Similarities and Tension Between Humanitarian Principles and Social Protection Principles

Humanitarian objectives	…map to…	Social protection objectives
• Keep people alive	⟷	• Protect people through the life cycle
• Alleviate suffering	⟷	• Protect from poverty
• Maintain human dignity	⟷	• Promote human dignity
• Provide basic needs	⟷	• Support sustainable livelihoods
• Provide basic social services	⟷	• Support access to social services
• Provide labour opportunities	⟷	• Support access to labour markets and decent work
• Respond immediately	⧧	• Expand progressively

Source: Authors.

Figure 6   Similarities and Tension Between Humanitarian Objectives and Social Protection Objectives

The traditional approach is that social protection and humanitarian assistance are provided independently of one another, often to the same populations. This does not necessarily imply duplication of roles: in many cases, there may be no social protection in place, and, in others, the two systems may operate in parallel with little overlap. When a shock hits, funding is mobilised for a response that is usually delivered directly to the affected populations, regardless of whether they are already beneficiaries of social protection, often by non-government actors and through parallel systems. This approach, which is shown diagrammatically in Figure 7, may be effective in the short-term, but it does nothing to strengthen social protection systems, and it achieves little in terms of building resilience or mitigating shocks.

Contrast this with a more joined-up approach that provides humanitarian assistance as much as possible through the channels of social protection, either nascent or existing.

This is shown in Figure 8. This is consistent with the promotion of a LRRD approach championed by the EC, where shorter-term humanitarian objective can overlap with longer-term social protection objectives. The big advantage of this approach is that the funding and the humanitarian response can help to build or expand the national social protection system, which in turn can contribute to mitigating future shocks and to build the resilience of populations to withstand future shocks. It should also be noted that the remaining impact of a shock/crisis unable to be managed by the social protection system is picked up by the humanitarian system. The steps that are necessary to move to this new paradigm are discussed in the next section.
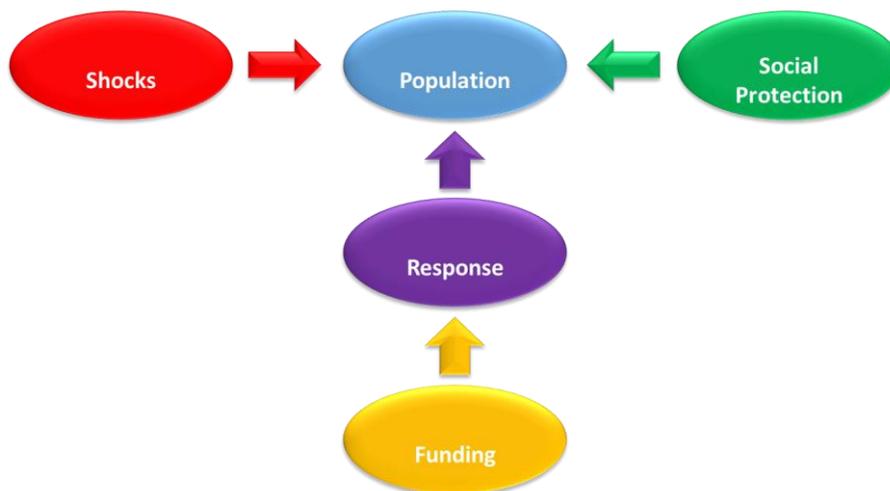
Source: Authors.

Figure 7   The Traditional Approach
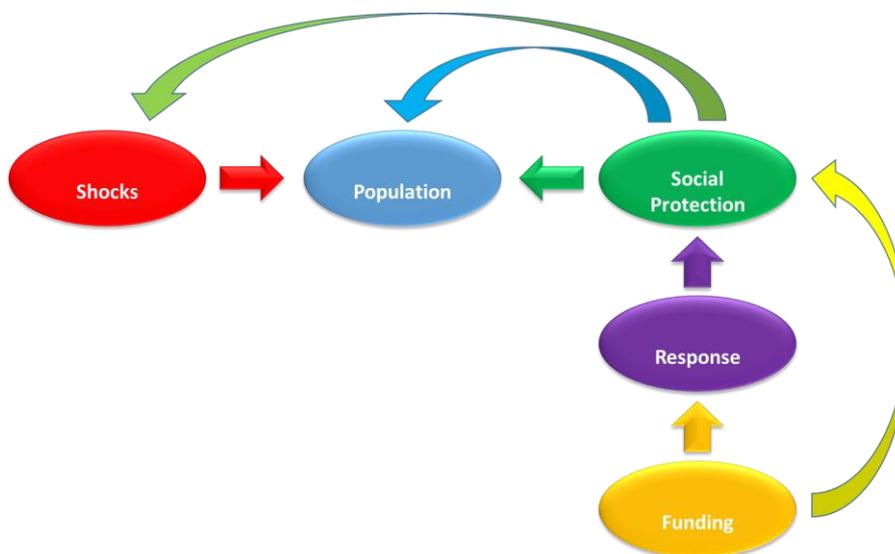
Source: Authors.

Figure 8   A More Joined-Up Approach

2.4 A generic process for optimising interactions

Figure 9 sets out a generic process to optimise the interactions between social protection and humanitarian response. It essentially comprises eight steps:

1. How to "identify target populations"
2. How to "understand social protection systems"
3. How to "anticipate shocks"
4. How to "pre-plan responses"
5. How to "predict funding"
6. How to "expand social protection systems"
7. How to "mitigate shocks"
8. How to "empower populations"
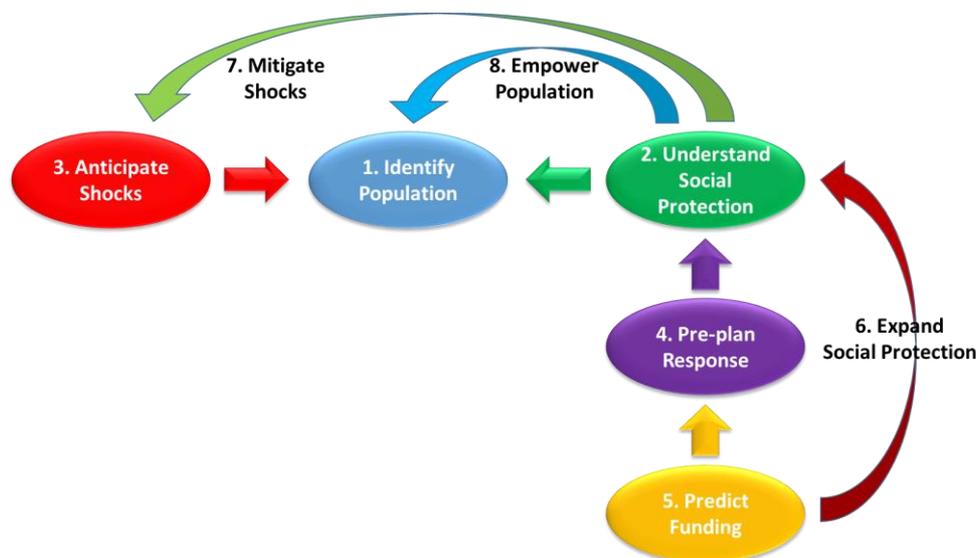
Source: Authors.

Figure 9   A Generic Process for Optimising the Interactions Between Social Protection and Humanitarian Responses

As detailed in Figure 10, the first five steps represent a sequence of preparatory activities that are needed to put in place more shock-responsive social protection. The remaining three steps explore how, in turn, better shock-responsive social protection can generate a virtuous cycle, itself feeding back into the mitigation of future shocks, into building the resilience of populations, and into further expanding social protection systems. Each step is discussed in Annexe 15, with examples of the kind of issue that need to be addressed at each stage. The key issues to be considered under each step are summarised in Figure 10.

Step 1. Identify Population
- Poor/vulnerable
- Shock-affected
- Excluded/marginalized/IDP
- Immigrant/non-national

Step 2. Understand Social Protection
- Informal
- Social assistance
- Social insurance
- Labour market enhancement

Step 3. Anticipate Shocks
- Natural disasters
- Socio-economic
- Geo-political
- Conflict

Step 4. Pre-Plan Response
- Build capacity/systems
- Early warning
- Joint assessments
- Specify shock-response triggers

Step 5. Predict Funding
- Forecast-based
- Domestic
- International
- Climate-change

Step 6. Expand Social Protection
- Vertical
- Horizontal
- Piggy-backing
- Shadow alignment

Step 7. Mitigate Shocks
- State-level resilience
- Community resilience
- Disaster preparedness
- Contingency planning

Step 8. Empower Population
- Individual/household resilience
- Asset accumulation
- Diversification
- Agency (knowledge, attitude, skills)

Source: Authors.

Figure 10 The Eight Steps of the Proposed Generic Process

3 Landscape analysis

3.1 Initial mapping of relevant initiatives outside of the EU

Social protection deploys a whole variety of programmes and instruments to facilitate sustainable economic development, increasing equity and equality and to respond to multiple idiosyncratic and covariant risks. In development cooperation, the EU is committed to support countries in developing nationally-owned and country-led social protection policies and programmes.

However, for many agencies and donor governments, social protection remains a relatively new approach, with **its application guided by the historical mandate, objectives and operational niche of a given organisation**. In many cases, social protection outcomes are used to serve a higher order outcome that results in a form of selective application of social protection to operations, for example, WFP and FAO orientate social protection towards food and nutrition security, UNICEF strives for the human rights of children and families, ILO has a focus on income security, decent work and equality, UNHCR aims for international protection of forcibly displaced people, and the World Bank ultimately aims for poverty-reduction with economic growth.

The upper part of Table 1 demonstrates that there is no one organisation that sufficiently covers and links all four key social protection outcomes under a comprehensive policy and operational approach, makes linkages to all of the sectors covering the full range of sustainable livelihood asset groups, and covers all groups vulnerable to poverty, different forms of risk and different groups traditionally excluded form national systems. In short, **even the traditional application of social protection in stable development contexts is often fragmented with a lack of harmonisation of guidance and tools**. The table also demonstrates organisations do not normally join up social protection measures across state-led, humanitarian, informal/community-led, and pro-vulnerability private sector mechanisms. If they do, it is with a specific targeting or social protection outcome focus.

Guidance and tools used by organisations **better cover some social protection outcomes and are not usually combined under a 'one-stop-shop' package**. There is sufficient guidance and tools across organisations, but these need to be harmonised into a one-stop-shop package that allows the user to adapt these to the context, the desired target community, the social protection mechanism and the key risks that people face. Further the table emphasises that different organisations have traditionally split between applying a rights-based approach to social protection versus those that have taken a more poverty/livelihoods insecurity-focused approach.

Efforts to harmonise guidance and tools is being made by:

- Adopting an *ad hoc* country-level approach that formulates a bespoke assessment methodology and use of specific guidance, such as that used by the World Bank;

- Pulling individual guidance together to have a more comprehensive approach, normally under the organisation's strategy, such as the FAO;

Table 1 Overview of Relevant Practices of Selected Organisations

Agency	World Bank	UNICEF	FAO	ILO	WFP	UNHCR	Germany (BMZ-GIZ)	DFID
Traditional practice								
Higher order objective for social protection	Poverty reduction and economic growth	Child rights	Food and nutrition security emphasising agriculture	Social security, labour standards and decent work	Food and nutrition security	International protection and lasting solutions	Poverty and growth whilst realising human rights	Poverty reduction and resilience
Context focus	Stable LDCs and MICs, Context 3 ± Context 2	All contexts	Stable LDCs and MICs, Context 3 ± Context 2	Stable LDCs and MICs, Context 3	All contexts	All contexts along migration pathways	Stable LDCs and MICs, Context 3	All contexts
Target focus of social protection	Poor families	Children and youth	Poor rural farmers/pastoralists/fisher people	Working people	Food and nutrition insecure families	Forcibly displaced people (refugees, IDPs, stateless)	Poor families, increasingly forcibly displaced people	At-risk, vulnerable and chronically poor
Dominant mechanism	Technical assistance to governments, state-led systems	Technical assistance and operational support across all mechanisms	Technical assistance to governments, state-led systems	Technical assistance to governments, informal labour mechanism	Operational support across all mechanisms ± Technical assistance to governments	Operational support across all mechanisms ± Technical assistance to governments	Technical assistance to governments and informal health mechanisms	Technical assistance to governments with a focus on systems
Social Assistance	Strong safety nets emphasis	Strong emphasis	Strong emphasis	Less emphasis	Dominant	Strong emphasis	Strong emphasis	Strong emphasis
Social Insurance	Strong emphasis	Strong emphasis	Less emphasis	Strong emphasis	Less emphasis	Strong emphasis	Strong emphasis	Less emphasis
Labour market and decent work	Strong emphasis	Less emphasis	Strong emphasis for agricultural labour markets	Strong emphasis	Some links to livelihoods assistance	Links to livelihoods work and graduation approach	Some links to livelihoods assistance	Strong emphasis
Rights based application	Less emphasis	Great emphasis with respect to children	Less emphasis	Great emphasis with respect to working people	Less emphasis	Great emphasis with respect to forcibly displaced people	Great emphasis on inclusion: elderly, disabled	Some emphasis
Traditional Platforms and working partnerships	Co-chair of SPIAC-B and ISPA, ILO and UNICEF	WB, UNICEF, Social Protection Floors	WFP	Social Protection Floors, Co-chair of SPIAC-B and ISPA, WB and UNICEF	Links to cash and in-kind assistance platforms, UNHCR	Largely absent, links to cash and in-kind assistance platforms	WB, ILO, WHO, OECD, EU, health and social insurance platforms	SPIAC-B, World Bank, UNHCR, EU
Adapted practice								
Complementary humanitarian-development actions	Focus on safety nets and state-led systems across the humanitarian-development nexus, increasing engagement with humanitarian partners	Merging social protection, emergency operations and resilience teams, stronger engagement in cash	Stronger engagement in cash and engagement with emergency actors	Stronger engagement in promoting social protection floors in humanitarian contexts, upgrading support to informal systems	Stronger links beyond humanitarian contexts towards development, positioning as a 'social protection agency' but largely focused on social assistance	Starting to engage with social protection actors, greater engagement with labour markets and the private sector, partnering with development agencies	Great upgrade in cash, in-kind and voucher and public-works programme, but mainly channelled through the UN and GIZ-management systems	Interest in most fragile states, key actor working on social assistance across the humanitarian-development nexus
Climate change and resilience	Strong engagement on state-led technical support, bringing in experience from other World Bank divisions (*)	Has merged its resilience experience with social protection working with all mechanism at different layers of society	Strong engagement on climate related effects on agriculture and resilience measurement, focus on state-led technical support using o more informal mechanisms	Engagement on state-led technical support, less engaged in resilience at local level	Strong engagement on climate related effects on food security and resilience measurement, working with all mechanism at different layers of society	Starting to engage with resilience practice	Beginning to links its TDA resilience work with its recent upscaling of social assistance in difficult contexts	Increased involvement of Climate and Environment Department, leader in resilience, strong engagement with climate change

Agency	World Bank	UNICEF	FAO	ILO	WFP	UNHCR	Germany (BMZ-GIZ)	DFID
Shock-responsive / adaptive	Good experience, focus on climate-related hazards	Emerging experience, not yet drawn together, includes natural hazards ± displacement	Emerging experience, not yet drawn together: natural hazards, ± economic and conflict shocks	Some experience, not yet drawn together natural hazards, ± economic and conflict shocks	Emerging experience, not yet drawn together: natural hazards, ± economic and conflict shocks	Emerging experience on displacement shocks	Starting to look at this	Commissioned OPM/ODI study on shock-responsive social protection.
Non-nationals and stateless	Beginning to integrate non-nationals in area hosting approaches, strong socio-economic analyses	Good experience on social assistance, emerging experience on social insurance and labour markets	Emerging experience mainly on cash transfers and where refugees have access to land	Bringing together strong experience on labour and migration with social protection	Good experience on cash and in-kind transfers	Strong experience on social assistance and insurance, increasing engagement with labour markets	A policy priority across BMZ, large upscaling of social assistance and public works, past experience with social insurance is applicable	Funding emerging research, extending application of social assistance
Urban context	Good experience	Emerging experience	Less emphasis	Good experience	Emerging experience	Emerging experience	Social insurance	Some experience
New Platforms and partnerships	Humanitarian working group SPIAC B, UNHCR, WFP	Humanitarian working group SPIAC B	Humanitarian working group SPIAC B, UNHCR	UNHCR	Humanitarian working group SPIAC B, WB, UNICEF	Contact with the humanitarian working group SPIAC B, ILO, WB, FAO	Funding through UNICEF, WFP, UNDP, ILO	Humanitarian working group SPIAC B, WFP, FAO, World Bank conference/ WB-DFID research trust Fund

Notes: Green colour = complete formalized guidance; orange colour = partial or informal guidance; pink colour = guidance is lacking;

(*) Social, urban, rural and resilience global practice, and climate change crosscutting solutions area

Source: Authors.

- Using multi-actor platforms to produce guidance used by a number of organisations, such as the Social Protection Floors Recommendation (R202), joint United Nations (UN) and civil society cash transfer platforms including the Enhanced Response Capacity (ERC) Multipurpose Cash Grants and the CaLP guidelines, as well as the Interagency Social Protection Assessment (ISPA) initiative, which develops assessment tools on social protection systems, programmes and delivery level.

The formulation of the SDGs coupled with a revision of humanitarian action at the World Humanitarian Summit and of action in displacement contexts at the New York Declaration on Refugees and Migrants have re-energised a human rights and inclusive drive for social protection beyond a traditional state-led and poverty-reduction and growth rationale. This has meant that organisations are broadening their social protection engagement, operational context, target group, and mechanisms of their traditional social protection policy, strategy and support. Organisations are upgrading their traditional package of social protection guidance to include:

1. Complementary humanitarian and longer-term social protection measures that manage humanitarian needs whilst strengthening the national system, and so far primarily related to the use of cash and in-kind transfers and subsidies;

2. The role of climate change and the contribution of social protection to the resilience of state systems and people's livelihoods;

3. Application of adaptive /shock-responsive national social protection systems managing large-scale disasters (primarily applied to climate-related hazards);

4. The inclusion of forcibly displaced people (refugees, IDPS, stateless) and economic migrants in displacement contexts and;

5. The urban context and its links with mobile populations and increased disaster risk.

Organisations are also now increasingly looking at working beyond State-led systems and mechanisms that may not have the capacity nor take the responsibility to cover all people within its territories. This includes humanitarian, informal/community-led, pro-vulnerability private sector mechanisms.

Not surprisingly, **the coverage of guidance and tools is even patchier for this new set of ambitions for social protection**, as illustrated in the lower part of Table 1. However, past guidance that has looked at informal and community-/locally-led mechanism, particularly the work on micro-insurance by GIZ and ILO can be reused to work with marginalised people, particularly non-national/stateless people.

The bulk of formalised guidance relates to the expansion of social assistance, primarily through cash transfers, beyond humanitarian contexts, linking this to longer-term social insurance and labour market outcomes and to a range of other development sectors. For example, the FAO is promoting a CASH+ approach linking transfers to productive livelihoods; UNICEF links this with health insurance access; Germany (BMZ) is promoting public works programmes that pay for health centre staff (locals and refugees); the UNHCR is increasingly linking cash to social service coverage and employment opportunities under a poverty-graduation framework, and so on. This

also means increasing cooperation within organisations between social protection teams and emergency counterparts (in UNICEF, FAO and WFP) and between different divisions that work on more difficult contexts (World Bank aims at linking Social Protection and Labour Global Practice with the Social, Urban, Rural, and Resilience Global Practice, in turn, with the Fragility, Conflict and Violence Cross-Cutting Solutions Areas).

Similarly, previous commitments of organisations to resilience has now been appropriated by **social protection initiatives that act to build resilience** at different layers of society using more predictable social protection measures compared to humanitarian instruments that have been at the vanguard of resilience in operations over the last five years. Agencies are now using social protection systems to both address underlying chronic needs (and recurring household level shocks around the life cycle such as illness and loss of income) whilst also building resilience to periodic, acute needs linked to widespread shocks and the negative impacts of change from long-term trends. However, much of the formalised guidance focuses on the effects of climate change and natural hazards and does not readily link projects at the household and community level with the technical assistance provided at the government level. Further, the measurement of resilience efforts is still uniformly weak and not yet harmonised, with the *Technical Working Group on Measuring Resilience* main platform,[6] although this is biased towards food and nutrition security (led by the FAO and the WFP).

Agencies are **increasingly linking social protection and resilience-building measures integrating informal, humanitarian and private-sector weather-indexed mechanisms**. This is mainly led by the disaster risk reduction and climate change adaptation communities notably within UNICEF, the FAO and the WFP, and backed by formalised guidance. However, most guidance does not cover the full risk landscape, lacking social and political shocks linked to conflict and displacement contexts, and biological hazards. In short, in protracted humanitarian crises, a focus on climate-smart and climate-resilient measures often does not represent the priority short- and medium-term needs of people.

There is an increasing focus on using **shock-responsive or adaptive social protection** as a way of transferring humanitarian caseloads to national social protection systems in turn linked to disaster management systems. Experience and guidance is weighted to easier political economy considerations including a focus on natural hazards and targeting of citizens. There is no definitive guidance yet, with the DFID-funded OPM study perhaps the best placed guidance on natural hazard-shock responsive systems.[7] However, other agencies, notably the World Bank have been trialling this approach, for example, the Adaptive Social Protection Programme in the Sahel, as well as the DFID-funded BRACED programme in the Horn of Africa. More political parts of the risk landscape and the targeting of non-nationals and stateless people have been largely ignored. Although most agencies working on social assistance and labour-market interventions account for price or market shocks, only a few are actively engaged in looking at shock-responsive adjustment to conflict and displacement shocks (primarily

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[6]   See http://www.fsincop.net/topics/resilience-measurement/technical-working-group/en/.

[7]   See Annexe 14 for a draft outline of the upcoming Toolkit on Shock-Responsive Social Protection.

UNICEF, FAO and UNHCR). No operational guidance is available yet, although some broad guidance is emerging.

Social protection measures that include non-national and stateless people have been increasingly considered given the global migration agenda and unprecedented spikes in the number of displaced people. Organisations are trying to merge rights-based and legal/statutory approaches that loosen rigid laws excluding these people from national social systems with social protection measures working across all mechanisms. On one hand, global commitments to refugees and migrants under the emerging national-level compacts that will coordinate all short- and long-term actors place the government increasingly at the centre of humanitarian actions. On the other hand, social protection measures are increasingly facilitated by humanitarian mechanisms (primarily through cash transfers and vouchers) and the use of community- or local-government-led mechanisms by development actors. The scaling up of comprehensive joint socio-economic assessments on the negative and positive impacts on both formal and informal systems jointly done by humanitarian and development actors (notably the World Bank partnering with UNHCR, WFP and UNICEF) is informing these mechanisms.

Beyond the use of cash transfers (notably by the Global Protection Cluster), there is little guidance on social protection explicitly written for displacement contexts, although some agencies, notably UNHCR have written guidance for specific social protection outcomes that has not been presented as a social protection guidance (e.g. on the use of cash and in-kind transfers, cash-for-work/public works, health insurance, access to education, livelihoods and the right to work, the poverty graduation approach). This fills a significant gap in guidance on measures to be applied to refugees, IDPs and stateless people. There is also potential to revalorise guidance on micro-insurance and local health insurance schemes (GIZ, WHO, ILO) for displaced people, as has been done by the UNHCR. This is the case in particular for West Africa where UNHCR worked to include refugees with health insurance schemes via community-based, national or micro-insurance systems (e.g. Senegal, Nigeria, Ghana, Togo, Benin, Mali, Burkina Faso, Guinea), and with the integration of UNHCR-built health services into the national systems with refugees paying user fees (Burkina Faso and Niger)[8].

