



ASEAN Guidelines on Disaster Responsive Social Protection to Increase Resilience



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The ASEAN Secretariat
Jakarta

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FOREWORD

Joint Foreword between DSG ASCC and the ADG of FAO For the ASEAN Guidelines on Disaster-Responsive Social Protection to Increase Resilience

Social Protection is a powerful means to help poor and vulnerable households to cope with unprecedented shocks. It is also an important way to build foundations and enhance resilience of our peoples and society. ASEAN Member States have committed to advance regional cooperation towards a common goal of uplifting the quality of life of our peoples in which social protection systems play a crucial role. In this vein, the *ASEAN Declaration on Strengthening Social Protection* was adopted in 2013.

Social Protection Programs and measures are necessary to sustain efforts in reducing poverty and advance resilient development in the ASEAN region and hence must be proactively explored. The measures can range from providing support to smoothen consumption during lean times, enhancing their skills and capacity to adopt climate resilience livelihoods, supporting the creation of productive assets to absorb disaster-related shocks, increasing access to disaster risk insurance to manage residual risks, and supporting the development of alternative livelihoods to deal with changes in risk patterns.

Flexible design and financing schemes need to focus on the poor and vulnerable groups who are disproportionately affected by disasters and climate change, such as women, children and youth, older persons, migrants, and people with disabilities. In time of Covid-19 pandemic, they are also extremely at risk of falling into the property traps. Social protection will protect them from economic, disasters and climate shocks and help to recover and move out of poverty.

Against this backdrop, the *ASEAN Guidelines on Disaster Responsive Social Protection to Increase Resilience* was developed through concerted efforts among the ASEAN Committee on Disaster Management (ACDM), the ASEAN Senior Officials Meeting on Social Welfare and Development (SOMSWD), and the ASEAN Senior Officials Meeting on Health Development (SOMHD). It is also in-line with the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme, the ASEAN Declaration and Regional Implementation Framework on Social Protection, as well as the ASEAN Post-2015 Health Agenda and other regional frameworks.

The Guideline provides frameworks, guiding principles and key considerations that are critical for social protection programs to deliver on resilience outcomes. It also identifies practical steps for policy makers and practitioners from the concerned sectors – social welfare and development, disaster risk management, public health and others – to work together in building the necessary blocks for leveraging adaptive social protection systems based on the case studies gathered from the ASEAN Member States.

The development of this Guidelines reflects stronger cooperation and partnership between ASEAN and the United Nations that supports the realization of the ASEAN Vision 2025 and the Sustainable Development Goals (SDGs) in a complementary manner. The support rendered by a Consortium of UN Agencies, the Asian Development Bank, the European Civil Protection and Humanitarian Aid Operations (ECHO) and the Government of Canada, coordinated by Food and Agriculture Organization of the UN (FAO) is critical in advancing the state of the art of transformational and innovative social protection in the region.

It is our fervent hope and expectation that these Guidelines will provide more rigorous resources for professionals and policy makers, and accelerate ASEAN's effort in reducing poverty, advancing economic growth and social progress, and to strengthen cooperation between ASEAN and the United Nations in the years to come.



Kung Phoak
Deputy Secretary-General of ASEAN
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On behalf of the UN Agencies, ADB and
Development Partners

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We would like to thank all ASEAN sector bodies, government agencies, local governments, Non-government organizations (NGOs) and all the people who contributed to the Guidelines by participating in the consultations, sharing expertise, country experiences and resource materials. In particular, we acknowledge all the participants at the three ASEAN consultations who provided valuable inputs to shape the Guidelines and make them appropriate to the ASEAN context.

ASEAN expresses warm appreciation to the Food and Agriculture Organization of the United Nations (FAO) for leading the preparation of the Guidelines and to the Asian Development Bank (ADB), International Labour Organization (ILO), United Nation Children Fund (UNICEF), and the World Food Programme (WFP) for technical support, peer reviews and advice.

The ASEAN Secretariat has provided tremendous support throughout the process. We thank Director Ky Anh of the Sustainable Development Directorate and Director Rodora T. Babaran of the Human Development Directorate for their invaluable guidance. Special thanks go to Dr. Riyanti Djalante and Ms. Intani Nur Kusuma from the Disaster Management and Humanitarian Assistance Division (DMHA). Equal thanks go to Dr. Sita Sumrit and Mr. Miguel Musngi from the Poverty Eradication and Gender Division, as well as to Dr. Ferdinal M. Fernando and Mr. Jim Catampongan from the Health Division.

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ABBREVIATIONS AND ACRONYMS

AADMER	The ASEAN Agreement on Disaster Management and Emergency Response
ADB	Asian Development Bank
ALNAP	Active Learning Network for Accountability and Performance
AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
ASP	Adaptive social protection
ATM	Automated teller machine
CaLP	Cash Learning Partnership
CAT	Catastrophe
CAT DDO	Catastrophe deferred drawdown option
CCA	Climate change adaptation
CCT	Conditional cash transfer
CCTE	Conditional Cash Transfer for Education for Refugees
CFW	Cash for work
CSOs	Civil society organizations
CTP	Cash transfer programming
DAC	Development Assistance Committee
DFID	Department for International Development
DRSP	Disaster-responsive social protection
DRFI	The ASEAN Disaster Risk Financing and Insurance Programme
DRM	Disaster risk management
DRR	Disaster risk reduction
DSWD	Department for Social Welfare and Development
ECHO	European Civil Protection and Humanitarian Aid Operation
ESSN	Emergency social safety net
EWS	Early warning system
FAO	Food and Agriculture Organization of the United Nations
FCAS	Fragile, conflict-affected situations
FFW	Food for work
GDP	Gross Domestic Product

GFDRR	Global Facility for Disaster Reduction and Recovery
GoP	Government of the Philippines
HEF	Health Equity Fund
HH	Household
HSNP	Hunger Safety Net Programme
ID	Identification
IDP	Internally displaced person
IGA	Income generation activity
ILO	International Labour Organization
INGO	International non-governmental organization
IPCC	Intergovernmental Panel on Climate Change
ISAIS	Integrated social assistance information system
ISPA	Inter-agency social protection assessment
M&E	Monitoring and evaluation
MCCT	Maternal and Child Cash Transfer
MDAs	Ministries, departments and agencies
MIS	Management information system
MoEF	Ministry of Economy and Finance
MoF	Ministry of Finance
MoLISA	Ministry of Labour, Invalids and Social Affairs
NCDM	National Committee for Disaster Management
NDRRMF	National Disaster Risk Reduction and Management Fund
NDVI	Normalized Difference Vegetation Index
NGO	Non-governmental organization
ODI	Overseas Development Institute
OECD	Organisation for Economic Co-operation and Development
OPM	Oxford Policy Management
4Ps	Pantawid Pamilyang Pilipino Program
PWP	Public works programmes
SDG	Sustainable Development Goal

SMS	Short message service
SP	Social protection
SRSP	Shock-responsive social protection
TV	Television
UN	United Nations
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNISDR	United Nations Office for Disaster Risk Reduction
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
USD	United States Dollar
V20	The vulnerable twenty (the 20 nations systematically vulnerable to the effects of climate change)
WASH	Water, sanitation and hygiene
WHO	World Health Organization
WFP	World Food Programme

INTRODUCTION

ASEAN Member States are in one of the most disaster-prone regions of the world with seven out of the ten countries ranked globally as “very highly” or “highly” exposed to natural hazards.¹ Although ASEAN has achieved remarkable economic growth and social development in recent years, this progress is threatened by the increasing frequency and severity of disasters.

Disasters can wipe out decades of investment in human development. Such events have a direct impact on household incomes,² livelihoods, food security and access to basic services. However, some actions taken by households to cope, such as reducing food consumption, withdrawing children from school, or selling productive assets, ultimately increase their vulnerability and dramatically affect well-being. This further undermines hard won development gains, contributes to the transmission of poverty from one generation to the next, ultimately undermining economic growth.

Effective, broad-based social protection is a powerful means to help poor and vulnerable households cope with disasters, especially recurrent small-scale disasters. Regular social protection benefits enable beneficiaries in particular vulnerable households to cope with small-scale disasters and stresses³ without resorting to negative damaging coping actions. They provide much needed stability for vulnerable households to build and diversify their livelihoods, human capital and assets and to address the longer-term impacts of climate change. Social protection is also an important means of enabling households to prepare for, cope with and recover from disasters.

Social protection systems that explicitly incorporate disaster risk considerations in their design can further build households’ resilience to disasters. A growing body of global and regional evidence demonstrates that disaster responsive social protection can complement (but not replace) traditional humanitarian response by serving as both a first response and an early recovery instrument.

ASEAN Member States have therefore committed to strengthening their disaster responsive social protection systems through a range of regional policy commitments such as the ASEAN Declaration on Strengthening Social Protection adopted in 2013.

The purpose of this strategic guidelines document is twofold: to provide a common understanding of when and why building disaster risk considerations into social protection programmes and systems is important, and to provide strategic guidance for policymakers on when and how to advance disaster-responsive social protection.

The initial focus of the strategic guidelines is emergency response to natural disasters mainly through social assistance programmes. However, the applicability of other social protection instruments, and other types of disasters is also referenced. A complementary Guidance Note – *Strengthening Resilience through Social Protection Programmes* – is also available.⁴

¹ Other hazards can include pests, disease outbreak, economic and man made.

² For example, on average, typhoons that hit the Philippines depress affected household incomes by 6.7 per cent (net of public and private transfers) and household expenditures by 7.1 per cent (DSWD, FAO, ILO, UNICEF, UNISDR, and WFP, 2019 Roadmap to implement and design shock-responsive and risk-informed social protection in the Philippines).

³ Household level stress can include economic or health related events such as job loss or major illness.

⁴ <https://www.adb.org/sites/default/files/institutional-document/412011/resilience-social-protection-guidance-note.pdf>

The target audience is policymakers working for social protection, disaster risk management (DRM) and climate change adaptation (CCA) in ASEAN Member States. The document was produced with the intention that development partners including UN agencies and civil society organizations (CSOs) would use it.

This document contains the following sections:

- **Section 1 presents an overview of the ASEAN context.** It sets out the poverty and vulnerability situation across ASEAN Member States. It introduces disaster responsive social protection including common ways in which social protection programmes and systems have contributed to disaster response. It outlines the strong and complementary linkages between social protection, DRM and CCA and sets out a summary of relevant ASEAN policy commitments.
- **Section 2 sets out the building blocks and conceptual framework for disaster responsive social protection.** It offers guidance on determining the appropriateness of social protection in disaster risk management, the underlying principles and approaches and the key issues and considerations across each of the building blocks. This includes institutional capacity, coordination and developing a common vision, commitment required, policies and legislation, information and management systems, flexible programme design, flexible delivery systems, and flexible financing. This section also provides a brief introduction to the process and key steps in advancing disaster-responsive social protection.
- **The annexes contain:**
 - a glossary of key terms;
 - an illustrative process for advancing disaster responsive social protection with key questions to consider as well as hints, tips, dos and don'ts across the five building blocks;
 - a table setting out the different options and issues to consider for disaster-responsive social protection, including in contexts of fragility and displacement;
 - financial instruments for funding disaster-responsive social protection;
 - a tool to aid the process of deciding on whether to work with social protection programmes and systems and if so, the best way of doing so;
 - more published tools and resources; and
 - an overview of country-specific analyses which took place to inform the guidelines.

CHAPTER 1

OVERVIEW OF THE ASEAN CONTEXT

OVERVIEW OF THE ASEAN CONTEXT

1.1 Poverty and vulnerability in the ASEAN region

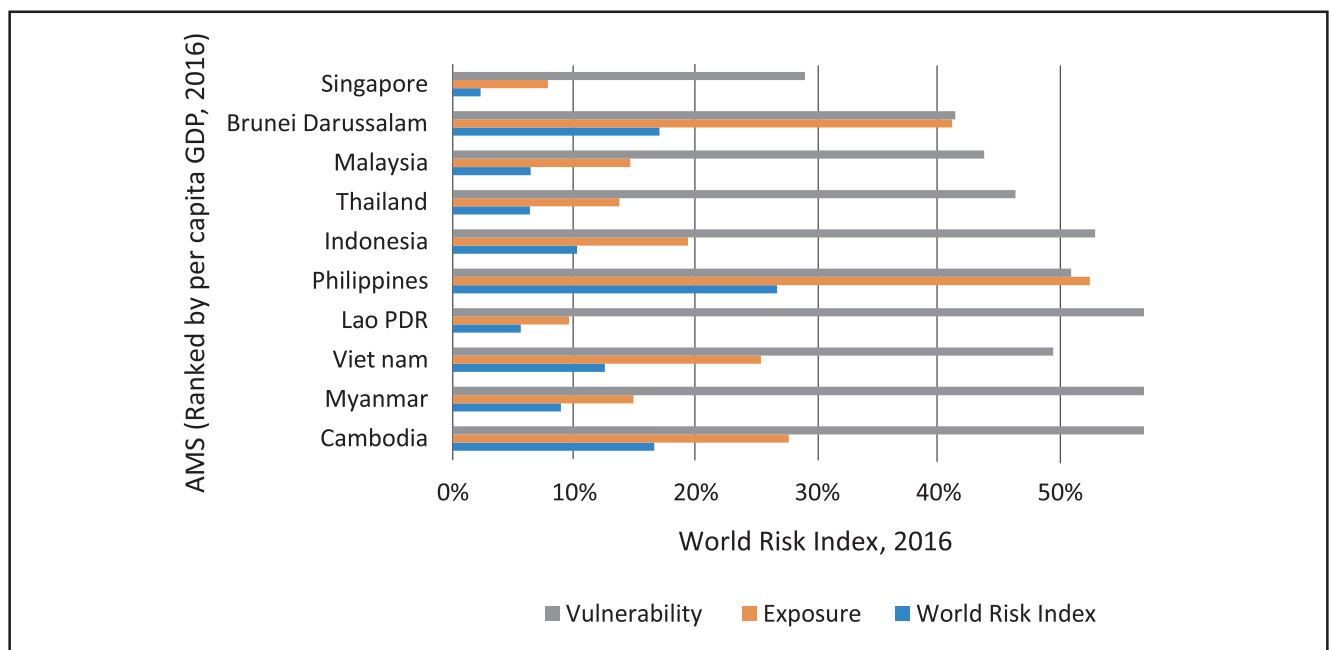
Although ASEAN has achieved remarkable economic growth and social development in recent years, aggregate national growth and poverty reduction figures conceal deprivations across different territories and population segments, with implications for sustainable growth and development. Nevertheless, the share of people living in extreme poverty has fallen from one in two, to one in eight over the past two decades.⁵

One of the main threats to sustained economic growth and development is the high exposure of ASEAN Member States to natural hazards. Between 2000 and 2015, disasters affected more than 200 million people in the region.⁶ According

to the World Risk Report, 2017 (Figure 1), six of the ten ASEAN countries are either “very highly” exposed to natural hazard (Brunei Darussalam, Cambodia, Philippines and Viet Nam) or “highly” exposed to natural hazard (Indonesia and Myanmar).

Climate change will probably increase the frequency and severity of hazards. For example, by 2030 drought risk is projected to increase “substantially” in the Asia-Pacific region.⁷ Myanmar, Philippines, Viet Nam and Thailand were in the top ten countries globally most affected by climate change between 1997 and 2016, with Cambodia ranked 15.⁸

Figure 1. ASEAN Member States by World Risk Index and GDP per capita



Source: WFP, OPM, and FAO, 2018 OPM, WFP, and FAO, 2018, based on World Risk Index 2017 NOT IN REFERENCES

⁵ ASEAN, 2015

⁶ Babel, 2016

⁷ UNESCAP, 2017

⁸ Eckstein, Künzel and Schäfer, 2018

The economic impacts of these disasters are severe. Every year, on average, the ASEAN region experiences losses related to natural disasters estimated at more than US\$4 billion.⁹ Annual expected losses as a percentage of national GDP are highest in Myanmar, Philippines, Viet Nam, Lao PDR, and Cambodia.¹⁰ However, these estimates include direct physical losses suffered by disasters and do not take into account indirect losses, secondary impacts on the economy and the well-being of the affected population. When combined with small-scale recurrent hazards and stresses, the cumulative effect is that the ability of vulnerable people to cope is eroded and livelihoods are negatively impacted.

Such disasters can wipe out decades of investment in human development. Disasters have a direct impact on household incomes,¹¹ livelihoods, food security and access to basic services causing immediate damage to the health, nutrition, education and psychological well-being of affected populations. However, some of the negative actions taken by households to cope with the effects such as reducing food consumption, withdrawing children from school, or selling productive assets, increase vulnerability. This further undermines hard won development gains and contributes to the transmission of poverty from one generation to the next. In addition, recurrent, predictable smaller-scale disasters are often not addressed by emergency response mechanisms.

Poor and vulnerable households are often the most exposed to hazards and have the least means to cope. The incomes of poor and vulnerable households may be more dependent on weather, their housing and assets less protected, and they are likely to have lower access to savings and borrowing. For example, in Viet Nam, approximately 70 per cent of the population is concentrated in the coastal areas and low-lying deltas, relying on natural resources for their livelihoods. These areas are highly exposed to natural hazards.¹² In the Philippines,

studies have concluded that poverty is the single most important factor determining vulnerability to disasters.¹³ There is considerable overlap between the geographical incidence of the most destructive natural hazards and the regions with some of the highest poverty incidence.¹⁴

Vulnerability is further compounded by growing levels of inequality and the differences in rural and urban environments. Urbanization is growing rapidly in the ASEAN Member States and presents a challenge to address both rural and urban needs in an equitable manner; the urban population of the region will have increased to 49.7 per cent of the total population by 2025.¹⁵

Vulnerable groups such as women, children, the elderly and those with disabilities face a range of pre-existing constraints that are often compounded by disasters. For example, disasters can exacerbate pre-existing gender inequalities and compound the multiple forms of vulnerability that disproportionately affect women, such as women living in poverty, women with disabilities and older women.¹⁶ Evidence shows that natural disasters lower women's life expectancy more than men's, and in some cases women and girls make up as much as 90 per cent of those killed in weather-related disasters. Furthermore, women and girls are vulnerable to human trafficking or to sexual assault in crowded shelters or camps. In times of drought girls are at greater risk of early marriage and are often the first to be withdrawn from school or they attend school less frequently so that they can contribute to household responsibilities.¹⁷ Children – both girls and boys – are at an increased risk of child rights deficits and violations following disasters. These include higher rates of school absenteeism, an overall reduction in educational attainment and lower academic performance, an increased risk of abuse and neglect as well as a decrease in health and nutritional status.¹⁸ Box 1 highlights the impacts of disasters on people with disabilities.

⁹ World Bank, 2012

¹⁰ Ibid.

¹¹ For example, on average, typhoons that hit Philippines depress affected household incomes by 6.7 per cent (net of public and private transfers) and household expenditures by 7.1 per cent.

¹² World Bank, 2012

¹³ Smith, Scott, Luna and Lone, 2017

¹⁴ Ibid.

¹⁵ ISEAS, 2010

¹⁶ Committee on the Elimination of Discrimination Against Women (CEDAW), 2018

¹⁷ Kwauk and Braga, 2017

¹⁸ Kousky, 2016

BOX 1

People with disabilities: among the first victims of natural disasters

Persons living with a disability represent 15 per cent of the world's population. They are often amongst the first victims of natural disasters. For example, during a tsunami that hit Japan in 2011, the mortality rate among the disabled was double that of the rest of the population.

A global survey conducted by the UN in 2013 highlighted the difficulties experienced by disabled people and the reasons for their vulnerability:

- only 20 per cent said they were able to evacuate immediately without difficulty in the event of a sudden disaster and 6 per cent said they would not be able to do so at all;
- less than a third of respondents reported “always” having someone to help them to evacuate, whereas 13 per cent have no one to help them;
- only 17 per cent were aware of their community's disaster preparedness plan and only 14 per cent were consulted during the preparation of these plans.

To make those living with a disability less vulnerable, it is essential to include them in all disaster risk management policies and practices. In practical terms, this involves, for example, setting up early warning systems that are accessible to all and developing contingency plans that take the needs of people with disabilities into account, and identify appropriate assistance, including disaster responsive social protection provided before, during and in the recovery phase following disasters.

Source: Walbaum, 2014

Unless concerted efforts are made to strengthen disaster responsiveness with an explicit focus on the poor and most vulnerable, marginalized and excluded groups, objectives to protect previous investments and further reduce poverty will not be achieved. However, it is the poor and vulnerable that are often targeted by social protection and, in particular, social assistance programmes.

1.2 Social protection and disaster risk management in the global context

Disaster risk management (DRM) and resilience have been increasingly articulated in global development frameworks including the 2030 Agenda for Sustainable Development, the Paris Agreement on climate change, the Sendai Framework for Disaster Risk Reduction 2015–2030, the Agenda for Humanity, and New Urban Agenda.

Social protection has the potential to be more closely integrated with both DRM and climate change adaptation (CCA); they complement and re-enforce shared objectives. Although they

operate initially in different domains, they all aim to reduce the impacts of shocks on individuals and communities by anticipating risks and uncertainties and addressing vulnerabilities. DRR stresses the importance of anticipating, preparing for and preventing adverse impacts from natural hazards, which is also stressed in CCA approaches. Because social protection is directly targeted to the most vulnerable, it can provide an additional layer of both protection from, and resilience to future shocks.¹⁹

Climate change and disaster risk reduction both stress the need to increase livelihoods resilience to both rapid and slow onset climate hazards and within this, social protection has a key role to play.

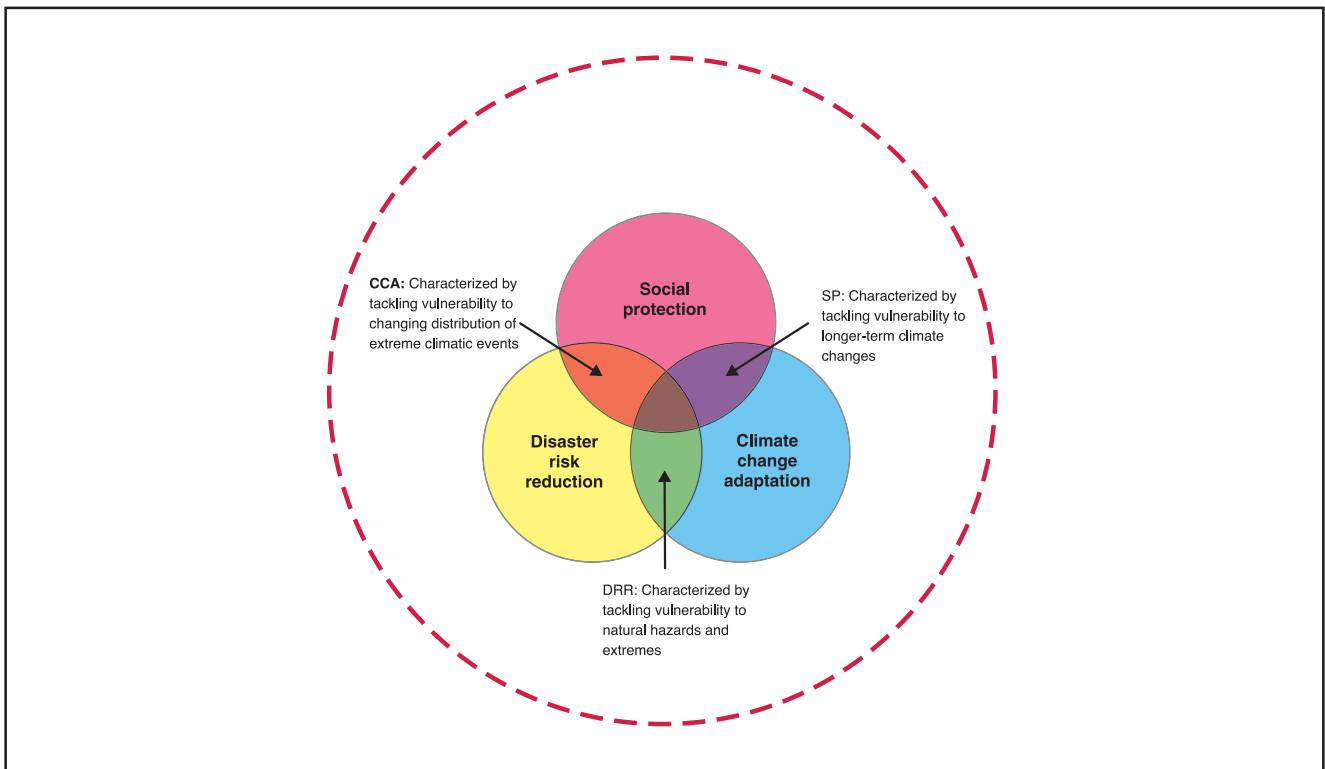
1.3 Disaster-responsive social protection

Experience to date suggests that there are at least five common ways that social protection programmes and systems have been adapted to help respond to a disaster.²⁰ Annex 3 outlines the opportunities and challenges of different

¹⁹ Newsham, Davies and Béné, 2011

²⁰ Ibid.