Although traditional social protection measures have favoured rural poverty, the continuing shift of vulnerability to, and increase in hazard exposure in, **urban contexts is becoming increasingly important to all social protection agencies**. Further, mobile and displaced populations are being increasingly viewed as part of a larger urban challenge. Forcibly displaced people are now predominantly located in settlements and peri-urban areas, and unsurprisingly, the poorest and most vulnerable live in areas that are exposed to the greatest risk of disaster. Agencies are also taking an area-based and urban systems approach (rather than a poverty-based approach), expanding targeting to include a range of vulnerable groups (for example in Lebanon or DRC, including poor host families, forcibly displaced people, economic migrants under a single targeting approach). This recognises formal social protection as part of urban development policy and as part of informal livelihoods, networks and coping mechanisms. The World Bank is

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[8] See UNHCR (2012) *A Guidance Note on Health Insurance Schemes for Refugees and other Persons of Concern to UNHCR.*

well-positioned with guidance on these issues and will upgrade its current guidance in the near future.

Table 2 demonstrates (a non-exhaustive) list of countries where previous or on-going externally-supported initiatives are located and documented, divided into:[9]

- A set of traditional social protection model countries upon which core policy and strategy document of agencies have been formulated;
- Predominantly fragile states and/conflict-affected states (including where FAO is trailing is CASH+ approach);
- Contexts where a social protection–resilience approach has been applied, linked to climate change and related shocks;
- Shock responsive / adaptive social protection pilots;
- Displacement contexts covering specific social protection outcomes; and
- Urban contexts.

Table 2 A non-exhaustive list of countries with previous or ongoing externally supported social protection initiatives

Initiative	Countries
Traditional social protection	
WB best practice	Brazil, Chile, India, Niger, and Vietnam
UNICEF best practice	Senegal, Mauritania, Moldova, Kenya, China, Ghana, Nepal Congo Republic, Equatorial Guinea and Mali
EU SPS Programme	Cambodia, Ethiopia, Indonesia, the Kyrgyz Republic, Mozambique, Namibia, Tanzania, Togo, Vietnam and Zambia
ILO core countries for the Flagship Programme on SPF	Cabo Verde, Cambodia, Cameroon, Colombia, El Salvador, Honduras, India, Indonesia, Kyrgyz Republic, Malawi, Mozambique, Myanmar, Niger, Pakistan, OTP, Paraguay, Senegal, Timor Leste, Togo, Vietnam, Zambia
WB Africa Safety Nets	Benin, Botswana, Burkina Faso, Cameroon, Lesotho, Liberia, Madagascar, Mali, Mozambique, Sudan, Swaziland, Sierra Leone, Togo, Zambia, Niger, Rwanda and Tanzania
FAO-UNICEF Transfer cash evaluation partnership	Kenya, Ghana, Ethiopia, Zambia, Zimbabwe, Lesotho, Malawi, South Africa, Madagascar and Tanzania
WFP-WB safety nets evaluation	Philippines, Lebanon, Kenya, Fiji, Syria, Zimbabwe, Mauritania, Guinea, Mozambique, OPT, Liberia, Yemen
BMZ-GIZ Global Alliance for Social Protection	Brazil, China, India, Indonesia, Mexico and South Africa, Chile, Peru and the Philippines.
BMZ-GIZ Social Protection Sector Initiative	Bolivia, Cambodia, China, Chile, El Salvador, Guinea, India, Indonesia, Kenya, Paraguay, the Philippines, Rwanda, Tanzania, Vietnam and Zambia.
BMZ-GIZ Social Insurance and Health Systems	Kenya, Tanzania, Rwanda, Guinea, India, Indonesia, the Philippines, Cambodia and Yemen, and, Bangladesh, Cameroon, DRC, Kyrgyzstan, Morocco, Pakistan, Tajikistan, Tanzania
Fragile states and conflict	
WB fragile and conflict-affected state case studies	Brazil, Mexico, Ethiopia, India, Pakistan, Rwanda, Timor-Leste, Yemen, Togo, West Bank and Gaza, Kosovo, Sierra Leone, Nepal
Recent WB social protection fragile context assessments	Chad, Mali, Nigeria, CAR

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[9] The table relies on information from interviews with external agency staff and/or the last publicly updated information from each agency, as summarized in the external agency annexes.

Initiative	Countries
FAO CASH +	Burkina Faso, Lesotho, Niger, Mali, Mauritania and Somalia
BMZ	Northern Iraq, Jordan, Syria, Lebanon, Turkey and Egypt
Finland security-SP links	Somalia, Yemen and South Sudan
Climate change and resilience	
WB Climate responsive and resilient systems	Bangladesh, Ethiopia, Mexico, Pakistan and Tanzania, and Mongolia
UNICEF resilience and shock responsive	Moldova, Armenia, Bosnia-Herzegovina, Kyrgyzstan, Turkey, Tajikistan, Ukraine, Nepal, Ethiopia, Malawi, Lesotho, and Kenya
ILO disasters and climate change	*Slow impact* - Niger, Ethiopia, Pakistan *Climatic disasters* - Indonesia, Sri Lanka, Philippines, Bangladesh (decent work), Senegal, South Africa, Namibia, Malawi, Botswana
AFD-ILO studies	Egypt, Philippines, China, Brazil and the Sahel
Shock-responsive/adaptive systems	
World Bank Multi Donor Trust Fund (MDTF) Adaptive Social Protection Programme in the Sahel	Burkina Faso, Chad, Mauritania, Mali, Niger, and Senegal
CaLP shock responsive study and pilot	Pakistan, Nepal, Malawi,
BRACED shock responsive Social Protection	Kenya, Uganda, Ethiopia
GIZ studies	India, Malawi
Displacement contexts	
WB displaced persons examples	Azerbaijan, Central African Republic, Democratic Republic of Congo, Jordan, Lebanon, Mali, Nigeria, South Sudan, and Tanzania
UNICEF cash and displacement	Jordan, Lebanon, Yemen, DRC, Greece, Serbia, Macedonia
UNHCR Graduation pilots	Ecuador, Egypt, Costa Rica, Burkina Faso
UNHCR-World Bank socioeconomic impact and contribution or refugees	Syria crisis-affected neighbouring countries, Lake Chad area, Great Lake areas, Horn of Africa, Sahel, Uganda, Kenya
UNHCR Education	Burkina Faso, Burundi, Chad, Democratic Republic of Congo, Ethiopia, Liberia, Mali, South Sudan and Tanzania
UNHCR Cash Based Interventions	Jordan, Lebanon, Uganda, Sudan, Ethiopia, Rwanda, DRC
UNHCR Health Insurance models	Cambodia, Costa Rica, Iran, Jordan, Georgia, DRC urban, Gambia, Benin, Ghana, Togo, Burkina Faso, Guinea, Nigeria
Multi partner cash platforms	Jordan, Lebanon, Turkey
ILO refugee programmes	Zambia, Cameroon, Pakistan
BMZ refugee programmes	Northern Iraq, Jordan, Syria, Lebanon, Turkey and Egypt
Urban context	
WB urban safety nets	China, Mexico, Colombia, Kenya, US, Gaza, India, Philippines, Indonesia, Benin, DRC and Mali
WB urban best practice	Colombia, El Salvador, Philippines, Lebanon, Kenya, DRC

Source: Authors.

The guidance can draw upon these best case studies that have been linked to specific initiatives, as outlined in the review of external agencies (Annexe 5 to Annexe 13). Ideally for further detailed country reviews informing the guidance, contexts should at best be chosen with a spread of different set of best practice in the same location. Based

on Table 2, this could include: Philippines, Jordan, Chad, Nepal, Malawi, Pakistan, Ethiopia, Niger, Colombia, and Somalia.

3.2 Main gaps identified and proposed solutions

Section 3.1 described how traditional social protection guidance requires further harmonisation to better enable a comprehensive and joint approach to social protection across actors. **The following section proposes solutions for how to adapt traditional social protection guidance** in order for it to be relevant to fragile and difficult contexts, to be more inclusive for all people in a given context, to be able to span mechanisms both within and outside state-led systems, and to help manage a complex risk landscape affecting people and national systems. It will emphasise that adopting a comprehensive social protection approach in difficult contexts with difficult caseloads of people may involve multiple and parallel investments between different actors that will evolve in time. These are framed within, and planned for, using a long-term theory of change informed by a comprehensive joint or joined up analysis between a range of short- and long-term actors and beneficiaries themselves. Critically, evolving social protection practice needs to be better aligned to evolving practice on building the resilience of people, systems and institutions to an increasingly complex risk landscape of shocks and stressors.

Although not explicitly mentioned, adapted social protection guidance needs to be clearly articulated with national and international humanitarian action when disaster impacts go beyond local capacity, and with development processes that are strengthening national social services, the economy and governance that collectively represents the platform upon which a social protection system is built.
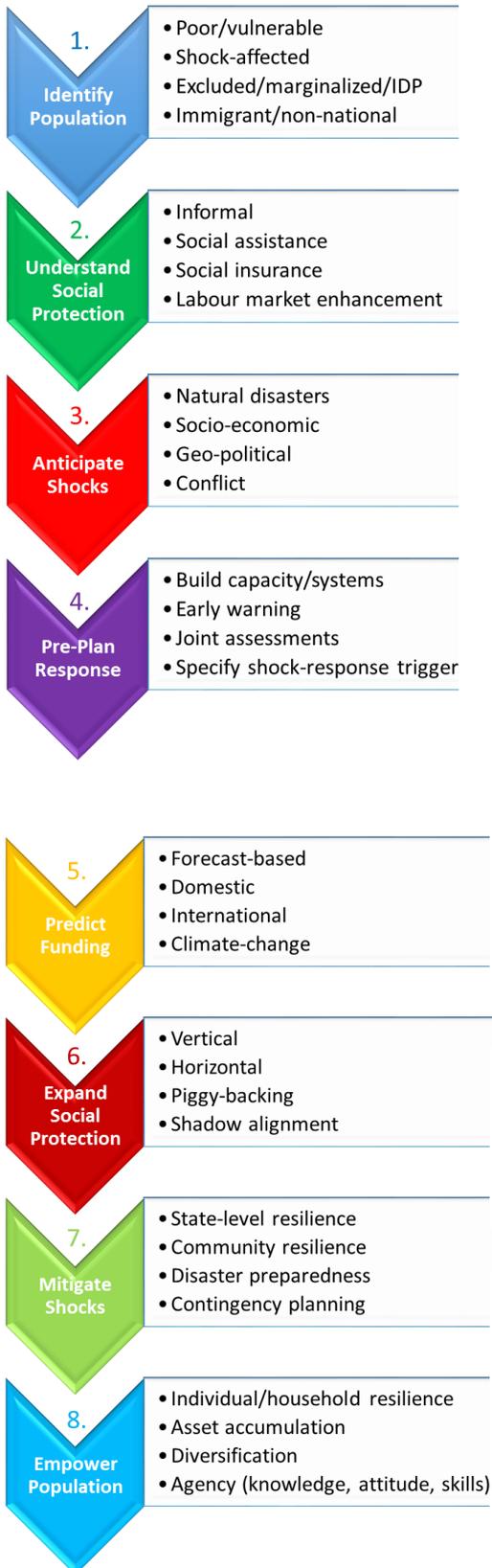
1. Identify Population

Choosing a correctly weighted assessment methodology needs to manage the tension of having enough detailed data versus being able to complete the analysis so that its results can be used in time. For example, the CODI ISPA tool is very comprehensive but is reportedly very heavy, costly and time consuming. On the other hand the UNICEF set of guiding questions that complements pre-existing social protection assessments is very light and rapid, able to be carried out by emergency staff. This weighting is dependent on where in the disaster cycle an assessment is made, the closer to the shock, the lighter it has to be.

The key issue in terms of assessments and targeting is to take into account targeting criteria across a set of often siloed objectives for using social protection including:

- Reducing poverty and livelihoods insecurity: wealth-ranking/livelihoods criteria
- Coverage around the life cycle: age and categorical situation criteria
- Managing risk: vulnerability to different forms of shocks
- Covering marginalised and excluded people: rights-based criteria, including those not covered by the rights of a citizen

Guidance Step

Key gaps and factors to include in guidance

1. Identify Population
- Poor/vulnerable
- Shock-affected
- Excluded/marginalized/IDP
- Immigrant/non-national

✓ Correctly weighted social protection system assessment, guiding questions
✓ Resolving poverty/livelihoods insecurity vs risk vs marginalized vs life cycle vs non-national stateless targeting criteria
✓ Confidentiality attached to groups at risk of violence
✓ Understanding individual, household and community level dynamics
✓ Understanding dimensions of poverty vs cause and effects of displacement

2. Understand Social Protection
- Informal
- Social assistance
- Social insurance
- Labour market enhancement

o Correctly weighted social protection system assessment, guiding question format
o Coverage of different social protection mechanisms
o Coverage of legal frameworks and rights based commitments
o Understanding political economy and dynamics of incentives and disincentives
o Understanding linkages between different social protection outcomes

3. Anticipate Shocks
- Natural disasters
- Socio-economic
- Geo-political
- Conflict

✓ Ensuring full risk landscape coverage
✓ Understanding what impacts on which assets, at what level of society: systems analysis
✓ Understanding who is responsible for managing shocks and what level of society
✓ Understanding the causes of shocks, and impacts of change, and associated uncertainty
✓ Understanding resilience-building capacity gaps at each layer of society

4. Pre-Plan Response
- Build capacity/systems
- Early warning
- Joint assessments
- Specify shock-response trigger

o Build on to existing social protection Theory of Change (ToC) addressing chronic needs, additional outcomes addressing the causes of risk and likely acute needs in case of shocks
o Formulation of SOPs for triggers and scale-up measures per type of shock linked to risk management contingency plans, looking at how all social protection outcomes are altered
o Ensuring a linkage of those traditionally excluded from national systems, pre-agreed relaxing of legal frameworks and international/local actor parallel resource/funding top ups
o Forecasting / decision making information publicly available linked to multi-hazard EWS
o Articulation with relief planning in case of disaster impacts

5. Predict Funding
- Forecast-based
- Domestic
- International
- Climate-change

✓ Resourcing allocation analysis as part of ToC analysis outputs: who fits the bill for which outcome (as per JHDF methodology)?
✓ Incentivizing ex-ante domestic investment on resilience to minimize ex-post costs, support regional and informal/community-based risk pooling, social networks
✓ Incentivising financial inclusion and empowerment to allow people to cover local costs and contribute to national systems, enabling remittances
✓ Articulation with relief planning in case of disaster impacts
✓ Understanding resilience-building capacity gaps at each layer of society

6. Expand Social Protection
- Vertical
- Horizontal
- Piggy-backing
- Shadow alignment

o Ensuring additional monitoring of degree of risk versus impact for timely + relevant adjustments, enhanced use of data crowdsourcing and technology
o Using disasters as an entry point to strengthen the state-led system and enable inclusion
o Pre-shock modelling of risk vs social protection measure vs cost
o Choice of mode of expansion linked to the type and nature of the shock, not one size fits all
o Coordinated, parallel mechanism adjustments for groups not included in the national system

7. Mitigate Shocks
- State-level resilience
- Community resilience
- Disaster preparedness
- Contingency planning

✓ Articulation of SP measures with resilience-building measures that protect gains and systems: enhancing absorptive capacity to manage shocks, enhancing adaptive capacity to manage change and uncertainty, enhancing transformative capacity to change inequality of power

8. Empower Population
- Individual/household resilience
- Asset accumulation
- Diversification
- Agency (knowledge, attitude, skills)

✓ Articulation with resilience-building measures of national systems, informal/locally-led, private sector risk informed products, and humanitarian efforts around shocks.
✓ Articulation with measures at different layers of society according to the capacity and responsibility of actors at each level.
  Adapted measures according to the vulnerability and risk category of different groups

Source: Authors.

Figure 11 Key Gaps and Factors to Include in the Guidance Package

People who are forcibly displaced or at risk of harm due to marginalisation and discrimination require extra care and confidentiality during assessments, with care taken to manage data. A rights-based approach is useful in that it often takes into account how individuals relate to families, and how families relate to the community they live in, (in terms of risk and capacities) both important to understand in difficult contexts that are politically charged. This may not always happen with nationally-led and technical consultations. Although the development of social protection guidance has been largely driven by poverty and livelihoods insecurity, the recent application to contexts of displacement is requiring a second dimension of vulnerability related to the causes and effects of displacement. For example, there have been well-off Syrians who have fled, and due to the impacts of displacement, have been subject to a new range of risks such as violence, SGBV, trafficking, discrimination and restrictions on employment and business that collectively erode their livelihood assets.

2. Understand social protection

Some agencies perform a country-wide diagnostic related to all of the sectors they engage with that initially provides an overview of the need and scope of a social protection assessment (such as the World Bank Country Diagnostic, or UN agencies formulating their national strategies and contributions to the UNDAF and national development/poverty reduction planning cycle). According to this and the scope of needs for social protection, a bespoke assessment can be done such as carried out by the World Bank, or a standard format is followed such as the ISPA CODI tool or the ILO Social Protection Assessment-Based National Dialogue. The extra complexity of taking into account a complex risk landscape and the causes and impacts of displacement may mean that a modular methodology is preferred that is flexibly adapted per context and in reference to how imminent the next shock is. This will also have the flexibility to examine how people engage with state-led, informal/locally-led, private sector and humanitarian mechanisms.

The more difficult the context, the less a State-led social protection system is likely to be important to people that are not normally eligible for benefits. In this case it is also important to examine gap between the legal/statutory and rights based commitments and practice of the State. This is found in different rights-based modules of UNICEF, ILO and UNHCR. Critically, assessments need to go beyond a technical, capacity and financial analysis to include a political economy analysis, to explain the gap between state commitments and practice, and why certain groups do not have access to the national system. This understanding allows an analysis of disincentives and formulation of incentives at the heart of measures promoting the inclusion of marginalised and exclude groups, which must accompany technical and financial measures strengthening social protection. It also enables a do-no-harm approach, minimising an unforeseen increase of vulnerability as a result of support measures. This is a common weakness across different guidance, despite that a Political Economy Analysis may be carried out by other parts of an agency, or be readily accessible from another agency.

Finally, the analysis should help to understand the activities, coverage and linkage between social protection outcomes and how they reinforce other outcomes on risk management, displacement and other over-arching development objectives. This enables

a long-term theory of change that helps to formulate the links between programme inputs, outputs and outcomes, showing how these may evolve over time as the State progressively takes more responsibility for people on its territories and gains a greater technical, governance and resourcing capacity. This is also another weakness in many guidance.

3. Anticipate shocks

Agencies often selectively choose which part of the risk landscape or livelihoods asset they address in programming, prioritising agency mandate over the needs of people they are meant to be supporting. For example resilience-building has normally built the resilience of food and nutrition systems against natural hazards and climate change. Recently, the migration agenda has prioritised displacement shocks. Ideally the set of household-level and life cycle shocks are managed by traditional social protection measures, whilst large-scale natural hazard, economic, social and political shocks can be better managed by a mix of state-led, informal and private-sector instruments, with change driven by long-term trends built into long-term development processes and progressive modification of social protection systems. Carrying out a risk and resilience analysis should accompany any contextual/social protection system analysis. This means using a systems approach that examines:

- The cause and effect of shocks and stressors, the potential impacts of change, and associated uncertainty (the risk landscape);

- The impacts of different parts of the risk landscape on different parts of the sustainable livelihood assets and mechanism, and at what level of society, resulting in a prioritisation of parts of the risk landscape and livelihoods system that is to be addressed by programming;

- Who is responsible for managing shocks at each level of society, and the resilience-building capacity gaps at each layer of society.

This approach allows a theory of change product and an indicator set that can be used to help measure the impact of social protection measures on resilience. There is the potential to merge the current EU Joint Humanitarian-Development Framework (JHDF) tool and ECHO Resilience Marker with the OECD Resilience Systems Analysis to perform this analysis, ensuring an articulation with the Social Protection Assessment process. The FAO RIMA resilience measurement tool and the WFP Three Pronged Approach (Integrated Context Analysis, Seasonal Livelihood Programming and Community-Based Participatory Planning tools both take into account the use of a resilience analysis methodology, albeit with a focus on food and nutrition systems.

4. Pre-plan response

Many agencies are looking at retro-fitting their traditional social protection measures covering household level shocks and chronic vulnerability with an additional contingency capacity that manages future shocks and spikes in acute vulnerability. Ideally a base Theory of Change (ToC) outlining social protection outcomes for chronic vulnerability can be overlain with additional outcomes that show how measures address acute vulnerability. This can be done per shock (following standard disaster risk management

contingency planning processes) or as part of a multi-hazard approach. This makes resource allocation, programme attribution and outcome/impact measurement easier to track. This can be then converted into a set of Standard Operating Procedures as part of national contingency planning, drawn up per risk scenario as is standard practice. These show the progressive triggers, decisions, resource allocations and measures that are taken as a hazard approaches and/or worsens, providing a predictable and timely response. There is scope to extend models of SOPs for natural hazards to include forced displacement shocks given that they often play out as a long-onset disaster, similar to a drought.

This should also allow special procedures (facilitated by negotiations before the shock arrives) that may complement rigid legal frameworks and/or government policies that normally exclude certain groups of people, particularly displaced and stateless people. For example, emerging portable digital identification technologies under development by UNHCR can potentially provide a temporary to permanent connection respective integration of displaced and stateless people to national systems. In any case, the political economy analysis and formulation of incentives mentioned in Step 2 are critical. The emerging set of national *Comprehensive Refugee Response Frameworks* and *Migration Compacts* will become influential for this in the near future. This also involves pre-positioning of international or other non-State support that may create a parallel system to cover excluded people as was the case with the PSNP in Ethiopia during the latest *El Niño* event. Decision-making based on multi-hazard forecasting and early warning systems should ideally be organised transparently and made public, with a clear articulation with relief systems where disaster impacts need to be addressed, one of the key lessons learnt from the 2011 Horn of Africa Food Crisis.

5. Predict funding

A strength of the EC JHDF methodology is that it shows how different parts of a ToC change will be covered by different international funding lines and other domestic resources. Additional risk scenario modelling can complement social protection system outcome modelling, looking at the potential additional cost of ex-ante investments versus ex-post costs (when these investments are not made before the shock). Other local, national and regional risk pooling measures combined with internationally supported risk facilities can be used to help complement shock-responsive social protection measures. Personal responsibility of people and communities to manage risk and the impacts of shocks is increasingly promoted by informal and community-led measures underpinned by incentivising financial inclusion and empowerment to allow people to cover local costs and contribute to national systems. Establishing work permits, vocational training, a responsible linkage to employment and labour markets that do not compromise host community opportunities and enabling remittances are increasingly important for displaced and excluded people.

The residual risk not treated by risk-informed social protection measures and risk management/resilience-building measures can also be estimated as a cost that the domestic and international relief/humanitarian system has to bear. Understanding the gaps in resourcing for building resilience at each layer of society can also lead to

potential cost-sharing between risk management/resilience building ministries and agencies with social protection/social service ministries and agencies.

6. Expand social protection

Ex-ante modelling of risk management and social protection systems and the related costs are jointly required to help choose the method of system expansion. This choice may also change according to the type and nature of the shock: the choices made to respond to an epidemic/pandemic, a displacement shock or a market-related or economic shock may be different in a given context. The choice may vary in time as a State-system has more capacity and is increasingly inclusive. Where the State is not inclusive or for displaced or stateless people that do not have the same rights as citizens or residents, then multiple, parallel yet coordinated expansion choices may be taken. Again, this is ideally framed in a long-term theory of change that demonstrates the incentives required to bring together these expansion choices as the national systems become more inclusive and with additional means to take up an additional caseload beyond what is normally envisaged.