Figure 2. Conceptual framework of disaster risk reduction, climate change adaptation, and social protection overlaps



Source: Adapted by authors from Davies, Guenther, Leavy, Mitchell and Tanner, 2009

Figure 3. Global commitment and resilience through social protection

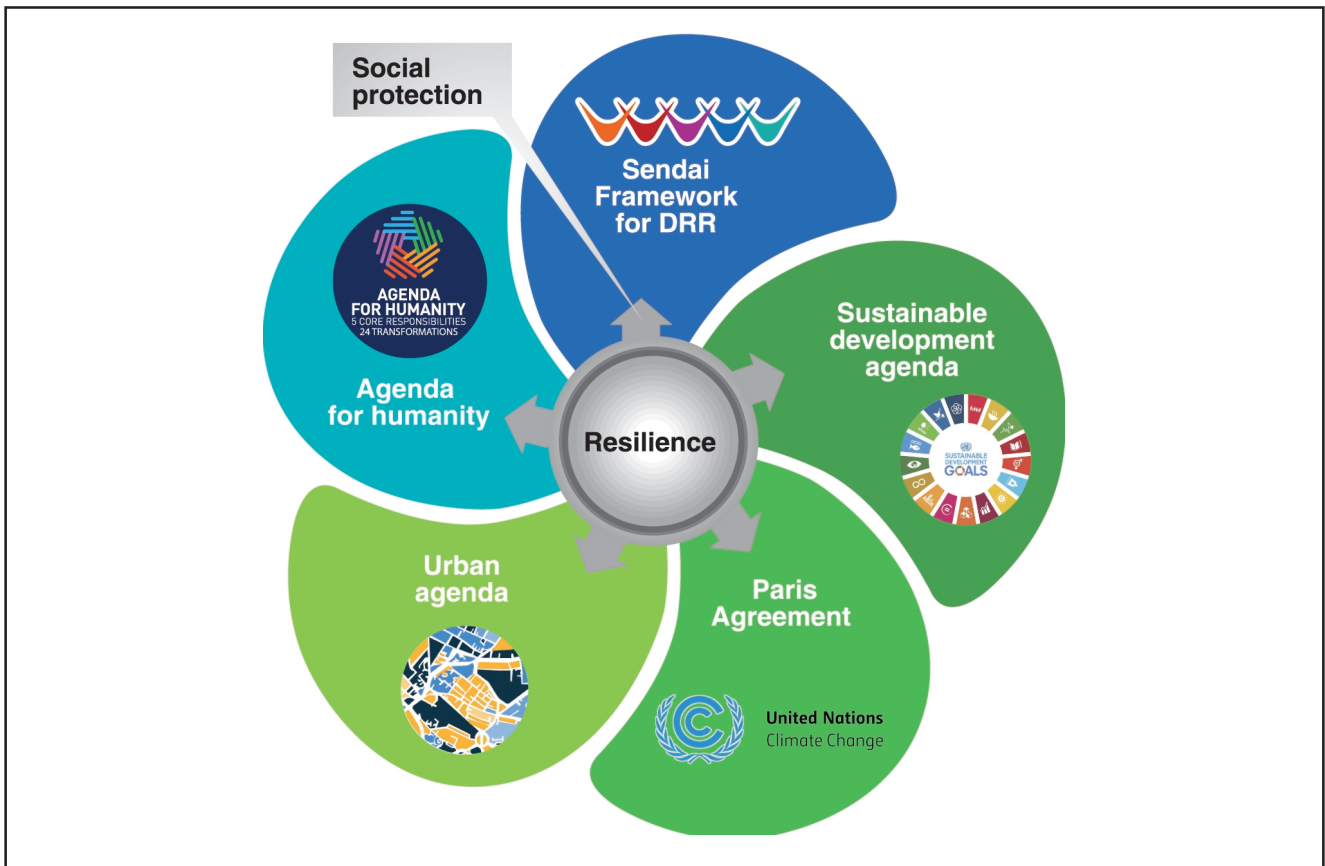



Table 1. DRM and social protection over time

Timeframe	Social protection objectives	Example	Disaster risk cycle focus
Short term	Protecting the poor and vulnerable against disaster and rapidly scaling up existing programmes	Focusing on one or two cash and in-kind transfer public work programmes through social assistance programmes	Preparedness and response
Medium term	Strengthening	Expanding other programmes including social security and insurance instruments	Preparedness and overall capacity strengthening
Long term	Promotion and transformation: Promote resilience through integration with other support programmes	System based responses that build coherence and capacity to respond and build resilience	Building back better to ensure resilience to future shocks



approaches. These five categories do not represent fixed disaster-responsive “options” but they do however provide useful insights into experiences to date. Most global experience has

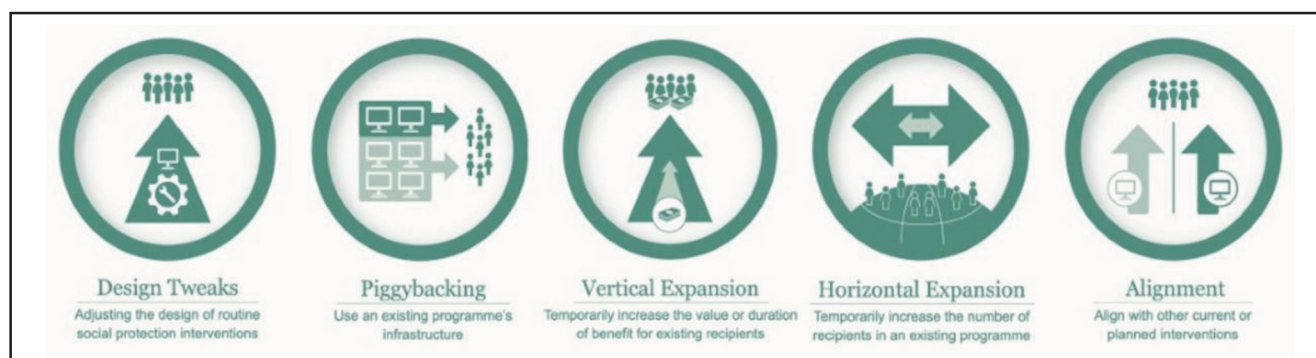
focused on scaling up social assistance and social insurance schemes. However the typology below could equally be applied to other social protection instruments where appropriate.

Table 2. Classifications of disaster-responsive experiences to date

Response Approach	Description
Design tweaks	<ul style="list-style-type: none"> • The design of social protection programmes and systems can be adjusted in a way that takes into consideration the crises that a country typically faces. These are adjustments to a routine social protection programme to maintain the regular service in a disaster and may include: <ul style="list-style-type: none"> • waiving conditionality in a calamity; • adjusting delivery schedule before the dry season or flooding season; and • introducing a fee waiver of social security such as unemployment schemes, national health insurance, and tuition fees
Piggybacking	<p>A social protection programme’s administrative system can be used to respond to a disaster, but the response programme itself is managed separately from the social protection programme. It may include:</p> <ul style="list-style-type: none"> • using a beneficiary list of social assistance programme as humanitarian response beneficiaries; and • using a programme’s payment mechanism or staff to deliver aid.
Vertical expansion	<p>A social protection programme can temporarily increase the benefit value or duration of a benefit provided through an existing programme, either for all or for some of the existing beneficiaries. It may include:</p> <ul style="list-style-type: none"> • adjusting the transferred amount; • introducing extraordinary payments or transfers; and
Horizontal expansion	<p>Programmes can temporarily include new disaster-affected beneficiaries in an existing social protection programme and may include:</p> <ul style="list-style-type: none"> • extending the geographical coverage of an existing programme; • including more people in the same geographical area; and • relaxing requirements/conditionalities to facilitate participation.
Alignment	<p>An emergency response can be designed to align with another actual or future social protection programme or system.</p>

Source: Adapted by authors from O’Brien, Holmes and Scott, 2018a

Figure 4. Social protection in disaster contexts: a typology of experiences to date



Source: O'Brien, Holmes and Scott, 2018a

Social assistance can support poor and vulnerable households to absorb the impacts of future disasters. Social assistance programmes usually involve the direct transfer of cash or food to those experiencing chronic poverty or transitory livelihood hardships. Social assistance can provide a cushion to reduce the vulnerability of households to risks through enabling an increase in household savings, productive assets, inputs to livelihoods, livestock ownership, and livestock value.²¹ Regular, predictable, and timely cash transfers also serve to mitigate risk, and can empower poor households to take a risk on productive activities such as training or agricultural inputs. The projected increase in the intensity and frequency of slow onset crises, such as droughts, underscores the importance of linking social protection to adaptive capacity and resilience building.

Effective, broad-based social protection is a powerful means of helping to build resilience²² to large and small-scale disasters. Regular social protection benefits, particularly social assistance, enable vulnerable households to cope with small-scale shocks and stresses without resorting to damaging coping actions that ultimately increase their vulnerability. Such shocks could include the loss of employment, poor harvests, family illness, or the impact of a local

conflict. Effective, broad-based regular social assistance provides much needed stability for vulnerable households to build and diversify their livelihoods, human capital and assets and to address the longer-term impacts of climate change. Having a basic, predictable source of income enables households – often those who are most risk averse – to take small risks in their livelihoods and household investment decisions²³ that can often lead to greater returns, but which would be considered too risky in the absence of a guaranteed minimum income. Social protection is also an important means of enabling households to prepare for, cope with and recover from natural disasters.

Social protection systems that explicitly incorporate disaster risk considerations in their design can build households' resilience to disasters. Although the initial focus of this guidance document is on working with social assistance programmes and delivery systems to strengthen support to the vulnerable and poor, other social protection instruments, such as social insurance, active labour market programmes and social care services may also be used in response to disasters.²⁴ The broad categories are:

- **Social assistance.** Social assistance is non-contributory support given to individuals or households on the basis of their poverty or vulnerability (frequently defined on the basis of age or disability status) in the form of cash, vouchers, in-kind such as food, fee waivers or subsidies. Public works are also a common

²¹ According to a number of rigorous evaluations from the "From Protection to Production" (PtoP) project, which is a multi-country impact evaluation of cash transfers in sub-Saharan Africa. The project is a collaborative effort between the Food and Agriculture Organization, the United Nations Children's Fund, Eastern and Southern Africa Regional Office, and the governments of Ethiopia, Ghana, Kenya, Lesotho, Malawi, Zambia, and Zimbabwe. See also S. Davies and J. Davey

²² Information on the role of social protection in building resilience before disasters occur is provided in later paragraphs.

²³ For example, buying relatively expensive fertilizer or improved seeds that cost more but offer higher yields, or sending girls to school.

²⁴ Examples are given throughout the guidelines.

form of social assistance where food or cash is transferred to recipients in return for their work on community assets and infrastructure.

- **Active labour market programmes:** these intervene directly in the labour market with the aim of generating more and better-quality opportunities for workers. They include skills training, job search services or work-sharing schemes. They may also include public works programmes that have as their primary aim training to facilitate employment in the formal labour market.
- **Social insurance:** social insurance schemes are those in which social contributions are paid by employees or others, or by employers on behalf of their employees, in order to secure entitlement to social insurance benefits, in the current or subsequent periods, for the employees or other contributors, their dependants or survivors. They include contributory pensions and unemployment benefits.
- **Social welfare services:** social welfare services involve the provision of social work, personal care, protection or social support services to children or adults in need or at risk, or adults with needs arising from illness, disability, old age or poverty.

Integrated disaster responsive systems can help build household resilience. Over time, social protection programmes can become the bedrock of a suite of integrated services and programmes that not only helps to protect the vulnerable, but also helps build long-term resilience to disasters. This helps to maximize both the economic investment in social protection and the impact on poor households.

This means ensuring that existing social protection efforts are complemented by access to essential social services (health, education, and water, sanitation and hygiene (WASH) amongst others), and by access to “productive” services that promote graduation out of poverty (financial literacy, access to credit, and related skills/vocational training, income generation activity support, etc.). This requires ensuring that the household has been “prescribed” access to a range of appropriate existing services and programmes. In addition, agreements to plan, assess and target together using common modalities should be established. A social registry that can then track access to, and progress of, the various programmes can be a helpful element to ensure integration, and to avoid gaps in support or duplications. Such integrated approaches can significantly contribute

BOX 2

Social insurance and active labour market policies: responding to Thailand’s 2011 floods

The landfall of tropical storm Nock-ten in 2011 triggered severe flooding across 65 of Thailand’s 76 provinces. This resulted in 815 deaths and affected almost 14 million people. More than 19 000 homes were destroyed and 2.5 million people displaced. Significant damage occurred to manufacturing as the flooding was concentrated in industrial areas of the country. Total economic damage was estimated at USD 46.5 billion with the manufacturing sector alone accounting for USD 32 billion of this. To mitigate the impacts on those directly affected by damage to the manufacturing sector, the government adopted several social protection measures:

- a wage subsidy of 2 000 baht per employee for a maximum of three months was offered to enterprises that retained their employees. Employees were entitled to receive 75 per cent of their wages while the factories temporarily stopped operations;
- a “Friends Help Friends” project implemented by the Department of Labour Protection and Welfare supported employees to work in unaffected businesses, resulting in more than 13 000 employees moving to more than 100 alternative employers; and
- the number of days that people were able to register for unemployment benefits was increased from 30 days after their job termination to 60 days (a “design tweak”). The government also approved a reduction in contributions for employers and employees from 5 per cent to 3 per cent (later increased to 4 per cent) during 2012 (also a “design tweak”) and the Social Security Office increased the number of staff at its registration centres.

Sources: Chandoevrit 2012, Preechachard, 2016

BOX 3

Adaptive social protection in Viet Nam in response to drought

In Viet Nam, the 2015-2016 drought and saltwater intrusion affected more than 2 million people in 18 provinces. Wide-scale food insecurity, loss of livestock, water scarcity and health issues resulted. The crisis revealed the need for immediate and long-term actions to address the challenges with disaster preparedness and to adopt an integrated, multisectoral approach to support greater household and community resilience.

The Government of Viet Nam, with the support of the World Bank, quickly initiated efforts to adapt the existing social assistance system to help people recover from such disasters in future. In Tra Vin, one of the 18 provinces to declare a state of emergency during the crisis, an assessment was initiated to understand the feasibility of developing adaptive social protection in the province. The objective is to better prepare the province to manage household disaster risk with a focus on both flooding and drought.

Source: World Bank, 2017

BOX 4

Role of public works programmes (PWP) in early response

The objective of a typical public works programme (PWP) is to provide a source of income through temporary employment, thereby smoothing consumption and reducing poverty. Important secondary outcomes relate to the creation of public goods such as infrastructure, land management and services. Core inputs include wage costs (in cash or kind), managerial and technical assistance costs, and material costs. Cash for work (CFW) refers to cash-based wage payments, whereas food for work (FFW) is payment in kind.

A “public works plus” approach links basic safety net functions with longer term opportunities via entrepreneurship and skills training, with a clear link to the provision of services (both social services and productive services) (Subbarao, Kalanidhi, *et al.*, 2013). PWP can also be a central element of an integrated resilience approach as noted below.

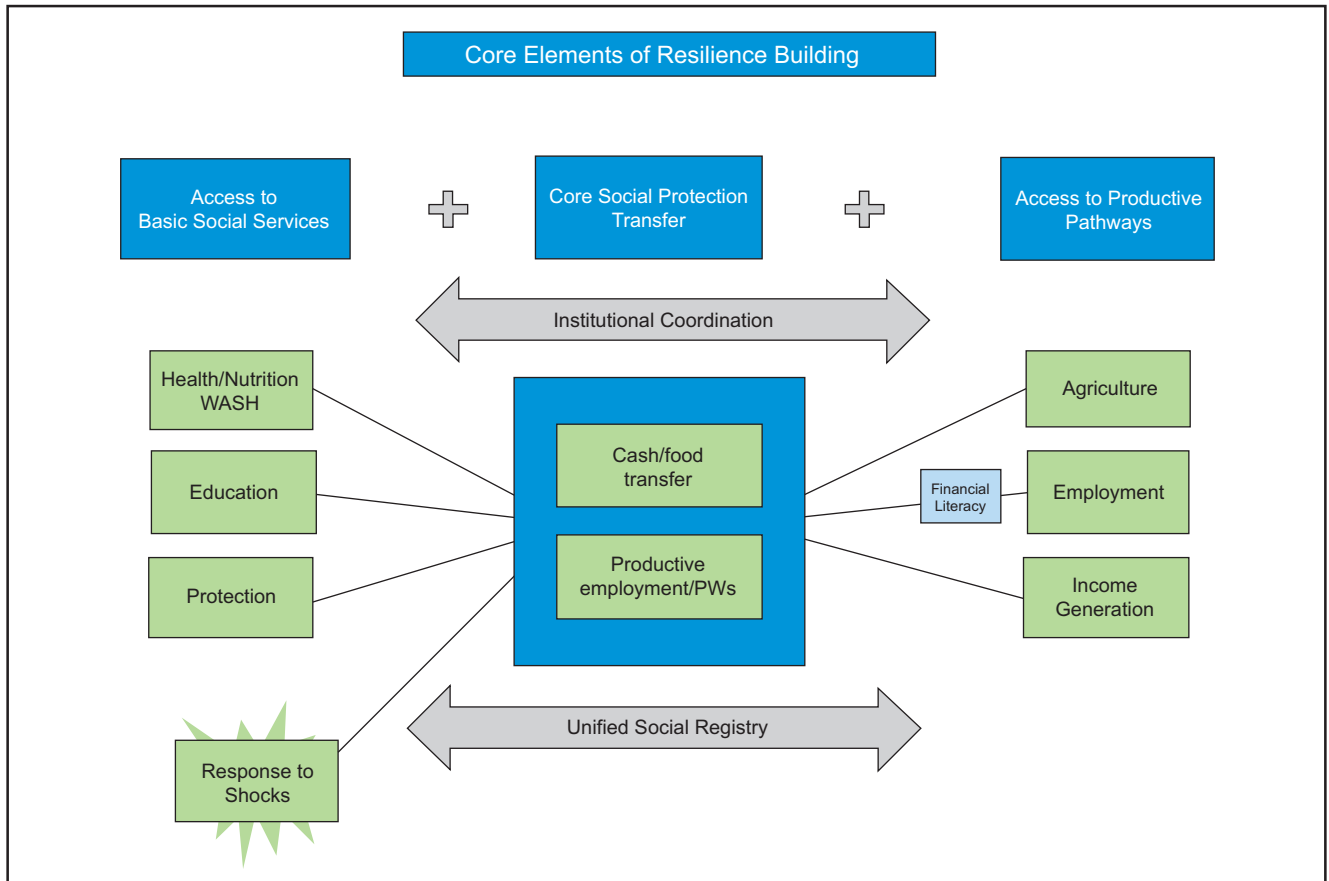
PWP can play a role in responding to shocks, but it depends on the context. PWP used in response to a disaster are more complex than a straight cash/food transfer modality and thus require more time to expand in response to a shock. PWP require advance planning, the involvement of administrative and technical staff inputs, extra materials for construction in most cases, and additional time to mobilize implementation. There is a risk that requiring people to work on community assets and infrastructure may draw valuable time away from more productive activities including re-establishing livelihoods in the aftermath of a disaster. There is also a risk that if done too quickly simply to inject cash into the stressed population, the works themselves will be sub-standard and can even cause harm (for example, shoddy work on a protective dyke could lead to more damage in future floods). The time needed to organize and implement PWP can also lead to delays in payment to the stressed beneficiaries, and the planned areas for the PWP may be affected as well. Consequently, the use of PWP as a shock responsive instrument is best suited for a slow onset rather than a rapid onset emergency and must be carefully assessed against the option of simply providing an unconditional cash injection to disaster affected households. PWP may be appropriate for the recovery phase post-emergency but only once people are in a position to contribute their labour without further damaging their recovery efforts.

to achieving resilience outcomes if designed with climate and disaster risk considerations in mind and implemented in close synergy with programmes on sustainable livelihoods, early warning systems, and financial inclusion.

To build resilience, households need access to properly sequenced support and services through an integrated and coordinated approach. This includes access to:

- **Predictable social assistance transfers** to provide stability, help manage risk, and encourage productive risk taking. Predictable transfers are key to allowing the poor to meet basic needs, budget and plan; and to take a risk on productive activities.
- **Basic social services such as WASH, education, and Mental Health and Psychosocial Support (MHPSS)** to build

Figure 5. Core elements of resilience building



Source: Adapted by authors from FAO, UNICEF and WFP, 2015

human capital and provide added stability to encourage productive risk taking. Vulnerable households have little chance of building resilience if they are sick, malnourished, illiterate or without access to adequate water and sanitation.






- **Productive support and services** to build productive assets and livelihoods that can address the root causes of vulnerability to disasters. This requires support to choose the right productive pathway for the household.
- **Coordination.** To ensure integration it is necessary to strengthen both institutional coordination and the coordination of services and information for the household through a unified social registry.

In recognition of the potential benefits, the ASEAN community has in recent years started developing disaster responsive social protection systems through direct programme experience, the development of national policies and institutional mechanisms at both

the regional and national levels. Institutionally, the link between the two areas of work is embedded in some Member States where one ministry is in charge of both social protection and disaster risk management. At the regional level, ASEAN has agreed to a range of commitments around working with social protection systems in disaster contexts. These include:

- **The ASEAN Declaration on Strengthening Social Protection, 2013, and the Regional Framework and Action Plan, 2015.** These highlight the need for social protection to be adaptive to different risks such as climate change and disasters.
- **The ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2016–2020** recognizes the role of social protection at all stages of disaster risk management.
 - **Priority Programme 3** focuses on building a disaster resilient and climate adaptive ASEAN community.

- **Priority Programme 4** is dedicated to protecting the economic and social gains of ASEAN community integration through risk transfer and social protection.
- **Priority Programme 7** commits to developing guidelines on social protection in post disaster recovery.
- **The 2016 ASEAN Socio-Cultural Community Blueprint 2025** commits Member States to strengthening social protection for people living in climate sensitive areas, and to reducing vulnerabilities in times of climate change-related crises, disasters and other environmental changes. It also promotes sustainable risk management financing mechanisms for social protection, particularly for disaster risk reduction and climate change adaptation.

	<p>Social protection: bridging the gap (FAO) Duration: 2 mins. 41 secs. https://www.youtube.com/watch?list=PLzp5NgJ2-dK6FCgdx9mqwKWqf-5yxXSuY&time_continue=123&v=0m3XjBZdZHo</p>
	<p>What role can social protection systems play in responding to humanitarian emergencies? (Oxford Policy Management) Duration: 4 mins. 06 secs. https://www.youtube.com/watch?time_continue=1&v=dHI38bb_cjs</p>
	<p>Oxford Policy Management. 2017. <i>Shock-responsive social protection systems research: literature review (2nd edition)</i>. https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-literature-review.pdf?noredirect=1</p> <p>This paper reviews recent literature on the theory and practice of shock-responsive social protection initiatives and their effectiveness. It provides an excellent summary of experiences to date across a wide range of contexts and social protection instruments.</p>
	<p>Oxford Policy Management. forthcoming. <i>Strengthening the capacity of ASEAN Member States to design and implement risk-informed and disaster-responsive social protection systems for resilience</i>. Insert web link when published...</p> <p>This report presents the results of a literature review on shock-responsive social protection systems in ASEAN Member States. It builds on and updates the global literature review carried out by OPM (detailed above).</p>
	<p>European Commission. forthcoming. <i>Social protection across the humanitarian-development nexus: a game changer in supporting people through crises</i>.</p> <p>This paper provides guidance on working with social protection in crisis contexts – particularly contexts of fragility and forced displacement. It provides an overview of global experiences and approaches to date, highlights challenges and suggest key criteria to inform decisions as to the most appropriate response options, provides guidance on key issues to consider, highlights key features and practical tips and identifies outstanding questions to inform future research.</p>

CHAPTER 2

BUILDING BLOCKS OF DISASTER-RESPONSIVE SOCIAL PROTECTION

BUILDING BLOCKS OF DISASTER-RESPONSIVE SOCIAL PROTECTION

2.1 Determining the appropriateness of social protection in disaster risk management

The decision as to whether to proceed with disaster-responsive social protection is not automatic. The most appropriate approach may be to focus on strengthening the basic social protection system while continuing to assess disaster-responsive social protection options. The more mature a social protection system is, the more effectively it will be able to contribute to disaster risk management. In some contexts therefore the most appropriate first step may be to invest in strengthening the underlying social protection system. In these contexts, applying a disaster-responsive “lens” to extension and reform efforts may be appropriate.

In all instances an assessment of options available must be made against the anticipated benefits and risks of continuing with a stand-alone humanitarian response. Several factors will affect the analysis. These include: the level of development of the social protection system; the nature and location of those covered by the existing social protection system; the nature and location of the main shocks you are interested in addressing; and the strengths and weaknesses of the existing DRM system – particularly of emergency response.

Decisions must be made against agreed criteria. These may change depending on the context. However, stakeholders commonly identify six broad areas²⁵ where they hope disaster-responsive social protection will offer improvements on stand-alone humanitarian response. These are:

- **Meeting needs:** For example, will the approach being considered offer an equal or better impact than its alternatives? Will the approach perform better in targeting compared to alternatives? Will the nature and level of support be more appropriate than alternatives?
- **Coverage:** Will the proposed approach be able to cover more people than the alternatives?
- **Timeliness:** Will the proposed approach provide assistance more quickly than alternatives? Or at a more appropriate time (e.g. scaling up support immediately before the dry or rainy season)?
- **Predictability:** Will the proposed approach offer more predictable funding to implementing institutions? Or more predictable support to beneficiaries, compared to alternatives?
- **Duplication of delivery systems and processes:** To what extent will the proposed approach support or enable more effective coordination across key stakeholders, compared to alternatives (e.g. help avoid multiple needs assessments or targeting approaches). This includes coordination across government departments and between government and non-government actors. Will the proposed approach be aligned with existing systems or require the establishment of new systems?

²⁵ These were identified through interviews with a wide range of stakeholders in a three-year DFID funded research project on shock-responsive social protection systems led by Oxford Policy Management.

- **Sustainability:** Is the proposed approach likely to lead to enhanced capacity compared to alternatives? Is it embedded in government systems?

It is not anticipated that working with social protection will offer benefits across all of these dimensions in any one instance. Rather, it is an overall positive balance of benefits that are sought, compared to alternatives. In all circumstances trade-offs will be required. For example, a response through a specific government social protection programme may reach more people and be more sustainable than a standalone emergency response but may be slower and provide a lower level of benefit.

The above six criteria (or alternatives) should be considered against different approaches being considered. The approaches include the five scale up approaches identified in Table 2, Section 1.3 (vertical, horizontal, design tweaks etc.), plus new, innovative approaches, as well as the option to continue working through a standalone humanitarian response. Response options are also not mutually exclusive and

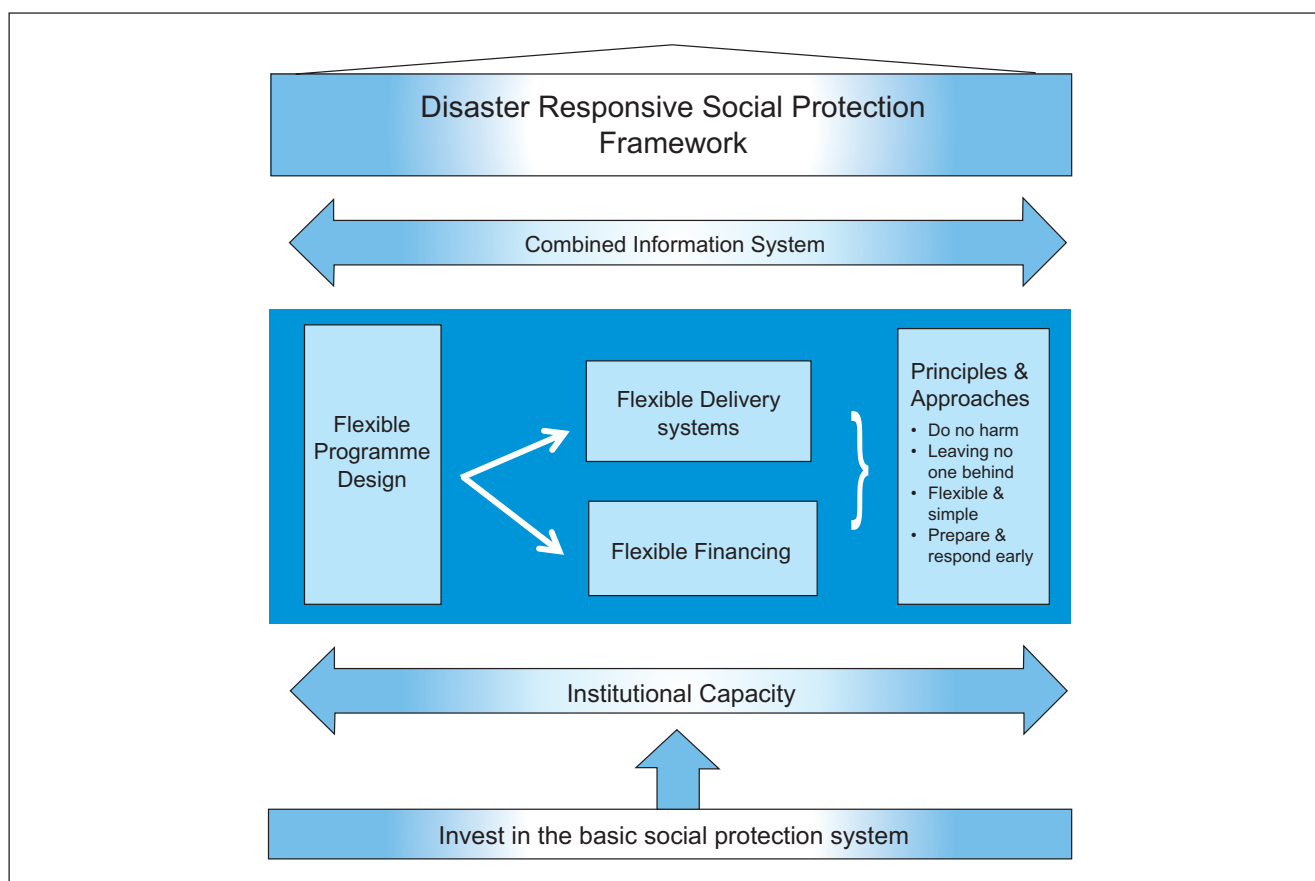
multiple approaches may be appropriate in any given context. The key point is that a careful assessment of the context, benefits and risks of different approaches is required before proceeding.

A tool to support such an assessment is included in Annex 5. The tool seeks to offer a uniform approach to guide decisions so that each country starts from a common set of criteria to inform and justify strategic decisions. Annex 3 also sets out the opportunities and challenges of different disaster responsive social protection approaches including in contexts of fragility and forced displacement.

2.2 Framework for disaster-responsive social protection

Disaster-responsive social protection is based on *five building blocks*: institutional capacity, financing, information systems, programme design and programme delivery.

Figure 6. Building blocks of disaster-responsive social protection



These building blocks are also the core building blocks of regular social protection systems. Disaster responsive social protection must therefore address each building block.²⁶

2.3 Principles and approaches

The following principles and approaches underpin disaster-responsive social protection.

Do no harm: This includes ensuring that initiatives do not damage the underlying social protection system, for example by overloading and diluting the core policy objectives or placing excessive pressure on front line delivery staff. Beneficiaries should also not be worse off from receiving emergency support through a regular social protection system than they would have been through a stand-alone emergency intervention.

Leave no one behind. The design and delivery of disaster-responsive social protection should be viewed through the lens of the SDGs and the commitment to leave no one behind. This means ensuring that all analyses and decisions consider how disaster-responsive social protection can be directed towards the most vulnerable and contribute to reducing social and economic inequalities. This approach recognizes that explicit and concrete efforts are needed to ensure that programmes and services reach poor and vulnerable groups and that actions address the many dimensions and manifestations of exclusion and marginalization beyond the economic. This also implies considering age and gender specific vulnerabilities over the life cycle.

Flexibility and simplicity: Disaster situations are challenging; the context on the ground is complex, it can quickly change, and, for rapid onset disasters, it is rare for all information to be available at the outset. This requires that assistance is designed to be as simple, realistic and flexible as possible. This also underscores the need for effective preparedness planning. As a general guide, it is best practice to work with and adapt the operational systems and processes that already exist rather than developing parallel approaches outside the regular social protection programme.

Prepare and respond early: Preparedness planning is essential for effective early response to disasters. Preparedness planning is a key element

²⁶ It must also address the DRM system to the appropriate extent within the remit of a focus on social protection systems.

of disaster risk management (DRM). DRM is a systematic approach to identifying, assessing and reducing the risks of disaster and includes a focus on preparedness planning.²⁷ Ensuring that social protection ministries and programmes are included in preparedness processes is important. Effectively introducing disaster-responsive features into social protection programmes requires a detailed understanding of the nature of poverty and vulnerability, and a clear view of the relationship and/or overlap between disaster-affected households and those supported by social protection programmes. This understanding should be achieved through robust analysis. This will help to clarify whether and to what extent the inclusion of disaster-responsive features is appropriate, and what design (if any) might be most feasible. The results of this analysis will feed into contingency planning and programme design. This may mean initiating processes explicitly focused on incorporating disaster-responsive features into existing programmes and systems, or it may mean considering ongoing social protection reforms through a disaster-responsive lens and building adaptations into broader processes. Identifying one “backbone” programme to serve as the main social protection disaster response mechanism can be an effective entry point. The programme should have large enough coverage and/or sufficiently robust delivery systems to be capable of contributing effectively to disaster response, subject to adjustments in design and delivery components.

2.4 Building blocks of disaster-responsive social protection

Each of the five building blocks is discussed in turn below.

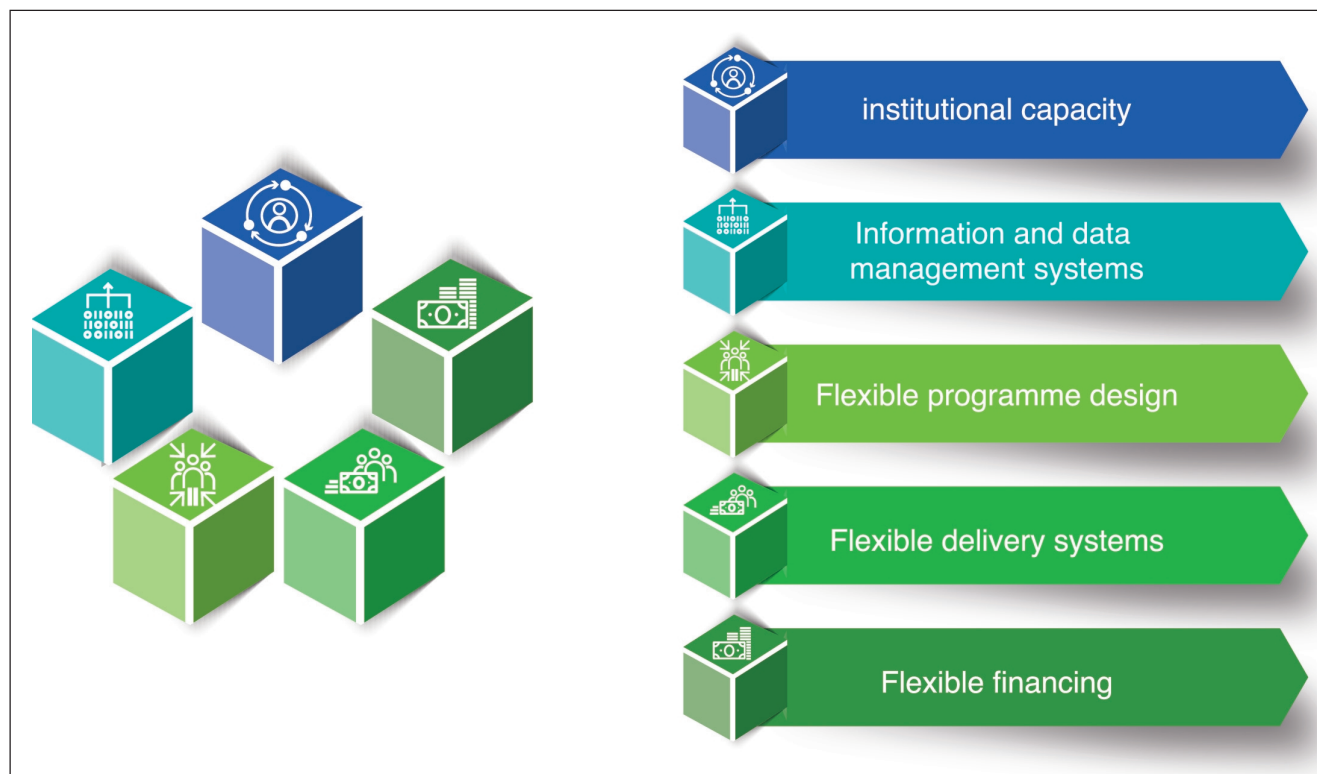
2.4.1 Institutional capacity

Key recommendations

- Ensure clear mandates, roles and responsibilities.
- Strengthen coordination.
- Build consensus for investment.

²⁷ Preparedness planning (often referred to as contingency planning) is a process, in anticipation of potential crises, of developing strategies, arrangements and procedures to address the humanitarian needs of those adversely affected by crises (Choularton, 2007).

Figure 7. 5 blocks of disaster responsive social protection



Assessing and building institutional capacities is an important cornerstone of disaster responsive social protection.

Stakeholders

- Key stakeholders include the ministries, departments and agencies across government with responsibility for social protection, disaster response, disaster forecasting and early warning.
- Development partners including ASEAN, NGOs, donors, international development banks, and UN agencies. International development partners can help finance interventions, share global learning with ASEAN Member States (AMS) and help share learning from the ASEAN region with global audiences.
- Private sector agencies including financial service providers should be involved.
- Research institutions to support learning processes including the design and delivery of appropriate, robust and credible monitoring and evaluation processes.

- Ministries of finance, planning, offices of the president and prime minister should also be involved given their influence over government priorities and investments.
- The sub-national representatives of central line ministries are key actors, as are local CSOs who will have a good understanding of risks, vulnerable populations, opportunities and constraints.

Capacities

- Ensure clear mandates, roles and responsibilities between different institutional actors.
- Ensure human and material resourcing at both national and sub-national levels. Regular social protection programmes are operationally intensive and require enough competent staff, budgets and equipment to effectively administer them.
- Identifying options for “surge capacity” of staff. Working with social protection programmes to respond to disasters adds further demands. In the Philippines after typhoon Haiyan, staff were brought in from surrounding unaffected regions to help with the scale-up of the

Pantawid programme.²⁸ Local civil society may also play a role here. Box 5 provides an example of social worker surge capacity in Colombia.

Coordination

Effective coordination between disaster risk management, social protection and climate change stakeholders is essential before, during and after a disaster.

Coordination cannot be left to happen naturally.

It requires **dedicated resources, skills and time** – and the political will to bring them together. Investing in coordination structures during normal times will pay dividends in times of natural disasters.²⁹ The basic principles for coordination for health cluster gives an essence of spirit of coordination such as inclusiveness, incentive based, and transparency of the process. Each national context is different in terms of the coordination architecture, but there is a common set of questions that should be addressed:

*i) **What is coordinated?*** Coordination is needed to avoid duplication, leverage the expertise and comparative advantage of different fields of work and encourage programming based on a common understanding of contexts, needs and priorities. Coordination issues include:

- Policy level coordination: ensuring that DRM and social protection recognize the role that each can play in contributing to each other's sectors and set out specific objectives and targets for achieving greater complementarity and coherence.
- Operational coordination: Collaboration and coordination are required to develop common operational modalities from planning, through to targeting, delivery, and monitoring and evaluation.

*ii) **How to coordinate***

- **Build awareness and understanding of one another's fields.** To cooperate effectively practitioners need to have a basic grasp of the "other" fields – be that DRM, climate change adaptation or social protection.³⁰

BOX 5

Basic principles for coordination for health cluster

The WHO Health Cluster Guide on how to coordinate health cluster includes following basic principles for coordination

- **Be inclusive.** Identify and involve all health actors including local organizations and authorities. Ensure translation at meetings, where necessary.
- **Complement and strengthen existing coordination structures** and processes at both national and sub-national levels. Avoid parallel systems.
- **Start with realistic objectives**, demonstrate value added and build trust. Hence get buy-in, then broaden the scope. Focus on the key health priorities starting with what is most feasible and expand incrementally to address other concerns as and when possible.
- **Make sure all partners have something to gain.** Benefits may include access to more/better information or expertise, opportunities for common strategizing and planning, facilitated access to the affected areas, access to resources (transport, funds etc.) from a common pool or through the identification of opportunities for sharing.
- **Learn from the past.** Find out how health sector coordination processes operated in previous emergencies in the country, what worked well and what did not, and why.
- **Ensure transparency in all cluster activities and the use of resources.** In all cluster activities and the use of resources.

Resources Health Cluster Guide: A practical guide for country-level implementation of the Health Cluster, WHO, 2009

²⁸ O'Brien, Holmes and Scott, with Barca, 2018b

²⁹ World Bank, 2015

³⁰ O'Brien, Holmes and Scott, with Barca, 2018a

BOX 6

Scaling up social care services to support refugees

In August 2015, the shooting of three Venezuelan soldiers, and subsequent closure of the border between Venezuela and Colombia triggered the voluntary return and deportation of almost 24 000 Colombians and the immigration of some Venezuelan nationals into Colombia.

The rapid influx of so many families triggered the Government of Colombia's National System for Management of Risks and Disasters to respond. This involved 15 local, regional and national agencies working together, using the existing social protection system as the basis to extend support to about 9 500 families.

Assistance was provided across the four pillars of the social protection system: health, education, housing and vulnerability. Amid concerns about community tensions, plans were developed to integrate families into host communities. Mobile units of interdisciplinary teams, including social workers were deployed to identify beneficiaries and their needs, refer them to services and monitor the support provided. "Social inclusion and reconciliation" plans included the documentation of beneficiary needs, the creation of opportunities for productive inclusion, support from social workers in housing and financial assistance, and child and adolescent protection activities. Existing programmes and services to provide psychosocial assistance, legal advice, nutritional guidance, public works and technical training for skills development were scaled up.

Key factors that enabled this rapid and effective response were the availability of a network of professional social workers and the existence of a range of social protection programmes with broad coverage and robust delivery systems. The active and permeable nature of the border meant that Colombian nationals frequently travelled between the two countries accessing markets, job opportunities and services in both countries; at the time of the crisis, about 45 per cent of beneficiaries were already registered on one or more Colombian social protection programme, making the rapid scale up of services easier.

Source: European Commission, forthcoming

- **Pro-active, systematized coordination through formal structures.** Given the large number of players, there should be clear rules on who does what. The "appropriate" institutional setup varies across countries, but having a clear delineation of tasks and functions and accountabilities laid out before the disaster is important, especially clarity on which agency has overall leadership in the disaster response and recovery phases, and on the interface between national agencies and sub-national authorities.

Role of other sectors

Although collaboration and coordination between social protection, DRM and climate change adaptation actors are at the heart of disaster-responsive social protection, other sectors of government have an important role to play too. As an overarching point, during preparedness activities, collaboration around the development of joint policies, strategies and/or action plans that

clearly set out the complementarities and overlaps between the sectors can be an important means of moving the disaster-responsive social protection agenda forward. In all contexts, as part of preparedness activities or post-disaster needs and impact assessments, a wide range of sectors should be involved, contributing to the design and execution of assessments and the development of a joint vision, response analysis and, where relevant, design. More specific illustrative examples are set out in Table 3 below.

Commitment

Building consensus for investment in disaster-responsive social protection is essential. This involves articulating the links and complementarities between social protection and disaster risk management, and making the case for how a disaster-responsive social protection system can protect social and economic investments and help to prevent their reversal as a result of disasters and stresses as well as provide support to poor and vulnerable individuals and households.

Table 3 Role of other sectors in disaster-responsive social protection

Sector	Linkages	Indicative roles and responsibilities
Health and education	<ul style="list-style-type: none"> ● Fee waivers for health and education services as well as scaled up school feeding programmes can be important disaster-responsive social protection mechanisms. ● Cash transfers, whether conditional or unconditional, can increase access to basic health and education services for recipient households, as can in-kind transfers such as food. Where these are scaled up in a disaster this will increase demand for basic services. ● Cash-plus social protection programmes may include explicit links to education and health services including nutrition monitoring. These may be introduced or scaled up in the event of a disaster. ● Front line social protection staff (either social workers or staff with a broader remit) may play an active role in referring beneficiaries to health and education services, thereby increasing demand. 	<ul style="list-style-type: none"> ● Coordination between health and education sector staff and social protection, DRM and CCA actors is required in all contexts to determine the appropriateness and added value of sector specific social protection interventions such as health or education fee waivers to respond to a disaster, inform design decisions and support implementation, monitoring and learning. ● The anticipated increase in demand for health and education services as a result of social protection interventions must also be carefully considered and coordinated across sectors. ● Liaison around monitoring and enforcing or waiving conditions for conditional cash transfers (CCT) in response to a disaster is also required.
Agriculture, livestock, fisheries	<ul style="list-style-type: none"> ● In-kind transfers or subsidies on items such as agricultural supplies or food transfers can be important disaster-responsive social protection mechanisms. ● Cash and food transfers can increase demand for agricultural, fisheries or livestock inputs such as equipment or veterinary supplies. ● Cash-plus social protection programmes may include explicit links to agriculture, fisheries or livestock services. These may be introduced or scaled up in response to a disaster. ● Public works programmes – whether cash or food for work – will often include works on community natural assets such as land and water resources. Such programmes may be introduced or scaled up in response to a disaster. 	<ul style="list-style-type: none"> ● Coordination between agriculture, livestock and fisheries sector staff and social protection, DRM and CCA actors is required in all contexts to determine the appropriateness and added value of sector specific social protection interventions such as agricultural input transfers, food transfers or subsidies, to respond to a disaster, inform design decisions and support implementation, monitoring and learning. ● Any anticipated increase in demand for services as a result of social protection interventions must also be carefully considered and coordinated. ● Agriculture, fisheries and livestock sector staff will have an essential role to play in supporting the identification, design and delivery of public works involving natural assets.
Infrastructure	<ul style="list-style-type: none"> ● In the post-disaster and recovery phase of an emergency, public works programme focusing on the construction of public infrastructure such as road (re)construction or water and sanitation facilities may be appropriate. 	<ul style="list-style-type: none"> ● As outlined above.
Social welfare	<ul style="list-style-type: none"> ● Social welfare services are a core part of the social protection systems in AMS. A comprehensive and effective social welfare system can help build resilience before, during and after disasters. The stresses brought about by disasters and other shocks can lead directly to increases in child abuse and neglect, gender-based violence and psychological damage. Although social care services alone are not enough to build resilience, they should form a critical part of multisectoral efforts. Scaled up basic social welfare services for vulnerable groups such as children, women, the elderly and people with disabilities are an important means of addressing social risks and vulnerabilities arising from disasters. 	<ul style="list-style-type: none"> ● Social workers are often the front line service delivery staff for social assistance transfers too and can play an important role in identifying complex needs, referring affected people to appropriate services and in case management. ● Identifying options and the feasibility of building “surge” capacity into social welfare services – e.g. for the rapid deployment of additional social workers in the event of a large-scale natural disaster – is important.

BOX 7

Coordination between social protection and DRM

Disaster-responsive social protection can be seen as part of a broader effort to bridge the humanitarian–development divide by providing a seamless continuum of support to people in need. The *humanitarian–development nexus* refers to the concept of reinforcing the links between the humanitarian and development sectors at all stages of a crisis or disaster, and increasing the complementarity of their actions, to address the root causes of crises and reduce needs over the longer term. It requires a greater focus on disaster risk reduction, preparedness and long-term planning.

In order to ensure strong coordination, coordination structures should aim to:

- develop a joint vision, action plans and identification of collective outcomes;
- conduct joint impact and needs assessments involving humanitarian and development actors;
- use assessment information to develop one response plan and one targeting process and maximize existing registry information from social protection programmes as a starting point; and
- prioritize collaborative implementation and monitoring through multi-year approaches – these must look beyond the initial disaster and seek to leverage the comparative advantage of a diverse range of actors including the private sector.

Operationalizing the nexus requires new partnerships across government and between development partners. Crucially, it requires more flexible financing that enables a seamless transition of actions to address acute and chronic vulnerabilities.

Sources: Exploring the humanitarian-development nexus, *Voice out loud*, 26, November, 2017. [online]. [Cited 15 March 2018] <https://reliefweb.int/report/world/voice-out-loud-newsletter-issue-26-exploring-humanitarian-development-nexus>; The humanitarian and development nexus. InterAction. 2016. *Foreign Assistance Briefing Book*. [online]. [Cited 15 March 2018] <https://www.interaction.org/FABB2016/humanitarian-and-development-nexus>

Strengthening the country-level evidence base to inform the consensus building process may be required. Efforts should include a focus on the highest levels of government and ministries, departments and agencies closest to the centre of government, such as finance and planning, as well as at sub-national levels. Relationships are key. Where social protection, DRM and CCA actors already have pre-existing relationships and a basic working knowledge of each system and approach, responses are likely to be more effective.