Solid disaster risk and impact monitoring systems, with the enhanced use of crowdsourcing data (facilitated by cell phones and internet connections) and other electronic technologies can ensure a timely and efficient expansion of the social protection system and engagement of relief systems. Disasters are being increasingly used as an entry point to strengthen state-led social protection system and enable inclusion given the potential injection of international funding: these opportunities can be planned for was the case for UNICEF after the Nepal earthquake in 2015.

7. & 8. Mitigate shocks and Empower the Population

The impact of risk-informed and shock-responsive social protection measures can be maximised if these complement resilience-building measures at different layers of society, with the overall objective of protecting gains made by people and institutions in the face of shocks and stressors. Building resilience means enhancing:

i. *An absorbance capacity* that protects people against household/individual-specific shocks (illness, loss of income, protection abuses) and widespread shocks (natural disasters, conflict and forced migration, market price increases)—*People use existing livelihood assets and means to cope with and absorbing these shocks* (examples: preparedness and contingency planning, early warning, alert and relief systems, hazard-proofing livelihoods and infrastructure, (shock-indexed) insurance);

ii. *An adaptive capacity* that allows people to adjust to and sustain gains in the face of the impacts of change and uncertainty associated with long-term trends or stressors (climate change, environmental degradation, economic market instability, demographic and migration trends, evolution of technology and markets)—*People use new ways of managing (and adapting to) changes in shocks and direct impacts of long-term trends* (examples: Heat, salt, disease-tolerant agriculture and livestock, diversified water, food and income, experimentation and adjustment of means of living, 'no regrets' activities that have positive

humanitarian or development dividends whether or not a forecasted events happen, or not);

iii. ***A transformative capacity*** *that enables people to become the agents of political and economic change* in order to tackle underlying issues of power (institutional discrimination and neglect of non-nationals (including forcibly displaced persons) and minorities, harmful conservative culture, economic marginalisation and exploitation, gender discrimination) that undermine all efforts to assure a life of well-being with dignity (examples: Joint family and community planning, gender-inclusion in livelihoods, knowledge and access of constitutional rights, protection of vulnerable and marginalized groups).

Ideally there is an articulation of social protection and resilience-building measures:

- Across state-led national systems, informal/locally-led initiatives, private sector risk-informed products, and humanitarian efforts around shocks;

- At different layers of society according to the capacity and responsibility of actors at each level; and

- Adapted according to the vulnerability and risk category of different groups.

There are different forms of guidance on building resilience to different parts of the risk landscape, in rural versus urban contexts and for specific vulnerable groups. These can be brought together and attached as modules to the social protection guidance recommended in this report. The OECD Risk and Resilience Base Camp and products provides a central reference point for this material, whilst the Technical Working Group on Measuring Resilience combined with the Global Resilience Alliance led by Rockefeller provide guidance on measuring resilience in rural and urban contexts, respectively.

4   Outline of the envisioned guidance package

4.1   Purpose and scope

The overall purpose of the initiative is to **ensure basic social protection for all**.

The general objective of the initiative is to support the EC to provide EC staff working in development cooperation and humanitarian aid with the necessary information, tools and processes to implement social protection as an effective instrument **in fragile and conflict-affected environments, for addressing multivariate shocks, crises and forced displacements** before, during and after their occurrence, and to make use of social protection's great potential for supporting resilience, livelihood and inclusive growth in the long-term.

The specific objective is to develop and deliver a common DEVCO-ECHO-EEAS-NEAR **guidance package** on "Shaping Social Protection as effective short and long-term response to multivariate shocks, protracted crises and displacements" for dissemination to staff working in EC Headquarters, EU Delegations and ECHO Field offices. The package is expected to be relevant across the three types of context introduced in section 2.2 (Figure 3) and help EC staff develop more effective programming[10] for ensuring basic social protection across the humanitarian-development nexus. Before the guidance package is actually produced, its development process is expected to act as a **catalyst** to raise awareness, to generate interest, to encourage in-house exchanges, and to stimulate work across sectors/units.

4.2   Primary target audience

The intended audience are **EC practitioners**: staff working in EU Delegations, ECHO Field offices and EC Operational desks. The topic of interest is cross-sector, and requires the engagement of a variety of actors including experts in humanitarian aid but novice in social protection, people familiar with social protection but new to humanitarian aid, or people new to the topic all together. It thus appears useful to conceive the guidance package for '**experienced beginners**,' keeping the technical content light, yet very practical and linked to programme design and the programme cycle management (PCM).[10]

The package is expected to provide very **concrete** guidance and examples on how to bridge the gap between relevant EC policy (and commitments) and operations in challenging contexts. It is to help EC staff comprehend the issue from both perspectives (with humanitarian and development lenses), take social protection on board in their analysis and definition of strategies, advocate for the issue internally and externally, and work out EC procedures between ECHO and DEVCO.

In a follow-up phase, the ambition is to move **towards an EU guidance package** as a vehicle for more EU Member States (MS) exchanges and collaboration for social

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[10]   On DEVCO side, this implies liaising closely with DEVCO 06, which is the unit in charge of the quality/results of the project cycle management.

protection. Exchanges with EU MS in Bonn on 17-18 January 2017 confirmed interest in such an initiative.

4.3   Basic philosophy

Five general principles guide the initiative:

- Creating a living and flexible resource for learning;
- Integrating **different sources of guidance** (document, training, peer or expert);
- Facilitating a **participatory process** (encouraging ownership from services from the start for uptake and future updating);
- Encouraging **innovation** (for instance, integrating various communication formats)
- Adopting an **incremental and iterative approach** (building on what exists and is feasible, and progressively testing, learning, refining, complementing).

4.4   Constituent entities

Eventually, the guidance package is envisioned as a set of interconnected living entities (Figure 12):[11]

- Peer support with Community of Practice (CoP) and other activities;
- **Resource package**, with reference documents, case studies, tools, etc.;
- **Training package** for training modules and learning workshops;
- Expert support services.

- online document repository
- online discussion forums
- webinars
- in-person peer-support groups
- cross-learning workshops
- …

- in-country facilitation support
- in-country analysis
- distance technical support
- helpdesk
- …

Peer Support

Expert Support

Resource Package

Training

- short briefing notes/videos
- guidance notes
- discussion notes
- practical tools
- short & in-depth case studies
- …

- in-person training modules
- online training modules
- learning events
- …

Source: Authors.

Figure 12   The Four Constituent Entities of the Guidance Package

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[11]   This goes beyond what can be achieved during Phase 2, and represents the longer-term vision for the guidance package.

5 Proposed way forward

5.1 Underlying assumptions

The proposal outlined here is based on a number of key assumptions:

- Enough resources can be mobilised for short-term inputs through DEVCO 06's MKS programme and DEVCO C1's ASiST advisory service;
- The team mobilised for Phase 1 and available for Phase 2 continues to support the initiative;
- Additional technical experts can be mobilised, with the right skills at the right time;
- A dedicated community of practice moderator can be mobilised;
- Phase 2 starts no later than 1 April 2017 and ends no later than 28 February 2018;
- ASiST can mobilise resources to cover the March 2017 gap and ensure that the momentum is kept;
- The new format of capacity4dev (expected in March 2017) is suitable for the envisioned Community of Practice (EC end-users' consultative group).

5.2 Governance of Phase 2

It is proposed to formalise a cross-unit steering committee, or '**reference group**,' which could be chaired by DEVCO B3. Its role would be to oversee the initial development of the guidance package, monitoring progress and re-orienting the initiative as needed. Reference group members would be expected to act as champions for social protection across the humanitarian-development nexus in their respective units, to keep up to date with relevant initiatives within and outside the EC in their respective sectors and inform the core expert team as necessary, and to bridge with other relevant initiatives to support a smooth handover at the end of Phase 2. The group would meet at certain critical moments, as suggested in Table 3.

In this second phase, it is proposed to expand the **core expert team** and organise it around three pillars:

- *Technical expertise*
    - Two to three experts in social protection and/or humanitarian assistance with excellent drafting skills and experience in producing learning materials: at least one of them should be familiar with EC ways of working and procedures; and they should collectively cover the main areas of expertise required (technical design, political economy analysis, management, policy dialogue, etc.) and have experience across the three types of context introduced in section 2.2 (Figure 3);
- *Process design and facilitation*
    - One professional facilitator;
- *Knowledge management and communication*
    - One knowledge management and communication expert;
    - One community of practice moderator.

It also appears necessary to have additional **short-term experts** to support specific tasks and/or bring very specific expertise. Their contribution could include, for instance: compiling traditional case studies (desk-based or in-country), guidance notes or discussion papers; offering a 360-review of past EC Joint Humanitarian-Development Framework (JHDF) experiences; laying the ground for an online learning module; etc.

Throughout Phase 2, it would be valuable to establish and maintain **collaboration** with a group of committed individuals working on this very issue, such as those in EU MS agencies, other donor agencies, UN agencies, NGOs, etc. This would help in keeping up to date with developments in the sector, while also receiving peer support and feedback.

5.3   Expected outputs of Phase 2

The following key outputs, representing elements of a first version of the guidance package, are expected by the end of February 2018:

1. An active web-based EC internal **community of practice** on the topic;
2. A **living case study**, providing direct support to an on-going EC action;[12]
3. A **practitioner toolkit**, composed of a series of briefing/guidance notes, tools and case studies;
4. An **EC staff seminar** on the topic (4-5 days, 30-40 participants);
5. An EFTA/**EU MS staff seminar** on the topic (4-5 days, 30-40 participants);
6. A set of detailed **procedures** for keeping the guidance package alive and up-to-date;
7. An **end-of-phase-2 report** with recommendations on the way forward.

Resources permitting, a couple of side products could also be delivered, for instance:

8. A 360-review of JHDF experiences;
9. A short video/animation introducing the issue.

5.4   Key activities of Phase 2

Phase 2 will prototype[13] and develop each of the constituent entities of the envisioned guidance package, and will pave the way for further work beyond February 2018. It is proposed to approach it through twelve main activities, which timing will overlap.

1.   **Establishing the governance structure**

Again, ensuring ownership of the guidance package is key for its success (use and future maintenance) and supporting champions throughout the EC is important to help to create

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[12]   Resources permitting, a second living case study could be envisioned.

[13]   Prototyping is about testing a concept before it has been fully worked out. It allows nurturing an initial rough idea through a series of small, rapid and iterative experiments defined along the way.

an enabling environment for a systemic way of working/cross-unit collaboration. Thus, some of the very first activities of phase 2 will include:

- Establishing a cross-unit steering committee (or 'reference group') with members from different DGs (DEVCO, ECHO, EEAS, NEAR, EMPL);

- Setting up an informal Brussels-based working/consultative group of end-users (starting with people who indicated during Phase 1 being willing to contribute further)—this group could, for instance, be invited to join a half-a-day discussion every 4-to-6 weeks to test preliminary outputs, exchange on wants and needs, present progress and way forward;

- Developing a communication strategy around the initiative (name, possibly logo, communication channels, etc.) to rally actors (internally and externally);

- Agreeing on ways of working within the core expert team, with short-term experts, with MKS, with the reference group, with the consultative group.

2. Framing the issues

Below is a tentative list (to be adjusted during Phase 2 for best relevance and usefulness for EC staff) of products that could be successively developed for comprehending the role of social protection in humanitarian contexts, and considering key opportunities and challenges of providing social protection across the humanitarian-development nexus. The idea would be to disseminate each product as soon as available (without waiting for the whole set to be ready) for feedback and revision as needed.

- An elevator speech to introduce the topic (which could be turned into a 90-s video);

- A briefing note to make the case and present the rationale for expanding social protection in humanitarian situations (which could be turned into advocacy materials);

- A series of short notes, with:
  - an introduction to the various social protection instruments;
  - specific set of policy questions for humanitarian and development aid actors for each type of context highlighting opportunities and challenges;
  - an overview of the different steps of the generic process;
  - a compilation of frequently asked questions;

- A series of extended notes on hot topics, such as (as revealed in the consultations conducted in Phase 1), joint assessment and programming, targeting, coordination, or funding and political dialogue.[14]

3. Establishing dynamic capitalisation and collective learning mechanisms

A first online Community of Practice (CoP) will be set up as a private group, most likely hosted on capacity4dev.eu (following its redesign expected in March 2017), restricted to EC staff. Members of the reference group and the Brussels-based working group will be

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[14] It will be good to consult in particular with DEVCO A2 (joint programming exercise) and DEVCO E6 (policy dialogue) for theses notes.

invited to join, as a way to continue exchanges in between face-to-face meetings. The CoP will also expand to any other EC staff interested in contributing in (or being kept informed about) the development of the guidance package (during Phase 1, 20-30 individuals already expressed interest). This online CoP will allow EC staff based outside of Brussels (as intended end users) to participate in the initiative. A moderator will facilitate discussions around specific issues in view of sharing experiences and collecting materials, which would then contribute to the production of different resource products (for instance, a note on ECHO-DEVCO joint programming experiences). The first activity of the CoP could be to review and discuss the frameworks and activities proposed in the present report. Clarifying procedures for moving from animating the group, collecting materials, and turning 'messy' contributions from members (e.g. uploading a project report or sharing a specific case) into an organised content easily accessible by all will be an integral part of the activity. Dissemination channels will also need to be clarified to make content accessible to people with limited Internet access.

At the end of Phase 2, this CoP may mutate and take another form, turning, for instance, into a self-managed group on capacity4dev.eu, or a public group on social protection.org. Another related task in the course of Phase 2 will be to explore possibilities for an EFTA/EU MS CoP and/or public group (for instance, on capacity4dev.eu and/or socialprotection.org)—such a group might be setup in conjunction with the international conference of July 2017.

4. Capitalising on past experiences

Alongside activities around framing the issues and animating the community of practice, a constant activity will consist in collecting, summarising and disseminating valuable case studies. These are expected to illustrate good practices, avoidable pitfalls, or real-life puzzles across all types of context, when targeting different groups (national citizens, migrants, refugees, stateless, IDPs, etc.), through different social protection instruments, using different financing instruments, etc. These case studies will invite EC staff to work by analogy. They could take the form of stories (e.g. working with the national system), zoom in on a specific aspect of the process in a given type of context (e.g. working with NGO consortia), or present the development of an action from A to Z detailing the corresponding EC procedures (e.g. launching a call for EoI, mixing financing mechanisms, working with EUTF procedures, etc.). At the beginning of Phase 2, it will be important to clearly strategize on the choice of case studies (geographically, thematically or context wise) to allow for a consolidated approach within actual time and resource constraints.

5. Contributing to the international conference

The international conference planned in July 2017 will be a great opportunity to network, hear experience, collect materials, and reflect with peers. The team might be requested to help with reporting.

6. Designing and facilitating engagement and learning processes

Working towards greater social protection in humanitarian situations is far from being a solely technical matter. A facilitator will provide a systemic approach, enabling to work across boundaries in complex environments and engaging with a variety of actors with

their respective mandates and vested interests. S/he will enable bringing the right people around the table to develop a shared understanding of each other's interests and differences, and to build strong bridges that enable people to work together on a joint objective. Tools will be designed to guide a participatory process aimed at: increasing the level of awareness and understanding of key stakeholders; creating space for cross-sector dialogue towards a shared vision; sharing promising experiences and building on them; identifying bottlenecks and suggesting ways to overcome them. Specific tools and mechanisms will also help reinforce the ability of EC staff and partners to adapt to changing and complex environments.

7. Conducting a living case study

The living case study will be an opportunity to test the initial set of briefing and guidance notes, analytical and programming tools, and facilitation processes suggested above. It is to include a mix of distance and in-country training, technical assistance, facilitation and coaching. Depending on the context, an in-country workshop would be organised with EC staff only, implementing agencies and/or other national stakeholders.

The list of potentially interesting case studies suggested by EC staff during Phase 1 is presented in Annexe 16. During the participatory workshop, the following cases were proposed for a living case study: Iraq, Lebanon, Turkey, Malawi, Somalia, Yemen, Bangladesh-Myanmar. In addition, a couple of countries identified as priority for the ECHO/ERC project (approved in January 2017 for 24 months) could provide the basis for the field level evidence-based action research to document the guidance package as well. Ideally, one would want to conduct three case studies, one for each of the types of context considered here (Figure 3). However, this does not seem feasible under the time and resource constraints of Phase 2. The proposed alternative is i) for the core team of experts to conduct one living case study in June 2017, as a way to directly test the usefulness for practitioners of a zero draft of the resource package, and ii) resources permitting, to have another team of experts to conduct a second living case study in September 2017, as a way to test the usefulness for consultants/technical advisors (other than the authors) of the guidance package to conduct analyses and facilitate in-country engagement and learning processes around the issue. In addition, iii) close links will be established with other valuable cases where dedicated learning/evaluation mechanisms have already been put in place (e.g. EUTF, ECHO pilot countries on forced displacement and the humanitarian-nexus, etc.).

An essential criterion for case selection is the level of motivation, and senior-level support, of a few EC staff engaged in the case (DEVCO/NEAR Head of Delegation, ECHO TA, ECHO desk, etc.). Having a group of 4-6 committed people would offer a great entry point, and ease any distance and in-country facilitation work. Another key criterion to consider is the security situation in the country, and the possibility for the experts to visit and conduct meaningful work there. A third important criterion to take into account is the fact that social protection is a focal sector for the EUD, and a focus area for ECHO (as in Iraq and Turkey for instance). Other criteria could include the presence of other donors engaged in social protection in the country. Of course, other factors to consider concern type of context, target population, timing of the EC action, form of collaboration ECHO-DEVCO, etc.

8. Studying specific issues

As deemed necessary, a few stand-alone studies could be commissioned to further inform the development of the guidance package. This could include, for instance, a 360-review of experiences using the Joint Humanitarian-Development Framework (JHDF).

9. Compiling an initial resource package/practitioner toolkit

Building on the different activities above, it will be possible to compile an initial resource package, which will inform the design of the staff seminars envisioned. In line with the incremental approach, the package will be developed through a set of connected yet independent notes that can be revised/updated independently. Once the technical content is developed, it will be possible to turn it into different formats for communication[15] to reach the different intended audiences within the EC and its partners. To begin with, it seems appropriate to publish a first consolidated document in the EC's Tools and Methods series[16]—for instance, following the format of the EU staff handbook on 'Operating in situations of conflict and fragility',[17] which has reportedly been widely appreciated.

Broadly, the resource package will be composed of the following elements:

- *Elevator speech/advocacy note*

- *Need to know*—Key concepts with links to relevant case studies to illustrate a concept or idea. Objective to give a common understanding: for ECHO staff to understand development work, and for EUD/DEVCO staff to understand humanitarian principles. Could include: rationale for supporting the role of social protection in humanitarian contexts; frequently asked questions; key facts/background information; key concepts; relevant EC commitments; etc.

- *Step-by-step how-to guide*, structured along the generic process with zooms in on specific aspects (technical issues, policy dialogue, management), links to valuable case studies, and reference to useful existing tools when available. This would include:
  - Analytical modules, to study specific aspects such as risk and vulnerability, existing systems/programmes, vested interest and political economy aspects, risk landscape, cost simulations, community preferences, etc.
  - Recommended processes for joint analysis, joint programming, joint policy dialogue;[18]
  - Other concrete guidance for programming, such as simple checklists, templates/samples (e.g. ToRs, Call for EoI, etc.);

- *Case studies*.

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[15] Notably with support from the MKS programme.

[16] http://capacity4dev.ec.europa.eu/t-and-m-series/minisite/list-available-publications.

[17] http://capacity4dev.ec.europa.eu/public-fragility/document/operating-situations-crisis-and-fragility-eu-staff-handbook.

[18] This will be done in close collaboration with other units that have already launched general work on the humanitarian-development nexus—such as, DEVCO B7 or ECHO C1.

The how-to modules could be envisioned as flexible tools that could be used with different levels of intensity (e.g. from quick-and-dirty to in-depth analysis) recognising that not all countries would have the resources to conduct in-depth studies, and to ensure the modules are usable in contexts of data scarcity.

10. Preparing and delivering staff seminars

The EC staff seminar will be an opportunity for participants to familiarise themselves with the resource package, to exchange experience, and to work with peers on their own practical cases. It is envisioned as a four to five-day learning event with 30-40 participants. Feedback from participants, along with additional learning presented during the event, may inform a revision of the resource package. To the extent possible, the event should be designed in a way that could be replicated by others, for instance to organise similar seminars in regions in a following phase. The seminar experience will give a basis for developing, beyond Phase 2, a training event and/or a module that could be attached to other context specific or thematic trainings.

The EU staff seminar will be an opportunity to test a possibly improved format (following lessons drawn from the EC staff seminar), and engage with EFTA/EU MS towards an EU guidance package (to be considered in a following phase).

11. Laying the groundwork for additional elements

As much as possible, efforts will be made to pave the way for future improvements and expansion of the guidance package, such as: expanded community of practice; online training module (e.g. as preparation for on-site staff seminar, or on migration issues); further guidance on real-time learning and management; M&E; regional EC staff seminars; videos; webinars; a roster of deployable experts; data harmonisation between humanitarian and development actors; EU guidance package; training of trainers; MOOC; etc. This could imply establishing contacts with potential future collaborators, testing an initial prototype, etc.

12. Ensuring a smooth handover

Linked to the previous point, efforts will be made, from the beginning, to prepare a smooth handover of the initiative at the end of Phase 2. Several programmes might be considered to take over and ensure the update and expansion of the guidance package, including: an EU action under the 'Global Public Goods and Challenges' programme – Human Development component on social protection within the budgetary term 2018-2020, the knowledge management component of SOCIEUX+; DEVCO B3's communication programme; etc. Regular exchanges with these entities will be useful throughout Phase 2. Towards the end, a clear set of procedures for the maintenance of the guidance package will have to be produced.

5.5 Tentative timeline

Phase 2 is expected to start by 1 April 2017 and ends no later than 28 February 2018. This timing appears quite ambitious for the task ahead (section 5.3). It will be important to revisit expectations in the light of resources actually available/mobilised. Table 3 offers a tentative timeline, which will have to be revisited at the kick-off meeting based on the final setup decided for the second phase.

Table 3   Tentative timeline for Phase 2

Date / Deadline	Event / Expected Output
16-22 March 2017	*World Bank social protection event in Washington DC*
22 March 2017	EC workshop on the feasibility study on strengthening the role of social protection at global level and in fragile and conflict-affected states.
30 March 2017 (tbc)	Kick-off meeting of the Reference Group: review of Phase 2 work plan, focusing on activities planned by 15 July 2017
By 1 April 2017	Mobilisation of key experts
5-6 April 2017	*EU Social protection meetings in Helsinki*
By 15 April 2017 (tbc)	Launch of the EC internal CoP on the topic (**expected output 1**)
End of April 2017 (tbc)	*Launch of SOCIEUX+*
27 April 2017	*SPIAC-B meeting*
By 31 May 2017 (tbc)	Compilation of a zero draft practitioner toolkit
By 31 May 2017 (tbc)	Progress meeting of the Reference Group: review of zero draft practitioner toolkit, preparation for living case study in-country mission
Early June 2017 (tbc)	*Follow-up meeting in Geneva on the Grand Bargain*
Mid June 2017 (tbc)	Living case study 1 in-country mission
3-4 July 2017	International conference in Brussels on "The Role of Social Protection in Contexts of Fragility, Forced Displacement and Migration"
By 15 July 2017 (tbc)	Report on the living case study experience (**expected output 2a**)
By 15 July 2017 (tbc)	Progress meeting of the Reference Group: post-conference debriefing, review of living case study
By 31 August 2017 (tbc)	Compilation of a first draft practitioner toolkit (**expected output 3**)
Early September 2017 (tbc)	Progress meeting of Reference Group: review of first draft practitioner toolkit, activities planned by 15 December 2017, preparation for staff seminars
Mid September 2017 (tbc)	Living case study 2 in-country mission (resources permitting)
23-27 October 2017	EC Staff Seminar on "Social protection in humanitarian situations" (**expected output 4**)
November 2017 (tbc)	*South-South Learning Forum*
By 15 December 2017 (tbc)	Report on the living case study 2 experience (**expected output 2b**) (resources permitting)
By 15 December 2017	Progress meeting of Reference Group: debriefing after EC staff seminar, preparation for EU staff seminar

Date / Deadline	Event / Expected Output
By 31 January 2018	EU Staff Seminar on "Social protection in humanitarian situations" (**expected output 5**)
By 31 January 2018	Progress meeting of Reference Group: debriefing after EU staff seminar, wrap-up and handover
By 31 January 2018	Provision of a set of detailed procedures for keeping the guidance package alive and up-to-date (**expected output 6**)
By 15 February 2018	Submission of the end-of-phase-2 final report (**expected output 7**)

Note: Events noted in italics are included for the record (for they are very relevant to the topic and represent opportunities to exchange with other actors on the issue), but there may not be any direct activity attached to them for the expert team.