Policies and legislation

The policy framework in some ASEAN countries already reflects, to a degree, the complementarities between social protection and disaster risk management, though the level of alignment varies between countries. Best practice involves building greater coherence between the relevant policy areas and explicitly providing for the use of social protection programmes and systems in response to disasters and building resilience. This provides a clear basis for action.

2.4.2 Information and data management systems

Key recommendations

- Recognize the importance of integrated information system from different information sources and secure monitoring and evaluation for further development and improvement of the system.
- Strengthen both early warning and social protection information systems prior to a disaster and develop clear areas of linkage.
- Develop common means of assessing and targeting, building on social protection information systems including social registries.
- Jointly develop triggers for scaling up social protection instruments with both humanitarian and development stakeholders.

Faster response time to disasters is possible if relevant information systems are strengthened and incorporated into disaster risk management and contingency preparedness plans before a disaster strikes. Identifying households that may be likely to need assistance in the event of a disaster can save significant time in labour-intensive targeting processes after a

disaster. The ultimate aim is to have one assessment and targeting process to feed into one sequenced response plan that includes both social protection and humanitarian assistance.

Stakeholders are recognizing that, where a social protection system has pre-positioned data, it may be able to contribute to better preparedness for disasters – and to improve shock-response. Recent years have also seen a rapid acceleration in integrated approaches to data and information management for social protection, in order to provide a coordinated and harmonized response to the multi-dimensional vulnerabilities faced by individuals across a life-cycle.³¹

Faster response time can be enhanced through a “no regrets” approach. “No regrets” strategies are enacted early without being certain about all dimensions of the impending hazard. The aim is to respond as early as possible to hazards before the impact intensifies. If the disaster does not develop, the scaled up social protection programmes will still benefit resilience building as it targets the most vulnerable.

Household level information is key to the identification of *who*³² should be targeted by disaster responsive social protection and *how* they can be practically identified.³³ Without this information, it is very difficult to use social protection systems to respond in a timely fashion to disasters. This includes an understanding of their risk exposure to natural hazards and climate change, and the existing social protection coverage. Social protection programmes often aim to reach those who are chronically poor and vulnerable in various, multi-dimensional forms. Humanitarian interventions aim to reach those who are most in need of assistance following a crisis or disaster. Consequently, the different information systems must be coordinated to reach a common view on eligibility for response from all actors.

In most ASEAN countries, information is gathered from different ministries based on their mandates. While there are a certain risks to allow access information from several ministries, consolidated information system supplemented by other sources

will provide quick and real data with beneficiaries and monitoring and evaluation strengthen the system for further development and improvement.

Social protection information systems

Several types of information and data management systems underpin social protection programmes. These include standard management information systems (MIS) and registries, and risk and vulnerability assessments and baselines. An MIS is a system that transforms the data that is retrieved from a programme database into information that can be used for efficient and effective management. A programme MIS serves different functions³⁴ with a core function being registration.

A registry can be a useful starting point for developing harmonized registry information that can be used to target both social protection and humanitarian interventions. There are several types of registries:³⁵

Chronic poverty and vulnerability data that reflect socio-economic status is a central element for both social protection and humanitarian response. Understanding this data is essential for effective targeting. It is important to ensure that if this data is stored in a registry the data used is fit for purpose. For example, proxy means test surveys generally capture “static” variables such as asset holdings, shelter conditions or education status of household members. Categorical targeting processes capture information on demographic features such as age or gender. They are not conceived as tools to detect sudden changes to well-being and livelihoods.

- The ILO report on the state of social protection in ASEAN³⁶ highlights that most social protection programmes are poverty targeted including the flagship programmes in Indonesia, Thailand, Singapore, Malaysia, and the Philippines. Many use proxy means tests alone or in combination with community

³¹ Barca and O'Brien, 2017

³² Both at a geographical and household level.

³³ This information is also necessary to develop disaster risk financing strategies.

³⁴ These include: identification and registration of applicants; eligibility determination and enrolment; authentication and compliance monitoring (if applicable); managing payments; complaints and appeals; M&E and supporting on-going management and planning. See Barca, 2017.

³⁵ There are risks with registries that must be considered including protection/security risks and the importance of data privacy, especially in conflict contexts.

³⁶ Ong and Peyron Bista, 2015

Table 4 Types of registries

Types of registry	Programmes covered	Description
Single beneficiary registry	Single	<ul style="list-style-type: none"> Contains information only on beneficiaries of specific social protection programmes. Tracks data on beneficiaries such as payments, case management, conditionality monitoring, and grievance and redress via management information systems.
Integrated beneficiary registry (“unified”)	Multiple	<ul style="list-style-type: none"> Contains the same information as a single beneficiary registry but holds this information for a variety of programmes.
Social registry	Single	<ul style="list-style-type: none"> Contains information on <i>all or a large portion of households in a community</i>, whether or not they are deemed eligible for, or are ultimately enrolled in, a social protection programme. Data reflects measures of socio-economic status and ideally where households are geographically located.
Integrated social registry (“unified”)	Multiple	<ul style="list-style-type: none"> Contains the same information as a social registry for multiple programmes. Serves as a platform to support access to benefits and services that can extend well beyond the sphere of social protection.

Source: Adapted by authors from Oxford Policy Management, forthcoming.

targeting processes.³⁷ In addition to poverty-targeted schemes, there are a number of categorical/universal programmes in the region. This includes school meals in most countries, as well as social pensions in countries such as Brunei Darussalam, Thailand, and Viet Nam. There are also programmes that are geographically targeted and there are schemes that combine different types of targeting mechanisms: poverty, categorical, geographical, and community-based.³⁸

The usefulness of these different targeting mechanisms in disaster response will depend on the correlation between the eligibility criteria and the effects of the disaster. In short, the critical point is that only when vulnerability data are combined with information on a population’s exposure to various hazards and disasters can decision makers measure, or predict, the impact of the disaster on poor households’ access to food and income and basic services.

In the ASEAN region, the development of social protection information systems has been growing, although there are still only a few countries with systems that have wide coverage. This is also an opportunity to establish clear linkages between social protection and DRM systems as early as possible in the system design and development process.

Disaster risk management information systems

Disaster risk management information systems involve understanding where natural hazards are most likely to occur and the anticipated frequency, severity and speed of onset; where people (or assets) are located in relation to those hazards; and the means – monetary or social – that people have at their disposal to absorb the effects of the hazards. Disaster risk data should ideally include projections/modelling of future changes in hazard risks as a result of climate change and other risk factors. Figure 7 is example of risk information which require close collaboration with national hydrometeorological agencies, disaster risk

Figure 8. Core risk information for disaster-responsive social protection

Geography	Crisis Category	Trigger: Probability Cone; Flood forecast; NDVI; SPI; etc.	Household Coverage	Amount of Transfer	Frequency	Duration	Source of Funding
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³⁷ OPM, forthcoming

³⁸ Ibid.

management institutions, and climate change adaptation networks.

Early warning systems (EWS) provide alerts regarding the predictability and severity of hazards (Box 8). EWS monitoring information comes from the community, government institutions, meteorological offices, the private sector, and other information stakeholders. In best practice examples, an EWS systematically integrates hazard monitoring and forecasting, disaster risk assessment, communication alerts, and preparedness activities. An effective EWS has two-way communication flow involving local communities, governments, donors and businesses to ensure the alert reaches the people in need. Most importantly, best practice in EWS includes the capacity to measure the potential impact of a hazard event including numbers of people affected; the food and/or cash deficit faced; when and for how long aid is required; and how much aid in total needs to be delivered. Credible early warning combined with needs assessment is critical for prompting timely action to reduce risks. Just as critical as the ongoing work in EWS is the need to address exposure and vulnerability to **future risks**. This requires combining databases on socio-economic status with hazard forecasting to measure future disaster risk (where and which population groups most at risk), and to prepare adequately for likely hazards such as climate change.

BOX 8

What is an early warning system?

An early warning system (EWS) provides alerts regarding the predictability and severity of hazards. The information that could lead to an alert may come from the community, government institutions, meteorological offices or other stakeholders. In best practice examples, an EWS systematically integrates hazard monitoring, forecasting and prediction, disaster risk assessment, communication and preparedness activities, systems and processes. It alerts individuals, communities, governments, businesses and others to a hazardous event, allowing them to take timely action to reduce risks.

Disaster risk and socio-economic information can be combined to develop “triggers” for when regular social protection interventions should be scaled, if appropriate, so that responses can be designed for different magnitudes of disasters. When developing

triggers, it is often necessary to differentiate between rapid onset (e.g. flooding) and slow onset disasters (e.g. drought) as each can require a different approach to triggering action.³⁹ These two types of triggers are automatic triggers and expert-led triggers.

- **Automatic triggers.** These refer to the use of one or more triggers for action that do not need additional interpretation or discussion to lead to action. The triggers are aligned to pre-defined thresholds of risk⁴⁰ ranging from normal to emergency. Once the trigger indicates that the threshold of the set level of danger is crossed (for example, more than “x” mm of rainfall has fallen within 24 hours, or river levels have risen “x” feet within 24 hours), then the agreed action is automatically implemented.

This type of action is usually defined in a contingency or advanced planning process before any disaster occurs. The advantage of an automatic trigger is that it reduces the time required to interpret and discuss the implications of the data, which can often lead to delays (and reduces the likelihood of protracted negotiations about when a disaster should be declared). These triggers are usually agreed at a technical level through scientific or empirical instruments before an event to ensure that the threshold for a trigger is “objective”. Automatic triggers are more common in fast onset disasters, but their use in slow onset disasters is growing, especially with the greater use of remote sensing.⁴¹

- **Expert-led triggers.** These refer to combining available data with expert judgement. The set level of risk is again defined as thresholds (e.g. levels 1–3) and a range of trigger indicators are aligned with each threshold level. However, instead of triggering automatic action, the data is discussed by a group of experts who interpret the data and decide if action is required.

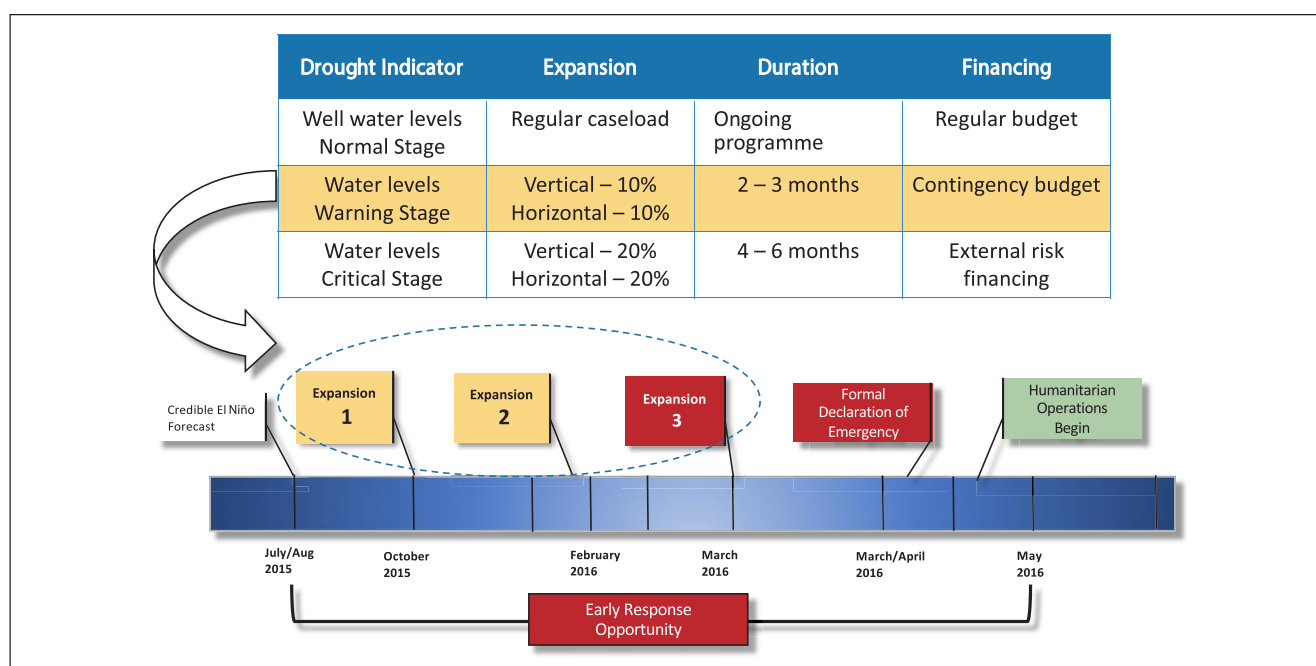
This is more common in slow onset disasters where earlier warning is often associated with coarser data earlier on. In the case of weather modelling, this can also be combined with

³⁹ ODI, 2016

⁴⁰ These require regular re-calibration and updating.

⁴¹ The HSNP in Kenya uses automatic triggers aligned with NDVI (satellite imagery for the Vegetation Condition Index).

Figure 9. Example of triggering an early response in a social protection programme



predictive forecasting, which presents scenarios with a percentage of probability that it will occur (e.g. stating that the coming El Niño event has a 30 per cent probability of leading to drought conditions, or that there is a 30 per cent probability of exceeding the threshold of 20 mm of rainfall for flood conditions).

The following diagram shows how a hypothetical response to the regional El Niño event in 2015/16 could have scaled up existing social protection programmes based on a pre-defined set of well water level triggers.

Combining or simultaneously assessing data from socio-economic and social protection information systems with that from CCA and DRM systems can help determine the current and future exposure to hazards of the most vulnerable groups. This can then be used to identify potential beneficiaries should a disaster strike, set the parameters for scale up, and define the contingent liability for financing.

Key considerations

- Investment in strengthening information systems must take place before a disaster occurs in order to ensure that the information systems are sufficiently robust to provide useful information for the development of disaster responsive social protection programmes.

- The cost–benefit calculation of what data collection approach to take in the SP system will be influenced by the likely magnitude of future disasters. The higher the risk of large- and small-scale future disasters, the more comprehensive an information system should be.⁴²
- Policymakers must also consider the risk of exacerbating exclusion errors by using a single registry for targeting a range of programmes and services. All surveys have in-built methodological errors. For example, proxy indicators designed to correlate with poverty status are often fraught with errors⁴³ and global evidence shows that community-based targeting is subject to its own inherent limitations and risks, including those related to lack of transparency, discriminatory practices, exclusion of the poor considered “undeserving”, and elite capture.⁴⁴ Household income can fluctuate dramatically from month to month, yet registries are often updated only annually at best. Inaccuracies are intensified when data gathering and entry errors are

⁴² World Bank, 2015

⁴³ For example, research conducted in 2016 analyzing the performance of a range of targeting methods found that “standard proxy-means testing helps filter out the non-poor, but excludes many poor people, thus diminishing the impact on poverty... either a basic-income scheme or transfers using a simple demographic scorecard are found to do as well, or almost as well, in reducing poverty.” (Brown, Ravallion and van de Walle, 2016: Abstract)

⁴⁴ McCord, 2013

considered. Thus, the often high levels of inaccuracies in many registries that underpin social protection targeting can further exclude those who are already marginalized and “left behind” when used for identifying beneficiaries for multiple programmes.⁴⁵

- Access to information issues must be addressed from the onset. This includes both data privacy issues and political economy dynamics. Increasingly, information is a powerful tool that can carry risks that need to be clearly managed. Establishing data access and protection protocols is essential so that these issues do not slow response and penalize affected communities.
- As in overall coordination, decision makers should send clear messages to social protection and DRM/EWS information system providers that collaboration and harmonization is a priority and critical for a rapid and effective response to disasters.

Learning: Disaster-responsive social protection is a relatively new field of work. Experience to date is promising, demonstrating that significant effectiveness and efficiency gains can be achieved through the approach. However, there are still evidence gaps and more needs to be understood about exactly how to work with social protection in different disaster contexts. Regular social protection programmes generally collect information on long-term changes to poverty and vulnerability status. The monitoring and evaluation framework for the social protection programme will therefore need to adjust to accommodate both the key questions and indicators that are required for a humanitarian response (e.g. did the intended people receive the right amount of transfer on time, were there any changes in prices, supply and demands, were people able to collect and use their transfer safely, without social, cultural or other barriers, any unexpected benefits or risks?) and, ideally, indicators that will enable a comparison to be made between the performance of the disaster-responsive social protection intervention and traditional humanitarian response should be used. Next Section outlines some suggested key metrics against which performance may be assessed. It will be important to understand both the short- and long-term benefits, including cost-benefits, of

⁴⁵ Kidd, 2017

disaster responsive social protection such as impacts (positive or negative) on the underlying social protection system and changes (positive or negative) to high-level support for social protection generally and disaster responsive social protection.

2.4.3 Flexible programme design

Key recommendations

- Assess socio-economic data, social protection coverage and disaster risk data to determine who should be targeted by disaster-responsive social protection.
- Consider transfer values with reference to several metrics outlined below. Compromise and trade-offs are likely to be required.
- Build links to other programmes and services where appropriate.
- Design and communicate an exit strategy.

Social protection programme design includes the following four components: eligibility criteria; transfer values; programme linkages and; the exit strategy. Developing disaster-responsive social protection therefore requires attention to each of these components.

Eligibility criteria

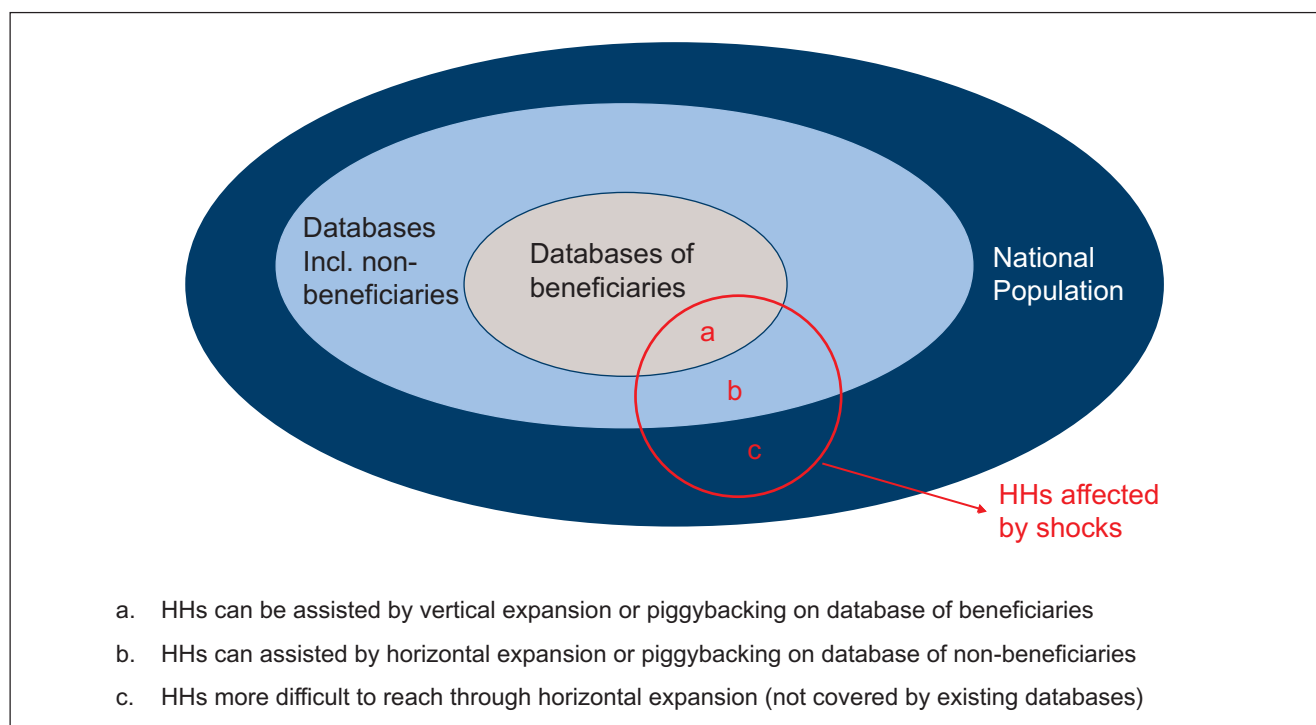
This refers to **who the assistance aims to reach**. It involves consideration of priority geographical areas for support and priority households or individuals.⁴⁶

Socio-economic data, existing social protection coverage data and disaster risk data should be assessed. When a disaster has already occurred, this process will involve overlaying newly emerged humanitarian needs and impact assessments with existing social protection programme data.

The greater the overlap between social protection coverage and the areas, individuals or households most exposed to natural hazards, the more useful working with social protection is likely to be.

⁴⁶ O'Brien, Holmes and Scott, with Barca, 2018a

Figure 10. Overlaps between social protection coverage, the national population, and disaster-affected population



Source: OPM, 2015 and Barca, 2017

Transfer values, frequency and duration

Because regular social assistance programmes aim to supplement the income of target groups and have broader coverage and longer timeframes than humanitarian assistance, **they (regular social assistance programmes) tend to have lower transfer values than humanitarian assistance.**⁴⁷ In humanitarian assistance, the transfer can be expected to cover up to 100 per cent of a household's total needs.

Generally establishing transfer values in humanitarian responses will be informed by consideration of:

- i) the objective of the intervention;
- ii) the income a household requires to meet their needs in line with humanitarian standards;
- iii) beneficiaries' existing capacities and what other assistance will be provided, including through the regular social assistance programme;

⁴⁷ Political economy factors also heavily influence social transfer values – including concerns about affordability, creating dependency, and creating social tensions between other poor non-beneficiaries.

- iv) the transfer values, frequency and duration of other humanitarian cash transfers; and

- v) affordability for the government and/or its funding partner.

The rationale for the transfer value, frequency and duration should be clear and well communicated.

However, compromise and trade-offs are required. For example, where a top up of funds is being provided to existing social protection beneficiaries (vertical scale up) a decision must be made as to whether the value of the regular transfer should be included as part of the total benefit calculation, or whether there should be more direct alignment with the transfer value, frequency and duration of standalone humanitarian transfers being implemented in the same locations by other actors.⁴⁸

In the Philippines, during the response to tropical typhoon Haiyan, common transfer guidelines were produced that supported greater harmonization of relief efforts.⁴⁹ Political considerations will also play a part in many cases.

⁴⁸ OPM, forthcoming

⁴⁹ Smith, Scott, Luna and Lone, 2017

BOX 9

Working through multiple social protection instruments: Fiji's response to tropical cyclone Winston

Tropical cyclone Winston hit Fiji in 2016, affecting about 60 per cent of the population – more than 540 000 people. The value of physical damage and economic losses was estimated at almost USD 1 billion – more than 20 per cent of the country's Gross Domestic Product (GDP).

The humanitarian response was quick and led effectively by the government. Working with partners, the government put in place several responses that built upon the national social protection system.

- Existing social assistance schemes were used to rapidly and efficiently disburse the equivalent of USD 9.8 million, providing immediate assistance to households and injecting much needed cash into the economy. A follow-up food voucher payment of USD 2.3 million for two months was developed by the government and channeled through the WFP to social assistance recipients.
- Fiji's largest social insurance scheme – the National Provident Fund (similar to a pension scheme) – allowed affected members to withdraw cash nine days after the disaster. Active members were allowed to withdraw up to USD 493, plus an additional USD 2 469 if they could present proof of having a house in the affected area. Although the scheme is available only to formal sector workers, within the first two months of the disaster, more than 170 000 withdrawals were approved, disbursing about USD 123 million. This represented a cash injection of about three per cent of GDP into the economy (though with implications for future pension benefits).

A World Bank evaluation of the responses delivered through the social protection system found:

- 99 per cent of payments were used for essentials – food, shelter, school and medical supplies;
- households receiving the social assistance top-up transfers were quicker to recover;
- nearly all beneficiaries reported receiving the correct amount;
- markets were re-established to near pre-cyclone levels within four weeks; and
- the in-kind humanitarian assistance provided effective immediate assistance to all affected.

Source: European Commission, forthcoming

Linkages to other assistance

The needs of affected populations in disasters can be complex, combining chronic, pre-existing vulnerabilities with new, transient needs. An increasing body of evidence demonstrates that the provision of **cash together with other interventions can lead to improved household impacts** compared to the provision of cash alone.⁵⁰ Such linkages might be in the form of referrals to existing basic services or in the form of social and behaviour change communications on issues such as nutrition or sanitation that are developed as a core component of a social protection programme – “cash-plus” interventions.⁵¹ Alternatively, existing cash-plus

interventions may be “design tweaked” to adjust the focus before or following a disaster to increase relevance to the context. This might include increasing the emphasis on hygiene and sanitation messaging in flood contexts.

One stop shops that facilitate access to a range of social services may be helpful here, if established as part of the social protection system prior to a disaster. The Social Services Delivery Mechanism in Cambodia and the Single Window Service in Indonesia are examples.⁵² Similarly, a professional labour force of social workers with adequate skills, capacities and numbers may contribute to a disaster response through identifying complex needs and arranging referrals.

⁵⁰ See Roelen, Devereux, Abdulai, Martorano, Palermo, and Ragno, 2017

⁵¹ Cash-plus programmes can be characterized as social protection interventions that provide regular transfers in combination with additional components or linkages that seek to augment income effects. This is done either by inducing further behavioural changes or by addressing supply-side constraints (see Roelen, Devereux, Abdulai, Martorano, Palermo, and Ragno, 2017)

⁵² OPM, forthcoming

BOX 10

Social protection systems across ASEAN respond to economic crisis

The food, fuel and financial crises of 2007-2008 highlighted the vulnerability of many sections of the population in the ASEAN region. All Member States experienced a significant downturn in growth, with some falling into recession. Governments across the region took a series of measures to address this, including scaling up social protection schemes.

In Cambodia, Lao PDR, and Malaysia existing school feeding programmes were scaled up to help avoid children being withdrawn from school. In Thailand, free access to basic services was extended to wider groups, for example 12–15 year olds were included in the free education policy.

In Indonesia, the Keluarga Harapan social assistance programme was scaled up. New beneficiaries were added (horizontal scale up) and the level of benefits increased (vertical scale up).

Malaysia, Singapore, Thailand and Viet Nam also adjusted their social assistance and social insurance systems:

- in Malaysia there was a reduction in required employee contributions to the Employees Provident Fund from 11 per cent to 8 per cent for almost two years;
- in Singapore, cash supplements were provided to a range of vulnerable groups in response to the crisis, including a doubling of a “goods and services tax credit” focused on the elderly and low-income households;
- in Thailand unemployment insurance was extended from six to eight months for formal sector employees under the Social Security Fund scheme; and
- in Viet Nam the government approved a 15 per cent increase in pensions.

Source: Oxford Policy Management, forthcoming

Exit strategy

An exit strategy must be designed and communicated, so it is clear that the level of assistance (transfer size, or caseload) will be scaled back to pre-disaster levels after an agreed period. Consideration must be given to what happens to beneficiaries once the humanitarian intervention finishes. This may include transitioning beneficiaries on to longer-term social protection programmes, livelihoods support or other interventions.

2.4.4 Flexible delivery systems

Key recommendations

- Consider simplifying existing registration and enrolment processes.
- Ensure that payment mechanisms are accessible and secure for beneficiaries, can continue to operate during a disaster, and ideally are able to absorb and disburse multiple sources of funds.
- Ensure that programme communication and grievance and redress systems are accessible to disaster-affected populations.

Delivery systems are the tools, processes and administrative means that support delivery

of a programme on the ground. Programme delivery systems involve registration and enrolment, payment, grievance and redress and communication.

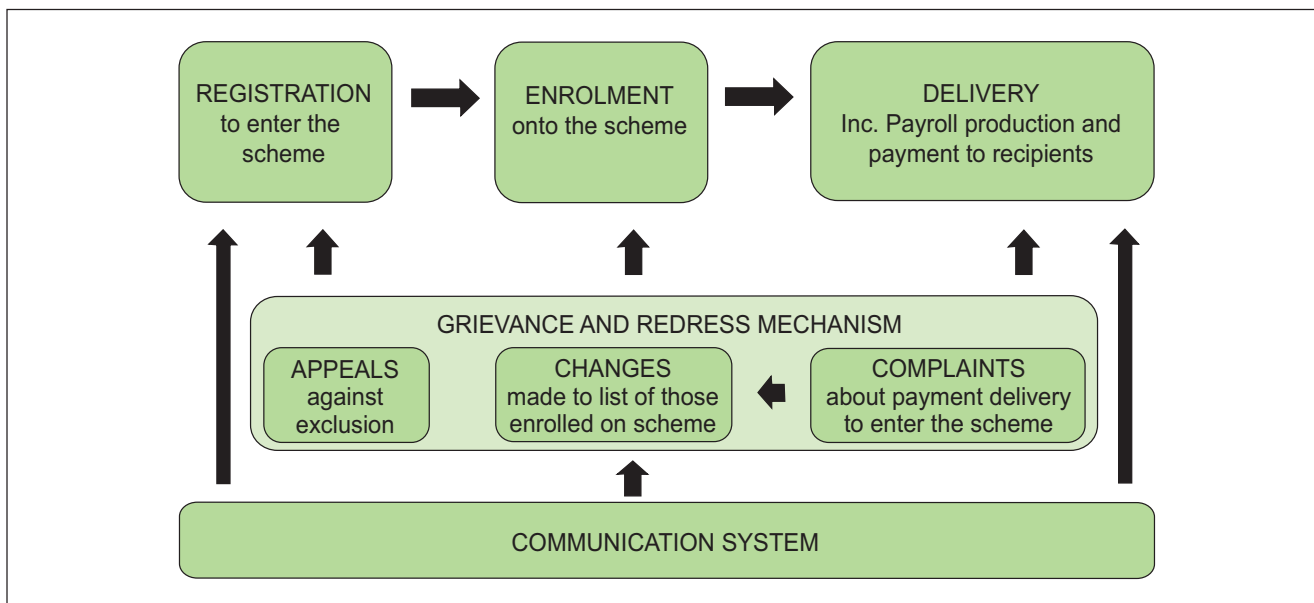
An advantage of using delivery systems that are already in place is that they can allow a faster response with greater coverage, through systems that many community members are already familiar with.

The more effective, automated and disaster resistant delivery systems are before a disaster the better they can be used during a disaster. This underscores the importance of investing in regular times and strengthening delivery systems with disaster considerations in mind.

There is **a risk of overburdening delivery systems**. It is critical to consider and **strengthen their capacity** where needed. Success requires that processes and systems:

- are sufficiently accurate, reliable and robust in normal times;
- can continue to function during or after a disaster;

Figure 11. A typical operational cycle for a social assistance programme



Source: Adapted by authors from Kidd and Chirchir, 2015

- are coordinated with and accessible to humanitarian and social protection actors; and
- have the capacity to take on any additional tasks required for a disaster response.⁵³

Registration and enrolment

Registration is the administrative implementation of a programme’s eligibility/targeting policy. It involves identifying those individuals or households who are to benefit from the programme. **The information systems outlined in section 2.4.2 are one possible route to identifying eligible beneficiaries.**

In instances where the nature of disasters is broadly predictable, where their negative impacts are likely to be felt by a clearly identifiable population group and where the disaster itself does not significantly alter the “ranking” of vulnerability of households, one preparedness action might be to pre-enrol a caseload of households vulnerable to disasters in a social protection programme before a disaster occurs.⁵⁴

⁵³ Smith, 2017a

⁵⁴ Good communications systems are required to support this approach. In the Kenyan HSNP programme, the pre-enrolment of beneficiaries including opening bank accounts that would be activated during severe droughts led to confusion as those who had been pre-enrolled expected that they would receive immediate benefits.

After a disaster, **registration and enrolment processes may need to be simplified.**

A balance between speed and accuracy is likely to be required. The priority is always, of course, to make sure that households who are most in need of support are the ones who receive it. Remembering the principle of “leave no one behind”, there is little point in making use of an existing beneficiary list, or list of pre-identified households, simply because it seems “fast”, if the people on that list are not those most affected by a disaster. The reason when it might become relevant would be if those people form *part* of the caseload of affected people, and if the selection of households from that list does not add inefficiencies to procedures for identifying other disaster-affected households.

Payment mechanisms

Delivering money regularly, reliably, accessibly and securely is fundamental to the achievement of disaster responsive social protection objectives. Considerations for payment mechanisms must include accessibility and security, robustness and integration.

Accessibility and security: Payments should be disbursed in a way that is accessible and secure for beneficiaries. This can be influenced by the distance to pay points, financial and digital literacy of the population, attitudes and capacities

BOX 11

Working with civil society to support programme registration

In Gunungkidul District, Indonesia, a national civil society organization – the YAKKUM Emergency Unit – undertook community-led risk mapping to support the local government to identify vulnerable households in ten villages. The data were endorsed by village authorities and helped in updating the government beneficiary list for its conditional cash transfer programme.

In the Philippines following typhoon Haiyan a large revalidation exercise was needed to track down displaced households and replace documents to ensure they could receive their regular payments, to inform beneficiaries of the extra emergency top up payments, and to replace the named carers for newly orphaned children. The Department of Social Welfare and Development partnered with community-based organizations, such as Damayanng Maralitang Pilipinong Api (DAMPA), a federation of 245 organizations led by women, to revalidate beneficiary lists and communicate to beneficiaries.

Source: FAO, DSWD, ILO, UNICEF, UNISDR, and WFP, 2019

BOX 12

Disaster responsive social assistance in Viet Nam

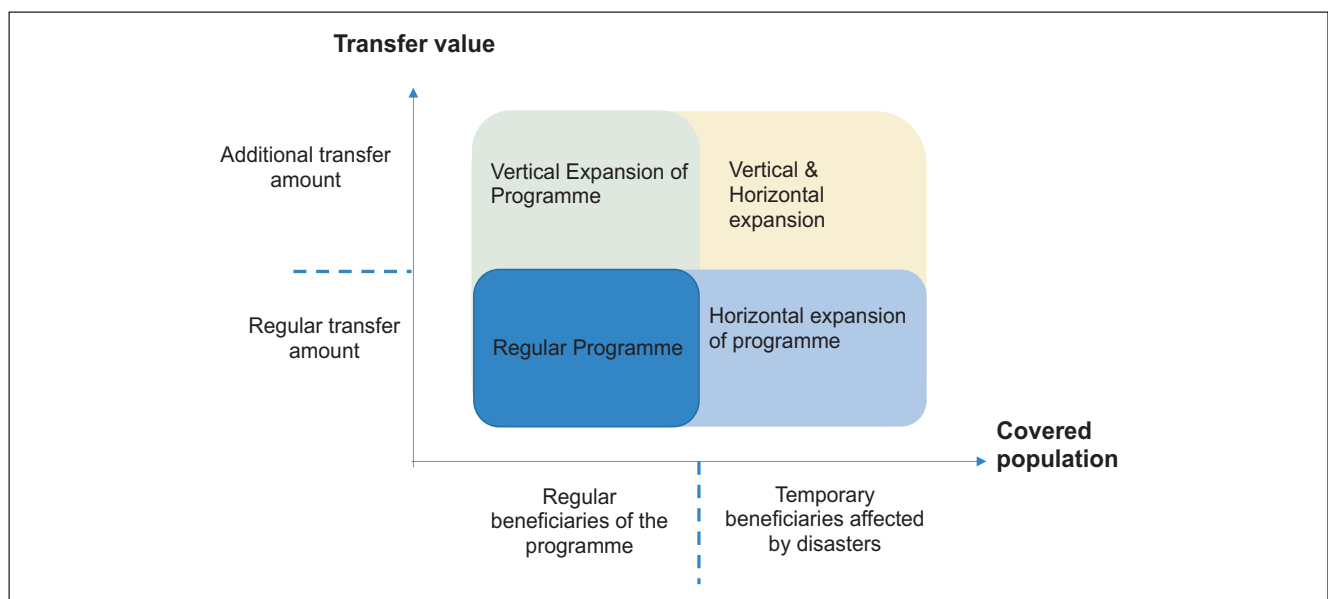
In Viet Nam, the World Bank is working with the government to pilot a disaster-responsive social assistance system in one province. As a part of the Can Tho Urban Development and Resilience Project, the objective is to ensure post-flood support to affected households through the existing social assistance system. This includes:

- improving the capacity of the city to provide timely and transparent disaster-responsive social protection;
- strengthening communication and coordination in the community, supporting the improvement of intra departmental effectiveness of the relevant government department, as well as its coordination with other departments;
- strengthening information systems through conducting a vulnerability mapping to identify the most vulnerable to the impacts of flooding in Can Tho and adjusting the existing social assistance social registry and MIS to capture this information; and
- linking the disaster-responsive component with risk financing measures, to protect the city's long-term fiscal balance.

The project is currently at the early stages though it is hoped that lessons learnt will inform disaster-responsive social protection across Viet Nam.

Source: World Bank, 2016b

Figure 12. Vertical and horizontal social protection programme expansion



Source: Adapted by authors from World Bank, 2018

of staff at pay-out points, and the wider security or cultural context. Accessibility may be affected during disasters as front line delivery staff may be unable to reach affected communities or payment offices. Impacted populations may move away from affected areas permanently or temporarily,⁵⁵ people may lose payment cards or other documents necessary for accessing their funds. People with disabilities, the elderly or those with children may face additional challenges in reaching designated pay points. In Yemen, the payment service provider on the flagship social protection programme set up temporary pay out points in community spaces that were accessible and secure for women. In Turkey, the payment service provider updated ATM machines to include Arabic language for all Syrian refugees in the Emergency Social Safety Net programme.⁵⁶

Robustness: Consideration should be given to whether ATM machines, post offices or mobile phone signals will continue operating in the event of severe disasters and whether alternative mechanisms should be developed. Payment systems should also be able to cope with a large and rapid influx of new beneficiaries, data or money.

Integration: It should ideally be possible for multiple sources of funds to be channeled through the same payment mechanism (e.g. ATM card or mobile money account). Beneficiaries should be able to access their regular transfer and any new emergency funds simultaneously or with a seamless transition

between the two. Practically, this might mean ensuring that mobile money or traditional bank accounts have distinct sub-accounts or “e-wallets” for different payments. Having one account to deliver a range of cash-based benefits reduces the number of administrative systems that beneficiaries have to deal with, reduces the need for distribution of new payment materials and should save time and money.⁵⁷

Grievance and redress

Grievance mechanisms provide an opportunity for beneficiaries and others to provide feedback on the programme and raise issues and concerns. These mechanisms are particularly important during disasters as beneficiaries may have lost their payment cards or mobile phones, weaknesses in programme administration may be more pronounced and errors in targeting may be more likely.

Consideration should be given to whether disaster-affected populations can access the regular grievance and redress communication channels associated with the regular social assistance programme. Where necessary, additional or alternative mechanisms may need to be introduced.

Communication systems

An effective communication system is essential to disaster-responsive social protection. The scope for misunderstanding can be high when an existing programme is being

BOX 13

Flexibility and challenges in payment services following typhoon Haiyan

In the Philippines following typhoon Haiyan, the central bank and payment service providers took actions to ensure liquidity and restore ATM services. Three mobile ATM machines were deployed to enable accessible withdrawals, and where ATM machines were not working beneficiaries were paid over the counter. However, despite this great flexibility, challenges occurred. The typhoon destroyed reconciliation documents related to payments disbursed as part of the pre-disaster Pantawid Pamilyang Pilipino Program (4Ps) – a poverty reduction strategy that gives cash grants to very poor households. Combined with the additional emergency cash transfer top up payments, this increased the workload of staff and put Philpost, the national post office and key payment service provider, very behind with their reconciliation reporting. This led to a temporary suspension of Philpost’s payment conduit license and an audit. Evaluations concluded that making less frequent payments for the emergency top-up may have been a trade-off in terms of humanitarian best practice but would have reduced the burden on the payment system.

Source: Smith, Scott, Luna and Lone, 2017

⁵⁵ OPM, forthcoming

⁵⁶ Smith, 2017a

⁵⁷ Adapted by authors from OPM, forthcoming

adjusted to include new beneficiaries, increase the value of transfers or where different forms of assistance are being provided in the same community. This can lead to frustration, a breakdown in trust and ultimately undermine public support for the regular social protection programme.

A good communication system should inform communities and potential beneficiaries about, for example, the programme objectives, who is

providing the assistance, key design features such as eligibility and transfer values and delivery processes.

Communication channels must be accessible and trusted by beneficiaries and the wider population. Choice of communication channels and messaging should reflect the language, level of education, literacy, social marginalization, sex and age of the target group.

BOX 14

Communication challenges in the response to typhoon Haiyan

In response to typhoon Haiyan it was sometimes a challenge for government staff to explain to those who were not beneficiaries of the emergency top up why PPPP families were getting even more support (since they were already receiving the regular PPPP payments in the months after the disaster). Furthermore, the top up interventions supported by WFP and UNICEF could not include every PPPP household that was affected by the typhoon. UNICEF funding focused on just five municipalities, whereas WFP financed top ups were not implemented in Tacloban City. These decisions were logical in the face of limited humanitarian funds but it was not always clear to those residing outside the top up intervention areas why they were not receiving assistance when their neighbours were. Although such challenges can also be faced in standalone humanitarian assistance programmes, they were compounded here since PPPP is understood by communities to be a government programme with national coverage. Hence, staff needed to carefully explain to communities that these top ups were a WFP/UNICEF initiative, rather than an initiative of the Department of Social Welfare and Development.

Source: Smith, Scott, Luna and Lone, 2017

DRM systems are likely to have public communication systems such as community information networks, traditional media such as TV and radio and possibly SMS or mobile phone apps.⁵⁸ These can be used to complement the existing public communication system of the regular social programme. In the Philippines, in response to typhoon Haiyan, outreach through social welfare offices and parents clubs located and informed displaced beneficiaries of their eligibility for assistance.⁵⁹

2.4.5 Flexible financing

Key recommendations

- Undertake a context analysis and costing exercise to underpin the disaster risk financing strategy for social protection scale up.
- Identify multiple financing instruments to cover different magnitudes of risk.
- Identify in advance what the government is liable for, what they will do in a disaster and how much it will cost.

⁵⁸ OPM, forthcoming

⁵⁹ Smith, Scott, Luna and Lone, 2017

To fund the expansion of social protection programmes before and after a disaster, predictable and protected funding must be identified and secured before a crisis.

Mobilizing funds after a disaster strikes can slow down the response time.

Given the inherent variability of natural disasters and associated funding requirements layering risks (separating risks into tiers) through different financing instruments is important. When a crisis occurs – and preferably as a crisis is emerging – additional finances can then be released based on pre-agreed upon rules and response plans.

There is a range of financial instruments available to finance disaster response. The mix includes:

- **Contingency funds, multi-year national and local disaster reserves**, where budget lines are established that can be drawn upon in a disaster. These budgets must be resourced and protected rather than being

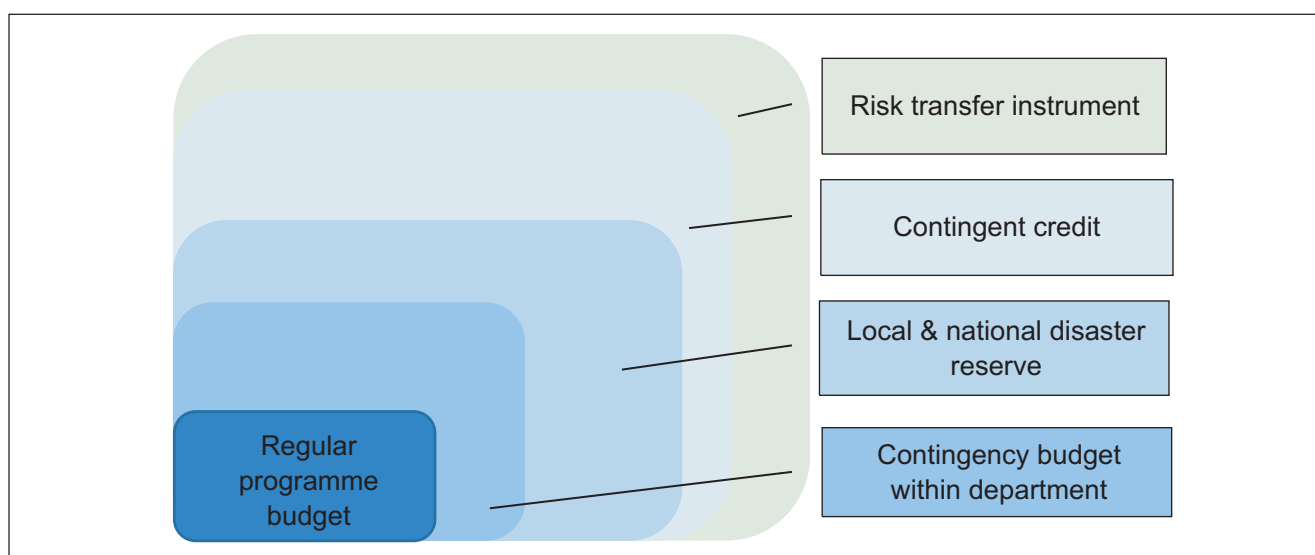
established on paper but remaining empty in practice.⁶⁰

- **Contingent credit**, which involves the release of emergency credit to provide immediate liquidity to countries in the aftermath of a disaster.
- **Risk transfer instruments** such as insurance offer governments a mechanism for smoothing the costs of disasters and reduce reliance on emergency appeals. Insurance payouts can be linked to contingency plans. Insurance mechanisms are designed to respond to low frequency, high impact events and as such form one part of an overall disaster risk financing strategy.⁶¹

All financing instruments require careful analysis to balance the benefit and the cost, bearing in mind that different instruments bear different associated costs.

Having clearly defined rules before a disaster event on what the government is liable for, what the government is going to do when a disaster hits and how much it is likely to cost can also help address the variability in required budgets. A disaster risk financing strategy for social protection should therefore be underpinned by **a comprehensive context analysis and costing exercise.** This involves an analysis of likely disaster needs, responses and costs, a mapping of existing national, regional and global financial instruments, existing triggering criteria,

Figure 13 Example of layered financing instruments



and existing budget processes. A review of the policy, legal, and operational frameworks for existing disaster reserve funds is required, including issues around decentralized responsibilities and the funds' actual operations and opportunities for adjustment.

The ASEAN Disaster Risk Financing and Insurance (DRFI) roadmap serves as a regional framework and guideline towards regional risk pooling. It comes with the establishment of the ASEAN Cross-Sectoral

BOX 15

Contingency funds in the Philippines

The National Disaster Risk Reduction and Management Fund (NDRRMF) in the Philippines is a form of contingency reserve fund that finances a range of disaster-related expenditures. As the NDRRMF was found to be too bureaucratic to be able to disburse rapidly in the case of a crisis, the government created the Quick Response Fund which focuses on emergency response. However, following typhoon Haiyan the size of the Quick Response Fund and the process to replenish it were found to be inadequate, underlining the need for multiple sources of flexible financing to be incorporated into disaster risk financing strategies.

Source: Hallegatte et al., 2016

⁶⁰ OPM, forthcoming

⁶¹ Ibid.

Coordination Committee on DRFI embodied in the ASEAN Disaster Risk Insurance Programme.⁶²

2.5 How to advance disaster-responsive social protection

Annex 2 provides a summary of the process for developing disaster-responsive social protection. It assumes that all stages are being carried out in advance of a disaster as part of a process that takes place before a disaster event to develop disaster-responsive social protection. However, this annex is equally applicable in the immediate aftermath of a disaster.

The process set out in annex 2 is not a comprehensive how-to guide. Rather, it is intended to serve as **an entry point** to illustrate a generic process and overview of issues, and as a gateway to more tools and guides that will inform a more thorough analysis and design processes. As such, links to more resources are provided throughout this section.

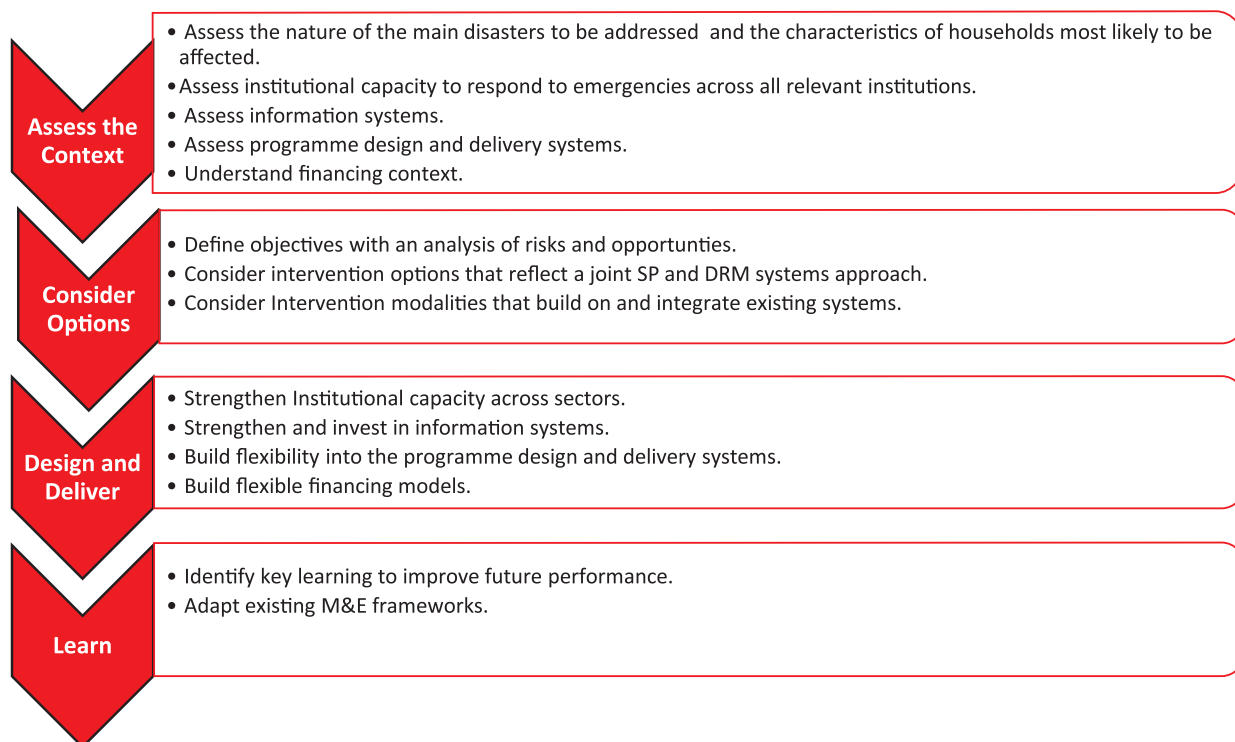
In the short term, the starting point is to create an explicit role for one or two social protection programmes to respond as early as possible to disasters in contexts where this is found to be more appropriate than delivering an effective

standalone emergency response programme and/or continuing to invest in the underlying social protection and DRM systems. Planning, assessing and incorporating design and delivery adjustments across one or two programmes helps to create a practical entry-point to understanding what disaster responsiveness means for social protection. It also builds the evidence base on the feasibility and efficiencies to be gained – *if any* – through using these programmes to respond. Over the medium term, greater linkages and alignment should then be built between different components and at different levels to move towards a more system building approach.