Source: Authors.

5.6   Suggested complementary activities

During Phase 1, consultations with EC staff revealed support for the initiative, and more broadly for institutional change within the EC to make it more effective in providing social protection across the humanitarian-development nexus. EC staff pointed to a number of critical issues, which go beyond what the guidance package initiative is meant to cover, but that are very relevant to the overall purpose of increasing social protection to vulnerable populations in situations of crisis. These include:

- **Strategies and policies**: To what extent are DEVCO and ECHO policies coherent or divergent? Could we consider the social protection agenda as part of Policy Coherence for Development? How could the EC/EU encourage a real and effective one UN programming?

- **Funding mechanisms and procedures**: for instance, ensuring ECHO can commit on a longer timeframe;

- **Institutional setup and processes**: for instance, making joint analysis/tools systematic to capture joint analysis, strategy and programming, exploring pros and cons of different institutional setups (within the EC and EFTA/EU MS) to facilitate work across the humanitarian-development-nexus;

- **Human resource policies**: for instance, ensuring adequate recruitment processes, encouraging staff movements between ECHO and DEVCO, developing an ambitious training programme across the EC on the topic (incl. for the top management to ensure institutional buy-in), etc.

This guidance package initiative can act as a catalyst and help raise awareness across the EC of the need for change to better protect populations living in crisis, but additional efforts and initiatives are to be engaged if the overall purpose is to be met.

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UNHCR (2012) A Guidance Note on Health Insurance Schemes for Refugees and other Persons of Concern to UNHCR.

Annexes

Annexe 1   Terms of Reference   - 48 -

Terms of reference for Phase 1 ➔

Contract 356917_ TOR_
DEVCO Unit B3_C1_

Annexe 2 Questionnaire of the Online Survey[19]

Your Profile

1. Your name

2. Your position / organisation
    - ECHO staff in headquarters
    - ECHO staff in regional/field office
    - DEVCO staff in headquarters
    - DEVCO staff in delegation
    - EEAS staff in delegation
    - EEAS staff in headquarters
    - NEAR staff
    - Other (please specify)

3. Your position / geographical scope—Please indicate if your position is global, regional or national:
    - Global
    - Regional
    - National

    For regional and national positions, please specify region or country.

4. Your level of understanding—How familiar are you with social protection concepts and instruments?
    - Very familiar – even if not clear on how to use social protection mechanisms in humanitarian situations
    - Somehow familiar – I only know a few concepts or instruments of social protection
    - Not very familiar – I've only vaguely heard about it
    - Not familiar at all – social protection? what's that?

5. Your interest—Do you have any particular interest in the topic of social protection in humanitarian situations? Please detail below.

6. Your experience—Do you have any direct experience on how to use social protection mechanisms to prepare for, respond to and recover from disasters and crises, and/or on how humanitarian interventions can be linked to the progressive building of national social protection systems in fragile contexts? Do you have experience in targeting non-national caseloads (refugees, stateless, migrants), and/or linking these people with national social systems? If so, please detail below.

Your Suggestions

7. Valuable country case studies—Which specific country/ies or intervention/s would be worth documenting and/or supporting—please consider in particular experiences funded by the EC, involving an ECHO-DEVCO (or NEAR) collaboration or EFTA/EU Member State(s)? Please list a maximum of five cases in order of priority, providing the reason for your choice.

8. Particular contexts—Which particular contexts are you most concerned with? Please select all that apply.
    - Extremely fragile and conflict-affected contexts (with no/weak state authorities)
    - Climate change-related natural disasters
    - Migration and forced displacement (incl. protecting non-nationals)
    - Other (please specify)

9. Useful guidance tools—Are there any guidance tools you find particularly useful around these issues, including those already published by other stakeholders (donors, international organizations, INGOs, etc.)? Have you been impressed by a guidance note in any sector, which could serve as a model? If so, please detail below.

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[19] The survey was conducted using Google Forms.

10. Useful guidance tools—What would you like to find in this joint EC guidance package on social protection in humanitarian situations? Please rate each of the suggested tools below on a scale from 0 (useless to me) to 5 (what I really need!).

- A blended learning training course (with in-person sessions and online modules)
- An exclusively self-paced e-learning course with certificate
- An in-site training workshop with peers
- Standalone webinars
- A tutored open or closed online forum
- An interactive library (in Wikipedia style)
- A reference document/guidelines in paper format
- A simulation game
- Very short explainer/introductory videos
- Simple checklists
- Samples of EC specific documents (ToRs, Call for EoI, etc.) used in similar contexts
- A community of practice
- Short articles presenting stories from the field / case studies

11. Useful guidance tools—Are there any other types of tools you would like to find in the guidance package?

12. Are you a regular user of any online platforms?

- Capacity4dev
- Yammer
- CIRCABC
- Socialprotection.org
- IPC-IG
- World Bank
- CaLP discussion groups
- Other (please specify)

Next Steps

13. Would you like to be kept informed about the initiative?

- Yes, and I'd actually like to further contribute to the development of the guidance package
- Yes, please keep me informed about progress
- Yes, just inform me when the first version of the guidance package is ready
- No, I'm not really interested in this

If you would like to be contacted by the study team or kept informed, please provide your email address below.

14. Would you be potentially interested in attending a 4-5-day EU staff seminar in Brussels on this topic?

- No
- Yes, and the week of 23 October 2017 would be good
- Yes, and the week of 6 November 2017 would be good
- Yes, and the week of 11 December 2017 would be good
- Yes, but it should be organized at another time

15. Any further thoughts or recommendations?

16. Here are other opportunities to exchange on the topic:

- Attend the DEVCO-ECHO workshop in Brussels on Tuesday 14 February (10.30-13.00 and 14.00-16.00)
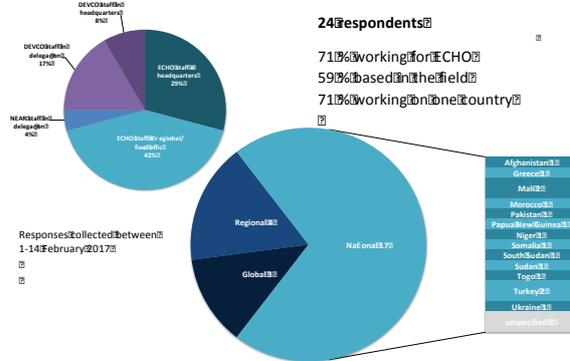- Set a time to exchange further with the study team: https://goo.gl/forms/aGM5AESDTOb8ZuHJ2

Thank you for your time!

A joint DEVCO-ECHO-NEAR initiative

Providing social protection across the humanitarian-development nexus

Towards a common guidance package

Inception Survey

Final results
as of 14 February 2017

Respondents' profile

24 respondents

71% working for ECHO
59% based in the field
71% working on one country

Responses collected between 1-14 February 2017

DEVCO staff in headquarters 8%
DEVCO staff in delegation 17%
NEAR staff in delegation 4%
ECHO staff in headquarters 29%
ECHO staff in regional/field office 42%

National 17
Regional
Global

Afghanistan 1
Greece 1
Mali 1
Morocco 1
Pakistan 1
Papua New Guinea 1
Niger 1
Somalia 1
South Sudan 1
Sudan 1
Togo 1
Turkey 2
Ukraine 1
unspecified 2

Familiarity with social protection concepts and instruments

Self-assessment

54% very **familiar** with social protection concepts and instruments
63% with some **experience** in the use of social protection in humanitarian situations

Not very familiar 8%
Not familiar at all 0%
Somehow familiar 38%
Very familiar 54%

unknown, 3
No experience, 5
Some experience, 15

Ethiopia
Sahel
Somalia
Turkey
…
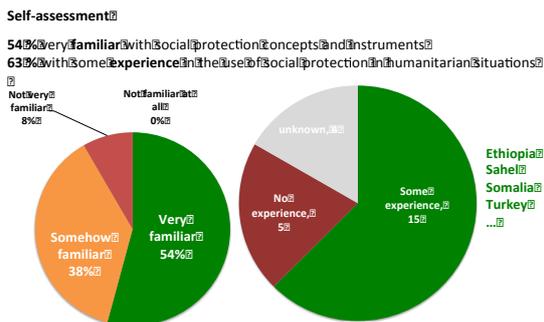
Suggested country **case studies**

Country	Comments
Afghanistan	Both ECHO and DEVCO support refugees and IDPs; scope to start a joint social protection scheme
Ethiopia	PSNP, RESET
Lebanon	Large cash operation; government unwilling to take over (would mean acknowledging the presence of the refugees in its territory, and work for them)
Lesotho	Child cash grant programme initiated by the EU in 2007
Kenya	HSNP
Mauritania	Capitalisation documents from EU-funded social transfer projects with NGOs and UN
Mali	Past & ongoing initiatives: alignment of ECHO-funded cash transfer program with national safety net program; development of a joint ECHO-DEVCO resilience program that includes a social protection component (AGIR framework)
Myanmar	Government, with UNICEF support, has developed a national policy and piloted it in Chin State following the 2015 floods; also in Chin State, the LIFT MDTF is funding a social safety intervention targeting pregnant and lactating women to ensure proper nutrition for the 1000 days
Sahel	Experience and expertise developed since 2007
Somalia	
Sudan	Protracted and multiple causes crises (IDPs, refugees, malnutrition) are diverse in Sudan but little efforts for such approach being developed; case study could identify barriers and opportunities to such approach, as well as considering potential next steps
Turkey	
Ukraine	existing safety net and issue is inclusion of all people supposedly entitled
Vanuatu	Interesting Disaster preparedness experience in Vanuatu (ECHO and French Red Cross); likely contributed to limit the death toll during the last major cyclone

Interesting contexts

Extremely fragile and conflict-affected contexts (with no/weak state authorities) — **71%**

Climate change-related natural disasters — **50%**

Migration and forced displacement (incl. protecting non-nationals) — **71%**

Other — **17%**

0% 25% 50% 75% 100%

Others:
- Priorities of New Consensus for Development
- Conflict-affected contexts with strong regime
- Multiple causes to excessive levels of malnutrition
- Crisis response tools for natural disasters
- Policy perspective
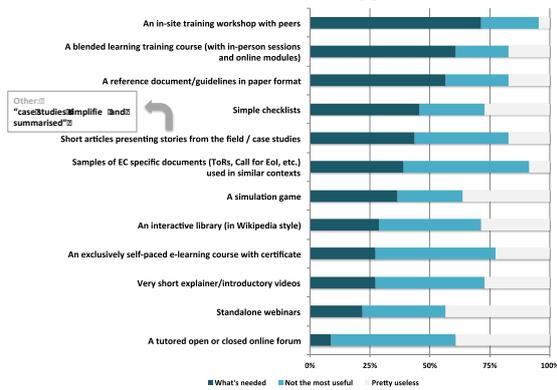
Useful **guidance tools**

On the one hand
- "**plenty guidance notes** and parts of the manual of the PSNP are worth looking at"
- "WFP guidelines on assessing the feasibility for cash-based interventions very detailed and complete"
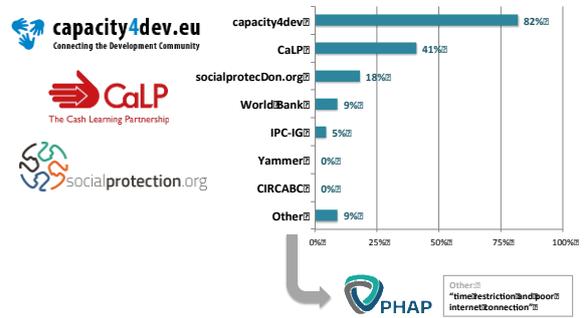- "CaLP / OPM / ODI / WB publication on the topics"

On the other hand
- "not impressed and it is a **real issue**: little is available, digestible (<10 pages), in French"
- "not aware of any"
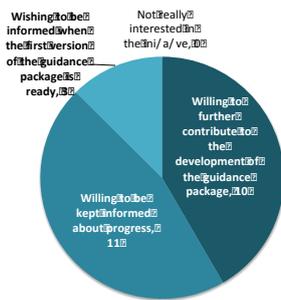
Perceived usefulness of suggested tools

An in-site training workshop with peers

A blended learning training course (with in-person sessions and online modules)

A reference document/guidelines in paper format

Simple checklists

Short articles presenting stories from the field / case studies

Samples of EC specific documents (ToRs, Call for EoI, etc.) used in similar contexts

A simulation game

An interactive library (in Wikipedia style)

An exclusively self-paced e-learning course with certificate

Very short explainer/introductory videos

Standalone webinars

A tutored open or closed online forum

Other:
"case studies simplified and summarised"

Legend: ■ What's needed ■ Not the most useful □ Pretty useless

Axis: 0% 25% 50% 75% 100%

Popular online platforms

capacity4dev.eu — Connecting the Development Community

CaLP — The Cash Learning Partnership

socialprotection.org

Platform	Value
capacity4dev	82%
CaLP	41%
socialprotecDon.org	18%
World Bank	9%
IPC-IG	5%
Yammer	0%
CIRCABC	0%
Other	9%

Axis: 0% 25% 50% 75% 100%

Other:
"time restriction and poor internet connection"

PHAP

Interest in getting involved

At least 10 persons willing to directly **contribute** to the development of the guidance package

- Wishing to be informed when the first version of the guidance package is ready, 3
- Not really interested in the ini/a/ve, 0
- Willing to further contribute to the development of the guidance package, 10
- Willing to be kept informed about progress, 11

Interest in a staff seminar

88% (21 persons) potentially **interested** in a 4-5-day staff seminar in Brussels

Number of individuals interested in a staff seminar (and available)

Period	Value
Week of 23 October 2017	15
Week of 6 November 2017	11
Week of 11 December 2017	10
Another time	3
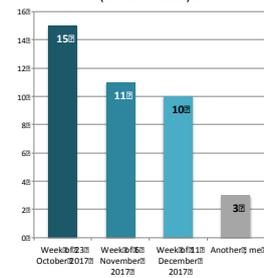
Annexe 4   Participatory Workshop
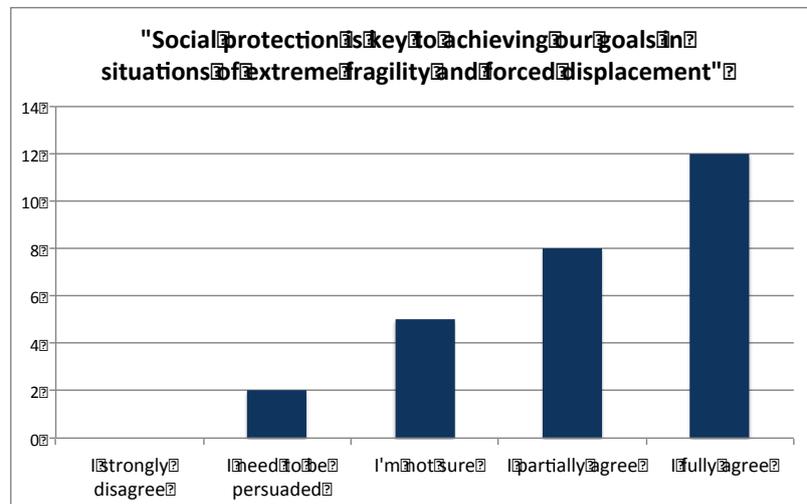
Purpose note & agenda ➔

Workshop170214_Purpose-Agenda_final.doc

List of participants ➔

Workshop170214_Participants_final.xlsx

Opening dot vote ➔

"Social protection is key to achieving our goals in situations of extreme fragility and forced displacement"

Closing reflections ➔

"A guidance package on providing social protection across the humanitarian-development nexus"
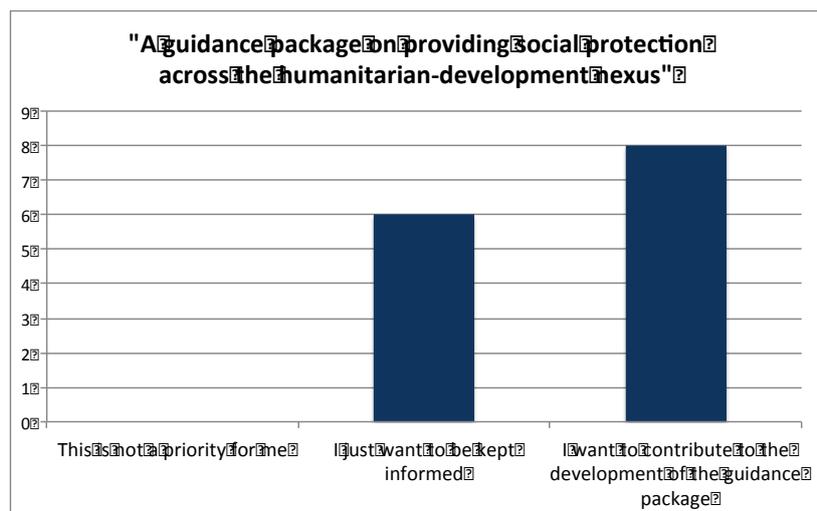
Annexe 5   Brief Overview of Relevant Work by UK's Department for International Development

What are the different entities of the EU MS mobilised around this issue and how do they coordinate or not (i.e. divide between humanitarian aid and development cooperation, etc.)?

DFID has evolved a relatively effective way of working across its internal institutional boundaries between the Social Protection Team and its Conflict, Humanitarian and Security (CHASE) Department, also increasingly involving the Climate and Environment Department. Formally, it has developed "joint cross-cadre technical groups"; but informal relationships are recognised as being equally important in ensuring collaboration and exploiting synergies. The process is facilitated at country level by having a single country budget.

How do they comprehend the role of social protection in humanitarian situations? What do they focus on in that area?

DFID recognises the potential role of social protection in humanitarian situations, and indeed has been something of a prime mover in driving this agenda forward. In 2015, through its Humanitarian Innovation and Evidence Programme (HIEP), DFID commissioned the Shock-Responsive Social Protection Systems study, a two-year, £1 million research programme led by Oxford Policy Management (OPM), in consortium with the Overseas Development Institute (ODI), the Cash Learning Partnership (CaLP) and INASP. The objective of the research was to strengthen the evidence base on when and how social protection systems can better scale up in response to shocks in low-income countries and fragile and conflict-affected states, minimising negative shock impacts and reducing the need for humanitarian responses.

What specific guidance, tools or frameworks have they develop around this issue?

The two-year study began with a conceptualisation of shock-responsive social protection (Working Paper 1), which evolved a typology of options for scaling up social protection in the event of shocks that has since been adopted both by DFID and more broadly (see table below and the associated infographic). The research also included a comprehensive literature review of the evidence base.

Table 3   Typology: Options for scaling up in response to covariate shocks

Name of option	Description
Vertical expansion	Increasing the benefit value or duration of an existing programme. May include: • Adjustment of transfer amounts • Introduction of extraordinary payments or transfers
Horizontal expansion	Adding new beneficiaries to an existing programme. May include: • Extension of the geographical coverage of an existing programme • Extraordinary enrolment campaign • Modifications of entitlement rules • Relaxation of requirements / conditionality to facilitate participation
Piggybacking	Using a social protection intervention's administrative framework, but running the shock-response programme separately. May include the introduction of a new policy
Shadow alignment	Developing a parallel humanitarian system that aligns as best as possible with a current or possible future social protection programme
Refocusing	In case of a budget cut, adjusting the social protection system to refocus assistance on groups most vulnerable to the shock

The final output of the research will be a Toolkit for practitioners, due in the first quarter of 2017 (Annexe 14). The toolkit will be divided into three parts: Part A will draw on the recent conceptual framework published by the project. Part B will include questions drawn from the core research to appraise the existing social protection system and offer guidance and options for thinking through

shock-responsive social protection mechanisms. Part C will include country case studies from the project.

What are their main relevant field experiences to date?

The shock-responsive social protection study included extensive qualitative case studies documenting experiences in Mali, Pakistan, and Mozambique, as well as light-touch research on Lesotho, the Philippines and the Sahel region.

But DFID's own practical experience in the area extends more broadly, and indeed the impetus for greater collaboration was often the product of initiatives at country office level, which indirectly supported (and encouraged) the more formal collaboration at headquarters level. This has been the case, for example, in Ethiopia, Kenya and Bangladesh, where livelihoods and social protection advisers have driven a push towards adapting their social protection initiatives towards disaster response; and in South Sudan and Somalia, where humanitarian advisers have driven a push towards supporting future social protection systems.

What future initiatives do they envision in that area?

DFID is planning a further substantial piece of work in the area of shock-responsive social protection, to be launched in 2017 (and with an early market engagement meeting likely to be held within the first quarter of the year).

It is also putting £10 million into joint UNHCR-World Bank work in this area, and will be supporting the biannual World Bank social protection meeting in September 2017, which will feature WFP as a partner and will have social protection in the context of forced displacement as a key theme. In the wake of this, DFID expects to establish an advisory service on forced displacement, with a mandate to provide longer-term technical assistance, to build the research and evidence base, and to look at issues of financing.

What strategic partnership could be envisioned with the EC?

There is potential for EC to supplement DFID's work in this area. In particular, DFID recognise that their experience and research has left two important gaps to be filled, at the two ends of the spectrum: (i) the most fragile and conflict-affected states where there is either nothing (eg South Sudan, Somalia) or where the shock is so huge that existing systems are totally overwhelmed (Yemen; Iraq); and (ii) the challenge of forced displacement/non-nationals (Jordan, Lebanon, Turkey). These are specifically excluded from OPM's research (see table below), DFID has not documented nor analysed its relevant experience, few other agencies are operating in these spaces, and they are topics of great interest both generally (World Humanitarian Summit) and specifically to EC.

Table 2   Scope of the research

Type of needs / System maturity	Structural crisis needs	Seasonal crisis needs	Humanitarian crisis needs
Non-existent			
Internationally led			
State-led interest		✓	✓
State-led commitment		✓	✓
State-led expanding		✓	✓
State-led mature			

DFID would also be happy to share its guidance material and toolkits more broadly, and for others to expand on them, perhaps through the mechanism of SPIAC-B and the ISPA toolkit (though DFID recognises that this is a longer-term aspiration, and will in the meantime continue with its own products for the sake of expediency).