Much of the information required for the analysis should already exist at a country level; it is not anticipated that significant new primary data gathering will be needed.

Each country context is unique. Developing disaster responsive social protection in each country will therefore be different with potentially a distinct ordering of tasks, a non-linear approach and a differing emphasis across each stage. A roadmap should be developed, with a clear delineation of roles and responsibilities and prioritization of tasks.

Figure 14. Disaster-responsive social protection process outline



⁶² ASEAN, 2016

ANNEXES

Annex 1
Glossary

Annex 2
How to advance disaster-responsive social protection

Annex 3
Approaches and issues for disaster-responsive social protection

Annex 4
Financial instruments for funding disaster-responsive social protection

Annex 5
Assessing response options

Annex 6
More tools and resources

Annex 7
Country level analyses

Adaptive capacity: The ability of people to adjust to climate change (including climate variability and extremes) to moderate potential damages, to take advantage of opportunities, or to cope with the consequences.⁶³

Adaptive social protection (ASP) is concerned with building the resilience of vulnerable households before disasters occur *and* investing in making social protection more responsive to disasters after they have occurred. Originally focused on climate risks, the term is now used in relation to a broad range of natural, economic or man-made disasters and stresses.⁶⁴

Climate change: A change in the state of the climate that can be identified (for example by using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period, typically decades or longer. Climate change may be caused by natural internal processes or external forces, or by persistent anthropogenic changes in the composition of the atmosphere or in land use.⁶⁵

Climate change adaptation: In human systems, the process of adjustment to actual or expected climate and its effects to mitigate harm or exploit beneficial opportunities. In natural systems, the process of adjustment to actual climate and its effects. Human intervention may facilitate adjustment to expected climate.⁶⁶

Disasters: A serious disruption of the functioning of a community or a society involving widespread human, material, economic, or environmental losses and impacts that exceed the ability of the affected community or society to cope using its own resources.⁶⁷

Disaster risk: The potential loss of life, injury, or destroyed or damaged assets that could occur to a system, a society, or a community in a specific period of time, determined probabilistically as a function of hazard, exposure, vulnerability, and capacity.⁶⁸

Disaster risk management: The application of disaster risk reduction policies and strategies to prevent new disaster risk, reduce existing disaster risk, and manage residual risk, contributing to the strengthening of resilience and reduction of disaster losses.⁶⁹

Early warning system: An integrated system of hazard monitoring, forecasting and prediction, disaster risk assessment, communication and preparedness activities systems and processes that enables individuals, communities, governments, businesses and others to take timely action to reduce disaster risks in advance of hazardous events.⁷⁰

Humanitarian response: Responding to people in need guided by the principles of humanity, neutrality, impartiality and independence.

- Humanity – Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.
- Neutrality – Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.

⁶³ Adapted by the authors from Field *et al.*, 2012

⁶⁴ World Bank, 2018.

⁶⁵ Ibid.

⁶⁶ Ibid.

⁶⁷ UNISDR Terminology on Disaster Risk Reduction. <http://www.preventionweb.net/english/professional/terminology/>

⁶⁸ Ibid.

⁶⁹ Ibid.

⁷⁰ Ibid.

- Impartiality – Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.
- Independence – Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.⁷¹

Resilience: The ability of countries, communities, businesses, and individual households to resist, absorb, recover from, and reorganize in response to natural hazard events, without jeopardizing their sustained socio-economic advancement and development.⁷²

Social protection: Interventions that consist of policies and programmes designed to reduce poverty, inequalities, and vulnerability by assisting the poor, at risk, vulnerable groups such as but not limited to persons with disabilities, older people, youth, women, children, undernourished, victims of disasters, migrant workers, and as well as families and communities to enhance their capacities to better manage risks and enhance equal access to essential services and opportunities on a rights based/needs based approach. Definitions of migrant workers and applicability of social protection schemes shall be in accordance to the prevailing national laws, policies and regulations of ASEAN Member States.⁷³

Vulnerability: The conditions determined by physical, social, economic, and environmental factors or processes that increase the susceptibility of an individual, a community, assets, or systems to the impacts of hazards.⁷⁴

⁷¹ https://www.unocha.org/sites/dms/Documents/OOM-humanitarianprinciples_eng_June12.pdf

⁷² ADB, 2013

⁷³ Regional Framework And Action Plan To Implement the ASEAN Declaration on Strengthening Social Protection

⁷⁴ <http://www.preventionweb.net/english/professional/terminology/>

HOW TO ADVANCE DISASTER-RESPONSIVE SOCIAL PROTECTION

Process overview

The following table outlines a step by step process for addressing disaster-responsive social protection.⁷⁵ Each section addresses issues to consider in the form of questions and includes additional guidance in the form of hints and “dos and don’ts”. The overall steps in the process are:

- Step 1: Assess the context
- Step 2: Consider the options
- Step 3: Design and deliver
- Step 4: Learn and improve.

Information on the steps is further supported by links to a range of resources. They provide further guidance on advancing disaster-responsive social protection. In addition, issue-specific guides and tools are provided in links too.

- UNICEF. forthcoming. *Cash preparedness assessment tool*. Guidance Document. This tool aims to support practitioners to determine the feasibility, or “readiness” of a country’s social protection system to implement preparedness and mitigation strategies that support the use of cash transfer programming in emergencies. The tool provides guidance on identifying the thematic areas of importance that must be considered in any analysis of preparedness, as well as the specific information needs, or the questions to answer to inform assessment of “shock readiness” within each thematic area and where this information can be found.

- European Commission. forthcoming. *Social protection across the humanitarian–development nexus, A game changer in supporting people through crises*. This paper provides guidance on working with social protection in crisis contexts – particularly contexts of fragility and forced displacement. It provides an overview of global experiences and approaches to date, highlights challenges and suggests key criteria to inform decisions as to the most appropriate response options, provides guidance on key issues to consider, highlights key features and practical tips and identifies outstanding questions to inform future research.
- O’Brien, Holmes and Scott with Barca, 2018. *Shock-responsive social protection systems toolkit: appraising the use of social protection in addressing large scale disasters*. The toolkit brings together information on key concepts, diagnostic tools and guidance for determining whether shock-responsive social protection is appropriate in a given context, and the factors that might influence its effectiveness. It is aimed at social protection, humanitarian and disaster risk management professionals who are interested in pursuing better responses to emergencies, including in fragile and conflict-affected settings.
- The *inter-agency social protection assessment tools* (ISPA) offer a set of resources to analyze the social protection system at a country level. Although not focused on disaster-responsiveness the tools do provide a resource to help assess the strengths and weakness of the existing social protection system.

⁷⁵ Building on the *toolkit* of the DFID-funded global research project on Shock-Responsive Social Protection Systems.

Building block	Illustrative questions to consider	Hints, tips & dos & don'ts
Step 1: Assess the context		
Institutional capacity	<p>Stakeholders</p> <ul style="list-style-type: none"> Who are the key actors engaged in social protection, DRM and CCA? Consider government, donors, NGOs and civil society, private sector, financial service providers, and military or others in so much as they are relevant to disaster-responsive social protection. Consider social welfare actors and stakeholders with responsibility for other social protection instruments. Who are the key actors from other relevant sectors such as health, education, agriculture, fisheries and livestock and infrastructure? What are their responsibilities, mandates, organizational structures? What is the level of decentralization in the country and how does that influence policy, financing and delivery? What roles do civil society, UN agencies (optional) and donors (optional) play? Which research institutions might be able to support the design and execution of the learning strategy? <p>Capacities</p> <ul style="list-style-type: none"> What is the level of knowledge and/or experience on disaster-responsive social protection? What is the capacity of the social protection and DRM sectors? Consider national and sub-national levels of government, operational delivery and financial disbursement capacities. Have any formal capacity assessments been carried out for social protection or DRM? What is the capacity of financial service providers across the country? What capacity-building initiatives are under way? What are the options for “surge” capacity in staffing, including the re-deployment of government staff from non-affected areas, and also support from civil society? <p>Coordination</p> <ul style="list-style-type: none"> How do key actors coordinate prior to and during disasters at national and sub-national levels of government? Do clear rules exist on who does what during disasters? Do these rules recognize the potential role of social protection MDAs? What are the strengths and weaknesses of coordination? What is the relationship between development partners and government stakeholders with respect to coordination on SP, DRM and CCA programmes? <p>Commitment</p> <ul style="list-style-type: none"> Who has influence within government (e.g. Ministry of Finance or NCDM as coordination body)? What are their interests, concerns, motivations, incentives? What kind of evidence will motivate them to support and invest in DRSP? <p>Policies & legislation</p> <ul style="list-style-type: none"> What is the policy and legislative framework for SP, CCA and DRM? Does it recognize the role of other key sectors such as health, education, agriculture, fisheries and livestock etc.? Is there currently alignment between the different policies and legislation? Do they set out an explicit role for social protection programmes and systems to help respond to disasters? Are policy or legislative adjustments needed to advance disaster responsive SP? 	<ul style="list-style-type: none"> Investing in SP and DRM systems in normal times is the first step towards disaster-responsive SP. The more coherent, better capacitated and well-coordinated a sector is internally, the easier it will be to coordinate with other sectors and effectively contribute to disaster response. Consider how mature the social protection system is. Information should be gathered from different sources, drawing on a variety of methods and metrics. The information should be considered jointly with stakeholders from all disciplines, to come to a consensus on the context. Generating a common, broad-based understanding of the context will underpin response decisions, programme design and operations. Consider also: i) MDAs at the centre of government such as Planning and Finance, Offices of the President or Prime Minister including political leaders; ii) all stakeholders involved in DRM including meteorological agencies and other forecasting / early warning agencies plus civil society at local level; iii) national and sub-national stakeholders, policymakers and practitioners. Lack of an explicit policy or legislative mandate doesn't necessarily impede work but establishing policy gives all actors a clear basis for action and may signal high-level government commitment. The <i>process</i> of generating policy or legislative adjustments can serve as a means of stimulating debate, raising awareness, and generating commitment. <p>Country experience: In Myanmar there is a legal mandate for the restoration of livelihoods to pre-disaster levels (UNICEF, 2019).</p>

<p>Information systems</p>	<p>Socio-economic context</p> <ul style="list-style-type: none"> • What is the nature of poverty and vulnerability data underpinning social protection and other poverty and vulnerability reduction programmes? What are the metrics and methodologies used to determine socio-economic status of households or communities and identify particularly vulnerable groups? • What databases underpin social protection programmes, if any? <ul style="list-style-type: none"> – Single beneficiary registries, unified beneficiary registries, social registries? – What information is held in these registries? Does it include entitlements from other programmes? How often is the information updated? – Is this information shared with or used by other actors? – Is there a case for extending the breadth or depth of information in these registries so they can better support disaster response? – To what extent are data privacy and protection issues incorporated into information systems? Are relevant stakeholders at all levels aware of data protection and privacy risks and policies? Do contracts with service providers include provisions in line with data protection policy? <p>Disaster risk context</p> <ul style="list-style-type: none"> • What are the characteristics of the disaster(s) that you are aiming to address? Think in terms of: type of disaster, speed of onset, geographical distribution (including rural/urban differences), numbers and proportion of population affected. • What are the projections of future changes in hazards because of climate change and other factors? • Is there an overlap between those geographical areas and households that are poor or vulnerable, and/or covered by social protection programmes, and the areas and households most exposed to natural disasters? • Are some groups likely to be disproportionately affected? What are the likely costs of disasters – in lives, livelihoods, human development, infrastructure, GDP? • What is the nature of post-disaster needs and impact assessments? Are the assessments adequate, appropriate and helpful? Do they assess the needs of particularly vulnerable groups? <p>Early warning</p> <ul style="list-style-type: none"> • Do early warning systems exist in-country and if yes, do they fully integrate hazard monitoring, forecasting and prediction, disaster risk assessment, communication and preparedness activities? • What specific preparedness efforts are undertaken, and which sectors are involved (and is SP involved)? • Are early warnings of disasters typically provided in an accessible and timely manner, with clear actionable advice? Is this shared at each administrative level including at-risk communities and households? <p>Triggers</p> <ul style="list-style-type: none"> • What is the nature of any existing trigger mechanisms within the early warning system? Automatic or expert-led (see section 2.3.2 above for further information)? Are triggers identified and appropriate for the major disasters being considered? • What specific actions are triggered? Do these include social protection programmes? • What is the most appropriate existing forum to discuss triggers with both social protection and DRM practitioners (e.g. is there a current preparedness forum)? <p>To effectively tie triggers and thresholds to action, it is important to bring these elements together in a framework to clearly guide decisions for scaling up social protection programmes. Such a framework should answer a number of key questions:⁷⁶</p>	<ul style="list-style-type: none"> • Investment in information systems should take place before a disaster occurs so that information is available to trigger a social protection response. The cost–benefit calculation of what information to collect in social protection systems should be made with a disaster perspective in mind for high-risk countries. • Data protection and privacy issues are relevant across all sectors of service delivery. Sharing personal data of people with third parties, potentially puts them at risk of violence, detainment or discrimination. See <i>here</i> for information on data protection principles. • Pre- and post-disaster impact and needs assessments will complement the information gathered and analysis conducted as part of preparedness processes. The humanitarian community will typically lead on impact and needs assessments after the disaster using a variety of well-established tools. Social protection staff should be part of and contribute to these assessments where disaster-responsive social protection is being considered as a response option. Assessment information collected after the event should be overlaid with information on socio-economic status and social protection coverage available before the event to inform response decisions and programme design. • The location a disaster strikes may not be the location where the disaster-responsive social protection interventions need to take place if people are displaced to other communities or regions (O'Brien, Holmes and Scott with Barca, 2018a). • If not already completed, undertake a market assessment to understand the likely impacts of a rapid influx of cash following a disaster. See available tools and guidance (<i>here</i>, <i>here</i> and <i>here</i>). Where market assessments have been carried out as part of a preparedness process, a follow up is required after a disaster to confirm the market situation. • Consider whether any aspects of the social protection system might be at odds with the humanitarian principles of humanity, neutrality, impartiality and independence. • Be aware of data privacy and other information access issues. Are legal or policy waivers required to allow access to information for certain institutions following a disaster? • Consider drawing on evaluations of social protection services and previous humanitarian responses and / or monitoring and evaluation reports.
	<p>⁷⁶ Adapted by authors from HSNP, 2016 NOT IN REFERENCES</p>	

	<ul style="list-style-type: none"> • When? When does the government take on the liability of providing assistance to affected populations? Is the government “insuring” against the frequent but low magnitude 1-in-2 year events, or at the other end of the spectrum the 1-in-10 year but high magnitude events (big earthquakes, tsunamis), etc.? • What? What information will be used to trigger the scale up of a social protection programme and at what point in time? What type of triggers will be used – automatic or expert-led triggers? • Where? In which geographic areas will the scale up take place? • Who? Will existing households receive a top-up? Will additional households be targeted? • How much? What benefits and at what level will households receive? • How often? What is the frequency of delivering the benefit/ payment? • For how long? What is the duration of the benefit and when should it be scaled back down to the normal transfer levels? <p>Market context</p> <ul style="list-style-type: none"> • Are markets generally integrated and competitive in normal times? • Are the basic items that people need generally available in local markets and at reasonable cost? <p>How quickly will local traders be likely to respond to an increase in demand following a disaster?</p>	<p>Country experience</p> <p>In Viet Nam the “poor list” and “near-poor list” is continually updated at village level. The list is used for identifying beneficiaries for a range of government services including social assistance. The “near-poor list” may also serve as a pre-identified list of households potentially vulnerable to disasters.</p> <p>In the Philippines, a socioeconomic registry of poor households is used for various social protection and poverty reduction programmes.</p> <p>In Cambodia, the ID Poor Programme is legislated by decree to be the common means of identification for all programmes addressing poor and vulnerable households.</p>
<p>Programme design</p>	<p>Social protection</p> <ul style="list-style-type: none"> • What are the main SP programmes? • What are their objectives? Who do they aim to reach? What is their level of coverage? What proportion of each community or territory is covered? Which geographic areas do they cover? • What do they transfer (modality & value)? What is the basis for the transfer value? Are any conditions attached to the receipt of social protection transfers? • What are their other key design features? • Do the households and territories covered by social protection programmes align with those most at risk of natural disasters and with the poorest and most vulnerable? • What services are they linked to or have potential to be linked to? • Is there flexibility in the programme design to increase its caseload, change the level of support provided, or tweak the design (e.g. waive conditions) to enable greater disaster responsiveness? <p>DRM</p> <ul style="list-style-type: none"> • What DRM and humanitarian response interventions have been implemented recently to address disasters? What were the key design features of these programmes? • How did they perform with regard to: providing timely support; providing appropriate support; reaching large numbers of people; alignment and harmonization across interventions; cost-effectiveness? • What worked well and what were the challenges? <p>Public works</p> <ul style="list-style-type: none"> • What existing public works programmes are being implemented and what are the design features? • Designing or adapting a shock-responsive public works programme requires: <ul style="list-style-type: none"> – an understanding of the ability of the beneficiaries to contribute labour – ensure it will not make them worse off as a result of the opportunity cost or a lack of productive labour; 	<p>If a mapping of the major SP programmes does not already exist consider undertaking one. This should include a mapping of all relevant SP instruments including social insurance and social care services and ideally be structured around a life-cycle approach.</p>

	<ul style="list-style-type: none"> – clear objectives, including whether PWs will be scalable or not; – the selection of projects that can create valuable public goods and are appropriate to the area and to the local government and communities, and are relatively easy to rapidly scale up; – a plan to determine how and when the select PW activities will be scaled up, from which resources, and who will do it – this should be linked to a scalability framework under the overall contingency planning process; – predictable funding; – a credible monitoring and evaluation system designed right up front, prior to launching; and – special attention to be paid to safeguarding the welfare of the beneficiaries during times of stress – this is key to develop a safeguard policy that is based on a “do no harm” approach and allows to relax conditionalities temporarily during times of emergency, in addition to other safeguards. 	
<p>Programme delivery systems</p>	<p>Social protection</p> <ul style="list-style-type: none"> • What type of registration and enrolment systems underpin targeting? How accurate are they? How often are they updated? How time consuming are the registration and enrolment processes? Could they be streamlined during a disaster? • What are the payment, grievance and redress, and communication processes and systems? How accessible are these systems to vulnerable people such as the elderly, people with disabilities or women with young children? What are their operational strengths and weaknesses in normal times? Are they accurate, reliable, robust? Can they continue to operate during a disaster? • Are protection issues considered in programme delivery systems (e.g. issues of safety and dignity; meaningful access; accountability and participation and empowerment) with particular reference to vulnerable groups? • Are key information sources and processes accessible to government stakeholders from different sectors? And to non-government humanitarian actors? • Could payment mechanisms be adjusted to include humanitarian funds – e.g. separate sub-accounts or “e-wallets” for bank or mobile money systems? <p>DRM</p> <ul style="list-style-type: none"> • What are the key features of the DRM system? What are the key processes for preparing, assessing, targeting and implementing disaster response activities? • What is the current preparedness planning process – are social protection actors involved? Are there specific contingency plans? • Does the emergency assessment process build on information from social protection or other development programmes? • How does the early warning and early action system operate? What disaster risk information is available? • What humanitarian response interventions have been implemented to address crises? What have been their key design features? How did they perform? 	<p>For further information on protection issues, a range of resources is available. See for example <i>UNHCR, 2015</i>.</p> <p>For child protection issues see UNICEF Minimum Standards for Child Protection in Humanitarian Action <i>here</i> and UNICEF Core Commitments for Children in Humanitarian Action <i>here</i>.</p>
<p>Financing</p>	<ul style="list-style-type: none"> • How are emergency responses currently funded? • Is a country level disaster-risk financing strategy already in place? Does it include a role for scaling up social protection programmes in response to disasters? Is there a clear analysis of social protection scale up costs? • What financing instruments are in place to manage and mitigate disasters? Who is responsible for releasing these funds and under what conditions? • Does the nature or availability of funding influence the type of responses that might be possible through social protection programmes? • What are the strengths and weaknesses of the budget allocation and financial disbursement processes from both government and non-government and from central to sub-national levels? • How is private financing used in emergency response? Do mechanisms exist for effectively managing private financing? What are the strengths and weaknesses of these mechanisms? 	