Key contact persons

- Heather Kindness, Head of Social Protection Team (H-Kindness@dfid.gov.uk)
- Chris Porter, Humanitarian Head of Profession (C-Porter@dfid.gov.uk)
- Magalie Rouschmeyer, Social Protection Team (M-Rouschmeyer@dfid.gov.uk)
- Tim Waites, Protracted Crisis Hub, CHASE (T-Waites@dfid.gov.uk)

Annexe 6   Brief Overview of Relevant Work by Germany's GIZ and BMZ

Introduction

Social protection is a cross-cutting issue of German development policy, and is linked as a rights based approach to priority areas of sustainable economic development, health, good governance and rural development. It promotes universal access with a focus on poor people, those at risk of poverty and vulnerable groups such as children and youth, women, minorities, the old, the sick and people with disabilities, and more recently, displaced people.

BMZ has supported around 20 governments though policy dialogue, technical assistance, training and funding. It also support civil society and private sector actors such as trade unions, trade associations, professional and charitable associations, insurance companies, non-governmental organisations, and micro-finance and research institutions. It works in partnership with the ILO, the OECD, WHO, the EU and the World Bank.

Traditional Approach

The BMZ *Sector Strategy on Social Protection*[20] released in 2009 defines its current priority areas of support, often using technical expertise from GIZ:

- *Social health protection*: supporting structural health protection system reforms and ensuring the access of poor and marginalised. It supports the flagship *Providing for Health Initiative* with France, WHO, the ILO and the World Bank, which links social protection to health systems.

- *Micro-insurance*: covering those formally and informally employed covering individual risks (e.g. sickness, death, weather and flood damage) and often locally managed outside of national schemes. BMZ support feasibility studies, start-up financing and risk guarantees for the insurers, conditional on the inclusion of poor and vulnerable people.

- *Social assistance*: using unconditional and condition transfers and putting in place the social infrastructure to manage these. This is being extended to protracted crisis countries and forcibly displaced person.

- *Pensions and access for the elderly*: support and funding for national pension systems and ensuring basic social services for old people.

- *People with disabilities*: working people with disabilities and government to ensure inclusion and relevantly designed products.

Key guidance supporting the role out of its Sector Strategy include:
- BMZ (2008) *Strengthening Social Protection Systems in Developing Countries and Emerging Economies*
- BMZ (2009) *Sector Strategy on Social Protection*
- BMZ *Microinsurance as a social protection instrument*
- BMZ *Fighting Poverty More Effectively – Worldwide Cross-Sectoral Strategy on Poverty Reduction*
- GTZ (2005): Social Health insurance. A contribution to the international development policy debate on universal systems of social protection, GIZ *Disability and development cooperation – 10 facts or fallacies?*
- GTZ (2006) *Disability and Development – A contribution to promoting the interests of persons with disabilities in German Development Cooperation*

GIZ provides technical supports and guidance to the *BMZ Social Protection Sector Project* through four thematic, (i) Inclusive social protection; (iii) Global Alliances for Social Protection Programme; (iii) Social protection systems, and; (iv) Quality for Health Systems.

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[20] See http://www.bmz.de/en/publications/archiv/type_of_publication/strategies/konzept190.pdf

1. Inclusive social protection around a programme cycle[21]: a website provides practical tools and advice for programme planners and policy makers to run inclusive social protection programmes, especially in low and middle income countries, with a focus on disability: model countries <u>Peru, Tanzania</u>.

2. Global Alliances for Social Protection (2013-2018)[22] set up to exchange of knowledge and experience on social protection topics within regions involving key partner countries such as <u>Brazil, China, India, Indonesia, Mexico and South Africa</u> and other interested countries such as <u>Chile, Peru and the Philippines</u>. The programme uses learning formats such as special events, peer-to-peer learning, workshops and learning forums to promote vest practice policy and implementation of social protection systems.

3. Social Protection Systems Project, prioritising social health insurance and basic social security (encompasses people's right to social security in the event of unemployment, sickness, disability, widowhood, old age). The project has supported 25 countries, with the principal countries including <u>Bolivia, Cambodia, China, Chile, El Salvador, Guinea, India, Indonesia, Kenya, Paraguay, the Philippines, Rwanda, Tanzania, Thailand, Vietnam and Zambia</u>. <u>Kenya and Zambia</u> are cite as best case countries for setting up a national social health insurance scheme, financial support for families in extreme poverty.

Guidance and training given to partner governments has focused on healthcare financing, international experience and scheme management.

The project cooperates with other bilateral development organisations, most notably with DFID, for example on the theme of social transfers, and with Finland, Belgium and France on general issues of social protection. In addition, there is a longstanding cooperation with the Belgian health insurance alliance (ANMC). There is also a regular and constructive exchange of knowledge with the Institute of Tropical Medicine (ITG) in Antwerp. GIZ also coordinates wit DFID and Finnish Cooperation agency on the role of social protection in the OECD *Working Group on Risk and Vulnerability* within the framework of the DAC Network on Poverty Reduction (PovNet).

There are three key health-related initiatives falling under the Social Protection Systems Project, each with accompanying guidance:

- *International Consortium on "Social Protection in Health*[23]**:** For many years, GIZ has been working closely with WHO and ILO at the multilateral level. In 2004 the WHO, the ILO and GIZ formed a consortium on social protection in the health sector with the following objectives: the development of a common strategy in the area of social protection, particularly social health insurance partnership-based cooperation has so far taken place in <u>Kenya, Tanzania, Rwanda, Guinea, India, Indonesia, the Philippines, Cambodia and Yemen</u>.

- *Global Partnership for Disability and Development network:* The project also participates in the international network of the Global Partnership for Disability and Development (GPDD). This is a network of different organisations that has its headquarters at the World Bank in Washington. It has set itself the goal of promoting the interests of people with disabilities in national and international poverty reduction programmes.

- *Action Concertation***: Located in <u>West and Central Africa</u> and set up in** 1998, the project has been supporting a concerted action to promote local health insurance schemes in West and Central Africa (*Mutuelles de Santé*). The Action Concertation is supported by several donors, and is primarily an Internet platform that provides local insurance schemes in eleven countries with guidance and practical expertise (weblink not functioning).

4. Quality Management of Health Care Systems: This initiative reinforces all aspects of health care and services, offering governments technical support in quality management, which uses standards to analyse systems and staff. Case studies include <u>Bangladesh, Cambodia, Cameroon, DRC, Guinea, India, Kenya Kyrgyzstan, Morocco, Pakistan, Tajikistan, Tanzania, and Yemen</u>.

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[21] See https://www.giz.de/expertise/html/16766.html
[22] See https://www.giz.de/expertise/downloads/giz2015-en-factsheet-global-alliances-for-social-protection.pdf
[23] See http://www.socialhealthprotection.org/

GIZ has formulated a core set of guidance packages related to social insurance including:

- *InfoSure*[24] – Health Insurance Evaluation Methodology and Information System for analysing and evaluating health insurance systems, trialled in <u>India, Indonesia, the Philippines, Bolivia, Paraguay, Peru, El Salvador, Togo and Senegal</u>;

- *SimIns*: Joint WHO and GIZ tool to simulate the financial development of a social or community-based health insurance scheme;

- *Centre of Health Insurance Competence* Management Seminars set up to improve the competence and effectiveness of health insurance scheme staff linked to networks of small, community-based health insurance schemes.

GIZ also hosts an online publication series on social protection systems[25] containing short and concise discussion papers on social insurance (health, work, micro-insurance), access of disabled, elderly and women to social protection products (mainly health products), and cash transfers and e-payments.

Adapted Approaches

The change in the head of BMZ after the last German elections, coupled with Syria Crisis and the EU Migration Agenda has collectively but indirectly driven an adaptation of traditional social protection approaches through:

- The formation of a *Transitional Development Assistance* instrument bridging traditionally siloed humanitarian action of the German Foreign Ministry and BMZ: it was set up to cover a series of protracted humanitarian issues using a LRRD approach, with key issues including food and nutrition security, the reintegration / support to refugees, DRR and later resilience, and the reconstruction of basic social and productive infrastructure.

- Ad hoc development of three special initiatives in 2013 (*Special Initiative 1: One World No Hunger, Special Initiative 2: Tackling the root causes of displacement, reintegrating refugees and Special Initiative 3: Stability and development in the MENA region*) together with a new *Middle East Employment Drive* initiative in 2016 that are all loosely connected under an overarching 'effort' for tackling root causes of displacement, stabilising host regions, supporting refugees[26]. The scope of these efforts is meant to cover Syria-crisis affected countries, North Africa and the Sahel, South Sudan and CAR and neighbouring countries, Balkans and Ukraine, Afghanistan and Pakistan, in reality, most funding is going to refugee-hosting countries around Syria.

- The reapplication of experience particularly in social insurance and health-related expertise (the historically strong point of BMZ/GIZ technical expertise in social protection) to non-national and stateless people, to informal and community-led mechanisms.

- Increasing links between social protection and climate change concepts yet to be converted into programming[27]. This reviewed a GIZ-led project in <u>India</u> and external examples of <u>Kenya, Ethiopia</u> and the use of the AU African Risk Capacity, which the KfW (the German Development Bank) is looking at supporting. GIZ is also supporting a World Bank-WFP social protection system study in Malawi looking at shock-responsive capacities of the national system.

The contribution between all of these initiatives together with the German Foreign Affairs Ministry that is mandated for humanitarian response is blurred and apparently not well structured, with significant overlaps. BMZ committed more than 3 billion euro in 2016 alone to tackle the root cause of displacement in countries of origin and to support refugees and local communities in host countries. Constant changes in personnel and the great domestic pressure on refugees means that a large amount of resourcing is channelled through the UN system with objectives potentially

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[24] See http://www.infosure.org
[25] See https://www.giz.de/expertise/html/3874.html
[26] BMZ (2016) *Helping refugees build a future: tackling the root causes of displacement stabilising host regions, supporting refugees*.
[27] Zielger, GIZ (2016) *Adaptive social protection – linking social protection and climate change adaptation*

changing rapidly, and an overwhelming focus on the Syria Crisis. Social Protection teams are trying to catch up with the rapidly changing policy landscape, with large volumes of activities that can be valorised as social protection measures being carried out as follows.

- *Cash, vouchers and in-kind winterisation kits*: resources are channelled through the UN system directed at humanitarian and food and nutrition security outcomes, and span efforts across the Foreign Ministry, TDA and the Special Initiatives. As such there is no common approach or guidelines. Electronic food aid vouchers facilitated by mobile phone technology were rolled out in <u>Lebanon, Iraq and Egypt</u> reached 650,000 people, whilst 230,000 children received winterisation support in <u>Jordan, Lebanon and Northern Iraq</u>.

- *Public Works Programmes*: the Partnership for Prospects is channelled via KfW (1 year) to UNDP, ILO and UNICEF and via GIZ (up to 3 years) and its NGO partners in <u>Lebanon, Jordan, Turkey, Syria, Iraq</u> (200 million euro per year). The cash for work programmes (waste collection, cleaning and infrastructure projects) target host communities and refugees involving 60,000 workers between informal and formal projects (around 3 months), also supporting salaries of teachers in the national education system (normally for one year). There is no common guidance but uses the ILO Labour Standards and makes some use of the ISPA Public Works tool (to be trialled in Iraq?). It has some links with a shock-responsive application but does not directly link to national systems yet. There are also other projects supporting vocational and job placement programmes working with municipal governments linked to agricultural-value chains in <u>Turkey</u>.

- *Child education support* (including psychosocial support) for refugees and host communities <u>Syria, Turkey, Lebanon, Jordan and Iraq</u> (1 million children).

Interviewees

- Catharina Weule: GIZ Programme office Transitional Development Assistance sector project
- Johanna Knoess: GIZ
- Marie-Christina Dankmeyer: GIZ
- Stephanie Ruff: BMZ
- Gerhard Ressel: BMZ Programme Manager Partnership for Prospects
- Marieke Wagenhäuser: BMZ Programme office Transitional Development Assistance

Annexe 7   Brief Overview of Relevant Work by Ireland's Department of Foreign Affairs and Trade – Irish Aid

What are the different entities of the EU MS mobilised around this issue and how do they coordinate or not (i.e. divide between humanitarian aid and development cooperation, etc.)?

Irish Aid has three teams that bridge the humanitarian-social protection nexus: the Economic Inclusion Team, the Humanitarian Unit and the Climate Change Team. The three have jointly recognised the importance of shock-responsive social protection and are planning a joint internal workshop in the second half of 2017.

How do they comprehend the role of social protection in humanitarian situations? What do they focus on in that area?

There is a growing recognition of the need for a joined-up approach. Ireland focuses its aid on (a) fragile and conflict-affected states (currently Liberia, Palestine, South Africa, Timor Leste and Zimbabwe), and (b) its nine "key partner countries" (KPC), the majority in sub-Saharan Africa: Ethiopia, Lesotho, Malawi, Mozambique, Sierra Leone, Tanzania, Uganda, Zambia and Vietnam.

What specific guidance, tools or frameworks have they developed around this issue?

Irish Aid is currently finalising its overall Social Protection Strategy (first quarter 2017), following a workshop in Dar-Es-Salaam in February. It has also produced a guidance note on social protection and climate change, drawing in part on its experiences in Mozambique.

What are their main relevant field experiences to date?

Sierra Leone represents the most significant experience of direct linkages between social protection and humanitarian interventions. Others, combining climate change adaptation with social protection, include Mozambique, Uganda and Malawi.

What future initiatives do they envision in that area?

Irish Aid is particularly interested in the areas of social protection that is either weather-indexed or food price-indexed. They would also be interested in the development of more comprehensive registries that could be flexible enough to accommodate displaced persons (such as in Malawi); and the use of card-based delivery systems (as used by WFP in Turkey).

What strategic partnership could be envisioned with the EC?

Irish Aid would very much welcome being kept informed of EC initiatives in this area. They were represented at the Bonn meeting of Member States in January 2017, and are keen to remain involved.

Key contact persons:

- Kate Brady (Kate.Brady@dfa.ie)
- Aidan Fitzpatrick (Aidan.Fitzpatrick@dfa.ie)

Annexe 8 Consultative Session with Representatives from Germany, Finland and France

France, Finland and Germany were the first of the EU MS that offered to take part in a consultative session on social protection and humanitarian aid issues organised on 18 January 2017 in Bonn, back-to-back with the EU MS meeting on Social Protection in Development Cooperation, reflecting their interest and experience. The following key points relate to new ways of working and the support required in fragile and difficult contexts.

Humanitarian-security-development nexus

- Traditional social protection programming needs to address the role of humanitarian principles and different approaches to social protection involving different set of humanitarian and peace-building actors.
- Security and state capacity building are important. How to deal with actors in the security/police sector? How to accompany security reforms? Could one option be to work on providing social protection (pension) for security forces and the police, as an entry point to establish national social protection systems in difficult contexts, whilst stabilising security personnel?
- Understanding how existing social protection systems function (and favour the rich), and how to better prioritise targeting for the poor towards universal coverage.
- Security-Development nexus needs to be addressed in any conflict-affected context, so far this has been insufficient.
- Finland: CSDP (EEAS) is embedding experts into ministries and defence forces, and could use a social protection expert; there is demand – targeting defence and police staff.

French focus on climate change and labour

Agence Française de Développement (AFD) is a bank 50% of project impact on climate change, but is currently not covering non-nationals/stateless people. In partnership with the ILO has undertaken studies in Egypt, Philippines, China, Brazil and the Sahel although no guidance is available yet. It will be submitting one country to the Green Climate Fund (Pakistan or Myanmar). It reviewed how social protection could:

- Offset losses in income or assets due to environmental degradation and/or climate change mitigation/adaptation measures (such as ending fuel subsidies).
- Motivate 'livelihoods and employment that protected the environment from the increasing pressures of human activity.
- Scale up in the case of climate-related hazards, using an adaptive social protection approach.

The AFD has given loans to Indonesia, Sri Lanka, Philippines, Bangladesh (decent work), Senegal, South Africa, Namibia, Malawi, and Botswana to further work on these issues.

It will seek out support from the World Bank during its mid-term review of its social protection strategy where adaptive social protection will be important, ideally leading to the development of tools. It will apply to the World Bank-led Adaptive Social Protection Programme for Burkina Faso (2017) and Niger (2018).

ILO and ASEAN are working on the links between social protection and the United Nations Framework Convention on Climate Change COP 22 outcomes coming out of Paris, 2016.

BMZ and GIZ have looked at social protection and climate change conceptual linkages (material available) but are still preparing to apply this to programming. There has been a focus on internationally funded public works programmes that work on protecting the environment but these are not well linked to State-led social protection systems.

Informal systems

The EU-SPS programme is supporting the African Union SPIREWORK initiative that works with informal labour markets, and reviewing how to incentive informal worker and social protection-taxation linkages e.g cooperatives and other agents linked to informal workers, paying tax and deducting health and work insurance coverage: Tanzania and Zambia pilots. Experts met in Malawi in December 2016 to discuss these issues. There is a joint ILO-FAO study on working with cooperatives in Cote d'Ivoire, Kenya and Cameroon.

Promoting the transition from non-contributory to contributory measures in social protection systems needs to look at ways of incentivising payment, mechanics of payment, and the economic empowerment (livelihoods) of vulnerable people. This potentially uses similar approaches to alternative models of insurance promoted by the ILO and GIZ.

Migration

There appears to be potential to harness the EU Migration Agenda, as funding mechanisms are more accessible than DCI fund for displaced people. AFD has already request EU Emergency Trust Fund support for the poor and displaced people in Djibouti. The EU Global Programme on Migration is operated through member states and UN agencies, similar to what is proposed for the upcoming Global Programme on Social Protection. Other initiatives that may directly or indirectly reach non-national caseloads include:

- BMZ Transitional Development Assistance, with a large focus on cash transfers that are starting to look beyond humanitarian saving lives and livelihoods outcomes to longer-term poverty outcomes.

- The African Risk Capacity has the potential to link payments related to natural hazards through social protection system. It was set up as an African Union agency to help African State capacities to better plan, prepare and respond to extreme weather events and natural disasters, with a focus on protecting the food security of their vulnerable populations. 32 African States have signed up to this.

- EU-UNICEF B4 2 billion euro partnership demonstrates a potential One-UN structure.

Training and Tools

EU-SPS is promoting training institutes in South and East Africa with modules in English related to social assistance. The AU is will review training linked to regional platforms at a side event at the social ministers meeting in April, discussing links with African Virtual University tool virtual campus (EU SPS-ILO collaboration). Other training packages include those from CaLP and ERC-funded cash/multi-purpose cash grant products, and UNICEF product on social protection in humanitarian contexts (not yet available externally?). The ISPA tool for cash transfer is under development and there is interest in a humanitarian tool or a tool that relates to difficult contexts and caseloads. So far, the role out of the four ISPA tools has not occurred in difficult contexts.

Case studies for consideration

Finland:
- Somalia: EU paying stipends to police, building internal capacity police, need for a security forces package (police), potential to apply in Yemen, South Sudan

French: wants to choose a country linked to its climate change focus:
- Egypt, Philippines, China, Brazil and the Sahel as part of its ILO partnership, application of AFD to the World Bank-led Adaptive Social Protection Programme for Burkina Faso (2017) and Niger (2018).
- AFD-ILO: Philippines, Bangladesh, AFD GCF (Pakistan or Myanmar)

Germans
- Iraq, Jordan and Lebanon, Turkey and Greece
- WB-WFP-GIZ study Malawi

Annexe 9   Brief Overview of Relevant Work by the International Labour Organisation

Introduction

The ILO has been historically influential for ensuring the incorporation of social protection (in the past labelled as 'social security') into a set of human rights conventions advocating for a basic level of national of social security measures and within a range of global tripartite labour standard agreements between governments, employers and workers (representing 187 countries). The ILO has traditionally focused on labour market interventions, standards and protection of workers under its *Decent Work Agenda* within state-led and contributory social protection systems.

The Social Protection Department is one of seven ILO policy departments set up to '*provide data, analysis and policy advice in building and expanding social protection floors and will coordinate work with other international organizations in this key area. Its work will also build on established ILO expertise in the design and reform of sustainable social security systems in the light of the challenges of changing demographic and economic conditions'.*[28] The Social Protection Department is also reliant on other Departments[29] charged with ensuring work opportunities and conditions, business, other sectors including health and education/vocational training and a rights-based approach for protecting people.

ILO leads the *National Social Protection Floors*[30] movement linked to Recommendation No. 202 of the International Labour Conference in 2012 (endorsed by the G20 and UN member states) that promotes the universal access to income security for children, working age adults and disabled and elderly people, as well as access to health care for all. This rights-based approach has opened up targeting to people vulnerable to poverty, exclusion, risk and non-nationals. Over the past decade ILO states that it has supported the development of aspects of social protection floors in 136 countries,[31] with model countries including Argentina, Bahrain, Bangladesh, Cabo Verde, Cambodia, Colombia, Cyprus, Ghana, India, Indonesia, Kazakhstan, Moldova, Mozambique, Myanmar, Peru, Uruguay, Saudi Arabia, Thailand, Togo, and Vietnam.[32]   The current ILO Global Flagship Programme Strategy on Building Social Protection Floors for all (2016-2020) supports ILO member in 21 countries (Cabo Verde, Cambodia, Cameroon, Colombia, El Salvador, Honduras, India, Indonesia, Kyrgyz Republic, Laos, Malawi, Mozambique, Myanmar, Niger, Pakistan, OTP, Paraguay, Senegal, Timor-Leste, Togo, Vietnam and Zambia),[33] plus other countries according to ad hoc and specific demands for technical support. These have typically included stable countries with a focus on national citizens. Some of these countries are now looking at non-nationals and employment, such as Zambia and is current resettlement initiative that connects refugees to national systems.

Standard approach

At a country-level, ILO normally follows a step-by-step approach, as outlined in the Flagship programme strategy document:[34,35]

Step 1 - Adopting national social protection strategies
'Through a participatory assessment-based national dialogue exercise (ABND tool) involving relevant ministries, social partners, civil society organizations, UN agencies, and other development

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[28]   See http://www.ilo.org/secsoc/lang--en/index.htm

[29]   The other six policy department include: International Labour Standards, Employment Policy Department , Enterprises Department, Sectoral Activities Department, Governance and Tripartism Department, and, Conditions of Work and Equality Department

[30]   SDG 1.3 refers to 'Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable'.

[31]   See http://www.social-protection.org/gimi/gess/Flagship.action

[32]   Supporting national social protection strategies in 34 countries, health protection in 30 countries, child benefits in 21 countries, maternity benefits in 20 countries, unemployment insurance schemes in 20 countries, public employment programmes in 31 countries and old-age pensions in 43 countries.

[33]   Case studies for each of these countries can be found at http://www.social-protection.org/gimi/gess/Flagship.action

[34]   See http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=53284

[35]   There are an extensive set of Country Notes documenting the roll out of social protection by the ILO: http://www.social-protection.org/gimi/gess/ShowPublications.action

partners, a consensus is forged on priorities for the implementation or extension of a nationally-defined SPF'.
- ✓ Opportunity overview document[36] ; Assessment Based National Dialogue (ABND) guide[37]

Step 2 - Designing and reforming social protection schemes

'Technical advisory services and capacity building are provided alongside the organization and facilitation of social dialogue to design or reform individual social protection schemes in line with ILO standards, including policy options, costing and financing, institutional set-up, and legal studies. Macroeconomic and fiscal assessments of social protection reforms are incorporated into national budgets. In addition, linkages are developed with other policies and support is provided for the ratification and application of ILO Conventions and Recommendations, in particular the Social Security (Minimum Standards) Convention, 1952 (No. 102)'.
- ✓ Broad design of schemes (guidance available per branch of social protection: health, unemployment, pensions, and so on)
- ✓ Institutional design / coordinated delivery – opportunity document[38]
- ✓ UNDG social protection coordination toolkit: Coordinating the design and implementation of nationally defined social protection floors[39]
- ✓ Costing and financing (under revision), ILO-UNICEF SPF Costing Tool[40]
- ✓ Legal drafting[41] (being upgraded)

Step 3 - Supporting implementation of schemes

'Administrative capacities and representation of persons concerned are increased at the national and local levels through hands-on training and the implementation of SPF delivery mechanisms, including one-stop shops for beneficiary registration and benefits distribution and the development of information technology (IT) systems'. This is done through local administration in Asia or can also be devolved to community-based organizations when they exist (e.g. Rwanda and Senegal). 'Operational linkages are developed with other services that facilitate access to employment and social inclusion, including for people living with HIV/AIDS. The schemes' financial governance is improved through actuarial valuations'.
- ✓ Opportunity overview document and UNDG social protection coordination toolkit

Application to more difficult contexts

Traditional ILO approach applied to 'normal' contexts is now being modified to be able to be applied to more fragile and disaster-prone contexts with an increasing greater focus on protecting non-nationals and stateless people:

Decent Work Agenda: joining up with its Labour Migration Branch in its Conditions of Work and Equality Department and with support to informal workers through the Decent Work Agenda.
- ✓ CEB Toolkit for Mainstreaming Employment and Decent Work[42].

Micro-insurance / mutual as part of national social protection schemes
ILO supports contributory micro-insurance schemes that uses (among others) designed to meet the priority social protection needs of people excluded from the formal social security, in particular informal economy workers, refugees, stateless people and their families.
- ✓ There is an extensive set of guidance and tools from Global Information on Microinsurance[43].

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[36] See http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=51881
[37] See http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=53462
[38] See http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=51882
[39] See http://jobs4prosperity.org/downloads/social%20inclusion/UNDG_coordination_toolkit_EP5.pdf
[40] See https://www.unicef.org/socialpolicy/files/SPF_Costing_Tool_Manual.pdf
[41] See http://www.social-protection.org/gimi/gess/RessourcePDF.action?ressource.ressourceId=53289
[42] See http://www.ilo.org/pardev/partnerships/partnerships-and-relations/ceb-toolkit/WCMS_172609/lang--en/index.htm
[43] See http://www.social-protection.org/gimi/gess/ShowTheme.action?id=4

Workers in the informal economy: supporting the expansion social protection coverage to informal and precarious workers to reduce their vulnerability, improve income security and health care access, enable them to plan ahead, and help facilitate their transition to the formal economy.

✓ ILO. 2013. The Informal Economy and Decent Work: supporting transitions to formality: a resource guide[44]

Future of work: This initiative has produced issue notes on technological changes, labour supply (demographics, migration, unpaid work), employment relationship and the social contract (inequality, income security) and other non-standard forms of employment[45].

✓ ILO (2016) The future of labour supply: Demographics, migration, unpaid work

Climate change and adaptive social protection[46]

ILO in partnership between the *Agence Française de Développement* (AFD) has undertaken studies in <u>Egypt, Philippines, China, Brazil and the Sahel</u> although no guidance is available yet. It reviewed how social protection could:

- Offset losses in income or assets due to environmental degradation and/or climate change mitigation/adaptation measures (such as ending fuel subsidies).

- Motivate 'livelihoods and employment that protected the environment from the increasing pressures of human activity.
- Scale up in the case of climate-related hazards, using an adaptive social protection approach.

The AFD has given loans to Indonesia, Sri Lanka, Philippines, Bangladesh (decent work), Senegal, South Africa, Namibia, Malawi, Botswana to further work on these issues, and is being supported by ILO.

Refugees and host communities

The ILO is support the refugees using two timeframes:

- *Long-term response*: Support the inclusion of refugees in existing social protection floors, by making the case for the specific concerns of refugees along the three steps mentioned above. For example in Thailand, the UNHCR managed to include refugees in the Universal Social Health Protection scheme with the aid of ILO.
- *Emergency response*:   In cases of shocks (displacement of populations) ILO looks at channelling humanitarian fund to build the long-term capacities of the government. It starts with Step 3 of its 'normal' process to plan/implement/deliver social protection, using the confidence built to promote the redesigning and reform social protection schemes at a later stage. (Step 2). The idea is that social protection systems become more sustainable and inclusive after the crisis.

The ILO has developed a short concept note but has no specific guidance, however efforts on informal workers, Decent Work and micro-insurance set up for economic migrants are being revalorised to assist forcibly displaced persons, in partnership with UNHCR.

Interviewees

- Valerie Schmitt: Chief, Social Policy, Governance and Standards Branch, Head, Flagship Programme on Building Social Protection Floors for All, Social Protection Department
- Christina Behrendt: Senior Social Protection Policy Specialist, Social Protection Department
- James Canonge: Social Protection Policy Officer, Social Protection Department

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[44] See http://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_policy/documents/publication/wcms_212689.pdf. and http://socialprotection-humanrights.org/key-issues/disadvantaged-and-vulnerable-groups/informal-and-precarious-workers/ for other resources

[45] See http://www.ilo.org/global/topics/future-of-work/lang--en/index.htm

[46] See http://climatechange.social-protection.org

Annexe 10 Brief Overview of Relevant Work by UNICEF

Introduction

UNICEF has promoted child-sensitive social protection systems since 2009 where it joined with other UNDP, the World Bank, DFID and other agencies on a Joint statement on advancing child-sensitive social protection.[47] It uses social protection to promote the human rights of children and families by mitigating the effects of poverty on families, strengthening families in their child care role, and enhancing access to basic services for the poorest, marginalised and for children outside of a family structure. It also views social protection as contributing to the resilience against natural hazard and economic shocks but also other forms of social vulnerability that exclude children from national social service systems.

UNICEF developed a **Social Protection Strategic Framework** in 2012[48], a central guidance for its policy and operations. A set of principles underpin UNICED guidance including:

- Government-led integrated and universal social protection systems covering economic and social forms of vulnerability, measures coordinated with the strengthening of national social service systems, multi-sectoral coordination reflecting the different elements of poverty and linking social protection strategies within a larger human development and growth agenda.

- Management of social risks that directly affect children's lives, early as possible action with adapted measures according to the age and gender of children ensuring that the effects of shocks, exclusion and poverty on families are addressed.

- Inclusion of marginalised children without parental care, and discriminated against within their families or communities e.g. due to their gender, disability, ethnicity, HIV/AIDS,

- Inclusive management of social protection systems and programmes where children and youth are consulted.

Key studies in <u>Senegal, Mauritania, Moldova, Kenya, China, Ghana, Nepal Congo Republic, Equatorial Guinea and Mali</u> preceded the Strategic Framework[49]. A systems approach to integrated social protection systems was later promoted in a UNICEF-WB partnership that defines common elements across the UNICEF Strategic Framework and the current World Bank Social Protection and Labor Strategy[50].

Social protection currently sits under the Social Inclusion and Policy Section and is linked to the Social Inclusion Outcome of the current UNICEF Strategic Plan (2014-2017). The Social Inclusion and Policy Section works closely with other sectors (such as Health, Education, Nutrition, and Child Protection) and the Emergency Department (EMOPS) to enhance outcomes for children and their families. There is increasing collaboration with EMOPS as well as with the Humanitarian Action and Transition Section (HATIS) to address the specific needs of countries to respond to shocks and emergencies.

Standard Approach

UNICEF programming and institutional support covers different parts of **a comprehensive social protection approach**, from cash and in-kind transfers focused on basic needs for children, to universal access to education, maternal and child health and other social services, with an additional focus on child abuse and exploitation in labour markets and the Decent Work Agenda promoted by ILO. As such, it does not focus on labour-market interventions in social protection systems. UNICEF supports initiatives at different layers from household and community-level projects to the capacity building of local and national level government and social service systems. UNICEF promotes the linkage of social protection with outcomes in other sectors including

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[47] https://www.unicef.org/aids/files/CSSP_joint_statement_10.16.09.pdf
[48] UNICEF (2012) *Integrated Social Protection Systems: Enhancing equity for children*
[49] Linked to the joint ODI-UNICEF studies in West and Central Africa (https://www.unicef.org/wcaro/documents_publications_3245.html) and other country-specific studies (https://www.unicef.org/socialpolicy/index_45344.html)
[50] UNICEF and World Bank (2013): *Common Ground: UNICEF and World Bank Approaches to Building Social Protection Systems*

education, health, nutrition, early childhood development, water and sanitation, child protection, HIV/AIDS and disaster risk management. For example, in Turkey, it is complementing WFP's efforts for cash transfers by linking with complementary livelihoods activities, child access to both formal and informal education options. Coordination between social protection and sector are important as activities may overlap both, for example, activities promoting child education may be classified as social protection or education according to the context or donor budget line.

Most of the technical assistance provided to Regional and Country Offices is provided on a case by case basis by social protection and emergency specialists. In many cases, operations use general UNICEF guidance on assessment methodology dealing with children's issues across different UNICEF divisions, and then revalorise this for social protection purposes. More recently, UNICEF are using an **informal set of assessment questions** that covers ten core social protection areas in humanitarian contexts including:

- Information on the affected area, including vulnerability, risk and impact assessments
- Mapping of social protection programmes (activities, coverage, targeting) at national and local levels focusing on cash, housing, income generation, financial inclusion, education and nutrition-related subsidies, care programmes and public works programmes.
- Registry and registration processes for social protection programs:
- Delivery mechanism for each social protection programme, including portable options and contingency plans for distribution
- Costing and Affordability including what happens in the case of an emergency
- Institutional capacities and gaps:
- social workers/ social assistance personnel capacity
- Considerations for the longer-term/recovery phase after emergencies
- Identification of key actors at national and local levels: ministries, local government, private sector, NGOs and civil society
- Inter-sectoral and inter-institutional coordination and integration mechanisms.

UNICEF released its Cash in Emergencies guidance (2009), supported by a roster of cash experts using different agencies (e.g. involving Save the Children). UNICEF also supported the joint UN Social Protection Floors Initiative in 2010 by formulating a joint UNICEF-ILO *Social Protection Floor Costing Tool*. It provides estimates of programme costs for old-age pensions, child benefits, disability benefits, orphan benefits, education stipends, birth lump-sum benefits, youth labour market programmes, and unemployment programmes. It also allows a basic modelling of different social protection options according to programme preferences, and budgetary and financing constraints.

Adapted approach

UNICEF is currently overhauling its guidance and tools particularly on cash including a brief on UNICEF's involvement in humanitarian cash transfers, the feasibility of cash in humanitarian contexts and the institutionalisation of cash across different units in UNICEF. This work is being informed by the joint UNICEF-FAO evaluation Transfer Project that carried out national evaluations of social cash transfer programmes located in Kenya, Ghana, Ethiopia, Zambia ,Zimbabwe, Lesotho, Malawi, South Africa, Madagascar and Tanzania. Additional guidance in ongoing on how UNICEF adapts its programming in fragile contexts and on linking humanitarian and development measures that look at acute versus chronic vulnerability supported by a new position (and coming out of a global internal workshop in Kiev in 2016).

UNICEF is increasingly working towards **a comprehensive social protection approach spanning humanitarian and development actors, including:**

- Working on a government-led national framework that has flexibility built into it to manage shocks (and acute vulnerability) with a larger objective of protecting people from chronic vulnerability. There are increasing examples of UNICEF working together with WFP and the World Bank.

- From development side, this means applying risk-based methodology to existing social protection systems strengthening links to disaster preparedness. The national conceptual

framework needs to be constructed and owned by the government for sustainability and ensuring domestic investment, e.g. a lack of attention by international agencies in Ethiopia has meant a lack of sufficient ownership across all parts of the government.

- From the humanitarian side, it means coordinated and scaled up action on social transfers (particularly in-kind and cash transfers) that are linked to a national social protection strategy (and not run in a silo). Increasingly this is meaning joint analyses and planning involving the government.

- In terms of cash, UNICEF is promoting a clearer and joined up framework in humanitarian contexts with more harmonised approaches to targeting, transfer amounts, an unconditional focus, and with the outcome rather than the delivery mechanism of cash prioritised. UNICEF is working with other agencies such as WFP, UNHCR and the World Bank on vulnerability analyses. It also means linking social assistance and social insurance measures such as in Jordan and Lebanon by linking cash transfers with access to health insurance.

- Disasters can catalyse the linkage of humanitarian action with an expansion of the national social protection system for example, the HIV response in Zimbabwe or the earthquake in Nepal, was used beyond the emergency to scale-up national access to the social protection system.

- Alternatively, development investments in social protection can form the platform to which shock-responsive capacities can be added to better manage emergencies, such as in Ethiopia, where the PSNP was scaled up to its limit by the government, with donors investing in the remaining gap through international humanitarian aid.

UNICEF is expanding its experience of shock-responsive social protection systems and the application of social protection to displacement contexts, but has not yet formalised a centralised guidance for either issue yet (although it has been engaged in working on child issues related to migration[51]).

Learning for **shock-responsive systems** for natural disasters is spread across a range of contexts including Nepal, Ethiopia, Malawi, Lesotho, Kenya but has not yet been gathered together into a guidance. An internal regional guidance note on *Resilience, humanitarian assistance and social protection for children in Central and Eastern Europe and the Commonwealth of Independent States* (2017) reviews measures to strengthen the links between social protection and humanitarian assistance and build resilience of social protection systems across natural and climate-related disasters (floods, winter cold snaps), economic shock and conflicts. It relates disaster risk management measures around a disaster cycle (prevention, preparedness and mitigation, response, early recovery) to corresponding social protection measures using examples from Moldova, Armenia, Bosnia-Herzegovina, Kyrgyzstan, Turkey, Tajikistan, Ukraine, It also reviews the role of cash transfers in conflict/displacement contexts including Jordan, Lebanon and Yemen.

Key aspects of shock-responsive measures that have been discussed within UNICEF include:

- Retrofitting existing social protection systems to be able to operate with flexibility, to be able to expand or provide ad hoc measures in the face of shocks as has been the case for Nepal, Ethiopia, Malawi, Lesotho, and Kenya. A first step of retrofitting involves less political contexts in response to natural hazards.

- A second step of retrofitting involves more political contexts, requiring a higher level of Political Economy Analysis, coordinating with other actors working with the political economy, valorising a rights based approach along Leave No-one Behind principles, human rights conventions and legal agreements applying to all people within the borders of a country, complement actions with a complaints mechanism (not on the database) to cover those excluded by international actors until things become stable e.g. still marginalised parts of Ethiopia and Zimbabwe, Yemen. An entry point is applying existing conventions and rights-based documents already signed, which could be the basis for extending shock responsive systems to cover displacement shocks.

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[51] See the UNICEF Migration site: https://www.unicef.org/socialpolicy/index_migration.html

- Scaling up functions should go beyond cash/in-kind transfers to include an expansion of social welfare services for example in Bosnia-Herzegovina and Armenia with the recruitment of additional social workers staff who helped to link people to specific services together with the provision of direct support focusing on the most vulnerable (SGBV, trafficking, and the disabled).

- Potential for cash benefit up-scaling due to conflict (e.g. Kurdistan), and using a cold-weather index trigger (Balkans) similar to the remote-sensing drought index trigger used in Kenya.

- Linking of social protection to DRR activities at household and community levels.

- Systems need to reconcile poverty and risk-informed targeting.

- Shocks take away staff from ministries running social protection systems, so human resourcing needs to be accounted for in shock-responsive systems.

Experience on the **application of social protection to contexts of displacement** has not been brought together under a single guidance, although there are ad hoc experiences across a range of country operations:

- DRC use cash transfer system and social services system strengthening in the same area to cover forcibly displaced IDPs, where DRC cash transfers enabled displaced people to access existing service whilst existing services were upgraded via normal, sector programme (social service systems strengthening and upscaling capacity to take in displaced people).

- Palestinians in Jordan have access to the national social protection system

- UNICEF uses the upscaling of the social assistance systems in Turkey to cover refugees by WFP to include access to education (the Emergency Social Safety Net gives refugees pre-paid cards for food, housing, schooling or medical expenses) and as an entry point for strengthen the national social protection system coverage of children.

- UNICEF has undertaken a mapping of European social security systems and entitlements of refugees and asylum seekers as well reviewing the application of legal rights of the child frameworks for refugee children, with UNICEF working with UNHCR on refugees. The situation is more difficult when children are not under UNHCR protection.

- Greece and Serbia provide good experiences on linking people up to social and psychosocial support beyond social assistance and the use of cash.

- It is possible to work with different parts of government and at the local level even in national contexts with strict legal frameworks covering displaced people.

- General targeting with transparent data sets and targeting can help overcome political manipulation of systems such as in Zimbabwe and Yemen.

- Balkan countries have managed surges in migrant populations by adding a surge capacity for social workers, such as in Macedonia.

Key issues and recommendations for the EC

- Social Protection is a new field competing with many other traditional development sectors that are more established. We need to make linkages with other sector programmes, show evidence and concrete outcomes, provide training. This requires breaking down of silos in order to support multiple outcomes, leadership to do this, working with key staff working on cross-cutting themes for experience

- *Humanitarian actors*: Partners are underestimating bringing government on board in order to strengthen their capacity to respond. Sometimes multi-mandate agencies want to implement and substitute when needs arise, not fully investing and acknowledging the role of the government as part of longer term action, that requires an institutional capacity building specialty (policy, legislation, training). There is a need to bring in government institutions earlier around shocks and strengthen their structures and outreach to the most vulnerable.

- *Development actors*: The government can be seen as a solid and coherent unit, but there are different actors and stakeholders making decisions on resilience measures and the response to emergency (and to different forms of disaster and crisis). There are also different levels of

government that need to be supported and linked, particularly the link between local government and people. Further, although systems may be set up on paper, these are not operable if support and resourcing is not adequate for local government and other actors that interact at the community level.

- Cash is playing a fundamental role, but is currently dominating the application of social protection in difficult contexts with a focus on mechanism of delivery rather than outcomes. Other measures are also important including:
  - o Support to social welfare and to the provision of social workers
  - o Ensuring linkage to other sector programmes providing adequate levels and quality of services, infrastructure and social systems that help to address underlying chronic vulnerability to disaster and allow the up-scaling to meet acute needs linked to disaster and crisis.
  - o Different agency models through which donors act may apply to specific countries: channelling cash through one agency might be smoother and efficient but this is very much dependent on the experience, relationship with the government, other actors and partners. Should have a flexible approach determined by the context. Mixed mechanisms may be more advantageous where additional expertise is necessary (e.g. international protection) or where civil society groups have good links between government and direct access to communities in difficult contexts.

- A systems approach should be highlighted requiring the actions of multiple actors, including:
  - o understanding how the current social protection system works, its strengths and limits and what needs to be supported, what is it responsible for, who should access this, coordination links between actors, providing a clear framework on policy, guidance and how institutions should work together.
  - o How programmes should practically compliment programmes, harmonising tools, common registries, MIS and payment mechanisms: not necessarily one instrument but ensuring that the spread of instruments are connected and are communicating to each other.

- How to set up a common platform in difficult contexts or in contexts with both more (where traditional development works) and less stable regions (where the government may be actively driving discrimination, non-inclusion, conflict), for example Myanmar:
  - o On one hand, working with government looking at setting up a nascent social protection system that may be initially non-inclusive aligned to (not politically controversial) State priorities (e.g. children). Start cautiously then later scale up the system to be more inclusive. Perhaps a second parallel effort fully engaged with humanitarian principles working in other more difficult regions.
  - o Bringing together emergency and social protection teams is not easy, different language, identify different opportunities and bring together all teams under common exchange workshops (such as the UNICEF July 2016 Kiev workshop with different teams from 20 countries. Formulate a checklist of good practice cases of working together between different teams. For example, supporting the preparedness and adaptiveness of social protection responses in various countries such as in Armenia. These efforts need to be expanded and supported so it could be an area of future collaboration.

Interviewees

- Alexandra Yuster: Associate Director, Social Inclusion and Policy Section
- Yasmin Haque: Deputy Director, Office of Emergency Programmes
- Hamish Young: Chief, Humanitarian Action and Transition Section (HATIS)
- Catalina Gomez: Social Protection Specialist, Social Inclusion and Policy Section
- Annelies Borrel: Senior Programme Specialist, Jordan HATIS
- Jo Bosworth: Social Policy Regional Advisor for Central and Eastern Europe, the Caucasus and Central Asia

Annexe 11 Brief Overview of Relevant Work by the Food and Agriculture Organization

Introduction

FAO engages with social protection in order to enhance food and nutrition security, aiming for outcomes structured under the Framework for Action for Food Security and Nutrition in Protracted Crises (from the Committee on World Food Security): meeting humanitarian and nutritional needs, protect people from shocks and crisis by building resilient livelihoods and sustainably managing natural resources (particularly those linked to agriculture), and, promoting gender equality and empowerment (Principles 1, 2, 4, 5, 9 and 10). Given these overall objectives FAO reviewed its current Strategic Framework (2010-2019) in 2013 where social protection informally sits in its Strategic Objective (SO) 3 to reduce rural poverty, whilst contributing to SO1 to eradicate hunger and SO5 to increase the resilience of livelihoods. A Social Protection Team was set up in the Social Policies and Rural Institutions Division (ESP) that coordinates FAO's work on social protection, gender equality, decent rural employment, rural institutions and people's empowerment, and the right to food. Given the above objectives, social protection is linked to other divisions covering Nutrition, Climate Change, Fisheries, Forestry, Emergency/Technical Cooperation, South-South Collaboration, Investment Centre, Legal department, Economic and social affairs, and, Statistics.

FAO has **revalorised traditional measures as social protection** such as food subsidies and food price stabilisation, establishing and management of grain reserves and agricultural insurance together with its efforts on measuring and supporting resilience (using RIMA). FAO normally offers in-country technical support (in up to 70 countries), increasingly linking social protection and agriculture/fishery ministries together, but is becoming increasingly implicated in more fragile and protracted humanitarian contexts. It has also widened its scope in dealing with natural hazard and market shocks to crises and the longer-term impacts of climate change, and is starting to look at the issue of covering displaced people. Given its mandate, gaps exist in how to work with urban contexts, and groups that are agriculturally constrained such as the landless and non-nationals.

Standard approach

FAO released a first wave of guidance in 2012 for the design and implementation of **selected cash and voucher measures** including *The Guidelines for Public Works* (food-, voucher- and cash-for-work)[52] and the *Guidelines for Input Trade Fairs and Voucher Schemes[53]*. It launched a Cash Transfer Capacity Building programme to institutionalise different social assistance measures including conditional and unconditional cash transfer programming, public works schemes, voucher schemes and input trade fairs, and, the application of cash transfers to other social protection programmes ('Cash Plus'). FAO states that since 2001, it has reached over 2.5 million households with cash and voucher programmes in 38 countries. Cambodia, Somalia and Zimbabwe are stated as FAO best practice countries for these measures. Both guidelines are currently being updated in 2017 with a wider range of products (particularly electronic products) and more specifics on conditionality versus unconditionality.

FAO summarised the evidence base leading to policy and tools on the **linkages between food security, nutrition, agriculture and social protection measures** in a **second wave of guidance** as follows:

- FAO (2016) *From evidence to action – the story of cash transfers and Impact Evaluation in Sub-Saharan Africa[54]*: based on the *Transfer* and *Protection to Production* evaluation projects, a FAO-UNICEF initiatives for carrying out national evaluations of social cash transfer programmes located in Kenya, Ghana, Ethiopia, Zambia, Zimbabwe, Lesotho, Malawi, South Africa, Madagascar and Tanzania.