Illustrative questions to consider	Hints, tips & dos & don'ts
Step 2: Consider the options	
<p>This step involves identifying the objectives, intervention options and modalities of programmes based on evidence of needs, context-specific appropriateness and feasibility, while minimizing potential harmful side effects.⁷⁷ This process should be conducted in partnership with DRM and CCA stakeholders. Ideally, a joint vision for the intervention should be developed that reflects the needs and priorities of social protection, CCA and DRM actors. The decision as to whether to proceed with developing disaster-responsive social protection is also not automatic. In all instances, an assessment of options available must be made against the scenario of the anticipated benefits and risks of continuing with standalone traditional humanitarian response</p> <ul style="list-style-type: none"> • What are the major bottlenecks and problems with current humanitarian response? What is (are) the key problem(s) you are aiming to address? • Can disaster responsive social protection contribute to addressing these challenges? • What are the most appropriate short-term and long-term objectives? For example, help build resilience before a disaster event? Build flexibility after an event? Extend basic social assistance coverage and strengthen the underlying system? Or a mix of these? What is the ultimate vision for what the intervention will achieve? • Which programme (or parts of a programme, e.g. beneficiary register, payment mechanism) might be most appropriate to work with to increase disaster responsiveness? In what way does the programme (or its parts) need to adapt? • To what extent will different response options improve traditional emergency response across the dimensions of: meeting needs; coverage; timeliness; predictability; reduced duplication; sustainability? • What are the alternatives? 	<ul style="list-style-type: none"> • See Annex 5 for a tool to support response analysis. See Annex 3 for a summary of the prerequisites, benefits and risks of different ways of working with social protection systems (vertical scale up, design tweaking etc.). • Do not assume that the solution to the existing bottlenecks and challenges with the DRM system lies solely with developing disaster-responsive social protection. Disaster-responsive social protection is intended as a complement to, not replacement for, traditional humanitarian response. Common challenges with the DRM system such as weak forecasting and early warning and contingency planning require dedicated reform processes (which are ongoing in many countries), to strengthen the underlying DRM system. Similarly, analysis may determine that focusing first on building consensus to invest in the basic social protection system is a priority. • Remember that a humanitarian response working with and through social protection programmes is only one of many types of response that will be needed in an emergency. Multisector approaches are also required outside of the social protection system. • Don't only think in terms of the five response options presented in section 1.3 (design tweaks, vertical, and horizontal scale up etc.). These represent only one way of organizing global experiences to date. Other innovative approaches may be available. • Remember that building on programmes and systems already in place is often more effective and efficient than developing entirely new systems. • Risk analysis should include consideration of the "do no harm" principle; a disaster-responsive social protection response should not damage the underlying social protection programme or system and beneficiaries should not be worse off receiving support compared to a standalone humanitarian response. • Where social protection systems are nascent/emerging, consider how disaster risk considerations can be built into the core design of programmes from the outset, to enable social protection programmes to be better able to respond to disasters in future. <ul style="list-style-type: none"> • Is there also a need to consider how existing standalone humanitarian responses provided by non-government actors can be better aligned with future or emerging government social protection programmes to aid future integration? • This might mean harmonizing transfer values, and using the same payment mechanism and information system to identify beneficiaries. • In contexts where there is not one highly relevant social protection programme to work with, consider whether elements of that programme, such as the database used for targeting, the payment mechanism, or the communication system might be useful in a disaster. <p>Country examples</p> <p>In the Philippines, WFP reached households affected by the typhoon that did not fit the eligibility criteria of the social assistance emergency top up through a parallel programme implemented by NGOs.</p> <p>In Kenya, INGOs piloted the use of e-payments in the (humanitarian) urban food subsidy programme to influence the mainly manual payment mechanism used at the time by the national social assistance system (Smith, forthcoming).</p>

⁷⁷ Maxwell, Stobaugh, Parker and McGlinchy, 2013

	<p>In Mali, INGOs implementing the humanitarian cash transfer programme in the north of the country used the same ID system to enrol eligible households as the World Bank-supported pilot social assistance programme in the south, to ensure maximum alignment in case the government ultimately decide to take over management of the World Bank pilot and enrol long-term humanitarian assistance beneficiaries from the north into a national programme (Smith, forthcoming).</p>
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Building block	Illustrative questions to consider	Hints, tips & dos & don'ts
Step 3: Design and deliver		
Strengthened institutional capacity	<p>This step involves further developing the details of the approach you will take, based on the decisions reached during the assessment of options, as above. It involves identifying the specific changes that need to be made across all building blocks of the SP and DRM systems: Institutions, information systems, programme design, programme delivery and financing.</p> <ul style="list-style-type: none"> • Building on, or aligning with, plans already underway, develop a comprehensive strategy to build capacity, coordination and commitment to disaster-responsive social protection across all stakeholders at national and sub-national levels of government. • Identify existing evidence or commission new country-specific evidence to underpin your strategy. • Ensure that appropriate capacity assessments are completed, if not already available, and resources allocated accordingly. Ensure these also cover the capacity of volunteers who may play a pivotal role in DRM systems. • Build institutional capacity, coordination and commitment. • Initiate any identified policy or legislative adjustments that are needed, or helpful, to advance disaster-responsive SP. This includes at a minimum ensuring that relevant SP, DRM and CCA policy and legislation reflects the complementarities and linkages between the three disciplines and the contribution social protection can make to disaster response. 	<ul style="list-style-type: none"> • As with all other stages, this process should be conducted in partnership with DRM and CCA stakeholders. A clear joint road map should be developed with backing from the highest level of decision making within government. • Insert links to political economy analysis and advocacy toolkits. • Evidence to underpin an awareness and commitment building strategy might include information on the short-term and long-term costs of disasters beyond immediate infrastructure. For example, the costs including impacts on livelihoods and over the longer-term human capital, and ultimately long-term impacts on GDP. <p>Country experience: In Kyrgyzstan: following ethnic clashes in 2010, UNICEF funded additional social workers and provided training in programme regulations, to scale up social assistance provision in the immediate aftermath of the crisis (Smith, 2017b)</p>
Combined information systems	<ul style="list-style-type: none"> • Initiate any strengthening or reform processes needed to enable SP and DRM information systems to better inform disaster-responsive social protection. This might include capacity strengthening as well as adjustments to forecasting and early warning systems or the development of effective appropriate indicators to trigger a social protection response. It may also include an extension to the breadth or depth of information gathered through information systems that underpin regular social protection programmes. Data protection and privacy issues may need to be strengthened during these processes too. 	<p>Country experience:</p> <p>In Turkey, the national social assistance system is founded on the use of sophisticated, integrated, electronic management information systems. The ISAIS connects to and accesses data on citizens that are held in a range of online registries managed by other government departments. Before the Emergency Social Safety Net (ESSN) and Conditional Cash Transfer for Education for Refugees (CCTE) (both aimed at supporting Syrian refugees) could get started, the ISAIS needed to be adapted to integrate refugee data. Development partners supported these technical adaptations. Both the ESSN and CCTE for Refugees ultimately helped to strengthen the national social assistance operational systems.</p> <p>In Mali, INGOs undertook a full household census of the population in the humanitarian cash transfer project zone. This data was given to the Government of Mali to contribute to the social registry being developed under a World Bank funded pilot social assistance programme.</p>
Flexible design	<ul style="list-style-type: none"> • Determine and agree the adaptations that are required to key social protection design features. These are: eligibility criteria; transfer values, frequency, duration; programme linkages; and exit strategies. 	<ul style="list-style-type: none"> • Ensure that decisions on eligibility criteria consider in particular the inclusion of vulnerable groups and consider which groups will not be reached through working with social protection systems

	<ul style="list-style-type: none"> • Will the payment service provider(s) cope with more frequent or higher volumes of transfers and will front line delivery staff be able to cope? What are the cost implications of adjusting transfer levels, frequency, caseload or locations of pay points? • What are the implications of design and delivery system adjustments for vulnerable groups, e.g. will newly included vulnerable groups be able to access payment delivery mechanisms, grievance and redress systems? Is the programme communication system accessible to them in terms of language, literacy or cultural barriers? • Will the design and delivery adaptations imply increased or altered fiduciary, or security or protection risks for beneficiaries? 	<p>so that alternative support may be provided to these groups.</p> <ul style="list-style-type: none"> • Include service providers who administer core programme components in any discussions on disaster-responsive adjustments. • Compromise and trade-offs are likely to be required in relation to transfer values. Humanitarian standards will need to be considered along with previous (or current for processes established after an event) standalone humanitarian cash transfer values, likely available financing levels and sources. Consider the cost-benefit implications of different transfer values. <p>Country examples</p> <p>In Myanmar, the national identification system, called the National Registration Card, is used to secure access to a range of government services. It already includes alternative identification processes if cards are lost, such as verification from a village administrator (UNICEF, 2019).</p> <p>In the Philippines and in Nepal, emergency cash top ups were provided to all beneficiaries of the identified social assistance programmes rather than carrying out a post-disaster targeting process. Such “no regrets” approaches were considered appropriate given the scale of the disasters in the interests of providing rapid assistance. Conditions associated with the PPPP in the Philippines were also waived during the emergency response period. Also in the Philippines, WFP topped up the cost of food needs only and other household needs had to be met through parallel humanitarian response.</p> <p>In Viet Nam, tuition fee exemption is provided for a fixed term, for students in areas affected by disasters. This is at the discretion of the People’s Committee of the province and dependent on the level and scope of the damage.</p> <p>In Mali, key design features of the INGO led humanitarian programme, such as transfer values, were explicitly designed to align with the pilot social transfer programme being implemented in the south of the country, to support eventual adoption into a government led, national social transfer system.</p> <p>In Kyrgyzstan, many of the conflict-affected families that were enrolled in the scaled up social assistance programme following the ethnic clashes were ultimately enrolled on regular long-term, social assistance programmes because of the chronic nature of their poverty and vulnerability and the exclusion errors of the regular social assistance systems prior to the conflict.</p> <p>In Kenya, the transfer value on the (humanitarian) urban food security programme was not sufficient to meet all humanitarian needs but was in line with the government’s guidelines for the value of social assistance transfers. This compromise helped to ensure buy in from the government and the eventual adoption of the initiative as a long-term national social transfer programme.</p>
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<p>Flexible delivery systems</p>	<ul style="list-style-type: none"> • Determine and agree the adaptations that are required to social protection delivery systems. These are: registration and enrolment processes; payment mechanisms; grievance and redress; and communication systems. • Ensure that disaster-responsive social protection plans are included in sub-national contingency plans. • Ensure agreed adaptations to delivery systems are included in social protection operation manuals and associated standard operating procedures. • Ensure budget is available to execute agreed adaptations. 	<ul style="list-style-type: none"> • As a general guide, it is best practice to work with and adapt the operational systems and processes that already exist rather than developing parallel approaches outside the regular social protection programme. • Ensure decisions on adaptations to delivery systems consider implications for all affected vulnerable groups and also protection issues. <p>Country experience</p> <p>In the Philippines, to verify the identity of existing social assistance beneficiaries following typhoon Haiyan, social welfare officers and local community leaders completed a rapid validation exercise. The bank payment service provider also expedited the reissuing of lost bank cards (Smith, Scott, Luna and Lone, 2017)</p> <p>In Kyrgyzstan, UNICEF supported the government to set up mobile outreach services to take registration to communities. Conflict-affected households did not have to submit verification documentation for six months and a government taskforce fast tracked claims for replacing lost ID cards (Smith, 2017b).</p> <p>In Turkey, as government-held data on Syrian refugees is not accessible to non-state actors, ECHO partners work through the Turkish Red Crescent which, as a protection agency, does have access to this data. The national social assistance system also uses multiple screenings of household assets and income to assess eligibility of Turkish citizens for a range of social protection benefits. However, much of the metrics used are either not relevant or difficult to assess for Syrian refugees. To assess eligibility for the ESN and CCTE for Refugees the metrics are simplified including only criteria such as access to social security, formal employment and land. As many Syrian refugees do not yet speak Turkish, the Turkish Red Crescent provides translation services to bank staff to support social assistance transfers to refugees (Smith, forthcoming).</p> <p>In Yemen, the private sector payment services providers relaxed enrolment requirements during the conflict to make them appropriate to marginalized groups and women – who tend to lack formal identification. They were also able to discreetly move money into active conflict areas and set up temporary pay points that were relatively secure and accessible to women. Messages about the social assistance programme were also communicated through familiar social welfare fund staff and a local community organization to help ensure that marginalized groups trusted the programme and that social tensions were minimized (Smith, forthcoming).</p> <p>In Nepal, UNICEF piloted the use of SMS messaging alongside the traditional communication channels of the regular social assistance programme. However, very few beneficiaries reported receiving SMS messages or using the SMS system to confirm receipt of payments (Merttens, Upadhyay and Kukredy, 2017)</p>
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Flexible financing	<ul style="list-style-type: none"> • Develop a financing strategy. • What are the options for scaling up financing to be built in as an integral part of the budgets for existing social protection programmes? • Is there a need for an explicit agreement that additional funds may be channeled through existing social protection programmes in the event of a disaster? • What role can development partners play in the financing of the strategy? 	<ul style="list-style-type: none"> • Ensure agreement before any event that financing will flow to the most vulnerable as well as for infrastructure. • Involve ministries related to financing in discussions as early as possible in the process including awareness raising on the potential value of money and cost-savings of disaster-responsive SP. • Ensure the financing strategy is clear on the available budget lines and funds at all levels and on the rules governing their release and management. <p>In Myanmar, the government has established a National Disaster Management Fund and allocates a National Contingency Budget. There is a clear government commitment to develop a Disaster Risk Financing strategy, so that funding is available for rapid response, recovery, and reconstruction following a disaster (UNICEF, 2019)</p>
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Actions to consider	Hints, tips & dos & don'ts
Step 4: Learn and improve	
<ul style="list-style-type: none"> • Consider the key criteria against which the success of the intervention will be measured. It is important that wherever possible, the <i>same</i> criteria are used to assess responses delivered through social protection programmes or systems and those responses delivered through standalone traditional humanitarian responses. In this way a comparison between working with social protection programmes or systems and other response mechanisms can be made. • Performance may be considered against the key criteria outlined above, namely: meeting needs, including whether damaging coping strategies were used; coverage; timeliness; predictability; reduced duplication; sustainability. Or alternatively, against the OECD/DAC criteria of relevance/appropriateness; connectedness; coherence; coverage; efficiency; effectiveness; and impact. • Draw on the skills and experience of credible research institutions to design and deliver the learning strategy. Involve such institutions in the design of interventions where possible and appropriate. 	<ul style="list-style-type: none"> • Consider the learning strategy from the outset. Significant evidence gaps remain in disaster-responsive social protection. Where possible, building a robust, credible learning strategy into the design of interventions as early as possible will help inform regional and global efforts. • Monitoring and evaluation should be participatory and involve stakeholders from the SP, DRM and CCA sectors. • It will be important to understand both the short-term and long-term benefits (as well as costs) of disaster-responsive social protection such as impacts (positive or negative) on the underlying social protection system and changes (positive or negative) to high-level support for social protection generally and disaster-responsive social protection. • Timeliness relates not only to speed of response but also to whether the preventive response is provided at the right time, e.g. just before the dry spell or just before the flooding season to help households to adjust and cope better.

APPROACHES AND ISSUES FOR DISASTER-RESPONSIVE SOCIAL PROTECTION

Type	Prerequisites and enablers	Advantages	Disadvantages	Risks to be aware of	Implications in fragile, conflict-affected situations and contexts of forced displacement
Design tweaks i.e. changes to design or implementation processes that allow existing programmes to better support responses – tweaks can be introduced before or after a disaster event	<ul style="list-style-type: none"> Strong, mature SP programme in place Strong and quick programme decision-making authority to approve design tweaks Good coverage of the geographical areas affected by the disaster, and of households affected by the crisis Clear understanding of who is/can be affected by the disaster and that SP beneficiaries are/can be affected Preparedness plan in place showing feasibility of modality Response analysis shows present modality is feasible to provide in the crisis and is appropriate to support needs resulting from the crisis Robust administrative systems with good capacity to deliver timely and accurate payments Capacity of the programme and of any complementary services connected with it to execute changes authorized efficiently and without interruption to ongoing services Strong existing communications mechanisms with existing beneficiaries 	<ul style="list-style-type: none"> Tweaks made before an event may be a quick and cost-effective way to reach some of those in need of assistance, as beneficiaries would already be identified and programme infrastructure would already be in place Design tweaks can lead to permanent improvements to the SP programme in non-crisis times 	<ul style="list-style-type: none"> Possibly requires additional resource requirements depending on the particular “tweak” made (staff, equipment, finances) Regular programme beneficiaries need to be informed of the “tweak” clearly and in a timely manner 	<ul style="list-style-type: none"> Tweaking the systems of long-term programmes can create misunderstanding of the humanitarian programme objectives Systems being tweaked after the event risk being overwhelmed, impacting on the long-term SP system Tweaking programmes may reduce clarity of the underlying programme’s core objectives and possibly even reduce popular or political support May create confusion amongst beneficiaries about objectives Delays in executing the tweaks may delay assistance and reduce the impact of support Increased burden of labour for administrative staff (depending on nature of the tweak) can undermine the long-term programme 	<ul style="list-style-type: none"> Possible in FCAS where some institutions and systems exist but may be less relevant in those FCAS where SP is not yet well developed Conflict can mean government face challenges in continuing to implement the regular SP programme (donor funds suspended, dangers to staff implementing programme) or that markets for goods and services may be affected Working through administrative staff of state programme could support access in insecure areas, or it may create barriers if government associated with the conflict

Type	Prerequisites and enablers	Advantages	Disadvantages	Risks to be aware of	Implications in fragile, conflict-affected situations and contexts of forced displacement
Piggybacking on existing programmes or systems	<ul style="list-style-type: none"> Some level of development of SP programme, with some strong and robust administrative systems or institutions that the intervention can build on Some coverage of the underlying SP programme in the geographic areas affected, so that the administrative systems and institutions have a presence in these locations Clear understanding of who is affected by the disaster and characteristics of vulnerability 	<ul style="list-style-type: none"> Can make use of some existing systems and institutions for time and cost savings – but only those that are strong enough and relevant for an emergency response Can avoid any limiting factors inherent in the design of an existing SP programme (e.g. transfer value, payment schedule, transfer modality), for example where analyses show that food or other in-kind items would be more appropriate than cash, an existing SP beneficiary register may be used to identify beneficiaries May be more politically acceptable to host governments as it avoids diluting the “brand” of a specific programme Can be implemented by different actors to those responsible for the core system or programme, working within their own political mandates and administrative structures Useful in contexts where humanitarian funds cannot be transferred to government May work well in situations where implementers already have a relationship with existing programmes 	<ul style="list-style-type: none"> May be time consuming and complex to assess and identify which system components to use and to train staff in the processes of emergency response Weaknesses of the underlying system may be transferred to the emergency programme (errors in beneficiary lists or household data, delays, staff capacity, etc.) Need to secure agreement of the implementers of the core programme to make use of these systems and institutions, which can take time after a disaster Increased coordination with multiple organizations and agencies required 	<ul style="list-style-type: none"> Systems being piggybacked on risk being overwhelmed, impacting on the long-term SP system Lack of coordination between humanitarian actors may lead to competition and confusion – piggyback on the systems, and about what needs are to be met Piggybacking on the systems of long-term programmes can create misunderstanding of the humanitarian programme objectives 	<ul style="list-style-type: none"> Possible in FCAS where some institutions and systems exist; can help to maintain some of these systems during a crisis Conflict can mean government face challenges in continuing to implement SP systems (e.g. lack of funds for staff, dangers to staff implementing programme) Can be an option for working with and supporting existing national systems where donors cannot fund state actors because of the crisis Working through administrative staff of state programmes could support access in insecure areas, or create barriers if government associated with the conflict Refugees unlikely to be well represented in any existing SP beneficiary lists or registries for citizens; rather requires access to specific registries of refugee data Staff, institutions and processes of the SP system need to be accessible to and able to communicate with refugees/ IDPs

Type	Prerequisites and enablers	Advantages	Disadvantages	Risks to be aware of	Implications in fragile, conflict-affected situations and contexts of forced displacement
Vertical expansion i.e. increase in benefits to existing beneficiaries	<ul style="list-style-type: none"> ● Strong, mature SP programme in place ● Good coverage of the geographical areas affected by the disaster, and of households affected by the crisis ● Clear understanding of who is affected by the disaster and what SP beneficiaries are affected ● Response analysis shows present modality is feasible to provide in the crisis and is appropriate to support needs resulting from the crisis ● Robust administrative systems with good capacity to deliver timely and accurate payments 	<ul style="list-style-type: none"> ● Proven potential to be a quick and cost-effective way to reach some of those in need of assistance, as beneficiaries already identified and programme infrastructure already in place 	<ul style="list-style-type: none"> ● Will exclude those affected by the crisis but not enrolled in the programme ● Determining the size of the top up can be complex (which humanitarian needs to support; whether or not to match other parallel emergency assistance for the same needs) ● Additional resources for making additional payments (staff, equipment, finances) ● Payment systems and staff may have been impacted by the crisis ● Beneficiaries may have lost their ID or programme registration cards during the crisis ● Inclusion and exclusion errors in the programme beneficiary list may mean the programme isn't actually reaching who it is designed to reach ● Administrative processes may not be the best design for providing emergency assistance (e.g. timing of payments, use of conditions) ● May be difficult to explain to communities why SP beneficiaries are getting even more assistance whereas affected non-beneficiaries receive nothing 	<ul style="list-style-type: none"> ● Not reaching a percentage of those affected unless there is strong coordination with other actors providing similar responses to non-beneficiaries ● Top up may lead to negative impact on people's perceptions of the generosity of the regular programme ● Increased burden of labour for administrative staff (especially those involved in payments) can undermine the long-term programme 	<ul style="list-style-type: none"> ● Less relevance in those FCAS where SP is not yet well developed ● Conflict can mean government faces challenges in continuing to implement the regular SP programme (donor funds suspended; dangers to staff implementing programme) or that markets for goods and services are affected ● Working through administrative staff of state programme could support access in insecure areas, or create barriers if government associated with the conflict ● In new crises, refugees unlikely to be well represented in beneficiary lists; in protracted crises potentially, if refugees are eligible to access SP ● Movement of IDPs may require updating of administrative records before payments can be made

Type	Prerequisites and enablers	Advantages	Disadvantages	Risks to be aware of	Implications in fragile, conflict-affected situations and contexts of forced displacement
Horizontal expansion i.e. temporary extension of SP programme to new beneficiaries	<ul style="list-style-type: none"> Strong, mature SP programme in place Robust administrative processes and systems, with capacity to rapidly and accurately identify and enrol new cases Good coverage in the geographic areas affected, or capacity to rapidly expand into these Clear understanding of who is affected by the disaster and availability of accurate data for the identification of new beneficiaries Response analysis shows present modality is feasible to provide in the crisis and is appropriate to support needs resulting from the crisis Capacity of the programme and of any complementary services connected with the programme (e.g. social welfare, education and health in case of conditional cash transfers) to manage a bigger caseload 	<ul style="list-style-type: none"> Potential to be quick and cost-effective way to reach some of those in need of assistance, as programme infrastructure already in place (and in some cases vulnerable temporary caseload already pre-identified) Depending on the scale and nature of the crisis, potential to reach a higher percentage of those affected by the disaster than is likely through vertical expansion alone, as the worst affected areas and communities can be specifically targeted Identifying cases who are eligible for assistance in normal times can lead to their permanent enrolment, reducing exclusion errors on the SP programme 	<ul style="list-style-type: none"> Potential problems in reconciling benefit size from programme with other levels of assistance being provided through humanitarian structures and may be difficult to conceive what the benefit should cover Challenge in deciding who should receive the extra benefit, how they should be selected, when and how they should exit, including trade-off between data that already exists and new data that more accurately reflects the emergency Timely inclusion of households can be problematic, especially if not pre-enrolled Additional resource requirements (staff, equipment, finances) Administrative processes may not be the best design for providing emergency assistance (e.g. timing of payments; use of conditions) Considerable effort required for communication about entry and exit to the programme 	<ul style="list-style-type: none"> Relaxing programme eligibility criteria may reduce clarity of the underlying programme's core objectives and reduce popular or political support May create confusion amongst beneficiaries about objectives, and tensions when temporary caseloads are exited, especially if they are also chronically poor and vulnerable Delays in identifying and enrolling new cases may delay assistance and reduce the impact of support Increased burden of labour for administrative staff (targeting, enrolment and payments) can undermine the long-term programme 	<ul style="list-style-type: none"> Less relevance in those FCAS where SP is not yet well developed Conflict can mean government face challenges in continuing to implement the regular SP programme (donor funds suspended; dangers to staff implementing programme) or that markets for goods and services are affected Working through administrative staff of state programme could support access in insecure areas, or create barriers if government associated with the conflict If refugees are legally eligible to access SP, this may present a valid mechanism for providing assistance and for social integration – but perceptions of (ineligible) citizens would need to be carefully addressed Movement of displaced populations may create challenges for identifying, enrolling and paying new beneficiaries
Alignment between different programmes or systems	<ul style="list-style-type: none"> No prerequisite for strong programmes or systems 	<ul style="list-style-type: none"> Highly relevant in FACS with low coverage of existing programmes In short term can lead to efficiency savings if reduces duplication within the humanitarian system In medium to longer term, opportunity to build a more sustainable approach to emergency response, with more predictability of funding. 	<ul style="list-style-type: none"> Difficult to choose which elements of a SP system to align with – especially in cases where this is still emerging so design and implementation features are not well defined Requires extensive coordination and cooperation between a range of stakeholders and organizations, and maintaining these relationships over the long-term, given that full 	<ul style="list-style-type: none"> Aligning design of a humanitarian programme with elements of existing or planned SP systems may be important to generate government interest and opportunity to transition to national ownership, but this may not be the most optimal design for immediate humanitarian impact 	<ul style="list-style-type: none"> Can be applied in fragile contexts with weak SP infrastructure Need to be realistic about what is feasible – unlikely that in the most fragile contexts such interventions will transition into full “social protection” in the short to medium term, but will still be an improvement on the current ad hoc and fragmented way of working

Type	Prerequisites and enablers	Advantages	Disadvantages	Risks to be aware of	Implications in fragile, conflict-affected situations and contexts of forced displacement
		<p>and greater government ownership of and capacity to manage recurrent or protracted crises.</p> <ul style="list-style-type: none"> In the longer term, potential for interventions that are aligned with government's existing or planned SP priorities to inform and be integrated into the SP system 	<p>transition likely to take many years</p>	<ul style="list-style-type: none"> Conversely, informing the development of the national SP system through humanitarian interventions may result in narrow conceptualization of SP, and/or take the direction of system development down a route that is not optimum for addressing chronic poverty and vulnerability and human development 	<ul style="list-style-type: none"> Can be an interim measure to support refugees with a view to their full integration into existing national programmes for citizens as political and financial space emerges