- FAO (2015) *The State of Food and Agriculture: Social Protection and Agriculture - Breaking the cycle of rural poverty*: a global revision of how social protection measures when combined with broader agricultural and rural development measures can reverse rural poverty and vulnerability traps. It has a focus on social assistance (cash, subsidies, in-kind

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[52] http://www.fao.org/emergencies/resources/documents/resources-detail/en/c/317290/
[53] http://www.fao.org/emergencies/resources/documents/resources-detail/en/c/317289/
[54] http://www.fao.org/3/a-i5157e.pdf

assistance) and public works programmes, linking these with other agricultural and rural development measures.

- The links between agriculture and social protection, based around a *Framework for Analysis and Action*[55] (that presents evidence, best practice and policy / programming options) and a *Diagnostic Tool*[56] (for identifying linkages between agriculture and social protection interventions, how to strengthen these and the links with livelihoods). FAO is using this overall guidance particularly in contexts where agriculture, livestock and fisheries are important parts of people's livelihood and the national economy. Model countries include Ghana, Kenya, Lesotho, Mexico, Peru, and Zambia[57].

- FAO (2015) *Nutrition and Social Protection*[58]: analyses the linkages between social protection and nutrition, and identifies general principles and instruments which should guide the design and implementation of social protection interventions that support a positive impact on nutrition.

The guidance reflects that FAO preferentially targets poor rural people with natural resource-dependent livelihoods (farming, agro/pastoralism and fishing), using government-led systems linked to these livelihoods that may not cover all groups of people vulnerable to poverty, disasters and displacement. Much of this guidance focuses on strengthening assets and infrastructure linked to soil, water, landscapes, irrigation, value chains and production materials, whilst looking at the effects of climate change on these.

Adapted Approaches

The latest wave of guidance on social protection is linking up with other FAO divisions covering climate change and resilience, whilst reviewing how social protection can be used in extreme fragile contexts characterised by protracted crisis and humanitarian action. Much of this has focused on Africa and is aligning with EC and other donor efforts related to AGIR and Trust Funds working on the 'causes of migration'. FAO is promoting a better linkage between using social protection to work on (i) humanitarian nutrition and food security needs, whilst (ii) looking at ways of adaptive social protection aimed at climate-related hazards, and finally (iii) understanding how to better carry out social assistance in contexts of protracted crises. Whilst bringing together these previously siloed approaches,

Key guidance on **social protection, food and nutrition security and resilience** coming out since 2015 from FAO includes *Social protection in the Sahel and West Africa – Strengthening resilience for food security and nutrition*, and, *Leaving no one behind – Addressing climate change for a world free of poverty and hunger*. FAO states that with regards to resilience strengthening initiatives, it has provided technical and policy assistance to countries including Niger, Mali, Burkina Faso, Senegal, Guinea-Bissau and Chad. At a local level, much of the guidance is linked to its CASH+ approach that provides a flexible combination of cash transfers with productive activities, technical training and agriculture/pastoral/fishery extension services, similar in some ways to a poverty-graduation approach (best case practice in the above countries as well as Mauritania and Somalia).

It has also formulated a set of key programming elements for **shock-responsive social protection systems**[59] related to targeting, local capacity building, links to risk management (including early warning systems and triggers), coordinated response, the use of unconditional transfers and links to the private sector. Best-case contexts have tacked climate-related shocks including Lesotho, Zambia and now Malawi. FAO thinks that a shock-responsive approach applied to displacement shocks is technically feasible, but that the political economy is difficult and different international actors are not comfortable with the government leading this versus the

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[55] FAO (2016): *Strengthening coherence between agriculture and social protection in Africa: Framework for Analysis and Action*
[56] FAO (2016): *Strengthening coherence between agriculture and social protection in Africa: Diagnostic Tool*
[57] http://www.fao.org/economic/ptop/publications/reports/casestudies/en/
[58] http://www.fao.org/3/a-i4819e.pdf
[59] FAO (2016) *The role of social protection in protracted crises – enhancing the resilience of the most vulnerable*

application of humanitarian principles. Much of their on-going work is aimed at retrofitting existing national social protection systems with a shock-responsive capacity.

FAO has also developed a tool and guidance for **resilience measurement**, the Resilience Index Measurement and Analysis (RIMA)[60], which estimates household and community resilience to food insecurity from a series of natural and man-made shocks. This has accompanied a series of 'resilience analyses' in <u>Burkina Faso, Kenya, Malawi Mali, Niger, Nigeria, Senegal, Somalia (Dolow, Somaliland and Puntland), South Sudan (Upper Nile and Jonglei), Sudan (Kordofan), Tanzania Uganda, West Bank and Gaza Strip</u>, with a series of ongoing/recently finished analyses *in Chad, Ethiopia, Lesotho, Mauritania, Senegal, West Bank and Gaza Strip*.

FAO is starting to review the **application of its social protection work to protracted crises**, although it has not yet focused on the targeting of displaced people. It has developed a programming overview framework according to the state of the national social protection system where it modifies programming emphasis. The five categories it considers range from a case in which the provision of social protection is completely absent, to a situation in which the social protection system is flexible and able to respond in an appropriate and efficient manner after a shock. Guidance is spread across the following reports:

- FAO (2016) *Social protection in protracted crises, humanitarian and fragile contexts*
- FAO (2017) *Improving foods security and nutrition in protracted crises*
- FAO (2017) *The role of social protection in protracted crises - enhancing the resilience of the most vulnerable*

Key actions on operationalising their approach in contexts of protracted crises include:

- Piloting an adaptation of its cash for work and cash transfer activities in <u>Somalia and South Sudan</u>.

- Partnership with UNHCR in Lebanon for short-term work permits to refugees for construction work and opening up to agricultural section making an economic case based on labour market assessment

- Working on resilience-building measures and shock-responsive measures (for natural hazards) that increase the resilience of governments and people within a protracted crisis context, whilst using flexible social assistance measures in the initial phase of a protracted crisis. This could include CASH+ measures that link cash transfers to basic agricultural productive activities.

Recommendations from FAO

FAO interviewees expressed the following **messages and recommendations for the EC.**

- Incentives need to be offered to institutional, local and international actors to coordinate across the humanitarian and development divide: Pooled funding, joint proposals, and other mechanisms? Common gaps/needs assessment or multi-sector harmonised needs assessment are important e.g. ERC, multi-agency/multi-sector, testing in Nigeria and Yemen (can the ECHO common needs assessment, can be harnessed for social protection outcomes?)

- There is a need to clarify modes of coordination to produce positive outcomes across the humanitarian-development nexus. On one hand, the EC needs to strengthen coordination, but on the other hand, not at the expense of already functioning civil society and locally-led coordination platforms e.g. ECHO coordination efforts in Sahel strongly pushed ECHO partners to coordinate closely linked to ECHO funding decisions, but this reduced the participation of ECHO partners in existing CaLP-led platforms in Burkina, Niger and Mali undermining these more sustainable platforms.

- Incompatibly of funding lines: ECHO does not fund social protection in difficult contexts, but could fund top ups and the costs of adapting social protection systems to manage shocks (addressing acute vulnerability) whilst DEVCO can expand the capacity of social protection

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[60] http://www.fao.org/resilience/background/tools/rima/en/

systems to address chronic vulnerability. As both efforts make links to risk management and resilience under a common approach, can hybrid budget lines be formulated to bridge the current operational gap between humanitarian and development funding lines?

- Addressing non-national using development resources needs to take into account needs of host communities, and should ensure the protection of development gains and ongoing programmes for these communities.

- There is an emerging harmonisation of guidelines on cash with an increasing role for multi-mandate agencies working across humanitarian-development nexus e.g. humanitarian cash programming in Mali is linked to the government's response.

- Shock responsive social protection needs a big investment in preparedness using government structures, rather than the traditional humanitarian investment in DRR at the community level.

Interviewees

- Natalia Winder Rossi, Senior Social Protection Officer/ Social Protection Team Leader - Social Policies and Rural Institutions Division
- Etienne Juvanot Du Vachat, Cash Team Coordinator
- Omar Benammour, Social Protection officer (Protracted crises)

Annexe 12 Brief Overview of Relevant Work by the World Food Programme

Introduction

WFP has recently positioned itself as a social protection agency in its recent Strategic Plan (2017-2021), emphasising a higher outcome of food and nutrition security, and supported by a new Safety Net and Social Protection Unit in Rome. It valorises its support to safety nets, food assistance and school feeding and public works (cash-for-work) programmes under a social protection approach, and although historically it was present in humanitarian contexts, is increasingly working in non-emergency contexts and aims to push out country strategies to five years. It has also ramped up its engaging in cash transfers and vouchers, reaching close to ten million people with nearly US$ 1 billion in transfer value. It traditionally has worked at the household and community level and has supported national level food pipelines and logistics capacity. However, WFP is also increasingly offering technical assistance to strengthening national safety nets systems and linking these to national social protection systems. This means promoting cost-effective food security and nutrition-sensitive social protection policies and programmes whilst using risk management approaches to contribute to resilience at the local level.
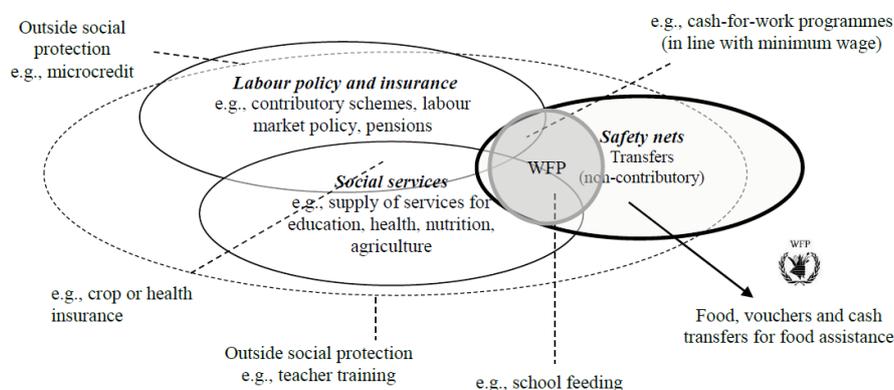
Source: Adapted from Gentilini & Omamo, 2011[15]

The bulk of guidance on social protection relates to social assistance-related/safety net measures, with no social insurance or labour market interventions as illustrated in the figure above[61] (its cash-for-work programmes are aimed as a form of social transfers).

UNHCR will now build on SDG 2 (end hunger and all forms of malnutrition by 2030) country-level targets as the starting point for country strategy, facilitating and outlining with the government in a Vision 2030 Document for achieving SDG 2. This defines the pathways for achieving SD2 over the long term as part of a national analysis exercise. After, the five-year WFP strategy is shaped according to this Vision 2030 document, and the role of social protection is evaluated during this exercise. WFP has found that there are better overlaps of food security and poverty outcomes with those of social protection, but there is less connection to nutrition outcomes (people can be well-off and obese, children have access to food but stunted). WFP has a nuanced view that a comprehensive platform for social protection is not necessary, rather an interoperable structure is preferred (potentially managed by one agency). This fits with its single agency positioning on cash transfers where WFP sets up and runs a multi-wallet cash system where other agencies contribute to one part of the wallet. WFP is upgrading its data needs to include more non-food markets and tackle means testing issues (that may exclude food security and nutrition indicators, traditionally important for WFP targeting). WFP is not a strong right to food advocate, and therefore, does not take a rights-based approach to social protection to advocate for stronger food and nutrition security links, however, it does use economic studies on the impacts of malnutrition to advocate for nutrition-sensitive safety nets.

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[61] Taken from WFP (2012) *Update of Safety Nets Policy*

Traditional approach

WFP has a large set of guidance that is applicable to social assistance but little of it is framed specifically around social protection systems or specific categories of vulnerable people (i.e. refugees, IDPs or migrants). The bulk of this guidance relates to assessments[62] (food security & nutrition needs, vulnerability, market, supply chain, impact); trend analysis; risk management; design and implementation of various safety nets (comprising 1. vulnerability analysis, mapping and monitoring, 2. targeting, 3. establishing digital registration and identity systems, 4. risk management and risk financing, and 5. e-payment systems in fragile and difficult contexts); and the scaling up sustainable national school meals:

- *WFP Safety Nets Guidelines*
- Programme guidance manual *WFP food-for-assets for Zero Hunger and Resilient Livelihoods*, as part of safety nets application
- *WFP Cash and Voucher Manual*
- *Strategic evaluation of WFP's role in social protection and safety nets* (2011)
- WFP-Bankable Frontier Associates, *Partnering with Existing National Safety Nets for Emergency Payments* (2015)
- *Cash transfer as a social protection intervention - evidence from UNICEF evaluations 2010-2014* (2015)
- *The Role of School Feeding in Emergencies* (due 2017)

WFP uses a Three-Pronged Approach (3PA) to facilitate contextual analysis choose and operationalise the most appropriate form of social transfer. It aims to strengthen the design, planning and implementation of programmes in productive safety nets, disaster-risk reduction (including preparedness) in order to build resilience, and comprises:

- *'Integrated Context Analysis* (ICA) at the national level. A collaborative tool used to identify the most appropriate programmatic strategies in specific geographical areas between the government and its partners, based on areas of convergence of historical trends of food security, natural shocks, and land degradation (as aggravating factor that heightens the risk and impact of shocks).

- *Seasonal Livelihood Programming* (SLP) at the sub-national level. A consultative process that brings together communities, government, and partners to design multiyear, multi-sectorial operational plans using seasonal and gender lenses.

- *Community-Based Participatory Planning* (CBPP) at the local level. A "from the bottom up" tool that ensures communities have a strong voice and will lead in setting priorities. It is used to develop multi-sectorial plans tailored to local priorities, ensuring prioritisation and ownership by communities[63]'.

Adapted approaches

The role of WFP changes according to the fragility of the context. In difficult contexts with non-existent safety nets, WFP works directly with communities and households setting up a parallel system with minimal technical assistance to governments. In transition or more stable contexts, WFP increasingly plays the role of a technical expert focusing on institutional capacity building. For example in Indonesia, WFP provides technical support for food supply systems, and for switching food assistance to cash-based systems; or provides policy and remote access support to top up the state's national safety net to include displaced people (Ecuador); or works with governments to enable a shock-responsive capacity to national safety nets (Fiji, Philippines, Sri Lanka).

WFP is yet to formalise guidance on social protection in difficult contexts or on shock-responsive systems but is engaging in research partnerships that will lead to building their staffing capacity and learning:

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[62] https://www.wfp.org/food-security/assessments
[63] WFP (2016) Overview of the Three-Pronged Approach (3PA), see https://www.wfp.org/content/2014-three-pronged-approach-3pa

- WFP-IDS (2015) Social Protection and Safety Nets in the Middle East and North Africa country case studies in <u>Iraq, Jordan, Lebanon, Sudan, Yemen, Egypt, Iran, Libya, Palestine,</u> and <u>Tunisia</u>

- WFP and the World Bank are carrying out studies on how humanitarian safety net and national systems have partnered in <u>Philippines, Lebanon, Kenya, Fiji, Syria, Zimbabwe, Mauritania, Guinea, Mozambique, OPT, Liberia, Yemen</u> in order to demonstrate best practice in illustrate key technical, financial and strategic processes.

- The new ECHO/ERC-funded technical facility 'Linking humanitarian action to Social Protection systems in fragile and forced displacement contexts' that will help provide technical resources and produce learning on shock-responsive social safety nets in <u>Malawi, Niger, Mali, Haiti, Kenya, Mauritania</u> and on the use of cash transfer in conflict affected context involving displaced people in <u>Somalia, Iraq, Nigeria, Turkey, Afghanistan, Lebanon, Jordan</u>.

- Study on Shock-Responsive Social Protection in Latin America and the Caribbean with OPM in <u>Ecuador, Guatemala, Haiti</u> leading to a report in March 2017 (with a literature review already completed of best practice in a range of countries in the region).

- Emerging experience on urban safety nets but has not yet formalised guidance.

- For refugees: WFP works with UNHCR as part of a global MoU[64] (excluding IDPs and migrants) and is finalizing new programmatic guidance for refugees as well as a number of related joint documents with UNHCR on targeting, self-reliance and cash.

Key messages

- Operations need to better focus on (i) Outcomes of cash + (ii) connection with services (iii) connection with national systems (access to SP) (iv) ensuring an enabling environment for cash to achieve of outcomes = strengthening of national systems (the national infrastructure and systems platform upon which SP relies upon)

- Need common risk appetite from donors if serious about supporting social protection in more difficult contexts: a common EU position could mean a common members state position on risk?

- New challenges of urbanisation: standard indicators performing differently compared to rural areas, definition of households (splitting up of families between multiple location) – urban food and nutrition security, the landless or lack of productive safety nets

- Need closer link of SPIAC – B with the country context, how can it better enable operations / have a more direct contact with national level initiatives?

- Artificial prioritisation / targeting with the Migration Agenda: devalue other important needs for safety nets and social protection, shifting of resourcing away from urgent needs

Interviewees

- Kenn Crossley: Deputy Director of Policy and Programme Division, Technical Assistance and Country Capacity Strengthening Service
- Sarah Laughton: Chief, Safety Nets and Social Protection
- Scott Ronchini: Programme Policy Officer, Asset Creation and Livelihoods
- Jimi Richardson: Programme Policy Officer, Emergencies and Transitions
- Yukimi Ogaki: Programme Policy officer, Safety Nets and Social Protection

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[64] UNHCR/WFP (2011) Joint Strategy on Enhancing Self-Reliance in Food Security and Nutrition in Protracted Refugee Situations

Annexe 13 Brief Overview of Relevant Work by the World Bank

Introduction

The World Bank entered into social protection via social safety nets in the 1980s with the promotion of labour-intensive public works for the working poor and targeted transfers of cash or food. It has historically valorised social protection as primarily as a means for poverty reduction rather than as a rights-based approach. After 2000 it worked behind a *Social Risk Management* social protection framework that identified different forms of risk facing people and the appropriate policy instruments that could assist people to either reduce, manage, or cope with these risks. This also promoted multiple mechanisms such as informal systems (family remittances) the private sector (insurance products) alongside State-led systems. The World Bank has historical preferences for labour market support, pro-poor employment and conditional cash transfers but does not promote subsidies.[65]

Traditional Approach

The latest set of systemic country diagnostics carried out by the World Bank is indicating that social protection systems are becoming an increasingly important component of the World Bank's work. The application of social protection fits within a much broader national approach that the World Bank takes at a national level, linked with the three-year IDA process (of which the new 18th IDA cycle will begin in July 2017). This process is important to understand in terms of how the World Bank's guidance is compatible with the internal ECHO and DEVCO processes.

1. **Systemic country diagnostic (SCD)** is carried out: a national-level SCD is carried out by the World Bank Group staff in consultation with national authorities and other stakeholders. This identifies key challenges and opportunities for a country to accelerate progress towards development objectives that are consistent with the twin goals of ending absolute poverty and boosting shared prosperity in a sustainable manner. It is intended to become a reference point for government consultations on priorities for World Bank Group country engagement.

2. **A framework partnership agreement** is constructed and formalised with the government. Within this agreement, different programming lines are outlined, and where social protection and labour is deemed important (which seems to increasingly be the case with more recent SCDs), then a more detailed analysis of social protection system is carried out.

3. **A comprehensive social protection assessment** is undertaken, with specific terms of reference set up per country (with a tailor-made process of assessment and benchmarking tools), designed on the degree of existing analysis and the type of context. There has not been a specific set of guidelines used, however, the World Bank is supporting the ISPA tools of which the Core Diagnostic Tool, a comprehensive national assessment tool, was the first to be realised. The World Bank assessment is often done in partnership with the government, UN agencies and NGOs, particularly in fragile contexts when these partner organisations have more experience, direct contact to remote and dangerous areas and with beneficiaries (e.g. the current Guinea social protection assessment has the World Bank partnering with UNICEF and the ILO).

   The assessment methodology is comprehensive and expensive taking up to a year to be completed. The methodology is moving away from a typical government 'categorisation' approach for defining beneficiaries (e.g. people living with disability, orphans, displaced people, widows, and so on) to a more systematic view of vulnerability in terms of poverty and risk. Key factors examined include: how social protection is defined and measures attributed to the social protection system, policy, legislative and strategy/planning, contributory versus non-contributory elements, formal versus informal mechanisms, financing, sustainability, and the identification of gaps. Analytical tools, such as the World Bank's SP-ADEPT software are used to develop benchmark indicators, and modelling tools are used to simulate the impacts of policy reforms (e.g. SP-ADEPT/ Social Protection Atlas, the Pension Reform Options Simulation Toolkit (PROST), and the Unemployment Benefit Simulation model (UBsim). The ways these analytical tools are used is totally dependent on the quality and coverage of the national database.

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[65] Summarised from Devereux and Roelen (2016) *Agency positions on social protection.*

4. **The assessment is presented at a national workshop and formalised into outputs,** such as a national plan, a policy and/or a strategy led by the government. Support options for a partner government by the World Bank include:

    - Formulating strategy and mapping the pathway from existing conditions to strategic goals;
    - Identifying policy options and articulating the structure of various programs to ensure policy consistency within the SPL system;
    - Devising detailed policy and implementation measures to deliver results and enhance performance, including instituting the core subprograms (such as databases and beneficiary registries), developing processes and procedures, institutionalizing M & E mechanisms, and examining policy coordination;
    - Financing programs and technical assistance to support pilots and scale-up, and packaging investment or program financing with TA and impact evaluation;
    - The preparation of programming can also be made directly with the government where it has a lack of capacity, and may require specific tools used to define measures.

In terms of guidance underpinning this process, the World Bank has around 200 staff in the Social Protection and Labour Global Practice who have produced a diverse set of very specific guidance, much of it structured for internal use in the World Bank. The World Bank's Social Protection and Labor Strategy 2012–22[66] was the last exercise that grouped together this guidance into a single document. The strategy promotes social protection in order to (i) improve resilience against shocks, (ii) improve equity by reducing poverty and promoting equality of opportunities, and (iii) promote opportunity by building human capital, assets, and access to jobs. The following core set of documents, supported by toolkits,[67] have guided the formulation and implementation of this Strategy:

- *Building social protection and labour systems: concepts and operational implications* (Robalino, Rawlings & Walker, 2012, with country studies from Brazil, Chile, India, Niger, and Vietnam)
- *Social Safety Nets: An Evaluation of World Bank Support, 2000–2010* (Independent Evaluation Group, 2011)
- *Productive role of safety nets* (Alderman and Yemstov, 2012)
- *Improving access to jobs and earnings opportunities: the role of activation and graduation policies* (Almeida, *et al*. 2012)
- *Rules, roles and controls: governance in social protection with an application to social assistance* (Bassett *et a*l., 2012)
- *Labour markets in middle and low income countries: trends and implications for social protection and labour policies* (Cho *et a*l., 2012)
- *The World Bank in Pensions: a background paper of the social protection strategy* (Dorfman and Palacios, 2012)

In terms of assessment tools, the Inter-Agency Social Protection Assessment (*ISPA*) Core systems diagnostic instrument (*CODI)* is a good reference, but comes with a high degree of complexity attached to it as all of the issues of the seven agencies who worked on it were included. There are still different views on how feasible the tool is as it is very heavy, expensive and has been the least successful of the four ISPA tools so far introduced (it was trialled in the Philippines). The key with an assessment methodology is to find a methodology that can be adapted according to the volatility of the context and mobility of people versus the detail of information and breadth of the social protection systems and mechanisms under analysis. This is why the World Bank has specific terms of reference per analysis exercise that draws together specific analyses of different parts of a comprehensive social protection system according to the context.

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[66] See http://www.worldbank.org/spstrategy
[67] A set of World Bank Social Protection and Labor Toolkits are available at http://go.worldbank.org/00FZBG2EI0, covering labour markets, pensions, safety nets, social funds and social risk management

Adapted Approaches

More recently, key external stressors and factors including fragility, climate change and natural disasters and displacement have been increasingly engaged with during assessment and programme definition. A further set of guidance has emerged from the World Bank recognising additional challenges and gaps in best practice for (1) fragile states and contexts in crisis, (2) those affected by repeated shocks particularly those related to climate, (3) mobile and non-national populations, and (4) urban contexts that may host a complex mix of additional challenges. Examples of best practice countries that are using this guidance include the on-going processes in CAR and Guinea, and in completed processes in Mali, Togo and Chad.

Fragile and humanitarian contexts

Crisis response in social protection (Marzo and Mori, 2012)—The paper evaluates the performance of social protection instruments in response to a range of different crises after 1990 driven by globalisation, demographic trends, urbanisation, migration and climate change. It identifies gaps in how Low Income Countries and fragile states protect people, and promotes proactive measures to scale up SP systems around crises by (i) adapting current programs (ii) developing new programs for future crises, (iii) supplying countercyclical financing, and, (iv) developing tool kits to support governments and other actors.

Social protection in low-income countries and fragile situations: challenges and future directions (Andrews *et al*., 2012, with country studies from Brazil, Mexico, Ethiopia, India, Pakistan, and Rwanda)—The paper reviews how the type, affordability, and sustainability of social protection interventions can be strengthened in low-income countries and fragile states. The paper promotes resilient social protection systems that are risk-informed that are able to respond flexibly to both slow- and fast-onset including measures that: (i) build the basic blocks of social protection systems (targeting, payments, and monitoring and evaluation); (ii) ensure financial sustainability, and (iii) promote good governance and transparency. The paper suggests ways of altering traditional World Bank social protection support applied in middle-income countries.

Social protection in fragile and conflict-affected countries (Ovadiya *et al*., 2015, with country examples from *Timor-Leste, Yemen, Togo, West Bank and Gaza, Kosovo, Sierre Leone, Nepal*)—The study analyses the range of social protection objectives, programming trends, types, coverage, and expenditure patterns, with an additional focus on key issues specific to fragile and conflict-affected contexts such as social cohesion, the role of community-driven development, and post-war benefits. Best-practice programming options are demonstrated that achieve social protection objectives whilst overcoming capacity and operational constraints.

Strategic note on cash transfers in humanitarian contexts (World Bank, 2106)—Commissioned by the UN IASC Principals Group, the note provides guidance on action areas, including (i) clarifying core concepts and principles including how to consider cash, (ii) transfer selection, needs analysis, delivering with common approaches, and preparedness, and (iii) pursuing a multi-stakeholder agenda with strong governance and responsive coordination, and ensuring actors build upon and strengthen existing systems. The note also contains a briefing paper on the comparison on impact of cash and in-kind transfers in humanitarian contexts on food security, livelihoods and entrepreneurship, nutrition, health, education and the use of cross-sectoral/multipurpose transfers.

Reducing Poverty and Investing in People: The New Role of Safety Nets in Africa (2016) combines the findings and lessons learned across a range of stable to fragile and humanitarian African countries based on assessments and other recent studies of safety net programs in Africa, with case studies from Benin, Botswana, Burkina Faso, Cameroon, Lesotho, Liberia, Madagascar, Mali, Mozambique, Sudan, Swaziland, Sierra Leone, Togo, Zambia, Niger, Rwanda and Tanzania.

Climate change and Resilience

*Climate-responsive social pr*otection (Kuriakose, *et al*. 2012, with country studies from Ethiopia and Mongolia)—The paper analyses the links between social protection and climate change (in terms of shocks and change), proposing a framework for climate-responsive social protection (CRSP). It identifies key principles for the design, planning and implementation of CRSP systems showing how a broad range of preventive, protective, and promotional social protection functions can be used to enhance the resilience of target groups (enhancing resilience-building capacities). The paper

promotes measures that integrate climate change and related disaster risk management into social protection programs that (i) help to prevent poor and vulnerable households from falling deeper into poverty, (ii) reduce exposure to hazards, and contribute to long-term adaptation to climate change. This can include consumption-smoothing safety nets, land and water management, small-scale infrastructure, and education and training to enable local people to diversify livelihoods.

Building Resilience to Disaster and Climate Change through Social Protection Toolkit,[68] gathers together a set of papers coming from GFDRR on resilience (2013 and 2014) and case studies from <u>Bangladesh, Ethiopia, Mexico, Pakistan and Tanzania</u>, including:

- *Building resilience to disaster and climate change through social protection*
- *Building Flexible and Scalable Social Protection Programs That Can Respond to Disasters*
- *Beneficiary Targeting*
- *Adapting Benefit Transfer Mechanisms to Respond to Disasters and Climate Change-related Events*
- *Monitoring and Evaluating Social Protection Programs' Efforts to Respond to Natural Disasters and Climate Change-related Shocks*
- *Communication Following a Disaster*

Given the focus on natural disasters, the guide is not as applicable to conflict-affected and displacement contexts (and the linkage with non-nationals).

Adaptive Social Protection

- Key is to revise how to do risk profiling in urban environment where 870 million exposed to natural disasters in cities in the next few decades. With urban risks increasing as exposure increases. Existing targeting is poverty/consumption based and not risk-informed/based.
- Upcoming initiatives include:
  - Global review planned for the next three months resulting in a strategy note and an examination of case studies note;
  - The links between resilience, adaptive social protection and health and education will be examined in four case studies: Philippines, Nigeria (IDP-prone north-east), Lebanon, and Ethiopia (procurement firm finalised now, to recontact in several months);
  - WFP and the World Bank are carrying out studies on how humanitarian safety net and national systems have partnered in <u>Philippines, Lebanon, Kenya, Fiji, Syria, Zimbabwe, Mauritania, Guinea, Mozambique, OPT, Liberia, Yemen</u> in order to demonstrate best practice in illustrate key technical, financial and strategic processes.
- Applying adaptive social protection beyond climate-related hazards has not yet been considered.

The World Bank Adaptive Social Protection Program (2014-2018),[69] a special Multi Donor Trust Fund supports adaptive social protection in the Sahel (<u>Burkina Faso, Chad, Mauritania, Mali, Niger, and Senegal</u>), so far primarily financed by DFID (US$75 million). Set up based on emerging experience in <u>Ethiopia, Kenya and Niger</u>, it provides technical assistance to governments. Research and support on adaptive social protection is, so far, mainly aimed at citizens of a country that already have access national systems.

Non-nationals/stateless, mobile populations and the urban context

The World Bank has undergone a reflection on how to engage with forced displacement issues across the humanitarian and development nexus and link this with their continuing engagement with up-scaling social protection and resilience approaches. This has meant the beginning of a closer engagement between the Global Program on Forced Displacement,[70] the Human Development Practice Group[71], and the Social Protection and Labour Global Practice.

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[68] http://web.worldbank.org/archive/website01536/WEB/0__CO-28.HTM
[69] http://www.worldbank.org/en/programs/sahel-adaptive-social-protection-program-trust-fund
[70] Under the Fragility, Conflict and Violence Cross-Cutting Solution Area
[71] Under the Social, Urban, Rural and Resilience Global Practice

Emerging Lessons from Social Protection and Labor Projects in Support of IDPs, Refugees and Returnees (World Bank internal paper, 2016, with country examples from <u>Azerbaijan, Central African Republic, Democratic Republic of Congo, Jordan, Lebanon, Mali, Nigeria, South Sudan, and Tanzania</u>)—The note highlights increasing collaboration between the Social, Urban, Rural and Resilience Global Practice, the Social Protection and Labour Global Practice, and the Fragility, Conflict, and Violence Cross-Cutting Solutions Area. Specific operational issues arising in situations of forced displacement and associated relations with governments and other international partners are reviewed, with accompanying technical guidance to deal with these issues. The comparative advantages of social protection interventions and tools compared to other forms of interventions are presented with the promotion of greater investment in (i) Analytical and diagnostic work on the causes and impacts of displacement in terms of the displaced and host communities, (ii) the inclusion of forcibly displaced people in social protection programmes, (iii) working directly with the government to build responses to crisis, and (iv) broader partnerships using solutions to financial constraints, logistics arrangements, knowledge gaps and authorising environments.

Core points relating to displaced and mobile people, and urban contexts include:
- Easier entry point by extending social services from host communities to non-nationals
- More difficult in terms of targeting non-nationals for social assistance and labour interventions
- The lack of application to labour interventions has been taken up by ongoing work on mobility that is likely to lead to a new global solution group on mobility issues (that will included forced displacement).
- The World Bank is altering its overall operational approach by:
  – Ensuring host community and FD people behind a long-term and systems approach (not one shot), linked to policy, strategy and fiscal sustainability: registration, identification, targeting;
  – Taking on new partners, security and other partner experience, NGOs/UN, third party groups to monitor;
  – Interlocutor remains the government (legal constraints, lend money to government only AND the government has to be in charge), but through the government it can channel resources to other agencies e.g. CAR cannot use fiduciary system in government, needs to outsource work to international agencies.
- The Social Protection and Labour Global Practice will work with their urban counterparts to expand an initial policy document on Social protection and urban contexts (2015) into a book, upgrading issues on displacement, tailoring social assistance to a mobile population, revising settlement and housing-related issues (due by July 2017).

Entering the City: Emerging Evidence and Practices with Safety Nets in Urban Areas (Gentilini, 2016, with case studies from <u>China, Mexico, Colombia, Kenya, US, Gaza, India, Philippines, Indonesia</u>): the paper provides guidance on understanding urban poverty dynamics and operationalising safety nets in urban contexts. It reviews a range of programme issues in urban contexts including, (i) assessments and targeting of the poor, (ii) outreach and enrolment, (iii) working with mobile populations on portable solutions, residency, and managing labour incentives, (iv) governance set ups with local and national organisations, and (v) linking safety nets with other urban planning, development and employment programming. This was supplemented by a new World Bank study *Urban Social Assistance: Emerging Insights from Three African Countries* (2016) <u>Benin, DRC and Mali</u>.

- Mobile populations are being increasingly viewed as part of a larger urban challenge:
  – Not a coherent approach to people on move, who may share similar vulnerability profiles, but where the reason for mobility results in different measures or access to assistance;
  – Taking a coherent vulnerability approach;
  – Using humanitarian emergencies and assistance to those affected, to expand to existing poor populations (who may not be as affected by the emergency) and building the national systems e.g. expanding Lebanon refugee voucher programme to poor host community, similar approach considered for IDPs in DRC urban slums;
  – Looking at area-based targeting rather than purely poverty-based targeting;

– Recognition of the informal nature of livelihoods and opportunities;
– Social protection part of the urban social policy and entwined with urban development (nature of a household, services and infrastructure, complex social relationships and networks).

- The refugee crisis is also viewed as a variant on the role of social protection in urban contexts where mobility is the norm. This mean working on spatial, vulnerability profiles and urban jobs issues as part of complete package. There needs to be a strengthening of social practice approaches to urban contexts as much traditional practice has been oriented to poor rural populations.
- How can international protection and vulnerability related to the causes and impacts of forced displacement be addressed, beyond poverty-related issues? Not clear here
- Key is to revise how to do risk profiling in urban environment where 870 million exposed to natural disasters in cities in the next few decades. With urban risks increasing as exposure increases. Existing targeting is poverty/consumption based and not risk-informed/based.
- How to revise what a household means with multiple families sharing the same space, parts of families located in different areas and on the move
- How to map informal support mechanisms and urban livelihoods, how to define poverty in cities regarding measurement and targeting (specific challenges, frequency of data collection related to mobility, beneficiary identification, locating and communicating to mobile people).
- Addressing zones of fragility with violence and criminality within cities, as a fractal of fragile countries.

Different forms of best practice in urban contexts are as follows:
- One stop shops serving people: China
- Mexico Targeting and communication, and enrolment: Mexico
- Working in violent areas, identification, IDPS: Colombia/El Salvador
- Adapted standard national Conditional Cash Transfer protocols to homeless and street people: Philippines
- Forcibly displaced person and slums: Lebanon
- Social assistance and jobs agenda and informal networks: India and Kenya
- Slums and IDPs: DRC

Interviewees
- Giuseppe Zampaglione: Lead Social Protection Specialist and Focal Point on Fragile Countries and Social Protection
- Ugo Gentilini: Senior Economist, Social Protection and Labor Global Practice

Annexe 14 Draft Outline of the OPM Toolkit on Shock-Responsive Social Protection

DEVELOPMENT OF TOOLKIT / GUIDANCE: REVISED SUMMARY OUTLINE

Rebecca Holmes, ODI, 25 November 2016

The toolkit is aimed at both social protection policy makers and humanitarian actors.

The toolkit is a framework to:

- Enable the audience to conduct an appraisal of a social protection <u>system</u>, or where there is no system in place, <u>specific SP interventions, in</u> a pre-crisis context, so as to understand how this system / intervention could scale up in the event of a crisis

- In the event of a crisis, the toolkit will therefore aim to help SP and humanitarian actors know how social protection can be made more shock-responsive.

The toolkit is divided into three parts: Part A will draw on the recent conceptual framework published from the project. Part B will include questions drawn from the core research design questions to appraise the existing social protection system and offer guidance and options for thinking through shock-responsive social protection mechanisms; and Part C will include country case studies from the project.

Part A: Introduction and background

Overview of concepts and definitions

Glossary / definitions of key terms (e.g. we will be using the term "shock-responsive" but this encompasses a "shock-sensitive" approach)

Explanation of different types of shocks

Overview of the ways in which a social protection system could respond to an emergency (vertical expansion, horizontal expansion, piggy backing, shadow alignment, refocusing)

Part B: A set of guidelines, key questions to be asked, what resources are needed to answer the questions and links to these resources.

How to conduct a poverty, vulnerability and shock analysis

    What are the country-specific poverty and vulnerability levels and trends

    Shocks – types and impacts (and on which populations)

    Attention to cross-cutting issues: gender, disability, exclusion

Guidance on how to appraise social protection (a system or specific interventions) to understand to what extent it is appropriate to support households in the contexts of shocks.

**KEY REMINDERS: What type of shock? Who is affected? What is the impact? When is the impact? Where is the impact? **

    a. What previous experience has there been of using social protection to protect, prevent or respond to shocks?

    b. Mapping and analysis of existing social protection systems / programmes:

- Interventions: type of programme; objectives; target group; coverage; benefit levels
- Operations: targeting; delivery mechanisms; information management; grievance mechanisms
- Institutions: directly involved in social protection; co-ordination mechanisms
- Attention to gender and other x-cutting issues

    c. Mapping and analysis of relevant policies and frameworks (including attention to gender and other x-cutting issues)

    d. Mapping and analysis of relevant DRM and humanitarian systems

- Contingency planning
- National early warning systems

- Vulnerability assessments
- Emergency coordination mechanisms
- Attention to gender and other x-cutting issues

e. Mapping and analysis of institutional environment:
  - Key stakeholders and actors across social protection, humanitarian and DRM sectors
    - i. Who is doing what
    - ii. Capacity
    - iii. Skills
    - iv. Resources
    - v. Political economy / relative power and influence
    - vi. Co-ordination mechanisms
  - Attention to gender and other x-cutting issues

f. Mapping and analysis of existing financing mechanisms
  - Budget analyses
  - Budget and financing processes
  - Stakeholders and actors (relative power and influence)
  - Attention to gender and other x-cutting issues

g. Existing M&E systems (including attention to gender and other x-cutting issues)

Guidance on supporting and strengthening shock-responsive social protection [presenting options, presenting issues to think through]

**KEY REMINDERS: What is the value added of using social protection to respond to shocks? What type of shock? Who is affected? What is the impact? When is the impact? Where is the impact? **

a. Planning:
  - How SP can be better integrated with DRM and contingency planning (thinking through the spectrum of DRM approaches (mitigation, prevention, response etc.) and the spectrum of SP objectives (prevention, protection, promotion etc.)
  - Attention to gender and other x-cutting issues

b. Adapting / strengthening social protection systems and programmes [e.g. thinking through what can SP do, what can't it do]:
  - Options for using existing interventions to respond to shocks
  - Options for using existing operational procedures to respond to shocks
  - Strengthening social protection to achieve its core objectives
  - Attention to gender and other x-cutting issues

c. Stakeholders and institutions:
  - Engagement—develop shared awareness and understanding, and define strategies towards better protection for shock-affected populations
  - Stakeholder and partner coordination
  - Training and capacity building
  - Attention to gender and other x-cutting issues

d. Mobilisation of funding options (including attention to gender and other x-cutting issues)

Part C: Illustrative case studies

Recommendations from good practices examples (drawing on case studies, developed at the end of the project)

Annexe 15 Eight Steps of a Generic Process to Optimise the Interactions Between Social Protection and Humanitarian responses

1. Identify target populations

   - Is a vulnerability assessment/poverty profile available?

   - What are the main vulnerabilities and how do they affect different groups of people (life cycle, wealth groups, marginalised / non-national groups)?

   - How are long-term trends changing vulnerability, how are these incorporated in SP systems?

   - How do the different programmes identify their beneficiaries? How can targeting criteria be adapted from poverty-focused / life-cycle criteria to include risk-associated criteria?

   - Is there any kind of central registry? Could this be further developed?

   - Is it (or could it be) linked to a more comprehensive national identity system?

   - Who has access to the system on paper versus the ground reality? How can this be explained in terms of the capacity of the state versus the degree of responsibility the State takes for all people on its territory?

   - Can systems be adjusted to incorporate internal and external forcibly displaced people and migrants?

2. Understand social protection systems

   - What is the policy framework for social protection, humanitarian, climate adaptation and disaster risk reduction, and other resilience-related themes?

   - What are the scope, coverage and characteristics of existing social protection, humanitarian, climate adaptation, and disaster risk reduction programmes and systems?

   - How is the social protection system linked to other key sectors that it depends on (health, education, agriculture, off-farm livelihoods, labour markets), and do these require additional strengthening?

   - What research, concepts, approaches and experiences relate to shock-responsive social protection? How do these require to be further developed?

   - What are the main institutions involved? Who are the key stakeholders?

   - What institutional and coordination mechanisms exist between different policy areas and different programmes?

   - Is there a network of social workers in place?

   - How are benefits delivered? Is there any common payment mechanism? How scalable is it?

   - What information systems exist, and how flexible are they to scaling up?

   - What M&E systems exist, and how flexible are they to scaling up?

   - Which components of the overall social protection system are best suited to scaling up?

   - What are the different informal, humanitarian response and private-sector measures outside of State-led systems that are currently accessed by people, and which can be harnessed as part of procedures to scale up social protection coverage?

3. Anticipate shocks

- What are the most likely shocks? Where are they most likely to hit and when are they likely to occur? What is driving or causing the shock?

- For each type of shock, who is most likely to be impacted and how? When?

- What kinds of early warning and alert systems exist? What information systems provide decision-making on livelihoods in advance of shocks?

- What disaster preparedness and contingency plans are already in place? How can these be expanded?

- Who, at each layer of society, is responsible for disaster management measures?

4. Pre-plan responses

- Do plans exist for rapid scale-up (eg portfolio of possible public works activities)?

- What additional scale-up / expansion measures can be taken across social assistance, social insurance and labour intervention parts of social protection systems?

- Can triggers be identified to implement pre-planned interventions for different types of shocks?

- Can a set of standard operating procedures identifying triggers, scale-up measures, responsibilities and resourcing (financial, human, materials and services) be formulated?

- Are all key stakeholders (including affected groups and communities) pre-agreed on these procedures?

- Will these measures cover all vulnerable groups including those not traditionally covered by State systems?

5. Predict funding

- What parts of the State-led social protection system are adequately or inadequately financed? What types of financing support this system (domestic, international, private sector) and are these levels of funding likely to change in the future?

- What domestic funding is available? Has a detailed budget analysis been undertaken? How will the future macro-economic outlook impact on the financing for social protection and key supporting sectors?

- What types of international funding is available, what does it support? How and why does it vary from one year to the next? What will it support in the future?

- Can contingency funding/crisis modifiers/risk insurance be put in place?

- Can other informal and community-based risk pooling, social safety nets, solidarity networks be harnessed?

- What are the costs of disaster impact and emergency response compared with the cost of expanded social protection?

- Do mechanisms exist for pool funding of social protection? Could these be expanded to incorporate humanitarian funding?

- Can forecast-based funding be linked to early warning systems and standard operating procedures for scale-up (including multiple triggers)?

- What kinds of safeguards need to be put in place to protect against fiduciary risk and beneficiary fraud?

6. Expand social protection

- What add-ons are required for a social protection system to build resilience, both within the system and as linkages to other complementary measures?

- What is needed to allow social protection systems to expand more responsively? What monitoring and coordination mechanisms are in place to adjust the scale-up measures to best fit the evolution of the shock and needs of people?

- How can common and coordinated delivery mechanisms (using technology) and implementation platforms be set up for a timely and efficient response?

- In the case of weak social protection systems, how can expansion measures and structures be used to further develop nascent social protection systems for the future?

- Is institutional capacity sufficient to scale up systems rapidly? If not, what additional support is required in order to scale up?

- What are the political economy constraints to expanding social protection? What incentives and solutions can meet these constraints, and who could facilitate these?

- What can social protection not do? What else is needed? And how can these gaps be filled?

7. Mitigate shocks

- How can social protection build resilience at community level?

- How can public works interventions be used to build community assets strengthen disaster-preparedness?

- How can social protection create multiplier effects in the local economy?

- What capacity building is required to strengthen shock-response at community level?

8. Empower populations

- What do beneficiaries want, what can they already do, what could they do in the future with extra assistance?

- How can social protection build resilience at household level?

- How can social protection build household capabilities and assets?

- How can social protection help households to diversify income sources?

- What else is needed to strengthen household resilience and self-reliance?

Annexe 16 Suggested Case Studies

Case studies suggested by EC staff in the online survey and during the participatory workshop:

Country	Comments
Afghanistan	Both ECHO and DEVCO support refugees and IDPs; scope to start a joint social protection scheme
Bangladesh-Myanmar	Cross-EUD initiative
Ethiopia	The PSNP has all the challenges to address (targeting, sustainable funding, coverage, comprehensive approach, etc.) + RESET; Trust Fund
Dominican republic	Pretty old, some outputs already there
Iraq	Trust fund
Kenya	HSNP
Lebanon	Large cash operation; government unwilling to take over (would mean acknowledging the presence of the refugees in its territory, and work for them)
Malawi	
Mali	Past and on-going initiatives: alignment of ECHO-funded cash transfer programme with national safety net programme; development of a joint ECHO-DEVCO resilience programme which includes a social protection component (AGIR framework); transition from ECHO to the EUTF/11th EDF
Mauritania	Capitalisation documents from EU-funded social transfer projects with NGOs and UN; RIMRAP
Myanmar	Government, with UNICEF support, has developed a national policy and piloted it in Chin State following the 2015 floods; also in Chin State, the LIFT MDTF is funding a social safety intervention targeting pregnant and lactating women to ensure proper nutrition for the 1000 days
Sahel	Experience and expertise developed since 2007
Somalia	
Sudan	Protracted and multiple causes crises (IDPs, refugees, malnutrition) are diverse in Sudan but little efforts for such approach being developed; case study could identify barriers and opportunities to such approach, as well as considering potential next steps
Turkey	NEAR; Independent real-time evaluation planned; GIZ-funded technical assistance; case study second half of 2017
Ukraine	Existing safety net and issue is inclusion of all people supposedly entitled
Yemen	Perfect, very well planned and supported… it collapsed!

Other cases suggested during the participatory workshop include:
- ECHO-DFID in Mali, Niger, Jordan, Somalia, Nigeria: application of SP in humanitarian contexts + shock responses (linked to OPM)
- Brazil and other SPF successes in difficult contexts, violent/unstable regions
- UNRWA in OPT: social protection system for Palestinian refugees; management systems