Source: O'Brien, Holmes, Scott with Barca, 2018b

FINANCIAL INSTRUMENTS FOR FUNDING DISASTER-RESPONSIVE SOCIAL PROTECTION

TYPICAL RANGE OF POTENTIAL FINANCIAL INSTRUMENTS AVAILABLE FOR DISASTER RESPONSE					
INSTRUMENT	Objectives	When can it be used?	Strengths	Weaknesses	Preconditions for usage
FINANCING AFTER DISASTER OCCURS					
Donor support (typically humanitarian relief)	To meet vulnerable citizens' transitory needs through international grant resources	To prepare for or respond to a disaster, typically when a national disaster is formally declared	No financial cost to government, can be channelled through non-government organizations and (subject to exceptions) government structures	It is ad hoc (dependent on availability of international resources), unpredictable, often late, limited duration	Declaration of emergency
National budget reallocations	To release monies for emergency response, identified through a reprioritization of government spending	Any time during the year, typically with approval of MoEF	Discretionary	Liabile to political interference Fixed amount Original priorities compromised Approval may not be timely	Request to MoEF
Ministerial budget reallocations	To release monies for emergency response, identified through a reprioritization of ministerial spending	Any time during the year, with approval of relevant minister	Discretionary and rapid	Political interference Fixed amount Original priorities compromised	Request approval to MoEF
Domestic credit (bond issue)	To secure additional liquidity and resource an emergency response	Any time during the year	Flexible (time and amount)	Debt sustainability	Requires debt stability and credibility from credit markets
External credit (for example, emergency loans, bond issue)	To secure additional liquidity and resource an emergency response	Any time during the year	Flexible (time and amount) Amounts can be larger internationally	Debt sustainability Exchange rate risk	Credibility Exchange rate stability Getting credit rating for the country
FINANCING BEFORE A DISASTER OCCURS					
Donor support (development)	To eliminate poverty and share prosperity	Any time during the year	Lower cost than credit markets Long-term financing Predictable	Can come with conditions Can be tied to geopolitical incentives Needs to be repaid	Conditions are complied with or agreement in place to monitor future compliance Satisfactory public financial management systems in place

TYPICAL RANGE OF POTENTIAL FINANCIAL INSTRUMENTS AVAILABLE FOR DISASTER RESPONSE					
INSTRUMENT	Objectives	When can it be used?	Strengths	Weaknesses	Preconditions for usage
National budget contingencies	Predictable access to financing for national disasters	Any time during the year once thresholds are reached	Predictable Timely access depends on pre-agreed thresholds and rules based execution	Liable to political interference Fixed amount Original priorities compromised Needs to be used within a year	Size of fund has to be established Triggers for accessing fund need to be agreed on Resources added
Ministerial budget contingencies	Predictable access to financing for disasters that affect the sector	Any time during the year, once pre-agreed thresholds are reached	Easy to access Predictable Rules based execution	Needs to be used within a year Fixed amount Original priorities compromised	Ministries' inclusion of a Sector Contingency Fund was discouraged by MoF circa 2013
Regional (sub-national) budget contingencies	Predictable access to financing for disasters that affect individual regions	Any time during the year or when pre-agreed thresholds are reached	Easy to access Predictable Rules based execution	High decentralization Requires balancing equitable expenditures across regions	Decentralized public financial management system Capacity at regional level
Programme budget contingencies	Predictable access to financing for disasters that affect programme outcomes	Anytime in programme life when pre-agreed thresholds are reached	Easy to access Predictable Rules based execution	Needs to be used within the life of the programmes	Legally established and mandated standing up operational budget
National reserves	Additional resources to finance any unforeseen events at discretion of government	Anytime	Easy and quick access to resources Predictable	Committing resources for unknown future Can be used for unexpected events (not only disasters)	Legally established and resourced
Contingent debt facility (for example, CAT DDO)	Pre-agreed loan that provides liquidity in case of disasters in a timely manner	As soon as state of emergency is officially declared by government	Does not require savings Quick access to resources	Cost to government is higher because of repayment Rigorous process for it to be established	Having a low or moderate risk of debt distress
National parametric insurance	Transfer government risk to international insurance markets	Pays when a pre-agreed threshold of a parameter is reached (the parameter is model-based, not field-based)	The parameter trigger is objective Reduces costs through monitoring and reduces premiums	Premiums can be expensive Parametric insurance has risk basis (payments made to claimants might not reflect actual losses) It only covers certain risks (e.g. drought but not plagues)	Establish legal contract and pay premiums

TYPICAL RANGE OF POTENTIAL FINANCIAL INSTRUMENTS AVAILABLE FOR DISASTER RESPONSE

INSTRUMENT	Objectives	When can it be used?	Strengths	Weaknesses	Preconditions for usage
Sub-national parametric insurance	Transfer households' (typically farmers') risk to insurers	Parametric insurance pays claims when a pre-agreed threshold of a parameter is reached (the parameter is model-based, not field-based)	The parameter trigger is objective Reduces costs through monitoring and reduces premiums	Premiums can be expensive Parametric insurance has risk basis (payments made to claimants might not reflect actual losses) It only covers certain risks (e.g. drought but not plagues) From international experience, subsidies to premiums are generally needed	Willing insurance companies that offer parametric insurance products to farmers
Alternative risk transfer (for example CAT bonds, weather derivatives)	Transfer disaster risk to national or international credit markets	Depending on the instrument, anytime or when pre-agreed threshold is reached	Provides quick access to funds	Set-up costs are expensive for government	Establish legal contract for derivatives and legal process for CAT bonds
Traditional (indemnity-based) insurance	Transfer farmers' risk to insurers	After the assessment of individual losses following an insurable event	Provides resources when losses occur Covers a variety of threats	Takes time to conduct loss assessment and claim resources to be disbursed Premiums are expensive for small farmers	Willing insurance companies that offer indemnity insurance products to farmers

ANNEX 5

ASSESSING RESPONSE OPTIONS

This table seeks to offer a uniform approach to guide decisions, so that each country operation starts from a common set of criteria that will inform and justify strategic decisions. It remains a work-in-progress and will need to be updated over time as

experiences with its utility and appropriateness increase. Conceptually, the table could be a means of bringing development and humanitarian practitioners together to agree a response model following social protection capacity assessment.

Assessing response options	Criteria	Stand alone emergency response	Alignment Standalone programme that aligns with existing or future SP programme	Vertical scale up Work with existing programme to increase benefit value or duration	Horizontal scale up Work with existing programme to add new beneficiaries	Piggy-backing Use elements of an existing programme or system infrastructure	Design tweak Adjusting the design of routine SP programmes	Hybrid/new/alternative approach
	Name of programme(s) being considered for the response (if it already exists)							
Meeting needs	Anticipated impact							
	Appropriateness of targeting compared to identified target group							
	Adequacy of support							
	Relevance/appropriateness of nature of support							
Coverage	Level of coverage							
Timeliness	Speed of response							
Predictability	Predictability of funding to agencies							
	Predictability of support to households							
Duplication of delivery systems and processes	Extent to which it supports/enables coordination with government and long-term development actors							
	Level of harmonization with existing systems							
Sustainability	Extent of government or long-term development partner organizational capacity building							
	Extent to which embedded in government systems							
TOTAL								

Notes: SP: social protection

Scoring system: high = 3; medium = 2; low = 1; negligible = 0; detrimental = minus 1

Source: European Commission, forthcoming

1. Shock-responsive social protection resources

Websites

Shock-responsive social protection systems, Oxford Policy Management:

<https://www.opml.co.uk/projects/shock-responsive-social-protection-systems>

This DFID-funded study on shock-responsive social protection systems strengthens the evidence base with respect to when and how social protection systems can scale up more responsively to shocks in low-income countries and fragile and conflict-affected states, thus reducing the need for separate humanitarian responses. The key research question was: “What are the constraints to social protection systems being more responsive to shocks, and, conversely, what factors would enable social protection systems to become more responsive to shocks?” Various outputs from this three-year research programme can be found at this link. These include:

- i) a **toolkit** for appraising the use of social protection in addressing large-scale shocks;
- ii) six in-depth **country case studies and policy briefs** (including the Philippines);
- iii) a comprehensive **literature review** bringing together global experience to date; and
- iv) a **synthesis report** bringing together all lessons learned from the study.

The web pages also provide links to various videos and info graphics.

Socialprotection.org: <http://socialprotection.org/>

This website aims to facilitate knowledge sharing and capacity building on effective social protection policies and programmes, particularly amongst low-and-middle-income countries. The **social protection in crisis contexts** online community, hosted on this website serves as a platform for practitioners and researchers working on social protection across the humanitarian–development

nexus to exchange, collaborate, and learn from each other’s experiences. The community hosts a library of resources, various webinars, online discussions and the latest news.

International Conference on Social Protection in Contexts of Fragility and Forced Displacement:

<http://sp-fragility-displacement.onetec.eu/>

This 2017 conference was organized by the European Commission, UNICEF and other UN and donor agencies to share learning on two themes: i) effective social protection in fragile contexts; and ii) the needs of forcibly displaced populations and host communities, and the role of social protection. The website established to support the conference holds a range of resources (under the Key Documents page) including the conference outcome document and conference report, livestream recordings of speakers, 15 country profiles, various policy and evidence papers.

Videos

Social protection: bridging the gap, (3 mins), FAO, https://www.youtube.com/watch?list=PLzp5NgJ2-dK6FCgdx9mqwKWqf-5yxXSuY&time_continue=123&v=0m3XjBZdZHo

What role can social protection systems play in responding to humanitarian emergencies?

(4 mins), Oxford Policy Management
https://www.youtube.com/watch?time_continue=1&v=dHI38bb_cjs

Literature

Shock responsive social protection systems, 2015–2018: All outputs produced by the research project including the **toolkit**, **literature review**, **case studies** and **synthesis report** are available

at <https://www.opml.co.uk/projects/shock-responsive-social-protection-systems>

Asian Development Bank. 2018. *Strengthening resilience through social protection programmes. Guidance Note*. Available at <https://www.adb.org/sites/default/files/institutional-document/412011/resilience-social-protection-guidance-note.pdf>

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2. Disaster risk management resources

Websites

The Cash Learning Partnership

<http://www.cashlearning.org/english/home>

The Cash Learning Partnership (CaLP) is a global partnership of humanitarian actors engaged in policy, practice and research within cash transfer programming (CTP). CaLP currently has over 70 **members** including UN agencies, donors, international NGOs, local NGOs and private sector organizations. CaLP provides a range of resources on cash and vouchers in humanitarian settings including training courses, online forums and a wide range of tools and resources.

Global Facility for Disaster Reduction and Recovery (GFDRR) <https://www.gfdr.org/en/learning-from-megadisasters-knowledge-note-2-5>

The GFDRR is a global partnership that helps developing countries better understand and reduce their vulnerability to natural hazards and climate change. GFDRR is a grant-funding mechanism managed by the World Bank. It supports disaster risk management projects worldwide. The website hosts a number of evidence and learning resources, links to tools and e-learning courses.

ALNAP <https://www.alnap.org/>

ALNAP is a global network of NGOs, UN agencies, members of the Red Cross/Crescent Movement, donors, academics and consultants dedicated to learning how to improve response to humanitarian crises. ALNAP facilitates learning between Network Members, host the largest library of evaluations of humanitarian action, carries out original research and hosts events and conferences.

Videos

The humanitarian principles (2 mins) <https://www.youtube.com/watch?v=hWtdpxxVy2A>

Sphere minimum standards (3 mins) <https://www.youtube.com/watch?v=XnQV63k07TU>

Do no harm principle (2 mins) https://www.youtube.com/watch?v=PZThWwVE_DY

Literature

ASEAN. 2016. *ASEAN disaster recovery reference guide*. Available at <https://reliefweb.int/sites/reliefweb.int/files/resources/ASEAN-Disaster-Recovery-Reference-Guide-Final-Version-as-of-5-NOV-2016.pdf>

Brookings Institution. 2014. *Strengthening regional and national capacity for disaster risk management: the case of ASEAN*. Available at <https://www.brookings.edu/wp-content/uploads/2016/06/Strengthening-Regional-and-National-Capacity-for-DRM-Case-of-ASEAN-November-5-2014.pdf>

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Introduction

This country level analyses are part of a regional project “Strengthening capacity of ASEAN Member States to design and implement risk informed and shock responsive social protection”. The project is funded by the European Civil Protection and Humanitarian Aid Operation (ECHO). It is implemented jointly by a number of UN agencies (Food and Agriculture Organization, United Nations Children’s Fund, International Labour Organization, World Food Programme, United Nations International Strategy for Disaster Reduction) and demonstrates commitment to ASEAN regional efforts to integrate disaster management and social protection.

The study aims to support ASEAN Member States to improve the availability of policies and operational options for ASEAN Member States to strengthen the shock responsiveness of their social protection systems, where relevant. In depth and focused work took place in four countries: Cambodia, Myanmar, Philippines and Viet Nam to feed into ASEAN level policy development, including these guidelines.

The country level studies aim to support each of the four governments by identifying policy and operational options that can strengthen the shock responsiveness of their social protection system.

Specific outputs include:

- policy and programme options to make selected social protection programmes risk informed and shock responsive; and
- a medium-term roadmap to implement approved options to make selected social protection programmes risk informed and shock responsive.

Cambodia

Main issues affecting the development of a risk-informed, shock-responsive social protection system in Cambodia

Cambodia’s impressive rate of growth over the past twenty years has contributed to a dramatic reduction in income poverty. However, a significant percentage of the population remains vulnerable as they hover just above the poverty line and remain susceptible to shocks. Climate Change could reduce Cambodia’s GDP in 2050 by almost 10 per cent (and GDP in 2030 by 2.5 per cent).

The overall strong policy environment opens opportunities to build greater coherence between social protection and other sectors such as DRM to respond to covariate shocks. The last El Niño drought response showed that there is an early response opportunity to scale up existing programmes before an emergency where social protection could play a clear role. By introducing shock-responsive social protection systems, the hard-fought gains secured through development programmes can be better insured.

Recommendations overview

The main recommendations for Cambodia are to: identify a policy owner; establish a coordination mechanism; build awareness and political will including making the economic case for SRSP; strengthen existing information systems and identify ways to link systems together; support the EWS to move beyond meteorological information to include a wider range of risks, vulnerability and identify capacity gaps.

Roadmap overview

The overall goal of leveraging social protection for early response is to build a clear set of sequenced and scalable interventions that provide early

support before a humanitarian response is necessary.

In the short-term, the aim is to build a system focused on households' capacity to absorb the effects of hazards, and which activities include creating awareness and making the economic case for SRSP; ensuring SRSP is embedded in policy; strengthening coordination structures; building evidence and learning; strengthening information systems including EWS; conducting a capacity needs assessment; and developing a disaster risk financing strategy.

In the medium term, the aim is to apply the experience from one or two social protection programmes to a wider range of social protection programmes that contribute to all aspects of the disaster risk cycle. Phase in SRSP more widely, include other livelihood and employment programmes, and strengthen the system to resist, absorb, adapt to, and recover from the effects of hazards. Activities will be developed and broadened further with an emphasis on consolidating the approach and instruments

In the long-term, focus is on systems level development and the continued shift towards more integrated approaches to improve resilience outcomes. Continue to strengthen systems-based responses, and the integration of multiple programmes to build cross-programme synergies.

Myanmar

Main issues affecting the development of a risk-informed, shock-responsive social protection system in Myanmar

Myanmar emerged from political isolation in 2011 and has since enjoyed strong economic growth and development with a continuing positive growth outlook. However, poverty levels remain high amid concerns about the inclusivity of growth and poverty reduction. One of the main threats to sustaining economic growth and poverty reduction efforts is Myanmar's very high exposure to a multitude of natural disasters. Myanmar is heavily affected by a range of disasters from fast to slow onset. Climate change is also affecting livelihood systems and further exacerbating and altering hazard patterns.

There is increasingly strong policy coherence between the objectives of the social protection sector and other sectors, to integrate vulnerability to covariate shocks. However, the current system for managing a disaster is a post-disaster system. As the Government of Myanmar has invested so heavily in both the social protection system and the disaster management system, it has a unique opportunity to bring these systems together and leverage each other's strengths.

Recommendations overview

The main recommendations for Myanmar are to: strengthen understanding and awareness of shock-responsive social protection; strengthen the evidence base including introducing a longitudinal, robust impact assessment with key outcome indicators; agree modifications to the Maternal and Child Cash Transfer (MCCT) and to social pensions needed prior to and during shocks, and ensure delivery mechanisms are appropriate and flexible; allow disaster agencies to use MCCT and/or social pension administration systems and design parameters; use existing, strengthened information systems to develop triggers for early response, and to develop a scalability framework to trigger sequenced responses before a disaster is declared; invest in improving the quality, sources and reliability of data for the EWS including introducing a national risk and vulnerability system over time; introduce short- and medium-term options for predictably financing disaster responses; and strengthen capacity and coordination structures.

Roadmap overview

The roadmap outlines a series of strategic activities that need to be completed to build the four components of risk-informed and shock-responsive social protection programmes.

The first phase focuses on increasing understanding, efficiency and effectiveness. It will use the MCCT and social pensions to build a skeleton system focused on households' capacity to absorb the effects of hazards. Activities include: familiarize the relevant branches of government with the concepts mentioned here; strengthen and fully operationalize coordination; build evidence and learn; undertake a capacity gap assessment; complete diagnostic assessments of essential

system delivery processes; and develop a national plan for delivering cash to social protection beneficiaries.

The second phase is to consolidate the approaches and instruments. It will integrate MCCT/pensions with public employment programmes and strengthen the system to resist, absorb, adapt to, and recover from the effects of hazards. Activities include: develop and introduce a number of risk-adjusted procedures and processes for the MCCT and social pensions programmes; improve coordination procedures across multiple projects and programmes; agree scalability frameworks for floods, cyclones and droughts; clarify the sequential use of existing financing instruments and develop a disaster risk financing strategy; invest in early warning systems and a livelihoods-based risk and vulnerability framework and analysis; and use one plan for responding to emergencies with common delivery systems.

The third phase focuses on strengthening systems with the integration of multiple programmes and promotion of cross-programme synergies. Activities include: invest in modelling impacts of hazards on livelihoods (not just lives and infrastructure); use the scalability frameworks to trigger early action in labour market and livelihood programmes; and integrate social assistance programmes with labour market and livelihood programmes to provide pathways to resilience for hazard-exposed households.

Philippines

Main issues affecting the development of a risk-informed, shock-responsive social protection system in the Philippines

The Philippines has enjoyed strong economic growth and development in recent years and a continuing positive growth outlook. Poverty reduction remains fragile amid concerns about the inclusivity of growth and poverty reduction. For example, farmers, fishermen, families with children, self-employed and unpaid family workers, and women have higher poverty incidence than the general population. Key factors determining the relatively high rates of multi-dimensional poverty include poor nutrition rates and low secondary school attendance and completion.

In addition to relatively high rates of multi-dimensional poverty, vulnerability levels remain high. Many Filipinos live just above the poverty line, cycling in and out of poverty because of high vulnerability to shocks – including natural disasters. Indeed one of the main threats to sustaining economic growth and poverty reduction efforts is the Philippine’s high risk of natural disasters. In terms of being exposed to hazards, the Philippines is the third most “at-risk” country in the world.

The introduction of poverty-targeted national social protection programmes has resulted in more poor and vulnerable households receiving support – although the scale of needs remains a challenge. There has been progress in developing national systems for the delivery of social protection benefits and services. There is increasingly strong policy coherence with the objectives of the social protection sector integrating vulnerability to covariate shocks. Coherence is strengthened further by close institutional arrangements. Despite national policy and strategies that support disaster preparedness, mitigation and climate change adaptation, their implementation in practice remains a challenge. Strengthening the nascent links between social protection programmes and early, continued response to disasters, including the leveraging of early warning systems, provides significant opportunities for protecting the development gains achieved.

Recommendations overview

Recommendations for the Philippines are split over three stages: These are, in the short term, to build on the increasingly mature “regular” social protection system and establish the framework for risk-informed, shock-responsive elements and test shock-responsive approaches. This ensures that the shock-responsive system is building on what is already in place rather than creating parallel systems, increasing overall efficiency and effectiveness. This also allows for various policy developments currently being considered, including the national identity card system, to be developed and implemented while the framework is being established and any pilot is ongoing. A pilot of a shock-responsive social protection system would then be able to respond and adapt to the implementation of these national initiatives as they occur. This is important, given that these

national developments have the potential to significantly influence the way that a shock-responsive social protection system functions. In the medium term, the GoP should be encouraged to implement shock-responsive pilots and transition to programme approaches at scale, once evidence is secured. This requires the consolidation of social protection approaches, delivery systems and sequencing financial instruments. Over the long term the focus should be on integrating approaches and developing systems. In each of these stages there are a range of key steps that need to be completed at the policy level, within existing programmes and/or at an implementation level.

Roadmap overview

Stage 1: Establish framework and test

shock-responsive approaches. Actions include: agree an owner and familiarize in particular the legislative and executive branches of government with the concepts and broader policy agenda of shock-responsive social protection systems; agree the mechanism for the coordination of the various stakeholders and elements of a risk-informed and shock-responsive social protection system; commit to building evidence over the long term; undertake a review of capacity requirements; clarify the sequential use of *existing* financing instruments; develop a disaster risk financing strategy that focuses exclusively on human development and resilience, to complement other disaster risk financing strategies that focus on sovereign risks; introduce vulnerability criteria, climate and disaster risk information into the National Household Targeting System for Poverty Reduction (NHTS-PR), known locally as the Listahanan; and approve the working drafts of the scalability frameworks for each shock.

Stage 2: Implement shock-responsive pilots and transition to programme approaches at scale.

Actions include: agree and introduce risk-adjusted procedures and processes for the current 4Ps and MCCT programmes; agree to pilot vertical and horizontal expansion of the PPPPs and MCCT in municipalities identified as having high exposure to cyclones, floods and droughts; agree how emergency cash transfer programmes should complement the PPPPs and MCCT and commit to using common (GoP) administrative systems; enrol “near-poor” households into

“shock-responsive PPPPs and MCCT” prior to an even; agree and consolidate payment systems to ensure the smooth delivery of payments when a cyclone, flood or drought occurs; as part of the pilot, invest in early warning systems (including remote sensing) in order to improve the sensitivity of triggers in the scalability frameworks; invest in a livelihoods-based risk and vulnerability framework and analysis; introduce a common registry for all sectors related to shock responsive social protection programmes; develop contingency plans for shock responsive social protection and integrate into relevant GoP processes; implement findings of the capacity gap assessment; conduct performance and impact evaluations of the pilot; agree “one plan” among stakeholders for responding to shocks.

Stage 3: Integrate approaches and develop systems.

Actions include: integrate social assistance programmes with labour market and livelihood programmes to provide pathways to resilience for poor and vulnerable households; invest in modeling impacts of hazards and climate change on livelihoods (not just lives and infrastructure); review probabilistic indicators that trigger social assistance-led responses to also trigger early action in labour market and livelihood programmes.

Viet Nam

The output for work in Viet Nam was slightly different to that of the other three countries. The focus was on the production of a strategic guidance note as a first step in supporting the Government of Viet Nam in its reforms of the social protection and disaster risk management systems.

Main issues affecting the development of a risk-informed, shock-responsive social protection system in Viet Nam

Viet Nam has achieved remarkable economic growth and development in recent decades. However, the positive national picture masks stark demographic and spatial variability. For many, poverty reduction is also fragile; it is estimated that 9.3 per cent of the population have a per capita consumption less than 25 per cent above the poverty line and are therefore especially sensitive

to the impacts of shocks. One of the main threats to sustained economic growth and development is Viet Nam's high exposure to natural hazards. Viet Nam is amongst the top ranked countries globally most exposed to natural hazards and is one of the V20 countries most vulnerable to climate change. Approximately 70 per cent of the population is concentrated in areas highly exposed to natural hazards, relying on natural resources for their livelihoods. It is estimated that the country loses between 1 per cent and 1.5 per cent of GDP annually to natural disasters, which hinders social and economic development. The disproportionate impact of disasters on poor and vulnerable people requires investments that are explicitly focused on them and aim to address their current and future vulnerabilities.

The planned consolidation, modernization and expansion of existing regular social assistance is a key opportunity to explicitly build disaster risk considerations into these schemes. The commitment within the Ministry of Labour, Invalids and Social Affairs (MoLISA) to advance reforms creates a strong basis for action. Viet Nam's Socio-Economic Development Plan 2016–2020 recognizes the need to improve and better coordinate regulations, policies, and actions related to climate change, disaster risk, natural resources, environmental protection, and land use. The strong commitment, energy and investment in strengthening Viet Nam's disaster risk management system also represents a key opportunity for further strengthening the links between social protection and disaster risk management.

Recommendations overview

The recommendations are intended to be introduced in phases, over a 10- to 15-year time frame. This is in recognition of the current level of maturity of Viet Nam's social protection system, the multiple reform initiatives underway and the principle of "do no harm". Detailed, costed design processes are required to inform prioritization and phasing. Generally, it is anticipated that high-level policy commitments should be incorporated into the policy and legislative framework in the short term to create a mandate for future operational reforms. Operationalization would take place progressively over the mid term to long term, based on detailed, costed design processes, and in line with capacity.

Recommendations include: build consensus and support for investment; incorporate emergency scale-up into regular social assistance policy and legislation; re-orientate the focus of DRM initiatives from post-disaster to pre-disaster actions; conduct a detailed assessment and reform of the emergency social assistance system; build the case and consider options for extending social care during disasters; disaster-proof and future-proof the operational systems and processes of the social assistance system to ensure they can continue to operate during natural disasters and cope with a rapid influx of new beneficiaries, data or money; strengthen institutional capacity and coordination; and develop financing strategies.

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